

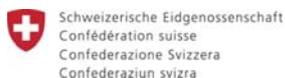


**Swiss Programme for Research  
on Global Issues for Development**

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

# **Causes of and Solutions to Social Conflicts in Contexts of Weak Public Institutions or State Fragility**

**Call for Proposals**



Federal Department of Foreign Affairs FDFA

Swiss Agency for Development and Cooperation SDC



SWISS NATIONAL SCIENCE FOUNDATION

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## 1. Introduction

### 1.1 Overarching goals

In view of global change and the multi-faceted global challenges and crises (geopolitical and economic shifts, continuing poverty, etc.), traditional “North-South” cooperation is increasingly being complemented and replaced by an international cooperation on global issues. Research and innovation are decisive factors for sustainable global development both in poor and in 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-related research on global issues. The main focus of the “Swiss Programme for Research on Global Issues for Development” lies on the generation of new insights and innovative approaches, solutions as well as on the application of research results into policy and practice through transnational research partnerships. In the focus of the programme are the reduction of poverty and global risks as well as the provision of public goods as health, environment particularly climate stability, biodiversity and water, food security, human security, market- and financial stability. Inter- and transdisciplinary research with a problem- and solution orientated approach will be funded. The implementation of the research results into policy and practice are of high significance and are considered as an integral part of the research activities.

The programme consists of six modules: One module where researchers are free to choose their own research topic and submit bottom-up projects free of thematic specifications and, on the other, hand five thematic research modules with the following pre-defined topics:

- \_ Causes of and solutions to social conflicts in the context of weak public institutions;
- \_ Employment in the context of sustainable development;
- \_ Agricultural production systems and food security;
- \_ Sustainable use and management of ecosystems;
- \_ 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](http://www.r4d.ch).

### 1.2 First thematic call

This call document concerns the first of the five planned thematic research modules. The objectives and key questions of the thematic module are outlined in the first part of this document. The eligibility requirements and the submission procedure are described in the second part.

A budget of CHF 14.1 million has been made available for the thematic research module “Causes of and Solutions to Social Conflicts in Contexts of Weak Public Institutions or State Fragility”. The individual projects will have a running time of six years. Each project will be assessed after three years. The second research phase of three years will only be funded if the assessment of the project is positive.

## 2. The Thematic Research Module

### 2.1 Concepts

A large body of scientific research suggests that there is a close relationship between political institutions, technological innovation and socio-economic development. Strong, stable and legitimate public institutions whose decision-makers are accountable to their constituencies are widely regarded as a key prerequisite for sustainable development. The World Development Report of the World Bank (1997), for instance, defines “good governance” in the following terms:

*“Mechanisms for assuring good governance have three key elements: Internal rules and restraints (for example, internal accounting and auditing systems, independence of the judiciary and the central bank, civil service and budgeting rules); “Voice” and partnership (for example, public-private deliberation councils, and service delivery surveys to solicit client feedback); and Competition (for example, competitive social service delivery, private participation in infrastructure, alternative dispute resolution mechanisms, and outright privatization of certain market-driven activities)”.*

Good governance thus pertains to state, private sector and civil society characteristics and behaviour. There is very strong variation on these elements within and between developing countries. This research module is interested in understanding such variation and its implications for sustainable development.

The emphasis is on conflicts that may result from particular types of deficiencies of public institutions, state fragility and differences in governance capabilities, as well as on ways and means for mitigating such deficiencies and reducing or avoiding conflicts.

The research module therefore focuses on four areas and interactions between them: social conflicts; weak public institutions; state fragility; management of natural resources.

**Conflicts**, in the context of this research program, can be violent or non-violent. They may range from inter- and intrastate wars to lower intensity violent conflicts to civil unrest to primarily non-violent social conflicts that undermine state capacities.

**Weak public institutions** involve settings in which political and/or social institutions are highly dysfunctional or have even collapsed. Such settings may range from failed states to war-torn societies in the process of rebuilding a political system to settings characterised by endemic corruption, strong inequality and a high degree of political instability.

**State fragility** involves a lack of institutional, organisational and financial capacity to perform basic state functions in governing population and territory. State capacity is achieved through political processes that foster and reinforce constructive relations within society and between the state and society. Enhanced state capacity, if achieved and exercised in democratic ways, strengthens state legitimacy and contributes to state resilience.

**Management of natural resources:** The relationship between conflicts and natural resources use is often complex. Distribution of and access to natural resources plays a role in a wide range of conflicts. They can be a direct cause of conflict, yet more often they are intertwined with other causes and dynamics, such as ethnic tensions and other forms of identity conflict or international power constellations. Conflicts

over natural resources are intimately related to questions of governance. Avoiding future conflicts implies the negotiation of equitable means for sustainable exploitation and management of natural resources.

## 2.2 Topics

As mentioned in section 1.1 above, all five thematic calls, including this first call, 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 at larger-scale comparisons in order to produce findings that are relevant to several or many developing countries and world regions. The following three issues are of particular interest in this first thematic call.

1. ***Political reconstruction and democratisation processes in fragile and conflict prone states:*** To what extent and how can local civil society groups, traditional leaders, the private sector, and other local actors be involved in order to successfully reconstruct political order after civil wars or other types of acute political system failure? Under what conditions is decentralisation of political authority helpful in improving the performance of political systems? How does ethnic identification/identity interact with political party development in post-armed conflict nation-building? What is the optimal timing of elections in democratic transformation processes and/or after a war? How can re-organisation of political intermediaries (parties, civil society groups, news media, etc.) along ethnic, religious or other conflict lines be avoided when reconstructing political order after the collapse of a political system? How can the peaceful political participation of citizens and the reintegration of former combatants be ascertained? How can local communities be made more resilient against resurgent local violence in the aftermath of civil wars? How can and/or should the international community support different types of domestic political reconstruction and democratisation efforts?
2. ***Conflicts over scarce natural resources, with a focus on water issues:*** What are the drivers of conflict over the international or domestic natural resources, and under what conditions is it possible to solve such conflicts by focusing on benefit sharing? To what extent are climate change and demographic growth likely to exacerbate conflicts over water? How can conflicts over climate and population-related environmental degradation be solved? What kinds of technical or technological, political and social innovation might support the peaceful and sustainable management of water in relation to other natural resources, such as land and forests? To what extent can foreign direct investment mitigate or exacerbate conflicts over scarce natural? How can international co-operation strengthen local conflict management capacities by motivating people, communities, private sector actors, and governments to solve natural resource problems cooperatively? How do historical legacies of conflict influence the nature of natural resources problems in post-armed conflict societies and which mechanisms for 'dealing with the past' work best in which context?
3. ***Chronic causes and consequences of state fragility and weakness of public institutions:*** State fragility and weakness of public institutions can result not only from armed conflict or from the collapse of a political system for other reasons. They can also derive from other, more chronic problems, such as a lack of accountability and transparency in policy-making, corruption, strong social exclusion, discrimination and income-inequality, a lack of economic and social prospects for young people, gender inequality, dysfunctional public services,

organised crime and other factors. How can chronic problems be dealt with in such a way that violent conflicts or civil unrest are avoided? How could and/or should the international community support domestic efforts to that end?

### 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 or in developing countries in Africa, Asia and Latin America are eligible (according to the country list in annexe 5).
- \_ 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
_ Universities	_ Institutions of higher education, universities
_ ETH & institutions of the ETH Domain	_ Public research institutions
_ Universities of applied sciences, universities of teacher education	_ Other research institutions that do not conduct research for commercial purposes.
_ Swiss federal 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 two research groups from two different developing countries of group 1. The participation of further groups from Switzerland and from developing countries is highly recommended.
- \_ The following table gives an overview of the eligible developing countries in Africa, Asia and Latin America (see annexe 5, country list based on the OECD-DAC list<sup>1</sup>):

<sup>1</sup> OECD-DAC list: <http://www.oecd.org/dataoecd/9/50/48858205.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

The list of countries can be found in the Annex.

### Country group 2

BICS and upper middle income countries in Africa, Asia (without Turkey) and Latin America (without the Caribbean) that play a major role with regard to global challenges and the reduction of global risks - for instance, Brazil, India, China, South Africa and others.

Applicants must briefly 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, research partners from the BICS and upper middle income countries (group 2), which have a regional importance with regard to global challenges, may optionally be integrated into research partnership projects. Applicants must briefly describe the country's regional significance for the topic in the proposal.

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 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 of six years. The employment status of the main applicant will be a criteria in the evaluation of the pre- and full proposal. It is not mandatory for a higher education institution to provide an institutional guarantee.
- \_ The project needs to be co-managed by at least one applicant from a country of group 1.

## 3.5 Duration

The running time of the research projects is 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

three years. The research plan in the proposal submitted by the researchers has to cover the entire period.

### 3.6 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])
3. Technicians
4. Assistants or MSc students (only partners in developing countries)
5. Co-ordination costs

\_ Communication and implementation activities

\_ Equipment of enduring value (only in developing countries)

\_ Research funds (consumables, travel costs, room and board costs, field expenses)

\_ The salaries of Swiss researchers comply with the currently valid SNSF rates. For researchers based in developing countries, the local prevailing salaries apply. Salaries and research funds may be used for research, co-ordination, communication and implementation.

\_ The following two financial conditions apply to all research partnership projects:

1. At least 50% of the academic research 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 partners 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 400,00 – 600,000 per year, i.e. approximately CHF 3 million per project. For larger projects, it is advisable to split the amount. It should be taken into account that proportionally higher funds are used for the first phase than for the second phase, a large portion of which is devoted to scientific synthesis and implementation.

\_ 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 annexe 2 and 3). Furthermore, it needs to be shown how the knowledge exchange with the relevant stakeholders in Switzerland and in the developing countries is to take place throughout the duration of the project. A Result Framework, a Pathways to Impact and an Application and Communication Strategy must be submitted for this purpose (see annexe 2, 4 and 5).

### **3.7 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>

### **3.8 “Thematic research modules” versus “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.

### **3.9 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.

### **3.10 Reporting**

An initial financial and a comprehensive progress report based on the Result Framework and an updated fact-sheet have to be submitted after 18 months and subsequently each year (see annexe 6). 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 the [www.r4d.ch](http://www.r4d.ch). The requested output data on mySNF have also to be updated regularly.

## 4. Submission procedure

Pre- and full proposals must be submitted online via the mySNF portal. User-registration can be obtained via the mySNF homepage: [www.mysnf.ch](http://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 website of the Programme [www.r4d.ch](http://www.r4d.ch) and the SNSF. The evaluation procedure will be conducted in two stages (pre-proposals, full proposals). Both the pre- and the full proposals 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 proposal on [www.mysnf.ch](http://www.mysnf.ch). Registration for a login for electronic submission requires five working days.

### 4.1 Pre-proposals

The deadline for submission is **08.10.2012**

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

Data to be entered directly in the mySNF portal:

- \_ Basic data and abstract
- \_ National and international co-operations / Partners
- \_ Estimation of financial support required for salaries and running costs (budget).

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

- \_ Project description
  - Research hypotheses and objectives of the project
  - State of research
  - Methodology
  - Timeframe and milestones
  - Organisation of research groups in research partnership projects
  - Potential impacts of the expected results for the solution of global problems in developing countries or benefits for the poor segments of the population and application potential of the results in policy and practice (including: Pathways to Impact, annexe 2)
  - Application and Communication Strategy (annexe 3)
  - Respect of the 11 revised KFPE principles (<http://www.kfpe.ch/11-Principles/>)

The project description mentioned above must be submitted using the template to be found on the mySNF portal. It should not be longer than eight pages (excluding cover page).

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

SDC and SNSF will organize a workshop to inform applicants about the instruments Result Framework / Pathways to Impact / Application and Communication Strategy around August. The exact date and further information will be published on [www.r4d.ch](http://www.r4d.ch) and via the programme newsletter [www.r4d.ch/E/newsletter/Pages/default.aspx](http://www.r4d.ch/E/newsletter/Pages/default.aspx).

## 4.2 Full proposals

In the second stage of the submission procedure the Review Panel will invite the authors of the selected pre-proposals to submit detailed full proposals online via the mySNF portal in accordance with standard SNSF rules and guidelines. The review panel may ask further information. The full proposal has to cover the entire period of six years with more details of the planned research for the first three year period.

Full proposals must contain the following information:

### A. Data to be entered directly in the mySNF portal:

- \_ Basic data and abstract
- \_ National and international co-operations
- \_ Estimation of financial support required for salaries, running costs and communication and implementation (budget).

### B. Documents to be uploaded in PDF format on the mySNF portal:

- \_ Research plan (max. 20 pages)
  - Research hypotheses and objectives of the project (potential impact, outcomes, outputs)
  - State of research
  - Methodology
  - Timeframe and milestones
- \_ Management (max. 3 pages)
  - Organisation of research groups in research partnership projects

\_ Relevance for development (max. 20 pages)

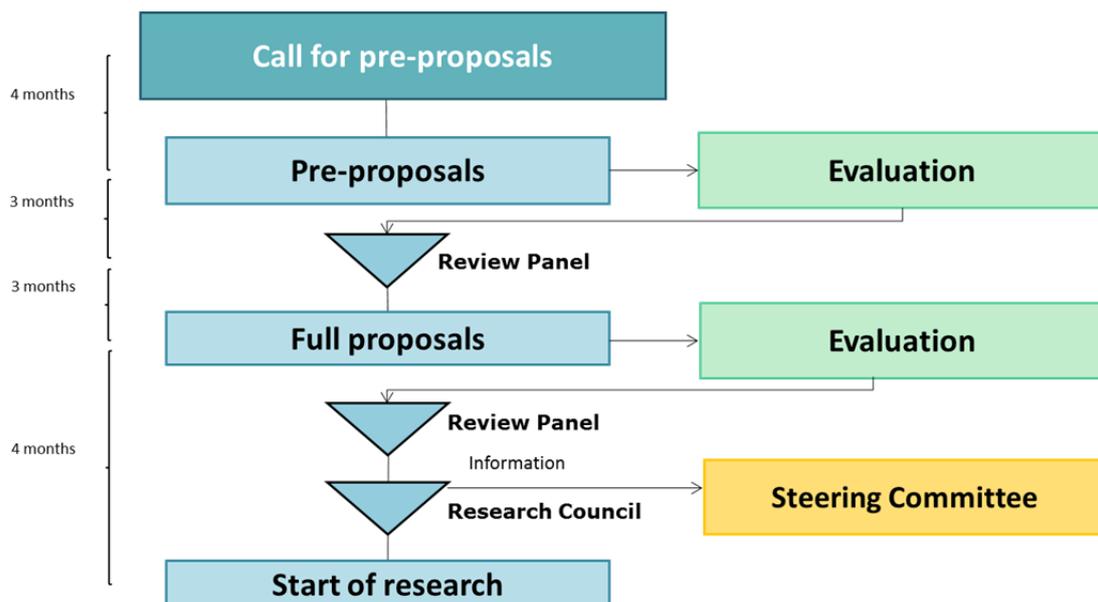
- Potential impacts of the expected results for the solution of global problems in developing countries or benefits for the poor segments of the population and application potential of the results in policy and practice
- Application and Communication Strategy (Annex 3)
- Pathways to Impact und Result Framework (see Annex 2 and 4)

Questions concerning the proposal will be addressed directly to the invited applicants.

Binding confirmations from the partners in developing countries must be submitted together with the proposal.

The Research Council will make the final decisions on the proposals in August 2013. Hence, research work could begin in September 2013 at the earliest. The research work must start in March 2014 at the latest.

## 5. Selection of projects; evaluation criteria



Pre- and full proposals will be 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 proposal before the Review Panel. The decisions of the Review Panel must be endorsed by the Research Council of the SNSF.

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

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

## 5.1 Scientific quality criteria

- \_ Scientific significance and topicality of the project
- \_ Originality of research questions (also with regard to global challenges)
- \_ Suitability of the methods chosen
- \_ Feasibility of the project
- \_ Applicants' scientific track record and expertise with regard to the topic.
- \_ Quality of the consortium

## 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
- \_ Quality of communication and implementation strategy for potential users/stakeholders
- \_ Potential economic, environmental or societal impact of the project

## 5.3 Budget und governance

- \_ Management scheme
- \_ Cost-benefit ratio (efficiency)
- \_ Compliance with the 11 revised KFPE principles

## 5.4 Evaluation and selection

Based on the 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.*

The first priority will be to support projects that have been awarded an A, an AB or a B in both areas. The second priority will be to support projects that have been awarded a BC or a C in one or in both areas. Projects rated D in one or in both areas will not be supported. 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 co-ordinator Dr Zora Urech, r4d@snf.ch or 031 308 22 22.

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

### **Technical help with mySNF and electronic submissions**

Hotline:

Tel. + 41 31 308 22 99 (Français)

Tel. + 41 31 308 22 00 (Deutsch)

Tel. + 41 31 308 22 88 (English)

E-mail: [mysnf.support@snf.ch](mailto:mysnf.support@snf.ch)

mySNF homepage: [www.mysnf.ch](http://www.mysnf.ch)

## 7. Organisation

### **7.1 President of the Review Panel of the thematic module**

Professor Dr. Dirk Messner, Director of the German Development Institute, Bonn

### **7.2 Members of the Review Panel**

Professor Dr. Yacob Arsano, Department of Political Sciences and International Relations, University of Addis Abeba

Dr. Ana Elisa Cascao, Stockholm International Water Institute

Professor Dr. Francisco Gutiérrez Sanín, Instituto de Estudios Políticos y Relaciones Internacionales, National University of Colombia

Professor Dr. Robert Mattes, Democracy in Africa Research Unit, University of Cape Town

Dr. Norbert Robers, Berghof Foundation for Peace Support

### **7.3 Representative of the SDC**

Focal Point of SDC network 'conflicts and human rights': Markus Heiniger  
<http://www.deza.admin.ch>

## **7.4 Representative of the Research Council**

Professor Dr. Frédéric Varone, Department of Political Science, Université de Genève

## **7.5 Programme co-ordinator SNSF**

Dr. Zora Urech, Swiss National Science Foundation (SNSF), Berne

## **Annexes**

- 1) Form Pre-proposals
- 2) Pathways to Impact
- 3) Application and Communication Strategy
- 4) Result Framework
- 5) Country List
- 6) Reporting form for progress report

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## Project description for pre-proposal of the research module: Causes of and Solutions to Social Conflicts in Contexts of Weak Public Institutions or State Fragility

*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 eight pages, including Result Framework
- Pre-Proposals must be submitted using this form through mySNF (deadline: **08.10.2012**);
- Applicants must follow the structure given on this form.
- The Result Framework is part of the pre-proposal and needs to be included

Please indicate the research area(s) to which your project belongs (more than one are possible):

**Topic 1:** Political reconstruction and democratisation processes in fragile and conflict affected states

**Topic 2:** Conflicts over scarce natural resources, with a focus on water issue

**Topic 3:** Chronic causes and consequences of state fragility and weakness of public institutions

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

Please list the most important publications of your team (not more than 10):

### 1. Research hypotheses and objectives of the project

Specify the approach and the concret objectives that you aim to achieve during the lifetime of the project.

### 2. State of research in the field

Set out the scientific background and basis of your project, explain the need to perform research on the topic you propose. Describe also briefly your work in the research field or in related fields.



### **3. Methodology**

Describe the methods necessary to attain the aims:

- Which are the methods available to you?
- To which other methods do you have access and how?
- Which methods need to be developed?

### **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 in research partnership projects**

Describe the management scheme for the project and point out the collaboration between the research teams and the different disciplines. Please justify the participation of countries of group 2. If the proposal is part of a larger national or international project, explain its precise role and how it fits into this wider context.

### **6. Potential impacts of the expected results**

Explain how results could contribute to solve global problems in developing countries for the benefit of the poor population. Explain how results could be implemented into policy or practice.

Therefore, please fill in the the result framework annexe 4 and consider the guidelines in annexe 2 “Pathways to Impact”.

### **7. Strategy for Communication and Application**

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

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

### **8. Consideration of KFPE principles**

Describe how the 11 principles in the “Guidelines for Research in Partnership with Developing Countries” are taken into account during the elaboration of the present proposal, and how they will flow into the project implementation (<http://www.kfpe.ch/11-Principles/>).



## r4d.ch - Guidelines for Pathways to Impact<sup>1</sup>

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### 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.

### Conceptualizing impact

A project's *pathways to impact* needs 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 unintended 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.)

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<sup>1</sup> NOTE: What follows builds heavily 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](http://www.esi.ac.uk/espa/files/espa/ESPA_Impact_Framework.pdf)) yet adapted to the specificities of the r4d.ch Program





## r4d.ch – Guidelines for the Application and Communication strategy

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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 optimizing interventions at the systems level; policy change or prioritization; translating evidence into effective policies; or translating policy into effective practice.

Application or getting research into practice and policy is a difficult endeavor. 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 utilized, 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 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?





R4d - Result framework of the r4d.ch programme

Hierarchy of objectives Strategy of Intervention		Key Indicators	Data Sources Means of Verification	
<b>Impact (Overarching Goal)</b>		<b>Impact Indicators</b>		<i>Assumptions:</i>
<b>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<sup>1</sup>.</b>		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	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.
<b>Outcomes</b>		<b>Outcome Indicators</b>		<b>External Factors (Assumptions &amp; Risks<sup>i</sup>)</b>
Strategic Objectives	<b>Outcome 1:</b> <b>Scientific evidence and research based solutions for reducing poverty and global risks are available.</b>	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
	<b>Outcome 2:</b> <b>National and international stakeholders are informed on the nature of the problems, trade-offs, and options for tackling and solving problems in a more</b>	Number of publications and conferences addressed to national and international stakeholders  Number and diversity of results and experiences out of the	Progress reports from the projects and synthetic reports from thematic programs  Input from national and international stakeholders (eg	<i>Assumptions:</i> Research results are relevant and timely available.  <i>Risks:</i>

<sup>1</sup> 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](http://www.un.org/esa/dsd/dsd/dsd_milestones.shtml)

	<b>systemic and holistic manner, and make use of the provided evidence and tools.</b>	application and communication activities	interviews) Global synthesis of the Fund International Advisory Board	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.
	<b>Outcome 3: Scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in poor countries are increased.</b>	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.
<b>Outputs (per outcome)</b>		<b>Output Indicators</b>		
<b>For outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available.</b>				
<b>Output 1</b>	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
<b>Output 2</b>	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	<i>Risks:</i> Not all research can or will be (immediately) applied. Lack of integrative collaboration within a project consortium
<b>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.</b>				
<b>Output 1</b>	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	Scientific publications Project specific communication	<i>Assumption:</i> Tools to support tackling and solving problems are

<b>Output 2</b>	Results of research are brought into relevant channels of international debate and regional and international policy dialogue.	projects partners where the research results are discussed Number of dissemination of research results in policy briefs and policy fora.	and implementation strategy Reports from the projects and synthetic reports from thematic programs Communication online (fund website) Direct products and publications out of the projects Monitoring of regional and international policy dialogue	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 implementation strategy is low.
<b>Output 3</b>	Awareness on tackling global issues through systemic and interdisciplinary approaches has been raised			
<b>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.</b>				
<b>Output 1</b>	Transnational ('North-South' / 'North-South-South') research partnerships are effective.	Number of co-authored scientific publications Number of promoted researchers Number of research groups from developing countries participating in a consortium	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
<b>Output 2</b>	Interdisciplinary collaboration between social, natural, and engineering sciences is strengthened.			
<b>Output 3</b>	The capacities to identify and tackle new issues with a potential global impact for developing countries have been strengthened.			



r4d - Result framework of the project, to be completed by the applicants

Hierarchy of objectives Strategy of Intervention		Key Indicators	Data Sources Means of Verification	
<b>Impact (Overarching Goal)</b>		<b>Impact Indicators</b>		
<b>Outcomes</b>		<b>Outcome Indicators</b>		<b>External Factors (Assumptions &amp; Risks<sup>1</sup>)</b>
Strategic Objectives				
<b>Outputs (per outcome)</b>		<b>Output Indicators</b>		
<b>For outcome 1:</b>				
Output 1				
Output 2				
<b>For outcome 2:</b>				
Output 1				
Output 2				
<b>For outcome 3:</b>				
Output 1				
Output 2				



## Swiss Programme for Research on Global Issues for Development

### Country list for the r4d.ch program<sup>1</sup>

Country Group 1 (Mandatory)*			Country Group 2 (Optional)
<b>Least developed</b>	<b>Low income</b>	<b>Middle income</b>	<b>BICS and upper middle income countries</b>
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			

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



## r4d.ch - Reporting Guidelines

### Progress Reports

[Reporting annually, starting 2 years after the beginning of the programme, 1-2 pages per category, overall 10 pages maximum]

<b>Category</b>  (The following questions are to be understood as guiding questions to be answered when appropriate Please explain briefly if questions cannot be answered)	<b>Reporting</b>
<b>1. Objectives</b> This part of the report is linked to the result framework developed for the module, resp. the research project. The following questions may guide you in preparing your report: <ul style="list-style-type: none"><li>• Which are the research objectives?</li><li>• Are they expected to be reached or have they been reached?</li><li>• If not, why not?</li><li>• Have new potentially alternative, unintended objectives emerged?</li></ul>	
<b>2. Methods</b> Please report here on the most innovative aspects of the methodologies applied in the research activities. The following questions may guide you in the preparing your report: <ul style="list-style-type: none"><li>• Which innovative / new research methods are being applied?</li><li>• Which have showed to be valid, which haven't and why (with respect to the research area)?</li><li>• Are certain research methods particularly well applicable or replicable, especially in developing countries? Please explain briefly.</li></ul>	
<b>3. Results</b> This part of the report will help to identify scientific evidence and research based solutions for reducing poverty and global risks. The following	

<p>questions may guide you in preparing your report:</p> <ul style="list-style-type: none"> <li>• Which are (potentially) the most important research results and findings up till now, and for whom?</li> <li>• Who might be the potential beneficiaries and how have they been engaged to date, and how will they be engaged moving forward?</li> <li>• Are certain results particularly useful for research partnerships?</li> <li>• Which results are particularly useful for up-take e.g. to shape policy and practice?</li> <li>• In case the results have been applied already, which are the most important intended/unintended, positive/negative changes they have caused?</li> </ul>	
<p><b>4. Relevant Partnerships / Contacts (beyond the scientific community) for pathways to implementation and impact</b></p> <p>This part of the report will help to identify national, regional and international stakeholders which have been informed on the nature of the problems, trade-offs and options for addressing and solving problems related to your specific topic in a more systemic and holistic manner. The following questions may guide you in preparing your report:</p> <ul style="list-style-type: none"> <li>• Which existing partnerships and contacts outside of the academia have been important for research and are being strengthened?</li> <li>• Which partnerships and relevant contacts have been newly established, in particular in developing countries, and between developing countries?</li> <li>• How can partnerships and contacts among researchers and stakeholders be used for further, positive change?</li> <li>• Are other, especially promising enablers and drivers of change among them? Which is their long-term potential?</li> </ul>	
<p><b>5. Pathways to Implementation / Impact</b></p> <p>This part of the report will help to identify and document research based practicable solution pathways and potential solutions for reducing poverty and global risks related to your topic. The following questions may guide you in preparing your report:</p> <ul style="list-style-type: none"> <li>• What is happening with the research results? Which is the</li> </ul>	

<p>planned follow-up, how is the dissemination organized? How and where can the most important results and findings be used for promoting development?</p> <ul style="list-style-type: none"> <li>• Which communication channels are established and mobilized, and are or could become enablers und drivers of change?</li> <li>• Which ways/channels are open for the implementation in regional and global contexts?</li> <li>• How is the policy dialogue for the implementation and impact of research results established and directed at national, regional, and global level?</li> <li>• How can be ensured that the research results will have the desired impact? What have they already changed and how can this impact be strengthened? How will unintended negative impacts be dealt with? How will important trade-offs be identified and dealt with?</li> </ul>	
<p><b>6. Relation Investments - Results</b></p> <ul style="list-style-type: none"> <li>• How do you assess the relation between financial investments and (usefulness of) results?</li> <li>• Is there a good relation between invested resources (time, money, personnel) and research results/impact?</li> </ul>	
<p><b>7. Scientific merits</b></p> <ul style="list-style-type: none"> <li>• Scientific publication</li> <li>• Academic events</li> <li>• Knowledge-transfer events</li> <li>• Implementation events and activities</li> <li>• Public communication</li> <li>• Application-oriented outputs</li> <li>• Awards</li> <li>• Third-party funds</li> <li>• Follow-up projects</li> </ul>	

**Report for the website [www.r4d.ch](http://www.r4d.ch)**

[annually, starting 2 years after the beginning of the project, 1 page per Project]

To be published online on [www.r4d.ch](http://www.r4d.ch)

<b>Title of the Research Project (Full and short title):</b>	<b>Thematic Focus and applied method:</b>
<b>Duration:</b>	<b>Geographic Scope:</b>
<b>Swiss Institutions (and contact persons, web link):</b>	<b>Partner Institutions: (and contact persons, web link):</b>
<b>Research Objectives:</b>	<b>Achieved Research Results:</b>
<b>Partnerships and Contacts (beyond academia):</b>	<b>Follow-Up, Dissemination, Pathways to Implementation/Impact:</b>
<b>Desired Change/Impact:</b>	<b>Achieved Change/Impact (intended, unintended, positive and negative):</b>
<b>Lessons Learned:</b>	<b>Assessment of Relation Investment - Benefits:</b>
<b>Two Photos showing 'typical' Situations:</b>	