



Swiss Programme for Research
on Global Issues for Development

Management Principles r4d Public Health

Information for researchers

June 2017



Table of Contents

| | |
|--|-----------|
| Table of Contents | i |
| 1. Introduction | 2 |
| 2. Aims and structure of the r4d programme | 2 |
| 2.1 General aims of the r4d programme | 2 |
| 2.2 Structure and organisation of the r4d programme | 2 |
| 2.3 Thematic concept of the r4d module Public Health | 3 |
| 3. Getting started | 4 |
| 3.1 Release of funds | 4 |
| 3.2 Transferring funds to other grantees | 4 |
| 3.3 Employment of staff | 4 |
| 4. Responsibilities and instruments for quality control and project support | 5 |
| 4.1 Responsibilities and project support | 5 |
| 4.2 Instruments | 6 |
| 4.2.1 Programme and module meetings | 7 |
| 4.2.2 Site visits | 7 |
| 4.2.3 Progress report | 8 |
| 4.2.4 Mid-term report | 8 |
| 4.2.5 Final project report | 9 |
| 4.2.6 Financial reporting | 9 |
| 5. Communication and application | 10 |
| 5.1 Programme and module level | 10 |
| 5.2 Project level | 10 |
| 6. Time schedule of the module Public Health | 11 |
| 7. Review Panel members and contact details of SNSF staff | 12 |

1. Introduction

This document describes the general guidelines that apply to the r4d programme in addition to those described in the official decision letter and in the SNSF regulations (Funding Regulations; General implementation regulations for the Funding Regulations; Regulation on information, valorisation and rights to research results; Guidelines for the lifetime management of research projects). The Management Principles are aimed for researchers in the r4d programme and shall help structuring the interactions with the programme management and the Review Panel.

This document was updated in June 2017 as through the r4d Additional Thematic Call the module gained one new project. The updated document considers this change and provides a new time schedule.

The Management Principles differentiate between grantees (responsible grantee and other grantees) and project coordinators. The responsible grantee is the primary contact person for the SNSF and for all those involved in the r4d programme. S/He is responsible for passing on all information to the research group members. S/He can appoint a project coordinator. This needs to be clearly communicated to the r4d programme coordinator.

2. Aims and structure of the r4d programme

2.1 General aims of the r4d programme

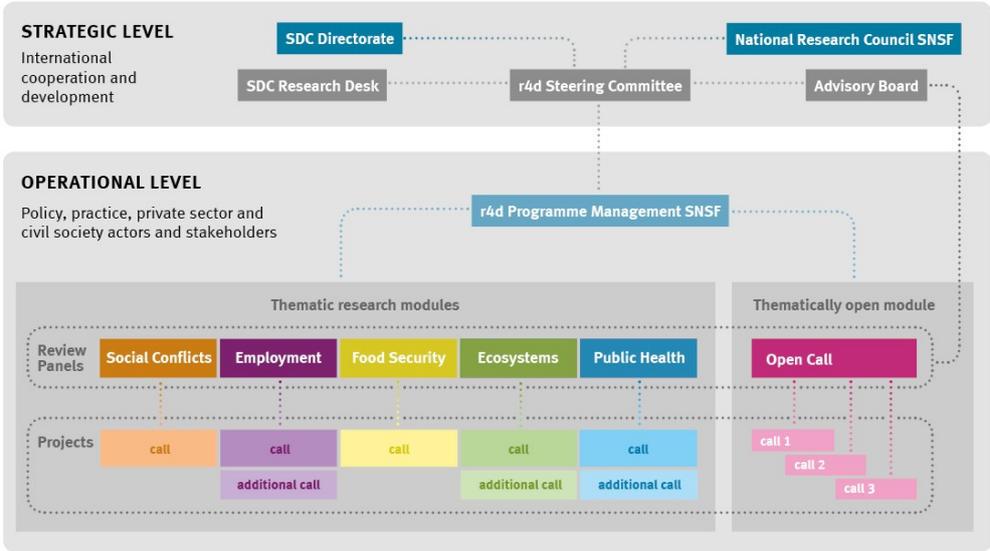
The main goals of the r4d programme are the generation of knowledge and the application of innovative, transnational research results in policy and practice within the normative conceptual framework of global sustainable development. The focus of the programme lies on the reduction of poverty and global risks as well as the provision of public goods and services such as health, biodiversity and water, food security, human security, and market and financial stability.

2.2 Structure and organisation of the r4d programme

The programme consists of six modules. In the thematically open module researchers work on bottom-up projects free of thematic specifications. The other five thematic modules address the following themes:

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

The r4d programme is organised as depicted in the following chart.



2.3 Thematic concept of the r4d module Public Health

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

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

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

1. Key steps toward inclusive social health protection (SHP) in developing countries
2. Sustaining health gains while addressing emerging demographic and epidemiological changes
3. Social determinants and equitable access to health

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

3. Getting started

3.1 Release of funds

The responsible grantee requests the release of funds via mySNF. The project agreement signed by all grantees is a requirement for the release of funds. The funds are paid in annual instalments in accordance with the regulations. The payment can be requested no earlier than one month before the start of the next funding year and requests have to be made via mySNF.

3.2 Transferring funds to other grantees

Funds may only be transferred to researchers who are listed as other grantees for the respective project. Fund transfers to other grantees are exempt from value-added tax. With regard to the value-added tax legislation, it is important that the funds are not requested via an invoice, but exclusively via a payment request. The responsible grantee needs to make the payment.

In principle there are various methods for transactions. If the transfer of funds from the partner institutes to the relevant research teams is reliable, funds may be transferred to the accounts of the respective partner institutes. Transfers to partners may also be made to the accounts of individuals participating in a project, provided that the legal requirements of the partner country are taken into consideration. It is not advisable to transfer the whole sum in one go, but rather in (3-monthly or 6-monthly) instalments, especially when no prior transfers have been made to the partner country.

3.3 Employment of staff

Any new appointments, staff turnover or salary adjustments in Switzerland are subject to approval by the SNSF. A corresponding request must be placed with the SNSF in advance in the form of a "change of personnel" notification via mySNF. You will find the web-based forms on mySNF if you select the relevant project and click on the corresponding section. Notifications of personnel changes are the responsibility of the responsible grantee.

Employment relationships must be regulated by the grantees' institution by means of a written contract. The institutions are responsible for compliance with the statutory labour and social

insurance provisions. The SNSF specifies binding salary brackets and norms for different staff categories in Switzerland.

It is not necessary to notify personnel changes in the partner countries. They have to be entered into the r4d financial monitoring and reporting tool (r4dIRA), provided by the SNSF, and mentioned in the progress reports.

4. Responsibilities and instruments for quality control and project support

The r4d programme provides efficient and enabling collaboration between projects, Review Panel, and programme management. This section provides an overview of responsibilities and instruments for quality assurance and project support.

4.1 Responsibilities and project support

The **grantees** (responsible grantee and other grantees) are obliged to use the approved grant in accordance with the terms stipulated in the ruling and to comply with the provisions of the regulations of the SNSF as well as any other rules applicable to the grant. In terms of co-operation within the r4d module the grantees are in charge of the timely submission of the information requested by the Review Panel and the Administrative Offices of the SNSF. They make themselves available for Site visits and actively participate in specific events of the module.

The **responsible grantee** is responsible vis-à-vis the SNSF for each application or grant. S/He is the main contact person of the project. The SNSF addresses all communications concerning the grant to this person and the awarded funds are transferred to this person's institution (in most cases the grant administration office). The entire grant is administered at this institution, from where funds can be transferred to the institutions of the other grantees.

The **project agreement** defines the co-operation and relationship between the grantees, particularly with regard to authorship rights, access to data and research results. If one of the grantees needs to be replaced within a research group, the new and the current grantees must jointly file an application with the SNSF. The respective applications will be added as an annex to the original project agreement.

The **Review Panel** members are responsible for the scientific support and quality assurance of the module. Two members of the Review Panel act as **supporting experts for a project** (see allocation in table below). They assume the role as experts and advisors and follow the projects which are assigned to them critically and constructively. They support the research work, are aware of the current state of research, communication and application activities of the project and are responsible for assessing the progress made in the project (providing feedback on progress reports and Site visits, and evaluating the mid-term report).

The **president of a Review Panel** prepares together with the programme coordinator the meetings of the Review Panel. S/He chairs the Review Panel meetings and ensures that all Panel members can bring forward their opinions/assessments and arguments in the discussions. The president keeps an overview of the research progress of all projects (focus on scientific quality) and takes part, whenever possible, in the scientific support of all projects. S/He serves as spokesperson for the module and may delegate this function to other members of the Review Panel.

The **delegate of the SDC** has the same role as the other experts in the Review Panel, but focuses particularly on the projects’ pathways to impact and their respective communication and application strategy.

The **delegate of the SNSF** assures compliance with the SNSF evaluation procedure. S/He does not act as referee or co-referee and has no right to vote in the Review Panel. S/He is responsible for presenting recommendations and decisions made by the Review Panel to the National Research Council.

The **programme coordinator** is the main contact person for the Review Panel members and the researchers and ensures a smooth management of the module and the r4d programme.

For research-related questions and in order to discuss scientific issues, the researchers are welcome to get in touch with the Review Panel members. These contacts are initially organised by the programme coordinator.

Table 1: Projects within the module Public Health and assigned Review Panel members

| PI | Title | Countries | Supporting experts |
|--------------------------------------|---|---|--|
| NEW PROJECT | | | |
| Mirko Winkler | Health impact assessment for engaging natural resource extraction projects in sustainable development in producer regions | Burkina Faso, Ghana, Mozambique, Tanzania | Susanna Hausmann Marjo de Theije (member of Social Conflicts Review Panel) |
| PROJECTS THAT STARTED IN 2016 | | | |
| David Beran | Addressing the double burden of disease: improving health systems for Noncommunicable and Neglected Tropical Diseases | Mozambique, Nepal, Peru | Joanna Schellenberg Jacques Mader |
| Jürgen Maurer | Inclusive social protection for chronic health problems | India, Malawi, Sri Lanka | Abbas Bhuyia Soonman Kwon |
| Fabrizio Tediosi | Health systems governance for an inclusive and sustainable social health protection in Ghana and Tanzania | Ghana, Tanzania | Andrew Cassel Tim Ensor |

4.2 Instruments

The r4d projects face the challenge to meet high scientific quality standards while being of high development relevance. This requires support to encourage discussions between researchers and the members of the Review Panel as well as between researchers and representatives from the policy and practice realms. The support for projects focuses particularly on the creation of development-relevant scientific knowledge. The programme encourages innovative approaches and activities related to communication and application, including experimentation with knowledge sharing formats and tools.

4.2.1 Programme and module meetings

The r4d programme organises meetings in order to support and enhance exchange among researchers, the Review Panel, stakeholders and funders. They allow for identifying and making use of synergies and emerging topics to be taken up in the programme and module syntheses. The r4d programme offers the three events series called r4d Forum, r4d Conferences and r4d Skills (see box).

The first Public Health module meeting was the **r4d Forum Public Health on 17/18 March 2016**. The objectives of this meeting were (i) to enable collaboration between researchers and the Review Panel members of the module, (ii) to exchange with interested representatives from policy and practice about the new r4d projects in the module Public Health and thematically related r4d projects from the open call module, (iii) to get familiar with r4d programme objectives, organisation of the modules and milestones, and (iv) to foster community-building and early r4d programme stakeholder engagement with representatives from policy and practice.

r4d Forum is a series of events to stimulate exchange, discussion and debate among r4d researchers, Panel Members, stakeholders and funders.

r4d Conferences offer platforms to present, discuss and debate research results generated by the projects of the r4d programme with international renowned experts and leaders in their respective fields.

r4d Skills is a series of learning events among r4d researchers actively dealing with and being exposed to the challenges of contemporary inter- and transdisciplinary research for development, carried out in trans-national research partnerships.

The first **r4d Conference** (International Conference on Research for Development; ICRD) will take place on 8 September 2017. A second **r4d Conference** is foreseen for summer 2021.

Events in the series **r4d Skills** take up issues and concerns of research conducted in the r4d programme. They are offered irregularly and are announced to the r4d research community.

4.2.2 Site visits

The Site visits are project meetings, organised by the respective research team in close collaboration with the programme coordinator. The aim of a Site visit is to enable the grantees, the project staff and the supporting experts of the Review Panel to share information about (i) the status and planning of work, (ii) the experiences acquired to date, and (iii) the activities for communication and application. The Site visits shall allow for identifying and exploring the opportunities for cooperation and need for advice; they also serve as an early warning system in case of any difficulties.

Site visits can take place in Switzerland or in selected country contexts of the projects. Decisions about the venue shall take into account access to site and travel logistics (including time and finances). The research team is fully in charge of Site visit organisation, programme and logistics on site. The entire consortium of grantees shall be present; researchers and PhD students working in the country where the Site visit takes place are expected to attend.

The Site visits in the r4d programme are topic-driven and provide insights into specific moments and selected aspects of the research process of the usually large research consortia. Site visits normally have a duration of 3 to 4 days (including travel) and shall at least feature the following two agenda points:

- Project presentation by the research consortium, including exchange with assigned Panel members (focus on current stage of research and on partnerships for co-creation of knowledge). Pure presentation time shall be limited in favour of enabling interaction of assigned Panel members with the research team as well as among the research team members.
- Stakeholder event or public event (focus on communication and application/pathways to impact).

The assigned Panel members will provide a written feedback on the Site visit for the research team.

The Site visits of the projects that started in 2016 will take place between **October 2016 and February 2017**.

The Site visits of the new project will take place between **in spring / summer 2019**.

4.2.3 Progress report

Progress reports are required to assess the scientific quality and the progress with regard to communication and application. Progress reports should not be longer than 10 pages and have to follow provided guidelines. The reports focus on the Results Framework of the individual projects and provide an overview of the state of research and completed and planned communication and application. Additionally, project teams are requested to provide systematic Output data on mySNF and to hand in an updated factsheet, which is published on the r4d website. A reminder will be sent six weeks before the submission deadlines of the reports. Submission of reports is done electronically via the mySNF portal.

The 1st Progress reports of the projects that started in 2016 are due on **15 July 2017**. For projects prolonged for another three years, a second progress report is due on **15 July 2020**.

The 1st Progress report of the **new project is due on 15 January 2019**. The 2nd Progress report of the new project when prolonged is due on **15 January 2022**.

The progress reports are evaluated by the Review Panel. The two supporting experts have the lead in the evaluation of the respective project. Potential recommendations are sent to the research teams.

4.2.4 Mid-term report

After the first two to three years each project submits a mid-term report. This report is a means to evaluate the work progress of the first research phase and the project plan for the second research phase. Mid-term reports will be due at the same time for all projects within the module in order to provide an overview of the state of research at a given point in time.

The mid-term report consists of two parts: 1) a progress report (approx. 10 pages) that has to follow provided guidelines, and 2) a request for the project prolongation including a short research plan (approx. 5 pages). Additionally, project teams are requested to provide systematic Output data on mySNF and to hand in an updated factsheet, which is published on the r4d website. A reminder will be sent six weeks before the submission deadlines of the reports.

The submission deadline for the mid-term reports for the projects started in 2016 is **15 July 2018** and for the new project **15 January 2020**.

The Review Panel will evaluate whether a prolongation is advisable and may seek external experts' opinion. The final decision will be ratified by the Swiss National Research Council in **November 2018 and March 2020, respectively**. Decisions will be communicated to the responsible grantee in **November 2018 and March 2020, respectively**.

4.2.5 Final project report

The final report is required to assess scientific and practice-oriented output. The procedure for previous progress reports applies also to the final report. The submission deadline is **six weeks after the end of the project**. Additionally, project teams are requested to provide systematic Output data on mySNF and to hand in an updated factsheet, which is published on the r4d website.

The final project reports are examined by the Review Panel (lead by the two supporting experts of the respective project).

4.2.6 Financial reporting

The financial reports have to cover the project parts in Switzerland and the partner countries. The responsible grantee submits annually (first report due 12 months after project start) an interim financial report and a final financial report after the end of the project.

For the large and complex r4d projects the SNSF provides the responsible grantee or the grant administration office with the online financial monitoring and reporting tool r4dIRA (r4d Information Reporting Application). The responsible applicant/the project coordinator and the grant administration staff get training and support by the SNSF.

The responsible grantee must account for the use of the funds transferred to the other grantees. Confirmation that a specific sum has been received is insufficient. The other grantees are responsible for the compilation of a financial report at their institution on the funds allocated to them and for the transmission of this report along with **all receipts** to the responsible grantee or to the latter's grant administration office. They have to complete the provided excel spread sheet and submit it with the relevant receipts. Hence, the responsible grantee solely enters his/her project costs in his/her financial report along with the instalments transferred to the other grantees. If possible, the financial reports and receipts should be submitted exclusively in electronic form via mySNF. For this reason, the other grantees should make their reports available to the responsible grantee in electronic form.

Receipts which are not written in English, German or French should be complemented with a short explanation in one of these languages, either on the official account forms or on the receipts themselves. All receipts for foreign currency transactions should also state the equivalent amount in Swiss Francs.

Financial project supervision is in the responsibility of the SNSF Administrative Offices. The invitations for the financial reports are sent by the Finance unit of the SNSF Programmes Division

six weeks before the end of the one-year period. The submission deadline expires six weeks after the end of the one-year period.

5. Communication and application

5.1 Programme and module level

The communication and application strategies are integral parts of the r4d programme, its modules and the projects. Therefore the modules and the projects should aim to realise as much as possible of the knowledge exchange potential in order to increase awareness and have an impact on the policy and practice realms. The r4d programme differentiates between different types of communication and knowledge exchange activities.

General public relations work covers communication with and information to the general public about the programme and its results, primarily through the r4d website, media relations and corporate publishing. This is done under the responsibility of the programme coordinator in close collaboration with the SNSF Communication Office and the research desk at SDC. The r4d website provides a comprehensive overview of the entire r4d programme and its six modules. National media contacts in Switzerland (interviews, press conferences and notifications) will be organised and financed by the SNSF after approval by SDC.

Knowledge exchange is the joint responsibility of the r4d programme, the modules and the projects. Knowledge exchange is a two-way process which brings together researchers, users of research and wider groups and communities to share ideas, evidence, experiences and expertise. By creating a dialogue between stakeholders from science, policy and practice, knowledge exchange helps research to co-produce knowledge, and to influence policy and practice. Primary knowledge exchange instruments are r4d fora and conferences, and Site visits.

5.2 Project level

Each research project develops its own communication and application strategy. Research projects can set up their own websites. The grantees are obliged to provide the respective information and links to be included in the r4d website.

When planning national media activities regarding research projects or results in the context of the r4d programme, grantees must contact the programme coordinator ahead of time to discuss whether the research institute or the r4d programme will be responsible for the activities. They must facilitate the close coordination of the research institutes' public relations activities with those of the SNSF and the r4d programme.

Grantees are responsible:

1. to suitably represent the project at official events and make a connection to the r4d programme;
2. to inform the programme coordinator of any online and print publication resulting from the project; and
3. to consult the programme coordinator before engaging in media activities and campaigns.

Grantees respect branding rules accordingly:

- In oral presentations, research group members are required to acknowledge the r4d programme as well as its funders SDC and SNSF.
- For all written presentations and publications related to r4d projects (including results) it is required to acknowledge the r4d programme. If possible, the r4d programme logo, the logos of the funders SDC and SNSF, and the link to the website www.r4d.ch have to be included.

Alternatively the following box can be used as graphic element.



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

In the light of global challenges the Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation (SNSF) launched in 2012 the joint «*Swiss Programme for Research on Global Issues for Development*» (r4d programme). The main goal of the r4d programme is the generation of new knowledge and the application of research results that contribute to solving global problems and securing public goods in low- and middle-income countries within the framework of global sustainable development. The r4d programme consists of six modules, five with thematic priorities and one for thematically open calls.
www.r4d.ch



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development
and Cooperation SDC



SWISS NATIONAL SCIENCE FOUNDATION

The logos and the png of the box are provided as downloads on the r4d website.

6. Time schedule of the module Public Health

| Date | What |
|------------------------------|--|
| 3 July 2014 | Call for pre-proposals |
| 16 October 2014 | Submission deadline for pre-proposals |
| 16 January 2015 | Review Panel meeting, evaluation pre-proposals |
| 7 May 2015 | Submission deadline for full proposals |
| 2-3 July 2015 | Review Panel meeting, evaluation proposals |
| 8 September 2015 | Decision by National Research Council |
| 15 September 2015 | Ratification by Presiding Board |
| 16 September 2015 | Communication to researchers |
| October 2015 - March 2016 | Start of research |
| 17/18 March 2016 | r4d Forum Public Health |
| October 2016 – February 2017 | 1 st Site Visits |
| 15 July 2017 | 1st Progress reports (deadline) |
| 15 July – 15 September 2017 | Feedback to progress reports by assigned Panel members |

| | |
|-----------------------------|---|
| September 2017 | r4d Conference (ICRD 2017) |
| 15 July 2018 | Mid-term reports (deadline) |
| October 2018 | r4d Forum Public Health and Evaluation of mid-term reports |
| November 2018 | Decision by National Research Council |
| November 2018 | Communication of decision to researchers |
| Spring / Summer 2019 | Site visit new project |
| January/February 2019 | Start second phase of research |
| 15 January 2019 | 1 st Progress report new project (deadline) |
| 15 January 2020 | Mid-term report new project (deadline) |
| March 2020 | Mid-term Evaluation new project |
| March 2020 | Decision by National Research Council |
| March 2020 | Communication of decision about prolongation to researchers |
| April - August 2020 | Start second phase of research new project |
| 15 July 2020 | 2nd progress reports (deadline) |
| 15 July – 15 September 2020 | Feedback to progress reports by assigned Panel members |
| Summer 2021 | r4d Conference |
| 15 January 2022 | 2 nd Progress report new project (deadline) |
| May 2022 | End of synthesis work of the module |

7. Review Panel members and contact details of SNSF staff

Review Panel

Marjolein Dieleman (President of the Review Panel), Royal Tropical Institute, Amsterdam, The Netherlands

Abbas Bhuiya, Icddr,b, International Centre for Diarrhoeal Disease Research, Dhaka, Bangladesh

Claudia Binder (Delegate SNSF), Ecole Polytechnique Fédérale de Lausanne (EPFL), Lausanne, Switzerland

Andrew Cassels, Graduate Institute of International and Development Studies (IHEID), Switzerland

Timothy Ensor, University of Leeds, United Kingdom

Susanna Hausmann (Delegate SDC), Swiss Agency for Development and Cooperation, Berne, Switzerland

Joanna Schellenberg, London School of Hygiene and Tropical Medicine, United Kingdom,

Soonman Kwon, Seoul National University, Graduate School of Public Health, South Korea; China Center for Health and Development, Peking University, China

Jacques Mader was replaced by Susanna Hausmann as SDC Delegate in the Panel but will remain assigned expert to the COHESION project.

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