



Information Event r4d Additional Thematic Call

Berne, 1st March 2016



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development
and Cooperation SDC



Swiss Programme for Research
on Global Issues for Development



SWISS NATIONAL SCIENCE FOUNDATION

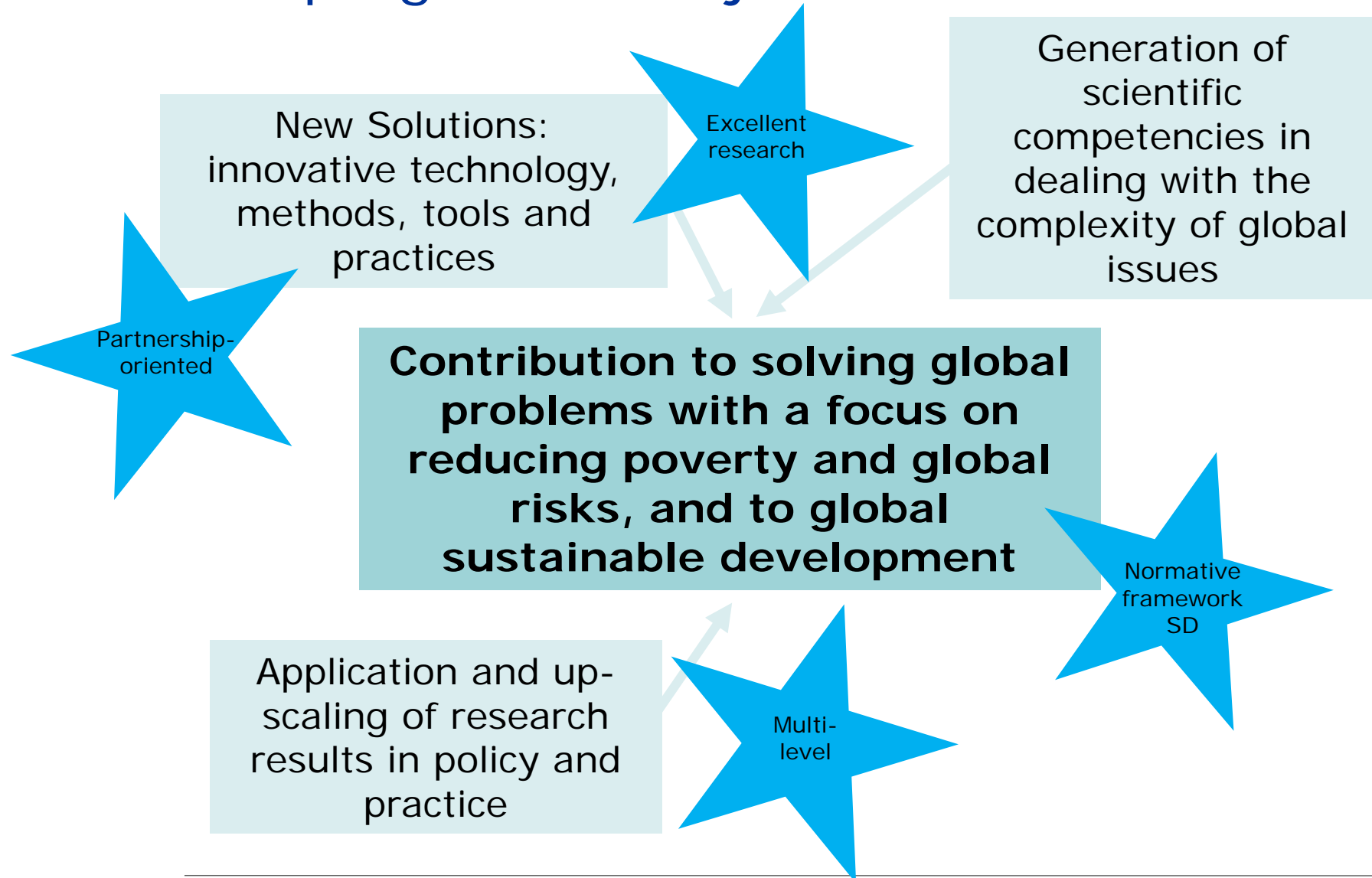


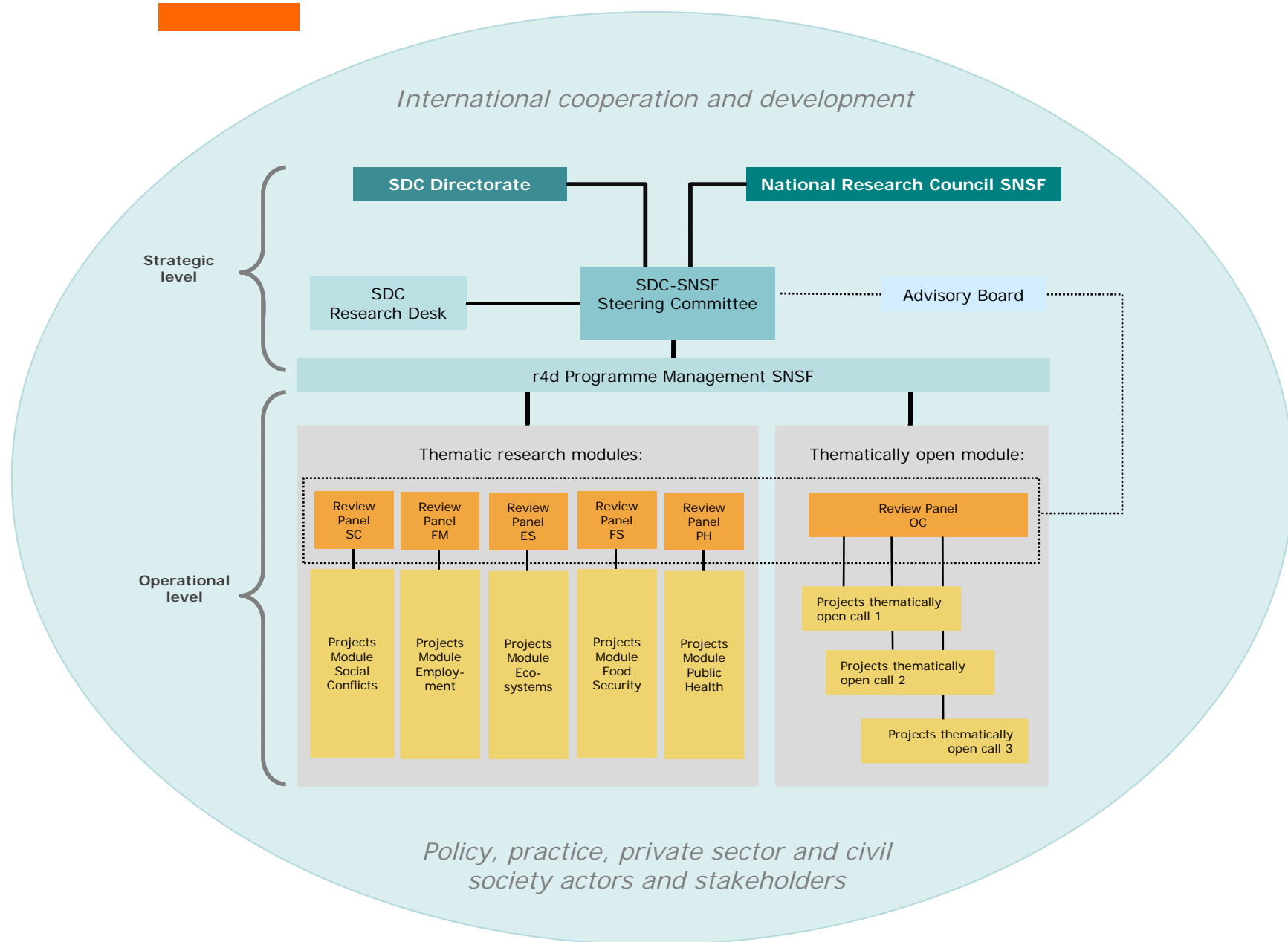
Agenda

1. Introduction of r4d programme
2. Characteristics of thematic r4d projects
3. KFPE's Guide for Transboundary Research Partnerships
4. Specifications of Additional Thematic Call
5. Time for questions

Flexible coffee break; coffee available in foyer (13:00-16:00)

r4d programme objectives





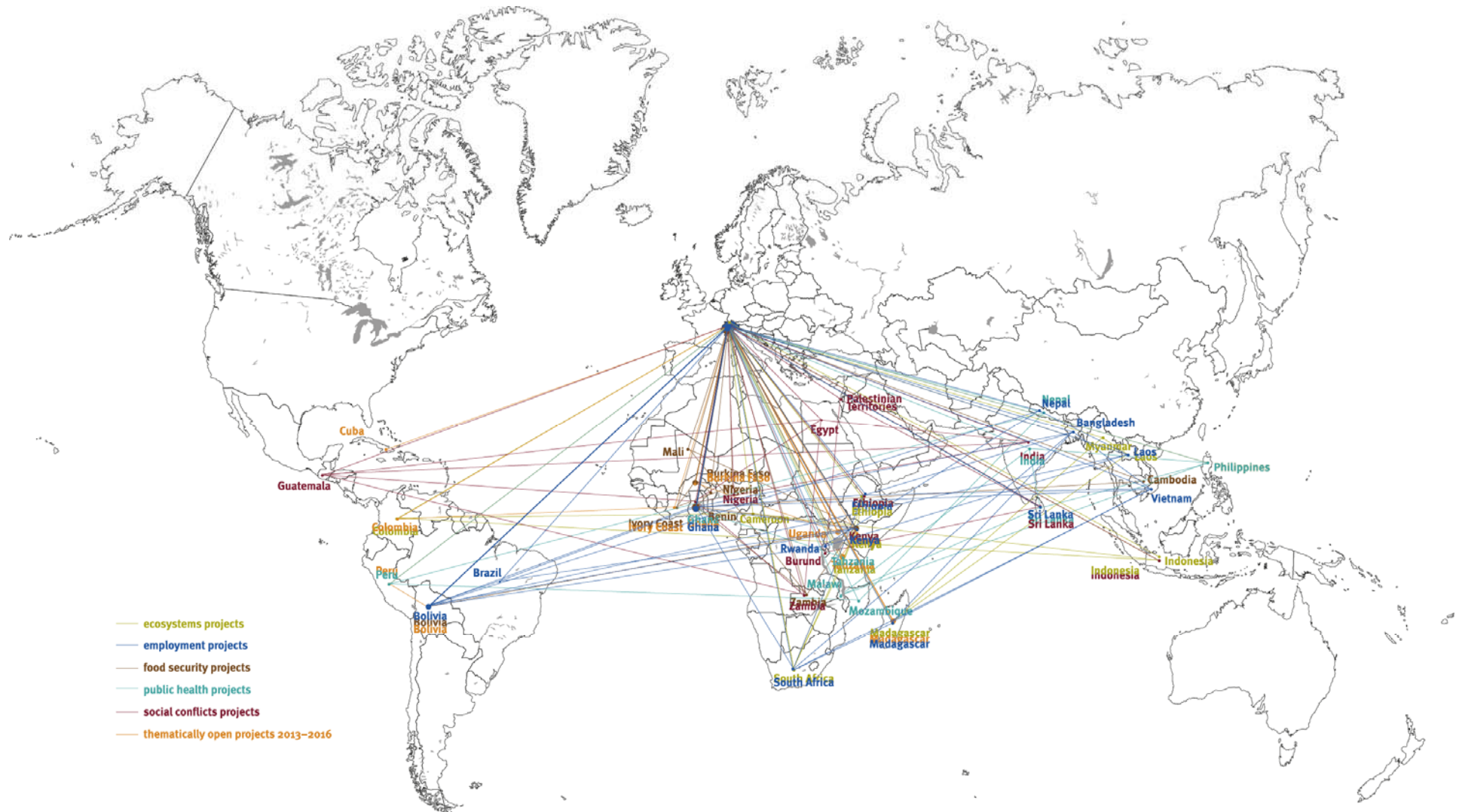


Thematic r4d modules

- 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

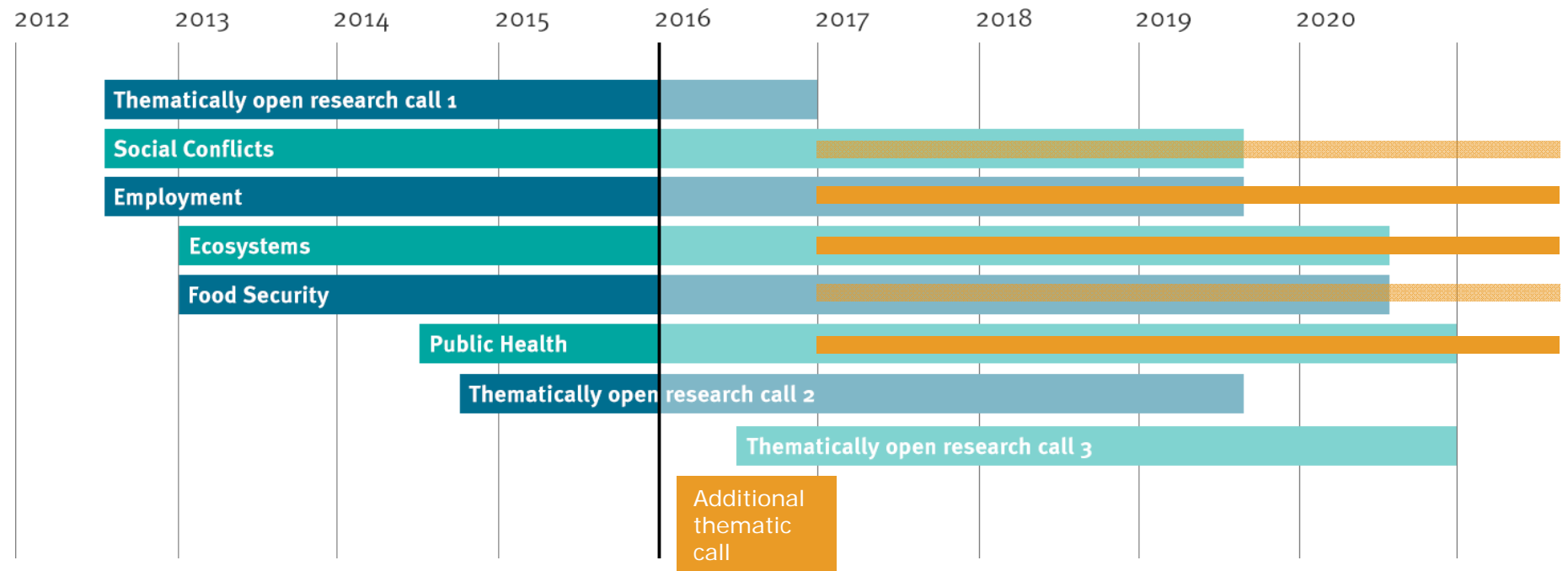
→ 17 thematic r4d projects ongoing

The r4d global research network





Timelines of the r4d modules

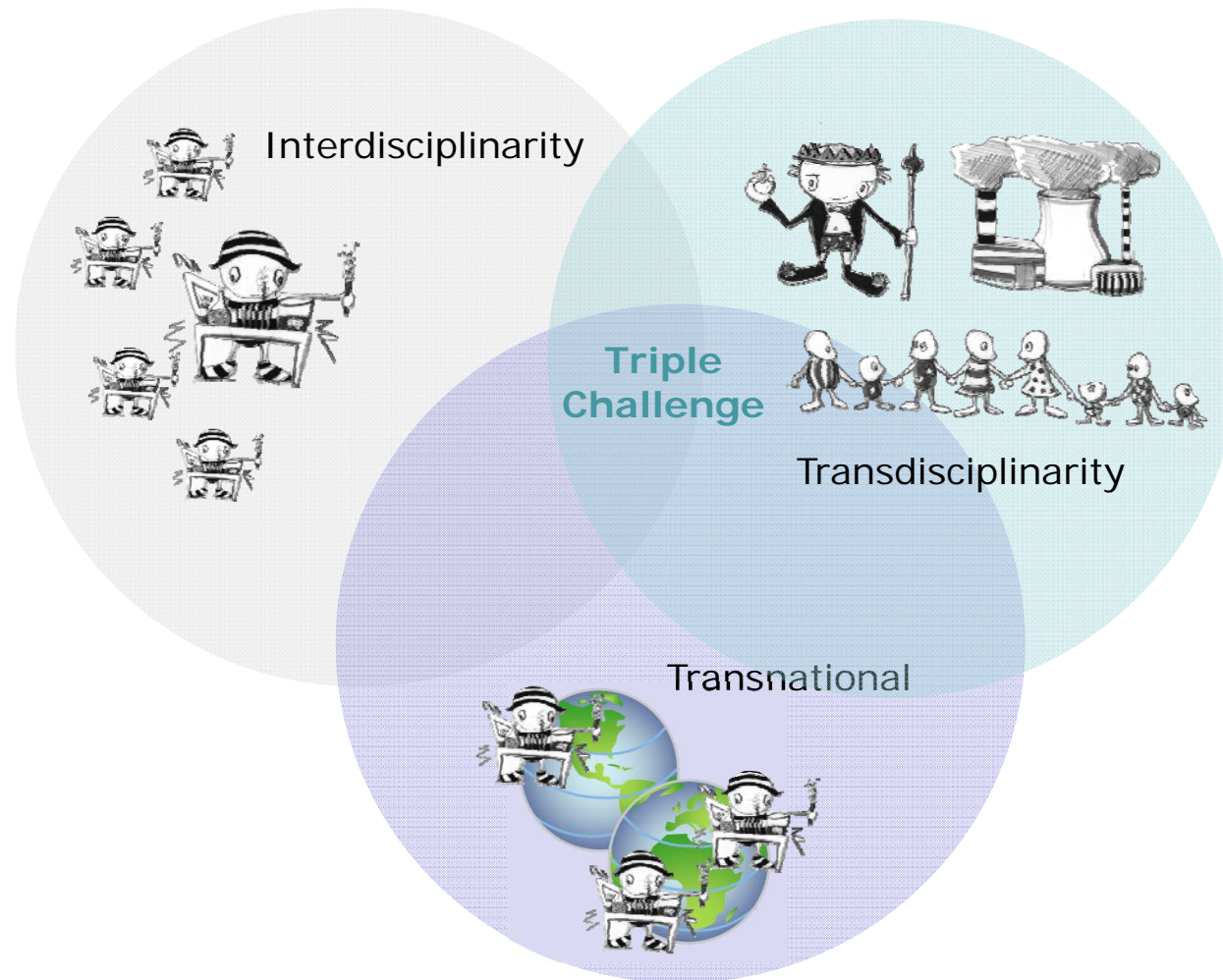


r4d programme events

- r4d Conference 2017 (planned for September)
- r4d Skills (1-2 per year)
- r4d Forum (2-3 per module life-time)



Characteristics of thematic r4d projects



Artwork: Janine Reutemann

Principles and some lessons learnt in trans-boundary and intercultural research partnerships

Dr. Jon-Andri Lys

Executive Secretary of the KFPE

KFPE

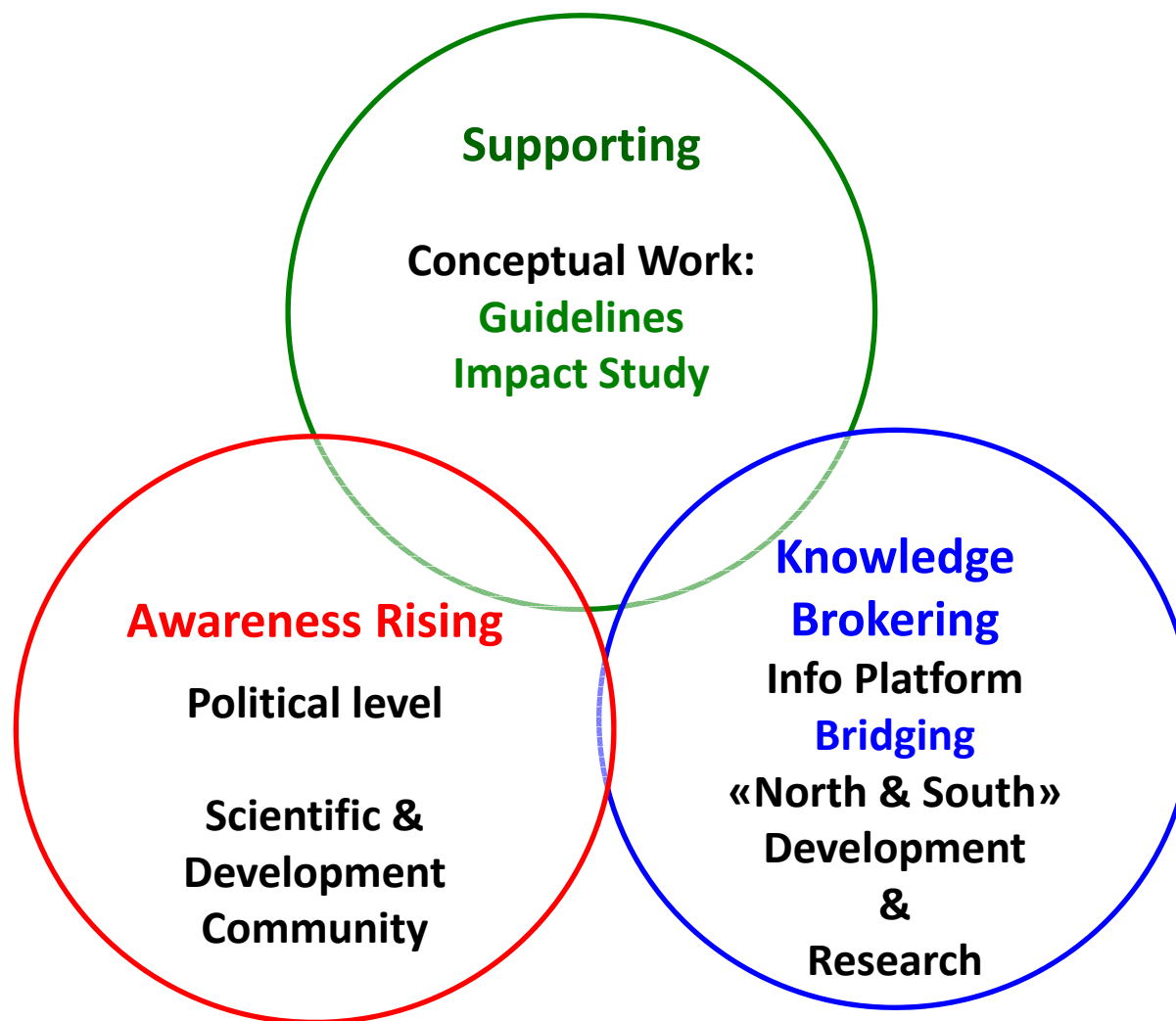
Swiss Commission for Research Partnerships with Developing Countries

Mission: KFPE promotes efficient, effective and equitable research co-operation with developing and transition countries. By doing so, it contributes to sustainable development and to solving global problems.

Its **members** are experienced in the field of scientific research partnerships with developing and transition countries.

At present, the **associated institutions** include about 50 Swiss institutions active in scientific research, in the promotion of scientific research or in development, Departments of the Federal Government, and Foundations.

Main Activities



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Commission for Research Partnerships with Developing Countries (KFPE)

KFPE is the information hub for «North-South» research in Switzerland, both for researchers and for the target audience of the research. It promotes efficient, effective and equitable research cooperation with developing and transition countries. By doing so, KFPE contributes to sustainable development and to solving global problems.



Switzerland and the Commodities Trade Taking Stock and Looking Ahead

Switzerland has recently emerged as one of the world's most important hubs in the global trade of commodities. But its rise has been accompanied by concerns about transparency, appropriate regulation, and risks to resource-exporting developing countries. A growing body of evidence points not only to beneficial, but also to harmful effects of commodities trading and extraction on resource-exporting poor countries. These include risks of unbalanced economic development, political corruption, environmental damage, and human rights violations. However, there is a profound lack of scientific research on the role of major commodity hubs in Switzerland, where vital commodity hubs are located. This publication explores the impact more mutually beneficial trade relations may have on Switzerland as a leading commodity hub.

17.02.2016
Publication

Switzerland and the
Commodities Trade - Taking
Stock and Looking Ahead

Critics being scrutiny

For years, researchers have highlighted the economic tendency of

researchers - but also to offshore financial centres, growing scrutiny of global finance and business has succeeded to include other com-



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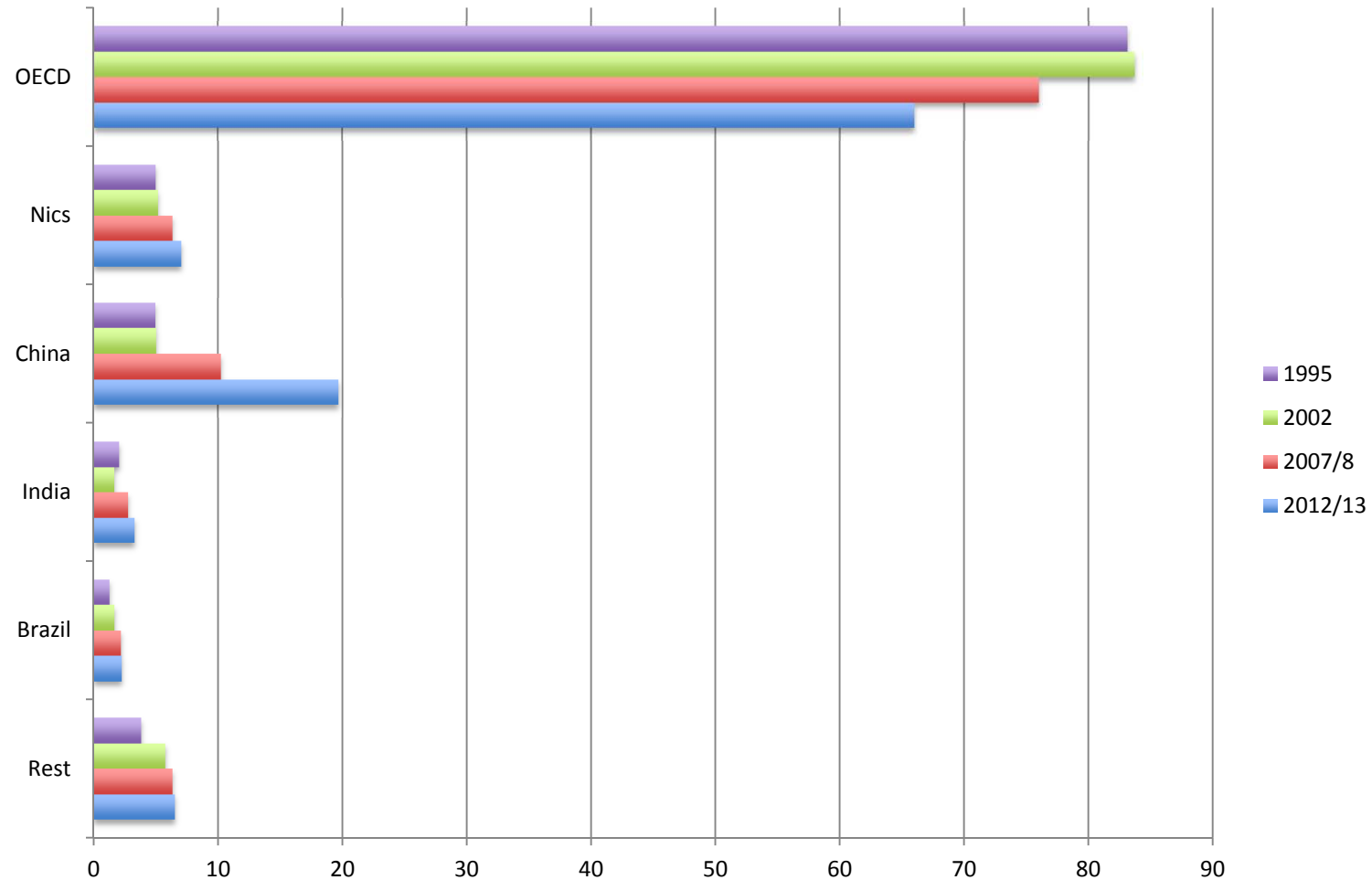
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KFPE Newsletter



register via:
kfpe@scnat.ch

The Scientific Imbalance



The distribution of worldwide spending for research (in %)
(UNESCO Science Reports 1998, 2005 and 2010 & 2015)

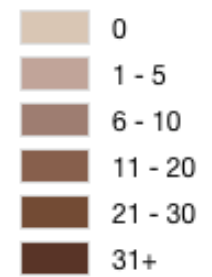
91 Awarded Grants • 12 Countries

Grants List ☰

Grand Challenges in Global Health ×

+

-



Box 3. Low Country Investments in R&D

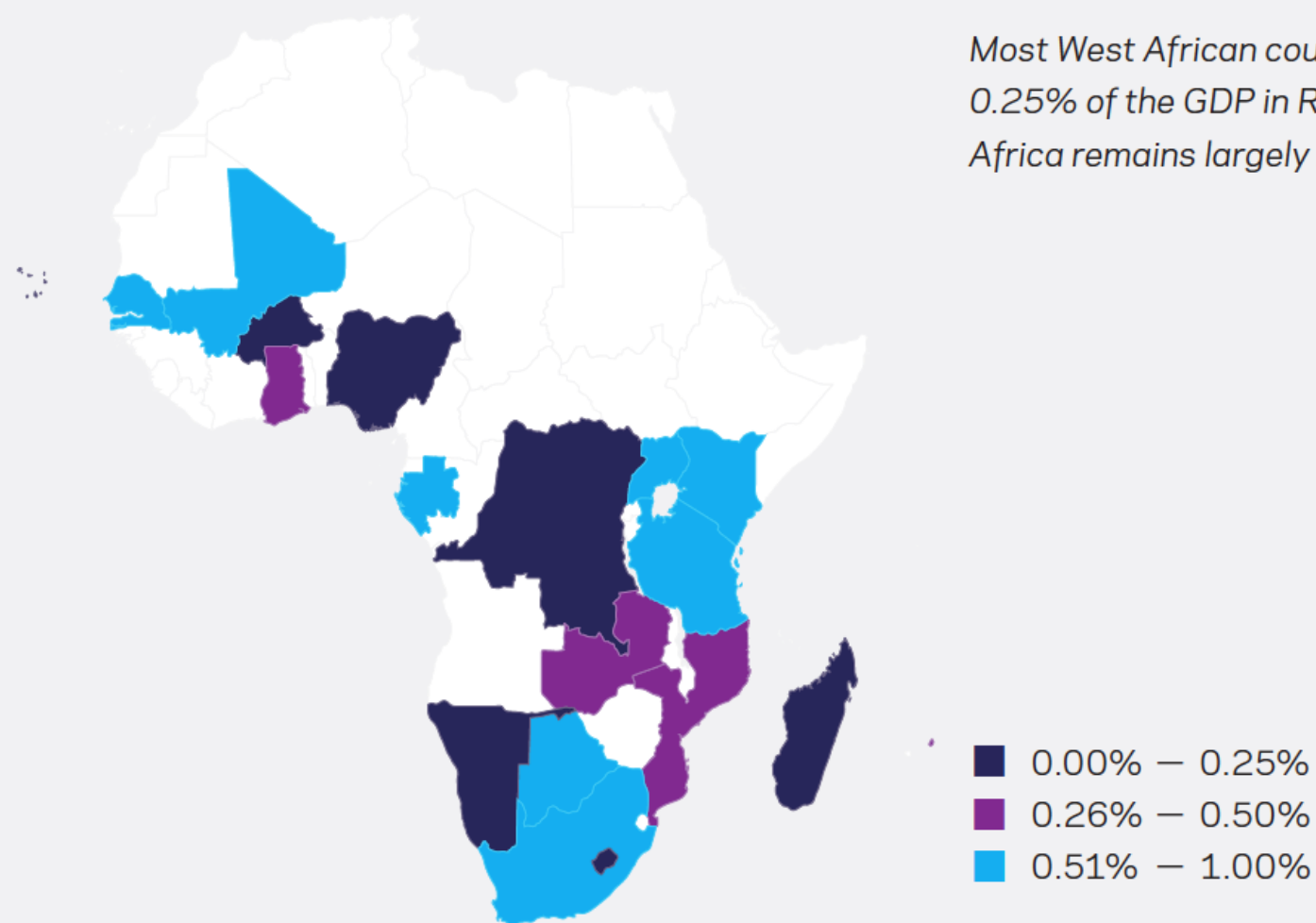


Figure C — Gross domestic expenditure on R&D (GERD) as a percentage of GDP, 2011 or latest available year for sub-Saharan Africa. Source: UNESCO Institute of Statistics.



Cartoon by Karl Herweg, CDE Univ. of Bern

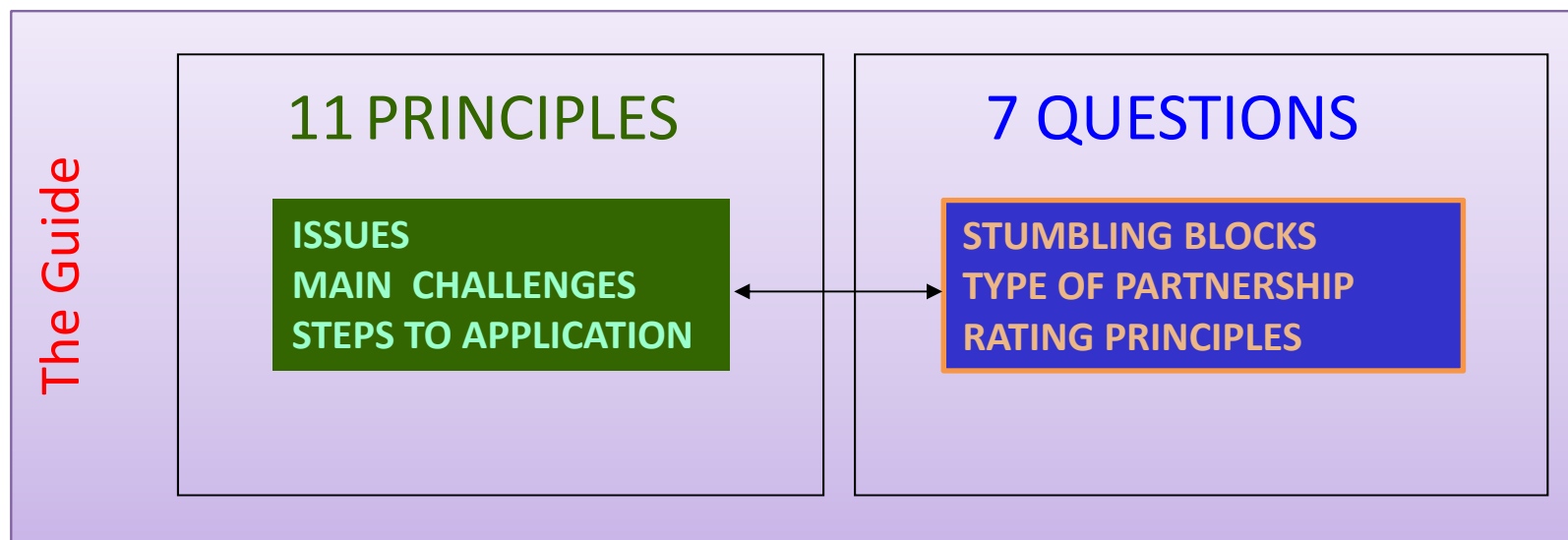
Asymmetries / Power imbalances

- Conceptual
- Financial
- Roles / Responsibilities
- Ownership of data/samples etc.

Danger

- > South serves only as a laboratory
or as data provider

A Guide for Trans-boundary Research Partnerships



2012 principles

- (1) Set agenda together
- (2) Integrate with stakeholders
- (3) Clarify responsibilities
- (4) Account to beneficiaries
- (5) Promote mutual learning
- (6) Enhance capacities
- (7) Share data & networks
- (8) Disseminate results
- (9) Pool profit & merits
- (10) Apply results
- (11) Secure outcomes

P1

Set the agenda together

Issues

Cooperation between researchers or research institutions can take a broad range of forms, from loose exchange of information to contract research and even long-term research collaboration [Q3]. Practical experience with North-South collaborations has shown that the more ambitious the goal and the closer the form of cooperation, the more important it is for all parties involved to reach mutual agreement on the meaning and the purpose of their work [Q1] [Q2]. Joint conduct of research that is relevant and of high scientific quality is only possible if all parties work together towards a shared goal from the very beginning – including the relevant stakeholders [P2]. While this seems obvious enough, it is not easy to implement in practice. Cases are rare where collaboration involves two research groups that contribute equally to funding, have equal scientific capacity, and share the same interests. Asymmetry is inevitable and a fact, but its negative impact can be reduced. Determining research questions, research approaches, and research methods jointly is a first important step towards more equity in cooperation, shared ownership and mutual trust.

Main challenges

To reach an understanding that the agenda-setting process requires all initial phases of identification, appraisal and planning to be tackled jointly.

To handle funding schemes and externally imposed obligations so as to guarantee freedom of research and open the partners' scope for participatory procedures.

To counterbalance «inherent inequalities» among partners in order to gradually build mutual ownership and accountability based on trust and motivation.

Steps to application

■ Be aware and clarify

- › Check partners' interests and reference systems;
- › Appraise external conditions such as research policy, rights of expression;
- › Assess potential driving forces regarding risk (disabling drivers) and opportunities (enabling drivers) [Q2].

■ Examine closely and search for options

- › Design the planning of «who will do what and how» in a participatory way;
- › Put joint formulation of the research questions at the center;
- › Define mutually expected outcomes;
- › List what requirements need to be fulfilled by partnership to achieve these results.

■ Stipulate rules and procedures

- › Jointly determine the varying levels of partners' involvement in all phases of the project cycle.

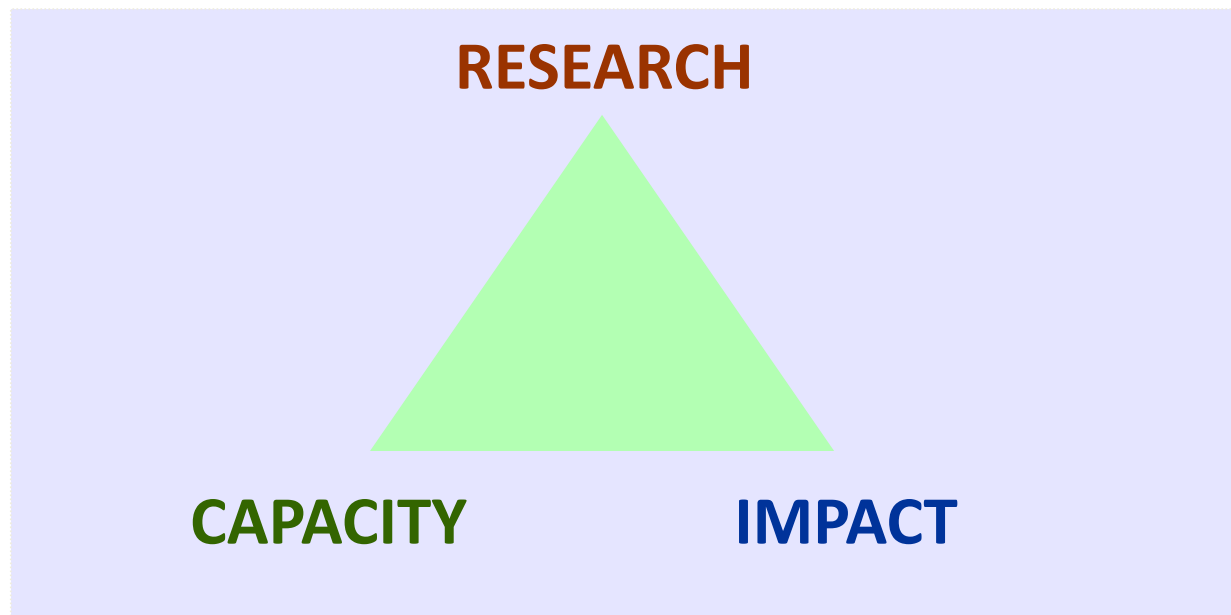
Joint undertakings stand a better chance when they benefit both sides. Euripides

The 7 Key Questions

(stumbling blocks, main debates)

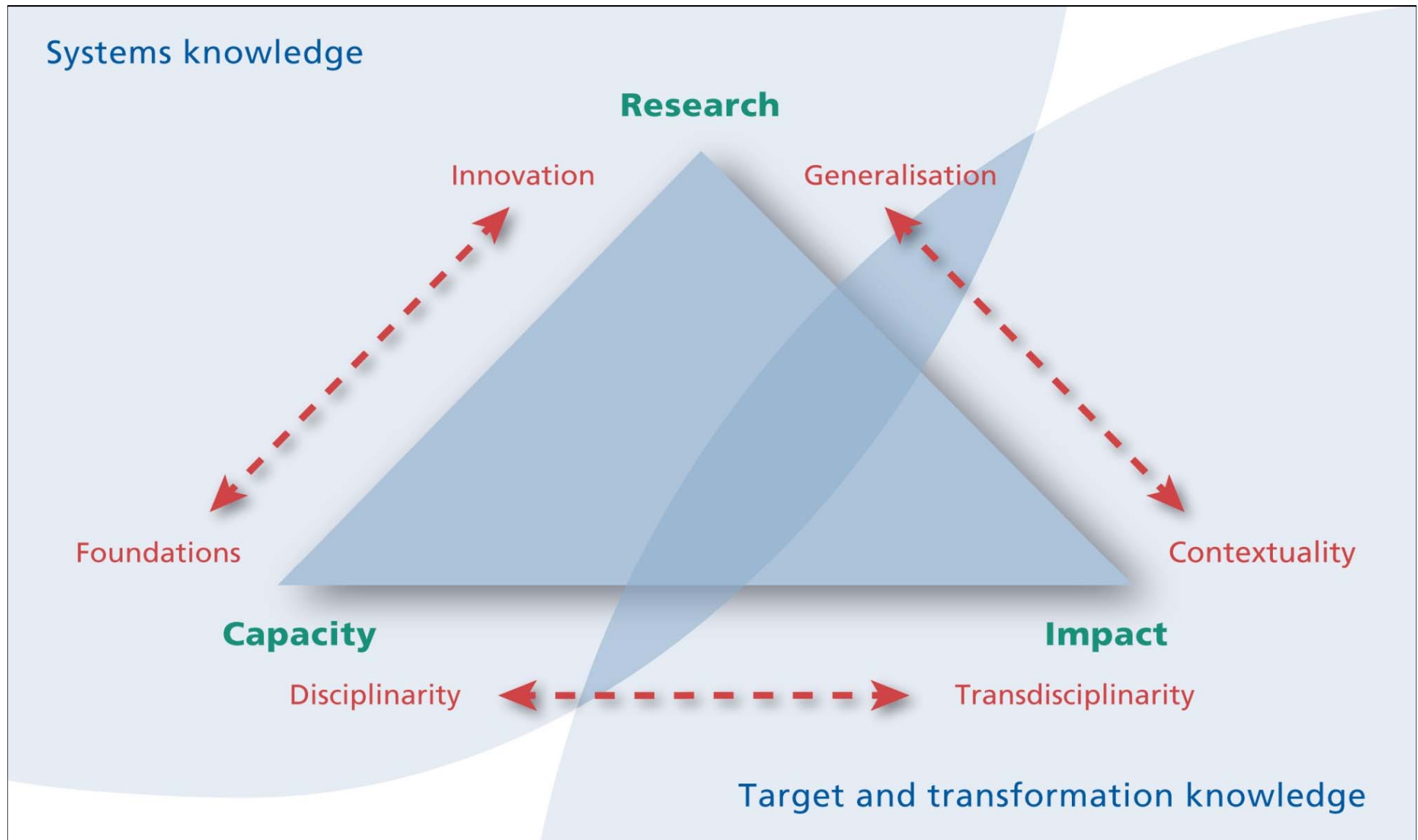
Why to work in partnership ?	Added value, Win-Win, Necessity (global issues)
How to ensure cohesion ?	Dividing Forces and Counterbalance
What form of collaboration ?	Project, Network, Programme, Alliances
Which foci and priorities ?	Research – Impact – Capacity Building
Who to involve ?	Peers, Beneficiaries, Donors, Intermediaries
Where to create relevance ?	3 Types of Knowledge, Social Embedment
When to consolidate outcomes ?	Transdisc. Interact., Instit. Consolidation

Research partnerships
What is particular?

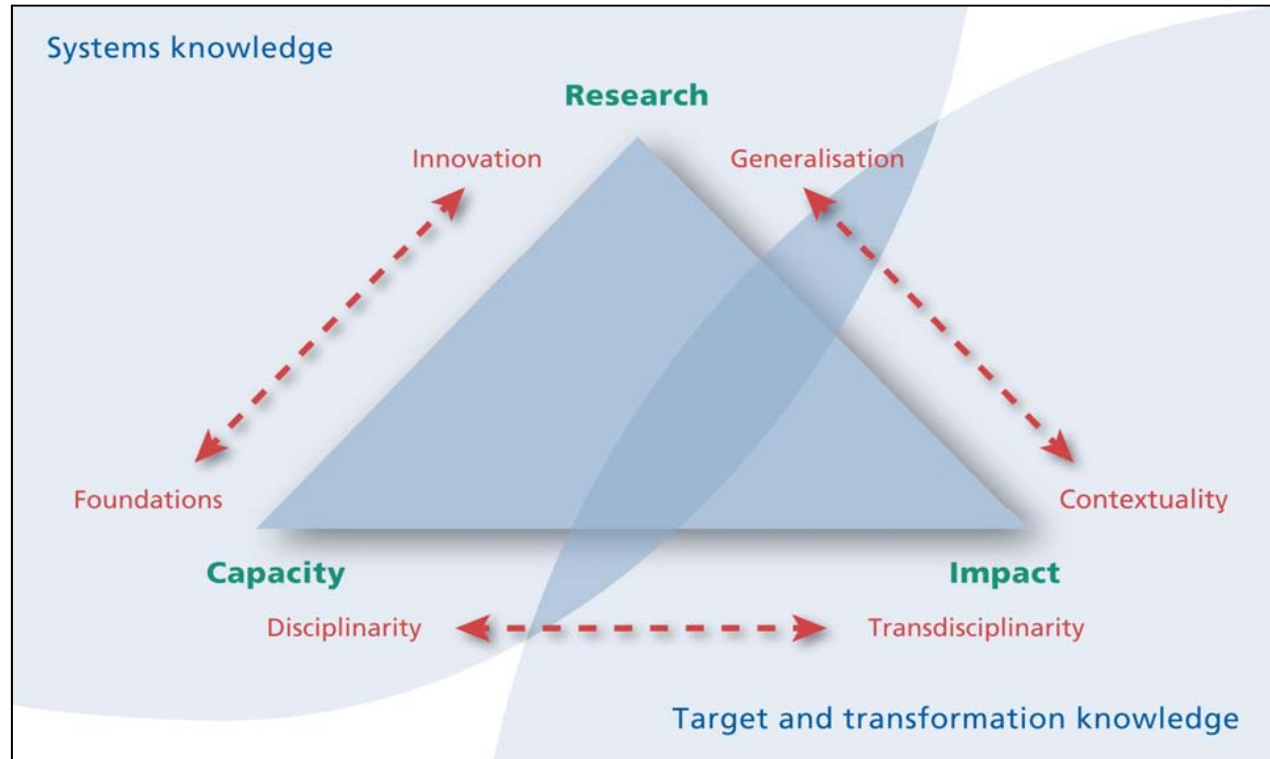


(-> Q-4: Which foci and priorities?)

The tree basic goals are in conflict



(Wiesmann, Stöckli & Lys, 2012)



Recommendations to deal with these conflicting goals [\(Question 4\)](#):

- 1) Clear prioritization in one or two of the goals.
Adequate for projects limited in time and scope
- 2) Maintain all three goals but phase and/or subdivide the endeavour into specific components.
Adequate for long-term programmes and networks/alliances

NCCR North-South

A 12 year program, 2001-2013

9 Regions, more than 40 countries

197 regional partners

Around 400 researchers involved

Financed by SNSF and SDC

<http://www.north-south.unibe.ch>



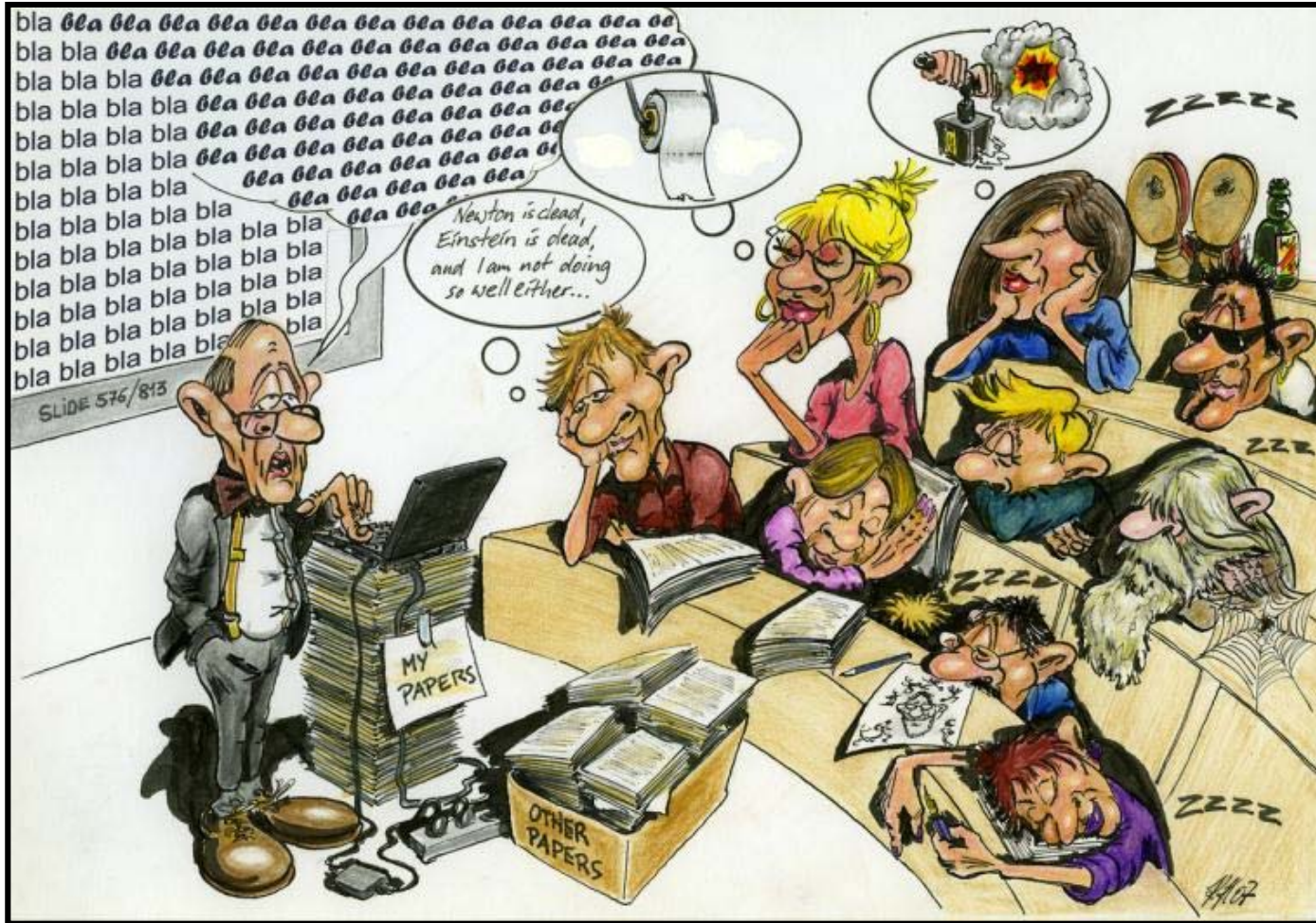
Joint Agenda setting process (P1 & P3)



Karl Herweg, CDE

Joint undertakings stand a better chance when they benefit both sides (Euripides)

Capacity Building (P6 & Q7)



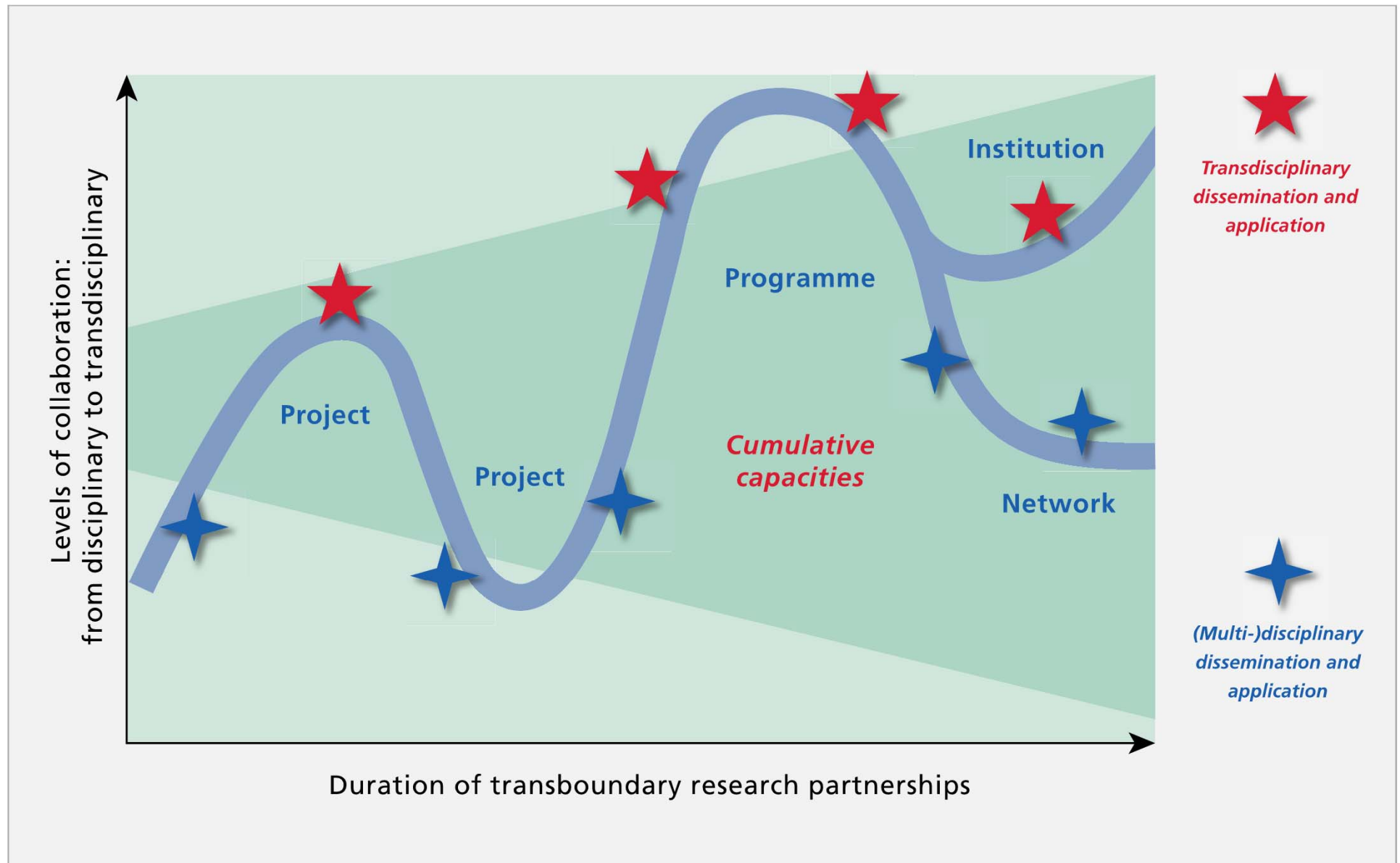
An investment in knowledge always pays the best interest (Benjamin Franklin)

Interact & exchange with stakeholders
(P2, P4, P8, P10 & Q5, Q6, Q7)



We have two ears and one mouth so that we can listen twice as much as we speak (Epictetus)

Iteration between disciplinary, interdisciplinary and trans-disciplinary approaches (Q-7)



Conclusions

For successful research partnerships, we need to understand:

- our scientific and non-scientific partner's motivations:
→ the official narrative and the hidden, the different objectives
 - who wins in the partnership? ... and who loses? ... and who decides? etc
 - the expectations from the application side but also from the funding agencies
 - ways to make the partnership grow into an enduring relationship
- > go for a balanced equilibrium

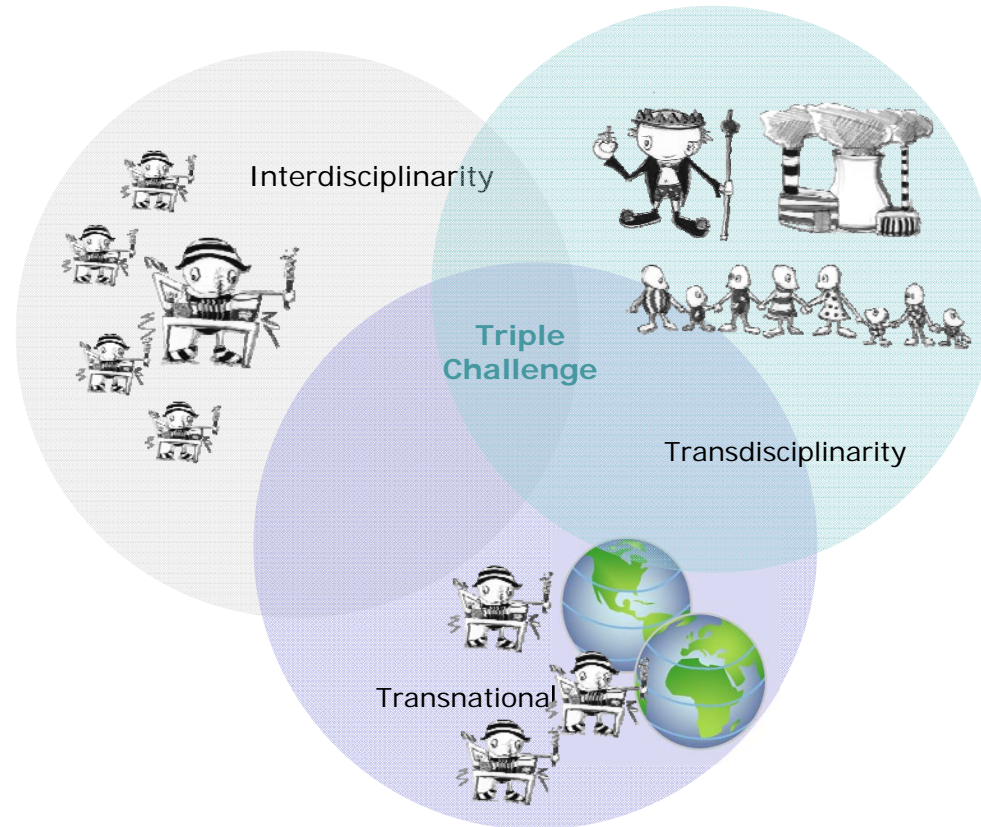
Some additional important ingredients:

- Creative listening
- Respect and interest for the roots of the others (background, culture, history etc.)
- Mutual learning (for change)

Thank you

www.kfpe.ch

Characteristics of thematic r4d projects



Duration of 6 years and budget of up to CHF 3 Mio



First round of questions



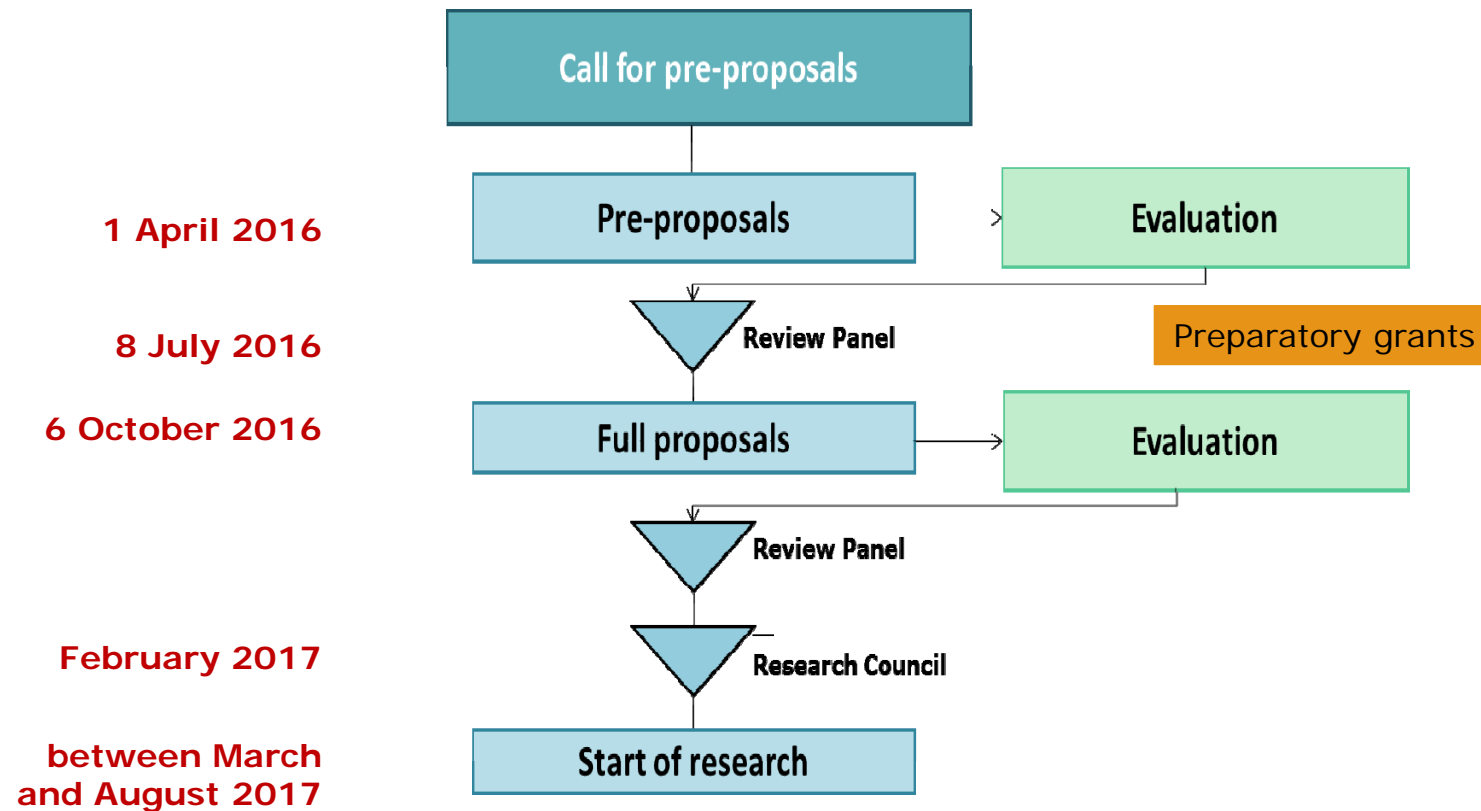


Additional Thematic Call 1 - Topics

Topics address research gaps in the thematic modules Employment, Ecosystems and Public Health and include a cross-cutting topic:

- Conditions and dynamics of employment, with a particular focus on vocational training, in the context of sustainable development
- Ecosystems, ecosystems management, and climate change
- Social determinants and equitable access to health
- Natural resource governance for sustainable development

Additional Thematic Call - Evaluation process





Additional Thematic Call - Evaluation criteria

Scientific quality

- Scientific relevance, originality, topicality
- Suitability and feasibility of methods
- Applicants' scientific track record and composition of consortium

Relevance for development

- Research contributes to reducing global problems taking into account relevant international debates and policies
- Communication and application strategy and involvement of the key stakeholders
- Balanced distribution of duties, responsibilities, competencies between partners

Budget and governance

Scientific quality and Relevance for development are weighed equally



Additional Thematic Call - Eligibility

- Researchers working at **research institutions** in Switzerland
- except PIs of an ongoing r4d project within a thematic module – **main applicant and co-applicants**
- Researchers originating from a developing country and based at an institution in Africa, Asia and Latin America – **co-applicants**

Examples:

- WHO / UNEP / IUCN are **not eligible** as Swiss research institutions
- CGIAR (Consultative Group on International Agricultural Research) institutions are generally **eligible**. **However, applicants must be citizens of a developing country.**



Additional Thematic Call - Countries

Only research partnership projects are funded.

- Research partnerships 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 developing countries and from Switzerland is highly recommended.
- Research partners from the BICS and upper middle income countries (**group 2**) can participate in the research partnership projects.



Additional Thematic Call - Countries

Country group 1	Country group 2
<p>Countries in the OECD-DAC list classified as:</p> <ul style="list-style-type: none">• Least developed countries• Other low income countries• Lower middle income countries and territories• Cuba as a SDC priority country	<ul style="list-style-type: none">• 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.



Additional Thematic Call – Eligible costs

Salaries

- Doctoral candidates
- Academics or senior researchers doing research and coordination in the project
- Technicians
- Assistants
- MSc students (only in country group 1)

The salaries of Swiss applicants are not covered.



Additional Thematic Call – Eligible costs

- Communication and application activities
- Equipment of enduring value (only in country group 1)
- Research funds
- 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.



Additional Thematic Call – Financial conditions

At least **50% of the academic personnel** (in person months) per project resides in countries of group 1.

At least **40% of the approved amount** must go to the partners from countries of group 1.

10% to 15% of the amount must be used for application and communication.



Additional Thematic Call – Documents

Pre-proposal:

- Research plan (based on template, max. 5 pages)
- CV including list of ten most relevant publications for PI and Co-PIs (max. 2 pages)
- Confirmation (EoI) of research partnership by Co-PIs
- All containers in mySNF completed including budget

Please indicate to which of the following research topics your pre-proposal belongs to (one option only):

<input type="checkbox"/>	Topic 1: Conditions and dynamics of employment, with a particular focus on vocational training, in the context of sustainable development
<input type="checkbox"/>	Topic 2: Ecosystems, ecosystems management, and climate change
<input type="checkbox"/>	Topic 3: Social determinants and equitable access to health
<input type="checkbox"/>	Topic 4: Natural resource governance for sustainable development



Additional Thematic Call – Documents

Proposal (upon invitation only):

- Research plan (based on template, max. 30 pages, including also Pathways to impact, Communication and application strategy, Results framework)
- CV including list of ten most relevant publications for PI and Co-PIs (max. 2 pages)
- Confirmation of research partnership by Co-PIs
- All containers in mySNF completed including budget
- Detailed budget (based on template)

Monitoring and reporting process – 1st research phase



Start of
research

Site Visits

Decision about
prolongation of
projects

1st Progress
report

Mid-term reports

Financial
report

Financial
report

Financial
report

Spring 2017

Summer 2018

Autumn 2019

Relevant documents



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Administration of grants

This is the repository page of key documents to administer a grant of the r4d programme. Researchers of the r4d programme find here regulations, guidelines, forms and communication elements.

Here you find key documents to administer a grant of the r4d programme. Please note that English is not an official language of Switzerland. The SNSF documents in English are provided for information purposes only and do not have legal force. The legally relevant SNSF documents can be accessed via the SNSF Website ([Documents and Downloads](#)).

To administer a grant (SNSF forms and regulations)

- [Funding Regulations \(PDF, 158 KB\)](#)
- [New Funding Regulations \(in force since 01.01.2016\) \(PDF, 264 KB\)](#)
- [General implementation regulations for the Funding Regulations \(PDF, 329 KB\)](#)
- [Rates for employees - rates for social security contributions \(Annex I\) \(PDF, 232 KB\)](#)
- [Sample employment contract \(Annex II\) \(PDF, 188 KB\)](#)
- [Beitragsverwaltende Stellen \(Anhang III\) \(PDF, 101 KB\)](#)





Time for more questions

