



Management Principles r4d Social Conflicts

Information for researchers

May 2015



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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.

The Management Principles differentiate between grantees (responsible grantee and other grantees), 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

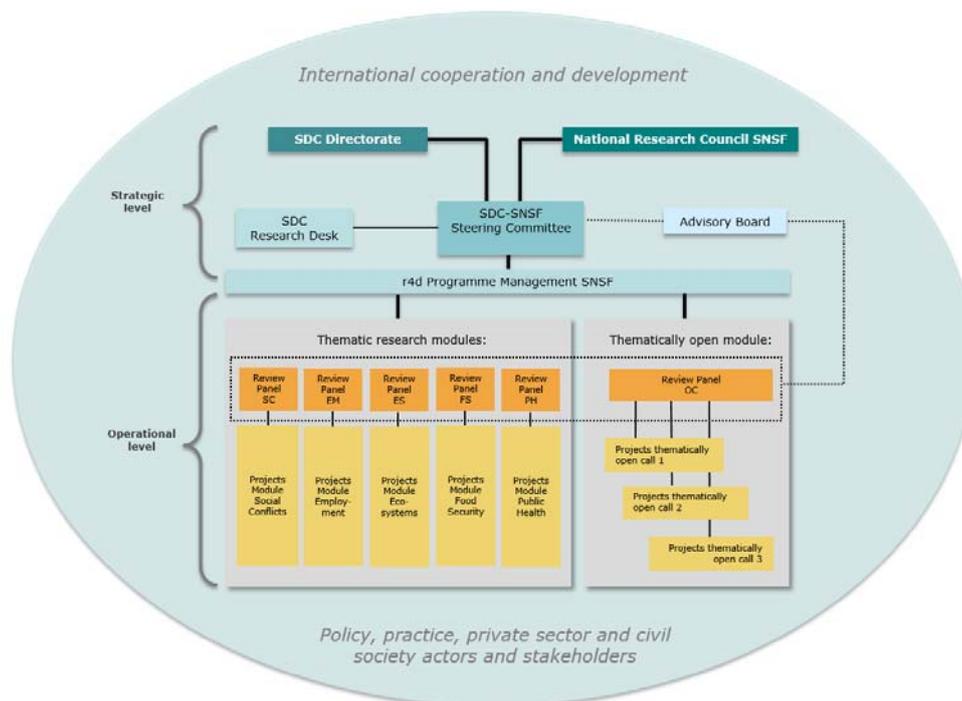
The main goals of the r4d programme are the generation of knowledge and the application of innovative, transnational research results in policy and practice within the normative conceptual framework of global sustainable development. The focus of the programme lies on the reduction of poverty and global 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 Social Conflicts

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 the r4d programme, 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.

The following three topics are of particular interest in this thematic research module:

- Topic 1: Political reconstruction and democratisation processes in fragile and conflict prone states
- Topic 2: Conflicts over scarce natural resources, with a focus on water issues
- Topic 3: Chronic causes and consequences of state fragility and weakness of public institutions

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 Social Conflicts and assigned Review Panel members

Grant Number	Title and grantees	Supporting experts
147210	<p>Ethnic Power Relations and Conflict in Fragile States</p> <p>Cederman, Lars-Erik; ETH Zurich, Switzerland Gyimah-Boadi, Emmanuel; Ghana Center for Democratic Development, Ghana Hug, Simon; University of Geneva, Switzerland Hamid, Ali; American University of Cairo, Egypt Mesfin, Gebremichael; Institute for Peace and Security Studies, Addis Ababa University, Ethiopia Ngoma, Naison; Deg Hammarskjöld Institute for Peace Studies, Copperbelt University, Zambia Oduro, Franklin; Ghana Center for Democratic Development, Ghana Saenz de Tejada Rojas, Ricardo Gustavo Adolfo; Universidad de San Carlos de Guatemala, Instituto de Investigaciones Históricas, Antropológicas y Arqueológicas, Guatemala Sekher, Madhushree; Tata Institute of Social Sciences, Indonesia</p> <p>Start of research: 1.01.2014</p>	Gerald Schneider Nils Rosemann
146955	<p>Fostering pluralistic memories and collective resilience in fragile transitional justice processes</p> <p>Elcheroth, Guy; University of Lausanne, Switzerland Sonia Nimr; University of Birzeit, Palestinian Territory Maffi, Irene; University of Lausanne, Switzerland Ndayisaba, Leonidas; Centre de Recherche et de Formation pour la Chaire Unesco, Université du Burundi Usoof-Thowfeek, Ramila; University of Peradeniya, Sri Lanka</p> <p>Start of research: 1.01.2014</p>	Ana Cascao Francisco Gutiérrez
146777	<p>The Gender Dimensions of Social Conflicts, Armed Violence and Peacebuilding</p> <p>Prügl, Elisabeth; University of Geneva, Switzerland Kunz, Rahel; University of Lausanne, Switzerland Onyige, Chioma Daisy; University of Port Harcourt, Nigeria Udasmoro, Wening; Indonesian Consortium for Religious Studies, Gadjah Mada University, Indonesia</p> <p>Start of research: 1.02.2014</p>	Marjo de Theije Norbert Ropers

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 Social Conflicts module meeting is the **Forum (Kick-off Meeting) from 28 to 30 April 2014**, jointly organised with the module Employment. The next **r4d Forum Social Conflicts** is planned for **summer 2016**.

The first **r4d Conference** is planned for **October 2017**.

The second **r4d Conference** is planned for **summer 2021**. The module Social Conflicts will have its own part in them.

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.

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.

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 research team provides minutes of the Site visit and shares them with the participating assigned Panel members, the programme coordinator, and the representative from SDC. The assigned Panel members will provide a written feedback on the Site visit for the research team.

The first Site visits will take place between **May and October 2015**.

The second Site visits are foreseen between **May and October 2018**.

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 the guidelines provided on mySNF. 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.

All research projects within the module will submit the first progress report at the same time on **15 July 2015**, regardless of the starting date of the research project. This allows for an overview of the progress of research work in the module at a precise point in time.

A second progress report is due on **15 July 2018**.

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 approximately 2.5 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 the provided guidelines (Annex 1), 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 mid-term report has a maximum of 15 pages. The submission deadline for the mid-term reports is **15 July 2016**. The criteria for the mid-term evaluation are the following:

- Consideration of the Review Panel's recommendations
- Quality of scientific output
- Progress of research activities
- Quality of communication strategy and impact of research results on policy / practice
- Functional and fair research partnership within project team (based on KFPE Principles)
- Quality of planned work for years 4 to 6

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 2016**. Decisions will be communicated to the responsible grantee in **November 2016**.

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

 <p>Schweizerische Eidgenossenschaft Confédération suisse Confederazione Svizzera Confederaziun svizra</p>	<p>Swiss Agency for Development and Cooperation SDC</p>	 <p>FNSNF SWISS NATIONAL SCIENCE FOUNDATION</p>
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The logos and the png of the box are provided as downloads on the r4d website.

6. Schedule of the module Social Conflicts

Date	Milestones
6 June 2012	Call for pre-proposals
8 October 2012	Submission deadline for pre-proposals
15/16 January 2013	Evaluation Meeting, pre-proposals
25 April 2013	Submission deadline for full proposals
5 July 2013	Evaluation Meeting, full proposals
6 August 2013	Decision by National Research Council
14 August 2013	Ratification by Presiding Board and Communication to researchers
September 2013	Newsletter and media release
January – February 2014	Start of research
28-30 April 2014	r4d Forum Social Conflicts and Employment (Kick-off Meeting)
15 July 2015	1st Progress report (deadline)
15 July – 15 September 2015	Feedback on progress reports
May – October 2015	1st Site visits
May 2016	Module report by Review Panel
15 July 2016	Mid-term reports (deadline)
September 2016	r4d Forum Social Conflicts and Evaluation of mid-term reports
November 2016	Decision about prolongation by National Research Council
November 2016	Ratification by Presiding Board
November 2016	Communication of decision about prolongation to researchers
January 2017	Start second phase of research
May 2017	Module report by Review Panel
October 2017	r4d Conference
May 2018	Module report by Review Panel
15 July 2018	2nd Progress report (deadline)
15 July – 15 September 2018	Feedback on progress reports
May – October 2018	2nd Site visits, potentially in combination with r4d Forum Social Conflicts
May 2019	Module report by Review Panel
February – March 2020	Final project reports and end of research
May 2020	Module report by Review Panel
Summer 2020	End of Module Synthesis work
Summer 2021	r4d Conference

7. Review Panel members and contact details of SNSF staff

Review Panel

Prof Dirk Messner, Deutsches Institut für Entwicklungspolitik, Bonn, Germany (Panel President)

Dr Ana Elisa Cascao, Stockholm International Water Institute, Stockholm, Sweden

Ass. Prof Dr Marjo de Theije, Faculty of social sciences, VU University of Amsterdam, The Netherlands

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

Dr Norbert Ropers, Berghof Foundation for Peace Support, Berlin, Germany

Prof Dr Gerald Schneider, Chair of International Politics, Konstanz, Germany

Delegate of the SDC

Dr Nils Rosemann, policy advisor conflict and human rights, SDC

Delegate of the Programmes Division of the National Research Council

Prof Dr Katharina Michaelowa, Department of Political Science, University of Zurich

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