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

# Mid-term Review of the Swiss Programme for Research on Global Issues for Development

**Mid-term Review Report, November 2017**

**Management Response of the r4d programme Steering Committee, March 2018**

Bern, Switzerland
March 2018

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

**Swiss Agency for Development and Cooperation SDC**

FNSNF
**SWISS NATIONAL SCIENCE FOUNDATION**

# Mid-term Review of the r4d programme 2012-2016

**After 5 years, the r4d programme went through a Mid-Term Review (MTR) as formative evaluation. This document includes the full MTR Report and the Management Response of the r4d programme Steering Commitee.**

In 2017, the r4d programme was reviewed by an external company, Universalia, from Canada. The Mid-Term Re-view (MTR) covered the period from the start of the programme in 2012 until end of 2016.

Its objectives were to provide insight into the efficiency and effectiveness of the r4d programme, to highlight lessons learned thus far, to inform the remainder of the r4d programme until December 2021 and research for development programming more broadly.

## THE MTR OF THE R4D PROGRAMME

The present document combines the full MTR Report by Universalia, completed in November 2017, and the Management Response of the r4d programme Steering Committee, endorsed in March 2018.

More information on the burgeoning r4d programme is accessible on the r4d programme website http://www.r4d.ch.
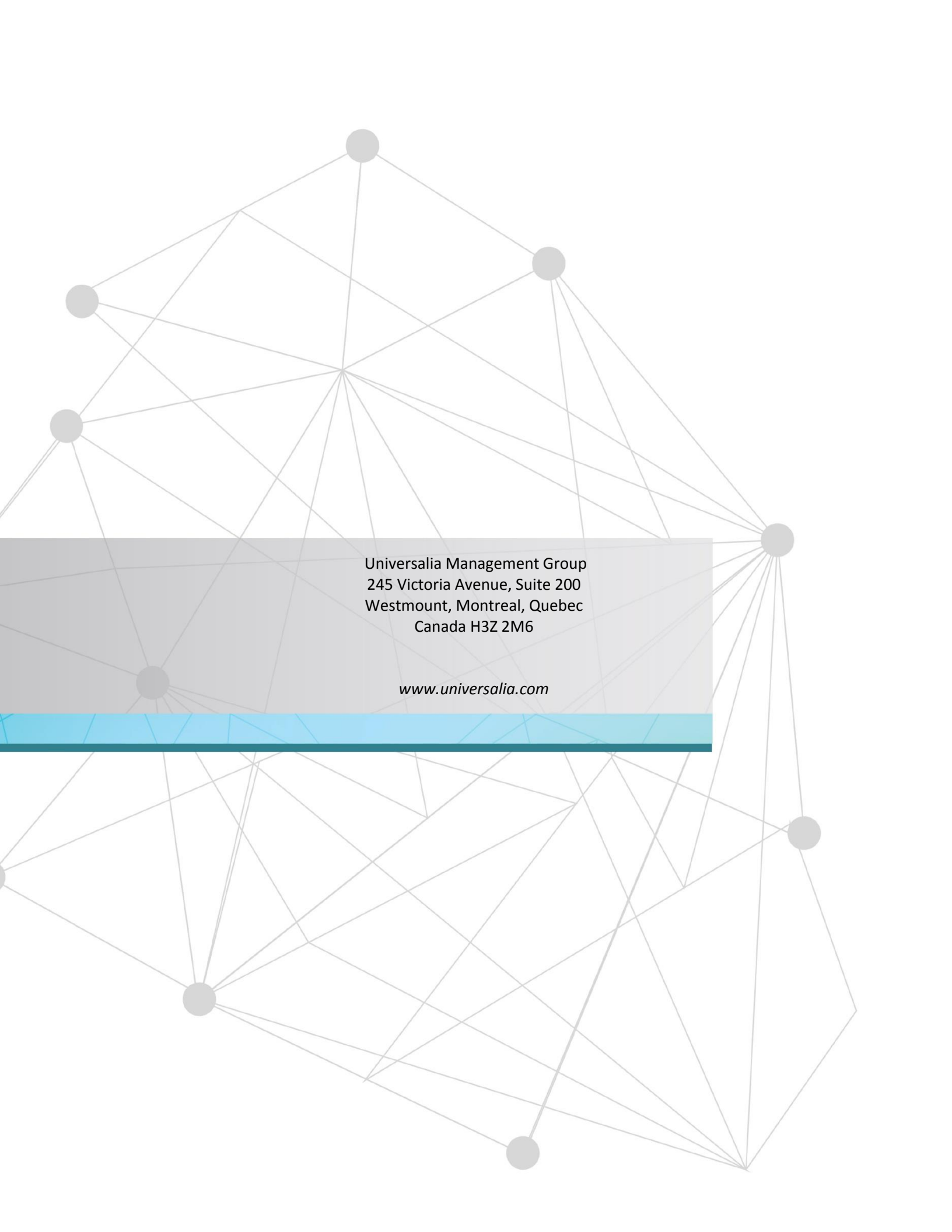
## CONTACTS

For comments and inquiries please contact the r4d programme at:

- Swiss National Science Foundation: r4d@snf.ch
- Swiss Agency for Development and Cooperation, Resaerch Desk: researchdesk@eda.admin.ch

# Mid-Term Review of the Joint SDC-SNSF Swiss Programme for Research on Global Issues for Development (r4d)

**FINAL REPORT** | **NOVEMBER 2017**

UNIVERSALIA

Universalia Management Group
245 Victoria Avenue, Suite 200
Westmount, Montreal, Quebec
Canada H3Z 2M6

*www.universalia.com*

# Executive Summary

The Swiss Programme for Research on Global Issues for Development (r4d Programme) is an initiative jointly supported and funded by the Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation (SNSF). The focus of the Programme is to support research aimed at solving global problems, with a strong focus on least developed, low- and middle-income countries. Running from 2012-2021, the total programme budget is CHF 97.6 million, with the SDC providing CHF 72 million and SNSF providing CHF 25.6 million.

There are five Thematic Modules (TM) under the programme and a Thematically Open Module (OM), which currently consist of 46 research projects that are operationalised through transnational partnerships. As of February 2017, the programme supported 240 grantees in 45 countries.

In May 2017, Universalia was mandated to undertake a Mid-Term Review (MTR) of the r4d Programme with the following formal and specific objectives:

- To assess the progress of the Swiss Programme for Research on Global Issues for Development (r4d programme) against the specific objectives defined in the r4d Programme Results Framework and to identify enabling and hindering factors that have affected the achievement of the set objectives. The MTR should focus on the output and outcome levels (effectiveness).

- To appraise the Programme's management and organisational arrangements, including structure and processes (efficiency).

Overall, the MTR provides guidance to the r4d Programme, to inform management and to advise if a change of course is required to more effectively and efficiently favour the Programme's success. It brings to light lessons learned from the phase under review, also making them available to both SDC and SNSF towards informing the remainder of the r4d Programme and R4D programming more broadly. As such, the MTR provides insights that speak to the possible future of the Programme and its continuity beyond December 2021.

## 1.1 Relevance

The r4d Programme is highly relevant to both SDC and SNSF, in complementary ways. Both institutions consider researching solutions to development challenges to be of high priority, which is itself advanced by the r4d Programme. The SDC prioritises finding relevant solutions to global development issues, which are favoured when developing country researchers are supported and research partnerships are developed. In line with SNSF priorities, the Programme also offers Swiss-based researchers unique research opportunities they would not otherwise have. Finally, the geographic distribution of funds advances Swiss development and/or humanitarian priorities while cultivating the country's open research tradition.

## 1.2 Effectiveness

At the mid-term of the r4d Programme, various projects are in diverse stages of producing research outputs, appropriate to their trajectory. As projects move into advanced stages of research, the number of research outputs is expected to rise, and projects are generally expected to be highly productive, in line with

expectations. Modules that are more advanced have produced more outputs including contributions to conferences and publications. There is general satisfaction with the research outputs, and confidence that some of the projects will be highly productive.

All projects have brought emerging results into policy fora and among stakeholders, in diverse ways and to varying extents, increasing both awareness and likelihood of use. Projects that are more advanced in timeframe also tend to lead in exposure and in the number of exchanges. The outreach to users and stakeholders is advanced in countries where Co-PIs have high social capital and have continuously engaged with users. Researchers appreciate the emphasis on outreach, supported by the Programme's budgetary allocations, but express an aspiration for more involvement from Swiss partners (especially the SDC) and donor agencies, that could help advance the policy and development outreach.

All projects are being carried out through research partnerships. As a result, at the Module level, there are more partner countries than Swiss institutions. Besides programmatic emphasis on North-South partnerships, the r4d Programme has allowed for South-South exchanges, which are highly valued by participants. For the time being, external network building remains under-developed.

The transnational research partnerships supported by the Programme are effective. Projects have been co-designed by Swiss-based and Southern partners, projects report frequent communication, and student exchanges contribute to effective partnerships. The effectiveness of the partnerships has been dependent on factors, including: matching capacities of researchers, prior working experience, and country contexts. However, co-authored peer-reviewed publications remain limited.

The r4d Programme promotes and produces interdisciplinary research, and is an important source of interdisciplinary funding worldwide. While the projects are interdisciplinary in nature, each approaches interdisciplinarity differently. The capacity to undertake interdisciplinary research has been enhanced qualitatively through the Programme, principally through the undertaking of research itself and the training of students and researchers. Given the relatively long timeframe of projects, many more university degrees are anticipated, amounting to important capacity strengthening.

At the outcome level, a few overarching statements capture progress of the r4d Programme.

- On Outcomes: Evidence and Solutions, overall, projects have been pursuing innovative, transdisciplinary and geographically diverse research, with a promise for delivering research outputs that are relevant and applicable. At the time of this MTR, many if not most research results were yet to be available. Nonetheless, Review Panel members and other stakeholders are optimistic that r4d Programme solutions being produced for reducing poverty and global risks will be of high quality, given the combination of research teams, questions being addressed, and resources available.

- On Outcomes: Making Use of Evidence and Tools – National and International Stakeholders, the r4d Programme is supporting highly relevant research, which is the basis of understanding and addressing development challenges in a more systematic and holistic manner. The Programme has also pushed researchers to undertake outreach and engagement activities as part of their design. The extent to which the research has and will inform national and international stakeholders has proven to be contingent to a significant extent on specific research design

elements, with some projects more savvy and intentional than others.

- On Outcomes: Scientific Competencies, the r4d Programme is contributing to the enhancement of researcher competencies and expertise for addressing complex global issues, with potential for higher-level systemic implications. For researchers from both TM and OM, the r4d Programme improves and strengthens the capacity of involved researchers to reflect on global issues in more nuanced and elaborate ways, and from various disciplinary angles.

The r4d Programme does not have an explicit gender strategy, nor is gender a cross-cutting issue in projects. Yet, about a quarter of sampled projects across Modules specifically focus on gender. As such the Programme may be considered gender 'neutral', while a reasonable proportion of projects selected reflect a concern with gender, and are themselves either gender 'specific' or gender 'intentional'.

While recognising the Programme as having its own unique 'Research for Development' identity, researchers perceive a moderate added value of being funded through both r4d Programme partners, SDC and SNSF. At the same time, because the r4d Secretariat is their main point of contact, researchers perceive the SNSF as a partner adding more value in strengthening their ability to achieve and meet the r4d project and Programme expectations as compared to SDC.

Thematic and Open Module projects are varyingly situated in sustainable development discourses, noting that projects reviewed by the MTR team were largely conceived before the Sustainable Development Goals (SDGs) were formalised. R4d Programme guidance is appreciated by researchers towards better aligning and specifying their work in terms of sustainable development.

Several internal factors are key in the achievement or non-achievement of outcomes

and outputs. Primary among these is a combination of research design, the relationships which researchers have between themselves, the support they receive at the programmatic level, support from the Review Panel members, and in the nature of the funding mechanism supporting more mutually empowering relationships between Swiss-based and Southern researchers. Limitations involve the low commitment of research partners, PIs or mixed institutional support from the SDC towards Review Panel members.

Among the external factors crucial to the outputs and outcomes is the context of the countries where research takes place and where the partners are based, along with the receptivity of the policy environment to the research themes being pursued. Local partnerships were instrumental as external factors, while the shorter-term OM projects were also limited by the availability of qualified staff.

## 1.3 Efficiency

Open and Thematic Calls are perceived to be complementary, both having an independent value and as a necessary compromise enabling the establishment and advance of the r4d Programme. It is possible to adjust Call design to further enhance the value of both Calls. The two-step submission process for Calls was managed within performance norms consistent with other research Calls inside and outside Switzerland. The process resulted in the selection and contracting of projects, using a full set of well-designed grants' administration tools and processes.

Review Panels rigorously reviewed pre-proposals and final proposals, and delivered the set of responsibilities identified in the Management Principles. Review Panel members have adjusted to delivering a broader set of responsibilities

than they originally envisioned or understood to be theirs.

Review Panels effectively assessed scientific merit in proposal review and selection from the start, particularly in the TMs, and progressively improved their integration of development consideration into the review and selection of projects. The value of these combined reviews to researchers is variable.

While the TMs reflect sustainable development discourses and hence global and Swiss development priorities, OM projects tend to have development relevance directly through developing country national policy and uptake pathways. However, the current design of the r4d Programme does not yet provide direct pathways for uptake via SDC development programming.

The review/selection process was managed in a pragmatic manner to determine the number and quality of submissions and success levels. Programme design, expectations regarding a balance of science and development, the specific thematic content that was defined for each Module, the Swiss research culture and the review/selection process all played roles in determining the number and quality of submissions and success levels.

Overall, project monitoring is appropriate, with two Panel Members tracking each project, report writing, site visits, and an MTE to summarize progress. Current practices enable a fairly effective if varied Programme-level monitoring. Notably, there is evidence to suggest that SDC Panel Members are not equally supported institutionally to participate in the monitoring of projects, leading to disparities in the value of such monitoring.

The range of instruments used by the r4d Programme helps keep projects on track towards meeting their objectives. They also contribute to building diverse configurations of research networks both within projects and

somewhat beyond. Report writing and site visits stand out as particularly valuable.

The overall life-time management approach of the r4d Programme, and notably the continued support offered to projects by Review Panel members, is well regarded by Panel members and researchers alike. Panel members perceive this as a Programme aspect that gives them ownership of projects in which they are involved. Researchers see this as *contributing* to keeping research projects on track and, for the most part, favouring the achievement of project objectives.

Programme Management and Administration are well structured to serve the Programme. They have progressively overcome the challenges of bridging two different institutional cultures, though some adjustments could help the Programme in reaching its full potential.

## 1.4 Lessons Learned and Recommendations

At the current stage, the r4d Programme has had many notable successes and has been found to be both effective and efficient, for the most part. Towards ensuring that the Programme is able to meet its objectives, the main report contains a discussion on potential strategies and recommendations that should be considered for the remainder of the Programme, towards improving its ability to meet objectives by December 2021.

Finally, while the current MTR is specifically designed to assess progress and make recommendations towards ensuring that the r4d Programme most effectively meets its objectives, the MTR team has also been requested to provide insights for the conceptualisation, development and implementation of any future r4d programme, and is contained in the main report.

# Acronyms

| | |
|---|---|
| **CHF** | Swiss Franc |
| **Co-PI** | Co-Principal Investigator |
| **IOA** | Institutional and Organizational Assessment |
| **M&E** | Monitoring and Evaluation |
| **MTE** | Mid-Term Evaluation |
| **MTR** | Mid-Term Review |
| **NGO** | Non-Governmental Organization |
| **OECD-DAC** | Organization for Economic Cooperation and Development- Development Assistance Committee |
| **OM** | Open Module |
| **PI** | Principal Investigator |
| **R4D** | Research for Development |
| **r4d Programme** | Swiss Programme for Research on Global Issues for Development |
| **RBM** | Results-Based Management |
| **SDC** | Swiss Agency for Development and Cooperation |
| **SDGs** | Sustainable Development Goals |
| **SNSF** | Swiss National Science Foundation |
| **SteCo** | r4d Programme Steering Committee |
| **TM** | Thematic Module |
| **TOR** | Terms of Reference |
| **UMG** | Universalia Management Group |

# Contents

# Figures

# Appendices

# 1 Introduction

The Universalia Management Group Limited (hereafter referred to as "Universalia" or "UMG") is pleased to present this final report for the Mid-Term Review (MTR) of the Joint SDC-SNSF Swiss Programme for Research on Global Issues for Development (r4d). This report responds to the published Terms of Reference (TOR, see Appendix XIX).

## 1.1 Scope of the Evaluation

The formal and specific objectives of the MTR have been defined as follows:

- To assess the progress of the Swiss Programme for Research on Global Issues for Development (r4d programme) against the specific objectives defined in the r4d Programme Results Framework and to identify enabling and hindering factors that have affected the achievement of the set objectives;

- Focusing on the output and outcome levels (effectiveness); and

- To appraise the Programme's management and organisational arrangements, including structure and processes (efficiency).

*Figure 1.1    Timeline of the r4d programme and the Mid-Term Review*



## 1.2 Methodology

Universalia's MTR team developed a methodological approach that is utilization-focused and participatory, designed to ensure that the final product is of value to primary and secondary users (see

detailed methodology in Appendix XVI). Throughout the evaluation process, the team worked in close collaboration with r4d Programme staff, Steering Committee (SteCo) members, and other stakeholders. Preliminary findings were first presented to some members of the SteCo and r4d programme management, providing an opportunity for the MTR team to validate findings and collect additional insights.

The MTR is a programme-level evaluation. Data was therefore gathered at the programme level as well as from across the different projects and Modules, with a view to generating insights on the r4d's overall performance, and to inform findings that speak to the programme as a whole. The methodology was designed to allow the MTR team to answer the range of questions in the review matrix, which guided the MTR as a whole (Appendix XVII). The matrix is itself structured to reflect the evaluation criteria, questions and sub-questions shared in the TOR (Appendix XIX).

The MTR team used a mixed-methods approach to data collection, including an in-depth document review, an online survey, and semi-structured interviews. An overall sampling of 13 projects from all six Modules was undertaken, representing 32% of all projects.

A review of programme-level documentation as well as a comprehensive portfolio review of the 13 projects allowed the team to recognise and robustly report on programme-wide trends, mindful of the trajectory of Modules and projects. The online survey was conducted with Principal Investigators (PIs), Co-PIs and Project Coordinators, collecting 65 responses with a response rate of nearly 55%. A total of 62 semi-structured interviews were conducted via phone/Skype, and in-person where possible, with a sample of all relevant stakeholder groups across the programme and of the 13 sample projects (see sidebar for details).

> **Individuals Consulted by Stakeholder Group**[i]
>
> SDC Directorate (1)
>
> National Research Council SNSF Staff (1)
>
> SDC Research Desk (2)
>
> r4d SteCo (5)
>
> Advisory Board (3)
>
> r4d Programme Coordinators SNSF (4)
>
> Review Panel Members (SDC and SNSF Delegates) (4)
>
> Review Panel Members (External) (7)
>
> Swiss Partners / PIs (11)
>
> Project Coordinators (9)
>
> Developing Country Partners / Co-PIs (16)
>
> Users (7)

Despite challenges associated with scheduling interviews, given the MTR's timing, the MTR team is satisfied that collected and triangulated data has provided the basis for robust findings and recommendations.

## 1.3   Report Overview

Following this introduction, the MTR report is organised as follows:

- Section 2: presents findings related to relevance;
- Section 3: presents findings related to effectiveness;
- Section 4: presents findings related to efficiency; and
- Section 5: presents lessons learned and recommendations.

Appended to the Final Report are: lists of findings and recommendations, a bibliography of literature reviewed, supplementary data and analyses to support the findings, a detailed methodology, the revised MTR Matrix, a list of stakeholders consulted, TOR, and survey results.

# 2 Relevance

## 2.1 Introduction

The OECD-DAC Criteria for Evaluating Development Assistance define relevance as the extent to which an activity, project or programme reflects and advances the priorities, concerns, aspirations and/or policies of specific groups.[ii] For this study, the MTR team was mandated only to assess the *relevance* of the Swiss Programme for Research on Global Issues for Development (r4d Programme) to both the Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation (SNSF), the Programme's institutional partners. Overall, the Programme is found to be highly relevant to both of these stakeholders.

## 2.2 Relevance

**Finding 1:** **The r4d Programme is highly relevant to both SDC and SNSF, in complementary ways. Both institutions consider researching solutions to development challenges to be of high priority, which is itself advanced by the r4d Programme. The SDC prioritises finding relevant solutions to global development issues, which are favoured when developing country researchers are supported and research partnerships are developed. In line with SNSF priorities, the Programme also offers Swiss-based researchers unique research opportunities they would not otherwise have. Finally, the geographic distribution of funds advances Swiss development and/or humanitarian priorities while cultivating the country's open research tradition.**

Though the United Nations Sustainable Development Goals (SDGs) were created part way through the life of the r4d Programme, this Programme serves to advance Switzerland's commitment to the 2030 Agenda (e.g. on Sustainable Development partnerships). The thematic work being pursued aligns with the Swiss government's priority areas and the SDGs (e.g. consumption and production, natural resources) as well as the SNSF's commitment to development research (Appendix IV, Exhibit iv.1).[iii] The Programme strikes an appropriate balance between SDC Bilateral Development Cooperation – Priority Countries and Regions (17/30) and Humanitarian Aid – Focus Countries (8/30). Some project countries are both (5/30) and some are neither (10/30), all but one of these countries was in a consortium with other Priority or Aid countries (Appendix IV, Table iv.1 and Table iv.2).

Co-Principal Investigators (Co-PIs), in particular, consider the r4d Programme to be a disproportionately high and valuable source of research support (as compared with Swiss-based researchers), allowing them to continue playing an active role in defining North-South solutions to development problems

(Appendix IV, Table iv.3). At the same time, the SNSF prioritises supporting Swiss and Swiss-based researchers, which this Programme does, including early and mid-career researchers who consider r4d support to be of notable importance in granting them unique research opportunities (Appendix IV, Table iv.4 and Table iv.5). More than 90% of Swiss-based researchers indicate that it would be significantly more difficult to fund their r4d work without this Programme.

Based on survey results, 90.6% of respondents strongly agree or agree that it is appropriate for the r4d Programme to issue two different types of Calls for Proposals (i.e. Thematic and Open) (Appendix IV, Table iv.6). Combined with this, 90.6% of survey respondents indicate having an adequate level of funding to meet project-level objectives. Further, 87.9% of respondents strongly agree or agree that the r4d Programme strikes an appropriate balance between Thematic and Open research, with only 6.1% disagreeing, indicating there is little opposition to the balance struck by the Programme. Examined together, this survey data strongly suggests that PIs, Co-PIs and Project Coordinators are supportive of the r4d Programme's modality of funding both Thematic and Open research, that it has provided an adequate level of funding, and that there is little evident disagreement with the balance struck in distributing the funds. This rings as an overall endorsement of the Programme's support for Thematic *and* Open research specifically. Indeed, researchers appreciate being part of a Programme that offers both guided and open research (Appendix IV, Table iv.7)

# 3   Effectiveness

## 3.1    Introduction

The OECD-DAC Criteria for Evaluating Development Assistance define effectiveness as a measure of the extent to which an aid activity attains its objectives.[iv] For this study, the MTR team was mandated to assess the effectiveness of the r4d Programme as appropriate to its trajectory. Overall, the Programme is found to be effective, where projects are largely on track to attain their outputs. On the basis of an analysis of its outputs, it is likely that the Programme will meet its stated outcomes.

## 3.2    Research Outputs

**Finding 2:**    **At the mid-term of the r4d Programme, various projects are in diverse stages of producing research outputs, appropriate to their trajectory. As projects move into advanced stages of research, the number of research outputs is expected to rise, and projects are generally expected to be highly productive, in line with expectations.**

Project output data available on the SNSF Research Database P3[v] indicate that all TM projects (besides those of the Public Health Module, launched later than other Modules, and those of OMs)[vi] have on average produced more than 6 publications, and contributed to more than 27 scientific events. There is a clear progression from the earlier Modules (Social Conflict and Employment) to more recent ones (Food Security and Ecosystems), with the former leading by nearly double the number of outputs

(see Appendix V, Table v.1). All projects (besides OM2, data unavailable) have made at least one contribution to a conference, and all but one have at least one publication. Overall, the majority of project outputs have been contributions to conferences, with a small proportion being peer-reviewed publications (see Appendix V, Tables v.2 and v.3). The Social Conflict Module leads with 23 publications and 62 contributions to conferences made by 2 sampled projects.

Respondents from all categories are satisfied with the progress in research and feel that the number of outputs, especially publications, will become stronger yet. At the time of this MTR, TM projects were yet in either mid-term or early research stages of a 6-year time-frame (see Appendix V, Table v.4). In the early stage, the primary focus of projects is on research design, development of capacities (including recruitment and training of graduate students, and strengthening of partnerships), cultivating extensive networks, and then using innovative methods for data collection and analysis. Given the relatively long timeframe of the r4d Programme on TM projects (whereas many other research programmes provide funds for 3-4 years or less), many respondents are aiming to produce the majority of their research outputs in the latter part of the grant period. As projects from earlier Modules such as Social Conflicts and Employment advance through the data analysis phase while producing some outputs, and those under later Modules enter the data collection phase with some analysis underway, the projects are expecting higher outputs in the last quarter of the project cycle. Indeed, researchers are appreciative of the long-time frame of the Programme, which accounts for realistic research processes. Review Panel members in interviews, and researchers in the MTR survey (see Appendix V, Table v.4) express confidence that the projects are likely to produce strong research outputs. Of survey respondents 41.5% agree and 50.8% strongly agree that the Programme is generating innovative solutions, while 35.4% agree and 50.8% strongly agree that the Programme is facilitating the application of innovation solutions (with no discernible differences across gender groups).

## 3.3   Exchange and Use of Research Results

| Finding 3: | All projects have brought emerging results into policy fora and among stakeholders, in diverse ways and to varying extents, increasing both awareness and likelihood of use. Projects that are more advanced in timeframe also tend to lead in exposure and in the number of exchanges. The outreach to users and stakeholders is advanced in countries where Co-PIs have high social capital and have continuously engaged with users. Researchers appreciate the emphasis on outreach, supported by the Programme's budgetary allocations, but express an aspiration for more involvement from Swiss partners (especially the SDC) and donor agencies, that could help advance the policy and development outreach. |
|---|---|

All sampled projects have brought emerging results into policy fora and among stakeholders, in diverse ways and to varying extents, with earlier Modules' projects leading in exposure and in the number of exchanges. According to data available on the Programme P3 Database, the sampled projects (besides OM2; data unavailable), have participated in 1-22 knowledge transfer events (Module level average of more than 11), and 1-36 communications with the public (Module average of more than 10) (see Appendix V, Tables v.5, v.6 and v.7). Social Conflict and Employment Module projects lead in terms of exchange and communication, followed by Ecosystems and Food Security. These events and communications have allowed research insights to reach developing country users, including policy-makers and the global development community (see survey responses in Appendix V, Table v.8; no

discernible differences across genders). As research outputs of the projects are expected to rise, so are the events and communications for research uptake and use. Researchers appreciate the emphasis on outreach, which is supported by the Programme's budgetary allocations.

Projects are required to budget 10-15% of their research grants for application and communication. Social Conflict projects, being more advanced in trajectory, currently have the highest communication expenditure as a percentage of the total Project Budget (12.3% and 19.3% of sampled projects), while sampled Employment projects have spent 3.6% and 3.5% (on the basis of financial reports after 3 years). Based on financial reports after two years, sampled Ecosystems projects have spent 3.4% and 2.0% of budgets on communication, reflecting their relatively less-advanced trajectory, while sampled Food Security projects have varied expenses (6.3% and 0.4%), which suggests that a handful of these projects may need further guidance on their communications approaches and practices. Nonetheless, cognizant that different projects have different communication needs and schedules, and expenses vary through the life of a project, most sampled projects generally demonstrate a tendency to spend Communication Budgets appropriate to their overall trajectory and the Programme requirements (Appendix V, Table v.9).

Though small in number, research users, including staff of international organisations and academia interviewed for this MTR express strong appreciation for the quality and alignment of the research with their needs, particularly in developing countries. The social capital of Co-PIs has been central to ensuring continued engagement with research users. As a result, outreach is advanced in countries where Co-PIs have been able to capitalise on existing relations with users and stakeholders. This is aided by a large number of research partners outside of academia (notably for a few of the projects); the sampled TM projects had an average of 4.88 partners that were primarily civil society or Non-Government Organisations (Appendix V, Table v.10). Outreach to policy makers in Switzerland, and to the private sector has been limited thus far. Only 49.2% of survey respondents agree or strongly agree that the awareness of policy-makers in Switzerland has been enhanced, 37.0% respondents thought so for the general public in Switzerland, 16.9% for the private sector (small-scale, Switzerland), and 44.7% for the private sector (multinational) (see Appendix V, Table v.8). Interview participants express an aspiration for more involvement from Swiss partners and donor agencies, particularly the SDC, which could help advance the outreach among institutions that work with developing country as well as Swiss users. Given that research outputs are now and increasingly being made available, it is an appropriate moment in the Programme trajectory for SDC to actively create and enable research uptake opportunities.

## 3.4    Research Partnerships and Scientific Networks

**Finding 4:**    **All projects are being carried out through research partnerships. As a result, at the Module level, there are more partner countries than Swiss institutions. Besides programmatic emphasis on North-South partnerships, the r4d Programme has allowed for South-South exchanges, which are highly valued by participants. For the time being, external network building remains under-developed.**

The r4d Programme mandates that projects have to involve at least one research partner from specified countries from Africa, Asia and/or Latin America, while a Swiss-based institution acts as lead. Within this parameter, all projects are by definition carried out through research partnerships. In each Module, the number of partner countries has ranged from 10-13; TMs involve 3-5 Swiss institutions, and OMs have

involved 11 Swiss institutions (Appendix V, Table v.11, and Table v.12). According to the r4d Programme booklet, 41 projects involve participants from 42 countries.

Partnerships exert an intangible cost of management and communication on projects. Yet, researchers are highly appreciative of the emphasis and support on partnerships as it enhances the legitimacy and relevance of their research. The r4d Programme supports partnership development in multiple ways, including through the pre-proposal process, provision of Preparatory Grants, the use of Project Agreements, and through funding provision.

Partnerships are highly valued by Swiss partners to gain a closer perspective of development issues, which were the subject of their research. Besides programmatic emphasis on North-South partnerships, a strong benefit of the Programme is the opportunity for South-South exchanges, which are highly valued by participants. To partners in the South, the r4d Programme is a strong source of stable research support, and allows the exchange of research with counterparts in other Southern contexts.

Survey respondents indicate that the Programme is supporting the enhancement of North-South and North-South-South scientific networks, though research exchange between projects has thus far been limited (Appendix V, Table v.13). Respondents are relatively undivided in agreeing that the Programme allows for the enhancement of a North-South scientific network (20.0% agree and 76.9% strongly agree), and that it supports the development of a North-South-South scientific network (24.6% agree and 70.8% strongly agree). On the other hand, nearly a quarter of survey respondents disagree that the Programme allows for exchange of research methodologies with other project teams (20.0% disagree and 3.1% strongly disagree); and one in six respondents disagree that it allows for exchange of research findings with other r4d project teams (12.3% disagree and 3.1% strongly disagree) (Appendix V, Table v.13).

The potential to build organic inter-project networks and external networks remains under-developed, with anticipation that the r4d Conference (September 2017) would support network building. Further inter-project exchange is expected to commence with the synthesis process of the r4d Programme. Therefore, through the Programme, networks are being enhanced and inter-project exchange is being planned. However, it remains that external network building and exchange is under-developed (see Appendix V, Table v.14). The Programme stands to gain from selectively engaging with other, complementary r4d programmes.

**Finding 5:** **The transnational research partnerships supported by the Programme are effective. Projects have been co-designed by Swiss-based and Southern partners, projects report frequent communication, and student exchanges contribute to effective partnerships. The effectiveness of the partnerships has been dependent on factors, including: matching capacities of researchers, prior working experience, and country contexts. However, co-authored peer-reviewed publications remain limited.**

The precise nature of any one partnership is dependent on a suite of factors including: past working experience among partners, congruity of academic cultures among partners, research capacity of the individual, interpersonal relations, and commitment to project. With that said, effective partnerships have been established through the r4d Programme: the projects have been co-designed with Southern partners, and there is a constant exchange among partners through project meetings, and other forms of communication. Interview participants from developing countries are highly appreciative of the

constructive approach of Swiss-based partners, and the appropriate financial allocations, which are both instrumental in the development of strong partnerships.

Under the r4d Programme, project funds to developing country partners are directed through Swiss-based institutional partners; such partnerships are inherently asymmetrical. Indeed, PIs suggest that the quality of partnerships improves if/when all the partners meet in a Southern location. A major vector of partnership development is the long-term exchange of research students, which results in the transfer of skills, the development of context-sensitive research, and the potential for further partnerships. The strength of partnerships is constrained by the limited research capacities in certain partner countries, and also the sheer number, spread and diversity of research partners, with limited opportunities for face-to-face interactions.

Of the sampled projects, only 3 have co-authored publications by partners (see Appendix V, Table v.15); however, this is in a context where projects are yet to maximise their potential for research publications, and co-authored publication are likely to rise. Interview participants further suggest co-authorship is contingent upon the proximity and relationship of the researchers and is likely to increase as the partnerships strengthen through more and frequent face-to-face meetings.

Among PIs, Co-PIs and Project Coordinators, those familiar with the Commission for Research Partnerships with Developing Countries (KFPE) partnership principles, generally find them to be of value in providing guidance to support their partnership. When asked to rate the value of the KFPE Guide and its Principles on a scale of 1-4 (1 indicating 'no value' and 4 indicating 'high' value), 35% PIs rank it at 3 and 20% at 4. Among Co-PIs, there is less support with 15.4% rating it at 3 and 23.1% rating it at 4, though this only tells part of the story. Importantly, a large proportion of respondents responded as 'Do not know/ Not applicable', with 25% of PIs and 53.8% of Co-PIs doing so (Appendix V, Table v.16). Also, although Review Panel reports and Mid-Term Reports should include reporting on alignment with KFPE principles, this is done inconsistently, with all TM proposals and nearly a quarter of TM reports not including reference to KFPE principles (Appendix V, Table v.17). Overall, the KFPE principles are not utilised to their full extent, with a need for further programmatic support, including training on how to use them.

## 3.5   Interdisciplinary Collaboration and Strengthening of Capacity

**Finding 6:**   **The r4d Programme promotes and produces interdisciplinary research, and is an important source of interdisciplinary funding worldwide. While the projects are interdisciplinary in nature, each approaches interdisciplinarity differently. The capacity to undertake interdisciplinary research has been enhanced qualitatively through the Programme, principally through the undertaking of research itself and the training of students and researchers. Given the relatively long timeframe of projects, many more university degrees are anticipated, amounting to important capacity strengthening.**

According to Programme-level data made available to the MTR team, of the 9 sampled TM research consortia, 8 include more than one discipline[vii], with the number of disciplines per research consortia across TM and OM projects ranging from 1 to 12 (see Appendix V, Table v.18). Based on survey results, 9 of 10 respondents believe that the Programme strengthens their collaboration with researchers from other disciplines (24.6% agree, 66.2% strongly agree), while 19 of 20 respondents believe that the

Programme strengthens their transdisciplinary collaboration with diverse stakeholders (academia, public, private, civil society; 26.2% agree, 69.2% strong agree, no discernible difference across genders) (see Appendix V, Table v.19).

Different projects approach interdisciplinarity in different ways. In certain projects, the teams work in a completely integrated way, with diverse partners defining the research questions and methods together. In certain other projects, partners approach a common research problem from diverse disciplinary lenses. Interdisciplinarity is rendered complex by different factors, including the nature of academia where students often have to operate within single disciplinary boundary of a home department, and by the dispersal of research teams. Positively, a number of researchers appreciate the r4d Programme because of challenges in obtaining funding for interdisciplinary research elsewhere.

Participants appreciate the long-time frame and the programmatic focus on academic exchange, which allows for the development of capacity, knowledge transfer, and a shared understanding of the research. Indeed, by conducting interdisciplinary research, the capacity to undertake interdisciplinary research has been itself enhanced (see Appendix V, Table v.20). Co-PIs express support for this enhancement of capacity through exchanges, visits, and the research itself (though several Co-PIs note that it should not be assumed that Global South researchers have low capacity from the outset). While Programme-level monitoring data made available to the MTR team indicates only 3 postdocs across the sample of 13 projects, the MTR team found evidence of a much higher capacity being built (see Appendix V, Table v.21 and Table v.22 and Table v.23). For instance, one sampled project website lists 6 Masters' theses completed, while another project report lists 10 PhD students. The number of trained researchers is only expected to rise as the projects advance in time.

## 3.6   Outcomes: Evidence and Solutions

> **Finding 7:**   **Overall, projects have been pursuing innovative, transdisciplinary and geographically diverse research, with a promise for delivering research outputs that are relevant and applicable. At the time of this MTR, many if not most research results were yet to be available. Nonetheless, Review Panel members and other stakeholders are optimistic that r4d Programme solutions being produced for reducing poverty and global risks will be of high quality, given the combination of research teams, questions being addressed, and resources available.**

By and large, projects reviewed by the MTR team are undertaking formidable research tasks: based on innovative research[viii], cultivating large and fruitful partnerships in geographically and culturally diverse regions, while working in an inter- and trans-disciplinary manner (see Appendix VI, Exhibit vi.1). Given these mandates, the projects are performing well, producing relevant outputs and making them available to users, as appropriate to their trajectory. Indeed, projects are demonstrating an advancing trajectory, producing and exchanging more outputs as they advance through time. At the time of this MTR, the majority of the research results are yet to be available. Still, researchers, Review Panel members and research users express satisfaction with the progress made by the projects and the overall quality of research, relevance of the work being undertaken to both global and Global South contexts, and of the expanding potential for uptake. At the mid-term point, some projects have produced scientific outputs, while others are in the process of creating conditions for meaningful development on the ground through

their research practice. Overall, sampled projects are appropriately productive, corresponding to their progress in time. Given the intellectual and thematic breadth of the r4d Programme – 41 long and short-term projects in 42 countries across 5 TM and 2 OMs – it is likely that the r4d Programme will generate a strong body of research outputs by the end of Programme's official end in December 2021 and even beyond. The projects hold promise to deliver on the outcome, and produce scientific evidence and research based-solutions for reducing poverty and global risks.

## 3.7 Outcomes: Making Use of Evidence and Tools – National and International Stakeholders

**Finding 8:** **At its root, the r4d Programme is supporting highly relevant research, which is the basis of understanding and addressing development challenges in a more systematic and holistic manner. The Programme has also pushed researchers to undertake outreach and engagement activities as part of their design. The extent to which the research has and will inform national and international stakeholders has proven to be contingent to a significant extent on specific research design elements, with some projects more savvy and intentional than others.**

The r4d Programme has encouraged and provided support to Swiss-based and Global South researchers to undertake a broad range of highly relevant research. One component that makes it important is that it is in fact positioned-for-use and situated for uptake and use. Both TM and OM projects have been positioned for uptake and use, as appropriate to their project trajectory. It is clear that the Programme is well on its way to achieving its objectives in this respect, with an important caveat.

The uptake is appropriately and highly situated at *national level in developing countries*. Indeed, most Co-PIs explain that this Programme provides an opportunity to both undertake research and to participate in policy formulation and outreach. A few outstanding projects include (see Appendix VI, <u>Exhibit vi.2</u> and <u>Table vi.1</u> and <u>Table vi.2</u>):

- TM – Ecosystems/Telecoupled Landscapes: The project has a national advisory group that has enabled privileged conversations that have informed the project on many levels;

- OM1/Soil-Q: As part of the research design, and based on national authority requirements, the project has pursued multiple policy discussions on project design, approach, implementation, and in other ways.

At this early-to-mid stage in the trajectory of projects, indications are promising that research outputs emerging from the r4d Programme will be well positioned for *global* level uptake. According to survey results, stakeholder groups most targeted and informed about contemporary solutions to global challenges are 'Policy-makers in developing countries' and the 'Global development community' (Appendix VI, <u>Table vi.3</u> and <u>Table vi.4)</u>. Swiss stakeholders are clearly targeted the least, and the least likely to be informed by projects. Also, project proponents are more attuned to the implications of their work for public institutions, followed by civil society, with the private sector trailing. This reflects a somewhat traditional framing and approach to uptake and use, rather than one that is more in line with the complexity and multiplicity of potential uptake pathways.

## 3.8   Outcomes: Scientific Competencies

**Finding 9:** **The r4d Programme is contributing to the enhancement of researcher competencies and expertise for addressing complex global issues, with potential for higher-level systemic implications. For researchers from both TM and OM, the r4d Programme improves and strengthens the capacity of involved researchers to reflect on global issues in more nuanced and elaborate ways, and from various disciplinary angles.**

There is clear evidence of improvement and strengthening of the competencies of involved researchers for reflecting on global issues in more nuanced and elaborate ways and from various disciplinary angles. Indeed, participating in this programme is reportedly enhancing the analytical depth and methodological breadth of conducted research.

To begin with, the partnership approach of the Programme is enhancing researcher competencies for undertaking inter- and trans-disciplinary research. The building of junior and mid-level research capacities within Switzerland and in partner countries is growing. While the latest programme-level data indicates a relatively low number of researchers engaged and degrees obtained, digging into sampled project level data reveals a relatively high number of university degrees being supported through the Programme. In other words, as the r4d Programme progresses, scientific competencies in the research community in Switzerland and in the Global South are increasing, with promise. While the r4d Programme was not designed to pursue a capacity building agenda, Southern researchers have nonetheless drawn capacity-building support (e.g. for data collection and analysis) from the Programme.

The r4d Programme has enabled the development of ontological, epistemological and methodological complexity, notably through partnership and interdisciplinary research. Swiss-based researchers indicate having learned from their Southern partners on the specificities and importance of context. As one PI stated: "I learnt a lot from our partners on diplomatic research communication, as they knew exactly which findings we present to which stakeholder in which form and depth… this was really important for me to learn!" Swiss partners also benefit from the intellectual diversity and strong competencies of Southern researchers engaged in the Programme (Appendix V, Table v.18). Interviews reveal that very significant learning among partners (South-South, North-South) has taken place during researcher site visits. Finally, r4d output data reveals that international research partnerships have been successful beyond the r4d Programme itself, with some 17 funded follow-up projects and spin-offs. Overall, on the basis of evidence from the sampled projects and extending to the scale of the Programme, the r4d Programme is making a strong contribution towards increasing scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in Africa, Asia and South America.

## 3.9   Gender

> **Finding 10:**   The r4d Programme does not have an explicit gender strategy, nor is gender a cross-cutting issue in projects. Yet, about a quarter of sampled projects across Modules specifically focus on gender. As such the Programme may be considered gender 'neutral', while a reasonable proportion of projects selected reflect a concern with gender, and are themselves either gender 'specific' or gender 'intentional'.

The Detailkonzept (ProDoc) of the SNSF notes that it promotes gender equality among women and men with respect to research funding. The document indicates that the SNSF aims "to achieve equal opportunities for women and men in research funding and welcomes partner organizations to support this aim' (loose trans.). While the SNSF advances gender equality in research and the SDC "is committed to gender equality in all its projects"[ix], the r4d Programme does not have an explicit gender strategy. There is no statement related to gender considerations in r4d Programme documents up to 2016, including proposals, Review Panel minutes and the Results Framework. No gender-specific data are collected when tracking results. The Call Document for TM Additional Call 2016 mentions, "Projects should give due consideration to the gender perspective if it is relevant to the research topic, question or approach." Project researchers (PIs, Co-PIs and Coordinators) all recognise the lacking programme-level guidance on gender:

- Of female respondents, only 55.5% agree or strongly agree that the r4d Programme has led to gender-sensitive research.

- Of male respondents, only 46.8% agree or strongly agree that the r4d Programme has led to gender-sensitive research.

Gender has been more explicitly in evidence in the selection of projects; despite the lack of gender-specific guidance, a reasonable percentage of sampled projects specifically focus on gender. Of sampled projects, 2 projects in the Employment and Food Security Modules are explicitly focused on gender, while a third in OM incorporates gender considerations. Besides these, 6 projects collect gender-related data, to be gender disaggregated analytically. Thus, the r4d Programme is itself gender 'neutral' while a proportion of the projects selected for support are gender specific or gender intentional.

## 3.10  Perceived Value of both SDC and SNSF Support

> **Finding 11:**   While recognising the Programme as having its own unique 'Research for Development' identity, researchers perceive a moderate added value of being funded through both r4d Programme partners, SDC and SNSF. At the same time, researchers perceive the SNSF as a partner adding more value in strengthening their ability to achieve and meet the r4d project and Programme expectations as compared to SDC.

The r4d Programme is jointly funded by SDC and SNSF, and there is recognition among researchers (and other stakeholders) of the r4d Programme as having its own 'Research for Development' identity rather than it 'belonging' to either SDC or SNSF. Data suggests that researchers supported through the

Programme are equivocal about the value in both institutions supporting their work. Aggregated survey data indicates that 63.7% of surveyed researchers, at all stages in their professional development, agree or strongly agree that their careers have benefited from the fact of being supported by both the SDC and SNSF through the r4d Programme. At the same time, 16.7% disagree or strongly disagree while 19.7% indicate not knowing (Appendix VII, Tables vii.1 and vii.2). When further disaggregated, TM respondents are more vociferous than OM respondents in perceiving the career-related benefits of being supported by both SDC and SNSF; a comparatively higher proportion of OM respondents indicated not knowing. Interview data indicates that OM researchers tend to prize the interdisciplinarity of the Programme, and the concomitant support provided.

Survey data indicates that non-financial support and guidance is greatly appreciated by respondents as it improves the research teams' ability to meet project- and Programme-level objectives. Overall, 75% agree and strongly agree that non-financial support improves their ability to meet project level objectives, whereas 64% agree and strongly agree with respect to achieving Programme level objectives (Appendix VII, Tables vii.3 and vii.4). Closer examination of data highlights that researchers in the OM perceive non-financial support to be of higher value than TM respondents. In addition, data highlights that non-financial guidance and support is more valuable for early career level researchers; indeed, 100% agree or strongly agree that r4d guidance is helping them achieve both project- and Programme-level objectives. Mid- and senior-level researchers are more tempered in their valuation.

In terms of research, TM researchers recognise the value of SDC involvement, which has resulted in a Programme-level emphasis on applied research, allowing them to explore or strengthen their aspirations for applied research. TM respondents see their professional development advanced in expanding their knowledge and experience of working in international development contexts. The relationship with SNSF brought a high degree of research-based pedigree and reputation. There is an indication from OM researchers that the Programme expanded their research capacity, with increased access to research materials, and growing familiarity with pursuing research for development approaches.

Nonetheless, interviews with PIs, Co-PIs and Coordinators reveal near unanimity in the SNSF being perceived as a strong and 'reliable' partner, notably with respect to tackling day-to-day issues and overseeing the achievement and progress of projects. This is partially due to the fact that the SNSF Programme Coordination team is the main point of contact for researchers. The SDC is perceived as more of an 'invisible' partner, as their presence and involvement is limited and often very much associated to specific SDC individuals and their appreciation and support of r4d as a field of activity. A broader range of Programme-level stakeholders (e.g. Review Panel members) were quite laudatory in their assessment of the value of the SDC-SNSF partnership in promulgating this Programme, given that it pushes researchers beyond narrow methodological and discursive confines at the intersection of research and development (Appendix VII, Tables vii.5 and vii.6).

## 3.11 Alignment with SD Discourses

**Finding 12:** **Thematic and Open Module projects are varyingly situated in sustainable development discourses. R4D programme guidance is appreciated by researchers towards better aligning and specifying their work as such.**

Projects reviewed by the MTR team were largely conceived before the SDGs were formalised, and hence are largely situated within sustainable development discourse broadly. While the Programme made few if

any efforts to align the projects to the SDGs, projects have evolved and adapted to the SDG-era differently. A document review of the trajectory of sampled projects overall, from proposal documents through to later outputs is revealing in this respect. This shows that earlier r4d-supported projects are clearly broadly situated in sustainable development discourse (including the Millennium Development Goals/MDGs), and this is true of TM and OM projects, as follows (in order of Call launch):

1) Project proposals of the Social Conflict Module were both written before the SDG launch, and align with sustainable development discourses broadly, though neither mentions the Millennium Development Goals (MDGs) more specifically. These projects are yet to align their research more specifically to SDGs, even though their extension proposals were written post-2015.

2) Projects in the *Employment Module* tended to foresee the post-2015 development agenda in their proposals, seeking to situate their work within it. However, both sampled projects did little to align their work more specifically with the SDGs once launched. For instance, there is no evidence of alignment in *Progress Reports* or in project extension documents.

3) Project proposals examined from the *Food Security Module* do align with sustainable development discourses more broadly, as both proposals were written pre-SDG launch. Neither projects realigned itself to the SDGs throughout their project process (e.g. SDGs are not mentioned in 2016 *Progress Reports*).

4) Sampled projects from the *Ecosystem Module* demonstrate an overall awareness towards sustainable development. One project proposal launched in the SDG era clearly grounds the project within an SDG framework, and continues doing so in its *Progress Report*.

5) *Public Health Module* projects are not included in the assessment.

6) Three of the examined OM projects started pre-SDGs, and align only with broader sustainable development discourses (though not specifically the MDGs). The one OM project starting in 2016 explicitly aims to contribute to the achievement of the SDGs. It does not however specifically align to one SDG, nor does it have a strategy for how the project can/will contribute.

As expected, all projects are broadly and diversely located within a sustainable development discourse. For those projects predating the SDGs, there is a surprising lack of alignment to the MDGs. As projects progressed into the SDG era, they became more familiar with the SDGs, with only a handful orienting themselves to become specifically inscribed in SDG discourse. This is not surprising, however, given that the majority of Calls pre-dated the SDG-era. As explained by one Coordinator, "We started before the SDGs and never aligned the project later towards the SDGs" (Appendix VIII, Table viii.1). And in the supplementary Call on the Ecosystems Module, launched in 2016, there is only one mention of the SDGs as being "highly recommended" in proposals; situating proposals in SDG discourse was not a requirement. Projects were not expected to receive Programme-level steering towards the SDGs.

Nevertheless, researchers significantly appreciate the support and guidance of the r4d Programme in shaping and defining their projects in terms of contemporary global sustainable development discourses. According to the MTR survey, 80.7% of TM respondents and 83.3% of OM respondents agree and strongly agree on the positive impact the guidance of the r4d programme has had to help their research team broadly define their research in terms of contemporary global sustainable development discourses (Appendix VIII, Tables viii.2 and viii.3).

## 3.12 Internal Factors for Non-/Achievement

**Finding 13:** The most important internal factors influencing the achievement of project outputs and outcomes is a combination of research design, the relationships which researchers have between themselves, the support they receive at the programmatic level, support from the Review Panel members, and in the nature of the funding mechanism supporting more mutually empowering relationships between Swiss-based and Southern researchers. Limitations involve the low commitment of research partners, PIs or mixed institutional support from the SDC towards Review Panel members.

Foremost, achievement of outputs and outcomes is underpinned by the research design itself. The design and pursuit of innovative research is the basis upon which projects are able to perform effectively, which is the case with r4d projects. Partnerships are a cornerstone of the r4d Programme architecture; the quality and nature of the partnerships are among the most important internal factors to the achievement of outputs and outcomes. Researchers suggest that relationships, and the inherent combination of social capital, trust, respect and communication, have helped projects to advance research outputs and use. Partnerships themselves depend on a number of factors including whether the researchers worked together previously, and if their capacities matched and were complementary. The existing capacities within the teams are also a crucial factor in meeting outputs and outcomes. For example, research users found that research was available and better aligned to their needs in cases where developing country partners had high convening power, strong scholarly reputations, and undertook proactive engagement. PIs also report that the diversity and sheer geographic spread of partners (combined with the scope and scale of research) exerts a management cost on projects, in some cases creating challenges of alignment among teams that are diverse in terms of priorities, capacities, commitment, time zones, resources, academic training, and disciplines.[x] Among survey respondents, partnerships and collaborations was the most highly cited factor (Appendix IX, Exhibit ix.1 and Table ix.1 and Table ix.2).

The supporting programme architecture and the scale of the funding resources are also instrumental to the achievement of outputs and outcomes. Overall, the r4d Programme has proven a source of appropriate, flexible, secure support for researchers, early-career and senior alike, in Switzerland and more crucially in developing countries. Funding is described by PIs and Co-PIs as "flexible", "enough and generous", with "budget autonomy". Interview participants are highly appreciative of funds for innovative and transdisciplinary research, especially the availability to developing countries – making the r4d Programme valued if not unique (Appendix IX, Table ix.3).

In relation to programmatic support, PIs and Co-PIs rate the following factors as positively influencing the achievement of project and Programme objectives: support and openness for discussion with Programme coordination staff; flexible responsive management and administrative support; support and advice from advisors (e.g. Review Panel members) (Appendix IX, Table ix.4). The involvement of the SDC is a limiting factor in that it could potentially offer more support to researchers to undertake and disseminate research outputs. Institutional support provided to Review Panel members by the SDC is mixed with varying, inconsistent support from management for individual Panel members' participation (Appendix IX, Table ix.5). Finally, for the time being, potential SDC-supported uptake pathways have not been enabled; with projects now producing outputs and engaging in dissemination, it is an appropriate time for SDC to participate more actively in enabling uptake opportunities.

## 3.13 External Factors for Non-/Achievement

**Finding 14:** **The context of the countries where research takes place is a crucial factor in achievement of outputs and outcomes, along with the receptivity of the policy environment to the research themes being pursued. Local partnerships were instrumental as external factors, while the shorter-term OM projects were also limited by the availability of qualified staff.**

The key external factor favouring/undermining outcome and outcome achievement relates to context, on a number of levels, with country context of the research being the prime among these. Projects supported by the r4d Programme undertake research on sensitive topics in developing country contexts, and also aim to offer results to national and international stakeholders. As a result, the context of the country is a direct factor when conducting research and making it available to users. For example, factors related to the environment, conflict, and socio-economic conditions of countries where research takes place may undermine timely data collection. Five sampled projects reported an alteration to their methods and site-selection strategy owing to civil conflict in a target region – a very high proportion of projects. One PI recalled amending the project on account of safety and security risks to the project team. Such delays and amendments are site-specific, but can have important implications for projects if their comparative research was to be conducted concurrently in different contexts (Appendix X, Exhibit x.1 and Table x.1). Given that many of the sampled projects have considered or are taking place in conflict contexts and have had to pursue methodologies that allowed for adjustment owing to contextual factors, the Programme is faced with an opportunity to make a strong contribution to the methodological literature on research in conflict environments.

Timeliness of r4d research projects, their policy relevance and policy interest within the partner country is also an important factor. High national/international interest in the research theme can facilitate the research and its uptake. Both, country context and local partnerships were most highly cited in the survey as external factors of achievement of outputs and outcomes. Survey participants mentioned these factors, including the following, as most salient: "accessibility of stakeholders", "interest and support by the relevant government departments", "emerging policy dialogues at the country level". Further, OM projects, being of a shorter time frame, faced challenges related to availability and ability for highly qualified local staff to be recruited for r4d projects.

# 4 Efficiency

## 4.1 Introduction

The OECD-DAC Criteria for Evaluating Development Assistance define efficiency as a measure of outputs in relation to inputs, to ascertain if the inputs were appropriate and economical to the outputs achieved.[xi] For this study, the evaluation team was mandated to assess the efficiency of the Joint SDC-SNSF Swiss Programme for Research on Global Issues for Development, with a focus on Programme management, finance, monitoring and the selection process of projects. The r4d Programme was found to be highly efficient overall, with some important variability.

## 4.2   Calls for Proposals

**Finding 15:    Open and Thematic Calls are perceived to be complementary, both having an independent value and as a necessary compromise enabling the establishment and advance of the r4d Programme. It is possible to adjust Call design to further enhance the value of both Calls.**

The inclusion of Open Calls was a crafted compromise between the two Programme partners, as a factor that made the r4d Programme acceptable and valuable to SNSF, in addition to SDC. The Open Calls fit well into the Swiss research tradition, providing space for higher risk/reward projects and providing a mechanism for attracting research submissions from research teams that were unable or unwilling to apply for a Thematic Call project. It is a widely felt concern that Open Call projects are stand-alone projects with no clear pathway for development uptake in SDC. The two organisations recognise that Thematic Calls are valuable because of the development uptake potential of supported projects (Appendix XI, Exhibit xi.1). With respect to Thematic Calls, an SDC staff member explained, "the value added is the link to our policy work in global programmes." Researchers themselves appreciate having both. A Project Coordinator said, "I am supporting the Thematic Calls very much, as research becomes more relevant for Swiss policy or international policy. But leave the Open Calls as you never know which themes might also come." The existence of both Calls gives researchers flexibility to decide which Call they apply to. Survey results show this clearly, where 90.6% of respondents agree or strongly agree that it is appropriate to have both types of Calls (and none disagree). Of concern, Open Calls may attract some research talent away from the Thematic Calls, which have been more valued by SDC staff interviewed in the MTR. There could be strategic ways to prevent Open Calls from reducing applications to Thematic Calls, such as announcing themes in advance.

SDC staff noted in interviews that the TMs fit well into SDC priorities; progress in meeting SDC priorities is tracked and reported annually.[xii] This is a policy reality that will continue to influence subsequent programming. It seems very likely that Thematic Calls in some form will be needed as the major component of any subsequent r4d programme that is funded in Switzerland. However, the funding partners both now acknowledge the utility of the two types of Calls and may be interested and able to shift to a discussion about alternative Call designs (Appendix XI, Table xi.1). Thematic Calls could be redesigned to focus on specific, well-defined, priorities yet allow more space for innovation and flexibility. Open Call 3 design demonstrates that conditions can be added to Open Calls to maintain flexibility but guide research ideas in strategic directions.

**Finding 16:    The two-step submission process for Calls was managed within performance norms consistent with other research Calls inside and outside Switzerland. The process resulted in the selection and contracting of projects, using a full set of well-designed grants' administration tools and processes.**

The 14-month two-step process, from Call launch through pre-proposal review, short-listing and then final project selection is reported by SNSF staff in interviews to be within the norms of practice in Switzerland. The MTR team finds that there is a complete, well-designed and readily-available set of tools and forms that guide project administration.[xiii] Survey respondents agree that the r4d Programme is efficiently planned (82.8% agree or strongly agree) and delivered (76.6% agree or strongly agree). By way of comparison, a similar Canadian programme completed a two-step project selection process with higher submission levels in 11 months (Appendix XI, Exhibit xi.2).[xiv]

The use of a Preparatory Grant of up to CHF 5,500 for partners to develop a full proposal in the Ecosystem, Food Security, Public Health, and OC Modules is a good practice (it was not available for the Social Conflict and Employment Modules). The use of small preparatory grants to permit international research partners to meet and collaboratively prepare proposals has been extensively and successfully used elsewhere in other research-for-development programmes (e.g., it is a common feature in Canada's IDRC with two-step proposal processes).

A project agreement is signed by all grantees and intended to be a document where the researchers can signal intent on partnership issues such as finances and tasks, authorships, conflict resolution, etc. (although it is not itself a legal document). The r4d Programme provides a flexible project agreement template. SNSF can only distribute funding directly to Swiss organizations, so successful applicants need to set up their own arrangements to distribute funds. A financial planning tool for r4d grantees was developed (the r4dIRA). The SNSF finance unit provides support to the institution that administers an r4d grant on how to use the online financial reporting tool. Financial reporting within the r4d Programme is quite complex as money flows to partner countries also need to be monitored. Respondents note that this can prove demanding on their financial staff. The r4d Programme met the standard six-month target to complete grant administration processes after issuing the legal letter (Verfügung) and started projects on time in almost all cases. There were no substantial delays in the TMs, except for one exceptional case; two OM projects experienced delays.

In some Modules, particularly the early Calls, available funding was not fully allocated. Review Panel minutes show that in Social Conflicts, CHF 8.2 million was distributed in project funding leaving over CHF 6 million unallocated; in Employment, CHF 10.1 million was used for 3 projects, leaving over CHF 4 million unallocated; in Ecosystems, CHF 9.5 million was used for 3 projects. Only one Call had adequate numbers of pre-proposals of high quality (Food Security) and was able to select 5 projects and utilise available funds. Project review and selection processes were rigorously done, well documented and Review Panels did not sacrifice standards in order to utilise available funding. Unallocated TM funds were later allocated with an 'Additional Call' in 2016.

## 4.3   Review Panels

**Finding 17:**   **Review Panels rigorously reviewed pre-proposals and final proposals, and delivered the set of responsibilities identified in the Management Principles. Review Panel members have adjusted to delivering a broader set of responsibilities than they originally envisioned or understood to be theirs.**

Meeting Minutes for all Review Panels document the careful deliberations involved in project selection. The two-step selection process required the review and short-listing of pre-proposals followed by a review and selection of proposals. External reviews were commissioned and utilised for full proposals, but Meeting Minutes focus mainly on the assessments of Panel members themselves, with external reviews as one input they draw upon.[xv] All Panels followed similar procedures (see Appendix XII, Exhibit xii.1 and Table xii.1). Review Panels also communicated feedback and advice to research teams. Just under three-quarters of respondents (73.4%) agree or strongly agree that the combined scientific and development feedback by Panel members is valuable.

Panel members, particularly in the early stages, perceived a lack of clarity in their roles and the time commitments needed (Appendix XII, Tables xii.2 and xii.3). Panel members were only informed that their

roles were more extensive than project selection (and involved a six-year commitment) in their second meeting. The Management Principles to guide their responsibilities were not finalised until May 2015. Some very limited turnover in Panel composition occurred as a result, but without any significant negative impacts on panel operations. Panel members were not always fully clear on the objective of site visits, the level of confidentiality of their interaction with researchers and what could be reported to r4d Programme management and, as one member said, their "room for manoeuvre" to guide projects.[xvi]

The Open Call panels were not thematically specialised, which was appropriate, given the range of submission topics, smaller budgets and less complex research designs. The diverse nature of submissions to the Open Calls was a challenge for Panel members when required to rank projects outside of their respective areas of expertise. After project selection, Review Panel involvement in projects was occasional (limited to a few projects where problems arose), so issues about responsibilities have not been raised as in the case with TM projects.

## 4.4   Benefits of Combined Reviews

> **Finding 18:**   **Review Panels effectively assessed scientific merit in proposal review and selection from the start, particularly in the TMs, and progressively improved their integration of development consideration into the review and selection of projects. The value of these combined reviews to researchers is variable.**

Review Panels considered both scientific merit and development relevance/potential as part of the review and selection of projects. However, the data (including Review Panel Meeting Minutes) indicate there was generally an imbalance towards consideration of scientific merit throughout the review and selection process, although there was some variation depending upon Panel composition (Appendix XII, Tables xii. 4 and xii.5 for perspectives). Panel Meeting Minutes point to the fact that scientific quality and feasibility were the preeminent considerations during Review Panel deliberations, particularly with earlier Modules and projects. Development relevance was not equally discussed for all projects and the feasibility of how the research can/will inform practice (i.e. development potential) was not strongly elaborated.

The following quote from an external Review Panel member captures what is a more widespread point. "In the Panel, almost everyone had a scientific background, so the science was considered more important, so the external development expert opinions were not always given the same weight…" (Appendix XII, Table xii.6). The structure of the review process, with only one SDC representative present, resulted in the responsibility falling uniquely on their shoulders for advocating the importance of development considerations and SDC priorities.

Over time, most Review Panel members progressively integrated development considerations into their deliberative and decision-making processes. Food Security, Ecosystems, and Employment Review Panel Minutes document discussion of development considerations, and Ecosystems in particular (June 2014 Minutes) used it as a key criterion in decision-making. The July 2015 Public Health Review Panel Minutes indicate ample discussion of development issues in proposals and feedback to all 3 funded teams for strengthening development aspects of their projects. The lifetime management (e.g., site visit reports) by the Review Panels further support the integration of development considerations in projects. But more substantive interaction with SDC staff would increase the actual realization of development potential in projects.

According to survey results, a majority of researchers (73.4%) recognise the combined scientific and development feedback provided by Review Panel members to be of medium to high value. There are significant disparities in responses from TM and OM respondents: 51.8% of TM respondents rate combined feedback to be of 'high value' and 21.4% of 'medium value'; 20% of OM respondents rate combined feedback of 'high value' and 40% of 'medium value'. In other words, OM projects are benefitting less from the r4d's combined feedback than TM projects (Appendix XII, Table xii.7), in no small part due to the thematic expertise of Review Panel members (i.e. being less tailored to specific OM projects).

## 4.5    Development Relevance of Open Call

**Finding 19:**    **While the TMs reflect sustainable development discourses and hence global and Swiss development priorities, OM projects tend to have development relevance directly through developing country national policy and uptake pathways. However, the current design of the r4d Programme does not yet provide direct pathways for uptake via SDC development programming.**

An advantage of Open Calls is that researchers can select topics that are *priorities in the developing countries* themselves. In principle, the TMs reflect sustainable development discourses and hence global and Swiss development priorities, but policy and development uptake may be less assured compared to research on a more narrow and specific research priority within a country, as per OM projects. An example of this is the Soil-Q project in Cuba where the initial research idea was identified by the Cuban partner and then jointly developed with the Swiss-based partner. The idea was proposed because it was an explicit priority in Cuba and the Co-PI would not have been permitted to apply for r4d support by the Cuban government on any topic that was not a Cuban priority. There are early indications that the results will contribute to the future development of norms for control of soil contamination in Cuba.[xvii] Thus, while not having a direct pathway into SDC programming, OM projects can have direct pathways to national interests and policy. In this way, TM projects tend to have a 'global' outlook while OM can be loosely regarded as more 'national'.

Importantly, the SDC is accountable for its use of funds and investments in research. Projects without a clear linkage to programming priorities are unlikely to be used in SDC. Development uptake within SDC requires the active attention of its staff and they are less likely to consider OM projects, as things stand. As one SDC manager says, "… for Open Calls, it's much more difficult to find people to look at them because they're not in our priority area."  Thus, results from Open Call projects are unlikely to lead to uptake in SDC development programming, as currently structured.

## 4.6 Submission and Success Rates

**Finding 20:** The review/selection process was managed in a pragmatic manner to determine the number and quality of submissions and success levels. Programme design, expectations regarding a balance of science and development, the specific thematic content that was defined for each Module, the Swiss research culture and the review/selection process all played roles in determining the number and quality of submissions and success levels.

Submission rates varied for TMs. There is no clear trend evident from Call timing (e.g., Public Health was one of the last calls and only had 9 submissions at pre-proposal stage). Despite much more limited funding, submissions to Open Call 1 (59 pre-proposals) and Open Call 2 (85 pre-proposals) were higher than for all Thematic Calls. The specific design of the r4d Programme differentiates the Calls from other disciplinary research calls administered by SNSF. The pool of interdisciplinary researchers for development in Switzerland is not large and projects were required to have a Swiss-based lead. Factors such as the novelty of the Programme, proposal preparation and team set-up needs, and Swiss research culture were cited as clear factors affecting submission rates.[xviii]

The TM Calls had low success rates (averaging 18% of pre-proposals) compared to other SNSF research funding. Review Panels in TM calls managed the selection processes pragmatically in order to maintain a reasonably-sized pool of proposals through the two-step process. Once proposals were developed, success rates across all Calls were similar (average 49% of proposals selected). The Additional Thematic Call was the only outlier (28% selected).

Overall, funding is distributed broadly across research organizations in Switzerland, evidence that the selection process did not favour certain types of applicants.[xix] Established research centres and universities active in r4d were well positioned to submit multiple proposals, having more resources; they received a share of the funding, but not disproportionately. Smaller institutions without a strong international research history but with development research expertise submitted fewer proposals, and some were successful. The number of proposals submitted is not correlated with success.

## 4.7   Monitoring Overall

### 4.7.1  Monitoring

**Finding 21:**   **Project monitoring is appropriate, with two Panel Members tracking each project, report writing, site visits, and an MTE to summarize progress. Current practices enable a fairly effective if varied Programme-level monitoring. Notably, there is evidence to suggest that SDC Panel Members are not equally supported institutionally to participate in the monitoring of projects, leading to disparities in the value of such monitoring.**

At the institutional level, interview data suggests that monitoring overall has contributed to greater alignment between research and development priorities within projects, and has provided good guidance to project proponents, with notable variations, particularly between Swiss-based and developing country researchers. Based on survey results, project-level monitoring is considered 'good value' by project proponents overall, at 75%, but of little to no value for 12.4% of respondents. When disaggregated by PI and Co-PI, the latter consider monitoring of much higher value (55% vs. 80.7%) (Appendix XIII, Table xiii.1). Report writing is generally considered "time-consuming but useful". In interviews, researchers indicate valuing the opportunities for face-to-face meetings with, and guidance from Panel Members, but that such opportunities were in more than a few cases sparse and brief (Appendix XIII, Table xiii.2). There are no budgets for exchange with Panel members for OM projects. Creating more substantial opportunities for project proponents to engage with Panel Members is considered desirable, as a way to increase the value of project-level monitoring by Panel Members overall.

### 4.7.2  Instruments

**Finding 22:**   **The range of instruments used by the r4d Programme helps keep projects on track towards meeting their objectives. They also contribute to building diverse configurations of research networks both within projects and somewhat beyond.**

Site visits provide a valuable opportunity for Panel Members to gauge the progress and practices of projects on the ground. For those project teams that have had them, the data suggests but is not conclusive that site visits are a valuable tool for helping PIs, Co-PIs and Coordinators realise their project objectives (Appendix XIII, Tables xiii.3 and xiii.4). MTEs are considered to be a valuable process, as part of the TM, notably ensuring that projects are positioned for use and relevant to local stakeholders in developing countries. There is widespread belief that the potential of the MTE (though appreciated) is under-developed (Appendix XIII, Table xiii.5 and xiii.6). The r4d Forum is a valuable tool for promoting research and development exchange across multiple stakeholder groups, and for enabling "Module-level thinking" (Appendix XIII, Tables xiii.7 and xiii.8). R4D skills fill an important niche in the Programme, providing targeted skill-building opportunities to project proponents, though they can be made more useful through a more thorough and effective consultation of researcher needs, and providing increased support to developing country partners (e.g. through virtual skills building sessions) (Appendix XIII, Tables xiii.9 and xiii.10).

## 4.8   Life-time Management

**Finding 23:    The overall life-time management approach of the r4d Programme, and notably the continued support offered to projects by Review Panel members, is well regarded by Panel members and researchers alike. Panel members perceive this as a Programme aspect that gives them ownership of projects in which they are involved. Researchers see this as contributing to keeping research projects on track and, for the most part, favouring the achievement of project objectives.**

The life-time management approach, including the Panel site-visits, monitoring and feedback, receives positive reviews from researchers and also Panel members. One researcher comments that the "Review Panel is great, crucial for keeping the project on track", another that their Panel members "were very helpful and effective in order to facilitate the process of research, and bringing the results to relevant users and stakeholders". A solid majority of survey respondents (75-78%) value the feedback of Review Panels and believe it helped contribute to the achievement of project objectives. At the same time, a minority (10-15%) of researchers are critical of the activities of the Panels, with particular discord between a project in the Employment Module and their assigned Review Panel members.[xx] The established conflict resolution processes in SNSF that apply to the r4d programme are formal administrative processes not specifically designed to address issues that may arise from conflicts between researchers and Review Panel members when carrying out 'lifetime management' activities with research teams (Appendix XIV, Exhibit xiv.1).

The Panel members assigned to accompany projects develop 'ownership' of their assigned projects. The Management Principles outline the role of Panel members, but stop short of providing specific guidance as to how Panel members are expected to interact with research teams. Review Panels are also tasked with *evaluating* mid-term reports and *recommending projects for continuance or not*, roles that may put them in an awkward or conflictual situation with their perceived 'ownership' of projects.

The participation of Review Panels in the production of Module reports was intended at one point, but the SteCo has determined that the Programme Coordinators will write them. Review Panels may contribute to synthesis products (as defined by the Management Principles), but this is a responsibility that requires further definition. The TM Panels are well positioned to make these contributions on the basis of progress reports, the Mid-Term Evaluation and site visits. In the case of OM projects, there has only been marginal involvement of Panels in project monitoring until now (this was planned, but there is no budget for this) and it is unclear how they might effectively contribute to synthesis activities. OMs present a particular challenge for synthesis because of the diverse project portfolio and it may not be possible or advisable to include them (Appendix XIV, Tables xiv.1 and xiv.2).

## 4.9   Programme Management

> **Finding 24:**    **Programme Management and Administration are well structured to serve the Programme. They have progressively overcome the challenges of bridging two different institutional cultures, though some adjustments could help the Programme in reaching its full potential.**

The Programme organigramme outlines its clear strategic and operational components. The r4d SteCo, comprising three staff members from each partner organization, is responsible for strategic oversight of the Programme and collaborative decision-making between the two partner organizations. It is supported by the Advisory Panel, comprising the six Review Panel Presidents.

The strong bottom-up basic research tradition at SNSF had to be reconciled from the start with an equally strong but different SDC tradition in targeted/directed programming. A number of respondents note that the SDC and SNSF partnership has steadily strengthened since the r4d Programme was first set up. In SNSF, shifting r4d operational responsibility and management to the SNSF Division IV – Programmes tapped into its expertise and experience in managing Thematic Call programmes, strengthening the partnership.

Operationally, SNSF has responsibility for delivering the Programme. The evaluation team finds that the r4d Programme Coordination team is effective in its programmatic administration. The team is relatively small for a programme of its size and complexity. Stakeholders believe that the r4d Programme is efficiently 'planned' and 'delivered' (82.8% and 76.6% of survey respondents respectively rated this highly). Open-ended comments from the survey refer to programme management as: "flexible, responsive management" and "well-organised and reliable support by the coordinating position."

While SDC staff members indicate their interest and motivation to participate more intensively, some claim to have inadequate time to contribute. On the SDC side, clear and unified support from senior levels has not been provided and, as a result, Department Managers have not consistently supported the participation of staff. Other than participation in project selection, the programme has not yet effectively utilised SDC's experience and capacity in development uptake. TM projects are maturing and beginning to generate research results that can be used to inform development programming. The r4d programme will more effectively reach its full potential with active SDC collaboration to help researchers ensure development relevance; this will require more staff time to be dedicated (Appendix XV, Exhibit xv.1 and Table xv.1).

As stated above, the Programme is pushing researchers to undertake interdisciplinary research, support the enhancement of competencies, build research partnerships, and is on track to ultimately produce relevant research outputs for uptake. Pending the use and uptake of research outputs, the Programme represents high value-for-money based on its current trajectory. In the end, overall value-for-money will depend on the uptake of results, especially through global thematic platforms, global policy dialogues, etc. and it remains to be seen.

# 5 Lessons Learned and Recommendations

## 5.1 Introduction

This Mid-Term Review (MTR) of the Swiss Programme for Research on Global Issues for Development (r4d Programme) of SDC and SNSF was required to shed light on lessons learned thus far, to inform the remainder of the Programme until December 2021 and also inform r4d programming more broadly and into the future. In the following section, the MTR team shares key insights relevant to the remainder of the Programme trajectory. This is followed by a section providing insights that speak to the possible future of this Programme, and of others beyond 2021.

## 5.2 Insights for the Remainder of the r4d Programme

At the current stage, the r4d Programme has had many notable successes and has been found to be both effective and efficient, for the most part. Towards ensuring that the Programme is able to meet its objectives, the following potential strategies should be considered for the remainder of the Programme, noting that many are complementary of one another. Unless otherwise noted, recommendations are addressed at the Steering Committee (SteCo) and the Programme Coordinators.

### Effectiveness in Research

1)  Research teams have indicated that an important factor of success stems from the quality of research partnerships. Thus, the r4d Programme should further focus on improving the quality of research partnerships. Towards doing so, the r4d Programme is encouraged to provide comparable access to the Programme's capacity strengthening dimensions, including its skills development and training (e.g. r4d Skills). Capacity strengthening with a focus on Southern research partners will contribute to minimizing the gaps in research quality and capacities, and will support more balanced partnerships. In particular, r4d skills workshops should be made accessible to remote participants through web-enabled technologies. Training could also be provided to Swiss-based and developing country partners on communications, outreach and a slew of other elicited thematic areas. Given the centrality of developing country partners to research uptake, the development of Southern capacities alongside those of Swiss-based partners can be expected to contribute to the effective uptake of research.

### Favouring Uptake – Engaging with Potential Users

2)  It is a responsibility of researchers to develop uptake pathways, strategies and practices, both overall and as appropriate to their project trajectories. Given that not all r4d researchers are equally savvy and effective in pursuing relevant uptake approaches, they should seek appropriate

support in their development. Indeed, the r4d Programme could provide important support for the remainder of its life-time, notably on engaging with potential users. The r4d Programme (including Review Panel members) should support projects as early as possible in their strategic engagement with potential users, ensuring both that research outputs are well aligned with the needs of users and there are established linkages through which the research is made available to users. Engagement with users yields better results when it is done proactively – if the research is aligned with the users' needs and if users are aware of the research. Uptake efforts are less fruitful if undertaken entirely post facto. The experience from OM projects is of great value in this respect.

## Favouring Uptake – SDC Uptake Pathways

3) The MTR revealed that SDC uptake pathways are yet to be developed, and are a latent and potentially powerful resource for favouring the use and uptake of results. At the MTR, it is now an appropriate time (i.e. there is a "window of opportunity) for the SDC to articulate and provide appropriate support for these potential uptake pathways to become catalytic, in several ways:

– At Headquarters: With the support of the SteCo, the r4d Secretariat and a few key Review Panel members, the SDC should develop an *identification and uptake support strategy* to review all projects and identify appropriate pathways for development uptake of the most promising findings. Pathways for uptake and scalability of research outputs need to be strategised for Switzerland and internationally and can include many channels, including engagement with development banks, multilateral agencies, bilateral agencies, in-country policy makers, civil society and private sector networks. Techniques that include the knowledge fairs and learning routes used by IFAD may be drawn upon for these purposes. This should be done through a dialogical approach with the researchers themselves.

– At Country Office level: The SDC should engage with projects at two stages: i) when the research process itself requires engagement with policy-level actors in countries, the SDC can provide support in establishing linkages through its in-country channels; ii) at the output stage, SDC should help researchers engage with policy actors in developing countries. Context is the biggest external factor in the effective delivery of outputs and outcomes, and is an area where the direct support of SDC can provide strong support. This should also be done through a dialogical approach with the researchers themselves.

## Favouring Uptake – SDC Institutional Support

4) To take advantage of the current window of opportunity, the SDC needs to provide adequate institutional support, and this in a number of important ways.

– SDC SteCo members and Review Panel members should pursue engagement with the SDC Board of Directors, to advance the strategic value of the Programme and elicit their vocal institutional commitment for the remainder of the Programme life-time.

– The r4d Programme should be included in the SDC's annual planning cycle as part of its Management by Objectives. This would entail the provision of appropriate resources for SDC staff to perform functions related to the Programme (e.g. as Review Panel members, in support of uptake activities, etc.).

– Towards favouring that this commitment filters down consistently through the institution and is strengthened, SDC should clarify its human resource commitment to the Programme. This could

be done specifically through the allocation of Resources for Duty for working on the r4d Programme.

– To counter the challenge of staff rotation at SDC, handovers/knowledge transfer processes should be pursued, ensuring continuity in institutional memory.

## Favouring Uptake – Communications

5) Though Communication Budgets are generally being spent in ways that are appropriate to their trajectory, the review undertaken of Food Security project communication-related spending suggests that a small proportion of projects may be under-spending on communication-related activities. Thus, it is recommended that r4d Programme Coordinators review the entire portfolio of projects' communications spending, and provide additional guidance and support to those projects whose communications' strategies and practices reveal themselves to be under-developed.

## Favouring Uptake – Targeting the Private Sector

6) An under-developed area of this programme for the outreach, use and uptake of research has been the private sector. Given the growing role of the private sector as a development actor, including multinational corporations, the Swiss private sector and private sector actors in developing countries, the r4d Programme (and the projects it supports) should focus on a strategic and targeted engagement with the private sector, especially but not limited to projects that address the private sector. This can be done through strategically engaging with the Swiss State Secretariat for Economic Affairs[xxi] and the Competence Centre for Engagement with the Private Sector.[xxii]

## Monitoring and Instruments

7) Some ambiguity persists for Review Panel members about expectations, roles and parameters of monitoring overall. It is thus essential that the r4d Programme clarify the role of Review Panel members in monitoring projects, with clear distinction of what differentiates mandating the direction and form of research relative to providing possibly useful advice and recommendations during site visits, when providing feedback on progress reports and then in the Mid-Term Evaluations. In particular, it is important to clarify for Panel members how to manage perceived "ownership" of research projects and providing advice along with their decision-making role in recommending funding continuation (or not).

8) While monitoring has been in many ways appreciated by researchers and Review Panel members alike, it is quite understandable that in some cases conflicts should emerge, especially given the multiple roles of the Review Panel members. The r4d Programme is encouraged to establish a light conflict resolution process in the short-term, especially one that relates to potential conflicts in monitoring, while crafting a more elaborate conflict resolution policy and process for any future r4d programme.

9) While there are no formal, project reporting requirements on the SDGs and Gender, these are nonetheless important areas of interest and concern at project and Programme level. Thus, it is recommended that project proponents are encouraged (but not required) to report on their alignment with the SDGs and on the gender-sensitivity of their projects in their scientific reports

(e.g. in the section on ethical considerations). Doing so would provide the r4d Programme with insights on these matters, which could inform future programming meaningfully. It must be emphasised that project performance should not be gauged against such report, and that this remains a learning exercise.

## Contribution to the Literature

10) Many projects are undertaking research in conflict areas, taking risks and addressing challenges that frequently result in methodological adjustments. Given the important and growing body of literature on researching in conflict environments, the r4d Programme should encourage its researchers to consider pooling insights and publishing on such matters, in addition to their publishing and dissemination that is thematically focused.

## 5.3   Insights for Future Programmatic Strategies

While the current MTR is specifically designed to assess progress and make recommendations towards ensuring that the r4d Programme most effectively meets its objectives, the MTR team has also been requested to provide insights for the conceptualisation, development and implementation of any future r4d programme.

## Continued SDC-SNSF Collaboration

1) The MTR team is firm in our belief that the value of SDC-SNSF collaboration and joint funding for both institutional partners has been demonstrated by the r4d Programme. We recommend that they continue working together into the future, should resources be available. The collaboration has a synergistic effect in advancing the priorities of both partners, and through the creation of a unique and much-valued opportunity for researchers and for other stakeholders.

## Innovative Research

2) The r4d Programme created an important and rather unique opportunity for innovative, partnership-based, transdisciplinary research that is much valued by the researchers that are funded in Switzerland and in the Global South. Such programmatic framing should be maintained, with continued support for innovative research, which may not necessarily align with traditional academic outputs like peer-reviewed publications, but has potential to produce high impact.

3) Retaining the current balance between TM and OM type research is desirable, with medium and longer-term research support provided, with only minor modifications. The r4d Programme has an appropriate balance of TM and OM projects. Both have provided respective value. TM projects are currently producing outputs, demonstrating strong potential to generate a few key globally relevant solutions. OM projects on the other hand are highly relevant to specific national development contexts, and OM projects may attract research institutions and talented researchers unable or unwilling to take on the larger and more complex TM research. Above all, it is important to retain a balance between TM and OM given their respective value added.

## Research Partnerships

4) Partnerships developed through the projects are highly valued by partners and have proved beneficial for the Swiss and developing country partners alike. They lead to more relevant research, and increase the research capacities of both. Many existing features of the r4d Programme have supported the development of effective partnerships, and any future r4d programme should continue to provide such support, including: resources for face-to-face meetings, ability to co-design research, and exchange of students. The support for effective partnerships could be improved in a number of ways:

   – Consider provision of funding directly to the PI and Co-PI institutions, without needing the PI institution to manage resources.

   – Support clearer communications planning internal to projects.

   – Provide more emphasis and encouragement on co-authorship.

   – Provide all involved researchers with training on KFPE principles (e.g. online if necessary).

   – Encourage researchers to explore and consider opportunities such as the Government Excellence Scholarships[xxiii], in order to improve teaching and research experiences. Such opportunities can be expected to improve partnerships, research and networking capacities more broadly.

5) While supporting Swiss-based researchers is a priority, any future r4d programme should consider opening the partnerships to other Northern researchers, on a no-cost basis to the programme. While Swiss-based researchers would remain PIs, this would further catalyse the quality and visibility of Swiss-based research.

## Favouring Uptake

6) Uptake pathways further developed in the current r4d Programme, including those in collaboration with the SDC, should be maintained and adapted to the future programme realities and priorities.

7) Any future programme should develop and include a funding opportunity for r4d projects to implement or 'test' their research findings (e.g. collaboratively with NGOs, private sector actors, etc.) in order to transfer research into development activities if and when the opportunities arise over the course of project trajectories (e.g. for the development of concrete projects with development stakeholders).

8) A future programme should develop a 'transfer process' for OM projects that could be assessed and incorporated into a relevant TM, based on the fit to the thematic research and performance in the initial phase of work. This would require some adjustments to the OM Call in order for this to be a viable option.

## Alignment with the SDGs

9) Strong alignment with the SDGs is encouraged, and can be actively pursued through the Call process itself, through monitoring, in the production of research outputs and cultivation of uptake pathways.

## Building Researcher Networks

10) Participants in the r4d Programme have indicated a high appreciation for engaging with other researchers across Modules, across the Programme and beyond. In any future programme, network building could include a component for engaging with networks funded by other r4d programmes globally. One way to do this is to co-fund and co-organise knowledge sharing platforms with other relevant and comparable r4d programmes.

## Gender Sensitivity

11) Given both SDC and SNSF commitments to gender, a gender strategy should be crafted that ensures the respective commitments of the collaboration are realised in practice. Although both SDC and SNSF have explicit commitments to gender, gender is not addressed systematically in the r4d Programme. Such gender considerations need to be reflected at various levels: in Call documents; in the drafting of guiding documents for the selection of projects, in the proposal assessment matrix, in the programme M&E system; in the guidance provided to researchers on the integration of gender into projects themselves.

## Monitoring and Instruments

12) Projects that are discontinued after their Mid-Term Evaluation do not achieve their potential as assessed in the rigorous selection process. The r4d Programme should review the potentially conflicting nature of the roles assigned to Review Panel members in the 'life-time management' approach, ensuring that roles and responsibilities of Review Panel members and researchers are clear and consistent. Any future r4d programme should develop balanced and appropriately binding peer-review systems and compliance principles in order to avoid conflicts within evaluation processes.

13) In an effort to avoid project or programme-level conflicts without mechanisms for their management and resolution, any future r4d programme should clarify a conflict resolution policy and process as part of the monitoring of r4d projects. These clarifications could include, for example, specifying the implications and expectations associated with Review Panel recommendations, and identifying a contact person for researchers in case of disagreement with a recommendation.

## Efficiency

14) Towards ensuring that a strong pool of projects are selected, a future r4d programme should consider pooling (a portion of) its funds in a centralised manner that would permit the Steering Committee to allocate more or fewer funds to Thematic Areas that may have more or fewer meritorious proposals submitted.

15) The human resource contribution of SDC to any future r4d programme needs to be reviewed, in order to ensure that the right staff members are involved and permitted sufficient time for meaningful involvement, consistent with the research uptake strategy.

16) In an effort to ensure there are adequate project management resources available, any future r4d programme should consider allowing funding to cover release from teaching for PIs,

considering the high cost of management, and to add an incentive to PIs. Release time could be paid for actual costs to hire replacement teachers.

17) The life-time management approach of the r4d Programme should be maintained, but modified/adapted based on some of the monitoring and other recommendations provided above.

18) Given the effectiveness and efficiency of current management arrangements, any future r4d programme should pursue the same or similar arrangements.

# Appendix I  End Notes

i Note: Some key stakeholders fill multiple roles, as such there are more listed in categories than were interviewed.

ii Organization for Economic Cooperation and Development – Development Assistance Committee (OECD -DAC). 1991. Principles for Evaluation of Development Assistance.

iii Swiss National Science Foundation (SNSF). Multi-Year Programme 2017 – 2020: Planning document for Federal Authorities. Retrieved 26 Sept. 2017 from: http://www.snf.ch/SiteCollectionDocuments/mehrjahresprogramm_2017_2020_e.pdf

iv Organization for Economic Cooperation and Development – Development Assistance Committee (OECD -DAC). 1991. Principles for Evaluation of Development Assistance.

v Swiss National Science Foundation (SNSF) P3 Database. Retrieved Nov. 13, 2017 from:  http://p3.snf.ch

vi Projects under Thematically Open Modules have relatively small budgets. The average budget of sampled Thematically Open project was CHF 507,851.67, while the projects under other modules have an average budget of CHF 2,028,207.89.

vii Of the sampled TM projects, only one project (Trade and Labor Market Outcomes in Developing Countries) did not explicitly include multiple disciplines.

viii For the purpose of this MTR, innovativeness was considered to comprise 4 distinct elements: 1. Generation of new knowledge, 2. Generation of new knowledge with stakeholders, 3. Dissemination of knowledge 4. Uptake of innovative knowledge outputs. For more details, please refer to Appendix VI, Exhibit vi.1.

ix Swiss Agency for Development and Cooperation (SDC). Development and Cooperation: Gender Quality. Retrieved Oct. 1st, 2017 from: https://www.eda.admin.ch/deza/en/home/themes-sdc/gender-equality.html

x For example, the country partners may follow diverse standards for reporting – financial, project – creating challenges of coherence.

xi Organization for Economic Cooperation and Development – Development Assistance Committee (OECD -DAC). 1991. Principles for Evaluation of Development Assistance.

xii Swiss Agency for Development and Cooperation (SDC). N.d. Development and Cooperation: Annual Reports Database (https://www.eda.admin.ch/deza/en/home/publications-services/publications/range-publications/annual-reports.html) ;
Federal Department of Foreign Affairs. 2017. "Federal Council approves 2016 Foreign Policy Report". https://www.admin.ch/gov/en/start/documentation/media-releases.msg-id-65203.html

xiii Swiss Programme for Research on Global Issues for Development. (n.d.). *Administration of Grants (repository)"*. Retrieved 1st Oct, 2017 from: *http://www.r4d.ch/r4d-programme/administration-of-grants*

xiv International Development Research Council (IDRC). (2016). IDRC Digital Library: Evaluation of Cultivate Africa's Future Fund (CultiAF). https://idl-bnc-idrc.dspacedirect.org/handle/10625/56357

xv The minutes of Panel meetings where pre-proposals and proposals were discussed did not contain explicit references to external reviews nor the extent that external reviews were utilized (or not) by panel members in their assessments.

xvi In the Employment Module, there is one project with considerable disaccord between the Panel members assigned to the project and the research team.

xvii As a PI put it, "The r4d Programme, specifically the Thematically Open Call, is ideally attuned, is a rather unique opportunity in that that environmental pollution is not traditionally perceived in a developing aid discipline as a priority."

xviii For example, an SDC manager said: "Low submission rate in Thematic Calls is clearly linked to the high expectations of the r4d Programme and how the Thematic Call was defined…."

xix Of note, research Non-Government Organisations were not permitted to lead projects and could only participate in a supporting role.

xx The response to the progress report and site visit report for this Employment project was reviewed by the evaluation team. They are critical of a number of elements of the research, but professional in tone, helpful and provide constructive suggestions.

xxi Swiss Agency for Development and Cooperation (SDC). State Secretariat for Economic Affairs SECO. Retrieved 14 November from: https://www.seco.admin.ch/seco/en/home.html.

xxii Swiss Agency for Development and Cooperation (SDC). Shareweb: Engagement with the Private Sector. Retrieved 14 November from: https://www.shareweb.ch/site/EPS

xxiii State Secretariat for Education, Research, and Innovation (SERI). Swiss Government Excellence Scholarships for Foreign Scholars and Artists for the 2018 – 2019 Academic Year. Retrieved 14 November from: https://www.sbfi.admin.ch/sbfi/en/home/bildung/scholarships-and-grants/swiss-government-excellence-scholarships-for-foreign-scholars-an.html

# Appendix II  List of Findings

**Finding 1:**    The r4d Programme is highly relevant to both SDC and SNSF, in complementary ways. Both institutions consider researching solutions to development challenges to be of high priority, which is itself advanced by the r4d Programme. The SDC prioritises finding relevant solutions to global development issues, which are favoured when developing country researchers are supported and research partnerships are developed. In line with SNSF priorities, the Programme also offers Swiss-based researchers unique research opportunities they would not otherwise have. Finally, the geographic distribution of funds advances Swiss development and/or humanitarian priorities while cultivating the country's open research tradition.

**Finding 2:**    At the mid-term of the r4d Programme, various projects are in diverse stages of producing research outputs, appropriate to their trajectory. As projects move into advanced stages of research, the number of research outputs is expected to rise, and projects are generally expected to be highly productive, in line with expectations.

**Finding 3:**    All projects have brought emerging results into policy fora and among stakeholders, in diverse ways and to varying extents, increasing both awareness and likelihood of use. Projects that are more advanced in timeframe also tend to lead in exposure and in the number of exchanges. The outreach to users and stakeholders is advanced in countries where Co-PIs have high social capital and have continuously engaged with users. Researchers appreciate the emphasis on outreach, supported by the Programme's budgetary allocations, but express an aspiration for more involvement from Swiss partners (especially the SDC) and donor agencies, that could help advance the policy and development outreach.

**Finding 4:**    All projects are being carried out through research partnerships. As a result, at the Module level, there are more partner countries than Swiss institutions. Besides programmatic emphasis on North-South partnerships, the r4d Programme has allowed for South-South exchanges, which are highly valued by participants. For the time being, external network building remains under-developed.

**Finding 5:**    The transnational research partnerships supported by the Programme are effective. Projects have been co-designed by Swiss-based and Southern partners, projects report frequent communication, and student exchanges contribute to effective partnerships. The effectiveness of the partnerships has been dependent on factors, including: matching capacities of researchers, prior working experience, and country contexts. However, co-authored peer-reviewed publications remain limited.

**Finding 6:**    The r4d Programme promotes and produces interdisciplinary research, and is an important source of interdisciplinary funding worldwide. While the projects are interdisciplinary in nature, each approaches interdisciplinarity differently. The capacity to undertake interdisciplinary research has been enhanced qualitatively through the Programme, principally through the undertaking of research itself and the training of students and researchers. Given the relatively long timeframe of projects, many more university degrees are anticipated, amounting to important capacity strengthening.

Finding 7:    Overall, projects have been pursuing innovative, transdisciplinary and geographically diverse research, with a promise for delivering research outputs that are relevant and applicable. At the time of this MTR, many if not most research results were yet to be available. Nonetheless, Review Panel members and other stakeholders are optimistic that r4d Programme solutions being produced for reducing poverty and global risks will be of high quality, given the combination of research teams, questions being addressed, and resources available.

Finding 8:    At its root, the r4d Programme is supporting highly relevant research, which is the basis of understanding and addressing development challenges in a more systematic and holistic manner. The Programme has also pushed researchers to undertake outreach and engagement activities as part of their design. The extent to which the research has and will inform national and international stakeholders has proven to be contingent to a significant extent on specific research design elements, with some projects more savvy and intentional than others.

Finding 9:    The r4d Programme is contributing to the enhancement of researcher competencies and expertise for addressing complex global issues, with potential for higher-level systemic implications. For researchers from both TM and OM, the r4d Programme improves and strengthens the capacity of involved researchers to reflect on global issues in more nuanced and elaborate ways, and from various disciplinary angles.

Finding 10:   The r4d Programme does not have an explicit gender strategy, nor is gender a cross-cutting issue in projects. Yet, about a quarter of sampled projects across Modules specifically focus on gender. As such the Programme may be considered gender 'neutral', while a reasonable proportion of projects selected reflect a concern with gender, and are themselves either gender 'specific' or gender 'intentional'.

Finding 11:   While recognising the Programme as having its own unique 'Research for Development' identity, researchers perceive a moderate added value of being funded through both r4d Programme partners, SDC and SNSF. At the same time, researchers perceive the SNSF as a partner adding more value in strengthening their ability to achieve and meet the r4d project and Programme expectations as compared to SDC.

Finding 12:   Thematic and Open Module projects are varyingly situated in sustainable development discourses. R4D programme guidance is appreciated by researchers towards better aligning and specifying their work as such.

Finding 13:   The most important internal factors influencing the achievement of project outputs and outcomes is a combination of research design, the relationships which researchers have between themselves, the support they receive at the programmatic level, support from the Review Panel members, and in the nature of the funding mechanism supporting more mutually empowering relationships between Swiss-based and Southern researchers. Limitations involve the low commitment of research partners, PIs or mixed institutional support from the SDC towards Review Panel members.

Finding 14:   The context of the countries where research takes place is a crucial factor in achievement of outputs and outcomes, along with the receptivity of the policy environment to the research themes being pursued. Local partnerships were instrumental as external factors, while the shorter-term OM projects were also limited by the availability of qualified staff.

Finding 15:   Open and Thematic Calls are perceived to be complementary, both having an independent value and as a necessary compromise enabling the establishment and advance of the r4d Programme. It is possible to adjust Call design to further enhance the value of both Calls.

Finding 16:   The two-step submission process for Calls was managed within performance norms consistent with other research Calls inside and outside Switzerland. The process resulted in the selection and contracting of projects, using a full set of well-designed grants' administration tools and processes.

Finding 17:   Review Panels rigorously reviewed pre-proposals and final proposals, and delivered the set of responsibilities identified in the Management Principles. Review Panel members have adjusted to delivering a broader set of responsibilities than they originally envisioned or understood to be theirs.

Finding 18:   Review Panels effectively assessed scientific merit in proposal review and selection from the start, particularly in the TMs, and progressively improved their integration of development consideration into the review and selection of projects. The value of these combined reviews to researchers is variable.

Finding 19:   While the TMs reflect sustainable development discourses and hence global and Swiss development priorities, OM projects tend to have development relevance directly through developing country national policy and uptake pathways. However, the current design of the r4d Programme does not yet provide direct pathways for uptake via SDC development programming.

Finding 20:   The review/selection process was managed in a pragmatic manner to determine the number and quality of submissions and success levels. Programme design, expectations regarding a balance of science and development, the specific thematic content that was defined for each Module, the Swiss research culture and the review/selection process all played roles in determining the number and quality of submissions and success levels.

Finding 21:   Project monitoring is appropriate, with two Panel Members tracking each project, report writing, site visits, and an MTE to summarize progress. Current practices enable a fairly effective if varied Programme-level monitoring. Notably, there is evidence to suggest that SDC Panel Members are not equally supported institutionally to participate in the monitoring of projects, leading to disparities in the value of such monitoring.

Finding 22:   The range of instruments used by the r4d Programme helps keep projects on track towards meeting their objectives. They also contribute to building diverse configurations of research networks both within projects and somewhat beyond.

Finding 23:   The overall life-time management approach of the r4d Programme, and notably the continued support offered to projects by Review Panel members, is well regarded by Panel members and researchers alike. Panel members perceive this as a Programme aspect that gives them ownership of projects in which they are involved. Researchers see this as contributing to keeping research projects on track and, for the most part, favouring the achievement of project objectives.

Finding 24:   Programme Management and Administration are well structured to serve the Programme. They have progressively overcome the challenges of bridging two different institutional cultures, though some adjustments could help the Programme in reaching its full potential.

# Appendix III  List of Documents Reviewed

## SNSF Collaborative Platform

- SNSF (2016) Rules governing use of the SNSF's collaboration platforms (SNSF's collaboration website)
- SNSF (2016) Declaration on the rules governing use of the SNSF's collaboration platforms (SNSF's collaboration website)

## R4d Programme General

- SNSF (2015) r4d programme: Annual report 2014
- SNSF (2016) r4d programme: Annual report 2015
- SNSF (2014) Swiss Programme for Research on Global Issues for Development (r4d.ch), Programme Document and Concept Note
- SDC & SNSF (2011) Framework Agreement, SDC-SNSF Fund for Research on Global Issues
- [Excel list] Contacts for MTR Interviews
- [Excel list] Outputs within the r4d programme (projects all modules, programme and module events)
- Swiss National Science Foundation (2016) Guidelines for the lifetime management of research projects (grants)
- Swiss Agency for Development and Cooperation, Swiss National Science Foundation (2015) Swiss Programme for Research on Global Issues for Development, Booklet of Programme
- The MTR team reviewed programme and project documentation and materials on the r4d website: http://www.r4d.ch
- SNSF (2013) Intermediate Report 01.03.2012 – 31.12.2012, DEZA/SNF-Contract Nr. 81015069 (Social conflict and 1st thematically open call)
- SNSF (2014) Intermediate Report 01.01.2013 – 31.12.2013, DEZA/SNF-Contract Nr. 81015069 (Social Conflicts and 1st thematically open call)
- SNSF (2013) Intermediate Report 01.09.2012 – 31.12.2012, DEZA/SNF-Contract Nr. 81015980 (Employment and 2nd thematically open call)
- SNSF (2014) Intermediate Report 01.01.2013 – 31.12.2013, DEZA/SNF-Contract Nr. 81018052 (Food Security and Evaluation)

## Ecosystems Module

- SNSF (2015) Management Principles r4d Ecosystems, Information for researchers
- SNSF (2015) Management Principles and Guidelines, r4d Module Ecosystems, Information for Review Panel members
- SNSF (2013) Minutes, r4d.ch Ecosystems, Pre- proposals, evaluation meeting, Zurich 11/12 December 2013
- SNSF (2014) Minutes r4d Panel meeting 25/26 June 2014 in Berne, Switzerland

**Oil Palm Adaptive Landscapes (OPAL)**

- Ghazoul, Jaboury (2016) Oil Palm Adaptive Landscapes (OPAL): First progress report
- Ghazoul, Jaboury (2016) Oil Palm Adaptive Landscapes (OPAL): Research Plan, Years 1-3
- Verburg, Peter and Claude Martin (2016) Oil Palm Adaptive Landscapes (OPAL): Feedback on the First Progress Report and the Site Visit to Kalimantan

**Telecoupled Landscapes**

- Messerli, Peter (2016) Managing Telecoupled Landscapes for the Sustainable Provision of Ecosystem Services and Poverty Alleviation: 1st Progress Report
- Messerli, Peter (2016) Managing Telecoupled landscapes for the sustainable provision of ecosystem services and poverty alleviation: Feedback on 1st Progress Report, Comments on the progress of the project
- Messerli, Peter (2016) Managing Telecoupled landscapes for the sustainable provision of ecosystem services and poverty alleviation: Research Plan, Years 1-3
- Messerli, Peter (2016) Managing Telecoupled landscapes for the sustainable provision of ecosystem services and poverty alleviation: Site Visit Madagascar, Detailed Programme

## Employment Module

- SNSF (2015) Management Principles and Guidelines, r4d Employment, Information for Review Panel members
- SNSF (2015) Management Principles and Guidelines, r4d Employment, Information for Review Panel members
- SNSF (2014) Minutes of Review Panel Meeting "Employment", 30.4.2014
- SNSF (2013) Minutes, r4d.ch Employment, Pre-proposal, evaluation meeting, SNSF Berne, 10 and 11 April 2013
- SNSF (2013) Minutes, r4d Employment, Meeting of the Review Panel for the project selection, 26/27 September 2013
- SNSF (2016) Minutes, Review Panel Meeting r4d Employment, and Results of working group session on cross-cutting issues during the r4d Forum 2016 Employment

**Trade and Labour Market Outcomes in Developing Countries**

- Olarreaga_1stProgressReport_OutputData (2015)
- Olarreaga_Feedback1stProgrReportandSitevisit_2015
- Olarreaga_MidTermReportandOutputData
- Olarreaga_ResearchPlan_Years1-3 (Full Proposal)
- Olarreaga_ResearchPlan_Years4-6

**Feminisation, Agricultural Transition, and rural Employment: Social and political conditions of asset building in the context of export-led agriculture compared to alternative income-generating opportunities (FATE project)**

- Znoj_1stProgressReport_OutputData (2015)
- Znoj_Feedback1stProgress Report_2015
- Znoj_FeedbackSite Visit_2016
- Znoj_MidTermReportandOutputData (Mid-Term report 2016)
- Znoj_ResearchPlan_Years1-3
- Znoj_ResearchPlan_Years4-6

## Food Security Module

- SNSF (2015) Management Principles and Guidelines, r4d Module Food Security, Information for Review Panel members
- SNSF (2015) Management Principles r4d Food Security, Information for researchers
- SNSF (2015) Management Principles and Guidelines, r4d Module Food Security, Information for Review Panel members
- SNSF (2015) Management Principles r4d Food Security, Information for researchers
- SNSF (2013) Minutes, r4d.ch Food Security, Pre- proposals, evaluation meeting, Hotel Krone Zurich, 5 and 6 December 2013
- SNSF (2014) Minutes r4d Module Food Security: Panel Meeting 9-10 July 2014
- SNSF (2015) Minutes r4d Review Panel Meeting Food Security, 19 March 2015

**Land Commercialization, Gendered Agrarian Transformation And The Right To Food (DEMETER)**

- FS_DEMETER_ResearchPlan_Prugl_2014
- FS_DEMETER_Factsheet_2016
- FS_DEMETER_ProgressReport_2016
- FS_DEMETER_FeedbackProgressReport_2016
- FS_DEMETER_FeedbackSiteVisit_2016
- FS_DEMETER_SitevisitAgenda_2016
- FS_DEMETER_OutputData_2016

**Insects as Feed in West Africa (IFWA)**

- FS_IFWA_ResearchPlan_Kenis_2014
- FS_IFWA_ProgressReport_2016
- FS_IFWA_FeedbackProgressReport_2016
- FS_IFWA_SiteVisitAgenda_2016
- FS_IFWA_FeedbackSiteVisit_2016
- FS_IFWA_OutputData_2016

## Social Conflicts Module

- SNSF (2015) Management Principles and Guidelines, r4d Module Social Conflicts, Information for Review Panel members
- SNSF (2015) Management Principles r4d Social Conflicts, Information for researchers
- SNSF (2014) Minutes of Review Panel Meeting "Social Conflicts", 29.4.2014 and 30.4.2014
- SNSF (2013) Minutes, r4d.ch Social Conflicts, Full proposal evaluation meeting Hotel Krone Zurich, 5 July 2013
- SNSF (2016) Minutes Review Panel Meeting and pre-synthesis workshop of the module r4d Social Conflicts, Bern, Switzerland, 26/27 September 2016

**Fostering pluralistic memories and collective resilience in fragile transitional justice processes – Pluralistic Memories Project (PMP)**

- SC_PMP_2013_SciencePart_Elcheroth (Project Proposal)
- SC_PMP_2015_Elcheroth_Monitoring (Documents - Feedback to Site Visit, November 2015, Site visit agenda, October 2015, Feedback to Progress Report, September 2015, First Progress Report, July 2015, Output Data, July 2015)
- SC_PMP_2016_20160713_OutputData
- SC_PMP_2015_Factsheet_Elcheroth
- SC_PMP_2016_ScientificReport_Elcheroth
- SC_PMP_2015_ScientificReport_Elcheroth_AppendicesA
- SC_PMP_2015_ScientificReport_Elcheroth_AppendicesB

**Ethnic Power Relations and Conflict in Fragile States**

- SC_EPR_2013_SciencePart_CedermanHug_shortened (Project proposal)
- SC_EPR_2015_Cederman_Monitoring
- SC_EPR_2016_20160715_OutputData
- SC_EPR_2016_Prolongation_SciencePart_CedermanLarsErik (Research Plan – R4D Prolongation - years 4-6))
- SC_EPR_2016_ScientificReport_CedermanLarsErik (Mid-Term report)
- SC_EPR_Factsheet_R4D_new (date?)

## Public Health Module

- SNSF (2015) Minutes r4d Public Health Review Panel meeting 16 January 2015 in Zurich, Switzerland

- SNSF (2015) Minutes r4d Public Health Review Panel meeting 2/3 July 2015 in Berne, Switzerland

- SNSF (2016) Minutes Review Panel Meeting r4d Public Health, 18 March 2016, Bogis-Bossey, Switzerland

## Additional Documents Reviewed or Cited

- Federal Department of Foreign Affairs (2017) "Federal Council approves 2016 Foreign Policy Report". https://www.admin.ch/gov/en/start/documentation/media-releases.msg-id-65203.html

- International Development Research Council (IDRC) (2016) IDRC Digital Library: Evaluation of Cultivate Africa's Future Fund (CultiAF). https://idl-bnc-idrc.dspacedirect.org/handle/10625/56357

- Organization for Economic Cooperation and Development – Development Assistance Committee (OECD -DAC) (1991) *Principles for Evaluation of Development Assistance.*

- State Secretariat for Education, Research, and Innovation (SERI). *Swiss Government Excellence Scholarships for Foreign Scholars and Artists for the 2018 – 2019 Academic Year. https://www.sbfi.admin.ch/sbfi/en/home/bildung/scholarships-and-grants/swiss-government-excellence-scholarships-for-foreign-scholars-an.html*

- Swiss Agency for Development and Cooperation (SDC). *Development and Cooperation: Gender Quality.* https://www.eda.admin.ch/deza/en/home/themes-sdc/gender equality.html

- Swiss Agency for Development and Cooperation (SDC). N.d. *Development and Cooperation: Annual Reports Database (https://www.eda.admin.ch/deza/en/home/publications-services/publications/range-publications/annual-reports.html)*

- Swiss Agency for Development and Cooperation (SDC). *State Secretariat for Economic Affairs SECO. https://www.seco.admin.ch/seco/en/home.html*

- Swiss Agency for Development and Cooperation (SDC). *Shareweb: Engagement with the Private Sector. https://www.shareweb.ch/site/EPS*

- Swiss National Science Foundation (SNSF). *Multi-Year Programme 2017 – 2020: Planning document for Federal Authorities.*
  http://www.snf.ch/SiteCollectionDocuments/mehrjahresprogramm_2017_2020_e.pdf

- Swiss National Science Foundation (SNSF). P$^3$ Database. http://p3.snf.ch

- Swiss Programme for Research on Global Issues for Development. (n.d.). *Administration of Grants (repository)".  http://www.r4d.ch/r4d-programme/administration-of-grants*

# Appendix IV  Relevance

**Exhibit iv.1 Switzerland and Agenda 2030**

While the SDGs were created part way through the life of the r4rd Programme, still, this Programme serves to advance Switzerland commitment to the 2030 Agenda. The following guidelines, as part of the Swiss Sustainable Development Strategy 2016-2019[xxiv], are reflected in the r4d Programme:

- Take responsibility for the future
- Balanced consideration of the three dimensions of sustainable development
- Incorporate sustainable development into all policy areas
- Improve coherence and coordination between policy areas
- Forge sustainable development partnerships

The first point is fundamental to the r4d Programme, because research for development is fundamentally an investment in the future, taking responsibility for shaping it to reflect Swiss and globally-shared values. The programme is supporting a variety of projects that are situated in Modules that themselves reflect the three dimensions of sustainable development, from Ecosystems to Employment. Advancing r4d, the Programme has required of researchers, and provided commensurate guidance through Review Panels, for examples, on creating policy and programming linkages and exposure for the work. Finally, the r4d Programme is fundamentally rooted in Swiss-developing country researcher partnerships, seeing these researchers define, design and deploy their projects collaboratively, advancing the final point in the guideline.

The thematic work being pursued also aligns with the Swiss government's priority areas and the SDGs.[xxv] Based on our sample of projects, Table iv.1 demonstrates alignment.

**Table iv.1 Alignment with the SDGs**

| FOCUS AREAS OF SWISS FEDERAL GOVERNMENT POLICY | RELATED SDG(S) | RELATED R4D SAMPLE PROJECT (EXAMPLE, GIVEN SDG COMPLEMENTARITIES) | MODULES (MOST REPRESENTATIVE, GIVEN SDG COMPLEMENTARITIES) |
|---|---|---|---|
| **Consumption and production** | 12 | Application of Organic Bio-fertilizer Technology to Improve the Sustainability of Date Palm Production and Cultivation | Thematically-Open (2) |
| **Urban development, mobility and infrastructure** | 9, 11 | Disability and Technology in Uganda from Local and Global Perspectives | Thematically-Open (1) |
| **Energy and climate** | 7, 13 | Managing Telecoupled Landscapes for the Sustainable Provision of Ecosystem Services and Poverty Alleviation | Ecosystems |

| FOCUS AREAS OF SWISS FEDERAL GOVERNMENT POLICY | RELATED SDG(S) | RELATED R4D SAMPLE PROJECT (EXAMPLE, GIVEN SDG COMPLEMENTARITIES) | MODULES (MOST REPRESENTATIVE, GIVEN SDG COMPLEMENTARITIES) |
|---|---|---|---|
| **Natural resources** | 2, 6, 14, and 15 | Oil Palm Adaptive Landscapes (OPAL) | Ecosystems |
| **Economic and financial system** | 8, 10, 16, and 17 | Trade and Labour Market Outcomes in Developing Countries | Employment |
| **Education, research and innovation** | 4 | Basis of R4d Programme as a whole | Basis of r4d Programme as a whole |
| **Social security** | 1 and 16 | Fostering Pluralistic Memories and Collective Resilience in Fragile Transitional Justice Processes | Social Conflict |
| **Social cohesion and gender equality** | 5, 10, and 16 | Land Commercialization, Gendered Agrarian Transformation, and the Right to Food | Food Security |
| **Health** | 3 | Inclusive Social Protection: Development, Work disability, Healthcare, Health, NCDs, Poverty | Public Health |

SDC has 21 priority countries and regions for 'Bilateral Development Cooperation' as well as 16 focus countries for 'Humanitarian Aid'.[xxvi] For our study, we sampled 13 projects in an effort to reflect, among other things, a strong geographic representation of project countries. With these 13 projects, 30 countries are represented.

**Table iv.2 Geographic and priority representation**

| SAMPLED PROJECT COUNTRIES | BILATERAL DEVELOPMENT COOPERATION – PRIORITY COUNTRIES AND REGIONS | HUMANITARIAN AID – FOCUS COUNTRIES | PRIORITY, FOCUS OR IN CONSORTIUM WITH PRIORITY OR FOCUS COUNTRY(IES) |
|---|---|---|---|
| Benin | 🟩 | 🟥 | 🟩 |
| Bolivia | 🟩 | 🟥 | 🟩 |
| Brazil | 🟥 | 🟥 | 🟩 |
| Burkina Faso | 🟩 | 🟥 | 🟩 |
| Burundi | 🟩 | 🟩 | 🟩 |
| Cambodia | 🟩 | 🟥 | 🟩 |
| Cameroon | 🟥 | 🟩 | 🟩 |
| Colombia | 🟥 | 🟩 | 🟩 |

| SAMPLED PROJECT COUNTRIES | BILATERAL DEVELOPMENT COOPERATION – PRIORITY COUNTRIES AND REGIONS | HUMANITARIAN AID – FOCUS COUNTRIES | PRIORITY, FOCUS OR IN CONSORTIUM WITH PRIORITY OR FOCUS COUNTRY(IES) |
|---|---|---|---|
| Cote d'Ivoire | 🟥 | 🟥 | 🟩 |
| Cuba | 🟩 | 🟥 | 🟩 |
| Egypt | 🟩 | 🟥 | 🟩 |
| Ghana | 🟥 | 🟥 | 🟩 |
| Guatemala | 🟥 | 🟥 | 🟩 |
| India | 🟥 | 🟥 | 🟩 |
| Indonesia | 🟥 | 🟥 | 🟩 |
| Kenya | 🟩 | 🟩 | 🟩 |
| Laos | 🟩 | 🟥 | 🟩 |
| Madagascar | 🟥 | 🟥 | 🟩 |
| Malawi | 🟩 | 🟥 | 🟩 |
| North Africa and Middle East | 🟩 | 🟩 | 🟩 |
| Morocco | 🟥 | 🟩 | 🟩 |
| Myanmar | 🟩 | 🟩 | 🟩 |
| Nepal | 🟩 | 🟥 | 🟩 |
| Occupied Palestinian Territory | 🟩 | 🟩 | 🟩 |
| Philippines | 🟥 | 🟥 | 🟩 |
| Rwanda | 🟩 | 🟥 | 🟩 |
| Sri Lanka | 🟥 | 🟥 | 🟩 |
| Tunisia | 🟩 | 🟥 | 🟩 |
| Uganda | 🟥 | 🟥 | 🟥 (red) |
| Zambia | 🟩 | 🟥 | 🟩 |

As part of the 13 sampled projects for this study, collectively comprising 30 countries worldwide, 17 of these countries are SDC Bilateral Development Cooperation – Priority Countries and Regions, and 8 Humanitarian Aid – Focus Countries (with 5 being both). Of the countries represented by projects, 10 were neither Priority nor Focus Countries, though all but one was in a consortium that included a representation of Priority or Focus Countries. The only exception in our sample was the 'Disability and Technology from Local and Global Perspectives' project, supported through Open Call 1. Overall, this is an appropriate distribution of support, in our estimation, reflecting a high relevance to the priorities of both SDC (with support to projects with partners/focus in Priority or Focus Countries/Regions) and also SNSF (with under 8% of support going to a promising r4d project in Africa that is neither).

The SDC and the SNSF are both intent on supporting the Swiss research community in undertaking important and relevant research. Based on a survey of r4d Programme PIs, all of whom are Swiss, the Programme is highly relevant in supporting their work. The pool of resources generally available in Switzerland for supporting research is fairly modest, and is particularly limited when it comes to r4d. Survey data indicates that Swiss researchers tend to be more familiar with Swiss-based funding sources that international ones, but nonetheless consider the r4d programme support key even within the global funding landscape. Given that Swiss researchers consider this research support highly relevant (see survey data results below), and that without r4d Programme support, it would be significantly more difficult for the researchers to find funding for their work, the r4D Programme is thus of high relevance to SDC and SNSF in meeting their objective of supporting the Swiss research community.

**Table iv.3 Survey responses related to Programme support to Swiss researchers**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| The r4d Programme occupies an important niche, in Switzerland, in its provision of Research-for-Development support | 0 (0.0%) | 0 (0.0%) | 7 (33.3%) | 12 (57.1%) | 2 (9.5%) | 21 |
| The r4d Programme occupies an important niche, globally, in its provision of Research-for-Development support | 0 (0.0%) | 0 (0.0%) | 8 (38.1%) | 10 (47.6%) | 3 (14.3%) | 21 |
| Without the r4d Programme, it would be significantly more difficult to find resources to undertake my Research-for-Development work | 0 (0.0%) | 1 (4.8%) | 7 (33.3%) | 12 (57.1%) | 1 (4.8%) | 21 |

The r4d Programme is considered comparatively more important to early and mid-career researchers, who give somewhat greater importance to the research support it provides than senior researchers who are able to secure funds from a wider pool of resources. In other words, the r4d Programme may be interpreted as making a valued contribution to the development of the Swiss research community's continuity, giving younger and mid-career researchers opportunities for research they consider both desirable and less available elsewhere.

**Table iv.4 Survey responses related to Programme support to Young and Mid-Career Researchers**

| Without the r4d Programme, it would be significantly more difficult to find resources to undertake my Research-for-Development work | Strongly Disagree | Disagree | Agree | Strongly Agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Early career | 0 (0.0%) | 0 (0.0%) | 2 (40.0%) | 3 (60.0%) | 0 (0.0%) | 5 |
| Mid-career | 0 (0.0%) | 0 (0.0%) | 4 (33.3%) | 7 (58.3%) | 1 (8.3%) | 12 |
| Senior | 1 (2.0%) | 5 (10.2%) | 16 (32.7%) | 25 (51.0%) | 2 (4.1%) | 49 |

The r4d Programme's support is perceived by Co-PI, i.e. developing country researchers, to be a disproportionately high and valuable source of research support. In other words, it provides support for researchers to continue playing an active role in defining North- South solutions to development problems. Supporting Global South researchers in researching and defining such solutions is of greater importance to SDC than it is to SNSF, given the latter's focus on supporting Swiss researchers.

**Table iv.5 Survey responses related to Programme support to Developing Country Researchers**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Without the r4d Programme, it would be significantly more difficult to find resources to undertake my Research-for-Development work | 0 (0.0%) | 1 (3.8%) | 8 (30.8%) | 17 (65.4%) | 0 (0.0%) | 26 |

Based on survey results, 90.6% of respondents strongly agree or agree that it is appropriate for the r4d Programme to issue two different types of Calls for Proposals (i.e. Thematic and Open). There is no disagreement and 9.4% of survey respondents indicated 'Do not know/Not applicable'. Combined with this, 90.6% of survey respondents indicated having an adequate level of funding to meet project-level objectives.

**Table iv.6 Survey responses related to Programme support for Thematic and Open Research**

|  | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| It is appropriate for the r4d Programme to issue two different types of Calls for Proposals (i.e. Thematic and Open) | 0 (0.0%) | 0 (0.0%) | 27 (42.2%) | 31 (48.4%) | 6 (9.4%) | 64 |
| The r4d Programme has provided our research team with an adequate level of funding to meet project-level objectives | 1 (1.6%) | 4 (6.2%) | 38 (59.4%) | 20 (31.2%) | 1 (1.6%) | 64 |

Further, based on survey results, 87.9% of respondents strongly agree or agree that the r4d Programme strikes an appropriate balance between Thematic and Open research. Only 6.1% disagree, with no one strongly disagreeing.

|  | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| The r4d Programme strikes an appropriate balance between Thematic and Open research | 0 (0.0%) | 4 (6.1%) | 33 (50.0%) | 25 (37.9%) | 4 (6.1%) | 66 |

Examined together, this survey data strongly suggests that PIs, Co-PIs and Project Coordinators are supportive of the r4d Programme's modality of funding both Thematic and Open research, that it has provided all with an adequate level of funding, and that there is little evident disagreement with the balance struck in distributing the funds. This rings as an overall endorsement of the Programme's support for Thematic *and* Open research specifically.

**Table iv.7 Illustrative interview data on relevance**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **Relevance to SDC and SNSF** | |
| SDC stakeholder | "Mandates of SDC and SNSF are complementary." |
| SDC stakeholder | "This is a big financial investment of the SDC, given that r4d consists of 10% of the SDC's funding." |
| SDC Stakeholder | "The Programme is rooted in Sustainable Development discourse, and would eventually become situated within SDG discourse, even if this was an add-on modification." |
| SDC Stakeholder | "The project was created before the SDGs, but we can see that it is already heading in the direction of them even though it isn't directly aligned." |
| SDC Stakeholder | "r4d has been evolving or has been designed before the SDGs were approved; when we started with the r4d project, the idea was to come up with the big global issues, and that was one of the merits of the r4d, to go beyond the smaller issues, and try to link it to the reorganization process of the SDC." |
| SDC stakeholder | "R4d-supported research is thematically aligned with SDC priorities but it is not necessarily undertaken and presented in ways that can be used by SDC in the field to create better programs." |
| SDC stakeholder | "It's valuable to be working closely with the research community, being informed about what is going on, about general context and so on… it brings us closer to context knowledge, on how we see each other and work together" |
| **Relevance to SNSF** | |
| SNSF stakeholder | "The Thematic Open Calls and Thematically Open Modules reflect the Swiss research tradition that is embodied and advanced by the SNSF…" |
| SNSF stakeholder | "Before this programme, many researchers did not know the SDGs." |
| SNSF stakeholder | "Alignment with SDG... Research awareness of SDGs is currently too limited, also the mind-set of good researchers is too research oriented and not reaching out enough into development thinking." |
| Review Panel Member, External | "The importance of combining SDC and SNSF to make research relevant for policy makers… is extremely important." |

# Appendix V  Data Related to Outputs

**Figure v.1 Timeline of r4d Programme**
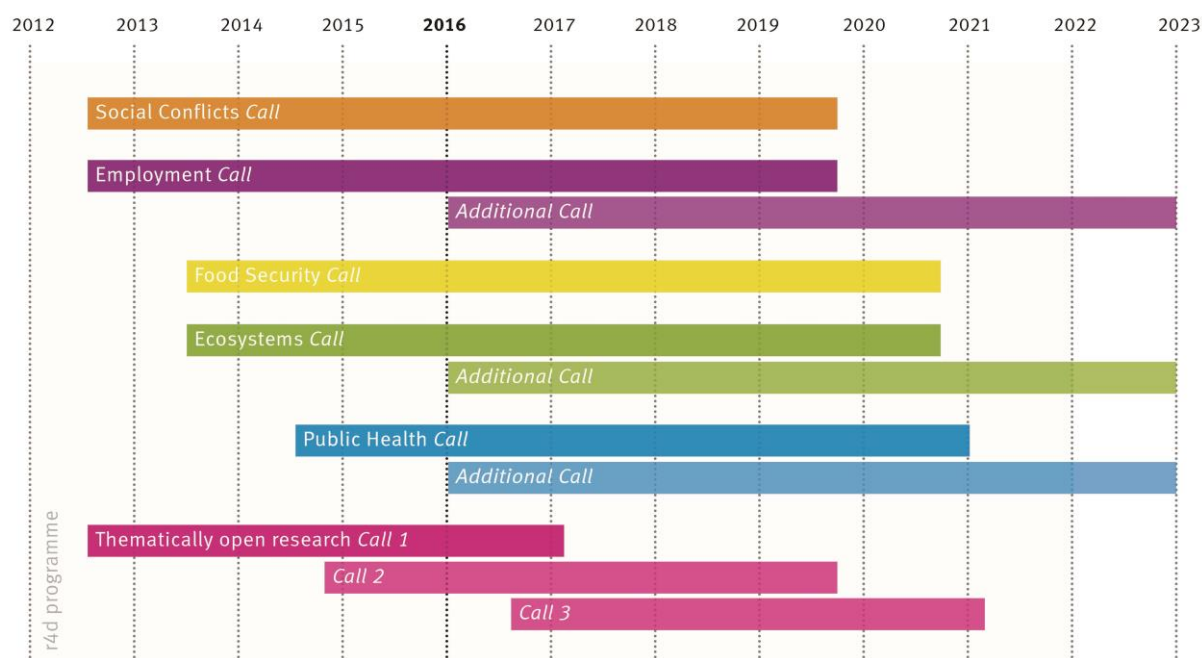


**Table v.1 Project output data, as available on SNSF Research Database P3**

| Module | Project | Number of publications | Number of co-operation (CH) | Number of co-operation (elsewhere) | Number of scientific events |
|--------|---------|------------------------|------------------------------|-------------------------------------|------------------------------|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 12 | NA | NA | CH Only:3 Total: 32 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 11 | 2 | 15 | CH Only:  26 Total: 30 |
| Employment | FATE | 6 | 1 | 26 | CH Only: 9 Total: 56 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 8 | 1 | 4 | CH Only: 6 Total: 22 |
| Food Security | IFWA | 1 | 0 | 5 | CH Only: 2 Total: 13 |

| Module | Project | Number of publications | Number of co-operation (CH) | Number of co-operation (elsewhere) | Number of scientific events |
|--------|---------|------------------------|------------------------------|-------------------------------------|------------------------------|
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 6 | 1 | 5 | CH Only: 7 Total: 20 |
| Ecosystems | OPAL | 1 | 4 | 13 | CH Only: 5 Total: 17 |
| Ecosystems | TELECOUPLED | 4 | 5 | 32 | CH Only: 8 Total: 28 |
| Public Health | Inclusive social protection for chronic health problems | na | 4 | 11 | CH Only: 2 Total: 10 |
| Thematically Open Call 1 | SOIL-Q | 1 | 3 | 6 | CH Only: 1 Total: 6 |
| Thematically Open Call 1 | Disability and Technology in Uganda from Local and Global Perspectives | na | 0 | 3 | CH Only: 2 Total: 8 |
| Thematically Open Call 1 | COCOBOARDS | 0 | 0 | 3 | CH Only: 0 Total: 1 |
| Thematically Open Call 2 | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na | na | na |

**Table v.2 Average number of research outputs for a sub-sample of projects, following from data available on SNSF Research Database P3.**

| | Number of publications | Number of contributions to scientific events |
|---|------------------------|----------------------------------------------|
| **Average of 8 projects** | 6.125 | 27.25 |
| **Average of Social Conflict Module** | 11.5 | 31 |
| **Average of Employment Module** | 7 | 39 |
| **Average of Food Security Module** | 3.5 | 16.5 |
| **Average of Ecosystems Module** | 2.5 | 22.5 |

a

**Table v.3 Number of peer-reviewed articles, other publications, and contributions to international conferences made by sampled projects of the r4d Programme. The table represents Programme data made available to the MTR team.**

| Module | Project | Number of peer reviewed scientific articles | Number of contributions to international conferences (talks, poster) |
|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 7 | 10 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 3 | 4 |
| Employment | FATE | 1 | 16 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 8 | 10 |
| Food Security | IFWA | 0 | 0 |
| Food Security* | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 4 | 5 |
| Ecosystems | OPAL | 0 | 3 |
| Ecosystems | TELECOUPLED | 3 | 7 |
| Public Health | Inclusive social protection for chronic health problems | na | na |
| Thematically Open* | SOIL-Q | 0 | 4 |
| Thematically Open* | Disability and Technology in Uganda from Local and Global Perspectives | 0 | 0 |
| Thematically Open* | COCOBOARDS | 0 | 0 |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na |

For the rest of this Appendix, data for projects marked with an asterisk (*) in this table are the Programme data from July 2015.

**Table v.4 Survey responses related to achievement of outputs**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| The r4d Programme is generating innovative solutions to contemporary sustainable development challenges | 1 (1.5%) | 4 (6.2%) | 27 (41.5%) | 33 (50.8%) | 0 (0.0%) | 65 |
| The r4d Programme is facilitating the application of innovative solutions to contemporary sustainable development challenges | 0 (0.0%) | 7 (10.8%) | 23 (35.4%) | 33 (50.8%) | 2 (3.1%) | 65 |

**Table v.5 Number of research applications and exchange with stakeholders as reflected on SNSF Research Database P3**

| Module | Project | Number of co-operation (CH) | Number of co-operation (elsewhere) | Knowledge transfer events | Communication with the public |
|---|---|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | na | na | CH – 14 Total - 22 | CH – 0 Total- 8 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 2 | 15 | CH Only – 0 Total- 22 | CH Only 1 Total-3 |
| Employment | FATE | 1 | 26 | CH Only –5 Total- 21 | CH Only: 1 Total- 36 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 1 | 4 | CH Only –4 Total-5 | CH Only- 0 Total-3 |
| Food Security | IFWA | 0 | 5 | CH Only –0 Total-1 | CH Only–0 Total- 9 |
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 1 | 5 | CH Only:11 Total-18 | CH Only :2 Total-6 |
| Ecosystems | OPAL | 4 | 13 | CH Only –5 Total-10 | CH Only-7 Total-18 |
| Ecosystems | TELECOUPLED | 5 | 32 | CH Only–0 Total-24 | CH Only-1 Total-15 |
| Public Health | Inclusive social protection for chronic health problems | 4 | 11 | CH Only –1 Total-6 | NA |

| Module | Project | Number of co-operation (CH) | Number of co-operation (elsewhere) | Knowledge transfer events | Communication with the public |
|---|---|---|---|---|---|
| Thematically Open | SOIL-Q | 3 | 6 | CH Only-0<br>Total-4 | CH Only-1<br>Total-1 |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | 0 | 3 | CH Only –0<br>Total-5 | CH Only–1<br>Total-9 |
| Thematically Open | COCOBOARDS | 0 | 3 | CH Only-1<br>Total-2 | CH Only-5<br>Total-10 |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na | na | na |

**Table v.6 Average number of research exchanges for a sub-sample of projects**

| Modules | Number of co-operation[xxvii] (CH) | Number of co-operation (elsewhere) | Knowledge transfer events | Communication with the public |
|---|---|---|---|---|
| All | 1.909091 | 11.18182 | 11.66667 | 10.72727 |
| Social Conflict | NA | na | 21.5 | 19.5 |
| Employment | 1 | 15 | 13 | 19.5 |
| Food Security | 0.5 | 5 | 9.5 | 7.5 |
| Ecosystems | 4.5 | 22.5 | 17 | 16.5 |
| Public Health | 4 | 11 | 6 | NA |
| Thematically Open 1 | 1 | 4 | 3.666667 | 6.666667 |

**Table v.7 Number of research applications and exchange with stakeholders as reflected in Programme data**

| Module | Social Conflict | Social Conflict | Employment | Employment | Food Security | Food Security | Ecosystems | Ecosystems | Public Health | Thematically Open | Thematically Open | Thematically Open | Thematically Open |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Project | Ethnic Power Relations and Conflict in Fragile States | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | FATE Trade and Labour Market Outcomes in Developing Countries | IFWA | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | OPAL | TELECOUPLE | Inclusive social protection for chronic health problems | SOIL-Q | Disability and Technology in Uganda from Local and Global Perspectives | COCOBOARDS | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation |
| Number of policy briefs and research based recommendations (to targeted stakeholders, practitioners) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | na | 0 | 0 | 0 | na |
| Number of research fairs, workshops, conferences organised by projects / programme (participants from science) - CH | 0 | 4 | 0 | 0 | 0 | 0 | 0 | 0 | na | 0 | 4 | 0 | na |
| Number of research fairs, workshops, conferences organised by projects / programme (participants from science) -PARTNER COUNTRIES | 18 | 0 | 2 | 0 | 0 | 0 | 0 | 2 | na | 0 | 0 | 0 | na |
| Number of meetings, | 4 | 1 | 3 | 3 | 0 | 2 | 1 | 0 | na | 0 | 0 | 0 | na |

| Module | Social Conflict | Social Conflict | Employment | Employment | Food Security | Food Security | Ecosystems | Ecosystems | Public Health | Thematically Open | Thematically Open | Thematically Open | Thematically Open |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| workshops, conferences etc. with stakeholders at the national, regional and/or global level - CH | | | | | | | | | | | | | |
| Number of meetings, workshops, conferences etc. with stakeholders at the national, regional and/or global level - PARTNER COUNTRIES | 2 | 0 | 6 | 1 | 9 | 0 | 0 | 0 | na | 1 | 0 | 1 | na |
| Number of active stakeholder consultation processes organised by research teams (podium discussions etc.) - CH | 0 | 7 | 0 | 0 | 0 | 0 | 1 | 0 | na | 0 | 0 | 0 | na |
| Number of active stakeholder consultation processes organised by research teams (podium discussions etc.) - PARTNER COUNTRIES | 13 | 8 | 10 | 0 | 0 | 4 | 5 | 6 | na | 0 | 0 | 0 | na |
| Number of | 2 | 3 | 1 | 0 | 0 | 1 | 5 | 3 | na | 0 | 0 | 0 | na |

| Module | Social Conflict | Social Conflict | Employment | Employment | Food Security | Food Security | Ecosystems | Ecosystems | Public Health | Thematically Open | Thematically Open | Thematically Open | Thematically Open |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| online communication activities (newsletter, blogs, website etc.) | | | 9 | | | | | | | | | | |
| Number of other media communication (magazine articles, films etc.) | 6 | 0 | 13 | 3 | 2 | 1 | 1 | 0 | na | 1 | 4 | 0 | na |

**Table v.8 Survey responses to "The r4d Programme is contributing to improved awareness of innovative solutions to contemporary global sustainable development challenges among…"**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Policy-makers in Switzerland | 1 (1.5%) | 4 (6.2%) | 26 (40.0%) | 6 (9.2%) | 28 (43.1%) | 65 |
| Policy-makers in developing countries | 0 (0.0%) | 2 (3.1%) | 30 (46.2%) | 32 (49.2%) | 1 (1.5%) | 65 |
| The global development community (donors, NGOs, UN…) | 0 (0.0%) | 3 (4.6%) | 35 (53.8%) | 15 (23.1%) | 12 (18.5%) | 65 |
| The general public in Switzerland | 2 (3.1%) | 7 (10.8%) | 20 (30.8%) | 4 (6.2%) | 32 (49.2%) | 65 |
| The general public in developing countries | 1 (1.5%) | 11 (16.9%) | 28 (43.1%) | 14 (21.5%) | 11 (16.9%) | 65 |
| The private sector – small scale (Switzerland) | 2 (3.1%) | 11 (16.9%) | 11 (16.9%) | 0 (0.0%) | 41 (63.1%) | 65 |
| The private sector – small scale (developing countries) | 1 (1.5%) | 11 (16.9%) | 27 (41.5%) | 10 (15.4%) | 16 (24.6%) | 65 |
| The private sector – multinational | 1 (1.5%) | 11 (16.9%) | 25 (38.5%) | 4 (6.2%) | 24 (36.9%) | 65 |

**Table v.9 Communication budgets for projects compared with overall budgets**

| Module | Project | Total Project Budget | Total Communications Budget | Communications Budget % of Total | Notes |
|---|---|---|---|---|---|
| Social Conflicts | Ethnic Power Relations | 1,326,662 | 163,008.10 | 12.3% | Based on financial reports after three years. |
| Social Conflicts | Fostering Pluralistic Memories | 1,216,735 | 234,285.24 | 19.3% | Based on financial reports after three years. |
| Employment | FATE | 953,244 | 34,460.98 | 3.6% | Based on financial reports after three years. |
| Employment | Trade and Labour Market Outcomes | 1,176,408 | 41,197.58 | 3.5% | Based on financial reports after three years. |
| Food Security | IFWA | 917,610 | 3,975.65 | 0.4% | Based on financial reports after two years. |
| Food Security | DEMETER | 1,003,585 | 63,326.31 | 6.3% | Based on financial reports after two years. |
| Ecosystems | OPAL | 696,883 | 23,349.39 | 3.4% | Based on financial reports after two years. |
| Ecosystems | Telecoupled Landscapes | 954,255 | 13,208.37 | 2.0% | Based on financial reports after two years. |
| Public Health | Inclusive Social Protection: Development, Work disability, Healthcare, Health, NCDs, Poverty | 342,177 | 9,377.50 | 2.7 | Uncertain |

**Table v.10 Number of research partners primarily from civil society or non-government organizations**

| Module | Project | Number of research partners primarily from civil society or Non-Government Organisations |
|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 3 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 2 |
| Employment | FATE | 3 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 2 |
| Food security | IFWA | 9 |
| Food security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 3 |
| Ecosystems | OPAL | 10 |
| Ecosystems | TELECOUPLED | 7 |
| Public Health | Inclusive social protection for chronic health problems | 8 |
| Thematically Open | SOIL-Q | 7 |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | 3 |
| Thematically Open | COCOBOARDS | 1 |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | 1 |

**Table v.11 Number of Partner Countries and Swiss institutions represented under projects funded under each module. In addition to the data below, a total of 14 Swiss institutions are represented under Thematic Calls, and a total of 11 in Open Calls.**

| Module | Sum Partner Countries | Number of Swiss institutions |
|---|---|---|
| Employment | 13 | 3 |
| Ecosystems | 11 | 3 |
| Social Conflict | 12 | 3 |
| Food Security | 10 | 5 |
| Public Health | na | 3 |
| Open Call 1 | 12 | 11 |

**Table v.12 Programme data on research consortia and number of triangular North-South-South research consortia. Although the data indicates that 4 projects do not have triangular research consortia, the evaluation team found all the projects to have at least 2 additional partners, according the description available on the SNSF Research Database P3.**

| Module | Project | Number of research consortia | Number of tri-angular North-South-South research consortia |
|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 1 | 1 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 1 | 1 |
| Employment | FATE | 1 | 1 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 1 | 1 |
| Food Security | IFWA | 1 | 1 |
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 1 | 1 |
| Ecosystems | OPAL | 1 | 1 |
| Ecosystems | TELECOUPLED | 1 | 1 |
| Public Health | Inclusive social protection for chronic health problems | 1 | 1 |
| Thematically Open | SOIL-Q | 1 | 0 |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | 1 | 0 |
| Thematically Open | COCOBOARDS | 1 | 0 |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na |

**Table v.13 Survey responses on the support to research networks**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total responses |
|---|---|---|---|---|---|---|
| My r4d Programme activities allow me to share research methodologies with researchers from other r4d project teams | 2 (3.1%) | 13 (20.0%) | 25 (38.5%) | 20 (30.8%) | 5 (7.7%) | 65 |
| My r4d Programme activities allow me to share research findings with researchers from other r4d project teams | 2 (3.1%) | 8 (12.3%) | 33 (50.8%) | 19 (29.2%) | 3 (4.6%) | 65 |

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total responses |
|---|---|---|---|---|---|---|
| The r4d Programme is effective in supporting the enhancement of a North-South scientific network on global development issues | 1 (1.5%) | 1 (1.5%) | 13 (20.0%) | 50 (76.9%) | 0 (0.0%) | 65 |
| *OM* | *0 (0.0%)* | *0 (0.0%)* | *1 (16.7%)* | *5 (83.3%)* | *0 (0.0%)* | *6* |
| *TM* | *1 (1.8%)* | *1 (1.8%)* | *12 (21.4%)* | *42 (75.0%)* | *0 (0.0%)* | *56* |
| The r4d Programme is effective in supporting the enhancement of a North-South-South scientific network on global development issues | 1 (1.5%) | 1 (1.5%) | 16 (24.6%) | 46 (70.8%) | 1 (1.5%) | 65 |
| *OM* | *0 (0.0%)* | *0 (0.0%)* | *0 (0.0%)* | *6 (100.0%)* | *0 (0.0%)* | *6* |
| *TM* | *1 (1.8%)* | *1 (1.8%)* | *15(26.8%)* | *38 (67.9%)* | *1 (1.8%)* | *56* |

**Table v.14 Interview responses related to global scientific networks**

| Stakeholder Group | Quote |
|---|---|
| Co-PI | "Did not enhance the scientific network, used existing ones and strengthened own networks. R4d program did not support the strengthening of global networks to tackle issues cross-disciplines or on a transnational level." |
| Co-PI | "This happens; it is still at the beginning. We have not been to many conferences." |
| Co-PI | "If you can have a meeting for sharing all the information, maybe you will have opportunity to see a global network will be useful for issuing report." |
| Co-PI | "There isn't an established global network." |
| R4d SteCo | "The Swiss research community is too small and there are no specialist groups on tackling development issues through research. The limited quality of r4d projects within this r4d programme does show this clearly. Over the years this capacity has not been strengthened in my opinion." |

**Table v.15 Productivity and research consortia of projects**

| Module | Project | Data made available to evaluation team | | Data made available on Programme website | |
|---|---|---|---|---|---|
| | | Number of peer reviewed scientific articles | Number of scientific articles, books, conference proceedings that are co-authored by partners | Number of publications | Number of co-authored publications |
| **Social Conflict** | Ethnic Power Relations and Conflict in Fragile States | 7 | 0 | 12 | 0 |
| **Social Conflict** | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 3 | 0 | 11 | 0 |
| **Employment** | FATE | 1 | 0 | 6 | 0 |
| **Employment** | Trade and Labour Market Outcomes in Developing Countries | 8 | 1 | 8 | 1 |
| **Food Security** | IFWA | 0 | 1 | 1 | 0 |
| **Food Security** | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 4 | 0 | 6 | 0 |
| **Ecosystems** | OPAL | 0 | 0 | 1 | 0 |
| **Ecosystems** | TELECOUPLED | 3 | 2 | 4 | 0 |
| **Public Health** | Inclusive social protection for chronic health problems | na | na | na | na |
| **Thematically Open** | SOIL-Q | 0 | 0 | 1 | 1 |
| **Thematically Open** | Disability and Technology in Uganda from Local and Global Perspectives | 0 | 0 | na | na |
| **Thematically Open** | COCOBOARDS | 0 | 0 | 0 | 0 |
| **Thematically Open** | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na | na | na |

**Table v.16 Survey responses indicating the value of KFPE Guide and Principles (with 1 indicating no value and 4 indicating high value)**

|  | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| PIs | 1 (5.0%) | 3 (15.0%) | 7 (35.0%) | 4 (20.0%) | 5 (25.0%) | 20 |
| PIs and Coordinators | 1 (3.0%) | 4 (12.1%) | 13 (39.4%) | 5 (15.2%) | 10 (30.3%) | 33 |
| Co-PIs | 0 (0.0%) | 2 (7.7%) | 4 (15.4%) | 6 (23.1%) | 14 (53.8%) | 26 |
| Early Career Researchers | 0 (0.0%) | 0 (0.0%) | 2 (50.0%) | 0 (0.0%) | 2 (50.0%) | 4 |
| Senior Researchers | 1 (2.1%) | 5 (10.4%) | 15 (31.2%) | 9 (18.8%) | 18 (37.5%) | 48 |

**Table v.17 Project reporting on KFPE Guide and Principles**

| Module | Project | Proposal | Review Panel recommendation using KFPE | Mid-Term /Progress Report | Notes |
|---|---|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | × | ● | ● | RP recommendation for creation of N-S-S publication strategy based on KFPE – recommendation taken by PI |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | × | ● | ● | RP recommendation to document internal learning, as found in KFPE; KFPE written about clearly in MTE |
| Employment | FATE | × | ● | ● | RP recommendation for horizontal exchange and capacity building according to KFPE – recommendation taken by PI |
| Employment | Trade and Labour Market Outcomes in Developing Countries | × | ● | ● | RP: "Functional and fair partnership based on the KFPE Principles" |
| Food Security | IFWA | × | ● | ● | RP: clarity on project structure and strategy to facilitate increased cooperation; KFPE written about clearly in MTE |

| Module | Project | Proposal | Review Panel recommendation using KFPE | Mid-Term /Progress Report | Notes |
|---|---|---|---|---|---|
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | × | × | × | Strong partnership reported from PI & RP; KFPE not attributed to N-S-S strengths |
| Ecosystems | OPAL | × | ● | × | RP gives positive feedback on nature of partnership, not implicit to KFPE |
| Ecosystems | TELECOUPLED | × | × | ● | Excellent partnership commended by RP; not attributed implicitly to KFPE |
| Public Health | Inclusive social protection for chronic health problems | na | na | na | Not enough information included |
| Thematically Open Call 1 | SOIL-Q | ● | na | na | KFPE inclusion in the OC call for proposals |
| Thematically Open Call 1 | Disability and Technology in Uganda from Local and Global Perspectives | × | na | na | KFPE inclusion in the OC call for proposals |
| Thematically Open Call 1 | COCOBOARDS | ● | na | na | KFPE inclusion in the OC call for proposals |
| Thematically Open Call 2 | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | × | na | na | KFPE inclusion in the OC call for proposals |

**Legend:**

X KFPE not mentioned

● KFPE mentioned

**Table v.18 Number of disciplines and projects with more than one discipline[xxviii]**

| Module | Project | Number of disciplines within research consortia | Number of projects with more than one discipline |
|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 4 | 1 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 4 | 1 |
| Employment | FATE | 5 | 1 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 1 | 0 |
| Food Security | IFWA | 5 | 1 |
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 4 | 1 |
| Ecosystems | OPAL | 12 | 1 |
| Ecosystems | TELECOUPLED | 6 | 1 |
| Public Health | Inclusive social protection for chronic health problems | | 1 |
| Thematically Open | SOIL-Q | 1 | 0 |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | 1 | 0 |
| Thematically Open | COCOBOARDS | 1 | 0 |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na |

**Table v.19 Survey responses related to scientific competencies, strengthening collaboration, interdisciplinarity**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| The r4d Programme has contributed to my team's improved scientific competencies and expertise in dealing with the complexity of global development issues | 1 (1.5%) | 4 (6.2%) | 16 (24.6%) | 43 (66.2%) | 1 (1.5%) | 65 |
| The r4d Programme has strengthened my collaboration with researchers from disciplines other than my own | 1 (1.5%) | 4 (6.2%) | 16 (24.6%) | 43 (66.2%) | 1 (1.5%) | 65 |

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| The r4d Programme is strengthening my transdisciplinary collaboration with diverse stakeholders (academia, public, private, civil society) | 1 (1.5%) | 2 (3.1%) | 17 (26.2%) | 45 (69.2%) | 0 (0.0%) | 65 |

**Table v.20 Interview responses related to scientific competencies – improvement, strengthening, and continuation**

| Stakeholder Group | Quote |
|---|---|
| PI | "I learnt a lot from our partners on diplomatic research communication, as they exactly knew which findings we present to which stakeholder in which form and depth… this was really important for me to learn!" |
| PI | "The r4d Programme allowed to learn how research findings and policy recommendations can be transferred and presented to an authoritarian regime… the learning within the team from the … country context was enormous: we all learnt a lot on research diplomacy…" |
| Co-PI | "The transdisciplinary capacity has improved very much over the project period as all partners but also involved members realised its strength and how synergies can be used to improve the lives of people with disability through appropriated technology |
| PI | "We are a social science project that is interested in technology for people with disability… Different disciplines did learn from each other, improved their methods on how to understand technology for disabled" |
| Coordinator | "The most important strength of the partnership is the fact that we have instituted a doctoral school and that we have a doctoral student at each of the sites." |
| Coordinator | "Would not have access to similar kinds of insights, data, outputs, results without the r4d collaborations." |
| PI | "We realised in our project, that the best learning progress and eye openers happened when research partners visited their South partners…" |
| Co-PI | "We crossed disciplines and found out new relevant issues on our topic" |
| Co-PI | "The motivation among project partners and involved stakeholders is very high to continue existing partnerships and the transdisciplinarity in order to produce results and new knowledge on the topic." |
| Co-PI | "Besides interdisciplinarity the project is also transnational: four countries (…) This is a very important study in order to understand cross country issues, to reflect on solutions that might be transferable or others that might not, based on cultural and socio-political differences…" |
| Co-PI | "Should be a stronger component within the r4d Programme to build South research capacity. PhD students involved in projects should be supported much more to have access to exchange programs within the r4d Programme." |

| Stakeholder Group | Quote |
|---|---|
| SDC Stakeholder | "Problem of different research philosophies within SDC and SNSF. SDC does not see an added value to spend money within the r4d Programme on capacity building within research, as they finance such capacity building programs through other programs and projects within SDC." |
| Co-PI | "Through junior level capacity building within the South partner countries, the quality of South partners can improve over years and not only 'elite researcher' with former Northern education will have access to these funding opportunities." |
| Coordinator | "Through the programme, I will have some publications and if I have these publications, it will help me to upgrade." |
| Co-PI | "The r4d Programme helped to strengthen capacity mainly through financing the opportunity to participate in international conferences – like the Conference on Public Health in Geneva (2016 February) … Conference participation opened view on own research topic and helped to identify other relevant research areas that could be interesting to co-create new knowledge." |

**Table v.21 Number of research degrees and postdocs and other capacity building in projects. Blank cells were indicated as such in the data made available to the evaluation team.**

| Module | Project | Number of MSc, BSc, PhDs obtained in CH | Number of MSc, BSc, PhDs obtained PARTNER COUNTRIES | Number of promoted researchers (gender disaggregated) | Number of Postdocs within projects - CH (mySNF) | Number of Postdocs within projects - PARTNER COUNTRIES (r4dIRA, Open Call project budgets) | Number of funded follow-up projects and spin-offs |
|---|---|---|---|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 0 | 3 | | 1 | 0 | 0 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 0 | 0 | | 1 | 0 | 0 |
| Employment | FATE | 0 | 0 | | 1 | 0 | 3 |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 0 | 0 | | 2 | 0 | 1 |
| Food Security | IFWA | 0 | 0 | 0 | 1 | | |

| Module | Project | Number of MSc, BSc, PhDs obtained in CH | Number of MSc, BSc, PhDs obtained PARTNER COUNTRIES | Number of promoted researchers (gender disaggregated) | Number of Postdocs within projects - CH (mySNF) | Number of Postdocs within projects - PARTNER COUNTRIES (r4dIRA, Open Call project budgets) | Number of funded follow-up projects and spin-offs |
|---|---|---|---|---|---|---|---|
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 0 | 0 | 0 | 1 | | |
| Ecosystems | OPAL | 1 | 0 | 0 | 2 | 0 | 4 |
| Ecosystems | TELECOUPLED | 0 | 0 | 0 | 3 | 1 | 1 |
| Public Health | Inclusive social protection for chronic health problems | na | na | na | na | na | na |
| Thematically Open | SOIL-Q | 0 | 0 | | 1 | 0 | 0 |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | 0 | 0 | | 1 | 0 | 0 |
| Thematically open | COCOBOARDS | 0 | 0 | | 1 | 0 | 0 |
| Thematically open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | na | na | na | na | na | na |

**Table v.22 Capacities built by projects, as reflected through a document review**

| Module | Project | Number of students and researchers indicated |
|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | PhD candidates (6), Master (5), and Bachelor (2) students |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | Number of promoted researchers: 10, Number of PhDs: 7; Number of Masters: 2 |
| Employment | FATE | Not available |
| Employment | Trade and Labour Market Outcomes in | 1 Swiss PhD funded, 3 South PhDs with partial funding |

| Module | Project | Number of students and researchers indicated |
|---|---|---|
| | Developing Countries | |
| Food Security | IFWA | 10 African PhD started, 2(3) MSc graduated, 12 BSc involved |
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | Research assistants – 3 (partner countries)<br>Researchers – 7 (partner countries) +1 (Switzerland)<br>Coordinators -2 (partner countries) +4 in Switzerland<br>Postdoctoral researchers – 2 (Switzerland)<br>PhD researcher – 2 (Switzerland) |
| Ecosystems | OPAL | PhDs funded –  4, Post Docs -  4, Masters - 2 |
| Ecosystems | TELECOUPLED | 7 Co-PIs, 7 postdocs, 10 PhDs |
| Public Health | Inclusive social protection for chronic health problems | |
| Thematically Open | SOIL-Q | |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | |
| Thematically Open | COCOBOARDS | 1 PhD, 2 masters involved |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | 4 PhDs |

**Table v.23 R4d Programme Output Data – Aggregated**

| Number of participants in event | Number of MSc, BSc, PhDs obtained in Switzerland | Number of MSc, BSc, PhDs obtained in partner countries | Number of promoted researchers (gender disaggregated) | Number of Postdocs within projects - Switzerland (mySNF) | Number of Postdocs within projects – partner countries (r4dIRA, Open Call project budgets) | Number of funded follow-up projects and spin-offs | Number of research consortia | Number of tri-angular North-South-South research consortia | Number of disciplines within research consortia |
|---|---|---|---|---|---|---|---|---|---|
| 293 | 1 | 3 | 0 | 28 | 2 | 17 | 18 | 21 | 87 |

# Appendix VI  Data related to Outcomes

According to a resource of the World Bank (2006), innovation is "the process by which individuals or organizations master and implement the design and production of goods and services that are new to them, irrespective of whether they are new to their competitors, their country, or the world". Further, while an innovation may be familiar elsewhere, it may "still be regarded as an innovation if it is new locally" (World Bank 2012). Knowledge generation is then innovative, and it is further supplemented by the "dynamic interaction among the multitude of actors involved" in the production and uptake of that knowledge (World Bank 2012).  Innovation can be considered more than just the act of invention; it is also the commercial application of new technology, materials, methods, or processes; including the adoption of these processes (Cirera & Maloney, 2017). As such, several characteristics were considered to understand and define innovativeness, which are also used to assess the overall "innovation" as seen in the r4d Programme:

- ▪ Generation of new knowledge. Measured by the number of studies, technologies developed, reports produced etc.
- ▪ Generation of new knowledge with the actors involved
- ▪ Dissemination of knowledge
- ▪ Uptake of innovative knowledge outputs

The table below represents the progress made by projects against each criterion, as qualitatively assessed by the MTR team. Green boxes represent evidence of high progress under the criteria, orange boxes represent evidence of moderate progress, and grey boxes represent projects with insufficient data or projects that were relatively early in their trajectory.

**Exhibit vi.1 Defining Innovation**

| MODULE | PROJECT | GENERATION OF NEW KNOWLEDGE | GENERATION OF NEW KNOWLEDGE WITH ACTORS INVOLVED | DISSEMINATION OF KNOWLEDGE | UPTAKE OF INNOVATIVE KNOWLEDGE OUTPUTS |
|---|---|---|---|---|---|
| Social Conflict | Ethnic Power Relations and Conflict in Fragile States | 🟩 | 🟩 | 🟩 | 🟧 |
| Social Conflict | Fostering pluralistic memories and collective resilience in fragile transitional justice processes | 🟩 | 🟩 | 🟩 | 🟩 |
| Employment | FATE | 🟩 | 🟩 | 🟩 | ⬜ |
| Employment | Trade and Labour Market Outcomes in Developing Countries | 🟩 | 🟩 | 🟧 | 🟧 |

| MODULE | PROJECT | GENERATION OF NEW KNOWLEDGE | GENERATION OF NEW KNOWLEDGE WITH ACTORS INVOLVED | DISSEMINATION OF KNOWLEDGE | UPTAKE OF INNOVATIVE KNOWLEDGE OUTPUTS |
|---|---|---|---|---|---|
| Food Security | IFWA | 🟩 | 🟨 | 🟨 | 🟩 |
| Food Security | Land Commercialisation, Gendered Agrarian Transformation, and the Right to Food | 🟩 | 🟨 | 🟨 | 🟨 |
| Ecosystems | OPAL | 🟩 | 🟩 | 🟩 | 🟩 |
| Ecosystems | TELECOUPLED | 🟩 | 🟩 | 🟩 | 🟩 |
| Public Health | Inclusive social protection for chronic health problems | 🟩 | 🟩 | ⬜ | ⬜ |
| Thematically Open | SOIL-Q | 🟩 | 🟩 | ⬜ | ⬜ |
| Thematically Open | Disability and Technology in Uganda from Local and Global Perspectives | 🟩 | ⬜ | ⬜ | ⬜ |
| Thematically Open | COCOBOARDS | 🟩 | ⬜ | ⬜ | ⬜ |
| Thematically Open | Application of organic bio-fertilizer technology to improve the sustainability of date palm production and cultivation | 🟩 | ⬜ | ⬜ | ⬜ |

Sources:

- World Bank. 2006. Enhancing Agricultural Innovation: How to Go Beyond the Strengthening of Research Systems. World Bank. © World Bank. Accessed from: http://siteresources.worldbank.org/INTARD/Resources/Enhancing_Ag_Innovation.pdf
- World Bank. 2012. Agricultural Innovation Systems: An Investment Sourcebook. Agricultural and Rural Development. World Bank. © World Bank. https://openknowledge.worldbank.org/handle/10986/2247 License: CC BY 3.0 IGO.
- Cirera, Xavier; Maloney, William F. 2017. The Innovation Paradox: Developing-Country Capabilities and the Unrealized Promise of Technological Catch-Up. Washington, DC: World Bank. © World Bank. https://openknowledge.worldbank.org/handle/10986/28341 License: CC BY 3.0 IGO.

**Exhibit vi.2 Uptake by Modules and Projects**

Overall, based on a Thematic Module level analysis, the programme is well on track to seeing international stakeholders informed of development challenges and solutions, and creating favourable conditions for uptake. This is again less so for national, Swiss stakeholders. The Open Module projects are all either successful or well on track in terms of informing developing country national and/or international stakeholders and favouring their uptake and use of such development solutions. Again, this is far less the case with Swiss stakeholders.

Based on a document review, it is clear that sampled Social Conflict projects are likely to generate policy uptake, appropriate to their trajectory as part of the first Call for Proposals stemming back to 2012. Some evidence for this includes:

- Fostering Pluralistic Memories: Strong inclusion and collaboration between local, national, and international stakeholders. Can be seen through the use of communication officers who build larger networks nationally and internationally (SC_ModuleReport_2013-2015, p.17).

- Ethnic Power Relations: Public debates, radio and TV show interviews, publications in popular newspapers. RP satisfied with workshop involvement of key stakeholders and increasing awareness of the main issues the project addresses (2015_Cederman_Monitoring_Feedback to Site Visit 15-17 October 2015)

The two sampled projects in the Ecosystem Module are on track to generate awareness and uptake.

- The OPAL project has had highly successful media campaigns. The Review Panel indicated that "the communications activities of the team have been quite impressive" (Feedback1stProgressReport_Site_visit_2016, p.3).

- The Telecoupled Landscapes project has delivered stakeholder engagement through tailored means. Preliminary results regarding the involvement, awareness, and increased capacity of stakeholders in this project are positive; it encompasses a wide range of stakeholder groups across multiple scales, and has mapped out the ways in which there would be adverse effects or benefits to each group (Research Plan Years 1- 6, p.26).  Stakeholders are addressed according to the most suitable method of interaction, creating positive positioning and engagement. Initial outreach with local media outlets occurring, intensification of this planned for future stages in the project (1st Progress Report and Output Data, 2016, pg.9)

Food Security projects are mixed and point to the fact that a stronger, multifaceted communications and outreach strategy (as in the case of IFWA) is more likely to produce awareness and uptake (than DEMETER, for instance).

- IFWA: Strong academic communication activities and positioning stakeholders for a high degree of awareness. Academically: 1 research paper published, 3 ready for submission, 5 talks and 5 posters on 2 international and 3 national conferences presented (FS_IFWA_FeedbackProgressReport_2016, p1). Participatory Rural Appraisals carried out in 3 countries using focus groups, stakeholder mapping and transects. Conducted in 5, 2 and 1 village in Benin, Ghana, and Burkina Faso, respectively. (FS_IFWA_ProgressReport_2016, pp.7)

- DEMETER: Communication strategy consists of completing individual and community level interviews and working groups, policy paper reviews, and a limited social media and web presence (from project website). Outputs do not appear to reach a wide audience. Hosting events and advancing media presence in initial strategy but not seen to be implemented in outputs.

Equally mixed of the Thematic projects in terms of awareness-raising and uptake derive from the Employment Module.

▪ With respect to the FATE project, an awareness-raising and communication strategy is in place, and it is being deployed, including both traditional and social media (including radio and TV interviews, newspaper articles, a blog, etc.). A series of stakeholder workshops and meetings have been held in four partner countries and within Switzerland. This project can be expected to generate policy uptake.

▪ The Trade and Labour Market project had outlined a strategy to communicate with the academic and non-academic public in its project proposal, which included publications, events and stakeholder involvement during research and advocacy, a policy advisory and advocacy group, having started its deployment process. The project was rejected for second stage funding, and so delivery of awareness raising and uptake strategies are all limited, but it is fair to say that there is some likelihood of research uptake nonetheless.

▪ There is evidence of the r4d Programme not reaching country offices; e.g. Bolivia (Employment project), despite the fact that Bolivia is an SDC Bilateral Development Cooperation Priority Country: https://www.eda.admin.ch/dam/deza/en/documents/laender/Liste-Schwerpunktlaender_EN.pdf

The evaluation team was not asked to examine the Public Health Module for this question.

The Open Modules are different in that their funding is more modest and for a shorter period of time. Noteworthy, these sampled projects have shown themselves to be highly effective in generating awareness and favouring uptake, but in very specific and contextual environments.

▪ The Soil-Q (OC1) project has generated a great deal of interest, and is reportedly being used for a provincial policy, which is to inform the development of national policy and regulations. Additional, 2 videos have been made with one shown on regional TV in Cuba, and a results seminar with international participants was being planned during the evaluation team's data collection.

▪ The Disability and Technology project (OC1) has worked closely with national level, multi-sectoral stakeholders in Uganda (through a multi-sectoral Advisory Board, stakeholder dialogues), and this has resulted in the definition of an action plan within the Transportation Ministry in Uganda regarding disability and transport. In addition, the project has had a traditional and social media presence.

▪ Cocoboards (OC1) is highly innovative, regionally recognised (with an award from the Asia-Pacific Housing Forum), and is informing discussions on adapted technologies and sustainable development. External communication has been given a high degree of importance.

▪ The bio-fertilizer date project (OC2) is very early in its project cycle, so there is no evidence of uptake, which is normal. Of note, an external communication strategy is built into the project work package framework, which includes a website (http://www.fibl.org/en/projectdatabase/projectitem/project/1159.html) and newsfeed (http://www.fertiledatepalm.net/fdp-site-info.html).

**Table vi.1 Interview responses on uptake**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **On global uptake** | |
| RP Member, External | "The name is r4d. That means a lot of documentation is around SDG. They are funding in developing countries. In essence, highly relevant for SDC. But mainly led by Swiss researchers and it is fairly academic. Disconnect between real r4d with big impact and the objectives of the Programme. Partly because Swiss researchers get money… The funding is mainly led by Swiss researchers… focuses on work of Swiss researchers. Many are working close to SDC goals and in developing countries. But they are also trying to run PhD programmes and all that. Going to take the projects down a path, where the academic is most important and the impact is at scale.  It is hard to see projects having impact at scale." |
| **On Swiss uptake** | |
| SDC stakeholder | "The SDC asks questions about 'ground-breaking research", but none of these topics will be addressed in the r4d Programme in the manner which our colleagues in the fields can draw on it better in programmes." |
| SNSF stakeholder | "I think the projects produce scientific evidence and research-based solutions however do not communicate it strongly enough as development relevant or policy oriented results." |
| **On developing country uptake** | |
| Co-PI | "I am also in another project with [a Global South] university for the research. The goal is just to publish. If you just want to publish, there is no guarantee that the result will be used for development. In r4d, we know that when [we] set up a project, we wanted to have two parts. One part is research. Also, you want to think about how to put the knowledge to something realistic and something to be implemented in the field." |

**Table vi.2 The importance of project design**

- The Telecoupled Landscapes project works with a national advisory group involving technicians that work at decision-making level (with certain technicians coming from PMO or different ministries), and has regular interaction between them.

- The Cuba Soil-Q Project work, to proceed, needed vetting as a national priority in Cuba, with approvals at different levels. So, there is a policy discussion underway in the design, approach and implementation of the project.

- Employment work in Rwanda reflected the awareness of researchers that they needed to be "development and policy oriented with our findings and research."

- According to a Co-PI, "Without r4d my group would not exist. We would only get funding for PhD proposal. That takes the group only so far. Good for PhD. But for the scientific project, you need Calls like that. The kind of research we do is not understood by classical research streams. We are too applied. We work in partnership, we do transdisciplinary [research]. Just back from a week negotiating with stakeholders on policy, using the models we developed. It is one shot, can't develop hypothesis. This is not easily understood as science by classical research."

**Table vi.3 Survey responses to "The r4d Programme is contributing to improved awareness of innovative solutions to contemporary global sustainable development challenges among…"**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Policy-makers in Switzerland | 1 (1.5%) | 4 (6.2%) | 26 (40.0%) | 6 (9.2%) | 28 (43.1%) | 65 |
| Policy-makers in developing countries | 0 (0.0%) | 2 (3.1%) | 30 (46.2%) | 32 (49.2%) | 1 (1.5%) | 65 |
| The global development community (donors, NGOs, UN…) | 0 (0.0%) | 3 (4.6%) | 35 (53.8%) | 15 (23.1%) | 12 (18.5%) | 65 |
| The general public in Switzerland | 2 (3.1%) | 7 (10.8%) | 20 (30.8%) | 4 (6.2%) | 32 (49.2%) | 65 |
| The general public in developing countries | 1 (1.5%) | 11 (16.9%) | 28 (43.1%) | 14 (21.5%) | 11 (16.9%) | 65 |
| The private sector – small scale (Switzerland) | 2 (3.1%) | 11 (16.9%) | 11 (16.9%) | 0 (0.0%) | 41 (63.1%) | 65 |
| The private sector – small scale (developing countries) | 1 (1.5%) | 11 (16.9%) | 27 (41.5%) | 10 (15.4%) | 16 (24.6%) | 65 |
| The private sector – multinational | 1 (1.5%) | 11 (16.9%) | 25 (38.5%) | 4 (6.2%) | 24 (36.9%) | 65 |

According to survey results, the stakeholder groups which are most informed about contemporary solutions to global challenges are:

- Policy-makers in developing countries: 95.4% (Strongly Agree or Agree)
- Global development community: 76.9% (Strongly Agree or Agree)

These are the groups that can be inferred to have been most targeted for outreach by stakeholders, with relatively little outreach undertaken with Swiss stakeholders.

At the same time, there is very little clarity among project proponents (including PIs, Co-PIs and Coordinators) about how much they are informing certain groups. In other words, they are not informing these groups directly through targeted strategic engagement.

- The private sector – small scale (Switzerland): 63.1% (Do not know / Not applicable)
- The general public in Switzerland: 49.2% (Do not know / Not applicable)
- Policy-makers in Switzerland: 43.1% (Do not know / Not applicable)

These figures are much higher than for any other category of stakeholder. In other words, there is much more work to be undertaken if informing Swiss stakeholders is a priority.

**Table vi.4 Survey responses related to use of scientific evidence among different stakeholders**

| Survey question | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| My project has generated scientific evidence that has been used/applied by public stakeholders | 1 (1.5%) | 1 (1.5%) | 34 (52.3%) | 22 (33.8%) | 7 (10.8%) | 65 |
| My project has generated scientific evidence that has been used/applied by private stakeholders | 2 (3.1%) | 13 (20.0%) | 25 (38.5%) | 7 (10.8%) | 18 (27.7%) | 65 |
| My project has generated scientific evidence that has been used/applied by civil society stakeholders | 0 (0.0%) | 3 (4.6%) | 37 (56.9%) | 14 (21.5%) | 11 (16.9%) | 65 |
| The r4d Programme has contributed to better Swiss public policies for poverty reduction and/or the reduction of global risks | 1 (1.5%) | 6 (9.2%) | 14 (21.5%) | 6 (9.2%) | 38 (58.5%) | 65 |
| The r4d Programme has contributed to better developing country public policies for poverty reduction and/or the reduction of global risks | 0 (0.0%) | 6 (9.2%) | 23 (35.4%) | 14 (21.5%) | 22 (33.8%) | 65 |
| The r4d Programme has contributed to better Swiss civil society / NGO programming related to poverty reduction and/or global sustainable development | 0 (0.0%) | 5 (7.7%) | 11 (16.9%) | 6 (9.2%) | 43 (66.2%) | 65 |
| The r4d Programme has contributed to better developing country civil society / NGO programming related to poverty reduction and/or global sustainable development | 0 (0.0%) | 5 (7.7%) | 25 (38.5%) | 12 (18.5%) | 23 (35.4%) | 65 |

The Programme is designed to encourage grantees to think about outreach early on. It is not necessarily effectively designed to ensure this outreach is strategised or takes place. Based on the survey results related to policy-development, it is clear that the projects are largely focusing on developing country-level engagement and informing policy and programming there more than in Switzerland. At the same time, project proponents are more attuned to the implications of their work for public institutions, followed by civil society, with the private sector trailing. This reflects a traditional framing and approach to uptake and use, rather than one that is more in line with the complexity and multiplicity of potential uptake pathways.

# Appendix VII  Perceived Value of both SDC and SNSF Support

**Table vii.1 Survey responses to the question: "My career benefits specifically from the fact that the r4d Programme is jointly offered by SDC and SNSF"**

|  | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Survey Summary | 1 (1.5%) | 10 (15.2%) | 17 (25.8%) | 25 (37.9%) | 13 (19.7%) | 66 |
| Senior Career Level | 1 (2.0%) | 8 (16.3%) | 15 (30.6%) | 17 (34.7%) | 8 (16.3%) | 49 |
| Early Career Level | 0 (0.0%) | 0 (0.0%) | 1 (20.0%) | 2 (40.0%) | 2 (40.0%) | 5 |
| OM | 0 (0.0%) | 1 (16.7%) | 1 (16.7%) | 2 (33.3%) | 2 (33.3%) | 6 |
| TM | 1 (1.8%) | 8 (14.0%) | 15 (26.3%) | 22 (38.6%) | 11 (19.3%) | 57 |

**Table vii.2 Survey responses to the question "The r4d Programme is strengthening my transdisciplinary collaboration with diverse stakeholders (academia, public, private, civil society)"**

|  | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Survey Summary | 1 (1.5%) | 2 (3.1%) | 17 (26.2%) | 45 (69.2%) | 0 (0.0%) | 65 |
| PI | 0 (0.0%) | 1 (4.8%) | 6 (28.6%) | 14 (66.7%) | 0 (0.0%) | 21 |
| Co-PI | 0 (0.0%) | 0 (0.0%) | 8 (30.8%) | 18 (69.2%) | 0 (0.0%) | 26 |
| TM | 1 (1.8%) | 2 (3.6%) | 15 (26.8%) | 38 (67.9%) | 0 (0.0%) | 56 |
| OM | 0 (0.0%) | 0 (0.0%) | 2 (33.3%) | 4 (66.7%) | 0 (0.0%) | 6 |

**Table vii.3 Survey responses to the question Non-financial support and guidance provided by the r4d Programme has improved our team's ability to meet project-level objectives"**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Survey Summary | 3 (4.7%) | 6 (9.4%) | 32 (50.0%) | 16 (25.0%) | 7 (10.9%) | 64 |
| TM | 3 (5.4%) | 5 (8.9%) | 30 (53.6%) | 12 (21.4%) | 6 (10.7%) | 56 |
| OM | 0 (0.0%) | 1 (20.0%) | 1 (20.0%) | 2 (40.0%) | 1 (20.0%) | 5 |
| Early Career | 0 (0.0%) | 0 (0.0%) | 3 (75.0%) | 1 (25.0%) | 0 (0.0%) | 4 |
| Senior Career | 2 (4.2%) | 5 (10.4%) | 23 (47.9%) | 12 (25.0%) | 6 (12.5%) | 48 |
| PI | 2 (10.0%) | 3 (15.0%) | 7 (35.0%) | 7 (35.0%) | 1 (5.0%) | 20 |
| Co-PI | 1 (3.8%) | 1 (3.8%) | 13 (50.0%) | 5 (19.2%) | 6 (23.1%) | 26 |

**Table vii.4 Survey responses to the question: "Non-financial support and guidance provided by the r4d Programme has improved our team's ability to meet Programme-level objectives"**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Survey Summary | 3 (4.7%) | 7 (10.9%) | 26 (40.6%) | 15 (23.4%) | 13 (20.3%) | 64 |
| TM | 3 (5.4%) | 6 (10.7%) | 23 (41.1%) | 13 (23.2%) | 11 (19.6%) | 56 |
| OM | 0 (0.0%) | 1 (20.0%) | 2 (40.0%) | 1 (20.0%) | 1 (20.0%) | 5 |
| Early Career | 0 (0.0%) | 0 (0.0%) | 3 (75.0%) | 1 (25.0%) | 0 (0.0%) | 4 |
| Senior Career | 2 (4.2%) | 7 (14.6%) | 18 (37.5%) | 11 (22.9%) | 10 (20.8%) | 48 |
| PI | 2 (10.0%) | 5 (25.0%) | 6 (30.0%) | 6 (30.0%) | 1 (5.0%) | 20 |
| Co-PI | 1 (3.8%) | 1 (3.8%) | 12 (46.2%) | 5 (19.2%) | 7 (26.9%) | 26 |

**Table vii.5 Illustrative interview data on perceived value of being funded through both r4d Programme partners:** *positive value*

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **Co-PI** | "One thing that did help us locally … I think the involvement of the Swiss National Science Foundation for us was more important than having the Swiss Development Corporation involved … the fact that the Swiss National Science Foundation was involved I guess has given us a bit more credibility, you know scientific credibility, which I am not sure development funding will have." |
| **PI** | "Science that is committed to both the challenges (research and development) is difficult to get funded… Science is a competitive endeavour. Funding partnerships is not possible through other grants. Funding a PhD in Madagascar wouldn't be possible in other research schemes." |
| **Coordinator** | "Thinking outside the academic box is encouraged, to include both research and development priorities and agendas." |
| **PI** | "The r4d Programme, specifically the thematically Open Call, is ideally attuned, is a rather unique opportunity in that that environmental pollution is not traditionally perceived in a developing aid discipline as a priority." |
| **Coordinator** | "[I] have to take into account perspectives and values, expectations that normally one wouldn't have as an academic, which makes things complicated but also helps me think beyond the ivory tower and connect with stakeholders, which I think is extremely important." |
| **Co-PI** | "As a researcher in the South, Bolivia, we appreciate such a long funding period and the opportunities the r4d Programme does provide to conduct policy-oriented and impactful research." |
| **Coordinator** | "Value is that both funders have different priorities. Normally SNSF funds only research and SDC funds development work and research with development orientation. Combination is very good for us. We also want to do research and also contribute to sustainable development." |
| **Review Panel Member, External** | "The importance of combining SDC and SNSF to make research relevant for policy makers … is extremely important." |
| **SDC Stakeholder** | "It's valuable to be working closely with the research community, being informed about what is going on, about general context and so on" |

**Table vii.6 Illustrative interview data on Perceived value of being funded through both r4d Programme partners:** *critical value*

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **PI** | "Does not make much difference if one or either." |
| **Co-PI** | "SDC mainly was invisible, was not much interested and provided no support." |
| **Co-PI** | "In my opinion, SDC is wasting a lot of good opportunities here!" |
| **PI** | "For me there is no huge value as the SDC partner was not too much interested in the project work. We had initial meetings with SDC in Switzerland but also the countries we research in, but the interest and attention was not too high… I am not sure if SDC waits until we present final results, but currently we do not have much of an exchange". |
| **Co-PI** | "SNSF is very supportive, but the SDC did not support or facilitate the partnership at all… SDC is a very strong development stakeholder … and could use the r4d Programme much better for their own value within the country…" |
| **SDC Stakeholder** | "I think the first, main factor is the extent to which the colleague believes in the importance and added value of the Programme, and the research we are doing. "if someone says, 'we are good enough', it's quite clear I wouldn't expect very much from this person. I think the perception of what the Programme gives changes the Programme's relative value / value for money." |

# Appendix VIII  Alignment with Sustainable Development Discourses

**Table viii.1 Illustrative interview data on alignment to SD and SDG discourses**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **Co-PI** | "The project brings the SDG discourses down to the African specific sphere." |
| **Coordinator** | "Project is very much linked to MDGs and SDGs, but it was not written out in the project proposal nor adjusted after the launch of the SDGs…This was never criticised in the evaluation or monitoring process from the Review Panel experts." |
| **Coordinator** | "In Our project this is an important link. When we were selecting case studies and places and land use changes, we were doing participatory evaluation exercise with stakeholders, using SDG as guiding change" |
| **SDC Stakeholder** | "What I particularly like in this Programme was the overarching framework of how this would guide sustainable development.... Given the broad framework that was made possible when the Programme was being designed, it is built around the 2030 agenda and is rooted in sustainable development" |
| **Co-PI** | "No, as the SDGs did not exist when we did write the project proposal and it was also not adjusted during the projects cycled when SDGs were launched" |
| **Coordinator** | "We started before the SDGs and never aligned the project later towards the SDGs" |
| **PI** | "In the design of the project was not favourable to align with the SDG." |
| **PI** | "SDG targets are high level. Very far removed from our work. Our work is in the context of these targets and provides framing. But they are so far removed and abstract and lacking in detail – not so important." |
| **r4d SteCo Member** | "…In the last r4d Forum we made an exercise: linking the research results to the SDGs…Introduction of the SDGs to the research Module community (some did not even know what the SDGs are, that is the reality within the research Module community)" |
| **SDC Stakeholder** | "Some projects, e.g. in the employment module, the 3 sustainable development dimensions were not present. We would have preferred a more interdisciplinary and holistic project." |
| **Research Council Member** | "Research awareness of SDGs is currently too limited, also the mind-set of good researchers is too research oriented and not reaching out enough into development thinking" |

**Table viii.2 Survey responses to the question "Guidance from the r4d Programme has helped our team broadly define our research in terms of contemporary global sustainable development discourses"**

|  | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| PI | 1 (4.8%) | 2 (9.5%) | 11(52.4%) | 6(28.6%) | 1 (4.8%) | 21 |
| Co-PI | 1 (3.8%) | 1 (3.8%) | 13(50.0%) | 9(34.6%) | 2 (7.7%) | 26 |
| OM | 0 (0.0%) | 0 (0.0%) | 3 (50.0%) | 2(33.3%) | 1 (16.7%) | 6 |
| TM | 2 (3.5%) | 5 (8.8%) | 25(43.9%) | 21(36.8%) | 4 (7.0%) | 57 |

**Table viii.3 Survey responses to the question "Guidance from the r4d Programme has helped our team specifically define our research in terms of the Sustainable Development Goals (SDGs)"**

|  | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| PI | 1 (4.8%) | 5 (23.8%) | 7(33.3%) | 6 (28.6%) | 2 (9.5%) | 21 |
| Co-PI | 0 (0.0%) | 3 (11.5%) | 11(42.3%) | 11(42.3%) | 1 (3.8%) | 26 |
| OM | 0 (0.0%) | 0 (0.0%) | 2 (33.3%) | 2 (33.3%) | 2 (33.3%) | 6 |
| TM | 2 (3.5%) | 10(17.5%) | 23(40.4%) | 20(35.1%) | 2 (3.5%) | 57 |

# Appendix IX  Internal Factors

The online summary data highlights that of the aggregated average of respondents (52 interviewees) 55.76% listed partnership and collaboration as the main internal factor related to achievement of the project and programme objectives. With 55.76% of respondents, programmatic support from the r4d programme is mentioned, and 51.92% of survey respondents placing funding as third priority positively affecting the outcome and output of the project and programme. Furthermore, researchers responded with 76.9% strongly agreeing that the r4d programme effectively supports the enhancement of N-S networks and strongly agree with 70.8% on the r4d programme's effectiveness supporting N-S-S partnerships tackling global development issues.

Assessing the data on PI and Co-PI responses, internal factors related to the research team are mentioned: diversity of expertise; joint responsibility; time for team building; quality of hired team (PhD, assistance, etc.) and the interaction of research teams on project and programme level.

**Exhibit ix.1 Online survey data summary – top five internal factors supporting achievement**

| INTERNAL FACTOR 1 TOP 5 | | INTERNAL FACTOR 2 TOP 5 | | INTERNAL FACTOR 3 TOP 5 | |
|---|---|---|---|---|---|
| FACTOR | COUNT | FACTOR | COUNT | FACTOR | COUNT |
| Partnership / Collaboration | 19 | R4D support / Programmatic Support + Factors | 12 | R4D Programmatic Support | 15 |
| Funding | 12 | Team Competency | 8 | Funding | 8 |
| R4D / programmatic Support | 6 | Partnership / Collaboration | 7 | Team Competency | 5 |
| Interdisciplinarity | 2 | Funding | 5 | Interdisciplinarity | 5 |
| Monitoring | 2 | Interdisciplinarity | 5 | Partnership / Collaboration | 3 |

Total Responses towards:

- Partnership and Collaboration: 29
- R4D support / Programmatic support: 27
- Funding: 25
- Inter- / Multidisciplinarity: 12
- Team Competency: 13

**Table ix.1 Survey responses PI and Co-PI: overview and closer elaboration on positive influencing factors of the three identified indicators supporting achievement**

| INTERNAL FACTOR: TEAM | INTERNAL FACTOR: PROGRAMME SUPPORT | INTERNAL FACTOR: FUNDING |
|---|---|---|
| Diversity of Expertise | Support and openness of SNSF staff | Flexible |
| Joint responsibilities | Flexible responsive management | Enough and generous |
| Team Building | Administrative support | Budget autonomy |
| Quality of hired team (PhD, assistance, etc.) | Support through local SDC staff | Funding young researchers in the South |
| Team interactions on project and programme level | Support and advice from advisory | Financial support to disseminate findings |

**Table ix.2 Summary survey data on programme capacity of strengthening partnerships**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| The r4d Programme is effective in supporting the enhancement of a North-South scientific network on global development issues | 1 (1.5%) | 1 (1.5%) | 13 (20.0%) | 50 (76.9%) | 0 (0.0%) | 65 |
| The r4d Programme is effective in supporting the enhancement of a North-South-South scientific network on global development issues | 1 (1.5%) | 1 (1.5%) | 16 (24.6%) | 46 (70.8%) | 1 (1.5%) | 65 |

**Table ix.3 Illustrative interview data on enabling factors for achievement**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **PI** | "SNSF did always provide support in order to get additional funding options in order to achieve the objectives of the research project (capacity building, networking and personal interaction on researcher level)" |
| **Co-PI** | "People involved: we have some people who are key in making it happen. Mostly personal resources that make it happen." |
| **RP member – external** | "Very well-organised Programme. Very good software and very good online system, well organised staff. Very good documentation, helps guide us and keep on track. One of the best organised programmes I have seen" |
| **Project Coordinator** | "All researchers develop ownership and motivation to drive all the issues." |
| **Co-PI** | "Partnerships depend very much on the people and we were lucky that all partners did understand what partnership does mean… we all learnt from each other, had equal and respectful communication and meetings" |
| **Coordinator** | "Enabling factors have been through the development of common interests with partners as a foundation, and building a personal relationship. Overcoming disparities between research practices, the quality of the relationship is based on having personal relationships, which is more important than having money." |
| **Co-PI** | "Important, we hold regular meetings in person. We started in Laos, were now in Bolivia and will meet next time in Rwanda. This improves the team spirit and the sense of co-working" |

**Table ix.4 Document review and illustrative interview data on internal hindering factors**

| STAKEHOLDER GROUP / SOURCE | QUOTE / PASSAGE |
|---|---|
| **1st Progress Report and Output Data, 2016, pg. 10** | "The project faces a series of challenges regarding its team and presence in [conflict country]. Integration of local PhDs faced with considerable difficulty in [conflict country] due to a lack of experience working in international contexts, and low quality of education. |
| **PI** | "Research quality varies from country to country [2 countries]: weaker; [2 countries]: stronger" |
| **Document Review** | "Methodological approach: Project is a set of sub-projects, each with its own peculiarities and objectives.  It is not one project that is testing the same hypotheses in different contexts, but sub-projects in different country contexts (each with their own rationale) working on similar issues. The project coordination then tries to pull it together in a form of "synthesis" where the results of different sub-projects are integrated together into a package of results." |
| **Document Review** | "Demanding project management based on partner and country diversity" |
| **Co-PI** | "My impression is often, that there is still a notion of 'South partners bring data'. However, we researcher in the South can bring in much more and we want to get involved in r4d Programmes not only for the funds, but to create knowledge with partners in the North and South… We want to learn and then bring these learning results into broader channels." |

| STAKEHOLDER GROUP / SOURCE | QUOTE / PASSAGE |
|---|---|
| **Co-PI** | "The R4d Programme can profit much more, if they would appreciate the capacity of the South partners much more!" |

**Table ix.5 Interview responses related to involvement of SDC**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **Swiss PI** | "SDC was very helpful via their local office in _____, to facilitate the importation of scientific materials, helpful in understanding the _____ socio-political situation as well. Unique and strong support. Only SNSF would not make same progress." |
| **Co-PI** | "I was proactive to meet SDC people in _____, but I had to explain the r4d Programme to the people and they clearly said 'they are not involved in the Programme'. SDC not keen about cooperation with the local research team - … In my opinion, SDC is wasting a lot of good opportunities here!"<br><br>"SNSF is very supportive, but the SDC did not support or facilitate the partnership at all… SDC is a very strong development stakeholder in [country] and could use the r4d program much better for their own value within the country…" |
| **Co-PI** | "Value of funding through both is limited as the SDC partner was mainly absent in the project process… SDC misses a lot of opportunities to use the r4d program of being information resource. Also they though guide and push researchers more to translate their findings into policy relevant solutions… A lot of money is given but SDC is not using the Programme enough for their advantage." |
| **Swiss PI** | "I would say, we visited SDC but it felt like an obligatory date without any added value for our research project". Review Panel Member from SDC is supportive and provides good comments/feedback, but not sure how the Review Panel Member reports back research findings within the SDC organisation SDC is missing opportunities to place their interest within the individual r4d projects." |

# Appendix X  External Factors

Survey data shows that external factors are more frequently linked to the non-achievement of outcomes. 73% (an average of 50 interviewees responded) of the survey participants listed external factors with a majority of 34% relating to country context situation as well as partnership and stakeholder engagement (also 34%) negatively impacting the outcome and output of the project. Document Review underpins these finding, with the emphasis on difficult, conflicting and complex country contexts that negatively impact the project progress and outcome. But also, natural disaster is mentioned not allowing timely delivery of data collection or distribution. Stakeholder engagement broadly refers to responses related to existing local knowledge, engagement, and participation. Respondents frequently included the South country political factor as being a determining external factor, including responses such as: "accessibility of stakeholders", "interest and support by the relevant government departments" or "emerging policy dialogues at the country level".

## Online Survey Data Summary – Top Three External Factors Hindering Achievement

Aggregated data lists highlight the researchers' responses addressing the top three hindering factors of project outcome and output achievement.

**Exhibit x.1 Overall external factors: Interviews and Survey**

| | |
|---|---|
| Country Context: Climate, Conflict, level of development: | 17 |
| Social & political development in partner country | |
| Social unrests | |
| Political stability | |
| Security issues | |
| International political context contributed to generate interest in the project, particularly with international organizations and policy makers in developing countries | |
| Political agenda in the developing country | |
| Country policies related to research themes | |
| Different education systems and procedures in developing countries need to be considered | |
| Acceptance of project key objectives by National, Regional and District key governmental agencies | |
| Global and regional policy processes projects can tap into for their dissemination, capacity building and advocacy activities | |
| Rainfall conditions | |
| Social Economic situations of targeted beneficiaries | |
| Challenge of land use and land tenure problems in project area | |
| Political unrest in Kenya and Ethiopia which is delaying some project activities; - non-achievement | |
| Safe working environment | |
| Relevancy of the topics such as conflict | |

| | |
|---|---|
| Stakeholders and Local Partnerships:<br>Mobilization of stakeholder<br>Long-term partnerships<br>Strong local partners<br>Strong partners in the South<br>High commitment of research partners in the developing country<br>Collaboration with stakeholders<br>Felt needs of user stakeholders<br>Project partners are fairly experienced in handling invasive species, team selection therefore done in an excellent manner<br>Knowledge on insect by general population<br>Interest and support by local stakeholders where the research is being implemented<br>Accessibility of stakeholders<br>Reputation of participants<br>Involvement of private participation<br>Stakeholder engagement (also rich but complex)<br>Knowledge on insects as animal feed | 17 |
| Political Commitment (Swiss + Partner Country)<br>Political commitment to gender equality<br>Emerging policy dialogues at the country level<br>Political will to pick up policies recommended<br>host governments' political sensitivity<br>Switzerland Political Commitment to Development<br>Interest and support by the relevant government departments of the host country<br>Favourability of national research contexts<br>public/policy supportive environment<br>Political will in the developing country<br>Involvement of research as well as government agencies<br>Political sensitivity of the issues discussed<br>Political cycle has slowed down involvement of policy makers in two<br>targeted countries<br>Red-tape bureaucratic procedures that delay implementation<br>high interest of the policy makers in the developing country | 15 |

## Summary of Top 3 External Factors

- Country context: 17
- Stakeholders and Local Partnerships: 17
- Political Commitments: 15

**Table x.1 Document review and illustrative interview data on external hindering factors**

| STAKEHOLDER GROUP / SOURCE | QUOTE / PASSAGE |
|---|---|
| **SC project - PLURALISTIC MEMORIES (template Research Plan – Prolongation (years 4-6), p.4)** | Multiple complex country contexts: Each country carries a different contextual challenge. In Burundi, 'the outbreak of a major political crisis' was determined in the Risk Analysis phase, which resulted in the national survey being replaced with a global diaspora survey. |
| **FS project - DEMETER** | The political environment in Cambodia is a factor which must be considered in this research; the team was unable to obtain research permits in one location and must work closely alongside officials. |
| **ES project – TELECOUPLED, 1st Progress Report and Output Data, 2016, pg.8** | In Myanmar, the regional stakeholder platform could not be established so far due to political and administrative difficulties (e.g. transition period of the government). |
| **SC – Ethnic Power Relations** | One of the main themes of the project, Political Change, faces contextual issues in each country as questions on ethnic discrimination remain prominent in the national and regional political agendas, making reaching this goal challenging to implement and measure. |
| **EM – FATE** | Stakeholder relations of research partners varies from country to country… This diversity is difficult in order to mainstream stakeholder communication structures and also how research is communicated and will influence policy/development… |
| **PI** | Sometimes there are political changes and that sets you back… as you know there was a big political change in the Philippines (cite 39:15). We underestimate this, the way things might get delayed as a result. |
| **PI** | Non-foreseen natural disasters within research partners' country (e.g. Nepal) that disrupt and distract from research focus and r4d project work. |
| **r4d Steering Committee** | In my opinion are most of the research partnerships very much constructed and not true! … PIs do use their existing networks but do not try to leave their 'old clique' and therefore no transnational but also Swiss internal new partnerships developed… |
| **SDC Stakeholder** | A large difference in the network / partnerships is whether or not there were pre-existing relationships. |
| **RP member – External** | In all projects the relationship between Swiss partners and developing research institutions, the researchers from developing countries, the relationship is very difficult. There is no easy project at all. |
| **Coordinator** | Working in different countries is difficult as all have different understandings of how research ethics, research approaches and structures look like. |

# Appendix XI  Value of the Two Types of Calls

**Exhibit xi.1 Analysis of two types of Calls**

Thematic modules are related to strategic areas of interest in SDC, but actual descriptions of topics and research questions of particular interest in each Thematic Call were drafted by scientific experts, some of which later became Review Panel members. The topics were deliberately broad and the list of topics long, with no intention of selecting a set of projects that would cover all or a substantial part of the thematic area — description to give indicative guidance to applicants. As a result, themes were neither specific nor open. The actual set of selected projects within each Thematic Module shows diversity and it will be a significant challenge to synthesise generalised findings.

Open Calls were a needed compromise between both partners, in order to make the r4d Programme acceptable for SNSF and SDC. SDC has a potentially different role than SNSF, in that they intended to identify interesting results, which could then be directed into development programming. SDC has annual goals to achieve and research processes have a different timescale.

Researchers themselves like the idea of two Calls because it gives them flexibility about which to apply for, and is valuable as it supports and encourages researchers to think their research in a different perspective. Two Calls bring more freedom to research community to decide which call they apply to: more own focus oriented or working towards policy guided questions. Survey results show this clearly, where 90% of respondents agree or strongly agree that it is appropriate to have both types of Calls and none disagree.

An advantage of Open Calls is that researchers can select topics that are *priorities in the developing countries* themselves. In principle, the Thematic Calls reflect sustainable development discourse and hence global development priorities, but policy uptake may be less assured then research on a more narrow and specific research priority in a country. Open Call projects are not required to have South-South relationships, permitting the research to focus on a specific national priority. An example of this is the Soil-Q project in Cuba where the initial idea came from the Cuban partner. The idea was proposed because it was an explicit priority in Cuba and the research would not have been permitted to apply by the Cuban government on anything but Cuban priorities. Whereas the Open Call projects may lack a clear pathway into SDC programming, this uptake risk may be offset by the possibility of uptake in developing countries themselves because of close fit to national priorities.

Finally, as shown by the last Open Call, there are ways to add conditions that keep the spirit of an Open Call but still channel research ideas in strategic directions. Similarly, there are ways to design Thematic Calls to keep a focus on specific priorities but still allow space for innovation and flexibility to select a full suite of high-quality projects. Unfortunately, the rigid structure of the Thematic Call funding (equal across Modules) contributed to incomplete use of funds in the first set of Thematic Calls, which possibly could have been avoided. For example, instead of splitting the funding equally (*prior to issuing the Calls*) between five themes with different potential to generate high-quality proposals in Switzerland, the funds could have been centrally maintained and then allocated more heavily to Modules receiving a better set of proposals.  In that way, more funds could have been given to Food Security, which generated a lot of good ideas and likely could have funded additional strong projects and fewer funds to Public Health which only generated 9 pre-proposals. The Steering Committee is an appropriate body to make judgements like this.

Submission rates varied for Thematic Modules: Social Conflict (22 pre-proposals), Employment (12 pre-proposals), Ecosystems (25 pre-proposals), Food Security (33 pre-proposals) and Public Health (9 pre-proposals), Additional Thematic (54 pre-proposals). There is no clear trend evident from Call timing (e.g., Public Health was one of the last Calls and only had 9 submissions). Despite much more limited funding (or perhaps because of it — less complexity in project preparation) and possibly because of more flexibility in topic choice, submissions to Open Call 1 (59 pre-proposals) and Open Call 2 (85 pre-proposals) were higher than for Thematic Calls.

The specific design of the r4d Programme (the allowable budget size, that proposals adequately address both scientific and development merit, partnering with developing country organizations) differentiates the Calls from other disciplinary research Calls administered by SNSF. As is the case in many other countries, the pool of interdisciplinary researchers for development in Switzerland is not large and projects were required to have a Swiss lead. Factors such as the novelty of the programme, heavy proposal preparation and team set-up needs, and Swiss research culture were cited a number of times in interviews as factors affecting submission rates. For example, a senior funder official said: "Low submission rate in Thematic Calls is clearly linked to the high expectations of the r4d Programme and how the Thematic Call was defined… as said earlier, the Swiss research community is not prepared to be governed in topics and to be put their research in a corset." One Panel member had strong feelings that the r4d Programme lacked a clear idea of what it wanted: "Actually, you are creating a 'monster' which is so difficult to handle … it has so high entry costs for people to set it up … also you might not get the best academics but those with strong networks to the development sector…. It is the question what does the program want – high profile academics or people with strong development linkages – and what does the structure allow." The overall quality of pre-proposals was widely perceived to be poor as one person put it, "For me it is clear that the Thematic Modules are defined too tight and narrow. This is why the quality of the Thematic Calls was very low and only a limited number of projects could be identified worthy of support."

Public Health was narrower and more specific than other Thematic Calls, with relatively few research teams in Switzerland that conduct this type of research. For Public Health researchers in Switzerland, shared budget and limits to direct benefits to researchers (teaching buy-out), their research institutions (salaries, cost recovery) acted as a possible deterrent. A Panel member noted that the low submission rate is due to high expectations of the Programme. Several researchers questioned the added value of r4d Programme as perceived by public health researchers, as 'ordinary project funding' does not involve all these requirements and high expectations, along with high management demands of international projects.

The perception in r4d management is that the r4d Calls had very low success rates (averaging 18% of pre-proposals being funded). However, the evidence is that Review Panels managed the selection processes pragmatically in order to maintain a reasonably-sized pool of proposals through the two-step process (see table above).

- In Calls with low submissions, Review Panels selected a higher proportion for proposal development (Public Health 5 of 9 for 56%, Employment 6 of 12 for 50%).

- Calls with higher submission rates resulted in lower selection rates of pre-proposals into proposals (Food Security 9 of 33 for 27%, Social Conflict 7 of 22 for 32%, Ecosystems 6 of 25 for 24%, Open Call 1 21 of 59 for 32%, Open Call 2 25 of 85 for 29%, Additional Thematic 18 of 54 for 33%).

- Rigorous assessment of both scientific and developmental merit of proposals resulted in similar success rates for proposals across all Calls (average 49% of proposals selected, Public Health 60%,

Food Security 56%, Employment 50%, Social Conflict 43%, Ecosystems 50%, Open Call 1 50%, Open Call 2 50%), with Additional Thematic the only outlier (28%).

- Dynamics within specific Review Panels affected success rates: paraphrasing a Panel Member from Food Security, 'Got 40, a sufficient number, could allocate funds to 5, so selected 10 for second round, quality was good in general'; in contrast, an Ecosystems panel member in retrospect wondered if they had been too tough, "There were certainly pieces of research that I thought were pretty damn good that did not make it."

| | SUBMISSIONS (NO.) | PRE-PROPOSALS SELECTED (NO.) | PROPOSALS SELECTED (NO.) | PRE-PROPOSALS SELECTED RATE (%) | FUNDING RATE FOR PRE-PROPOSALS DEVELOPED INTO PROPOSALS (%) | RATE TOTAL SUBMISSIONS FUNDED (%) |
|---|---|---|---|---|---|---|
| **Social Conflicts** | 22 | 7 | 3 | 32 | 43 | 14 |
| **Open Call 1** | 59 | 21 | 11 | 36 | 52 | 19 |
| **Employment** | 12 | 6 | 3 | 50 | 50 | 25 |
| **Food Security** | 33 | 9 | 5 | 27 | 56 | 15 |
| **Open Call 2** | 85 | 25 | 13 | 29 | 52 | 15 |
| **Ecosystems** | 25 | 6 | 3 | 24 | 50 | 12 |
| **Public Health** | 9 | 5 | 3 | 56 | 60 | 33 |
| **Additional Thematic** | 54 | 18 | 5 | 33 | 28 | 9 |
| **Mean** | 37 | 12 | 6 | 36 | 49 | 18 |

Overall, there is an impressive and healthy distribution of funding across research organizations in Switzerland, providing evidence that the selection process was rigorous and fair to different applicants. As summarised by one manager:

- Established research centres and universities active in r4d were well positioned to submit multiple proposals and had more resources but it did not always translate into success.
- Smaller institutions with expertise submitted fewer proposals but some were successful.
- The number of proposals submitted is not correlated with success.

| Strengths Open Calls | |
|---|---|
| Programme | Potential to produce higher risk/reward projects |
| Process | Allows research to target specific priorities in developing countries |
| Process | Broadens appeal of programme in the research community and may attract promising researchers into this type of programming for the first time |
| People | Fit the research culture in SNSF and Swiss research community; helped made participation in the r4d programme feasible for SNSF |
| **Weaknesses Open Calls** | |
| Programme | Generates a heavier workload in order to select projects that appear to be little valued by the SDC |
| Process | Risk of becoming orphan projects without any clear pathways into SDC development programming |
| People | May attract some research talent away from the Thematic Calls, which are more valued by SDC |
| **Strengths Thematic Calls** | |
| Programme | Direct link to SDC programming priorities and, hence, potential uptake into new development projects; as well as global SDGs |
| Process | Provides a focal point for deepening SDC involvement in research as the r4d programme matures |
| People | Strategic fit to SDC programme provided the inspiration for SDC staff to effectively contribute in selection process, which they did |
| **Weaknesses Thematic Calls** | |
| Programme | Puts Swiss and global development priorities and researchers in a dominant position, leaving less room for specific research priorities in developing countries |
| Process | Rigidity of call design and fund management likely contributed to fund allocation problems and need for an Additional Thematic Call |
| Process | Themes in most cases were neither highly specific nor open so it is not clear that they provided effective guidance |
| People | Less effective fit into Swiss academic tradition; perhaps putting researchers into an intellectual straight-coat. |

**Exhibit xi.2 Call Efficiency**

One measure of efficiency is the time period needed to announce and administer calls. Four dates are important: Call launch, project selection decision date, project announcement date and project start date. The table below summarises information from the five primary Calls. On average, it took 458 days from the timing of the launch to assess the two stages of proposals and take final decisions on which projects to fund. After the first Call (Social Conflict) which had a lag of 27 days from decision to announcement, this was done within 1-2 days after decisions for the remaining four Calls. On average, it took 133 days from announcing the selection of projects to finalizing all contracting details and officially starting projects.  The SNSF legal letter (Verfügung) allows projects up to six months for projects to start after selection.  The average of 133 days is well within the allowable time, indicating that on average projects started within 4-5 months after being selected. Long delays only occurred in two of the projects. The FATE (Feminization…) project in the Employment Module started later than planned (261 days after the legal letter was sent) because the PI passed away and a successor had to be defined. One other case (Ethnic Power project in the Social Conflict Module) was slightly over the six-month allowance.

| MODULE | CALL LAUNCH DATE | TOTAL DAYS FROM LAUNCH TO DECISION | TOTAL DAYS FROM LAUNCH TO ANNOUNCE PROJECTS | TOTAL DAYS FROM LAUNCH TO START PROJECTS (AVERAGE) |
|---|---|---|---|---|
| SC | June 6, 2012 | 460 | 487 | 655 |
| EM | September 7, 2012 | 424 | 425 | 595 |
| ES | May 28, 2013 | 478 | 480 | 597 |
| FS | September 16, 2014 | 478 | 480 | 584 |
| PH | September 15, 2015 | 439 | 441 | 570 |
| **TOTAL AVERAGE** | | **458** | **465** | **598** |

Overall, these time periods between launch, decision, announcement and project start are typical for development research funding, when a two-stage submission process and outside review panel is utilised. In comparison, a recent set of Canadian research-for-development Calls used a two-stage proposal process and review system that is similar to that used in the r4d Programme. The Canadian Calls processed the two stages of proposals and reached decisions more quickly than the r4d Programme, but accomplished this by allowing less time for researchers to prepare proposals. Possibly the additional time provided to r4d Programme research teams had a positive result on the quality of proposals. The short time period (average of 133 days between issuing the legal letter and starting projects indicated well-established and efficient project administration practices in SNRF.

**Table xi.1 Interview responses related to value of two calls**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Swiss PI | "Balance: having both is good. But if it is equally distributed, it is a difficult question to answer. We appreciated that we submitted in the Open Call process. Open Calls are good because of different projects, a multitude of ideas. Thematic is good so you have guidelines and generate international debate on the topic." |
| Co-PI | "Valuable as it supports and encourages researchers to think of their research in a different perspective. Two Calls bring more freedom to the research community to decide which Call they apply to. The need and relevancy of Swiss government is reflected in Thematic Calls, and therefore SDC should take better advantage of the r4d Programme." |
| Project Coordinator | "Two Calls are appropriate. On one hand, it guides researchers into relevant topics that are of interest for the Swiss development sector and on the other hand the Open Calls give freedom to the researchers to decide which topics they find relevant. A good balance between both is important! R4d Programme in CH has too much thematic orientation." |
| Review Panel Member, SDC / SNSF | "Thematic Calls, value added is the link to our policy work in global programmes. So if they can link up to their policy work it will pay off. Open Calls, understand the value of smaller open projects with more free thematic orientation but I see a risk for some projects not being used because they are not linked to the on-going work of the SDC. Short time frame to produce valuable results, which poses a challenge and creates the risk of 'orphan projects'." |
| SNSF Stakeholder | The Thematic and Open Calls are 'complimentary', and are the 'expression of a negotiation between the two organizations and funding cultures. 'Thematic modules are related to strategic areas of interest in the SDC, but actual descriptions of topics and research questions of particular interest in each Thematic Call were drafted by scientific experts, some of which later became Panel members." |
| SDC Stakeholder | "There was a lot of discussion with the _____, they prefer an Open Call approach over a Thematic approach. A deal was struck which allowed both to have needs met with a mix between Thematic and Open Call." |
| SDC Stakeholder | "There used to be quite some tension manifested between these two instruments, and how to develop them. An agreement was reached between SDC and SNSF that 80% of resources would be for Thematic modules and the rest would be in Thematically Open Calls. At the same time, the Open Calls would follow the logic of the program. SDC defined the themes. And SNSF ensured the existence of open calls, as per the Swiss research tradition." |
| Co-PI (Open Call) | "Through this Call for Proposals, we proposed an idea of a project …to apply was the Southern partner idea but the actual proposal was developed jointly with the Swiss counterpart, with important modifications to the original idea from the Swiss. This complemented the basic idea and the final result was a collaboration." |
| Co-PI | "Swiss partners contacted us with the idea. They had met at a conference. They knew I worked in the area. In agreeing to join, I was committing to the research area where I was working. It was initiated by them. They had the head start obviously. They had determined who was doing research. That is an exercise of leadership and power. But in entering the partnership, I had my own ideas about how research should be done." |
| SDC | "Thematic call, value added is the link to our policy work in global programmes." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| SNSF | "… only starts about now, in the next year, movement in a Module which is more advanced, the Social Conflict Module. … The SDC delegate is really interested in getting things out of the project … Inclusive Societies." |
| SNSF | "A clear focus on some selected themes is important in order to make the complexity of global issues visible." |
| SNSF | "Rational behind Open Module: Maybe to be include more risk innovative projects and to be more venturesome in relation to topics, methods, partnerships; however, the reality does not show this." |
| Steering Committee | "I see now added value to have Thematic Calls as the quality of proposal entries clearly show, that the research community in Switzerland cannot take such Calls up very well." |
| Steering Committee | "The Open Calls reflect the research tradition and how Swiss researchers would like to work – independent from political set themes." |
| Steering Committee | "Synthesis process should find out the quantity and quality of research that resonates with the overall r4d objectives distinguished between the two different types of calls" (Thematic vs. Open)." |
| Steering Committee | "Modules were set up clearly out of political reasons, as SDC needed to justify in front of the Parliament the r4d Programme. …Open Calls can be more risk oriented as the financial risk is less." |
| SDC | "However, I doubt in both Calls, that research is really science oriented but only very ordinary research is produced!" |
| PI (Open Call) | "The r4d Programme, specifically the Thematically Open Call, is ideally attuned, is a rather unique opportunity in that that environmental pollution is not traditionally perceived in a developing aid discipline as a priority." |
| SDC | "There was a lot of discussion with the Fund, they much prefer an Open Call approach over a Thematic approach. A deal was struck which allowed both to have needs met with a mix between Thematic and Open Call." |
| Steering Committee | "I haven't been looking at the projects themselves, to be frank. But what I've heard is that the Open Calls are on such a wide range of subjects that they don't meet our needs. Some do, but there are issues because it is very hard for people in the house to assess these projects because each project is also assessed by some people in-house. For Thematic Calls, there are people who can examine the proposals, but for Open Calls its much more difficult to find people to look at them because they're not in our priority area." |
| Project Coordinator | "Gives more chance to wider disciplines to have Calls. If it doesn't create other problems, I don't see why there shouldn't be Open Calls." |
| PI | "I did not pay attention of the difference of the Calls, just applied to Thematic Call that fitted my topic and research interest… Different type of calls allows researchers to become relevant for Swiss policy debates." |
| Project Coordinator | "…even so, SDC influences the decision on research themes, SDC should not influence the project work directly!... If we want to be relevant as researchers to policy, often we are not relevant, these Thematic Calls are helpful to make our research relevant." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Project Coordinator | "I am supporting the Thematic Calls very much, as research becomes more relevant for Swiss policy or international policy. But leave the Open Calls as you never know which themes might also come." |
| Review Panel member | "First calls were Thematic. I was involved with food security. Both Calls have purpose. Thematic were initial. You got the usual projects and usual researchers applied. Open Calls attracted more diversity of researcher who didn't work in development before. You got a lot of projects on energy, medicine. It's hard to review that. Hard to find what is good and what is bad. Positive: new researchers in the realm. Negative: very broad. You couldn't put projects in theme that you could manage." |
| Co-PI | "I cannot praise enough the decision to make Open Calls. Takes scientists as adults. It lets us define what we consider the cutting edge and let us define." |
| SDC | "Open Call 1 and 2 do not correspond to any real priorities." |

# Appendix XII  Review Process and Panels

**Exhibit xii.1 Analysis of review process and panels**

Panel Presidents quite consistently report strong satisfaction with the review and selection processes that they managed. Although they acknowledged some challenges and trade-offs, they feel that appropriate compromises were made, while sticking to a commitment to research quality.

The panels were diverse, well-balanced across geographic areas and specialities, which is a very positive characteristic. However, most panels were oriented towards science and academics, with a limited number of members from development practice, so it usually fell on the SDC representative on a Review Panel to ensure that development aspects were adequately considered in proposal reviews, a role that they generally carried out quite well.

The workload was sometimes high for Panel members, particularly at the beginning of a call process when reviewing more numerous pre-proposals. But the process was much less onerous for panels with very low submission rates (e.g., Employment and Public Health).  The r4d Programme adopted a rigorous review and selection process. External experts were contracted to conduct reviews for use in Review Panel meetings, but Minutes for all Panels (and responses in interviews) say very little about how these external reviews were utilised so it is difficult to judge their utility. Review of the Minutes suggests that Review Panel members depended heavily upon their own assessments.

Meeting Minutes document the careful deliberations involved in project selection. A two-step selection process required Review Panels to first meet to review and select pre-proposals then a second meeting to review and select projects for funding. All Review Panels followed similar procedures. In all Thematic Modules, pre-proposals and proposals were discussed thoroughly, with proposals normally requiring 2-4 rounds of discussion to arrive at final selections. The Review Panel system is seen by stakeholders and researchers to be positive and rigorous (with some exceptions). Review Panels also summarised and communicated a range of feedback on proposals and advice for research projects. For example, detailed feedback on proposals submitted to the Employment Call was given (April, Sept 2013 RP Minutes) and later for on-going research (Sept 2016 minutes from the Forum r4d Employment).  Just under three-quarters of respondents (73%) agree or strongly agree that the combined scientific and development feedback by Panel members is valuable.

Review Panels did consider both scientific merit and development potential, but the data indicate that there was generally *some imbalance towards the science side in the reviews*. Minutes during the Panel meetings provide evidence that scientific and development value were both considered in selection process across all thematic modules, but scientific quality was core to panel deliberation and assumed a preeminent role. Often responsibility fell on the SDC member to advocate for development considerations and to represent SDC priorities. One SDC staff member said, "it was clear that I was the 'SDC' man, so I shouldn't be against certain things, and would need to raise objects or ask questions about others (in the defence of the SDC position), although it wasn't formally defined like this."

An external Review Panel member demonstrates the perceived research superiority within the panels: "In the panel almost everyone had a scientific background, so the science was considered more important, so the external development expert opinions were not always given the same weight…" However, in another Panel one very senior member felt that the right balance was found, "The truth is that there is something

in-between that you have to negotiate, you cannot wait for perfect science to make policy decisions, you make policy decisions in the light of scientific uncertainty… there is always that tension and I think this Programme overall has tried make some useful and innovative ways forward on that narrative of trying to navigate between the two." Although science initially took precedence, Review Panel Minutes demonstrate that most RPs did successfully work to integrate development aspects into decisions. The July 2015 Public Health Review Panel Minutes indicate ample discussion of development issues in proposals and feedback to all 3 funded teams to strengthen development aspects of their project. Food Security, Ecosystems, and Employment Review Panel Minutes document discussion of development aspect and Ecosystems (June 2014 Minutes) used it as a key criterion in decisions.

The more streamlined selection process used for Open Calls was appropriate, given the smaller budgets and generally less complex research team design. The diverse nature of the Open Calls created a challenge for Review Panel members that were sometimes asked to rank projects that were out of their respective areas of expertise. But given the smaller project size, the risks generated by this are unlikely to be serious. After project selection, RP involvement in projects was occasional (limited to a few projects where problems arose) so issues about responsibilities have not been raised as in the case with Thematic Modules.

But overall, stakeholders think that the processes followed in project review and selection in Calls were solid and fair, albeit heavy. One manager said "I think we took the process the way the National Foundation makes such processes … My personal experience is that it is quite a heavy process. On the other hand, gives probably maximum fairness to the subjectivity which is always there in review processes."

The 14-month process to complete (from Call launch through to funding decision) is reported by SNSF staff to be within the normal practice in Switzerland. Survey respondents concurred, 83% and 77% agreeing or strongly agreeing that the r4d Programme is efficiently planned and delivered, respectively. By way of comparison, a similar Canadian programme completed similar processes with higher submission levels in 11 months, but within a shorter programme funding length. The international partnerships in the larger Thematic Module projects can be quite complex; Open Module projects are smaller and normally involve less complex partnerships. SNSF can only send funding to Swiss organizations, so successful applicants need to set up their own collaborative arrangement to distribute funds. SNSF correctly provided grants administrative support (institutional visits and guidance) to Swiss organizations to train them in use of the partnering template, clarify its use and explain intent.

SNSF is pragmatically flexible, willing to accept a later start date in order to ensure an effective partnership. The r4d programme has a four-month target to complete grant administration processes and start projects (roughly equivalent to comparable programmes abroad). There were no substantial delays beyond the four-month target in the Thematic Modules, except for one exceptional case where a PI passed away. Open Call projects are more diverse (due to the number of projects) and there were two projects that experienced long delays.

In some modules, particularly the early Calls, available funding was not fully allocated. Panel minutes show that in Social Conflicts, 8.2M of projects were funded, leaving over 6M unallocated; Employment, 10.1M used for 3 projects, leaving over 4M unallocated; in Ecosystems, 9.5M was used for 3 projects. In February, five new projects were announced from an Additional Call designed to utilise unallocated funds. Only one Call had adequate numbers of pre-proposals of high quality (Food Security) and was able to select 5 projects and utilise available funds. Review Panels did not sacrifice standards in order to utilise available                                                                                               funding.

**Table xii.1 Strengths and weaknesses of review process and development balance**

| Strengths Review Process | |
|---|---|
| Programme | Strong support from Programme office to Review Panels, with one qualification that external reviews could have been processed and made available in a more expedient manner |
| Process | Solid selection process, albeit with a heavy workload in some cases |
| People | Review Panels are diverse, bringing in different viewpoints, and members are of very high quality and under the guidance of strong Panel Presidents, work together effectively |
| **Weakness Review Process** | |
| Programme | Possible lack of consistency between process implied by call document and actual process followed |
| Process | No consistent process to evaluate Review Panel member performance across all Modules, so there may be variations in effectiveness |
| Process | Large Review Panels for some Calls with low submission rates |
| People | Some differences in work and commitment to programme by Review Panel members |
| **Strengths Research/ Development Balance** | |
| Programme | Strategic intent to balance research and development aspects a strength of programme |
| Process | Panels worked together effectively and, despite some initial uncertainties, managed to arrive at a reasonable balance between the two aspects |
| People | Different people with different expertise, including field development practice |
| **Weakness Research/ Development Balance** | |
| Programme | At the start of the Programme a different understanding about how research works in practice between the two funding organizations (which improved over time) |
| Process | In most Panels, members tended to be biased towards scientific quality and struggled to incorporate development aspects |
| People | It usually fell on the SDC Panel member to actively review the development aspects and promote balance in decisions (fortunately most SDC staff did this effectively) |

**Table xii.2 Interview responses related to strengths of review process**

| STAKEHOLDER GROUP | QUOTE |
| --- | --- |
| Panel President | "For the reviews, everyone was very capable and very committed to analyse and to discuss the proposals." |
| Panel President | "It was good to involve a range of people from different contexts in the Panel but it is more practical to have people from the European region on the panel, getting together face-to-face is more manageable than Skype or telephone." |
| Panel President | "Selection process was very good, people worked together seriously and with high-level engagement, including colleagues from development community." |
| SDC | "I think we work very efficiently and high quality as a Panel when we get together." |
| Review Panel member | "Documents are received in time, follow up is rapid. Very well organised by the Programme office, which is 'really smooth functioning'. When you need something they are always doing the best that they can." |
| Review Panel member | "Social Conflict panel very good. Different people with different expertise. People from practice and others demanding strong research production. Range of disciplines." |
| Review Panel member | "But the SDC member on Panel was really involved and helped generate a better balance between research and development." |
| SNSF | "First evaluation Panel is not exactly the current Review Panel." |
| Review Panel member | "Within my Panel there is a good mix of people from academia, practice and private sector. Good balance of continents: Panel included people from the South, very much appreciated in order to have the opinion, knowledge and insight view of researchers or development experts that directly can understand obstacles and difficulties linked to project circumstances related to South partners." |
| Review Panel member | "Added costs for the r4d Programme to bring this diversity of people together (huge travel costs) are very valuable as it secures a very insightful view and understanding to upcoming obstacles link to South partnerships." |
| Review Panel member | "Good they balanced the Review Panels out and have not only the ivory tower academics." |

**Table xii.3 Interview responses related to weakness of review process**

| STAKEHOLDER GROUP | QUOTE |
| --- | --- |
| Steering Committee | "I think some Review Panels work well, but it is mainly linked to the persons that form the Review Panel. There are differences within the Modules – Thematic and Open – and I believe there is not a good monitoring system to assess the quality of the different Review Panel" |
| SNSF | "The workload was immense at the beginning of the Calls, as Review Panel members but also the Steering Committee had to evaluate all pre-proposals and later all project proposals. Hugh time effort and allocation of resources on Panel Member/Evaluation Members." |
| Panel President | "A few panel members had bees in their bonnets, e.g., one person wanted to check on gender issues in every dimension." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Panel President | "To what extent are policy-makers to take up the proposals … that are at the heart of the Programme. They looked at all perspectives but, if the research has not a good methodological approach it is not ethical to implement.  Good balance was found, but comes back to question to make sure that there is policy relevance. It was included in the grading and in the discussions we had SDC people on board. Recommendation from seemed to be different than the implied process from the call document." |
| Panel President | "I think that, if I look back, I would have appreciated the reviews coming in earlier. But more time to read and balance review prior to the panel meeting could improve the process. The Swiss could look at how other organizations manage this same issue to see if there are ways to ensure adequate time for panel members to reflect on other reviews." |
| SDC | In speaking about support to SDC members of Review Panels, one respondent said, "No, unfortunately there is not consistency between the workloads completed between different members of Review Panels. It depends on that person, on the importance that they put on the task, and its value added to the goals or expectations - their own priorities." |
| Review Panel member | "Very difficult to bring here both objectives together that the r4d Programme requires – development and academia. Rating scheme needs improvement to nuance better the various objectives of the r4d program. Review Panel members have difficulties here to clearly rate the projects." |

**Table xii.4 Interview responses related to strengths of research/ development balance**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| SDC | "The RP played a critical part in giving the guidance to align the researchers with actual development goals." |
| SNSF | "I found this a very interesting aspect of this Programme that these two criteria, relevance for development relevance and scientific quality are equally weighed both… From my point of view, I think this went pretty well." |
| Panel President | "I do think there were some tensions, but these were natural tensions they tended to be the tensions between people who were desperate for top quality research … with those who were more eager to get into the field. A creative tension to find the middle ground between purists on the science side and those that wanted to get the fieldwork going." |
| Panel President | "The truth is that there is something in-between that you have to negotiate, you cannot wait for perfect science to make policy decisions, you make policy decisions in the light of scientific uncertainty … there is always that tension and I think this Programme overall has tried make some useful and innovative ways forward on that narrative of trying to navigate between the two." |
| Review Panel member (Open Call) | "Here I do speak as Review Panel member in the Open Call Module… I think the responsibility is very high for each Review Panel Member and we have only limited time to provide high quality evaluation of pre-proposals." |

**Table xii.5 Interview responses related to weakness of research/development balance**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Panel President | "First, at the beginning balance always tended towards the research side when assessing proposals, but over time they became more comfortable and capable at adding a development perspective." |
| Panel President | "Second, in the Panel there seemed to initially be a different understanding between the science foundation and the development organization, in terms of understanding of how research works in practice, particularly the amount of time needed to carry out the research." |
| Panel President | "Selection process was not difficult, business as usual for most members of the Panel. More challenging was the discussion of balancing development/diffusion requirement with the research design (most members better at research design)." |
| SDC | "It depends on Panel, but some Panels the development focus was not taken into account. Scientific role was automatically stronger and strong arguments needed to sway to development focus." |
| SDC | "The Panel members function in decision-making, in our Panel it took the first meeting to define roles… It was clear that I was the 'SDC' man, so I shouldn't be against certain things, and would need to raise objects or ask questions about others (in the defence of the SDC position), although it wasn't formally defined like this." |
| Review Panel member | "In the Panel, almost everyone had a scientific background, so the science was considered more important, so the external development expert opinions were not always given the same weight. The non-academic opinions may have been regarded as 'less sophisticated' so the science ended up getting more weight. If good on science but bad in non-science it may still be selected, if weak in science but good in terms of development potential, there was no chance of approval." |
| SDC | "Disagreements between Review Panel members from SDC and SNSF around if projects had enough focus on the development side vs. the research side would often come up on a political level." |
| Review Panel member | "In my experience on Panel, academics are predominant. The poor guy from development agency reminds everyone that SDC provides 80% funding and it has to have application. I appreciate that. It is the more uncomfortable part. I am totally outside my comfort zone." |

**Table xii.6 Interview responses related to composition and expertise of review panels**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| SDC Stakeholder | "It depends on Panel, but some Panels, the development focus was not taken into account. Scientific role was automatically stronger and strong arguments needed to sway to development focus." |
| RP member TM | "In the Panel, almost everyone had a scientific background, so the science was considered more important, so the external development expert opinions were not always given the same weight. The non-academic opinions may have been regarded as 'less sophisticated' so the science ended up getting more weight. If good on science but bad in non-science it may still be selected, if weak in science but good in terms of development potential, there was no chance of approval." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| RP member OM | "Here I do speak as Review Panel member in the Open Call Module… I think the responsibility is very high for each Review Panel Member and we have only limited time to provide high quality evaluation of pre-proposals." |
| RP Member – External | "…Social Conflict Panel very good. Different people with different expertise. People from practice and others demanding strong research production. Range of disciplines. Several people left at the start because they could not find time to participate, but remaining panel was then quite effective." |
| Steering Committee Member | "I think some RP work well, but it is mainly linked to the persons that form the RP. There are differences within the Modules – Thematic and Open – and I believe there is not a good monitoring system to assess the quality of the different RP." |
| SDC Stakeholder | "No, unfortunately there is not consistency between the workloads completed between different members of Review Panels…It depends on that person, on the importance that they put on the task, and its value added to the goals or expectations - their own priorities." |

**Table xii.7 Survey responses related to combined scientific and development review**

| Combined scientific and development feedback provided by Panel Members | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| TM | 4 (7.1%) | 6 (10.7%) | 12 (21.4%) | 29 (51.8%) | 5 (8.9%) | 56 |
| OM | 0 (0.0%) | 0 (0.0%) | 2 (40.0%) | 1 (20.0%) | 2 (40.0%) | 5 |
| SC | 0 (0.0%) | 0 (0.0%) | 1 (12.5%) | 7 (87.5%) | 0 (0.0%) | 8 |
| FS | 0 (0.0%) | 2 (11.8%) | 5 (29.4%) | 10 (58.8%) | 0 (0.0%) | 17 |
| PH | 0 (0.0%) | 2 (25.0%) | 0 (0.0%) | 4 (50.0%) | 2 (25.0%) | 8 |
| EM | 4 (50.0%) | 1 (12.5%) | 0 (0.0%) | 3 (37.5%) | 0 (0.0%) | 8 |
| ES | 0 (0.0%) | 1 (6.7%) | 6 (40.0%) | 5 (33.3%) | 3 (20.0%) | 15 |

## Per Module

There is huge variation between perceived added value of combined scientific and development feedback provided by Panel Members *per Module*. These differences can be linked to the composition of the Review Panel – balance between scientific and development oriented members – and their involvement and assignment to the Evaluation Process.

# Appendix XIII  Overall Monitoring

**Table xiii.1 Survey results related to project-level monitoring**

Based on survey results, project-level monitoring is considered 'good value' by project proponents overall, at 75%, but also of little to no value for 12.4% of respondents. This suggests that additional guidance needs to be provided to Review Panel members with respect to improving the monitoring that they offer.

| | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Project-level monitoring overall by Panel Members | 4 (6.2%) | 4 (6.2%) | 20 (31.2%) | 28 (43.8%) | 8 (12.5%) | 64 |
| Feedback provided by Panel Members | 5 (7.8%) | 3 (4.7%) | 13 (20.3%) | 37 (57.8%) | 6 (9.4%) | 64 |

Based on more fine-tuned analysis of survey results, only 55% of PIs consider project-level monitoring 'good value'; while 25% see this as little to no value. By comparison, 80.7% of Co-PIs consider this 'good value', and only 7% see this as of little to no value. In part, this highlights the value of the site visits, where Co-PIs have particular experience of working with Review Panel members.

**Table xiii.2 Illustrative quotes for overall monitoring**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| PI | "Darn reports take too much time but they do work. They force you to reflect on where we are and where we have gone with the project and where we have to move forward." |
| PI | "This was information exchange with the members of the Programme. There is no critical evaluation at the MTR. We were more or less free to go further and finish the project." |
| RP Member | "Monitoring is adequate — two Panel members track each project and use the MTE to summarise progress." |
| RP Member | "The Programme needs to keep investing in this." |
| External RP Member | "Through the various instruments, there has been back and forth with projects that needed guidance and have had to respond to comments from Panel members. The Programme has put them on a better plane of trying to achieve impact." |
| External RP Member | "The process needs to be clearer: how does the project level need to comply or to answer to provided and given recommendations by the Review Panel?" |
| External RP Member | "Panel members need to wear two hats, advising project teams and also judging them at the time of their mid-term review. It is possible to do, and they did it, but it sometimes affected how project teams related to the panel member." |
| Project | "For me what could be improved is online tool – website. MySNF – not super user friendly. You |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Coordinator | manage your way but it is complicated and cumbersome to find where is what. It has its own logic." |
| Co-PI | "Reporting was helpful to re-think and re-frame the objectives of the research project" |
| Co-PI | "They are kind of a pressure. Pressure is sometimes good. One side they put some milestones. What I appreciate is that scientific committee visited us. Very helpful interaction. Site visit – they can better understand than measuring how many papers and so on. They conference is also good. The reports – they are absolutely necessary. We already have a lot of freedom compared to industry. We have to argue what is being done with the money. They also tried to make us think further than just report what we had done. They asked us what we had done and what are the new theories. The pressure allows us to evolve. Didn't feel it was overwhelming. I personally think it is absolutely okay for that amount of money." |

**Table xiii.3 Survey responses related to site visits**

Of 64 project proponent respondents, more than 28% indicated 'Do not know / No applicable' with respect to whether site visits are a valuable tool for helping PIs, Co-PIs and Coordinators realise their project objectives, given that they have not yet had site visits as part of evaluation processes. The remaining survey results point to a valuable tool, with 59.5% of respondents indicating good to high value, and 12.4% indicating low to no value.

| | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Site visits by Panel Members | 4 (6.2%) | 4 (6.2%) | 13 (20.3%) | 25 (39.1%) | 18 (28.1%) | 64 |

Interview respondents indicate that site visits are a privileged opportunity to engage with, and benefit from the experience of Review Panel Members. In some cases, this went very well and in a few select cases, it was quite problematic. A few notable points to recognise:

- There is some ambiguity around objectives and expectations of the site visits, for both Review Panel members and also project proponents.
- Proponents indicate that greater planning of the visits themselves and resources to support their planning and implementation would undoubtedly increase their value.

**Table xiii.4 Illustrative quotes related to site visits**

| STAKEHOLDER GROUP | QUOTE |
| --- | --- |
| PI | "It was very positive, good motivation for the project partners in the field. The Review Panel members (3 Panel Members: two academics, one SDC) and r4d Programme Coordinator were present. It was a very intensive time in the field. The Review Panel members were very interested and attentive to the project partners and the research work. There was good interaction among research team and Review Panel members, constructive input and valuable comments received during that field visit time." |
| RP Member | "Site visit gave a solid insight into where the project stands in terms of setting up the partnerships, methodological approach to bring the various projects together. Gives a strong idea of where the partnerships stand and the relevance on the ground." |
| RP Member | "Site visits are useful" |
| External RP Member | "Site visit was really, really good. Why did I like: we actually went to the site There were demos about the method. You can ask critical questions about the method, and try and think whether they will get what they are trying to get." |
| SNSF Stakeholder | "It should be clearly communicated what is the objective of the site visit, which roles should the RP members have, which room for manoeuvre is given to the RP, … Also, what should be communicated to the SNSF and r4d program and what is confidential between project partners and RP? How to openly communicate problems that exist in the field/projects to the r4d operational level?" |
| Co-PI | "Site Visits are interesting but could be used more efficient to really foster objectives of r4d if tasks and expectations would be defined at the beginning" |
| Co-PI | "Very very good experience as the learning and exchange is direct, immediate and understandings are improved. Review Panel does learn from the field, but also the opportunity to be in direct contact with the Review Panel Members is helpful for the local research team to challenge their research and improve it." |

**Table xiii.5 Survey responses related to MTEs**

MTEs are a useful tool in helping Panel Members to understand what projects are doing, so that they may provide input and guidance to projects to increase the likelihood of outcomes. MTEs are considered to be a valuable process, as part of the TM. While appreciated, there is widespread belief that the potential of the MTE is under-developed.

- For instance, project proponents would welcome a more rigorous, critical and engaging MTE rather than a formalistic process.

- There is also concern among Panel Members that an accountability mechanism is not in place to monitor if, and the extent to which, recommendations have been integrated into projects.

- There is interview evidence to suggest that OM project proponents would welcome a similar (if lighter type of process to inform their work).

| | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| Mid-Term Evaluations | 4 (6.2%) | 2 (3.1%) | 15 (23.4%) | 22 (34.4%) | 21 (32.8%) | 64 |

**Table xiii.6 Illustrative quotes related to MTE**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| PI | "I can't remember the MTE. We had to submit a report, financial and scientific. Never a big discussion with Programme leaders on outputs of the project. They said good, go for it. That could be good to have a more critical review." |
| External RP Member | "The MTE is very useful in helping Panel members understand what the projects were doing and guide the projects for outcomes." |
| External RP Member | "Very helpful, especially for the projects teams. It helped Panel members to see how far the projects had gotten. Tension was created though: would projects receive approval for the second stage?" |
| External RP Member | "Mid Term Evaluation results and recommendation were not taken up by the project team and the team decided very freely what and how they understand the Mid-Term Evaluation. Mid-Term evaluation process needs to be clearer of how binding recommendation of the Review Panel are and how relevant the Mid-Term Evaluation finally is." |

**Table xiii.7 Survey responses related to r4d Forum**

- A valuable tool for promoting research and development exchange across multiple stakeholder ground.
- Enables "Module-level thinking".

| | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| r4d Forum | 2 (3.1%) | 6 (9.4%) | 14 (21.9%) | 22 (34.4%) | 20 (31.2%) | 64 |

**Table xiii.8 Illustrative quotes related to r4d Forum**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| PI | "The most important thing was to learn more about other projects, especially those in the same Module … To exchange, discuss potential points of contact." |
| External RP Member | It was interesting. Forum was nice in that there was interaction and it was a very creative and well-designed process. It was very interesting. Allowed for interaction across different projects in the Programme." |
| External RP Member | "Useful, Valuable." |
| SNSF Stakeholder | "Very important in order to bring projects from the Module together and think as a Module" |
| Project Coordinator | "The most important thing was to learn more about other projects, especially those in the same module / research. To exchange, discuss potential points of contact." |
| Co-PI | "Very informative and interesting to meet other r4d Programme members and research teams. Good learning experience and valuable to learn from other r4d research teams and their experiences with the r4d Program but also working in North-South teams. The Forum was really good in order to start conversations with other researchers beyond our own research work… in this way I learnt a lot on other development issues and on-going debates and discourses beyond my own field" |
| Co-PI | "The project people supported the r4d program to bring and invite Policy people. The SDC was not really involved and supportive to bring in relevant people in order to network researchers to the policy and development field." |

**Table xiii.9 Survey responses related to r4d Skills**

- Particularly valuable for young and mid-career researchers, and those with little "development" experience (e.g. Results Framework, Logframe, Theory of Change).
- Too little consultation on needs of researchers.
- Missed opportunity to support project partnership and capacity-building across project teams, with only Swiss-based researchers eligible for participation.

| | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| r4d Skills | 3 (4.7%) | 5 (7.8%) | 18 (28.1%) | 16 (25.0%) | 22 (34.4%) | 64 |

**Table xiii.10 Illustrative quotes related to r4d Skills**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| PI | "R4d is trying to create opportunity but they should have consulted us in the first place, of our needs. It is much easier to organise own workshops…. If they asked us, we could have worked on the workshop together." |
| PI | "Could see that one could provide more. Specifically thinking of two things: 1) someone who was new to r4d, I did not know what a Results Framework, Logframe, Theory of Change…. I was making that up as I was going. This is all internally circulating stuff in the development community. It was mystical stuff. I would have loved to get a little workshop on what this is, what it means. Four years later, I can do a Logframe and Theory of Change, but don't know what they are. From a scholarly perspective, it was mystifying; 2) Training on academic writing for people in the project… I am sure there would be a big demand." |
| PI | "Participating in two of these. One was on culture and interdisciplinary research, the other was on communication and data exchange. Very very good. It came a late little. It was after closing the Programme. It would be good to organise in first year so we can use in the project. It was definitely big use." |
| Project Coordinator | "It only takes place in Switzerland, as funding for research partners that are mainly outside of Switzerland is not secured, it does not improve or support the capacity building nor the partnership equality." |
| Project Coordinator | "Unequal access to capacity building instruments (r4d forum, r4d skills, r4d conference). Instruments should be funded regionally in order to reduce costs for researchers from the South and it will be made accessible." |
| Project Coordinator | "Trained in cross-cultural communication, and another for coordinators specifically. Overall the opportunities are great, the cross-cultural communication skill training was so-so, it wasn't as useful as hoped. Heard that others had positive reviews, such as one on data storage and sharing. Coordinator exchange skill workshop was great, could talk about issues in daily work etc." |

**Table xiii.11 Survey responses related to r4d Conference**

- Good opportunity for researchers to meet one another across projects, given that there has been little opportunity for inter-project engagement, especially beyond Module level, which has been identified as desirable by project proponents.
- Allows for network building across research and development.
- Allows sharing research findings to date.
- More developing county participation seen as desirable.

**Table xiii.12 Illustrative quote related to r4d Conference**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| PI | "I appreciate the effort to bring the community together. SNSF is learning" |

# Appendix XIV  Project Management

**Exhibit xiv.1 Analysis related to project and life-time management**

The long timeframe for projects (six years for projects that continue) is appreciated by researchers because it allows them to staff a research team correctly and invest energy and resources in ensuring solid research before turning to policy and uptake issues. However, a transition to policy and uptake needs to be a priority in the second half of on-going Thematic projects for the programme to achieve its potential.

R4d projects are regarded as complex to administer by some grantees. Multi-country research partnership set-ups are taxing on research administrators in the researchers' organizations and there are some complaints that the project rules do not allow for sufficient overhead or indirect cost recovery to cover real costs incurred.  Even for the simpler Open Call set-ups (only a North-South partnership, smaller budgets) financial reporting can be burdensome. However, only a limited number of comments about administration complexity were received so this may not be a generalised finding.

Participation in r4d was viewed by the Panel members themselves, particularly in the early stages, as having a lack of clarity in their roles and the time commitments needed. Panel members were informed that their roles were more extensive than just project selection, normally in their second meeting, and told that Management Principles were also being drafted (e.g., Ecosystem RP Minutes, June 2014; Food Security RP Minutes, July 2014). The Management Principles were not finalised until May 2015, but are clear, detailed and consistent with good practices. A Review Panel member said: "One difficulty of the multiplicity of roles is that some of the Review Panel members were not aware of the workload of a member, probably because they've been defined along the way ... In our Panel, one person had to withdraw because the workload was too high." Minutes for all Review Panels indicate that members were generally able to adapt to the more expansive responsibilities and that turnover incidence was limited (e.g., several people, including the Panel President in Food Security). A role for Review Panels that is explained in the Management Principles and not yet completed will be to actively support SNSF coordinators by contributing to Module Reports and in other synthesis activities.

Life-time management by the Review Panels, when it is done well and it usually is, is broadly perceived by Panel members themselves and project teams as positive, objective and helpful. The interview comments are backed up by positive support in the survey. It has helped projects tighten their methodology and better integrated development outcomes.  But this is not always true. In several cases there are complaints and in one case, there is a significant conflict between the Review Panel peers and the project team. Open Call researchers lament the fact that they do not receive similar Peer support from their Review Panels.

Panel members were not always fully clear on the objective of site visits, the level of confidentiality of researcher-Review Panel interaction and what could be reported to r4d programme management and, as one member said, their "room for manoeuvre" to guide projects. For instance, a Panel member in one Module commented about resistance at a public forum, for example, where people felt that they were being held to account. In another Module, there is one project with considerable disaccord between the Panel peers and the research team.  One researcher commented, "Many times, we had misunderstandings based on different ideological understandings, on which methods we are using, the approach we are using. That is extremely frustrating". Survey data indicate that there is some

ambivalence about the on-going influence of Review Panels on their research. Only 59% and 58% respectively valued the site visits and Mid-Term Evaluations with high scores of 3 or 4 but there were high numbers of "do not know / not applicable" (28% and 32%), indicating that these activities have not occurred or results have not yet been shared within research teams.

A number of comments, from both Panel members and researchers, point to the awkwardness or inconsistency of mixed roles for Review Panel Peers. One panel member said, "My opinion is: projects should comply with the recommendations that are given from the Review Panel."

There is no clear mechanism for incorporating emerging research results into SDC development programming. If the r4d Programme is to reach its potential then stronger and more dynamic linkages between research teams and SDC development programming need to be constructed.

| Strengths Project Management | |
|---|---|
| Programme | The six-year duration of Thematic Module projects allow time to correctly staff a research team, do good science and move into development outcomes |
| Programme | SDC/SNSF working together can help research be more relevant to policy makers, so that more than just academic outputs are produced |
| Process | South-south partnerships contribute to learning |
| **Weaknesses Project Management** | |
| Programme | Some PIs believe there is complex, labour-intensive financial management which some researchers perceive to be insufficient overhead or cost recovery, in both Thematic Modules and Open Calls (but possibly isolated complaints) |
| Programme | Open Call projects were initially too short, especially to allow graduate students to finish |
| Process | Few projects have yet made the transition to policy and development uptake and this needs to occur in the second phase of projects |
| **Strengths Lifetime Management** | |
| Programme | Management Principles incorporate the broader expectations for Panel Members |
| Process | Many (but not all) projects interviewed reported favourably on the peer support that they received constructive support and useful recommendations, which is backed up by survey results |
| People | Despite lack of clarity on life-time management roles at the start, most (but not all) RP members have bought into the process, accepted the additional responsibilities and contributed effectively |
| **Weaknesses Lifetime Management** | |
| Programme | Open Call project teams do not receive the same peer guidance process as Thematic Call projects |
| Process | Mechanisms for research results to be reviewed and incorporated into SDC programming have not been developed, which is a missed opportunity |

| Process | Work load for Review Panel members might be reviewed, particularly finding ways to combine activities for progress report, site visit and Mid-Term evaluations |
|---------|---------------------------------------------------------------------------------------------------------------|
| Process | Transiting from project selection process to peer support and also continued funding decisions may be somewhat incompatible |
| People | Several Review Panel Peers appear to have had difficulty in navigating the changing roles, leading to conflict with researchers (although an isolated occurrence) |

**Table xiv.1 Illustrative quotes related to strengths and weaknesses of project management**

| STAKEHOLDER GROUP | QUOTE |
|-------------------|-------|
| **STRENGTHS** | |
| Not Given | "Very rewarding to see progress and the transnational exchange between South-South partners." |
| Swiss PI | "South-South partnerships improve and the learning curve among partners is increasing, especially when they visit each other within their countries and learn from within." |
| SDC | "The long-term (life-time) management approach creates greater ownership from people at SDC, because you have at least one person from SDC on the review panel and they continue to follow through with the project, we hope it create greater understanding and ownership of the project." |
| RP member | "Because there was quite a bit of overlap between the ecosystems people and the food policy group, they were brought together for a policy meeting and this was very good." |
| RP member | "The importance of combining SDC and SNSF to make research relevant for policy makers, especially for the area of public health … is extremely important." |
| Co-PI | "I think it is very good, as it helps to really focus on Impact and not only on academic output that is mainly writing papers, giving talks at conferences, etc. I think it is very good and important." |
| Co-PI | "What I like is that duration – 6 years. There is no excuse. The problem is that projects are usually not aligned to anything. In 3 years, you can't even do science, let alone development. When you have 6 years you can align science and development." |
| Co-PI | "Five years allows you to hire people and give them security. If you have new project every 3 years, it takes time for people to get to know the project." |
| **WEAKENSSES** | |
| PI | "Very intensive, very demanding… steering intensity high because of the involvement of very diverse partners and countries with different settings (political, research quality, etc.)." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| PI | Paraphrased: One big difference – no overhead being paid through r4d. We are subsidizing it to some extent. If I think about it, my own time is totally uncompensated. The time of our accountants and so on. And it is labour intensive. We are also accounting for partners in the south. We move it on to Berne. It is a different accounting system than the regular NSF accounting system, there is a separate expertise. We are paying for an account at the gender centre. The administration is more extensive - no question about it. The communication to keep the team on the same wavelength takes time. There is more reporting. If I get a NSF grant, I report at the end of 4 years. Here is report every half year. There is writing and thinking and data to be done. 3 years project. At the end we had to apply for elongation for 6 months. |
| PI Open Call | "Too short – 3 years. We should have applied for longer. Such projects should be between 3-5 years." |
| PI Open Call | "One difficulty – to provide financial report on time for an Open Call project. It requires very detailed financial report. Difficult to get all documents in due time. Sometimes they need receipt for 3 dollars for taxi. We had a huge report. How to manage this financial report? There is also pressure in Switzerland to make sure money is used for the projects, but we should find a compromise. It was time consuming for me and my colleagues – had to check expenses from 4 universities. We had none with that experience." |
| Project Coordinator | "It is time consuming. The Coordinator role – I had 25% role. But this is not enough to coordinate such a large research project. Have to do contracts, financial manuals, content, local partners." |

**Table xiv.2 Illustrative quotes related to strengths and weaknesses of lifetime management**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **STRENGTHS** | |
| Review Panel member | "Steering is very strong and very different to other programme, you normally don't have a programme officer and Panel member associated for 6 years. It makes project leaders uncomfortable early on. But that is the characteristic of the Programme. It is a different model. But I am not sure what the outcome will be – better output? Good experiment for that." |
| Panel President | "Most colleagues bought into the process of accompanying the projects, most have become 'part of the research process itself' although they do not do research per se." |
| SNSF Member | "A Review Panel Member is expected to bring in more than just research knowledge but to be intellectually and personally linked with the assigned project.  Idea is a peering system between Review Panel member and research project in order to steer, inform and provide necessary networks (within academia and development sector) to the project partners." |
| Project coordinator | "Had adequate access to the Review Panel members, but an appropriate distance was kept between them to avoid conflicts of interest, received good input formally and informally." |
| Project coordinator | "Play an important role providing very valuable feedback that has enriched their discussions and aided the overall project design." |
| Project coordinator | "Excellent opportunity to exchange in detail with the Panel during the site visit, which was 4-5 working days with the Panel to present and answer specific questions." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Review Panel member (SDC and SNSF) | "The system overall is very well structured, and the godmother/father system of having 2 members work on it for 6 years was very good. The structure of having a development / scientific person worked well… With the established godmother/father system, Review Panel members gain some responsibility or ownership of the project making them more involved, and in a process going on for 3 or 4 years." |
| Review Panel Member (SDC and SNSF) | "The Review Panel played a critical part in giving the guidance to align the researchers with actual development goals." |
| Review Panel member (SDC and SNSF) | "Strength of the Review Panel is that we're really involved 'being a godfather', and we select the projects ourselves… Being involved gives us proximity, and they are meaningful and close to our hearts and we want them to be meaningful, and have visibility in-house." |
| Panel President | "But I am quite excited about the synthesis function, but it is new and still developing … I wonder how it will evolve over time." |
| Co-PI | I know they were supposed to advise and accompany us. And were to review more formally. We were happy to have them, they belong to two disciplines. Complement each other. I found them constructive." |
| Co-PI | "In our case the Review Panel performed very effectively and well… Our Review Panel Members were very helpful and effective in order to facilitate the process of the research and to bring results into relevant users/stakeholders." |
| Co-PI | "They were objective." |
| Co-PI | "Depends on who you get. We were very lucky. They took it extremely seriously. They worked a lot. It was good that they came on site. Often you don't have that. They were very concerned about how it worked. It was very good they come on site and try and understand. They took it very seriously." |
| Review Panel member | "Professionally done. They review projects. Once the projects are commissioned, they become mentors and now involved in MTE. Worked well. Because members really understand the project." |
| **WEAKNESSES** | |
| SNSF | "I would like the Review Members being more involved with the research projects, but so far the Open Call Module does not involve much steering with regard to projects." |
| Not Given | "Value of the Panel is constrained by the limited amount of opportunities to engage with them, spend time with them and hear their feedback. Not enough time with the panels, couldn't explain their research let alone listen to all the questions the research panel had for them." |
| Project coordinator (Open Call) | "Because the exchange with them is so valuable, there should be more time given to these discussions." |
| SDC | "…the idea of the program is that the communication is in some way working into the work of the SDC person, and for that you need the person to know not only their own field of their projects, but of all the projects, and this is not yet functioning." |
| Review Panel Member (SDC and SNSF) | "One difficulty of the multiplicity of roles is that some of the Review Panel members were not aware of the workload, probably because they've been defined along the way… In our panel, one person had to withdraw because the workload was too high." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Panel President | One respondent wondered sometimes whether it was efficient for the programme to move too quickly into the monitoring role in the first phase of projects. "I wondered whether we couldn't just consolidate the review and Mid-Term Evaluation into one … that is a question in my mind." |
| PI | "Depends on reviewers. We have two well-meaning reviewers. One reviewer does not understand inter and trans disciplinary approach. We spend a lot of time educating him on the approach – not a good use of time." |
| Review Panel member | "Resistance at the public … forum, for example, where people felt that they were being held to account. Have to get used to selection process and then later guidance of project, perhaps a little inconsistent." |
| PI | "Awkward: the experts who are assigned to us, are also evaluating. When we have site visit, it is also evaluation visit (they are not supposed to be). In the first three years, the evaluation is awkward. There is a mixing of roles." |
| PI (Open Call) | "Hard time answering. Just not been part of that. We have not interacted with Review Panels that much." |
| PI (Open Call) | "I couldn't say that I have been in touch with the Review Panel members. I just remember meeting when the projects were presented." |
| Co-PI (Open Call) | "We had no interaction with the Review Panel Member. Also, there was not site-visit to *country name withheld*." |
| PI | "Idea is good but the value within the r4d Programme is limited as the SDC and development partners were mainly invisible." |
| Co-PI | "Varies and very dependent on the person. Commitment is different from person to person and difficult to give a general answer." |
| Review Panel member | "The Panel is very gender unbalanced." |
| Review Panel member | "R4d Programme does understand the Review Panel as an advisory board, however he personally does understand (and also other Review Panel members of his Panel) the Panel as a peer-review group and therefore the project team should comply or at least explain and debate provided recommendation." |
| Review Panel member | "My opinion is: projects should comply with the recommendations that are given from the Review Panel. Here is a clear misunderstanding within the r4d programme. It is not defined and communicated well from the programme level to the project level…. I would understand the process like a peer-review process in academic journal. The author needs to comply with the recommendations provided." |
| Project coordinator | "The idea of having a variety of people/experts from various field in the Review Panel is good, is important BUT the assigned Review Panel members to specific research teams need to have the qualification, competency and knowledge of the research project. Panel Members should not re-define the content of the project." |
| Project coordinator | "If the Review Panel cannot understand or respect the objectives, approaches and team composition of a research proposal – 90% economist in the research team – then they should have not funded the project from the beginning…. And then try to change the project in the middle of the road." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| Project coordinator | "In our Review Panel were one person from SDC and one person from SECO but they did never come to any of the organised events."  "Again, I repeat myself: the set-up is good, the idea is well thought through, but the implementation is weak and lacking." |
| Co-PI | "Review Panel was really biased, were useless and not helpful… You need to talk with researchers about their project/topic but cannot change their projects or what they should work on… Then you need to apply for funding." |
| Co-PI | "Very constructive comments of both Review Panel Members (development and academia) in order to redefine the research to have a more concrete development oriented output The Review Panel pushed the research team with very helpful comments to think forward to produce innovative solutions—helped to improve the overall outcome definition." |
| Co-PI | "Not more supervision but more engagement is necessary. E.g.: if I as a PI call a workshop with stakeholders in Switzerland, my response will be low. If a funding agency invites, response is much higher." |
| Steering Committee | "No, unfortunately there is not consistency between the workloads completed between different members of Review Panels… It depends on that person, on the importance that they put on the task, and its value added to the goals or expectations - their own priorities." |
| Steering Committee | "The idea of the Programme is that the communication is in some way working into the work of the SDC person, and for that you need the person to know not only their own field or their projects, but of all the projects, and this is not yet functioning." |
| SDC | "SNSF briefed the Review Panels. However, the SDC Research Desk should have been involved in the briefing. Some information did not get through. SDC folks not involved in the framing and designing of the briefings of the Review Panels." |

# Appendix XV  Governance and Management

**Exhibit xv.1 Governance structure and management**

The governance structure is typical and appropriate for a co-funded programme like this, with a steering committee equally representing both organizations. The organigramme outlines clear strategic and operational components. The r4d Steering Committee (SteCo) is comprised of three staff members from each organization and responsible for strategic oversight of the Programme. It is supported by the Advisory Panel, comprised of the six Review Panel Presidents. The Advisory Panel provides an appropriate mechanism for channelling information about Modules upward (via the Advisory Panel.) The SteCo provides collaborative decision making between the two funding organizations.

The strong bottom-up basic research tradition at SNSF had to be reconciled from the start with an equally strong but different SDC tradition in targeted/directed programming. A number of respondents noted that the SDC and SNSF partnership has steadily strengthened since the r4d Programme was first set up. Shifting r4d operational responsibility and management to the SNFS Division IV – Programmes tapped into its expertise and experience in managing Thematic Call programmes, strengthening the partnership. One respondent said: "The problem is that both partners never clearly defined what was expected from each other, it was never articulated. There appear to be institutional inconsistencies between managers in the r4d Programme on the SDC side, some are supportive, some which are less supportive. But there is agreement across the two organizations that now there is much more real ownership between both on meeting the objectives of the Programme. And that the working relationship is now much stronger."

Some observers believe there is no division of labour in implementation. The SNSF has the responsibility and resources and almost all day-to-day work is done by their staff. Despite not often receiving sufficient time and support from their supervisors, SDC members contributed with distinction on RP's, often working outside of normal workdays to complete their reviews. The evaluation team finds that the r4d Programme is effective in its' programmatic administration. The team is relatively small for a programme of this size and complexity. Stakeholders feel that the r4d Programme is efficiently planned and delivered (83% and 77% of survey respondents rated it a 3 or 4), supported by very positive open-ended comments on the planning and delivery of the Programme management such as "flexible, responsive management" and "well-organised and reliable support by the coordinating position."

While SDC staff indicate their interest and motivation, some claim to have inadequate time to contribute as they would like (e.g., several mentioned that they needed to use personal time to complete proposal reviews). Other than participation in project selection, the Programme has not effectively utilised SDC's experience and capacity in development uptake. This lack of contribution from the SDC is apparent to researchers, some of whom mistakenly perceive the SDC as having a lack of interest in projects altogether. Thematic Module projects are maturing and beginning to generate research results, which can be used to inform development programming. The r4d Programme can only reach its' full potential with active SDC collaboration to help researchers ensure development relevance, otherwise *the respective strengths of the SDC and SNSF may not be utilised*. As one SDC staff member put it, "the idea of the Programme is that the communication is in some way working into the work of the SDC person, and for that you need the person to know not only their own field of their projects, but of all the projects, and this is not yet functioning."  Innovative ways to build links between research findings and development programming beyond those SDC staff directly assigned to the r4d Programme, need to be found. However, it is not reaching its' full potential due to lack of dedicated staff and resource-based commitments. Without these

commitments*, the respective strengths of the SDC and SNSF may not be utilised*, and there are inequalities between the two.

The new and as of yet not fully defined "synthesis component" will likely be very important for sharing research findings with SDC. But the evaluation team warns that effective research synthesis across highly dissimilar research projects (as is the case in the r4d Programme) is very difficult to achieve so both organizations will need to invest time and energy into ensuring that the synthesis activities are well designed and capable of generating results that are useful (and used). There is a recognition that SNSF also needs to be more proactive in finding other ways to involve SDC, to involve more people into the Programme to help on the synthesis activities, but also on uptake of research into development programming.

| Strengths Management | |
|---|---|
| Programme | Thematic calls are linked to SDC Divisions, E.g. the Open Call on Governance was suggested by the SDC Policy Division |
| Process | The operational level is running very well, it has been adjusted and redefined, with calls processed smoothly and expediently |
| Process | Although initially lacking some clarity, guidelines and expectations were clearly defined early in implementation |
| People | Involved r4d personal and themes are clearly linked to their field of expertise |
| People | Small efficient and effective team in SNSF |
| People | Staffing changes in SNSF after Programme initiation strengthened delivery |
| **Weaknesses Management** | |
| Programme | The r4d Programme did not begin with a high level strategic plan, however over time strategies on various levels (programme, module) have developed |
| Process | More resources (HR) needed to ensure uptake of results. |
| Process | Support from managers needed for more SDC staff time allocation to r4d Programme |
| **Strengths Governance** | |
| Programme | Governance set-up is appropriate for a co-funded Programme of this type |
| Process | SDC/SNSF partnership has steadily improved over time |
| **Weaknesses Governance** | |
| Programme | Initial lack of clarity on where to place r4d Programme in SNSF was a cause if difficulties in early phase of r4d |
| Process | Partnership not fully a partnership: SNSF regarded as a doer, SDC as a funder |
| People | SDC could better optimise role in Steering Committee by including more high-level managers in their 3 delegates |

**Table xv.1 Illustrative quotes related to management and governance**

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| **MANAGEMENT: STRENGTHS** | |
| Steering Committee | "Through clearer guidelines and formulation of expectations towards concrete research projects, the quality of research within the last Calls has improved." |
| Review Panel member | "Tried to be fully transparent with any changes and issues, having the support of [Programme Coordinators] was crucial…" |
| **MANAGEMENT: WEAKNESSES** | |
| Programme Management | "SDC has a specific role to play also. Not only to look at what research projects are doing but also noting the interesting things that might come out of these projects, for SDC and also for other agencies working in international cooperation". |
| SDC | "For people like me that sit on a Panel the resources that we have apportioned for the task is not what I would expect is needed." |
| SDC | "Appears to be institutional inconsistencies between managers in the r4d Programme on the SDC side, some are supportive, some aren't." |
| SDC | "it is a partnership but implementing responsibilities is by the SNSF." |
| **GOVERNANCE: STRENGTHS** | |
| Steering committee | "SDC and SNSF partnership has improved since the r4d Programme started and was set up." |
| Review Panel Member SDC and SNFC Delegates | "The governance of the program clearly shows, that two worlds of management understanding come together." |
| Review Panel Member (SDC and SNFC Delegates) | "The problem is that both partners never clearly defined what is expected from each other, it was never articulated." |
| SNSF | "Steering committee is well set up." |
| **GOVERNANCE: WEAKNESSES** | |
| SDC | "Within SDC there are clearly two groups and opinions towards the r4d Programme, which also reflects the allocation of time for the program. People do not favour research for development, as research does not bring added value to development work. People who do favour research, as they see a hug potential on cross-learning and knowledge creation." |
| SDC | "in the terms of the way it is laid out, it would perhaps have made more sense to anchor the program in the programmes division, who has an understanding of what a research programme is, from both the bottom and the top." |
| SDC | "…if I had to design the program right now, I would design it the same way, and I see it difficult to have consistence between the SDC and SNSF, right now I have a dual role, and it's not optimal… It would be better if I had more people from SDC. SNSF if clear, they have 3 people in the committee and 3 people in management, SDC being very honest – you have one person in the steering committee, one person in management and 2 conditional colleagues from SDC that are physically there (at SNSF)." |

| STAKEHOLDER GROUP | QUOTE |
|---|---|
| SDC | "Since end 2015/early 2016, SNSF coordination of the r4d Programme moved to Programmes Division from the IC. This is much better, it made things easier. This also reflected a change in SNSF leadership and staff." |
| SDC | "The beginning of the Programme had a lot of difficulty. There were cultural problems; we really had to find ourselves." |
| SDC | "This is a learning process for SDC and SNSF. This was a joint programme, but with SDC more at a strategic level and with SNSF as the implementer. This did not reflect the SNSF idea of the whole thing. It started with coordination at IC, which did not share the spirit of interdisciplinary applied research. It was a struggle earlier on to get the concept across." |
| SDC | "Cannot judge what's going on from the top. But can say that the resources that he was putting in weren't being acknowledged by the SDC as an institution, e.g. if he has to read 3x60 page documents /proposals, it's not taken seriously, 'read it at home'. His performance at the end of the year isn't evaluated based on the work he puts into his role in the Panel." |
| SNSF | "The division of labour is clear: SDC tells SNSF what to do and clearly conditionalises the Calls through provided themes, but managing of the Programme is done within the SNSF." |
| SNSF | "SDC sets out clear outlines and expectations on partnership and quality of the Programme but if it comes down to everyday work packages, most of the work load is left to the SNSF." |

# Appendix XVI  Methodology

## Objectives and Overall Approach

The formal and specific objectives of the MTR have been defined as follows:

- To assess the progress of the Swiss Programme for Research on Global Issues for Development (r4d programme) against the specific objectives defined in the r4d Programme Results Framework and to identify enabling and hindering factors which have affected the achievement of the set objectives. The MTR focuses on the output and outcome levels (effectiveness).

- To appraise the Programme's management and organisational arrangements, including structure and processes (efficiency).

Adding to, and informing these objectives with insights derived from Inception Phase activities, we understood this assignment as essentially **a mid-term, formative review of the effectiveness and efficiency** of the r4d Programme, with a secondary focus on programme relevance to the diversity of programme stakeholders. As such, it has examined progress, and assessed if, and the extent to which the Programme is on track to meet its objectives, notably in terms of Programme effectiveness at output and outcome level, as per the r4d Programme Results Framework. Notable attention has been brought to **identifying and weighing the enabling and hindering factors** of the Programme's effectiveness and efficiency.

On the matter of efficiency, the MTR has entailed looking at **the Programme's management and organisational arrangements**, as well as Programme structures and processes. This included a consideration of the different roles and responsibilities of the SNSF and SDC, as well as the many unique features of the work of the Review Panels. The differences, as well as **complementarities and synergies of the different types of Calls for Proposals** (thematic vs. open) have been brought to light. The added value of the life-time management of r4d projects has been examined as compared with basic research projects, assessing the added-value of the "steering intensity" offered to r4d thematic projects in particular.

The mandate has drawn on both data tracked and provided by the r4d Programme as well as that which has been generated by the MTR team. At this point in the Programme's trajectory, it is **too early to assess the impact of the Programme per se**, though our team has considered the enabling and hindering factors, as per the TOR. While sustainability is also not a key evaluation criterion in the TOR, **the likelihood of sustainability** has been identified as a matter which was considered lightly as part of this Review. Thus, it has been examined as the enhancement of research and network capacities for the production of quality research, as well as favouring uptake and scaling-up. We have adopted a particular focus on the **M&E approach and system as well as communication dimensions** of the Programme.

Overall, the MTR was mandated to provide guidance to the r4d Programme, **to inform management and to advise if a change of course is required** to more effectively and efficiently favour the Programme's success. The review has **brought to light lessons learned** from the phase under review, and also has made them available to both SDC and SNSF towards informing the remainder of the r4d Programme and R4D programming more broadly.

## Key Changes to the Evaluation Methodology

Based on discussions undertaken with SDC and SNSF during the Inception Phase, key changes to the evaluation methodology as compared with our proposal have been the following:

- Online Survey:
  - The online survey was administered to Project Coordinators as well as to Principal Investigators (PIs – Swiss) and Co-PIs (Developing country partners).
  - The survey was designed such that reports were disaggregated by Thematic Module Projects as well as Open Module Projects from Call 1 (OC1) and Call 2 (OC2). There will be no way to identify responses for individual Projects through the reports.

- Sampling – Stakeholders: The sampling of stakeholders has been revised in a number of ways: an additional set of interviews have been carried out with Project Coordinators and External Review Panel Members. The numbers of interviews per category of stakeholders has been modified based on our better understanding of the r4d Programme.

- Sampling – Projects: One additional Open Call Project has been included in the same, towards favouring greater insights derived from any comparative analysis undertaken between Thematic Calls and Open Calls.

- The evaluation matrix has been revised and updated, to draw on the range of interviews conducted during the MTR team's inception mission in Switzerland.

There are no additional significant changes to the evaluation methodology.

## Overall Approach to the Assignment

Guided by OECD-DAC Evaluation Standards,[xxix] the design and conduct of the MTR has been **utilisation-focused** and **participatory**, and using a **mixed-methods** approach with the objective of providing an overall understanding of progress made on outputs and outcomes as per the Results Framework, as well as lessons learned to improve the r4d Programme through the 2017-2021 period.

**Utilisation-Focused Evaluation (UFE):** Given the primarily formative as well as learning and decision-making orientation of the MTR, we have adopted a UFE framework, which is a widely known approach developed by Patton (2008).[xxx] Within the UFE framework, the main objective of the MTR is to be useful to its intended users in terms of providing learning, informing decision-making, and improving performance. Thus, the team has conducted the MTR according to the different uses and users identified.

**Participatory evaluation:** The team has worked closely with the MTR Core Team throughout this mandate. The team has engaged with the SDC, SNSF, Review Panel members, researchers and research users. Drawing on a variety of methods, the MTR Team has enabled an internal reflection amongst key and diverse stakeholders of the Programme, and provided our expert assessment of the work, structures and processes underway. Pursuing such a participatory methodology has had the intention to promote both a sense of ownership and trust in the review, its findings and recommendations.

## Mixed-Method Approach

The MTR is complex and thus has required a series of methods tailored to the task given. Given the range of progress made on different Programme modules and of their funding projects, different methods have been used to ensure that our findings are robust, rooted in quantitative and qualitative techniques allowing for triangulated analysis. Universalia has extensive experience using a specialised database

management system that facilitates the triangulated analysis. Overall, the mixed-methods approach we have used favours reliable conclusions, relevant lessons learned, and useable recommendations. The mixed-methods approach is detailed in Table xvi.1, as specifically related to the purpose and process of the MTR.

**Table xvi.1 Mixed-Methods**

| METHOD | OBJECTIVE AND CONTENT |
|---|---|
| **Inception Phase** | |
| Kick-off meeting | A one-day kick-off meeting was undertaken with the MTR Core Team in Bern, for the purposes of informing and refining the evaluation scope and methodology. |
| Preliminary consultations | The views of key stakeholders from SDC, SNSF, r4d staff and Review Panel members were elicited on the evaluation purpose, uses, and credibility. Preliminary insights were also gathered on some evaluation questions. The development of a full list of stakeholders was initiated at this time. |
| Preliminary desk review | The team reviewed the body of documentation provided by the MTR Core Team to assess the quantity and quality of data available, identify gaps, sources and methods to fill them up. Documentation was provided to the evaluation team during the course of the assignment. |
| Stakeholder 'mapping' and purposeful sampling | With data collection in mind, stakeholders were identified as per their diversity, roles, representation, and location. 'Mapping' has informed the sampling strategy and finalisation of the review matrix. The sampling was applied to the modules, projects and stakeholders to ensure an appropriate and useful representation. |
| Review matrix | Building on the continued exchange with the MTR Core Team as well as consultations with SDC and SNSF stakeholders, the evaluation matrix for this review was finalised and included in this Final Report. The evaluation matrix includes key questions, sub-questions, indicators (rubrics) and data sources. Data collection and analysis tools were finalised following evaluation matrix approval by the MTR Core Team. |
| Inception Report | The Inception Report was finalised, including revised: purpose, scope, methodology, sampling (modules, projects, key informants), evaluation matrix, and work plan. |
| **Data collection Phase** | |
| Finalised tools | Approval of the evaluation matrix specifically, and the Inception Report overall, allowed for the data collection and analysis tools to be developed. |
| Document Review | A desk review of key literature on the effectiveness and efficiency of the Programme has been undertaken (including but not necessarily limited to output data, Project reports, mid-terms evaluations, p3 website data, Projects websites, Project descriptions, funding agreements, etc.). |
| Semi-structured interviews | Phone / Skype interviews were pursued with key informants from SDC, SNSF, Review Panel members, PIs, Co-PIs, Project Coordinators and research users from 13 sampled projects in 5 Thematic Modules and the Open Modules (OC1 and OC2 only). We conducted a total of about 62 interviews, as per our sampling approach detailed below. |
| Online Survey | A four-scale Likert-style survey was delivered to PIs, Co-PIs and Project Coordinators in English, reaching a broader representation of the modules and projects. The survey was based on a preliminary analysis of interviews with key informants to identify research users and added elements to the analysis. This distinguished between Thematic Module Projects, Open Module Projects OC1 and OC2, without project specific identification. |

| METHOD | OBJECTIVE AND CONTENT |
|---|---|
| **Data Analysis and Reporting Phase** | |
| Data management and analysis | The team carried out contextual, descriptive, content, comparative, qualitative and quantitative analysis, ensuring Aggregation and Triangulation. Universalia uses Dedoose (data management and analysis software) to methodically code, aggregate and triangulate large amounts of qualitative data, identifying recurrent conceptual themes, using SQL to query stakeholders by source (e.g. type of stakeholder, type of module, implementation status, effectiveness, etc.). Dedoose's web-based interface enables multi-user collaborative work from different geographic locations. |
| Preliminary findings | Preliminary findings were delivered to the MTR Core Team before drafting the Final report. |
| Draft report | A draft report was prepared based on the specifications agreed to in the Inception Report, and has incorporated feedback and insights from the preliminary findings presentation. |
| Workshop | A workshop was undertaken in Bern to present and discuss the Draft Report with the MTR Core Team and r4d Programme SteCo members. |
| Final report | A final report was prepared, integrating feedback on the draft report. |
| Final presentation | A final presentation, including a PowerPoint, will be delivered to the MTR Core Team as well as SDC, SNSF, the r4d SteCo and possibly other stakeholders and users of the MTR in Bern. |

## Levels of Analysis

It bears reiterating that our approach for this mandate has been structured along two levels of analysis.

- **Individual research Project effectiveness and efficiency**: Each individual, sampled research project has been examined, assessing progress towards overarching Programme objectives. This study of the sample has provided robust data for informing the Programme-level assessment.

- **Overall research Programme**: Given that the synthesis of the overall r4d Programme is more than the combination of individual research Projects assessed, the overall r4d Programme has been assessed based on its effectiveness and efficiency in programme management, and positioning to achieve the Programme's key objectives. It has also considered and has made visible lessons that can be drawn for generally informing other similar r4d programmes.

## Sampling

**Module and Project Sampling**

A review of Programme modules and Projects, in addition to Inception Phase discussions, has resulted in our confirming the sampling approach we have undertaken for the MTR. We **covered all 6 modules** (Social Conflict, Employment, Food Security, Ecosystems, Public Health, and Open Call) for this MTR, though in a bifurcated way.

An examination of 5 modules (Social Conflict, Employment, Food Security, Ecosystems, and Open Call) provided a coherent, high-level overall perspective on the **range of factors** that have thus far enabled or hindered progress, effectiveness and efficiency of the r4d Programme as a whole. An examination of the sixth module (Public Health) has been examined for our analysis of efficiency only, given evidence of less relative progress overall on this module but of few procedural adaptations over the course of Thematic Calls.

Given the plethora and multiplicity of Projects, we have sampled Projects equivalent to approximately **34 percent of the portfolio** (14 of 41 Projects falling within the scope of the MTR), thus ensuring a robust representation of Programme facts and factors. In our sampling, the following factors have been taken into consideration: representation of module size, module budget per Project, Project budget size, progress of Projects in module, number of country partners and geographic diversity. Table xvi.2 below provides a snapshot of the module and Project sampling.

**Table xvi.2 Sampling methodology snapshot – Modules**

| MODULE | # OF PROJECTS | BUDGET PER PROJECT | PROGRESS OF PROJECTS | # OF COUNTRY PARTNERS / GEOGRAPHIC DIVERSITY | SAMPLE PROJECTS FOR MID-TERM REVIEW |
|---|---|---|---|---|---|
| **Social Conflict (SC)** | 2/3 | Projects of CHF 1.5 million | Most progress (2014-2016, Mid-Term Evaluation) | Côte d'Ivoire, Egypt, Ghana, Guatemala, India, Zambia | Ethnic Power Relations and Conflict in Fragile States |
| | | | | Burundi, Palestinian Territories, Sri Lanka | Fostering Pluralistic Memories and Collective Resilience in Fragile Transitional Justice Processes |
| **Employment (EM)** | 2/3 | Projects between CHF 1.3 and 1.9 million | Most progress (2014-2017, Mid-Term Evaluation) | Bolivia, Laos, Nepal, Rwanda | Feminisation, Agricultural Transition and Rural Employment (FATE) (1.9 million) |
| | | | | Bolivia, Brazil, Ghana, Kenya | Trade and Labour Market Outcomes in Developing Countries (1.3 million) |
| **Food Security (FS)** | 2/5 | Projects between CHF 1.5 and 2 million | Moderate progress (2015-2017, 1st progress report and | Benin, Ghana, Burkina Faso | Sustainable Use of Insects to Improve Livestock Production and Food Security in Smallholder Farms in West Africa (IFWA) (1.6 million) |

| MODULE | # OF PROJECTS | BUDGET PER PROJECT | PROGRESS OF PROJECTS | # OF COUNTRY PARTNERS / GEOGRAPHIC DIVERSITY | SAMPLE PROJECTS FOR MID-TERM REVIEW |
|---|---|---|---|---|---|
| | | | site visit 2016) | Cambodia, Ghana | Land Commercialization, Gendered Agrarian Transformation, and the Right to Food (DEMETER) (1.7 million) |
| Ecosystems (ES) | 2/3 | Projects between CHF 1.5 and 2 million | Moderate progress (2015-2017, 1st progress report and site visit 2016) | Cameroon, Colombia, Indonesia | Oil Palm Adaptive Landscapes (OPAL) (1.6 million) |
| | | | | Laos, Madagascar, Myanmar | Managing Telecoupled Landscapes for the Sustainable Provision of Ecosystem Services and Poverty Alleviation (1.8 million) |
| Public Health (PH) | 1/3 | Projects between CHF 1.6 and 2.7 million | Least progress (2016-2021) | India, Malawi, Philippines, Sri Lanka | Inclusive Social Protection: Development, Work disability, Healthcare, Health, NCDs, Poverty (2.7 million) |
| Open Call (OC) | 4/24 | Projects under CHF 500K | OC 1 OC 2 OC3 (not sampled) | Cuba | Establishing a Soil Monitoring Network to Assess the Environmental Exposure to PAHs and PCBs in the Province of Mayabeque, Cuba (Soil-Q) (OC1) |
| | | | | Uganda | Disability and Technology in Uganda from Local and Global Perspectives (OC1) |
| | | | | Philippines | Environmentally sound technology for the manufacturing of affordable building materials based on coconut husk and natural bonding agents (COCOBOARDS) (OC1) |
| | | | | Tunisia, Morocco, MENA | Application of Organic Bio-fertilizer Technology to Improve the Sustainability of Date Palm Production and Cultivation (OC2) |

**Stakeholder Sampling**

The MTR team has pursued a **purposeful,** as opposed to a randomised sampling approach, while allowing for both snowballing and opportunistic sampling. This approach has ensured that appropriate and useful data is collected efficiently and in a timely manner. Methodologically speaking, our sampling strategy has targeted an **appropriate number of key informants**, ensuring we maximise the collection of quality, complete and useful data, mindful of the time and resources available.

The sampling methodology snapshot below (Table xvi.3) presents an overview of our approach, identifying types of stakeholders, the sample size, and the data collection method(s) used. We interviewed a total of 62 informants.

**Table xvi.3 Sampling methodology snapshot - stakeholders**

| STAKEHOLDER GROUP | SAMPLING METHODOLOGY |
|---|---|
| SDC Directorate | Headquarters (1) – Interview |
| National Research Council SNSF Staff | Headquarters (1) – Interview |
| SDC Research Desk | Key Programme actors (2) – Interviews |
| r4d SteCo | Key Programme actors (5) – Interviews |
| Advisory Board | Key Programme actors (3) – Interviews |
| r4d Programme Coordinators SNSF | Key Programme actors (4) – Interviews |
| Review Panel Members (SDC and SNSF Delegates) | Key Programme actors (4) (scientific and practice oriented) – Interviews |
| Review Panel Members (External) | Key Programme actors (7) (scientific and practice oriented) – Interviews |
| Swiss Partners / PIs | Swiss institutional diversity; Diversity of modules; Diversity of Projects; Diversity of Call; Progress (11)<br>Interviews and Online Survey |
| Project Coordinators | Swiss institutional diversity; Diversity of modules; Diversity of Projects; Diversity of Calls; Progress (9)<br>Interviews and Online Survey |
| Developing Country Partners / Co-PIs | Geographic diversity; Diversity of modules; Diversity of projects; Progress (16)<br>Interviews and Online Survey |
| Users: Developing Country National Authorities, Regional Authorities, International Authorities, NGOS, Private Sector, Academic | Relevant users (7)<br>Interviews |

---

xxiv

https://sustainabledevelopment.un.org/content/documents/10617Full%20Report%20HLPF%202016_Switzerland_EN%20fin.pdf See pp. 11-12. Consulted 12 September 2017.

xxv

https://sustainabledevelopment.un.org/content/documents/10617Full%20Report%20HLPF%202016_Switzerland_EN%20fin.pdf See pp. 15-16. Consulted 12 September 2017.

xxvi https://www.eda.admin.ch/dam/deza/en/documents/laender/Liste-Schwerpunktlaender_EN.pdf

xxvii 'Co-operation', as indicated on the programme website, includes in-depth/constructive exchanges on approaches, methods or results, industry/business/other use-inspired collaboration – activities that are considered to contribute to exchange and application of results.

xxviii It should be noted that this represents Programme-level monitoring data and the actual number of disciplines may be higher.

xxix http://www.oecd.org/development/evaluation/qualitystandards.pdf

xxx Patton, Michael Quinn (2008) Utilisation-Focused Evaluation: 4th edition. Thousand Oaks, Ca: Sage Publications

# Appendix XVII  Evaluation Matrix

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| Relevance | What is the relevance of the 4rd programme? | To what extent is the r4d programme relevant to SDC and SNSF? | Added by the MTR Team.<br><br>Perception of key stakeholders on the value of 'use-oriented' (Thematic) research, as pursued through the r4d programme.<br><br>Perception of key stakeholders on the value of 'bottom-up' (Open) research, as pursued through the r4d programme.<br><br>Perception of key stakeholders on the value of the balance struck by the programme between Thematic and Open research, as pursued through the r4d programme.<br><br>Evidence of alignment between the r4d programme objectives and both SDC and SNSF priorities (e.g. as related to research and development, Vision 2030, geographic priorities, Swiss researchers, etc.). | Document review<br><br>Interviews with r4d staff<br><br>Interviews with SNSF staff<br><br>Interviews with SDC staff<br><br>Interviews with PIs and Co-PIs<br><br>Interviews with Review Panel Members<br><br>Interviews with Project Coordinators<br><br>Interviews with users |
| Effectiveness | To what extent are the outputs of the programme achieved? | To what extent has output 11 been achieved?<br><br>*New, innovative concepts, methods, methodologies, techniques, technologies, products, tools, or approaches are identified, developed, validated, and applied.* | Tracked by r4d.<br><br>Number and citations of scientific peer-reviewed publications (together with some quality indicators).<br><br>Number of presentations at international scientific conferences outside of the r4d programme.<br><br>Number of products for scaling-up and/or replication.<br><br>Number of technological, social and political tools made available.<br><br>Added by MTR Team.<br><br>Perceptions of key stakeholders on the quality of concepts, methods, methodologies, techniques, technologies, products, tools, and/or approaches. | Document review<br><br>Interviews with r4d staff<br><br>Interviews with PIs and Co-PIs<br><br>Interviews with Review Panel Members<br><br>Interviews with Project Coordinators<br><br>Interviews with users |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | To what extent has output 12 been achieved? *An active scientific network on global issues for development is enhanced* | Tracked by r4d. Number and quality of research project teams. Number of triangular North-South-South collaborations. Added by MTR Team. Stakeholder perception on type and extent of enhancement of scientific network. Perceived value of North-South, South-South and North-South-South collaboration. | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Project Coordinators Interviews with Review Panel Members Survey |
| | | To what extent has output 21 been achieved? *Research results are effectively exchanged with stakeholders and applied* | Tracked by r4d. Number of concrete application examples from the projects. Number of presentations by projects partners in which the research results are discussed. Number policy briefs and policy for a. Reference to relevant international debates. Added by MTR Team. Perception of key stakeholders of types and extent of application of research results. Perception of key stakeholders of types and extent of research results informing SDC policy / operational work. Perception of key stakeholders of types and extent of research results informing global debates and policy | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with users Interviews with Project Coordinators |
| | | To what extent has output 22 been achieved? *Results of research are brought into relevant channels of international debate and regional and international policy dialogue.* | | |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | To what extent has output 23 been achieved? *Awareness on tackling global issues through systemic and interdisciplinary approaches has been raised* | dialogues. Perception of key stakeholders on the programme's contribution to heightening awareness of the value of systemic and interdisciplinary approaches to tackling global issues | |
| | | To what extent has output 31 been achieved? *Transnational research partnerships between researchers from Switzerland and Africa, Asia and/or Latin America are effective.* | Tracked by r4d. Number of North-South-South partnerships supported Number of co-authored scientific publications (peer reviewed articles) with authors from Switzerland and authors from Africa, Asia, and/or Latin America. Degree of compliance with the 11 KFPE partnership principles. Added by MTR Team. Nature and quality of research partnerships (e.g. equal, asymmetric, hierarchical, mutually-empowering, etc.) based on, for example, funding flows, co-creation of knowledge, decision-making, attitudes, etc. Extent and type of communicative practices pursued by research teams. Familiarity among research teams of the *Commission for Research Partnerships with Development Countries' (KFPE) Guide for Transboundary Research Partnerships* and its principles. | Document review Interviews with PIs and Co-PIs Interviews with Project Coordinators |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | To what extent has output 32 been achieved? *Interdisciplinary collaboration between social, natural, and engineering sciences is strengthened.* | Tracked by r4d. Number of co-authored scientific publications with authors from social and natural sciences. Added by MTR Team. Perception of key stakeholders of the multi-/inter-disciplinarity of their research projects. | Document review Interviews with PIs and Co-PIs Interviews with Project Coordinators Survey |
| | | To what extent has output 33 been achieved? *The capacities to identify and tackle new issues with a potential global impact for developing countries are strengthened.* | Tracked by r4d. Number of promoted researchers (gender disaggregated). Number of completed BSc, MSc, and PhDs with projects (gender disaggregated; in Switzerland / partner countries). Number of involved Postdocs within projects in Switzerland and in partner countries. Number of participants in r4d Skills events. Added by MTR Team. Perception of key stakeholders of their strengthened capacities. | Document review Interviews with PIs and Co-PIs Interviews with Project Coordinators Survey |
| | To what extent is the outcome likely to be achieved? | To what extent is Outcome 1 likely to be achieved? *Scientific evidence and research based solutions for reducing poverty and global risks are available.* | Tracked by r4d. Extent of evidence and research-based solutions for reducing poverty being produced through r4d projects. Added by MTR team. Perception of key stakeholders of factors related to the availability and quality of scientific evidence and research based solution for reducing poverty and global risks. Extent to which the Review Panels are satisfied with the scientific output. Expert judgement on the quality and/or innovativeness of theoretical and conceptual frameworks. Comparative assessment on the quality and/or innovativeness of theoretical and conceptual frameworks between Thematic Call Projects and Open Call Projects. | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Review Panel Interviews with Project Coordinators Interviews with users Survey |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | To what extent is Outcome 2 likely to be achieved? *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.* | Tracked by r4d. Evidence that relevant, use-inspired, systemic knowledge about trade-offs and options for tackling and solving problems feeds into policy debates and is shared with stakeholders who apply it. Research-based recommendations are taken into account / taken up by international organisations or / and other relevant stakeholders. Added by MTR team. Perception of key stakeholders of factors related to the awareness of national and international stakeholders of the nature of the problems, trade-offs and possible responses. Stakeholders perceptions of factors related to the uptake / use of evidence and tools (e.g. the extent to which research uptake processes are structured, as with the co-creation of knowledge and communication). Evidence and quality of programme-level communications strategy. Evidence of strategic use of communications and media by PIs and Co-PIs (including % and type of spending of their communications budget). Evidence of direct stakeholder interactions with PIs and Co-PIs. Evidence of participation of national and international stakeholders in activities related to the projects Perception of stakeholders on the research-related implications of transdisciplinary epistemologies (notably, collaboration with non-academic stakeholders). | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Project Coordinators Interviews with users Survey |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | To what extent is Outcome 3 likely to be achieved? *Scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in Africa, Asia, and South America are increased.* | Tracked by r4d. Extent to which competence level of inter- and trans-disciplinary research is enhanced. Level and intensity of different stakeholder exchanges in the research process. Added by MTR team. Framings of research in terms of sustainable development. Extent to which the r4d framework has influenced planned research framings and processes. Evidence of students and research professionals engaged in projects. Evidence of enhancement of individual and cohort competencies and expertise such as through publications, stakeholder engagements, trainings, collaborations, discussions, and/or conference participation. Evidence of co-authored scientific publications (peer reviewed articles) with authors from Switzerland and authors from Africa, Asia, and/or Latin America. Perceptions of stakeholders that scientific competencies and expertise have been increased. Evidence of engagement / experience sharing among PIs and Co-PIs from different teams. | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Project Coordinators Survey |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | What factors were central to the achievement or non-achievement of outputs and outcome? | What internal and/or external factors have contributed to the achievement or non-achievement of outputs and outcome? | Added by MTR team. Possible internal factors (tangible): resources of time, funding, additional funding for full proposal preparation, knowledge infrastructure, team qualifications, expertise, gendered approach, communications strategy and implementation, targeting of research products to specific users, support provided by r4d programme, 'steering intensity', support of Review Panel. Possible internal factors (intangible): communication channels, mentorship, team interactions, prior interactions of the team, social capital. Possible external factors (tangible): research environment, disciplinary norms, ethical issues, direct interactions with policy makers and decision makers. Possible external factors (intangible): policy landscape of country, contextual factors, multiplicity and type of opportunities. | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Project Coordinators Interviews with Review Panel Survey (write-in responses) |
| | | How do specific instruments (monitoring, site visit, Mid-Term Evaluation, r4d Forum, r4d Skills) foster the realisation of the set objectives? | Added by MTR team Perception of stakeholders on the value of suite and/or specific instruments in fostering the realisation of the set objectives: Monitoring Site Visits Mid-Term Evaluations Module Reports R4d Forum R4d Skills R4d Conferences | Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Project Coordinators Interviews with Review Panel Interviews with users Survey |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | SNSF is prestigious in the research community. SDC is the locus of policy relevance. What is the perceived value, by researchers, of being funded by<br><br>both through this r4d programme? | Added by the MTR Team<br>Perceptions of PIs and Co-PIs on the value of being funded by both SDC and SNCF (if they even make a distinction between them). | Interviews with PIs and Co-PIs<br>Survey |
| | | What is the extent to which the researchers are aligned with the SDG discourse? What are the different pathways in which the research aligns with the SDGs under the Thematic Modules (and hence life-time management and steering intensity) and through the Open Modules? | Added by the MTR Team<br>Perceptions of stakeholders on the alignment with SDGs through their particular type of call (i.e. Thematic vs. Open).<br>Perceptions of stakeholders on the relevance and effectiveness of the development-related guidance they receive through the programme.<br>Expert comparative assessment of factors contributing to greater/lesser alignment of the research with the SDGs. | Document review<br>Interviews with r4d staff<br>Interviews with PIs and Co-PIs<br>Interviews with Project Coordinators<br>Interviews with Review Panel<br>Interviews with users<br>Survey |
| | | What is the respective added value of the two types of Calls (Thematic vs. Open)? | Added by MTR team<br>Perception of stakeholders on the complementarities of the two types of Calls.<br>Perception of stakeholders on the relative quality of proposals per call.<br>Difference in achievement/progress of outputs and outcomes through different types of Calls. | Document review<br>Interviews with r4d staff<br>Interviews with PIs and Co-PIs<br>Interviews with users<br>Interviews with Review Panel<br>Survey |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| Efficiency | How is the performance of the programme in terms of management (within SNSF and SDC), finance and monitoring as well as the selection process of the research projects? | How have the SNSF and the SDC taken up their roles and responsibilities in the r4d programme? How efficient and effective is the management /division of labour at SNSF /at SDC? What is the added value, in terms of own-benefit, for SDC, in involving expert staff? | Added by MTR team. Existence of agreement/document outlining roles and responsibilities of SNSF and SDC. Perception of stakeholders on the appropriateness of division of labour (currently, but drawing on the longer history of their relationship). Extent of the perceived quality of the relationships between SDC and SNSF. Appropriateness of the collaborative/communicative mechanisms for SDC and SNSF. Extent to which adequate human and financial resources have been made available by SDC and SNSF for the management and operations of the programme. Perception of stakeholders regarding the added value, for SDC, of involving expert staff in the programme. Evidence of good practices (clear theory of change, strategy, adequate plans and systems). Availability of reliable data through the existing M&E system. Extent of reporting against the Results Framework. Adequacy of person-days allocated for programme management, coordination, implementation, M&E. | Document review Interviews with SDC staff Interviews with SNSF staff Interviews with r4d staff  Interviews with Review Panel |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | How do the Review Panels work and take up their roles and responsibilities in the r4d programme? How efficient and effective are the management and division of labour within the Review Panels? Are the roles and responsibilities clearly set and implemented? Are there specific tasks creating difficulties for the Panel members? If yes, why? | Added by MTR team. Existence of Terms of Reference for the Review Panels. Clarity of expectations regarding the responsibilities of Review Panels. Extent to which Review Panels deliver reviews as expected Perceptions of stakeholders of the appropriateness of the division of labour within the Review Panels. Evidence of particularly problematic tasks for Review Panels, and factors explaining why this is the case (if so). Evidence of conflict of interest in the positionality of Review Panel members. | Document review Interviews with r4d staff Interviews with Review Panel Interviews with PIs and Co-PIs Interviews with Project Coordinators |
| | | What are the benefits of combined scientific and development-oriented reviews provided by scientific peers and practice-oriented experts? How is development relevance reflected in the Review Panels' assessments and recommendations? | Added by MTR team. Type of feedback and advice provided by the Review Panels to PIs and Co-PIs. Perceptions of stakeholders on the benefits of combined scientific and development oriented reviews. Extent to which considerations of the potential for scaling up are being considered in the assessment of Projects. | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Review Panel Survey |
| | | How was the development relevance of the Open Call research projects assessed during the selection process? | Added by MTR team Evidence and range of sustainable development discourse in the assessment grids for the Open Calls. Discursive framings of sustainable development in feedback provided by review and selection process. | Document review Interviews with r4d staff Interviews with PIs and Co-PIs Interviews with Review Panel |

| EVALUATION CRITERIA | KEY EVALUATION QUESTIONS | SPECIFIC QUESTIONS / SUB-QUESTIONS | ILLUSTRATIVE INDICATORS (TARGETS / BASELINE) | METHOD /DATA SOURCES |
|---|---|---|---|---|
| | | Which factors can explain the low submission rates and/ or low success rates in some thematic modules? | Added by MTR team<br><br>Expert assessment of the programme (on factors which may include outreach, resource allocations, framings, call process, etc.).<br><br>Perception of stakeholders on low submissions/success rates for some thematic modules. | Interviews with r4d staff<br><br>Interviews with PIs and Co-PIs<br><br>Interviews with Project Coordinators<br><br>Interviews with Review Panel |
| | | How does the life-time management of r4d projects differ from basic research projects and what can we expect in terms of added value (cost-benefit)? | Added by MTR team<br><br>Assessment of the unique and different features of the life-time management approach of r4d projects as compared to that of basic research projects.<br><br>Perception of stakeholders on the added value of life-time management of r4d projects (including 'steering intensity') as compared with basic research projects.<br><br>Perceptions of stakeholders on the challenges arising for them from the r4d Thematic Call steering intensity. | Document review<br><br>Interviews with r4d staff<br><br>Interviews with PIs and Co-PIs<br><br>Interviews with Project Coordinators<br><br>Interviews with Review Panel |
| Lessons Learned | What lessons learnt can be drawn for re-directing the current and/or other similar programmes)? | | Added by MTR<br><br>Expert assessment of overall lessons<br><br>Provision of recommendations for redirecting current programme<br><br>Provision of recommendations for other similar programmes | |

# Appendix XVIII  List of Stakeholders Consulted

## Stakeholders Interviewed[1]

| NAME | POSITION, ORGANIZATION |
|---|---|
| Anaya, Rolando Morales | User-Researcher, Employment Module, Trade and Labour Outcomes Project |
| Bacchetta, Marc | User-Researcher, Employment Module, Trade and Labour Outcomes Project, WTO Councillor, Research and Statistic Office |
| Barras, Jean-Luc | Former r4d Steering Committee Member, Head Division InterCo, SNSF |
| Birachi, Eliud | Researcher, Co-PI, Employment Module, FATE Project |
| Bucheli, Thomas | Researcher, PI, OC1 Module, Establishing a Soil Monitoring Network Project |
| Cammert, Camilla | Researcher, Co-PI team leader, ES Module, OPAL Project |
| Cederman, Lars-Erik | Researcher, PI, SC Module, EPR Project, ETH Zurich |
| Chauvin, Nicolas | Researcher, Co-PI, EM Module, Trade and Labour Market Outcomes Project |
| Cheong, David | User- Researcher, EM Module, Trade and Labour Market Outcomes |
| de Theije, Marjo | External Review Panel Member, Social Conflicts Module, EPR Project |
| Depetris, Nicolas | Researcher, Co-PI, EM Module, Trade and labour outcomes project |
| Dieleman, Marjolein | External Review Panel Member, PH Module, Advisory Board Panel President |
| Dray, Anne | User-Researcher, ES Module, OPAL Project |
| Dzodzi, Tsikata | Researcher, Co-PI, Associate Professor, FS Module, DEMETER Project |
| Elcheroth, Guy | Researcher, PI, University of Lausanne, Social Conflicts Module, FPM Project |
| Escobar Medina, Arturo Camilo | Researcher, Co-PI, Centro Nacional de Sanidad Agropecuaria (CENSA), La Habana; OC1 Module, Establishing a Soil Monitoring Network Project |
| Etter, Andres | Researcher, Co-PI, Ecosystems Module, OPAL Project; Departamento de Ecologia y Territorio, Pontificia Universidad Javeriana |
| Flitsch, Mareile | Researcher, PI, Project Coordinator, OC1 Module, Disability and Technology in Uganda from Local and Global Perspectives Project |
| Fugazza, Marco | User-Researcher, EM Module, Trade and Labour Outcomes Project, UNCTAD Economic Affairs Officer |

---

[1] One key respondent elected to remain anonymous.

| NAME | POSITION, ORGANIZATION |
| --- | --- |
| Garcia, Claude | Researcher, Co-PI, ES Module, OPAL |
| Ghazoul, Jaboury | Researcher, PI, ES Module, OPAL |
| Gret-Regamey, Adrienne | Researcher, ETH-Zurich, Co-PI, ES Module, Telecoupled Project |
| Hangartner, Ariane | Researcher, Project Coordinator ES Module, OPAL Project |
| Hausmann, Susanna | SDC Delegate, PH Module, Review Panel Member SDC / SNSF Delegate |
| Heeb, Marlene | SDC Delegate, FS Module, Review Panel Member, SDC / Global Programme on Food Security / Dept. Of Global Cooperation |
|  |  |
| Hoppeler, Stephanie | r4d Programme Coordinator - Thematically Open Module, Division InterCo, SNSF |
| Johnson, Ian | External Review Panel Member, Ecosystems Module, Advisory Board, Panel President |
| Keller, Odile | r4d Steering Committee Member, SDC Head of Division Policy and Analysis |
| Kenis, Marc | Researcher, Project Coordinator, FS Module, IFWA Project |
| Kyaddondo, David | Researcher, Co-PI, Open Call 1 Module, Disability and Technology in Uganda from Local and Global Perspectives Project |
| Maurer, Jürgen | Researcher, PI, PH Module, Inclusive Social Protection Project |
| Messerli, Peter | Researcher, PI, ES Module, Telecoupled project |
| Messner, Dirk | External Review Panel Member, SC Module, Advisory Board, Panel President |
| Michaelowa, Katharina | r4d Steering Committee, Social Conflicts Module, Review Panel Member SNSF Delegate, Research Council member |
| Muyinda, Herbert | Researcher, Co-PI, OC 1 Module, Disability and Technology in Uganda from Local and Global Perspectives Project |
| Ndayisaba, Leonidas | UNESCO Chair at University of Burundi, Co-PI, SC Module, PMP Project |
| Ofei-Aboagaye, Esther | User-Researcher, FS Module, DEMETER Project |
| Olarreaga, Marcelo | Researcher, PI, Project Coordinator, Employment Module, Trade as Labour Market Outcomes in Developing Countries |
| Penic, Sandra | Researcher, Project Coordinator, SC module, PMP Project |
| Perkins, Richard | External Review Panel Member, Employment Module |
| Pichelin, Frederic | Researcher, PI, OC1 Module, Cocoboards project |
| Prügl, Elisabeth | Researcher, PI, FS Module, DEMETER Project |
| Ramamonjisoa, Bruno Salomon | Researcher, Co-PI, ESSA-Forêt Madagascar, ES Module, Telecoupled Project |
| Rannan-Eliya, Ravindra P. | Researcher, Co-PI, Institute for Health Policy, Sri Lanka, PH Module, Inclusive Social Protection Project |

| NAME | POSITION, ORGANIZATION |
|------|------------------------|
| Righetti, Aurélie | SDC research desk, r4d Steering Committee Member, SDC |
| Rosemann, Nils | Review Panel member, SDC Delegate, Social Conflicts Module |
| Rutte, Claudia | r4d programme coordinator, SNSF Scientific Officer; Employment, Ecosystems, Public Health Modules |
| Rueda, Alejandra | Researcher, Co-PI, Ecosystems Module, OPAL Project Founder, ED, Nes Naturaleza |
| Rychen, Dominique | Former SDC Research Desk, SDC |
| Salimata, Pousga | Project Coordinator, ES Module, IFWA Project |
| Schenker, Elisabeth | Former r4d Programme Coordinator - Thematically Open Module, Division InterCo, SNSF |
| Schmid, Jacquline | Review Panel Member, SDC Delegate Ecosystems Module |
| Schneider, Flurina | User-Researcher, Coordinator ES Module, Telecoupled Project |
| Sudan, Dimitri | r4d Steering Committee; Head of Programmes Division, SNSF |
| Vogt, Manuel | Researcher, Project Coordinator SC module, EPR Project |
| Wennubst, Pio | SDC, Head of Global Cooperation Department |
| Whitbread, Anthony | External Review Panel Member, FS Module, Advisory Board, Panel president |
| Zamora, Elizabeth | Researcher, co-PI, EM Module, FATE Project |
| Zingerli, Claudia | r4d programme coordinator, SNSF Scientific Officer; SC and FS Modules |
| Znoj, Heinzpeter | Researcher, PI, EM module, FATE project |

# Appendix XIX  Terms of Reference

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

The Swiss Programme for Research on Global Issues for Development invites bids for its Mid Term review.

Deadline for submission: 22 March 2017
Contact person: claudia.rutte@snf.ch

The terms of reference are specified in this document.

---

## Terms of reference for the Mid-term review of the joint SDC-SNSF Swiss Programme for Research on Global Issues for Development

---

### 1.   Purpose of this document

This document contains the requirements relating to the Mid-term review of the Swiss Programme for Research on Global Issues for Development. It serves as a template for the bidder to submit his or her offer.

### 2.   Goal and content of the mandate

#### 2.1   Background

In 2012, the Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation (SNSF) joined forces and launched the Swiss Programme for Research on Global Issues for Development (r4d programme). The r4d programme is providing funding for international and transdisciplinary research which is both, of scientific excellence and of relevance for development. About 100 million CHF have been made available by both institutions for the r4d programme for the period 2012-2022. The ultimate objective of the r4d programme is to generate new evidence which contributes to solving global problems and securing global public goods in Africa, Asia and South America. With this programme, both organisations aspire to tackle important issues in five thematic areas: social conflicts, employment, food security, ecosystems and public health. Global sustainable development serves as normative and conceptual framework for the r4d programme.

The r4d programme has specific features that make it quite unique: scientific excellence and development relevance are equally important criteria for the selection process; the projects have to involve at least one research group from an African, Asian, or Latin American country (a Swiss institution has to act as lead applicant); interdisciplinarity and transdisciplinarity are a must;

the definition of thematic priorities reflect the strategic priorities of the SDC; 10-15% of the project budgets should be allocated to communication and application. Further, each research project develops a results framework, a communication strategy, and an explicit "pathway to impact" that explains how it intends to contribute to societal, ecological and/or economic transformation. In 2017, the r4d programme has gone half way. Between 2013 and 2017, it has published 8 calls and awarded grants to 46 projects based in 45 countries, clustered in five thematic modules and a thematically open module. <u>Annex 1</u> presents the programme's logical framework which details the set objectives and indicators. <u>Annex 2</u> depicts the organisational arrangements of the r4d programme. Detailed information on the programme can be found on <u>www.r4d.ch</u>. The research projects are at different stages depending on when they were awarded a grant (see <u>Annex 3</u>). The co-creation of knowledge, the synthesis and communication work will be at the centre of the coming period (2017-22).

## 2.2    Objectives

The **purpose** of the mid-term review (MTR) is to assess and report on **progress made** in order to provide recommendations for programme steering and management during the second half of the programme 2017-2022. Furthermore, **lessons learned** from the phase under review will be identified and made available to both funding institutions as learning material.

The specific **objectives** of the MTR will be:
- To assess the progress of the r4d programme against the specific objectives defined in the r4d programme results framework and to identify enabling and hindering factors which have affected the achievement of the set objectives. The MTR should focus on the output and outcome levels (**effectiveness**).
- To appraise the programme's management and organisational arrangements, including structure and processes (**efficiency**).

## 2.3    Eligibility of bidders

Only such bidders who are independent from the r4d programme, i.e. who have no role neither at the strategic nor at the operational level of r4d, are admitted to submit offers. Further eligibility criteria are set out in chapter 4 of the Terms of Reference.

## 2.4    Content of the mandate

The MTR will assess the programme based on the Development Assistance Committee (DAC) criteria for evaluating development assistance (http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm), focusing on effectiveness and efficiency. The findings shall, if possible, provide indications on impact and its sustainability.

**Effectiveness**
**Specific guiding questions include:**
- To what extent are the outputs of the programme achieved? To what extent is the outcome likely to be achieved?

- What factors were central to the achievement or non-achievement of outputs and out-come?

- How do specific instruments (monitoring, site visit, mid-term evaluation, r4d Forum, r4d Skills) foster the realisation of the set objectives?

- What is the respective added value of the two types of calls (open vs thematic) and to what extent does the combination of both types have complementary and synergistic effects on the realisation of the set objectives?

**Additional questions to be considered:**
<u>Outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available</u>

- What evidence and research-based solutions for reducing poverty and global risks have become available through r4d projects as of today?

- What is the evidence for the scientific excellence and/or development relevance of the publications, posters etc. produced until now by the projects?

- Are the Review Panels generally satisfied by the scientific outputs?

- To what extent are the research results available and used? If used, by whom?

- To what extent do the research projects perceive that they are part of a programme? Do they feel the "programme spirit"? Are they aware of the research conducted by other teams in the same module?

<u>Outcome 2: International stakeholders are informed and making use of the provided evidence and tools</u>

- To what extent are international stakeholders informed about the evidence and tools generated through the r4d projects by now?

- To what extent are international stakeholders making use of the evidence and tools provided by now?

- Which non-academic stakeholders are involved in the research and programme activities, when and how?

- How does transdisciplinarity (collaboration with non-academic stakeholders) influence the planned research process and activities?

- Are the research uptake processes structured (e.g. co-creation of knowledge and communication)?

<u>Outcome 3: Increased scientific competence and expertise in dealing with the complexity of global issues</u>

- To which extent have been generated increased competence by r4d projects on increased and expertise in dealing with the complexity of global issues?

3/16

- To what extent was global sustainable development used as a normative framework for the selection of the research projects?

- How is the concept of sustainable development understood by the research teams? How does this concept influence the planned research process and activities?

- How do the research teams deal with the complexity of global issues? How does the r4d framework influence their planned research process and activities?

- What is the spectrum of disciplines and approaches applied in the selected projects? Are the different perspectives visible in the outputs?

- Is the Commission for Research Partnerships with Developing Countries' (KFPE) Guide for Transboundary Research Partnerships known and used by the research teams?

**Efficiency**
**Specific guiding questions include:**

- How is the performance of the programme in terms of management (within SNSF and SDC), finance and monitoring as well as the selection process of the research projects?

- How have the SNSF and the SDC taken up their roles and responsibilities in the r4d programme? How efficient and effective is the management /division of labour at SNSF /at SDC? What is the added value, in terms of own-benefit, for SDC, in involving expert staff?

- How do the Review Panels work and take up their roles and responsibilities in the r4d programme? How efficient and effective are the management and division of labour within the Review Panels? Are the roles and responsibilities clearly set and implemented? Are there specific tasks creating difficulties for the Panel members? If yes, why?

- What are the benefits of combined scientific and development-oriented reviews provided by scientific peers and practice-oriented experts? How is development relevance reflected in the Review Panels' assessments and recommendations?

- How was the development relevance of the Open Call research projects assessed during the selection process?

- Which factors can explain the low submission rates and/ or low success rates in some thematic modules?

- How does the life-time management of r4d projects differ from basic research projects and what can we expect in terms of added value (cost-benefit)?

- What lessons learnt can be drawn (especially for re-directing the current and/or other similar programmes)?

**Methods and documentation**

The period to be evaluated is 2012 to 2016. This MTR will be conducted by an external evaluator / evaluation team. The overall evaluation approach should represent an adequate mix of formative and summative elements; and involves participatory methodologies of the key stakeholders (SDC and SNSF, Review Panel members, researchers) in order to provide relevant recommenda-

tions that are based both, on external assessment and internal reflection on the programme process.

The r4d programme will be assessed at programme level based on specific projects from the six modules. The sampling methodology will be developed by the evaluator so that the MTR allows responding to the guiding questions. While the detailed methodology will be elaborated by the evaluator / evaluation team in the inception report, all evaluations should include a desk review of the programme's key documents and of data readily available, as well as key informant interviews including members of the r4d Steering committee, members of the Review Panels, the SDC and SNSF representatives in the Review Panels, researchers in various roles and country contexts

The **SDC** will support the evaluator/evaluation team through making following data/contacts available:

- Evaluation of SDC research related activities (2010)
- Research Plan 2017-2020 and Dispatch on Switzerland's International Cooperation 2017-20 (resume and full version)
- Contacts of SDC collaborators at head office engaged in the r4d programme and of Swiss representations (cooperation offices) in countries where research projects are currently implemented
- Other documents and contacts, as needed

The **r4d management (SNSF)** will support the evaluation team through making following data/contacts available:

- Detailed project document ("Detailkonzept"; in German only) including programme logical framework
- Programme contracts
- r4d strategic documents (minutes of Steering committee meetings)
- r4d management and implementation documents (Contracts including "Mise en oeuvre du programme et prestations du FNS" (only in French); organisation opérationelle et responsabilités dès le 1.7.2016 ; Call documents ; Communication and Synthesis concepts; Management principles of the thematic modules, Reporting guidelines, Management Principles of the thematic modules, Evaluation templates pre-proposals and proposals; r4d Brochure)
- Output data (quantitative overview for each module according to the respective logical framework)
- Statistics of the r4d programme
- Contacts to members of Review Panels
- Contacts to the researchers and, in consultation with them, the research plans, results frameworks, and progress reports of projects

5/16

- Other documents and contacts, as needed

**Steering**

The evaluation process will be steered by the MTR Core Team (SDC Research Desk, Representative of the National Research Council, Representative of the r4d management) that shall ensure the quality of the evaluation with the following tasks:
- Selection of a tender
- Kick-off meeting with chosen evaluator/evaluation team
- Feedback on inception report after presentation made by evaluator/evaluation team
- Discussion of final results and recommendations

The final reports and recommendations will be presented to the Steering Committee of the r4d Programme who will also be responsible for the following tasks:
- Comments on the final report and recommendations
- Approval of final report and elaboration of a management response

**Deliverables**

The deliverables of this mandate are:

I.  Draft Inception Report including
    - Aims
    - Introduction and context
    - Methodologies, including stakeholders to be interviewed
    - Key questions
    - MTR final work plan

    The draft Inception Report is prepared by the MTR team after an initial review of relevant documentation and, if necessary, some initial interviews. It shall document the conceptual framework(s) to be used in the MTR, the key evaluation questions and methodology, including information on data sources and collection, sampling and key indicators. The Inception Report shall clarify what rubrics (assessment scales) will be used for assessing the information, interview results etc. The Inception Report also includes a timeline for the MTR process. It shall explain the weaknesses and strengths of the selected MTR methodologies. Furthermore, it shall present the limitations of these methodologies and the means used to address these limitations. The MTR team should suggest a tentative structure of the final report.

    The draft Inception Report will be presented to the MTR Core Team for further discussion, adjustments and approval. Afterwards, a final Inception Report will be elaborated, taking into account the feedback by MTR Core Team. This final version will also include the finalized MTR design and key questions. The final Inception Report will be approved by the MTR Core Team.

    The Inception Report should be written in English and should not exceed **10 pages** excluding annexes.

II.  Final Inception Report
III.  Draft of the Final Report
IV.  Fit-to-print Report (in English, max. 20 pages, excluding annexes) including

- Summary of the findings
- Aims
- Introduction and context
- Description of the methods including limitations
- Elaborated description of the results along the two specific objectives of the evaluation
- Lessons learned and Recommendations for steering the programme in 2017-20 and lessons learned for a potential future programme supporting research for development

V.    Presentation (ppt) of the Final Report

## 3.    Time schedule

| Deadline | Activity | Responsible |
|---|---|---|
| 15 February 2017 | Publication of the mandate | SNSF |
| 22 March 2017 | Deadline for submitting offer | Evaluator |
| April 2017 | Awarding of mandate and notice to unsuccessful bidders | MTR Core Team |
| May 2017 | Signing of contract | SNSF |
| May 2017 | Mandate starts | Evaluator |
| June 2017 | Presentation of Draft Inception Report and feedback from MTR Core Team | MTR Core team |
| June 2017 | Submission of Final Inception report | Evaluator |
| 4 October 2017 | Submission of Draft Report and workshop with r4d SteCo | Evaluator |
| November 2017 | Submission of Final Report considering inputs from SteCo and MTR Core Team | Evaluator |
| November 2017 | Management Response | MTR Core Team with consultation of r4d SteCo |
| 11 December 2017 | Approval of final report including management response | r4d SteCo |

## 4.    Formal aspects of the invitation to tender

### 4.1    Mandating party

The Swiss National Science Foundation (SNSF, Wildhainweg 3, Postfach, 3001 Bern, Switzerland) manages the award procedure and is also the direct mandating party for the bidder. Contact person is Claudia Rutte (Email: claudia.rutte@snf.ch, Phone: 031 308 22 41).

7/16

### 4.2 Composition and content of the offer

Tenders must contain the following elements:

| Chapter | Contents | No. pages (max.) |
|---|---|---|
| **0** | **Cover letter with signature** | 1 |
| **1** | **Technical Offer** | 8 |
| 1.1. | Introduction with motivation for the bid | |
| 1.2. | Understanding of the mandate | |
| 1.3. | Description of the proposed methodology and key questions | |
| 1.4. | Competencies, roles and responsibilities of the team | |
| 1.5. | Preliminary work plan | |
| **2** | **Financial proposal**<br>Offer to be submitted in CHF should include:<br>- Daily rates of remuneration of consultant(s)<br>- Expenses for travel, accommodation, meals, other<br>- Material<br>- VAT | 1 narrative page including cost overview |
| **3** | **Annexes**<br>- Profile of the company<br>- Name and contact data of single person of contact<br>- CV's of all team members<br>- Confirmation about the necessary personnel at disposal<br>- References and list of similar mandates (explicitly addressing eligibility criteria 2,3 and 4) executed by the consultant; providing at least the following data:<br>   o Name of company and address of contact person(s) and telephone numbers<br>   o Time and place of execution of the mandate<br>   o Short description of the provided services<br>- One Evaluation report (similar evaluation)<br>- Declaration on existing or non-existing linkages with r4d programme<br>- Others (e.g. publication list) | |

### 4.3 Budget

An overall budget (in CHF) for all costs shall be provided for the mandate including time for travelling and visits/interviews in Switzerland as well as all expenses. No field visits or travels outside of Switzerland are foreseen. Interactions with staff outside of Switzerland shall be conducted by (internet) phone, email, surveys or other ICT based instruments.

No reimbursement can be made for the bidder's work in preparing and submitting his or her offer.

### 4.4 Contractual terms

The general terms and conditions of the Confederation for service contracts (https://www.bkb.admin.ch/bkb/de/home/hilfsmittel/agb.html) are declared to be applicable to

the contract to be concluded. Bidders are considered to have accepted the general terms and conditions when submitting an offer.

### 4.5 Eligibility criteria

The bidder can verify his or her eligibility to fulfil the mandate, resp. shall confirm this with a self-declaration.

| No. | Eligibility criterion | Verification |
|---|---|---|
| EC 1 | **Academic Masters** or equivalent | Curriculum Vitae |
| EC 2 | **Experience in evaluations:** The bidder has advanced experience in carrying out evaluations and reviews. | 2 references on complex evaluations/reviews over the last 5 years. 1 evaluation/review report (similar mandate). |
| EC 3 | **Knowledge of international development cooperation**: The bidder has advanced knowledge of the trends and current issues in the field of international development cooperation | 2 references[1] on services delivered (evaluations, studies or reviews) in the field of International Development Cooperation over the last five years. |
| EC 4 | **Knowledge of the international landscape of research for development**: The bidder has a proven knowledge about the role and contribution of research for development | 2 references on services delivered (evaluations, studies or mandate) of research programmes over the last 5 years |
| EC 5 | **Personnel resources:** The bidder has the necessary personnel at his disposal to be able to fulfil the mandate as described in the functional specification. | CVs of all team members and confirmation |
| EC 6 | **SPOC:** A Single Person of Contact acts as the team leader. | Name and contact data |
| EC 7 | **Language skills:** The bidder must have excellent commands orally and in writing in English, and working knowledge of French and German. | CVs of all team members |
| EC 8 | **Independence from the r4d programme:** Proven independence (non-linkage, close relation or any other issue that might bias the evaluation process or result) from the actors (on strategic and operational levels) of the r4d programme | Declaration of linkages / non-linkage |

### 4.6 Award criteria

Of the eligible offers submitted, the contract will be awarded to the bidder who reaches the best ranking according to the following award criteria and weighting:

---

[1] References should detail the mandate with name of contractor, product, short resume and period and can be the same for EC2, 3 and 4.

9/16

| No. | Award criterion | Weighting |
|---|---|---|
| AC1 | **Qualification and experience of the team in evaluation in research programme and development cooperation**<br>- Experience in the leadership of complex evaluation or review mandates (10%)<br>- The team has advanced competences and experience in steering and managing complex and participatory processes (10%)<br>- Knowledge in the fields of development cooperation and research for development (10%) | 30% |
| AC 2 | **Quality of the methodological approach and understanding of the mandate**<br>- Quality of the proposed approach and methodology (20%)<br>- Critical appreciation of the mandate (20%) | 40% |
| *AC 3* | **Quality of offer** (appearance, structure, readability; completeness; Comprehensible, well-structured offer with a good appreciation and understanding of the requirements and expectations ) | 10% |
| AC 4 | **Financial proposal**<br>Clear proposition<br>Realistic costs<br>Overall amount | 20% |

The award criteria are evaluated on a scale of 0 to 5.

| Score | Fulfilment and quality of the criteria | |
|---|---|---|
| 0 | Cannot be established | • Information not available |
| 1 | Very bad fulfilment | • Information is incomplete<br>• Data quality is very poor |
| 2 | Bad fulfilment | • Information relates inadequately to the requirements<br>• Data quality is poor |
| 3 | Average fulfilment | • Information globally responds adequately to the requirements<br>• Data quality is adequate |
| 4 | Good fulfilment | • Information focuses well on requirements<br>• Data quality is good |
| 5 | Very good fulfilment | • Information clearly relates to the achievement of outputs<br>• Data quality is excellent |

## 5.    Additional points to be noted by the bidder

### 5.1    Address for submission of offers

Claudia Rutte, r4d programme, Programmes Division, Swiss National Science Foundation, Wildhainweg 3, 3001 Bern, Switzerland; Email: claudia.rutte@snf.ch

10/16

### 5.2    Language of documents, language of bids

The bid has to be submitted in English. The documents are mostly available only in English, some are in French and in German.

### 5.3    Deadline for submitting a bid and validity

The bid must be sent by email to the contact person named under point 5.1 by 22 March 2017 at the latest with the following subject note: Offer MTR r4d programme.

The bid is valid for up to 90 days after the aforementioned date for submission.

## 6.    Negotiations

Remain reserved.

## 7.    Confidentiality

All information of any kind that comes to the attention of the bidder in connection with the tender and a possible contract with the mandating party is to be treated as confidential.
Bidders treat facts as confidential that are not public knowledge or publicly available. In cases of doubt, facts are to be treated as confidential. This obligation to secrecy remains valid even after conclusion of the tender procedure.
The party in charge of managing the tender undertakes to maintain confidentiality about this bid towards third parties subject to the reserve of statutory publication requirements.

## 8.    Integrity clause

Bidders undertake to take all necessary measures to avoid corruption, especially not to offer or accept payments or other advantages.
Bidders who violate the integrity clause are required to pay a contractual penalty to the contracting party amounting to 10% of the contract sum or at least CHF 3,000 per violation.
The bidder notes that a violation of the integrity clause leads as a rule to the cancellation of the award or to early termination of the contract by the contracting party for important reasons.
The Parties shall inform each other in case of any well-founded suspicions of corruption.

## 9.    Protected rights

All protected rights that arise from executing the mandate shall be transferred to the contracting party.

11/16

**Annex 1: Results Framework of the r4d programme**

| Hierarchy of objectives Strategy of Intervention | | Key Indicators | Data Sources Means of Verification | |
|---|---|---|---|---|
| **Impact (Overarching Goal)** | | **Impact Indicators** | | |
| Research results of the five thematic modules and the thematically open module contribute to solving urgent global problems and securing global public goods in Africa, Asia and South America within the normative and conceptual framework of global sustainable development[2]. | | Evidence that newly identified and verified solution pathways addressing urgent global problems and global public goods benefit first and foremost poor people in Africa, Asia and South America. Evidence that policies at the international or regional level take into account or take up r4d research findings. | External evaluation Stakeholder survey Module reports incrementally building up on project reports Syntheses | |
| **Outcomes** | | **Outcome Indicators** | | **External Factors (Assumptions & Risks[1])** |
| Strategic Objectives | Outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available. | Evidence that relevant, use-inspired knowledge feeds into policy debates and is shared with key stakeholders who apply it. Research based recommendations are taken into account / taken up by international or regional organizations or / and other relevant | Module reports incrementally building up on project reports Syntheses | *Assumptions:* Call does receive high interest in the research community High quality of submitted research proposals |

12/16

| | | stakeholders. | | |
|---|---|---|---|---|
| | Outcome 2:<br><br>National and international stakeholders are informed on the nature of the problems, trade-offs, and options for tackling and solving problems in a more systemic and holistic manner, and make use of the provided evidence and tools. | Evidence that relevant, use-inspired, systemic knowledge about trade-offs and options for tackling and solving problems feeds into policy debates and is shared with stakeholders who apply it.<br>Research based recommendations are taken into account / taken up by international organizations or / and other relevant stakeholders. | Module reports incrementally building up on project reports<br>Syntheses<br>Survey (stakeholder interviews) | *Assumptions:*<br>The issues addressed are on the mid- and longer term international policy agenda.<br><br>*Risks*:<br>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. |
| | Outcome 3:<br><br>Scientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in Africa, Asia, and South America are increased. | Competence level of inter- and transdisciplinary research is enhanced.<br>Level and intensity of different stakeholder exchanges in the research process. | Module reports incrementally building up on project reports<br>Syntheses | *Assumption:*<br>Social and intercultural competencies are available |
| **Outputs (per outcome)** | **Output Indicators** | | | |
| **For outcome 1: Scientific evidence and research based solutions for reducing poverty and global risks are available.** | | | | |
| Output 11 | New, innovative concepts, methods, methodologies, techniques, technologies, products, tools, or approaches are identified, developed, validated, and applied. | Number of scientific peer-reviewed publications (together with some quality indicators)<br>Number of presentations at international scientific conferences outside of the r4d programme<br>Number of products for scaling-up and/or replication<br>Number of technolog- | Module reports incrementally building up on project reports<br>Syntheses | *Assumption*:<br>Willingness to transnational scientific collaboration and interaction with relevant stakeholders throughout the research process is confirmed |

13/16

| | | ical, social and political tools made available | | |
|---|---|---|---|---|
| **Output 12** | An active scientific network on global issues for development is enhanced | Number and quality of research project teams<br><br>Number of triangular North-South-South collaborations | Module reports incrementally building up on project reports<br><br>Syntheses | |

**For outcome 2: National and international stakeholders are informed on the nature of the problems, trade-offs, and options for tackling and solving problems in a more systemic and holistic manner, and make use of the provided evidence and tools.**

| | | | | |
|---|---|---|---|---|
| **Output 21** | Research results are effectively exchanged with stakeholders and applied | Number of concrete application examples from the projects<br><br>Number of presentations by projects partners in which the research results are discussed<br><br>Number policy briefs and policy fora<br><br>Reference to relevant international debates | Survey<br><br>Module reports incrementally building up on project reports<br><br>Syntheses<br><br>Project specific communication and implementation strategy | *Assumption*:<br><br>Willingness of stakeholders to take into account scientific evidence and act and decide based on evidence.<br><br>*Risks*:<br><br>Lack of interaction between research, policy and practice. |
| **Output 22** | Results of research are brought into relevant channels of international debate and regional and international policy dialogue. | | | |
| **Output 23** | Awareness on tackling global issues through systemic and interdisciplinary approaches has been raised | | | |

**For outcome 3: S**cientific competencies and expertise in dealing with the complexity of global issues for the benefit of societies in Africa, Asia, and South America are increased.

| | | | | |
|---|---|---|---|---|
| **Output 31** | Transnational research partnerships between researchers from Switzerland and Africa, Asia and/or Latin America are effective. | Number of co-authored scientific publications (peer reviewed articles) with authors from Switzerland and authors from Africa, Asia, and/or Latin America.<br><br>Degree of compliance with the 11 KFPE partnership principles. | Module reports incrementally building up on project reports<br><br>Syntheses | *Risks*:<br><br>The division of work and the benefit sharing favors only Swiss research community<br><br>Researchers have no or little interest or incentives in interdisciplinary collaboration due to lack of incentives |

14/16

| | | | | |
|---|---|---|---|---|
| **Output 32** | Interdisciplinary collaboration be-tween social, natu-ral, and engineering sciences is strengthened. | Number of co-authored scientific publications with authors from social and natural sciences. | | |
| **Output 33** | The capacities to identify and tackle new issues with a potential global impact for develop-ing countries are strengthened. | Number of promoted researchers (gender disaggregated) Number of completed BSc, MSc, and PhDs with projects (gender disaggregated; in Switzerland / partner countries) Number of involved Postdocs within pro-jects in Switzerland and in partner coun-tries Number of partici-pants in r4d Skills events | | |

## Annex 2 Organigram r4d programme
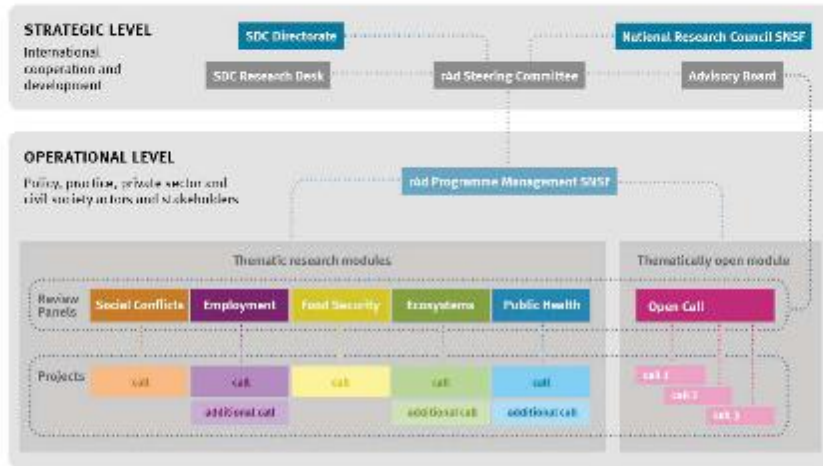


## Annex 3 Timeline r4d programme

# Appendix XX  Interview Protocol

## Introduction

**(Leave recording device off)**

In May 2017, Universalia was contracted to undertake the Mid-Term Review of the Joint SDC-SNSF Swiss Programme for Research on Global Issues for Development. You have been identified as a key respondent for the study, and we thank you for your participation in this interview.

The interview is confidential. While you will be named as a key informant of the study overall, in our list of consulted stakeholders, your specific contribution to the study will be anonymous. We will not associate your name with anything specifically included in this report.

Please confirm that I may record this interview.

**(Turn the recorder on, once confirmed)**

It is (today's date). I am interviewing (state the person's name), who has confirmed that I may record this confidential interview for research and evaluation purposes associated with the Mid-Term Evaluation of the r4d programme. Correct? (A prompt for the person to agree again).

## Important Note of Guidance to Interviewer

There are 20 themes, with sub-questions, outlined below, while 13-15 can typically be asked in a semi-structured interview. These questions have been designed to cover the range of issues addressed by the r4d programme. Thus, the interviewer will need to select the pertinent ones to ask respondents, depending on who they are, how early in the process the interview takes place, the type and level of experience of interviewee, how much time is allotted to the interview, the language skills of interviewees (e.g. familiarity with the r4d programme), and perhaps others. The actual formulation of questions will depend on these factors and relies largely on the interviewer. This should also be used to guide an experienced interviewer through a more conversational exchange – ideally keeping fairly closely to the order of questioning. This interview guide is situated with the tradition and method of semi-structured interviewing.

## Range of stakeholders

SDC Directorate, National Research Council Member SNSF, SDC Research Desk, r4d SteCo, Advisory Board, r4d Programme Coordinators SNSF, Review Panel Members (SDC and SNSF Delegates), Review Panel Members (External), Swiss Partners / PIs, Project Coordinators, Developing Country Partners / Co-PIs and Users (Developing Country National Authorities, Regional Authorities, International Authorities, NGOS, Private Sector, Academic).

| PHASE | INTERVIEW QUESTIONS/THEMES | SUB-QUESTIONS |
|---|---|---|
| **Warm-Up** | Your involvement with the r4d programme? | (NOTE: For interview participants with knowledge of multiple Modules and Projects, make sure to discuss all activities of relevance) |
| **Relevance** | Relevance of r4d programme | <u>All:</u> To what extent is the r4d programme relevant to: 1) you, 2) your organization, 3) SDC, 4) SNSF <br><br> <u>Researchers:</u> What is the perceived value of being funded by both SDC and SNSF through this r4d programme? <br><br> <u>All</u>: To what extent, if any, is the research conducted under the r4d programme aligned with the SDG discourse? |
| **Effectiveness** | Producing outputs | <u>All:</u> To what extent have you / has the programme produced quality outputs (*New, innovative concepts, methods, methodologies, techniques, technologies, products, tools, or approaches are identified, developed, validated, and applied*)? Please provide examples. |
| **Effectiveness** | Producing solutions | <u>All:</u> Have r4d projects produced evidence / researched-based solutions for reducing poverty that are both of high quality and available to relevant stakeholders? If not, do you anticipate they are likely to do so? |
| **Effectiveness** | Research exchange, dialogue, debate & application | <u>All:</u> Do you see evidence of the r4d programme supporting the exchange and application of research results? <br><br> <u>All:</u> To what extent are the results of r4d funded research being brought into relevant channels of international debate, and regional and international policy dialogue? <br><br> Please provide examples. <br><br> <u>All:</u> In your opinion, how likely is it that your / r4d projects will create recommendations, evidence and tools that will be used by national and international stakeholders? |
| **Effectiveness** | Awareness raising | <u>All:</u> How have you / PIs and Co-PIs used communications and media to inform national and international stakeholders about the problems, trade-offs, and options for tackling and solving problems? <br><br> <u>All:</u> To what extent has the r4d programme heightened awareness of the value of systemic and interdisciplinary research approaches for tackling global issues? |
| **Effectiveness** | Strengthened capacities | <u>All:</u> How has the r4d programme helped you / your organization strengthen your capacity to identify and tackle new issues in the development space? What measures could be taken to support capacity strengthening? |
| **Effectiveness** | Interdisciplinary collaboration | <u>All:</u> To what extent, if any, have your / r4d funded projects been interdisciplinary? (Prompt: social, natural, engineering…) Could you provide examples of key projects / components of projects that are interdisciplinary? |

| PHASE | INTERVIEW QUESTIONS/THEMES | SUB-QUESTIONS |
|---|---|---|
| **Effectiveness** | Interdisciplinary capacity | To what extent, if any, has your / the competence level of participating researchers to engage in inter- and trans-disciplinary research been enhanced through the r4d programme?<br><br>Is your research framed in terms of the SDGs, or other approaches to sustainable development? |
| **Effectiveness** | Research partnerships NS-SS | <u>All:</u> Have the r4d projects resulted in transnational research partnerships?<br>Please describe the nature and quality of the research partnerships (prompts: funding flows, co-creation of knowledge, etc.).  What types of communication practices are used in these teams?<br><u>Research teams:</u> Are you familiar with the *Commission for Research Partnerships with Development Countries' (KFPE) Guide for Transboundary Research Partnerships*? What are 2 key elements you integrate into your practice and work? |
| **Effectiveness** | Scientific network | <u>All:</u> To what extent has the r4d programme enhanced the scientific network on global issues for development, if at all?<br><u>All:</u> What is the value of supporting North-South and South-South collaboration in the context of the r4d programme? Please provide examples. |
| **Effectiveness** | Factors | <u>All:</u> What are some of the internal and/or external factors have contributed to the achievement or non- achievement of outputs and preliminary outcomes? (note to interviewer – you could ask this question in general, at this point, or at any time during the interviewing on any previous questions). |
| **Effectiveness** | Instruments | <u>All:</u> How do the following specific instruments help you / the programme to realise its objectives? How has each of these instruments been valuable for you? How could they be improved?<br>1. Monitoring (and the intensity with which it takes place), 2. Site visit (where they have occurred), 3. Mid-Term Evaluation (and which components have been valuable), 4. Module reports; 5. r4d Forum, 6. r4d Skills; 7. R4d conferences. |
| **Effectiveness** | Calls | <u>All:</u> What is the respective added value of the two types of Calls (Thematic vs Open)?<br><u>All:</u> What is the value of supporting both Thematic and Open research? Has the r4d programme struck an appropriate balance? Is it appropriate for an SDC-SNSF research program to support both types of Calls, and why?<br><u>SDC/SNSF/Panel Members:</u> Which factors explain the low submission rates and/or low success rates in some thematic modules? (E.g. outreach, resource allocations, framings, Call process…) |

| PHASE | INTERVIEW QUESTIONS/THEMES | SUB-QUESTIONS |
|---|---|---|
| **Efficiency** | Revision Process | All: How appropriate is the range of roles and responsibilities of Review Panels (given they review proposals, recommend projects, have responsibility for a project which they champion, evaluate projects, recommend projects for further funding…)? <br><br> All: How effective are the Review Panel members in performing the range of their roles and responsibilities? <br><br> All: What are the benefits of combined scientific and development-oriented reviews provided by scientific peers and practice-oriented experts? How is development relevance reflected in the Review Panels' assessments and recommendations? <br><br> All: Are Review Panel members managing their responsibilities efficiently? <br><br> All: Are there specific tasks creating difficulties for the Panel members? If yes, why? |
| **Efficiency** | Programme Management | SDC/SNSF/: How appropriate is the allocation of responsibilities between SNSF and SDC on the r4d program? <br><br> SDC/SNSF: How efficient is the management /division of labour between SNSF and SDC on the r4d program? <br><br> SDC: What is the added value, in terms of own-benefit, for SDC, in involving expert staff? |
| **Efficiency** | Project Management | All: How does the life-time management of r4d projects differ from basic research projects and what can we expect in terms of added value (cost-benefit)? What is the added-value of the 'steering intensity' of the r4d program compared to basic research projects? |
| **Lessons Learned** | Lessons | All: What could be done better in a future round of the r4d programme? <br><br> All: What lessons learnt can be drawn for re-directing the current and/or other similar programmes)? |
| **Cool-down** | Additional and closing | Is there anything that you would like to discuss further, or add, that we have not yet adequately covered? <br><br> Thank you for participating in the MTR. |

# Appendix XXI  Survey Results

**1.1 Please select as many of the following options that accurately depict your involvement in the r4d Programme:**

| Response | Chart | Percentage | Count |
|---|---|---|---|
| Principal Investigator (PI) | | 30.9% | 21 |
| Co-Principal Investigator (Co-PI) | | 45.6% | 31 |
| Coordinator | | 27.9% | 19 |
| None of the Above (selecting this will terminate the survey) | | 2.9% | 2 |
| | **Total Responses** | | **68** |

**1.2 With which Modules of the r4d Programme have you been directly involved?**

| Response | Chart | Percentage | Count |
|---|---|---|---|
| Social Conflict | | 13.6% | 9 |
| Employment | | 12.1% | 8 |
| Ecosystems | | 22.7% | 15 |
| Food Security | | 31.8% | 21 |
| Public Health | | 12.1% | 8 |
| Thematically Open Module: Call 1 | | 10.6% | 7 |
| Thematically Open Module: Call 2 | | 1.5% | 1 |
| | **Total Responses** | | **66** |

**1.3 What is your career level?**

| Response | Chart | Percentage | Count |
|---|---|---|---|
| Senior | | 74.2% | 49 |
| Mid-Career | | 18.2% | 12 |
| Early | | 7.6% | 5 |
| | **Total Responses** | | **66** |

**1.4 What is your gender?**

| Response | Chart | Percentage | Count |
|---|---|---|---|
| Male | | 72.7% | 48 |
| Female | | 27.3% | 18 |
| Other | | 0.0% | 0 |
| Prefer Not to Indicate | | 0.0% | 0 |
| **Total Responses** | | | **66** |

**2.1 Based on your experience and knowledge of the r4d Programme, for each statement below, please select the answer that best reflects your views:**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 2.1.1 The r4d Programme occupies an important niche, in Switzerland, in its provision of Research-for-Development support | 2 (3.0%) | 0 (0.0%) | 20 (29.9%) | 36 (53.7%) | 9 (13.4%) | 67 |
| 2.1.2 The r4d Programme occupies an important niche, globally, in its provision of Research-for-Development support | 1 (1.5%) | 1 (1.5%) | 25 (37.3%) | 35 (52.2%) | 5 (7.5%) | 67 |
| 2.1.3 Without the r4d Programme, it would be significantly more difficult to find resources to undertake my Research-for-Development work | 1 (1.5%) | 5 (7.6%) | 22 (33.3%) | 35 (53.0%) | 3 (4.5%) | 66 |
| 2.1.4 The r4d Programme strikes an appropriate balance between Thematic and Open research | 0 (0.0%) | 4 (6.1%) | 33 (50.0%) | 25 (37.9%) | 4 (6.1%) | 66 |
| 2.1.5 Guidance from the r4d Programme has helped our team broadly define our research in terms of contemporary global sustainable development discourses | 2 (3.0%) | 5 (7.6%) | 31 (47.0%) | 23 (34.8%) | 5 (7.6%) | 66 |
| 2.1.6 Guidance from the r4d Programme has helped our team specifically define our research in terms of the Sustainable Development Goals (SDGs) | 2 (3.0%) | 10 (15.2%) | 27 (40.9%) | 23 (34.8%) | 4 (6.1%) | 66 |
| 2.1.7 My career benefits specifically from the fact that the r4d Programme is jointly offered by SDC and SNSF | 1 (1.5%) | 10 (15.2%) | 17 (25.8%) | 25 (37.9%) | 13 (19.7%) | 66 |

**3.1 Based on your experience and knowledge of the r4d Programme, for each statement below, please select the answer that best reflects your views:**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 3.1.1 The r4d Programme is generating innovative solutions to contemporary sustainable development challenges | 1 (1.5%) | 4 (6.2%) | 27 (41.5%) | 33 (50.8%) | 0 (0.0%) | 65 |
| 3.1.2 The r4d Programme is facilitating the application of innovative solutions to contemporary sustainable development challenges | 0 (0.0%) | 7 (10.8%) | 23 (35.4%) | 33 (50.8%) | 2 (3.1%) | 65 |
| 3.1.3 My r4d Programme activities allow me to share research methodologies with researchers from other r4d project teams | 2 (3.1%) | 13 (20.0%) | 25 (38.5%) | 20 (30.8%) | 5 (7.7%) | 65 |
| 3.1.4 My r4d Programme activities allow me to share research findings with researchers from other r4d project teams | 2 (3.1%) | 8 (12.3%) | 33 (50.8%) | 19 (29.2%) | 3 (4.6%) | 65 |
| 3.1.5 The r4d Programme is effective in supporting the enhancement of a North-South scientific network on global development issues | 1 (1.5%) | 1 (1.5%) | 13 (20.0%) | 50 (76.9%) | 0 (0.0%) | 65 |
| 3.1.6 The r4d Programme is effective in supporting the enhancement of a North-South-South scientific network on global development issues | 1 (1.5%) | 1 (1.5%) | 16 (24.6%) | 46 (70.8%) | 1 (1.5%) | 65 |
| 3.1.7 The r4d programme has contributed to my team's improved scientific competencies and expertise in dealing with the complexity of global development issues | 1 (1.5%) | 3 (4.6%) | 16 (24.6%) | 45 (69.2%) | 0 (0.0%) | 65 |
| 3.1.8 The r4d Programme has strengthened my collaboration with researchers from disciplines other than my own | 1 (1.5%) | 4 (6.2%) | 16 (24.6%) | 43 (66.2%) | 1 (1.5%) | 65 |
| 3.1.9 The r4d Programme is strengthening my transdisciplinary collaboration with diverse stakeholders (academia, public, private, civil society) | 1 (1.5%) | 2 (3.1%) | 17 (26.2%) | 45 (69.2%) | 0 (0.0%) | 65 |

**3.2 The r4d Programme is contributing to improved awareness of innovative solutions to contemporary global sustainable development challenges among:**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 3.2.1 Policy-makers in Switzerland | 1 (1.5%) | 4 (6.2%) | 26 (40.0%) | 6 (9.2%) | 28 (43.1%) | 65 |
| 3.2.2 Policy-makers in developing countries | 0 (0.0%) | 2 (3.1%) | 30 (46.2%) | 32 (49.2%) | 1 (1.5%) | 65 |
| 3.2.3 The global development community (donors, NGOs, UN…) | 0 (0.0%) | 3 (4.6%) | 35 (53.8%) | 15 (23.1%) | 12 (18.5%) | 65 |
| 3.2.4 The general public in Switzerland | 2 (3.1%) | 7 (10.8%) | 20 (30.8%) | 4 (6.2%) | 32 (49.2%) | 65 |
| 3.2.5 The general public in developing countries | 1 (1.5%) | 11 (16.9%) | 28 (43.1%) | 14 (21.5%) | 11 (16.9%) | 65 |
| 3.2.6 The private sector – small scale (Switzerland) | 2 (3.1%) | 11 (16.9%) | 11 (16.9%) | 0 (0.0%) | 41 (63.1%) | 65 |
| 3.2.7 The private sector – small scale (developing countries) | 1 (1.5%) | 11 (16.9%) | 27 (41.5%) | 10 (15.4%) | 16 (24.6%) | 65 |
| 3.2.8 The private sector – multinational | 1 (1.5%) | 11 (16.9%) | 25 (38.5%) | 4 (6.2%) | 24 (36.9%) | 65 |

**3.3 Based on your experience and knowledge of the r4d Programme, for each statement below, please select the answer that best reflects your views:**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 3.3.1 My project has generated scientific evidence that has been used/applied by public stakeholders | 1 (1.5%) | 1 (1.5%) | 34 (52.3%) | 22 (33.8%) | 7 (10.8%) | 65 |
| 3.3.2 My project has generated scientific evidence that has been used/applied by private stakeholders | 2 (3.1%) | 13 (20.0%) | 25 (38.5%) | 7 (10.8%) | 18 (27.7%) | 65 |
| 3.3.3 My project has generated scientific evidence that has been used/applied by civil society stakeholders | 0 (0.0%) | 3 (4.6%) | 37 (56.9%) | 14 (21.5%) | 11 (16.9%) | 65 |
| 3.3.4 The r4d Programme has contributed to better Swiss public policies for poverty reduction and/or the reduction of global risks | 1 (1.5%) | 6 (9.2%) | 14 (21.5%) | 6 (9.2%) | 38 (58.5%) | 65 |

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 3.3.5 The r4d Programme has contributed to better developing country public policies for poverty reduction and/or the reduction of global risks | 0 (0.0%) | 6 (9.2%) | 23 (35.4%) | 14 (21.5%) | 22 (33.8%) | 65 |
| 3.3.6 The r4d Programme has contributed to better Swiss civil society / NGO programming related to poverty reduction and/or global sustainable development | 0 (0.0%) | 5 (7.7%) | 11 (16.9%) | 6 (9.2%) | 43 (66.2%) | 65 |
| 3.3.7 The r4d Programme has contributed to better developing country civil society / NGO programming related to poverty reduction and/or global sustainable development | 0 (0.0%) | 5 (7.7%) | 25 (38.5%) | 12 (18.5%) | 23 (35.4%) | 65 |
| 3.3.8 The r4d Programme has an appropriate gender strategy | 0 (0.0%) | 3 (4.6%) | 26 (40.0%) | 18 (27.7%) | 18 (27.7%) | 65 |
| 3.3.9 The r4d Programme gender strategy has led to research that is more gender-sensitive | 0 (0.0%) | 8 (12.3%) | 19 (29.2%) | 13 (20.0%) | 25 (38.5%) | 65 |
| 3.3.10 My research project has a gender strategy | 1 (1.5%) | 8 (12.3%) | 32 (49.2%) | 19 (29.2%) | 5 (7.7%) | 65 |

**3.4 Please list three main factors – internal to the r4d Programme – that have been central to the achievement or non-achievement of project and/or Programme outputs and/or outcomes.**

| # | QUESTION 3.4 – INTERNAL 1 |
|---|---|
| 1. | Partnership. |
| 2. | Promotion of multi-disciplinary collaboration. |
| 3. | To the achievement: funding. |
| 4. | Collaboration. |
| 5. | Support from r4d management. |
| 6. | Scope allows for establishing large-scale research networks. |
| 7. | Project villagers know well about their market trend by the r4d research program. |
| 8. | Enough funding from programme. |
| 9. | Pragmatic and flexible budget (re-)allocation. |
| 10. | 6 years of funding. |
| 11. | Transparency. |
| 12. | The PI. |
| 13. | Cohort of young PhD students from a variety of backgrounds. |
| 14. | Network of south and north. |
| 15. | Financial resources. |
| 16. | North South Partnership. |
| 17. | Gender strategy. |
| 18. | Support from r4d project officers. |
| 19. | Gender balance in recruitment and participation. |
| 20. | Openness to discussion of r4d staff at SNF. |
| 21. | Opportunity to work with colleagues in developing countries. |
| 22. | Multidisciplinarity of the different teams. |
| 23. | Strongly structured with research teams, review panels, and coordinators. |
| 24. | Financing support for dissemination of project results. |
| 25. | A problem at the beginning was the open contradictions about our project's qualitative and transdisciplinary approach between review panel members assigned to the project. |
| 26. | Financial support for North-South and South-South Partnership. |
| 27. | Communication intensity. |
| 28. | Ideologically bias review panel lacking knowledge on the subject under study has jeopardised progress constantly. |
| 29. | Flexible, responsive management. |

| # | QUESTION 3.4 – INTERNAL 1 |
|---|---|
| 30. | Team spirit. |
| 31. | Collaboration across scientists. |
| 32. | Well-organised and reliable support by the coordinating position. |
| 33. | Meticulous effort in preparing the details. |
| 34. | Difficult to answer, since project no yet finalised. |
| 35. | Monitoring mechanisms of the project at inception and in the mid-term. |
| 36. | Working together as a team group. |
| 37. | Local expertise. |
| 38. | Underestimation of academic experience in the south. |
| 39. | Application of the most critical KFPE principles of engagement. |
| 40. | Good focus and commitment. |
| 41. | Timely release of project funds has ensured that activities are not interrupted. |
| 42. | It takes time and other resources to provide empirical evidence. |
| 43. | Knowledge and collaboration among partners. |
| 44. | Partners and partnership in the project. |
| 45. | Delivery of project funds on time. |
| 46. | Timeframe for the project (3 to 6 years) = Positive. |
| 47. | Emphasis and incentives on North-South and South-South collaboration. |
| 48. | Provision of evaluators to monitor projects. |
| 49. | Building research partnership. |
| 50. | Inter-institutional collaboration. |
| 51. | Funding. |
| 52. | Flexibility supports adapting the r4d project to the different contexts in terms of planning. |
| 53. | "Direct" way of funding management. |
| 54. | Funding arrangement. |

| # | QUESTION 3.4 – INTERNAL 2 |
|---|---|
| 1. | Joint responsibility. |
| 2. | Funds for north-south-south collaboration. |
| 3. | To the achievement: regular reporting. |
| 4. | Diversity of team. |
| 5. | Interaction with other r4d projects. |

| # | QUESTION 3.4 – INTERNAL 2 |
|---|---|
| 6. | Allows for including Southern PhD candidates. |
| 7. | The stakeholders can get a change to communicate each other and share their knowledge by the program interviews and meetings. |
| 8. | Enough time from programme. |
| 9. | Support by local DEZA office in partner country. |
| 10. | Equal division of money North/South. |
| 11. | Competent Research Teams. |
| 12. | The Co-PIs. |
| 13. | Experienced leadership. |
| 14. | Interdisciplinary approaches. |
| 15. | Research network. |
| 16. | Team Building. |
| 17. | Flexibility in the management of budget lines. |
| 18. | Initiatives to foster collaborations. |
| 19. | Involvement of key stakeholders. |
| 20. | Support and insight from Advisors. |
| 21. | Long-term perspective. |
| 22. | Communication between teams and countries. |
| 23. | Highly facilitation and collaboration between researchers from North to South, North-South-South and South-South. |
| 24. | Financing of research in the developing country. |
| 25. | Good conflict management before the site visit of review panel members, which therefore was becoming an interesting experience. |
| 26. | Support for events and communication with multiple stakeholders. |
| 27. | Large grant has contributed to develop human capital in developing countries. |
| 28. | Extensive accompaniment and support. |
| 29. | The peers and the project officers. |
| 30. | Outcome oriented activities. |
| 31. | High commitment and substantive expertise by review panel. |
| 32. | Multi-disciplinary of the program. |
| 33. | Many institutional impediments (e.g. delays due to universitarian requirements etc.). |
| 34. | Requirements such as project theory of change, policy and stakeholder engagements. |
| 35. | Experience of the researchers. |
| 36. | Data. |

| # | QUESTION 3.4 – INTERNAL 2 |
|---|---|
| 37. | Research outputs focussed on researchers in the north. |
| 38. | Transparency and commitment among the project partners, especially the leadership. |
| 39. | Cross disciplinary teams. |
| 40. | Regular project meetings by project staff and donors to review activities and revise workplans. |
| 41. | Administration of the project. |
| 42. | Ability of local partners to involve policy makers. |
| 43. | Flexibility in implementing the project. |
| 44. | Facilitation of regular grantees meetings. |
| 45. | Quality partnerships (KFPE) = Positive. |
| 46. | Emphasis and incentives on policy impact. |
| 47. | Right choice of project evaluators. |
| 48. | Programme flexibility. |
| 49. | Multi-disciplinary. |
| 50. | Good co-ordination. |
| 51. | Informal contacts. |
| 52. | Strong scientific review. |

| # | QUESTION 3.4 – INTERNAL 3 |
|---|---|
| 1. | Budget autonomy. |
| 2. | Funds for data collection. |
| 3. | To the achievement: administrative support. |
| 4. | International meeting of teams. |
| 5. | Extremely biased, unfair, and deficient Review Panel. |
| 6. | Prestigious programme that generates interest among different stakeholders. |
| 7. | Project sill could not provide community development tasks. |
| 8. | Good programme coordination. |
| 9. | Support by Swiss Embassy in partner country. |
| 10. | Promote theory and practice. |
| 11. | Goal oriented. |
| 12. | The staff we hired, including PhD students, assistants, and project manager. |
| 13. | Funding. |
| 14. | Diversity of knowledge. |

| # | QUESTION 3.4 – INTERNAL 3 |
|---|---|
| 15. | Policy network. |
| 16. | Diverse Expertise. |
| 17. | On negative side - rules regarding overheads and funding. |
| 18. | Regular interactions among project staff through exchange of information and through workshops and visits. |
| 19. | r4d meeting in March 2016 just outside Geneva. |
| 20. | Adequate funding. |
| 21. | Involvement of farmers and the local authorities (village, commune and extension services) in the project activities (definition of constraints and solution, field experiments, choice of technologies for upscaling, etc.). |
| 22. | Fully financial support. |
| 23. | Financing the travelling of young researchers to visit Swiss partners. |
| 24. | Good interaction with, and constructive support from the R4D coordinator assigned by SNF. |
| 25. | Encouragement for high quality science. |
| 26. | Modest involvement of SDC is a missing opportunity to leverage results of the project. |
| 27. | Generous funding. |
| 28. | The cooperation of SNF ("r" quality) and SDC ("d" experience). |
| 29. | Problem oriented research. |
| 30. | Non-achievement: desire for recognition and misplaced expertise/ill qualification in review panel. |
| 31. | North-south collaboration. |
| 32. | Strong engagement of young researchers who want to change for better. |
| 33. | Opportunities for teams to interact with other teams in the same thematic group. |
| 34. | Sharing different perspectives to tackle same issues. |
| 35. | Networking. |
| 36. | Friendly relationships stablished among researchers. |
| 37. | Multiplicity of stakeholders involved guaranteeing transdisciplinarity. |
| 38. | International management support. |
| 39. | Regular communication by the project leader to all partners and monthly reporting. |
| 40. | At the beginning it took time to get a common understanding of the project. |
| 41. | Interdisciplinarity. |
| 42. | Resource allocation. |
| 43. | Provision of written feedbacks to grantees from panel members and/or r4d staff on both technical and financial issues. |
| 44. | Ambitious goals and set up = negative. |

| # | QUESTION 3.4 – INTERNAL 3 |
|---|---|
| 45. | Lack of internal expert guidance from r4d team in the employment module. |
| 46. | Free exchange of information between project team and administration of programme. |
| 47. | Programme organization. |
| 48. | North-South partnership. |
| 49. | Follow-up. |
| 50. | Flexibility (prolongment). |
| 51. | Emphasis on scientific publication. |

**3.5 Please list three main factors – external to the r4d Programme – that have been central to the achievement or non-achievement of project and/or Programme outputs and/or outcomes.**

| # | QUESTION 3.5 – EXTERNAL 1 |
|---|---|
| 1. | Mobilization of stakeholder. |
| 2. | Personal commitment of principal investigators. |
| 3. | To the achievement: extremely high intrinsic motivation of the team. |
| 4. | Support from local institutions. |
| 5. | Interaction with other researchers and projects. |
| 6. | Long-term partnerships. |
| 7. | South and North in global research communication. |
| 8. | Social unrests. |
| 9. | Social & political development in partner country. |
| 10. | Team spirit. |
| 11. | Political stability. |
| 12. | Our existing strong networks that we can tap into. |
| 13. | A real problem being addressed. |
| 14. | Feedback from external. |
| 15. | External research network. |
| 16. | Financial Resources. |
| 17. | Strong partners in the South. |
| 18. | Acceptance of project key objectives by National, Regional and District key governmental agencies. |
| 19. | Strong local partners. |
| 20. | Security issues. |
| 21. | Regularity of funding. |

| # | QUESTION 3.5 – EXTERNAL 1 |
|---|---|
| 22. | A well support of concern organizations both public and private sectors. |
| 23. | High commitment of research partners in the developing country. |
| 24. | Problem at the beginning: Institutional ownership not equal in all partners of the project. |
| 25. | Team cohesion. |
| 26. | Network. |
| 27. | International political context contributed to generate interest in the project, particularly with international organizations and policy makers in developing countries. |
| 28. | Environment of SDGs. |
| 29. | Transdisciplinary and participation. |
| 30. | Growing interest on the project topic. |
| 31. | High commitment and reliable partnership among research team in Switzerland and with partner countries. |
| 32. | Detail planning effort in the project. |
| 33. | Difficult to answer, since project no yet finalised. |
| 34. | Global and regional policy processes projects can tap into for their dissemination, capacity building and advocacy activities. |
| 35. | Collaboration with stakeholders. |
| 36. | Financial resource. |
| 37. | Commitment to achieve results beyond R4D expectations. |
| 38. | Interest and support by local stakeholders where the research is being implemented. |
| 39. | Felt needs of user stakeholders. |
| 40. | Project partners are fairly experienced in handling invasive species, team selection therefore done in an excellent manner. |
| 41. | Process of recruitment. |
| 42. | Self-motivation of people involved. |
| 43. | Political agenda in the developing country. |
| 44. | Strong project leadership shown by Swiss partners; - achievement. |
| 45. | Team work among international various research teams (rich but difficult). |
| 46. | Strong interest on ongoing academic work in the area of global employment. |
| 47. | Good project leadership. |
| 48. | Communication. |
| 49. | Country policies related to research themes. |
| 50. | Knowledge on insect by general population. |
| 51. | Different education systems and procedures in developing countries need to be considered. |
| 52. | Research team. |

| # | QUESTION 3.5 – EXTERNAL 1 |
|---|---|
| 53. | Existing scientific networks. |

| # | QUESTION 3.5 – EXTERNAL 2 |
|---|---|
| 1. | Climate factors. |
| 2. | Accessibility of stakeholders. |
| 3. | To the achievement: support by the scientific community in the field. |
| 4. | Reputation of participants. |
| 5. | Previous transdisciplinary work. |
| 6. | Change to learn projects countries, Global Sustainable Achievements. |
| 7. | Partnerships with complex institutions. |
| 8. | Support by external stakeholders in partner country. |
| 9. | True interdisciplinary research. |
| 10. | Trust. |
| 11. | The fact that many high-level meetings about our topics were held in this period. |
| 12. | Conflict over utilization as a form of control. |
| 13. | Support from the external. |
| 14. | External policy network. |
| 15. | Switzerland Political Commitment to Development. |
| 16. | Synergies with other similar initiatives. |
| 17. | Involvement of private participation. |
| 18. | Existing links and collaborations. |
| 19. | Host governments' political sensitivity. |
| 20. | Rainfall conditions. |
| 21. | Opportunities for sharing of research findings in workshop, seminar, symposium, conference are opening and facilitating r4d research. |
| 22. | Support of a NGO and Stakeholder. |
| 23. | Universities in Southern countries are impeding fast and effective start of research and sometimes it was difficult finding faculty members who were able to deal with complex inter and transdisciplinary research projects e.g. PhDs embedded into a wider programme like r4d. |
| 24. | Political will to pick up policies recommended. |
| 25. | Expert competence. |
| 26. | Academic interest in the topic contributed to acceptance of papers in conference and peer review journals. |
| 27. | Political commitment to gender equality. |

| # | QUESTION 3.5 – EXTERNAL 2 |
|---|---|
| 28. | SDGs. |
| 29. | Emerging policy dialogues at the country level. |
| 30. | Network and contacts to important stakeholders in the respective countries (public authorities, civil society representatives, media). |
| 31. | International experience to design state project framework. |
| 32. | Very complex structure, not only North South, but also different disciplines, needs time to establish narratives that can be understood by a broader public. |
| 33. | Favourability of national research contexts. |
| 34. | The fact of having funds for the research. |
| 35. | Technical assistance. |
| 36. | Long-term experience on quantitative analysis in the south. |
| 37. | Interest and support by the relevant government departments of the host country. |
| 38. | Good collaborations with other countries. |
| 39. | Project generally in a familiar territory with partner countries already had some activities related to the project. Gaps were therefore already known, and the woody weeds project is helping to address them. |
| 40. | The research site is settled far from main management office with different facilities. |
| 41. | Coordination among partners. |
| 42. | Human resource in developing country. |
| 43. | Adherence to set plans and strategies within the project; - achievement. |
| 44. | Stakeholder engagement (also rich but complex). |
| 45. | Access to data in low income countries is often difficult and tedious. |
| 46. | Good collaboration between partners of diverse backgrounds. |
| 47. | Diversity of interacting teams and exchange of experiences. |
| 48. | Social Economic situations of targeted beneficiaries. |
| 49. | Knowledge of general population on edible insects. |
| 50. | Involvement of two partners in the South. |
| 51. | Similar challenging situations in the world. |

| # | QUESTION 3.5 – EXTERNAL 3 |
|---|---|
| 1. | Mobilization of private stakeholders. |
| 2. | Institutional capacity. |
| 3. | To the achievement: additional funding where SNF funding could not be used. |
| 4. | Relevancy of the topics such as conflict. |
| 5. | Long-term institutional research for development experience. |
| 6. | Challenge of land use and land tenure problems in project area. |
| 7. | - |
| 8. | Good collaboration with partners. |
| 9. | Timely Decision making. |
| 10. | Disagreement on the perceived safety of biological control. |
| 11. | Good relationship. |
| 12. | Supplementary contributions to the project from other sources. |
| 13. | Credible Partnership from the South. |
| 14. | Difficulties in obtaining data and quality of data. |
| 15. | Involvement of direct beneficiaries. |
| 16. | Expertise of team. |
| 17. | Communication. |
| 18. | My organization is also valued that r4d is important and valuable for research and capacity building for our staff. |
| 19. | High interest of the policy makers in the developing country. |
| 20. | Access to powerful actors of food systems, e.g. transnational companies or powerful political actors, is often difficult yet they are not always interested in providing objective information about key features of their food systems. |
| 21. | Commitment. |
| 22. | Political cycle has slowed down involvement of policy makers in two targeted countries. |
| 23. | Support from my own institution. |
| 24. | The divide between a global market and a nationalist world. |
| 25. | Political sensitivity of the issues discussed. |
| 26. | Non-achievement: academic training in publishing/scientific writing of partners. |
| 27. | Enrolment of the PhD candidates in the research. |
| 28. | Time is 'ripe' for SD related discussion. |
| 29. | Quality of research partnerships. |

| # | QUESTION 3.5 – EXTERNAL 3 |
|---|---|
| 30. | Networking. |
| 31. | Different time schedules for the academic year in the south. |
| 32. | Red-tape bureaucratic procedures that delay implementation. |
| 33. | Public/policy supportive environment. |
| 34. | The project has a strong stakeholder involvement and budget for this component is very minimal. Future projects should review and increase budgets for stakeholder involvement as an incentive for their participation. |
| 35. | The sample is located at the research site which facilitates the interaction between researcher and respondents. |
| 36. | Political will in the developing country. |
| 37. | Political unrest in Kenya and Ethiopia which is delaying some project activities; - non- achievement. |
| 38. | Complementarity of competences. |
| 39. | Managing a project across institutions with different managerial cultures. |
| 40. | Safe working environment. |
| 41. | Participatory stakeholder approach. |
| 42. | Academic programmes of Universities where students are enrolled. |
| 43. | Knowledge on insects as animal feed. |
| 44. | Involvement of research as well as government agencies. |
| 45. | Available training needs. |

**4.1 Please identify how satisfied you are with different components of the r4d Programme, thus far.**

| | Highly dissatisfied | Dissatisfied | Satisfied | Highly satisfied | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 4.1.1 Communicative practices (internal to specific projects) among research team members | 0 (0.0%) | 2 (3.1%) | 26 (40.6%) | 34 (53.1%) | 2 (3.1%) | 64 |
| 4.1.2 Decision-making practices within research teams | 0 (0.0%) | 3 (4.7%) | 23 (35.9%) | 35 (54.7%) | 3 (4.7%) | 64 |
| 4.1.3 Funding distribution flows to research teams | 0 (0.0%) | 1 (1.6%) | 30 (46.9%) | 31 (48.4%) | 2 (3.1%) | 64 |
| 4.1.4 Use of / Engagement with social media (Twitter, Facebook, LinkedIn, etc.) by r4d Programme staff | 0 (0.0%) | 8 (12.5%) | 14 (21.9%) | 8 (12.5%) | 34 (53.1%) | 64 |

| | Highly dissatisfied | Dissatisfied | Satisfied | Highly satisfied | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 4.1.5 Use of / Engagement with traditional media (e.g. newspapers, radio, etc.) by r4d Programme staff | 0 (0.0%) | 8 (12.5%) | 22 (34.4%) | 6 (9.4%) | 28 (43.8%) | 64 |
| 4.1.6 Use of / Engagement with social media (Twitter, Facebook, LinkedIn, etc.) by my project team | 0 (0.0%) | 11 (17.2%) | 30 (46.9%) | 11 (17.2%) | 12 (18.8%) | 64 |
| 4.1.7 Use of / Engagement with traditional media (e.g. newspapers, radio, etc.) by my project team | 0 (0.0%) | 11 (17.2%) | 33 (51.6%) | 12 (18.8%) | 8 (12.5%) | 64 |

**5.1 Please indicate the value of specific Programme instruments/tools in helping you realise project objectives (with 1 indicating no value and 4 indicating high value).**

| | 1 – 'No value' | 2 | 3 | 4 – 'High value' | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 5.1.1 Project-level monitoring overall by Panel Members | 4 (6.2%) | 4 (6.2%) | 20 (31.2%) | 28 (43.8%) | 8 (12.5%) | 64 |
| 5.1.2 Feedback provided by Panel Members | 5 (7.8%) | 3 (4.7%) | 13 (20.3%) | 37 (57.8%) | 6 (9.4%) | 64 |
| 5.1.3 Combined scientific and development feedback provided by Panel Members | 4 (6.2%) | 6 (9.4%) | 15 (23.4%) | 32 (50.0%) | 7 (10.9%) | 64 |
| 5.1.4 Site visits by Panel Members | 4 (6.2%) | 4 (6.2%) | 13 (20.3%) | 25 (39.1%) | 18 (28.1%) | 64 |
| 5.1.5 Mid-Term Evaluations | 4 (6.2%) | 2 (3.1%) | 15 (23.4%) | 22 (34.4%) | 21 (32.8%) | 64 |
| 5.1.6 r4d Forum | 2 (3.1%) | 6 (9.4%) | 14 (21.9%) | 22 (34.4%) | 20 (31.2%) | 64 |
| 5.1.7 r4d Skills | 3 (4.7%) | 5 (7.8%) | 18 (28.1%) | 16 (25.0%) | 22 (34.4%) | 64 |
| 5.1.8 Commission for Research Partnerships with Developing Countries' (KFPE) Guide for Transboundary Research Partnerships and its Principles | 1 (1.6%) | 6 (9.4%) | 19 (29.7%) | 12 (18.8%) | 26 (40.6%) | 64 |

**6.1 Based on your experience and knowledge of the r4d Programme, for each statement below, please select the answer that best reflects your views:**

| | Strongly disagree | Disagree | Agree | Strongly agree | Do not know/ Not applicable | Total Responses |
|---|---|---|---|---|---|---|
| 6.1.1 It is appropriate for the r4d Programme to issue two different types of Calls for Proposals (i.e. Thematic and Open) | 0 (0.0%) | 0 (0.0%) | 27 (42.2%) | 31 (48.4%) | 6 (9.4%) | 64 |
| 6.1.2 The r4d Programme has provided our research team with an adequate level of funding to meet project-level objectives | 1 (1.6%) | 4 (6.2%) | 38 (59.4%) | 20 (31.2%) | 1 (1.6%) | 64 |
| 6.1.3 The r4d Programme has provided our research team with an adequate level of funding to meet Programme-level objectives | 1 (1.6%) | 4 (6.2%) | 38 (59.4%) | 15 (23.4%) | 6 (9.4%) | 64 |
| 6.1.4 Non-financial support and guidance provided by the r4d Programme has improved our team's ability to meet project-level objectives | 3 (4.7%) | 6 (9.4%) | 32 (50.0%) | 16 (25.0%) | 7 (10.9%) | 64 |
| 6.1.5 Non-financial support and guidance provided by the r4d Programme has improved our team's ability to meet Programme-level objectives | 3 (4.7%) | 7 (10.9%) | 26 (40.6%) | 15 (23.4%) | 13 (20.3%) | 64 |
| 6.1.6 The r4d Programme is efficiently planned | 1 (1.6%) | 4 (6.2%) | 27 (42.2%) | 26 (40.6%) | 6 (9.4%) | 64 |
| 6.1.7 The r4d Programme is efficiently delivered | 1 (1.6%) | 5 (7.8%) | 24 (37.5%) | 25 (39.1%) | 9 (14.1%) | 64 |
| 6.1.8 The r4d Programme is providing good value for the funds expended | 0 (0.0%) | 1 (1.6%) | 19 (29.7%) | 38 (59.4%) | 6 (9.4%) | 64 |

**7.1 Please provide examples of unintended results (positive and/or negative) of the r4d Programme and/or your project:**

| # | QUESTION 7.1 – POSITIVE |
|---|---|
| 1. | Learning on strengthening partnership. |
| 2. | Extremely positive feedbacks and recognition within the wider research field. |
| 3. | We had created civil society movement sit on negotiation table. |
| 4. | The programme led to new ideas for further research beyond those listed in the original proposal. |

| # | QUESTION 7.1 – POSITIVE |
|---|---|
| 5. | Much engagement of researchers with local communities where research takes place. |
| 6. | Our project got good experiences, research methodology and project skill. |
| 7. | Our project is receiving a large attention from national partners that were not included in the proposal. |
| 8. | Project led to a Memorandum of Understanding between partner institutions as a basis for systematic collaboration on a broader level. |
| 9. | The research has attracted the attention of key decision makers. |
| 10. | 1) A PhD student found a new passion, they never expected to find and 2) the team has turned into a bit of a family, which improved motivation and the quality of the work. |
| 11. | Spin-off collaboration with other project participants outside of the project. |
| 12. | Micro Level Understanding of Multiple Gendered Intersections of Conflict Cycle. |
| 13. | High number of trained Master students. |
| 14. | Collaboration with other research projects. |
| 15. | Discussions across areas of expertise of team members and external partners. |
| 16. | Well support with review panel, advisors, partners. |
| 17. | Technology transfer after 3 years research. |
| 18. | High interest of non-academic local people, farmers and land workers for a dealing with a rather abstract concept of sustainability and its application to their own situation. |
| 19. | Initiated a process of civil participatory debate on the role of gender/women in Nigerian and Indonesia. |
| 20. | The capacity of scientific expertise of those involved in the project is improving. |
| 21. | Large exposure of our work among international organizations has allowed to extend our professional network. |
| 22. | Recruitment of Southern partners into Ph.D. programmes. |
| 23. | Facilitated new collaborations that have fostered new approaches of engaging with stakeholders. |
| 24. | Growing partnerships around the project's main objectives. |
| 25. | WLRC has become active member of the national steering committee in the prosopis review. |
| 26. | Strongly influence policy process in Switzerland. |
| 27. | Reacquainting with legal principles and legal research. |
| 28. | Improve social research. |
| 29. | Encouraging peer review publications among southern partners. |
| 30. | None |
| 31. | Bigger than expected interest from stakeholders. |
| 32. | New ideas from team members interaction that have gone beyond the project activities. |
| 33. | The findings could be used by the TRC. |
| 34. | Increase collaboration with government at sub-national level. |

| # | QUESTION 7.1 – POSITIVE |
|---|---|
| 35. | Increased income of local communities/people involved in implementing project activities; Higher relevance of project activities to the local than to the national level. |
| 36. | Capacity building among researchers. |
| 37. | Results of the project were used in documents prepared for the G20 meeting in Germany. |
| 38. | Farmers will have knowledge on rapid seed multiplication which was not the original objective. |
| 39. | Crossing the academic barrier with the stakeholder interaction. |
| 40. | Some work packages were started before the intended start time. |
| 41. | People increasing interest in Black soldier fly production. |
| 42. | We have developed additional research tools in addition to the one planned. |
| 43. | Improved South-South collaboration. |
| 44. | More collaboration between institutions. |

| # | QUESTION 7.1 – NEGATIVE |
|---|---|
| 1. | Cyclone damage. |
| 2. | None I could think of. |
| 3. | None |
| 4. | Biased and unprofessional Review Panel. |
| 5. | High expectations of different stakeholders that cannot be met through the project funds. |
| 6. | None |
| 7. | No negative result. |
| 8. | - |
| 9. | Opportunity to travel to sites and broaden perspectives of the problem. |
| 10. | None |
| 11. | Nothingness. |
| 12. | More time than expected for coordination and administration. |
| 13. | None |
| 14. | None |
| 15. | Long process in order to finalise the financial reports. |
| 16. | Problem of not being able to cover expectations emerging from research showing that local people are often being under severe pressure from powerful structural forces and actors, having the need to not only get acknowledgement of their dire situations by research, but also expect support for improving changing their situation. |

| # | QUESTION 7.1 – NEGATIVE |
|---|---|
| 17. | Decreased career options as an academic (perceptions by some recruiters that post-doc on projects they did not set up are not developing their own research agenda, which is extremely problematic during the very competitive recruitment process for academic positions). |
| 18. | Having to deal with unfair evaluation practices and unprofessional behaviour from two members of the review "expert" panel. |
| 19. | Takes time away from my own research agenda. |
| 20. | The approved budget was too low. Especially SNSF's scales for salaries in Switzerland are below market value. |
| 21. | Communication with boundary partners can be difficult, and if not done well can cause misunderstanding. |
| 22. | N/A |
| 23. | Some disconnections, due to complexity, more time would be needed sometimes. |
| 24. | Nothing comes to mind. |
| 25. | Reduce local research funding. |
| 26. | Reinforcing inequalities among PhD students in the north and in the south (southern students are supposed to study in the south only, there are no efforts to facilitate academic exchanges among them). |
| 27. | None |
| 28. | Quite high demands for more inputs from project beyond available funding. |
| 29. | Contrasting opinions on utilization of invasive species. For example, Prosopis species has 2 schools of thoughts for eradication and utilization respectively. The project team has members from both schools and this sometimes leads to unfriendly exchanges of opinions. |
| 30. | Difficult to track the same respondents in the all phases of the survey. |
| 31. | Difficult in building collaboration with government at the national level. |
| 32. | Oppositions from a few government officials in the case study areas, as a result of increased community interests on the use of a tree species that is considered a problem to ecosystems. |
| 33. | -- |
| 34. | I can't see any. |
| 35. | None that I can think of. |
| 36. | Not typical for this project only, raising too high expectations. |
| 37. | Slower progress than anticipated. |
| 38. | Lessons learned from institutions visited. |

**7.2 On a scale of 1-10 (with 10 being the highest), how satisfied are you with the support provided by the r4d Programme overall?**

| # | QUESTION 7.2 – SATISFACTION RATED ON A SCALE OF 1-10 (WITH 10 BEING THE HIGHEST) |
|---|---|
| 1. | 8 |
| 2. | 10 |
| 3. | 7 |
| 4. | 10 |
| 5. | 10 |
| 6. | 6 |
| 7. | 9 |
| 8. | 8 |
| 9. | 8 |
| 10. | 8 |
| 11. | 8 |
| 12. | 10 |
| 13. | 8 |
| 14. | 10 |
| 15. | 8 |
| 16. | 9 |
| 17. | 10 |
| 18. | 9 |
| 19. | 9 |
| 20. | 7 |
| 21. | 8 |
| 22. | 10 |
| 23. | 9 |
| 24. | 10 |
| 25. | 8 |
| 26. | 9 |
| 27. | 8 |
| 28. | 10 |
| 29. | 8 |
| 30. | 8 |
| 31. | 9 |

| # | QUESTION 7.2 – SATISFACTION RATED ON A SCALE OF 1-10 (WITH 10 BEING THE HIGHEST) |
|---|---|
| 32. | 8 |
| 33. | 3 |
| 34. | 10 |
| 35. | 7 |
| 36. | 5 |
| 37. | 9 |
| 38. | 8 |
| 39. | 6 |
| 40. | 9 |
| 41. | 8 |
| 42. | 8 |
| 43. | 8 |
| 44. | 7 |
| 45. | 8 |
| 46. | 8 |
| 47. | 8 |
| 48. | 9 |
| 49. | 8 |
| 50. | 8 |
| 51. | 9 |
| 52. | 8 |
| 53. | 9 |
| 54. | 8 |
| 55. | 5 |
| 56. | 9 |
| 57. | 9 |
| 58. | 8 |
| 59. | 10 |
| 60. | 10 |
| 61. | 8 |
| 62. | 9 |

**7.3 Please list three main strengths or positive aspects of the r4d Programme.**

| # | QUESTION 7.3 – STRENGTH 1 |
|---|---|
| 1. | Capacity building (PhD and master support). |
| 2. | Opportunity for multi-disciplinary research. |
| 3. | Substantial contribution to linking scholars from North and South. |
| 4. | Brought together diverse group of researchers. |
| 5. | Flexibility in the use of funding and in the support of research projects. |
| 6. | Commitment of the coordinators: very helpful, responding quickly. |
| 7. | Understanding each other. |
| 8. | Time (6 years). |
| 9. | Non-bureaucratic. |
| 10. | Potentially 6 years of funding. |
| 11. | Its scientific rigour. |
| 12. | It is a good and needed mix of research and practice. |
| 13. | Diverse participants. |
| 14. | Availability. |
| 15. | Creating good networking. |
| 16. | Funding. |
| 17. | Pool of Grounded Experts in Diverse Areas. |
| 18. | Providing financial and technical support for research and development in developing countries. |
| 19. | Focus on important development topics. |
| 20. | Involves grassroot participation. |
| 21. | Ability to have funding for formative research and interventions. |
| 22. | The very idea of R4D is excellent: north-south collaboration is difficult but essential. |
| 23. | Structure with global expertise in the field to support project. |
| 24. | Good support. |
| 25. | Is open to integrate research and action. |
| 26. | Foster global partnership and skill building. |
| 27. | Communication. |
| 28. | Large grant, potentially long projects allow to build strong North-South-South research networks. |
| 29. | Combination of academic and development goals. |
| 30. | Excellent opportunity for transdisciplinary research. |
| 31. | Focus on north-south collaboration. |
| 32. | Scientific quality of the research proposal. |

| # | QUESTION 7.3 – STRENGTH 1 |
|---|---|
| 33. | North south connections. |
| 34. | The fact that it is not research for its own sake, but research with developmental goals that understands that these processes take time to show results. |
| 35. | Forums. |
| 36. | Funding. |
| 37. | Establishment of international collaborative platforms. |
| 38. | A very good mix of thematic foci with broadly defined objectives to allow broad participation. |
| 39. | Holistic approaches. |
| 40. | Global coverage and representation of experiences and partners. |
| 41. | It matches with the current theoretical knowledge of the issue of memory. |
| 42. | Very well monitored. Reviewers' feedbacks are really useful. |
| 43. | Addressing the critical issue in the developing country. |
| 44. | Clear organisation and guidelines on finances. |
| 45. | Long-term. |
| 46. | North-South and South-South collaboration. |
| 47. | Search for very practicable solutions to issues. |
| 48. | Support. |
| 49. | Opportunity to strengthen partnerships among various research institutions. |
| 50. | Adequate funding. |
| 51. | Offers opportunities for interdisciplinary research. |
| 52. | Multidisciplinarity. |

| # | QUESTION 7.3 – STRENGTH 2 |
|---|---|
| 1. | Joint management. |
| 2. | Funds for north-south-south collaboration. |
| 3. | Excellent supporting of young academics. |
| 4. | Provides financial assistant to students to pursue their education. |
| 5. | Induced collegiality within and across teams. |
| 6. | Building strong research networks |
| 7. | Unity of project members. |
| 8. | Funding (3 millions). |
| 9. | Supportive and flexible. |
| 10. | Equal distribution of money North/South. |

| # | QUESTION 7.3 – STRENGTH 2 |
|---|---|
| 11. | Transparency. |
| 12. | It allows us to tackle real world issues and find solutions that meet the needs of communities. |
| 13. | A common goal approached from different angles. |
| 14. | Open to suggestions. |
| 15. | Open to disciplinary approaches. |
| 16. | Open-minded program support. |
| 17. | Partnership of Academia with Civil Society. |
| 18. | Contribution to Poverty Reduction in developing countries. |
| 19. | Support to research not otherwise funded in the Swiss academia. |
| 20. | Not gender biased. |
| 21. | 6 years of funding. |
| 22. | The project gives us a unique opportunity to engage in applied research that we would not have had otherwise. |
| 23. | Actively participation in project implementation by project principal, coordinators, partner, researchers. |
| 24. | Attractive financing. |
| 25. | Provides opportunities for inter and transdisciplinary sustainability research. |
| 26. | Foster scientifically-supported policy crafting. |
| 27. | Good coordination. |
| 28. | Forum facilitate exchanges with other research teams. |
| 29. | Flexible funding practices. |
| 30. | Real partnerships are established between Swiss and developing country scientists. |
| 31. | Links between science and policy. |
| 32. | Inter-regional collaboration. |
| 33. | Very important educational funding for Southern institutions. |
| 34. | The support and monitoring of project teams by peers who accompany the project from start to finish. |
| 35. | The different models for research. |
| 36. | Technical support. |
| 37. | Emphasis in primary data collection. |
| 38. | The joint implementation approach - involvement of participants from north and south. |
| 39. | Engagement from the program is high. |
| 40. | Scientific methods of interrogation of issues for proper conclusions and informed formulation of appropriate policies. |
| 41. | The project could bring new aspects. |

| # | QUESTION 7.3 – STRENGTH 2 |
|---|---|
| 42. | r4d officers are really motivated and good at motivating. |
| 43. | Strong support from north institution (partner). |
| 44. | Emphasis on stakeholders' involvement which insures that the minority groups with lots of impacts are not left out. |
| 45. | Bridging research and development. |
| 46. | Policy driven research. |
| 47. | Research is carried out at the site where solution is most needed. |
| 48. | Communication. |
| 49. | Linkages with private sector actors. |
| 50. | Communication. |
| 51. | Offers opportunities for transdisciplinary research. |
| 52. | international teams. |

| # | QUESTION 7.3 – STRENGTH 3 |
|---|---|
| 1. | Mutual trust. |
| 2. | Funds for data collection. |
| 3. | Potentials provided to intensely develop a new and young research field. |
| 4. | Quality control. |
| 5. | Generous grants. |
| 6. | Providing perspectives for young researchers e.g. as postdocs. |
| 7. | Enthusiastic on project works. |
| 8. | Open to non-traditional developing aid disciplines. |
| 9. | Promote theory and practice. |
| 10. | Goal oriented. |
| 11. | Stressing that communication is important (not just to disseminate results, but for the full project). |
| 12. | Good leadership. |
| 13. | Flexibility. |
| 14. | Fruitful feedback for the team. |
| 15. | Development of new potentially long-run North South Collaborations. |
| 16. | Attention and Commitment to Details, Process and Outcome. |
| 17. | Constitutions of multidisciplinary and multi-institutional teams. |
| 18. | Support to translate academic research findings into policy decisions. |
| 19. | Facilitates researcher-farmer complete participation. |

| # | QUESTION 7.3 – STRENGTH 3 |
|---|---|
| 20. | Flexibility and support of r4d staff. |
| 21. | We have enough freedom to produce high-quality research with a long-term perspective. |
| 22. | Fully financial support. |
| 23. | Financing of different activities, from the research up to dissemination, as well as equipment. |
| 24. | Focus on North-South partnerships. |
| 25. | Support methodologically innovative research. |
| 26. | Multinational networking. |
| 27. | Budget for dissemination activities. |
| 28. | Facilitation of global networking. |
| 29. | Deals with complex socio-ecological issues in a way that other SNF programmes do not allow. |
| 30. | Emphasis on building networks. |
| 31. | Science and policy (development) integration - project two phases. |
| 32. | joint publications. |
| 33. | Opportunities to learn from the work of other researchers in other disciplines and also to learn from other countries within the research project. |
| 34. | The connection with scientific experts. |
| 35. | Dissemination. |
| 36. | Possibility to carry out long-term research (6 years). |
| 37. | Competitive binding approach to ensure only the best quality proposals are funded. |
| 38. | Keen interest in project work. |
| 39. | Capacity building of nationals from participating countries. |
| 40. | It provides us with organisational skills for further project management. |
| 41. | I appreciate the fact that both research and policy implications are equally important. |
| 42. | Sufficient resource allocation. |
| 43. | A balanced North - South cooperation and collaboration. |
| 44. | Sufficiently funded. |
| 45. | Flexibility provided by the SNF in the administration of the project. |
| 46. | Good encouragement of research teams from r4d staff. |
| 47. | Feedback. |
| 48. | North-South partnerships. |
| 49. | Monitoring and evaluation. |
| 50. | The importance given to communicating research results. |
| 51. | Inclusion of training component. |

**7.4 Please list your top three suggestions or recommendations for improving the r4d Programme.**

| # | QUESTION 7.4 – RECOMMENDATION 1 |
|---|---|
| 1. | More exchange between different project (once a year if possible). |
| 2. | Program coordinator should be better informed about the rules of their own program (e.g., in terms of funds management). |
| 3. | Enhance sensitivity to project- and country-adequate tailoring of funding allocation. |
| 4. | Follow up with research implementation. |
| 5. | The programme needs a much better design and functioning of the Review Panel. |
| 6. | Explicitly encourage transdisciplinary processes (e.g. adaption of methods and contents in a multi-stakeholder process during the project, and application of transformation knowledge). |
| 7. | Should do more data sharing among every partner country. |
| 8. | PIs must do a lot of admin for the r4d program to follow the rules, this takes time and resource and should be decreased. |
| 9. | Support longer term collaborations (at a base level). |
| 10. | Continue! |
| 11. | The funding should be of long term. |
| 12. | The skills course on trans cultural communication was ridiculous and should not be repeated. |
| 13. | Sharing of progress reports. |
| 14. | Creating more activities with other R4D team. |
| 15. | Higher funding volumes for the thematically open calls. |
| 16. | Increase in Face to Face Meeting of Project Team Members. |
| 17. | Decrease the number of reports requested. |
| 18. | Allow to budget higher administrative and coordination costs. |
| 19. | Transportation needs of project staff be addressed. |
| 20. | Improve financial management tool. |
| 21. | The SNF staff should focus more on scientific deliverables rather than being side-tracked by social activities and interdisciplinary communication. |
| 22. | Set up platform to exchange research findings with similar r4d research. |
| 23. | Simply the procedure for the elaboration of the financial report. |
| 24. | Foment collaboration among similar projects from the beginning on and provide financial means for it, e.g. for organizing joint seminars for knowledge exchange or methodological training of junior researchers. |
| 25. | Further develop inter-r4d projects partnership. |
| 26. | Panel members should include experts on the topic of the call (there were no labour Economists in the Employment module). |
| 27. | Offer skills development for Southern partners (such as academic writing). |
| 28. | Adapt salary scales for Swiss staff to market value. |

| # | QUESTION 7.4 – RECOMMENDATION 1 |
|---|---|
| 29. | There is little appreciation by the r4d programme of the scale and complexity of the tasks undertaken by the projects. |
| 30. | More emphasis on building capacities in developing countries. |
| 31. | Time is too short. If possible, continued support be provided. |
| 32. | Consider paying staff time for co-applicant. |
| 33. | Still biased, northern institutes say what southern institutes have to do; instead of having the workshops in the South, have them in the North. |
| 34. | The programme could foster more regular interactions among the different projects outside the formal processes at project inception and throughout the project cycle structure of p |
| 35. | To promote more when a call for proposals is open. |
| 36. | Include other social components. |
| 37. | Participation from researchers in the south should be considered more seriously and based on competition. It appears as if now it is more or less a "requirement" that needs to be met. |
| 38. | Increase the funding for the component that promotes the application of most promising research innovations. This will help a great deal of also balancing research demands and societal expectations. |
| 39. | Enhance funding for each project. |
| 40. | Level of funding increased to enhance more regular sharing of progress by partners. |
| 41. | Ability to adapt to new hardness in case they happen. |
| 42. | Keep on organizing r4d skills please. |
| 43. | Emphasise site visits by panel members to help r4d realise development-oriented outputs. |
| 44. | More links between SDC and SNF actors, including in the country of research. |
| 45. | Panel members need to be qualified researchers on the topics being examined. |
| 46. | Increase funding duration to 4 years instead of 3 for more impact. |
| 47. | Strengthen sub-regional research collaborations. |
| 48. | None |
| 49. | Give more time for engaging PhD and Masters students in the South as the Process can be longer than expected. |
| 50. | Include a strong scaling up component. |

| # | QUESTION 7.4 – RECOMMENDATION 2 |
|---|---|
| 1. | Continue the projects that are in good way of conclusion. |
| 2. | All detailed expenditure rules should be clearly communicated from the beginning, not developed and/or changed "on the go". |
| 3. | Provide support in translations of project materials and outcome in local languages. |
| 4. | Alleviate pressure and insecurity from PI and Co-PIs by providing more security about second-phase funding. |

| # | QUESTION 7.4 – RECOMMENDATION 2 |
|---|---|
| 5. | Each and every researcher and assistant researcher should visit frequently to project partners countries. |
| 6. | This is a one-shot program, it will then fade out, you cannot build trust and long-term relations with that, continuity is essential, there should be a r4d_2. |
| 7. | - |
| 8. | There should special fund for mid-career scientists. |
| 9. | Develop a communication platform that works and is free for us. existing free ones are not good enough or secure enough and the one we pay for is rather expensive. |
| 10. | Newsletter (e.g. listing recent publications). |
| 11. | Strategy for post-project continuation of established collaborations. |
| 12. | Build in exchange program between the different R4D programme. |
| 13. | Increase flexibility in budget management. |
| 14. | Less regulations on site visits and in general reporting obligations. |
| 15. | Regularly upgrades project fund. |
| 16. | Clarify reporting procedures. |
| 17. | Sometimes the administrative tools have been cumbersome. |
| 18. | Support of project implementation after research findings. |
| 19. | More workshops and exchange between the different projects. |
| 20. | Avoid assigning panel members hostile to a certain project, whatever the reasons are. |
| 21. | Strengthen the communication on budget between the r4d teams and the project teams. |
| 22. | Evaluations should be fair, fact based, and use objective evaluation indicators instead of being ideologically driven. |
| 23. | Offer skills development for academics in development management (such as how to do a log frame). |
| 24. | Improve financial reporting tool r4dira. |
| 25. | Funding has to be realistic to the scale and complexity of the tasks undertaken. |
| 26. | More resources should be transferred to developing scientists. |
| 27. | PhD cannot finish in three years. It should be good to extend the support to the PhD students. |
| 28. | Against bias: have southern researchers examining issues in the North. |
| 29. | The midterm review and application for second phase is rather time-consuming and intensive, and should be simplified and require less paper-work. |
| 30. | For a research centre of developing country to be eligible if it works in partnership with the Swiss Commerce chamber in that country or with the Swiss embassy. |
| 31. | Increase funding. |
| 32. | Training for PhD students should include short-time exchanges in the North (for students in the South) and vice-versa. The way it is done currently reinforces inequality. |
| 33. | Increase research fora especially with other projects. |

| # | QUESTION 7.4 – RECOMMENDATION 2 |
|---|---|
| 34. | Choice of students should consider nationals of the participating countries as first priority for purposes of capacity building and for better continuation of post project activities. |
| 35. | Try to get the same understanding about the context of research on each site. |
| 36. | Improve interactions and communication between grantees institutions and their respective Swiss embassy/consulates to increase. |
| 37. | Objective of the panel should be to help research teams achieve the project objectives, and not to redefine the objectives. |
| 38. | Increase funding on training component. |
| 39. | Align thematic areas with science agenda of countries and regional bodies. |
| 40. | None |

| # | QUESTION 7.4 – RECOMMENDATION 3 |
|---|---|
| 1. | Improve or find a way to involve private sector in the project. |
| 2. | Provide opportunities for students joining the project to spontaneously apply for small extra funding if field research is necessary and if their results feed into the overall research. |
| 3. | Should be more efficient budget clarification process. |
| 4. | - |
| 5. | More calls! this is a great program. |
| 6. | Awards for PhD students. |
| 7. | More direct interactions with the SDC (our frequent interactions with the SNF are excellent and valuable). |
| 8. | Support more explicitly employment of postdocs vs PhD students. |
| 9. | Inter country project staff interactions must be encouraged more. |
| 10. | Allow for more interactions between projects and Advisors and SNF. |
| 11. | The roles in evaluations should could be clearer; for example, scientific evaluation should be done by external evaluators and not be in-house SNF staff. |
| 12. | Continues to support for research in developing countries. |
| 13. | Higher financing of the Swiss partners. |
| 14. | Provide a service for accessing to social medias and the pro-active production of audio-visual materials helping project team members to better link their specific research and communication with topics and requirements of the r4d overall programme. |
| 15. | Develop framework to sustain partnership and research implementation. |
| 16. | SNSF should evaluate the evaluators to avoid abuse of power. |
| 17. | Much more support for skills development needed, but the skills taught need to be determined by project teams, not the r4d programme (latter need to listen more to the needs of the former). |
| 18. | Enhance visibility of scientists in developing countries. |
| 19. | More balanced North South approach: e.g. comparative studies: North vs South. |

| # | QUESTION 7.4 – RECOMMENDATION 3 |
|---|---|
| 20. | It would be innovative to encourage comparative research which investigates development issues in Swicludes also in deveng some problems in Switzerland the rest of Europe. |
| 21. | Provide more technical support to the South. |
| 22. | Need to re-consider ways for long-term policy oriented impacts. The policy-making process is very complex. Interviews with policy makers and press conferences are certainly not the way. |
| 23. | Establish closer links to development programs/projects. |
| 24. | The project should have an assurance that phase 2 will be implemented. The 2-phase structure must be fully anchored to avoid situations where doubts are given room. Phase 1 gives an opportunity for scientific interrogation followed by phase 2 for testing the models and hypothesis developed and subsequent policies that will be generated from the study. |
| 25. | To meet additional unpredicted costs while running the project. |
| 26. | Initiate a window for funding small projects whose activities and deliverables can be done and realised within a short time. |
| 27. | Fund more projects that will target capacity building of youths in developing countries. |
| 28. | More partnership with private sector to improve uptake of research results. |
| 29. | None |

## 7.5 Please share additional thoughts or comments about any aspect of the r4d Programme

| # | QUESTION 7.5 – ADDITIONAL THOUGHTS OR COMMENTS |
|---|---|
| 1. | The project we carried out under R4D program is well adapted to the context existing in developing countries. The stakeholders agreed to be part of the project because of the innovative approach based on learning. The only difficulty has been the mobilization of private sector actors at the national level. Research is not yet considered as a priority for this type of actor. We need to find a way to solve this issue. |
| 2. | Together with my team in two countries I deeply thank the r4d programme and its generous funding for allowing us building up a very unique young research group and their applied research in the Global South. Support by the programme has been highly efficient and helpful. This was a truly interesting and motivating experience which already now has led to the formation of a third generation to follow the path. |
| 3. | I have often heard that Swiss senior researchers and Southern partners said that the achievements of the NCCR North-South model may be lost if future instruments do not build on them. I am not so familiar with this programme, but it may be worthwhile to use the lessons learned and major achievements of the NCCR North-South for the design of future programs. |
| 4. | Very satisfied and experience program for our country development, project members can get interviewing methodology, and translation practise from the project tasks. Our project research assistants can get the works experiences to get support for their further study. Our institution also gets valuable experiences on land sectors and good communication with other stakeholders and organisations.<br><br>We also still have expectation from the project for supporting to community development from the project villages. |

| # | QUESTION 7.5 – ADDITIONAL THOUGHTS OR COMMENTS |
|---|---|
| 5. | The r4D programme has huge developmental expectations from the projects which cannot be hold even with a 6 years/3millions project. <br><br> I have the impression that the panel is only interested in developmental issues and not in Research and guide projects in that direction. |
| 6. | The support of the r4d programme officers is highly appreciated! |
| 7. | This is an important program which gives an opportunity for the North and South Scientists to share knowledge and experiences. |
| 8. | This research is a valuable research that increase my knowledge on gender in the area of conflict and peacebuilding. It increases also my capacity to create networking with scholars from many different backgrounds. It increases also my skill of publications. |
| 9. | The is an excellent program addressing a major niche in Swiss research funding. Interactions with the SDC could be stronger and it would be nice to have a clearer idea on any potential plans beyond the ongoing program. As one important output of the program is to establish new north south collaborations, it would be nice to know if there is any support to maintain these relationships beyond the end of a given project, say, through new calls for proposals. |
| 10. | This evaluation is coming too early in our project to be useful. |
| 11. | The r4d programme is highly valuable and one of the most interesting and innovative programme in the Swiss research context. It allows to fund research that was previously almost impossible to fund. The programme puts Switzerland among the top countries supporting research for development. |
| 12. | Recommend quarterly meetings for all project participants. |
| 13. | The r4d should continue and provide support of research and capacity building for developing countries. It is crucial and useful platform to close knowledge gaps of developed and developing countries. R4d is global initiative to sustainable development research based platform which practices locally allowed young practitioners opportunities to share and exchange with highly experts in the field. The r4d should be expanded and fully support. |
| 14. | Our team and partners were very satisfied with the programme. We have especially appreciated the good support of the programme team and the financial support, especially for the partners in the developing country. |
| 15. | It would be good to offer a 3rd phase aiming at institutionalizing the most outstanding research team members at their home institutions and/or to provide seed money for developing third party funded projects allowing to continue consolidating further development and dissemination of main concepts, methods, tools and instruments resulting from a r4d project. |
| 16. | It is an excellent programme that has provided unique opportunities in line with the mission of the Gender Centre at the Graduate Institute. In this way, it has helped strengthen not only the capacities of our Southern partners, but also built additional capacity on gender and development in Switzerland. |
| 17. | The R4D (woody weeds) project is indeed excellent project with a good balance of theory and practice. |
| 18. | What was most hindering was institutional impediments: some universities / faculties do not value joint papers; sometimes difficult to build trust so that intermediary research findings can be easily shared without being misused; important to not further replicate the north south bias (s. suggestions above); more time for paper and policy brief writing and workshops, accept that there may be delays due to the complexity of the endeavour. |

| # | QUESTION 7.5 – ADDITIONAL THOUGHTS OR COMMENTS |
|---|---|
| 19. | This programme has provided the opportunity to build strong north-south research partnerships that will survive long after the project comes to an end. It is well designed and executed and supports teams to keep them on track. A great initiative. |
| 20. | None for the moment. |
| 21. | Overall, I think R4D programs provide a very interesting opportunity to carry out collaborative research and engage in north-south exchanges. Yet, I believe that the program is not innovative in the establishment of more equal relationships with their southern counterparts. There is an implicit underestimation of experiences and academic skills in the south. Emphasis on evaluation is given through publications lead by Northern researchers. It appears as if southern collaborators are included because "they have to." |
| 22. | Overall, the program is very useful, from the South, we have gained a great deal, especially the interdisciplinary type of research that is new, but in addition, the capacity building via PhDs and MSc is major plank in this program and most valued to enhance capacity in developing countries. |
| 23. | More projects should be supported in Africa because a lot of information is lacking. This will also help to build capacities of the nationals who have few or no chances of securing support as that provided by the r4d programme and this must be encouraged. |
| 24. | No additional comments, i have addressed the main issue in the responses to questions. |
| 25. | R4D would initiate regional meetings in developing countries in order to facilitate and simplify sharing of information among grantees. Also in areas where there is more than one funded project per country, the SDC country coordinators could arrange for forum to share information and outputs at country levels. |
| 26. | This Programme could be more visible. |
| 27. | There is a strong need to better select the panel members providing guidance. They need to be qualified researchers. We had a very unpleasant and nonconstructive interaction with the two members of the panel that followed our project. |
| 28. | It is a laudable program in contributing to food and income security in the developing world. It should be and sustained. |

# Management Response of the r4d programme Steering Committee

**The management response of the r4d programme steering committee appraises the MTR Report as valuable document with key learnings and recommendations.**

In 2017, the r4d programme was reviewed by an external company, Universalia, from Canada. The Mid-Term Review (MTR) covers the period from the start of the programme in 2012 until end of 2016. Its objectives were to provide insight into the efficiency and effectiveness of the programme, to highlight lessons learned thus far, to inform the remainder of the programme until December 2021 and research for development programming more broadly.

## A TIMELY FORMATIVE EVALUATION

We, the Steering Committee of the r4d programme, thank Universalia for the extensive and useful final report and welcome its findings. We are pleased that the r4d programme's progress is recognised as relevant and that early results demonstrate that the programme is making positive changes in terms of development outcomes. We are also glad to learn that the r4d programme is perceived as an effective and efficient undertaking with significant potential for bridging the spheres of scientific research and development.

We generally agree with and take note of the recommendations and lessons learned in the report. The MTR was undertaken at a time when research results were emerging and is, therefore, based on an assessment focused on the early stages of the r4d programme. Due to its timing, the MTR could not assess some of the activities that will be key for the dissemination and uptake of the research results at programme level, especially the synthesis work.

## DESIGNED FOR SUSTAINABLE DEVELOPMENT

Contributing to systematic changes for sustainable development through research results is a complex and ambitious endeavour. The Steering Committee holds that the uptake of the research results is largely depending on the researchers' efforts when interacting with different stakeholders in the process of their research. Many features of the r4d programme were specifically designed to encourage such uptake at country or thematic levels as the beneficiaries of the programme are primarily stakeholders in developing countries or experts working in specific thematic fields. Donor agencies act as contributors or facilitators in funding research for development; they are not the primary users of the research results. However, the Swiss Agency for Development and Cooperation (SDC) has already started to engage actively in the synthesis process to benefit from the knowledge generated by the r4d programme and will continue to do so.

The MTR used a mixed methods approach and included diverse informants in order to answer a variety of questions. As recipients of the results, we note that some MTR conclusions largely draw on inputs provided by the research community members, especially by means of the often-cited online survey among academics. A more balanced representation of viewpoints from the diverse group of informants has been expected.

## LESSONS LEARNED AND RECOMMENDATIONS

The MTR offers 24 findings on relevance, effectiveness and efficiency and 28 recommendations. Our response focuses on each of the ten recommendations for the remainder of the r4d programme. It does not include replies to the 18 recommendations for future programmatic strategies as they will be taken as very valuable inputs once the preparations of the next multi-year planning processes start.

*r4d programme Steering Committee, March 2018*

# Effectiveness in Research

## RECOMMENDATION 1

Research teams have indicated that an important factor of success stems from the quality of research partnerships. Thus, the r4d Programme should further focus on improving the quality of research partnerships. Towards doing so, the r4d Programme is encouraged to provide comparable access to the Programme's capacity strengthening dimensions, including its skills development and training (e.g. r4d Skills).

Capacity strengthening with a focus on Southern research partners will contribute to minimizing the gaps in research quality and capacities, and will support more balanced partnerships. In particular, r4d skills workshops should be made accessible to remote participants through web-enabled technologies. Training could also be provided to Swiss-based and developing country partners on communications, outreach and a slew of other elicited thematic areas.

Given the centrality of developing country partners to research uptake, the development of Southern capacities alongside those of Swiss-based partners can be expected to contribute to the effective uptake of research.

MTR Report, p. 25

## MANAGEMENT RESPONSE

Fully agree.

### Justification
The r4d programme focuses on funding research that it is both of high scientific quality and relevant for development. Hence, capacity building is not a stand-alone objective of the r4d programme but is integrated in the programme objectives, mainly under objective three. The r4d programme, being based on well-established research partnerships and exchanges between the global North and South, inevitably contributes to an increased exchange of knowledge, competences and capacities at both ends. Furthermore, mutual learning and capacity building also emerge by providing research positions for a high number of PhD students and post-doctoral researchers in the projects. Finally, the Swiss government holds an annual competitive selection process, accessible also to the r4d projects, to provide individual excellence scholarships for foreign scholars to come and study in Switzerland.

### Measures
The Steering Committee and the r4d programme management will further explore relevant learning processes beyond project teams, topics or countries. The r4d Skills series will continue until 2020. Its content/themes is/are based on the requests of researchers as well as on identified key skills needed in contemporary research for development. The r4d Skills series will continue to explore possibilities for online/blended learning events to include more researchers in the workshops. Issues related to equal opportunities and access, including those who might be disadvantaged due to their geographical (remote locations), age (younger) or gender (female) characteristics, will be considered when planning managing future events. Co-authored publications by partners are encouraged throughout the projects' lifetimes.

# Favouring Uptake
# Engaging with Potential Users

## RECOMMENDATION 2

It is the responsibility of researchers to develop uptake pathways, strategies and practices, both overall and as appropriate to their project trajectories. Given that not all r4d researchers are equally savvy and effective in pursuing relevant uptake approaches, they should seek appropriate support in their development. Indeed, the r4d Programme could provide important support for the remainder of its lifetime, notably on engaging with potential users.

The r4d Programme (including Review Panel members) should support projects as early as possible in their strategic engagement with potential users, ensuring both that research outputs are well aligned with the needs of users and there are established linkages through which the research is made available to users. Engagement with users yields better results when it is done proactively – if the research is aligned with the users' needs and if users are aware of the research. Uptake efforts are less fruitful if undertaken entirely post facto. The experience from OM projects is of great value in this respect.

MTR Report, p. 25

## MANAGEMENT RESPONSE

Fully agree.

### Justification
We strongly support the timely and effective implementation of this recommendation by the research teams. Transdisciplinarity, pathways to application and communication strategies are an integral part of the selected r4d projects. The objectives of the r4d programme can only be achieved through timely communication to and effective cooperation with other system stakeholders (larger science community, private sector, civil society organisations, media, policy-makers, international organisations and public at large).

### Measures

We will continue to systematically monitor the project teams' efforts to meet their planned milestones related to application and communication, as well as to following-up and adjusting their strategies based on specific recommendations provided by the Review Panel members during the site visits and mid-term evaluations. Review Panel members give advice on key moments and target groups, and suggest opportunities of engagement in global, national and local networks. If necessary, an r4d skills workshop on stakeholder mapping and engagement could be organised.

The recently initiated synthesis work, which has not been under scrutiny of this MTR, will be implemented during at least four years of the r4d programme. The efforts so far will feed into this work. It will be aligned with the already existing processes in order in order to ensure quality and impact of the uptake strategies, both at the module and programme levels.

# Favouring Uptake
# SDC Uptake Pathways

## RECOMMENDATION 3

The MTR revealed that SDC uptake pathways are yet to be developed, and are a latent and potentially powerful resource for favouring the use and uptake of results. At the MTR, it is now an appropriate time (i.e. there is a "window of opportunity) for the SDC to articulate and provide appropriate support for these potential uptake pathways to become catalytic, in several ways:

- At Headquarters: With the support of the SteCo, the r4d Secretariat and a few key Review Panel members, the SDC should develop an identification and uptake support strategy to review all projects and identify appropriate pathways for development uptake of the most promising findings. Pathways for uptake and scalability of research outputs need to be strategised for Switzerland and internationally and can include many channels, including engagement with development banks, multilateral agencies, bilateral agencies, in-country policy makers, civil society and private sector networks. Techniques that include the knowledge fairs and learning routes used by IFAD may be drawn upon for these purposes. This should be done through a dialogical approach with the researchers themselves.

- At Country Office level: The SDC should engage with projects at two stages: i) when the research process itself requires engagement with policy-level actors in countries, the SDC can provide support in establishing linkages through its in-country channels; ii) at the output stage, SDC should help researchers engage with policy actors in developing

countries. Context is the biggest external factor in the effective delivery of outputs and outcomes, and is an area where the direct support of SDC can provide strong support. This should also be done through a dialogical approach with the researchers themselves.

MTR Report, p. 26

## MANAGEMENT RESPONSE

Partially agree.

### Justification

As indicated in the introduction, the r4d programme has not been designed to primarily influence SDC activities, but rather to contribute directly to sustainable development in partner countries or at global level. The research partnerships funded by the r4d programme enable the research projects to be grounded in the local reality, thanks to the contextual knowledge of the researchers from the partner countries. In addition, the r4d programme has been designed to encourage co-creation of knowledge that includes continuous exchanges between all stakeholders involved, including researchers and the SDC. It is expected that this set-up provides the best opportunity to disseminate research results at project level. Although staff from the SDC are available to support researchers in establishing policy links at country and global level, this can only be complementary to the activities undertaken by the researchers themselves. Importantly, the request for such a support should come from the researchers' teams. The success of the SDC uptake strategy will depend on the researchers' willingness to engage in a policy dialogue at institutional or country level.

### Measures

At module and programme level, the SDC remains interested to further utilise and disseminate relevant new knowledge created within the r4d programme. The synthesis processes that have just started will contribute to this objective during the remainder of the programme until 2021. The SDC representatives are being engaged in the synthesis process to contribute to the translation of research results that are both user-friendly and relevant for the development community. Existing thematic focal points and networks will be utilised wherever possible for diffusion of relevant r4d thematic results and products as well as for enabling various forms and processes of dissemination.

## Favouring Uptake
## SDC Institutional Support

### RECOMMENDATION 4

To take advantage of the current window of opportunity, the SDC needs to provide adequate institutional support, and this in a number of important ways.

- SDC SteCo members and Review Panel members should pursue engagement with the SDC Board of Directors, to advance the strategic value of the Programme and elicit their vocal institutional commitment for the remainder of the Programme life-time.
- The r4d Programme should be included in the SDC's annual planning cycle as part of its Management by Objectives. This would entail the provision of appropriate resources for SDC staff to perform functions related to the Programme (e.g. as Review Panel members, in support of uptake activities, etc.).
- Towards favouring that this commitment filters down consistently through the institution and is strengthened, SDC should clarify its human resource commitment to the Programme. This could be done specifically through the allocation of Resources for Duty for working on the r4d Programme.
- To counter the challenge of staff rotation at SDC, handovers/knowledge transfer processes should be pursued, ensuring continuity in institutional memory.

MTR Report, pp. 26-27

### MANAGEMENT RESPONSE

Partially agree.

#### Justification
The SDC Board of Directors has regularly been informed and invited to contribute key messages from Swiss development cooperation to the r4d programme. A first meeting between the Advisory Board of the r4d programme and the SDC Board of Directors took place in 2016 and a second one is planned for 2019. Bi-annual meetings between the director or one of the vice-directors of the SDC and the director of the SNSF are organised to exchange on the strategic orientations of research for development and more specifically on the developments in the joint funding instrument, the r4d programme.

#### Measures
To continue this engagement, the MTR report and the Management Response of the Steering Committee will be presented to the SDC Board of Directors and the question of the human resources allocated to this programme will be discussed at this level. Knowledge transfer processes exist as rotation is a regular feature of the

working life at the SDC, but still require specific individual efforts to ensure the continuity of institutional memory.

## Favouring Uptake
## Communications

### RECOMMENDATION 5

Though Communication Budgets are generally being spent in ways that are appropriate to their trajectory, the review undertaken of Food Security project communication-related spending suggests that a small proportion of projects may be underspending on communication-related activities. Thus, it is recommended that r4d Programme Coordinators review the entire portfolio of projects' communications spending, and provide additional guidance and support to those projects whose communications' strategies and practices reveal themselves to be underdeveloped.

MTR Report, p. 27

### MANAGEMENT RESPONSE

Fully agree.

#### Justification
The Steering Committee already discussed the communication-specific monitoring and came up with steps to be undertaken to fully utilise the potential for an effective communication already planned within existing project proposals and budgets.

#### Measures
The r4d Steering Committee has instructed the r4d programme management to:

- review the entire portfolio of projects' communications spendings,
- monitor and closely follow the implementation of the spendings and meeting of the provided conditions.
- provide additional guidance and, if needed, advice (through the Review Panels) to projects whose communications' strategies and practices are under-developed and not convincing in meeting the set conditions.

Furthermore, synergies with the synthesis process will be explored and created wherever and whenever possible. The r4d programme management is in direct dialogue with the projects on how to improve and poten-

tially how to gain from synergies with the synthesis processes. The SDC, through its communication specialists, thematic focal points and networks, can also support specific r4d programme communication activities whenever such an engagement is helpful and desired.

## Favouring Uptake
## Targeting the private sector

### RECOMMENDATION 6

An under-developed area of this programme for the outreach, use and uptake of research has been the private sector. Given the growing role of the private sector as a development actor, including multinational corporations, the Swiss private sector and private sector actors in developing countries, the r4d Programme (and the projects it supports) should focus on a strategic and targeted engagement with the private sector, especially but not limited to projects that address the private sector. This can be done through strategically engaging with the Swiss State Secretariat for Economic Affairs (SECO) and the Competence Centre for Engagement with the Private Sector (CEP).

MTR Report, p. 27

### MANAGEMENT RESPONSE

Partially agree.

#### Justification
We take note of this important recommendation and encourage the research teams to invest more efforts into information and cooperation with non-academic actors, including the private sector stakeholders. This concerns especially project teams that are directly working on topics where private sector issues, stakeholders and/or regulatory frameworks are under research scrutiny and/or play a decisive role.

#### Measures
The r4d management will ask Review Panel members to provide advice or contact information that may facilitate the work of researchers in this respect to relevant project teams.

In some modules engagement with the private sector could start in the context of the synthesis process. The SDC Competence Center for the Engagement with the Private Sector (CEP) and the State Secretariat for Economic Affairs should be brought on board as soon as specific matters of interest are being identified.

## Monitoring and Instruments

### RECOMMENDATION 7

Some ambiguity persists for Review Panel members about expectations, roles and parameters of monitoring overall. It is thus essential that the r4d Programme clarifies the role of Review Panel members in monitoring projects, with clear distinction of what differentiates mandating the direction and form of research relative to providing possibly useful advice and recommendations during site visits, when providing feedback on progress reports and then in the Mid-Term Evaluations. In particular, it is important to clarify for Panel members how to manage perceived "ownership" of research projects and providing advice along with their decision-making role in recommending funding continuation (or not).

### RECOMMENDATION 8

While monitoring has been in many ways appreciated by researchers and Review Panel members alike, it is quite understandable that in some cases conflicts should emerge, especially given the multiple roles of the Review Panel members. The r4d Programme is encouraged to establish a light conflict resolution process in the short-term, especially one that relates to potential conflicts in monitoring, while crafting a more elaborate conflict resolution policy and process for any future r4d programme.

### RECOMMENDATION 9

While there are no formal, project reporting requirements on the SDGs and Gender, these are nonetheless important areas of interest and concern at project and Programme level. Thus, it is recommended that project proponents are encouraged (but not required) to report on their alignment with the SDGs and on the gender-sensitivity of their projects in their scientific reports (e.g. in the section on ethical considerations). Doing so would provide the r4d Programme with insights on these matters, which could inform future programming meaningfully. It must be emphasised that project performance should not be gauged against such report, and that this remains a learning exercise.

MTR Report, pp. 27-28

### MANAGEMENT RESPONSE

Fully agree.

#### Justification
We are aware that some ambiguity in the role of Panel members is inherent and cannot be completely resolved. To avoid formal escalations of conflicts, a conflict resolution mechanism will be developed and employed.

We second the recommendation to encourage introduction of SDGs and Gender as additional elements of reporting. Alignment with the 2030 Agenda is already part of the methodological approach of the synthesis work.

### Measures

With respect to recommendations 7 and 8, the r4d programme management informs the Review Panel and the projects in good time about expectations, roles and parameters. It will establish a light conflict resolution mechanism, based on experiences with previous processes. This includes early communication of potential conflict resolution possibilities and defining contact persons for mediating a conflict.

With respect to recommendation 9, the r4d programme management included two sections on SDGs and gender in the reporting guidelines to enable transversal learnings about these points in the r4d programme.

# Contribution to the Literature

## RECOMMENDATION 10

Many projects are undertaking research in conflict areas, taking risks and addressing challenges that frequently result in methodological adjustments. Given the important and growing body of literature on researching in conflict environments, the r4d Programme should encourage its researchers to consider pooling insights and publishing on such matters, in addition to their publishing and dissemination that is thematically focused.

MTR Report, p. 28

## MANAGEMENT RESPONSE

Fully agree.

### Justification

This recommendation will be taken into consideration and further reflected upon during the synthesis process, especially within the Social Conflicts module.

### Measures

A review article or collection of practices (reflective, concerned, contextualised science) on research in fragile contexts is planned in the Social Conflicts module as a synthesis product. Furthermore, cooperation and synergies with other relevant stakeholders, such as the Commission for Research Partnership with Developing Countries (KFPE) and the Academies of Sciences, will be actively sought in order to create synergies and to avoid overlap.