EVALUATION 2010/1

SDC'S RESEARCH RELATED ACTIVITIES

Schweizerische Eidgenossenschaft
Confédération suisse
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Swiss Agency for Development and Cooperation SDC

Evaluation of

SDC's Research Related Activities

Commissioned by the Corporate Controlling Section
of the Swiss Agency for Development and Cooperation (SDC)

Contents:

Bern, March 2010

Evaluation Process

Evaluations commissioned by SDC Senior Management were introduced in SDC in 2002 with the aim of providing a more critical and independent assessment of SDC activities. Joint SDC/SECO programs are evaluated jointly. These Evaluations are conducted according to DAC Evaluation Standards and are part of SDC's concept for implementing Article 170 of the Swiss Constitution which requires Swiss Federal Offices to analyse the effectiveness of their activities. SDC's **Senior Management** (consisting of the Director General and the heads of SDC's departments) approves the Evaluation Program. The **Corporate Controlling Section**, which is outside of line management and reports directly to the Director General, commissions the evaluation, taking care to recruit evaluators with a critical distance from SDC.

The Corporate Controlling Section identifies the primary intended users of the evaluation and invites them to participate in a **Core Learning Partnership (CLP)**. The CLP actively accompanies the evaluation process. It comments on the evaluation design (Approach Paper). It provides feedback to the evaluation team on their preliminary findings and on the draft report.

Evaluation research shows that involving key stakeholders in generating recommendations leads to a higher rate of implementation. During a 1 ½ day Synthesis Workshop, the CLP validated the evaluation findings and conclusions and, with the facilitation of the SDC Evaluation Officer and the Evaluation Team, elaborated recommendations and lessons learned for SDC from their perspective. These are noted in the Agreement at Completion Point (ACP). The ACP was forwarded to the Director of Global Cooperation (the department in which the Research Desk is located) who drafted the Senior Management Response which was subsequently approved by SDC's Directorate (the Director General and the heads of SDC's Departments). The ACP of the CLP and the Senior Management Response are published with the Final Evaluators' Report. The Senior Management Response forms the basis for future rendering of accountability.

For further details regarding the evaluation process see the Approach Paper in the Annex.

Timetable

Step	**When**
Evaluation Programme approved by Senior Management	September 2008
Approach Paper finalized	July 2009
Implementation of the evaluation	September – November 2009
Agreement at Completion Point	December 2009
Senior Management Response in SDC	March 2010

I Long Evaluation Abstract

Donor	SDC
Report title	Evaluation of SDC's Research Related Activities
Geographic area	Africa, Asia, Latin America
Sector	Other: Research
Language	English
Date	December 2009
Authors	The Policy Practice Limited, UK: Andrew Barnett, Gareth Williams, Anna Khakee

Subject Description

This report is an independent evaluation of the Swiss Agency for Development Cooperation's (SDC) support for research related activities. The evaluation focuses on four sets of issues:

- Policy: Assessment of relevance and adequacy of SDC's strategies and policies, including an assessment of how research and related policies are made and lessons learned.
- Portfolio: Assessment of relevance of the strategic orientation and composition of SDC's research.

Results: An assessment of research results against policy objectives in terms of relevance, quality, utilisation and developing country research capacity building.

Management: Assessment of the quality of SDC's management of its research activities including assessment of its decentralised management approach, and its promotion of research partnerships. This will cover the effectiveness of SDC's institutional set-up for achieving the objectives of its research policy and research master plan.

Evaluation Methodology

The purpose of the evaluation is to assist SDC to render accountability for SDC's past actions and to contribute to improvement of SDC's future performance in supporting research related activities by identifying the critical research policy and management issues. Research-related "back-stopping" or consultancy financed by SDC was not within the scope of the evaluation. Similarly the evaluation did not cover the performance of the researchers that were supported by SDC.

Seven methods were used to obtain the necessary evidence: 1) a review of policy and legal documentation, 2) key informant interviews in Switzerland, 3) electronic questionnaire surveys of SDC staff, Swiss researchers, and research partners in the south, 4) an analysis of the research portfolio, 5) a review of project documentation (10% sample), 6) a review of existing evaluations of SDC research activities, and 7) case studies illustrating the working of different SDC research funding instruments.

Major Findings and Conclusions

Overall this evaluation takes a rather positive view of the research activities that SDC has funded in the past. SDC has a proud record of supporting effective and relevant research. While SDC has spent only a modest share of its research funds in Switzerland, it has succeeded in stimulating a vibrant development research community that has demonstrated its ability to undertake high quality and relevant research. Strong capacity and critical mass appears to have been achieved in several areas, including environmental science,

agriculture, water and sanitation and health systems, as well as across several social science disciplines. SDC has made a serious investment in building research capacity in developing and transition countries, in particular through promising North-South, West-East research partnership models that appear to be strongly appreciated by all parties. SDC has also helped to develop some commendable models for research programme management, as well as an effective joint funding mechanism with the Swiss National Science Foundation.

In spite of this positive record, there is a strong sense of dissatisfaction with SDC's present approach to funding research. The research community in Switzerland points to a loss of technical competence in SDC and a loss of interest in research as an instrument of development. Within SDC there is increasing questioning of the benefits of funding research, and criticism of a portfolio that has become fragmented, unmanageable, overly affected by personal and political interests, insufficiently exposed to competition and impossible to monitor due to the weakness of information systems. The good intentions of SDC's many excellent research policy statements are let down by weak management practices that prevent research activities being harnessed most effectively in support of SDC's strategic goals. There is a particular disconnect between SDC's investment in research and the use of research findings at the operational level. While there are many individuals in SDC who remain very interested and committed in the subject, there is a sense that research for development has become a rather sideline issue. Research funding, while substantial, is well below the target that was set in 2002 of spending 6% of SDC's budget on R&D. Research management functions appear to be badly under-resourced to the extent that it will be very difficult to improve and demonstrate the performance of SDC's research activities, and to establish their place more firmly within the organisation.

The concerns raised by this evaluation point to the need for a fresh approach. Business as usual is not an option, in particular because the context for SDC's research funding is changing fundamentally. SDC's reorganisation raises serious questions about whether and in what form research will be required in the new structure. Other developments in the domestic political context, such as the closer relationship between SDC and the Federal Ministry of Foreign Affairs and the Swiss Foreign Policy for Science create further pressure for change. Finally, rapid change in the international development and aid context mean SDC will need to embrace new themes and funding modalities. SDC's ability to embrace these changes will depend on it having a strong research function to scan the horizon for new issues and to determine how the agency should respond.

Summary Recommendations

The evaluation makes a number of recommendations of about what SDC needs to change to improve its support for research related activities. These are grouped under the following five headlines:

- develop a new research policy.
- define the organisational structures required to implement the new research policy.
- define and adopt "essential standards" for results based research management, including Managing for Development Results and improved procurement standards.
- adapt existing information systems to facilitate strategic oversight, research project management, knowledge management and communication of research results which addresses.
- develop mechanisms to maximize the use of the results of research, including within SDC's own operations.

II Senior Management Response[1] to the Evaluation of SDC's Research Related Activities

Introduction

SDC senior management takes note of the final report "Evaluation of SDC's Research Related Activities"[2] dated 20 January 2010 and the "Agreement at Completion Point of the Core Learning Partnership (CLP)" dated 19 January 2010 and thanks all those involved for the detailed presentation and identification of problems related to SDC's research-related activities[3]. It appreciates the quality of the evaluation report.

The evaluation team positively evaluated, in particular, the support of relevant research; the building of research capacities in partner countries, namely via research partnerships; the role of SDC in creating a "development research community" in Switzerland; and the joint funding mechanism with the Swiss National Science Foundation (SNSF).

The findings of the evaluation criticize certain aspects, among which: no shared understanding of what "research" constitutes; no clear relation of SDC-funded research to the strategic objectives of Swiss development cooperation; the lack of a convincing rationale as to why SDC supports development research; the widespread lack of transparent, logical criteria as to what should be funded and what not; little exchange of content between SDC and the universities; and insufficient application of the results.

Principles guiding future SDC investment in research

1. SDC senior management acknowledges the fact that research and innovation are decisive factors for sustainable economic, social and ecological development and for solving global problems, and are among the key drivers of an inclusive globalization.
2. SDC's investments in research must be coherent with the mandate[4] and the long-term strategic objectives of SDC. Within this framework, SDC will continue to fund research to the same extent (reference figure: around CHF 40 million per year under decentralized responsibility and around CHF 10 million per year under central responsibility).
3. Taking into account the evaluation and the recommendations of the CLP, senior management hereby defines the approach for an efficient and effective support of research. The 1993 and 2002 research policies are hereby replaced.

[1] The original language of the SMR is German.
[2] This concerns the SDC's entire research portfolio (under the framework credits of the South Message and Eastern Europe Message). It does not cover the promotion of research in the new EU member states within the context of the European policy.
[3] Research is to be distinguished from, among other things, (academic) training, further education, practical internships (cf. traineeships for junior professional officers); consulting mandates and contract mandates at universities for the implementation of development projects.
[4] The legal bases for research within the context of development cooperation and cooperation with the East: Federal Act on International Development Cooperation and Humanitarian Aid, dated 19 March 1976; Ordinance on International Development Cooperation and Humanitarian Aid dated 12 December 1977/Federal Act on Cooperation with Eastern Europe dated 24 March 2006; Ordinance on Cooperation with Eastern Europe dated 6 May 1992, and the respective Messages.

Prioritisation of research objectives

4. Senior management is committed to setting a clear priority for research and defines as its main objective the *production of new knowledge, innovative approaches and practical application of scientific knowledge.*

5. A distinction is made between:

   a) The production of *knowledge* as a *"global public good"* (via research contributions)
      - for solving development, transitional and global problems
      - for evidence-based policy and thematic political dialogue

   b) The production of *knowledge for SDC* (via research mandates)
      - to directly support the policy and program work of SDC's head office and coordination offices
      - to enhance the quality of Swiss international cooperation.

6. While it is important to build up research institutions and support national science systems, in view of the available funds this is not an objective per se of SDC-supported research programs. However, research activities must be designed so as to contribute to building up and enhancing research expertise and research networks in development-relevant fields, and to make a positive impact on the institutional research environment in Switzerland and in partner countries.

7. The research concept[5] for the *development and cooperation* policy area deals with research policy and strategic issues and is designed as an overarching reference and orientation framework for research support during a legislature period. The national and international contexts are taken into account.

Research support: types and principles

8. It is necessary to distinguish between research mandates for scientific studies/analyses and various forms of research contributions, i.e., contributions to international organizations/institutions/networks; to research programs in the context of global programs or priority themes; and contributions to research partnership programs/funds.

9. In the case of research mandates, these are SDC projects carried out by third parties. Full steering responsibility lies with SDC as the client. Contributions are financial participations. The division of responsibilities for steering and accountability is negotiated with the partner organizations and contractually determined.

10. The following key principles must be taken into consideration for research contributions:

    - They must be related to the long-term strategic objectives and thematic priorities of Swiss development cooperation.
    - Research freedom in terms of formulating research questions and selecting methods must be respected.

[5] In 1997, the Federal Council decided that a research concept must be developed for each policy area. SDC has prepared two research concepts, one for the period 2004 – 2007 and one for 2008-2011. The next research concept will cover the 2013 – 2016 period.

- When granting funds to research programs and projects, the principle of competition must apply provided the contributions are not part of a strategic partnership such as CGIAR.
- The focus must be on research which is excellent, development-relevant and innovative.
- Research cooperation must be on a partnership basis.

11. If appropriate and important, SDC collaborates with other donors, and coordinates its research support on a national and international level.

Need for reform of North-South research programs/funds

12. SDC senior management sees no fundamental need for reform of the decentralized part of the research portfolio, i.e. research mandates and research contributions to international organizations/institutions/networks as well as program contributions related to the strategic priorities of global cooperation, regional cooperation programs and cooperation programs in Eastern Europe. The main focus needs to be placed on quality assurance and results-oriented management.
13. However, SDC senior management has identified a major need for action in the thematically and regionally unbound. North-South programs/funds[6], which it finances partly or wholly with approximately CHF 7 million a year and which are managed centrally by the SDC's research desk.
14. SDC senior management intends to optimize this centralized area of the research portfolio by setting up a fund on global issues [7]:

- The funds available to date for North-South programs will be combined and invested in a competitive fund for research programs on global issues, in cooperation with the Swiss National Science Foundation (SNSF) e.g. in line with the "matching fund" principle. Swiss research institutions (including ETHZ/EPFL and universities of applied science) apply for these combined funds in a competitive process (according to SNF practice). The possibility of collaborating with the Swiss Federal Commission for Technology and Innovation (CTI), with a view to application-oriented research and innovation promotion, will be explored.
- *Planned format as of 2011/12*: Periodical tender process (every 2-3 years) for research programs for consortia of research institutions in Switzerland and developing countries; focus on solving global problems (1-2 research topic on global issues per tender); research partnerships between research institutions in Switzerland and developing countries (according to the DAC country list), each partnership for a duration of 6-8 years.
- The research desk, part of the Analysis and Policy (A +P) Section, is responsible for SDC contributions to the fund, strategic steering and monitoring of the overall program within SDC, and acts as the central point of contact for the SNSF.

[6] EPFL-SDC Fund, Jeunes Chercheurs, Echanges Universitaires, research partnerships with developing countries SNF-SDC, promotion of research partnerships between developing and transition countries and Swiss universities of applied sciences, ETH North-South: RFPP: Research Fellow Partnership Programme, NCCR North-South
http://www.deza.admin.ch/de/Home/Themen/Rechtsstaatlichkeit_Demokratie/Prozess_und_Methodenwissen_Forschung/Forschung/Foerderinstrumente

[7] This covers all global issues with which SDC deals (i.e. not only those which come under SDC's global programs).

- Units within Global Cooperation (GC), Regional Cooperation (RC) and Humanitarian Aid (HA) propose themes for tenders and, as part of their thematic/technical remit are responsible for monitoring the content of selected research programs, cooperating with the involved research institutions, quality assurance, knowledge transfer and application of the results. To this end, they make the necessary human resources available for the entire duration of a program.
- The finances for this fund (indicative annual budget of approx. CHF 10-12 million) are defined in the context of SDC messages.

15. SDC senior management commissions the management of GC to draw up the details of this reform and conduct the relevant negotiations with the SNSF, and to inform the research institutions about the realignment of research funding in this area.
16. For the development of a concept for the fund for research on global issues and its implementation, a support group with representatives from the global programs, 'Focal Points' and SDC domains will established, which will be coordinated by the research desk. Where appropriate representatives of universities, federal institutes of technology and universities of applied science will be involved based on their expertise.

Management of research mandates and contributions, responsibilities

17. SDC senior management requires that minimum quality standards be complied with and declares as binding the principles of PCM for research mandates and CCM[8] for core contributions to research organizations/institutions (corresponding adjustment for program contributions) for results-oriented management.
18. To enhance transparency and enable the statistical calculation of research investments (according to SFSO, OECD standards), "research" will be incorporated as a SAP characteristic and all federal institutes of technology, Swiss universities and universities of applied science will be recorded in the SAP database. The possibility of transferring responsibility for statistical calculation and data collection to SDC's statistics will be considered.
19. Institutional responsibility is governed on a decentralized basis for research mandates; for contributions to international organizations/institutions/networks, responsibility lies with GC and RC, HA or CEE (Cooperation with Eastern Europe); for contributions to local research institutions, with RC, HA / CEE; for program contributions regarding global or priority themes, with GC (global issues) or RC (thematic responsibility). The fund for research on global issues is centrally managed by the research desk/ A+ P (around 20% of the research investment).
20. Line management of the organizational units of GC, RC, HA or CEE is responsible for the management and quality assurance (including tender process/awarding, monitoring, reporting and dissemination or application of the research results) of research mandates and contributions and for cooperation with research institutions and regular evaluation of such cooperation.

[8] Project Cycle Management / Core Contribution Management

21. The following tasks in particular are centrally performed by the research desk/A+P for SDC as a whole:

    - All activities related to research policy and strategy and coordinating tasks at the national and international level related to research and research promotion
    - Strategic steering and monitoring of the 'global issues' fund
    - Point of contact for SNSF and SER (State Secretariat of Education and Research) on all research-related matters
    - Overview of the research portfolio
    - Coordination of an internal support group/sounding board for the definition and selection of research priorities and the discussion of research-relevant issues
    - Organization of an annual meeting with important institutions related to research (SER, SNSF, ETH, universities) at senior management level
    - Organization of regular meetings between the important research institutions/research scientists and interested/responsible program officers, with the aim of jointly assessing cooperation and results
    - Support and advice to all organizational units on how better to put research findings into operational practice and on the alignment of research mandates and contributions.

More effective utilization of research results

22. Research findings from contribution programs are published by research institutions or scientists over the normal research channels. A communication plan for the exchange, uptake, application and use of new knowledge must in future be an integral part of research programs.

23. At least twice a year, research institutions must make formal contact either with the funding section or the funding coordination office as well as the networks and sections interested in the content of their research, during which expectations are exchanged and innovative, relevant research results presented, jointly discussed and evaluated, and – where practical – documented and disseminated in policy briefs.

24. The responsible units make innovative research results which are relevant for SDC activities available on the Intraweb via the research desk or on network sharewebs, or publish them in other appropriate media.

25. Heads of departments, divisions, and sections ensure the commitment of their staff to incorporating research results into their planning and implementation work. Line managers of organizational units also ensure that the research findings from contribution programs are incorporated into thematic networks.

26. The Knowledge and Learning Processes Division supports operational units, networks and contribution recipients with the exchange or transfer of knowledge.

Agreement at Competion Point (ACP) of the Core Learning Partnership (CLP)

General Appreciation

The report provides a thorough and comprehensive view of the wide range of research activities supported by SDC. The report is readily understandable, provides a sound body of evidence, and contains clear proposals for change. It describes a general shift of emphasis in SDC from technical to managerial expertise and the limited interaction of most staff with researchers. The report identifies the absence of a common understanding of what constitutes 'research' within SDC and a lack of differentiation of the different objectives and instruments for funding research. The CLP agrees that there is an urgent need to address the weaknesses identified by the evaluation team in particular in part three of the evaluation report.

A few criticisms of the report were raised. The discussion of the value of SDC funding research by CGIAR and other multilateral agencies is limited and lacks substantial evidence. The report sometimes fails to sufficiently differentiate views and attitudes towards research in different departments in SDC. In addition, the report could have included more practical or concrete guidance drawing on the expertise of the evaluation team, and their experience of how other research donors are addressing these issues.

Lessons from the Evaluation

The CLP drew eight overall lessons from the evaluation:

1) Research is essential for innovation in SDC and its partners.

2) Do not assume that research takes a single form and serves a single purpose. Research related funding takes many forms, builds on different outcome hypotheses and, thus contributes to a number of objectives. Therefore it requires a range of instruments specific to each purpose.

3) Recognise that the results of research and research related activities must demonstrate added value to the achievement of SDC's goals in order to keep it high on the agenda.

4) Find ways to anchor research more firmly in SDC at the institutional level while recognising that success often depends on individual enthusiasm and energy.

5) SDC needs a better database of research activities and results in order to manage its investment and knowledge better.

6) SDC needs to do more to communicate relevant research findings to users or potential constituencies in order to maximise the benefit.

7) The participatory process used in the evaluation and workshops enabled the aggregation of information and synthesis of key issues. Such a process is necessary to build consensus and ensure wide ownership of the recommendations.

8) During the implementation of the recommendations it will be important to go back to the report and utilise the detailed evidence provided.

Recommendations of the Core Learning Partnership

1. SDC should develop a new research policy.

The Core Learning Partnership shares the view of the evaluation report that SDC needs to be clearer in explaining the reasons for funding and supporting development research, and more strategic in finding ways to achieve its objectives. This requires a new research policy with clear status and applicability across SDC that defines the role and weight of research in SDC in general and of the different forms/categories of research in particular, and also serves as a basis for the Research Master Plan (requested at the federal level). The task of drafting the new research policy should be the responsibility of the Analysis and Policy section, and should be completed by mid-2010. The research desk should have responsibility for coordinating the process, and should form a task force involving operational and thematic staff. The CLP considered it crucial for SDC to put in place stronger mechanisms, lines of responsibility and clear messages from senior management to ensure that research policy is actively developed, implemented and monitored across the organisation.

The CLP agreed that the new research policy should:

- Provide a clearer vision and rationale on the value of research to SDC in its work at policy, country and thematic level, including capacity building in partner countries and Switzerland.
- Recognise that there are different types of research based on different logics. The new research policy should clearly define the different types of research related funding and explain how they contribute to SDC's objectives according to explicit outcome hypotheses (models of change). SDC's future research instruments should be closely matched to these different types and objectives.
- Take account of the changing national and international context for development research, including the development of the Swiss Foreign Policy for Science.
- Focus more on SDC's evolving long-term thematic priorities for development and transition, while also taking greater account of the areas of Swiss research competence.
- Simplify the portfolio. Concentrate on fewer actions, and promote research programmes rather than individual projects.
- Include an explicit policy statement explaining how SDC wishes to engage with Swiss research institutions and identify their respective roles in promoting international development and transition. This would request clear principles and rules, transparent criteria for funding decision vis-à-vis the Swiss universities.
- Aim to ensure greater coordination and harmonisation between research funders in order to avoid duplication of effort, and enable greater responsiveness to development needs at the policy, country and thematic level.
- Adopt an explicit spending target for research differentiated by categories of research linked to SDC's strategic objectives.

2. SDC should define the organisational structures and the respective roles and responsibilities required to implement the new research policy.

In connection to the work of the task force under point 1, SDC must define clearly the organisational structures required to implement the new research policy in the context of SDC's reorganisation. SDC should:

Reaffirm the role of the research desk by clarifying its responsibilities and ensuring sufficient resources are provided to fulfil its tasks through in house staff capacity and competitive outsourcing where appropriate.

Provide a statement clarifying the role of the thematic focal points and the thematic responsible persons ("Themenverantwortliche") in promoting, stimulating, managing and capitalising on research.

Clarify the role of the COOFs in terms of initiating, funding, managing and monitoring research. This includes an explanation of their role vis à vis centrally and regionally funded research.

Invest more in strengthening SDC's relationships with its research co-funders (including more regular high level contact with SNF, SER). This must include a clearer statement on the part of SDC about what it expects to contribute to and get out of each partnership.

3. SDC should define and adopt "minimal standards" for results based management in research activities.

The Quality Assurance section should lead this work and establish a working group including thematic focal points and appropriate thematic and operational representatives (and possibly external consultants). The general principle is that the operational line commissioning the research should be responsible for ensuring that results based management standards related to research activities are applied. New systems should be put in place in 2011 based on the following:

Managing for Development Results

Develop guidelines on how to apply results based management to the different forms/categories of research related activities. This should include systems for tracking outcomes and impacts through the results chain in relation to research, and developing staff skills accordingly.

Define an improved format for progress reports focussing on information requirements for results based management.

Develop a results matrix for each research related activity in function of the different types of research, and ensure that these are applied systematically and regularly updated.

Develop a more strategic approach to deciding which research projects or programmes should be evaluated. Ensure that evaluations on research focus more on the quality of SDC management, and outcome and impact levels.

Procurement standards

Progressively open up SDC research funding on a more competitive basis.

Open up SDC research funding on a more international basis, both through participation in EU funding programmes and by opening bidding to research projects or programmes to organisations outside Switzerland.

Apply clear principles and rules, transparent criteria and processes for funding decisions aligned with SDC's strategic objectives.

4. SDC should adapt existing information systems to facilitate strategic oversight, research portfolio management, knowledge management and communication of research results.

- The CLP agreed that SDC requires improved IT systems bringing together all of the information that SDC research managers require, including a single point of access to research project documentation. The key principle is to use existing systems, in particular SAP and ARAMIS, and to enhance them by including more information specific to research and knowledge management. Key measures include:
- Amend the list of SAP criteria to include categories of research oriented or related funding (taking into account the information requirements at the federal level).
- Improve the documentation of research outputs, and make these accessible through SDC's information and knowledge management systems, and an improved searchable database providing access to research findings and identifying where particular research competences are located. One option would be to contract out this task to an outside organisation.
- Provide adequate information to monitor the strategic orientation of the research portfolio.

5. SDC should develop mechanisms to maximize the use of the results of research, including within SDC's own operations.

- The CLP agreed that better communication of research results within and outside SDC is essential to capitalise on research investment and to maximise its contribution to SDC's strategic goals. The following priorities were agreed:
- Ensure that research management procedures emphasise the importance of communications, for example by requiring all research projects or programmes to allocate 10% of their budgets for communications and dissemination.
- Use briefs as dissemination instruments and entry points for further communication, and ensure that this becomes a standard practice.
- Publish more frequently research news within SDC and outside media, including SDC's website, intraweb and thematic network newsletters.
- Commission more research on policy and operational questions affecting SDC's own work.
  - Ensure greater involvement of research users to define their knowledge needs.
- Encourage the building of networks between researchers and users in target countries, including greater contact and exchange between researchers and policy makers and other constituencies.
- Consider how SDC might work more effectively with the private sector and with local universities in developing countries in order to stimulate research and innovation inside the partner country. In addition, require collaboration, outreach and funding partnerships with the private sector in Switzerland.
- Where appropriate, work through coordinated partnership mechanisms to harmonise SDC's support to research and share findings with other donors, in particular by playing an active role in the International Forum of (Development) Research Donors (IFORD).

III Evaluators' Final Report

Evaluation of SDC's Research Related Activities

Commissioned by the Corporate Controlling Division
of the Swiss Agency for Development and Cooperation (SDC)

Brighton, UK 20 January, 2010

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Abbreviations and Acronyms

ACP	Agreement at Completion Point
ARAMIS	Administration Research Actions Management Information System
COOF	Cooperation Office
COST	European Cooperation in Science and Technology
CLP	Core Learning Partnership
CGIAR	Consultative Group for International Agricultural Research
CSRS	Centre Suisse de Recherches Scientifiques en Côte d'Ivoire
CTI	Innovation Promotion Agency
DAC	Development Assistance Committee (OECD)
DDC	Direction du développement et de la coopération - SDC
DEZA	Direktion für Entwicklung und Zusammenarbeit – SDC
EADI	European Association of Development Research and Training
EANNET	East African Network for Typanosomiasis
EAWAG	Eidgenössische Anstalt für Wasserversorgung, Abwasserreinigung und Gewässerschutz - Aquatic Research
ECDPM	European Centre for Development Policy Management
ETHZ	Eidgenössische Technische Hochschule Zürich
EPFL	Ecole Polytechnique Fédérale de Lausanne
ESTROM	Environmental Science and Technology in Romania
FDFA	Federal Department for Foreign Affairs
GFATM	Global Fund to fight AIDS, TB and Malaria
ICIMOD	International Centre for Integrated Mountain Development
ICIPE	International Centre of Insect Physiology and Ecology
IDRC	International Development Research Center (Canada)
IDS	Institute of Development Studies UK
IFF	Institute of Federalism, University of Fribourg
IHEID	Graduate Institute of International and Development Studies
IZFG	Interdisciplinary Centre for Women and Gender Studies, University of Bern
KFPE	Commission for Research Partnerships with Developing Countries
NCCR NS	National Centre of Competence in Research North-South Programme
ODA	Overseas Development Assistance
ODI	Overseas Development Institute (UK)
OECD	Organisation for Economic Co-operation and Development
SANDEC	Department for Water and Sanitation in Developing Countries EAWAG
SAREC	Swedish Agency for Research Cooperation with Developing Countries
SCOPES	Scientific Cooperation with Eastern Europe
SECO	State Secretariat for Economic Affairs
SER	State Secretariat for Education and Research
SDC	Swiss Agency for Development Cooperation
SNSF	Swiss National Science Foundation
STI	Swiss Tropical Institute
WHO	World Health Organisation

Executive Summary

Subject Description

This report is an independent evaluation of the Swiss Agency for Development Cooperation's (SDC) support for research related activities. The evaluation focuses on four sets of issues:

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Seven methods were used to obtain the necessary evidence: 1) a review of policy and legal documentation, 2) key informant interviews in Switzerland, 3) electronic questionnaire surveys of SDC staff, Swiss researchers, and research partners in the south, 4) an analysis of the research portfolio, 5) a review of project documentation (10% sample), 6) a review of existing evaluations of SDC research activities, and 7) case studies illustrating the working of different SDC research funding instruments.

Major Findings

The picture is complex: SDC has a good record in supporting research, but at the same time the present situation is regarded as unsatisfactory, and SDC will need to adapt its approach to reflect a changing external context and internal reorganisation.

Overall this evaluation takes a rather positive view of the research activities that SDC has funded in the past. SDC has a proud record of supporting effective and relevant research. While SDC has spent only a modest share of its research funds in Switzerland, it has succeeded in stimulating a vibrant development research community that has demonstrated its ability to undertake high quality and relevant research.

Strong capacity and critical mass appears to have been achieved in several areas, including environmental science, agriculture, water and sanitation and health systems, as well as across several social science disciplines. SDC has made a serious investment in building research capacity in developing and transition countries, in particular through

promising North-South, West-East research partnership models that appear to be strongly appreciated by all parties. SDC has also helped to develop some commendable models for research programme management, as well as an effective joint funding mechanism with the Swiss National Science Foundation.

In spite of this positive record, there is a strong sense of dissatisfaction with SDC's present approach to funding research. The research community in Switzerland points to a loss of technical competence in SDC and a loss of interest in research as an instrument of development. Within SDC there is increasing questioning of the benefits of funding research, and criticism of a portfolio that has become fragmented, unmanageable, overly affected by personal and political interests, insufficiently exposed to competition and impossible to monitor due to the weakness of information systems.

The good intentions of SDC's many excellent research policy statements are let down by weak management practices that prevent research activities being harnessed most effectively in support of SDC's strategic goals. There is no common institutional view within SDC of what constitutes 'research', its role and importance to SDC. SDC lacks the policy levers necessary to steer the portfolio in a particular direction and does not have an overall view of what research related activities it is currently funding. Practical guidance is lacking on how staff are expected to implement SDC's research policy and principles.

Consequently, there is little clarity in the types of the results SDC seeks from its investment in research. The evidence suggests that neither SDC nor the institutions it supports have adequate systems in place for documenting the results achieved. However, there are notable exceptions. There is a particular disconnect between SDC's investment in research and the use of research findings at the operational level. Most of SDC's support to research is not aimed at meeting SDC's operational requirements, and is largely in the form of contributions to programmes whose objectives and management are outside SDC's direct influence or responsibility. SDC staff rarely use the results of the research funded by SDC.

While there are many individuals in SDC who remain very interested and committed in the subject, there is a sense that research for development has become a rather sideline issue. Research funding, while substantial, is well below the target that was set in 2002 of spending 6% of SDC's budget on R&D. Research management functions appear to be badly under-resourced to the extent that it will be very difficult to improve and demonstrate the performance of SDC's research activities, and to establish their place more firmly within the organisation.

The concerns raised by this evaluation point to the need for a fresh approach. Business as usual is not an option, in particular because the context for SDC's research funding is changing fundamentally. SDC's reorganisation raises serious questions about what form of research will be required in the new structure. Other developments in the domestic political context, such as the closer relationship between SDC and the Federal Ministry of Foreign Affairs and the Swiss Foreign Policy for Science create further pressure for change. Finally, rapid change in the international development and aid context mean SDC will need to embrace new themes and funding modalities.

SDC's ability to embrace these changes will depend on it having a strong research function to scan the horizon for new issues and to determine how the agency should respond.

Recommendations

The evaluation makes a number of recommendations of about what SDC needs to change to improve its support for research related activities. These can be grouped under the following six headings headlines:

The conceptual and policy framework

1. SDC needs to reach a clearer vision on whether and how to support research. There needs to be a revised policy statement with clear status and applicability across SDC.
2. In revising its policy SDC needs to take greater account of the changing context for development research.
3. SDC needs to define different types of research in terms its strategic objectives, and develop more explicit models of change explaining the logic of different types of research and how they contribute to SDC's objectives.
4. SDC should develop an explicit policy statement explaining how the agency wishes to engage with Swiss research institutions and identifying their respective roles as partners in promoting international development.
5. SDC needs to assign responsibility for research policy and its implementation to a suitably high level (e.g. appointment of a chief scientist, or chair of an SDC scientific committee).
6. SDC needs to develop a policy on how to apply the Paris Principles to research policy (i.e. coordination and harmonisation, alignment with national priorities).
7. The Research Master Plan (Forschungskonzept) needs to become more meaningful as a prospective strategic planning mechanism.

Portfolio Management

8. SDC needs to view its research activities more in terms of a portfolio, in order to ensure strategic direction, to maximise the contribution of research to SDC's broader objectives, and to ensure lesson learning and synergies between research activities.
9. SDC needs to simplify the portfolio by reducing the total number of actions and making greater use of research programmes rather than individual projects.
10. SDC needs to improve its information management to enable senior management to obtain a strategic view of the research portfolio.
11. SDC should adopt a more rules based and institutional approach to funding decisions based on transparent criteria and SDC's broader strategic objectives. SDC should reduce the extent to which political and personal decisions influence research funding decisions.
12. SDC should redefine its research funding instruments more clearly in terms of the different objectives of research policy and the different models of change.
13. SDC should introduce a budget line (or virtual budget) for research.
14. SDC should commit itself firmly to an explicit spending target for research.
15. Focus the portfolio more on areas of Swiss research competence.

Getting results

16. Systems for results-based management need strengthening in relation to research, and staff skills developed accordingly.
17. Monitoring and evaluation procedures should be more effectively linked to the models of change underlying each research activity. This should include tracking the intermediate outputs that are often assumed but not tested (such as tracking the subsequent career paths of people trained under capacity building programmes).
18. An effort needs to be made to establish impact monitoring for at least a sample of projects, by establishing baselines at the start of projects and monitoring change over the duration and after the closure of the project.
19. There is a need for a more strategic approach to deciding which research projects should be evaluated. Evaluations need to focus more on the quality of SDC management, and outcome and impact monitoring.
20. Work with other donors to develop best practice for impact assessment and the implementation of results based management in the research sector.

Research project and programme management

21. Information systems must be improved and better used to provide information that SDC research managers need, including locating research project documentation in a single electronic repository.
22. SDC needs to devote greater resources to research management either through additional staff or (competitively tendered) outsourcing.
23. The research desk needs greater resources, a clearer cross-cutting mandate and involvement of staff at a more senior level.
24. As part of the reorganisation process the thematic focal points need to be given a more explicit role in terms of initiating, funding and managing research.
25. As part of the reorganisation process COOFs need to be given a clear role in terms of initiating, funding and managing research.
26. Research funding needs to be progressively opened up on a more competitive basis and a more EU-wide basis.

Knowledge management

27. Research results need to be better communicated within and outside SDC.
28. SDC's thematic networks need to draw more effectively on knowledge held by the research community in Switzerland and elsewhere.
29. Research outputs need to be more accessible through SDC's knowledge management systems. This requires an improved searchable database providing access to research results and identifying where particular research skills are located.

30. A change in organisational culture is required to encourage staff to make greater use of research based knowledge in their operational work.
31. SDC should commission more research on policy and operational questions affecting SDC's own work.

The Broader Research System

32. SDC needs to work through coordinated partnership mechanisms to harmonise its support to research with other donors. This could include playing a leading role in the International Forum of Research Donors (IFORD) to be held in Switzerland in 2010.
33. SDC needs to consider how it might work more effectively with the private sector in developing countries in order to stimulate research and innovation.
34. SDC needs to consider how it can work more strategically with the private sector in Switzerland to stimulate private research on development issues, for example using innovative instruments, such as forward purchase agreements for new vaccines.
35. SDC needs to invest more in strengthening its relationships with its research co-funders (including more regular high level contact with SNSF, SER), and should more clearly articulate what it expects to contribute to and get out of each partnership.

Part 1 – Introduction

1. The purpose of this evaluation

This report is an external evaluation of SDC's research related activities that has been mandated by SDC's Board of Directors. It has been prepared by The Policy Practice, which has been commissioned by SDC's Corporate Controlling Section on the basis of a competitive procurement process.[9] As stated in the Terms of Reference (see annex 1), "the purpose of the evaluation is to render accountability and to contribute towards improving SDC's future performance". Thus, the evaluation team have been requested to work towards two objectives:

- render accountability by evaluating past actions against the programme's original objectives, providing an evidence base to assess the strengths and weaknesses of the programme, and identifying lessons learned from SDC support to research.
- contribute to improving SDC's future performance by identifying the critical research policy and management issues that will need to be addressed, presenting alternative options for change, and explaining their broader implications.

1. In relation to the second aim, this evaluation will not make firm recommendations on SDC's future research policy, but will seek to inform subsequent discussions within and outside SDC by providing an evidence base and drawing attention to the most critical issues.

The evaluation focuses on four sets of issues covering different aspects of the effectiveness of SDC's management of its research activities.

- Policy: Assessment of relevance and adequacy of SDC's strategies and policies.
- *Portfolio*: Analysis of the composition of SDC's research, and assessment of its relevance to SDC's strategic goals.
- *Results*: An assessment of research results against policy objectives in terms of relevance, quality, utilisation and research capacity building in developing and transition countries.
- Management: Assessment of the quality of SDC's management of its research activities including the effectiveness of its institutional set up.

2. This evaluation focuses on SDC's performance in managing research funding. It does not provide an assessment of individual research projects and programmes funded by SDC. However, recipients of SDC funds and other interested parties have been consulted extensively, and have contributed to the evidence base. Examples of particular projects and programmes have been used to highlight general lessons affecting SDC's research activities as a whole.

[9] In addition to the Core team Samantha Wade facilitated workshops with the Core Learning Partnerships. The developing country case studies were prepared by Shizu Upadhya (Nepal), Deograsias Mushi (Tanzania), Carlos de la Torre and Rebecca Clements (Peru)

2. The evaluation process

3. The evaluation began on 15 June 2009 and will finish in December 2009. The process has been guided by an Approach Paper prepared by SDC's Controlling Section, and is described in full in the evaluation team's inception report.[10] The main stages and milestones in the process are also described there.

4. This evaluation has followed SDC's recently adopted model of establishing a Core Learning Partnership (CLP) to work closely with the evaluation team to discuss objectives, methodology and findings.[11] The CLP has played a key role at several stages of the evaluation process. First, during the inception mission the evaluation team met twice with the CLP to discuss the objectives and approach towards the evaluation. Second, the CLP took part in a visioning workshop on 8 October 2009 to discuss initial findings and key challenges emerging from the evaluation. Third, the CLP will comment on this and subsequent drafts of the consultants' report. Finally, the CLP will participate in a Synthesis/ Agreement at Completion Point workshop in early December to develop recommendations on the basis of the evaluation and take a stand on the implementation of the recommendations in the form of a formal Agreement at Completion Point (ACP). *Aides memoire* for each meeting with the CLP have been prepared by the evaluation team.

5. Interested parties within the development research community in Switzerland have been closely informed of the progress of this evaluation, and have been invited to two briefing sessions, once during the inception mission on 25 June 2009, and again on 11 November 2009 to discuss findings. *Aides memoire* have been prepared for these two meetings.

6. Throughout the process all parties have stressed the importance of undertaking an evaluation that is objective, evidence-based and independent. The consultants have appreciated the advice and guidance provided by the CLP and Corporate Controlling Section, but have reached their own conclusions independently of SDC.

[10] See Annex 1. Evaluation of SDC's Research Related Activities Final Approach Paper, final version dated 23 July 2009 Inception Report - Evaluation of SDC's Research Related Activities, final version dated 15 July 2009 http://www.deza.admin.ch/en/Home/Activities/Evaluation/ressources/resource_en_183577.pdf

[11] The Core Learning Partnership was made up of seven staff from the Global Cooperation Department; including the Deputy Director, the Head of Policy Analysis Section, the head of the Knowledge Networking and Learning Section, and Programme Officers responsible for the research; six people from the Regional Cooperation Department, including the Deputy Head, the focal points for gender, and mountain development and other Programme Officers; and one Programme Officer from the Department for Eastern Europe and CIS

3. The scope of the evaluation

3.1 Boundaries of the evaluation

One of the problems faced by the evaluation team is that there is no universally accepted definition of research that can provide a hard and fast rule as to what is within the scope of the evaluation. By referring to 'research-related activities', the Terms of Reference for this evaluation recognise the reality that there is no clear delimitation of what constitutes research. The narrowest definitions describe only the creation of new knowledge, whereas broader interpretations would cover the application of existing knowledge in novel ways, building capacity and creating conditions for science, technology and innovation more generally.[12]

7. SDC's conception of 'research-related activities' tends towards the broader interpretation. The 2002 Research Policy does not offer a single definition of research, but distinguishes between three categories "results-oriented research", "capacity building" and "research partnerships" (page 7).[13] There is a strong focus on applied and adaptive research, which is viewed as being a more appropriate use of ODA funds than "basic or strategic research" (page 4). The 2002 Research Policy commits SDC to supporting both knowledge generation, and creating the conditions to make appropriate use of the knowledge generated (page 4).

8. It is clear to the evaluation team that within this broad conception, there are important differences of opinion within SDC as to which types of research-related activity should be prioritised. A recurring theme in this report is that these different understandings and attitudes towards different types of research-related activities have been an obstacle to effective and focussed management. However, at the broadest level there is general agreement within SDC that science, technology and innovation, including the generation and application of knowledge, are critical drivers of development, and that SDC has an important role to play in supporting these processes.

9. These debates and definitional challenges pose practical problems from an evaluation perspective, where it is essential to establish the scope and boundaries of the study in order to ensure focussed and representative enquiry. SDC does not have a budget for research, and any project or programme may include some research or research-like activities. However, SDC does record its research investments in the ARAMIS database, which holds records of all research projects funded by federal departments. The inventory of 391 active and closed SDC projects held on the ARAMIS database provides a useful starting point and sampling frame for this evaluation.[14] As discussed further in section 8 (portfolio analysis), there are shortcomings in the way that SDC has used the ARAMIS database and the classification scheme that has been applied, but the list of SDC funded research projects is largely complete, and covers all of the types of research described in the 2002 Research Paper without obvious omissions. While this lends the evaluation a broad focus, this is a suitable starting point given SDC's own conception of what constitutes research-related activities, and the need to think widely about supporting science, technology and innovation.

[12] Watkins, A. and Ehst, M. (2008) Science, Technology and Innovation, Capacity Building for Sustainable Growth and Poverty Reduction, World Bank, http://go.worldbank.org/7MEIFPZWU1

[13] Swiss Agency for Development Cooperation (2002) Research Policy of the Swiss Agency for Development Cooperation http://www.sdc.admin.ch/ressources/resource_en_23780.pdf

[14] The total of 391 active and closed SDC research projects was obtained from the ARAMIS database on 31 July 2009

10. This evaluation therefore covers SDC's research expenditures as recorded in the ARAMIS database. However, the scope of the evaluation is not restricted to this definition, and the team have sought to analyse in broad terms SDC's policies and management of research in all of the subject areas discussed in the 2002 Research Policy.

Having studied SDC's entries into the ARAMIS database the evaluation team has noted that it includes a few educational, training and consultancy/backstopping activities that do not fit with most definitions of research. The evaluation will not discuss these activities where they are not closely linked to a research activity, meaning the creation or utilisation of new knowledge.[15] In practice, however, there is often much overlap because training and capacity building is very often provided as part of an individual or institution's participation in a particular research activity. This is especially the case with SDC, which has invested heavily in the model of North-South research partnerships.

This evaluation covers all SDC funding of research activities including support for research undertaken by multilateral organisations and SDC's bilateral research funding. The evaluation team understands that research contributions to multilateral organisations reflect Switzerland's commitment to working at the multilateral level, and has not raised questions about the basis or level of this support. However, the evaluation does raise questions about the coherence and management of research spending through multilateral programmes, and the extent to which such support creates potential and actual synergies with research spending through the bilateral programme and North-South partnership programmes. The focus of the investigative work and research used by the evaluation team has been on research spending through the bilateral programme.

3.2 Which objectives should SDC be assessed against?

As discussed in section 7 on the policy and conceptual framework, there are several documents describing SDC's research policy and objectives. While there have not been major shifts in SDC's policy over the past decade, there are several different points of reference, most importantly the 2002 Research Policy Paper and the two subsequent Research Master Plans (*Forschungskonzepte*).

In reviewing the various policy statements this evaluation has found that the 2002 Research Policy Paper provides the clearest and most concise statement of policy. Although this document does not have a formal legal status, it is still understood to be the most current and authoritative statement of SDC's objectives in supporting research. It states three major objectives.

- Generate specific results and improve effectiveness. This describes SDC's aim of supporting results-oriented research that is relevant to solving development problems. It also includes using research to improve SDC's own performance in policy and operational work.
- Contribute to sustainable institutional and individual capacity building in the South and East.
- To maintain or increase Swiss research capacity both at an institutional and individual level in fields related to and relevant for development.

[15] The OECD Frascati Manual (3rd revision 2002) includes the following definition of research, which has also been followed in this report. "Research and experimental development (R&D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications" (page 13)

This evaluation finds that the objectives stated in the 2002 Research Policy accurately describe how the aims of SDC's research activities have been understood within the organisation.[16] In particular, they emphasise elements of research *relevance*, *results* and *capacity building*. For the purpose of *rendering accountability* the evaluation will use the 2002 objectives as the basis to measure past and present performance.

For the purpose of contributing to improving SDC's future performance this evaluation will highlight certain objectives that reflect current best practice, but were not explicitly stated in the 2002 objectives. Most importantly this covers the utilisation of research results, and broader thinking about how SDC can contribute to promoting science, technology and innovation.

[16] However, in the opinion of the evaluation team the clearest statement of SDC's research policy can be found in the 1993 Research Policy Paper (see paragraph 52). However, since this text is now 16 years old the evaluation team has taken the more current 2002 policy as the basis for this evaluation

4. The key questions

11. During the inception phase the evaluation discussed and agreed with the Core Learning Partnership the following key questions, which have been used to guide the evaluation.

A) The relevance of SDC's strategies, policies and research portfolio. This includes:

- What are the goals of SDC's research policy (including an analysis of the implied theory of change)?
- Consistency between different objectives of SDC research policy, including consistency with SDC's overall goals, Federal Bills, programmes of other Swiss research funders, Swiss Foreign Policy for Science, international donors?
- How can SDC complement Swiss science more generally and add value to it?
- Composition of the research portfolio (size, subject areas, instruments, institutions)?
- Does the portfolio reflect SDC's strategic priorities and Swiss comparative advantage?
- Relevance of the portfolio to SDC, developing country partners, developing countries more generally, and the global community?
- How does SDC's research policy and portfolio compare with other research donors?

B) Evidence of outcomes, including outcomes relating to:

- solving priority development problems in South and East.
- informing SDC actions.
- contribution of SDC funded research to global development knowledge.
- strengthening of autonomous research capacity in the South and East.
- promotion of development research in Switzerland.

C) SDC's management of research related activities. This will include an assessment of how well SDC manages:

- the selection of research projects and partners.
- procurement.
- ongoing monitoring of the portfolio.
- tracking of results, lesson learning, adjustment of portfolio.
- use of research results across SDC policy making and programming.

Furthermore, the evaluation will consider what lessons can be learned about how effectively research is managed within SDC's new organisational structure and processes, including the functioning of the new thematic networks in relation to the management of research and the role of the research desks located in the Analysis and Policy Section.

D) SDC's use of research outputs for more effective working:

- How can SDC arrive at a consensus on the value and purpose of funding research?
- How are research needs identified within SDC and fed into the research portfolio?
- How does SDC learn from the results of research?
- How does SDC use research results in its operational programmes?
- How could SDC use research results more effectively and what lessons can be learned from comparisons with other donors?

5. The evaluation methods

This evaluation employed seven research methods as described in table 1.

Table 1: The principal methods, sources and sampling strategies used in the evaluation

Research methods	Source and sample
1) Review of policy and legal documentation	Federal Acts, Ordinances and Botschaften concerning the South and East as well as research policy generally; key federal government and SDC policy documents (including the 2008-2011 Forschungskonzept, the 2002 SDC Research Policy document, the Swiss Strategy for the Promotion of Research in Developing Countries, and the directives for quality control in the research activities of the federal administration of 2005), and policy papers of other major research funders.
2) Key informant interviews in Switzerland	63 interviews covering SDC senior and middle management, SDC programme managers whose responsibilities cover the research activities, all major research centres in Switzerland receiving SDC funds, recipients of SDC funding in developing and transition countries (through the case study interviews), Swiss National Science Foundation and KFPE.
3) Questionnaire survey Annex 7	Three separate electronic questionnaires covering: (1) 101 SDC staff in headquarters and COOFs, (2) 57 researchers in Switzerland receiving SDC funds or funds from an SDC supported programme, and (3) 50 research partners in developing countries.
4) Portfolio analysis Annex 4	222 SDC funded projects recorded on ARAMIS that are currently active or have been active since January 2007.
5) Review of project documentation Annex 5	Credit Proposal, project documents, progress reviews and evaluations for 20 SDC research projects randomly selected from a stratified sample of the 222 SDC funded projects included in the portfolio analysis.
6) Review of existing evaluations of SDC research activities Annex 6	21 evaluations of SDC research projects completed since 2006 Meta evaluation of SDC Evaluation – Peter Arnold report SER Evaluation of Ressortforschung 2009
7) Case studies illustrating the working of different SDC research funding instruments Annex 8	14 case studies covering a representative sample of SDC research contributions and commissions focussed on the following countries: Nepal, Peru, Serbia, Tanzania and Switzerland.

5.1 Review of policy and legal documentation

12. The aims of the review of policy and legal documents were to: (a) clarify the legal basis of SDC's mandate in supporting research related activities; (b) survey the various non-legally binding documents stating policies and priorities for SDC funded research; (c) examine the coherence, relevance and guidance given by the present framework of regulations and policy statements; and (d) analyse the "models of change" implied in the various policy and legal documents and their validity.

5.2 Key informant interviews

13. As listed in annex 2, a wide range of key informants were interviewed within SDC (24) and the wider research community in Switzerland (39). Interviews with researchers in developing countries were carried out as part of the case study research and are detailed in the case study annexes. These interviews followed a semi-structured interview schedule and were adapted to the particular area of competence of the interviewee. In addition, the evaluation team held several workshop sessions with the Core Learning Partnership, including the visioning workshop on 8 October 2009 and the Synthesis /Agreement at Completion Point Workshop on 2-3 December 2009.

5.3 Questionnaire surveys

14. Three separate versions of an electronic questionnaire were prepared, pilot tested and distributed to: (a) SDC staff in headquarters and COOFs, (b) recipients of SDC funding (or participants in a SDC supported North-South programmes) in Switzerland, and (c) recipients of SDC funding in developing countries. The purpose of the questionnaires was to measure perceptions about the value, objectives, relevance and results of SDC funded research, obtain evidence of the quality of SDC's management of research activities, and to obtain views about the quality, equity and results of SDC funded research partnerships. The results of the questionnaire surveys, which received 208 responses, are presented in full in annex 7.

5.4 Portfolio analysis

15. From the beginning of the evaluation process it has been apparent that SDC does not have an adequate and accurate overview of the research activities it supports. While the ARAMIS database can be used to establish a basic inventory of projects, the data SDC has entered into the system suffer from coding deficiencies and inaccuracies that make it difficult to assess the relative importance of different instruments, countries and sectors in SDC's research portfolio. To enable more informed analysis the evaluation team has applied an additional classification scheme to the ARAMIS entries based on a reading of project documents to establish more carefully the type of recipient of the research funding, and the type of instrument used.

    This analysis, written up in full in annex 4, has been used to address a number of important issues including:

- The relative importance of research spending through bilateral and multilateral channels.
- The share of research investment allocated to research organisations in Switzerland.
- The share of research funds spent in developing and transition countries.
- The extent to which research funding is earmarked for specific projects or provided as a core contribution to research organisations.
- The share of funding directed at the three different objectives presented in the 2002 Research Policy.

5.5 Review of project documentation

16. In order to assess the management of research projects and programmes by SDC the evaluation team undertook a detailed review of the documentation for a 10% random, stratified sample of SDC funded research projects. The purpose was to understand how the different projects have been selected, managed and monitored, and in particular to understand how procurement procedures and Results Based Management have been applied in practice. A complete writeup is provided in annex 5.

5.6 Review of existing evaluations of SDC research activities

17. A 'meta-evaluation' was carried out covering an initial population of 34 evaluations of research projects/programmes collated by SDC and provided to the evaluation team. The bulk of the evaluations were conducted in 2006 and 2007 prior to SDC's reorganisation, during which far fewer evaluations were conducted. An initial screening of these reports determined that only 21 fell within the scope of this evaluation, as defined in section 3.1. The other 13 evaluations mainly concerned backstopping, training and teaching activities, and were excluded from the analysis.

The meta-evaluation comprised an assessment of the quality of the evaluations and an analysis of their conclusions regarding the relevance and results of SDC funded research projects. A complete writeup is provided in annex 6.

5.7 Case studies

The final work stream examined fourteen cases of individual research projects illustrating how particular instruments and funding modalities work in practice. [17] The selected sample of research projects was based on the initial choice of four countries, Tanzania, Nepal, Peru and Serbia. These were chosen to provide a regional spread, and to cover countries with a high intensity of SDC research activities. In addition, 3 case studies were selected from SDC research contributions and commissions made to Swiss-based institutions.

The case studies were then selected purposefully within these countries so as to illustrate: (a) the different types of funding modalities and instruments (research contributions vs. research commissions, direct SDC management vs. management as part of a larger research programme), (b) different types of recipients, and (c) different sectors and subject areas.

A local consultant in each country prepared short case studies of the individual research projects on the basis of an analysis of the documentation and key informant interviews. In the case of Serbia and the Swiss-based institutions, the case studies were conducted by members of the core team.

The case studies follow a template prepared by the team designed to generate illustrative material on the types of research activity supported by SDC, insights into the purpose of different instruments, lessons learned from successes and failures, and to understand the requirements on the part of SDC to manage these instruments well. A complete writeup is provided in annex 8.

[17] Fifteen case studies had originally been selected, but one case study, Maroc: Electrification Decentralisée, was found to be unsuitable due to its very limited relevance to research

6. Context for the evaluation

18. The evaluation has taken place during a period of considerable change within SDC and the wider world. Many of the current changes within SDC have a direct effect on how research will be managed in the future, and there remains some uncertainty as to how particular roles in the organisation will evolve in relation to their responsibilities for research. The implications of these changes are addressed throughout this evaluation, but particularly in part 3 of the report.

19. In a general sense the recent past has demonstrated the speed with which new concerns arise, and the global nature of these concerns. In the past two years global concerns about fuel, food and finance have been added to an already long international agenda comprising *inter alia* the more long standing concerns of climate change, conflict and fragile states. SDC, along with other providers of support to research will have to plan in the context of this type of rapid change and uncertainty.

20. SDC faces a particularly uncertain future in relation to its support to research arising from the reorganisation of SDC itself, the implications of which are not yet fully clear, a changing domestic situation with other actors becoming involved, and changes to the nature of development assistance. Some of the main drivers of change are highlighted in the paragraphs that follow.

6.1 Reorganisation of SDC

21. SDC is currently undergoing a process of major change which started in mid-2008. In the first phase of the reform the Thematic Department (F Department) was abolished and thematic competencies were moved into the geographic divisions. Eleven thematic networks and a normative gender network have been established cutting across SDC's new structure, but with designated focal points housed within geographic divisions. [18] The second phase of reform will involve the further devolution of authority and decentralisation of staff to Cooperation Offices. Both of these changes have important implications for research management that are discussed in depth in sections 10.7 and 11.4.

6.2 The domestic political context

22. While SDC has always been a division of the Federal Department of Foreign Affairs (FDFA), it is expected over the coming years that the two entities will work still more closely together. One particular implication of this is likely to be a greater emphasis on "Swiss-ness" in SDC's operations. This in turn may result in pressures to build more effectively on Swiss 'comparative advantage' in research.

23. SDC will also find itself in a rapidly changing domestic environment as more federal agencies turn their attention to countries of the south and east not as recipients of official development assistance, but as countries of opportunity for Switzerland or which will have significant influence on global issues. Thus, the federal government is increasingly stressing the importance, for Swiss competitiveness and growth in the coming years, of reinforcing the Swiss Foreign Policy for Science (*Wissenschaftsaussenpolitik*), which is described later in section 7.2.

[18] There are currently 11 thematic networks housed in different geographical departments. Climate, Energy and Environment; Rural Development; Migration and Development; and Water operate with the Global Cooperation Domain. Employment and Income; Decentralisation; Disaster Mitigation; Health; Education; Conflict and Human Rights; Political Economy and Development are located in Regional Cooperation Domain. In the medium term the aim is to reduce the number of themes and networks to avoid dispersion

6.3 Changes to the development and research funding environment

24. SDC support to research takes place in a changing aid environment. Switzerland has joined most other suppliers of official development assistance in signing up to the OECD/DAC Paris declaration on Aid Effectiveness and subsequent Accra Agenda for Action. This advocates greater harmonisation between donors, closer alignment of donor policies with those of recipients, increasing use of recipient countries' own systems and a stronger focus on results based management. All of these elements of aid effectiveness can have a major impact on how SDC supports research, particularly in relation to joining research funding consortia, giving greater "voice" to southern partners, and demonstrating more effectively the results of its support to research.

25. The trend towards management systems based on outcomes rather than inputs, is also likely to become strengthened in the case of SDC supported research because of anticipated changes in the legal basis on which SDC operates. Interviewees within the SDC often emphasised that they expected upcoming *Botschaften* in the area of development cooperation and cooperation with the East to create stronger forms of accountability towards Parliament, including in the area of research cooperation.

26. SDC also faces a more complex situation in relation to Switzerland's participation in a number of EU funding arrangements (for instance, FP7, the Cohesion Fund, the European Research Areas and COST that supports cooperation among scientists and researchers across Europe). These can all provide research support for Swiss researchers to partner with researchers in the south or the east, which offers both the opportunity of synergy with SDC's programmes, along with the risk of greater funding complexity and policy confusion.

Part 2 – Evaluation

7. The policy and conceptual framework

27. This section provides a review of the main legal and policy statements relating to SDC's research activities. It also analyses the conceptual framework used by SDC for its research activities, including implied models of change.

7.1 Legal statements and directives applying to SDC

28. The most basic legal documents governing Swiss development cooperation are the *Federal Act on international development cooperation and humanitarian aid* of 19 March 1976 (SR 974.0), and the *Federal Act on cooperation with the East* of 2006 (SR 974.1).[19] However, neither of these documents makes specific mention of research policy. The Federal Act of 1976 lists "technical cooperation" as one of the forms of Swiss development cooperation (Art.6 1a), and states that the focus should be on "transfer of knowledge and expertise" in order to improve the living conditions in the South, but contains no specific provisions on research policy. The Federal Act on Cooperation with the East also lists "technical cooperation" as one main policy instrument, without further specifying this type of collaboration (Art. 7a).

29. The Ordinance on international development cooperation and humanitarian assistance of 12 December 1977 (SR 974.01) includes one article on "research and education", which stipulates that "SDC shall promote scientific research, university education and, more generally, education in the areas of development cooperation and humanitarian assistance". The article also provides for the role of SECO in this area (Article 29). The Ordinance on strengthened cooperation with Eastern European States of 6 May 1992 (SR 974.11) regulates the respective roles of SDC and SECO in the various areas of cooperation, attributing the responsibility of financial and technical assistance in the area of education, science, and research to SDC (Annex of Ordinance). However, neither Ordinance sets out the specific objectives, instruments or principles of SDC's research policy.

30. Every four years the Federal Council submits to parliament a 'South Dispatch' (referred to as *Südbotschaft* in German and *Message sud* in French) explaining the latest priorities and orientation of Swiss development cooperation policy.[20] These documents contain general statements about SDC's research policy. The South Dispatch of 12 May 2003 (03.040) contains one section on SDC's cooperation with universities and other institutions of higher learning. It is stated that SDC "will promote the research and other scientific capacities of developing countries, and contribute to the creation, diffusion and application of basic knowledge which is useful for development." The document also explains that SDC will promote the establishment of research partnerships between Swiss scientific institutions and scientific institutions in the south and east. The South Dispatch mentions SDC's collaboration in this area with SNSF, EPFL and the NCCR NS (p. 4201).

31. The most recent South Dispatch dates from 14 March 2008 (08.030). According to this document, SDC shall support Swiss research and educational institutions in order to promote knowledge which is relevant for development, and support joint research projects conducted by Swiss researchers and researchers from the South. The Dispatch specifically mentions the promotion of "centres of competence" at Swiss Universities that are specialised in development research. The objective, according to the Dispatch, is to

[19] http://www.deza.admin.ch/en/Home/About_SDC/Legal_bases

[20] It should be noted that many of the legal texts are referred to using English titles based on the evaluation team's translation, and may not represent the official translation

generate development-relevant knowledge, as well as to strengthen research capacities in the South and of Swiss research institutions working on in development issues. Moreover, SDC shall mandate research institutions to analyse and improve the methods and processes of Swiss development assistance (p. 2997). The Dispatch also makes specific mention of international research partnerships in the areas of health and environmental sustainability.

32. The Dispatches covering cooperation with Central and Eastern Europe contain some elements on research cooperation. The *Federal Dispatch on the continuation of cooperation with Eastern European States and CIS of 15 December 2006 (06.099)* mentions that Switzerland is engaged in cooperation in the area of research. The *Federal Dispatch on the contribution of Switzerland to the alleviation of economic and social disparities in the enlarged European Union of 15 December 2006 (06.100)* defines science and research as SDC priority areas, with special emphasis on applied research and the development of centres of excellence. Measures favouring technology transfer and the application of research results are also mentioned, and scientific exchanges are described as a privileged tool. The activities also aim to improve the position of Swiss research as part of the relations with the new EU member states. Finally, the *Dispatch on the contribution of Switzerland in favour of Bulgaria and Romania in view of alleviating economic and social disparities in the enlarged European Union of 5 June 2009 (09.055)* mentions joint research programmes and institutional thematic partnerships.

The Federal Council's Dispatch on the Promotion of Education, Research and Innovation for the period 2008-2011 and the new Swiss Foreign Policy for Science

33. The federal government is increasingly stressing the importance of research and innovation for Swiss competitiveness and growth in the coming years. The *Federal Dispatch on the Promotion of Education, Research and Innovation for the period 2008-2011 (07.012)* developed by SER sets out the general policy for these sectors in Switzerland, and highlights important links to foreign policy.[21] The document describes a new Swiss Foreign Policy for Science (*Wissenschaftsaussenpolitik*), which aims to establish closer co-operation with a selected group of emerging "scientific powers", including China, India, Japan, Russia, South Africa, South Korea, Brazil and Chile. The main means of cooperation are: (a) bilateral research cooperation programmes developed in close cooperation with Swiss institutions of higher learning, the SNSF and CTI, (b) reinforcing the so-called "Swiss Houses" for scientific and technological exchanges (Swissnex), and (c) increasing the number of scientific and technological councillors at Swiss embassies. The basic principles of the bilateral cooperation programmes are: (a) scientific excellence; (b) the creation of long-term partnerships; and (c) equal contributions to research projects of both parties.

34. Among the countries mentioned in the Federal Dispatch on the Promotion of Education, research and Innovation four countries - China, India, Russia, and South Africa - are singled out for particularly close bilateral cooperation in the form of strategic partnerships. Each partnership is led on the Swiss side by a "leading house", i.e. ETH Zurich (China), EPFL (India), University of Geneva (Russia), and University of Basel (South Africa). The particular subjects singled out for cooperation with these four countries are life sciences, micro-nanotechnologies, environmental sciences, IT and communication technology, materials sciences, physics, chemistry, social sciences and the humanities (languages, civilisations) and economics.

35. The Federal Council's Dispatch on Education Research and Innovation stresses "the complementarities of the activities of SER and SDC, with the latter supporting projects from the angle of development aid". An interesting illustration of how SER and SDC

[21] Botschaft 07.012 über die Förderung von Bildung, Forschung und Innovation in den Jahren 2008–2011, 24 Januar 2007, Sekretariat für Bildung und Forschung - http://www.admin.ch/ch/d/ff/2007/1223.pdf

priorities will be combined in the future will probably revolve around what the Dispatch calls "the Swiss research centres of Abidjan in Côte d'Ivoire (CSRS) and of Ifakara in Tanzania". These two centres are of some importance to both the SER and SDC strategies.

7.3 Other Federal Directives

36. The *Directives for quality control in the research activities of the federal administration of 2005* is a document governing research management across the entire federal administration.[22] It contains norms regarding strategic programming, transparent processing for contracting, input into ARAMIS, the publication of research results, reporting requirements, the publication of Master Plans and evaluation requirements.[23]

7.4 SDC research policy and planning documents

37. In 1993 SDC together with the Swiss Academy for Natural Sciences, issued a *Swiss Strategy for the Promotion of Research in Developing Countries.*[24] This strategy set out three objectives for Swiss development-related research: (1) to promote the sustainability of indigenous research capacities in developing countries, (2) to improve the living conditions in developing countries, and (3) to contribute to the resolution of global problems and, at the same time, to strengthen research capacities in Switzerland.

38. The strategy includes the following measures: (a) the creation of research partnerships for joint work on major global problems; (b) coordination with similar efforts of other industrialised countries, the private sector as well as non-governmental and international organisations; (c) awareness raising in the Swiss scientific community about development-relevant research; and (d) improved information, coordination and concentration within the federal administration (p.9).

39. In 2002 SDC published a document entitled *Research Policy of the Swiss Agency for Development and Cooperation (SDC)* whose basic aim is to "describe the role of research in relation to SDC's manifold activities in the field of development cooperation".[25] The document sets out three main objectives of SDC's research policy that set the basis for this evaluation and are described in paragraph 0. The document identifies three broad categories of research support: result-oriented research activities, capacity-building schemes, and research partnerships. Individual projects can be placed on a continuum ranging from purely results-oriented research to a mix of both, to pure capacity-building. Research partnerships, in turn, are regarded as a particularly valuable approach for combining both results-oriented and capacity-building research activities. The document provides specific guidelines for research partnerships, reproduced from

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[22] Qualitätssicherung in der Ressortforschung des Bundes, Richtlinien, 9 November 2005, jointly published by Eidgenössisches Departement des Innern EDI and Eidgenössisches Volkswirtschaftsdepartement EVD - http://www.ressortforschung.admin.ch/html/dokumentation/publikationen/richtlinien_qs-d.pdf

[23] The guidance for input into the ARAMIS database remains rather general: "the data is compiled by the offices that undertake or order research and development work and by other interested entities. The entities providing the project data are responsible for making sure that they are complete, exact and up-to-date." Regarding the publication of results, the directives also note that "The references... necessary for accessing the results [of the research] as well as the raw data which are at the basis of these results are complied at least in ARAMIS and are freely accessible"

[24] *Schweizerische Strategie zur Förderung der Forschung in Entwicklungsländern*, Juli 1993 (2. Auflage Januar 1997), Direktion für Entwicklung und Zusammenarbeit (DEZA) und die Schweizerische Akademie der Naturwissenschaften (SANW) http://www.kfpe.ch/download/strategy_d.pdf

[25] Swiss Agency for Development Cooperation (2002) Research Policy of the Swiss Agency for Development Cooperation http://www.sdc.admin.ch/ressources/resource_en_23780.pdf This document follows an earlier 1993 paper entitled *Research Policy of the Swiss Agency for Development and Cooperation (SDC),* which describes similar objectives and instruments

the well-known 11 principles for research partnerships developed by KFPE in 1998.[26] The 2002 Research Policy also sets a spending target of "6% of the annual global SDC budget for R&D" (p.3).

40. Since 2004 SDC has issued a four-yearly Research Master Plan (*Forschungskonzept, Plan directeur de recherche*), which sets out the main priorities of its research policy. The most recent Plan covers the period 2008-2011. For the 2008-2011 period, the Plan establishes the following six guiding principles for SDC's research-related activities:

- *concentration* on areas where Switzerland has acquired specific expertise and an international reputation. This includes, for example, the pharmaceutical and bio-tech sectors, sustainable agriculture, the development of mountain regions, and issues related to federalism.
- *focus on long-term engagements*, that is on partnerships with institutions with which Switzerland has a long-standing relationship.
- *capacity-building*: research should not only be results-oriented, but also contribute to capacity-building in the target country.
- *practical utility*, including the broad diffusion of research results in order to enhance the impact of research on development.
- *partnership*: research partnerships between Swiss institutions and institutions in developing and transition countries are regarded as a particularly effective instrument for both institutional and individual capacity-building.
- *demand-orientation*: development research should be driven by the needs and priorities of developing and transition countries.

41. The Master Plan defines the following "thematic priorities" for the period 2008-2011:

- *Social development: health, water, social services and education*. This should include in particular projects in the fields of reproductive health, infectious diseases, access to health care systems, the "scaling up" of health care systems, (re)emerging diseases, chronic non-infectious diseases, global water research, and improvement of education systems in developing and transition countries.
- *Economy and employment*. Under this heading SDC activity should focus on professional training, development of the financial sector, and development of the private sector.
- *Agriculture, rural development and environment*, the focus should be on the sustainable strengthening of systems of agricultural production and commercialisation; the strengthening of research on political decision-making regarding the conservation of natural resources; enhancing ecological aspects of agriculture and forestry; and support to research on environmental risks.
- *Global partnership, development and commerce*. In this context, Switzerland shall take part and contribute to research programmes within the framework of EADI, ECDPM and DAC/OCDE.
- *Governance, rule of law and democracy*, where the focus should in particular be on decentralisation, social movements, participatory processes, and local autonomy in transition countries.
- *Conflict prevention and transformation and migration* includes research on risks of state failure, peace-related work, migration issues, as well as the role of business in peace-building.
- *Gender equality*, where the document mentions in particular the themes of "care economy" as well as gender equality and governance.

42. The Master Plan also lays out the roles of other Swiss institutions active in the area of research policy, and their relationship to SDC.

[26] Guidelines for Research in Partnership with Developing Countries, 11 Principles, Commission for Research Partnership with Developing Countries, KFPE, 1998 - http://www.kfpe.ch/download/Guidelines_e.pdf

7.5 Assessment of strengths and weaknesses of the present legal, regulatory and policy framework

43. The laws and ordinances reviewed in section 7.1 set the long-term regulatory environment for SDC's research activities, and have the character of a framework regulation. Basically, they give the SDC permission to encourage research as part of its activities, but allow considerable latitude in determining research policies and budget allocation. There is a trend towards rather more prescriptive regulation, with the latest South Dispatch offering more specific guidance than the previous one, in particular in relation to Swiss interests and role in development research. It is likely that this trend will be reinforced in the future, and the next Dispatches will include specific accountability frameworks against which SDC must demonstrate the effective and efficient use of resources (see section 6).

44. The Swiss Foreign Policy for Science described in the Federal Council's Dispatch on the Promotion of Education, Research and Innovation for the period 2008-2011 (section 7.2) has important implications for SDC, as it includes countries where SDC is already active in supporting research. While it is intended that SER and SDC will perform complementary roles in implementing this policy, there is a danger of overlap and incoherence. The Swiss Foreign Policy for Science is more strongly linked to gaining technological advantage for Switzerland, whereas SDC's actions are more closely related to capacity building and development in recipient countries. While such aims may not necessarily be contradictory, it has not yet been fully established what are the precise roles of the different federal departments, and how they will work together to build synergies.[27]

45. The policy and strategy documents reviewed in 7.4 are non-legally binding texts, but offer much more substantial policy guidance than the laws and ordinances. The documents are generally well prepared, well reasoned and coherent, offering sound guidance and good practice. However, in the view of the evaluation team there is an excess of policy statements, leading to a sense of confusion about the policy weight of each document. For example, it is not clear whether the Research Master Plans take precedence over the 2002 Research Policy.[28] In contrast to the panoply of policy statements, there is a lack of an overarching statement providing clear guidance on *how to* translate policy into practice, and how at a technical level to ensure that SDC's numerous policy intentions are realised.

46. SDC's 2008-2011 Research Plan is by far the most detailed document regarding SDC's research-related activities. At the same time, it is in many parts a non-technical "public consumption" document (with examples of success stories, etc.). While this provides a useful statement of policy, the evaluation team is not convinced that the Research Master Plan is yet providing a meaningful opportunity for strategic reflection about how SDC proposes to address future challenges. There is a sense that the Master Plan has been elaborated as an ex-post justification of what is already being undertaken in terms of research. For the most part it stresses policy continuity, and offers relatively little guidance on what SDC may need to do differently, or do better, and how it should adapt to the changing context. Because it was written before SDC's recent reorganisation, the Master Plan does not take account of the implications of the restructuring of SDC's thematic competences.

[27] Currently a Swiss strategy for bilateral cooperation in the domain education, research and innovation is being drafted by an interdepartmental working group under the lead of the State Secretariat for Education and Science

[28] Moreover, it is unclear whether the 2002 *Research Policy of the Swiss Agency for Development and Cooperation (SDC)* supersedes that of 1993, which is at times still referred to in various policy documents

47. Another weakness of existing policy documents is that they are not based on a clear conceptual framework linking "research" to the strategic goals of SDC, and explaining how investment in research leads to development. While it is clear that many in SDC have thought deeply about these issues, this tends to remain a matter of varying personal conviction, and there appears to be no common institutional view. The linkages between research and development are not made explicit, are often assumed, and are not clearly explained. In the absence of a strong conceptual framework there is a tendency to treat research as a marginal activity for SDC rather than a central part of its strategy to achieve its development goals.

48. In the light of the above discussion there is a need for SDC to establish clearer and more explicit 'models of change' for research, explaining SDC's conception of how a particular input (research investment) is translated into outcomes (development benefit) through various intermediate processes. The evaluation team's assessment of the SDC's model of change is provided in Box 1. This suggests that in relation to its research investment SDC is drawing on at least five different models of change, but these are not, as a rule, made explicit, and many important linkages are poorly understood. In practical terms, this means that SDC risks not paying sufficient attention to critical linkages that will determine whether or not research investment leads to its expected results.[29]

49. The lack of clarity on 'models of change' makes it difficult for SDC to distinguish clearly and develop the instruments it uses to pursue different purposes. For example, there is a very different logic to funding research as a global public good to funding investment in research capacity building. SDC lacks differentiated funding instruments that reflect these different logics and are tailored to working with their distinct models of change.

[29] For example many donor funded investment in research have been undermined due to limited adoption of the resulting technology. Greater attention to the links between scientific discovery and widespread adoption would have help to design more effective programmes

Box 1 - SDC's 'model(s) of change' for research

'Models of change' provide the analytical foundations of any framework for Monitoring and Evaluation, and are a central idea in the OECD-promoted Management for Development Results (MfDR), which most donors have endorsed under the Paris Declaration on Aid Effectiveness. In this view attempts to evaluate the impact of particular interventions require assumptions to be made about how the various inputs - which could be expenditure or staff time - translate into outputs, outcomes and impact. This is known as the assumed "results chain". Such a model or "theory of change" can enable the identification of indicators at different points in the results chain to trace which activities are being effective in which ways.

The current emphasis on models of change is relatively new in its application to research. It is therefore probably unrealistic to expect to find explicit and well elaborated models of change in SDC documentation. However, in reviewing the regulatory and policy framework for SDC's research, it is possibly to discern the contours of several, seemingly linear, models of change. However, not all of the steps are spelled out clearly, and certain deductions (shown in square brackets) have to be made to complete the results chain:

Model (A) Knowledge generation → [knowledge dissemination] → [policy change and/or technical change in south/east] → developmental change

Model (B): Increased *individual* research capacity in south/east → [increased research on relevant development-related issues] → [knowledge generation] → [knowledge dissemination] → [policy change and/or technical change] → developmental change

Model (C): Increased *institutional* research capacity in south/east → [increased research on relevant development-related issues] → [knowledge generation] →[knowledge dissemination] → [policy change and/or technical change] → developmental change

Model (D): Research aiming to improve SDC's interventions → [knowledge dissemination throughout relevant units within SDC] → SDC policy/programme change → increased aid effectiveness → developmental change

Model (E): Increased Swiss research capacity on development-related issues→ [knowledge generation] → [knowledge dissemination] → [policy change and/or technical change in south/east] → developmental change

50. More generally, SDC's research policy documents do not give sufficient attention to broader systems of innovation. There is a tendency to assume that investment in research will necessarily generate results, and to downplay the importance of the wider range of interventions that are required to create the right context and incentives for innovation to occur and to be sustained. The issues have been widely discussed in the innovations systems literature, but presently are not sufficiently reflected in SDC's policy documentation.

These shortcomings notwithstanding, the evaluation team finds that SDC's policy intentions for research are generally sound. There is a high level of consistency between the various documents, which have several recurring features, including the emphasis given to applied, adaptive and interdisciplinary research, ensuring development relevance and impact, strengthening research capacities in the south and east, furthering development research in Switzerland, and supporting research partnerships. These principles are well understood in SDC, and represent a coherent approach to supporting development research that can readily be identified as SDC's approach to supporting research.

8. Portfolio analysis

51. This section provides a profile of SDC's research spending, and analyses where in practice SDC is concentrating its resources. It addresses the following questions:

- How much does SDC spend on research?
- What are the different categories of research funding provided by SDC?
- Who are the main recipients of SDC funds, and where are they located? How much of SDC's research funding remains in Switzerland? How much of SDC's research funding is spent in developing and transition countries?
- Which research topics receive the largest funding allocations? Are these relevant to priority development themes? Are they consistent with areas of Swiss competence and the core thematic competences of SDC?
- What instruments does SDC use to support research? Are these consistent with SDC's strategy and objectives?
- What is the level of financial dependency of research institutions in Switzerland on SDC funding?
- Has SDC funding?
- To what extent do political pressures influence the allocation of research funding? acted to 'lever in' additional resources for development research?
- What are the strengths and weaknesses of the ARAMIS database, and how effectively has SDC used this system?

8.1 Estimate of total spending on research

52. An estimate of SDC's total spending on research can be obtained from the ARAMIS database, which records annual payments against each project code. These figures must be adjusted according to the estimated research content of each project programme, which may be 100% in the case of projects that are exclusively concerned with research activities, or much lower where the project only includes a small element of research among other activities. On the basis of this calculation, SDC spent CHF 42.8 million on research and research-related activities in 2008, a slight increase from 2007 (CHF 42.2 million).

53. These figures are somewhat lower than SDC's estimates of its research investment, which suggest research investment of CHF 51 million in 2007 (CHF 48.9 million in 2008).[30] These estimates are based on official guidelines set by federal administration that research mandates should be counted as 100% research regardless of the estimate of research content recorded on ARAMIS. The evaluation team accepts that this is the official practice for reporting purposes, but finds that the figures generated this way give a distorted view of SDC's research expenditure that grossly exaggerate the importance of numerous mandates which have a low research content. Hence, the figures presented in this evaluation will be based on the estimated research content as recorded on ARAMIS for both mandates and contributions.

[30] The official estimate of CHF 51 million annual research investment reported by SDC is based on a calculation conforming to the definition used by the federal administration. This states that all research mandates should be treated as if they had a100% research content. For research contributions the value of the research activity should be adjusted according to the estimate of research content as recorded on ARAMIS

Box 2 – Shortcomings in SDC's use of the ARAMIS database as an analytical and management tool

As noted in a recent self-evaluation of research spending by federal authorities "the goals of ARAMIS are, (1) to provide interested persons with information about research and evaluations of the Federal administration (transparency), (2) ascertain that there is no duplication of research within the Federal administration, and (3) give the Federal authorities a simple tool to manage research projects (management instrument)."[1] From the perspective of SDC, the ARAMIS database has been somewhat useful in relation to the first two goals, but has not been used well as a management tool.

Having worked extensively with SDC's entries into the ARAMIS database, the evaluation team has noted the following shortcomings.[1] Most of these relate to the way that SDC has used the database, coded and entered information, rather than the architecture and technical features of the database itself, which are quite flexible and robust.

- No definition of research is provided by ARAMIS, which makes it difficult for users to decide which projects to include in the database, and to provide meaningful and comparable data on the research content of individual projects and programmes.
- The codes used by SDC to describe the type of research are rudimentary and not useful from a management or strategic perspective (99% of SDC projects are coded as 'applied research' for example). ARAMIS enables users to create new category codes (e.g. by theme, instrument etc.), and while SDC has experimented with these, it has not yet developed its own customised coding scheme.
- There are numerous errors in the coding of the thematic and country focus of individual projects and programmes, as well as the type of recipient. This makes it impossible to analyse the composition of the portfolio by subject, geographical area and recipient type on the basis of ARAMIS data alone. Substantial recoding had to be carried out for the purpose of the analysis in this evaluation.
- The ARAMIS database contains no information on individual research activities undertaken as part of a large research programmes, such as the NCCR North-South Programme. This reduces the usefulness of ARAMIS as a search tool to avoid duplication and to locate researchers interested in similar themes.
- Project descriptions are unstructured and vary widely in content and length. Much greater detail is warranted.
- Under a number of entries, keywords are in a mix of English and one (or several) Swiss official languages, which makes searches difficult. Organisation names are entered in one language only, and if recorded in, say, Italian, will not be found when searching for the English name. In general terms the search features available on ARAMIS are fairly limited.
- SDC has taken a decision not to include names and contact information for researchers, and only includes itself as a contact point. This limits the usefulness of the database to the research community as a networking tool..

In spite of these shortcomings the evaluation has found the ARAMIS database to be a valuable asset, in particular because it provides a more or less complete inventory of SDC's research related activities. However, in order to meet the full potential of ARAMIS, SDC will need to use the system more effectively.

54. Estimates of SDC's research spending are highly influenced by judgements regarding the research content of individual projects and programmes. One of the many limitations of SDC's use of the ARAMIS database (described in box 2) is that it is not based on a standard definition of research. The figures on research content entered into ARAMIS reflect the judgement of individuals and their different perception of what constitutes research. As part of the examination of project documentation for the sample of 22 SDC projects (see Annex 5) the evaluation team reviewed the estimates of the research content of each project as recorded on ARAMIS. The estimates were revised according to the widely used (but somewhat restrictive) definition of research provided in the Frascati manual.[31] It was clear that in several cases the ARAMIS estimates of research content were much higher than the team's own estimates based on of the Frascati definition: in contrast, underestimates were rare. For the sample of 22 projects, the ARAMIS estimates appeared to be exaggerated by an average of 25%. Assuming that this is representative of the portfolio as a whole, it is therefore estimated that SDC spends around CHF 33 million according to the Frascati definition of research. For the purposes of the analysis that follows the evaluation uses the unadjusted figures on research spending, which total CHF 42-43 million per year. However, it must be recognised this is likely to be an overestimate.

55. SDC's annual research spending of CHF 42-43 million is equivalent to around 2% of total Swiss ODA, or 3% of spending by SDC. This finding is significant in the light of SDC's 2002 commitment to spend 6% of its budget on research and development (see paragraph 39). In this respect SDC appears to be falling well short of the target mentioned in its research policy.

56. SDC's spending on research can be compared with other development agencies, although there are major data deficiencies. One attempt to rank donors' support to research (mainly using 2006 data) places SDC in 16th place, with approximately the same budget as the Dutch, the Danes and Rockefeller Foundation and about one tenth of the largest funder, the Gates Foundation (see Box 3). In terms of the share of its total budget spent on research SDC also appears to be a fairly average donor. On the basis of the research spending figures reported in box 3, SIDA appears to be spending around 5.5% of its budget on research, DFID (UK) 4%, USAID 3%, SDC 3%, European Commission 2.5%, BMZ (Germany) 2.3% and Danida 1.8%.

The evaluation team has not prepared estimates of SDC research expenditure prior to 2007. However, the perception of researchers in Switzerland, as indicated by the questionnaire responses, suggests that the level of SDC research funding has not changed substantially over the past decade (see Annex 7, table 39).[32]

[31] The OECD Frascati Manual (3rd revision 2002) provides the following widely used definition of research: "Research and experimental development (R&D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications" (page 13). Note that this definition is somewhat restrictive and does not include research capacity building, which is commonly considered within SDC to constitute a research related activity. In reviewing the research content estimates on the ARAMIS database the evaluation team included the research capacity building activities that were linked to research projects. In practice this covered most of SDC's investment in research capacity building, which is usually carried out as part of a defined research project or partnership

[32] Respondents were asked whether over the past ten years they had noticed any change in SDC's interest in supporting development research. The largest group of respondents indicated that there had been no change. While some respondents stated that interest had fallen, a more or less equal number pointed to the opposite trend

Box 3 – How does SDC's research spending compare with other development agencies

In terms of volumes of aid allocated to research, the data are often weak and are generally not believed not be fully comparable. There are differences between donors who include research-like activities that are commissioned by the donor, and those who do not. Similarly some donors account for building research capacity, while others exclude this category.

Expenditure is also likely to be a poor indicator of the volume and quality of "research" produced given the huge variation in the cost of employing researchers in different countries, and the extent to which researchers' overheads and other costs are covered by other sources of funds.

Despite the caveats attempts have been made to rank donors' support to research. One recent attempt using data mainly from 2006 places SDC at 16th place, with approximately the same budget as the Dutch, the Danes and Rockefeller Foundation, and about one tenth of the Gates Foundation (the largest funder).

	Agency (Country)	Annual Spending on Development Research/ US$ millions *with reference year(s)*
1	Gates Foundation (USA)	450 *(2006)*
2	USAID (USA)	282 *(2002)*
3	European Union	254 *(2007-08)*
4	IRD (France)	220 *(2005)*
5	DFID (UK)	174 *(2005)*, 300 *(2008)*
6	Wellcome Trust (UK)	143 *(2005-06)*
7	SIDA (Sweden)	135 *(2006)*, 131 *(2008)*
8	Medical Research Council (UK)	120-160 *(2006)*
9	IDRC (Canada)	110 *(2006)*, 139 *(2008/9)*
10	World Bank	>100 *(2005)*
11	NORAD (Norway)	100 *(2005)*
12	ACIAR (Australia)	85 *(2006-07)*
13	Ford Foundation (USA)	75-100 *(2006)*
14	BMZ (Germany)	78 *(2006)*
15	CIDA (Canada)	65 *(2006)*, 34 *(2008-9)*
16	**SDC (Switzerland)**	**40 *(2006)*, 44.4 *(2008)***
17	Japan	>35 *(2005-06)*
18	DMFA (Netherlands)	>35 *(2006)*
19	Danida (Denmark)	35 *(2005)*
20	Rockefeller (USA)	30-40 *(2005)*

Source: Setting The Scene: Situating DFID's Research Funding Policy and Practice in an International Comparative Perspective A scoping study commissioned by DFID Central Research Department. By Nicola Jones, John Young and Mark Bailey, Overseas Development Institute, London, June 30 2007

8.2 Categories of research spending within the research portfolio

57. Before beginning the analysis, it is necessary to define the main categories of research spending within the research portfolio. For the purposes of this evaluation the *research portfolio* is defined as all SDC projects and programmes that have been entered into the ARAMIS database. In practice the term research portfolio is rarely used within SDC because there is no identifiable budget for research and no single research management structure. However, the term will be used in this evaluation because it is convenient and analytically useful.

58. The basic categories of SDC research funding can be distinguished on the basis of *mode of funding* (research contributions and research mandates), the distinction between *project and programme financing*, and the *type of recipient* (for example, multilateral organisation, regional organisation, university, NGO, or joint North-South research partnerships). These categories are explained more fully in the following paragraphs.

59. ***Mode of funding***. A *research contribution (Beitrag)* is a payment to an organisation undertaking research work that is intended to support its general budget (i.e. a core contribution) and programmes. A *research mandate (Auftrag)* is a payment to an organisation that is intended to cover the cost of a commissioned research activity aimed at producing a specific knowledge output. Both modes of funding are subject to a Credit Agreement, contract and reporting, monitoring and evaluation requirements. However, SDC exercises closer oversight and management control over mandates.

60. ***Project and programme financing***. Whereas *project financing* is provided in support of a single and defined set of activities, *programme financing* is used to fund multiple research projects oriented towards a common theme or objective. The usual model for programme financing is that of a research fund managed by a contracted agency or partner to SDC. Individual applicants may apply to the fund on the basis of a competitive call for proposals, and grants are awarded on the basis of an assessment of applications by an expert panel on the basis of clear selection criteria.

61. **Type of recipient**. This analysis distinguishes between four main categories of recipient of research funds.

- *Multilateral organisations* are defined in the South Dispatch as members of the UN system, Bretton Woods Institutions, Regional Development Banks, OECD, EU, CGIAR, GFATM and several other organisations with an intergovernmental character.[33]
- *Other organisations with international membership* include global and regional research networks, foundations and NGOs that are not intergovernmental and are not defined as multilateral organisations in the South Dispatch.
- *Nationally based organisations* are research organisations that are clearly identified with a particular country (even though they usually undertake research projects internationally), for example universities, research institutes and NGOs with a clear national base. This category has in the following analysis been subdivided into Swiss based institutions, other European and North American organisations, and organisations based in developing and transition countries.
- *North-South (or West-East) programmes* are research partnership programmes linking researchers in Switzerland to counterparts in developing or transition countries. These programmes are usually cofunded with SDC meeting the costs of the research partner in the developing or transition countries, and Swiss universities or the Swiss National Science Foundation covering the costs of Swiss researchers. The following SDC funded programmes considered to be North-South (or West-East) programmes include: (1) NCCR North-South, (2) SDC-SNSF Research Partnerships with Developing Countries, (3) Research Fellowship Partnership Programme of ETHZ North-South Centre, (4) Fonds de coopération scientifique EPFL-DDC, (5) Support to the Research Partnerships of the Swiss Universities of Applied Sciences, (6) SCOPES Scientific Co-operation between Eastern Europe and Switzerland, (7) ESTROM Romania, (8) *Jeunes chercheurs*, and (9) *Echanges universitaires*.

[33] Botschaft über die Weiterführung der technischen Zusammenarbeit und der Finanzhilfe zugunsten von Entwicklungsländern, vom 14. März 2008, see pages 2992-2996 for an explanation of how SDC defines 'multilateral support

8.3 Breakdown of research spending by recipient

62. Using the ARAMIS database SDC records the name of the recipient and their basic type (e.g. NGO, university, international organisation). However, this does not include the categories described in paragraph 61, which are particularly relevant to policy questions addressed by this evaluation. To enable such a categorisation the evaluation team added additional recipient codes to each ARAMIS entry based on an assessment of the characteristics of the named recipient (see Annex 4 for further details). The results of this analysis are shown in table 2.

Table 2 – Recipients of SDC research funding 2007-2008

	number of projects receiving funds in 2008	Payments in 2007 CHF '000s	Payments in 2008 CHF '000s	% of total (2007-2008 combined)
Multilateral organisations	29	15,385	11,990	32.2%
- of which CGIAR centres	*24*	*15,044*	*11,286*	*31.0%*
Other organisations with international membership	30	5,918	6,458	14.6%
- of which regionally based organisations (mainly southern)	*22*	*5,136*	*5,725*	*12.8%*
Nationally based organisations	86	14,210	17,836	37.7%
- Switzerland-based organisations	*56*	*7,632*	*11,229*	*22.2%*
- other European or North American organisations	*8*	*1,642*	*1,178*	*3.3%*
- organisations based in developing or transition countries	*22*	*4,936*	*5,429*	*12.2%*
North-South programmes	14	6,716	6,473	15.5%
Total	159	42,231	42,758	100%

Note that these figures are based on the research content estimates reported in the ARAMIS database. They have not been modified by the adjustment factor discussed in paragraph 69.

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63. **Multilateral funding.** The table indicates that research contributions to multilateral organisations make up nearly a third of SDC's research spending. Nearly all of this is provided to the Consultative Group for International Agricultural Research (CGIAR). A total of 24 projects with CGIAR involvement were funded by SDC in 2008.

    This includes core funding to the CGIAR system and institutional funding to CGIAR research centres for a sum of CHF 12 million per year; and allocations to specific projects managed by the CGIAR centres.

Outside of the CGIAR there are a few multilateral research contributions recorded on ARAMIS, mainly directed at the World Bank and OECD Development Centre.[34]

64. **Funding of research activities in Switzerland.** Table 3 can also be used to answer the important question of how much of SDC's research funding is spent on organisations based in Switzerland. The proportion of SDC research spending directly allocated to Switzerland-based organisations is around 22%. In addition to this, organisations in Switzerland will also receive a modest benefit from SDC's funding of North-South programmes. While, the general rule is that SDC's contribution to North-South programmes is used to fund the Southern or Eastern partner, there are a few exceptions described in Annex 4. This analysis assumes that not more than 20% of SDC's total contribution to North-South programmes enters the accounts of research organisations in Switzerland. Thus the amount of SDC research funding received by organisations in Switzerland is estimated to be around 25% of total SDC research spending.

65. Annex 4 provides a detailed breakdown of how research funding for organisations based in Switzerland is allocated between the different organisations. Four federal and cantonal universities receive the bulk of the funding (EPFL, ETHZ, University of Fribourg, University of Bern). Specialised research institutes with federal and cantonal funding (IHEID, STI) also receive significant SDC funding. NGOs and foundations based in Switzerland are also important beneficiaries.

66. It is important to note that Swiss based research institutions usually receive other SDC funding in addition to research funds recorded on ARAMIS. In most cases these other sources of SDC funds are more important than SDC research funds. Analysis of payments as recorded on the SAP system for the six main university recipients listed in table 2 (Universities of Fribourg and Bern, ETHZ, EPFL, IHEID and STI) showed that for the years 2007 and 2008 SDC research funds (as recorded on ARAMIS) made up only 26% of total SDC transfers to these institutions. The bulk of SDC funding was for the implementation of development and training projects, which were not considered to include a research element, and to a lesser extent for the execution of SDC backstopping mandates.

67. The finding that a quarter of SDC's research spending is directed at organisations in Switzerland will no doubt provoke debate as to whether this is an appropriate level of support. There is an understandable concern that SDC should not be using its funds, classified as Official Development Assistance (ODA), to support Swiss organisations. However, this analysis shows that SDC's spending on research activities in Switzerland is rather limited, around CHF 10 million per year, or 0.5% of ODA. The remaining three quarters of SDC's research resources are spent outside Switzerland. In this respect SDC's spending on research appears to be somewhat less Switzerland-based than Swiss ODA as a whole.[35]

68. As indicated by the key informant interviews and the questionnaire findings (see Annex 7, table 15) there is a commonly (but not universally) held perception within SDC that too much of its research funding remains in Switzerland. However, based on the evidence presented here the evaluation team finds that the level of SDC funding for research

[34] It is important to note that SDC is certainly funding more multilateral research activities than are recorded on the ARAMIS database. Most of the large multilateral organisations operate research programmes, and Swiss contributions to these organisations will automatically finance such research. However, it is impossible to establish the extent to which these core contributions are used for research, and for this reason such contributions are not reported on ARAMIS. The ARAMIS data therefore gives a rather distorted impression that SDC is only supporting CGIAR research and not other research programmes undertaken by multilateral organisations. This is not the case, but it remains an established fact that CGIAR contributions are sizeable, and that the CGIAR is the by far the largest recipient of SDC research funds

[35] A researcher on the IHEID /IRENE Economic Effects of Aid Study indicated that as much as 50% of Swiss ODA is spent directly on goods and services in Switzerland

activities in Switzerland is not excessive.[36] Comparable figures for other development agencies are not available, but the evaluation team's sense of how other bilateral research donors operate does not suggest that SDC is abnormal in directing around a quarter of its research funds to domestic institutions.

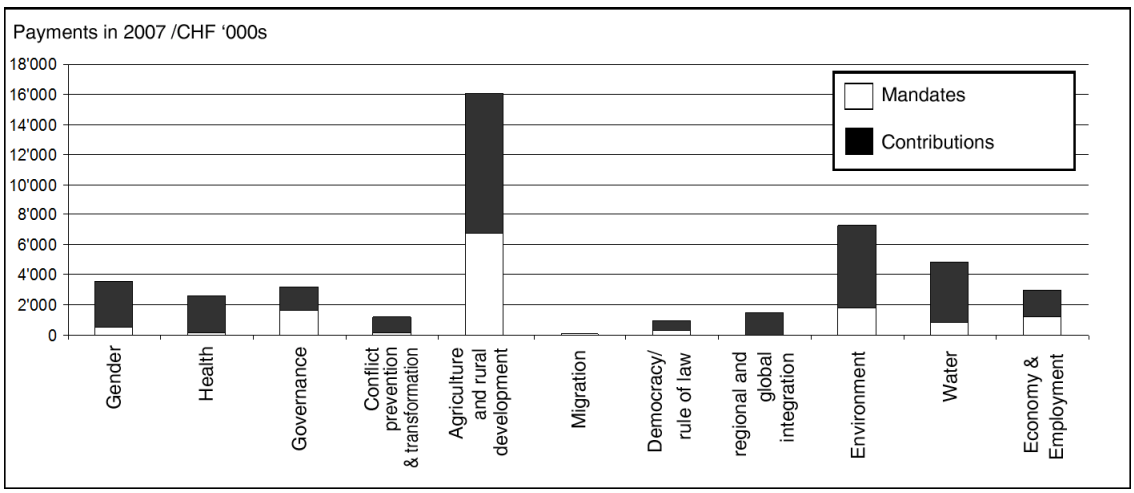
69. **Funding of research activities in the South and East.** The figures reported in table 3 indicate that the majority of SDC's research spending is directed at the South and East. In addition to the 12.2% of research funding spent on nationally based research organisations in the South and East, SDC is also providing substantial support to CGIAR centres (mainly Southern based), regional research organisations (mainly Southern and Eastern based), and North-South programmes where SDC's resources are directed at the Southern or Eastern research partner. Taking these items together SDC appears to be spending around two-thirds of its research funds in the South and East.

70. **Funding of other European research centres outside of Switzerland.** Funding of EU and North American research centres amounts to only 3.3% of SDC's total research investment research funding, and most of these funds have been awarded to a few UK research institutions. Taking a European perspective of SDC's research funding, there is a clear and heavy preference towards Switzerland. There is, however, clearly an interest within SDC to engage more in research at the European level, as exemplified in SDC's participation in the two European Research Areas (agriculture and water).

8.4 Allocation of the funding by research discipline and subject areas

71. Figure 1 shows the sectoral and thematic breakdown of the portfolio. This is reproduced from an overview document recently prepared by SDC that includes a more accurate sectoral categorisation than can be derived from SDC's entries into the ARAMIS database.

Figure 1 – Sectoral and thematic breakdown of SDC research funding 2007



Source: Forschungsinvestitionen der DEZA: ein Überblick, Working Paper, Policy and Analysis Section, June 2009.

72. Agriculture and rural development is the main sectoral focus of SDC's research spending. For the most part this reflects the large multilateral contribution to the CGIAR agricultural research system. The second and third most important sectors for SDC research funding are environment and water.

[36] This concurs with the perception of researchers in Switzerland whose questionnaire responses indicate general agreement with the statement that "the balance of expenditure between Switzerland and developing and transition countries is correct" (Annex 4, table 41)

73. The sectoral classification of research shown in figure 1 is similar to the overall thematic allocation of SDC's spending (compare figure 1 with Graph 2 in SDC's 2007 Annual Report). For example, agriculture and rural development is the largest area of SDC bilateral expenditure and also the main focus of research spending (in particular multilateral contributions to the CGIAR).[37] Environment and water are also major priorities for SDC'S overall bilateral spending. However, there are two areas of thematic concentration in SDC's expenditures that receive disproportionately low research spending allocations: education and rule of law/ democracy.

74. It is important to note the limitations to this sectoral classification of SDC research funding. Many researchers in Switzerland identify themselves strongly with an interdisciplinary (linking social and natural sciences) or transdisciplinary (including stakeholders outside of academia) approach that does not fit within a single thematic category. For example, within the NCCR North-South programme there is a strong interest in undertaking research which bridges environmental science, natural resource management, and social science disciplines.

75. Debates on the thematic focus of SDC's research portfolio centre on three main questions. First, are the thematic priorities for research relevant to addressing development problems and achieving SDC's strategic goals? Second, is the portfolio sufficiently focused to achieve critical mass on certain research topics? Third, do SDC's research funding priorities reflect subject areas of particular Swiss research competence? The following paragraphs address these questions in turn.

76. **Development relevance.** The evaluation team found that most of the SDC funded research projects examined appeared to have a high level of relevance to development problems. As will be discussed in chapter 10, SDC's project and programme management procedures clearly attach a high level of importance to the screening of proposals against relevance criteria. The questionnaire survey also indicated a general consensus amongst SDC staff and researchers in Switzerland that research activities funded by SDC are relevant to development. The questionnaire responses indicate general agreement with the statements: "the research topics funded by SDC reflect SDC's strategic priorities", and "SDC's research activities cover topics that reflect the most pressing global development problems" (see Annex 7, tables 15 and 40).

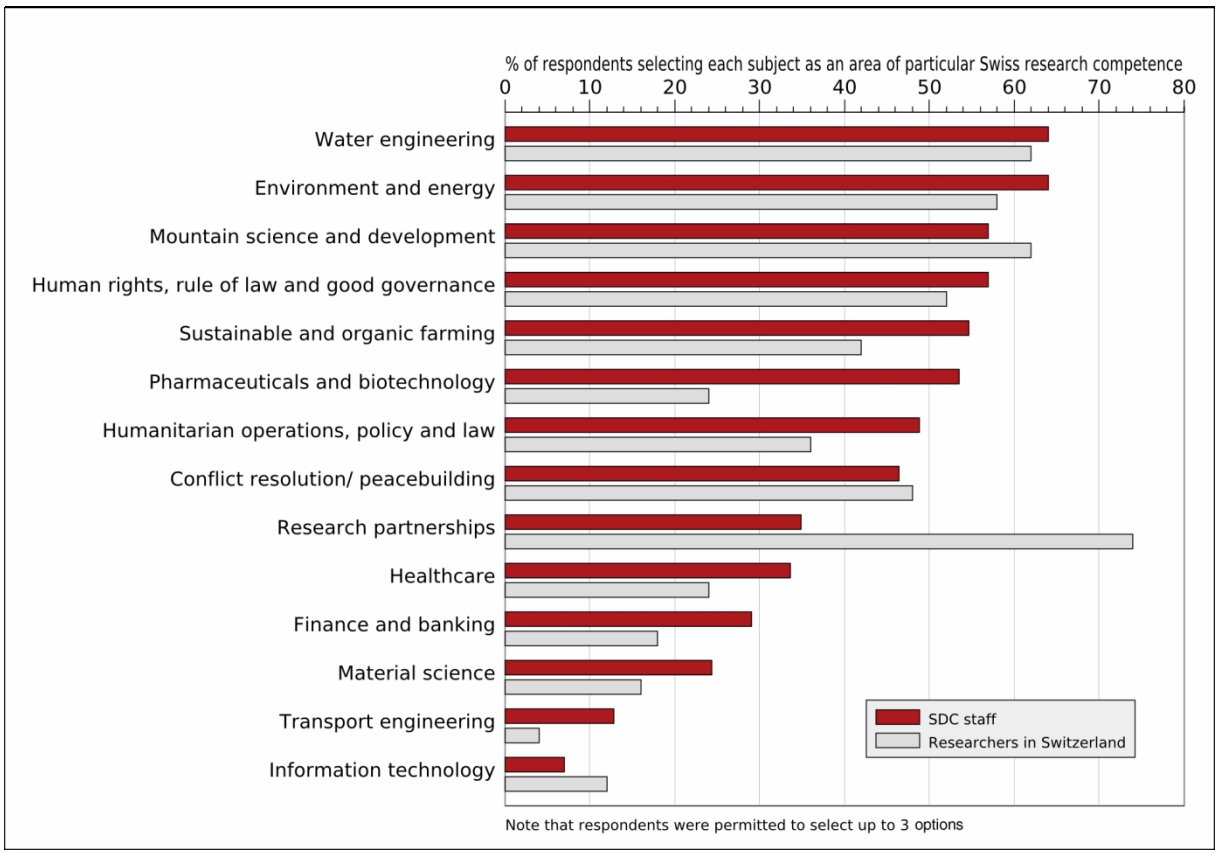
77. **Focus and critical mass**. The results of the questionnaire survey indicate that there is a strong feeling within SDC that its research activities are somewhat fragmented and better results could be achieved by focussing more resources on fewer thematic areas where critical mass is possible (see Annex 7, table 18). The evaluation team shares this view, but would caution against an interpretation that this is a particularly serious problem requiring a radical rationalisation of the themes being funded. The sense of fragmentation in the portfolio is more the result of the large number of individual and small projects than an attempt to cover too many topics. The pattern shown by the bar chart in figure 1 indicates that the portfolio is clearly focussed in a few areas. There is also some evidence of interconnection and emerging synergies within and between these topic areas.[38] However, it is also the case that there are many small initiatives on rather specialised research topics that are not well linked to the wider research programme and are not afforded much attention by SDC.

[37] In addition, there are many bilateral programmes involving individual CG centres, which help SDC to capitalise on and draw synergies from its multilateral investment in the core funding of CGIAR system

[38] Examples include research links between the ETHZ and STI on animal and human health issues, and joint research between STI and EAWAG/SANDEC on water and sanitation and health issues

78. **Focus on subject areas of particular Swiss research competence.** The questionnaire responses from SDC staff and researchers in Switzerland indicate a high level of consensus on the question of where Switzerland possesses particular research competence. The results are illustrated in figure 2 below.

Figure 2 – Areas of Swiss research competence identified by respondents to the questionnaire survey



There is a close correspondence between the perceptions of Swiss research competence shown in figure 2 with the actual breakdown of SDC research funding shown in figure 1. The questionnaire survey results also indicate that most respondents agree that in broad terms SDC is focussing its research investment on areas of Swiss research competence. The main anomaly appears to be the strong focus on agriculture and rural development in SDC's funding that does not appear to be reflected to the same extent in SDC and Swiss researchers' perceptions of Swiss research competence. However, the bulk of SDC's spending in this area is directed at the CGIAR centres internationally through multilateral and bilateral programme, rather than spending on agricultural research in Switzerland.[39] This does raise the question as to how SDC can gain greater synergy from its investment in CGIAR in relation to agricultural research undertaken in Switzerland.[40]

[39] The main recipients of research funding for agricultural research in Switzerland are ETHZ North-South Centre (former ZIL), EPFL (partner in the Indo-Swiss biotechnology programme) and CABI Europe

[40] One example of such synergy is the Research Fellow Partnership Programme managed by the ETHZ North-South centre that funds doctoral and post-doctoral fellowships and research placements with CGIAR centres. However, there do not appear to be many other examples of links between research activities in Switzerland and SDC's support for CGIAR research

79. There are a number of subject areas that appear to be underrepresented in the SDC research portfolio. These include:

- ***Pharmaceuticals***. Switzerland's strong pharmaceutical industry possesses considerable research capacity, but this is untapped by SDC. SDC does not appear to have substantially engaged with innovative financing instruments to create incentives for research by the private sector on diseases affecting the poor, for example forward purchasing agreements for vaccine development. One exception is the Medicines for Malaria Venture, part funded by SDC.
- ***Mountain science.*** With the exception of SDC's long-term financing of ICIMOD in Nepal, SDC's research portfolio does not reflect the importance attached to mountain science as an area of particular Swiss research competence.
- ***Conflict prevention and peace building***. Although SDC's portfolio includes some small initiatives in this area, this does not reflect Switzerland's long tradition of engagement and research competence in this area. Research on humanitarian operations, policy and law is also underrepresented. One of the reasons for this apparent mismatch is that conflict and security are often considered to be the responsibility of the Political Affairs Division IV: Human Security of the Federal Department for Foreign Affairs and the Federal Department of Defence. However, it should also be noted that 'promoting human security and reducing security risks' is named as one of the three priorities for development cooperation in the South Dispatch. This does not appear to be well reflected in SDC's research spending priorities.

8.5 Breakdown of research spending by instrument

80. Analysis of SDC entries into the ARAMIS database for 2007 and 2008 indicates that in 2007 and 2008 SDC provided 82.7% of its research funding in the form of research contributions and 17.3% in the form of research mandates. Multilateral organisations received almost all of their funds in the form of contributions.

81. Further analysis of project documentation by the evaluation team has shown that there are important differences in the way that research contributions are managed. While some research contributions are core contributions that can be used by the recipient without restriction, others are earmarked in the sense that their credit agreements specify a set of activities for which the funds may be used. SDC refers to the latter practice as 'soft earmarking', because the broad lines of activities are defined in the credit agreement, but management and implementation responsibility may be fully in the hands of the recipient. Research mandates embody a stronger form of earmarking, and where SDC is responsible for project management and monitoring.[41]

82. In view of these distinctions the evaluation team has reclassified the ARAMIS database entries to provide a more meaningful assessment of the extent to which SDC's research funding is provided as unearmarked contributions or funding linked to specific research activities. Based on the reading of project texts held on the ARAMIS database, it has been possible to divide SDC's research spending into two categories: (1) unearmarked research funding, meaning core funding to research organizations where research activities are not specified, or only described in very general terms, and (2) earmarked and softly earmarked research funding, which includes project or programme funding for a specific set of research activities, against which various reporting and monitoring requirements or mechanisms areput in place. Table 2 shows the division of unearmarked

[41] Of the 113 research contributions funded in 2008 the evaluation team found that 50 were earmarked or softly earmarked in the sense that their credit agreements specified the activities for which the funds should be used. Of the 46 mandates funded in 2008, 6 did not include a specific description of a research activity, and were considered to be unearmarked

and earmarked research spending between different recipient types. For comparison the distinction between research contributions and mandates is also shown.

Table 3 – Unearmarked and earmarked[42] research spending by recipient type

	Evaluation team's reclassification		ARAMIS classification	
	% of funds to each recipient provided as unearmarked and earmarked funding 2007-2008		% of funds to each recipient provided as contributions and mandates 2007-2008	
	% unearmarked	% earmarked	% contributions	% mandates
Multilateral organisations	79.7%	20.3%	98.4%	1.6%
- of which CGIAR centres	79.6%	20.4%	98.4%	1.6%
Other organisations with international membership	80.0%	20.0%	78.3%	21.7%
- of which regionally based organisations	77.4%	22.6%	80.7%	19.3%
Nationally based organisations				
- Swiss based organisations	18.4%	81.6%	56.2%	43.8%
- Other European or North American organisations	69.0%	31.0%	100.0%	0.0%
- Organisations based in South or East	42.5%	57.5%	68.6%	31.4%
North-South programmes	85.2%	14.8%	99.4%	0.6%
Total	**62.1%**	**37.9%**	**82.7%**	**17.3%**

83. Table 3 shows that SDC spends 62% of its research funds on unearmarked activities and 38% on earmarked (or softly earmarked) activities. In terms of numbers of projects the division between unearmarked and earmarked spending is closer to 50:50. While multilateral and other international organisations receive most of their funds as unearmarked core contributions, SDC's funding of nationally-based organisations is heavily earmarked.

Having divided the ARAMIS dataset into unearmarked and earmarked research activities, the evaluation team undertook a further classification of earmarked funds to describe their particular type of purpose. The results are shown in table 4.

[42] Here the term 'earmarked' refers to earmarked and softly earmarked research spending

Table 4 – Specific types of earmarked research spending

	% of total funding 2007-2008	Active projects in 2008
Unearmarked research spending	62.1%	96
Earmarked research spending	37.9%	90
- research projects concerned with development cooperation policy for use by SDC	0.8%	8
- research projects concerned with addressing problems of developing and transition countries	16.2%	32
- traditional development projects in the field with a research component	13.5%	31
- projects concerned mainly with building capacity of research institutions in developing and transition countries	4.3%	10
- training, studentships, study visits, exchanges	3.2%	9

84. The main type of earmarked research funding is for research projects concerned with addressing problems of developing and transition countries. This category is defined as projects with a high research content that are focused on a well defined problem directly affecting people in developing and transition countries. The second most frequently encountered category of earmarked funding are traditional development projects in the field that include a research component. For this category the research content of each project is typically less than 30%.

85. The analysis shows that projects concerned mainly with institutional capacity building make up a small part of the portfolio. However, there are many more projects that contain some element of institutional capacity building among other activities. Among the unearmarked core contributions for multilateral organisations, it can also be assumed that there is significant support for institutional capacity building. It must also be emphasised that the majority of SDC funded research projects appear to include an element of *individual* capacity building, although it has not been possible to measure this.

86. A striking finding of this analysis is that less than 1% of SDC's research funding is concerned with SDC development cooperation policy. Only eight projects were found to fit into this category, which describes research primarily for use by SDC to enhance its own effectiveness at the policy and operational level. This finding is surprising given the emphasis given to this type of research activity in the 2002 Research Policy paper (referred to as *Ressortforschung*).

8.6 Financial dependence of Swiss researchers on SDC and other sources of funding

87. The results of the questionnaire survey provide useful evidence on the extent to which recipients of SDC research grants are financially dependent on this source of funding. As indicated in Table 5 below, SDC is an important source of funding to Swiss researchers involved in SDC funded research projects and programmes, but their level of dependence on SDC research funding is rather low. Less than 20% of these researchers receive more than 40% of their research funding from SDC. It is evident that research grants from the Swiss National Science Foundation, universities and other sources are much more significant for these researchers than grants from SDC.

88. In the case of the North-South and West-East programmes SDC is not funding development research in Switzerland (which is supported by the Swiss National Science Foundation and universities), but is playing a complementary role by funding the Southern or Eastern research partners of development researchers in Switzerland. This

appears to be a successful model where SDC has used its own ODA resources to support research in developing and transition countries, while at the same time stimulating research partnerships between these countries and Switzerland, and thereby creating greater interest in collaborative development research in Switzerland.

Table 5 – Reported levels of financial dependence on SDC

Responses by participants in SDC funded research programmes in Switzerland to the question: "Please indicate the extent to which the research activities under your personal responsibility are funded by SDC and other sources:" Note that respondents included Switzerland based recipients of SDC funds and Switzerland-based participants in SDC supported North-South programmes.[43]

	Less than 20%	20-40%	40-60%	60-80%	More than 80%	Number of respondents
SDC funds	43.6	38.9	16.7	0	1.9	54
Swiss National Science Foundation	36.2	42.6	14.9	0	6.4	47
Funds from own university of research institution	42.9	40.8	14.3	2.0	0	49
Other funds	27.5	42.5	12.5	10.0	7.5	40
					answered question	**54**
					skipped question	**3**

Source: Annex 7, table 37

89. The same analysis was undertaken to gauge the level of financial dependence on SDC by research partners in developing countries. The level of financial dependence reported by the developing country researchers again appears to be quite low, most commonly in the 0-20% range (see Annex 7, table 61). Small grants appear to be the norm as more than half (55%) of developing country recipients reported that their organisation received less than US$25'000 per annum from SDC.

8.7 Political influences on research funding

90. During its work, the evaluation team encountered examples of the allocation of SDC resources to projects and programmes that were commonly acknowledged to reflect a "political" logic. The analysis of the beneficiaries of research funding suggests that 'politics' has influenced the portfolio in two main ways:

91. First, in relation to the allocation of funds spent on research activities in Switzerland, there has been a tendency to ensure a balance of funding between all of the major research centres. This reflects the nature of the federal political system and the need to balance cantonal, regional, and linguistic interests. Such considerations are by no means restricted to SDC's research spending, and affect all federal spending. It is also the case that the major Swiss development research centres form an effective lobby that on a collective basis has supported SDC's research funding, and on an individual basis has sought to attract funds to particular research centres. SDC tends to be receptive to such voices because the development research community is generally supportive of development cooperation, and has helped SDC make the argument for continued ODA spending. While acknowledging that these political processes are clearly active, it is important not to exaggerate their importance given the rather limited SDC research funding allocated to organisations based in Switzerland, and their rather low level of financial dependence on SDC funding.

[43] To interpret the table note that each row should add up to 100%. For example 43.6% of surveyed participants of development research programmes in Switzerland (for which SDC is a funder or partner) received less than 20% of their funds from SDC

92. The second type of 'political' influence reflects the common tendency for individual funding decisions to reflect personal connections between SDC decision makers (on all levels) and individual researchers or research centres. It is important to stress that this does not involve personal self-interest and abuse of power, but rather the tendency for SDC staff to have close personal and professional contacts with the research community, and to make these connections on the basis of the particular development topics that interest them. In addition, there is some evidence that the regional political interests of persons in a leading position within the government has sometimes led to funding decisions that are favourable to a particular research centre. While these tendencies reflect the political and social reality of Switzerland, they are somewhat damaging to the effectiveness of SDC as a development research funder because they make it more difficult to follow a previous agreed strategy, and increase the risk that the diversion of funds towards political and personal pet projects will result in a sub-optimal resource allocation. Moreover, such projects are often terminated once SDC decision-makers change positions or leave. Such, at times, abrupt interruptions in collaboration can be difficult for SDC partners, not least in developing countries, as key informants in the Swiss research community have testified. In examining the portfolio the evaluation team finds that such tendencies have moderately affected SDC's research funding. However, there is increasing recognition of this problem within SDC, and a determination to move towards strategy driven funding decisions.

Key informants in the Global Division also introduced the political idea that support to research should be undertaken in order to increase Switzerland's credibility in international issues of global importance. Support to research for instance on climate change in southern countries would not only provide insight into the bargaining position of southern partners, but would also contribute credible new knowledge in international negotiations.

9. Evidence on the results of SDC's research investment.

93. This section considers the results of SDC's research investment by addressing the following questions:

- What evidence is available to the evaluation on outputs, outcomes and impacts?
- What evidence is there on the utilisation of research results (within and outside SDC)?
- What evidence is there on the performance of different models of capacity building and North-South partnerships?
- What examples can be provided of well performing and badly performing types of research activity?

9.1 What types of evidence are available on outputs, outcomes and impacts? Where are the gaps?

94. Determining the results of research has proven elusive to many that have attempted it. Outputs are largely known and frequently listed. However, assessments of impacts and outcomes constitute a major gap. This is partly methodological. Outputs are defined as tangible entities that can usually be seen, felt or moved about. However, outcomes are the expected consequences of the outputs and are usually harder to measure. The effects of a single research output may need to be added to many others before it has an impact, and this process might take many years. Furthermore, as suggested earlier, the impact of research will be a function of a large number of other elements of the system being in place. It is more likely that people will act on evidence that is built up over many years, in different contexts, and only when this has been communicated effectively. Even when research helps shape policy and practice, it can sometimes take years to see the benefits to poor people. It is also a characteristic of research that some of it will fail or lead nowhere. But, it may be argued that the cost of such failures can readily be recouped by one or two big successes.[44]

95. A senior SDC staff member expressed the dilemma succinctly in a recent speech: "we are aware that the results of some research cannot be measured in the way one can for example measure economic changes ... but we would like [researchers] to demonstrate more often that research is a useful tool for development"..."in short, the pressure to demonstrate results has been growing in recent years and this will catch up with research funded by official development assistance".[45]

96. The problem is well illustrated by the recent evaluation of the CGIAR system, which notes that the impact of research is a function of many other complementary inputs: "adoption depends on local collective action, extension services, or assignment of property rights. That means that the spillovers can be very limited, and the overall impacts constrained" (page 3). It is also noteworthy that this prestigious and mainstream evaluation concludes that "the Centres cannot be held accountable for the final delivery of their products to the poor, but they do need to be part of a larger strategy and set of arrangements with donors and other partners to achieve specific development-based outcomes" (page 7/8).

97. In some sectors, particularly in the health sector, there is a strong tradition of statistically significant impact assessment. A great deal of money is allocated to epidemiological studies that establish the impact of particular interventions with statistical rigour.[46] But, in most sectors, and in most research projects the model of change is unspecified, base

[44] As argued in the recent CGIAR evaluation

[45] Toni Stadler, speech to the ETH North-South Forum, May 5th 2009: From Research to Implementation, page 4

[46] The SDC funded the IMPAMEL project undertook trials on a new treatment regime for the treatment of trypanosomosis, which resulted in demonstrable efficacy for a treatment schedule that uses substantially less of the treatment drug (see the case study of the East African Trypanosomosis project, annex 8)

lines are not put in place, and the chance of producing statistically significant evidence of impact is low.

98. A further note of caution should be added to the analysis of research results in the evaluation, as solid evidence in this respect has been difficult to obtain. The evaluations of individual SDC-supported research projects (such as those analysed in the meta-evaluation) often provide information on outputs, but more rarely on outcomes/impacts. The case studies also give valuable insights into management processes and research processes, but they are too few in number to make any generalisations about research results. This points to a general problem faced by SDC in demonstrating the results of research activities. While it is relatively straightforward to provide evidence of individual successes and failures, such information is not captured systematically across the research portfolio.

9.2 Evidence on outputs, outcomes and impact from the review of evaluations case studies and meta-evaluation

99. The 10% sample of SDC credit proposals to support research showed that nearly all clearly expected results at an output level (91%), but only half at the outcome level. Just over a half (52%) included clearly specified indicators at the output level, and 30% at the outcome level. Tthe inclusion of indicators in SDC project documents has been improving over time, but there is still very little discussion of outcomes.

100. The meta-evaluation of evaluations of individual SDC-supported research projects (Annex 6) shows that most of the evaluations surveyed included an analysis of outputs (articles published, people trained, improved capacity, etc.), but did not produce evidence of outcomes. The meta-evaluation shows that the most commonly cited output was knowledge that could be used by practitioners (81%); just under 60% produced new knowledge in journals. Capacity building was achieved in 76% of the projects evaluated, with over 60% of the evaluations showing improved capacity to utilise research (see table 8 annex 6).[47]

101. The evidence from the case studies shows a similar pattern. For almost all the projects examined outputs were clearly listed (over 90% of those examined). However, only one third had logical frameworks, and only two had an explicit model of change. Only those projects which started out with a clear diagnosis of the “innovation system” were able to provide a clear model of change, and to report on outcomes associated with behavioural change. Generally individual projects do not report on other parts of the innovation system, and do not report on what other inputs are necessary for their work to achieve an impact.

102. Six of the case studies were able to address issues of outcomes, and five were able to demonstrate impact in terms of raising incomes. These impacts included the numbers of households whose incomes had been raised by research related outputs (e.g. with vegetable seeds in Nepal) or in terms of behavioural changes in the participants, such as farmers groups or private sector actors relating to commercialisation and innovation (in relation to potatoes in Peru). Unlike SDC administered projects, the SCOPES case studies were reported to use the National Science Foundation’s systematic questionnaire to report outputs, impacts and the quality of the partnership. This was regarded as useful, effective and not too onerous on the researchers.

[47] The research could have more than one output, therefore the percentages exceed 100%

103. The NCCR North-South programme (like other NCCRs) is able to produce impressive lists of outputs and has recently begun to invest serious resources into the processes required to track outcomes resulting from its work.[48] In addition, SCOPES and Research Partnerships with Developing Countries use the SNSF questionnaire to report outputs, impacts and the quality of the partnership.

104. The independent evaluation of CGIAR was the only evaluation of SDC supported research that examined rates of return to investment in research. It notes that "rates of return have been high on some research, high enough to show that the CGIAR has more than paid for itself" (p2). Even so they concluded that with so many top scientists working on aspects of agriculture in developing countries, the CGIAR "is not achieving its full potential" (p 1). Furthermore they noted that the benefits (for poor people) of such research depend on further assumptions about how the knowledge will be taken up (for instance by seed producers, and changed farmer practices), how the complementary inputs (such as water and fertiliser) will be provided, and how the resulting products will be used or brought to effective markets.

105. The evaluation of the International Centre of Insect Physiology and Ecology (ICIPE) also suggests that the programme's impact is probably limited by lack of extension and dissemination. [49]

106. The complexity involved in determining impact and the underlying models of change is well illustrated by the research supported by SDC on anti malaria bed nets. Pioneering research on the efficacy of insecticide impregnated bed nets was undertaken by the Swiss Tropical Institute (together with other researchers in Gambia, the WHO and elsewhere). [50]

107. However, the effectiveness of the various current implementation programmes is due in significant measure to the "invention" and development by a Japanese company, Sumitomo Chemical Company, of a resin-based fibre that retains insect repellent properties for at least 5 years in African conditions and repeated washing.[51] This example illustrates that impact often depends on complementary inputs, effective commercialisation and wider processes of innovation, and cannot usually be attributed to a single research input.

9.3 Evidence relating to the utilisation of research results (within and outside SDC, in countries in South and East)

108. The meta analysis of evaluations shows that often the objectives of the programmes were to produce "results oriented research (86%). The evaluations cited a wide range of users of the research outputs, with the largest category being suppliers of goods and services too poor people (57%) and government (48%). Over 40% of the evaluations suggested that among the main users were members of the research network. Only 15% of the evaluations suggested that SDC's head office were users with 24% citing SDC country offices.

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[48] In relation to outputs the NCCR North South reports the following from the first seven years of operation Publications with peer review: 297, Publications without peer review: 174, Articles in anthologies: 286, Books: 91, Reports: 576, Presentations at congresses: 1542, Services: 64, Products/prototypes etc.: 53, Start-up/spin-off: 2

[49] ICIPE External R&D Review Report 2002–2007 2007 International Centre of Insect Physiology and Ecology, ISBN 92 9064 196 7 Franz Bigler, Agroscope, Switzerland, Jan O. Lundström, Uppsala University, Sweden, Ebbie Dengu, Consultant, Harare, Zimbabwe. Also note that the case study on the INCOPA programme was in part a response to the closure of extension services in Peru (see Annex 8)

[50] Lengeler C. 1998. Insecticide treated bednets and curtains for malaria control (Cochrane Review) The Cochrane Library, Issue 3. Oxford. MacCormack CP, Snow RW, Greenwood BM. 1989. Use of insecticide impregnated bed nets in Gambian primary health care: economic aspects. Bulletin of the World Health Organization 57: 209-214

[51] Takaaki Ito and Takeshi Okuno, Development of 'Olyset net' as a Tool for Malaria Control, translated from Sumitomo Kagaku, volume 2006-II

109. In relation to the usefulness of SDC supported research to SDC itself, key informants in Switzerland provide a somewhat mixed picture. They rarely considered their research as being designed to help SDC's operational programmes.

110. The NCCR North-South team, for instance, felt that it was not possible (nor desirable) to tailor their research to SDC priority countries of focus or on SDC topics because the research cycle was often much longer than the changes in SDC policy. Examples were cited such as the high quality research on water and sanitation that contributed directly to (and was directly the result of) SDC programmes in the Mekong delta. However, this was terminated when SDC policy shifted to other topics. Similarly there are areas of research (such as NCCR research on migration) which pre-date SDC's interest, but which in future could contribute to a firm analytic and empirical foundation for SDC's programmatic work in this area.

111. The potato innovation programme in Peru provides an example of an intermediary case that could provide SDC with generic lessons about new approaches to integrating research with operational programmes including with the private sector.

112. The case studies also provide a mixed picture on utilisation by SDC. There are certainly examples in which a relative small research component has been usefully added to a priority area for SDC programme activity. This appeared to be particularly so for the vegetable seed production in Kathmandu. But, at the same time there were a larger number of examples in which the country offices felt the research offered no practical addition to their programmes, or it was not intended to do so (e.g. ICIMOD, and Trypanosomosis in East Africa, see annex 8).

9.4 Evidence on performance of different models of capacity building and North-South partnerships

113. The portfolio analysis shows that almost all SDC support for research contains elements related to build capacity in the south or the east (this is consistent with the 71 % of the projects reviewed in the meta evaluation that were said to have created capacity). But, activities specifically aimed at institutional capacity building are quite small in number (projects concerned with building capacity of research institutions in South or East constitute only 4.3% % of total funding 2007-2008, and representing only 10 active projects in 2008)[52].

114. Within the SDC portfolio there are a wide range of intervention strategies for building capacity. Many key informants regarded SDC organisational support to the Ifakara Health Centre in Tanzania, and the Swiss Centre for Scientific Research in Côte d'Ivoire (now funded by the Secretariat for Education and Research), as well as the 2IE centre (Institut International d'Ingénierie, de l'Eau et de l'Environnement) in Burkina Faso, as being exemplary. These successes involved long standing commitments over decades and involved substantial levels of funding.

115. In recent years SDC's most frequently used approach to building capacity has been at the level of individual and teams of research partners. The underlying model of change is rarely specified, but it is assumed that the trained individual can find an opportunity for subsequent employment in an institution in which they can put their skills to good use.[53] In some key informant interviews building research capacity was valued primarily in terms of enabling individuals in developing countries to acquire the skills of the "scientific method" and the culture of the scientific approach.

[52] It should be noted however that there are many other training projects outside of ARAMIS

[53] Key informant interviews at SANDEC (Water and Sanitation in Developing Countries at EAWAG a research institute within the Domain of the Federal Institutes of Technology- ETH) stressed the importance that they attach to finding posts for people from developing countries that they had supervised to get PhDs, and their preference for this modality rather than being committed to support a particular organisation who may or may not be able to find competent candidates

116. Enhancing the capacity of individuals has frequently taken place in the context of SDC supported north/south partnerships. While these have been successful in building capacities, there would seem to be a number of additional advantages when these partnerships are embedded in larger networks, involving several countries both in the north and the south. There are examples of the South/South components in the SDC portfolio, including within the NCCR NS, the network associated with innovation in potatoes, the East African network on Trypanosomiasis, and the networks associated with water and sanitation. Some of these arrangements have the advantage of being able to achieve a greater critical mass of effort through co-financing from other donors, and having governance systems which strengthen the voice of the southern partner in the control of resources and the choice of research topics.[54]

117. The questionnaire surveys conducted for this evaluation confirm that both researchers in Switzerland and their partners in developing countries hold positive views about the value of research partnerships. There was widespread consensus that research partnerships had had a strong impact in the following areas (ranked in descending order of importance): building research capacity in the partner country at the level of individual researchers, building a lasting network of international connections, ensuring greater use of the research findings in the partner country, strengthening the capacity of the partner institution as a whole, and contributing to high quality research results (see Annex 7, tables 52 and 68). The questionnaire surveys also confirmed that both researchers in Switzerland and their partners in developing countries believed that all of the KFPE 11 Principles for Research Partnerships had generally been adhered to (see Annex 7, tables 53 and 69).

118. If the consensus among donors is to focus on capacity building at the level of organisations this may well have consequences for SDC in the future. Building the capacities at the level of organisations implies a commitment of donor resources that will exceed those of most bilateral donors unless they "harmonise" their efforts with others.[55] In this regard, the ODI review of capacity building in Africa also draws attention to the fact that while "*there is a growing level of coordination and collaboration among development research donors with respect to support for research capacity building, particularly in the form of jointly funded intermediary organisations and thematic research networks. However, there is still much room for improvement, especially given very high capacity strengthening needs in Africa and still relatively limited funding"* (page 23).

9.5 Examples of well performing and badly performing types of research activity.

119. The evaluation found a large number of activities that could be judged successful in meeting the objectives they set for themselves. However, far fewer could be said to have made a significant impact at the level of helping SDC to achieve its development goals. There is a strong sense that there are many small research activities, which are moderately successful in their own right, but on an aggregate level are simply not on a sufficient scale to make a substantial development contribution.

[54] SDC has been able to harmonise its research through its contributions to international research centres of the CGIAR and through ICIMOD. It has also done so at the country level such as through the 'funding pool' for the Ifakara health centre

[55] A recent evaluation of capacity building in Africa shows how SIDA had a significant impact by focussing a substantial amount of money in one country. Evaluation of Research Cooperation: Burkina Faso and Sweden Sida Amitav Rath, Team Leader Hocine Khelfaoui, Jacques Gaillard, April 2009. The aim of the research cooperation program was to strengthen research capacity at the two institutes for higher education and at CNRST with links to three Universities in Sweden. The outputs of research and training were described as "outstanding". Out of the 22 Burkinabè participants, enrolled in the PhD program, 15 defended their thesis to the end of February 2009. 64 publications were published in scientific journals, of which 40 are in international journals. The mean number of publications per participant in the program (3.37) "an outstanding achievement given that six of them are yet to defend their thesis"

120. Of the 14 case studies examined, eleven could be regarded as unequivocally successful.[56] The two projects at the International Potato research centre in Peru have been highly successful in developing a new approach to linking research to production. It does so through a clear model of change that has resulted in the involvement of a wide range of actors, including farmers groups, the private sector, government and NGO as well as researchers.[57]

121. The Vegetable Seed Project in Nepal also provides an example of success that was regarded as particularly valuable to SDC in that a relatively small amount of support to research was combined with an effective service delivery programme. This too involved the private sector.

122. Other successes of this type became apparent in the key informant interviews which revealed examples where Swiss research instituted had combined of back-stopping for SDC, service delivery and high quality research (though not all of these were necessarily supported by SDC). SANDEC and STI actively use this model.

123. In a somewhat different manner the East African network on Trypanosomiasis EANETT was highly effective in terms of using Switzerland's considerable reputation in this field to build an effective network of East African research institutes working on this neglected disease. However, the results of this activity were of little direct use to SDC.

124. NCCR north-south programme provides a model of collaborative research that could serve SDC well in the future. Some of its key strengths include its long-term programmatic approach, thematic focus on a number of interdisciplinary topics, emphasis on building networks and a solid management and governance structure.

125. Several cases examined by the evaluation team suggest that where projects appear to have been funded on political grounds the risk of poor performance is greater. For example, case study evidence of IFF-SDC partnership suggests that some of the problems that occurred in the past resulted from the high level political support given to the partnership, which limited the ability of SDC managers to demand greater accountability for results.

126. Within the SCOPES programme there appear to be many good examples of building long term partnerships between Switzerland and Eastern Europe. For example, one of the case studies included in this evaluation (transition to adulthood and collective experiences in former Yugoslavia TRACES programme) demonstrates the establishing of a strong research partnership between Lausanne and Zagreb.

127. The success of the projects examined in the small sample of cases is supported to some extent by views of SDC staff expressed in the questionnaire. Of the projects that SDC staff cited as most useful to them, the most frequently cited programme (in answer to an open-ended question was the NCCR N-S (7), the CGIAR (5), Ifakara health centre (4) and SCOPES (3).

128. There are clearly elements with the CGIAR that are successes (not least the programmes at CIP, but also the SDC supported Hill Maize Research Project implemented by the International Maize and Wheat Improvement Centre (CIMMYT) in Nepal, and programmes in Vietnam with the International Rice Research Institute). However, many donors including SDC have been concerned about the CGIAR's performance and its inability to adapt to current challenges. The recent evaluation of

[56] the three Tanzanian examples do not yet contain sufficient detail to make judgement

[57] In 2007 the Peruvian partner of Papa Andina- the INCOPA project- won two international awards for its Tikapapa initiative. The first was the "Seed Awards 2007" of the United Nations, awarded to 5 projects out of 230 selected from across the globe. INCOPA also won "The World Challenger Award 2007", of the BBC and Newsweek magazine. 940 projects participated in this competition which awards business initiatives that not only look to make profit but also invest in farming communities (Papa Andina. Informe Anual 2006 – 2007. p. 30)

the CG concludes that "The CGIAR, however, suffers signs of age as it turns 37. It is in urgent need of structural change if it is to respond with its full potential of new challenges of food and environmental security. A renewed and rebalanced partnership is essential for the CGIAR System to improve its game" [58] (page 1). However the evaluation emphasises how difficult the organisation is to reform noting that "the CGIAR system has been attempting reform since 1994" (page 2).

129. In 2009 the CGIAR embarked on the implementation of the integrated reform proposal based on the external review. SDC is monitoring this process closely through its participation in the European Initiative for Agricultural Research for Development.

130. Similarly, the International Centre for Integrated Mountain Development (ICIMOD) is currently undergoing a process of reform to enable it to be more effective for the operational requirements of member countries and the operations of donors such as SDC.

131. A considerable success of the SDC programme has been the achievement of the objective set some ten years ago of building research capacity and a development-engaged constituency in Switzerland. Key informants suggested that SDC support was instrumental in them orientating their research towards development. However, many of the organisations that were assisted have invested considerable amounts of their 'own' funds into this area of research, and feel that SDC has an obligation to continue supporting them in future. This could represent a significant constraint on SDC's room for manoeuvre as it moves into the next phase.

[58] Independent Review of the CGIAR System, Synthesis Report, Elizabeth McAllister, Chair, November 2008

10. Research management

132. This section addresses the question of how well SDC manages its research activities. It covers the following issues:

- What processes does SDC use to steer and adjust the research portfolio?
- How does SDC award research funding?
- To what extent has SDC implemented the principles of Results-Based Management
- How well does SDC evaluate its research projects?
- How does SDC conduct its relationships with research projects and programmes, and its key partners?
- What lessons can already be drawn about how effectively research is being managed within SDC's new organisational structure following reorganisation?
- How does SDC's management of research compare with other research donors?

10.1 General description of research management in SDC

133. In many senses the management of research projects is no different to normal project management in SDC. There is no research budget. Research activities are funded through SDC's normal instruments, namely multilateral contributions, and contributions and mandates within the bilateral programme and contributions to North-South/West-East partnership programs.. The responsibility for managing research activities rests with individual programme officers across the organisation. However, a coordinating function is provided by the 'research desk', which since the reorganisation has been located within the Analysis and Policy division in the Global Cooperation Department. While the research desk only manages part of the research portfolio (mainly the North-South programmes), the responsibilities of this post also cover research policy more generally, monitoring the portfolio, updating the entries into the ARAMIS database, and ensuring coordination with other federal departments.

134. Prior to SDC's reorganisation many of the research dossiers were managed by thematic experts within the 'F' department. Following the abolition of this department, staff were redeployed, and responsibility for managing individual projects was reallocated across the new organisational structure according to its geographical divisions and thematic networks. Project management responsibilities are also increasingly being devolved to the Cooperation Offices. Another consequence of the reorganisation has been the separation of the research desk from SDC's internal knowledge management function, which is now under the Knowledge and Learning Processes Division within the Global Cooperation Department. The implications of SDC's reorganisation for research management are discussed in greater depth in section 10.8.

10.2 Portfolio management

135. SDC does not manage its research activities as a single portfolio. This makes it very difficult to direct SDC's research priorities according to strategic decisions. In practice SDC's research activities have evolved over time through largely *ad hoc* processes, and funding decisions made on a case by case basis. While SDC's operational committees are formally responsible for decisions on project funding, continuation and closure, it is clear that individuals wield significant influence, and that decisions sometimes have a political or personal element (see section 8.7).

136. There are some advantages to this approach that allows for considerable flexibility in being able to fund promising research initiatives that arise. Individuals within SDC have significant freedom to engage with particular research initiatives, and their personal interest can be a motivating factor that is very enabling for innovation.

137. However, there is a deep downside to the present management arrangement, which has led to a proliferation of projects, fragmentation of the portfolio and a lack of strategic vision. SDC tends to act in a responsive mode in its research funding reacting to funding opportunities that arise. While this often results in worthy initiatives being funded, there is little sense of SDC acting in a directive and proactive mode, setting the research agenda according to priorities that it establishes according to its overall strategic and developmental goals.

138. One of the main obstacles to more effective and strategic management is the sheer complexity and fragmentation of the research portfolio. With 222 open or recently completed projects recorded on ARAMIS, it is very difficult to oversee effectively all parts of SDC's research funding and to discern its overall direction. The deficiencies in SDC's use of ARAMIS as a management tool highlighted in the portfolio analysis and by the questionnaire survey of SDC staff (see Annex 7, table 26), make this task even more daunting. More active management of the portfolio will depend on having an accurate view of what is being funded, and a management information system that meets the requirements of SDC's research policy.

139. Even if SDC had better knowledge of its research portfolio, there are limited management levers to steer the portfolio according to strategic decisions. Contributions to other organisations must largely accept their objectives and offer little chance for SDC's direct involvement in the selection of topics or delivery of results. Furthermore SDC's decentralised structure, funding recommendations and management responsibilities are scattered across the organisation, and individuals have considerable discretion in setting priorities. There is also a strong sense of inertia in the research portfolio resulting from the tendency to provide follow-on funding for existing research projects rather than to look for new initiatives. While there are many positive aspects to long-term and continuous research funding, SDC is probably excessively conservative in its portfolio management. Of the 20 projects that were included in the document review, 19 represented follow-on funding from earlier phases, and only one was a new initiative.

10.3 Processes for awarding research grants

140. A key finding of this evaluation is that SDC very rarely awards its research contributions and mandates on a competitive basis. For the sample of 22 research projects included in the document review, none appeared to have been procured on the basis of a competitive tender or call for proposals. Direct contracting is the norm for SDC's research funding. The meta-evaluation comes to a similar conclusion: none of the 21 evaluated research projects had been subjected to a tender procedure.

141. SDC staff share this view of the lack of competition in research funding. Their questionnaire responses indicate clearly that staff do not consider that there is "a sufficient level of competition in the selection of research partners for commissioned research." Questionnaire respondents also doubted that "procurement practices for commissioning research are properly adhered to, and are sufficient to generate competition and value for money" (see Annex 7, table 28).

142. A common explanation for the lack of competition in SDC's research procurement is that in the small country context of Switzerland there are few researchers working on each topic, and there are simply not enough research centres to make competition meaningful. However, questionnaire responses from SDC staff indicate that while some agree with this proposition, a slightly larger body of opinion believes that greater competition is possible. There is also a clear desire to open SDC research funding to greater competition including from researchers outside Switzerland. The SDC questionnaire responses indicated very strong agreement with the proposition that

"SDC research funding should be opened up more to research providers outside Switzerland within the EU" (see Annex 7, table 28).

143. In the absence of competitive processes for awarding research grants it is unclear what processes and criteria are used by SDC to select projects for funding. In most cases the project idea and funding proposal appears to originate with the researcher or research organisation, who contacts SDC on a pro-active basis. There is no clear process or point of contact for organisations and individuals to submit research proposals to SDC. One key informant in the Swiss research community explained that it is a matter of using personal connections and networks to locate individuals within SDC who may take an interest in the portfolio and be in a position to fund it. The same informant noted that this is not necessarily an attractive proposition for researchers, and that it is more straightforward and less time consuming to apply to research funders who operate on a more formal basis.

144. In the case of larger research contributions, these are usually awarded on the basis of long-standing relationships with multilateral organisations. The questionnaire responses from SDC again suggest that staff are concerned about such arrangements. The majority of respondents disagreed with the statement that "there are appropriate and known criteria for selecting research contributions."

145. Within the North-South (or West-East) research programmes there is a much stronger competition for funds. Researchers must submit applications through a formal channel and their proposals must pass through a clear selection process.[59] Recipients of such funds in the Swiss research community who responded to the questionnaire tended to consider that they had received their funding on a competitive basis (see Annex 7, table 47).

10.4 Project management practices (including results-based management)

SDC manages research projects according to standard Project Cycle Management practice. The processes that it uses have recently been stated by SDC in its questionnaire response to the federal evaluation of research.[60] This indicates how SDC's project management processes are intended to work in a formal sense, and stress the importance of quality control, monitoring and evaluation and managing for development results.

146. This evaluation has assessed aspects of project management through various methods, including the review of the documentation for 20 SDC funded research projects (see Annex 5). One of the basic problems exposed by this review has been the difficulty of accessing basic project documentation, which is held by individual programme officers, usually in electronic format, but occasionally in hard copy only. To obtain the documentation it is necessary to write to individual programme officers, and sometimes to contact Cooperation Offices. It is clear that the lack of a central electronic repository for key documents is an obstacle to effective project management.

147. The review of project documentation found that the credit agreements (Kreditanträge) and other project documents were usually well prepared, and clearly and concisely drafted to a common format. They all contained an adequate specification of the project activity. Nearly all clearly explained the relevance of the activity to SDC's strategic goals (91% of cases examined), and specified expected results (91% of cases examined).

[59] For NCCR NS SDC is formally represented on the selection panel. For SCOPES and Research Partnerships in developing countries SDC has an advisory role

[60] Ressortforschung: Selbstevaluation der Ämter bezüglich Umsetzung der Qualitätssicherungsrichtlinien und Nutzung der Forschungsergebnisse Synthesebericht des Steuerungsausschusses Bildung, Forschung und Technologie (13. Mai 2009)

148. However, project documentation often does not provide an adequate basis for results-based management. Only 50% of the credit agreements contained a logical framework, and the quality of these was rather mixed.[61] Output indicators were only provided in 52% of cases, and outcome indicators in 30% of cases. Furthermore, there was a good deal of variation in the suitability of these indicators, and the extent to which it would be feasible to measure them in practice. [62] In spite of these deficiencies, there was some evidence that the use of logical frameworks with defined indicators has recently increased.

149. Evidence from the case studies suggests that gender was rarely addressed seriously in the project documentation, in the research or in the reporting of results (see annex 8). However there were exceptions, and there were signs that gender sensitive approaches are forming an important part of some new research projects.

150. The review found that reporting requirements are generally adhered to, at least in the formal sense. For nearly all of the projects examined, activity and financial reports had been provided on at least an annual basis. However, there was no common format for these reports, which are prepared by the implementing partner to varying standards. Although nearly all of the activity reports contained evidence that at least some of the output indicators were being monitored, it was rare to find a systematic review of progress against indicators defined in the credit agreement or logical framework. It was also difficult to discern how SDC had reacted to progress reports and whether management decisions had been taken on the basis of measured results.

151. In general terms SDC appears to have begun to adopt principles of results-based management, but the extent to which these influence research management in practice is still rather limited. Deficiencies in results-based management practices are also highlighted by the questionnaire survey of SDC staff (see Annex 7, table 27). The survey results point to weaknesses in the use of logical frameworks and indicators in project design, and deficiencies in monitoring. The most striking weakness identified by the survey is that SDC managers are not "sufficiently aware of the findings of the monitoring of research activities". Other evaluations and studies have also highlighted shortcomings in results-based management, both in terms of the tools used within SDC, and the staff skills and organisational culture required to support results-based management practices.[63]

10.5 Evaluation practice

152. SDC appears to make frequent use of evaluations. The review of the project documents for the sample of 20 SDC research projects found that almost two-thirds of the projects had been evaluated externally over the past four years, and 42% of the credit proposals included a provision for an external evaluation at the end of the current funding period. It was not clear, however, on which basis SDC decided whether or not there should be an external evaluation. There is evidence that SDC has often reviewed projects on the basis of the findings of evaluations. For 73% of the projects examined in the document survey there was evidence that changes to the project design had been made (usually between funding phases) as a result of previous evaluations.

[61] NCCR projects in South Asia use logframes but have found it difficult to maintain rigid outcome monitoring, a process which evolves differently in the case of research-based activities (see Annex 8)

[62] This finding is in line with a recent review of 16 SDC evaluations, which states on page 14 that "Credit applications do not contain the necessary elements (aims, indicators, processes) that enable results to be verified. Reporting within the annual programme is confusing, and continually mixes process indicators with results (output, outcome)." Peter Arnold, "Learning from Evaluations Recurrent findings and recommendations in SDC evaluations (Unofficial translation of a Report on a meta analysis of evaluations in the Controlling Section, DEZA Lern-Forum Evaluationen 2009)

[63] Peter Arnold, "Learning from Evaluations ...", op cit. page (13)

153. In addition the large programmes, such as the NCCR North-South and SDC-SNSF Research Partnership Programme, provide their own evaluation structures. For the NCCR North-South the SNSF has mandated an international review panel, which externally evaluates the programme every year and provides brief reports. These are the basis for the SNSF Research Council to approve further phases, and for SDC to contribute to these. The SDC-SNSF Research Partnership Programme also has an evaluation mechanism in place as part of the research proposal.

154. In order to assess the quality of SDC evaluations of its research activities the team has undertaken a review of 21 recent research evaluations. The main results are reported in the paragraphs that follow, and more detailed findings can be found in Annex 6.

155. The review shows that SDC has used primarily external evaluations, which tend to be of higher quality methodologically than internal evaluations and to provide a more critical assessment of the project in question. From the sample, it appears that the SDC head office does not conduct any evaluations itself.

156. The evaluations, as a rule, examined what types of research (applied, basic, sectoral, interdisciplinary, transdisciplinary, etc.) SDC had supported through the project/programme, what types of objectives had been pursued, and the types of outputs that had been produced. A majority of external evaluations provided an assessment of the main users of the research output.

157. In many evaluations, the relevance of the research output for SDC is not examined (or is simply taken for granted). Even if the relevance of the research output for SDC seems self evident, it is usually not discussed whether it is relevant for the Cooperation Office, the head office, or both. Some evaluations highlight problems in feeding research knowledge back into SDC.

158. Most of the evaluations reported on project results, particularly at the output level. However, many evaluations did not include a thorough assessment of the extent to which results-based management had been actively used over the course of the project, and whether indicators had been established and monitored.

159. Another striking finding is that more than half of the evaluations did not touch upon the issue of sustainability of the supported organisation.

160. One of the main deficiencies of evaluations is that they generally did not address the question of how effective SDC's management had been towards the project in question. Many remained silent on basic issues of funding and management, such as whether the project was financed through a mandate or a contribution. Practically no evaluation examined whether or not there was competitive bidding for research funding. SDC's performance was compared to other donors in only 10% of the evaluations reviewed.

161. Minority and gender issues were generally poorly covered in the evaluations. Although gender issues were addressed in almost 40 per cent of the evaluations (in contrast to just under 20 per cent for minority issues), in a number cases, they were merely mentioned in a sentence or two.

162. Very few evaluations explicitly addressed the issue of whether the research is in line with the country's priorities (alignment). In many cases, this is simply taken for granted.

163. It is doubtful that SDC uses its research evaluations to gain an understanding of how its research activities are performing across the organisation.[64] Evaluations usually only appear to be used in the context of the specific project in question.

[64] One indicator of this is that SDC does not appear to have an accurate list of research evaluations. Of the 34 evaluations sent to the team for review it was found that only 21 were connected with research

10.6 SDC's working relationships with its research partners

164. The key informant interviews and questionnaire responses indicate that in general terms SDC interacts with its research partners in a correct and businesslike manner. However, there are some clear problems of communication, and the relationship between SDC and the research community in Switzerland has tended to become more distant in recent years. The most common complaint heard during key informant interviews with researchers in Switzerland was that SDC's character has changed from that of an agency with technical expertise (which treated researchers as partners) to an administrator of development cooperation (which treats researchers as contractors). Many researchers stated that there are no longer people in SDC who they can talk to on a substantive level about the issues they work on. There is very little expectation on the part of researchers that SDC will engage with them about their research project beyond communication of an administrative nature. There is even less expectation that SDC will make active use of their research results. Several informants stated that SDC never responds in a substantial way to the progress and activity reports that they are required to submit. Overall the key informant interviews pointed to a common perception amongst Swiss researchers that SDC has lost interest in engaging with the research community, even though funding levels have been maintained.

165. The questionnaire survey asked researchers in Switzerland to rate SDC's performance against other research funders they are familiar with. Against most criteria SDC is viewed as an average, or slightly below average performer. SDC's performance was viewed as being average or slightly above average in the following areas: "providing means to build research capacity", "dealing with research recipients in a timely, predictable and businesslike manner", and "monitoring the progress and results of the research project." SDC's performance was regarded as being below average in relation to: "conducting fair and competitive tendering", "publicising and explaining funding opportunities", "flexibility and openness to funding innovative ideas", and "continuity/ building on past results/ achievements". There were two areas where SDC's performance was viewed as being well below average: "publicising research results" and "making use of research results"

166. SDC has developed a strong partnership with the Swiss National Science Foundation for the delivery of the large North-South and West-East research programmes. SNSF is operationally responsible for the management of these programmes, while SDC provides additional funds for use by research partners in developing and transition countries. This arrangement has generally worked well, and has allowed SDC to draw on SNSF's research management competence, to promote development relevant research, and to focus its resources on research capacity building in the South and East, while at the same time encouraging research in Switzerland based on the partnership model. However, the relationship has not been without difficulties. Research funding bodies tend to place most value on high quality research, whereas development agencies are most interested in the development relevance of the research and its contribution to research capacity building in the south and east. There is a recognition on both sides that trade-offs between these objectives are often encountered, and that these need to be better managed. In particular, the complementary expertise of both institutions should be used in a clearer way. On the part of the SDC this requires the more active provision of expertise and guidance on the development relevance of research, and technical aspects of research capacity building in developing and transition countries. SDC's role on the evaluation panels

167. (and its ability to mobilise external reviewers) [65], in monitoring results, and in broader strategic discussions with SNSF are particularly important in this regard.

10.7 Impact of SDC's reorganisation on research management

168. It is too early to draw firm conclusions on the impact of SDC's reorganisation for research management. The following paragraphs are therefore offered as observations and hypotheses, but their implications for the future of SDC's research activities are very important and warrant discussion.

169. SDC's reorganisation could be beneficial to its research activities in several ways. The drive to bring thematic competences into the geographical divisions could help to strengthen the relevance of SDC's research, and, in particular help stimulate research that is more directly applicable to SDC's operational work. The delegation of resource allocation and management responsibilities to Cooperation Offices may also help to align research activities more closely with the needs of country programmes.[66]

170. Reorganisation also poses some substantial risks. One of the main challenges will be to ensure that the thematic networks are strong enough in terms of their human and financial resources to continue research activities on a meaningful scale. Because the majority of the thematic networks are housed within geographical divisions they will have to make the argument that the funds they request for research is a better use of resources than operational spending in a particular region.[67] While this could be regarded as a valid test, it is easy to see that such arguments will be lost by default given the risks and long time scales associated with research funding, as well as the problems of attributing impact to research. The thematic networks located within the Global Cooperation Department are in a more privileged position because their global mandate is clear and they do not have to compete with geographical spending. However, there are other important networks with a clear global focus, and where SDC has a strong tradition, such as health, that do not enjoy this status.

171. Similar problems are also likely to arise within Cooperation Offices. Where the pressure is to disburse funds, achieve visibility, and demonstrate a rapid impact, it is not clear that research funding will be afforded much priority. Devolution of spending power to Cooperation Offices is also likely to reduce interest in funding research projects with cross-border, regional or global relevance.[68]

10.8 Comparison of SDC's management practices with other research donors

172. A review of other donor experience shows that there is a wide range of bureaucratic models. No single model emerges as best practice. Indeed all agencies appear to be facing choices similar to those facing SDC, and many are either currently reforming their systems for supporting research, or have recently done so.

173. In contrast to practice at SDC, most development agencies do operate specific budgets for research. DFID, for example, has reorganised its management of research so as to

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[65] One obstacle to finding qualified experts to sit on development research peer review panels in Switzerland is the low rate of payment for this activity. There is a different culture of payment between the world of development aid and research. Whereas researchers devote their time to panels and evaluations for almost symbolic sums, the consultants used to working on the development relevant issues are professionals who require a full reimbursement of their costs

[66] However, the case studies described in Annex 8 suggest that the Cooperation Offices are often sceptical of the value of some of the current research supported by SDC's head office

[67] For example, because the focal point for the health thematic network is located within the Eastern and Southern Africa Division any request for a research project on a global health issue would presumably have to compete with funding for development cooperation programmes in East and Southern Africa

[68] The case studies described in Annex 8 also suggest that some country offices have not yet undertaken an analysis of what research they need to implement their country strategy

bring a number of separate research funding mechanisms into a single budget administered by a central research group. However, they continue to exclude some research-like activities from the research budget, most importantly the studies that DFID commissions from researchers or consultants to meet its own internal knowledge needs.

174. While the general practice is to maintain a research budget, there are some exceptions, such as USAID, which no longer has a research budget, and like SDC incorporates research activities and funding into wider programming and budget processes. USAID has a similar instrument to SDC's Research Master Plan, (called the USAID Research Agenda), which sets priorities and is intended to establish research as an integral component of programme budgets.[69]

175. Many other donors have established well defined central structures and processes for establishing research priorities that contrast with the rather devolved and diffuse approach adopted by SDC. For example, USAID's research agenda is developed and approved by the "Agency Research Council". The Council ensures overall compliance through periodic reviews of the Agency's research portfolio. These reviews examine the priorities, results and investments made within each strategic area using external groups as necessary.

176. Other agencies have also convened research advisory and governance groups. The most long-standing has been The Netherlands Development Assistance Research Committee (RAWOO), but this now appears to be defunct. Its principal tasks were to issue recommendations regarding research priorities, to put forward proposals for long-term research programmes, and to foster communication among interested parties including end users of research in the north and south. The committee had 15 council members, of which six were from developing countries. There were also three additional "advisors" representing the three Dutch sponsoring ministries (aid, education and agriculture).

177. One of the main drivers of reform within development agencies has been the pressure to reduce the administrative burden of running research programmes effectively. An extreme response is to set up a separate research funding body outside of the development agency. This approach was followed in Canada with the establishment of International Development Research Centre that is separate from the main international development agency, CIDA. The IDRC is often seen as an example of good practice for research funding, but the experience has shown that the approach does not necessarily cut down on administrative costs. IDRC spends approximately 18% of its total budget on so-called "operational activities" (mainly technical assistance to researchers), and a further 22% on overheads and tightly defined administrative costs.[70]

178. In the recent past Sweden followed a similar model where development research (undertaken by SAREC) was separated from development cooperation (undertaken by SIDA). However, the recent reform has in effect brought SAREC inside SIDA. The focus of research is now decided by a Research Council appointed by the Government, which is advised by a research committee who examine SIDA's project and policy proposals.

179. Another approach to reducing the administrative cost of research management has been to limit the number of projects and to increase the size of each grant. However, there are limitations to this approach because large grants can exceed the capacity of

[69] USAID Research: Policy Framework, Principles and Operational Guidance, 2001, page 16

[70] Cited in the DFID Research For Poverty Reduction: DFID Research Policy Paper, 2002. Page 37. Management costs as a proportion of total expenditure supporting research are difficult to obtain but the Ford Foundation is believed to spend between 7 and 12% on managing its research. In the case of the SDC supported NCCR North-South programme the cost of administration would appear to be at least 6%

recipients to utilise them effectively. Some donors are also concentrating their support to research on fewer countries and on specific themes. The Swedish government, for instance, has prioritised research cooperation with seven countries and in relation to four topics.

180. DFID has developed a research programme consortia model that would appear to be motivated in part by a need to spend more money on research without adding to internal administrative costs. They provide substantial funding for large, inter-disciplinary bodies with enough flexibility to respond to new research priorities and demands as the programme evolves. On the basis of a competitive tendering procedure, consortia are currently awarded £7.5 million (CHF12.5 million) over six years, including an inception phase of up to one year. [71]

181. Development research donors have also struggled with the question of how to ensure the uptake of research findings. In its new research strategy DFID commits itself to "develop systems that allow us to learn from our own research and from other people's". They also commit themselves to playing a role in making sure that the research delivers a development impact rather than assuming researchers will attend to this. DFID requires that at least 10% of its research programme consortia budgets are invested in research communication and encouraging people to use research findings.

[71] At 2.08m CHF per year this is about a quarter of the cost of NCCR North South Taking into account all contributions from SDC, SNSF and the participating institutions, the NCCR North-South has a budget of about 8m CHF per year, of which SDC's contribution is 3.5m CHF per year (2001-2013)

11. Communicating, utilising and learning from research

182. This section assesses the links between research and knowledge management within SDC. It addresses the following questions:

- What is the level of awareness and internalisation of research findings within SDC?
- To what extent does SDC make use of research findings in its operational programmes and policy dialogue?
- To what extent does SDC communicate research results externally?
- What has been the impact of SDC's reorganisation on making use of research findings?
- How does SDC compare with other donors in terms of the links between research and knowledge management?

11.1 Awareness and internalisation of research findings within SDC

183. The questionnaire survey covering SDC staff reveals a rather limited awareness and utilisation of the results of SDC funded research. Half of respondents stated that they were rarely or never made aware of research results. A similar proportion reported that they can access few or no results for SDC funded research work (annex 7 questions 21 and 22).

184. These findings reflect the weakness of SDC's Knowledge Management systems as documented in the recent Knowledge Management evaluation. This concludes that SDC makes rather limited use of the many tools for knowledge management that already exist within SDC (page 16), and that knowledge is transferred mainly through the interaction of individuals (p 31).[72]

11.2 SDC's use of research findings in its operational programmes and policy dialogue

185. As discussed in Section 9.3 SDC's utilisation of the results of research that it funds is rather limited. The questionnaire survey also highlights the very weak connection between SDC's research activities and its operations. The survey shows that over 70% of questionnaire respondents in SDC rarely or only occasionally (about once a year) encounter the results of SDC funded research and make limited or no use of research results (Annex 7, Question 23).

186. Researchers in Switzerland share a similarly negative view about SDC's ability to make use of research results. Few questionnaire respondents answered positively to the question asking them whether they believed that the results of their research projects had been actively used by SDC in operations and/or policy discussions (see Annex 7, table 48). In comparison to the performance of other donors Swiss researchers also gave SDC a particularly low score for 'making use of research results' (see Annex 7, table 49)

187. The meta-evaluation found that some 15% of the evaluations indicated that use was made of the results research in SDC's head office, and 24% by the SDC country offices.

188. The limited utilisation of the results of SDC funded research in its operations is partly explained by the type of research that it funds. As discussed in section 8.5 SDC rarely commissions research that is directly related to its own operational needs.

[72] SDC Evaluation 2009/2: Knowledge Management and Institutional Learning in SDC http://www.sdc.admin.ch/en/Home/Activities/Evaluation/Completed_evaluations/ressources/resource_en_178861.pdf

11.3 Communicating research results externally

189. Under existing arrangements SDC regards the task of communicating research results as being the responsibility of the recipient of the SDC grant. However, for a few mandates it has published research results in the form of an SDC publication.[73] SDC does not have a central searchable data base containing research outputs. Although a search function has recently been added to the Intraweb (June 2008), documents reporting research results are not systematically added to the system.

190. KFPE has played a role in publicising the results of SDC supported research, for example its recent publication of 12 success stories for research partnerships.[74] The same is true of the SNSF in relation to SCOPES.[75]

11.4 Impact of SDC's reorganisation on making use of research findings

191. Many of the effects of SDC's reorganisation discussed earlier in section 10.7 have the potential to strengthen or weaken SDC's use of research results. One of the most important questions concerns the extent to which the thematic networks will be able to draw on research results commissioned by SDC or other funders, and develop connections to the research community, which is an important knowledge repository. The gender network provides an interesting model in this regard having established several resource centres (IHEID , IZFG and IDS Bridge) which provides a direct link to researchers, and ready access to expertise, backstopping and latest research results.

192. One additional issue specific to SDC's research utilisation is the decision made during the reorganisation to locate the research desk and knowledge management within different divisions. It is difficult to see how the present structure will be helpful to ensuring that the findings of SDC funded research are fed into SDC's knowledge management systems.

11.5 How does SDC compare with other donors in terms of the linking research and knowledge management?

193. The evaluation team is not aware of any study that reviews knowledge management systems of research donors. Many donors support research as an international public good and, like SDC, do not necessarily finance research with a view to informing their own staff and operations. However there is a rapidly growing literature on how research can influence the policy process more effectively.[76]

194. In terms of specific initiatives in knowledge management over many years IDRC has invested heavily in a Digital Library that provides the international research community with access to a current and comprehensive collection of research results and documents generated by IDRC-funded projects, IDRC funding recipients, and IDRC staff about a wide range of subjects related to international development.[77]

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[73] See for example « Les effets économiques de l'aide publique au développement en Suisse », SDC 2006. This publication arose from a research mandate awarded IHEID in Geneva http://www.sdc.admin.ch/ressources/resource_fr_168704.pdf

[74] Gemeinsam zum Erfolg , Was Forschungspartnerschaften mit Entwicklungsländern bewirken, KFPE/scnat 2009, http://www.kfpe.ch/key_activities/publications/index.php

[75] Scientific co-operation with Eastern Europe A Swiss contribution to the countries in transition Experiences and results Published jointly by SNSF and SDC, 2005

[76] For instance the Research and Policy in Development (RAPID) programme at ODI works with partners in developing and developed countries at the intersection of research, policy and practice to ensure better outcomes for the poor. http://www.odi.org.uk/programmes/rapid/

[77] https://idl-bnc.idrc.ca/dspace/

195. More recently DFID has contracted out the task of creating a free access on-line database containing information about research programmes supported by DFID. This is known as R4D (Research for Development) and the latest information about research funded by DFID, including news, case studies and details of current and past research in over 20,000 project and document records.[78]

[78] http://www.research4development.info/

12. Synthesis

196. This evaluation has brought together a wide body of evidence on SDC's performance in supporting research for development. The picture is complex: in some ways reassuring and in others disconcerting. There is a sense that SDC has a good record in supporting research, but also a recognition that the present situation is unsatisfactory and that SDC will need to adapt its approach to reflect a changing context. This section attempts to make sense of this complex picture first by providing a core narrative on what is going well and what is not going well, and what needs to change.

197. Overall this evaluation takes a rather positive view of the research activities that SDC has funded in the past. SDC has a proud record of supporting effective and relevant research. While SDC has spent only a modest share of its research funds in Switzerland, it has succeeded in stimulating a vibrant development research community that has demonstrated its ability to undertake high quality and relevant research. Strong capacity and critical mass appears to have been achieved in several areas, including environmental science, agriculture, water and sanitation and health systems, as well as across several social science disciplines. SDC has made a serious investment in building research capacity in developing and transition countries, in particular through promising North-South, West-East research partnership models that appear to be strongly appreciated by all parties. SDC has also helped to develop some commendable models for research programme management, as well as an effective joint funding mechanism with the Swiss National Science Foundation.

In spite of this positive record, there is a strong sense of dissatisfaction with SDC's present approach to funding research. The research community in Switzerland points to a loss of technical competence in SDC and a loss of interest in research as an instrument of development. Within SDC there is increasing questioning of the benefits of funding research, and criticism of a portfolio that has become fragmented, unmanageable, overly affected by personal and political interests, insufficiently exposed to competition and impossible to monitor due to the weakness of information systems. The good intentions of SDC's many excellent research policy statements are let down by weak management practices that prevent research activities being harnessed most effectively in support of SDC's strategic goals. There is a particular disconnect between SDC's investment in research and the use of research findings at the operational level. While there are many individuals in SDC who remain very interested and committed in the subject, there is a sense that research for development has become a rather sideline issue. Research funding, while substantial, is well below the target that was set in 2002 of spending 6% of SDC's budget on R&D. Research management functions appear to be badly under-resourced to the extent that it will be very difficult to improve and demonstrate the performance of SDC's research activities, and to establish their place more firmly within the organisation.

The concerns raised by this evaluation point to the need for a fresh approach. Business as usual is not an option, in particular because the context for SDC's research funding is changing fundamentally. SDC's reorganisation raises serious questions about whether and in what form research will be required in the new structure. Other developments in the domestic political context, such as the closer relationship between SDC and the Federal Ministry of Foreign Affairs and the Swiss Foreign Policy for Science create further pressure for change. Finally, rapid change in the international development and aid context mean SDC will need to embrace new themes and funding modalities.

SDC's ability to embrace these changes will depend on it having a strong research function to scan the horizon for new issues and to determine how the agency should respond.

The major question facing SDC is therefore not whether it needs to change its approach to research, but how it should change its approach. In reshaping future policy and practice there are numerous issues and options to consider. These are discussed in part three of the report.

Part 3 – Looking Forwards

13. Conclusions and Priorities for Change

The following six sub-sections draw together in bullet form the main conclusions of the evaluation, and then set out the evaluators' view of what needs to change. It was stressed by Corporate Controlling Division that the evaluation should not prejudge or pre-empt the decisions that SDC management will take in relation to future research policy. The report therefore does not make firm recommendations on the future policy stance and orientation of the research portfolio, which is essentially a political decision.[79] Its main purpose is to inform this decision making by setting out the evidence base, identifying the strengths and weaknesses of SDC's research activities, and highlighting the factors that will need to change in order to achieve greater effectiveness. The following six subsections thus review the findings from each of the evidence chapters of the report (chapters 7-11), and then states the consultants' judgement on the main policy and management changes that will be required. The Core Learning Partnership will take this as the starting point for the Agreement at Completion Point workshop to be held on 2-3 December, which will develop options and recommendations for consideration by SDC senior management.

Conclusions relating to the conceptual and policy framework

Summary of main findings

SDC policy intentions are generally sound but there are probably too many policy statements with little sense of their relative importance (paragraph 45).

The Research Master Plan provides a coherent statement of priorities, but is too much of an ex post justification of what is already being done rather than a prospective plan of what needs to be achieved (paragraph 46).

SDC's role within the Swiss Foreign Policy for Science is not yet clear (paragraph 44).

There is no common institutional view of what constitutes 'research', its role and importance to SDC (paragraphs 47 and 0). Consequently there is little clarity in the types of the results SDC is seeking from its investment in research.

In addition to the stated objectives, support to research in the past has also been justified in terms of:

- enhancing SDC's credibility in, and ability to contribute to, international negotiations in areas of major concern to Switzerland such as water, climate etc (paragraphs 37 and 0).
- Achieving political objectives within Switzerland in terms of building a local constituency for development, and demonstrating an equitable allocation of resources to research institutions covering different sectoral interests, and regional/language areas in Switzerland (paragraph 90). In the view of the evaluators, SDC has been too attached to this logic in the past.

Practical guidance is lacking on how to implement SDC's research policy and principles (paragraph 45).

SDC lacks a clear conceptual framework linking "support to research" to the strategic goals of SDC (paragraph 47), and explaining how investment in research is expected to lead to

[79] Inception Report, 15th July 2009

development. This does not mean that all supported research must meet the operational needs of SDC's operational programmes, but it does mean that any investment in research should be justified in terms of its contribution to one or more of SDC's strategic goals.

The models of change (or underlying logic) associated with research are specified only in the most rudimentary and often implicit way. There is limited understanding of how research investment operates through various linkages to achieve desired outcomes (paragraphs 48 and 93). In particular SDC needs to explain more clearly:

- what research-related capacity building is meant to achieve and how to achieve it (paragraph 115).
- how research is expected to help SDC operations (paragraph 185).
- what is the logic behind funding multilateral research organisations (including the CGIAR, paragraphs 0 and 128), including a fuller discussion of how SDC can most effectively deliver global public goods benefits through this mode of funding.

Evaluation team judgement on what needs to change:

SDC needs to reach a clearer vision on whether and how to support research. There needs to be a revised policy statement with clear status and applicability across SDC.

In revising its policy SDC needs to take greater account of the changing context for development research.

SDC needs to define different types of research in terms its strategic objectives, and develop more explicit models of change explaining the logic of different types of research and how they contribute to SDC's objectives.

SDC should develop an explicit policy statement explaining how the agency wishes to engage with Swiss research institutions and identifying their respective roles as partners in promoting international development.

SDC needs to assign responsibility for research policy and its implementation to a suitably high level (e.g. appointment of a chief scientist, or chair of an SDC scientific committee).

SDC needs to develop a policy on how to apply the Paris Principles to research policy (i.e. coordination and harmonisation, alignment with national priorities).

The Research Master Plan (Forschungskonzept) needs to become more meaningful as a prospective strategic planning mechanism.

Conclusions for Portfolio Management

Summary of main findings

SDC does not manage its research as a single portfolio (paragraph 135). SDC therefore lacks an overall view of what it is funding (paragraph 138), and the policy levers to steer the portfolio in a particular direction (paragraph 139).

A large proportion (around 50%) of SDC's support to research is not explicitly aimed at meeting SDC's operational requirements, and is largely in the form of contributions to programmes whose objectives and management are outside SDC's direct influence or responsibility (paragraphs 59, 83, 109 and following). However, there has been increasing use of soft earmarking, which provides SDC with a little more influence over the way its contributions are used (paragraph 82).

SDC generally acts in a responsive rather than directive mode in supporting research (paragraph 137). Historically SDC's preference has been for informal resource allocation arrangements and the delegation of responsibility to the individual staff members' interests and enthusiasm. This has resulted in some success at the level of individual investments but insufficient strategic rationality in allocation of resources (paragraph 92).

SDC Research Policies were operationalised only to a limited extent (paragraphs 135and 137). The target of allocating 6% of the SDC budget to support research has not been met (paragraph 55).

The portfolio is overly fragmented with too many individual activities (paragraph 137), and lacks critical mass of effort (paragraph 77). To some extent this reflects the "different logics" of different types of research activities and the need to respond flexibly to country needs (paragraph 136). However, in spite of these benefits the evaluators consider that the level of fragmentation acts as a net harm, making it very difficult for management to take an overall view of what research SDC is funding (paragraph 137).

The portfolio is managed in a incremental way with changes only occurring at the margin through the addition of new projects and closure of old projects (paragraph 139). There is no attempt to review the portfolio in a comprehensive manner.

There are shortcomings in the way that SDC has used the ARAMIS database as an information and portfolio management tool (paragraph 138).A critical deficiency is that ARAMIS entries have not been based on an agreed definition of research, and SDC has not developed codes to describe the various research subtypes (Box 2).

SDC's instruments to support research are not clearly defined in terms of their different logics and models of change (paragraph 64).

The share of SDC's research funding that is spent on research projects based in Switzerland is approximately 25% (paragraph 64). This is lower than many people in SDC thought and is lower than the overall proportion of Swiss official development assistance spent directly on goods and services in Switzerland (50%). The evaluators consider that this share is not excessive, but given SDC's wider goals and commitment to using ODA in developing and southern countries there is no scope to increase it (paragraph 68). Instead SDC should focus on its largely successful model of using its research funds to lever in other sources of research money for Swiss researchers.

SDC's leveraging model has implications for the extent to which SDC can reasonably exert influence over the content, process and output of the research it supports (paragraphs 59 and 88). However, the firm conclusion of the evaluation team is that research expenditure managed under jointly managed North-South programmes have more convincingly demonstrated their results than research contributions and mandates managed solely by SDC.

SDC is not sufficiently active as a research actor at the EU level (paragraph 70).

Contributions to multilateral research organisation are not subject to regular review to determine that they remain the best use of SDC resources. (CGIAR, paragraphs 0, 0 and 128). This applies to decisions both about the optimal multilateral/ bilateral allocation of research spending, and research spending decisions within the multilateral programme.

Evaluation team judgement on what needs to change:

SDC needs to view its research activities more in terms of a portfolio, in order to ensure strategic direction, to maximise the contribution of research to SDC's broader objectives, and to ensure lesson learning and synergies between research activities.

SDC needs to simplify the portfolio by reducing the total number of actions and making greater use of research programmes rather than individual projects.

SDC needs to improve the use of information systems to enable senior management to obtain a strategic view of the research portfolio.

SDC should adopt a more rules based and institutional approach to funding decisions based on transparent criteria and SDC's broader strategic objectives. SDC should reduce the extent to which political and personal decisions influence research funding decisions.

SDC should redefine its research funding instruments more clearly in terms of the different objectives of research policy and the different models of change.

SDC should introduce a budget line (or virtual budget) for research.

SDC should commit itself firmly to an explicit spending target for research.

Focus the portfolio more on areas of Swiss research competence.

Conclusions relating to getting results

Summary of main findings

The evaluation found many SDC supported research projects and programmes that had a high reputation and achieved high level of performance at level of individual projects and in relation to the outputs they intended to deliver (paragraph 119 and section 9). Evidence of results was much less clear at the level of outcomes and impact, and it is impossible to discern the total impact of SDC's research funding (paragraphs 94, 99 and 101).

However, it is less clear what SDC wants by way of results. Around half of SDC research funding portfolio is not designed to produce specific results for SDC (paragraphs 83, 109 and 110).

Processes for periodic monitoring and ex-post evaluation do not generally give sufficient emphasis on reporting of results, particularly at the outcome and impact level (paragraph 158). The evidence from chapters 9 and 10 of this evaluation suggest that neither SDC nor the institutions it supports have adequate systems in place for documenting the results achieved (paragraphs 98 and 102). However there are notable exceptions.

The lack of explicit models of change, or diagnoses of the system in which the research takes place means that it is difficult to identify and take proper account of assumptions, risks and bottlenecks, which may explain cases where expected results are not achieved (paragraphs 101).

Outputs are generally adequately documented in project documents, and there is evidence that outputs are often achieved (paragraph 99 and following).

The relevance of research is generally adequately explained in project documents. But relevance needs to be demonstrated in relation to clearly defined models of change (paragraphs 76 and 157).

Documentation on the uptake of research findings was limited and therefore the evaluation found little evidence one way or the other.

Evaluation team judgement on what needs to change:

Systems for results-based management need strengthening in relation to research, and staff skills developed accordingly.

Monitoring and evaluation procedures should be more effectively linked to the models of change underlying each research activity. This should include tracking the intermediate outputs that are often assumed but not tested (such as tracking the subsequent career paths of people trained under capacity building programmes).

An effort needs to be made to establish impact monitoring for at least a sample of projects, by establishing baselines at the start of projects and monitoring change over the duration and after the closure of the project.

There is a need for a more strategic approach to deciding which research projects should be evaluated. Evaluations need to focus more on the quality of SDC management, and outcome and impact monitoring.

Work with other donors to develop best practice for impact assessment and the implementation of results based management in the research sector.

Conclusions relating to research project and programme management

Main findings

SDC's reorganisation presents important opportunities (paragraph 169) and risks (paragraph 170) in relation to research.

Following the reorganisation SDC the role of thematic focal points (paragraph 170) and country programme staff in relation to initiating, managing and allocation of resources for research (paragraph 171) is still not clear. Furthermore, there is widespread perception that the technical competence of SDC staff to engage with researchers has reduced over past 10 years (paragraph 164). There is some potential to fill this gap by enhancing the role of long-term local technical staff in Cooperation offices.

Capacity to monitor progress is reduced following re-organisation. Part of the difficulty arises from the wide diversity of projects and circumstances in which SDC has little control over the process of implementation. SDC's current use of the ARAMIS database and SAP is not adequate for the purpose of managing research projects (paragraph 138).

The research desk is overstretched, and needs support from a more senior level to drive policy and to manage relationships with the directors of other federal agencies and other donors.

SDC has begun to use the language of results-based management, but is not yet implementing it adequately in the area of research (box 1). Credit applications do not contain the necessary elements (aims, indicators, processes) that enable results to be verified (paragraph 148).

Mechanisms for ensuring gender sensitive approaches to research (topics, staff, disaggregated data etc) are currently weak, but improving (paragraph 149 and 161).

The evaluations of research activities are of variable quality. There is no discernable logic as to which projects are evaluated. Evaluations rarely examined the effectiveness of SDC's management of the projects. Impact and outcomes were evaluated in only a minority of cases (Section 10.5).

There is a lack of competition in SDC's award of research funds, although the North-South programmes do include competitive calls for proposals (paragraph 140).

There is evidence that programmes are more effectively managed by SDC and partners than individual mandates.

Evaluation team judgement on what needs to change:

Information systems must be improved to provide information that SDC research managers need, including locating research project documentation in a single electronic repository.

SDC needs to devote greater resources to research management either through additional staff or (competitively tendered) outsourcing.

The research desk needs greater resources, a clearer cross-cutting mandate and involvement of staff at a more senior level.

As part of the reorganisation process the thematic focal points need to be given a more explicit role in terms of initiating, funding and managing research.

As part of the reorganisation process COOFs need to be given a clear role in terms of initiating, funding and managing research.

Research funding needs to be progressively opened up on a more competitive basis and a more EU-wide basis.

Conclusions relating to knowledge management

Main findings

SDC staff were found to be largely unaware of the results of SDC funded research activities, and little use of the research results was made by SDC (paragraph 185).

The communication of research results to the wider audience is currently the responsibility of the researchers, and SDC has not attempted to add value to this (paragraph 189). There is insufficient engagement between SDC staff and the Swiss research community.

SDC has separated its Knowledge Management function from the research desk. This has made it harder for SDC to capitalise on the results of research supported by SDC and other organisations (paragraph 208).

The ARAMIS database as currently used by SDC does not perform well as a tool for an the Management of Knowledge inside and outside of the organisation (paragraphs 138 and 189).

Evaluation team judgement on what needs to change:

Research results need to be better communicated within and outside SDC.

SDC's thematic networks need to draw more effectively on knowledge held by the research community in Switzerland and elsewhere.

Research outputs need to be more accessible through SDC's knowledge management systems. This requires an improved searchable database providing access to research results and identifying where particular research skills are located.

A change in organisational culture is required to encourage staff to make greater use of research based knowledge in their operational work.

SDC should commission more research on policy and operational questions affecting SDC's own work.

Conclusions relating to the Broader Research System

Main findings

SDC's investment in development research has successfully complemented other sources of research funding, in particular through its participation in North-South (and West-East programmes) (paragraph 88).

However, SDC has done little to encourage private sector research investment, and has not capitalised on private research capacity in Switzerland, particularly in relation to pharmaceuticals (paragraph 96).

The broader research system in which SDC operates is changing rapidly as other federal organisations become involved in supporting research in the South and East. The funding environment is also likely to change as a result of donor commitments to the Paris Declaration on aid effectiveness (paragraph 24).

SDC achieves a high degree of donor harmonisation through support to international research systems, but SDC's ability to promote reform in the international research system is limited (paragraph 127).

SDC has an effective relationship with the SNSF, but the complementary expertise of each organisation could be used in a clearer way. On the part of the SDC this requires the more active provision of expertise and guidance on the development relevance of research, and technical aspects of research capacity building in developing and transition countries.

The KFPE provides an opportunity for the research community in Switzerland to communicate its views to SDC, but this asset would appear to be under utilised by both parties (paragraph 190).

Evaluation team judgement on what needs to change:

SDC needs to work through coordinated partnership mechanisms to harmonise its support to research with other donors. This could include playing a leading role in the International Forum of Research Donors (IFORD) to be held in Switzerland in 2010.

SDC needs to consider how it might work more effectively with the private sector in developing countries in order to stimulate research and innovation.

SDC needs to consider how it can work more strategically with the private sector in Switzerland to stimulate private research on development issues, for example using innovate instruments, such as forward purchase agreements for new vaccines.

SDC needs to invest more in strengthening its relationships with its research co-funders (including more regular high level contact with SNSF, SER), and should more clearly articulate what it expects to contribute to and get out of each partnership.

14. Scenarios

The priorities listed in chapter 13 constitute a long and demanding agenda. In determining a feasible course of action SDC will need to make choices as to how much of this agenda it will seek to cover. Much depends on the view that senior management take on the value of research and the forms of research they wish to support. Depending on the priority that SDC wishes to attach to research there are three basic choices for future research policy. These are described below in the form of three scenarios:

Scenario 1 - Business as usual = less research

The evaluators consider that without policy and management changes SDC's funding for research will dwindle over the next few years because in the new organisational structure there is likely to be less demand from SDC for research (see section 10.7). The most important changes have been the abolition of the thematic department, which had been a major supporter of research, and decentralisation to Cooperation Offices (COOFs). There are greater pressures to deliver results and visibility in the short-term, which may not be compatible with long-term and higher-risk risk research investment. The new thematic networks could become an important actor, but their role in promoting research and their influence over resource allocation has not yet been made sufficiently clear.

Scenario 2 - Greater quality, same quantity of research

Under this scenario SDC would seek to maintain current levels of spending on research activities (around 3% of SDC's total spending), but would make a major effort to improve the quality of research management and the utilisation of research results within SDC. In order to achieve this SDC will need to make substantial progress in implementing most parts of the change agenda detailed in chapter 13, in particular revision of the research policy, clarification of organisational structures to ensure implementation of the policy, institutionalisation of a Managing for Development Results approach, improvement of information systems for oversight and knowledge management and establishment of mechanisms to maximise the utilisation of research results.

Scenario 3 – Greater quantity, greater quality of research

Under this scenario SDC makes research a greater strategic priority and would increase its research funding to 6% of SDC's total spending. This option would require SDC to embrace all areas of the change agenda detailed in chapter 13 and to ensure complete implementation. In particular, it would require an explicit research spending target, a firm commitment to achieve this, greater participation in international research bodies, and stronger organisational arrangements within SDC including a high level advocate or champion of research linked to much strengthened research management functions.

Good arguments can be made in favour of SDC stepping up its engagement in research that relate SDC's particular characteristics as a small- to medium-sized donor seeking to capitalise on its areas of specialisation, Switzerland's comparative advantage in research and innovation, and broader considerations about the importance of knowledge in the development process. However, much will depend on the political appetite for such a role, as well as practical considerations about SDC's readiness to become more engaged in research funding. If there is a desire to move towards scenario 3 in the medium- to long-term it would be advisable to ensure that the goals of scenario 2 have first been achieved.

Recent SDC Evaluations

EVALUATION 2009/5	SDC'S CONTRIBUTION TOWARDS BIODIVERSITY: Impact in the Andean Region
EVALUATION 2009/4	SWITZERLANDS' BILATERAL AND MULTILATERAL COOPERATION: To what extent do operational synergies exist?
EVALUATION 2009/3	TWO RURAL FINANCE AND EMPLOYMENT PROGRAMMES IN INDIA
EVALUATION 2009/2	KNOWLEDGE MANAGEMENT AND INSTITUTIONAL LEARNING IN SDC
EVALUATION 2009/1	EVALUATION OF SDC'S PERFORMANCE IN MAINSTREAMING GENDER EQUALITY
EVALUATION 2008/1	SDC HUMANITARIAN AID IN ANGOLA 1995–2006
EVALUATION 2007/2	DECENTRALISATION IN SDC'S BILATERAL COOPERATION Relevance, Effectiveness, Sustainability and Comparative Advantage
EVALUATION 2007/1	SDC'S PERFORMANCE TOWARDS EMPOWERMENT OF STAKEHOLDERS FROM THE RECIPIENTS' PERSPECTIVE
EVALUATION 2006/1	EVALUACIÓN INDEPENDIENTE DEL PROGRAMA REGIONAL DE AMÉRICA CENTRAL 1999–2005
EVALUATION 2005/3	INDEPENDENT EVALUATION OF THE SDC/seco MEDIUM TERM CONCEPT 2002–2006 IN SERBIA & MONTENEGRO
EVALUATION 2005/2	INDEPENDENT EVALUATION OF SDC NEPAL COUNTRY PROGRAMMES 1993–2004 Building Bridges in Nepal – Dealing with deep divides
EVALUATION 2005/1	AUFGABENTEILUNG ZENTRALE – KOBÜ
EVALUATION 2004/4	SDC'S INTERACTION WITH THE SWISS NGO'S (for internal use only)
EVALUATION 2004/3	QUALITY ASSESSMENT OF SDC'S EXTERNAL EVALUATION REPORTS (not published)
EVALUATION JR 2004/2	SWISS-SOUTH AFRICAN DEVELOPMENT COOPERATION PROGRAMME 2000–2003 Joint Review
EVALUATION 2004/1	SDC'S HUMAN RIGHTS AND RULE OF LAW GUIDANCE DOCUMENTS INFLUENCE, EFFECTIVENESS AND RELEVANCE WITHIN SDC
EVALUATION EE 2003/6	SDC – COUNTER TRAFFICKING PROGRAMME MOLDOVA
EVALUATION EE 2003/5	SDC – HUMANITARIAN AID IN ANGOLA
EVALUATION EE 2003/4	12 JAHRE OSTZUSAMMENARBEIT BAND 1 DIE TRANSITION UND IHR SCHATTEN BAND 2 BILANZ DER ÖFFENTLICHEN SCHWEIZERISCHEN ZUSAMMENARBEIT MIT OSTEUROPA UND DER GUS 1990–2002
EVALUATION 2003/3	PROGRAMME DE LA COOPERATION SUISSE AU NIGER 1997–2002
EVALUATION 2003/2	SDC'S INTERACTION WITH THE UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)
EVALUATION 2003/1	SDC'S BILATERAL ENGAGEMENT IN THE POVERTY REDUCTION STRATEGY PAPER (PRSP) PROCESS
EVALUATION 2002/1	EIN JAHRZEHNT CINFO 1990–2001

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Photograph: John Young

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Agency for Development and Cooperation SDC

Evaluation 2010/1

SDC's Research Related Activities

Annexes

Bern, March 2010

Evaluation of SDC's Research Related Activities

Annexes

9 December 2009

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The Policy Practice

www.thepolicypractice.com

Annex 1 – Terms of Reference

Evaluation of SDC's Research Related Activities

Approach Paper

July 25, 2009

1 Introduction

In October 2008, SDC's Board of Directors mandated SDC's Corporate Controlling Division to commission an evaluation of SDC's research related activities.

The evaluation will focus on four sets of issues:

- **Policy:** Assessment of relevance and adequacy of SDC's strategies and policies, including an assessment of how research and related policies are made and lessons learned.
- **Portfolio:** Assessment of relevance of the strategic orientation and composition of SDC's research.
- **Results:** An assessment of research results against policy objectives in terms of relevance, quality, utilisation and developing country research capacity building.
- **Management:** Assessment of the quality of SDC's management of its research activities including assessment of its decentralised management approach, and its promotion of research partnerships. This will cover the effectiveness of SDC's institutional set-up for achieving the objectives of its research policy and research master plan.

For the purpose of the evaluation, the following three main components of SDC's research portfolio are distinguished:

1. *Contribution to international or multilateral research programs* (CGIAR and the associated research institutions)[1]
2. *Contribution to research partnerships* and *research partnership programs* between Swiss research institutions and partner institutions in developing and transition countries.
3. *Commissioning of research/mandates in thematic areas or related to bilateral, regional or global cooperation*.

2 Contextual Background on SDC's Research activities

Overall, the Swiss Agency for Development and Cooperation (SDC) pursues three principal objectives:

- reduce poverty worldwide,
- guarantee human safety and security, and
- shape globalization in a way that fosters development.

In this context, SDC has been funding development relevant research as well as research capacity building in partner countries since the 1960's.

[1] SDC recognizes the importance of international research programs and its international responsibility to contribute adequate funding. Therefore, the assumption is that SDC's long-term engagement in funding global research programs and networks, in particular the support of international agricultural research, is not questioned. Hence, the evaluation should only consider these programs with regard to building potential synergies with or reducing overlap of other programs financed by SDC

2.1 Legal Mandates, Polices and Strategies

The reference framework for SDC research funding is laid out in

- Legal documents (law, ordinances, federal dispatches)
- SDC Research Policies
- Research Master Plans

Legislation

The **Federal Act on International Development Cooperation and Humanitarian Aid of March 19, 1976** and the related ordinances (SR 94.01, Art. 29) give SDC the mandate to promote science and research in development cooperation and humanitarian aid as a means of helping individuals and countries to overcome hardship and poverty (SR 974.0, Art. 5–6).

Research conducted in relation to Swiss development cooperation with Eastern Europe and the Commonwealth of Independent States (CIS) as well as in relation to Switzerland's contribution to EU enlargement falls within the scope of the **Federal Act of 24 March 2006 on cooperation with Eastern European countries**[2]. SDC is mandated to promote research related activities in the areas of research capacity building and promotion of scientific exchange and cooperation.

Federal Dispatches

The **Federal Council's Dispatch on the Continuation of Technical and Financial Assistance of Development Cooperation 2008**[3] provides the strategic reference framework for cooperation and development for the period of 2008 and 2012. Research is explicitly mentioned in several of SDC's cooperation domains, namely:

- *Support of poverty reduction strategies in priority countries*: «Through its activities SDC creates in the poorest and poor countries the conditions for the enlargement of bilateral relations between its priority country and Switzerland (also in the area of) education and research» (p. 2983).
- *Contribution to shape globalization in a way that fosters development*: «SDC supports technological and research collaboration together with public and private actors and tripartite collaboration between a more advanced developing country, a priority country and SDC» (p. 2991) as a means to contribute to sustainable development.
- *Financial contributions to multilateral organizations*: Contributions to global research funds and networks, in particular CGIAR (Consultative Group for International Agricultural Research), are explicitly mentioned.
- *Collaboration with NGOs, research institutions and public private development partnerships in Switzerland*: The focus is placed on contributions to Swiss research institutions for the promotion of development relevant knowledge and for the support of research partnership programs between Swiss researchers and researchers from the South (i.e. North-South research partnerships).

[2] Federal Dispatches on Cooperation with Eastern Europe and CIS countries: Botschaft über den Beitrag der Schweiz zur Verringerung der wirtschaftlichen und sozialen Ungleichheiten in der erweiterten Europäischen Union vom 15. Dez. 2006 and 06.099, Botschaft über die Weiterführung der Zusammenarbeit mit den Staaten Osteuropas und der GUS vom 15. Dezember 2006 , Federal Act: Official Gazette entry: BBI 2006 3529, in German or French

[3] http://www.admin.ch/ch/d/ff/2008/2959.pdf (the Dispatch is available in German and French)

Although SDC's research activities are not financed under the framework of the **Federal Council's Dispatch on the Promotion of Education, Research and Innovation 2008-2011**[4], it refers to the co-funded research partnership programs[5] of SDC and the SNSF. In addition, the dispatch includes a new initiative concerning bilateral research cooperation beyond OECD countries. This situation creates a potential for building complementarities and synergies with activities carried out by SDC and funded within the framework of Switzerland's aid budget.

SDC Research Policies (1993-2002)

The SDC Research Policy 2002 built on the 1993 SDC Research Policy. It sets the following objectives (the resource allocation refers to the weighting set out in the 1993 policy):

1. Generate development-relevant research findings in order to
   - better address development problems in developing countries (40%) and
   - to improve Swiss development cooperation (10%).
2. Strengthen research capacities in partner countries in the South and East (institutional and individual capacities) (40%).
3. Expand Swiss research competencies in fields important for development through support to Swiss researchers and research institutions (this objective is always linked with objective 1 and/or 2) (10%).

Research Master Plan for the Policy Sector "Development and Cooperation"

In an effort to improve the quality of policy sector research[6] funded by the Swiss Federal Administration, in 1997 the Swiss Federal Council ordered the Federal Offices to elaborate a research master plan for each policy sector and report their policy sector research in the ARAMIS database (www.aramis.admin.ch) of the Federal Administration. SDC has the lead in elaborating the Master Plan for the policy sector "Development and Cooperation".

The Research Master Plan[7] provides key elements of SDC's research activities for the period 2008-2011 including

- the legal framework
- the instruments
- previous priorities and achievements
- thematic priorities
- strategic direction

[4] cf. Federal Council's Dispatch on the Promotion of Education, Research and Innovation for the period 2008-2011 (German or French); http://www.sbf.admin.ch/htm/sbf/bfi_08-11_en.html

[5] Scopes, SDC-SNSF-Research-partnership program with developing and transition countries, NCCR North-South

[6] Policy sector research ("Ressortforschung") is defined as research carried out or financed by the Federal Administration for federal policymaking purposes or for carrying out its mandate. Policy sector research includes:

- research conducted intramurally by the Federal Administration
- commissioned research ("Auftragsforschung"), i.e., mandates awarded by the Federal Administration to third parties,
- research contributions granted to research institutes whose research findings can help the Federal administration carry out its mandate or its tasks.

[7] http://www.deza.admin.ch/ressources/resource_fr_157189.pdf (French version; available also German version)

Based on SDC's long experience in promoting research, along with the conclusions drawn from assessments of research partnerships and international programs, the following strategic principles were put forward for 2008-2011:

- *Focus on specific scientific areas* in which Switzerland has achieved international recognition and which are important for development cooperation: Health research, biotechnology research, sustainable organic farming, mountain region development, and federalism.
- *Long-term focused involvement* to enable research to effectively contribute to development processes.
- *Capacity development***:** Research cooperation is not only designed to produce research findings but also to help strengthen research and science systems.
- *Practical uses for research* in recognition that the key factor determining the relevance of research is whether it can be applied and disseminated on a massive scale (scaling up).
- *Partnership based approaches* shall ensure that research activities match the needs of developing and transition countries.
- *Demand-driven*: Cooperation with institutions in developing and transition countries is promulgated as a means to orient research in line with the needs and priorities of theses countries.
- *Transdisciplinary – actor-driven – systematic* rather than isolated sector-based research.

2.2 Instruments

SDC supports research in the Development and Cooperation policy sector mainly through two instruments:

Commissioned research (research mandates, "Auftragsforschung") aim:

- to develop knowledge in specific areas to contribute towards solving development problems or to improve Swiss development cooperation.
-

Research contributions aim*:*

- to support international research programs that contribute towards solving global challenges and building capacities compatible with SDC's mandate (e.g. CGIAR: food security or WHO: reproductive health).
- to help develop individual research competencies in developing and transition countries.
- to help build and strengthen the research and science system in developing and transition countries.
- Pursuit of the last two bullets often takes the form of support of North-South research partnerships[8]. Although such partnerships produce research results, SDC's support aims mainly to build and strengthen the research capacity in the partner countries in the sense of a 'policy' contribution.

[8] For an overview of these promotion instruments cf. http://www.deza.admin.ch/en/Home/Activities/Process_and_methodic_competencies_research/Research/Promotion_instruments

2.3 Composition of the Portfolio

SDC's research portfolio is a compilation of an estimated 357 projects and programs that have a research component ranging from 5% to 100%.

SDC's research activities in the Development and Cooperation policy sector focus on areas where Switzerland has particular expertise. As outlined in the research master plan 2008-2011 the thematic priority areas are:

- Social development: health, water and social services, education
- Economy and employment
- Agriculture, rural development, and environment
- Global partnership, development and trade
- Governance, rule of law and democracy
- Conflict prevention, transformation, migration
- Gender equality.

In 2007, SDC invested CHF 51 million in research related activities (approx. 5% of SDC's budget). CHF 13.34 million went to commissioned research and CHF 37.70 million to research contributions (including research promotion and institutional and individual capacity building). Of the research contributions, CHF 7 million went to research partnerships between the North and the South or East and CHF 20 million went to agricultural research (most of which went to CGIAR).

SDC has no specific research credit. The 51 Million CHF (2007) refer to the activities that have been identified by the research desk and the program officers as research according to the OECD-Frascati-Manuel and which have been entered into the Aramis Database.

2.4 Institutional Set-up for Managing Research activities at SDC

Reorganisation in 2008

In May 2008 a new director took office. In June 2008 SDC began a major reorganisation process. The first phase which focused on the reorganisation of SDC Headquarters was implemented in Oct. 2008.

A major objective of the reorganisation is to situate thematic competencies and oversight over programs as close as possible to the immediate stakeholders and to those utilising the knowledge[9]. With this objective in mind and to address a perceived shortcoming of the Thematic Department (suboptimal utility of provided services for the cooperation offices), the Thematic Department (consisting of the Thematic Divisions with Thematic Desks which played a major role in SDC's research portfolio landscape) was abolished. Thematic responsibility was delegated to operational divisions in the newly constituted Departments (Global Cooperation, Regional Cooperation, Department for Cooperation with Eastern Europe and CIS Countries). The thematic focal points situated in the operational divisions have a coordination role and act as policy advisor in their respective thematic field.

When the Thematic Department was disbanded, Knowledge Management was restructured and transferred to the Support Department. The Research Desk located in the Thematic

[9] Examples illustrating the implementation of this principle: oversight over the African Development Bank was moved from the Multilateral Department to the West Africa Division. The focal point for health has been moved to the East and South Africa Division (HIV-AIDS prevalence in Africa as the major health issue). Many of the research portfolios were devolved to desks in the operational line

Service Knowledge Management and Research in the Thematic Department from 2001 to 2008, was moved to the Analysis and Policy Section in the Global Cooperation Department in Oct. 2008. In addition to the institutional change, the staff person in charge of the research desk rotated to a new position and a new person was recruited externally in April 2008.

Management of the Research Portfolio

Operational departments are responsible for commissioned research and research contributions specific to their particular field (theme, sector) or programs (country, region). Thus, all research activities with a geographic or thematic focus are awarded and managed by program officers within the operational line.

The SDC's Research Desk is responsible for the elaboration of SDC's Research Policy and the Research Master Plan in collaboration with all concerned units in SDC and with SECO. It is also responsible for maintaining relations with relevant actors in the Swiss "science landscape". Operationally, the Research Desk is mainly in charge of global North-South research partnership programs that do not have a specific thematic or regional focus.

3 Why an Evaluation and Why Now? – Rationale

The evaluation is timely and appropriate for several reasons:

1. *Render accountability and demonstrate results:* In the context of SDC's reorganisation and new management, questions are being raised about the relevance of SDC's research priorities and the effectiveness of its research investment. SDC's research portfolio is significant and constitutes 24% of the Swiss Federal funding for sector policy research. Until now, SDC has not conducted an overarching evaluation of its activities in this sector. It is time to render accountability and draw lessons from the experience until now.

2. Reorientation of SDC's promotion instruments:
SDC is considering (1) reducing the number of research promotion instruments[10], (2) developing a new, more uniform and coherent promotion instrument (e.g., one fund with the SNSF, competitive selection process in Switzerland, focus on institutional capacity building in partner countries). The last phase of the NCCR North-South research partnership program will end in 2012/13. SDC's Thematic Service Knowledge Management and Research created a window of opportunity for a possible re-orientation by also not extending the other remaining important research funding instruments. SDC communicated to the involved research institutions and partner organizations that it would use the time span until 2012 to assess its present portfolio and decide its future orientation.

3. Revision of the SDC Research Policy 2002
The research policies from 1993 and 2002 are partly outdated, as they do not sufficiently address SDC's research activities in light of new international trends and the changing context of Swiss Foreign Science Policy. The research policy of 2002 lacks a critical reflection on some of the types of strongly promoted research support, in particular, the North-South research partnership programs. Also, the research policy of 2002 does not provide consolidated overarching guidelines for research promotion and commissioned research.

4. Elaboration of the next Research Master Plan 2012-2015

10 http://www.deza.admin.ch/en/Home/Activities/Process_and_methodic_competencies_research/Research/Promotion_instruments

SDC, in collaboration with SECO, must elaborate a new research master plan by the end of December 2010. In line with the federal quality assurance guidelines for policy sector research, SDC aims to develop a comprehensive strategic document which serves as an orientation for partners and stakeholders and as an instrument for planning and legitimizing research activities under the policy sector development and cooperation, and also supports the coordination of research activities within SDC and with other federal offices, in particular with the State Secretariat for Education and Research (SER).

5. Alignment of SDC's research activities with new developments

The future priorities for SDC financed research may change in light of SDC's reorganization in 2008, in particular, with the integration of the thematic dimensions in the Regional Cooperation Department and the establishment of three global programs – climate change, food security, and migration – in the Global Cooperation Department.

Some topics earmarked as research for development (R4D) are becoming one-world mainstream science issues, for example, addressing demographic / migration / integration challenges or climate change. The assumption is that global research partnership programs North -South, North-East and North-South-South are a powerful instrument when it comes to tackling complex global real world issues and to developing solutions, which are locally adapted and globally effective. In particular, the question of trilateral research cooperation schemes including upper-middle income countries and least developed country will need to be further explored.

6. Assessment of SDC's decentralized approach

Operational departments are responsible for mandating commissioned research and for research contributions specific to their particular field (theme, sector) or programs (country, region). SDC needs to reflect on strengths and weaknesses of this 'decentralized' approach in particular with regard to the relevance, effectiveness and efficiency of its overall research investments.

7. Input for the next Federal Council's Dispatch on the Promotion of Education, Research and Innovation for 2012-2015 and Positioning of SDC vis-à-vis other Swiss Federal actors.

For the next dispatch it will be necessary to further emphasize complementarities and potential synergies between the research activities under the auspices of the SER and under Swiss Foreign Scientific Policy and the future research promotion activities of SDC within its mandate. SDC will need to reflect on how synergies can be generated between SER's new engagement in international scientific cooperation beyond OECD (e.g., with Brazil, China, South Africa, India) and the research and science activities carried out within the policy sector Development and Cooperation and thus funded by SDC within the framework of the global aid budget.

8. Input for the next Federal Council's Dispatch on the Continuation of Technical and Financial Assistance of Development Cooperation 2013-2016

The strategic orientation and priorities of SDC's research promotion activities will need to be anchored in the next Federal Council's Dispatch.

4 Purpose, Objectives and Focus

4.1 Purpose

The purpose of the evaluation is twofold:

- to render accountability by submitting SDC's research-related activities to independent scrutiny.
- to improve the management, relevance, effectiveness and efficiency of SDC's research portfolio.

4.2 Objectives

The key objectives of the evaluation are the following:

By means of well-documented, robust evidence SDC's Senior Management is informed about

- the relevance and adequacy of SDC's strategies and policies, including an assessment of how research and related policies are made and lessons learned.
- the relevance of the strategic orientation and composition of SDC's research.
- the results (outcomes/effectivenss) of SDC's research investments against policy objectives in terms of relevance, quality, utilisation and developing country research capacity building.
- the quality of SDC's management of its research activities including assessment of its decentralised management approach, and its promotion of research partnerships. This will cover the effectiveness of SDC's institutional set-up for achieving the objectives of its research policy and research master plan.

SDC's Senior Management is aware of

- how SDC could further strengthen the science and research systems in the partner countries (promotion of sustainable and autonomous institutional research capacity as a means to strengthen country ownership).
- how it could optimize the production of good research results as a significant contribution to solving development and global problems and
- how it could make better use of research results at the headquarters, in the coordination offices and in the field.
- the extent to which it has contributed to increasing Swiss research capacity both at the institutional and individual level in the development and cooperation policy sector.

Finally, it is expected that the evaluation team together with the CLP will develop recommendations in the form of clear, targeted and actionable options:

- which can guide the formulation of a strategically oriented research program.
- which can be implemented by the relevant stakeholders, and which have a potential to improve the relevance, efficiency, effectiveness and sustainability of SDC's research activities in line with its mandate and strategic orientation.

4.3 Focus and Scope

The focus of this evaluation is on SDC: its research policy, its implementation, and the management of its research portfolio. This is not an evaluation of SDC's research partners. The effectiveness / impact / sustainability aspects of the SDC financed activities will be addressed through meta-evaluation of evaluations and reviews already conducted in the course of the activities, through an electronic survey of the users of SDC generated research, through case studies and by examining whether SDC has required partners to have credible systems in place to ensure that they are results-oriented and report credibly on achievement of objectives. No joint evaluations with partners will be conducted in the context of this evaluation.

The independent assessment has to take into account all existing relevant work including reviews and evaluations of research promotion instruments (e.g. Tulum evaluation), of commissioned research with a thematic focus and of research within country or regional programs.

The scope of this evaluation encompasses all SDC funded research activities (commissioned research and research contributions) which are referred to in this paper as SDC's research portfolio. Educational programs (including continuing education) supported by SDC at Swiss Universities as well as backstopping activities are not research-related activities and are not within the scope of this evaluation.

The point of departure for assessing the composition of the SDC research portfolio will be the SDC entries in the Aramis Research Database in 2007[11]. If this listing is not a useful starting point, the evaluation team will propose alternatives and establish a reliable overview of SDC's research related portfolio during the inception phase of the evaluation.

Since SDC's reorganisation has taken place very recently (operationalisation of the first phase in Oct. 2008), the evaluation findings will reflect SDC before the reorganisation. The evaluators are, however, asked to reflect on the repercussions of the new organisational set-up (i.e., establishment of thematic focal points, disbandment of the thematic Divisions) and the relationship of the Research Desk to the decentralised entities with research activities in its assessment of SDC's decentralised approach to mandating and monitoring research activities.

The evaluation team will deliver robust findings and conclusions on "what is". The evaluation process will develop lessons learned and recommendations regarding the next steps for improving "what is" and to address the challenges listed under Chap. 3.

[11] 2007 has been chosen because due to the reorganisation process in 2008 the variables for Aramis need to be revised

5 Key questions

The catalogue below is a "wish list" reflecting the information needs for addressing the challenges listed in Chapter 3. This wish-list exceeds the resources of the evaluation. During the inception phase, the evaluation team will assess the feasibility of addressing the questions below, consult with the CLP and SDC management to refine the questions and/or propose new questions, and identify the most promising avenues of inquiry. Based on the evaluation team's inception phase findings, SDC's evaluation officer in consultation with SDC's Senior Management regrouped the extensive questions below under four headings. They have been noted under points A-D at the end of this chapter.

1. Assessment of the Relevance of SDC's Strategies and Policies

1.1 Are the strategic orientation and the objectives of SDC's research activities relevant and appropriate to wider development goals of poverty reduction, human security, and inclusive globalisation in developing countries and transition countries? In assessing the relevance of SDC's research policies (i.e. SDC Research Policies 1993 and 2002, the Research Master Plans for the Policy Sector "Development Cooperation" 2004-2007 and 2008-2011), the evaluation will consider the following aspects:

- the validity of the underlying assumptions behind SDC's thinking on how research contributes to development and change ('theory of change');
- points of comparison and difference between SDC policy and those of other agencies funding development research. How does SDC policy measure against recognised "good practice" taking into consideration the characteristics of SDC (e.g., small donor agency) and of the Swiss research landscape (Swiss strengths in research, etc.);
- the degree of alignment with *Botschaft* (Federal Dispatches) and Strategy 2009-2012 and synergies with the global activities of SDC;
- the coherence of the policies of SDC with the Swiss Foreign Policy for Science.
- complementarity with the policies of other Swiss research funders in areas close to SDC's area of mandate;
- the coherence of SDC research policies with the Paris Principles for aid effectiveness.

1.2 At the overall strategic level, does SDC learn institutionally from its experience with research activities and from internationally recognised "good practice" and feed this learning back into subsequent strategy development and policies? If not, why not?

- assess SDC's monitoring and controlling of the implementation of the policies, including an assessment of feedback loops feeding into the next phase of strategy development.
- assess the utility of strategic guidance for the Research Desk and mandating officers in the operational line.

2. Assessment of Relevance of SDC's Research Portfolio

2.1 To what extent does SDC have an accurate and useful overview of the composition of its research portfolio? (This question is to be answered during the inception phase.)

- Is SDC's data entry into the Aramis Database comprehensive and reliable? Do the entries in the Aramis-Database accurately record all of SDC's research activities? Are the entries in database sufficiently comprehensive to conduct a viable assessment with regard to the further questions in this section?
- Are the data in the SAP and the Aramis-Database adequate for reporting on and for steering research related activities?

2.2 To what extent are SDC's declared policies and strategic objectives reflected in the composition of the research portfolio and is SDC's allocation of resources efficient?[12]
- Are the programs and partners that SDC funds through its research portfolio in line with SDC's international cooperation mandate?
- Does the composition of the portfolio with regard to the number of activities, their size and the allocation of resources for addressing the different objectives (weighting/funding ratios of the different types of activities) reflect SDC's declared strategic priorities? Does it reflect an efficient allocation of resources?
- Does the composition of the portfolio reflect those areas of specialisation where Switzerland has cutting edge research capacity? Does the SDC research portfolio attempt to build on these capacities?
- To what extent is the composition of the portfolio driven by SDC priority setting, demand expressed by institutions receiving the funding, or demand from end users in developing countries and countries in transition?
- To what extent does SDC adhere to the Paris principles for aid effectiveness with regard to its research-related activities?
- What are the implications of the above findings for discussions regarding the future modalities of SDC's research-related activities?

2.3 What mechanisms does SDC use to review its portfolio and ensure consistency with strategic priorities? How well do these mechanisms function?

2.4 Taking into consideration SDC's donor profile and overall budget, how does SDC's funding for research compare to that of other DAC members? What are the implications of such findings for discussions on future levels of SDC research funding?

2.5 In Switzerland is there evidence that SDC funding for research activities leverages additional resources for development oriented research or that it replaces funding from other sources?
- Does SDC adequately coordinate with the activities of other Swiss funding bodies in areas close to SDC's mandate?
- What role does SDC play in shaping the research agenda in the areas close to SDC's mandate?

3. Assessment of the Outcomes ("Return on Investment") of SDC's Research Activities (effectiveness, efficiency, impact, sustainability)

Based on meta-evaluation of evaluations and reviews conducted on SDC financed research activities, an electronic survey of users, and a limited number of case studies of commissioned research and research contributions (see methodology):

3.1 What evidence is there regarding the quality of the research generated by SDC-
- financed activities and how it is regarded internationally within the scientific and
- development community?

3.2 What evidence is there regarding the effectiveness, the impact and the sustainability of SDC funded research contributions?

[12] These declared objectives can be summarised as follows: (1) commissioned research for meeting knowledge needs of SDC development programs, (2) contributions to research programs addressing global challenges, (3) contributions to international research organisations conducting leading-edge development oriented research, (4) contributions aimed at orienting the international research agenda towards the needs of developing countries, (5) contributions aimed at increasing research capacity for meeting country needs in developing countries and in countries in transition and for development oriented research in Switzerland

3.3 What evidence is there regarding the effectiveness, the impact and the sustainability of SDC commissioned research? Impact will be assessed mainly at the level of the application and replication of research results. The evaluation will not attempt to quantify the economic rate of return on SDC investment in research.
- What evidence is there that knowledge generated by research has been utilised in SDC beyond the SDC entity which commissioned the research? [13]
- What evidence is there regarding the utilisation of research results in SDC development programs and in SDC policy formulation?
- What evidence is there that the results of commissioned research are disseminated, utilised and replicated within partner countries, and have a broader impact on policy and technical change?

3.4 What evidence is there that SDC funded research has contributed to sustainable research capacity in developing countries and countries in transition? What lessons can be drawn regarding which approaches work best for increasing such research capacity, for example:
- core funding vs. funding concrete outputs and targets.
- capacity development of individuals vs. institutional capacity development.
- funding South-South Partnerships vs. funding North-South partnerships.

4. Assessment of the Quality of SDC's Management of its Research Activities

Based on meta-evaluation of evaluations and reviews conducted of SDC financed research activities and a limited number of case studies (see methodology):

4.1 How well does SDC manage its research activities? Differentiating according to the various instruments (commissioned research to meet programmatic needs, the various types of research contributions), assess:
- the process for identifying / developing the activity (including extent of results orientation).
- the process for identifying partners and for awarding the activity (including selection criteria, transparency of the process, adherence to Federal procurement regulations, etc.).
- the oversight of activity implementation, including evidence that SDC requires partners to have credible systems in place to ensure that they are results-oriented and report credibly on their effectiveness, impact and sustainability? Does SDC adequately track and take into account such partner reporting, drawing lessons for future activities?
- making use of the results of the activity: by the commissioning SDC entity, by other SDC desks country offices, and more broadly across SDC?
- the mechanisms that are in place (or ought to be in place) to ensure that SDC financed research informs SDC policies and programming?

4.2 Is SDC's approach to developing and managing the portfolio an effective approach for achieving the objectives of its research policies?
- Assess the strengths and weaknesses of, for example
  - the role of the Research Desk and its interaction with the operational line.
  - the roles of the thematic focal points and the geographic departments (i.e., their responsibility for research projects and programs).
- Are the staff resourced dedicated to managing SDC's research related activities adequate?

[13] Answering this question should build on and not replicate SDC's recent evaluation on Knowledge Management and Institutional Learning

SDC's performance is to be measured against

- SDC Project Cycle Management Standards.
- the Procurement Regulations of the Federal Government.
- the Federal Quality Assurance Guidelines for Policy Sector Research.
- the Guidelines for Research Partnerships with Developing Countries of the Commission for Research Partnerships with Developing Countries (KFPE).
- Lessons identified in the KFPE study "Improving Impacts of Research Partnerships" published in 2004.
- Lessons identified in the KFPE manual "Choosing the Right Projects: Designing Selection Processes for North-South Research Partnership Programmes" published in 2005.
- other applicable standards, manuals and guidelines.
- the expert knowledge of the evaluation team.

The key questions set out above were regrouped during the inception phase of the evaluation in the light of discussions with the Corporate Controlling Section, the Core Learning Partnership and SDC's Senior Management. As noted in the Inception Report, the evaluation will address the following issues and questions, organised under four headings:

A) The relevance of SDC's strategies, policies and research portfolio. This will include:
- What are the goals of SDC's research policy (including an analysis of the implied theory of change)?
- Consistency between different objectives of SDC research policy, including consistency with SDC's overall goals, Federal Bills, programmes of other Swiss research funders, Swiss Foreign Policy for Science, international donors.
- How can SDC complement Swiss science more generally and add value to it?
- Composition of the research portfolio (size, subject areas, instruments, institutions).
- Does the portfolio reflect SDC's strategic priorities and Swiss comparative advantage?
- Relevance of the portfolio to SDC, developing country partners, developing countries more generally, and the global community.
- How does SDC's research policy and portfolio compare with other research donors?

B) Evidence of outcomes, including outcomes relating to
- Solving priority development problems in South and East.
- Informing SDC actions.
- Contribution of SDC funded research to global development knowledge.
- Strengthening of autonomous research capacity in the South and East.
- Promotion of development research in Switzerland.

C) SDC's management of research related activities.
- This will include an assessment of how well SDC manages:
  - The selection of research projects and partners
  - Procurement
  - Ongoing monitoring of the portfolio
  - Tracking of results, lesson learning, adjustment of portfolio
  - Use of research results across SDC policy making and programming
- What lessons can be learned about how effectively research is managed within SDC's new organisational structure and processes, including:
  - The functioning of the new networks in relation to the management of research
  - The advantages and disadvantages of a separate 'research' network

D) SDC's use of research outputs for more effective working
- How can SDC arrive at a consensus on the value and purpose of funding research?
- How are research needs identified within SDC and fed into the research portfolio?
- How does SDC learn from the results of research?
- How does SDC use research results in its operational programmes?
- How could SDC use research results more effectively and what lessons can be learned from comparisons with other donors?

When considering evidence of outcomes (under question b above) the evaluation team will be particularly concerned with the utilisation of the results of SDC funded research in influencing policy and technical change.

When considering the management of SDC research (under question c above), the evaluation team will focus mostly on questions relating to procurement practices, monitoring and evaluation and lesson learning rather than other routine administrative procedures.

For further information on the finalised evaluation focus and process see the Inception Report.

6 Expected Results

6.1 At Output Level

By the Evaluation Team:
- Aide Memoires of the Kick-off Meeting of the Inception Phase with the CLP and Briefing of the Interested Parites.
- Inception Report, Debriefing on the Inception Report with the CLP, Aide Memoire of the meeting, finalisation of the Inception Report based on SDC feedback.
- Note to Interested Parties on the finalised evaluation process.
- Aide Memoires of the End of Mission Debriefings with the CLP and the Interested Parties.
- Aide Memoire of the Debriefing with the CLP on the Draft Evaluation Report.
- Facilitation of the Agreement at Completion Point Workshop with the CLP including elaboration of recommendations and lessons learned (in collaboration with the SDC Evaluation Officer).
- A fit to print Final Evaluators' Report in English consisting of
  - Final Evaluation Report not exceeding 40 pages plus annexes and including an executive summary of maximum 4 pages.
  - A short and a long Evaluation Abstract according to DAC-Standards for the DAC DeRec database.

By SDC:
- Review of the findings and conclusions, and participation in the elaboration of recommendations based on the findings and conclusions.
- An Agreement at Completion Point containing the Stand of the Core Learning Partnership and of Senior Management regarding the implementation of the recommendations.
- Lessons drawn by the Core Learning Partnership.
- Dissemination of the evaluation results.

6.2 At Outcome Level

The evaluation is expected to contribute to:

- improving the relevance of SDC's research policies, the strategic orientation and the effectiveness of the research portfolio and
- more effective management of SDC's research portfolio.

7 Partners

7.1 Organisational Set-up and Respective Roles

- A **Core Learning Partnership** (CLP) will be constituted at SDC HQs to accompany the evaluation. The CLP comments on the evaluation design and the key questions in the Kick-off to the Inception Phase. The CLP comments on the Inception Report and on the Draft Evaluation Report. During the Synthesis Workshop, the CLP receives and validates the evaluation findings and conclusions and together with the Evaluation Team elaborates lessons learned and recommendations for SDC which will be noted in an Agreement at Completion Point during the workshop.

- **Interested Parties** outside of SDC in Switzerland (e.g., SER, Steering Committee ERT, KFPE, representatives of Swiss universities and technical schools) will be informed about the evaluation process and results at appropriate intervals. Some of these interested parties will also be informants who will be interviewed by the evaluation team and they will be involved in the evaluation process in that capacity.As this is an evaluation solely of SDC's performance, decisions regarding process, content and follow-up of this evaluation lie exclusively with SDC.

- **Department-level Management** and the **Director General** of SDC are invited to be interviewed by the Evaluation team. They comment on the Agreement at Completion Point. Their standpoint is noted under Senior Management Response in the Agreement at Completion Point. *(process by which the Senior Management Response will be elaborated still to be determined)*

- **Consultants** contracted by SDC's Corporate Controlling Section elaborate an evaluation work plan and an Inception Report including the evaluation methodology with evaluation matrix and carry out the evaluation according to DAC and SEVAL evaluation standards. They will conduct a Kick-off with the CLP and with other Interested Parties as appropriate at the beginning of the inception phase. They will conduct a debriefing for the CLP and other Interested Parties as appropriate on the Inception Report and finalize it in consultation with the SDC Evaluation Officer to reflect the feedback as appropriate. They will conduct a debriefing for the CLP and other Interested Parties as appropriate following their evaluation mission. Following submission of their draft report, they will conduct a debriefing with the CLP and consider the CLP feedback while safeguarding their independence. They will conduct a Synthesis Workshop with the CLP in which they will present their conclusions and together with the CLP elaborate lessons learned and recommendations for SDC in an Agreement at Completion Point The Evaluation Team will have their own recommendations ready to mirror back to SDC and will bring their expert knowledge into the workshop to guide the reflection process of the CLP. The Evaluation Team will deliver an Evaluators' Final Report in publishable quality according to the specifications of the Corporate Controlling Division as well as a long and a short Evaluation Abstract according to DAC standards. The consultants may be asked to debrief Senior Management and the Interested Parties at the end of the evaluation process.

- **Corporate Controlling Division (CC Division)** commissions the independent evaluation, approves the final evaluation design and key questions in consultation with the CLP and the evaluation team, drafts and administers the contracts with the

Evaluation Team, ensures that the evaluators receive appropriate logistical support and access to information and facilitates together with the evaluation team the overall process with respect to i) discussion of evaluation results and the elaboration of the Agreement at Completion Point. It is responsible for the publication and dissemination of the evaluation report.

7.2 Members of the Core Learning Partnership (CLP)

Global Cooperation Department:
Ruth Huber, Deputy Director
Anton Stadler, Head Policy and Analysis Section
Dominique Rychen, Program Officer Research, Policy and Analysis Section
Michel Gressot, Program Officer Research, Policy and Analysis Section
Thomas Walder, Program Officer, Water Initiatives Section
Ueli Mauderli, Program Officer, Global Program Climate Change Section
Carmen Thoenissen, Program Officer, Global Program Food Security Section
Manuel Flury, Head Knowledge Networking Section, Knowledge and Learning Processes Division

Regional Cooperation Department
Jürg Benz, Deputy Head
Philippe Monteil, Program Officer Agriculture, East and South Africa Division
Verena Noser, Program Officer Health, East and South Africa Division
Daniel Masselli, Program Officer, South Asia Division
Markus Bührle, Program Officer, East Asia Division
Annemarie Sancar, Gender Network Focal Point

Department for Eastern Europe and CIS
Ralph Friedländer, Program Officer, West Balkans Division

8 Process

8.1 Approach

The evaluation process will be iterative with periodic engagement of the Core Learning Partners and other Interested Parties and will include the following milestones:

- Kick-off of the Inception Phase with the CLP conducted by the SDC Evaluation Officer and the Evaluation Team to:
  - introduce the Evaluation Team
  - discuss the Draft Approach Paper
  - enable the Evaluation Team to gain a better understanding of SDC's needs and priorities with regard to the evaluation.
- Briefing of Interested Parties (e.g., SER, Steering Committee ERT, KFPE, representatives of Swiss universities and technical schools) conducted by the SDC Evaluation Officer and the Evaluation Team Leader to
  - introduce the Evaluation Team
  - inform them about the evaluation process
  - hear their suggestions and concerns.
- End of Inception Mission Debriefing with the CLP conducted by the SDC Evaluation Officer and the Evaluation Team to
  - receive CLP feedback on the emerging Inception Report
  - reach agreement for finalisation of the evaluation scope, key questions and methodology.
- Briefing of the Interested Parties on the finalised evaluation process (written briefing).

- End of Mission Debriefing of the CLP and the Interested Parties by the Evaluation Team to
  - inform the CLP of emerging findings.
- Debriefing of the CLP by the Evaluation Team on their Draft Evaluation Report
  - forum for the CLP to ask questions of clarification to the evaluation team
  - provide a sounding board for the evaluation team (Any factual errors? Difficulties of comprehension? Opportunity to ask additional questions, etc.) before finalisation of the report.
- Synthesis /Agreement at Completion Point Workshop with the CLP conducted by SDC Evaluation Officer and the Evaluation Team (1,5 day retreat outside Bern) to
  - conduct a process for the CLP together with the Evaluation Team to generate lessons learned and recommendations for SDC and take a stand on the implementation of the recommendations (Agreement at Completion Point ACP).

An innovative feature of this evaluation is that the Core Learning Partnership will be actively involved in generating the lessons learned and the recommendations for SDC. Evaluation research shows that involvement of those responsible for implementation in generating recommendations leads to a higher rate of implementation. In the Synthesis Workshop, the Evaluation Team will present their conclusions and will be responsible for assisting the CLP to identify lessons learned and develop recommendations by facilitating an effective process of consideration of possible actions. The Evaluation Team, assisted by the SDC Evaluation Officer, will be responsible for the process for generating and recording recommendations.

8.2 Methodology

The evaluation will begin with the inception phase culminating in the inception report, during which the evaluators are expected to conduct a preliminary assessment of SDC's research related activities. Inter alia, the inception report is expected to provide clarity with regard to

- the composition of SDC's research portfolio (including categorisation of the types of commissioned research and research contributions) and the appropriate scope for the evaluation.
- identification of the most interesting and relevant avenues for inquiry (focusing of the key questions) and delimitation of a scope commensurate with the resources available for the evaluation.
- the methodology to be applied, data sources.

In light of the limited resources available, it is anticipated that the evaluation methodology will include

- Meta-evaluation of evaluations and reviews conducted in the course of the various research activities during the period 2000-2007,
- Electronic survey of intended users of SDC funded research in Switzerland and in developing countries,
- A representative number of carefully selected case studies of the various types of research activities (commissioned research and research contributions): The case studies for each type of activity will be chosen based on transparent and well-defined criteria and will include a component of random selection (with the targeted group) to ensure that the sample is relevant, representative and unbiased.

This evaluation is expected to complement and to take into consideration the results emerging from the evaluation being conducted by the Federal Steering Committee ERT (Education-Research-Technology) described below.

In view of the preparation of the next research master plas 20012-2015, the Federal Steering Committee ERT (Education-Research-Technology) under the leadership of the State

Secretariat for Education and Research (SER) is carrying out a government-wide internal and external evaluation of the federal policy sector research[14].

This evaluation is assessing the implementation of the federal quality assurance guidelines for policy sector research[15] in the federal offices and the use of research results. It consists of two components: (1) The internal evaluation consists of a self-evaluation by each office of its implementation of the guidelines by means of a questionnaire. SDC must submit the final version of the completed questionnaire by March 31, 2009. (2) The external evaluation is scheduled for the second half of 2009 (possibly hearings with external experts) A synthesis report of the results of the two components will be submitted to the Federal Steering Committee-ERT in November 2009. Based on this document a final report will be elaborated to the attention of the Federal Council.

Concerning aspects related to knowledge management and institutional learning, this evaluation will build on and not duplicate the results of SDC's recently conducted evaluation on knowledge management and institutional learning.

8.3 Main steps

Activity	Date	Actors
Draft Approach Paper for Call for Offers	Mid March 09	SDC Evaluation Officer with inputs from Research Desk
Call for offers launched	March 18, 09	SDC Evaluation Officer
Selection of Evaluators	Mid-April 09	SDC Evaluation Officer
Contracts signed with Evaluators	End-April 09	SDC Evaluation Officer and CC Secretariat
Recruitment of CLP	April 09	SDC Evaluation Officer, with inputs from Research Desk
Logistical and administrative preparations - Documentation compiled (Research Desk and Assistant): - Internal Assessment for BFT Eval completed (Research Desk) - Contact List for Evaluation Team (Research Desk, and CC Secretariat) - Reservations of venues for all meetings and retreats (CC Secretariat)	May 09	Evaluation Team., Corporate Controlling (CC) Secretariat, Secretariat Research Desk, Assistant
Logistics for Evaluation Missions - Interview Appointments - Hotel Reservations - Travel Reservations	May-June 09 Aug-Oct. 09	The Policy Practice, limited supported (information) by the Research Desk and the CC Secretariat. Plane fares to be approved by Bundesreisezentrale
Synthesis Report internal evaluation BFT Evaluation available	Mid-May 09	
Inception Phase	June 16-July 10, 09	
First Evaluation Team Mission for Inception Phase	June 22-26, 09	Evaluation Team Leader, other Team Members as appropriate
Kick-off of Inception Phase with the CLP	Monday, June 22, 09, 15:00-17:30	SDC Evaluation Officer, Evaluation Team Leader, other Team Members as appropriate, CLP

[14] Konzeptpapier Evaluation der Umsetzung der Qualitätssicherungsrichtlinien und Evaluation der Nutzung der Forschungsergebnisse

[15] http://www.ressortforschung.admin.ch/html/dokumentation/publikationen/richtlinien_qs-d.pdf

Activity	Date	Actors
Briefing of Interested Parties	Thurs. June 25, 15:00-17:00	SDC Evaluation Officer, Evaluation, Team Leader, other Team Members as appropriate, Research Desk
End of Inception Mission Debriefing with the CLP	Friday, June 26, 09 10:00-12:30	Evaluation Team , SDC Evaluation Officer, CLP
Briefing Paper for Meeting with Senior Management (proposed final key questions)	Wed. July 1, 09	Evaluation Team to SDC Evaluation Officer
Meeting with SDC Senior Management (DirKo) to discuss final key questions)	Monday, July 6, 09	SDC Evaluation Officer, Head Policy and Analysis Section
Draft Inception Report	Tues., July 7, 09	Evaluation Team to SDC Evaluation Officer
Final Inception Report. Evaluation Process finalized.	Friday, July 10, 2009	Evaluation Team in consultation with SDC Evaluation Officer
Note to Interested Parties on finalized Evaluation Process	Friday, July 10, 2009	Evaluation Team, SDC Evaluation Officer
Discussion Synthesis Report BFT Evaluation	Beginning Aug. 09	
Evaluation Implementation	Aug. 17-Oct. 16, 09	
Second Evaluation Team Mission for implementing the evaluation	Sept. –Oct. 09 Exact dates to be determined in June	
Visioning Workshop with CLP	**Oct. 8, 09 8:30-17:30**	Evaluation Team Leader, other Team Members as appropriate, SDC Evaluation Officer, CLP
End of Mission Debriefing of the CLP	**Oct. 15, 09 9:30-12:30**	Evaluation Team Leader, other Team Members as appropriate, SDC Evaluation Officer, CLP
End of Mission Debriefing of Interested Parties	**Oct. 15, 09 15:00-17:00**	Evaluation Team Leader, other Team Members as appropriate, SDC Evaluation Officer, Research Desk
Draft Final Evaluators' Report	Oct. 30, 09	Evaluation Team delivers to SDC Evaluation Officer
CLP Meeting to give feedback on Draft Evaluators' Report	**Thursday, Nov. 12, 09 9:30-12:30**	Evaluation Team Leader, other Team Members as appropriate, SDC Evaluation Officer, CLP
Final Evaluators' Report	Monday, Nov. 23, 09	Evaluation Team delivers to SDC Evaluation Officer
Agreement at Completion Point / Synthesis Workshop with CLP	**Wed 14:00, Dec. 2 till Thurs. 17:00, Dec. 3, 09, overnight retreat**	Evaluation Team Leader, other Team Members as appropriate, SDC Evaluation Officer, CLP
Senior Management Response	1. Quarter 2010	SDC Evaluation Officer, Evaluation Team Member (G. Williams) SDC Senior Management,
Publication and Dissemination	1. Quarter 2010	SDC Evaluation Officer and CC Secretariat
BFT Evaluation finalised	1. Quarter 2010	

8.4 Evaluation Team

SDC is looking to recruit a team leader who will constitute and subcontract a small evaluation team (2-4 team members including the team leader). The evaluation team is expected to be gender balanced and should, if possible, include experts from developing countries and countries in transition. The evaluation team must be independent of SDC and of the Swiss research landscape. Any connection to either must be transparently indicated. No member of the evaluation may have been implicated in any of the research activities in SDC's research portfolio.

This evaluation will require the services of an evaluation team with the following experience / skills mix:

- Demonstrated evaluation skills
- Extensive knowledge of "best practices" in policy sector research in the area of development cooperation (including the practices of leading agencies in this area)
- Demonstrated experience in mandating and managing commissioned research and research contributions (including research partnerships in the North and the South)
- Expertise in Organisational Development
- English and German (possibly French instead of German)
- Analytical and editing skills, ability to synthesize
- Communication skills
- Ability to conduct a participatory process

Estimated total person-days (for entire team) for this assignment: 150-180

9 Reference Documents

The Research Desk will ensure that all relevant documents which need to made available to the evaluation team will be available in a timely manner. The Desk will assist the Evaluation Team in identifying and accessing SDC's research related activities.

Annex 2 - People Interviewed by the Core Team

Becker	Barbara	Dr., Director	ETH Zürich, SEC Nord-Süd Zentrum
Belser	Eva Maria	Prof. Dr.	Institut für Föderalismus
Benz	Jürg	Deputy Director, Regional Cooperation Department	SDC
Berg	Michael		EAWAG
Besson	Philippe	Senior Advisor Issue Manager, Harmonisation & Alignment	SDC
Bichsel	Anne	Corporate Controlling/ evaluation	SDC
Bolay	Jean Claude	Prof. Dr., Directeur de la Coopération	EPFL, Chair of Economics and Management of Innovation
Breu	Thomas	Dr PhD, Programme Coordinator; Member of CDE's Executive Committee and Coordinator NCCR North-South;	National Centre of Competence in Research NCCR North-South Centre for Development and Environment (CDE)
Brown	Susan	Dr.; Scientific Coordinator	University Bern NCCR Trade Regulation
Brunold	Reto	Head of Parasite Chemotherapy	Swiss Tropical Institute
Carbonnier	Gilles	Professor Development Studies Unit	The Graduate Institute Unit Geneva
Carton	Michel	Prof. Dr. Vice-Directeur	IHEID Graduate Institute of International and Development Studies
Christ	Urs	Dr	Schweizerischer Nationalfonds (SNF)
Dahinden	Martin	Director General SDC	SDC
Dubois	Jean-Bernard	Head, Section Global Programme Climate Change	SDC
Fässler	Martin	Chef Direktionsstab, Vize-Direktor	SDC
Flury	Manuel	Head, Learning and Networking, Directorate of Global Cooperation	SDC
Frieden	Jörg	Director of Global Cooperation	SDC
Friedlander	Ralph	Programme Manager Western Balkans Division Regional Programmes in Culture and Research	SDC
Frossard	Emmanuel	Dr.	Swiss Federal Institute of Technology Zurich
Glättli	Evelyn	Deputy Head, International Relations,	Swiss National Science Foundation
Goetschel	Laurent	Director	Swisspeace
Graf	Christoph	Head of South Asia Division	SDC
Gressot	Michel	Senior Programme officer, Swiss academic research institutions	SDC
Guerrero	Gabriela Tejada	PhD in Political Sciences	Ecole Polytechnique Federale de Lausanne

Hausser	Yves	Prof.	La haute école de paysage, d'ingénierie et d'architecture - Genève
Hayoz	Nicolas	Prof.	University of Fribourg Département des sciences de la société
Herrmann	Doris	Programme Manager ISCB Indo Swiss Collaboration in Biotechnology	Ecole Polytechnique Federale de Lausanne
Huber	Ruth	Deputy Head (Directorate Global Cooperation)	SDC
Hurni	Hans	Director NCCR North-South	National Centre of Competence in Research (NCCR) North-South
Kaufmann	Manfred	ERA Net Coordinator	ETHZ North-South
Kreuzer	Michael	Dr.	Swiss Federal Institute of Technology Zurich Institute of Animal Science Animal Nutrition
Lengeler	Christian	Epidemiologist	Swiss Tropical Institute Public Health & Epidemiology
Loebell	Andreas	Head, Health network	SDC
Lugon-Moulin	Anne	Co-Executive Director	Basel Institute on Governance
Luthi	Christophe	SANDEC, EAWAG	
Lys	Jon-Andri	Dr	Geschäftsführender Sekretär KFPE
Maselli	Daniel	Programme Manager Global Mountain Issues & Multilateral Affairs	SDC South Asia Division
Mauderli	Ueli	Focal Point , Section Global Climate Change	SDC
Messerli	Peter	Senior Research Scientist	Swiss National Center of Competence in Research (NCCR) North-South
Monteil	Philippe	Programme officer, Rural development, member of the Employment and Income network	SDC
Müller-Böker	Ulrike	Prof.	University of Zurich – Irchel Department of Geography
Poelling	Andrea	Head of Resources and Operational Support	Basel Institute on Governance
Rod Wiesner	Danièle	Abteilungsleiterin	Schweizerischer Nationalfonds (SNF) Internationale Zusammenarbeit
Rychen	Dominique Simone	Research Desck, Policy Analysis Division	SDC
Sancar	Annemarie	Focal Point on Gender	SDC
de Savigny	Don	Health Systems & Interventions Unit	Swiss tropical Institute
Schenker	Elizabeth	Research Partnerships for Developing Countries	Swiss National Science Foundation
Schläffli	Kuno		SDC
Schmid	Jacqueline	ex-head of research desk	SDC
Siegfried ,	Gerhard	Head of the Corporate Controlling Section/ Staff of the Directorate	SDC

Stadler	Anton	Head Section Analysis and Policy, (Directorate Global Cooperation)	SDC

Stöckli	Bruno	Dr	Alliance Sud
Tanner	Marcel	Prof. Dr., Director	Schweizerisches Tropeninstitut
Thieme	Susan	Dr	Development Study Group Zurich
Thoennissen	Carmen	Section Global Programme Food Security, Programme Officer (Directorate Global Cooperation) CGIAR	SDC
Valsangiacomo	Claudio	Dr	KFH-DC Coordination Office La Scuola Universitaria Professionale della Svizzera Italiana (SUPSI)
Vokral	Edita	Assistant Director General SDC Head of Regional Cooperation	SDC
von Matt	Hans-Kaspar	Generalsekretariat Stv. Generalsekretär	Konferenz der Fachhochschulen der Schweiz
Wiesmann	Urs	Director NCCR North-South	National Centre of Competence in Research (NCCR) North-South
Wüthrich	Kurt		Bern University of Applied Sciences Head Center for Development and Cooperation CDC Research and Development
Zinsstag	Jakob	Prof.	Schweizerisches Tropeninstitut
Zurbrügg	Christian	Director	SANDEC (EAWAG)

Annex 3 - Key documents referred to in the main report

(documents reviewed in individual work streams are contained within the appropriate annex)

Arnold, Erik and Martin Bell,	Some new ideas about research for development, in Danish Ministry of Foreign Affairs, Partnership at the Leading Edge: A Danish Vision for Knowledge, Research and Development, April 2001. Download from http://www.um.dk/NR/rdonlyres/7CD8C2BC-9E5B-4920-929C-D7AA978FEEB7/0/CMI_New_Ideas_R_for_D.pdf
Arnold, Peter	*"Learning from Evaluations Recurrent findings and recommendations in SDC evaluations (Unofficial translation of a Report on a meta analysis of evaluations in the Controlling Section, DEZA Lern-Forum Evaluationen 2009)*
Bigler, Franz Jan O. Lundström, Ebbie Dengu,.	ICIPE External R&D Review Report 2002–2007 2007 International Centre of Insect Physiology and Ecology, ISBN 92 9064 196 7 Franz Bigler, Agroscope, Switzerland, Jan O. Lundström, Uppsala University, Sweden, Ebbie Dengu, Consultant, Harare, Zimbabwe
CGIAR	Independent Review of the CGIAR System, Synthesis Report Elizabeth McAllister, Chair, November 2008
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Lengeler C	Insecticide treated bednets and curtains for malaria control (Cochrane Review) The Cochrane Library, Issue 3. 1998. Oxford
Leonard, R. Keith	*Improving Project, Program and Policy Performance in Developing Countries through Managing for Development Results* R. Keith Leonard Director Operations Evaluation Division 1 Operations Evaluation Department Presented at the Malaysian Evaluation Society's Third International Evaluation Conference Kuala Lumpur, Malaysia 31 March to 4 April 2008 http://www.adb.org/documents/oed/occasional-papers/improving-project-mfdr.pdf
MacCormack CP, Snow RW, Greenwood BM	Use of insecticide impregnated bed nets in Gambian primary health care: economic aspects. Bulletin of the World Health Organization 57: 209-214; 1989
MacCormack CP, Snow RW, Greenwood BM.	Use of insecticide impregnated bed nets in Gambian primary health care: economic aspects. Bulletin of the World Health Organization 57: 209-214; 1989
World Bank	Capacity Building for Science Technology and Innovation Edited by Alfred Watkins and Michael Ehst, World Bank 2008., Key note address R. A. Mashelkar
ODI	Research Funding Policy and Practice in an International Comparative Perspective: A scoping study commissioned by DFID Central Research Department, Nicola Jones and John Young, Overseas Development Institute, London, June 2007
ODI	Research capacity strengthening in Africa, Trends, gaps and opportunities, A scoping study commissioned by DFID on behalf of IFORD, December 2007, by Nicola Jones, Mark Bailey and Minna Lyytikäinen, ODI London

OECD/DAC	The Challenge of Capacity Development, Working Towards Good Practice, 2006
OECD/DAC	Chair's summary High Level meeting of the DAC on Aid Effectiveness in Accra in September 2008. http://www.oecd.org/dataoecd/19/39/42111907.pdf
Rychen, Dominique Simone	Forschungsinvestitionen der DEZA: ein Überblick, Zusammengestellt durch Sektion Analyse + Politik , Arbeitsdokument: Juni 2009 Kontakt: (RDS) Version 18.06.2009/DEZA/RDS/UTA
SDC	Evaluation of SDC's Research Related Activities: Final Approach Paper Final version dated July 23, 2009
SDC	The Research Master Plans for 2004-7 and 2008-11
SDC	*Research Policy of the Swiss Agency for Development and Cooperation (SDC) 1993*
SDC	*Forschungskonzept, Plan directeur de recherche), 2004-2007, and 2008-2011*
SDC together with the Swiss Academy for Natural Sciences,	*Swiss Strategy for the Promotion of Research in Developing Countries (Schweizer Strategie zur Förderung der Forschung in Entwicklungländern). 1993; 1997*
Stadler, Toni	From Research to Implementation, speech to the ETH North-South Forum, may 5th 2009: page 4
Swiss Commission for Research Partnership with Developing Countries KFPE	*Guidelines for Research in Partnership with Developing Countries, 1998.*
Swiss Federal Government	*Federal Act on international development cooperation and humanitarian aid of 19 March 1976 (SR 974.0), and the Federal Act on cooperation with the East of 2006* (SR 974.1)
Swiss Federal Government	The Ordinance on international development cooperation and humanitarian assistance of 12 December 1977 (SR 974.01)
Swiss Federal Government	The Südbotschaft of 12 May 2003 (03.040)
Swiss Federal Government	*Südbotschaft* on Swiss development cooperation dates from 14 March 2008 (08.030).
Swiss Federal Government	*Directives: L'assurance qualité dans les activités de recherche de l'administration fédérale, 2005*
Ito, Takaaki and Takeshi Okuno,	Development of 'Olyset net' as a Tool for Malaria Control, translated from Sumitomo Kagaku, volume 2006-II
The Policy Practice	Evaluation of SDC's Research Related Activities:Final version 15 July 2009
Wiesmann, Urs and others	Enhancing Transdisciplinary Research: A Synthesis in Fifteen Propositions, Centre for Development and Environment (CDE), Institute of Geography, University of Berne, Berne, Switzerland, 2008
World Bank	Enhancing Agricultural Innovation: How to Go Beyond the Strengthening of Research Systems. The World Bank 2006

Annex 4 - Portfolio analysis

1) Introduction

This annex presents an analysis of the portfolio of SDC funded research activities based on the entries contained in the ARAMIS database. It mainly reflects the consultants' own analysis of the ARAMIS dataset, but also draws on an earlier overview document prepared by SDC.[1]

The purpose of this analysis is 'to hold up a mirror to SDC' to provide a clear overview of the types of research activities that are being supported. The evaluation team has found that SDC has incomplete knowledge about the size and nature of the research activities that are being supported. Because there is no defined research portfolio or budget, any activity funded by SDC may or may not include an element of research. SDC records those projects and programmes that are known to include an element of research in the ARAMIS database, which covers all federal departments funding research. However, coding deficiencies and inaccuracies in SDC's entries to the ARAMIS database make it difficult to provide an accurate overview of SDC's research investments, and the relative importance of different instruments, countries and sectors.

The following analysis attempts to answer three questions:

1) Who are the recipients of SDC research funding, and where are they located? (section 2)
2) What types of research activity are funded by SDC, and what instruments are used? (section 3)
3) How are SDC's research investments allocated between different subjects and sectors? (section 4)

In order to address these questions it has been necessary for the consultants to add additional codes to the ARAMIS dataset to describe more accurately and meaningfully the type of recipient and research instrument. Coding judgements were made on the basis of a reading of the project texts and contract details contained on ARAMIS, more detailed project documentation obtained from SDC (as part of the document review and case study work), and internet based research.

2) Recipients of SDC research funding

Table 1 presents a breakdown of the main types of recipient of SDC funding. This is based on the following categories:

- **Multilateral Organisations** refers to organisations defined as 'multilateral' in section of the South Dispatch (i.e. UN system, Bretton Woods Institutions, Regional Development Banks, OECD, EU, CGIAR, GFATM etc).[2] In practice the vast majority of ARAMIS entries under this category are for the Consultative Group for International Agricultural Research (CGIAR).
- **Other organisations with international membership** refers to organisations whose members are drawn from several countries, but are not considered by SDC to be multilateral organisations (for example global networks, or large international NGOs). Most of the entries in ARAMIS under this category are for regionally based organisations based in the South and East.

[1] Forschungsinvestitionen der DEZA:ein Überblick, Working Paper, Policy and Analysis Section, June 2009
[2] Botschaft über die Weiterführung der technischen Zusammenarbeit und der Finanzhilfe zugunsten von Entwicklungsländern, vom 14. März 2008, see pages 2992-2996 for an explanation of how SDC defines 'multilateral support'

- **Nationally based organisations** are organisations carrying out research work that are clearly identified with a particular country (even though they usually undertake research projects internationally), for example universities, research institutes and NGOs with a clear national base. This category has been subdivided into Swiss based institutions, other European and North American organisations, and organisations based in developing and transition countries.
- **North-South programmes** refers to a number of research partnership programmes linking researchers in Switzerland and in developing or transition countries. The usual principle (although not in all cases) is that SDC funds the costs of the research partner in the developing or transition countries, while researchers in Switzerland obtain funding from their own University of the Swiss National Science Foundation. The following programmes fall in the category of North-South programmes: NCCR North-South, SDC-SNF Research Partnerships with Developing Countries, ETHZ North-South Centre, Fonds de coopération scientifique EPFL-DDC, Support to the Research Partnerships of the Swiss Universities of Applied Sciences, SCOPES Scientific Co-operation between Eastern Europe and Switzerland, ESTROM Romania, Jeunes chercheurs, Echanges universitaires.

Table 1 – Recipients of SDC research funding 2007-2008

	number of projects receiving funds in 2008	Payments in 2007 CHF '000s	Payments in 2008 CHF '000s	% of total (2007 and 2008 combined)
Multilateral organisations	29	15,385	11,990	32.2%
- of which CGIAR centres	*24*	*15,044*	*11,286*	*31.0%*
Other organisations with international membership	30	5,918	6,458	14.6%
- of which regionally based organisations (mainly southern)	*22*	*5,136*	*5,725*	*12.8%*
Nationally based organisations	86	14,210	17,836	37.7%
- Swiss based organisations	*56*	*7,632*	*11,229*	*22.2%*
- other European or North American organisations	*8*	*1,642*	*1,178*	*3.3%*
- organisations based in developing or transition countries	*22*	*4,936*	*5,429*	*12.2%*
North-South programmes	14	6,716	6,473	15.5%
Total	159	42,231	42,758	100%

Table 1 indicates that SDC spends CHF 42-43 million each year on research activities, equivalent to around 2% of total Swiss ODA, or 3% of ODA spent by SDC. These figures are somewhat lower than SDC's own statements of its research spending, which suggest expenditure of CHF 51 million in 2007 (CHF 48.9 million in 2008). This is based on official guidelines set by the Federal Office of Statistics (and reportedly in conformity with OECD standards) that research mandates should be counted as 100% research regardless of the estimate of research content recorded on ARAMIS. The evaluation team accepts that this is the official practice for reporting purposes, but finds that the figures generated this way give a distorted view of SDC's research expenditure that grossly exaggerate the importance of numerous mandates which have a low research content. Hence, the figures presented in this evaluation will be based on the estimated research content as recorded on ARAMIS for both mandates and contributions.

The data presented in table 1 lead to a number of important observations:

Multilateral research funding (as recorded on ARAMIS) is overwhelmingly directed at the Consultative Group for International Agricultural Research (CGIAR). In 2008 there were 24 active CGIAR projects.[3] This includes core funding to the CGIAR system and institutional funding to CGIAR research centres for a sum of CHF 12 million per year; and allocations to specific projects managed by the CGIAR centres. Outside of the CGIAR there are a few multilateral research contributions recorded on ARAMIS, mainly directed at the World Bank and OECD Development Centre.

It is important to note that SDC is certainly funding more multilateral research activities than are recorded on ARAMIS. Most of the large multilateral organisations operate research programmes, and Swiss contributions to these organisations will automatically finance such research. However, it is impossible to establish the extent to which these core contributions are used for research, and for this reason such contributions are not reported on ARAMIS. The ARAMIS data therefore gives a rather distorted impression that within its multilateral contributions SDC is only supporting CGIAR research. This is not the case, but it remains an established fact that CGIAR contributions are sizeable, and that the CGIAR is the by far the largest recipient of SDC research funds.[4]

Funding of research activities carried out by organisations in Switzerland makes up around a quarter of SDC's research spending. This analysis has established that in 2007 and 2008 the proportion of SDC research spending directly allocated to organisations in Switzerland was 22.2%. In addition, organisations in Switzerland will also receive a modest benefit from SDC's funding of North-South programmes. However, the general rule is that SDC's contribution to North-South programmes can only be used to fund the Southern partner. While there are a few exceptions, it is safe to assume that not more than 20% of SDC's total contribution to North-South programmes enters the accounts of research organisations in Switzerland.[5] Hence, the share of SDC's research funding that is spent on organisations in Switzerland should not exceed 25%.

The following table shows a breakdown of organisations in Switzerland receiving SDC research funds. It excludes above mentioned contributions to North-South programmes. The largest individual beneficiaries in 2007 and 2008 were EPFL, University of Fribourg, University of Bern, ETHZ and Intercooperation.

[3] For the purpose of this analysis we define 'active projects' to mean projects that received a payment in a particular year.

[4] It is important to note that SDC is certainly funding more multilateral research activities than are recorded on the ARAMIS database. Most of the large multilateral organisations operate research programmes, and Swiss contributions to these organisations will automatically finance such research. However, it is impossible to establish the extent to which these core contributions are used for research, and for this reason such contributions are not reported on ARAMIS. The ARAMIS data therefore gives a rather distorted impression that SDC is only supporting CGIAR research and not other research programmes undertaken by multilateral organisations. This is not the case, but it remains an established fact that CGIAR contributions are sizeable, and that the CGIAR is the by far the largest recipient of SDC research funds

[5] For example, training courses run by Swiss universities in developing or transition countries would be covered under the Southern (SDC funded) part of the North-South budget. Similarly, research students from the South spending time at Swiss universities would also bring Southern funds with them to cover their costs. In addition, it is possible that as much as 50% of SDC's contribution to the EPFL Fonds, the ETHZ North-South Centre and the Support to the Research Partnerships of the Swiss Universities of Applied Sciences may end up supporting Swiss institutions.

Table 2 – Recipients of SDC research funds in Switzerland

Recipient	% of SDC research spending in Switzerland (2007 and 2008)	% of total SDC research spending in and outside Switzerland (2007 and 2008)
Cantonal Universities	**26.5%**	**5.9%**
- University of Fribourg	14.9%	3.3%
- University of Bern	11.6%	2.6%
Federal Universities	**30.0%**	**6.7%**
- ETHZ (Zürich)	9.7%	2.2%
- EPFL (Lausanne)	20.3%	4.5%
IHEID (Geneva)	**5.0%**	**1.1%**
STI (Basel)	**0.6%**	**0.1%**
Universities of Applied Sciences	**0.2%**	**0.0%**
NGOs and foundations	**36.1%**	**8.0%**
- Intercooperation	8.6%	1.9%
- Helvetas	4.8%	1.1%
Private companies	**1.6%**	**0.4%**
Total	**100%**	**22.2%**

It is important to note that Swiss based research institutions usually receive other SDC funding in addition to research funds recorded on ARAMIS. In most cases these other sources of SDC funds are more important than SDC research funds. Analysis of payments as recorded on the SAP system for the 6 main university recipients listed in table 2 (Universities of Fribourg and Bern, ETHZ, EPFL, IHEID and STI) showed that for the years 2007 and 2008 SDC research funds (as recorded on ARAMIS) made up only 26% of total SDC transfers to these institutions. The bulk of SDC funding was for the implementation of development projects, which were not considered to include a research element, and to a lesser extent for the execution of SDC backstopping mandates.

The finding that a quarter of SDC's research spending is directed at organisations in Switzerland will no doubt provoke much debate as to what is an appropriate level of support. There is an understandable concern that SDC should not be using its funds, classified as Official Development Assistance (ODA), to support Swiss organisations. However, this analysis has shown that SDC's spending on research activities in Switzerland is rather limited, around CHF 10 million per year, or 0.5% of ODA. The remaining three quarters of SDC's research resources are spent outside Switzerland. Moreover, the majority of development research work undertaken in Switzerland is not funded by SDC, but through other sources including universities and the Swiss National Science Foundation.

There is some evidence that SDC's spending on research appears to be somewhat less Switzerland-based than Swiss ODA as a whole. A researcher on the IHEID /IRENE Economic Effects of Aid Study indicated that as much as 50% of Swiss ODA is spent directly on goods and services in Switzerland.[6]

[6] Currently unavailable on SDC website, but see http://www2.unine.ch/webdav/site/irene/shared/documents/cahier0004.pdf

The figures reported in table 1 indicate that the majority of SDC's research spending is directed at the South and East. In addition to the12.2% of research funding spent on nationally based research organisations in the South and East, SDC is also providing substantial support to CGIAR centres (mainly Southern based), regional research organisations (mainly Southern and Eastern based), and North-South programmes where SDC's resources are directed at the Southern and Eastern research partner. Taking these programmes together SDC appears to be spending around two-thirds of its research resources in the South and East.

It is notable that there is **little funding of European research centres outside of Switzerland.** Funding of EU and North American research centres amounts to only 3.3% of SDC's total research investment research funding, and most of these funds have been awarded to a few UK research institutions. Taking a European perspective of SDC's research funding, there is a clear and heavy preference towards Switzerland. There is, however, clearly an interest within SDC to participate more at the European level, as exemplified in SDC's participation in the two European Research Areas (agriculture and water).

3) Types of research funded by SDC and instruments used

The ARAMIS data provides relatively little information on types of research funded by SDC and the particular instruments it uses. Nearly all of SDC's research activities are classified as "applied research". In terms of instruments, the ARAMIS data distinguishes between 'contributions', which are intended to provide core funding for a particular research institution, and 'mandates' for specified research activities. Table 3 below shows a breakdown of contributions and mandates for the various types of recipients.

Table 3 - Breakdown of contributions and mandates for different types of recipient of SDC research funding

	% of funds to each recipient provided as contributions and mandates during 2007 and 2008	
	% contributions	% mandates
Multilateral organisations	98.4%	1.6%
- of which CGIAR centres	98.4%	1.6%
Other organisations with international membership	78.3%	21.7%
- of which regionally based organisations	80.7%	19.3%
Nationally based organisations		
- Swiss based organisations	56.2%	43.8%
- Other European or North American organisations	100.0%	0.0%
- Organisations based in developing or transition countries	68.6%	31.4%
North-South programmes	99.4%	0.6%
Total	**82.7%**	**17.3%**

In 2007 and 2008 SDC provided more than 80% of its funds for research in the form of contributions. Multilateral organisations receive almost all of their funds in the form of contributions, whereas it is more common for nationally based institutions to receive funding in the form of specific mandates.

Further analysis of project documentation by the evaluation team has shown that there are important differences in the way that research contributions are managed. While some research contributions are core contributions that can be used by the recipient without restriction, others are earmarked in the sense that their credit agreements specify a set of activities for which the funds may be used. SDC refers to the latter practice as 'soft earmarking', because the broad lines of activities are defined in the credit agreement, but management and implementation responsibility may be fully in the hands of the recipient. Research mandates embody a stronger form of earmarking, and where SDC is responsible for project management and monitoring.

In view of these distinctions the evaluation team has reclassified the ARAMIS database entries to provide a more meaningful assessment of the extent to which SDC's research funding is provided as unearmarked contributions or funding linked to specific research activities. Based on the reading of project texts held on the ARAMIS database, it has been possible to divide SDC's research spending into two categories: (1) unearmarked research funding, meaning core funding to research organisations where research activities are not specified, or only described in very general terms, and (2) earmarked and softly earmarked research funding, which includes project or programme funding for a specific set of research activities, against which various reporting and monitoring requirements or mechanisms areput in place.

Table 4 – Numbers of projects defined as unearmarked and earmarked research funding and conformity with the definition of contributions and mandates

	Number of active research projects in 2008		
	Unearmarked research spending 'core contributions'	Earmarked and softly earmarked research spending 'specified research activities'	Total
Contributions	63	50	113
Mandates	6	40	46
Total	69	90	159

Of the 113 research contributions funded in 2008 the evaluation team found that 50 were earmarked or softly earmarked in the sense that their credit agreements closely specified the activities for which the funds should be used. Of the 46 mandates funded in 2008, 6 did not include a specific description of a research activity, and were therefore considered to be unearmarked. **SDC's distinction between contributions and mandates does not adequately capture the different ways in which it manages research spending**. In practice, there is an important additional category of contributions which are provided for specific purposes. SDC recognises this practice, which it has termed "soft earmarking".

Table 5 shows the division of unearmarked and earmarked research spending for 2007 and 2008.

Table 5 – Unearmarked and earmarked research spending by recipient type

	% of funds to each recipient provided as unearmarked and earmarked funding during 2007 and 2008	
	% unearmarked	% earmarked or softly earmarked
Multilateral organisations	79.7%	20.3%
- of which CGIAR centres	79.6%	20.4%
Other organisations with international membership	80.0%	20.0%
- of which regionally based organisations	77.4%	22.6%
Nationally based organisations		
- Swiss based organisations	18.4%	81.6%
- Other European or North American organisations	69.0%	31.0%
- Organisations based in developing or transition countries	42.5%	57.5%
North-South programmes	85.2%	14.8%
Total	**62.1%**	**37.9%**

The table shows that SDC spends 62% of its research funds on unearmarked activities and 38% on earmarked or softly earmarked activities. In terms of numbers of projects the division between unearmarked and earmarked spending is closer to 50:50. While multilateral and other international organisations receive most of their funds as unearmarked core contributions, SDC's funding of nationally based organisations is heavily earmarked.

Having divided the ARAMIS dataset into unearmarked and earmarked research activities the evaluation team undertook a further classification to describe the particular types of research activities that earmarked funds were used for. These are shown in table 6.

Table 6 – Specific types of earmarked research spending

	% of total funding 2007-2008	Active projects in 2008
Unearmarked research spending	62.1%	96
Earmarked or softly earmarked research spending	37.9%	90
- research projects concerned with development cooperation policy	0.8%	8
- research projects concerned with addressing problems of developing and transition countries	16.2%	32
- traditional development projects in the field with a research component	13.5%	31
- projects concerned with building capacity of research institutions in South or East	4.3%	10
- training, studentships, study visits, exchanges	3.2%	9

The main type of earmarked research funding is for research projects concerned with addressing problems of developing and transition countries. This category is defined as projects with a high research content that are focused on a well defined problem directly affecting people in developing and transition countries. The second most frequently encountered category of earmarked funding are traditional development projects in the field that include a research component. For this category the research content of each project is typically less than 30%.

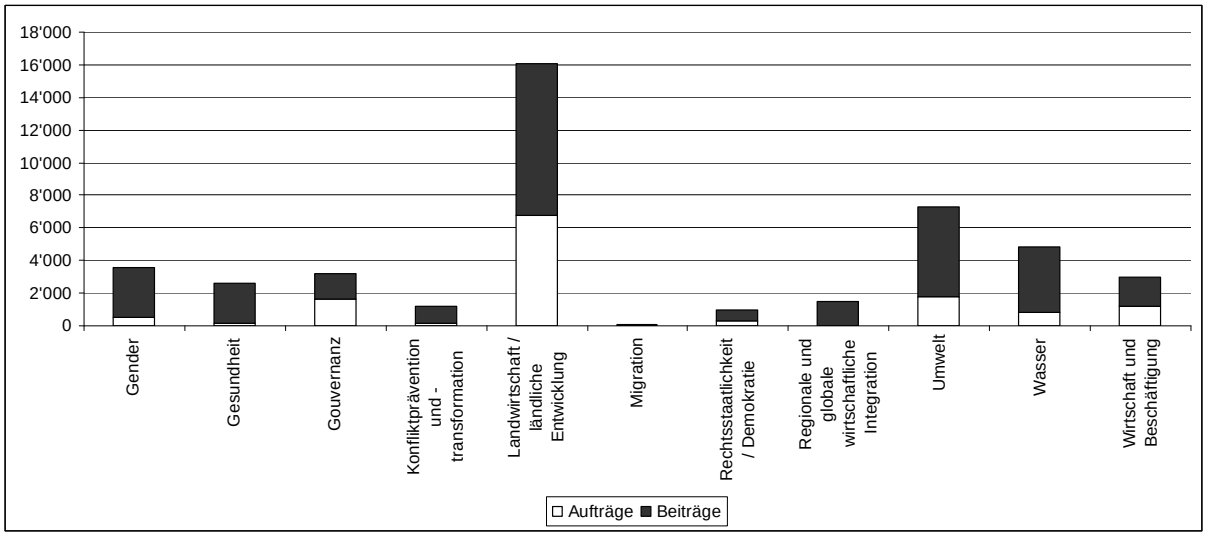
The analysis shows that projects concerned mainly with institutional capacity building make up a small part of the portfolio. However, there are many more projects that contain some element of institutional capacity building among other activities. Among the unearmarked core contributions for multilateral organisations, it can also be assumed that there is significant support for institutional capacity building. It must also be emphasised that the majority of SDC funded research projects appear to include an element of *individual* capacity building, although it has not been possible to measure this.

A striking finding of this analysis is that less than 1% of SDC's research funding is concerned with SDC development cooperation policy. Only eight projects were found to fit into this category, which describes research primarily for use by SDC to enhance its own effectiveness at the policy and operational level. This finding is surprising given the emphasis given to this type of research activity in the 2002 Research Policy paper (referred to as *Ressortforschung*).

4) Research subjects funded by SDC

Figure 1 shows the sectoral and thematic breakdown of the portfolio. This is reproduced from an overview document recently prepared by SDC that includes a more accurate sectoral categorisation than is provided by the ARAMIS database.

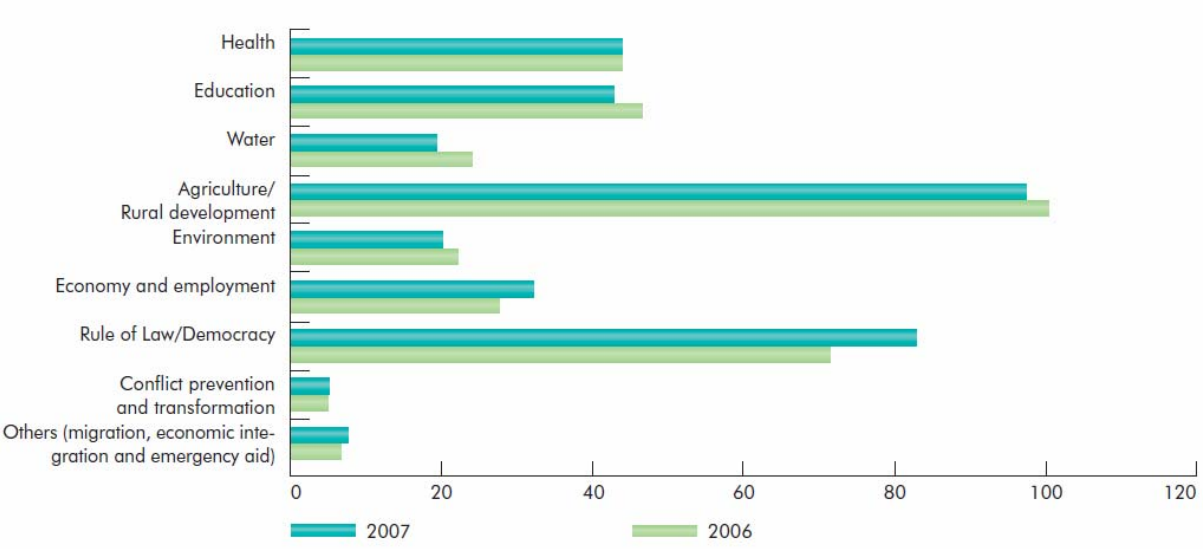
Figure 1 – Sectoral and thematic breakdown of SDC research funding 2007



Agriculture and rural development is the main sectoral focus of SDC's research spending. For the most part this reflects the large multilateral contribution to the CGIAR system.[7] The second and third most important sectors for SDC research funding are environment and water.

The sectoral classification of research shown in figure 1 is similar to the overall thematic allocation of SDC's spending (see figure 2 below). For example, agriculture and rural development is the largest area of SDC bilateral expenditure and also the main focus of research spending (in particular multilateral contributions to the CGIAR). Environment and water are also major priorities for SDC'S overall bilateral spending. However, there are two areas of thematic concentration in SDC's expenditures that receive disproportionately low research spending allocations: education and rule of law/ democracy.

Figure 2 - Bilateral expenditures of SDC development cooperation by themes 2007 (mil. CHF)



Source: Switzerland's International Cooperation – Annual Report 2007

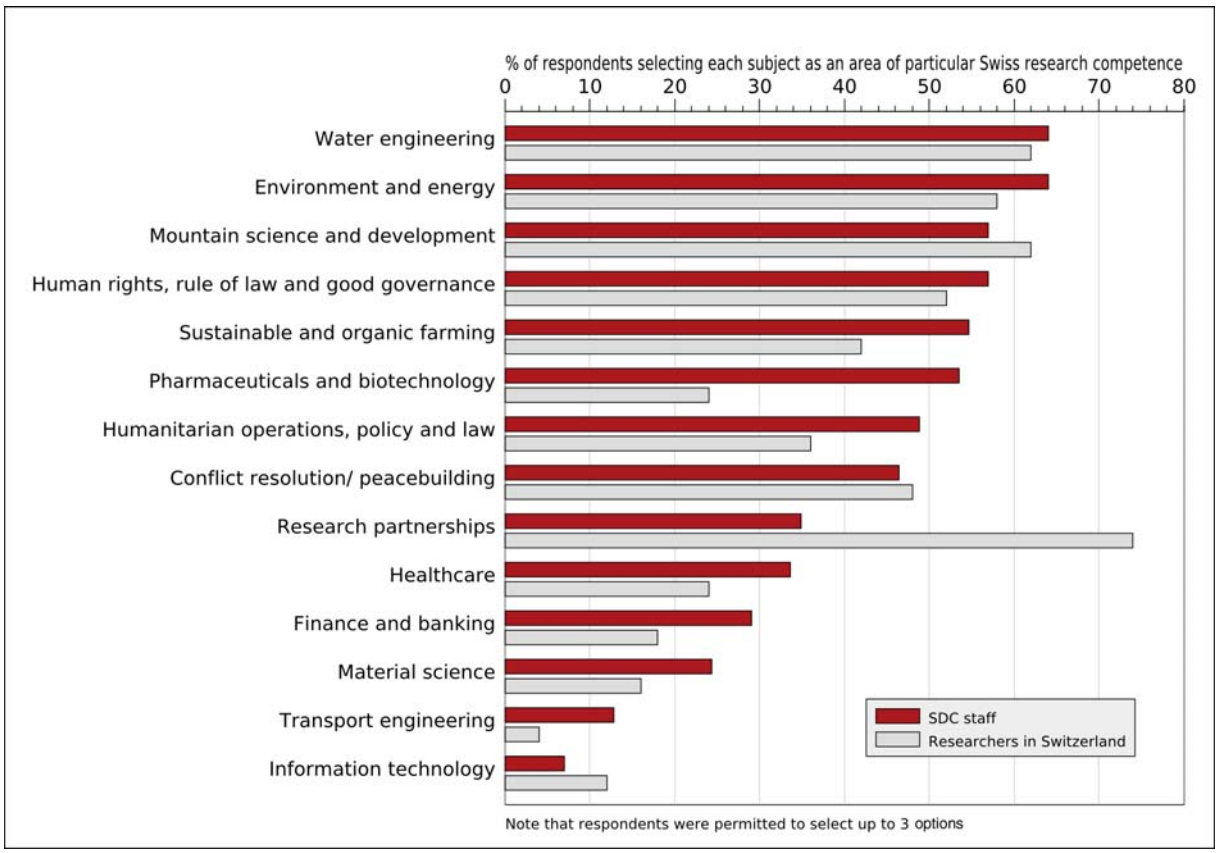
Focus on subject areas of particular Swiss research competence. The questionnaire responses from SDC staff and researchers in Switzerland indicate a high level of consensus on the question of where Switzerland possesses particular research competence. The results are illustrated in figure 3 below.

There is a close correspondence between the perceptions of Swiss research competence shown in figure 3 with the actual breakdown of Swiss research funding shown in figure 1. The questionnaire survey results also indicate that most respondents agree that in broad terms SDC is focussing its research investment on areas of Swiss research competence. The main anomaly appears to be the very strong focus on agriculture and rural development in SDC's funding that does not appear to be reflected to the same extent in SDC and Swiss researchers' perceptions of Swiss research competence. From the perspective of Swiss research competence there are a number of subject areas that appear to be underrepresented in the SDC research portfolio. These include:

[7] The large amount spent on agriculture/rural development is explained by the contributions to CGIAR, which is intended for agricultural research rather than broader rural development

- ***Pharmaceuticals***. Switzerland's strong pharmaceutical industry possesses considerable research capacity, but this is untapped by SDC. SDC does not appear to have substantially engaged with innovative financing instruments to create incentives for research on the private sector on diseases affecting the poor, for example forward purchasing agreements for vaccine development. One exception is the Medicines for Malaria Venture, part funded by SDC.
- ***Mountain science.*** With the exception of SDC's long-term financing of ICIMOD in Nepal, SDC's research portfolio does not reflect the importance attached to mountain science as an area of particular Swiss research competence.
- ***Conflict prevention and peace building***. Although SDC's portfolio includes some small initiatives in this area, this does not reflect Switzerland's long tradition of engagement and research competence in this area. Research on humanitarian operations, policy and law is also underrepresented. One of the reasons for this apparent mismatch is that conflict and security are often considered to be the responsibility of the Federal Department for Foreign Affairs and the Federal Department of Defence. However, it should also be noted that 'promoting human security and reducing security risks' is named as one of the three priorities for development cooperation in the South Dispatch. This does not appear to be well reflected in SDC's research spending priorities.

Figure 3 – Areas of Swiss research competence identified by respondents to the questionnaire survey



Annex 5 – Document review for the 10% ARAMIS sample

Highlights

- The research content estimates recorded on ARAMIS are likely to have been overestimated by around 25% on the basis of the Frascati definition of research.
- SDC does not use competitive tendering to procure research.
- There is a strong tendency for SDC to provide follow-on financing. The turnover of beneficiaries in the portfolio is limited.
- The credit proposals and supporting project documentation provide an adequate description of the project activity and explain their relevance to SDC's mission.
- The credit proposals were variable in quality in terms of their discussion of expected results. Most only included a statement of outputs. Indicators and logframes were often lacking, and the monitoring of progress against expected results was patchy.
- Around 42% of research projects are subject to an external evaluation at completion.

1) Introduction

This annex reports on the results of a detailed assessment of the quality of documentation from a project management perspective for a 10% sample of SDC funded research projects. The purpose is to understand how the different project types have been selected, managed and monitored, and in particular to understand how procurement practices and Results Based Management have been applied.

2) Methodology

The review is based on a randomly chosen stratified sample of 22 projects representing10% of the total projects in the ARAMIS database that are currently active or were active after 1 January 2007. The sample was stratified on the basis of project size, the estimated percentage of project funds spent on research activities and whether the project was a mandate or contribution. The objective was to obtain a representative sample of large and small projects, and to include projects that are near exclusively concerned with research and those projects that have a smaller research content.[1] This approach enables an assessment of whether different types of projects are managed in a different way.

For each selected project SDC was requested to provide the original credit proposal, project document and annexes, examples of periodic progress reports, and any other material relating to monitoring and evaluation.

The project documents were reviewed against a standard template consisting of objective yes/no type questions measuring different aspects of procurement and results based management. For most projects it was possible to arrive at a reasonably accurate judgement against all criteria, but some uncertainties remain (these are indicated in the results matrix by a question mark). In some cases it was not appropriate to judge a project against a particular criteria (these are indicated in the results matrix as n/a).[2] Having completed the scoring, average scores for the sample of 20 projects (or appropriate sub-sample were obtained).

3) Results

The results of the scoring exercise are shown in the matrix overleaf.

[1] Project lists for mandates and contributions were sorted according to project size and research content, and projects were then randomly selected from each of the resulting quartiles to ensure an even representation of each quartile and a two-thirds: one-third ratio between contributions and mandates

[2] For example, a project in its first phase will not have had a preceding evaluation

Matrix of showing the results of the review of the documentation for the ten percent project sample

Each project was scored against the management criteria below. A question mark indicates that could not determine if the criteria had been fulfilled. n/a indicates that it was not appropriate to assess a particular project against a particular criterion.

Project details				Procurement			Quality of credit proposal							Monitoring and reporting				Evaluation			
Project name	total SDC funding CHF thousands)	Research % ARAMIS	Research % evaluator's estimate	Was this activity commissioned on the basis of a competitive tender organised by SDC?	Is this a follow on activity from an earlier phase?	Are funding decisions on individual proposals within the programme selected on a competitive basis against clear criteria	Does the credit proposal provide an adequate description of the activity	Does it explain the relevance of the activity	Does the credit proposal contain a logframe?	Are results defined in the credit proposal?		Are indicators specified in the credit proposal?		Are activity reports provided to SDC on at least an annual basis ?	Is there any evidence of regular monitoring of results indicators?		Does the credit proposal provide evidence that changes to the activity been made as a result of past evaluations?	Has there been an evaluation of the project within the past 4 years		Is an evaluation planned at the end of the period of project funding	
										outputs	outcomes	outputs	outcomes		outputs	outcomes		Internal	External	Internal	External
Core Contributions to ICIPE – 7F – 01336.05	4'800	90	90	✗	✓	n/a	✓	✓	✓	✓	✓	✓	✓	✗	✓	?	✗	✓	✓	✓	✗
SCOPES Joint Research Projects 7F-04057-02	4'662	90	90	✗	✓	✓	✓	✓	✓	✓	?	✓	?	✓	✓	?	✓	✓	✗	✓	✗
International Agricultural Research for Food Security 7F-06286.01	3'750	75	75	✗	✓	n/a	✓	✓	✗	✗	✗	✗	✗	✓	✓	✓	✓	✓	✓	✓	?
Research Fellow Partnership Programme ETHZ Phase 2 7F-02006.01	3'200	50	35	✗	✓	✓	✓	✓	✗	✓	✗	✓	✗	✓	✓	✗	✓	?	✓	?	✗
Regional Centre for Hydrometereology (phase out) 7F-1282-04	2'850	50	10	✗	✓	n/a	✓	✓	✗	✓	✗	✓	✗	✓	✓	✗	✓	✗	✓	✗	✗
Programa de Apoyo al Sector Financiero PROFIN Phase 4 – 7F 0215.04	2'650	40	30	✗	✓	n/a	✓	✓	✓	✓	✓	✓	✓	?	✓	✓	✓	?	✓	✓	✓
Octroi de bourse d'études à l'IUED 2001-4 7F-04165.10	2'460	6	6	✗	✓	✓	✓	✓	✗	✓	✗	✗	✗	✓	✓	✓	✓	✗	✓	✗	✓
EPFL-EIER Phase 12 7F-00752.12	2'360	75	25	✗	✓	n/a	✓	✓	✓	✓	✓	✓	✗	✓	✓	✗	✓	✓	✗	✓	✓
CABI Development Fund – Phase 2 7F-04049-02	2'000	50	50	✗	✓	n/a	✓	✓	✓	✓	✗	✓	✗	✓	✓	✓	✗	✓	✗	✓	✗
Fonds EPFL/DDC 7F-04359.03	2'000	100	90	✗	✓	✓	✓	✓	✗	✓	✓	✗	✗	✓	?	?	✗	✓	✓	✓	✗
Cooperation with IRCC/IFF on the rule of law and decentralisation Phase 6 .... 7F-3893.06	1'800	100	25	✗	✓	n/a	✓	✗	✓	✓	✓	✗	✗	✓	✓	✗	✓	✓	✓	✗	✓
Cuba: Bambou-Biomasa Ph2 7F-04301.02	1'600	20	20	✗	✓	n/a	✓	✓	✓	✓	✓	✓	✓	✓	?	?	✗	?	✓	✓	✓

Project details				**Procurement**			**Quality of credit proposal**							**Monitoring and reporting**				**Evaluation**			
Project name	total SDC funding CHF thousands)	Research % ARAMIS	Research % evaluator's estimate	Was this activity commissioned on the basis of a competitive tender organised by SDC?	Is this a follow on activity from an earlier phase?	Are funding decisions on individual proposals within the programme selected on a competitive basis against clear criteria	Does the credit proposal provide an adequate description of the activity	Does it explain the relevance of the activity	Does the credit proposal contain a logframe?	Are results defined in the credit proposal?		Are indicators specified in the credit proposal?		Are activity reports provided to SDC on at least an annual basis ?	Is there any evidence of regular monitoring of results indicators?		Does the credit proposal provide evidence that changes to the activity been made as a result of past evaluations?	Has there been an evaluation of the project within the past 4 years		Is an evaluation planned at the end of the period of project funding	
										outputs	outcomes	outputs	outcomes		outputs	outcomes		Internal	External	Internal	External
Forschungspartnerschaften der Schweizer FH in Entwicklungs und Transitionsländern 7F-00781.03	1'500	80	80	✗	✓	✓	✓	✓	✗	✓	✓	✗	✗	✓	✓	✗	✓	✗	✓	?	✓
MS Swaminathan Research Foundation - Biodiversity Conservation 7F-03000.03	1'000	20	20	✗	✓	n/a	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✗	✓	✗	✓	✗
CABI IPM Advisory Group 7F-06168.01	990	50	50	✗	✓	n/a	✓	✓	✓	?	?	?	?	✓	✓	✓	✗	✓	✗	✗	✓
Minority Rights and Religious Freedoms IFF/IRCC 7F – 03440.04	972	70	30	✗	✓	n/a	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
International Union Against TB and Lung Disease Phase 5 7F-03969.05	780	20	20	✗	✓	n/a	✓	✓	✗	✓	✓	✓	✓	✓	✓	✓	✓	?	✓	✗	✗
Soutien au Mandat d'Etudes du Pôle Genre et Développement de l'IHEID - 7F-2608.03 Ph 3	500	60	30	✗	✓	n/a	✓	✓	✗	✓	✗	✗	✗	✓	✗	✗	✗	✗	✓	?	✓
Etude sur les effets économiques en Suisse de l'APD 7F-00126.03	155	100	100	✗	✓	n/a	✓	✓	✗	✗	✗	✗	✗	n/a	n/a	n/a	n/a	✗	✗	✗	✗
IZFG - Kompetenzentwicklung Gender and Development – 7F-04097.03	155	100	25	✗	✓	n/a	✓	✓	✗	✓	✗	✗	✗	?	✓	✗	✗	✗	✗	✗	✗
OECD Development Centre – Development Finance Architecture – 7F – 03346.03	100	20	50	✗	✗	n/a	✓	✗	✗	✓	✗	✗	✗	n/a	n/a	n/a	n/a	n/a	n/a	✗	✗
Migrationsstudie Tetova 7F-06089.01	90	100	100	✗	✓	n/a	✓	✓	✗	✓	✗	✗	✗	n/a	n/a	n/a	n/a	✗	✗	✗	✗
% of applicable projects fulfilling each criteria				**0**	**95**	**100**	**100**	**91**	**46**	**91**	**50**	**52**	**30**	**94**	**94**	**53**	**73**	**59**	**62**	**53**	**42**

Key findings

Research content overestimated on ARAMIS. The assessment included a verification of the estimates of the research content of each project. The evaluators' own estimates based on a strict interpretation of the Frascati definition of research was compared with the figure recorded on the ARAMIS database. There were many cases where the ARAMIS database recorded a higher figure than the evaluators' estimate, while very few differences were observed in the other direction. On average the research content of the sample of 22 projects has been overestimated by 25%. If this is representative of all SDC research funding, the total estimate of SDC research spending would need to be adjusted down from CHF 42 million to 33 million per year.

Absence of competitive tendering. It was striking that none of the sampled projects have been procured on the basis of a competitive tender. For contributions and mandates alike, all had been procured on the basis of a negotiated agreement between SDC and research organisation. The sample included 5 contributions to research programmes, which include a competitive call for proposals. Although competition clearly operates within these programmes, the contract between SDC and the programme manager/ service provider was agreed through direct negotiation and not a competitive process.

Follow-on funding is the norm. All but one of the projects in the samples were follow-on projects from an earlier phase. Hence there appears to be a strong tendency for SDC to provide long-term and repeat funding, leading to rather limited turnover of beneficiaries in the portfolio.

The credit proposals and supporting project documentation provide an adequate description of the project activity and explain their relevance to SDC's mission. The credit proposals were found to be written in a clear and concise style, using a standard format, providing an easily accessible statement of the project's objectives, purpose and activities. The relevance of the projects was well explained in 90% of the cases.

The credit proposals were variable in quality in terms of their discussion of expected results. Nearly all credit proposals clearly stated results at an output level (91%), but only half at the outcome level. However, many proposals do not contain well defined indicators. 52% included clearly specified indicators at the output level and 30% at the outcome level. Less than half of the project documents (46%) summarised the expected results and indicators in the form of a log frame. The use of log frames and specified indicators was more common for larger projects. It is also noticeable that proposals that had been drafted over the last few years were more likely to include logframes than earlier proposals.

Nearly all projects provide regular progress reports. 94% report at least once a year (and many report on a six monthly basis). On the basis of these reports there is evidence that outputs are monitored in 94% of cases, and outcomes in 53% of cases.

SDC regularly requires external evaluations. 42% of projects had an external (and independent) evaluation foreseen at the end of the phase under study. In addition, 62% of projects had been subject to an external evaluation over the past 4 years, and 53% to an internal evaluation. External evaluation was more common for larger projects, and had not been carried out for any of the projects with funding below CHF 500'000.

Projects are actively managed. It was found that 73% of projects had been modified on the basis of a past M&E exercise at the end of the previous project phase or during the project phase under review.

Annex 6 - Report on meta-evaluation of research evaluations

Summary

In order to assess the quality of SDC evaluations of its individual research activities the team has undertaken a review of recent SDC research evaluations. This meta-evaluation in principle covers a total of 34 evaluations of research projects/programmes from 2006-2008, i.e. the total population of research evaluations conducted during that time period as collated by the SDC. (The bulk of the evaluations were conducted in 2006 and 2007. Very few evaluations of research projects were undertaken in 2008 and none so far in 2009, presumably due to the reorganisation that SDC has been undergoing.)

In practice, the number of research evaluations at the basis of this meta-evaluation is lower: 21 evaluations in total. The reason for this discrepancy is that 13 of the documents classified as research evaluations by SDC did not, in fact, concern research. As discussed further below, misclassifications were of two types: pure misclassifications, whereby evaluations concerning activities quite far removed from research had been included in the list of "research evaluations" or "border-case misclassifications" (evaluations of backstopping or training and teaching activities) presumably misclassified due to a certain lack of a clear definition of what constitutes "research" within SDC.

The meta-evaluation comprises an analysis of both the evaluations themselves (type, quality, comprehensiveness of evaluations) and of their conclusions regarding SDC-funded research (format, quality, management process, comparison with other donors).

The review shows that SDC has used primarily external evaluations, which tend to be of higher quality methodologically than internal evaluations and to provide a more critical assessment of the project in question. From the sample, it appears that the SDC head office does not conduct any evaluations itself.

The evaluations reviewed, as a rule, examined what types of research (applied, basic, sectoral, interdisciplinary, transdisciplinary, etc.) SDC had supported through the project/programme, what types of objectives had been pursued, and the types of outputs that had been produced. A majority of external evaluations also provided an assessment of the main users of the research output.

Although most of the evaluations reported on project results, particularly at the output level, many evaluations did not include a thorough assessment of the extent to which results-based management had been actively used over the course of the project, and whether indicators had been established and monitored.

One of the main deficiencies of evaluations is that they generally did not address the question of how effective SDC's management had been towards the project in question. Most remained silent on basic issues of funding and management, such as whether the project was financed through a mandate or a contribution. Practically no evaluation examined whether or not there was competitive bidding for research funding. SDC's performance was compared to other donors in only 10% of the evaluations reviewed.

Another striking finding is that more than half of the evaluations did not touch upon the issue of sustainability of the supported organisation.

In many evaluations, the relevance of the research output for SDC was not examined (or was simply taken for granted). Even if the relevance of the research output for SDC seemed self evident, it was usually not discussed whether it was relevant for the Cooperation Office, the head office, or both. Some evaluations highlighted problems in feeding research knowledge back into SDC.

Minority and gender issues were generally poorly covered in the evaluations. Although gender issues were addressed in almost 40 per cent of the evaluations (in contrast to just under 20 per cent for minority issues), in a number cases, they were merely mentioned in a sentence or two.

Very few evaluations explicitly addressed the issue of whether the research was in line with the country's priorities (alignment). In many cases, this was simply taken for granted.

It is doubtful that SDC uses its research evaluations to gain an understanding of how its research activities are performing across the organisation. Evaluations usually only appear to be used in the context of the specific project in question

Below, the results of the meta-evaluation are presented in tabular form. Explanatory comments are provided at the bottom of each table, and the meta-evaluation is concluded with some more general remarks.

Presentation of results

Table 1 - Type of Evaluation

Type of Evaluation	Number	Percentage
Independent/external	16	76
Self assessment by researcher	0	0
Internal evaluation by research organisation	2	9.5
Internal evaluation by programme (e.g. NCCR, SNF etc)		
Evaluation by SDC head office	0	0
Mixed external/internal	3	14.5

Type of Evaluation Comments:

- SDC uses primarily three types of evaluations: external/independent evaluations, internal evaluations by research organisation and a mix between the two. External evaluations dominate. Not surprisingly, the external evaluations tend to follow higher standards and to provide a more critical assessment of the project in question than internal evaluations.
- In some instances, a mixed internal/external approach is taken. In one case the evaluation team was comprised of a combination of SDC consultants and members of the research network to be evaluated. In another, the evaluation combined elements of external evaluation, participatory evaluation, and self-evaluation. A third model was a self-evaluation process accompanied by an external consultant.
- There are no SDC head office evaluations carried out by SDC staff.

Table 2 - Quality of the evaluation

Quality of the evaluation	Yes	No	Partly or N.A.	Percentage Yes
Was a rigorous methodology used?	16	2	3	76
Are they asking appropriate questions?	19	0	2	90.5
Did the evaluation address SDC management issues effectively?	2	16	3	9.5
Did the evaluation deal with the quality (equality) of research partnerships?	12	3	6	57

Quality of the evaluation Comments:

- Most external evaluations followed a similar methodological schema: semi-structured interviews with key informants/stakeholders and document reviews were coupled, in a number of cases, with questionnaires, on-site inspections, and/or workshops. This means that most external evaluations used accepted methodologies.
- However, the range of methods was sometimes somewhat limited (interviews plus document review). At times, the number of interviews was also limited.
- For some internal evaluations it was not clear what methods were used and how the conclusions of the evaluation were arrived at.
- It must be noted that the question "Are they asking appropriate questions?" was analysed within the context of the individual evaluations and the goals set out therein. As this meta-evaluation makes clear, many evaluations set quite restrictive parameters for investigation and leave out a number of issues of potentially very high relevance to SDC.
- Very few evaluations dealt with SDC management issues in a broad sense (e.g. in terms of the relationship between the SDC and its partner in the South/East). "Management" for most evaluators, meant simply management within the research organisation/network. The number of evaluations that address SDC management issues (2) is too small to draw any conclusions regarding SDC management of research (for details regarding management control and resource allocation, see tables 6 and 9 below).
- Almost 60 per cent of evaluations included an assessment of research partnerships.

Table 3 - Types of Research

Types of Research	Number	Percentage
Basic	6	28.5
applied,	19	90.5
disciplinary (biology, economics),	8	38
sector specific (health, education?	14	66.5
inter-disciplinary	3	14.5
Trans-disciplinary research[1.]	7	33.5

N.B does not add up to 100 because research could have several of the above qualities.

[1] Transdisciplinary research is research that includes cooperation within the scientific community and a debate between research and the society at large. Transdisciplinary research therefore transgresses boundaries between scientific disciplines and between science and other societal fields and includes deliberation about facts, practices and values. Transdisciplinary research is apparently a major feature of some Swiss research

Types of Research Comments:

- A vast majority of research activities evaluated consisted of applied rather than basic research (a few projects had elements of both).
- More projects were sector-specific rather than disciplinary.
- In accordance with the objectives of the SDC, a number of the projects (approximately on third) were trans-disciplinary in nature. It must be noted that not all evaluations specified the types of research at hand. The real number of inter-disciplinary and trans-disciplinary projects may therefore well be higher.

Table 4 - Types of Objectives

Types of Objectives	Yes	Partly	Percentage Yes
to produce "quality research" – rated by peer reviewed publication	9	2	43
to build capacity to do research (individuals and organisations)	15	1	71.5
to build capacity to use research	13	2	62
to build capacity to do research in Switzerland	8	2	38
to produce "results oriented" research	18	1	85.5
to achieve "political" objectives (specified or implied)	4	4	19
to build the constituency for development within Switzerland.	3	2	14.5
to produce trained Swiss people to work in SDC etc	0	4	0

N.B does not add up to 100 because research can have several of the above-mentioned objectives.

Types of Objectives Comments

- The vast majority of projects subject to an evaluation had more than one objective. The standard project had 4-5 objectives.
- The most commonly cited objectives were to produce "results oriented" research, to build capacity to do research, and to build capacity to use research; those least commonly cited were to produce trained Swiss people to work in SDC and to build the constituency for development within Switzerland. Presumably, the latter objective at times remained implicit.
- Political objectives were rarely noted in the evaluations, and in those cases where political objectives were present, these were "overt" e.g. providing "inputs for the elaboration of a new framework strategy for an "advanced" bilateral research collaboration addressing developmental issues and both Indian and Swiss interests", contributing to conflict resolution and democratisation in Nepal, promoting "good neighbourly relations", or achieving improved implementation of an international agreement. Evaluations did not touch upon implied political objectives.

Table 5 - Funding Mechanisms

Funding Mechanisms	Number yes	Number N.A.	No
Is the research commissioned by SDC (Aufträge)?	2	14	5
Is SDC support a financial contribution to research (Beiträge)?	16	5	0
Is SDC support a contribution to the core costs of the **organisation**?	10	8	3
Is SDC support for the creation or support of Research Partnerships (N/S,W/E and S/S)?	12	3	6
Does SDC support involve grants to **individuals** in N,S, E to carry out "scientific studies"?	5	3	13
Does SDC support involve finance of courses?	11	3	7
Does SDC support involve financing congresses and seminars?	9	2	10

N.B does not add up to 100 because research could have several of the above funding types.

Funding Mechanisms Comments

- There is some insecurity in the analysis of funding mechanisms presented in the table, as many evaluations remained silent on this issue. At other times funding mechanisms could be deduced, but this always means that a margin of error is introduced into the analysis.
- Most evaluations do not state explicitly whether or not the SDC contribution goes towards the core costs of the organisation, but at least in some instances this could be deduced from the evaluation.

Table 6 - Indicators of Management Control

Indicators of Management Control	Yes	N.A.	No	Percentage yes
Was there competitive bidding	0	18	3	0
Research objectives were specified in advance (that are "SMART[2]" and operationally relevant	14	5	1	66.5
outcome measures planned, implemented, reported upon	5	11	5	24
milestones (time-bound deliverables) specified	7	13	1	33.5
Monitoring and Evaluation planned, implemented, acted upon	5	6	7	24
The "do no harm" principle adopted	0	21	0	0
Gender issues addressed	8	8	5	38
Minorities included	4	14	3	19
Data disaggregated by gender, minorities	1	16	4	5
Case study country legislation respected	0	21	0	0

[2] SMART = specific, measurable, achievable, realistic and timely.

Indicators of Management Control Comments

- Practically no evaluation examined whether or not there was competitive bidding for research projects. The lack of competitive bidding was noted in 3 cases.
- A relatively large number of evaluations noted problems in M&E. Such problems consisted of insufficient, confusing reporting in this respect. A plurality of evaluations contained no information on M&E. In other respects as well, management control was not evenly addressed in the evaluations.
- Gender issues were unevenly dealt with: in a number of evaluations where gender issues were included, they were merely mentioned in a sentence or two.
- Minority issues were very rarely included in the research evaluations.
- Ethical issues were never explicitly included in the research evaluations. The "do no harm" principle was never touched upon, and neither was the issue of conformity with the case study country's legislation.

Table 7 - Relevance of Research

Relevance of Research	Yes, potentially (deduced)	No	N.A.	Percentage yes
SDC global programmes	8	0	13	38
SDC operational programmes	14	0	7	66.5
The world community (global public good knowledge)	6	1	14	28.5
The case study county's priorities (alignment)	7	1	13	33.5
Users" in case study country	10	1	10	47.5

N.B does not add up to 100 because research could be relevant to several audiences.

Relevance of Research Comments

- Most evaluations remain silent on the issue of relevance. In some cases, issues of relevance might be obvious (and is deduced and included in Table 7), but in other cases it is not clear whether the research is primarily relevant for SDC global programmes, SDC operational programmes, or the world community.
- Very few evaluations explicitly address the issue of whether the research is in line with the country's priorities (alignment). In many cases, this is simply taken for granted.

Table 8 - Types of outputs

Types of outputs	Yes	No	N.A.	Percentage yes
new knowledge in journals	12	7	2	57
new knowledge that can be used by practitioners	17	3	1	81
improved capacity to do research (at institutional and/or personal level).	16	4	1	76
improved capacity to utilise research (by sector, including policy research)	13	4	4	62
people trained	13	6	2	62
self sustaining institutions/organisations	3	7	11	14.5

N.B does not add up to 100 because research could have several outputs.

Types of outcomes Comments

- Most external evaluations provide a rather thorough analysis of the research outputs. In at least some internal evaluations, it remains unclear how project outputs were assessed.
- A significant proportion of evaluations, including external ones, do not address the issue of sustainability. When the issue is addressed, it usually boils down to the question of whether or not a given organisation will be able to survive without SDC support.

Table 9 - Types of users

What are the main types of users of the research output:	Number	Percentage
Government	10	47.5
Poor people	9	43
Suppliers of goods and services to poor people	12	57
SDC funded researchers in case study country	0	0
Members of a research partnerships	9	43
SDC head office (e.g. global programmes)	3	14.5
SDC country offices (e.g operational programmes)	5	24
Others: Students, academics, researchers, extension agencies	7	33.5

N.B does not add up to 100 because research could have several types of users.

Types of users Comments

- The majority of external evaluations provide an assessment of the main users of the research output. In many cases, however, the relevance of the research output for SDC is not examined (or is simply taken for granted).
- Even if the relevance of the research output for SDC seems obvious, it is usually not examined whether it is relevant for the county office, the head office, or both.
- In some cases, it is however noted that the feedback to SDC is insufficient. Thus, one evaluation concludes that "there are little systematic efforts to enable feeding back ESAPP experiences into the SDC knowledge system". Another evaluation notes that "even within SDC using FAST is not mandatory and rarely used". A third evaluation comes to a similar conclusion, stating that "the knowledge generated by CIFOR was not sufficiently channelled into the SDC knowledge system".

Table 10 - SDC practices relative to other donors

SDC practices relative to other donors	Partly	No	Percentage yes
Does the evaluation compare SDC with other donors	2	19	9.5
SDC's relative strengths and weaknesses in support to research relative to the support of other donors	2	19	9.5

SDC practices relative to other donors Comments

- Evaluations practically never compare SDC with other donors. A number of evaluations mention relevant activities of other donors, but almost never is a comparison undertaken.
- As a consequence, practically no evaluation assesses the strengths and weaknesses of SDC support compared to that of other donors.

Other conclusions regarding SDC management of research evaluations

- Some of the documents classified as research evaluations by the SDC did not, in fact, concern research. Misclassifications were of two types:

  (a) "pure" misclassifications such as "Côte d'Ivoire, Sport pour la paix" (reconciliation among youth through sports activities), "Artisanal Mining Project in Mongolia" (artisanal and small scale mining) and Fonds International de Garantie (micro-finance) which were concerned with activities quite far removed from research;

  (b) "border-case misclassifications" presumably related to the extent to which SDC has a clear in-house definition of what constitutes "research". This category includes training and teaching activities with no research component (for example Summer University for Human Rights of the Collège Universitaire Henry Dunant and the Association mondiale pour l'Ecole Instrument de Paix (EIP), the main objective of which is to further human rights education by promoting training activities for teachers and other educators). It also comprises backstopping commissions such as the SDC Support Mandate for Mobility (SKAT).
- SDC does not seem to require the Big Instruments to forward any evaluations or reviews that they undertake of the various research activities within their programmes. TPP received copies of the NCCR North-South reviews independently.
- There seems to be no strategic vision as to which projects are evaluated and why.
- Project numbers/codes are never noted in evaluations, although this could presumably be useful for cross-reference with ARAMIS and for other management purposes. The evaluation team has noted discrepancies between ARAMIS and the evaluations (e.g. research projects evaluated but not in ARAMIS). For example, the International Centre for Development oriented research in agriculture (ICRA) was evaluated in 2008, but does not appear in ARAMIS.
- Similarly, ARAMIS does not note which projects have been subject to evaluation. This is presumably a useful piece of information.
- Another problem with the evaluations is that instrument type (SDC Global Programmes, Country Programme Operations, International organisations, Big Instruments etc.) is not always noted consistently.

Annex 7 - Report on the results of the three electronic questionnaires

1. Methodology

Three separate versions of an electronic questionnaire were prepared for the following groups of respondents:

1) SDC staff in headquarters and cooperation offices.
2) Researchers in Swiss based research institutions receiving SDC funds or participating in an SDC supported North-South programme.
3) Researchers in developing countries receiving SDC funds.

Each questionnaire was first subjected to pilot testing and critical comment by individuals representing the above categories. Once finalised the questionnaires were uploaded to surveymonkey.com, and invitations to complete the questionnaire online were emailed to a random sample of respondents. The online questionnaires were open for responses for a period of between two and three weeks, and periodic email reminders were sent to non-respondents. This ensured a high response rate. The sampling method, sample size and response rate for each questionnaire is shown in the table below:

Table1 - Sampling methods and response rates for the three questionnaires

Version of questionnaire	Sampling method	Number of invitations sent out by email	Number of usable responses	Response rate
SDC staff in headquarters and cooperation offices	The total population of SDC HQ staff was obtained from the intranet. A random sample was then drawn including: all senior management, two thirds of Heads of Division and their Deputies, one third of programme officers, all thematic focal points, and all members of the Core Learning Partnership for this evaluation. For the Cooperation Offices all Country Directors were invited to participate, and asked to nominate up to three of their staff to receive invitations.	**163**	**101**	**62%**
Researchers in Swiss based research institutions receiving SDC funds or participating in an SDC supported North-South programme	All Swiss research institutions visited and interviewed for this evaluation were asked to nominate questionnaire participants. The number of nominations requested depended on the size of each institution: large institutions, up to 15 nominees; medium-sized institutions; up to 10 nominees; small institutions, up to 5 nominees.	**80**	**57**	**71%**
Researchers in developing countries receiving SDC funds.	All Swiss research institutions visited and interviewed for this evaluation were asked to submit lists of email addresses of their research partners in developing countries. A 50% sample was taken from the combined list. We were not easily able to obtain lists of research partners in transition countries (e.g. through the SCOPES) programme and did not include this category in the sample.	**167**	**50**	**30%**

2. Results of the Questionnaire for SDC staff

2.1 The respondents

Question 1: Where are you located?
Two thirds of responses came from headquarters and only a third from field offices. The sample is somewhat biased towards a headquarters perspective. The main reason was the lower than expected number of participant nominations received from Cooperation Offices.

Table 2 - Where are you located?

Answer Options	Response Percent	Response Count
Headquarters	67.0%	67
Cooperation Office	33.0%	33
Not applicable	0.0%	0
answered question		**100**
skipped question		**1**

Question 2: What is your current job position?
The pattern of responses is broadly representative of the structure of SDC. Senior and middle management are strongly represented, but this was the intention of the sampling strategy.

Table 3 - What is your current job position?

Answer Options	Response Percent	Response Count
Member of Senior Management or Head of Department	4.0%	4
Head of Division/ Section and Deputy Head of Division/ Section	20.0%	20
Country Director or Deputy/Assistant Country Director	28.0%	28
Programme Officer at Headquarters	36.0%	36
Programme Officer in Cooperation Office	6.0%	6
Other	6.0%	6
Not applicable	0.0%	0
answered question		**100**
skipped question		**1**

Question 3: Please indicate which department you work in

The responses broadly reflect the structure of SDC and the relative size of its different departments.

Table 4 - Please indicate which department you work in

Answer Options	Response Percent	Response Count
Global Cooperation Department	18.0%	18
Regional Cooperation Department	38.0%	38
Cooperation with Eastern Europe Department	24.0%	24
Humanitarian Aid and SHA Department	11.0%	11
Support Department	0.0%	0
Institutional Partnerships Department	2.0%	2
Staff of the Directorate	6.0%	6
Human Resources Department	0.0%	0
Other	1.0%	1
Not applicable	0.0%	0
answered question		**100**
skipped question		**4**

Question 4: Please indicate your gender

Slightly more men than women responded to the questionnaire.

Tabel 5 - Please indicate your gender

Answer Options	Response Percent	Response Count
Male	57.6%	57
Female	42.4%	42
answered question		**99**
skipped question		**2**

Question 5: For how many years have you worked at SDC?

Table 6 - For how many years have you worked at SDC?

Answer Options	Response Percent	Response Count
0-5 years	30.0%	30
5-10 years	27.0%	27
10-15 years	18.0%	18
15-20 years	14.0%	14
More than 20 years	11.0%	11
answered question		**100**
skipped question		**4**

Questions 6 and 7: Previous work experience in research prior to joining SDC

Just under a fifth of respondents had a development research background. This is a significant proportion suggesting that development research is an important recruitment avenue for SDC.

Table 7 - Have you previously worked in a development research capacity above Masters level?

Answer Options	Response Percent	Response Count
Yes	19.2%	19
No	80.8%	80
answered question		**99**
skipped question		**2**

17% of respondents had also previously worked on an SDC funded research activity. Of the 19 respondents reporting that they had previously worked in a development research capacity above Masters level,11 had also worked on an SDC funded research project.

Table 8 - In previous employment have you worked on a research activity funded by SDC?

Answer Options	Response Percent	Response Count
Yes	17.0%	17
No	83.0%	83
answered question		**100**
skipped question		**1**

2.2 Familiarity with the SDC research portfolio

Question 8: How familiar are you with the SDC research activities and SDC's policies and procedures for supporting research related activities as described the Research Master Plan (Forschungskonzept)?

It is clear that the majority of respondents have little familiarity with SDC's research activities. According to their own assessment nearly three quarters claimed 'partial and not recent familiarity' or 'little to no familiarity' with SDC's research activity.

Table 9 - How familiar are you with the SDC research activities and SDC's policies and procedures for supporting research related activities as described the Research Master Plan(Forschungskonzept)?

Answer Options	Response Percent	Response Count
Extensive and recent familiarity	7.0%	7
Partial but recent familiarity	19.0%	19
Partial and not recent familiarity	41.0%	41
Little or no familiarity	33.0%	33
answered question		**100**
skipped question		**1**

A third of those who claimed extensive or recent familiarity had previously worked in research (9/26 = 34%).

Table 10 - In your SDC capacity which of the following best describes your engagement with development research activities?

Answer Options	Response Percent	Response Count
Many of my tasks are related to the management, commissioning or use of SDC research	5.9%	6
I am sometimes involved in the management, commissioning and use of SDC research	18.8%	19
I am occasionally involved in the management, commissioning and use of SDC research	32.7%	33
I am rarely or never involved in the management, commissioning and use of SDC research	42.6%	43
answered question		**101**
skipped question		**1**

Question 9: In your SDC capacity which of the following best describes your engagement with development research activities?

It is clear from the responses that the majority of SDC staff have little involvement in research management in their daily tasks.

Table 11 - In your SDC capacity which of the following best describes your engagement with development research activities?

Answer Options	Response Percent	Response Count
Many of my tasks are related to the management, commissioning or use of SDC research	5.0%	5
I am sometimes involved in the management, commissioning and use of SDC research	19.0%	19
I am occasionally involved in the management, commissioning and use of SDC research	33.0%	33
I am rarely or never involved in the management, commissioning and use of SDC research	43.0%	43
answered question		**100**
skipped question		**1**

2.3 The values and objectives of research

Question 10: Which of the following activities are considered within SDC to be part of its "research related activities"?

This question revealed that there is a strong consensus that SDC views development research as 'applied research' rather than 'basic research'. Research is also understood to mean capacity building at the level of institutions rather than individuals.

Table 12 - Which of the following activities are considered within SDC to be part of its "research related activities"? Tick as many as apply

Answer Options	Response Percent	Response Count
Applied research intended to be of use in your country/region or to improve SDC operations in your country/region	81.3%	74
Building capacity to DO research by institutions in developing or transition countries	81.3%	74
Strengthening the capacity of Swiss research institutions to engage in development research	63.7%	58
Commissioned research where the subject is defined by SDC	63.7%	58
Building capacity to USE research in developing or transition countries	58.2%	53
Analysis and advice to SDC in the form of "back-stopping" mandates	53.8%	49
Scholarships and training for students in developing and transition countries undertaking research	52.7%	48
Building capacity to DO research by individuals in developing or transition countries	42.9%	39
Scholarships and training for students in Switzerland undertaking research	37.4%	34
High quality "basic" research resulting in publication in peer reviewed journals	23.1%	21
Answered questions		**91**
Skipped questions		**10**

Questions 11 and 12:

These linked questions asked respondents to rank different types of research in terms of their importance in SDC's funding portfolio, and to compare how the respondent understood the actual situation with the desired situation.

Question 11: In terms of how SDC's administers research funding in practice which of the following types of activity receive greatest emphasis. Please base your answer on your view of SDC's overall research funding. Tick up to three

Question 12: From the following list of activities, which should be the three main priorities for SDC research funding? Tick up to three

Table 13

	Question 11 – Actual situation		Question 12 – Desired situation	
Answer Options	**Response Percent**	**Response Count**	**Response Percent**	**Response Count**
Applied research intended to be of use in your country/region or to improve SDC operations in your country/region	60.4%	55	72.8%	67
Building capacity to DO research by institutions in developing or transition countries	54.9%	50	66.3%	61
Analysis and advice to SDC in the form of "back-stopping" mandates	53.8%	49	22.8%	21
Strengthening the capacity of Swiss research institutions to engage in development research	42.9%	39	21.7%	20
Commissioned research where the subject is defined by SDC	35.2%	32	25.0%	23
Building capacity to USE research in developing or transition countries	27.5%	25	46.7%	43
Building capacity to DO research by individuals in developing or transition countries	23.1%	21	17.4%	16
Scholarships and training for students in developing and transition countries undertaking research	19.8%	18	20.7%	19
Scholarships and training for students in Switzerland undertaking research	8.8%	8	3.3%	3
High quality "basic" research resulting in publication in peer reviewed journals	6.6%	6	10.9%	10
Answered questions		**91**		**92**
Skipped questions		**10**		**9**

The types of research that **received most emphasis** both in terms of the actual and desired situation are:

- Applied research intended to be of use in developing or transition countries or to improve SDC operations scored highest.
- 'Building capacity to DO research by institutions in developing or transition countries'.

The types of research spending that **received least emphasis** both in terms of the actual and desired situation are:

- scholarships and training for students in Switzerland undertaking research
- high quality 'basic' research resulting in publication in peer reviewed journals
- Scholarships and training for students in developing and transition countries undertaking research
- Building capacity to DO research by individuals in developing or transition countries

For three areas respondents considered that the **actual emphasis is greater than the desired emphasis** (implying a need to reduce activity in these areas):

- 'Analysis and advice to SDC in the form of "back-stopping" mandates' (53.8 % actual compared to 22.8% desired)
- 'Strengthening the capacity of Swiss research institutions to engage in development research' (42.9 % actual compared to 21.7% desired)
- Commissioned research where the subject is defined by SDC (35.2% actual compared to 25% desired)

In one area respondents considered that the **actual emphasis is less than the desired emphasis** (implying a need to step up activity in this area):

- Building capacity to USE research in developing or transition countries (46.7% desired compared to 27.5% actual)
- Applied research intended to be of use in your country/region or to improve SDC operations in your country/region (72.8% desired compared to 60.4% actual).
- Building capacity to DO research by institutions in developing or transition countries (66.3% desired compared to 54.9% actual).

Question 13: What is your opinion regarding the level of resources (financial and human) that SDC devotes to research for development? Please base your answer on your view of SDC's overall research funding. Select One

The responses to this question reflect the very different individual opinions held within SDC about the benefits of its research funding. The largest group of respondents (38.7%) did not answer the question implying that they had too little knowledge of SDC's research activities to express a valid opinion. Another large group of respondents (28%) felt that SDC devotes about the right amount of resources to research. Of the remaining responses opinion was divided between those who believed SDC spends more on research than is justified by the benefits it brings and those who believed that SDC spends to little on research. However, the former group (18.3%) was slightly more numerous than the latter (15.1%).

Table 14 - What is your opinion regarding the level of resources (financial and human) that SDC devotes to research for development? Please base your answer on your view of SDC's overall research funding. Select One

Answer Options	Response Percent	Response Count
SDC devotes far too much of its resources to research for development	0.0%	0
SDC devotes rather more resources to research for development than is justified by the benefits it brings	18.3%	17
SDC devotes about the right level of resources to research for development	28.0%	26
SDC devotes rather less resources to research for development than is justified by the results it brings	12.9%	12
SDC devotes far too little of its resources to research for development	2.2%	2
Not applicable/ Don't know	38.7%	36
answered question		**93**
skipped question		**8**

2.4 The relevance of the research portfolio

Question 14: Is SDC funding the right things? Based on your knowledge of SDC's overall funding for research please indicate on a six point scale the extent to which you agree with the following statements:

For this question respondents were asked to rate responses on a six point scale to what extent they disagreed (1) to fully agreed (6). Average rating above 3.5 indicates a tendency towards agreement with the statement, and an average rating below 3.5 indicates a tendency towards disagreement.

Respondents agreed most strongly with the statement that the research topics funded by SDC reflected the MDGs and somewhat less strongly that this reflected the most pressing development problems (average rating above 3.50).

Respondents agreed least with the statement that the research activities were harmonised with other donors (average rating 3.12).

Respondents who claimed extensive or partial but recent familiarity of the research policy tended to express slightly stronger opinion of agreement or disagreement in the direction of the general trend than respondents who said that they had no recent no familiarity of the research policy. The differences are small and no statistical significance could be proven.

The 'don't know' answers were high among the last three questions.

Table 15 - Is SDC funding the right things? Based on your knowledge of SDC's overall funding for research please indicate on a six point scale the extent to which you agree with the following statements:

Answer Options	Rating Average All	Rating Average Familiarity	Rating Average No Familiarity	Don't know	Response Count
Tendency to agree with statement (mean>3.50)					
The research topics funded by SDC reflect SDC's strategic priorities: (i) achieving the Millennium Development Goals, reducing poverty, (ii) promoting human security and reducing security risks, (iii) contributing to pro-development globalisation.	3.97	3.92	4.00	15	91
SDC's research activities cover topics that reflect the most pressing global development problems.	3.94	4.17	3.83	21	91
Tendency to disagree with statement (mean. < 3.5)					
The research topics in SDC's research portfolio are 'aligned' effectively with the stated objectives of the developing and transition countries where it operates.	3.33	3.22	3.41	28	88
The balance between SDC research related expenditure in developing and transition countries and Switzerland are essentially correct.	3.30	3.17	3.38	45	89
The areas of concentration in SDC's research portfolio are harmonised with the activities of other donors.	3.12	2.96	3.22	31	90
			answered question		**91**
			skipped question		**10**

Question 15: What are Switzerland's comparative advantages in research and innovation? Tick as many as apply

Table 15 shows the research topics most frequently selected by respondents as being specific areas of Swiss competence.

- Those areas scoring highest include environmental and energy, water engineering and mountain science and development.
- Those areas scoring lowest include Information technology, transport engineering and material science.
- Social science subjects as well as the areas where Switzerland has strong private sector (pharmaceuticals, biotechnology, finance and banking) scored somewhere in the middle.

A number of additional areas of Swiss competence were mentioned in the open ended part of this question. [1]

Table 16 - What are Switzerland's comparative advantages in research and innovation? Tick as many as apply

Answer Options	Response Percent	Response Count
Environment and energy	64.0%	55
Water engineering	64.0%	55
Mountain science and development	57.0%	49
Human rights, rule of law and good governance	57.0%	49
Sustainable and organic farming	54.7%	47
Pharmaceuticals and biotechnology	53.5%	46
Conflict resolution/ peacebuilding	46.5%	40
Humanitarian operations, policy and law	48.8%	42
Research partnerships	34.9%	30
Healthcare	33.7%	29
Finance and banking	29.1%	25
Material science	24.4%	21
Transport engineering	12.8%	11
Information technology	7.0%	6
answered question		**86**
skipped question		**15**

Question 16: Does SDC invest sufficiently in areas of comparative advantage? Please indicate on a six point scale the extent to which you agree with the following statements:

Responses to this question indicate that a majority of responds do not believe that SDC invests sufficiently in areas of comparative advantage (average rating below 3.50).

A third of respondents did not answer this question.

[1] Other areas mentioned were: a) training and education (included terms were vocational training, informal education, youth) b) decentralisation (used terms were multilingualism, federalism, municipal and departmental management capacity development), c) rural development (terms used were Pro poor agricultural markets (sustainable value chains), agriculture, land use) d) Social Science (Sociology, political science) e) remote sensing analysis and GIS developments, f) disaster risk reduction
Other comments noted:
Switzerland has comparative advantages in all thematic fields mentioned, but I am ignorant of any international ranking list with regard to these subjects
The above list is bit limited and does not reflect the current picture of what SDC is supporting e.g. in agricultural research (including livestock and forestry, value chains, food policy etc.) just to name one example.
We are not in a situation of competition "who is the best". Rather, you should ask what Switzerland can offer to the South/East in terms of contribution to resolve their development problems

Table 17 - Does SDC invest sufficiently in areas of comparative advantage? Please indicate on a six point scale the extent to which you agree with the following statements:

Answer Options	Rating Average	Number of don't know responses	Total response count
SDC invests sufficiently in areas of Swiss comparative advantage in research and innovation	3.10	30.00	89
answered question			**89**
skipped question			**12**

Question 17: Focus and critical mass.

Research funders can choose to spread their resources across a wide range of topics, projects, programmes and partners or focus a narrow range of issues in order to achieve a critical mass of effort. Which of the following statements most closely reflects your opinion? Select One

Well over half of all respondents felt that the SDC research activities are somewhat or highly fragmented and that better results could be achieved by focussing more on fewer areas where critical mass is possible.

Only 20 % felt that SDC research activities were well focused or had some areas of focus that brought together critical mass or at least were appropriately spread across wide number of topics.

Table 18 - Focus and critical mass Research funders can choose to spread their resources across a wide range of topics, projects, programmes and partners or focus a narrow range of issues in order to achieve a critical mass of effort. Which of the following statements most closely reflects your opinion? Select One

Answer Options	Response Percent	Response Count
SDC research activities are well focused and achieve critical mass in several areas.	1.1%	1
SDC research activities have some areas of focus where it brings together critical mass.	12.2%	11
SDC research activities are appropriately spread across a wide number of topics.	6.7%	6
SDC research activities are somewhat fragmented and better results could be achieved by focussing more on fewer areas where critical mass is possible.	48.9%	44
SDC research activities are highly fragmented and do not bring together critical mass. There is a need for radical restructuring of the research activities.	10.0%	9
None of these/ Don't know	21.1%	19
answered question		**90**
skipped question		**11**

Question 18: How are research priorities established?

Research topics can be determined on the basis of demand by researchers for funding for their areas of interest, the setting of research policy and priorities by the research funder, and demand from end users. On the basis of SDC research activities you are familiar with, please indicate the extent to which different actors currently influence the SDC research portfolio and priority setting.

Respondents felt that the Swiss research community had the strongest influence in setting the research policy and agenda, followed by SDC with a moderately to strong influence.

Researchers in developing countries and end users were considered to exercise a low level of influence on the development of the research agenda.

Table 19 - How are research priorities established? Research topics can be determined on the basis of demand by researchers for funding for their areas of interest, the setting of research policy and priorities by the research funder, and demand from end users. On the basis of SDC research activities you are familiar with, please indicate the extent to which different actors currently influence the SDC research portfolio and priority setting.

Answer Options	No influence	Low influence	Moderate influence	Strong influence	Don't know	Response Count
SDC	0	6	35	32	11	84
The Swiss research community	1	8	20	43	14	86
Researchers in developing and transition countries	3	41	21	7	16	88
End users of research	28	30	9	4	14	85
answered question						**88**
skipped question						**13**

2.5 Output and Outcomes of SDC funded research

Question 19: Quality and relevance

How do you view the quality and relevance of SDC supported research activities over the past five years? In relation to SDC funded research activities you are familiar with, please indicate on a six point scale the extent to which you agree with the statements

- SDC research activities generate findings that are credible to the intended audience
- SDC research activities are relevant to developing and transition countries
- SDC research activities produce findings that are used by developing and transition countries
- SDC research activities produce high quality peer reviewed research results published in academic journals

There was a tendency to agree with the first two statements. Respondents agreed strongly that 'research led to credible findings for the intended audience' and somewhat less strongly that the research activities were relevant for developing and transition countries.

The reactions to the third and fourth statements were equivocal with the average rating close to 3.50 meaning that those agreeing with the statement were balanced by those who disagreed. Hence SDC research appears to score less strongly on its use in developing and transition countries, and its publication record.

Table 20 - Quality and relevance How do you view the quality and relevance of SDC supported research activities over the past five years? In relation to SDC funded research activities you are familiar with, please indicate on a six point scale the extent to which you agree with the following statements

Answer Options	Rating Average	Don't know	Response Count
SDC research activities generate findings that are credible to the intended audience	4.60	30	87
SDC research activities are relevant to developing and transition countries	4.18	19	87
SDC research activities produce findings that are used by developing and transition countries	3.64	26	87
SDC research activities produce high quality peer reviewed research results published in academic journals	3.54	38	86
answered question			**87**
skipped question			**14**

Question 20: Results of research

In relation to SDC funded research activities you are familiar with, please rate the impacts of SDC research activities against the following outputs and outcomes.

For this questions respondents were asked to rate responses on a four point scale (1=negligible impact, 2=small impact, 3=moderate impact, 4= strong impact). For each criterion the average scores were in the range of 2.5-3.2 indicating that most respondents perceived SDC research as having a moderate impact. Impacts were perceived to be strongest in terms of individual and institutional capacity building and fostering research partnerships. Impacts were perceived to be less strong in terms of influencing policy in partner countries and improving SDC's own operations.

Additional test were carried out to determine to whether there were differences in the opinions of those who claimed greater familiarity with research than those who did not. Small differences were observed but usually indicating that those who were familiar with research held stronger views but supported the general direction of opinion for each issue as observed for all respondents. However, inference testing (t-test) did not show a statistical significant difference in the views of those familiar and those less familiar with the research policy.

Table 21 - Results of research In relation to SDC funded research activities you are familiar with, please rate the impacts of SDC research activities against the following outputs and outcomes.

1=negligible impact, 2=small impact, 3=moderate impact, 4= strong impact

Answer Options	No impact	Small impact	Moderate impact	Strong impact	Don't know	Rating Average	Response Count
SDC's research activities have made a significant contribution to building the capacity of individual researchers in the South and East	1	8	32	21	24	3.18	86
SDC's research activities have helped to foster strong and productive research partnerships between North and South and between West and East	0	14	32	17	23	3.05	86
SDC's research activities have made a significant contribution to building the capacity of research institutions in the South and East	1	15	34	17	19	3.00	86
SDC's research activities have significantly strengthened Switzerland's capacity to engage in high quality development focussed research	1	17	26	11	31	2.85	86
The results of SDC's research activities have helped Switzerland to engage more effectively in global debates on key development issues	5	22	20	14	25	2.70	86
The results of SDC-supported research activities have helped to improve the effectiveness of SDC's operational programmes in the field	5	24	36	7	13	2.63	85
The results of SDC-supported research activities have influenced policy in many of SDC's partner countries	5	29	27	5	19	2.48	85
					answered question		**86**
					skipped question		**15**

Questions 21 and 22:

Are you made aware of the results of SDC funded research activities?

The responses to this question suggest a rather limited awareness and utilisation of the results of SDC funded research within SDC. Half of respondents stated that they were rarely or never made aware of research results. A similar proportion reported that they can access few or no results for SDC funded research work.

Table 22 - Are you made aware of the results of SDC funded research activities?

Answer Options	Response Percent	Response Count
Yes, on a frequent basis (several time a year)	14.0%	12
Occasionally (once a year)	36.0%	31
Rarely (less than once a year)	41.9%	36
Never	8.1%	7
answered question		**86**
skipped question		**15**

Table 23 - Are you able to access the results of SDC funded research activities?

Answer Options	Response Percent	Response Count
Yes, I can access the results of nearly all SDC funded research activities	6.2%	5
I can access the results of most SDC funded research activities	11.1%	9
I can access the results of some SDC funded research activities	34.6%	28
I can access the results of a few SDC funded research activities	35.8%	29
No, I cannot access the results of SDC funded research activities	12.3%	10
answered question		**81**
skipped question		**20**

Question 23: How often do you read about, listen to or otherwise encounter results of SDC-funded research? Are these research findings useful for your work?

This question again highlights the limited use of research results within SDC. Over 70% of respondents rarely or only occasionally (about once a year) encounter the results of SDC funded research and make limited or no use of research results.

Table 24 - How often do you read about, listen to or otherwise encounter results of SDC-funded research? Are these research findings useful for your work?

Answer Options	Response Percent	Response Count
I rarely (less than once a year) encounter results of SDC funded research, and do not use research results in my work	27.4%	23
I occasionally (about once a year) encounter the results of SDC funded research, and make limited use of these in my work	42.9%	36
I encounter the results of several research projects each year, and make some use these in my work	21.4%	18
I am frequently exposed to the results of SDC funded research, and use these regularly in my work	6.0%	5
Don't know	2.4%	2
answered question		**84**
skipped question		**17**

Question 24: Have you actively disseminated the results of SDC funded research over the past year? More than one answer possible

Over half the respondents have not communicated any SDC research activities over the past year (52.9%)

Table 25 - Have you actively disseminated the results of SDC funded research over the past year? More than one answer possible

Answer Options	Response Percent	Response Count
Yes, over the past year I have communicated the results of one or several research activities to an audience outside SDC	24.7%	21
Yes, over the past year I have communicated the results of one or several research activities to an audience within SDC	29.4%	25
No, over the past year I have not communicated the results of an SDC research activity	52.9%	45
answered question		**85**
skipped question		**16**

Question 25: Please name up to the three SDC funded research projects whose results have had an important influence on your thinking and work over the past five years

52 people mentioned one project, 33 two, and 17 three.

2.6 Research Management

Question 26: Information systems
Please indicate on a six point scale the extent to which you agree with the following statement:

- The ARAMIS database provides an effective description of SDC support to research related activities
- The ARAMIS database provides an effective tool for the management of SDC research related activities

It is clear that the Aramis database is not well known because over three quarters (78.8%) of respondents answered 'don't know' to these questions.

Those who responded tended to hold negative views of the effectiveness of Aramis as a descriptive and management tool for the research portfolio.

Table 26 - Information systems Please indicate on a six point scale the extent to which you agree with the following statement

Answer Options	Rating Average	Don't know	Response Count
The ARAMIS database provides an effective description of SDC support to research related activities	3.06	67.00	85
The ARAMIS database provides an effective tool for the management of SDC research related activities	2.50	67.00	85
answered question			**85**
skipped question			**16**

Question 27: A budget line for research?

Do you believe that within SDC there should be:

Select as many options as you agree with.

- A pre-agreed budget for research related activities for each department in headquarters
- A pre-agreed budget for research related activities funded from the headquarters
- A pre-agreed budget for all research related activities
- A pre-agreed budget for research related activities in each SDC country office
- No separate budget for research related activities

It is interesting that only a minority of respondents (22.6%) appear to support the current situation where there is no separate budget for research. Opinion was divided rather evenly between the four proposed options for a dedicated research budget.

Table 27 - A budget line for research? Do you believe that within SDC there should be: Select as many options as you agree with

Answer Options	Response Percent	Response Count
A pre-agreed budget for research related activities for each department in headquarters	32.1%	27
A pre-agreed budget for research related activities funded from the headquarters	31.0%	26
A pre-agreed budget for all research related activities	29.8%	25
A pre-agreed budget for research related activities in each SDC country office	27.4%	23
No separate budget for research related activities	22.6%	19
answered question		**84**
skipped question		**17**

Question 28: Competition and procurement

Please indicate on a six point scale the extent to which you agree with the following statements:

- There is a sufficient level of competition in the selection of research partners for commissioned research (Aufträge).
- In practice, in a small country like Switzerland competitive tendering is difficult as there will never be much competition between researchers for funds.
- SDC research funding to should be opened up more to research providers outside Switzerland within the EU.
- Procurement practices for commissioning research are properly adhered to and are sufficient to generate competition and value for money.
- There are appropriate and known criteria for selecting research contributions (Beiträge).

Because these statements were rated on a scale of 1-6 an average score of less than 3.5 indicates a tendency towards disagreement with the statement, and a score of above 3.5 indicates a tendency towards agreement.

The clearest result from this question is that respondents disagree with the statement that there is a sufficient level of competition in the selection of research partners for commissioned research. There is also a strong tendency to agree with the statement that "research funding to should be opened up more to research providers outside Switzerland within the EU".

The responses also indicate a tendency to disagree with the statement that "procurement practices for commissioning research are properly adhered to and are sufficient to generate competition and value for money." There was slight disagreement with the statement that "There are appropriate and known criteria for selecting research contributions."

Opinions were divided on the question whether there would never be much competition in a small country like Switzerland. The largest proportion of respondents (26.7%) agreed relatively strongly (scale5) with the statement. Nearly the same proportion (24.4%) disagreed in relatively strong terms (scale 2). More respondents disagreed more moderately (scale 3) than agreed moderately (scale 4).

Table 28 - Competition and procurement Please indicate on a six point scale the extent to which you agree with the following statements

Answer Options	Rating Average	Don't know	Response Count
Tendency to agree (mean>3.50)			
SDC research funding to should be opened up more to research providers outside Switzerland within the EU.	4.21	12	84
Tendency to disagree (mean<3.50)			
In practice, in a small country like Switzerland competitive tendering is difficult as there will never be much competition between researchers for funds.	3.37	10	86
There are appropriate and known criteria for selecting research contributions (Beiträge).	3.25	32	84
Procurement practices for commissioning research are properly adhered to and are sufficient to generate competition and value for money.	3.00	40	85
There is a sufficient level of competition in the selection of research partners for commissioned research (Aufträge).	2.81	31	85
answered question			**86**
skipped question			**15**

Question 29: Results based management

Please indicate on a six point scale the extent to which you agree with the following statements.

- SDC funded research activities are all designed on the basis of a log frame including clear indicators for monitoring research results
- SDC funded research projects are regularly monitored on the basis of these indicators
- SDC managers are sufficiently aware of the findings from the monitoring of research
- The monitoring of research results is used to adjust the research programme
- All completed SDC activities supporting research are evaluated on completion

Respondents tended to disagree with all the above statements (average rating below 3.50) suggesting a general weakness of results based management practices.

Respondents disagreed most strongly with the proposition that managers were sufficiently aware of the findings from the monitoring of activities.

The proportion of respondents who felt that they did not have the knowledge to answer these questions was high (between 30 to 41% of all respondents).

Table 25 - Results based management Please indicate on a six point scale the extent to which you agree with the following statements

Answer Options	Rating Average	Don't know	Response Count
The monitoring of research results is used to adjust the research programme	3.40	36	84
SDC funded research projects are regularly monitored on the basis of these indicators	3.18	35	85
All completed SDC activities supporting research are evaluated on completion	3.16	41	85
SDC funded research activities are all designed on the basis of a log frame including clear indicators for monitoring research results	3.10	33	85
SDC managers are sufficiently aware of the findings of the monitoring of research activities	2.65	30	85
answered question			**85**
skipped question			**16**

Question 30: SDC reorganisation

Please indicate how you believe SDC's reorganisation will affect the quality of research management and the utilisation of results

69 respondents answered this open-ended question. 22 stated a concern in relation to the planned reorganisation, and 20 expected a positive outcome. Seven people considered that the reorganisation, in itself would not have an impact on the quality of research, and twenty stated that they held no opinion.

The most positive statements suggested that the planned reorganisation will enhance the strategic orientation of the research portfolio. Some argue that a quantitative reduction in research will lead to fewer topics, a greater focus on specific areas and goals thereby reducing fragmentation and increasing the use of the produced material through more systematic dissemination. By bringing research closer to the field, some respondents feel that the new research portfolio may be more in tune with the needs of beneficiary countries, will focus more on capacity building in these countries, and will centre less on Swiss institutions. Some consider that there will be a stronger result orientation and use of results as a result of decentralisation. Other respondents stated that that the reorganisation might clarify institutional management of research partnerships, would increase transparency, make the process more practical and might bring more visibility to the research portfolio.

Those who raised concerns about the impact of the reorganisation often voiced fears about increased fragmentation and lack of overall coherence. There is also an expectation that the process would result in a reduced funding allocation for research. Some respondents expect fewer resources for research in general and thematic research in particular. A loss in expertise among SDC staff may reduce the quality of future commissioned research. One respondent voiced a concern that SDC's research activities might become a foreign policy instrument leading to a reduction in the real development content, while another suggested that funding decisions would become more politicised. One respondent stated that they believed that the autonomy of researchers was likely to be increasingly constrained.

Seven respondents stated that the planned reorganisation will have no impact on the quality of research and the utilisation of results. Some respondents suggested that the quality of research depends more on the people in charge of the portfolio than the management structure as such.

Other respondents did not feel in a position to answer the question. Others listed criteria they considered important in having an impact on the quality of research. These included the allocation of resources to particular themes, or how well research is linked into the global programmes, the quality of guidelines for country offices or where the budget line is situated.

Question 31: Final observations

In what ways does SDC most need to improve its support to research?

66 respondents answered this question.

A number of respondents emphasised the need to focus the research portfolio on key strategic priorities with a stronger focus on getting results. Some specified problems they thought research activity should concentrate on (climate change, food security, poverty reduction), while others called for greater focus on specific outcomes (concrete products for end-users, innovation, start-ups, technical solutions or development of Switzerland's competitive advantages).

Several respondents pointed to the need to improve the use of research results. It was suggested that the impact of research could be increased through improved links to operations and a stronger focus on the needs of beneficiaries. In-house learning from research results was mentioned, as was the need to use research findings to inform policy dialogue with partner countries.

Some respondent felt that the support for Swiss and /or Western institutions should be reduced (or restricted to North-South or West-East partnership programmes) and that emphasis should be given to building local capacities in the South and East, and that Swiss institutions should only be for partnerships only.

Some respondents highlighted the need to improve cooperation with relevant partners such as academics, other governments and the private sector, both in terms of undertaking the research and implementing the findings. One respondent noted that an improved research focus might mean confronting the vested interests and established practice of research institutions.

Research portfolio management

Respondents listed the following areas where they felt that SDC could improve in respect to research management:

- More advanced budgeting procedures
- Cost-benefit analysis
- Adherence to selection criteria and transparent competition rules and processes.
- Research methodology
- More effective monitoring of results
- Dissemination of results
- Institutional learning

One respondent called for more time to be made available to prepare, follow-up and digest SDC research activities. Another felt that a single person should be responsible for research, while another stated that the understanding and attitude of management had to change.

SDC structure and research

Respondents suggested several changes to research management:

- decentralisation (linking research programme more closely to the operations carries out by the Cooperation Offices; greater involvement of programme officers in the cooperation countries),
- specific research funding allocated to line units,
- a research mandate for each domain (while keeping the 'research section' for cross-cutting issues),
- Strengthening of thematic focal points with separate research / backstopping budgets.

3. Results of the questionnaire for researchers working in Swiss institutions

3.1 The respondents

Question 1: Where do you work?

A third of responses came from federal and cantonal institutions, less than a fifth from Universities of Applied Sciences (*Fachhochschulen)* and to 7.1 % from specialised institutes. Compared to their level of SDC research funding the sample is somewhat biased in favour of universities and in particular *Fachhochschulen.* NGOs and other bodies are underrepresented.

Table 30 - Where do you work?

Answer Options	Response Percent	Response Count
A federal institute/university	33.9%	19
A cantonal institute/university	33.9%	19
One of the universities of applied sciences (Fachhochschulen)	17.9%	10
A specialised research institute	7.1%	4
Other	7.1%	4
answered question		**56**
skipped question		**1**

Question 2: Please indicate your gender

Two thirds of respondents were men and a third women.

Table 31 - Please indicate your gender

Answer Options	Response Percent	Response Count
Male	69.6%	39
Female	30.4%	17
answered question		**56**
skipped question		**1**

Question 3: Which of the following does your job cover? Select as many as apply

The majority of respondents work on applied research topics. Around two thirds are also involved in teaching Swiss students, in capacity building in partner institutions and in the management of joint research programmes. Nearly half also work on the management of research funding and programmes, and slightly less on basic research. A quarter of respondents have provided backstopping advice to SDC.2

Table 32 - Which of the following does your job cover? Select as many as apply

Answer Options	Response Percent	Response Count
Applied research	89.3%	50
Teaching research skills to students in Switzerland	71.4%	40
Research capacity building within partner institutions in developing and transition countries	71.4%	40
Managing joint research programmes with partner organisations in developing and transition countries	67.9%	38
Management of research funding and programmes	46.4%	26
Basic research	44.6%	25
Providing backstopping advice to SDC	25.0%	14
Other (please specify)	7.1%	4
answered question		**56**
skipped question		**1**

Question 4: In what field of research do you work? Select as many as apply

The questionnaire indicates a concentration of research activity in social science and environmental/ earth science. The interdisciplinary nature of much Swiss research is highlighted by the fact that a large number of respondents indicated that they worked in more than one subject areas.

Table 33 - In what field of research do you work? Select as many as apply

Answer Options	Response Percent	Response Count
Social science	55.4%	31
Environmental/ earth science	46.4%	26
Agriculture	25.0%	14
Engineering	21.4%	12
Economics	14.3%	8
Health	8.9%	5
Other	8.9%	5
answered question		**56**
skipped question		**1**

[2] Other areas mentioned are: A) consulting to aid organisations /ministries b) Knowledge Sharing between Research, Policy and Practice, C9 industrial collaborations and d) Management of department

Question 5: How much of your working time is devoted to research activities that are funded by SDC or partly funded by SDC under a North-South arrangement (see introductory notes for explanation of North-South arrangement)?

A third of respondents devoted less than 20% of their time to SDC funded research. A quarter used between 20-40% and 40-60% respectively for SDC related research work. Few respondents spent more than 60% or 80% of their time on SDC related activities.

Table 34 - How much of your working time is devoted to research activities that are funded by SDC or partly funded by SDC under a North-South arrangement (see introductory notes for explanation of North-South arrangement)?

Answer Options	Response Percent	Response Count
Less than 20%	32.7%	18
20-40%	25.5%	14
40-60%	27.3%	15
60-80%	7.3%	4
More than 80%	7.3%	4
answered question		**55**
skipped question		**2**

Questions 6: For how many years have you been involved with research related to developing or transition countries?

A large proportion of respondents from the Swiss research community are in relatively senior positions. Over a quarter had spent more than 20 years working on research related to developing countries. Nearly a quarter had spent between 10-15 years working on research related to developing or transition countries. A fifth has been engaged in research related to development work for 5-10 years. Less than a fifth had spent 0-5 or 15-20 years on the subject.

Observation: The average respondent from the Swiss research community had been involved with development related research for much longer than SDC staff had been working for the Swiss administration on development.

Table 35 - For how many years have you been involved with research related to developing or transition countries?

Answer Options	Response Percent	Response Count
0-5 years	16.4%	9
5-10 years	20.0%	11
10-15 years	23.6%	13
15-20 years	12.7%	7
More than 20 years	27.3%	15
answered question		**55**
skipped question		**2**

Question 7: Please indicate how much research funding your organisation receives each year from SDC or from a programme that is partly funded by SDC under a North-South arrangement?

Over a quarter of respondents stated that their organisation received more than 500'000 CHF in research funding from SDC each year. It was rare for Swiss institutes to receive less than CHF 20,000 a year (3.9%).

Table 36 - Please indicate how much research funding your organisation receives each year from SDC or from a programme that is partly funded by SDC under a North-South arrangement?

Answer Options	Response Percent	Response Count
Less than CHF 20'000 per year	3.9%	2
CHF 20'000-50'000 per year	17.6%	9
CHF 50'000-100'000 per year	13.7%	7
CHF 100'000-200'000 per year	13.7%	7
CHF 200'000-500'000 per year	21.6%	11
More than CHF 500'000 per year	29.4%	15
answered question		**51**
skipped question		**6**

Question 8: Please indicate the extent to which the research activities under your personal responsibility are funded by SDC and other sources:

For the majority of institutes, SDC funding accounted for less than 40% of their research activities. Funding from the Swiss National Science Foundation was slightly more significant for the Swiss researchers who answered the questionnaire but still usually less than 40% range. Most researchers appear to have access to funding from their own universities or other sources (See question 22 for details on these other funders).

Table 37 - Please indicate the extent to which the research activities under your personal responsibility are funder by SDC and other sources:

Answer Options	Less than 20%	20-40%	40-60%	60-80%	More than 80%	Response Count
SDC funds	23	21	9	0	1	54
Swiss National Science Foundation	17	20	7	0	3	47
Funds from your own university of research institution	21	20	7	1	0	49
Other funds	11	17	5	4	3	40
					answered question	**54**
					skipped question	**3**

3.2 The value and objectives of research

Questions 9 and 10: Where SHOULD the priorities be and where are they IN PRACTICE?

These linked questions asked respondents to rank different types of research in terms of their importance in SDC's funding portfolio, and to compare how the respondent understood the actual situation with the desired situation.

Question 9: In your area of expertise, which should be the three main priorities for research funded by SDC or partly funded by SDC under a North-South arrangement? Select up to three.

Question 10: In terms of how research funds and policies are administered in practice which of these areas have been the main priorities for research funded by SDC partly funded by SDC under a North-South arrangement? Select up to three.

This question revealed that there is a strong consensus among Swiss researchers that SDC should focus its support on applied research and capacity development in beneficiary countries.

The responses also highlighted a desire among Swiss researchers that SDC should increase its focus on the needs of beneficiary countries by supporting capacity building in beneficiary countries to do research themselves and by involving researchers from the East and South more in the identification of key questions.

There is a slight tendency in favour of increasing research for the benefit of SDC. However, this is more in the area of global debates rather than technical work in the form of back-stopping.

Table 38

	Question 9 'desired'		Question 10 'actual'		Difference between 'desired' and 'actual'
Answer Options	**Response Percent**	**Response Count**	**Response Percent**	**Response Count**	**Difference Percent**
Research topics defined by researchers in developing countries	37.00%	20	15.10%	8	21.90%
To enable Switzerland to engage more effectively in global debates on development	27.80%	15	7.50%	4	20.30%
Building capacity to DO research in developing or transition countries	64.80%	35	45.30%	24	19.50%
High quality "basic" research resulting in publication in peer reviewed journals contributing to global knowledge	24.10%	13	9.40%	5	14.70%
Strengthening the capacity of Swiss research institutions to engage in development research	25.90%	14	13.20%	7	12.70%
Building capacity to USE research in developing or transition countries	18.50%	10	7.50%	4	11.00%
Applied research of intended to be of use to a specific developing or transition country/region or to improve SDC operations	75.90%	41	69.80%	37	6.10%
To ensure a proper balance of funding between different research centres	3.70%	2	7.50%	4	-3.80%
Scholarships and training for students undertaking research work	11.10%	6	24.50%	13	-13.40%
Analysis and advice to SDC in the form of "back-stopping" mandates	16.70%	9	34.00%	18	-17.30%
Research topics defined by development researchers in Swiss research institutions	1.90%	1	20.80%	11	-18.90%
Commissioned research where the subject is defined by SDC	5.60%	3	35.80%	19	-30.20%
answered question		**54**		**53**	
skipped question		**3**		**4**	

The types of research that **received most emphasis** both in terms of the actual and desired situation are:

- Applied research of intended to be of use to a specific developing or transition country/region or to improve SDC operations
- Building capacity to DO research in developing or transition countries

SDC staff and Swiss researchers agree on these priorities.

Swiss researchers identified three areas where they considered the **desired emphasis to be considerably greater than the actual emphasis** (by about 20% difference) implying that respondents felt there should be much more emphasis on these areas::

- Research topics defined by researchers in developing countries
- To enable Switzerland to engage more effectively in global debates on development
- Building capacity to DO research in developing or transition countries

In four areas Swiss researchers considered the **desired emphasis to be somewhat greater than the actual emphasis** (between 6.1 to 19.5 percent) implying that respondents felt there should be more activity in this area.

- High quality "basic" research resulting in publication in peer reviewed journals contributing to global knowledge
- Strengthening the capacity of Swiss research institutions to engage in development research
- Building capacity to USE research in developing or transition countries
- Applied research of intended to be of use to a specific developing or transition country/region or to improve SDC operations

For three areas respondents considered that the **actual emphasis is greater than the desired emphasis** (implying a desire to reduce activity in these areas). The areas are presented here:

- Commissioned research where the subject is defined by SDC
- Research topics defined by development researchers in Swiss research institutions
- Analysis and advice to SDC in the form of "back-stopping" mandates
- Scholarships and training for students undertaking research work
- To ensure a proper balance of funding between different research centres

Question 11: Over the past ten years have you noticed any change in SDC's interest in supporting development research?

Over a quarter of respondents felt that SDC's interest in supporting development work had increased over the past ten years. Just over a fifth considered that it had declined. A fifth believed that the level hadremained the same but that topics had shifted whereas 9.3% felt both SDC's interest in particular research subjects and its overall interest in supporting research had remained the same..

These results should be interpreted with caution because the questionnaire only includes current recipients of research, and would exclude individuals who no longer receive research funding as a result of changing research interests and levels of funding.

Its appears that there may have been a shift towards more interest in supporting work in social science. 13 of the 15 respondents who thought that SDC's interest in supporting

research had increased over the last 10 years worked in social science This conclusion would appear to be supported by the fact that over half of all respondents work in social science.

Table 39 - Over the past ten years have you noticed any change in SDC's interest in supporting development research?

Answer Options	Response Percent	Response Count
SDC's interest in supporting development research has increased over the past ten years	27.8%	15
SDC's overall interest in supporting development research has remained roughly the same over the past ten years, and the focus has broadly stayed on the same topics	9.3%	5
SDC's interest in supporting development research has remained roughly the same over the past ten years, but the focus has shifted to different topics	20.4%	11
SDC's interest in supporting development research has declined over the past ten years	22.2%	12
Don't know	20.4%	11
Please comment		14
answered question		**54**
skipped question		**3**

3.3 Relevance of SDC research

Question 12: In your field of expertise and experience are the right subjects being funded by SDC or through programmes jointly supported by SDC and other funding body? Please indicate on a six point scale the extent to which you agree with the following statements:

Swiss researchers had a relatively strong tendency to agree with the statements that the research projects funded by SDC reflected the most pressing global development needs (average rating 4.12) and are consistent with the stated objectives of the MDGs (average rating 4.43). Note that because respondents were asked to provide ratings on a scale of 1 to 6, an average score of greater than 3.50 indicates a tendency to agree with the statement.

Table 40 - In your field of expertise and experience are the right subjects being funded by SDC or through programmes jointly supported by SDC and other funding body? Please indicate on a six point scale the extent to which you agree with the following statements

Answer Options	Rating Average	Don't know	Response Count
In your field of expertise the research projects being funded by SDC reflect the most pressing development problems	4.12	3	52
In your field of expertise the research projects being funded by SDC are consistent with its stated strategic priorities: (i) achieving the Millennium Development Goals, reducing poverty, (ii) promoting human security and reducing security risks, (iii) contributing to pro-development globalisation	4.43	2	51
answered question			**52**
skipped question			**5**

Question 13: In your field of expertise do you feel that there is a correct balance of expenditure between Switzerland and developing and transition countries for SDC funded research and research programmes partly funded by SDC under North-South arrangements?

Over 60% felt that the balance of expenditure between Switzerland and developing and transition countries was about right. Equal numbers (17.6%) thought that either a greater share should be made available to Swiss institutes or to the partner institute in the South or East.

Table 41 - In your field of expertise do you feel that there is a correct balance of expenditure between Switzerland and developing and transition countries for SDC funded research and research programmes partly funded by SDC under North-South arrangements?

Answer Options	Response Percent	Response Count
Yes, the balance of expenditure between Switzerland and developing and transition countries is correct	64.7%	33
No, a greater share of resources should be made available to Swiss research institutions	17.6%	9
No, a greater share of resources should be made available to researchers in developing and transition countries	17.6%	9
answered question		**51**
skipped question		**6**

Question 14: What are Switzerland's comparative advantages in research and innovation? Select as many as apply

The response from Swiss researchers demonstrates the importance attached to partnerships as a key research method. Two-thirds of Swiss researchers felt that Switzerland's comparative advantage were the research partnerships. With this exception, the rankings in comparative advantage are very similar to responses from SDC staff. [3]

Table 41 - What are Switzerland's comparative advantages in research and innovation? Select as many as apply

Answer Options	Response Percent	Response Count
Research partnerships	74.0%	37
Mountain science and development	62.0%	31
Water engineering	62.0%	31
Environment and energy	58.0%	29
Human rights, rule of law and good governance	52.0%	26
Conflict resolution/ peacebuilding	48.0%	24
Sustainable and organic farming	42.0%	21
Humanitarian operations, policy and law	36.0%	18
Pharmaceuticals and biotechnology	24.0%	12
Healthcare	24.0%	12
Finance and banking	18.0%	9
Material science	16.0%	8
Information technology	12.0%	6
Transport engineering	4.0%	2
	answered question	**50**
	skipped question	**7**

Question 15: Do these areas of comparative advantage receive sufficient funding from SDC or through programmes partly funded by SDC under North-South arrangements?

Half of respondents felt that SDC's support was somewhat focused on areas of Swiss comparative advantage. 17.3 felt that it was hardly focused, whereas 9.6% considered that it was sufficiently focused on Switzerland's comparative advantage.

[3] 13 respondents listed other areas of competitive advantage: a) sustainable ruse of natural resources, sustainable development, natural resource management, sustainable natural resource management, biodiversity conservation, forestry, b) regional planning, urban development, c) cultural diversity and development , education , social science, trade regulation and dispute settlement. One respondent believed that Switzerland non-colonial history was a competitive advantage. Another believed that Switzerland's position was similar to that of other OECD countries

Table 43 - Do these areas of comparative advantage receive sufficient funding from SDC or through programmes partly funded by SDC under North-South arrangements?

Answer Options	Response Percent	Response Count
Yes, SDC's support to research is sufficiently focussed on areas of Swiss comparative advantage	9.6%	5
SDC's support to research is somewhat focussed on areas of Swiss comparative advantage	50.0%	26
SDC's support to research is hardly focussed on areas of Swiss comparative advantage	17.3%	9
Don't know	23.1%	12
answered question		**52**
skipped question		**5**

Question 16: Is there a need to refocus SDC's support to research activities more narrowly on these areas of comparative advantage?

There was a strong tendency to agree with this statement.

Table 44 - Is there a need to refocus SDC's support to research activities more narrowly on these areas of comparative advantage?

Answer Options	Response Percent	Response Count
Yes	43.1%	22
No	27.5%	14
Don't know	29.4%	15
answered question		**51**
skipped question		**6**

Question 17: How are research priorities established?

Research topics can be determined on the basis of demand by researchers for funding for their areas of inquiry, the setting of research policy and priorities by the research funder, and demand from end users. On the basis of the following scales, please indicate the extent to which different actors influence the priorities for SDC's research funding or programmes that are jointly funded by SDC and another research funder.

Respondents from Swiss institutes felt that SDC had the strongest influence in setting the research policy and agenda, followed by other research funding bodies such as the Swiss National Science Foundation) and the Swiss research community itself and other stakeholders, such as NGOs.

Researchers and governments in developing countries and end users were considered to exercise a low level of influence on the development of the research agenda.

There is an interesting contrast between these responses and those of SDC STAFF (question 18) who considered that the Swiss research community exercise a greater influence than SDC. It appears that each side believes that the other has a greater influence.

Table 45 - How are research priorities established? Research topics can be determined on the basis of demand by researchers for funding for their areas of inquiry, the setting of research policy and priorities by the research funder, and demand from end users. On the basis of the following scales, please indicate the extent to which different actors influence the priorities for SDC's research funding or programmes that are jointly funded by SDC and another research funder

Answer Options	No influence	Low influence	Moderate influence	Strong influence	Don't know	Response Count
SDC	0	4	13	34	0	51
Other research funding bodies (e.g. Swiss National Science Foundation)	1	7	26	15	3	52
The Swiss research community	1	16	23	10	1	51
Researchers in developing and transition countries	4	24	17	5	0	50
Governments of developing/transition countries	7	22	12	5	5	51
End users of research	8	24	12	4	3	51
Other stakeholders, private sector, NGOs etc.	2	17	19	5	6	49
					answered question	**52**
					skipped question	**5**

3.4 Results of Research

Question 18: For the main research activity you are involved with please indicate the extent of the impact against to the following possible objectives:

For this questions respondents were asked to rate responses on a four point scale (1=negligible impact, 2=small impact, 3=moderate impact, 4= strong impact). Impacts were perceived to be strongest in terms of institutional capacity building in developing and transition countries, high quality peer reviewed journals, and bringing about policy and technical change as well as contributing to the global knowledge on development research. The impacts were perceived to be limited in terms of the utilisation of research findings in developing and transition countries, and moderate in terms of the impact on SDC policy and operational decision making, as well as Swiss capacity to undertake development research.

Table 46 - For the main research activity you are involved with please indicate the extent of the impact against to the following possible objectives

1=no impact, 2=small impact, 3=moderate impact, 4= strong impact

Answer Options	No impact	Limited impact	Moderate impact	Strong impact	Not objective	Rating Average	Don't know	Response Count
Building capacity to do research in developing and transition countries	0	6	20	25	0	3.37	1	52
High quality peer reviewed research results published in academic journals	2	9	24	10	5	3.27	1	51
Research results that have been useful to developing or transition countries in bringing about policy or technical change	1	8	16	22	0	3.26	4	51
Building capacity to utilise research findings in developing and transition countries	0	9	21	19	2	3.20	1	52
Contribution to global knowledge on development issues	1	8	22	18	0	3.16	3	52
Building capacity to undertake development research in Switzerland	0	17	17	12	5	2.89	0	51
Research results that have been useful to SDC in policy and/or operational decision making	4	15	19	5	3	2.58	6	52
					answered question			**52**
					skipped question			**5**

3.5 SDC's management of the research programme

Question 19: Competition and procurement

Please indicate on a six point scale the extent to which you agree with the following statements

There was a general tendency to agree with the first three statements. Respondents indicated that they felt that their contracts were awarded on the basis of competitive procedures and that there was adequate publicity on funding opportunities. The agreement was less strong with the respect to SDC's communication on funding decisions. Opinion on the level of transparency and fairness in funding decision made by SDC was divided, with the average rating suggesting neither agreement or disagreement.

Table 47 - Competition and procurement Please indicate on a six point scale the extent to which you agree with the following statements

Answer Options	Rating Average	Don't know	Response Count
For the main research activity I am involved with that is funded by SDC (or partly funded by SDC under a North-South arrangement) I was awarded this work on the basis of a competitive procedure	4.90	0	52
There is adequate publicity on funding opportunities provided by SDC (or for programmes partly funded by SDC under a North-South arrangement)	4.31	0	52
Funding decisions made by SDC are communicated and explained in a prompt and businesslike manner	3.74	6	52
There is a high level of transparency and fairness in the funding decisions made by SDC	3.49	7	52
answered question			**52**
skipped question			**5**

Question 20: Monitoring of research

Please indicate on a six point scale the extent to which you agree with the following statements

Respondents indicated that SDC followed the results of the research projects through formal reporting requirement. There was a tendency to disagree with the proposition that SDC staff showed a strong interest in the progress and results of research projects. There was stronger disagreement with the notion that the results of research have been actively used by SDC in operations and policy discussions.

Table 48 - Monitoring of research Please indicate on a six point scale the extent to which you agree with the following statements

Answer Options	Rating Average	Don't know	Response Count
Tendency to agree with statement (mean > 3.50)			
SDC closely follows the progress and results of the research projects I am connected with on the basis of formal reporting requirements	4.12	0	52
Tendency to disagree with statement (mean < 3.5)			
SDC staff show a strong interest in the progress and results of the research projects I am connected with	3.44	0	52
I believe that the results of research projects I have been connected with have been actively used by SDC in operations and/or policy discussions	3.09	5	52
answered question			**52**
skipped question			**5**

How does SDC compare with other research funders?

Question 21: In relation to other bilateral and multilateral development agencies funding research that you are familiar with how does SDC compare in terms of:

For this questions respondents were asked to rate SDC's performance on a three point scale (1=below average, 2=about average, 3=above average). A score of 2 would indicate average performance.

The responses provided to this question underlined the importance Swiss researchers attach to capacity building in beneficiary countries as a key component of SDC funded research activities. SDC scored slightly above average in providing means for research capacity building and dealing with research recipients in a timely, predictable and businesslike manner. Monitoring the progress of research results was considered to be about average. In all other areas, SDC's performance was considered below average. The lowest scores were given for using research results (including making use of them, publicising and building on results). Respondents considered issues of grant management (such as tendering, publicising funding opportunities and being open to new ideas) to be just below average.

The proportion of respondents who did not feel they could answer this question was high for all options.

Table 49 - In relation to other bilateral and mulitlateral development agencies funding research that you are familiar with how does SDC compare in terms of

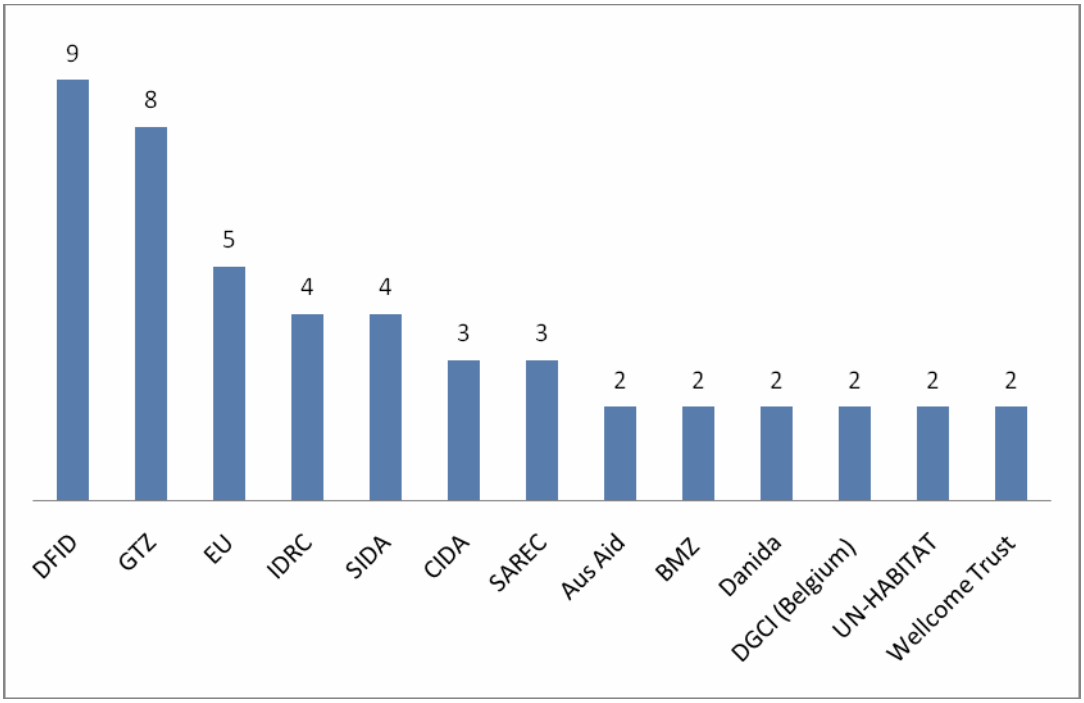
Answer Options	Rating Average	Don't know	Response Count
Above average performance (mean > 2.00)			
Providing means to build research capacity	2.06	17	49
Dealing with research recipients in a timely, predictable and businesslike manner	2.03	18	50
Monitoring the progress and results of the research project	2.00	17	50
Below average performance (mean < 2.00)			
Conducting fair and competitive tendering	1.97	20	49
Publicising and explaining funding opportunities	1.91	17	50
Flexibility and openness to funding innovative ideas	1.84	18	50
Continuity / Building on past results / achievements	1.78	23	50
Publicising research results	1.71	19	50
Making use of research results	1.69	20	49
answered question			**50**
skipped question			**7**

Question 22: Please name the other bilateral or multilateral development agencies you are comparing SDC to:

32 respondents provided information on other research funders they had received support from. A total of 31 different bodies were named.[4] The most frequent were DFID, GTZ and the EU.

Graph 1

Bodies funding development research at Swiss research institutes besides SDC



3.6 Research Partnerships with developing countries and countries in transition

Question 23: Is the main research topic you are involved with that is funded by SDC (or partly funded by SDC under a North-South arrangement) based on a research partnership with one or several institutions in a developing country or country in transition?

The overwhelming majority of respondents worked through research partnerships under the North-South arrangement. This largely reflects the nature of the sample, which included strong representation from North-South programmes.

[4] Aus Aid (2), BMGF, BMZ (2), CIDA (3), DAAD, Danida (2), DFG, DFID (9), DGCI Belgique (2), Dutch Cooperation, EU (5), Finida, France (MFA), GTZ (8), IDRC (4), KfW, NIH, NORAD, SAREC (3), SIDA (4), Spanish Bilateral Agency, STCP-CH-RU, UNDP, UN-HABITAT (2), USAID, WBI, Gates, Medicor, Nestlé, Wellcome Trust (2), World Bank

Table 50 - Is the main research topic you are involved with that is funded by SDC (or partly funded by SDC under a North-South arrangement) based on a research partnership with one or several institutions in a developing country or country in transition?

Answer Options	Response Percent	Response Count
Yes	96.1%	49
No	3.9%	2
answered question		**51**
skipped question		**6**

Question 24: For the main research partnership you are involved with please indicate when the partnership began (may be before the start of the present project)

Over half of partnerships started between 5 to 10 years ago. The remainder are older.

Table 51 - For the main research partnership you are involved with please indicate when the partnership began (may be before the start of the present project)

Answer Options	Response Percent	Response Count
0-5 years ago	28.6%	14
5-10 years ago	30.6%	15
10-15 years ago	20.4%	10
15-20 years ago	8.2%	4
More than 20 years ago	12.2%	6
Don't know	0.0%	0
answered question		**49**
skipped question		**8**

Question 25: For the main research partnership you are involved with please indicate what additional benefits have been gained by working in partnership as opposed to working as a single institution

For this question respondents were asked to rate the benefits on a four point scale (1=no tangible impact, 2=a limited impact, 3=moderate impact, 4= a significant impact).

Researchers felt that the partnerships had a strong and positive impact on all areas. The strongest impact was felt to be in the areas of capacity building among individual researchers. The impact was somewhat less strong in terms of contributing to high quality research results.

Table 52 - For the main research partnership you are involved with please indicate what additional benefits have been gained by working in partnership as opposed to working as a single institution

Answer Options	Rating Average	Don't know / Too early to tell	Response Count
Building research capacity in the partner country at the level of individual researchers	3.54	3	49
Building a lasting network of international connections	3.49	2	49
Ensuring greater use of the research findings in the partner country	3.37	3	49
Strengthening the capacity of the partner institution as a whole	3.21	2	49
Contributing to high quality research results	3.17	3	49
answered question			**49**
skipped question			**8**

Question 26: The Commission for Research Partnerships with Developing Countries (KFPE) has published 11 Principles for Research Partnership with Developing Countries. How well do you consider that the main SDC funded research partnership you have been involved with has measured against these principles:

For this questions respondents were asked to rate the extent to which the principles were followed on a five point scale (1=not followed, 2=to a limited extent, 3=some extent, 4= mainly adhered to, 5= fully adhered to).

Swiss researchers felt that the principle of information sharing, mutual trust and capacity building were most strongly adhered to. Profit and responsibility sharing were to some extent adhered to (although the knowledge among participants as to whether there was any profit sharing was relatively low). In the middle are areas of practical work such joint objective setting, monitoring and evaluation, dissemination of results and application of results.

Table 53 - The Commission for Research Partnerships with Developing Countries (KFPE) has published 11 Principles for Research Partnership with Developing Countries. How well do you consider that the main SDC funded research partnership you have been involved with has measured against these principles

Answer Options	Rating Average	Don't know	Response Count
3. Share information; develop networks - Is information shared regularly and equitably between all parties? Is the partnership helping to build international networks?	4.39	0	49
10. Increase research capacity - Has the partnership strengthened research capacity for all partners both on the individual and institutional level?	4.33	0	48
2. Build up mutual trust - Do all the partners know each other well enough, and do they trust each other? Do they understand their respective roles?	4.27	0	49
5. Create transparency - Are the mutually agreed financial and other contributions and the rights and duties of all partners recorded in writing and known to all parties?	4.21	1	49
7. Disseminate the results - Do all partners can take sufficient part in the dissemination of the results, including publication in international journals?	4.02	0	49
1. Decide on the objectives together - Did all the relevant actors and people who will be affected by the research participate in developing the theme of the research?	4.00	0	49
11. Build on the achievements - Are joint follow up activities planned after the end of the project? Is the partnership being supported on a long-term basis?	3.98	0	48
8. Apply the results - Are there concrete plans to use the results of the research for the benefit of the target group(s)?	3.81	0	48
6. Monitor and evaluate the collaboration - Is monitoring of the functioning of the partnership carried out, and in a transparent and balanced way including all partners?	3.72	2	49
4. Share responsibility - Do all partners share responsibility for scientific supervision and the administrative responsibility?	3.59	0	49
9. Share profits equitably - Have the rights of all partners been agreed in case the results prove to be of potential commercial value?	3.54	19	43
answered question			**49**
skipped question			**8**

Final observations

Swiss researchers' comments tend to centre on two issues, in particular: a) the interaction between research and SDC, and b) the importance of research within beneficiary countries. The responses also included a few concrete opinions on management issues.

A large number of researchers feel that the communication and exchange of ideas between researchers and SDC could be much better. Some felt that SDC had withdrawn from the development debate in Switzerland, thereby weakening the development effort in general.

A number of respondents wished for improved dialogue and follow-up between researchers and SDC, including dissemination of results within SDC. Some complained that their interlocutors are administrators rather than experts in the subject areas. Another pointed out

that there are too few experts on the subjects involved in decision making within SDC. Another pointed out that SDC staff in Cooperation Offices was much less able understand the nexus between research and policy making than officials in Bern. Another pointed out that SDC managers within SDC had a lukewarm attitude towards research. Some stated that SDC did not need a new research policy, but rather better guidelines and training for its staff to implement it.

Swiss researchers perceive a need to do more capacity building to do research in beneficiary countries. Partnerships are regarded as a particularly useful tool in this respect leading to sustainable and long-term capacity building prospects, not only for the individuals who are the immediate and direct beneficiaries, but also for the institutions as a whole. A number of researchers see the need for greater openness towards research demands from beneficiary countries and emerging issues. Some argue that institutions in beneficiary countries should receive more funding.

Swiss researchers regard capacity building for research as a concrete and direct contribution to development that they often feel is not recognised by SDC who perceive research as a purely academic undertaking. Proponents of this view point to the importance of high quality tertiary education in beneficiary countries for long-term development success, and believe that institutional capacity building provides a very real development benefit, a process they see themselves as supporting through the research projects.

Some respondents complained that SDC was increasingly requiring them to work in a service delivery mode in the framework of projects with rigid logframes. Some fear that such a tendency will reduce the possibility to produce meaningful research results that will lead to innovation. Others believe that integration of research into projects leads to stronger ownership of the research results within SDC, which they see as desirable.

Respondents from Fachhochschulen felt that SDC needed different funding approaches to take into account the differences in general funding structures between universities and Fachhochschulen.

4. Results of the Questionnaire for researchers in developing and transition countries receiving SDC research funds

4.1 Respondents

Question 1: Where do you work?

The majority of respondents worked within a university. Nearly a quarter worked in national or international research institutes.

Table 54 - Where do you work?

Answer Options	Response Percent	Response Count
A University	59.2%	29
International research centre	12.2%	6
National research institute	10.2%	5
Other	10.2%	5
Local NGO	4.1%	2
Local branch of international NGO	2.0%	1
Consultancy	2.0%	1
answered question		**49**
skipped question		**1**

Question 2: Please indicate your gender

Men accounted for two-thirds of respondents.

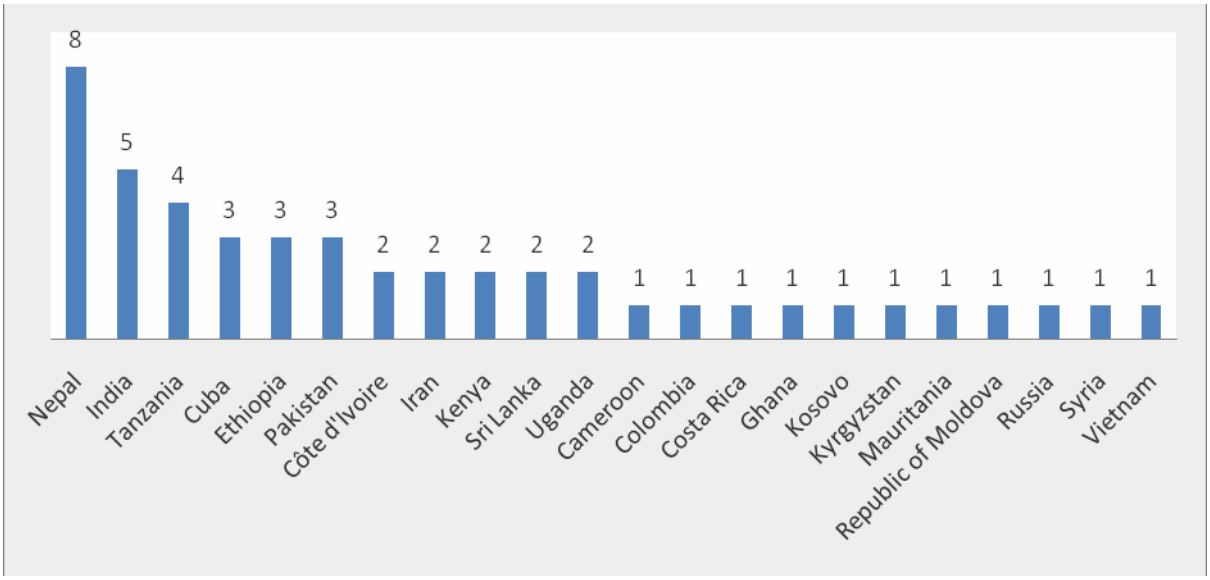
Table 55 - Please indicate your gender

Answer Options	Response Percent	Response Count
Male	69.4%	34
Female	30.6%	15
answered question		**49**
skipped question		**1**

Question 3: Please indicate your country

47 respondents provided information on their country of residence indicating that responses came from 22 countries. The highest number of respondents came from Nepal (8) and India (5).

Graph 2: Respondents' Countries



Questions 4: Which of the following does your job cover? Select as many as apply

Over half of respondents were engaged in applied research, while over a third worked on questions of basic research. Half also had some teaching responsibilities.[5]

Table 56 - Which of the following does your job cover? Select as many as apply

Answer Options	Response Percent	Response Count
Applied research	63.3%	31
Teaching research skills to students/ other research capacity building	51.0%	25
Managing joint research programmes with partner organisations internationally	44.9%	22
Basic research	34.7%	17
Management of research funding and programmes	32.7%	16
Other (please specify)	26.5%	13
answered question		**49**
skipped question		**1**

Question 5: In what field of research do you work? Select as many as apply

Nearly half worked in social science. Over 40 percent worked on environmental issues and agriculture. The ranking of importance of the various subjects correspondents broadly to the areas of work Swiss researchers are engaged in. The exceptions are that a larger proportion of respondents from beneficiary countries worked in health, and fewer in engineering and economics (see table 33).

[5] Other activities included consultancy (including extension services), external relations work, research/policy dialogues (research platform, interaction research programmes), industrial projects, and administrative work.

Table 57 - In what field of research do you work? Select as many as apply

Answer Options	Response Percent	Response Count
Social science	49.0%	24
Environmental/ earth science	42.9%	21
Agriculture	40.8%	20
Health	16.3%	8
Engineering	14.3%	7
Other	10.2%	5
Economics	8.2%	4
answered question		**49**
skipped question		**1**

Question 6: How much of your working time is devoted to research activities that are funded by SDC or funded by SDC under a North-South partnership?

The responses given on to the amount of time spent by researchers in developing and transition countries on SDC funded research activities underlined the importance of SDC's support for these institutions. Most respondents spent between 20 to 60% of their working time on SDC funded activities, under a fifth even between 60 to over 80%. SDC funded work constitutes a larger proportion of the overall responsibilities for researchers in developing and transition countries than it does for their Swiss counterparts (see table 34).

Table 58 - How much of your working time is devoted to research activities that are funded by SDC or funded by SDC under a North-South partnership ?

Answer Options	Response Percent	Response Count
Less than 20%	28.6%	14
20-40%	26.5%	13
40-60%	26.5%	13
60-80%	8.2%	4
More than 80%	10.2%	5
answered question		**49**
skipped question		**1**

Question 7: For how many years have you been involved with research?

Researchers in developing and transition countries are generally more junior than their Swiss counterparts. Nearly half of all researchers from developing and transition countries who responded to this questionnaire have spent 5 or less years involved with research. Only a third had more than 10 years of experience in working on research. By comparison, over 60% of their Swiss partners had over 10 years of experience with research. These differences in experience underline the important capacity building function assumed by Swiss researchers in this partnership (see table 35).

Table 59 - For how many years have you been involved with research?

Answer Options	Response Percent	Response Count
0-5 years	49.0%	24
5-10 years	16.3%	8
10-15 years	6.1%	3
15-20 years	16.3%	8
More than 20 years	12.2%	6
answered question		**49**
skipped question		**1**

Question 8: Please indicate how much research funding your organisation receives each year from SDC or from a programme that is funded by SDC under a North-South partnership?Over half of the institutions in the beneficiary countries received less than 25,000 USD per year. A quarter ireceived up to 100,000 USD. It is rare for institutions in the developing countries to receive over a 100,000 USD per year.

Table 60 - Please indicate how much research funding your organisation receives each year from SDC or from a programme that is funded by SDC under a North-South partnership?

Answer Options	Response Percent	Response Count
Less than USD 25'000 per year	55.0%	22
USD 25'000-50'000 per year	20.0%	8
USD 50'000-100'000 per year	10.0%	4
USD 100'000-150'000 per year	2.5%	1
USD 150'000-200'000 per year	5.0%	2
More than USD 200'000 per year	7.5%	3
answered question		**40**
skipped question		**10**

Question 9: Please indicate the extent to which the research activities under your personal responsibility are funded by SDC (directly or under a North-South partnership) and other sources:

Nearly half of respondents state that SDC funding accounts for less than 20% of their research activities. A quarter claim that SDC amounts to 20-24% of funding. Few say that SDC funding covers 60 or more % of their research activities. Other funders are important contributors to research activities in beneficiary countries.

Table 61 - Please indicate the extent to which the research activities under your personal responsibility are funded by SDC (directly or under a North-South partnership) and other sources

Answer Options	Less than 20% of	20-40%	40-60%	60-80%	More than 80%	Rating Average	Response Count
SDC funds	18	10	6	2	5	2.17	41
Funds from your own university or research institution or the government in your country	15	8	4	2	2	1.97	31
Funds from other international or bilateral donors	15	5	4	3	2	2.03	29
Other	7	0	2	2	1	2.17	12
					answered question		**45**
					skipped question		**5**

4.2 The value and objectives of research

Question 10: In your area of expertise, which should be the three main priorities for research funded by SDC or funded by SDC under a North-South partnership? Select up to three

Respondents from beneficiary countries express a clear desire that SDC funding ought to be directed towards issues and concerns of direct relevance to their countries. Over half believe that SDC should fund topics identified by researchers in developing and transition countries of applied research intended to be of use to the country or SDC operation. Just under half see a need for SDC funding for capacity building to do research in their countries. Training and scholarships for students in beneficiary countries are also regarded as important by over 40%.

Researchers from developing countries are least interested in research work that primarily benefits either SDC or Switzerland's ability to engage in debates or to do research on development issues.

SDC staff as well as researchers from Switzerland and beneficiary countries agreed that the main priority for SDC funding for development research should be for applied research intended to be of use in developing and transition countries and on capacity building to do research in beneficiary countries (see tables 23 and 38). Swiss and their partner researchers from developing and transition countries also agree that this should involve researchers from beneficiary countries more in the process of topic identification (see table 38).

Table 62 - In your area of expertise, which should be the three main priorities for research funded by SDC or funded by SDC under a North-South partnership? Select up to three

Answer Options	Response Percent	Response Count
Research topics defined by researchers in developing or transition countries	58.3%	28
Applied research of intended to be of use to a specific developing or transition country/region or to improve SDC operations	52.1%	25
Building capacity to DO research in developing or transition countries	47.9%	23
Scholarships and training for students undertaking research work	43.8%	21
Building capacity to USE research in developing or transition countries	35.4%	17
High quality "basic" research resulting in publication in peer reviewed journals contributing to global knowledge	27.1%	13
Research topics defined by development researchers in Swiss research institutions	16.7%	8
To enable Switzerland to engage more effectively in global debates on development	10.4%	5
To ensure a proper balance of funding between different research centres	8.3%	4
Strengthening the capacity of Swiss research institutions to engage in development research	6.3%	3
Analysis and advice to SDC in the form of "back-stopping" mandates	4.2%	2
Commissioned research where the subject is defined by SDC	2.1%	1
answered question		**48**
skipped question		**2**

4.3 Relevance of SDC research

Question 11: How are research priorities established?

Research topics can be determined on the basis of demand by researchers for funding for their areas of inquiry, the setting of research policy and priorities by the research funder, and demand from end users. On the basis of the following scales, please indicate the extent to which different actors influence the priorities for SDC's research funding or programmes that are jointly funded by SDC and another research funder.

Respondents from developing and transition countries felt that the Swiss research community and end-users exercise the strongest influence in the process of research topic identification. They see their own role and SDC's as well as other stakeholders as moderately influential. Governments in their own country are believed to influence the process the least.

Respondents from developing and transition countries thus perceive their own role as slightly more important than how Swiss researchers and SDC staff see it (who rated their influence as low). However, all respondents agree that the role of researchers in beneficiary countries

is moderate at best, and Swiss and their partner researchers agree that their role ought to be enhanced.

Table 63 – How are research priorities established? Research topics can be determined on the basis of demand by researchers for funding for their areas of inquiry, the setting of research policy and priorities by the research funder, and demand from end users. On the basis of the following scales, please indicate the extent to which different actors influence the priorities for SDC's research funding or programmes that are jointly funded by SDC and another research funder

Answer Options	No influence	Low influence	Moderate influence	Strong influence	Don't know	Response Count
SDC	1	6	16	10	7	40
The Swiss research community	1	8	12	18	4	43
Researchers in your country / region	1	11	16	11	1	40
Government in your country / region	10	10	7	9	5	41
End users of research	5	8	8	12	8	41
Other stakeholders, private sector, NGOs etc.	5	8	13	6	11	43
				answered question		**45**
				skipped question		**5**

4.4 Results of Research

Question 12: For the main research activity you are involved with please indicate the extent of the impact against to the following possible objectives:

For this questions respondents were asked to rate responses on a four point scale (1=negligible impact, 2=small impact, 3=moderate impact, 4= strong impact). Researchers from developing and transition countries perceive the impacts to be strongest in areas of capacity building and for policy and technical changes in their countries, as well as in contributions to the global knowledge on issues. The lowest impact is seen for Swiss institutional development and SDC policy and operational decision making.

Table 64 – For the main research activity you are involved with please indicate the extent of the impact against to the following possible objectives

Answer Options	Rating Average	Not an objective	Don't know	Response Count
Building capacity to do research in your country / region	3.40	0	4	46
Research results that have been useful in your country / region in bringing about policy or technical change	3.38	0	9	46
Contribution to global knowledge on development issues	3.37	2	6	46
High quality peer reviewed research results published in academic journals	3.21	0	10	44
Building capacity to utilise research findings in your country / region	3.15	0	5	45
Research results that have been useful to SDC in policy and/or operational decision making	2.95	3	22	45
Building capacity to undertake development research in Switzerland	2.90	2	11	43
			answered question	**46**
			skipped question	**4**

4.5 Research partnerships with developing countries and countries in transition

Question 13: Is the main research topic you are involved with that is funded by SDC (or partly funded by SDC under a North-South arrangement) based on a research partnership with one or several institutions in a developing country or country in transition?

Over 80% of respondents were involved in a research partnership.

Table 65 –Is the main research topic you are involved with that is funded by SDC (or partly funded by SDC under a North-South arrangement) based on a research partnership with one or several institutions in a developing country or country in transition?

Answer Options	Response Percent	Response Count
Yes	83.0%	39
No	17.0%	8
	answered question	**47**
	skipped question	**3**

Question 14: For the main research partnership you are involved with please indicate when the partnership began (may be before the start of the present project).

Cooperation between Swiss and local partners has been a relatively recent development (of less then five years ago) for over 60% of respondents. For nearly a quarter of respondents the partnership was between 5 and 10 years old. A minority (12.8%) had worked in the partnership for more than 20 years.

Table 66 – For the main research partnership you are involved with please indicate when the partnership began (may be before the start of the present project)

Answer Options	Response Percent	Response Count
0-5 years ago	59.0%	23
5-10 years ago	23.1%	9
10-15 years ago	0.0%	0
15-20 years ago	5.1%	2
More than 20 years ago	12.8%	5
Don't know	0.0%	0
answered question		**39**
skipped question		**11**

Question 15: For the main SDC funded research partnership you are involved with please indicate which programme you are a member of.

Over half of respondents took part in the NCCR North-South Programme managed by the University of Bern. Around 10% were members of the research partnership with developing countries managed by the Swiss National Science Foundation and SDC, the ETHZ North South Centre, and the EPFL fonds. This largely reflects the sample of email addresses, which was used to send out invitations to participate in the survey.

Table 67 – For the main SDC funded research partnership you are involved with please indicate which programme you are a member of

Answer Options	Response Percent	Response Count
NCCR North-South Programme managed by the University of Bern, Centre for Development and Environment	51.3%	20
Research Partnerships with Developing Countries managed by the Swiss National Science Foundation and SDC	12.8%	5
The ETHZ North South Centre managed by the Swiss Federal Institute of Technology Zürich	10.3%	4
The EPFL fonds managed by the Ecole Polytechnique Fédéral de Lausanne	10.3%	4
Research partnership with the Swiss Universities of Applied Sciences	0.0%	0
SCOPES	0.0%	0
ESTROM	0.0%	0
Echanges universitaires	2.6%	1
Jeunes chercheurs	0.0%	0
Other	5.1%	2
Don't know	7.7%	3
answered question		**39**
skipped question		**11**

Question 16: For the main research partnership you are involved with please indicate what additional benefits have been gained by working in partnership as opposed to working as a single institution

For this questions respondents were asked to rate responses on a four point scale (1=no tangible impact, 2=small impact, 3=moderate impact, 4=strong impact). The observed ratings between 3.17 to 3.41 suggest a moderate to strong impact on all areas. Researchers from developing countries perceive the impacts to be strongest in terms of the quality of the research results.

Table 63 – For the main research partnership you are involved with please indicate what additional benefits have been gained by working in partnership as opposed to working as a single institution

Answer Options	No impact	Small impact	Moderate impact	Strong impact	Don't know	Rating Average	Response Count
Contributing to high quality research results	1	5	7	21	5	3.41	39
Ensuring greater use of the research findings in the partner country	1	6	12	14	5	3.18	38
Building a lasting network of international connections	2	3	10	19	5	3.35	39
Building research capacity in the partner country at the level of individual researchers	2	6	8	18	4	3.24	38
Strengthening the capacity of the partner institution as a whole	4	2	13	16	4	3.17	39
					answered question		**39**
					skipped question		**11**

Question 17: The Commission for Research Partnerships with Developing Countries (KFPE) has published 11 Principles for Research Partnership with Developing Countries. How well do you consider that the main SDC funded research partnership you have been involved with has measured against these principles:

For this questions respondents were asked to rate the extent to which the principles were followed on a five point scale (1=not followed, 2=to a limited extent, 3=some extent, 4= mainly adhered to, 5= fully adhered to).

Researchers from the partner countries and Swiss share the general assessment that the principles on capacity building, information sharing and building of trust were most strongly

adhered to (although the rating was somewhat lower from partners than among the Swiss researchers 4.16 compared to 4.39, 4.14 compared to 4.33, 4.00, compared to 4.27).

There is also agreement that profit sharing is the least strongly respected principle.

Table 69 – The Commission for Research Partnerships with Developing Countries (KFPE) has published 11 Principles for Research Partnership with Developing Countries. How well do you consider that the main SDC funded research partnership you have been involved with has measured against these principles

Answer Options	Rating Average	Don't know	Response Count
10. Increase research capacity - Has the partnership strengthened research capacity for all partners both on the individual and institutional level?	4.16	0	37
3. Share information; develop networks - Is information shared regularly and equitably between all parties? Is the partnership helping to build international networks?	4.14	1	37
2. Build up mutual trust - Do all the partners know each other well enough, and do they trust each other? Do they understand their respective roles?	4.00	0	37
7. Disseminate the results - Do all partners can take sufficient part in the dissemination of the results, including publication in international journals?	4.00	1	37
8. Apply the results - Are there concrete plans to use the results of the research for the benefit of the target group(s)?	3.97	2	37
11. Build on the achievements - Are joint follow up activities planned after the end of the project? Is the partnership being supported on a long-term basis?	3.94	2	36
5. Create transparency - Are the mutually agreed financial and other contributions and the rights and duties of all partners recorded in writing and known to all parties?	3.89	1	37
4. Share responsibility - Do all partners share responsibility for scientific supervision and the administrative responsibility?	3.86	0	36
1. Decide on the objectives together - Did all the relevant actors and people who will be affected by the research participate in developing the theme of the research?	3.78	0	36
6. Monitor and evaluate the collaboration - Is monitoring of the functioning of the partnership carried out, and in a transparent and balanced way including all partners?	3.76	0	37
9. Share profits equitably - Have the rights of all partners been agreed in case the results prove to be of potential commercial value?	3.48	8	35
answered question			**37**
skipped question			**13**

Question 18: Final observations

Respondents from beneficiary countries made many positive comments about SDC's research funding. There was particular emphasisonthe benefits derived from working in partnership with top scientists in their field from Switzerland and the associated learning process of the experience.

A number of respondents expressed the desire for more involvement of researchers from beneficiary countries in the conception and planning phases of the projects.

Some respondents felt that the partnership programmes should be communicated better as they were little known.

Annex 8 - Reports on the case studies

Summary of main findings

1. The 14 case studies provide insight into how SDC supported research projects are perceived predominantly from the Southern and Eastern participants' point of view.

2. The sample was selected to reflect SDC's primary funding instruments, and the experience in Peru, Nepal and Tanzania. The method and sample are described in the following sections.

3. Overall 11 of the projects can be viewed as unequivocal successes in relation to the objectives set for the projects. Two of the less successful were funded primarily for reasons of politics or prestige.

4. Seven of the projects were not designed to produce direct results for SDC, but two were funded in the hope (unsuccessful so far) that they might indicate areas for future SDC programme activity, and one (migration) is in an area which has recently come onto SDC's agenda. The vegetable project in Nepal, and the health projects in Tanzania were regarded by the COOF as particularly valuable to their operational programmes.

5. The role of Country Coordination offices in supporting research is highly variable. In some, such as Peru with CIP and Tanzania with Ifakara, there are strong links with the research, even if the research has no direct inputs to operational programmes. But in the co-ordination office is often uninvolved in some projects and on occasions unaware of the research. This is so for the north-south partnerships, and in the case of the SCOPES programmes SDC is not involved in the operational management or selection of the projects at all.

6. The Country co-ordination offices were frequently sceptical about the value of the research that was funded (particularly if driven from the head office in Bern), but at least one office reported that it had not yet undertaken an assessment of what research they were likely to need in future to contribute to the implementation of their country strategies. Research that formed a small part of SDC's operational programmes was highly valued (in Nepal), and where it was related to the PRSP (Tanzania).

7. Many of the projects were part of much larger research activities of the researchers involved, and in a number of cases, particularly with SCOPES, the Swiss partner was expected to contribute substantially from their own funds.

8. Gender was rarely address seriously in the cases examined, although in the potato research centre gender was recently been given a significantly higher profile. ICIMOD also has gendered dimension to its work.

9. The cases frequently showed involvement with the private sector. This was particularly so with at the Potato research centre and the vegetable project in Nepal.

10. All projects report outcomes, but not in a particularly systematic way. However the projects supported by the national science foundation in the SCOPES programme did have a systematic way of recording outputs, impacts and the quality of the partnership. This may be a useful model for SDC. The projects at the potato research centre had an explicit model of change and adopted a full blown "innovation systems" approach to research support.

Methodology

11. This work stream examined fourteen cases illustrating how particular instruments work in practice. The sample selection was based initially on the choice of four countries. These were selected on the basis of regional spread of SDC activity and countries in which The Policy Practice has an established network of research-related contacts. The countries which have been selected were Tanzania, Nepal, Peru and Serbia.

12. The case studies were then selected within these countries on the basis on an analysis of different types of funding instruments, types of research and different sectors. The focus of the case studies is at the level of "instruments" / programmes and the case studies were selected to provide insights into how these instruments operate in practice. For this reason some case study projects were selected from within the larger programmes, including the NCCR North-South Programme, the SDC-SNF Research Partnerships for Developing Countries Programme, the programme of the ETHZ NS centre and the EPFL cooperation as well as research mandates.

13. A local consultant was engaged in each country and they provided short case studies on the basis of an analysis of the documentation and key informant interviews. In the case of Serbia the case study was conducted a member of the core team by phone / e-mail). In order to balance the sample one case was carried out by the team on the basis of documentation and telephone interviews, and two on the basis of interviews in Switzerland.

14. The case studies were guided by a template prepared by the team and are intended to provide illustrative material on the types of research activity supported by SDC, to gain insights into the purpose of different instruments, to identify lessons learned from successes and failures, and the requirements on the part of SDC to manage these instruments well.

15. In the case of the country case studies, the case study documents were circulated to the COOF to check for errors, and in most case where possible the case studies were checked by at least one key informant.

The sample:

	Project name/country	**Sector**	**Partner(s)**
	RESEARCH CONTRIBUTIONS (BEITRÄGE)		
	Research contribution to an international research centre		
1	Papa Andina: Regional cooperation in the potato sector: *PERU*	Agricultural economics	CIP, member of CGIAR
2	ICIMOD - International Centre for Integrated Mountain Development *NEPAL*	Agriculture, forestry	ICIMOD, international organization
	NCCR NS Centre projects		
3	Strengthening Resilience to Urban Environmental Health Risks through Improved Management of Human Waste in Unplanned Urban Settlements in Dodoma *TANZANIA*	Water and Sanitation	Ifakara EAWAG/ SANDEC STI JACS East Africa
4	International labour migration and rural livelihoods *NEPAL*	Labour migration	
	KFH Förderung von Forschungspartnerschaften der Fachhochschulen		
5	Community-Based Natural Resource Management: The Role Of Communities, *TANZANIA*	Natural Resource Management	HES-SO, EIL, Ecole d'ingénieurs de Lullier Sokoine University of Agriculture
	SNF research partnerships		
6	Understanding and improving malaria diagnosis in health facilities in Dar es Salaam *TANZANIA*	Health	Swiss Tropical Institute Dar es Salaam, City Medical Office
	SCOPES		
7	Transition to adulthood and collective experiences in former Yugoslavia (TRACES) *SERBIA* and *CROATIA*	Sociology psychology	University of Lausanne, University of Belgrade University of Zadar, University of Zagreb
8	Bioencapsulation for protection and development of new probiotic bacteria in food and health products *SERBIA*	Food technology/ biochemistry	ETH Zürich, University of Belgrade
	ETHZ North-South Centre		
9	Improved feeding systems for smallholder dairy cattle with emphasis on dry season feeding and its effect on milk production *PERU* and *NICARAGUA*	Livestock	ETHZ, Agroscope, SHL, Intercooperation, Universidad de Molina, EVITA; INIEA

	Project name/country	**Sector**	**Partner(s)**
	RESEARCH CONTRIBUTIONS (BEITRÄGE)		
	Research contribution to an international research centre		
	SDC RESEARCH COMMISSIONS (AUFTRÄGE, MANDATS)		
10	IUED Economic effects of ODA *SWITZERLAND*	Economics	IHEID
11	EANETT: Eastern Africa Network for Trypanosomiasis *SWITZERLAND*	Health	Swiss Tropical Institute Basel
12	Vegetable Seed Project. *NEPAL*	Agriculture, forestry, food crop production, agricultural research	Centre for Environment and Agricultural Policy, Research, Extension and Development (CEAPRED)
13	INCOPA - Innovation & Competitiveness of Peruvian Potat**o** *PERU*	Agricultural economics	International Potato Center (CIP), Member of CGIAR
14	Rule of Law and Decentralisation in Multicultural Societies *SWITZERLAND*	Good governance	IFF/IRCC University of Fribourg

Annex 8 – Case Study 1

Contribution to international research centre. Papa Andina: Regional cooperation in the potato sector.

The International Potato Center

Case study by Carlos de la Torre and Rebecca Clements October 2009

The views expressed in this document represent the view of the author alone, and do not necessarily represent the views of SDC or of any of the people or organisations named.

1 Brief description of the activity

Papa Andina is an umbrella organization aimed at developing capacity for innovation amongst a group of important actors (state institutions, farmers' associations, NGOs and private enterprises) that are involved in the production and consumption of potatoes in three Latin American countries: Bolivia, Ecuador and Peru. This project is led by the International Potato Center (IPC), with the majority of its financing from the Swiss agency SDC. The project has also secured financial support from the UK Department for International Development (DFID) and the New Zealand Government.

The Papa Andina project is leading an important paradigm shift in its countries of operation by promoting new ideas about the relationship between scientific research and local development. The new approach proposes to improve the efficiency of technical assistance in the Andean countries through the implementation of mutual learning processes. This is being achieved by responding to production and market demands, while also looking for opportunities for rural farmers with lower incomes. This has involved driving the formation of two kinds of platforms for collaboration. The first is based on alliances between state institutions and private enterprises for capacity building, and the second on alliances between farmers for the development of market opportunities.

The type of research being promoted by the Papas Andinas project can be described as applied and interdisciplinary. It is important to highlight some significant achievements resulting from the formulation of participatory approaches and methodologies for interaction between different actors, which have been developed by this project. These are: the participatory market chain approach – PMCA (Thiele and Bernet, 2005); methodologies for developing institutional platforms (INIAP, 2005); methodologies for linking technology supplies and demands (Bentley, et. al., 2004); and the "horizontal evaluation", method for reviewing and improving on-going work (Devaux, et. al. , 2005). A number of articles written on these approaches and methodologies have been published in international journals. This is an indicator of the caliber of these intellectual products.

The Papa Andina project activities have been developed with the support of three organizations that have assumed the role of local grassroots partner in their respective countries- INIAP in Ecuador, the PROINPA Foundation in Bolivia and the INCOPA project in Peru. The first of these is a state agency and the other two are private institutions operating with close connections to state agencies working in agricultural development. These three organizations fulfill the role of "strategic national partners", through which capacity building, information exchange and collaborative learning are promoted. Each of these organizations is linked to other organizations known as "operative partners" that number around 30 in each country. Via collaboration with these groups of strategic and operational organizations, Papa Andina project activities are able to reach a large number of farmers ("Papa Andina: Innovación para el desarrollo de los Andes, 2002 – 2006". CIP 2006, p. 7).

The project was initiated in 1998 and has developed in three phases. The first from 1998 to 2001, the second from 2002 to 2006 and the third phase, still underway, runs from 2006 to 2010. Mid-way through the project, in 2005, an external evaluation of the project was undertaken which led to some significant changes- no to the general project approach but with regards to management, operational priorities and impact assessment. ("Papa Andina: Resultados de un proceso de reflexión y evaluación". Douglas Horton y Marisela Benavides. Lima, Octubre 2005).

2. Origins of the activity

Since the 1980s, SDC has been financing agricultural development projects under a signed agreement with the IPC with the aim of strengthening activities of national agricultural research institutes and potato programme sin Bolivia, Ecuador and Peru. These projects, which proceeded Papa Andina, include SEINPA and PROMESPA in Peru– two projects aimed at improving the quality and supply of potato seeds at a national scale. (Manrique, Kurt. MINAG. 1999). Since this time, cooperation has improved between the ICP and state agencies operating in the agricultural sectors in the three countries. This indicates positive interactive relationships between professionals working in state agencies, agricultural producers and ICP researchers.

The author of the draft proposal for the Papa Andina project was a member of staff at the IPC. During the interview, this member of staff acknowledged that during initial and later stages, the design of the project benefitted from valuable contributions from a number of professionals including Graham Thiele, Douglas Horton, Thomas Bernet, Gastón López, Miguel Ordinola, Ivan Reinoso, Claudio Velasco, and Kurt Manrique. The influence of the International Service for National Agricultural Research (ISNAR) project "New Paradigm", also financed by SDC (de Souza et al 2001), is also acknowledged: "The project has been developing an innovative approach for research Management and strengthening market chains" (Cita de Horton y Benavides, Op cit, 2005, p. 15). As for SDC, the Peru National Programme Officer also played an active role during the design and evaluation stages of this project. SDC policy stipulates that in addition to financial management, participation in project formulation processes is a key component of SDC's support role to research activities.

In terms of project selection and approval by SDC, no form of open bidding process was required in the case of the Papa Andina project. This project was formulated with technical assistance from SDC in Peru and then approved by the SDC headquarters in Bern, Switzerland under an agreement between SDC and CGIAR (Consultative Group on International Agricultural Research). The two institutions have been collaborating for a number of decades at an international level.

3. Approach to the research

The project proposal contains a Logical Framework consisting of objectives and anticipated results realign to each phase of project execution. As a good indicator of the flexibility in the design of the project, it is worth noting that changes were made to the log frame after an evaluation undertaken at the end of the second phase in 2005, which is detailed below:

For the third phase of the project, currently underway, the main objective of the project has been formulated in the following manner, "To contribute to improving potato food and agriculture systems in Bolivia, Ecuador and Peru, improving food security, poverty reduction and sustainable use of natural resources and promoting equal opportunities between women and men." In comparison to the objective defined for the second phase of work, the verb "contribute" and also the phrase "promoting equal opportunities between women and men" have been added. These new elements indicate that it was necessary to specify the role of

the umbrella organization in the Papa Andina project and also place greater emphasis on gender issues.

In a similar way, the purpose of the project in the third phase is expressed as, "To improve the capacity amongst partners to formulate innovative responses to demands from food and agriculture systems based on potatoes and its respective market chains, and to strengthen regional mechanisms for collaboration." In comparison to the purpose defined for the second phase, it is possible to see that in the third phase emphasis has been placed building the capacity of partners to come up with innovative responses to demands "from food and agriculture systems based on potatoes and its respective market chains", rather than simply referring to "demands of the food and agriculture market chain". This change implies that more emphasis has been placed on the need for a broader approach to production within the entire institutional system.

The expected results of the third phase are:

- Capacity strengthened within partner organizations in knowledge management for the promotion of collective learning in a regional context
- Capacity strengthened within partner organizations in relation to generating and implementing approaches and methodologies that link research with market chain development and which contribute to political influencing
- Capacity strengthened within partner organizations with regard to improving the competitively and wellbeing of farmers while promoting gender equity

By comparing these results with those defined in the second phase as "specific objectives", two main changes stand out:

- One of the former objectives has been left out. This objective was "to construct and implement a regional agenda for the development of potato food and agriculture systems". As the project developed, the existence of diverse arrangements between the Andean countries and different research demands relating to potatoes emerged. This made formulating a technological research agenda that would unite and complement research efforts in the three countries unviable. The Papa Andina project was therefore steered in a different direction toward "the development of a new emphasis in social learning and collective knowledge generation" (Engel, 2005 y de Souza) (Cita de Horton y Benavides, Op cit, 2005, p. 19).
- The second anticipated result is more precise that the specific objective relating to the first phase of work and expresses a more specific targeting of the project approach. Instead of only "strengthening the capacity of strategic partners to establish and maintain alliances", the current result places greater emphasis on the need to "link research with the development of market chains".

The gender approach occupies an important position in the activities promoted by the Papa Andina project, in light of recommendations make in the 2005 evaluation. Amongst the following strategic lines of action, gender features in second place:

- Strategic line of action 1: Sustainable agricultural systems linked to the market
- Strategic line of action 2: Capacity building in relation to gender
- Strategic line of action 3: Impact focus
- Strategic line of action 4: Sustainable market linkages (corporate social responsibility in market chains)
- Strategic line of action 5: Collective learning to stimulate innovation in the potato market chain, exchange of experiences and the promotion of developed approaches
- Strategic line of action g: Public and political advocacy

4. The nature of the research partnership

The Papa Andina project has established alliances with "strategic partners" in each country. The representatives of these three organizations participate in annual strategic planning of Papa Andina and also lead and coordinate project activities within their respective countries. These strategic partners are: The Foundation for the Promotion and Research of Andean Produce (PROINPA) in Bolivia; The Fortipapa Project of the Independent National Institute for Agricultural Research (INIAP) in Ecuador; and the INCOPA project executes by the International Potato Centre (IPC) in Peru.

The institutions have an established status as science and technology organizations in their countries. The Foundation PROINPA is a private entity and carries out activities on behalf of the state agency SIBTA (Bolivian System for Agricultural Technology). PROINPA promotes the conservation and dissemination of a diverse range of Andean crops, such as quinua (grain-like crop), peanuts, tomatoes and potatoes. The project activities of the Papa Andina carried out by PROINPA are undertaken with the support of the project INNOCA, financed by the UK Department for International Development. With regards to Fortipapa, the project belongs to the potato programme of INIAP, a state agency that carries out research and technology transfer in relation to the cultivation of produce in Ecuador. The INCOPA project is part of the work of the IPC and was created as a sub-project to Papa Andina with the aim of compensating for institutional weakness in the Peruvian public sector in the wake of the dismantling of the National Institute for Agricultural Research and Promotion (INIPA) in 1987) (Risi, Juan, MINAG. 1999).

Each "strategic partner" brings together in its country a range of state and private entities which are called "operational partners". The public sector operational partners are national or local level entities linked with universities and international development agencies that support research and development. The private operational partners are companies dedicated to the transformation and commercialization of the potato, NGOs, universities, gastronomy institutes and others. Through collaboration with strategic and operational partners, the Papa Andina project supports farmers' associations in a large number of rural communities in the three countries. It is estimated that the total number of beneficiaries has reached around 4,400 potato farmers ("Papa Andina: Innovación para el desarrollo en los Andes, 2002 – 2006". p.24).

Through this extensive process of interaction between organizations, demands are generated for technological, commercial and institutional research. These demands are received by the professionals working on Project Andina and their strategic partners who identify the necessary resources and organize the research processes. A number of these demands have been channelled toward the Research Divisions that make up part of the IPC.

The divisions that have been closely linked to the work of Papa Andina are Division 3 (Germplasm enhancement and crop improvement) and Division 4 (Crop Management).

5. Contractual, management and reporting arrangements

Papa Andina is a "Partnership Program" coordinated by the International Potato Center (CIP) and funded by SDC and others donors (DFID and New Zeland government). The budget management is the responsibility of the ICP which regularly submits narrative and financial reports to the SDC headquarters in Switzerland. Before being sent these reports are reviewed and approved by a member of staff from the SDC office in Peru.

6. Research results

The important process of interaction between institutions that has been driven by the Papa Andina project has led to the generation of some significant intellectual and innovative technological, commercial and institutional products in each of the three countries:

Documents

The list of published documents, articles in specialist journals and presentations at events is extensive and total 54. (Informe anual 2007 – 2008, p. 68). The most recent publications are:

- "Collective action for innovation and small farmer market access: the Papa Andina experience". Devaux, A. and other authors. CAPRI Working Paper 68. 2007.
- "Horizontal evaluation – Fostering knowledge sharing and program improvement within a network". Thiele, T. and other authors. American Journal of Evaluation 28. 2007.
- "The participatory market chain approach: stimulating pro-poor market chain innovation". Bernet, T. and other authors. ILAC Brief 21, ILAC – CGIAR. 2008.
- "Facilitating pro-poor market chain innovation: an assessment of the participatory market chain approach in Uganda". Horton, D. CIP Working Papers N.2008-1. 2008.
- "Collective action for market chain innovation in the Andes". Devaux, A. and other authors. Food Policy 34. 2009.
- "Enfoque participativo de cadenas productivas (EPCP): Guía para capacitadores". Antezana, I. and other authors. Papa Andina - CIP. 2008.
- "Learning to control potato late blight – A facilitator´s guide". Caceres, P.A. and other authors. CIP – INIAP – SENACYT. Quito. 2008.
- "Norma técnica peruana: papa deshidratada Tunta". Comité Técnico de Normalización de la Tunta. INDECOPI – COSUDE – INCOPA. Lima, 2008.
- "Guía de las buenas prácticas de procesamiento para la producción artesanal de la Tunta". Fonseca, C. and other authors. CIP – Ministerio de Agricultura. Lima 2008.
- "Native potatoes of Peru: Catalogue of varietes and gastronomic uses". Gómez, R. and others. Ministerio de Agricultura. Año Internacional de la Papa. 2008.
- "Changing paradigms for organizing R & D: agricultural research and the creation of the PROINPA Foundation in Bolivia". Gandarillas, A. and other authors. International Journal Agricultural Resources Governance and Ecology, Vol. 6. 2007.
- "Cadenas agroalimentarias- plataformas de concertación y proyectos compartidos". Reinoso, I. and other authors. INIAP- Papa Andina – COSUDE. Quito. 2007.

Awards

In 2007 the Peruvian partner of Papa Andina- the INCOPA project- won two international awards for its Tikapapa initiative. The first was the "Seed Awards 2007" of the United Nations, awarded to 5 projects out of 230 selected from across the globe. INCOPA also won "The World Challenger Award 2007", of the BBC and Newsweek magazine. 940 projects participated in this competition which awards business initiatives that not only look to make profit but also invest in farming communities (Papa Andina. Informe Anual 2006 – 2007. p. 30).

7. Lessons learned

- The Papa Andina project has demonstrated that it is possible to modernize the paradigm for scientific research so that it gives greater priority to the needs of producers and consumers. The distance between research agenda and their practical application in production has previously been a criticism frequently aimed at researchers.
- Linking farmers and private companies for the commercialization and processing of native potatoes- with the support of technological, commercial and institutional innovations facilitated by the project partners- has demonstrated that it is possible to identify market opportunities that produce benefits not only for the private companies but also for rural farmers. It is therefore possible to promote actions for market development that contribute to poverty reduction in Andean countries.
- The form of support provided by SDC to an international agricultural research organization, the IPC, has been delivered in the correct manner and is achieving visible impacts. The level of institutional stability of this international organization and its neutral position in the face of political changes are qualities that have created an important ability to bring together diverse actors and have fostered an open relationship with governmental institutions. These qualities provide a solid basis for developing institutional alliances, collective learning and for the continuance and achievement of commitments taken on by the consultation platforms in each country.

Documents Reviewed

1) "Estrategia de cooperación Perú 2009 – 2011". Agencia Suiza para el Desarrollo y la Cooperación (COSUDE). Secretaría de Estado de Economía (SECO). Lima, Junio 2009.

2) "La Cooperación Suiza en Perú. Carpeta de proyectos". Agencia Suiza para el Desarrollo y la Cooperación (COSUDE). Secretaría de Estado de Economía (SECO). Lima, sin fecha.

3) "Papa andina: Innovación para el desarrollo en los Andes, 2002 – 2006". Proyecto Papa Andina – CIP.

4) "Informe anual 2003 – 2004". Proyecto Papa Andina. Lima, agosto 2005.

5) "Informe anual 2006 – 2007". Proyecto Papa Andina. Lima, sin fecha.

6) "Informe anual 2007 – 2008". Proyecto Papa Andina. Lima, sin fecha.

7) "Papa Andina: Resultados de un proceso de reflexión y evaluación". Douglas Horton y Marisela Benavides. Lima, Octubre 2005.

8) "Descripción y diagnóstico institucional del actual sistema de investigación agraria". Kurt Manrique. Proyecto PIIEA. Ministerio de Agricultura. Lima, junio 1999.

9) "Análisis de la extensión agraria en el Perú". Juan Risi Carbone. Proyecto PIIEA. Ministerio de Agricultura. Lima, mayo 1999.

10) "Mapeo del mercado: un marco conceptual para políticas y prácticas de desarrollo rural empresarial". COPEME – Soluciones Prácticas (ITDG). Lima, 2009.

People Interviewed:

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Annex 8 – Case Study 2

Nepal Case Study: Support to the

International Centre for Integrated Mountain Development (ICIMOD)

Phases 1 and 2

Shizu Upadhya

Summary

With core funding from Switzerland, the International Centre for Integrated Mountain Development (ICIMOD) was established as an international and independent mountain learning and knowledge centre committed to improving the sustainable livelihoods of mountain people in the extended Himalayan region. ICIMOD works on behalf of the governments of Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal and Pakistan and in coalition with over 300 regional and international partners with a concern for mountain development. The Centre's membership holds geo-political significance, therefore.

During 2008, it is estimated that ICIMOD operated a programme worth $ 8.9 million. Of this, 13% of funds were allocated under the theme of Integrated Water and Hazard Management, 26% under Environmental Change and Ecosystems Services, 20% under Sustainable Livelihood and Poverty Reduction and 10% under Integrated Knowledge Management. SDC has provided funds through 12 phases. Phase 11 from 2004-2007 was for CHF 2.7 million. Phase 12 from 2008-12 was for CHF 5 million.

In its 25 years of operation, ICIMOD has become recognised as a focal point for applied research on mountain development in the Himalayan region. It is also recognised as a focal point for training and capacity building on scientific issues such as Geographical Information Systems and Remote Sensing. Furthermore, it has facilitated the exchange of ideas among like-minded professionals and various interest groups and the cross-fertilization of best practices from one location to another at national, regional and global levels. At the same time, a 25 year evaluation report conducted in 2006 indicates that ICIMOD has perhaps been less able to prioritise its agenda in line with its capacity and the needs of Member Countries, follow through on its training initiatives many of which have been ad hoc, focusing more on technical and subject matter than attitudinal changes and learning or realise its full potential as an institution that provides expert advisory services on integrated mountain development, apart from doing so in a few core areas of competence. As part of a major process of change management from 2007 onwards, however, ICIMOD has made substantial changes in its operations and has been able to realign itself and its donors within a new, more relevant strategic framework. ICIMOD's achievements in fundraising appear to have become more dynamic during this time.

The SDC office in Nepal perception of ICIMOD is that it is not focused enough and a large proportion of resources are channeled into publications and workshops from which it is sometimes difficult to see outcomes at national and regional levels. Therefore, ICIMOD should probably strengthen its efforts to achieve changes at the policy level through the effort of its member states. Better prioritization within its overall portfolio is also suggested. However, recent policy changes are recognized and show signs of having an effect on further improving the effectiveness of ICIMOD operations. In any case, since ICIMOD maintains direct links with SDC HQrs, their perception of ICIMOD will also need to be taken into account.

International Centre for Integrated Mountain Development (ICIMOD)

Phases 1 and 2

1. Project Description

With core funding from Switzerland, Germany and UNESCO, the International Centre for Integrated Mountain Development (ICIMOD) was established in 1983 as an international and independent mountain learning and knowledge centre committed to improving the sustainable livelihoods of mountain people in the extended Himalayan region. ICIMOD works on behalf of the governments of Afghanistan, Bangladesh, Bhutan, China, India, Myanmar, Nepal and Pakistan and in coalition with over 300 regional and international partners with a concern for mountain development.

The Hindu-Kush Himalayan region is home to an estimated 150 million inhabitants nearly one third of which live below the poverty line and the vast majority of which live in rural areas and depend directly on natural resources for sustenance. The Himalayan mountain ecosystem is also very fragile and vulnerable to natural resource degradation, a process which is undermining the livelihoods of local people. But with two of the world's biggest players, China and India, within its fold and with a number of unresolved sensitive issues between the member countries, the region continues to be one of the most challenging parts of the world within which to foster cooperation.

Under the previous Medium Term Action Plan (2003-07) ICIMOD ran integrated research programmes under the themes of

- Natural resource management
- Agriculture and rural income diversification
- Water hazards and environmental management
- Culture equity gender and governance
- Policy and partnership
- Information and Knowledge Management

The current five year action plan (2008-12) is being implemented at a time when globalization and climate change are having an increasing influence on the stability of fragile mountain ecosystems and the livelihoods of mountain people. In this context, programme activities have been were clustered around the three themes of

- Integrated Water and Hazard Management
- Environmental Change and Ecosystem Services
- Sustainable Livelihoods and Poverty Reduction with a cross-cutting theme of
- Integrated Knowledge Management

The current phase of SDC support to ICIMOD runs from 1 January 2008 until 31 December 2012. Research support is being focused on the disciplines of Ecology (50%) and Agronomics (25%). SDC support during the present phase is worth CHF 5 million.

The first phase of the project lasted from 2004-2007 during which time SDC provided ICIMOD with CHF 2.7 million worth of funds.

2. Project Origins

The idea of creating an institution to promote the ecologically sound development of mountain regions was first discussed at the International Workshop on the Development of Mountain Environment in December 1974 in Munich, Germany but it was only four years later during a UNESCO Regional Meeting in Kathmandu, under the framework of the Man and the Biosphere Programme, that concrete commitments were made to establish the Centre. The then King of Nepal offered to host the new institution for which core funds were secured. ICIMOD was later opened in 1983.

As per Article 1 of its Statutes, the primary objectives of the Centre are to act:

- As a multi-disciplinary documentation centre
- As a focal point for training and applied research activities
- As a consultative centre in scientific and technical matters for all the countries of the region upon their request

3. Project Approach

ICIMOD aims to assist mountain people to understand social, economic and ecological changes that affect their lives, adapt to them, and make the most of new opportunities. Through intensive consultations with the member countries and stakeholders themselves, the three key strategic areas of water, environmental services, and livelihoods have been identified as worthy of concrete action. By working on key issues related to these three areas of action, it is expected that ICIMOD's financial, human, and institutional resources can be mobilized to bring about real and positive changes in the lives of the Himalayan mountain people. ICIMOD favours a trans-disciplinary approach to problem analysis, and programme design, implementation and monitoring. In particular it takes into account the crosscutting criteria of policy, governance, equity and gender and seeks to mainstream information and knowledge management principles. ICIMOD's research operations thereby aim to benefit the people of the region and sustain vital environmental services for them.

4. Partnerships Modalities

ICIMOD is governed by a Board of Governors consisting of one representative from each of the eight Regional Member Countries and seven independent members who are nominated by the ICIMOD Support Group based on their recognized professional expertise and experience. The ICIMOD support group is composed of representatives from all organizations and institutions, including all Regional Members since they provide financial contributions to the Centre. Swiss nationals have often been among the Board's independent members while SDC is a permanent member of the ICIMOD Support Group. The current Director General is a Swiss national and acts as an ex-officio member of the Board.

ICIMOD's core programme donors are: Austria, Denmark, Germany, the Netherlands, Norway, Switzerland and from 2008, Sweden, as well as the Regional Member Countries. ICIMOD also receives project co-financing funds on a case by case basis. Regular co-financing funds are provided by USA and Italy as well as FAO, UNEP, UNCESCO, IFAD, IDRC and the MacArthur

Foundation. Negotiations are well underway to secure the European Union as a donor partner from 2010 onwards.

Besides the RMCs which are ICIMOD's main constituency, research centres and universities in the region are ICIMOD's obvious allies in promoting the mountain agenda.

On 1 October 2009, for instance, ICIMOD signed an MOU with the Institute for Global Environmental Strategies (IGES) in Kanagawa, Japan, to foster collaboration in research on climate change, water, and forestry issues in the Hindu Kush-Himalayan region.

During 2008, it is estimated that ICIMOD operated a programme worth $ 8.9 million. Within this, 13% of funds were allocated under the theme of Integrated Water and Hazard Management, 26% under Environmental Change and Ecosystems Services, 20% under Sustainable Livelihood and Poverty Reduction and 10% under Integrated Knowledge Management.

5. Contractual, Reporting and Management Arrangements

ICIMOD reports annually to its Regional Member Countries and Support Group, which meets once a year. New project and funding proposals as well as plans and budgets are reviewed and approved at these meetings. It also conducts a quinquennial, independent review every five years the primary purpose of which is to realign its strategic priorities with the needs of its member countries in a changing world. As per evaluation recommendations, ICIMOD now attempts to consult more widely with a broader range of stakeholders when formulating its medium-term plans and strategies.

ICIMOD operates an internal system of monitoring which evaluations which it constantly seeks to improve in order to best match its operations. Under the current Five Year Plan, it is attempting to introduce a new, more flexible system of monitoring, planning and review that is more in tune with the outputs and outcomes it is striving to achieve.

In an attempt to increase its relevance in the region, better support programme activities and raise funds, ICIMOD began to set up regional focal points in 2006. In this way, the Chinese Committee on ICIMOD was set up in November 2006, hosted at the Chinese Academy of Sciences. ICIMOD's Kabul office was inaugurated in February 2007 and a Pakistan office is now operational too. Amongst others, this particular office has been instrumental in mobilizing funds locally for the establishment of the Centre for Disaster Preparedness and Management at the University of Peshawar, which is now fully functional.

Following a major reassessment of its operations on the occasion of its 25th Anniversary in 2006, ICIMOD has initiated a two-year process of change management designed to make the organization more efficient and effective. Programme themes have been merged and streamlined where possible and decentralization is being pursued. This process comes to an end at the end of 2009.

ICIMOD shares its annual plans and budgets with the SDC office in Nepal. However, its links with SDC HQrs are perhaps stronger than those with SDC in Nepal. This is because while SDC Nepal is a more grassroots-oriented programme, frequently operating no more than pilot initiatives, ICIMOD is a strategic institution with a significantly wider mandate and range of interventions.

At the same time, it is possible that SDC Nepal and ICIMOD will work more closely from now in the context of an increased emphasis in both organizations on climate change.

6. Project Results

It is difficult to assess the impact of long-running and multi-mandated institutions such as ICIMOD since it will have many achievements to its name, though the trick is in fact to find out whether it has achieved as much as it could have done, given available resources. Nonetheless, trends do emerge some of which are highlighted below.

Between 1983 and 2008 it appears that

- ICIMOD had become recognised as a focal point for applied research on mountain development in the Himalayan region
- ICIMOD had also been recognised as a focal point for training and capacity building on scientific issues such as Geographical Information Systems and Remote Sensing
- ICIMOD had facilitated the exchange of ideas among like-minded professionals and various interest groups and the cross-fertilization of best practices from one location to another at national, regional and global levels
- ICIMOD had successfully developed and promoted the conceptual and operational framework called the Mountain Perspective Framework that defines the uniqueness of mountain situations as a basis for designing and implementing integrated mountain development solutions for sustainable livelihoods and the environment. This perspective had influenced other important policy approaches, including the Convention on Biological Diversity in 2004.
- ICIMOD had become one of the first institutions in the world to study and promote the potential of mountain tourism as a means of alleviating poverty.

Since 2008 there have been many new developments, particularly in the context of ICIMOD's restructuring of operations and change management since 2007. Only a few such accomplishments are listed below:

- ICIMOD has joined hands with UN Environment Programme (UNEP) for a new study of the effects of global warming in the trans-Himalayan Kailash sacred landscape area, criss-crossing Nepal and Chinese-controlled Tibet. The regional initiative is being supported by UNESCO as part of its strategy for co-ordinated research on global change in mountain biosphere reserves around the world.
- ICIMOD has acquired observer status on the UN Framework Convention on Climate Change (UNFCCC) and the Inter-governmental Panel on Climate Change (IPCC)
- ICIMOD has become an active partner in the Abu Dhabi Dialogue Group
- With SDC funds, ICIMOD now hosts the Asia Hub of the Mountain Partnership the international secretariat of which is based at the FAO in Rome. The Asia Hub connects 25 of the Partnership's 160 members from 15 countries in the Asia region

In particular, ICIMOD has been seeking to address some of the challenge areas that a major evaluation report of 25 years of ICIMOD operations conducted in 2006 had identified. These challenge areas included the need to:

- Prioritise its agenda in line with its capacity and the needs of Member Countries
- Follow through on its training initiatives many of which have been ad hoc, focusing more on technical and subject matter than attitudinal changes and learning
- Realise its full potential as an institution that provides expert advisory services on integrated mountain development, apart from doing so in a few core areas of competence
- Develop programme/funding partnerships in a more thoughtful way
- Generate a sustained sense of ownership among its Regional Member Countries

The Evaluation Report of 2006 resulted in a significant strategic reorientation of ICIMOD and also led to substantial changes in the attitudes of its donors and RMCs. ICIMOD management is very positive about these recent developments.

7. Lessons Learnt

As ICIMOD moves forward into 2010 and beyond, it will very likely need to take into past learnings which include the fact that

- It is a challenge to meet the divergent interests of development agencies and beneficiaries on the ground, research and university partners and governments, social scientists and natural scientists as well as policy makers and development practitioners all in one go and compromises are necessary
- Facilitation is necessary in order for scientific research to be applied. This is why ICIMOD has seen the importance of evolving into a manager and facilitator of knowledge rather than act as a generator of knowledge. This transition is ongoing.
- Apart from key exceptions, donors tend to be less keen to provide core funds to run research institutions such as ICIMOD, which makes it difficult to develop medium term plans and budgets and forecast funding availability
- Research communications requires specific planning and effort, and needs to suit the needs and requirements of particular audiences in order to be effective – one reason why ICIMOD has now radically transformed its publications and communications policy
- Maintaining research relevance is a constantly evolving process and one towards which organizations and institutions should remain open. For instance, ICIMOD's work on community forestry over the last 15 years has been found to have been exceptionally relevant so far. More recently, its efforts to support the Government on climate change are also being appreciated and are likely to increase in relevance following the Copenhagen Summit in December 2009.
- Policy perspectives and frameworks pushed forward with consistency over many years at a time can be mainstreamed globally
- Research and science can play a role in bringing political adversaries to one table thereby initiating trust

8. List of Persons Interviewed

Ms. Elisabeth von Capeller, Country Director, SDC Nepal; elisabeth.capeller@sdc.net

Mr. Farid Ahmad, Head of Strategic Planning/Monitoring, ICIMOD; faahmad@icimod.org

Mr. Kunda Dixit, Chief Editor, Nepali Times; kunda@nepalitimes.com

Mr. Suvas Devkota, Community Forestry Officer, Federation of Community Forestry Users in Nepal (an ICIMOD partner since 1995); suvas.devkota@gmail.com

Mr. Purushottam Ghimire, Joint Secretary and Chief of Environment Division, Ministry of Environment; purughimire@yahoo.com

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Annex 8 – Case Studies 3, 5 and 6

Tanzania Case Studies

by Dr Deograsias Paul Mushi, Tanzania

Introduction

1. The SDC activities in Tanzania date back to 1960s when the country had just gained political independence; and by 1981, SDC activities were intensified by opening a cooperation office in Dar es Salaam. Thus for many years, Tanzania has been a priority country of the SDC support.

2. In general, SDC activities in Tanzania cover various socio-economic issues including reduction of rural poverty, enhancing social and physical well-being, the fight against HIV-AIDS, promoting gender balance, promoting decentralized democratic decision making and pro-poor governance. Also, SDC implements a joint programme with SECO (The Swiss State Secretariat for Economic Affairs), aiming at reducing poverty and improving well-being of the people sustainably and equitably by fostering economic growth. In western Tanzania, the SDC has been providing humanitarian aid to thousands of refugees from Burundi and Democratic Republic of Congo. SDC's bilateral commitments for development support in Tanzania cut across several themes and programmes as indicated in the table below.

3. Summary of Swiss Government's Bilateral Commitment to Tanzania

The Swiss Government's bilateral commitment	2007 Million CHF	2008 Million CHF	2009 Million CHF*
SDC			
Bilateral development cooperation	15.63	19.99	15.60
Humanitarian Aid	1.52	0.77	-
State Secretariat for Economic Affairs (SECO)			
Economic Cooperation and Development, WE	9.17	8.69	13.26
Total SDC/SECO commitment	26.31	29.45	28.36
Other Federal Offices			
State Secretariat for Education and research (SER)	0.04	0.09	0.09
Total Other Federal Offices	0.04	0.09	0.09
Total Swiss Government commitment	26.35	29.53	28.95

Source: SDC website, 2009
*Planned Bilateral development cooperation excluding program contributions NGOs
– = nil, N.B. Incl. contributions to refugees from the region of Great Lakes

SDC Support for Research Activities in Tanzania

4. Three research projects that were supported by SDC in Tanzania were selected by the evaluation team. These were:

   A. Understanding and Improving Malaria diagnosis in health facilities in Dar es Salaam, Tanzania- SNF SDC Research Partnerships – Case Study 6

   B. Strengthening Resilience to Urban Environmental Health Risks through Improved Management of Human waste in Unplanned Urban Settlements in Dodoma Tanzania - *Case Study*

   C. Community-Based Natural Resource Management: The Role of Communities, Tanzania-KFH project – Case Study 5

5. These were selected together with other projects in Nepal and Peru to represent the range of funding mechanisms used by SDC in three key countries (other projects were also included in the total sample of 15 projects and were reviewed by other members of the evaluation team by reviewing documents and telephone interviews with key informants).

6. Initially, it had been proposed to select as a case study SDC support to Ifakara health centre, but as this has been the subject of a number of evaluations, SDC felt that it was inappropriate to interview them again.

7. In each case, the project is described together with its stated objectives and expected outcomes.

8.

Case Study 6 - Understanding and Improving Malaria diagnosis in health facilities in Dar es Salaam, Tanzania- SNF SDC Research Partnerships

9. Access to malaria treatment in Dar es Salaam has been of satisfactory levels. However, recent studies have shown that transmission levels were much lower relative to the rest of the regions in the country, and that very few fever episodes in children and adults were actually due to malaria[1]. This has resulted in substantial unnecessary over-treatment with malaria drugs and also that there is a very much increased risk of missing an alternative diagnosis with potentially fatal consequences.

10. The Project summary describes the objectives of the SDC supported research to be:

    - Introducing laboratory diagnosis for malaria in the routine management of fever cases[2]. The focus of this operational research is to document how feasible and effective the introduction of laboratory tests is in the context of the routine management of fever cases.

    - Understanding the etiologies of fever cases in children. This would involve screening a sub-group of 300 children with detailed clinical assessments and a range of laboratory tests in order to better identify the diversity of the causes of fever in children aged 1-9 years.

11. This project is one of a large number of activities associated with the 'The Improving Malaria Diagnostics (ImaD) programme which is being conducted in 15 African countries, including Tanzania. The aim of the project is to strengthen the malaria diagnostic capacity

[1] According to the proposal document some 95-99% of all treatments are unnecessary

[2] The objectives as stated on the KFPE web site are different from those shown on the SNSF website and introduce the idea of Rapid Diagnostic Tests (RDT). The KFPE web states the first objective as "Introducing laboratory diagnosis for malaria in the routine management of fever cases; we propose to introduce either rapid diagnostic tests based on the detection of the Plasmodium antigen (RDTs), or improve existing microscopy facilities. The focus of this operational research is to document how feasible and effective the introduction of laboratory tests is in the context of the routine management of fever cases"

of the National Malaria Control Programs (NMCPs), to contribute to reach the Millennium Development Goals (reduction of child and maternal mortality) and the PMI objectives (to reduce deaths due to malaria by 50 percent).

12. The project partners involved are:

- Medical Care Development International (MCDI), the leading agency
- African Medical and Research Foundation (AMREF)
- Hydas World Health (HWH)
- The Association of Public Health Laboratories (APHL)
- Swiss Centre for International Health from the Swiss Tropical Institute (SCIH/STI)
- Ifakara Health Research and Development Center (IHRDC), local collaboration partner.

13. Being a partner of the IMaD consortium, the Swiss Center of International Health (SCIH) is mainly involved in activities related to procurement and Monitoring and Evaluation (M&E).

14. The ImaD programme is funded primarily through a $20 million, 5 year Cooperative Agreement by USAID, from September 2007 under the US President's Malaria Initiative (PMI). The Swiss Tropical Institute's contribution to this project is supported through the Swiss Programme on Research Partnerships with Developing Countries. This was first launched in 1999 and was jointly funded by the Swiss National Science Foundation and SDC. The funding programme "supports high quality research projects, regarding problems relevant to disadvantaged countries, encourages relations between researchers in Switzerland and the South and contributes to strengthen the scientific potential of the countries in the South"[3]. The STI project lasted from January 2006 to the end of June 2009. The total Swiss finance was CHF 517,860.

15.

Expected outcomes/output of the project

16. The project summary states that as a result of this work the STI hopes to be able to improve the diagnostic approach and management of fever cases in health facilities in Dar es Salaam, contribute to a more efficient and effective health sector, and help Tanzania on its way to reducing infant and child mortality.

17. The project is linked to a number of other projects and initiatives in Tanzania, as well as in other SSA countries, and the up scaling of malaria diagnosis for all fever cases was expected to proceed rapidly in the next 1-2 years in the frame of the recent US Presidential Initiative on Malaria.

18. Tanzania, as one of the countries under the PMI, is expected to result in:

- An action plan to improve laboratory-based malaria diagnosis in health facilities and a national malaria diagnostic policy including malaria case management
- Expand the understanding of storage and distribution systems for equipment, and for the use of proper malaria diagnostic equipment and laboratory supplies in health facilities. The supply chain for essential laboratory supplies and equipment will be created or strengthened, and a reporting and procurement system for their replacement will be worked out.
- The national capacity is strengthened in procurement and distribution of laboratory equipment and consumables.

[3] KFPE web site

- Training materials are being developed and health workers are being trained related to malaria diagnostics (including a localised malaria slide library), and support will be provided in improving malaria microscopy and in the use of RDTs. Providers are trained in malaria case management, microscopists and staff are trained on the use of RDTs, the laboratory staff is also trained on malaria inventory management system.
- The quality control of laboratory and diagnostics are institutionalized. The percentage of laboratory-confirmed malaria cases will be increased.

Case Study 3 - Strengthening Resilience to Urban Environmental Health Risks through Improved Management of Human waste in Unplanned Urban Settlements in Dodoma Tanzania

19. This project is supported under the Swiss National Centre of Competence in Research (NCCR) implemented by the Swiss National Science Foundation with additional support is provided by the Swiss Agency for Development and Cooperation[4]. This programme is supported by NCCR North-South.

20. This particular activity is called a Partnership Action Mitigation Syndromes (PAMS) is embedded in the NCCR-North-South research project 'Social Vulnerability and Resilience'; and connected with the Household Centered Environmental Sanitation (HCES) planning approach of SANDEC/EAWAG used in the collaborative effort of the Tanzanian urban water supply and Sewage Authorities (DUWASA) and the Swiss State Secretariat for Economic Affairs (SECO). It seeks to rehabilitate and extend the water supply and sanitation system of Dodoma urban, the administrative capital of Tanzania.

21. The main Goal of the PAMS was to improve health outcomes of residents in the informal settlement of Chang'ombe area in Dodoma. The PAMS was proposed based on the research findings under Transversal Package Project Two (TPP2) which showed the pronounced problems of human waste management which results into diseases of poverty, in particular cholera.

22. The project used a participatory approach to strengthen social resilience to urban sanitation problems by involving households and other relevant stakeholders. The PAMS involved stakeholders in the planning; construction and management of three types of improved sanitation facilities named Multiple Ventilated Pit Latrine (VIP), urine-diverting Ecosan toilet and double pit Fossa Alterna in selected demonstration sites (School and street/community administration offices premises).

23. Actors involved were:

- SANDEC was the architect of the technologies that were introduced in Chang'ombe; it contributed technical expertise on the types of facilities to be introduced, facilitated the community selection of appropriate technologies, and improved expertise on construction requirements.
- Swiss Tropical Institute (STI)-contributed technical expertise on the urban health issues in particular on defining and assessing social resilience.
- Ifakara Health Institute (IHI)-overall overseer of the whole implementation process and conducting the research part of the PAMS.
- *Maji na Maendeleo Dodoma (MAMADO)*-local partner which implemented the project in collaboration with community members. MAMADO was in charge of conducting sensitization and awareness creation seminars and construction activities.

[4] http://www.north-south.unibe.ch/

- The Centre for Community Initiatives (CCI)-provide expertise on prioritization of technologies and construction.
- The municipal Community Development and Hearth Departments- government organs mandated with health issues in the municipality.
- Capital Development Authority (CDA)-facilitated the availability of land for construction and the process of obtaining building permit.
- Dodoma Urban Water and Sewage Authority (DUWASA) – a government organ is mandated with water and sanitation issues in the Municipality. The authority was instrumental in the sensitization and awareness creation campaigns.

24. The project cost was 53,000 CHF. This covered the following items:
    - Salaries and Consultancy fees 8,454 CHF,
    - Equipment 25,175 CHF,
    - Consumables (including Community sensitization) 7,813 CHF,
    - Travel Expenses and daily Subsistence allowances 9,661 CHF and
    - Miscellaneous (taxes, VAT etc) 1,900 CHF.
25. The funding of the project was achieved through the following:
    - PAMS contributed 48,000 CHF,
    - Beneficiaries (contributed in Kind) 1,000 CHF and
    - Co-funding (contribution from SANDEC) was 4,000 CHF.
26. The Strengthening Resilience to Urban Environmental Health Risks project is part of the Community Based Health Initiative (CBHI) which was initiated in 2004 represents the Swiss Development Cooperation's contribution to building civil society participation to improve the health of their own communities as envisioned in the Health Sector Strategic Plan (II) and achieved through Health Sector Reforms (HSR).
27. The CBHI project goal is to" improve the health and wellbeing of all Tanzanians with a focus on those at risk." The project's overall objective is that community groups make better use of resources to improve their health and contribute to the Health Sector Reforms (HSR). The project is centered on the promotion of Community Based Organizations (CBOs) as a way to achieve health improvements in the larger community through technical and financial support to demand driven grassroots initiatives and empowering communities to be more strongly engaged in governance and financial aspects of HSR. The CBHI Project has been implemented in 3 Districts in Dodoma Region (Kongwa, Kondoa and Dodoma Urban) since July 2004 and is now in its third phase (April 2007 to December 2009), and is funded by the Swiss Agency for Development Cooperation (SDC).
28. The outputs of the PAMS Project
    - Pilot toilets have been constructed
    - Community members have learnt about low cost sanitation facilities, selection of appropriate technologies and construction process.
    - Community members have learnt on how to manage the facilities and where to seek assistance for management and maintenance.
    - The project has achieved its main objective of imparting technological and managerial skills to manage human waste in a poor urban environment through social learning.

29. The impact of the Community Based Health Initiatives (CBHI) Project in Dodoma is well documented (as per the 2009 Independent Outcome Evaluation Report by Adrianek M., Flora Kessy and Harilanto Ravelomanantsoa CBHI was envisioned within the context of the health sector strategies. The goal of the project "to improve the health and wellbeing of all Tanzanians with a focus on those at risk" was taken from the goal for the Health Sector Strategic Plan (HSSP) II (2003 – 2008). The CBHI project is also in line with Health Sector Strategic Plan (HSSP) II strategy. Specifically, CBHI contributed to:

- District health Services (DHS) related to access issues (Accessibility to services, equity, and health financing in the form of Community Health Fund (CHF) promotion.
- Strengthening of public private partnerships (e.g. CBHI as a private player working in collaboration with the government)
- Contributed to Maternal, Newborn, and Child Health (MNCH) (through Community Based Organizations - CBOs working on Maternal, Newborn and Child Health)
- Contributed on the prevention and control of communicable and non-communicable diseases (through CBOs working on malaria, HIV, environmental sanitation)
- Contributed to social welfare and social protection (through CBOs working on Orphans and vulnerable children, people living with HIV/AIDS and the elderly)
- Contributed on cross cutting issues of Gender (through CBOs working on gender issues such as female genital mutilation and early marriage groups)
- CBHI also contributed to the implementation of National Strategy for Growth and Reduction of Poverty (MKUKUTA) cluster 2 (social well being issues as described above) and cluster 3 (promotion of good governance through enhancing community participation in implementation of the Health Sector Reforms). CBHI-supported CBOs could be effective in supporting primary health services development programme through community construction projects such as dispensaries. One such group in Kondoa, for example, that is focused on expanding community membership in CHF (Community Health Fund) is currently involved in working with the village authorities to expand the dispensary in their village. A large number of CBO initiatives contributed to public health services by building water harvesting tanks for dispensaries.
- CBHI has also participated in the national policy dialogue via SDC and GTZ-(implementing partner) representatives.
- CBHI has interacted, and through that interaction, begun to feed the national, regional and district policy dialogues on the role and potential of CBOs for community health promotion.

30. CBHI operates in close collaboration with Tanzanian government authorities at all levels. It has a National Steering Committee (NSC) which draws member's multi-sectorally (Health, Finance, Gender, etc); a Regional Project Coordinating Committee (RPCC) chaired by Regional Administrative Secretary (RAS); and at district level they have District Project Coordinating Committees (DPCC) for the project. At the District level they have also liaised with the District Medical Officer (DMO's) office, the District Executive Director (DED), the District AIDS Coordinator (DAC), and the Community Development Officers (CDOs) in the formation of their Technical Review Team (TRT). They are also contracting in technical expertise for training on health issues at District level through the DAC and Council HIV and AIDS Coordinator (CHAC). District and regional CHF advisors, for example, work closely with CBHI. These officials have been used to train the Community Health Fund taskforce and CBOs together with the Tanzanian Network of CHFs at national level (TNCHF). Local Female Genital Mutilation NGOs gave a training to the reproductive health CBOs sponsored by CBHI. CBHI has created strong collaboration with district and regional government officials to support community based health initiatives.

Case Study 5 - Community-Based Natural Resource Management: The Role of Communities, Tanzania-KFH project

31. CBNRM was undertaken by the Rector's Conference of the Swiss Universities of Applied Sciences (KFH) through the SDC (DEZA) program entitled 'Promotion of Research Partnerships of the Swiss Universities of Applied Sciences with developing and transition countries'. The project is the second phase of a project started in 2005, under the coordination of the KFPE through Swiss-contact. The current phase will be completed in December 2009. SDC contribution represented average 50 percent of the project funding. It is a joint partnership of various organizations, including the University of Applied Sciences of Western Switzerland (UASWS)-which also has been the co-funder of both phases of the project, Tanzania Wildlife research Institute, Sokoine University of Agriculture and Tanzania Natural Resource Forum (TNRF).

32. The project is located in Katavi-Rukwa, Lukwati and Ugalla ecosystem complexes of western Tanzania. The project aims to evaluate the application of community-based natural resource management policies in Tanzania with the objective of identifying the determinants of success of such policies through inter-sectoral case studies (wildlife, forestry, beekeeping, tourism). The project also seeks to promote an exchange of skills between Swiss and Tanzania partners.

33. The project is expected to acquire a better understanding of the complex interactions which determine the success or failure of participatory management of natural resources. The project outputs will be analyses of best practices and lessons learned, based on bibliographical survey and case studies realized by USAWS students and partners. The results of the research project will contribute to the development of the 'Pan African Network on CBNRM initiatives'. The total cost of the project is estimated at 140,370 CHF.

The main concept of the project

34. The subject of the research activity was to assess and identify the factors explaining the success and failures of CBNRM projects supported by cooperation stakeholders. In most of developing countries, the participatory approaches are considered the ideal solution to problems related with natural resources conservation and social and economic development. Tanzania is among those countries and it has opted for the new development approach known as the Community-based Natural Resources Management-CBNRM. The initiative involves the setting of a legal framework, which favours the devolution of responsibilities of natural resources management to communities. This devolution results in the establishment, recognition and reinforcement of common property regimes and of an institutional framework as a result allow for community-based management within the policies of different sectors of natural resources management (wildlife, forestry, beekeeping, tourism).

35. However, following an examination of the evidence, the researchers came to cast doubts on this view. They considered that it would be difficult to transform local farmers into protectors of wildlife that they considered to be their own property. The researchers argued that given these doubts that it is necessary to reach a better understanding of the mechanisms contributing to the success or failure of this type of approach. Such research was considered particularly important bearing in mind the scale of the funds awarded to this type of intervention and the implications not only for natural resources but also for the livelihoods of millions of people in rural areas. They believed that the use of research projects for collection of data in the field would be mutually beneficial to all the stakeholders involved.

36. The researchers argued that Tanzania features the paradox of being economically one of the poorest, and biologically one of the richest countries of the African Continent. The income derived from adding value to natural resources through activities of sustainable

exploitation represents one of the main sources of foreign currency of the Tanzanian Government, and an important contribution to the Gross National Product (GNP). Game viewing tourism, hunting, forest exploitation, as well as beekeeping represent essential contributions to the Tanzanian GNP. Tanzanian national policies have always shown a firm commitment in favour of the conservation of resources. Witness to that is the fact that almost 30 % of the national territory is classified as protected areas ranging from IUCN categories I to VI. Tourist activities, including game hunting, are essential to ensure financing for the management of the biggest network of protected areas on the African Continent. Tourism can also be an incentive for the conservation of wildlife resources in non- protected areas.

Project design, goals and expected Results and Impact

37. According to notes provided by one of the Swiss researchers the project combined different types of studies (data collection by students from UASWS and SUA) to evaluate the determining factors explaining success and failures of projects in this area[5]. This involved what they call cross-monitoring of the students' work (that is ASWS students followed by SUA and TAWIRI staff, and SUA students followed by UASWS staff). In parallel to the studies was the implementation of "a la carte" training for the partners. They also are in the process of setting up a GIS server with free access to the database for the Tanzanian partners. The key informant understood the complete GIS dataset for ecological zones in Western Tanzania and the free access to ARC GIS licenses for Tanzanian partners is worth approximately $240,000.

38. While UASWS drafted the initial proposal, it was subsequently amended by all partners. In order to obtain the views of potential end users, the setting up of the proposed training was driven by request from the partners (e.g. the partners chose to target GIS, Governance and Ecological monitoring). Gender equity was addressed in the selection of the people to attended the training courses: in both GIS and Governance training, over 50 % of the trainees' were women.

39. The project goals were stated as the following:

- To contribute, by means of an innovative interdisciplinary and cross-sectoral approach to the evaluation of participatory approaches from local to national and international levels.
- To ensure a transfer and an exchange of competencies and experiences between the UASWS and local partners, research institutions (TAWIRI and SUA) and civil society institutions in the field of participatory management of natural resources.
- To allow the UASWS to extend its competencies in applied research with partners in the South by means of internships (students) and involvement in research (professors). For example, there have been initiatives to set up a GIS server with free access to the database through internet for local partners.
- To contribute to the enlargement of the international network of UASWS partners, while ensuring the establishment of long-term relations with local partners.
- To contribute to an increased integration of Tanzanian partners into international research networks and to strengthen their competencies.

[5] Notes provided to Gareth Williams by Professor Yves Hausser from HEPIA, the Geneva Engineering and Agronomy school (one of the Universities of Applied Sciences) on the Community Based Natural Resource Management Project. 11th November 2009

Evaluation of Outcomes in relation to program goals and criteria

40. The notes from the key informant described the outputs as being mostly the form of students' diplomas (Bachelor thesis for UASWS, Master Thesis for SUA). These are now in the process of turning them into scientific papers summarizing the main findings of these researches. Parts of the results were integrated into a continental review of CBNRM developments in Africa.

41. The Tanzanian researchers' assessment of the outcomes were summarised as

- Contributions at the international level:
  - Identification of the determinant factors of success for CBNRM approaches in the Tanzanian context and a better understanding of the interactions between them
  - Identification of the problems and conflicts between the different sectors and actors holding responsibilities in relation to community resources.
  - Identification of the most relevant "best practices" on the basis of case studies.
  - Dissemination of the results in different research networks in Tanzania (TNRF), as well as in Switzerland (Network of Graduate Institutes for Sustainable Development), and at the international level (IUCN Theme on Indigenous and Local Communities Equity and Protected Areas (TILCEPA)).
- Exchanges among partners for research and training:
  - Capacity building of local partners through monitoring of research activities ofUASWS students, contributing to some phases in their research;
  - Capacity building of local partners through training, internships and applied research adapted to their needs.
- Reinforcing the UASWS capacities in cooperation to development
  - Development of UASWS's potential to intervene in support of development cooperation actions in its field of competencies.
- Integration of UASWS into international network of competencies
  - Insertion of UASWS into a wide network of partners in the sustainable development cooperation field.
  - Valorising results by establishing relations between the approaches, the tools, and the instruments of participation used in Tanzania and in Switzerland.
  - UASWS will dispose of an important database on the issues of sustainable development and participation.
- Development of the capacities of Tanzanian partners
  - UASWS and the Tanzanian partners will participate jointly in international fora (conferences, symposiums, groups of experts) to ensure the distribution of research results.
  - The Tanzanian partners will develop new partnerships (research or financial partners) following their connection to networks established in the course of the research project.

42. The specific outputs are listed as:

- Three Bachelor Degree Theses (UASWS students)
- One Master thesis (SUA student)
- Three case studies' reports from Tanzanian partners (SUA)

- GIS cartography of the environment and of human activities of the two study sites (Arc View) (UASWS)
- A Summary Report with conclusions (UASWS and Tanzanian partners)
- Three training sessions given to the partners and evaluation by students of the relevance of the sessions to needs.
- Participation in conferences, symposiums, to ensure the promotion of the results; and
- Publication of scientific articles in journals coded by the International Scientific Index (ISI).

43. The notes provided by the key informant make the point that they felt that their research was relevant to SDC precisely because SDC is almost absent in the natural resource management field in Tanzania (see footnote 5). For them "the research could be seen as complementary to SDC strategy as it serves to explore fields where the SDC is almost absent for the moment, while numerous other bilateral donors are investing heavily in this field". Furthermore it is explicitly stated in the PRSP that sustainable management of natural resource is a key strategy for Tanzania to ensure both poverty reduction and sustainable conservation of ecosystems and ecosystem services.

44. The key informant believes that most of the 11 principles of the KFPE have been applied, at least to some extent (problems arose in the need to satisfy both KFPE principles, but equally UASWS objectives). The choice of research topics and research methods were commonly defined with SUA and TAWIRI. More money was spent in Switzerland then in Tanzania, but this was largely the UASWS contribution to the project in terms of UASWS team salaries.

45. The Swiss partners felt that a number of lessons could be learned from this experience. In particular a number of factors hindered the full implementation of the programme, and only part of the studies supposed to be implemented by the partners have been realized. The transfer of skills through the training programmes was particularly valued.

The effectiveness of SDC policies and procedures for supporting and managing research activities

46. The first two research activities are supported through SDC contribution to the Ifakara Health Institute and the Swiss Tropical Institute. The two institutes manage research support extended to other institutions and individual researchers. Actually, according to the SDC Office in Tanzania, it is not clear how research activities are managed in Tanzania. The impression gained by the evaluation is that system can best be described as ad hoc.

47. The SDC co-ordination office in Tanzania explained that there are no specific SDC policies and procedures regarding research support. Rather, in Tanzania SDC has one long standing project of support to the Ifakara Health Institute (IHI) which is a research institution. SDC is regularly in contact with Tanzanian and Swiss researchers thanks to the collaboration with the Swiss Tropical Institute (STI).

48. In the case of the KFH project, the SDC co-ordination office was not involved. This project emerged as a result from exchanges with Tanzanian partners in 2004/2005 during the supervision of a diploma project on "Participatory Management of Natural resources in Tanzania: which potential for Developing Agroforestry".

The role of the Tanzanian SDC Co-ordination Office in the initiation of SDC funded research activities

49. Tanzania SDC Coordination Office drafts the terms of references, contracts for consultants, and oversees logistical requirements for those research activities that it funds. An example is the TIKA study (urban community health fund).

50. Also, through the Poverty Reduction Strategy monitoring project the COOF is providing financial support for research on poverty issues, jointly with other development partners contributing to the PRS Monitoring Pooled Fund[6]. The monitoring project is financed through pooled resources from contributing Development Partners including SDC. The project involves constant follow up research on growth and poverty indicators to assess and recommend on the implementation of the National Strategy for Growth and Reduction of Poverty. This has led to the yearly publication of the Human Development Report for Tanzania. The document is said to have proven useful to many actors in the development and poverty reduction process in Tanzania by providing status quo of performance and general directions for improvement. The project, which is managed by the National Strategy for Growth and Reduction of Poverty Secretariat, includes occasional commissioned research for the same purpose. The commissioning is done to selected individuals to carry out studies with specific terms of reference. The PRS monitoring Technical working groups are responsible for initiation, commissioning, publication and dissemination of research outputs.

51. In the health sector, SDC just has had a new 4 year tranche of support to Ifakara Health Institute approved. SDC is in dialogue with other Agencies to create a pooled fund to support the core costs of the institute. This will allow them make necessary investment in infrastructure and organizational development; and also make secondary analysis of data produced through separate research mandates. SDC is a member of the Board of Trustees and Board of Governor of the Ifakara Health Institute.

52. However, there has not been any assessment of SDC needs regarding the provision of research support in view of the Tanzanian country strategy. Overall (except for research project in the area of health) the SDC country office in Tanzania has not been involved in the initiation of funding research activities supported by the SDC HQ Bern.

53. SDC's COOF also conducts some consultancy work; these include the annual Public Expenditure Reviews for the Health sector, assessing the performance of the Council Health Services Boards (CHSB) and Facility Governing Committees (FGCs) in 13 districts in Tanzania (joint funded consultancy by SDC and DANIDA), evaluation of the Community Based Health Initiatives project in Dodoma which is funded by SDC etc.

On the role that the Tanzania SDC Co-ordination Office plays in storing and providing access to the outputs of SDC financed research to other people (such as the general public, government, researchers)

54. The Key informant at the COOF stated that there is a general weakness in this area as the outputs of the SDC financed research in most cases are shared only with the key stakeholders who are in most cases the government and implementing partners but wider dissemination to the wider public is minimal.

55. In the case of PRS monitoring support, the storage and provision of access are entirely managed by the Technical Working groups.

56. PEFAR (President's Emergence Plan for AIDS Relief) outputs were discussed with the Ministry of Health, finance and medical stores department officials in a conference during

[6] Interestingly this SDC supported research activity could not be found on the Aramis data base

2008. It was stated that the report has been shared widely (electronically) with other development partners as well.

57. In the negotiation of the new phase of SDC support to the Ifakara Health Institute, SDC has made its contribution conditional to the production of a number of deliverables (research products) which will directly input into the technical and policy dialogue SDC has with the Government in the health sector. In addition, Ifakara Health Institute intends to set up a district observatory (on the model of the Demographic Survey System), a sample of nationally representative districts where a continuous monitoring will be done of the implementation of policies and strategies as well as of the results produced.

SDC Tanzania Office's view of the effectiveness of SDC policies and procedures for supporting research activities as perceived at the level of country operations

58. The policies and procedures for supporting research activities are not known by everyone in the COOF and needs to be made known to all the staff. In the new cooperation law, there is at least a mention of the necessity to cooperate with research institutions (from Switzerland and elsewhere). The COOF regard this as really crucial. The SDC Office also noted that in Tanzania the cooperation with the Swiss Tropical Institute really is an asset for the Swiss position in the health sector.

59. The COOF report that SDC policies and procedure for support research activities are less based on country needs/demands but rather more on opportunities to carry out collaborative research and to strengthen research partnerships/capacities between the North and South and within the South. This is not necessarily bad, but it depends on the priorities.

The likely implications of SDC's policy of decentralization on future support for research

60. The COOF reported that following the reorganization research on local issues related to and/or affecting the country program would remain crucial. The decentralisation policy should mean better possibilities for establishing lasting partnerships with research organizations. The SCD office in Tanzania is looking forward for more decentralization.

The extent to which the SDC-supported research is seen to be relevant to priority development problems in Tanzania (that is, are the researches funded "in alignment" with national priorities?)

61. The SDC Office view is that "the research that is funded is in line with the national policies but not in most cases with the national priorities". This is because national policies are the guiding principles for research funding, but not all those policies are comprehensively developed to include all the national priorities. More understanding of the development context within the national priorities is important in order to improve policy formulation and hence research funding that is aligned to national interests and priorities.

62. The SDC Office maintains that with their support to the Ifakara Health Institute, SDC is contributing to the production by the Institute of evidence which is used by the Government and other health sector stakeholders to make decisions. By contributing to the core costs SDC ensures that the research agenda is not only dictated by the priorities of external funders, but is also oriented to the internal Tanzanian needs.

63. SDC is committed to good governance in terms of proper functioning of health sector oversight structures such as Council Health Services Board and Facility Governing Committees and accountability and transparency in spending in the health sector. SDC contracted a consultancy on the functioning of the CHSB and FGC. The consultancy was

designed to shed some light on the reasons as to why these structures are not functioning as they should and come up with recommendations on how to strengthen these important oversight bodies. This is on understanding that these structures are very important in delivery health services under the decentralized health care system.

64. SDC-supported research activities in Tanzania built at least partially on the National Poverty Reduction Strategy Paper (NPRSP) and the Millennium Development goals. It is explicitly stated in the NPRSP that sustainable management of natural resource is a key strategy for Tanzania to ensure both poverty reduction and sustainable conservation of ecosystems and ecosystem services. Thus CBNRM is relevant in this context.

The extent to which SDC's commitment to gender equality is implemented in the selection of research topics, in the carrying out of research, in its implementation and in terms of the monitoring of impact in Tanzania

65. The research topics are supported on the basis of needs and so there is no list of research activities that are agreed to be carried out in a particular time. This means that there no real opportunity to look at gender equality implementation and monitoring impact. But this information is easily assessed in the different project evaluations/reviews.

66. The COOF reported that SDC has made some strides on engendering research. For instance it is SDC policy that all Institutions that receive support from SDC should have a gender policy and should report on some gender related indicators. The Coof also commissioned a local consultant who did a needs assessment for all the institutions supported by SDC. The consultant identified gender related training and research needs and came up with a plan of action which brought up some suggestions on what should be implemented in 2008-2009.

67. An example of how this works in practice was said to be provided by the Ifakara Health Institute. This research centre works with a broad approach including social sciences. Health system and access to care are among their strategic priorities. The health sector has a lot to do with gender aspects. Ifakara has developed a gender policy. However, in the case of Ifakara the COOF reported that plan proposed by the consultant mentioned above was not implemented as SDC changed the modality of disbursing funds to Ifakara Health Institute. It was proposed that gender related activities were to be implemented by using the core money from SDC, but these funds were not disbursed. Also in the area of training SDC has shown some commitment on gender equity, for example in both GIS and Governance trainings conducted by CBNRM project made sure that over 50 percent of the trainees' were women.

The extent to which SDC policies and practices enable Tanzania to take advantage of Swiss comparative advantages (that is the activities that Switzerland is internationally renowned and is recognized as particularly experienced and competent)

68. The COOF believes that Switzerland has a major asset in Tanzania thanks to long term cooperation with Swiss Tropical Institute, Ifakara Health Institute, and exchanges with Novartis Foundation7. However they feel that SDC could do more (for instance by giving a contribution to phase 3 trials for new drugs targeted on neglected diseases and low cost treatment do as to produce a positive impact on poverty). There are many studies that have involved researchers from Swiss institutions and partners in Tanzania. The benefits have varied from experience sharing, capacity building, exchange programmes, etc.

[7] Is a non profit organization for corporate responsibility and international Health Corporation. The foundation has a consultative status to the Economic and Social Council of the UN (ECOSOC) and as a foundation it participate in the implementation of health initiatives through lending both financial and technical assistance

69. This evaluation finds that most studies receiving funds for research originating from SDC in Tanzania show that both Swiss research partners from the North and Tanzanian research partners are involved on equal basis. But it seems likely that the choice of topic may be influenced depending on who initiates and funds the proposal. As observed earlier, SDC does not frequently fund individual studies directly, but rather it funds institutions dealing with research – these are the effective research coordinating and funding local institutions.

70. For example the COOF identified the following studies which have involved researchers from Switzerland and Tanzania:

- "Understanding and Improving Malaria diagnosis in health facilities in Dar es Salaam, Tanzania- SNF SDC Research Partnerships"
- "Strengthening Resilience to Urban Environmental Health Risks through Improved Management of Human Waste in Unplanned Urban Settlements in Dodoma, Tanzania"
- "Community-Based Natural Resource Management: The Role of Communities, Tanzania-KFH project"
- "Identifying Resilience Pathways to Sanitary Health Problems in an Unplanned Ward of Dodoma, Tanzania"
- "Community Based Health Initiatives Project Dodoma, Tanzania"

On research projects by type and years that have been funded by SDC in Tanzania in the past five years

71. Looking at the range of support to research this evaluation finds that SDC has contributed most of its funding to studies, evaluations and reviews and rather less on research projects. SDC's main support is to Ifakara Health Institute which is doing research rather than SDC supporting specific research projects.

72. Co-funded activities (with other partners) under the PRS monitoring program are numerous.

73. Other research projects funded only by SDC only include: : Public Expenditure and Financial Accountability (PEFAR) review of the Tanzania medical stores department during 2007.

74. SDC has been supporting the Ifakara Health Institute since 1997, with an overall contribution of CHF 3'125'000. In addition, SDC has commissioned a number of studies to Ifakara Health Institute (Public Expenditure Reviews, Studies on certain aspects of the Health Reform, workshops on health financing….).

Views on how could research related activities best improve the operational effectiveness of SDC programmes in Tanzania; Research findings can be best used to influence policy and also initiate projects to address the issues identified in the research

75. The COOF reported that Evidence based information helps to shape the future interventions more effectively, or provides the basis for making adjustments to ongoing interventions to make them more effective.

76. Therefore the COOF believe that SDC should seek to support research to create the evidence for policy dialogue on development issues

77. SDC Tanzania office suggests that HQ (particularly what they referred to as the "research unit") should be better aware of the needs of the COOF, so that they can match their funding instruments more effectively to local demand and needs.

People Interviewed

78. Carin Salerno, SDC, Tanzania
79. Katharina Jenny , SDC, Tanzania
80. Flora Kessy, Ifakara Health Institute
81. Humphrey Natai, TAWIRA
82. Dr Yves Hausser, Haute école du paysage, d'ingénierie et d'architecture de Genève

Annex 8 – Case Study 4

Nepal Case Study 2: The NCCR South Asia Office and its Research Programme on International Labour Migration and Rural Livelihoods in Nepal

Shizu Upadhya

Summary

The research activities of NCCR South Asia focus on the impact of global change and globalization on marginal areas and marginal people. In this context, one research group has been established in Nepal to look specifically at migration-related processes. Not only does the programme promote PhD and Masters' level research on migration in Nepal and Switzerland, it also supports broader engagement with academic and policy-making communities on issues of migration.

The research programme on International Labour Migration and Rural Livelihoods in Nepal is coordinated by the NCCR Regional Office for South Asia. Partners in this endeavour include the Development Study Group at the University of Zurich, Kathmandu University and Tribhuvan University in Nepal and the Nepal Institute of Development Studies (NIDS) - a partner working specifically on migration in Nepal. NCCR also supports migration research in Pakistan and India.

So far, the research programme has resulted in 1 PhD degree completed in the North and another one launched while 2 Masters degrees have been completed and a further two launched. In the South, 8 Masters degrees have been completed and 1 PhD will be completed by the end of 2009 in the South. The South Asia programme as a whole has trained a total of 77 graduates (8 PhDs and 69 Masters) while 7 PhDs are ongoing. In addition, one collaborative venture expanding on the theme of migration to take into account other South Asian themes of livelihoods and social capital has been launched focusing on Nepal, Pakistan and India. Two partnership actions for mitigating syndromes (PAMS) have also been initiated (one of which is now complete) and one Transversal Package Projects (TPP) has been launched at the University of Zurich on the theme of multi-local livelihoods.

In terms of results, the project has shown that funding academic research that is relevant for policy is able to influence policy provided that the research partners are credible and networks with policy actors are established. For instance, NCCR South Asia has used its migration research to influence the formulation of the Government of Nepal's policy on International Migration and Internally Displaced People (IDPs). Research support has also led to local academic institutions taking up formal teaching on migration.

NCCR South Asia's various PAMS initiatives have contributed to institutional strengthening and policy influencing to an extent, though an impact assessment of PAMS initiatives that compares the costs and inputs involved with actual achievements – particularly in relation to other, non NCCR-supported institutions - would appear to be in order.

Finally, NCCR South Asia is a complex research endeavour that has taken time to produce results. Some of its aspects, such the role of the Regional Advisory Boards, remain unclear while the balance of power within the NCCR structure has changed over time and can still perhaps be further improved in the interests of achieving set goals. While its Swiss supporters have been willing to provide support for 12 years, it is not clear that the NCCR model would be received in a similar way by mainstream donors making it difficult to define it right away as a success story that is widely replicable.

The NCCR South Asia Office and its Research Programme on International Labour Migration and Rural Livelihoods in Nepal

Project Description

Nepal today is recognized as a country of origin for labour migrants, historically to India and more recently to the Gulf countries and Malaysia. The Ministry of Labor and Transport management estimates that there are 2.27 million Nepalis currently working abroad and some 650 migrant workers leave the country everyday. Moreover, migrant remittances now make up as much as 18 per cent of the country's GDP. In a country plagued by conflict, labour migration no doubt makes a significant contribution to people's livelihoods. At the same time, ensuring that workers are protected and treated fairly while they are away, while also safeguarding their rights and the rights of their families back home remains a challenge, and one that the Government of Nepal and international community is increasingly seeking to address.

The NCCR North-South is an SDC-supported research initiative based in Nepal that supports research on issues relating to sustainable development, particularly in developing and transition countries, but also in Switzerland.

The programme seeks to:

- Establish and strengthen North-South partnerships for scientific research
- Integration of disciplinary, interdisciplinary and transdisciplinary research
- Interactive exchange of development research and practice

The research activities of NCCR South Asia focus on the impact of global change and globalization on marginal areas and marginal people. In this context, one research group has been established in Nepal to look specifically at migration-related processes. Not only does the programme promote PhD and Masters' level research on migration in Nepal and Switzerland, it also supports broader engagement with academic and policy-making communities on issues of migration. NCCR South Asia also supported migration-related research in Pakistan and India.

Project Origins

The research theme was identified during a workshop held in 2001 which was attended by Swiss and South Asian academicians, policy makers and development practitioners. At the workshop, it was decided that livelihood problems within South Asia differed by region and country. Among the many issues that emerged, it was decided to concentrate on those in relation particularly to Nepal, Northwestern Pakistan and Southern, Western and North-Eastern India.

In South Asia, NCCR and its partners agreed to emphasize the institutions, policies and processes at local, regional and national and international levels that form the context within which individuals and households create and continuously adapt their livelihood strategies. During the second phase of the programme, it was agreed that rather than concentrating exclusively on asset and livelihood strategies, it was also important to address issues of power and policies. As a result, the three lead themes in South Asia are at present:

- Livelihood realities of the poor and vulnerable in the context of globalization and conflict – one theme of which is international labour migration and rural livelihoods
- Environment and resource management access and entitlements
- Governance institutions policies and practices

In the meantime, migration has also become a theme of concern for SDC. Within the context of its bilateral and multilateral activities, SDC now works on maximizing migration's stimulus to development while minimizing its negative impacts. In particular, its newly-established "Global Programme 'Migration'" seeks to address key issues that affect both the source and destination countries of migrant workers. In this process, SDC aims to promote the implementation of workers' fundamental rights in countries of origin and strengthen migrant inclusion in its partner countries' development programmes. Since it has only recently embarked on its new Country Strategy (2009-12), it remains to be seen to what extent SDC Nepal will indeed prioritize work on migration from now on.

Research Approach

So far, the NCCR programme in South Asia has followed three phases. During the first phase, it concentrated on research and capacity building efforts. From mid 2006 onwards, it attempted to engage more with policy making circles. In the current phase it is attempting to promote comparative debates among researchers across the South Asia programme as a means of deriving new insights that apply across the region.

A further goal of NCCR South Asia is to identify practicable solutions to help mitigate the negative effects of global change. By testing research results in actual development contexts, partnership actions for mitigating syndromes (PAMS) provide a vehicle for validating and evaluating the applicability of research results to practice in the field. In South Asia, PAMS have been promoted since 2003.

NCCR South Asia also seeks to establish Transversal Package Projects (TPPs) that further pursue the research results and experience gains through individual NCCR-supported case studies. TPPs are small initiatives that apply a transdisciplinary approach to sustainable development, seeking to combine insights and tools from both theory and practice.

In the NCCR second phase, NCCR South Asia has further expanded its support services to take into account the needs of not just Masters' and PhD students but also Post Doc researchers. In the context of a TPP, it has also widened its area of inquiry from a focus on Nepal-India migration to look at the movement of migrant workers from South Asia to other parts of the world. Other work seeks to compare research insights between Nepal, India and Pakistan.

NCCR South Asia develops logframes for its projects but has found it difficult to maintain rigid outcome monitoring, a process which evolves differently in the case of research-based activities. Project proposal developed by NCCR South Asia are screened and approved by an independent review panel within a common framework that applies across all NCCR offices.

Partnership Modalities

The research programme on International Labour Migration and Rural Livelihoods in Nepal is coordinated by the NCCR South Asia office. In this endeavour, partnerships have been established with the Development Study Group at the University of Zurich and Kathmandu University and Tribhuvan University in Nepal. NCCR South Asia also has a partnership with the Nepal Institute of Development Studies (NIDS) with specific reference to the migration research

programme. NIDS is a non-governmental research organization established in 1998 with strong links to both Nepal's academic and policy making communities. It provides not only academic supervision services to NCCR researchers but also conducts research and policy influencing activities on migration related issues – through NCCR funding as well as of its own accord. NCCR South Asia also has direct links with Government offices that are responsible for migration, with which information is shared and consultations held on a regular basis.

Contractual, Reporting and Management Arrangements

The NCCR research programme on migration is implemented through core funding relations with Kathmandu University, Tribhuvan University and with NIDS. While the two universities support NCCR Masters and PhD students with an affiliation to the programme, NIDS is a partner for applied research and policy influencing.

NCCR South Asia meets with its regional partners once a year though monitors their progress every three months. It also reports to SDC HQs once a year, and a copy of this report is shared with the SDC office in Nepal. The NCCR Coordinator is based in Kathmandu. He is regularly invited to strategy progress and review consultation meetings at SDC Nepal, and the two offices exist side by side, together with the office of the Swiss NGO Intercooperation. As mentioned previously, it is possible that the relationship between SDC Nepal and the NCCR South Asia research programme on migration will strengthen in view of SDC Global's new concern on migration issues.

The NCCR Coordinator feels that while there was some basic coordination among SDC partners in Nepal, this is not something SDC is proactively promoting. He feels that unless such links are formalized through some medium, they are unlikely to strengthen of their own accord.

Interestingly, the status of and recognition received by the various NCCR regional offices within the overall NCCR structure has gradually increased since the inception of the programme. In this way, while the regional offices were only extended members of the Board of Directors with no voting rights during the first phase of the programme, they were made joint Board members during the second phase and in the meantime have been designated as full members.

NCCR South Asia likewise has access to a Regional Advisory Board (RAB). However, this is not a formal contractual partnership and the exact role and function of the RAB is not fully clear. What is more, some NCCR regional offices have been financially constrained in funding the travel costs of RAB members, which may be an issue to look into.

The migration research programme is also run in coordination with the Nepal Research Group which was set up by the NCCR South Asia office in 2007. This group meets once every three months and has recently started an e-group.

NCCR requires its researchers to publish in peer reviewed journals. As a result, relations are maintained with several journals that address those themes that are relevant for NCCR. However, according to NCCR South Asia, emphasizing publication in peer-reviewed journals is often more of a priority for "Northern" research institutions than "Southern" ones, and may present an example of the differences in style, approach and constraints faced that exist in research activities in the North as compared to the South.

The migration research programme is also assessed by an independent international review panel. The last such review had been planned for 2007 but was later postponed for security reasons.

Project Results

The NCCR South Asia research programme on migration has produced results in all areas of NCCR areas, namely human capacity building, the promotion of scientific exchange and policy influencing. Amongst others:

1 PhD degree has been completed in the North and another one has been launched while 2 Masters degrees have been completed and a further two launched. In the South, 8 Masters degrees have been completed and 1 PhD is in the process of completion. The South Asia programme as a whole has trained a total of 77 graduates (8 PhDs and 69 Masters) while 7 PhDs are ongoing.

- A series of migration-related articles have been published in international and regional peer and non peer reviewed journals as well as books, anthologies and reports
- One "collaborative venture" on the South Asian themes of migration, livehoods and social capital has been launched focusing on Nepal, Pakistan and India, working closely with NCCR research partners in these countries
- A TPP has been launched at the University of Zurich on the theme of multi-local livelihoods. This works with NCCR South Asia researchers on global migration issues. This comes to an end in the middle of 2010
- One course module on migration has been run by NCCR South Asia researchers with a research centre in Calcutta
- One PAMS on migration was launched in order to run radio programmes to better inform migrant workers traveling from Nepal to India and has now been completed. A second PAMS emphasized literacy and awareness in health and labour rights of male labour migrants and informed them about ways of dealing with harassment by Indian authorities. This work is also now completed, and it has resulted in the establishment of a Nepali watchman's organization in Delhi. In terms of migration research in South Asia, NCCR has also supported a PAMS in Pakistan.
- Since 2007, NCCR South Asia and its partners have been regular advisers to the Ministry of Peace and Reconstruction, basing their policy inputs on original NCCR research on migration. This relationship began when NCCR teamed up with the UN's International Office for Migration, UNIFEM and the Nepal Human Rights Council to advocate for a widening the definition of Internally Displaced People (IDPs) that had been formulated in the Ministry's draft policy on international migration and IDPs. Since then, NCCR has also provided inputs to draft versions of the IDP policy guidelines and directives.
- A senior researcher affiliated with NIDS was recently awarded for his contributions to migration studies in Nepal
- Concepts such as international displacement and migration have now been incorporated into the teaching courses run by Kathmandu University

Lessons Learnt

NCCR has surely acquired many lessons from its work around the world which will need to be compiled and disseminated at some point. With regard to the work of NCCR South Asia, and with specific reference to its research programme on International Labour Migration and Rural Livelihoods in Nepal, the following may be said for now:

- Funding academic research that is relevant for policy is able to influence policy – such as the IDP policy in Nepal. In particular, the role of research appears to be one of providing information and building trust among variant parties which is why it is more likely to occur when the research partners are credible and networks with policy actors are established. In turn, academic interest in the topic may also be triggered e.g., universities introducing courses on the subject
- Academic research can support poverty reduction – in the NCCR framework this has occurred through the various PAMS initiatives. Another NCCR South Asia PAMS has worked on land reform in Nepal and has perhaps been more influential than the PAMS on migration – for instance by establishing close working relations with the High Level Land Reform Commission. At the same time, an impact assessment of PAMS initiatives that compares the costs and inputs involved with actual achievements – particularly in relation to other, non NCCR-supported institutions - would appear to be in order. This might also be an opportunity to revisit some PAMS management practices – such as current requirements that demand that they are short-term and one-off.
- NCCR South Asia is a complex research endeavour that has taken time to produce results. While its Swiss supporters have agreed to provide support for 12 years, it is not clear that the NCCR model would be received in a similar way by mainstream donors making it difficult to define it as a success story that is widely replicable at this stage
- It is more challenging to promote research in a region as opposed to in a country particularly in South Asia which comprises of very diverse nations with different research priorities and capabilities and sometimes with different interests
- NCCR research interest preceded SDC's global engagement now on migration, indicating that the links between research and action only become apparent over time

List of People Interviewed

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Dr. Kailash Nath Pyakuryal, Professor at the Human and Natural Resource Studies Center, Kathmandu University and member of the Regional Advisory Board; kpyakuryal@gmail.com

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Annex 8 – Case Study 7

Transition to adulthood and collective experiences in former Yugoslavia (TRACES), SERBIA and CROATIA

Anna Khakee

1. Brief description of the activity

The project "Transition to adulthood and collective experiences in former Yugoslavia (TRACES)" is one of comparatively few SCOPES-supported social science projects in the Balkan region. It received SCOPES funding during the 2005-2008 programme phase and has been formally finalized, although not all outputs were finished at the time of writing (the partners are still working on a collective volume).

This basic research project was designed to be interdisciplinary, involving the disciplines of social psychology, psychology, sociology, and history. It had both qualitative and quantitative elements interwoven into its five thematic units, which were as follows: (1) "Collective experiences in a period of societal instability"; (2) Institutional discourses on human rights"; (3) Contextual effects on young adults' political socialisation"; (4) "Perceptions of intergroup relations and social identity construction"; and (5) "Fundamental beliefs about justice, and coping with traumatic life events".[1] The goals of the project were to produce quality research and to increase capacity in the partner countries involved; the issue of relevance to solving development problems seemed secondary, although the issues at hand—identity formation, conflict, human rights—are core issues in the stabilisation of the former Yugoslav space.

At the outset, TRACES involved two researchers from the University of Lausanne, two from the University of Belgrade in Serbia and two from the universities of Zagreb and Zadar in Croatia. SCOPES funding (a total of CHF 71'960 for the three-year period)[2] permitted the hiring of two research assistants (one in Croatia and one in Serbia), the purchase of some minor equipment (one computer for the University of Belgrade team and software for multilevel data analysis for the two partner teams (in Serbia and Croatia respectively)), and the organisation of two workshops. The six main researchers were not paid through SCOPES.[3]

When the project was launched, the Swiss applicant had already secured funding from Division 1 of the SNSF for preparatory work for TRACES, and another application was pending with the same SNSF division for funding that would allow carrying out TRACES data collection (two different surveys) and the part of the data analysis to be carried out by the Swiss team. Moreover, as noted by the main applicant, the University of Lausanne also put in additional funding, mainly for the organisation of a workshop and an international conference (interview, Swiss research partner).

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[1] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008) Scientific data Project title: Transition to adulthood and collective experiences in former Yugoslavia

[2] SCOPES is co-financed by the SDC and the SNSF. The share financed by each partner has varied over time. During the 2005-2008 programme phase, SDC financed approximately two-thirds, and the SNSF one third

[3] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), section 6 "Financial needs"

The phases/milestones of the project were originally as follows: (a)preparation of the survey; (b) data collection and coding; (c) one-week training workshop on multivariate and multilevel data analysis for young researchers from former Yugoslavia (not confined to Serbia and Croatia); (d) control of data quality; (e) quantitative analyses of survey data and qualitative analysis of documents; (f) second one-week workshop; (g) submission of first papers; (h) joint edited book; and (i) international conference.[4]

2. Origin of the activity

The TRACES project started with the SNSF Division 1 funds for preparatory work (as noted in the previous section), and thus was a project launched by the partner at the University of Lausanne. "We wanted experts from the countries concerned. We also wanted to give something back. SCOPES is very good in that way", notes the main applicant. At the time the main applicant did not have a large number of contacts in the countries concerned, but through a Serbian contact, he managed to get in touch with another potential collaborator from the University of Belgrade, well versed in quantitative methods. For the Croatian participants, the main applicant turned to the European Network of Social Psychology, which recommended a collaborator at the University of Zagreb. Because not all four Serbian and Croatian researchers were interested in quantitative methods, it was decided to add on a qualitative part to the project.

The research proposal was drafted by the main applicant, with comments from the co-applicants. "It was a reiterative process," according to one co-applicant. The co-applicants were also given the opportunity to introduce a number of questions into the survey questionnaire.

The management of SCOPES lies entirely with the SNSF: SDC plays no role in this respect. Thus, the SNSF has elaborated a project management process involving assessment of project proposals, periodic reporting and approval of such reporting, payment in instalments, final reporting, etc. Hence, the proposal was assessed by two Swiss researchers in the same field, who recommended that it be supported The SNSF evaluation forms which the evaluators complete includes, apart from the merit of the scientific and management aspects of the proposal, a section on the "merit of the impact aspects". Here, the project is assessed in terms of the potential significance of the results "for the Eastern European partners from the economic and/or societal point of view", the contribution of the project to capacity strengthening and to a "stronger and more sustainable national and/or international embedding beyond the proposed [project]". The plan for disseminating and exploiting results also forms part of the assessment.[5] It must be noted that, following academic practice, there is no process for obtaining the views of actual or potential "users" of the research.

3.Approach to the research

As noted in the introduction, the project consisted of five interlinked, but different parts. No single question holds them together. Methodologically, they are also different, given the combination of quantitative and qualitative approaches. This somewhat "stitched together" approach was presumably a direct consequence of the attempt to accommodate a number of research partners with partly different methodological and thematic interests.

[4] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008) Scientific data Project title: Transition to adulthood and collective experiences in former Yugoslavia

[5] "Evaluation form for Joint Research Projects (JRP)"

Given that this is an academic research project, there is no implicit or explicit "model of change" moving from outputs to outcomes. Outputs were, however, clearly stated (collection and processing of survey data, training workshop, one-week workshop, first papers, joint edited book, and international conference, see section 1) and were feasible and appropriate for this type of project.

During the implementation phase, some changes had to be made to the original set of milestones/phases. For example, for political reasons, they "could never do the joint training seminars Serbia/Croatia" (interview main applicant). Changes also had to be made to the original proposal since two persons, one Croatian and one Serbian co-applicant, decided to leave the project (see more under section 4). The changes did not mean a reduction in output, however, but more a reallocation of tasks and a partial refocusing of certain aspects of the project.

4. Nature of the research partnership

This is an example of the creation basically from scratch of a research partnership for the purposes of a SCOPES project. It proved to be a difficult partnership, as two of the four ex-Yugoslav partners (one from the University of Zadar and one from the University of Belgrade) left; one in the early phases and the other towards the end of the three-year programme. One left in considerable acrimony, while the other withdrew "quietly" and, to the main applicant, quite unexpectedly. As noted by the main applicant in the final report "It is still unclear to the main applicant if [collaboration difficulties] is the result of interpersonal distorted relationships, of structural problems or of differences in the way academics use to work in different professional and cultural environments."[6] The cultural argument was rejected by one of the participants who found "switching to the level of cultural differences... hardly acceptable (after all, I was certainly not the only representative of my culture on this project)". She also stressed that such explanations "miss the point and, hence, contribute to a worsening rather than solving the problem."

For one of the remaining scholars, "SCOPES was no help for partnerships in the region, we have that already. Instead, it helped a lot with Swiss partnerships". For her, the most important aspect of the SCOPES collaboration was the setting up of an inter-university agreement between the universities of Lausanne and Zagreb (interview, co-applicant). Another participant agreed that collaboration between researchers within the Balkan countries was not good (interview, co-applicant). This configuration of the partnership is confirmed by the main applicant who writes in one of the interim reports that "Since the beginning of this project every Eastern European partner has privileged the cooperation with the Lausanne team and the cooperation between the East European partners are minimal".[7]

The research partnership seems to have been made more difficult by the budget design/lack of resources relative to participants, something noted by one of the participants according to whom "the principal investigator... sent me this basic message that I have to pay on my own if I want to take part [in a conference to present TRACES related material]." This problem was recognized by the main applicant (see section 7 below).

[6] Final Report Program TRACES-SCOPES June 2009, section 4.1
[7] Interim Report February 2007

5. Contractual, management and reporting arrangements

As noted in section 2, the SNSF has established a formalized system of monitoring involving *inter alia* yearly scientific reports which need to gain SNSF's approval, a final report, and a questionnaire for inclusion into the final scientific report. This system was very appreciated by the main applicant (responsible for reporting): "As a main applicant I also really appreciated the flexibility of the SNSF-SCOPES management. The lightless of the intermediate reports, the financial forms, the communication with [SNSF personnel] made things easier all the way".[8] This is something that SNSF sought, as explained by an SNSF representative: "these are 3-year programmes, which requires financial flexibility. We try to be flexible, even though we need to have things in writing" (interview, SNSF representative).

Each yearly scientific report is reviewed and formally approved. As part of the final report, the applicant has to fill in a questionnaire on outputs, impacts, and aspects of co-operation (see section 6).

In accordance with SNSF procedures, all the reporting is done by the main applicant. The main applicant also receives the money, and then sends it on to the co-applicants (interview, SNSF representative).

6. Research results

The questionnaire for final scientific reports examines the joint research projects from three angles: outputs, impacts, and aspects of co-operation. According to the questionnaire, the TRACES projects resulted in 3 accepted scientific publications in peer-reviewed national journals, 12 contributions to scientific conferences, and 1 publication for a non-scientific audience. Moreover, it resulted in 4 masters degrees (2 in Switzerland and 2 in partner countries), 30 students trained (5 of which were postgraduate and another 5 were post-doctoral) and 2 summer schools/courses. Impacts (in terms of effects on research and on framework conditions for research) are, it seems, more difficult to assess through the questionnaire, given that only one person (i.e. the main applicant) fill in the form. The same is true for aspects of co-operation between the various partners. These measurement problems are also noted by an SDC collaborator involved in SCOPES as an inherent problem in assessing research results: "It is virtually impossible to monitor development impact of research results. We know that when people in the East start publishing more, that is a magnet for other funding. Capacity building is more measurable", (interview, SDC collaborator involved in SCOPES).

Two of the most active collaborators were happy with the networking aspects of the project overall. "For creating a network, SCOPES has been very good. We have continued working with one of the researchers" (interview, main applicant). The inter-university agreement between the universities of Lausanne and Zagreb was a direct consequence of SCOPES, underlined a co-applicant: "that was the most important outcome". In addition, lecturing exchanges were also cited as an important result of the programme (interview co-applicant). For another co-applicant, the experience was quite different, and she found communication problems overpowering, and a main factor in her decision to leave the project (interview, co-applicant).

An unintended outcome was the beginnings of an implication of non-academic communities. As noted in the final report: "This project was in priority an academic research project and its impact on society is difficult to measure at short term". However, "[d]uring this project… we have initiated

[8] Final Report Program TRACES-SCOPES June 2009, section 6.1

an exchange with people who are directly in touch with war victims or with international organizations".[9]

The sums allotted through SCOPES are small or "nominal" as one collaborator put it (interview, main applicant), but there is no agreement as to whether this poses a problem. For the main applicant, it is more a question of adjusting one's ambitions to the means available (interview, main applicant). If a co-applicant were to suggest one improvement of the programme to the SDC and the SNSF, it would, however, be to "enlarge the funds available" (interview co-applicant).

Although TRACES was one of the few social science projects in the Balkan region, there was no contact with SDC in relation to the design of the new Regional Research Promotion Programme (RRPP) in the field of Social Sciences (interview main applicant).

7. Lessons learned

The two main lessons learned from the vantage point of the main applicant were:

- "I was too ambitious with the sums available"
- "Next time around, I would clear the ground more, prepare differently" (interview main applicant)
  From the point of view of one of the collaborators:
  "Despite my negative experience with the particular project, I find the idea of collaboration within the SCOPES valuable and worthy of effort and support, and have no doubts about participation in its projects; I would recommend it to others and would be willing to take part myself because the problems I experienced in collaboration within TRACES are of (inter)personal nature, which is not related to the SCOPES as such."
  It seems that SCOPES is well-managed, with reporting and monitoring well adapted to the size of the collaboration. A possible lesson learned might be:
- Ask partners to take part in evaluation at end of collaboration, so as to get a broader view of impacts and aspects of the co-operation between partners; in the case of a collaboration which encountered some difficulties, such as this one, this may be of particular interest.

List of interviewees

Dr. Dinka Corkalo Biruski, Associate Professor, Department of Psychology, Faculty of Humanities and Social Sciences, University of Zagreb

Dr. V. Cubela Adoric, Assistant Professor, Department of Psychology, Univeristy of Zadar

Ralph Friedländer, Programme Manager for Regional Programmes in Culture and Research in the Western Balkans, SDC Western Balkans Division

Dr. Evelyn Glättli, Deputy Head International Relations, Swiss National Science Foundation

Dr. Dario Spini, Associate Professor, ITB/PaVie Center, University of Lausanne, main applicant for the TRACES project

[9] Final Report Program TRACES-SCOPES June 2009, section 4.1

Annex 8 – Case Study 8

Bioencapsulation for protection and development of new probiotic bacteria in food and health products SERBIA

Anna Khakee

1. Brief description of the activity

The project "Bioencapsulation for protection and development of new probiotic bacteria in food and health products" received SCOPES funding during the 2005-2008 programme phase. In the autumn of 2008, the participants asked for an extension of the duration of the project, and they were granted a series of short extensions, the final of which expired on 31 August 2008. At the time of writing, the project had not been closed and the final reporting had not been completed.

This SCOPES joint research project dealt with lactic acid bacteria, which are key to the preservation and taste of fermented foods of both animal and plant origin (such as cheese, yogurts, cured meats, dry sausages, olives, pickles etc.). It was an applied research project in the area of food biotechnology with potential practical applications in the form of "functional foods".

The scientific objectives of the research were twofold: (a) isolate, identify, and characterize new strains from the genera *Bifidobacterium* and *Lactobacillus* with high potential for applications as probiotic cultures in foods and health products from the biodiversity of Serbian high quality traditional fermented products; and (b) provide new microencapsulation methods for the protection and stabilization of sensitive probiotic cultures.

Apart from the stress on the scientific aspect, there was also an emphasis on capacity building: "This project will have large impact on training of young scientists through their active participation in a well-designed and original research project and also through participation in short term scientific missions".[1] Moreover, "the project is not thought to have an impact limited to academia, but also on the development of new technologies with high potential for transfer and application in the industry." This, in turn, is supposed to have a societal effect: "it is of great importance to develop the new probiotic products for human use... which could contribute to attenuate or solve many problems with population health and well-being in the transition period of [Serbia and Montenegro]"[2]

The bioencapsulation project involved one researcher from the Institute of Food Science and Nutrition at ETH in Zürich and two researchers from the University of Belgrade (one from the Department of Food Technology and Biochemistry and one from the Department of Chemical

[1] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products", Scientific data

[2] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products", Scientific data

Engineering respectively). SCOPES funding (a total of CHF 72'000 for the three-year period)[3] permitted the purchase of some equipment and consumables for the Serbian partners (syringe pump, double nozzle extrusion system from microcapsule coating materials for cell encapsulation, microbiology media and reagents, etc.). It also covered travel expenses, accommodation and meals for meetings and short term scientific missions for young scientists, and overheads for the University of Belgrade. Moreover, it permitted individual grants for the Eastern European partners, senior and junior collaborators alike[4]

When the project was launched, the partners were already collaborating through a pan-European COST Action. The partners expected that the two types of funding would be mutually reinforcing. For example, short term scientific missions for young researchers could be financed through COST. Apart from research time, the Swiss partner ETH also contributed to running expenses. [5]

The phases/milestones of the project were originally as follows: (a) screening of new food bacteria with specific activities, heat stability; (b) selection of probiotic bacterial strains with good antimicrobial activity from the previous isolation step and from culture collections at the University of Belgrade; (c) investigation of different biopolymers and encapsulation techniques for cell encapsulation; (d) characterization and optimization of microcapsule properties; and (e) development of microcapsule coating.[6]

2. Origin of the activity

The actual research proposal was drafted by the Swiss and the Serbian partner. The idea was joint and the main lines of the proposal "came from a natural process of discussion" or, as put by the Serbian research partner "very easily we agreed with the Swiss partner about the basic idea/subject of research, and all partners played a role in promoting it" (interviews, research partners).

The management of SCOPES lies entirely with the SNSF: SDC plays no role in this respect. Thus, the FNS has elaborated a project management process involving assessment of project proposals, periodic reporting and approval of such reporting, payment in instalments, final reporting, etc. Thus, the bioencapsulation proposal was assessed by two Swiss researchers, one from a similar field and one other who stressed that "I am not at all an expert in this field".[7] Both recommended that it be supported.

[3] SCOPES is co-financed by the SDC and the SNSF. The share financed by each partner has varied over time. During the 2005-2008 programme phase, SDC financed approximately two-thirds, and the SNSF one third

[4] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products" section 6

[5] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products", sections 4 and 5

[6] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products", Scientific data

[7] "Evaluation form for Joint Research Projects (JRP)"

The FNS evaluator's forms include, apart from the merit of the scientific and management aspects of the proposal, a section on the "merit of the impact aspects". Here, the project is assessed in terms of the potential significance of the results "for the Eastern European partners from the economic and/or societal point of view", the contribution of the project to capacity strengthening and to a "stronger and more sustainable national and/or international embedding beyond the proposed [project]". The plan for disseminating and exploiting results also forms part of the assessment.[8] As outlined in section 1, the proposal put considerable emphasis on these latter aspects. The main applicant noted that "For a regular FNS grant, the science needs to be more thoroughly explained; for SCOPES, the level of science is different". However, he did not necessarily believe that the SCOPES grant application process was more geared towards practical results: "the final application is always important, even for other types of grants". It must be noted that, following academic practice, there is no process for obtaining the views of actual or potential "users" of the research.

3. Approach to the research

The objectives and approach of this project are well described and connected in the project proposal, as outlined in section 1. Expected outputs were clearly stated in the proposal: publications in international and national peer-reviewed scientific journals, publications in specialized journals targeting industry, conference presentations, and web presentation. According to the proposal "this research has also potential to generate data that can be protected by patents".[9] This last goal was, as noted by the main applicant in the interview, perhaps slightly over-ambitious.

There is an explicit "model of change" described in the project proposal, going from research results (in the form of new probiotic strains, new technologies and processes) to application in the industry, and finally to health effects in Serbia (see quote in section 1) and economic effects as well: if patents and industrial applications are found there would be "significant economic returns for Serbia and Montenegro in a very active industrial domain".[10]

During the implementation phase, the research plan was maintained as originally planned, but some changes were made to the timetable and to expenditures (COST money could be used to cover travel expenditures, therefore SCOPES funds were used for the purchase of additional equipment).[11] Several extensions of the project were sought because one of the Serbian partners became Assistant Minister for International Scientific and Technological Cooperation (see also section 4) and two of the scientific staff at the university of Belgrade were absent for health or maternity reasons.[12]

Gender "was not an issue" vis-à-vis SNSF, according to the main applicant.

[8] "Evaluation form for Joint Research Projects (JRP)"

[9] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products", Scientific data

[10] Proposal form for International Co-operation: Scientific Co-operation between Eastern Europe and Switzerland (SCOPES 2005-2008), "Bioencapsulation for protection and development of new probiotic bacteria in food and health products", Scientific data

[11] Request for budget change 4.11.2005, Request for budget change 30.10.2007

[12] Request for extension of duration 20.9.2008, Request for extension of duration 24.5.2009

4. Nature of the research partnership

The team members already knew one another well through the COST network and through professional organisations. For the main applicant, applying for SCOPES funds was "more a service to the Serbian group, because we have to invest a lot of our time and resources". After the project completion, the main applicant expected "normal research relations and exchanges between colleagues".

Collaboration seems to have run smoothly on most levels. As the main partner on the Serbian side noted in one of the final stages of the collaboration "I would like to emphasize that during [the whole] project duration we had excellent communication and cooperation with our Swiss partner".[13] However, collaboration was complicated by the multiple roles and tasks assumed by the main Serbian partner: "One of the co-applicants became Serbian vice-minister of science. That was difficult for us, as his responsibilities at the university were not transferred to someone else. Management became chaotic", explained the main applicant. This is a more general problem encountered in the region as explained by an SNSF representative "people are often involved in so many jobs, it is difficult to create competencies".

5. Contractual, management and reporting arrangements

As noted in section 2, the SNSF has established a formalized system of monitoring involving *inter alia* yearly scientific reports which need to gain SNSF's approval, a final report, and a questionnaire for inclusion into the final scientific report. This system was appreciated by the main applicant "SCOPES permits flexibility", he stressed. In accordance with SNSF procedures, all the reporting is done by the main applicant. The main applicant also receives the money, and then sends it on to the co-applicants (interview, SNSF representative).

When asked about which of the partners would register any patents stemming from the research, the main applicant explained that it had perhaps been ambitious to state in the application that there would be patents "although one can be lucky", and laughed that he was glad there were none as they had not determined how to deal with that eventuality. The co-applicant stressed that "in the case we [seek a patent], all involved institutions will get right of patent."

6. Research results

Given that the final reporting, including listings of publications and other results, had not been prepared at the time of writing, it is difficult to analyse research results. Both sides were particularly happy with the capacity building, in particular the improvement of the capacity to do research of some of the young Serbian collaborators. As noted by one of the main researchers: "it allowed the development of strong cooperation between the partners, mobility and training of young researchers..., purchasing of small equipment. Also, based on the research programme that was realized, two theses were completed, one master, and one PhD." Methodological training is also stressed as one of the strong points of SCOPES generally by an SDC collaborator involved in SCOPES.

[13] E-mail from Viktor Nedovic to SNSF 21 July 2009

7. Lessons learned

Lessons learned from the vantage point of the main applicant included the following:

- "The Swiss research partner must be willing to put in own resources, perhaps ten times of the SCOPES money."
- "SCOPES is very interesting and fills a role, it is unique. It has an impact on the receiving partner."
- "It is not necessary to increase the sums available; if levels of support are significantly increased it will come in direct competition with other programmes"

The co-applicant partly disagrees with the last point, his main recommendation would be:

- "To provide larger budgets, to involve more partners, and SME sector as well."

Additional lesson learned might be:

- The fact that the partners knew one another and were embedded in several cooperative endeavours together probably made cooperation smoother.
- The external assessment of project proposals seems relatively light, perhaps not surprising given the limited size of SCOPES grants.

List of interviewees

Ralph Friedländer, Programme Manager for Regional Programmes in Culture and Research in the Western Balkans, SDC Western Balkans Division

Dr. Evelyn Glättli, Deputy Head International Relations, Swiss National Science Foundation

Dr. Ing. Christophe Lacroix, Professor, ETH Zurich, Laboratory of Food Biotechnology, Institute of Food Science and Nutrition

Dr. Viktor Nedović, Assistant Professor, Department of Food Technology and Biochemistry, Faculty of Agriculture, University of Belgrade

Annex 8 – Case Study 9

Improved feeding systems for smallholder dairy cattle with emphasis on dry season feeding and its effect on milk production

Swiss Federal Institute for Technology Zurich (ETHZ)
Case study by Carlos de la Torre and Rebecca Clements – Revised November 2009

The views expressed in this document represent the view of the author alone, and do not necessarily represent the views of SDC or of any of the people or organisations named.

1 Brief description of the activity

The goal of the ETHZ project was to undertake participatory development of more efficient dry season feeding systems for smallholder dairy cattle farmers in the highlands of Peru. Principle research topics include the effects of altitude on the quality of dairy milk and the impacts of the introduction of new species of forage on milk production and on the incomes of farmer families in the Peruvian highlands.

The project was led by the Department of Agricultural and Food Science of the Swiss Federal Institute for Technology Zurich (ETHZ) and carried out in collaboration with a number of national and international research and extension institutes. They were:

- Agroscope Liebefeld-Posieux Research Station, Switzerland
- The Swiss College of Agriculture (SHL), Switzerland
- Intercooperation, a Swiss NGO
- The National Agrarian University La Molina (UNALM), Peru
- The Institute for Small Sustainable Production (IPPS) (part of UNALM)
- The International Center for Tropical Agriculture for (CIAT), Colombia
- International Livestock Research Institute (ILRI), Colombia
- SAIS Tupac Amaru. Highlands farmers cooperative organization. Pachacayo. Junín. Peru-
- The National Institute for Agricultural Innovations (INIA), Peru
- Farmers from four rural Andean rural communities named Chalhuas, Sallahuachac, Aramachay , and Llacuari. They are located in Sincos District, in the Department of Junin , Central Highlands of Peru.

The research that was undertaken by the participating institutions was 'applied' and sought to address knowledge gaps in the disciplines of biology and economics, relating to the dairy sector. Elements of participatory research and capacity building were included in the research activities. The research activity began in 2005 after two preliminary situational analyses were realized during 2003.

Funding for the project was provided via the North South Centre- the focal point of ETHZ which promotes research collaboration and capacity development in international development- which is partly financed by SDC. The North-South Center (ZIL) provided 359,100 CHF to the project and this came entirely from SDC. An additional in-kind contribution from partners was approximately 457,000 CHF.[1] This included staff time and resources provided by UNALM set out in a Memorandum Of Understanding signed between

[1] Personal communication Dr Michael Kreuzer 27th October 2009.

UNALM and ETHZ. In total, five professors from UNALM participated in the research activity, including a Professor in the Department of Nutrition, who worked as local coordinator. INIA provided seeds free of charge and IPPS ran community training sessions at no cost. Four communities each donated land and manual labour and a number of cows were also loaned to the project by community members.

SDC does not have any other operational programmes in Peru that specifically deal with smallholder dairy cattle. However, the project does have close connections with other research activities being carried out by ETHZ in Switzerland into the impact of altitude on milk quality and production.

2. Origins of the activity

It appears as though the research idea was a collaborative effort between UNALM and ETHZ. A member of staff from the UNALM approached a member of staff at the ETHZ to inquire after possible opportunities for collaboration between the two institutes. This happened to coincide with the launch of a new research programme by the North South Centre into the impact of altitude on milk production and quality. A member of the ETHZ staff visited Peru to develop a proposal jointly with the UNALM.

In terms of relevance, a number of articles produced during the project state that ruminant livestock plays an important role for rural households in the Peruvian Andes principally in terms of milk production, drought power, and as cash reserves. Limited availability of good quality fodder especially during the dry season is said to be one of the main limiting factors for livestock systems in the central Peruvian Andes. The programme worked experimentally and involved four questionnaire surveys in the four communities (see above). A number of feedback meetings were held with farmers (actual and potential users and representatives of farmers' groups) and community chiefs. In addition the programme was driven in part by the Peruvian National Agrarian University. A member of staff of the UNALM had been working for over 20 years on livestock management in Peru and had also worked with the four target communities previously and had a clear view of the needs for research on alternative options for dry season forage for cattle. It can be assumed that the work was relevant to Peru in this sense, although not necessarily a priority to the agencies that were likely to fund interventions.

The SDC Coordination Office in Lima was neither involved in the design or the monitoring of this project. The team reportedly did approach the coordination office to learn more about previous research in the Peruvian dairy sector, but the persons approached were found not to be interested in collaboration. It appears that there is limited knowledge about the existence of this project and it does not feature in the list of SDC-funded research projects between 1964 and 2009.(See "La cooperación suiza en Perú: Carpeta de proyectos". COSUDE - SECO)

In terms of co-ordination with other donors and other researchers, it would appear that as the participating institutions are key players in livestock management research (in Peru and internationally) that they would be fully aware of other donor activity in this area. Furthermore, articles based on the research results were published in prominent agriculture and livestock journals. This could suggest that research activities were contributing to, rather than duplicating, ongoing research programmes.

3. Approach to the research

The objectives and approach of the project are described in the ETHZ Research Database Project Summary Document. The project is stated to consist of five main parts:

1. Assessment of seasonal variations in availability and quality of local forage and feed resources
2. Determination of the potential of alternative management practices and introduced plant species to improve forage availability and quality during dry season
3. Determinations of the interrelationship between altitude, genotype, diet and season with regard to milk quality
4. Development of improved forage management and supplementation options for the dry season
5. Assessment of the utility and viability of the new strategies derived from the project defined with farmer's participation

Participatory assessment of alternative feeding options by farmers and local institutions is stated as a transversal issue. No underlying model of change was set out explicitly in project documentation.

Information from interviews suggests that some methods of implementation were set out in the research proposal, while others were developed once the project was underway. For example, the scientific testing of forage and milk quality would have been pre-designed, whereas community participation and training were developed based on interactions with local institutions and farmers.

The project design does not contain any elements that might be considered discriminatory to women. However, there is no mention of a gender approach in the proposal, neither in the selection of research topics, in its implementation nor in terms of monitoring impact. The PhD candidate conducting the research and the coordinator of IPPS inputs are female.

4. The nature of the research partnership

The research partnership was headed by ETHZ with UNALM as main local partner that provided technical personnel as well as a team of students who helped with data collection and designed and ran the community training courses via the IPPS. CIAT contributed a methodology for evaluating the economic impact of dual-purpose cattle systems.

There is no mention in any documentation of the KFPE Partnership Principles, but the partnership did appear to be one of equals with representatives of both institutions contributing to project design and execution. ETHZ reported that almost 100% of the SDC budget was spent in Peru (and Nicaragua where part of the project was also run) if the PhD student is included as she worked there for the major part of the time. However, UNALM did contribute some of its own resources to the project. Information from interviews indicated that the relationship between institutions was "positive" and "constructive". When the research results were published, due acknowledgement was given to researchers from UNALM, CIAT, ILRI and Agroscope.

5. Contractual, management and reporting arrangements

The research proposal was submitted to and approved by the North South Centre in a competitive process. ETHZ then launched a call for potential PhD students to apply to carry out the work. There appears to have been no participation from SDC in the project design. A representative of SDC was reported to have been included on the project selection committee. The process appears to have been open and fair.

A member of staff of the Institute of Animal Sciences at EHTZ, was overall research coordinator. A member of staff of the UNALM was local coordinator responsible for financial management in Peru. The PhD candidate reported directly to her PhD coordinator at ETHZ. Regular correspondence and meetings between the PhD candidate, EHTZ and UNALM appear to have ensured clear communications between all partners. It appears as though no representatives from the SDC Coordination Office in Lima or Headquarters were assigned to the project.

No monitoring programme is described in the documentation. It appears that monitoring was undertaken on a continual ad-hoc basis throughout the three year project and that project activities were adjusted accordingly. This entailed regular meetings and correspondence. Annual reports were prepared by the PhD candidate and ETHZ and submitted to the North South Centre. The Local Coordinator in Peru produced financial reports that were sent to EHTZ who then drew on it to compile their financial and technical reports for SDC. The PhD thesis was subject to an evaluation.

The activity does not appear to have been subjected to an external evaluation. However the proposal was assessed by various anonymous reviewers for scientific and development relevance. The achievements of the project were summarised in four research papers, which were reviewed by at least two independent anonymous reviewers each, and a number of presentations.

6. Research results

Four articles were published in international peer reviewed journals as a result of the research activity:

- "Agronomic performance and nutritive value of common and alternative grass and legume species in the Peruvian Highlands", *Grass and Forage Science,* **64**, 109-121, Blackwell Publishing Limited, 2009
- "Economic evaluation of current and alternative dual-purpose cattle systems for smallholder farms in the central Peruvian highlands", *Agricultural Systems*, 101 (2009) 152-161, Elsevier Ltd.
- "Effect of diet type on performance and metabolic traits of Peruvian local and introduced cow types kept at 200 and 3600m altitude", *Livestock Science,* 122 (2009) 30-38, Elsevier Ltd.
- "Milky fatty acid profile of Peruvian Criollo and Brown Swiss cows in response to different diet qualities fed at low and high altitude", *Archives of Animal Nutrition*, Vol. 62, No. 6, December 2008, 468-484.

The availability of the journals on the internet means that the research results are available in country and internationally. The research findings have also been presented at several Tropentag events (International Research on Food Security, Natural Resource Management and Rural Development Conference) held in Germany.

The articles and information from interviews provide the following assessment of achievements:

<u>Forage</u>

The project evaluated the comparative growth of 11 forage species under traditional production systems used by farmers in the highlands. Experimental plots of land were set up in the four communities and the forage species were grown without the use of irrigation and according to local farming practices. The forage was exposed to frost and other climatic conditions. For the research activity, 9 annual and 3 perennial species were selected. The study found that the best alternative forage options for farmers are improved varieties of oat

and barley. It was recommended that these replace locally grown oat and barley varieties and that the farmers also produce seeds for the improved varieties. The study findings were communicated to farmers via training events and with the production of a manual entited " The potential of local and improved forage species for livestock feeding", authored by Kartin Bartl et al., ETHZ-ZIL, no date.

Milk quality and production

The project evaluated the effects of altitude on the quality of milk given that in Switzerland it had been observed that cows produce a better quality of milk in highland areas. In Peru the project found that milk quality does not alter with altitude , but that it is related principally with feed type and cow genotype. The study therefore recommends improving the quality of forage and raising "Criollo" cows that are more suitable to local conditions in terms of availability of naturally growing forage, altitude and health. In zones above 3,800m, milk production from Criollo cows reaches an optimum of 18 litres of per day.

Economic impact assessment

As a result of improving the quality of forage, the biggest increases in household income were observed in families living in higher zones where dairy farming represents one of the main economic activities. In lower zones, livestock raising is less important to household income and therefore impacts of improved forage were not so significant. The project found that in higher zones annual income increased from $1,050 to $1,250 when families fed cattle on oats and barley grown using fertilizer. Income increased by a further $30 to $1,280 when herd size of Criollo cows was also increased.

The capacity to do research was improved for those doing MSc, PhD and those IPPS students who ran the community training sessions. There are no objective measures of this impact. Information from the interviews indicated that the research activity has contributed to ongoing cooperation between UNALM and EHTZ who have since submitted joint proposals to different funders.

It would appear that the people and organisations that made most use of the research were other researchers. A manual containing research results and practical advice on how to implement lessons learned was produced and circulated amongst the target communities. Information from the interviews indicated that in some communities this information has been implemented and changes in forages had been made. Again, there are no objective measures of this impact.

There is no evidence in the documentation that the results of the research were fed into the local policy process. However, technical problems were resolved regarding improved forage management and supplementation options for dry seasons.

It would appear that SDC has not made direct use of the research results either in the country offices or headquarters. SDC has not attempted to add value to the research results in any way. All documentation is available on the network website hosted by EHTZ.

The findings of the research have led to a further research activity into the life cycle analysis of milk production in the highland and coastal areas of Peru- funded by the UNDP. This study focuses on the impact of the water and land management practices on local ecosystems.

6. Lessons learned

1) Strong links between researchers from local and foreign universities is an important factor for the success of scientific research and agricultural development projects. In this case, the collaboration with UNALM was vital because the university and its professors already had established links with the farming communities in Peruvian highlands in relation to similar activities.

2) A research project that aims to benefit rural populations should seek to disseminate research findings which are supported by local government bodies. The SDC office in Peru could have supported the project in relation to dissemination of results and local advocacy, but it appears that the office did not regard itself as responsible for the project..
3) In order to create an institutional environment that enables the development and implementation of a research project, it is necessary to ensure that the interests of local communities are represented by project objectives and to develop a strategy to let the farmers to obtain a good understanding of these objectives and research methods.
4) It is also necessary to engage with local communities on study findings. During the ETHZ study a participatory approach was possible thanks to cultural awareness and social engagement promoted by the lead researcher, attributable largely to her previous experience with rural development projects in Peru.

Documents Reviewed

ETH Research Database Project Summary, 2009

"Options for the improvement of dry season feeding for milk production at high altitudes in Peru and the response of local Criollo and Brown Swiss cows to improved nutrition", Dissertation Summary, 2008

"Improved feeding systems for smallholder dairy cattle with emphasis on dry season feeding and its effect on milk production", Project Document

"Agronomic performance and nutritive value of common and alternative grass and legume species in the Peruvian Highlands", *Grass and Forage Science,* **64**, 109-121, Blackwell Publishing Limited, 2009

"Economic evaluation of current and alternative dual-purpose cattle systems for smallholder farms in the central Peruvian highlands", *Agricultural Systems*, 101 (2009) 152-161, Elsevier Ltd.

"Effect of diet type on performance and metabolic traits of Peruvian local and introduced cow types kept at 200 and 3600m altitude", *Livestock Science,* 122 (2009) 30-38, Elsevier Ltd.

"Milky fatty acid profile of Peruvian Criollo and Brown Swiss cows in response to different diet qualities fed at low and high altitude", *Archives of Animal Nutrition*, Vol. 62, No. 6, December 2008, 468-484.

People Interviewed

Dr. Karin Bartl, PhD thesis candidate at time of research activity Currently Member of the ETHZ research project "Assessing and Compensating the Ecosystem Impacts of Agricultural Products in the North-South Context – 'myEcosystem'; Jr. Leonardo Da Vinci, 401, Dpto. 301, Lima, Perú, Tel +511 2243589 ; k_bartl@hotmail.com.

Dr. Carlos Alfredo Gomez Bravo, UNALM representative and Local Coordinator
Currently Professor in the Department of Nutrition, Universidad Nacional Agraria de La Molina, Tel + 511-3494028; cagomez@lamolina.edu.pe

Written comments were provided by Dr Michael Kreuzer, Institute of Animal Science, Animal Nutrition, ETH Zurcí; michael.kreuzer@inw.agrl.ethz.ch

Annex 8 - Case Study 10

Study of the effects of Swiss ODA on the Swiss Economy

Etude sur les effets économiques en Suisse de l'aide publique au développement (APD)

Gareth Williams

Brief description of the activity

This study has been carried out every four years since 1996 by the Graduate Institute of International and Development Studies in Geneva (IHEID, formerly IUED) working with the Institute of Economic Research (IRENE) at the University of Neuchâtel. The third phase was completed with the release of the 2006 report, which has been published as an SDC document.[1]

The purpose of the study is to quantify the effects of Swiss ODA on the Swiss Economy. The methodology includes three types of effect: (1) direct effects of Swiss bilateral aid spending on the Swiss economy, (2) leverage effects whereby Swiss bilateral aid spending levers in additional development financing from other sources in Switzerland, and (3) indirect effects of Swiss contributions to multilateral organisations that have operations in Switzerland. The study calculates the total of these primary effects on GDP, and consequent secondary effects using Keynesian multipliers. The study found that in 2006 every franc of Swiss ODA induced between 1.40 and 1.64 francs of additional spending in the Swiss economy.

The 2006 study also introduced a new component to the study, which specifically examined the effect of Swiss ODA on Swiss exports.

Origin of the activity

The origin of the study is attributed to a parliamentary question in 1981 where the government was requested to assess the economic benefit of Swiss ODA in Switzerland. Following an initial study, which was recognised to have suffered from conceptual and methodological shortcomings, SDC opted to commission the research work through a mandate awarded to IUED and IRENE, who were deemed to be the most competent institutions in this field. The mandate has since been renewed every four years.

Approach to the research

The research methodology was developed by the researchers and approved by SDC. The approach has not changed substantially over the three phases of the activity, with the exception of the inclusion of the export study in the third phase. However, the researchers have had to adapt to the changing aid environment and changing definitions of ODA over the past years. The most important changes have been Switzerland's participation in HIPC and the treatment of spending on asylum seekers in Switzerland as a category of ODA.

SDC has not been involved in the design of the research methodology, and has been happy to continue with the approach developed under past phases. The researchers have stated that they appreciated their independence, and SDC's hands off approach, but at the same time

[1] Currently unavailable on SDC website, but see http://www2.unine.ch/webdav/site/irene/shared/documents/cahier0004.pdf

would have welcome more guidance from SDC on what were headline issues of particular importance to the agency.

The research work has involved laborious data gathering on different types of aid expenditure. For each phase of the project this has involved about 6 months of close interaction between the researchers, SDC and other federal agencies delivering ODA. The researchers have noted that the level of operational support (in terms of making data available) provided by SDC has been very good.

Contractual, management and reporting arrangements

The research work is managed through a mandate granted to the Graduate Institute of International and Development Studies in Geneva. The managing and reporting requirements are straightforward and have not been problematic. The main requirements on the part of the contractor are to deliver the completed study and to account for the funds used. The participating Swiss institutions have received a new mandate through direct contracting for each of the three phases.

There has never been an evaluation of any phase of this study.

Research partnerships

There are no North-South research partnerships involved in this study. The partnership between IHEID and IRENE has operated smoothly.

Research results

The research results are published in an SDC publication. The findings of the third phase generated much attention because SDC was seeking a new credit appropriation in Parliament at the time. Within SDC the results presentation generated strong interest, and a synthesis briefing document was requested for senior management.

According to the researchers the study has been received differently by various political forces, and there have been opposing criticisms that Switzerland has been deriving too much, or too little benefit from its aid spending. Consequently, the report was initially seen to be politically sensitive and was not published until it had passed through the parliamentary process. However, publication does not appear to have stirred controversy, and the study is generally regarded as a solid piece of evidence that has helped inform the debate (rather than being a source of debate in itself).

The researchers are currently preparing a paper for a major development journal on the methodology used for this study and its application to the Swiss case. There are very few similar studies of other countries, and it is believed that their experience should be of value internationally.

The research has not led to any other follow-up or spin-off activities outside of the SDC mandate, but the researchers recognise the potential for wider applications time permitting.

Lessons learned

This case study provides a rather uncommon example of the direct commissioning of research study by SDC to meet its own strategic needs (in this case responding to a parliamentary question). SDC's objectives in commissioning the research have been achieved, and for a relatively modest investment (CHF 155'000 for the third phase) the results appear to be good quality, credible and suited to SDC's and parliament's needs.

The publication of the research results in an SDC publication is also relatively unusual for a research mandates, but has proven to be an appropriate way to ensure dissemination of the research results.

Although the demand for the research clearly emanates from SDC there has been little substantial input from the agency on the content and direction of the study. This has not been detrimental to the quality of the work, but the researchers would have welcomed inputs and suggestions from SDC, beyond the excellent collaboration in the provision of detailed data on Swiss ODA by SDC. There is also little sense that SDC are thinking strategically about how the study should develop over the medium- to long-term. At what intervals should the study be repeated? Should it be extended into new areas? How should SDC share it with partners?

Source: Based on an interview with Professor Gilles Carbonnier, Graduate Institute of International and Development Studies, 3 November 2009

Annex 8 – Case Study 11

Eastern Africa Network for Trypanosomosis (EANETT) Phase II CHF 1'040'500

Project 7F-01126.02. Mandate. 80% research (Aramis) based at the Swiss Tropical Institute
Case study by Andrew Barnett 20 October 2009.

The views expressed in this document represent the view of the author alone, and do not necessarily represent the views of SDC or of any of the people or organisations named.

Overall summary

This network would appear to be an exemplary model of a "research network" in which a highly credible Swiss research institute (that has worked for 50 years on Trypanosomosis) responded to a group of African research institutes to form a coalition or network to strengthen their research, to provide mutual support and peer review "self evaluation" and to gain strength to obtain funding from other sources.

The case exemplifies that research types and organisational forms differ between sectors. In human health, the model of change is well known and there is a believed to be well developed "innovation system" in which research interacts with the producers of pharmaceuticals and diagnosis kits and the systems (often under developed) that deliver these services to poor people.

The case also illustrates a dilemma for SDC. SDC does not have operational programmes on sleeping sickness. However Switzerland has been working on the topic for over 50 years, and it is an important if neglected disease that is experienced by poor people. There was a feeling in the SDC head office that by supporting this research network, SDC country programmes may have been influenced to include sleeping sickness in their programmes in future. In the event it proved difficult to get the country co-ordination offices to engage with the work (mainly because the staff are seen as "generalists"). However the office in Kenya showed some interest and the programme is mentioned in SDC Annual Programme Document for East Africa 2006. From the perspective of the country co-ordination office, one can understand that there may well be resistance to and possibly resentment of programmes such as this that are initiated in the head office. In future it is suggested that the "national" locally hired sector specialists in country co-ordination offices will prove critical in whether or not research is funded and the nature of that research.

SDC gave notice at the outset that it would only fund the network for 4-6 years. SDC decided not to continue funding the network after the final "bridging phase", and it is now in financial difficulty following the apparent breakdown in the two years of funding negotiations with the Gates supported Swiss-based NGO called FIND.

1 Brief description of the activity

The goal of EANETT was to strengthen collaboration in research, training, prevention and control of Human African Trypanosomiasis to reduce mortality, morbidity and the risk of infection and thus contribute to reduce poverty.

The objectives of phase II of EANETT were stated in the proposal document to be to:

- Assess the prevalence of sleeping sickness and the risk of overlap of the two disease forms
- Study the distribution and nature of drug resistant trypanosomes
- Carry out training activities for national capacity building and individual career development
- Extend the network to neighbouring countries in East Africa
- Increase external funding for collaborative research, surveillance and training
- Build up an information network and transfer research results to the end users

Initially the programme created a network of five East African Research Institutes and one Swiss institution. They were:

- The Kenya Trypanosomiasis Research Institute (KETRI), Kenya.
- The Livestock Health Research Institute (LIRI), Uganda.
- The Tabora Research Station (NIMR), Tanzania.
- Tsetse and Trypanosomiasis Research Institute (TTRI), Tanzania.
- The Tropical Medicine Research Institute (TMRI), Khartoum, Sudan.
- The Swiss Tropical Institute (STI), Switzerland.

It would appear that the project mainly paid for support to the network and that the research was funded from other sources (STI estimate that 50% of the funds went to research and the rest to "control and M and E"). While basic research is carried out by some of the participating institution, the research that did take place through the network was largely "applied" and draws on a number of disciplines including epidemiology, economics as well as Parasite Chemotherapy and biochemistry, tsetse biology, veterinary science. Some elements of capacity building are included in the programme and 12% of the budget was for "training".

The research activity on sleeping sickness probably started in the colonial period, but the origins of EANETT are found in the research network on sleeping sickness that formed part of the East African Community (1967-1977). EANETT was created in November 1999 as a result of the resurgence of the disease.

SDC provided core funding from 2001. SDC has provided support in three phases:

2001	CHF 0.9m
2004-2006	CHF 1.04m
2007	CHF 77,000 (the amount is not shown in Aramis).

Support to EANETT has been through a "mandate" to STI. However it appears that it could just as easily have been supported through an SDC "contribution". The organisations in the network are all funded by other donors. SDC covered 60% of the total cost of EANETT, and the rest was funded by participating organisations themselves, WHO, the international programme for research and training in tropical diseases (TDR – based at WHO) and the International Foundation for Science. Some elements of STI's contribution (for instance 20% of Dr Brun's time) were not included in the SDC budget.

The programme had close connections with one other research activities funded by SDC at STI, namely project 7F-01977.02 IMPAMEL - Sleeping sickness (Schlafkrankheit). This involved clinical tests of a new more concise and efficient treatment protocol developed by the Swiss Tropical Institute[1]. The 2006 Annual Programme of SDC in East and Southern Africa Division states that this programme was successfully integrated into EANETT in that year.

[1] This project built on the work of a PhD student at STI who demonstrated a new treatment schedule for sleeping sickness. This schedule has subsequently been adopted as the current treatment standard. This project demonstrates that there was no formal mechanism for this type of work. Funding was arranged through good personal contacts that STI had formed with individuals in the SDC head office

SDC does not have other operational programmes in East Africa that specifically deal with sleeping sickness. However SDC did support for many years the Kenya based International Livestock Research Institute (ILRI) that worked on trypanosomosis in animals and SDC has supported more generic health and livestock programmes in the region.

2. Origins of the activity

The phase II proposal states that the original idea for EANETT came from researchers in Uganda, Kenya, Tanzania and Sudan who began "again" to co-ordinate its sleeping sickness activities and requested the Swiss Tropical Institute to submit to SDC the project for an Eastern Africa Network for Trypanosomiasis (EANETT). An initial proposal was discussed and the documentation required for approval was drafted jointly. SDC staff approved the proposal at the level of the Program Officer and Section Chief.

In terms of relevance, the proposal states that sleeping sickness is a major problem in East Africa (with 60 million people being exposed to the disease). However there is no statement in the document to suggest the extent to which local governments regard the disease as a priority (nor that SDC does). There is no reference in the documentation to any process of consultation with actual or potential users, nor to government officials or private sector representatives. However this programme was driven by researchers in STI and the African research institutes who had a clear view of the needs for research on this fatal disease. It can be assumed that the work was relevant to these countries in this sense, although not necessarily a priority to the agencies that were likely to fund interventions.

As SDC does not have operational programmes on sleeping sickness, it was not intended that the research would improve the performance of SDC activities in the case study country or globally. However there was an aspiration in the SDC head office that by undertaking this work, SDC might country programmes may have been influenced to include sleeping sickness in their programmes in future. In the event it proved difficult to get the country co-ordination offices to engage with the work (mainly because the staff are "generalists"), though the office in Kenya showed some interest and the programme was included in SDC regional programme.

The STI is fully aware of the research on Trypanosomosis funded by other donors, and the SDC programme officer was keen to ensure that there were complementarities with work in this area planned by the EU.

In terms of co-ordination with other donors and other researchers, it would appear that as the members of the network were the key players in Trypanosomosis research that they would be fully aware of other donor activity in this area. Furthermore the programme paid some days to enable n STI staff member to "continue serving on the expert committees at the WHO and foundations such as the Drugs for Neglected Diseases initiative" (application page 7). The work was also described as being monitored by the International Science Council for Trypanosomosis research and control (ISCTRC).

3. Approach to the research

The objectives and approach of the programme are effectively described in the phase II proposal document. The budget breakdown suggests that SDC supported four main activities. First, some 28% of the finance was to enable STI to "back stop" the network. This included the provision on a half time basis of a staff member from STI to act as "secretary" to the network[2]. A further 24% of SDC funds went in broadly equal amounts to the five African network members (between 18,000 and 10,000 CHF each per year, with an additional

[2] STI also provided the time of another staff member to act as treasurer and STI representative on EANETT management. This is not included in the SDC budget.

allocation for "others"). 27% was allocated to "network activities" including the annual meeting, but including training (12% of the whole budget). The SDC budget also paid for laboratory materials, technical transfers, repairs and replacements and 8.5% for an STI staff member to represent the network on international expert committees.

The proposal contained no logical framework. Objectives are clearly stated, but no measurable indicators were produced. For instance, one objective was to "do collaborative research", while another was to assess prevalence of sleeping sickness and "to enable the countries to develop diagnostic and therapeutic services... in specific regions of network countries". Other objectives were described in terms of "carrying out training", extending the network and to increase external funding. In principle measurable targets and milestones could have been set for each of these objectives. The anticipated outcomes did appear to be feasible and appropriate.

No underlying model of change was set out, but it is presumed that the outcomes of the research would have resulted in diagnostic and therapeutic services being implemented by the existing health services, once the drugs and diagnostic kits had been produced by the private sector.

Annual reports were prepared which demonstrated what progress was made. These were complete but no attempt was made to systematically report cumulative outputs, for instance it is stated that "Several MSc and PhD programmes could [were?] funded by the core money!". Information from interviews suggests that approximately 4 PhD and 4 MSc were trained. These annual reports suggest that the original approach was followed faithfully and that there was no need for any change of approach during project implementation.

There is no mention of gender in the proposal, neither in the selection of research topics, in its implementation nor in terms of the monitoring of impact. A number of researchers associated with EANETT were women (particularly the social scientists) and there were said to have done important work on local knowledge about sleeping sickness, in training teachers about public health. It is possible to see that some of the PhD students trained on the project have female names.

4. The nature of the research partnership

The programme is more correctly described as a research network than a research partnership as there were five African institutions that were collaborating with each other and with the Swiss Tropical Institute. The participating institutions appear to be the main (even the only) research groups in each country working on Trypanosomosis in the region. The proposal describes the skills of each institution and they appear to be complementary.

There is no mention in the proposal to the KFPE Partnership Principles, but the network did appear to be one of equals and a Board of Management was set up with one representative of each country and an "additional secretary" from STI. The annual meeting also provided a mechanism for peer reviewing of research outputs and for obtaining advice from key invited specialists from Japan, Europe and the US.

SDC staff report that STI's relationship with other network members was "respectful" and all members were engaged in the allocation of resources and in the selection of research topics, and the authorship of research results. However nearly 50% of the total budget was spent in STI (if the funds for Dr Burri's mandate and the 13% are counted as contributions to STI).

	2004	*2005*	*2006*	*2007*	*%*	*% to STI*
TA1 STI Backstopping	101000	101000	94000	296000	28%	48%
TA4 Dr Burri Mandate	29600	29600	29600	88800	9%	
Overhead at 13%	39730	40770	39200	119700	12%	
TA2 Network Members	78000	86000	86000	250000	24%	
TA3 Network Activities	97000	97000	92000	286000	27%	
Total				*1,040,500*	*100%*	

The governance of the network involved senior members (usually directors) of the African institutions, together with STI staff who acted as secretary and treasurer. The annual conference was organised jointly by the members. It is clear from the proposal that during phase II the programme expected to shift the "secretary function" from STI to one of the African Institutes. The costs of this are itemised in the budget. By 2007 the EANETT secretary post had been moved from STI to TTRI, Tanzania. However the treasurer post was retained by STI until the end of the SDC support.

5. Contractual, management and reporting arrangements

The network appears to have been organic and to involve all the research units working on Trypanosomosis in East Africa. It would therefore not have been appropriate for competitive tendering. Efforts to include others (from Malawi and Zambia) were successful during the phase II programme (the DRC was also often involved in discussions and meetings). One element of the programme, namely the network activities, is described as being "distributed on a competitive basis on request by members" (page 7). SDC confirmed that this did indeed take place.

The SDC project officer in Bern was the clear focal point for communications between STI and SDC for most of the years that SDC provided support. Substantive annual reports were prepared by the network, together with minutes of the twice yearly Board of Management, and annual financial accounts. The SDC staff member read the annual reports and commented upon them. The SDC staff member attended the EANETT Board of Management meeting on the one occasion it occurred in Switzerland, but generally felt that STI was quite competent to run the network. SDC staff used their position to encourage more southern ownership of the network. This did occur to some extent as the secretariat of the network was moved to Africa. STI describe the relationship with SDC as good, but they did not request nor receive a more supportive relationship with SDC.

A monitoring process was explicitly described in the project proposal. This mainly centred round the annual workshop. Network members presented the work of the previous twelve months in the form of a scientific conference that included invited experts from the US, Europe, Japan and WHO. The meeting then had a session that evaluated the past year and planned the future year. It does not appear from the participant list that SDC staff attended these meetings.

The activity does not appear to have been subjected to an external evaluation.

The achievements of the project were summarised in the 2006 Annual report – see next section.

6. Research results

Annual report of 2006 provided the following assessment of achievements against objectives:

1. *To assess the prevalence of sleeping sickness, the distribution of T. b. gambiense and T.b. rhodesiense and the risk of overlap of the two trypanosome subspecies in specific regions of the network countries, to enable the countries to develop diagnostic and therapeutic services for such areas.*
   All countries of EANETT which have human African trypanosomiasis conducted regular surveys to determine the prevalence of the disease. The risk of overlap of the two forms of disease (due to *T.b.rhodesiense* and *T.b.gambiense*) was studied in Uganda which turned out to be the only country having the two forms. It was found that the two forms of disease moved closer to each other in the area of Lake Kioga but that no overlap yet took place.
2. *To do collaborative research in the field of drug resistant trypanosomes, the vectorial capacity of Glossina fuscipes fuscipes strains from different regions of Eastern Africa, as well as in public health of sleeping sickness.*
   The work started in Phase I under the objectives 3, 6 and 8 continued in Phase II.
   However, this is a continuous process which takes more years than the funding period by SDC covered.
3. *To carry out training activities for national capacity building in the field of trypanosomiasis research and control by technical workshops, technical transfers, an Annual Conference, and by individual career development through MSc and PhD programmes.*
   This objective was very well reached. Several workshops were held on subjects which were of interest to more than one country, technical transfers took place between the network countries. Each year an Annual Conference was held in different network countries with increasing numbers of participants and presentations. The Conferences were also attended by international organisations such as WHO, TDR and FIND. Several MSc and PhD programmes could be funded by the core money!
4. *To extend the network to neighbouring countries which are affected by sleeping sickness and nagana and integrate national institutions in EANETT.*
   Malawi could be accepted as a new member country and integrated into EANETT. In 2007 an EANETT delegation will visit Zambia to explore what institutions exist which are involved in trypanosomiasis research and control with the goal to integrate Zambia into EANETT.
5. *To increase the external funding from national and international agencies for collaborative research, surveillance or training activities of network partners individually or as a network.*

This turned out to be difficult but progress could still be made. With the increasing recognition of the network it will become easier to attract additional funding. A big step forward was the partnership with the Foundation for innovative new diagnostics (FIND)[3] which is becoming a supporter for core funding of EANETT.

6. *To build up an information network to assure and sustain exchange of information within and beyond the network and establish regular exchange with health and agricultural extension services to foster communication of research results to the end users.*
   This objective could be a main objective for the next 5 years. This process is on good tracks but far from being reached.

In summary, EANETT has reached most of the objectives formulated in the proposals for the two phases. During the 6 years of SDC support the national partners could be strengthened and the links to international organisations could be intensified. The institutions involved in EANETT developed self-confidence and the ability to attract their own funding. MSc and PhD programmes helped to strengthen the staff of the partners although some of the trained people left the institutions for other institutes/universities in the same country. In terms of sustainability the prospects are bright that EANETT will continue to develop into a strong regional network.

As can be seen the annual reports do not provide a list of written research outputs, although the Proceedings of the Annual EANETT Conference describes the research outputs in the normal manner of scientific conferences. However it should be noted that this output was not necessarily funded by SDC. No indication is given as to whether the research output was of international quality and published in peer reviewed journals. The availability of the proceedings of the annual conference on the internet means that the research results are available in country and internationally. The proceedings of the 2008 Conference have not been put on the web as there was insufficient funding to do so).

There is no evidence in the documentation that the results of the research were fed into the local policy process. However, information on the prevalence of Trypanosomosis and its vectors was supplied both to governments and the WHO. In addition, as described earlier, the IMPAMEL project funded by SDC has resulted in a significant change in the treatment schedule that uses substantially less of the treatment drug.

The capacity to do research was improved for those doing MSc, PhD and those attending various seminars and Annual Conference. There are no objective measures of this impact. There is some evidence that the network increased its capacity to raise funds from non-SDC sources and in this sense the network has potentially become more sustainable. However the capacity to raise funds varies between the various institutions and a number of donors (such as Gates and Welcome) seem to prefer to finance research networks only if they include a northern partner.

[3] The 2006 Annual Report noted that at the conference in Kampala "it was verbally agreed that FIND will become a core funding partner. In 2007 FIND will pay a top up to the SDC funding and from 2008 on, FIND will cover the full core budget. A contract is under negotiation". In the event this funding has not yet come through. FIND describes itself as "*a Product Development and Implementation Partnership (PDIP) devoted to developing and implementing diagnostic tools for poverty-related diseases. An independent non- profit Swiss foundation based in Geneva, FIND focuses on a disease portfolio covering tuberculosis, malaria and human African trypanosomiasis. In its commitment to develop technologies that can be used as near as possible to where patients seek care, FIND has accumulated an impressive pipeline of new improved diagnostic tests that are expected to be deployed in the next few years. As of today, FIND has obtained endorsement from WHO for four new tuberculosis technologies which are currently being scaled up in over 27 countries. In addition, FIND is actively extending technology platforms to the other diseases in its portfolio, namely, sleeping sickness and malaria. Current donors include the Bill & Melinda Gates Foundation, the European Union and the Government of the Netherlands" (FIND website)*

STI has had a long standing relationship with many of the participating organisations and the network probably strengthened this relationship, and introduced new members to the network and to STI. The network also probably contributed to STI reputation in the area of Trypanosomosis and therefore in Switzerland's contribution to international debates on this subject.

It would appear that the people and organisation that made most use of the research were other researchers. However the potential involvement of FIND ("the Product Development and Implementation Partnership (PDIP) devoted to developing and implementing diagnostic tools for poverty-related diseases") suggests that mechanisms could be put in place to translate the results of research into products and the delivery of service, and the "solution" of priority development problems. The effect and impact of new drugs are likely to be limited if diagnosis remains poor. However the funding necessary for this outcome is currently uncertain.

It would appear that SDC has not made direct use of the research results either in the country offices or headquarters. SDC has not attempted to add value to the research results in any way. All documentation is available on the network website hosted by STI. However this website is no longer maintained and has not been transferred to an African institution (because there is not funding to do so).

7. Lessons learned

Overall it would appear that the programme worked well. It exploited Switzerland's long standing capacity in the area of Trypanosomosis, and did so by strengthening south/south networking. The network appeared to grow in strength and self confidence and increased its capacity to get funding from others.

The network was not intended to influence SDC to support operational activities to combat sleeping sickness, and did not do so.

While the network provided an exemplary model of research co-operation and was highly innovative at the time, its usefulness has now probably been over taken by events. The African and Swiss institutions are all involved in a number of new funding schemes including WHO, the international programme for research and training in tropical diseases (TDR), FINE, DFID, Drugs for Neglected Diseases initiative[4], DNDi, and The European & Developing Countries Clinical Trials Partnership (EDCTP)[5] . However these new networks are focussed on separate problems, though there appears to be considerable overlap. WHO and TDR could probably work more effectively together to help donors "harmonise" their contributions to Trypanosomosis research and intervention.

The dilemma for SDC in future is whether and on what basis it funds this type of work. That is work that appears to contribute public good knowledge to the global community on an important but often neglected disease, and one which builds on a strong research track record in Switzerland. But the question remains whether SDC should support such work when there is little likelihood that it will influence or improve SDC's ongoing work. This is particularly so if the research relates to countries that are not the focus countries for SDC development cooperation.

SDC has not had, nor currently has, a formal mechanism for funding this type of research, such as a competitive research grant facility). Past research support has depended largely on personal contacts and the enthusiasms of particular individuals in SDC and the research community.

[4] Based in Geneva DNDi currently has representatives in Brazil, Democratic Republic of Congo, Kenya, India, Japan, and Malaysia

[5] Though this initiative does not cover Trypanosomosis

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Annex 8 – Case Study 12

Nepal Case Study: Promotion of Vegetable Seed for Poverty Reduction in Remote Areas of Nepal Phases 1 and 2

Shizu Upadhya

Summary

The project is implemented by the Centre for Environmental and Agricultural Policy Research, Extension and Development (CEAPRED), an agricultural NGO operating in Nepal since 1991. CEAPRED trains disadvantaged farmers in vegetable seed production, assisting them with research support in order to produce high-quality, local and improved seeds. It then strengthens their organizations/cooperatives and provides them with start-up financial and technical support so that they are able to initiate seed production activities. Finally, it establishes formal links between farmers' groups and private seed entrepreneurs so that the seeds can be sold on the market.

The project operates under the supervision of a Steering Committee comprising of representatives from the Ministry of Agriculture and Cooperatives, the Federation of Nepalese Chambers of Commerce and Industry (FNCCI), the Social Welfare Council, independent experts and SDC. SDC provided CHF 650,000 during the first phase of the project which ran from 2004-06. In the second phase, SDC is providing CHF 1,450,000. It is estimated that 20% of funds are being allocated for research activities which are particularly focused on research into local and improved (mainly composite) seeds. This project phase runs from 2007-2010.

In terms of results, in 2008 it was estimated that Swiss-supported private cooperatives produced 210 mt of seeds (enough to produce 315'000 mt of fresh vegetables) thereby supplying more than 20% of the domestic seed supply. Since the beginning of Swiss support, some 6200 farm families have become engaged in seed production earning on average an additional 6445 NRs. (CHF 110) now as compared to before. The project has thereby promoted a model for public-private partnership in Nepal's seed sector.

The project shows that research activities in agriculture are more likely to have an impact on poverty reduction when they are relevant and implemented effectively. This in turn is more likely to occur when the work involves a diverse range of actors ranging from micro- to macro-level actors, policy makers, Government, NGOs, organized farmers as well as the private sector. This is the model implemented in this particular project, one that has delivered measurable results. Moreover, results have been achieved in more than one area (in poverty reduction, food security, bio-diversity conservation, social inclusion and women's empowerment) indicating that there has been a multiplier effect.

The project underlines the potential of agricultural development in Nepal and its contribution to varietal development, policy influencing and poverty reduction – more so perhaps following the recent financial crisis. While increased donor support in this effort would appear to be sound, therefore, this does not seem to be something being manifested in donor priorities in Nepal (e.g., DFID's new Country Business Plan for Nepal 2009-12). At the same time, merely increasing funding in agricultural research is also not an option for Nepal unless this is supplemented with infrastructure and financial support as well as capacity building activities - including facilitating access to roads and markets, agricultural inputs and knowledge, particularly when seeking to benefit historically marginalized communities.

The SDC office in Nepal considers the project to pose an excellent example of how research can contribute to poverty reduction. It implements the project in coordination with other sister SDC programmes including those on Hill Maize Research and Sustainable Soil Management.

Nepal Case Study 3: Promotion of Vegetable Seed for Poverty Reduction in Remote Areas of Nepal Phases 1 and 2

Project Description

While 80% of Nepal's population derives their livelihood from agriculture, agricultural productivity rates have not exceeded 2.7% in two decades and in 2008, 43 of the country's 75 districts were food deficient. Low productivity is the outcome of a difficult land terrain, poor irrigation systems, inadequate access to modern farm technologies and political neglect. Rural areas were also affected by a Maoist insurgency that ran from 1996-2006, a time which government-run agricultural extension services in remote areas virtually ceased to operate.

Concurrently, the proportion of land area in more accessible parts of the country under vegetable cultivation has been increasing at an annual rate of 2.66 percent over the past three decades and horticulture is gradually emerging as an important sub-sector within agriculture. But while the demand for vegetable seeds has been increasing each year, seed supplies have not kept pace. Up to 33% of the annual demand for vegetable seeds is currently imported and the improved and hybrid seeds (that tend to cost up to six times the price of local seeds) are rapidly replacing local seeds and seed management practices. This is further hampering food security and agricultural bio-diversity in Nepal.

In this context, commercial vegetable seed production offers a promising opportunity to address poverty and equity issues, especially in remote areas. The low-volume but high-value and non-perishable nature of vegetable seeds allow for easy transportation to distant markets making it a unique commodity for income generation for disadvantaged people, including small landholders, victims of conflict, women-headed households and disadvantaged communities.

The project is implemented by the Centre for Environmental and Agricultural Policy Research, Extension and Development (CEAPRED), an agricultural NGO operating in Nepal since 1991. CEAPRED trains disadvantaged farmers in seed production, assisting them with research support in order to produce high-quality, local vegetable seeds. It then strengthens their organizations/cooperatives and provides them with start-up financial and technical support so that they are able to initiate seed production and marketing activities. Farmers in the more accessible areas may themselves grow vegetables too. Finally, it establishes formal links between the farmers groups and private seed entrepreneurs so that the seeds that have been produced are sold on the market at a fair price.

Specifically, the project seeks:

- Mobilise, organize and technically train 6000 farmers in different aspects of vegetable seed production, post-harvest handling, storage and marketing
- Establish model farms at different agro-climatic zones to produce nuclear and source seeds and sustain seed production activities
- Produce and market at least 420 tons of different varieties of vegetables per year
- Build the capacity of farmers through training, visits and support in infrastructure development
- Institutionalise cooperatives and farmers' groups and establish their links with markets and government institutions

The project identifies disadvantaged communities on the basis of food security and social exclusion indicators. Gender is identified as a cross-cutting indicator of disadvantage.

During the project's first phase (2004-06), CEAPRED implemented activities in 30 conflict-prone VDCs of five districts reaching out to 3000 farmers. SDC provided a budget of CHF 650,000 in this phase. During the second phase, the project has been expanded to cover 58 VDCs and one municipality in eleven districts. The project's Second Phase reaches out to 6500 farmers through a SDC-financed budget of CHF 1,450,000 - 20% of this has been allocated for seed-related research with particular focus on improving the quality of local seed varieties. The proportion of funds allocated for farm-based research has increased marginally from the first phase to the second phase. The current phase of the project runs from January 2007 until December 2010.

Project Origins

Since its inception 50 years ago, Swiss assistance to Nepal has focused on rural and agricultural development in the hill regions of Nepal, goals which are also pursued in the current Cooperation Strategy for Nepal (2009-2012). Switzerland has recently also expanded its traditional concentration on the Central Hills in order to address deep-seated pockets of poverty in the Eastern, Mid-Western and Far-Western Development hills as well.

Switzerland has supported the production of high-quality quality vegetable seeds in Nepal since the 1980s through a FAO partnership with the Government. Through this, it pioneered the concept of private-public partnership in the seed sector by identifying improved vegetable varieties, improving seed production technologies, developing physical facilities, training farmers and government personnel in seed production while also encouraging private entrepreneurship in seed production with particular focus on cooperatives promotion. In recognition of the supply and outreach constraints of the Government, Switzerland began to enlist the services of CEAPRED in seed production activities 2004. The positive results coming out of this partnership led to its extension into a second phase, running until the end of 2010. SDC Nepal is implementing the Vegetable Seed Project in coordination with two other projects, namely the Hill Maize Research Project which is being implemented by the International Maize and Wheat Improvement Centre (CIMMYT) office in Nepal and the Sustainable Soil Management Programme being implemented by Helvetas and Intercooperation. Both projects are long-running projects initiated in 1999 and both entail a research element and are therefore also affiliated with the Nepal Agricultural Research Council (NARC). Of all three projects, SDC Nepal considers the Hill Maize Research Project to be its most successful venture. In particular, it was through SDC Nepal influencing that CIMMYT agreed to enhance the project's focus on extension and outreach to disseminate research results. According to SDC Nepal, the project

has been recognized to be a success story not just by the head office of CIMMYT but also by SDC HQs.

CEAPRED was established in 1991 with the objective of promoting high-value agricultural, livestock and agro-processing activities through a participatory approach. Following the end of a long-running partnership with DANIDA in 2003, and in the context of a deteriorating security situation, the concept of embarking on vegetable seed production through Swiss support appeared to be a logical step to take. Benefiting from the close links SDC had with the Government, but also from its own broad network and longstanding experience of working with farmers in remote areas of Nepal, CEAPRED developed the proposal for this project in close consultation with all parties concerned.

Research Approach

At a time when Nepal Agriculture Research Council (NARC) and the Department of Agriculture (DOA) have been doing limited research on vegetable seeds, private sectors and non-governmental organizations like CEAPRED are emerging actors in the field. CEAPRED works with Government technicians to supply farmers with improved varieties of locally-produced seeds to maximize their profits. As CEAPRED has its own laboratory, it is able to test the quality of seeds itself and maintain their quality. In their premises, CEAPRED has so far tested a total of 159 seed samples for their germination and 1000 seed samples for weight, moisture and purity.

Partnership Modalities

The project is primarily a partnership between SDC Nepal and CEAPRED. CEAPRED contribution to the project is in kind in the form of making available its laboratory facilities and technical skills. It also used provides NARC and the DOA with project funds in order to conduct support seed variety maintenance, limited hybrid seed production in crops with commercial potential such as tomatoes, in and foundation/source seed production activities that are relevant for the project. CEAPRED also enters into fund-sharing partnerships with district-level government offices on a case by case basis.

The project is implemented through a Steering Committee which is mandated to provide CEAPRED and SDC with strategic and technical inputs and oversee project implementation. The Steering Committee comprises of representatives of the DOA, the Seed Quality Control Centre of the Ministry of Agriculture, NARC, the National Seed Company, FNCCI, the Social Welfare Council, private sector representatives, independent experts and SDC.

NARC is an apex body for agricultural research in Nepal. The Seed Quality Control Centre oversees the work of all seed quality control and testing laboratories in Nepal and is responsible for seed certification and registration activities. The National Seed Company is responsible for seed production in Nepal.

The project also works closely with private sector in the form the Seed Entrepreneur Association of Nepal and with agricultural enterprises, traders and cooperatives.

Contractual, Reporting and Management Arrangements

The project is being implemented through a contract of agreement between SDC Nepal and CEAPRED. SDC Nepal provides funds to CEAPRED which provides SDC with financial reports on a six-monthly basis. CEAPRED runs an internal monitoring system through which it produces monthly activity monitoring reports. Based on the information coming out of its internal

monitoring system, CEAPRED takes part in SDC internal cluster meetings on Natural Resource Management which bring together all SDC partner organizations, through which it informs SDC of the progress that has been made and on the basis of which SDC is able to strengthen its bottom-up planning and outcome monitoring processes. In turn, these meetings allow CEAPRED to inform itself about progress made under the two SDC projects with which it seeks to coordinate, namely the Hill Maize Research Project and the Sustainable Soil Management Programme. Both SDC and CEAPRED regularly revisit the output and outcome indicators depicted in the project log-frame in a spirit of "learning by doing". CEAPRED also prepares regular summary reports on outcome monitoring as part of its reporting arrangement with SDC.

As per the project agreement, CEAPRED operations are monitored three times a year by representatives of the District Agricultural Development Offices in the districts of operation. Linkages with concerned line agencies are constantly strengthened by organizing workshop together and coordination. The Steering Committee conducts field inspection visits twice a year, a process in which senior officers of SDC Nepal also take part.

CEAPRED runs multiple donor-funded projects in the field of agricultural development and its long-run experience indicates that project coordination tends to strengthens impact. At the same time, project coordination is not always possible since donor priorities tend to differ even within the field of agriculture, and their understanding of which parts of the country are in most need of assistance are likewise not aligned. So far, CEAPRED has made attempts at coordination the Vegetable Seed Project with a USAID-funded project entitled Nepal Small Holder Irrigation Market Initiative and CEAPRED's ongoing partnership with the Government's Poverty Alleviation Fund (PAF) since these initiatives overlap in terms of target districts and project objectives.

Wider dissemination of project information is undertaken through the production of leaflets, newsletter and by coordinating with national and district-level print and electronic media.

Project Results

The project has contributed to both grassroots poverty reduction as well as the further development of Nepal's seed sub-sector development. Amongst others:

- As a result of Swiss support, source seed production in private farms increased between 1974/75 and 2007/08 from 0 to 910 mt. In 2008 it was estimated that Swiss-supported private cooperatives produced 210 mt of seeds (enough to produce 315'000 mt of fresh vegetables) thereby supplying more than 20% of the domestic seed supply.
- Since the beginning of Swiss support, more than 6200 farm families have become engaged in seed production. On average, each participating household annually earns an additional 6445 NRs. (CHF 110) now as compared to before. Among the participating households, 2299 are particularly disadvantaged and close to 50% of project beneficiaries are women. In reaching out to economically vulnerable households, it is estimated that the project has contributed to reducing seasonal migration by 20-75% in pocket areas.
- The project currently produces seeds for 52 varieties of 27 vegetable crops, including for peas, broad beans, radish, cress cucurbits and common beans. A total of 488 seed samples from project districts have been scientifically tested among which 96% of the samples have been found to meet prescribed minimum standards. Six resource farms are being operated on lease in order to further promote the production of source seeds of indigenous seed varieties.

- The project has promoted public-private partnership in the seed sector in Nepal. Consequently, the Government has now mandated private producers to be involved in source seed production activities. Private enterprises and NGOs have likewise been accredited to function as seed quality inspectors.
- The project has also been able to link micro-level achievements and learnings in order to influence macro-level policy

Lessons Learnt

- Where research capacities in agriculture are limited, it is important and possible for development partners to operationalise new modalities (in this case, involving non-State actors in research) in the interests of poverty reduction. Moreover, this type of experimentation is possible in situations of political instability and conflict -though a phase-wise expansion of activities is likely to be necessary
- Research activities in agriculture are more likely to have an impact on poverty reduction when they are relevant and implemented effectively. This in turn is more likely to occur when the work involves a diverse range of actors ranging from micro- to macro-level actors, policy makers, Government, NGOs, organized farmers as well as the private sector. This is the model implemented in this particular project, one that has delivered measurable results. Moreover, results have been achieved in more than one area (in poverty reduction, food security, bio-diversity conservation, social inclusion and women's empowerment) indicating that there has been a multiplier effect.
- The project underlines the potential of agricultural development in Nepal and its contribution to poverty reduction – more so perhaps following the recent financial crisis. While increased donor support in this effort would appear to be sound, therefore, this does not seem to be something being manifested in donor priorities in Nepal right now (e.g., DFID in its Country Business Plan for Nepal 2009-12 appears to 'hand over' its long-running involvement in agriculture in Nepal to the World Bank and ADB). At the same time, merely increasing funding in agricultural research is also not an option for Nepal unless this is supplemented with infrastructure and financial support as well as capacity building activities - including facilitating access to roads and markets, agricultural inputs and knowledge, particularly when seeking to benefit historically marginalized communities.

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Annex 8 – Case Study 13

INCOPA - Innovation & Competitiveness of Peruvian Potato International Potato Center

The International Potato Center

Case study by Carlos de la Torre and Rebecca Clements October 2009

Overall Summary

1. Brief description of the activity

This document describes the experience of a project that embodies a new approach to the role of international research centres. The International Potato Center (IPC), with technical assistance and financial support from SDC, has been promoting paradigm shift since 2001. This new approach has been driven forward in three countries- Ecuador, Peru and Bolivia- via the project Papa Andina. Activities in Peru have been taken forward under the Innovation & Competitiveness of Peruvian Potato International Potato Center (INCOPA) project.

The new approach seeks to ensure that the research agenda of the IPC responds more directly to demands from different actors involved in the production of a new good or service. In the case of the INCOPA project, a series of technological, commercial and institutional innovations have been developed as a result of interaction between a range of actors involved in the production and consumption of native potatoes. These actors consist of farmers' associations, agro industrial companies, government agencies, NGOs and agricultural research institutes.

The innovation of the approach is demonstrated by the work of the ICP, which is not limited to a diagnosis of problems in the production of native potatoes and the formulation of potential technological solutions from the perspective of agricultural researchers. The new approach goes one step further in that it consists of creating a space for dialogue between different actors that permits a participatory analysis of the problems and organization of actions between institutions which lead to identification of solutions. This method of working is called the "Participatory Market Chain Approach" (PMCA) and its application in the native potato market in Peru has been achieving some important impacts.

The type of research undertaken is 'applied' and draws on a number of disciplines including economics, agronomy, biology and communications.

2. Origins of the activity

The idea for the creation of the INCOPA project originated from a group of producers, professionals and researchers who since the 1980s have been participating in a number of initiatives to develop technologies for potato production in Peru. This group of actors came together while working on a number of projects financed by SDC since 1982, amongst them SEINPA and PROMESPA – two projects aimed at improving the quality and supply of potato seeds on a national scale. A study into the state of agricultural research in Peru during this period, including research projects into potatoes, can be found in a document prepared by a consultant to the Ministry of Agriculture who is currently one of the individuals executing both the Papa Andina and INCOPA projects (Manrique, Kurt. 1999).

The design of the INCOPA project responded to the need for an institution in Peru that could drive forward coordinated initiatives for analysis and organization for the development of the potato market and include hybrid and native varieties. Previously, no such organisation existed in the public sector. This is due largely to the fact that in 1987 central government, based on new ideas on the role of the state, decided to close down the national rural extension system in Peru which at that time was being lead by the National Institute for Agricultural Research and Promotion (INIPA). "The system was reorganized and the responsibilities for agricultural extension were passed over to the Ministry of Agriculture which never got round to implementing a new programme" (Risi, Juan, 1999). Information from interviews with a member of staff of the Ministry of Agriculture responsible for the promotion of the potato market chain and a member of staff working at the IPC confirmed that the INCOPA project was designed to fill this institutional gap.

The INCOPA project therefore led the way in Peru by adopting the approach promoted by the Papa Andina project in three countries in the Andean region. The partner organizations in this project were INIAP in Ecuador and PROINPA in Bolivia. It is important to highlight that the SDC Coordination Office in Lima - led by the National Programme Officer - played an active role during the design stage of the INCOPA project. SDC policy stipulates that in addition to financial management, participation in project formulation processes is a key component of SDC's support role to research activities.

In terms of project selection and approval by SDC, no form of open bidding process was required in the case of the INCOPA project. In contrast, this project was formulated with technical assistance from SDC in Peru and then approved by the SDC headquarters in Bern under an agreement between SDC and CGIAR (Consultative Group on International Agricultural Research). The two institutions have been collaborating for a number of decades at an international level.

3. Approach to the research

The objectives and approach to the project are effectively described in the annual reports and also in the document titled "Generando innovaciones para el desarrollo competitivo de la papa en el Perú" (Proyecto INCOPA, CIP. Julio 2009). The objective of the INCOPA project is: the develop and implement participatory approaches to generate innovations (technological, comercial and insitutional) that contribute to improved competitiveness of small scale potato farmers in Andean areas of Peru, while at the same time optimizing potato biodiversity and promoting partnerships between the different actors in the potato market chain via platforms for national and regional collaboration (Annual Report 2007. INCOPA).

From the objective set out in the Annual Report it is possible to identify the principle characteristics of the approach used in the INCOPA project. Firstly, the emphasis placed on participatory actions establishes a horizontal relationship of mutual learning between researchers and agricultural producers who are able to collaborate via consultation platforms. Second, the purpose of the process of interaction between diverse actors is the formulation of three types of innovation. This implies that in addition to identifying productive technologies, the concept of research has been expanded to include the search for new institutional and commercial mechanisms. A third feature of the approach is its orientation toward producing benefits for small scale farmers which involves concerted efforts to promote markets with the primary aim of reducing poverty. These three elements make the approach of the INCOPA project highly original.

The characteristics mentioned have become more explicit in the formulation of the objectives of the third phase of the INCOPA project, which runs from 2007-2010. Namely, "To improve the competitiveness of the potato market chain with an emphasis on small scale farmers, optimizing new market opportunities and promoting the use of the Peruvian potato within a public-private institutional framework that favours sector modernization"(Annual Report 2008, INCOPA)

According with this purpose, the project activities are articulated around the achievement of four products. These are the following:

i) Sustainable platforms for interaction between different actors in the market chain.

ii) Public awareness raising and political influencing activities to strengthen the potato sector.

iii) Capacity of local partners strengthened in order to improve the competitiveness of small scale producers through the development of local services markets.

iv) Increased participation of the private sector in the potato market chain.

The drive for forging linkages between institutions in the public and private sectors for market development is noteworthy. In particular, the project encouraged the Ministry of Agriculture to enter into collaborative relationships with private companies in such a way that the resources invested by the state achieve greater sustainability over time. In this way, the INCOPA project was able to link the supply of native potatoes from rural farming communities with the demand for primary materials from a group of agro industrial companies which had invested their own financial resources into the development of new products to be sold in large Peru cities and in a few cases in export markets. This type of linkage and collaboration between state and private agencies in agricultural activities has not been seen for many decades in Peru.

The institutional arrangements, as outlined above, were facilitated by the emergence of consultation platforms. However, they would not have been possible without appropriate leadership and capacity for brining different players together. According to information obtained during interviews, it was stated that no public institution working in agricultural had the capacity required to convene a collective group, largely due to frequent changes in staff and administrative reorganization processes. This lack of capacity was filed adequately by the INCOPA project. According to a member of staff at the Ministry of Agriculture, the elements that sustained this leadership were twofold: firstly, the professional ability to design a strategy and plan of action and to maintain momentum during implementation. Second, as an international organization with a high level of prestige, the IPC projects an image of institutional stability. This contrasts with the general perception of the Ministry of Agriculture, which is subject to frequent changes in institutional priority and policy.

A gender approach, although not mentioned in the project purpose or objectives, is present in project activities as a transversal theme promoted by Papa Andina at a regional level. In March 2008 a workshop was held in Lima for INCOPA project partners. Of its two objectives, the taller aimed to strengthen understanding of gender concepts and promote tools for including a gender approach into project planning . After the workshop, follow-on activities on the theme were carried out with partner institutions ADERS, CAPAC PERU and the platform Puno (Proyecto Papa Andina. Informe anual 2007 – 2008. p.20).

Annual reports for the INCOPA project show a clearly formulated logical framework with measureable indicators. These reports present a matrix with project advances that correspond to each of the four products mentioned above. During the execution of the project described in the annual reports, it is possible to identify that there has been adequate consistency in the approach without significant changes.

4. The nature of the research partnership

The interaction between INCOPA and a range of different actors has facilitated the identification of diverse research themes of a technological, social and commercial nature that are necessary in order to maintain the dynamic development of the native potato sector. Research requests are dealt with according to thematic area by members of the INCOPA

team in collaboration with professionals and producers from different partner organizations and institutions. Requests are also channeled to one of the six research divisions that comprise the ICP. The divisions that have been closely linked to the work of INCOPA are Division 3 (Germplasm enhancement and crop improvement) and Division 4 (Crop Management). In addition Division 1 (Impact Enhancement) has been responsible for carrying out an impact assessment.

INCOPA is housed and run by the Internatonal Potato Center. The project is also having an impact in Cajamarca through collaboration with ADERS – a local NGO- in the PRODELICA project and in Ayacucho, Junín and Apurímac, where CAPAC-Peru (a platform for Peruvian producer organizations established under the INCOPA project) has started to implement a project with supplementary funding from the AID USA agency. CAPAC Peru has led to the establishment of the Papas Andinas Initiative, a virtual platform designed to promote the commercialization of native potatoes and certification of native potato products according to Corporate Social Responsibility standards developed by INCOPA, CAPAC and Papas Andinas Initiative. The INCOPA project is also working in Huancavelica through the ICP Innovandes programme (with funding from the New Zealand Government), Propapa with funds from Fondo Empleo (executed by ADERS) and Fontagro-BID (executed by INIA).

As well as being a sub-project of Papa Andinas, INCOPA is linked to three other ICP initiatives - InnovAndes, PMCA Uganda and Alizana Cambio Andino- all of which are testing the application of the PMCA tool in different contexts. The PMCA tool also benefitted from liaison with Practical Action staff members developing similar tool entitled "Participatory Market Mapping" which was ultimately integrated into the PMCA. Also some large private enterprises should be mentioned as partners of INCOPA activities, including Gloria SA, Fritos Lay (Pepsico Coorporation), wholesalers, Wong Supermarkets, and APEGA (Peruvian Society for Gastronomy).

5. Contractual, management and reporting arrangements

INCOPA is an ICP "Partnership Program" coordinated by the International Potato Center (CIP) with funds from SDC. INCOPA is a sub-project of the Papa Andina Initiative. The project began in 2001, phase one ran from 2001 to 2003, phase two from 2004 to 2006 and the third and final phase of implementation began in 2007 and continues until 2010.

Budgetary management is the responsibility of the ICP which regularly submits narrative and financial reports to the SDC headquarters in Switzerland. Before being sent these reports are reviewed and approved by the National Coordinator of the SDC office in Peru.

6. Research results

Research results from INCOPA Project should be understood in terms of the innovations generated within the potato sector in alliance with the different actors of the market chain. These are the following (See INCOPA, July 2009, p. 49):

<u>Technological Innovations</u>

- Dissemination of potato seed production techniques and new techniques such as aeroponics
- Dissemination of new practices for improved artisanal production of la Tunta
- (Traditional dry potatoes).
- Formulation of protocols for mashed potato processing
- Development of products that prevent potatoes from springing shoots which allows for increased storage time

- Potato selection and classification machine
- Formulation of protocols for potato chip processing
- Integrated potato crop management which has enabled a reduction in the use of chemical fertilizers by 35%, reducing costs of production and negative environmental impacts

Institutional innovations

- Formulation of legal norms to promote competitiveness of the sector
- Organization of a daily information systems for dissemination of prices and volumes of potatoes in the wholesale market in Lima "Project SIPAPA"
- Launch of a certification stamp for corporate social responsibility called "The Papas Andinas Initiative"
- Endorsement by the Peruvian government of International potato Day (30th March)
- Passing of a law (no. 29088) which limits the weight of sacks of potatoes for sale in wholesale markets. This benefits the health of people working as potato carriers
- Creation of a National Registry of Native Peruvian Potatoes in July 2008 for the preservation of native potato biodiversity in Peru

Commercial Innovations

- Launch of two new brands for the sale of freshly selected and packaged potatoes for supermarkets
- Launch of various agro industrial products: mashed potato, potato chips, chocotunta (chocolate with dried potato), for large scale production and exportation

7. Lessons learned

Some of the main lessons from the experience of project INCOPA are as follows:

a) It is possible to combine market development of new opportunities for private investment with the social goal of poverty reduction. In the case of the INCOPA project, there is potential for thousands of rural farmers to increase their incomes.

b) Markets failures can be addressed via collaborative actions and horizontal dialogue between different actors such as farmers, private companies, government agencies, NGOs etc.

c) Research activities into natural and social sciences can achieve high levels of economic and social impacts and greater sustainability if actions are arranged between researchers and farmers and linked by a dynamic market chain development process.

d) The SDC research support mechanisms achieve a greater impact when they are organized within a framework of participatory processes and linked to efforts being made between private and public institutions.

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2) "La Cooperación Suiza en Perú. Carpeta de proyectos". Agencia Suiza para el Desarrollo y la Cooperación (COSUDE). Secretaría de Estado de Economía (SECO). Lima, sin fecha

3) "Informe anual 2007. Proyecto INCOPA. CIP – COSUDE". Lima, sin fecha

4) "Informe anual 2008. Proyecto INCOPA. Proyecto Innovación y Competitividad de la Papa Peruana. Enero – Diciembre 2008". Lima, sin fecha

5) "Generando innovaciones para el desarrollo competitivo de la Papa en el Perú". Proyecto INCOPA. CIP. Lima, Julio 2009

6) "Tikapapa: Linking urban consumers and small scale andean producers with potato biodiversity". Proyecto INCOPA. CIP. August 2007

7) "Estudio de caso: Evaluación de impacto de la intervención del proyecto INCOPA/ADERS en Huánuco". CIP. Proyecto INCOPA. Iniciativa Papa Andina. Lima, 2009

8) "Papa: Cadena Agroproductiva". Boletín No. 3. Junio 2009. Ministerio de Agricultura. DGCA. Lima

9) "Guía de las buenas prácticas de procesamiento para la producción artesanal de la Tunta". CIP. MINAG. Mayo 2008

10) "Sensibilización y transferencia de capacidades". Capac Perú. Lima. Sin fecha

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People Interviewed

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Annex 8 – Case Study 14

Rule of Law and Decentralisation in Multicultural Societies, SWITZERLAND

Anna Khakee

1. Brief description of the activity

The Institute of Federalism at the University of Fribourg (IFF) and more specifically one of its consulting branches, the International Research and Consulting Centre (IRCC), has a long-standing partnership with SDC. In the past, SDC has supported the IRCC's activities, primarily consisting of a Summer University on federalism, decentralization and diversity; study tours for visiting delegations; facilitation of research visits of guest professors; geographically focused sub-projects in China, Africa, the Philippines, the Balkan etc; as well as shorter, ad hoc projects.[1]

SDC and the IFF/IRCC are currently in the process of negotiating the next phase of their collaboration, which would entail a partial change in direction of the partnership and the activities, not least because the IFF/IRCC has a new leadership since mid-2008. The focus would be on three activities: (a) consultancy, i.e. providing expert reports at the request of state institutions in the south and the east, which would have to pay part of the fee (SDC paying the remaining cost); (b) knowledge transfer, i.e. summer university and study tours with a focus on federalism/decentralization; and (c) capacity building, i.e. follow-up visits and training for the most talented students of the summer university.

It must be noted that only a relatively small part of the activities of the IFF/IRCC has in previous phases consisted of research, approximately 10 per cent according to an IFF key informant. The bulk of funding has gone to training, workshops and related activities. (This is in sharp contrast with the ARAMIS database information, according to which 100 per cent of the funds are dedicated to research). The research activities were scaled down between 1999 and 2006, as SDC found them of limited use.[2] In the future, the consultancy part of the IFF/IRCC's activities would entail applied research. SDC has made it clear to the IFF/IRCC that it is not willing to fund its research activities beyond that, as its focus is on research capacity in the south and the east.

This case study will, given the transition period that the SCD-IFF/IRCC relationship is undergoing, be somewhat backward looking, and its findings may not in all instances be applicable to the current, rather fluid situation.

2. Origin of the activity

The IFF has received funding from SDC continuously since 1997: the IRCC was in fact founded in 1997, in the context of the first SDC commission to the IFF.[3] Collaboration thus started under the previous SDC director Walter Fust. It is one of the main SDC-funded activities in the area of

[1] Logframe Projects 2007-2009
[2] See "Self-Evaluation of the 'SDC-IFF Partnership 2004-2006' Final Report"
[3] Credit proposal Co-Operation with the International Research And Consulting Centre (IRCC) of the Institute of Federalism at the University of Fribourg (IFF) On "Rule Of Law And Decentralisation In Multicultural Societies" Ref. 483/2007

governance in Switzerland. According to an SDC interviewee, a main objective for the SDC contribution to IFF has been "political", i.e. to create a constituency for development cooperation in Switzerland and to contribute to the capacity within Switzerland to conduct development-related research.

The bulk of the individual activities under the contribution part of the agreement between SDC and the IFF/IRCC have been driven by the IFF/IRCC (although thematic and geographical areas have been determined jointly), while the commissioned activities have been defined by SDC.[4] In previous contracts, SDC also received 60 working days of services on demand from the IFF/IRCC contribution envelope. Thus, SDC is the main driver behind study tours, for example, as this is of great use to them.

3. Approach to the research

A difficulty in the collaboration between SDC and the IFF/IRCC has consisted in harmonizing the academic outlook of the IFF/IRCC with SDC's need for practical application. Thus, according to one document, the work of the IFF/IRCC in the context of its collaboration with SDC has had an "impact in particular at the level of academic thinking" [5] An SDC collaborator develops: "The IFF approach has often been quite academic and rather "legalistic", which sometimes has not fitted so well in developing country contexts where a legal anthropology approach (linkage with the legal *practice* of the people) is more realistic and fruitful".

In the past, the various components of the collaboration between SDC and the IFF/IRCC have not always been well-connected, and the choice of country/regional focus has at times seemed ad hoc. This is something that the IFF/IRCC is trying to remedy with the new three-pronged approach (see above). Moreover, in the choice of geographical scope, there is a wish to coordinate with SDC country priorities, according to a key informant within the IFF/IRCC.

There seems to be agreement on both sides that gender considerations have not figured prominently in the partnership with SDC: "the FNS stresses gender more", according to a key informant within the IFF/IRCC.

4. Nature of the research partnership

With some important exceptions, the IFF/IRCC has in the past worked with partners in the south and east in a more *ad hoc* fashion depending on the punctual activities (workshops, seminars) undertaken in specific countries. It now wishes to move towards more long-standing partnerships with research organizations in the south and east (interview, key informant within the IFF/IRCC).

In earlier phases of the SDC-IFF/IRCC relationship, it was noted that "practice shows that the IFF collaborates very little with other Swiss university centers working on similar themes".[6] In the subsequent IFF/IRCC self-evaluation, some new Swiss strategic partnerships were noted.[7]

[4] See section 4 for more on the financial aspects of the cooperation, and in particular the distinction between contribution and commission

[5] "Propositions de Crédit dans le Domaine F: Checklist pour l'orientation stratégique"

[6] Cooperation with the International Research and Consulting Centre (IRCC) of the Institute of Federalism at the University of Fribourg (IFF) on Rule of Law and Decentralisation in Multicultural Societies Phase 5 Operationskomitee – Bereich F Protokoll Nr. 6/2004 der Sitzung vom 24. Juni 2004

[7] Self-Evaluation of the 'SDC-IFF Partnership 2004-2006' Final Report", Annex 3

5. Contractual, management and reporting arrangements

The contractual relationship between IFF/IRCC and SDC has evolved considerably over time, but has remained a less-well functioning aspect of the relationship. The first two contracts between the two institutions were commissions (*mandats*/*Aufträge*). In the 2004-2006 phase, this was replaced by a dual structure, with both a contribution and a mandate, to alleviate the administrative burden for SDC and at the same time better reflect the true nature of the collaboration, in which the IFF/IRCC had rather wide margins of action.[8] Activities under the contribution were considered as IRCC's own projects, managed in accordance with that institution's rules and regulations. As regards activities under the mandate, strategic and operational decisions were taken with SDC staff. This was a lighter structure, entailing less management and reporting on both sides for the contribution segment of the collaboration. However, it did not solve the problem of dual management structures, and, the future model will, the IFF/IRCC hopes, be a clear-cut contribution, complemented by individual mandates on a case-by-case basis (interview, key informant within the IFF/IRCC).

The lines of communication have also at times posed problems in the collaboration, whereby both sides have felt that communication on the other side has been insufficient. A case in point was the acceptance of the then-director of the institution, Prof. Fleiner, to become a legal advisor to the Serbian government in its negotiations over the future status of Kosovo. The SDC Governance Division, responsible for the contract with IFF/IRCC, was not informed of this new role and voiced its concern, given that the IFF/IRCC was working in the region with SDC money. The answer given was that "The role of Prof. Fleiner as a legal adviser in the Kosovo negotiations had nothing to do directly with either partnership or mandate projects for the SDC but first of all concerned DFA; this is why both the Ambassador W. Meier in Belgrade and PA IV and PA II as directly concerned were informed without delay and the IFF/IRCC could not be in a control of the inner flow of information within the Foreign Ministry, which was, in this case, rather an internal problem inside DFA."[9] In the end, the work of the IFF/IRCC In the region was discontinued: "The focus on the Balkan region proved problematic because of a advisory mandate given… by the Serbian government to professor Fleiner in the negotiation for the status of Kosovo, which lead SDC, due to political sensitiveness, to stop supporting the Institute of Federalism for projects in this region. This problem will remain during the next phase, and the Balkans will not be any more a focus of the IFF during the next 3 years."[10]

Within SDC, there seems to be general agreement as to the challenges in managing this type of "political" contributions. The lack of information flowing from the IFF/IRCC regarding Prof. Fleiner's Kosovo-mandate and the justifications given for this as noted above illustrate the difficulty for SDC staff to manage a relationship which was played out "above their heads". As noted by a key informant within SDC, politically motivated contributions "should not be obfuscated, but rather discussed openly within SDC." Also "monitoring, bench-marking, and evaluation should be designed in accordance with the nature of this relationship," he stressed.

The IFF/IRRC has been evaluated three times, in 1999, 2003 and again in 2006, which is considerably more often than average. Moreover, one of its specific mandates, the so-called China mandate, was evaluated separately in 2006. This is, it seems, in part an effort to come to terms with a "political" contribution which was difficult in management terms. Related to this, frequent evaluations are also likely to be a consequence of a "problematic management on

[8] See "Self-Evaluation of the 'SDC-IFF Partnership 2004-2006' Final Report"
[9] Evaluation of the 'SDC-IFF Partnership 2004-2006' Final Report", Annex 4
[10] Credit proposal Co-Operation with the International Research And Consulting Centre (IRCC) of the Institute of Federalism at the University of Fribourg (IFF) On "Rule Of Law And Decentralisation In Multicultural Societies" Ref. 483/2007, p.2

IFF/IRCC's side (both in terms of financial and human resources)" under the previous management.[11] As noted by a key informant within SDC, "the former management had relatively limited experience in management, including budgeting and accounting. We had to spend more time than usual on creating management capacity within the IFF". Also, under the former management, "staff turnover was rapid and staff was often junior, which made it difficult to create working relationships between the IFF and my office". It does not seem as if using evaluations as a management tool from the SDC side had a real impact on problems, given that similar problems were noted in several evaluations.

A potential future problem for the management and for the effective use of IFF capacities is the new SDC structure, a key informant within the IFF/IRCC fears: "We are now attached to the focal point on decentralization, which is attached to the section of Eastern Europe. The focal point on decentralization still has a global focus. However, people in the East Asia section will not know about the focal point on decentralization and thus not about IFF. There is a knowledge problem within SDC."

6. Research results

The IFF/IRCC programs generally considered the most successful are the study tours and the summer school: neither is research-related. Capacity building has been the main goal of research activities (undertaken mainly by visiting scholars) so far. The extent of actual capacity building has not been evaluated in recent years.

Some research activities have also directly informed SDC, such as for example a report on minority rights in China.

Many other outputs have been considered of very limited use to SDC, a point which has been noted in past evaluations. As noted by a key informant within SDC "In order to produce more development impact in the sense of sustainable institutional change, IFF programming should ideally be part of an organic process where demands for their services would stem from SDC longer-term collaboration on governance issues in programme countries. Today this is not the case."

In the future and with the new consultancy expert reports, producing locally relevant policy-related research will presumably become more important, and research results would be expected to be legal and regulatory change, and, if impact goes further, policy change.

7. Lessons learned

- The combination of a commission and contribution has been a source of frustration on both sides, and has made management and reporting more complicated
- In the past, the "political" nature of this contribution/commission has changed power-relations in the SDC-IFF/IRCC relationship in favor of the latter, making it difficult to apply the same financial and other management standards as in other collaborations.
- Recurrent problems in the flow of information have probably, at least partly, been due to the above factors.

[11] Credit proposal Co-Operation with the International Research And Consulting Centre (IRCC) of the Institute of Federalism at the University of Fribourg (IFF) On "Rule Of Law And Decentralisation In Multicultural Societies" Ref. 483/2007, p.2

- The dependency of the IFF/IRCC on SDC funds is, it seems, also part of the same problematique.
- There seems to be a genuine willingness on the part of the IFF/IRCC to alter the relationship and to work in a constructive and productive manner with SDC.

List of interviewees

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