

Policy Sector Development
and Cooperation
Research Concept
2013–2016

research **projects** **risks** **results**
science **partnership** **technological**
development **innovative** **solutions** **programme**
new **global** **improvement** **developing**



Schweizerische Eidgenossenschaft
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Swiss Agency for Development
and Cooperation SDC

Research concept for 2013-2016

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Original version: German

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General overview

Review

Switzerland has a long tradition of supporting research in the field of development cooperation and cooperation with Eastern Europe and the Commonwealth of Independent States (CIS). Themes such as agriculture, rural development and food security, environment, conflict and transformation, health, water, resource management, climate change, migration, governance and gender are at the forefront. The SDC supports research projects by Swiss research institutes when research contributes to improve programme activities, enrich policy debates on specific themes and helps to achieve the Millennium Development Goals. The SDC also funds international research networks (e.g. CGIAR) and research programmes (e.g. NCCR North-South, SCOPES), which provide a scientific basis for solutions to development and transition challenges.

SDC's long-term investments in partnership-based North-South or West-East research programmes have led to significant improvement in research capacities in the field of development cooperation and enabled the creation of research networks between Swiss institutions and partner institutions in Africa, Asia, Latin America and Eastern Europe.

In 2009, an evaluation was conducted of SDC's entire research portfolio, which the SDC then used to revise its research policy.

Outlook

Research and innovation are decisive factors for sustainable economic, social and environmental development, in both rich and poor countries alike. In the future, ODA-funded research will be oriented towards global issues and public goods (e.g. climate stability, food and energy security, water and health). Cooperation with Swiss research institutes and their partners in Africa, Asia and Latin America will become even more important in view of issues relating to global change and sustainable development.

Partnership-based, interdisciplinary and trans-disciplinary research in and with developing and emerging countries enables Swiss researchers to pursue current research themes within global networks and address the growing demand for innovative solutions to global issues.

In 2011, the SDC and the Swiss National Science Foundation (SNSF) jointly developed the *Swiss Programme for Research on Global Issues for Development* (www.r4d.ch), a new development research programme intended to find solutions to global issues in poor countries. The first calls for research proposals are being launched in 2012.

In the West Balkans, funding will be used to improve social sciences. In addition, transition-relevant Swiss-Eastern European research partnerships as well as research activities relating to Switzerland's contribution to EU enlargement will continue to receive support.

1. Introduction

The present research concept is based on the strategy of Swiss International Cooperation to Reduce Poverty and Global Risks¹ and the new research policy of the Swiss Agency for Development and Cooperation (SDC).

Geopolitical and economic trends as well as complex global challenges have fundamentally changed the conditions in which International Cooperation takes place. Increasingly, traditional «North-South» and «East-West» cooperation is being complemented by international cooperation on global issues. Through the shared commitment and concerted action of all stakeholders, international cooperation is the only way to address the global risks that undermine the development prospects of poor countries.

Reduction of poverty and global risks requires scientific evidence to understand global changes as well as technological, social and political innovations. Research and innovation are therefore essential in solving future problems. As such, they are among the drivers of development- and climate-friendly social transformation.

The SDC has aligned its research policy with the strategic objectives of Swiss International Cooperation and in accordance with the results of an independent overall evaluation of the SDC's research portfolio². Research will be more oriented towards global issues and public goods (e.g. health, environment, especially climate stability, freedom, security, water, food security). Unlike the policy sector research conducted by other federal offices³, ODA-funded research is international in scope with a clear focus on the reduction of poverty and global risks in developing countries.

In order to achieve long-term objectives of Swiss International Cooperation, around CHF 50 million will be allocated each year to research relating to development cooperation and cooperation with Eastern Europe and the CIS. This funding will be provided in the form of commissioned research, research contributions or research as a component of development projects.

2. Overview of policy sector

2.1. Responsibilities and boundaries

A specialised agency within the Federal Department of Foreign Affairs (FDFA), the SDC is responsible for International Cooperation as well as coordination between other federal offices whose activities relate to development cooperation and cooperation with Eastern Europe and the CIS. The SDC also handles all matters pertaining to the provision of federal humanitarian aid.

The SDC manages its own projects, supports the programmes of multilateral institutions and funds programmes in its four operational areas⁴:

- *Regional Cooperation*: responsible for bilateral cooperation with countries of the Middle East, Africa, Asia and Latin America.

¹ International cooperation is understood as the continuation of international humanitarian aid (SDC), technical cooperation and funding for developing countries (SDC), cooperation with Eastern Europe and the CIS (SDC) and economic and trade policy measures relating to development cooperation (SECO)

² Evaluation SDC's Research Related Activities (2010)

<http://www.admin.ch/dokumentation/studien/detail/index.html?lang=de&studienid=19>

³ See in particular research concepts on health, environment, agriculture, energy, sustainable territorial planning and mobility, security and peace policies, VET/PET, sustainable transport and social security.

⁴ http://www.deza.admin.ch/de/Home/Die_DEZA/Kurzportraet

- *Global Cooperation*: responsible for multilateral cooperation, including work with UN institutions and the World Bank. It also manages global programmes devoted to individual themes: climate change, food security, water, migration and health. These programmes are intended to help solve global challenges.
- *Cooperation with Eastern Europe*: responsible for providing support for democratic and market-based reforms in the West Balkans and the countries of the former Soviet Union. Key concerns for transition aid are the creation of democratic institutions, social and health reforms as well as greater environmental protection.
- *Humanitarian Aid*: responsible for saving lives and easing suffering in nine regions around the world.

The Economic Cooperation and Development Division of the *State Secretariat for Economic Affairs* (SECO) works with the SDC to design and implement cooperation activities with developing countries, countries in Eastern Europe and Central Asia (transition aid) and the ten new EU member states (Swiss contribution to EU enlargement). SECO projects seek to achieve sustainable economic growth by supporting market-based reforms and helping partner countries to become part of the global economy. Within the scope of its remit, SECO may also commission research assignments.

Research relating to Swiss contribution to the EU enlargement

Through its contribution to the EU enlargement, Switzerland invests in the stability and prosperity of an enlarged European Union (EU). Recipients are Poland, Hungary, Czech Republic, Slovakia, Slovenia, Estonia, Latvia, Lithuania, Bulgaria, Romania, Malta and Cyprus.

The enlargement contribution includes research and innovation funding as well as measures to reinforce scientific networks. Bilateral funding is also provided for joint research projects between Switzerland and partner countries Poland, Lithuania, Hungary, Romania and Bulgaria. Research themes include the environment, health, nanotechnology, energy, information and communication technology and general natural sciences.

Sciex-NMS^{ch} is a scientific exchange programme between Switzerland and the new EU member states. It offers young researchers the opportunity to further develop their research capacities during their research training stay in Switzerland.

Research within the framework of Switzerland's enlargement contribution helps to reduce economic and social disparities within the enlarged European Union. These research activities are not the same as ODA-funded research activities relating to International Cooperation. Likewise, they are not included in the "Development and Cooperation" policy sector. They therefore fall beyond the scope of the present research concept and will not be discussed further.

Detailed information can be found on the following website www.erweiterungsbeitrag.admin.ch.

2.2. Strategic objectives for international cooperation

The primary aim of Swiss International Cooperation is to achieve sustainable global development that reduces poverty and global risks and protects global public goods.

The five equally important strategic objectives are listed below:

1. *Preventing and overcoming crises, conflicts and disasters*
Emphasis here is placed on preventing and reducing the risks associated with natural hazards (disaster risk reduction), preventing violent conflicts, providing humanitarian aid

in emergency situations, conflict management, state building and reconstruction as well as reform of the security sector.

2. *Providing universal access to resources and services*

Here the aim is to reduce poverty by achieving solid, environmentally and socially sustainable development in poor countries. Within this context, resources mean decent housing, adequate nutrition, clean water and job prospects and services mainly refer to the education and healthcare system of a given country.

3. *Promoting sustainable economic growth*

With this objective, priority is given to financial stability and good governance; this includes efforts to achieve sustainable growth in trade, measures to develop the private sector and financial services, funding and operation of infrastructures, measures to encourage sustainable urban development and market-based systems.

4. *Supporting the transition to democratic, market-based systems*

The main focus is on reinforcing parliaments, democratisation, state reform and local governance as well as market-based systems.

5. *Contributing to globalisation that favours development, environmental protection and social justice*

The most important condition needed to reach this objective is a reliable, internationally negotiated and binding legal framework. Development-friendly international rules offer poor countries better opportunities to assert their environmental rights and gain greater access to world markets.

2.3. Research for development

Research and the availability of new knowledge are becoming increasingly important in all areas of International Cooperation. Technological, social and political innovations are decisive factors for economically, social and environmentally sustainable development in both rich and poor countries.

In the strategy of Swiss International Cooperation for 2013-2016, greater emphasis is placed on research oriented towards solving global problems; handling insecurity, risks and crises as well as providing global public goods such as health, environment (particularly climate stability), biodiversity, water, food security, human security, market stability and financial stability.

In light of current and pressing problems related to global change and sustainable development, cooperation with Swiss research institutes, cantonal universities, federal institutes of technology (FITs), the Swiss Tropical and Public Health Institute, the IHEID as well as with Swiss universities of applied sciences and their research partners in Africa, Asia and Latin America will become increasingly important.

Definition of research

Referring to the OECD's *Frascati Manual*⁵ and in consultation with researchers from the Commission for Research Partnerships with Developing Countries (KFPE), a working definition of research was formulated. This should make it easier to compile the list of research projects, or development projects that include a research component, and distinguish these from other activities, e.g. advisory services, teaching, implementation of development projects by higher education institutions.

The working definition of research is as follows:

- *(Scientific) research* is closely associated with the production, interpretation and use of knowledge. Here, the aim is to conduct creative, innovative studies based on scientific methods used in the fields of social and political science, economics, life sciences, natural and environmental sciences, Earth sciences, engineering, medicine and pharmaceuticals, mathematics or humanities.
- *(Scientific) research* is based on research questions that are used to generate hypotheses. Scientific research covers both fundamental and applied research.

The integration of research into Swiss International Cooperation also helps to reinforce Switzerland's position as a location for research; at the same time, research funded under the Federal Council Dispatch on Education, Research and Innovation (ERI Dispatch) can contribute to solve global problems and cope with challenges of international cooperation.

2.3.1. Reorientation of research

In 2009, the SDC Directorate commissioned a comprehensive evaluation of ODA-funded research activities.⁶ This evaluation was carried out by *The Policy Practice Ltd*. The final report *Evaluation of SDC's Research Related Activities*⁷ provides a detailed overview and analysis of the SDC's research activities.

The international evaluation team gave positive assessments to efforts to support relevant research and build research capacities (particularly via research partnerships). It also commended the SDC for its role in establishing a «development research community» in Switzerland and setting up a joint-funding mechanism with the SNSF.

Negative assessments were given in relation to the following: no clear connection between SDC-funded research and strategic objectives of Swiss International Cooperation; no convincing reasons to explain why the SDC supports development research; in many cases, a lack of transparent and documented funding criteria; little exchange of knowledge between the SDC and research institutions; and finally, limited use of research findings.

Based on these findings and the long experience in working with various research funding instruments, a new research policy⁸ was adopted in 2010 to replace the ones established in 1993 and 2002.

⁵ Frascati Manual 2002: Proposed Standard Practice for Surveys on Research and Experimental Development (OECD, 2002)

⁶ Not considered are research activities in the new EU member states as part of Swiss EU policy.

⁷ «Evaluation of SDC's Research Related Activities», commissioned by the Corporate Controlling Section of the Swiss Agency for Development and Cooperation (SDC); March 2010

(<http://www.admin.ch/dokumentation/studien/detail/index.html?lang=de&studienid=19>)

⁸ Senior Management Response in Evaluation of SDC's Research Related Activities (2010), Part II page 6-11

(<http://www.admin.ch/dokumentation/studien/detail/index.html?lang=de&studienid=19>)

The aim is to enhance quality assurance and result oriented management. This concerns, in particular, the decentralised part of the research portfolio (around 80%), which includes commissioned research; contributions to international organisations and networks; programme contributions relating to the strategic priorities of the SDC's Global Cooperation, Regional Cooperation or Cooperation with Eastern Europe.

A major need for reform was identified with regard to thematically open North-South research activities, which are centrally managed by the SDC's research desk. These North-South programmes will be phased out in their current form or will not be renewed upon completion. The freed up resources will be re-allocated to a new programme for partnership-based interdisciplinary and trans-disciplinary research on global issues, jointly established by SDC and the Swiss National Science Foundation (SNSF). The set up of this new programme should create the conditions necessary for more efficient, effective and development oriented research in line with the strategic objectives of International Cooperation (see Chapter 3.1). In particular, the set-up of the program will facilitate the monitoring of the content of research activities and the exchange of relevant research findings between SDC and researchers.

2.3.2. Main purpose of research

The *production of new knowledge, innovative approaches and the use of scientific knowledge* will be the main objective of research in the field of International Cooperation. Research-based concepts, methods, technologies, products and tools should be identified, developed, tested and applied in policy and practice. This requires an iterative exchange with key actors as an integral part of the research process. Research is therefore essential for international cooperation, whether it be to identify problems, find solutions or develop applications.

Here, a distinction should be drawn between:

- a) Production of *knowledge* and concepts as a *global public good* contributing to:
 - solve development, transition and global problems
 - establish evidence-based policies and engage in policy debate on specific themes
- b) Production of *knowledge* and concepts for SDC activities (commissioned research) to:
 - directly support policy and programme work at SDC headquarter and SDC cooperation offices in priority countries
 - improve the quality of Swiss International Cooperation

While the building of local research capacities in developing countries falls beyond the scope of Swiss International Cooperation, it is nevertheless an objective that should be pursued within the framework of multilateral institutions and donor coordination fora. ODA-funded research activities should be designed in a way that helps to strengthen research capacities and research networks relevant for development cooperation. At the same time, these activities should have a positive impact on the institutional research community in Switzerland and in partner countries.

2.3.3. Basic principles for future investment in research

ODA-funded research should adhere to the following principles:

- Research 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.

-
- When granting funds to research programs and projects, the principle of competition must apply provided the contributions are not part of a strategic partnership.
 - The focus must be on research which is excellent, development-relevant and innovative. Priority must be given to the application or implementation of research findings.
 - Researchers must pursue research with the clear aim of solving global issues in developing countries, helping poor population groups in developing countries and using research findings in policy and practice.
 - Research cooperation is partnership-based. The eleven principles established by the KFPE shall serve as a frame of reference.
 - Where adequate and useful, the SDC shall collaborate with other donors and coordinate its support for research at the national and international levels.

2.3.4. Types of research funding

Commissioned research or mandates will be given and funding contributions provided within the framework of Swiss International Cooperation. In addition to specific research programmes, development programmes or projects may also include a research component. The proportion of research will vary from one project to another.

Commissioned research and mandates refer to projects that the SDC has commissioned to third parties. As the client, the SDC assumes full managerial responsibility for these assignments and mandates. Research funding contributions go to the partner. Allocation of responsibilities as well as management and accounting aspects will be negotiated with the partner and formalised in a contract.

2.4. Legal basis for research

Art. 54 of the Federal Constitution states that the Confederation «*shall in particular assist in the alleviation of need and poverty in the world and promote respect for human rights and democracy, the peaceful coexistence of peoples as well as the conservation of natural resources*». The Federal Act of 19 March 1976 on International Development Cooperation and Humanitarian Aid (SR 974.0⁹) and the corresponding Ordinance of 12 December 1977 on International Development Cooperation and Humanitarian Aid (SR 974.01) derive their legal basis from this constitutional article. Art. 29 of SR 974.01 explicitly states that the SDC is responsible for promoting scientific research in the area of development cooperation and humanitarian aid. SECO, for its part, is authorised to commission research within the scope of its remit.

Research relating to cooperation with Eastern Europe and the CIS is based on the Federal Act of 24 March 2006 on Cooperation with the Countries of Eastern Europe (SR 974.1) and the corresponding Ordinance of 6 May 1992 on Cooperation with the Countries of Eastern Europe (SR 974.11).

ODA-funded research must be aligned with the long-term strategic objectives and priorities of Swiss International Cooperation, which are centred on reducing poverty and global risks.

For the period 2013-2016, the new Federal Council Dispatch on Swiss International Cooperation¹⁰ presents a comprehensive strategy covering all areas of International Cooperation for the first time. It draws linkages with the five foreign policy objectives and Switzerland's foreign economic strategy and shows the main direction that the Confederation intends to take in the vari-

⁹ In a report adopted by the Federal Council in January 2010, it is stated that legislation on development cooperation and humanitarian aid from the 1970s remains a suitable and sufficient basis for the current activities of the SDC and SECO.

¹⁰ http://www.deza.admin.ch/en/Dossiers/Message_2013_2016

ous fields. Finally, the document explains the comprehensive use of bilateral, multilateral, global and non-governmental instruments.

2.5. Review of 2008-2011

In the legislative period 2008-2011, the SDC contributed funding to research projects conducted by Swiss research institutions. The findings from these research projects were used in programmes and thematic policy debate and to further achievement of the Millennium Development Goals. Funding was also provided to international research networks, particularly to the Consultative Group on International Agricultural Research (CGIAR), various thematic research programmes (e.g. *Splash*) and a series of multi-year research partnership programmes (*NCCR North-South*; SDC-SNSF Programme for Research Partnerships with Developing Countries; the EPFL Fund; the KFH programme to encourage partnerships between Swiss universities of applied sciences and similar institutions in developing and transition countries; the ETHZ's North-South Centre: *Research Fellow Partnership Programme* (RFPP) and contribution to agricultural research; *SCOPES* as well as the *Young Researchers* and *University Exchange* programmes).

Successful SDC-supported projects through North-South research programmes are presented in a publication and on the website of the *Commission for Research Partnerships with Developing Countries* (KFPE).¹¹ Through case studies, the KFPE shows practical examples of what can be accomplished through transnational research. It also sheds light on the rapidly changing challenges.

In the West Balkans, priority is given to social sciences, with special emphasis being placed on regional cooperation.

The long-term financial commitments made by the SDC in partnership-based North-South or West-East research programmes have greatly contributed to improvement of research capacities in the field of development and cooperation. The funding has also enabled the creation of research networks between Switzerland and other countries in Africa, Asia, Latin America and Eastern Europe.

In 2009, an evaluation of the SDC's research portfolio was conducted.¹² The SDC's research policy was then revised on the basis of the outcome of this evaluation (see Chapters 2.3.1, 2.3.2 and 2.3.3).

2.6. Funding in 2008-2011

There is no specific research budget. Annual research investment amounts to around CHF 50 million defined as a point of reference.

Calculation of annual investment is based on the effective payments. Fluctuations from year to year are mainly caused by the payment schedules established within a given project cycle; for long-term projects, these payments may vary considerably.

¹¹ http://www.kfpe.ch/projects/success_stories/electronic_appendix/

¹² <http://www.admin.ch/dokumentation/studien/detail/index.html?lang=de&studienid=19>

Research investment by contributions and commissioned research (in thousand Swiss Francs)

Year	Funding contributions	Assignments*	TOTAL
2008	33,124	14,731 (10,575**)	47,855
2009	36,564	16,893 (9,120**)	53,457
2010	37,612	18,483 (10,657**)	56,096
2011	33,668	19,816	53,484

* Due to the formula used by the ERT Steering Committee to calculate research investment (i.e. for commissioned research the proportion of research is not taken into account), SDC's research investment is overstated (2009: non-research related proportion in SDC's commissioned research: 46%). These are generally development projects that include only a research component.

**According to SFSO/OECD statistics: R&D expenditure (proportion of research is taken into account)

Research investment by framework credit (in thousand Swiss Francs)

Year	Framework credit South	Framework credit East	TOTAL
2008	45,746	2,109	47,855
2009	47,636	5,817	53,453
2010	49,810	6,288	56,098
2011	47,828	5,656	53,484

Over the past four years, the SDC has funded research relating to the following priority themes¹³

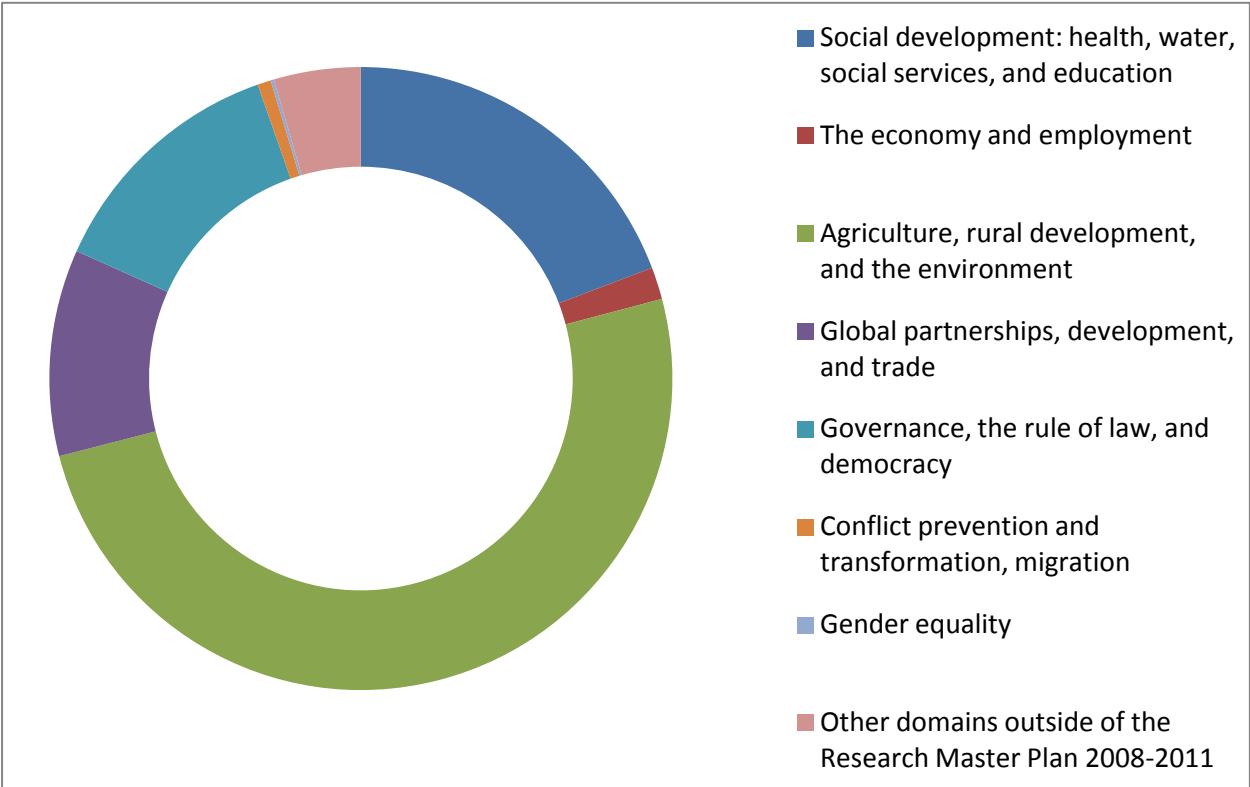
- Agriculture, rural development and environment
- Social development, particularly health, water, social services, education
- Governance, rule of law and democracy
- Global partnerships, development, trade
- Economy and employment
- Conflict prevention, transformation, migration
- Gender equality

¹³ These are the categories used by the SDC prior to the restructuring process that began in 2008. They will be revised.

By far the largest portion of SDC research budget (s. Fig. 1) goes to the CGIAR as part of its multilateral commitment. The SDC has supported the CGIAR since its inception in 1971. The CGIAR contribution is under the responsibility of the SDC's Global Programme Food Security. Because Switzerland is one of the CGIAR's ten largest donor countries, it holds seats on the CGIAR's steering and decision-making bodies as well as on the Fund Council (for the period 2011-2013). The SDC is therefore able to exert a direct influence over the strategic direction and management of the CGIAR and use the knowledge gained for its own bilateral projects. The multilateral nature of CGIAR activities combined with the fact that Switzerland is able to guide CGIAR bilateral research projects in developing countries sets this partnership apart from other research activities in Swiss International Cooperation. With the strategic objectives *Food for People, Policies for People* and *Environment for People*, the CGIAR helps to: i) accelerate sustainable improvements in productivity and production of healthy food by and for the poor; ii) facilitate political and institutional changes that boost agricultural growth and encourages pro-poor development, primarily for women and other disadvantaged groups; and iii) preserve, develop and sustainably use natural resources and protect biodiversity, so that the poor can maintain their livelihoods and withstand the effects of climate change and other factors.

As the second and third largest thematic sectors, the SDC supports research in the fields of social development as well as governance, rule of law and democracy.

Fig. 1: Research investment (2010) by theme

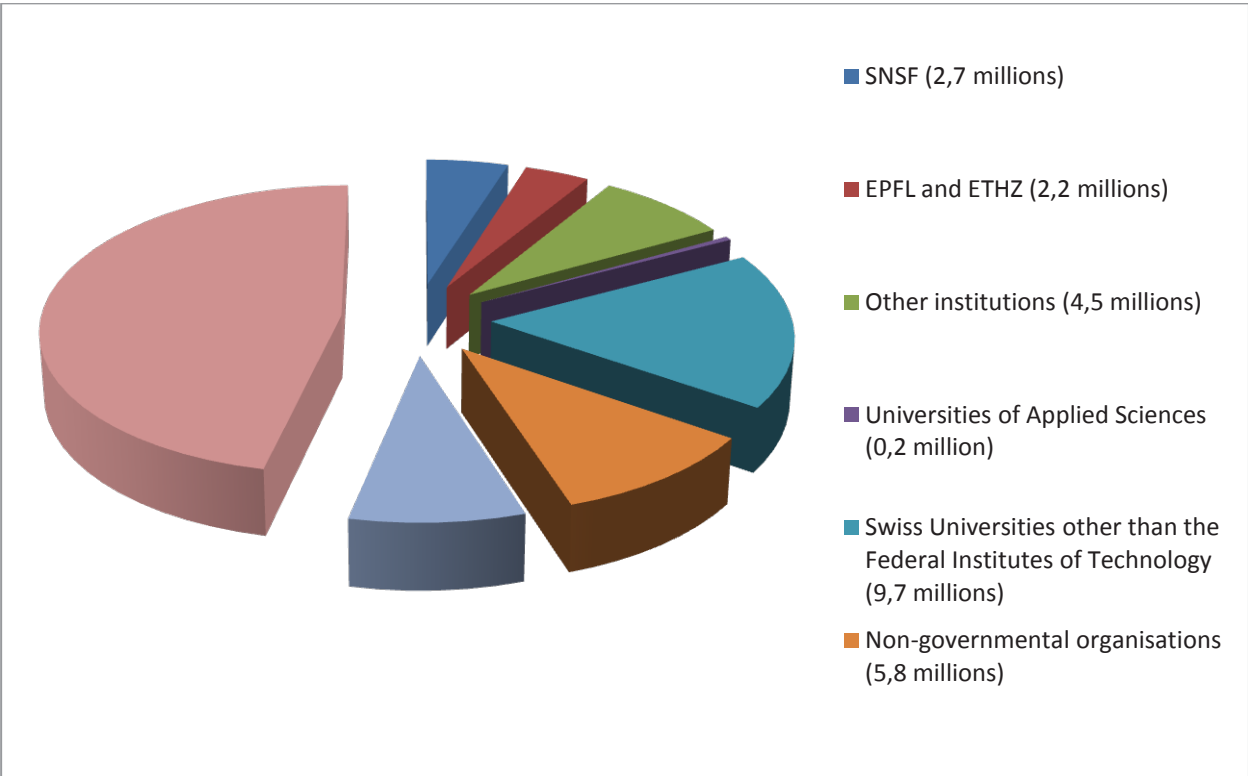


(Source: ARAMIS database, www.aramis.admin.ch)

Among the various recipient categories, international organisations, mainly CGIAR, received the largest funding contributions (see Fig. 2). The CGIAR is a strategic partnership of various donors, which works with fifteen international research centres and hundreds of state and non-state actors as well as private companies worldwide. CGIAR donors include developing and industrialised countries, international and regional organisations as well as private foundations.

In many cases, funding provided to universities and research institutions supports the implementation of research programmes in and with developing countries. The SDC has provided CHF 3.5 million in annual funding to the SNSF's NCCR North-South since 2001. The SDC's funding contribution for research related to the South is managed by the University of Bern, which acts as the *Leading House* of NCCR North-South. With a network of over 400 researchers in over 40 countries worldwide, the NCCR North-South seeks to develop practical and sustainable solutions to concrete challenges associated with global change. All NCCR North-South activities involve close partnership between research institutes and researchers from Switzerland, Africa, Asia and Latin America.

Fig. 2: Research investment by recipient category (2010)



(Source: ARAMIS database, www.aramis.admin.ch)

2.7. Global challenges

Increased interdependence – opportunities and risks

While the globalisation of knowledge, production, trade, financial flows, services, information and culture offers many opportunities, there are also risks and new challenges that need to be addressed in the field of International Cooperation.

As the economies of China, India, Brazil, South Africa, South Korea, Indonesia and other emerging countries grow stronger, these countries increasingly find themselves in a position to shape international policies on the economy, finance, energy, climate, security and development. With their above-average economic growth, emerging countries influence the development process of poor countries in various ways: increasing the demand for raw materials and food; competing for local production of consumer goods in developing countries; and serving as a model for successful development strategies. The international community now faces the challenge of associating emerging countries in the funding and management of global tasks.

Population growth – rising demand for food, energy and mineral resources – scarcity of resources

With population growth and rising demand for energy, fuel and food worldwide, the burden on limited natural resources increases. The results of this are: loss of biodiversity, soil depletion, climate change, land shortages, pollution of fresh water supplies and overfishing. Moreover, large swathes of agricultural land in Africa, Asia and Latin America are being bought or leased by states with considerable resource consumption, multinationals and private investors from industrialised and emerging countries. This often leads to unjustified seizure of land from small-holder farmers who work on it (land grabbing).

Multinationals are also exerting greater influence over poor countries. At the same time, many developing countries export raw materials and import consumer goods. When effectively regulated and taxed, exports of raw materials contribute to economic growth beyond urban centres, which reduces poverty.

Dramatic environmental changes

Poor developing countries are particularly vulnerable to global warming, which increases the potential for conflict: drought and water problems cause food crises in developing countries. Hundreds of millions of people are finding access to drinking water increasingly difficult. Extreme weather events, stronger cyclones and rising ocean levels threaten urban areas with millions of inhabitants while climate refugee flows become more prevalent. Combined with greater environmental pollution, climate change undermines sustainable development in poor countries.

Development undermined by loss of global public goods

Depending on the definition given, the term global public goods can include health, environment (particularly climate stability), biodiversity, water, food security, human security as well as market and financial stability.

As long as there are no competitively priced alternatives available, countries will continue to use cheap fossil fuels (coal, oil), which will invariably lead to even greater emission of pollutants. The depletion of natural resources, however, is the most serious risk.

Only environmentally sound poverty reduction ensures that the development of poor countries will not contribute to climate change and destruction of the environment. Those working to reduce poverty need to understand that development progress goes hand in hand with environmental protection and the preservation of global public goods. The future requires both a *Green Economy* (UN) and *Green Growth* (OECD).

Developing regions more fragile – global stability

The number of fragile states in poor countries has increased. A fragile state is defined as one where: a significant portion of the population does not recognise the legitimacy of the state; the state is unable to maintain law and order; the state is unwilling or unable to provide basic services to the population. In most countries, violent conflicts are to blame. Fragile state institutions and poor governance makes it more difficult to maintain the safeguards in place to protect the basic right to gain access to vital resources. Conflicts and dysfunctional state institutions create need and poverty; one-third of all poor people worldwide live in fragile contexts.

3. Priority themes for development cooperation and research

Swiss International Cooperation focuses on global challenges. Emphasis is placed on specific themes where Swiss expertise can help to reduce poverty and global risks.

While the extent of scientific research (i.e. commissioned research) is not the same for all themes, such activities will play an increasingly important role in all areas of Swiss International Cooperation. With the new SDC-SNSF research programme, development-related thematic research priorities have been set.

The following chapter is structured as follows:

Section 3.1. is devoted to a presentation of the SDC-SNSF joint research programme, the *Swiss Programme for Research on Global Issues for Development* (www.r4d.ch), which includes five thematic research modules. Section 3.2 provides an overview of development cooperation themes, their relation to the strategic objectives of development cooperation, the challenges and possible research axes in SDC's priority themes. Section 3.3 examines scientific research programmes relating to Cooperation with Eastern Europe and the CIS.

3.1. SDC-SNSF joint research programme on global issues

In response to global challenges facing international cooperation, in 2011 the SDC and the SNSF established the *Swiss Programme for Research on Global Issues for Development* (abbreviated title: r4d.ch programme). This joint research programme is intended to contribute to solving global problems in poor countries.

SDC funding contributions for various North-South research partnership programmes¹⁴ (around 20% of the SDC's research portfolio) were merged and invested in the r4d.ch programme.

A total of CHF 97.6 million will be invested for the entire programme duration (2012-2022). The SDC's contribution for this period amounts to CHF 72 million; the SNSF's contribution stands at CHF 25.6 million.

The programme design is based on long years of experience with various funding instruments used for North-South research. For the past twenty years, the SDC has maintained a successful partnership with the SNSF in providing research funding in and with developing and transition countries. Cooperation activities began in 1990 with the *Scientific Co-operation between Eastern Europe and Switzerland* (SCOPEs) programme (see Chapter 3.3.1). A research module «Development and the Environment» was added in 1994, followed by the Swiss Environment programme, the NCCR North-South and the programme «Research Partnerships with Developing Countries».

3.1.1. Objectives

The overarching objective of the research programme is to develop scientific evidence as well as new and innovative concepts, products, methods and solutions through excellent and development-relevant research. Research findings should contribute to globally sustainable development that reduces poverty and global risks and helps to maintain global public goods in poor countries.

¹⁴ Including the EPFL Fund; SNSF-SDC research partnerships with developing countries; research partnerships between Swiss universities of applied sciences and developing/transition countries; the ETHZ's North-South Centre: Research Fellow Partnership Programme (RFPP); NCCR North-South.

In order to reach this objective, action will be taken to ensure that research is problem- and solution- oriented and based on an interdisciplinary approach. When assessing research, great importance will be given to exchange and cooperation with relevant stakeholders and future beneficiaries. Equally important is how research findings can be applied in policy and practice.

Emphasis is placed on the following three sub-objectives:

- 1) Developing scientific evidence as well as new innovative concepts, products and methods that can be potentially scaled up.
- 2) Encouraging the exchange of information between key stakeholders on concepts, solutions and options in relation to trade-offs, problem solving, policy dialogue and/or programme work and ensuring that these can be applied in policy and practice.
- 3) Using transnational, interdisciplinary research partnerships as a means of improving scientific competences and expertise on complex global issues

Target groups include researchers in Switzerland and developing countries. The programme allows them to conduct joint research on specific themes within global networks. In addition, the programme is intended to use the scientific potential to reduce poverty and global risks in poor countries. The exchange of information between key stakeholders and future users as well as the implementation of research findings form an integral part of research activities. This requires consideration of the following: how the expected research findings can help to solve global issues; how the research findings can be used to improve the lives of disadvantaged population groups in developing countries; and how research findings can be applied in policies and practices.

With the new research programme, great importance is given to communication and use of research findings. Between 10% and 15% of a given project budget should be used for communication and implementation purposes.

3.1.2. Programme structure, thematic focus and implementation

Two different types of research funding will be awarded:

- Research funding for **thematic research programmes** (around 80% of total research funding budget). This type of research funding is awarded to consortia.
- Research funding for smaller-scale **thematically open research projects** (around 20% of total research funding budget).

The following five themes defined by the SDC are at the centre of the thematic research programme:

Theme 1: Causes of and solutions to social conflicts in contexts of weak public institutions

Theme 2: Employment in the context of sustainable development

Theme 3: Agricultural production systems and food security

Theme 4: Sustainable use and management of ecosystems

Theme 5: Provision systems and financing mechanisms in the public health sector

These themes are aligned with the long-term thematic priorities established for development cooperation (see Chapter 3.2). Specific details of each theme are defined in cooperation with the SNSF.

All projects of the thematic research modules have a duration of 6 years. A maximum 3-year duration will apply to the projects in the thematically open research module. Funding for such projects will be awarded through three calls for project proposals.

Generally speaking, all researchers at research institutions (according to SNSF practice) in Switzerland together with partners from Africa, Asia and Latin America (based on the DAC list¹⁵) are eligible for research funding.

Research must unfold in partnership between Switzerland and developing countries. For each project, at least 50% of the academic research staff must be based in poor developing countries and at least 40% of research funding awarded must be channelled to this group.

Calls for project proposals will take place at different stages: calls for project proposals for themes 1 and 2 will be issued in 2012; calls for project proposals for themes 3 and 4 will be issued in 2013; and the call for project proposals for theme 5 is planned for 2014. Calls for project proposals relating to thematically open projects will be issued in 2012, 2014 and 2016.

The Administrative Offices of the SNSF will be responsible for the operational implementation of the programme.

The strategic steering committee, with an equal number of SDC and SNSF representatives, will be responsible for the overall supervision and regularly evaluate the functioning of the r4d.ch programme. The steering committee will be supported in these activities by an advisory board comprised of international experts. The steering committee will establish a review panel (including one SDC representative and one representative from the SNSF's National Research Council) for each of the five themes covered by the thematic research modules and the thematically open module. These review panels will conduct regular evaluations of the scientific quality, development relevance, communication and application activities, and the quality of research co-operation. The SDC representative in each review panel will also be involved in following up on the content of research.

Programme status and achievements will be announced at regular intervals on the programme's website (www.r4d.ch) and in newsletters so as to keep the public informed.

¹⁵ According to OECD-DAC list: www.oecd.org/dac/stats/daclist

3.2. Priority themes in development cooperation

The following themes are at the centre of development cooperation:

- Climate change (adaptation, forests, energy)
- Agriculture and food security
- Water
- Health
- Migration
- Finance and trade (private sector and financial services)
- Basic education and professional/vocational training
- State reform, local government and civic participation
- Conflict transformation and crisis-resistance
- Gender equality
- Good governance

Climate change, food security, water, health, migration as well as *finance and trade* are considered as global themes, since they are associated with issues caused by factors beyond national boundaries. Both national and global solutions are required to tackle these issues.

Within the contexts of Swiss International Cooperation, the SDC seeks to address these global themes through specific global programmes. For the theme *finance and trade*, the SDC works with SECO. Global themes are not subject to any established geographical priorities since they affect all world regions and development levels. Nevertheless, poor countries and population groups are often particularly exposed to global risks.

Gender equality and *good governance* are considered as cross-cutting themes and are mainstreamed in all themes and global programmes. Special attention is devoted to these transversal themes whenever circumstances and opportunities allow.

The nine priority themes have been linked to the five strategic objectives of Swiss International Cooperation as follows:

Overarching objective: Achieve sustainable global development to reduce poverty and global risks	
Five strategic objectives	Nine themes
1. Anticipating and responding to crises, conflicts and natural disasters	1. Conflict transformation and resilience to crisis
2. Providing universal access to resources and services	2. Health
	3. Water
	4. Basic education and professional/vocational training
	5. Agriculture and food security
3. Promoting sustainable economic growth	6. Private sector and financial services
4. Supporting the transition to democratic, market-based systems	7. State reform, local government and civic participation
5. Contributing to globalisation that favours development, environmental protection and social justice.	8. Climate change: adaptation, forests, energy
	9. Migration

3.2.1. Climate change: adaptation, forests, energy

Challenges

Although efforts to reduce greenhouse gas emissions have been successful, it is no longer possible to reverse the effects of climate change. The poorest countries and population segments have suffered the most from the consequences of climate change, e.g. droughts, flooding and rising ocean levels. There are numerous reasons for this: their geographical location, low income, limited capacities of public and private institutions, poor-quality infrastructures and greater reliance on climate-sensitive branches of the economy (e.g. agriculture).

The average emissions per inhabitant in most developing countries are at the bottom end of the scale. Over the next decade, it is nevertheless expected that 70% of the increase in global emissions will come from these countries. Developing countries will therefore have to play a key role both in international climate policies and in the formulation and implementation of global and local solutions to reduce emissions and adapt to climate change.

Focus of research

The main focus will be placed on mitigation and adaptation to climate change as well as on the use of land and forests in developing countries. Mitigation efforts will be devoted to reducing air pollution and encouraging renewable energy. Adaptation efforts will mainly use models and scenarios of changed climatic conditions to determine possible measures to protect agriculture and the economy.

Under the *Swiss Programme for Research on Global Issues for Development*, the call for research proposals relating to theme 4 «Sustainable Use and Management of Ecosystems» will be issued in 2013.

3.2.2. Agriculture and food security

Challenges

Although most developing and emerging countries have adequate arable land, many are unable to provide enough healthy food for their population. Around 925 million people worldwide suffer from hunger; they lack an adequate intake of carbohydrates, fat and proteins (macronutrients). It is estimated that another billion people suffer from malnutrition. This «hidden» form of hunger is caused by a diet that is poor in essential micronutrients such as vitamins and minerals. Malnutrition leads to physical and mental disorders. Most people who suffer from malnutrition live from smallholder farming in rural areas. The demand for food is expected to rise dramatically under the combined effects of population growth, urbanisation and changing consumption patterns. In order to cover these increasing needs, the production of food in developing countries needs to massively increase over the next 40 years. At the same time, losses along the production chain must be minimised.

Given the continuous loss of agricultural areas, the progressive destruction of ecosystems and biodiversity and the unforeseeable consequences of climate change, achieving this objective is an immense global challenge.

Focus of research

The environmentally, socially and economically sustainable increase in agricultural productivity of smallholder farmers is the main focus of SDC-funded research in the fields of agriculture and food security. Among other things, there is a need for research on technological and socio-economic approaches that would enable agricultural production systems produce more without damaging natural resources such as soil, water and biodiversity. Agricultural production and the environment are linked at multiple levels and keeping ecosystems intact can only bring positive effects. Important research questions include how to maintain central ecosystem services for agriculture and how to make the most of agriculture from an economic, social and cultural standpoint. Decisive factors in ensuring greater levels of productivity include reducing crop loss before and after harvests through the use of integrated pest management and improved storage facilities.

An additional research priority involves finding ways to diversify and improve agricultural production among smallholder farmers by reducing risks and providing them with secured access to land. Improving the livelihoods of smallholder farmers means providing them with greater access to a wide range of high-value inputs (seeds, fertiliser, expertise, loans, insurance protection), and natural resources (soil and water). It also means providing them with markets where they can sell their products and finding ways in which they can diversify their income streams beyond agriculture. This also requires research to develop a greater understanding of the political structures in which smallholder farming takes place.

In agricultural research the SDC pursues a holistic approach based on integrated systems for agricultural innovation. This involves research partnerships where all relevant stakeholders within the system take part, not just researchers but also farmers, consultants, NGOs, companies from the private sector and local government authorities.

Under the *Swiss Programme for Research on Global Issues for Development*, the call for research proposals relating to theme 3 «Agricultural Production Systems and Food Security» will be issued in 2013.

3.2.3. Water

Challenges

Whether it be for drinking purposes, personal hygiene, agriculture or industry, water is essential. The increasing burden placed on limited water resources – mainly due to population growth and increased demand - has led to improper and excessive use of water, conflicts over the distribution of water and social tensions. It has also made it more difficult for poor people to gain access to it. The main challenge is how to introduce an integrated approach to water resources management that effectively ensures that all stakeholders obtain the water they need under conditions of social justice, economic efficiency and environmental sustainability.

In line with MDG 7, the SDC contributes to ensuring that the number of people who lack access to clean drinking water or basic sanitation is reduced by half by 2015. The UN has adopted a human rights-based approach, which is the first step towards achieving universal access to water.

Focus of research

In the area of water supply and sanitation, the research priority involves at the technical level finding innovative solutions to bring drinking water to households. The management and treatment of raw sewage, sludge and organic waste are equally important. Emphasis is also placed on developing sustainable business models that would enable the waste generated by urban water management to be re-used in agriculture. Another area of activity relates to the development of new concepts for participative planning processes and advisory services to help partners to choose suitable water supply, treatment and disposal technologies. The SDC also conducts research with European donors on ways to improve sanitation in slums. In rural areas, the SDC seeks to improve access to drinking water by lending support to applied research and strongly encouraging the development of networks so that the knowledge gained can be used and shared.

Another research priority entails analysis of the water footprint of companies and production processes. Once this has been done, proposals are then made to companies on how they may reduce their water footprint. In addition, action is being taken to anchor the water footprint concept as an ISO standard. The water footprint is an indication of how much fresh water is used in the manufacturing process for a given product.

Given the overarching objective of integrated water management, research is also centred on finding cooperation models that can be used for the cross-border management of water catchment areas, the implementation of funding mechanisms for the compensation of environmental services and the development of innovative methods to gather and analyse hydrometeorological data.

Furthermore, the topic «Conflicts over Limited Natural Resources, with Emphasis on Water» will form one of three research priorities relating to the theme «Causes of and Solutions to Social Conflicts in Contexts of Weak Public Institutions» of the r4d.ch programme.

3.2.4. Health

Challenges

Hundreds of millions of people worldwide have only limited or no access to basic healthcare services. The interconnection of health and economic development is a reality that disadvantages poor population segments and increases social disparities. Basic healthcare services are a key factor for economic and social development. As such, they play a central role in achieving greater social justice, minimising inequalities and encouraging sustainable development.

Health is among the global public goods. It has a major impact on the social and economic development of a country and its inhabitants. Major challenges, such as healthcare funding or pandemics make internationally agreed and coordinated response necessary.

Focus of research

Generally speaking, questions regarding efficiency and governance are considered relevant to research on health policy.

For the regions of Africa, Eastern Europe and Central Asia, medium- and long-term analysis of health care funding should be carried out. Here, possible forms of healthcare funding (e.g. introduction of healthcare fund systems) should be examined and explored.

Access to healthcare systems is another research priority. One of the main questions is which of the various possible mechanisms is the most cost-efficient. The general right to health in contexts where resources are limited is a common area of contention. It is generally easier to provide access to healthcare systems in urban areas. In contrast, organisational challenges often arise when efforts are made to do the same in rural areas. Promotion of health in remote regions in Africa, particularly the aim of reaching young, rural inhabitants is therefore another important research priority.

Under the r4d.ch programme, the call for research proposals relating to theme 5 «Provision Systems and Financing Mechanisms in the Public Health Sector» will be issued in 2014.

3.2.5. Migration

Challenges

According to estimates, over 200 million people worldwide live outside their countries of origin. This corresponds to about 3% of the total world population. Half of these migrants are women.

Migrant groups include skilled and unskilled workers, students and families. The legal status of migrants also varies accordingly. Of the 200 million mentioned, around 16 million are refugees and fall into the forced migrants category. The International Labour Organization (ILO) estimates that 90% of all migration takes place in pursuit of employment opportunities.

The different economic and demographic developments on various continents and in various countries have created a growing gap between supply and demand for labour force.

One of the most serious challenges is how to manage migration to ensure that it is safe, legal and respectful of the rights and interests of all stakeholders. Migration often takes place in precarious circumstances. This is especially true for less skilled workers. Vulnerable groups, particularly women, frequently face exploitation, indebtedness and various violations of their rights. The transnational nature of migration means that migrants are often inadequately protected by the legal systems in their country of origin and in their country of destination.

Development cooperation practitioners have long held the view that migration can be prevented through poverty reduction strategies. As early as in the 1990s, it became clear that international cooperation had to take migration and the effects of migration into account in existing sectoral programmes.

Focus of research

Development policy efforts are made for the purpose of reducing the negative consequences of migration (e.g. exploitation or brain drain) and increasing the positive aspects (e.g. greater prosperity, upward social mobility). Research will be centred on analysing the effects of migration on society and the economy of the country of origin as well as on changing gender roles, identity and social status. Key questions include: what impact does massive migration have on the rural development of a country? What implications does it have on the healthcare system? What influence do remittances have on the local economy? Can migration be used to drive local economic growth? A further research is devoted to the impact of migration policy measures in countries of origin and destination.

3.2.6. Basic education and VET

Challenges

Access to basic education and vocational education and training (VET) is a fundamental right for all people. Basic education contributes to poverty reduction by empowering people to improve their health, nutrition, use of natural resources, agricultural production and enjoyment of political rights. Basic education and VET are complementary ways of helping people to obtain employment and earn income. The SDC places emphasis on improving the quality and relevance of education programmes and providing populations with equal access to education.

Critical aspects of the Swiss VET system, in particular, the practical relevance and the orientation to the needs of the labour market, are also important for development cooperation. VET programmes are adapted to suit local conditions in the partner country and are often implemented alongside measures to encourage development of the private sector. In the area of non-formal education, innovative education options are being developed in addition to procedures to enable recognition of qualifications.

Focus of research

Economic and social changes force many developing countries to distribute tasks between the public and private sector. As far as VET is concerned, the following questions need to be answered: How can the private sector be encouraged to play an active role in the design, implementation and funding of VET programmes so as to increase the relevance of training content? How can Swiss experiences be adapted and applied in partner countries?

In addition, research is needed to find ways to reconcile the conflicting objectives of providing low-level basic VET skills to the poorest inhabitants and providing targeted VET for the purpose of increasing productivity and driving economic growth.

3.2.7. Private sector and financial services

Challenges

Economic growth leads to job creation, which in turn reduces poverty. Nevertheless, an important prerequisite is ensuring that economic growth and the sustainable use of natural resources go hand in hand (*green economy*). Over the past ten years, unemployment levels increased by over 25%, with youths and young adults being affected to a disproportionate extent.

Functioning markets also have an important role to play in achieving sustainable growth, whether it be in agriculture, industry or services or at the local, national or international level. Here the private sector is a driving factor of economic growth and therefore essential in helping developing and transition countries' integration into the world economy.

In the future, special emphasis will be placed on rural areas, where 70% of all income poverty can be found. Low population density and a lack of infrastructures (or poor quality infrastructures) make it more difficult for inhabitants to gain access to markets and services. A major challenge will be finding ways to make competitive market systems available to poor and marginalised population segments.

Focus of research

Systematic approaches to market development are essential in achieving poverty reduction through sustainable global development as well as in creating and maintaining employment and income, particularly in rural areas. Key objectives include better functioning markets and measures to help poor population groups to gain access to labour markets. Cooperation with the private sector (mainly local companies, but increasingly also transnational companies) and prevailing conditions are important factors. SDC support along this line is focussed on the agricultural value chain. Although many of the poorest countries have managed to reduce their poverty levels in recent years thanks to significant economic growth, the benefits have not trickled down to the poorest population segments. Priority will therefore be given to comparing various approaches that can be used to enable the poorest to derive greater benefits from sustainable growth.

Equally important is the distribution of development funding between the public and private sectors and empirical studies of poverty relevance in relation to the new area of microinsurance.

Another research priority relates to the theme 2 «Employment in the Context of Sustainable Development of Better Social and Institutional Conditions» of the r4d.ch programme.

3.2.8. State reform, local governance and good governance

Challenges

When state institutions and political processes are weak and influenced by private interests, it is difficult to achieve equitable economic and social development that improves the lives of all citizens. Good governance includes the following: a fair distribution of power involving participation of all interest groups; transparent and non-violent elections; the separation of powers; and mechanisms to uphold the rule of law and protect human rights. Over the past thirty years, nearly all developing countries (not to mention other countries!) have implemented reforms of central government institutions, covering political and administrative aspects as well as tax decentralisation. The common objective has been to delegate powers from the central to the regional and local levels (according to subsidiarity principle). Public services should be organised in such a way as to ensure the closest possible proximity to the local population. Fair and transparent systems to distribute financial resources and burden must also be in place to create the structural foundations for balanced development opportunities in all regions and social categories.

Local (i.e. sub-national) governments are confronted with major challenges as the international community assumes massive global commitments, e.g. shielding poor countries from the effects of climate change and natural disasters or working to achieve the Millennium Development Goals (MDGs) in a world where soon 40% of all people will live in urban areas. Often, local governments lack the financial resources and expertise needed to meet the expectations of the population. Building capacities at the local level and providing local governments with fiscal resources are the two most important areas in which reform, and corresponding support, is needed.

Focus of research

Political reforms include adaptation of the public sector and particularly democratic decentralisation. It is therefore also important to analyse corresponding political interests. In many developing countries, social and power structures have developed over time and co-exist with the «modern» (i.e. post-colonial) state. Analysis of the balance of power is a particular challenge for those wishing to support reform efforts. In the future, research will mainly involve analysis of power structures, the interests of various groups and the mechanisms used to consolidate power.

From the standpoint of ongoing reforms, there is a second research priority that relates to the influence that democratic decentralisation reforms have on the living standards of people, particularly vulnerable population segments. Here findings should shed light on ways in which development cooperation can support political dynamics and stakeholders and facilitate the integration of disadvantaged groups.

A third research priority involves an external critical assessment of measures taken to support reform. An important concern is determining the form of «aid» that is best suited for the introduction and anchoring of democratic decentralisation during the reform process.

3.2.9. Conflict resolution and resilience to crisis

Challenges

Conflicts are an inherent part in the process of the evolving needs, objectives and activities of social groups and policymakers. Development cooperation which supports social change and economic reforms and intends to empower poor and vulnerable population groups has to become involved in the constructive resolution of existing and new conflicts of interest. However, the necessary prerequisites for sustainable development and humanitarian aid are undermined when conflicts escalate into violence and war. Empowerment is meant to encourage civil conflict resolution within and between groups of people. A key strategy in peaceful social and political transformation is upholding human rights and adopting a generally conflict-sensitive approach in international cooperation programmes. This means gaining a clear awareness of the relevant structure of fragile and conflictive situations and the corresponding dynamics. It also means taking aspects of justice and security into account. Here, external support should be aimed at enabling cooperation between the various government agencies within a given state (*whole-of-government approach*) or enabling cooperation between national agencies and international organisations (*whole-of-system approach*). This ensures that activities are coherent, coordinated and complementary with one another.

At the same time, sustainable peace requires solid economic, socio-cultural and political institutions. International peacekeeping operations, which are often planned and carried out as short-term interventions to handle crisis situations, have shown that long-term successful peacebuilding cannot be achieved by merely treating the symptoms. International cooperation should include efforts to establish lasting peace by recognising the root causes of violent conflicts and the structural requirements for peaceful resolution of social conflicts.

Focus of research

With regard to finding ways to overcome violent conflicts and develop resilience to crisis, research will focus on causes of conflict as well as on mechanisms that can be used to resolve social conflicts over the distribution of resources in countries where state institutions are weak. A call for research proposals has been launched relating to theme 1 «Causes of and Solutions to Social Conflicts in Contexts of Weak Public Institutions» of the r4d.ch programme.

In addition, programme work and policy dialogue relating to conflict and human rights will be supported by applied or action-oriented research.

3.2.10. Gender

Challenges

The active involvement of both men and women as individuals, workers and citizens in society is needed for sustainable development. In many parts of the world, women have only very limited access to economic resources and decision-making processes. Economic decisions barely acknowledge the special role played by women in taking care of family members. As a result, discrimination against women is the most widespread form of exclusion, despite numerous efforts undertaken at the micro-level. The exclusion of men or women from important social development processes, the existence of gender discrimination in the distribution and control of resources as well as a failure at the macroeconomic level to consider gender as an important component of the GDP of all countries are critical obstacles to achieving sustainable development and contribute to social and political instability. Reducing gender disparities can have a decisive impact in terms of social justice, the reduction of poverty and discrimination and sustainable development.

Focus of research

Research is intended to produce data and knowledge for development policy actions. It is therefore important for support to be given to research activities that take gender disparities into account, whether it be at the level of research design, research questions, the research team or the choice of methodology. Gender-specific knowledge forms a basis for international cooperation efforts aimed at changing existing gender roles, providing equal access to resources and encouraging both women and men to take part in decision-making.

The future research priority will include, among other things, analysis of correlations between poverty and the status of men and women in society. Gender-based discrimination in daily life and the relevance of macroeconomic developments will also be examined from this angle, particularly with regards to the care economy.

A new theme is the correlation between gender equality and fragile states.

3.3. Research cooperation with Eastern Europe

3.3.1. Regional Research Promotion Programme Western Balkans

The purpose of the SDC-funded *Regional Research Promotion Programme in Social Sciences* (RRPP) is to develop networks and research capacities in social sciences in the Western Balkans (Albania, Bosnia and Herzegovina, Kosovo, Macedonia, Montenegro and Serbia).

The University of Fribourg's Interfaculty Institute for Central and Eastern Europe (IICEE) has been responsible for managing the RRPP since 2008.

A key element is the funding of research projects involving research institutes from at least two countries of the Western Balkans. Research findings should serve as the basis for proposals relating to necessary reforms. At the same time, they should have longer-term effects on policy measures to address the social and economic challenges arising from the transformation process. Summaries of all projects can be found on the RRPP website (<http://www.rrpp-westernbalkans.net/research>).

In addition to the current phase, consideration will be given in 2012 of how social sciences can be improved through a comprehensive and systematic approach. Depending on feasibility, funding of CHF 2-4 million may be set aside for the period running from 2013-2016.

3.3.2. SCOPES

The *Scientific Cooperation Programme between Eastern Europe and Switzerland* (SCOPES) encourages bilateral research partnerships between Swiss institutions and partners in Eastern Europe, the Commonwealth of Independent States (CIS) and the Western Balkans. Funding is available for all scientific disciplines that relate to transition. No specific themes have been established.

Since 1990, the SDC and SNSF have jointly financed the SCOPES programme. Phase 6 of this programme will reach completion at the end of 2012. The SDC-SNSF programme will be extended for another 4-year phase, which will continue until 2016. The SDC and SNSF have each allocated a total of CHF 8 million to the SCOPES programme for the period 2013-2016.

The SCOPES programme pursues the following objectives:

- Develop the skills of researchers in Eastern Europe and the CIS (including research management)
- Improve the institutional capacities of research facilities in Eastern Europe and the CIS
- Support the participation in international programmes and the establishment of networks with other countries (European Research Area, international scientific community)

The main instruments used for this purpose include:

- a) **Joint research projects (JRPs):** Swiss and Eastern European research groups or research institutes that share similar research fields work together on joint research projects. Swiss researchers play a coordinating and supporting role in the planning, execution and assessment of JRPs.
- b) **Institutional partnerships (IPs):** Swiss institutes provide assistance with the process of modernising research facilities in partner countries.

The SNSF is responsible for the operational implementation of the SCOPES programme. Applications are reviewed by international experts. The final selection process takes place in review panels in which the SDC can take part.

4. Funding for 2013-2016

The SDC will maintain its research budget at current levels. The reference point for ODA-relevant research investment remains at CHF 50 million per year.

Calculation of annual investment is based on the effective payments. Fluctuations from year to year are mainly caused by the payment schedules established within a given project cycle; for long-term projects, these payments may vary considerably.

Planned research expenditure for 2013-2016 by framework credit (in thousand Swiss francs)

Year	Framework credit South	Framework credit East	TOTAL
2013	45,000	5,000	50,000
2014	45,000	5,000	50,000
2015	45,000	5,000	50,000
2016	45,000	5,000	50,000

5. Key partners in development research

Selected partners	
❶ Swiss higher education and research institutes	
University of Basel	http://www.unibas.ch/
University of Berne (Centre for Development and Environment CDE / Interdisciplinary Centre for Gender Studies IZFG)	http://www.unibe.ch/ http://www.cde.unibe.ch/ http://www.izfg.unibe.ch/
University of Fribourg (Institute of Federalism IFF)	http://unifr.ch/ http://unifr.ch/federalism/
University of Geneva	http://www.unige.ch/
University of Lausanne	http://www.unil.ch/
University of Neuchâtel	http://www.unine.ch
University of St. Gallen (HSG)	http://www.unisg.ch/
Università della Svizzera italiana (USI)	http://www.usi.ch/
University of Zürich (Development Study Group DSGZ)	http://www.uzh.ch/ http://www.dsgz.geo.uzh.ch/
Federal Institute of Technology Lausanne (EPFL)	http://www.epfl.ch/
Federal Institute of Technology Zurich (ETHZ)	http://www.ethz.ch/
Graduate Institute of International and Development Studies (IHEID)	http://graduateinstitute.ch/
Swiss Graduate School of Public Administration (IDHEAP)	http://www.idheap.ch/
Swiss Tropical and Public Health Institute (Swiss TPH)	http://www.swisstph.ch/
Swiss Peace Foundation	http://www.swisspeace.ch/
Department of Water and Sanitation in Developing Countries (SANDEC), Swiss Federal Institute of Aquatic Science and Technology (EAWAG)	http://www.sandec.ch/ http://www.eawag.ch/
Swiss Institute for Materials Science and Technology (EMPA)	http://www.empa.ch/
University of Applied Sciences and Arts of Bern (BFH)	http://www.bfh.ch/
University of Applied Sciences and Arts of Northwestern Switzerland (FHNW)	http://www.fhnw.ch/
University of Applied Sciences and Arts of Eastern Switzerland (FHO)	http://www.fho.ch/
University of Applied Sciences and Arts of Western Switzerland (HES-SO)	http://www.hesso.ch/
University of Applied Sciences and Arts of Lucerne (HSLU)	http://www.hslu.ch/
University of Applied Sciences and Arts of Southern Switzerland (SUPSI)	http://www.supsi.ch/
University of Applied Sciences and Arts of Zurich (ZFH)	http://www.zfh.ch/
Agroscope	http://www.agroscope.admin.ch/
Research Institute of Organic Agriculture (FiBL)	http://www.fibl.ch/
Paul Scherrer Institute (PSI)	http://www.psi.ch/

② Swiss National Science Foundation (SNSF) with joint SDC-SNSF programmes	
Swiss Programme for Research on Global Issues for Development	http://www.r4d-.ch/
Research Partnerships with Developing Countries	http://www.snf.ch/D/international/weltweit/entwicklungslaender/Seiten/default.aspx http://www.kfpe.ch/projects/rpdc/
NCCR North-South	http://www.north-south.unibe.ch/
SCOPES	http://www.snf.ch/D/international/europa/scopes/Seiten/default.aspx
③ Commission for Research Partnerships with Developing Countries (KFPE) (http://www.kfpe.ch/)	
④ Selected international partners/networks	
Consultative Group on International Agriculture Research (CGIAR) with the following research institutes:	http://www.cgiar.org/
• International Center for Tropical Agriculture (CIAT)	http://www.ciat.cgiar.org/
• Center for International Forestry Research (CIFOR)	http://www.cifor.org/
• International Maize and Wheat Improvement Center (CIMMYT)	http://www.cimmyt.org/
• International Potato Center (CIP)	http://www.cipotato.org/
• World Agroforestry Centre (ICRAF)	http://www.worldagroforestrycentre.org/
• International Food Policy Research Institute (IFPRI)	http://www.ifpri.org/
• International Institute of Tropical Agriculture (IITA)	http://www.iita.org/
• International Rice Research Institute (IRRI)	http://irri.org/
• International Water Management Institute (IWMI)	http://www.iwmi.cgiar.org/
• Bioversity International	http://www.bioversityinternational.org/
• WorldFish Center	http://www.worldfishcenter.org/
• The International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)	http://www.icrisat.org/index.htm
• International Center for Agricultural Research in the Dry Areas (ICARDA)	http://www.icarda.cgiar.org/
• Africa Rice Center (AfricaRice)	http://www.warda.cgiar.org/
• International Livestock Research Institute (ILRI)	http://www.ilri.org/
SPLASH European Union Water Initiative, European Research Area Network (EUWI ERA-Net)	http://www.splash-era.net/ http://www.euwi.net/ http://ec.europa.eu/research/era/
Agricultural Research for Development, European Research Area (ERA-ARD)	http://www.era-ard.org/ http://ec.europa.eu/research/era/
International Centre for Integrated Mountain Development (ICIMOD)	http://www.icimod.org/
International Centre of Insect Physiology and Ecology (ICIPE)	http://www.icipe.org/
Integrated Water Resources Management Organization (IWRM)	http://www.iwrm.org/
Organisation for Economic Co-operation and Development (OECD)	http://www.oecd.org/
World Health Organization (WHO)	http://www.who.int/
World Bank	http://www.worldbank.org/
United Nations Research Institute for Social Development (UNRISD)	http://www.unrisd.org/

Drugs for Neglected Diseases Initiative (DNDi)	http://www.dndi.org/
Medicines for Malaria Venture (MMV)	http://www.mmv.org/
Centre for Agricultural Bioscience International (CABI)	http://cabi.org/
World Vegetable Center (AVRDC)	http://www.avrdc.org/
International Forum of Research Donors (IFORD)	http://www.iford.org
Environment and Development Action in the Third World (ENDA-TM)	http://www.enda.sn/
Selected research partner institutions in developing countries	
<ul style="list-style-type: none"> • Ifakara Health Research and Development Centre (IHRDC), Ifakara Town, Tanzania http://www.ihl.or.tz/ • Centre for Training and Integrated Research in Arid and Semi-Arid Land (ASAL) Development (CETRAD), Nanyuki, Kenya http://www.cetrad.org/ • Centre Suisse de Recherches Scientifiques (CSRS), Abidjan, Côte d'Ivoire http://www.csrs.ch/ • International Institute for Water and Environmental Engineering (2iE), Ouagadougou, Burkina Faso http://www.2ie-edu.org/ • Indo-Swiss Collaboration in Biotechnology (ISCB) New Delhi, India /Lausanne, Switzerland http://iscb.epfl.ch/ • Addis Ababa University (AAU) Department of Economics Addis Ababa, Ethiopia http://www.aau.edu.et/ http://www.aau.edu.et/index.php/economics-overview • Sustainable Development Policy Institute (SDPI) Islamabad, Pakistan http://www.sdpi.org/ • Kathmandu University (Human and Natural Resource Studies Center (HNRSC), Development Study Group) Dhulikhel, Nepal http://www.ku.edu.np/ http://www.hnrsc.edu.np/ • Asian Institute of Technology (School of Environment, Resources and Development, SERD) Pathumthani, Thailand http://www.ait.ac.th/ http://www.serd.ait.ac.th/ • American University of Central Asia (AUCA) Bishkek, Kyrgyz Republic http://www.auca.kg/ • Agroecology University Cochabamba (AGRUCO) Cochabamba, Bolivia http://www.agruco.org/ • University of San Simón (UMSS) (Faculty of Agriculture), Cochabamba, Bolivia http://www.umss.edu.bo/ http://www.agr.umss.edu.bo/ • University of San Andrés (UMSA) (Center for Information and Development Studies, CIDES), La Paz, Bolivia http://www.umsa.bo/ http://www.cides.edu.bo/ • Oswaldo Cruz Foundation (Fiocruz) Rio de Janeiro, Brazil http://www.fiocruz.br/ • International Centre for Diarrhoeal Disease Research, Bangladesh (ICDDR,B) Dhaka, Bangladesh http://www.icddr.org/ • University of the Western Cape (UWC) (School of Public Health) Tygerberg, Republic of South Africa http://www.uwc.ac.za/ 	

6. Organisational aspects and quality assurance

6.1. Internal structure

The SDC's research desk, which is anchored in the Analysis and Policy section of the SDC's Global Cooperation, is responsible for SDC's activities related to research policy, research strategy and coordination.

In addition, 20% of the SDC's research portfolio is centrally managed by the research desk. It includes previous contributions to various thematically open North-South research programmes, e.g. NCCR North-South, the partnership programme run by Swiss universities of applied sciences or the EPFL Fund. In the future, the research desk will be responsible for managing CHF 9 million annual budget allocated to the SDC-SNSF research programme r4d.ch. Responsibility for the follow-up of the content of each of the five themes will remain with the organisational units specialised in the respective themes. These organisational units will also represent the SDC in the corresponding review panels.

The largest portion of the SDC's research portfolio, around 80%, is decentrally managed by organisational units at SDC headquarters or at SDC cooperation offices. It includes commissioned research; development programmes with a research component; research funding contributions to international organisations or networks; as well as programme contributions relating to strategic priorities of the Global Cooperation, the Regional Cooperation and the Cooperation with Eastern Europe. Line managers in organisational units are responsible for the management and quality assurance (including the launch of calls for research proposals/awarding of contracts, monitoring, reporting as well as the dissemination or use of research findings) of research mandates and funding contributions. They are also responsible for working with research institutes and conducting regular assessments of this cooperation.

SDC networks also play an important role. Their main purpose is to develop and impart good practices relating to a given theme, e.g. water, health and education or management issues. SDC networks link employees at SDC headquarters with fellow employees at SDC cooperation offices as well as with partner organisations and researchers. Each network is coordinated and directed by a focal point. International network meetings are organised each year or every two years to allow members of the network to meet with one another. Electronic platforms are used to exchange information and make information available over the Internet.

6.2. Scientific monitoring

Since programmes and projects that include research vary considerably in their design and cover a broad spectrum of themes, the creation of a single scientific body to monitor and guide research activities would not be adequate.

However, international experts assess research projects conducted within the framework of programmes. In most cases, the SDC is represented in the selection committees and review panels.

Quality assurance is also handled in cooperation with international and national bodies specialised in a given field (such as CGIAR, AGUASAN, KFPE, IFORD) as well as various competence centres to which a backstopping mandate has been issued.

6.3. Quality assurance

In order for research to contribute to reducing poverty and global risks and lead to innovative solutions to global challenges in developing countries, research funding levels must be adequate and research freedom related to research questions and methodology is to be respected. At the same time, research cannot be considered as an isolated activity of International Cooperation. Research is an integral part of all efforts to address and find solutions to pressing global challenges. ODA-funded research is subject to the same imperatives as other international co-operation activities, namely result orientation, effectiveness and efficient use of resources.

There are no specific instruments and procedures for research activities. Budget requests serve as the basis for operational, administrative and financial authorisations relating to SDC contributions and mandates. In combination with the project document and logical framework or result framework, budget requests are used to monitor and assess research programmes and projects or the research components of development projects. For this reason, a result framework will be required for all future research programmes and projects.

The quality will be guaranteed by means of project cycle management (PCM) or core contribution management (CCM). PCM is a fully integrated management system designed to assess results. It is based on an understanding that programmes and projects are cyclical. CCM was developed for the purpose of enabling the monitoring of the quality of core contributions despite limited steering options.

PCM impact assessments enable results to be observed, considered and verified. It also allows one to determine whether research findings are actually being applied. Depending on the SDC's requirements and instruments as well as the experience and freedom of action of research partners, monitoring tools, evaluation tools and processes can be developed to suit specific needs.

Assessment of impact of Swiss development activities has improved considerably over the last ten years. New instruments have been introduced: e.g. annual reports on the effectiveness of cooperation strategies and budget allocations; the *Annual Progress Report on Gender Equality*, which examines implementation of the SDC's gender policy in cooperation strategies, contributions, programmes and projects; and impact reports, which are produced every two years. Existing instruments have also been improved: e.g. SDC/SECO Annual Report, which since 2009 now reports information from the standpoint of results achieved. In 2011, the SDC submitted an additional report on accountability showing the results achieved in selected priority themes set forth in the Federal Council Dispatch for 2009-2012. The creation of a competence centre for evaluations within the FDFA's General Secretariat has reinforced the independence of assessors. In addition, in the budgetary period for the last Federal Council Dispatch, the SDC regularly checked its priority themes and conducted around 100 evaluations each year at various levels within the organisation. Evaluation of the SDC's research portfolio is one example of this. Partners (particularly the SDC's research partners) can also benefit from the experiences gained from the use of these new instruments as a means to monitor their own activities.

6.4. KTT and dissemination of knowledge

Intellectual property relating to ODA-funded research is handled in the following manner: all research findings are subject to the open access principle. All research findings are freely accessible and may be used without restriction by third parties as long as this usage does not serve any commercial purposes. Intellectual property arising from research may only be protected (by means of brand names, design registration, patents, etc.) with the SDC's prior consent.

Research findings from contribution programmes are generally published by the research institutes or researchers through the usual research channels.

Nevertheless, it is not enough to merely disseminate research findings – no matter how suitable the form may be. Whenever possible, researchers must strive to implement and apply research findings in a way that benefits the target groups.

With ODA-funded research, iterative exchanges and cooperation with relevant practitioners and policymakers form an integral part of research efforts. It is also important for researchers to consider the possible ways in which research findings can help solve global issues in developing countries or ways in which the research findings can improve the lives of poor population groups in developing countries. At the same time, researchers should consider potential ways in which research findings can be applied in policy and practice from the outset. In the future, all research projects must include a communication and application plan; 10% to 15% of the total project budget must be used for this purpose.

Once or twice each year, research institutes will also be required to formally meet either with the SDC section or the SDC cooperation office that awarded the research funding as well as with networks and sections that are interested in the content of research. This will enable mutual expectations to be expressed and relevant research findings to be presented, discussed and jointly assessed. Where meaningful, such meetings will also allow for policy briefs to be drafted for the purpose of documenting and disseminating information.

Research findings that are both innovative and relevant to SDC activities may be made generally accessible via sharewebs of thematic networks to the organisational units responsible. They may also be published through other suitable channels or presented and discussed at network meetings as well as at internal and public events organised by the network.

Where needed, the SDC's Knowledge and Learning Processes Division lends support to operational units, networks and funding recipients in the exchange or preparation of knowledge, e.g. inputs and workshops.

7. List of abbreviations

ARE	Federal Office for Spatial Development
FEDRO	Federal Roads Office
FOCP	Federal Office for Civil Protection
FOEN	Federal Office for the Environment
FOPH	Federal Office of Public Health
FOSPO	Federal Office of Sport
OPET	Federal Office for Professional Education and Technology
SFOE	Swiss Federal Office of Energy
ERI	Education, research and innovation
SFSO	Federal Statistical Office
ERT	Education, research and technology
FOAG	Federal Office for Agriculture
FSIO	Federal Social Insurance Office
CCM	Core contribution management
CGIAR	Consultative Group on International Agricultural Research
CHF	Swiss francs
DAC	Development Assistance Committee (OECD)
FDFA	Federal Department of Foreign Affairs
EPFL	Federal Institute of Technology Lausanne
ETHZ	Federal Institute of Technology Zurich
EU	European Union
R&D	Research and development
CIS	Commonwealth of Independent States
IFORD	International Forum for Research Donors
IHEID	Graduate Institute of International and Development Studies
IICEE	Interfaculty Institute for Central and Eastern Europe (University of Fribourg)
ILO	International Labour Organization
IPs	Institutional partnerships
JRPs	Joint Research Programmes
KFPE	Commission for Research Partnerships with Developing Countries
KTT	Knowledge and technology transfer
CTI	Commission for Technology and Innovation
MDGs	Millennium Development Goals
NCCRs	National Centres of Competence in Research
NRP	National Research Programmes
NGO	Non-governmental organisation
ODA	Official Development Assistance
OECD	Organisation for Economic Co-operation and Development
PCM	Project cycle management
DPA	Directorate of Political Affairs
RRPP	Regional Research Promotion Programme
RFPP	Research Fellow Partnership Program
SER	State Secretariat for Education and Research
SCNAT	Swiss Academy of Sciences
SCOPEs	Scientific Co-operation between Eastern Europe and Switzerland
SDC	Swiss Agency for Development and Cooperation
SECO	State Secretariat for Economic Affairs
SNSF	Swiss National Science Foundation
SR	Classified Compilation of Federal Legislation
SSTC	Swiss Science and Technology Council
UN	United Nations

Imprint

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This publication is also available in German and French. It can be downloaded from the website www.sdc.admin.ch/publications.

Bern, 2012