



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

Swiss Programme for Research on Global Issues for  
Development (r4d.ch)

## **Thematically Open Research**

Call for Proposals

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## **1. Introduction**

### **1.1 Overarching goals**

In view of global change and the multi-faceted global challenges and crises (geopolitical and economic shifts, continuing poverty, etc.), traditional "North-South" co-operation is increasingly being complemented and replaced by an international co-operation on global issues. Research and innovation are decisive factors for sustainable global development both in poor and in rich countries.

The Swiss Agency for Development and Cooperation (SDC) and the Swiss National Science Foundation (SNSF) are offering a funding scheme for development-related research on global issues. The main focus of the "Swiss Programme for Research on Global Issues for Development" lies on the generation of new insights and innovative approaches, solutions as well as on the application of research results into policy and practice through transnational research partnerships. In the focus of the programme are the reduction of poverty and global risks as well as the provision of public goods. Inter- and transdisciplinary research with a problem- and solution orientated approach will be funded. The implementation of the research results into policy and practice are of high significance and are considered as an integral part of the research activities. The programme consists of two modules: On the one hand, a module where researchers are free to choose their own research topic and submit bottom-up projects free of thematic specifications and, on the other hand, a module involving 5 "thematic research programmes" with the following pre-defined topics:

- Causes of and solutions to social conflicts in the context of weak public institutions;
- Reducing poverty through employment as well as favourable societal and state-related framework conditions;
- Agricultural production systems and food security;
- Sustainable use and management of ecosystems;
- Provision systems and financing mechanisms in the public health sector.

Detailed information on the "Swiss Programme for Research on Global Issues for Development" and its structure can be found on the following website: [www.r4d.ch](http://www.r4d.ch).

### **1.2 Second open call**

This call document concerns the second of three planned thematically open calls. The objectives of the call are outlined in the first part of this document. The eligibility requirements and the submission procedure are described in the second part.

A budget of CHF 6.6 million has been made available for the second open call. The individual projects will have a running time of max. three years.

## **2. The thematically open research module**

### **2.1 General framework of the module**

The thematically open research module is expected to fund research projects of high quality on new or innovative topics addressing global issues in poor countries. The normative and conceptual

frame of reference for the research is sustainable development. Different from the thematic research modules, the topics of projects are not pre-defined. The thematically open projects are inspired by the curiosity of the researchers ("bottom up") and motivated by the expected contribution to problem solving. The aim is to gain knowledge and develop new concepts, approaches and methods. The funds will go to projects which present creative and original research approaches dealing with issues, risks and crises of regional and global reach, which affect the development chances and perspectives of poor countries.

**3. Eligibility requirements, project outlines**

**3.1 General provision**

If no specific rules are mentioned, the Funding Regulations of the Swiss National Science Foundation shall apply.

**3.2 Eligibility**

- All researchers working at research institutions in Switzerland or in developing countries in Africa, Asia and Latin America are eligible (according to the country list in annexe 5).
- The responsible applicant must be employed at a Swiss research institution.
- The scientific personnel must be employed at an institution that does not conduct research for commercial purposes. Subcontracting to commercial service providers is permissible, provided they are not co-applicants.

<b>Switzerland</b>	<b>Developing Countries</b>
<ul style="list-style-type: none"> <li>• Universities</li> <li>• ETH &amp; institutions of the ETH Domain</li> <li>• Universities of applied sciences, universities of teacher education</li> <li>• Swiss federal research institutions</li> <li>• Other research institutions that do not conduct research for commercial purposes.</li> </ul>	<ul style="list-style-type: none"> <li>• Institutions of higher education, universities</li> <li>• Public research institutions</li> <li>• Other research institutions that do not conduct research for commercial purposes.</li> </ul>

**3.3 Research partnership projects**

Only "research partnership projects" are funded. Such projects consist of at least one Swiss research group and at least one research group from a developing country of group 1. The participation of further groups from Switzerland and from developing countries is highly recommended.

The following table gives an overview of the eligible developing countries in Africa, Asia and Latin America (see annexe 5, country list based on the OECD-DAC list<sup>1</sup>.)

<b>Mandatory</b>	<b>Optional</b>
<p><b>Country group 1</b></p> <p>Least developed countries, low income countries and lower middle income countries in Africa, Asia and Latin America Cuba as a SDC priority country</p> <p>The list of countries can be found in the Annex.</p>	<p><b>Country group 2</b></p> <p>BICS and upper middle income countries in Africa, Asia (without Turkey) and Latin America (without the Caribbean) that play a major role with regard to global challenges and the reduction of global risks - for instance, Brazil, India, China, South Africa and others.</p> <p>Applicants must briefly describe the country's regional significance for the topic in the proposal.</p>

The countries of Central Asia (Kazakhstan, Kyrgyzstan, Tajikistan, Uzbekistan) and South Caucasus (Armenia, Azerbaijan, Georgia) are eligible to participate in the specific research programme SCOPES (Scientific co-operation between Eastern Europe and Switzerland). Therefore research groups from these countries do not qualify for country group 1, they are part of country group 2.

The so-called trilateral co-operation "North-South-South" may be important for dealing with "global issues". Therefore, research partners from the BICS and upper middle income countries (group 2), which have a regional importance with regard to global challenges, may optionally be integrated into research partnership projects. Applicants must briefly describe the country's regional significance for the topic in the proposal.

The existing Science Europe letter of intent regarding Money Follows Researcher<sup>2</sup> is not applicable to the projects of the Swiss Programme for Research on Global Issues for Development.

### **3.4 Project management**

The responsible applicant must be able to show that his or her project will be based at a Swiss institution during the entire research phase of max. three years. The employment status of the main applicant will be a criteria in the evaluation of the pre- and full proposal. The project needs to be co-managed by at least one applicant from a country of group 1 (see above).

### **3.5 Duration**

The running time of the research projects is max. three years.

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<sup>1</sup> OECD-DAC list:

[www.oecd.org/dac/stats/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf](http://www.oecd.org/dac/stats/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf)

<sup>2</sup> See [www.snf.ch/de/foerderung/ergaenzende-massnahmen/money-follows-researcher/Seiten/default.aspx](http://www.snf.ch/de/foerderung/ergaenzende-massnahmen/money-follows-researcher/Seiten/default.aspx)

### 3.6 Funding

The following costs are covered in the projects:

- Salaries:
  1. Doctoral candidates
  2. Academics or senior researchers doing research in the project (employees with a master or doctoral degree from an institution of higher education)
  3. Technicians
  4. Assistants or MSc students (only partners in developing countries)
- Communication and implementation activities
- Equipment of enduring value (only in developing countries)
- Research funds (consumables, travel costs, room and board costs, field expenses)
- The salaries of Swiss researchers comply with the currently valid SNSF rates. For researchers based in developing countries the local prevailing salaries apply. Salaries and research funds may be used for research, application and communication. The Swiss PI can't request her or his salary.
- The following two financial conditions apply to all research partnership projects:
  1. At least 50% of the academic research personnel (full-time posts per month) per project is based in poor developing countries (group 1).
  2. At least 40% of the approved amount must go to the partners in countries of group 1. Deviations from the above-mentioned rules are permissible in exceptional cases if adequate reasons are provided. At least one criterion, however, must be met under all circumstances.
- The financial scope of a project depends on the objectives and the methodical approach. The maximum amount per project is CHF 500,000.
- 10% to 15% of the amount awarded to a project must be used for application and communication. The corresponding application and communication work (see annexes 2 and 3) must be described in detail in the proposal. Furthermore, it needs to be shown how the knowledge exchange between the relevant stakeholders in Switzerland and the developing countries is to take place throughout the duration of the project. A Result Framework (see annexe 4) and a Pathways to Impact (see annexe 2) must be submitted for this purpose with the full proposal (annex).

### 3.7 Interdisciplinarity and KFPE principles

- Research partnership projects are interdisciplinary. In particular, interdisciplinary collaboration between the social, natural and engineering sciences is encouraged and will be assessed positively in the evaluation of the proposals.
- The applicants must be able to show that the individual teams within a project are co-operating closely and that the results of the project add significantly more value than individual research would be capable of doing.
- Applicants are requested to follow the guidelines for research partnerships with developing countries, namely the 11 revised principles of the Commission for Research Partnerships with Developing Countries (KFPE), which is electronically available in various languages on the KFPE website: [www.kfpe.ch/11-Principles](http://www.kfpe.ch/11-Principles)

### 3.8 Intellectual property rights und open access principle

- Every product created as a result of the research shall be subject to the open access principle. Hence, third parties shall have a free and absolute right to use each product insofar as they do not have any commercial interests.
- Before filing an application for intellectual property rights to a research result (through trademark, design, patent, etc.), prior approval needs to be obtained from the SDC. The SNSF shall be informed accordingly.
- The SNSF undertakes to assert the above-mentioned open access principles by means of a corresponding statement in the ruling and to ensure that third parties do not obtain any intellectual property rights.

### 3.9 Reporting

A financial report and a comprehensive progress report based on the Result Framework as well as an updated fact-sheet have to be submitted after 12 months and subsequently each year. The progress reports are addressed to the main stakeholders (research community and development cooperation) and need to be ready for online publication on [www.r4d.ch](http://www.r4d.ch). The requested output data on mySNF have also be updated regularly.

### 3.10 Double submission

Projects cannot be submitted simultaneously in the thematic module public health and the thematically open call.

## 4. Submission procedure

Pre- and full proposals must be submitted online via the mySNF portal. User-registration can be obtained via the mySNF homepage: [www.mysnf.ch](http://www.mysnf.ch).

The call documents and the relevant provisions, regulations and guidelines for the submission of proposals via the mySNF portal can be downloaded from the website of the programme ([www.r4d.ch](http://www.r4d.ch)) and from the SNSF site. The evaluation will be conducted in two stages (pre-proposals, full proposals). Both the pre- and the full proposals must be submitted in English since they will be evaluated by internationally recognised experts.

If you do not already have a mySNF account, you need to register before submitting a proposal on [www.mySNF.ch](http://www.mySNF.ch). Registration for a login for electronic submission requires usually two working days. Please consider that the preparation of the submission of a pre-proposals via the mySNF portal will take you at least one day.

### 4.1 Pre-proposals

The deadline for submission is **6 February 2015**.

The pre-proposal has to provide an outline of the planned research project. The following information also needs to be submitted:

Data to be entered directly in the mySNF portal:

- Basic data and abstract
- National and international co-operations / partners
- Estimation of financial support required for salaries and running costs (budget).

Documents to be uploaded in PDF format on the mySNF portal:

Research plan (max. 5 pages) ·

- State of research in the field / novelty of the project
- Research hypotheses and objectives of the project
- Methodology
- Potential impact of the project and its relevance for development
- Process of setting up the project

The project description mentioned above must be submitted using the template (see annexe 1). It should not be longer than **five** pages (excluding cover page and bibliography).

- CV and list of the five most relevant publications in the subject area of the project (no more than two pages) of the individual applicants.
- Written confirmation by the partners from developing countries that they will participate in the project (no legally binding commitment at the pre-proposal stage).

A rejection of the pre-proposal will be communicated to the Swiss applicant by a formal decision letter.

## **4.2 Full proposals**

In the second stage of the submission procedure, the Review Panel will invite the authors of selected pre-proposals to submit a detailed full proposal online via the mySNF portal in accordance with standard SNSF rules and guidelines. The review panel may ask for further information. One preparatory grant of approximately 5'500 CHF is available for the elaboration of each full proposal (e.g. for a joint workshop).

Full proposals must contain the following information:

### **A. Data to be entered directly in the mySNF portal:**

- Basic data and abstract
- National and international co-operations
- Estimation of financial support required for salaries, running costs and communication and implementation (budget)

### **B. Documents to be uploaded in PDF format on the mySNF portal:**

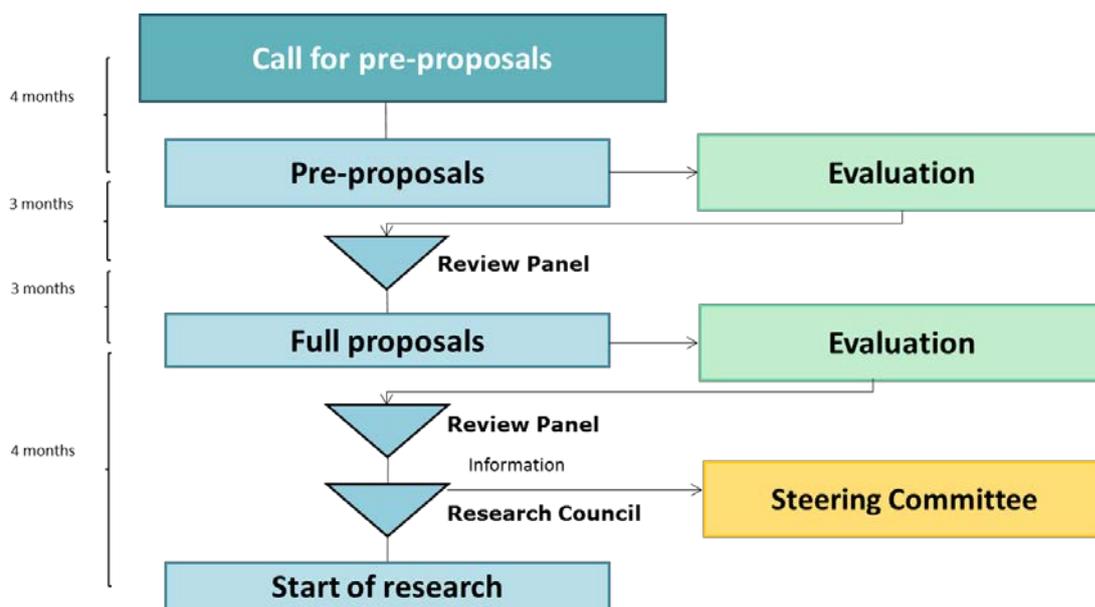
- Research plan (max. 20 pages)
  - Research hypotheses and objectives of the project (potential impact, outcomes, output)
  - State of research
  - Methodology
  - Timeframe and milestones

- Management (max. 3 pages)
- Organisation of research groups in research partnership projects
- Relevance for development (max. 20 pages)
  - Potential impacts of the expected results for the solution of global problems in developing countries or benefits for the poor segments of the population and application potential of the results in policy and practice
  - Application and Communication strategy (see annexe 3)
  - Pathways to Impact und Result Framework (see annexe 4)

Binding confirmations from the partners in developing countries must be submitted together with the full proposal.

The Research Council will make the final decisions regarding the proposals in January 2016. Hence, research work could begin on February 2016 at the earliest. The research work must start in August 2016 at the latest.

## 5. Selection of projects; evaluation criteria



Pre- and full proposals will be evaluated by the Review Panel according to a peer review procedure based on reviews written by external experts. The decisions of the Review Panel must be endorsed by the Research Council of the SNSF.

The division International Co-operation at the Administrative Offices will check that the proposals meet the formal criteria such as completeness, adequate formal presentation and submission within the deadlines and eligibility of the research partners. Pre-proposals and proposals that do not meet the formal criteria will not be processed further.

The evaluation of pre-proposals and full proposals is based on the following criteria:

### **5.1 Criteria of scientific quality**

- Scientific quality
- Originality of research questions (also with regard to global challenges)
- Suitability of the methods chosen
- Feasibility of the project
- Applicants' scientific track record and expertise with regard to the topic. Track record in research in/with/about developing countries
- Quality of the consortium

### **5.2 Criteria of relevance for development**

- Extent to which the intended research results are aimed at solving global problems
- Potential for transferring research results to policy-making or practice
- Quality of communication and implementation strategy for potential users/stakeholders
- Potential economic, environmental or societal impact of the project

### **5.3 Budget und governance**

- Management scheme
- Cost-benefit ratio (efficiency)
- Compliance with the 11 revised KFPE principles

### **5.4 Evaluation and selection**

Based on the evaluation, the Review Panel will award two marks: a first mark for the "scientific quality" block and a second mark for the "relevance for development" block. The range of awardable marks is as follows:

*A: Outstanding, AB: excellent, B: very good, BC: good, C: average, D: poor.*

The first priority will be to support projects that have been awarded an A, an AB or a B in both areas. The second priority will be to support projects that have been awarded a BC or a C in one or in both areas. Projects rated D in one or in both areas will not be supported. A low mark in one area cannot be compensated by a particularly high mark in the other area.

#### **Contact persons and information:**

For questions concerning the submission and evaluation procedure for pre-proposals and full proposals, please contact the programme co-ordinator: Elisabeth Schenker, r4d@snf.ch, 031 308 22 22.

For questions on financial matters (salaries and eligible costs), please contact the Head of Finances, Jürg Schüpbach, r4d@snf.ch, 031 308 22 22.

### **Technical help with mySNF and electronic submissions**

Hotline:

Tel. + 41 31 308 22 99 (Français)

Tel. + 41 31 308 22 00 (Deutsch)

Tel. + 41 31 308 22 88 (English)

E-mail: [mysnf.support@snf.ch](mailto:mysnf.support@snf.ch)

mySNF homepage: [www.mysnf.ch](http://www.mysnf.ch)

### **Annexes**

- 1) Form Pre-proposals
- 2) Summary Pathways to Impact
- 3) Application and Communication
- 4) Result Framework
- 5) Country List

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## Project description for pre-proposal of the research module: Thematically open research

The project description must fulfil the following criteria for a successful submission:

- The project description is to be submitted in English,
- Pre-Proposals must, **not exceed five pages**, excluding bibliography
- A minimum of point 10 font size and 1.5 line spacing must be used
- Pre-Proposals must be submitted using this form through mySNF (deadline: **6 February 2015**);
- The research plan should **not** contain any **annexed documents**,
- Applicants must follow the structure given on this form.

Please list five publications from third parties (not yours) considered relevant as stepping stones for the research envisaged:

Please list the most important publications of your team (not more than 10):

### 1. Novelty of the project and in scientific and development orientated context

Set out the scientific background and basis of your project. Explain the need to perform research on the topic you propose related to current national and international development relevant debates.

Please highlight the research gap your research will bridge and the novelty of the topic, approach or method you propose.

Describe also briefly your work in the research field.

### 2. Research hypotheses and objectives of the project

Specify the approach and the concrete objectives that you aim to achieve during the lifetime of the project.

### **3. Methodology**

- Methods by which the research goals are to be reached
- Data situation / collection of data
- Clear rationale for the country selection

### **4. Potential impact of the project and its relevance for development**

Explain how results could contribute to solve global problems in developing countries or benefit the poor segments of the population, and how results could be implemented into policy or practice.

### **5. Process of setting up the project**

Describe how and when the project partner and the relevant stakeholders are or will be implied in the setting up of the project.

### **6. Bibliography**

The bibliography must be part of the document, but is not included in the five page length limit.



## Annex 2: Guidelines Pathways to Impact<sup>1</sup>

### What is 'pathways to impact' about?

Development impact is measured in real changes of people's knowledge, behaviours, and decisions, livelihoods and institutions. The pathway to impact describes how the research will/ seeks to contribute to a process that supports solving development relevant global problems and improving the lives of the poor through global sustainable (social, economic, *and* environmental) development. It should detail the activities which will help develop potential economic, societal, and environmental impacts.

Pathways to impact are not expected to predict impact. The purpose is to develop a theory of change which is grounded in a sound logic model thus, encouraging researchers to explore the potential contribution that their research can make to society by increasing the effectiveness of institutions, services, policy making and practice at the national, regional and global level, and the resources required to carry out appropriate and project specific activities.

### Conceptualising impact

A project's *pathways to impact* need to be explicit in describing the logic model on how the impact might be achieved to build long-term sustainable benefits for the poor in the context of sustainable development. The design of the *pathways to impact* should address three inter-linked components:

- Scenarios of change:

State in simple terms what changes the research seeks to capture, explore and explain, and then hypothesize what those changes might mean for the issue at stake and for poverty alleviation.

- ⇒ What is the underlying model for understanding changes within and between different components of human and natural systems?
- ⇒ What changes does research seek to capture, explore and explain?

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<sup>1</sup> NOTE: These guidelines builds on the work of the UK Research Council (Source:

<http://www.rcuk.ac.uk/kei/Pages/home.aspx> ) and the Ecosystem Services for poverty alleviation ESPA program ([http://www.esi.ac.uk/espa/files/espa/ESPA\\_Impact\\_Framework.pdf](http://www.esi.ac.uk/espa/files/espa/ESPA_Impact_Framework.pdf)) adapted to the specificities of the r4d programme.

- ⇒ What might these changes mean for the issue at stake and for the reduction of poverty and global risks in developing countries in the context of sustainable development?
- ⇒ In what assumptions is the theory of change grounded?

- Stakeholders in those change scenarios:

In any complex system and in society there will be winners and losers as a result of changes, either as a direct or indirect result of human interventions or as a result of natural changes.

- ⇒ Who are the different stakeholders that may benefit or lose within these established change scenarios?
- ⇒ Who is directly or indirectly affected; or even potentially unintendedly affected, and how?
- ⇒ What will be done to ensure that potential beneficiaries have the opportunity to engage with this research?

- Enablers, or spoilers, of change:

- ⇒ Which are potential enablers/drivers or 'spoilers' of change which cause, facilitate or prevent change? (e.g. policies, practices, technologies, cultural norms etc.)



## **Annexe 3**

### **Guidelines for the Application and Communication Strategy**

The application of the research results into policy and practice and the communication to stakeholders are considered as an integral part of the research activities. Therefore, the research proposal must include a strategy for application and communication to stakeholders which is linked to the project's pathways to impact.

Application can be different in nature. Application can, for instance, imply optimizing interventions at the systems level; policy change or prioritization; translating evidence into effective policies; or translating policy into effective practice.

Application or getting research into practice and policy is a difficult endeavor. It takes place in a complex system of interactions between researchers and potential users. It is an iterative and on-going process and therefore implies a comprehensive understanding of the context in which research outcomes may be utilized, and an understanding of who will or might ultimately use the results. An application strategy needs to be developed explaining how the the knowledge exchange with the relevant stakeholders at relevant level is to take place throughout the project cycle and ultimately how this knowledge is translated into policy and practice. Although not all research can or will be immediately applied, the strategy should describe in detail specific activities, research outputs, products, or potential deliverables that have great potential to be relevant and useful for practice and policy. It is crucial to identify the most appropriate format for outputs and deliverables in function of the main target groups.

Researchers will need to consider the scalability of their research findings. Researchers will be expected to demonstrate that their projects will have the potential to generate benefits that go beyond the scale or location at which they are operating either through extension to other locations or shifting to other scales. Thus, the focus should be on products that are generic enough to be useful /relevant (also) beyond a specific context, and have a high potential for scaling-up (at different societal levels) and replication (in different comparable contexts).

From a users' perspective promising research outputs or deliverables could take the form of policy options, technical guides, curricular modules, check lists, handbooks, tool boxes, glossaries, and the like.

A proactive communication strategy will be essential for all projects. Researchers should consider a range of communication channels linked to their project's pathways to impact to ensure that their research makes a significant contribution to delivery against the overarching goals.

Communication activities – such as workshops, the web, policy briefs, film, podcast, think pieces, success stories, – provide tools or channels through which to influence, inform or build relationships with key stakeholders.

The following questions should be considered in your strategy for application and communication to stakeholders:

- Which are the interests and needs of different target groups?
- Which are the appropriate mechanisms and adequate activities to ensure an effective exchange and dissemination of knowledge/research results with the relevant key stakeholders?
- What will be done to ensure that potential beneficiaries have the opportunity to engage with this research?
- Which are suitable incentives for users to adopt the research results?



## Annexe 4: Guidelines for designing a results framework

### What is a results framework?

The results framework approach is a systematic approach to presenting the logic of a strategy and guiding its subsequent management, monitoring and evaluation to ensure that intended results / objectives have the greatest opportunity of being achieved.

A results framework<sup>1</sup> is an explicit articulation (matrix, or summary) of results / objectives expected from a particular intervention—project (e.g. research project), program, or development strategy. The results framework captures the essential elements of the logical and expected cause-effect relationships among inputs, outputs, immediate and intermediate outcomes, and impact.

Defining cause-effect linkages for an intervention (e.g. research project) lays the groundwork for a results framework. Thus, the development of a good results framework requires clarity with respect to the theory of change—the reasons why a project will lead to the outputs; why those outputs are likely to lead to the immediate or intermediate outcomes; and how those outcomes are (at least hypothetically) linked with longer-term outcomes or impact. The theory of change also requires knowing or estimating how long it will take to achieve each stage of the program and how much of the outcome is likely to be achieved. Thus, defining cause-effect linkages for an intervention lays the groundwork for a results framework.

### References:

- World Bank. Independent Evaluation Group 2012. Designing a results framework for achieving results: a how-to guide.
- OECD DAC Definitions; United Nations Development Programme, Handbook on Planning, Monitoring and Evaluating for Development Results (<http://web.undp.org/evaluation/handbook/ch2-4.html>).
- SDC logframe structure
- AusGuidelines: Using the Results Framework approach ([www.usaid.gov/ausguide/Documents/ausguideline2.2.pdf](http://www.usaid.gov/ausguide/Documents/ausguideline2.2.pdf))

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<sup>1</sup> Similar term: logical framework matrix (logframe)



## What is a results framework used for?

A Results Framework is both a planning and management/monitoring tool, with additional benefits in terms of communication and reporting.

**Planning** – using the Results Framework approach can help you identify appropriate objectives by ensuring that important questions are asked and answered at an early stage (e.g. “can objectives be measured? If not, are they appropriate? What will be sufficient to achieve the goal/objectives? What assumptions is the strategy relying on?”). It also provides a framework within which to work collaboratively with development partners in building shared ownership of objectives and approaches.

**Management/Monitoring/Review** – a Results Framework can fill the role of a performance framework for a project strategy. It provides a project-level framework to monitor progress towards the achievement of results and, if necessary, to adjust programs accordingly. Reviews and other more comprehensive project-level assessments should be more straightforward and effective as the Results Framework provides a rigorous structure through which a strategy’s performance can be tested.

**Communication and reporting.** In defining a program’s causal relationships, a results framework acts as a vehicle for communicating about the resources, activities, and outcomes to project staff (e.g. research team) and other stakeholders. These frameworks can be an important tool in illustrating to the beneficiaries or community what a project is meant to achieve.

**Learning from experience.** Over time, the systematic use of results frameworks allows practitioners to assess what approaches or interventions contribute most effectively to achieving specific development objectives, a process that helps identify good practices for replication. A body of knowledge also forms regarding which indicators, measures, and data sources are best suited to monitoring progress in similar contexts.

## The Results Framework in a Nutshell

Hierarchy of objectives Strategy of Intervention:	Key Indicators (incl. target values and baseline)	Sources & Means of Verification	Assumptions & Risks (External Factors)
<p><u>Definition:</u> The strategy of intervention defines the hierarchy of objectives and follows the logic of the results chain.</p>	<p><u>Definition:</u> Features which can be measured or at least described precisely in terms of quantity and quality respectively and which show a change in situation.</p> <p><u>Hints:</u></p> <ul style="list-style-type: none"> <li>➤ Indicators measure whether the results on each level (impact, outcome, output) are achieved.</li> <li>➤ Indicators include <b>targets</b> and require <b>baselines</b> to assess progress.</li> <li>➤ Indicators are time-bound</li> <li>➤ The need to disaggregate indicators and baselines by other criteria (such as age, social and economic status etc.) depends on objectives and targeting.</li> </ul> <p><i>Good indicators are:</i></p> <ul style="list-style-type: none"> <li>• <b>Relevant:</b> The indicator covers a relevant aspect of the outcome. There is a plausible and valid link between the indicator and the objective.</li> <li>• <b>Reliable:</b> The indicator is precise and can be measured with minimal bias. If two persons use the same indicator independently from each other they will get the same results.</li> <li>• <b>Realistic:</b> The target values of the indicator are achievable in the defined time frame.</li> </ul>	<p><u>Definition:</u> Sources refer to relevant data/ information on results and to the documents where this information is to be found. Means of verification refer to methods to collect these data/information.</p> <p><u>Hints:</u> The timely availability and quality of information on the achievement of results are important criteria when defining indicators. When having several indicators for the same result level, sources and means of verification should be clearly attributed to the specific indicators.</p>	<p><u>Definition:</u> Assumptions and risks are conditions which could affect the progress of the project, but which are not under direct control of project management. An <i>assumption</i> is a <b>positive</b> statement of a condition that must be met for the project's objectives to be achieved. A <i>risk</i> is a <b>negative</b> statement of a condition that might prevent the project's objectives from being achieved.</p> <p><u>Hints:</u> Information on risks as well as their management are part of the project document.</p>

Impact (goal)	Impact Indicators	Sources and Means of Verification	
<p><u>Definition:</u> The highest-level change that can be reasonably attributed to a research project, an organization, policy or program in a causal manner, and are the consequences of intermediate outcomes. The ultimate outcomes take the form of a sustainable change of state among beneficiaries.</p> <p><u>Scope of project management:</u> The achievement of the development objective lies outside the direct reach of the project and depends on the</p>	<p><u>Hint:</u> Impact indicators are essentially used during evaluations and for project monitoring.</p>	<p><u>Hints:</u> On impact level, sources and means of verification are usually beyond the scope of project management. Information depends on documents of others, are based on national or international data bases or may result from joint evaluations.</p>	<p>No assumptions and risks are defined at this level</p>

assumptions formulated at outcome level. However, outcomes of the project/program should represent a relevant contribution to it.			
Outcomes (Project objectives)	Outcome Indicators	Outcome Means of Verification	Outcome Assumptions & Risks
<p><u>Definition:</u>  <b>The short or medium term effects (=changes in quality and quantity) expected from the outputs of the project</b></p> <p><u>Scope of project management:</u>  The attainment of outcomes is primarily dependent on the project outputs, but depends also on factors beyond the project's control.  Monitoring of outcomes is part of project management.</p> <p><u>Hints:</u>  It is useful to distinguish between immediate and intermediate outcomes. The number of outcomes has to be limited to <b>2-3 outcomes</b>, (in exceptional cases max. 5)</p>	<p><u>Definition:</u>  <b>Variable that allows the verification of changes at the outcome level or shows results relative to what was planned.</b></p> <p><u>Hints:</u>  <i>Keep the number of outcome indicators limited: as few as possible, as many as necessary to assess intended changes.</i></p> <p><i>Outcome indicators are used for monitoring and evaluations.</i></p>		<p><u>Hints:</u>  <i>To ensure a proper vertical logic, it is essential to attribute assumptions to the corresponding level of intervention. In this box the assumptions at outcome level which are relevant for achieving the intended impact need to be stated.</i></p>

Outputs: project deliveries per outcome and costs	Output Indicators	Output Means of Verification	Output Assumptions & Risks
<p><u>Definition:</u>  <b>Products, methods and services produced or competences and capacities established directly as a result of activities of the research project.</b></p> <p><u>Scope of project management:</u>  Outputs are under the control / responsibility of project management.</p>	<p><u>Definition:</u>  <b>Quantitative or qualitative variable that allows the verification of changes at the output level or shows results relative to what was planned.</b></p> <p><u>Hint:</u>  <i>Output indicators are used during monitoring and evaluation.</i></p>		<p><u>Hint:</u>  <i>Formulate assumptions at output level which are relevant for achieving the project's objective(s).</i></p>



Annexe 5: Short version of the Results framework

Hierarchy of objectives Strategy of Intervention		Key Indicators
Impact (Overarching Goal)		Impact Indicators
Outcomes		Outcome Indicators
Strategic Objectives		
Outputs (per outcome)		Output Indicators
For outcome 1:		
Output 1		
Output 2		
For outcome 2:		
Output 1		
Output 2		
For outcome 3:		
Output 1		
Output 2		



## Annex 5: Country list<sup>1</sup>

Country Group 1 (Mandatory)*			Country Group 2 (Optional)
<b>Least developed</b>	<b>Low income</b>	<b>Middle income</b>	<b>BICS and upper middle income countries</b>
Afghanistan	Kenya	Belize	Applicants must briefly describe the country's regional significance for the topic in the proposal.
Angola	Korea Dem. Rep	Bolivia	
Bangladesh		Cameroon	
Benin	Zimbabwe	Cape Verde	Algeria
Bhutan		Congo Rep.	Argentina
Burkina Faso		Côte d'Ivoire	Armenia
Burundi		Egypt	Azerbaijan
Cambodia		El Salvador	Botswana
Central African Rep		Ghana	Brazil
Chad		Guatemala	Chile
Comoros		Guyana	China
Congo, Dem. Rep		Honduras	Colombia
Djibouti		Indonesia	Costa Rica
Equatorial Guinea		Iraq	Ecuador
Eritrea		Mongolia	Gabon
Ethiopia		Morocco	Georgia
Gambia		Nicaragua	India
Guinea		Nigeria	Iran
Guinea-Bissau		Pakistan	Jordan
Haiti		Papua New Guinea	Kazakhstan
Laos		Paraguay	Kyrgyz Rep.
Lesotho		Philippines	Lebanon
Liberia		Sri Lanka	Lybia
Madagascar		Swaziland	Malaysia
Malawi		Syria	Mauritius
Mali		Vietnam	Mexico
Mauritania		West Bank and	Namibia
Mozambique		Gaza Strip	Panama
Myanmar			Peru
Nepal			Seychelles
Niger			South Africa
Rwanda			St. Helena
Sao Tome and Principe			Suriname
Senegal			Tajikistan
Sierra Leone			Thailand
Somalia			Tunisia
Sudan			Uruguay
South Sudan			Uzbekistan
Tanzania			Venezuela
Togo			
Uganda			
Yemen			
Zambia			
*Including Cuba, a priority country of SDC			

<sup>1</sup> The country list is based on the current OECD DAC List of ODA recipients