

Policy Sector Development and Cooperation **Research Concept** 2017–2020



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Research Concept 2017–2020

Author:
Dominique Simone Rychen (SDC)

With support from:
Peter Beez, Markus Bürli, Brigitte Colarte-Dürr, Patricia Gomes Vieira Mendes,
Susanne Hausmann, Silja Kohler, Charlotte Nager, Nils Rosemann, Jacqueline
Schmid, Carmen Thoennissen, Stefanie von Moos, Susanne Zumstein (SDC)

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Policy Sector

Development and Cooperation

Research Concept

2017–2020

Table of contents

1. Introduction	6
2. Overview of policy sector	7
2.1. Responsibilities	7
2.2. Delimitation	7
2.2.1. Research in the context of the Swiss contribution to EU enlargement	7
2.2.2. Research in the context of Education-Research-Innovation	8
2.2.3. Security and peace policy research	8
2.3. Strategic objectives of Swiss International Cooperation	8
2.4. Legal basis and mandate	10
2.5. SDC research policy	10
2.5.1. Importance of research	10
2.5.2. Main purpose of research	10
2.5.3. Basic principles for investment in research	11
2.6. Review of 2013-2016	12
2.7. Funding (2013-2016)	14
2.8. Challenges and opportunities	14
3. Priority themes of development cooperation and research focus	16
3.1. Priority themes	16
3.2. Research focus	16
3.2.1. Climate change and environment	18

3.2.2. Agriculture and food security	19
3.2.3. Water	21
3.2.4. Health	21
3.2.5. Employment in the context of sustainable development	22
3.2.6. Conflict prevention and fragility	24
3.2.7. Research cooperation with Eastern Europe	25
4. Funding for 2017-2020	26
4.1. Impact of cost-cutting measures as part of CRT 2014	26
5. Key stakeholders and interfaces in research	27
5.1. Key stakeholders	27
5.2. Interfaces to research funding institutions	27
5.3. Interfaces to other federal authorities	27
6. Organisational aspects and quality assurance	28
6.1. Internal structure	28
6.2. Scientific monitoring	29
6.3. Quality assurance	29
6.4. Knowledge and technology transfer and dissemination of knowledge	30
7. List of abbreviations	32

1. Introduction

«*A world without poverty and in peace, for sustainable development*» is the vision of Swiss International Cooperation, which is committed to eradicating poverty and global risks, reducing hardship and promoting peace and respect for human rights.

Based on its mandate and with a view to achieving Swiss International Cooperation's strategic objectives, the Swiss Agency for Development and Cooperation (SDC) promotes scientific research in the field of development and cooperation. The focus is on research and innovation that contribute to eradicating poverty in Africa, Asia and Latin America and to global sustainable development efforts.

In contrast to the research investments made by other federal offices, scientific research funded by SDC is not financed through a specific research credit but through official development assistance (ODA) in accordance with the Dispatch on Swiss International Cooperation.

This Research Concept for *Development and Cooperation* outlines the most important challenges and objectives of Swiss International Cooperation as well as the focus areas for development and cooperation research.

2. Overview of policy sector

2.1. Responsibilities

Swiss International Cooperation is part of Switzerland's foreign policy. The SDC is the agency for international cooperation within the Federal Department of Foreign Affairs (FDFA) and is responsible for the overall coordination with other federal authorities of development and cooperation with Eastern Europe as well as for federal humanitarian aid.

The **SDC** works in four operational areas:

- *Regional Cooperation (RC)* helps to fight poverty in the countries and regions of Africa, Asia and Latin America and supports their efforts to overcome their development problems. The SDC's activities are aimed at improving access for disadvantaged populations to jobs, income, education and healthcare and promoting sustainable development.
- *Global Cooperation (GC)* works multilaterally – with organisations such as the UN and the World Bank – to help in solving ever more complex development issues. The SDC's global programmes in the fields of climate change, food security, migration and water aim to reduce poverty while at the same time solving global challenges.
- *Cooperation with Eastern Europe (CEE)* supports the Western Balkans and Central Asia in the transition to a social market economy and democracy.
- *Humanitarian Aid (HA)* is tasked with saving lives and alleviating suffering. Swiss Humanitarian Aid is guided by international humanitarian law and the internationally recognised principles of neutrality, impartiality and independence. The focus is on the victims of crises, disasters and conflicts.

The Policy Sector Development and Cooperation also includes the *Economic Cooperation and Development Division* of the State Secretariat for Economic Affairs (**SECO**). SECO promotes economic cooperation with selected advanced developing countries and countries in Eastern Europe and Central Asia. Its projects seek to achieve sustainable economic growth primarily 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.

2.2. Delimitation

2.2.1. Research in the context of the Swiss contribution to EU enlargement

Through its contribution to EU enlargement, Switzerland invests in the stability and prosperity of an enlarged European Union (EU) and helps to reduce economic and social inequality. In connection with the Swiss contribution to EU enlargement, the SDC is responsible for the theme of research, among others.

To support the new EU Member States in their endeavours to create an EU-compliant research platform and to promote research cooperation with these countries, Switzerland has been participating since 2008 in joint research projects in Bulgaria, Lithuania, Poland, Romania and Hungary. The activities encourage research and innovation and strengthen scientific networks. Research themes include the environment, health, nanotechnology, energy, information and communication technology and general natural sciences. In addition, the funding programme *Sciex (Scientific Exchange Programme between the New Member States and Switzerland)* has enabled more than 500 young researchers from the new EU Member States to complete a research placement in Switzerland and hone their research skills.

Research in the context of the Swiss contribution to EU enlargement is not considered part of public development cooperation and are therefore not discussed further in this Research Concept for the Policy Sector Development and Cooperation.

Detailed information on Switzerland's contribution to EU enlargement can be found on the website www.erweiterungsbeitrag.admin.ch.

2.2.2. Research in the context of Education-Research-Innovation

The **State Secretariat for Education, Research and Innovation** (SERI) is the specialist federal authority for education, research and innovation (ERI). The international ERI strategy adopted by the Federal Council on 30 June 2010 is based on the aim of furthering the development of an internationally competitive Swiss system for education, research and innovation and strengthening this system in a lasting manner by setting priorities and clear goals. The international ERI strategy covers the activities funded under the ERI dispatches. The strategic objectives of Swiss International Cooperation apply to research supported in connection with development cooperation and cooperation with Eastern Europe.

Research (funded by both ERI and Swiss International Cooperation framework credits) can contribute to solving global problems, support the implementation of the 2030 Agenda for Sustainable Development and play a part in cross-border interaction and international understanding.

In contrast to international scientific research cooperation and the promotion of bilateral research partnerships under the ERI Dispatch, research supported via public development cooperation always focuses additionally on reducing poverty in line with the SDC's mandate.

2.2.3. Security and peace policy research

The FDFA's **Directorate of Political Affairs** deals with security policy, peacebuilding and human rights issues, among others. Security and peace policy research is covered in the research concepts for security and peace policy under the leadership of the Federal Department of Defence, Civil Protection and Sport (DDPS) in collaboration with the Human Security and Security Policy Divisions of the Directorate of Political Affairs.

Information on this topic can be found on the Federal Administration Research website¹.

2.3. Strategic objectives of Swiss International Cooperation

Considerable progress has been made over the past few decades with regard to reducing poverty around the world. The World Bank estimates that the number of people living in extreme poverty was below 10% of the global population in 2015. However, more than two billion people are still living on less than two US dollars a day. Climate change and environmental transformations, economic crises, geopolitical power shifts and armed conflicts are just some of the factors that are increasingly having a detrimental impact on development opportunities and prospects for poor countries and populations.

The 2030 Agenda for Sustainable Development, adopted in September 2015 and containing 17 goals (see Box 1), is a response from the international community to worldwide poverty and economic, geopolitical, social and ecological challenges. It is universally applicable and calls on all countries to play a part in its implementation.

¹ http://www.ressortforschung.admin.ch/html/themen/frieden_de.html

Swiss International Cooperation will be aligned with the global development goals and will contribute to implementing the 2030 Agenda for Sustainable Development in the period 2017-2020.

Starting with the vision of a world free of poverty, developing sustainably in peace, Swiss International

Cooperation pursues the following seven strategic objectives:

- Helping to develop an international framework that makes it possible to overcome global challenges;

BOX 1: A universal agenda for sustainable development – 17 goals

At the UN summit in September 2015, heads of state and government adopted the new 2030 Agenda for Sustainable Development. It comprises 17 global Sustainable Development Goals (SDGs) to be achieved by 2030. The 17 SDGs and 169 related targets bring social, economic and ecological aspects together in a single framework that takes account of the interactions between them. The protection and sustainable use of the environment are just as important to a dignified life for all as a humane and environmentally friendly economy. The Agenda also recognises the fundamental importance of peace, security, the rule of law and good governance for sustainable development.



Source: <https://sustainabledevelopment.un.org>

The Agenda 2030 is intended as a global frame of reference for national and international efforts with regard to sustainable development and combating poverty. Unlike the Millennium Development Goals (MDGs), which succeeded in halving worldwide extreme poverty by 2015, the 2030 Agenda is universally applicable. It calls on all countries to incorporate the global goals into their national strategies and help to put them into practice as far as their capacities allow.

- Preventing and overcoming crises, disasters and instability and promoting conflict transformation;
- Providing universal access to resources and services;
- Promoting sustainable economic growth;
- Strengthening the rule of law and democratic processes and supporting institutions that serve society and the economy;
- Respecting and promoting human rights and basic freedoms;
- Furthering gender equality and protecting the rights of women and girls

The SDC's thematic and geographical priorities are defined first and foremost on the basis of their relevance for acting on the strategic objectives of Swiss International Cooperation. Eradicating poverty, improving people's living conditions and strengthening institutional frameworks are at the forefront. Particular attention is paid to the poorest populations in Africa, Asia and Latin America.

2.4. Legal basis and mandate

Article 54 of the Federal Constitution states that the Confederation undertakes to «assist in the alleviation of need and poverty in the world and promote respect for human rights and democracy, the peaceful co-existence of peoples as well as the conservation of natural resources». This forms the basis of the Federal Act of 19 March 1976 on International Development Cooperation and Humanitarian Aid² and the related Ordinance of 12 December 1977. Promoting scientific research in the field of development cooperation is explicitly set out in Article 29³.

Transition cooperation is based on the Federal Act of 24 March 2006 on Cooperation with the Countries of Eastern Europe⁴, which is valid until the end of May 2017. The Federal Council proposes extending its validity until 2024 and will submit this issue to parliament in 2016.

The Dispatch on Swiss International Cooperation 2017-2020 sets out a detailed strategy covering the basic principles and orientation of Swiss International Cooperation and framework credits for all of its instruments. Scientific research on development cooperation and cooperation with Eastern Europe is aligned with the SDC's strategic objectives and thematic priorities.

² Federal Act of 19 March 1976 on International Development Cooperation and Humanitarian Aid

³ Ordinance of 12 December 1977 on International Development Cooperation and Humanitarian Aid

⁴ Federal Act of 24 March 2006 on Cooperation with the Countries of Eastern Europe

2.5. SDC research policy

2.5.1. Importance of research

The context for international cooperation has undergone fundamental change. Geopolitical and economic shifts as well as multi-layered crises and risks mean that traditional North-South and East-West cooperation is increasingly being superseded by international cooperation dealing with global issues.

Global problems affecting the development opportunities and prospects of poor countries in particular can only be solved through shared responsibility and joint efforts by the international community. Acting together across national borders, economic sectors and cultures is essential for managing global risks and achieving the transition to global sustainable development.

As regards the implementation of the 2030 Agenda for Sustainable Development, research cooperation is set to become ever more important. Social and political innovations are just as necessary as technological progress.

Switzerland bases its development policy decisions and the implementation of programmes in priority countries and regions on scientific findings and concepts. Research findings flow into programme work and thematic political dialogue and contribute to solving development, transition and global problems.

Cooperation stretching back many years with research institutions in Switzerland, Africa, Asia, Latin America, Eastern Europe and Central Asia and investments in global research partnerships and programmes have given Swiss International Cooperation access to international networks, scientific knowledge, research expertise, innovation and know-how in areas that are relevant for development. Integrating research into Swiss International Cooperation also helps to safeguard Switzerland's standing as a location for research.

2.5.2. Main purpose of research

For the SDC, research and innovation are not ends in themselves but means to promote global sustainable development without poverty.

The SDC supports research programmes with a partnership-based approach and international research networks, and it promotes the production and dissemination of knowledge in fields with relevance for development.

BOX 2: Definition of scientific research

Referring to the Frascati Manual published by the Organisation for Economic Cooperation and Development (OECD)⁵ and in consultation with researchers from the Commission for Research Partnerships with Developing Countries (KFPE), a working definition of research was formulated.

The *definition* of scientific research is as follows:

- 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 science, natural and environmental sciences, earth sciences, engineering, medicine and pharmacology, mathematics or humanities.
- Research is based on research questions that are used to generate hypotheses. Research covers both fundamental and applied research.

Advisory services, teaching and implementation of development projects by higher education institutions *are not regarded as scientific research*.

⁵ OECD (2015), *Frascati Manual 2015: Guidelines for Collecting and Reporting Data on Research and Experimental Development*, The Measurement of Scientific, Technological and Innovation Activities, OECD Publishing, Paris.

Based on many years of experience in promoting international, interdisciplinary and intercultural research and the findings of an independent evaluation of research-related activities, the SDC undertook a reorientation of its research policy in 2010. Producing new knowledge and innovative solution approaches and harnessing scientific knowledge to reduce poverty and global risks were explicitly stated as primary aims of ODA-financed research. Furthermore, research was given a stronger focus and geared more to solving global problems and protecting global public goods in developing countries in the period 2013-2016. Global sustainable development serves as the normative and conceptual frame of reference in this respect.

Over the coming four years, the SDC will significantly step up its development commitments in basic and vocational education. Tertiary education and research capacity building in Africa, Asia and Latin America are not the focus of Switzerland's bilateral cooperation. However, ODA-funded research activities should be designed to strengthen research competencies and networks in fields relevant for development and have a positive impact on the institutional research environment in Switzerland and the partner countries.

Scientific systems are promoted through multilateral organisations and donor coordination forums. A key contribution is made in particular in international agricultural research.

2.5.3. Basic principles for investment in research

Research funded by official development assistance should adhere to the following principles:

- Research must be related to the SDC's long-term strategic **objectives and thematic priorities**.
- Scientific research should be promoted that is geared to **solutions and applications**. Many issues relating to development and the future are complex and require international and interdisciplinary research cooperation and targeted interaction with policy and practice.
- Research should be promoted that is exemplary in terms of both **scientific quality** and **relevance to development**.
- **Research freedom** in terms of formulating research questions and selecting methods must be respected.
- It is very important to ensure that research findings are **communicated, disseminated and applied**. Looking into the potential consequences of expected results for solving development-relevant problems, the potential benefits for poor populations in developing countries and the scope for applying results in policy and practice is integral to any research activity. Around 10-15% of a research project's budget should be set aside for communication and application/implementation.

- Funding is to be allocated on a **competitive** basis.
- Research cooperation is **partnership-based**. The 11 principles established by the Swiss Commission Research Partnerships with Developing Countries (KFPE) serve as a frame of reference⁶.
- The results of research supported by official development assistance are subject to the **open access** principle.
- The SDC maintains **general oversight** the research it supports.
- Where adequate and useful, the SDC collaborates with other donors and **coordinates** its support for research at the national and international levels.

2.6. Review of 2013-2016

Completion of North-South research programmes

Various long-term North-South research programmes were successfully completed, among them the National Centre of Competence in Research (NCCR) North-South. NCCR North-South was supported by the SDC over 12 years with a total of CHF 42.5 million and brought together six Swiss research institutions and some 140 partner organisations in Africa, Asia and Latin America. Between 2001 and 2013, around 1250 researchers around the world worked on themes such as poverty, conflict, migration, health, sanitation, natural resources, regional development and governance. Over 2300 publications, including more than 65 *Policy Briefs*, were written. All of these are available free of charge on the NCCR North-South website⁷.

Another example is the *Research Fellow Partnership Programme for Agriculture, Forestry and Natural Resources* (RFPP) under the leadership of ETH Zurich. The SDC supported the programme throughout its 20-year life (1996-2015) with a total of CHF 12.5 million. The RFPP approved 57 fellowships. The project pages on the ETH website provide details of the research findings⁸.

Implementation of research policy – focus on global issues

In line with the long-term strategic objectives of Swiss International Cooperation and based on an independent evaluation of the overall research portfolio, the SDC redefined its research policy in 2010. The necessary reforms were implemented in the period 2013-2016.

⁶ http://www.naturalsciences.ch/organisations/kfpe/11_principles_7_questions

⁷ <http://www.nccr-north-south.ch/>

⁸ http://www.rfpp.ethz.ch/box_feeder/RFPP_FACTSHEETS.pdf

In response to global risks, crises, instability and inequality, research was focused more on solving development-relevant global problems in poor countries and regions of the world. The SDC joined forces with the Swiss National Science Foundation (SNSF) in 2012 to launch the ten-year *Swiss Programme for Research on Global Issues for Development*, also known as the r4d programme (www.r4d.ch).

The ODA funding that previously flowed into the thematically and geographically open-ended field of North-South research was bundled together and invested in the r4d programme (2012-2022). The programme's overarching aim is for excellent and development-relevant research to generate scientific evidence, develop new, innovative concepts, products, methods and solutions and put them to use for global sustainable development to reduce poverty and global risks and to protect global public goods in poor countries and for poor populations. To this end, interdisciplinary research focused on problems and solutions is promoted. Interaction with key stakeholders and future users and implementation of research results are integral to these research activities.

The r4d programme covers a broad spectrum of themes, focusing on five: causes of and solutions to social conflicts in contexts of weak public institutions; employment in the context of sustainable development; innovation in agricultural and food systems for food security; sustainable management of ecosystems for the provision of ecosystem services; and provision systems and financing mechanisms in the public health sector. The programme has been calling for six-year research projects on these five themes since 2012 and has also issued two calls for three-year research projects, with a further call to follow in 2016. Six Review Panels composed of international experts evaluate and supervise the projects.

The programme enables researchers from Switzerland, Africa, Asia and Latin America to conduct research into these development-relevant themes together within global networks. To date, 28 research projects with partners in a total of 37 countries in Africa, Asia and Latin America have been approved. Most of the research work is done in and with developing countries in Africa. The projects are set up to ensure that their findings flow into political and social dialogue on global issues.

International agricultural research – a multilateral commitment

As part of its multilateral commitment, the SDC supports the global agricultural research partnership CGIAR. Following a major reform of CGIAR in 2008, 16 global CGIAR Research Programs (CRPs) were created in 2011 and 2012 to combat poverty, improve food security and ensure balanced diets and

sustainable resource management. The CRPs bundle the research efforts of various CGIAR Research Centers and partner institutions internationally, regionally and nationally in specific fields. While the CRPs have proven their worth as a work and funding model for organising international research, a new Strategy and Results Framework for the period 2016-2030 was defined in 2015. This is geared to the global challenges and makes it possible to a) assemble a coherent CGIAR research portfolio, b) plan and set specific targets for CGIAR's contribution to achieving the Sustainable Development Goals (SDGs) together with partners, and c) measure the contribution of CGIAR research. The Strategy and Results Framework is the basis on which the second generation of CRPs is being developed in 2015 and 2016. These will be submitted to the CGIAR Fund, of which Switzerland is a member, for funding.

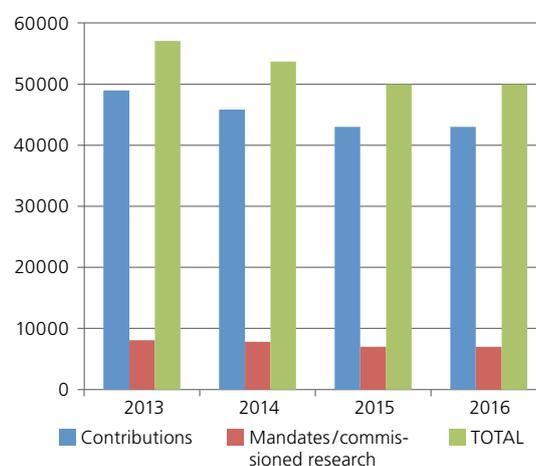
Research promotion as part of cooperation with Eastern Europe

The research programmes in Eastern Europe are focused on the challenges faced by the transition countries of the Western Balkans. Supported by the SDC and implemented by the SNSF, Switzerland promoted joint research projects between Swiss and Eastern European universities as part of SCOPES (*Scientific Co-operation between Eastern Europe and Switzerland*). An event was held in 2015 to celebrate 25 years of research cooperation with Eastern Europe and exchange experiences. The second programme, the *Regional Research Promotion Programme* (RRPP), is aimed at the SDC priority countries of Albania, Bosnia and Herzegovina, Kosovo, Macedonia and Serbia. The RRPP focuses on enhancing research capacities and networking social scientists within the region. It was supervised by the Interfaculty Institute for Central and Eastern Europe (IICEE) at the University of Fribourg. Both programmes, SCOPES and RRPP, come to an end in 2016. The focus of cooperation with Eastern Europe will shift more towards systemic aspects. The SDC has therefore developed a new and more comprehensive approach to supporting social research in the Western Balkans as part of its cooperation with Eastern Europe, intended to take account of the legal and financial backdrop for social research as well. The resulting programme, *Performing and Responsive Social Sciences* (PERFORM), has been implemented by a consortium since the start of 2015 in Albania and Serbia.

2.7. Funding (2013-2016)

Research investment⁹ by assignment and contribution (in CHF thousands)

In contrast to research investment by other federal authorities, the SDC does not fund and steer scientific research via a specific research budget.



Official development assistance funding is used to support the strategic objectives of Swiss International Cooperation in line with the applicable legal provisions (see Chapter 2.4) under the respective Swiss International Cooperation framework credits.

Annual research investment is calculated on the basis of the effective payments. Fluctuations from year to year are mainly caused by the payment schedules established within a given project cycle; for longer-term programmes and projects in particular, these payments may vary considerably.

By far the largest portion (CHF 15.5 million a year) is allocated to agricultural research as part of the multilateral commitment.

Research programmes and projects as well as development projects with a research component are listed in the ARAMIS information system. Detailed information can also be found in the SDC project database¹⁰, which covers all development programmes and projects, including research programmes, and thus gives an insight into the SDC's various activities.

⁹ Actual expenditure for 2015 and 2016 is not yet known; these figures are intended as a guide only.

¹⁰ https://www.eda.admin.ch/deza/de/home/aktivitaeten_projekte/projekte.html

BOX 3: ARAMIS database

The ARAMIS information system contains information on research projects of the Swiss Federal Administration. It is intended to provide information to interested parties about the research projects funded or implemented by the Swiss Confederation.

ARAMIS is equipped with a search engine that can be used to search for all public projects in the ARAMIS database.

The research programmes supported by the SDC can be found in the ARAMIS database.

<http://www.aramis.admin.ch>

2.8. Challenges and opportunities

This chapter briefly outlines the challenges and opportunities for Swiss International Cooperation that constitute the focus of research funded by official development assistance.

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 for Swiss International Cooperation.

As the emerging economies of China, India, Brazil, South Africa, South Korea and Indonesia 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.

Rising demand for food, energy and mineral resources – increasing scarcity of resources

With rising demand for energy and food worldwide and unsustainable consumer behaviour, the burden on limited natural resources increases. This has a severe impact in terms of loss of biodiversity, land shortages, soil depletion, 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 smallholder 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 taxed and regulated at the national and global levels, exports of raw materials can 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 as drought and water problems endan-

ger food production. Hundreds of millions of people are finding access to drinking water increasingly difficult. Extreme weather events, stronger cyclones and rising ocean levels threaten coastal regions and urban areas with millions of inhabitants.

Combined with ever greater environmental pollution, climate change undermines sustainable development, especially in poor countries. Climate change is mostly the result of human activity, for example in the form of greenhouse gas emissions. The world must therefore face up to two challenges: 1) addressing the causes of climate change and 2) understanding the potential consequences of climate change and implementing strategies and measures to deal with them.

Development undermined by loss of global public goods

Depending on the definition given, the term global public goods can include health, the environment, climate stability, peace, biodiversity, water, food security and market and financial stability.

As long as there are no competitively priced alternatives available, countries will continue to produce and use fossil fuels (coal and oil), which will invariably lead to even greater emission of pollutants. The depletion of natural resources is the most serious risk, along with the acceleration of climate change and the direct threat to health posed by poor air quality.

Greenhouse gas emissions will increase most sharply in the coming years in developing and emerging countries, in particular due to their rising energy needs and rapid urbanisation. In fact, energy production accounts for roughly two thirds of greenhouse gas emissions, while urban areas make up some 80% of global energy demand.

Development must therefore become steadily more environmentally friendly. Anyone working to combat poverty must thus consider environmental issues and the preservation of global public goods from a development perspective. Access to energy, energy efficiency and clean energy production are the top priorities. The 2030 Agenda for Sustainable Development provides a universally applicable framework of objectives here.

Increasing fragility in developing regions

State fragility in poor countries has increased in recent years. A fragile state is defined as one where a significant portion of the population does not recognise the legitimacy of the state and the state is unable to maintain law and order and is either unwilling or unable to provide basic services to the population. Fragile state institutions and poor governance threaten the protection and assertion

of the basic right to gain access to vital resources. Conflicts and dysfunctional state institutions create need and poverty.

Swiss International Cooperation helps to reduce fragility by addressing the causes of and factors in conflicts, supporting long-term political and social reform agendas and promoting respect for human rights.

2030 Agenda for Sustainable Development

The Sustainable Development Goals (see Box 1) are the new framework for dealing with the current and future challenges confronting nations. They replaced the Millennium Development Goals at the end of 2015. The new goals are valid for all countries and include country-specific measures.

The global goals take account of all three dimensions of sustainable development: economic and social development and ecological sustainability. Sustainable development also requires peace, security and respect for human rights.

A monitoring and review mechanism is needed to ensure that the international community is on track to achieve the Sustainable Development Goals and that the goals are viable in practice.

3. Priority themes of development cooperation and research focus

3.1. Priority themes

Swiss International Cooperation prioritises the themes that are most relevant to achieving its strategic objectives. The SDC is active in the following fields:

- Respect for human rights
- Employment and economic development
- Lasting peace, dealing with fragile contexts and conflict transformation
- Food security
- Health
- Governance, institutions and decentralisation
- Climate change, energy and the environment
- Migration
- Basic education and vocational training
- Protecting the civilian population
- Disaster risk reduction
- Water

Global themes such as climate change, food security, water, health and migration, which are characterised by common causes that transcend national borders, demand joint action at the international level as well as action at the national level. The SDC's global programmes concentrate on these challenges as Switzerland can make a substantial contribution to solving them with its specialist know-how and high degree of credibility. Improving people's living conditions and strengthening institutional frameworks are important in all fields. Promoting gender equality and good governance are central here and are treated as cross-cutting themes.

3.2. Research focus

In the period 2013-2016, research supported by the SDC was geared more strongly to global challenges. Research funding was directed in particular towards the global themes of **climate change and the environment, agriculture and food security, water and health** as well as **employment and conflict prevention**, which were also defined as research focus.

Targeted research-related activities aimed at directly supporting the policy and programme work of the head office and the cooperation offices are also possible in principle in other thematic areas.

Two programmes are of central importance in promoting research: the *Swiss Programme for Research on Global Issues for Development* (see Box 4) and

the *Consultative Group on International Agricultural Research* (CGIAR, see Box 5).

The research fields of climate and the environment, agriculture and food security, water, health, employment and conflict prevention are described in brief below.

BOX 4: Swiss Programme for Research on Global Issues for Development – r4d programme

The SDC and the SNSF launched the r4d programme as an innovative new funding vehicle in 2012. It has a total budget of CHF 97.6 million for its entire duration (2012-2022), made up of CHF 72 million from the SDC and CHF 25.6 million from the SNSF.

The r4d programme is closely aligned with the priorities of the 2030 Agenda for Sustainable Development, and sustainable development is explicitly stated as the conceptual and normative frame of reference.

The focus is on five themes put forward by the SDC:

- Causes of and solutions to **social conflicts** in contexts of weak public institutions
- **Employment** in the context of sustainable development
- Innovation in agricultural and food systems for **food security**
- Sustainable management of **ecosystems** for the provision of ecosystem services
- Provision systems and financing mechanisms in the **public health sector**

In 2016 an additional call was launched including the topic governance of natural resources.

The SNSF is responsible for the operational implementation of the programme. The strategic supervision of the overall programme within the SDC is handled by the Analysis and Policy Division. The content is supervised by the organisational units responsible for each theme within Regional Cooperation and Global Cooperation.

In the period 2017-2020, the SDC and the SNSF will focus their cooperation on research projects in the existing thematic modules.

An independent overall evaluation is planned for 2018.

For more information, see <http://www.r4d.ch/>



3.2.1. Climate change and environment

Focus of research

Even if efforts to reduce global greenhouse gas emissions are successful, it is no longer possible to reverse the effects of climate change, including droughts, flooding, rising sea levels, heatwaves in cities and the loss of biodiversity. The poorest countries and population groups in particular will therefore suffer as a result of their geographical location, low incomes, the limited effectiveness of public and private institutions, poor infrastructure and greater dependence on climate-sensitive sectors such as agriculture.

Average emissions per capita are low in most developing countries. However, the trend in the current decade indicates that the biggest increase in greenhouse gas emissions worldwide over the coming decades will occur in emerging and developing countries due to their increasing economic output¹¹. These countries thus have a key role to play in international climate policy as well as in the formulation and implementation of global and local solutions for mitigating the causes of climate change and adapting to it.

With regard to mitigation, the important issues are clean air, access to energy, energy efficiency, renewable energies and adapting technologies to use resources efficiently.

With regard to adaptation, meanwhile, work is being done in particular to understand the impact on habitats and ecosystems with the aim of developing adequate strategies and measures for responding to the effects of climate change.

The SDC also supports programmes in the fields of land and forest use and mountain ecosystems (glaciers, natural hazards and water management) in developing countries.

The use of ecosystems is determined by political, economic and social interests and increasingly by dynamics ranging from the local to the global as well. As part of the *Swiss Programme for Research on Global Issues for Development*, the research module on sustainable management of ecosystems for the provision of ecosystem services¹² deals with various factors affecting the use and protection of and access to ecosystems. The six-year research projects in this module are looking at i) alternatives for more sustainable palm oil production, ii) increasing

¹¹ IPCC 5th Assessment Report: Climate Change 2014 (Working Group 1)

¹² <http://www.r4d.ch/modules/ecosystems>

demands on ecosystems' resources due to social, political and economic globalisation and iii) understanding and addressing woody invasive alien species (non-native trees) in Africa. Research is being carried out in different world regions and will support dialogue in the affected regions as well as in Switzerland and internationally on issues relating to the sustainable use of ecosystems for the benefit of all populations.

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 increase massively over the next 40 years. At the same time, losses along the production chain must be minimised.

Given the steady loss of arable land, 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

In agricultural development 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, the private sector and government authorities.

The r4d programme's research module on innovation in agricultural and food systems for food security focuses on three research themes:

- Sustainability of agricultural and food systems, natural resources and resilience
- Agricultural innovation, extension and research into use
- Governance and policies for the future world food system.

The six-year research projects under five partnerships will be completed in 2020.

Aligned with the 2030 Agenda for Sustainable Development, the 2016-2030 *Strategy and Results Framework* outlines CGIAR's contribution to the Sustainable Development Goals (SDGs) and defines the areas of research focus. The main priorities are reducing poverty, enhancing and balancing food security and improving use of natural resources and ecosystems. Aspects of climate change, gender, youth, politics and institutions as well as strengthening the capabilities of national partners and target groups are incorporated into each research project as they are essential to achieving the goals. CGIAR concentrates on eight priority fields:

BOX 5: CGIAR in brief

By far the largest portion of the SDC's research funding (CHF 15.5 million a year) is spent on international agricultural research. As part of its multilateral commitment, the SDC supports the world's leading agricultural research partnership, CGIAR, which has 10,000 researchers in 96 countries, a unique research infrastructure and a dynamic network. The genetic resources stored and maintained in its seed banks are among the most significant worldwide.

CGIAR supports global efforts to combat poverty and hunger and targets balanced diets and sustainable use of natural resources. Its 15 international Research Centers work closely with national and regional partner organisations from civil society, research and development organisations and the private sector. Organised into thematic Research Programs and financed by the CGIAR Fund, CGIAR develops and communicates knowledge, technologies and policies for agricultural development. Switzerland is a founding member of CGIAR and justifies its investment with the relevance of CGIAR's scientific work to address the global challenges of food security, climate change and water – three themes that are relevant for SDC's global programmes.

For more information, see www.cgiar.org



- 1) Increasing productivity, stress resilience and nutritional value and using resources more efficiently thanks to improved *breeding of crops*, livestock, fish and trees;
- 2) Optimising the economic, social and ecological benefits under a *systematic approach* in densely populated regions;
- 3) Creating income opportunities for women, young people and marginalised groups under a *gender and integration-based growth approach*;
- 4) Improving markets and delivery of key public goods and services and strengthening the resilience of poor populations through enhanced *policies and institutions*;
- 5) Improving *natural resources and ecosystem services* in productive ecosystems and areas with scope for reversing environmental damage;
- 6) Improving *nutrition and health* by offering increased choice, nutritional value and food security in value chains that are accessible to poor population groups;
- 7) Working towards *climate-friendly agriculture* with a focus on opportunities for mitigation and adaptation in smallholder farming;

- 8) Ensuring biodiversity in plants.

The research will concentrate primarily on Africa (50% of investment), followed by Asia (30%) and the poor regions of Latin America (20%).

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 socioeconomic approaches that would enable agricultural production systems to 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), natural resources (soil and water) and markets. It also means finding ways in which they can diversify their income streams beyond agriculture. This additionally requires research into the political structures in which smallholder farming takes place.

3.2.3. Water

Challenges

In 2010, the UN declared access to water and sanitation to be a human right. This *human rights-based approach* paves the way towards access to water for all, which is also at the heart of the Sustainable Development Goal on water adopted in New York in September 2015. The goal contains six targets covering access to drinking water and sanitation, reducing water pollution, using water efficiently, integrated water management and the benefits of water for ecosystems.

The increasing burden placed on limited water resources leads 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 water. 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.

Focus of research

In the area of drinking 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. Besides technical aspects, research into social marketing and behavioural changes are a firm fixture of drinking water and sanitation programmes. Only evidence-based behavioural changes programmes that allow promotional campaigns to be geared to the local population can ensure that hardware investments bring genuine benefits to the target group and can be operated in a completely hygienic way. Hygiene suffers if water supply and waste management systems are neglected. The SDC seeks to improve access to drinking water and sanitation in rural areas by lending support to applied research and strongly encouraging the development of networks so that the knowledge gained can be used and shared.

With regard to monitoring the Sustainable Development Goal (SDG) on water, data are required that are not currently collected in a systematic manner. SDC-supported research therefore aims to develop cost-effective methods for data gathering and efficient monitoring systems for the various indicators.

Another research priority entails analysis of the water footprint of companies and production processes. The concept of the water footprint was enshrined in the ISO 14046 standard in 2014. It indicates how much fresh water is used in the manufacturing process for a given product.

Given the overarching objective of integrated water management, research supported by the SDC is 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.

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 in particular 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. The international community sees health as an inalienable right of every individual. Significant challenges such as healthcare funding, research and development into drugs to treat illnesses that affect the poor and pandemics require internationally agreed and coordinated responses.

Focus of research

Generally speaking, questions regarding efficiency, governance, funding and factors determining health are considered relevant to research in the field of health.

For the regions of Africa, Eastern Europe and Central Asia, medium and long-term analyses of healthcare funding should be carried out and innovations encouraged to implement their findings. Here, pos-



sible forms of funding such as health insurance and other social security systems should be examined and explored.

Equal, non-discriminatory access to healthcare systems is another research priority. This includes research and development for drugs to treat illnesses affecting the poor, providing high-quality services for all and involving the population. The general *right to health* in contexts where resources are limited is a common area of contention as regards access to healthcare. Cost-efficient provision of healthcare services of adequate quality, especially for poor and disadvantaged population groups, is thus a key research priority.

In the context of the new Sustainable Development Goals, particular attention will be paid to the factors determining health, such as access to clean water, food security, gender equality, health and safety at work, access to land rights and safe housing. Scientifically supported multi-sector and transdisciplinary research is paramount here. The r4d programme's thematic module Public Health focuses on human rights-based provision systems and sustainable funding mechanisms in the public health sector. The main themes of its research projects are as follows:

- Sustainable funding and coordination mechanisms in research and development and access to drugs for treating illnesses affecting the poor
- Ensuring non-discriminatory access to healthcare services of adequate quality

- Strategic development of social security systems for healthcare (*social health protection*)
- Taking account of factors determining health and promoting multi-sector approaches to improving health.

3.2.5. Employment in the context of sustainable development

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). This hinges on the creation of incomes and jobs. Over the past ten years, unemployment levels have 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 transitional countries' integration into the world economy.

In the future, special emphasis will be placed on rural areas, where income poverty is still rife. 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 groups. This must be viewed against the backdrop of increasing urbanisation, i.e. links between urban and rural areas are increasingly of interest. In some regions, there will also be an increased focus on urban and peri-urban poverty.

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.

The r4d module on *employment in the context of sustainable development* is centred on three research partnership projects dealing with the following themes:

- The impact of various development policy instruments on employment
- Feminisation, agricultural transformation and employment in rural areas
- Trading and labour market results in developing countries

The six-year projects will be completed in 2019/2020.

Cooperation with the private sector (mainly local companies, but increasingly also transnational ones) and prevailing conditions are important factors. SDC's support along this line is focused 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 barely trickled down to the poorest population groups. Priority will therefore be given to comparing and analysing various approaches that can be used to enable the poorest to derive greater benefits from sustainable growth, including *integrative* and *poverty-oriented growth*.

Also of interest is the mobilisation of additional resources for development cooperation, particularly by the private sector. As regards the new field of microinsurance, an empirical study of how poor people actually benefit and how this can be measured is desirable.





3.2.6. Conflict prevention and fragility

Challenges

Many of the SDC's partner countries are considered to be fragile. According to the OECD, a country is fragile if its government and institutions are unable or unwilling to combat poverty, promote development, keep the population safe and respect human rights. For most partner countries, fragility is more than just a problem arising from weak government structures. With this in mind, the SDC's commitment focuses on addressing the real causes, strengthening the resilience of government and society to crises, creating scope for resolving conflicts without violence and improving respect for human rights. Examples of factors that lead to fragility are economic, social and political exclusion of women and girls in particular, ethnic conflicts, an absence of the rule of law, crimes going unpunished, abuse of power and a lack of prospects.

Conflicts are an inherent part in the process of the evolving needs, objectives and activities of social groups and policymakers. Development cooperation that 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. 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 structures 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. Swiss International Cooperation must 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 focuses on the causes 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. The r4d programme's Social Conflicts research module concentrates on three areas:

- Ethnic balances of power and conflicts in fragile states
- Gender aspects of social conflicts, armed violence and peacebuilding
- Promoting pluralistic efforts to deal with the past and improve collective resilience and justice in fragile transition processes.

Research in the corresponding partnership projects will be completed in 2020.

For additional security and peace policy issues, please refer to the research concepts for security policy and peace policy drawn up under the leadership of the DDPS in conjunction with the Political Directorate's Human Security and Security Policy Divisions.

3.2.7. Research cooperation with Eastern Europe

An in-depth social science analysis in Albania and Serbia in 2013 showed that in the Western Balkans fundamental research and especially social science findings largely fail to flow into political debate and decision-making. Research funding is also scarce, and research methods are not always adequate. Networking between research stakeholders is insufficient, and reform processes are not supported by the latest research findings. The SDC's new *Performing and Responsive Social Sciences Research Programme* (PERFORM), launched in 2015, is intend-

ed to address these deficiencies. The aim is to help the partner countries in the Western Balkans to organise and fund their own research independently in the medium term.

The SDC is funding the first phase of PERFORM (2015-2018) with CHF 5 million. The programme aims to improve the utilisation of social science research capacities in the Western Balkans. Increased networking among all social scientists within a country, research themes aligned with nationally relevant issues and improved operating conditions and funding procedures are important prerequisites for properly functioning social science research and sound reform processes. The programme is being implemented by a consortium comprising Helvetas Swiss Intercooperation and the University of Fribourg.

4. Funding for 2017–2020

The SDC funds scientific research on the basis of its mandate. The funds the SDC invests in research (excluding the Swiss contribution to EU enlargement) are counted entirely as official development assistance (ODA).

The SDC does not have a centrally managed research budget. Subject to the impact of the stabilisation programme, the SDC expects to invest approximately CHF 50 million on average in development-relevant research each year. Since payments can vary considerably from year to year due to the payment schedules established within a given project cycle, especially for longer-term programmes and projects, the figure of CHF 50 million is to be understood as a rough guide only.

Details of individual programmes and projects can be found in the ARAMIS database and especially in the SDC project database¹³.

¹³ https://www.eda.admin.ch/deza/en/home/aktivitaeten_projekte/projekte.html

4.1. Impact of cost-cutting measures as part of CRT 2014

According to the Federal Council Dispatch of 2012 concerning the Federal Act on the Consolidation and Review of Tasks Package (CRT) 2014, the Federal Council decided in its review of tasks to prioritise Federal Administration research activities – i.e. applied research by government offices and departments – in order to ease the pressure on the budget.

The SDC is making a substantial cost-cutting contribution of CHF 3.56 million a year in 2014, 2015 and 2016.

The Legislature Financial Plan 2013-2015 and the Dispatch on Swiss International Cooperation 2013-2016 take account of the parliamentary decision to increase ODA to 0.5% of gross national income by 2015. This includes the SDC's research investments.

The cuts at the SDC as part of the review of Federal Administration Research tasks are having a negative impact on development aid.

5. Key stakeholders and interfaces in research

As a leading research hub, Switzerland plays an important role in solving global problems and contributing to achieve the Sustainable Development Goals. Swiss research, with its capacity for innovation and worldwide network, can support the transformation towards global sustainable development.

In conducting nationally and internationally focused research programmes and projects on vital global issues, Switzerland aims to make a visible and useful contribution to sustainable development.

5.1. Key stakeholders

The SDC works mainly with the following partners in Switzerland:

- Universities
- Federal Institutes of Technology
- Universities of applied sciences
- Graduate Institute of International and Development Studies (IHEID)
- Swiss Tropical and Public Health Institute (Swiss TPH)
- State Secretariat for Education, Research and Innovation (SERI)
- Swiss National Science Foundation (SNSF)
- Commission for Research Partnerships with Developing Countries (KFPE).

Cooperation between Swiss centres of excellence (Federal Institutes of Technology, universities, etc.) and their partners in developing countries, for instance in the context of networks, exchange platforms and programmes, also plays an important role.

The new *SwissUniversities Development & Cooperation Network*, developed in conjunction with the KFPE, is of interest as well.

Looking ahead to the implementation of the 2030 Agenda for Sustainable Development, the importance of cooperation with international research partners is set to increase.

5.2. Interfaces to research funding institutions

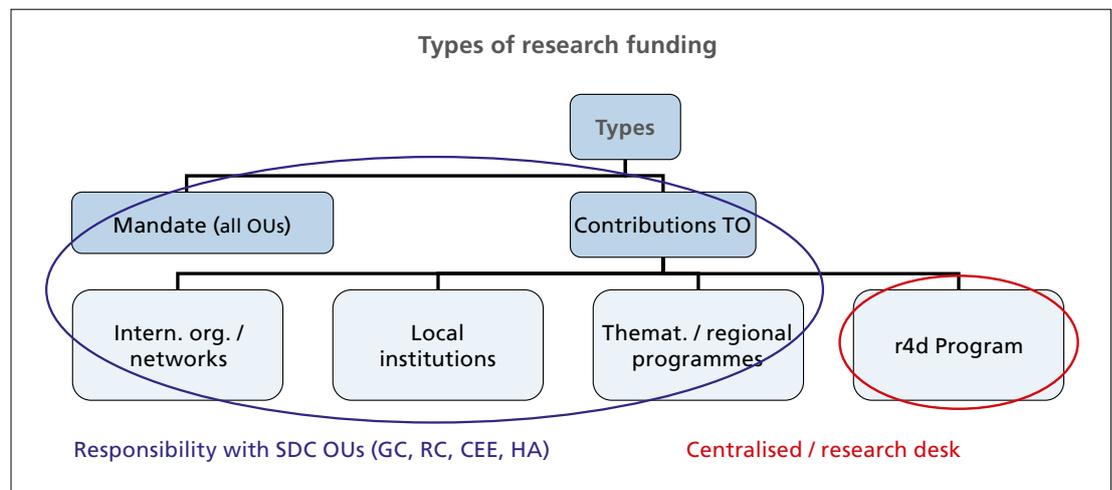
The SDC fosters a partnership with the Swiss National Science Foundation (SNSF), which has been a key research funding partner for Swiss International Cooperation since 1990. The *Swiss Programme for Research on Global Issues for Development* has strengthened this commitment.

The Commission for Technology and Innovation (CTI) supports innovation arising from cooperation between research institutions and companies, focusing on putting the results of research into practice by developing products and services. An exchange with the CTI is planned for the period 2017-2010.

5.3. Interfaces to other federal authorities

Regular dialogue and interaction between federal offices take place at various levels. Besides the committees of Federal Administration Research, the Interdepartmental Working Groups (IDWGs) are also relevant for the SDC as regards ensuring the exchange of information and exploitation of synergies between departments and federal offices. Three bodies in particular deserve a mention here: the Interdepartmental Commission for International Development and Cooperation (ICDC), the Interdepartmental Sustainable Development Committee (ISDC) and the Interdepartmental Working Group on International ERI Policy. Only the IDWG ERI and the Federal Administration Research bodies focus exclusively on research and education.

6. Organisational aspects and quality assurance



6.1. Internal structure

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

Approximately 20% of the SDC's research portfolio is centrally managed by the research desk (see chart). This mostly concerns competition-based funding for international research partnerships on global issues in the priority areas of Swiss International Cooperation. For this purpose, the r4d programme was created and launched in 2012 together with the SNSF as an innovative new funding vehicle. Analysis and Policy is responsible for the funding and strategic monitoring of the r4d programme on the SDC side. The content of the approved research projects is monitored by the thematically competent units of Global Cooperation (GC) and Regional Cooperation (RC). This meets the Directorate's requirements based on the findings of the independent research evaluation in 2010.

The largest portion of the research portfolio – around CHF 40 million – is made up of research

funding contributions to international organisations and networks, programme contributions relating to the SDC's strategic priorities, commissioned research and mandates with a research component. These are managed by the various organisational units at head office and the cooperation offices. Line managers in organisational units are responsible for the management and quality assurance of research-relevant activities, including the launch of calls for research proposals/awarding of contracts, monitoring, reporting and the dissemination and use of research findings. They are also responsible for working with research institutions and conducting regular assessments of this cooperation.

The SDC's thematic networks also play an important role. Their main purpose is to develop and impart good practices relating to a given theme, e.g. water, climate change and the environment, health, employment and income, education, agriculture, conflict, and human rights. SDC networks link employees at head office with colleagues at SDC cooperation offices as well as with partner organisations and researchers. Each network is coordinated and directed by one person, who is referred to as the

focal point. Network members meet annually or every two years. Electronic platforms are used to exchange information and make it available on the internet.

6.2. Scientific monitoring

The Advisory Committee on International Cooperation advises the Federal Council as well as various departments of the Federal Administration, especially the SDC and the State Secretariat for Economic Affairs (SECO) on international cooperation issues. Parliament, non-government organisations, the private sector, the media and academia are all represented on the Committee.

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

As a rule, research projects solicited and realised as part of programmes are assessed by international teams of experts. The SDC is represented on the respective selection bodies. The r4d programme, for instance, uses six Review Panels composed of international experts to evaluate and supervise the research projects it selects. The SDC has full member status on each Review Panel.

Content-related quality assurance hinges on membership of international and national bodies specialised in a given field (such as CGIAR and AGUASAN) as well as strategic cooperation with various centres of excellence.

6.3. Quality assurance

Research cannot be considered as an isolated activity of Swiss International Cooperation. Instead, it is an integral part of all efforts to address and find solutions to pressing global challenges. ODA-funded research is thus subject to the same imperatives as other Swiss International Cooperation activities, namely result orientation, effectiveness and efficient use of resources.

The SDC has no specific internal 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 *results framework*, budget requests are used to monitor and assess research programmes and projects or development projects with a research component. Research programmes supported by the SNSF, such as the r4d programme, are additionally subject to the SNSF's quality standards.

Quality is assured by means of *project cycle management* (PCM) or *core contribution management* (CCM) for structural investments. 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 to monitor the use of structural investments despite limited steering options.

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

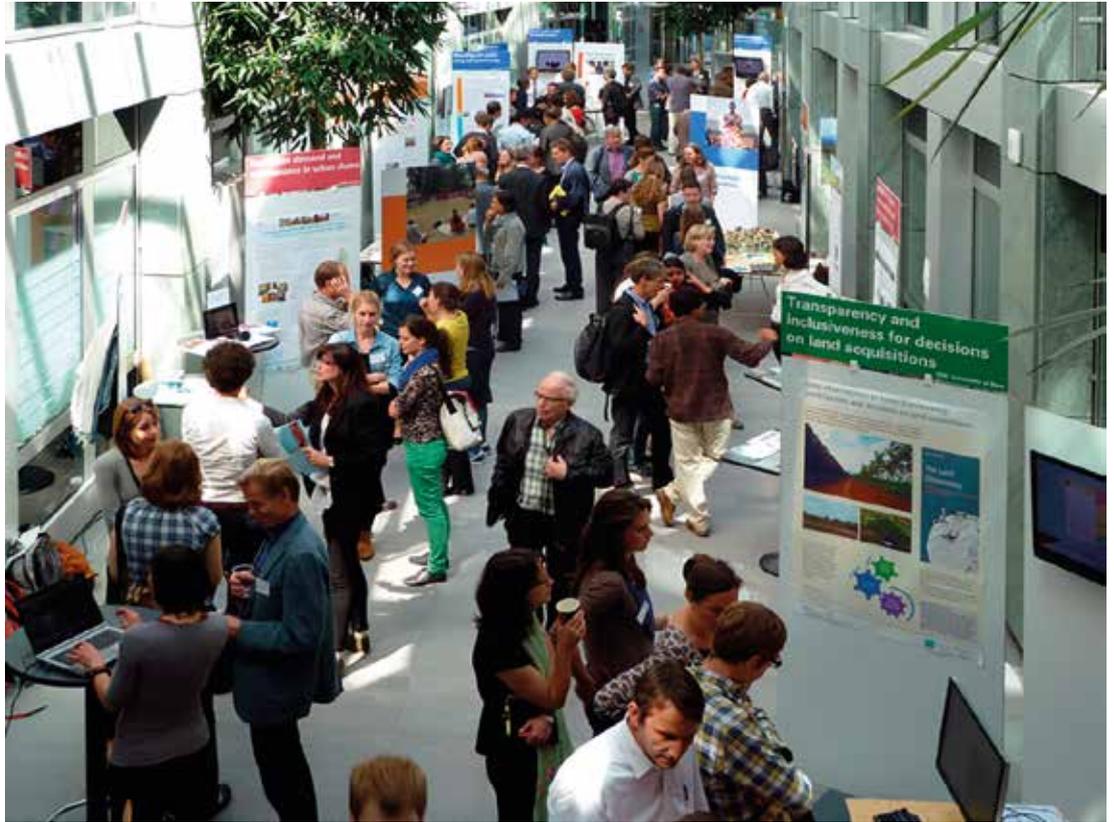


Photo: J.-A. Lys, KFPE (Research Fair at the SDC head office, 2013)

Impact assessments of Swiss International Cooperation activities have improved considerably in recent years. New instruments have been introduced, including the annual report on the effectiveness of cooperation strategies and budget allocations and the *Annual Progress Report on Gender Equality*, which examines implementation of the SDC's gender policy in cooperation strategies, contributions, programmes and projects. The SDC has also published reports on the effectiveness of Swiss development cooperation since 2008, focusing on key themes such as water, agriculture, climate change and health. Reports contain details of difficulties and challenges as well as the successes of SDC activities. The SDC/SECO Annual Report systematically reports information from the standpoint of results achieved. In addition, around 100 evaluations are conducted each year at various levels within the organisation. Evaluations encourage institutional learning, help management with decision-making and ensure accountability towards politicians and the general public.

The SDC distinguishes three types of evaluation: external evaluations are commissioned by the SDC from third parties, country-specific evaluations serve to review the implementation of cooperation strategies and internal reviews are ordered by the people in charge of planning and monitoring a programme or project.

6.4. Knowledge and technology transfer and dissemination of knowledge

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

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.

Experiences and research findings are shared, discussed and assessed with others at conferences and symposiums. The exchange of ideas on topics relevant to development policy is to be stepped up further.

The SDC and the KFPE launched a new platform for international cooperation and research stakeholders, the Research Fair, in 2013. Researchers presented innovative results achieved with the aid of research partners from Africa, Asia and Latin Ameri-

ca. Workshops were held to discuss new trends and challenges in international cooperation.

As a rule, research partners have formal contact with the relevant departments at the SDC's head office or cooperation offices at least once a year. Expectations on each side are explained, and innovative and relevant research findings are presented, discussed, jointly assessed, documented and published.

Research findings that are both innovative and relevant to SDC activities may be made generally accessible via the thematic networks' *sharewebs* 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-Learning-Culture Division lends support to the operational units and networks in the exchange of knowledge.

The SDC's Learning and Networking Team, which is housed in the Knowledge-Learning-Culture Division, helps to organise meetings and conferences and provides advice on embedding learning processes in programme implementation. The r4d programme, for example, ensures that the projects it supports involve by the networks' *focal points* and that their findings flow back into the respective networks.

The Learning and Networking Team is not just about making knowledge accessible, it also works on the design of learning process in programme implementation. What this means first and foremost is supporting and promoting learning spaces where those involved can share experiences and learn from each other.

7. List of abbreviations

CCM	Core contribution management
CEE	Cooperation with Eastern Europe
CGIAR	Consultative Group on International Agricultural Research
CHF	Swiss francs
CRP	CGIAR Research Program
CRT	Consolidation and Review of Tasks Package
CTI	Commission for Technology and Innovation
DDPS	Federal Department of Defence, Civil Protection and Sport
DP	Directorate of Political Affairs
FDFA	Federal Department of Foreign Affairs
EPFL	Federal Institute of Technology Lausanne
ERI	Education, research and innovation
ETH	Federal Institute of Technology
ETHZ	Federal Institute of Technology Zurich
EU	European Union
FOCP	Federal Office for Civil Protection
GC	Global Cooperation
HA	Humanitarian Aid
IDWVG	Interdepartmental Working Group
ICIDC	Interdepartmental Committee for International Development and Cooperation
IHEID	Graduate Institute of International and Development Studies
KFPE	Commission for Research Partnerships with Developing Countries
NCCR	National Centre of Competence in Research
ODA	Official development assistance
OECD	Organisation for Economic Cooperation and Development
PCM	Project cycle management
PERFORM	Performing and Responsive Social Sciences
r4d programme	Swiss Programme for Research on Global Issues for Development
RRPP	Regional Research Promotion Programme
RFPP	Research Fellow Partnership Program
RC	Regional Cooperation
SDC	Swiss Agency for Development and Cooperation
Sciex	Scientific Exchange Programme between the New Member States and Switzerland
SDGs	Sustainable Development Goals
SCOPEs	Scientific Cooperation between Eastern Europe and Switzerland
SECO	State Secretariat for Economic Affairs
SERI	State Secretariat for Education, Research and Innovation
SNSF	Swiss National Science Foundation
Swiss TPH	Swiss Tropical and Public Health Institute
UN	United Nations

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SDC Swiss Agency for Development and Cooperation

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Orders:

Information FDFA
Phone: +41 58 462 44 12
Email: deza@eda.admin.ch

Contact:

Swiss Agency for Development and Cooperation
Analysis and Policy Division
Freiburgstrasse 130, CH 3003 Berne / Switzerland
Tel.: +41 58 462 11 60
E-mail: analyse.politik@eda.admin.ch

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