

**Program for the
Promotion of Research Partnerships of
Swiss Universities for Applied Science and Institutes in
Developing and Transition Countries**

Evaluation of Phase III (2007 – 2010)

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Mandat by:

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List of Acronyms

aR&D	Application-oriented Research and Development (applied Research)
BFH	University of Applied Science Berne (Berner Fachhochschule)
CHF	Swiss Frank (Swiss currency)
COHEP	Rectors' Conference of the Swiss Universities of Teacher Education
CO	Coordination Office
DAS	Diploma of Advanced Studies
DC	Development cooperation
D&C-countries	Developing and Transition countries
OPET	Federal Office for Professional Education and Technology
FHNW	University of Applied Science, North-West Switzerland (Fachhochschule Nordwestschweiz)
HOLCIM	Swiss Cement Industry
KFH	Rectors' Conference of the Swiss Universities of Applied Sciences
KFPE	Commission for Research Partnerships with Developing Countries
NGO	Non-Government Organization
SCOPES	Swiss Program for Research Partnerships with East European Countries
SDC	Swiss Agency for Development and Cooperation
SER	State Secretariat for Education and Science
SME	Small and Medium Enterprises
SNSF	Swiss National Science Foundation
SUPSI	Swiss University of Applied Sciences of Southern Switzerland
ToR	Terms of Reference
UAS	Universities for Applied Science
UTE	Universities of Teacher Education

Summary

Background

Since 2000 the Swiss Agency for Development and Cooperation (SDC) provides funding to the Rectors' Conference of the Swiss Universities of Applied Sciences (KFH) for a program to initiate partnerships in applied research between Swiss Universities for Applied Science (UAS) and academic institutions in developing and transition countries (KFH-DC Program). During the first two phases (2000 – 2006), the program was managed by a KFH-Committee and Swisscontact as professional partner in development cooperation.

Following an external evaluation of phase II in 2006, the KFH elaborated a strategy for applied research in partnership with developing and transition countries and took charge of the program by setting up its own internal structure to promote, approve and follow-up research projects. The main features compared to the previous set-up are a Coordination Office run by one of the UAS (SUPSI) on a mandate from KFH, a scientific committee and peer reviewers to ensure an enhanced quality of the (process for) project selection. The process itself has been made more efficient with an internet platform.

In phase III, the Coordination Office organized:

- 6 calls for proposals with a total of 128 submitted projects leading to funding of 27 projects. Budget funded by KFH-DC was approx. 1.2 Mio, total budget was approx. 2.8 Mio
- 3 Information days (2007 Zug, 2008 Bern, 2009 Fribourg)
- 3 meetings with the Expert Pool (Olten)
- 20 meetings with Steering and Scientific Committee (Bern and Olten)
- Several information events in UAS

Purpose, Objectives & Method of Evaluation

The evaluation shall provide the KFH and the main funder SDC with a basis for taking decisions regarding the future of the program, namely an assessment of program and an external view on options for the further development.

The objectives are

- 1 Describe and assess the *evolution* of the KFH-DC program during the last three years from 2007 to 2010 (phase III). The adjustments made during phase III and the extent to which they have been effective in enhancing the quality of procedures and of the supported projects and thus of the results achieved shall be judged;
- 2 Assess the program in terms of impact (on all levels), efficiency, scientific quality, interdisciplinary and relevance for development;
- 3 Describe possible scenarios for scaling-up the program in the future.

For the assessment, the evaluation team relied on:

- Desk study of documents
- An electronic survey with all researchers of projects approved in this phase (Swiss & partner institutions) as well as researchers of all rejected proposals.
- The survey was supplemented with interviews of selected researchers of approved projects.
- In addition, interviews and a focus group discussion were conducted with representatives of the different bodies of the program and of partner organizations relevant for the program.

Results and Assessment

The 27 projects have been instrumental to establishing research partnerships which allow the Swiss UAS and the D&T partner institutions to improve their competence and competitiveness in international research, to introduce or develop teaching of development-related topics and to provide chances for students to involve in the research and for exchange of lecturers.

With a modest budget, the projects established results that are generally relevant for the 'end-users', respectively the development issues addressed, whereby the range of themes is broad, but in line with the criteria given.

The selection process has been improved with technical means to handle the proposals efficiently and with a four-layer decision process, which led to improved quality of the projects.

Sustainability of partnerships depends mainly on the relationship between the persons involved, because the resources available do not allow for long-term research activities.

The Coordination Office has managed the program efficiently and professionally sound with a high linguistic competence, which is important for such a program.

The program evolved basically along the lines proposed in 2006. KFH has established a strategy and Universities of Teacher Education are now also eligible to compete for funds.

So far the idea of a network including all UAS-researchers interested in aR&D with D&T countries has not taken shape. It is limited to smaller networks between schools and researchers interested in similar topics. Furthermore, KFH has not yet been successful in mobilizing other funds in addition to the SDC contribution.

aR&D in partnership with D&T-countries is relevant both for SDC and the UAS / UTE. However, if compared with SDC's total investment in research and with the allocations for universities, the funds available for this program are almost marginal.

Based on an external evaluation of all research activities, SDC came to the conclusion that all support to research programs like this one shall be pooled in one fund. This fund will launch calls for proposal every second year in clearly defined thematic areas addressing global issues.

Conclusions

The research projects are an ideal 'vehicle' to promote research partnerships and by that increase the capacity and competitiveness of Swiss UAS and of D&T-institutions in aR&D. Compared to the relevance of aR&D for solving development problems, the program has a very small budget, but with a good program management is able to produce good results.

At the strategic level, KFH was not in the position to develop the program much further, which is partly linked to the institutional conditions of KFH as a body with mainly a coordinating function.

With the decision of SDC, the program can hardly be continued in its current form in the long run, because the new approach of SDC has certainly its merits. At the same time, the program is producing good results and has built up momentum among UAS researchers, which should not be undermined by the new SDC policy.

This situation requires a fundamental re-thinking both on the part of KFH / UAS as well as of SDC, but at the same time a solution for the transition from the current set-up to the new modalities has to be found.

Recommendations

The first recommendation addresses the transition. It is recommended:

- ➔ To continue / extend the program in its current form, until the conditions for the new arrangement of SDC have been clarified.

Parallel to this, the recommendation for KFH is to:

- ➔ Rethink its strategy regarding aR&D with D&T-countries against the background of SDC's new policy along the following two scenarios:

'Pooled competition': KFH implements a joint strategy which involves support to the UAS in building capacity for competitive research in development cooperation

'Free competition', i.e. the UASs compete for research projects on the basis of their own capacity and resources

- ➔ To this end KFH should set up a team which manages the strategy development and can negotiate conditions with SDC and other relevant stakeholders.

For SDC the recommendation is to consider the value and relevance of this program and accordingly

- To support the program for a transitional period with a substantially higher fund allocation.
- Opens the discussion of modalities for the new fund to representatives of KFH.
- Discusses ways and means to improve the access of the UAS to mandated research.

1 Background & Method

1.1 Background

Since 2000 the Swiss Agency for Development and Cooperation (SDC) provides funding to the Rectors' Conference of the Swiss Universities of Applied Sciences (KFH) for a program to initiate partnerships in applied research between Swiss Universities for Applied Science (UAS) and academic institutions in developing and transition countries (KFH-DC Program). The program co-finances research projects jointly implemented by these institutions. During the first two phases (2000 – 2006), the program was managed by a KFH-Committee and Swisscontact as professional partner in development cooperation. Both phases have been evaluated by external evaluators – Phase I by Dr. R. Högger in 2002 and phase II by KEK-CDC Consultants beginning of 2006.

Following the external evaluation of 2006, the KFH elaborated a new strategy for applied research in partnership with developing and transition countries (see “KFH-DC Strategy document”). On 14th December 2006, KFH formally decided to create an internal structure able to promote, approve and follow-up research projects with developing and transition countries (D&T-countries). The structure comprises:

- A Steering Committee with representatives of Universities of Applied Sciences (UAS) and of Universities of Teacher Education (UTE) under the presidency of KFH
- A Scientific Committee with a representative of SDC (Mr. Gnägi from 2007 to mid 2008, Ms. D. Rychen from mid 2008 till now).
- A pool of experts for the peer reviewing process (5 UAS experts and 5 external experts)
- A Coordination Office created on 15.06.2007 at the Swiss University of Applied Sciences of Southern Switzerland (SUPSI) with funding allocated until 30/4/2011. The Office has been led by Dr. Federico Flückiger till Juli 2008 and by Dr. Claudio Valsangiacomo since then.

Since 2007, the Coordination Office has organized:

- 6 calls for proposals with a total of 128 submitted projects leading to funding of 27 projects. Budget funded by KFH-DC was approx. 1.2 Mio, total budget was approx. 2.8 Mio (funds by cover maximal 50%!).
- 3 Information days (2007 Zug, 2008 Bern, 2009 Fribourg)
- 3 meetings with the Expert Pool (Olten)
- 20 meetings with Steering and Scientific Committee (Bern and Olten)
- Several information events in UAS

After the publication of the last and 6th call for proposals of the KFH-DC program, the Steering Committee has decided to proceed with an external evaluation of phase III.

1.2 Purpose & Objectives of Evaluation

1.2.1 Purpose

The evaluation is commissioned by KFH who is expected ultimately to act on the results of the evaluation. It shall provide the KFH as well as the main funder SDC with a basis for taking decisions regarding the future of the program, namely an assessment of program and an external view on options for the further development of the program.

1.2.2 Objectives

The evaluation has the following objectives:

- 1) Describe and assess the *evolution* of the KFH-DC program during the last three years from 2007 to 2010 (phase III). The adjustments made during phase III and the extent to which they have been effective in enhancing the quality of procedures and of the supported projects and thus of the results achieved shall be judged;
- 2) Assess the program in terms of impact (on all levels), efficiency, scientific quality, interdisciplinary and relevance for development;
- 3) Describe possible scenarios for scaling-up the program in the future.

For details refer to the ToR prepared by KFH (Annex 1).

1.2.3 Key Questions

The evaluation answers to the following key questions related to the three objectives:

- 1) Evolution of the program in phase III, 2007-2010
 - Assess what adjustments have been made since the previous evaluation (Phase II 2003 – 2006)
- 2) Achievements, quality and program management
 - Assess the major achievements of the program to date in relation to the quantity and quality of the submitted projects. Assess as well the qualitative evidence (e.g. opinions on single projects, financing of projects from other institutions, awards given to single project, etc.).
 - Assess major failures of funded projects.
 - Identify any relevant experiences that should be highlighted e.g. case-studies, stories, best practices.
 - To what extent is the program contributing to a long-term positive effect on research partnerships with developing countries?
 - Assess the way the program and its projects are and can be used in the teaching programs of both institutions (in Switzerland and in the DC)
 - Assess to what extent resources are being used economically to deliver the project. In particular, is financial spend in line with plan?
 - Assess other program management factors important for delivery, such as: i) working relationships within the team (Steering committee, Scientific committee, expert-pool, coordination office), ii) working relationships with partners (researcher) and donors (SDC), iii) internal and external communication, iii) impact of the coordination office on dissemination of information among UAS.
 - Assess the key factors affecting sustainability of the program, such as: i) acceptance of program within UAS, ii) how will it be possible to ensure continuity of

project activities in the future, iii) what are the cost implications for scaling up impact?

3) Strategy / Continuation

- Assess what adjustments might be necessary for a continuation of the program, in particular: i) to what extent the program responded to the issues of the KFH-DC Strategy (see specific document)? ii) procedure for submitting, peer reviewing, accepting projects respects the given selection criteria?

1.3 Process and Methodology of Evaluation

1.3.1 Process

The evaluation was conducted in the period June to September 2010. The process comprised the following steps:

- 1) Analysis of relevant documents (project descriptions and reports, namely for objective 2 above; protocols of meetings, namely for objective 1 above);
- 2) Two online-based surveys with a questionnaire each were conducted for:
 - gaining insights on the approved projects (27 projects in phase III) from the partners of Swiss UAS and of developing countries;
 - tracing the fate of rejected projects (104 projects in phase III) i.e. Were they implemented by other means?
- 3) Semi-structured interviews with key persons as mentioned in the ToR (see Annex 3), namely:
 - Representatives of KFH-DC Program (coordination office, steering committee, scientific committee, expert pool);
 - Representatives of SDC, KFPE, SER
 - Researchers of approved projects both from Switzerland and from developing countries;
- 4) Evaluation and synthesis of information gathered from the sources mentioned;
- 5) Collecting feed-backs of KFH on preliminary conclusions and recommendations, by means of a draft report;
- 6) Consolidation of findings, conclusions and recommendations in a final report.

1.3.2 Method

Based on document analysis and in close cooperation with KFH-DC office questionnaires for the two online-surveys have been elaborated. The individual answers in the survey were used for more in-depth telephone interviews with randomly selected Swiss partners and partners in developing countries of approved projects.

The survey of approved projects covered all 27 projects approved during this phase. Since some institutions had 2 projects approved the survey went 23 researchers from Swiss UAS and 25 partners in D&T-countries. 21 partners from Swiss UAS (91%) and 16 partners in D&T-countries (64%) filled in the survey.

The survey of rejected projects was sent out to 104 researchers of Swiss UAS. As expected the response was rather low with 23 researchers giving a feed-back. For further details of the surveys refer to annex 2.

Compared to the 2006 survey, answer options have been differentiated into 4 (instead of 2) categories. Therefore, when comparing figures, the options "true" and "mostly true" will be merged.

Overall 10 semi-structured interviews with researchers from Swiss UAS and 6 with partners from D&T-countries were conducted. In addition 15 interviews were made with representatives of organizations relevant for the program. In a focus group discussion at the SUPSI, facilitated by the coordinator of the program (Dr. C. Valsangiacomo), a group of 10 researchers from both approved and rejected projects gave an account of their experience with the program. In total 41 persons have been interviewed. (see annex 3)

1.3.3 Information Basis

The evaluation drew on information collected from documents and from the statements made by interview partners. Thereby, the webpage of KFH-DC proved to be very useful and informative. Particularly for the assessment of the scientific quality of the projects, the evaluation team had to work with a selective approach because an in-depth evaluation of all projects would have been beyond the scope of this evaluation.

The evaluators use percentage figures for enhanced readability and for allowing comparisons with the 2006 evaluation. However, numbers of survey respondents are small, which means that e.g. one Swiss answer accounts for 4.75% and one answer from a DC-partner for 6.25%. Therefore, differences in the percentage figures have to be interpreted accordingly.

2 Evaluation

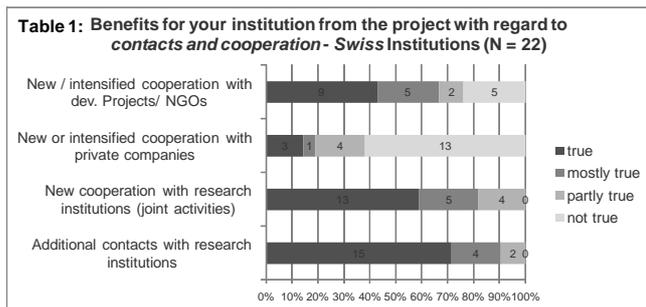
2.1 Project-Level

In phase III from 2007 to 2010, 27 projects have been approved and funded. They were selected out of 128 applications submitted in 6 calls for proposals. A survey (responses for 26 out of 27 approved projects) and interviews with selected researchers (Swiss UAS and D&T partners) gives the following picture.

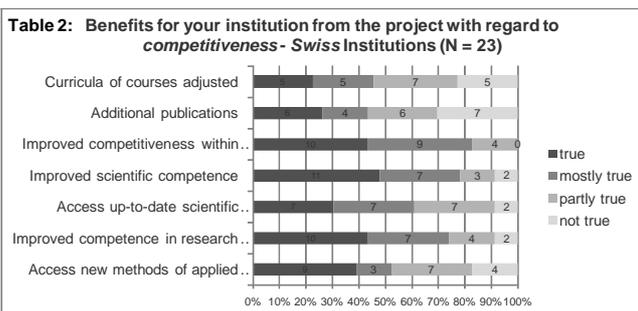
2.1.1 Results for Swiss UAS

Research

The main benefits for the Swiss UAS are additional contacts (90%) and new cooperation (82%) with research institutions. In terms of competitiveness *'improved competence in management of applied research'* (75%), *'improved competitiveness within international research community'* (83%) and *'improved scientific competence'* (78%) are the most prominent benefits.



Compared to the situation in 2006, it appears that the benefit of additional and new contacts with research institutions is even more evident now (90% as against 70% in 2006). The reason may be that based on the increasing level of awareness about this program among the UAS, more 'newcomers', for whom additional contacts are important, may have joined.



Link Research and Teaching

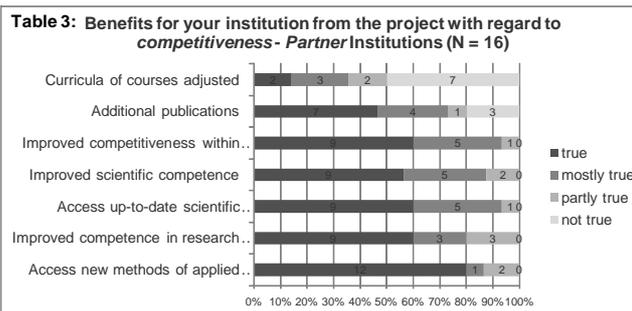
Based on the research project, the majority of the UAS enhanced the link between research and teaching (70%). 65 % indicate that they established new training offers. These are most often lectures on development-related issues. Some UAS, respectively their departments, are also setting up special courses such as a DAS-course on development and construction being planned jointly by the BFH and SUPSI or modules on health at SUPSI.

An important aspect for the UAS is also the possibility to involve students (36 % of UAS provide internships and 36 % research opportunities) in the research.

2.1.2 Results for D&T-Institutions

Research

The partner institutions in the D&T-countries point at the same benefits, whereby *'additional contacts'* and *'new cooperation'* are important assets for all of them (100%). In terms of *'competitiveness'* their most valued benefits are the same as for the UAS plus *'access to new methods of applied research'* (87%) and *'access to up-to-date scientific knowledge'* (90%).



The two case studies (Annex 5) illustrate two different but typical examples of contacts: a local partner with little resources but taking the initiative to establish contacts and a partnership with an international research institution which existed before the project was submitted. They show that the sustainability of the partnership is always closely linked with the resources available.

Link Research and Teaching

Compared to the Swiss UAS, they benefit more in terms of *'new training offers for lecturers'* and *'co-teaching with guest lecturers'*. Their students benefit more in the form of internships and research opportunities because they are often and in bigger numbers than Swiss students involved in the research activities.

2.1.3 Cooperation with other Institutions

An important advantage of aR&D (as against basic research) is the involvement of 'end-users', to ensure the application-orientation and by that the practical use of the results and scaling-up. The survey shows that for the Swiss UAS the immediate beneficiaries or cooperation partners are the public sector (87 %) and NGOs (52 %) whereas SME account for 13 %. For the D&T-institutions the pattern of cooperation partners is 87 % public sector, 62 % NGOs and 56% private sector. The significant difference with regard to cooperation with SME can be explained by the following conditions. Cooperation of UAS with Swiss private sector organisations is mainly possible in technical and/or production sectors. Often projects submitted in these areas were rather technology transfer than aR&D and therefore were not supported. In addition, to involve Swiss private sector in development-related research is difficult, because the commercial benefits are usually not attractive enough. Therefore as shown in the case studies, the access to the private sector takes place mainly in the D&T-countries. Furthermore, compared to the previous phase, where 12 out of 20 UAS cooperated with Swiss SME, as against 3 out of 23 UAS in this phase, more projects in the social sector have been supported in phase III.

2.1.4 Achievements / Results of Research

The 27 projects have been supported with a total budget of about CHF 2.4 Mio. (UAS: 1.2 Mio. / SDC: 1.2 Mio.), which means on the average CHF 88'000 per project (UAS: 44'000 / SDC: 44'000) without the investments made by the D&T-partners. In

addition, they contributed roughly 10 – 30 % of the amount which SDC and UAS contribute, mostly as kind contribution (e.g. salaries, students for field work).

As a novelty, in line with the recommendations of the 2006 evaluation, three projects of Universities of Teachers Education (UTE) were supported.

The range of themes covered by the 27 projects is fairly broad (see table 4).

Likewise the range of ultimate beneficiaries, i.e. users of research results, is very diverse. In about 60 % of the research benefits for people (e.g. small scale fruit growers, disabled children) should materialize quite directly whereas in the other projects such benefits are indirect (e.g. groundwater vulnerability, geochemistry of ochres) because the primary purpose is the improvement of systems.

Table 4: Overview of Themes covered

	Theme	Nos. of projects *)	Percent
1	• Education	3	10 %
2	• Health	1 – 2	6 %
3	• Social science	5 – 6	19 %
4	• Nutrition	2	6 %
5	• Value chains (production)	1 – 2	6 %
6	• Agriculture / Natural Resource Management	3 – 4	13 %
7	• Environment	5 – 7	22 %
8	• Construction	4 – 5	16 %
9	• (Spatial / regional) Planning	1 – 2	6 %

*) Some projects are attributed to 2 themes

2.1.5 Quality of Projects

According to the peer reviewers and members of the expert group, the projects proposals became more professional over time to the point that they meet general standards for research proposals (acc. to a reviewer who assesses also research proposals of Universities). The fact that all approved projects are easily accessible on the web-page of KFH-DC may have helped the applicants to see the expected standard. The gradual improvement of the quality of project proposals led to a situation where a considerable number of good projects had to be rejected for lack of funds. For the concerned researchers this created a certain frustration as expressed in the survey of rejected projects. Of the 22 respondents to this survey only 3 found alternative source of funding, while 4 implemented the project in reduced form with own resources and 15 had to drop the project.

A review of the project descriptions and evaluations of the proposals supports the assessment of the quality. For a few approved projects, the fact that the opinion of the reviewers differed considerably, might be taken as an indication of insufficient quality. However, these contradicting views were balanced by the independent assessment of the research committee.

There are a number of additional indications that the quality of the projects meets general standards:

- Some of the research found broad recognition internationally, such as the research on post-disaster housing and community reconstruction by a researcher of SUPSI, which resulted in a contribution to a handbook of the Worldbank on this topic. Or the handbook of social work in the Russian penal system, which was one of the results of a research project of the FHNW. Research on traditional earth-quake resistant construction by a researcher of SUPSI got recognition by the HOLCIM Award 2008.

- In a recent study of KFPE of 12 successful examples of Swiss research cooperation with countries of the South and East, 2 cases of UAS are included.
- UAS researchers applying for this fund were also successful in getting funding (for other projects) from European research programs and from the SNFS (SCOPES) where they compete with universities.

2.1.6 Assessment / Findings

Relevance

Relevance is assessed with regard to research¹, development and partnerships. In general the projects are application-oriented research in line with the definition mentioned below. There are a few cases where the aspect of transfer of technology is stronger than the research component (e.g. e-learning in health, Nepal).

The relevance of the research results for addressing development issues is mostly given. However, with the broad range of themes addressed, the results are not always relevant with regard to SDC's development goals and priorities, but this has not been a condition under this program. In a few projects the intended result may be relevant, but whether the intended impact will materialize depends on fairly uncertain assumptions regarding framework conditions (e.g. building material from plastic and agricultural waste).

The partnerships established through the projects are of high relevance for both, the Swiss and the D&T partners. For the UAS the partnerships are an opportunity to fulfil their mandate of establishing international cooperation and to build capacity in intercultural research management. The latter is a competence for Swiss researchers and students which gains importance. As shown by the examples mentioned under 2.1.5, the program has obviously helped the Swiss UAS to improve their competitiveness in international research. For the D&T partners the cooperation is important to build research capacity and have access to modern research methods and know-how. Both the competitiveness of Swiss UAS and the capacity of D&T-institutions are major objectives of SDC's research policy².

Effectiveness

The scope of this evaluation does not provide for an assessment of the effectiveness of projects in terms of results achieved by the research projects, because this would require some verification in the field.

Effectiveness with regard to a major objective, i.e. initiating and supporting research partnerships is certainly given. All approved projects helped to establish new partnerships while the others helped to consolidate / extend existing partnerships.

In two aspects, i.e. the thematic focus of the research and the involvement of private sector, in particular of Small and Medium Enterprises (SME), the recommendations made in the evaluation of phase II (see annex 4), have not been taken up. With regard to a certain thematic focusing the KFH-DC has opted to still allow for a broad

¹ Acc. to the OECD Frascati Manual (3rd revision 2002) the definition of research is: "Research and experimental development (R&D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications"

² SDC major objectives for supporting research:
 - Maintain or increase Swiss research capacity both at an institutional and individual level in fields related to and relevant for development'
 - Contribute to sustainable institutional and individual capacity building in the South and East.

range of themes to be covered in this phase. The likely reasons for the modest involvement of Swiss SME are given in chapter 2.1.3.

Efficiency

The funding of projects requires a 50 % share being mobilized by the UAS and the D&T partner. This is providing for a first leverage. The second is the fact, that due to the comparatively small budgets, the project implementers often invest more time and resources than officially declared. Therefore, the projects produce their results with comparatively modest means. A side-effect of the relatively small projects and of the usually very personal contacts of stakeholders is that the chances for misuse of program resources are very low. In general, the program is utilizing the limited funds very efficiently.

Sustainability

The small budgets available to the partners make it difficult to build up a lasting long-term partnership. The funds usually provide only for a relatively short interaction around a research project with limited resources for exchange of staff. The cooperation is partly formalized by MoUs between the institutions and partly based on personal contacts. Therefore, sustainability of the cooperation is doubtful in many cases. On the other hand, the partnerships based on personal contacts between researchers are maintained also in periods where no funds for joint activities are available.

The results of the research should be more sustainable, because if they really are application-oriented and relevant to the stakeholders the latter will make sure that the results are used. The researchers themselves (should) have an interest to disseminate the results through publications and offering services based on the research implemented. However, the lack of time (and resources) is mentioned as a reason for fewer publications in comparison to universities.

2.1.7 Conclusions

The research projects are an ideal 'vehicle' to promote research partnerships and by that increase the capacity and competitiveness of Swiss UAS and of D&T-institutions in aR&D. While the program is tailor-made to the conditions of the UAS, it has helped to increase the (research) quality of projects to generally accepted standards of research.

The projects provide an important basis for integrating development-related issues in the regular curricula of UAS and increasingly for setting up specialized courses. An important aspect of the projects is the possibility of providing exposure to intercultural cooperation and to development issues for lecturers and students.

Compared to the relevance of aR&D for solving development problems, the program has a very small budget available, but the available funds are used efficiently while the quality of projects is continuously improving to general standards of research. A serious problem is that the program has a considerable 'pipeline' of good research projects but a lot of these good projects had to be turn down.

The concept of supporting a broad range of themes is appropriate to involve as many UAS, respectively disciplines as possible and as such is rightly an objective for KFH. However, for SDC (as main sponsor of the program) a more focused portfolio in terms

of themes is essential to have, with the limited resources, more impact and visibility with regard to the objectives of Swiss development cooperation.

The rationale for a stronger involvement of the private sector is two-fold. First, except maybe for the social sector, the results of aR&D are mostly used and disseminated by the private sector. Second, in development cooperation the concept of public-private partnership becomes ever more important, out of the realization that the private sector is a crucial and often indispensable partner and/or stakeholder in solving development-related issues. Establishing this cooperation is demanding because the Swiss private sector will only participate if the project provides a perspective for a return on investments, which is often difficult to prove in projects with developing countries. And in the developing countries it is not so easy to find private sector partners which are competent enough for involving in research.

In spite of the difficulties, for a continuation of the program these aspects should be addressed explicitly.

2.2 Program-Level

With the integration of the program into the structures of KFH a distinction needs to be made between issues concerning KFH and those concerning the SDC-support.

2.2.1 Evolution of Program

The evaluation of phase II of the SDC-program (2006) made a number of recommendations aiming at strategic adjustments of the program and the implementation set-up. In line with the ToR these recommendations (see annex 4) are a major reference for the assessment.

Development of a KFH-Strategy

The KFH has as a first step towards the implementation of phase III developed a strategy on '*Applied Research and Teaching in Partnership with Developing and Transitional Countries*'. The drafting of the strategy has to a great extent been guided by the requirements for managing the SDC-support. Except for the idea of establishing a network, it has not gone much further to specify a strategy of KFH which would be less dependent on SDC-support. The concept of a network as reflected in the KFH strategy is more general than originally suggested by the evaluation of phase II.

Inclusion of / Access for UTEs

For this phase an agreement between SDC, KFH and the COHEP has been established to open the fund also for the Universities of Teacher Education (UTE). Institutionally this opening is reflected by providing a seat for a representative of the UTEs in the Steering Committee. The UTEs were successful in competing with the UAS. Four UTEs actually submitted a total of 5 projects and got 3 of them approved.

Organizational Set-up

In line with the recommendations, KFH approved the establishing of a Coordination Office to manage the program. The mandate was assigned to SUPSI through a bidding process among all UAS, whereby actually 4 of the 7 UAS made an offer.

The basic structure proposed in 2006 with a Steering Committee, and Research Committee has been established. To ensure a professional selection process an

Expert Pool of peer reviewers has been formed for evaluating proposals in terms of scientific quality.

2.2.2 Program Management

Structure

The Coordination Office (CO) at the SUPSI was set up at the beginning of this phase with two part-time positions, i.e. a coordinator and a secretary. It is responsible for managing basically all aspects of the program and it reports to the Steering Committee. The contribution out of the SDC-fund was sufficient for a 20 % position each for the coordinator and the secretary. Since the actual requirements for managing the program were higher (currently 40% coordinator, 20% secretary) SUPSI took over a deficit of CHF 30'000 during the first two years. Since 2009, KFH is contributing an additional amount of CHF 34'000 under the heading of 'implementation of the KFH policy on development cooperation'. It means a 50/50 share of cost between SDC and KFH.

Tasks

The **major task** in managing the program is the organization of the calls for proposals and the follow-up of approved projects. The CO has been instrumental in adjusting the procedures. Technically it has established an internet platform with a facility for automatic on-line submission and with a data base for organizing the calls for proposal and the evaluation process efficiently and for providing access to all approved projects.

In addition, the CO is coaching applicants in the preparation of proposals. This service is highly appreciated by the applicants, moreover because the communication with the CO is facilitated by the multi-lingual competence of the CO-team.

In order to identify additional sources for funding, the coordinator together with members of the Steering Committee was active in making out potential sources and establishing contacts. For reasons explained in chapter 2.2.3 Strategy / Funding, these efforts so far yielded no results.

With regard to information dissemination and support to establishing a network among the UAS, the CO organized three (yearly) information days and several information events at individual UAS. An additional information tool is the internet platform (special section on the KFH-homepage) mentioned above, which is a useful resource for applicants because it provides information about all the approved projects as well as general information on the program.

The idea of forming a network with all interested members of UASs as a 'community of practitioners' (see Evaluation 2006) did not materialize so far. One reason could be that, given the diversity of topics and the small number of projects running simultaneously identifying a common ground proves difficult. Exchange takes place rather on a bi-lateral level between researchers with similar interests, e.g. for

Box 1: Tasks of CO acc. to the KFH-strategy

- 1 Organize in a suitable manner a network among teachers of the UaS and UTE ...
- 2 Implement the SDC program
- 3 Seek additional funding outside the SDC-program
- 4 Support services for network members and UAS and UTEs
- 5 Organizing conferences and continuing education events for members of the network.
- 6 Assure information and experience sharing

establishing jointly a course. Likewise the establishing of a 'Kontaktbörse' (match making) for bringing interested UAS into contact with D&T institutions was not (yet) taken up.

Procedures

The procedures for the submission and selection of the projects have gradually been modified based on the experiences and more or less along the lines drafted in 2006. A major feature added is the peer review by experts, originally thought to be too complicated for the small budgets available per project. An additional step was introduced to allow for a preliminary assessment of the proposal on the basis of a project outline. Calls for proposals are organized bi-annually.

The selection process now comprises four levels of assessment. The formal check by the Coordination Office, an evaluation by one or two experts with a recommendation to the Research Committee which forwards the proposals with a recommendation to the Steering Committee which takes the ultimate decision.

The applicants receive the anonymized expert reviews of their project along with a justification of the approval / rejection. In addition, the coordinator explains the decision by phone, in particular in cases where projects were rejected for lack of funds and not for lacking quality of the proposal.

The criteria applied are available in the form of a guideline for applicants. It appears that three suggestions made in the evaluation 2006 with regard to these criteria have not been integrated:

- a clarification of the relative weight of aR&D, capacity development and technology transfer;
- a decision on how important the criteria of collaboration with SMEs and NGOs as a means to ensure practical application should be;
- a certain focusing of themes.

The last point in the guidelines '*the current wide variety of research themes is retained*' implies that these considerations were made but did not lead to a specific differentiation of the objectives respectively of the criteria.

Box 2: Project selection criteria / KFH guidelines

A project, if possible, should pursue all three objectives, i.e.

- a) application-oriented research and development (aR&D) on development relevant subjects,
- b) building and expansion of knowledge and research capacities and competences, and
- c) knowledge transfer between the institutions involved in the aR&D-project.

- Relevance ... for partner in the D&T country and for development of the partner country.
- The realization of aR&D on subjects relevant to development is one of the program's focal points and is given particular weight.
- Building of knowledge and research capacities in the field of applied research in the partner organizations (individual and institutional capacity development) ...
- Requests with a high degree of originality, potential ... or innovative ideas are preferred.
- Suitability for valorization of results (spread, practical application, political development).
- The current wide variety of research themes is retained. In principle the selection of research themes is determined by the options and interests of the partners in Switzerland and in the D&T countries.

2.2.3 Strategy

Part of taking over responsibility and ownership for the program by the KFH is the further development of strategic issues, namely the question of how to ensure the sustainability of the program. Major parameters for this are:

- a) the importance/relevance of the program for KFH respectively the UAS on the one hand and for SDC on the other hand,

- b) the possibilities of mobilizing (additional) funds by KFH and/or the UAS, and
- c) the policy of SDC for supporting development-oriented research.

Importance / Relevance of aR&D with D&T-partners for UAS / KFH

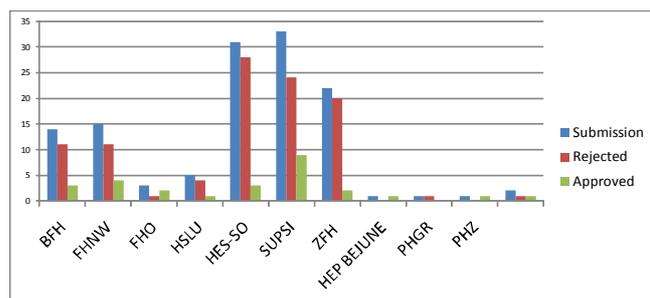
As stated in the evaluation 2006 and reiterated in the KFH-strategy the formal mandate (i.e. expanded mission of UAS) "... requires more aR&D involvement ... and greater national and international networking". Therefore, for KFH and the UAS this program is a good opportunity to position them in the international research environment and to intensify their international networking.

While these statements underline the relevance of the program for the KFH and the UAS, the KFH faces an institutional challenge in sustaining the program. Formally the KFH is representing the interests of the UAS, e.g. with Federal Offices such as SDC, the Federal Office for Professional Education and Technology (OPET) which manages and co-finances the UAS on the national level or with national organizations such as the Swiss National Science Foundation (SNSF).

Practically however, being a conference of eight rectors the KFH has to do this with relatively little resources and by delegating the actual tasks to its secretariat or to designated representatives/task-groups.

At the same time, each school has its own strategy to deal with aR&D in D&T-countries and has different conditions for funding research (depending on the funding by the 'Kanton'). Some of the UAS have established specialized institutes and allocate extra funds to aR&D related to development and/or are involved

Table 5: Number of Projects per School



in joint ventures with Universities and/or implement research mandates for development agencies, while others are hardly active in this field. If the number of submissions is taken as an indicator for the relevance of the program for the different UAS it varies considerably among the schools.

In this complex institutional situation it is difficult to mobilize the KFH for a systematic and intensive lobbying for the program respectively for the mobilization of additional funds. A statement made repeatedly – already during the previous evaluation – underlines this assessment: "*to get KFH acting seriously on this, a substantial amount (i.e. a 2-digit mio. figure) needs to be up for discussion*".

Importance / Relevance of aR&D with D&T-partners for SDC

The formal basis for funding of research by SDC is the Federal Council's Dispatch on the Continuation of Technical and Financial Assistance of Development Cooperation 2008. It stipulates that "*SDC supports technological and research collaboration together with public and private actors and tripartite collaboration between a more advanced developing country, a priority country and SDC*" and that "*the focus is placed on contributions to Swiss research institutions for the promotion of development relevant knowledge and for the support of research partnership*".

programs between Swiss researchers and researchers from the South (i.e. North-South research partnerships)".

Accordingly the Research Strategy of SDC 2008 – 2011 (Forschungskonzept 2008 – 2011) states the following objectives:

- 1 To achieve useful / relevant results for development
- 2 To create research partnerships with institutions in the South and East in order to support their development
- 3 To strengthen related competences in Switzerland

The strategy attributes considerable importance to strengthening the research capacity of partner institutions in D&T-countries.

While SDC has a long tradition and experience in funding research by Universities and Technical Institutes, funding of application-oriented research by UAS is relatively recent. Not least because the UAS entered this field only about 10 years ago. Apart from this program some of the UAS have established themselves as partners of SDC for mandated research and implementation of projects.

This 'history' of SDC-support for research is clearly reflected in the figures of funds allocated to research activities. Whereas SDC spends roughly a total of CHF 45 Mio. per year on research activities, this programme receives CHF 0.3 Mio. per year which is less than 1 % of the total. When compared to the research spending of SDC in Switzerland and on North-South programs (about CHF 16.1 Mio. annually³) the share is still less than 2 %. According to another comparison⁴ the share of UAS in SDC's spending on research in Switzerland for 2007 and 2008 is only 0.2 %.

These figures contrast with the proven potential of aR&D for development cooperation and with the principle of application-orientation as stipulated in the SDC Research Strategy 2008 – 2011.

Funding

In terms of funding aR&D of the UAS two issues are crucial. One is to find additional funding for this program, which is tailored to the conditions of the UAS. The other one are the criteria for funding of research applied in other potential research funds, namely the ones managed by SNSF. There the UAS see a number of handicaps when comparing with Universities and the Swiss Institutes of Technology, i.e.

- the imbalance in the allocation of SDC-funds as shown above.
- the criteria that are usually applied in other programs, e.g. of the SNSF, which do not allow for the financing of (Swiss) researchers out of the fund. This may be appropriate in the case of Universities where researchers are fully paid by the university. For the UAS, which are obliged to mobilize at least 50 % of the cost of a research project from 3rd parties, this is a major problem, because the salary of the researchers is usually the biggest expenditure.

The last evaluation stressed the need to mobilize additional funding for this program to ensure its sustainability. It recommended establishing a dialogue at the highest level (i.e. SDC, KFH, CRUS: Rector's Conference of Swiss Universities, SER, KTI, etc.) because a decision on a basic (re-)allocation of research funds among

³ Evaluation of SDC's Research Related Activities 2010/1, The Policy Practice

⁴ ditto

(categories of) research institutions and the change of criteria and rules for awarding funds, can be taken only at this level.

The KFH, through the president of the D&C Commission and the Coordinator of the program, has made several attempts to involve the KTI in a dialogue, but never got any response. Contacts were also established with the State Secretariat for Education and Research (SER), the Federal Office for Professional Education and Technology (OPET), the Swiss National Science Foundation (SNSF) and with SDC. However, partly for the reasons related to the institutional particularities of KFH, these contacts were rather bi-lateral and informal and have not resulted in any particular initiative.

New Strategy of SDC for Funding of Research

Based on an external evaluation of all its research related activities, SDC has identified the need to reshape its strategy with regard to financing North- South research partnerships. The main features of this reform are:

- All funds allocated for North-South programs will be managed through one single fund for competitive research, based on the principle of matching funds.
- Swiss research institutions can compete for funds in periodic calls for proposals (i.e. every 2 – 3 years)
- Applicants have to form consortia of research institutions from Switzerland and from developing countries (acc. to DAC-list) with the aim to establish partnerships for 6 – 8 years.
- Research financed through this fund will be focused on 'global issues'. In each call for proposals 1 or 2 research foci will be defined.
- The fund will be administered jointly with SNSF.
- It is expected that the fund will have a budget of about CHF 10-12 Mio. per year.

SDC, i.e. the division 'Global Cooperation' will elaborate the new procedure in negotiations with the SNSF and will inform the concerned research institutions about the changes in this part of research funding by SDC.

2.2.4 Assessment

a) Program Management

At the **operational level**, KFH managed to take charge of the program by setting up a professional, effective management which yielded a good selection of research projects. The efficiency is to be seen at two levels. At the project level the relation between the resources needed to prepare a proposal and the funds allocated to a single project is considered as reasonable by those researchers who got their project approved. Those whose project was rejected are a slightly critical about this. At the program level, the established structure and procedures would allow processing more projects and bigger funds with about the same resources for management respectively they would be a good basis for scaling-up the program substantially. While the bi-annual call for proposals provides more chances to researchers, it may not be as efficient as an annual call in this program with its small budget, because it yielded too many project proposals which could not be supported. In other words if at

all, the efficiency of the program is limited due to the small budget available, not due to management performance.

The **selection procedure** is generally appreciated by the experts and the applicants. It is comparable to the standard of other research funds (e.g. SNSF). Most applicants consider the process as transparent (90%), efficient (90%) (i.e. relation between input for preparing a proposal and the available funds is reasonable) and comprehensible (90%). Among applicants whose project had been rejected, transparency was assessed more critically. However, interviews showed that it is more a matter of comprehending the decision. Here the provision of expert reviews sometimes created a problem when it was more or less opposite to the decision of the research committee.

In view of the broad range of themes addressed and the modest involvement of the private sector, the question arises whether the criteria are suitable for achieving the goal of development-relevant aR&D consistently.

KFH-Strategy / Program Development

At the strategic level, the efforts made were not sufficient to put the program on a broader base in terms of funding. Likewise establishing a broad network among UAS-researchers active in development which could support the CO in management tasks (e.g. coaching, arranging contacts) and take over tasks in program development has not yet materialized. Networking still happens mainly among a group of researchers and UAS which have already established themselves in the field.

The main reason for the constraints at the strategic level are definitely the institutional challenges explained above. In addition, one has to consider that a) development cooperation is not the only 'construction site' the UAS are faced with and b) the strategic processes for establishing the UAS in the field of international research are time-consuming. In comparison, the established universities look back on some 40 years.

SDC Strategy

The decision of SDC to pool the funds provided to different small programs and to focus research on key issues that are related to SDC's mandate creates a completely new situation for KFH and the UAS. With this decision, the question of increasing the funds for this special program of the KFH/UASs is no longer relevant.

The new strategy addresses two issues raised in this evaluation, i.e. the efficiency of managing such funds and the thematic focus of the funded research. The strategy aims at increasing efficiency by pooling the funds, allocating substantial amounts per project, making calls for proposals only every second year and defining a fairly narrow thematic focus in these calls. In principle, these criteria as well as the intention to support partnerships of longer duration allow to overcome weak points of the current set-up.

However, for the program of KFH it poses a major challenge, because:

- the structure set up during this phase may become redundant.

- depending on the criteria applied for competitive research, a majority of the UAS may find it difficult to impossible to join a consortium and thus to continue aR&D in partnership with D&T countries.
- the bigger amounts, the longer time frame and the condition of forming consortia create conditions where the experiences with the small, projects tailored to the specific situation of the UAS and its partners may not be relevant any more.

2.2.5 Conclusions

Given the decision of SDC to reorganize funding of research, the program can hardly be continued in its current form in the long run, because the new approach of SDC has certainly its merits. At the same time, the program is producing good results and it has built up momentum among UAS researchers, which should not be undermined by the new SDC policy.

This situation requires a fundamental re-thinking of this program both on the part of KFH / UAS as well as of SDC.

For KFH a number of strategic questions arise:

- After 10 years of building specialized capacity for aR&D in partnership with D&T-countries on a broad base, the question is whether it is time to consider a certain specialization among the UAS, by concentrating on those UAS which already have established themselves in this field to the point where they have good chances to sustain also in competition with universities.
- In line with this, the KFH has to consider whether it can and should continue subsidizing the initiation of partnerships to give as many UAS as possible the chance to build up their capacity to compete with universities for research funds. Continuing with an approach tailored to the situation of the UAS would mean that in the long-run KFH has to substitute the funds provided by SDC so far.
- Shall and can the KFH support the UAS in positioning themselves in the competitive research foreseen by SDC. This relates to further strengthening the capacity of the UAS but maybe even more to make sure that the criteria of the new fund do not discriminate the UAS.
- The alternative is to leave it to each UAS whether and how they want to involve and position themselves in this field.
- Shall and can the structure set up for the program with the experience accumulated be put to good use for supporting the UAS in competitive research (not only SDC-fund) or is such a centralized resource not practical for the institutional reality of the KFH / UAS.

On the part of SDC, the establishing of a competitive research fund along the lines drafted in the management response to the external evaluation will result in a substantial structural adjustment of the "Swiss landscape" of development-oriented research. Many of the institutions that benefited so far from smaller, tailored funds may no longer be able to participate. The type of research partnerships and of research will certainly change. Therefore, the strategic question for SDC is what it will gain and what it will lose with the new strategy, to see how the possible loss of

competence and knowhow can be minimized. The main issues with regard to this program are:

Gains	Losses
<ul style="list-style-type: none"> • Efficient handling of funds: In principle efficiency is expected to be improved. • Thematic focus aligned to SDC-, respectively to development priorities • Selection of research institutions based on broad competition implying higher quality, but not necessarily guaranteeing it. • Possibility of combining basic research and aR&D in the consortia 	<ul style="list-style-type: none"> • Compared to small projects, big consortia and research programs have a certain inherent inefficiency due to scale. • Multitude of partnerships between Swiss institutions and D&T-institutions which means fewer D&T-institutions are supported / get a chance to participate, namely smaller ones. • With only one call for proposals on fairly focused themes, competition is limited (because few Swiss institutions will qualify for a particular theme), and certain UAS and disciplines will no longer have a chance to participate, which could mean that the related Swiss research capacity is at stake. • With only a few UAS involved, aR&D may be utilized for solving concrete development-related problems even less than at present. • The projects funded by this program represent what is called 'Swissness' well. They are based on direct partnership; promote Swiss know how and management qualities; create tangible results which can be used to improve visibility. • Fewer UAS involved in aR&D and therefore engaged in development cooperation means less opportunities to disseminate the DC-related know how to UAS-students. • Ultimately this could also lead to a general disinterest and disengagement for development cooperation among UAS.

Since it is likely to take some time before the new policy is operational, it is important to find an interim solution for this program to avoid a gap at this point, where UAS researchers are ready with good project proposals and are relying on this program. Such a gap could create considerable frustration and cost good will for SDC.

3 Recommendations

In this particular situation, where one partner communicates a basic change in policy, which challenges the existing set-up while the details of how the policy will be implemented are not yet known, recommendations are basically confined to the strategic level.

3.1 SDC / KFH – Short-term

To address the likely gap in support mentioned above and considering the strengths of this program, we recommend two lines of action, one for a short-term solution and one for the long-term solution.

On the short-term, we recommend:

- ➔ An extension/continuation of the program to ensure a continued support to a research area which is anyhow under-funded.

With a view on the requirements of designing a long-term solution, we do not suggest major changes in the current set-up, because it is basically functional.

However, the duration of the extension has to be negotiated considering that time is required for establishing the framework conditions of the new SDC-fund in such a way that universities and UAS have equal chances. (see recommendations below).

3.2 KFH / UAS

3.2.1 Strategy

To find a long-term solution in discussion with SDC, KFH needs to discuss and decide on some of the strategic questions mentioned above urgently. The KFH has to define its position vis-a-vis SDC in broader terms. In principle, we see two scenarios on the part of KFH:

Scenario 1: KFH wants to continue implementing a joint strategy in aR&D with D&T-countries for *all* UAS. This would allow the continuation of supporting all interested UAS in implementing research in this field by establishing research partnerships.

Scenario 2: KFH is not in the position to implement a joint strategy, which means each UAS will have to decide on its own whether and how to invest in aR&D with D&T-countries.

Against this background, we recommend:

- ➔ KFH addresses the strategic questions (see 2.2.5) with high priority and decides on a future strategy for aR&D with D&T-countries which is less dependent on SDC-support.

For this purpose KFH sets up a task force with a clear mandate. The task force should either be representative for all the UAS and KFH or it combines a small group of experts with a consultation process that makes sure that the positions of all schools are adequately considered.

In a first step the task group needs to clarify which of two basic strategies should be followed by KFH. This requires a consultation among the UAS (rectors and researchers) to find out how strong their commitment for a joint strategy still is in the absence of a special SDC-fund for the UAS. The choice is directly linked to the scenarios:

Strategy 1: 'Pooled competition': KFH implements a joint strategy which involves support to the UAS in building capacity for competitive research in development cooperation.

Preconditions:

KFH is in the position to:

- get the commitment from all UAS to pool resources;
- mobilize substantial funds to maintain research activities independent of the SDC-fund;
- continue to maintain a joint coordination office to implement the strategy practically. This office should build on the current structure but with a broader ToR.

Strategy 2: 'Free competition', the UASs compete for research projects on the basis of their own capacity and resources.

Preconditions:

- no compulsory preconditions, but
 - maintaining a network among the interested UAS for exchange of know-how, lobbying with funding agencies (e.g. SDC), etc.
- The network should not only involve researchers but also rectors of the UAS to ensure the institutional backing.

Since the relevance of aR&D in development cooperation is most likely growing, irrespective of SDC policy and strategy chosen by KFH, we recommend:

- ➔ KFH respectively the interested UAS invest into a functional network, which has the capacity to support KFH in lobbying for the interests of the UAS in this field.

In case KFH opts for strategy 1 'pooled competition' we further recommend:

- ➔ KFH finds ways and means to continue a joint coordination unit. The scope of this unit would shift from managing a research fund (as of now) to mobilizing funds, facilitating the network, coaching of researchers, information / knowhow exchange. Thereby the knowhow accumulated in the current unit should be capitalized.

3.2.2 Funding of aR&D related to Development

Irrespective of the strategy chosen, the question of adequate/ more proportionate access for the UAS to research funds related to development cooperation remains an issue. This does not only relate to the new policy of SDC for program-funding, but has to be seen from a broader perspective and accordingly to be tackled at highest level. We recommend:

- ➔ KFH sets up a team (not necessarily the task force) which can initiate and run negotiations with the adequate partners. The aim is to define modalities (criteria and procedures) which allow for a (gradual) adjustment of the allocation of government funds for research in development cooperation in general. An immediate objective is to negotiate with SDC (and the SNSF) the criteria for the

new fund to ensure that the UAS get a more level playing field. i.e. criteria which recognize the different conditions (of funding) with the UAS and the Universities respectively.

- Depending on the strategy chosen, the KFH and/or the UAS improve the internal funding of aR&D with D&T-countries to increase their competitiveness.

3.3 SDC

The recommendations for SDC are fairly simple and straight forward. SDC should consider the relevance of aR&D for development cooperation and the benefits of involving UAS and D&T-institutions on a broad basis (as highlighted in this report). At the same time it should be aware that the new policy is shaping the Swiss 'landscape' of development-oriented research. This means the implementation of the policy is not an administrative act of communicating the new conditions to the partners, but it should be considered a negotiation process in true partnership with established partners. Therefore, we recommend:

- SDC extends the current program at least until modalities of the new fund are clear.
- SDC seriously considers a substantial augmenting of the funds for the transition period to make more efficient use of the existing management (fund) and research capacity (pipeline of research proposals).
- SDC opens the discussion of modalities⁵ for the new fund to representatives of KFH to ensure that the particular situation of the UAS (compared to Universities) is considered to the extent that the UAS do not have to compete with a handicap.
- SDC together with the proposed task force of the KFH discusses ways and means to improve the access of the UAS to mandated research.

⁵ According to the management response SDC intends to design the fund together with the SNFS and inform partners about the modalities afterwards.



Rektorenkonferenz der Fachhochschulen der Schweiz
Conférence des Recteurs des Hautes Ecoles Spécialisées Suisses
Confederaziun da' Rettura' da' Le Scuole Universitarie Professionali Svizzere
Rectors' Conference of the Swiss Universities of Applied Sciences

KFH Development Cooperation Coordination Office

External evaluation KFH-DC Program (2007 – 2010):

Terms of Reference for the evaluation institution

9. June 2010

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1. KFH-DC Program: background and context

Since 2000 the Swiss Agency for Development and Cooperation (SDC) provides funding to the Rectors' Conference of the Swiss Universities of Applied Sciences (KFH) within a program of applied research in developing and cooperation countries (KFH-DC Program). Projects within this program have been realized since the beginning in partnership with academic institutions in DC countries.

During the first two phases of this program (2000 – 2006), projects were coached by a KFH-Committee and Swisscontact as professional partner and know-how forum in development and cooperation. Between August 2005 and March 2006 an external evaluation of the second phase of the program (2003-2006) was performed by KEK-CDC Consultants (see KEK report April 2006).

Following the external evaluation of 2006, a new strategy for applied research in developing and transition countries has been elaborated by the KFH (see "KFH-DC Strategy document"). With a formal decision by KFH (14. December 2006) it has been decided to create an internal structure able to promote approve and follow research projects in DC countries. An operational organization able to efficiently assign funds to researcher following the principles of competitive research (call for proposals/peer review) has been created.

The most important organs of this structure are:

- A Steering Committee with representatives of both Universities of Applied Sciences (UAS) and of Universities of Teacher Education (UTE) under the presidency of KFH
- A Scientific Committee with a representative of SDC (Mr. Gnägi from 2007 to mid 2008, Ms. D. Rychen from mid 2008 till now).
- A pool of experts for the peer reviewing process (5 UAS experts and 5 external experts)
- A Coordination Office (with the principle of a mandate attributed to one of the UAS)

The Coordination Office was created on 15.06.2007 at the Swiss University of Applied Sciences of Southern Switzerland (SUPSI) (see Vertrag KFH-SUPSI), funding was allocated until 30.4.2011.

The Office has been led by Dr. Federico Flückiger till Juli 2008 and by Dr. Claudio Valsangiacomo till now. The activity of the KFH-DC program is documented within its webpage www.kfh.ch/dc. All funded projects can be accessed using the database.

From its beginning in 2007, the Coordination Office has organized:

- 6 calls for proposals (last call will be closed on 9. June 2010). Out of a total of 128 submitted projects 24 were funded (2-3 projects of last call not yet included). Budget funded by KFH-DC was approx. 1.2 Mio, total budget was approx. 2.8 Mio (funds by cover maximal 50%!).
- 3 Information days (2007 Zug, 2008 Bern, 2009 Fribourg)
- 3 meetings with the Expert pool (Olten)
- 20 meetings with Steering and Scientific Committee (Bern and Olten)
- Several information events in UAS

After the publication of the last 6th call for proposals within the KFH-DC program, the Steering Committee has decided to proceed with an external evaluation. The proper KFH-DC program reports already shows that most of the expected results were met. The external evaluation is planed to contribute to help in to focus on permanent improvement and consolidation of the program. The report will be a support for decision making for the UAS, SDC, and other potential donors.

2. Purpose, objectives and audience of the evaluation

The evaluation is commissioned by KFH who is expected to act on the results.

The objective of the evaluation is to:

- describe the evolution of the KFH-DC program during the last three years from 2007 to 2010 and to assess the program in terms of impact, efficiency, scientific quality, interdisciplinary and relevance for development.
- Describe possible scenarios for scaling-up the program in the future.

The evaluation has to produce a report to be used by the Coordination Office, the Steering Committee and the Scientific Committee of the KFH-DC Program, SDC, and other relevant constituencies (e.g. other federal offices financing research in DC countries) for judging the evolution and performance of the KFH-DC program since 2007 (last KEK-CDC Evaluation).

The report will be published on the webpage of the KFH-DC program.

3. Evaluation issues and key questions

The following issues and key questions will be addressed by the evaluation.

Needed assessments are listed as follows:

- Assess what adjustments have been made since the previous evaluation (Phase II 2003 – 2006)
- Assess what adjustments might be necessary for a continuation of the program, in particular: i) to what extent the program responded to the issues of the KFH-DC Strategy (see specific document)? ii) procedure for submitting, peer reviewing, accepting projects respects the given selection criteria?
- To what extent is the program contributing to a long-term positive effect on research partnerships with developing countries?
- Assess the major achievements of the program to date in relation to the quantity and quality of the submitted projects. Assess as well the qualitative evidence (e.g. “swissness”, opinions on single projects, financing of projects from other institutions, awards given to single projects etc.).
- Assess major failures of funded projects.
- Identify any relevant experiences that should be highlighted e.g. case-studies, stories, best practices.
- Assess to what extent resources are being used economically to deliver the project. In particular, Is financial spend in line with plan?
- Assess other program management factors important for delivery, such as: i) working relationships within the team (Steering committee, Scientific committee, expert-pool, coordination office), ii) working relationships with partners (researcher) and donors (SDC), iii) internal and external communication, iii) impact of the coordination office on dissemination of information among UAS.
- Assess the key factors affecting sustainability of the program, such as: i) acceptance of program within UAS, ii) how will it be possible to ensure continuity of project activities in the future, iii) what are the cost implications for scaling up impact?
- Assess the way the program and it's projects are and can be used in the teaching programs of both institutions (in Switzerland and in the DC).

4. Methodology

For data collection following documents are made available to the evaluation partner:

- Webpage of the program www.kfh.ch/dc
- Project database (including outlines, full project description and peer reviews),
- Project monitoring documents (intermediate reports, final reports, short descriptions of projects in pdf format 2 pages)
- Protocols of all meetings (Steering committee, Scientific committee, Expert pool)
- Programs of Information days
- Other relevant documents

Following key informants should be interviewed (if possible by phone):

- Representatives of KFH-DC Program (Coordination Office, Steering Committee, Scientific Committee, Expert Pool).
- Researcher (applicants) both of accepted and rejected projects. Linguistic conditions that may affect the methodology must be taken into account, the official language used for communicating with researchers is either English or the specific national language of the applicant person (D, F, I).
- Representatives of Partner institutions in DC countries.
- Representatives of institutions: SDC, KFPE, SER

5. Deliverables and timetable

Deliverables: Draft report, to be finalized in a final report (Format see Annex)

Timetable:

Beginning of evaluation June 2010
Draft report: beginning of September 2010
Final report: 30. September 2010

6. Documents to be consulted

Data sources and documents include:

- Protocols of all meetings (Steering Committee, Scientific Committee, Exper-Pool) and information days.
- KEK Report, April 2006. *“Evaluation Phase II (2003 – 2006) des Programmes Initiierung und Förderung von Forschungspartnerschaften der Schweizer Fachhochschulen mit Entwicklungs- und Transitionsländern”*.
- Vertrag KFH-SUPSI, 15.06.2007. *„Ansiedlung der KFH-Koordinationsstelle Entwicklungszusammenarbeit an der SUPSI“*.
- KFH-DC Strategy document 2006. *„Applied Research and Teaching in Partnership with Developing and Transitional Countries”*.
- KFH-DC Program, webpage: www.kfh.ch/dc
- Swiss Commission for Research Partnerships with Developing Countries (KFPE), 2009. *“Success Stories, Cooperating for Success, Benefits of Research Partnerships with Developing Countries”*.
- Other relevant documents to be discussed
- Vertrag KFH-DEZA
- DEZA external evaluation

7. Profile of the evaluator

The specific skills needed for the evaluator are:

- familiarity with the country / culture, Swiss education system, in particular with the UAS curriculum;
- language proficiency in English and at least 1 other Swiss national language;
- evaluation experience in the context of development countries.

8. Offer and contact

The evaluation institution has to address its best offer **not later than 8 June 2010** to:

Dr. Claudio Valsangiacomo
KFH-DC Coordination Office
Galleria 2, Via Cantonale
CH-6928 Manno

claudio.valsangiacomo@supsi.ch

Tel. +41 (0)58 666 62 98
Cell. +41 (0)79 337 33 77

Annex: Required format for the evaluation report

Language: English

Title Page: 1 page (*verso*), including project title, date, authors and their affiliations (with contacts), KFH-DC contact point for the evaluation (Coordination Office), 1 page (*recto*) including table of contents, acronyms and abbreviations.

Executive Summary (1 page), including:

- Brief introduction and context
- Purpose and expected use of the evaluation
- Objectives of the evaluation
- Summary of the evaluation methodology
- Principle findings and conclusions, especially relating to recommendations for the continuation of the program

Main Report (max 15 pages)

- Brief description of the KFH-DC program, including in particular a reference to the previous evaluation and its output/recommendations.
- Purpose of the evaluation and audience for and use of the evaluation
- Evaluation methodology
- Evaluation findings, including: quality/quantity of projects, relevance, effectiveness, impact within UAS, sustainability
- Conclusions and recommendations:

Annexes to the evaluation report (only relevant documents have to be annexed):

- Terms of Reference for the evaluation
- List of individuals interviewed
- List of supporting documentation reviewed
- Research instruments: questionnaire, interview guide(s), etc. as appropriate

Details of Evaluation Method

Survey approved projects

Subject	Approved projects (27 in phase III 2007-2010) with some target group specific questions but most questions addressing all partners
Target group	48 partners in total, among them 23 partners from Swiss UAS 25 partners from developing countries
Return	37 respondents (77%) 21 partners from Swiss AUS (91%) 16 partners from developing countries (64%)
Duration	3 weeks and 5 days, Weeks 31-35 (05.08.2010 - 31.08.2010)
Instrument	Web-based questionnaire, surveymonkey.com
Special issues /comments	Prolongation due to poor return from august 22 to August 31 due to summer vacations Availability of DC partners was a challenge (wrong e-mails, poor communication infrastructure, etc.)

Survey rejected projects

Subject	Rejected projects (104 in phase III 2007-2010)
Target group	104 applicants of Swiss UAS
Return	23 applicants of Swiss UAS (23%)
Duration	3 weeks and 2 days, Weeks 32-35 (09.08.2010 - 31.08.2010)
Instrument	Web-based questionnaire, surveymonkey.com
Special issues	none

Returns from Survey and Interview Partners

Return of survey (1/2)

		Return	
		Swiss Partner	Foreign Partner
1.	Akkari Improving basic education	x	-
2.	Development of nutritionally balanced diets for Nile tilapia	x	x
3.	VeggieFish2	x	x
4.	Site-specific agricultural development as a new paradigm for small-scale tropical fruit growers	x	x
5.	Appropriate post-disaster housing reconstruction	x	x
6.	Empowerment of social services and the role of the social research	x	x
7.	Influence of different contexts of socialization on the development of juvenile delinquency in postwar Bosnia and Herzegovina	x	x
8.	Research, Identification and Development of Plastic and Agricultural Waste Products that can be deployed as Building Materials for Affordable Housing developments in Northern and Eastern Nigeria	x	x
9.	Assessing the environmental footprint of earth	x	-
10.	Geology, mineralogy and geochemistry of ochres	x	-
11.	From the geosciences to the "material culture"	x	-
12.	Ressourcenschonender Ackerbau	x	x
13.	Community-Based Natural Resource Management: The Role Of Communities, Tanzania	x	-
14.	Understanding and enhancing the transfer of knowledge about sustainable agricultural production to Ethiopian smallholder farmers	x	-

Return of survey (2/2)

15.	Is resettlement a viable strategy to mitigate the risk of natural hazards? Issues and experiences from the city of Santa Fe	X	-
16.	Impact of Open Innovation Models to achieve a Sustainable Value Chain from Production to Consumption	X	X
17.	Nondisabled children's attitudes towards disabled children	X	-
18.	Caribbean Water Monitor: Small island states, climate change and water resources	X	X
19.	Shallow Landslide Vulnerability Assessment	X	X
20.	Enabling Health Communication - Feasibility Study	X	-
21.	Renaissance of urban avenues (bus and pedestrian priority)	-	X
22.	Concepts of Citizenship among Primary School Students in Kosovo	X	X
23.	Groundwater vulnerability assessment in La Habana city area, Cuba	X	-
24.	Towards Social Integration: Professionalising Social Work Practice in the Penal System of the Russian Federation	X	X
25.	Cities Without Slums	X	X
26.	"Dhajji traditional para-seismic building technique scientific verification and development training material"	-	X
27.	Collaborative Research on Success Factors in the Design and Use of E-Learning scenarios in Nepal	X	X

List of Persons interviewed

Organisation	Name	Interview	
		F2F	Telephone
Swiss Programme Partner			
KFH-DC Coordination Unit at SUPSI	Claudio Valsangiacomo	x	
KFH-DC Coordination Unit at SUPSI	Elena Torrisi	x	
Federal Office for IT & Telecommunication (former Coordinator KFH-DC at SUPSI)	Federico Flückiger		x
Consultant (former President of KFH-DC Commission) – Steering & Scientific Committee	Hans Kaspar von Matt		x
BFH - Steering & Scientific Committee	Kurt Wüthrich		x
HES-SO - Steering & Scientific Committee	Lucas Luisoni		x
FHZ - Steering & Scientific Committee	Markus Diebold		x
Director of SUPSI	Franco Gervasoni	x	
FHNW - Steering & Scientific Committee	Urs Mühletaler		x
Expert reviewer	Andras November		x
BFH - Expert reviewer	Fritz Schneider		x
KFPE – Commission for Research Partnerships with Developing Countries	Jon Andri Lys		x
SDC – Section Research and Science - Steering & Scientific Committee	Dominique Rychen		x
SNFS	Eveline Glättli	x	
State Secretariat for Education and Science (former Director of SUPSI)	Mauro Dell'Ambrogio		x
Swiss Project Partner			
SUPSI	Marcus Hoffmann		x
HEIG-VD	Andres Perez Uribe		x
FHNW	Sebastian Linxen		x
ZHAW	Andreas Graber		x
FHNW	Barbara Schürch		x
SUPSI, DADC	Sebastian Pera		x

Organisation	Name	Interview	
		F2F	Telephone
FHNW	Elena Wilhelm		x
SUPSI – Researcher & Expert reviewer	Jennifer Duyne		x
BFH	Charles Job		x
SUPSI	Daniel Pittet	x (focus)	
SUPSI	Massimiliano Cannata	x (focus)	
SUPSI	Manuel Lüscher	x (focus)	
SUPSI – project rejected	Davide Antognazza	x (focus)	
SUPSI – project rejected	Albert Jornet	x (focus)	
SUPSI – project rejected	Ricardo Monleone	x (focus)	
SUPSI – project rejected	Massimo Botta	x (focus)	
SUPSI – project rejected	Allesandro Puiatti	x (focus)	
SUPSI – project rejected	Renzo Longhi	x (focus)	
SUPSI – project rejected	Jürg Hammer	x (focus)	
Partner in Development Country			
Zhejiang University, China	Jun Jin		x
Nepal Medical College	Anil Kumar		by e-mail
Ahmadu Bello University, Nigeria	Masud Abdulkarim		x
CIAT, International Centre for Tropical Agriculture, Columbia	Andy Jarvis		x
National Fisheries Resources Research Institute, Uganda	Margaret Aanyu		x
SOFAMA, Association of Producers and Processors of Leguminous Plants, Moldau	Valentin Crismaru		x

Recommendations from Evaluation Phase II - 2006

Weiterentwicklung des Programms in drei Richtungen:

- Ausbau des Programms durch bessere Nutzung der vorhandenen Ressourcen.
- Stärkere Integration von "Forschungspartnerschaften mit E&T-Ländern" in der FH-Landschaft, mit der längerfristigen Zielsetzung den Stellenwert der Thematik "Entwicklung und Nachhaltigkeit" an den FH in Forschung und Lehre zu stärken.
- Verbesserung des Stellenwerts von anwendungsorientierter Forschung im Forschungskonzept der Schweizer Entwicklungszusammenarbeit

1) Integration von "Forschungspartnerschaften mit E&T-Ländern" in der FH-Landschaft

- Entwicklung einer Strategie
- Einbezug der Pädagogischen Fachhochschulen
- Erfahrungsaustausch, Vernetzung:
d.h. Erstellung der Leistungsübersicht, um sie über eine Internet-Plattform leicht greifbar zu machen Erweiterung der Erfahrungsgruppe zu einer 'community of practioners'

2) Verbesserung des Stellenwerts der aF&E in der EZA:

- Stellenwert von aF&E im Vergleich zu Grundlagenforschung im Bereich EZA?
- Schweizer Bildungsangebot valorisieren und FH in der internationalen Forschung positionieren und qualifizieren?
- Zugang zu Mitteln entsprechend dem Stellenwert verbessern
- Interesse der EZA an der Integration von EZA-Themen in der Lehre an FH

3) Ausbau des DEZA-Programms

- Bekanntmachung des Programms, Kontakte schaffen
- Informationsaustausch
- Kontaktbörse
- Finanzrahmen pro Projekt erweitern, Dauer der Unterstützung verlängern

4) Weiterentwicklung von operationellen Aspekten

- Definition der Zielsetzungen (Definition von Applied Research / Zusammenarbeit mit KMU & NGO)
- Selektionsverfahren: Kriterien und Ablauf – fachliche Aspekte spezifischer beurteilen
- Programmleitung: Integration in KFH-Strukturen

Two Case Studies: Good Practice

1) Development of nutritionally balanced diets for Nile tilapia, Uganda

Origin

The idea for a research partnership came from the Ugandan partner who addressed an extended proposal to ZHAW Wädenswil. The local government had informed the research institutions about the existence of research funds abroad. What was initially planned as a project for Swiss National Science Foundation was finally executed with KFH support.

Project

In a simply designed research setting with fishponds the diet of Nile tilapia is optimised by using vegetarian and cheap locally available ingredients.

Research partnership

The partnership was established with a researcher from the National Fisheries Resources Research Institute of Uganda. She is not allowed to work for the project during her official working hours. That is why the KFH fund is partly used to cover the partner's salary. Furthermore, students from both countries are involved by writing papers about the topic. For the Ugandan partner an important input is the delivery of international research publications by ZHAW by email. These papers are not easily accessible to the partner because of limited access to Internet.

Development impact

Small rural fish farmers benefit due to cheap nutrition leading to increased production and fish food producers gain new market shares. Within local people's diet fish is a very important protein supplier. Moreover, ZHAW sees an opportunity for Swiss fish farmers in installing fishponds heated with bio-gas for Nile tilapia production and breeding them with Ugandan vegetarian diet. The fish food might be imported from Ugandan producers.

Sustainability

Already during the actual main project phase the funds are scarce and there is a deficit due to a cutting of the requested budget. For a continuation of the research partnership the financial questions are not solved. On the other hand, Ugandan food producers are already involved in the project and play an important role in the distribution of fish food.

2) Site specific agricultural development for small scale tropical fruit growers, Columbia

Origin

The contact between CIAT (Centro Internacional de Agricultura Tropical) and HEIG-VD (Haute école d'ingénierie et de gestion) existed already in the past through a project financed by SECO. The present project is of a bigger impact and the role of Swiss UAS consists in developing the methodological tools.

Project

With the help of small fruit producers who collect data about the growth and harvest of tropical fruit knowledge and information serving the optimisation of the production is gathered. With the National Fruit Growers Association an important partner took over the project and will invest more than 1.5 mio \$ in the continuation of the research.

Research Partnership

CIAT is a pure research institute funded by international donors. In Switzerland two PHD students (registered at Lausanne University) are involved in the research. Furthermore, in optional courses the project is used to illustrate practical application of a theoretical model.

Development impact

Research is needed in order to improve the production and for a more sustainable use of small farmer's land. Actually, most of Columbian fruits are quantitatively and qualitatively not ready for a production on a big scale. Thanks to the National Fruit Producers Association research can be lead on a broader base and results will lead to a direct benefit for the producers.

Sustainability

Thanks to the strong partner who will continue with the research the sustainability of the project is assured. The UAS has the intention to keep in touch with CIAT and offer selective support without being part of the following project.

KFH-DC Program (Swiss Institutions only)

1. Benefits for your institution: What are the benefits for your institution from the project with regard to <i>contacts and cooperation</i>?					
	true	mostly true	partly true	not true	Response Count
Additional contacts with research institutions	71.4% (15)	19.0% (4)	9.5% (2)	0.0% (0)	21
New cooperation with research institutions (joint activities)	59.1% (13)	22.7% (5)	18.2% (4)	0.0% (0)	22
New or intensified cooperation with private companies	14.3% (3)	4.8% (1)	19.0% (4)	61.9% (13)	21
New or intensified cooperation with development projects / Non-Government Organizations (NGO)	42.9% (9)	23.8% (5)	9.5% (2)	23.8% (5)	21
	<i>answered question</i>				22
	<i>skipped question</i>				1

2. What are the benefits for your institution from the project with regard to competitiveness?

	true	mostly true	partly true	not true	Response Count
Improved access to new methods of applied research	39.1% (9)	13.0% (3)	30.4% (7)	17.4% (4)	23
Improved competence in the management of applied research (as a result of above)	43.5% (10)	30.4% (7)	17.4% (4)	8.7% (2)	23
Improved access to up-to-date scientific knowledge	30.4% (7)	30.4% (7)	30.4% (7)	8.7% (2)	23
Improved scientific competence (as a result of above)	47.8% (11)	30.4% (7)	13.0% (3)	8.7% (2)	23
Improved competitiveness within the international research community	43.5% (10)	39.1% (9)	17.4% (4)	0.0% (0)	23
Additional publications in relevant scientific journals	26.1% (6)	17.4% (4)	26.1% (6)	30.4% (7)	23
Curricula of our courses have been adjusted	22.7% (5)	22.7% (5)	31.8% (7)	22.7% (5)	22
	answered question				23
	skipped question				0

3. What are the benefits for your institution from the project with regard to *teaching*?

	true	mostly true	partly true	not true	Response Count
We established new training offers for students	22.7% (5)	36.4% (8)	9.1% (2)	31.8% (7)	22
We established new training offers for lecturers	4.5% (1)	27.3% (6)	18.2% (4)	50.0% (11)	22
Teaching methods have been adjusted	9.1% (2)	18.2% (4)	36.4% (8)	36.4% (8)	22
Enhanced link between teaching and research	27.3% (6)	31.8% (7)	36.4% (8)	4.5% (1)	22
We introduced co-teachings / seminars with guest lecturers from partner organisations	18.2% (4)	13.6% (3)	27.3% (6)	40.9% (9)	22
	<i>answered question</i>				22
	<i>skipped question</i>				1

4. What are the benefits for your institution from the project with regard to *material resources*?

	true	mostly true	partly true	not true	Response Count
Improved access to funds for research	34.8% (8)	17.4% (4)	26.1% (6)	21.7% (5)	23
Further development of infrastructure / equipment (e.g. laboratories, computers, etc.)	0.0% (0)	0.0% (0)	17.4% (4)	82.6% (19)	23
Improved and updated library / documentation	8.7% (2)	13.0% (3)	34.8% (8)	43.5% (10)	23
	<i>answered question</i>				23
	<i>skipped question</i>				0

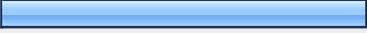
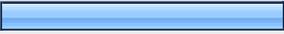
5. Beneficiaries of your research project: Who are the immediate beneficiaries respectively users of the results of the project?

	Response Percent	Response Count
Private sector organizations (industry, service providers, etc.)	13.0%	3
Public sector (Government agencies, state-owned industries)	87.0%	20
Official Development Aid (Government or Multilateral Development Agencies)	39.1%	9
Other development organizations, e.g. NGOs,	52.2%	12
Others (please specify) and/or comments		7
	answered question	23
	skipped question	0

6. Link research - teaching: Do you integrate the project experience or results in the teaching activities of your institution and in which sort of classes?

	Response Percent	Response Count
Seminars	40.9%	9
Lectures	68.2%	15
Workshops	40.9%	9
Internship offer for students	36.4%	8
Reserach opportunities for students (paper writing)	36.4%	8
None, no direct practical use	0.0%	0
Others (please specify), Comments		2
	answered question	22
	skipped question	1

7. Does your institution make broad use of the results of the reserach partnership and at which level?

		Response Percent	Response Count
Bachelor level		59.1%	13
Master level		45.5%	10
Post graduate courses		4.5%	1
Workshops (open for different levels)		45.5%	10
No broad use of experience		13.6%	3
answered question			22
skipped question			1

8. Contacts with your partner institution

	yes, absolutely	more or less	not sufficient	completely insufficient	Response Count
Frequency of contacts (<i>project 1</i>): Are the contacts between you and your partner sufficiently frequent?	50.0% (11)	40.9% (9)	9.1% (2)	0.0% (0)	22
Information sharing (<i>project 1</i>): Do you get all the information needed from the partner(s)?	54.5% (12)	31.8% (7)	13.6% (3)	0.0% (0)	22
Frequency of contacts (<i>project 2</i>): Are the contacts between you and your partner sufficiently frequent?	62.5% (5)	37.5% (3)	0.0% (0)	0.0% (0)	8
Information sharing (<i>project 2</i>): Do you get all the information needed from the partner(s)?	50.0% (4)	25.0% (2)	25.0% (2)	0.0% (0)	8
				Comments:	3
answered question					22
skipped question					1

9. Other contacts: Apart from your partner organisation, with which kind of organisations did you establish contacts in the context of the research project?

	Response Percent	Response Count
SDC (Swiss Development Cooperation)	62.5%	10
Embassies (Swiss, others)	31.3%	5
Private NGOs (Non-governmental Organisations)	56.3%	9
Other bi-lateral or multi-lateral development agencies (e.g. GTZ, DFID respectively UN-agencies,Banks)	31.3%	5
Others (please specify)		6
answered question		16
skipped question		7

10. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY

Selection procedure: How do you assess the selection procedure for the Project?

	fully agreed	partly agreed	not really agreed	not at all	Response Count
Transparent (e.g. based on transparent selection criteria)	57.1% (12)	33.3% (7)	9.5% (2)	0.0% (0)	21
Efficient	66.7% (14)	28.6% (6)	0.0% (0)	4.8% (1)	21
Comprehensible	70.0% (14)	20.0% (4)	5.0% (1)	5.0% (1)	20
Comments on the selection process:					4
answered question					22
skipped question					1

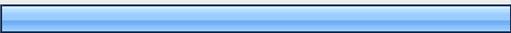
11. TO BE ANSWERED BY PARTNER INSTITUTIONS ABROAD ONLY

Deciding on the project's objectives and financial structure: To what extent have you been involved in developing and deciding ...

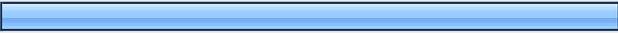
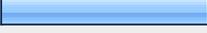
	Fully	More or less	Not sufficiently	Not at all	Response Count
...on the topic of the project?	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0
...on the objective of the project?	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0
...on the financial layout of the project?	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0
				Comments:	0
<i>answered question</i>					0
<i>skipped question</i>					23

12. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY

How do you consider the time period between the deadline for the submission of the project and the decision communicated by the coordination office of KFH?

	Response Percent	Response Count
short 	8.7%	2
appropriate 	82.6%	19
rather long 	4.3%	1
too long 	4.3%	1
	Comments:	0
<i>answered question</i>		23
<i>skipped question</i>		0

13. Own resources: What was the share of your institution of the total project costs *in absolute terms*? (including staff costs)

		Response Percent	Response Count
<i>project 1: in absolute terms (an estimate is sufficient)</i>		100.0%	18
<i>project 2: in absolute terms (an estimate is sufficient)</i>		33.3%	6
<i>answered question</i>			18
<i>skipped question</i>			5

14. Own resources: What was the share of your institution of the total project

share in %	0-10%	11-20%	21-30%	31-40%	41-50%	51-60%
<i>project 1: in percent (%) (an estimate is sufficient)</i>	0.0% (0)	5.9% (1)	11.8% (2)	23.5% (4)	35.3% (6)	5.9% (1)
<i>project 2:: in percent (%) (an estimate is sufficient)</i>	0.0% (0)	16.7% (1)	0.0% (0)	16.7% (1)	50.0% (3)	16.7% (1)

15. Efficiency ('cost - benefit')of partnership: How do you judge the benefit of the research partnership for your institution in comparison to the financial and human resources invested?

	very poor	poor	average	good	very good	Rating Average	Response Count
Rating of efficiency (input to benefit ratio)	5.0% (1)	5.0% (1)	25.0% (5)	50.0% (10)	15.0% (3)	3.65	20
<i>answered question</i>							20
<i>skipped question</i>							3

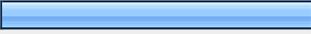
16. Importance of financial contribution: How important was the financial contribution of the "Program for the Promotion of Partnership for Applied Research" for the implementation of this project?

	Response Percent	Response Count
Project would not have started without the program's contribution	81.8%	18
Project would have been different (e.g. smaller) without the program's contribution	9.1%	2
Project would have been the same but financed from other sources	4.5%	1
Project would have been designed differently, i.e. not necessarily in line with the program's criteria	4.5%	1
Comments:		3
<i>answered question</i>		22
<i>skipped question</i>		1

17. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY Efficiency ('cost - benefit') of KFH-program support: How do you judge the benefit of the contribution from the KFH-program (funds, contacts, advice, etc.) in comparison to the resources invested to get the project funds? Please indicate by marking a point on the below scale.

	very poor	poor	average	good	very good	Rating Average	Response Count
Rating of efficiency (input to benefit ratio)	13.0% (3)	13.0% (3)	17.4% (4)	43.5% (10)	13.0% (3)	3.30	23
<i>answered question</i>							23
<i>skipped question</i>							0

18. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY: Follow-up activities: Have you or your institution planned to submit other projects to the 'Program for the Promotion of Partnership for Applied Research'?

	Response Percent	Response Count
Other projects have been submitted to the program 	40.9%	9
Plans to do so in the future exist 	50.0%	11
No plans for future projects exist 	9.1%	2
Comments:		5
	<i>answered question</i>	22
	<i>skipped question</i>	1

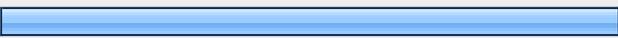
**19. TO BE ANSWERED BY PARTNER INSTITUTIONS ABROAD ONLY:
Desirable support: Which type of support in the field of research is most useful and appropriate for your institution?**

	Response Percent	Response Count
Improvement of access to international research networks	0.0%	0
Joint research with international partners	0.0%	0
Possibilities for internships in partner countries	0.0%	0
Transfer of know-how	0.0%	0
Joint publications with partners	0.0%	0
Modernisation / upgrading of infrastructure and/or equipment	0.0%	0
Institutional development (development of curricula, adaptation of structures, etc.)	0.0%	0
Practical research mandates	0.0%	0
Financial support to cover regular budgetary positions (e.g. for running costs, salaries, overhead)	0.0%	0
Others, please comment		0
answered question		0
skipped question		23

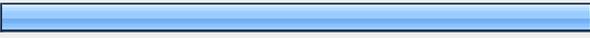
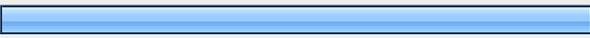
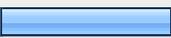
20. Project title

	Response Count
	23
answered question	23
skipped question	0

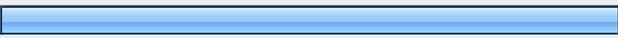
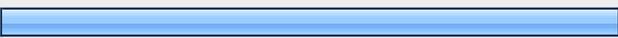
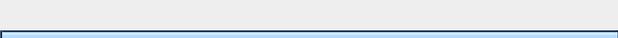
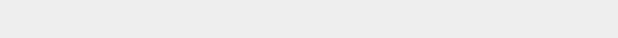
21. Type of your institution

		Response Percent	Response Count
Swiss University of Applied Science		100.0%	23
Partner Institution in Developing Country		0.0%	0
		<i>answered question</i>	23
		<i>skipped question</i>	0

22. Please indicate the duration of the project(s)

		Response Percent	Response Count
Start of project 1		95.5%	21
End of project 1		95.5%	21
Start of project 2		27.3%	6
End of project 2		27.3%	6
		<i>answered question</i>	22
		<i>skipped question</i>	1

23. Please fill in the following personal data

		Response Percent	Response Count
Your name		100.0%	23
Name of your institution		100.0%	23
Your function in the institution		100.0%	23
Direct phone number (for possible further questions)		100.0%	23
Email		100.0%	23
		<i>answered question</i>	23
		<i>skipped question</i>	0

24. Name of your partner institution(s) within the project	
	Response Count
	23
<i>answered question</i>	23
<i>skipped question</i>	0

25. Further comments that you find relevant for the evaluation of the program	
	Response Count
	10
<i>answered question</i>	10
<i>skipped question</i>	13

KFH-DC Program (**Partner Institutions only**)

1. Benefits for your institution: What are the benefits for your institution from the project with regard to <i>contacts and cooperation</i>?					
	true	mostly true	partly true	not true	Response Count
Additional contacts with research institutions	86.7% (13)	13.3% (2)	0.0% (0)	0.0% (0)	15
New cooperation with research institutions (joint activities)	86.7% (13)	6.7% (1)	6.7% (1)	0.0% (0)	15
New or intensified cooperation with private companies	20.0% (3)	13.3% (2)	13.3% (2)	53.3% (8)	15
New or intensified cooperation with development projects / Non-Government Organizations (NGO)	43.8% (7)	6.3% (1)	25.0% (4)	25.0% (4)	16
	<i>answered question</i>				16
	<i>skipped question</i>				0

2. What are the benefits for your institution from the project with regard to *competitiveness*?

	true	mostly true	partly true	not true	Response Count
Improved access to new methods of applied research	80.0% (12)	6.7% (1)	13.3% (2)	0.0% (0)	15
Improved competence in the management of applied research (as a result of above)	60.0% (9)	20.0% (3)	20.0% (3)	0.0% (0)	15
Improved access to up-to-date scientific knowledge	60.0% (9)	33.3% (5)	6.7% (1)	0.0% (0)	15
Improved scientific competence (as a result of above)	56.3% (9)	31.3% (5)	12.5% (2)	0.0% (0)	16
Improved competitiveness within the international research community	60.0% (9)	33.3% (5)	6.7% (1)	0.0% (0)	15
Additional publications in relevant scientific journals	46.7% (7)	26.7% (4)	6.7% (1)	20.0% (3)	15
Curricula of our courses have been adjusted	14.3% (2)	21.4% (3)	14.3% (2)	50.0% (7)	14
	<i>answered question</i>				16
	<i>skipped question</i>				0

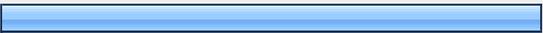
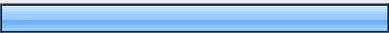
3. What are the benefits for your institution from the project with regard to *teaching*?

	true	mostly true	partly true	not true	Response Count
We established new training offers for students	26.7% (4)	13.3% (2)	40.0% (6)	20.0% (3)	15
We established new training offers for lecturers	26.7% (4)	20.0% (3)	13.3% (2)	40.0% (6)	15
Teaching methods have been adjusted	21.4% (3)	14.3% (2)	14.3% (2)	50.0% (7)	14
Enhanced link between teaching and research	40.0% (6)	20.0% (3)	13.3% (2)	26.7% (4)	15
We introduced co-teachings / seminars with guest lecturers from partner organisations	46.7% (7)	6.7% (1)	6.7% (1)	40.0% (6)	15
	answered question				16
	skipped question				0

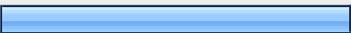
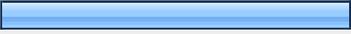
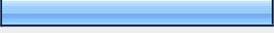
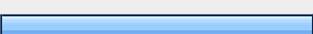
4. What are the benefits for your institution from the project with regard to *material resources*?

	true	mostly true	partly true	not true	Response Count
Improved access to funds for research	42.9% (6)	21.4% (3)	28.6% (4)	7.1% (1)	14
Further development of infrastructure / equipment (e.g. laboratories, computers, etc.)	28.6% (4)	14.3% (2)	14.3% (2)	42.9% (6)	14
Improved and updated library / documentation	26.7% (4)	6.7% (1)	20.0% (3)	46.7% (7)	15
	answered question				15
	skipped question				1

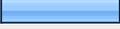
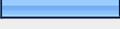
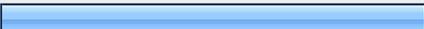
5. Beneficiaries of your research project: Who are the immediate beneficiaries respectively users of the results of the project?

		Response Percent	Response Count
Private sector organizations (industry, service providers, etc.)		56.3%	9
Public sector (Government agencies, state-owned industries)		87.5%	14
Official Development Aid (Government or Multilateral Development Agencies)		43.8%	7
Other development organizations, e.g. NGOs,		62.5%	10
Others (please specify) and/or comments			4
answered question			16
skipped question			0

6. Link research - teaching: Do you integrate the project experience or results in the teaching activities of your institution and in which sort of classes?

		Response Percent	Response Count
Seminars		56.3%	9
Lectures		62.5%	10
Workshops		56.3%	9
Internship offer for students		43.8%	7
Reserach opportunities for students (paper writing)		50.0%	8
None, no direct practical use		12.5%	2
Others (please specify), Comments			3
answered question			16
skipped question			0

7. Does your institution make broad use of the results of the reserach partnership and at which level?

	Response Percent	Response Count
Bachelor level 	31.3%	5
Master level 	18.8%	3
Post graduate courses 	18.8%	3
Workshops (open for different levels) 	68.8%	11
No broad use of experience	0.0%	0
answered question		16
skipped question		0

8. Contacts with your partner institution

	yes, absolutely	more or less	not sufficient	completely insufficient	Response Count
Frequency of contacts (<i>project 1</i>): Are the contacts between you and your partner sufficiently frequent?	73.3% (11)	26.7% (4)	0.0% (0)	0.0% (0)	15
Information sharing (<i>project 1</i>): Do you get all the information needed from the partner(s)?	80.0% (12)	20.0% (3)	0.0% (0)	0.0% (0)	15
Frequency of contacts (<i>project 2</i>): Are the contacts between you and your partner sufficiently frequent?	80.0% (8)	20.0% (2)	0.0% (0)	0.0% (0)	10
Information sharing (<i>project 2</i>): Do you get all the information needed from the partner(s)?	90.0% (9)	10.0% (1)	0.0% (0)	0.0% (0)	10
				Comments:	2
answered question					15
skipped question					1

9. Other contacts: Apart from your partner organisation, with which kind of organisations did you establish contacts in the context of the research project?

	Response Percent	Response Count
SDC (Swiss Development Cooperation)	40.0%	4
Embassies (Swiss, others)	40.0%	4
Private NGOs (Non-governmental Organisations)	70.0%	7
Other bi-lateral or multi-lateral development agencies (e.g. GTZ, DFID respectively UN-agencies, Banks)	30.0%	3
Others (please specify)		6
answered question		10
skipped question		6

10. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY

Selection procedure: How do you assess the selection procedure for the Project?

	fully agreed	partly agreed	not really agreed	not at all	Response Count
Transparent (e.g. based on transparent selection criteria)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0
Efficient	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0
Comprehensible	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0
Comments on the selection process:					0
answered question					0
skipped question					16

11. TO BE ANSWERED BY PARTNER INSTITUTIONS ABROAD ONLY

Deciding on the project's objectives and financial structure: To what extent have you been involved in developing and deciding ...

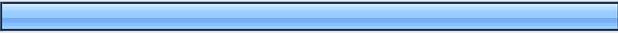
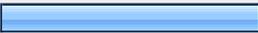
	Fully	More or less	Not sufficiently	Not at all	Response Count
...on the topic of the project?	73.3% (11)	26.7% (4)	0.0% (0)	0.0% (0)	15
...on the objective of the project?	86.7% (13)	13.3% (2)	0.0% (0)	0.0% (0)	15
...on the financial layout of the project?	46.7% (7)	46.7% (7)	6.7% (1)	0.0% (0)	15
				Comments:	1
				<i>answered question</i>	15
				<i>skipped question</i>	1

12. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY

How do you consider the time period between the deadline for the submission of the project and the decision communicated by the coordination office of KFH?

	Response Percent	Response Count
short	0.0%	0
appropriate	0.0%	0
rather long	0.0%	0
too long	0.0%	0
	Comments:	0
	<i>answered question</i>	0
	<i>skipped question</i>	16

13. Own resources: What was the share of your institution of the total project costs *in absolute terms*? (including staff costs)

		Response Percent	Response Count
<i>project 1: in absolute terms (an estimate is sufficient)</i>		100.0%	12
<i>project 2: in absolute terms (an estimate is sufficient)</i>		41.7%	5
<i>answered question</i>			12
<i>skipped question</i>			4

14. Own resources: What was the share of your institution of the total project

share in %

	0-10%	11-20%	21-30%	31-40%	41-50%	51-60%	61-70%	71-80%	81-90%	91-100%
<i>project 1: in percent (%) (an estimate is sufficient)</i>	16.7% (2)	25.0% (3)	25.0% (3)	8.3% (1)	8.3% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	16.7% (2)
<i>project 2:: in percent (%) (an estimate is sufficient)</i>	0.0% (0)	25.0% (1)	50.0% (2)	25.0% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)

15. Efficiency ('cost - benefit')of partnership: How do you judge the benefit of the research partnership for your institution in comparison to the financial and human resources invested?

	very poor	poor	average	good	very good	Rating Average	Response Count
Rating of efficiency (input to benefit ratio)	0.0% (0)	7.1% (1)	21.4% (3)	64.3% (9)	7.1% (1)	3.71	14
<i>answered question</i>							14
<i>skipped question</i>							2

16. Importance of financial contribution: How important was the financial contribution of the "Program for the Promotion of Partnership for Applied Research" for the implementation of this project?

		Response Percent	Response Count
Project would not have started without the program's contribution		71.4%	10
Project would have been different (e.g. smaller) without the program's contribution		21.4%	3
Project would have been the same but financed from other sources		7.1%	1
Project would have been designed differently, i.e. not necessarily in line with the program's criteria		0.0%	0
	Comments:		1
<i>answered question</i>			14
<i>skipped question</i>			2

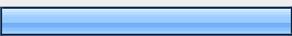
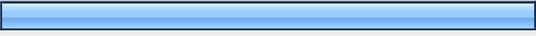
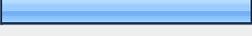
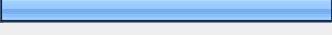
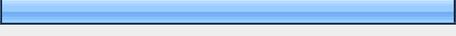
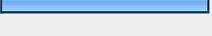
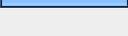
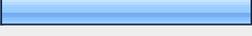
17. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY Efficiency ('cost - benefit') of KFH-program support: How do you judge the benefit of the contribution from the KFH-program (funds, contacts, advice, etc.) in comparison to the resources invested to get the project funds? Please indicate by marking a point on the below scale.

	very poor	poor	average	good	very good	Rating Average	Response Count
Rating of efficiency (input to benefit ratio)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.00	0
<i>answered question</i>							0
<i>skipped question</i>							16

18. TO BE ANSWERED BY SWISS INSTITUTIONS ONLY: Follow-up activities: Have you or your institution planned to submit other projects to the 'Program for the Promotion of Partnership for Applied Research'?

	Response Percent	Response Count
Other projects have been submitted to the program	0.0%	0
Plans to do so in the future exist	0.0%	0
No plans for future projects exist	0.0%	0
Comments:		0
	<i>answered question</i>	0
	<i>skipped question</i>	16

**19. TO BE ANSWERED BY PARTNER INSTITUTIONS ABROAD ONLY:
Desirable support: Which type of support in the field of research is most useful and appropriate for your institution?**

		Response Percent	Response Count
Improvement of access to international research networks		46.7%	7
Joint research with international partners		86.7%	13
Possibilities for internships in partner countries		40.0%	6
Transfer of know-how		53.3%	8
Joint publications with partners		73.3%	11
Modernisation / upgrading of infrastructure and/or equipment		46.7%	7
Institutional development (development of curricula, adaptation of structures, etc.)		33.3%	5
Practical research mandates		20.0%	3
Financial support to cover regular budgetary positions (e.g. for running costs, salaries, overhead)		40.0%	6
	Others, please comment		0
answered question			15
skipped question			1

20. Project title

	Response Count
	16
answered question	16
skipped question	0

21. Type of your institution

		Response Percent	Response Count
Swiss University of Applied Science	<input type="text"/>	0.0%	0
Partner Institution in Developing Country	<input type="text"/>	100.0%	16
<i>answered question</i>			16
<i>skipped question</i>			0

22. Please indicate the duration of the project(s)

		Response Percent	Response Count
Start of project 1	<input type="text"/>	100.0%	14
End of project 1	<input type="text"/>	100.0%	14
Start of project 2	<input type="text"/>	21.4%	3
End of project 2	<input type="text"/>	21.4%	3
<i>answered question</i>			14
<i>skipped question</i>			2

23. Please fill in the following personal data

		Response Percent	Response Count
Your name	<input type="text"/>	100.0%	16
Name of your institution	<input type="text"/>	100.0%	16
Your function in the institution	<input type="text"/>	100.0%	16
Direct phone number (for possible further questions)	<input type="text"/>	100.0%	16
Email	<input type="text"/>	100.0%	16
<i>answered question</i>			16
<i>skipped question</i>			0

24. Name of your partner institution(s) within the project	
	Response Count
	16
<i>answered question</i>	16
<i>skipped question</i>	0

25. Further comments that you find relevant for the evaluation of the program	
	Response Count
	7
<i>answered question</i>	7
<i>skipped question</i>	9