

Safe and Inclusive Cities Final Evaluation

EVALUATION REPORT | JULY 2017

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Executive Summary

Safe and Inclusive Cities (SAIC), initiated in 2012 with funding from both the UK's Department for International Development (DFID) and the International Development Research Centre (IDRC), is a five-year program whose primary objectives are:

- To document the links between urban violence, poverty, and inequalities in cities of the Global South; and
- To support high-quality policy- and practice-oriented research on effective strategies for responding to threats and challenges emerging from such linkages.

The SAIC Program provided financial and capacity-based support to 15 research teams who undertook research in 16 countries covering 40 cities in Latin America (LA), Sub-Saharan Africa (SSA) and South Asia (SA). Research projects covered a variety of thematic areas related to urban violence, poverty and inequalities, including (but not limited to) social cohesion, gender, institutions, urban infrastructure and public security.

The Program sought to disseminate SAIC-funded research at local, regional and international levels with a view to both generating a better understanding of the relationship between urban violence, poverty and inequalities and influencing policy-making, programming and practice. It also sought to enable the development of a network of skilled researchers in the Global South, notably in supporting their research, outreach and communications capacities.

This evaluation mainly serves an accountability purpose, validating the extent to which SAIC has achieved its objectives, while also providing learning for potential future programming on urban violence. In this regard, the evaluation's primary audience includes IDRC and DFID management, as well as staff responsible for implementing and overseeing the SAIC Program. Secondary users include grantees and their networks, other donors and the larger Research-for-Development (R4D) community.

The evaluation assesses the relevance, effectiveness and efficiency of the Program (including its overall value-for-money), as well as the quality of the research. Its scope includes all years of implementation (2012-2017). This is a program evaluation and therefore its scope covers program-level activities, outputs and outcomes, while also drawing on information from all 15 SAIC-funded projects.

Methodology

The methodology adopted for this evaluation was utilization-focused and participatory. The Evaluation Team worked in close collaboration with IDRC and other stakeholders throughout the evaluation to validate findings and recommendations.

The evaluation was guided by an evaluation matrix structured to reflect the evaluation criteria, questions and sub-questions shared in the Terms of Reference (TORs) for this evaluation. IDRC's RQ+ framework was used to develop indicators for answering evaluation questions related to research quality.

The evaluation used a mixed-methods approach to data collection, including an in-depth document review and semi-structured interviews. Data and insights drawn from the document review were triangulated against stakeholders' perspectives gathered through semi-structured interviews, supplemented by a plethora of informal discussions shared with a broad swath of participants at the closing conference in Nairobi. In total, 55 stakeholders were interviewed, including IDRC and DFID staff, principal investigators, researchers, and research users.

Findings

Relevance

Overall, the SAIC Program was found to be highly relevant to both DFID and IDRC, embodying and

advancing their distinct and shared global, institutional and regional priorities. This past decade, the world's urban population has increased to more than half of the global population. Responding to the 2011 World Development Report, which identified urban violence in the Global South as a key area of global concern, the Program was designed to closely align with global priorities and discourses that situate such violence as a development issue.

Global South researchers involved with the Program recognize and value the significance of the Program and the support it provides. They appreciate the opportunity to pursue reasonably well-funded research on the violence-poverty-inequality nexus, allowing them to challenge Northern-based theoretical approaches while consolidating South-South research teams.

Research Quality

The research project portfolio was of high quality overall, particularly in terms of research relevance and design, though slightly less so in terms of project implementation. Key to the high quality and merit of research has been the support provided by IDRC. Researchers' prior experience of having worked together was also noted as a key contributing factor. The most important factor negatively impacting research quality and merit has been the lack of good communicative/collaborative strategies among some research teams. Language barriers experienced by certain research teams, the limited capacity of some research institutions, as well as the unpredictable political and security contexts in which the research took place were also identified as key limiting factors.

Most SAIC projects were based on participatory methodologies, cognizant of the centrality of the research being conducted for and with communities. Research implementation processes were marked by the involvement of multiple levels of stakeholders, from local community organizations to government Ministers. All projects were required to produce ethics and security protocols, which also resulted in innovative approaches to the research, with a stronger qualitative bent.

Nearly all SAIC projects have either integrated gender considerations into their research design or produced gender-specific/sensitive results. The portfolio of projects has been effective in depicting the complexity of both gender-based violence in urban contexts, and also the transformative role of women in their communities. Overall, the program created an insightful, innovative, and gendered discursive landscape.

All consulted research users share a favourable perception of the SAIC program of research. They feel that the leadership role played by researcher teams from the Global South was very valuable and they also highlight the importance of 'communities' as a focus of research rather than of 'individuals'. Further, from a policy-oriented and pragmatic perspective, the research is considered a valuable source of new data shedding light on key issues of urban violence.

As for the SAIC Baseline Study, the evaluation found that it was primarily a good literature review based on Northern theoretical approaches on violence, poverty and inequality, with a bias towards issues of criminal violence. While serving to orient research teams, it under-examined important Global South considerations and matters of inequality.

Effectiveness

The Evaluation Team was mandated to assess the effectiveness of the SAIC Program in terms of innovation, knowledge production, outreach, dissemination and uptake, and in supporting a skilled network of researchers. Overall, the Program was found to have been highly effective on most counts, though less so in terms of outreach, dissemination and uptake.

One of SAIC's objectives was the development of innovative frameworks to advance knowledge related to the violence-poverty-inequality nexus. In this sense, SAIC generated a strong, if diversely innovative portfolio of projects, notably on theoretical and methodological grounds, though less so with respect to the theory-policy/programming/practice interface. Relatively few methodologically effective opportunities were

made available for encouraging multi-project innovations.

SAIC has surpassed its target for producing knowledge products on urban violence. Together, the 15 SAIC projects have produced 212 written outputs, ranging from peer-reviewed articles and book chapters to non-peer reviewed articles and policy briefs. The production of written outputs is unevenly distributed across the portfolio; peer-reviewed publications are concentrated within a few projects and the need for producing policy briefs has only been partially addressed. This last year, SAIC has effectively been synthesizing project results into Program-level knowledge products.

At Program level, SAIC effectively reached out to policy-makers, development agencies and some donors through important international conferences including, *inter alia*: the World Bank Fragility, Conflict and Violence Forum; Habitat III; the World Urban Forum 7; and the SAIC closing conference in Nairobi. The SAIC Program also organized four regional conferences in New Delhi, Santiago, Johannesburg and Dakar, which were attended by diverse regional research users. Funding provided through the SAIC Conference Participation Fund allowed grantees to present their research findings at many of these conferences. At project level, researchers variably reached out to policy-makers, NGOs and grassroots organizations. Researchers' ability to reach out to potential users depended on the political context, existing relationships with those users, and previous experience on policy and programming work.

At Program level, a diverse portfolio of knowledge products has been produced with the support of the SAIC Knowledge Translation Officer. Ranging from info-graphics and briefs to impact stories, the knowledge products are well positioned for use. At the project level, the quality of uptake strategies developed in the proposals varied significantly among projects. Indeed, most projects continue to face challenges in translating research results into accessible findings and recommendations. Nonetheless, there is evidence of policy influence in some countries, as well as indications that SAIC has contributed to informing policy debates.

The Program's Communications Strategy, developed by an external communications firm in 2014, was successfully implemented by the SAIC Program. However, it was adopted somewhat late in the process, resulting in a missed opportunity for engaging potential users early on, developing their interest in and connecting to the research, and thereby maximizing the likeliness of uptake. Likewise, the budget for communications covered for expenses but not for a Knowledge Translation Officer whose work would prove central to implementation.

The Program Theory of Change (TOC) suggesting that dissemination will eventually lead to policy change is incomplete and unconvincing considering the time-bound nature of the Program. Indeed, continuous efforts and advocacy are required given the complexity and lengthiness of policy change. The TOC also fails to adequately consider the location of grassroots organizations, communities, CSOs and social movements as a necessary vehicle for influencing policy in countries, especially where the political context is unfavourable.

Finally, SAIC has contributed to the development of a skilled network of Global South researchers, with particularly beneficial effects on the building of national and regional communities of practice. However, networking opportunities were largely limited to Principle Investigators with little involvement of researchers.

Efficiency

The Evaluation Team was also mandated to broadly assess program efficiency from a number of different perspectives, which include: the use of human and financial resources; project efficiencies; the pursuit of cost reduction opportunities; the Call for Proposals; and overall Value-for-Money (VfM). The Evaluation Team was also asked to assess the strengths and weaknesses of both management and governance arrangements.

The SAIC Program operated in a lean manner with administrative expenses hovering around 10%, which is below IDRC's current allowable limit of 11%. Further, operational expenses were kept below 9% of the overall program budget. However, the Program was short of human resources, and the

staff members were overstretched. The Program has also suffered from a high 'key person dependency risk' for the duration of the Program.

All 15 SAIC projects were allocated nearly equal budgets, despite the diversity of project needs, capacities, scale and context. The research budget was considered generous by most project teams, while fragmented and somewhat inadequate for cross-regional projects, as those carry additional costs for managing multi-institutional teams, international travel and the translation of documents. Supplements were provided for 2 projects to cover for losses incurred on account of exchange rates, and one cross-regional project to cover additional research expenses.

The SAIC management team pursued various cost-reduction measures and opportunities, ensuring that Program resources were optimised. The Program was also strategic in taking advantage of exchange rate gains, hiring temporary staff, offering conference travel grants, and in other ways. Across the Program and projects, all stakeholders firmly believe that any reduction in resources provided to projects would likely have compromised the quality and depth of research practices and outputs.

Pursued through a resource intensive though appropriate one-step process, the Call for Proposals elicited a high number of quality submissions. The Call process was moderately successful in reaching its target audiences, with a higher than desirable proportion of successful applicants emanating from academic institutions. Finally, the Call process was a missed opportunity to initiate the process of building a community of researchers from the outset.

Overall, SAIC has provided high VfM, based on DFID's criteria framework as well as on matters of equity. SAIC has been managed efficiently and economically, with administrative and operational costs maintained around or below 10% for each, with various opportunities pursued to reduce costs and maximize resource use.

When assessing the strengths and weaknesses of management arrangements, the evaluation examined processes for risk management and monitoring. Overall, the evaluation found that the

risk-based approach of SAIC management was effective at pre-empting, mitigating and addressing the many management, financial, performance and security risks associated with this Program.

Most monitoring processes established for SAIC worked to the general satisfaction of stakeholders, notably enabling the adaptive management of the Program. The available management systems were, however, perceived as arduous by the IDRC staff and were in some ways inadequate. In the absence of a way to track staff time allocation, it was not possible for SAIC to effectively monitor its own staffing needs and demands. Nearly all project teams indicated that M&E obligations were similar to those of other comparable programs, also noting they would have appreciated more timely feedback on their reporting.

As for the Program's governance arrangements, SAIC is one among several programs that comprise a wider strategic partnership between DFID and IDRC. Program governance was properly defined from the outset, with DFID and IDRC roles and responsibilities clearly and appropriately allocated through a Memorandum of Understanding. Structuring the Program partnership with DFID as donor-partner and IDRC as donor-management-partner played to the strengths of each institution, while minimizing burdensome administrative complexities. With a productive, respectful, collegial and open relationship throughout, DFID and IDRC have pursued what has been poignantly described as a "problem-solving approach".

Conclusions and Recommendations

Highly relevant to its key stakeholders, the SAIC Program has been remarkable in meeting and surpassing most of its program-level objectives. Governed appropriately, the Program has also been managed efficiently. At the time of writing, there was no indication that SAIC would be supported for a subsequent phase. Nonetheless, the Evaluation Team was asked to share insights, lessons learned and recommendations that could apply to other, similar Research-for-Development (R4D) programs. The following 11 recommendations and concluding thoughts provide high-level guidance for such program planning into the future.

- 1) Given the paucity of South-South R4D programs, IDRC, DFID and potentially other partners should envisage building further South-South (even South-South-North) based initiatives that are situated within globally-defined policy frameworks like the Sustainable Development Goals (SDGs).
- 2) The Call for Proposals should be envisaged as an outreach and engagement strategy, using a two-step process with concept notes and bringing together grantees to finalize their research agenda.
- 3) A Baseline Study should be developed and shared with potential program applicants as part of Calls for Proposals, as was done with the SAIC Program. The Baseline Study should preferably comprise a set of position papers that reflect such diversity, ensuring that Global South perspectives are appropriately included.
- 4) It is important for any R4D program to further clarify the definition of 'innovation'. Supported R4D research teams should be required to articulate the multiple dimensions of innovation pursued by their projects. IDRC, DFID and partners should also provide guidance and support to the most promising teams throughout the lifecycle of programs and projects towards this end.
- 5) Approaching research through a gender-sensitive lens should be a requirement for receiving such R4D support, given its centrality to urban violence, poverty and inequality issues. As required, workshops and training should be provided to R4D funding recipients.
- 6) Integrated program- and project-level Theories of Change should be developed to recognize multiple pathways to impact of such an R4D program, mindful of contextual and global considerations and priorities.
- 7) Stemming from a sound Theory of Change, greater clarity and strategic development should be developed regarding actual and potential pathways of influence of R4D programs like SAIC. A disproportionate focus on policy influence is in evidence, and equally focused development is warranted on influencing programming and practice.
- 8) Communications should be approached as a strategic and a necessary practice from the outset of an R4D program. Developing complementary program- and project-level communications strategies intent on engaging mainstream and social media, and budgeting for this at both levels, would more effectively advance R4D program priorities of amplifying the relevance and influence of R4D programs and projects.
- 9) Cognizant that R4D projects are contextually, methodologically and administratively unique, R4D programs should tailor their budgetary offerings to meet such distinctiveness.
- 10) The highly effective risk-based approach to program management should be pursued and further developed. Given that R4D programs are human resource intensive, management capacity should carefully be tailored to meet programmatic and institutional goals. In addition, appropriate management systems should be in place to support program management (e.g. staff management) as well as M&E appropriately.
- 11) The distribution of responsibilities, which sees DFID as donor-partner and IDRC as donor-management-partner is a good one, playing to the strengths of each institution, and should be maintained and built upon through such programs. Further, DFID and IDRC staff working on the program should formalize a structure for substantive exchange.

Acronyms

CSO	Civil Society Organization
DFID	UK Department for International Development
GAD	Grants Administration Division
GSI	Governance, Security and Justice Program
IDRC	International Development Research Centre
LAC	Latin America
NGO	Non-Governmental Organization
OECD-DAC	Organization for Economic Cooperation and Development – Development Assistance Committee
PAD	Project Approval Document
PCR	Project Completion Report
PMR	Project Monitoring Report
PI	Principal Investigator
PO	Senior Program Specialist
RQ+	Research Quality Plus
R4D	Research-for-Development
SA	South Asia
SAIC	Safe and Inclusive Cities
SDGs	Sustainable Development Goals
SPO	Senior Program Officer
SSA	Sub-Saharan Africa
TORs	Terms of Reference
UMG	Universal Management Group
UNDP	United Nations Development Program
UN Habitat	United Nations Human Settlement Program
VfM	Value-for-Money
WHO	World Health Organization

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1 Introduction

The Universalia Management Group Limited (hereafter referred to as “Universalia” or “UMG”) is pleased to present this evaluation report of the Safe and Inclusive Cities (SAIC) Program to the International Development Research Center (IDRC). Safe and Inclusive Cities (SAIC), initiated in 2012 with funding from both the UK’s Department for International Development (DFID) and IDRC, is a five-year program whose primary objectives are:

- To document the links between urban violence, poverty, and inequalities in cities of the Global South; and
- To support high-quality policy- and practice-oriented research on effective strategies for responding to threats and challenges emerging from such linkages.

The SAIC Program provided financial and capacity-based support to 15 research teams who undertook research in 16 countries covering 40 cities in Latin America (LA), Sub-Saharan Africa (SSA) and South Asia (SA). Research projects covered a variety of thematic areas related to urban violence, poverty and inequalities, including (but not limited to) social cohesion, gender, institutions, urban infrastructure and public security (See Appendix III for an overview of projects).

The Program sought to disseminate SAIC-funded research at local, regional and international levels with a view to both generating a better understanding of the relationship between urban violence, poverty and inequalities and influencing policy-making, programming and practice. It also sought to enable the development of a network of skilled researchers in the Global South, notably in supporting their research, outreach and communications capacities.

1.1 Purpose, Objectives and Scope of the Evaluation

This evaluation mainly serves an accountability purpose, validating the extent to which SAIC has achieved its objectives, while also providing learning for potential future programming on urban violence. In this regard, the evaluation’s primary audience includes IDRC and DFID management, as well as staff responsible for implementing and overseeing the SAIC Program. Secondary users include grantees and their networks, other donors and the larger Research-for-Development (R4D) community.

The evaluation provides important evidence on the Program’s effectiveness and quality of the research that was supported. Further, it examines the relevance and performance of the Program, as well as its overall Value-for-Money (VfM). Finally, the evaluation assesses the quality of the baseline study to determine whether it was effective in identifying gaps in the literature on urban violence, and the extent to which it constitutes a useful tool for designing R4D programs such as SAIC.

The evaluation scope covers all years of implementation, from 2012 to 2017, from the baseline study to the Call for Proposals, through project implementation and reporting, and to the May 2017 closing conference in Nairobi, Kenya. This is a program evaluation and therefore its scope covers program-level activities, outputs and outcomes, while also drawing on information from all 15 SAIC-funded projects.

1.2 Methodology

Universalia’s Evaluation Team developed a methodological approach that was utilization-focused and participatory, designed to ensure that the final evaluation product would be of value to primary and secondary users. Throughout the evaluation process, the team worked in close collaboration with IDRC

and other stakeholders. Preliminary findings were first presented to IDRC staff and then again to SAIC Principal Investigators (PIs) and researchers, a diverse range of actual and potential research users as well as DFID and IDRC at the SAIC closing conference which took place in Nairobi, Kenya in May 2017. This provided an opportunity for the Evaluation Team to validate findings and collect additional insights.

It is important to emphasise that this is a program evaluation. Data was therefore gathered at the program level as well as from across the different projects, with a view to generating insights on SAIC's overall performance and to inform findings that speak to the SAIC Program as a whole. The methodology was designed to allow the Evaluation Team to answer the range of questions in the evaluation matrix, which guided the evaluation (see Appendix X). The evaluation matrix is structured to reflect the evaluation criteria, questions and sub-questions shared in the TORs (see Appendix XI). IDRC's RQ+ framework was used to develop indicators used to answer evaluation questions related to research quality.

The evaluation used a mixed-methods approach to data collection, including an in-depth document review and semi-structured interviews. A review of program-level documentation as well as a comprehensive portfolio review of all 15 projects allowed the Evaluation Team to recognize and report on program-wide trends. Data and insights drawn from the document review were triangulated against stakeholders' perspectives gathered through semi-structured interviews, supplemented by a plethora of informal discussions shared with a broad swath of participants at the closing conference in Nairobi. In total, 55 stakeholders were interviewed, including 27 women and 28 men (see sidebar). The Evaluation Team was able to interview PIs and/or researchers from 14 of 15 projects, with the exception of the Democratic Republic of the Congo (DRC) project. Regional research users were largely unresponsive to the many attempts made to schedule interviews. Otherwise, the Evaluation Team is satisfied that collected data has provided the basis for robust findings and recommendations. All consulted stakeholders were informed that the information they provided would remain confidential. At the same time, they agreed to have their names listed in the appendix of the report and to have direct quotes – although not directly attributed to them – included in the report.

Individuals Consulted by Stakeholder Group

IDRC staff (12)

DFID staff (3)

Principal Investigators (17)

Researchers (12)

Research users (10)

Other: External communications (1)

1.3 Report Overview

Following this introduction, the report is organized as follows:

- Section 2: Findings in terms of Relevance, Research Quality, Effectiveness and Efficiency.
- Section 3: Conclusions and Recommendations.
- Appendices: List of Findings (Appendix I); List of Recommendations (Appendix II); Overview of Projects (Appendix III); Research Quality (Appendix IV), Program Effectiveness (Appendix V), Efficiency Analysis (Appendix VI); Bibliography (Appendix VII); Stakeholders Consulted (Appendix VIII); Full Methodology (Appendix IX); Evaluation Matrix (Appendix X); and Terms of Reference (Appendix XI).

2 Evaluation Findings

2.1 Relevance

2.1.1 Introduction

The OECD-DAC Criteria for Evaluating Development Assistance define relevance as the extent to which an activity, project or program reflects and advances the priorities, concerns, aspirations and/or policies of specific groups.¹ For this study, the Evaluation Team was mandated only to assess the *relevance* of the Safe and Inclusive Cities (SAIC) Program to DFID and IDRC, as well as to the research community of the Global South it has supported. Overall, as specifically articulated below, the Program was found to be highly relevant to both of these stakeholder groups.

2.1.2 Relevance to DFID and IDRC

Finding 1: The SAIC Program is highly relevant to both DFID and IDRC, embodying and advancing their distinct and shared *global, institutional and regional* priorities.

The SAIC Program was jointly and effectively designed by DFID and IDRC to advance a range of their distinct and shared *global, institutional and regional* priorities. Responding to the 2011 World Development Report,² which identified urban violence in the Global South as a key area of global concern, this Program was designed to closely align with global priorities and discourses that situate such violence as a development issue.³ Both DFID and IDRC have longstanding interest and programming focused on poverty reduction in the Global South. Through this Program, they have also responded to demographic trends suggesting that development programming needs to address the myriad implications and effects of urbanization.

In 2007-2008, the world's urban population crossed the 50 percent threshold as a proportion of the overall global population, while cities are increasingly the location of collective and political expression. Beyond the Cold War's inter-state conflict, and the post-Cold War's intra-state conflict, this Program has responded to actual and potential violence in the city, significant in its support for R4D that prioritises violence prevention and transformation. Also, as explained by one key user of this research, the Program gave DFID and IDRC "a high profile on the issue of urban violence, poverty and inequality." For both DFID (on social inclusion, in particular) and IDRC (notably on safe spaces and on empowering vulnerable groups), the Program has played a key role in shaping their wider programming landscape. Finally, DFID's support to African and Asian researchers has been complemented by IDRC's global support to researchers from Latin America as well, resulting in both wide geographic coverage and comparative research, allowing "lessons to be gained from insights deriving from those contexts," as explained by one DFID stakeholder.

2.1.3 Relevance to the Research Community of the Global South

Finding 2: Global South researchers involved with the Program recognize and value the significance of the Program and the support it provides. They appreciate the opportunity to pursue reasonably well-funded appreciative and critical research on the violence-poverty-inequality nexus in medium to long-term projects.

In recent decades, a growing number of global reports on violence have been published, and have highlighted its importance as a development problem with notable relevance to the Global South. The rise of impoverished, inequitable and violent urbanization processes reflects the urban experience throughout the Global South⁴. As noted by Moser and McIlwaine (2014), "violence is an integral part of the current model of development itself"⁵; most theoretical and public policy approaches need to consider the close relationship between violence, poverty and inequality. Within this framework, the development of studies, policy proposals and evaluations carried out in specific contexts within the Global South becomes increasingly important. Opportunities for Global South researchers to test theories developed in other contexts and to propose new theoretical, methodological and analytical approaches and perspectives are highly valued. Failing this, analyses of the nexus between violence-poverty-inequality run the risk of being developed in decontextualized ways, without effectively tackling key structural issues.⁶

The SAIC Program was appropriately developed within this context. Indeed, researchers who participated in the Program hold it in high esteem in four notable areas. First, the Program has allowed them to pursue original and innovative research on the violence-poverty-inequality nexus, further nuancing and developing their prior research agendas. Second, the Program provided an opportunity for researchers to develop medium to long-term research projects with appropriate budgetary support and with linkages to other groups of researchers. As noted by one researcher "SAIC was the first opportunity to interact with researchers from other regions in the Global South". Third, early in the Program trajectory, researchers were encouraged to challenge Northern-based theoretical approaches and consolidate South-South research teams. Of note, two projects developed a proposal that challenged key elements of social cohesion theory, with results that are counter-intuitive to mainstream analysis and conclusions. Fourth, the Program widened the research agenda on violence-poverty-inequality to include key, but under-researched, dimensions, including gender-based violence and the importance of urban infrastructure. Overall, the Program has established the first pillars of a global network of researchers; however, its sustainability remains to be seen, particularly beyond national and regional levels.

2.2 Research Quality

2.2.1 Introduction

The Evaluation Team was mandated to assess the quality of research produced by the SAIC Program. To do so, we have drawn on IDRC's Research Quality Plus (RQ+) framework,⁷ which focuses both on the technical quality of the research, methodological and ethnical aspect of the research, the integration of gender, the perception of research users as to the importance of the research, and also the quality of the Baseline Study which informed the ways in which research projects were developed. Given the overlap between the positioning for use of the research with influencing policy, programming and practice, this matter is largely discussed in the subsequent section examining the effectiveness of the Program.

2.2.2 Technical Quality and Merit

Finding 3: The research project portfolio was of high quality overall, particularly in terms of research relevance and design, though slightly less so in terms of project implementation. The most important factor negatively impacting research quality and merit has been the lack of good communicative/collaborative strategies among research teams. Key to the high quality and merit of research has been the support provided by IDRC.

All 15 projects filled gaps in the field of violence-poverty-inequality. The selection process was very competitive in terms of the theoretical and methodological design of proposed projects. Proposals were of high quality and included recent literature reviews, innovative perspectives and mixed-methods approaches. Consequently, all projects integrated multidisciplinary perspectives, and were designed along diverse qualitative and, to a lesser extent, quantitative methodologies. At the stage of implementation, the vast majority of projects were also of acceptably high quality, though variance in the technical quality and merit of different teams was evident. Overall, more than 75 peer-reviewed articles or book chapters have been published.

Still, as noted by an IDRC Staff, “the projects were not evenly consistent.” While traditional measures of research quality are clear (e.g. peer-reviewed publications), measures of quality related to influencing public policy, programming and practice are still not well understood and applied by researchers (see Section 2.3.4 on Research Outreach, Dissemination and Uptake). While all projects organized conferences with civil society organizations or meetings with public officials, the importance or ‘quality’ of such activities remains difficult to measure in general and contextually. Of note, limited expertise on relevant policy, programming and practice issues and approaches was a problem that some teams faced and that clearly impacted the quality of their work.

Overall, factors contributing to technical quality and merit are multiple. Internal to research teams, it is clear that a prior experience of having worked together has been a significant factor of research quality. Relatedly, the most important hindering factor to research quality, identified by 9 of 15 projects, was the lack of good communicative/collaborative strategies among researchers. Language barriers experienced by certain research teams created delays and frustrations that negatively impacted their work. Staff rotation within research teams was considered to have limited the quality of projects. External to the research teams, the ongoing assistance of IDRC staff was recognized by nearly all PIs as a key element of quality, notably in support provided to processes of project implementation. Finally, institutional and wider contextual factors were also important. The capacity of core institutions to manage projects bore on a minority of research projects’ ability to perform. The security and political contexts within which research was pursued, and the concomitant (un-)availability of data, were ever-present realities with differentiated implications for all projects.

2.2.3 Research Legitimacy: Methodologies and Ethics

Finding 4: Most SAIC projects were based on participatory methodologies, cognizant of the centrality of the research being conducted for and with communities. All projects were required to produce ethics and security protocols, which also resulted in innovative approaches to the research, with a stronger qualitative bent.

Most SAIC-supported projects were designed to pursue a participatory process that included multiple stakeholders, cognizant of the centrality of the research to communities in question. Despite not being directly required to do so, a portfolio review revealed that more than two-thirds of research projects were based on significant participatory design elements. Building on this research design, research implementation processes were marked by the involvement of multiple levels of stakeholders, from local community organizations to government Ministers, as appropriate to the contexts within which the research was undertaken.

Methodologically, the projects were diverse and innovative. At least 9 projects undertook quantitative analysis based on primary data, while 14 projects developed and deployed qualitative approaches and tools. All projects were required to produce sound ethics and security protocols, and most have also provided training for undertaking fieldwork in challenging environments. These protocols challenged and empowered multiple teams to develop innovative methodologies. The desire to give “voice” to relatively marginalized actors in insecure urban contexts was evident in the approaches adopted, including mobile phone surveys and participatory photography (See Appendix IV, Table iv.1). In addition, 7 projects used Geographic Information Systems (GIS) to further consolidate their analysis.

2.2.4 Research Legitimacy: Gender

Finding 5: Nearly all SAIC projects have either integrated gender considerations into their research design or produced gender-specific/sensitive results. The portfolio of projects has also been effective in depicting the complexity of both gender-based violence in urban contexts but also the transformative role of women in their communities. Overall, the Program created an insightful, innovative, and gendered discursive landscape.

From the outset with the Call for Proposals, gender was highlighted as a key element of the SAIC Program, in relation to the urban violence-poverty-inequality nexus. For the most part, researchers responded to this program-level priority by integrating and/or further augmenting gender considerations into their research design and practice. According to a portfolio review of the 15 SAIC projects: 10 projects pursued a gender-sensitive design, collected sex-disaggregated data and included gender issues in their findings and recommendations; 3 projects collected sex-disaggregated data and included limited gender issues in their findings; and 2 projects did not include a gender perspective at all. Of the entire portfolio, 3 projects were gender-intentional, specifically focusing much attention towards women’s and gender-based issues as related to urban violence in the Global South. Both cross-regional projects positioned gender at the very core of their original proposals. Interestingly, 3 projects did not include gender as key elements of their research design, but fieldwork shed light on the importance of gender; this resulted in findings and recommendations that would eventually become gender specific.

The Program was clearly framed in such a way as to position gender as a key factor to be taken into consideration by project teams. Additionally, the SAIC management team accompanied projects in such a

way as to support the integration of gender perspectives into methodologies, implementation and reporting. In most cases, this was highly effective in producing a gender-sensitive program. As explained by an IDRC Staff, “although not all started with gender in the backbone of the project, at the end, they included it as an important issue.” Nonetheless, in the case of 1 Sub-Saharan African project, “gender was poorly taken into consideration, despite attempts from IDRC to make it stronger.”⁸

The portfolio of projects has also been effective in depicting the complexity of both gender-based violence in urban contexts but also the transformative role of women in their communities, demonstrating evidence of progress since the Mid-Term Evaluation of SAIC.⁹ Beyond reproducing images of victimhood, SAIC projects visibly rendered the role of women as leaders of formal and informal institutions located in poor neighbourhoods facing social, economic and spatial vulnerabilities. As mentioned by one researcher from LAC, “Although the design of the project did not include a gender perspective, the results in the field allowed for an analysis that further debates the role of women in informal institutions”. Preliminary results indicate how women and men experience the urban violence-poverty-inequality nexus in the Global South very differently, requiring public policies that account for such differentiation (e.g. on matters of public transportation, public sanitation, water supply, etc.). To its merit, the SAIC portfolio also included a few projects that were anchored in, or drew upon, feminist theory (e.g. on issues of masculinity, social inclusion, institutions, etc.). Overall, the Program created an insightful, innovative, and gendered discursive landscape.

2.2.5 Research Importance

Finding 6: All consulted research users share a favourable perception of the SAIC Program of research.

Actual and potential users of research generated through the SAIC Program include high-level policy actors involved in international and regional organizations (e.g. WHO, UN Habitat, etc), national policy-makers, NGOs, CSOs and local communities. Of the research users consulted for the SAIC Program evaluation, all consistently expressed a highly favourable impression of the overall program of research. Research users value the leading role of Global South teams of researchers in the Program. They recognize the importance of ‘communities’ as a focus of the research rather than of ‘individuals’. This is considered an important innovation that could bring new theoretical, methodological and eventually policy-oriented and programmatic perspectives to the violence-poverty-inequality nexus. The participatory design of projects, including different stakeholders from communities as research participants, is regarded as an innovative Program component that heightens the relevance and reliability of research findings and recommendations. Finally, from a policy-oriented and programmatic perspective, research generated through SAIC is perceived as a valuable source of new data and analysis that is likely to continue shedding light on key issues for local and international actors involved with the issues.¹⁰

2.2.6 Quality of the Baseline Study

Finding 7: The Baseline Study was primarily a good literature review based on Northern theoretical approaches on violence, poverty, and inequality, with a bias towards issues of criminal violence. While serving to orient research teams, it under-examined important Global South considerations and matters of inequality.

The SAIC Baseline Study, *Researching the Urban Dilemma: Urbanization, Poverty and Violence* (Muggah, 2012), was prepared as a theoretical guide to applicants and recipients of SAIC funding.¹¹ It articulated

some of the main issues and challenges facing Global South communities, and served as an important source of information. The Study brought together diverse bodies of literature on violence, poverty and inequality, and in this sense, was a literature review more than a baseline study. It also included a public policy analysis of evidence-based initiatives as well as specific cases that could be considered promising or best practices. In principle, all research teams expressed valuing the existence of a document that clearly sets out the main theoretical and research objectives of the Program. 14 of 20 interviewed PIs recall the document and indicate having used it to develop their proposals. 5 researchers that were interviewed did not recall reading the baseline study; this is partially due to the fact that the baseline was published only in English and/or because they joined projects after the initial launch stage. Despite efforts evidently having been made to research from the Global South in this study, the document falls short on the following three counts: i) the theoretical framings and discussions are mostly based on Northern research; ii) important Global South issues are not widely discussed (e.g. the importance of public infrastructure, the relationship between violence and gender, etc.); and iii) crime and violence have a prominent role in the study, while societal violence is only peripherally discussed.

SAIC project outputs

Peer-reviewed publications (78)

51 articles

1 article under review

5 books

21 book chapters

Non-peer-reviewed publications (134)

20 articles

40 policy briefs

74 reports and other outputs

2.3 Program Effectiveness

2.3.1 Introduction

The OECD-DAC Criteria for Evaluating Development Assistance define effectiveness as the extent to which an activity, project or program attains its objectives.¹² For this study, the Evaluation Team was mandated to assess the *effectiveness* of the Safe and Inclusive Cities (SAIC) Program in terms of innovation, knowledge production, outreach, dissemination and uptake, and in supporting a skilled network of researchers. Overall, as discussed below, the Program was found to have been highly effective on most counts, though less so in terms of outreach, dissemination and uptake.

2.3.2 Innovative Theoretical Framework and Approaches

Finding 8: SAIC generated a strong, if diversely innovative portfolio of projects, notably on theoretical and methodological grounds, though less so with respect to the theory-policy/programming/practice interface.

One of SAIC's objectives was the development of innovative frameworks to advance knowledge related to the violence-poverty-inequality nexus. Given the diversity of disciplines, theoretical and methodological approaches of projects, SAIC has produced a strong, if diversely innovative portfolio of projects, based on an understanding of *innovation* as variably: (i) theoretical, either by developing new frameworks or by applying/testing existing theories; (ii) methodological, by developing and pursuing new approaches to research; (iii) policy/programmatic/practice-oriented, by pursuing research about this; and (iv) geographical, by developing research projects in areas where such research is minimal (See Appendix V, Table v.1).¹³

Based on a portfolio review, 10 projects have specifically been innovative theoretically. Methodologically, 3 projects stand out for being innovative. For instance, as mentioned in the Project Completion Report (PCR) of a cross-cutting project, “it adapted and applied a quantitative research methodology developed by Instituto Promundo called the International Men and Gender Equality Survey, a household questionnaire on men’s attitudes and practices.” Furthermore, 5 projects showed innovation linked to their focus on policies, programming and/or practice. Finally, of the 4 projects that are geographically innovative, 3 were found in sub-Saharan Africa. As noted in the Baseline Study, “perspectives and approaches based on experiences from sub-Saharan Africa are noticeably absent from global debates.” These SAIC projects filled a global gap in research; indeed, the projects mentioned here are illustrative of the wider body of innovation across the portfolio.

2.3.3 *Generating a Better Understanding – Knowledge Production*

Finding 9: At project level, SAIC surpassed its target of producing knowledge products on urban violence though their production is unevenly distributed across the portfolio. Peer-reviewed publications are concentrated within a few projects and the need for producing policy briefs has only been partially addressed. This last year, SAIC has effectively been synthesizing project results into program-level knowledge products.

SAIC has surpassed its target of producing knowledge products that identify key drivers of urban violence including social exclusion, vigilantism, displacement and resettlement, corruption, gender inequality and others. As indicated in the sidebar, the 15 SAIC projects produced together 212 written outputs, ranging from peer-reviewed articles and book chapters to non-peer reviewed articles and policy briefs. However, the distribution of the types of project outputs is fairly uneven among the cohort of SAIC projects. The bulk of peer-reviewed publications (83%) is concentrated within 6 projects. Until recently, only 3 of 15 projects had produced a total of 18 policy briefs. Based on findings from the Mid-Term Evaluation indicating that more needed to be done to influence policy uptake, programming and practice – and following DFID requests for producing more policy briefs – policy briefs were developed for 7 additional projects. However, one third of projects have not yet produced any policy briefs. It should be acknowledged that the SAIC Knowledge Translation Officer spearheaded the development of 5 of the 40 policy briefs with support from project PIs.

At program level, the SAIC Knowledge Translation Officer has supported the development of a global brief, which conveys cross-cutting messages on the drivers of urban violence, as well as regional briefs that use infographics to highlight regional trends. Thematic briefs highlighting cross-cutting findings on gender inequalities, displacement and social cohesion have been produced appropriately later in the Program. Impact stories conveying research results have been developed by the SAIC Program for one-third of projects. SAIC is in the process of finalizing two books: the first, a collection of chapters written by different project PIs on SAIC conceptual frameworks and how these have evolved during the research process; the second, bringing together findings from the different projects with a view to inform policymakers, practitioners and researchers.

2.3.4 *Research Outreach, Dissemination and Uptake*

Finding 10: At Program level, SAIC effectively reached out to policy-makers, development agencies and some donors. At project level, researchers variably reached out to policy-makers, NGOs and grassroots organizations. Researchers’ ability to reach

out to potential users depended on the political context, existing relationships with those users, and previous experience on policy and programming work.

Over 2,000 actual or potential users were reached by SAIC through more than 130 events at international, regional, national and local levels. The SAIC Program was responsible for international and regional outreach and dissemination activities. In doing so, it effectively reached out to policy-makers, development agencies and some donors working on issues of urban violence through a series of international and regional conferences. In recent year, there has been growing interest from the international community around issues of urban violence and SAIC was successful in identifying opportunities to present SAIC results at numerous such international gathering (see sidebar for a few examples). The SAIC Program also organized regional policy conferences in New Delhi, Santiago, Johannesburg and Dakar attended by diverse audiences including policy makers, development partners, researchers and donors. In May of 2017, the SAIC Program organized a closing conference attended by several stakeholders including development practitioners, policy-makers and researchers. DFID was represented at the event by one staff. SAIC also reached out to the international research community on urban violence, presenting its findings at prestigious research institutions.¹⁴ The SAIC Conference Participation Fund,¹⁵ created with additional resources gained from exchange rates to allow PIs/researchers to participate in conferences, was highly valued by consulted grantees.

The Program received media coverage from the Globe and Mail, the Guardian, Radio Canada International, the Economist, BBC Mundo and Al Jazeera. It is important to understand that, in recent years, people have moved away from traditional media and are increasingly interacting through social media. In this regard, the SAIC Program has successfully conducted social media campaigns to engage with diverse audiences, notably on International Peace Day, World Cities Day, and at the SAIC closing conference in Nairobi.

Results from the portfolio review indicate that 7 of 15 projects experienced difficulties in reaching target audiences, especially policy makers, both because of internal and external factors. One important factor explaining such difficulties, as underlined in the Mid-Term Evaluation, is that several SAIC researchers mostly had an academic background with little previous experience around policy work and advocacy. Outreach was facilitated by the existence of previous linkages with researchers and audiences. Other factors hindering outreach in some countries included a political environment that was not conducive to policy work, as well as insecurity. The majority of PIs and researchers consulted noted that IDRC Senior Program Specialists (POs) consistently pushed them to reach out to audiences, emphasizing the importance to position SAIC research in the sphere of influence. In countries where interacting with policy-makers was more challenging, research teams took a different approach by reaching out to grassroots organizations, communities, social movements, and political opposition groups. There is evidence that 6 of 15 projects received media coverage. Furthermore, two short documentary films were produced by grantees from 2 projects and presented at the SAIC closing conference.¹⁶ However, the Evaluation Team found little evidence that the majority of project teams used documentaries or more interactive platforms such as social media to reach out to their audiences.

International conferences and workshops

World Bank Fragility, Conflict and Violence Forum (2016)

Habitat III (2016)

UNDP Local Governance Forum (2016)

OECD-DAC workshop, as part of the International Network on Conflict and Fragility's Task Team meetings (2016)

World Urban Forum 7 (2014)

Finding 11: At Program level, knowledge products were diverse and well positioned for use. At project level, most projects continue to face challenges in translating research results into accessible findings and recommendations.

At Program level, SAIC was successful in positioning research results for use through a variety of communications products including info-graphics, briefs and impact stories. The Program received support from a Knowledge Translation Officer, an external communications firm and, occasionally, the IDRC communications department to package findings into useable information for a wide variety of audiences. All communications specialists consulted for this evaluation agreed that program staff were able to use different communication tools to translate findings into appealing communication products. Nearly all consulted research users consulted highlighted that program-level presentations were of high quality and that this helped them see the usefulness of SAIC research and findings to their work.

On the other hand, many SAIC research teams experienced difficulties in translating research results into accessible findings and recommendations within their countries. Two IDRC staff emphasized that many PIs and researchers have longstanding experience conducting academic research but do not necessarily have the required capacity to articulate findings that are well positioned for use. This concern was also reflected by one consulted DFID Staff noting that early policy briefs were rather generic and did not include enough substance and analysis across projects for meaningful policy-level discussion. Based on the portfolio review, the evaluation concluded that, in general, project outputs were predominantly academic, lengthy, and often did not include an executive summary, which would facilitate accessibility to policy-makers. Innovative communications tools were used by only a handful of projects to convey findings; for instance, 5 projects used infographics, while 2 used audio-visuals. Up until very recently, only 3 of the 15 projects had produced policy briefs. As noted above, policy briefs were produced for 6 additional projects in response to concerns expressed by DFID that SAIC had not produced enough policy briefs. It bears noting that those briefs were produced by Program staff targeting DFID, other donors and development practitioners as primary audiences. That the SAIC Program took the lead in producing such briefs reinforces the conclusion that a majority of projects continue to struggle to effectively position their research for use.

Finding 12: The Communications Strategy was successfully implemented, though it was approved somewhat late in the process. Likewise, the budget for communications covered for expenses but not for a Knowledge Translation Officer whose work would prove central to implementation. At the project level, the quality of uptake strategies varied.

Outreach and communications were integrated into SAIC program-wide planning and budgeting from the onset of the Program, with a dedicated budget of CAD 354,764. This amount represents about 3% of the Program's overall value.¹⁷ In 2014, SAIC contracted an external firm to develop a communications strategy, and the SAIC program manager started undertaking communications activities even before the Communications Strategy was approved. However, it was not until 2016 that a Knowledge Translation Officer was hired with additional funding generated from exchange rate gains. While the main objectives of the communication strategy (as outlined in the sidebar) were largely achieved, the majority of consulted IDRC staff acknowledged that the Knowledge Translation Officer was hired late in the process, given they were key to successfully conducting outreach. While the SAIC project had budgeted

SAIC Communication Objectives

1. Facilitate the uptake of SAIC project-level results among intended users of research
2. Support knowledge exchange and synthesis of findings to inform urban security and development measures
3. Account for progress in meeting program objectives and support IDRC (and DFID) corporate communication objectives by demonstrating the value of the research investment

resources for outreach activities, not having budgeted for appropriate personnel to do so from the outset posed a risk to Program communication, which is central to the success of any R4D program.

Likewise, the Evaluation Team concludes that the Communications Strategy was developed late in the process, approximately two years into the program cycle. While it is true that research results were only starting to become available towards the end of each project cycle, and that *findings* could only be disseminated then, developing a communications strategy at the design stage (rather than later) is desirable. Doing so positions a program to pursue opportunities for engaging potential users early on, developing their interest in / connection to the research, and thereby maximizing the likelihood of uptake.

At project level, the quality of strategies for reaching out to different audiences varied significantly among projects. All projects were required to develop uptake strategies at proposal stage.¹⁸ Nearly two-thirds of strategies clearly identified the stakeholders they planned to target while one-third only identified groups of stakeholders (i.e. policy-makers, NGOs, etc.) without specifying why they were targeted and how they could benefit from the research. Only one project included in its uptake strategy a policy landscape analysis detailing the political situation and the potential venues for influencing policies; doing so early on is particularly useful for projects taking place in countries with unfavourable political environments.¹⁹ One IDRC stakeholder noted that outreach and communications was discussed, though briefly and not sufficiently, with project teams during the inception workshop.

Finding 13: The Program Theory of Change suggesting that dissemination will eventually lead to policy change is incomplete and unconvincing considering the time-bound nature of the Program and unfavourable political environment in some SAIC countries. Nonetheless, there is evidence of policy influence in some countries, as well as indications that SAIC has contributed to informing policy debates.

The Theory of Change (TOC) for the SAIC Program foresees that the dissemination of results generated by researchers will lead to informing debates on urban poverty and violence, and will subsequently inform the decisions of policy-makers, donors and other relevant actors. In the end, this will result in more effective strategies and policies on urban poverty and violence and, ultimately lead to a reduction in urban poverty and violence (see the full Theory of Change in Appendix V, Exhibit v.1). The TOC fails to adequately consider the location of grassroots organizations, communities, CSOs and social movements as a necessary vehicle for influencing policy in countries. In many countries, reaching out to policy-makers was not realistic due to unfavourable political contexts, and that reaching out to such alternative audiences was more realistic and even necessary for the research to be positioned in the sphere of influence (to include programming and practice). In these cases, influencing policies may not even be expected, at least not in the short- to medium-term, as changes may only occur through a process of sustained advocacy and social awareness, which could eventually exert political pressure on policy actors for meaningful change. The time-bound nature of the Program was an important limiting factor in its ability to influence policy. At Program level, all consulted research users noted that their exposure to and interactions with SAIC were limited.²⁰ Those users acknowledged having learned a great deal from the presentations, noting that the SAIC program is in this sense contributing to informing debates on urban violence. However, the leap from informing debates through outreach events to policy change is unsubstantiated and unconvincing, given the complexity and lengthiness of policy change processes.²¹

At project level, the Evaluation Team found evidence of policy/programming/practice influence in 6 of the 15 projects, which is remarkable at this early stage given that policy uptake usually occurs over longer period of time. In rare circumstances, national policy influence derives from opportunistic processes, as in the case of the Chilean government integrating SAIC results in its National Victimization Survey. Most of

the time, sustained advocacy is essential for optimizing the chances that results will be taken into consideration in future political processes; and, the time-bound nature of SAIC projects does not favour such likelihood. Thus, policy influence and uptake significantly hinges on researchers' capacity and willingness to continue advocating SAIC results among target audiences; some PIs and researchers have plans to continue advocating based on their research results. The evaluation found that involving NGOs²² in the research is important as they are more likely to integrate their results into their own future programming, thereby favouring the sustainability of research results and increasing chances for influencing policies, programming and practice.

2.3.5 Supporting a Skilled Network of Researchers

Finding 14: SAIC has contributed to the development of a skilled network of Global South researchers, with particularly beneficial effects on the building of national and regional communities of practice.

The SAIC Program developed a number of opportunities for researchers to meet, exchange views and research results through regional conferences, meetings, listserves and other virtual platforms. Meetings organized by IDRC were held at various times throughout the Program, supporting the development of a skilled network of Global South researchers. Less effectively building a *global* community of practice, the SAIC program leaves an important legacy of *national* and *regional* network development and discursive community building. The final technical report of one sub-Saharan African project explains, "The network has been particularly useful in facilitating the sharing of ideas among South African partners working on similar themes." In Latin America, the program consolidated a regional network of researchers (largely limited to PIs) moving towards an integrative approach on violence-poverty-inequality nexus. Of 15 projects, 6 attracted additional financial support and 5 presented proposals to IDRC and other donors for new research that builds on SAIC research.

The *PIs* and *researchers* supported through SAIC convey diverse perspectives on the extent to which they were given opportunities to meet, network, think together and inform one another's work. Of the portfolio of 15 projects, the PIs and researchers of 4 projects indicated have had 'multiple' networking opportunities, 8 mentioned 'some' opportunities with room for improvement, while 3 indicated that opportunities were poor. Key points of appreciation included: the opportunity to meet people from different cities and countries working on similar issues, networking across universities, strengthening national and regional networks, and international exposure. Interview data clearly points to the fact that networking opportunities were largely limited to PIs; other researchers on projects barely tapped into the international dimensions of the projects. Researchers were basically dedicated to their own projects' objectives and did not benefit from any deeper mechanisms of exchange across projects, particularly across regions. As one researcher explained, "There were some informal links. We were so overwhelmed about getting our own results on the ground that there was not much time for networking." In other words, networking opportunities were largely confined to a small, if expert group of PIs. Still, thousands of individuals have benefitted from academic opportunities and teachings stemming from SAIC projects.

The quality of discursive opportunities from such encounters was also variable throughout most of the Program trajectory, as perceived by the PIs themselves. Despite the multiple meeting opportunities, the spaces created were largely used for the presentation of project information and less so on discussion and debate related to theories, methodologies or even public policy results to the satisfaction of participating PIs. The SAIC closing conference in Nairobi was a clear departure from this, given largely to the effectiveness with which the methodological toolkit was deployed, itself including traditional project

presentations, a keynote address, World Café, Talk Shows, interactive spaces, a dynamic blogosphere and more.²³

2.4 Efficiency Analysis

2.4.1 Introduction

The OECD-DAC Criteria for Evaluating Development Assistance define efficiency as a measure of “outputs – qualitative and quantitative – in relation to inputs.”²⁴ For this study, the Evaluation Team was mandated to broadly assess program *efficiency* from a number of different perspectives, which include: the use of human and financial resources; project efficiencies; the pursuit of cost reduction opportunities; the Call for Proposals; and overall Value-for-Money. The Evaluation Team was also asked to assess the strengths and weaknesses of both management and governance arrangements.

2.4.2 Human and Financial Resources

Finding 15: The SAIC Program operated in a lean manner with administrative expenses hovering around 10%, which is below IDRC’s current allowable limit of 11%. Further, operational expenses were kept below 9% of the overall program budget. However, the program was short of human resources, and the staff members were overstretched. The program has also suffered from a high ‘key person dependency risk’ for the duration of the program.

As part of the annual evaluation of its finances in 2014, IDRC lowered the level of allowable administrative expenses for externally funded programs from 12% to 11% of the budget. SAIC has been consistent in keeping its administrative expenses below that level. SAIC is budgeted to spend only 10% Program costs as administrative expenses (with the budget period ending 31 July 2017). Indeed, actual administrative expenses have been lowered since the beginning of the program from 10.36% to 10.00% currently (See Appendix VI, Table vi.1). In the same manner, the operational expenses for the Program (staff cost, travel, and office costs) were limited to between 6.95-8.96% of the overall Program budget (See Appendix VI, Table vi.2). Travel costs were limited to less than 1.9% of total Program costs throughout the Program, and the actual expenses on staff costs have been limited from 5.15%-6.46% of costs so far (according to latest available financial reports). This is comparable with other IDRC programs, and low in comparison with programs external to IDRC.²⁵ Thus, SAIC has operated in a lean manner, with minimized program administration and operational costs (See Appendix VI, Table vi.3).

However, human resources were barely adequate given the scale and revised ambitions of the Program. A Senior Program Officer (SPO) was appointed to oversee SAIC since its beginnings, later to be supported by a Program Officer – Knowledge Translation as of April 2016. The appointed SPO was highly appreciated across the Program, and recognized as having managed the program without requisite administrative, communications and other support. The Knowledge Translation Officer appointment was opportunistic, based on the availability of additional funds resulting from both thrift and foreign exchange gains, rather than part of foreseen human resource costs of SAIC. Limited staff capacity and growing demands on staff were recognized as a risk facing SAIC by DFID in its 2016 Annual Review. Respondents from IDRC unanimously agreed that human resources were overstretched. With so much Program knowledge held by one person, the SPO, a ‘key person dependency’ risk emerged.²⁶ The focus on lean operations often forces organizations to work with a less than ideal workforce, vesting strategic knowledge, resources and abilities in key persons. This creates risks of institutional bottlenecks, and related risks of knowledge

transfer and voids in case the incumbent no longer occupies the position. According to an industry report, such key persons can experience burn out, and “the flight risk that ensues as a result is very high and these critical, specialized processes can cease to function when KPs eventually leave the company”²⁷. SAIC has been exposed to such a risk throughout.

2.4.3 Project Efficiencies

Finding 16: All 15 SAIC projects were allocated nearly equal budgets, despite the diversity of project needs, capacities, scale and context. The research budget was considered generous by most project teams, while fragmented and somewhat inadequate for cross-regional projects. Supplements were provided for 2 projects to cover for losses incurred on account of exchange rates, and one cross-regional project to cover additional research expenses.

SAIC supported 15 research teams in 16 countries working in more than 40 cities across Latin America, South Asia, and sub-Saharan Africa. SAIC provided all projects with nearly equal budgets. Grant sums, as analyzed through a portfolio review, are reported in a table found in Appendix VI, Table vi.4. The grants ranged from CAD 403,400 to CAD 545,886 with an average of CAD 493,206. Many, though not all, project researchers expressed satisfaction with the financial resources made available to projects through SAIC (See Appendix VI, Table vi.5). Indeed, the disbursement of funds to projects did not fully and properly account for the diversity of the SAIC portfolio. SAIC-supported projects and teams were vastly different on dimensions such as context, team composition, research costs, type of research, and cost of living. Due to this diversity, the same project grant was inadequate or fragmented for certain projects. Among the most significant under-budgeted costs included project management for multi-institutional teams, international travel and the translation of research documents. At least 2 projects reported that the financial resources were fragmented across the teams and increased the burden on the projects.

Fluctuations in currency exchange had mixed impacts on projects. At least 3 projects were adversely impacted by currency fluctuations, while at least 2 projects benefitted from this. Supplements were provided to at least 2 projects on account of exchange rate loss, and to 1 cross-regional project to cover additional research expenses, while a few other grants were reduced because the teams were not able to use the funds. Finally, some PIs found it challenging to manage a project across many currencies (See Appendix VI, Exhibit vi.1). These many challenges are recognized by IDRC.

2.4.4 Cost Reductions and Efficiencies

Finding 17: The SAIC management team pursued various cost-reduction measures and opportunities, ensuring that program resources were optimised. The program was also strategic in taking advantage of exchange rate gains, hiring temporary staff, offering conference travel grants, and in other ways. Across the Program and projects, all stakeholders firmly believe that any reduction in resources provided to projects would likely have compromised the quality and depth of research practices and outputs.

In addition to keeping administrative and operational costs low, SAIC management pursued a number of cost-reduction measures and opportunities. Travel was organized so as to leverage multiple opportunities at the same time (e.g. workshop travel and monitoring visits abroad were scheduled to overlap). For instance, while visiting Cape Town for the SAIC Midterm Workshop, the SPO also participated in a

conference, conducted a project-monitoring visit and attended an outreach event. On another occasion, a visit to Dakar for the SAIC Regional Policy Conference in West Africa also involved additional regional travel for project monitoring. Program events and conferences were organized during non-peak travel seasons and locations to minimize easily avoided costs (See Appendix VI, Table vi.6). The program accrued savings through other ways. SAIC was positively affected by fluctuations in exchange rates (See Appendix VI, Exhibit vi.2). The exchange rates between GBP and CAD during this period of the Program ranged from 1.5449 to 2.0040. Multi-year exchange rate trends led to a total underspend of GBP 254,737 in the initial years. SAIC realized additional savings by keeping administrative costs to about 10% and by redistributing the unused budget intended for the relocation of the SPO upon hire.

These savings, combined with the underspend resulting from exchange rate fluctuations were used for various research and outreach activities. Savings provided additional support to SAIC researchers to attend academic and policy conferences. They helped support costs related to the SAIC Midterm Workshop, four regional policy engagement conferences, and for knowledge products. Exchange rate savings were also used to recruit the Knowledge Translation Officer, which helped with the communications and synthesis analysis of SAIC. While Program management made every effort to keep costs low across the board, there was unanimous agreement among interview respondents that a reduction in funds to the Program would have compromised the robustness of the research. Specifically, research methodologies would have needed to be revised, fewer opportunities for project-specific team meetings and program-wide events would have been possible, and the strategic investment in policy influence and programmatic uptake would have been yet more limited.

2.4.5 Call for Proposals

Finding 18: Pursued through a resource intensive though appropriate one-step process, the Call for Proposals elicited a high number of quality submissions. The Call process was moderately successful in reaching its target audiences, with a higher than desirable proportion of successful applicants emanating from academic institutions. The Call process was a missed opportunity to initiate the process of building a community of researchers from the outset.

The Call for Proposals was pursued through a fully competitive, one-step open process, the first ever of IDRC's Governance, Security and Justice (GSJ) Program.²⁸ Researchers were invited to submit full proposals for research funding, anchored thematically in the urban violence-poverty-inequality nexus. Given it was not at all clear how many proposals were likely to be submitted, the open process was quite appropriate on a number of levels (see Appendix VI, Exhibit vi.3). First, it provided confirmation of thematic interest. More than 300 proposals were submitted, far more than was anticipated. This resulted in funding support being provided to 15 research projects, more than double the originally anticipated 5 or 6 projects. On this point, the one-step process was pursued through an appropriate 10-month, three-stage process comprising, i) a Call for Proposals, ii) an institutional risk assessment, proposal refinement and final section, and iii) grant negotiation and project approval. Second, the Call process served to identify and network a pool of researchers working at the discursive cusp of the field in Africa, Asia and Latin America, noting the Call was appropriately undertaken in English, French, Spanish and Portuguese. About 5% of projects proposed were successful, which is also appropriate for a competitive process.

This Call process also offers important insights and lessons for the future. Given the extensive response, the Call process was resource intensive, from the perspective of both applicants and reviewers. A slightly higher than desirable rate of successful applicants emanated from academic institutions, at 14 of 19 recipient institutions, resulting in a more academically than developmentally-oriented R4D program. This

stemmed from the largely academic framing of both the Call and the Baseline Study. Finally, the one-step open process launched the program as a series of projects, without initiating the process of building a community of researchers intent on thinking together across projects from the outset.

2.4.6 Overall Value-for-Money

Finding 19: Overall, SAIC has provided high Value-for-Money, based on DFID's criteria framework as well as on matters of equity.

Value-for-Money (VfM) is defined by DFID as the maximization of impact of each monetary unit spent to improve poor people's lives.²⁹ This basic definition is expanded into the following multi-pronged framework: Economy, Efficiency, Effectiveness, Cost-Effectiveness (See Appendix VI, Exhibit vi.4). Additionally, the Annual Reviews of the SAIC by DFID also reports on the matter of 'Equity'. Therefore, this evaluation of SAIC also includes an analysis of equity. Overall, SAIC performed well on the criteria and, in our estimation, provides a high VfM.

SAIC has been managed efficiently and economically, with administrative and operational costs maintained around or below 10% for each, with various opportunities pursued to reduce costs and maximize resource use. This has helped SAIC perform well on the criteria of economy. SAIC has also been run efficiently, keeping overall Program spending stable, all the while ranking high as measured by its performance against indicator targets and output scores. The Program has been effective overall, having supported extensive knowledge production and dissemination³⁰, contributed to building a network of researchers, though only now starting to show real evidence of policy influence that is itself likely to continue. For the time being, its outputs were reported to inform policy making in several countries and were incorporated in policy reports of international organizations.

Considering the time required for outputs to achieve desired outcomes and impact, cost-effectiveness of SAIC is yet to be fully realized. Nonetheless, across interviewed members of the SAIC partnership, it is expected that with many forthcoming outputs, SAIC impact will be realized several years into the future. Further, SAIC has performed well on the dimension of equity, as it supports South-South partnerships, focusing on research issues of importance to the Global South, while integrating gender and pursuing inclusiveness through research design and implementation. SAIC was rated 'A' by DFID on the Program Score in 2013 and 2014. The rating improved to 'A+' in 2015 and 2016. SAIC performed well on all the criteria in DFID's framework for VfM, and was considered to provide high VfM.

2.4.7 Strengths and Weaknesses of SAIC Management Arrangements

Finding 20: The risk-based approach of SAIC management was effective at pre-empting, mitigating and addressing the many management, financial, performance and security risks associated with this Program.

The SAIC team monitored and managed several project risks: management, financial, performance and security. More than half the projects were regarded to have high risk in at least one respect (See Appendix VI, Table vi.7). It devised several strategies to pre-empt, mitigate and address specific risks. On account of the sensitive subject matter and the context of the research, many projects faced risks related to matters of security and politically charged contexts. Security protocols with mitigating strategies were developed to ensure the safety of researchers. In one case, IDRC's legal department (OSGC) was consulted in the drafting of the project's Memorandum of Grant Conditions and creating provisions related to the risk of

exposure to violence. In yet another case, the proposed 27 research sites were reduced to 13 on account of the risks related to the security of researchers and participants.

Another challenge faced by projects pertained to coordination among various partners on the same team. In one such case, several mitigation strategies were identified, including the development of a Memorandum of Understanding among research partners, the establishment of a joint calendar of activities including regular joint meetings and the establishment of clear roles and responsibilities. Project partners with anticipated risks related to financial management were requested for disclosure of financial audits and presentation of financial statements. Of the projects, output delivery was delayed on 8 projects. This was on account of various reasons pertaining to administrative delays, inter-team dynamics, as well as contextual and external factors. For 7 projects the performance information was used to adjust the course of the project (See Appendix VI, Table vi.7). Of the 7 projects where it is known that performance information was used to adjust the course of projects, only 1 was delayed. Ultimately, in spite of the high risks faced by projects, none failed and SAIC performed well against all Program indicators.

That IDRC's risk mitigation strategies were effective was also recognized by DFID. In terms of risk, DFID's perspective of the Program as a whole changed from inception to near-completion, from high, to medium and then moderate. It rated risk as 'high' at the beginning of the Program, given the range of issues being covered, some of the partners involved and the locations in which this work was being undertaken. DFID lowered its assessment to 'medium' risk in the Annual Review 2014, which remained quite significant, on account of the security status in project countries (e.g. Venezuela), concerns about the safety of researchers themselves (e.g. Zimbabwe), evidence of technical failures of research, and some wanting updates of research. The risk rating was further lowered to moderate, as reported in the 2016 Annual Review (see Appendix VI, Table vi.8).

Finding 21: Most monitoring processes established for SAIC worked to the general satisfaction of stakeholders, notably enabling the adaptive management of the Program. The available management systems were, however, perceived as arduous by the IDRC staff and were in some ways inadequate. In the absence of a way to track staff time allocation, it was not possible for SAIC to effectively monitor its own staffing needs and demands. Nearly all project teams indicated that M&E obligations were similar to those of other comparable programs, also noting they would have appreciated more timely feedback on their reporting.

Despite important challenges from the outset of the Program, most monitoring for SAIC worked to the general satisfaction of the range of stakeholders. Given the immense and unanticipated response to the Call for Proposals, the monitoring system (including the logframe and indicators) was nonetheless updated to reflect new objectives and targets.³¹ The Program aspires to a few challenging outcomes related to knowledge exchange and building a community of researchers, which are qualitative and therefore difficult to measure. Still, DFID staff, as well as researchers, in general, were satisfied with the frequency and quality of monitoring on SAIC. Many researchers asserted that regular monitoring played a strong role in the timely achievement of their targets. Others expressed they would have appreciated more timely feedback and less cumbersome reporting mechanisms.

Although monitoring processes were generally satisfactory, the systems available for management were arduous. Monitoring was done manually through a spreadsheet used to capture progress on project indicators – a laborious process for a sizeable program. Travel arrangements for the Inception Workshop were made through IDRC. The expansive logistic arrangements proved challenging and arduous for the Grant Administration Division (GAD) and Program staff. For later workshops, grantees had the responsibility to make their own travel arrangements, which would later be reimbursed by IDRC, though

this resulted in additional transaction costs and communication pressure on Program staff. Some grantees highlighted that it would have been easier for IDRC to pay for grantee travel arrangements directly. Finally, SAIC did not track staff time allocations. As a result, it was not possible to monitor the needs and demands of staffing.³²

2.4.8 Strengths and Weaknesses and SAIC Governance Arrangements

Finding 22: SAIC is one among several programs comprising a wider strategic partnership between DFID and IDRC. Program governance was properly defined from the outset, with DFID and IDRC roles and responsibilities clearly and appropriately allocated through a Memorandum of Understanding. Structuring the Program partnership with DFID as donor-partner and IDRC as donor-management-partner played to the strengths of each institution, while minimizing burdensome administrative complexities.

SAIC is one among several programs comprising a wider strategic partnership between DFID and IDRC. For the SAIC Program, DFID was the leading donor-partner, contributing a disproportionately higher level of funds, though without assuming any management responsibilities, which was suitable given DFID's relatively low capacity for doing so. DFID also assumed a few key substantive roles throughout, in contributing to the design of the M&E framework, reviewing a culled selection of proposals, and providing strategic and substantive feedback at key moments in the program. Contributing a lower level of financial resources to the Program, though equal as a partner nonetheless, IDRC assumed all management responsibilities for the SAIC Program. Contributing its staffing and expertise in R4D management, IDRC professionally ensured an effective implementation of the Program and all of its activities from the Call for Proposals through to the May 2017 closing conference in Nairobi, as well as ongoing synthesis activities. As explained by one DFID stakeholder, "The distribution of roles and responsibilities made sense, for IDRC to have management responsibility. To split these responsibilities more would have made the Program more difficult to manage."

Finding 23: With a productive, respectful, collegial and open relationship throughout, DFID and IDRC have pursued what has been poignantly described as a "problem-solving approach".

Despite changes in key staff at DFID and IDRC at key moments in the Program trajectory, DFID and IDRC maintained a productive, respectful, collegial and appropriately open relationship throughout. As described by one key stakeholder at IDRC: "Overall, IDRC and DFID relationship has been very positive, over the 3.5 years. DFID was very hands off and very supportive, focusing on risks and wanting solutions. And giving us space to do what we do best." Challenges emerging along the way, typical of all partnership-based programs, were clearly dealt with professionally by program staff that adopted what has been referred to by one DFID stakeholder as a "problem-solving approach".

Given the small size of the Program, there was no executive or advisory committee in place. Such a committee was not envisaged early on, and was not created despite the Program's expansion from an anticipated 5-6 to the funded 15 projects. In lieu of such a program-level committee structure, quarterly phone-based 'catch-up' sessions were held between Program staff of IDRC and DFID. Such meetings focused largely on managerial matters with little substantive discussion, which became an issue in the latter stages of the program, as substantive matters became more pressing with the advance of research projects and the emergence of preliminary results.³³ On this as with other matters, DFID and IDRC

communicated poignantly when something was in need of immediate attention, and a way forward was crafted to the satisfaction of all parties, which attests to the strength and adaptability of this partnership.

3 Conclusions and Recommendations

3.1 Conclusions

Highly relevant to its key stakeholders, the SAIC Program has been remarkable in meeting and surpassing most of its program-level objectives. Governed appropriately, the Program has also been managed efficiently. At the time of writing, there was no indication that SAIC would be supported for a subsequent phase. Nonetheless, the Evaluation Team was asked to share insights, lessons learned and recommendations that could apply to other, similar R4D programs. The following 11 recommendations and concluding thoughts provide high-level guidance for such program planning into the future.

3.2 Recommendations

3.2.1 *A South-South Research Agenda*

Recommendation 1: Given the paucity of South-South R4D programs, IDRC, DFID and potentially other partners should envisage building further South-South (even South-South-North) based initiatives that are situated within globally-defined policy frameworks like the Sustainable Development Goals. Researchers from the Global South approach R4D challenges from a unique set of vantage points that respond specifically to contextual problems, challenges and priorities, on issues of urban violence, poverty and inequality (and other issues). The SAIC Program has demonstrated itself to be of high relevance to IDRC, DFID, Global South researchers and research users, for (among other reasons) framing, researching and addressing issues from a set of Global South perspectives. Continuing to support such an R4D agenda would serve to continue generating thematically-inscribed solutions that are both globally and contextually situated, contributing to the development of national, regional and global R4D communities of practice of Global South researchers, while building the capacity of researchers and their institutions for doing so.

3.2.2 *Call for Proposals*

Recommendation 2: The Call for Proposals should be envisaged as an outreach and engagement strategy. It should be designed to both reach specific audiences and also begin to engage them in advancing program priorities. Introducing Conceptual Notes in advance of full proposals is generally more efficient for all parties than pursuing a one-step full proposal process. A two-step process may also be used to initiate the development of an integrated, multi-project Global South R4D community of practice. For these purposes, potential (short-listed) grantees should be brought together to further develop and finalize their (overlapping/shared) research agendas.

3.2.3 *Baseline Studies*

Recommendation 3: A Baseline Study should be developed and shared with potential program applicants as part of Calls for Proposals, as was done with the SAIC Program. The Baseline Study should be closely tailored to the contextual, thematic, methodological, geographic and other priorities

of any program, ensuring that an appropriate diversity of perspectives is reflected therein. The Baseline Study should preferably comprise a set of position papers that reflect such diversity, ensuring that Global South perspectives are appropriately included.

3.2.4 Innovation

Recommendation 4: A key priority of such an R4D program should continue to be the drive for innovation. Further clarity is required on the definition of ‘innovation’, which the current Evaluation Team structured as theoretical, methodological, geographic and policy/programming/practice influence. Supported R4D research teams should be required to articulate the multiple dimensions of innovation pursued by their projects. IDRC, DFID and partners should also provide guidance and support to the most promising teams throughout the lifecycle of programs and projects towards this end. Building on this, opportunities for sharing the results of such innovation, through peer-reviewed academic articles and other publications, workshops for peers, presentations to diverse audiences should be cultivated.

3.2.5 Prioritizing Gender

Recommendation 5: Gender considerations should remain central priorities to R4D programs supported by IDRC, DFID and partners into the future. Approaching research through a gender-sensitive lens (including framing, methodology, data collection and reporting) should be a requirement for receiving such R4D support, given its centrality to urban violence, poverty and inequality issues (and indeed so much of R4D). As required, workshops and training should be provided to R4D funding recipients, with opportunities for ample theoretical and methodological experience sharing among R4D teams, building a strong cohort of gender-sensitive researchers.

3.2.6 Theory of Change

Recommendation 6: Integrated program and project level Theories of Change should be developed to recognize multiple pathways to impact of such an R4D program, mindful of contextual and global considerations and priorities. Meaningful, transformative change happens along multiple pathways, including policy influence, local/national/international programming, advocacy work, the mediascape, private sector engagement, gender relations, and discursive practices more broadly. It is the responsibility of R4D programs to articulate Theories of Change that clearly capture such multiplicity and complexity, in specific relation to the research being supported.

3.2.7 Influencing Policy, Programming and Practice

Recommendation 7: Stemming from a sound Theory of Change, greater clarity and strategic development should be developed regarding actual and potential pathways of influence of R4D programs like SAIC. A disproportionate focus on *policy* influence is in evidence, and equally focused development is warranted on influencing *programming* and *practice*. This tripartite framework of influence needs to be structured and matched to R4D programs, with concomitant objectives and indicators including in program logframes, taking into account the multiplicity of pathways as well as multi-sectorality and levels of research users. Researchers applying for program support should be required to develop a political landscape analysis in relation to their research, articulating potential pathways to influence in their proposals, and being held to account for implementing components of their strategies within their capacities (e.g. relationship-building with policy-makers, NGOs, media, etc.). Inception workshops should include a component on pathways to influence, with ongoing strategic

discussions at key moments in the program trajectory. Program staff with expertise in knowledge translation should provide support at program and project level throughout, including strategizing, training, knowledge product development and communications.

3.2.8 Strategic Communications

Recommendation 8: Communications should be approached as a strategic and a necessary practice from the outset of an R4D program. In the R4D community, communications are often understood as a programmatic dimension that is of greater importance towards the latter period of a program cycle when findings are available for sharing and dissemination. Approaching communications in this way fails to recognize and capitalize on the strategic power of communications, for generating awareness about a program, for framing and influencing policy/programming/practice oriented discussion, for building communities of practice, for ensuring that mainstream media picks up on research results when and as they are available. Developing complementary program and project level communications strategies intent on engaging mainstream and social media, and budgeting for this at both levels, will more effectively advance R4D program priorities of amplifying the relevance and influence of R4D programs and projects. An important component of such a strategy would entail providing training opportunities and tools to R4D researchers related to traditional and social media engagement, making this a requirement of receiving funding support.

3.2.9 Contextualizing Budgets

Recommendation 9: Cognizant that R4D projects are contextually, methodologically and administratively unique, R4D programs should tailor their budgetary offerings to meet such distinctiveness. Participatory methodologies can be intensive in their human resource requirements, given the need to identify research participants, build trust, deploy practices, collect and process data, and pursue appropriate follow-up. Where multiple research sites or teams are involved, travel and coordination requirements will differ. Given risk assessments of projects undertaken by program staff, mitigation, administrative and reporting requirements will differ. Each of these particularities should inform the way in which budgets are tailored and resources are allocated to specific projects.

3.2.10 Risk-Based, Adaptive Management

Recommendation 10: The highly effective risk-based approach to program management should be pursued and further developed. To begin with, given that R4D programs are human resource intensive, management capacity should carefully be tailored to meet programmatic and institutional goals. Avoiding or minimizing 'key person dependency risks' should be a program priority, ensuring programmatic continuity and leadership. Adequate administrative support should be provided. Staffing with knowledge translation expertise is key to the success of such programs. In addition, appropriate management systems should be in place to support program management (e.g. staff management) as well as M&E appropriately. An effective M&E system, and the staffing capacity to work with it, is necessary for the provision of timely and useful feedback to projects and at program level.

3.2.11 Governance Considerations

Recommendation 11: DFID and IDRC share a thriving strategic partnership, of which the SAIC Program was a small but important element. The distribution of responsibilities, which sees DFID as donor-partner and IDRC as donor-management-partner is a good one, playing to the strengths of each institution, and should be maintained and built upon through such programs. Maintaining the problem-solving approach at governance level is key, with quarterly meetings to ‘catch-up’ on the overall management and operations of the program. Beyond this, however, while a relatively small program of this nature may not warrant an executive or advisory committee, DFID and IDRC staff working on the program should formalize a structure for substantive (i.e. thematic, policy-oriented) exchange (e.g. occasionally with grantees). Doing so would ensure that the donors’ substantive and wider programmatic expectations are clearly articulated, favoured and effectively supported.



Appendix I List of Findings

- Finding 1: The SAIC Program is highly relevant to both DFID and IDRC, embodying and advancing their distinct and shared *global, institutional* and *regional* priorities.
- Finding 2: Global South researchers involved with the Program recognize and value the significance of the Program and the support it provides. They appreciate the opportunity to pursue reasonably well-funded appreciative and critical research on the violence-poverty-inequality nexus in medium to long-term projects.
- Finding 3: The research project portfolio was of high quality overall, particularly in terms of research relevance and design, though slightly less so in terms of project implementation. The most important factor negatively impacting research quality and merit has been the lack of good communicative/collaborative strategies among research teams. Key to the high quality and merit of research has been the support provided by IDRC.
- Finding 4: Most SAIC projects were based on participatory methodologies, cognizant of the centrality of the research being conducted for and with communities. All projects were required to produce ethics and security protocols, which also resulted in innovative approaches to the research, with a stronger qualitative bent.
- Finding 5: Nearly all SAIC projects have either integrated gender considerations into their research design or produced gender-specific/sensitive results. The portfolio of projects has also been effective in depicting the complexity of both gender-based violence in urban contexts but also the transformative role of women in their communities. Overall, the Program created an insightful, innovative, and gendered discursive landscape.
- Finding 6: All consulted research users share a favourable perception of the SAIC Program of research.
- Finding 7: The Baseline Study was primarily a good literature review based on Northern theoretical approaches on violence, poverty, and inequality, with a bias towards issues of criminal violence. While serving to orient research teams, it under-examined important Global South considerations and matters of inequality.
- Finding 8: SAIC generated a strong, if diversely innovative portfolio of projects, notably on theoretical and methodological grounds, though less so with respect to the theory-policy/programming/practice interface.
- Finding 9: At project level, SAIC surpassed its target of producing knowledge products on urban violence though their production is unevenly distributed across the portfolio. Peer-reviewed publications are concentrated within a few projects and the need for producing policy briefs has only been partially addressed. This last year, SAIC has effectively been synthesizing project results into program-level knowledge products.
- Finding 10: At Program level, SAIC effectively reached out to policy-makers, development agencies and some donors. At project level, researchers variably reached out to policy-makers, NGOs and grassroots organizations. Researchers' ability to reach out to potential users depended on the political context, existing relationships with those users, and previous experience on policy and programming work.

- Finding 11: At Program level, knowledge products were diverse and well positioned for use. At project level, most projects continue to face challenges in translating research results into accessible findings and recommendations.
- Finding 12: The Communications Strategy was successfully implemented, though it was approved somewhat late in the process. Likewise, the budget for communications covered for expenses but not for a Knowledge Translation Officer whose work would prove central to implementation. At the project level, the quality of uptake strategies varied.
- Finding 13: The Program Theory of Change suggesting that dissemination will eventually lead to policy change is incomplete and unconvincing considering the time-bound nature of the Program and unfavourable political environment in some SAIC countries. Nonetheless, there is evidence of policy influence in some countries, as well as indications that SAIC has contributed to informing policy debates.
- Finding 14: SAIC has contributed to the development of a skilled network of Global South researchers, with particularly beneficial effects on the building of national and regional communities of practice.
- Finding 15: The SAIC Program operated in a lean manner with administrative expenses hovering around 10%, which is below IDRC's current allowable limit of 11%. Further, operational expenses were kept below 9% of the overall program budget. However, the program was short of human resources, and the staff members were overstretched. The program has also suffered from a high 'key person dependency risk' for the duration of the program.
- Finding 16: All 15 SAIC projects were allocated nearly equal budgets, despite the diversity of project needs, capacities, scale and context. The research budget was considered generous by most project teams, while fragmented and somewhat inadequate for cross-regional projects. Supplements were provided for 2 projects to cover for losses incurred on account of exchange rates, and one cross-regional project to cover additional research expenses.
- Finding 17: The SAIC management team pursued various cost-reduction measures and opportunities, ensuring that program resources were optimised. The program was also strategic in taking advantage of exchange rate gains, hiring temporary staff, offering conference travel grants, and in other ways. Across the Program and projects, all stakeholders firmly believe that any reduction in resources provided to projects would likely have compromised the quality and depth of research practices and outputs.
- Finding 18: Pursued through a resource intensive though appropriate one-step process, the Call for Proposals elicited a high number of quality submissions. The Call process was moderately successful in reaching its target audiences, with a higher than desirable proportion of successful applicants emanating from academic institutions. The Call process was a missed opportunity to initiate the process of building a community of researchers from the outset.
- Finding 19: Overall, SAIC has provided high Value-for-Money, based on DFID's criteria framework as well as on matters of equity.
- Finding 20: The risk-based approach of SAIC management was effective at pre-empting, mitigating and addressing the many management, financial, performance and security risks associated with this Program.

- Finding 21: Most monitoring processes established for SAIC worked to the general satisfaction of stakeholders, notably enabling the adaptive management of the Program. The available management systems were, however, perceived as arduous by the IDRC staff and were in some ways inadequate. In the absence of a way to track staff time allocation, it was not possible for SAIC to effectively monitor its own staffing needs and demands. Nearly all project teams indicated that M&E obligations were similar to those of other comparable programs, also noting they would have appreciated more timely feedback on their reporting.
- Finding 22: SAIC is one among several programs comprising a wider strategic partnership between DFID and IDRC. Program governance was properly defined from the outset, with DFID and IDRC roles and responsibilities clearly and appropriately allocated through a Memorandum of Understanding. Structuring the Program partnership with DFID as donor-partner and IDRC as donor-management-partner played to the strengths of each institution, while minimizing burdensome administrative complexities.
- Finding 23: With a productive, respectful, collegial and open relationship throughout, DFID and IDRC have pursued what has been poignantly described as a “problem-solving approach”.

Appendix II List of Recommendations

- Recommendation 1:** Given the paucity of South-South R4D programs, IDRC, DFID and potentially other partners should envisage building further South-South (even South-South-North) based initiatives that are situated within globally-defined policy frameworks like the Sustainable Development Goals. Researchers from the Global South approach R4D challenges from a unique set of vantage points that respond specifically to contextual problems, challenges and priorities, on issues of urban violence, poverty and inequality (and other issues). The SAIC Program has demonstrated itself to be of high relevance to IDRC, DFID, Global South researchers and research users, for (among other reasons) framing, researching and addressing issues from a set of Global South perspectives. Continuing to support such an R4D agenda would serve to continue generating thematically-inscribed solutions that are both globally and contextually situated, contributing to the development of national, regional and global R4D communities of practice of Global South researchers, while building the capacity of researchers and their institutions for doing so.
- Recommendation 2:** The Call for Proposals should be envisaged as an outreach and engagement strategy. It should be designed to both reach specific audiences and also begin to engage them in advancing program priorities. Introducing Conceptual Notes in advance of full proposals is generally more efficient for all parties than pursuing a one-step full proposal process. A two-step process may also be used to initiate the development of an integrated, multi-project Global South R4D community of practice. For these purposes, potential (short-listed) grantees should be brought together to further develop and finalize their (overlapping/shared) research agendas.
- Recommendation 3:** A Baseline Study should be developed and shared with potential program applicants as part of Calls for Proposals, as was done with the SAIC Program. The Baseline Study should be closely tailored to the contextual, thematic, methodological, geographic and other priorities of any program, ensuring that an appropriate diversity of perspectives is reflected therein. The Baseline Study should preferably comprise a set of position papers that reflect such diversity, ensuring that Global South perspectives are appropriately included.
- Recommendation 4:** A key priority of such an R4D program should continue to be the drive for innovation. Further clarity is required on the definition of 'innovation', which the current Evaluation Team structured as theoretical, methodological, geographic and policy/programming/practice influence. Supported R4D research teams should be required to articulate the multiple dimensions of innovation pursued by their projects. IDRC, DFID and partners should also provide guidance and support to the most promising teams throughout the lifecycle of programs and projects towards this end. Building on this, opportunities for sharing the results of such innovation, through peer-reviewed academic articles and other publications, workshops for peers, presentations to diverse audiences should be cultivated.

- Recommendation 5: Gender considerations should remain central priorities to R4D programs supported by IDRC, DFID and partners into the future. Approaching research through a gender-sensitive lens (including framing, methodology, data collection and reporting) should be a requirement for receiving such R4D support, given its centrality to urban violence, poverty and inequality issues (and indeed so much of R4D). As required, workshops and training should be provided to R4D funding recipients, with opportunities for ample theoretical and methodological experience sharing among R4D teams, building a strong cohort of gender-sensitive researchers.
- Recommendation 6: Integrated program and project level Theories of Change should be developed to recognize multiple pathways to impact of such an R4D program, mindful of contextual and global considerations and priorities. Meaningful, transformative change happens along multiple pathways, including policy influence, local/national/international programming, advocacy work, the mediascape, private sector engagement, gender relations, and discursive practices more broadly. It is the responsibility of R4D programs to articulate Theories of Change that clearly capture such multiplicity and complexity, in specific relation to the research being supported.
- Recommendation 7: Stemming from a sound Theory of Change, greater clarity and strategic development should be developed regarding actual and potential pathways of influence of R4D programs like SAIC. A disproportionate focus on *policy* influence is in evidence, and equally focused development is warranted on influencing *programming* and *practice*. This tripartite framework of influence needs to be structured and matched to R4D programs, with concomitant objectives and indicators including in program logframes, taking into account the multiplicity of pathways as well as multi-sectorality and levels of research users. Researchers applying for program support should be required to develop a political landscape analysis in relation to their research, articulating potential pathways to influence in their proposals, and being held to account for implementing components of their strategies within their capacities (e.g. relationship-building with policy-makers, NGOs, media, etc.). Inception workshops should include a component on pathways to influence, with ongoing strategic discussions at key moments in the program trajectory. Program staff with expertise in knowledge translation should provide support at program and project level throughout, including strategizing, training, knowledge product development and communications.
- Recommendation 8: Communications should be approached as a strategic and a necessary practice from the outset of an R4D program. In the R4D community, communications are often understood as a programmatic dimension that is of greater importance towards the latter period of a program cycle when findings are available for sharing and dissemination. Approaching communications in this way fails to recognize and capitalize on the strategic power of communications, for generating awareness about a program, for framing and influencing policy/programming/practice oriented discussion, for building communities of practice, for ensuring that mainstream media picks up on research results when and as they are available. Developing complementary program and project level communications strategies intent on engaging mainstream and social media, and budgeting for this at both levels, will more effectively advance R4D program

priorities of amplifying the relevance and influence of R4D programs and projects. An important component of such a strategy would entail providing training opportunities and tools to R4D researchers related to traditional and social media engagement, making this a requirement of receiving funding support.

- Recommendation 9: Cognizant that R4D projects are contextually, methodologically and administratively unique, R4D programs should tailor their budgetary offerings to meet such distinctiveness. Participatory methodologies can be intensive in their human resource requirements, given the need to identify research participants, build trust, deploy practices, collect and process data, and pursue appropriate follow-up. Where multiple research sites or teams are involved, travel and coordination requirements will differ. Given risk assessments of projects undertaken by program staff, mitigation, administrative and reporting requirements will differ. Each of these particularities should inform the way in which budgets are tailored and resources are allocated to specific projects.
- Recommendation 10: The highly effective risk-based approach to program management should be pursued and further developed. To begin with, given that R4D programs are human resource intensive, management capacity should carefully be tailored to meet programmatic and institutional goals. Avoiding or minimizing 'key person dependency risks' should be a program priority, ensuring programmatic continuity and leadership. Adequate administrative support should be provided. Staffing with knowledge translation expertise is key to the success of such programs. In addition, appropriate management systems should be in place to support program management (e.g. staff management) as well as M&E appropriately. An effective M&E system, and the staffing capacity to work with it, is necessary for the provision of timely and useful feedback to projects and at program level.
- Recommendation 11: DFID and IDRC share a thriving strategic partnership, of which the SAIC Program was a small but important element. The distribution of responsibilities, which sees DFID as donor-partner and IDRC as donor-management-partner is a good one, playing to the strengths of each institution, and should be maintained and built upon through such programs. Maintaining the problem-solving approach at governance level is key, with quarterly meetings to 'catch-up' on the overall management and operations of the program. Beyond this, however, while a relatively small program of this nature may not warrant an executive or advisory committee, DFID and IDRC staff working on the program should formalize a structure for substantive (i.e. thematic, policy-oriented) exchange (e.g. occasionally with grantees). Doing so would ensure that the donors' substantive and wider programmatic expectations are clearly articulated, favoured and effectively supported.

Appendix III Overview of Projects



International Development Research Centre
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Governance, Security and Justice Program (GSJ)

Program Objective: Support the creation of policy-relevant knowledge on the conditions for increasing the legitimacy and accountability of public authorities in the areas of governance, security and justice.

GSJ Safe and Inclusive Cities (SAIC) Strategy

- Document links between urban violence, poverty and inequalities
- Determine how best to address the intersecting challenges of urban violence, poverty and inequalities

Safe and Inclusive Cities

Sub-Saharan Africa		
Project Title	Partner & Duration	Project Objectives
Assessing the Impact of State-Community Collaboration to Address Urban Violence in South Africa Johannesburg, Tshwane, Cape Town (South Africa)	Centre for the Study of Violence and Reconciliation (CSVSR) 2013-2016	<ul style="list-style-type: none"> • Help shape theoretical and conceptual frameworks for understanding urban violence • Develop a group of researchers of urban violence and build community capacity to engage with state violence prevention initiatives
Urban Upgrading for Violence Prevention in South Africa: Does it work? Cape Town (South Africa)	University of Cape Town (School of Public Health) 2013-2016	<ul style="list-style-type: none"> • Assess the effectiveness of infrastructure interventions in reducing interpersonal violence in low-income communities
Unearthing Exclusions: Towards More Inclusive Zimbabwean Cities Harare, Bulawayo, Kadoma (Zimbabwe)	Oxfam-Canada 2013-2016	<ul style="list-style-type: none"> • Generate policy-relevant knowledge and recommendations on the gendered impacts of State responses to urban poverty, urban violence, inequality and exclusion
Exploring the Crime and Poverty Nexus in Urban Ghana Accra, Kumasi, Sekondi-Takoradi, Tamale (Ghana)	University of Ghana, Institute of Statistical, Social and Economic Research (ISSER) 2013-2016	<ul style="list-style-type: none"> • Map prevalent types of crime in urban neighbourhoods, characterized by different socio-economic realities • Explore relationships between neighbourhood and household socio-economic characteristics and the occurrence rate, types and impact of crime • Assess effectiveness of formal and informal strategies for addressing crime in urban areas
Phenomenology of Criminal Violence and Challenges for Local Urban Governance in Côte d'Ivoire Abidjan, Duékoué, Bouaké (Côte d'Ivoire)	Université Alassane Ouattara (former Université de Bouaké) 2013-2016	<ul style="list-style-type: none"> • Characterize the forms and modes of expression of criminal violence • Establish the typology of actors and victims of criminal violence, including their logic and resilience
The Nature and Actors of Urban Violence in the Democratic Republic of Congo Kinshasa, Mbuji-Mayi (DRC)	Chaire de Dynamique Sociale (CDS), Université de Kinshasa 2013-2016	<ul style="list-style-type: none"> • Determine the nature and actors of violence • Determine the forms and modes of action that contribute to social violence, especially among youth



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South Asia		
Project Title	Partner & Duration	Project Objectives
Poverty, Inequality and Violence in Urban India: Towards more inclusive urban planning Ahmedabad, Delhi, Guwahati, Patna (India)	Centre for Environmental Planning and Technology (CEPT); Institute of Human Development (IHD) 2013-2016	<ul style="list-style-type: none"> Investigate how inclusive urban planning and governance can help de-escalate urban tensions, conflicts, inequalities and violence in four Indian cities
Gender and Violence in Urban Pakistan Karachi, Rawalpindi/Islamabad (Pakistan)	Institute of Business Administration (IBA) 2013-2015	<ul style="list-style-type: none"> Investigate how gender-differentiated expectations may drive different types of violence Investigate how improved access to public services and opportunities, including public education and media, might change and reduce violence
Involuntary Resettlement: A Cross Country Study on Urban Inequality and Poverty Colombo, Jaffna (Sri Lanka); Cochin (India)	International Centre for Ethnic Studies (ICES); Centre for Development Studies (CDS) 2013-2016	<ul style="list-style-type: none"> Identify and quantify the mutually reinforcing interplay between involuntary displacement, violence, inequality and poverty

Latin America and the Caribbean		
Project Title	Partner & Duration	Project Objectives
Exclusion, Violence and Community Responses in Central American Cities Heredia, Limón (Costa Rica); Santa Tecla, Sonsonate (El Salvador)	Facultad Latinoamericana de las Ciencias Sociales (FLACSO Costa Rica) 2013-2015	<ul style="list-style-type: none"> Identify and explain the different levels and forms of violence characterizing urban communities experiencing similar conditions of social exclusion
Violence in Three Latin American Cities, a Comparative Study Between Bogota, Lima and Santiago Bogotá (Colombia); Lima (Peru); Santiago (Chile)	Universidad de Chile, Centro de Estudios en Seguridad Ciudadana (CESC) del Instituto de Asuntos Públicos 2013-2015	<ul style="list-style-type: none"> Assess the extent to which "social disorganization" as a result of spatial and social exclusion combined with a lack of access to government services/programs contributes to increased levels of violence and criminality
Institutions for Safe and Inclusive Cities in Venezuela Caracas, Ciudad Guayana, San Cristobal, Cumana (Venezuela)	Laboratorio de Ciencias Sociales (LACSO) 2013-2016	<ul style="list-style-type: none"> Explore the role of institutions in mediating between poverty, inequality, segregation and violence and their importance in informing public policies aimed at addressing these issues to build safer cities

Cross-Regional		
Project Title	Partner & Duration	Project Objectives
Social Cohesion: The Missing Link in Overcoming Violence, Inequality and Poverty? Cape Town (South Africa); Rio de Janeiro (Brazil)	Human Sciences Research Council (HSRC) 2013-2016	<ul style="list-style-type: none"> Generate knowledge about the links between violence, inequality and poverty and the role of social cohesion in preventing and contributing to violence in Cape Town and Rio de Janeiro Understand how interventions can strengthen social cohesion to prevent violence and reduce exclusion



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<p>People, Places and Infrastructure: Countering Urban Violence and Promoting Justice in Mumbai, Rio and Durban Mumbai (India); Durban (South Africa); Rio de Janeiro (Brazil)</p>	<p>Tata Institute of Social Sciences (TISS); Instituto de Pesquisa e Planejamento Urbano e Regional (IPPUR); University of Kwazulu-Natal 2013-2016</p>	<ul style="list-style-type: none"> Analyze the coping strategies adopted by marginalized groups to deal with violence, poverty and inequality Investigate how state policies and market forces transform cities in social and spatial terms
<p>Understanding Non-violent Male Identities for Safe and Inclusive Cities Maputo (Mozambique); Rio de Janeiro (Brazil)</p>	<p>Instituto Promundo 2013-2016</p>	<ul style="list-style-type: none"> Examine how male identities interact with public security/violence, poverty and inequalities Provide policymakers and program planners with analysis on how to design effective strategies to reduce urban violence, poverty, and inequalities

Governance, Security and Justice

www.idrc.ca/gsj

Safe and Inclusive Cities

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July 2013

Canada

Appendix IV Research Quality

Research Legitimacy: Methodologies and Ethics

Table iv.1 Portfolio Review of Proposed Methodologies

PROJECT REGION	QUANTITATIVE	QUALITATIVE	MAPPING	INNOVATIVE APPROACH
SSA	Analysis of secondary data	Yes	Yes	
SSA	Unknown	Unknown	Unknown	
SSA	Analysis of secondary data	Yes	Yes	
SSA	Analysis of secondary data	Yes	No	Analysis linked to policy implementation
SSA	Yes	Yes	Yes	Feminist research methodologies
SSA	Yes	Yes	No	Hospital data analysis; Observational and evaluative approach
SA	Analysis of secondary data	Yes	Yes	Social Mapping; Locality histories; Life histories; Ethnographic approach; Participatory Photography
SA	Yes	Yes	Yes	Interpretative discourse analysis; Database of recorded incidence of private and public violence
SA	Yes	Yes	Yes	Comprehensive community level analysis; Large Household survey
LAC	Yes	Yes	No	Evidence-based approach
LAC	Yes	Yes	No	Structural equation modeling techniques
LAC	Yes	Yes	No	Mixed-method nested comparative analysis
Cross regional	Yes	No	No	Adaptation of IMAGES methodology for new contexts
Cross regional	Analysis of secondary data	Yes	Yes	Participatory urban appraisal approach; Ethnographic social network analysis
Cross regional	Analysis of secondary data	Yes	No	Participatory mapping; Spatial Justice as a theoretical tool

Appendix V Program Effectiveness

Innovative Theoretical Frameworks and Approaches

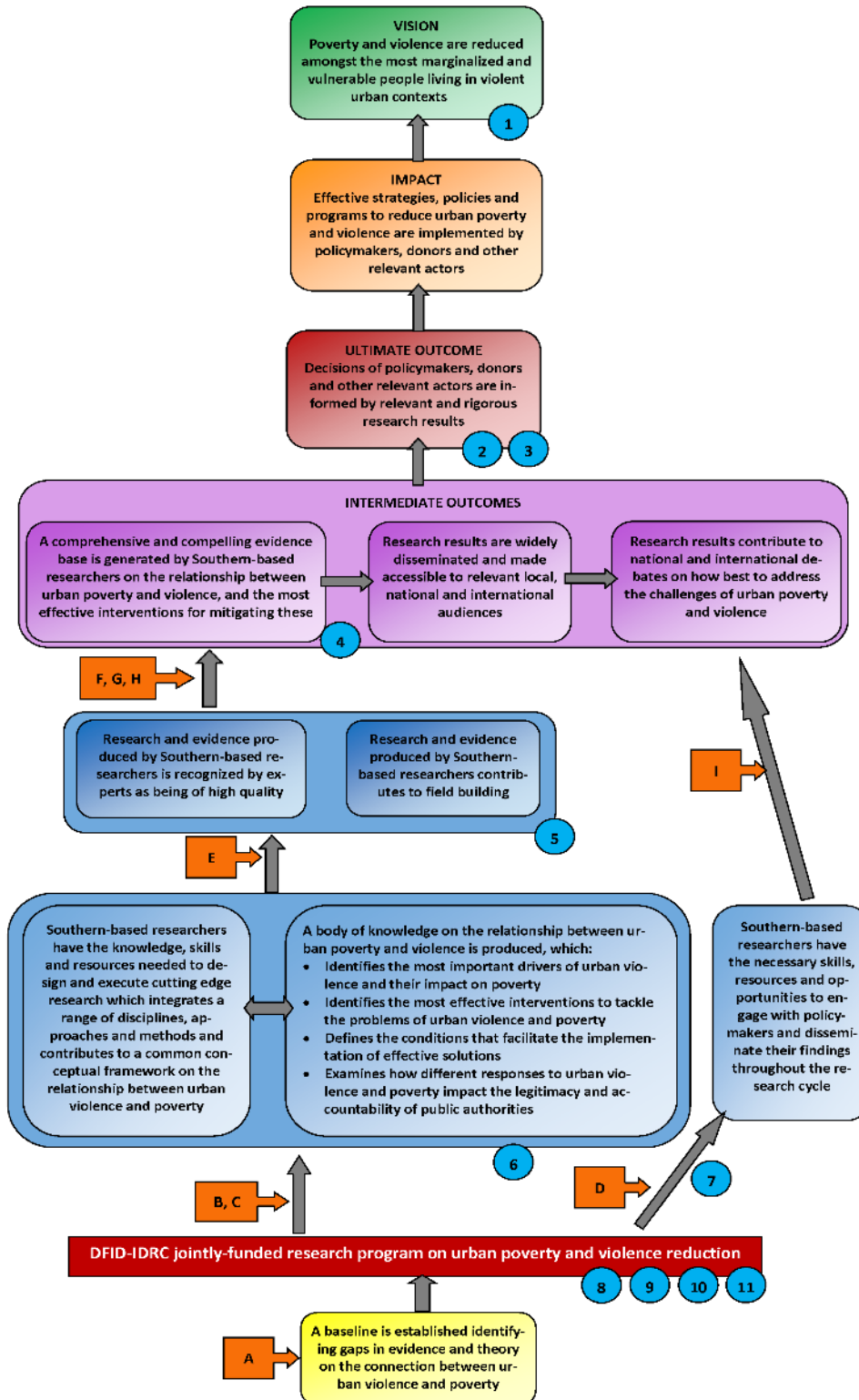
A portfolio review of each of the projects was conducted and based on that review each project was assessed for each category of innovation. Four categories of innovation were identified: 1) Theoretically innovative; 2) methodologically innovative; 3) policy-oriented; 4) geographically innovative.

Table v.1 Number of projects showing innovation by type of innovation.

	THEORETICAL	METHODOLOGICAL	POLICY- ORIENTED	GEOGRAPHIC
LAC	3	0	2	0
SSA	2	1	1	3
SA	3	1	1	0
CC	2	1	1	1
All regions	10	3	5	4

Theory of Change

Exhibit v.1 SAIC Program Theory of Change



Assumptions

- 1 There is an important connection between urban poverty and urban violence.
- 2 Policymakers and practitioners view the challenges of urban poverty and violence as pressing issues that need to be tackled.
- 3 Policymakers and practitioners recognize the critical role research and evidence play in the development and implementation of effective policies and programs.
- 4 Increasing the diversity of scholarship originating from the Global South on issues related to urban poverty and violence will enhance the quality, accuracy and relevance of available evidence.
- 5 Capacity to carry out rigorous research on issues of urban violence and/or poverty exists in the Global South.
- 6 Capacity to integrate a range of disciplines, approaches and methods in relation to the study of violence and poverty in urban contexts exists in the Global South.
- 7 Researchers are committed to disseminating their research results and influencing policy.
- 8 Much of the research and debate on urban violence and poverty has been compartmentalized and analysis of the relationship between urbanization, urban poverty and urban violence has been sporadic and incomplete. More knowledge and evidence is needed on the nexus between these challenges if effective responses and solutions are to be found and implemented.
- 9 The evidence base on what works and what doesn't is limited and most of the theory and evidence that has been generated has been rooted in Western European and North American experience. More research originating from the Global South is needed.
- 10 The lack of reliable time-series data on urban violence and the urban poor limits theory-building, as well as the design, implementation and monitoring of interventions.
- 11 A conceptual framework that seeks to explain the relationship between urban poverty and violence does not currently exist. Such a conceptual framework is needed to help guide current and future research these issues.

Interventions

- A → Commission baseline study.
- B → Fund a minimum of 6 research projects in Latin America and the Caribbean, Sub-Saharan Africa and South Asia. Projects are selected through a competitive call for proposals and only strong proposals are funded.
- C → Hold inception workshop where a common conceptual framework will be explored.
- D → Develop project and program level communication strategies, providing training and mentoring where needed.
- E → Peer review of project and program outputs.
- F → Commission a synthesis study of supported research projects.
- G → Carry out program evaluation.
- H → Hold end-of-project workshop.
- I → Execute project and program level communication strategies.

Appendix VI Efficiency Analysis

Human and Financial Resources

Table vi.1 Administrative Expenses as Percent of Total Program Costs for SAIC

ACTUAL EXPENSES 01-JUN-12 TO 31-JAN-14	ACTUAL EXPENSES 01-JUN-12 TO 30-SEP-14	ACTUAL EXPENSES - 1-JUN-12 TO 31-MAR-15	ACTUAL EXPENSES 01-JUN-12 TO 30-SEP-15	ACTUAL EXPENSES 01-JUN-12 TO 31-MAR-16	ACTUAL EXPENSES 01-JUN-12 TO 30-SEP-16	REVISED BUDGET 01-JUN-12 TO 31-JUL-17
10.36	10.40	10.36	10.32	10.01	10.00	9.98

Table vi.2 Operational Costs as Percent of Total Program Costs for SAIC

	ACTUAL EXPENSES 01-JUN-12 TO 31-JAN-14	ACTUAL EXPENSES 01-JUN-12 TO 30-SEP-14	ACTUAL EXPENSES - 1-JUN-12 TO 31-MAR-15	ACTUAL EXPENSES 01-JUN-12 TO 30-SEP-15	ACTUAL EXPENSES 01-JUN-12 TO 31-MAR-16	ACTUAL EXPENSES 01-JUN-12 TO 30-SEP-16	REVISED BUDGET 01-JUN-12 TO 31-JUL-17
Senior Program Officer and Knowledge Translation Officer	5.39	5.35	5.15	5.51	5.62	6.46	7.37
Travel Costs	1.29	1.51	1.42	1.61	1.65	1.86	1.89
Office Costs	0.27	0.39	0.42	0.48	0.53	0.64	0.65
Relocation ³⁴	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	6.95	7.25	6.99	7.61	7.80	8.96	9.92

Table vi.3 Budgets and Overall Expenses, as % of Total (per Financial Reports)

	TOTAL BUDGET (2014)	Actual expenses 01-Jun-12 to 31-Jan-14	Actual expenses 01-Jun-12 to 30-Sep-14	Cumulative expenses - 1-Jun-12 to 31-Mar-15	Actual Expenses 01-Jun-12 to 30-Sep-15	Actual Expenses 01-Jun-12 to 31-Mar-16	Actual Expenses 01-Jun-12 to 30-Sep-16	Revised Budget 01-Jun-12 to 31-Jul-17
1. Operational							Total	Total
1.1 Senior Program Officer	5.60	5.39	5.35	5.15	5.51	5.62	6.46	7.37
1.2 Travel Costs	2.10	1.29	1.51	1.42	1.61	1.65	1.86	1.89
1.3 Office Costs	0.67	0.27	0.39	0.42	0.48	0.53	0.64	0.65
1.4 Relocation	0.19	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Subtotal	8.57	6.95	7.25	6.99	7.61	7.80	8.96	9.92
2. Research								
2.1 Project Grants	56.88	60.52	56.71	57.80	57.97	57.95	56.80	54.18
2.1.1. Project Grants LAC	14.22	18.54	22.17	20.86	18.73	17.54	16.27	15.46
2.2 Research call management expenses	0.43	1.07	0.69	0.52	0.47	0.40	0.32	0.25
2.3 Inception and closing workshops	3.21	1.03	0.81	1.47	1.83	1.58	1.44	2.85
Subtotal	74.74	81.15	80.38	80.65	78.99	77.47	74.83	72.75
3. Research Support								
3.1 Monitoring and evaluation	2.62	1.28	0.85	0.83	1.77	1.88	1.90	2.66
3.2 Communication	3.83	0.25	1.12	1.18	1.31	2.83	4.31	4.69
Subtotal	6.45	1.53	1.96	2.01	3.08	4.72	6.21	7.35
Total Direct Costs	89.75	89.64	89.60	89.64	89.68	89.99	90.00	90.02
Administrative services	10.25	10.36	10.40	10.36	10.32	10.01	10.00	9.98
TOTAL	100	100	100	100	100	100	100	100

Project Efficiencies

Table vi.4 Project Budgets Under SAIC

PROJECT REGION	OVERALL BUDGET
SSA	403,400
SSA	493,300
SSA	497,200
SSA	497,700
SSA	498,700
SSA	500,000
SA	498,900
SA	500,100
SA	545,886
LAC	462,000
LAC	499,500
LAC	499,800
Cross regional	499,600
Cross regional	499,700
Cross regional	502,300

Table vi.5 Portfolio Review of Adequacy of Financial Resources

PROJECT REGION	QUALITATIVE RATING OF ADEQUACY OF FINANCIAL RESOURCES, AS GLEANED FROM DOCUMENT REVIEW, ON A SCALE OF 1-3 (3 BEING ADEQUATE, 1 BEING NOT ADEQUATE)	TIMELY DISBURSEMENT	OUTPUT DELIVERY ON TIME
SSA	Unknown	No	No
SSA	2	Unknown	No
SA	2	Unknown	No
SSA	2	Yes	Yes
SSA	3	Yes	Yes
SSA	3	Unknown	Yes
SSA	3	Unknown	Yes
LAC	2	No	No
LAC	3	Yes	Yes
LAC	3	Unknown	Yes
SA	2	Unknown	No
SA	3	Yes	Yes
Cross-regional	1	Unknown	No
Cross-regional	2	Unknown	No
Cross-regional	3	No	No

Exhibit vi.1 Examples of Relevant Exchange Rates Exhibiting Fluctuation



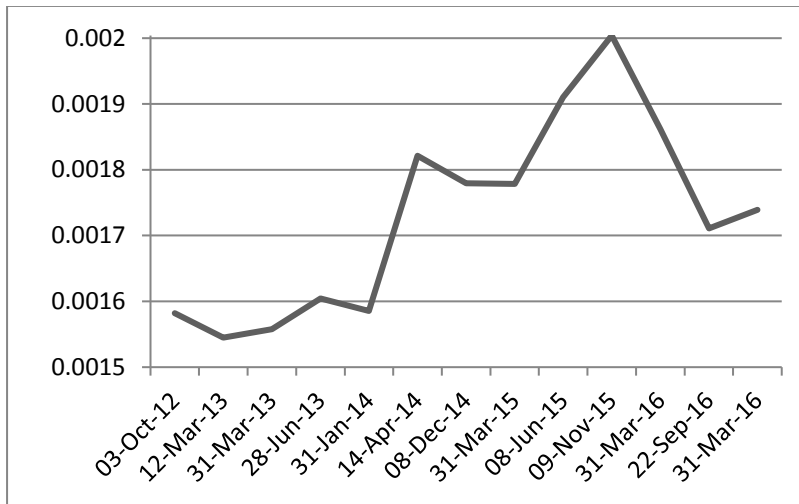
Cost Reductions and Efficiencies

Table vi.6 Hosting of Key Events

Inception meeting: Ottawa, Canada, **September 10 – 13, 2013**

Mid Term Workshop: Cape Town, South Africa, **April 19 –23, 2015**

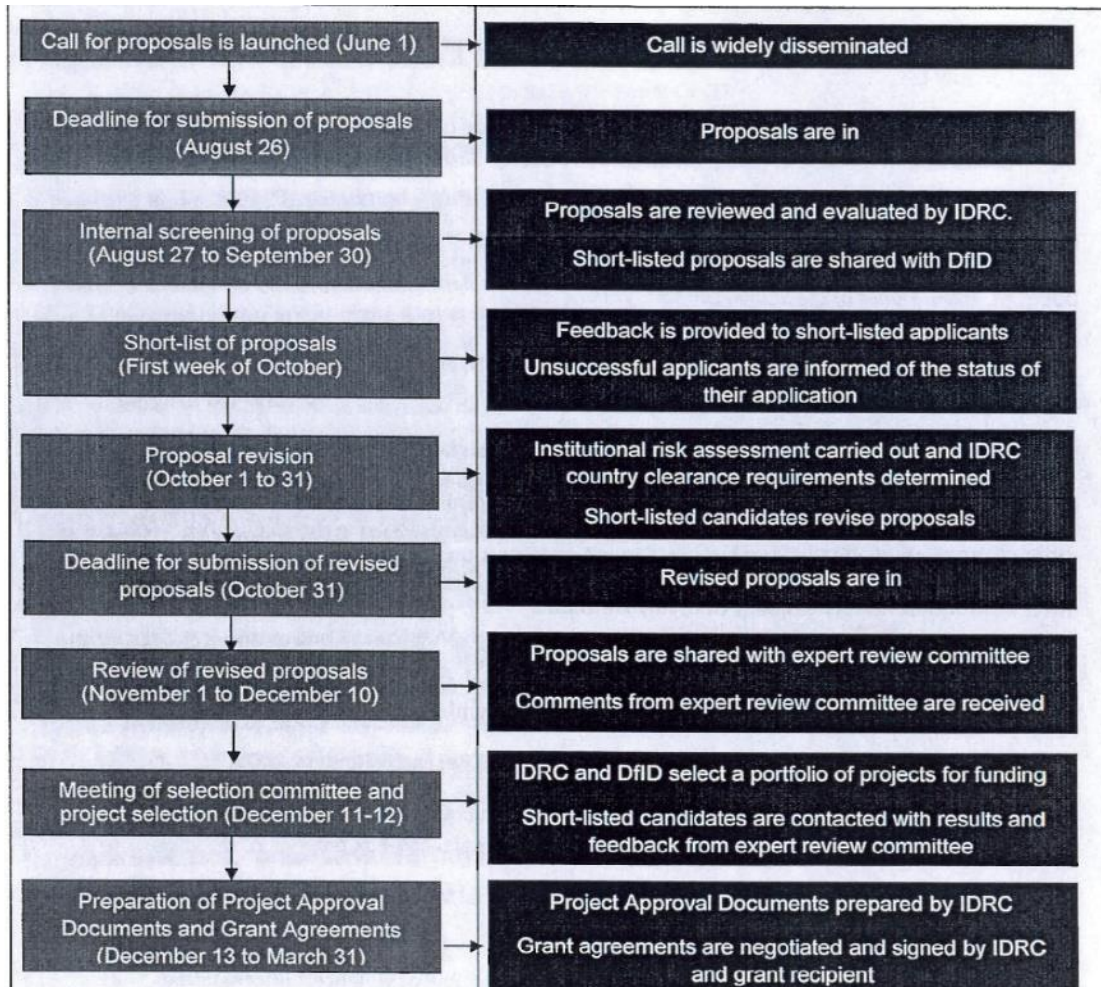
Closing workshop: Nairobi, Kenya, **May 29-31, 2017**

Exhibit vi.2 Exchange Rates – GBP and CAD

The chart presents fluctuations in the exchange rates as reported in the second Financial Report of 2016.

Call for Proposals

Exhibit vi.3 SAIC Overview of Selection Process



Source: Memorandum of Understanding between DFID and IDRC, p.30, Annex 56.

Overall Value-for-Money

Exhibit vi.4 DFID's VfM Framework

ECONOMY	•Are inputs required to produce outputs bought at the right price?
EFFICIENCY	•Is transformation of inputs into outputs properly done?
EFFECTIVENESS	•Do outputs from an intervention achieve the desired outcome?
COST-EFFECTIVENESS	•How much impact an intervention achieves relative to the inputs invested?

Strengths and Weaknesses of SAIC Management Arrangements

Table vi.7 Portfolio Review of Risk Assessment.

PROJECT REGION	OVERALL RISK (1 BEING LOW AND 3 BEING HIGH)	NATURE OF RISK	OUTPUT DELIVERY ON TIME AND BUDGET	TIMELY DISBURSEMENT	USE OF PERFORMANCE INFORMATION TO ADJUST COURSE OF THE PROJECT
SSA	3	Administrative, financial, security	No	No	Unknown
SSA	3	Administrative, security, capacity	No	Unknown	Unknown
SSA	3	Security	Yes	Yes	Yes
SSA	3	Security	Yes	Unknown	Yes
LAC	3	Security, financial	Yes	Yes	Yes
SA	3	Operational and security	No	Unknown	Unknown
Cross regional	3	Coordination, reporting, security	No	Unknown	Unknown
Cross regional	3	Financial	No	Unknown	Unknown
SSA	2	Security	Yes	Yes	Yes
SSA	2	Administrative	Yes	Unknown	Yes
SA	2	Security	No	Unknown	Unknown
SA	2	Policy impact	Yes	Yes	Yes
LAC	2	Security	No	No	Yes
Cross regional	2	Security	No	No	Unknown
LAC	Unknown	Policy uptake	Yes	Unknown	Unknown

Table vi.8 Risk Rating of SAIC as reported in DFID Annual Review 2016

YEAR	2013	2014	2015	2016
Risk Rating	High	Medium	Moderate	Moderate

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Appendix VIII Stakeholders Consulted

NAME	POSITION	ORGANIZATION/LOCATION
Achim Wennmann	Executive Coordinator	Geneva Peacebuilding Platform
Adobea Owusu	Researcher	University of Ghana, Ghana
Amita Bhide	Researcher	Tata Institute of Social Sciences, India
Berit Sabine Kieselbach	Technical Officer, Prevention of Violence	WHO
Bhim Reddy	Researcher	IHD, India
Brij Maharaj	Researcher	University of KwaZulu-Natal, South Africa
Cam Do	Program Lead, Governance and Justice	IDRC, Canada
Carlos Campos	Coordinador	Territorios Seguros (ONG), Costa Rica
Carlos Vainer	Principle Investigator	Universidade Federal do Rio de Janeiro, Brazil
Caroline Moser	Research user (international)	University of Manchester, UK
Charlotte Morris	Senior Conflict Advisor	DFID,UK
Charlotte Wrigley-asante	Researcher	University of Ghana, Ghana
Daanish Mustafa	Researcher	King's College, UK
Desmond Arias	Researcher	Universidad de Chile, Chile
D. Mahadevia	Principle Investigator	India
Francis Akindes	Principle Investigator	Université Alassane Ouattara, Ivory Coast
Florencio Ceballos	Senior Program Specialist	IDRC, Canada
Gary Barker	Principle Investigator	PROMUNDO
Hugo Fruhling	INAP	Universidad de Chile, Chile
Hugo Van Der Werme	Transitional Justice Program Manager	Centre for the Study of Violence and Reconciliation, South Africa
Iain King	Former DFID counterpart	DFID
Ignacio Cano	Researcher	Laboratory for the Analysis of Violence, Brazil
Iris Rosas	Principal Investigator	Ciudades de la gente, Venezuela
Jennifer Salahub	Senior Program Specialist	IDRC,Canada

NAME	POSITION	ORGANIZATION/LOCATION
John DeBoer	IDRC/SAIC program staff	IDRC, Canada
Juan Pablo Perez Sainz	Researcher	FLASCO, Costa Rica
Julie Stewart	Principal Investigators	Zimbabwe
Kimberly Bloch	Strategic Project Manager	VPUU, South Africa
Koko Lucie N'Goran	Researcher	Université Alassane Ouattara, Ivory Coast
Kristen Farr	Program Management Officer	IDRC, Canada
Louise Guenette	Senior Communications Advisor	IDRC, Canada
Malose Langa	Researcher	CSV, South Africa
Manoj Bandan	Researcher	IHD, India
Margarita Montoya	Researcher	FLACSO, El Salvador
Markus Gottsbacher	Senior Program Specialist	IDRC, Canada
Mary O'Neil	Communications Advisor	Lost Art Media
Mayssam Zaaroura	Knowledge Translation Officer	IDRC, Canada
Nausheen Anwar	Principle Investigator	Institute of Business Administration, Pakistan
Navsharan Singh	Senior Program Specialist	IDRC, Canada
Njeri Karuru	Senior Program Specialist	IDRC, Canada
Oliver Jutersonke	Head of Research	Centre on Conflict, Development and Peacebuilding (CCDP), Graduate Institute of International and Development Studies
Pedro de Novais	Researcher	Universidade Federal do Rio de Janeiro, Brazil
Rajan Irudaya	Principal Investigators	Centre for Development Studies, India
Rajith Lakshman	Principal Investigators	Sri Lanka
Ramata Thioune	Senior Program Specialist	IDRC, Canada
Richard Matzapoulos	Principal Investigators	South Africa
Roberto Briceño	Director	LACSO, Venezuela
Sara Batmanglich	Peace and Conflict Advisor (Conflict, Fragility & Resilience Team)	OECD
Sian Maseko	Researcher	Oxfam, Zimbabwe

NAME	POSITION	ORGANIZATION/LOCATION
Sue Szabo	Director of Inclusive Economies	IDRC, Canada
Tali Cassidy	Research user (national)	South Africa
Tatiana Moura	Researcher	PROMUNDO, Brasil
Terence Smith	Program Manager, Inclusive Violence and Conflict Prevention	GIZ, South Africa
Tom McEnroe	Program manager	DFID, UK
Tracey Naledi	Research user (national)	South Africa
Vanessa Barolsky	Researcher	Human Science Research Council, South Africa

Appendix IX Full Methodology

Overall approach

Given the overall scope and objectives of this assignment, the Evaluation Team developed a methodological approach that was appropriately participatory and designed to ensure that the final evaluation product is utilization-focused. Throughout the entire evaluation process, our team worked in close collaboration with IDRC and other stakeholders. Preliminary findings were first presented to IDRC staff and then to SAIC PIs/Researchers, researcher users and DFID at the SAIC Closing conference which took place in Nairobi in May of 2017. This provided an opportunity for the Evaluation Team to validate findings and collect additional insights.

It is important to emphasise that this is a program evaluation; data was therefore gathered across the different projects with a view to bring insights on SAIC's overall performance and inform findings that speak to the program as a whole.

The methodology was designed to allow the Evaluation Team to answer the range of questions in the evaluation matrix (see Appendix X). The evaluation matrix is itself structured along the lines of the evaluation criteria, questions and sub-questions in the TORs. Additional sub-questions have been included, to reflect the range of issues to be covered, based also on kick-off discussions. The matrix contains indicators tracked by SAIC, reflecting the fact that the Evaluation Team used data generated by SAIC's Monitoring and Evaluation (M&E) system to answer the evaluation questions. Additional illustrative indicators were developed by the Evaluation Team to guide our work. IDRC's RQ+ framework was used to develop indicators used to answer evaluation questions related to research quality.

The evaluation used a mixed-methods approach to data collection, including an in-depth document review and semi-structured interviews. These methods allowed the Evaluation Team to triangulate data and ensure the accuracy and robustness of findings.

In-depth document review

Document review constituted a key dimension of the evaluative work on this assignment. Program level documents, including monitoring and reporting data, were reviewed, with a view to answering all the questions in our evaluation matrix.

The Evaluation Team conducted a portfolio review of all 15 projects, examining project-level data, which was then aggregated so as to answer program-level questions listed in the evaluation matrix. The portfolio review allowed the Evaluation Team to recognize program-wide trends, providing insights on SAIC performance.

Semi-structured interviews

Data and insights drawn from the document review were triangulated against stakeholders' perspectives gathered through semi-structured interviews. Interviews focused on key issues and considerations arising from research review, including individual project and overall program effectiveness, research quality and efficiency. Interviews were guided by an agreed-upon protocol, which aligned with the questions of the evaluation matrix.

Semi-structured interviews were conducted with a broad and diverse range of SAIC stakeholders, ensuring that a diversity of perspectives was captured and informed the overall analysis. In total, 55 stakeholders were interviewed, including 27 women and 28 men. All consulted stakeholders were informed that the information they provided would remain confidential. At the same time, they agreed to have their names

listed in the appendix of the report and to have direct quotes – although not directly attributed to them – included in the report.

The text box below provides a breakdown of the respondents interviewed by respondent group. Stakeholders interviewed included SAIC and DFID staff, to address questions on the strengths and weaknesses of governance arrangements, and on the extent to which the implementation of the SAIC program has been efficient, relative to its purpose and intended outcomes.

SAIC staff, depending on their function, were also able to answer questions related to effectiveness and research quality. For example, SAIC Program Officers (POs) / Senior Program Specialists provided valuable insights on the effectiveness of projects (and ultimately on the program as a whole), while other SAIC program and IDRC staff provided data on SAIC communication and outreach efforts.

The Evaluation Team also interviewed 29 Principal Investigators (PIs) / Researchers, from 14 of the 15 projects. Despite numerous attempts, our team was unable to schedule interviews with PIs/researchers from the DRC project. The purpose of those interviews was to gather information on effectiveness, research quality, and efficiency. PIs/Researchers' insights on both their own projects and on the SAIC Program more broadly were invaluable to this assignment.

Ten selected research users (at international and local/national levels) were interviewed to provide in-depth perspectives on matters of effectiveness (especially regarding research dissemination, and policy and practice influence) and research quality. When selecting research users, the evaluation had intended to identify users from both higher and lower performing projects to identify common factors explaining varied performance. We had also planned to reflect the regional diversity of the SAIC Program in our selected sample but neither was possible. We experienced difficulties in identifying a pool of researcher users to select from and, in the end, we conducted interviews with those users we were able to reach. As demonstrated in the above textbox, four national users are from South Africa and one is from Costa Rica. However, many more conversations for data collection purposes took place with research users attending the Nairobi conference, which further informed our perspective on how the program is of value to them

To ensure accurate and robust data analysis, all interview data were recorded in an interview report template and subsequently uploaded onto Dedoose, an online qualitative data management tool, which allows coding and data analysis based on specific descriptors (e.g. respondent group, sex of interviewee, project, region) and per evaluation criteria/question. Doing so allowed the Evaluation Team to draw trends and identify enabling/hindering factors of performance across different program dimensions.

Number of individuals consulted by stakeholder group

IDRC staff (12)

SAIC program staff (3); SAIC POs (5); IDRC (GSJ/Inclusive economies staff) (3); communications officer (1)

DFID staff (3)

Current/former DFID counterpart (3)

Principal Investigators (17)

Researchers (12)

Research users (10)

International (5): OECD (1) WHO (1); Geneva Peacebuilding Platform (1); Centre on Conflict, Development and Peacebuilding (CCDP) (1); University of Manchester (1)

Local/National (5): South Africa (4); Costa Rica (1)

Other (1)

Staff from the firm responsible for outreach and communications (1)

Appendix X Evaluation Matrix

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
Relevance	To what extent was the SAIC program relevant?	To what extent was the SAIC Program relevant to the research community of the Global South on urban violence, poverty and inequalities?	Added by Evaluation Team <ul style="list-style-type: none"> • Perceptions of Principal Investigators (PIs) / researchers on the relevance/contribution of SAIC support for advancing research agendas related to urban violence, poverty and inequalities in the Global South • Perceptions of PIs on the appropriateness of SAIC thematic areas related to urban violence, poverty and inequalities in the Global South • Stated evidence gathered through project documentation/reporting • Comparative analysis of stated relevance by region 	Interviews with PIs / researchers Document review Analysis of financial contribution of the SAIC program to the research community
		To what extent was the SAIC Program relevant to DFID and IDRC?	<ul style="list-style-type: none"> • Perceptions of IDRC staff on the relevance of the SAIC Program in light of their institutional priorities • Evidence of alignment between SAIC Program objectives and IDRC priorities 	Interviews with IDRC staff Interview with SAIC staff Interviews with DFID staff Document review

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<ul style="list-style-type: none"> • Perceptions of DFID staff on the relevance of the SAIC Program in light of their institutional priorities • Evidence of alignment between SAIC Program objectives and DFID priorities 	
Effectiveness	To what extent is the SAIC program making progress toward the expected logical framework outputs and outcomes as they relate to overarching program objectives?	To what extent has the SAIC Program contributed to innovative theoretical and conceptual frameworks and methodological approaches that will guide future research on violence, poverty and inequalities in urban areas?	<p>Tracked by SAIC</p> <ul style="list-style-type: none"> • Evidence that SAIC-generated new or adapted conceptual frameworks or methodologies shaped scientific or practical discourse among researchers or development actors in contact with SAIC researchers (outcome) <p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Expert judgement on the innovativeness of theoretical and conceptual frameworks • Perception of PIs / researchers on the overall innovativeness of theoretical and conceptual approaches produced by the program as a whole • Perception of SAIC POs on the overall innovativeness of theoretical and conceptual approaches produced by the program as a whole 	<p>Document review</p> <p>Interviews with PIs / researchers</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p>
			Tracked by SAIC	

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
		<p>To what extent has the SAIC Program made project and program level research results widely accessible among local, sub-national, national, regional, and international stakeholders with a view to informing policy and practice?</p>	<ul style="list-style-type: none"> • Number and type of key stakeholders who receive SAIC research results (output) • Number and type of key stakeholders (by category) who received SAIC-generated information on effective strategies and interventions • Number, type, focus, and target group(s) of initiatives that are informed by SAIC research (outcome level) <p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Perception of PIs on the definition of policy influence • Perception of PIs on the extent to which research has influenced policies • Evidence of program-level implementation of the communications strategy • Evidence of project use of the program-level communication's strategy <ul style="list-style-type: none"> • Languages in which knowledge products are produced and disseminated 	<p>Interviews with PIs / researchers</p> <p>Interviews with research users</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with SAIC and IDRC communications staff</p> <p>Document review</p>

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
		<p>To what extent has the SAIC Program generated a better understanding among decision-makers, policy actors, researchers, practitioners and the public of the relationship between violence, poverty and inequalities in urban areas, and identified effective strategies for tackling these issues?</p>	<p>Tracked by SAIC</p> <ul style="list-style-type: none"> • Number and type of publications, tools, briefs, etc. produced (output) • Number and type of publications of SAIC findings on the most effective strategies and interventions to reduce violence (output) • Number of references and citations to SAIC research in academic journals, policy documents, and non-academic publications, including op/eds, blogs, and other social media (outcome) <p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Perceptions of PIs / researchers on the level of understanding generated by the SAIC Program • Perceptions of research users • Perceptions of SAIC POs 	<p>Document review</p> <p>Interviews with PIs / researchers</p> <p>Interviews with research users</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with SAIC staff</p>

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
		<p>To what extent has the SAIC program supported a skilled network of researchers, particularly in the Global South, to design, implement and communicate policy and socially relevant, rigorous, and gender-sensitive research projects in cities affected by violence?</p>	<p>Tracked by SAIC</p> <ul style="list-style-type: none"> • Number, type, and examples of knowledge exchange among SAIC researchers, and between SAIC researchers and non SAIC researchers on SAIC topics (output) • Number of junior and community researchers (disaggregated by sex) who are learning through project activities (output) • Evidence that SAIC projects are able to leverage new funding from sources other than DFID and IDRC for projects involving one or more SAIC research partner(s). (output) <p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Perception of PIs / researchers on extent to which SAIC-funded activities provided support for mutual learning, collaboration and outreach • Evidence of factors facilitating/hindering mutual learning, collaboration and outreach • Evidence that PIs / researchers have jointly applied for new project funding (sustainability) 	<p>Document review</p> <p>Interviews with PIs / researchers</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with SAIC staff</p>

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<ul style="list-style-type: none"> Evidence that SAIC has contributed to the (further) development of a Community of Practice (CoP) on violence, poverty and inequalities in urban areas (sustainability) Perceptions of SAIC POs on the benefits derived from support provided by SAIC 	
	Were there significant unintended results, either positive or negative?	What were the factors leading to unintended results, either positive or negatives?	Added by Evaluation Team <ul style="list-style-type: none"> Perceptions of SAIC staff Perceptions of PIs / researchers Perceptions of research users 	Document review Interview with SAIC staff Interviews with PIs / researchers Interviews with research users
Research Quality	Overall, was the quality of the research supported by the program acceptable?	Research integrity: What is the technical quality/merit of the design and execution of the research?	Tracked by SAIC <ul style="list-style-type: none"> Degree to which technical quality standards (scientific integrity and scientific merit) are visible in reports prepared by research partners (output) Added by Evaluation Team <ul style="list-style-type: none"> Evidence of explicit, comprehensive and accessible account of research design and methodology Explicit discussion of data collection/analysis Evidence of quality literature review 	Document review Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers Interviews with research users

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<ul style="list-style-type: none"> Evidence of appropriate data collection methods used Evidence that comparative analysis was developed based on sound theoretical and methodological frameworks Clear relationship between evidence gathered and conclusions reached Comments from proposal reviewers 	
		<p>Research legitimacy: Are the research results derived from a process that takes into account concerns and insights of stakeholders?</p>	<p>Added by Evaluation Team</p> <ul style="list-style-type: none"> Evidence of Research Ethics Board review and approval Evidence of participatory researcher with appropriate groups of stakeholders Evidence of gender-responsive research: gender analysis at project design; understanding of gender power relations; sex-disaggregated data; gender differentiated analysis of findings; appropriate solutions for women/men. 	<p>Document review</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with PIs / researchers</p> <p>Interviews with research users</p>

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
		<p>Research importance: What is the perceived importance and value of the knowledge and understanding generated from research by intended users?</p>	<p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Evidence that research is innovative, e.g. built on existing knowledge in unique way, advancing understanding, breaking new ground • Evidence that research aims to solve important problem / aligns with development policies, and/or focuses on emerging problems • Evidence of alignment between SAIC thematic foci and developing country/regional/international priorities • Evidence that projects are aligned with the results of the baseline study • Perceptions of research users on the relevance of funded research • Perception of users on the relevance of policy frameworks developed 	<p>Document review</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with PIs / researchers</p> <p>Interviews with research users</p>
		<p>Positioning for use: To what extent has research process been managed and products prepared to enable probable use?</p>	<p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Extent to which research products are targeted to potential user groups, reflect an understanding of users' contexts, and/or are 	<p>Document review</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with PIs / researchers</p>

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<p>rendered in appropriate formats (e.g. policy briefs, publications, workshops)</p> <ul style="list-style-type: none"> • Evidence that researchers have planned research results publication / dissemination intent on maximizing use (e.g., capacity of users to apply findings) 	Interviews with research users
	<p>How effective was the outreach work of the SAIC program team in supporting research quality, in particular positioning it for use?</p>	<p>To what extent was Communications Strategy appropriate and tailored to the SAIC Program?</p>	<p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Evidence the Communications Strategy was appropriately multi-level and multi-sectoral • Evidence the Communications Strategy was designed to maximize existing in-house capacity at IDRC? • Evidence the Communications Strategy was designed to leverage PI / research team experience • Evidence the Communications Strategy appropriately accounted for multiple diversities (geographic, cultural, linguistic, gender, etc.) 	<p>Document review</p> <p>Interviews with SAIC Program Officers (POs) / Senior Program Specialists</p> <p>Interviews with PIs / researchers</p> <p>Interviews with research users</p>

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
		To what extent was the Communications Strategy effectively implemented, as designed and planned?	Added by Evaluation Team <ul style="list-style-type: none"> Evidence that different dimensions of the Communications Strategy were implemented as planned Evidence that implementation of the Communication Strategy resulted in the increased exposure to SAIC research of potential research users (including policy-makers, donors, international and regional agencies, and research networks) 	Document review Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers Interviews with research users
	What dynamics either catalyzed or impeded the quality of research?	What is the extent to which the quality of research was effected by the following internal and/or external factors? <ul style="list-style-type: none"> Diversity of languages Availability/quality of institutional data Partnership practices Leadership Other 	Added by Evaluation Team <ul style="list-style-type: none"> Extent to which the diversity of languages catalyzed or impeded the quality of research Extent to which the availability/quality of institutional data catalyzed or impeded the quality of research Evidence of good partnership practices among regional research teams Evidence of effective leadership from PIs / researchers 	Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
	Overall, was the quality of the IDRC-commissioned baseline study acceptable?	Did the baseline study accurately identify gaps in research on urban violence, poverty and inequalities?	Added by Evaluation Team <ul style="list-style-type: none"> Perceptions of PIs / researchers on extent to which the baseline identified gaps in the literature and informed their research agendas Expert judgement on extent to which baseline study highlighted gaps in literature 	Interviews with PIs / researchers
		To what extent do baseline studies such as the one undertaken for SAIC represent a valuable tool for designing R4D programs?	<ul style="list-style-type: none"> Perception of IDRC Staff Perception of SAIC POs Perceptions of PIs / researchers Expert judgement 	Interviews with IDRC staff Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers
Efficiency	Was the implementation of the SAIC program efficient and economical, relative to its purpose and intended outcomes? (Has the SAIC Program provided good Value-for-Money (VfM)?)	Were available resources (human, financial) used efficiently to manage the projects and Program in an optimized way?	Added by Evaluation Team <ul style="list-style-type: none"> Perceptions of IDRC staff / SAIC POs on the adequacy of human resources for the SAIC Program Perceptions of IDRC staff / SAIC POs on the adequacy of financial resources for the SAIC Program 	Document review Interviews with IDRC staff Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers
			<ul style="list-style-type: none"> % of administrative costs to overall Program disbursement Perception of PIs / researchers on the adequacy of human 	

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<ul style="list-style-type: none"> resources for their SAIC projects Perception of PIs / researchers on the adequacy of financial resources for their SAIC projects % of travel expenses in relation to overall Program disbursement 	
		Were outputs achieved on time and on budget?	Added by Evaluation Team <ul style="list-style-type: none"> Timeliness of disbursements Timeliness of project implementation and reporting On budget (projects) On budget (program) 	Document review Interviews with IDRC staff Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers
		Did SAIC seize any opportunity to reduce costs while supporting results?	Added by Evaluation Team <ul style="list-style-type: none"> Use of exchange rate volatility / hedging to finance SAIC activities 	Document review Interviews with IDRC staff Interviews with SAIC Program Officers (POs) / Senior Program Specialists
			<ul style="list-style-type: none"> Evidence in SAIC financial reports on seized opportunities to reduce costs Perceptions of IDRC staff / SAIC POs on seized opportunities to reduce costs 	
		Did alternatives for achieving the same results with fewer resources exist?	Added by Evaluation Team	Document review Interviews with IDRC staff

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<ul style="list-style-type: none"> Evidence of redundancies in the selection of SAIC projects receiving support Evidence that SAIC supported projects are duplicating research already concluded elsewhere 	Interviews with SAIC Program Officers (POs) / Senior Program Specialists
		Was the Call for Proposal process efficient for reaching its targeted audience?	Added by Evaluation Team <ul style="list-style-type: none"> Timeliness of Call for Proposal process Evidence of inefficiencies in the Calls for Proposal process (one-stage vs. two-stage Calls for Proposals) % of call for proposal expenses in relation to overall program value Perception of SAIC POs on the efficiency of the Call for Proposal process 	Document review Interviews with IDRC staff Interviews with SAIC Program Officers (POs) / Senior Program Specialists Interviews with PIs / researchers
	What have been the strengths and weaknesses of the program's governance and management arrangements?	What have been the strengths and weaknesses of the program's management arrangements?	Added by Evaluation Team <ul style="list-style-type: none"> Evidence of good practice (clear theory of change, strategy, adequate plans and systems) Availability of reliable data through the existing M&E system 	Document review Interviews with DFID staff Interviews with IDRC staff Interviews with Program Officers (POs) / Senior Program Specialists

EVALUATION CRITERIA	EVALUATION QUESTIONS	EVALUATION SUB-QUESTIONS	ILLUSTRATIVE INDICATORS	DATA SOURCES
			<ul style="list-style-type: none"> • Coherence and alignment of project and program level monitoring • Evidence of due diligence and sound financial management • Evidence of use of performance information to adjust project implementation 	
		<p>What have been the strengths and weaknesses of the program's governance arrangements?</p>	<p>Added by Evaluation Team</p> <ul style="list-style-type: none"> • Appropriateness of roles and responsibilities of DFID and IDRC • Extent and perceived quality of the relationship between IDRC and DFID 	<p>Document review</p> <p>Interviews with DFID staff</p> <p>Interviews with IDRC staff</p> <p>Interviews with Program Officers (POs) / Senior Program Specialists</p>

Appendix XI Terms of Reference

Centre de recherches pour le développement International

AMENDMENT

ISSUED VIA BUYANDELL.GC.CA

Amendment No.:	1
RFP #:	16170021
RFP Title:	Safe and Inclusive Cities Final Evaluation
Issue Date:	December 23, 2016
Issue by:	Randy Grant
No. of Pages:	38

DETAILS OF AMENDMENT

This amendment is being issued to make changes to the above-mentioned RFP.

The original solicitation had the wrong tender document attached (RFSQ16170017). Proponents are to ignore the tender RFSQ16170017 and use the correct version RFP16170021 attached.

INSTRUCTIONS

1. Amend your copy of the RFP in accordance with the details above.
2. Retain amendment copy for your file.

END OF AMENDMENT - ENGLISH

Centre de recherches pour le développement International

REQUEST FOR PROPOSAL ("RFP")

RFP Title: Safe and Inclusive Cities Final Evaluation	RFP #: 16170021
Issue Date: December 22, 2016	Close Date & Time: January 23, 2017 at 1:00:00 p.m. Eastern Standard Time
Contracting Authority Division: Procurement Services Name: Randy Grant Title: Procurement Officer Email: fad-ps@idrc.ca>	Originating Division: Program and Partnership Branch
<small>(Tel #: 1-613-696-2002; Fax: (613) 563-3463 / Street address: 150 René Street, Court/Judith Square, Tower III, Ottawa, Ontario, K1P 0G1, Canada / Mailing address: PO Box 8500, Ottawa, Ontario, K1G 3H5, Canada)</small>	

INTERNATIONAL DEVELOPMENT RESEARCH CENTRE

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SECTION 1 – INTRODUCTION

The purpose of this section is to provide general information about the International Development Research Centre (“IDRC”) and this RFP.

1.1 IDRC OVERVIEW

IDRC is a **Canadian Crown Corporation** established by an act of Parliament in 1970.

IDRC was created to help developing countries find solutions to their problems. It encourages, supports, and conducts research in the world’s developing regions, and seeks to apply new knowledge to the economic and social improvement of those regions. IDRC aims to reduce poverty, improve health, support innovation, and safeguard the environment in developing regions.

IDRC employs about 375 people at its Ottawa, Ontario, Canada head office and at its four (4) global regional offices (Cairo-Egypt, New Delhi-India, Nairobi-Kenya, and Montevideo-Uruguay). For more details visit: www.idrc.ca

1.2 PURPOSE OF THIS RFP

IDRC requests proposals for the provision of an evaluation consultant/firm to undertake a final-term formative evaluation, where requirements are described in section 2, the Statement of Work (“Services”).

1.3 DOCUMENTS FOR THIS RFP

The documents listed below form part of and are incorporated into this RFP:

- This RFP document
- Annex A – Resulting Contract Terms and Conditions
- Annex B – Travel
- Annex C – Mandatory Requirements Checklist
- Annex D – Rated Requirements Checklist

1.4 TARGET DATES FOR THIS RFP

The following schedule summarizes significant target events for the RFP process. The dates may be changed by IDRC at its sole discretion and shall not become conditions of any Contract which may be entered into by IDRC and the selected Proponent.

Event	Date
RFP issue date	See page 1
Deadline for Enquiries	See section 5.1
Tentative Deadline to Respond to Enquiries	January 12, 2017
RFP close date	See page 1
Evaluation, Selection, and Notification of Shortlisted Proponents	January 30, 2017
Interviews/Presentations by short-listed Proponent(s)	February 6, 2017
Finalize Contract with Lead Proponent	February 13, 2017
Commencement of Services	February 14, 2017

SECTION 2 – STATEMENT OF WORK

This section is intended to provide Proponents with the information necessary to develop a competitive proposal. The Statement of Work (“SOW”) is a complete description of the tasks to be done, results to be achieved, and/or the goods to be supplied.

2.1 BACKGROUND INFORMATION

Safe and Inclusive Cities (SAIC) is a global research program that documents the links between urban violence, poverty, and inequalities. Jointly funded by the International Development Research Centre (IDRC) and the UK’s Department for International Development (DFID), the program supports experts from around the world to find out what works — and what doesn’t — to reduce violence in urban centers.

SAIC’s primary objective is to generate high-quality evidence on the priority connections between violence, poverty, and inequalities in cities of the Global South. It also aims to identify and inform policy and practice on the most effective strategies to tackle the serious challenges posed by lethal and non-lethal violence to the well-being of individuals and communities, as well as to the legitimacy and accountability of public authorities.

The initiative’s specific objectives are to:

1. Generate a better understanding of the relationship between violence, poverty, and inequalities in urban areas, and identify the most effective strategies for tackling these challenges;
2. Contribute to the shaping of theoretical and conceptual frameworks that will guide future research on these issues;
3. Support a cadre of researchers, particularly in the Global South, to enhance their skills to design and execute cutting-edge, policy-relevant, rigorous, and gender-sensitive research projects in urban areas affected by violence in Latin America and the Caribbean, South Asia and Sub-Saharan Africa; and
4. Widely disseminate project- and program-level research results among local, regional, and international stakeholders with a view to influencing policy.

As a result of a competitive call for proposals, fifteen research teams were chosen to undertake research in 40 cities across 16 countries in sub-Saharan Africa, South Asia, and Latin America. These projects were mandated to address key gaps in knowledge and to test the effectiveness of violence reduction theories, strategies, and interventions. These include strategies to promote social cohesion and capital, fight gender-based violence, encourage urban renewal and regeneration, and enhance the protection of the most vulnerable groups. SAIC builds on knowledge gained from a range of interventions to address urban violence, such as pacification and community policing, community interventions, and slum upgrading. These projects also produced new data that has been rigorously tested to provide concrete results.

In 2015, a formative midterm evaluation of the program was completed. Evaluation questions focused on Program Effectiveness, Research Quality, Research Uptake, Ethical Practice, and Gender Analysis. Evaluation findings have informed the program’s implementation over the last 18 months.

2.2 SCOPE

The evaluation is intended to cover as much of the program as possible, from the drafting of the program's baseline study – *Researching the Urban Dilemma*¹ – in 2012 through to planning for the closing conference in 2017. The closing conference is expected to take place too late to be included in the evaluation. The evaluation is not primarily intended to evaluate the success of any of the 15 individual projects that constitute the SAIC program, but rather the program itself, IDRC's management thereof, and activities, outputs, and outcomes at the level of the program. In relation to some Evaluation Questions, such as that on Research Quality, project outputs will be relevant.

2.3 PURPOSE

The SAIC final evaluation has two primary purposes:

1. Ensure accountability to DFID and IDRC for the implementation of the program and delivery of program results; and
2. Provide input to future IDRC programming for learning and improvement.

The evaluation will provide important evidence on the program's effectiveness, including identifying results achieved and the quality of the research, the relevance and performance of the program, and overall value for money.

2.4 INTENDED USE AND USERS

The primary intended users of the evaluation are the DFID and IDRC management and staff responsible for implementing and overseeing the SAIC program. The evaluation will provide insight and guidance to determine the program's results and potential for future contributions. IDRC and DFID management and program staff will also use the evaluation to inform potential future programming. Secondary users of this evaluation include grantees and their networks. A broader audience of other donors and research for development practitioners may be interested to learn from SAIC's experience.

2.5 EVALUATION QUESTIONS

Q1. Effectiveness

1. To what extent is the SAIC program (understood as the 15 individual projects in addition to IDRC program activities) making progress toward the expected logical framework outputs and outcomes as they relate to these overarching program objectives:
 - a) To generate a better understanding among decision-makers, policy actors, researchers, practitioners and the public of the relationship between violence, poverty and inequalities in urban areas, and identify effective strategies for tackling these challenges.
 - b) To contribute to innovative theoretical and conceptual frameworks and methodological approaches that will guide future research on violence, poverty and inequalities in urban areas.

¹ Note that administratively, the baseline study was conducted under a separate project funded solely by IDRC, but is considered a component part of the SAIC program.

- c) To make project- and program-level research results widely accessible among local, sub-national, national, regional, and international stakeholders with a view to informing policy and practice.
 - d) To support a skilled network of researchers, particularly in the Global South, to design, implement and communicate policy- and socially-relevant, rigorous, and gender-sensitive research projects in cities affected by violence.
2. Were there significant unintended results, either positive or negative?

Q2. Research Quality

1. Overall, was the quality of the research supported by the program acceptable?
2. What dynamics either catalyzed or impeded the quality of research?
3. How effective is the outreach work of the SAIC program team been in supporting research quality, in particular positioning it for use?
4. Overall, was the quality of the IDRC-commissioned baseline study acceptable?

Q3. Efficiency

1. Was the implementation of the SAIC program efficient and economical, relative to its purpose and intended outcomes?
2. Were resources (e.g. staff) used efficiently to manage the projects and program?
3. What have been the strengths and weaknesses of the program's management and governance arrangements?

2.6 PRINCIPLES AND APPROACH THAT WILL GUIDE THE EVALUATION

Utility:

Each evaluation is designed to meet the needs of its intended users, including IDRC management, donor partners, program staff, and/or grantees. Evaluations should produce actionable findings to help us learn from successes and failures, to manage uncertainty and to take appropriate risks. Users' participation in evaluation processes helps ensure relevance and ownership of the evaluation findings.

Independence:

External evaluators must be, and must be seen to be, credible and independent in order for the final evaluation to be rigorous and useful. A strict standard must be maintained to guard the independence of the evaluation. Evaluators may not:

- have received any project funding from the program over the program period,
- be in negotiation for future projects or consultancies with the program,
- have a personal relationship with program member(s) that would impede their impartiality, or
- anticipate receiving funding from the program under review for one year from the completion of the review.

Evaluators who have worked with the program as evaluators can be considered. Evaluators must have no conflicts of interest with the program and have no stake in the outcome of the review. Reviewers and program staff and management are responsible for declaring any potential conflicts of interest.

Quality & Ethics:

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Evaluation must meet high quality standards. Quality includes the utility of evaluation, the use of rigorous methods, and safeguarding ethical standards. Evaluation is not value neutral, and specific attention needs to be paid to including diverse perspectives and addressing inequalities in the evaluation process.

Knowledge sharing and transparency:

Learning about the findings, practice, and theory of evaluation should be documented and shared. Knowledge sharing helps build evaluation capacity both within IDRC and among our grantees, and ensures evaluation remains relevant to the issues and priorities for development and development research.

Evaluations should be publicly accessible. Evaluations commissioned by IDRC are available through the Centre's public digital library.

2.7 PRELIMINARY EVALUATION DESIGN AND METHODOLOGY GUIDANCE

We welcome creative proposals for how to address the key evaluation questions. Notwithstanding, IDRC will make available existing frameworks such as the [Research Quality-Plus Assessment Framework](#) for adaptation by the successful proponent(s).

We expect the level of effort for this evaluation to include:

- Review of documents from the program and all 15 projects
- Communication with DFID staff, IDRC staff, and representatives from all 15 projects
- Communication with targeted research users
- Travel to the SAIC closing conference to present preliminary findings (TBC), tentatively scheduled for late May, 2017, in Nairobi, Kenya

Travel to project sites for data collection is not anticipated.

2.8 ROLES AND RESPONSIBILITIES

We anticipate the following division of roles and responsibilities.

Role/responsibility	Evaluator(s)	IDRC-Governance and Justice	IDRC-Policy and Evaluation	IDRC-Grant Administration	DFID
Collect and analyze data	X				
Facilitate use of the evaluation	X	X	X		X
Present/disseminate findings	X	X	X		
Write the evaluation report	X				
Participate in SAIC closing conference	X (present preliminary findings)	X	X		X

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Make logistical arrangements	X, with support from IDRC				
Provide information and access to documents		X	X		
Manage the contract & serve as a liaison		X			
Approve final products		X	X		
Arrange and participate in travel	Participate			Arrange	

IDRC will identify a **Project Authority** to whom the successful Proponent will report during the period of a resulting Contract. The Project Authority will be responsible for coordinating the overall delivery of service, providing as required direction and guidance to the Proponent, monitoring Proponent performance and accepting and approving Proponent deliverables on behalf of IDRC. Should any report, document, good or service not be in accordance with the requirements of the Statement of Work and to the satisfaction of the Project Authority, as submitted, the Project Authority shall have the right to reject it or require its correction at the sole expense of the Proponent before recommending payment.

IDRC will identify a **Travel Administrative Representative**, who will manage all travel requirements approved by the Project Authority.

IDRC will identify a **Contracting Authority**, who will oversee a resulting Contract throughout its lifecycle, in conjunction with the Project Authority and the Proponent, create amendments for any changes to a resulting Contract and answer questions on terms and conditions.

2.9 REPORTING REQUIREMENTS

IDRC expects:

- An initial workplan and evaluation methodology
- A draft written report of no more than 20 pages
- A 20-minutes oral presentation of preliminary findings to be shared at the SAIC closing conference (TBC)
- A final written report of no more than 20 pages
- A five-page Executive Summary that will be shared with IDRC's Board of Governors
- A one-page brief of key findings and recommendations for IDRC's Governance and Justice program.

2.10 Quality assessment of the evaluation report

The evaluation will be judged by IDRC's Evaluation Unit on four internationally recognized standards: utility, feasibility, accuracy, and propriety. Refer to the Evaluation Guidelines 4 [Quality Assessment of IDRC Evaluation Reports](#) or for French version <https://idl-bnc.idrc.ca/dspace/handle/10625/47275>

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2.11 TIMELINE AND MILESTONES

A resulting Contract is expected to commence on February 14, 2017 and conclude by July 15, 2017.

Activity	FEB	MAR	APR	MAY	JUNE	JULY
Planning						
Data collection / collation						
Data analysis						
Presentation of preliminary results						
Reporting						

2.12 Project Budget

The maximum budget available for this evaluation is CAD 79,000, exclusive of travel costs.

2.13 LOCATION OF WORK AND TRAVEL

Due to the type of Services required, the successful Proponent will be able to work from its own location. IDRC will not provide onsite facilities for the Proponent, other than providing facilities for on-site meetings, as needed.

Travel by the Proponent to Nairobi in late May to present preliminary findings at the SAIC closing conference is expected, but remains to be confirmed. No other travel is anticipated.

2.14 LANGUAGE OF WORK

The Proponent acknowledges and understands that IDRC is governed by the Official Languages Act and agrees to take any measures necessary to ensure compliance with the Official Languages Act.

When providing internal services to IDRC employees, in person, over the phone, or in writing (including electronic correspondence), the Proponent must actively offer bilingual services in accordance with the Official Languages Act and indicate clearly by verbal and/or visual means that employees can communicate with and obtain available services in either English or French. The Proponent must also ensure that there is sufficient capacity to provide services that are comparable in terms of quality and timeliness in both official languages.

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SECTION 3 – PROPOSAL EVALUATION

This section describes the process that IDRC will use to evaluate Proposals and select a Lead Proponent.

3.1 EVALUATION COMMUNICATION

During Proposal evaluations, IDRC reserves the right to contact or meet with any individual Proponent in order to obtain clarification of its submission or to gain insight into the quality and scope of relevant services. A Proponent will not be allowed to add, change or delete any information during the process. IDRC is in no way obligated to meet with any or all Proponents for this purpose.

3.2 EVALUATION METHODOLOGY

The Centre and the selected evaluation team will conduct the evaluation of proposals in the following four (4) stages:

3.2.1. Stage I

Stage I will consist of a review to determine which proposals comply with all of the mandatory requirements

3.2.2. Stage II

Stage II will consist of a scoring by the Centre and the selected evaluation team of each qualified proposal on the basis of the rated criteria.

3.2.3. Stage III (Discretionary)

The Centre reserves the right to short-list and request presentations from those proponents that, in the sole opinion of the Centre, can best meet the requirements as identified in the Request for Proposal.

Short-listed Proponents may be asked to respond to question(s) or make a presentation on their proposal and must be prepared to respond and discuss any area of the Proposal within 5 business days of notification.

3.2.4. Stage IV

Upon completion of Stage III for all shortlisted Proponents, the Financial Proposal provided as a separate file by each Proponent in their Electronic Bid Submission will then be opened and Stage IV will consist of a scoring of the pricing submitted. The evaluation of price/cost shall be undertaken after the evaluation of mandatory requirements and any rated requirements has been completed.

3.2.5. Cumulative Score

At the conclusion of Stage IV, all scores from Stage II and Stage IV will be added and the highest scoring Proponent will be selected for contract negotiations.

3.2.1 Stage I: Evaluation of Mandatory Requirements

Each Proposal will first be examined to determine compliance with each **mandatory** requirement ("M") identified in this RFP. A mandatory requirement is a minimum standard that a proposal must meet in

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order to be considered for further evaluation. Mandatory is defined as having substantial compliance as assessed by IDRC in its sole and absolute discretion.

Important Note: Proposals which fail, in the sole discretion of IDRC, to meet any mandatory requirement will be eliminated from further consideration in the evaluation process.

3.2.2 Stage II: Evaluation of Rated Requirements

Responses that have met all the mandatory requirements will then proceed to the **rated** requirements ("R") evaluation. **Rated** requirements will be evaluated according to the degree to which they meet or exceed IDRC's requirements.

3.2.3 Stage III: Evaluation of Proponent Presentations/Interviews (if Required)

Proponents who have met all of the mandatory requirements and those who have placed first, second, and third for the rated requirements may be invited to present or interview or both to key IDRC staff (onsite, or through teleconference set up by IDRC) at their own expense. The presentation will be evaluated based on demonstrating an understanding and knowledge to deliver the project, and demonstrating the abilities, skills, and experiences of the project team. The interview/presentation is expected to last no longer than 30 minutes to 1 hour which includes questions and answers on February 6, 2017. Reasonable notice will be given to this shortlist with more details on the presentation process.

IDRC may adjust the points allocated to each proponent in the evaluation detailed in Stage II, Rated Criteria, taking into consideration the information presented by the proponent in Stage III.

3.2.4 Financials

Up to the top three (3) compliant proposals will be shortlisted to move to on to the financial proposal review.

Financial Proposals will be scored based on a relative pricing formula. Each Proponent will receive a percentage of the total possible points arrived at by dividing that Proponent's total price by the lowest submitted total price. For example, if the lowest total price is \$120.00, that Proponent receives 100% of the possible points ($120/120 = 100\%$), a Proponent who submits \$150.00 receives 80% of the possible points ($120/150 = 80\%$), and a Proponent who submits \$240.00 receives 50% of the possible points ($120/240 = 50\%$).

Travel expenses will not be used for scoring.

3.2.5. Final Score

Total points will be calculated and IDRC may select the Lead Proposal or Proposals achieving the highest total points, subject to IDRC's reserved rights.

3.3 EVALUATION TABLE

IDRC will evaluate Proponent's proposals based on the following:

RFP Section	Mandatory Requirements	Weighting A	Points 0-10 B	Score A x B
Throughout the RFP and Annex A	Mandatory Requirements (<i>If Pass, proceed with evaluation process</i>)	Pass or Fail	n/a	n/a

RFP Section	Rated Requirements	Weighting A	Points 0-10 B	Score A x B
5	Technical Proposal	75		
6	Financial Proposal	25		
Total Score		100		

3.4 PROPONENT FINANCIAL CAPACITY

IDRC reserves the right to conduct an assessment of the Lead Proponent's financial capacity. IDRC may request that the Lead Proponent provide proof of financial stability via bank references, financial statements, or other similar evidence. The Lead Proponent must provide this information upon 72 hours of IDRC's request. Failure to comply may result in disqualification.

3.5 PROPONENT SELECTION

As noted in section 7.8, acceptance of a proposal does not oblige IDRC to incorporate any or all of the accepted proposal into a contractual agreement, but rather demonstrates a willingness on the part of IDRC to enter into negotiations for the purpose of arriving at a satisfactory contractual arrangement with one or more parties.

Without changing the intent of this RFP or the Lead Proponent's proposal, IDRC will enter into discussions with the Lead Proponent for the purpose of finalizing the Contract.

In the event no satisfactory Contract can be negotiated between the Lead Proponent and IDRC, IDRC may terminate negotiations. In such event, if IDRC feels that the Proponent with the second highest score may meet the requirements, IDRC will continue the process with the secondary Proponent, and so on.

Announcement of the successful Proponent will be made to all Proponents following the signing of a Contract.

SECTION 4 – PROPOSAL FORMAT

Proposal responses should be organized and submitted in accordance with the instructions in this section.

4.1 GENERAL

Proposals should be in 8 1/2" x 11" (letter) format, with each page numbered. Elaborate or unnecessary voluminous proposals are not desired. The font used should be easy to read and generally be no smaller than 11 points (smaller font can be used for short footnotes).

4.2 ORGANIZATION OF RESPONSES

Responses should be organized as follows, where the sections that follow (4.2.1, 4.2.2 and 4.2.3) provide greater details:

Volume	Contents
1.0	Cover Letter
1.1	Table of Contents
1.2	Technical Proposal: Consisting of 2-page draft work plan summarizing the proposed methodology and all requirements from the Statement of Work
1.3	CV(s)
2.0	Financial Proposal (Separate File)

Volumes 1.0, 1.1, 1.2 and 1.3 must be submitted separately to Volume 2.0 (Financial Proposal). Volumes 1.0, 1.1, 1.2 and 1.3 **must not** contain any financial information.

4.2.1 COVER LETTER

A maximum two (2) page covering letter on the Proponent's letterhead should be submitted and should include the following:

- A reference to the RFP number and RFP title.
- The primary contact person with respect to this RFP: the individual's name, address, phone number and email address.
- A statement confirming the validity of the proposal (refer to section 7.4). **(M)**
- A statement confirming the Proponent does not have a conflict of interest with this RFP, real or perceived (refer to section 7.7). **(M)**
- The letter **signed** by person(s) duly authorized to sign on behalf of the Proponent and bind the Proponent to statements made in response to the RFP. **(M)**

4.2.2 Table of Contents

The Proponent should include a table of contents that contains page numbers for easy reference by the evaluation committee.

4.2.3 Technical Proposal Format

It is suggested that the Proponent follow the format outlined below for its technical proposal.

The Proponent may also use a **table format** to supply a response of "Compliant" or "Non-Compliant" for each Mandatory Requirement. As part of the table format, for Mandatory and Rated Requirements, a statement should substantiate the response, or a reference to where it can be found within the submission, should be included. See examples:

Using a table format, an example of a response to a *Mandatory Requirement* would be:

Requirement	Response	Response details
Security Clearance	Compliant	All of our proposed personnel have "Reliability Status".

Using a table format, an example of a response to a *Rated Requirement* would be:

Requirement	Response	Response details
Outline years of experience	15 years	Refer to section x, page x. (or provide full response here)

When responding, the Proponent **must** complete the response grids found in **Annex C- Mandatory Compliance Checklist** and **Annex D- Rated Requirement Checklist**.

SECTION 5 – EVALUATION CRITERIA (TECHNICAL REQUIREMENTS)

In their Technical Proposal, Proponents must explain and demonstrate how they propose to meet the Statement of Work requirements and clearly outline the work that the Proponent proposes to undertake for the provision of the Services to IDRC.

Proposals will be evaluated in accordance with the following Mandatory (M) and Rated (R) requirements. Proposals failing to meet Mandatory Requirements will be considered non-compliant and excluded from further consideration.

A	Mandatory Requirements	M
1	<p>Executive Summary The Proponent shall include a short executive summary (maximum 1 page) highlighting the following:</p> <p>a. a description of:</p> <ul style="list-style-type: none"> the Proponent’s business and specializations the location of its head office and other offices (specify city and province only) details of any sub-contracting arrangements to be proposed <p>b. a brief summary of what makes the Proponent’s organization/team stand out from its competitors</p>	M
2	<p>All Proposed Resources The Proponent shall outline all proposed resources to be used in providing the services and include:</p> <p>a. name, title, telephone #, email address, location; and b. CV (s) - maximum 6 pages for each.</p>	M
3	<p>Similar Services- Demonstrate In order to demonstrate that the Proponent has completed similar services, the Proponent’s response must include a minimum of one (1) and up to a maximum of three (3) examples of similar services.</p> <p>For each example, the following should be provided:</p> <p>a. name and address (city and province only) of the client; b. services period, e.g. start and end dates; and c. brief description of services provided by the Proponent.</p> <p>Additionally, examples must demonstrate:</p> <p>d. The ability to engage and excel in an iterative work process e. The ability to give and receive constructive feedback f. Excellent oral and written communication skills in English or French</p>	M

B	Personnel Profile and Experience	Rating	Total Points 50
1	In order to demonstrate that the Proponent has completed similar services requested in the Statement of Work, and as specified within Section 2, the Proponent must have the following skills and experience :		

a)	Ability to engage and excel in an iterative work process	M	
b)	Ability to give and receive constructive feedback	M	
c)	Excellent oral and written communication skills in English or French	M	
d)	Working knowledge of English or French (depending on the language identified in c), above) and Spanish	R	8
e)	Experience working in multi-cultural, multi-disciplinary context	R	3
f)	Proven strong report writing and presentation skills	R	6
g)	Ability to communicate complex technical ideas using non-technical language to diverse audiences	R	3
h)	Sound understanding of the constraints of conducting research in low and middle income countries and in contexts of violence	R	5
i)	Experience evaluating research aimed at developing evidence to alleviate poverty, address inequalities and /or reduce urban violence	R	8
j)	Basic knowledge of existing evidence on poverty, inequalities and violence in urban areas	R	3
k)	Knowledge of program level evaluation of research and innovation for development	R	6
l)	Specialist knowledge of the challenges and complexities of ethical and gender differentiated research in low and middle income countries and in contexts of violence.	R	8

C	Proposed Evaluation Approach	Rating	Total Points 25
1	The Proponent should demonstrate its Approach to successfully deliver the requirements detailed Section 2 - Statement of Work.		
a)	<p>Methodology:</p> <ul style="list-style-type: none"> description of sources of data and how they will be used; outline of an initial analytical framework; feasibility of design; references made to relevant literature and evaluation design approaches; a detailed timeline (including proposed travel); and 	R	20
b)	Risk Management Plan - Describe any contingencies that may hinder the progress or outcome of the evaluation and suggest how you would mitigate them.	R	5

SECTION 6 - FINANCIAL PROPOSAL

6.1 Guidelines

The Proponent must submit a separate Financial Proposal including a cost summary of the Services as follows:

Mandatory Requirements	Weight (%)
	25
<p>a. The Proponent is to state the assumptions underlying its financial proposal.</p>	
<p>b. All prices are to be quoted in Canadian dollars (CAD) and be exclusive of the Goods and services Tax (GST) or Harmonized Sales Tax (HST).</p> <p>The GST or HST, whichever is applicable, shall be extra to the prices quoted by the Proponent and will be paid by IDRC.</p> <p>If the Proponent will not be charging IDRC taxes, an explanation should be provided.</p> <p>See the NOTES below for more details on taxes.</p> <p>c. All prices must include a detailed breakdown following the response to section 2 (Statement of Work), as outlined in section 5 and include at a minimum the following:</p> <ul style="list-style-type: none"> i. all inclusive daily rate applicable to proposed personnel who will do the each requirement; ii. estimated total number of billable days to do each requirement; iii. estimated number of day to be spent in at IDRC's Ottawa office, if applicable. <p>Prices shall include all components normally included in providing the proposed services such as professional fees, disbursements, engagement support expenses, etc.</p> <p>Travel expenses must NOT be included in price estimates as IDRC will provide standard per-diem rates, and will procure all air (and train) tickets directly through its designated travel agency (reference Annex B for more details).</p> <p>IDRC will not be billed for travel time to and from any work site, for any purpose. Cost of such time will be the sole responsibility of the selected proponent.</p> <p>d. The Proponent shall propose an invoicing schedule if other than providing one (1) invoice upon completion of all Services.</p> <p><i>Important Notes:</i></p> <ul style="list-style-type: none"> • IDRC's payment terms are NET 30 and IDRC will make no advance on fees. • Maximum of one invoice per month permitted. <p>e. Proponents who must travel to Ottawa for onsite work must indicate if there will be fees chargeable to IDRC.</p>	

NOTES:

1. Taxes

1.1 Proponents hired to deliver goods and or services in Canada (regardless of their place of origin) must include all costs on their invoices for the purpose of calculating the applicable taxes payable by IDRC.

1.2 In accordance with the income tax regulations of Canada, IDRC must withhold 15% of fees and non-exempt expenses of **non-resident Proponents working in Canada** for transmittal to the Canada Revenue Agency ("CRA"). Such holdback may be either waived by the Canada Revenue Agency ahead of payment (the Proponent must secure the waiver himself / herself) or refunded later to the Proponent by the authorities of his country of residence (where the country in question has a tax treaty with the Government of Canada), upon the Proponent satisfying the country's revenue declaration requirements. Withholding by IDRC does not constitute sufficient reason to increase the negotiated fee. Tax matters remain entirely the responsibility of the Proponent. Waiver applications and information can be found on CRA's website: <http://www.cra-arc.gc.ca/tx/nrdsnts/cmmn/rndr/menu-eng.html>

1.3 In accordance with the tax regulations of the jurisdictions of IDRC's Regional Offices, other tax regulations may apply.

6.2 Mathematical Errors

If there are errors in the mathematical extension of unit price items, the unit prices prevail and the unit price extension is adjusted accordingly.

If there are errors in the addition of lump sum prices or unit price extensions, the total is corrected, and the correct amount reflected in the total price.

Any Proponent affected by mathematical errors shall be notified by IDRC and be given the corrected prices.

SECTION 7 – CONDITIONS

The purpose of this section is to inform the Proponent about IDRC's procedures and rules pertaining to the RFP process.

7.1 ENQUIRIES (M)

All matters pertaining to this RFP are to be referred exclusively to the Contracting Authority named on page 1.

No verbal enquiries or verbal requests for clarifications will be accepted.

Proponents should, as much as feasible, aggregate enquiries and requests for clarifications and shall submit them **in writing via email** to the **Contracting Authority** by Tuesday, January 10, 2017, at 11:00 a.m. EST in order to receive a response prior to the close date. When submitting, Proponents *email subject line* should cite "**RFP # 16170021, SAIC Final Evaluation**".

The Contracting Authority will provide **all answers to significant enquiries** received on buyandsell.gc.ca without revealing the sources of the enquiries.

In the event that it becomes necessary to revise any part of the RFP as a result of any enquiry or for any other reason, **an Amendment** to this RFP will be issued and posted on buyandsell.gc.ca

Important note: Proponents must download all RFP documents directly from the Buy and Sell website. IDRC will not distribute RFP documents that are posted on buyandsell.gc.ca.

7.2 SUBMISSION DEADLINE (M)

IDRC will only accept proposals up the close date and time indicated on page 1.

Important note: Late proposals will not be accepted. No adjustments to proposals will be considered after the close date and time.

7.3 PROPOSAL SUBMISSION INSTRUCTIONS (M)

Proposals should be submitted in accordance with the instructions in this section.

7.3.1 Method of Sending

Proposal submission is electronic, via **email**, in **Microsoft Word** or in **PDF** format to the Contracting Authority named on page 1. Proponents *email subject line* should cite "**RFP # 16170021, SAIC Final Evaluation**" when submitting via email.

Important Note: Email messages with large attachments can be slowed down in servers between the Proponent's email and the Contracting Authority's email inbox. It is the Proponent's responsibility to ensure that large emails are sent sufficiently in advance to be at IDRC by the close date and time. Proponents should use electronic receipt confirmation and/or contact the Contracting Authority to confirm receipt.

Important Note: The maximum size of an email that IDRC can receive is 10MB. If necessary, Proponents can send multiple emails.

7.3.2 Number of Copies

Electronic submission should consist of **two (2) files**: one (1) for the cover letter and technical proposal and one (1) for the financial proposal.

7.3.3 Changes to Submission

Changes to the submitted proposal can be made, if required, provided they are received as an Addendum (or an Amendment) to, or clarification of, previously submitted proposal, or as a complete new proposal to cancel and supersede the earlier proposal. The addendum, clarification, or new proposal should be submitted as per the delivery instructions outlined above, be clearly marked "**REVISION**", and **must be received no later than the submission deadline**. In addition, the revised proposal should include a description of the degree to which the contents are in substitution for the earlier proposal.

7.3.4 Multiple Proposals

IDRC will accept only one (1) proposal per Proponent.

7.4 VALIDITY OF PROPOSAL (M)

Proposals must remain open for acceptance for **ninety (90) days** after the close date.

7.5 PROPONENT'S COSTS

All costs and expenses incurred by a Proponent in any way related to the Proponent's response to the RFP, including but not limited to any clarifications, interviews, presentations, subsequent proposals, review, selection or delays related thereto or occurring during the RFP process, are the sole responsibility of the Proponent and will not be chargeable in any way to IDRC.

7.6 GOVERNING LAWS

This RFP is issued pursuant to the laws of the province of Ontario and the laws of Canada.

7.7 CONFLICT OF INTEREST (M)

In submitting a Proposal, the Proponent must avoid any real, apparent or potential conflict of interest and will declare to IDRC any such conflict of interest.

In the event that any real, apparent, or potential conflict of interest cannot be resolved to the satisfaction of IDRC, IDRC will have the right to immediately reject the Proponent from consideration and, if applicable, terminate any Contract entered into pursuant to this RFP.

7.8 RIGHTS OF IDRC

IDRC does not bind itself to accept any proposal submitted in response to this RFP, and may proceed as it, in its sole discretion, determines following receipt of proposals. IDRC reserves the right to accept any proposal(s) in whole or in part, or to discuss with any Proponents, different or additional terms to those envisioned in this RFP or in such a Proponent's proposal.

After selection of preferred proposal(s), if any, IDRC has the right to negotiate with the preferred Proponent(s) and, as a part of that process, to negotiate changes, amendments or modifications to the proposal(s) at the exclusion of other Proponents.

Without limiting the foregoing, IDRC reserves the right to:

- a. seek clarification or verify any or all information provided by the Proponent with respect to this RFP, including, if applicable to this RFP, contacting the named reference contacts;
- b. modify, amend or revise any provision of the RFP or issue any addenda at any time; any modifications, amendment, revision or addendum will, however, be issued in writing and provided to all Proponents;
- c. reject or accept any or all proposals, in whole or in part, without prior negotiation;
- d. reject any proposal based on real or potential conflict of interest;
- e. if only one proposal is received, elect to accept or reject it;
- f. in its sole discretion, cancel the RFP process at any time, without award, noting that the lowest or any proposal will not necessarily be accepted;
- g. negotiate resulting Contract terms and conditions;
- h. cancel and/or re-issue the RFP at any time, without any liability whatsoever to any Proponent;
- i. award all or any part of the work to one or more Proponents based on quality, services, and price and any other selection criteria indicated herein; and
- j. retain all proposals submitted in response to this RFP.

7.9 PROPOSED CONTRACT

7.9.1 Resulting Contract

Annex A has been provided as part of the RFP documents so that Proponents may review and become familiar with certain specific conditions that are expected to be adhered to in connection with the provision of services. While some of the language may be negotiated between IDRC and the successful Proponent, IDRC's flexibility to amend its standard terms and conditions may be limited.

Important note: The Proponent should outline any objections with reasons to any terms and conditions contained in this RFP and include them in its proposal. Failure to identify objections at the proposal stage may preclude Proponents from raising these objections in the course of any future negotiations.

7.9.2 Income Tax Reporting Requirement

As a Crown Corporation, IDRC is obligated under the Canadian Income Tax Act and Regulations to report payments made by IDRC to suppliers. IDRC must therefore obtain the necessary information from suppliers and will request from the Lead Proponent to complete and sign the appropriate form(s) prior to execution of any Contract.

ANNEX A – Resulting Contract Terms and Conditions

A1. Definitions

For the purposes of this Contract:

Administrative Representative shall mean the person designated within the main body of this Contract.

Commencement Date shall mean the date on which the services described in the Contract are to commence.

Confidential Information shall mean any and all technical and non-technical information including patent, copyright, trade secret, and proprietary information, techniques, sketches, drawings, models, inventions, know-how, processes, apparatus, equipment, algorithms, software programs, software source documents, source codes, and formulae related to the current, future, and proposed products and services of the Centre, and includes, without limitation, the Centre's information concerning research, experimental work, development, design details and specifications, engineering, financial information, procurement requirements, purchasing, manufacturing, and marketing plans and information.

Consultant shall mean either the individual, institution, corporation or partnership retained pursuant to this Contract, and its employees, directors, officers, partners, sub-Contractors and agents, as applicable, and any other representative for whom the Consultant is responsible at law.

Contract shall mean the main body of this contract including any and all attachments incorporated therein by reference. In the event of a conflict between the main body of the Contract and Attachment A, the main body of the contract shall prevail.

Day shall mean eight hours of work when working in the city or country of the Consultant's principal place of business and ten hours when working in a city or country away from the Consultant's principal place of business.

Termination Date shall mean the earlier of (a) the date on which the final contract outputs described in the Advance and Schedule of Payments section of this Contract have been delivered, and (b) the date on which the Contract automatically terminates by operation of the Termination provisions contained in this Contract.

A2. Entire Contract

This Contract supersedes all previous Contracts and correspondence, oral or written, between the Centre and the Consultant, and represents the whole and entire understanding between the parties.

A3. Conditions Precedent and Terms of Payment

The following sets out the conditions precedent that the Consultant must comply with to ensure payment for services pursuant to this Contract:

- a) Completion and delivery of the information requested in the **Supplier, Tax and Bank Information form** appended to this Contract.
- b) Satisfactory delivery of all Contract outputs, as per the **Terms of Reference and Schedule sections** of this Contract.
- c) Proper completion of invoice(s) to set out:

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- Centre Contract number contained in the subject header of the Contract;
- Invoice number
- Invoice Date
- Fees (daily rate and number of days or unit rate and number of units or fixed price);
- Detailed expenses as stipulated in the **Expenses section** of the Contract;
- GST (Goods and Services Tax) or HST (Harmonized Sales Tax), as applicable –Consultants not registered for Canadian GST purposes must itemize the taxes they paid; and
- GST/HST registration number, if applicable.

Subject to the terms set out in the **Advance and Schedule of Payments section** of this Contract and the above conditions being met, the Centre will issue payment of fees and expenses according to the Centre's standard payment period of thirty (30) calendar days. The payment period is measured from the date the Centre receives the duly completed Supplier, Tax and Bank Information form, or the date the Centre receives an acceptable invoice, or the date the work is delivered in acceptable condition as required in the Contract, whichever is latest. If the content of the invoice or the requisite form is incomplete or the work is not acceptable, the Consultant will be notified and the payment period will be deferred until all deficiencies have been rectified to the Centre's satisfaction.

The Centre will reimburse the Consultant for any applicable GST or HST, only if the fees and expenses on which taxes are claimed are net of any input tax credit the Consultant is entitled to claim from Canada Revenue Agency.

Notwithstanding the above, if the Centre provided an advance to the Consultant for expenses, such advance must be deducted from subsequent invoice totals. If the amounts advanced are found to exceed the final invoice total, the Consultant must refund the balance to the Centre upon submitting the final invoice, which must be no later than thirty (30) calendar days following the Termination Date.

The Centre will not pay more than one day of fees per 24-hour period. The Centre will not pay any fee nor any expenses incurred after the termination date of the contract.

Following the Termination Date, and payment of the final invoices, all taxes due and owing in relation to the provision of services pursuant to this Contract are deemed to have been paid by the Centre. The Consultant will be liable for any tax claims, debts, actions or demands in relation to the services provided pursuant to this Contract (hereinafter referred to as "Tax Claims") and the Consultant shall indemnify and hold the Centre harmless against said Tax Claims.

A4. Tax Implications

The Canada Revenue Agency (CRA) is responsible for the administration of the GST or HST and income tax regulations. Contact CRA to discuss questions, concerns or obtain current regulations especially with respect to refunds or credits. The main CRA website can be found at <http://www.cra-arc.gc.ca>.

a) Non-Resident Consultants:

Notwithstanding anything to the contrary in this Contract, the Centre **will withhold 15% of fees and non-exempt expenses of non-resident Consultants working in Canada** unless they hold a contract-specific waiver from the CRA. The Centre will transmit the funds withheld to CRA, in accordance with the income tax regulations of Canada. Such funds can be reclaimed by the consultant from the CRA or from their own governments as the case may be.

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b) Consultants Hired by a Centre Regional Office working in the country where the Regional Office is located:

Regional offices of the Centre issuing Contracts will apply the national fiscal regulations relevant to the hiring of local Consultants.

A5. Air Travel Policy

The Centre's policy is that all air travel be prepaid. All Contract personnel must travel economy class by the most direct and economical routing (taking advantage where possible of excursion fares). The Consultant is free to reroute or upgrade, where possible, at his or her own expense and settle any additional cost directly with the travel agency or airline.

Consultants will receive their ticket(s) either by courier at the address set out in this contract, from a nearby airline office (via a prepaid ticket advice), or via electronic ticketing.

Under no circumstances will the Centre entertain the Consultant making his or her own reservations and billing the Centre. When the Consultant's travel includes destinations not covered under the scope of this Contract, the Consultant must contact the Centre's Administrative Representative to exercise one of the following options:

- to prepay to the Centre's designated travel agency his or her share of the itinerary unrelated to this Contract; or
- to have the Centre prepay its share of the itinerary directly to the Consultant's travel agency.

Consultants who find significantly less expensive fares to those offered by the Centre's travel agency for the same travel parameters are also encouraged to contact the Centre's Administrative Representative to discuss the possibility of taking advantage of the less expensive fares, which are nonetheless to be prepaid by the Centre.

For further information or clarifications, contact the Centre Administrative Representative.

A6. Confidentiality of Information

a) Non-Disclosure and Non-Use of Confidential Information

The Consultant agrees that it will not, without authority, make use of, disseminate or in any way disclose any Confidential Information to any person, firm or business.

The Consultant shall take all reasonable precautions at all times (and in any event, efforts that are no less than those used to protect its own confidential information) to protect Confidential Information from disclosure, unauthorized use, dissemination or publication, except as expressly authorized by this Contract.

The Consultant agrees that it, he, or she shall disclose Confidential Information only to those of its, his, or her employees or subcontractors who need to know such information and certifies that such employees or subcontractors have previously agreed, either as a condition to employment or service or in order to obtain the Confidential Information, to be bound by terms and conditions substantially similar to those of this Contract.

The Consultant will immediately give notice to the Centre of any unauthorized use or disclosure of the

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Confidential Information. The Consultant agrees to indemnify the Centre for all damages, costs, claims, actions and expenses (including court costs and reasonable legal fees) incurred by the Centre as a result of the Consultant's failure to comply with its obligations under this section, and the Consultant further agrees to defend and participate in the defence of any claim or suit alleging that the Centre has a liability with respect to any confidential information it may have acquired from a third party; with regard to any unauthorized disclosure, provision or making available of any such Confidential Information.

b) Exclusions from Nondisclosure and Non-use Obligations

The Consultant's obligations under the preceding subsection (A6.a) with respect to any portion of the Confidential Information shall terminate when the Consultant can document that:

- i. it was in the public domain at or subsequent to the time it was communicated to the Consultant by the Centre through no fault of the Consultant;
- ii. it was rightfully in the Consultant's possession free of any obligation of confidence at or subsequent to the time it was communicated to Consultant by the Centre; or
- iii. it was developed by the Consultant, its employees or agents independently of and without reference to any information communicated to the Consultant by the Centre.

A disclosure of Confidential Information (a) in response to a valid order by a court or other governmental body, (b) otherwise required by law, or (c) necessary to establish the rights of either party under this Contract, shall not be considered to be a breach of this Contract or a waiver of confidentiality for other purposes; provided, however, that the Consultant shall provide prompt written notice thereof to enable the Centre to seek a protective order or otherwise prevent such disclosure.

c) Ownership of Confidential Information and Other Materials

All Confidential Information and any Derivatives thereof, whether created by the Centre or the Consultant, remain the property of the Centre and no license or other rights to Confidential Information is granted or hereby implied.

For purposes of this Contract, "Derivatives" shall mean:

- i. for copyrightable or copyrighted material, any translation, abridgement, revision, or other form in which an existing work may be recast, transformed, or adapted;
- ii. for patentable or patented material, any improvement thereon; and
- iii. for material which is protected by trade secret, any new material derived from such existing trade secret material, including new material which may be protected by copyright, patent, and/or trade secret.

The Consultant shall, on request, promptly return to the Centre all of its proprietary materials together with any copies thereof.

This section shall survive the termination of this Contract.

A7. Use of Centre Property

a) Access to Information Systems and Electronic Communication Networks

During the course of this Contract, the Consultant may be provided with access to Centre information systems and electronic communication networks. The Consultant, on behalf of its/his/her employees, sub-Contractors and representatives, agrees to abide by Centre policies concerning use of such

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information systems and networks. The Centre will provide the Consultant with any such policies upon commencement of services pursuant to this Contract, or as such policies are put into effect, and the Consultant will make such policies known to its personnel, and will take such steps as are necessary to ensure compliance with such policies.

b) Access to Centre Premises

The parties agree that reasonable access to the Centre's premises by Consultant's authorized personnel and which is necessary for the performance of the services hereunder, in accordance with the terms of this contract, shall be permitted during normal business hours of the Centre. The Consultant agrees to observe all Centre security requirements and measures in effect at the Centre's premises to which access is granted by this agreement.

A8. Relationship with the Centre

Nothing in this Agreement shall be deemed in any way or for any purpose to constitute the parties hereto partners in the conduct of any business or otherwise. The Consultant shall have no authority to assume or create any obligation whatsoever, expressed or implied, in the name of the Centre, or to bind the Centre in any manner whatsoever.

The Consultant acknowledges and agrees that, in carrying out this Contract, the Consultant is acting as an independent contractor and not as an employee of the Centre. The Contractor shall be responsible for all matters related to it or its employees, as the case may be, including but not limited to deducting or remitting income tax, Canada Pension Plan contributions, Employer Insurance contributions or any other similar deductions required to be made by law for employees. The Consultant agrees to indemnify the Centre in respect of any such remittances which may be subsequently required by the relevant authorities, together with any related interest or penalties which the Centre may be required to pay.

The Consultant is free to provide its services to others during the course of this Contract, provided however, the Consultant fully respects the commitments made to the Centre pursuant to this Contract, including all completion dates and deadlines for tasks and deliverables as may be indicated in the **Terms of Reference** and **Schedule sections** of the contract.

A9. Quality of Work

The consultant covenants that it will provide its services pursuant to this agreement in a diligent and workmanlike manner, with regard to the best interests of the Centre, and warrants that its personnel possess the skill and experience necessary to the satisfactory performance of the work contracted for.

A10. Assignment of Copyright and Waiver of Moral Rights

In consideration of the fees paid, the Consultant, its employees, sub-Contractors, successors and assignees expressly agree to assign to the Centre any copyright arising from the works (including audio-visual material, software, documents, books, pamphlets, memoranda or reports, including translations) the Consultant produces while executing this Contract. The Consultant hereby agrees to waive in favour of the Centre any moral rights in the works. The Consultant shall secure any additional waivers of moral rights in the works in favour of the Centre, from personnel and sub-contractors, as appropriate.

Furthermore, the Consultant may not use, reproduce or otherwise disseminate or authorize others to use, reproduce or disseminate such works without the prior written consent of the Centre.

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A11. Patent, Trade Mark, Trade Secret and Copyright Infringement

The Consultant covenants that no services or materials to be provided to the Centre under this agreement will infringe upon or violate the rights of any third parties, including such parties' intellectual property rights. Without limiting the generality of the foregoing, the Consultant represents and warrants that no services or materials provided pursuant to this agreement will infringe any existing patent, trade mark, trade secret or copyright registered or recognized in Canada or elsewhere, with respect to or in connection with the intended use of the services or materials by the Centre.

The Consultant agrees to indemnify and hold the Centre harmless from and against any and all damages, costs, and expenses (including court costs and reasonable legal fees) incurred by the Centre as a result of the infringement or alleged infringement of any third party intellectual property rights, and further agrees to defend and participate in the defence of any claim or suit alleging that the Centre has a liability in this regard.

This section will survive termination of the contract.

A12. Sub-Contractors, Successors and Assignees

The Consultant is prohibited from entering into any sub-contract, designating any successor or assigning any rights under this Contract without the express written consent of the Centre.

A13. Conflict of Interest

The Consultant must avoid participating in activities or being in situations that place it, him, or her, in a real, potential or apparent conflict of interest that has the potential of influencing the contract outputs being contemplated by this Contract.

The Consultants must not accept, directly or indirectly, for themselves or on behalf of any person or organization with whom they are in a close social, family or economic relationship, any gift, hospitality, or other benefit from any person, group, or organization having dealings with the Centre where such gift, hospitality, or other benefit could reasonably foreseeably influence the Consultant in the exercise of its, his or her official duties and responsibilities pursuant to this Contract.

A14. Insurance, Personal Safety and Health

The Consultant is responsible for taking out at its own expense any insurance (travel, hospitalization, medical, trip cancellation or other) deemed necessary while executing this Contract. The Centre's travel agency will not advise the Consultant of the availability of insurances unless specifically requested by the Consultant at the time of booking travel. Any insurance acquired by the Consultant from the Centre's travel agency shall be at the expense of the Consultant.

Consultants have the exclusive responsibility for maintaining personal safety and good health during the period of this Contract. The Centre strongly suggests that they consult the diplomatic and consular authorities of the country of their nationality with a view to heed the travel recommendations applicable in the countries to be visited under this Contract. It is the responsibility of the Consultants to seek information and advice from any other reliable sources.

Should travel to the destinations of this Contract not be advised by the authorities, the Consultant must immediately upon making that determination advise one of the Centre representatives who will, at his or her option, either terminate the Contract, or with the Consultant's agreement, defer performance

until such time as the restrictions on travel are removed, or propose an alternative work plan for the Consultant's agreement.

The Centre also strongly suggest that Consultants seek guidance from qualified health personnel concerning potential health risks in the areas to be visited. In preparing for a trip to a developing country, Consultants should receive all recommended immunizations and take malaria prophylaxis when travelling to an area where malaria is endemic. The Centre especially recommends that:

- a traveler's clinic be consulted if possible;
- health and accident insurance, including coverage for emergency evacuation, be obtained.

Traveller's health information is available in the public domain, including from World Wide Web sites such as <http://www.tripprep.com/> or those maintained by the World Health Organization, Health Canada and the United States Centers for Disease Control and Prevention.

A15. National Legislation

In performing services under this Contract, the Consultant shall be responsible for complying with all legislation of the country (countries) in which it, he, or she must work (including but not limited to laws pertaining to immigration, taxation, customs, employment and foreign exchange control).

It is the individual's responsibility to comply with the travel visa regulations of any country visited or in transit.

The overhead (included in fees) and allowances paid under this Contract include provision for complying with national legislation of the countries the Consultant may visit (including Canada). The Centre will not entertain any claim for work visas, work permits, etc, or any other costs relating to compliance with the national legislation of any country in the world.

A16. Severability

The provisions of this Contract are severable and the invalidity or ineffectiveness of any part shall not affect or impair the validity and effectiveness of remaining parts or provisions of this Contract.

A17. Interpretation of the Contract

This Contract shall be governed and construed in accordance with the laws of the Province of Ontario, Canada. Where a dispute cannot be resolved by mutual agreement, the parties agree that any legal action or claim must be brought before the courts of the Province of Ontario, Canada, which will have exclusive jurisdiction over all such actions and claims.

A18. Non-Waiver

Failure by a party to enforce any right or to exercise any election provided for in this Contract shall not be considered a waiver of such right or election. The exercise of any right or election of this Contract shall not preclude or prejudice a party from exercising that or any other right or election in future.

A19. Notices

Any notices, requests, demands or other communication relating to this Contract shall be in writing and may be given by:

- a) hand delivery;
- b) commercial courier;
- c) facsimile;

- d) registered mail, postage prepaid; or
- e) email

Any notice so sent shall be deemed received as follows:

- a) if hand delivered, on delivery;
- b) if by commercial courier, on delivery;
- c) if by registered mail, three (3) business days after so mailing;
- d) if by facsimile, upon receipt. The initial address and facsimile number for notice are set out in this Contract and may be changed by notice hereunder; and
- e) if by email, on delivery

A20. Language

The parties have requested that this Contract and all notices or other communications relating thereto be drawn up in English. Les parties ont exigé que ce contrat ainsi que tous les avis et toutes autres communications qui lui sont relatifs soient rédigés en anglais.

A21. Force Majeure

The Consultant may interrupt any service by notice to the Centre if prevented from providing the service by reason of strikes, lockout or other labour disputes (whether or not involving the Consultant's employees), floods, riots, fires, acts of war or terrorism, explosions, travel advisories or any other cause, whether or not a superior force, beyond Consultant's reasonable control. During any such interruption, the Centre shall not be obliged to pay the rates associated with such interruption of service and may terminate this Contract as upon providing 10 calendar days' written notice or as otherwise contemplated by the Contract.

A22. Termination

In addition to the Centre's termination rights contained in the main body of this Contract, this Contract shall immediately terminate without notice if the Consultant

- a) ceases to carry on business,
- b) commits an act of bankruptcy within the meaning of the Bankruptcy and Insolvency Act (*Bankruptcy and Insolvency Act, R.S., 1985, c. B-3*) or is deemed insolvent within the meaning of the Winding-up and Restructuring Act (*Winding-up and Restructuring Act, R.S., 1985, c. W-11*) or makes an assignment, against whom a receiving order has been made under the applicable bankruptcy legislation or in respect of whom a receiver, monitor, receiver-manager or the like is appointed, or
- c) becomes insolvent or makes an application to a court for relief under the Companies' Creditors Arrangement Act, the Bankruptcy and Insolvency Act or the Winding Up and Restructuring Act (*Companies' Creditors Arrangement Act, R.S., c. C-25*) or comparable local legislation.

A23. Centre Review and Audit

The Consultant agrees, if the Centre so requests at any time up to two years following the Termination date to:

- a) submit a complete financial accounting of expenses, supported by original (or certified copies of) invoices, timesheets or other documents verifying the transactions (excluding any receipts which have been submitted at the time of invoicing as deemed necessary according to the terms of the Contract);
- b) give officers or representatives of the Centre reasonable access to all financial records relating

to the work to permit the Centre to audit the use of its funds. This shall include books of account, banking records and, in the case of individuals, credit card statements.

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ANNEX B – Travel**Resulting Contract Travel Related Expenses****1. GENERAL**

1.1 IDRC may pay for **travel expenses** incurred by a Consultant only when the expenses are directly related to the purposes for which the Consultant is engaged. All such travel expenses are reimbursed at cost.

1.2 Arrangements for visas, passports, immunization, and prophylaxis medication are the responsibility of the Consultant. **Costs** associated with these items are also the responsibility of the Consultant, *with the exception of visas*, which are included under the mobilization allowance provided to Consultants.

1.3 The Consultant retained by IDRC is responsible for the **cost of any insurance** he/she may wish to have in connection with travel undertaken in fulfillment of his/her commitments to. This applies to all types of insurance including, but not limited to, insurance in respect of death, bodily injury, permanent disability, medical, hospitalization and evacuation.

1.4 The **Consultant will not charge for travel time** to and from any work site, for any purpose. Cost of such time will be the sole responsibility of the Consultant.

2. TRAVEL UNDERTAKEN BY CONSULTANTS

Any travel details noted below that are applicable to a resulting Contract, will be fully outlined in the resulting Contract.

2.1 All Inclusive Per Diem Allowances

IDRC has a list of maximum all-inclusive per diem allowances that cover expenses for accommodation, meals, local taxis, laundry, local telephone calls, and gratuities by country. A Consultant may receive a per diem for each day or partial day of official travel, beginning the day after the departure.

Example (and subject to change):
For CANADA...CAD\$322 (taxes included)

2.2 Mobilization Allowances

IDRC may pay the Consultant a fixed amount to cover the cost of airport taxes, visas, and ground transportation to and from transportation drop off points.

Note:
Should the cost of visas largely exceed the allowance, the Consultant may be reimbursed for such expense upon submission of a claim accompanied by relevant original receipts.

Example (and subject to change):

The standard estimated mobilization allowance is CAD\$180 for domestic travel (within country or region, where a visa is not required) and CAD\$250 for international travel where a visa is required. Taxes are not included in the above mentioned amounts.

2.3 Transportation

IDRC makes a distinction between three (3) modes of transportation.

2.3.1 Air Travel

All Consultant's air travel must be prepaid by IDRC (through IDRC's Designated Travel Agency).

IDRC will arrange and pay for economy return airfares by the most economical and direct routing. Excursion fares are to be used whenever applicable. Rerouting, ticket upgrades, and personal stopovers are the personal responsibility of the Consultant.

2.3.2 Rail Travel

Where possible, rail travel must be prepaid by IDRC (through IDRC's Designated Travel Agency). Where the Consultant has arranged and paid for the rail tickets, reimbursement must be substantiated by appropriate original receipts and proof of purchase.

2.3.3 Other Types of Transportation

Other types of transportation expenses such as local public transportation services, car rental, and reimbursement of fuel to a host may be covered for the Consultant, at cost (and arranged by the Consultant).

Example (and subject to change):

Where the Consultant is authorized to travel by private automobile, he/she may be reimbursed at a rate of CAD\$0.575 per kilometer (taxes included).

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ANNEX C – Mandatory Requirements Checklist

As stated in **Section 3.2.1 Mandatory Requirements**, to qualify as an eligible Proponent, you must meet all the following requirements.

As stated in **Section 4.2.3 TECHNICAL PROPOSAL FORMAT**, the Proponent **must provide detailed information relative to each requirement**.

The Proponent **MUST** provide the location in their proposal of the detailed information relative to each mandatory requirement. Simply stating “compliant” is not enough for IDRC to “pass” a Proponent on a mandatory requirement (reference Section 4.5.2 Response to the SOW).

	Mandatory Requirements	Compliant (yes or no)	Response
	General		
M1 / 4.2.1.e	Proposal was signed		
M2 / 7.1	Followed enquiries instructions		
M3 / 7.2	Met submission close date and time		
M4 / 7.3	Followed proposal delivery instructions		
M5 / 7.4	Validity of proposal (90 days)		
M6 / 7.7	Provided “Conflict of Interest Statement”		
	Company Information		
M7	Provided Executive Summary The Proponent shall include a short executive summary (maximum 1 page) highlighting the following:		
M7a	a description of: <ul style="list-style-type: none"> the Proponent’s business and specializations the location of its head office and other offices (specify city and province only) details of any sub-contracting arrangements to be proposed 		
M7b	a brief summary of what makes the Proponent’s organization/team stand out from its competitors		
	All Proposed Resources		
M8.	The Proponent shall outline all proposed resources to be used in providing the services and include:		
M8a	name, title, telephone #, email address, location; and		
M8b	b. CV (s) - maximum 6 pages for each.		

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	Similar Services- Demonstrate :		
M9	In order to demonstrate that the Proponent has completed similar services , the Proponent’s response must include a minimum of one (1) and up to a maximum of three (3) examples of similar services. For each example, the following should be provided		
M9a	a. name and address (city and province/state only) of the client;		
M9b	b. services period, e.g. start and end dates; and		
M9c	c. brief description of services provided by the Proponent. Additionally, examples must demonstrate:		
M9d	d. The ability to engage and excel in an iterative work process		
M9e	e. The ability to give and receive constructive feedback		
M9f	f. Excellent oral and written communication skills in English or French		
	Personnel Profile and Experience		
M10	In order to demonstrate that the Proponent has completed similar services requested in the Statement of Work, and as specified within Section 2, the Proponent must have the following skills and experience:		
M10a	Ability to engage and excel in an iterative work process		
M10b	Ability to give and receive constructive feedback		
M10c	Excellent oral and written communication skills in English or French		

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ANNEX D – Rated Requirements Checklist

As stated in **Section 3.2.2 Rated Requirements**, the following requirements will be evaluated according to the degree to which they meet or exceed IDRC's requirements.

As stated in in **Section 4.2.3 TECHNICAL PROPOSAL FORMAT**, the Proponent **must provide detailed information relative to each requirement**.

	Rated Requirements	Response	Response Details
	Personnel Profile and Experience		
R1	Working knowledge of English or French (depending on the language identified in c), above) and Spanish		
R2	Experience working in multi-cultural, multi-disciplinary context		
R3	Proven strong report writing and presentation skills		
R4	Ability to communicate complex technical ideas using non-technical language to diverse audiences		
R5	Sound understanding of the constraints of conducting research in low and middle income countries and in contexts of violence		
R6	Experience evaluating research aimed at developing evidence to alleviate poverty, address inequalities and /or reduce urban violence		
R7	Basic knowledge of existing evidence on poverty, inequalities and violence in urban areas		
R8	Knowledge of program level evaluation of research and innovation for development		
R9	Specialist knowledge of the challenges and complexities of ethical and gender differentiated research in low and middle income countries and in contexts of violence.		
	Proposed Evaluation Approach		
R3.	The Proponent should demonstrate its Approach to successfully deliver the requirements detailed Section 2 - Statement of Work.		
R3a	Methodology:		
	i. description of sources of data and how they will be used;		
	ii. outline of an initial analytical framework;		
	iii. feasibility of design;		

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	iv. references made to relevant literature and evaluation design approaches;		
	v. a detailed timeline (including proposed travel); and		
R3b	Risk Management Plan - Describe any contingencies that may hinder the progress or outcome of the evaluation and suggest how you would mitigate them.		

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Endnotes

¹ <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

² https://siteresources.worldbank.org/INTWDRS/Resources/WDR2011_Full_Text.pdf

³ Discursive linkages between violence and development date at least as far back as the late-1990s with the work of Kenneth Bush on Peace and Conflict Impact Assessment (PCIA), which was partially developed with the support of IDRC. Of note, this body of work has spawned the kindred traditions of 'Do No Harm' and Conflict Sensitivity analysis.

⁴ United Nations, Department of Economic and Social Affairs, Population Division (2014). World Urbanization Prospects: The 2014 Revision, Highlights (ST/ESA/SER.A/352).

⁵ Stewart, F. (2008), Horizontal Inequalities and Conflict: Understanding Group Violence in Multiethnic Societies, Basingstoke, Palgrave Macmillan, 304.

⁶ Barolsky, V. (2016) Violence: global solutions to a global problem?. In: Espinosa, S. & Fazio, A. (eds). Globalization, violence and security: local impacts of regional integration. (Regional Integration and Social Cohesion; no. 16). Belgium: Peter Lang. 19-37.

⁷ <https://www.idrc.ca/sites/default/files/sp/Documents%20EN/Research-Quality-Plus-A-Holistic-Approach-to-Evaluating-Research.pdf>

⁸ According to the Project Completion Report (PCR).

⁹ Sustainable Livelihoods Foundation, (2015), *Safe and Inclusive Cities Program: Formative Mid-term Evaluation Report*.

¹⁰ As mentioned by one research user, "SAIC is an extremely important source of information. In fact, there is a gap in the market for this kind of work, emphasizing that research has been looking at more traditional aspects of violence (i.e. interstate) but not enough at other forms of violence".

¹¹ A summary of the report is available at:

https://www.idrc.ca/sites/default/files/sp/Documents%20EN/Researching-the-Urban-Dilemma-Baseline-summary_e.pdf. The full report is available at: <https://www.idrc.ca/sites/default/files/sp/Images/Researching-the-Urban-Dilemma-Baseline-study.pdf>

¹² <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

¹³ The table was constructed based on a portfolio review and in-depth qualitative analysis to identify those projects that were particularly innovative in each category.

¹⁴ Such as the Woodrow Wilson Center, the School of Public Affairs (UCLA) and the Fletcher School of Law and Diplomacy (Tufts University), just to name a few

¹⁵ The value of the Fund totaled CAD 150,000.

¹⁶ 1) Centre for the Study of Violence and Reconciliation. 2016. "The role of the Orange Farm Community Work Programme in preventing violence" [Documentary Film]. Johannesburg: Centre for the Study of Violence and Reconciliation. 2) HSRC. 2016 "Social Cohesion: The Missing Link in Overcoming Violence and Inequality?" Video documentary. Pretoria: HSRC.

¹⁷ Allowing for exchange rate fluctuation.

¹⁸ Results from a portfolio review of project uptake strategies: 1) One strategy identified specific stakeholders and included a policy landscape analysis; 2) eight strategies identified specific stakeholders but did not include a policy landscape analysis; 3) six strategies were vague in their identification of stakeholders and did not include a landscape analysis.

¹⁹ This could allow identifying from the onset barriers to influencing policy, as well as alternative venues for overcoming such barriers.

²⁰ It should be noted the Evaluation Team was only able to consult 5 of the 7 international/regional research users it had originally planned to interview. However, the Team Leader was able to consult with other research users at the SAIC closing conference. This statement is based on the views of these 5 international/regional research users, as well as users consulted at the SAIC Closing Conference.

²¹ The pathway from research to positioning for use and policy/programming/practice influence is complex, and is riddled with challenges and obstacles. In fact, in many cases the "best ideas" are not really grounded on sound analytical tools but on the good communication strategies as mentioned by McNeill, D. (2016) "The Diffusion of Ideas in Development Theory and Policy". *Global Social Policy*, 6,3, 334 - 354. Furthermore, the 'best' ideas are not always taken up, and much more than exposure to ideas is required for ideas to translate to policy/programming/practice. For a related discussion on the role of civil society in idea formation and circulation, see Kaldor, M. (2003) 'The Idea of Global Civil Society'. *International Affairs*, 79, 3, 583-593. On regime formation, see: Downie, David Leonard (2005) 'Global Environmental Policy: Governance Through Regime' in Axelrod, R.S., Downie, D.L., and Big, N.J. *The Global Environment: Institutions, Law, and Policy*. On the interaction and mutual constitution of ideas and practices, see Holstein, J.A. and Gubrium, J.F. (2005) 'Interpretive Practice and Social Action' in Norman K. Denzin and Yvonna S. Lincoln (eds.) *The Sage Handbook of Qualitative Research*. 3rd Edition. London: Sage Publications, 483-506. On the importance of global south based research on security issues see: Achary, A. (2016). 'Idea-shift': how ideas from the rest are reshaping global order. *Third World Quarterly*, 37,7, 1156-1170.

²² The majority of SAIC researchers come from academic institutions. In interviews, those have noted that, without funding, it would be challenging to continue advocating research results as researchers usually go onto working on other research projects. There are some exceptions, for instance the research project in Pakistan, which receives strong support from its research institution, to keep working with the research. However, in most cases – especially where university capacities are not as strong – researchers simply do not have capacities to support research advocacy. On the other hand, the SAIC cohort included a few NGOs (i.e. PROMUNDO, OXFAM). The evaluation found that the sustainability of results and future advocacy for policy change is more likely when NGOs are involved, as evidenced by PROMUNDO's integration of SAIC generated concepts into its own programming.

²³ Laura French-Constant, Nyasha Masundu & Megan Lloyd-Laney (June 2017) *SAIC Exchange M&E Report – IDRC, CommsConsult*.

²⁴ <http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm>

²⁵ By comparison, the Canadian International Food Security Research Fund (CIFSRF) of the IDRC had an administrative cost recovery of 7.4% through its life cycle. The evaluation also attempted to compare these costs with DFID-funded programs but data are not widely reported in DFID evaluations. However, broadly in the EU (as according to Article 19 ETC Regulation (EU) 1299/2013), staff costs can be calculated as a flat rate of up to 20% of direct costs other than the staff costs. In line with this, the INTERACT Program, co-financed by the European Regional Development Fund (ERDF) and European Territorial Cooperation, makes available a recommendation that staff rate costs are calculated as a flat rate of 20% of direct costs. The INTERACT program aims to promote good governance of Community-funded Programs under the European Territorial Cooperation Objective. INTERACT (2015), *Sharing Expertise*. Version: June 2015, accessed from: <http://www.interact-eu.net/download/file/fid/3125> The factsheet provides guidance based on provisions of the regulatory framework 2014-2020 and practices in use by ETC programs in 2007-2013.

²⁶ Morgan Franklin consulting defines Key Person Dependency (KPD) as "employees who complete mission-critical activities that tie directly to larger organizational strategies and initiatives...The profile of a KPD is an employee who possesses significant subject matter expertise, tenure with an organization, and institutional knowledge that supports success."

²⁷ Ravert, M. (2016), *Key Person Dependency and Engagement in the workplace*, accessed from https://www.academia.edu/31105950/Key_Person_Dependency_and_Engagement_in_the_workplace

²⁸ Until this Call, GSJ had only ever adopted an on-solicited approach to funding modality.

²⁹ Department for International Development (2011), *DFID's Approach to Value for Money (VfM)*, Retrieved from: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/49551/DFID-approach-value-money.pdf

³⁰ The first Milestone for June 2016 was exceeded by more than tenfold; a total of 125 publications were produced and disseminated against a target of 10.

³¹ This point is discussed in the MTE.

³² In the DFID Annual Review 2016, the limited staff capacity of IDRC and growing demands on staff were noted as contributing to moderate risk facing the program.

³³ From DFID's perspective, this would reveal a loss of opportunity for it to become more involved substantively in the Program, and to engage more directly with any of the project teams, notably those in Africa.

³⁴ Relocation for Senior Program Officer was initially budgeted to 0.19% of program cost. However, the recruited officer did not require to be relocated, and the budget was later distributed to other parts of the program budget.