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*Word cloud on the front cover was generated from responses to our survey of grantees; grantees were asked to describe their own field of work

Introduction

The Governance, Security and Justice (GSJ) prospectus was approved by the IDRC Board of Governors in November 2010 and programming formally began in April 2011 for a period of five years through March 2016. From its inception to August 2014, GSJ allocated a total of CAD 43.7 million, with 93 percent of the funds going to 83 research projects and less than 4 percent going to Centre-administered research support projects. Program funds were allocated roughly evenly between the three thematic areas and across the four main regions, namely, Latin America and the Caribbean, the Middle East and North Africa, Sub-Saharan Africa, and Asia. The average value of projects increased from \$435,552 in 2011–2012 to \$544,264 in 2013–2014. By September 2014, when the evaluation study was designed, only 10 projects under the new prospectus were already completed. Thus, undertaken by a three-person external panel, this evaluation study is about an ongoing research program based on fairly narrow terms of reference provided by IDRC (see Annex I). Similarly, the evaluation report follows the structure and guidelines supplied by IDRC.

Methodology

We used methods that were systematic, drew on a range of data and information sources, and allowed us to triangulate findings. The team nominated a lead researcher for each of the main questions in the review, questions 1-3. However, we divided the data collection and analysis for all questions between the three team members, and each fed her findings and analysis to the question lead. This approach has enhanced the triangulation of findings as team members validated the analysis and findings across all three substantive questions.

Sampling strategy: The team could not review project documentation or interview grantees across the whole portfolio. We selected 23 projects for which we made a more detailed review of project documentation and approached grantees for interview. The sample included open and closed projects, and projects mentioned in the Final Prospectus Report (FPR). We then ensured that the sample was stratified as much as feasible across a set of variables, including region, lead PO, budget size, and “focus” (i.e., knowledge generation, capacity building, or policy/practice influence). A subsection of this sample was selected for addressing questions on research quality, using IDRC’s own RQ+ framework, as discussed under question two below. See Annex A for a list of sample projects, including those selected for RQ+.

Document review: We reviewed documents in depth at the *program and project* level. At the **program level** this included the original 2010 GSJ prospectus and documents relating to its development. We read and considered in detail the 2014 Final Prospectus Report (FPR), in which the GSJ team assessed its own implementation of the prospectus and outcomes so far. We also reviewed documents relating to the development of the FPR including the GSJ team portfolio reflections. Finally, we reviewed six regional strategies, three thematic strategies, as well as the update to the Middle East and North Africa strategy and the response to the Arab Spring.

At the **project level**, we were methodical in reviewing documents for our sample of 23 projects, including Project Approval Documents and, where they were available, Project Completion Reports, Interim Technical Reports, Final Technical Reports, and evaluations. For the part of our sample selected for the RQ+ framework, we looked at the key available research outputs; in cases where there were a large number of outputs, we reviewed at least three research outputs for each project. We also reviewed three GSJ-initiated “baseline studies.” It is important to note that our project-level document review was not restricted to the sample, and a number of project documents were reviewed outside the sample. A full list of documents consulted can be found at Annex F.

Key informant interviews: We conducted three types of interviews, following interview protocols covering all three main review questions (a full list of our interviewees is included in Annex E):

- **PO interviews:** We conducted 10 interviews of current and former IDRC staff, mostly within GSJ.
- **Grantee interviews:** We conducted 22 interviews with representatives of the grantees in our sample, mostly with current or former Project Coordinators. These interviews included wide ranging discussions of GSJ as well as project-level issues.
- **External stakeholder interviews:** We conducted 20 interviews with external stakeholders. These included other donors (which represent both policy audiences and research funders), including bilateral and multilateral donors and foundations; peer academics, analysts, and practitioners who produce, consume, and engage with research in this area

Survey: We surveyed all grantees during the Prospectus period via Survey Monkey. We received 37 complete responses—a good response rate of 27 percent. See Annex H for the full results.

Limitations

Although we have provided appropriate caveats to our findings in the body of the report, there were some important limitations to our methodology that deserve to be mentioned here.

Timing of the External Evaluation: The GSJ program is a work in progress, with only 10 closed projects and more than a year and a half to go at the start of the evaluation. This meant that the external panel was asked to evaluate an unfinished program with many open projects and limited outputs and outcomes. This has seriously constrained our findings and conclusions.

Project sampling for RQ+: There was a tension between the need to include mature, closed projects suitable for RQ+ and the need to include projects mentioned in the FPR, which were largely newer, open projects. Moreover, the highly diverse nature of the portfolio means that the research likely would have benefited from a larger sample, but resource constraints prevented enlarging it.

GSJ monitoring and documentation: We encountered a large volume of data on a very diverse portfolio. At the project level, we found that documentation was sometimes inconsistent. Grantee reporting in Interim and Final Technical Reports varied in levels of detail and content, as well as timing. While a program-level monitoring and evaluation strategy was developed, we are unsure whether or how it was implemented. We did not see evidence of ongoing data gathering or aggregation at the program level, except for the work done in order to generate the FPR. Some of the data provided to the review team—in particular, the “Outputs table,” which counted and coded different types of GSJ outputs (academic, policy, etc.)—was not reliable and was discarded. Data appears to be aggregated in different ways for different purposes—for example, different spreadsheets needed to be consulted to analyse GSJ projects across a variety of dimensions, such as region, whether they are “legacy” projects, and whether they are open or closed.

Team expertise: One challenge resulting from the sheer breadth of the portfolio is that the thematic, regional and linguistic expertise of three team members could not cover all the themes and regions of the GSJ portfolio. We attempted to use the expertise and linguistic expertise of the team rationally and discussed within the team where we needed to leverage our collective expertise.

Validating project level claims: Many of the claims in the FPR are at project level. There were so many references to individual projects, that it was difficult to return to and verify all these referenced sources. Given the time and human resource constraints of the review, we have been unable to validate with external stakeholders all the claims made within the projects even in our sample. However, we have followed up claims made at project level by tracking documentary evidence where it is available and we have attempted to validate claims that were deemed particularly important with external stakeholders.

Q1 Findings: Prospectus Implementation

Under Q1 the external review team was asked to assess how the program performed in implementing its prospectus and to validate the coherence, effectiveness and appropriateness of its decisions in adopting and/or evolving its strategies.

PROSPECTUS DESIGN

Our overarching finding is that the GSJ prospectus was extremely broad in scope and, as a result, the GSJ team had to undertake continuous adaptations and innovations to implement its program. The GSJ program was built on four previous initiatives. The prospectus and its implementation reflect this genealogy. The aim of the new program was *“to 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.”* The prospectus did not elaborate the reasons why the themes of governance, security and justice were chosen; nor did it define these terms or explain the relations between them. Instead, it identified particular aspects of each theme as being of special interest to the new program and cited numerous “issues for exploration.” The prospectus did not define “legitimacy” and “accountability” but stated that it would support “policy-relevant research in fragile, democratizing or transition states that investigates the characteristics and impact of interactions between social forces.” In other words, the prospectus cited different types of states, three broad themes, numerous research questions and two undefined criteria as the basis for its programming. The programming approach was described as “grounded in IDRC’s grants plus model” in order to build a “research niche by promoting locally-grounded and context-specific research” which, in turn, would “contribute to global debates on governance and strategic interventions in fragile and conflict affected situations.”

PROGRAM EVOLUTION AND IMPLEMENTATION

Given the wide breadth of the prospectus and the fact that many of the program officers responsible for its implementation were not involved in its design, we acknowledge and applaud the GSJ team’s ongoing efforts to bring greater focus and clarity to the prospectus as described in its Final Prospectus Report (FPR). The report highlighted the following strategic choices made by the team: adopting a clear thematic focus and applying a context-specific approach; high risk tolerance; promoting rigorous research through a four pronged approach involving baseline studies, a joint donor platform, four competitive calls and inter-disciplinary research; responding to emerging issues and unanticipated crises; and a multi-layered approach to capacity building.

COHERENCE

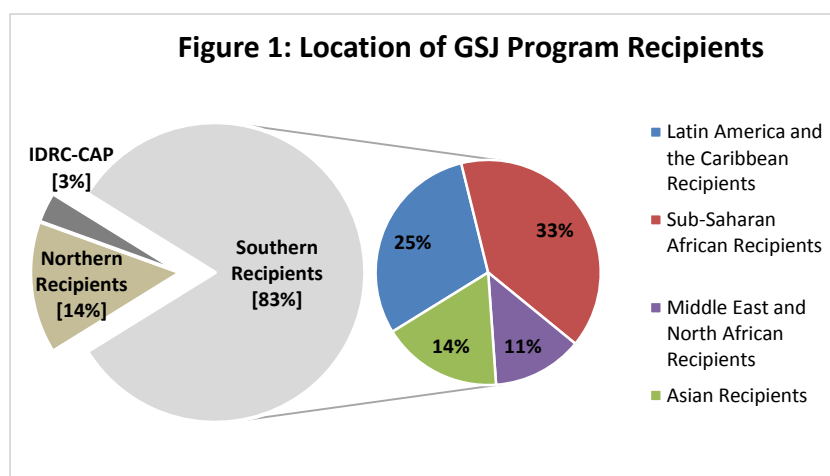
After reviewing the list of projects in GSJ’s entire portfolio (excluding the sunset legacy projects), we noted that they loosely fit within the prospectus. We also noted, however, that the portfolio is quite disparate and spans the breadth of the prospectus thereby making it difficult to identify common research questions. We saw a clear difference between older and recent projects with the latter falling under identifiable thematic areas; yet, many of these projects do not address similar research questions contributing to a common knowledge base. Thus, the overwhelming impression emerging from our review of the entire portfolio to date was one of fragmentation and lack of focus.

However, we also found several important patterns emerging that hold promise for greater synergy and coherence. In the first place, there are now several new programming modalities beyond the usual self-contained individual grants model. These include four competitive calls, including the Safe and Inclusive Cities (SAIC), Peacebuilding and Statebuilding, the Land Acquisitions project, and the East African Resilience Innovation Hub. These new modalities are clearly designed to create a cluster (or cohort) of projects on a narrower set of research questions and are better positioned to generate cumulative knowledge across different projects. How these modalities will work in delivering on a

common research agenda is a challenge the GSJ team will need to address in the remaining twelve months of the program. Interviews suggest that what it means to manage, or be a grantee member of a cohort varies considerably in different “cohorts.” It is, therefore, critical that the GSJ team develop differentiated strategies to effectively support these new modalities.

Secondly, we saw the emergence of region-specific, clustered thematic projects such as gender-based violence projects in South Asia, the Arab transitions project in the Middle East, and the citizen-centered security projects in the LAC. These projects were developed in light of regional strategies formulated by the respective program officer in each region, with limited, if any, input from a wider range of external stakeholders. We found wide variations and a considerable amount of circular (or self-referential) program justification in these regional strategies. We did not find sufficient evidence to conclude whether the regional priorities reflect real demand or are, in fact, products of extended relationships with particular institutions and research networks. We noted that the GSJ portfolio includes 137 repeat and 73 new recipients. Similarly, 72.5 percent of the respondents to the grantee survey had either been previous GSJ grantees or had had contacts with IDRC under other programs.

Figure 1 reflects the distribution of funds across the four regions as well the program’s commitment to supporting Southern researchers and institutions. Fully 83 percent of GSJ grantees are Southern



institutions. The program has also allocated 12 percent of its budgets for projects with cross-regional impact, thereby hoping to create synergies across regions. We currently do not have evidence of robust cross-thematic or cross-regional collaboration. Instead, in our sample we have evidence of convergence of research interest among certain institutions in a given region resulting in informal collaboration and networking.

For example, in Latin America, there is a broad clustering of projects around violence and security that share a common perspective on citizen-based security and have come together in various fora to share research results. Similarly, our sample included a number of projects on gender-based as well as systematic violence. Currently these projects do not have any formal links, and even the informal links are not too strong (for example, a meeting of grantees working on sexual violence at Bellagio in 2013 does not yet appear to have led to greater collaboration, although the meeting was appreciated). However, the GSJ is now well poised to take advantage of these regional and thematic clusters to support the generation of knowledge and insights that go beyond individual projects.

A third important innovation is partnerships with selected donors. In particular, the joint SAIC program with DFID and the parallel Peacebuilding and Statebuilding project with the Carnegie Corporation have enabled GSJ to leverage additional resources, potentially leading to greater convergence of effort and enhanced outcomes in terms of knowledge generation, capacity building and policy influence.

We identified several important factors as contributing to the program’s efforts toward achieving greater coherence. These include a relatively stable team following earlier high staff turnover; emphasis by the former team leader in promoting closer teamwork; regular meetings and consultations within the team through collective review of programming documents. It is clear that

program officers consider the prospectus a useful framework for their individual work and have actively contributed to its evolution for greater focus in light of their regional priorities. The profile, expertise, experience, judgment, and professional contacts of program officers thus emerge as critical factors in transforming the prospectus' broad strategic goals into pragmatic approaches in each region. On the program level, however, our assessment is that there is need for greater clarity on how projects are developed and managed by individual program officers as well as incentives for both grantees and program staff to move towards more collaborative, cohort-type programming that go beyond self-contained projects. The GSJ team has already made important advances in this direction; further progress would also require balancing competing programming goals, including responding to demands from local partners, supporting new and emerging institutions, stretching its limited financial resources, and managing a growing portfolio of projects by team members.

Despite these positive developments, we also identified several outstanding gaps and challenges with respect to coherence. Perhaps the most serious is the program's compartmentalized approach to governance, justice and security with little program level effort to demonstrate the connections between them. As of August 2014, the GSJ program reported allocating roughly a quarter of its resources to each of these three themes with the remaining 19 percent going to projects under the previous prospectus. Similarly, the respondents to the survey ranked their primary thematic areas fairly evenly as justice (37.8 percent), governance (32.4 percent), and security (29.7 percent)—albeit with regional variations. However, all the respondents ranked the other two themes as significant to their projects, with justice ranking slightly higher in significance to governance and security ranking the lowest. There is a growing body of literature that explores the interplay between these interlocking themes. As reflected in our grantee survey, IDRC grantees represent many different fields or sub-fields. Given its large and diverse portfolio, GSJ may now be in a position to begin examining the linkages between these three themes at the program level, thereby giving validity to its original choice of these particular themes. In this connection, the team will need to take into account a finding from the grantee survey: thematic areas tend to be clustered into regions. This raises the question of how much intention there is to link projects across regions in order to build a "common bank of knowledge." Similarly, despite ongoing discussions within the team, there is still no program-level articulation of the team's understanding of key concepts such as statebuilding, fragility and resilience. We understand that there is a forthcoming publication on vulnerability that promises to offer a possible model for synthesizing some of the critical insights emerging from IDRC-funded projects. This is an area that the team might invest additional resources in order to generate program level insights based on the projects in its portfolio.

APPROPRIATENESS

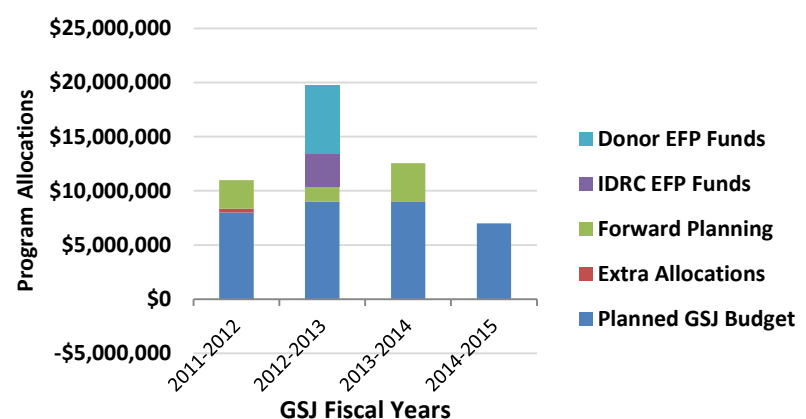
Our TORs define appropriateness in relation to "factors such as human and financial resources available for programming; strategic opportunities for scaling that might have presented themselves; and significant shifts in the substantive or thematic landscape." For the GSJ team, one of the most dramatic developments was the Arab Spring. The program responded to the crisis with the support of an IDRC-wide working group and in close consultation with Canadian officials. A multi-faceted new program was launched months after the Arab Spring with additional resources from IDRC's Forward Planning Funds mechanism. However, a similar opportunity may have been missed when a proposal was rejected on the Sahel—an area of intense international interest over the past few years whose challenges cut across governance, security and justice. Another important development was the highly mediatized rape case in Delhi in December 2012. GSJ was already in the process of approving the project on guidance for police handling of domestic/sexual violence in Mumbai before December 2012 and was thus already ahead of the curve. It might have been able to enhance its local engagement on the issue of state responses to gender violence if additional resources had been made available to the region at this time.

Regarding opportunities for scaling up, it is not entirely clear how GSJ intends to build on the baseline studies such as *Development in the Shadow of Violence* or the major events it hosted such as the Joint Donor Platform on Fragility, Security, and Conflict and the Global Resilience Innovation Platform (GRIP) Summit. Our interviews with selected external stakeholders suggest that GSJ is not seen as a consistently active participant in key international and donor platforms and seems to be better connected to national or regional networks around particular projects. This might well be because of time pressures as well as the team’s prioritization of local level engagement with grantees and other stakeholders. However, as the programs draws to a close the team might reconsider how best to allocate its time and human resources to link local or national level outcomes to regional or international agendas and vice versa.

On a positive note, GSJ was entrepreneurial in increasing and diversifying its program budget by partnering with other donors. As shown in Figure 2, GSJ funding increased from \$10.9 million in 2011–2012 to \$19.7 million in 2012–13, due largely to DFID’s decision to triple its

contribution to SAIC. However, there is considerable concern, both among program staff and grantees, about diminishing financial resources. We already heard some frustration from applicants whose proposals were eventually turned down after an extended process of review.

Figure 2: Yearly GSJ Program Allocations



The grantee survey generally confirmed the importance of program officers to the success of their projects. (See Annex H.) However, our review of the portfolio and the sample projects revealed considerable variation in terms of program officer contributions. In our interviews with program officers, we gathered that they are feeling over-stretched in managing their individual portfolios alongside increased demands on their time in program-level activities. We believe this links up with broader management expectations regarding responsibilities and incentive structures that motivate program staff to deliver on the prospectus.

EFFECTIVENESS

The prospectus included a detailed Outcomes Table to track progress across its three stated outcomes without prioritizing them. It is not clear to us whether the GSJ team intends to revisit the minimum, medium and high goals in the Outcomes Table as the program moves into its final stretch.

Our assessment of the current program outcomes is summarized under Question 3. Here we basically note two important points. First, despite the existence of a May 2013 document titled “GSJ Program Monitoring Framework and Tools”, we did not find evidence of a systematic approach to monitoring and evaluation of progress either at the program or the project level—with the exception of the SAIC program. Second, effectiveness is also related to an assessment of value for money. As we explain in Q2 below, we lacked sufficient data to conduct any meaningful value-for-money analysis beyond the conclusion that there is very wide variation in the costs of projects across GSJ including within regions. This is an issue that obviously merits further attention especially at a time of shrinking research budgets.

In conclusion, working within a very broad prospectus, the GSJ team has steadily sought to bring greater clarity, focus and coherence to its programming while grappling with competing expectations and priorities and making hard choices. The fact that it still has another year of programming allows it to make additional changes in light of some of the issues identified above.

Q2 Findings: Research Quality

Q2 asked: “Overall, was the quality of the research supported by the program acceptable?” Our main tool for this question is the RQ+ framework, designed by IDRC to capture dimensions of quality across different types of development research aimed at influencing policy and practice, as well as to consider the risks that affect these types of research. The framework assesses project outputs on an eight-point scale.

Level 1 - Unacceptable		Level 2- Less than Acceptable		Level 3 – Acceptable /Good		Level 4 – Very Good		Not enough data
1	2	3	4	5	6	7	8	

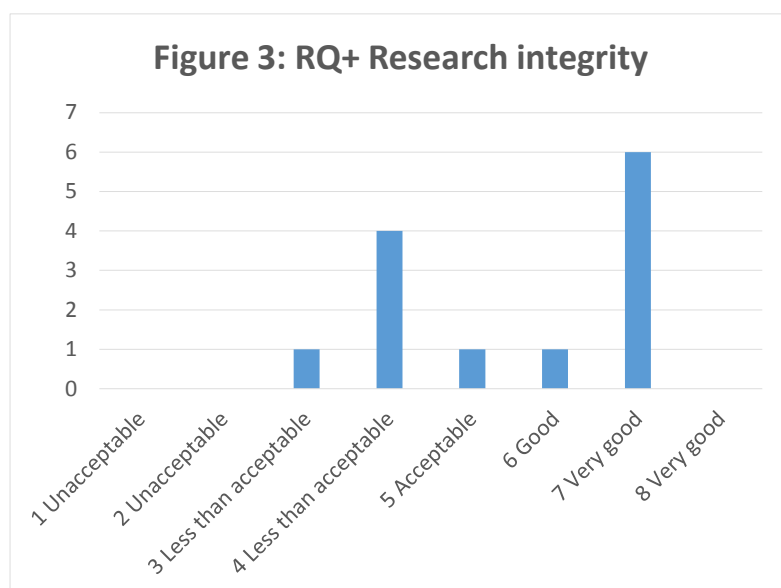
We selected 13 projects for assessment with RQ. We have included details on our use of RQ+ in Annex B alongside our summary of RQ+ scores. RQ+ is very exacting and it would be difficult for any one project to achieve perfect scores across all dimensions and sub-dimensions. The purpose of the tool is to identify trends across the portfolio rather than as a ‘marking’ process for individual projects, and we have used it in this spirit for example by anonymising the individual research projects. We encountered a large variation in types of research project, grantee organisations, type and volume of research outputs in our RQ+ sample. Some projects had a very large and some a very small number of outputs. Our sample included projects that supported PhD or more established researchers within academic institutions, grantees that function more like policy think tanks, and projects that were based in grass roots advocacy organisations. We believe this accounts for some of the wide variation that emerged from our RQ+ ratings, sometimes within regions as well as between them. The RQ+ tool can be used to generate aggregate scorings per dimension. Because of the wide variation in the scores, we have opted not to present aggregate scores here; rather, we present the trends in the data and discuss areas where there was variation, in a qualitative manner, supplemented by a summary of our project level scores in Annex B.

We had hoped to provide some analysis of the value for money of research by comparing the size of budgets and the volumes and quality of research. However, projects are not being asked to report on the numbers and types of GSJ supported outputs in a consistent way, making any comparison impossible. We can draw only two conclusions. First, that there is a wide variation in the cost of projects across the GSJ portfolio including within regions, and that this may be above and beyond the variation in unit costs of conducting and publishing research that would be expected between regions. Secondly, and crucially, there is insufficient monitoring data for IDRC to learn about the value for money of its research.

RQ+ RISKS AND INFLUENCING FACTORS

Our sampled projects were operating mostly in emerging fields that are not completely new but have a growing body of work and researchers (10 projects). The remaining three projects were operating in established fields. Most of our sampled projects (8 projects) had a low or medium focus on capacity building, reflecting our sample choice for question two that aimed to focus on knowledge generation. The projects were operating in environments of mostly medium risk. The high-risk categories were dominated by political risk (3 projects) including projects operating in environments of potential and actual conflict and/or on highly sensitive subjects.

RQ+ RESEARCH INTEGRITY



This dimension is concerned with the appropriateness and rigor of design and execution of research, according to the standards of the methods used. There was large variation, including between the research outputs reviewed within a single project. In these cases, we scored an average across research outputs reviewed. Scores per project ranged from less than acceptable to very good. Project outputs scored higher in Latin America and the Caribbean, with 4 of the 6

projects in the 'Very Good' category being Latin American. This is consistent with the analysis of better existing research capacity in Latin America in the regional strategy and with the finding from our grantee survey that Latin American grantees reported producing more peer reviewed publications than those from other regions.

The project outputs that scored highly included an 'ambitious multi-faceted, comparative multi-country' case study research, a project that had used qualitative and quantitative research to make a new and important contribution to an emerging field of investigation, and one project that had supported high quality publications by PhD student beneficiaries.

An important factor in the scores was the explication of what methods and data sources findings in research outputs were based on, and what the limitations of these might be. Some projects failed to make this clear in any of their outputs and some did so only in certain outputs. Overall, a large number of outputs contained no explication of their methods and data sources and the papers that went as far as to discuss the limitations of their own methods and data were the exception and not the rule.

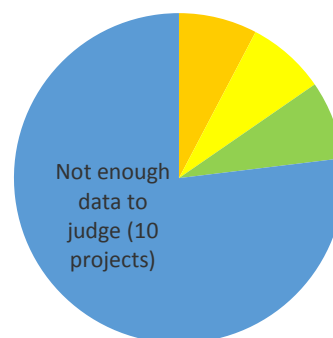
Another important factor was the extent to which the outputs spoke to and situated themselves in the existing literature. Some papers showed significant engagement with the existing literature with examples of reviews that were 'very far-ranging and comprehensive'. In other cases, existing literature was referred to in a more selective fashion. In some cases, literature reviews were referred to in the project documentation but could not be found. Our grantee survey suggested that conducting a literature review before starting research is a strong norm among grantees (35/37 reported completing such a review ahead of their project). But RQ+ suggests that reviews may be variable in terms of their quality and rigor; and we did not see evidence that IDRC is consistently articulating its expectations of what a literature review should look like.

The standards that research outputs adhere to is in many ways a function of the way research is managed. Our data suggested that some form of peer review is widely used as a tool for managing research quality. In our grantee survey the most frequently cited methods of assuring the quality of research in our grantee survey were internal peer review (31/37), and external peer review (28/37). There was some evidence that some projects significantly re-worked or even rejected papers as a result of peer review. However, we did not see consistency in the use of external peer reviewers, or in the criteria being used by reviewers.

RQ+ RESEARCH LEGITIMACY

This dimension is composed of four sub-dimensions. The first (2.1) concerns the extent to which projects have addressed potential negative outcomes for research participants and affected populations. Figure 4 shows a pie chart of scores for the 13 projects for this sub-dimension (addressing potentially negative outcomes of research), showing that three projects scored well but ten did not have enough information to tell. The assessment did reveal examples where projects had clear ethical protocols and guides. It is of concern that in the majority of the projects assessed there was not enough evidence to make any assessment on addressing potential negative consequences. In other words, there was no evidence showing whether ethics protocols had been used, even in some cases of research with human respondents. We acknowledge that GSJ has made an effort to push grantees to think about ethics and that GSJ was the first IDRC program to introduce and roll out security and ethics protocols. We also understand that IDRC has an Advisory Committee on Research Ethics (ACRE) and that ethics protocols are mandatory in many cases. However, we did not find documentation of the use of ethics protocols in 10 cases and we therefore had to assign a score of ‘not enough data to judge.’ It is possible that they are being used but that their use is not being documented.

Figure 4: RQ+ Addressing potentially negative consequences



Sub-dimension 2.2 concerns the gender responsiveness of research and there was a large variation in scores in our sample. In some cases this was because gender was not a major focus of the research questions as is natural across a portfolio of research. In others there was an original intention to have a gender lens, but no evidence in practice. Gender responsiveness is considered important in the prospectus and FPR and 71 percent of respondents our grantee survey (25/37) rated gender analysis as “essential” or “important” to their research with 75 percent (28/37) reporting that they disaggregate their data and/or findings by gender and various vulnerable groups.

Projects scored well across the second two sub-dimensions, 2.3: Inclusiveness of vulnerable populations and 2.4: Engagement with local knowledge. For both, only 1/13 projects was ‘less than acceptable,’ and 10/13 were scored ‘acceptable’ and above. A number of projects focused on vulnerable populations specifically and one was deemed ‘sensitive to all kinds of vulnerability from deep poverty to sexual orientation.’ There was good evidence of engagement with Southern academic knowledge as might be expected from a portfolio focused on Southern institutions. There were also examples of capturing local knowledge through focus groups and other research tools and one example of ‘the participation of local interlocutors in the co-production of knowledge.’

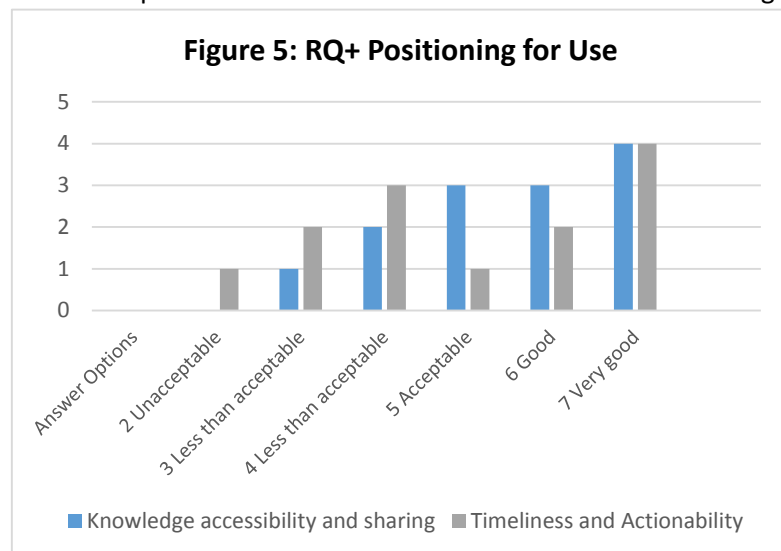
RQ+ RESEARCH IMPORTANCE

Projects scored well against both ‘relevance’ and ‘originality’ in this dimension. Notwithstanding some variation, in the originality sub-dimension, there were cases of innovative design where scholars from different disciplines had been brought together in new ways to produce mixed methods work of high quality. Both the prospectus and the FPR highlight the importance of mixed methods and inter-disciplinary work. Our grantee survey confirmed that respondents overwhelmingly used mixed-method approaches. There were some examples, however, of research outputs that lacked originality and re-hashed established arguments. Research relevance assessment ranged from some cases where it was ‘unclear who the intended users of the research are’ to research that was highly relevant to policy and practice issues and research that was conducted ‘at a

good moment’ to feed into a policy issue. Some research was more relevant to advocacy groups. There was less evidence of policymakers and practitioners demanding the research, but we found some evidence of demand in one project.

RQ+ POSITIONING FOR USE

This important dimension assesses whether research findings are being taken up by target audiences



or whether research has been conducted and managed in such a way as to promote future uptake. There was variation in the scores for Knowledge Accessibility, ranging from projects that had only long outputs not clearly tailored for a target audience to projects which had repackaged findings in policy syntheses, had included the use of online platforms and video as well as evidence of involving target audiences through the research process.

Scores were also very variable, with more low scores for Timeliness and Actionability. Lower scores included projects that failed completely to produce some outputs that were then ‘overtaken by time and events’ or that ‘missed the window of policy opportunity’ through late production of outputs. Delays are common in the production and publication of research, especially in low-capacity environments, and there may be a trade-off between research quality processes to manage for quality, and timeliness of research.

GSJ BASELINE LITERATURE REVIEWS

We looked at three baseline reports that were mentioned in the FPR.¹ As with research itself, the claims made by any literature review rest on the methodology used in collecting the sources reviewed and in assessing the research that is included – for example what search methods are used. *Accountability in Africa’s Land Rush* contains a conceptual framework and a methods section outlining the protocol used to identify candidate studies, explains which studies were chosen and acknowledges the limitations of the claims it makes. It also considers the methods of the studies reviewed, and their limitations. The *Urban Dilemma* paper includes a clear and detailed account of the methods for producing the review, including search terms used and databases searched, acknowledges limitations and considers methods of the literature reviewed. *Development in the Shadow of Violence* did not contain an elaboration of its own methods and relied more heavily on the WDR 2011, but did consider types of data and methods used in the literature.

We judge that the three baseline studies achieved exemplary uptake. These were studies for which there was clear demand from partner donors, and two of the studies were mentioned in key informant interviews as particularly impactful. IDRC has tracked and documented citation of the three papers in a range of sources from influential blog-posts to books to online and other catalogues and resource pages and can therefore monitor dissemination.

¹ Jones, Bruce & Elgin-Cossart, Molly (2011) ‘Development in the Shadow of Violence: A Knowledge Agenda for Policy’ IDRC, DFID, AFD; Muggah, Robert (2012) ‘Researching the Urban Dilemma: Urbanization, Poverty and Violence’ IDRC & DFID; Polack, Emily et al (2013) ‘Accountability in Africa’s Land Rush: What Role for Legal Empowerment?’ IIED & IDRC; Tripp, Aili Mari (2012). We opted not to review a fourth unpublished baseline, ‘Women’s Political Empowerment in Statebuilding and Peacebuilding: A Baseline Study’ IDRC & DFID. All highlighted in IDRC (2014) *GSJ FPR*, p. 4.

Q3 Findings: Relevance and Significance of Program Outcomes

The review team was asked to “verify the contributions of the outcomes reported in the final prospectus report (FPR) according to grantees, research users, and other influential stakeholders.” Our approach was to use expert judgment, document review, and interviews with grantees and external stakeholders to assess the validity of program-level outcomes.

While the review team was asked to verify outcomes in the FPR, we found this task difficult for a number of reasons. The most important one is that most of GSJ’s research is still in progress, making discussions of clear outcomes premature. The unfinished nature of GSJ’s work is translated strongly in the FPR, as the majority of projects cited are not just open projects, but also projects that were approved in 2013 and afterwards—meaning that there has been little or no time to produce outcomes. We found some of the claims in the FPR, in particular the “insights” related to generating new knowledge, not to be credible at this point in time, for these and other reasons. For a fuller discussion, please see Annex C, “Analysis of the FPR.”

Given the situation, the team took a different approach. While we tried to verify the outcomes in the FPR, we also looked beyond the FPR at the GSJ program more broadly. For example, we set aside the knowledge generation “insights” in the FPR, and instead identified areas where our evidence suggests knowledge generation at the regional or thematic levels—that is, beyond the level of individual projects. Similarly, for capacity building and policy/practice influence, we sought to find evidence of outcomes related to the intentional development and deployment of **program-level** strategies to build capacity or to influence—strategies beyond the level of individual projects.

OUTCOME AREA 1: KNOWLEDGE GENERATION

As of March 2015, we found clusters of significant and relevant research findings. By “cluster of research findings,” we mean a thematically linked set of projects undertaking parallel (but usually separate) lines of research. The projects are not linked from a research design perspective, and therefore may not generate higher order knowledge outcomes, such as generalizable findings. Yet they represent the beginnings of a critical mass on a particular thematic issue, usually regionally defined, and they may eventually be recognized by a community of peers as representing a cluster of related findings—interviews with experts and grantees indicate that they have not achieved this recognition as yet; indeed, most grantees do not see their findings as part of larger GSJ knowledge “clusters” (except SAIC researchers). The clusters we identified are in the following areas:

Citizen-centered security in Latin America: Several projects were part of a larger ground-breaking research agenda in the region related to human security, whether in cities, border areas, or among vulnerable populations. Their importance derived from the fact that they came at a time when there was both research and policy interest in citizen security; they generated grounded data and analysis on their respective issue areas and were able to apply/develop new lenses to persistent problems.

Documenting state responses to violence, with a focus on sexual violence, in Asia: Several projects that are near completion focus on identifying the specific mechanisms by which state institutions fail to provide justice or remedy to victims of massive or state-led violence. External interviews and document review confirm the relevance of this research, which is looking at the micro level of citizen interactions with state institutions, and general institutional failure in this regard, with a view to advocating for national and sub-national policy reform: One interviewee said, “Most work [on sexual violence in India] is looking at the Supreme Court or high courts, but not ground level cases”; another agreed, “Every step the woman faces a road block. ...We need to look at the whole life cycle of a legal case [for sexual violence]—the mapping of institutional responses...and then using those to ask for [better] responses.”

Arab Spring political transitions: Several projects were designed to generate timely investigative

analyses to help inform key audiences domestically and internationally, essentially answering the question, “What is happening right now in the MENA region?” An additional project was a visioning/scenario building exercise for the Syrian opposition. By design, these were more speculative, time-sensitive analyses that did not contribute to a larger body of knowledge at the program level; that said, they were a relevant set of analyses in a highly volatile context.

Further, based on the sample of projects that we looked at, we believe that GSJ is on track to produce clusters of credible and relevant research findings in the areas of land acquisition and safe and inclusive cities (SAIC). In both of these cases, GSJ is demonstrating an added program-level value as a knowledge partner, research coordinator, and convener across a set of projects.²

The factors playing a positive role in the clusters of findings mentioned above are: 1) **PO deep expertise and initiative**: The clusters of findings so far are regional and tend to be linked to the engaged, hands-on approach of expert POs rather than to the GSJ program. 2) **Management reallocation of resources to meet new challenges**: In the case of the Arab spring research, there was the willingness of GSJ to rapidly mobilize resources for “real-time” analysis. 3) **Adoption of modalities that enhance knowledge generation beyond the project level**: These include actions to create “a common bank of knowledge” (FPR, p. 17), such as using baseline studies and coordinating with other researchers and donor-funded research.

The key factors playing a **hindering role** in generating the clusters of findings are: 1) **Support to “local knowledge”—a value in itself—may be in tension with achieving program-level outcomes**. External interviews suggest that GSJ’s investment in Southern researchers is much appreciated: “[IDRC] had created a platform where [people] like me from the Global North were getting together with researchers on conflict and resilience in the South. That is always a good kind of convening.” But document review and external interviews suggest doubts about research capability and the quality of some of the knowledge being produced. 2) **Inattention to management for program-level outcomes**: GSJ is a fragmented program; PO interviews suggest that there are not strong incentive structures in place for coordination among POs; changes in program leadership at the beginning and in the middle of the current Prospectus period likely impacted on this area. 3) **Scale**: POs are managing relatively small pots of money; the issue of scale arose repeatedly in interviews. Unless funding levels rise, POs likely will need to coordinate with one another or with outside institutions to create a “critical mass” of findings, limiting their own autonomy.

OUTCOME AREA 2: CAPACITY BUILDING

GSJ reported three capacity building outcomes in the FPR. Looking beyond the FPR, the review team tried to find evidence of outcomes related to program-level strategies to build capacity at the regional or thematic levels.

We note that external stakeholders recognized the added value of IDRC’s capacity building efforts, and that this was considered a positive aspect of IDRC’s reputation. Turning to the grantees, the grantee survey shows that only a small proportion of respondents (3/37) said that building research capacity was their primary objective (when ranking the objectives of “generating new knowledge,” “influencing policy and practice,” and

Outcomes reported in the FPR:

Result 1: A new generation of locally grounded researchers are rigorously trained in research skills

Result 2: Researchers that employ interdisciplinary and innovative approaches are assuming leadership roles and generating practical solutions to GSJ-relevant issues

Result 3: Networks and institutions supported by GSJ are assuming a leadership role in sharing lessons and communicating research findings

² We reviewed documents and conducted a number of interviews with external stakeholders on the issue of GSJ-funded research on inclusive political settlements, especially the five projects funded through the “Eliciting and Applying Local Knowledge for Peacebuilding and Statebuilding” collaboration with the Carnegie Corporation.. While the projects do support African approaches to these issues, which was an important goal of the call for proposals with Carnegie, it is not yet clear that the projects have sufficient coherence at the level of research questions or methodology to contribute to a common bank of knowledge on the issues.

“building capacity”); more than half ranked it their lowest objective (21/37). We should thus have modest expectations for these results.

Document review and interviews suggest that GSJ’s main program-level approach to capacity building is through individual skills and knowledge development. Most of the research projects we reviewed include this level of capacity building. It is hard to assess to what degree we might call this capacity building “rigorous,” though, which generally implies training in a discipline by experts over an extended period of time, rather than ad hoc workshops. (GSJ produces no data on the trainings conducted by its grantees.) We did find clear instances of more rigorous training in research skills. Two instances are the Strengthening Research for Governance and Security in Sub-Saharan Africa program at the University of Peace (now in its second phase) and the Latin America Drugs, Security, and Democracy Fellowship at SSRC. Using formal training and mentoring, the project at UPEACE has achieved good publication rates, a high standard of knowledge generation, and many former beneficiaries have taken up teaching positions. Nonetheless, the formal UPEACE training in research fieldwork, increased from two to three weeks after the first phase, it is likely still too short to be called “rigorous,” and the project has also been affected by the wide variation in the capacity of beneficiaries’ universities. Nonetheless, it has been successful within its modest means.

We found a deep commitment to interdisciplinarity, as described already in this report. Our evidence (documents, interviews with POs and grantees, grantee survey) suggests that this outcome results directly from program-level incentives and feedback loops. We struggled, however, to identify emerging leaders or providers of practical solutions among individuals using interdisciplinary approaches—individuals who were not already leaders, but who have come to be seen as leaders in a field or a policy space as a result of GSJ-funded work. This outcome, however, takes time to develop, and it may yet occur. For example, with respect to both Sexual Violence and Impunity (107134) Religious and Caste Massacres (106446)—both mentioned in the FPR to support this outcome claim—these are interdisciplinary projects, but neither has yet been completed nor has yet produced emerging leaders or practical solutions. With respect to the project on building a dataset on gender-based violence in Senegal, indeed the approach has been interdisciplinary, and there is some evidence of inputs to policy, but **not yet** of “policy solutions” or emerging leadership. These cases are illustrative of the larger set of examples that we looked at. It might have been more apt, in these cases, to discuss the potential for emerging leadership. Lastly, we did not find evidence of a program-level approach to individual leadership development (How does one best cultivate such leaders? What specific support do they need?); instead, if and when it does happen, it may be the result of project-level effort, rather than the result of a specific GSJ-led strategy.

There is some limited evidence to indicate that GSJ supports networks that are assuming a leadership role in communicating research findings. The examples of SAIC and the project on Innovations in e-Government in Latin America (105449) are indeed networks that have assumed this role or we may expect them to. Generally, evidence at least suggests the emergence of a degree of program-level strategy to cultivate such networks, most notably with SAIC. However, we cannot yet say what the outcomes of these efforts will be.

With respect to the relevance of these outcomes, in terms of the gaps in capacity in an issue area, country, or region, we followed the analyses in the regional strategies, which distinguish between regions with higher capacity research institutions (especially LAC and parts of South Asia), and those with lower capacity institutions (especially West and East Africa, but also MENA). We found the individual approach was more relevant in the higher capacity regions than it was in lower capacity regions. A more relevant approach in the latter regions would have placed emphasis on institutional research capacity.

This gels with our assessment on significance, which we define as the likelihood of changes to scale

beyond the level of individual knowledge/skills acquisition. This is difficult to judge without data—one could argue that GSJ’s individual focus is creating a critical mass of highly capacitated researchers poised to provide leadership, build networks, and communicate findings. However, it is too early to draw conclusions on this issue given the data available.

Finally, factors that have influenced capacity building outcomes are: GSJ’s **primary focus on individuals** rather than organizations or systems, and as a by product of research rather than as the primary goal; the fact that, **in some regions, many if not most grantees already have high capacity**, although sometimes not in research; **lack of a theory of change** that, among other things, links changes in individuals to changes in larger organizations or systems; the program does not have available **resources to invest at a scale** necessary to develop institutions/systems.

OUTCOME AREA 3: OPPORTUNITIES FOR POLICY AND PRACTICE INFLUENCE

We found evidence at the project level that GSJ-funded research has informed policies that are locally grounded and gender aware, and that has influenced policy debates and approaches to policy formation—also usually at the local level. Projects that we can confirm include: protocols on dealing with sexual and domestic violence for police in Mumbai (107101); support to projects on state responses to religious and caste violence (106022 and, to a lesser extent, 106446); funding for a Syrian transition roadmap (107139). In short, we are confident that such influence has taken place in a number of instances.

Outcomes reported in the FPR:

Result 1: Informing policies that are locally grounded and gender aware

Result 2: Informing policy debates and reshaping approaches to policy formation

Our research shows that GSJ-funded research seeks to influence policy/practice primarily at the local level—evidence of a program-level strategy to cultivate influence at that level. Grantee and PO interviews corroborate this finding. The grantee survey has some strong evidence in this regard: asked to rank seven target audiences, more than half of the respondents (20/37) chose as their #1 ranked audience local/national actors. Other local/national audiences are also highly rated:

Who are the end users (or potential end users) of your research? Please rank in order of the most (1) to least (7) relevance:							
	1	2	3	4	5	6	7
Local or national policymakers	20	5	5	6	0	1	0
Local or national academics/researchers	3	13	7	8	4	2	0
Local or national civil society actors/organizations	4	9	12	3	4	4	1
Academics/researchers outside of my country	4	6	5	11	6	5	0
International or multilateral policymakers	5	4	5	5	11	7	0
International NGOs	0	0	3	4	12	18	0
Other	1	0	0	0	0	0	36

With respect to the program level, we noted several instances related to Result 2. Political transitions in MENA region and citizen security in LAC were high on the policy agenda. In the case of the Arab transitions projects, given the shrinking space for policy influence in the region, the policy audience was mainly civil society actors as well as foreign policy makers, the media, political analysts and, through IDRC, the Canadian government. There is clear evidence that GSJ played an important role in generating analyses that were useful for Canadian foreign policymakers. In the case of LAC, it is difficult to trace the policy influence of the individual projects. However, uptake by the UNDP Latin America Human Development Report 2013–14 suggests that the work corresponded with a growing concern by local, national and regional actors with the consequences of different forms of insecurity and violence. We are also confident that the Humanitarian Action in Situations other than War (106494) project achieved outcomes in setting agendas and influencing policy debates and content at the global level amongst key humanitarian actors.

Turning to GSJ-led initiatives, we looked at the 2013 Global Resilience Innovation Platform conference as an attempt to leverage program-level influence. We concluded that it was more

successful as a convening exercise than as an influencing exercise. Interviews suggest that the conference was valued as a forum where North and South could interact, rather than as a showcase for GSJ-generated knowledge.

In terms of relevance, the above analysis suggests moderate relevance of GSJ-funded research to policy, as we did note instances of uptake. Assessing significance is more difficult, based on available information, as we are interested in assessing how likely these changes are to go beyond changes in individual policymaker perceptions to changes in agendas, policies, etc. Here, we draw on the survey (confirmed through document review) to note that the main modalities for influence focused on the perceptions of individual policymakers, through traditional means like workshops, dissemination of reports, and face-to-face meetings. Less than half of grantees said that they collaborated closely with end users on the research itself, which GSJ has suggested is a preferred modality for influence. It is noteworthy that the top strategies used by grantees may be interpreted as tending toward methods that are supply-driven, passive and/or “back loaded” to the end of the project.

Factors that have influenced policy/practice outcomes are: **opportunity structures** for policy influence (e.g., state receptivity); modality of research design (e.g., does it **include potential end users** from the start); **leveraging personal networks**, either of GSJ POs or of well-positioned grantees; **relevance (or lack of relevance) of GSJ-funded research** to international/multilateral policy actors; **role of GSJ as active or passive knowledge brokers** (e.g., GRIP conference, convening on the regional level).

Q4: Key Issues for IDRC’s Board of Governors and Senior Management

Overall, GSJ has brought together projects and staff from four previous programs, and has supported research in a broad range of GSJ themes and regions. The projects under the GSJ umbrella have generated new knowledge, with a particular strength in inter-disciplinary research, and they have achieved selected policy relevance especially at the local contextual level, but also in some international policy forums. The program is forging an identity out of this broad inheritance, and it is thinking about how to strengthen its thematic focus and maximise the impact of its programmatic resources, including the use of new funding modalities. Within this process there is room to consider the issues below that have emerged from the review.

Coherence and added value of a program: In the absence of a focused research agenda, generating a body of knowledge based on findings from individual research projects raises the risk of arriving at very disparate results. Governance, security and justice are critical issues for development; they are also highly contested concepts that interact in different ways in different contexts. Many of GSJ research results speak more to local contexts than to larger research questions and are hard to synthesise or may produce only generic, or already established, findings when synthesised. The GSJ portfolio now includes a number of clustered projects that promise to generate insights that might have broader applicability and lead to strategic, program-level attempts to create a “common bank of knowledge” as envisaged in the original prospectus. Research focus for knowledge generation is an issue that requires greater attention at the time of the approval of a program prospectus.

Programming modalities: Programs should be encouraged to go beyond IDRC’s usual stand-alone, “grants plus” model to achieve greater coherence and impact. The scope and boundaries of the GSJ field are broad and there are now a number of donors funding large research programmes. Competitive calls on focused research agendas, clustered projects in different regions, regional or cross-regional research networks, and partnerships with other donors for enhanced impact are particularly useful in programs like GSJ, providing opportunities to pool resources, focus research questions and avoid duplication. GSJ has begun to experiment with all of these modalities; although it is too early to evaluate the outcomes, our analysis suggests that this is a step in the right direction.

Scale of the program: Partnerships that leverage funds from other donors are one approach to the problem of **matching the scale of resources available to the needs in taking on big research themes in three distinctive fields**. Other possible approaches to the problem of scale include i) funding fewer projects but of larger size; ii) radically narrowing the subjects and research questions on which projects are focussed (especially after the legacy projects have all finished) and iii) being more proactive in finding and collaborating with outside research agendas and programmes to which IDRC could be adding value.

Managing for research quality: Especially where research projects aim to build the capacity of southern researchers, it is important that the research outputs are encouraged to meet minimum standards of quality, appropriate to the research methods being used. Basic requirements such as conducting literature reviews during inception, and outlining methods used, preferably with some consideration of the limitations of these methods, in each research output, are not over-burdensome for research grantees. Standardising such basic requirements could considerably improve the quality of research outputs across different types of research.

Monitoring and evaluation: In order to monitor and evaluate outcomes at the program level, it is important to have a framework for monitoring at the program level, and to collect more consistent and comparative data to monitor program-level performance.. GSJ does collect monitoring information in the IDRC corporate frameworks, such as PCRs and technical reports. The team found that this information was of inconsistent quality. Moreover, there is so much information, primarily in long narrative form, that the task of aggregating would be a cumbersome research project for any one person. The use of appropriate program level indicators, to be monitored with quantitative and well as qualitative data, would be useful. Finally, there is not enough monitoring data or financial data to make a judgment about the value for money of research.

Program management: IDRC program officers play critical roles in the design and development of their individual projects as well as the program as a whole. However, they also seem to be caught between the demands of managing their own portfolios and contributing to program-level activities and outputs. The profile and job descriptions of program officers need to be better matched with their increased responsibilities at the program level. There also could be more clarity on the extent to which program officers are expected, or have the time/resources, to act as evidence brokers to advance the uptake of their research projects in their own policy networks. These issues may require clarity from IDRC management regarding its expectations, and the development of incentive structures that motivate program staff to deliver at the program as well as the project level.

Tensions: The GSJ team struggled with multiple tensions that were only partly a result of the prospectus' broad scope; these tensions cannot simply be solved at the program level and require greater attention at the level of corporate strategy. These include tensions between managing demand-driven, stand-alone research projects versus cohort projects that address a common research problem; tensions between desired impacts at the micro and macro levels; tensions between locally or regionally specific and grounded projects (seen as an IDRC strength) and global projects; and tensions between the concurrent goals of knowledge generation, capacity building and policy influence, which may not all be achievable and realistic within the same project.

Capacity building: There is room for developing a more programmatic approach to capacity building, including a theory of change relevant to particular regional contexts and a few specific, measurable objectives against which the program can track progress. As GSJ begins to engage in cohorts and partnerships with other donors to answer research questions, the approach to capacity building in our sample remained overwhelmingly at the level of individual capacity building within the boundaries of the project. This contrasted with the identification both by IDRC and other donors of systemic and institutional capacity deficits in regions such as Sub-Saharan Africa.

Annex A: List of sample projects

RQ+	Project Title	Project #
Yes	Security Governance at Ecuador's Northern Border	105304
Yes	Juvenile Violence, Policing, and Access to Justice in Latin America	106289
No	Palestinian Security Sector Reform: The View of the Public	106360
Yes	Women, Political Participation and Addressing Gender Deficit in Democracy in Sri Lanka	106420
Yes	Humanitarian Action in Situations other than War: A Critical Assessment of the International Committee of the Red Cross in Rio de Janeiro (2010-2014)	106494
Yes	Justice, Reparations and Accountability for Religious and Caste Massacres in India	106446
No	Latin American Security, Drugs and Democracy (LASDD) Fellowship Program	106721
Yes	Citizen-based Strategies to Improve Community Security: Working with Vulnerable Populations to Address Urban Violence in Medellin	106722
Yes	Strengthening Research Capacity for Governance and Security in Sub Saharan Africa	106726
Yes	Arab States in Transition	106734
Yes	Supporting Transitions in the Arab World	106875
No	Violences basées sur le genre au Sénégal : la prévention comme alternative aux périls de sécurité et de justice	107009
No	Sexual and Domestic Violence: Policy Protocols	107101
Yes	Sexual Violence and Impunity in South Asia	107134
No	Building a Vision for the Transition in Syria	107139
No	Promoting Partnerships for Crime Prevention between State and Private Security Providers in Southern Africa	107193
No	Improving Access to Justice and Basic Services in the Informal Settlements of Nairobi	107292
No	Safe and Inclusive Cities: Research to Reduce Urban Violence, Poverty and Inequalities * SAIC is not a stand-alone project, but a collection of projects, not all of which were reviewed. However, we read SAIC-level documentation and interviewed IDRC and DFID staff working on SAIC. We did not interview SAIC grantees.	107246
Yes	Making Local Governance Work for Women: Exploring New Institutional Possibilities	106856
Yes	Mapping Criminal Governance in African Cities	106645
No	Crisis Group Fellowship Program	106086
Yes	The Involvement of the Private Security Sector in African Conflicts, PeaceKeeping and Humanitarian Assistance Operations	105354
No	The Arab Council for the Social Sciences: Support for Institutional Development, Core Capacities and an Inaugural Research Program	107031

Annex B: Our use of RQ+ and Summary of Scores

Definitions of quality are contested in the area of governance security and justice, for example there may be contestation between methods. However, GSJ research, as articulated within in the FPR, aimed to be “credible, high quality, and widely accessible”³ and RQ+ measures these dimensions within the stated aims and approaches of each project. It is therefore more sensitive to the original purpose and target audiences relative to other more academic measures of research excellence.

For each of our 13 projects selected for RQ+ we consulted at least 3 individual research outputs per project (book or chapter of book, journal article, monograph or chapter of monograph), as well as project documentation such as Project Approval Document and Technical Reports. It was important to include projects that could be expected to have sufficient research outputs for the analysis, so we sampled amongst projects that were mostly focused on knowledge generation and where timeframes were reasonable for us to expect quality research, which meant that 8 of the sample were closed projects. Our sample included projects from 100,000 to 1.5m CAD, and included one global project, three Sub-Saharan African projects, three Asian projects, four Latin America and Caribbean projects and two Middle East and North African projects. The quotes included in this section are drawn from the team member’s explanations for their scores in the RQ+ framework.

We conducted two sessions within the team to standardise our scoring across the sample, but we cannot eliminate problems with inter-rater reliability from our scoring altogether.

Because our sample included some projects that contain papers co-authored with researchers outside the project, and some projects that provided only partial core support to the organisations or partial support to the researchers involved, not every research output which we assessed can be said to be 100 percent the result of GSJ support. For example, there are many factors influencing the quality of publications by PhD students, of which the support they may receive from a GSJ project is only one. Therefore, the RQ+ assessments tell us whether GSJ is *supporting* and *contributing to* high quality research.

³ IDRC (2014) *GSJ Final Prospectus Report*, p. 8

Summary of RQ+ scores

	Project	1	2	3	4	5	6	7	8	9	10	11	12	13
Maturity of the field		1 Establis hed	2 Emergi ng	2 Emergi ng	2 Emergi ng	1 Establis hed	1 Establis hed	2 Emergi ng	2 Emergi ng	2 Emergi ng	2 Emergi ng	2 Emergi ng	2 Emergi ng	2 Emergi ng
Capacity Development focus		2 Mediu m	3 Strong	1 Low	3 Strong	2 Mediu m	1 Low	1 Low	3 Strong	3 Strong	3 Strong	2 Mediu m	2 Mediu m	2 Mediu m
Risks	Risk in the data environment	3 High	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	1 Low	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	3 High	2 Mediu m
	Risk in the research environment	3 High	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	1 Low	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m
	Risk in the political environment	3 High	2 Mediu m	2 Mediu m	2 Mediu m	2 Mediu m	1 Low	1 Low	2 Mediu m	2 Mediu m	2 Mediu m	3 High	2 Mediu m	3 High
1. Research integrity	Singe score for integrity	4	7	4	3	4	7	4	7	7	7	7	6	5

2: Research legitimacy	2.1: Addressing potential negative consequenc es	N/D	5	N/D	4	7	N/D	N/D	N/D	N/D	N/D	N/D	N/D	N/D
	2.2: Gender- responsiven ess	4	4	4	5	8	7	6	6	7	8	5	N/D	1
	2.3: Inclusivenes s of vulnerable populations	5	6	4	6	6	6	7	7	7	8	6	N/D	N/D
	2.4: Engagemen t with local knowledge	N/D	6	4	7	6	5	7	7	8	8	5	7	N/D
3: Research Importance	3.1: Originality	7	7	5	6	6	5	5	7	8	8	6	8	7
	3.2: Relevance	6	6	6	6	6	6	5	7	8	8	6	8	7

4: Positioning for Use	4.1: Knowledge accessibilit y and sharing	5	5	6	3	5	3	4	6	7	7	6	7	7
	4.2 Timeliness and Actionabili ty	4	5	4	1	2	3	3	7	7	7	6	7	6

Annex C: Analysis of the Final Prospectus Report (FPR)

The review team was asked to “verify the contributions of the outcomes reported in the final prospectus report according to grantees, research users, and other influential stakeholders.” Our approach was to use expert judgment, document review, and interviews with grantees and external stakeholders to assess the validity of both the program-level and project-level claims in the FPR. This entailed examining the rigor and specificity of the claims themselves—ensuring that they were accurately presented. Where possible, we identified additional outcomes that may not have been mentioned in the FPR.

While the external review team was asked to validate claims made in GSJ’s Final Prospectus Report (FPR), we found this task difficult for a number of reasons. The most important one is that most of GSJ’s research is still in progress, making discussions of clear outcomes premature. When we started this review in September 2014, we found only ten “closed” research projects from the current Prospectus period. The unfinished nature of GSJ’s work is translated strongly in the FPR, as the majority of projects cited are not just open projects, but also projects that were approved in 2013 and afterwards.

Another challenge is the nature of the program-level claims in the FPR. For example, according to the FPR, GSJ-funded research produced the following three insights:

- Insight 1: Inclusive political settlements are essential for improving state-society relations and enhancing the legitimacy and accountability of public authorities
- Insight 2: To be effective and considered legitimate, security policies, crime prevention strategies, and security sector reforms need to be citizen centric and acknowledge the role of local institutions and communities
- Insight 3: To effectively challenge impunity around sexual violence, it is essential to break longstanding silences. Yet, this is not enough. This effort needs to be led by local researchers and accompanied by psycho-social and legal support to the victims of sexual violence

We note a number of things: the claims are very general; moreover, none of them are new (and therefore could not have been produced by GSJ-funded research over the past four years); finally, the claims are not yet settled, in our expert judgment, and instead remain contested in the broader field. The insights, further, seem more apt as descriptions of the types of research the GSJ sought to fund, as well as the normative impulse behind it, rather than insights that emerged from the research.

What is more, it is striking that many of the projects cited as generating evidence for the insights are open projects that have yet to produce their final research results as of March 2015 (related to Insight #1, see 107275, 107218, 107476; for insight #2, see 107370, 107366, 107463; and for insight #3, see 107134, 107009)—and some had not produced **any** research outputs at all. In short, none of the three claims passes a face validity test. For this reason, we decided to set the aside, in order to approach the issue of GSJ’s program-level knowledge generation afresh.

The external review team’s interviews and document review suggest a number of reasons for this finding. The most important is that, as previously mentioned, GSJ is a new program that only recently has been developing research modalities specifically designed to generate knowledge beyond the project level (e.g., SAIC). However, those projects have not yet yielded knowledge outcomes, so they could not be reported on in the FPR. There are other groups of project “cohorts,” but cohorts do not

seem to be managed in the same way and we do not see outcomes emerging, or being reported, at the level of other formal cohorts yet. Another important factor concerns the way that management of data and learning works within GSJ. While there is a lot of monitoring and documentation of implementation and outcomes at the **project level**, interviews and document review suggest that the FPR was the first time that GSJ tried to document its outcomes at the **program level**—which points to the fact that GSJ was not designing for program-level outcomes from the start.

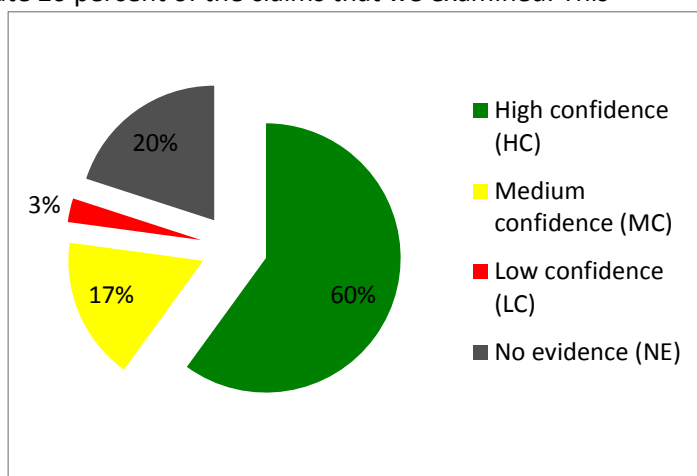
Thus, while we could certainly validate the idea that GSJ undertook programming **related to** these three areas of “insight,” much of it still in progress, and there are numerous valuable projects that individually produced knowledge related to the “insight” area, we simply cannot validate the insights themselves as a result of GSJ work.

PROJECT-LEVEL OUTCOMES IN OUR SAMPLE

As part of our research, the team did its best to investigate the validity of specific outcomes claimed for the projects in our sample. We pulled these claims individually out of the FPR, and used document review (of both IDRC and non-IDRC sources) as well as interviews to assess our level of confidence in the claims.

Our findings suggest that **we can be fairly confident in most of the outcomes reported in the FPR**. In only one instance did we find a claim in which we had “low confidence.” We did find, however, that in spite of thorough research, we could not validate 20 percent of the claims that we examined. This suggests either a lack of adequate supporting evidence, or that the claims are too general to be verifiable.

If we generalize the findings from the sample to the full report, **we feel confident that the report is moderately to highly accurate**. In the future we would recommend for such reports to have a stronger evidence-basis behind all of its claims—or easy access to the evidence upon which the claims are based—in order to drive down the proportion of unverifiable outcomes.



Assessment of FPR Outcomes in the External Review Sample

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
The Involvement of the Private Security Sector in African Conflicts, Peacekeeping and Humanitarian Assistance Operations	HC: Improve our understanding of how governments, the private sector, and populations in contexts of violence, can partner and can improve the effectiveness and legitimacy of security policies and crime prevention strategies. (1)		MC: Helping to develop frameworks for the private security industry in Southern Africa. (21)	MC: Claims made around regulation of private security actors in contexts of violence relate to two projects, the closed project on private sector security in conflict and peace support and the project on promoting partnerships on private security in crime prevention, in the row below, which can be considered a successor project in many ways. It is difficult to attribute the statements to only one of these projects, especially as they share a lead researcher. There is some confidence that the project may have had some impact on the regulation of private security actors and on policy-makers at the regional level. However, the absence of the outputs and the complicated management story make it very difficult to work out what the contribution of the project was.
Promoting Partnerships for Crime Prevention between State and Private Security Providers in Southern Africa	<p>HC: Improve our understanding of how governments, the private sector, and populations in contexts of violence, can partner and can improve the effectiveness and legitimacy of security policies and crime prevention strategies. (1)</p> <p>MC: GSJ-funded project on private security providers has informed region-wide regulatory mechanisms that enhance the accountability of crime prevention strategies that incorporate private security firms. (8,10)</p>		MC: Helping develop frameworks for the private security industry in Southern Africa. (21)	MC: See above comments on the project which in many ways laid the ground for this one. This project is still ongoing so there is more scope for the findings to emerge and be used towards these goals. We are confident that the project will help in the development of regulatory frameworks for some South African countries where there is an appetite.

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
Strengthening Research Capacity for Governance and Security in Sub Saharan Africa		HC: Awarded research grants to 56 PhD students, including 20 women which is a clear endorsement of women scholarship in the region. To date, some 17 of the cohort have graduated and it is expected that another ten will receive their degrees by December 2014.		HC: The claim is quite modest – focusing on the input to output level of grants awarded and beneficiaries graduated.
Improving Access to Justice and Basic Services in the Informal Settlements of Nairobi		HC: Paired researchers from the fields of law, finance, urban planning, and social studies to improve land tenure and access to services for the inhabitants of Nairobi's informal settlements (slums). (12)		HC: This claim is quite modest; this project has certainly paired researchers from different fields with an organization that works with inhabitants of Mukuru.
(SAIC) Baseline study: Researching the Urban Dilemma: Urbanization, Poverty and Violence	HC: Baseline study has been referenced in policy documents by the UN, the OECD, DFID, local governments and USAID. It has also been cited by leading academics in peer reviewed journals and monographs. There has been considerable take-up in the media....has moved beyond influencing the conflict peace and security communities to be picked up in other communities (health, climate change etc). Evidence of use in a graduate level course on 'Urbanization and International Development' at Harvard. (5)			HC: There are a lot of claims made. Those that relate to citation and use are fair.

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
Humanitarian Action in Situations Other than War			HC: Informing policy debates among key humanitarian actors, including the International Federation of the Red Cross.	HC: This is an ambitious claim but it is reasonable. We have high confidence that this project did inform and indeed influence policy debates amongst key humanitarian actors during its lifetime.
105304 Security Governance at Ecuador's Northern Border	HC: Endemic violence is a product of aggregated risk factors and a decline in protective factors. Risks can be structural – deeply embedded in geographic settings and societies. (2,3)			HC: This claim is not untrue but it is not particularly meaningful. It is very generic and does not adequately reflect the findings from this particular project.
106289 Juvenile Justice, Policing, Access to Justice in Latin America	HC: looked at the influence of peer groups as well as proactive community associations, schools, and their authorities in reducing the threat of violence. The emerging consensus is that the more protective factors that an individual is exposed to the more likely they are to have the capacity to avoid perpetrating or becoming a victim of violence. (2,3)			HC: These insights are indeed related to the research that was undertaken under this project. However, again they are fairly generic.
106360 Palestinian Security Sector Reform: The View of the Public	HC: Underscored the importance of citizen perspectives in the effective delivery of security services in [[Egypt, Iraq, Tunisia, Yemen and]] the West Bank and Gaza (7)			This particular project dealt only with the West Bank and Gaza. In the FPR the statement refers to a number of different projects 106360, 107463, 104693 and 106875 collectively.

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
106722 Citizen-based Strategies to Improve Community Security in Medellin	HC: looked at the influence of peer groups as well as proactive community associations, schools, and their authorities in reducing the threat of violence. The emerging consensus is that the more protective factors that an individual is exposed to the more likely they are to have the capacity to avoid perpetrating or becoming a victim of violence. (2,3)			HC: The first part of the claim derives from this particular project. NE: We are not sure about the second part. It is not clear where the consensus is emerging from and why there needs to be a consensus on such a statement.
106875 Supporting Transitions in the Arab World	NE: Underscored the importance of citizen perspectives in the effective delivery of security services in Egypt, Iraq, Tunisia, Yemen and the West Bank and Gaza. (7)	NE: Independent research network consisting of 16 think tanks and research institutes under the umbrella of the Arab Reform Initiative (ARI). In a context of relative fragility, ARI helped to sustain research in places such as Syria and Yemen and promote public debate on how best to deepen democratic reforms in a region plagued by instability. (14)		On knowledge generation: NE: ARI did have a project on SSR but we did not review it. Though the statement may broadly be true, we cannot trace it to any specific project. See comments above under the Palestine SSR project as well. On capacity building: NE: ARI indeed managed to recruit researchers in places like Yemen and Syria to produce timely analyses but we are not sure to what extent they actually helped build individual or institutional capacity in these countries. They have member institutions in both Yemen and Syria, but it is not clear how much support ARI provides them.
107139 Building a Vision for the Transition in Syria			HC: Policy dialogue among a wide spectrum of the Syrian opposition that would help design a roadmap for a future Syria that was democratic and inclusive. The result was the production of a transition roadmap that documented	HC: This was indeed the outcome of the project. The fact that the ongoing war basically sidelined the project outcome is the price of undertaking such a risky enterprise. However, the project might yet have long term influence.

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
			possible economic, administrative, judicial, political, and electoral reforms in Syria. The roadmap was officially endorsed by the National Coalition for Syrian Revolutionary and Opposition Forces and was widely disseminated among the Syrian public, NGO's, and policy makers in Europe and North America. (23)	
106466 Justice, Reparations and Accountability for Religious and Caste Massacres in India	HC: What may at first appear to be "random" acts of violence due to binge drinking by young men or outbreaks of ethnic violence in crowded markets can be traced to a host of underlying political, social, and economic factors shaping male and identity-group aggression (2,3)	MC: Trained community workers, lawyers, and journalists to better understand the needs of the community and contribute to survivors' efforts for justice as they pursued justice in more than 200 criminal cases launched in the aftermath of targeted mass communal violence in Gujarat, India. HC: Ability to use the newly established Right to Information (RTI) Act to collect and analyze previously inaccessible information. The project team submitted hundreds of RTI applications and was able to build a public record that documented state accountability for the Gujarat massacre.	MC: The lead researcher...was part of India's National Advisory Council charged with the responsibility of drafting 'Prevention of Communal and Targeted Violence (Access to Justice and Reparations) Bill' in 2011. This strategic entry point enabled a GSJ-funded project to directly inform the bill in three respects: the Bill recognized the 'dereliction of duty by public officials' as a crime; it recognized the right for a victim to appeal independently of the state; and finally, it proposed the establishment of national standards of relief, compensation, and rehabilitation for survivors of mass targeted violence. (22)	Knowledge generation: HC: While this is no doubt true, it is generic and certainly known before this research project was undertaken. Capacity building: MC: These claims may conflate this research project with other work going on at the Centre for Equity Studies, since the project itself did not involve "pursuing] justice in more than 200 criminal cases...." Capacity building: HC: The claim on the use of RTI is true, although it is more accurate in relation to the previous project that IDRC funded with this grantee, and upon which this project built. Policy influence: MC: It is true that the lead researcher was part of the NAC and fed into the draft bill. It is hard, however, to isolate how much this particular project actually influenced the contents of that bill, since the main draft of the bill was finished in 2011-12, before the project had preliminary findings. Also, the lead researcher's tenure on the NAC ended in 2012. It is more likely that previous CES work impacted on the draft bill than this particular research project (including findings from a previous IDRC project on RTI).

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
106856 Making Local Governance Work for Women: Exploring New Institutional Possibilities	MC: Women's voices and agency in shaping local structures of governance and democracy is an essential condition to improve state-society relations and enhance the legitimacy of the authorities and frameworks that govern developing states. The project also demonstrated how information and communication-based technologies helped marginalized women exercise their right to participate in decision-making and hold public authorities to account. (7)			MC: The statement about women's agency as an essential condition, while we agree with it, is a generic one that is a normative assumption of the project rather than an empirical finding of the project. The second statement somewhat misstates the project's findings, which was not that ICTs help marginalize women exercise their rights, but rather that they may do so only under certain conditions.
107009 Violences basées sur le genre au Sénégal : la prévention comme alternative aux périls de sécurité et de justice	HC/NE: In Senegal, researchers compiled a first-of-its-kind database on the causes and incidences of gender-based violence in the country. An important finding stemming from these efforts was evidence documenting the strong link between sexual violence and the violation of women's economic, civic, and political rights. Accompanied by a government commitment to combat impunity and promote more effective prevention strategies, the project contributed to a comprehensive review of existing legislation on sexual violence. (8,9,10)	HC/MC/LC: In West Africa, interdisciplinary research that brought together young researchers and the Agence Nationale de la Statistique et de la Démographie du Sénégal (ANSD), used an ICT-based platform (Web-SMS), to build a first ever gender-disaggregated database that documents the magnitude of gender-based violence across Senegal. This platform enabled civil society organisations, media, government, and citizens to access data and interact to promote more evidence-based policy that prevents gender-based violence	HC: Invited by Senegal's Ministry of Higher Education to inform its "Zero Tolerance for Violence Against Women" strategy. The project leader is part of the "Réseau International des Femmes de la Francophonie" and is contributing to policy debates on the issue at the international level. (21)	Knowledge generation: MC/NE: The project certainly did create a novel database on GBV; however, we could not verify any of the findings from the database nor its contribution to a review of existing legislation. Capacity building: MC: Part of the statement is true, in that the research was interdisciplinary and brought researchers together from these agencies. However, the subsequent statements appear to confuse two important but separate parts of the project: the database on GBV, produced by a population survey and qualitative research; and the Web-SMS platform for community reporting on GBV, which is a pilot project whose results remain unclear. We doubt that the Web-SMS platform has enabled any of the outcomes mentioned in the final statement. Policy influence: HC: We are confident that these statements are accurate.

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
107101 Sexual and Domestic Violence: Policy Protocols			<p>HC: Developed clear guidelines for the police regarding the procedure that they should implement when dealing with victims when they first approach the police. These guidelines were subsequently adopted for all 92 Mumbai police stations and more than 600 police officers have since been trained on how to more appropriately process first information reports for sexual offences.</p> <p>LC: The impact has been a more victim-friendly environment at police stations where the dignity of the victim is maintained at all times during the investigation process. (22)</p>	<p>HC: We are confident that these guidelines were developed and distributed, and that the training mentioned took place.</p> <p>LC: We have low confidence, however, that it is possible to assess any impact on the environment at police stations at this point in time. This is not to say that there will not be an impact over the next few years.</p>
Sexual Violence and Impunity in South Asia	<p>HC: By interviewing survivors of sexual violence, their families, medical and legal professionals, army officials, as well as government bureaucrats, this research demonstrated how impunity around sexual violence functions. The efforts of this particular project contributed to six young Kashmiri women coming forward to write about the mass rape of women from Kunan and Poshpora by Indian security forces which took place in February 1991, and which has been shrouded in</p>	<p>HC: Enhance young and established researchers' analytical and writing skills that would enable them to effectively communicate how to combat impunity for sexual violence in South Asia. (11)</p> <p>HC: a large number of young scholars are being mentored to write specialized papers. The project is also developing an online course to help build the capabilities of the next generation of scholars.</p>		<p>Knowledge generation: HC: This was indeed the objective of the project, and the project has incorporated the stories of the six Kashmiri women. We do not have evidence that close work with victims has yet generated a deep understanding of victims' perceptions of justice, as the research is not yet complete.</p> <p>Capacity building: HC: For both statements, it is true that there is a strong focus on mentoring young scholars. Claims that they can "effectively communicate how to combat impunity for sexual violence" are perhaps a bit awkward. There are plans for an online course.</p>

Project name	Outcome 1: Generate locally embedded knowledge on governance, security and justice	Outcome 2: Strengthen the capacity of research recipients	Outcome 3: Build opportunities for policy influence	Assessment and explanation
	<p>silence and mystery for two decades.</p> <p>NE: Working closely with victims of sexual violence, this research also generated a deep understanding of what justice actually means for those who are seeking it. This can range from punishment for the guilty, an acknowledgement of suffering and violation, processes of healing and reconciliation as well as truth telling</p>			

Annex D: Interview Protocols

KEY INFORMANT INTERVIEWS: GSJ SAMPLE GRANTEES

Indicate that their responses are confidential and that any reference to their views will be anonymized

SECTION I: Q1 WORKING WITH IDRC

The purpose of this section is to gain a better understanding of your institution's engagement with IDRC's Governance, Security and Justice (GSJ) Program.

1. [IF UNKNOWN] Were you familiar with IDRC before receiving a grant from GSJ for your project?
2. How did your project originate? Did you approach IDRC directly or did IDRC program officers contact you?
3. Was the project for which you received GSJ support part of an ongoing research program or did you develop it from scratch?
4. What were the most common forms of communication with IDRC staff and how often, would you say, you interacted with the IDRC program officer responsible for your grant?
(e-mails, phone calls, visits from IDRC staff, visits to the regional office or Ottawa, meeting at professional gatherings)
5. Can you talk a bit about IDRC's engagement with your project—were there areas of work where IDRC provided very useful support, and areas where you could have benefited from more support, or a different kind of support?

[IF PROMPTING NEEDED]

- a. Advising on the design of the research project (goals, target audiences, theory, methodology development)
 - b. Advising on project implementation – management, monitoring & evaluation, human resources and financial reporting
 - c. Advising on research quality and robustness
 - d. Providing relevant resources (literature, contacts, networking opportunities)
 - e. Helping in dissemination of findings
 - f. Helping to link us with policymakers and practitioner audiences
6. As a grantee, how familiar are you now with the GSJ program and the range of projects it supports around the world? Do you know the programmatic objectives of the GSJ program at IDRC? Do you see how your program fits into those programmatic objectives?

7. Are you familiar with any other IDRC research projects in your own field? What is your relationship with them? [GETTING AT THE ISSUE OF “COHORTS” HERE.]

SECTION II: Q2 YOUR RESEARCH PROJECT

The purpose of this section is to gain a better understanding of the type of research you have been undertaking and your research outputs.

1. [IF UNKNOWN] How relevant and important was/is gender analysis to your research questions and research outputs? Do/did you disaggregate your data for gender and other vulnerable groups?
2. [IF UNKNOWN] Did you have a particular approach to including your research subjects in the design of the research, especially vulnerable groups? If so, could you describe it?
3. [IF UNKNOWN] What are the 2-3 most important outputs of your research project? Why?
4. What strategies do you use to manage for the quality of your research?

[IF PRODDING NEEDED]:

- a. IDRC technical inputs/review
 - b. Internal peer review mechanism
 - c. External peer review of outputs
 - d. Citation counting
 - e. Case studies of research influence
 - f. Other (please describe)
5. Did IDRC provide any support in monitoring the quality of your research?

SECTION III: Q3 RESEARCH IMPACT

The purpose of this section is to better understand the outcomes of your project.

1. Please rank the following GSJ objectives in terms of importance for your own project. What was most important and what was least important (relatively speaking)?
 - a. Generating new knowledge
 - b. Influencing policy and practice
 - c. Building capacity of researchers and organizations

2. Who are the most important end users (or potential end users) of your research? WHY?

[IF PRODDING NEEDED]:

- a. Local or national academics/researchers
- b. Academics/researchers outside of my country
- c. Local or national policymakers
- d. International or multilateral policymakers
- e. Local or national civil society actors/organizations

- f. International NGOs
 - g. Other (please specify)
3. How and when did you engage these target audiences in your research? What strategies/activities did you use, and at what point did you use them? Why? [IF PRODDING NEEDED]:
- a. *Close collaboration on the project's research design, drafts, strategy, etc.*
 - b. *Workshops and conferences*
 - c. *Face to face meetings with individuals or small groups*
 - d. *Dissemination (of reports, etc.) through networks (web sites, email, etc.)*
 - e. *Public launch events for specific outputs (books, reports, etc.)*
 - f. *Providing technical assistance (comments on draft laws, policies, etc.)*
 - g. *Media campaigns (op-eds, news coverage, etc.)*
 - h. *Other*
4. Did IDRC provide any support (advice, introductions, etc.) in engaging these target audiences? (It is OK to answer "no"). If you did get support, was it useful? Would you have appreciated more or less support?
5. Please describe your approach to capacity building. Did your capacity strengthening focus primarily on strengthening the capacity of individual researchers, or on strengthening the capacity of research organizations (recognizing that there is often a link between these two).
6. Did IDRC provide any support (technical advice, contacts, discussion of capacity building models) in engaging building capacity? (It is OK to answer "no"). If you did get support, was it useful? Would you have appreciated more or less support?
7. What have been your most significant results to date—on the understanding that you may be too early in your project to have seen results yet?
8. Do you have any final comments, or any questions for me?

KII Protocol External Stakeholders

Indicate that their responses are confidential and that any reference to their views will be anonymized

1. Your field: how would you describe the field you are working in?
2. What do you see as the biggest gaps **in research** for your field right now, especially **research gaps relevant to policy making**? Please identify one or two gaps and be as specific as possible.
3. How well do you know the Governance, Security, and Justice Program at IDRC? Do you feel that you know the GSJ Program **very well, somewhat well, or not well at all**?
 - Please elaborate. For example, **do you know the main research themes of the program or what the program is trying to achieve**?
4. GSJ's program focuses on promoting accountable and legitimate state institutions. If you feel comfortable on the topic, what do you see as the most important/urgent gaps in our knowledge when it comes to promoting accountable and legitimate state institutions?
5. How do you think that the Governance, Security, and Justice Program at IDRC is perceived by people you know well in your field? For example, do people know about this specific program (GSJ)? If they do, then how?
6. Are you familiar with any specific GSJ-funded projects? If so, how well do you feel that these projects are either filling a research gap in your field, or fitting with current policy needs?
7. If you are familiar with any specific GSJ-funded projects, then what is your perception of the quality of the research being produced? For example, would it pass muster with the best peer-reviewed academic journals in your field, in your opinion?
 - Also, is the research relevant to policy?
8. Do you know of any instances where GSJ (or its staff) have been involved in important policymaking or agenda setting processes? What issues did these processes deal with, and who was leading them?

KEY INFORMANT INTERVIEWS: IDRC STAFF

Indicate that their responses are confidential and that any reference to their views will be anonymized

SECTION I: PERSONAL INFORMATION

1. When did you join IDRC?
2. When did you join/get involved in the GSJ program? In what capacity?
3. Which, if any other, programs did you work in previously?
4. Were you involved in drafting the prospectus?

SECTION II: Q1 PROGRAMMING

5. Could you tell me a bit about how you used the prospectus as a tool for shaping programming?
6. Did you encounter serious tensions between the prospectus priorities and research interests of partners on the ground?
7. What programming modalities (such as project development workshops, networks, and research competitions) worked best in developing your portfolio?
8. As a program officer, how do you see your role in the conceptual and methodological design of the research projects in your portfolio? [HERE I WOULD SUGGEST THEM TO DISCUSS A SPECIFIC EXAMPLE, PREFERABLY FROM OUR SAMPLE. I WOULD ASK, "Let's take an example, Project XX—can you walk me through your role in the conceptualization and methodological design of the project?"]
9. How has the "cohort" system helped to strengthen the quality of GSJ research projects?
10. In supporting research by **non-academic institutions**, what criteria do you use in assessing the quality of the research design?
11. What do you look for in a good capacity building project? What advice do you give grantees? What is an example of a really solid, successful capacity building project in your portfolio?
12. When a proposal says that its aim is to "influence policy," what design elements do you expect to see? What advice do you provide to prospective grantees about strengthening this part of their project design? Can you give me an example from your portfolio?
13. Above and beyond the various projects you fund, are there **program-level outcomes** that you are trying to achieve in your funding? How do you see your projects fitting into a bigger picture?

SECTION III: Q 2 RESEARCH QUALITY

14. Do you think there is a shared understanding of research quality across GSJ? How is quality understood across the GSJ team?

15. To what extent are the projects you manage focused on producing high quality research?
16. Have there been any tradeoffs between research quality and other factors like research capacity or research timeliness and policy impact in your portfolio?
17. In your own portfolio, what do you think have been the most significant contributions to knowledge in your area? What literatures have these contributions been adding to?
18. How do you assess and manage for quality in your portfolio? – peer review, citation counting, case studies etc? Any objective assessments?

SECTION IV: Q 3 RESEARCH IMPACT

19. In your own portfolio, who are the main target audiences for research supported by GSJ?
Follow up: Among these audiences, which are the 2-3 most important ones for you?
20. What are some of the methods you use to ensure that GSJ-supported research reaches its target audiences? In your experience, what have been the most successful methods with different kinds of audiences?
Follow up: Do you or your project partners try to engage the end users of research in project development for greater policy uptake?
21. What are the 1 or 2 most significant outcomes from projects in your portfolio, whether these are related to capacity building, new knowledge, policy uptake, etc.? What makes them so significant?
22. Thinking now about policy influence, what have you and your IDRC colleagues done to promote policy influence of the research projects you have supported? Examples?
23. Did you face any specific limitations or constraints in achieving some of your outcomes? That is, are there **specific projects** where, if you only had had more XX (money, time, support, etc.), you feel that you could have achieved something greater?
24. A slightly different question: What have been your biggest disappointments in terms of unsuccessful outcomes? Was there anything that really surprised you? What would you have done differently?

Annex E: List of interviewees

Name	Organization	Role	Interviewer
Flavia Agnes	Majlis Manch	Grantee	PA
Arturo Alvarado Mendoza	Colegio de México	Grantee	NT
Urvashi Butalia	Zubaan Books	Grantee	PA
Fernando Carrion Mena	Latin American Faculty of Social Sciences, Ecuador	Grantee	NT
Fatou Diop Sall* *partial interview	Université Gaston Berger de Saint-Louis	Grantee	PA
Samuel Ewusi	University for Peace	Grantee	AP
Warisha Farasat	Centre for Equity Studies	Grantee	PA
Cheryl Frank	Transnational Threats and International Crime Division, Institute for Security Studies	Grantee	AP
Heidy Cristina Gomez Ramirez	Universidad de Antioquia	Grantee	NT
Sabelo Gumedze	Private Security Industry Regulatory Authority	Grantee	AP
Anita Gurumurthy	IT for Change	Grantee	PA
Melissa Haw	Crisis Group	Grantee	AP
Kumari Jayawardena	Sri Lanka Social Scientists' Association	Grantee	PA
Bassma Kodmani	Arab Reform Initiative (ARI)	Grantee	NT
Robert Muggah	Pontificia Universidade Catolica do Rio de Janeiro	Grantee	AP
Funmi Olonisakin	African Leadership Centre, Kings College London	Grantee/ external stakeholder	AP
Nicola Restrck, Cleia Noia	The Social Science Research Council	Grantee	AP

Name	Organization	Role	Interviewer
Paul Salem	Middle East Institute, formerly Carnegie Middle East Centre	Grantee	NT
Seteney Shami	Arab Council for the Social Sciences	Grantee	PA
Khalil Shikaki	Palestinian Center for Policy and Survey Research	Grantee	NT
Jane Weru	Muungano Wa Wanavijiji Akiba Mashinani Registered Trustees	Grantee	AP
Radwan Ziadeh	Syrian Center for Political and Strategic Studies	Grantee	NT
Bernardo Arevalo de Leon	Interpeace, Guatemala	External stakeholder	NT
Sultan Barakat	Brookings Doha Centre	External stakeholder	AP
Stephen Baranyi	University of Ottawa	External stakeholder	NT
Clarisa Bencomo	Ford Foundation Regional Office in Cairo	External stakeholder	NT
David Booth	Africa Power and Politics Institute, ODI	External stakeholder	AP
John de Boer	UN University (formerly IDRC/GSJ)	Ex-Program Leader	AP
Steven Del Rosso	Carnegie Corporation	External stakeholder	PA
Comfort Ero	Crisis Group, Nairobi	External stakeholder	PA
Liz Fajber	Asia Region and Afghanistan, DFID	External stakeholder	AP
Joe Hewitt	Office of Conflict Management and Mitigation, USAID	External stakeholder	PA

Name	Organization	Role	Interviewer
Hussein Hijri	Dept of Foreign Affairs, Canada	External stakeholder	NT
Bruce Jones	Foreign Policy Program, Brookings	External stakeholder	PA
Iain King	Senior Governance Adviser (conflict & fragility)	External stakeholder	AP
Everard Meade	Transborder Institute, University of San Diego	External stakeholder	NT
Nicola Murray	DFID Research and Evidence Division Africa Research Hub, Nairobi	External stakeholder	AP
Shruti Pandey	Ford Foundation, Delhi office	External stakeholder	PA
Anonymized external respondent	Senior humanitarian actor in LAC	External stakeholder	AP
David Shirk	University of San Diego	External stakeholder	NT
Carmen Sorger	Dept of Foreign Affairs, Canada	External stakeholder	NT
Nahla Valji	UN Women	External stakeholder	PA
Adrian di Giovanni	IDRC/GSJ	Program Officer	AP
Cam Do	IDRC/GSJ	Program Leader	PA, NT, AP
Colleen Duggan	IDRC/Corporate Strategy and Evaluation	Senior Program Specialist	PA
Roula El-Rifai	IDRC/GSJ	Program Officer	NT

Name	Organization	Role	Interviewer
Markus Gottsbacher	IDRC/GSJ	Program Officer	NT
Njeri Karuru	IDRC/GSJ	Program Officer	AP
Jennifer Salahub	IDRC/GSJ	Program Officer	AP
Navsharan Singh	IDRC/GSJ	Program Officer	PA
Ramata Thioune	IDRC/GSJ	Program Officer	PA

**Annex F: Documents
Reviewed****PADs in the sample**

107246

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**PADs and other documents
outside of the sample**

107422

107453

107454

107455

107476

107564

107565

107605

PMRs

107009

107193

107292

Interim Technical Reports

106446

106856

107009

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PCRs

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Final Technical Reports

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Regional/Thematic Strategies

East and Southern Africa

West Africa

South Asia

Gender

Middle East (25 October 2011)

Latin America and the Caribbean (13 September 2011)

GSI Promotional Materials

IDRC's Response to the Arab Spring (8 October 2013)

GSI LAC portfolio (December 2014)

GSI MENA portfolio (December 2014)

GSI Presentation to the Inter-American Development Bank (30 April 2013)

Baseline studies

Jones, B & Elgin-Cossart, M. (2011) *Development in the Shadow of Violence: A Knowledge Agenda for Policy*. IDRC, DFID, AFD.

Muggah, R. (2012) *Researching the Urban Dilemma: Urbanization, Poverty and Violence*. IDRC & DFID.

Polack, E. et al (2013) *Accountability in Africa's Land Rush: What Role for Legal Empowerment?* IIED & IDRC; Tripp, Aili Mari (2012).

Strategic initiatives

Global Resilience and Innovation Platform (GRIP) Summit 2013 Preliminary Program (May 12, 2013)

Concept Note and Call for Proposals to Establish Resilience Innovation Hub
Trip Report: Bellagio Meeting, October 2013

Concept Note: Eliciting and Applying Local Research Knowledge for Peacebuilding and Statebuilding: International Development Research Centre and Carnegie Corporation of New York (March 2012); also consulted the project's score card assessing the proposals, "PBSB Reviewer Score Sheet."

Other internal documents

GSI Dashboard

GSI Prospectus (October 2010)

GSI Final Prospectus Report and Annexes (August 2014)

GSJ Program Evaluation Preparation: Consolidated Team Reflections (February 2014 and March 2014))

Handover Notes (John de Boer; 2014)

Team Retreat Notes (September 2013; May 2014)

Various Program Meeting Notes (various dates)

Various Concept Review Notes

Various Rejected Project Ideas and Proposals (various dates)

GSJ Strategy Session with Michael Quinn Patton (2010)

Governance, Security, and Justice Program Monitoring Framework and Tools (April 2013 and May 2013)

GSJ Active Projects (February 2015)

Citation Tracking Document - Jones, B. and Elgin-Cossart, M. (2011) *Development in the Shadow of Violence: A Knowledge Agenda for Policy*.

Citation Tracking Document - Muggah, R. (2012) *Researching the Urban Dilemma: Urbanization, Poverty and Violence*. IDRC & DFID.

Citation Tracking Document - Polack, E. et al. (2013) *Accountability in Africa's Land Rush: What Role for Legal Empowerment?* IIED & IDRC; Tripp, A.M. (2012).

Sexual Violence and Impunity Project, Bangkok meeting report (2013).

Internal and External resources on evaluation and strategy

Barakat, S. and Waldman, T. (2013) *Cumulative Influence: The Case of Political Settlements Research in British Policy*.

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DFID. (2014) *What is the Evidence of the Impact of Research on International Development? A DFID Literature Review*.

Elgin Cossart, M., Jones, B., and Esberg, J. (2012) *Baseline Study to Identify Theories of Change on Political Settlements and Confidence Building*. Paper for DFID, Norwegian MFA & Carnegie Corporation .

Patrizi, P., and Quinn Patton, M. (2009) *Learning from Doing: Reflections on IDRC's Strategy in Action*.

IE4D. (2011) *Impact Evaluation for Development: Principles for Action*

IDRC at 40: A Brief History (2010)

IDRC , Evaluation Highlights on Capacity Development, # 14, 15, 16

Institute of Development Studies. (2013) *Learning about Theories of Change for the Monitoring and Evaluation of Research Uptake*.

Taylor, P., and Ortiz, A. (2008) *IDRC Strategic Evaluation of Capacity Development*. Institute of

Development Studies.

Other external documentary resources

ALNAP – especially Lucci, E. (2014) *Humanitarian Interventions in Situations of Urban Violence*. ALNAP Lessons Paper.

UNDP. (2013) *Human Development Report for Latin America 2013-2014: Citizen Security with a Human Face*.

Various grantee web sites

Various news articles

Research outputs reviewed for RQ+

Abd Rabout, A. and El Chazli, K. (2014) *The 2014 Egyptian Constitution: Without Accountability, Checks or Balances*. Research Papers, Arab Reform Initiative.

Abello Colak, A. (2013) Unpacking the Problematic Relations between Security and Democracy: Citizenship, Community Participation and Security Efforts in Medellin, Colombia. In Abello Colak A., and Angarita Cañas P. E. (eds), *Nuevo pensamiento sobre seguridad en América Latina: Hacia la seguridad como un valor democrático /Latin America's new security thinking: Towards security as a democratic value*. FLACSO, IDRC.

Alvarado, G. (2014) La seguridad ciudadana en Ecuador, avances en la construcción del concepto: estado del arte de investigaciones entre los años 2005-2010. In Torres, A., Alvarado, G., and Gonzalez, L. *Violencia y seguridad ciudadana: algunas reflexiones*. FLACSO, IDRC.

Alvarado Mendoza, A. (2014) Presentación. In Alvarado Mendoza, A (Coordinador). *América Latina: Violencia Juvenil y Acceso a la Justicia en América Latina, Volume I: América Latina*. El Colegio de México.

Alvarado Mendoza, A. (2014) Presentación. In Alvarado Mendoza, A. (Coordinador). *Violencia Juvenil y Acceso a la Justicia en América Latina, Volume II: México*. El Colegio de México.

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- Giomara Mejia D. (2014) Introducción: Aportes para la discusión de un sistema de gobernanza de la seguridad ciudadana en la frontera norte de Ecuador. In Carrión, F., Espín, J. and Mejía, D. (coordinadores). *Aproximaciones a la Frontera*. FLACSO, IDRC.
- Goga, K. and Goredema, C. (2014) *Cape Town's Protection Rackets*. ISS Paper 259.
- Goga, K. (2014) *The Drug Trade and Governance in Cape Town*. ISS Paper 263.
- Goga, K. (2014) *The Illegal Abalone Trade in the Western Cape*. ISS Paper 261.
- Gonzalez, L. (2014) Seguridad ciudadana y seguridad nacional en la frontera Colombo-ecuatoriana: estado del arte de investigaciones producidas entre los años 2000-2010. In Torres, A., Alvarado, G., and Gonzalez, L. *Violencia y seguridad ciudadana: algunas reflexiones*. FLACSO, IDRC.
- Goredema, C. (2014) *Mapping Crime Networks in Southern Africa: a New Approach*. ISS policy Brief 58.
- Gottsbacher, M. (2013) De inseguridad excluyente a la construcción de seguridad legítima. In Abello Colak, A., and Angarita Cañas, P.E. (eds). *Nuevo pensamiento sobre seguridad en América Latina: Hacia la seguridad como un valor democrático /Latin America's new security thinking: Towards security as a democratic value*. FLACSO, IDRC.
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- Khalifa, M. (2013) *The Impossible Partition of Syria*. Research Papers, Arab Reform Initiative.
- Kodikara C. and Emmanuel, S. *Global Discourses and Local Realities: Pursuing Justice for Sexual Violence in the Context of Armed Conflict in Sri Lanka*. Forthcoming in untitled edited volume from Zubaan Books.
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- Mander, H. and Singh, N. (2015) *No title* (working titles: *Splintered Justice: Living with Mass Communal Violence in Bhagalpur and Gujarat*; or *Living with Mass Communal Violence in Independent India: Narratives of Bhagalpur and Gujarat*). Version dated January 18, 2015. Chapter in forthcoming report from Centre for Equity Studies.
- Mapuva and Kamwaria. (2013) Power Sharing and Political Inclusion in Post-Accord Democracies: Lessons from Zimbabwe and Kenya. *Africa Peace and Conflict Journal*. Vol 6 No.3.
- Maringa et al. (2014) It's in my Blood: The Military Habitus of former Zimbabwean Soldiers in Exile in South Africa. *Armed Forces and Society*. 1-20, 6.

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- No author. *No title* (Version entitled: *Gujarat Impunity Final Revised*). Version dated December 19, 2014). Chapter in forthcoming report from Centre for Equity Studies.
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- No author. (2014) *The long march to we-gov: Insights from the Women-gov action research project in India (2012–2014)*. Draft report. IT for Change/Women-gov.
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- Orievulu, K. (2014) Community-Driven Development in Nigeria: Development Projects and the Political Empowerment of the Disenfranchised. *Africa Peace and Conflict Journal*. Vol 7 No 1.
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- Saif, I., and Ghoneim, A. (2013) *The Private Sector in Postrevolutionary Egypt*. The Carnegie Papers.
- Salem, P. (2012) *Can Lebanon Survive the Syrian Crisis?* The Carnegie Papers.
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- Torres Angarita, A. (2014) La seguridad ciudadana en Ecuador, un concepto en construcción: estado del arte de investigaciones entre los años 2000-2004. In Torres, A., Alvarado, G., and Gonzalez, L. (eds). *Violencia y seguridad ciudadana: algunas reflexiones*. FLACSO, IDRC.
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- Wageed, T. (2013) *Crisis Without End: Story of Egypt's Democratic Transition*. Arab Reform Brief.
- Werling, E. (2014) *Rio's Pacification: Paradigm Shift or Paradigm Maintenance?* HASOW Discussion Paper 11.

Annex G: Biographies of external review panel members

Anna Paterson has a background first in policy research in the private sector and in the UK Foreign and Commonwealth Office, and then in field-level development research in Afghanistan, where she worked for a research and evaluation NGO and subsequently completed PhD research. She worked for two years with DFID's Research and Evidence Division and one year as the Evaluation Adviser in DFID Nigeria. She has been responsible for large evaluations and operational research on governance and conflict in East & West Africa and Afghanistan/Central Asia.

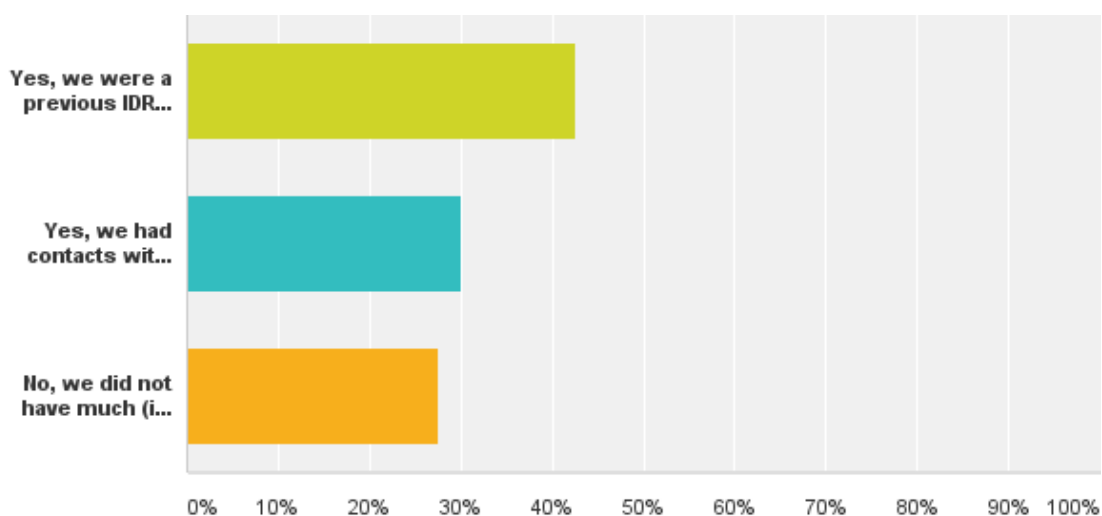
Paige Arthur is Principal of Public Action Research, a strategic research consultancy firm. Formerly, she was deputy research director and deputy director for institutional development at the International Center for Transitional Justice. Her recent projects include a two-year long global study of the role of international assistance in transitional justice processes for the US State Department; an evaluation framework for the Ford Foundation's Strengthening Human Rights Worldwide Initiative; and a six-country baseline study for Gender Justice program at ICTJ. She is editor of *Identities in Transition: Challenges for Transitional Justice in Divided Societies* (Cambridge University Press, 2010).

Necla Tschirgi is a former IDRC program specialist and team leader. Subsequently she served as Vice President at the International Peace Academy and Senior Policy Advisor at the United Nations Peacebuilding Support Office in New York. Currently she is professor of practice in human security and peacebuilding at the Kroc School of Peace Studies, University of San Diego.

Annex H: Grantee Survey Responses

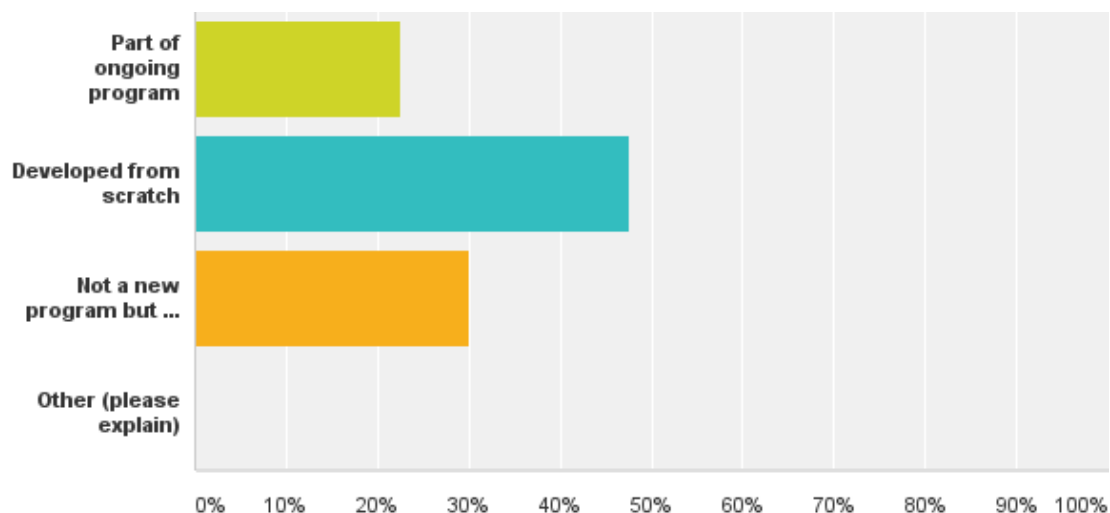
Some qualitative questions have not been included in this annex, since to include these responses would reveal the identity of the respondents. Qualitative responses have been used in an anonymized fashion in the body of the review.

Q1: Were you familiar with IDRC before receiving a grant from GSJ for your project?



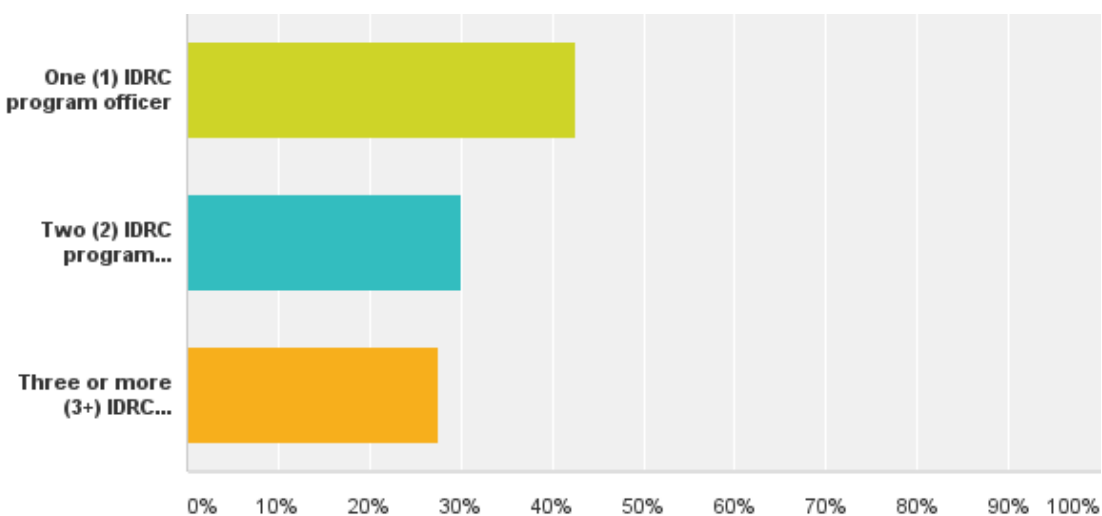
Answer Choices	Responses	
Yes, we were a previous IDRC grantee	42.50%	17
Yes, we had contacts with IDRC under other programs	30.00%	12
No, we did not have much (if any) contact with IDRC before receiving GSJ support	27.50%	11
Total		40

Q2: Was the project for which you received GSJ support part of an ongoing research program or did you develop it from scratch?



Answer Choices	Responses	
Part of ongoing program	22.50%	9
Developed from scratch	47.50%	19
Not a new program but a new focus	30.00%	12
Other (please explain)	0.00%	0
Total		40

Q3: How many IDRC Program Officers have been responsible for your project since the start (or were responsible, if the projects is completed)?

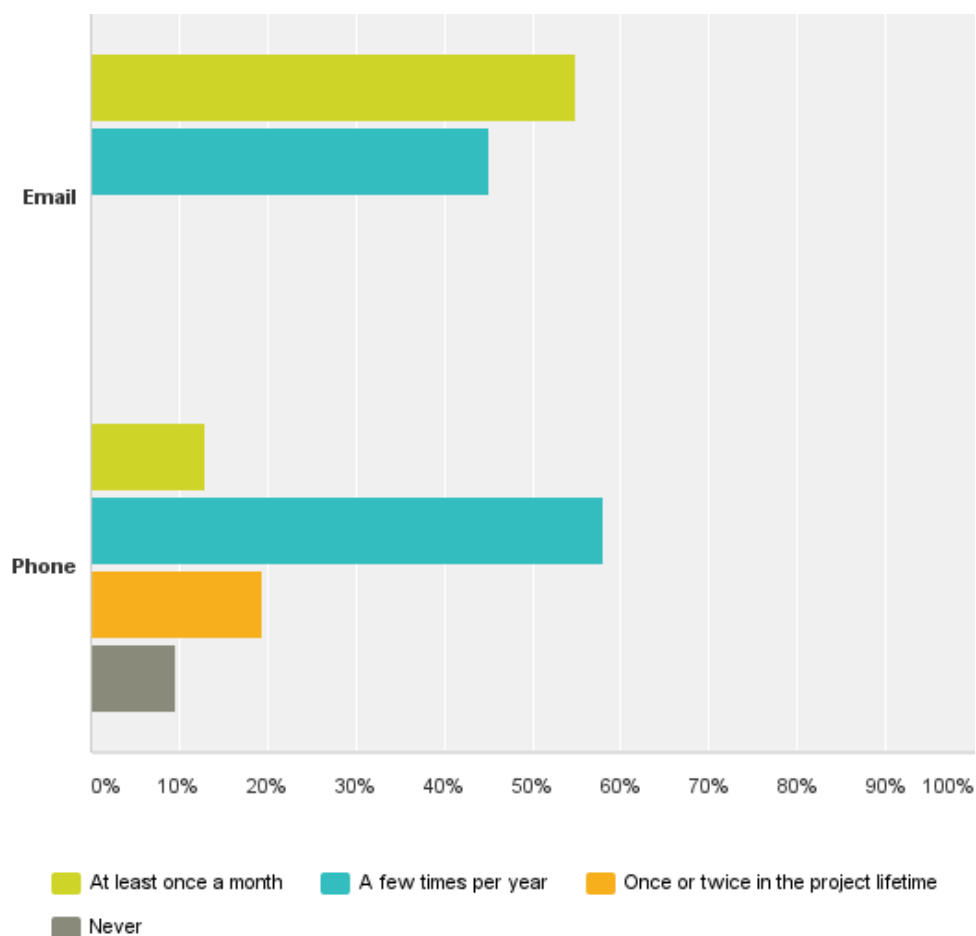


Answer Choices	Responses	
One (1) IDRC program officer	42.50%	17
Two (2) IDRC program officers	30.00%	12
Three or more (3+) IDRC program officers	27.50%	11
Total		40

Q4: How satisfied were you with the level of communication you had with your IDRC program officer?

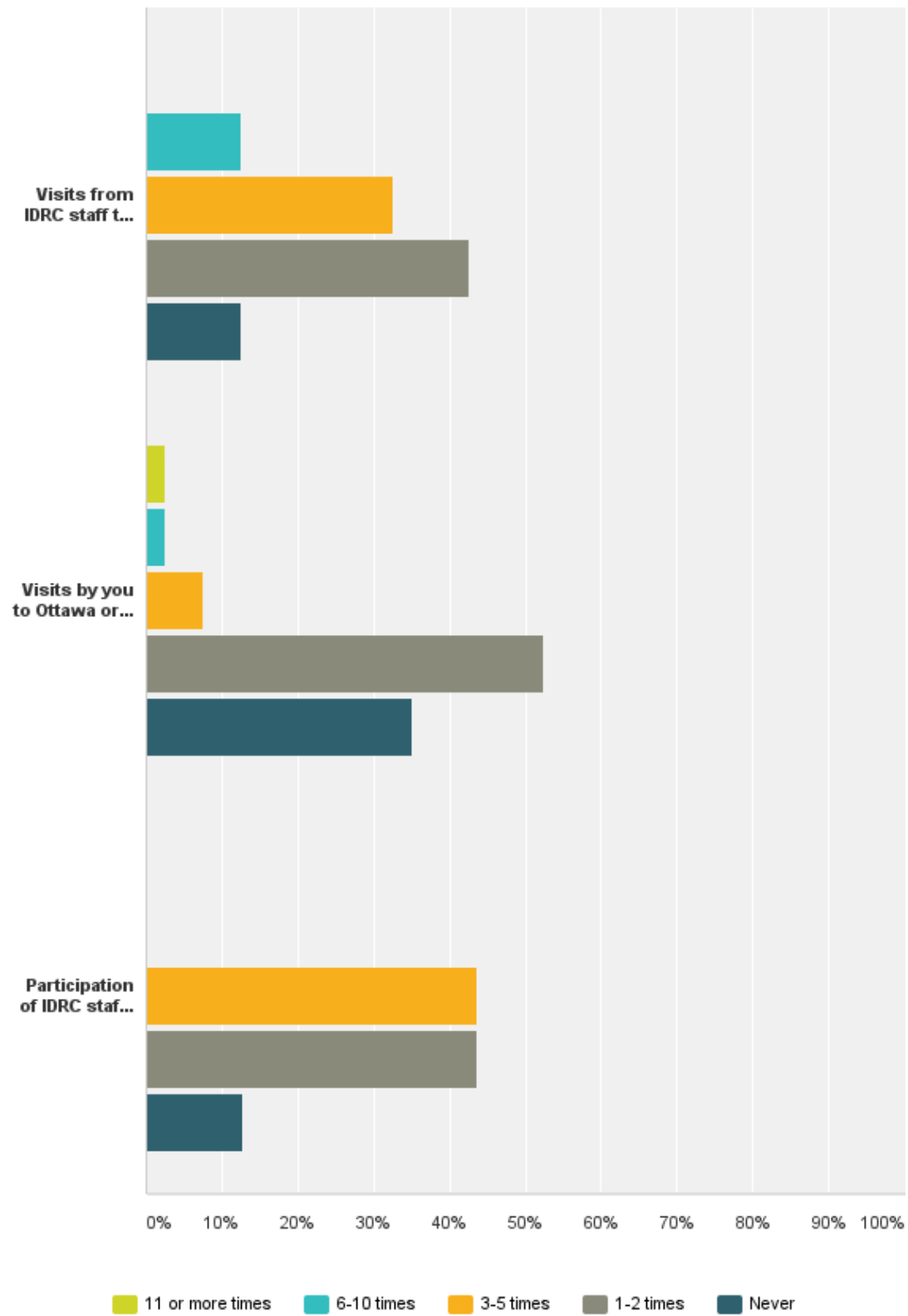
	1. Very satisfied	2. Satisfied	3. Somewhat satisfied	4. Dissatisfied	5. Very dissatisfied	Total	Weighted Average
(no label)	65.00% 26	27.50% 11	5.00% 2	0.00% 0	2.50% 1	40	1.48

Q5: How often have you had the following kinds of communication with IDRC staff?



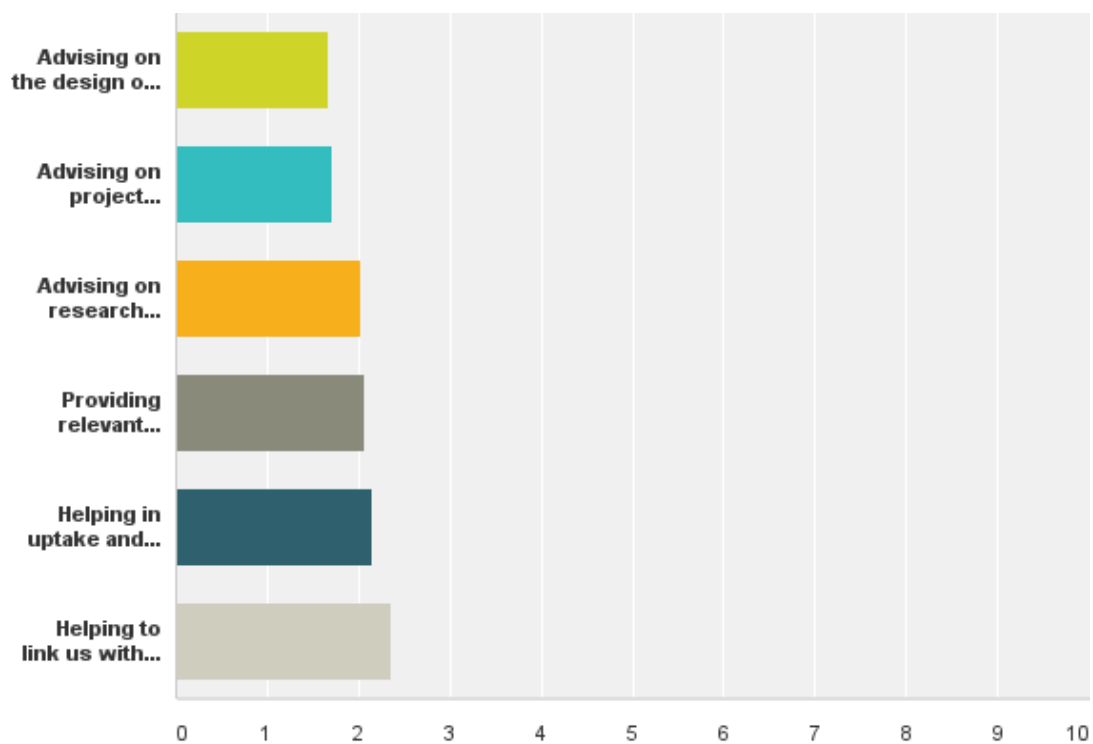
	At least once a month	A few times per year	Once or twice in the project lifetime	Never	Total
Email	55.00% 22	45.00% 18	0.00% 0	0.00% 0	40
Phone	12.90% 4	58.06% 18	19.35% 6	9.68% 3	31

Q6: How often have you had the following kinds of communication with IDRC staff?



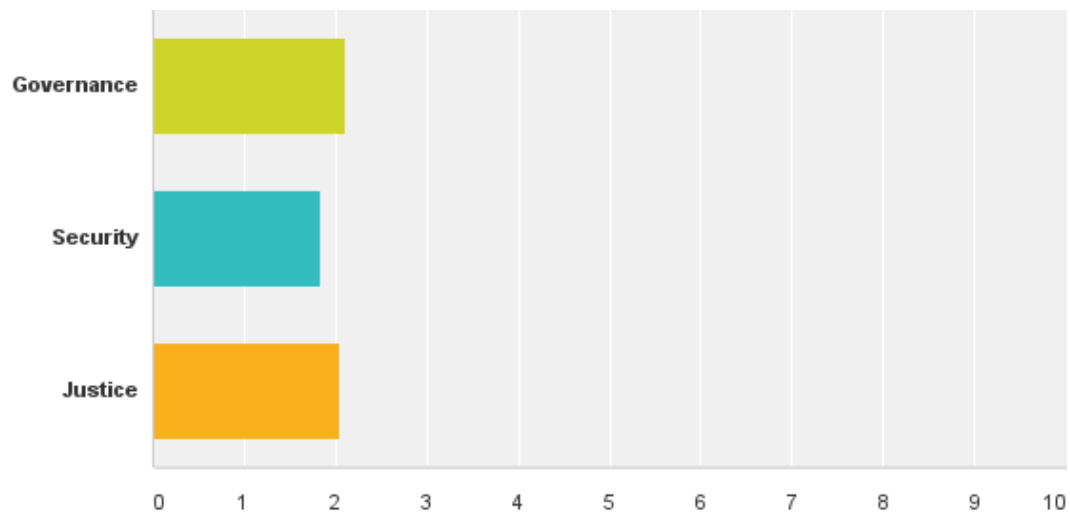
	11 or more times	6-10 times	3-5 times	1-2 times	Never	Total
Visits from IDRC staff to your offices	0.00% 0	12.50% 5	32.50% 13	42.50% 17	12.50% 5	40
Visits by you to Ottawa or IDRC regional office	2.50% 1	2.50% 1	7.50% 3	52.50% 21	35.00% 14	40
Participation of IDRC staff at a project-related gathering (workshop, seminar, conference)	0.00% 0	0.00% 0	43.59% 17	43.59% 17	12.82% 5	39

Q7: How would you rate IDRC staff support in the following areas?



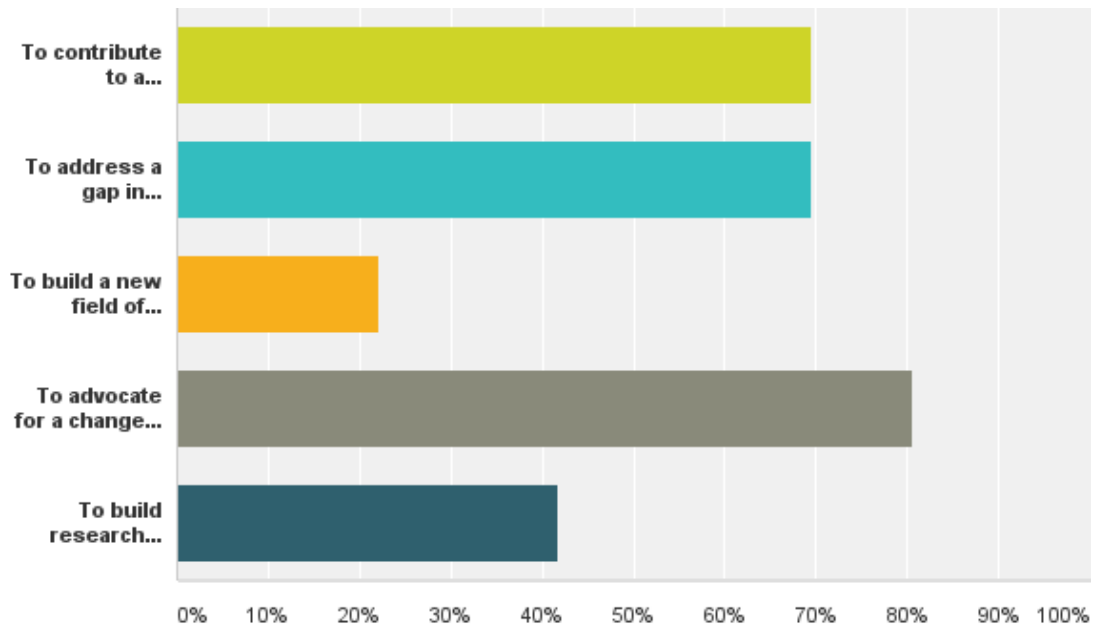
	1- Essential	2- Useful	3- Adequate	4-Not very useful	5-Not useful at all	N/A - no support given on this issue	Total	Weighted Average
Advising on the design of the research project (goals, target audiences, theory, methodology development)	45.00% 18	37.50% 15	10.00% 4	2.50% 1	0.00% 0	5.00% 2	40	1.68
Advising on project implementation – management, monitoring & evaluation, human resources and financial reporting	47.50% 19	27.50% 11	20.00% 8	0.00% 0	0.00% 0	5.00% 2	40	1.71
Advising on research quality and robustness	20.00% 8	52.50% 21	12.50% 5	5.00% 2	0.00% 0	10.00% 4	40	2.03
Providing relevant resources (literature, contacts, networking opportunities)	25.00% 10	40.00% 16	22.50% 9	0.00% 0	2.50% 1	10.00% 4	40	2.06
Helping in uptake and dissemination of findings	28.21% 11	25.64% 10	28.21% 11	2.56% 1	2.56% 1	12.82% 5	39	2.15
Helping to link us with policymakers and practitioner audiences	17.50% 7	25.00% 10	27.50% 11	5.00% 2	2.50% 1	22.50% 9	40	2.35

Q9: IDRC focuses its work in three thematic areas: governance, security, and justice. Could you please rank each of these thematic areas in order of significance to your own project, from 1 (most important) to 3 (least important)?



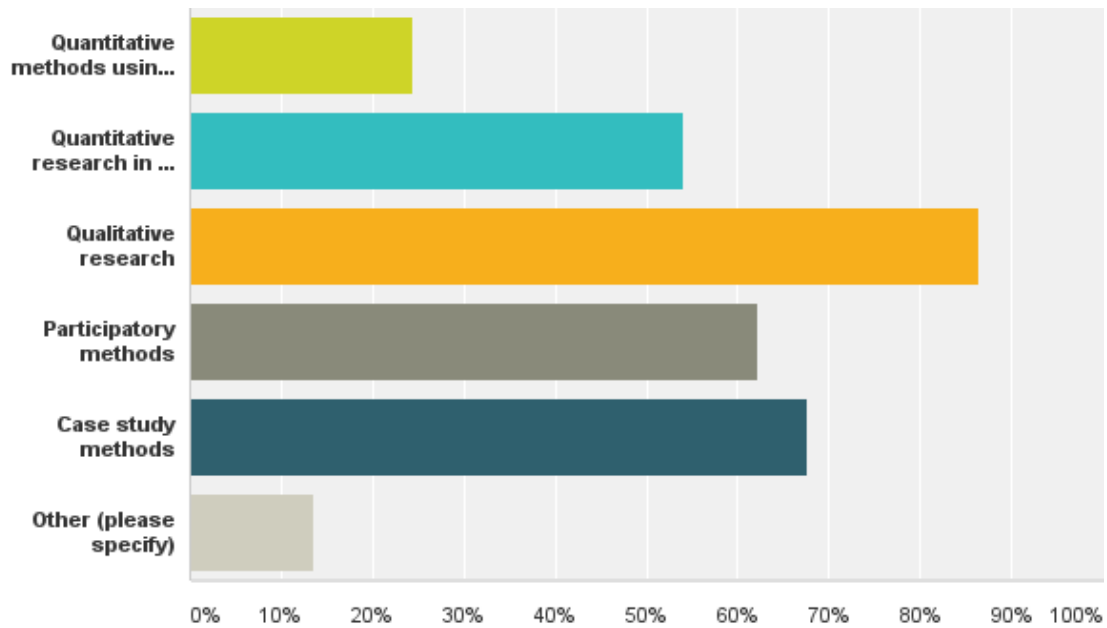
	1	2	3	Total	Score
Governance	32.43% 12	45.95% 17	21.62% 8	37	2.11
Security	29.73% 11	24.32% 9	45.95% 17	37	1.84
Justice	37.84% 14	29.73% 11	32.43% 12	37	2.05

Q11: What kind of research have you aimed to generate? Please select up to THREE of the most important goals for your project.



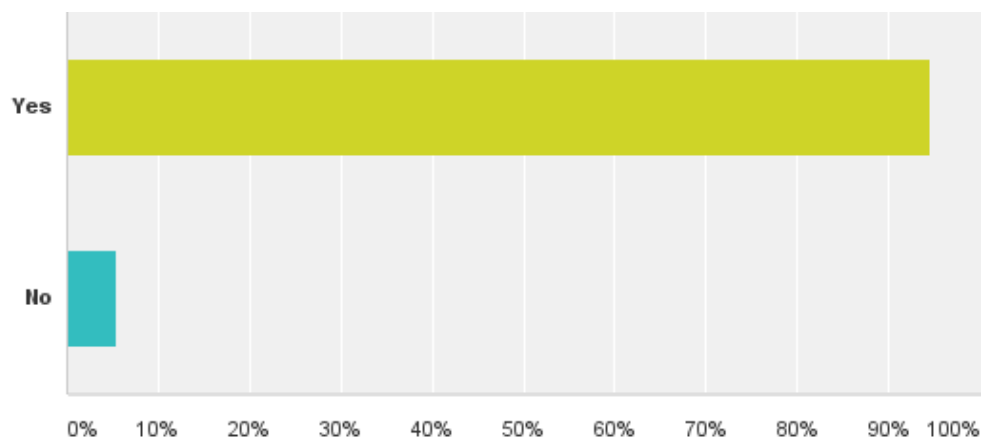
Answer Choices	Responses	
To contribute to a theoretical debate in the field	69.44%	25
To address a gap in empirical data	69.44%	25
To build a new field of research	22.22%	8
To advocate for a change in policy or practice	80.56%	29
To build research capacity in a specific field	41.67%	15
Total Respondents: 36		

Q12: What types of research methods do you use in your project? (Select all that apply)



Answer Choices	Responses	
Quantitative methods using existing datasets	24.32%	9
Quantitative research in the field	54.05%	20
Qualitative research	86.49%	32
Participatory methods	62.16%	23
Case study methods	67.57%	25
Other (please specify)	13.51%	5
Total Respondents: 37		

Q13: Did you conduct a review of existing literature and data at the beginning of your research program?



Answer Choices	Responses
Yes	94.59% 35
No	5.41% 2
Total	37

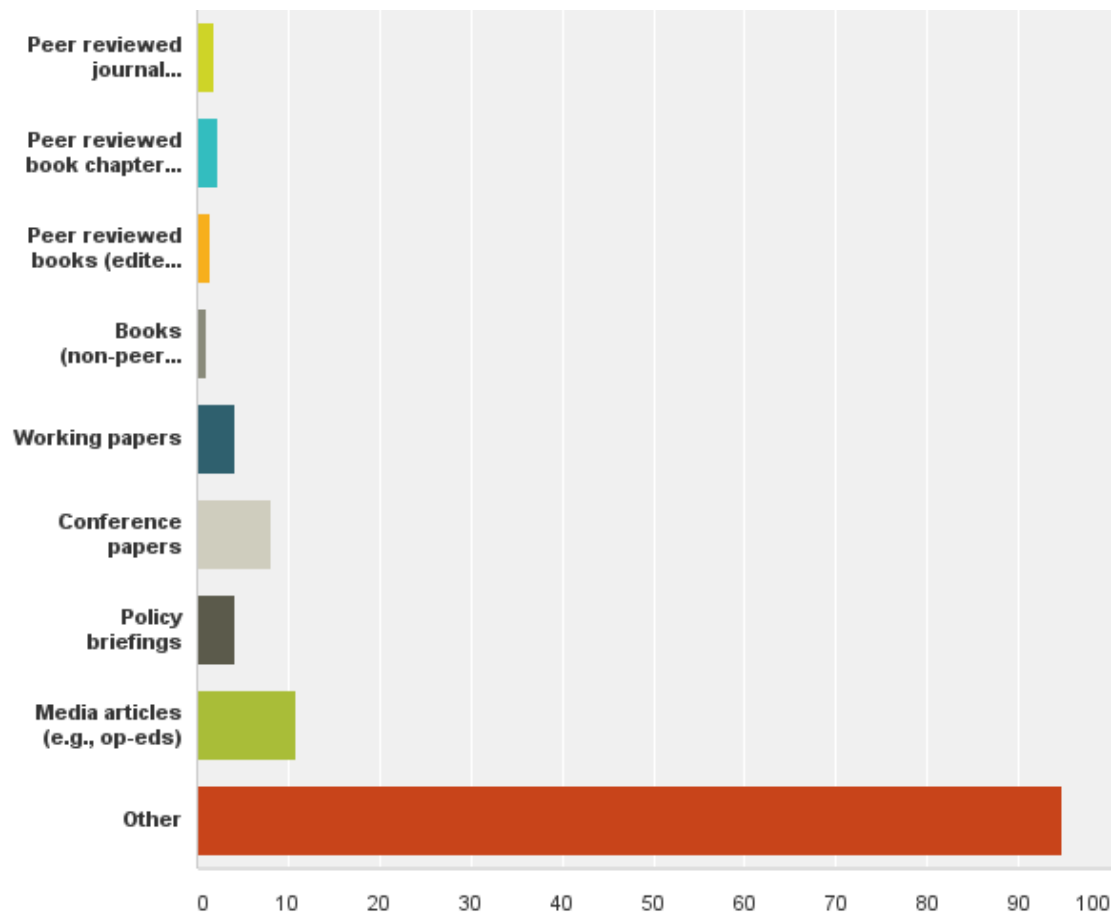
Q14: How important is gender analysis to your research questions and research outputs?

	1. Essential	2. Very important	3. Important	4. Not very important	5. Not important at all	Total	Weighted Average
(no label)	48.65% 18	18.92% 7	24.32% 9	5.41% 2	2.70% 1	37	1.95

Q15: Do you specifically disaggregate your data and/or findings for gender and other vulnerable groups?

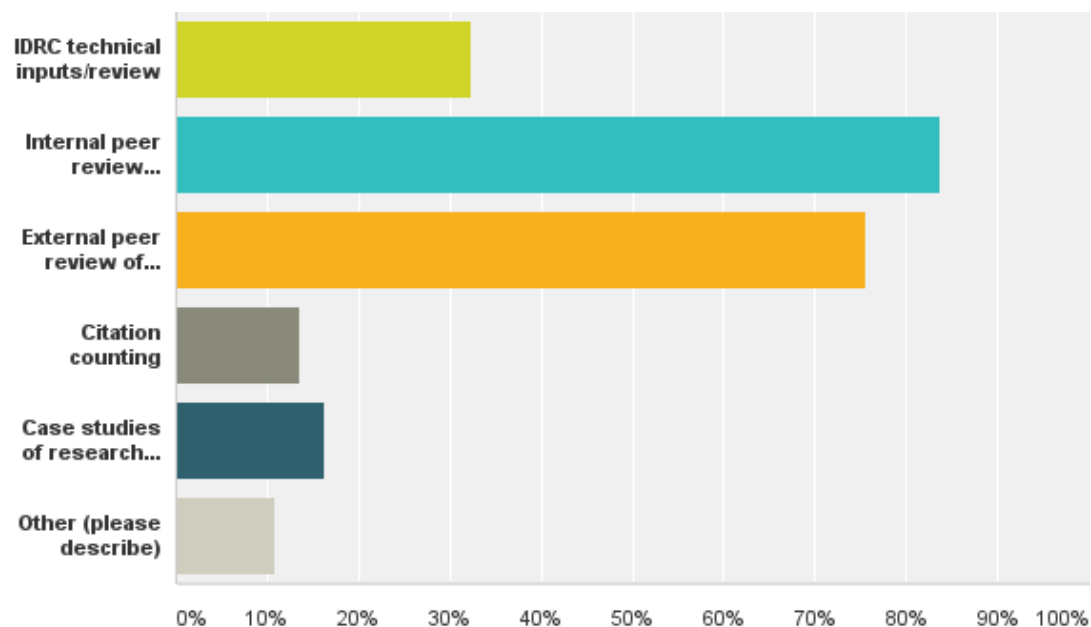
Answer Choices	Responses
Yes	75.68% 28
No	24.32% 9
Total	37

Q16: Please give us an estimated number of research outputs your IDRC-funded project has produced. If the number is zero (0), please put in a "0." Please keep in mind that an approximation is fine.



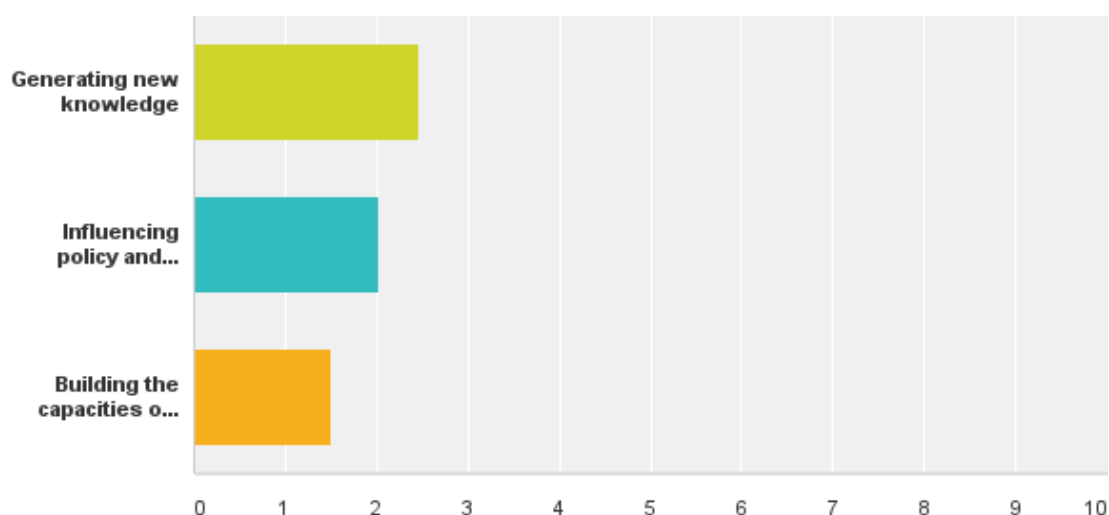
Answer Choices	Average Number	Total Number	Responses
Peer reviewed journal articles	2	53	27
Peer reviewed book chapters (e.g., chapters in other, non-project related books)	2	60	27
Peer reviewed books (edited volumes and single author studies produced by the project)	2	37	24
Books (non-peer reviewed)	1	19	19
Working papers	4	124	29
Conference papers	8	229	28
Policy briefings	4	90	22
Media articles (e.g., op-eds)	11	293	27
Other	95	1,516	16
Total Respondents: 36			

Q17: What techniques do you use to assure the quality of your research? (Please select all that apply.)



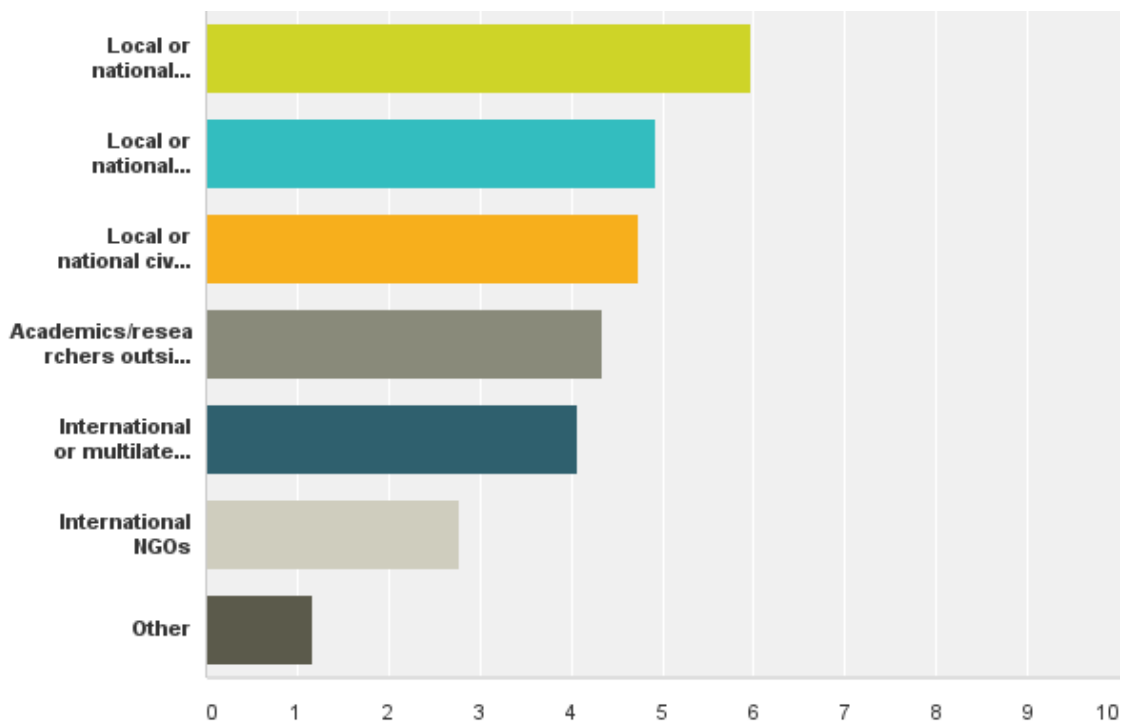
Answer Choices	Responses	
IDRC technical inputs/review	32.43%	12
Internal peer review mechanism	83.78%	31
External peer review of outputs	75.68%	28
Citation counting	13.51%	5
Case studies of research influence	16.22%	6
Other (please describe)	10.81%	4
Total Respondents: 37		

Q18: IDRC focuses its work in three areas: generating new knowledge, influencing policy and practice, and building research capacity. Could you please rank each of these activities in order of significance to your own project, from 1 (most important) to 3 (least important)?



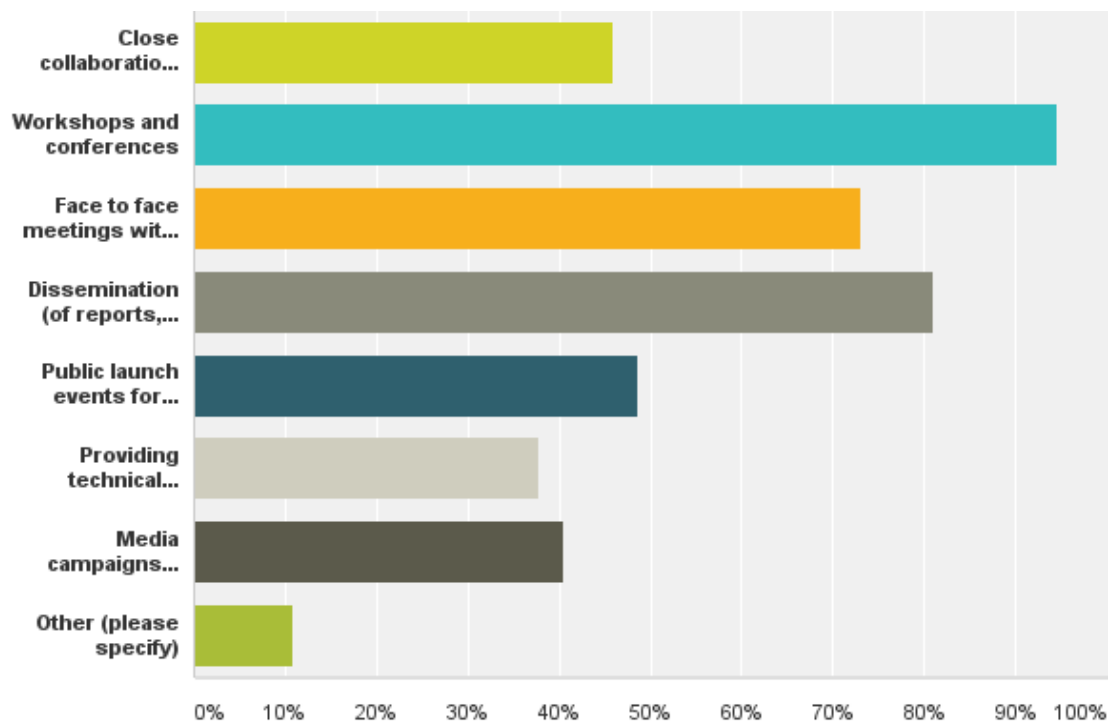
	1	2	3	Total	Score
Generating new knowledge	62.16% 23	21.62% 8	16.22% 6	37	2.46
Influencing policy and practice	29.73% 11	43.24% 16	27.03% 10	37	2.03
Building the capacities of researchers and organizations in the given issue area	8.11% 3	35.14% 13	56.76% 21	37	1.51

Q19: Who are the end users (or potential end users) of your research? Please rank in order of the most relevance for your project, from 1 (most important) to 7 (least important):



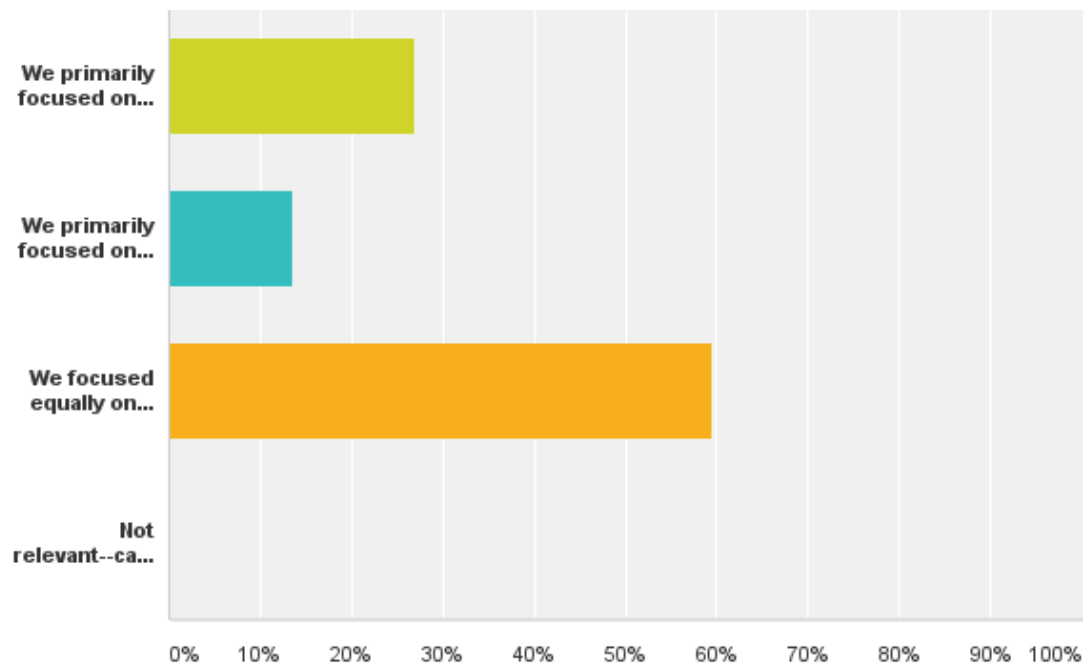
	1	2	3	4	5	6	7	Total	Score
Local or national policymakers	54.05% 20	13.51% 5	13.51% 5	16.22% 6	0.00% 0	2.70% 1	0.00% 0	37	5.97
Local or national academics/researchers	8.11% 3	35.14% 13	18.92% 7	21.62% 8	10.81% 4	5.41% 2	0.00% 0	37	4.92
Local or national civil society actors/organizations	10.81% 4	24.32% 9	32.43% 12	8.11% 3	10.81% 4	10.81% 4	2.70% 1	37	4.73
Academics/researchers outside of my country	10.81% 4	16.22% 6	13.51% 5	29.73% 11	16.22% 6	13.51% 5	0.00% 0	37	4.35
International or multilateral policymakers	13.51% 5	10.81% 4	13.51% 5	13.51% 5	29.73% 11	18.92% 7	0.00% 0	37	4.08
International NGOs	0.00% 0	0.00% 0	8.11% 3	10.81% 4	32.43% 12	48.65% 18	0.00% 0	37	2.78
Other	2.70% 1	0.00% 0	0.00% 0	0.00% 0	0.00% 0	0.00% 0	97.30% 36	37	1.16

Q20: Please select the key methods that you used to engage potential end users. Please select up to FIVE methods.



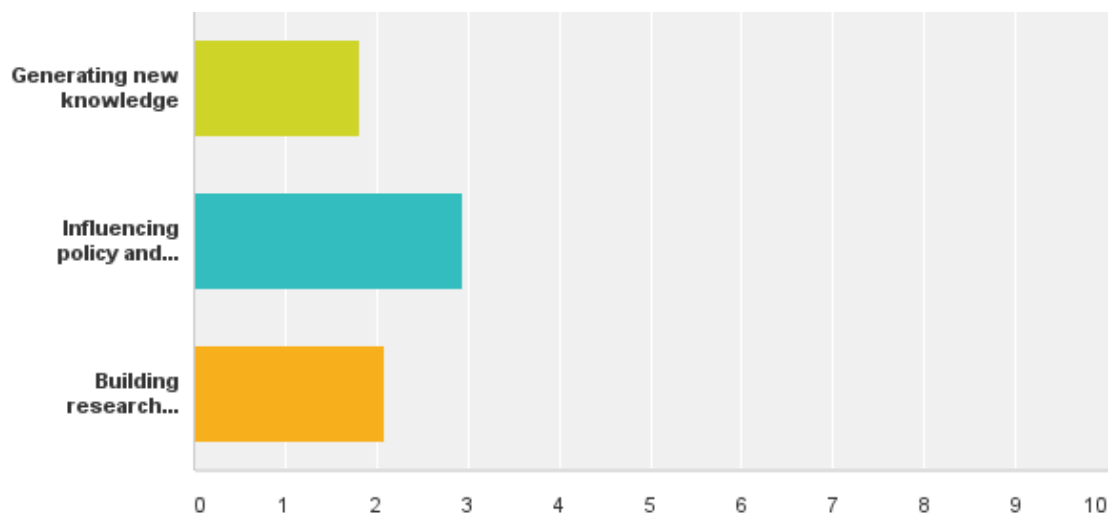
Answer Choices	Responses	
Close collaboration on the project's research design, drafts, strategy, etc.	45.95%	17
Workshops and conferences	94.59%	35
Face to face meetings with individuals or small groups	72.97%	27
Dissemination (of reports, etc.) through networks (web sites, email, etc.)	81.08%	30
Public launch events for specific outputs (books, reports, etc.)	48.65%	18
Providing technical assistance (comments on draft laws, policies, etc.)	37.84%	14
Media campaigns (op-eds, news coverage, etc.)	40.54%	15
Other (please specify)	10.81%	4
Total Respondents: 37		

Q22: Did your capacity strengthening focus primarily on strengthening the capacity of individual researchers, or on strengthening the capacity of research organizations (recognizing that there is often a link between these two). Please indicate the PRIMARY focus of your efforts:



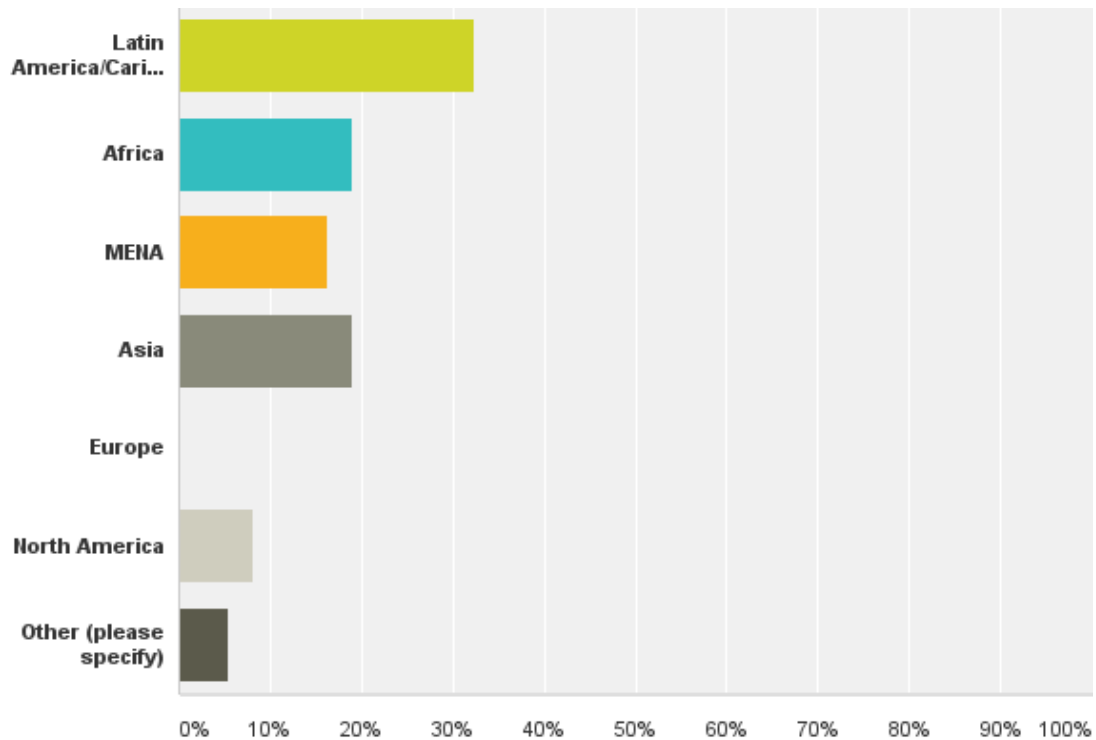
Answer Choices	Responses	
We primarily focused on individual researchers	27.03%	10
We primarily focused on organizational research capacity	13.51%	5
We focused equally on individual researchers and research organisations	59.46%	22
Not relevant--capacity building was not a focus of our work	0.00%	0
Total		37

Q24: Please indicate the areas where you have achieved results so far; also please give examples of up to two of the most significant outcomes in each area. Please keep in mind that you may not yet have results if you are in the early phases of your project, which is perfectly fine.



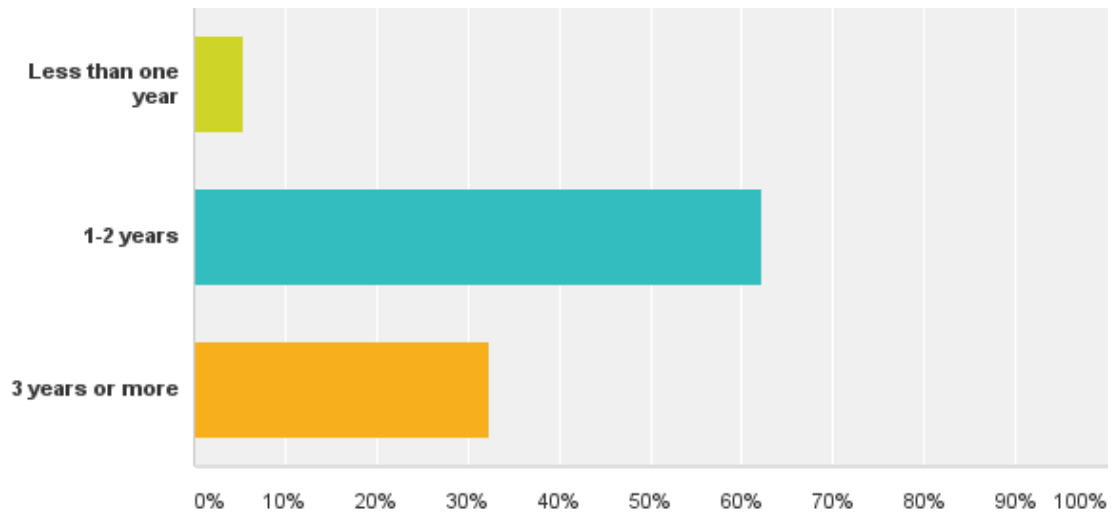
	1- Significant results	2-Good results	3- Satisfactory results	4- Disappointing results	5-No results	N/A-not relevant to our project	Total	Weighted Average
Generating new knowledge	48.65% 18	37.84% 14	5.41% 2	0.00% 0	8.11% 3	0.00% 0	37	1.81
Influencing policy and practice	10.81% 4	24.32% 9	40.54% 15	2.70% 1	18.92% 7	2.70% 1	37	2.94
Building research capacity	37.84% 14	27.03% 10	29.73% 11	0.00% 0	5.41% 2	0.00% 0	37	2.08

Q26: Which region are you located in?



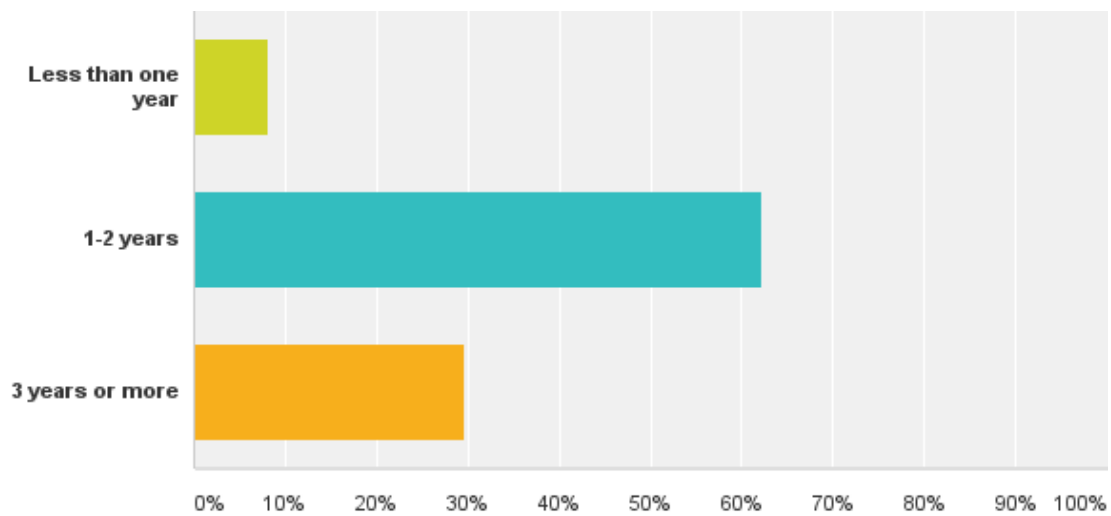
Answer Choices	Responses	
Latin America/Caribbean	32.43%	12
Africa	18.92%	7
MENA	16.22%	6
Asia	18.92%	7
Europe	0.00%	0
North America	8.11%	3
Other (please specify)	5.41%	2
Total		37

Q27: How many years has the project been active (or how many years was it active, if the project is completed?)



Answer Choices	Responses
Less than one year	5.41% 2
1-2 years	62.16% 23
3 years or more	32.43% 12
Total	37

Q28: How many years have you been with the project (or how many years were you with the project, if it is now completed)?



Answer Choices	Responses	
Less than one year	8.11%	3
1-2 years	62.16%	23
3 years or more	29.73%	11
Total		37

Annex I: Terms of Reference

Terms of reference for the external program review

The terms of reference for the panelists asks that they judge the performance (i.e., strengths/weaknesses) of the program.³ For the questions below, the panel is asked to provide a broad analysis of the performance area and to give an overall ranking using the terms and performance rating rubrics.

The panel examines performance in terms of the following:

1. How did the program perform in implementing its prospectus?

Validate the coherence, effectiveness, and appropriateness⁴ of:

- i. The choices made and priorities set by the program to adopt and/or evolve its strategies from what was outlined originally in the prospectus (the panel is not being asked to evaluate the original content of the prospectus that was approved by IDRC's Board of Governors).
- ii. Taking into account the context, and the risks and expectations involved, was the strategy adopted, adapted, and implemented in a way that was modest/ ambitious/balanced?
- iii. The strategic lessons the program drew from its experience.

2. Overall, was the quality of the research supported by the program acceptable?

Assess the main research outputs produced by a sample of completed projects in order to judge the overall research quality and the significance of the research findings to the field of study/research area. Take into account:

- i. Methodological and scientific standards;
- ii. The context in which the research was conducted and disseminated;
- iii. The intended purpose of the research;
- iv. Potential for application to policy and/or practice;
- v. Any other influential factors.⁵

3. To what extent are the program outcomes relevant and significant?

⁴ The review panel will define what exactly is meant by "appropriateness" for a given program working in a particular field and contexts. The definition of "appropriate" is influenced by factors such as: human and financial resources available for programming; strategic opportunities for scaling that might have presented themselves; and significant shifts in the substantive or thematic landscape.

⁵ Given the particular challenges of judging the quality of research for development, PSED will offer panelists a framework emerging from the research excellence strategic evaluation to better guide their assessment.

Verify the contributions of the outcomes reported in the final prospectus report according to grantees, research users, and other influential stakeholders. Take into account:

- i. The nature of the field of study;
- ii. The maturity of the program;
- iii. The financial/human resources available;
- iv. The research priorities and challenges in the contexts in which the program works;
- v. Any other influential factors.

Document any important outcomes (positive/negative, intended/unintended, emergent) that were not noted in the final prospectus report.⁶

4. What are the key issues for IDRC's Board of Governors and senior management?

IDRC's Board of Governors, the Centre's international governing body, meets three times per year to set IDRC's strategic direction, oversee the Centre's activities, and approve budgets. Only a small number of significant issues for consideration should be noted in this section. These issues may particularly relate to niche, relevance, and gaps in outcomes that could have been expected, whether problems stemmed from theory or implementation failures, issues for future programming, and emerging research or program performance questions. Any issues the panel raises in this section must be linked to the findings and have evidence to substantiate them. If the panel wishes to bring any issues (particularly significant operational issues) to the attention of management or the program that fall outside of the scope of the external program review, they should write a management memorandum in a separate annex.

Timeline and milestones for the external program review

To conduct the review, the panelists will be allotted up to 25 days each (75 days in total) over a five to six month period. See [Annex 1](#) for an indicative timeline of the external program review process based on a 10-month cycle that lists major milestones and culminates in the presentation of the external program review to IDRC's Board of Governors.

As the manager of the external program reviews, PSED ensures consistency in the timing and high-level approach of the external review panels. Broadly, all panels will follow the approach and meet the milestones described below.

- i. **Initial document review and introductory teleconference:** After contracts are signed, each panelist receives a targeted set of key documents from the evaluation manager. Included in this set of documents will be IDRC's Strategic Plan, the program's prospectus, the Research Quality plus Assessment Instrument, and the

⁶ The panelists should be assured that there is valid, believable evidence to support the claim of an outcome. They need not necessarily verify every outcome presented in the final prospectus report. The demands for verification should be higher for a claim of a major outcome than a claim of a moderate outcome (Patton, UFE 2008, 498-499). The panel does not need to search for additional outcomes to those reported by the program. If, however, the panel identifies one or more additional outcomes during its verification process and considers these of sufficient significance, they may include these in the report

Scope of Work of external reviews at IDRC. The evaluation manager will coordinate a teleconference to explain and walk the panelists through this initial stage-setting group of documents.

- ii. **Two-day orientation and planning workshop:** The evaluation manager will coordinate a 2-day workshop at IDRC headquarters in Ottawa during which the panelists will meet one another, receive further orientation to the external review, meet users of the reviews, and plan their evaluation. This workshop also provides an opportunity for the program to present the Final Prospectus Report. Following the presentation, the panel can raise initial questions and ensure members understand the report and ideas therein. The panel may later select some or all of the program team as part of their sample of key informants/survey respondents. *This meeting is not a replacement for data gathering from the program team.* During the workshop, the panel may ask to meet a second time with program staff to ask additional clarification (e.g., an overview of the project portfolio) as they develop their workplan.
- iii. **Workplan:** Early on, the panel develops a workplan dividing the various tasks to be performed by the individual panelists and an evaluation framework setting out definitions and criteria for assessment. This workplan is submitted to the evaluation manager for approval.
- iv. **Document review, data collection, and analysis:** As this is a review that looks beyond individual projects to focus on how the program as a whole is performing, the panel draws from both program- and project-level data sources and seeks to triangulate data from multiple sources. The panel determines the most appropriate framework and methods to answer the questions in the terms of reference. This usually includes, but need not be limited to, document reviews, key informant interviews, bibliometric reviews, and surveys. For budgetary reasons, field work (i.e., travel to projects) cannot be supported..

Panelists are free to divide the tasks required to complete the work in whatever way they see fit. The evaluation manager can assist the panel in offering frameworks, discussing sampling strategies to assess research quality and outcomes, and guiding the panel in understanding IDRC and its evaluation needs.

Based on the outcomes outlined in the final prospectus report and in the dashboard the panel will devise a data collection and analysis strategy for the review. In the past, the outcomes to be verified have been divided between the panelists; however, task division decisions rests with the panel. Panelists must use the provided Research Quality + Framework when determining whether the quality of the research supported by the program was acceptable (Q2).

The panel may ask for additional documents and may identify further key informants. The panelists ensure that the perspectives of those affected by the research and those not directly involved in the projects are captured (for example, those of additional researchers and research users). A panelist may want further data on an outcome she or he considers important.

To preserve its independence, the panel, within the limits set by budget and timeframe, determines the nature and scope of data collection necessary to complete its work successfully. Field work (i.e., travel to projects) cannot be

supported by the IDRC. .

In order to ensure that there is no duplication between panelists' work, the evaluation manager will encourage members to establish a communications plan at the outset of the review. At minimum, the panel should arrange monthly teleconferences. Experience from past external program reviews indicates that panelists should expect heavier demands of time at the outset as they get to know one another and the program, define the evaluation framework and design, and divide the work.

Five-day draft findings meeting in Ottawa: This meeting is convened towards the end of the external review, after the panel has devoted three to four months to data collection and analysis. This meeting offers a chance for the panelists to work together in-person; and to share draft preliminary findings with the evaluation manager as well as representatives of the program being evaluated.

The evaluation manager will chair the presentation of draft findings to the program, during which the panel shares preliminary findings and obtains feedback. The primary purpose of this interaction is to request clarification and to catch and note any factual errors.

A sample agenda of the five-day meeting *could* include:

Day 1: Panelists work together to review their data and analysis, consolidate their findings, and prepare for the presentation of these findings first to the evaluation manager and then subsequently to program team. The panel may also meet with the program team to go over remaining questions and gather additional data. The evaluation manager will be available during this day for clarifications on any IDRC issues.

Day 2: The panel presents its draft findings to the evaluation manager and other PSED staff.

Day 3: The panel presents its draft findings to the program team and to the director of the program area. This represents an important opportunity for the panel to request clarifications and further factual information, and to catch and correct any factual errors.

Days 4 and 5: The panel further analyzes and discusses the findings and evidence amongst themselves to arrive at conclusions and draft the external program review report. The panel has the opportunity to partially draft its report (12-15 pages) during this face-to-face meeting, taking into account the documentation reviewed, the interviews, any other data collection, and the meetings with the program and evaluation manager.

- vi. External program review report preparation and presentation to program:** The panel submits a draft external program review report to the evaluation manager within two weeks from the presentation of the preliminary findings. *It should be noted that this draft report, and the subsequent final report, must include executive summaries not surpassing two pages.* The evaluation manager shares the report with the program, the director of the program area, and the vice-president of Programs.

The evaluation manager reviews the draft to ensure the terms of the contract have been fulfilled. The program and the director of the program area review the draft for factual errors and submit any errors to the evaluation manager. The evaluation manager prepares a consolidated response to the panelists on any outstanding issues and submits this consolidated response in a timely fashion to the panel. The panel takes these comments into

consideration in drafting the final 12-15 page report and writes a brief on how it has addressed comments (i.e., whether they were accepted or rejected).

Upon reception and review of the final external program review report, the program has an option of writing a memo capturing any agreement, disagreement, or concerns with the review. In the memo, the program can comment on how it intends to address the issues raised in the review. The program memo is sent to the director of the program area who weighs these considerations and who is responsible for constructing a management response to IDRC's Board of Governors.

PSED assesses the quality of the panel's external program review report and reports this information to Senior Management Committee and the Board of Governors. The Centre assesses the quality of evaluation reports based on the degree to which the report demonstrates that the evaluation has fulfilled the purpose for which it was conducted using four internationally-recognized program standards: utility, feasibility, accuracy, and propriety. This ensures that evaluations serve the information needs of intended users and are owned by stakeholders (utility); are realistic, prudent, diplomatic, and frugal (feasibility); reveal and convey technically adequate information about the features that determine worth or merit of the program being evaluated (accuracy); and are conducted legally, ethically, and with due regard to the welfare of those involved in the evaluation as well as those affected by its results (propriety).