

## Call for Proposals

# ETH4D Humanitarian Action Challenges

### 1. Background

Humanitarian organisations in general and the International Committee of the Red Cross (ICRC) in particular are facing immense challenges in the 21<sup>st</sup> century. In 2019, 216 million people needed humanitarian assistance in 69 countries. Extreme climate events, such as floods, storms and droughts, are on the rise, thereby increasing the vulnerability of people already suffering from conflict<sup>1</sup>. Therefore, ETH Zurich and EPFL are joining forces with the ICRC to explore innovative solutions to such crises.

The goal of the [ETH4D Humanitarian Action Challenges](#) is to support project-based research between ETH Zurich researchers, EPFL researchers and the ICRC to leverage science and technology for a greater impact of humanitarian action.

**ETH for Development (ETH4D)** is the managing office of this call at ETH Zurich. The aim of ETH4D is to develop innovative solutions that effectively address the challenges of the global population and to educate future change makers, who will work towards decreasing global poverty and inequality, as well as protecting our planet.

### 2. Definition of ETH4D Humanitarian Action Challenges

An ETH4D Humanitarian Action Challenge must be a clearly defined research question designed to increase the impact of humanitarian action or to enable humanitarian actors to address new and emerging challenges. This question must be related to (i) the research interests of an ETH research group and (ii) the current or future work of the ICRC.

The objective of ETH4D Humanitarian Action Challenges must be the development, testing, evaluation or implementation of an innovative product, policy or service – involving a technology (as part of the solution or as part of the research) that responds to a specific humanitarian challenge.

Examples include:

- Drones, infrared cameras and AI to detect landmines
- Privacy-enhancing facial recognition techniques for beneficiary recognition
- Cyber-security of humanitarian data flows
- Appropriate and low-cost protective equipment for health care workers

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<sup>1</sup> Global Humanitarian Overview 2020, UN-OCHA, 2020

- Thermostable rotavirus vaccine
- High-performance prosthetic foot at a low price point

Researchers submitting an application for the Humanitarian Action Challenges are strongly encouraged to review the [ICRC priority areas](#).

### 3. Eligibility

The team must consist of at least one main applicant from ETH who holds a PhD, and at least one partner from the ICRC. In addition, it is encouraged (but not mandatory) to have one partner from a low- or middle-income country and a partner from EPFL. Partners from the entire ETH Domain (PSI, WSL, Empa, and Eawag) and other humanitarian institutions are welcome to join as co-applicants. If the main applicant is not an ETH professor, a letter of commitment by the ETH host professor or head of the unit, indicating their financial contribution to the project, must accompany the proposal. ETH Zurich research groups which are not yet a member of ETH4D can also apply and will become a member if they are awarded a grant.<sup>2</sup> Principal Investigators (PIs) that have an ongoing research project funded by the Humanitarian Challenge Grant are welcome to submit another project. However, such a project must be innovative and not an extension of an ongoing project.

### 4. Funding

Project duration is between **6 and 24 months**.

**Humanitarian Challenge Grants are between CHF 50'000 and CHF 300'000.**

Funding **can cover** the following:

- The salaries of staff or consultants in low- or middle-income countries
- The salaries of research assistants, doctoral students and postdocs at ETH Domain
- Materials
- Project-related equipment costs
- Field expenses
- Workshops and conferences
- Travel
- Research dissemination
- Sub-contracting, which is limited to 10% of the total requested funding

In addition, maximum 30'000 CHF can be budgeted for ICRC staff time for participating in the research (this will not count towards the requested amount but will be funded separately). This means that the 25%

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<sup>2</sup> ETH4D membership is open to all professors at ETH. The membership fee until 2024 is 3kCHF for ETH professors.

matching funds (see below) only need to correspond to the requested amount **excluding** the requested funding for the ICRC staff time.

Funding from the grant **cannot be used** to pay any other salaries.

**The main applicant and potential co-applicants from the ETH domain (excluding EPFL) must provide matching funds corresponding to at least 25% of the requested grant.** Matching funds can come from third-parties<sup>3</sup> (budget template letter C) or professorship reserves (budget template letter B). Staff costs of doctoral students, post-docs and research assistants in Switzerland that are not funded by the grant count as matching funds. Any other salaries **cannot** count as matching funds. Matching funds by project partners have to be transferred to the ETH project account(s).

ETH4D will coordinate the financial management with only the Principal Investigator (PI) who submitted the proposal.

## 5. Timeline

Event	Date
Call opening	17 October 2022
Call deadline	6 February 2023 (17:00 CEST)
Eligibility check	Beginning of February 2023
Evaluation of proposals	February-March 2023
Final funding decision	April 2023
Notification to applicants	End of spring 2023
Start of the projects	Latest 3 month after the notification of the decision

## 6. Submission Procedure and Deadlines

Proposal submissions are possible once per year. The application deadline for the third call is on **6 February 2023** (17:00 CEST). All application documents must be written in English and submitted

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<sup>3</sup> It is the responsibility of the applicants to ensure that the proposed matching funds comply with the requirements for matching funds expressed in this document. This will be taken into consideration in the eligibility check of the applications.

electronically (in **one single PDF file**) on [this online application form](#). They must include the following elements, **in the following order**:

- Application form (using [this template](#)) containing:
  - Cover sheet
  - Abstract
  - 3-4 pages research narrative, including background and motivation, the research plan, implementation strategy and expected results.
- Bibliography
- Work packages and Milestones shown in a Gantt-Chart.
- Budget including matching funds (using [this template](#)).
- Letter(s) of support from the ICRC as well as from any other non-academic partner(s), clearly stating the question to be addressed in the project, its relevance to the organisation, and the contributions (both financial and staff time) the partner is willing to make to the project.
- CV of all involved partners (max. 2 pages per partner).

If a proposal is developed jointly with an EPFL research group, the same proposal must be submitted twice: to ETH and to EPFL. Only the budget details will differ. For the ETHZ grant submission, the budget must detail the grant asked by the ETHZ main applicant as well as the matching funds. For the EPFL grant submission, the budget must show the grant asked by the EPFL main applicant as well as the matching funds.

Please note that ETH Zurich strives to promote gender equality in scientific research. Gender must be consistently taken into account from the proposal development to the research and dissemination phase.

- Study teams should make an effort to be gender balanced.
- Applicants who plan to involve humans as research subjects (e.g., end-users, patients, or survey respondents) must consider gender roles in experimental design, data collection and analysis, and outcome interpretation. If they do not consider the gender dimension, they must briefly explain why.

If applicable, relevant ethical, legal and social considerations must be included in the proposal. The proposed research must adhere to the principles of research integrity valid at ETH Zurich.

Recipients of a grant whose research includes human subjects have to receive approval from the ETH Ethics Commission and submit the approval documents to ETH4D as soon as they receive approval and before starting field work (note: this only applies once projects have been selected for funding by ETH4D).

## 7. Evaluation and Selection

All proposals will first be evaluated by a **scientific committee** consisting of three academic members of ETH4D, an academic representative from EPFL, the Executive Director of ETH4D and a representative of the ICRC. The final decision of proposals to be funded will be made by the **steering committee** of the ETHZ-EPFL-ICRC partnership, which comprises two members of each organisation.

The evaluation criteria will be the following:

<b>Criterion 1: EXCELLENCE (weight 0.4)</b>
<b>Sub-criterion 1 – Quality and Innovation</b>
The project implies uniqueness and innovation and is embedded in a broader perspective
The results of the research have the potential to challenge the status quo and to be published in high-level international peer-review journals
<b>Criterion 2: RESEARCH IMPLEMENTATION (weight 0.2)</b>
<b>Sub-criterion 1 – Team qualifications and diversity</b>
The team members have relevant qualifications and experiences
The team members promote the participation and achievement from currently underrepresented groups in science and the country where the project will be implemented
<b>Sub-criterion 2 – Feasibility</b>
It is realistic to carry out the study and to deliver it within the given timeframe and with the requested resources
The work package and milestones are well defined and realistic, and includes measurable goals
<b>Criterion 3: IMPACT (weight 0.4)</b>
<b>Sub-criterion 1 – Relevance</b>
The project has the potential to address a pressing problem or challenge faced by people in humanitarian crises
The proposal includes clear arguments as to why the research project differs from and/or improves upon existing or similar efforts
The potential environmental impact of the technology/concept/project has been reflected on.
<b>Sub-criterion 2 – Applicability</b>
The results will actively inform operations of the partnering humanitarian actor and are explicit about how the humanitarian partner (and, potentially, other humanitarian organizations) will use the results of their research to inform practice
The project has a realistic long-term implementation plan

Applicants will be notified of the funding decision in March 2023. Projects must start on the first day of a month and **at the latest within three months of the notification of the decision.**

## 8. Deliverables

- Grantees are required to present their progress and discuss their open questions at a joint ETH4D-EPFL Humanitarian Tech Hub Seminar, which will take place once a year. During the seminar, they will also support other grantees' work in peer-to-peer learning sessions. Additionally, grantees are required to report on their progress during a one-on-one meeting after every 6 months.
- Grantees must submit a 2-page scientific report at the last quarter of each year during the project duration and a final report within three months of the completion of the project. The report must outline the research and other activities conducted with the grant money, the research results, and the planned next steps. A report template will be provided by ETH4D.
- Grant recipients shall also submit a financial report, which includes the relevant excerpts at the last quarter of each year during the project duration and a final report no later than three months after completing the project.
- In addition, recipients can choose **one** of the following deliverables, which has to be submitted/presented to the ETH4D Executive Office no later than three months after the grant period has ended:
  - A prototype of a new product or service
  - A short video that explains the project to a non-scientific audience
  - An article in the ETH Zukunftsblog (or other ETH outlet)
  - A policy brief that presents the findings to a non-scientific audience

An important aspect of ETH4D is to build bridges between science and society. The materials submitted will be made public on the ETH4D website and may be used for reporting and other outreach activities.

## 9. Terms of collaboration between partners of granted projects

Data exchanged within ETH4D programmes is generally not considered confidential information. A non-disclosure agreement should be signed before exchanging confidential data. An agreement between the ETHZ grantee and the project partner(s) must be signed within three months of the start of the project. Such an agreement will define the rights and obligations of the partners. It may allow the partners to use the results of the project for commercial and non-commercial purposes and will specify the relevant conditions. As an important note: ETHZ, EPFL and the ICRC have signed a framework contract, which defines the general principles of this collaboration.

If personally identifying information is used, exchanged, or collected in the framework of the research, the involved partners shall comply with applicable data protection laws and regulations, and shall establish a data management plan, including a data protection concept and appropriate data protection agreements in writing.

The projects must comply with the [KFPE principles](#).

All collaborations must follow [the Code of conduct for scientific cooperation of ETH Zurich \(RSETHZ 416\)](#) and the Guidelines concerning [Contracts in the Field of Research at ETH Zurich \(RSETHZ 440.31\)](#).



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## 10. Financial Administration

Due to financial and controlling procedures, the ETH Finance Desk will open two separate PSP elements, one with the funding from ETH4D and one with the matching funds from the professorships' research reserves (Forschungsreserven). In case there is third party funding as part of the matching fund, the professorship will be asked to open a third PSP element.

On all PSP-Elements related to this project, only expenses for this project should be booked according to the budget provided. Furthermore, grant funds cannot be used to cover retrospective expenses.

In the unexpected case, the professorship does not submit the deliverables (see point 7 above) in time, ETH Controlling will automatically retrieve 20% of the provided ETH4D grant from the professors' research reserves (Forschungsreserven) and transfer it back to ETH4D (Budgetverschiebung) when closing the PSP-elements.