Sida

Support to national research development

Edition 2008

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The Swedish Government Bill entitled "Shared responsibilities – Sweden's policy for global development" was passed by the Swedish Parliament in 2003. This Government Bill grasps the new opportunities provided by globalisation and strengthens Sweden's international efforts in support of the Millennium Development Goals which aspire to reduce poverty by half before 2015. The primary goal of the Swedish Policy for Global Development is to contribute to an environment supportive of poor people's own efforts to improve their quality of life. Two types of perspectives are essential to all activities: the perspectives of the poor and a rights perspective. This requires that interventions financed by Sida are scrutinised in relationship to their potential effects on poor people and the promotion of the UN conventions on human rights.

Sida regards poverty as context-dependent, with a multitude of causes. This calls for analysis in the preparation and implementation of interventions. National capacity for high-quality analyses is consequently part of the conditions of ownership within development cooperation.

Research cooperation can assist a country in building up a knowledge foundation, including analytical capacity which is one of the enabling conditions for the alleviation of poverty. Such a foundation is essential for the ownership of analyses that underpin strategies for development and poverty reduction.

In the Paris Declaration on Aid Effectiveness 2005[1], Sweden and other countries agreed to make development cooperation more effective with increased consideration for partner countries' priorities, systems and procedures. Swedish research cooperation thus aspires to align with national plans and structures for

1. www.oecd.org, search under Departments, DAC, Aid Effectiveness

research, and to coordinate research support in collaboration with other donors. In line with this, Sida will direct resources to national and university/institutional capacity in partner countries for the negotiation of conditions for support from Sida as well as from other funders and development agencies.

The Paris Declaration has furthermore accelerated efforts among partner countries and donors to work together to improve management for results. A focus on results is important for ownership, credibility, accountability to internal and external actors, internal learning by all parties involved in a programme and for use as information for decision makers. On request from the Swedish Government, Sida has developed a strategy for increased results orientation within research cooperation. This states that, as a donor organisation, Sida must be clear about the results that its contributions are intended to achieve. Intended results should be unambiguously formulated in agreements, and continuously reviewed in dialogue with partners. The cooperation partner and Sida should know if intended results are actually achieved, and reporting on results should be clearly described and transparent.
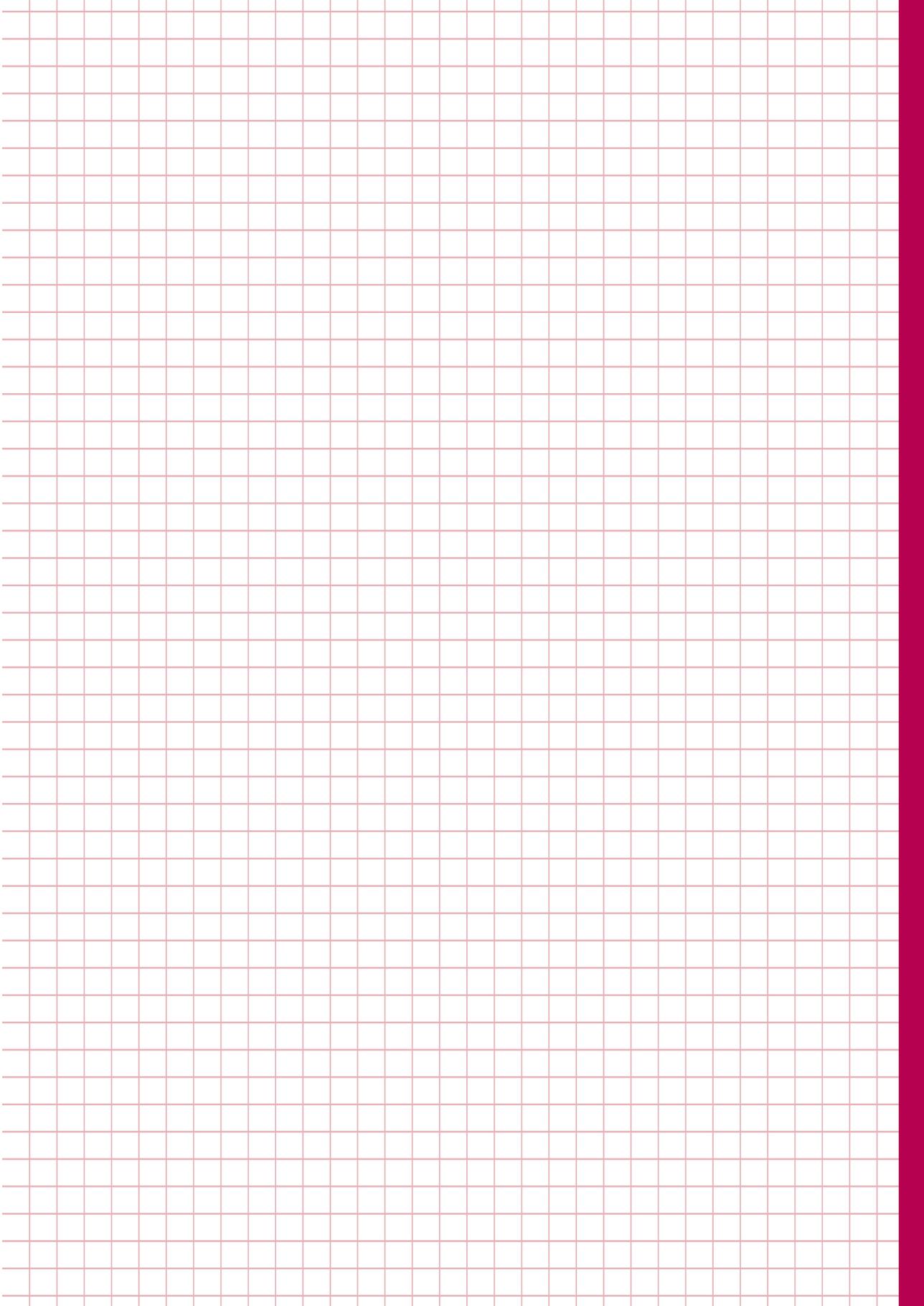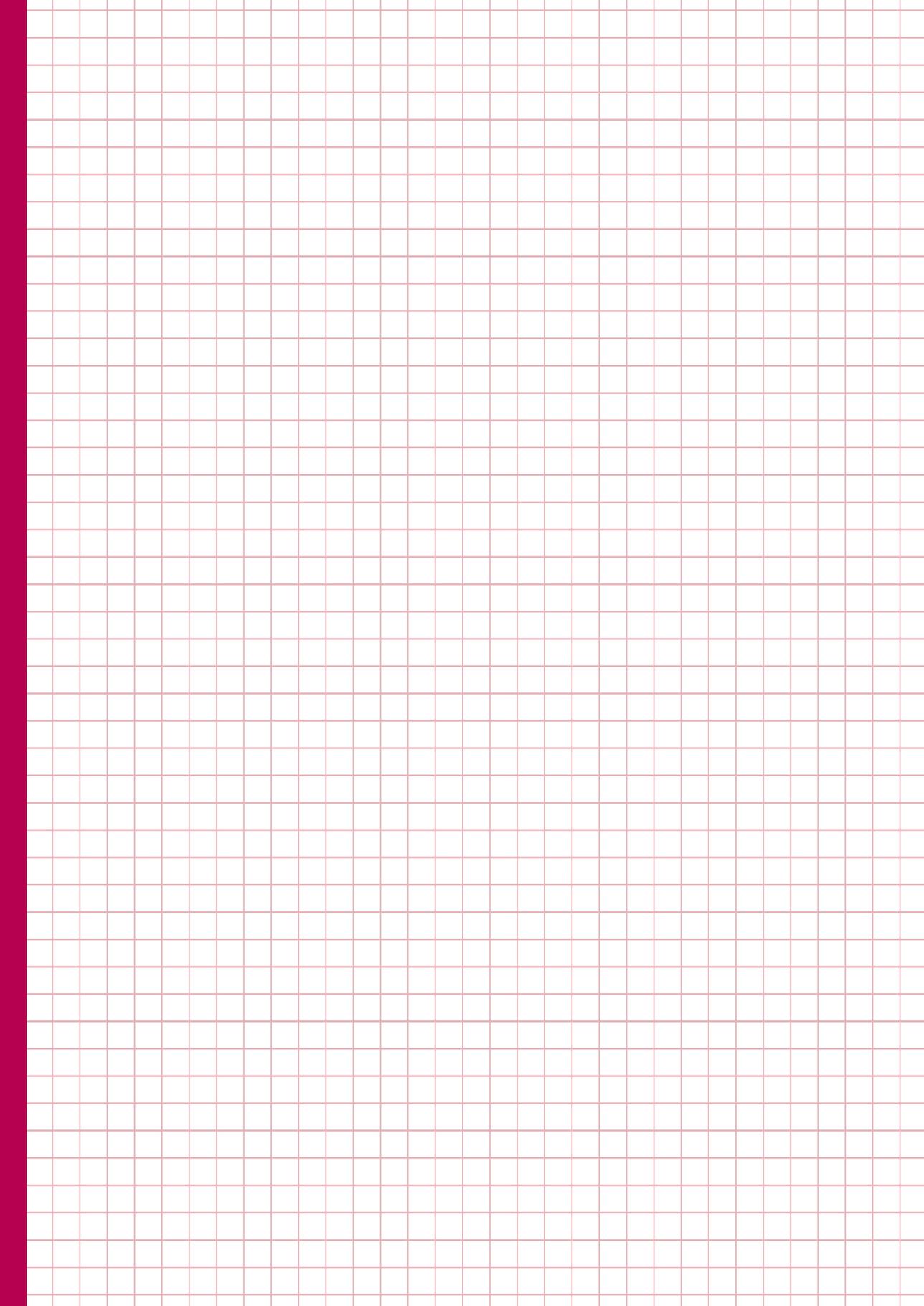
Sida support to national research systems

1

National research capacity is not only vital to a nation, it also enables the country to share and contribute to the stock of global public goods. With research capacity built up in at least one university in each low-income country, it is possible to adapt the higher education curricula to the country's needs as articulated in its development strategies. Research-based curricula would, at the same time, bring in relevant international knowledge and encompass local perspectives.

Each country has its own system for supply of knowledge. Acknowledging this and, through analysis of its own previous research support modalities and those of others, Sida has chosen to support the fundamentals of research capacity in a holistic manner through the type of activity that will make a valuable contribution regardless of future changes in the system. A focus on *strengthening of public universities*, as the primary bodies for research and research training, provides a good foundation for the development of knowledge, human resources and experience of knowledge strategies on a larger scale. In countries with weak university systems, strategies which concentrate resources to one public university, rather than diluting it to many universities, will be encouraged. The point of departure is that each country should have *at least one public research university* that could cater for the needs of the country and eventually become a resource for the creation of a more extended university system, and for the development of national innovation systems.

The concept of Sida's policy for research capacity development in respect of target levels is shown in Figure 1. In any given environment there is capacity in the form of a) individuals/professionals b) organisational units c) organisations d) systems of organisations and d) institutional frameworks. The three categories of Sida support to research capacity building are shown to the right.

Figure 1. Elements of national research systems
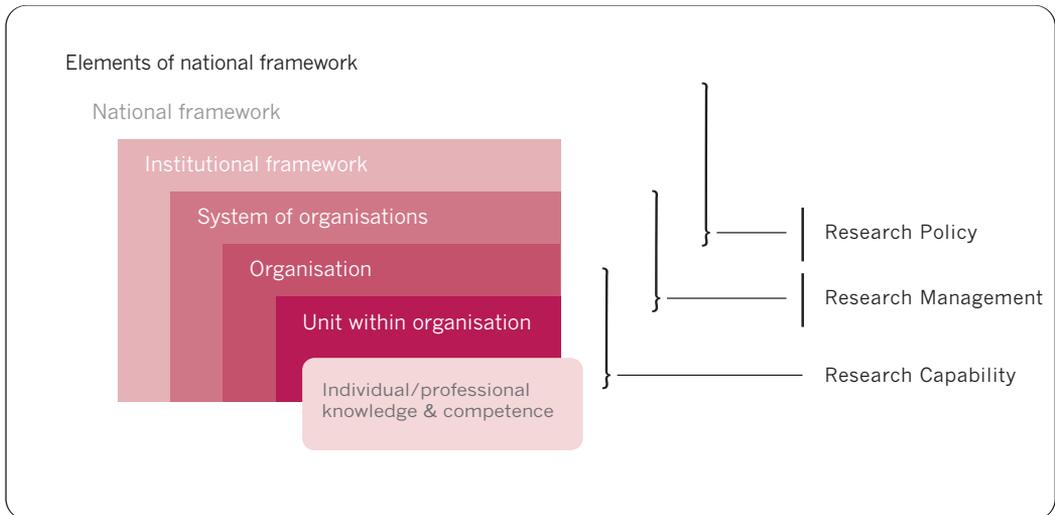
Research collaboration between partner country institutions and external institutions is primarily directed at Swedish universities with aims that include the creation of conditions for long-term scientific relationships between Sweden and low-income countries. Research collaboration between institutions in the form of south-south collaboration may also be supported.

1.1. Research policies and strategies

Sida strives to design its support in line with national policies and strategies. When a *national research policy* is formulated, it takes into consideration the contextual analysis, it reviews the institutional framework, it sets up a system of organisations and it defines the role of each organisation and how they relate to the system, institutional framework and context. Sida is open to assisting national and regional efforts to develop research policies and strategies for science, technology and innovation. Ideally, such national research policies indicate where allocation of financial resources will have most strategic impact, and thus which organisations should be supported. The emphasis throughout Sida support is on ownership exercised by the cooperating partner or by the national authority in charge of research, science and technology and innovation.

Sida support to individual universities or research organisations should be in line with institutional research policies and strategies, if such have been developed. Universities/institutions may also request support for development of such documents.

1.2. Research management

Research management refers to support to efforts aimed at strengthening management and management tools at national, university, faculty or departmental level. This area should be established and strengthened in order to provide services for the research environment and, in the execution of research, safeguard the values of its research policy working to create credibility, accountability and transparency in academic, as well as in administrative, procedures. In line with this, Sida may suppport national research councils.

Sida envisages that university/institution research management will be mandated to identify methods of facilitating research throughout the entire university. This requires close collaboration between a number of units within the university, such as the University Library with its key role of providing scientific information to researchers, directorates/schools of postgraduate studies, units for procurement of equipment and goods, units for maintenance of scientific equipment, human resources units, planning units, the Bursar's Office, legal units, quality assurance units etc.

In the context of support to university/institution research management, Sida may support assistance to common facilities and infrastructures for research e.g. ICT infrastructures, digitalisation of libraries providing access to scientific information, laboratories or scientific equipment. In addition, Sida may support local scholarship programmes, mainly with the purposes of facilitating the creation of a pool for recruitment of university staff and research students. Furthermore, Sida may support university and faculty research grant schemes. In order to assist in the establishment of an institutional framework for research management, Sida may support the university/institution in the establishment of links to society through policies for interaction with industry and production, where Intellectual Property Rights are a vital issue.

The gravity of the HIV/AIDS pandemic makes it impossible to ignore in the perspective of the management of a university. University staff and students are vulnerable to infection with serious consequences for themselves, teaching and research, as well as potential discriminatory practices. This makes it imperative for universities to establish HIV/AIDS policies that encompass the inclusion of HIV/AIDS in curricula. Sida may support the development of such policies.

1.3. Research capability

The building of solid *research capability* requires the development of an environment that is conducive to research. This includes training of individual researchers, research supervisors and

research coordinators in a holistic fashion, as well as investment in the facilities necessary for performing research. A strong research environment should lead to the involvement of a critical mass of researchers, facilitate the mobility and exchange of lecturer and post-doctoral student/fellows with other universities, manage to attract funds for research projects and research training from different sources, undertake training at different levels (including PhD, Masters, undergraduate and short training courses), and link up with stakeholders in society. Sida may support activities aimed at building up strong research environments based on priorities in line with each university's strategic planning.

In emerging research environments where the major part of the staff is at the early stages of their academic careers, external research collaboration is a must. Sweden has chosen to contribute through the mode of research training known as the *"sandwich model"*, which shows a better alignment with university strategies than ordinary scholarship programmes as the latter tend to detach the student from the home university for several years. In the sandwich training model, research students are recruited to PhD training primarily in Sweden. Research students maintain their position at their home university, define their research project in that context and spend periods at Swedish universities/institutions for coursework, analysis and write up. A Swedish supervisor collaborates with a supervisor from the home university. Groups of students may be admitted within the same programme. Supervisors from both sides make exchange visits and follow up the students closely.

Sida may facilitate for Swedish supervisors to assist in setting up local research courses so that more students are able to benefit. For courses of a multi-disciplinary nature, senior staff from several faculties at the university could also contribute.

In cases where a university/institution has developed supervisory capacity, Sida may support collaborative supervision in order to strengthen national capacity for graduation at PhD level. Research courses are set up locally. Exchange visits are still carried out, but for specific project purposes or for the purpose of exposing the PhD students to other research environments.
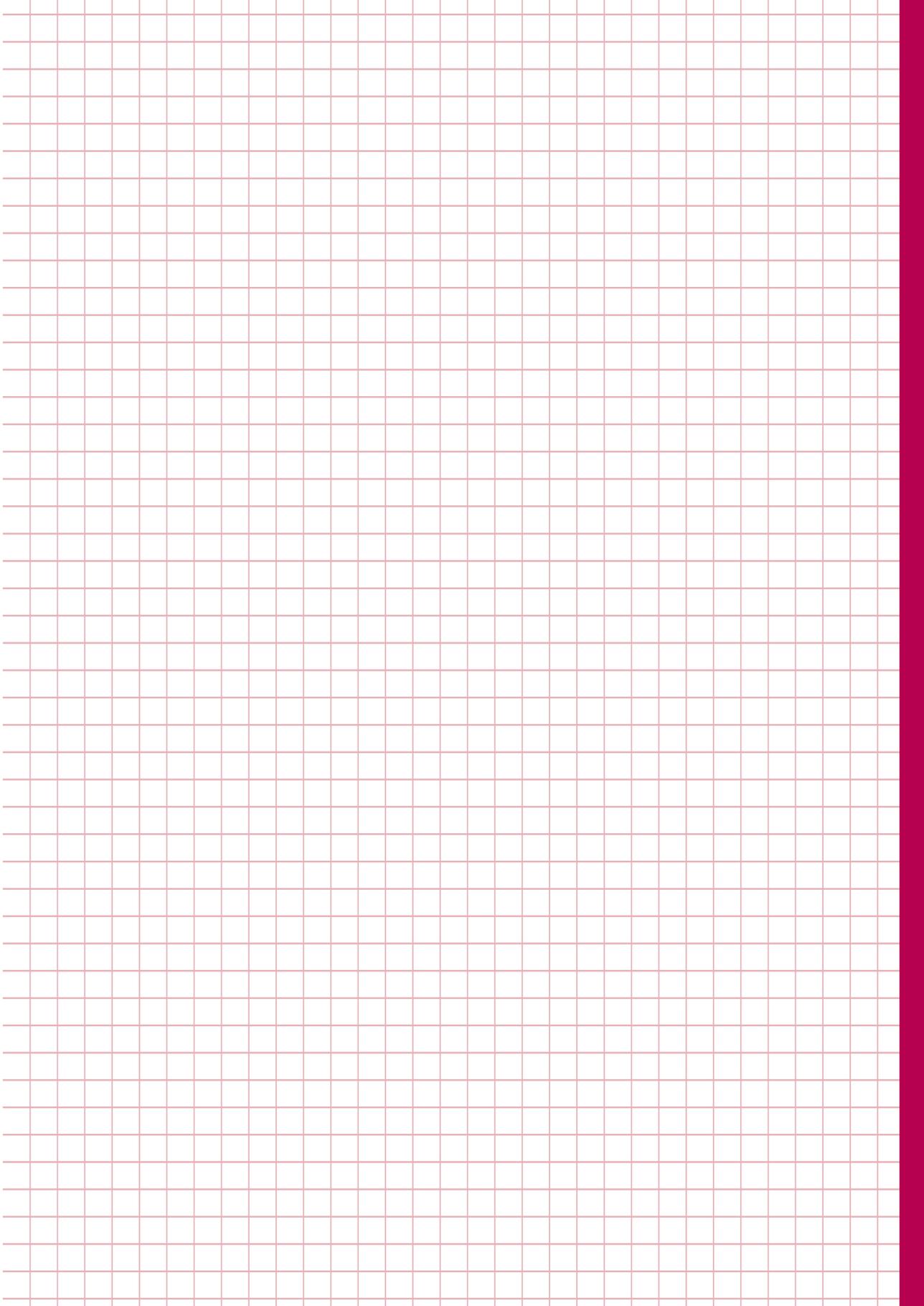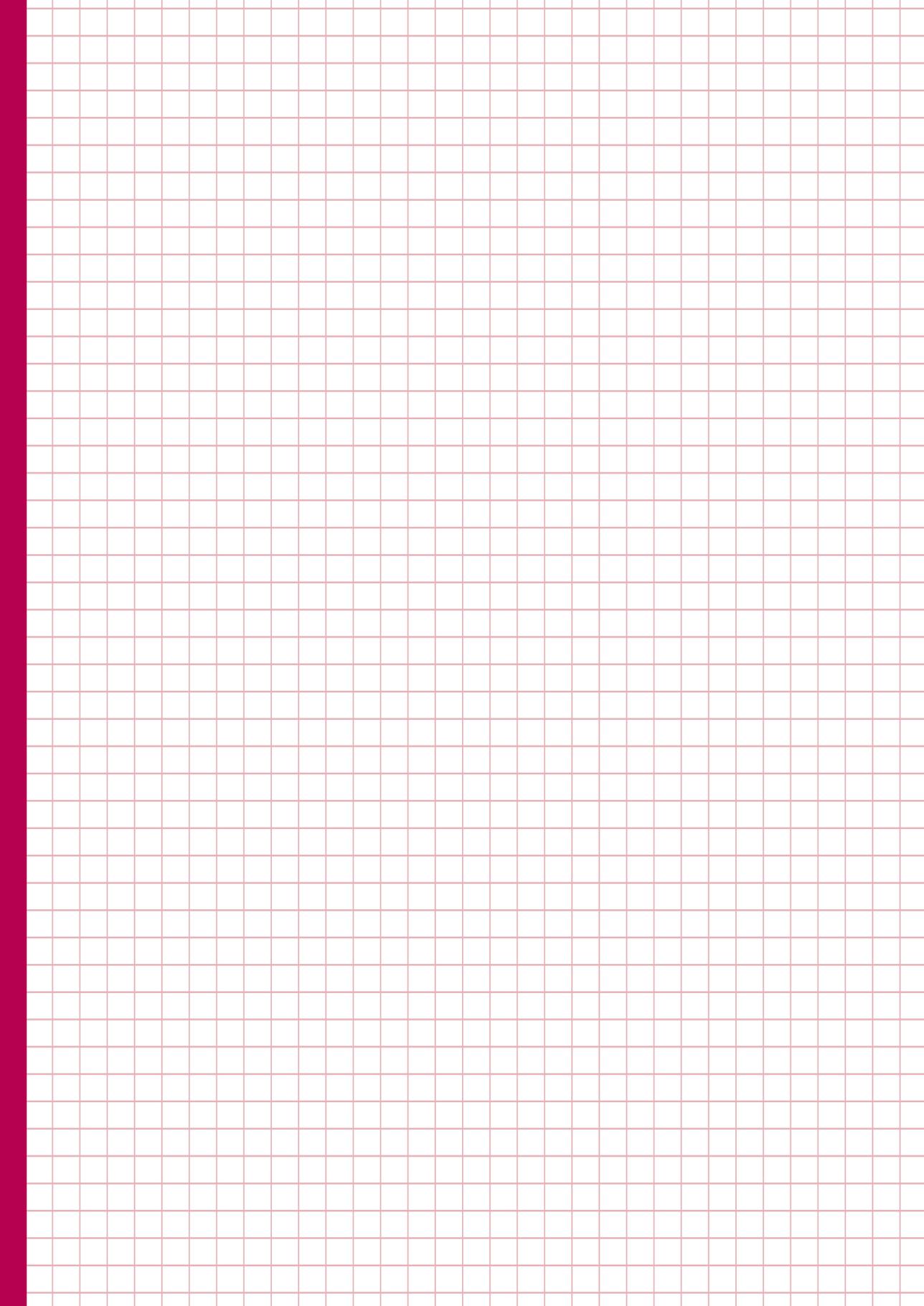
Proposal

The main channel for support to strengthened research capacity at the national level is bilateral research cooperation. The decision to initiate research cooperation in a country is negotiated with partner countries as part of Swedish cooperation strategies and is based on an overall assessment of policies, structures, organisation of research, financing modalities and dialogue with key institutions in the country.

Who can apply?

Assistance is offered to institutions (universities, research institutes, research councils, ministries etc.) that aim to develop systems for research within the national framework. Hence proposals for different types of support should be submitted within the overall programme for research cooperation negotiated between Sida and the cooperating partner institution.

In order to apply for support, the individual institution must receive an invitation from Sida to submit a proposal for support to develop institutional research capacity. The invitation letter provides information on the agreement period, budget framework and deadline for submission of proposal.

What can be applied for?

Funds may be granted for:
- Research policies and strategies (see Section 2.2.)
- Research management and research infrastructure (see Section 2.3.)
- Research projects and research training (see Section 2.4.)

Sida's research support is not intended for scholarships to individuals.

Figure 2. Sida support to research development, with examples of what may be applied for at national or university level

	National Level	University Level
Research policies and strategies	National policies for research, science, technology and innovation	University or faculty research policies and strategies
Research management	National research council	University or faculty research funds; Research management reform; Coordination
Research capabilities and research infrastructure	Access to electronic library resources (coordinated by a university)	PhD programmes; Master programmes; Research collaboration; Library operations; ICT infrastructure; Central labratories
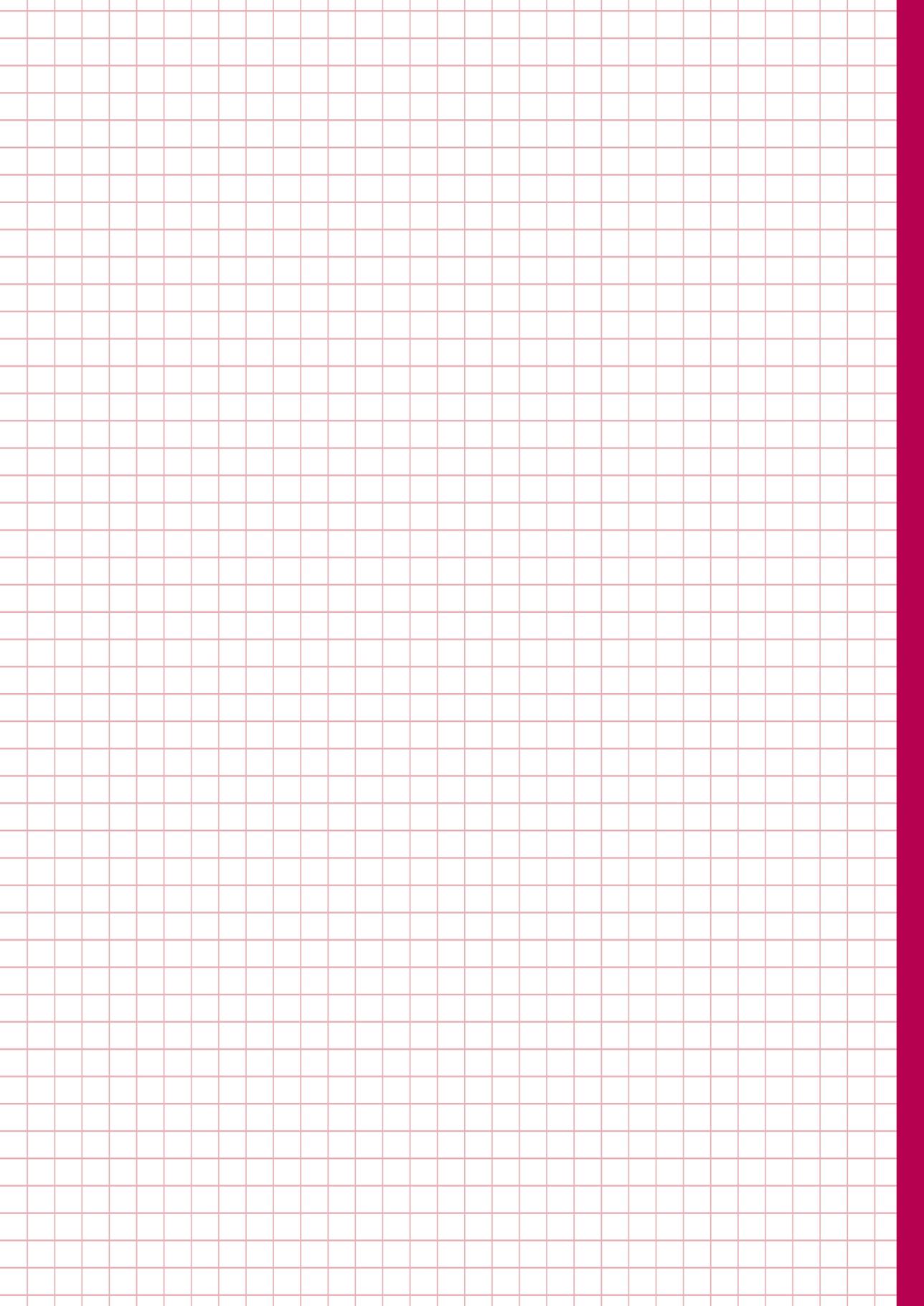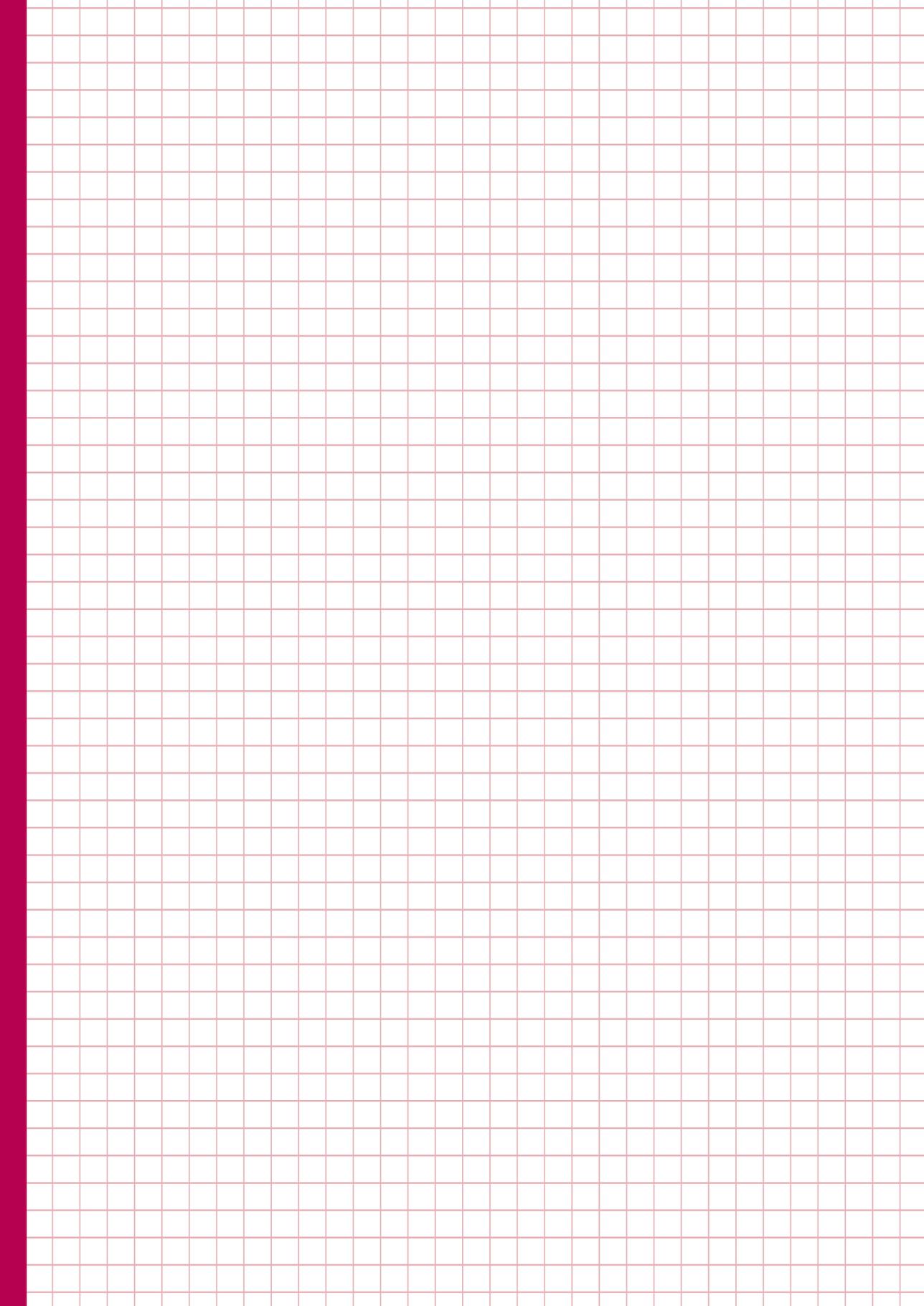
How to apply – structure of overall programme proposal

2

The overall programme proposal should be a strategic document which describes the context of the university/institution, and how the different sub-programme and project areas chosen relate and contribute to the institutional strategy for research. The programme proposal should not exceed 15 pages (appendices not included).

Figure 3. Structure of overall programme proposal
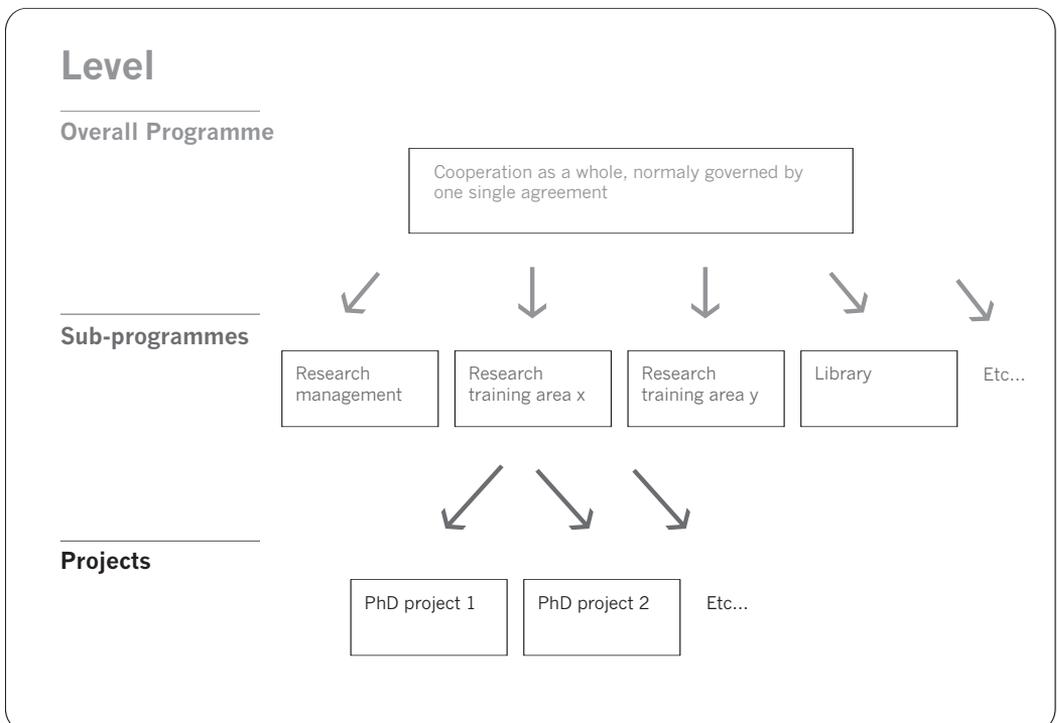
The overall programme proposal should be structured as shown in Figure 3. and apply the following outline:

I. TITLE OF THE PROGRAMME

II. NAME AND CONTACT INFORMATION OF COOPERATING AND COLLABORATING PARTNERS

III. SUMMARY OF PROGRAMME PROPOSAL

This should not exceed one page and must include the objective of the programme, a summary of the proposal and the total amount applied for in SEK.

IV. BACKGROUND

Including a description of a) national context and issues of poverty and development, b) an overview of the national research system, c) the university/institution strategy, d) the long term (10–20 year) perspective for research at the university/institution outlining how the current proposal fits into this and e) overall internal and external funding for research at the university/institution.

V. PREVIOUS EXPERIENCE AND RESULTS (IF APPLICABLE)

An account of previous experience of research cooperation, achievements and lessons learned.

VI. RELEVANT POLICIES

Including gender equality, sexual harassment, HIV/AIDS, environmental impact assessment, anti-corruption etc.

VII. EXPECTED RESULTS OF THE PROPOSED PROGRAMME

The outcome(s) expected to be achieved for the programme as a whole by the end of the proposed programme period should be clearly stated in the text. Furthermore, a logframe[2] should be attached to the proposal as an appendix. The logframe should include the defined results at impact, outcome and output level. In the logframe, indicators, data source and method of analysis, and assumptions and risks should be identified for each result. Baseline and targets of the results should be identified. The main activities that will be conducted to achieve the results should be included. The level of detail of the logframe should be agreed upon with Sida during the preparation of the proposal. Considering that the logframe will be used as a reference to measure progress throughout the agreement period, it is important that it is understood and supported by all involved.

2. Also called logical framework, or results matrix. See "logframe" and "results-based management" in the glossary.

VIII. RELEVANCE AND SPECIFICATION

Describe the relevance of the programme in relationship to issues of poverty and development (for example Poverty Reduction Strategies, PRS or National Development Plans, NDP, other national policies and strategies as well as the need for new knowledge to serve societal needs). Describe the relevance of creating national research capacity in relationship to PRS and NDP or other national policies and strategies.

IX. FEASIBILITY ASPECTS in relationship to time frame and available resources, e.g. human, financial, infrastructure, intellectual property rights, etc.

X. SUSTAINABILITY ASPECTS in relationship to human and financial resources, including financial contributions from government and other funding agencies.

XI. COST-EFFICIENCY (compared to other alternatives)

XII. RISKS AND RISK MANAGEMENT

XIII. BUDGET SUMMARY

XIV. APPENDICES

Sub-programme proposals including individual projects, result matrix, policies, etc.

2.1. Structure of sub-programme proposals

Sub-programme proposals, in some cases containing several projects, are part of the overall programme proposal and should be attached as an appendix. Each programme should include:

I.   Title of sub-programme

II.   Name of programme coordinator and collaborating coordinator

III.   Summary of proposal

IV.   Achievements and lessons learned (if applicable)

V.   Individual group research projects including activity plans (if applicable)

VI.   Individual PhD projects including activity plans (if applicable, see Section 2.4.1.)

VII.   Plans for dissemination/communication of research results

VIII. Budget and budget specification (see Section 2.5.)

2.2. Research policy and strategies

Support may be provided for development of research policies and for the establishment of systems for monitoring of current research. This may include e.g. mapping the research landscape, forming and strengthening arenas for research policy debate and evaluation, and analysis of research policies and practices. The activities mentioned are part of the process that will lead to the identification and definition of research priorities for a country/university. Funds may also be requested for the implementation of the policy e.g. a strategy containing a clearly defined time frame and concrete activities to be carried out, including socialisation efforts and general acceptance of the research policy.

2.3. Research management and research infrastructure

2.3.1. National research funds and councils

Priority setting and general resource allocation for research and higher education are generally carried out at national level. Mechanisms for allocating competitive grants to individual researchers and research groups based on scientific criteria and relevance are important. Support may be provided to develop national and/or regional research councils for this purpose. Proposals must include detailed plans for development of administrative mechanisms, as well as proper procedures for calls for proposals, selection and assessment of research applications.

2.3.2. University research funds

A university or faculty-based research fund may be applied for and used to allocate competitive grants for research projects. It is imperative that recent PhD graduates are specifically targeted for these grants with the purpose of providing opportunities to develop their research profile at their home institution. Funds may be open or directed to a specific thematic area, or may be used for multidisciplinary research. Proposals must include detailed plans for development of administrative mechanisms, as well as proper procedures for calls for proposals, selection and assessment of research applications.

A research fund may also be supported by Sida with the purpose of financing researchers' participation in conferences to present papers/posters and short-term training abroad for PhD graduates in pursuit of academic careers. Such training should not exceed six months. Application and selection procedures must be developed for this purpose.

2.3.3. Research dissemination

Support may be granted for activities aimed at disseminating knowledge and results of research carried out in the country. Such activities may be directed both to the scientific community or society, and may include seminars, expos, conferences, congresses, publication of scientific journals and more popular forms of presenting research results.

2.3.4. Financial/administrative management

Funds may be used for strengthening of the financial and administrative management of the cooperating partner university/institution. It may be support to introduce an electronic financial management system, or training of administrative or financial staff.

2.3.5. Information and communication technology

The information and communication technology (ICT) support aims at creating ICT infrastructure at universities, developing ICT competence and developing various e-services for researchers. Assistance may be provided to the development of a university-wide ICT policy and master plan (including a strategy for self-sustained maintenance), procurement and installation of networks and training of technicians and end-users. All ICT proposals must include strategies for sustaining the requested infrastructure and for financing of running costs.

2.3.6. Library support

Library support may include assistance to institutions in their development of scientific information centres. This includes support to annual subscriptions to electronic scientific journals through, for example, the International Network for the Availability of Scientific Publications, INASP (www.inasp.info). INASP can assist universities/institutions in low-income countries to negotiate favourable prices for digitalised scientific information spanning all disciplines. Sida's support to such subscriptions is time-limited. Complementary support for training of library staff, training and services for end users (both within and outside the institution) as well as other outreach activities may also be included.

Sida anticipates that libraries in countries will establish consortia which will take over the cost of journal subscriptions, thus budgets should reflect this shift.

2.3.7. Laboratory facilities and scientific infrastructure

Support to laboratories may be granted for developing central core laboratories to be used by researchers/research groups at

the university. Examples of such activities include development of biomedical laboratories, a Geographical Information Systems (GIS) centre, and a Computer Aided Design (CAD) laboratory.

Support may also be provided for procurement of expensive scientific equipment i.e. costing more than SEK 1 million. Development of regulations and routines for use of equipment should be established. Funds for training of staff to oversee its maintenance may be requested.

Proposals must include an inventory of equipment available at the cooperating partner university/institution, as well as a description of research areas/projects that will benefit. A strategy for self-sustained, long-term maintenance must be provided.

2.4. Research projects and research training
2.4.1. Outline for research projects and PhD projects

I.   Title

II.   Name and affiliation of student and supervisors

III.   Abstract

IV.   Achievements (if applicable)

V.   Description of the project, study plan (signed) including courses, field work, anticipated numbers of months in home country, and in Sweden, (planned) year of registration, planned year of graduation and annual targets (percentage of PhD studies planned for com ple tion per year).

VI.   Detailed schedule for activities in year 1

VII.   Ethical approval (if applicable, see Section 2.4.1.1.)

VIII.   Budget and budget specification (see Section 2.5.)

IX.   CV of supervisors and PhD candidates

2.4.1.1. Ethical considerations and ethical approval of research projects

Ethical aspects must be considered throughout all research projects. Researchers must do everything in their power to ensure that their research does not harm the safety, dignity or privacy of the people with whom they conduct research. Medical or health research must be formally approved in accordance with instructions stated in agreements.

2.4.2. PhD training

The cooperating partner university/institution should have, or develop procedures for transparent and non-discriminatory procedures for selection of PhD candidates.

2.4.2.1. International/regional training using the sandwich model

Sida provides support to PhD training through the sandwich model. This means that the training period is divided between time spent in the PhD candidate's home country and in the collaborating country. Field research and collection of data is typically carried out in the home country. The portion of time spent in the collaborating country is dedicated to taking courses, conducting laboratory experiments and writing up the thesis and papers for publication. One major expectation and intention of the sandwich model is that the successful candidate will continue to stay at her/his home university after graduation, researching in an environment with a much improved infrastructure.

The main advantage of the sandwich model is that candidates are kept abreast of problems and solutions in their environment and geographical region.

Support can be provided for a period corresponding to four years of full time training/research, during which the candidates travel between the two countries. A principal supervisor and a co-supervisor, one at the collaborating university/institution and the other at the cooperating partner university/institution provide supervision.

The cooperating partner university/institution should outline rules and plans that allow the PhD candidate to dedicate time to research, with other obligations minimised while at the home university.

Language training for PhD students

As proficiency in English often is a requirement to access doctoral studies in many countries, it is also required that PhD students in the sandwich programmes are fluent in spoken and written English. Funds may be requested to improve students' language skills if deemed necessary.

Requirements for PhD training using sandwich model
When studies are carried out in collaboration with a Swedish university/institution:
– The candidate should hold a first degree in the discipline of his/her research
– The candidate should be a lecturer at the cooperating university
– The candidate should be proficient in the English language (tested by TOEFL or equivalent).
 In some cases it is necessary to begin with language training prior to the PhD training (see above)
– The candidate should be selected by the cooperating partner university/institution in agreement with the collaborating university/institution. The university where the PhD candidate is to be registered bears the final responsibility for the initial approval of the candidate
– A study plan for the PhD student should be signed by cooperating and collaborating partners

Curriculum vitae
The proposal should include a CV (maximum 2 pages) of each of the PhD candidates, supervisors and other collaborators reflecting their educational and employment experience. A publications list should be presented. The name, gender and age of each person should be indicated.

2.4.2.2. Local PhD training
Assistance can be provided for local PhD programmes at the cooperating partner university/institution. The programme may include the development of necessary structures and procedures to establish a local PhD programme, curriculum development, supervisor training and PhD training. Such programmes may be developed in cooperation with Swedish/international researchers or universities.

2.4.3. Research-based Masters programmes
As with all other forms of support, the development of research-based masters programmes is primarily aimed at university/institutional research capacity development and should be developed in accordance with selected research priorities and aligned to the universities' research policies and strategies.

2.4.3.1. Establishment of local/regional Masters programmes
In some specific cases assistance may be provided to establish research-based Masters degree programmes at the cooperating partner university/institution. The purpose of these programmes are manifold: a) It is a step toward reproducing local research capacity in the absence of local PhD programmes; b) It improves the students' opportunities to obtain international scholarships for

doctoral studies and c) Students graduating from these programmes form a source for recruitment of highly-qualified staff for the universities and other key positions in society. Subsequently, they will be able to contribute to increased analytical capacity and development of national research.

These programmes may be created in collaboration with Swedish/international universities and could include guest lecturers from other countries, curriculum development, provision of courses and supervision, support to fieldwork for research students, equipment and exchange of study visits, participation in national and international conferences, seminars and workshops. Support may also be provided for printing and dissemination of publications. Appropriate, specialised Masters programmes may be developed in conjunction with, and be open to, other institutions in the region.

2.4.3.2. Participation in international/regional Masters programmes
When local programmes are not available, support may be provided for students to participate in Masters programmes in Sweden.

2.4.4. Post doctoral training
The support to post doctoral training such as locally-organised research methodology training, writing applications, scientific writing, supervisor training, exchange visits etc., is encouraged in order to strengthen the capacity of returning PhD graduates.

In universities where an appreciable number of PhDs are working, emphasis will be placed on enhancing local capacity for supervision of PhD candidates in collaboration with Swedish/international partners.

2.5. Budget and budget specification for cooperating university/institution
All sub-programme proposals must include a work plan and budget. The budget should be based on the project plan and on the university/institution's chart of accounts. *Budget items not specified in the work plan will not be financed by Sida.* Budgets should reflect the entire programme/project and include the costs for the collaborating partner universities /institutions. All sub-programmes/projects within the cooperating partner university/institution must use the same format for budgeting.

All project budgets should be summed up and include the budget for the cooperating partner institution, the collaborating partner universities/institutes and the budget for subsistence allowance while staff are in Sweden. Costs that may be financed by Sida include:

EQUIPMENT

Equipment necessary for the project as outlined in the project plan and budget for the project.

Expensive equipment (over SEK 1 million) as outlined in the proposal for research infrastructure (see Section 2.3.7.).

CONSUMABLES

Cost of consumables, e.g. chemicals, plastics, analysis kits, use of shared equipment, literature, publications, page fee when printing in international journals, etc.

MAINTENANCE

Cost of maintenance of equipment, spare parts and training of technical staff. Long- term maintenance plans should be described.

ALLOWANCES AND PER DIEM

Allowances and per diem for individuals from the cooperating partner university/institution should be in accordance with regulations at the cooperating partner university/institution.

Allowances and per diem for persons from the collaborating university/institution should be in accordance with regulations at the collaborating university/institution.

FIELDWORK

Costs for local allowances and local travel should be in accordance with documented regulations at the cooperating partner university/institution.

TRAVEL ABROAD

Only economy class fares are eligible. Sida will finance travel costs for participants connected to the project/programme only, e.g. students, local supervisors and technical staff. Travel costs to Sweden for coordinators, university management and others may be funded upon invitation by Sida.

OVERHEADS

Use of funds for overheads is to be negotiated between Sida and the cooperating partner university/institution but should be in line with the established norms of the university/institution. It must be possible for the auditor to trace the use of these funds.

A budget item for unforeseen expenditure may be used. This item should not exceed 10 per cent of the project budget and is intended to cover increased costs for activities within the agreed project plan.

ANNUAL REVIEW MEETINGS

Costs for annual review meetings should be included in the overall programme budget. This also applies to provision for annual review meetings held in Sweden.

AUDITS

Annual external audits of the programmes are stipulated. Costs for annual external audits should be included in the overall programme budget.

STUDENTS' SUBSISTENCE ALLOWANCES

Students' subsistence allowances while in Sweden may be paid through an arrangement with the Swedish Institute (SI)[3].The total budget for subsistence allowance for PhD students is SEK 10 000 per student per month and includes the cost of accommodation. When subsistence allowance is to be paid through SI, a separate budget item should be used (see further Section 3.3.1.).

Students' allowances in countries other than Sweden should be based on the grants provided to students in that local context and should be supported by formal documentation stating the prevailing rules.

Insurance

When allowances are paid through the Swedish Institute, insurance covering the time period in Sweden is automatically included; otherwise insurance costs must be included in the budget for the collaborating institution.

2.6. Budget and budget specification for collaborating university/institution

The budget for collaborating university/institution should be negotiated between the parties, confirmed and signed by both the cooperating partner and the collaborating partner and be included in the submitted project budget. A sum of SEK 250 000 per student per year is considered as a standard/yardstick.

3. The Swedish Institute, SI is a government agency in Sweden, responsible for the dissemination of knowledge about Sweden abroad and organising exchanges with other countries in the areas of culture, education, research and public life in general. In this capacity, the SI has gained extensive experience in the management of student allowances in a systematic fashion.

SEK 250 000 per student per year is included in the total amount.

FOR SUPERVISOR(S) IN SWEDEN: (APPROX. SEK 200 000)

- 2 months' salary including social security fees and over heads[4] (approx. SEK 175 000)

- 1–2 visits per year to cooperating partner university/ institution (approx. SEK 25 000)

FOR THE STUDENT WHILE IN SWEDEN: (APPROX. SEK 50 000)

- Office/laboratory space for student

- Chemicals and consumables

- Access to computer with Internet connection

- Library services

- Telephone in the office, photocopies

- Books, computer programmes

- Insurance, if not paid by the Swedish Institute

- Participation in conferences and seminars for presentation of research results

- Page fee when printing in international journals

- Cost for thesis printing and defence of thesis

Allowances and per diem

Allowances and per diem for individuals from the collaborating university/institution should be in accordance with regulations at the collaborating university/institution.

Costs for coordinators in Sweden

Remuneration for coordination between several Swedish units and/or universities in Sweden may include salaries and travel. The cooperating partner university/institution must negotiate the budget for coordination with the collaborating university/ institution and Sida. The budget for coordination should be included in the overall budget.

The costs for an annual external audit should be included in the overall budget.

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4. Overhead for Swedish institutions is governed by the regulations in the document "Agreement on Cost Reimbursement", dated 15th June 2004. For further information, see www.sida.se /Working with Sida /Universities and Sida.

Audits

Costs for annual audits should be included in the budget. These may be carried out by internal or external audits.

2.7. Sida's assessment and managment of proposals submitted

Sida assesses the proposal using the following criteria:

Scientific quality by sending all individual research and research training projects/programmes for scientific peer review.

Relevance in relationship to the national/university research priorities and in relationship to national development plans.

Effectiveness and cost-efficiency by evaluating whether the objectives are likely to be achieved and if the proposed programme/method is cost-effective.

Feasibility by assessing whether the practical preconditions for successful implementation are in place.

Sustainability by assessing whether ownership is properly addressed and if there will continue to be impact after the cessation of Sida support.

Coordination by assessing strengths and weaknesses in the interaction between the cooperating partner, stakeholders and development partners including Sida.

Coherence of the different elements in the result matrix which will provide the basis for monitoring and evaluation of the programme.

Risk and risk management by assessing internal and/or external risks and proposed measures to avoid or reduce these risks.

Assessment by the Sida Research Committee and approval by Sida

The research advisor at Sida responsible for the country concerned produces a memorandum on the proposed support. This memorandum includes a detailed assessment document as an appendix, which directly responds to the proposal and indicates what is approved and what is not. This document is scrutinised by the Sida Research Committee to safeguard scientific quality and quality of research capacity development.

Furthermore, during the assessment process Sida will safeguard development aspects such as compliance the overarching

goal of alleviating poverty, with the Swedish cooperation strategy with the particular partner country and the Paris Declaration. Sida assesses if appropriate procedures are set up for management and monitoring of the programme. If the proposal is approved for funding by Sida, an agreement between Sida and the cooperating partner is concluded.

Implementation

III
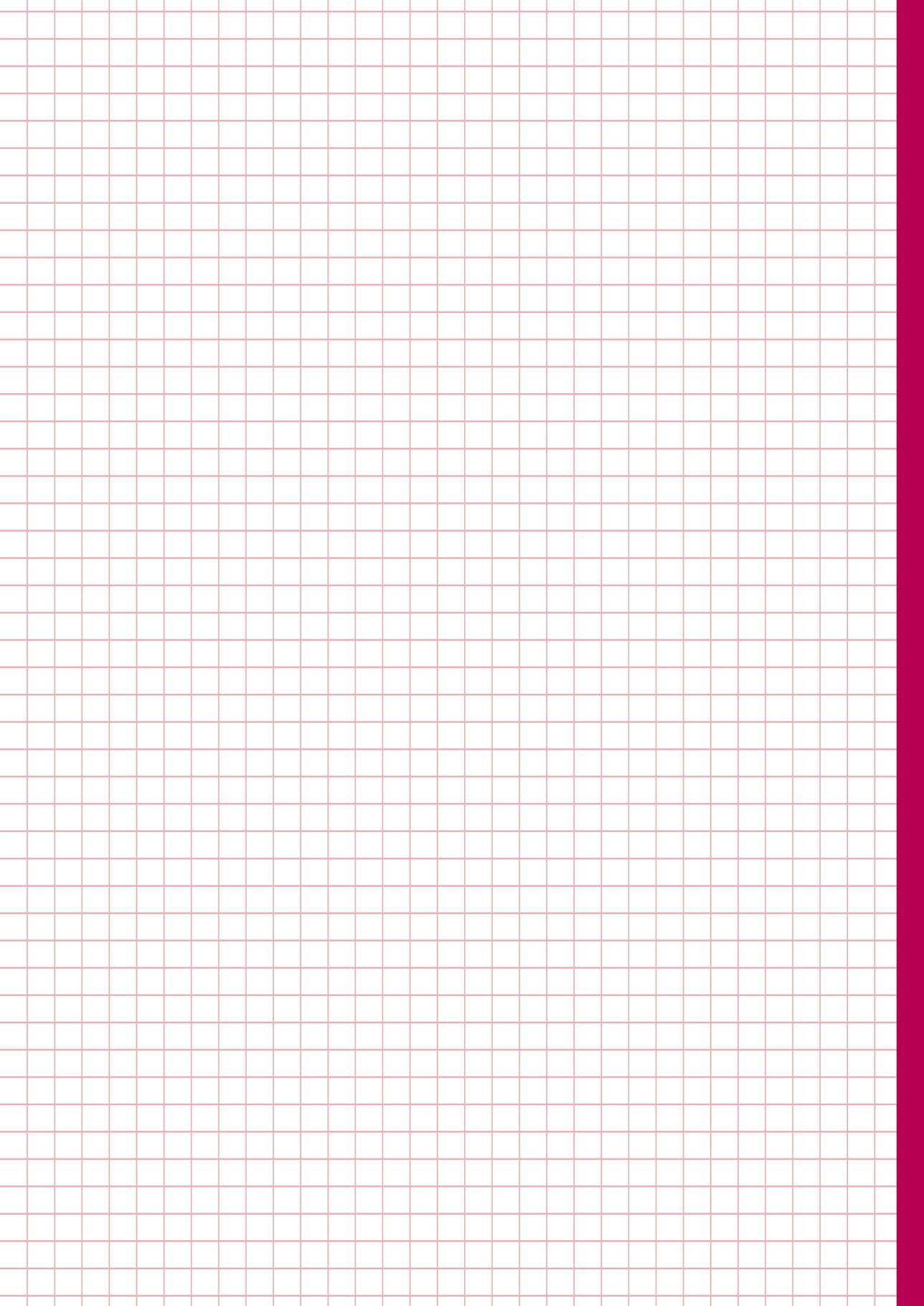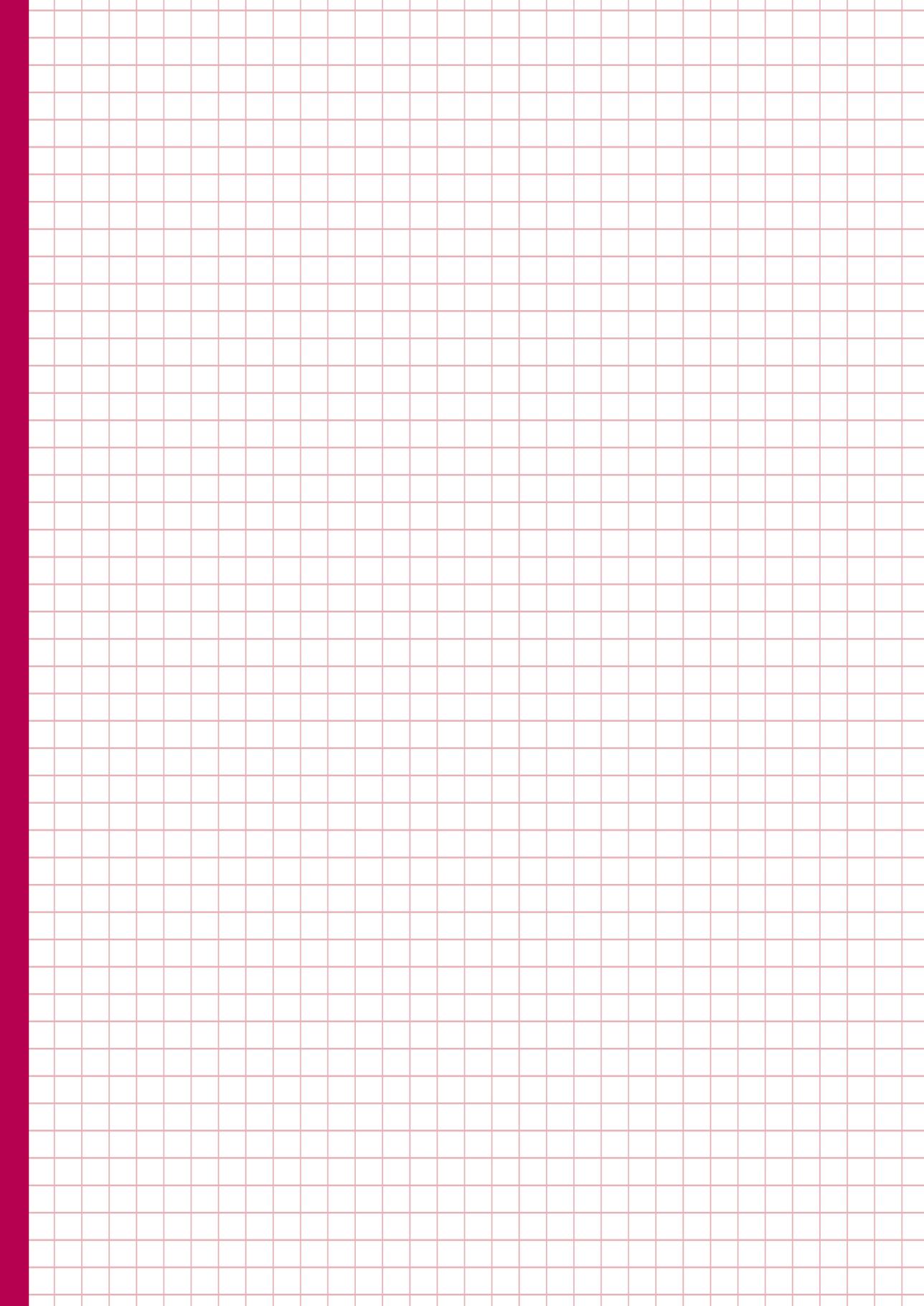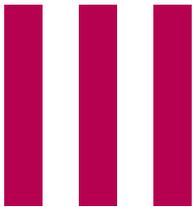
General on agreements

3

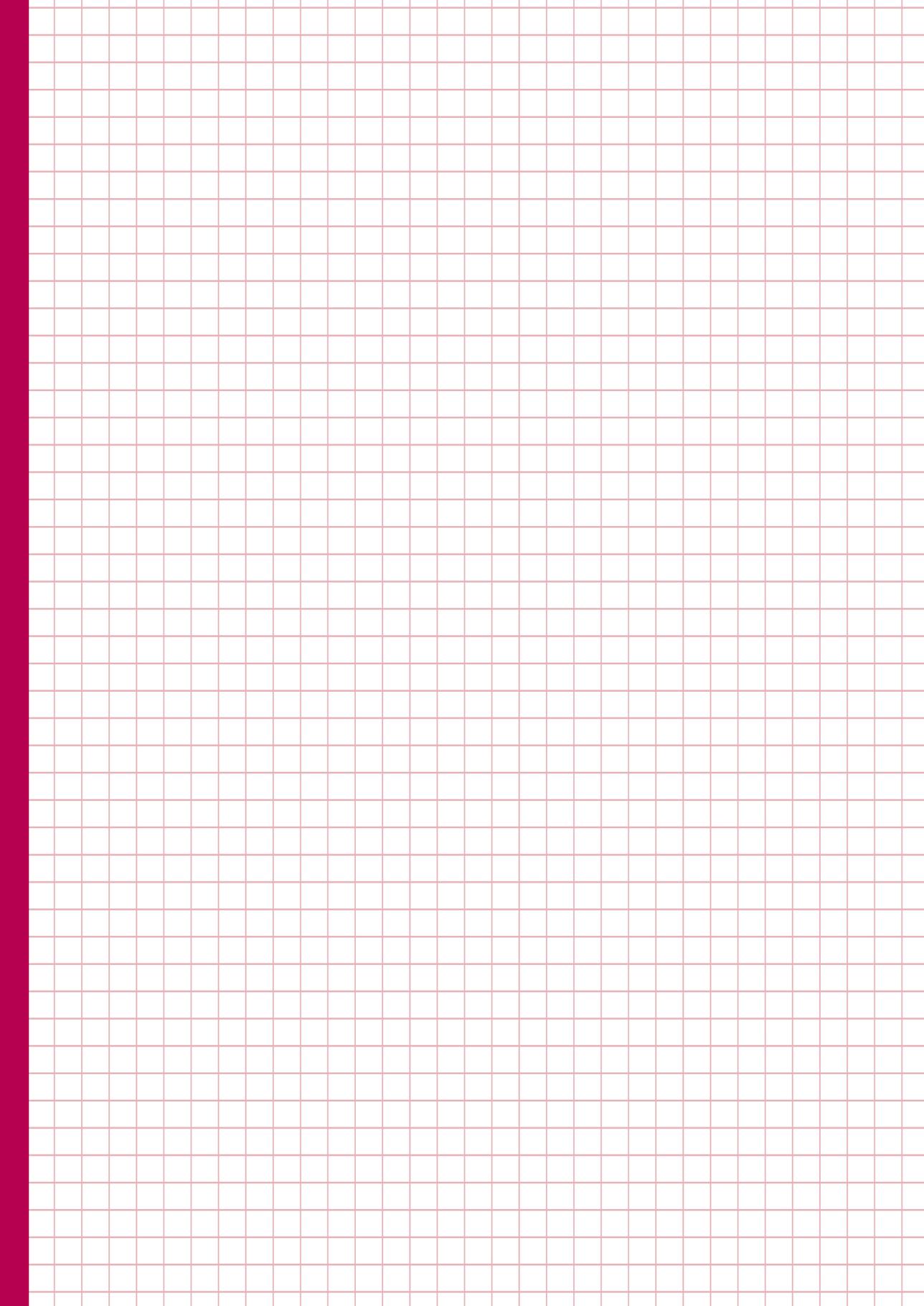The implementation of the programme is governed by the agreement signed by both parties. The agreement is legally binding. The agreement, with its enclosures including Sida's assessment of the proposal, is the basis and framework of the cooperation.

3.1. Responsibilities
3.1.1. Responsibility of cooperating partner

The responsibility for the implementation of the agreement lies with the cooperating partner's signatory of the agreement.

3.1.1.1. Role of overall programme and sub-programme coordinators

Schemes for programme coordination may be designed in different ways with different cooperating partners. The management of the cooperating partner institution assigns a unit or an individual staff member as coordinator of the programme and/or sub-programmes.

The overall programme coordinator is responsible for coordination of the implementation, including continuous planning and monitoring of the overall programme. As such, he/she is the primary contact person for Sida as well as the collaborating partner.

Sub-programme coordinators, e.g. principal researchers/thesis supervisors, deans of faculties, directors of research institutes or heads of departments, are responsible for close planning, implementation and monitoring of sub-programmes and research training as defined in the project documents. The sub-programme coordinators must comply with the instructions of the overall programme coordinator. The responsibilities of the sub-programme coordinator should be specified in a terms of reference.

Deviations from plans and budgets should be discussed at an early stage with overall programme coordinators and with the collaborating institutions. When major changes are considered, the overall programme coordinator must contact Sida for approval. All approved changes should be agreed in writing, preferably in the agreed minutes of an annual planning or review meeting.

3.1.2. Responsibility of collaborating partner

The collaborating partner's signatory of the agreement is responsible for the institution's compliance with the agreement.

3.1.2.1. Role of coordinator

The collaborating partners' coordinators should fulfil the obligations of the agreement between Sida and the collaborating partner. The collaborating partner should assist the cooperating partner to achieve the expected results of the programme. This includes safeguarding the scientific quality of activities within the cooperation and contributing to improved research management at the cooperating institution. The responsibilities of the coordinator should be specified in a terms of reference.

3.1.2.2. Role of supervisor

In addition to the general obligations of the supervisors, they should assist their research students in practical matters including arrangement of accommodation.

3.1.3. Responsibility of the Swedish Institute

If so agreed between Sida and the cooperating partner, the Swedish Institute will administer the payment of research students' subsistence allowances and insurance, according to an agreement between Sida and the Swedish Institute. Detailed information regarding subsistence allowances and insurance is provided in Section 3.3.1.

3.1.4. Sida's role and responsibility

Sida is responsible for the obligations stated in agreements with the parties.

In addition Sida will be a discussion partner and advisor on the development of national research systems. This may include, but not be limited to, advice on development of research policies, institutional reforms, institutional capacity building and provision of access to recent developments in national research and innovation systems in other countries. Moreover, Sida is committed to adhere to the principles of the Paris Declaration on Aid Effectiveness. This entails, for example, aligning with cooperating partners' policies and strategies

for research, as far as possible accepting cooperating partners' own reporting formats and actively coordinating with other donors and research funders.

3.2. Disbursement of funds

Funds from Sida to the cooperating partner will be disbursed to bank accounts specific to Sida funds only. Funds are disbursed to the designated coordinating office of the cooperating partner university/institution for further distribution to sub-programmes.

The first disbursement will be made after signing of the agreement and upon receipt of a written disbursement request, signed by an authorised person. Subsequent disbursements are regulated in the agreement.

The request for disbursement of funds must contain information as specified in the agreement, and be sent in original to the relevant research officer at Sida.

If in accordance with the agreement governing the cooperation, Sida will contract the collaborating university/institutions in Sweden on behalf of the cooperating institution after the signing of the agreement with the cooperating partner university/institution. Sida will disburse funds directly to the collaborating university/institution or consultants contracted by Sida.

3.3. Visits to Sweden

Research cooperation may include visits to Sweden by cooperating researchers, programme coordinators, university managers, government officials etc. Sida funds may be used to pay for travel in economy class *only*. Costs for per diem, accommodation and similar must comply with home country regulations, unless otherwise agreed.

Research students registered at Swedish universities and undergoing training according to the sandwich model conduct part of their training at the collaborating partner's university for approximately 50 per cent of the full training period. For these conditions, visits shorter than 2 months and those longer than 10 months are not encouraged. See further details on the sandwich model in Section 2.4.2.1. above.

3.3.1. Students' subsistence allowances – Swedish Institute

Sida and the Swedish Institute (SI) have an arrangement to provide smooth and direct disbursement of subsistence allowances and insurance coverage where SI disburses subsistence allowances and insurance for students financed by Sida during their study period in Sweden. Insurance covers acute illness and accidents during the period of their stay in Sweden.

The SI disburses the students' subsistence allowances and insurance only when information (names, dates of study periods in Sweden etc) are received from the coordinators. It is necessary that the coordinators submit the required details of the students and their study periods to the Swedish Institute at least one month in advance of their planned arrival. *If this is not done, the student cannot expect to receive subsistence allowance or be covered by insurance on schedule.*

The Sida research adviser will provide the coordinators of the cooperating and collaborating partners with detailed information about the procedures for payments through the SI. If the procedures are changed, the research adviser will provide the coordinators with updated information.

The current level of subsistence allowances for students supported by Sida/SAREC is SEK 10 000 per month (SEK 1 3 000 for PhD holders). This cover students' cost for accommodation, local travel and other subsistence costs. If students arrive before or on the 15th of the month they receive the full one-month subsistence allowance. Students arriving in Sweden on or after the 16th of the month will receive half of the monthly allowance. If students leave Sweden before or on the 15th of the month they receive half of the monthly subsistence allowance. Students leaving on or after the 16th of the month will receive the full one-month allowance.

The coordinators should inform SI when the students conclude their studies in order to remove them permanently from the systems.

SI does not assist with student accommodation. Supervisors are expected to help new arrivals with accommodation.

3.3.2. Visas

IF THE STUDENT STAYS A MAXIMUM PERIOD OF 3 MONTHS:

The student needs a visa and "Schengen insurance". SI takes out an insurance policy in each individual case.

IF THE STUDENT STAYS LONGER THAN 3 MONTHS:

The student obtains a residence permit and does not need "Schengen insurance".

For further information on visa requirements, contact the nearest Swedish Embassy.

3.4. Procurement

In the agreement between Sida and the cooperating partner, it is stated which procurement regulations shall apply. It is normally one of the following three systems:

1. National procurement legislation (if this is used, a description of the regulations must be enclosed with the application)

2. Sida's Procurement Guidelines, or

3. International systems of rules for procurement, e.g. World Bank rules.

The cooperating partner should take the Agreement on General Terms and Conditions between Sweden and the respective country into consideration as it relates to customs duties, sales taxes or related fees on goods, equipment or other resources provided or financed by Sweden.

Equipment (major as well as minor equipment including laptops, software and literature) financed by Sida is the property of the cooperating partner institution, which is consequently responsible for its maintenance.

Equipment and other fixed assets must be marked with an individual number and entered into a fixed assets register at the university. The fixed assets register should be updated regularly.

3.5. Planning

Annual planning, as well as annual reporting, is regulated by the agreement between Sida and the cooperating partner. An "annual programme cycle" of cooperation is produced to illustrate the process. The cooperating partners must always refer to the agreement and annual programme cycle for instructions regarding these processes.

3.5.1. Annual work plans

Annual planning is regulated by the agreement between Sida and the cooperating institution.

The annual work plan for the following year should be based on the original programme plan, and on the revisions agreed upon during previous annual planning processes. It is a tool used to break down the planned results into annual targets and to make changes in the original plan (in particular at activity and output level) in order to keep the plan current. The coordinators should assess whether the intended activities for the current year will be carried out according to plan or if activities should be carried over to next year. The coordinators should also assess if there is need for re-allocations. Any changes should be clearly motivated by clarifying how they will improve the probability of achieving the expected outcomes and the impact of the programme as a whole. Any proposed budget revisions and re-allocations must be described and motivated in the text.

The plan should include a carefully updated version of the original logframe for the programme as a whole.

In addition, the plan should address possible constraints and risks to programme implementation, and consequently strategies to reduce them.

3.5.2. Annual planning meetings

The annual work plan including budget must be sent to Sida before the annual planning meeting, according to the dates stated in the agreement and shown in the annual programme cycle.

During the annual planning meeting, the cooperating partner and Sida should aim to agree on the final version of the annual work plan.

The results of the meeting must be documented in Agreed Minutes.

3.6. Monitoring and evaluation

Monitoring and evaluation are important aspects of result-oriented management.

The cooperating partner bears the main responsibility for monitoring the programme. The collaborating partner should assist the cooperating partner in monitoring, including reporting on the progress of PhD candidates. The cooperating partner should systematically collect data on the results achieved through the programme, and examine the process in relationship to the results. The purpose of this is to provide cooperating partner management, as well as Sida and external stakeholders, with indications of the extent of progress and achievement of results. This implies that the cooperating partner should set up a system to compile results information. This could be in the form of a simple table, where results are entered continuously as they are achieved, or as a more advanced system.

An *evaluation* is an in-depth analysis of issues that cannot be adequately covered by monitoring. It is a systematic and objective assessment of the programme, its design, implementation and results. Evaluations will largely be based on the results information collected continuously by the cooperating partner in its monitoring system. Hence, results that have not been registered during monitoring may not be considered in an evaluation.

3.6.1. Annual reporting

Annual reporting, as well as annual planning, is conducted according to the agreement between Sida and the cooperating partner, and shown in the annual programme cycle of the cooperation. The cooperating partners should always refer to the agreement and annual programme cycle for instructions regarding these processes.

Reporting is part of programme monitoring, and is a prerequisite for continued financial support. The reports should summarise achieved results in relation to the agreed expected results, as well as unexpected results and "spin-off" effects of the programme. Sida encourages cooperating partners to develop their own reporting format, which should be used after negotiation with Sida and other funders. Sida intends for the cooperation partner to use the same format to report to their own government and other donors.

3.6.1.1. Annual progress reports

The cooperating partner should submit *one* annual progress report to Sida as stated in the agreement. The basic principle of progress reporting is to state results achieved in relationship to the expected results that were agreed upon in the logframe in the original programme plan and in subsequent annual work plans, as well as unexpected results and "spin-off" effects. The report should comprise all ongoing components and should be submitted to Sida through the programme coordinator. This means that it should be one single progress report, which includes results from all components under the agreement plus a summarised analysis of the outcomes and impacts of the programme as a whole. The cooperating and collaborating partners should prepare the report jointly. The report should be signed by the cooperating partner's signatory to the agreement, and submitted to Sida.

The content of the report will depend on the type of cooperation, and on the expected results that were agreed in the logframe. Its focus should be on results rather than on activities.

For example, the report may include the following:

1. a summarised analysis of the outcomes (and impact if applicable) of the programme as a whole, in relationship to the agreed, expected results in the logframe

2. Reports per sub-programme (use same format for all sub-programmes)

   a. Project data

   b. Objectives

   c. Results – achieved results in relation to expected results (outputs, outcomes and impact if applicable)

   d. Publications and conference presentations

   e. Unexpected results

   f. Constraints, deviations and lessons learned

The report should serve as background document for any re-allocation of funds to be agreed upon during the annual review meeting with the cooperating partner.

At the end of the agreement period a *final progress report,* covering the entire agreement period, should be produced.

A brief account of the research training carried out as part of the project, wholly or partially financed by Sida, should be given. This should include training for academic degrees as well as special courses and non-academic training, e.g. training of technical staff.

3.6.1.2. Annual financial reports

An annual financial report should be submitted to Sida as stated in the agreement. The cooperating partner should, at an early stage, propose a format for the financial report for discussion with Sida.

The annual financial report is to be based on the budget format, as well as on information from the accounting system and be consistent with information in progress reports, work plans and similar agreed documents governing the programme. It must be possible to verify this information through the accounting system.

The annual financial report should be expressed in SEK, if not otherwise agreed.

The annual financial report is subject to the relevant internal control systems and must be audited by an external, independent and qualified auditor as stated in the Agreement.

Contents of financial reports

A complete financial report must include reporting on *revenue and expenditure, budget follow-up, statement of financial position (or balance sheet, if relevant)* and *notes* to the financial reporting.

Interest earned must be reported and interest from Sida funds is to be specified (or calculated as a share of total interest). Interest must be used for programme activities in accordance with the agreement and in a manner to be agreed by the parties. The report may include a proposal in this respect.

The annual financial report must include opening balance, budget for the year, funds received during the year, expenditures during the year, total budget for the agreement period, funds received for the agreement period, expenditures during the agreement period and closing balance.

The structure of the financial information in the budget follow-up should be coherent with the structure of the information provided in the original work plan, annual work plans and progress reports. This means that the same terms, groupings and so forth should be used. Budget follow-up costs are to be related to activities.

3.6.1.3. External audits

Audits must be carried out annually and provide assurance on the reliability of financial reports and ensure that funds are used for agreed purposes.

Audits to be procured by the cooperating partner university/institution. *Costs for audits to be included in the programme budget.* Procurement of auditors must be carried out 3–4 months before the audit process begins. The audit process must start immediately after the end of the financial year so that the audit report and management response to it can be sent to Sida at least one month in advance of the annual review meeting.

The audit is to be carried out by an external, independent and qualified auditor, in accordance with international standards issued by International Organisation of Supreme Audit Institutions (INTOSAI) or International Federation of Accounts (IFAC). The terms of reference for the audit and the selection of auditor to be approved by Sida.

A management response to the audit report is to be produced by the management of the cooperating partner university/institution. It should contain comments on the findings and measures taken by the university. The management response should be submitted to Sida *together* with the audit report at least one month in advance of the annual review meeting.

Until audit report and management response are submitted and approved, no further disbursements will be made by Sida.

Swedish government agencies may use their internal audit facilities to carry out financial audits of funds allocated by Sida. This is applicable where the Swedish National Audit Office assesses the agency's internal audit as independent and self-regulating within the agency (SFS2006:1228).

For funds in excess of SEK 200 000 per year paid from Sida to Swedish government agencies, internal audit facilities shall be independent and certified e.g. be a Certified Internal Auditor, CIA, be certified by the Swedish National Audit Office or hold an authorisation from Föreningen Auktoriserade Revisorer, FAR SRS.

There is no requirement for certification of internal audit facilities for funds up to SEK 200 000 per year paid from Sida to Swedish government agencies. In these cases, their internal audit facilities may be used if it is deemed independent.

3.6.2. Annual review meetings

The annual progress report, annual financial report and audit must be sent to Sida before the annual review meeting, according to the dates stated in the agreement and shown in the annual programme cycle.

The main instrument for dialogue on progress and financial performance should be the annual review meeting between the cooperating partner and Sida, resulting in agreed minutes on how the programme should proceed.

A delegation from Sida reviews the progress report and the audited financial report together with representatives from the cooperating partner.

Discussions should include a review of programme/project progress, financial status of programmes/projects, external and/or internal factors influencing performance and possible measures to improve performance. Decisions regarding re-allocation of funds between various projects and/or decisions to exclude projects from the programme if they are not performing well should be summarised in agreed minutes. The review meeting should furthermore include a presentation of the audit by the external auditor and presentation of research projects by supervisors, senior researchers or PhD students.

Annual review meetings normally take place at the cooperating institution but may, in exceptional cases, take place in Sweden.

3.6.3. Self-assessments

It is recommended that each cooperating partner conduct a mid-term self-assessment of their programme. The main purpose is to take stock of achievements, identify lessons to learn and discuss future plans. A self-assessment is an opportunity for open and critical reflection on progress and constraints. It is expected to result in increased responsibility for more efficient use of funds and improved performance. The self-assessment should be documented in a written report, which should be shared with Sida.

3.6.4. External evaluations

External evaluation of a programme is normally conducted on the completion of an agreement period. Sida is responsible for contracting of evaluation teams. Terms of reference will be agreed between Sida and the cooperating partner. The cooperating partner is responsible for making relevant material available to the evaluators and for facilitating visits by the evaluators to relevant institutions and field sites.
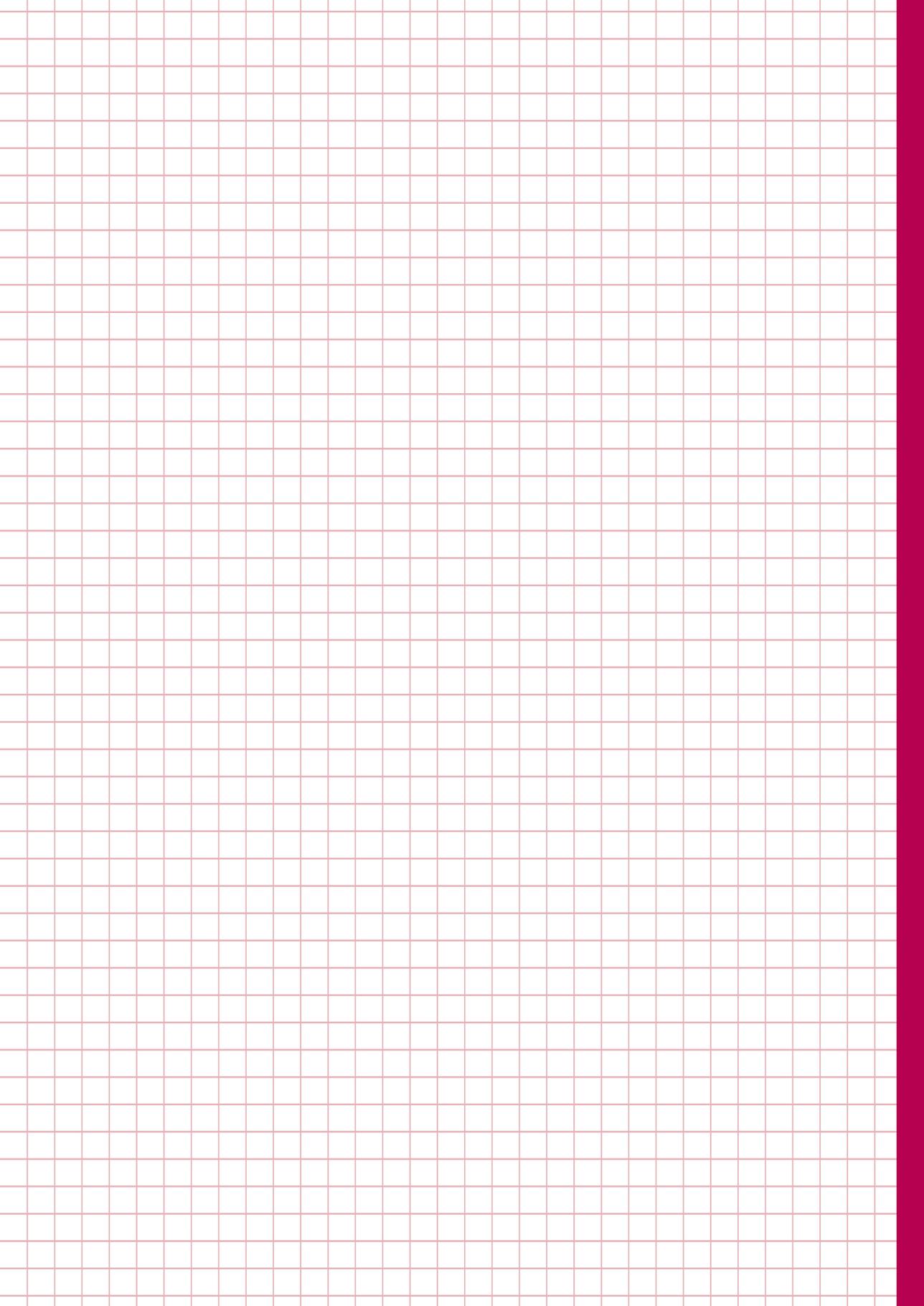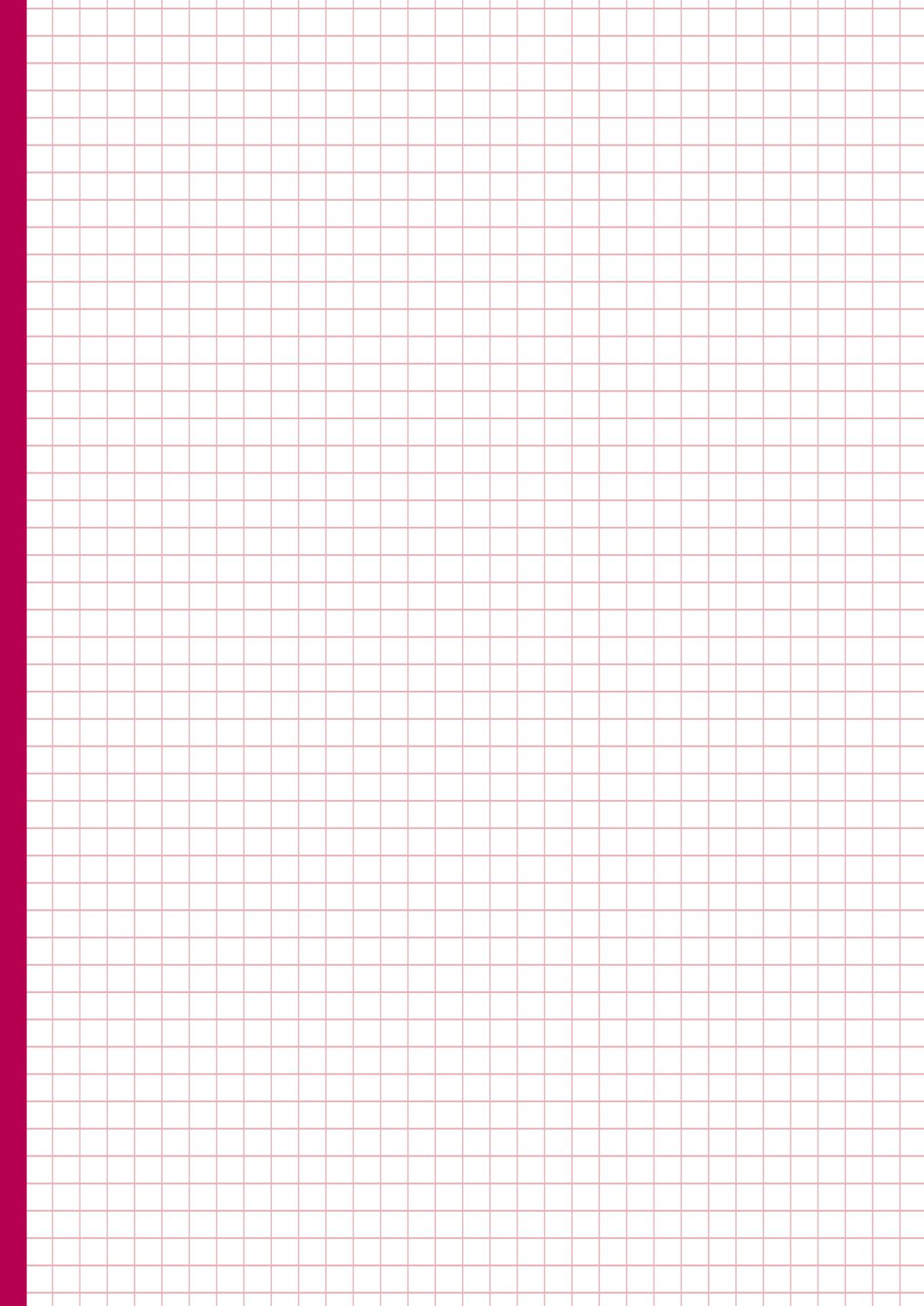
Planning for a renewed agreement

IV

In agreement with Sida, planning for a renewed proposal is initiated about eighteen months before the end of a current agreement period. The process leading up to a new agreement is initiated by an assessment of the current research situation in the country, followed by an official invitation from Sida to the cooperating partner to submit a proposal for a new agreement period.
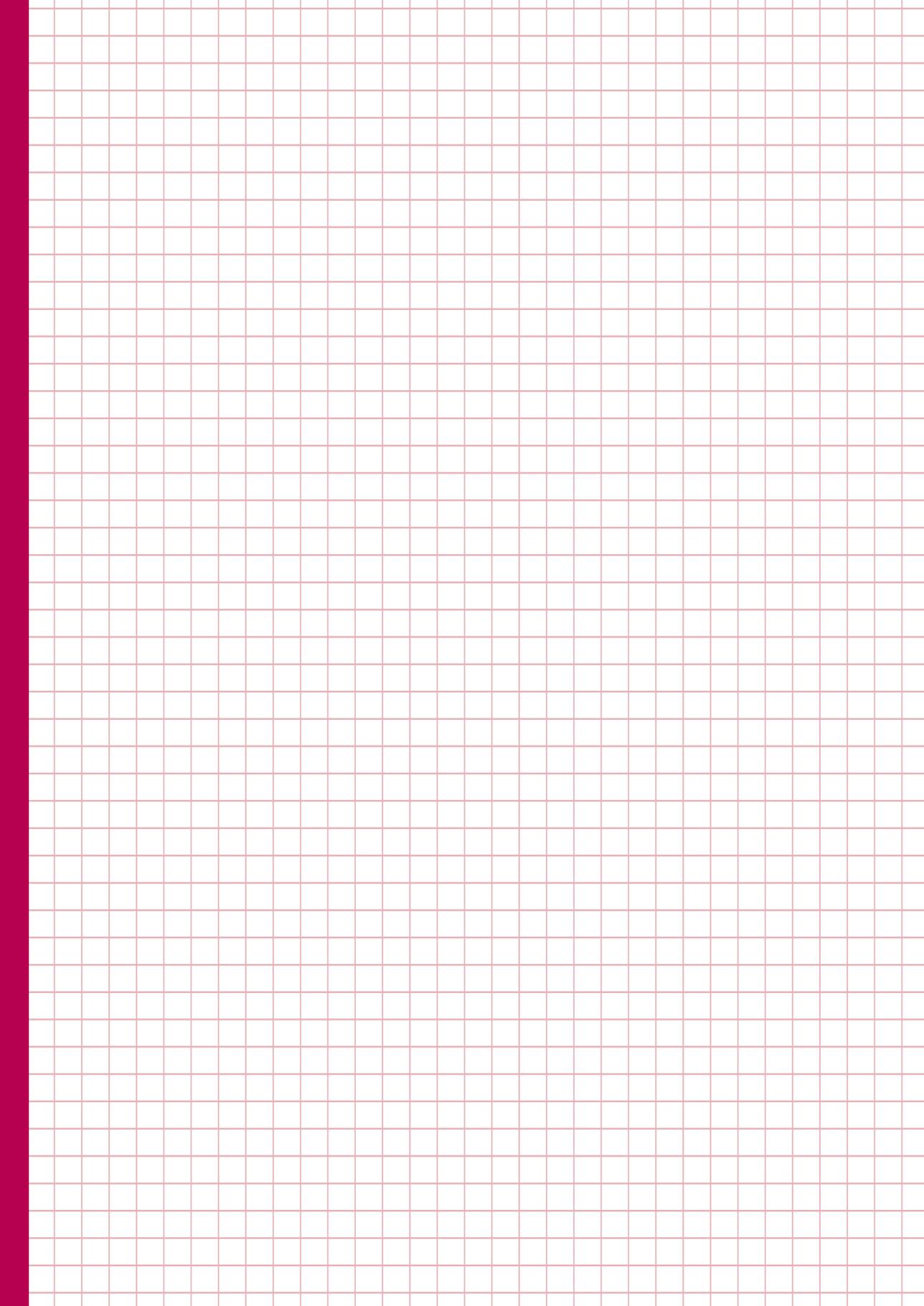
Completion of programmes

V

The overall aim of Sida's support to national research systems is that partner countries should be able to independently identify research problems of relevance for development, prioritise areas for research, carry out research and secure the necessary financial resources and human capacity to enable the research system to deliver. Support from Sida to particular sub-programmes typically span 2 to 3 agreement periods which in most cases is insufficient to achieve the overall aim of the support. Consequently, support is often continued for further agreement periods, however based on new modalities corresponding to the research capacity achieved and needs identified during the previous phases.
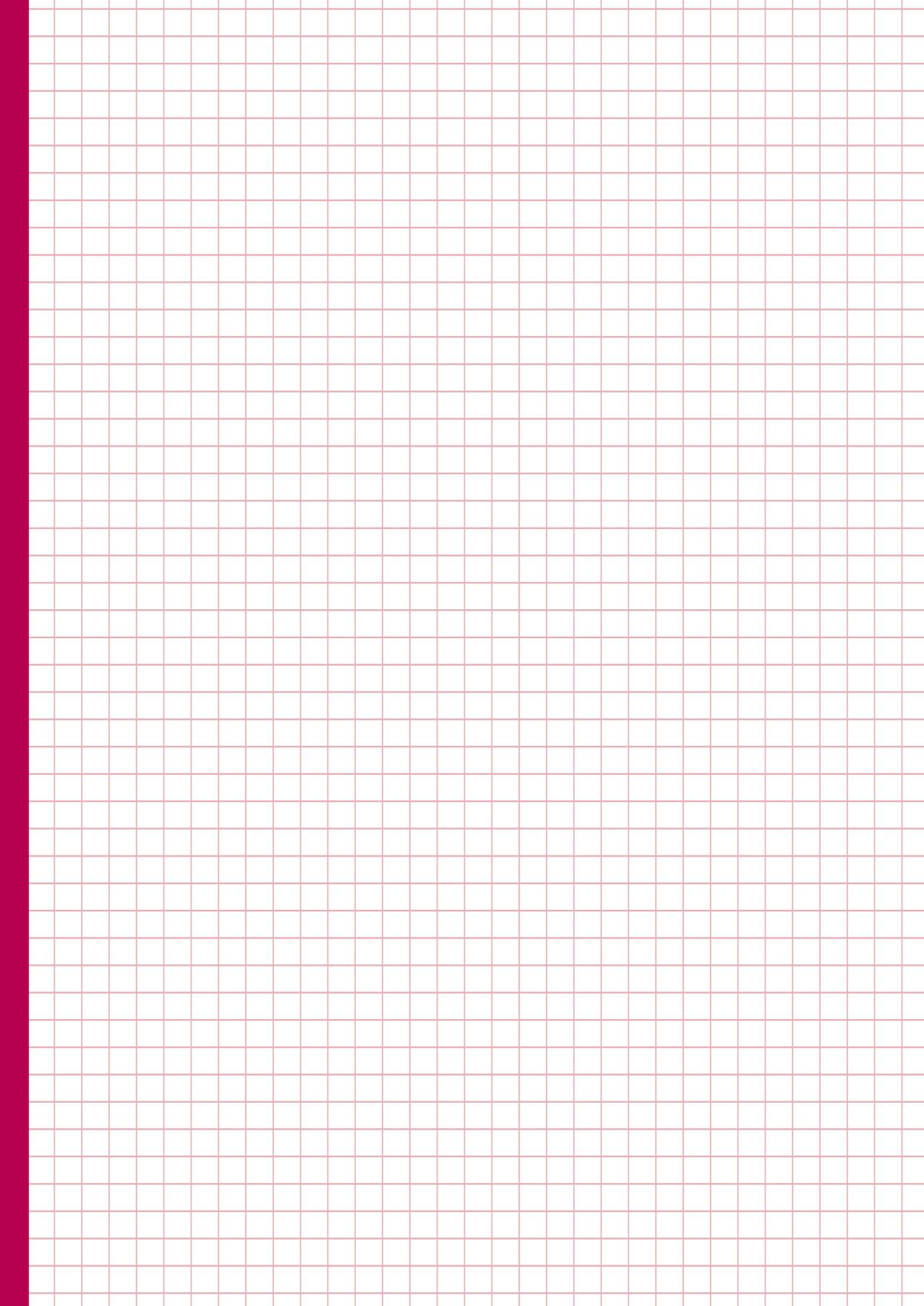
Glossary

Cooperating partner: any legal entity such as a university, research institute, research council or ministry in a developing country with which Sweden has established, (or intends to establish), research collaboration. Also sometimes referred to as the home university/institution.

Collaborating partner: any legal entity such as a university or research institute in Sweden (or in certain cases other countries) that serves as counterpart in a research programme for a university or research institute in a developing country.

Logframe (Logical framework): Management tool used to improve the design of interventions, most often at the project level. Involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators and the assumptions or risks that may influence success and failure.

Principal researcher or project coordinator: the individual who is responsible to the cooperating partner for all aspects of the activities referred to in the proposal. She/he may sometimes be referred to as project coordinator.

Programme coordinator: individual responsible for the coordination of the implementation, including planning and monitoring of the programme as a whole.
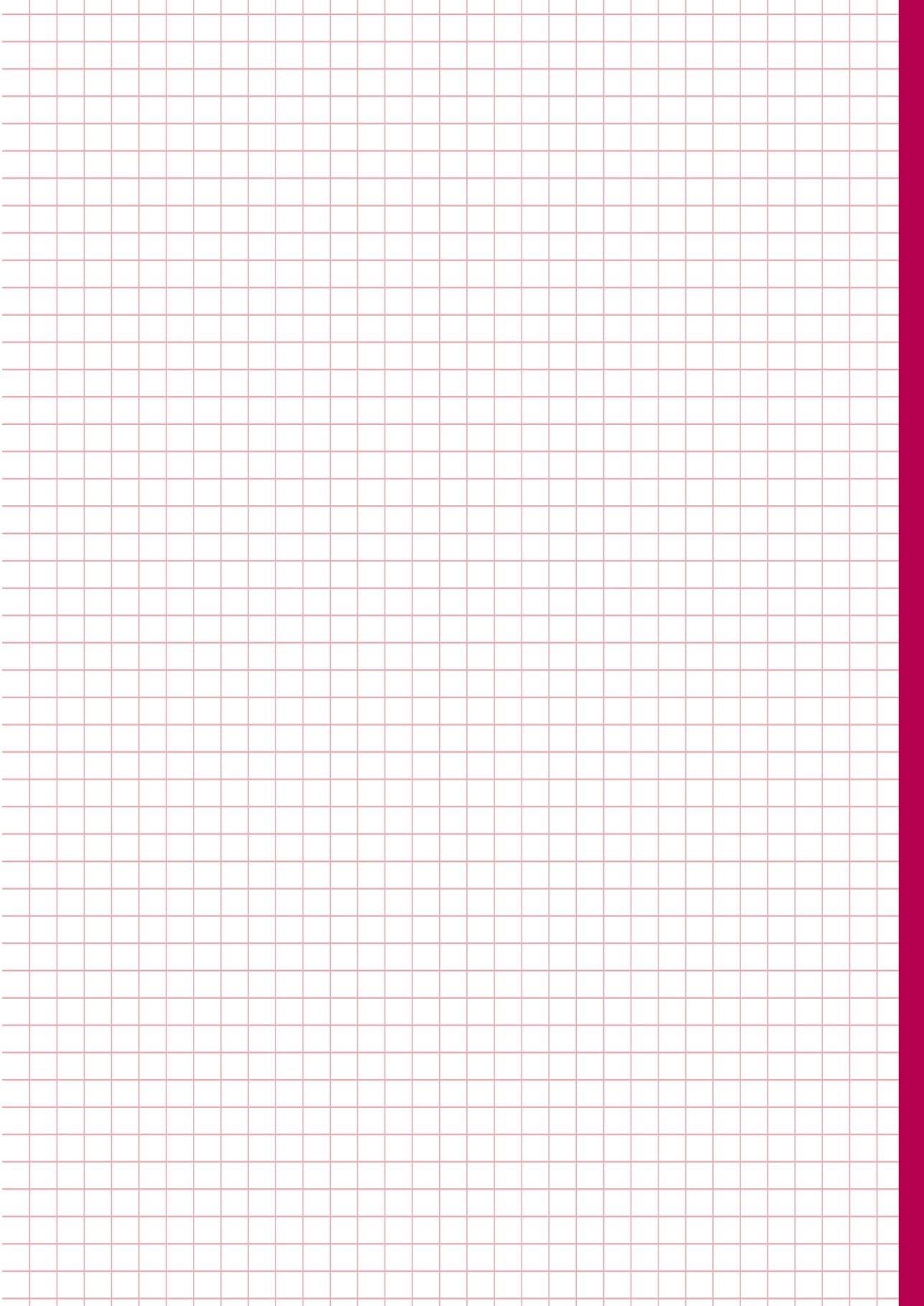
Results-based management (RBM): A management strategy focusing on performance and achievement of outputs, outcomes and impact. Note: An orientation towards outcomes and impact (rather than outputs) is often regarded as the
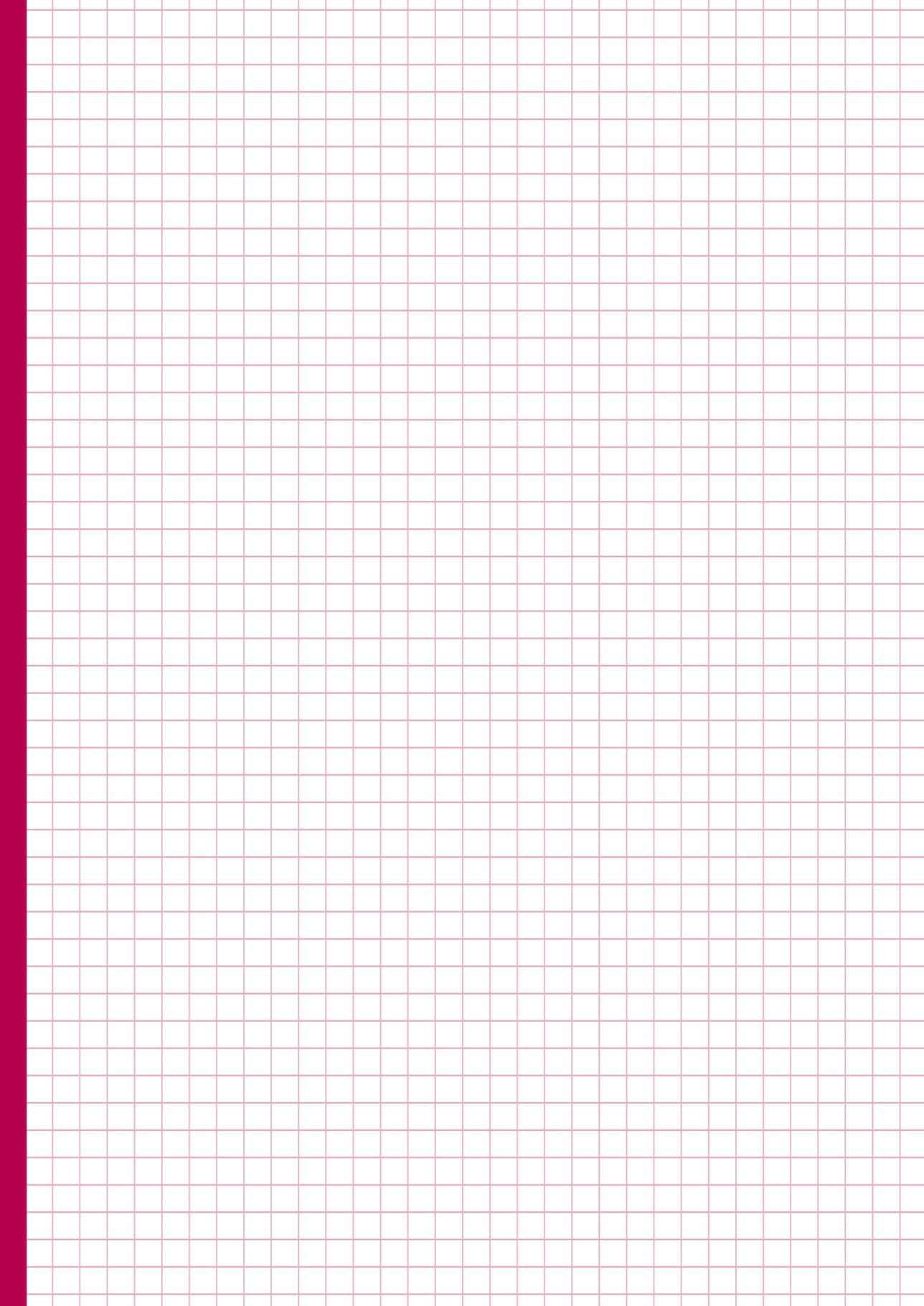
distinctive feature of RBM. RBM is also said to be a management strategy that seeks to adopt a client and/or target group perspective. Results-based management terminology is defined in "Glossary of Key Terms in Evaluation and Results Based Management".The Glossary is available in several languages, including English, French, Spanish, Portuguese, Kiswahili and Swedish. See further: http://www.oecd.org/dac/evaluation-network

Sub-programme coordinator: the individual who is responsible to for the coordination of the implementation, including planning and monitoring of a sub-programme.

Work plan: a series of activities outlined in a project, which are to be executed in a specified time frame in relationship to a budget.

Study plan: a series of activities (approach, courses, studies, methods etc) outlined in an educational programme, which leads to the achievement of an academic degree.