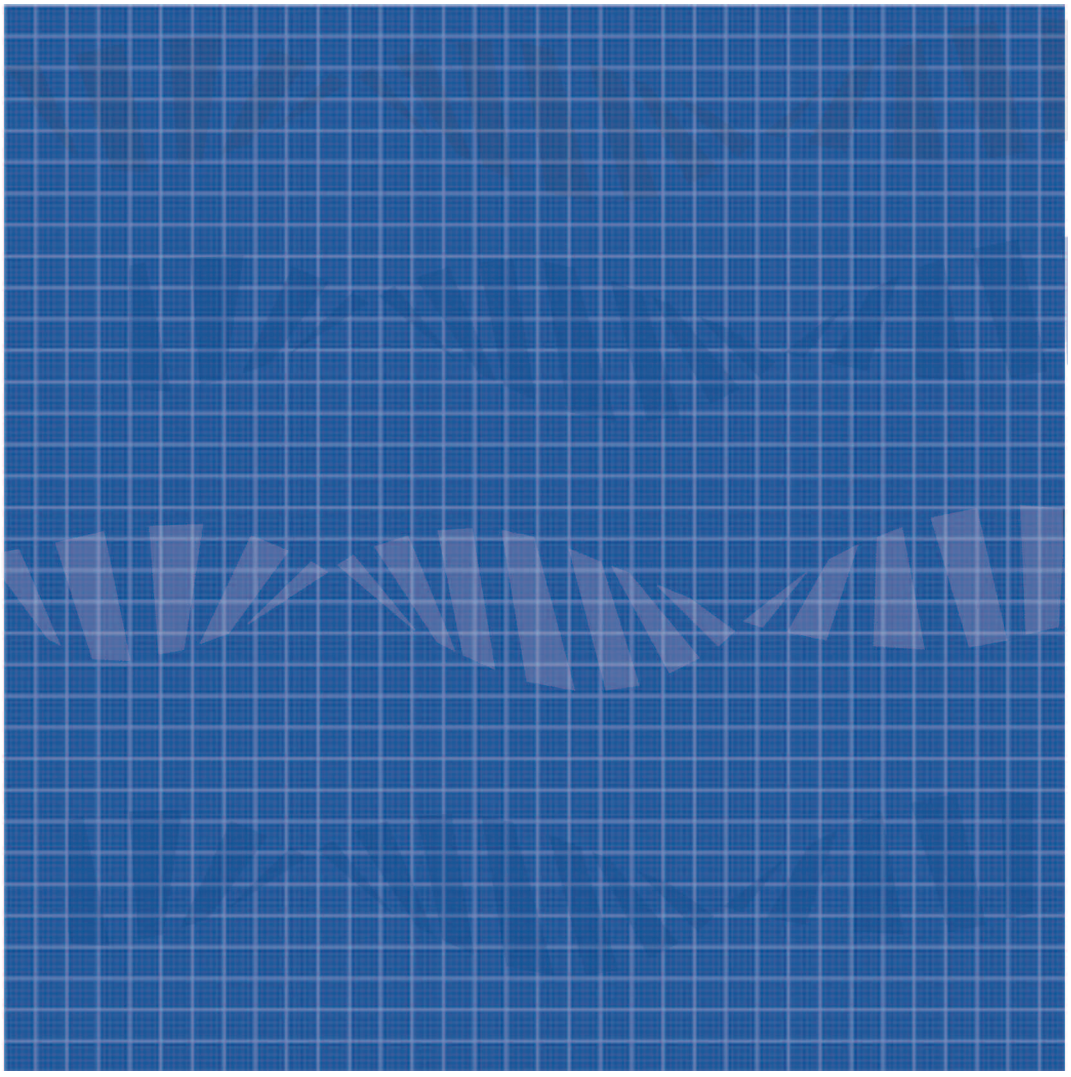
Sida

Guidelines for Applicant Institutions

Support to national research development



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Support to national research development

1

The Swedish Government Bill entitled Shared Responsibility – Sweden's Policy for Global Development, was passed by the Swedish Parliament in 2003. This 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.

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

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 for ownership in development cooperation.

In the Paris Declaration on Aid Effectiveness 2005 (www.oecd.org, search under Departments, DAC, Aid Effectiveness), 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 alignment with national structures and plans. Sida will also direct resources to

national and university/institution capacity in order to negotiate conditions for support and harmonised reporting.

Sida support to national research development is mainly channelled through its Department for Research Cooperation, SAREC.

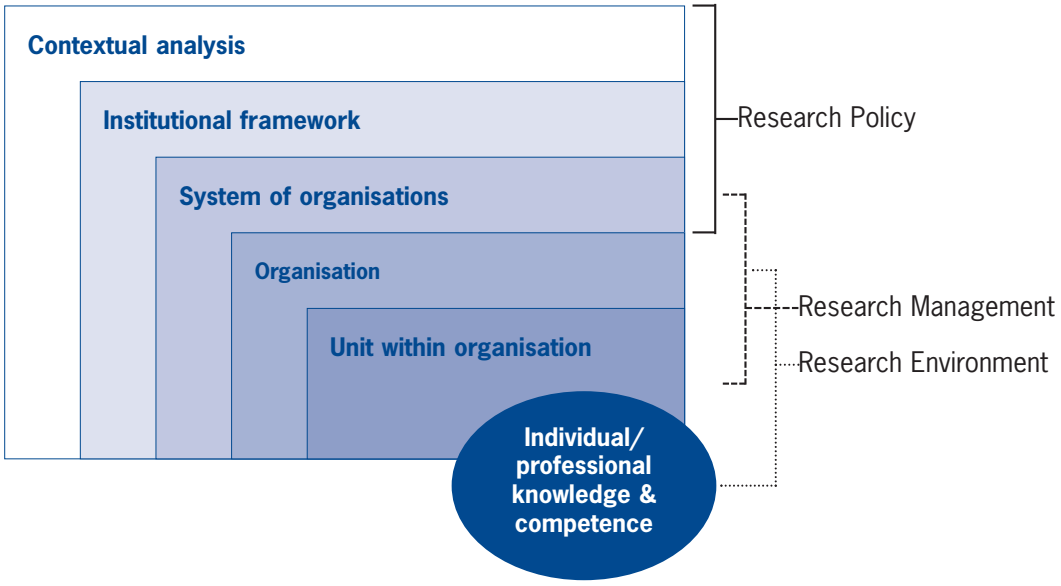
1.1. Sida support to national research systems

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 at least at one university in each low income country, the curriculum of secondary and higher education could be adapted to the country's 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 supplying its knowledge. Sida has assessed several kinds of projects/programmes and, while acknowledging them to be crucial, has chosen to support the type of activity that will make a valuable contribution regardless of future changes in the system. A focus on *strengthening 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. As such this remains the focus of Sida research cooperation in countries where such a basis has not been established. Depending on the strength of the national university system, strategies will be encouraged which focus resources to one university rather than diluting it to many weaker universities. The point of departure is that each country should establish *at least one 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.

Sida supports various types of capacity development – research capacity building being one. The diagram below shows the concept of Sida's policy for research capacity development in respect of target levels. In a 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 interrelated nature of each of these levels is illustrated in figure 1 below. To the right of the diagram three modalities of support for research capacity building are shown.

FIGURE 1



Sida strives to design its support in line with national policies and strategies. When a National Research Policy is formulated it considers the contextual analysis, reviews the institutional framework, sets up the system of organisations and 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 research, science, technology and innovation. Ideally, such national research policies indicate where allocation of financial resources will have most strategic impact, and thus to which organisations support should be directed.

Sida support to individual universities or research organisations should then be in line with the institutional strategies for research and research management. Universities/institutions may also request support for development of such strategies.

Research Management refers to support for efforts to strengthen management and management tools at university, faculty and department level. It should be established and strengthened 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. Sida envisages that university/institution Research Management must be granted a mandate to identify methods of facilitating research requiring close collaboration between several 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 resource units; planning units; the Bursar's Office; 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 assisting the set-up 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 imperative not to ignore it in the context of the management of a university. The university staff and students are vulnerable to infection with serious consequences to 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 the curricula. Sida may support the development of such policies.

The building of strong *Research Environments* includes training of individual researchers, research supervisors and research coordinators in a holistic fashion, but also investments 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 to build up strong research environments based on priorities set in accordance with the universities' strategic planning.

In emerging research environments where the major part of the staff are in the early stages of their academic careers, external research is a must. Sweden has chosen to contribute through the mode of research training known as the *"sandwich model"* as a part of the university's strategy rather than individual scholarship programmes which detach the student from the home university. In sandwich training, research students are recruited and tested for admission to, mainly, Swedish PhD programmes. Research students maintain their position at the home university, define their research project in that context and spend periods in Swedish universities/institutions for course work, analysis and write up. A Swedish supervisor collaborates with a co-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 that Swedish supervisors assist in setting up local courses in research methodology, etc. so that more students are able to benefit. For courses of a multi-disciplinary nature, senior staff from other 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 to graduate at PhD level. Research courses are set up locally. Exchange visits are still made, but for specific project purposes or for the purpose of exposing the PhD students to other research environments.

Sida may support investments in scientific equipment and ICT infrastructure, both to facilitate implementation of projects and as programmes aimed at building up central laboratory facilities that could be shared by many departments. These have several advantages as they strengthen the universities' strategies for research rather than individual researchers. Sida could also support other types of research facilities such as archives, documentation centres etc.

Preparation of research support financed by Sida

2

The main features of preparation for national research support financed by Sida are presented below.

Two documents govern support to national research systems. These are

a) the Swedish cooperation strategy, which directs Sweden's development cooperation with a partner country over a 4–5 year period and

b) an overview of the partner country's research system, encompassing research organisations, financing modalities, research strategies, etc.

The cooperation strategy is prepared by Sida in close collaboration with the Embassy of Sweden, while the latter, the overview of the national research system should be prepared by the applicant university/institution and incorporated into the final proposal for support to Sida.

In order to apply, the university/institution must receive an invitation from Sida to submit a proposal for support to their national research system. The invitation letter provides information on the agreement period, budget framework and deadline for submission of proposal.

The proposal may include request for support to the following broad areas:

- Research environment
- Research management
- Development of research policies

Sida's definition of these components is provided in Section 1. (above) and details on how to outline the proposal are provided in Sections 3, 4, 5 and 6. (below).

During the preparation of the proposal to Sida a number of critical aspects must be addressed and presented in the proposal, i.e. Environmental impact assessment, Gender analysis, Anti-corruption, HIV/AIDS, Ethical approval and Logical Framework Approach. Section 9 below gives further details.

As indicated above, the proposal should include an overview of the national research system. Since the details of the research systems may vary for different countries the content and size of the overview should be discussed with Sida.

The final proposal, composed of several parts should be submitted as one document to Sida (see figure 2). Supporting documents such as research policies, strategic plans etc., that form the foundation of the proposal should also be enclosed. The applicant institution should ensure that the submission covers all aspects needed to conduct the assessment of the proposal.

Sida assesses the proposal against the following criteria:

SCIENTIFIC QUALITY by sending all individual research and research training projects/programmes for academic peer review.

RELEVANCE in relation to the national/universities research priorities and to poor people's needs.

EFFECTIVENESS AND COST-EFFICIENCY to see if the objectives are likely to be achieved and if the proposed method is the most cost-effective.

FEASIBILITY assessing if the practical conditions exist for successful implementation.

SUSTAINABILITY to assess if ownership is properly addressed and if there will continue to be impact after the cessation of the programme.

COORDINATION AND CONSULTATIONS assess strengths and weaknesses in the interaction between the applicant institution, stakeholders and development partners including Sida.

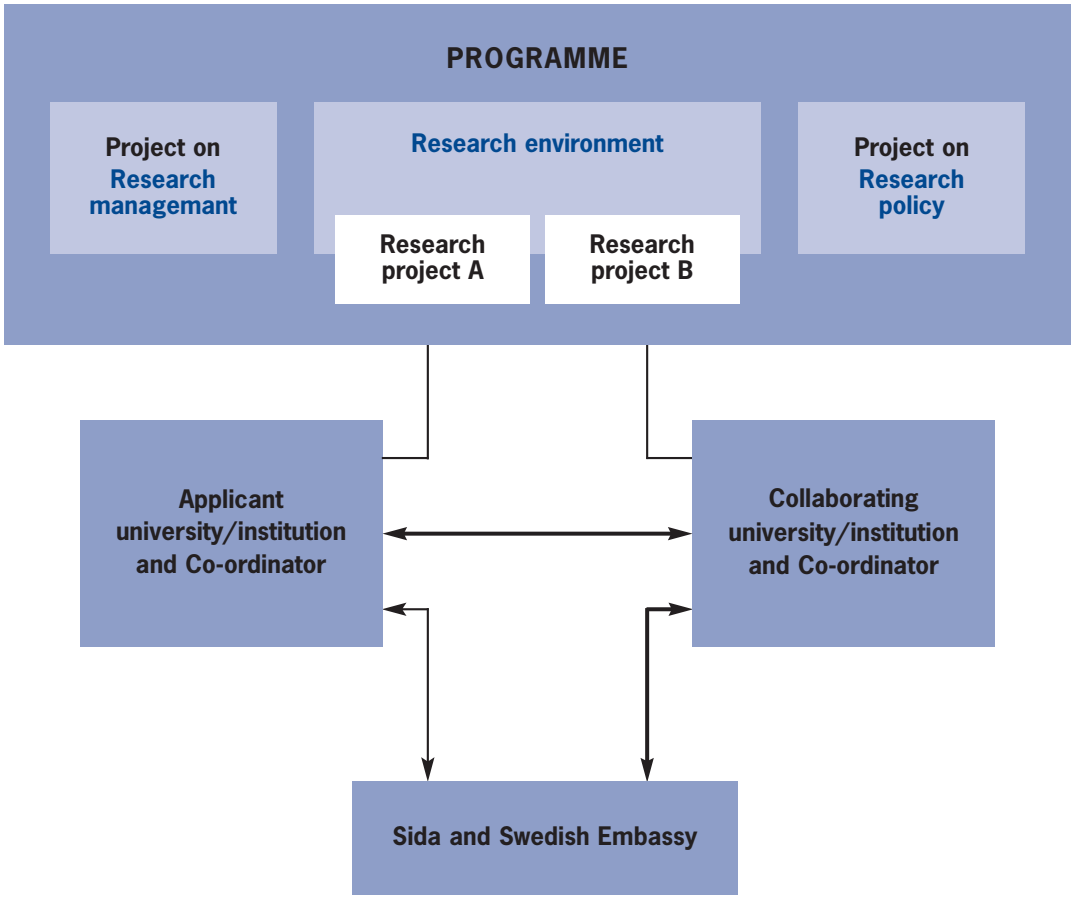
RISKS AND RISK MANAGEMENT assess internal and/or external risks and proposed measures to avoid or reduce these risks.

An assessment memorandum on the proposed support to the national research system in the partner country is produced by the research officer responsible at Sida/SAREC. This document is scrutinised by the Sida Research Committee to safeguard

scientific quality and quality of research capacity development. Then the assessment memorandum is submitted to the Sida Project Committee, which safeguards development aspects such as compliance with the Paris Declaration and with the overarching goal of alleviating poverty. Further, the committee ensures that appropriate procedures are set up for management and monitoring of the programme. The final approval is carried out by the Director General of Sida.

When the proposal has been approved for funding, an agreement between Sida and the applicant university/institution is concluded. Implementation, reporting and follow-up of the support are regulated in this agreement. Sections 10–15 give further details on this part of the collaboration.

FIGURE 2 Research collaboration programme structure and actors



Research environment

3

The main avenue for support to environments conducive to strengthened research capacity at the national level is bilateral research cooperation with partner countries. Following an overall assessment of policies, structures and organisation of research, key institutions are identified and a support package negotiated.

In countries with limited research, Sida normally focuses on support for research universities with a central position in the national system of research and education. Training of academic staff towards a PhD degree, equipment of laboratories, access to relevant literature, ICT facilities and support to research management are essential components of these programmes. PhD courses are mainly carried out in cooperation with Swedish universities that are able to provide high levels of competence in the subjects concerned.

Sida's modality for research support is not intended for regular, personal scholarships

In contrast, assistance is offered to universities/institutions that aim to develop programmes of research training, hence proposals for all types of support have to be submitted within the overall programme for research cooperation between Sida and the applicant university/institution.

3.1. PhD cources

3.1.1. International/regional courses using the sandwich model

Sida provides support for PhD courses through the "sandwich model". This means that the training period is divided between time spent in PhD candidate's home country and the collaborating country. Field research and collection of data is often

carried out in the home country. The part spent in the collaborating country is dedicated to taking courses, conducting laboratory experiments and writing up the thesis and papers for publication. A major expectation and intention of the sandwich model is that the successful candidate will continue to stay at his home department after graduation, researching in an environment with a much improved infrastructure.

The main advantage of the 'sandwich' model is that candidates are kept familiar with problems and solutions in their environment and geographical region. This system also contributes to worldwide development of knowledge base, and to research capacity building.

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 applicant university/institution provide supervision.

HOW TO APPLY

How to apply – PhD courses through the sandwich model

Requirements

When training is carried out in collaboration with a Swedish university/institution:

- The candidate should hold a first degree in the area of his/her research
- 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 course
- The candidate has to be selected by the applicant university/institution in consultation with the collaborating university/institution
- The candidate's research proposal to be approved by the applicant university/institution before submission to Sida
- The applicant university/institution agrees to involve the PhD candidate(s) in teaching and administration up to and not exceeding 20 per cent of full time employment during the period of the research course

Outline of proposal

Support for PhD courses is normally granted for four years, provided that the candidate reports on the results of his/her training each year. Since the proposals are sent for peer review, it is essential to provide enough information to allow an assessment of the project. It is also important that all collaborators at the applicant university/institution as well as those at the university/institution in Sweden participate in the preparation of the proposals.

The proposal must be written in English and be concise (not exceeding 12 pages).

Page 1:

Title of the project, applicant's name, principal and co-supervisors' names, name of applicant university/institution, name of collaborating university/institution, summary of project proposal (including development context, topic, approach, expected outcome), *date and signature of main applicant.*

Page 2 – maximum 12:

BACKGROUND AND PURPOSE OF THE PROJECT

The problems or areas being addressed should be clearly stated. Background, relevance and significance of the problem should be described. Information on the potential academic and local significance of results must be provided.
The purpose of the project should be justified in relation to the problem identified.

THEORETICAL AND ANALYTICAL FRAMEWORK

The conceptual and analytical framework and the theoretical frame of reference that will guide the research should be defined and lead to a clear statement of research problems and the need for new knowledge. The approach or hypotheses behind the study must be stated, as well as the specific problem(s) or issue(s) addressed.

METHODOLOGY

A description of the particular research and evaluation methods to be used should be presented. The appropriateness of the methods for the proposed study must be clearly demonstrated. Gender aspects should be considered and assessed. If this aspect constitutes an important dimension of the research problem or data collection, how the methodology will address the issue should be explicitly described.

CONTRIBUTION TO RESEARCH CAPACITY BUILDING

The contribution of the PhD project to the main objectives of the research programme, and also the integration of the project into the programme should be made clear. Information about cooperation with other groups outside the programme and the involvement of local stakeholders should be presented.

EXPECTED RESULTS

Preliminary results, indicating the feasibility of the project and providing information on the anticipated usefulness of the results should be presented, if available. Expected results that are measurable and that can be followed up quantitatively and qualitatively should be outlined. The usefulness of the expected results for the academic community, as well as the local community must be indicated.

WORK PLAN

A work plan, incorporating schedules, for carrying out of the project must be outlined. The plan should be realistic, not overly ambitious.

BUDGET

A budget should be presented on an annual basis, for the entire agreement period. The budget should be divided into two parts, one for the applicant institution and one for the collaborating institution. Please, see Section 6 for further details.

REFERENCES

Provide the references that support the information in the project description (author, title, journal/book, year of publication, volume and pages). The list of references should be of fairly recent date and of relevance to the project.

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 list of publications should be presented. The name, gender and age each person should be indicated.

3.1.2. Local PhD programmes

When entering into research cooperation with faculties where senior staff are able to conduct local research training, Sida has established other models in order to strengthen research capacity. Local PhD courses are developed. In this case, emphasis may be on supervision of supervisors. Exchange visits are made for specific project purposes and to expose the PhD students to other research environments.

3.1.3. Institutional support to the establishment of local/regional PhD programmes

Assistance can be provided for PhD programmes at the applicant university/institution. The programme may include guest lecturers from other countries, curriculum development, 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 can also be provided for publications.

3.2. Master's courses

3.2.1. International/regional Master's courses using the sandwich model

Support to students who participate in Master's courses in Sweden, or other countries is provided when local courses are not available. The purpose of this support is to build up research capacity and establish a pool of qualified people who may proceed to doctorate work and from which to recruit potential researchers.

3.2.2. Local Master's courses

Applicant universities/institutions can request funding for local Master's course participants.

3.2.3. Institutional support for establishing local/regional Master's programme

Assistance can be given for master's degree programmes at the applicant university/institution. The programme may include guest lecturers from other countries, curriculum development, provide 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 can also be given for printing and dissemination of publications.

3.3. Post doctoral research

Applicant university/institutions can request support for researchers who have attained their PhD degrees. The purpose of this support is to give recently graduated researchers the opportunity to develop their research profile at their home university/institution.

3.4. Research projects

Funds can be granted for projects carried out by individual researchers as well as research teams. Support can be provided for interdisciplinary research, local and regional research. The project must be part of the overall programme and aligned to the research strategy at the university where the applicant researcher is active.

HOW TO APPLY

How to apply – Local PhD training programme, Master's Courses, Local Master's Programmes, Post-doc research, Research projects

Requirements

For Local PhD training programme, Master's Courses, Local Master's Programmes:

- Proposals may only be submitted by faculties, universities or research institutions.

For post-doctoral research and research projects:

- The applicant must be an established researcher with a PhD degree and the applicant's research proposal must be approved by the home university/institution before submission to Sida

Outline of proposal

The proposal will be written in English and should be concise (not exceeding 12 pages).

Page 1:

Title of project, applicant's name, principal and co-supervisors' names, name of applicant university/institution, name of collaborating university/institution, summary of project proposal (including development context, topic, approach, expected outcome), date and signature of main applicant.

Page 2 – maximum 12

BACKGROUND AND PURPOSE OF THE PROJECT

The problems area or problems to be addressed must be stated clearly. Background, relevance and significance of the problem should be described. Information on the potential academic and local significance of results must also be provided. The purpose of the project should be justified in relation to the identified problem.

THEORETICAL AND ANALYTICAL FRAMEWORK

The conceptual and analytical framework and the theoretical frame of reference that will guide the research should be defined and lead to a clear statement of research problems and the need for new knowledge. The approach or hypotheses behind the study must be stated and the specific problem(s) or issue(s) addressed.

METHODOLOGY

A description of the particular work and evaluation methods to be used should be presented. The appropriateness of the methods for the proposed study must be clearly demonstrated. Gender aspects should be considered and assessed. If this aspect constitutes an important dimension of the research problem or data collection, how the methodology will address the issue should be explicitly described.

CONTRIBUTION TO RESEARCH CAPACITY BUILDING

The contribution of the project to the main objectives of the programme, and also the integration of the project into the programme, should be made clear. Information to be presented about cooperation with other groups outside the programme and the involvement of local stakeholders.

EXPECTED RESULTS

Preliminary results, indicating the feasibility of the project and providing information on the usefulness of the results, should be presented if available. Expected results that are measurable and that can be followed up quantitatively and qualitatively to be outlined. The usefulness of the expected results to the academic community, as well as the local community, must be indicated.

WORK PLAN

A work plan, including a time schedule for carrying out of the project has to be outlined. The plan must be realistic, not overly ambitious.

BUDGET

A budget should be presented on an annual basis, for the entire agreement period. The budget should be divided into two parts, one for the applicant institution and one for the collaborating institution. Please, see Section 6 for further details.

REFERENCES

Provide the references that support the information in the project description (author, title, journal/book, year of publication, volume, and pages). The list of references should be of fairly recent date and of relevance to the project.

CURRICULUM VITAE

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

Research management

4

Research management is commonly codified in a number of documents describing the practice of different aspects of the research process, and in the organisation and function of a number of relevant units within the organisation. Thus research management includes units and functions of both an academic and administrative nature.

Research grant schemes aimed at maintaining and developing scientific competences, as well as technical skills, are important parts of a well functioning research environment. Research grant schemes can be supported at both national and university/faculty/institution level.

Financial assistance can be provided for academic reform and development, such as a framework for research training. Assistance can also be given for strengthening the competence and capacity of university administration. Examples of key areas of operation are budget and planning, financial management, procurement, human resources and internal audit. Support can be requested for development of a strategic plan for administrative development, workshops, study visits, qualified consultants, staff training programmes and electronic administrative systems including necessary training packages.

4.1. Research grant scheme

4.1.1. National research funds and councils

Priority setting and general resource allocation for research and higher education is generally carried out at central level. A national research council can be a useful consensus forum for a country with limited resources, where the resources are allocated to different disciplines. It is also useful in that it provides the necessary linkage between disciplines. There may also be a necessity to have national research councils or other mechanisms

for allocating grants to individual researchers and research groups based on scientific criteria and relevance.

Sida is willing to support policy development mechanisms in various ways. Support may also be given for the development of national and/or regional research councils oriented towards awarding grants to researchers or research groups active in national universities and research institutes. A prerequisite for support is that the proposal includes detailed plans for development of an administrative mechanism, as well as proper procedures for assessment of research applications, e.g. peer review boards.

4.1.2. University and faculty research funds

A university fund or faculty fund can be used to allocate competitive grants for research projects at university or faculty level. Funds may be untied or limited to specific thematic areas and may include multidisciplinary research areas. Funds can also be used for activities such as dissemination of research results, participation in conferences, study visits and short-term training, including training of technicians. A prerequisite for support is that the proposal includes detailed plans for development of an administrative mechanism, as well as procedures for assessment of research applications, e.g. peer review boards.

4.2. Information and communication technology (ICT)

The ICT support aims at building up physical infrastructure at institutions, developing ICT competence and developing various e-services. Assistance can be given to the development of an ICT master plan, procurement and installation of network, development of a strategy for self-sustained maintenance and training of technicians. Training at Master and PhD level as well as development of curricula can also be included but should be closely linked to an overall academic capacity development programme (see Section 3 above).

4.3. Libraries

Library support may include assistance for 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. 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. Furthermore, library support may also include the purchase of reference literature and manuals.

4.4. Laboratory facilities and scientific equipment

Support to laboratories can be provided for the development of central core laboratories designed to be resources for general use by researchers/research groups. Examples of such activities include development of biomedical laboratories, a Geographic Information Systems (GIS) centre, and a Computer Aided Design (CAD) laboratory.

Support can also be given for procurement of expensive scientific equipment i.e. costing more than MSEK 1. *Maintenance plans should be outlined and included in the costing.* Support may be provided for the development of regulations and routines for use of equipment and for training of staff to oversee its maintenance.

Proposals should include an inventory of equipment available at the university/institution, as well as a description of beneficiary research areas/projects. A strategy for self-sustained, long-term maintenance should also be provided.

4.5 Links to society

Sida may support activities that create links between research and the wider society. Examples could be activities that draw conclusions and make recommendations for policy makers using research results, policy research, setting up of policies and procedures for interaction with industry and commerce. Interaction with society creates a number of issues that universities must deal with, for instance the approach to Intellectual Property Rights, patents and academic freedom. Sida may assist collaborating partners to establish policies and strategies as regards such issues.

HOW TO APPLY

Proposals should include the following information:

- Goal of project
- How activities relate to national Poverty Reduction Strategies, national research policy and strategies.
- Institutional setting and relationship between proposed activities and current research policy and strategies.
- A strategy for self-sustained, long-term maintenance of laboratory equipment and facilities.
- The proposal should also include analysis on critical multidisciplinary issues according to Section 9 below.
- Indicators against which the process can be measured and evaluated (structured into short-term, medium-term and long-term outcome indicators).

BUDGET

See Section 6 for details.

Development of research policies

5

Utilisation of resources for Research and Development (R&D), either of domestic or foreign origin, must be guided by policies developed in and by the country in which the R&D is to be performed. The aim of support to development of national (or regional) research policies is to assist in the process of establishing national research systems capable of making use of endogenous human capacity, natural resources and promoting the development of an environment conducive to R&D.

What can be supported?

Research on research policies
University Research Policy Development
National Research Policy Development
Regional Research Policy Development

This may include e.g. mapping the research landscape, forming and strengthening arenas for research policy debate, analysing research policy and practice.

Who can apply?

Research groups that intent on performing research on research policies in their respective countries but also regionally. This support is dealt with as part of support to research programmes at the universities/institutions (see further Section 2 Research capacity development).

University (or institutional) management who aspire to develop a new university research policy or to revise an older version of an existing university research policy or reform.

National research councils or ministries involved in research support (guiding, governing), and research policy development

who aspire to develop a new national research policy or to revise an older version of an existing national research policy

Regional research institutions who aspire to develop new regional research policies, to revise existing regional research policies or to share experience within the region

HOW TO APPLY

1. Research on research policy

See further Section 3.4 above.

2.,3.,4. Research policy development at university, national or regional level

The project description must include the following non-exhaustive components:

- How the policy relates to national or regional Poverty Reduction Strategies (PRS).
- Institutional setting and current research policy.
- The goal of developing a research policy and for whom it is intended.
- Measures planned to ensure that the development process of the research policy is as transparent as possible.
- A participatory process involving the academic community as well as stakeholders from the wider society.
- The instruments to be used to ascertain the cost implications of the research policy.
- The research policy in a globalised context.
- A Logical Framework Analysis, including a Gender Analysis.
- Indicators against which the process can be monitored and evaluated (structured into short-term, medium-term and long-term outcome indicators).

A work plan indicating planned activities must be produced for the first year of the agreement period. Subsequent annual work plans should be submitted together with the annual progress report (see Section 10).

What can be applied for?

Costs associated with the process of developing research polices, as described under the heading "What can be supported?" above, except for 1. Research on research policies, for which Section 3.4 applies. These costs may include studies, costs for meetings, project coordination costs, etc.

Budget

6

All proposals must include a work plan and budget. The budget should be based on the work plan. Ideally, all projects within the university/institution should use the same format for budgeting, aligned with the format prescribed for governmental organisations in the national budget process. This should also follow the fiscal year of the country concerned.

All project budgets should be compiled into an overall budget, by the coordinators.

Costs that may be financed by Sida include:

EQUIPMENT

Equipment needed for the project to be included in the work plan and budget for the project. Expensive equipment (over MSEK 1) to be included in the budget for support for research infrastructure (see Section 4.4).

CONSUMABLES

E.g. chemicals, analysis kits, fuel, literature, publications.

MAINTENANCE

Maintenance of equipment, spare parts and training of technical staff.

ALLOWANCES

Allowances and per diem should be in accordance with regulations at and per diem the applicant university/ institution, but will be regulated in the final agreement.

FIELDWORK

Allowances to e.g. research assistants involved in fieldwork.

TRAVEL

Only economy class fares are eligible. Sida will finance travel costs for participants connected to the project/programme only, e.g. students, technical staff, supervisors, coordinators, university management or others on invitation by Sida/SAREC.

OVERHEADS

Use of funds for overheads is to be negotiated between Sida and the applicant university/institution. It must be possible for the auditor to trace the use of these funds.

UNFORESEEN

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

ANNUAL REVIEW

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

AUDITS

Costs for annual audits should be included in the budget.

STUDENT

Student allowances may be paid through an arrangement with the Swedish Institute (SI)*. The budget for PhD students is currently SEK 10 000 (including accommodation) per student per month. A separate budget item should be used for allowances paid by SI. For further information on SI please refer to, "Procedures for Students to be paid during their stay in Sweden through the Swedish Institute", (Section 14.1 below).

INSURANCE

When allowances are paid by the Swedish Institute, insurance is automatically included, otherwise insurance costs must be included in the budget for the collaborating institution.

*The Swedish Institute, SI is a public 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 experience in the management of student allowances in a systematic fashion.

Budget items not specified in the work plan will not be financed by Sida.

The budget must be divided into three parts:

1) Budget for the applicant institution
2) Budget for the collaborating institution and, if applicable,
3) Budget for the Swedish Institute.

Collaborating university/institution

The budget for collaborating university/institution is to be discussed with the applicant university/institution and be included in the project budget. (See example of costs below)

	Year 1	Year 2	Year 3	Year 4	Sum
Applicant university/institution					
Budget item 1					
Budget item 2					
Budget item 3					
Budget item 4					
Budget item 5					
etc.					
Total Applicant uni./inst.					
Collaborating univeristy/institution					
Budget item 1					
Budget item 2					
Budget item 3					
etc.					
Total Collaborating uni./inst.					
Swedish Institute					
GRAND TOTAL					

Example of costs for the collaborating university/institution (approx. figures)

SEK 225 000 per student and year is included in the total amount.

For the supervisor(s) in Sweden: (approx. SEK 175 000)

- 2 months' salary including social security fees and administrative costs (approx. SEK 150 000)
- 1–2 visits per year to applicant university/institution (approx. SEK 25 000)

For the student: (approx. SEK 25 000–50 000)

- Office/laboratory for student
- Chemicals and consumables
- Access to computer with Internet connection
- Library services
- Telephone in the office, photocopies
- Books, computer programs
- Insurance, if not paid by the Swedish Institute
- Participation in suitable conferences and seminars when funding available
- Page fee when printing in international journals
- Cost for thesis printing and defence of thesis

Overheads for Swedish institutions are governed by the regulations in the document "Agreement on Cost Reimbursement", dated 15th June 2004, between Sida and the Swedish universities (see further www.sida.se).

Costs for programme coordinators in Sweden

Remuneration for coordination in Sweden may include salaries and travel. The applicant university/institution must negotiate the budget for coordination with the collaborating university/institution and Sida (see also Section 12.3). The budget for coordination should be included in the overall budget.

6.1. Budget follow-up

Budgets should be reviewed annually and revised as necessary. Revised work plans and revised budget for the following year should be discussed at the annual planning meeting and should be based on the progress of the activities in the project. See further information in "Sida's Guidelines for Planning, Reporting and Audit" at *www.sida.se*.

Major reallocations (above or below 30 per cent on each budget item) within the budget(s), must be agreed upon in advance, in writing between Sida and the applicant university/ institution.

Disbursement of funds

7

Funds from Sida to the applicant university/institution will be transferred to separate bank accounts for Sida funds. Funds are disbursed from Sida to the designated coordinating office of the applicant university/institution for further distribution to the programmes.

When funds have been previously disbursed, new requests for funds from Sida should be made when at least 70 per cent of total disbursed funds have been utilized.

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

Contracts with collaborating university/institutions in Sweden will be prepared by Sida and sent to the collaborating university/institution after the signing of the agreement with the applicant university/institution. Sida pays directly to the collaborating university/institution or consultants contracted by Sida. Contracts with collaborating university/institutions in Sweden will be prepared by Sida and sent to the collaborating university/institution after the signing of the agreement with the applicant university/institution. Sida pays directly to the collaborating university/institution or consultants contracted by Sida.

Procurement

8

Procurement of equipment and services must be performed in accordance with existing national rules and procedures for public sector procurement, provided that Sida has found such rules and procedures acceptable (www.sida.se – search under Procurement.)

The applicant university/institution 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.

When an applicant university/institution carries out the procurement, one of three different systems of rules may be utilized:

1) National procurement legislation, (if this is used a description of the regulations must be enclosed in the application)
2) Sida's Procurement Guidelines or
3) International systems of rules for procurement, e.g. World Bank rules.

Before signing an agreement, Sida and the applicant university/institution must agree on the regulatory system that is to apply. One condition for Sida to finance procurement is that the system of rules must be based on internationally recognised procurement principles.

Equipment financed by Swedish funds is the property of the applicant university/institution that is then responsible for its maintenance.

Equipment and other fixed assets to be marked with an individual number and entered into a fixed assets register. The fixed assets register is to be updated regularly.

Critical aspects which must be addressed in all proposals

9

9.1. Poverty Analysis

Applies to university/institution level, 1–5 pages

Sida defines poverty as lack of power, choice and material resources, contending that poverty has many dimensions, not merely economic. Two types of perspectives are essential to all activities: a rights perspective and the perspectives of the poor. The rights perspective means that principles such as non-discrimination, participation, transparency, accountability and dignity are viewed as fundamental.

Among the issues that may be highlighted in a proposal to Sida with regard to an input's effects on poverty are the following:

- Will it have a significant impact, positively or negatively, on the health and life opportunities of poor women and men?
- Will it provide poor women and men with education and increase their access to useful and otherwise valuable information and knowledge?
- Will it strengthen the rights of poor women and men and make state organisations more responsive to their needs and interests?
- Will it empower poor women and men, individually or collectively? Will it increase their ability to assert their rights in relation to the state and more affluent citizens?

Other important items concern:

- How will the programme affect poor women and men, respectively, and will the impact differ according to gender?

- Effects on vulnerability.

- Whether the input diminishes the risk of vulnerable groups falling into poverty.

- Could the programme have negative effects on groups who are not poor at present?

In order for activities to be based on a rights perspective, more disaggregated statistical data than is currently available may be necessary.

The primary responsibility for ensuring that good Poverty Analyses are carried out rests with the applicant universities/institutions.

9.2. Environmental Impact Assessment

Applies to university/institution level, and to project level when relevant, 1–2 pages

An environmental impact assessment (EIA) must be included in the documentation on which decisions are to be based for all activities supported by Sida. It is the responsibility of the applicant university/institution to carry out the EIA. Sida's role is to review the EIA.

The design, content and scope of EIAs should be adapted to the needs in the project proposal in question. Projects that have a major environmental impact require extensive and detailed EIAs, while EIAs for projects that are expected to have little impact on the environment can be kept very brief. Research support programmes do not normally have any significant direct impact on the environment. However, it is important that EIAs take up the extent to which research projects, in their focus and strategy, are in line with the overall goal of environmentally sustainable development.

A distinction is made between environmental impacts that are the result of physical activities such as construction of buildings, production of material and transport and indirect impact that relate to the way in which the project is basically in line with sustainable development.

Examples of indicators of environmental impact include:

Support provided for capacity building and the development of institutions

- Are environmental aspects (in the wider sense of the term) integrated into activities (e.g. in the form of education and training or in plans and policies)?

- Are strategic environmental components included in research programmes and are they monitored?

- Do research projects contain one or more environmental component?

The operation and maintenance of institutions
- Consumption of resources (electricity, water etc)

- Degree of recycling

- Amount of hazardous waste generated

The following questions are asked by *Sida about brief EIAs*
- Has any appraisal been made that indicates that it is probable that the project will provide positive contributions to environmentally sustainable development? What are these contributions? Are they presented clearly?

- Has any appraisal been made that indicates any risk that the project may have a negative impact on the environment? What is this impact? Is a description given of whether it can be avoided or minimised?

- Have other alternatives for achieving the project goals been considered or alternatives that are better from the environmental point of view given?

9.3. Gender analysis

Applies to university/institution level, and to project level when relevant, 1–2 pages

Promotion of equality between women and men has been established as a goal for Swedish development cooperation by the Swedish Parliament. Equality is regarded as a matter of human rights and a precondition for effective people-centred development. Most countries, as signatories of the UN Convention on the Elimination of all forms of Discrimination against Women, share this view and consider that the responsibility to promote equality between men and women goes beyond the promotion of "women's issues".

In the context of preparing a research proposal to Sida, gender issues should be addressed both at the level of central university or research institution regulations and at the research project level. A gender analysis should answer the following questions:

- Has a gender or equal opportunity strategy been developed? If so, please enclose this document with the proposal. If not, mention if development of such a strategy is planned or underway and which body of the university or research institution has the responsibility for the development of this strategy.

- Do gender considerations constitute important dimensions of the proposed research project, either by defining relationships within the problem, or within data collection? If so, show explicitly how the methodology selected will address them.

9.4. Anti-corruption

Applies to university/institution level, and to project level when relevant, 1–5 pages

Corruption in this context means institutions, organisations, companies or individuals obtaining improper gains by their position in an operation and thereby causing damage or loss. It includes kickbacks and bribery, extortion, favouritism and nepotism, and also embezzlement, conflicts of interest and illegal financing of political parties.

Sweden has signed and/or ratified various international conventions intended to increase transparency and reduce the risks of corruption and thereby undertaken to follow these conventions. In addition, Sida has instructions from the government to support measures to combat corruption.

In the context of preparing research proposals and carrying out research activities, special attention should be paid to ensuring transparency in the process of drafting the proposal to Sida, in selecting research candidates, recruiting personnel, procurement rules and procedures, etc.

Analysis of the risk of corruption, and how to mitigate it, should be part of the Logical Framework Approach (see Section 9.7 below). Requests to assist in the improvement of competencies identified as being lacking following this analysis, may be included in the proposal to Sida.

9.5. HIV/AIDS

Applies to university/institution level, 1–5 pages

The point of departure of the Swedish HIV/AIDS strategy "Investing for Future Generations" approved by the Swedish Government in 1999 is the fact that HIV/AIDS breaks both social and economic development trends in developing countries hit by the epidemic. Consequently, the strategy points out the importance of regarding HIV/AIDS as a threat to development as a whole – not only as an isolated health issue. A multisector approach to the epidemic means that HIV/AIDS must

be considered within all development cooperation. As with any other serious threat to health and development, it is important to distinguish between immediate and underlying causes. These two types of causes, in turn, give rise to immediate and longer-term effects. In time, the epidemic will have a serious impact on all sectors of society. All employment sectors will suffer. The most vulnerable sectors of the economy are those heavily dependent on highly educated and experienced staff in short supply. These include banking and commerce, universities and schools, government and public services.

Within the university context it is important for members of staff and students to be clearly informed about what they can expect from the institution if they were to contract HIV/AIDS. Lack of a specific policy increases the vulnerability of the staff in research training programmes and can potentially put a strain on some of those involved in the collaborative research programmes. Consequently it is essential that institutions receiving research capacity support establish HIV/AIDS policies to guide the planning of research both in terms of staff development and to safeguard the adequate implementation of the programme. The content of such policy should be outlined in the proposal to Sida.

In circumstances where HIV/AIDS policies do not exist, Sida may be approached to help finance the development of such a policy, and advice on how to integrate HIV/AIDS information and knowledge into the curriculum of the university.

At programme and project level, the impact of HIV/AIDS on the planned activity should be assessed and presented in the proposal.

9.6. Ethical approval

Ethical approval of medical or health research projects is required as follows:

- Projects involving human subjects require ethical approval by the responsible authority in the country concerned. Where Swedish researchers or institutions participate, approval is also required from a Swedish ethical committee.

- Projects involving clinical trials of drugs, vaccines or other pharmaceutical preparations require, in addition, approval by a drug regulatory authority or other responsible authority in the country concerned. Where Swedish researchers/institutions participate or Swedish products are tested, approval must also be obtained from the Medical Products Agency (Läkemedelsverket) in Sweden.

- Projects involving experiments with animals should, whenever possible, be approved by the responsible authority in the country concerned. Where Swedish researchers or institutions participate approval is also required from a Swedish ethical committee.

- When changes or additions are made to the original project plan, renewed ethical approval is required.

- The recipient scientist and institution are responsible for ensuring that ethical approval in accordance with the above-mentioned rules is obtained before the study begins. Sida retains the right to require that the recipient scientist/institution produce proof of ethical approval before funds are disbursed.

9.7. The Logical Framework Approach and risk assessments

Applies to university/institution level, and to project level when relevant

Sida encourages the use of the Logical Framework Approach (LFA) or similar approaches as tools for designing change processes, monitoring progress and evaluating impact. LFA has proved valuable also in promoting a common approach among stakeholders. It contributes to creating clarity by arranging change processes in a logical structure that facilitates assessments of the relationship between inputs, outputs, outcome/impact and objectives. Basic assumptions are regularly reviewed which frequently reveals weaknesses in the original analysis or underlines changing circumstances that should be used for adaptation and updating of activities. Further information on how to carry out an LFA can be found, on the websites *www.sida.se (under "About Sida, Sida's Departments, Policy and Method)* or www.ausaid.gov.au/ausguide/ausguidelines.

Risk assessments are integrated parts of instrument such as the LFA. Measures to mitigate or manage risk should be included in a complete LFA. Continuous dialogue and open exchange of information between the project/programme owner and Sida are prerequisites for an early understanding of, and appropriate response to, risks that may occur.

Reporting

10

Agreements between Sweden (or Sida) and implementing entities must include articles on planning, review and reporting as well as auditing. Articles must state when various reports are to be submitted, meetings held and so forth.

Reports are part of project evaluation, and are essential for continued financial support of the project. These reports should summarize the course of the activities/research and give, in some detail, the positive and negative findings of the work in relation to the objectives of the project/programme. Sida aims at harmonising reporting procedures with other donors and applicant university/institutions are encouraged to present Sida with harmonised reporting formats.

The objectives of these reports are to

1) provide Sida with a dynamic picture of how, and the extent to which, funding has had a measurable impact on strengthening the research capacities of the applicant university/institution,
2) document the outcomes of the project/programme in terms of research activities, as well as scientific results, and
3) provide sufficient details on the progress made to permit evaluation by experts.

10.1. Progress reports

The applicant university/institution should submit one *Annual progress report* to Sida as stated in the Specific Agreement. The report should comprise all ongoing activities/projects and should be submitted through the programme coordinator. The report should be signed by the project coordinator of each collaborating institution.

The report for each ongoing activity/project should be brief and include the following:

1) Reporting period.
2) Project summary.
3) Highlights of research findings.
4) Training activities.
5) Publications.
6) Participation in national and international conferences, seminar and workshops.
7) Strengthening of research infrastructure).

At the end of the agreement period a final report covering the *entire* agreement period should be produced and should include information on the "spin-off" effects of the support.

The progress report must always be accompanied by a financial report (see Section 11) showing the current balance of funds provided for the project(s).

The report should serve as background document for any reallocation of funds to be agreed upon during the annual review meeting with the applicant university/institution(s).

10.1.1. Reporting period

The report should specify the period covered starting from the date the latest report was submitted. If no report has been submitted earlier, the start of the period should be the starting date of the programme/project.

10.1.2. Project summary

This should summarize the extent to which the objectives stated in the original proposal have been achieved. It should also describe how these objectives were realized and the impact of the ongoing project(s) on the development of the university/institution(s) and society at large. A brief account of completed and ongoing activities should be presented. If major deviations from plans have occurred, the reasons and anticipated consequences should be clearly described together with measures planned to ensure sufficient progress. Any problems encountered in the project should also be described here.

10.1.3. Highlights of research findings

Research findings, anticipated as well as unanticipated, should be briefly presented in a manner that is accessible and comprehensible to a wider audience in order to enhance public understanding of science. Researchers may be asked by Sida to further develop popular presentations of interesting research results.

10.1.4. Research training

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 laboratory/library or administrative personnel. For each type of training activity, a list of the names of the students and lecturers, their institutions and the length of the training should be enclosed. For training abroad, specify where the training has taken place and the duration of the stay abroad.

For PhD students, the parts of the study plan completed should be indicated and signed by the student and supervisor(s). Furthermore, the preliminary title of their dissertation should be listed.

In addition to the above, a separate list of all students who have completed their studies for an academic degree during the period that the report covers, the degree obtained and the university awarding the degree, should be supplied.

Mutual visits between collaborating institutions and their duration should be reported.

10.1.5. Publications

A list of all publications emanating from the project during the reporting period, with title, publication, publisher, author(s) and date, should be enclosed.

10.1.6. Participation in national and international conferences, seminar and workshops

A list of the themes of the conference/seminar in which researchers within the project have participated, names of participants from the project and mode of active participation i.e. presentation of results, Chair, etc. Details of any workshops attended or organised by project team members should also be reported.

10.1.7. Strengthening of research infrastructure

A list of all major equipment that has been purchased and installed during the reporting period using funding from Sida should be provided. This list should state which equipment is not operational, the reasons for this situation and measures planned to rectify this situation.

Any other major project activity aimed at improving

1) *facilities* e.g. laboratory, library etc, or
2) *capacity*, e.g. additional competence/skills acquired

should be reported.

10.2. Project Work Plan and budget for the following year

The Project Work Plan should include research training with particular emphasis on any significant changes in earlier plans. If changes require budgetary modifications, these must be clearly indicated.

The following items should be included in the plan:

1) training activities specifying the name of the trainee, the duration of and degree expected,
2) publications planned,
3) active participation in national and international conferences/seminars and workshops,
4) courses/seminars and workshops to be arranged within the project,
5) major equipment to be acquired during the period,
6) other planned activities.

In addition, the plan should address possible constraints on project implementation and suggest solutions to them. Finally, an estimated cost for implementing each activity and its specification/motivation should be given.

Financial reports

11

The Financial Report (FR) 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 project/programme. The information must be possible to verify through the accounting system.

The FR will be expressed in SEK, unless otherwise agreed.

The FR 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 FR 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.

The FR will also include all transactions relevant to the Agreement unless otherwise agreed. In order to enable the recipient to also include transactions performed directly by the donor, Sida and other donors will regularly (e.g. quarterly) submit a financial report covering such transactions.

Interest earned must be reported and interest from Swedish funds must be specified (or calculated as a share of total interest). Interest must be used for project 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 Statement of Financial Position (or the Balance Sheet) will, when applicable, specify non-utilised contributions from Sida.

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 must be coherent with the structure of the information provided in the project document, work plans and progress reports. Consequently the same terms, groupings and so forth should be used. Budget follow-up costs are to be related to activities. The applicant university/institution will, at an early stage (normally within three months), propose a format for the FR for discussion with Sida.

For further information on financial reporting, please refer to "Sida's Guidelines for Planning, Reporting and Audit" at www.sida.se.

Monitoring and follow up

12

In the Paris Declaration 2005, partner countries and donors committed to jointly manage and implement aid/resources in a way that focuses on desired results, and to use information to improve decision-making. Managing for Development Results has evolved as part of global activities to improve the definition and measurement of development outcomes. (www.oecd.org – search under Departments, DAC, Aid Effectiveness)

Monitoring and evaluation are important aspects of result-oriented management. Monitoring provides continuous records of programme/project activities, and it is designed to cover effects as well as inputs and outputs. Monitoring provides information needed by Sida and other stakeholders. *An evaluation provides in-depth analysis of issues that cannot be adequately covered by monitoring.* Sida uses evaluations strategically for purposes of learning and accountability.

Monitoring and follow-up is a responsibility to be pursued at different levels. Project coordinators bear direct responsibility for ensuring that their project is kept on track according to project plans and in relationship to institutional strategies. In turn, the overall programme coordinator or coordinating body assigned by the applicant university/institution bears the responsibility of following up different projects within the Agreement and making recommendations regarding reallocation of funds between projects. In addition Sida, through SAREC and the relevant Embassy, has a responsibility to review that the programme is developing according to original and revised plans, in relationship to assessments made by Sida and to the agreement. The co-operating partner and Sida bear joint responsibility as concerns monitoring progress against key dimensions of national development strategies.

The main instrument for dialogue on progress and financial performance should be the *annual review meeting* between the applicant university/institution and Sida, resulting in Agreed Minutes on how the programme should proceed. Complementary semi-annual meetings may be organised if necessary. If so, Sida representatives will come either from the head office or from the relevant Embassy.

12.1. Responsibilities of local project coordinators at applicant university/institution

Project coordinators, i.e. principal researchers/thesis supervisors, deans of faculties, directors of research institutes, or heads of departments, are responsible for close monitoring of research projects and research training as defined in projects.

The following items should be checked continuously:

Progress according to time and work plans regarding training, research proposals, field and laboratory work, visits of research students and supervisors, presentation of research reports, dissemination of results and number of degrees awarded.

Scientific quality of research proposals, sampling and analysis and research reports.

Financial follow-up of expenditure in relationship to budgets, including costs for external partners.

Regular contacts with Swedish supervisors and researchers for discussions on project implementation.

Contributions to the strengthening of research infrastructure such as staff development, curriculum development etc.

Results and publications

Deviations from plans and budgets should be discussed at an early stage with project coordinators at the collaborating institutions, with the applicant university/institution programme coordinator and, when major changes are considered, with Sida.

12.2. Responsibilities of project coordinators at collaborating university/institution

Project co-coordinators and supervisors at collaborating universities/institutions are responsible for monitoring progress of research students/personnel and research activities taking place at collaborating institutions. Progress and financial reports

should be regularly discussed with the local coordinator (project coordinator from the applicant university/institution). Reports of progress in relationship to plans and expenditure in relationship to budgets should be sent to the local project coordinator to be compiled into the annual project report.

12.3. Responsibilities of programme coordinators

Schemes for programme coordination may be designed in different ways at different universities/institutions. Some universities/institutions have a special unit at the central administration level which is responsible for the management and administration of the entire research programme at the university/institution. In such cases this unit is the Sida partner for the administration of the research collaboration. In other cases, the local programme coordinator assigned by the applicant university/institution bears responsibility for the general monitoring and management of the entire programme and is the Sida partner for administration of the research collaboration.

The programme coordinator *assigned by the applicant university/institution* is responsible for general monitoring of the entire programme. As such, he/she is the contact person between Sida and the applicant institution and consequently must request and compile reports from project coordinators and ensure their timely submission to Sida. In addition, he/she must ensure that projects comply with institutional procedures for control of scientific quality of research proposals and reports, and assist Sida in preparing joint meetings and visits. The duties of this coordinator are subject to discussion with the applicant institution.

The tasks of the programme coordinator(s) *assigned by the Swedish collaborating institution(s)* are to assist with programme management, as well as strengthening scientific cooperation between the universities in Sweden and the applicant institution. The coordinator will act as the focal point for communication and information exchange with Swedish project coordinators as well as with the coordinator at the applicant institution and Sida.

12.4. Sida's responsibilities

Sida and the collaborating university/institution are jointly responsible for follow-up and monitoring of the programme at annual progress and planning meetings. Sida research officers should visit the applicant university/institution at least once a year in connection to the Annual Review meeting. If possible Sida should harmonise these annual meetings with other donors.

In some countries, follow-up and monitoring of research support is delegated to the relevant Embassy.

12.4.1. Sida's annual review mission

A delegation from Sida reviews all project reports on site together with representatives from the applicant university/institution and project supervisors. If considered necessary, field visits may be made. The delegation will most often involve a Sida research officers and occasionally Sida programme economists, Sida thematic research officers, the Director of the Department for Research Cooperation, heads of divisions, representatives of the Embassy of Sweden and/or representatives of the Sida Research Council.

The review mission is concluded by the Annual Review meeting with the participation of the applicant university/institution management, project coordinators and Sida. Discussions should include a review of project progress, financial status of projects, external and/or internal factors influencing performance and possible measures to improve performance. Decisions regarding reallocation 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.

12.5. Planning for a renewed proposal

Planning for a renewed proposal should be initiated during the second year of the agreement period. Sida invites the submission of proposals for new or continued projects and provides policies and guidelines for the programme at an annual or semi-annual review meeting. Indicative plans should be discussed at the following review meeting before a final application is submitted to the programme coordinator of the applicant university/institution.

It is mandatory that the applicant university/institution carries out an internal review, prioritises among the applications and submits one combined proposal to Sida.

12.5.1. External evaluations

External evaluation of projects should be conducted at least once every five-year period. Evaluations may be conducted on particular projects (i.e. project performance, project impact etc.) or on specific aspects of various projects (i.e. PhD courses, research dissemination, research management etc.). Sida is responsible for contracting of evaluation teams. Terms of reference should be agreed between Sida and the evaluated parties. The applicant university/institution is responsible for making relevant material available to the evaluators and for facilitating visits to relevant institutions and field sites by evaluators.

Audits

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

Audits to be procured by the applicant university/institution. *Costs for audits should be included in the programme budget.* Procurement must be made 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 are sent to Sida at least one month in advance of the annual review meeting.

The audit 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.

The auditor must submit a management report, which reviews the management and internal control system of the programme. The letter must state what measures have been taken as a result of previous audit/management reports and whether measures taken have been adequate to deal with reported shortcomings.

A management response is to be produced by the management of the applicant 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.

No disbursement can be made until Sida has approved the audit.

13.1. Special audits

The applicant university/institution will assist and cooperate with Sweden in performing any audits deemed necessary by Sida. Inspection of records and documents, as well as auditing, may be carried out by any appropriate agency specified by Sida.

Visits to Sweden

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The Sida research cooperation model includes visits by cooperating researchers. Researchers from the applicant university/institution will need to visit Swedish universities/institutions for short-term stays to plan projects or conduct essential research activities dependent on the facilities at the Swedish university/institution.

In cases where the sandwich training model is used, research students will visit Sweden on medium to long-term stays to take courses. For practical and budgetary reasons, it is essential that all visits be planned well in advance.

Travel will be undertaken in economy class only. Sida finances travel costs for individuals connected to the project/programme only, i.e. students, supervisors, coordinators, university management or others invited by Sida/SAREC.

Costs for per diem, allowances etc to be in accordance to regulations at the university.

Information on visas

Short-term visitors to Sweden (maximum 3 months) need a "Schengen insurance" and a visa. For students receiving allowances through the Swedish Institute, please refer to Section 14.1 below.

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

14.1. Procedures for paying students during their stay in Sweden through the Swedish Institute

Forms A, B and C will be provided by Sida on request

The service provided by the Swedish Institute (SI)* covers student allowance payment and insurance for students financed by Sida during their study period in Sweden through an automatic system. Insurance cover includes illness and accident during the student's period in Sweden. The contribution will also cover the cost of participation of the above mentioned students in seminars on Swedish topics such as culture, economy, media etc. which are organised each semester by SI.

The relevant SAREC research officer (RO) should provide SI with details of the following:

The coordinators of programmes with their affiliations and contact information. This refers to both coordinators in Sweden and in the collaborating country. To be provided as a table (FORM A)

The coordinators in their turn are expected to provide SI with details of each student involved (FORM B). This form should be filled in and sent to SI before the student arrives in Sweden *for the first time. It is essential that SI is informed at least one month in advance.* If this is not done the student cannot expect to be paid for that month.

Students should endeavour to obtain a bank account to expedite the payment receipt process. It is important that the relevant coordinators provide the Sida/SAREC RO with a budget which indicates the projected length of time that each student is expected to stay in Sweden. This should be calculated for each year during the agreement period. This information provides Sida/SAREC with relevant information concerning the level of funding to disburse to SI.

It is important also that the coordinator establishes the details of when students are arriving in Sweden and how long they intend to stay (FORM C). It is imperative that there is forward planning in terms of information provision. It is not appropriate for people to expect to be paid on time if they suddenly decide to change their travel plans. If circumstances arise that make it necessary to change the planned time of arrival or to extend the stay, it is essential that the SI is informed at least one month in advance. It is *then the responsibility of the coordinator to provide an updated FORM C for SI.* If this is not done the student cannot expect to be paid for that month.

*The Swedish Institute, SI is a public 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 experience in the management of student allowances in a systematic fashion.

The current level of allowance for students supported by Sida/SAREC is SEK 10 000 per month which is to include costs for housing, travel and subsistence allowance. If students arrive before/on the 15th of any month they receive the full one month allowance. Students arriving in Sweden on or after the 16th of any month will receive half of the monthly allowance. This is the level to be used for all students until a formal decision is made to change this amount.

It is too complicated to have a situation where the amounts to be paid to students vary each month due to arrangements made for housing. Funding level is established at SEK 10 000, out of which the student pays for their housing.

Information about visas

If the stay is maximum 3 months:

The student needs a visa and "Schengen insurance". The student needs the insurance in order to obtain the visa. SI arranges the insurance in each individual case.

How to proceed:

When the student is at the Swedish Embassy to apply for a visa, they must ask the embassy to contact SI about the Schengen insurance. SI in turn contacts the relevant agency in Stockholm for the insurance and confirms to the embassy that this has been arranged.

If the stay is longer than 3 months:

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

Completion of programmes

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The overall aim of Sida's support to national research systems is that the partner countries should be able to independently identify research problems of relevance for development, to prioritise areas for research, to carry out research and to secure necessary financial resources and human capacity to enable the research system to deliver. Support from Sida/SAREC to particular research programmes typically has a span of 8 to 10 years, 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 during the previous phases.

In case of serious breach of the conditions set in the Agreement between Sida and the applicant university/institution or the collaborating university/institution, Sida may terminate the Agreement with immediate effect.

Glossary

Applicant university/institution: any legal entity such as a university or research institute in a developing country with which Sweden has established, (or intends to establish), research collaboration. Also the organisation where the main applicant is working. It may sometimes be referred to as the home university/institution.

Collaborating university/institution: any legal entity such as a university or research institute in Sweden that serves as counterpart in a research programme for a university or research institute in a developing country.

Principal researcher (main applicant/supervisor) or project coordinator: is the individual who is responsible to the applicant institution for all aspects of the activities referred to in the application. She/he may sometimes be referred to as project coordinator.

Programme coordinator: individual responsible for the general monitoring of an entire programme. To be appointed jointly by the applicant university/institution and by the collaborating university/institution.

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.

Halving poverty in the world by the year 2015 is possible. It requires cooperation and perseverance. The partner countries are responsible for their own development. Sida provides resources and develops knowledge and expertise, enriching the world.

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