

Guidelines

for Grants from the
Appropriation for NGO



Table of Contents

1. Introduction.....	3
2. Goals and Guiding Principles.....	5
2.1 The Goal of Swedish Development Cooperation	5
2.2 Goals and Strategies for Programmes Within Sida's Cooperation With Civil Society Organisations	6
3. Cooperation Between Swedish NGOs and Sida.....	10
3.1 The purpose of the framework system	10
3.2 Sida's role and responsibility	11
3.3 The role and responsibility of framework organisations.....	11
3.4 The role and responsibility of other Swedish NGOs	12
3.5 The role and responsibility of international partners	13
3.6 The role and responsibility of local partners.....	13
4. Sida's Requirements and Assessment Criteria	14
4.1 The actors and their cooperation.....	15
4.2 Activities	17
4.3 Support requiring special assessment.....	20
4.5 Administration	24
4.5 Self-financing.....	26
4.6 Budget and Financial accounts	26
Annex 1 Application Format.....	28
1A The framework organisation's application for a three-year grant	28
1B Application for a grant for a one-year transition period	32
Annex 2 Report Format.....	33
2A The framework organisation's final report for a three-year period.....	33
2B Reporting of an intermediate year during a three-year contract period.....	35
2C Reporting of a one-year transition period.....	36
Annex 3 Project Documentation.....	38

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1. Introduction

These Guidelines regulate development cooperation supported by Sida within the framework of the appropriation item for Non-Governmental Organisations (NGOs). The Guidelines embrace all aspects of this development cooperation, including information grants and exchange activities that were previously the subject of separate guidelines. They also cover the residual programme of grants to NGOs for activities in Eastern Europe – since 2007, this has only been in Russia.

The grants provided from this appropriation item are based on the “self-financing” principle, which means that the NGO itself must finance at least ten per cent of the total budget supported by Sida.

Sida’s Guidelines for grants from the NGO appropriation item regulate the cooperation between Sida and the organisations with which special cooperation agreements, called framework agreements, have been entered into. These framework organisations have the responsibility of ensuring that the Guidelines are also followed in subsequent stages of the activities. These Guidelines regulate only that part of the organisation’s activities that receives a grant from the NGO appropriation item.

In addition to these Guidelines, Sida’s cooperation with a framework organisation is also regulated by Sida’s General Conditions for grants to Swedish non-governmental organisations, and also by the contract that Sida enters into with the organisation and any specific instructions that may be given.

These Guidelines are based on the Swedish Policy for Global Development and on the goals, perspectives and main features that have been established for development cooperation. They are also based on the government’s annual letter of instruction and other instruments to Sida. The Guidelines are also based on Sida’s central documents such as *“Perspectives on Poverty”*, *“Sida at Work”* and *“Sida’s Policy for Civil Society”*.

The second chapter of these Guidelines describes the goals and guiding principles that have been formulated by the Swedish Parliament and the Government, and also by Sida. The chapter thus provides information about the direction and the basic values that shall characterise those activities that seek support from Sida.

The third chapter describes the various forms of cooperation between Sida and the NGOs, and the roles played by the different actors. The purpose of the chapter is to give all the actors a joint picture of what the cooperation looks like.

In the fourth chapter, Sida summarises the requirements and assessment criteria that apply to all organisations seeking a grant from this appropriation item. This chapter therefore regulates the organisations' activities.

Development work for civil society can be divided into two parts:

- support for civil society in partner countries
- communication by NGOs in Sweden

Communication in Sweden refers to NGOs' efforts to inform and communicate with Swedish target groups (as well as the European and multilateral debate arena) about global issues and development cooperation that can receive support via Sida's information grant. Support to communication activities in development countries is a part of the support to civil society in partner countries.

When Sida speaks about a programme in these Guidelines, this refers to a coherent part of the organisation's operations that are directed towards a specific goal. Furthermore, the results of these activities should be able to be monitored. A programme consists of a number of parts that are here referred to as projects.

These Guidelines are subject to regular revision. Sida notifies the framework organisations of each revision. The current version is always available on Sida's homepage: www.Sida.se.

2. Goals and Guiding Principles

2.1 The goal of Swedish development cooperation

The Swedish parliament has, as a part of the Swedish Policy for Global Development established the following overarching goal for Swedish development cooperation:

“To contribute to an environment supportive of poor people’s own efforts to improve their quality of life.”

This goal must be kept in focus and must define the assessment grounds for all development cooperation that NGOs engage in with Sida’s support, and it must also be the central feature of all result reporting.

Sida defines poverty as a condition where people are deprived of the opportunity to decide over their own lives and create their own future. A lack of power, choice and material resources are at the core of poverty. Poverty is dynamic, multidimensional and context-specific.

According to the Policy for Global Development, all development cooperation shall be characterised by a rights perspective and a poverty perspective. This means that these perspectives must be the points of departure for the development activities undertaken by the NGOs receiving support from Sida. The rights perspective focuses especially on democracy, human rights, equality, humanitarian rights and the rights of children, and builds on the common global agenda formulated in the United Nations Universal Declaration of Human Rights and in the subsequent conventions. The poverty perspective focuses on promoting the possibility for those living in poverty to express their needs and interests, and to ensure that these are fully incorporated into development cooperation. This requires participation by the poor in all development processes.

The Policy for Global Development declares that development cooperation is based on eight guiding principles:

Fundamental values:

- Democracy and good governance
- Respect for human rights
- Gender equality

Sustainable development:

- Sustainable use of natural resources and protection of the environment
- Economic growth
- Social development and social security

Other:

- Conflict management
- Global public goods

These eight guiding principles are to be treated not as partial goals but rather as important components in a holistic view that shall characterise development cooperation. These guiding principles shall therefore also be the basis of development work carried out by the NGOs receiving support from Sida. A project supported by Sida must never oppose any of these guiding principles.

2.2 Goals and strategies for programmes within sida's cooperation with civil society organisations

Goal

In the Swedish government's letter of instruction to Sida, it is stated that the goal of appropriation for *non-governmental organisations* is to promote the development of a vibrant and democratic civil society, in which human rights are respected, in partner countries.

Sida defines civil society as:

“an arena, separate from the state, the market and the individual household, in which people organise themselves and act together in their common interests.”

Sida's policy for support to civil society states that its development has a great potential in various areas:

- a greater potential for improving living conditions is created through the poor's own self-organisation.
- civil society is a central component in a well-functioning democracy, locally, nationally, regionally and globally.
- civil society contributes to the avoidance of armed conflict and the creation of peace.

The development of civil society shall contribute to the creation of conditions that enable the poor to improve their living conditions. This means that Swedish NGOs' support to civil society in partner countries shall be based on the needs of the poor. This support must therefore be based on a clear analysis of poverty and must focus on poor people's central problems and the associated solutions. In addition, the poor must be the central target group and subject, through the prioritisation of efforts directed towards building their ability to organise themselves.

An important task for NGOs is also to carry out communication activities in Sweden. The support in partner countries and the communication activities in Sweden have different target groups and different working methods, but they should be seen with a holistic view with the joint aim of promoting and increasing global justice. Therefore, Sida wishes to make it easier to find organisational forms that integrate

development efforts with communication activities in Sweden. An important feature of this is to give a voice in the Swedish debate to the people and organisations from partner countries.

In its letter of instruction, the Swedish government has stated that the goal of these programmes is to increase interest and involvement in global development issues in Sweden.

Against this background, there are two goals for Sida's partner organisations in civil society.

The goal for support to civil society in partner countries is:

- *“To promote the development of a vibrant and democratic civil society that strengthens the ability of the poor to improve their living conditions.”*

The goal for the communication of NGOs in Sweden of is:

- *“To contribute to equitable and sustainable global development by working to increase the interest and involvement in global development issues in Sweden.”*

Analytical model

For support to civil society in partner countries

In its efforts to support the development of civil society, Sida has identified four fundamental types of support. They can be related to each other in a coherent analytical model based on two intersecting axes.

One axis illustrates the two classic roles played by any popular movement: a social agitator/consensus builder (“voice”) as well as an organiser of important social services (“service”). The “voice” means that people create an organisation to make themselves heard in issues of interest, to protest against injustice, to try to convince others of their ideas etc. Within the framework of the NGO grant, Sida wishes to support “voice” in the sense that the poor must have an opportunity to put forward their ideas and be heard. “Service” means that human beings jointly organise some type of common activity that is important for themselves or for others (agricultural cooperatives, adult education, cultural groups, sports associations etc). Within the NGO grant, Sida wishes to support “service” in the sense that the poor must themselves or in cooperation with others organise activities that cater to their fundamental rights and needs.

On the second axis, the support ranges from strengthening the organisations themselves (“being”) to supporting the work in which they are involved (“doing”). “Being” means that the focus is on reinforcing the capacity of the partner organisation and thus on organisational development. “Doing” means providing support to an organisation's core operations, as long as these are directed towards strengthening the ability of poor people to change their living situations.

The four types of support can thus be summarised as follows:

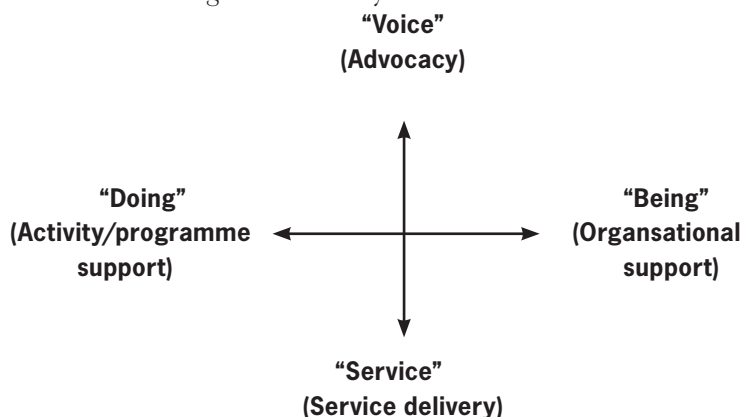
Organisational support

- *“Reinforcing the capacity of organisations that contribute to making the voices of the poor and marginalised groups heard.”*
- *“Reinforcing the capacity of organisations engaged in social services that increase the possibility of the poor to change their living situation.”*

Operational support

- *“Reinforcing the operations of organisations that contribute to making the voices of the poor and marginalised groups heard.”*
- *“Reinforcing the operations of organisations engaged in social services that increase the potential of the poor to change their living situation.”*

Either an organisations' entire operation or a specific programme can be placed in the following coordinate system.



Sida sees its support to the activities in these four fields as coherent and mutually reinforcing in order to achieve the goal of a vibrant and democratic civil society in partner countries. The NGO's overall operations should therefore include all these support forms, although different programmes and projects may have different emphases. For Sida, this model is an analytical instrument to identify the different aspects of the NGOs' operations. The intention is to further develop this instrument so that it can be used as a follow-up tool.

For communication in Sweden

Sida has identified two main kinds of communications activities undertaken by NGOs in Sweden:

- *Work to influence opinion regarding current issues, in order to give the poor a voice and in different ways to encourage national and international actors to contribute to more just global development*
- *Long-term activities to promote an understanding of global development questions among the Swedish public, and selected target groups therein, in order to strengthen the development of public opinion*

Sida supports both of these types of activities and views them as equally important, as well as mutually reinforcing. If communication activities are to be effective, it is important that Swedish organisations develop their capacity in this field. Sida therefore supports capacity building within these organisations.

2.3 Guiding principles for cooperation with civil society organisations

Development cooperation between Swedish NGOs and their local partners in partner countries as well as their communication activities in Sweden must, in Sida's view, be based on the following fundamental principles:

- Civil society organisations are independent and are steered by their own goals and principles but, in order to increase their penetration, they should seek to collaborate within development cooperation.
- Support to civil society shall promote diversity and respect for minorities, and shall be given only to organisations and activities that promote the democratic development of society.

- Support to civil society shall facilitate the linking together of a global and a local perspective.
- Cooperation between civil society organisations shall be built upon reciprocity, dialogue and long-term potential and be based on the ownership and initiative of local partners.
- The content of the organisations' communication shall be factual, soundly based and linked to concrete examples, and shall give a balanced picture of the problems and opportunities in developing countries.

These goals, analytical model and guiding principles form the basis Sida's understanding of the purpose of and the basis of evaluation of the cooperation between Sida and NGOs. From this background, Sida assesses the capacity and programmes of framework organisations.

3. Cooperation Between Swedish NGOs and Sida

3.1 The purpose of the framework system

Sida's cooperation within the NGO appropriation item is based on the conviction that support to civil society can usually best be given through cooperation with civil society's own organisations. As a result of their comprehensive organisational knowledge, their long experience of development cooperation and their experience of both advocacy and long-term knowledge of global development issues, Swedish organisations are well placed to contribute their experience and interest to organisations in developing countries. Through cooperation with people and organisations in developing countries, Swedish organisations also gain new knowledge and experience, which is beneficial for development in Sweden.

Sida's support to Swedish NGOs within the framework of this appropriation item is based on the principle of granting government support within a given framework to activities that are carried out under the organisation's own initiative and responsibility. Sida indicates the nature of its support through these Guidelines and Sida's General Conditions. The direct cooperation takes place between Sida and the Swedish NGOs with which long-term "framework agreements" have been entered into. Through grant-mediating framework organisations, Sida also has indirect cooperation with other Swedish NGOs that receive a government grant for development cooperation¹.

The major purpose of the framework system is to establish cooperation between Sida and Swedish NGOs that embraces as wide a group as possible, where multiplicity and differences have a considerable importance, both in Sweden and among the Swedish organisations' partners in developing countries. Through the framework system, Sida hopes to achieve:

- high-quality development work to support civil society in developing countries
- a broad range of contact between Swedish organisations and their partners
- a good platform for influencing public opinion in Sweden

¹ During a transitional period, Sida will continue to have direct cooperation through a programme agreement for an information grant with a number of Swedish NGOs that do not have a frame agreement.

- a structured dialogue with Swedish organisations concerning method and policy issues
- a rational and efficient procedure for managing the NGO appropriation item.

Cooperation takes place through a chain of actors with different roles and different responsibilities. An agreement regulating the cooperation shall be entered into for each link in the chain.

3.2 Sida's role and responsibility

Sida is responsible for guaranteeing the quality of the framework organisations' capacity and overall operations as well as to ensure the proper conditions for mutual learning. Sida therefore plays three roles in cooperation with framework organisations:

- as an analyst, to assess and understand the mechanisms that promote the development of civil society and how they can best be supported
- as a dialogue partner for the framework organisations and their partners, to listen to their experiences of civil society, to contribute with Sida's own experience and to bring together organisations with similar goals and similar ways of working to achieve different types of cooperation
- as a financier, by assessing the capacities and systems of the framework organisations, and by preparing and following up the grants to the framework organisations' activities.

Sida's responsibility, through grant agreements and through the development of policy, conditions, instructions and other guidelines, is to ensure that the NGO appropriation is used as efficiently as possible to promote civil society development. Sida is also responsible for ensuring that results from the NGO appropriation are properly reported to the government, the public and the framework organisations and their partners.

Sida's cooperation with the framework organisations is based on a long-term commitment. A framework agreement normally runs for 8–10 years. An agreement relating to Sida's financing of core activities is normally valid for three years, followed by a one-year transitional phase with continued financing. During this phase, the framework organisation presents a report of the result of the first period together with an application for an additional three-year period. Sida undertakes an in depth analysis of both the report and the application before a new financial agreement is decided upon. Throughout the period of cooperation, the framework organisation submits annual financial reports in accordance with Sida's requirements. During each four-year cycle (3+1 years), a follow-up of previous system audits and a programme evaluation is usually carried out on Sida's initiative. Sida assesses the organisation's qualifications as a framework organisation at least during each alternate four-year cycle.

If there are special reasons, Sida can enter into a framework cooperation with shorter cycles than have been indicated here.

3.3 The role and responsibility of framework organisations **General for framework organisations**

Sida's primary partners are framework organisations, i.e. those Swedish NGOs with which Sida has entered into framework agreements.

The framework organisations are responsible for ensuring that Sida's support for civil society development in partner countries as well as communication activities in Sweden is used in accordance with Sida's Guidelines and conditions. The framework organisation is responsible for the planning, follow-up, reporting and analysis of the results of its activities in a manner that allows Sida to assess its quality and use it in an overall learning context. The framework organisations also participate in broader dialogue concerning development cooperation, both in Sweden and in partner countries.

Framework organisations responsible for grant mediation

In addition to the tasks indicated above, Sida can also enter into an agreement with the framework organisation giving it grant-mediating functions. Such an organisation has the task, within the framework of its own identity and guidelines, of mediating Sida grants to member organisations or other organisations within its sector. This function involves an additional role and responsibility.

Quality assurance: It is the role of the grant-mediating framework organisation to ensure that applicant organisations and their programme proposals are assessed and followed up in accordance with Sida's instructions and other guidelines, and to present this to Sida in accordance with what is prescribed in these Guidelines.

Advice: The grant-mediating organisation shall also advise applicant organisations, e.g. by ensuring that the applicant organisations are given adequate information about important policies, principles and regulations within the field of Sida's NGO support.

Capacity development: The grant-mediating organisation is responsible for supporting applicant organisations in their capacity and competence development with respect to all aspects of development cooperation. An important cooperation resource in this respect is the Sida Civil Society Center.

Communication: The grant-mediating framework organisation also has the task of acting as a point of contact between Sida and the applicant organisations. The framework organisation is responsible for ensuring that the applicant organisation has access to central information from Sida and similarly that Sida has access to central information about the development and programmes of the applicant organisation. The grant-mediating framework organisation shall also create a platform for a direct dialogue between Sida and the applicant organisation.

3.4 The role and responsibility of other Swedish NGOs

General

A Swedish non-governmental organisation can seek a grant for cooperation in a developing country or for communication activities in Sweden through the grant-mediating framework organisation in which it is a member or to which it is affiliated in some other way. An organisation without such an affiliation can instead seek a grant from Forum Syd. The NGO is responsible to the grant-mediating framework organisation for ensuring that the support from Sida for the development of civil society in partner countries or communication activities in Sweden is used in accordance with Sida's Guidelines and conditions. The organisation is responsible for the planning, execution, follow-up, reporting and analysis of the results of its activities in a manner that makes it possible for the framework organisation to monitor its programmes and to report the main results and lessons learned to Sida.

Programme contract organisation

Provided it is first approved by Sida, a framework organisation can enter into an agreement relating to multi-year support to a Swedish NGO that has broad operations and good capacity, or a specific competence, but that nevertheless does not justify a direct framework agreement with Sida. A Swedish NGO can apply to the framework organisation for such a programme contract. In its decision regarding grant provision, Sida indicates the amounts allocated to each organisation that has a programme contract.

In most cases, Sida cooperates indirectly with these organisations via the responsible framework organisation. The programme contract organisations are, however, important direct dialogue partners with Sida in matters relating to methods and policy.

An organisation with a programme contract is responsible to the framework organisation for ensuring that the support from Sida for the development of civil society in partner countries and communication work in Sweden is used in accordance with Sida's Guidelines and conditions. The organisation is responsible for the planning, execution, follow-up, reporting and analysis of the results of its activities in a manner that makes it possible for the framework organisation to monitor its programmes and to report the major results and lessons learned to Sida. An organisation with a programme contract is also expected to participate in various forms of dialogue concerning development cooperation.

3.5 The role and responsibility of international partners

Many Swedish NGOs belong to some kind of international organisation or network. There are many examples of development cooperation where the Swedish organisation supports programmes within such an international framework. Sida looks favourably upon this type of cooperation, provided that it takes place within the purview of these Guidelines and that it is possible to clearly monitor programmes.

Within the Swedish framework for NGO cooperation, the international organisation is responsible for the planning, execution, follow-up, reporting and analysis of the operational results in cooperation with its local partner. This should be done in such a way that makes it possible for the Swedish organisation to monitor the programmes and to report the major results and lessons learned to the framework organisation or to Sida.

3.6 The role and responsibility of local partners

The cornerstone of development cooperation funded by Sida in accordance with these Guidelines is that there is a partner organisation that is a party to an agreement in the partner country. The development of the capacity of the partner organisation and those organisations or groups with which it in turn cooperates shall be a part of the aid provided.

The local cooperation partner enters into an agreement with a Swedish organisation or via the international organisation with which it cooperates with regard to support for the programmes contributing to civil society development.

The local partner has the primary responsibility for ensuring that the work is carried out in accordance with the joint planning. It is responsible for the planning, follow-up, reporting and analysis of the results of its activities in cooperation with its local partner in a manner that makes it possible for the Swedish or international cooperation partner to monitor its programmes and to report the main results and lessons learned to the framework organisation or to Sida.

4. Sida's Requirements and Assessment Criteria

This chapter outlines the requirements and assessment criteria that provide the basis for cooperation between Sida and the framework organisations. The purpose is to promote clarity and to focus on the essential features of cooperation. Since cooperation between Sida and framework organisations continues through a long chain of actors, the ambition is to establish a system for planning and result follow-up that meets the needs not only of Sida but also of other actors.

With these requirements and assessment criteria, Sida wishes to achieve the following:

- operational knowledge
- control and the possibility of a follow-up
- learning

The principle for Sida's cooperation with the framework organisations is that Sida's governance and dialogue shall partly function on the organisational level and partly on the programme level..

Sida uses the term "programme" to refer to a coherent part of the organisation's operations that are directed towards a particular goal, has been formulated in a dialogue with the partner and that produces results that can be followed up. The programme's limits are determined by its own particular logic. A natural limit can be a country, a district or a thematic area. Sida and the framework organisation reach an agreement concerning an adequate scope for the programme. The work within a programme can have different degrees of homogeneity, from loose coordination of different projects (which can be normal among grant-mediating framework organisations) to rigidly coordinated projects with a clear theme. Cooperation between Sida and framework organisation primarily occurs on the programme level.

The project level is the concrete limiting sub-level within a programme. This level can also be delimited in different ways depending on the logic of the activity. This level is dealt with in cooperation between Sida and the framework organisation only in the form of system requirements, spot-check follow-ups and statistics

4.1 The actors and their cooperation

General requirements for a framework organisation

A fundamental requirement before a framework agreement can be reached with Sida is that the organisation shall have a democratic structure and work on a basis of democratic values, and that it is characterised by transparency in regards to stakeholders and the public. This means that a framework organisation must normally be a non-profit association. A foundation can also be approved if it clearly anchored in a democratic society, is characterised by democratic values and transparency towards stakeholders and the public, and if there is a good reason for the choice of a foundation structure. The foundation shall have statutes that allow insight, shall have its offices in Sweden, shall be registered with the appropriate County Administrative Board, and shall have a Board of Directors that is appointed for a given period of service.

Sida enters into cooperation agreements with framework organisations after an assessment based on nine framework criteria (See Criteria for the selection of framework organisations):

- legitimacy
- competence in development issues
- competence in teaching and methodology
- ability to communicate in development cooperation
- ability to communicate in Sweden
- ability to mobilise commitment and resources
- scope and breadth of programmes or special competence
- reliability of the system for steering and control
- experience of previous cooperation

General requirements for a Swedish NGO

A Swedish NGO that does not have a framework agreement with Sida can apply for a grant for a project that supports civil society in a partner country or communication work in Sweden through a framework organisation of which it is a member or with which it is affiliated in some other way. An organisation that is not associated with any framework organisation can instead apply for a grant through Forum Syd.

The programmes are assessed by the framework organisation in accordance with what is stated in these Guidelines.

The applicant organisation must:

1. have a democratic structure, active members, an elected board, statutes and a regular meetings
2. have a non-profit or cooperative purpose and must work for a development of society based on democratic principles
3. have been active in Sweden for at least two years with a documentation of this in annual reports and accounts
4. have its head office in Sweden
5. have experience of development work in a partner country or communication activities in Sweden
6. have fulfilled its responsibilities, e.g. reporting and accounting tasks, with respect to any Sida grant previously received
7. not be a political party if the grant is for communication work in Sweden.

A foundation can receive a grant if criteria 1–7 are met and if the foundation has a clear anchorage in the life of the democratic society, is characterised by democratic values and transparency towards stakeholders and the public, and if there is a good reason for the choice of a foundation structure. The foundation shall have statutes that allow insight, shall have its offices in Sweden, shall be registered with the appropriate County Administrative Board, and shall have a Board of Directors that is appointed for a given period of service.

General information concerning programme contract organisations

If the framework organisation mediates a grant or in some other manner provides support to another Swedish NGO amounting to at least SEK 5 million per annum for support to civil society in a partner country or SEK 1 million for communication work in Sweden, the framework organisation shall enter into a programme contract with the recipient organisation. The programme contract shall be based on the organisation's capacity as indicated by the framework criteria and should run for several years, but not longer than the period of validity of the agreement between the framework organisation and Sida. On the basis of the programme contract, the framework organisation can mediate a programme grant for the work done by the programme contract organisation for several years, normally for the same period as that for which the framework organisation has a Sida grant. The framework organisation shall include its assessment of the organisation and its activities in the regular application to Sida.

If the framework organisation sees reasons other than the size of the grant for entering into a programme contract with another NGO or if, in spite of the above-mentioned size, there is a reason for entering into a programme contract, an application can be made to Sida.

General requirements regarding local partner organisations

The local partner organisation shall:

1. be an organisation of a non-profit or cooperative character. It shall be based on democratic values and shall be characterised by transparency and responsibility,
2. work for the development of society based on democratic principles,
3. have carried out a documented programme of activities for at least one year. In exceptional cases, organisations under construction and informal structures such as networks can be accepted as local cooperation partners provided their democratic character and non-profit or cooperative direction can be established.
4. be able to take responsibility for the proposed projects and possess the necessary personnel and financial resources
5. not be a political party.

Contents of the applications and reports concerning the organisation

In connection with Sida's assessment of a framework organisation in connection with a new cooperation contract, a thorough analysis of the organisation's competence and ability to carry out development cooperation is undertaken. In connection with the grant application, the framework organisation shall provide complementary information about current directions, visions, changing theories, forms of cooperation, the roles of actors and follow-up systems (see appendix1).

A grant-mediating framework organisation shall also present a description of the recipient organisations, their local partners and types of cooperation (see appendix 1).

In its final report, a framework organisation shall analyse and describe the changes and experiences in relation to what was presented in the application regarding the organisation, the partner organisations as a group and the forms of cooperation (see appendix 2).

4.2 Activities

Support to civil society in partner countries

The framework organisation's application

The framework organisation shall describe the entire operation for which a Sida grant has been sought, including a detailed description of the total goal, budget, strategies and priorities for the period concerned, together with information as to how the work shall be followed up and how the operation is expected to contribute to the development goals of the NGO appropriation.

All the programmes shall thereafter be described individually with regard to their direction, goal, type of work, cooperation partners, budget and follow-up procedures, including indicators of goal fulfilment, and an analysis of how the programme will influence civil society and contribute to the goals of the NGO appropriation. Where necessary, the programme's goal and direction should be analysed in relation to the Swedish partnership strategy. This shall cover the period to which the application applies.

Each programme shall also be analysed in accordance with Sida's general basic requirements and criteria (see appendix 1).

The framework organisation shall describe the projects and efforts that are included in the programme in the form of a list of project names and numbers, with a short description of each project, the country, cooperation partners and budget in the same manner as in the project database² or in some other manner that has been agreed upon with Sida.

For each project, the framework organisation shall have documentation³ indicating the direction, goal, types of work, cooperation partners, budget and follow-up procedures, including indicators of goal achievement, together with an analysis of how the project influences civil society and contributes to the goal of the NGO appropriation. This documentation shall not be submitted as a part of the application, but Sida can request specific project documents as a part of its in-depth preparations (see appendix 3).

For the simplified application for a one-year transitional period, see appendix 1.

The framework organisation's report

The framework organisation shall submit an annual report that contains a financial statement and indicates any deviations in the work in relation to the initial programme and budget.

The framework organisation's final report shall reflect the application. This means that it shall in a general manner report and describe the degree of goal fulfilment of the organisation's entire operations in relation to its own goals and the development goals of the NGO appropriation, and it shall analyse the results with respect to both success and failure (see appendix 2).

² The database prepared by Sida relating to projects in developing countries financed by the NGO appropriation.

³ An organisation with a programme grant shall have such documentation available in case it is requested by the grant-mediating frame organisation.

The main focus of the final report shall be to report and describe the degree of goal fulfilment in each of the programmes during the period to which the report relates with respect to its own goals and the development goals of the NGO appropriation, and to analyse the results with respect to both success and failure. The framework organisation shall also be able to report the conclusions drawn from different programmes at aggregated levels.

The framework organisation shall present a list of its projects and efforts divided into countries (or in the case of purely regional activities, projects per region), with budget figures and a short description of the operation.

The degree of goal fulfilment of each project shall be analysed and the analysis shall be available with the framework organisation. No report of project goals shall be submitted to Sida, except when a spot check for a deeper analysis is requested.

For the simplified report after a one-year transitional period, see appendix 2.

Communication work within Sweden

A Swedish non-governmental organisation can seek a grant in order to promote information and communication activities in Sweden relating to global development issues.

All the communication activities that the organisation carries on in Sweden shall be related to the organisation's overall goal and shall, where relevant, support the work of development cooperation.

The programme of a framework organisation shall embrace both central and local communication activities. Within the framework of a programme, an organisation can if necessary transfer the grant to the activities of a subsidiary or member organisation on condition that these efforts are directed towards the fulfilment of the goal of the programme.

In its assessment of the applications, Sida values proposals that involve a method development that can give valuable experience for the communication activities of all actors.

The framework organisation's application

The framework organisation shall describe the whole of the communication activities to be supported by Sida, together with the goal, direction and strategies for the period concerned.

The organisation shall describe the internal work to achieve the goal of the communication activities, including strategies for how the members, local groups, departments or member organisations are used as channels in the information work, i.e. it shall show how the communication task is anchored internally within the organisation.

A communication programme consists of a combination of strategies and activities that are directed to one or more specific target groups. Each programme shall be described individually with direction, goal, type of work, cooperation partners, budget and follow-up procedures, including indicators of goal fulfilment, together with an analysis of how the programme contributes to the goal of the NGO appropriation for communication activities. This shall cover the period to which the application is related. If the programme interacts with the organisation's support to civil society in partner countries, the nature of this interaction shall be described (see appendix 1).

For each project or effort within a programme, the framework organisation shall be provided with documentation⁴ that indicates the direction, goal, type of work, budget and follow-up procedures, including indicators of goal fulfilment. This documentation shall not be included in the application, but Sida may request specific project documents as a part of its in-depth analysis.

The framework organisation shall present a list of the projects that are included in the programme with each project's name and number, together with a short description and a budget, in the same way as in the project database or in some other manner that may be agreed upon with Sida.

The framework organisation's report

The final report from the framework organisation shall reflect the application. This means that it shall primarily report and describe the degree to which the goals of all of the organisation's communication activities supported by Sida have been achieved in relation to the internal goal and to the communication goal of the NGO appropriation, and it shall also analyse the results in terms of both success and failure (see appendix 2).

The main focus of the report shall be a report and description of the degree of goal fulfilment in each of the programmes for the period to which the report refers with respect to internal goals and the communication goal of the NGO appropriation, with an analysis of the results in terms of both success and failure. If the programme interacts with the organisation's support for civil society in partner countries, this shall also be analysed.

The framework organisation shall present a list of the projects that are included in each programme. The degree of goal fulfilment of each project shall be analysed and shall be made available to the framework organisation. The project goals shall not be reported to Sida.

Special regulations regarding grants for communication work

In the production of information material and in communication activities that are financed wholly or in part with a grant from Sida, the following text shall be included: *"This document has been financed with the support of Sida, the Swedish Agency for International Development Cooperation. Sida does not necessarily agree with the opinions expressed. The author alone is responsible for the content."*

Sida's logotype may not be used on any document that is not published by Sida.

A grant from Sida for communication activities in Sweden may not be used for fund-raising activities, general profiling of the organisation or for membership campaigns.

The following activities shall be motivated separately with an indication of the importance of the activities for the fulfilment of the programme's overall communication goal.

- large-scale material production
- capital-intensive equipment
- extensive journeys or travel programmes. Sida assumes that the organisation or the participants themselves will contribute to the costs. Exceptions from this rule shall be specially motivated. A journey shall be a well-integrated part of the programme's information strategy.

⁴ Organisations with a programme-contract shall have this documentation available in case it is requested by the grant-mediating frame organisation.

4.3 Support requiring special assessment

HIV and AIDS

HIV and AIDS are having a decisive impact on developments in many partner countries, particularly in Africa south of the Sahara. HIV and AIDS have consequences for all sectors of the society including civil society. The NGOs must in a clear manner take HIV and AIDS into consideration in their work. In the case of cooperation work in African countries south of the Sahara, it is essential that the NGOs work contains a HIV and AIDS perspective. In the case of activities in other parts of the world, HIV and AIDS shall always be taken into consideration through a HIV and AIDS analysis, in order to assess the relevance of the project. Sida is fully aware that HIV and AIDS can mean that the nature of development cooperation can change.

Transition from humanitarian relief to long-term development projects

Many NGOs are engaged in development cooperation in countries that are characterised by being subject to, or by having been subjected to, a humanitarian crisis as a result of armed conflict or a natural disaster. During a transitional period towards a more normalised situation, development cooperation with special characteristics may be necessary. An NGO that has worked in the country can, after the humanitarian crises have been dealt with, provide during a transitional period with the support of the NGO appropriation aid that is characterised by the transitional situation. This means that the work can have a broader character and can include support for the regular health care and education services, contain infrastructure support to a greater extent than normal, and have authorities and public institutions as cooperation partners. The requirement is that the work shall have a time-limited character and shall have a clear long-term direction towards the development of civil society.

With this background, Sida can approve changed assessment requirements for contributions in transitional situations with the aim of *taking advantage of the experience and capacity of NGOs by facilitating a transition from humanitarian relief to work for the development of civil society.*

Sida grant in combination with a EU-grant

If the framework organisation, or a Swedish NGO to which it mediates a grant, receives financial help for development cooperation or information activities from the EU, Sida can provide a grant for that part of the program budget that must be financed by an authority in a member state. After having been awarded an EU-grant, the framework organisation may submit an application to Sida for a supplementary grant. Sida supports the assessment made by EU and the application and reporting routines used by EU, and makes only an overall assessment to confirm that the project can be assigned to the NGO appropriation. Provided funds are available, Sida can therefore approve a supplementary grant for the financing. If the EU-grant is given to a consortium of European NGOs, Sida can as indicated above approve a supplementary grant that is related in size to the Swedish organisation's participation in the project.

Small-scale contributions

In order to make it easier for organisations to test new methods and cooperation, small-scale projects can be given a simplified treatment. Such contributions can lie outside the framework organisation's normal

programme. The intention is that a close cooperation between a local organisation and a Swedish organisation can lead to a small-scale development effort and that it shall be possible to carry out a local information project in Sweden without integration into a larger programme.

The grant-mediating framework organisation shall create a system to differentiate the application requirements. A project that does not exceed SEK 200 000 can be dealt with by a simplified procedure according to criteria established by the grant-mediating framework organisation and approved by Sida.

A single, limited and isolated development project in a country or a single information project can often not be expected to have any great effect on civil society. These projects can contribute to strengthening interest for development cooperation in Sweden or bring new actors into the Swedish development partnership. It is in the first place the responsibility of the framework organisation to assess which contributions are of this type.

The framework organisation assesses whether the project is in accord with the overall goal and direction of the NGO appropriation. In addition, it shall decide whether the project is relevant, realisable and sustainable and shall assess what risks may be involved.

For small-scale projects, there is no general demand for detailed country, sector, environmental, HIV and AIDS or conflict analyses, but such analyses shall be made in relevant cases.

Personnel in development cooperation

Personnel aid is one method among many in the field of development cooperation. All projects that involve personnel shall therefore also be assessed in relation to the above requirements and assessment criteria. All personnel who are directly employed in Sida-supported activities in Sweden or partner countries shall have the necessary competence and at a minimum shall have the benefits of the rights associated with local legislation and valid union agreements.

All personnel sent abroad should be offered preparative education/training. Such training can be arranged with the cooperation of the Sida Civil Society Center.

Persons sent abroad shall follow the ethical code for service abroad that has been established by the Swedish Ministry of Foreign Affairs and Sida.

Most of the personnel costs are financed within the framework of the general grants from Sida. This concerns primarily the locally employed personnel in different activities, but it can also include Swedish personnel. Such contributions shall be assessed in the same way as other costs.

Personnel with a flat-rate grant

Trainees

The purpose of the special grant for trainee activities is to create interest and commitment and to promote contacts between people and organisations in Sweden and in partner countries, and to contribute to an extended involvement and society dialogue concerning issues of global justice. In this way, the Swedish resource base can also be expanded.

A trainee shall be between 18 and 35 years of age. There is no formal professional requirement, but a trainee should have some experience of working life and an interest in development issues. In the case of a trainee, the contract time is from three to a maximum of fifteen months, of which one month can be devoted to preparations and two months to

information activities after returning home. The maximum period of work abroad is twelve months. The trainee can either come from Sweden and work in a partner country or from a partner country and work in Sweden.

The following applies if a Swedish organisation is to receive a grant for a trainee to be placed in a developing country or in Sweden:

- The recipient organisation shall supervise the work and as such shall have the capacity to lead and support the trainee and shall have appointed a supervisor to have regular contact with the trainee.
- Each trainee placing shall lie within an organisation's field of work. The tasks allotted to the trainee shall be agreed upon between the cooperating organisations or offices.
- The trainee shall be given the necessary preparative education/training. The organisations are offered training at the Sida Civic Society Center in Härnösand, unless it is decided to arrange similar training oneself.

Exchanges

The purpose of the special flat-rate grant for exchanges is to promote contacts between interested groups of people in Sweden and in partner countries, so that this may contribute to an extended involvement and society dialogue concerning issues of global justice. The intention is to reach out to different groups and individuals who have no previous experience of development cooperation.

The exchange takes place pair-wise with one person from Sweden and one from the partner country. The Swedish participant shall be permanently resident in Sweden.

The working method is based on reciprocity and dialogue. The exchange shall be directed towards a jointly formulated problem that is related to the groups' activities.

The following requirements apply for an exchange grant:

- the exchange shall have a well formulated purpose and shall be based on reciprocity
- the persons involved in the exchange shall not previously have had any lengthy experience of development cooperation; in larger groups or with young people under the age of 18, a leader with previous experience of development cooperation may participate
- the groups shall have a previously established relationship
- there shall be a plan for the participants' information activities after the exchange
- a clear programme for at least two weeks in Sweden and at least two weeks abroad in the partner country shall be developed in a dialogue between the participants.

The framework organisation is responsible for ensuring that the participants in the exchange receive a suitable introduction and preparation.

Volunteers

Personnel sent out by the Swedish NGOs in the work to support civil society are normally financed through Sida's standard self-financing system grants.

The special form for volunteers is retained at present. A volunteer project shall be assessed according to the same requirements and criteria as for other development contributions within the framework of the

NGO appropriation. The focus is on the development effect in civil society in the partner country, so that grants are not approved to personnel whose primary purpose is information outside the partner country.

A volunteer shall be a citizen of an EU-state (or Norway), or a person with a permanent residence permit in Sweden.

A volunteer flat-rate grant is intended to reinforce the development work that the local cooperating organisation is carrying out, with or without a grant from Sida. Each placing of personnel with a volunteer flat-rate shall, like all other projects, be preceded by a need and goal analysis. The person concerned shall have good competence for the tasks required by the partner organisation and shall have experience of the tasks and sufficient linguistic skills to be able to function and work in a foreign culture.

The contract period for a person with a volunteer flat-rate can vary from 3 to 28 months, including the preparative training. After service in a partner country, the contract can, after an assessment of the experience gained, be extended. A person may serve continually in one or more positions for a maximum total of six years.

In order to guarantee the good quality of this personnel aid with a volunteer flat-rate, the following applies:

- In the first place, local personnel shall be employed. Personnel with a volunteer flat-rate can be considered only when no qualified local person is available for the task. The employment of personnel with a volunteer flat-rate from Sweden shall be motivated and its added value shall be indicated. It must be confirmed that personnel with a volunteer flat-rate are being sought.
- The local partner organisation shall have the capacity to receive a person with a volunteer flat-rate, and to participate in the need analysis and preparation of the recruitment criteria and also to participate in the recruiting and selection process. The local partner organisation shall act as work supervisor.
- The local cooperation partner shall together with the sending organisation have clarified the purpose and goal of the appointment and, on the basis thereof, have prepared a work plan for the person concerned. The task description shall have a clear capacity-developing profile. Exceptions can be made for projects that directly promote peace and human rights.
- Persons sent out with a volunteer flat-rate shall have the necessary preparative education and training. The scope and direction of the training shall be set in relation to the work tasks and contract period. Organisations are offered such training by the Sida Civil Society Center in Härnösand, unless one chooses to arrange similar training oneself.

Flat-rate grants

Sida provides non-governmental organisations with support in the form of a flat-rate grant for special categories of personnel. Since these relate to costs that differ from those covered by other grant regulations, there are special requirements and assessment criteria for this type of support:

- The flat-rate grant is a grant for the costs of a trainee, exchange or volunteer activities that covers the salary, social welfare fees, housing, travel, health care, insurance (including those that provide compensation for loss of social benefits) and school fees. The flat-rate grant shall similarly be used for the sending organisation's costs for recruiting, follow-up, education and further training, i.e. essential costs for the activities.
- The flat-rate grant qualifies for an administration grant according to section 4.5.
- the flat-rate grant for a trainee is linked to the service and can be used for equilibration between service, countries and contract periods. Unused funds shall be placed in a trainee reserve. This reserve shall be ear-marked for trainee activities and cannot be used for other purposes such as internal development projects.
- The accumulated trainee reserve shall not exceed 20% of the current year's total trainee grant to an organisation. Any excess sum over this amount shall be repaid to Sida.
- The flat-rate grant for volunteers follows the same regulations as that for trainees. The flat-rate grant is linked to service, can be used for equilibration in the same way and can be placed in a volunteer-reserve according to the same regulations.
- The flat-rate grant is index-linked to the Swedish basic amount (SEK 40 300 in 2007)⁵. For trainees, the flat-rate grant is 4 basic amounts per annum, and for personnel with a volunteer flat-rate it is 7 basic amounts per annum. For shorter contract periods, a partial annual grant is given.
- The exchange flat-rate grant is equal to one basic amount, is the same for all to whom it is given and is intended to contribute to the costs of the initiative but not to cover all the costs. A preparative grant and/or a follow-up grant of 0.8 times the basic amount can be applied for to facilitate a preparative journey in each direction for joint planning prior to a large exchange programme or to facilitate the joint structured follow-up of an exchange (four or more exchange pairs). The preparative flat-rate grant can also lead to a decision not to start the exchange.

4.5 Administration

General

Administration is essential to guarantee the quality of development cooperation. The provision of good aid is difficult, and it requires time, competence and resources. Sida therefore provides a grant to cover a part of the administrative costs associated with activities financed by Sida. In this context, Sida distinguishes between 1) administration within development cooperation, 2) competence development within the Swedish NGO, and 3) other administration. The administration shall be cost effective and Sida's funds shall to as great an extent as possible be channelled to the operations in partner countries.

The manner in which the administrative costs are to be financed depends to a great extent on why and not on where the costs have arisen. This means briefly that those administrative costs that are related to a

⁵ The basic amount is fixed annually by the Swedish Government, based on the consumer price index. The basic amount is the starting point for index-regulated benefits.

project or programme and to the competence development of a Swedish non-governmental organisation can be considered to be operational expenses.

Financing of administrative costs

1. Administration within development cooperation

If an administrative cost has a direct bearing on development cooperation, it is to be classified as an operational expense. Such costs are dealt with within the normal grant system. Costs for the project audit are also included here.

2. Competence development within a Swedish NGO

If an administrative cost has a direct bearing on the competence development of a Swedish NGO, it is to be classified as an operational expense. Such costs are dealt with within the normal grant system as costs for development projects. Costs for the following activities are included in this category: network creation, seminars, policy and method development, exchange of experience, and education or training of member organisations.

3. Other administration

Other administrative costs are those that are related to the organisation's own activities, e.g. the costs of managerial and economic functions and certain other personnel, rent of premises, inventory and the annual audit etc. For such administrative costs, Sida approves a grant amounting to a flat-rate of 8% of the total Sida grant to the organisation.

4. Grant-mediating organisations

The grant-mediating organisation has a commission from Sida to guarantee the operation's quality, to provide competence development and advice, and to transfer funds to the accounts of the member organisations or other organisations, and it can therefore apply for full coverage of the costs of this work, including relevant parts of the other administration. Sida can in turn make special demands with respect to the service referred to.

Some criteria for Sida's assessment of the financing of the grant-mediating function are:

- The size of the budget for grants
- Special requirements regarding the organisation's system for quality assurance
- The number of applications (the number of rejections and the number passed on for further consideration)
- The number of Swedish cooperating organisations, programme contract organisations and other organisations
- The number of projects less than SEK 200 000

The administration grant for the grant-mediating organisation's own operations are defined and calculated in accordance with items 1–3 above.

5. Sida does not require any test with respect to the administration grant. Any unused administration grant can be used in the ordinary development work, but it may not be reported as self-financing. Sida does not finance an organisation's fund-raising costs, costs for annual meetings, Board meetings, work with registers of members, etc. The administration grant is reported to Sida as a part of the financial report.
6. The flat-rate-grant-based administration grant shall, in the case of a grant-mediating framework organisation, also include the administration in the next stage, i.e. within the Swedish subsidiary organisation. Normally, the subsidiary organisation shall receive a sum equal to 8% of that part of its project budget which is financed by Sida.
7. The administration grant is currently free from the self-financing requirement.

4.5 Self-financing

A Swedish organisation that receives a grant from Sida for its development cooperation shall normally finance a part of the expenses with its own funds. This self-financing is to be seen as an expression of the Swedish organisation's priorities and ability to mobilise a commitment for its development cooperation. Today the requirement is that the self-financing shall amount to at least 10 per cent of the costs of the programmes supported by Sida.

The self-financing shall consist of private cash funds raised in Sweden. The cash can have come either from normal fund-raising activities or from gifts, company sponsorship fees for services, or other income that the association receives from private persons. Own or collected material may not be counted as a part of the self-financing, nor may the value of the organisation's own work. Nor may contributions from abroad or funds that come from some other public grant⁶ be counted as self-financing.

Sida takes a positive view of partial financing from a cooperation partner in the developing country and considers this to be a natural part of the cooperation. This cannot be counted as a part of the self-financing contribution.

Self-financing is currently not necessary with respect to

- A grant to a volunteer, trainee or exchange activity
- An administration grant.

The self-financing shall normally be reported at the lowest programme level or at some other level that has been agreed upon with Sida.

4.6 Budget and Financial accounts

In its application, the framework organisation is required to present a budget and other financial information that support the same levels as have been described above as Sida's requirements, i.e. the overall level for the organisation, the programme level and as a list for each project level (see appendix 1).

Sida's decision relates to the overall level and the programme level. The framework organisation's overall budget shall be presented in accordance with its internal budget routines. At a minimum, it shall

⁶ This relates to grants from the Government, a County Council or a Municipal Authority.

show the income divided into Sida's grant, the self-financing and other income, both overall for the entire operation and sub-divided in accordance with the organisation's operational structure (programme level). The presentation of expenditure shall as a minimum distinguish between operational support to cooperation partners in partner countries, the Swedish organisation's self-financing, the costs with any international cooperation partners and the Swedish organisation's costs for its own capacity development, and the administration in accordance with what has been stated above with reference to the administration grant. At the overall and subsidiary levels, Sida grants to development projects, information activities, volunteers, trainees and exchanges shall be shown separately. The organisation shall accurately explain its financial control system and other procedures intended to reduce the risk of corruption.

A specific budget shall be presented for each programme where the above-mentioned income and expenditure items are separated.

An annual follow-up shall be carried out, as indicated below. The final report shall be accompanied by a financial follow-up with an analysis of the outcome with respect to the Sida decision based upon the organisation's application (see appendix 2).

Any major changes in the budget during the ongoing operational period shall be approved by Sida in accordance with the existing cooperation agreement.

An annual financial report shall be submitted with the following content:

1. A programme description with the budget and outcome, together with the self-financing
2. An auditor's certificate and an auditor's report
3. The organisation's annual report, including the income statement and balance sheet, in which the status of the Sida funds is clearly indicated.
4. An overall financial report of the framework grant subdivided into:
 - development projects
 - information activities
 - volunteers
 - trainees
 - exchanges
5. A report of the administrative costs
6. Any reserve funds

Special regulations for types of expenditure

In general, all expenditure related to the execution of the programme as indicated in these Guidelines can be financed with the help of a Sida grant. There are, however, limitations in two special cases:

- Investments. Grants for buildings, vehicles and other capital-intensive equipment can be approved on condition that such investments are not the primary goal of the project. It is necessary to clarify how the equipment shall be used or disposed of at the end of the project. Grants are not generally approved for the purchase of land or building plots.
- Collection of donated material. A grant for the transport of collected goods can be approved only on condition that it is an essential part of the project.

Annex 1

Application Format

1A The framework organisation's application for a three-year grant

Concerning the organisation

The application shall describe

1. The goal, operational direction, resources and competence of the framework organisation
2. The framework organisation's vision/theory of change (the changes to which one will contribute, the values on which this vision is based and the strategies for achieving the changes)
3. The framework organisation's overall forms for cooperating with partner organisations and the characteristic features of this cooperation, and a list giving brief descriptions of the local cooperation partners divided into countries and programmes
4. The role of the framework organisation, the comparative advantages and the central message of communication activities in Sweden.
5. Systems for planning and continuous follow-up and how the participation of all the actors is guaranteed; an explanation of the way in which advantage is taken of experience and lessons learned.

A grant-mediating framework organisation shall also provide:

1. An overall description and analysis of the roles and directions of the grant-receiving Swedish organisations with regard to both development projects and communication in Sweden.
2. An overall description and analysis of the roles and directions of the local partner organisations
3. An overall description of the forms for cooperation with partner organisations of the grant-receiving Swedish organisations
4. An assessment of the new programme contract organisations with respect to the framework criteria
5. A description of the programme contract organisations in accordance with the above five items concerning the framework organisation itself.

Concerning the activity for the period concerned

General

1. Provide a general description of the entire operation for the period concerned with overall goals, budgets, strategies and priorities. The budget should at least contain the following parts:

Income

Own income

Grants from Sida/SEKA (divided into development projects, communication work, volunteers, trainees, exchanges, non-ODA activities and administration)

Other income from Sida

Other income

Expenditure

Operational expenses with partners

Possible operational expenses with international cooperation partners

Operational expenses within the own organisation

Capacity development within the own organisation

Administration

2. Describe the follow-up system
3. Describe how the activity in general is expected to contribute to the goal of the NGO appropriation for the development of civil society in partner countries, with a particular focus on how it improves the conditions of the poor, and for the communication activity in Sweden.

For programmes that support civil society in partner countries

Each programme shall be described on not more than 10 pages as follows:

1. Describe the purpose and direction of the programme in general terms, including its geographical limitations (programmes for non-ODA countries shall be presented separately).
2. Present an analysis of how the programme is expected to contribute to the development of civil society.
3. Indicate the goals and target groups, and also the indicators for goal fulfilment, including how this contributes to fulfilling the goal of the NGO appropriation. Where relevant, indicate also how the programme is related to the Swedish cooperation strategy.
4. Describe the cooperation partners with an analysis of why they have been chosen.
5. Present the budget for the programme, where at least the following information shall be included

Income

Own income

Grants from Sida/SEKA (divided into development projects, communication work, volunteers, trainees, exchanges, administration)

Other income

Expenditure

Operational expenses with partners

Possible operational expenses with international cooperation partners

Operational expenses within the own organisation

Capacity development within the own organisation

Administration

6. Show how the programme has been analysed with reference to Sida's basic requirements, by showing:
 - how the programme is expected to combat poverty's different dimensions
 - that poverty and rights perspectives are applied in the programme
 - that the poverty analysis embraces the situations of women, men, girls and boys
 - that the programme does not conflict with any of the primary principles of development cooperation (see 2.1)
 - that the environmental consequences have been considered
 - that in countries with a high prevalence of HIV and AIDS, the HIV/AIDS issue has been one of the starting points in the preparation
 - that a conflict risk assessment has been made
7. Show briefly how the programme has been assessed with respect to the following criteria:
 - relevance
 - efficiency
 - feasibility
 - sustainability
 - forms of cooperation
 - risks and risk management
8. Present in the form of a list those projects or contributions that are included in the programme with a brief description, country (region in some cases), cooperation partners and budget.

For grant-mediating framework organisations, the application shall also include the following:

A description of

1. the framework organisation's current system for grant management
2. trends and tendencies in the current round of applications
3. programmes in which the grant-receiving organisations participate
4. the system for dealing with a project that is not a part of the programme
5. a proposal for grant-distribution in the form of a list divided into regions, countries and organisations
6. a short decision memorandum for each proposed grant with the grant-mediating organisation's assessment in accordance with Sida's agreed format.

For programmes for communication work in Sweden

Each programme shall describe:

1. the general purpose and direction of the programme and strategies for the period
2. how the organisation works internally in order to reach the communication goal

3. the goal and target groups for the programme, together with indicators for goal fulfilment, including how this contributes to fulfilling the communication goals of the NGO appropriation
4. the strategies and activities of the programme
5. the programme budget
6. how the programme may interact with the organisation's support to civil society in partner countries.
7. A brief description of how the programme is assessed with respect to the following criteria:
 - relevance
 - efficiency
 - feasibility
 - sustainability
 - forms of cooperation
 - risks and risk management
8. Present in the form of a list those projects or contributions that are included in the programme with a brief description, direction, goal and budget.

For grant-mediating framework organisations, the application shall also include the following:

A description of

1. the framework organisation's current system for grant management to communication in Sweden
2. trends and tendencies in the current round of applications
3. programmes in which the grant-receiving organisations participate
4. the system for dealing with a project that is not a part of the programme
5. a proposal for grant-distribution in the form of a list of organisations
6. a short decision memorandum for each proposed grant with the grant-mediating organisation's assessment in accordance with Sida's agreed format.

1B Application for a grant for a one-year transition period

Prior to a transition year, the framework organisation shall submit an application for a one-year extension based on the application submitted for the previous three-year period. The application for an extension shall include the following:

1. A brief progress report with any news about the organisation (*here the main changes regarding the form of organisation, staff questions, new policies etc should be described*)
2. A revised budget and operational programme as indicated in the three-year application
3. A brief description of the changes in the ongoing programme
4. Where necessary, a description as indicated in appendix 1A of the new programme that has been developed for this application

Grant-mediating framework organisations shall also submit the following:

- a presentation of trends and tendencies in the current round of applications
- a proposal for grant distribution in the form of lists divided into regions and countries, and also organisations
- a brief decision memorandum for each proposed grant.

Annex 2

Report Format

2A The framework organisation's final report for a three-year period

Concerning the organisation

The following shall be reported.

1. Any changes in the goals, operational direction, resources and competence of the framework organisation
2. Experience of how the framework organisation's vision/theory of change has functioned in practice
3. Overall experience of the framework organisation's forms for cooperating with partner organisations and any changes that have occurred, together with a list giving short descriptions of the local cooperation partners divided into countries and programmes
4. Any changes in the role of the framework organisation, and in the comparative advantages and the central message of the communication activity in Sweden.
5. Experience of the systems for planning and continuous follow-up

A grant-mediating framework organisation shall also provide:

1. An overall description and analysis of any changes in the roles and directions of the grant-receiving Swedish organisations with regard to both development projects and communication in Sweden.
2. An overall description and analysis of changes in the local partner organisations
3. An overall description of the changes in the grant-receiving Swedish organisations and of any changes in the international organisation's forms for cooperation with partner organisations
4. An assessment of the development of each of the programme contract organisations

Concerning the activity for the period concerned

General

The report shall include the following:

1. The overall result of the whole activity for the period concerned with reference to the overall goal, strategies and priorities, in accordance with the follow-up procedures given in the application.

2. An analysis of the budget outcome in accordance with the budget structure given in the application (including the reporting of the administration grant), the financial report (as indicated in 4.6) and an assessment of the cost efficiency.
3. General conclusions regarding the extent to which the framework organisation's activity has contributed to the fulfilment of the goal of the NGO appropriation for the development of civil society in partner countries and for the communication activity in Sweden, with special attention to how the activity has contributed to strengthening the possibility for those living in poverty to improve their living situation
4. The combined lessons learned by the organisation during the period concerned.

In the case of programmes that support civil society in partner countries

Each programme shall report the following:

1. The general results and lessons learned from the programme during the period concerned
2. An overall analysis of how the programme has contributed to the development of civil society, and thus to the goal of the NGO appropriation, with special reference to how the programme has contributed to strengthening the possibility for those living in poverty to improve their living situation with, where relevant, an analysis of the results in relation to Swedish cooperation strategies
3. A general analysis of the degree of goal fulfilment on the basis of declared goals and specifically on the basis of the stated indicators
4. The outcome of the programme budget and an analysis of deviations in relation to the budget structure in the application
5. A brief analysis of how the programme
 - has contributed to combating poverty
 - has been related to the two main perspectives of Sida's work programme and goals, i.e. the promotion of rights and the eradication of poverty
 - has influenced the situations of women, men, girls and boys
 - has contributed from an environmental viewpoint to a sustainable development
 - has dealt with HIV and AIDS
 - has influenced and been influenced by any conflict situations
7. A list of those projects or contributions included in the programme with a brief description, country (region in some cases), cooperation partners and budget, and any deviations in relation to the application.

In the case of grant-mediating framework organisations, the final report shall also include the following:

A report of

1. the framework organisation's current system for handling reports
2. trends and tendencies in the current round of reporting
3. programmes in which the grant-receiving organisations participate
4. summary of results and conclusions from projects that are not a part of the programme
5. a list of reports of projects and contributions divided into regions, countries and organisations, with a summary of the conclusions drawn from these reports

6. a short decision memorandum for each project or contribution with experiences and results on the basis of the plan.

In the case of programmes for communication work in Sweden

The report for each programme shall include the following:

1. the general results and lessons learned from the programme during the period concerned
2. how the organisation has worked internally in order to reach the communication goals
3. how the programme has contributed to fulfilling the goals of the NGO appropriation for communication in Sweden
4. An analysis of the degree of goal fulfilment on the basis of the declared goals and specifically with reference to the given indicators
5. the outcome of the programme budget and an analysis of deviations
6. how the programme has interacted with the organisation's support to civil society in the partner countries.
7. a list of the reports of those projects or contributions that have been included in the programme with a summary of experiences from the reports

In the case of grant-mediating framework organisations, the report shall also include the following:

A report of

1. the framework organisation's current system for report handling with regard to communication in Sweden
2. trends and tendencies in the current round of reporting
3. programmes in which the grant-receiving organisations participate
4. summaries of results and conclusions from projects that are not parts of the programme
5. a list of reports from projects and contributions per programme and organisation, with a summary of the experiences from these reports
6. a short decision memorandum for each project or contribution with experiences and results in relation to the plan.

2B Reporting of an intermediate year during a three-year contract period

During a three-year contract period, the organisation shall after one year and after two years submit an intermediate report containing the following:

- A brief (one-page) status report containing any news from within the organisation (this includes central changes concerning the organisation form, staff changes, new policies, etc.)
- A brief status report (5–6 pages) describing the development in all the programmes with a special focus on any major deviations (this should not include any results, merely an overall assessment of how the activity is developing in general and in each programme, with a focus on any programme that is deviating greatly from the plan)

- An intermediate financial report that includes the following
 1. A programme description with the budget and outcome, together with the self-financing
 2. An auditor's certificate and an auditor's report
 3. The organisation's annual report, including the income statement and balance sheet, in which the status of the Sida funds is indicated.
 4. An overall financial report of the framework grant in relation to the budget, with comments on any deviations
 5. A report of the administrative costs
 6. Non-utilised funds
- An updated work plan and budget on the basis of agreed changes (here a revised work plan/budget incorporating those changes that have been made since the application shall be appended)

Grant-mediating framework organisations shall also submit:

A brief status report concerning the grant-handling procedure. The report shall include the following:

- A short general description of the way in which the organisation has mediated the grants
- A list of reports of projects and contributions divided into countries and regions
- A list of projects that have not been reported with explanations.

2C Reporting of a one-year transition period

After a one-year transition period, the organisation shall submit a brief report, mainly in conformity with the intermediate year's reports. The report shall include the following:

- A brief (1-page) status report with any news about the organisation (here the main changes regarding the form of organisation, staff questions, new policies, etc. should be described)
- A brief status report (5–6 pages) describing the development in all the programmes with a special focus on any major deviations (this should not include any results, merely an overall assessment of how the activity is developing in general and in each programme, with a focus on any programme that is deviating greatly from the plan; the organisation can include the results from a one-year transition period in its coming three-year report if this is in conformity with the activity's own logic)
- A financial report that includes the following
 1. A programme description with the budget and outcome, together with the self-financing
 2. An auditor's certificate and an auditor's report
 3. The organisation's annual report, including the income statement and balance sheet, where the status of the Sida funds is indicated
 4. An overall financial report of the framework grant in relation to the budget, with comments on any deviations
 5. A report of the administrative costs
 6. Non-utilised funds.

Grant-mediating framework organisations shall also submit:

A brief status report concerning the grant-handling procedure. The report shall include the following:

- A short general description of the way in which the organisation has mediated the grants
- A list of reports of projects and contributions divided into countries and regions
- A list of projects that have not been reported with explanations.

Annex 3

Project Documentation

The framework organisation is responsible for reviewing and assessing the development projects. This assessment shall be based on documentation, the submission of which can if necessary be requested by Sida, that contains the following

- A description of the applicant Swedish organisation (where relevant)
- A description of the local cooperation partner
- A description of the project including the budget.

Concerning the organisation

Description of the applicant Swedish organisation

- The direction, purpose and activity of the organisation
- Its experience of development cooperation, and its capacity and resources (human and economic)
- The name of the contact person for the project.

A Swedish organisation that is applying for a Sida grant for the first time shall also submit the following documents to the grant-mediating framework organisation, which shall also be kept informed of any changes:

- Its statutes
- An annual report with audited accounts and balance sheet
- An extract from the minutes that confirm the name of the person entitled to sign for the organisation.

In order to receive a Sida grant, the organisation shall have fulfilled its obligations regarding the final reporting of any previous grant from Sida.

Description of the local cooperation partner

- The structure, direction and purpose of the organisation, how long it has been carrying out its activity and its legal status
- How long the local organisation has been cooperating with the Swedish organisation and with any other cooperation partners
- The capacity and resources (personnel, economic and material) of the organisation to carry out the project and its relations to the target group
- The name(s) of the contact person(s) for the project.

Concerning the activity

In the case of projects that support civil society in partner countries

Description and budget for the project

For each project, the framework organisation shall have documentation concerning the following:

- The background/direction
- A needs analysis
- A goal analysis
The expected results with indicators based on the project's own goal and on how the project contributes to a strengthening of civil society and improved conditions for the poor.
- Activities/work forms
Activities, resources and the distribution of responsibility between the different partners.
- The target group/participants
The composition (gender, age, social and economic status, etc.), participation in the planning, execution and follow-up, the roles of men and women.
- Prerequisites and risks
Risk and success factors, analyses – where relevant – of conflict and environmental consequences, and an analysis of how the project relates to HIV and AIDS.
- Endurance
Timetable, sustainability, plan for phase-out
- Plan for follow-up, reporting and evaluation
- Budget

Small-scale projects and pre-studies

- The name of the applicant Swedish organisation
- The name of the partner organisation in the project country.
- The relationship between the local organisation and the Swedish organisation and who has initiated the project
- Background, a needs analysis, project goal with indicators, target group, timetable, activities, the contribution of the project to a strengthening of civil society, the contribution of the project to improving the conditions of the poor, a risk analysis, distribution of responsibility, sustainability and specified budget.

Trainees

For each trainee placing, the following documentation is required

- purpose and trainee tasks, length of the trainee service, preparatory education/training, plan for follow-up, and also for the information task after returning home
- presentation of the partner organisation in the partner country and its resources to accept the trainee, the name and function of the trainee's supervisor
- budget, including any contribution from the partner organisation.

Exchange

For each exchange, the following documentation is required:

- purpose, joint issue of concern, programme for the exchange, the participants and a plan for reporting and follow-up
- previous contacts between the groups to confirm that there is a relation between them
- budget for the exchange, including the groups' own contributions to the financing.

Volunteers

For each volunteer placing, the following documentation is required:

- A needs analysis carried out by the local partner organisation in collaboration with the Swedish organisation, with a motivation as to why a Swedish person should be involved
- purpose, goal, indicators for goal fulfilment, target group and the person taking the initiative
- risk analysis
- timetable, plan for transfer/phase-out.

The documentation shall also include

- description of the Swedish organisation, name of the person involved, job description and place of work, project number if the service is linked to a project with Sida support, signatures of the partner organisation and the Swedish organisation
- task description written jointly by the partner organisation and the Swedish organisation
- partner organisation's approval of recruited personnel as a flat-rate volunteer
- presentation of the partner organisation, showing its capacity to utilise the work of the personnel provided, where each party's responsibilities are clearly defined and motivated.
- plan for reporting, follow-up and documentation as a basis for reporting experiences.
- budget where the contribution of the partner organisation is clearly indicated.

Projects relating to communication work in Sweden

For each project, the framework organisation shall have a description of how the project is linked to the goal of the appropriation and documentation including the following:

- role of the communication work within the organisation
- relationship between the project and the organisation's activity and view of the surrounding world
- the place of the project in the long-term communication task
- the message and the image that it is desired to convey
- target groups and their participation
- themes, subjects, country or countries, regions
- geographical regions in Sweden
- arenas for the planned communication effort
- activities, methods and timetable – for the project planned

- goal and expected effect with indicators related to quantity, quality and plan of execution
- plan for evaluation and follow-up and how experiences will be utilised
- network, forms of cooperation, and expected number of actors in the project
- plan for competence development related to the execution of the programme
- budget
- expenses and possible income for all the primary activities
- assessment of the cost-efficiency
- name of the contact person.

Halving poverty by 2015 is one of the greatest challenges of our time, requiring cooperation and sustainability. The partner countries are responsible for their own development. Sida provides resources and develops knowledge and expertise, making the world a richer place.



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