



# Guidelines for full proposals

Research Training Partnership Programme, 2014

## Table of Contents

1	Instructions for full proposals .....	2
1.1	Summary .....	4
1.2	Popular science description .....	4
1.3	Research training programme / Research supporting components.....	4
1.4	Results matrix.....	8
1.5	Curriculum Vitae .....	9
1.6	Publication List .....	9
1.7	Budget.....	10
1.8	Partnership Agreements (MoU) between the parties.....	12
1.9	Report of programmes which have received previous funding from Sida for collaboration with target university.....	12
2	Planning grants for trips to develop full proposals .....	14
	Appendix A .....	14
	Guidelines to Full Proposal.....	14

# Full proposal application

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Only programme level Letters of Intent that have received written invitations to submit full proposals can apply.

The full proposal should build on the submitted Letters of Intent that have been recommended by the Sida Research Training and Capacity Development Evaluation Committee (herein referred to as the Committee). The full proposal application should take into consideration the feedback given by the Committee.

The proposal application consists of two parts:

- 1) **Target university overall full proposal**, to be submitted by the Office of the Vice Chancellor/Rector, should consist of a signed cover letter with a list of all the programme level full proposals. The individual programme level full proposals must be provided as appendices.
- 2) **Programme level full proposals** for research training are developed by relevant departments/centres/units in the target country university, in collaboration with departments/centres/units in Swedish universities. Programme level full proposals should include draft agreements/memorandum of understanding (MoU) between the universities included in the proposed partnerships. The Agreement/MoU should state how the Swedish university is willing to invest, both human and economic resources to make the partnership programmes function.

Programme applications for components that strengthen the conditions for carrying out research and research training are not obliged to have collaborating partners.

- 3) **Planning grants**: Where necessary, planning grants of maximum 80 000 SEK per partnership programme will be provided for development of full proposals for **new** collaborations. Otherwise available funds within the on-going research cooperation programmes may be used to more fully plan the full proposal programmes. More information on planning grants is available on page 14.

## 1 Instructions for full proposals

**The target university overall full proposal** should provide comments on the submitted programme level proposals. Plans for monitoring and evaluation of the overall programme should be outlined. It should provide an umbrella results framework at the university level and provide concrete information as to how intellectual property rights (IPR) is to be dealt with at the level of the university in terms of policy, strategy and implementation. Where reference is made to the national policy for IPR, appropriate sections of the policy should be provided in the proposal. The “content of the programme level applications” outlined below, should be consulted and used as appropriate for the target university overall full proposal.

## CONTENT OF THE PROGRAMME LEVEL FULL PROPOSALS

All parts of the application should be written in English (using A4 format, 25 mm margin, and Times New Roman 12 font) and must contain the following:

- **A title page** with the name of the programme and the names and affiliations and address of the coordinators, including emails
- **Summary** (Max. half a page)
- **Popular science description** (Max. half a page)
- **Research training programme including an overview of the scientific issues involved and the basis of the layout of the training programme** (*Enclosure 1*) (Max 20 pages)
- **Research supporting component programme** (*Enclosure 1*) (Max 12 pages)
- A **Results matrix** showing the expected outcomes and outputs of the programme following the Results Based Management principles (*Enclosure 2*)
- **Responsibilities** and division of labour (*Enclosure 3*)
- **Curriculum vitae** (*Enclosure 4*) (Max 2 pages per person)
- **Publication List** (*Enclosure 5*) (Max 2 pages per person)
- **Budget** including other resources for the programme both internal and external (*Enclosure 6*)
- **Partnership Agreements** between the parties (*Enclosure 7*)

For applications for programmes which have received previous funding from Sida, the following is also required:

- **Report of results of previous support** from Sida (*Enclosure 8*) (Max 3 pages)

## 1.1 Summary

**Maximum half a page (A4 format, using a 25 mm margin and a Times New Roman 12 font)**

The summary of research training programmes must contain a short description of

- what will be done and the broad scientific basis of the research training programmes
- the **primary objective** of the research training partnership programme (research trained staff at target university/ research trained staff for other universities in target country/ research trained persons for the country generally/other. Where the primary goal is other than research training of existing staff, the proposal should present an analysis of labour market demands, length of programme and how many that will be graduated)
- how the research training will be conducted and what modalities will be used (sandwich model, local research training etc.)
- the nature of the partnership and which rules for research training will be used (target university, Swedish, joint, double degrees etc.)
- what is important about the planned research training partnership

The summary of research supporting components must contain a short description of

- what will be done
- the **primary objective** of the research strengthening component programme
- how the research strengthening component links to research training and other research strengthening components at the target university
- what is important about the planned research strengthening component

The text should provide a brief orientation of the purpose and implementation of the research training partnership/research supporting component. The style of writing should enable persons from various research backgrounds and university authorities to easily comprehend the information.

## 1.2 Popular science description

**Maximum half a page (A4 format, using a 25 mm margin and a Times New Roman 12 font)**

The research training partnership/research supporting component should be described in a popular science style so that those who are not familiar with the topic can understand. Describe broadly the type of scientific questions to be addressed. Describe what will be done and why, and explain how the research training partnership/research supporting component can be important and result in positive changes.

## 1.3 Research training programme / Research supporting components

*(Enclosure 1)*

**Maximum 20 pages for Research training programme and 12 pages for Research supporting component programme (A4 format, using a 25 mm margin and a Times New Roman 12 font)**

The full proposal should be so written that people who have not had the opportunity to read the specific Letter of Intent (LoI) will be able fully grasp the proposal. This means that some aspects of the full proposal will be a repetition of the LoI information, whereas other parts will be new or improved for some programmes. The following subtitles must be included:

1. Introduction
2. Background
  - 2.1. The context of the programme in relation to the university concept paper
  - 2.2. The scientific issues and the basis of the layout of the training programme for the problem that is to be addressed by the research training and/or research supporting component programme
  - 2.3. The relevance of the research area and demand of expertise in the chosen field for the country's development challenges, within the public sector as well as the private and within civil society organisations
  - 2.4. The approach chosen to build capacity:
    - For research training programmes within target country (or region). See [Appendix A](#). Where sandwich training is advocated, the long term vision to establish training within the target university should be explained. Where local Masters or PhD training is advocated, the human resources and expertise available to carry this out should be explained.
    - For research supporting component outline how the programme will influence research capacity in the university in general, beyond just the Sida funded programme.
3. Benefits and added value for the partnership between the target university and Swedish university (in the short and the long term).
4. Plans and expected outcome of the selected research training area of focus/the research supporting component. A time plan for the proposed activities should be evident in the logframe matrix indicating an expected commencement and finalisation. (A full results matrix showing objectives, outcomes and outputs should be filled in, *Enclosure 2*)
5. Capacity Development Process: Brief outline of planned activities (each point is to be addressed and where deemed not relevant this should be explained clearly)
  - 5.1. Training
  - 5.2. The research environment
  - 5.3. The available and required infrastructure
    - 5.3.1. Explain how expensive equipment<sup>1</sup> is handled and outline maintenance and insurance policies available. Explain how such resources are planned to be sustainable, adequately and efficiently used (i.e. shared with other researchers or provision as external service etc.)
    - 5.3.2. Indicate how the handling of equipment falls in line with the university regulations
  - 5.4. Academic networks available
  - 5.5. Staff mobility issues and university retention policy (if any)
6. The planned contribution and responsibility of each of the partners/participants/positions in the proposed research training programme. Details to be provided in separate document outlining the division of labour (*Enclosure 3*)

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<sup>1</sup> Equipment purchased using funds from Sida is owned by the Target University although the participants in the research programme on which the purchase of the equipment is based, have priority in the use of such equipment.

7. Management (within the partnership programme or centrally at the faculty or university level)
  - 7.1. Administrative resources available
  - 7.2. Management of career opportunities for participating researchers and research students
  - 7.3. Potential internal and external risks and actions for mitigation of the risks. Specific attention should be placed on outlining the risks as regards recruitment and retention of researchers.

***It should be clear who is responsible for the mitigation and the process to be used for follow up.***

8. The operational issues of the research training programme/research supporting component (each point is to be addressed and where deemed not relevant this should be explained clearly)
  - 8.1. Which university gives the degree? Are joint or double degrees planned?
  - 8.2. Governance
    - 8.2.1. Including the procedure for selecting and recruitment of Masters and PhD students
  - 8.3. Available procedures for quality assurance of the research training programme
  - 8.4. Time perspective<sup>2</sup> of the partnership and sustainability plans for the programme
  - 8.5. Short and long term financial strategy – resources from the target university and other funders
  - 8.6. Monitoring and evaluation.
    - 8.6.1. The **overall university coordination office** is responsible for the overall monitoring and evaluation and subsequent reporting to Sida (as stated in the agreement between Sida and the target university) and should outline planned procedures for:
      - Organisation and responsibilities for timely submission of annual audits
      - Organisation and timely submission of annual financial reports
      - Organisation and timely submission of annual narrative results reports
    - 8.6.2. The individual programmes should briefly outline
      - Procedures for timely and regular collection of results and following progress within the programmes
9. Organisation of the Personnel welfare related to exchange of staff between the target university and Swedish university (solutions, responsibilities)
  - Assistance for obtaining visa
  - Housing facilities
  - Welcoming and hosting students and scholars
  - Organising the payment of allowances to students/postdocs and participating staff as agreed upon

## 10. Ethical consideration

## 11. References

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<sup>2</sup> Sida supported PhD students are expected to graduate within 5 years from registration, taking into consideration that PhD students in sandwich programmes are expected to use a fraction of their time at the target university to participate in teaching. The university issuing the degree is responsible for the quality of the thesis.

12. Intellectual Property Rights (IPR) and patent issues: All the questions below should be addressed and commented on and where deemed not relevant this should be explained clearly).

ISSUES TO BE ADDRESSED AND AGREED UPON	Yes	No	Comments, Status and follow-up plans (deadline dates for when issue is agreed upon)
Are all key members of the partnership aware of/conversant with the IPR regulations of <b>target country</b> ?			
Are all key members of the partnership aware of/conversant with IPR related policies of the <b>target university</b> ?			
Are all key members of the partnership aware of/conversant with IPR regulations of <b>Sweden</b> ?			
Are all key members of the partnership aware of/conversant with IPR related policies of the <b>Swedish partner university</b> ?			
Has the question of ensuring the <b>protection</b> of research findings and results obtained as part of the partnership been discussed by the partnership?			
Has the question of coverage of <b>costs related to IPR</b> activities during the lifetime of the programme and after the end of the programme been discussed by the partnership?			
Have the questions of “ <b>background ownership</b> ” (i.e. IPR ownership prior to the current partnership) been discussed by the partnership?			
Have the questions of “ <b>foreground ownership</b> ” (i.e. IPR ownership as a direct consequence of the current partnership) been discussed by the partnership?			
Has a decision been made on the policy of <b>dissemination</b> of research findings and results that come out of the partnership?			
Has a decision been made by the partnership on the <b>exploitation</b> of results (products or services)?			
Is there legal assistance in the Target Country to assist the partnership in IPR issues (including potential patents)?			
Is there legal assistance available at the Swedish partner university to assist the partnership in IPR issues (including patents)?			
Is there a plan to <b>develop capacity</b> for IPR issues within the partnership?			
Other IPR and patent issues not addressed above			

## 1.4 Results matrix

(Enclosure 2)

Below is an example of how a results matrix can be outlined.

Outputs	Outcomes	Performance indicator of Outcome (including target values)	Baseline	Data source	Method of collecting data
<b>Specific Objective # 1:</b>					
	1.1 ....				
	1.2 ....				
	1.3 .....				
	1.4				
<b>Assumptions for Specific Objective 1.</b>					
Outputs	Outcomes	Performance indicator of Outcome (including target values)	Baseline	Data source	Method of collecting data
<b>Specific Objective # 2:</b>					
	2.1....				
	2.2 ....				
	etc				
<b>Assumptions for Specific Objective 2.</b>					
Outputs	Outcomes	Performance indicator of Outcome (including target values)	Baseline	Data source	Method of collecting data
<b>Specific Objective # 3:</b>					
	3.1....				
	3.2....				
	Etc.				
<b>Assumptions for Specific Objective 3.</b>					

## 1.5 Curriculum Vitae

*(Enclosure 4)*

CV of coordinators, supervisors and personnel with a major role in the collaboration.

**Maximum 2 pages per CV (A4 format, using a 25 mm margin and a Times New Roman 12 font)**

Specify under the following numbered headlines, in this order:

1. Higher education degree(s) (year, subject area)
2. Doctoral degree (year, discipline/subject area, dissertation title, and supervisor)
3. Postdoctoral work (year and placement)
4. Qualifications as research/fellow/associate professor (year)
5. Specialist certification or equivalent (year, discipline/subject area)
6. Current position, period of appointment, share of time spent in research
7. Previous positions and periods of appointment (specify type of position)
8. Interruptions in research. Indicate if active research time has been interrupted to the extent that it affected the opportunity to acquire qualifications, e.g. by parental leave, illness, clinical internship/residency, positions of trust in trade union organisations and student organisations, or other similar reasons. Specify the reason(s) and give the time and dates of the interruption
9. Individuals who have completed their doctoral degree under your supervision (name, year of PhD thesis defence) or postdoctoral period under your main supervision.
10. Pedagogic experience. List 5 most important Master/PhD training courses you have been involved in organising. Specify your role and the year(s)
11. Other information of importance to the application

*Items that do not apply should be left blank.*

## 1.6 Publication List

*(Enclosure 5)*

Publication list of coordinators, supervisors and personnel with a major role in the collaboration

**Maximum 2 page (A4 format, using a 25 mm margin and a Times New Roman 12 font)**

Attach a list of a **maximum of 10 selected** publications for the past **10 years**, marking the five most important publications with an asterisk (\*). Categorise the publications under the numbered headings, in the following order:

1. Peer-reviewed articles (Include only articles, or equivalent, that have been published or accepted for publication)
2. Peer-reviewed conference contributions (the results of which are not presented in other publications)
3. Review articles, book chapters, books
4. Patents (give date and registration)
5. Open access computer programs that you have developed
6. Popular science articles/presentations

## 1.7 Budget

(*Enclosure 6*)

Each budget item must be justified.

The budgets should present the *full cost* of the planned activities (direct and indirect costs) and should indicate planned co-funding by the applying and partner universities.

The budget should include funds requested from Sida as well as additional funds from other sources such as funders and national contributions.

The budget should be presented as *annual and total budgets divided between the partners* (i.e. funds to target university and funds to Swedish university or individual members of a consortium of universities)

**The budget should be broken down in the following broad headings:**

### 1. Cost of curriculum development

### 2. Cost of training

Target country universities are expected to pay the salaries of their staff who qualify for sandwich PhD training. These staff members are expected to receive leave of absence with pay, from their universities to pursue their training or through country stipend schemes where they exist.

Fees at target university, if applicable (fee waiver can be budgeted as co-funding)

Allowances for visiting lecturers (from partner Swedish universities) involved in postgraduate courses at the target university

Funding for carrying out PhD, Postdoctoral and Masters projects including:

- Laboratory equipment
- Consumables (e.g. chemicals, plastics, analysis kits, use of shared equipment, literature)
- Cost of publication
- Cost of field work (costs for local allowances and local travel in accordance with documented regulation of the target university)
- Joint laboratory equipment (over one million SEK)
- Cost of maintenance<sup>3</sup> of equipment, insurance, spare parts and training of technical staff based on short and long term maintenance plan.

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<sup>3</sup> An assessment of the capacity of the electrical power supply must be made prior to the purchase of laboratory equipment

### 3. Cost related to exchange of personnel

Compensation for lecturers to alleviate postgraduate and undergraduate degree teaching load of staff PhD candidates through engagement of Swedish teachers (e.g. supervisors, lecturers, Swedish PhD candidates twinning), etc.

### 4. Subsistence allowance/salary

Subsistence allowance for PhD candidate when in Sweden including cost of housing (**Current<sup>4</sup> level 16 000 SEK/month for PhD candidates and 18 000 SEK/ month for Postdocs**)

Subsistence allowance for Twinning/student/exchange lecturers.

Salary of Swedish supervisors (Based on the regulations in the Sweden partner university). Salaries of target country institutions' supervisors are expected to be regulated by the rules in the target university. Local supervisors are expected to receive salaries from the target university in accordance with their regulations

Target University supervisors may apply for the financing of travel to Sweden to visit sandwich PhD students.

### 5. Costs for “sandwich” doctoral training in Sweden

For “sandwich” doctoral training in Sweden the maximum standard sum for **the collaborating Swedish university/universities** per student is SEK 250 000 per student per year. Included in this is

- a. Supervision in Sweden: SEK 200 000
  - i. 2 months' full-time salary including social security fees and overheads (approx. SEK 175 000)
  - ii. 1–2 visits per year to cooperating partner university/institution (approx. SEK 25 000)
- b. Cost per student while in Sweden (SEK 50 000)
  - i. Office/laboratory space for student
  - ii. Chemicals and consumables
  - iii. Access to computer with Internet connection
  - iv. Library services
  - v. Telephone in the office, photocopies
  - vi. Books, computer programmes
  - vii. Insurance, if applicable
  - viii. Participation in conferences and seminars for presentation of research results
  - ix. Page fee when publishing in international journals
  - x. Cost for thesis printing and defence of thesis
- c. Audit costs

### 6. Allowances and per Diem

Allowances and per diem for individuals from the target university should be in accordance with written regulations at the target university.

Allowances and per diem for persons from the Swedish partner university should be in accordance with regulations at the Swedish partner university

### 7. Costs related to research supporting components

Cost of annual planning and annual review meetings (as part of the overall target university budget)

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<sup>4</sup> From January 2013

Equipment  
 Maintenance  
 Library electronic resources  
 Training.

**8. Cost of travel abroad**

Airfare (Only economy class fares are eligible)  
 Insurance  
 Visa

**9. Cost of audits**

Cost of yearly audits

**10. Indirect costs for carrying out the programme**

The target university should list the indirect costs and indicate the total costs to be absorbed by the target university (as part of co-funding) and the total budget requested from Sida. The Swedish Partner institutions should list the indirect costs and indicate the total costs to be absorbed by the Swedish University (as part of co-funding) and the total budget requested from Sida.

***It must be possible for auditors to trace the use of these funds.***

## 1.8 Partnership Agreements (MoU) between the parties

*(Enclosure 7)*

A final-draft partnership agreement between the partners in the target university and Swedish university should be presented.

## 1.9 Report of programmes which have received previous funding from Sida for collaboration with target university

*(Enclosure 8)*

The report shall relate to the specified objectives, expected outcomes and the indicators defined in the application.

Please use the OECD definitions on objectives, outcomes and outputs, which are defined below:

- *Objective/impact* – What the intervention aims at achieving in the long run. Achieving the objective constitutes impact.
- *Outcomes* – What outputs are produced that make things happen outside the control of the intervention (e.g. changes in policies or/and practices, articles published in international academic peer-reviewed journals)
- *Output* – What is produced by an intervention that is in the control of the partner organisation (e.g. seminars, publications, PhD degrees)

## SECTION 1

Executive Summary (extracted from the application)

## SECTION 2

Name of programme and university

## SECTION 3

Objectives and results

1. What was/were the objectives(s) of the programme?

2. Program-wide results (by program objective)

3. What happened: Achieved Outcomes and Outputs

What did not happen: Outputs and Outcomes which were not achieved.

4. Examples may include:

a) Total number of people trained

b) New research findings, which are particularly important

c) Use of research findings

d) Successes and challenges of communication and use of research results, that have contributed to changed policy or practices, if applicable

e) Changes in management and routines of the target university (and Swedish university) that has come about in part due to this support from Sida

f) Other interesting results, if any.

5. Analysis of the processes: Influencing factors & issues

- Why it happened: Opportunities and lessons learned

- Why it did not happen: Challenges and potential improvements

## SECTION 4: BUDGET

Total budget for the programme and a stated time period

## SECTION 5: PUBLICATIONS AND ACTIVITIES

1) List the publications which have resulted from the research activities supported by the program.

2) List the activities of the program.

## SECTION 6: TABLE OF PEOPLE TRAINED IN THE PROGRAMME

Use the following layout:

Name	Start of Sida support (year)	Year of PhD and university giving degree	Major challenges	Current place of employment

## 2 Planning grants for trips to develop full proposals

Each Lol for **new collaborations** that have been invited to submit a full proposal may apply for a planning grant of maximum 80 000 SEK per programme level programme.

On-going research cooperation programmes may use available funds within the programme to more fully plan the full proposal.

Funds for planning trip can only be granted to coordinators of the partnership, and to other key persons in the proposed programme. The planning grant is set at 20 000 SEK per person for a maximum of 4 persons per programme.

Planning grants can only be disbursed to the Swedish partners. For visits from the collaborating partner/country to Sweden, the travels thus have to be organised by the Swedish partners.

Applications for planning grants should include the following information:

- Name of the partnership programme with the UHR identification code found in the invitation for full proposals
- Name of coordinators and names, position and role of others participating in the planned trip
- Purpose of the planning trip with a short description of the plan for the visit
- Number of people travelling
- The approximate dates for the travel

The overall programme coordinating offices of the partner universities should submit a list of all **NEW collaborations** that have been invited to submit full proposals to [The Swedish Council for Higher Education ResearchTraining@uhr.se](mailto:ResearchTraining@uhr.se)).

## Appendix A

### Guidelines to Full Proposal

[Point 1.3](#) (2.4, page 5) 'The approach chosen to build capacity': for research training programmes within target country (or region).

In proposals with PhD students intended for local training in *existing* training programs:

- a) identify which local PhD training program is intended (University/College/name)

- b) outline program purpose, taught component and program length.
- c) describe available qualified human resources
- d) if applicable: show how membership in multi-disciplinary teams link with the training program.
- e) describe program quality assurance

In proposal with PhD students intended for *planned* local training programs:

- a) identify which local PhD training program is proposed (University/College)
- b) outline suggested program purpose, taught component and program length
- c) describe available qualified human resources – and/or what is needed.
- d) identify time span of curriculum- and course development: proposed program start

In proposals with PhD students intended for *sandwich* training:

- a) motivate the need for sandwich training
- b) include suggested time span for this form