GUIDELINES FOR PARTNERS

Sida's support to national research systems

Sida

Sida supports research capacity building mainly through bilateral cooperation between a selected[1] partner country and Sweden. There are currently ongoing programmes in Bolivia, Ethiopia, Mozambique, Rwanda, Tanzania, and Uganda with ongoing plans to include Cambodia.

Support to global, regional and national research of relevance to low-income countries and regions include cooperation with research organisations over a broad range of research areas that encompass health, social sciences, technology, natural sciences and innovation.

The area of innovation focuses on the promotion of research that can contribute to poverty reduction and sustainable development.

SIDA, Unit for research cooperation, Department for Partnerships and Innovations, January 2018

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1   The selection of bilateral cooperation partners is guided by the Swedish Government which defines the countries that Sida has bilateral cooperation with. Due to the long-term efforts required for institutional research capacity strengthening, bilateral research cooperation is focused a fraction of the countries that Sida overall has cooperation with.

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LIST OF ACRONYMS

AIMS	Associates for International Management Service
HE	Higher Education
ICT	Information and communication technology
ISP	International Science Partner
LoI	Letter of Intent
MoU	Memorandum of Understanding
RBM	Results-Based Management
STI	Science, Technology and Innovation

SIDA'S SUPPORT TO NATIONAL RESEARCH SYSTEMS: GUIDELINES FOR PARTNERS

There is growing recognition of the importance of higher education and research for poverty reduction and sustainable development. It is now widely recognized that for any nation to drive its economic and social development, successful global participation and economic sustainability depends on the existence of capacities to create, adopt, adapt, and apply knowledge.

Capacity for research plays an important role in the ongoing work to strengthen higher education and increase research for poverty reduction and sustainable development. The capacities in these areas have increased considerably in many low-income countries in the last decades although they still remain weak compared to the countries' needs. Sida has been working with research support and research capacity building together with organisations in our partner countries since the 1970's.

The Declaration from the 1st African Higher Education Summit on Revitalizing Higher Education for Africa's Future (Senegal 2015) affirms that it is critical to 'develop a high quality, massive, vibrant, diverse, differentiated, innovative, autonomous and socially responsible HE [Higher Education] -sector' committed to 'inclusive growth and sustainable development and a global strategy to optimize the use of Africa's resources for the benefit of all Africans.' The declaration also affirms that 'It is imperative to promote intra-continental and inter-continental research and STI [Science, Technology and Innovation]-partnerships and collaborations'.

Sida's research partnerships include the creation of conditions for long-term scientific ties between low-income countries and Sweden and may also be in the form of south-south collaboration. The support to these partnerships rests on the stand that national research capacity is not only vital to a nation; it also enables the country to share and contribute to the stock of global public goods. With research capacity in at least one university in each low-income country, it is possible to adapt higher education curricula to the country's needs as articulated in its development strategies. Research-based curricula would, at the same time, bring in relevant international knowledge and encompass local perspectives.

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

The main part of Sida's support to research capacity building is currently directed towards national research development in Bolivia, Ethiopia, Mozambique, Rwanda, Tanzania, Uganda and recently initiated in Cambodia. Research capacity building is also supported through global and regional research organisations.

SIDA'S BILATERAL RESEARCH PROGRAMME SET-UP

Sida's bilateral research programme set-up is divided into three main areas:
1. Research policies and strategies
2. Research management
3. Research capability

1. Research policies and strategies

Sida strives to design its support in line with national policies and strategies. Accordingly, depending on how the national research policy is formulated, Sida takes into consideration specific institutional frameworks, their organisational design and suggests how each organisation may interact in synergy. Sida is furthermore open to assisting national and regional efforts to develop research policies and strategies for science, technology and innovation.

Ideally, such national research policies indicate where allocation of financial resources will have most strategic impact, and thus which organisations should be supported. The emphasis throughout Sida support is on the ownership which will ultimately be exercised by the target institution or by the national authority in charge of research, science, technology and innovation.

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

2. Research management

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

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

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

In terms of organisational management, the questions connected to gender equality are highlighted. In many cases, women are a minority in higher studies and research, many times as a consequence of weak or lacking mechanisms in the management of ensuring that female co-workers are equally included and not discriminated against within the institution. This makes it imperative for partner university/institution to establish and integrate a gender-policy in the management of the organisations. Sida offers support in the process of creating such policies through its Tool Box for Gender in Research Cooperation, found in this link: sida.se/English/partners/resources-for-all-partners/methodological-materials/gender-tool-box/

Environmental and climate change integration in research management is also to be considered. Partner universities should develop an environmental impact assessment as a first step to take a clear position on environmental opportunities and risks. It will help to show how partners intend to manage these risks as well their capacity to do so. Expected results of integration are that positive impacts will be enhanced, while negative impacts would be avoided, reduced or managed. Sida provides a series of tools for partners to use in this process, which can be found in this link: sida.se/English/partners/resources-for-all-partners/methodological-materials/green-tool-box/

3. Research capacity strengthening

The building of solid research capability requires the development of an environment that is conducive to research. This includes training of individual researchers, research supervisors and research coordinators in a holistic fashion, as well as investment in the facilities necessary for performing research. A strong research environment should lead to the involvement of a critical mass of researchers, facilitate the mobility and exchange of lecturer and post-doctoral student/fellows with other universities, manage to attract funds for research projects and research training from different sources, undertake training at different levels (including PhD, Masters, undergraduate and short training courses) and link up with stakeholders in society.

Sida may support activities aimed at building up strong research environments based on priorities in line with each university's strategic planning.

In emerging research environments where the majority of the staff is at early stages of their academic careers, external research collaboration is a must. Sweden has chosen to contribute through the mode of research training known as the "sandwich model", which shows a better alignment with the target university strategies than more commonly used scholarship schemes, as the latter tend to detach the student from their home university for several years. In the sandwich training model, research students are recruited to PhD training primarily in Sweden. Research students maintain their position at their home university, define their research project in that context, perform parts of their research work

in their own country and spend periods at Swedish universities/institutions for coursework, analysis and write up. A Swedish supervisor collaborates with a supervisor from the home university, thus supporting the capacity for supervision when necessary. Groups of students are typically admitted within the same programmes. Supervisors from both sides make exchange visits and follow up the students closely.

For courses of a multi-disciplinary nature, senior staff from several faculties at both universities could also contribute.

In cases where a university/institution has developed supervisory capacity, Sida supports collaborative supervision in order to strengthen national capacity for graduation at PhD level. Research courses are set up locally. Exchange visits are still carried out, but for specific project purposes or for the purpose of exposing the PhD students to other research environments. Sida may also facilitate for Swedish collaborators to assist in setting up local research courses so that more students can benefit.

As the university capacity increases, Sida may support research based local master's programmes and as a follow-up step also local PhD programmes.

APPLICATION

The Sida funded "Research Training Partnership Programme as an integral part of Institutional Research Capacity Strengthening" supports the strengthening of institutional research training capacity at universities in Sweden's target countries, contributing to increased number of research graduates. In this section the process of application is described briefly, whereas more detailed guidelines on the separate parts of the process are provided when specific calls are announced.

Sida's research support is by invitation to universities in partner countries. The support is not intended for scholarships to individuals.

The expected outcomes of the programme are:

• Functioning quality assured research training programmes within prioritized areas of national/regional importance in universities of Sida's target countries
• Mutually beneficial postgraduate research training partnerships between universities in Sida partner countries and Swedish universities

Funds may be granted for:

• Research training partnerships
• Research supporting components

The process of applying:

• Invitation to target countries universities from Sida to submit a concept note
• Submission of joint letters of intent from applying universities based on the concept note
• Invitation to submit full proposals for approved letters of intent, where mutual benefit for all sides and the added value should be articulated

It is important to note that the approach and exact guidelines vary between the universities and countries. The following information is only meant to provide an example of how the process could be set up.

For more detailed guidelines

More detailed guidelines and examples of the concept note, letter of intent and the full proposal, can be found on Sida's website sida.se/English/partners/our-partners/research-cooperation/guidelines-for-partners

Please note that these are examples of how the separate parts of the proposal could be formulated and that variations can occur depending on the specific university applying. Also, final guidelines will be provided upon invitation to submit a full proposal.

Concept note

The Concept note should outline the long-term perspective of the target institution in the context of other national strategies for research and higher education. The long-term perspective should be coupled with medium-term (5 year) perspective.

Concept note for research cooperation with Country X

The Concept note should have two main components:

1. A ten-year **"complete"** concept of where the university in question wants to go with its research training.
2. A five-year focused concept referring to the complete concept of what the university in question would like **Sida** to support.

The Concept note should be so written that it may be presented to all potential funders.

Invited universities are expected to develop their concept note in a transparent and participatory way which allows input from a broad base of stakeholders in the country. Furthermore, the invited universities are to describe the process used to develop the ten-year plan presented in the Concept note. The Concept note should outline proposed strategies for diversification of funding for their ten-year plan, through other competitive grants and local funding from their Governments.

The Concept note should pay attention to issues of gender and environment. Data should be presented to reflect gender distribution of the beneficiaries of the partnership. The Concept note should outline efforts currently in place as well as planned efforts aiming at the improvement of transparency and ensuring the rights of all people.

Again, please note that only invited universities may send in a Concept note.

Letter of intent

The "Research Training Partnership programme as an integral part or research capacity strengthening" is an open call for collaboration between a certain university in a partner country and Swedish universities. After a concept note from University X, outlining possible areas of collaboration have been produced, University X and interested Swedish universities together develop Letters of Intent (LoI) in an open call for partnerships. These LoI's will be evaluated and successful applicants will be invited to submit full proposals.

When writing a LoI, there are certain elements that need to be defined. These elements include:

1) An outline of a scientifically sound research training programme;

2) How a true partnership will be developed;

3) How this will ensure quality research training that will result in a critical mass of trained people in areas of national importance as defined in the Concept note;

4) How this can be achieved in a cost effective and sustainable way.

In addition, LoI's for key research supporting elements should clearly define:

1) The central role of the supporting element for research and research training at the university;

2) How the supporting element fits into the Concept note;

3) How the proposed support can be achieved in a cost effective and sustainable way.

As with the Concept note, the design of the LoI's can vary with each specific call.

Full proposal

The final step in the evaluation process consists of the submission of full programme proposals.

The full proposal should typically include the following elements:

1) A title page with the name of the programme and the names and affiliations and address of the coordinators, including emails;

2) Summary of what will be done;

3) Popular science description, briefly describing the type of scientific questions to be addressed;

4) Research training programme including a thorough overview of the scientific issues involved and the basis of the layout of the training programme, including elements of the LoI;

5) Research supporting component programme;

6) A Results matrix showing the expected outcomes and outputs of the programme following the Results Based Management principles;

7) Responsibilities and division of labor;

8) Curriculum vitae of coordinators, supervisors and personnel with a major role in the collaboration;

9) Publication List of coordinators, supervisors and personnel with a major role in the collaboration;

10) Budget including other resources for the programme, both internal and external;

11) Partnership Agreements between the parties.

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

12) Report of results of previous support from Sida.

For more detailed guidelines on the three stages of the application process can be found on sida.se/English/partners/our-partners/research-cooperation/guidelines-for-partners

Results based management (RBM)

Within Sida's research cooperation all work is evaluated through a results-based system – starting with planning following through application, annual reporting, monitoring all the way to the final evaluation of the project. Thus, it is important that applicants, as the receivers of support, have a good understanding of the Results Based Management process, as they will use it in the development of the applications, the execution of the program and in monitoring and evaluation.

Sida's research cooperation has with the help of RBM experts at AIMS put together a handbook in Results Based Management which is meant to give a background as well as guide partners in the use of RBM. It can be found in this link: sida.se/English/partners/our-partners/research-cooperation/guidelines-for-partners

Ethical guidelines

All programme activities funded by the Unit for Research Cooperation must be carried out in compliance with fundamental ethical principles. It is the responsibility of each applicant to ensure compliance with international conventions and declarations on ethical considerations and intellectual property rights. Sida's terms for agreement regarding these matters are the following:

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

For projects carried out in their entirety in Sweden, Swedish regulations shall apply. For projects carried out in other countries the following rules shall apply:

- Projects involving human subjects require ethical approval by a responsible authority in the country concerned. Where Swedish researchers or institutions participate, approval is also required from a Swedish ethical committee.
- Projects involving clinical trials of drugs, vaccines or other pharmaceutical preparations require, in addition, approval by a drug regulatory authority or other responsible authority in the country concerned. Where Swedish researchers/institutions participate or Swedish products are tested,

approval shall also be obtained from the Medical Products Agency (Läkemedelsverket) in Sweden.
- Projects involving experiments with animals should, whenever possible, be approved by a responsible authority in the country concerned. Where Swedish researchers or institutions participate, approval is also required from a Swedish ethical committee for animal experiments.
- When changes or additions are made to the original project plan renewed ethical approval is required.
- The recipient scientist/institution is responsible for ensuring that ethical approval in accordance with the above-mentioned rules is obtained before the study is started. Sida retains the right to require that the recipient scientist/institution produce proof of ethical approval before the grant is disbursed.

2) Intellectual Property Rights

- As regards patents and know-how, the participating Swedish and collaborating country institutions and researchers co-operating in the research project shall have access to all results and know-how obtained within the collaborative projects mentioned in the Agreement. Each party that has participated in the co-operation shall have the right to the patent in their own name and at their own expense.
- The participating institutions shall have the right to equal shares of the revenue derived from grant of user licenses to third parties if the patent is registered by mutual agreement. The grant of user licenses and patent(s) shall be determined in each case by a mutual agreement between the participating institutions provided the participating institutions agree in delegating such a task to one party.

Open access

The basic philosophy of Open Access is that publicly funded research produced by universities and research institutions should be freely available to other researchers. Open Access publishing aims to provide the reader free online access to all publications without subscription fees. To publish in open access journals however requires payment to the author.

Sida supports and encourages the use of open access but is aware of the fact that the whole process of peer review, editing and archiving is costly, as it

requires professional work, organisation, technology and infrastructure. Open Access literature is not free to produce, even though it can be less expensive to produce than conventionally published literature. Business models for paying the bills depend on how Open Access is delivered. According to estimations, an article publishing cost range between 1500 and 3000 USD.

To encourage publication in open access journals, budgets for Sida support can include costs for Open Access publication.

Personal data protection

Applicants may request information of which of the personal data that is processed by Sida. The request should be in written form and addressed to the following receiver;

Sida's Data Protection Officer, Valhallavägen 199, 105 25 Stockholm, Sweden.

MONITORING, REPORTING AND EVALUATION

The implementation of the programme is governed by the agreement signed by both parties, which is legally binding. The agreement with its enclosures is the foundation and framework for the envisaged cooperation.

When a research-cooperation programme is initiated, Sida typically signs three kinds of agreements:

1. With the counterpart in the cooperating country (referred to as the ¨cooperating partner¨),
2. With the collaboration partner at the Swedish university (referred to as the ¨collaborating partner¨)
3. The International Science Programs (ISP), which is responsible for the payment of the PhD students allowances in the cases where this has been decided.

Roles and responsibilities

Roles of overall programme, sub-programme coordinators and supervisors at cooperating universities

The cooperating partner institution assigns a unit or a staff member as coordinator of the programme and sub-programmes.

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

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

Regular coordination meetings between the different coordinators are encouraged.

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

The principal investigators of the cooperation programme are encouraged to develop and sign cooperation agreements or memoranda of understanding in order to regulate all relevant cooperation details. This could include when to hand in reports, the length of time to be spent when visiting the collaborating partners, intellectual property rights, and how to acknowledge academic partnership when co-publishing, etcetera.

Role of coordinator at collaborating universities

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

Role of supervisor at collaborating universities

In addition to the general obligations as academic supervisors, to include securing the scientific quality of the doctoral thesis, they should assist their research students in practical matters including arrangement of accommodation. Travel to the cooperating partner is strongly encouraged, as well as taking the opportunity to give seminars or lectures. A memorandum of understanding (or an equivalent document) can be used to define the specific roles of the supervisors in the cooperating and collaborating countries.

Responsibility of the International Science Programs

If so agreed between Sida and the cooperating partner, ISP will administer the payment of research students' subsistence allowances and insurance, according to an agreement between Sida and the ISP. More information can be found on ISP:s website www.isp.uu.se/allowance.

Sida's role and responsibility

Sida is responsible for the obligations stated in agreements with the parties. In addition, if required, Sida may be available as a partner and adviser to the development of national research systems. This may include, but not be limited to, advice on development of research policies, institutional reforms, institutional capacity building and provision of access to recent developments in national research and innovation systems in other countries. Moreover, Sida is committed to align with cooperating partners' policies and strategies for research, and amenable to consider partners' own reporting formats and to actively engage into coordinating activities with other donors and research funders.

Disbursements of funds

Funds from Sida to the cooperating partner will be disbursed to a bank account as specified in the agreement. The first disbursement will be made after the agreement has been signed and upon receipt of a written disbursement request, signed by an authorized person. The content of the disbursement request and conditions for subsequent disbursements are regulated in the agreement.

If in accordance with the terms of the agreement governing the cooperation, Sida will contract the collaborating university/institutions in Sweden on behalf of the cooperating institution after the agreement with the cooperating partner university/institution has been signed. As appropriate, Sida will disburse funds directly to the collaborating university/institution or consultants contracted by Sida, unless otherwise agreed.

Figure 1: Connections between Involved Parties

The dotted lines means that the squares are not necessarily included in the cooperation
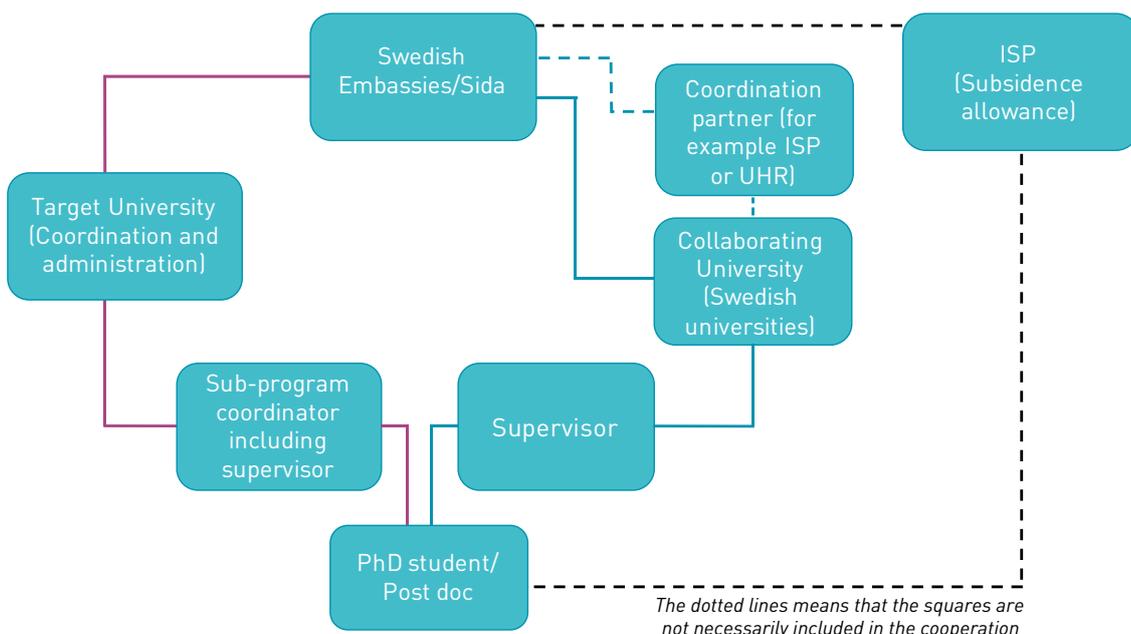
It is important to note that every cooperation and agreement are unique and subject to change and therefore may deviate from this chart.

Travel

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

Research students registered at Swedish universities and undergoing training according to the sandwich model typically conduct part of their training at the collaborating partner's university for approximately 50 per cent of the full training period. For these conditions, visits shorter than 2 months and longer than 10 months are not recommended.

The PhD student is expected to defend her/his thesis within five years from registration. The student is also expected to dedicate at least 80% of his/her time to research activities while based in the cooperation country.

Visas and residence permits

IF THE STUDENT STAYS A MAXIMUM PERIOD OF 3 MONTHS: The student needs a visa and "Schengen insurance". ISP provides an insurance policy to all registered students.

IF THE STUDENT STAYS LONGER THAN 3 MONTHS: The student obtains a residence permit, in which case a "Schengen insurance" is not needed.

Students' subsistence allowances – International Science Programme

Sida and ISP have an arrangement to provide regular and direct disbursement of subsistence allowances and insurance coverage. ISP is the institution in charge to disburse subsistence allowances and insurance for students financed by Sida during their study period in Sweden. Insurance coverage should provide for acute illness and accidents during the period of their stay in Sweden.

The ISP disburses students' subsistence allowances and insurance only when information (names, dates of study periods in Sweden etc.) are received from their academic coordinators. It is highly advisable

that the coordinators get updated information on the requirements from ISP at least three months in advance of their planned arrival, which can be found on ISP's website isp.uu.se/allowance. If this is not done, the student cannot expect to receive subsistence allowance or be covered by insurance on time.

The current level of subsistence allowance for students supported by Sida is SEK 16 000 per month (SEK 18 000 for PhD holders). This is supposed to cover students' cost for accommodation, local travel and other subsistence costs.

The coordinators should inform ISP when the students conclude their studies in order to remove them from the register.

ISP is not responsible for student accommodation, but Swedish supervisors are responsible to help new arrivals with accommodation.

For further information, please contact the nearest Swedish Embassy. Procedures for the visa application are found on ISP's website isp.uu.se/allowance

Reporting and evaluations

The monitoring and evaluation of ongoing contributions are important aspects of a result-oriented management. Therefore, an appropriate results-based management log frame must be used as part of the reporting and evaluation.

As mentioned above, results-based management is an integral part of all Sida-funded contributions. Sida does not provide any forms for reporting but can provide guidelines on what the reports shall include and highlight (see link in RBM-chapter above).

The implementation of the programme is governed by the agreement signed by Sida-Sweden and the agreement partner organisation. The agreement is legally binding. The agreement with its enclosures is the foundation and framework for the envisaged cooperation. The agreement shall specify necessary planning and reporting requirements as well as due dates. Potential evaluations shall also be specified in the agreement or agreed upon during the implementation of the programme.

The cooperating partner bears the main responsibility for the monitoring of the programme. The collaborating partner should assist the cooperating partner in monitoring, including reporting on the progress of PhD candidates. The cooperating partner should systematically collect data on the results achieved through the programme, and examine the process in relationship to the results. The purpose of this is to provide the cooperating partner, as well as Sida and external stakeholders, with performance indicators concerning the extent of progress and achieved results. It is therefore expected that the cooperating partner sets up a system to compile such information. This may vary from a simple table of on-going achievements to a more elaborate system.

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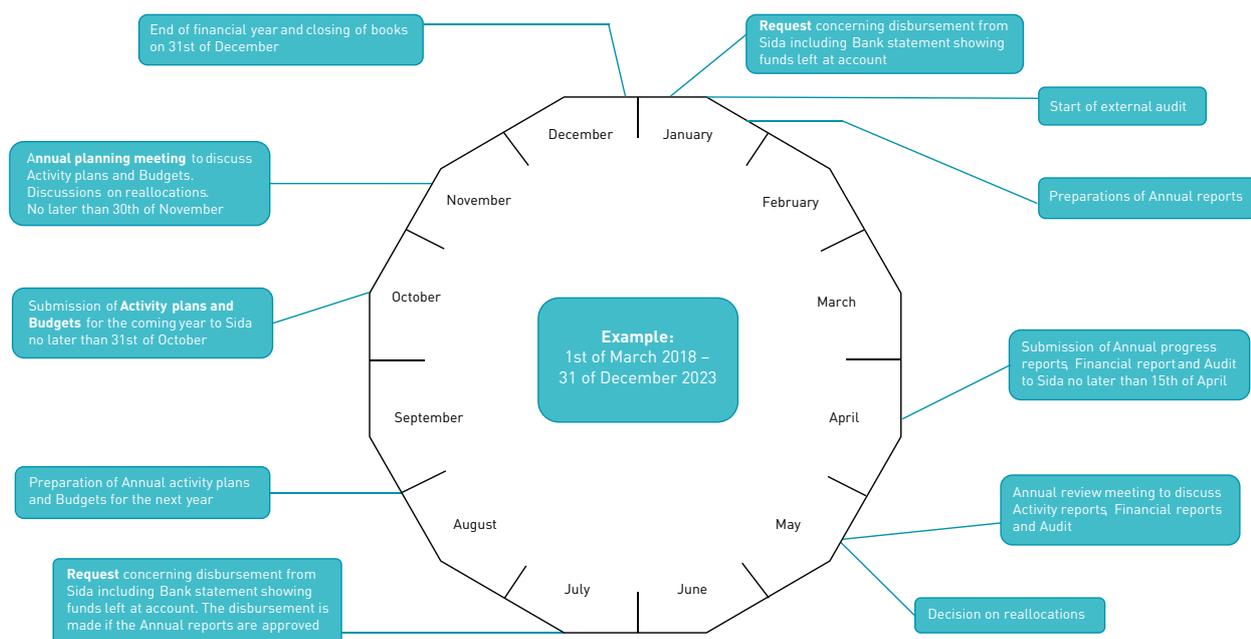
1. Annual reporting

Annual reporting, as well as annual planning, is conducted according to the agreement between Sida and the cooperating partner, and shown in the annual programme cycle of the cooperation, illustrated below in Figure 2.

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

Annual progress reports

As stated in the agreement the cooperating partner should submit one annual progress report to

Figure 2: Example of Annual Programme Cycle

Example:
1st of March 2018 –
31 of December 2023

End of financial year and closing of books on 31st of December

Request concerning disbursement from Sida including Bank statement showing funds left at account

Start of external audit

A**nnual planning meeting** to discuss Activity plans and Budgets. Discussions on reallocations. No later than 30th of November

Preparations of Annual reports

Submission of **Activity plans and Budgets** for the coming year to Sida no later than 31st of October

Submission of Annual progress reports, Financial report and Audit to Sida no later than 15th of April

Preparation of Annual activity plans and Budgets for the next year

Annual review meeting to discuss Activity reports, Financial reports and Audit

Request concerning disbursement from Sida including Bank statement showing funds left at account. The disbursement is made if the Annual reports are approved

Decision on reallocations

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

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

For example, the report should include the following:

1. A summarised analysis of the outcomes (and impact if applicable) of the programme as a whole, in relation to the agreed or expected results in the log frame
2. The updated results-based management log frame
3. Reports per sub-programme (use same format for all sub-programmes)
4. Project data
5. Objectives
6. Results – achieved results in relation to expected results (outputs, outcomes and impact if applicable)
7. Publications and conference presentations
8. Unexpected results
9. Constraints, deviations and lessons learned

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

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

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

Annual financial reports

An annual financial report should be submitted to Sida as stated in the agreement. The cooperating and collaboration partners should, at an early stage, agree with Sida the format for the financial report.

The annual financial report is to be based on the budget format, as well as on information from the accounting system and be consistent with information in progress reports, work plans and similar agreed documents governing the programme. It must be possible to verify this information through the accounting system. The annual financial report should be expressed in local currency, if not otherwise agreed.

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

Contents of financial reports

The financial reports shall include the following information:

a) The received amount, both in the currency of transfer and the amount in the local currency,
b) Exchange rate and information on the date when the amount has been credited,
c) Information on accounting standards used.

The financial reports shall be prepared in a form and at a level of detail that enables a comparison between the actual costs/expenditures of activities for the current reporting period with the budgeted costs/expenditures for the same period, and in the same currency.

The financial reports shall cover:

a) All Project/Programme receipts, and shall specifically show all sources of funding (including in-kind contributions), in form and detail that permit identification of individual sources of funds including Sida's contribution,
b) Accrued interest, and

c) Disbursements on eligible activities and expenditure related to the Project/Programme that enables comparison of the budget with actual progress.

The financial reports shall also include information on the total spending per reporting period as well as cumulated amounts for the entire activity period.

External audits

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

Audits to be procured by the cooperating and collaboration partner universities/institutions should have their *costs included in the programme budget*. Procurement of auditors must be carried out at least 3-4 months before the audit process begins. The audit process must start immediately after the end of the financial year so that the audit report and its management response can be sent to Sida at least one month in advance of the annual review meeting.

The audit is to be carried out by an external, independent and qualified auditor, in accordance with international standards issued by International Organisation of Supreme Audit Institutions (INTOSAI) or International Federation of Accounts (IFAC). The terms of reference for the audit and the selection of auditor should usually be approved by Sida. The audit report shall include a management letter/internal control memorandum with audit findings and weaknesses identified during the audit process. Sida has developed standard terms of reference for the audit at the Swedish universities that can be found thorugh this link: sida.se/English/partners/our-partners/research-cooperation/guidelines-for-partners.

A management response to the audit report should be made available by the management of the cooperating partner university/institution and include comments on the findings and measures taken by the university since the previous audit. The management response should be submitted to Sida together with the audit report at least one month in advance of the annual review meeting. An action plan including responsibilities and deadlines should be submitted to Sida.

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

2. Annual review meetings

The annual progress report, annual financial report and audit must be sent to Sida before the annual review meeting, according to the dates stated in the agreement and shown in the annual programme cycle. The main instrument for dialogue on progress and financial performance should be the annual review meeting between the cooperating partner and Sida, resulting in agreed minutes on how the programme should proceed.

Sida reviews the progress report, the financial report and audit together with representatives from the cooperating partner.

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

Annual review meetings normally take place at the cooperating institution but may in exceptional cases take place in Sweden. The results of the meeting must be documented in Agreed Minutes.

3. Self-assessments

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

4. External evaluations

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

Planning

Annual planning, as well as annual reporting, is regulated by the agreement between Sida and the cooperating partner. An "annual programme cycle" of cooperation is produced to illustrate the process, see Figure 2 on page 13. The cooperating partners must always refer to the agreement and respective annual programme cycle for instructions regarding the process.

Annual work plans

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

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

The plan should include a carefully updated version of the original results framework for the programme.

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

Annual planning meetings

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

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

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

COMPLETION AND RENEWAL

Support from Sida to particular sub-programmes typically span two to three agreement periods which in most cases is insufficient to achieve the overall aim of the support. Therefore, as required, support may be extended to include further agreement periods evolving from the research capacity achieved and needs identified during the previous phases.

The overall aim of Sida's support to national research systems is that partner countries should be able to independently identify research problems of relevance for development, prioritize areas for research, carry out research and secure the necessary financial resources and human capacity to enable the research system to deliver.

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