

Guidelines for NORHED applications

About NORHED

Norwegian Programme for Capacity Building in Higher Education and Research for Development (NORHED) is a new programme launched by Norad. The aim of the programme is to strengthen capacity of higher education institutions in Low and Middle Income Countries (LMIC) to educate more and better qualified candidates, and to increase quality and quantity of research conducted by the countries' own researchers.

Based on a needs assessment in the relevant country, NORHED projects may include institutional capacity building elements like joint Norwegian-South research, competence building of staff through Master, PhD and Post Doc fellowships, administrative and small scale infrastructure strengthening, initiatives to increase access to higher education. The projects must also aim to build and launch Master (and if needed Bachelor) programs responsive to needs in the LMIC, that should be possible to sustain at the LMIC institution after the NORHED funding has come to an end. Education programmes must focus on the long-term need for capacity building in the South, and the recruitment from the South to the education programmes must be ensured.

NORHED is organised in sub programmes with specific thematic and/or geographic focus areas critical for human, social and economic development, and where Norway has a competitive advantage and/or can make a special contribution in collaboration with partners aligned with the Norwegian development policy.

NORHED is funded and managed by Norad.

More information about NORHED can be found in the NORHED Programme Document and at Norad's web site; www.norad.no/norhed.

NORHED funding

Norad will fund NORHED projects based on open calls inviting collaborative partnerships between Higher Education Institutions in Norway and in Low and Middle Income Countries to submit NORHED applications.

Eligible NORHED sub-programmes

Applications to the following NORHED sub-programmes are eligible for this call:

- Education and Training
- Health
- Natural Resource Management, Climate Change and Environment
- Democratic and Economic Governance
- Humanities, Culture, Media and Communication
- Capacity Development in South Sudan

Information and specifications about the sub programmes can be found in the programme document at www.norad.no/norhed.

Reference documents and sources

The following reference documents are of importance and relevance for the NORHED applications:

- Programme Document of NORHED Programme
- Call for applications to NORHED
- NORHED Application Form
- Grant Scheme Rules for Support for Capacity Building within Research and Higher Education

Web site:

www.norad.no/norhed

Submission of the application

All applications for NORHED funding must use the NORHED application form on www.norad.no/norhed.

The application must be submitted electronically using the online form on www.norad.no/norhed, and uploading the relevant documents.

No other forms or means of submitting application will be accepted.

Applications submitted after the deadline or applications exceeding 20 pages will not be handled by Norad.

Deadline

The deadline for submission of the online application is 15 March 2013, at 15.00 CET.

The application

Applications for NORHED funding

All relevant information is to be included in the application. The provided information regarding the applicant, cooperating partners, project, implementation plan, budget and financing must be complete and correct.

1. Administration and partnership

Project partner information

Who can apply?

Eligible institutions for NORHED support are:

- In Low and Middle Income Countries: Higher Education Institutions accredited/recognised by in-country national authorities. Countries must be listed in OECD DAC's register of official development assistance recipients, or listed in the specific call for applications.
- In Norway: Higher Education Institutions accredited by NOKUT (Norwegian Agency for Quality Education), offering accredited degree programmes, and operating in accordance with Guidelines for Quality Provision in Cross-Border Higher Education (UNESCO/OECD 2005)

can apply. Other academic institutions or institutes can be partners in NORHED projects in partnership with a Norwegian Higher Education institution accredited by NOKUT.

The applications shall be submitted jointly by the LMIC and Norwegian partner institutions. The partnership shall select one partner institution to be the contract partner. For main NORHED projects, the preferred partnership model is where one of the South based institution holds the lead, underscoring the aim of southern partner ownership and capacity building.

However, in situations where the LMIC partners do not have the capacity to take the project lead, the Norwegian partner can be the lead partner. In the latter case, possible subsequent phases of the project shall put the LMIC country in the leading position, and a plan for building the necessary capacity shall be included the first phase.

The contract partner will be responsible for entering into contracts with all partners receiving funding under the projects, and will be responsible for the budgets, workplans, progress report, and financial reporting for all partner institutions involved in the project in addition to monitoring and evaluation of results. Procedures and routines for follow up other partners must be described in the project application.

The partner information shall be filled in for each partner institution.

Institutional coordination and contact person

Each NORHED application must ensure institutional commitment. This should be shared with Norad through signed letters of commitments from each institution involved, stating the commitment from the applying institution.

In cases where Higher Educations Institutions submit several applications, Norad will ask concerned institutions to prioritize so that NORHED projects are in line with overall institutional strategic priorities. The institutions will be requested to include a list of the most prioritised projects (up to 10) from the institution's as an attachment to the application.

Each applying institution shall appoint one institutional contact person for NORHED.

Each project must have a project contact person for each partner institution involved. Name and contact details for these persons shall be included in the project application.

Internal routines and partner assessment

The contract partner is obliged to organize the project in such a way as to prevent corruption, irregularities and the misuse of funds.

The partner assessment is a tool provided by Norad (to be available on the 30 November 2012), and shall be performed jointly by future partner institutions in connection with the application process for a NORHED project. It will provide basic information about the existing institutional capacity of a partner in the South for the purpose to assess whether this partner will be able to carry the responsibility as the contractual partner with Norad, and act as the lead partner in the project. Further, it will assist in identifying capacities that need to be strengthened with regards to financial

and administrative management through the NORHED project in order to maximize the outcomes and impact of the project and ensure a smooth management of the project.

About the partnership

The application shall include background and rationale for the partnership. This shall include the competence and qualifications, as well as the different roles and responsibilities, for each partner. The application must document the added value the different partners bring to the project.

For NORHED applications, a MoU of the partnership with commitment and division of roles and responsibilities shall be signed by all partners in a NORHED project before a NORHED agreement can be signed.

The application shall include background and rationale for the partnership. This shall include the competence and qualifications, as well as the different roles and responsibilities, for each partner. The application must document the added value the different partners bring to the project.

The benefits of involving more than two partners in a larger partnership must be balanced with the overall objective, operational feasibility and considerations of the overall impact of the programme. NORHED-projects aim to build broad and sustainable institutional capacity, and the projects should be designed and resourced for this purpose. The project application must clearly state where the capacity shall be developed, and describe the role of each partner. Involvement of too many institutions within one partnership may increase the risk of fragmentation at the cost of concentration and institutional capacity building.

For successful applications, a contract of the partnership with commitment and division of roles and responsibilities shall be signed by all partners in a NORHED project before a NORHED agreement can be signed.

2. Description of the project

Each application shall be directed to one of the sub-programmes only. Where the project relates to more than one sub-programmes, this must be shown in the application.

The application is to give a concise description of the project based on the current situation and the need and/or reason for the project. The present situation and need/justification for the project shall be described for the institutions/countries where the capacity shall be increased.

The overall aim of the NORHED programme is to strengthen capacities for education and research. The project description must show how the project contributes to capacity building, and which capacity building elements that are included, both in terms of education and research.

3. Result framework

We define a result as an output, outcome or impact of a development intervention. By impact we mean long-term improvements for society. Outcomes represent the most important result-level in result management. Outcomes are the intended, intermediate effect on the target groups. Outputs are normally quantitative results; products or services which are relevant for the achievement of outcomes. We need indicators and explicit targets for each indicator to know when or whether we are making progress towards desired results.

In selecting indicators, attention should be given to

- Source of information/means of verification
How and where to get the information? How often? Who is responsible for collection, analyzing, reporting and commenting?
- Cost/benefit
How much does it cost to provide information? How valuable is the information?
- Alignment with national systems. Do not establish a new indicator if one of acceptable quality and relevance is already available in the existing system or of the partner country (or institution)

Baseline values of the indicators should be in place before starting implementing programme activities.

When filling out the results framework the outcomes and outputs may be different for each institution/country. If applicable, outcome and outputs including indicators and baseline should be developed for each country/institution.

Risks are closely linked to results and should consequently be analysed against the results framework of the programme. There are both internal and external risk factors that may hinder success. The first step in risk management is to identify the risk factors. The next step is to analyse the risks, in terms of the probability of their occurrence, and the consequences they are likely to have for the success of the program. The final step is the risk response, or the mitigation.

There is a tendency in result management to develop too complicated and comprehensive results frameworks. Keep it simple.

For more information see: Results management in Norwegian Development Cooperation (Norad/Ministry of Foreign Affairs): <http://www.norad.no/en/tools-and-publications/guidelines-for-quality-assurance>

Implementation plan

Each project application must attach a detailed implementation plan. A template for this will be provided by Norad 15 January 2013.

4. Assessment of sustainability and cross cutting issues

Sustainability means that the positive effects of the project will continue after the grant has come to its end.

The project partners are asked to assess several areas of relevance to the project. This include national plans in the implementing country(ies), the partner institutional capacities, including financial management and corruption, gender equality and empowerment, human rights and equality, environmental and climate sustainability and conflict sensitivity. These are further described below.

4.1 Strategic plans and priorities:

The application shall describe how the project relates to strategic plans and priorities at the institution and country where capacity will be built.

4.2 Institutional capacity:

An assessment of a partner institution's capacity can include elements like: human resources (volume, quality and competence), organisational strengths and weaknesses and enabling environment (social systems, regulatory and legal environments).

4.3 Financial management and corruption:

The Norwegian government has a zero tolerance policy for corruption and misuse of funds. Zero tolerance is applied for all NORHED funding. HEIs that apply for NORHED funding must document that they have adequate financial management systems and capabilities to handle the financial management of NORHED funds. Transparency and anti-corruption measures shall be implemented at all levels. The risk assessment must include an assessment of risks related to financial management, sustainability and transparency and highlight mitigating measures.

Contracted institutions are responsible for the funds disbursed to them. Any amount of money that has been misused, or that HEIs fail to report correctly, will be claimed. In cases of suspicion of financial irregularity or failure of correct reporting, further disbursements will be stopped with no delay until the case has been solved.

More information about this is described in NORHED's programme document, and/or found at <http://www.norad.no/en/about-norad/whistleblowing>

4.4 Gender equality and women's empowerment:

Gender equality is a main priority in NORHED. A gender mainstreaming approach implies integrating gender perspectives in the planning and implementation of all aspects of the project cycle. This includes elements such as design of curricula and research projects, human resources and recruitment, teaching, supervision, research activities as well as monitoring and evaluation. Educational programmes and research activities which explicitly address issues related to gender equality are encouraged.

Measures should be taken to increase the number of female students at all levels, as well as female researchers, project participants and project coordinators. All projects should make every effort to recruit at least 50% female students at all levels.

Measures should also be included in order to retain female students, researchers and project participants, as well as to improve their working conditions. Particular activities to retain female students, and facilitate their completion of the degree studies may be supported, such as career mentoring schemes for female students, include female researchers and students in formal and informal research networks, provide secure working environments and create incentives targeted at female students (e.g. awards/grants).

All NORHED application must present a Gender Action Plan. Such a plan shall include both measures to promote equal opportunities and increase access, and measures to strengthen gender aspects in education and research activities/programmes.

For more details see:

Action plan for Women's Rights and Gender Equality in Development Cooperation (Norad/Ministry of Foreign Affairs):

http://www.regjeringen.no/upload/UD/Vedlegg/Utvikling/Kvinner%20og%20likestilling/Handlingsplan_kvinner_Eng0510.pdf

4.5 Human rights and equality:

The project application must include an assessment of human rights and equality aspects connected to the project. This may include issues of participation, inclusion and exclusion, and the partnership is encouraged to be particularly concerned with vulnerable and excluded groups such as ethnic minorities, indigenous people, people with disabilities.

4.6 Environment and climate:

Project partners need to assess whether the project is likely to have positive or negative environmental impacts, or impact on climate change. In case potential negative impacts are identified, measures to mitigate these must be included in the project plan. In case climate change and environmental risk factors are identified, measures to mitigate or manage the risks implemented. NORHED projects should seek to prevent, minimize, mitigate or compensate for adverse environmental impacts as well as contribute to enhancing positive environmental impacts.

Norwegian action plan for environment in development cooperation (Ministry of Foreign Affairs):

<http://www.regjeringen.no/upload/kilde/ud/rap/2006/0089/ddd/pdfv/287538-actplanenv.pdf>

For more information on sustainability elements and key risk factors, see:

Assessment of Sustainability Elements/Key risk factors (Norad/Ministry of Foreign Affairs)

5. Financial plan

The NORHED projects can have a project period up to five years, and with a budget frame of 7-18 million NOK. A financial plan shall be specified for all partner institutions involved in the application.

In addition, a detailed budget and breakdown of the expenditures must be provided in a separate attachment. A template for budget breakdown will be provided by Norad 15 January 2013.

6. Additional information

Any additional information or comments that the applicant considers to be relevant for the evaluation of the application, and that has not been filled in under any of the other sections of the application form, should be filled in here.

Each project shall explain what procedures and routines the contract partner will follow in order to follow up the cooperating partners.

Norad also asks for information about other projects supported by other donors and of relevance to the projects.

7. Bank details

Recipients of NORHED funding must open a separate bank account. The bank details may either be included in the application or submitted at a later date if funding is awarded. This may be appropriate if the partners prefer to wait and see whether the funding is awarded before opening an account.

8. Attachments

The following attachments are required to be uploaded for all NORHED applications:

- Application form (complete NORHED application form, no other form will be accepted)
- Detailed budget breakdown (a template will be provided by Norad by 15 January 2013)
- Detailed implementation plan (a template will be provided by Norad by 15 January 2013)
- Gender Action Plan (see information under section 4.4)
- Partner Assessment (see information under section 1)
- Signed letters of acknowledgement and support: (letters from each partner institutions signed at relevant institute and faculty level)
- MoU of partnership
- Contract partner institutions last years audited statement of accounts and management letter (not applicable for Norwegian partners because of the financial systems they are part of).

- Confirmation of bank details (see information under section 7)
- References (max 3 pages)

9. Date and confirmation

Date and name must be filled in.