**Guidelines for NORHED applications**

**About NORHED**

The 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, and initiatives to increase access to higher education. The projects must also aim to build and launch Master (and if needed Bachelor) programmes 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 LMIC, and recruitment from the LMIC 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 comparative advantage and/or can make a special contribution in collaboration with partners aligned with Norwegian development policy.

**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

**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.

**Submission of the application, reference documents and sources**

Information and specifications about the programme, reference documents and guidelines of importance and relevance for the NORHED applications can be found on www.norad.no/norhed

The application must be submitted electronically using the online form and uploading the relevant documents onto the website.

The application form can be maximum 25 pages long, font type Calibri 11 points. All requested attachments come in addition.

**Deadline**

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

**1. Administration and partnership**

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. Other academic institutions or institutes can be partners in NORHED projects in partnership with a nationally accredited Higher Education Institution in the LMIC.

• In Norway: Higher Education Institutions accredited by NOKUT (Norwegian Agency for Quality Assurance in 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 institutions and Norwegian partner institution. The partnership shall select one partner institution to be the Agreement Partner. For main NORHED projects, the preferred partnership model is where one of the LMIC based institution holds the lead, emphasising the aim of 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 Agreement 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 in the first phase.

The Agreement Partner will be responsible for entering into contracts with all partners receiving funding under the projects, and will be responsible for the budgets, work plans, 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 liaising with other partners must be described in the project application. The partner information must be filled in for each partner institution.

**Institutional coordination and contact person**

Each NORHED application must ensure institutional commitment. This should be demonstrated through a Letter of Commitment signed by each of the two main institutions (LMIC and Norwegian) involved, and by a third institution where relevant.

Each applying institution shall appoint one institutional contact person and a project coordinator for NORHED.

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

A gender focal point must be a member of the project management.

**List of institutional priority projects**

In cases where Higher Educations Institutions submit more than 15 applications, Norad will ask concerned institutions to prioritize 15 projects, in no specific order, in a list to be submitted by **15 April 2013.**

* Applications not on the list will still be considered.
* There is no need to rank the 15 projects.
* Only 10 out of the 15 prioritized projects can be directed to the same NORHED Sub-programme.
* You are encouraged to briefly justify the list of priority projects.

**Internal routines and partner assessment**

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

The Partner Assessment document is a tool provided by Norad, and shall be completed 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 LMIC for the purpose of assess if whether this partner will be able to carry the responsibility as the Agreement 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.

After a NORHED project has been accepted for funding, a MoU of the partnership with institutional commitments, and a final agreement detailing the division of roles and responsibilities, shall be signed by all partners.

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.

**2. Description of the project**

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

The applications must 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. Furthermore methods, collecting of data etc. must be explained.

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 development, and which capacity strengthening elements that are included, both in terms of education and research.

**3. Results framework**

A results-based approach involves shifting management attentions away from a focus on inputs, activities and processes to a focus on benefits – From what you have done to what you have achieved. The applicants must elaborate and present as part of the application a results framework where goals, activities, target groups, indicators and expected results are defined on an output, outcome or impact level given the development interventions in the project.

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

Norad recommends that applicants use the Project Implementation Plan template provided on the NORHED website, filling in relevant information according to your project.

**Risks**

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.

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>

**Project Implementation Plan**

Each project application must attach a detailed Project Implementation Plan. Please refer to the template on the NORHED website that applicant may find useful as a format.

**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, environmental and climate sustainability and conflict sensitivity.

**Strategic plans and priorities:**

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

**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).

**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>

**Gender mainstreaming and empowerment of women:**

Gender mainstreaming 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.

***Please see the Annex at the end of this document for further details about gender mainstreaming, which must be addressed in all NORHED applications***.

**Assessment of Conflict Sensitivity**

For projects to be implemented in countries and areas where there is an on-going conflict, where a violent conflict has recently ended, and in cases where there is a high probability that a violent conflict may break out, an assessment of conflict sensitivity must be conducted. This means that the NORHED projects are assessed and adjusted in relation to the context of violent conflict in which they are being implemented, with a view to avoid unintended negative impacts and maximize positive ones. As a minimum, any intervention must be conscious about risks.

**Assessment of Human rights:**

NORHED projects are encouraged to address issues related to human rights and inclusion of marginalised groups. NORHED projects shall work to increase access and inclusion of underrepresented groups in the higher education institutions’ policies and practices. Projects are encouraged to apply inclusive practices towards indigenous peoples, ethnic minorities, people with disabilities and other vulnerable or marginalised groups of society.

**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 must be 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>

**Other risks and assessment of sustainability**

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

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

<http://www.norad.no/en/tools-and-publications/guidelines-for-quality-assurance>

**5. Financial plan and Budget**

NORHED projects can have a project period of up to five years, and a budget frame of 7-18 million NOK. A financial plan must be specified in the application form 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 the budget breakdown is provided on the NORHED website and may be used by applicants.

For further information on the budgeting process please refer to the Budget Guidelines document on the NORHED website.

**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 that the Agreement Partner will follow in order to monitor the cooperating partners.

Information and on-going projects supported by other donors of relevance to the application are also requested to be filled out in the application.

**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. Date and confirmation**

Date and name must be filled in and signatures for the Agreement Partner (LMIC or Norwegian) and other main Partner Institutions (LMIC(s) and/or Norwegian) are required.

**9. Attachments**

The following attachments are required for all NORHED applications, and all templates and guidelines are available on the NORHED website:

• **Application form:** Please complete the NORHED application form. No other form will be accepted.

• **Detailed budget:** Please upload a detailed budget. Refer to Budget Guidelines for details. The applicants are encouraged to use template provided by NORHED.

• **Project Implementation Plan.** Please upload a Project Implementation Plan. The applicants are encouraged to use template provided by NORHED.

• **Partner Assessment.** Please complete the NORHED Partner Assessment. No other form will be accepted.

• **Signed Letter of Commitment:** Please submit only one letter with all signatures. The applicants are encouraged to use template provided by NORHED.

• **Curricula Vitae**. Please submit one word document (text only) with brief CVs for main researchers, focusing on research and educational development. Max. 2 pages per person, max. of 2 CVs per main partner institution (LMIC and Norwegian), and max. 1 additional CV.

**ANNEX: GENDER MAINSTREAMING AND EMPOWERMENT OF WOMEN**

Gender is a cross-cutting issue in NORHED. There are several reasons for this. First of all, inclusion of gender is a matter of fairness. Women and men must have the same opportunities to participate in, and the same power to influence, the higher education institutions. Second, in order to reach the overall goal of the NORHED program, all applications must be of relevance for both men and women.

Research and education are integral to policy formulation and public administration, and contribute to a more critical, diverse and open public debate. Furthermore, an inclusive democracy requires that women and men participate on equal footing in all areas of society. If gender equality is provided in the research community, and gender perspectives are integrated in the content of research and education, the research institutions will more accurately reflect the diversity of the population. This will strengthen the institutions’ credibility and ensure that they incorporate the research interests and education of a larger portion of the population. This is just as crucial in the areas of mathematics, natural science and technology, which produce knowledge and technology of great social significance, as it is in other disciplines. The demand for good management in higher education and research institutions is growing. The leadership quality exerts a major influence on the research activity and plays a vital role in quality development both in research and higher education.

**General information**

Mainstreaming of gender will be a selection criterion and proposals that comply with the specifications listed below will reach a higher score.

If knowledge about gender issues is missing among members of the project, we advise the project management to actively search for persons with necessary skills either within the institutions which participate in the project or outside.

The guidelines refer to specific requirements in the application form.

**Mainstreaming gender in the project description**

Every application must give a brief assessment of challenges the project may have regarding mainstreaming gender. The assessment must be contextualized and related to the different aims of the project.

**Research**

The basic principle is that applicants must integrate gender perspectives in the objectives and methodology of the project regardless of sub-programme or discipline. Gender must be addressed and explained in the context of research design, investigation and interpretation of results in the project description. Reasons must be given if gender is regarded as not relevant.

**Education**

The development of education (i.e. teaching methods, materiel etc.), and training must be of relevance to both women’s and men’s lives. The curriculum must include female and male authors. Knowledge about gender equality should be included in the education component.

**Capacity development of institutions**

NORHED is a capacity development programme. Hence gender perspectives must be integrated in the development of organizations, institutions and of infrastructure, i.e. management, educational systems, physical environment, statistics etc. When training of leaders/management is incorporated in the project, knowledge about gender equality in research and education should be included. Women as well as men must be included in training in order to reach higher-level positions.

**Results framework**The applicant should set targets in order to improve gender equality among the participants in the project on all levels, from BA students to senior researchers. The targets should be both ambitious and realistic. All projects should make efforts to recruit at least 50% female students at all levels. In addition, the applicant should set targets regarding gender equality relevant for capacity development for institutions that correspond with the aims formulated in the project description.

A description of relevant recruitment procedures, measures and activities which the participants decide to implement in order to reach the targets must be given. Similarly, a description of measures and activities that answer to challenges regarding retention of female researchers and students must be included. Furthermore the applicant must elucidate how the project will increase the gender awareness in the organization/institution, and in evolvement of systems etc.

The involvement of female and male participants is required and the applicant must show how a gender balanced involvement will be secured, i.e. in training, workshops, collecting data etc.

Expected outcomes must reflect gender mainstreaming initiatives.

**Examples of measures and activities that can be included:**

• Compensation for maternity leave for those receiving scholarships and fellowships. Women involved in NORHED projects as Master students, PhD candidates or project managers will be granted maternity leave of a minimum three months, or according to local regulations.

• Scholarships for female master students and female researchers included in the project within thematic areas and in countries where women’s underrepresentation is clear.

• Security precautions

• Networks

• Mentoring programs

• Courses in gender issues thematically related to the project description

• Training courses (i.e. in writing, leadership, education, statistics etc.)

• For more ideas and examples, please refer to the websites below

**Assessment of baseline situation**

Give a brief assessment of the baseline situation regarding gender equality both in the composition of the project team and in female participation in the development of research, education and capacity development of institutions. Please clarify how the project will contribute to a gender-sensitive educational and training environment. Special attention should be given to challenges regarding sexual harassment and gendered security issues. Give a short description on how those challenges will be avoided, and addressed if necessary.

**Other resources and examples of measures and activities:**

<http://eng.kifinfo.no/c62416/seksjon.html?tid=62453>

[http://siu.no/eng/Front-Page/Global-menu/Publications/Publication-database/(view)/5489](http://siu.no/eng/Front-Page/Global-menu/Publications/Publication-database/%28view%29/5489)

<http://eng.kifinfo.no/nyhet/vis.html?tid=737778>

**Political instruments**

*Action Plan for Women’s Rights and Gender Equality in Development Cooperation:*

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

*Report Nr 11 to Storting, On Equal terms: Women’s Rights and Gender Equality in International* *Development Policy:* <http://www.regjeringen.no/nb/dep/ud/dok/regpubl/stmeld/2007-2008/report-no-11-2007-2008-to-the-storting.html?id=547128>