



A Presentation of NORHED:

The Norwegian Programme for Capacity Development in Higher Education and Research for Development



1. General Overview of NORHED

Higher education and research are priority areas of Norway's development cooperation policy. Norad believes that sound, strategic investments in higher education and research in low and middle income countries (LMICs) pay off in the form of strong academic institutions and their societal engagement. Such investments have many benefits, not least that they contribute to development of their countries' intellectual resources, competent workforces, visionary leaders, gender equality and human rights. In the long run it also contributes to evidence-based policies and decisions that enhance sustainable economic, social and environmental development.

Institutions for higher education and research in LMICs face difficulties in providing quality and relevance of learning and research, retaining staff and ensuring adequate working environments and career prospects. This happens in a world that is changing rapidly in ways that often affect low income countries the most, also in the higher education and research sectors, and which calls for closer and better cooperation between higher education institutions across borders.

More young men and women graduate from primary and secondary education than ever before. Countries are struggling to keep pace in producing and retaining the vital academic workforce to sustain future generations of graduates and researchers.

NORHED is a Norad programme designed to stimulate productive South-North collaboration. It is intended to strengthen the institutional capacity and performance of higher education institutions (HEIs) in the South to deliver quality education and research. This may also include capacity development within system development, administration and infrastructure, with due attention to gender balance considerations

The program will complement Norad's specific support to research projects through the Research Council of Norway and other mechanisms.

NORHED draws heavily on the findings and recommendations from the external evaluation of the NUFU and NOMA programmes. It is merging the two programmes and moving capacity-building beyond individual students and researchers to address the broader institutional environment. NORHED has been developed on the basis of a broad domestic and international consultative process.

NORHED is organised in thematic sub-programmes with a possibility of defining specific geographic priority areas. Attention will be given to thematic areas of high political priority where Norway has a strong comparative advantage and/or can make a special contribution in collaboration with partners.

Under NORHED, five thematic areas and one geographic area have been selected for special targeting for education-research improvement work. The sub-programme area to be prioritised will be subject to revisions as needed. These six areas are defined as NORHED sub-programmes, and are:

- 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

Norad's Masterprogram "Petroleum and Energy" administered by NTNU (Norwegian University of Science and Technology) complements the NORHED portfolio.

NORHEDs objective is to contribute to capacity development for higher education and research in low and middle-income countries. The countries of priority may differ between the sub-programmes reflecting the thematic focus of the programme, and focus countries for the specific call. Potential applicants should refer to the specific call for applications for a list of eligible countries.

2. General Intervention Areas

NORHED is intended to be responsive to higher education sector priorities of partner countries. Applications must be based on needs and priorities identified by the partner institution(s) in the LMIC(s), and must be linked to government policies and priorities at national and/or regional level. The process of identifying the areas of cooperation must be documented in the application, and be confirmed by institutional leaders at all partner institutions. This includes the elements of the proposed projects (education programmes, research projects, outreach activities, institutional development measures) as well as the thematic and disciplinary approaches.

The areas of cooperation may also preferably be in line with priority areas for Norwegian development cooperation in the respective country, and represent areas where Norway has a strong comparative advantage and/or can make a significant academic contribution. Gender sensitiveness cuts through and is a basic concern throughout the project cycle. The Norwegian Embassy in the respective country may contribute in the identification of relevant areas of cooperation, and will be invited to assess the applications with a view to Norwegian development cooperation priorities.

It is a clear intention in the short- to medium-term to achieve synergy with other Norwegian-funded programmes similar in scope and objectives (i.e. strengthening of higher education institutions in the South) under NORHED. Synergies with programmes/projects financed by other countries/organisations will be encouraged.

Based on a needs assessment in the relevant country, NORHED projects may include institutional capacity development 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) 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 development in the South, and the recruitment from the South region to the education programmes must be ensured.

The range of interventions potentially eligible for NORHED support is broad with some degree of flexibility as long as project outputs meaningfully contribute to defined higher level outcomes and longer-term impacts. Typical interventions that can be considered for support are shown in the following table:

<i>NORHED Intervention areas</i>	<i>Rationale</i>	<i>Comments</i>
In-country/regional Masters education programmes (and bachelor).	Development and strengthening of tertiary education sectors enhances the development of a competent national workforce in several sectors	Outputs and activities can be related to for example curriculum development, teaching methods, staff and student exchange, scholarships, supervision, mentoring, and advanced degrees in new fields. Comment: Female students and teachers shall be encouraged to participate in project activities.
PhD studies and Post Doc fellowships.	Advanced- and postdegree studies and fellowships enhance sustainable research-based education programmes and quality research in the South.	Outputs and activities can be related to, for example, staff and student exchange, scholarships, supervision, mentoring, new degree programme development etc. Comment: Women shall be encouraged to apply, and special incentives to ensure their participation shall be considered.
Joint research projects in line with overall NORHED programme aims and subprogramme areas	Relevant and high-quality research-based knowledge, enhanced competence of researchers, and strengthened future research cooperation.	Outputs and activities can be related to, for example, field work, equipment, data collection and analyses, travel, seminars, publication in peer-reviewed journals, and other dissemination efforts Comments: Research must be directed towards enhanced capacities, and creation and use of knowledge of value to partner countries. Research must be relevant to the project area. Female researchers shall be encouraged to lead and participate in research projects.
Institution and systems strengthening	Strengthened, efficient institutions with strong management and administrative systems enhance in-country abilities to run and sustain quality education programmes, to recruit, train and retain competent staff, and conduct relevant research for development purposes.	Outputs and activities can be related to improvement of systems, supplies, information technology, on-the-job training, courses, formal education, study visits, research partnerships, and networks. Strengthening of financial and administrative capacity in the South-based partner(s) may be part of the project application.
Systems for knowledge management, information and dissemination of results.	Such systems and opportunities contribute to improved documentation, access to information, knowledge transfer between	Outputs and activities can be related to, for example creation of knowledge/resource hubs, information management systems, websites, internet and e- services,

	institutions and individuals, and used to inform policy	conferences, seminars/workshops and exchange visits.
Scientific Equipment and Small Scale Infrastructure	Access to relevant and up to date facilities and equipment will contribute to a high quality educational and research outcome	Outputs and activities can be related to, for example construction of a laboratory, equipping of a lecture room, provision of special teaching equipment.

3. Goals and result management

3.1 Results

The purpose of the programme is to strengthen capacity in higher education institutions in LMIC to contribute to a) a more and better qualified workforce, b) increased knowledge, c) evidence-based policy and decision-making and d) enhanced gender equality. The future NORHED impact is sustainable economic, social and environmental development in low and middle income countries.

By increased capacity it is meant strengthened capacity for institutions in developing countries to educate more and better qualified candidates, and to increased quality and quantity of research conducted by the countries' own researchers.

The outcome level in the NORHED programme is the strengthening of higher education institutions in low and middle income countries within six identified areas. Strengthening of higher education institutions refers to:

1. Producing more and better research relevant to the identified areas/sub-programmes
2. Producing more and better qualified graduates, men and women¹, relevant to the identified areas/sub-programmes

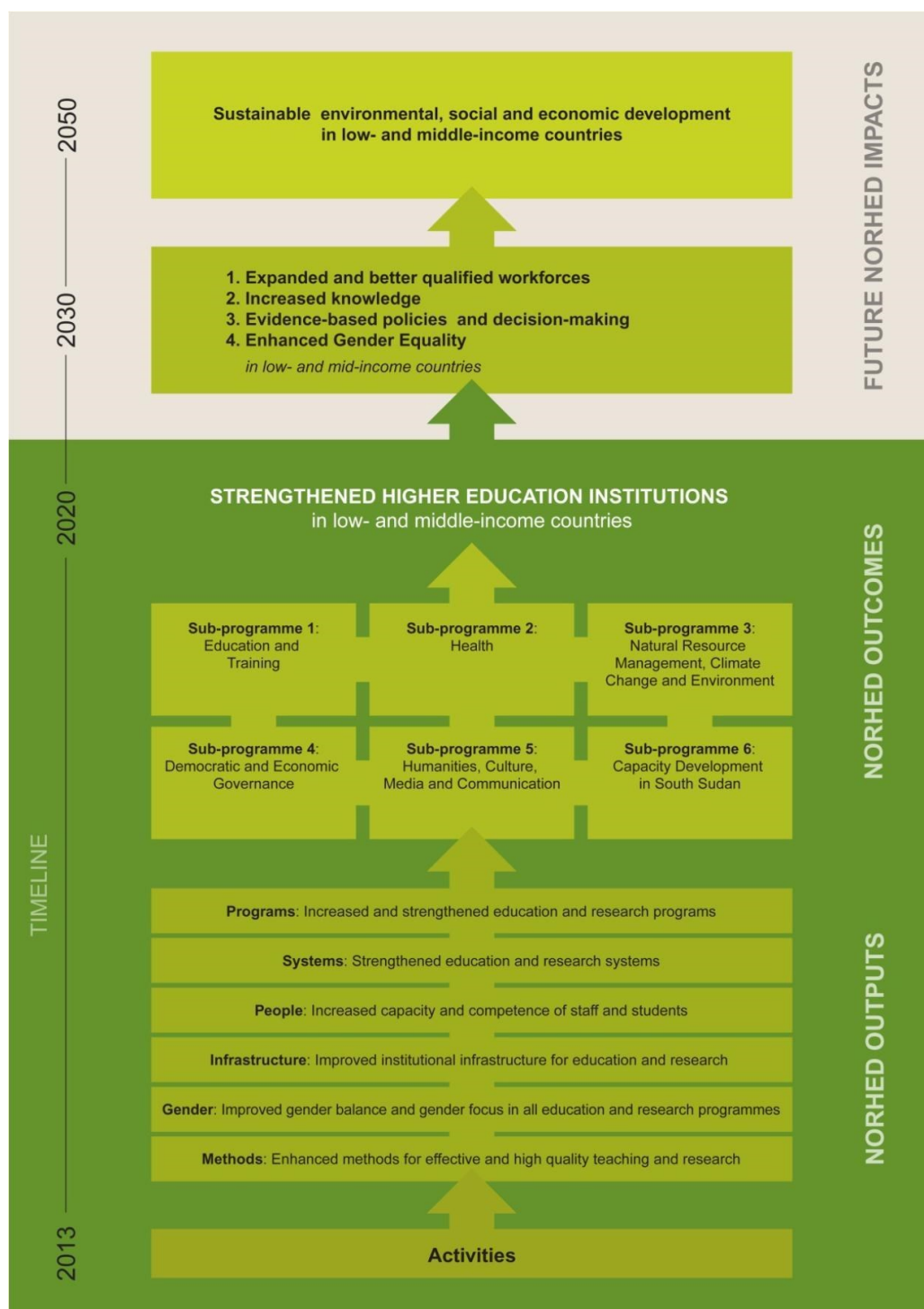
It is expected that NORHED projects will contribute to strengthening both education and research capacities at the institutions. Both research and education components shall be included in the projects.

NORHED takes a holistic approach to capacity-building and strengthening of HEIs by supporting a range of output-producing activities intended to be combined in the best way possible to produce sustainable results in the long run. NORHED outputs and activities are to be organized under 6 main categories:

1. Programs: Increased and strengthened education and research programs.
2. Systems: Strengthened education and research systems.
3. Infrastructure: Improved institutional infrastructure for education and research (including supplies and equipment, but not buildings).
4. People: Increased capacity and competence of all staff and students².
5. Gender: Improved gender balance and gender focus in all education and research programmes.
6. Methods: Enhanced methods for effective and high quality teaching and research.

¹ and «third gender» (intersex people) where relevant

² Including targeted support to candidates with special needs/ persons with disabilities



Impacts are post-programme effects, in the NORHED case being the effects and consequences that will occur and/or continue to improve after NORHED programme period. Impacts can be categorized as “short-term” (by Year 2030) and “long-term” (by Year 2050). By supporting creation of strong higher education institutions with solid research capacities in NORHED partner institutions of low- and middle-income countries, it is intended that NORHED will directly contribute to:

- In the short-term (2030) in partner countries: (1) expanded, qualified workforces suited to tomorrow’s development challenges, (2) increased knowledge and better knowledge

management systems, (3) evidence-based policies and decision-making, and (4) gender equality.

- In the long-term (2050) in partner countries: (1) sustainable economic development, (2) sustainable social development, and (3) sustainable environmental development.

3.2 Indicators of success

The success of the NORHED programme will be characterised by development of relevant competence and capacity at the institutions in the South as outlined in the result framework of the programme. The baseline values of the indicators should be identified prior to the start of the project activities against which progress can be assessed or comparisons made. Below are some examples of indicators relevant to the NORHED areas:

- Number and type of education programmes established at institutions in the South, including regional programmes.
- Number of curricula newly developed and/or revised.
- Net entry rates by age and gender.
- Staff/student ratios per education programmes.
- Number and percentage of female teachers by level of education.
- Student retention and progression rates.
- Graduation by age, gender, field and level of study.
- Change over time in number and gender of higher education students by field of study.
- Graduate employment.
- Reasons for failure or non-completion of courses.
- Presence of female administrators and managers.
- Personell in higher education engaged in research and development by sectors.
- Administrative/academic staff ratio.
- Number of Norwegian-South country joint research projects □ Number of publications per academic staff.
- Number of publications from Norwegian-South country joint research projects
- Number of teachers/educators/teaching assistants who successfully completed in-service training with NORHED support.
- Number of host-country institution faculty and/or teaching staff who enrolled in training programs for qualifications strengthening
- Number of individuals from underserved and/or disadvantaged groups accessing tertiary education programs
- Number of direct beneficiaries reached annually by the partnership

Norad has engaged the current NORHED partners in a process for identifying standard indicators common to all projects. These are:

1. Number of new/and number of revised Bachelor/Master/PhD programmes/modules supported by NORHED
2. Number of Bachelor/Master/PhD programmes/modules supported by NORHED with gender perspectives included
3. Capacity to enroll and graduate students in NORHED supported programmes (Bachelor/Master/PhD)

4. Relevance of educational programmes and new graduates to local, national and regional needs and labor markets
5. Number of academic staff with strengthened qualifications (Master/PhD) by relevant institutional level (institute/department/faculty) supported by NORHED
6. Ratio of qualified academic staff (Master/PhD) to students by relevant unit (institute/faculty/department) supported by NORHED
7. Retention rates of qualified academic staff at relevant unit (institute/department/faculty) supported by NORHED
8. Number of scientific publications (peer reviewed and others)
9. Number and type of other dissemination activities
10. Uptake/influence of NORHED-supported research in public policies
11. Uptake/influence of NORHED-supported research findings/new technologies/innovations/solutions by local communities/civil society/private sector
12. Knowledge transfers within South-South and South-North networks and partnerships
13. Changes in the broader institutional environment at NORHED supported institute/faculty/department which strengthened the capacity for education and research
14. Access to libraries, laboratories and ICT for staff and students in NORHED supported institutes/departments/faculties

3.3 Risk Management

Risk management is an integral part of results management and shall be identified for each NORHED project. Risk assessment shall be done and risk management plans developed prior to start-up of work, including risk monitoring and mitigation, and reporting elements. Risks may be defined as *events or conditions that may occur, and whose occurrence, if it does take place, has a harmful or negative effect*. Risks are closely related to results and should consequently be analysed against the results framework of a project. There are both internal and external risk factors. Internal risks are factors under the control of the NORHED project that may hinder success, such as corruption, human and financial resource capacity, management capabilities, incentive structures, accountability and transparency, ownership and motivation of staff. External risks are conditions outside the programme which could have a negative influence on the achievement of results. External risks could be related to political, institutional, economic, environmental, social or technological conditions.

Risk assessment and mitigation shall be conducted at all levels within NORHED. The core of risk management is to identify, analyse and react to internal or external factors that might impede implementation or have a negative influence on the achievement of results. What are the major risks? How should they be handled, by whom and how? The purpose of risk analysis is to assess the level of threat to the development intervention.

The next step is risk response, or risk mitigation. Management strategies can then be considered and resources allocated, if it is feasible and cost effective, to bring the factors under manageable control of the project. Actions needed may then be to reduce the probability that a risk factor will occur by changing the design or the implementation plan, or introducing mitigating measures to reduce the consequences if the risk factor that may occur.

4. Guiding principles

4.1 Systematically Addressing Sustainability Challenges

The selection of interventions/activities to be supported by NORHED should be based on a gender differentiated, needs assessment done at partner institutions in LMICs. Proposed interventions/activities should also be reflected in the strategic plans, priorities and budgets of the partner institutions.

Systematic actions and plans for sustaining activities shall be identified and developed from the outset of the project, including issues such as staff retention and plans for the continuation of study programmes, research activities and supporting facilities (e.g. laboratories, libraries) after the end of the project period. Project applications must include strategies for sustainability of the achievements of the project, for reporting and adjustments throughout the life of the project.

4.2 Cross-cutting issues

Gender will be a cross-cutting priority in all sub-programmes, in addition to human rights, conflict sensitivity, and environment and climate. Zero tolerance for corruption is to be practised for all funds under Norad's budget and anti-corruption measures shall be implemented.

4.3 Promoting Gender Equality and Inclusion

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).

In addition, 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.

4.4 Human Rights

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

4.5 Considering the Environment and Climate Change

Project partners will 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 should 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.

4.6 Assessing Conflict Sensitivity

Projects that will be implemented in countries at risk of conflict or in a post-conflict setting face particular challenges. The context can often be politically challenging and unstable, and the security situation may be of concern for the general population. Such settings may have an effect even on academic cooperation projects, and these may in turn also have an impact on the conflict itself, negatively or positively.

Being conflict sensitive means that the project plans are assessed and adjusted in relation to the local context of conflict in which they are being implemented, with a view to avoid unintended negative impacts and maximise positive ones. Conflict sensitivity is therefore necessary in countries and in areas where there is an on-going violent conflict, where such a violent conflict has recently ended and in cases where there is a risk that a violent conflict may break out.

4.7 Zero Tolerance for 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.

4.8 Improving Communication and Information-Sharing

Communication strategies need to be explicitly thought through in all phases of projects and programmes. Communication with different stakeholders is important in the design phase of education and research activities, throughout the implementation phase, and in the final phase. This includes communication with the various levels of partner institutions, other donors and technical partners, relevant ministries and governmental institutions, and project partners and stakeholders such as the local private sector.

Dissemination of results from education and research activities should be directed towards a variety of target groups such as policy makers, governments, public and private sector, the civil society, local communities as well as the scientific community. Articles, papers and books produced within NORHED projects should to the largest possible extent be published in open access journals/sources.

5.0 Eligibility and Geographic priorities for NORHED

NORHEDs objective is to contribute to capacity development for higher education and research in low- and middle-income countries (LMIC).

NORHED invites collaborative partnership projects between higher education institutions in Norway and one or more higher education institutions in the South with the aim to build capacity in low- and middle- income countries.

Partners from LMICs must be higher education institutions (HEI) accredited/recognised by in-country national authorities in countries registered as [OECD DAC list of ODA Recipients](#), or as listed in the specific call for applications.

NORHED will give priority to countries identified as priority countries for the specific call for applications, in line with the Norwegian government's focus countries for development cooperation. Specific countries/regions may vary under each sub-programme, reflecting the thematic focus and priorities of the programmes. Regional collaboration with other universities is encouraged, but the role of other participating countries should mainly be limited to developing capacity at the institution(s) in the focus countries. The role of each partner must be specified in the application, including a clear description of how each participating institution will contribute to building the institutional capacity in the focus country.

Norad considers countries listed as Upper Middle Income Countries and Territories (ref DAC list of ODA recipients) first and foremost relevant as regional partners for building capacities in other LMICs, rather than as main partners in NORHED projects.

6. Project organization

6.1 Eligible Partners

Eligibility requirements for prospective partners:

- Partners from LMICs must be higher education (HE) institutions accredited/recognised by in-country national authorities in countries registered as OECD DAC official development assistance recipients, or as listed in the specific call for applications.
- Norwegian partners must be HEIs accredited by NOKUT (Norwegian Agency for Quality Education), offer accredited degree programmes, and operate in accordance with Guidelines for Quality Provision in Cross-Border Higher Education (UNESCO/OECD 2005). Other academic institutions or institutes can apply for NORHED projects in partnership with a Norwegian Higher Education institution accredited by NOKUT.

6.2 Preparation of joint NORHED project applications

Preparation of joint NORHED projects applications should involve a thorough process including all relevant levels at the institutions involved.

The process of identifying the needs and priorities of the LMIC partner institutions must be documented in the application, and reference should be made to relevant policy documents at

institutional and national level. The application must demonstrate how the proposed project interventions will constitute part of the mainstream activities of the LMIC institution.

All applications for funding from NORHED should be followed by statements of commitment by the institutional leadership (Vice Chancellor/Rector/Director) as well as other relevant management levels (Dean, Head of department).

6.3 Project organisation

NORHED projects may consist of one partner institution in a LMIC and one Norwegian partner institution. However, projects with more than one LMIC partner institution are encouraged, in order to create and strengthen regional academic networks. More than one Norwegian partner institution may also be involved in the project.

A NORHED project may be established at various levels in the participating institutions, depending on the nature and the scope of the proposed project. The operational level of a NORHED project will normally be the Faculty/School/College level. Projects at the level of larger departments/centres may also be an option. The level at which the project is established at each of the participating institutions should as far as possible be corresponding.

Projects should always be anchored in the regular management structure of the institution. Each partner institution has to identify a project coordinator to handle the day-to-day running of the project as well as the contact and collaboration with the other project partners. Sufficient administrative and financial capacities have to be provided for the smooth and transparent running of the project.

Project activities may take place at different levels in the institution; at institutional level (e.g. institutional development measures, library development), at Faculty level (e.g. administrative and financial activities, gender mainstreaming measures) and at Department level (e.g. study programmes, research activities). Relevant staff members should be given responsibility for the different components of a project. A suitable organisation and management structure of the project should be established at each participating institution, and between the partner institutions.

6.4 South – South collaboration

The NORHED program encourages collaboration between LMIC institutions. Collaboration between institutions with particular resources and competences may contribute to an holistic approach of the project. Geographical proximity, potential for mutual academic benefits and prospects for sustainability should guide the formation of such collaboration. Collaborating partners can be institutions within one country, or institutions in neighboring countries. Examples of regional collaboration are research, exchange of teaching resources, exchange of students and capacity development of technical and administrative staff. Furthermore, the projects should seek to increase the number of female project heads.

Graduation of students at any level should preferable take place at the LMIC partner institutions or institutions in the south region as opposed to in Norway. However, selection of graduating institution must be based on assessment of quality, capacity and cost effectiveness.

Objectives for each participating LMIC partner institution shall be formulated at the outset of the project. The objectives may differ between the institutions depending on the situation prior to the project start-up.

6.5 Collaborative Institutional Partnerships

NORHED is based on collaborative partnerships between higher education institutions, i.e. SouthNorway and South-South-Norway, to ensure partner interventions that are locally-owned and locally-driven, with local accountability for achievement of results and management of risks.

The agreement frameworks for NORHED collaborative institutional partnerships will be based on the following principles:

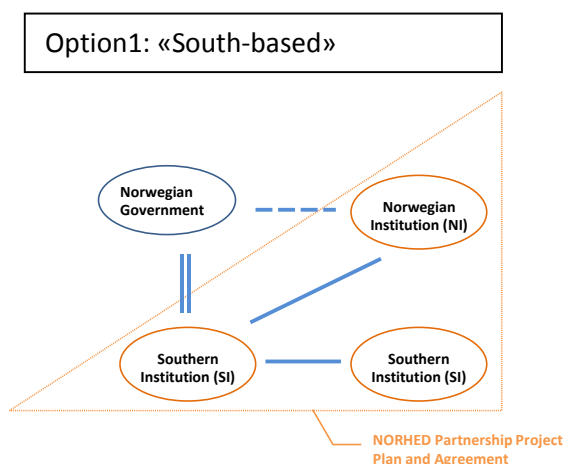
- Transparent partnerships based on mutual trust and shared decision-making and responsibilities
- Local ownership and capacity development, including an expectation that preferably South-based partners should have the liaison and coordinating functions.
- Effective and efficient project management, including management of risks associated with application of the Norwegian Government's zero tolerance for corruption
- A contractual agreement on division of roles, responsibilities and budgets between the cooperating partners.

The following elements will therefore be requirements for all NORHED partnerships:

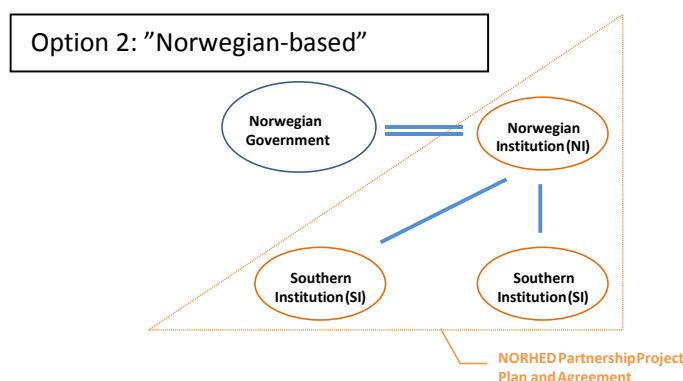
- One joint plan that specifies commitments, roles and responsibilities of each participating institution with regard to expectations, deliverables and budget needs.
- One Partnership Committee with representation from all institutions to ensure partner dialogue, monitoring and adjustment of implementation.
- One coordinating institutional partner (including a named individual) responsible for overall liaison and coordination of partnership reporting.

As shown in figures 2 and 3 and described below, there are two agreement options that can be considered. Underscoring the aim of southern partner ownership and capacity development and the NORHED principle of equal partnership, the south-based model is preferred wherever possible:

1. Under the "South-based" (option 1), the agreement will be signed with and managed by a South-based institution on behalf of the Partnership. Financial transfers will be effectuated to this institution, which is responsible for disbursements to other South-based partner institutions in accordance with agreed plans. For convenience, financial transfer to Norwegian partner institutions may be done directly in accordance with agreed and approved plans and budgets.



2. The “Norwegian-based” (option 2) can be considered if there is clear added value under special circumstances. This will need to be justified in the application.



An assessment of the Partner in South’s institutional capacity shall be performed jointly by partner institutions in a NORHED project and be attached to the main application for NORHED funding. It shall provide basic information about the existing institutional capacity of a partner in the South. The purpose is to assess whether this partner will be capable to carry the responsibility as the agreement partner and act as the lead partner in the project. Further, it will assist in identifying what capacities will need to be strengthened through the NORHED project in order to maximize the outcomes and impact of the project (a format for partnership assessment will be developed for this purpose). To strengthen administrative capacity for partners, capacity development can be provided by Norwegian Institutions or international, regional or local consultants. The selection of technical assistance for this purpose should be based on an assessment of qualifications and cost effectiveness.

7. Administrative Procedures and Reporting

Regular quality assurance and monitoring, reporting and evaluation are built in as integral elements of NORHED to help ensure successful achievement in a cost-effective manner of intended results that are sustainable. Continuous learning with the intention to improve as the programme progresses is also a highly-desired feature of NORHED.

7.1 Disbursements:

The support will be disbursed in advance payments in semi-annually installments. The disbursement will be based on approved annual plans and budgets, approved progress reports and financial statements as well as a written request from the agreement partner stating the amount needed for the period up to the next disbursement based on a cash flow. The balance on the project account will always be taken into account when a new disbursement is calculated. For practical reasons, if the partner in the South is the main agreement partner, transfer to the Norwegian partner can be done directly, based upon same criteria as above.

7.2 Annual Plans, Budgets and Reporting:

The project shall submit annual plans and budgets as well as, annual progress and financial reports for the project. In addition annual audited report, including management letter, for the South partner’s share of expenditure for the project shall be presented. Since Norwegian HEIs are audited by the Norwegian State Auditor, there will be no need for audit of the Norwegian partner’s share of the expenditure. However, the Norwegian partner’s statement of expenditure shall be included in the annual financial report of the project. All reporting shall be forwarded through the main agreement partner. The deadline shall be mutually agreed upon and stated in the agreement.

7.3 Annual Consultations:

Annual meetings will be organized between all participating partners in order to discuss the progress of the project, as well as plans and budgets for the next period. The venue shall be every second year in Norway and the other year in the partner country in the South. All partners in the partnership shall be represented at the meeting.

7.4 Financial irregularities:

Norad has zero tolerance for corruption. The project partners shall organize their operations and control systems in such a manner that financial irregularities, including corruption, theft, embezzlement, fraud, misappropriation of funds, favoritism or nepotism are prevented. It will be expected that the participating partners have proper financial management systems and control measures in place to ensure transparency and accountability of financial executions.

Norad has a Fraud unit (Whistleblowing channel) that manages cases related to suspicion of financial irregularities within Norad's grant management. The purpose of Norad's external whistleblowing channel is to strengthen internal control and fight corruption within development aid, by making it easy and safe to report fraud and misconduct.

Examples of unacceptable circumstances are: financial irregularities, harassment, discrimination and racism.

If you have any suspicions of financial irregularities or other misconduct, this should be reported to Norad's Whistleblowing channel or Norad's external reporting channel: varsling@norad.no

Further information about Norad's Whistleblowing channel is available on Norad's website: <http://www.norad.no/en/front/about-norad/whistleblowing/>

Regardless of the channel you use, you can decide to remain anonymous or not.

7.5 Procurement:

Any procurement to be undertaken under the implementation of the project shall be based on competition and carried out in accordance with good business practice, ensuring transparency, verifiability, equal treatment, practicability and non-discrimination on the basis of nationality or local ties, so that the best possible conditions may be obtained. Any procurement done in a partner country in the South will be based on the country's own procurement regulations and mechanisms (if assessed acceptable). Procurement in Norway will be performed in accordance with Norwegian official public procurement regulations.

7.6 Reviews

A mid-term and/or end-review shall take place during the implementation period in order to assess the outcomes and possibly impact of the project. Timing and ToR will be decided upon between the parties.

7.7 Evaluations:

The Evaluation department in Norad initiated a real-time evaluation of the NORHED programme in 2013. An external evaluation of the NORHED programme in its entirety will be conducted after 5 years.

8. NORHED Programme Steering Structure and Application Processing

The management of NORHED has consequences both at the project level in relation to application processing, decision-making and monitoring of individual projects, and at the overall level associated with the strategic management of the program's overall portfolio, focus areas, risks and results.

8.1 Application Processing

The applications will be reviewed by Independent Review Committees (IRC) set up for each sub-programme. Inputs from the relevant embassies and/or technical sections in Norad will also be solicited. The Independent Review Committees will review all applications against the assessment criteria described for the specific call and submit recommendations to Norad for decision regarding grant awards. The final allocation decisions are taken by Norad.

The Independent Review Committees' composition and competencies will depend on the sub-program and individual calls. Relevant competence will include technical knowledge of the sub-program area, knowledge of capacity building for research and higher education, and knowledge about context and development issues in the country/ region.

The assessment and recommendations of the Independent Review Committees will be available to applicants.

Terms of Reference and composition of the Board and the IRCs will be posted on Norad's website.

8.2 Project Criteria and Procedures

There will be open calls for applications for NORHED sub-programmes depending on resource availability, project portfolio performance and new opportunities.

Approved projects may receive support up to five years depending on the character and contents of the project.

The following elements will be important in a project application:

- Quality and relevance of project description
- Relevance to longer-term institutional and societal needs and the labour market in LMIC.
- Result chain, including baseline information, risk assessment and risk management strategy.
- Assessment of climate, environment, conflict sensitivity and anti-corruption.
- Inclusion of gender equality
- Project management procedures, including joint and realistic planning, clear division of labour and a realistic budget.
- Partnership assessment.
- Prospects for sustainability.

9. Time and Budget Frames

A longer-term perspective is required to sustain higher education and research capacities after the projects end.

The programme funding is dependent on the Norwegian Parliament's annual appropriation. The overall annual budget frame for NORHED is estimated in the order of NOK 150 million (including Norad's Master Programme for Energy and Petroleum, EnPe), with flexibility for budget growth for the programme as a whole or in specific thematic or geographic areas (i.e. expanding subprogrammes or creating new ones).

Depending on the nature of the sub-programmes, the budget frame for individual projects will be between 7-18 million NOK per project for a period of up to five years. This will be further specified for each call.

Annex 1.

NORHED Time and Budget Frames

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The programme funding is dependent on the Norwegian Parliament's annual appropriation. The overall annual budget frame for NORHED is estimated in the order of NOK 150 million (including Norad's Master Programme for Energy and Petroleum, EnPe), with flexibility for budget growth for the programme as a whole or in specific thematic or geographic areas (i.e. expanding subprogrammes or creating new ones).

Depending on the nature of the sub-programmes, the budget frame for individual projects will be between 7-18 million NOK per project for a period of up to five years. This will be further specified for each call.

Financial Framework – what NORHED funds can cover

NORHED projects will include components like; teaching, research, systems strengthening, small scale infrastructure, study programs and curricula development.

NORHED aims at capacity development of research and higher education in the South partner institutions. Thus, NORHED projects should aim at producing academic degrees at the South based institutions. The driving force of the Norwegian-South partnership is the research components which will be of mutual benefit to the partners. As a consequence, hourly rates for research and supervision and teaching of students at the home institution, which are core responsibilities of the academic staff, will not be compensated under the program.

However, there will be need for activities not considered as core responsibilities and therefore will be compensated under the program. These are activities as listed below:

Research activities

Travel, field work and scientific equipment related to the project's research activities can be supported. Basic salaries for the researchers participating in NORHED projects, as mentioned above, cannot be covered by the NORHED Programme. This is also valid for the researchers from the South institutions.

Publication and Dissemination

Costs related to publication and dissemination activities that form part of the objective for the cooperation project can be supported by the NORHED Programme. Dissemination activities include the organisation of and participation in workshops, seminars, conferences etc. Costs for publication of thesis for Master's students and/or PhD fellows admitted to the project may also be included.

Scientific Equipment and Small Scale Infrastructure

Scientific equipment can be supported by the NORHED Programme. All equipment budgeted for in a NORHED project shall be available to the cooperation project during the project period. The equipment becomes the property of the institution in the South when the cooperation project is terminated. Norwegian institutions shall make necessary equipment available for use at their own institutions.

Small scale infrastructure like construction of a laboratory, renovation and equipping of a lecture room etc, can also be supported when it is a precondition for the implementation and quality outcome of the project.

Education activities

Travel and equipment related to the project's educational activities are expenses that can be supported by the NORHED Programme.

Basic salaries for academic staff from Norwegian institutions participating in NORHED-supported cooperation can be covered by the NORHED Programme at hourly rates when these activities take place in the South. This can include teaching, programme development, curricula development, and supervision of students at all levels (where these are not graduating in Norway). The Norwegian partner institution will be compensated for their academic staff participating in NORHED projects at hourly rates at salary scale 70 ([Statens lønnsregulativ](#)). This is calculated based on the upper range of a Post Doc salary. Academic staff from partner institutions in the South can receive compensation for same activities as above (teaching, programme development etc.) when these activities are taking place in other institutions than their own institution and when this activity is not part of their regular responsibility.

Norwegian institutions will receive funding for credit points passed by NORHED students in Norway, and for exchange visits to Norway of minimum three months duration carried out by NORHED students. These are the same conditions that apply to students under other cooperation arrangements.

PhD and Post Doc

Costs related to the development of new PhD courses and programmes can be supported by the NORHED Programme. These costs may include expenses related to curriculum development, stakeholders' meetings, exchange visits and other items.

Fellowships for PhD and Post Doc from the South can be funded by the NORHED Programme. If the studies takes place both at institutions in Norway and in the South, the funding shall follow the regulations in the respective country for the period spent at these institutions. The NORHED Programme does not pay any expenses for accompanying families.

NORHED uses the regulations and rates for the State Educational Loan Fund / the Quota Scheme as a model for support for education in Norway. In addition there will normally be other expenses depending on the nature and level of the work (travel, field work, dissertation costs not covered by any of the institutions etc.), which can be included in the budget under other relevant items.

Scholarships

Scholarships for Master's students from the South can be funded where the Master programme is taken as part of competence building for permanent staff at the partner institution in the South. NORHED does not fund Master Scholarships in general, due to challenges with sustainability for such incentives. The intention is that the Program established will continue after the NORHED project is completed. It is also difficult to justify why these students should receive scholarships while students in other fields would not. Providing scholarships to studies in fields included in the NORHED

Programme might encourage students to apply for these studies, not out of interest and abilities, but for financial reasons.

In order to ensure equal opportunities for education, exceptions might be granted for students from underrepresented or marginalized groups/areas.

Gender Equality and Inclusion

NORHED projects shall establish mechanisms to ensure improved gender balance and inclusion of marginalized groups. Such mechanisms can include scholarships.

Women involved in NORHED projects as students, PhD candidates or projects managers will be granted maternity leave of a minimum three months, or according to local regulations.

Training of Technical and Administrative Staff

In line with the aim of capacity development set out in the NORHED Programme, expenses related to the training of technical and/or administrative staff from the institutions in the South are supported by the NORHED Programme.

Training should be related to the implementation of the cooperation project. Salaries will be compensated. If training is offered in Norway or in a third country, the budget should include travel expenses and costs related to daily allowance and accommodation.

Training of technical and administrative staff can be provided by the partner institutions, or by consultants contracted for a specific purpose.

Institutional Development

NORHED aims at contribute to stronger institutional capacity including administrative capacity and infrastructure. NORHED can cover development of libraries, laboratories, student administration, elearning approaches and other capacity development activities.

Project Management

Partner institutions can receive compensation by NORHED for the time spent by the project coordinator on management and coordination where his/her time has to be substituted by the department. Compensation is intended to cover replacement staff.

The maximum project management workload for a partner is set to three full-time months per year per project for each of the two main partner institutions (in Norway and in the LMIC) depending on the scope of the project, and reflecting the institutions' involvement. If needed, the project partners can agree on other division of the project management funds, however the total months compensated shall not exceed six months in total. Only salary compensation in order to cover expenses for replacement staff will be covered. The compensation shall comply with the salary scale of the home institution and be disbursed to the relevant institution, not to the individual.

Consultancy

NORHED projects can contract consultants for specific activities where this is more relevant and/or cost effective than bringing competence from the Norwegian partner institution. This can apply to capacity development within the administration or infrastructure projects of the Higher Education Institution.

Travel

Visits to Norway will be covered according to the standards of Norwegian national regulations. With regard to travels, economy tickets are standard. Regulations established by the individual institution concerning visiting academic staff shall be used. For Norwegian travelers, stays abroad are calculated according to the official Norwegian regulations (*Statens Reiseregulativ*). For visits to countries other than Norway, funding is based on the regulations of the home country or home institution. Travel in the home country should be calculated in accordance with the national regulations or regulations established by the home institution provided they do not exceed Norwegian allowance limits.

Administrative Costs

The administration costs are meant to cover indirect expenses. Direct costs that can be linked to the implementation of the project are not covered by administrative costs, but as part of the grant.

Administration contribution will help to manage grants from Ministry of Foreign Affairs and Norad. Breakdown of administrative costs is not required.

Administration costs have a maximum rate of 7 %. This applies to the projects with high involvement.

The project administration costs should be distributed between the partners, based on the workload of each institution, and according to approved plans and budgets.

Below is a list of what the Ministry of Foreign Affairs and Norad considered as indirect costs. Any deviation from this list must be justified in particular.

Contribution to:

- Salaries for staff of grant recipients
- Accounting and auditing
- Rent and related costs (lighting, heating, cleaning, etc.)
- Use of buildings and equipment
- Normal maintenance costs
- Communication (telephone, postage, bank) unless the measure consumption can be documented •
- Taxes, fees and charges
- Printing / copying of material
- Rental of equipment used in daily operations and that are not directly related to the project
- ICT services and equipment
- Office Supplies
- Bank Guarantees
- Legal assistance

External Financing

All partner institutions are required to report on activities which are funded by external financial contributors in their annual reports.

Although the Norad-funded activities are a priority in the NORHED Programme, NORHED emphasizes the positive effects of co-funding with other programmes and/or agencies. It should be noted, however, that the same activities cannot be funded by more than one programme (no double funding).