**Guidelines for EnPe applications**

**1. Administration and partnership**

Eligible institutions for EnPe 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 Call for applications. Other academic institutions or institutes can be partners in EnPe 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 EnPe 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 EnPe 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 EnPe 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.

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.

**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 EnPe 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, 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 EnPe 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 an EnPe 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. EnPe 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**

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. Methods and procedures must be explained.

The overall aim of the EnPe 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.

**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 EnPe2013-2019 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 EnPe funding. HEIs[[1]](#footnote-1) that apply for EnPe funding must document that they have adequate financial management systems and capabilities to handle the financial management of EnPe 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 EnPe’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 EnPe. A gender mainstreaming approach implies integrating gender perspectives in the planning and implementation of all aspects of the project cycle.

***The Annex to this document contains further details about gender mainstreaming, which must be addressed in all EnPe 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 EnPe 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**

EnPe projects are encouraged to address issues related to human rights and inclusion of marginalised groups. EnPe 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. EnPe 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>

**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.

**5. Financial plan and Budget**

EnPe 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 expenditures must be provided in a separate attachment, and the application will not be considered if this is not included.**

Explanations of expenditures may be provided in the application form under “Comments to the budget”

A template for the budget breakdown is provided on the EnPe website to be used by applicants. The template specifies the level of financial details required for EnPe project proposals. The template has separate Excel worksheets for Education, Research and PhD, Institutional Development and Project Management, and stipulates the project budget and the sum of the budget expenses for each project partner.

The indirect/overhead expenses have a maximum rate of 7% of the total project budget. The maximum rate of 7% regulates both the cost at the individual institutions, and for the total ENPE Programme.

**Salaries related to Teaching, Supervision and Curriculum Development**

Salary or compensation for research, supervision and teaching of students at the home institution, both in Norway and in developing countries will not be compensated.

Meeting allowance or salaries for time spent in meetings as well as workshops and seminars will not be covered.

Compensation salaries for Norwegian academic staff conducting supervision, education or curriculum development for students belonging to institutions in developing counties has a maximum rate of scale 70 according to Norwegian regulation (“*Statens lønnsregulativ”*), plus a maximum of 30 % to cover social costs. The compensation salary shall be disbursed to the relevant institution, not to the individual.

Salaries for developing country partner academic staff conducting supervision and education for another developing country institution over and above his or her normal work responsibilities can be covered at the home institutions’ rate. The compensation salary shall be disbursed to the relevant institution, and not to the individual.

The maximum number of supervision hours that can be covered for one Master student for a 2 year Master’s programme is a total of 50 hours.

The maximum number of supervision hours that can be covered for one PhD student is 75 hours per year over maximum 3 years.

Salaries relating to examination can be covered.

No salary for increased responsibilities or work load for academic staff at the home institution in connection with project implementation will be remunerated. However, each of the two main partner institutions (one in the LMIC and one in Norway) can be compensated for project management expenses for a period of up to 3 months per project.

**Scholarships**

Scholarships can be provided to Master students that are permanent staff at partner institutions.

Scholarships can also be provided to Master students that belong to clearly marginalised groups that are underrepresented in the relevant academic field. Maximum 30% of the Master students can be given such scholarships. The suggested allocation should be explained.

Preference is given to Master studies in the home country, but scholarships are also allowed for Master degrees at institutions in other countries in the region or in Norway when the degree programmes are not available in the LMIC.

The size of the scholarship should be according to local regulation. It should not come in addition to salaries provided by the home institution.

**Scientific Equipment and Infrastructure**

This budget line covers the purchase of laboratory and scientific equipment, small scale infrastructure and the development of relevant academic libraries, laboratories, student administration, and e-learning approaches in the developing country. Only expenses in developing countries will be covered.

For infrastructure activities, a detailed budget should be provided specifying the various components.

Scientific equipment and infrastructure development are meant for research and educational purposes for the Bachelor, Master and PhD level. Relevant infrastructure necessary for institutional development can also be covered.

The equipment becomes the property of the institution in the developing country when the cooperation project is terminated.

**Publication and Dissemination**

This budget line covers expenses related to publication and dissemination of Master- and PhD thesis, journal articles and books, and other research results.

**PhD and Research activities**

Travel, fieldwork and use of scientific equipment related to a project’s research activities (data collection and analysis) can be supported. The budget should specify the details of such research expenses.

Travel expenditures nationally and internationally related to project implementation can be covered.

Expenses for visits to Norway will be covered according to the standards of Norwegian national regulations. Economy tickets are standard. Regulations established by the individual institution concerning visiting academic staff shall be used. Norwegian partner expenses for travel are calculated according to the official Norwegian regulations (*“Statens Reiseregulativ”*).

Expenses for developing country partners’ visits to countries other than Norway are based on the regulations of the home country or home institution. Expenses for developing country partners’ travelin the home country shouldbe calculated in accordance with the national regulations or regulations established by the home institution, provided they do not exceed Norwegian allowance limits.

Expenditures related to requiring visas for relevant travels to foreign countries can also be covered under this budget line.

**Gender mainstreaming initiatives**

Examples of measures and activities that can be supported:

* Compensation for maternity leave for those receiving scholarships and fellowships: Women involved in ENPE 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.)

**Fellowships**

Eligible candidates for fellowships are LMIC partner institutions employees. Candidates must be pre prepared to be bound by contract to work with the institution a minimum of two years after end of fellowship.

The size of the fellowship should be according to local regulations when the PhD students are in the home country.

PhD candidates who spend time in Norway as a part of their PhD education should receive support according to the rates of the Norwegian state educational loan scheme (*“Statens lånekasse for utdanning*”) for the exact number of months of stay in Norway.

The EnPe Programme does not pay any expenses for accompanying families.

**Training of Technical and Administrative staff**

The programme can cover necessary compensation for temporary replacement staff when technical and administrative staff is taken out of their normal job to participate in training. The compensation salary shall be disbursed to the relevant institution, not to the individual.

In addition, fees for courses and remuneration/salary for the trainers that are conducting the training of the technical and administrative staffs can be covered.

**Information Technology**

Necessary information technology covering software and hardware for institutional development can be covered. This also includes information technology for financial and administrative purposes at the institution.

**Consultancy**

ENPE 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 building within the administration or infrastructure projects of the Higher Education Institution.

**Project Management**

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. Only salary compensation in order to cover expenses for replacement staff will be covered. The compensation salary shall be disbursed to the relevant institution, not to the individual.

Grant recipients should open a separate account for projects grants received from Norad. The grant recipients shall provide confirmation of the bank details, using the institutions’ official headed paper, bank statements or other written confirmation from the bank, before any payment can take place.

**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 application 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 EnPe 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 EnPe applications, and all templates and guidelines are available on the EnPe website:

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

• **Detailed budget:** Please upload a detailed budget. The applicants are encouraged to use template provided by EnPe.

• **Partner Assessment.** Please complete the EnPe 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 EnPe.

• **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. 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 of Norad. 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 EnPe 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**

EnPe 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**Applicants 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 EnPe 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>

1. Higher Education Institutions [↑](#footnote-ref-1)