GUIDELINES FOR APPLICANTS

Programme in Higher Education, Reasearh and Development in the Western Balkans 2010-2016

Energy sector

Introduction

The Programme in Higher Education, Research and Development in the Western Balkans 2010-2016 consists of four sub-programmes:

Programme 1: Maritime Sector
Programme 2: Agriculture Sector
Programme 3: Energy Sector
Programme 4: Development Studies

The scope and objectives of HERD are outlined in the Programme Document "Programme in Higher Education, Research and Development in the Western Balkans 2010-2013" dated 01.03.2010.

NTNU has been requested to administer HERD/Energy on behalf of the MFA. The call for applications is presented with reference to the Agreement between the Ministry of Foreign Affairs and the Norwegian University of Science and Technology, NTNU, signed on 7th of May, 2010. The current Agreement expires the 31st of December 2013. However the HERD/Energy Sector Board and the MFA has decided to expand the Programme period with one year. Hence, projects can apply for funding for the period 2011-2014 under the present call.

The application deadline is **November 1st 2013 at 15:00 hrs**. The decision on the allocation of funds will be made by the HERD/Energy Sector Board in December 2013.

The Programme Secretariat for HERD/Energy is at NTNU's Office of International Relations. The Secretariat's Manager is Head of Office Hilde Skeie, Phone: +47 73 59 52 50, fax: +47 73 59 52 10, e-mail: hilde.skeie@ntnu.no

1. Aim and Objectives of HERD/Energy

The proposed project should contribute to the realisation of the aim and objectives of HERD:

1.1 Aim

The overall aim of the Programme in Higher Education, Research and Development (HERD) is to contribute to economic growth and social development through co-operation in higher education and research in the Western Balkans.

For HERD/Energy the spesific aim is to contribute to economic growth and sosial development through cooperation in higher education and research within the energy sector.

1.2 Objectives

For the period 2011 – 2016, we welcome applications for projects aiming at acheiving the following objectives of HERD/Energy:

a) Institutional development (mandatory):
"To contribute to educating a national work force that has adequate innovative qualifications in the energy sector by building, in the longer term perspective, sustainable capacity of higher education institutions in Bosnia & Herzegovina and Kosovo"

b) Applied research and development (optional)
"To stimulate innovation, product and process development in the energy sector through support to applied research and development in the Western Balkans"

2. Application and selection procedures

2.1 Creating and submitting an application

An application to HERD/Energy should be planned and worked out jointly by the academic staff of the main cooperating institutions.

Deadline

The complete application with all relevant documents should be submitted to the HERD/Energy programme secretariat at the Office of International Relations at the Norwegian University of Science and Technology
Wihtin November 1st 2013, GMT 1500 hrs to the following e-mail address:
hilde.skeie@ntnu.no

Signature pages

When submitting the application, the Signature Page from the Institution in Norway (IiN) and the institution in the Western Balkans (Institution outside Norway – IoN)) should be printed and duly signed by the project coordinators and heads of the respective departments and the Vice Chancellor/ Rector/University Director or similar. The signature page for all applying institutions should be scanned and submitted together with the application form by e-mail.

The signature page can be downloaded at www.ntnu.edu/international/herd.

Please note that applications lacking original signatures from any of the main partner institutions will not be processed.

CV for project coordinators

The CV for the project coordinators from all applying institutions must be submitted along with the application. **PS! CV's: maximum 3 pages.**

2.3 Institutional assessment

All applying institutions are obliged to assess each application. If more than one application is submitted from the institution, the institution should rank the applications they present to the HERD/Energy programme secretariat.

The institutions should make their assessment according to

- Relevance in relation to strategies and priorities in their respective institutions
- Relevance related to defined needs in the work force as well as in national strategies and priorities in the Western Balkans
- Relevance to the countries' ability to meet the demands set in their association process to EU and NATO
- Relevance of gender mainstreaming in the strategies and priorities of respective institutions
- Project quality and feasibility in an institutional context
- Expected output in relation to the priorities of the institutions

2.4 Decision on allocation of funding

The Programme Secretariat presents the applications to the HERD/Energy Sector Board, which is responsible for qualitative aspects regarding the Programme and for the allocation of funding.

The Sector Board will conduct assessments of all applications and distribute funds according to the stated aims of HERD and as agreed with MFA. The Sector Board will give attention to gender issues in the content and budgets of applications when evaluating the applications and allocating funding.

Specifically the board will look for the following elements in the project applications for this 5th call:

1. ***A strong focus on the need to strengthen education*** within the area of Energy related subjects at the institutions in the WB. This includes a thorough description of the present situation at the institutions, and of how the suggested project will contribute towards an improved situation within the academic areas covered by the programme. This section should also take into the *employability* of candidates within these areas in the surrounding society and the region.
2. The development of ***new study programmes/new degree programmes*** within energy related subjects at the HEI in the Western Balkans.
3. Each applicant has to develop a ***clear exit strategy*** and make specific remarks on how the activities initiated through the HERD/Energy programme will form a sustainable development at the WB institutions upon the end of the project period, when financing through the HERD/Energy programme comes to an end.
4. ***A detailed and explained budget***. Each application should develop a detailed budget using the template provided by the HERD/Energy secretariat. All dispositions within the budget need to be explained, stating the specific underlying rates for each bulk sum in the budget. The board would like to stress that salary expenses should be kept at a minimum level, and that the budget should reflect the priority of educational activities as the main focus in the project.

The Sector Board will also monitor on-going activities and have a consultative role as to the further development of the HERD programme.

3. Terms and conditions for the applications

3.1 Formal contracts

A contract with the main project applicants in Norway/Western Balkans will be drawn up when the Sector Board has approved the application. This contract states the general conditions for the project cooperation.

The Programme secretariat require that a Memorandum of Understanding (MoU) or similar is established between the collaborating institutions for each project. This agreement should have an annex with spesific reference to the joint application.

The information provided in the application, and in the signature pages are to be regarded as statements of intent. The contract that follows a successful application will be a binding agreement.

3.2 Eligible countries

The HERD Programme Document states the HERD policy regarding eligible countries, institutions and academic fields. The following geographical areas are eligible for support by HERD:

Bosnia & Herzegovina and Kosovo will be given priority, while Albania, Croatia, Macedonia, Montenegro and Serbia are also qualified for support.

3.3 Eligible institutions

Eligible institutions under HERD are accredited Universities and University Colleges in the Western Balkan and Norway.

The main contract partners in the Western Balkans are expected to actively collaborate with relevant public and private organisations in their respective countries.

3.4 Eligible academic fields

The following are the eligible academic fields for HERD/Energy for the current programme period: Energy sector

3.5 Student Admission process

The recruitment process of students should be open and transparent. The recruitment should be done in cooperation with relevant bodies at the respective institutions. The HERD programme aims at equitable access and gender equality in all programme activities.

The institutions, both IiN and IoN, are responsible for keeping records of student intake for reporting purposes to the HERD/Energy secretariat.

3.6 Disbursement of funds

All project funds will be transferred to the Norwegian main partner institution. Disbursement of funds to project activities in the Western Balkans should be made by the Norwegian main partner institution according to annual budgets.

The partner institution in the Western Balkans shall report on disbursed project finances annually to the Norwegian main partner institution while the Norwegian main partner institution is responsible for reporting of the total project finances to the HERD/Energy programme secretariat.

3.7 Accounting and audit

Institutions in Norway and in the Western Balkans that receive funds from HERD/Energy are instructed to ensure that appropriate accounting systems are implemented, and that accounting is done according to generally accepted accounting principles. Audit should be carried out in accordance with international standards.
Each institution is accountable for funds received from the HERD/Energy programme.

4. Timetable for the HERD/Energy application process

Activity	Responsible	Deadline
Submission of joint applications	Project coordinators	1 November 2013
Signature Pages submitted from the applying institutions	Project coordinators	1 November 2013
Submission of institutional assessments, a prioritised list of applications from the institution	VC/Rector/University Director or similar/HERD coordinating unit or similar	15 November 2013
Award of support under the 5th call for applications to the HERD/Energy programme	HERD/Energy Sector Board	December 2013

5. Guidelines to the Herd/Energy application format

This refers to the sections in the application form available at
www.ntnu.edu/international/herd

A Basic Information

Project title (Not more than 100 letters)

Applied sum from HERD/Energy
State the total sum of funds applied for in the application in NOK.

B Project partners

B.1 Partner institution in the Western Balkans (IoN)

Name and postal address

Institutional responsible, Vice chancellor, Rector or University Director
Please provide name and title of the institutional responsible person.

Central coordinating unit
The institution must appoint an HERD/Energy institutional contact person. Please give name, position, and all relevant addresses and telephone numbers.

Accreditation
Please confirm that the proposing institution is recognised/ accredited in the country where it has its campus and give the name of the accrediting authority.

Department
Give the name and address of the faculty/department/institute/centre where the programme is administratively located.

Head of department responsible for project
Give the name and contact information of the Head of Department responsible for the project.

Project coordinator
The project coordinator from the institution must be a permanent employee at the institution. CV for the project coordinator is to be recorded under this part (Attached as a separate document).

B.2 Partner institution in Norway (UiN)

Name and postal address

Institutional responsible, Vice chancellor, Rector or University Director
Please provide name and title of the institutional responsible person.

Central coordinating unit
The institution must appoint an HERD/Energy institutional contact person. Please give name, position, and all relevant addresses and telephone numbers.

Accreditation
Please confirm that the proposing institution in Norway is a member of the Norwegian Association of Higher Education Institutions (UHR) and has accredited Master programmes through the Norwegian Agency for Quality Assurance in Education (NOKUT)

Department
Give the name and address of the faculty/department/institute/centre where the programme is administratively located.

Head of department responsible for project
Give the name and contact information of the Head of Department responsible for the project.

Project coordinator
The project coordinator from the institution must be a permanent employee at the institution. CV for the project coordinator is to be recorded under this part (attached as a separate document).

B.3 Additional partners
Give the name, postal address, telephone, fax, web-page and official email address of each of the participating partner institutions outside Norway and in Norway in the proposed cooperation project. Specify also the name of the relevant department and the contact person at the institution.

B.4 Cooperation

History of cooperation relevant to the application
a) Please give information on existing cooperation between the applying institutions. Please make reference to agreement of cooperation, Memorandum of Understanding (MOU), or similar between the two main project proposing institutions. Endorsing agreements between all participating institutions should be made before programme start up (see also section 3.1).

b) Please indicate relevant international cooperation other than in (a) at the institutions

B.5 Division of responsibility and labour between Institutions in developing countries and Institutions in Norway/additional partner institutions
Indicate in brief how responsibility and academic, administrative and teaching activities are to be divided between UiS and UiN. The role of additional partner (s) should also be indicated.

C Project Information

C.1 Project description:
The description should give a brief overview of the proposed projects main objectives, activities, and expected results. The description should reflect the activities described under Project Elements (application form Part D).

C.2 The relevance of the project according to the aims of HERD/Energy

Please describe the background for the project application, including a brief description of the current situation within the sector/subject area at the institution. Indicate the rationale behind the application including its importance and how relevant national needs in the selected academic field will be addressed by the project. There should be references to HERD's main objectives within Institutional Development and Applied Research and Development. See point 1.2.

C.3: The relevance of the project according to the strategic direction of HERD/Energy

In addition to the overall objectives, section 4 in the *programme document* outlines the strategic direction of HERD/Energy. All applications must address the question of how their project will contribute to the acheivement of these objectives. We require that all applicants set spesific goals relating to each of the elements under section 4 – strategic direction of HERD.

The sector board requires that applicants give special attention to *4.5 Gender*.
All applicants must set spesific, quantifiable goals for the issue relating to gender and the empowernment of women in the implementation of the project. Applicants must also address challenges that may threathen the acheivement of these goals, and the strategies to meet them.

All projects that are granted support under HERD/Energy will be given the opportunity to undertake specific training in issues relating to Energy and Gender through Norad.

C.4 Risk analysis:
An analysis should be made of risk factors such as limited resources, political constraints, corruption, weak infrastructure or language constraints at the institutional level that may threaten the successful implementation of the project or other more general political and societal constraints that may adversely affect the project. Indicate what measures will be taken in order to counter such risks.

C.5 Sustainability:
All proposed projects need to present strategies for ensuring sustainability. The total academic and administrative responsibility for the projects supported by HERD/Energy shall gradually be the sole responsibility of partners in the Western Balkans. Include a description of how the education activities will contribute to increase the competence and capacity of the department / faculty / institution and what measures will be taken in order to secure that increased academic competence will continue to benefit the institution after the project period.

C.6 Indicators of success
Project applications should explicitly state indicators of success by which they may be evaluated, with a focus on equitable access, quality, professional recognition of qualifications in the labour market and relevance.
Please give a short description (not more than 50 words for each subject) of indicators of success when it comes to: Students, Institutions, Reasearch, Gender, Development and additional indicators relevant to the project.

D Project elements

Please tick off and describe the relevant activities under each element. The applicants are required to give more detailed information about the proposed activities under “Project description”.

E Milestones

Indicate the time schedule for important activities of the project. Indicate in which year and month the activities will begin and be completed. Activities presented in part D should be reflected in the milestone table.

F Financing and Budget

Budget
Please provide a budget for the project period. Please note that the application period must not exceed year 2014.

All amounts should be registered in Norwegian kroner, no decimals.

Please note:

1. The budget should indicate the distribution of funds for each year of the project period. The distribution of funds during the project period should relate to part E in the application form, indicating milestones in the project period.

2. It is important that the applicants have in mind the planned distribution of funds between the partner institutions when the budget is prepared.

1. Scholarships
Please specify the cost of HERD scholarships for the Master and Phd students.
Please note that all student related costs should be recorded under this budget item (such as travel expenses for HERD students, books, data equipment etc.)

HERD scholarships for students admitted to Master programmes at institutions in the Western Balkans should be granted according to local (University) regulations.

Please note that the Herd scholarship should cover the following expenses: Tuition fees, living cost and accommodation, travel expenses from home country to the admitting institution, installation grant, excess luggage, medical insurance, field work, publication grant and visa. It is the responsibility of the institution to ensure that all HERD/Energy students at the same institution are getting the same allowance.

Scholarships for HERD/Energy students admitted to Master programmes at institutions in Norway will be harmonised with the Norwegian State Educational Loan Fund (Lånekassen) for studies in Norway, which is approximately NOK 8000 per month.

Please note: The rate indicated above may be subject to adjustment by the Norwegian authorities during the project period.

2. Teaching and supervision

Travel expenses
Visits to Norway are to be covered within the standards of Norwegian government regulations. Travel expenses to and from Norway or third country are to be estimated according to the cheapest way of international air travel.

Regulations established at the individual IiN institutions concerning visiting academic staff should be used.

For Norwegian travellers, stays abroad are estimated according to the official Norwegian government regulations (Statens Reiseregulativ).

In case of visit to other countries than Norway, coverage is based on the regulations of the home country or home institution.

Travel in home country should be estimated in accordance with the national regulations or regulations established by the home institution, but not exceeding the official Norwegian regulations.

Salary expenses
The HERD Programme may cover salary expenses at local rates for the staff involved in the project. The IoN's own contributions, e.g. salaries, travels, infrastructure, running costs etc, shall be given under *own funding*. If the project receives financing from other sources than HERD, this shall be given under *additional financing*.

The HERD Programme may also cover salary expenses for Norwegian staff involved in the project. The IiN´s own contributions e.g. salaries, travels, infrastructure, running costs etc, shall be given under *own funding*. If the project receives financing from other sources than HERD, this shall be given under *additional financing*.

3. Institutional development.

Institutional development – Investements/equipement
This item covers development of infrastructure needed for the sustainability of the project at the IoN.

Staff Development and Administrative support
This may cover expenses related to the necessary training of technical/ administrative staff. These activities should be related to the implementation of the cooperation project.

Other collaborative activities
Under this item costs related to various types of project activities such as seminars/workshops necessary for the project can be listed. Please spesify items.

Project administrative costs
Project administrative costs IiN and IoN are intended to contribute towards administrative expenses at the department/institute/centre/faculty level associated with the time and resources invested in the administration of education activities, accounting and reporting etc. that represent an additional burden as a direct result of these activities.

This item may vary from year to year in the project period, but at the end the total project administrative costs should not exceed all together 7.5 % of the grand total for the project.

Total
Please give the project cost for the whole project period.

Comments to the budget
<u>Please specify for each of the elements in the given budget:</u>

Scholarships:
Master students: Number of students, and what the scholarship covers.
Phd: Number of students, and what the scholarship covers.

Teaching and supervision:
Travel expenses: Number of travels, and participants from IiN/IiWB
Salary expenses: What this covers, i.e number of persons, the extent of stays for visiting lecturers, number of students supervised.

Institutional development:
Investments/equipment: Specify what this covers.
Staff Development and Administrative support: Specify what this covers.

Own funding
Please indicate any contribution from home institution (infrastructure, staffing resources etc.) Contribution from home institution should not be included in the HERD/Energy budget.

Additional financing
Indicate whether the proposed cooperation project has applied to other financial contributors for funding of activities. If relevant, indicate type of activity/ies applied for, status of the application(s) (approved or pending and the amount applied for).
Please note that HERD emphasises the positive effects of co-funding with other programmes and/or agencies. It should however be noted that the same type of activities cannot be funded by more than one programme (no double funding).

When HERD and its projects are presented in publications/media and/or in seminars/conferences it should be informed that MFA is the responsible Ministry and the financier of the programme and its projects/activities.