



A Presentation of EnPe:

The Norwegian Programme for Capacity
Development in Higher Education and
Research for Development within the
fields of Energy and Petroleum
(EnPe 2013-2019)



Photo: Ken Opprann

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1. General Overview of the Norwegian Programme for Capacity Development in Higher Education and Research for Development within the Fields of Energy and Petroleum (EnPe 2013-2019)

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 apace in producing and retaining the vital academic workforce to sustain future generations of graduates and researchers.

EnPe 2013-2019 "The Norwegian Programme for Capacity Building in Higher Education and Research for Development within the Fields of Energy and Petroleum" - is designed to stimulate productive South-North collaboration. It is intended to strengthen the institutional capacity and performance of higher education institutions (HEIs) in LMICs to deliver quality education and research within the fields of energy and petroleum. This may also include capacity development within system development, administration and infrastructure, with due attention to gender balance considerations. Projects with more than one LMIC partner institution are encouraged, in order to create and strengthen regional academic networks.

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

With their substantial experience in educating engineers within fields relevant to the energy and petroleum sector, Norwegian higher education institutions can be valuable partners for HEI in the LMICs that face the challenge of developing HEI that can deliver highly qualified candidates to a fast emerging petroleum or energy sector in their countries.

The EnPe 2013-2019 programme is an independent supplement to Norad's NORHED-programme, and is designed to meet the needs of partner countries within the specific areas of the energy and petroleum sectors. The programme is administered by NTNU and a separate programme board appointed by Norad.

The objective of the EnPe 2013-2019 programme is to contribute to capacity development for higher education and research in LMICs within the energy and petroleum sectors in Norway's selected partner countries. The targeted countries are:

Petroleum: *Angola, Bolivia, Cuba, Ghana, Lebanon, Liberia, Mozambique, Nigeria, São-Tomé and Príncipe, Sierra Leone, South-Sudan, Sudan, Tanzania, and Uganda.*

Energy: *Angola, Afghanistan, Bhutan, Ethiopia, Ghana, India, Kenya, Liberia, Mozambique, Myanmar, Nepal, South-Sudan, Tanzania and Uganda.*

The list is not exclusive. Other countries or regions may be granted EnPe funding where the project is particularly relevant to EnPe's overall objective.

2. General Intervention Areas

EnPe 2013-2019 is intended to be responsive to higher education priorities within subjects related to the clean energy and petroleum sector in selected partner countries. Applications must be based on needs and priorities identified by the partner institution(s) in the LMIC, 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, institutional development measures) as well as the thematic and disciplinary approaches.

The areas of cooperation should also preferably be in line with priority areas for Norwegian development cooperation in the respective country. 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 may 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 LMIC) under EnPe 2013-2019. Synergies with programmes/projects financed by other countries/organisations will be encouraged.

The projects under EnPe 2013-2019 must aim to build and launch sustainable Master programs or strengthen existing Master programs (and if needed Bachelor) within subjects relevant to the energy and petroleum sector and be responsive to the needs in the partner countries. The aim should be to sustain these programmes in the partner countries after the EnPe 2013-2019 programme has come to an end. Based on a needs assessment in the relevant country, EnPe 2013-2019 projects may include institutional capacity building elements like joint Norwegian-South research, competence building of staff through Master, PhD and Post Doc fellowships, administrative and small scale infrastructure strengthening, and initiatives to increase access to higher education. Education pro-

grammes must focus on the long-term need for capacity development in the LMIC, and the recruitment from the LMIC region to the education programmes must be ensured.

The range of interventions potentially eligible for EnPe 2013-2019 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>EnPe 2013-2019 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 within the energy and petroleum sector.	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 post-degree studies and fellowships enhance sustainable research-based education programmes and quality research in the LMIC.	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 EnPe 2013-2019 programme aims	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	Outputs and activities can be related to, for example, needs assessments, improvement of systems, supplies, information technology, on-the-job training, courses, formal education, study visits, research partnerships, and networks. Strengthening of financial and administrative

EnPe 2013-2019 Intervention areas	Rationale	Comments
	competent staff, and conduct relevant research for development purposes.	capacity in the LMIC 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 institutions and individuals, and used to inform policy	Outputs and activities can be related to, for example creation of knowledge/resource hubs, information management systems, websites, internet and e- services, 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 The Norwegian Programme for Capacity Development in Higher Education and Research for Development within the Fields of Energy and Petroleum (EnPe 2013-2019) is to strengthen capacity in higher education institutions in LMICs within the energy and petroleum sectors in Norway's selected partner countries 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 goal of the programme in a longer term perspective is sustainable, environmental, social and economic 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 *increase quality and quantity of research conducted by the country's own researchers*.

It is expected that EnPe 2013-2019 projects will contribute to strengthening both education and research capacities at the institutions. Both research and education components shall be included in the projects.

EnPe 2013-2019 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.

EnPe 2013-2019 Results Framework:

Impact 2050:

Sustainable economic, social and environmental development in low-and middle-income countries

Impact 2030:

- Expanded and better qualified workforce
- Increased knowledge
- Evidence-based policy and decision-making
- Enhanced Gender Equality

In low- and middle-income countries

Outcome 2020:

Strengthened Higher Education Institutions in partner countries in LMICs with strengthened educational systems and strengthened research capabilities, within the fields relevant to the energy and petroleum sector

Output areas within academic fields relevant to the clean energy and petroleum sector:

- Programs: Increased and strengthened education and research programmes
- Systems: Strengthened education and research systems

- People: Increased capacity and competence of staff and students
- Infrastructure: Improved institutional infrastructure for education and research
- Gender: Improved gender balance and gender focus in all education and research programmes
- Methods: Enhanced methods for effective and high quality teaching and research

Applicants will be requested to submit project specific results frameworks, identifying expected outputs and justifying how these will lead to outcomes that in the longer term can be expected to contribute to the impact of EnPe 2013-2019. Expected outcomes must be aligned with country needs and priorities, ensuring the local relevance and ownership of EnPe 2013-2019 projects.

For results management purposes, EnPe 2013-2019 projects will be required to identify measurable and verifiable indicators at outcome and output level, baseline data and sources and, if relevant, measurable targets.

Impacts are post-programme effects, in the EnPe 2013-2019 case being the effects and consequences that will occur and/or continue to improve after the EnPe 2013-2019 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 EnPe 2013-2019 partner institutions of low and middle-income countries in LMICs, it is intended that EnPe 2013-2019 will directly contribute to:

- In the short-term (2030) in partner countries: (1) expanded, qualified workforces suited to meet the current and future needs of the country’s energy- and petroleum sector, (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 EnPe 2013-2019 programme will be characterised by development of relevant competence and capacity at the institutions in LMICs 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 EnPe 2013-2019 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 within relevant fields 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 within relevant 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 EnPe 2013-2019 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

Regarding indicators of relevance, the partner institutions will have to develop these as an integrated element of the individual project as well as the ability to monitor the institutional development. The indicators should, to the extent possible, be specific, measurable, achievable, relevant and time-bound (SMART).

3.3 Risk Management

Risk management is an integral part of results management and shall be identified for each EnPe 2013-2019 project. A risk assessment shall be carried out and risk management plans developed prior to the 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 EnPe 2013-2019 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 EnPe 2013-2019. 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 of EnPe 2013-2019

4.1 Systematically Addressing Sustainability Challenges

The selection of interventions/activities to be supported by EnPe 2013-2019 should be based on a gender differentiated, needs assessment done at partner institutions in the South. 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 EnPe 2013-2019. Zero tolerance for corruption is to be practised for all funds under Norad's budget and anti-corruption measures shall be implemented. Conflict sensitivity and environment and climate shall be considered when relevant.

4.3 Promoting Gender Equality and Inclusion

Gender equality is a main priority in EnPe 2013-2019 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). Gender mainstreaming measures shall be included in the Results framework and shall be subject to reporting. Please refer to the Annex: Gender mainstreaming and empowerment of women for more information.

In addition, EnPe 2013-2019 projects are encouraged to address issues related to human rights and inclusion of marginalised groups. EnPe 2013-2019 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 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. EnPe 2013-2019 projects should seek to prevent, minimize, mitigate or compensate for adverse environmental impacts as well as contribute to enhancing positive environmental impacts.

4.5 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.

4.6 Zero Tolerance for Corruption

The Norwegian government has a zero tolerance policy for corruption and misuse of funds. Zero tolerance is applied for all EnPe 2013-2019 funding. HEIs that apply for EnPe 2013-2019 funding must document that they have adequate financial management systems and capabilities to handle the financial management of EnPe 2013-2019 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 finan-

cial irregularity or failure of correct reporting, further disbursements will be stopped with no delay until the case has been solved.

4.7 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 EnPe 2013-2019 projects should to the largest possible extent be published in open access journals/sources.

5. Eligibility

The Norwegian Programme for Capacity Development in Higher Education and Research for Development within the Fields of Energy and Petroleum (EnPe 2013-2019) objective is to contribute to capacity development for higher education and research in LMICs within the energy and petroleum sectors in Norway's selected partner countries.

EnPe 2013-2019 invite collaborative partnership projects between higher education institutions in Norway and one or more higher education institutions in LMICs with the aim to develop capacity in the LMIC partner countries.

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

5.1 Eligible countries

EnPe 2013-2019 will give priority to countries identified for long-term collaboration with Norway within the fields of clean/renewable energy and petroleum. These countries are:

Petroleum: *Angola, Bolivia, Cuba, Ghana, Lebanon, Liberia, Mozambique, Nigeria, São-Tomé and Príncipe, Sierra Leone, South-Sudan, Sudan, Tanzania, and Uganda.*

Energy: *Angola, Afghanistan, Bhutan, Ethiopia, Ghana, India, Kenya, Liberia, Mozambique, Myanmar, Nepal, South-Sudan, Tanzania and Uganda.*

The list is not exclusive. Other countries or regions may be granted EnPe funding where the project is particularly relevant to EnPe's overall objective.

5.2 Eligible institutions

- Partners from LMICs must be higher education institutions (HEI) accredited /recognized 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 within relevant subjects, 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 EnPe 2013-2019 projects in partnership with a Norwegian Higher Education Institution accredited by NOKUT,

The main contract partners in LMICs are expected to actively collaborate with relevant public and private organisations in their respective countries to develop the proposed study programmes.

5.3 Eligible academic fields

Based on current Norwegian development priorities and identified needs of the various cooperating countries, the following are eligible academic fields for the *EnPe* for the programme period 2013-2019:

- Clean Energy
- Petroleum
- Academic fields directly related to the administration of the energy and petroleum sector i.e. relevant subjects within business administration and law.

6. Project organization

6.1 Preparation of joint EnPe 2013-2019 project applications

Preparation of joint EnPe 2013-2019 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 partner institution.

All applications for funding from EnPe 2013-2019 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).

6.2 Project organisation

EnPe 2013-2019 projects may consist of one partner institution in the 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.

An EnPe 2013-2019 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 an EnPe

2013-2019 project will normally be the level of the Institute. 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 organization and management structure of the project should be established at each participating institution, and between the partner institutions.

A Gender Focal Point should be established at each partner institution.

6.4 Collaboration between LMICs

The EnPe 2013-2019 program encourages collaboration between institutions in LMICs. Collaboration between institutions with particular resources and competences may contribute to a 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, and exchange of students and capacity development of technical and administrative staff. Furthermore, the projects should seek to increase the number of female project leaders.

Graduation of students at any level should preferably take place at the LMIC partner institutions or institutions in the LMIC region as opposed to in Norway. However, selection of awarding 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 Cooperation with industry

The EnPe 2013-2019 program encourages projects to seek partnership with relevant industrial companies involved in the Energy and Petroleum sector in the LMICs where this is possible. For the subjects in question industrial partnerships are both useful and necessary to make the education suitable for delivering candidates that meet the needs of the national energy and petroleum sector.

6.6 Collaborative Institutional Partnerships

EnPe 2013-2019 is based on collaborative partnerships between higher education institutions, i.e. LMIC-Norway and LMIC-LMIC-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 EnPe 2013-2019 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 building, including an expectation that preferably LMIC-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 Partnership contract on the division of roles, responsibilities and budgets between the co-operating partners.

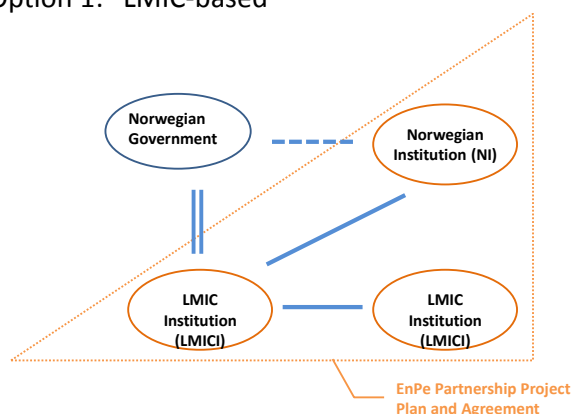
The following elements will therefore be requirements for all EnPe 2013-2019 partnerships:

- 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 building and the EnPe 2013-2019 principle of equal partnership, the LMIC-based model is preferred wherever possible:

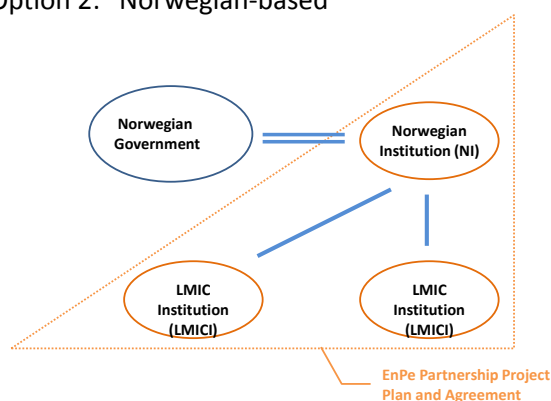
1. Under the "LMIC-based" (option 1), the agreement will be signed with and managed by a LMIC-based institution on behalf of the Partnership. Financial transfers will be effectuated to this institution, which is responsible for disbursements to other LMIC-based partner institutions in accordance with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

Option 1: "LMIC-based"



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.

Option 2: "Norwegian-based"



An assessment of the Partner in LMIC's institutional capacity shall be performed jointly by partner institutions in an EnPe 2013-2019 project and be attached to the main application for EnPe 2013-2019 funding. It shall provide basic information about the existing institutional capacity of a partner in the LMIC. 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 EnPe 2013-2019 project in order to maximize the outcomes and impact of the project (a format for partnership assessment is available on the EnPe 2013-2019 web page). To strengthen administrative capacity for partners, capacity building 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. The choice of agreement option shall be based on a joint decision between the Norwegian and the LMIC partner.

7. Administrative Procedures and Reporting

Regular quality assurance and monitoring, reporting and evaluation are built in as integral elements of EnPe 2013-2019 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 EnPe 2013-2019.

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 LMIC 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 LMIC 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:

Tentatively, annual meetings will be organized between NTNU and the respective participating partners in order to discuss the progress of the project, as well as plans and budgets for the next period. The venue shall tentatively be every second year in Norway and the other year in the partner country in the LMIC. All partners in the partnership shall be represented at the meeting, if possible.

7.4 Financial irregularities:

The EnPe 2013-2019 programme 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 and 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 of which EnPe 2013-2019 is a part. 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, [Kluge Lawfirm DA](#).

The Whistleblowing channel can be reached via:

Internal:

Hotline: (+47)951 88 619

E-mail: varsling@norad.no

External:

[Electronic reporting form](#)

Telephone: (+47) 465 48 479

Email: norad@alertus.no

Reporting by post, mark the envelope "Whistleblowing channel" and send to:

Kluge Advokatfirma DA
Postboks 1548 Vika
0177 Oslo, Norway

Regardless of the channel you use, you can decide to remain anonymous or not. You can also choose to be anonymous vis-à-vis Norad while allowing your identity to be known to Kluge Advokatfirma DA.

7.5 Procurement:

Any procurement to be undertaken under the implementation of an EnPe 2013-2019 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 LMIC partner country will be based on the country's own procurement regulations and mechanisms (if assessed acceptable, if not, the Norwegian partner must be involved and control the process). Pro-

curement 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:

An external evaluation of the EnPe 2013-2019 programme in its entirety will be conducted after 5 years.

8. Application and project selection procedures

8.1 Project content

All applications for EnPe 2013-2019 support should develop a project plan within the framework of the EnPe 2013-2019 application form. If a study programme (wholly or partly) initially starts in Norway, indications of strategies/actions for a gradual move to the LMIC should be provided. The content of an EnPe 2013-2019 project may include the following components¹:

- Institutional development
- Curriculum development
- Study modules which may be run in different combinations at partner institutions in the LMIC as well as in Norway
- Study modules at Bachelor level (*bridging course modules*)
- Establishment of new or strengthening of existing Master Programmes
- Establishment of new or strengthening of existing regional Master Programmes
- Study visits
- Student scholarships (limited in accordance with Annex 2)
- Staff exchange
- Seminars/workshops
- Equipment/infrastructure
- Development of teaching methodology
- Staff development at the higher education partner institution in the LMIC. Scholarship for PhD study may be granted if deemed necessary for the sustainability of the study programme.
- Post Doc fellowships
- Joint studies/research on selected issues of high relevance/importance for further development of the study programme
- Publication and dissemination of research papers, articles, books etc.

8.2 Preparation of joint project proposals, criteria and procedures

There will be open calls for applications for EnPe 2013-2019 in 2014 and 2015.

¹ This list does not claim to be exhaustive

Main calls for applications might be preceded by a call for applications for seed money. Calls for applications for seed funding will allow for scoping of opportunities, including new partnerships, and preparation by the partner institutions of a joint project application. Receiving seed funding implies no guarantee for further support, nor is it a prerequisite for participating in the main call.

Approved projects may receive support for up to five years depending on the character and contents of the project, with opportunities for extension into new phases through new applications based on relevance, quality and performance.

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.

Using the EnPe 2013-2019 application form, eligible HEI institutions should prepare and submit joint applications to the EnPe 2013-2019 secretariat under the signature of the Vice-Chancellor/Rector of the partner institutions, in which objectives, activities, work plan and budget requirements are clearly stated.

8.3 Time and Budgetary framework

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

The EnPe 2013-2019 funding is dependent on the Norwegian Parliament's annual appropriation. The overall budget frame for EnPe 2013-2019 is NOK 100 million.

Project funds to cover development of new study programmes or strengthening existing programmes, fellowships for EnPe 2013-2019 students, visiting teachers (travel and salary expenses), institutional development, instruments and laboratory equipment, joint research activities, staff development as well as administrative support, will have a budget frame of NOK 7-18 million per project (depending on the character of the project, the project period, the number of scholarships, the number of institutions and countries involved), of which administrative costs should be maximum 7 %.

Student scholarships for students from LMICs will be harmonised with rates for the Norwegian State Educational Loan scheme for studies in Norway, but will be adjusted to national costs of living when studying in the LMIC.

Further details concerning financial regulations can be found in Annex 2: Time and Budget frames

9. The Governance of EnPe

Norad is responsible for the overall policy of EnPe 2013-2019 and for insuring that the Agreements as well as the management of the programme is in accordance with directions given by the MFA. The programme will be administrated by NTNU and this will be regulated through an agreement between Norad and NTNU. Norad governs and monitors EnPe 2013-2019 through the Annual Meeting between Norad and NTNU, by appointing the Programme Board and developing its mandate (Reglement for EnPe 2013-2019), by participating in the Board meetings (*details will be found in the Agreement between Norad and NTNU*) and by final approving the budgets and financial reporting. Norad reports on EnPe 2013-2019 to the MFA.

The activities of EnPe 2013-2019 will be governed by the EnPe Programme Board. The Board consists of a total of five persons representing HEI in Norway (two), companies of relevance to EnPe 2013-2019 (two) as well as one board member from Norad.

The Programme Board will ensure qualitative aspects regarding the Programme and will make decisions in accordance with the EnPe 2013-2019 programme. The main responsibilities for the programme board will be to assess all applications and distribute funds according to the stated aims of EnPe 2013-2019, monitor on-going activities, to approve budgets and financial and annual reports for presentations and final approvals by Norad, contribute to strengthen and coordinate institutional collaboration among the participating institutions and to provide advice for the further development of the programme. The total budget, annual plans, annual budgets and reports for the EnPe 2013-2019 activities will be presented in the Annual Meeting between Norad and NTNU.

Annex 1.

Programme description: Energy and Petroleum

Rationale in Brief:

Increased access to energy is vital for social and economic development. Energy access can transform lives and communities by providing opportunities for business and employment, education and improved health services. 1,3 billion people, one in five people on earth, lack access to energy. Yet, global energy resources are more than adequate to meet the world's energy demand.

Norway has extensive experience in the management of both renewable and fossil energy sources. In light of this, energy has for some time been a key priority of Norwegian development assistance.

The Oil for Development (OfD) programme, launched by the Norwegian government in 2005, offers experience transfer to developing countries asking for advice on how to manage their hydrocarbon resources. The overall goal of the programme is to promote "Economically, environmentally and socially responsible management of petroleum resources which safeguards the needs of future generations". This goal is further specified through three objectives. Firstly, that sound policy and legal framework are developed. Secondly, that the relevant institutions are able to implement and enforce the policy and legal framework. Thirdly and finally, that the relevant institutions are held accountable to the citizens of the country. In 2013, the OfD programme encompassed activities in a total of 19 countries located in Africa, Latin-America, the Middle-East and Asia.

In 2007 the Clean Energy for Development Initiative was launched, to coordinate and ensure the quality of an increased clean energy portfolio in the Norwegian development cooperation². Importance of support to renewable/clean energy was furthermore stressed in St.Meld. 14 in 2011 - Report to the Storting (white paper); *Towards greener development: On a coherent environmental and development policy*. The overall goal of the initiative was "To increase access to clean energy at an affordable price based on the long-term management of natural resources and efficient energy use. It is also intended to contribute to sustainable economic and social development in selected partner countries and to international efforts to reduce greenhouse gas emissions."

In 2011 the Norwegian government developed and launched an international energy and climate initiative, Energy +. The launch of this new initiative, coupled with already ongoing efforts, and a steady increase of funds allocated over the last years to clean energy projects, reflect the overall commitment to support global targets of universal energy access for all by 2030.

Priority Focus Areas of the EnPe- Programme:

Human capacity and strong, efficient institutions is crucial to ensure a well-functioning framework of institutions, policies, rules and regulations in the energy and petroleum sector. Capacity building and institutional strengthening is therefore of great significance for the overall Norwegian energy and petroleum efforts. One area of this is strategic support to higher education and research, focusing on the needs of our partner countries in low and middle-income countries (LMICs).

² Based on declaration and recommendations from Agenda 21 (1992), the Ninth session in the UN committee on sustainable development (CSD-9) (2001), the meeting on Sustainable Development in Johannesburg (2002), the Conference on renewable energy in Bonn (2004) and Beijing (2005), CSD-14 (2006) and CSD-15 (2007).

The following areas are prioritized:

1. Human Capacity Building, with special focus on:

- Qualification of staff at Higher Education Institutions to provide high quality teaching and learning within the relevant fields of energy and petroleum with the long term aim of providing access to affordable clean energy and sustainable economic and social development.
- Expansion of qualified professional workforces according to local needs and priorities, both within the operational systems within energy and petroleum as well as a focus on administration and management, judicial and regulatory systems.

2. Institutional Development, with special focus on:

- Sustainable strong and efficient institutional capacity and performance of HEI in the targeted countries to deliver quality education and research within the fields of energy and petroleum.
- System development, administration and infrastructure, enabling innovative and holistic approaches and comprehensive educational programs
- Gender mainstreaming approach including design of curricula and research projects, human resources and recruitment, teaching, supervision, research activities as well as monitoring and evaluation. Educational programs and research activities which explicitly address issues related to gender equality are encouraged.

3. Applied Research, with special focus on:

- HEI in targeted countries being able to educate and maintain competent research staff
- Economically, environmentally and socially responsible management of petroleum and energy resources which safeguards the needs for future generations.
- Creation of research programmes, collegial peer networks and academic career paths that can attract researchers to pursue academic careers and generate research products for use by both regional/in-country decision makers and professional/non-professional staff within the energy and petroleum sectors at all levels.

Eligible Countries:

Petroleum: Angola, Bolivia, Cuba, Ghana, Lebanon, Liberia, Mozambique, Nigeria, Sao-Tome, Sierra Leone, South-Sudan, Sudan, Tanzania, and Uganda.

Energy: Angola, Afghanistan, Bhutan, Ethiopia, Ghana, India, Kenya, Liberia, Mozambique, Myanmar, Nepal, South-Sudan, Tanzania and Uganda.

The list is not exclusive. Other countries or regions may be granted EnPe funding where the project is particularly relevant to EnPe's overall objective.

It is an aim to contribute to gender equality in education, and empowerment of women. Master and PhD programmes as well as research projects should pursue the enrolment and retention of female candidates, and facilitate participation of female candidates in EnPe through active recruitment strategies and integration of gender perspectives in the planning and implementation of all aspects of the project cycle.

Annex 2.

EnPe 2013-2019 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 EnPe 2013-2019 programme budget is estimated to NOK 100 million and the annual budget frame for EnPe 2013-2019 is estimated in the order of NOK 20 million with flexibility for budget growth for the programme as a whole or in specific thematic or geographic areas.

Depending on the nature of project, the budget frame for individual projects will be 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 EnPe 2013-2019 funds can cover

EnPe 2013-2019 projects will include components like; teaching, research, systems strengthening, small scale infrastructure, study programs and curricula development.

EnPe 2013-2019 aims at capacity building of research and higher education in the LMIC partner institutions. Thus, EnPe 2013-2019 projects should aim at producing academic degrees at the LMIC based institutions. The driving force of the Norwegian-LMIC partnership is the educational and 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 EnPe 2013-2019 projects, as mentioned above, cannot be covered by the EnPe 2013-2019 Programme. This is also valid for the researchers from the LMIC 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 EnPe 2013-2019 Programme. Dissemination activities include the organization 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 here.

Scientific Equipment and Small Scale Infrastructure

Scientific equipment can be supported by the EnPe 2013-2019 Programme. All equipment budgeted for in an EnPe 2013-2019 project shall be available to the cooperation project during the project period. The equipment becomes the property of the institution in the LMIC 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 EnPe 2013-2019 Programme.

Basic salaries for academic staff from Norwegian institutions participating in EnPe 2013-2019 supported cooperation can be covered by the EnPe 2013-2019 Programme at hourly rates when these activities take place in the LMIC. 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 EnPe 2013-2019 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 the partner institutions in the LMIC 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. This compensation will be calculated according to their home institution rates for a Post Doc salary, provided they do not exceed Norwegian rates.

Norwegian institutions will receive funding for credit points passed by EnPe 2013-2019 students in Norway, and for exchange visits to Norway of minimum three months duration carried out by EnPe 2013-2019 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 EnPe 2013-2019 Programme. These costs may include expenses related to curriculum development, stakeholders' meetings, exchange visits and other items.

Fellowships for PhD and Post Doc from LMICs can be funded by the EnPe 2013-2019 Programme. If the studies takes place both at institutions in Norway and in the LMIC, the funding shall follow the regulations in the respective country for the period spent at these institutions. The EnPe 2013-2019 Programme does not pay any expenses for accompanying families.

EnPe 2013-2019 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 (laboratory running costs, 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

Competence building of staff at HEI: Scholarships for Master's students from the LMIC can be funded under the EnPe 2013-2019 programme where the Master degrees are taken fully or partially in Nor-

way or at a partner institution in a LMIC as part of competence building for staff at the partner institution in the LMIC. This can also be considered supported for students that will return to the institution in the LMIC with the responsibility of establishing a new Master program at the home institution. These students might have to commit to the institution for a certain number of years after graduation. The intention is that the programs established will continue at home institution after the EnPe2013-2019 project is completed. Hence, it is important that infrastructure, curriculum development etc. are implemented simultaneously with capacity development of staff through Master studies.

Master students: To ensure that Master students get the necessary training in laboratories, also in the period where the institutions in the LMIC are in the developing phase when it comes to infrastructure, EnPe 2013-2019 will allow for financing of one year of studies in Norway (at partner institution) for the entire cohort of students focusing on practical laboratory training. This will imply that in parallel to the studies, laboratories will be built and equipped and competence will be developed for teachers and technical personnel at institutions in the LMIC, so that the Master program can be fully established and the degree granted at home institution in the LMIC during the project period.

Underrepresented or marginalized groups within Master programmes: EnPe 2013-2019 does not fund Master Scholarships at home institution in general, due to challenges with sustainability for such incentives. However, in order to ensure equal opportunities for education, exceptions might be granted for students from underrepresented or marginalized groups. It has been particularly difficult to recruit women to the Master programs within the field of energy and petroleum. Hence, a possible incentive to ensure improved gender balance can be to include scholarships for female students. Scholarships granted to underrepresented or marginalized groups can only be funded for a maximum of 30% of the total cohorts of students.

Where Master students spend some of the time in Norway during the course of their Master's degree, a so called "sandwich-model" is preferred, and the goal should still be that the LMIC based institution is the awarding institution.

During the time spent in Norway Master students from LMICs should receive scholarships adhering to the Norwegian State Educational Loan Fund rates. For time spent in their home country scholarships shall be adjusted to national costs of living.

Gender Equality and Inclusion

EnPe 2013-2019 projects shall establish mechanisms to ensure improved gender balance and inclusion of marginalized groups. Such mechanisms can include scholarships.

Women involved in EnPe 2013-2019 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 building set out in the EnPe 2013-2019 Programme, expenses related to the training of technical and/or administrative staff from the institutions in LMICs are supported by the EnPe 2013-2019 Programme.

Training should be related to the implementation of the cooperation project. Salaries for the trainees 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

EnPe 2013-2019 aims at contributing to stronger institutional capacity including administrative capacity and infrastructure. EnPe 2013-2019 can cover development of libraries, laboratories, student administration, e-learning approaches and other capacity development activities.

Project Management

Partner institutions can receive compensation by EnPe 2013-2019 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.

Compensation is allocated according to the relevant rates/regulations at the home institution.

The maximum project management workload for a partner is set to three (3) full-time months per year for each main partner institution in LMICs and Norway depending on the scope of the project, and reflecting the institutions involvement.

Consultancy

EnPe 2013-2019 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.

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, provided that they do not exceed Norwegian allowance limits. 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.

The administration contribution will help to manage grants from the EnPe 2013-2019 programme. 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 EnPe 2013-2019 Programme, EnPe 2013-2019 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).

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