

PROGRAMME DOCUMENT

HEI ICI Programme 2016–2018

HIGHER EDUCATION INSTITUTIONS INSTITUTIONAL COOPERATION INSTRUMENT

The long-term objective of the programme is to strengthen the capacity of HEIs in the global south in order to contribute to well-functioning, efficient and equitable societies.

In the short term, the programme aims at improving research and teaching capacity as well as access to good quality services in HEIs in the partner countries participating in the programme.

The Ministry for Foreign Affairs of Finland & Centre for International Mobility CIMO 2016



Table of Contents

ABBREVIATIONS	3
BACKGROUND	4
1. DEVELOPMENT POLICY FRAMEWORK	4
1.1 RESULTS BASED MANAGEMENT (RBM)	5
1.2 THE HUMAN RIGHTS BASED APPROACH (HRBA).....	6
1.3 CAPACITY DEVELOPMENT	6
1.4 ANTI-CORRUPTION POLICY	7
2. AN INTRODUCTION TO THE HEI ICI PROGRAMME	7
2.1 THE PURPOSE AND OBJECTIVES OF THE PROGRAMME	7
2.2 THE HEI ICI RESULTS FRAMEWORK 2016-2018	8
2.2.1 IMPACT STATEMENT	10
2.2.2 OUTCOME STATEMENT.....	10
2.2.3 RESULT AREAS 1- 4 (OUTPUTS) AND INDICATORS.....	10
2.2.5 BASELINE.....	11
2.3 HEI ICI ELIGIBLE APPLICANTS.....	12
2.4 HEI ICI ELIGIBLE PARTNER COUNTRIES AND SUBJECT FIELDS	12
2.5 ROLES AND RESPONSIBILITIES	13
2.6 MONITORING AND QUALITY CONTROL IN HEI ICI PROGRAMME	14
3. THE APPLICATION AND PROJECT APPROVAL PROCESSES	14
3.1 THE APPLICATION PROCESS	14
3.2 THE EVALUATION AND SELECTION PROCESS OF THE APPLICATIONS	15
3.3 APPLICATION DOCUMENTS	15
3.4 SELECTION CRITERIA.....	16
3.5 THE BUILDING BLOCKS OF A WINNING APPLICATION.....	18
4. PROJECT PLANNING	21
4.1 DEFINING THE IMPACT AND OUTCOME	21
4.2 DEFINING OUTPUTS.....	21
4.3 DEFINING ACTIVITIES.....	22
4.4 ACCESSIBILITY GRANTS.....	22
4.5 DEFINING INDICATORS.....	23
4.5.1 BASELINE AND TARGET VALUES	23
4.6 EVALUATING PROJECT PROGRESS AND MEANS OF VERIFICATION	24
4.7 COMMUNICATION PLAN.....	24
5. PROJECT FUNDING	24
5.1 COST ITEMS.....	25
6. PROJECT MANAGEMENT	28
6.1 THE FINANCIAL MANAGEMENT OF AN HEI ICI PROJECT	28
6.2 REPORTING	29
6.3 THE CLOSING OF A PROJECT	30

ATTACHMENTS	30
ATTACHMENT 1 PROJECT DOCUMENT TEMPLATE.....	30
ATTACHMENT 2 THE RESULTS FRAMEWORK.....	33
ATTACHMENT 3 THE WORK PLAN AND BUDGET.....	33
ATTACHMENT 4 KEY EXPERT TEMPLATE	34
ATTACHMENT 5 THE RISK ANALYSIS MATRIX.....	34
ATTACHMENT 6 PROJECT ANNUAL AND COMPLETION REPORT TEMPLATES.....	34

<u>Abbreviations</u>	
CIMO	Centre for International Mobility
HEI	Higher Education Institution
HEI ICI	Higher Education Institutions Institutional Cooperation Instrument
HRBA	Human Rights Based Approach
MFA	Ministry for Foreign Affairs of Finland
NGO	Non-Governmental Organisation
NSS	North-South-South –programme (2004-2015)
ODA	Official Development Assistance
PD	Project Document
RBM	Results Based Management
SDG	Sustainable Development Goal (UN 2030 agenda)

Background

Investing in research and education in the long run is seen as an investment for the development of steady, active and equal societies. The Higher Education Institution (HEI) Institutional Cooperation Instrument (ICI) programme supports HEI participation in building stable, efficient and equitable societies by enhancing human capacities for development needs.

Building a critical mass of a highly educated labour force is essential for public administration, the private sector and ensuring an evidence base for political decision-making. This goal can be achieved through developing the quality of teaching and learning, and through closer collaboration between the HEIs and the societal actors. In addition to providing labour force, the HEIs produce research for decision-making and for supporting sustainable development.

The Ministry for Foreign Affairs (MFA) of Finland has mainly strengthened higher education cooperation in developing countries through two funding instruments. The North-South-South (NSS) Higher Education Institution Network Programme, operational between 2004 and 2015, has provided opportunities for interaction and mobility for over 7000 individuals, both in Finland and in the global south. The HEI ICI programme has funded 43 joint projects between institutions in Finland and in developing countries since 2010, aiming at enhancing higher education capacity in the developing world.

In 2014 an external evaluation was carried out on behalf of the MFA. The evaluation recommended merging the two instruments and keeping the focus of the future programme on capacity strengthening by following the good experiences from the HEI ICI.

The current HEI ICI programme is to a large extent a continuation of the previous one, but it has been developed further partly following on the recommendations of the evaluation, but also updating programme level objectives in connection to the recent development objectives, introducing results-based management (RBM) for better monitoring of results at the programme level, as well as integration of the human rights based approach (HRBA) to development into the instrument. The HEI ICI programme now also includes the mobility components and practices from the NSS programme. In the process the feedback from workshops arranged with Finnish HEIs has been taken into account.

1. Development policy framework

The HEI ICI Programme supports Finland's development policy and cooperation objectives and guidelines. The guidelines should be taken into account both by the Centre for International Mobility and Cooperation (CIMO) as an administrative organisation and the HEIs in implementing the projects.

Finland's development policy and development cooperation are guided by the 2030 Agenda for Sustainable Development, endorsed within the UN.

Finland is committed to support less developed countries in their efforts to implement the Agenda, having a special focus on the following priority areas enshrined in the [Government Report on Development Policy](#)¹:

- I enhancing the rights and status of women and girls;
- II improving the economies of developing countries to ensure more jobs, livelihood opportunities and well-being;
- III democratic and better-functioning societies;
- IV increased food security and better access to water and energy; and the sustainability of natural resources.

Finland's values and principles and its international commitments will be taken account of in the planning and implementation of all actions. They provide long-term guidelines for action, which remain valid from one government term to the next. These values and principles include democracy and the rule of law, gender equality and human rights, freedom of speech, a sustainable market economy and sustainable use of natural resources. Reduction of inequalities and climate sustainability are cross-cutting objectives in Finland's development policy and are therefore advanced in all interventions.

International agreements and commitments that aim at strengthening the quality and effectiveness of development cooperation guide the planning and implementation of all forms of cooperation. Sustainable impacts are pursued, for example, by focusing on results that are aligned with partners' priorities, thus ensuring ownership and mutual accountability.

1.1 Results Based Management (RBM)

RBM is applied in all phases of Finland's development projects and programmes. RBM promotes the use of information and evidence on results (collected through monitoring and evaluation), to inform decision-making on the design, resourcing and delivery of programmes and activities

The guiding principles for RBM in Finland's development cooperation are as follows:

- The results' targets are based on partner countries development priorities and/or the development challenges of their people.
- The Results Chain and Results Framework outline the intervention logic from inputs to outputs to the outcome and long-term impact.
- Planning, monitoring and evaluation are geared towards ensuring that results are achieved.
- Credible information on results, based on indicators, as well as risks and assumptions, is collected, analysed and used for managing and guiding the programme implementation, learning and accountability.
- Risk management is an integral part of project identification, planning and implementation.

RBM practices in Finnish development cooperation are available in the publication: [Results Based Management in Finland's Development Cooperation – Concepts and Guiding Principles](#)² (2015).

¹ [Government Report on Development Policy](http://formin.finland.fi/public/default.aspx?contentid=341918&nodeid=49540&contentlan=2&culture=en-US):
<http://formin.finland.fi/public/default.aspx?contentid=341918&nodeid=49540&contentlan=2&culture=en-US>

1.2 The Human Rights Based Approach (HRBA)

The realization of human rights is a key goal in Finnish Development Policy. The HRBA entails the systematic integration of human rights as a means of development cooperation. Human rights principles are considered and applied in all phases of the project cycle.

The minimum level of the HRBA in any intervention is *human rights sensitive*, which requires a basic assessment of the human rights situation and the human rights implications of the activities in the context. HEI-ICI projects are advised to screen their project cycle based on the human rights principles, in particular ensuring possibilities of beneficiaries to participate on equal manners, with a gender sensitive lense, to ensure all processes and information on the projects are transparent and to ensure the activities do not contribute to any indirect or direct discrimination.

In some areas of work HEI ICI projects can aim to be *human rights progressive*, which requires the project results are explicitly human rights related, to some degree and that results are monitored and reported on.

Many projects promote international standards in relation to the right to education, while some other can advance fulfilment of the freedom of information and expression, the right to work, the right to food, the right to water or the right to an adequate standard of living for example. A progressive level usually requires cooperation with different stakeholders including state authorities as well as inclusion of right-holders in the process.

More information on the HRBA can be obtained from the publication [Human Rights Based Approach in Finland's Development Cooperation](#)³ (2015).

1.3 Capacity development

Capacity development is defined as a continuous process of increasing the abilities of an organisation to perform its core functions, solve problems and achieve its objectives. In HEI ICI programme capacity development may target HEI personnel but ultimately it should focus on the organisation, e.g. the capacities of the participating HEIs as institutions. It may also address the external factors and the operational environment.

Further reading on capacity development terminology can be obtained for instance from the UNDP manual [Capacity Development: A UNDP Primer](#)⁴ or from the EuropeAid web pages: https://ec.europa.eu/europeaid/capacity-development_en.

² *Results Based Management in Finland's Development Cooperation – Concepts and Guiding Principles (2015)*: <http://formin.finland.fi/public/default.aspx?contentid=332474&nodeid=49540&contentlan=2&culture=en-US>

³ *Human Rights Based Approach in Finland's Development Cooperation(2015)*: <http://formin.finland.fi/public/default.aspx?contentid=343266&nodeid=49583&contentlan=2&culture=en-US>

⁴ *Capacity Development: A UNDP Primer*: http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/capacity-development-a-undp-primer/CDG_PrimerReport_final_web.pdf

1.4 Anti-corruption policy

Finland has a very strong policy against corruption. The MFA's anti-corruption policy covers all project activities, as well as the staff of organisations involved with the projects. Good governance principles need to be taken into account in all development interventions and across all phases of the programme cycle. The anti-corruption framework in the [MFA 2012 Anti-Corruption Handbook for Development Practitioners](#)⁵ provides tools to be used in the mainstreaming process.

Finland's development cooperation is carried out by means of public funds. The MFA takes all suspicions of the misuse of public funds seriously and therefore the ministry has created a web service called <https://vaarinkayttoilmoitus.fi>⁶ where anyone can anonymously inform about their suspicion about the misuse of Finnish development cooperation funds.

2. An introduction to the HEI ICI programme

2.1 The purpose and objectives of the programme

The long-term objective of the programme is to strengthen the capacity of HEIs in the global south in order to contribute to well-functioning, efficient and equitable societies.

Higher education plays a crucial role in fostering socioeconomic and cultural development at national, regional and local levels. It builds foundations for a knowledge-based society and develops prerequisites for evidence-based decision-making. Higher education is a process of co-creating knowledge and providing skills to individuals in order to empower them to participate in development, decision-making and the democratic process. Furthermore, a strong higher education sector supports entrepreneurship and local business creation.

In the short term, the programme aims at improving research and teaching capacity as well as access to good quality services in HEIs in the countries participating in the programme. The direct beneficiaries of the programme are staff and students in the participating southern HEIs.

Finnish HEIs and their partners can jointly apply for funding e.g. for the development of curricula, teaching methods, research capabilities, quality monitoring mechanisms, peer learning and growing expertise, administrative and leadership structures, as well as strengthening the societal roles of HEIs. This purpose will be achieved through HEI projects aiming at institutional cooperation in the selected result areas.

⁵ *MFA 2012 Anti-Corruption Handbook for Development Practitioners (2012)*:
<http://formin.finland.fi/public/default.aspx?contentid=256264&nodeid=49559&contentlan=2&culture=en-US>

⁶ <https://vaarinkayttoilmoitus.fi/#/?lang=en>

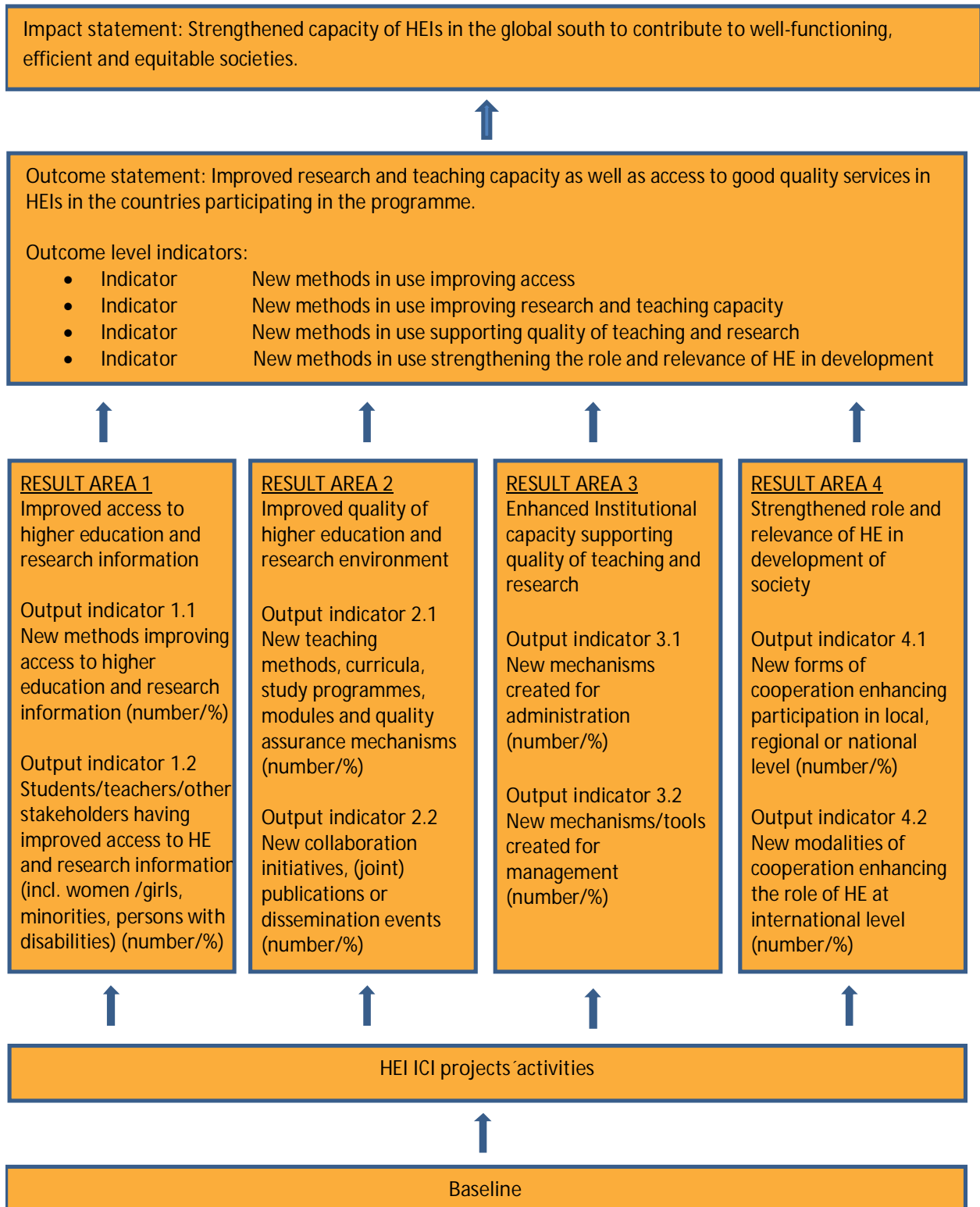
The HEI ICI programme supports projects for a maximum of 3 years, to be implemented during the years 2017-2019. The state aid of the HEI ICI programme falls between 300 000 and 700 000 euros.

2.2 The HEI ICI Results Framework 2016-2018

A specific Results Framework has been created for the HEI ICI programme. The Framework summarizes the three levels of results (outputs, outcome and impact) and programme-related indicators.

The success of the programme and the realization of the objectives depend heavily on the projects and how well they will be able to reach their own project objectives. The projects will decide which of the Result Areas (1-4) respond to their project objectives. Each Result Area includes minimum output indicators that are monitored and followed through project reporting. In addition to these pre-set minimum output indicators, all the projects set their own more implicit indicators that correspond to their own project targets and objectives but also to the programme level outcome and impact statements.

Results Framework HEI ICI Programme 2016 – 18



2.2.1 Impact statement

The long-term desired aim of the HEI ICI programme is to strengthen the capacity of HEIs in the global south to contribute to well-functioning, efficient and equitable societies.

2.2.2 Outcome statement

Improved research and teaching capacity as well as access to good quality services in HEIs in the countries participating in the programme.

Outcome indicators

- New methods in use, improving access
- New methods in use, improving research and teaching capacity
- New methods in use, supporting quality of teaching and research
- New methods in use, strengthening the role and relevance of HE in development of society

2.2.3 Result Areas 1- 4 (outputs) and indicators

In order to monitor the impact of the entire programme, the selected projects fall under these result areas. The minimum programme indicators listed below measure the progress of the whole programme. Every project should contribute to at least one of the result areas and the related indicators. In addition to the pre-set programme indicators, it is recommended that the projects also set their own indicators. All the indicators should be specific, time bound, affordable, relevant and measurable (SMART).

RESULT AREA 1 Improved access to higher education and research information

The projects improve the access to higher education by, for example, developing new study programmes, modules or courses, the training of teaching staff, professional development courses, outreach campaigns to remote areas, supporting the admissions offices, promotional efforts etc. A specific focus should be put on increasing access for women, minorities and groups with special needs.

- Output indicator 1.1. New methods improving access to higher education and research information (numbers and % of change)
- Output indicator 1.2. Students/teachers/other stakeholders having improved access to higher education and research information (incl. women /girls, minorities, persons with disabilities) (numbers and % of change)

RESULT AREA 2 Improved quality of higher education and research environment

The projects can increase quality of teaching and research capacity, for example, through the revision or development of study programmes, improving pedagogical /methodological /research capacities, generating and disseminating field specific knowledge (through joint study programmes, material development, the training of trainers, exchanges, teacher visits etc.), improving quality assurance systems, modernizing learning and research environments, upgrading equipment and material purchases.

- Output indicator 2.1. New teaching methods, curricula, study programmes/modules/courses, quality assurance mechanisms (numbers and % of change)
- Output indicator 2.2 New collaboration initiatives, (joint-) publications or dissemination events (numbers and % of change)

RESULT AREA 3 Enhanced Institutional capacity supporting quality of teaching and research

Projects may enhance the administrative capacity through, for example, leadership training, the training of administrative staff, the development of management systems and processes (student administration and support / IT / library and information services / financial management etc.), and the use of ICT in teaching and learning.

- Output indicator 3.1 New mechanisms created for administration (numbers and % of change)
- Output indicator 3.2 New mechanisms/tools created for management (numbers and % of change)

RESULT AREA 4 Strengthened role and relevance of HE in development of society

Projects may develop HEI capacities to establish links to industry and other societal actors (non-governmental organisations, the private sector, other HEIs or educational institutions etc.). Activities may include partnerships with societal actors (internships, advisory boards and visiting lecturers), joint projects or the promotion of internationalisation.

- Output indicator 4.1 New forms of cooperation enhancing participation in local, regional or national level (number/%)
- Output indicator 4.2 New modalities of cooperation enhancing the role of HE at international level (number/%)

2.2.5 Baseline

All projects must have a baseline and target value set for each indicator (if data is available). These values indicate the scope of the project's achievements. It is important that the project has identified a reasonable number of relevant, good quality indicators. Some indicators may require specific measurements and additional resources for baseline and follow-up studies.

2.3 HEI ICI eligible applicants

Eligible applicants

A Finnish HEI acts as the applicant and coordinator of a HEI ICI project. The coordinating Finnish HEIs must fulfil the following requirements to be eligible to apply:

1. The Finnish HEI operates under the Universities Act (558/2009, amended 2011) or Universities of Applied Sciences Act (932/2014).
2. The Finnish HEI has the right to provide a public civilizing service in the field of higher education and has the right to award a higher education degree.

Finnish research institutes or trusts are not eligible partners, unless they are directly under the administration of an official HEI and have the right to award higher education degrees.

Eligible partners

There can be several partners from Finland and the developing country, yet the minimum partnership contains one partner HEI from a developing country and one coordinating Finnish HEI. Universities and Universities of Applied Sciences are encouraged to develop joint partnerships. The partner HEIs can be universities, universities of applied sciences or their equivalents, that have the right to award higher education degrees.

Partnerships are encouraged to engage partner HEIs with less experience of international cooperation.

Collaboration with non-academic stakeholders as associate partners

It is recommended that the projects cooperate with non-academic stakeholders as associate partners, if relevant in order to achieve the results envisaged. The non-academic partners are not eligible to receive direct funding from the project, but the inclusion of different types of educational institutions and relevant stakeholders can be considered to add value in the projects. For instance projects engaging expertise from industry, employers and business, other tertiary and vocational education institutions and registered NGOs could be beneficial for the HEI capacity development.

Activities involving non-academic partners can consist of, for example, internships for local students with local industry or NGO's in developing countries, dissemination activities by NGOs, project-based learning with real-life cases, input in external quality assurance activities and subcontracting for external expertise (translation activities, external evaluations). Sub-contracting is only to be used when the competence required is not found within the formal partnership.

2.4 HEI ICI eligible partner countries and subject fields

The ODA -listed countries are eligible partner countries in the HEI ICI programme. The [DAC list of ODA recipients](#) is updated regularly by the Development Assistance Committee (DAC) of the OECD.

In the HEI ICI programme, first priority will be given to cooperation with the [Finnish bilateral partner countries](#) marked in blue on the map presented in Finland's Government Report on Development Policy 2016 (Afghanistan, Ethiopia, Kenya, Mozambique, Myanmar/Burma, Nepal, Somalia, Tanzania, Zambia).

Secondly, projects can also be implemented in other countries and regions, prioritized in Finland's Development Policy (marked in green on the map; Central Asia, Eritrea, The Middle East and North Africa, Palestinian territory, Ukraine and Vietnam).

Thirdly, cooperation can also target lower middle-income countries or even those upper middle-income countries where Finland has a representation (e.g. Namibia, Peru, South-Africa). In these projects cooperation should be complementary or support other existing cooperation.

Cooperation can also be [supported in special cases](#) when the MFA wishes to strengthen the relations of Finland and such a country in which Finland does not have a representation.

The HEI ICI programme is thematically open to projects within all subject fields.

2.5 Roles and responsibilities

The MFA has the main policy-level and programme financing responsibility. The MFA is the funding decision-making authority and the contractual partner of the coordinating HEIs.

CIMO is responsible for the administration of the programme. CIMO prepares and organises the Call for Applications, the guidance for applicants, the selection procedure, project monitoring and reporting. CIMO supports the projects in the planning, implementation and reporting phases. CIMO provides appropriate communication channels for the programme and reports directly to the MFA.

The Programme Board has an advisory role, providing expertise for the implementation and development of the programme. The board consists of members from the MFA, CIMO, the Ministry of Education and Culture, the Rector's Conferences of the Finnish Universities and the Finnish Universities of Applied Sciences, as well as from the student unions.

The Finnish coordinating HEI, in cooperation with partner institutions, bears final responsibility for project implementation and financial management. HEI's are committed to following the guidelines in the HEI ICI Programme Document and the instructions given by the MFA and CIMO for project implementation. The coordinator at the Finnish coordinating HEI is the contact point for the MFA (in contractual issues) and CIMO. Additionally, a person from each partner HEI is nominated as contact person. These persons ensure internal communication and monitor activity implementation.

The partner country HEI has the final ownership and responsibility for the capacity development, and is the ultimate owner of the project results. The partner HEIs in the developing countries - including their students, teaching, research and administrative staff - are the main, direct beneficiaries.

The Project Board The decision-making authority in the project lies with a Project Board that consists of representatives of the cooperating HEIs, and of other stakeholders if deemed beneficial for the project. The Project Board should be chaired by a developing country HEI. The members, responsibilities and meeting arrangements of the Project Board should be defined in the Project Document.

The key function of the Project Board is to monitor project progress and to support the cooperating HEIs in carrying out the activities. The Project Board is obliged to take actions if there is a risk that the stated objectives of the project are not adhered to. The Board can also decide on the termination of the project with the consent of CIMO and the MFA.

The Project Board approves the Project Document and the annual reports before they are submitted to CIMO. The project application should include a budgetary provision for the Project Board meetings.

2.6 Monitoring and quality control in HEI ICI programme

The HEI partnership monitors the implementation of the project and the quality of its outputs. The MFA and CIMO follow up the project implementation through project reporting, coordinator meetings, consultations and field visits.

Annual reporting Project progress is monitored by an annual report presented to CIMO, who compiles the information into a comprehensive annual programme report. It is important to note that the HEIs must not only report on the completion of activities and the achievements but also analyse the process towards achieving the results and project/programme indicators in the annual reports. The realization of risks is reported as well as possible deviations from the work plan and corrective measures.

Coordinator Meetings Coordinator Meetings will be organised by CIMO in Finland. The purpose is to share good practice and to inform of programme development and management needs.

Programme Board Meetings The Programme Board meets twice a year to discuss the progress and implementation of the projects. The Board has an advisory role, providing expertise for the implementation and development of the programme, with a particular emphasis on the monitoring of the development policy objectives.

Monitoring CIMO monitors the implementation of projects through visits both in Finland and in the south. The aim is to assess the relevance, results, activity implementation, budget use, management and cooperation arrangements, impact and sustainability of the projects in the HEI ICI programme. The monitoring findings are continuously fed into the next cycle of planning and implementation, as a cornerstone of the monitoring system.

3. The application and project approval processes

3.1 The application process

Month 1	The call opens, guidance for applicants
Month 5	The deadline for project applications
Months 6-8	The eligibility check at CIMO, external evaluation of applications
Month 8	The meeting of the Programme Board
Month 8-9	The financing decision by the MFA

The MFA and CIMO publish the Call for Applications. The Call for Applications, including detailed information and instructions, as well as access to the application system can be found on the CIMO website. Applications are submitted through the CIMO online system (detailed instructions available in the Call for Applications). A separate Guidance for Applicants session will be arranged by CIMO.

3.2 The evaluation and selection process of the applications

CIMO performs the technical eligibility check of the applications, and applications meeting the eligibility criteria will be sent for further qualitative evaluation.

The eligible project applications are evaluated in three phases. First, external evaluators perform a qualitative evaluation, based on set HEI ICI project evaluation criteria (see below, under point 3.4). As a result of the consolidation meeting of the external experts an application short list is produced.

Secondly, the MFA (regional departments / Embassies and sectoral policy advisors) will assess the development policy relevance, the impact and complementarity of the short-listed applications.

Finally, the short list is discussed by the Programme Board in a separate selection meeting, using the qualitative external evaluation and the MFA comments as a starting point. The mandate of the Programme Board is a 20 % influence on the final scoring list. CIMO prepares a application of projects to be funded to the MFA.

The MFA approves the final state aid decision within the framework of the appropriations approved by the Finnish Parliament. Decisions are based on the Act on Discretionary Government Transfers (Valtionavustuslaki 688/2001).

CIMO informs all the applicants of the selection results. After both parties have signed the decisions about state aid, the project implementation can begin. CIMO is in charge of administrative procedures including the payment of state aid. State aid is paid into the coordinating Finnish HEI's account.

3.3 Application documents

The application includes the following parts

- An online application form
- Attachments:
 - The Project Document (template in ATTACHMENT 1)
 - The Results Framework (template in ATTACHMENT 2)
 - The Work Plan and Budget (excel template in ATTACHMENT 3)
 - The Key Expert forms (template in ATTACHMENT 4)
 - The Risk Management Analysis (template in ATTACHMENT 5)

The online application form includes the basic information of the project. Access to the online application form, can be found at the HEI ICI programme website.

The Project Document should be prepared jointly by the partners. A template with instructions is presented in [ATTACHMENT 1](#). The Project Document and the Results Framework should support each other.

The Results Framework [ATTACHMENT 2](#). The Results Framework is a matrix summarizing the three result levels (outputs, outcome and impact), indicators, baselines and target values as well as related assumptions. The framework should match the narrative section “Project design” of the PD.

The Work Plan and Budget [ATTACHMENT 3](#). The overall work of the project is broken down into activities in the Work Plan. The main outputs should be clearly described in the work plan. For example, the output “development of a new module” can be broken down into activities like *needs and learning outcome assessment, curriculum preparation, the training of trainers, material preparation, introduction of new methodology, piloting*. Operational responsibilities are further elaborated. The preparation of the annual work plan should take place as a consultation between the participating HEIs.

The presentation of Key Experts A Key expert is an individual from the participating HEIs who will provide an input of more than 10 days during project implementation. Each Key Expert confirms in the Key Expert template ([ATTACHMENT 4](#)., maximum one A4 per expert) that she or he has the required expertise and experience and that she or he is available and committed to the tasks as specified in the paper. NO CVs OF THE EXPERTS ARE ATTACHED TO THE APPLICATION.

The Risk Matrix Analysis presents contextual, programmatic and institutional risks foreseen. Applicants are asked to reflect on the likelihood of each risk, their potential impact and mitigation measures. The Matrix is found in [ATTACHMENT 5](#).

3.4 Selection criteria

Eligibility Checklist

Minimum partnership composition requirements

- At least one Finnish HEI as a coordinator and one southern HEI as a partner
- The coordinating HEI is a Finnish HEI entitled to participate
- The southern partners are eligible HEIs

The application is submitted on time

- The online application form is submitted electronically by the set deadline

The application is prepared according to the instructions for applicants

- The Project Document is signed by legal representatives of the partner HEIs (scanned signatures are accepted)
- The project duration meets the set criteria

The required mandatory attachments are provided (in the given format and templates)

- The Project Document
- The Results Framework
- The Work Plan and Budget
- The Key Expert forms
- The Risk Analysis Matrix

The project budget adheres to the following

- The costs occur during the contract period
- There is an annual, calendar year budgeting presented
- The self-financing amounts to a minimum of 20%
- The sum applied for meets the set funding criteria

Qualitative evaluation criteria

1. Relevance and complementarity	40
<p>The need for the project is duly justified with a reference to the development objectives of the national higher education sector or within a specific subject field in the target country or region.</p> <p>The project falls into the designed result areas, with realistic indicators and sources of verification. The planned results are in line with institutional strategies and interests of the partner HEIs.</p> <p>The project is consistent with the objectives and principles of Finland's development policy, including the goals of the UN 2030 Agenda for Sustainable Development. The application should demonstrate how the project relates to the four priority areas of Finland's development policy (women and girls, strengthening the economies of the target countries, democratic and well-functioning societies, food/water/energy/sustainable use of natural resources).</p> <p>Attention has been given to the HRBA and the crosscutting objectives.</p> <p>There are complementarity and synergies with previous or on-going interventions, both by Finnish and non-Finnish actors. The project supports the results/ outcomes of the possible Finnish country strategy in the target country/ies.</p> <p>The project supports interaction between higher education and society, promotes entrepreneurship and employment, as well as strengthens the labour market relevance of the education offered. The project pays attention to the involvement of students in project planning, implementation and monitoring activities.</p>	
2. Project design	20
<p>The application explains why and how the planned activities and the expected results meet the needs of the target country / ies and gives justification for the chosen methodology. The impact, outcome, outputs and activities are clearly defined, realistic and appropriate for achieving the results. The application includes a high-quality risk management analysis and mitigation measures are identified.</p> <p>The outputs and outcome have appropriate measurable indicators that can be used to assess the performance of the project. There is baseline information available, or alternatively a situation analysis will be performed as part of the project. The project explains the internal quality assurance, monitoring mechanisms and means of verification to check indicators.</p> <p>The target groups, as well as the capacities to be developed and benefits to be gained are well defined. The project budget is cost-effective and in-line with a feasible work plan. The project outcome and results are realistic and achievable within the proposed budget.</p>	
3. The quality of partnership and cooperation arrangements	20
<p>There is evidence of joint preparation and joint definition of the needs, objectives, results and activities, as well as institutional commitment to the project.</p> <p>The partnership has the necessary skills, experience, expertise and management support to successfully deliver all aspects of the project, including the competences of the Finnish HEIs and the financial and administrative support at the southern partner HEIs. Where relevant, the project involves non-academic partners and their specific expertise to interact with the labour market and the</p>	

surrounding society. The management structure is solid. The Work Plan and division of labour within the partnership is clearly presented, demonstrating substantial input and commitment by the southern partners. Tasks and responsibilities and specific outputs of each expert are defined. The main actors in the project include experienced experts as well as young researchers/professionals.	
4. Impact	20
The preconditions for the financial, institutional and contextual sustainability of the benefits produced are identified and analysed. The results produced by the project can be integrated into regular activities. The project will have a substantial impact on the capacities of the participating HEIs on the development and modernization of higher education, to answer to labour market needs, needs for new knowledge and/or increased access to higher education. The project results have a wide impact and possible multiplier effects, including wide geographical coverage in the target region /country. There is a plan for the efficient dissemination of project results to relevant target groups outside of the partnership.	
TOTAL SCORE	100

3.5 The building blocks of a winning application

Relevance and complementarity

A project must take place in a broader sector or national development context. The capacity development goals set out in the Project Document should be aligned with the general development objectives as mandated, for example, by sector plans issued for instance by the Ministry of Education or other Ministries, or alternatively more generic poverty reduction strategy papers.

The project outcome should correlate with Finnish development policy objectives, be aligned with the UN 2030 agenda on Sustainable Development Goals (SDGs). The project should also support the result areas (one or several of defined impacts or outcomes) of Finland's Country Strategy for Development Cooperation, if the cooperation takes place in Finland's partner country/-ies.

Furthermore, the projects must be based on the institutional needs of the partner HEIs. They may have institutional development strategies where their capacity development needs are identified. Sometimes the strategy papers may not, however, be sufficient to assess the extent of capacity development needs. In such cases capacity assessments or baseline studies in the partner organisation and its operating environment may be needed at the project start-up phase. Instruments for such institutional assessments can be found on the internet (e.g. Promoting Institutional and Organisational Development. A Sourcebook of Tools and Techniques DFID 2009⁷). Capacity development needs may also have been identified in evaluations of previous interventions.

The objectives of the internationalization strategies of the Finnish HEIs should be mentioned as well if they are supporting the overall goals of the Finnish development policy and cooperation guidelines.

⁷ <http://webarchive.nationalarchives.gov.uk/+/http://www.dfid.gov.uk/pubs/files/prominstdevsourcebook.pdfxxx>

All projects should be implemented according to the HRBA principles to development: the promotion of equality and non-discrimination, participation and inclusion, accountability and transparency. The project should analyse *which human rights are relevant for the project and the HRBA principles can guide the project design and set targets / indicators*. In practice this can mean for example, the promotion of the meaningful participation of students in school management and in issues of education quality or the improved participation of disadvantaged groups in educational reforms and curricula development.

All projects should pay attention to the crosscutting objectives of Finnish development cooperation: gender equality, reducing inequalities and climate sustainability. Relevant crosscutting criteria should be analysed and when relevant, incorporated into the project design and activities. Project indicators should be disaggregated by gender, origin and/or disability to measure progress in different groups.

Potential compliance and synergy benefits with other interventions in the country, sector or institution need to be presented clearly. Cooperation with other Nordic actors is strongly encouraged. Lessons learned from linkages with other on-going / planned projects have been assessed and incorporated in the current project design. In the case of the continuation of an on-going or completed project there must be a clear explanation detailing the complementarity and need for continuation within the local context.

Project Design

The project implementation should be based on a sound Project Document with a clear result-oriented outcome responding to demonstrated needs. The project-level activities and outputs should be directly linked to the overall Programme level result areas and standard indicators. In order to highlight the change occurring during the implementation of the project, each project should be able to demonstrate a situation analysis, meaning “baseline” information, either in the application, or as a separate activity at the start of the project.

The utilization and early conception of a Results Framework, including programme-level indicators, supports the planning and presentation of the logic behind the project. The logic behind the project and the expected results should be clear from the offset of building a winning application. The Results Framework should give a clear image of what the project is proposing to accomplish in one glance.

There are always risks influencing the attainment of the intended results and impact. Higher education projects have been influenced both by external risks (the unstable political situation in a country, strikes, epidemic threats) and by internal risks related to the implementation of activities (limited human or financial resources, a lack of motivated staff, a lack of institutional commitment, exchange of staff, etc). In the project application, it is important to recognize the risks, make them explicit and part of the decision making and monitoring process.

As such, the impact, outcome, outputs and activities need to be clearly defined and in-line with the programme result areas. The project outcome needs to clearly specify the benefits the target groups(s) will have from the project. The Project Document should include a feasible Work Plan and a cost-effective budget. The Work Plan should further include internal monitoring measures to ensure continuous follow-up of the activities.

Partnership and cooperation arrangements

The cooperation must be demand-driven and the limited performance of the southern institution is the entry point. Experience and studies of capacity development (e.g. Norad 2008⁸) show that the role of the partner HEI should be decisive in defining the objective and suitable indicators for the project. Therefore, open dialogue during the project preparation is important. The Finnish and southern partner HEIs should jointly define the best solution for the capacity challenge of the partner HEI and the Project Document should be prepared jointly. The role of the Finnish partner/s should be advisory and support the performance of the southern HEI.

The partnerships should combine Finnish higher education sector expertise with the needs of this sector and partner institutions in the developing countries. Thus, the Project Document must demonstrate that the Finnish HEI has the required expertise and know-how, also making it clear how these will be applied.

Evidence of top-level (rector, dean) support and commitment is a sign of commitment at an institutional level. The willingness of a partner HEI to invest in the project through funding, time and human resources are important indicators of ownership. Cooperation with both local and central public authorities, as well as non-academic stakeholders, is important in order to ensure relevance and sustainability of results.

The coordinator at the Finnish coordinating HEI is the contact point for the MFA and CIMO. Additionally, a person from each participating HEI is nominated as contact person. These persons ensure that everyone receives the relevant information and that all the activities are implemented as planned. The input of each Key Expert is clearly presented, and the Work Plan demonstrates a substantial workload for the southern partners.

Impact

In the project design phase, the partnership should aim at achieving as wide an impact as possible from the planned activities and input. Reflections on the dissemination and exploitation of results for the benefit of a wider audience should be included in the application, for example the accreditation processes for the approval of new study programmes or courses should be started at an early stage. To support the relevance of revision of study programmes, the societal actors should be involved from the start of the project.

Each application shall present a communication plan to describe the dissemination of project results.

The projects should support institutional development in a sustainable manner. A sustainability analysis is an integral part of the Project Document. It includes an analysis of the financial, institutional, social, technological and environmental factors influencing the degree to which the benefits produced by the project continue after the external assistance has come to an end. The assessment of financial sustainability should always analyse the prospects of funding the activities through incomes obtained through improved production/service, beneficiary contributions (cost sharing) over the longer term. For instance, a sustainability assessment includes an analysis of the HEIs ability to provide continued financing for project outcomes or how they can be integrated into normal academic activities.

⁸ Hansen Stein and Laugerud Tore 2008 *Review and Synthesis of Lessons Learned from Institutional Cooperation and Capacity Development in the Environmental Sector in Norwegian Development Cooperation*. NORAD Report 12/2008. ISBN 978-82-7548-283-7

4. Project planning

4.1 Defining the impact and outcome

Impact is a long-term effect produced by the development intervention. The impact statement defines the ultimate benefits of the project for final beneficiaries. It describes the high level result towards which the development intervention aims to contribute. The impact is influenced by many other factors than the project itself, but there should be a direct contribution relationship between the outcome and impact.

Impact level results for the development intervention can be drawn from the country's development or sector plans and MFA country strategies. Partner country's plans and sector plans can also be used in defining impact indicators.

The project outcome is the key anchor of the project design and is formulated in collaboration with the stakeholders. The project formulation starts from defining the outcome statement. It typically describes the change of behaviour of the beneficiaries. It can also describe performance changes of systems, organizations, and institutions, e.g. financial service is more accessible to small enterprises. Outcome may be expressed in terms of benefits to the beneficiaries being 'Increased / improved / etc.'

The *outcome statement* describes the *change* that the project intends to make and what the project intends to accomplish by the end of the project implementation if the assumptions hold. In order to demonstrate the change achieved, the outcome statement is accompanied by measurable outcome indicators with baseline and target values.

Gender equality, the reduction of inequalities and climate sustainability are taken into consideration in all interventions.

4.2 Defining outputs

Outputs are necessary to achieve the outcome. Outputs are the physical and/or tangible goods or services delivered by the project. They are usually expressed in quantitative or qualitative terms such as *delivered, trained, conducted, or produced*.

The project outputs should contribute to the HEI ICI programme level results areas.

Identifying and agreeing on what might be a useful/appropriate result area to include in the project should be based on the results and strategy analysis, consultation with key stakeholders and consideration of what is reasonable from a management perspective. The result areas may be identified on the basis of a number of possible criteria, including: technical focus (i.e. capacity development, training), management responsibilities/ organisational structures or geographic location.

4.3 Defining activities

The identification of appropriate project activities should be done jointly by the partnership, taking into account the indicators and results to be achieved, as well as needs identified by the partner institutions in the south. The project has to motivate the choice of activities and show that they are fit for purpose in relation to the results areas chosen. The funding can be used to finance a variety of Official Development Aid (ODA) eligible⁹ capacity development activities in HEIs.

Activities can include, for example, the revision or development of new study programmes/modules/courses, curriculum review, joint modules or joint study programmes, joint intensive courses, the training of trainers, mobility of staff and students, dissemination measures, equipment upgrading and training of administrative staff. Also activities related to project management and monitoring progress should be included. Any mobility activities included should be instrumental for achieving the project results and outputs.

The projects may also include initiatives aimed at strengthening the research environment, research methods or the development of structures for post-graduate studies at the partner HEIs. Activities to strengthen research capacity can include training in research methodology and application writing, joint publications, investments in research equipment and infrastructure. It should be noted that funding is not to be used exclusively by Finnish researchers carrying out research in developing countries.

Ineligible activities. The funds cannot be used to support the acquisition of a degree in Finland, exclusively for short-term mobility activities or solely used for basic research. According to the general guidelines of the Finnish development cooperation, funding cannot be used to purchase land, to compensate for representational expenses or gifts, to compensate for basic education or university degrees of individuals, to spread ideologies, nor propagate religion.

4.4 Accessibility grants

HEI ICI projects can apply for extra grants for persons with special needs or disabilities. The grant can be awarded to administrative staff, teachers and students, and covers all categories of activities in the programme. Funding can be applied for simultaneously with the project application for programme funding, by stating the amount applied for and including a detailed description of the purpose of the extra grant. Funding can also be applied for at a later stage after the HEI ICI funding has been granted and the selected students and teachers are known by submitting a form available from CIMO describing the special need/disability and including a cost estimate. CIMO will evaluate each application individually.

⁹ www.oecd.org/dac/stats/methodology

4.5 Defining indicators

A set of measurable performance indicators (output, outcome and impact indicators) are defined to measure the project performance and achievement of the results. Indicators concretize and operationalize the outcome, outputs and impact in measurable terms.

TIPS

- Keep the number of indicators reasonable. Avoid multiple indicators: one indicator measures one area for improvement.
- Ensure that the indicators are independent of each other, each one relating to only one result level, i.e. to the impact, outcome or output.

Quantitative indicators reflect values such as the number of men and women with university education. *Qualitative* indicators, in turn, may reflect people's judgements, opinions and attitudes towards a given situation or subject.

The source of verification is specified at the same time as the indicators are formulated. Indicators about people should be sex-disaggregated.

QUALITY INDICATORS ARE SMART:

Specific, Measurable / Monitorable, Achievable, Relevant and Time-bound.

They can become SMARTER if they are also Economic and Realistic.

4.5.1 Baseline and target values

A baseline and target value is set for each indicator. These values indicate the scope of the project achievements.

In general, it is necessary that baselines are available at the end of the formulation stage; otherwise it will be difficult to set the target values for indicators measuring the achievement of results. In some cases, the baselines and the specific end-of-project targets can be defined during the inception phase. However, it is critical that the formulation phase has identified a reasonable number of relevant, good quality indicators.

It is important to set realistic and achievable targets. Equally, it is important to include information in the Project Document on how the target values were set, that is, whether they were based on explicit calculations, drawn from projections, or created using other criteria. This information is essential for the evaluation and if modifications to the project are needed.

4.6 Evaluating project progress and means of verification

Evaluation arrangements and means of verification should be described in the Project Document. The Project Document will include information on how the data will be collected (e.g. from administrative records, special studies, sample surveys, observation, etc.), who will collect data, when and how regularly data is collected, who will analyse and report about data and finally, for what purposes and by whom will the data be used.

The selection of output, outcome and impact indicators and the data collection strategies need to be grounded in the reality of what data systems are in place, what data can be produced, and what capacity exists for data collection and analysis. If systems for data collection do not exist, realistic time frames and resources are needed to allow for the creation of necessary baselines and follow-up data.

The HEIs are encouraged to use evaluations (external or self-evaluations) to track the outcomes and the quality of the deliverables. The costs of this evaluation must be included in the budget under *services and subcontracting* cost item. It is recommended that independent evaluators from both countries are included when doing such an evaluation.

4.7 Communication plan

Projects should include a communication plan for the dissemination of project results as part of the Project Document. The aim is to spread the project results to stakeholders outside of the core project staff. Dissemination is not an end-of-project activity but an integral part of project implementation.

Target groups could involve students and academics in other faculties, students and academics in similar fields at other HEIs, other stakeholders interested in the subject; public administration, media, the private sector and employers, local communities and NGOs.

A communication plan defines the following:

- Who are the intended users of the information? The intended users may be media, stakeholders, beneficiaries, duty bearers, rights-holders or other partners.
- What information is relevant to each user group?
- How would the information best reach them? What are their preferred media? Are adaptations needed to ensure access to information for all (e.g. language, disability considerations)?
- How, when and in which format will information be communicated to them?
- Who will take care of the communication?
- How and by whom will dissemination and communication be monitored?

5. Project funding

Funding in the HEI ICI programme is based on the Act on Discretionary Government Transfers (Valtionavustuslaki 688/2001).

The state aid applied from the HEI ICI programme must fall between 300 000 and 700 000 euros.

The budget of the project should be drawn up for the entire duration of the project and follow the HEI ICI model (ATTACHMENT 3). The budget of the projects must follow the full-cost model. The coefficients applied by the HEI at the time of application must remain the same throughout the whole project duration. The coordinating Finnish HEI is responsible for the financial management of the project and may transfer funds to the partner HEIs for the implementation of project activities.

All HEI ICI projects must have a minimum of 20% of self-financing. The self-financing part can include both in-kind and cash contributions. Applicants draw up the budget to cover the funding for the entire project duration. The state aid can amount to a maximum of 80% of the total budget of the project and falls between 300 000 and 700 000 euros.

State aid (max. 80%) + self-financing from HEIs (min. 20%) = total budget (100%)

Projects can use HEIs own basic funding and/or private funding to cover the self-financing costs. The self-financing part should mainly be covered by Finnish sources. However, partnerships are encouraged to look for private and/or public sector contributions in the partner countries. Other public (EU or Finnish) project funding cannot be used to cover any part of HEI ICI projects self-financing. The source of self-financing (country, provider) shall be presented in the project budget. HEI ICI projects cannot produce profit or have a subsidising effect to HEIs with funding from the HEI ICI programme.

Acceptable costs for a HEI ICI project can occur only after the decision on state aid has been signed. Costs due to planning or writing of a project application or document may not be included in the budget.

5.1 Cost Items

The budget is presented *in euros (€) and it is* broken down by calendar year and by the following cost items:

- 1 The salaries and fees of the coordinating Finnish HEI
- 2 The salaries and fees of the partner HEIs
- 3 Grants for students and staff
- 4 Travel costs
- 5 Services and subcontracting
- 6 The overhead costs of the coordinating Finnish HEI
- 7 The direct administrative costs of the Finnish HEI
- 8 The administrative costs of the partner HEIs
- 9 Fixed assets
- 10 Contingency costs

1-2 Salaries

The HEIs must use permanent staff or staff recruited for the purpose of carrying out the assignment. Persons in expert roles should in general have a long-term commitment to the HEI in question, in order to ensure continuity, to ensure the utilization of knowledge and experience and the institutionalization of practices. All salaries need to be verifiable, tasks explained and justified and directed to the project. Salaries need to be based on actual working time, and must be based on working time records. The level

of salaries must be in accordance with the national/institutional remuneration policy. Salary top-ups shall be avoided.

1 The salaries and fees of the coordinating Finnish HEI

The salaries of the Finnish HEI experts comprise the real gross pay of the project member multiplied by an indirect employee cost (personnel cost-coefficient). Applicants give the percentage for indirect employee costs and the overheads percentage (cost item 5) applied by their own HEI at the time of application submission. The coefficient (%) for effective working hours is included in the salary costs. The coefficient remains the same throughout the whole project duration.

2 The salaries and fees of the partner HEIs

Partner HEIs in this cost item refers to non-Finnish HEI partners. The payments are made through the official accounts of the partner HEI based on time records and verification of completed work and agreed deliverables.

3 Grants for students/staff

The inclusion of the grant must be justified as part of the capacity development of the institution in a developing country. Support to students may be provided on at least one of the following conditions:

- The student is enlisted in a degree/research programme in the partner HEI in the developing country
- The degree / research programme is directly part of the HEI ICI project and it contributes to the achievement of the objective of the HEI ICI project.

A grant for a separate research project is not an eligible cost in the HEI ICI programme.

The grant can cover:

- economy class travel expenses, taken in the most affordable way,
- a living allowance (the average monthly living expenses for a student in Finland are approximately €700-900 depending on the location),
(www.studyinfinland.fi/living_in_finland/before_your_arrival/cost_of_living)
- visa and residence permit expenses,
- insurance costs .

4 Travel costs

All travel arrangements must be made in the most affordable way. Travel costs include travel and accommodation costs and the per diem allowances of the coordinating Finnish HEI and partner HEIs (both non-Finnish and Finnish partner HEIs).

The level of the Finnish experts' travel costs follow the Finnish State Travel Regulation (Valtion matkustussääntö, annually updated and available on the web page of the Ministry of Finance in Finland <http://www.vm.fi>).

The level of per diems for partner country experts are paid according to their own country specific regulations, however in such a way that the costs do not exceed the amounts in the Finnish State Travel

Regulation. Per diem allowances for work and travel to Finland will be paid in accordance with the Finnish State Travel Regulations.

The budget should include travel provisions for the Project Board meetings.

5 Services and subcontracting

Services cost items can for example include services such as interpretation, translation and evaluation. Auditing costs must be budgeted under *services*. In case there are one or more Finnish HEIs as partners in the project, all the salaries and fees paid to the Finnish partner HEIs should be marked in project budget as *subcontracted* work assignment. The core project activities should not be outsourced.

HEIs receiving state aid must observe the obligations set out in the Act on Public Contracts (348/2007) when subcontracting.

6 The overhead costs of the coordinating Finnish HEI

Calculations in accordance with the full cost model rely on coefficients: the percentage of indirect employee costs (this applies to cost item 1) and the percentage of overheads (this applies to cost item 5). The direct costs of project cannot include costs that are already included in *overheads*.

7 The direct administrative costs of the Finnish HEI

In general, all the administrative costs of Finnish HEIs should be included in the overhead costs or subcontracted assignments. In case there are some administrative costs that are not included in the full cost model overheads, they can be marked as the direct administrative costs of the Finnish HEI.

8 The administrative costs of the partner HEIs

The administrative and technical costs of the partner country HEIs may be used by the partner HEIs to cover costs, that arise specifically from the project management (excluding salaries), i.e. seminar costs or other administrative costs directly related to project implementation.

9 Fixed assets

Fixed assets can be procured for the developing country HEIs. As a general rule, procurements shall be made in developing partner countries based on the procurement regulations in the country of procurement. Explanations must be provided for any possible procurement made in Finland.

At the end of the project, the fixed assets will remain the property of the institution for which it has primarily been procured for and which has used it. The Finnish HEI must ensure that they are recorded as the partner HEI property and that the maintenance of fixed assets after the project funding is ensured. Please note the rules relating to subcontracting: Act on Discretionary Government Transfers (Valtionavustuslaki 688/2001) and Act on Public Contracts (348/2007).

10 Contingency costs

A maximum of 10% of the total costs can be left unallocated in the planning of the project as contingencies. The Project Board decides on the utilization of the contingency funds.

6. Project management

The Project Board The decision-making authority in the project lies with a Project Board that consists of representatives of the cooperating HEIs, and of other stakeholders if deemed beneficial for the project. The Project Board should be chaired by a developing country HEI. The members, responsibilities and meeting arrangements of the Project Board should be defined in the Project Document. The key function of the Project Board is to monitor project progress and to support the cooperating HEIs in carrying out the activities. The Project Board is obliged to take actions if there is a risk that the stated objectives of the project are not adhered to. The Board can also decide on the termination of the project with the consent of CIMO and the MFA.

The Project Board approves the Project Document and the annual reports before they are submitted to CIMO. The project application should include a budgetary provision for the Project Board meetings.

Coordinator A person from each participating HEI is nominated as a coordinator. These persons ensure that the activities are implemented as planned. The coordinator of the Finnish coordinating HEI is the contact point for the MFA and CIMO.

The partnerships should combine Finnish higher education sector expertise with the needs of this sector and partner institutions in the developing countries. Thus, the project plan must demonstrate that the Finnish HEI has the required expertise and know-how, also making it clear how these will be applied.

Key Experts Key Experts from all organisations and their tasks and duties should be described in the Project Document. A Key Expert is an Expert from the participating HEIs in Finland and in the partner country who will provide an input of more than 10 days during project implementation. Experts engaged for less than 10 days do not need to be presented with a biography but they should be introduced in the Project Document. Each Key Expert verifies that she or he has the required expertise and experience and that she or he is available and committed to the tasks as specified in the paper.

Documents guiding the management of an HEI ICI project are:

- The HEI ICI Programme Document,
- The general terms and conditions of state aid granted by the MFA for development cooperation work by HEIs,
- The HEI ICI administrative handbook.

6.1 The financial management of an HEI ICI project

The coordinating Finnish HEI is responsible for the financial management of the project and makes funds available to the partner HEIs for the implementation of the project.

Project bookkeeping must be organised so that the project is an individual cost object in the HEIs' accounting and that project expenditure and costs are transparent and easily verified from the records. All costs have to be actual, verifiable and acceptable and caused by the carrying out of the project activities.

An audit is required at least for the final completion report. The audit shall be carried out as defined in a) the General terms and conditions of state aid granted by the Ministry for Foreign Affairs for development cooperation work by universities and b) Audit Instructions for a Development Co-operation Project with financial support through the HEI ICI programme. Projects may be asked to perform an extra audit by CIMO or the MFA during the project implementation.

Changes in project implementation and reallocations within the budget

The coordinating HEI must immediately notify CIMO of any changes in project implementation. A request for change must be submitted before changes to the activities are initiated. The coordinating HEI must also notify CIMO also of other changes that may influence the use of the state aid.

The Finnish HEI may, in agreement with the partner HEIs and the Project Board, make minor reallocations of funds between budget items within the limits of the overall project budget. The transfer of more than 10% of funds between budget items are subject to request. Requests for reallocations must be submitted to CIMO well in advance and written by the project coordinator. Before the submission of the request, reallocations are to be discussed and agreed mutually by the cooperating HEIs and the Project Board.

CIMO will assess the request and inform and/or consult the MFA on the proposed changes. Approved changes are reported in the annual/completion report with a reference to the CIMO/MFA decision.

6.2 Reporting

Projects receiving state aid are to report annually on the progress of the project and on the use of funds. Projects are to report according to the guidelines provided by CIMO/ the MFA.

The coordinating HEI will in collaboration with partner HEI(s) prepare and submit the required annual and final completion reports. The reports are discussed and approved by the Project Board before the submission. Reports are signed by the cooperating HEIs and the Project Board.

The annual report reflects the project's Work Plan. The project's progress, use of funds and performance of the HEIs should be described in the report. A particular focus shall be put on monitoring the selected indicators to describe the achievements of the results. The report should focus on how the project's objectives have been met, what kind of impact it has had, and if the expected results have been achieved. In addition, changes from the original plans should be reported. The reasons for changes, their impact and corrective measures should be briefly described. The annual reports must also elaborate the specific inputs of the experts and their impact on project performance.

The qualitative final completion report summarizes the achievements of the project. The report describes the progress made in the project towards the project objectives and both the expected results and the actual results of the project.

The annual reports and the final completion report include financial reports. The financial report will compile the costs incurred during the reporting period. Items of expenditure are reported in the financial reports under the same cost items as previously approved in the budget.

CIMO will, if needed, request further information or clarification from the coordinating HEI whose responsibility it is to submit the reports. A delay in reporting or neglecting to report may lead to the MFA refusing to pay the granted aid and/or recovering aid already paid.

6.3 The closing of a project

It is important to allow sufficient time for phasing out and to include related activities in the operational planning to ensure that there is enough time to process decisions regarding the transfer of responsibilities. Partner organisation's fiscal years should also be taken into account when planning the timing of phasing out and the transfer of managerial and administrative duties. The Project Board approves the final report. A closing seminar can be arranged to discuss lessons learned and document good practice.

Attachments

ATTACHMENT 1 Project Document Template

PROJECT DOCUMENT 2016

(10-20 pages)

(NAME OF THE PROJECT)

Submitted by (name of the Finnish HEI)
in cooperation with
(Name of the partner HEI/s)

(Signature of the authorised representative of the Finnish HEI)
(Name)
(Title)
(Date)
(Contacts; e-mail, phone)

(Signature of the authorised representative of the partner HEI)
(Name)
(Title)
(Date)
(Contacts; e-mail, phone)

The following issues are recommended to be included in the PD

The relevance and complementarity of the project

- Describe the pre-project situation, present a baseline and/or a needs analysis in relation to the broader development objectives of the higher education sector and/or a specific subject field.
- Give information on the strategies of the partner HEI (or the section/unit when applicable).
- Present the result areas, within which the project is working. Mention the relevant indicators.
- Are there any other development agencies working with the partner HEI? If yes, what activities are they funding and how do the proposed activities complement existing cooperation?
- Explain consistency with the global 2030 agenda, the Finnish development policy objectives, the Finnish Country Strategy, as well as how to integrate crosscutting issues in the planned project.
- Explain how the project will ensure a HRBA in the activities planned.
- Demonstrate that the proposed project aims for active dialogue with the surrounding society to assess knowledge needs and labour market competence expectations.

Project design

- Define your project impact and outcome; describe the desired situation to be achieved through the capacity building efforts according to the results areas. Indicate the current situation / baseline data – alternatively include a baseline assessment as an initial stage of the project.
- Select result areas (at least one) and define qualitative or quantitative indicators for the project. How can the change be measured? What are the sources of verification for the indicators?
- Define concrete outputs; services and products that the project is going to produce and deliver.
- Name major activities that are to be implemented to produce the results (in consistency with the activities presented in the Work Plan), including internal quality control to monitor progress.
- Clearly define the direct and indirect target groups.
- Present a risk analysis with mitigation measures.
- Which staff resources are needed to implement the activities, in all partner countries?
- Purchase of equipment or service, the justification for purchase, the estimated price

Partnership and cooperation arrangements

- Give a brief history of the collaboration (and of previously funded networks in particular; how the collaboration has worked; lessons learnt). To what extent have the partners been involved in the project planning?
- Who is the “owner” of the project? Demonstrate the level of institutional commitment
- What are the specific skills and knowledge of the Finnish HEI that will be used?
- Project management. Write down key personnel participating in the HEIs leadership and capacity-building functions. Define the responsibilities of the parties.
- Give information on the resources and the responsibilities of the participating HEIs for cooperation – who does what?

Impact

- Assess the sustainability of the proposed cooperation. Is the scale of the activities appropriate? Will the partner agency have sufficient resources after the project to continue the started capacity development without any further external support?
- Describe the long-term impact of the proposed project activities, and possible multiplier effects

- Present a communication plan for the dissemination of project results

ATTACHMENT 2 The Results Framework

The Results Framework – Linked to the HEI ICI result areas (at least one)

Results	Indicators	Baseline	Target	Means of verification	Assumptions
Impact Statement = The ultimate benefits for beneficiaries	Measures the long term impacts of the intervention				Assumptions that influence the impact of the project outcome
Outcome Statement = what change the project intends to accomplish by the end of the project implementation	Indicators concretise the outcome statement and the intended change resulting from the intervention in measurable quantitative and/or qualitative terms				Assumptions that influence the transformation of the outputs to outcome.
Outputs/HEI ICI result areas = the tangible and intangible products and services delivered by the project.	Indicators define the quality and quantity of the deliverables of the intervention.				Assumptions that influence the transformation of activities into outputs (and inputs into activities); including the preconditions for the implementation of key activities.

ATTACHMENT 3 The Work Plan and Budget

Available online on the HEI ICI website and the HEI ICI online application tool

ATTACHMENT 4 Key Expert Template

Name of the proposed expert	
Institution	
Position	
Educational background	
Brief description of the work experience in general	
Specific expertise in relation to the identified capacity development needs	
Experience in development projects and development work	
Specific role in the project, related tasks and deliverables (e.g. trainings, materials)	
Number of days (field mission, office days) Schedule	
	<p>I confirm that the information above is correct and that I am available and committed to carry out the tasks and deliver the outputs as specified in this document.</p> <p>Date and signature by the Expert</p>

ATTACHMENT 5 The Risk Analysis Matrix

Risk Statement	Likelihood of Risk Low/Medium/High	Impact of Risk Low/Medium/High	Background to the Assessment	Risk Response and Mitigation Action
Contextual Risks				
Programmatic Risks				
Institutional Risks				

ATTACHMENT 6 Project annual and completion report templates

Available in summer 2016 on the HEI ICI website