

# **PROGRAMME DOCUMENT**

## **HEI ICI Higher Education Institutions Institutional Cooperation Instrument**

**The Ministry for Foreign Affairs, Finland**

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**The updated version 3 dated October 2010 includes the earlier (version 2) changes regarding language editions, changes in the document structure, minor changes in contractual requirements and major simplifications in reporting requirements. Additions also include a list of countries and specified selection criteria with points.**

**In version 3 clarifications have been made regarding rules on budgeting, including self-financing. Additions have also been made on eligible actors, and the legislative basis of the HEI ICI programme.**

# 1. Background of the Programme

In accordance with Finnish Development Policy the Ministry for Foreign Affairs has for several years supported higher education institutions' (HEIs) research cooperation with developing countries. This cooperation has been important both with regard to the content of research and for development of methodologies and networking. In addition to actual research cooperation, higher education institutions are also interested in cooperation in the areas of capacity development in administrative and pedagogical matters.

Higher education institutions in developing countries are exceedingly networked but their resources continue to be weak in many areas. Several HEIs are also affected by outdated structures and teaching methods. As a result, the capacities to analyse their own environment has remained fragile. A functioning higher education system is a prerequisite for sustainable social development, among other things when it comes to the production of objective knowledge and teaching. Cooperation with Western HEIs provides an opportunity to renew administrative structures and curricula of developing country HEIs.

The intention of this programme – Higher Education Institutions Institutional Cooperation Instrument (HEI ICI)<sup>1</sup> - is to create a mechanism through which HEIs in Finland and developing countries can cooperate to produce institutional reforms. *The projects are aimed to promote the strengthening of developing country HEIs' administrative, methodological and pedagogical capacity, as well as to support their own development plans. Cooperation between Finnish and developing country HEIs shall be based on needs defined by the developing country HEIs, and built on the principles of mutual learning and equal partnership.*

Capacity development is an endogenous process in which donors can play a supporting role but they cannot and must not hijack the process. Therefore, ensuring ownership of the partner HEIs is the key to success in the HEI ICI capacity development projects.

The Programme supports institutional capacity development between partners that operate in higher education: universities and polytechnic universities<sup>2</sup>. There might be several partners from Finland and developing countries, yet minimum is one main partner HEI from a developing country and one main partner HEI from Finland. Also research institutes in developing countries which are (or will be) accredited to issue of higher educational degrees can participate the capacity development supported by the programme, yet a research institute is not eligible to take a main partner role in the HEI ICI project. Finnish research institutes or trusts are generally not eligible partners of HEI ICI projects, unless they are directly under direction of an official higher education

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<sup>1</sup> Starting from the version 2 of the Programme Document, the programme title is HEI ICI Higher Education Institutions Institutional Cooperation Instrument. The programme was piloted (year 2009) under the title "Capacity building Support Programme for Higher Education Institutions (an institutional cooperation instrument, HEI ICI)" and continues now with the shorter name.

<sup>2</sup> In Finnish education system the HEIs are Universities and Polytechnics. In this document we call Polytechnics (or sometimes called Universities of Applied Sciences) Polytechnic Universities in order to differentiate them from vocational schools.

institution. Capacity development in public sector organisations may seek funding with their partners from the Institutional Cooperation Instrument ICI, the Ministry for Foreign Affairs. Due to changes in the legislature governing universities in Finland none of Finnish universities will be government institutions after 2009. Hence, they will no longer be eligible to apply for support from the Institutional Cooperation Instrument (ICI), designed for cooperation projects of government institutions. Further, it is considered important that cooperation between Finnish and developing country institutions is made possible for the *entire higher education system*. This means that universities as well as polytechnic universities are included in the programme on an equal basis.

During planning for pilot phase 2009-2011, UniPID (Finnish University Partnership for International Development) took initiative in the spring of 2008 for the administration of the HEI capacity building support programme. The UniPID network is contractually represented by the University of Jyväskylä with whom the MFA signed a contract for outsourced administrative services of the programme for 2009. The legal status of the universities changed at the beginning of 2010, which makes a continued contract for the assignment of government institution services impossible beyond 2009. In addition, it is considered important that the institution providing outsourced administrative services for the HEI ICI programme is not an eligible applicant for the programme. 2010 onwards, the administrative services are outsourced to the Centre for International Mobility (CIMO). The administrative coordination unit in CIMO provides services directly to applicants and projects while programme-level steering and decisions are made by the Ministry for Foreign Affairs. The administrative coordination unit has no decision-making authority but acts as an advisor and administrative coordination unit reporting directly to the Ministry.

## 2. Goals of the Programme and project level funding

The goal of this programme is to promote the capacity development in the areas of administration, methodology and pedagogy of HEIs in developing countries. The focus is on supporting the development plans of developing country HEIs, as well as on strengthening the capacity of developing country HEIs, specifically in the components required for the basic HEI operational functions.

### 2.1 Main characteristics of the HEI ICI

The HEI ICI can be used to finance a variety of ODA-eligible<sup>3</sup> capacity development activities in the higher education institutions. The main requirements for HEI ICI projects are that they are clearly based on needs identified by the developing country partner HEI(s), with evidence of strong ownership and cooperation, and that the cooperation is results-oriented with well-defined, measurable objectives.

#### Eligible actors

The Finnish higher education system comprises of Universities and Polytechnic Universities, and the HEI ICI programme falls under this system as it grants government grants in the higher education field. The Finnish universities which operate in the Ministry of Education sector come under the Universities Act (558/2009). The Act lists all the universities which receive funding from the Ministry of Education and award Finnish degrees defined in statutes. The Finnish Polytechnic Universities which operate in the Ministry of Education sector come under the Polytechnics Act (351/2003). Unlike universities, polytechnics are not listed in the Act, but these higher education institutions need an operating licence granted by the Government in order to receive funding and award Finnish degrees. Universities and Polytechnic Universities operating under these Acts are part of the Finnish education system. There isn't any separate accreditation scheme in Finland in addition to the abovementioned legal procedure.

Based on the freedom of trade, a Finnish or foreign organisation may provide education geared to be equivalent to education provided by Finnish universities or polytechnics. However, this education, even though provided in Finland, will not belong to the Finnish education system, nor will it be entitled to the funding granted by the government to universities and polytechnic universities.

As stated in the above-mentioned Acts, Universities and Polytechnic Universities provide a public civilising service in the field of higher education and have the right to grant higher education degrees.

Partners in developing countries are counterparts of Finnish higher education institutions as defined by the above-mentioned Acts. The partner institutions in developing countries can hence be Universities, Polytechnic Universities or their equivalents. These may be public or private, but in case they are private it is necessary to provide information regarding access to studies. The

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<sup>3</sup> [www.oecd.org/dac/stats/methodology](http://www.oecd.org/dac/stats/methodology)

partner country institutions must in their turn also provide a public service and have the right to grant higher education degrees.

### **Eligible actions**

Interventions which can be supported within this programme may include capacity development efforts of partner institutions in the following types of areas:

- reform of administrative structures
- reform of information systems and libraries
- development of curricula and improvement of teaching quality as well as pedagogical methods
- improvement of service delivery of HEIs' educational function
- promotion of internationalisation and peer learning of teaching staff
- development of service production of developing country HEIs or systems for new service delivery
- organisational development, or revision of working procedures

The HEI ICI projects must be based on the initiative, demand and identified needs for capacity development in partner country HEI(s).

When it comes to education, the focus is on in-service/further education of developing country HEIs' teaching and administrative staff. The goal of a project can be the development of specific teaching components, with Finnish HEIs' teaching experience, materials and structural models acting as a sounding board. The general principle governing training components is that they should be aimed at institutionally focused and sustainable mechanisms to strengthen the capacity of the developing country HEI(s).

The goal cannot be provision of commissioned training offered in Finland, support to individual students or the acquisition of a degree in Finland. Education components given in Finland cannot exceed the length of one month per year per student. Education components consisting of course work must be specifically justified, and the motivation must be provided from the point of view of institutional learning. Capacity building efforts must be focused at institutional level. Education components are assessed on a case-to-case basis, and they can only form a limited part of the project. In general, education components should be directed to permanent or long-term staff of a partner HEI, and be further training in character. All education components supporting a degree must be included in the degree given by a developing country HEI or in a double degree, and not only in a degree granted in Finland.

The projects should be sufficiently independent entities to ensure the effectiveness of the action. Using the project as a self-financing part for EU funding (for example) is only possible if the results of the project can be ensured within the limits of this programme.

The programme cannot support academic research or applied research as such, or higher education exchange. Separate funding instruments exist for research and exchange activities (i.e. programmes in the Academy of Finland and North-South-South Higher Education Network Programme in CIMO). Furthermore, single, one-off conferences or seminars are not financed. Capacity development in research environment, research methods or development of structures of postgraduate studies is, however, eligible in the HEI ICI programme. Development of post-graduate

programmes may be included in the HEI ICI projects, providing they are owned by the developing countries HEIs and focus of these actions is on building the system or curriculum of a specified post-graduate programme. Grants may be included in the plans if the post-graduate programme is in a developing country HEI, and the person receiving the grant is in a position equivalent to staff, and hence the inclusion of the grant can be justified to be building capacity of the institution. Capacity development of an individual as such (eg. grant for a separate research project) is not possible in the HEI ICI programme. The work of the grant receiver must be shown to directly benefit the HEI ICI project. Grants are discretionary, dealt with on a case-to-case basis, and cannot be the focus of a project. Neither are commissioned degrees from Finland funded.

The cooperation must be results-oriented with clearly defined and interlinked objectives, purposes, activities and results. The partner HEI must play a decisive role in defining the specific objectives of the cooperation and the indicators with which the progress of cooperation is measured. Utilisation of a logical framework matrix (LFA) supports the planning and presenting of the logic behind the project.

### **Duration and level of funding**

The HEI ICI may support and complement existing cooperation between the developing country HEI(s) and their Finnish or other donor country equivalent(s). In these cases, the linkages between the proposed HEI ICI project and other cooperation need to be presented clearly.

The duration of the cooperation project should be at least one year and maximum three years. MFA funding for the project as a whole must fall between 50 000 – 500 000 €.

All HEI ICI projects must be planned and implemented in a not-for-profit fashion. The budgets must be based on a total cost model, and be fully transparent. Salaries must be based on the salary tables/systems of the HEIs in question, and allocated on the level of the role in the HEI ICI project (ie. should a professor fill the role of a project assistant in the HEI ICI project, the salary would be based on the level of a project assistant).

Cooperation is aimed to be utilising the expertise and experience of HEI experts for the benefit of the partner HEIs, and the project planned to support the institutionalisation of knowledge. In order to meet these requirements, the personnel of the project should consist of persons working for the HEIs on a long term basis (rather than short project basis). Consequently, out-sourcing or sub-contracting of the implementation of project activities may only consist of a small proportion (5-10 %) of the total project costs, and shall be specifically explained with rationale given for their use. The role of all project personnel must be planned to directly support the *institutional development* of partner country HEIs.

The inclusion of young experts in cooperation is encouraged. The inclusion of different types of HEIs, other educational institutions and other possible relevant stakeholders (eg. civil society actors), in supporting roles, can be considered an added value in HEI ICI projects. The involvement and role of other than higher education institution partners in the project need to be clearly justified, and will be assessed on a case-to-case basis.

It is advisable to allocate sufficient time and human resources for the planning and preparatory phase of the project to allow cooperating partners to strengthen relationships. At a later stage,

video- and internet-based conferences may be utilised to take advantage of the efficiency of modern communication technology.

Of the ODA eligible partner countries<sup>4</sup> the following countries and regions are prioritised:

- least developed countries (LDC) defined and assessed by OECD in DAC list of ODA Recipients
- Finland's primary cooperation partner countries and regions
  - o long-term partner countries: Vietnam, Nepal, Ethiopia, Kenya, Tanzania, Mozambique, Zambia, Nicaragua
  - o other partner countries: Egypt, Namibia, South Africa and Peru
  - o regions: the Mekong River region<sup>5</sup>; the Western Balkans<sup>6</sup>; the Eastern Europe, Southern Caucasia and Central Asia (the partner countries of the Wider European Initiative)<sup>7</sup>; Central America<sup>8</sup>; the Andean Community<sup>9</sup>; southern Africa<sup>10</sup>; the Horn of Africa<sup>11</sup>; and Western Africa<sup>12</sup>.

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<sup>4</sup> <http://www.oecd.org/dataoecd/62/48/41655745.pdf>

<sup>5</sup> Mekong River Region: Thailand, Laos, Cambodia, Vietnam

<sup>6</sup> the Western Balkans: Albania, Bosnia-Herzegovina, Kosovo, Croatia, Macedonia, Montenegro, Serbia

<sup>7</sup> Eastern Europe: Ukraine, Moldova, Belarus; Southern Caucasia: Armenia, Azerbaijan, Georgia; and Central-Asia: Kazakhstan, Kirgizstan, Tadžikistan, Turkmenistan, Uzbekistan.

<sup>8</sup> Central America: Nicaragua, Honduras, Costa Rica, El Salvador, Guatemala, Panama

<sup>9</sup> The Andean Community: Peru, Ecuador, Colombia, Bolivia

<sup>10</sup> Southern Africa: Angola, Botswana, South Africa, Democratic Republic of the Congo, Lesotho, Malawi, Mauritius, Mozambique, Namibia, Zambia, Seychelles, Swaziland, Tanzania, Zimbabwe

<sup>11</sup> The Horn of Africa: Eritrea, Somalia, Sudan, Chad, Central African Republic, Djibouti

<sup>12</sup> Western Africa: Mauritania, Mali, Niger, Nigeria, Benin, Togo, Ghana, Burkina Faso, Ivory Coast, Liberia, Sierra Leone, Guinea, Guinea-Bissau, Senegal, Gambia

### **3. Development relevance, impact and sustainability: effectiveness at project level**

The programme is based on the Development Policy of Finland. The main goal of development policy is to eradicate poverty and to promote sustainable development in accordance with the UN Millennium Development Goals which were set in 2000.

The Finnish higher education system, consisting of universities and polytechnic universities, is fairly international and its teaching and administrative quality stands international comparison. Finnish HEIs have broad formal cooperation relations with HEIs in developing countries. Furthermore, personnel of Finnish HEIs have personal cooperation relationships with their counterparts in developing country HEIs. Participation of HEIs and their partner institutions in the implementation of development policy for the benefit of partner institutions' capacity development is well-justified.

The relevance, impact and sustainability of the programme are dependent on how well project level actors own the programme's goals, and work to promote them. The programme rests entirely on the mutual respect and functioning of practical cooperation relations between Finnish and developing country HEIs.

In reviewing project level impact special attention is given to the level of funding. The goals of projects shall be proportionate to the availability of personnel. Often, funding can cover cooperation at department or faculty level.

In order to ensure sustainability of the programme, priority is given to such projects which are based on existing cooperation relations between HEIs. It is important that potential personal level cooperation contacts are supported by strong formal cooperation relationships between the partner institutions.

## 4. Actors and Process

The HEI ICI programme involves five (groups of) actors with different roles in the HEI ICI process. Projects financed by the HEI ICI are intended to develop the capacity of higher education institutions in developing partner countries.

(1) The Department of Development Policy in the Finnish Ministry for Foreign Affairs has the main responsibility for managing the HEI ICI as an instrument of development cooperation, with relevant and appropriate management documents. This Unit guides the HEI ICI at the instrument and policy level. The Department is supported by the Regional Departments and Finnish embassies, especially in assessing the project proposals and project documents, and by the administrative coordination unit in monitoring the projects.

At the Ministry the management, steering and administration of the programme is centralised at the Unit for General Development Policy and Planning (KEO-10). All proposals / applications must be submitted directly to the administrative unit acting under steering by the above-mentioned unit. Proposals / applications submitted to other departments of the MFA or to embassies are not forwarded or accepted. The HEI ICI programme is centrally managed by KEO-10 at the MFA, in direct cooperation with the administrative unit. Area departments and embassies are, however, consulted during the review and implementation phases of the programme.

(2) The Advisory Board provides support at the programme level. The advisory board participates in the review of proposals and programme level development. In the review of the proposals the advisory board, consisting of higher education experts and education administration experts, shall provide a support function. The advisory board, which is chaired by the MFA (Department of Development Policy), includes representatives of higher education institutions (equal amount from universities and polytechnic universities) as well as representatives of the MFA's Regional Department and the Ministry of Education, and CIMO. The board must meet at least twice a year on the invitation of the Ministry for Foreign Affairs.

(3) The administrative coordination unit is primarily responsible for providing the administrative services outsourced from and by the Ministry. The unit provides technical support to HEIs in the planning, implementation and reporting of projects, and acts as an administrative advisor to HEIs. The unit further checks the narrative and financial reports of projects at the time of reporting, and supports the Ministry in reviewing them. The duties of the unit include supporting the Ministry in developing the HEI ICI as an instrument of Finnish development cooperation and in ensuring that the projects and project documentation meet the normative and qualitative requirements set for HEI ICI projects and development cooperation in general. The unit reports directly to the Ministry.

The administrative coordination unit does not have decision-making authority regarding selection of projects or acceptance of reports, but pre-reviews these and submits them further to the MFA together with an initial proposal for decisions. In the case of selection of projects, the initial proposal is submitted also to the advisory board.

(4) The Finnish HEI, in cooperation with partner institutions, bears responsibility for project implementation in accordance with the approved project documents, and provides expertise and support to the planned capacity development activities in the developing partner country/ies.

(5) The partner country HEI has the final ownership and responsibility for the capacity development, and as the ultimate owner of the project objectives and activities has a crucial role in ensuring that the project is relevant to its needs and that the objectives and activities of the project are appropriate.

Higher education institutions and networks representing them shall be consulted during the implementation and further development of the programme.

## 5. How to apply

The HEI ICI projects proceed in two phases: 1) project preparation in planning phase, including preparation of project document, and 2) project implementation phase. More detailed information and supporting templates for both phases are found below and in annexes.

The HEI ICI process begins with an initial contact between the Finnish and developing country HEIs. The developing country HEI, in cooperation with the Finnish HEI, prepares an **Expression of Interest**, which outlines the need for cooperation, preliminary objective(s) of the project, main anticipated results and activities, tentative duration and budget, as well as the direct activities of the preparatory phase.

To ensure equitable assessment of all proposals, the expression of interests (planning phase I) and the project proposals (implementation phase II), are to be submitted only in reply to an open call during the time and by the means set in the call.

If the MFA approves the Expression of Interest, the partners are requested to put into action the preparatory phase activities. Further the partner HEIs are requested to prepare a **project document as an end-result of the project preparation phase**. The project document is a more detailed description of the planned objectives, results, activities and required resources of the cooperation.

The project document whether prepared as part of preparatory phase funding provided by the Ministry or otherwise, shall be included as an annex when a **project proposal** for the project implementation phase is to be submitted. A separate open call for proposals will be announced to select projects for the implementation phase of the HEI ICI.

Open Call for Planning phase I	Open call for Implementation phase II	End-result
Expression of Interest		Project document
	Project proposal	Project <sup>13</sup> outcomes

### 5.1 Project planning phase 2009 and project implementation phase 2010-2011

#### Preparatory year 2009

In 2009 the Ministry supported project preparation (phase I). The Ministry requested Expressions of Interest on its official website ([www.formin.fi](http://www.formin.fi) and [global.finland.fi](http://global.finland.fi)) in the English language. At the same time the administrative coordination unit circulated the call to the umbrella networks of Finnish universities and polytechnic universities. The submitted Expressions of Interests were

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<sup>13</sup> A project can be defined as a series of activities with clearly defined results, designed to produce a specific outcome that brings about benefits to the project beneficiaries (defined as the objective of the project). A project typically is implemented in a situation where one wants to solve a problem(s) or further develop certain activities. A project has a timeframe, resources to implement activities and a specific organisation to implement the project.

reviewed in May-June and decisions made directly following the meeting of the advisory board. HEIs put into action the preparatory phase activities in June-November.

The preparatory phase funding of 2009 was given through two separate channels: for polytechnic universities as government grants (valtionapu) and for universities as an assignment for the services of government institutions. Quotas were made for cooperation of polytechnic universities and universities in order to ensure fair and balanced distribution of support to the different types of HEIs.

### **Implementation of the programme 2010 onwards**

The Ministry publishes an open call for proposals for project implementation (phase II) in November 2010. Information and instructions about the call, as well as access to the application system can be found on CIMO's website at [www.cimo.fi](http://www.cimo.fi). Decisions will be made by the MFA based on the Act on Discretionary Government Transfers (laki valtionavustuksista 688/2001). This law requires that grants are publically announced open for applications, and that each institution who meets the set requirements for the grant has an equal opportunity to apply.

The call for expression of interests and project proposals is published biennially. At the end of the pilot phase the programme is evaluated.

## **5.2 Preparing an Expression of Interest for the Preparatory Planning and a Project Proposal for the Implementation and a Project document**

All documents are submitted as a reply to an open call announced by the Ministry for Foreign Affairs to the Finnish Ministry for Foreign Affairs, the Unit for General Development Policy and Planning (KEO-10). In practice, the applications are to be submitted in the electronic system of CIMO and hence to the administrative coordination unit of the HEI ICI. The submission method, process and schedule are presented in a public announcement.

**An Expression of Interest** is a short, maximum 5 pages long presentation of the project idea. It is prepared jointly by the cooperating HEIs. A template for the Expression of Interest with supporting questions is included as annex 1.

While preparing **the Project Proposal**, it is important to bear in mind that the proposal must not be longer than five pages and it has to clearly establish especially the need for the cooperation project. When reviewing the Expression of interests and Project proposals, the MFA will pay specific attention to assessing *the need and ownership* of the partner organisation(s). Actual leadership and administration structures of the project are reviewed as part of this process. A template for the Project Proposal with supporting questions is included as annex 2.

**The Project Document** includes more specific explanations of proposed project. The Project Document is to be submitted as an annex to the Project Proposal. The Project Document should be no longer than 20 pages in length. The templates for Project Document are available in annexes 3-6.

The Project Proposal is signed by authorised representatives of the participating HEIs and submitted to the administrative coordination unit, which compiles these and submits them to

the MFA. The Project Document describes the situation that one wants to improve, gives information on the cooperating organisations, and explains how to achieve the desired situation (what needs to be done) within the project time and resource framework.

The Project Document should answer the following questions:

- Why is the project needed?
- What are the objectives of the project?
- What results will be produced and what activities are needed to produce the results?
- Who are the beneficiaries (direct and indirect) of the project?
- What are the assumptions and possible risks that might affect the project?
- Which kind of personnel resources and timeframe are needed to achieve the objectives?
- How will the project progress be followed during the implementation (monitoring)?
- How are the decisions regarding the project implementation made (project organisation)?

While the need for the project is established in the project proposal, the main task for the project document preparation is to define the objective(s) of the project with measurable indicators, results to produce the objective, activities to accomplish the results, and resources (inputs) to carry out the activities<sup>14</sup>.

Overall objectives	Indicators	Sources of verification	
Project purpose	Indicators	Sources of verification	Assumptions and risk assessment
Results	Indicators	Sources of verification	Assumptions and risk assessment
Activities	Means	Costs	Assumptions and risk assessment
			Pre-conditions

The project activities are expected to relate to capacity development of the partner country HEI as described above in the parts discussing the eligible principles, goals and criteria for activities under the HEI ICI.

Experience and studies of capacity development 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 document preparation is of great importance for the success of the project. The Finnish HEI(s) and experts must be cautious not to impose “the right answers” from their own organisation nor should they “export” their practices, but to carefully jointly consider what would be “the best fit” solution for the capacity challenge of the partner HEI.

<sup>14</sup> There are several guides for project planning using the logical framework approach. The MFA guide is available at: <http://www.formin.fi/public/download.aspx?ID=9707&GUID=f5215e77-4deb-46d5-8b9f-33642146814d>

## Preparing a HEI ICI project

The following main points are meant for planning groups and work-shops for the compilation of the applications.

### Identify specific capacity development goals

*The proposed project is based on need:* It is essential for the HEI ICI projects to be based on clearly defined needs in the developing country HEI(s). The proposal should justify the need for cooperation and assistance from the Finnish HEI. In assessing the proposals, the MFA will especially look for evidence of the partner HEI's ownership and commitment to the planned cooperation. This could be supported by reference to existing capacity development strategies, plans or policy papers. In case these documents are not available, the relevance and alignment to the HEI's strategic plans should be demonstrated through other means, for instance needs assessment in the previous/on-going projects supporting the partner HEI.

Specific capacity development goals are to be assessed with respect to:

- a) development needs of the developing country's HEI, institution, faculty, department or governing body, as expressed in their own strategies and action plans, as evidenced by;
  - strategic alignment documents, action plans or other comparable evidence of *systematic strategic planning efforts of the partner* HEI, institution, faculty, governing body and/or co-partners.

These documents and plans should justify the need for capacity development as the development goal.

Another proof of ownership is clear identification of the immediate beneficiaries of the project and the available resources (human and financial) they have. The project proposal should identify which administrative units would be responsible for the management of the project.

- b) expected direct and indirect outcomes, and to the needs of the final beneficiaries (faculty, staff and society at large)
- c) preparedness and commitment to the capacity development effort of the developing country partner HEI, institution, faculty, and/or department, as evidenced by (following documents);
  - the partner HEI Head's written commitment of liability and responsibility;
  - the partner HEI's preliminary plans for human resources to be allocated for the project;
  - the institution's financial statement and budget, including the actual expenditure of the current year and the budget proposal for the following year, accompanied with the external financing statement.

Capacity development goals set out in the Expression of Interest or Project Proposal should be aligned with the general development policy objectives (as mandated, for example, by poverty reduction strategies and official development plans) of the developing country partner(s) HEI(s), institution or network. These are expected to be in line with developing country's official science,

technology and higher education policy goals as set out in national development plans and comparable documents.

In addition, specific thematic or geographical priorities defined by the developing partner countries should be taken into account in HEI ICI funded projects.

**Outline specific institutional capacity development measures to be taken in order to achieve the expressed goals**

*The project proposal focuses mainly on capacity development.* The project must strengthen the developing country HEI's capacity in a sustainable manner and capacity development must be based on the HEI's own plans and/or developmental goals, as evidenced by (following documents);

- a logical framework matrix or an equivalent planning tool describing the overall capacity development targets, outline of activities to reach these targets, as well as planned indicators that will be used to monitor progress.

Personnel expenses (capacity development, including administrative expenses) should be over 70% of the total MFA financed budget.

**Indicate the Finnish partner HEI(s) and document their specialized skills and expertise in the intended areas of capacity development**

*The proposed project makes use of the special expertise of Finnish HEI(s).* The HEI ICI is a development cooperation instrument that is based on matching Finnish higher education sector know-how and the needs of this sector of developing countries. The proposal should include a brief presentation of the capacity and specific expertise of the Finnish HEI supported by, for instance, Strategy for International Cooperation of the Finnish HEI and a list of staff with previous experience in development cooperation or similar projects, as evidenced by (following documents);

- description of identified Finnish partner(s)
- a list of, and rationale for, participating experts of the Finnish HEI(s) that are willing and committed to assume responsibility for the planning and implementation of the cooperation project
- the Finnish HEIs' international action strategies and other evidence verifying the commitment of the Finnish implementing institution and its partner organisations for long lasting and sustainable cooperation.

**Outline the intended structure, cycle and duration of the capacity development project, which are to be assessed in light of** feasibility and sustainability of goals, cost-effectiveness of the funding requirements, suitability and adequacy of human resources as well as the main activities of the planning phase, for which the Expression of Interest or Project Proposal seeks funding.

*The size of the proposed project is suitable for HEI ICI.* As a rule, the HEI ICI should not be used for very small projects because of their low cost-efficiency. The budget plan for the preparatory phase of the project shall not exceed €40 000 MFA funding. The project budget for the total duration of the implementation phase project shall not exceed € 500 000 MFA funding.

### 5.3 Project management

The project needs a management and decision-making system with clearly defined roles and responsibilities for both HEIs. The key experts from both organisations and their tasks and duties should be described in the project document, and CVs annexed to the document.

The decision-making authority in the project should be vested with a Project Board that consists of representatives of cooperating HEIs, and of important stakeholders if deemed necessary and 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 are defined in the Project Document. The key function of the Project Board is to monitor how the project is proceeding and to support the cooperating HEIs in carrying out the activities. Specifically, the Project Board will approve the progress (including financial) reports and the final report before they are submitted to the administrative coordination unit, which further submits reports to the MFA. In case annual plans are prepared, the Project Board will also approve them.

The Project Proposal should include a budgetary provision for the Project Board meetings.

### 5.4 Budget

The programme supports projects aimed at capacity development of developing country HEIs. Personnel costs (including travel and other costs related to personnel) must be at least 70% of the total costs of the project MFA financing. Other funding can be given to investments (for developing country HEIs), material (for developing country HEIs), venue rent etc. A maximum of 10% of the total costs can be left unallocated in the planning of the project.

The Expression of Interest and Project Proposal includes a project budget, which covers the entire contract of the project. The budget consists of items indicating the maximum amounts *in euros (€)*. If the application is for the preparatory phase (Expression of Interest), the amount and phase that the application covers must be shown clearly in the budget. The preliminary whole project budget must be included so as to show the longer-term plan.

Budgeting shall be based on actual costs. The project budget must be clearly based on a total cost model for jointly financed activities (Ministry of Finance, total cost model for jointly financed activities). The plan must include at least 15 % own contribution in budget (self-financing). The budget may only include total costs accrued from the operations of the HEI ICI project. No profit can be charged from the project. An adequate budget plan is a qualification requirement in assessing Expression of Interests and Project Proposals.

All HEI ICI projects must be planned and implemented in a not-for-profit fashion. The budgets must be based on a total cost model, and be fully transparent. Salaries must be based on the salary tables/systems of the HEIs in question, and allocated on the level of the role in the HEI ICI project (ie. should a professor fill the role of a project assistant in the HEI ICI project, the salary would be based on the level of a project assistant).

Costs of a HEI ICI project may be included in the budget from the date on which a contract is signed, and thus a positive response to the project proposal has been granted by the MFA. Costs due to planning or writing of a project proposal or document may not be included in the budget.

The budget is broken down by 1) calendar year, 2) by project results, and 3) by the following cost items:

- Capacity development costs (A);
- Administrative, technical costs of the partner HEI(s) (B);
- Fixed assets (C)
- Contingency costs (D).

All HEI ICI projects must have self-financing of 15%. The MFA grant can only cover a maximum of 85% of the project as a whole. All projects must be planned on a not-for-profit basis.

Self-financing may consist of:

- funds from non-public sources by an actor practicing in Finland (minimum 10% of self-financing)
- salary costs of Finnish HEI experts based on and calculated according to the total cost model (**maximum 70% of self-financing**). Records must be kept of working hours (eg. timesheets).
- other in-kind donations from non-public sources by an actor practicing in Finland (eg. services, materials and supplies, equipment)(**minimum 20% of self-financing**). Actual values must be verified.

The Finnish HEIs of a project are responsible for providing the self-financing part of the project.

The capacity development costs are further divided into six categories (A1...A6).

The costs are allocated to calendar years. The breakdown of budget by calendar year is necessary for the planning and payment schedule purposes of the MFA, and for follow-up of the project.

The Finnish HEI may, in agreement with the partner HEI(s), make minor (< 5%) reallocations of funds between budget items within the limits of the overall project budget. Reallocations which cannot be considered as minor in character are always subject to mutual agreement between the cooperating HEIs and negotiation with the MFA assisted by the administrative coordination unit. Such reallocations must be agreed upon in writing, prior to changes being made.

As a supplement, the same budget should be also shown as a breakdown for result areas (plus contingencies). This means that the budget is divided by result areas (sometimes called as components). If possible, the result areas are further divided into activities, each of which has a definite expected result. The budget breakdown by results/activities is a bridge between operational planning (e.g. logical framework) and financial planning.

The categories used in project document and budget will be used in annual plan and completion report. The total finance of the project consists of HEI ICI grant from the MFA, self-financing (in kind or funds) of each partner and possible other sources. The categories explained above apply to HEI ICI budget items. The other sources must be explained in reports as requested in templates.

Budget templates are included as annex 4.

#### **5.4.1 Capacity development costs**

Capacity development costs (part A in the budget) must comprise at least 70% of the total costs in MFA financing.

##### **Fees (including pay) for the Finnish HEI experts**

All services are sold at cost by the HEI(s). The assignment fee comprises the real gross pay of the project member multiplied by an overhead expenses rate (personnel cost-coefficient or equivalent). The assignment fee does not include profit/margin but it covers the administrative costs of the participating HEIs and salaries of participating personnel. Only costs directly related to the execution of the project activities may be included.

Personnel level salaries, per diem and other funding related issues are considered against the criteria and conditions listed below. Further specifications may be included in the call for proposals of each round.

- The level of salaries must be based on the set salary costs for a similar position of the participating HEIs, and based on normal country rates.
- The level of per diems shall be based on the official table applied by Finnish state institutions. For a visit longer than one month a travel grant can be considered. In such cases the regulations defined by the Academy of Finland shall be applied.
- The level of travel costs shall follow the state travel rules (valtion matkustussääntö, State Travel Regulations).

The overhead expenses rate is derived from the official management accounts of the participating HEIs. The Finnish HEIs provide adequate information on the pay of the project member and the basis of the overhead expenses rate (e.g. what items of expenditure it includes).

In principle, the management and coordination costs incurred during the implementation of the project are covered in the overhead expense rate of the participating HEIs. There may, however, be need for allocating a small number of working days for activities that are not directly capacity development in the partner HEI, such as preparation of study visits. All days budgeted for management and coordination tasks need to be justified in the project document.

##### **Allowances for partner country experts**

The partner HEIs take responsibility for their own labour costs and salaries. They have to appoint staff and allocate enough time to carry out the capacity development in the project. The project budget may include only allowances (e.g. daily allowance, travel allowance or remuneration for participating in teacher training etc.) for work-related tasks, based on normal partner country rates.

Grants to post-graduate students may be included in the plans if the student is enlisted in a post-graduate programme in a developing country HEI, the person receiving the grant is in a position equivalent to staff, and inclusion of the programme is directly part of the HEI ICI project. Hence the inclusion of the grant must be justified as part of the capacity building of the institution in a

developing country. Capacity development of an individual as such (eg. grant for a separate research project) is not possible in the HEI ICI programme. The work of the grant receiver must be shown to directly benefit the HEI ICI project. Grants are discretionary, dealt with on a case-to-case basis, and cannot be the focus of a project. All the payments of allowances or stipends must be transparent and duly allocated to de jure merited staff or students.

### **Subcontracting**

In carrying out the project, 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 utilisation of knowledge and experience of the HEI in question and to ensure institutionalisation of knowledge and practices. In principle, private consultants may not be used.

If, on an exceptional basis, the use of private consultants becomes necessary, this has to be specifically described and clear arguments provided for it. The HEIs have to reach an agreement with the MFA. The maximum proportion of work assigned to a private subcontractor should be small (less than 10 percent of the total project budget). This means, in essence, that the main assignment may not be passed further to a private consultant acting on a commercial basis.

The project should reserve adequate resources for key services like interpretation and translation.

The Public Procurement Act (348/2007) shall be applied to such subcontracting, both in Finland and also in the partner country. Subcontracts shall not be interpreted as falling within the scope of section 8 (6) of the said Act allowing for direct award.

#### **5.4.2 Administrative and technical costs of the partner country HEIs**

This includes only minor costs, which can be tracked to arise specifically from the project. It does not include salaries. Possible costs include:

- Photocopying and printing;
- Rent of external venues for arranging seminars and workshops; and
- Miscellaneous costs arising from seminars.

#### **5.4.3 Fixed Assets**

Fixed assets are procured based on procurement regulations in the country of procurement. As a general rule, procurements shall be made in developing partner countries. Explanations must be provided for procurements made in Finland. In addition, fixed assets shall be for the benefit of the developing country HEIs. 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. (Please note the rules relating to this, as stated in the Act on Discretionary Government Transfers, *valtionavustuslaki*.)

#### **5.4.4 Contingency**

It is advisable to reserve some budget for unforeseen costs. The contingency can be a maximum of 10 % of the total budget. Utilisation of the contingency funds must be decided by the Project Board in writing.

#### **5.5 Information on personnel**

The project document should include CVs of the key personnel of all participating HEIs to verify that the proposed experts have the required expertise and experience as a qualification requirement. In case there is a need to change an expert during project implementation, the required qualifications of the experts should be determined in the Assignment Contract.

A template for CV is included as annex 5.

## **6. The MFA decision on the Expression of Interest (phase I) and Project Proposal (phase II) and selection criteria**

The MFA will make an official written decision on the call as a whole. Before making the decision, the administrative coordination unit reviews the Expressions of Interest and Project Proposals and prepares a proposal according to prerequisite (qualification) requirements for the advisory board. In addition, the responsible unit of the MFA reviews the development relevance, ODA eligibility and quality of the Expressions of Interest and Project Proposal and depending on need asks for comments from sector and/or regional experts. Then the Advisory board analyses the proposal, and makes a recommendation to the MFA based on the quality criteria listed below.

After decision the coordinating HEI and MFA sign the contracts. Administrative coordination unit assists in informing the applicants and sends the contracts to awarded project's coordinating HEI. After signing the contract the implementation can begin.

### **6.1 Selection criteria**

#### **Prerequisite requirements**

The following qualification requirements must be met (Yes/No):

- Commitment and ownership: At least one developing country HEI (lead developing country partner) and at least one Finnish HEI (lead Finnish partner) have signed the application. This can be demonstrated through letters of commitment to the project or a jointly signed application.
- Main objective is capacity development: The project meets the requirements of the HEI ICI Programme Document (in defining acceptable actions) and focuses mainly on the capacity development of the developing country HEI.
- Project budget is clearly based on a personnel-cost coefficient (omakustannuslaskelma) in a total cost model (kokonaiskustannusmalli) for jointly financed activities.
- The project application requests funding from the MFA that is between 50 000 – 500 000 euro.
- The project has at least 15% own (non-MFA) contribution in the budget.
- The CVs of Finnish and developing country experts are submitted as attachments.
- The project meets the ODA-eligibility requirements of development cooperation<sup>15</sup>.

#### **Quality criteria**

The Expression of Interests (phase I) and Project Proposals (phase II) that meet the prerequisite requirements are then ranked by the following quality requirements (0-20 points/each):

- Identified need: The clarity of needs defined by the developing country higher education institution (i.e. How well the project addresses these needs).
- Development impacts and sustainability: Demonstrated impact on development and ensured sustainability. The action supports priorities and development goals

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<sup>15</sup> [www.oecd.org/dac/stats/methodology](http://www.oecd.org/dac/stats/methodology)

defined by the developing country (nationally and sector-specifically). Complementarity and added value in relation to development cooperation initiatives of other donors. The inclusion of crosscutting issues in practice (gender equality, inclusion of vulnerable or marginalized groups, taking into account HIV/AIDS related issues).

- The clarity and rationale of project plan, feasibility, measurability of outcomes: Concrete nature, realistic plan and clarity relating to the objectives and activities, realization of planned results and the appropriate division of labour between participants. The efficiency (cost/benefit) of the project and measurable outcomes.
- Capacity and special expertise of the Finnish HEI(s): The capacity, motivation, commitment and expertise of the Finnish HEI is used in the project. The main actors in the project include experienced experts as well as young researchers/professionals.
- Complementarity in relation to Finland's other development cooperation initiatives and development policy: The actions support Finland's other development cooperation and policy initiatives in the partner country(ies) (for example, projects are aligned with the priority sectors defined by Finnish development policy). Partner country(ies) are Finland's official development cooperation partner countries/regions: long-term partner countries, other partner countries and countries/regions with a similar status (s. 8).

Applications will be opened the day after the closing of the application period and applications that were received on time (within the set time period) will be recorded in an official memorandum. The evaluation of the applications will proceed in two phases:

1. The HEI ICI administrative coordination unit will perform the technical evaluation of the applications, where prerequisite criteria are examined.
2. Applications that meet the prerequisite criteria will be sent to the members of the advisory board for qualitative evaluation. The advisory board carries out the qualitative evaluation by awarding the applications points in an evaluation matrix according to the aforementioned criteria.

## 7. Implementation and reporting

In the preparatory planning phase, after the official MFA decision has been made, contracts are signed and the preparatory activities may commence. At the end of the preparatory phase I a full report on how the activities were put into action and funds spent is submitted (see annex 9). A project document (PD) for a full project should be provided as a concrete result of the planning phase. The project document provides a more detailed description of the project. With the implementation phase being at least one year in length, at minimum one monthly or semi-annual progress and financial report is submitted describing the progress of the project, and in addition a completion report covering the entire implementation period after the end of phase II.

Reporting in the HEI ICI programme is considered to be not only a tool for follow-up, but also of value as administrative cooperation. Reports are expected to be prepared jointly by the cooperating HEIs, and thus to follow the same principles as project planning. Joint reporting is seen as a type of capacity building exercise.

The programme implementation is based on direct cooperation between the cooperating HEIs. The working modalities and details of work plans are agreed in a mutually acceptable manner. The programme, as a capacity building activity, may have qualitative objectives which are difficult to pin down exactly.

There is a distinction between two levels of reporting:

- The annual plans and completion report describe the progress against the programme objective and expected key results. The annual plan and completion report are discussed and approved in the Project Board. Annual Plan should be used as a vehicle if significant changes need to be made in the project operations.
- The progress reports including financial reports are prepared jointly by the participating HEIs and submitted to the administrative coordination unit (and by them further to the MFA) as a prerequisite to payments.

### 7.1. Annual plan

In order to avoid misunderstandings, it is important to plan in more detail how the actual implementation will take place. This can be done by preparing and agreeing on an annual implementation plan or by preparing and agreeing on terms of reference for each visit/mission before the mission is carried out. The annual plans are the internal documents between the cooperating partners. The format for annual plans is available as an annex.

The preparation of the annual plan should take place as a consultation between the participating HEIs. The annual plan is approved by the project board.

Since the project follows the calendar year as its fiscal year, the annual plans should cover the following calendar year. If the project duration is just one year, no separate annual plan is needed. The project document serves as the annual plan.

It is important that the planning of work visit is done in collaboration between the cooperating partners to ensure that the objectives and expectations of the missions are clear and shared. A template for Terms of Reference of an expert mission is placed as an annex.

## 7.2 Completion report

The completion report is prepared jointly by the cooperating HEIs and approved by the Project Board, before sending to the administrative coordination unit (and MFA).

The completion report describes progress made in the project against the project objectives and the expected results. Its format follows roughly the Project Document format while the financial reporting follows the headings of the project budget which is appended to project document.

The final annual report is written like a completion report and describes the total achievements of the project.

## 7.3 Progress reporting and payments

The coordinating HEIs submit brief progress and financial reports. Progress and financial reporting take place as defined in the contract. The progress report and financial report are sent to the administrative coordination unit. The administrative coordination unit then compiles reports and submits them further to MFA. Items of expenditure are reported in the financial report with the same budget lines as the budget is approved.

Reports are signed by the main partner HEIs and the projects Project Board. Timesheets or equivalent records of working hours of project personnel must be attached to the reports, in addition to other necessary follow-up documentation.

The coordinating Finnish HEI is responsible for the financial management of the project and it needs to make funds available for the task implementing certain activities to the partner HEIs.

Progress reports enable simple monitoring of the project development. They provide essential information for the project decision-making body to make changes or adjustments to the project plans and operations if considered necessary. Reports also provide a useful record for accomplished activities.

It is important in the project preparation phase to appoint a person to be responsible for preparing and approving the reports, and which HEI acts as the coordinating HEI in general. After authorised people have approved the report, it is sent to the administrative coordination unit for review and approval. The administrative coordination unit will, if needed, request further information or clarification from the reporting HEI. Follow-up on project-level reporting is within the scope of responsibility of the administrative coordination unit at CIMO, who reports back to the MFA on progress as a whole.

The financial report will compile the costs incurred during the reporting period and divided according to the budget classification. Costs have to be actual, accrued costs (ie. verifiable and acceptable costs) caused by the carrying out of the activities of the project. **Costs have to be reported during the same calendar year.**

The financial report must be verified by an external, authorised auditor and following the rules of International Accounting Standards). Specific guidelines for auditing of HEI ICI projects will be provided.

The progress reporting format, including financial reporting, is available in the annexes.

The administrative coordination unit pays a pre-financing payment to the beneficiary, representing the equivalent of annual costs of the total MFA grant (eg. sum of the budget for activities taking place in 2011 to be paid in 2011 after a grant has been awarded, and the sum of the budget for activities taking place in 2012 to be paid in the beginning of 2012). The final report will be considered as the beneficiary's request for payment of the balance of the grant. Unused funds of a calendar year are reported and justified to the administrative coordination unit and are transferred to the following year's costs. The administrative coordination unit will issue a recovery order for any unused funds upon receipt of the completion report (incl. financial report).

Financial management need to fulfil the criteria for sound financial practices. The administrative coordination unit assists the participating HEIs in planning and reporting.

## 8. Risks of the programme and risk management

A normal part of planning in development cooperation is the identification of assumptions and risks. Hence, this is also included as standard practise in the HEI ICI programme.

A key risk of the programme is over-networking of developing country HEIs' teaching staff. Developing country HEIs are often hierarchically structured and cooperation relationships may be accumulated on a handful of top experts, while weaker and less-known departments are left outside. In developing projects special attention must be given to how the positions of young teachers in developing country HEIs are supported. This also applies to departments who have generally been given less support and whose position/status is less recognised.

Weak legal protection of cooperation agreements between Finnish and developing country HEIs should be considered as part of the planning process. In the projects, care should be taken so identify procedures in case a partner HEI does not fulfil the operational responsibilities or financial management duties as assigned in the contract. The Finnish HEI is responsible to the MFA for the partner HEIs fulfilling their responsibilities. The administrative coordination unit guides the implementation of the cooperation contract. This unit follows the fulfilling of the duties of participating HEIs with the help of reports.

Size of the units/institutes/faculties of the participating HEIs may be small, which can have the result (in the implementation of project activities) of HEIs becoming dependent on the time of certain individuals. Should these crucial individuals move to other duties the implementation of the project may be delayed or hampered. When deciding on project funding the personnel resources of the units in question are reviewed. Further, care should be taken to ensure that the institutional memory of partner HEIs is supported by strong enough structures.

The breadth of the goals at project level in relation to the size of the project must be carefully considered. Goals should be identified on several levels, and supported by measurable result expectations. When deciding on project funding, in particular in the case of project implementation phases, the relation between project goals and available resources are reviewed carefully.

## Summary

**Table1. Conditions for project *preparation***

<b>Condition</b>	<b>Definer</b>	<b>Explanation</b>
Duration	3-6 months	
MFA funding	20 000 – 40 000 per project	
Self-financing	Minimum 15% in work contribution (in-kind) or funds (not e.g. EU funding as self-financing)	
Country selection	ODA countries. Prioritising between countries.	MFA prioritises Finland's partner countries and regions
Institutional link	Agreement/MoU between the HEIs, not individual/personal contracts.	
Finnish actor	At least one Finnish actor: University or polytechnic university (AMK) or an institute within these (actor with budgeting and contracting authority).	Cannot be a government organisation, a research institution or a trust.
Developing country actor	At least one actor as a main partner: University or equivalent of polytechnic university, or a research institute to be accredited to issue of higher education degrees.	Not required to be a government institution.
Needs orientation / base	Need(s) defined by developing country actor a necessary requirement for cooperation.	
Content	Capacity development, commissioned training in a developing country. Not training in Finland (excluding short visits). Not research funding. Not graduate students thesis funding.	Defined more specifically in Call for proposals and above.
Assignment fee: Finnish actors	The level of assignment fees must be based on the set salary costs for a similar position of the Finnish HEIs.	Government grants may not be used to make profit.
Assignment fee: developing country actors	The level of assignment fees must be based on the set allowance costs and normal country rates.	Government grants may not be used to make profit.
Good governance	In contract conditions the Finnish actor commits to be responsible for carrying out the duties as expressed in the contract according to rules of good governance.	

**Table 2. Conditions for project *implementation***

<b>Condition</b>	<b>Definer</b>	<b>Explanation</b>
Duration	1-3 years	Call for proposals in 11/2010, the contract period will be 4/2011-12/2012
MFA funding	50 000 - 500 000 for the duration of the project	
Self-financing	Minimum 15% in work contribution (in-kind) or funds (not eg. EU funding as self-financing)	
Country selection	ODA countries. Prioritising between countries.	MFA prioritises long-term partner countries and regions.
Institutional link	Agreement/MoU between the HEIs, not individual/personal contracts	
Finnish actor	At least one Finnish actor: University or polytechnic university (AMK) or an institute within these (actor with budgeting and contracting authority).	Cannot be a government institution.
Developing country actor	At least one actor as a main partner: University or equivalent of polytechnic university, or a research institute to be accredited to issue of higher education degrees.	Not required to be a government institution.
Needs orientation / base	Need(s) defined by developing country actor a necessary requirement for cooperation.	
Content	Capacity development, commissioned training provided in a developing country. Not training provided in Finland (excluding short visits). Not research funding. Not graduate students thesis funding.	Defined more specifically in Call for proposals and above.
Assignment fee: Finnish actors	The level of assignment fees must be based on the set salary costs for a similar position of the Finnish HEIs.	Government grants may not be used to make profit.
Assignment fee: developing country actors	The level of assignment fees must be based on the set allowance costs and normal country rates.	Government grants may not be used to make profit.
Good governance	In contract conditions the Finnish actor commits to be responsible for carrying out the duties as expressed in the contract according to rules of good governance.	

**Table 3. Project cycle, including decision-making processes**

Call for expression of interests (phase I) and proposals (phase II) for 2009-2011

<b>Phase</b>	<b>Timing</b>	<b>MFA</b>	<b>Finnish HEI</b>	<b>Developing country HEI</b>	<b>Appraisal group</b>
Preparation for call (phase I)	2-3/2009				
Call open for project preparation (phase I)	5/2009	Call for proposals	Prepares proposal/ application jointly	Prepares proposal/ application jointly	
Call closes (phase I)	5/2009				Appraisal of proposals Meeting 6/2009
Decision on project preparation funds (phase I)	6/2009	Decision Notice/ communication			
Project preparation	6-11/2009		Prepares project document jointly	Prepares project document jointly	Meeting 9/2009
Preparation for call (phase II)	9-10/2009				Meeting 11/2009
Call open for project implementation (phase II)	11/2010	Call for proposals	Prepares proposal/ application jointly	Prepares proposal/ application jointly	
Call closes (phase II)	11/10				Appraisal of proposals Meeting 3/2011
Decision on project implementation funds (phase II)	3/2011	Decision Notice / communication			
Project implementation	4/2011-12/2012		Implementation Reporting	Implementation Reporting	

## HEI ICI Annex 1

# **Expression of Interest (Application for funds) from the Ministry for Foreign Affairs of Finland for HEI ICI project preparation phase**

(max xxx words plus annexes to justify €20 000-€40 000 financing)

(The name of the project)

Application submitted by (the Name of the Finnish HEI/HEIs)

to cooperate with (the Name of the Partner Country HEIs)

Title, name and signature  
(of authorised representative of the Finnish HEI)

Contacts:  
(name, e-mail, phone)

1. The overview of the planning process
  - a. The need for the project
  - b. The issues/questions that need to be clarified
  - c. The division of roles between participating HEIs
  - d. The strategy to make the planning and action as inclusive as possible
  
2. Work plan
  - a. The list of concrete planning tasks
  - b. Tentative timetable

3. Participants

- a. Names of the participants in the preparation mission (in all HEIs) and their planned roles in the implementation of the project
- b. The possible need of support from other agencies

4. Budget (excel sheet)

Working days of the experts (number of days X daily fee including "OKA-multiplier" or equivalent coefficient), travel costs, other costs using annex 4

Annexes: (max xx kBs each)

Expert CVs of each partner HEIs

Partner(s) HEI's Letter of commitment, if application is not co-signed

Strategy and annual plan of the partner HEI,

Strategy and annual plan of the Finnish HEI,

Financial report of the partner HEI,

Financial report of the Finnish HEI,

Documentation on previous cooperation between the participating HEIs

## HEI ICI Annex 2

# **Project Proposal for the HEI ICI of the Ministry for Foreign Affairs of Finland**

(max 5 pages plus annexes to justify €50 000-€500 000 financing)

(NAME OF THE PROPOSED PROJECT)

SUBMITTED BY  
NAME OF THE FINNISH HEI  
IN COOPERATION WITH  
NAME OF THE PARTNER COUNTRY HEI

DATE

SIGNATURES

<Partner country HEI>

<Finnish HEI>

Contacts:  
(name, e-mail, phone)

Use short summaries of the project document which emphasise sections in the light of selection criteria

### **1. Background and justification**

- Basic information about project partners, especially of the partner country HEI (or the section/unit of the HEI when applicable)
  - What is the mandate and key function(s) of the partner HEI? What does the partner HEI “produce” (services, information)? Who uses the “product”?
  - Has the HEI a defined role in the relevant national strategy?
  - What are the key available resources of the partner HEI (human/financial)?
  - What are the key/prioritised capacity development *needs* in the partner HEI (or the section/unit of the agency)? How are these needs identified? Are they recorded in a capacity development plan/strategy or similar document?
  - Does the HEI cooperate with other donor agencies? Are there other capacity development projects? What are their objectives?
- Who are the main beneficiaries of the project? Why are they important for the operation of the HEI and for the delivery of the key functions of the HEI?
- What are the capacities and resources of the Finnish HEI to respond to the needs?

### **2. Objective of the cooperation**

- How would the performance of the beneficiaries/partner HEI change as a result of the planned cooperation?
- Is there a relation between the planned objective of the project and partner HEI's capacity development plan/strategy (if one exists)?

### **3. Results and activities**

- What kind of concrete results would be required by the project to achieve, in order to reach the tentative objective?
- What kind of activities would be required to be conducted, in order to achieve the results?

### **4. Time schedule**

- The duration and implementation period of the project (in months)
- The expected date for the starting the implementation phase.

### **5. Estimated total costs**

- The total estimated amount needed for the project implementation and MFA portion of it.

### **6. Other issues**

#### **Annexes:**

- Project Document (incl. LFA matrix)
- Project Budget
- Assurance regarding public funding
- Description of total cost model
- Strategy and annual plan of the partner HEI,
- Strategy and annual plan of the Finnish HEI,
- Financial report of the partner HEI,
- Financial report of the Finnish HEI,

- Documentation on previous cooperation between the participating HEIs
- CVs (expert CVs of each partner HEIs, CVs of key personnel with leadership functions, CVs of key personnel with capacity development functions)
- Job descriptions of the long-term key experts (more than 6 working months)
- Memorandum of Understanding
- Other

HEI ICI Annex 3

## **Project Document**

(10-20 pages plus annexes)

(NAME OF THE PROJECT)

(date)

Submitted by (name of the Finnish HEI)  
in cooperation with  
(name of the partner country HEI)

The following issues are recommended to be included in the PD:

**1. Background and justification**

- Description of the pre-project situation
- Give information on the needs, objectives and strategies of the partner HEI (or the section/unit when applicable)
- Why is the project needed? What are the specific needs of the partner HEI (beneficiaries) that the project will respond to? Justify the relevance of the project in relation to the objectives of the partner HEI. Who is the “owner” of the project?
- What are the specific skills and knowledge of the Finnish HEI that will be used to improve the capacities of the partner HEI?
- Give information on the resources and the responsibilities of the participating HEIs for cooperation – who does what? In what way are the participating HEIs committed to the cooperation?
- Give information on the stakeholders – what are their expectations?

**2. The objective of the cooperation and the approach**

- Describe the desired situation to be achieved through the capacity building efforts
- Define 1-2 qualitative or quantitative indicators for the objective. How can the change be measured? What are the sources of verification for the indicators?

**3. The expected results and activities**

- The project implementation can be divided into 2-3 components/result areas.
- Define concrete services and products that the project is going to produce and deliver to the project beneficiaries
- Major activities that are to be implemented to produce the results

**4. The approach on capacity building**

- How is the basis for the mutual trust developed in the beginning of the project?
- What kinds of methods are used to build a functional working relationship?
- What kind of methods are utilised for capacity building?
- How are the crosscutting issues included in the project activities?

**5. The relation of the proposed activities to the other activities of the partner HEI**

- How much resources of the partner agency will be needed to implement the activities? Name the exact commitments in terms of officer time, backstopping services, office facilities, transport.
- Make a comparison to the normal activities of the HEI.
- How will the expected changes be visible in the functioning of the partner HEI?
- Are there other financiers working with the partner HEI? If yes, what activities are they funding?
- If the project is part of larger programme, the relationship has to be clearly described?

## **6. Time schedule**

- Use a calendar to write down when the activities are going to be implemented and by when the results will be produced.
- Activities should be written down per calendar year
- The schedule needs to be synchronised with the budget

## **7. Sustainability and perceived risks**

- 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 capacity development that has been started without any further external support?
- Analyse any possible risks (project external factors) that might affect the achievement of the objective and the production of the results

## **8. Project organisation**

- Write down who are the key personnel in participating HEIs with leadership functions and with capacity-building functions
- Define the responsibilities of the parties
- Define who will be the members of the Project Board

## **9. Budget**

- The budget needs to be detailed per calendar year
- Breakdown of overall costs – use the budget form (annex 4)
- Breakdown of costs by into major result areas
- Check that enough working time has been allocated for participating HEIs!
- Separate the national funding and the MFA Finland funding

## **10. Other issues**

- Any other relevant issues with regard to the sector, participating HEIs, project environment, etc.

## HEI ICI Annex 4

### Project Budget

Project name:

Project budget:

(Unit for billing personnel costs is person day. Finnish personnel costs to be based on a total cost model. All costs are described in euro.)

(Items under headings A should cover at least 70 % of total costs in MFA financing.)

MFA financing

Budget lines	Costs per unit	Total costs in 2XXX	Total costs in 2XXX	Total costs in 2XXX	Total costs	Comment/ explanation
<b>A1. Assignment fee of Finnish HEI expert</b>						
(Person/position)						
<b>A2. Allowances, partner experts</b>						
(Person/position, type of allowance, grant)						
<b>A3. Travel costs</b>						
(Person/position, reason, from-to, vehicle)						
<b>A4. Accommodation</b>						
(Person/position, reason, location)						
<b>A5. Travel allowances for Finnish experts</b>						
(person/position, location)						
<b>A6. Subcontracted work assignment</b>						
(task)						
(task)						
<b>B. Administrative costs in partner country</b>						

<b>C. Fixed assets</b>						
(item)						
(item)						
<b>D. Contingency costs (max 10 %)</b>						
<b>Total costs (Euros)</b>						

Budget breakdown by result area by year (if the project is divided into several result areas or components and data is available.)

<b>Result areas</b>	<b>total costs in 2XXX</b>	<b>Costs in 2XXX</b>	<b>Costs in 2XXX</b>	<b>Total costs</b>
<b>Result 1</b>				
<b>Result 2</b>				
<b>Result 3</b>				
<b>Contingencies</b>				
<b>Total costs</b>				

**Commitment/ self-financing (at least 15% of total financing), to be included in the Finnish HEI(s) part.**

**Partner HEI(s) commitments**

Describe the partner HEI(s) commitments: Personnel, office facilities, backstopping services, assets, cash contributions. Partner HEIs do not contribute to self-financing as such (responsibility of the Finnish HEIs).

**Finnish partner commitment**

## HEI ICI Annex 5

### CV Format

(Minimum information required for key personnel. For Finnish personnel, the experience is deemed to indicate seniority, in case a replacement is required.)

Name

Date of birth

Contact information

Education

Number of year of professional experience

Current position (employer, position, employed since)

Relevant previous professional experience (employer, position, duration)

Relevant previous professional experience (employer, position, duration)

....

Other relevant information

## HEI ICI Annex 6

### Template for MoU between Finnish and development country HEIs

*(This is a tentative model for the MoU. If the Project Proposal is co-signed by all partners and not only the main partners, the MoU is not necessary. The MoU can be modified to suit to any country context. The phrases in square brackets should be replaced with relevant wording.)*

#### Memorandum of Understanding ("MoU")

between

*[name of the developing country partner HEI] (hereinafter "[Abbreviation A]") in [partner country]*

and

**[name of the Finnish partner HEI] (hereinafter "[Abbreviation B]") from Finland**

regarding the

**[Project name] (hereinafter the Project)**

The Ministry for Foreign Affairs of Finland has assigned a higher education institution [Abbreviation B] as the responsible HEI to manage the Finnish share of the project financing. The assignment is based on contractual arrangements.

#### 1. COMMITMENTS OF [Abbreviation A]

1. Provision of all necessary support for implementation of the Project, including encouragement of other partners to participate in its implementation;
2. Implementation of the Project as set forth in the Project Document (see Annex 2).
3. Coordination of Project implementation with the [Abbreviation B]
4. Ensuring sufficient human resources for the implementation of the project as described in the project document;
5. Incorporation of the financial resources needed for Project implementation in its institutional budget;
6. Monitoring of the progress of the Project with [Abbreviation B]; and
7. Preparation of Project implementation progress reports with [Abbreviation B] and their submission to the MFA of Finland.

## 2. COMMITMENTS OF [Abbreviation B]

1. Provision of all necessary support for the Project implementation, including encouragement of other partners to take part in its implementation;
2. Assurance that any goods acquired within the Project framework are procured based on Finnish Procurement legislation;
3. Implementation of the Project as set forth in the Project Document (see Annex 2).
4. Coordination of Project implementation with the [Abbreviation A]
5. Allocating personnel to work in the Project;
6. Monitoring of the progress of the Project established and coordinated by the Project Board;
7. Incorporation of the financial resources needed for Project implementation in its budget; and
8. Preparation of Project implementation progress reports with [Abbreviation A] and their submission to the MFA of Finland.

## 3. ADMINISTRATION, FOLLOW-UP AND MONITORING

1. A Project Board will be set up for the Project management and monitoring. It is coordinated by [Abbreviation A] and [Abbreviation B]. It will meet [how many times/how often] during the Project duration. The Project Board representatives are the following [names/institutions, alternates if appropriate].
2. The Project Board will receive Project follow-up and progress reports, decide on possible changes in the budget within its assignment, approve annual plans of operation and budgets.
3. The Project monitoring and evaluation mechanisms will be decided in the Project Board. The Project may be subjected to monitoring by the MFA of Finland.
4. Project implementation is governed by the principles and rules set forth in [*Partner country legislation*] regarding the staff of [Abbreviation A] and Finnish legislation regarding the staff of [Abbreviation B]. The other personnel needed for the implementation of the Project is procured observing the provisions of Finnish procurement legislation.
5. The management of the Project funds will comply with the professionally accepted bookkeeping rules and practices. The participants ensure that no illegal or corrupt practices relate to the use of the Project funds. All possible corruption cases need to be reported to the relevant authorities.

## 4. FINANCIAL MANAGEMENT

1. [Abbreviation B] is responsible for the financial management of the project. [Abbreviation B] is represented by [*B person's name1*] or [*B person's name2*] in signing for the costs caused by the Project implementation. The Project account numbers and details are disclosed in the Project report.
2. The Project account and Project operations may be subjected to an independent audit when requested by the MFA of Finland.

**5. MODIFICATIONS**

Any modification of the terms contained in this MoU will be effective only if decided upon in writing between the [Abbreviation A] and the [Abbreviation B].

**6. RESOLUTION OF DISPUTES**

In case of any dispute between signatories regarding the interpretation, application or implementation of this MoU, they will consult each other in order to reach a harmonious solution without prejudice to what is established in the existing bilateral agreements between the Government of [*partner country*] and the Government of Finland.

**7. DURATION**

The MoU is effective from [date] to [date]. This MoU is non-legally binding and will enter into effect upon signature by the participants named below. However the MoU is effective only after the signature of the service assignment between the Finnish HEI and the Ministry for Foreign Affairs of Finland.

In witness whereof, we hereby sign four identical copies of this MoU in the city of [*town*], [*country*] on the \_\_\_\_ day of the month of \_\_\_\_\_ of the year.

**For** [Abbreviation A]:

[full name]  
position

**For** [Abbreviation B]:

[full name]  
[position]

## Annual Work Plan

<PROJECT NAME>  
<MFA Intervention code>

**Prepared by:**

<Finnish HEI, name of the person, contact information>

<Partner HEI, name of the person, contact information>

**Signature of the responsible person(s):**

<name>

<place and date of the signature>

**Approved by <project board/cooperating HEIs>**

**Place and date:**

**ANNUAL WORK PLAN FOR CALENDER YEAR**

**Period:**

## **1. MAIN ACTIVITIES DURING THE YEAR**

Tasks and activities describing concretely, but also linking them to expected results  
Any deviations on the original Programme Document should be mentioned here.  
Deviations creating additional costs are usually funded from contingencies.

## **2. PLAN FOR EXPERT WORKING DAYS**

Working teams, expert working days, travels, justification for the task

## **3. PLANNED PURCHASE OF EQUIPMENT OR SERVICES**

Equipment or service, justification for purchase, estimated price

## **4. NEED FOR CONSULTATION WITH ADMINISTRATIVE COORDINATION UNIT OR WITH THE MFA**

Description of the needed consultation:

## **5. OTHER REMARKS**

## 6. ANNUAL BUDGET

MFA financing (total costs for year 2XXX may include untapped funds from the period year)

Budget lines	Costs per unit (if applicable)	Total costs in 2XXX	Comment/ explanation
<b>A1. Assignment fee of Finnish expert</b>			
(Person/position)			
<b>A2. Allowances, partner experts</b>			
(Person/position, type of allowance)			
<b>A3. Travel costs</b>			
(Person/position, reason, from-to, vehicle)			
<b>A4. Accommodation</b>			
(Person/position, reason, location)			
<b>A5. Travel allowances for Finnish experts</b>			
(person/position, location)			
<b>A6. Subcontracted work assignment</b>			
(task)			
(task)			
<b>B. Administrative costs in partner country</b>			
<b>C. Fixed assets</b>			
(item)			
(item)			
<b>D. Contingency costs (max 10 %)</b>			
<b>Total costs (Euros)</b>			

### ASSESSMENT PRESENTED BY THE ADMINISTRATIVE COORDINATION UNIT

Does the plan fulfil the requirements as specified in the agreement and general guidelines?

Specific remarks:

**Date and place:**

**Signature:**

## ToR For An Expert Mission

(A description of work tasks, agreed by collaborating partners prior to the mission)

Terms of Reference for an expert mission in

(NAME OF THE PROJECT)

**(MFA Intervention code)**

Covering period between (period covered)

Prepared by: (Name, contact information, date)

Approved by the Project Board: (date)

OR

Approved by the Partner HEIs: (Name, contact information, date)

1. Background
  - Why is the mission carried out?
  - Previous activities?
2. Anticipated results of the mission
  - Link to component and results detailed in the project document
3. Planned activities in the mission.
  - Work method
  - Meetings organised, persons involved
  - Timetable
4. Next steps

## Progress and Financial Report

The report is signed by the main partner HEIs and the Project Board

(Progress report is used by the coordinating HEI towards the Administrative coordination unit and the MFA.)

	<b>Data on HEIs for monitoring</b>
Name of project	
Intervention code of the MFA	
Report identification code of the HEI if any	
Period covered by report	
Finnish HEI name	
Amount reported in €	
Person responsible for report (name, contact information)	
<b>Signature of the responsible person</b>	
Date and place of signature	
Desk officer in the MFA	
	<b>Progress reporting</b>
Main activities during the period (following the classification of the project document or annual work plan)	
Main capacity development and twinning methods used	
Completed work days by experts (a detailed description of working days duly signed by team leader is attached).	
Problems encountered, if any	
Need for consultation with the administrative coordination unit or the MFA, if any	

## Financial report

Budget lines	Budget for year 2XXX	Total expenditures in period	Total expenditures accumulated from the beginning of year	Comment/ explanation
<b>A1. Assignment fee of Finnish expert</b>				
(Person/position)				
<b>A2. Allowances, partner experts</b>				
(Person/position, type of allowance/grant)				
<b>A3. Travel costs</b>				
(Person/position, reason, from-to, vehicle)				
<b>A4. Accommodation</b>				
(Person/position, reason, location)				
<b>A5. Travel allowances for Finnish experts</b>				
(person/position, location)				
<b>A6. Subcontracted work assignment</b>				
(task)				
(task)				
<b>B. Administrative costs in partner country</b>				
<b>C. Fixed assets</b>				
(item)				
(item)				
<b>D. Contingency costs (max 10 %)</b>				
<b>Total expenditures (Euros)</b>				

Total expenditures in the period \_\_\_\_\_

Summary table

Budget information	Amount	Comments/explanations
Total <b>expenditures</b> in the period		
Total <b>expenditures</b> accumulated from the beginning of the project		

**Assessment presented by the administrative coordination unit**

Does the report fulfill the requirements as specified in the agreement and general guidelines?

**Date and place**

**Signature**

## Completion Report

<PROJECT NAME>  
<MFA Intervention code>

**Prepared by:**

<Finnish HEI, name of the person, contact information>

<Partner HEI, name of the person, contact information>

<x>

**Signature of the responsible person(s):**

<name>

<place and date of the signature>

**Approved by <project board>**

**Place and date:**

**Signature:**

### OPERATIONAL COMPLETION REPORT

**Project:**

**Implementation period:**

#### 1. AN OVERVIEW OF THE PROJECT IMPLEMENTATION

(The minutes of the Project Board meeting attached)

## 2. THE ACHIEVEMENTS OF RESULTS

<b>PROJECT OBJECTIVE</b>	<b>PROGRESS TOWARDS THE OBJECTIVE</b>	<b>COMMENTS ON OVERALL PROGRESS (Results, critical issues, changes in project context)</b>
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<b>EXPECTED RESULT 1</b>	<b>PROGRESS ACHIEVED</b>	<b>COMMENTS ON OVERALL PROGRESS, (CB methods used, critical issues, comments on project environment)</b>
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<b>EXPECTED RESULT 2</b>	<b>PROGRESS ACHIEVED</b>	<b>COMMENTS ON OVERALL PROGRESS, (CB methods used, critical issues, comments on project environment)</b>
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<b>EXPECTED RESULT 3</b>	<b>PROGRESS ACHIEVED</b>	<b>COMMENTS ON OVERALL PROGRESS, (CB methods used, critical issues, comments on project environment),</b>
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### 3. USE OF EXPERT WORKING DAYS

NAME OF EXPERT	FIELD OF EXPERTISE	NUMBER OF WORKING DAYS	ROLE IN COOPERATION
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-

### 4. PURCHASE OF EQUIPMENT OR SERVICES

EQUIPMENT / SERVICE	COST	PROCUREMENT METHOD (For any item over 15 000 Euro)
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-

### 5. PROJECT BOARD MEETINGS

Description of schedule and key decisions:

### 6. OTHER ISSUES

## 7. FINANCIAL COMPLETION REPORT

MFA financing

Budget lines	Budgeted	Total expenditures	Balance	Comment/ explanation
A1. Assignment fees of Finnish expert				
A2. Allowances, partner experts				
A3. Travel costs				
A4. Accommodation				
A5. Travel allowances for Finnish experts				
A6. Subcontracted work assignment				
B. Administrative costs in partner country				
C. Fixed assets				
D. Contingency costs (max 10 %)				
Total costs (Euros)				

### PARTNER HEI(S) FINANCING

Budget lines	Budgeted	Total expenditures	Balance	Comment/ explanation

### ASSESSMENT PRESENTED BY THE ADMINISTRATIVE COORDINATION UNIT

Does the REPORT fulfill the requirements as specified in the agreement and general guidelines?

Specific remarks:

Date and place:

Signature:

## Assurance Regarding Public Funding for a HEI ICI Project

The Finnish main partner, in the role of coordinating applicant of the HEI ICI project, has reviewed the funding plans as a whole for the HEI ICI project. In this role, the coordinating applicant HEI assures that the levels of public funding (both applied and granted) for the project do not exceed the levels allowed in the Act on Discretionary Government Transfers (valtionavustuslaki, Act 688/2001, §6).

If the HEI ICI project has applied or received other public funding, a list of such funding must be attached.

Tick the appropriate box

We *<name of the Finnish coordinating applicant HEI>* have not applied nor received other public funding for this HEI ICI project.

We *<name of the Finnish coordinating applicant HEI>* have applied or received other public funding for this HEI ICI project. A list of this funding is attached

Date

Signature of Finnish coordinating applicant