


appear

Austrian Partnership Programme
in Higher Education and Research
for Development

Guidelines for Applicants

Third Call 1.10.11

Financed by

 Austrian
Development Cooperation

Implementing Organizations

Contents

1.	Introduction	2
2.	General Information.....	3
2.1.	Overall objective.....	3
2.2.	Thematic focus.....	4
2.3.	Eligible countries in the South.....	4
2.4.	Programme overview for the third call.....	5
2.5.	Requirements regarding the content	6
2.6.	Information and contact.....	6
3.	Academic Partnerships.....	7
3.1.	Basic principles	7
3.2.	Objectives and expected results	8
3.3.	Examples of potential activities	9
3.4.	Financed costs and reporting	10
3.5.	Requirements	11
3.6.	Thematic and organizational dimensions for applicants – academic partnerships.....	12
3.7.	Timetable and selection procedure.....	14
3.7.1.	Timetable.....	14
3.7.2.	Selection procedure	14
3.7.3.	Selection criteria and scoring matrix – academic partnerships.....	15
4.	Submission of applications.....	17
4.1.	Contact.....	17
4.2.	Deadline for submission.....	17
4.3.	Application forms and documents	17

1. Introduction

Appear – the Austrian Partnership Programme in Higher Education and Research for Development – opens the third and final call of the programme period 2010-2014 at the beginning of October 2011. Deadline for submissions is 31 December 2011. **Appear** is financed by the Austrian Development Cooperation (ADC) to implement the new strategy in support of higher education and research for development on an academic institutional level in the Southern key regions of the Austrian Development Cooperation.

Academic partnerships between scientific partner institutions in the South and Austrian academic institutions (universities and universities of applied sciences) will be funded to strengthen the capacities in higher education, research and management. The total remaining budget for the third call is approximately 2 million Euros. In the programme period 2010-2014, there are no further funds for preparatory funding and Master's and PhD grants.

The **appear** team – a consortium of the Austrian Agency for International Cooperation in Education and Research (OeAD) and the Austrian Latin America Institute (LAI) – is in charge of administering all relevant programme procedures. The team will also provide information to applicants and communicate the programme results to the scientific community, governmental and non-governmental agencies in the field of development cooperation and to the broader public.

Financed by



Implementing Organizations



2. General Information

2.1. Overall objective

The overall objective of **appear** is to strengthen the institutional capacities in education, research and management in the priority countries of the Austrian Development Cooperation (ADC) through academic partnerships with Austrian academic institutions and Master's and PhD programmes as a contribution to effective and sustainable reduction of poverty.

Appear wants to encourage professionals and academic institutions in the addressed countries and in Austria to share their knowledge and experiences with each other, to design innovative projects targeting the objectives and expected results (see chapter 3.2.) and to improve the general standards in higher education, research and management.

Appear includes two components:

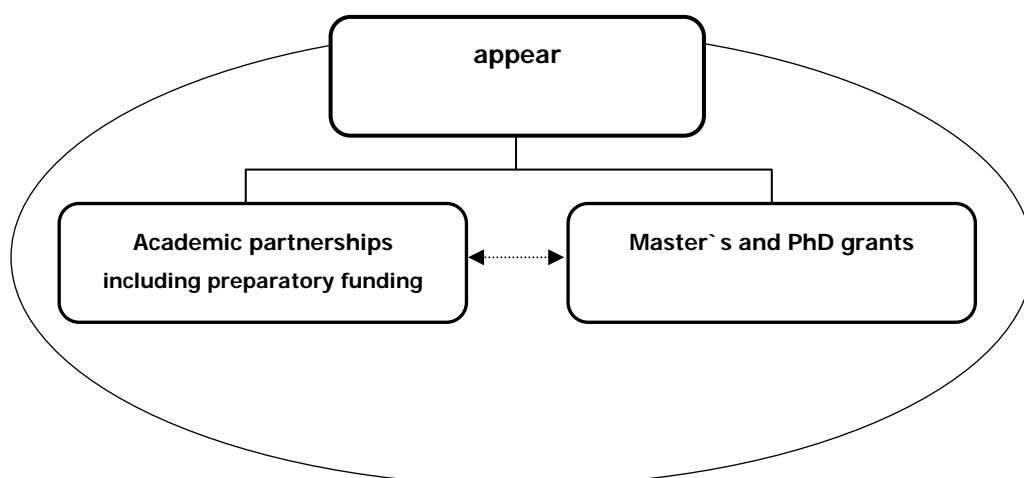
Component 1:

Academic partnerships in higher education, research and management, to strengthen the institutional capacities of academic partner institutions in the South (see chapter 3)

Preparatory funding, to support institutions that do not yet have well established links to jointly plan and elaborate a project proposal (the third call will not be open for preparatory funding submissions)

Component 2:

Grants for Master's and PhD programmes for students from the eligible countries (the third call will not be open for Master's and PhD applications)



The main focus of **appear** is on component 1. Seventy per cent of the budget will be allocated to academic partnerships. However, component 1 and 2 are closely connected. Master's and PhD programmes will support students and academics from already existing partnerships to implement sustainable cooperation and to realize the programme's overall objective.

2.2. Thematic focus

All proposed activities should be related to the thematic focus of **appear** as defined below.

- Strengthening of institutional capacities in higher education and research for development
- Water supply and sanitation, rural development, energy, private sector development, governance and human rights
- Poverty reduction, environment and natural resources, peace building and conflict prevention, gender equality
- Strengthening of skills in social sciences as an instrument to systematically analyze the reasons of poverty and to empower capacities in social science research

2.3. Eligible countries in the South

Academic institutions in the South and participants of Master's and PhD programmes at Austrian universities and scientific institutions come from the following countries:

- Ethiopia, Uganda, Kenya
- Mozambique
- Cape Verde, Burkina Faso, Senegal
- Nicaragua, El Salvador, Guatemala
- Bhutan, Nepal
- Palestinian Territories

2.4. Programme overview for the third call

	Component 1		Component 2
	Academic partnerships	Preparatory funding	Master`s and PhD grants
Target group	Higher education institutions and research institutions in the eligible countries and in Austria	Higher education institutions and research institutions in the eligible countries and in Austria	Applicants from the eligible countries Master`s: not older than 30 years (for women not older than 35) PhD: not older than 35 years (for women not older than 40)
Submission	The project coordinating institution can be either a scientific institution in an eligible country, or a university / university of applied sciences in Austria	The project coordinating institution can be either a scientific institution in an eligible country, or a university / university of applied sciences in Austria	Students and professionals at universities or research institutions in eligible countries
Duration	max. 2 years	max. 6 months	Master`s: 24 months (average) PhD: 36 months (average)
Budget	2 partner institutions: 50,000 – max. 90,000 € / year More than 2 partner institutions: 50,000 – max. 130,000 € / year	Max. 15,000 € One time funding	Master`s: 880 € / month PhD: 940 € / month Travel costs (including field research) Allowances (German courses, participation in conferences, printing costs)
Third call	1.10.2011	<u>not open for preparatory funding</u>	<u>not open for Master`s and PhD grants</u>
Deadline for submission	31.12.2011	<u>not open for preparatory funding</u>	<u>not open for Master`s and PhD grants</u>

2.5. Requirements regarding the content

- Demand-driven approach: The proposed activities are based on institutional and societal needs in the Southern country.
- Relevance of the partnership for development in the partner country, specifically in relation to the thematic focus of the programme
- Relation to the thematic focus of the respective region or country of the ADC
- Gender is systematically integrated in the project plan.
- Professional expertise and stated interest in relation to the thematic focus and the capacity development activities of the partnership
- Participatory approach and well-balanced ownership between the partners
- Result orientation and sustainability

2.6. Information and contact

Appear office

at the Austrian Agency for International Cooperation in Education and Research (OeAD)

ICM – Centre for International Cooperation and Mobility

Ebendorferstrasse 7, 1010 Vienna, Austria

appear@oead.at | www.appear.at

3. Academic Partnerships

3.1. Basic principles

The strengthening of capacities in higher education, research and management supports poverty reduction and contributes to the achievement of development goals according to the national/regional strategies of the priority countries and the overall objectives of the ADC. **Appear** funds well-designed collaborative and innovative projects, responding to the identified needs and demands in the Southern countries and the Southern institutions in particular. The participatory approach of **appear** means that project proposals should be planned and worked out jointly by the proposing partners of the main cooperating institutions. At least two institutions – one from the eligible countries and one from Austria – must be involved in the partnership. The submitting consortium defines a coordinating partner who will sign the contract and be responsible for reporting and accounting. The coordinating institution can either be in the Southern country or in Austria. If the proposed educational/research/institutional activities need more than two partners involved to be implemented and realized successfully, a partnership network can also be established. This has to be well motivated and described in the project proposal. If the establishment of regional networks in capacity development and/or education and/or research is justified, institutions that are not located in the eligible countries can be involved as well to a maximum of ten per cent of the entire project budget.¹ The activities have to take place primarily in the Southern partner country(ies).

Appear follows an open-minded concept of knowledge, science and empirical research. **Appear** is not interested in one-sided “knowledge transfer”, usually prolonging the predominance – which is often seen as arrogance – of “western science” and “western interests”. **Appear** strictly follows a demand-driven approach, through which demand has to be defined by the partners in the South, and a participatory approach in education and research. Respect of different methodological and empirical approaches, of different epistemological and cultural systems, of different modes of interaction and interpretation of results – regarding the impact on the addressed target groups/countries in particular – should be seen as preconditions for the aimed participatory and demand-driven partnerships to be realized on an equal basis.

In order to realize the overall objective, **appear** follows five basic principles:

- Participatory approach
- A concept of culturally open-minded knowledge
- Practically- and empirically-oriented approach
- Gender sensitivity
- “Bottom-up” and demand-driven approach

¹ These institutions have to be in countries which are listed in the DAC List of ODA recipients, see: www.oecd.org/dac/stats/daclist

3.2. Objectives and expected results

The main objective of the academic partnership is to strengthen the capacities of the partner institutions in higher education, research and management. In order to unite scientific questions with specific needs and demands of the regions and countries in the South, the partners have to embed a development approach in the theoretical, methodological and empirical design of the proposed activities. Development issues and important development-oriented academic questions related to the thematic focus of the programme will be brought together with educational and institutional demands to improve academic capacities as well as skills in management. Ownership must be well balanced between the concerned partners, and gender must be systematically integrated in the project design.

The expected results can be described on three different levels:

Institutionally

- The partnership strengthens the management and the teaching/educational skills and capacities of the scientific institution in the South.
- The partnership strengthens and/or establishes a sustainable cooperation between the institution(s) in the Southern countries and the Austrian academic institution(s).
- The partnership encourages integration in existing regional academic networks and/or the establishment of regional cooperation.
- Links and further collaboration with researchers/lecturers and international academic institutions are built up as a basis for further projects and/or educational activities.
- The partnership empowers female academics.
- The capacity development measures enhance the quality assurance in the respective Southern countries.
- Skills in institutional management are improved.

Educationally, scientifically

- Innovative curricula, teaching methods and other educational activities that are in line with the thematic focus of the programme are introduced to improve the academic standard of the partner institutions.
- Innovative, problem-oriented and interdisciplinary research projects that meet the thematic focus of the programme are realized and implemented on a high academic level.
- Short-term exchange of lecturers (South-South, South-North) is realized and grants for study programmes are incorporated into the project design (Component 2).
- The partnership contributes to an increased integration of partners in international scientific networks.
- The dissemination and utilization of findings and results are shared within the respective Southern countries and lead to further activities: follow-ups, publications, conferences, teaching, curricula and are of policy use for national or regional development activities.
- The project realization demonstrates a positive influence on the awareness of gender and a practical influence on the opportunities, living conditions and/or position of women in the scientific community.
- The partnership contributes to the applicability of research results in practice.

Impacts on development

- The partnership is in line with the thematic focus of the programme and contributes either to the formulation or implementation of the partner countries' national/regional development plan or poverty reduction strategy.
- The partnership addresses direct and/or indirect "beneficiaries", either within the academic community or in marginalized societal groups.
- The findings and results as well as the educational activities have an impact on poverty reduction and improvement of livelihood.
- The partnership embeds a development approach into higher education and research and leads to new forms of cooperation between scientific institutions and agencies working in the field of development.

3.3. Examples of potential activities

Innovative, problem-oriented and interdisciplinary project designs are encouraged and highly welcomed. The following examples show the broad range of potential activities within the programme:

In the field of education and research

- Development of curricula or learning material (e.g. innovative content)
- Assurance of quality standards in teaching, methodology and research and improvement of academic management capacities
- Training measures for the academic staff
- Development of joint study programmes with joint degrees
- Exchange of teaching, research or management staff (South-North, South-South)
- Short term exchange of students (South-South)
- Preparation of submissions of applications for specific EU programmes for the Southern partners
- Development of co-financing strategies as contribution to sustainable partnerships
- Applied and demand-driven research projects (the requirements/necessities should be based on the institutional and societal needs in the Southern country)
- Development of curricula and/or research projects and dissemination of results in collaboration with NGOs in the South as a contribution to poverty reduction and improvement of the livelihood of marginalised societal groups

In the field of management capacities

- Consultancy on issues of reform, planning and organization of the educational, scientific and research system
- Support for the improvement of the quality of management and administration (e.g. organizational development, elaboration of a business plan, transparency, teambuilding/team development, institutional self evaluation, employment procedures, proposal writing, establishment of international offices, etc.)
- Support for the improvement of the infrastructure of the partner institutions in the South
- Strengthening of capacity to deliver services (consultancies, extension services, etc.)
- Management consultation, integration in local or regional research networks

A list of accepted projects can be found on the **appear** website.

3.4. Financed costs² and reporting

2 partner institutions: 50,000 – max. 90,000 € / year

More than 2 partner institutions: 50,000 – max. 130,000 € / year

At least half of the project budget has to be allocated to the Southern partner institution(s). The following expenses can be included in the project calculation:

- Staff costs (salaries) for academic and coordinating tasks within the project (regular staff costs cannot be included)
- Travel and subsistence costs
- Equipment and material
- Dissemination (for printing and publishing)
- Other costs
- Overhead costs (seven per cent of the total costs of the project)

Financing for academic institutions in countries not included among the eligible countries (see 2.3 p. 5) but in the DAC List of ODA Recipients³ may not exceed ten per cent of the overall project budget.

Master's and PhD grants within a partnership are financed from the budget of component 2.

Reporting

The contents of the final technical report have to provide sufficient information on project performance and achieved outcomes to enable a review of the results in line with project objectives and planning, with special regard to expected results and the respective criteria and indicators. A detailed tabular financial report has to be provided additionally. All reports have to be in English.

Partnerships (max. 2 years)

Mid-term report and final report

² See also "budget sheet for partnerships" and "guidelines for the budget and financial report". All forms and documents can be downloaded at www.appear.at/application.

³ See: www.oecd.org/dac/stats/dacelist

3.5. Requirements

The institution responsible for project coordination, reporting and accounting can either be in an eligible country or in Austria. The following prerequisites have to be met to establish an academic partnership:

Formal Requirements

- Application form
- Budget sheet
- Log frame
- CVs of team leaders and team members
- Letter of intent from the leading management of all partner institutions
- Consortium agreement (Confirmation of intention to carry out the proposed project signed by all partner institutions)

Application form, budget sheet, log frame and CVs have to be merged into and submitted as **one pdf file**. All documents have to be in **English**.

Requirements regarding the content (see chapter 2.5)

3.6. Thematic and organizational dimensions for applicants – academic partnerships

The following thematic/organizational dimensions as well as The “Guidance on good practice and management for partnerships in higher education and research for development” will assist applicants in completing the application form for academic partnerships (see www.appear.at/application). The questions are meant as a stimulus for the elaboration of the project proposal and for the discussion of the required inputs in section B of the application form. Thus, it is not necessary to answer every question of these guidelines. Applications will be selected based on how well they *integrate* and *demonstrate ability to implement* the following five dimensions: (1) Project design and substantive quality, (2) Project management and the capacity of the consortium, (3) Relevance for and contribution to development, (4) Results and sustainability and (5) Cost effectiveness. The questions under each dimension serve the purpose of *describing* the respective dimensions with the explicit intention to provide guidance for applicants. They should therefore *not* be understood as an exhaustive list of aspects every application needs to address, or as questions necessarily needed to be answered in every application. Depending upon the nature of each project, other aspects may very well be better suited to demonstrate how the four dimensions are integrated in the project and how the project demonstrates its ability to implement the four dimensions.

Thematic and/or organizational dimensions	Specification/Description
<p>1. Project design and substantive quality (Innovative, problem-oriented and interdisciplinary approaches are encouraged)</p>	<ul style="list-style-type: none"> – In which context and against which background are the proposed activities set? (description of the local, institutional and scientific needs and demands in the South) – How does the project incorporate an innovative approach? (in terms of theoretical, epistemological, methodological/empirical and educational aspects) – How are the proposed activities in line with the expected outcomes? – How are capacity development activities included? – Are there any links to ongoing development activities? – Does the project include South-South-cooperation?
<p>2. Project management and capacity of the consortium</p>	<ul style="list-style-type: none"> – How is the coordination of the project and the roles of the respective partners planned? – How does the chosen constitution of the team contribute to the possibility of the consortium to reach the objectives? – How does the balance between junior and senior, female and male, Southern and Northern team members increase the prospects of reaching the objectives? – Why is it important to collaborate with the particular institution(s) and which long-term effects of the partnership can be expected? (development impact, thematically-related decisions, etc.)

Thematic and/or organizational dimensions	Specification/Description
<p>3. Relevance for and contribution to development</p>	<ul style="list-style-type: none"> - In which way do the proposed activities contribute to the partner countries' national/regional development plan or poverty reduction strategy? - How and in which way are the proposed activities relevant for poor and marginalized societal groups? - In which way do the proposed activities support/strengthen the institutional capacity of the partner institution(s) in the South? - Who are the "beneficiaries" of the proposed activities on all sides and what are the expected direct and indirect benefits? How are the different levels related to each other: <ul style="list-style-type: none"> * local level (communities, marginalized groups) * institutional level (scientific institutions, NGOs, other organizations) * regional/national level (agencies, government institutions, administration)
<p>4. Results and sustainability</p>	<ul style="list-style-type: none"> - How does the consortium plan to make the cooperation sustainable beyond the funding period? - To which degree can the project be expected to have a positive influence on the opportunities, living conditions and/or position of women? - How do the proposed activities strengthen the educational, research and/or management capacities of the institution in the South? - How does the project contribute to an increased integration of its partners in scientific networks (international, regional, South-South)? - How is dissemination and utilization of expected findings and results planned? (spin-offs, follow-ups, publications, conferences, teaching, curricula, exchange of lecturers, practical use for regional or national development strategies and activities, etc.)
<p>5. Cost effectiveness</p>	<ul style="list-style-type: none"> - Is the budget well balanced and the allocation between the partners appropriate? - Are there any in-kind contributions?

3.7. Timetable and selection procedure

3.7.1. Timetable

Activity	Responsible	Deadline
Third call opens	appear team	1 October 2011
Deadline for the submission of proposals	appear team	31 December 2011
Formality and eligibility check	appear team	16 January 2012
Reviewing and scoring	peer reviewers	26 April 2012
Preparation of the documents for the selection board	appear team	10 May 2012
Selection	Selection Board	End of May 2012
Information of acceptance to project coordinators	appear team	10 June 2012

3.7.2. Selection procedure

Formality and eligibility check by the appear team

The **appear** team checks if the following minimum criteria are met:

- complete and correct forms and documents (including signatures, letters of intent, etc.)
- proposal is within the budget scope and guidelines
- eligibility of partners/participants
- meeting of deadlines
- addressing the thematic priorities

Review of proposals according to predefined criteria and scoring matrix by two external peer reviewers

The reviewers are independent experts with skills and knowledge appropriate to the tasks assigned to them, and will declare not to have any conflict of interest at the time of their appointment. Reviewers will be chosen on the basis of their specific knowledge of the topic areas and of the regional context covered by the applications.

Reviewers will be provided with guidance and will use given criteria and a specified scoring matrix (see below). Each reviewer gives a score for each criterion, a total score and a textual report for each proposal.

The **appear** team will compile results of reviews and provide a list of applications based on their total score (average of two peer reviews) achieved in the evaluation.

Project selection by the Selection Board

The Selection Board will aim to reach a balanced portfolio of projects, taking into account the objectives of the call, the quality of the proposals, the advice from the reviewers and the availability of funding. The Selection Board will select applications on the basis of their scores and the comments of the reviewers. If the evaluation of the two independent reviewers is inconsistent the final decision will be taken by the Selection Board.

The Selection Board is entitled to award either a full agreement with the proposed activities and the requested funds, to agree only to partial funding and a reduced set of activities, or to reject the entire proposal.

Aspects that may be decisive when a choice between equally scoring projects needs to be made are: gender aspects, cooperation between institutions that are new, balanced overall coverage of thematic priorities, balanced regional distribution, and regional networks in the South.

The Selection Board will formally approve the decisions and advise the **appear** team to start the contracting process. All contracts will be in English.

3.7.3. Selection criteria and scoring matrix – academic partnerships

Criterion	Evaluation based upon
1. Project design and substantive quality	<ul style="list-style-type: none"> – Suitability of the planned activities and timetable in line with the local, institutional and scientific needs and demands – Innovative approach in terms of theoretical, interdisciplinary, methodological/ empirical and educational aspects – Alignment of the expected results with the objectives and the planned activities – Academic quality of project objectives and of capacity development measures (i.e. education, research and/or management)
2. Project management and capacity of the consortium	<ul style="list-style-type: none"> – Project coordination and management strategy (participatory design, ownership, distribution of tasks and responsibilities, participatory decision-making) – Quality of the consortium, interdisciplinarity including the diversity of scientific disciplines and the added value from synergies between the partners, integration of young researchers and/or teachers and women (=added value), regional networks in the South (=added value) – Plan for monitoring activities including key milestones/workschedule – Risks and assumptions that are likely to affect project implementation and achievement of the results and how these are planned to be managed.
3. Relevance for and contribution to development	<ul style="list-style-type: none"> – Alignment of the project objectives and activities with the thematic focus of the programme – Alignment of project objectives and activities with national/regional development priorities or national poverty reduction strategy – Alignment of project objectives and activities with specific needs of the partner institution(s) in the South, especially regarding capacity development – Contribution to poverty reduction and improvement of the livelihood of marginalized societal groups in the Southern countries

Criterion	Evaluation based upon
4. Results & sustainability	<ul style="list-style-type: none"> - Sustainability of the expected results (contribution to the strengthening of the institutional capacity in higher education, research and management of the partner(s) in the South) - Potential impact for the beneficiaries (local, institutional, regional/national level) - Positive influence on the opportunities, living conditions and/or position of women - Quality of the plan for dissemination and exploitation of expected project results and knowledge generated by the project (e.g. contribution to international cooperation, scientific networks and South-South-cooperation etc.)
5. Cost effectiveness	<ul style="list-style-type: none"> - Cost of the proposal set against its significance, expected impact and academic quality - Appropriateness of cost details and budget allocation between the partners (including availability of in-kind contributions and additional funding)

Explanation of scoring matrix:

Reviewers are requested to allocate each of the questions between one and five points, one being the equivalent of 'insufficient' and five the equivalent of 'excellent'. (1 = insufficient, 2 = below average, 3 = average, 4 = good, 5 = excellent). Although the dimension "cost effectiveness" only has two questions, the dimension is nevertheless of equal importance and will be automatically weighted in the digital scoring sheet for the reviewers. For example, if a hypothetical reviewer allocates these two questions 1 and 3 points respectively, the calculated score for the dimension 'cost effectiveness' will be 8.

A total score between 100 and 90 reflects an 'excellent' project, between 89 and 70 a 'very good' project, between 69 and 50 an 'average' project, between 49 and 30 a 'below average' project and a total score below 30 a 'poor' project.

4. Submission of applications

4.1. Contact

Appear office

At the Austrian Agency for International Cooperation in Education and Research (OeAD)

ICM - Centre for International Cooperation and Mobility

Ebendorferstrasse 7, 1010 Vienna, Austria

appear@oead.at | www.appear.at

4.2. Deadline for submission

Academic partnerships: 31.12.2011

All required documents have to be submitted via regular mail (**paper version, including all original signatures**) and via e-mail (**electronic version**).

4.3. Application forms and documents

All application forms and documents can be found at www.appear.at/application

Application form academic partnerships

Budget sheet for academic partnerships

Log frame

Guidelines for the budget and financial report

Guidance for good practice and management for partnerships in higher education and research for development