Application Form User Guide

Version 10/2007, published 30 January 2008
This Application Form User Guide is written for version 10/2007 of the application form. Please ensure that the versions of the application form and user guide correspond.

Content:

Introduction

The Norwegian Cooperation Programmes for Economic Growth and Sustainable Development in Bulgaria and Romania

Guide for completion of the application form

This guide gives instruction on the individual points in the application form. By following the procedures described below, the applicant will ensure that there is a sound basis for an appraisal of the application, helping to speed up the decision-making process.

The Norwegian Cooperation Programmes for Bulgaria and Romania offers financial assistance to allow partnerships between all public or private sector bodies and non-governmental organisations (NGOs) constituted as legal entities in the beneficiary states and in Norway.

Assistance may be awarded in the form of support for partnership projects. The different types of assistance are described in the *Rules and procedures* and the *Applicant's Guide* for the programme. These documents can be found on the website www.norwaygrants.org.

Due to the varied nature of support available, the application should be accompanied by additional documentation according to the nature of the proposal, with the application form summarising the key characteristics of the project.

The application, any supporting documents, and information provided therein, may be made publicly available according to the freedom of information acts of the EEA-EFTA states.

Tips and advice

- Study the key documents available on www.norwaygrants.org. Make sure that your project meets the eligibility criteria.
- Be clear about the objectives of your project: what, when, why and how.
- Demonstrate the need for the project and demonstrate how it meets that need.
- Base the budget on comparable projects and relevant documentation such as offers, prices, indexes, etc, and justify the costs in question.
- Make sure that the application form is fully completed and check the accuracy of the information.
- Make sure to attach any additional details and background information that may be needed for an efficient appraisal.

- Use simple language, define abbreviations and avoid using specialist jargon.
- Prepare the proposal thoroughly and submit only when ready for financing.
- Contact the relevant Innovation Norway office if you have further queries in regard to the programme and any country-specific implementation requirement.

All contact details are available on www.norwaygrants.org.

Application form

The application form is an Adobe Extension Application based on a standard Excel workbook that should be compatible with Microsoft Excel 97 and later versions. To avoid loss of information on the printout, keep the information you enter within the boxes, even if the application form allows you to type beyond this point. You are not obliged to fill in all the text boxes in full – in some cases parts of the form might not be applicable to your application.

Do not forget to save the file regularly as you progress.

In case of problems or error messages, contact the relevant Innovation Norway office.

Submission of applications

Applications are submitted by the send-in-function at the end of the form at the website www.norwaygrants.org. You must have a standard e-mail program. An automatical reply will not be generated, so you should request a delivery receipt for the message in our own e-mail program. You have the possibility to attach other files in the e-mail.

You can move easily through the forms by using the mouse and the scroll-bar at the right side of the screen. The forms must never be modified except for the areas to be filled in.

To avoid loss of information on the printout, keep the information you enter within the boxes, even if the application form allows you to type beyond this point. You are not obliged to fill in all the text boxes in full – in some cases parts of the form might not be applicable to your application.

Do not forget to save the file regularly as you progress.
In case of problems or error messages, contact the relevant Innovation Norway office.

The application is to be submitted only in an electronic version, and signed versions of a hard copy of the grant offer letter with supporting documents from Innovation Norway will constitute the grant agreement between the project promoter and Innovation Norway.

The application and supporting documentation must be in English.

EUR must be used as the monetary unit in the application form and supporting documentation. Only integers should be used.

- Supporting documentation

Hard copy of supporting documentation may be posted to Innovation Norway's relevant office when the task manager for the project is known. The hard copies need to be signed by the applicant.

The hard copy should be unbound and all pages must be of A4 size and one-sided.

Ensure that you have fulfilled the requirements listed below before submitting the application.

- The standard format of the application form has been used and no amendments have been made to the text of the form (protected fields).
- Only electronic versions in Word, Excel and PDF formats will be accepted.
- All financial data is in EUR.
- All input to tables containing financial and numerical information are correct.
- All necessary and listed supporting documents are attached and clearly numbered.

Title of the project

The title of the project should be descriptive, practical and short. The title should refer to the geographical location and the purpose (keywords).

Beneficiary state

Select the beneficiary state from the drop-down menu.

Main priority sector covered by the operation

The applicant must select the most appropriate priority sector from the drop-down list that, in his or her opinion, best matches the main objective of the project. However, the project may cover other sectors in addition to the main sector.

1. Applicant

1.1 Name and contact details

Provide the full legal name and the registered address of the applicant. The applicant must be a legally established entity in the beneficiary state in which it submits the application.

Provide contact details of a contact person with whom the application can be discussed. Make sure you provide only **one** contact e-mail address.

The person signing the final grant agreement on behalf of the applicant in section 11 (if a grant is awarded) does not have to be the same person as the contact person in section 1.

Add the contact address only if different from the registered address.

1.2 Details of applicant

1,2,1, Type of applicant

Please choose from the drop-down menu;

National authority
Regional authority
Local authority
Education/research institution
Non-governmental organisation
Privately owned enterprise
Publicly owned enterprise
Public-private partnership
Other (explain below)

1.2.2. Type of company/organisation

Detail your legal status of the entprice here. If you a part of a group of companies, an organisation plan should be attached as a supporting document if the space in insufficient.

1.2.3Standard Industrial Classification

1.3 Description of the applicant

Give a concise description of the applicant. The description should cover the following key issues:

- Brief background of the organisation, including information about the owner, where applicable;
- Main activities at present;
- Management structure and resources (including funding);
- Experience in managing similar projects.

Attach last year's annual report, financial statements, etc. as appropriate.

Innovation Norway will carry out essential checks (legal and tax status, etc.) under beneficiary state legislation on the eligibility of the applicant. The documents required vary according to each beneficiary state, and therefore it is not possible to provide an exhaustive list of required documents here.

2. Partner state

Please choose from the drop-down menu:

Bulgaria
Romania
Norway

2.1 Name and contact details

2.2 Details of partners

2.3 Description of partner

Please complete similar to 1.2. Additional partners should be described in detail in a supporting document.

3. Description of the project

3.1. Main priority sector covered by the project

Select from the drop-down menu:

Reduction of greenhouse gas emissions etc.
Energy efficiency and renewable energy
Facilitating sustainable production
Health (Romania)
Implementation of Schengen acquis (Bulgaria)

3.2. Project duration

Select from the drop-down menu.

3.3 Project description, with background and justification

Explain the origins, and outline **why** the project should be undertaken, identifying clearly the main problem the project will solve or help solve. Give an overall description of **what** the project is about and **how** it will be implemented.

Describe the target groups of the project.

If you already has completed a seed money project, the activities in the seed money project should not be included in this description.

Explain the feasibility of the project and why the described approach has been chosen as the most appropriate. This description should include the choice of best available technology, when appropriate, and the cost-benefit in a relevant comparison. When relevant, a description is required of whether the “polluter pays” principle has been followed..

If the project is an independent part of a larger project, operation or overall strategy, explain the links between activities already completed, activities to be carried out under these funds, and any activities planned in the future.

It is generally useful if an applicant attaches **a short feasibility study**. It may cover, among other things:

- Socio-economic context
- Technological alternatives
- Financial analysis
- Risk analysis

The applicant must use judgement in determining the scope of such a study area that is to be addressed. Such studies often provide the basis for relevant indicators in section 3.4.
In some cases only a few of the normal topics for such a study may be relevant, such as a risk analysis (see also section 8 about risk).

Give relevant details of the geography of the project (national, regional, sub-regional, municipal or any other).

When necessary, **attach a map** or any relevant **conceptual illustration**, such as an overall lay-out, drawings or photos related to the project.

3.4 Objectives and indicators

Three levels of objectives should be identified in the table in the application form: Overall objective, Purpose and Results.

Overall objective is the consequence of the project beyond the immediate effects to its direct beneficiaries. The overall objective can usually only be measured after some time has passed, typically 2-5 years after completion. The overall objective should be linked to the project as directly as possible. A few examples of overall objectives:

- for a wastewater treatment plant, the overall objective may be to reach a certain level of water quality measured as minimum oxygen level in a lake;

- for a competence strengthening project, the overall objective may be to achieve a certain level of efficiency in manufacturing unit, or to improve quality.

Purpose is the expected outcome of the project, such as number of museums opened, tonnes of reduced CO_2 equivalents per year, number of jobs directly created, etc. The purpose is the reason why the activities were carried out, and it is usually the combination of the results that determine the purpose. It will normally be possible to measure or identify the achievement of the purpose at the completion of the project.

Results are the direct products of the project, such as number of training places created, businesses advised, etc. The results can usually be measured during the project implementation phase and will therefore serve as progress indicators. All results must be measurable and achieved at the latest by the completion of the project.

In the **first column** of the table, give a short statement on each level. One overall objective, one purpose and up to three results are possible.

In the **second column**, define up to three indicators per statement. This definition must be short and clear and also include the unit of the indicator such as quantity, m_2, Mg (tonne) etc.

The **third column** is for the baseline value of each indicator chosen. This is the status prior to the implementation of the project. If needed, applicants may provide further explanations and calculation methods in an attachment.

The **fourth column** is for the target value of the chosen indicators. This is the expected value to be achieved as a consequence of the project.

In the baseline and target columns only numerical values can be entered. Applicants should always provide quantifiable targets for indicators for Results and Purpose. If Overall Objective indicator targets can be quantified realistically, this should be done as well. To quantify overall objectives may sometimes be difficult and may require some creativity, however, it should in most cases be possible. For those cases where this is deemed impossible, the third and fourth column may be left blank in the overall objective.

The objectives and indicators table has a restricted number of possible objectives and indicators. If a larger number is relevant, choose the most important ones, and the ones that in combination cover as much as possible of the project. Please feel free to give further objectives and indicators in an attached document.

A further illustration of the use of indicators and how to fill in the above table is given in the document *Examples of indicators*, where examples are given and grouped according to the priority sectors of the EEA Financial Mechanism and the Norwegian Financial Mechanism, available at the FMO website www.eeagrants.org.

The indicators are also often influenced by other circumstances than the project itself, especially at the overall objective level.

4. Project Expenses – Budget and Finance

4.1 Key project parameters

Indicate the exchange rate used in the budget preparation. The financial information must be given in EUR. It is also required that the applicant indicate the total cash co-financing in EUR from the central, regional or local government budget allocations and from non-public sources. The total sum from the fields ‘Grant requested’, ‘Total cash co-financing – central, regional or local government budget’ and ‘Total cash co-financing – non-public source’ must correspond with the field ‘Total cash outflow’ in the table ‘Cash Eligible Expenses – Euro’ in section 5.2.

For further information on co-financing rules, see article 2.4 of the Applicant’s guide and 3.2.1 of *Rules and procedures*.

For individual projects and programmes, an advance payment of up to 20 percent of the grant awarded may be made if justified by the applicant and deemed necessary by Innovation Norway. A request for an advance payment, its justification and type of offset mechanism (selected from the drop-down menu) must be included in this section.

The advance offset mechanism to be applied to the project can take one of two forms:

1. The whole advance is offset against the first payment claim.
2. Manual advance offset scheduling.

The first of these are predefined offset mechanisms to be applied in most cases. The second provides the applicant with the opportunity to request a different form of offset schedule. The advance offset mechanism to be applied to the project must be approved by Innovation Norway in the grant agreement. The applicant should, however, indicate his or her preferences here.

Select ‘No advance payment required’ if advance payment is not necessary for the project.

4.2 Expenses

Cash eligible, in-kind eligible and non-eligible expenses must be separated as indicated in the budget table. Refer to article 3.1 in *Applicant’s guide* for further details of eligible costs. It is obligatory to attach a **detailed budget** to the application form. The totals from the attachment must correspond with the totals in the budget table.

According to article 3.1 in Rules and Procedures, only expenses accrued before 30 April 2011 are eligible.

Cash eligible expenses

The section provides one row exclusively for management costs, four rows for already predefined expenses (to be selected from the drop-down menu), and if the expenses cannot be described under any of the above mentioned categories, the applicant may include a maximum of four other descriptions.

Management costs refer to expenses for additional dedicated management structures, with staff hired exclusively for the project's management tasks during the period of project implementation.

Predefined expenses (from the drop-down menu) include the following:

- **Labour** refers to salaries, all benefits, plus social security and any other taxes incurred for the people working on the project, but which are not part of the management costs mentioned above.
- **Services** refer to expenses which are limited to the "soft type" of services, e.g. consultancy, studies, teaching, marketing etc.
- **Office expenses** refer to expenses that cannot be identified readily and specifically with a particular activity, e.g. office supplies and equipment, travel expenses, petty expenses.
- **Equipment** refers to capital expenses for equipment directly allocable to the project activities.
- **Raw materials** refers to expenses for material which is used in the project, e.g. steel, concrete, wood or any other substance or product out of which something can be made or used in order to achieve the objectives of the project.
- **Building acquisition** refers to expenses for purchase of real-estate.
- **Land acquisition** refers to expenses for purchase of land.
- **Contractors** refers to expenses related to physical work, e.g. construction, renovation excavation, repairs etc.
- **Publicity** refers to expenses which are related to project information and/or publicity measures

In-kind eligible expenses

The section provides one row for in-kind eligible expenses from central, regional or local government budget allocations and one row for in-kind eligible expenses from a non-public source. The value of the in-kind contribution must be filled in here and the nature of the in-kind must be described below in the remarks field. Please use the same subdivision as in the predefined expenses section.

Non-eligible expenses

Define and explain the non-eligible expenses directly linked to the project.

Indicate whether the applicant can recover VAT expenses incurred – ‘yes’ or ‘no’ must be selected from the drop-down list.

4.3 Eligible expence funding

Please specify the cash into credit facilities and equity in article 4.5.3 – other applications.

4.4 Revenue generating project

Specify whether the project is revenue-generating or not – ‘yes’ or ‘no’ must be selected from the drop-down list. In case of a revenue-generating project, please attach a detailed budget.

4.5 Other grant applications made

Preparation support (including seed money fund)

State if the development of the application has been financed with seed money or other grant funding. If yes, specify the source(s) and amount(s). If seed money has been provided by a seed money facility funded by the EEA Financial Mechanism and/or the Norwegian Financial Mechanism, provide the date of application and/or grant offer letter.

EU funding for this project

Explain whether applications for any EU or EEA funding have been made or have been successful in respect to this project, or in respect to other projects closely linked to this project. Explain the reasons for rejection (if known). Provide details of the amount applied for. If any such applications were approved, indicate the grant amount(s) and specify the EU funding source(s).

Other applications

Explain whether applications to donors other than the EU (international or national financial institutions, or others) have been made in respect to the project in question or in respect to other projects closely linked to this project. If yes, specify the donor(s) and explain the result of the application(s) (approved/rejected). Provide details of the amount applied for and the reasons given for any rejections. If any such applications were approved, indicate the grant amount(s) and the source(s) of the support.

4.6 Additional benefits

The applicant should provide a statement of additional benefits to the project through the approval of the grant. The appropriate statement is to be selected from the drop-down menu. If the applicant estimates that the project would proceed without the grant, but in a reduced way, the applicant must explain to what extent the project would be limited without receiving the grant. If the applicant estimates that the project would proceed, but would take longer to finish, the applicant must explain the change in timescale and the impact this will have on the project's success. If the applicant estimates that the project would proceed as planned without the grant, the applicant must explain why the project should benefit from the grant.

5. Legal issues relevant to the project

5.1 Compliance with EU legislation

Provide a statement on the arrangements made to ensure compliance with EU legislation relevant to the project. The statement must cover at least the following areas of EU legislation:

- State aid rules
- Public procurement rules
- Environment

If the project involves state aid aspects, give details such as the amount of previous state aid, whether the de minimus rule applies, whether the state aid is registered in a scheme or on an ad hoc basis, provide notification number, reference to the letter of approval by the Commission, etc. EU legislation relating to state aid is a complex issue and applicants are advised to contact Innovation Norway for guidance if needed. As for public procurement, a general statement on the arrangements foreseen should be provided, and a general description of types of contracts (e.g. studies, works, supplies or services) and the award procedures may also be added. Where any such procedures have already started, provide information on the status.

As for EU legislation in the field of environment, the applicant should refer to the legislation relevant to the project (e.g. Environmental Impact Assessment Directive 85/337/EEC (as amended)). 2001/42/EC.

If the project promoter is a small business enterprise, please specify in the statement.

If the project is subject to public procurement, please attach the following information as a supporting document:

No.	Contract objective and type (e.g. works, services, supply)	Estimated contract value (in EUR without VAT)	Tender procedure	Estimated tender start date	Estimated tender end date

5.2 Implementation of EU legislation

If the project has been developed with the aim of contributing to the implementation of certain EU legislation, then specify the Directive or Regulations in question and explain what impact you hope the project to achieve.

5.3 Compliance with national, regional or local development strategies

Explain how the project will support strategies adopted at a national or regional level in the beneficiary state, to the extent that these are relevant to the project's objectives.

5.4 Legal challenges or procedures

State whether the successful implementation and completion of the project is dependent on the outcome, positive or negative, of any legal challenges or procedures within the jurisdiction of the beneficiary state, the European Community, international courts or tribunals, or any other state. The term 'legal challenges or procedures' is to be understood to include any unresolved legal disputes, even when no formal procedures have been initiated. If yes, provide the relevant details.

5.5 Certificates and permits

List any permits or certificates required before and/or during the implementation of the project. Provide a clear reference to the permit/certificate (including any reference number). Indicate the date on which the permit/certificate was obtained and its period of validity (if this is limited). Provide an estimated date on which the permit/certificate will be applied for. Examples of permits and certificates include building permits, decisions issued by heritage conservation offices or environmental protection offices, etc.

6. Publicity

An information and publicity plan should be prepared by the applicant and should be included in the application. The plan should include a brief description of aims and target groups, implementation measures and methods, budget (check that it is the same as in the detailed budget breakdown) and responsibility for implementation. If the space provided in the application form is insufficient, attach the publicity plan to the application form.

7. Risks and risk management

Generally, any project will have associated risks and these risks must be managed properly. Accordingly, it is important to recognise such risks and plan how to manage the risk factors. Risks could be related to funding sources, permissions, procurement issues, etc. and they could be technical, financial, legal or managerial. A risk analysis must identify the risks, including considerations of likelihood and impact, as a basis to determine how risk should be managed. Both likelihood and impact can have three values (low, medium or high), to be selected from a drop-down list. It will typically include, but not be limited to, the relation between risks and objectives, judgement of critical risks and determination of actions to mitigate risks. Provide a separate risk analysis if applicable (may be part of a feasibility study, see article 1.3).

8. Cross-cutting issues

Cross-cutting issues address various values/aspects of the project relevant for all sectors, which are important in relation to the overall quality of the application. The cross-cutting issues are essential parts of the primary goal of the financial mechanisms, the reduction of social and economic disparities in the European Economic Area (EEA).

The applicant must consider cross-cutting issues when applying for grant assistance and provide information on how they relate to the application. If a particular cross-cutting issue is considered not to be relevant, a justification for this must be provided.

8.1 Sustainable development

In this section the applicant is asked to describe how the project contributes to sustainable development which integrates the environmental, economic and social dimensions of human endeavour into a single, comprehensive concept. The listed questions illustrate various aspects of sustainable development within each of the three dimensions as they may relate to project applications. The applicant should consider and provide comments on these issues as relevant. Note that the questions are not exhaustive.

Environmental

Describe how the project will contribute to environmental sustainability and how any possible adverse environmental impact will be rectified. If relevant, an environmental impact assessment must be attached.

The issue regarding the environmental dimension is to determine whether or not the project has a positive environmental impact and how the key aspects of environment have been considered. Some general questions to consider are:

- Does the project respect the principles of preventive action?
- How have green procurement targets been included for the project?

More specifically and depending on the nature of the project, one or more of the following questions may be answered:

- To what degree will the project reduce or prevent emission of persistent toxic pollutants?
- Will the project result in the recovery of natural resources?
- Is use of fossil energy reduced by the project?
- Is the project of benefit to biodiversity?

Economic

Describe how the long-term economic viability of the project will be ensured. **How, when** and by **whom** will the results be used? How will the purpose of the project be maintained?

Explain how operating and maintenance expenses will be covered **after** project implementation is completed.

Where relevant, explain whether a fund exists or will be established to secure against unexpected expenses related to the maintenance and operation of the project results. It is also important to determine that the economic drivers that influence the project are sustainable and whether or not the project in itself will make any kind of contribution for the establishment of economic tools for sustainable development.

- Does the project strengthen financial tools for ecosystem protection?
- Have the costs of all ecosystem effects been taken into consideration?
- Are all the financial drivers of the project sustainable?
- Has the polluter pays principle been followed?

Social

The social related checkpoints relate to the knowledge and conduct of the population, their health and integrated sustainable development management.

- Will the project increase public understanding of sustainability?
- Will the project influence citizens' sustainability behaviour positively?
- Will the project have positive effects for public health?
- Does the project contribute to more integrated policy, planning or management, for sustainable development?
- In what way does the project contribute to the 'social dialogue' (meaning both the dialogue between the trade unions and employers' associations, as well as the dialogue between government, local government and civil society organisations)?
- Will the project contribute to poverty reduction?

In addition, summarise measures taken to include disadvantaged groups, such as direct involvement in project design, accessibility to project results etc., or summarise possible social disadvantages and how they will be rectified.

8.2 Gender equality

In this section the applicant is asked to describe how the project contributes to gender equality, participation and empowerment. The following list of examples illustrates the various aspects of gender equality as they may relate to project applications. The applicant should consider and provide comments on these issues as relevant. Note that this list is not exhaustive.

General methodology

- Does the project take into account gender specific needs and address gender specific conditions?
- Does the project take past experiences and/or current gender equality activities in the country into account?
- Does the project address the gender equality issues and targets relevant to the project?
- Does the project provide qualitative information on gender issues where necessary?

Economic and social rights

- Does the project encourage lifelong learning and access by women to the labour market?
- Does the project enhance the income earning opportunities of women?
- Does the project strengthen social rights and/or contribute to participation in civil life by women?
- Does the project reduce the social exclusion of women? (Human rights.)
- Does the project contribute to strengthening organisations and public institutions working to improve the opportunities and rights of women, including NGOs? (Prevention of violence.)

- Does the project support awareness-raising actions and campaigns empowering women?

Participation and decision-making

- Does the project contribute to participation by women in decision making at both a political and an economic level?
- Does the project involve male and female stakeholders in the consultative process?
- Does the project promote women's participation within the project, for example as project staff, members of steering committees?

8.3 Good governance

In this section the applicant is asked to describe how the project contributes to good governance in the beneficiary state. The following list of examples illustrates the various aspects of governance as they may relate to project applications. The applicant should consider and provide comments on these issues as relevant. Note that this list is not exhaustive.

- Does the project contribute to better public access to information and/or improved transparency?
- Does the project improve participation of civil society in decision making processes?
- In what way does the project deal with the issue of accountability vis-à-vis those affected by the project?
- In what way does the project take a proactive approach to preventing and dealing with corruption?
- How has it been determined that the project fulfils a real need?

9. Other bilateral relations

State whether the project, in addition to the partnership, may contribute to the strengthening of relations between the EEA-EFTA states (Iceland, Liechtenstein and Norway) and the beneficiary state. If the implementation of the project involves partners from the EEA-EFTA states, explain the opportunities you hope to gain from their involvement. Where there are no such project partners, are there any other benefits that may stem to the relations with the EEA-EFTA states during the implementation or as a result of the project?

10. Supporting documents

All supporting documents (attachments) provided with the application must be listed. Number each supporting document clearly. The electronic version of each supporting document should be saved with a file name that makes its identification clear, for example using the attachment number and name.

10. Supporting documents

A **Documents (If the following documents are not attached, please give an explanation)**

A.1 Partnership agreement
A.2 Detailed budget of the expences
A.3 Budget of the revenues and costs
A.4 Publicity plan
A.5 Project implemention plan

B **Documents to be attached if not available from open sources**
B.1 Pover of Attorney for the signatory and personal certificates
B.2 National Registration Certificate and Statute
B.3 Relvevant Trade Register certificate by all partner entities
B.4 Relevant tax certificates

C. **Other Documents**
C.1
C.2

Common supporting documents would include:

- Feasibility study
- Maps and conceptual illustrations
- Latest verified annual report
- Signed letter of intent or partnership agreement

11. Signature

The electronic submitted application form should not be signed in hard copy, but the grant agreement letter must be signed by a person with the designated authority in the applicant organisation.

This signature shall be original (signature stamps, persons signing on behalf of others, or photocopies are not acceptable). If a decision of a management committee, board of directors or comparable bodies is required to grant the signatory the necessary powers, the original of the decision, signed by the members of the committee or the board, shall be attached to the grant agreement (letter of authority for person signing the agreement).

The signatory's name and position should be entered electronically in the application form.