

## Annex 9 – Attachment 1

### Programme proposal template

### EEA and Norwegian Financial Mechanisms 2009-2014

#### 1 Introduction

The Programmes of the EEA and Norwegian Financial Mechanisms shall fit under the Programme areas that have been agreed in the relevant, country-specific MoU.

Programme proposals will only be accepted if they are submitted by the entity agreed between the Financial Mechanism Committee or the Norwegian Ministry of Foreign Affairs (NMFA) on the one hand, and the National Focal Point on the other.

The Programme proposal shall be signed by the authorised representative(s) of the entity submitting the proposal. In addition, every page of the proposal, and every page of any annexes submitted with the proposal, shall be initialled by the same representative(s). The proposal is also signed by the National Focal Point and any Programme Partner(s) involved in the implementation of the Programme.

The Programme proposal should not exceed 30 pages, excluding Annexes.

Please make sure that the Programme proposal is written in proper English. Proposals with English language of a standard that would lead to misunderstandings will be returned for correction.

By signing and submitting the Programme proposal, the Programme Operator accepts that the FMO may publish a summary of the proposal on its website and that the proposal may be subject to disclosure under the Freedom of Information Acts of the EEA EFTA States.

#### 2 Legal framework

The Programme proposal must comply with the *Protocol 38b* to the EEA Agreement, the *Regulation on the implementation of the European Economic Area (EEA) Financial Mechanism 2009-2014* or the *Regulation on the implementation of the Norwegian Financial Mechanism 2009-2014*, and the Memorandum of Understanding (MoU) agreed between the Donor State(s) on the one hand, and the Beneficiary State on the other.

A detailed step-by-step guideline on how to complete each section of the Programme proposal form can be found in chapter three of the *Programme Operators' Manual (POM)*. The headings in the Programme proposal form correspond to the headings in the *POM*.

## **3 Programme proposal**

### **3.1 Executive summary**

**This section shall provide a summary of the Programme proposal.**

### **3.2 Basic information**

**Provide basic Programme details to identify the Programme:**

- name of the Programme
- name of Programme area addressed (refer to the MoU)
- name of the Programme Operator
- name and country of origin of Programme partner(s) (if applicable)

### **3.3 Relevance of the Programme**

**Describe how the planned Programme fits into:**

- the overall objectives of the EEA Financial Mechanism or the Norwegian Financial Mechanism
- the overall objective of the relevant Programme area, and
- legislation and national priorities

### **3.4 Programme motivation and justification**

#### **3.4.1 Challenges and needs analysis**

**Define and describe the challenges and needs in the Beneficiary State in relation to the Programme area, including a description of the effect on the direct target group / target institution of the Programme.**

**List objective sources.**

**Describe funding gaps, existing complementary funding and any previous experience with funding.**

#### **3.4.2 Public and private structures relevant to the Programme area**

**Describe the different parts of the Beneficiary State’s public administration and/or regional and local authorities and/or private sector and/or non-governmental sector in relation to this Programme.**

#### **3.4.3 Legislation relevant to the Programme area**

**List EU and national legislation relevant to the Programme area and how the Programme complies with these.**

#### **3.4.4 State aid and public procurement**

**Describe how state aid legislation is applicable to the Programme and how such issues are addressed (e.g. state aid schemes, block exemptions, notifications, use of guidelines). Provide specific reference as necessary.**

**Describe how public procurement legislation is applicable to the Programme and how such issues are addressed.**

### 3.4.5 Justification for the Programme strategy

**Describe the strategy of the Programme, including the reasoning behind choosing this strategy and how the strategy is supposed to deliver the expected outcome(s).**

## 3.5 Programme objectives and indicators

### 3.5.1 Objective of Programme (expected impact)

**Select the Programme area covered by the proposal from the drop down list. The objective is defined by the choice of the Programme area.**

Programme area [drop down list]

### 3.5.2 Programme expected outcome

**Choose the expected outcome(s) of the Programme from the checklist.**

Expected outcome 1 [drop down list]

[field repeats as requested]

### 3.5.3 Programme outputs

**Define at least 2 Programme outputs for each expected outcome.**

Outcome 1 [repeats choice made in 3.5.2 above]

Output 1:

[field repeats as requested]

Outcome 2 [repeats choice made in 3.5.2 above, as necessary]

Output 1:

[field repeats as requested]

### 3.5.4 Indicators, verification and baselines

**Indicators for Programme expected outcome(s)**

**Define the necessary number of indicators, including baseline and target values and the source(s) of verification per outcome. Describe why and how each indicator was chosen for the Programme.**

Outcome 1 [repeats choice made in 3.5.2 above]

Indicator 1: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 2: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 3: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

[field repeats as requested]

Outcome 2 [repeats choice made in 3.5.2 above, as necessary]

Indicator 1: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 2: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 3: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

[field repeats as requested]

**Describe why and how the chosen indicators were chosen for the Programme.**

### **Indicators for Programme outputs**

**Define the necessary number of indicators, including baseline and target values and the source(s) of verification per output. Describe why and how each indicator was chosen for the output.**

Output 1 [repeats choice made in 3.5.3 above]

Indicator 1: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 2: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 3: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

[field repeats as requested]

Output 2 [repeats choice made in 3.5.3 above, as necessary]

Indicator 1: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 2: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

Indicator 3: [table with separate text fields for indicator description, baseline value, target value, and source of verification]

[field repeats as requested]

**Describe why and how the chosen indicators were chosen for the Programme.**

## **3.6 Target groups of the Programme**

**Identify the primary and secondary target groups for each outcome.**

Outcome 1 [repeats choice made in 3.5.2 above]

Primary target group:

Secondary target group:

Outcome 2 [repeats choice made in 3.5.2 above, as necessary]

Primary target group:

Secondary target group:

[field repeats as requested]

**Describe how the target groups are being consulted during planning and implementation.**

### **3.7 Risk and uncertainty**

**Identify and assess the relevant risk factors that may affect the achievement of the Programme’s expected outcome(s). List each risk factor, the analysis in respect of the risk, and the risk mitigation plan.**

### **3.8 Bilateral relations**

**Describe how bilateral relations between the Beneficiary States and the Donor State(s) will be facilitated and encouraged.**

#### **3.8.1 Donor programme partner(s)**

**Describe the donor programme partner’s relevance to the Programme and the involvement in the development of the Programme proposal. Describe earlier cooperation between the Programme Operator and the donor programme partner (if relevant).**

#### **3.8.2 Donor partnership projects**

**Describe how identification of potential partners is envisaged, their potential role and relevance to the projects in the Programme.**

**Describe and justify which of the measures under the bilateral partnership fund will be applied to the fund. Justify the proportion used between the two measures.**

**Describe the operational and information measures envisaged (e.g. selection procedures, grant rate, maximum grant amount, information work, advice in respect of public procurement and state aid etc).**

#### **3.8.3 Donor state applicants**

**Explain and justify any limitations proposed to the eligibility of donor state applicants.**

### **3.9 Pre-defined projects**

**The information on the pre-defined projects shall be provided as an Annex to the Programme proposal. Identify and present any planned pre-defined projects and how they fit into the relevant Programme outcome.**

### **3.10 Small grant schemes**

**Justify the purpose of the small grant scheme(s), including the target group(s) and its complementarity to the Programme as a whole.**

**Provide technical details in respect of the small grant scheme(s).**

**Justify and describe any outsourcing of small grant scheme(s) to an external operator.**

## **3.11 Cross cutting issues**

### **3.11.1 Good governance**

Describe the specific measures envisaged to ensure that the principles of good governance are integrated in the planning and implementation of the Programme, as well as in projects supported through the Programme.

### **3.11.2 Environmental considerations**

Assess how the Programme, as well as in projects supported through the Programme, positively or negatively affects the environment. Describe the specific measures that have been / will be put in place to ensure that the environment is not harmed, and how this will be verified.

### **3.11.3 Economic sustainability**

Describe how the economic sustainability of the projects will be ensured.

### **3.11.4 Social sustainability**

Describe how the social sustainability of the projects will be ensured.

### **3.11.5 Gender equality**

Describe the specific measures envisaged to ensure that gender equality is integrated into the planning and implementation of the Programme, as well as in projects supported through the Programme. Describe how the Programme positively affects gender equality.

## **3.12 Project monitoring by the Programme Operator**

Justify the methodology chosen to monitor projects.

Provide the monitoring plan for the first year of the Programme’s operations as an Annex to the Programme proposal.

## **3.13 Information and publicity**

Provide a Communication Plan as an Annex to the Programme proposal.

## **3.14 Management**

### **3.14.1 Management structure**

Programme Operators shall provide information on how the Programme will be managed. Also use one or more charts showing the management structure as an Annex to the Programme proposal.

Programme Operators shall provide a list of qualified key personnel, with current CVs in Annex.

In case of Programme partners, describe their role, the added value provided by the Programme partner, the division of roles and their respective responsibilities.

If relevant, describe the operation of the Cooperation Committee.

### **3.14.2 Timeline**

Provide a chart and explanations of the timeline showing all major steps in the implementation of the Programme.

### 3.14.3 Calls

Give information about the number of calls and their planned timing, as well as the indicative amount being made available in each call. Describe and justify any minimum and maximum grant amounts, as well as the grant rate(s) used in respect of each call.

Describe the publicity measures, and justify any restrictions envisaged.

Describe the eligible applicants, and justify any restrictions placed on eligibility of applicants and/or project partners.

### 3.14.4 Project selection

Provide an overview of the project selection structure, processes and procedures.

### 3.14.5 Financial management

Describe the financial management of the Programme, in respect to the generation of economic benefit, maintenance of separate bank accounts, rules on the eligibility of in-kind contribution, arrangements for payments to the Project Promoters and payment claim verification procedures.

### 3.14.6 Modification of projects

Explain the procedures envisaged to handle project modifications.

## 3.15 Budget

### 3.15.1 Budget headings

Complete the budget tables below. Provide justifications as specified in the POM.

Requested Programme grant rate (in %):

					€	€
	EEA FM (a)	National cofinancing (b)	Total eligible expenditure (c) = (a)+(b)			
	€	€	€	% of total		
Programme management						
Outcome 1						
Outcome 2						
Outcome n						
Funds for bilateral relations						
Complementary action						
Preparation of Programme proposal						
Reserve for exchange rate losses						
<b>TOTAL</b>						

**Annual breakdown of the EEA Financial Mechanism contribution**

Budget heading	2010	2011	2012	2013	2014	2015	2016	2017	Total
Programme management									
Outcome 1									
Outcome 2									
Outcome n									
Funds for bilateral relations									
Complementary action									
Preparation of Programme proposal									
Reserve for exchange rate losses									
<b>TOTAL</b>									

**Detailed budget for the management costs of the Programme Operator**

Cost category	2010	2011	2012	2013	2014	2015	2016	2017	Total
Preparation of Programme implementation									
Project appraisal and selection									
Payment claim verification, transfer of payments									
Monitoring of projects									
Audits and on-the-spot verification of projects									
Promotion and information									
Reporting to donors and national authorities									
Establishment and operation of bank accounts									
Overheads									
<b>Total</b>									



**Detailed budget for preparation of Programme proposal**

Cost category	Units	Unit cost	Amount (€)
Salaries of staff of the Programme Operator			
Travel and subsistence allowance			
Feasibility studies, including expert fees			
Translation costs			
Preparation for public procurement and state aid			
Public consultation			
<b>Total</b>			

**Justification and calculations**

**3.15.2 Advance payment**

Complete the table below, and provide a justification for the need of advance payment.

Budget heading	Advance requested (€)
Programme management	
Outcome 1	
Outcome 2	
Outcome n	
Funds for bilateral relations	
Complementary action	
Preparation of Programme proposal	
Reserve for exchange rate losses	
<b>TOTAL</b>	

### 3.16 Overview of annexes required to the Programme proposal

- I. List of abbreviations
- II. Information on pre-defined projects (if applicable)
- III. Monitoring plan
- IV. Communication Plan
- V. Chart(s) showing the management structure
- VI. CVs of key personnel
- VII. Maps and figures

### 3.17 Signatures

#### For the Programme Operator

I certify that I am duly authorised to sign this proposal on behalf of the Programme Operator, that I have thoroughly reviewed all statements and information provided in this proposal, and that they are correct and accurate. I confirm that this Programme will be carried out as described in this proposal and that the grant requested reflects correctly what is reasonably needed as a minimum for the Programme to proceed and to be completed.

I accept that the FMO may publish a summary of this Programme proposal on its website and that the proposal may be subject to disclosure under the Freedom of Information Acts of the EEA EFTA states.

				Optional second signature			
Name							
Position							
Organisation							
Signature							
	Day	Month	Year		Day	Month	Year
Date							

**For the Programme Partner** (repeat as necessary)

I certify that I am duly authorised to sign this proposal on behalf of my organisation, and that this organisation agrees to participate in the implementation of this Programme. I have thoroughly reviewed all statements and information provided in this proposal, and they correctly and accurately describe my organisation’s roles and responsibilities towards this Programme.

				Optional second signature			
Name							
Position							
Organisation							
Signature							
	Day	Month	Year		Day	Month	Year
Date							

**For the National Focal Point**

I certify that I am duly authorised to sign this Programme proposal on behalf of the National Focal Point, that I have reviewed all statements and information provided in this proposal, and that I confirm that it is in accord with the Memorandum of Understanding.

				Optional second signature			
Name							
Position							
Organisation							
Signature							
	Day	Month	Year		Day	Month	Year
Date							