

Programme proposal template

EEA and Norwegian Financial Mechanisms 2009 – 2014

Version: January 2012

- Front page added
- Table of contents added
- Guidance amended as the *Statistical attachment* has been replaced by the *Documentation, Reporting and Information System (DoRIS)*
- Corrected table in chapter 3.5.3
- Updated information regarding information and publicity
- Chapter 3.8.3 removed

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1 Guidance

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.

The Programme proposal shall be submitted through the Documentation, Reporting and Information System (DoRIS).

Certain data shall be registered in dedicated fields in DoRIS. Where the Programme proposal template and DoRIS require the same data to be entered, it is the responsibility of the entity submitting the proposal to ensure identical text and figures are provided.

Please ensure 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.

Any technical problems with this template or DoRIS should be notified without delay to the FMO by writing to: doris-support@efta.int.

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*.

Legal documents, guidelines, the POM and other resources are available on <http://eeagrants.org/id/2563.0>

3 Programme proposal

3.1 Executive summary

This section shall provide a summary of the Programme proposal. *Also ensure that the information provided here is registered in the Documentation, Reporting and Information System (DoRIS).*

3.2 Basic information

Provide basic Programme details to identify the Programme. *Also verify the information registered in DoRIS.*

- 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 of verification.

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

Please refer to the Article 1.5 of the Regulations for definitions of a Programme and projects.

Refer to chapter 2 of the POM for definitions of the objective, expected outcome, outputs and indicators.

The objective, expected outcome(s), outputs and indicators are key elements in identifying the priorities of a Programme. For this reason, when a call is held (ref. section 3.14.3 of the POM) the identified objective, outcome(s), outputs and indicators will be a decisive factor in the Programme Operator's selection of project proposals.

3.5.1 Objective of Programme (expected impact)

Provide the Programme area:

Provide the Programme objective:

Also ensure that information is registered in DoRIS.

3.5.2 Programme expected outcome

Provide the Programme's expected outcome(s) and indicator(s):

#	Outcome	Indicator	Description	Indicator value		Source of verification
1	(Enter one of the outcomes defined in the programme area)	(Enter one or several indicator(s) for Outcome 1)		Baseline	Target	
2	(repeat for each outcome)			Baseline	Target	
...				Baseline	Target	

Describe why and how the defined indicators were chosen for each outcome.

Also ensure that information is registered in DoRIS.

If the PO chooses qualitative indicator(s), please specify the indicator and the means of verification here.

3.5.3 Programme outputs

Define at least 2 Programme outputs with attached indicators for each expected outcome. If there is a DPP connected to the programme, include at least one output that describes the expected output of the cooperation between the PO and the DPP.

Outcome	Output	Output indicator	Indicator value		Source of verification
			Baseline	Target	
			Baseline	Target	
			Baseline	Target	
			Baseline	Target	

Describe why and how the defined outputs were chosen for each outcome, and how and why the output indicators were chosen for each output.

Also ensure that information is registered in DoRIS.

3.6 Target groups of the Programme

Identify the target groups for each outcome and describe how the target groups are being consulted during planning and implementation.

Also ensure that information is registered in DoRIS.

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.

Out- come nr.	Outcome	Description of risk	Assessment		Risk mitigation plan
			Likelihood [low/medium/high]	Impact [low/medium/high]	
1	(enter outcome 1 given in 3.5.2)				
1	(enter outcome 1 again if another risk is associated with that outcome. Otherwise move on to outcome 2)				
...	(repeat as needed for each outcome)				

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).

Also ensure that information is registered in DoRIS.

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.

Also ensure that information is registered in DoRIS.

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 for monitoring of projects under a Programme as set out in subparagraph (f) of Article 4.7.1 of the Regulation and the principles described in Chapter 5 of the POM.

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

Include a Communication Plan, in accordance with the Article 4.7.2 of the Regulations, and the Regulations' Annex 4 'Information and Publicity Requirements'. For advice on how to develop the plan, consult the Communication and Design Manual and the guidance note on how to develop the Communication Plan (both available for download on www.eeagrants.org).

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, *and ensure that information is registered in DoRIS.*

3.14.2 Timeline

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

Also ensure that information is registered in DoRIS.

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.

Also ensure that information is registered in DoRIS.

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 beneath each table as specified in the POM.

Give the requested Programme grant rate (in %):

Also ensure that the information is registered in DoRIS.

					Non-eligible expenditure (d)	Total expenditure (e) = (c) + (d)
	EEA FM (a)	National cofinancing (b)	Total eligible expenditure (c) = (a)+(b)			
	€	€	€	% of total	€	€
Programme management						
(enter the first outcome)						
(enter the second outcome)						
(enter more outcomes as needed)						
Funds for bilateral relations						
Complementary action						
Preparation of Programme proposal						
Reserve for exchange rate losses						
TOTAL						

Annual breakdown of the EEA Financial Mechanism contribution

Budget heading	2011	2012	2013	2014	2015	2016	2017	Total
Programme management								
(enter the first outcome)								
(enter the second outcome)								
(enter more outcomes as needed)								
Funds for bilateral relations								
Complementary action								
Preparation of Programme proposal								
Reserve for exchange rate losses								
TOTAL								

Detailed budget for the management costs of the Programme Operator

Cost category	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								
Total								

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			
Total			

3.15.2 Advance payment

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

Also ensure that the information is registered in DoRIS.

Budget heading	Advance requested (€)
Programme management	
(enter the first outcome)	
(enter the second outcome)	
(enter more outcomes as needed)	
Funds for bilateral relations	
Complementary action	
Preparation of Programme proposal	
Reserve for exchange rate losses	
TOTAL	

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 (if relevant)
- VIII. Statistical attachment

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		
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Name							
Position							
Organisation							
Signature							
	Day	Month	Year		Day	Month	Year
Date							