

Guide to filling in S51– Application form for project and programme support

The *Guidelines and announcements regarding individual grant schemes* set out specific information about the scheme's objective, target group, allocation criteria, deadlines and other requirements regarding the applicant and/or application. These requirements are also explained in general terms in this guide to filling in the application form.

All relevant information is to be included in the application. The information provided on the applicant, cooperating partners, project, budget and financing must be complete and correct.

Please note that the fields on the application form cannot be expanded and that the text entered must therefore fit into the space given. If preferred, the implementation plan and goal hierarchy may be set out in a separate attachment (ref. section 10 Attachments). Each attachment must refer to the appropriate section in the application form.

1. PROJECT INFORMATION

The name of the grant scheme and the unit responsible (section, department or embassy) is given in the *Guidelines and announcements* for the grant scheme in question. If there is not enough room to fill in the full name of the grant scheme, use an abbreviation or short form.

2. ABOUT THE APPLICANT

2.4 Internal routines

The grant recipient is obliged to organise the project in such a way as to prevent corruption, irregularities and the misuse of funds. The extent to which the applicant has documented anti-corruption and procurement routines may influence the Ministry's evaluation of the organisation. The applicant will be contacted if the Ministry wishes to see this documentation. If the organisation does not have any such routines, any comments in this regard may be included under section 8 Additional information.

3. ABOUT THE PROJECT

3.1 Cooperating partner

This section should be filled in if the applicant has a (local) cooperation partner for the implementation of the project. If the applicant has several cooperation partners, the equivalent information must be provided for the others in a separate attachment.

3.2 Applicant's and partner's/partners' respective roles in the project

If one or several local partners have the main responsibility for the implementation of the project, the applicant must document the role he or she can play in the project and the added value he or she can bring to it.

If the applicant intends to implement the project alone, only the applicant's competence and qualifications need to be filled in under this section.

3.3 Project description

The applicant is to give a concise description of the project based on the current situation (baseline) and the need and/or reason for the project. The target group and status for previous project phases (where relevant) should also be described.

4. IMPLEMENTATION PLAN

An implementation plan is an overview of the activities that are to be carried out in order to reach the project goal in relation to a timescale. These activities are to be described briefly and concisely, and should give enough information for the Ministry to be able to assess the likelihood of goal achievement. The implementation plan may be divided into different levels of activity according to the size and complexity of the project.

The implementation plan should include the following for each activity:

- The activity number (indicating the level of the activity – see below)
- Description of the activity
- The organisation or partner responsible for implementation
- Planned start date
- Planned end date

Project management and control and other administrative activities are to be included in the plan.

The following may be relevant for long-term or complex projects:

- Activities may be divided into sub-activities (for example to cover the first six months or year)
- Activities may be grouped together to make results achieved at this level visible. The group of activities should be described separately as a group and its start and end date specified. The results at this level should be linked to the goal hierarchy.
- The connection between various activities and/or groups of activities at various levels should be indicated in the plan. Activities should be numbered to reflect this, for example: 1 indicates the group, 1.1 indicates an activity, and 1.1.1 indicates a sub-activity.
- If the project is to continue for several years, activities for year 2, may be described in less detail. When considering applications, the Ministry needs a general overview of activities and/or groups of activities. If the project is awarded a grant, the Ministry will normally request more detailed implementation plans for the next year/six months, as the details become clear.

Milestones may be set for important events or results. The dates of these should be given. It will only be appropriate to set milestones for the main activity (i.e. if sub-activities and subsidiary results are not included in the plan).

The implementation plan may be in the form of a graphic presentation indicating the position of the activities on a timescale (e.g. a Gantt chart).

Any special requirements for more detailed information will be set out in *Guidelines and announcements regarding individual grant schemes* or indicated in the dialogue with the applicant.

In some cases it will be appropriate to link the budget to the activities set out in the implementation plan. See the section 7 Budget and financing plan.

Example 1: Implementation plan on one level

| No | Main activities | Responsible party | Planned start date | Planned end date |
|----|--|-------------------|--------------------|------------------|
| 1 | Establishment and development of pilot business incubator | | | |
| 2 | Promotion and operation of first business portal | | | |
| 3 | Project based development of existing business incubator/business centre | | | |
| 4 | Dedicated support | | | |
| 5 | Project management | | | |

Example 2: Implementation plan on two levels

| No | Main activities and sub-activities | Responsible party | Planned start date | Planned end date |
|-----|--|-------------------|--------------------|------------------|
| 1 | Establishment and development of pilot business incubator | | | |
| 1.1 | <i>Sign cooperation agreement</i> | | | |
| 1.2 | <i>Sign the leasing contract</i> | | | |
| 1.3 | <i>Description of selection process</i> | | | |
| 1.4 | <i>Renovation of building</i> | | | |
| 2 | Promotion and operation of first business portal | | | |
| 3 | Project based development of existing business incubator/business centre | | | |
| 4 | Dedicated support | | | |
| 5 | Project management | | | |

Example 3: Implementation plan on two levels with bar chart

| WP | MAIN ACTIVITIES | Resp. | Start | Finish | 2009 | | | | | | | | | | | | | | |
|-----|--|-------|-------|--------|------|-----|-------|-------|-----|-----|-----|-----|------|-----|-----|-----|--|--|--|
| | | | | | Jan | Feb | March | April | May | Jun | Jul | Aug | Sept | Oct | Nov | Dec | | | |
| | Activity 1: ESTABLISHMENT AND DEVELOPMENT OF PILOT BUSINESS INCUBATOR | | | | | | | | | | | | | | | | | | |
| 1.1 | Sign cooperation agreement | | | | | | | | | | | | | | | | | | |
| 1.2 | Sign the leasing contract | | | | | | | | | | | | | | | | | | |
| 1.3 | Description of selection process | | | | | | | | | | | | | | | | | | |
| 1.4 | Elaborate contract with construction company | | | | | | | | | | | | | | | | | | |
| 1.5 | Perform inspection of the building | | | | | | | | | | | | | | | | | | |
| 1.6 | Approval of paperwork before renovation | | | | | | | | | | | | | | | | | | |
| 1.7 | Revise and finalise list of tenants | | | | | | | | | | | | | | | | | | |
| 1.8 | Renovation of building | | | | | | | | | | | | | | | | | | |
| 1.9 | Elaborate strategy for incubator | | | | | | | | | | | | | | | | | | |
| | Activity 2: PROMOTION AND OPERATION OF FIRST BUSINESS PORTAL | | | | | | | | | | | | | | | | | | |
| 2.1 | Upgrade the referral system | | | | | | | | | | | | | | | | | | |
| 2.2 | Provide assistance | | | | | | | | | | | | | | | | | | |
| 2.3 | Define channels for promotion | | | | | | | | | | | | | | | | | | |
| 2.4 | Secure flow of information | | | | | | | | | | | | | | | | | | |
| 2.5 | Portal promotion in International network | | | | | | | | | | | | | | | | | | |

5. GOAL HIERARCHY

The goal hierarchy is to give an overview of the planned achievements at the various levels and the links between inputs and results. The goal hierarchy is a useful tool for assessing how realistic the project is and how relevant it is in relation to the grant scheme's objective. It will also be useful for the grant recipient in connection with project management and performance evaluation.

There are five levels in the goal hierarchy. A brief description is to be filled in for each. This may be in the form of bullet points.

Clear descriptions of the **goals** make it easier to assess performance. Goals should be precise, measurable and implementable; they should be formulated as a result/outcome, not as an activity. The more precisely they are formulated the greater the measurability.

Indicators show what is to be measured, for example access to primary school. They are to be given a value (e.g. from 87% to 93%) so that goal achievement can be measured in relation to the indicator. Performance can most easily be measured by means of quantitative indicators, but qualitative indicators may also be used. Several indicators may be given for each goal.

Prerequisites (assumptions)/risk factors are to be indicated at levels 3, 4 and 5. What conditions are necessary for the goal to be achieved and to be sustainable? What risks could prevent achievement of the goal? See also section 6. The project's sustainability and risk factors.

For more information see:

Results management in Norwegian Development cooperation (Norad/Ministry of Foreign Affairs)
<http://www.norad.no/en/Tools+and+publications/Guidelines+for+quality+assurance>

6. THE PROJECT'S SUSTAINABILITY AND RISK FACTORS

6.1 Sustainability

Sustainability means that the positive effects of the project will continue after the grant has come to an end. The sustainability elements that are most relevant will vary according the area and theme.

Only in relevant cases it will be necessary to carry out an environmental impact assessment or a conflict sensitivity assessment..

6.2 Risk factors

To some extent there will be risk factors in all projects. The applicant is requested to identify and describe risk factors of relevance to the project goal, and to indicate the actions the organisation has planned to address these factors, i.e. to reduce the likelihood of them occurring, and to reduce their consequences if they should occur.

Corruption/financial irregularities

Corruption is a key risk factor in many projects. Norway has a policy of combating corruption at both national and international level, and zero tolerance for corruption is to be practised. In its evaluation of the application, the Ministry will attach importance to the applicant's account of how corruption is to be prevented and dealt with in the project.

The recipient of a grant from the Ministry is obliged to organise the project in such a way as to prevent corruption, irregularities and the misuse of funds. This means that the recipient must

inform the Ministry without delay of any indication of corruption or misuse of Norwegian funds of which the grant recipient becomes aware during the implementation of the project. Further, the grant recipient is obliged not to accept, in connection with any part of the project, any form of gift, offer, payment or advantage that constitutes unlawful or corrupt practice.

For more information see:

Assessment of Sustainability Elements/Key risk factors (Norad/Ministry of Foreign Affairs)
<http://www.norad.no/en/Tools+and+publications/Guidelines+for+quality+assurance>

6.3 Follow-up

Description of the applicant's exit strategy and any follow-up after project completion.

6.4 Gender and equal rights

Consideration of gender equality, the environment and vulnerability to climate change shall be incorporated in all projects. This implies that the grant recipient shall identify possible negative effects of the project and counteract these throughout the project cycle. Positive gender equality, environmental and climate change components should be integrated in the project or included as additional components.

For more details see:

Action Plan for Women's Rights and Gender Equality in Development Cooperation (Norwegian Ministry of Foreign Affairs 2007)

<http://www.regjeringen.no/upload/UD/Vedlegg/Utvikling/ActionPlanwomensRights.pdf>

The Norwegian Government's Action Plan for the Implementation of UN Security Council Resolution 1325 (2000) on Women, Peace and Security (Norwegian Ministry of Foreign Affairs 2006)

http://www.regjeringen.no/upload/kilde/ud/pla/2006/0002/ddd/pdfv/279831-actionplan_resolution1325.pdf

Norwegian action plan for environment in development cooperation (Norwegian Ministry of Foreign Affairs 2006)

<http://www.regjeringen.no/upload/UD/Vedlegg/Utvikling/ActPlanEnv.pdf>

7. BUDGET AND FINANCING PLAN

Here is only given the general principles for drawing up a budget in connection with an application for a grant from the Ministry. The degree of detail and the categorisation of costs may vary according to the grant scheme and according to the size and complexity of the project. Therefore there is no absolute standard for how the budget should be set out. This guide outlines the general framework that the applicant needs to take into account, and give examples of how a budget may be set up. All the requirements, criteria and priorities of significance for the budget will normally be indicated in the guidelines and announcements regarding individual grant schemes. Any additional requirements will be raised with the applicant in connection with the application process.

The total **project expenses** are to be filled in, where relevant, distributed between the applicant and cooperation partner(s). In addition **overheads** may be filled in, where appropriate, according to the grant scheme. The budget should normally cover the whole project, not just the part that

would be funded by the Ministry's grant. The overview should therefore indicate the **financing plan for the whole project**, including the amounts provided by the applicant and any other sources of financing, and the status for the disbursement of these funds.

Project expenses (direct costs)

Definition: Necessary costs that are incurred by the applicant or cooperation partner(s) and that are directly related to the implementation of the project.

The following types of expenses are normally considered as project expenses (direct costs):

- Wages for personnel (both the applicant's and, where appropriate, the partner's/partners' personnel) who are working directly in connection with the project (these expenses include wages, employers' national insurance contributions, holiday pay, and necessary insurance and pension expenses)
- Fees to consultants and other external resources who are working directly in connection with the project
- Audit of the project accounts
- Travel in connection with the project
- Printing of materials that are included in or deal with the outcome of the project
- Hire of equipment when the hire agreement has been entered into by the project
- ICT services and equipment that is owned or operated by the project
- Security arrangements connected to the project
- Bank fees and guarantees connected to the project

All expenses must be documented on request, preferably in the form of an invoice.

Overheads (indirect costs)

Definition: Costs that are not directly related to the implementation of the project and cannot therefore be included under "Project expenses". These include various services that benefit or support the organisation as a whole and not just this specific project, such as audit of the organisation's total accounts.

Under certain grant schemes, it is possible to apply for funding for overheads amounting to a given percentage of the total project expenses. Whether or not such funding is granted and the percentage that applies will normally be indicated in the *Guidelines and announcements regarding individual grant schemes* or negotiated during the Agreement negotiations.

Overheads incurred by a cooperation partner do not need to be specified separately; the overheads should be calculated for the project as a whole.

Detailed budget

A detailed budget must always be attached to the application, in which expenses are distributed according to cost category. The following categories may be used, unless otherwise specified in the *guidelines and announcements regarding individual grant schemes*:

- Personnel – applicant
- Personnel – cooperation partner(s) (Norwegian)
- Personnel – cooperation partner(s) (other countries)
- Fees for consultants and other external resources
- Travel

- Training, courses, seminars
- Translation and interpretation services
- Procurement (equipment)
- Equipment hire
- Printing/publishing
- Transport and insurance
- Other (specify)
- Administration (project management)

If required in the *Guidelines or announcements* for the grant scheme in question, the applicant should also submit a detailed budget showing the distribution of expenses between the main activities and groups of activities, see section 4 Implementation plan.

Example 4 Budget broken down according to activity

| No | Activity | Yr 1 | Yr 2 | Yr 3+ | Total |
|----|--|------|------|-------|-------|
| 1 | Establishment and development of pilot business incubator | | | | |
| 2 | Promotion and operation of first business portal | | | | |
| 3 | Project based development of existing business incubator/business centre | | | | |
| 4 | Dedicated support | | | | |
| 5 | Project management | | | | |
| | TOTAL | | | | |

Under some schemes, it is important that expenses incurred by the applicant can be distinguished from expenses incurred by the cooperation partner(s), and the distribution between these must be clearly indicated in the budget.

In the case of large, complex projects, the applicant may be asked to draw up a more detailed budget for each activity after the grant has been awarded, but before the project has started. This normally means that expenses must be distributed according to cost category for each activity or group of activities.

Funding may be given to projects with a duration of more than a year (normally maximum three years), subject to approval by the Storting and subject to the political priorities regarding the allocation for the grant scheme remaining unchanged. Applications for funding for a project with a duration of more than one year must indicate the amount applied for each budget year, in addition to the total amount. The budget for the first year must be set out in detail, but the budget for subsequent years may be estimated in more general terms.

Please note that the same structure must be used throughout the project so that financial reports can be compared with the budgets to determine whether expenses tally with the budget and whether the grant has been used in accordance with the approved budget. Substantial changes in the main items of the budget within the total budget framework may only be made with the prior written consent of the Ministry.

8. ADDITIONAL INFORMATION

Any additional information or comments that the applicant considers to be relevant for the evaluation of the application, and that has not been filled in under any of the other sections of the application form, should be filled in here.

9. BANK DETAILS

Grant recipients should open a separate, joint account for all grants received from the Ministry, so that interest on grant(s) can be identified. This does not apply to government recipients or certain international/multilateral organisations that are exempt from the requirement to pay back interest income.

The bank details may either be included in the application or submitted at a later date if a grant is awarded. This may be appropriate if the applicant prefers to wait and see whether the grant is awarded before opening an account.

Only new grant recipients or grant recipients who have changed their bank details need to fill in this section.

10. ATTACHMENTS

Any requirements for attachments in addition to those indicated in the application form will be set out in the *Guidelines and announcements regarding individual grant schemes*.

11. DATE AND CONFIRMATION

If the application is sent by email, signature is not necessary, but place, date and name must be filled in.