

# **Application form user guide**

**EEA & Norwegian Financial Mechanisms  
2004 - 2009**

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## Introduction

This guide for completing the application form for the EEA Financial Mechanism and the Norwegian Financial Mechanism gives advice on the overall application procedure and on the individual points in the application form. By following the procedures described below, the applicant will help streamline the application, ensure that there is a sound basis for an appraisal of the application and speed up the decision-making process.

The financial mechanisms offer several different types of assistance to allow end-recipients in the beneficiary states more flexibility and greater possibilities. Assistance may be awarded in the form of support for individual projects, programmes (groups of projects) or block grants. The different types of assistance are described in the *Rules and Procedures* of the financial mechanisms and in separate *guidelines*. Due to this flexibility, the application should be supported by additional documentation according to the nature of the proposal, with the application form summarising the key characteristics of the operation.

This guide refers to the application form for assistance to individual projects, programmes and block grants. The intermediaries will be in charge of the selection of individual applications under programmes and block grants. This guide does not cover applications for grants under an established programme or block grant. For such applications, the Focal Point is responsible for the implementation of relevant application forms.

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

## Tips and advice

- Study the key documents available on [www.eeagrants.org](http://www.eeagrants.org) and on the website of the relevant Focal Point and make sure that your project meets the eligibility criteria
- Be clear about the objectives of your operation: what, when, why and how
- Demonstrate the need for the operation and demonstrate how it responds to that need
- Base the budget on comparable projects and relevant documentation such as offers, prices, indexes, etc. and be able to justify the costs in question
- Make sure that the application form is fully completed, verify the accuracy of the information given and state the source of information
- Use simple language and avoid using specialist jargon
- Prepare the proposal thoroughly and submit only when ready for financing

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- Contact the relevant Focal Point or the Financial Mechanism Office if you have further queries. All contact details are available on [www.eeagrants.org](http://www.eeagrants.org)

## Application form

The application form is a standard Excel workbook that should be compatible with any version of Microsoft Excel newer than Excel 97. Once the workbook has been opened, there are three sheets (forms) available that can be accessed by clicking the "tabs" at the bottom. (Terms, Applicant, Focal Point). You can move easily through the forms by using the mouse and the scroll-bar at the right side of the screen. The forms cannot be modified except for the fill-in areas. All fields to be filled in are coloured light blue.

To avoid loss of information on the printout, do not exceed the size of the fill-in boxes, even if the application form allows you to type beyond this point.

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

In case of problems or error messages, please contact the FMO Office.

## Submission of applications

Applications are submitted usually only as a response to an open call. The Financial Mechanism Office will only accept applications forwarded by the Focal Points. For information on the submission of applications, please contact the Focal Point of the relevant beneficiary state or consult the Focal Point's website.

## Required documents

- Completed application form (Part I by the applicant and Part II by the Focal Point)
- Supporting documentation

The applicant submits the application to the Focal Point or the authority designated by the Focal Point both in electronic form *and* in hard copy. There should be no changes made to the original settings of the electronic version of the application form submitted. Ensure that the hard copy is identical to the electronic version. However, only the hard copy needs to be officially signed by the applicant. The hard copy should be unbound and all pages must be of A4 size and one-sided. The application form and any necessary and/or required supporting documents forwarded to the Financial Mechanism Office by the Focal Points must be in English.

All monetary units must be in euros and presented as per the following examples:

123 for one hundred and twenty-three

1,234 for one thousand two hundred and thirty-four

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1,234,567 for one million two hundred and thirty-four thousand five hundred and sixty-seven

Only integers should be used and any decimal figures rounded.

***Checklist for submission***

Please ensure that you have fulfilled the requirements listed below before submitting the application to the Focal Point or to the authority designated by the Focal Point:

- The standard format of the application form has been used and no amendments have been made to the text of the form (protected fields).
- The electronic and hard copy versions are identical and include all supporting documents. Please note that only electronic versions in Word, Excel and PDF-formats will be accepted.
- The financial data are in euros, as specified in the open call.
- All inputs to tables containing financial and numerical information are correct.
- The hard copy is duly signed and dated.
- All supporting documents are attached and clearly numbered.

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## **Part I – completed by the applicant**

### **Summary**

Provide a short summary of the information given in this application form (max ½ page).

## **1. Applicant**

Select the beneficiary state from the drop-down menu.

### **1.1 Name and contact details**

Provide the full legal name and the registered address of the applicant. Add the contact address if different from the registered address. 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. It is of utmost importance to provide a contact e-mail address as most correspondence will be in electronic form.

As for the formal signature of the operation, a person clearly identified as a registered legal representative of the applicant must sign the application (see page 20 of this document). The signatory and the contact person do not have to be the same person.

### **1.2 Description of applicant**

Please give a concise description of the applicant (max. ½ page). The description should cover the following key issues:

- brief background of the organisation;
- main activities at the present;
- management and resources (including funding); and
- experience in managing similar operations.

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

The Focal Point will carry out essential checks<sup>1</sup> (accounts, legal and tax status, etc.) under beneficiary state legislation on the eligibility of the applicant. Please attach documents that the Focal Point may need to carry out these checks. The documents needed for the applicant eligibility check vary according to the beneficiary states and accordingly it is not possible to provide exhaustive list of required documents. Please contact the Focal Point in the relevant beneficiary state for further guidance.

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<sup>1</sup> See Part II, section 3.4 of the User guide and of the Application form

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**1.3 How did you first learn about the availability of grants?**

Please select from the drop-down list, how did you first learn about the opportunity to apply for EEA Financial Mechanism/Norwegian Financial Mechanism grants.

**2. Type of application**

One *project outline* may be submitted before submitting a complete application.

If the Focal Point decides to forward a project outline, the Financial Mechanism Office will give a preliminary assessment of the compatibility of the project with Protocol 38a on the EEA Financial Mechanism and/or with the Agreement on the Norwegian Financial Mechanism, the Rules and Procedures and the guidelines based on the outline application. The information given in an outline is expected to be less comprehensive than in a complete application.

For the outline application, the applicant does not have to fill in the following sections of the application form:

- 4.5.3 Implementation arrangements of programmes and block grants
- 5.4 Financial & economic analysis
- 6. Legal issues relevant to the operation
- 7. Publicity
- 10. Supporting documents

For the outline application, the following three sections must be completed, but the information given in the outline could be less detailed than in a complete application:

- 4.4 Objectives and indicators
- 5.1 Grant applied for and total cost of the operation
- 5.2 Budget
- 5.3 Financial resources

For applications submitted as *complete applications*, select the “complete application” from the drop-down menu. A complete application must include all information relevant to the decision-making process of the Focal Point and necessary as a basis of an appraisal to be organised by the Financial Mechanism Office. Accordingly, all parts of the application form must be completed. If the applicant considers a certain part of the form irrelevant for the operation in question, the applicant must state that and explain why this is the case.

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### **3. Type of project assistance**

The EEA Financial Mechanism and the Norwegian Financial Mechanism provide different types of project assistance:

#### **Individual projects**

An individual project is an economically indivisible series of works fulfilling a precise technical function and with clearly identifiable aims. An individual project may include one or more sub-projects. All elements of the individual project, including any sub-projects, must be clearly identified for appraisal at the outset.

#### **Programmes (groups of projects)**

A programme is a co-ordinated portfolio of separate projects developed and delivered by a representative partnership and aimed at achieving common spatially/sectorally/thematically defined objectives. They are intended to facilitate the implementation of more comprehensive and cost-intensive strategies.

A programme consists of component projects linked by a common theme or shared objective proposed at the regional, sub-regional or local level, or target specific national themes. Programme applications shall give a detailed and comprehensive account of all aspects of the proposed programme; its main objectives, an indication of the project activities that will form the programme and a delivery plan with proposed implementation arrangements including criteria and procedures for selection of component projects. Programmes are implemented by programme intermediaries.

#### **Block grants**

A block grant is a fund, set up for a clearly defined purpose that may be used to provide assistance to individuals, organisations or institutions. Block grants are intended to facilitate the implementation of projects where each sub-project or end recipient is too small to be identified a priori or to be administered cost-effectively on an individual basis. Block grants are implemented by a block grant intermediary. Block grant applications shall include the proposed selection criteria and procedures for approval of grants. The applicant is requested to specify the type of block grant by choosing the appropriate block grant category from the drop-down list.

For further details on different types of project assistance, visit the *guidelines* available on [www.eeagrants.org](http://www.eeagrants.org).

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## **4. Description of the operation**

### **4.1 Title of the operation**

The title of the operation should be descriptive, practical and short. The title could refer to geography, purpose (keywords), timeframe, etc.

### **4.2 Background and justification**

Explain the origins of the operation and outline *why* it is being undertaken. Seek to explain as clearly as possible the main problem identified. Is the operation an independent part of a larger operation or overall strategy? If yes, explain the links.

The overall strategy or relation with other operations may in some cases cross national borders. If so, detail the international issue(s) and the countries to be covered by the operation.

### **4.3 Activities and schedule**

Give a concise description of *what* is proposed and *when* and *how* it will happen.

List an indicative activity schedule estimating start-up, duration and completion of activities. Define the activities and assign a monetary value to each of them. Completion of an activity, or a clearly measurable part thereof, is among the conditions for disbursements. The activity schedule and the monetary value must correspond to the budget in section 5.2.

Describe the approach and briefly explain why the proposed approach has been chosen.

Give relevant details of the geography of the operation (national, regional, county or sub-region, town/area or any other) and attach a map when necessary. Describe the target group(s) of the operation.

Please attach a feasibility study if applicable. A thorough feasibility study may in several cases be necessary in order for a proper appraisal to be possible. The complexity, size and type of operation must be taken into account when deciding the need for the feasibility study. If no feasibility study is considered to be necessary, the reasons must be stated. For a reference on the content of a feasibility study, see section 2.3 and annex G in the *Guide to cost-benefit analysis of investment projects (Structural Fund-ERDF, Cohesion Fund and ISPA)* by the Evaluation Unit, DG Regional Policy, European Commission ([http://www.eeagrants.org/downloads/Other/CBA\\_guide.pdf](http://www.eeagrants.org/downloads/Other/CBA_guide.pdf)).

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**4.4 Objectives and indicators**

Three levels of objectives should be identified in the table in the application form: Results, Purpose and Overall Objective. **Results** are the direct product of an operation, such as square meters of building refurbished, numbers of training places created, businesses advised, etc. **Purpose** is the projected outcome of the operation, such as new business start-ups, reduced pollution, increased visitor expenditure, gross jobs created, etc. **Overall objective** is the consequence of the operation beyond the immediate effects to its direct beneficiaries.

Whenever possible, the applicants should provide quantifiable targets for indicators for Results and Purpose. If overall objective indicator targets can be assigned realistically, then this should be done as well.

In order to provide a basis for follow-up and evaluation, the applicant should also provide the baseline, i.e. status prior to the implementation of the operation, for each of the indicators or make a clear proposal as to how these will be identified within the lifetime of the project. If needed, applicants may provide further verbal explanations on baselines.

	Description of objective	Indicators (max three per objective)	Baseline (Indicator value at project start)
<b>Overall Objective</b> (long-term effects)			
<b>Purpose</b> (direct and immediate effects)			
<b>Results</b> (goods and services produced)			

In order to further illustrate the use of indicators and how to fill in the above table, *examples of indicators* grouped according the priority sectors of the EEA Financial Mechanism and the Norwegian Financial Mechanism are available at [www.eeagrants.org](http://www.eeagrants.org).

The objectives and the indicators are linked together using assumptions in the logical framework concept. The logical framework should be completed and attached to the

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application with all necessary documentation. The table below gives the overall structure of the logical framework.

<b>Operation Description</b>	<b>Indicators</b>	<b>Source Verification</b>	<b>Assumptions</b>
<b>Overall Objective</b> – The operation’s contribution to policy or overall strategies objectives (impact)	How the Overall Objective is to be measured, including Quantity, Quality, Time?	How will the information be collected, when and by whom?	
<b>Purpose</b> – Direct benefits to target group(s)	How the Purpose is to be measured including Quantity, Quality, Time?	As above	If the Purpose is achieved, what assumptions must hold true to achieve the Overall Objective?
<b>Results</b> – Tangible products or services delivered by the operation	How the Results are to be measured, including Quantity, Quality, Time?	As above	If the Results are achieved, what assumptions must hold true to achieve the Purpose?
<b>Activities</b> – Tasks that have to be undertaken to deliver the desired results			If the Activities are completed, what assumptions must hold to deliver the Results?

The above chart has been adapted from the European Commission publication on Project Cycle Management Guidelines which can be downloaded from the following link [http://www.eeagrants.org/downloads/Other/Project\\_cycle\\_management\\_guidelines\\_2004.pdf](http://www.eeagrants.org/downloads/Other/Project_cycle_management_guidelines_2004.pdf). This document also serves as a further methodological guide.

## **4.5 Management**

### **4.5.1 Partnership**

It should be indicated whether the application is made with respect to a partnership. If so, provide the names and contact details of the partners. The partnership arrangements should be explained briefly (for example description of specific management arrangements such as creation of a management company). Attach a copy of any partnership agreement(s) that may be applicable. There must be one lead partner that will be the applicant and responsible for the operation. The lead partner must be a legal entity in the beneficiary state.

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**4.5.2 Management structures during the implementation, including financial management**

Describe the co-ordination and management structure of the operation. Outline clearly the structure, responsibilities and procedures for the management and co-ordination of the operation. If needed, you can illustrate the management structures in an organisational chart or flow-chart and attach it to the application. The description should include a brief explanation on the arrangements in place for the financial management of the operation, including arrangements for reporting, monitoring and auditing.

**4.5.3 Implementation arrangements of programmes and block grants**

The application should describe the implementation set-up suggested for the programme/block grant. Explain the selection process (open calls for proposals, assessment arrangements and criteria, partnership work, etc.) of component projects/sub-projects as well as the arrangements foreseen for monitoring of the promoters of component projects and of the end-recipients. Explain the arrangements foreseen for reporting by the promoters of component projects/the end-recipients to the programme intermediary/block grant intermediary. Describe the arrangements foreseen for auditing. Note that the description of the implementation arrangements is an essential part of the application in case of programmes and block grants. If needed, you can further illustrate the arrangements by charts/diagrams and attach these to the application form.

**4.6 Technical/technological aspects**

If applicable, describe in detail why the proposed technological approach has been chosen. A demonstration of the use of “best available technology” should be included when relevant. This description may be part of the feasibility study.

If a technological solution has not been chosen, then the measures to safeguard the best choice for the operation should be outlined.

**4.7 Other grant applications made**

**4.7.1 Seed money**

Please state if the development of the operation has been part-financed with seed money or other forms of 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.

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**4.7.2 Other applications made with respect to this operation**

Explain whether applications to other donors (the EU, international financial institutions or others) have been made with respect to the operation in question or with respect to other operations closely linked to this operation. 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) from the donor(s).

## **5. Budget and financial resources**

### **5.1 Grant applied for and total cost of the operation**

The total eligible and non-eligible expense in euros and the amount of the grant applied for are carried forward automatically from the sheets budget and financial resources. These sheets are found respectively under section 5.2 and 5.3 of the application form. The total expense of the operation, as well as the grant as a percentage of the eligible expense and non-eligible expense as a percentage of total expense is calculated automatically (for example: total expense equals to 3,000,000 euros of which eligible expense is 2,500,000 euros; grant applied for is 1,500,000 euros; grant rate as % of eligible expense equals to 60 %, and non-eligible expense as % of total expense equals to 16.7 %).

The applicant is not required to indicate whether she/he applies for a grant from the EEA Financial Mechanism and/or the Norwegian Financial Mechanism. The Focal Point will decide which source the application should be addressed to (reference, part II section 5 in this application form).

Tick off whether the project is revenue-generating or not. In case of a revenue-generating operation, you should complete the revenues table in 5.1 with the expected revenues and operating expenses during the economic lifetime of the project. All the other figures are calculated automatically. The standard profit margin is predefined, it equals to the previous year's average of monthly average 10 years Government bond interest (or equivalent) in the beneficiary state + 2 %. For further details on revenue generating projects, visit the *Revenue generating projects Guidelines* available on [www.eeagrants.org](http://www.eeagrants.org).

### **5.2 Budget**

Before completing the budget provided in the application form, indicate the exchange rate used in the budget preparation, and select the first year of the operation from the drop-down menu in section 5.1. Beneficiary states which do not have euro as their currency shall in the open calls for proposals state a fixed exchange rate for the national currency and the euro to be used by applicants. The applicants shall convert the financial

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figures into euros, applying the rate which has been announced in the open call. For further details on the exchange rate, visit the *Open Call Guide* available on [www.eeagrants.org](http://www.eeagrants.org).

The budget should demonstrate **financial sustainability** (i.e. demonstrate that the operation does not run the risk of running out of money). Note that the timing of fund receipts and payments may be crucial in implementing the operation. The applicant should show in the operation's time schedule how the cash outflows (payments, expenses) are financed with cash inflows. The cash inflow in the application comprises of disbursements from the financial mechanisms and cash co-financing. A breakdown of cash inflows should be shown under section 5.3 in the application form. Financial sustainability occurs if the accumulated cash flow is more than or equal to zero for all the years considered. Completing the financial resources sheet in 5.3 will automatically update the net cashflow and accumulated cashflow in the budget sheet.

Only eligible outflows (payments, expenses) should be included in the spreadsheet. 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. For further details on this type of expenses, visit article 2.5 in the Individual Project guideline, Block Grants guidelines and Programmes (group of projects) guideline. If the expenses cannot be described under any of the categories already included in the 'Cash Eligible Expenses' section, you may include a maximum of five other descriptions

The total eligible expense might include an in-kind contribution pursuant to article 1.1.5 in the *Detailed Eligibility Provisions guideline*. Show this in-kind contribution in the 'In kind Eligible Expenses' section, and describe the nature of it. Please note that the value of in-kind contribution included in this part of the budget must equal to the value of total in-kind contribution co-finance in table 5.3.

Define and explain the non-eligible expenses directly linked to the operation. The eligibility of different types of expenditure is defined in the *Detailed Eligibility Provisions* ([www.eeagrants.org](http://www.eeagrants.org)).

### **5.3 Financial resources**

The financial resources should represent a breakdown of the financing of the operation. The applicant must show in the operation's time schedule how eligible outflows (expenses) are going to be financed. Co-financing and possible in-kind contributions must be described, justified and evidenced.

A clear distinction is needed between co-financing sources allocated in the central, regional and local government budget, and other sources of co-finance, as it has an important impact on the grant rate.

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An advance payment of up to 10 percent of the total grant from the financial mechanisms may be made if justified by the applicant and deemed necessary by the Financial Mechanism Committee and/or the Norwegian Ministry of Foreign Affairs. The 10 percent ceiling applies to Individual Projects and Programmes. Block grants may in part be made as advance payments. A request for an advance payment and its justification must be included in this section, if an advance payment is desired.

#### **5.4 Financial & economic analysis**

Financial and economic analyses should be attached if applicable. These analyses could be part of the feasibility study. The complexity, size and type of the operation should be taken into account when considering the type of analysis to carry out. The purpose of the financial analysis is to use the operation's cash flow forecasts to compare the actual costs of the project with the revenues generated by the operation. The financial analysis is of particular importance for revenue-generating operations.

The economic analysis assesses operations from the point of view of society as a whole. The methodology behind the financial & economic analysis should be explained. For reference please see the *Guide to cost-benefit analysis of investment projects* (Structural Fund-ERDF, Cohesion Fund and ISPA) by the Evaluation Unit, DG Regional Policy, European Commission

([http://www.europa.eu.int/comm/regional\\_policy/sources/docgener/guides/cost/guide02\\_en.pdf](http://www.europa.eu.int/comm/regional_policy/sources/docgener/guides/cost/guide02_en.pdf) ).

#### **5.5 Additional benefits**

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

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## **6. Legal issues relevant to the operation**

### **6.1 Compliance with EU legislation**

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

- competition regarding state aid
- public procurement rules
- environment

If the operation involves state aid aspects, give details such as the amount of state aid, whether *de minimis* rule applies, whether the state aid is registered in a scheme or on *ad hoc* case, number of notification, reference to the letter of approval by the Commission, etc. EU legislation related to state aid is a complex issue and applicants are advised to contact the Focal Points for guidance if needed.

As for public procurement, a general statement on the arrangements foreseen should be attached, and a general description of types of contracts (e.g. studies, works, supplies or services) and the award procedures may also be added.

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

### **6.2 Implementation of the EU legislation**

If the operation has been developed with the aim of contributing to the implementation of certain EU legislation, then specify the Directive or Regulations in question.

### **6.3 Legal challenges or procedures**

State whether the successful implementation and completion of the operation 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, please provide the relevant details.

### **6.4 Certificates and permits**

Any national/local permits/certificates required before and/or during the implementation of the operation must be listed. Provide a clear reference that explains the type of

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permit/certificate and any reference number as well as the date on which the permit/certificate was obtained or will be obtained.

## 7. 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 (please check that it is the same as in the detailed budget breakdown) and responsibility for implementation (ref. *Publicity Guidelines*). If the space provided in the application form is insufficient, attach the publicity plan to the application form.

## 8. Risks and risk management

Generally, any operations 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. It will typically include, but not be limited to, 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).

## 9. Cross-cutting issues

Cross-cutting issues address various values/aspects of the operations relevant for all sectors, and are important in relation to the quality of the application.

The applicant must consider cross-cutting issues when applying for grant assistance and provide information in the application on cross-cutting issues relevant to the operation.

### 9.1 Sustainable development

Sustainable development integrates the environmental, economic and social dimensions of human endeavour into a single, comprehensive concept.

#### 9.1.1 Environmental<sup>2</sup>

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

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<sup>2</sup> Compliance with EU legislation, section 6.1 of the application form

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impact assessment must be attached. Does the operation respect the principles of preventive action?

#### **9.1.2 Economic<sup>3</sup>**

Describe how the long-term economic viability of the operation will be ensured. *How, when and by whom* will the results be used. How will the purpose of the operation be maintained? Explain how operating and maintenance costs will be covered after the implementation has been completed. How will the “polluter pays” principle be implemented if relevant?

#### **9.1.3 Social**

##### *Social dialogue*

In what way does the operation contribute to the ‘social dialogue’ (meaning both the dialogue between the trade unions, employers’ associations and government, as well as the dialogue between government, local government and civil society organisations)?

##### *Social advantages/disadvantages*

Summarise possible social benefits or advantages such as the inclusion of disadvantaged groups, including direct involvement in project design, or summarise possible social disadvantages and how they will be rectified.

#### **9.2 Gender equality**

In what way does the operation contribute to gender equality, participation and empowerment?

#### **9.3 Good governance**

The characteristics of good governance have to a large extent already been covered in the different sections of the application form (e.g. accountability in 5, transparency in 7, participation in 9.1. and 9.2.). Describe the characteristics of good governance relevant to the operation.

#### **9.4 Bilateral relations**

If relevant, state how the operation contributes to the strengthening of relations between the EEA EFTA states and the beneficiary state.

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<sup>3</sup> Financial sustainability also addressed in 5 of the application form

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## **10. Supporting documents**

The relevant supporting documents should be ticked off. Any supporting documents not identified in the standard list should be listed. Number the supporting documents clearly. Only documents that are necessary for the Financial Mechanism Office to understand the project and appraise the substance of the application need to be included. All supporting documents must be provided in English to the Financial Mechanism Office.

## **11. Signature**

The application form must be signed by a person with the designated authority in the applicant organisation. The signature shall be original (signature stamps, persons signing on others' behalf, 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 application (letter of authority for person signing the application).

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## **Part II – completed by the Focal Point**

Part II is completed by the Focal Point of the beneficiary state in question intended, and the guidance below is therefore for the Focal Points. As for the technical guidance on the submission of the application, the same rules as outlined on pages 4 - 6 of this document apply. The Focal Points shall submit the applications electronically to [apf@efta.int](mailto:apf@efta.int) and by post to Financial Mechanism Office, c/o EFTA Secretariat, Rue Joseph II 12 - 16, B-1000 Brussels, Belgium.

As for the outline application, the Focal Point does not have to fill in the following sections of the application form:

- 3.4 Applicant eligibility check
- 3.5 Signature
- 3.6 Reasoned opinion by the Focal Point given on (date)
- 4 Reasoned opinion

### **1. Beneficiary state**

#### **1.1 Beneficiary state**

The name of the beneficiary state is carried forward from section 1 of the form filled out by the applicant.

#### **1.2 Focal Point**

State the name of the Focal Point (institution) in the beneficiary state.

### **2. Type of applicant**

Select the type of applicant from the drop-down menu, as appropriate.

### **3. Processing of the application by the Focal Point**

#### **3.1 Open calls**

Was the application submitted through an open call for proposals? If not, explain why an open call for proposals was not deemed appropriate?

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**3.2 *Application received***

Provide the date on which the (outline) application was received.

**3.3 *Registration number***

State the registration number given to the (outline) application.

**3.4 *Applicant eligibility check***

Provide the date on which the applicant eligibility check was carried out by the Focal Point. Prior to submission of a complete application, the Focal Point must carry out essential checks (accounts, financial status, legal and tax status, etc.) under beneficiary state legislation on the eligibility of the applicant. The Focal Point shall certify that the applicant is a legally established entity under the laws applicable in the beneficiary state.

**3.5 *Signature***

The Focal Point shall certify that the person signing the application is duly authorised by the applicant to do so.

**3.6 *Reasoned opinion by the Focal Point given on (date)***

Give the date on which the reasoned opinion was given.

**3.7 *Application forwarded to the Financial Mechanism Office on (date)***

Provide the date on which the (outline) application was forwarded to the Financial Mechanism Office. Explain any extraordinary delays between the dates of receipt/application eligibility check/date on which the reasoned opinion was given/date of submission to the Financial Mechanism Office.

**4. Reasoned opinion**

The Focal Point provides a reasoned opinion on all applications. The Focal Point must verify that the operation is in compliance with EU legislation. The Focal Point should describe the main findings of its examination of each application. The reasoned opinion should outline clearly the reasons why the Focal Point deems that the operation should receive grant support from the EEA Financial Mechanism and/or the Norwegian

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Financial Mechanism. In addition to statements relating to the quality of the proposed operation, the reasoned opinion should also provide a statement on how the operation is linked to the overall strategies of the beneficiary state in question and how it will contribute to the overall aim of the EEA Financial Mechanism and the Norwegian Financial Mechanism. The reasoned opinion should also verify that the operation has the support of the relevant authorities both during the implementation and if relevant, after the implementation.

The purpose given by the applicant in Part I, 4.4 should be put in a local, regional and national perspective whenever possible. This information is important for possible future revisions of priority sectors and for statistical purposes at the end of the programme. The following example is intended for further clarification:

- A specific objective in a proposal is to treat 10,000 tonnes of biological waste per year. How much biological waste is generated at a local/regional/national level?

If the Focal Point does not possess this information, it should request it from the relevant sectoral authority in question.

If the project has an international element or is depending on or linked with other projects in other countries, a description must be added about how these relations are secured and coordinated. This may imply a coordinated approach between two or more beneficiary states.

(The reasoned opinion should not be longer than two A4 pages).

## **5. Source of grant**

The beneficiary states and the Financial Mechanism Office must closely coordinate the use of the EEA Financial Mechanism with the use of the Norwegian Financial Mechanism. The Focal Point and the Financial Mechanism Office must at any time have a full overview of the level of commitments and available funds for the two mechanisms. An operation, as far as it falls under the priority sectors common to the two mechanisms, can be co-financed by the two mechanisms. The rules regulating grant rates and co-financing must be followed.

## **6. Priority sectors**

As for the priority sectors, the Focal Point must indicate the main sector that the operation covers (select the appropriate sector). The operation could cover other sectors in addition to the main sector. If the operation covers several sectors, the Focal Point must estimate the extent to which the operation covers those sectors (percent). The Financial Mechanism Office is aware that such estimates can only be indicative and that the estimates made for different operations may not be fully comparable. The detailed

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budget breakdown and/or the objectives of the operation should give a good basis for the estimate. Ensure that the total at the bottom of the table adds up to 100%.

**For example**, if the operation mainly benefits the priority sector “Protection of environment” (70%), but also covers partly “Human resource development” (30%), the table in the application form would be filled in as follows:

%	Common priorities of the EEA Financial Mechanism and the Norwegian Financial Mechanism
70 %	Protection of environment
0 %	Promotion of sustainable environment
0 %	Conservation of European cultural heritage
30 %	Human resource development
0 %	Health and childcare
0 %	Implementing Schengen/Strengthening the judiciary
0 %	Environment, administrative capacity, acquis, investments municipal waste
0 %	Regional policy
0 %	Cross-border activities
0 %	Technical assistance acquis communautaire
0 %	Academic research related to one or more of the above priority sectors
100 %	<b>Total</b>

Further explanations can be given as appropriate. As for related academic research explain which priority sector(s) the operation covers and estimate the percentage of relevance for each priority sector (if more than one).