Guide to Completing the Application for Project and Program Funding – Norwegian and International Civil Society Organizations

(Last updated: 25.09.2015)

Application form must be completed and sent electronically to Norad at postmottak@norad.no within the deadline published on norad.no

- **From 2015 and onward, the previous budget posts and grants schemes for *Democracy Support, International Organizations, Rights of Minorities of Faith and Belief* are collected in one overall grant scheme.**
- **Norad is designing a common set of rules for the entire grant scheme. Special conditions for the various sub-units are specified in separate announcements on Norad.no.**
- Note that prior to applying for ***program*** funding, organizations must be approved by Norad for this type of agreement.
- The application form consists of two parts:

  Part 1: Organization Information and Overall Description of Initiative.

  Part 2: Information about the organization's initiatives including a budget summary. A copy of Part 2 must be completed for each initiative (project / program)
- Mandatory attachments are listed in Part 1. Do not attach documents that Norad does not specifically ask for.
- Please fill out the form precisely and answer all questions.
- Be concise and avoid repetition.
- Consider which information is relevant.
- Before filling out the application form, please also read Norad's *Rules for Support to Civil Society Actors* (revised rules will be published in short time) and *Principles for Norad's Support to Civil Society in the South* (available on Norad's website).
- **Questions about the application / guide may be directed to post-sivsa@norad.no. This guide will be updated when necessary.**

Incomplete applications and applications missing mandatory attachments will be returned without review.

PART 1 – Organisational Information and Overall Description of Initiative.

Type of development initiative (choose one):

Program agreement: Prior to applying for program funding, organizations must be approved by Norad for this type of agreement. Program agreement are subsidies given to large and medium sized organizations with extensive initiatives in several countries.

Project agreement: Application for project agreements for 1-4 years duration. An application may include several initiatives and projects.

1. Summary of Initiative

Name of Initiative (English): Write the initiative's name in English. The name must cover the entire portfolio of the application

The initiative's geographic scope (countries / regions): List all countries where initiative(s) will be implemented

Total amount applied for (NOK): Field in application form is self-explanatory

Duration (year-year): Field in application form is self-explanatory.

Sector / Thematic area: Specify only one sector / thematic area

New initiative / Continuation of previously funded initiative with Norad agreement number, specify: Remember to enter the agreement number if this is a continuation of an initiative

Short description of the initiative: Short description for use in statistical context.

2. About the applicant: "Applicant" refer to the organization seeking grants. The terms "applicant" and "organization" are used interchangeably in the forms

2.1. Contact information: Ensure that the contact information is correct.

2.2. Type of Organization: Tick the type of organization or specify if none of the choices fits. If the organization is a Norwegian foundation, it must be registered in the Foundation Registry ("Stiftelsesregisteret") in Norway.

2.3. Description of the Applicant

Short description of Applicant: It is important that the applicant organization has a democratic form of government. The positions of CEO and Chairman must be seated by two different persons, and the organization must strive for gender equality in key offices and positions. Additionally, please inform about the support and position the applicant organization holds in Norway. Which activities take place in Norway? This information should as far as possible be documented, for example by showing figures on how many members/supporters the organization has in Norway or by referring to cases where the organization received support / obtained results through engagement, campaigns or other activities.

Short description of the applicant's financial situation: Please attach the accounts for the previous five years to the application. This is for Norad to be able to evaluate the applicant organisation's finances. How much of the expenditures goes to aid and how does the applicant finance the aid initiatives? In this part, Norad requests a list of all grants received from the Norwegian Ministry of Foreign Affairs, Norwegian Embassies, Norad and through other Norwegian organizations, such as umbrella organizations. The question may be answered with a chart, preferably as an attachment to the application. For umbrella organizations this question must be answered with a list of member organizations. Please also describe how funds are collected in Norway - beyond the grants from those mentioned above. Also, remember to list the name(s) of auditor(s) used and inform how long the organization has used this/these auditor(s).

Short description of the applicant's technical profile and competence: What kind of professional development expertise does the organization have and how will the organization use this expertise in the activities for which funding is applied? Does the organization collaborate with external professionals, nationally or internationally (such as other organizations, researchers, consultants or others)?

Applicant's internal routines:

- Anti-corruption routines: Fields of application form are self-explanatory.
- Procurement routines: Fields of application form are self-explanatory.
- Financial guidelines: Here we refer to the financial guidelines the grant recipient has developed for their partner organizations, or partner organizations' own guidelines. Financial guidelines describe the organization's financial decision-making, financial management system, accounting procedures, procurement routines and attestation procedures.

What decision-making processes will be used during the implementation of the initiative? Who will make decisions? Describe the proceedings and decision-making processes in the development cooperation activities. Who (which organizational units/sections/positions) at the Applicant organization has the project responsibility and who has decision-making authority? Are decisions made by individuals or taken by several people jointly? Please describe the relationship between the managing director (CEO) and the board in decision-making processes. It is also relevant to discuss the structure of development cooperation activities at the applicant organization (e.g. via an organizational chart showing division of responsibilities between local partners, the international headquarters, offices abroad/local representatives etc.).

Short description of applicant's overall strengths and weaknesses: Includes assessment of technical and organizational aspects.

Describe applicant's systems for result-based management (monitoring), evaluation and lessons learned: Please give a brief description and assessment of the systems the organization has for result-based monitoring and evaluation, including establishment of baseline data, development of goals with indicators and targets, and analysis of data.

Describe applicant's financial management systems, including routines for field visits: A brief description of the systems for financial management at the headquarters, and, if relevant, in the field / at the local partner. Which policies, practices, methods and technical resources are used? Note that the question is directed to the applicant organization's own quality assurance and financial control. Please provide a comprehensive overview of financial management for the whole value chain, from partner organization to grant recipient. It is important for Norad to understand the methods used in field, as well the grant recipient's routines to ensure economic control. Partner organizations' "Guidelines for procurement" are an important guideline for economic control, and should be included.

Describe applicant's systems for choosing partners and plans for capacity building of partners: Describe systems and processes for the selection and assessment of partner organizations. Are there concrete plans for capacity building of partners? If so, how does the applicant organization develop those plans, and how does the organization involve the partners in the preparation of those plans?

2.4 **Has the applicant previously received funding from Norad or the Norwegian Ministry of Foreign Affairs (MFA) including via Norwegian embassies?** Field in application form is self-explanatory.

2.5. **Has / will the applicant apply for other funding from Norad or MFA (including embassies) in the following year?** Field in application form is self-explanatory.

2.6. **Umbrella / network organizations:** This question should only be answered by umbrella / network organizations. The purpose is to acquire a clear picture of the secretariat's added value and their expertise in professional/technical and administrative matters, and of how the umbrella / network organization cooperates with their member organizations in these areas.

4. Mandatory attachments

Please tick and enumerate the attachments. If the applicant organization is applying for several initiatives, please remember to fill out the right number of "Application Part 2" forms, result frameworks and budgets (one copy per initiative).

Attachment 1: Application Part 2 for country / project / program: Remember one copy for each initiative (project / program).

Attachment 2 and 3: Results Framework / goal hierarchy

The application must include a results framework / goal hierarchy. Larger initiatives (programs) may provide an overarching goal hierarchy that focuses on outcomes and impact, and several minor results frameworks covering activities, outputs, outcomes, impact and indicators with corresponding baseline data and targets for individual projects / countries (possibly, one result framework for each Part 2). The goal hierarchy will form the basis for reporting to Norad. The results framework must contain:

• Target group: Every initiative must have one or more target groups. The applicant organization must clearly define where and among whom they expect a change. This may be included in the formulation of impact (see next item). In larger and more complex initiatives (programs), it may be appropriate to go into more detail on target groups.

• Impact: The initiative's overall development goal – What will the initiative contribute to in social development in the long term? It is not necessary to develop indicators for development goal.

• Outcomes: Outcomes are the intended, intermediate effects on the target group(s). The outcome description must highlight which target group will benefit from the changes, this also includes cases where the goal is to change framework conditions (such as normative work, new laws, ratification of conventions, establishment of institutions etc.) Be as specific as possible in the formulation of outcomes. It is necessary to specify indicator(s) with targets and corresponding baseline values for outcomes.

• Outputs: Outputs are normally quantitative results; products or services which are relevant for the achievement of outcomes. Outputs are actually the short-term products of completed activities. The differences between an activity and an output is that while an activity is an action (e.g. "To plan or to arrange"), an output is the result of that action (e.g. "A seminar"). Make clear in the results framework which products / services (outputs) belong to which initiative (project / program) (if there are several). Indicators with targets and associated baseline value(s) should be established for each output.

• Indicator: It is necessary to develop indicator(s) for all outcomes and outputs. Specify which indicators belong to which output / outcome. An indicator shall be a variable, i.e. it must be able to measure movement / change. The applicant organization chooses a few relevant indicators for each outcome / output that say something significant about the program the organizations will report on. The applicant organization will report on the results achieved at end of agreement period using the targets for the indicators.

• Baseline data: Starting values for each indicator in the results framework. The purpose of a baseline is to describe or measure the situation prior to the development intervention, against which progress may be assessed or comparison made. Normally, therefore, the initial step in setting targets is to identify the baseline. See also below for more information on requirements for baseline data.

• Targets: Expected indicator values for a specified period and / or at the end of the initiative. Targets must be established for each indicator in the results framework.

• Means of verification: Information Sources. Where and how will the information be collected? How often? Who is responsible for collecting information?

In the results framework there are different requirements for baseline and indicators for continuation of previously funded initiatives and for new initiatives. If the required level of description of the underlying problem to be addressed and baseline data are not included in the application, the application may be rejected.

Requirements for continuation of previously funded initiative: Initiatives that take place within a limited geographical area with defined objectives.

- Applications must describe the underlying problem to be addressed and related baseline data.
- Baseline data for the next project / program period can be gathered as part of the results measurement and evaluation of the current support period.
- The baseline can be based on information from the last results measurement before the application deadline (for example in connection with a periodic performance report).
- The baseline should be updated between periodic reports and a final report if new results measurements are made.
- If your organization wants to change the indicators for a project / program, you must justify this and ensure that relevant baseline data is in place in the application for the new project / program period.

Requirements for new initiatives: Initiatives in a geographic area where the organization has not previously worked with the target.

- The application must describe the underlying problem to be addressed.
- Establishment of a baseline may take place during the project's first phase, but the baseline should be in place within six months from when the contract is signed with Norad. This data collection can sometimes be time consuming and costly, but must be proportionate to the initiative's size and

complexity. For new initiatives, organizations should be prepared to contribute 50 percent of the funding required for the above-mentioned activities. The budget for baseline studies should be stated in the application.

- The second disbursement will be withheld until baseline information has been added to the results framework, and this updated framework has been approved by Norad.
- Please refer to Norad's *Results Management in Norwegian Development Cooperation - A Practical Guide* for further description. There are also two template examples that can be used in creating a results framework on Norad's website. See: *Results Monitoring Framework Template.*

Attachment 4: Applicant's overall strategy, other relevant strategies: Field in application form is self-explanatory

Attachment 5: Detailed budget (one per country / initiative), include narrative explanation of budget posts:

The budget should preferably be set up by main activities / outputs as described in the program plan, and a breakdown by cost types must be provided. Examples of cost types that should be made visible are investments, personnel costs, use of consultants, seminars, office expenses, travel and professional follow-up. The budget must contain enough details so that it is possible for Norad to consider and compare cost levels and relevance. Information about quantity and unit price must be stated in the budget.

Attachment 6: Applicant's annual report / financial statement/ audit report for the previous year, (including management letter if relevant): Field in application form is self-explanatory.

Attachment 7: Applicant's statutes: Field in application form is self-explanatory.

Attachment 8: Applicant's declaration on ethical guidelines: Fields in application form is self-explanatory.

Attachment 9: Applicant's declaration regarding travel safety protocol: Field in application form is self-explanatory.

Attachment 10: Statistical Excel form for applicant's Norad portofolio *(only for Norwegian organizations with cooperation agreements and International NGA by invitation from Norad)*: Field in application form is self-explanatory

PART 2 - Country / Initiative

(Remember one copy for each initiative (project / program)

1. Context – Country and Initiative

If appropriate, It is possible to have a common description for several projects to avoid repetition. Optionally, refer to the section where this has already been described.

Country: One initiative may include several countries (for example in cases of regional / thematic efforts).

Context Analysis / rationale for priorities and choices made in overall initiative plan: The description of the current situation, which will form the basis for development of the initiative, must include the variations in each country that the program includes (if the program includes several countries). If applicable, please describe how big the problem is in each country the program includes, or if the problem has a special character in the different countries. Describe how the program relates to relevant national (may also be global or regional) plans. Please, use only the most important and relevant baseline data in your answer. The answer should provide a basis for understanding why the applicant organization chooses to work in a certain way (strategy) and in a particular country / specific countries. The answer must be based on a problem analysis, and demonstrate why the chosen initiative is important and relevant, and why the applicant organization and local partners are appropriate actors to contribute with good solutions. What are your/their advantages? A solid understanding of context is crucial. Please make clear how the planned products and services or remedies will help to solve the problem (show the link between "product" and "problem to solve" in the result chain). If this is an ongoing program (or your organization has previous experience from work in the same field), please use past results/outcomes, lessons learned and experiences on "what works" to justify why you have chosen the strategies described above.

Summary of planned activities: Give a brief summary of the initiative.

Relevance to goals of grant scheme: Describe how the initiative is in accordance with Norad *Grant Scheme Rules for support to International Organizations and Networks*. How does the initiative contribute to strengthening civil society? Please use/refer to *Principles for Norad's Support to Civil Society in the South*, white papers on development conditions/cooperation, annual budget proposition (Proposition 1 S) and current thematic action plans and strategies.

2. About Initiative

2.1. Cooperating Partner(s) (if more than one partner, use attachments)

Name of partner (including abbreviation if relevant): Field of application form is self-explanatory.

Legal status of partner: As with the applicant organization, the local partner must also be a legal entity in the country where the project is implemented.

Short description of partner (size, number of members, management structure, year of establishment, financial foundation, technical expertise, membership in networks, cooperation with local government): type of organization, location in the country where the project will be implemented, brief description of their achieved results, etc. As regards to local partner's economy, please provide an overview of revenues, expenses, assets, equity, where the revenue comes from, if partner previously has managed public funds, etc.

Applicant's experience with partner, rationale for choice of partner and duration of the partnership: When did the cooperation start, and why did you select this exact partner?

Description of division of labor between applicant and partner (the added value each bring), including during planning process: It is important to account for the local partner's tasks, roles and responsibilities in the project. Normally the local partner will be responsible for the actual implementation of the project. However, the applying organization still has the final responsibility to NORAD. Added value means how the applying organization can help their partner beyond financial support. Before answering this question, it may help to reflect on why the money is channeled through the applicant organization instead of directly to the local organization.

2.3. **Description of Initiative**: This section must be in close correspondence with the Results Framework. See more about Results Framework at the end of this guide.

Short description of initiative: A brief description that summarize the initiative. The description must correspond with choice of activities, theory of change and results framework.

Briefly justify why this initiative is a good instrument for solving the challenge it addresses: Brief description of the current situation and needs, reasoning, baseline data and problem description for the project. See more about "baseline" at the end of this guide.

What does the applicant expect to achieve through the initiative? Describe connection between planned activities and goals (theory of change). Attach results framework, including description of baseline and cooperation with other (international) actors: Describe the causal link of the initiative's planned activities to the set goals (the project's theory of change). The theory of change should contain the main actors for change, which changes must occur among these actors, why and how the project will remedy the problem identified, as well as goals, objectives and activities.

Sketch profile of activities that will produce main outputs: Justify the choice of activities and explain how they contribute to the achievement of objectives.

In what ways is the initiative cost efficient? Describe how cost efficiency will be ensured: Describe to what extent the initiative is cost effective and how costs are distributed between the organization and the partners. Are all budget lines necessary, realistic and relevant when compared with the goal hierarchy and the implementation plan? Demonstrate that critical reflection has been shown in evaluating all costs. Travel expenses, salaries, and costs related to the use of consultants / services are key elements in the assessment, but the project's sustainability should also be considered when evaluating costs.

Who are the initiative's target group(s) and how will the initiative reach them? Describe the target group of this initiative and show how the target group is involved in the planning and implementation of the project. Describe in general terms the systems and criteria for identification, definition and selection of target groups (including information about gender, age, etc.). Include important points, such as if the choice of target groups was coordinated with other actors (for example other NGOs).

Describe how initiative fits in applicant's overall strategic plans: Field in application form is self-explanatory

2.4 Previous Funding from Norad

Field in application form is self-explanatory

3. Initiative's sustainability and risks

See also " Assessment of Sustainability Elements/Key Risk Factors: Practical Guide" on [www.norad.no,](www.norad.no) under "publications".

3.1. Assessment of Initiative's Sustainability

Sustainability issues are not restricted to the grant period you apply for, but include the long-term plans for phasing out the initiative and its post-completion sustainability.

Assess local and institutional ownership of initiative: Explain how local and institutional ownership are ensured in the initiative. Is your target group involved in the planning and implementation of the initiative? Are other local actors involved in the planning and implementation of the initiative? Is the initiative coordinated with local and national authorities? Is the initiative in line with local, national and regional strategic plans and other policy priorities?

Describe participation by different stakeholders, including coordination with other actors/donors: Stakeholders are people or groups who have an interest in the initiative, or people that will or may be affected by it. Other stakeholders may include organizations, representatives from civil society and local, national and regional authorities and institutions.

Describe how initiative will be phased out and planned follow up after completion. Include estimated duration of initiative: Describe concrete plans for phasing out, including the planned timeframe. Plans for phasing out and monitoring may also be linked to the organization's overall plans and strategies when appropriate.

3.2. Cross-cutting Issues: Norad expects that organizations seeking grants substantiate how their work may in the long term contribute to Norwegian and international efforts to promote human rights, democracy and global sustainable development.

How does the initiative contribute to poverty alleviation? Describe how the initiative contributes to sustained improvement in living conditions in the country / countries where the initiative takes place.

How does the initiative contribute to ensuring human rights? Human rights must be a central element of all initiatives. It is therefore important to think through how the initiative helps to strengthen economic, social and cultural as well as civil and political rights. Describe whether the initiative has a rights-based approach. A rights-based approach to development means that the framework for the process that will lead to human development is based on international human rights.

Has a gender equality analysis been carried out? How is gender equality ensured? Describe how gender equality is ensured in the initiative through gender analysis, formulation of goals and gender sensitive reporting. Gender mainstreaming in development initiatives, together with targeted initiatives, shall be a dual strategy to achieve gender equality. Integration means that the gender perspective should be included in all phases of the project.

Are disabled people included in the initiative? If so, how? Does the initiative reach disabled people? Does the initiative help to include or exclude this group? Can the initiative, with minor adaptations, be changed to contribute to a positive effect for this group?

Has an environmental impact assessment been carried out? How is environmental protection ensured? How will the initiative affect the environment and climate? If the initiative will have a negative effect on the environment, this has to be taken into account in the planning phase. Can the initiative have a positive effect on the environment and climate? Or can the initiative, with minor adaptations, change to contribute to a positive effect?

Has a conflict sensitivity analysis been carried out? If so, how will this affect implementation? Think through and describe which potential conflicts may lie in the project / project area. Might the initiative in any way aggravate an existing conflict or helping to create a new one–between population groups, between men and women, between different local interests? If there is a risk for such conflicts, the organization and the local partner need to identify and show in the application how to take into account potential conflicts in the planning phase. This is especially important if the initiative will be implemented in politically unstable areas with large inequalities/differences in the population, but may also be used in other initiative areas.

3.3. **Risks**: Risks are factors that may affect goal achievement and should be accounted for in all initiatives. The factor that separates "risks" from "problems" is that risks are not sure to appear, and must therefore be treated in a special way. If corruption occurs very frequently (as is the case in many countries), this must be treated as part of the initiative in line with the other problems to solve. Risk considerations are closely related to results work, and it is important to consider risks from the planning process onwards.

Identify: Identify risks. Risks are factors (internal and external) that would affect the initiative negatively, but which may or may not occur.

Score: The applicant organization must assess the likelihood that the identified risk to occur, and map the consequences it may entail.

Mitigation strategies for all identified risks: Submit suggestions for reducing risks, or assess the consequences that are likely to happen if the risk occurs.

3.4. Monitoring of Initiative

Describe how the initiative will be monitored in the field, including planned routines for field visits and description of any planned reviews or evaluations: Brief description of how often the applicant organization does field visits, and a description of the purpose of the visits. If relevant, also inform about scheduled evaluations.

4. "Lessons Learned"

How does the organization keep track of lessons learned from previous initiatives and how does the organization ensure that these lessons learned are integrated in future projects? Give examples of how lessons learned have resulted in adjustment of previous initiatives. Describe relevance to the initiative for which funding is requested.

5. Budget and financing plan

The application must present a summarized overview of the budget applied for support. Also, include a more detailed budget for each initiative (see section 5.6).

5.1. Summary of Budget and Financial Plan

Must contain the total initiative cost and all projected sources of income for the initiative. Include applicant organization's own funds and funds from other donors, as well as the amount applied for from Norad (Norad's proportion of both initiative costs and indirect administrative costs).

Norad's contribution to administrative expenses/overhead is to cover the grant recipient's indirect costs (IDC) at headquarters. **Maximum rate** is as of 1 June 2015 7% of the total amount applied for; however, the level of the head office involvement in the project determines the size of the contribution. Norad will therefore make an individual evaluation of the proposed administrative contribution for each application. The Norwegian Ministry of Foreign Affairs is currently working on clarifying definitions and calculation means. Updated information will be posted as soon as it is available.

Some examples of what Norad considers indirect administrative costs:

- Rent and related operating costs (light, heating, cleaning, etc.)
- Accounting and audit of financial statements for the grant recipient's overall operations
- Wages for personnel in support functions and management not employed within the project.
- Security measures, bank guarantees, legal assistance that is not within project
- Rental of equipment used in daily operations that is not directly related to the project
- Communication (telephone, postage, bank)
- Printing and copying material for daily use
- Taxes, fees and charges
- Common maintenance costs
- Office supplies
- ICT services and equipment

Example on how to calculate the amount applied for and administrative contributions:

Background information:

- According to the application Norad's share of initiative costs is 100,000.
- Due to the organization's high level of involvement in the project, the proposed administrative contribution is 7%:

Application Amount: 100,000 / 0,93 = 107,527
Admin. contributions: 107,527 – 100,000 = 7,527

If the Norad grant application amount is not fully used, the administrative contribution will be reduced accordingly.

5.2 to 5.5. **Program Summaries with:**

- Annual budgeted mitigation costs by country for the entire support period
- Annual budgeted mitigation costs by thematic / sector for the entire support period
- Annual budgeted mitigation costs by actors for the entire support period: *By **actors** we mean all those who are recipients of the grant. This may include the applicant organization, international cooperation organizations, local organizations and possibly others*
- Budget for Year 1 showing expenses both by country and thematic area

Should there be a need to expand the tables, please add these as attachments and follow the use the same format as in the application form.

5.6. Detailed budget year 1

Attach detailed budgets for year 1 (one per country/project/program), including narrative explanations of the different costs *(See clause 4, part 1)*

The budget should preferably be set up by main activities / outputs as described in program plan, and a breakdown by cost types must be provided. Examples of cost types that should be made visible are investments, personnel costs, use of consultants, seminars, office expenses, travel and professional follow-up. The budget must contain enough detail so that it is possible for Norad to consider and compare cost levels and relevance. Information about quantity and unit price must be stated in the budget.