# Application instructions for 2013 seed funding

*Version 15 April 2013*

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## PURPOSE OF INSTRUCTIONS

These instructions are aimed at organisations that intend to apply for seed funding from the Swedish Institute. There is important information in the instructions about the requirements for applications, current priorities for seed funding and the application and assessment process.

### FORMAL REQUIREMENTS – CHECKLIST

***Formal requirements for seed funding applications***

- The electronic application must be completed in full and all appendices (in their intended templates) attached.
- The application can be submitted at any time until 1 October 2013.
- The project must run for no more than one year.
- The project must be in line with one of the priorities for the 2013 call for applications.
- One of the applicants must be a Swedish organisation which is also the main party responsible for completion of and reporting on the project.
- A partnership for seed funding must include *at least* three countries that qualify to receive funding.
- A partnership for seed funding must include *at least* three organisations – with one of these being the main applicant from Sweden.

The following Swedish organisations from the public, private and non-profit sectors may apply for seed funding:

- Local authorities, regional authorities, regional development councils and county councils
- Government agencies
- Institutions of higher learning and research institutes
- Business and trade organisations
- Companies
- NGOs
- Intergovernmental organisations

***Applications not considered***

SI reserves the right not to consider applications for assessment on the following grounds:

- The application has not been submitted using SI's electronic form intended for seed funding.
- The application is incomplete.
- The application arrived outside the application period/after the application deadline.
- The application does not fall within the scope of one of the priority areas for the 2013 call for applications.
- The applicant organisation does not qualify to apply for funding.

If the application is not considered for assessment, the applicant organisation will receive notice in writing about the grounds for this. SI's decision is final and may not be appealed.

## SEED FUNDING

The projects must be aimed at creating conditions for long-lasting, sustainable relations between organisations in the Baltic Sea region. The basis of activities for developing relations is the meeting between individuals and organisations, whose aim is to support and stimulate the development of mutual and sustainable relations and partnerships.

The projects are intended to help create conditions for meeting common challenges or opportunities in the Baltic Sea region and to supplement the regular activities of the participating organisations. They are to be based on a needs analysis and have an innovative approach in the region – for instance, this could involve collaboration in new constellations, with a combination of methods or on a new theme.

Seed funding may be awarded to projects that, for example:

- Set up new networks or expand and strengthen existing ones
- Prepare an application for EU funding
- Conduct a preliminary study

### *Aim and objectives with the seed funding*

The aim of seed funding is to create conditions for mutual, long-lasting collaboration between organisations in Sweden and the Baltic Sea countries, and through these collaborations promote economically, environmentally and socially sustainable growth and development in the Baltic Sea region and its neighbourhood.

The project applications must include clearly formulated aims related to current priorities. The projects, partnerships and networks they give rise to should be aimed at bringing about change and results over the long term that can contribute to developing the region's sustainability and global competitiveness.

Through their seed funding, participants are expected to develop their international relations in the region, improve their competence in Baltic Sea region cooperation and increase knowledge in their collaborative field.

### *Who can apply?*

The following Swedish organisations from the public, private and non-profit sectors can apply for seed funding:

- Local authorities, regional authorities, regional development councils and county councils
- Government agencies
- Institutions of higher learning and research institutes
- Business and trade organisations
- Companies
- NGOs
- Intergovernmental organisations

The collaborative parties in the project must also represent one or more of these organisations. A partnership may consist of only one type of organisation above, but broader collaboration between organisations is viewed positively.

***Partner countries***

Partner countries that qualify for funding:

- Sweden
- Estonia, Latvia, Lithuania, Poland
- Russia (with priority given to northwest Russia)
- Ukraine and Belarus
- Georgia and Moldova: mainly academic institutions. Provided that one academic institution from these countries is represented, other organisations may also join the partnership.

Partner countries that do not qualify for funding:

Organisations from other countries in the Baltic Sea region – Norway, Denmark, Finland, Germany and Iceland – are welcome to join the partnership, but SI does not provide any funding for their participation.

***Requirements for the partnership***

A project must include at least three countries that qualify for funding. However, projects with a broader partnership and which include more countries that qualify for funding may be given priority in the final selection.

SI takes a positive view of partnerships that include more than three organisations – we encourage broad partnerships with organisations from a number of the different organisation groups are preferable.

*About the partnerships*
When a partnership is put together, the focus should be on the relevance of the organisations in fulfilling the aim and objectives of the project. To achieve results, all parties are required to have explicit roles in realising the aims and objectives. All the partners in the project must also have a mandate and the capability to carry out the project. In particular, the main applicant must have the capacity to run, monitor and report on the project.

The application should be compiled in close cooperation between the different parties and for that reason may be written in English.

***Current priorities***

Applicants for seed funding must conduct a needs analysis and describe how the project meets one of the priorities in the call for application as well as describe in what way the project can be related to the region's common challenges, which are identified in relevant policy documents such as the EU Strategy for the Baltic Sea Region, the EU's Eastern Partnership or the HELCOM Baltic Sea Action Plan (BSAP).

*Applications may be submitted in the three general areas below:*

*An ecologically sustainable region*

- Pertains to projects in the field of the environment and sustainable development.

*Sustainable growth for increased prosperity*

- Pertains to projects related to business and projects that involve, for instance, innovation, regional development or tourism.

*Challenges to the region*

- Pertains to projects related to society such as projects involving social issues, public health and civil security.

## APPLICATION INSTRUCTIONS FOR SEED FUNDING

### *Making an application*

Applications for seed funding are made by filling in an online application on the Swedish Institute’s portal for applications. Applications can be saved and then completed at a later time. The application form for seed funding will be available from 15 April to 1 October 2013.

Applications will be handled on a continuous basis. To initiate a dialog on the content in your application, please contact one of our Programme Managers at the Baltic Sea Unit. Contact details can be found at www.si.se.

An application submitted is an official document.

### *The Swedish Institute’s application handling procedure*

*Decisions*
A decision is usually announced at the latest two months after the application has been submitted. SI’s decision is final and may not be appealed.

*Disbursement of funds granted*
Disbursement of the funds granted (90 per cent of the amount awarded) is made following the decision. The last ten per cent is paid once a final report has been approved, if all funds awarded have been used. All projects must be audited by an external auditor (in accordance with International Standards on Accounting, ISA). Applicants may apply for funds from SI for this purpose, as per the description of the budget below.

## ASSESSMENT CRITERIA FOR SEED FUNDING

*Relevance of the project*
The criterion considered here is how the project’s aim and objectives relate to SI’s call for applications for seed funding. The description of the project’s connection to the Baltic Sea region context and to relevant policy and strategy documents is also assessed. An assessment is likewise made of how other similar efforts in the collaborative area have been taken into consideration.

*Composition of the partnership*
The criterion considered here is the competence and relevance of the organisations included in the partnership. The assignment of responsibilities and tasks is also assessed. Also considered is whether the project is built on mutual interest and demand among the collaborative partners and what experience and capacity the partners have to implement the project.

*Feasibility of the project and expected results*
The criterion considered here is the connection between the aim, objectives set, activities and expected results of the project as well as the risk analysis. An examination is made of how reasonable the project costs are relative to the objectives and results that the project is expected to achieve. Any self-funding or partial funding from other sources is also considered. Finally, an assessment is made as to what extent there is potential for continued collaboration after the end of the project, for instance, through another source of funding or through the results being transferred to or implemented in regular operations.

## APPLICATION LAYOUT

A number of questions must be answered and a description of the project must be given in the application – the form and appendices. The questions may well be answered in English, since that assumes the application was jointly completed within the scope of the partnership.

The application shall be registered in the electronic application system. The appendices are attached in the electronic application.

### The following information is entered directly into the application system

- *Information about the applicant organisation*
- *Contact person at the applicant organisation*
- *Person in charge/authorised to sign for the applicant organisation*
- *Information about collaborative partners from countries that qualify for funding. Between 2 and 11 collaborative partners may register in the system.*
- *Summary of the project*: project title (maximum of 100 characters) and a summary of the aim, objectives, expected results and information about what organisations are included in the project (the summary may be a maximum of 1,000 characters)
- *Information about the project*: including connection to current priorities, connection to the relevant policy/policies and countries included in the partnership.

### The following information is to be attached as appendices. All appendices except Appendix 7 are mandatory.

**Appendix 1.** *Background, aim and objectives*
**Appendix 2.** *Results and indicators*
**Appendix 3.** *Activities and sustainability*
**Appendix 4.** *Dissemination*
**Appendix 5.** *Budget*
**Appendix 6.** *Document attesting that the person named by the applicant organisation in the application is authorised to sign for the organisation. There is no template for this appendix.*
**Appendix 7.** *For applications in which an NGO is the main applicant, three mandatory appendices are also required. There is no special template for these appendices.*

1. *Statutes*
2. *Most recently adopted economic annual report and audit report.*
3. *Certificate of registration from the Swedish Tax Authority or local county administration board.*

## INFORMATION ABOUT APPENDICES AS TEMPLATES

*Note that:*

- The appendices are mandatory.
- The maximum number of characters for different fields is specified and must be adhered to.
- It facilitates matters if these templates are used from the start when working on a new application.

## Appendix 1. BACKGROUND, AIM AND OBJECTIVES

***Origins***
Briefly describe the origins of the project. Describe any connections the project may have to previous or current projects, funded by SI or other financial sources. The applicant organisation must specify any funding, giving the name of the programme or financial source together with the reference number, amount awarded and project period.

Describe how the project will be kept separate from the applicant organisation’s other activities.

***Needs analysis***
Describe the specific challenge or need in the Baltic Sea region and vicinity that the project meets and its relevance in terms of the priority chosen. Also specify in what way the project can be related to the common challenges to the region which are identified in relevant policy documents such as the EU Strategy for the Baltic Sea Region, the EU’s Eastern Partnership or the HELCOM Baltic Sea Action Plan. However, not all countries in the region are included in the different policies. The needs analysis should also include a brief account of any similar efforts of relevance.

***Composition of the partnership***
Identify what organisations will be included in the project (including the Swedish main applicant), what countries they are from and who the contact person is. Describe the collaborative partners’ competence and function in the project relative to the aim and objectives.

***Aim and objectives***
Identify the aim of the project. The aim concerns overall focus of the project. It means a pithy summary of long-term and medium-term objectives viewed in light of the central project activities. It answers the question of what benefit the project provides and what problem the project intends to help resolve.

The objectives shall be defined in short-term, medium-term and long-term perspectives. Short-term objectives relate to what shall be reached within the project. Medium-term objectives relate to what the project shall contribute with besides other projects within the same issue area. Long-term objectives relate to what the project shall contribute with in a more distant future and may relate to behaviour change, policy change or actual society change.

## Appendix 2. RESULTS AND INDICATORS

Specify the expected results of the project, both short- and long-term. Indicate how you intend to create long-term sustainability for the project results. Describe the conditions necessary for the partnership to continue its collaboration after the project ends and how the project results can be used in relevant contexts. Identify potential future sources of funding and forms of collaboration.

Specify indicators for the objectives. An indicator is a concrete sign of change, relative to the initial situation.

Compile the project's objectives, expected results and indicators in an ordinary table.

## Appendix 3. ACTIVITIES AND SUSTAINABILITY

### *Timetable and activity plan*

The project may run for a maximum of one year. A longer project period and/or an extension of the project period may be granted by SI in exceptional cases.

The timetable and activity plan must include information about the main activities of the project, information about what country they will take place in and their preliminary start and end dates. The collaborative activities can take place both in Sweden and in the collaborative countries that qualify for funding but also to a more limited extent in other Baltic Sea countries. Activities in other Baltic Sea countries should be limited, and be clearly motivated in the application.

### *Risk analysis*

A good risk analysis increases the probability of the project's objectives being met. The purpose of the risk analysis is to anticipate conceivable events that could threaten implementation of the project. It is the risk of the project's objectives not being reached that is to be assessed, and nothing more. Some risks can be mitigated through good planning, and sometimes adverse consequences can be avoided through appropriate measures. There are also risks that can neither be prevented nor managed but which must still be taken into account in an overall assessment of the project. A thorough analysis of the risks and a concrete action plan strengthen the application.

The risk analysis must include:

1. A list of conceivable events and conditions which could mean that the objectives of the project are not met
2. An estimate of the probability of the risk being realised and how serious the consequences would be
3. Proposed action alternatives: what does the project intend to do so that the risk does not occur, and what would be done if that nonetheless occurs
4. The name of the person responsible for managing this risk

It is an advantage if the risk analysis is done together by as many project partners as possible. In that way, there is a greater probability that as many risks as possible will be identified and that consensus is reached on what the risks are, how they should be managed and how responsibility should be delegated in the project.

The risk analysis must be presented using the template below. Probabilities and consequences should be assigned a value on a scale of 1–4, with 1 being a low probability/minor consequence and 4 being a high probability/serious consequence. The value of the *total risk* is calculated by multiplying the value for the probability by the value for the consequence. Risk management is required for every risk that has a total risk value of at least 6 or when the estimated consequence is 4.

| Risk | Probability | Consequence | Total risk | Risk management | Person responsible |
|---|---|---|---|---|---|
| **Example: key person quits the project** | *2* | *4* | *8* | *Delegate a back-up person in advance for all key people, create a system for continuous documentation.* | *Project leader/ all key people* |
| **Example:…** | | | | | |

**Appendix 4. DISSEMINATION**

***Dissemination and communication***
A concrete and implementable communication plan for the activities, objectives and results of the project will be disseminated and communicated, internally within the partnership as well as externally.

The plan should include overall communication objectives, target group, message, channels, activities, responsibilities and costs. In order for the plan to be implementable, it is important to prepare it together with every organisation in the project.

***Layout of communication plan***

*Communication objectives*
The objective of communication may be to draw attention to an issue, give an account of concrete results, demonstrate best practice, help promote learning or generate knowledge about something.

*Target groups*
Groups in society that benefit from or should be informed about the project results are called target groups. They are assigned priority as *primary* and *secondary* target groups. Primary target groups are those that benefit directly from the results while secondary target groups are those with an interest in the project.

*Message*
It is a good idea to think about the project's results, methods and collaborative models in terms of the message at the very start of the project. It is not just the results of the project that are interesting; for some target groups, it may be more interesting to know *how* the project achieved results, what organisations have been involved and how they collaborated.

*Channels*
The message can reach target groups in different ways, through many channels. Examples of channels are meetings, results seminars, journalist seminars, newsletters, press releases or written reporting (reports, publications) as well as various types of digital media.

*Activities*
What activities are planned during the course of the project? Seminars, workshops, study trips, dialog? What target groups are affected and what is the message? The activities should be listed, for instance, with the time, target group, message and person responsible.

*Responsibilities*
A clear delegation of responsibilities for communication work is essential for successful results. The project leader need not be the person responsible for communication matters, but it is important that there is explicit responsibility for carrying out and overseeing the communication plan.

*Budget*
There should be a budget for communication activities, and it should be included in the project budget. It is possible to apply for funds from SI for external project communication within the scope of the application.

***Project management/ Project oversight***

The main applicant must demonstrate in particular the capacity and experience to run, administer and report on the project and how this work will be organised. The main applicant must also specify previous funding from Sida's Baltic Sea Unit/SI, providing the reference number and amount granted, regardless of whether the previous funding is related to what the new application pertains to.

Project oversight of the budget as well as planned activities and objectives must be carried out on a continuous basis. The main applicant must give an account of how oversight is to be carried out. In order to ensure continuous checking against the objectives set, an oversight system is required. It should include both implementation and results and must be able to demonstrate whether the objectives set will be met.

## Appendix 5. BUDGET

The project budget must be specified in the budget template, which must be attached to the application as a .xls or .xlsx. file. Give a clear account of what budget item corresponds to each activity.

***General information***

- It is possible to apply for between SEK 100,000 and SEK 440,000 for seed funding. However, the total project budget must be larger than the amount applied for.
- SI would like to see a spread of costs between different budget items.
- SI may revise the applicant's project budget before a decision is made.
- Salary expenses may be funded by SI or in another way. Salary expenses must be given as an actual cost, including statutory employer contributions (LKP).
- SI does not fund the purchase of equipment.
- SI does not fund expense allowances. If expense allowances are incurred in the project in addition to food and lodging expenses, they must be funded by co-financing.
- Co-financing must constitute at least 10% of the amount applied for from SI and must be intended for direct project-related costs, that is, not overhead expenses.
- Co-financing must come from organisations in the countries that qualify for funding which are included in the partnership.
- All project costs must be specified in the budget template. That is, costs must be specified not just for the 10% of the budget that must be co-financed, but for all other financing – from partners in the partnership coming from countries that qualify for funding as well as from partners coming from countries that do not qualify for funding – and for external funding intended for this project.

- Other funding, which consists of the applicant’s co-financing and additional financial sources (external funding and funding from parties in countries that do not qualify for funding) will be examined in a review of the application in order to get a sense of the scope of the project.

***Budget breakdown***

**Project management, overhead, analysis and communication**

Note that this budget category may constitute at most 35% of the amount applied for from SI.

- *Project management:* Includes the budget items “Project management” and “Project administration”.
  Only the Swedish main applicant can apply for funding for project management and project administration within the scope of these budget items. Funds for an external audit may be applied for within the scope of the budget item “Project administration” (maximum of SEK 25,000).
- *Overhead*: May constitute no more than 10% of the total amount applied for from SI. Pertains to costs such as for administration to support core activities. Organisations applying for funds to cover overhead costs must specify these costs in the budget template. Examples of overhead costs are costs for premises, supplies, telecommunications and post, and staff expenses for support functions.
- *Analysis, performance and oversight*
  Includes the budget items “Internal project-wide tasks” and “External expertise”.
  “Internal project-wide tasks” pertains, for instance, to qualified analysis and report work performed by an organisation from a country qualified to receive funding and which is included in the formal partnership. Costs for work to arrange project-wide activities may also be recognised under this item. It must be clearly indicated in the specification which partner in the project performs the work.
- *Communication costs:* External project communication.
  Pertains to costs for project-related external communication.

**Meetings and mobility**

This budget category includes the following costs:

- *Meeting costs:* The budget items external speakers/debate moderators, costs for premises, conference equipment, refreshments etc.; interpreter and translation costs.

- *Travel and lodging:* The budget items travel, national (within countries); travel, international (between countries); visa costs; food and lodging. Funding for food and lodging can be applied for to cover a maximum of ten working days in a row.

In exceptional cases, external lecturers and external expertise may come from other countries, that is, other than the Baltic Sea region countries that qualify or Baltic Sea region countries that do not qualify for project funding.

**GOOD LUCK WITH YOUR APPLICATION!**