

Choose an element.

Support Measure Proposal

Choose a date.

Title

Maximum 40 characters

Executing Agency

Partner State Support Measure
Code (if any)

Support Measure Type

Choose an element.

The instructions for this template are provided with hidden text (blue text in boxes):

The hidden text is not displayed in the reading mode of Word. [In order to hide this text, uncheck the box "hidden text" in the menu under "Options" -> "Display".]

As default setting, this text is not printed. If desired, this can also be changed in the menu under "Options" -> "Display".

When creating a pdf (with common engines), the hidden text is not shown in the pdf.

This template shall be used during the entire approval process, i.e. for both of the two stages of the approval process according to Article 4.7 of the Regulations.¹ The following table shows the distinctions of the needed information per Support Measure Proposal type and approval stage:

	1. Programmes 2. Projects other than those referred to on the right	3. Infrastructure Projects 4. Projects identified through calls for proposals
1st stage	Sections 1 to 3 plus 5	Sections 1 to 8 (for projects only 1-4 are relevant)
2nd stage	Sections 1 to 6 (for projects only 1-4 are relevant) (sections 1 to 3 shall be updated and complemented)	Sections 1 to 8 (for projects only 1-4 are relevant) (if required: revised, complemented, additional annexes)

The Executing Agencies are responsible for completing the template. The NCU has the responsibility to appraise the Support Measure proposal and to ensure the completeness and quality. Thus the Partner State shall first approve the proposal at both approval stages before submitting it to Switzerland for approval (see Article 4.7 of the Regulations).

Terms and Concepts of Result Based Management and Project Cycle Management are based on international standards defined by [OECD DAC](#).

¹ Under the Swiss Cooperation Programme, small grant schemes are to be conceived either as Project or Programme Component.

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1. Basic information

Title	<i>Maximum 40 characters</i>
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Support Measure Type	Choose an element.
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Objective	Choose an element.
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Thematic Area	Choose an element.
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Planned Duration [months]

Requested Swiss contribution (CHF)

Requested co-financing rate of Switzerland [%]

Name of the Executing Agency

Type of entity	Choose an element.
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If type of entity is "other", describe the type briefly

Name of contact person

Position

Correspondence address

E-Mail

Webpage and social media (if any)

Phone	Mobile
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Has the Executing Agency previously received funding from the Swiss Contribution? Yes No

2. Strategic Support Measure description

2.1 Lead

Describe briefly the goal, strategic focus and relevance of the Support Measure.

Length: max. 1'000 characters incl. spaces (3-5 lines)

[Insert text]

2.2 Context and relevance

Explain the most important contextual elements for and the relevance of the Support Measure:

- *Context in the country or region and context of the particular situation in the relevant thematic area, linked with the intended changes of the intervention;*
- *Relevance and gap analysis: which problem or intended change does the Support Measure address (based on studies, analysis, survey and baseline)?*
- *Alignment with legal and policy framework, country's regional or thematic strategies and link to national SDGs' objectives;*
- *Complementarity/synergies with funding programmes of other donors;*
- *For Support Measures, which continue with and/or build upon objectives from the first Swiss Contribution, briefly summarise key results and lessons learnt from this previous engagement;*
- *Relevance of the Support Measure with regard to social inclusion (see Regulations Article 2.5) and climate change mitigation and adaptation (see Regulations Article 2.6);*
- *The context analysis should not only focus on technical issues (capacities, resources etc.), but should also take into account the role and ownership of authorities and other stakeholders at the relevant levels.*
- *Short stakeholder analysis on their influence, interests and roles in the Support Measure and its effects. Describe the stakeholders (including civil society, government(s), private sector, interest groups etc.), their visions, missions, interests and power positions. Analyse if and how they benefit from the intervention, if and how they support the intervention or restrain it. Inform about the collaboration with other donors, multilateral organisations, national and international coordination, civil society and the private sector.*

Length: 1 ½ - max. 3 pages

[Insert text]

2.3 Impact hypothesis / Objectives

Describe the impact hypothesis (or similar: intervention logic/model, theory of change) that explains and plausibly argues on the basis of the context analysis, how and why products/services from the Support Measure (outputs) will produce short-term and medium-term effects (outcomes) and long-term changes (impact) for the beneficiaries.

Regarding the description of the impact:

- *Explain the contribution of the Support Measure to*
 - *the reduction of socio-economic disparities, within the EU and within the Partner State;*
 - *strengthening the bilateral relations between Switzerland and the Partner State.*
- *The impact of the Support Measure should be described, given an applicability, on the population level (beneficiaries), the institutional/organisational level (system) and the policy level. Explain within this, how the impact contributes to social inclusion, climate change mitigation and adaptation as well as gender equality and the country's respective objectives/SDGs.*

The objectives of the Support Measure (impacts, outcomes and outputs of the Project/Programme including Programme Components) shall be outlined here and described in more detail in the log-frame in Section 4.3: «key performance indicators», «means of verification» of those indicators and «external factors, assumptions and risks» with regards to the intervention strategy are listed there as well. For Programmes, describe how the Programme Components contribute to the overall impact and outcomes of the Support Measure.

Length: ¾ page

[Insert text]

2.4 Intervention Strategy

1. *Describe the intervention approach, methodology and instruments and cost-effectiveness reflections related to the chosen approach.*
2. *Describe the needs and objectives for a policy dialogue.*
3. *Describe briefly or simply list here how key outputs will contribute to reaching the outcomes.*
4. *Describe the partner organisations, their roles, experiences, added value and capacities as well as the form of cooperation and coordination between involved partners.*

Length: ½ -1 page

[Insert text]

2.5 Beneficiaries

Describe briefly the beneficiaries: who will benefit from the Support Measure directly / indirectly (e.g. government agency, ministry, municipality, NGO, general population, specific group of people, private sector etc.). Provide also information on the number of beneficiaries and the geographical area of the intervention (at least on the level of NUTS-2,). Start completing the table “Overview of Implementation locations” (see template in the annex of the Support Measure Annual Report template) and annex this table to the Support Measure Proposal.

If the Support Measure has a potential to foster social inclusion, describe how the disadvantaged groups (including gender aspects) are concerned and how they will benefit from the Support Measure. If there is a need for a targeted approach for specific groups, it shall be mentioned here too.

Length: ¼ page

[Insert text]

2.6 Programme Component Characteristics and regional focus

For Programmes, start completing the table “Programme Characteristics” attached to the Reimbursement Request and annex this table to the Support Measure Proposal. If Programme Components are not yet defined, please indicate how the Programme Components and Programme Component Operators will be selected (selection criteria and responsibilities).

For Projects, fill out the following table below.

Is the benefit of the Project national or regional? National Regional

If regional, indicate the benefiting NUTS-2 region(s):

2.7 Overview Swiss Support Measure Partners

Is/are a/several Swiss Support Measure Partner(s) foreseen to be involved in and contributing to the implementation of the Support Measure? Yes No

If the answer to the above question is yes, then fill out the following table. If the answer is no, delete the table. In case of several Swiss Support Measure Partners, please copy the table below and fill it out for every partner.

If you foresee a Swiss Support Measure Partner but have not yet identified it, write «Not yet identified» as name of the partner organisation and leave the rest of the table blank.

The role(s) and task(s) of Swiss Support Measure Partners shall be described in detail in Section 4.4

Name of the partner organisation

If collaboration foreseen in Programme Component, indicate name of Component

Partnership status Choose an element.

Type of organisation Choose an element.

Type of support or partnership Choose an element.

Name of contact person

Position

Correspondence address

Webpage and social media (if any)

E-Mail

Phone

Mobile

Has the partner organisation been previously involved in the Swiss Contribution

Yes No

2.8 Sustainability

Describe briefly how you assure that the results of the Support Measure persist after the Support Measure has ended.

- *In terms of financial viability;*
- *In terms of capacity building;*
- *In terms of necessary legislative and policy changes*
- *In case of an innovative Support Measure with pilot character: in terms of scalability, institutional policies and strategies as well as the potential beneficiaries once the intervention were scaled up*
- *Possibility for post-implementation monitoring*
- *What are the challenges and what are the risks? Could delays in implementation of the Project hamper the sustainability of the project?*

Length: ½ - 1 page

[Insert text]

2.9 Overview tentative budget

For the Support Measure budget overview, provide a budget estimate for the eligible expenditures. Eligible expenditures are defined and described in Chapter 6 of the Regulations. Use for this purpose the budget template in excel and attach it as an annex to the Support Measure Proposal. The same structure shall be used for the 2nd stage proposal, the annex to the Support Measure Agreement and for the reporting in the Reimbursement Request. For the 1st stage only estimates are needed for the budget items marked in blue. The budget will be completed and updated in the 2nd stage (see Section 4.6 below).

Budget items may be changed, if they are justifiably not suitable for the character of the Support Measure. If the budget items are changed, provide a justification for the change.

The “Support Measure management” item may include expenditures for internal and external evaluations that are to be mandated by the Executing Agency.

According to the Regulations, Article 6.2, paragraph 2: « Costs for the staff assigned to implementing Projects or Programme Components, comprising actual salaries plus social security charges and other statutory costs included in the remuneration, are in principle eligible if the respective functions or tasks are incremental and demonstrably required for implementing the Support Measure and accordingly agreed with Switzerland in the budget of the Support Measure Agreement or foreseen in the Programme Component budget. ».

Therefore, if the expenditures for staff are not zero, justify why this is necessary for the implementation of the project.

Please note that in case of future delays and prolongation of Programmes, management costs have to be justified and reduced to the maximum (reallocation of staff to other tasks).

[Insert text or delete]

Provide an aggregated estimate for the non-eligible expenditures, if any. Inform also about the funding source of these expenditures. Explain non-eligible expenditures, if any.

[Insert text or delete]

2.10 Other strategic issues

If there are any other strategic issues that are relevant for the implementation of the Support Measure and that should be known by the authorities assessing this proposal, include them here. Otherwise, delete this section.

[insert text or delete]

3. Support Measure readiness

3.1 Context

Is the Support Measure proposal a continuation of a Project or Programme supported under the Swiss Contribution (I)? Yes No

Was the Support Measure proposal declined during a funding-application process by other donors (e.g. EU, Norway/EEA)? Yes No

If it was declined, explain why.

3.2 Preparation process and documents

In case for not yet fully defined Programme Components, inform about planned preparation works and selection process and selection criteria of Programmes Components.

Feasibility study Choose an element.

Baseline study, assessment or analysis Choose an element.

Describe the scope and objectives of the feasibility and/or baseline studies made and/or planned.

[insert text or delete]

Estimated number of tender dossiers to be prepared	# of dossier not yet prepared	
	# of dossier provisionally prepared	
	# of dossier completely prepared	
Permit(s)/Authorisations required and pending?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
If permit(s)/authorisation(s) required, specify (e.g. building, environmental, purchase of land etc.) and note when the corresponding permit(s)/authorisation(s) are expected.		
Are legislative changes necessary to implement the Support Measure?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
If legislative changes are necessary, explain and note when the corresponding change is expected to have been made.		
Are other (political) decisions necessary to implement the Support Measure?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
If other (political) decisions are necessary, explain and note when the corresponding decisions are expected to have been taken.		

Please estimate the time needed to complete the preparation works specified in the tables above. Indicate if there are any other outstanding preparations to be completed before implementation.

Describe and assess to what extent the planning could be delayed due to political hurdles or other delays in the preparation process.

In case the elaboration of the Support Measure proposal was supported by funds from the Support Measure Preparation Fund, please elaborate the results of this support.

Start completing the table "Procurement Plan" attached to the Reimbursement Request and annex this table to the Support Measure Proposal.

[insert text or delete]

3.3 Application for funds from Support Measure Preparation Fund

Financial assistance under the Support Measure Preparation Fund for the preparation of second-stage proposals may be requested, according to Article 5.2 Paragraph 1 of the Regulations.

Is support from the Support Measure Preparation Fund requested? Yes No

If yes, then describe in an annex to the Support Measure Proposal the preparatory activities including at least their form, purpose, scope, content, methodology, timeframe and budget. List the procurements to be carried out in the framework of the preparatory activities. Indicate the contact person responsible for the preparatory activities and the source of co-financing.

[insert text or delete]

4. Operational Support Measure description

4.1 Applying organisation (Executing Agency)

4.1.1 Financial and personnel information (only to be completed for non-state institutions)

Date of establishment

Tax number (if applicable)

Number of employees

Financial Turnover for each of the 3 previous years [in Choose.]

4.1.2 Organisation structures of Executing Agency and Support Measure

Indicate the general organizational set-up of the applying organisation, including Programme Component operators (if applicable). Use for this text and include an organisation chart.

In case Programme Component Operators are not yet known, then indicate the types and number targeted according to the criteria and selection process described under 4.2.1. For Programme Components to be defined after the Programme approval as part of the Programme implementation, the selection criteria and process are described in 4.2.2.

Indicate how the Support Measure is organised.

Length: max 1.5 page or Annex

[Insert text and/or charts. Alternatively, include charts as annex.]

4.1.3 Support Measure management team

Will external management personnel be hired to implement the Support Measure? Yes No

What personnel capacity will be dedicated for the management of the Support Measure implementation (in full-time equivalents FTE)?

Internal resources	External resources
--------------------	--------------------

Indicate the

- *Roles, tasks and responsibilities of the Support Measure management team at Project/Programme and Programme Component level;*
- *Steering and governance mechanisms within the Support Measure management team;*
- *Describe how it will be ensured that an adequate and effective control system exists.*

Indicate the name of the responsible personnel, if already known.

[Insert text and chart]

If deemed relevant, provide in an Annex:

- *CVs of the members of the Support Measure management team*
- *The terms of reference for the functions to be established*

Are CVs attached to this documentation? Yes No

Are terms of reference for the management functions to be established attached to this documentation? Yes No

4.1.4 Programme and project management experience

Describe in this section the experience of the applying organization with Programme and project management. For this, programmes and projects similar to the Support Measure described in this form, managed – as main executing agency, not as subcontractor – over the last 5 years, should be described. Indicate:

- *name of programme/project*
- *budget, duration*
- *funding-source and co-financing*
- *main purpose: short description*

- *executed procurements as part of the programme/project*
- *whether member of the programme/project team are still part of the applying organization*
- *reference person or institution, e.g. from an eventual donor of the programme/project*

If the applying organization managed more than 3 corresponding programmes/projects in the respective period, indicate the total number and limit the detailed description to 3 of them. If the applying organisation executed a programme/project supported by the previous Swiss Contribution, this programme/project and the role of the Executing Agency should be mentioned.

Max Length: 1 page

[Insert text]

4.2 Detailed intervention strategy and activities

4.2.1 Detailed description of activities and intervention strategy

Describe in detail the Programme components or projects including activities/intervention strategies. Describe the rationale why these activities are proposed and how they are interlinked with other Programme components or projects. Link it to the objectives and explain how you want to achieve it, based on which evidence/good practice. Describe if you evaluated alternative activities and why you dismissed them.

Describe here the activities undertaken to produce the outputs listed in the previous section in detail.

If an (extensive) documentation is attached to this proposal in an annex, provide here – next to a reference to the relevant annex – only a summary.

The detailed description of the activities (or the attached documentation) shall allow (experts in the respective fields) a detailed assessments of the activities, especially regarding

1. *the reasons why certain activities are proposed;*
2. *whether activities correspond to best practices and are adequate for the relevant context;*
3. *allow experts in the respective fields a detailed assessment of the activities.*
4. *the expenditure-effectiveness of the foreseen activities (cost-benefit analysis), also with regard to possible alternatives. Especially in case of new technological solutions, the added value compared to available alternatives should be analysed.*

Describe partner organisations, their roles, experiences, added value, and capacities. Describe the form of cooperation and coordination between involved partners.

In case the activities and Programme Components are not known yet in detail, describe the type of activities to be financed. Inform in the next chapter 4.2.2 also about the decision making processes for the selection of future grant or Programme Component proposals.

Length: max. 1 page

[Insert text]

4.2.2 Detailed description of selection process for Programme Components

For Programmes and small grant schemes whose activities and Programme Components might not be known yet in detail, inform about the decision making processes for the selection of future grant or Programme component proposals and beneficiaries as well as the criteria (including geographic and socio-economic criteria) used to select these grant or Programme Component proposals. It must be credibly shown how the level of quality will be maintained through the proposed decision making process (grant management).

Switzerland has set following minimum information for considering Programme approval:

- 1. Description of the impact and the level of results to be achieved with the components of the Programme as a whole. The theory of change must be presented in a plausible manner.*
- 2. The outline of a logical framework down to the output level, if possible.*
- 3. Clear delimitation of the theme(s) and sector(s) that the Programme supports and which should contribute to the overall effect described.*
- 4. Geographical, socio-economic and ecological criteria according to which the Programme Components are to be selected.*
- 5. Budget: total financial envelope and estimated budgets of the different components of the Programme.*
- 6. The Programme Operator must be known, as well as the type of institutions that are eligible as Programme Component Operators (possibly subject of the call for proposals).*
- 7. Identification and selection process in the partner country: how (who) and according to what criteria the Programme Components and the respective operators, if any, are identified, the beneficiaries are selected and by what process (call for proposals, call for tenders).*
- 8. Presentation of how SECO / SDC will be involved in the approval process.*
- 9. Description of the delegation for the subsequent approval of Programme Components (steering committees, role of Switzerland).*
- 10. Minimum requirements that guarantee supervisory powers by SDC and SECO*

Length: max. 2 page

[Insert text]

4.2.3 Communication activities

Planned communication activities shall be integrated into the «detailed implementation schedule» in the next subsection.

According to the Regulations article 13.3 paragraph 3, at least a launching and a closing event for each Project and Programme shall be planned. Ideally, the communication activities

- *include advocacy and outreach activities that are necessary to achieve the Support Measure objectives;*
- *promote opportunities for strengthening bilateral relation, respectively the results of strengthened bilateral relations (such as thematic conferences or study visits);*
- *communicate the results of the Support Measure;*

For the communication activities that are integrated into the «detailed implementation schedule» below, describe here

1. *Aims and target groups (including beneficiaries and the media)*
2. *Communication tools*
3. *Information on how the communication activities will be evaluated.*

[Insert text or reference to annex]

4.2.4 Detailed implementation schedule

Outline here – or include as Annex – the timeline for all Support Measure activities (including signature of SM Agreement, calls for proposals, communication, monitoring and evaluation activities, steering committee meetings) by using a Gantt chart. The time shall be counted in relative terms (time since the start of the Support Measure/signing of Support Measure Agreement) and not in absolute terms (year/month).

Include the duration for administrative processes, e.g. for internal organisation after the start of the Support Measure, if necessary.

If applicable, structure according to Programme Components.

[Insert chart or reference to annex]

4.3 Logframe

The impact hypothesis outlined in Section 2.3 shall be presented here in more detail in form of a logframe.

The logframe presents the causal link between an intervention (activities, outputs) and its effects (outcomes, impact). The intervention consists of the services and goods produced through Support Measures activities and delivered to the beneficiaries (outputs). It is useful to break the effect down into direct results (called outcomes) and lasting changes in society (called impact). Lastly, the logframe also contains a description of the context, i.e. factors that could influence the Support Measure and the assumptions made in the Support Measure design.

Some basic info on logframes:

- Outcomes are the short and medium-term effects of an intervention's outputs on the direct target group or end beneficiaries. Outcomes are not under the direct control of a Support Measure.*
- Outputs are the products, capital goods, and services delivered by an intervention. They must be achieved with the resources provided and within the period specified. It is important to define outputs that are likely to make a significant contribution to the achievement of the outcomes.*

When designing the logframe, please consider the following intervention logic.

<i>Strategy of intervention</i>	<i>Key Performance indicator</i>	<i>Means of verification</i>	<i>External factors Assumption/risks</i>
<i>Impact (4)</i>			
<i>Outcome (3)</i>			
<i>Output (2)</i>			
<i>Activities (1)</i>			

(1) If input/means are provided AND the preconditions fulfilled, THEN activities can be undertaken

(2) If activities are undertaken, AND the assumptions hold true, THEN outputs will be produced.

(3) If outputs are produced, AND the assumptions hold true, THEN outcomes will be achieved.

(4) If outcomes are achieved, AND the assumptions hold true, THEN the Project contributes to the development objective (impact).

For the identification of the «key performance indicators», take into account the «Guidelines to Core Indicators of the Second Swiss Contribution». Provide for the indicators

- units,*
- baseline values,*
- the years in which the baseline values were measured,*
- the means of verification.*

For Programmes, the logframe presented in this proposal should be elaborated on the level of the Programme. For Programme components that are not known yet in details, indicate outputs that need to be foreseen in order to achieve the set outcomes and impact.

The Annual Support Measure Reporting (Regulations Article 4.13) will include reporting on the logframe elaborated in this proposal.

Hierarchy of objectives Strategy of Intervention	Key Indicators (incl. target values and baseline)	Sources & Means of Verifica- tion	Assumptions & Risks (External Factors)
<p>Definition: <i>The strategy of intervention defines the hierarchy of objectives and follows the logic of the theory of change (if-then-because) within a given results chain.</i></p> <p>Hints: <i>Use one-sentence statements, in the form of a status achieved or an infinitive (to do something)</i></p>	<p>Definition: <i>Features which can be measured or at least described precisely in terms of quantity and quality respectively and which show a change in situation.</i></p> <p>Hints: <i>Indicators measure whether the results on each level (impact, outcome, output) are achieved. Indicators include targets and require baselines to assess progress. Indicators are time-bound The need to disaggregate indicators and baselines by other criteria (such as age, social and economic status etc.) depends on objectives and targeting.</i></p>	<p>Definition: <i>Sources refer to relevant data/information on results and to the documents where this information is to be found. Means of verification refer to methods to collect these data/information.</i></p> <p>Hints: <i>The timely availability and quality of information on the achievement of results are important criteria when defining indicators. When having several indicators for the same result level, sources and means of verification should be clearly attributed to the specific indicators.</i></p>	<p>Definition: <i>Assumptions and risks are conditions which could affect the progress of the Support Measure, but which are not under direct control of the Support Measure management. An assumption is a positive statement of a condition that must be met for the Support Measure's objectives to be achieved. A risk is a negative statement of a condition that might prevent the Support Measures' objectives from being achieved.</i></p> <p>Hints: <i>The risk analysis under point 4.6 below should feed into the Logframe.</i></p>
<p>Impact</p>	<p>Impact Indicators</p>	<p>Impact Sources and Means of Verification</p>	
<p>Definition: <i>Improvements of a situation in terms of social, economic or any other benefits which respond to identified development needs of the target population under a long-term vision.</i></p> <p>Scope of Support Measure management: <i>The achievement of the development objective lies outside the direct reach of the Support Measure and depends on the assumptions formulated at outcome level. However, outcomes of the Support Measure should represent a relevant contribution to it.</i></p>	<p>Hint: <i>Impact indicators are essentially used during evaluations.</i></p>	<p>Hints: <i>On impact level, sources and means of verification are usually beyond the scope of the Support Measure management. Information depends on documents of others (e.g. reports of ministries, laws, national statistics etc.), are based on national monitoring systems or may result from joint evaluations.</i></p>	

Outcomes (Support Measure objectives /purpose)	Outcome Indicators	Outcome: Sources and Means of Verification	Outcome Assumptions & Risks
<p><u>Definition:</u> <i>The short or medium term effects (=changes in quality and quantity) expected from the outputs of the Support Measure. Intended situation at the end of or soon after the Support Measure's lifespan in terms of gains in performance (as a result of changes in knowledge and behaviour) - e.g. better access to infrastructure and services / increased quality of infrastructure and services / implementation of policy reforms / more efficient systems / increased knowledge, change of attitudes and behaviour of key stakeholders and beneficiaries etc.</i></p> <p><u>Scope of Support Measure management:</u> <i>The attainment of outcomes is primarily dependent on the Support Measure outputs, but depends also on factors beyond the Support Measure's control.</i> <i>Monitoring of outcomes is part of Support Measure management.</i></p> <p><u>Hints:</u> <i>The number of outcomes has to be limited to 2-3 outcomes, (in exceptional cases max. 5)</i></p> <p><i>Logframes outcomes indicating change for the population as well as outcomes indicating institutional change or change in processes.</i></p>	<p><u>Definition:</u> <i>Conditions towards the end of the Support Measure indicating that the purpose has been achieved and that benefits are sustainable.</i></p> <p><u>Hints:</u> <i>Keep the number of outcome indicators limited: as few as possible, as many as necessary to assess intended changes.</i></p> <p><i>Outcome indicators are used for monitoring and evaluations.</i></p>		<p><u>Hints:</u> <i>To ensure a proper vertical logic, it is essential to attribute assumptions to the corresponding level of intervention. In this box the assumptions at outcome level which are relevant for achieving the intended impact (development objective) need to be stated.</i></p>

Outputs: Support Measure deliverables/results per outcome	Output Indicators	Output: Sources and Means of Verification	Output Assumptions & Risks
<p><u>Definition:</u> <i>Products and services produced or competences and capacities established directly as a result of Support Measure activities.</i></p> <p><u>Scope of the Support Measure management:</u> <i>Outputs are under the control / responsibility of the Support Measure management.</i></p>	<p><u>Definition:</u> <i>Measures of the quantity and quality of outputs.</i></p> <p><u>Hint:</u> <i>Output indicators are used during monitoring and review.</i></p>		<p><u>Hint:</u> <i>Formulate assumptions at output level which are relevant for achieving the Support Measure's objective(s).</i></p>

4.4 Swiss Support Measure Partner(s)

According to Article 4.2 paragraph 4 of the Regulations, a draft Partnership Agreement shall be submitted with this proposal. Therefore, include a draft agreement for all foreseen partnerships in an annex and include a reference in this section.

If relevant aspects of the partnership with regard to the Support Measure implementation are not covered in the draft Partnership Agreement, describe them here.

If applicable, structure the information according to Programme Components.

[Reference to Annex and/or text]

4.5 Stakeholder consultations

According to Article 4.4 of the Regulations shall be consulted ideally before the second-stage submission of the Support Measure proposal.

Describe briefly

- *how the stakeholder consultation has shaped the Support Measure proposal. Which inputs were included in the proposal, which inputs were omitted?*

Length: ½ - 1 page

In addition, provide in an annex a report of the stakeholder consultation that outlines:

- *The process of the stakeholder consultation*
 - *What was done in terms of consultation activities?*
 - *Who was present and which institution/organisation did they represent?*
- *The input*
 - *Who contributed?*
 - *What are their views and concerns?*
 - *Input is grouped by common themes/points of view in order to avoid unnecessary repetition*
- *Assessment*
 - *Which contributions were NOT taken on board and why?*

[Insert text and reference to annex or delete]

4.6 Tentative Budget

4.6.1 Detailed tentative budget

Complete and update the budget prepared during the 1st stage using the excel file provided in section 2.9.

Highlight the main budget items in the meaning of Art. 4.12 of the Regulations in bold. The budget with these main budget items shall later be annexed to the Support Measure Agreement.

For Support Measures in the field of infrastructure:

- *The detailed budget should allow a detailed assessment of the Support Measure expenditures (by experts in the respective fields). Therefore needed are, for all works, supplies and services as well as for management expenditures, detailed descriptions, the number of units and the assumed unit prices.*
- *Do not use more than one budget item for contingency.*

[Insert table or reference to annex]

4.6.2 Tentative Disbursement Plan

Provide an estimate of when the Swiss Contribution will be spent, as a function of the six months reimbursement periods (see Regulations Article 8.2 paragraph 4) after the start of the Support Measure implementation. The first and last reimbursement periods may not last six months. Nevertheless, for now assume that all reimbursement periods last six months.

Delete/add columns as necessary.

The Annual Support Measure Report (Regulations, Article 4.13) will include an update of the disbursement plan elaborated below.

Reimbursement Period	1	2	3	4	5	6	7	8	9	10	11	12
Estimated reimbursement of Swiss Contribution in CHF												

4.7 Risk Analysis and Risk Management

Please list individual risks and corresponding mitigation measures in the following table. Add additional rows if necessary.

Take the following **risk categories** into account:

- **Development risk:** Risk, that the activities do not achieve the intended development outputs and outcomes or that the results are not sustainable. The development risks are derived from the assumptions in the logframe. Converting these assumptions into negative statements leads to the development risks. Assess in this category also whether there are risks related to the capacity or experience of the SM management team or risks related to the political context (for example delays in regulatory reforms or change in government priorities that could jeopardize the effectiveness, efficiency, sustainability or the relevance of the SM).
- **Security risk:** Risk to the implementation of the Project due to security aspects (e.g. threats to the security of infrastructure due to vandalism or natural disasters).
- **Fiduciary risk:** Risk that the allocated resources are not or inefficiently used for the intended purpose. Assess in this category also whether there are risks from insufficient rules and procedures or deficient implementation oversight by the SM management team (for example, assess whether there is enough qualified staff in the relevant accounting and controlling positions).
- **Financial risk:** Risk that some or all of the invested funds are lost and/or funding is insufficient (foreign exchange fluctuations in the event the Executing Agency rather than the Paying Authority carries the currency risk, unexpected costs, insolvency of a partner, missing co-financing etc.)
- **Environmental risk:** Risk that the SM results have a negative effect on the environment.

Social risk: Risk that the SM results have a negative effect on society in general or certain groups in society. This category englobes the risk that the SM has an adverse impact on vulnerable social groups or discriminates people based on gender, religion or ethnicity. It also comprises the risk that the SM has an adverse effect on labour and working conditions such as for example exposure of the workforce to health or safety risks or the reduction in number of staff due to increased automatisisation.

The evaluation of an individual risk shall be determined by first assessing the **likelihood (how likely an individual risk will materialise) and impact (severity of the consequences if a risk materialises)**. When assessing the impact, think not only of potential negative consequences related to the achievement of objectives, but also of negative consequences for the reputation (for example negative impacts on the environment could result in critical media reports).

First rate both impact and likelihood on scales between 1 and 5:

- Impact: Insignificant (1), minor (2), moderate (3), major (4), severe (5)
- Likelihood: Very unlikely (1), unlikely (2), possible (3), likely (4), very likely (5)

Then, based on this impact/likelihood rating, **determine the risk** (low, medium-low, medium-high, high) using the following rating matrix.

Impact	Severe (5)	medium-low	medium-high	medium-high	high	high
	Major (4)	medium-low	medium-low	medium-high	medium-high	high

	Moderate (3)	low	medium-low	medium-low	medium-high	medium-high
	Minor (2)	low	low	medium-low	medium-low	medium-high
	Insignificant (1)	low	low	low	medium-low	medium-low
		Very unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very likely (5)
		Likelihood				

Consider that:

- Assessing the severity of a consequence or how likely it is that an individual risk will materialise is not an exact science, especially since it refers to events that may occur fully, partially or not at all.
- The assessment of a risk is considered as snapshot of the current situation. Therefore, when assessing the risk level, refer to gross risks. Planned mitigation measures should not be factored into the risk level.

For **mitigation measures**, take the following into account:

- Modalities and mitigating measures integrated into the Support Measure outputs/activities and design (as thus are part of the Support Measure’s objectives in the logframe) should not be mentioned in the risk analysis.
- Because risk analysis are always forward-looking, past mitigation measures should equally not be mentioned.
- Specify the responsibilities and the implementing-deadlines. For continuous mitigation measures, indicate “continuous” measure.

The risk description and the description of the mitigation measures should each be up to 500 characters incl. spaces.

The Annual Support Measure Reporting (Regulations Article 4.13) will include reporting about the risk analysis elaborated in this proposal.

Risk	Impact [1 – 5]	Likelihood [1 – 5]	Risk level	Mitigation measure(s)
			Choose risk level	
			Choose risk level	
			Choose risk level	
			Choose risk level	
			Choose risk level	
			Choose risk level	
			Choose risk level	
			Choose risk level	

Risk	Impact [1 – 5]	Likeli- hood [1 – 5]	Risk level	Mitigation meas- ure(s)
Choose risk level				

Please describe the overall risk of the Support Measure. It should be a compilation of the individual risks outlined in the table above and, in addition, consider the general context and the potential evolution of the latter.

Overall Risk Level Support Measure

Comments on the overall risk level (if any)

4.8 Monitoring and Steering

Description of the results-oriented monitoring system with focus on outcome level, timing and responsibilities for results-oriented monitoring and steering. Reference to steering committees or other bodies for monitoring and steering.

Reference to planned (internal/external) evaluations.

For Programmes, structure according to the different Programme Components.

Indicate resources foreseen for monitoring and steering.

Length: ½ -1 page

[insert text]

4.9 Other operational issues

If there are any other operational issues that are relevant for the implementation of the Support Measure and that should be known by the authorities assessing this proposal, include them here. Otherwise, delete this section.

[insert text or delete]

5. Annexes

List here all Annexes to this form. E.g.

- Overview of implementation locations (see section 2.5, same template as in the Annual Support Measure Report)*

Annex [X]

Detailed Information to Programme Component

- *In principle, in case of Programmes, for each Programme Component this Annex needs to be filled out except detailed information about the components is available in form of feasibility studies or other documentation. Depending on the nature of the Programme and the readiness of the Programme components at the moment of the second stage submission, Switzerland and the Partner State may agree that parts of this Annex do not need to be completed or only at a later stage in view of the approval of the Programme Component by the Programme Steering Committee.*
- *In case a detailed description of the Programme Components is not yet possible at the moment of the 2nd stage submission, put emphasis on information provided under point 4.2.1. Describe there the type of activities to be financed.*
- *Inform also under point 4.2.2. about the decision making processes for the selection of Programme component proposals and beneficiaries as well as the criteria used to select the Programme component proposals. It must be credibly shown how the level of quality will be maintained through the proposed decision making process. According to Article 4.11 1b) of the Regulations, the Programme Steering Committee is in this case responsible for selecting Programme Components.*

Basic Programme Component Information

Title *Maximum 40 characters*

Planned Duration [months]

Requested Swiss contribution (CHF)

Requested co-financing rate of Switzerland [%]

6. Programme Component Operator

6.1 Basic Information

Name of Programme Component Operator

Type of entity *Choose an element.*

Attached, if deemed relevant can be:

- *CVs of the members of the Programme Component management team*
- *The terms of reference for the functions to be established*

Are CVs attached to this documentation? Yes No

Are terms of reference for the management functions to be established attached to this documentation? Yes No

6.4 Programme and Project Management Experience

Describe in this section the experience of the applying organization with programme and project management. For this, programmes and projects similar to the one described in this form, managed over the last 5 years, should be described. Indicate:

- *name of programme/project*
- *budget, duration*
- *funding-source and co-financing*
- *main purpose: short description*
- *executed procurements as part of the programme/project*
- *whether member of the programme/project team are still part of the applying organization*

If the applying organization managed more than 3 corresponding programmes/projects in the respective period, indicate the total number and limit the detailed description to 3 of them.

[Insert text]

7. Programme Component Description

7.1 Short Summary

Describe briefly the goal, strategic focus and relevance of the Programme Component.

Length: max. 1'000 characters incl. spaces (3-5 lines)

[Insert text]

7.2 Activities and Expected Results

Describe:

- *Programme Component activities*

- *expected results (levels: Outcomes, Outputs) linked to the outcomes of the programme*

Length: 1 – 1½ pages

[Insert text]

7.3 Beneficiaries

Describe briefly:

- *Beneficiaries: who will benefit from the Programme Component directly (e.g. government agency; ministry, municipality, NGO, etc.) and/or indirectly (e.g. specific group of people, etc.).*
- *In case of a Programme Component with pilot character, make a reference to potential beneficiaries once the intervention is scaled up (after the implementation of the Programme Component).*

Length: ¼ page

[Insert text]

Is the benefit of the Programme Component a national or regional benefit?

National Regional

If regional, indicate the benefiting NUTS-2 regions.

7.4 Sustainability

Describe briefly how you assure that the results of the Programme Component persist after the Programme Component has ended.

- *In terms of financial viability;*
- *In terms of capacity building;*
- *In terms of necessary legislative and policy changes*
- *In case of an innovative Programme Component with pilot character: in terms of scalability as well as institutional policies and strategies*
- *Possibility for post-implementation monitoring*

Length: ¼ - ½ page

[Insert text]

