

Annex No 1

to the Guidelines to Applicants for Obtaining Assistance under the Partnership Project Scheme of the Green Industry Innovation Programme under the Norwegian Financial Mechanism 2009-2014

ADMINISTRATIVE COMPLIANCE ASSESSMENT METHODOLOGY

Item No	Requirements for Assessment of Administrative Compliance	Yes	No	Not applicable
1.	The application for funding of the Project (hereinafter referred to as the “application”) has been submitted by the final submission deadline indicated in the Call for Applications.			
2.	The application has been submitted in the appropriate manner, as provided in paragraphs 66 and 67 of the Guidelines to Applicants for Obtaining Assistance under the Partnership Project Scheme of the Green Industry Innovation Programme under the Norwegian Financial Mechanism 2009-2014 (hereinafter referred to as the “Guidelines”).			
3.	The application has been fully completed and it fully corresponds with the application form, as provided in paragraphs 68 and 73 of the Guidelines.			
4.	A printed version of the application has been submitted together with an electronic version of the application (entered into an electronic storage medium and fully conforming to the paper copy).			
5.	The document certifying the authorisations of the person, who signed the application (if the application is signed by the authorised person), has been submitted.			
6.	A copy or a duplicate (a duplicate has the meaning defined in the Document Management and Accounting Rules approved by Order No V-118 of the Chief Archivist of Lithuania of 4 July 2011 (Official Gazette 2011, No 88-4230) of the applicant’s articles of association (regulations and/or statute) has been submitted.			
7.	Duplicates or copies of the applicant’s approved financial statements for the last year (the financial statement documents specified in Section IV of Business Accounting Standard No. 1 “Financial Statements” approved by Order No VAS-12 of the Director of the public institution Audit and Accounting Service of 13 May 2010 (Official Gazette, 2010, No 57-2828) are			

	submitted and the documents of interim financial statements for the last 12 months until the submission date of the application have been submitted. If the financial statements for the last financial year have not been approved yet, the financial statements signed by the Head of the applicant must be submitted. Interim financial statements must be signed by the head of the applicant also.			
8.	The note certifying the applicant's settlement with the national and municipal budgets and the national monetary funds, issued by the county's state tax inspectorate, or a document issued by the state enterprise Centre of Registers, substantiating the aggregate data processed by competent authorities no earlier than 2 months prior to the submission of the application has been submitted. In case the payment of the tax is deferred following the agreement with the tax administration authority, the documents or copies thereof certifying the deferment have been submitted.			
9.	The undertaking to contribute to the project with own funds, signed by the Head of the applicant, specifying the amount of the own contribution, the percentage and the financing source and other documents substantiating the financing sources, as provided in paragraphs 8.1.1 and 8.1.2 of Annex No 2 to the Guidelines have been submitted.			
10.	The Declaration on the Status of a Small and Medium-Sized Business Entity, the form of which is approved by Order No 4-119 of the Minister of Economy of the Republic of Lithuania of 26 March 2008 (Official Gazette, 2008, No. 36-1298), has been submitted.			
11.	The documents proving the validity of the project's budget (commercial offers provided by suppliers, references to the applicable market prices, etc.) have been submitted. To prove the expenditure related to salaries payable to the persons implementing and administering the project, the certificates on the salaries received during 6 months before the submission of the application have been submitted. In the event that it is planned to hire a new employee for the implementation of the project activities, the substantiation of a particular amount of the salary payable to him/her (for example, according to the amount of salary paid to the employees performing similar functions in the enterprise, or based on the average salary rates of the respective job announced by the Department of Statistics) has been submitted.			
12.	A business plan substantiating the necessity of the project and proving the need for funding has			

	been prepared in the Lithuanian or English language (if the project is carried out without any partners or if a partner(s) is (are) registered in the Register of Legal Entities of the Republic of Lithuania) or English language (if at least one partner is registered in the Kingdom of Norway in accordance with laws of this country).			
13.	When providing new construction, reconstruction or repair works in the project, the project of the building (construction, reconstruction or repair) and the document permitting the construction or the document substantiating that building project and the document permitting the construction is not necessary (copy(ies) (if applicable) and the agreement of joint owners of the building and the land (if there are joint owners). Cases when the construction permitting document is required for plain repair are laid down in the Technical Construction Regulation TCR 1.07.01:2010 “Construction permitting documents”, approved by Order No D1-826 of the Minister of Environment of the Republic of Lithuania of 27 September 2010 (Official Gazette, 2010, No 116-5944).			
14.	An extract from the Real Estate Register prepared on the basis of the central data bank and issued by the state enterprise Centre of Registers on the applicant’s title to the property, which will be used for the implementation of the project, or a copy of this property management contract, if the property is not held by the applicant by the right of ownership, or the memorandum of understanding for property management together with a draft property management contract has been submitted (if the property for which funding has been allocated is held not by the right of ownership, copies of the documents certifying the right (or the intention to acquire the right) to the real estate that is directly related to the project (the property held by the right of loan for use, trust, ownership or lease) must be submitted. A property management contract must be concluded for at least 5 years after the completion of the implementation of the project and registered with the Real Estate Register of the Republic of Lithuania) (where applicable).			
15.	In the event that an environmental impact assessment is mandatory under the applicable legal acts, an environmental impact assessment report (a duplicate) and copies of the decision or conclusion of the selection of the responsible institution or the applicant’s letter, in a free form, certifying that the requirement regarding an environmental impact assessment is not applicable to the project (where it is not mandatory to carry out an environmental impact assessment) have			

	been submitted.			
16.	In the event that an integrated pollution prevention and control permit (hereinafter referred to as the “permit”) for the activities performed or planned to be performed is mandatory under the applicable legal acts, a copy of the permit (if obtained) with annexes or an explanatory letter signed by the Head of the applicant, which states (referring to the applicable legal acts and indicating the reasons why) that such a permit is not mandatory have been submitted.			
17.	A copy of the joint activity (partnership) agreement drawn up in the Lithuanian (if a partner(s) is (are) registered in the Register of Legal Entities of the Republic of Lithuania) or English language (if at least one partner is registered in the Kingdom of Norway under the laws of the Kingdom of Norway) has been submitted (if applicable).			
18.	The document substantiating the assignment of indirect expenditure to the project according to the <i>pro rata principle</i> has been submitted (where applicable).			
19.	A permit, licence or business certificate issued under the procedure laid down in the legal acts of the Republic of Lithuania has been submitted; however, if it can be issued only following the implementation of the planned project activities, the undertaking confirming that a copy of such permit, licence or business certificate will be submitted to the CPMA no later than within 12 months after the completion of the implementation of the project has been produced (where applicable).			
20.	The project publicity plan prepared in accordance with the requirements of Annex No. 4 to the Regulation on the Implementation of the 2009-2014 Norwegian Financial Mechanism has been submitted.			
	In the event a partner(s) applying for funding takes part in the project:			
21.	The separate section “Information about the Partner” of Part (B) of the application (Annex No 4 to the Guidelines) completed and signed by each partner has been submitted.			
22.	A copy of the articles of association (regulations, statute) of each partner has been submitted. (If the document is in the Norwegian language, it shall be accompanied by a translation into the Lithuanian or English languages).			
23.	A copy of the registration certificate of each partner registered in the Kingdom of Norway has been submitted (where applicable) (if the document is in the Norwegian language, a translation			

	into the Lithuanian or English language has to be provided).			
24.	A copy of the Declaration on the Status of a Small and Medium Sized Business Entity in conformity to legal acts of the Republic of Lithuania or the Kingdom of Norway for each partner has been submitted (if the document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided) (where applicable).			
25.	<p>Duplicates or copies of the approved annual financial statements (submitting financial statements indicated in Chapter IV of the H 1st Business Accounting Standard “Financial statements” or Chapter III of the 1st Public Sector Accounting and Financial Reporting Standards “Providing Information in a Set of Financial Statements” approved by the Order of the Minister of Finance No. 1K-388 of 28 December 2007 (Official Gazette, 2008, No.1-29; 2009, No. 157-7103)) and interim financial statements for the past 12 months of each partner have been submitted. If the financial statements for the last financial year have not been approved yet, financial statements signed by the Head of a partner must be submitted. Interim financial statements shall also be signed by the Head of a partner.</p> <p>A partner registered in the Kingdom of Norway submits annual financial statements in conformity to legal acts of the Kingdom of Norway.</p> <p>(If the documents are in the Norwegian language, a translation into the Lithuanian or English language has to be provided).</p>			
26.	<p>A certificate evidencing the fact that each partner has made settlement with the state and municipal budgets as well as the state monetary funds issued by a district state tax inspectorate, or a document issued by the State Enterprise Centre of Registers evidencing processed joint data of competent authorities no earlier than 2 months prior to submitting the application. In case where pursuant to an agreement with an institution administering taxes tax payment has been deferred, documents evidencing such a deferral or copies thereof have been submitted.</p> <p>A partner(s) registered in the Kingdom of Norway shall submit documents in conformity with legal acts of the Kingdom of Norway proving the fact that a partner(s) has (have) fulfilled his (their) obligations relating to the payment of taxes or contributions (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).</p>			

27.	A permit, licence or business certificate issued under the legal acts of the Republic of Lithuania or the Kingdom of Norway for each partner, if the activities carried out by a partner related to the implementation of the project are licensed under the laws of the Republic of Lithuania or the Kingdom of Norway, or a permit of some other form is necessary for the implementation thereof has been submitted; however, if such a permit can be issued upon the implementation of activities provided for in the project only, a commitment that a copy of a permit, licence or business certificate will be submitted to the CPMA no later than within 12 months after the completion of the implementation of the project has been provided (if applicable) (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).			
28.	A commitment of the Head of a partner to contribute its own funds to the project indicating the amount of own contribution, percentage and source of funds as well as documents substantiating other sources of funding, as provided for in paragraphs 8.1.1 and 8.1.2 of the Methodology for the Assessment of Eligibility for Funding (Annex No. 2 to the Guidelines) (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).			
In the event that the project involves a partner(s), which does not seek to obtain funding				
29.	The separate section “Information about the Partner, Which Does Not Seek to Obtain Funding” of Part (B) of the application (Annex No 4 to the Guidelines) completed and signed by each partner has been submitted.			
30.	A duplicate of the articles of association (regulations, statute) of each partner has been submitted (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).			
31.	A copy of the registration certificate of each partner registered in the Kingdom of Norway has been submitted (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).			
32.	The Declaration on the Status of a Small and Medium-Sized Business Entity in conformity to the legal acts of the Kingdom of Norway or the Republic of Lithuania of each partner has been			

	submitted (where applicable) (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).			
33.	<p>Duplicates or copies of the approved annual financial statements for the last year of each partner (the financial statement documents specified in Section IV of Business Accounting Standard No. 1 “Financial Statements” approved by Order No. VAS-12 of the Director of the public institution Audit and Accounting Service of 13 May 2010 (Official Gazette, 2010, No 57-2828), or those specified in Section III of Public Sector Accounting and Financial Reporting Standard No. 1 “Submission of the Financial Statement Package” approved by Order No. 1K-388 of the Minister of Finance of the Republic of Lithuania of 28 December 2007 (Official Gazette, 2008, No 1-29; 2009 No. 157-7103) are submitted) and the documents of interim financial statements for the last 12 months until the submission date of the application have been submitted. If the financial statements for the last financial year have not been approved yet, the financial statements signed by the Head of the partner must be submitted. Interim financial statements must be signed by the Head of the partner (applicable to partners contributing their own funds).</p> <p>The partner(s) registered in the Kingdom of Norway submits the documents of annual financial statements in conformity with the legal acts of the Kingdom of Norway (applicable to partners contributing their own funds).</p> <p>(If a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).</p>			
34.	A permit, licence or business certificate issued under the legal acts of the Republic of Lithuania or the Kingdom of Norway to each partner has been submitted; however, if it can be issued only following the implementation of the project activities, the undertaking that a copy of such permit, licence or business certificate will be submitted to the CPMA no later than within 12 months after the completion of the implementation of the project has been produced (where applicable) (if a document is in the Norwegian language, a translation into the Lithuanian or English language has to be provided).			