

EEA FINANCIAL MECHANISM 2009-2014

STRATEGIC REPORT 2016

PORTUGAL



Reporting Period: 2016

National Focal Point - National Management Unit

March 2017

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ABBREVIATIONS

ADC	Agency for Cohesion and Development (Certifying Authority)
EEA	European Economic Area
EEA FM 2009-2014	EEA Financial Mechanism for 2009-2014
EFTA	European Free Trade Association
EU	European Union
FBR	Fund For Bilateral Relations
FMC	Financial Mechanism Committee
FMO	Financial Mechanism Office
IGF	General Inspectorate of Finance (Audit Authority)
MoU	Memorandum of Understanding
NFP	National Focal Point
NGO	Non Governmental Organizations
PO	Programme Operator
PP	Project Promoter
PDP	Pre-defined Project
Regulation	Regulation on the implementation of the EEA FM 2009-2014
UNG	National Management Unit (National Focal Point)

STRATEGIC REPORT 2016

1 EXECUTIVE SUMMARY

The EEA GRANTS are tackling both economic and social disparities in a balanced approach through the distribution of funds between programmes with economic and/or social direct impact. In 2015 Portugal kept the positive trend registering 1,6% GDP growth (provisional) but still below the EU average (1,8%). In the social context Portugal was hit hard in many ways by the economic and financial crisis, in particular in youth unemployment.

The Mid-term evaluation of the bilateral relations conducted by FMO concluded that the funds made available were successful in strengthening the bilateral relations. Despite the low level of absorption of these funds at programme level, the partnerships with Donor entities and other bilateral indicators show good results. At national level, no additional bilateral activities have been funded in this period. Further initiatives of bilateral interest shall be agreed upon with the Donor States for the use of the remaining funds of about € 93.000, corresponding to 32% of the total FBR amount.

An overview of the programmes' implementation status shows greater achievement of targets, in particular on so-called "soft measures" and 4 out of 8 programmes already reported full or over achievement of the contracted outputs. Moreover, in the reporting period programmes accelerated the rate of payments to projects in 72% (Programme Outcomes) since December 2015. All projects with final date of eligibility of expenses by April 30th 2016 were reported as completed and by December 2016 181 projects from a total of 212 projects were reported as concluded. Final reports and payments of final balances are ongoing.

Monitoring actions and Audits, performed by the National Focal Point (NFO), Audit Authority (AA), Certifying Authority (CA), Programme Operators (PO) and those contracted by the FMO do not show outstanding deviations or concerns in the implementation on the EEA FM 2009-2014.

All irregularities detected in this reporting period on projects have been identified and communicated to the NFP directly by the PO, demonstrating a high level of accuracy in their control of projects' expenditure.

Portugal was considered a good example on Information & Publicity requirements by Coffey International in the Communications Review.

An updated risk assessment shows that the risks identified before have decreased and that to a large extent they can be considered mitigated or prevented.

2 ASSESSMENT OF THE EFFECT OF THE GRANTS

The European Economic Area (EEA) Agreement between the European Union (EU) and the European Free Trade Association (EFTA) States, entered into force in 1994, established a financial contribution (EEA GRANTS) aiming at reducing economic and social disparities in the EEA. In 2010, the Protocol 38b to the EEA Agreement established the conditions for the current Financial Mechanism 2009-2014 (EEA FM 2009-2014) and included the strengthening of bilateral relations as a second overall objective.

The Memorandum of Understanding (MoU) on the implementation of the EEA FM 2009-2014 in Portugal, entered into between Iceland, the Principality of Liechtenstein, the Kingdom of Norway and the Republic of Portugal, was signed on the 29th of March 2012 and amended in 2014 (Annex B in February 2014 and Annex A in November 2014 and in June 2016). For the current EEA FM 2009-2014, Portugal benefits from a total allocation of about 58 Million Euros, with a net allocation of about 53.6 Million Euros. Eight Programme were identified in the MoU to be supported by the EEA FM 2009-2014 in Portugal with the following financial allocations:

Portugal	EEA FM
Programme	Contribution
(PT02) Integrated Marine and Coastal Management	€19.247.250
(PT03) Renewable Energy	€4.000.000
(PT04) Adaptation to Climate Change	€3.000.000
(PT05) Civil Society (NGO)	€8.697.500
(PT06) Public Health Initiatives	€10.000.000
(PT07) Mainstreaming Gender Equality and Promoting Work-Life Balance	€2.500.000
(PT08) Cultural Heritage	€4.000.000
(PT09) Cultural Footprint	€1.000.000
Subtotal	€52.444.750
Other Allocations	
(PT01) Technical assistance to the Beneficiary State	€869.250
(PT01) Fund for bilateral relations at national level	€289.750
Net allocation to Portugal	€53.603.750

This section aims to assess the expected effect of the EEA GRANTS in relation to the overall objectives of the EEA FM 2009-2014:

- ❖ Contribute to reducing economic and social disparities in EEA and
- ❖ Strengthen bilateral relations between Donor and Beneficiary States.

2.1 Cohesion

The EEA GRANTS are tackling both economic and social disparities in a balanced approach through the distribution of funds between programmes with economic and/or social direct impact.

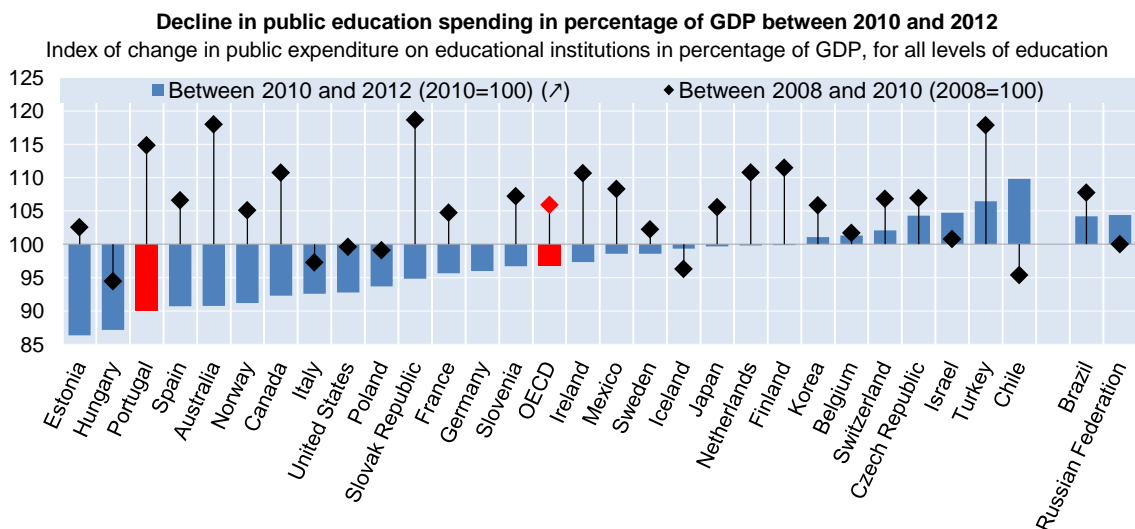
In 2015 Portugal kept the positive trend registering 1,5% GDP growth but still below the EU average (1,8%).

In the social context Portugal was hit hard in many ways by the economic and financial crisis. One of the major hits was on youth unemployment.

According with OECD «*The proportion of young people who are not in employment, education or training (the **NEET**) rose in Portugal during the Great Recession. Up until 2007 the NEET rate in Portugal was slightly below the OECD average at around 14%. Between 2008 and 2013 it rose to 19%. By 2015 the NEET rate had receded to 15%, however it is still above the levels seen before the crisis. (...) And the «costs of the NEET phenomenon is estimated at more than 1% of GDP for Portugal».*¹

The global youth unemployment rate in 2016 followed the slight decrease observed across Europe but still registering a high rate of 28%.

On the other hand «*High pressure on public budgets has led to fiscal consolidation efforts over the last years. Portugal reported the 3rd largest decline in **education** spending since 2010, together with the second largest decline in the growth rate of **health** expenditure for 2009-2013*².

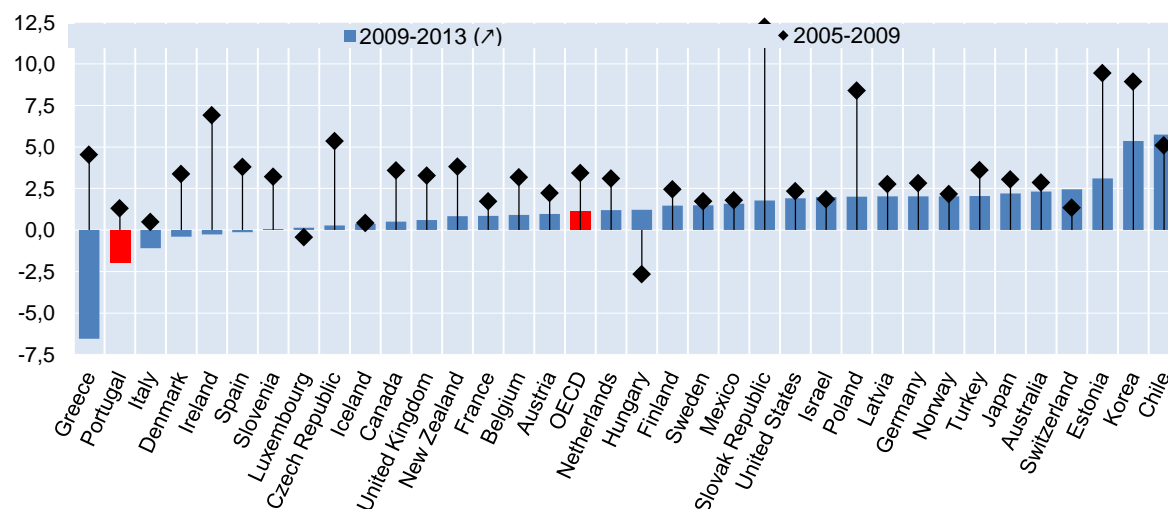


Source OECD

Since 2009, health spending has slowed markedly in several countries after years of continuous growth
Annual average growth rate in per capita health expenditure, real terms, 2005-2009 and 2009-2015 (or nearest year)

¹ Society at a Glance 2016 © OECD 2016, OECD Social Policy Division, Directorate for Employment, Labour and Social Affairs, <http://www.oecd.org/portugal/SAG2016-portugal.pdf>

² Idem.

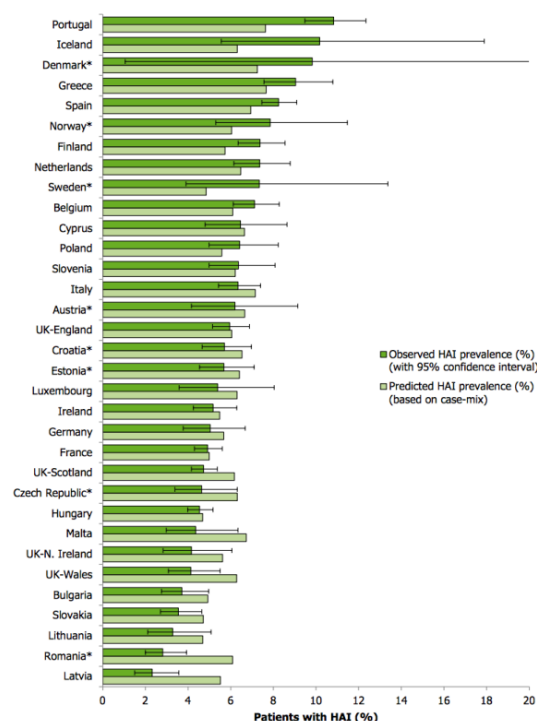


Source OECD

The context for the potential effects from the grants can be better perceived in the assessment made in the Programmes Annual Reports (submitted by Programme Operators to the FMO by 15th February) on each of the programme areas specific developments and the impact of the financed projects. We can highlight as example the assessment made by the Programme Operator of the Public Health Initiatives

Programme (PT06) on the 2016 Annual Programme Report, reporting on one of areas addressed by the Programme (prevention and treatment of communicable diseases):

In the last infection prevalence survey, from 2012,(...) the Portuguese hospital acquired infection rates were 6.1% higher than the European average (Figure 1). In the same study, Portuguese hospitalized patients had more serious clinical situation than those in almost all other European countries, but still, the percentage of patients infected due to hospitalization (10.5%) was higher than based on the severity of the clinical situation. (...). Reiterating what was previously declared about public health investment gaps, nationwide surveillance of communicable diseases is still underestimated by public funding and the Present Programme represents an essential impulse for developing information technologies to support evidenced-based practices and future policies.



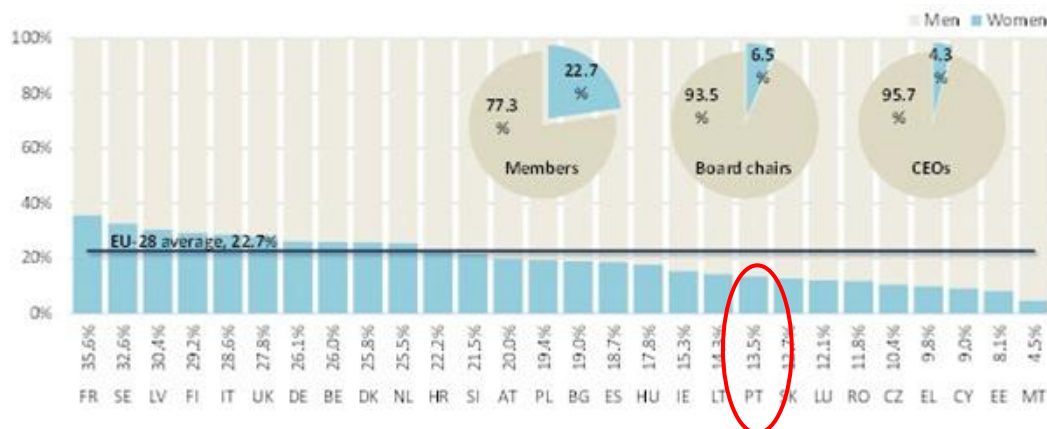
*Country representativeness of the PPS data was optimal or good in 25 (76%) countries, and poor or very poor in 8 (24%) countries. Countries (number of participating hospitals) with poor representativeness were: Austria (n=9), Croatia (n=11), Czech Republic (n=14), Estonia (n=4), Norway (n=7), Romania (n=10) and countries with very poor representativeness were Denmark (n=3) and Sweden (n=4). Denmark: upper limit of 95% confidence interval not included. HAI prevalence=9.8% (95% CI 1.0-52.7).

Figure 1: Observed HAI prevalence with 95% confidence intervals and predicted HAI prevalence based on case mix and hospital characteristics, by country, ECDC PPS 2011-2012 (Source: ECDC 2013)

Programme (PT07 (Mainstreaming Gender Equality and Promoting Work Life Balance), and on the 2016 Annual Programme Report states that:

«Attitudes towards equality are evolving, but today's younger generation is not immune to gender stereotypes and disparities. Gender inequalities in education persist – in terms of study subject preferences, performance and patterns of participation. Women are more likely to have a higher education degree but remain overrepresented in fields of study that are linked to traditional female roles such as care-related fields and are under-represented in science, mathematics, IT, engineering and related careers. As a result, inequality in occupations is taking new forms rather than diminishing and, despite their investment in education, young women are still twice as likely as young men to be economically inactive. Women also represent the biggest untapped source of entrepreneurial potential, representing only 29% of entrepreneurs.

Representation of women and men on the boards of the largest listed companies, October 2015



European Commission, Database on women and men in decision-making

2.2 Bilateral relations

Strengthening the bilateral relations between Donor and Beneficiary States is the second overall objective of the EEA GRANTS.

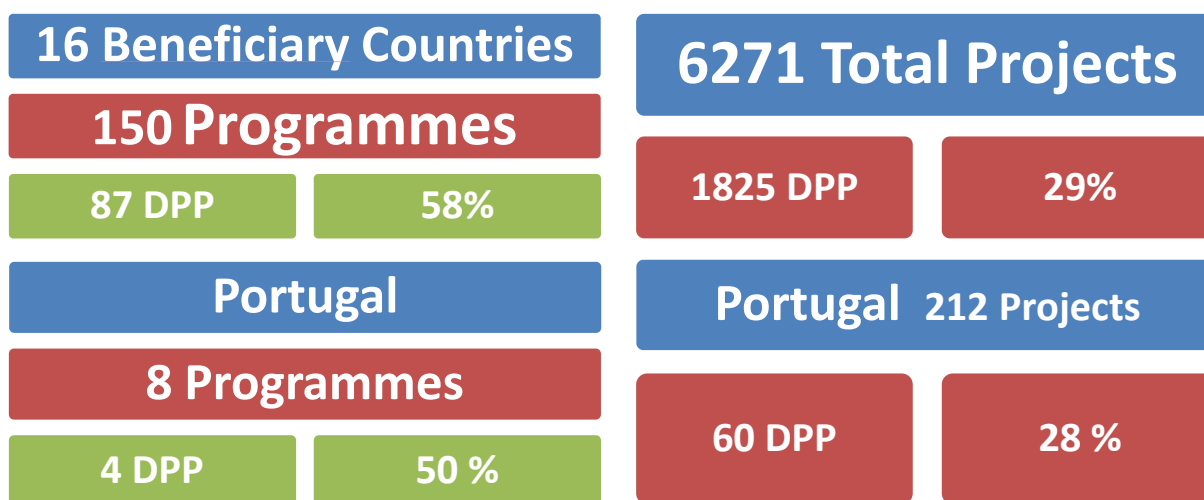
The dimension of strengthened bilateral cooperation is diverse and results can be measured at multiple levels, namely through: a) quantitative indicators of formal partnerships at programme and project level and b) qualitative indicators such as (i) shared results (e.g. policies, legislation, strategies, new technologies, knowledge or practices), (ii) improved mutual understanding by bringing people and institutions together building connections and raising trust and (iii) wider cooperation between entities, where spontaneous and independent partnerships are created and sustained even beyond the EEA GRANTS financial support.

The FMO has contracted a mid-term evaluation of the bilateral relations under the current EEA and Norway Grants 2009-14 conducted by COWI, during the second half of 2015 and early 2016, with the aim to assess to what extent and in which way the EEA and Norway Grants contribute towards strengthening bilateral relations between Donor and Beneficiary States. Although this evaluation did not cover Portugal as a particular case study country, national stakeholders were subject to interviews and questionnaires and the conclusions drawn by the study are relevant to

all Beneficiary and Donor States as lessons learnt. The final report, released in June 2016³, highlights the following as main findings:

«The mid-term evaluation found that the EEA and Norway Grants are successful in strengthening bilateral relations at programme and project level through a number of dedicated tools. Most of the tools directly support the programmes and projects in setting up bilateral partnerships, developing shared results, mutual knowledge and understanding and ensuring the wider effects of the work. Bilateral funds, Donor Programme Partners (DPPs) and donor project partners all support this goal to a large extent. Yet, stakeholders in all beneficiary countries articulated a need for additional DPPs and donor project partners. Together with administrative procedure, the lack of partners is a main barrier in all programmes and projects. Beneficiary states employ very different implementation systems, and administrative procedures are considered complicated, lengthy and time consuming. Finally, the evaluation found that the effect of the EEA and Norway Grants may have been somewhat influenced by a late programme start resulting in overly tight time frames for project planning and implementation. »

In the quantitative indicators Portugal follows closely the global trend among all other Beneficiary States with 50% of the total 8 programmes with Donor Programme Partners and 28% of the contracted projects with Donor Project Partners.

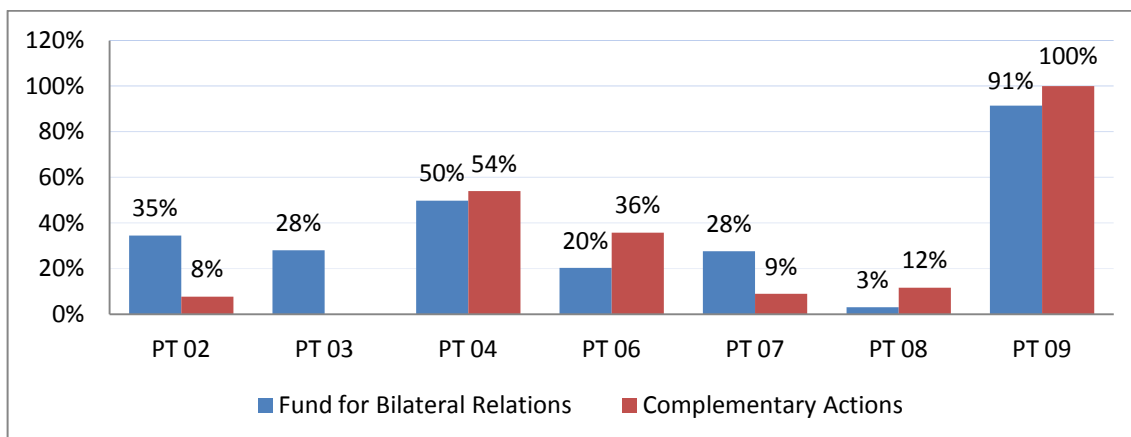


2.1 Fund for Bilateral Relations at programme level

At programme level bilateral funds correspond to an allocation of at least 1.5% of the eligible expenditure of the total Programme budget. In some cases this may represent significant funds available (v.g. PT02 €339.657) to finance eligible activities that require small amounts of funding (such as travels, conference costs, etc.).

³ <http://eeagrants.org/Results-data/Documents/Evaluations-and-reviews>

The 7 programmes that report to the NFP (the NGO Programme reports to the FMO) show that in average the use of the FBR and Complementary Actions (CA) at programme level by 31.12.2016 is still low, with the exception of PT09 (Cultural Footprint) that reported a full use of the CA and a rate of 91% for FBR available after reallocation of unspent funds (see tables below).



Programme Lines	Available Amount	Disbursed Amount	Incurred %
Fund for Bilateral Relations	€ 1.020.377	€368.354	36%
Complementary Actions	€ 267.443	€44.122	16%
TOTAL	€1.287.820	€412.476	32%

Although the final eligibility date for the FBR and CA at Programme level ends by 31.12.2017 (except for PT09 that ends by 30.06.2017) the risk of unspent funds is at this stage considered moderate.

Regardless the under spending trend of the FBR at programme level, POs report high achievement in the bilateral indicators. In some cases, the programmes set extensive indicators beyond formal partnerships and report good progress on the proposed targets (v.g. PT03 (Renewable Energy) and PT02 (Integrated Marine and Coastal Management) as presented below.

PT03 Bilateral Indicators	Target	Total Achieved Results By 30.09.2016
Number of project partnership agreements in beneficiary civil society	2	2
Number of project partnership agreements in the beneficiary public sector	3	3
Number of persons involved in exchange visits between beneficiary and donor states	12	15
Cooperation between PO and DPP on the field of SGS	12	12

PT02 Bilateral Indicators	Target	Total Achieved Results By 30.09.2016
Number of project partnership agreements in the beneficiary public sector	3	3
Number of projects with expected shared results (both partners are involved professionally in planning and implementation and can claim credit for achieved results).	12	7
Number of professional networks between institutions in beneficiary and donor states established and operational	6	7
Number of European and international networks where project and programme partners participate together	3	0
Number of new actions/activities as a result of bilateral cooperation, under the grants.	2	1
Number of project partnership agreements	12	7
Number of seminars executed	3	2
Activities aimed to Networking, exchange, sharing and transfer of knowledge, technology, experience and best practices between Project Promoters and entities in the Donor State(s) - Number of actions/activities executed	12	1
Actions for develop partnership on Education and Training - Number of actions/activities executed	2	2
Actions for develop partnership on Research & Innovation - Number of actions/activities executed	3	1
Actions of joint (bilateral) articles published, written by persons from both an institutions in a beneficiary and donor state, published in a national or international publications, originated from a project financed by the programme. - Number of actions/activities executed	5	1



Picture 1: Cultural Footprint International Closure Event at S. Carlos Theater, December 2016

In some cases Programme Operators agreed with the Donor States the reallocation of unspent funds by projects to the respective FBR in order to increase funds available to support international events with the participation of Donor Programme Partners and Donor Project Partners and dissemination of results achieved with the programmes/projects. This was the case for PT07 (Mainstreaming Gender Equality and promoting Work-Life Balance) for an amount of €55.829 (June 2015), PT09 (Cultural Footprint) for a total amount of €68.980 (August 2015 and December 2016) and PT06 (Public Health Initiatives) for the amount of €75.000 (December 2016).

2.2 Fund for Bilateral Relations at national level

The *Agreement on the Technical Assistance and the Fund for Bilateral Relations at national level* was entered into by the NFP and the Donor States/FMC in September 2012. The FBR at national level amounts to € 289.750.

As reported in the previous strategic reports, the FBR at national level, managed by the NFP according to the Work Plan approved by the Donors, supported mainly the participation of researchers and/or staff from national entities, mostly Universities and NGO's, on events taking place in Portugal or in the Donor States, within the priority areas. In particular, networking, exchange and transfer of knowledge, technology and best practice on current and/or future cooperation were supported, first under a call procedure that took place in 2013 (7 initiatives executed) and later on identified initiatives of common interest between the Donors and national entities (International Conference on youth employability, International Seminar and Award on Analytical Cities, International Seminar and Award on Natural Parks Branding and Ministerial Mission to Norway and Iceland "Go for Green Growth").

In the reporting period the administrative procedures were concluded for all initiatives supported so far by the FBR at national level, with last payments and final reports completed.

At this stage it is possible to report the overall financial execution resulting from the selected activities approved in the open calls in 2013 (from 19 applications received, 13 projects were selected and 7 projects were concluded⁴ with a total amount paid to beneficiaries of €30.000) and from the 4 pre-defined initiatives (with a total amount paid of €155.100).

The table below provides the financial report of the FBR at national level by the end of the reporting period:

Budget Heading	Total Amount Available 1	FMO Disbursements 2	Payments (30-10-2015) 3	Commitments 4	Total Commitments 5=3+4	Uncommitted 6=1-5
Fund for Bilateral Relations	€289.750	€214.299	€196.337	€0,00	€196.337	€93.413

The uncommitted funds amount to €93.413 and are eligible until April 30th 2018. Future initiatives to be supported by this bilateral component including the final event of the EEA FM 2009-2014 shall be agreed between NFP and the Donor States.

⁴ From the total 13 selected activities 5 were not be executed: 1 expired funding decision (AEISA), 1 project promoter withdraw the funding (ADPMA), 2 were not implemented (FFCUL and ICS) and 1 was considered not eligible for funding after verification of the payment claim (IOM).

3 REPORTING ON PROGRAMMES

3.1 Overview of Programme status

The FMO contracted a Mid-Term Review for the EEA GRANTS to the Centre for Strategy and Evaluation Services to assess the efficiency and effectiveness of the EEA FM 2009-2014, with Portugal being one of the seven case study Beneficiaries States. This external analysis targeted in particular the Programmes PT02 (Integrated Marine and Coastal Management), PT03 (Renewable Energy), PT04 (Adaptation to Climate Change), PT06 (Public Health Initiatives) and PT07 (Mainstreaming Gender Equality and Promoting Work-Life Balance). Specific sector evaluations on the Civil Society and Culture and Arts programmes had been carried out previously by the FMO.

In the final report of the Mid-term review, released in February 2017, the general findings for Portugal (referring to 2015) highlighted the following: *"Although Portugal was one of the last countries to complete the MoU negotiation process and have a first programme approved, the process of gaining programme approval was shorter than in other countries. As a result, the launch of the first project was in line with other countries. The programmes have also been relatively efficient in disbursing funds with 80% disbursed (compared to the average of 67%). This has been helped by allocating a high proportion of funds to large projects and pre-defined projects. Progress varies widely across the case study programmes. By the end of 2015, there was high achievement against targets within the climate change (PT04) and gender equality (PT07) programmes. There was limited achievement by end 2015 against targets within the marine and coastal management (PT02) and public health (PT06) programmes. Within the renewable energy programme, all targets had been met for capacity-building but achievement of the other targets were dependent on successful completion of the geothermal energy plant in Terceira, which had faced some delays but was expected to be brought to a successful conclusion."*

Regarding the progress toward the achievement of the targets set for the programmes and reported by 31.12.2016, the trend assessed in the Mid-Term Review is accurate. PT04 (Adaptation to Climate Change) and PT07 (Mainstreaming Gender Equality and Promoting Work-Life Balance) have already reported full achievement of contracted results with most projects completed or approaching final completion. PT05 (NGO Fund) and PT09 (Cultural Footprint) have already reported all projects completed and clearly overachieved the proposed outcomes. On the other hand, PT02 (Integrated Marine and Coastal Management) and PT03 (Renewable Energy) show to date relevant achievement on capacity building, education and public awareness targets, the so called "soft measures", but depend strongly on the final completion of the remaining projects for results that seek long term results in physical investments or viability of technical procedures and where public procurement procedures tend to be heavier and lengthy with higher risk associated. The PT06 (Public Health Initiatives), although faced delays in the selection procedure, is nonetheless visibly progressing in the report of the complex set of contracted outputs.

Details on results by programme are addressed in chapter 3.2 Individual Programme Reporting in this report.

The table below shows the figures for the total amounts committed and spent until the end of December 2016, per budget line, according with the quarter reports submitted to the NFP by the PO's and the information provided by the NGO Fund Manager. Progress reported by 31.12.2016 state a high rate of acceleration on expenditure compared with 31.12.2015.

	Total Committed by Budget Line	Total Expenditure by Budget Line 31.12.2015	Total Expenditure by Budget Line by 31.12.2016	Progress Rate
Programme Management	4.119.549 €	2.034.155 €	3.021.899 €	49%
Programme Outcomes	52.032.112 €	22.865.148 €	39.421.195 €	72%
Fund for Bilateral Relations	1.158.840 €	261.179 €	487.026 €	86%
Complementary Actions	483.730 €	52.043 €	121.281 €	133%
Programme Proposal Preparation	76.514 €	74.470 €	74.470 €	0%
TOTAL	57.870.745 €	25.286.995 €	43.125.871 €	71%

As reported in the Strategic Report 2015, in May 2015 the Donor States considered the possibility of generally granting exceptional extensions of the final eligibility date to projects, from 30 April 2016 to 30 April 2017, in order to improve results in the implementation of the programmes. The Donors did not extend this possibility to the Funds operated by the FMO, which in Portugal is the case for the NGO Fund (PT05) managed by *Fundação Calouste Gulbenkian*. Therefore, from the total of 212 projects contracted, 99 could benefit of the possibility of exceptional extension of the final date of eligibility.

After the project's risk assessment carried out by the Programme Operators and in agreement with the NFP, 66 projects were proposed and approved by the Donors to benefit from the extension of the final date of eligibility of expenditures. The Cultural Footprint Programme (PT09) Operated by DGArtes did not apply any of the 10 projects contracted to that possibility.

This exceptional extension of the final date of eligibility has increased the potential to improve the programmes' objectives and results but has also risen the risk of under spending the allocated funds by the end of the eligibility period (30th April 2017) with potential significant amounts not being able to be re-granted to other activities of the programmes at a later stage.

A total of 146 projects ended the eligibility date by 30.04.2016 (113 in NGO Fund and 33 on the remaining programmes) of which all were reported as finalized. Although not all the final reports and balances were already approved by 31.12.2016, programmes report an equivalent of 99% of these project grant payments. From the remaining 66 projects with extended final eligibility date, a total of 35 projects were reported as finalized, leaving a total of 31 projects to be finalized by 30.04.2017. The total payment rate to these projects was up to 66% by 31.12.2016.

Total Projects	Total Project Grant Amount	Number of Projects by final date of execution		% of Nr. Projects	Total Project Grant by final date of execution	% of the Total Project Grant Amount	Total expenditure reported by PO by 31.12.2016	Projects reported as finalized by 31.12.2016
212	€52.300.353	146	30 April 2016	69%	€11.977.757	23	(99%) €11.822.212	146
		66	30 April 2017	31%	€40.336.271	77	(66%) €26.633.627	35

In addition, the following table shows the rate of disbursement by Programme compared with the incurred rate according with the available data in DoRIS, considering the last Interim Financial Reports (IFR) for reported expenditure from August to December 2016 (Adapted DoRIS extracted Report Nr. 24 by 21.03.2017).

Programme id	Donor decision date	Implementation (total Programme)		Programme Grant rate	Total grant amount (excluding co-financing)	Total grant amount (with co-financing)	% of disbursement	% of incurred
		Disbursed to date	Total incurred eligible expenditure to date					
PT01		€991.446	€837.057	100,00%	€1.159.000	€1.159.000	86%	72%
PT02		€17.774.403	€13.143.816	94,582%	€19.247.250	€20.349.716	92%	65%
PT03		€3.954.549	€4.619.639	85,00%	€4.000.000	€4.705.882	99%	98%
PT04		€2.890.900	€2.577.270	85,00%	€3.000.000	€3.529.412	96%	73%
PT05		€8.384.675	€8.190.256	100,00%	€8.697.500	€8.697.500	96%	94%
PT06		€9.304.366	€9.040.884	85,00%	€10.000.000	€11.764.706	93%	77%
PT07		€2.443.571	€2.426.632	85,00%	€2.500.000	€2.941.176	98%	83%
PT08		€3.895.389	€1.942.804	85,00%	€4.000.000	€4.705.882	97%	41%
PT09		€977.568	€1.153.748	85,00%	€1.000.000	€1.176.471	98%	98%
		€50.616.867	€43.932.106		€53.603.750	€59.029.746	94%	74%

The deviation between the disbursement rate and the incurred expenditures by the Programmes was straitened to 20% after last payments from FMO in December 2016, when by September 2016 it was 23%. Overall this difference is considered consistent with the progress registered on programmes and with the advance and final balance payments systems of the EEA FM 2009-2014 procedures, provided for in the Regulation. Major deviations can be seen on PT02 (Integrated Marine and Coastal Management) and on PT08 (Cultural Heritage).

3.2 Individual Programme reporting

This section aims to provide a summary of progress for each Programme.

PT02 - Integrated Marine and Coastal Management

PT02 has the highest financial contribution from the EEA FM 2009-2014 (€19.247.250). The Programme, managed by Direção Geral de Política do Mar (DGPM), seeks to promote improvement on the ability to monitor marine environment in situ and remotely; improvement of integrated management of marine and coastal waters and national capacity assessment and prediction of environmental status of marine waters; awareness raising, education and training on marine environment and its resources.

It is implemented through 2 pre-defined projects (PDP):

- ❖ PDP#1 - the acquisition and fitting of a Dynamic Position (DP) vessel to support scientific investigation by *Instituto Português do Mar e da Atmosfera* – IPMA (estimated total cost €12.941.176). The Institute for Maritime Research (Norway) is partner to this project.
- ❖ PDP #2 - the development of an integrated geographical data base for management of marine and coastal waters by *Estrutura de Missão para a Extensão da Plataforma Continental* – EMEPC (estimated total cost €2.352.941), with two Donor Project Partners: the Norwegian Mapping Authority (Statens Kartverk) and the National Authority for Land Survey of Iceland (Landmaelingar Islands).

The Programme involved also 6 open calls and a Small Grant Scheme to select projects to contribute for capacity building in marine environmental management, for the increase of mapping and monitoring capability and the collection of critical data, as well as for education and training and public awareness on marine protection.

The Programme grant rate is higher (94.5824%) than the typical rate of 85%, since national co-financing of the programme was of relevance and exceptionally assumed by the two project promoters of the pre-defined projects.

The Programme PT02 started its implementation stage by November 2013 and is supporting a total of 37 projects.

Programme website: www.dgpm.mam.gov.pt/Pages/eea_grants_projects.aspx

Budget	Amount		
Programme estimated total cost	20.349.716€		
Programme estimated eligible cost	20.349.716 €		
Maximum amount of Programme Grant	19.247.250 €		

Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	718.926 €	574.247 €	80%
b) Programme Outcomes	19.141.239 €	12.396.957 €	65%
c) Fund for Bilateral Relations	339.657 €	117.243 €	35%
d) Complementary Actions	143.529 €	11.128 €	8%
e) Programme Proposal Preparation	6.365 €	6.365 €	100%
TOTAL	20.349.716 €	13.105.940 €	64%

Payments to projects (under Programme Outcomes line) have progressed from 54% to 65% since 31.12.2015. The expenditure rate on Programme Outcomes is mainly achieved by payments to the pre-defined projects corresponding to €9.675.471 by 31.12.2016.

The Programme applied for the extension of the final eligibility date for 32 out of 37 projects until April 30th 2017. Nonetheless, the Programme already reports a total of 22 projects completed in this reporting period, mainly those selected under the Small Grant Scheme that was aimed at the development of awareness raising campaigns in local primary and secondary schools and ocean literacy, contributing for the results of the outcome “increased awareness of and education in integrated marine and inland waters” that show relevant progress.



Picture 2: PT02 funded projects in Oceans' Meeting June 2016

Limited achievement is reported for other outcomes and outputs which are expected to deliver results by project completion. Nevertheless, an important outcome was achieved in 2016 for the Platform for making Earth Observation Services for Sea and Atmosphere (EOSA) available to relevant actors, where 3 out of 4 projects selected were completed and ensured the target for 3 services available in the platform. Details on the achievement output indicators can be seen on the table below.

PT02 Output indicators	Target	Total Achieved Results By 31.12.2016
More integrated management of marine and inland waters		
Number of technical functionalities supporting decision making of MEMS on the implementation of actions and measures listed in the subdivisions action plans	1	0
Improving Monitoring of Marine waters		
Number of critical MSFD domains covered by mapping and monitoring initiatives within the programme	3	3
Number of new DP Vessels equipped with marine surveying equipment acquired and fitted for operation	1	0
Number of pilot networks of moored marine observatories in deep sea and shallow waters in place	6	0
Number of services in the platform for sharing National Earth Observation Data , linking Kopernicus, CleanSeaNet and Meteo, and associated modeling and forecasting services in place	3	3
Increased capacity for assessing and predicting environmental status in marine and inland Waters		
Number of synchronized metadata sets	5	8
Number of web based products to be downloaded from the Marine Information System (including web map services and web feature services) per month	500	0
Number of marine management and decision-making support systems linked to geographical information	4	4
Number of surveillance systems and human activity monitoring systems integrated with MEMS	4	2
Number of international marine data sets or geo-bases where input has been provided	2	0
Increased awareness of and education in integrated marine and inland waters		
Number of awareness raising initiatives (incl. supporting materials) carried out in primary and secondary schools	20	18
Number of hits on the Ocean Literacy Website 2013-2016	25.000	45.479
Number of experts having participated and completed training initiatives	450	958
Number of technical guide packages on the Water Framework Directive and Marine Strategy Framework Directive developed to support training and education of experts	12	40

The Programme presents overall good progress, with moderate risk related with the extended number of projects with final date of eligibility by 30.04.2017 and with the risk in the pre-defined project PDP #1 that remains high as the second phase of the project is ongoing: the refitting of the vessel, to ensure the capacity for fisheries and the capacity for deep ROV operations. The international tender for this second phase has been launched and awarded and the contract by the promoter is dependent on administrative procedures (including ruling of the account court) and the supply of equipment to be fit by third party suppliers to the shipyard to be contracted. Delays may increase the national co-financing rate to be supported by IPMA.

PT03 - Renewable Energy

PT03, managed by Eletricidade dos Açores (EDA), is focused on geothermal energy. The preparation of this Programme was developed with the National Energy Authority of Iceland (Orkustofnun-OS) as Donor Programme Partner. The Programme is implemented through a Small Grant Scheme for short and medium term courses on geothermal energy and a pre-defined project for the construction of a geothermal pilot power plant of 3 MW in Terceira Island aiming to increase the installed capacity of renewable energy in Azores. PT03 started its implementation stage by December 2013 and is supporting a total of 4 projects. Programme Website: www.eeagrants-azores.pt

Budget	Amount		
Programme estimated total cost	4.705.882 €		
Programme estimated eligible cost	4.705.882 €		
Maximum amount of Programme Grant	4.000.000 €		

Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	134.641 €	99.112 €	74%
b) Programme Outcomes	4.489.924 €	4.489.924 €	100%
c) Fund for Bilateral Relations	70.588 €	19.878 €	28%
d) Complementary Actions	N/A	- €	0%
e) Programme Proposal Preparation	10.729 €	10.729 €	100%
TOTAL	4.705.882€	4.619.643 €	98%

Payments to projects (Programme Outcomes) have achieved 100% by 31.12.2016. The high expenditure rate on Programme Outcomes was achieved by the completion of the projects select by the Small Grant Schemes calls and by the full payment of the project grant to the pre-defined project. The Programme applied the pre-defined project for the extension of the final date of eligibility due to the time consumed with the unsuccessful first international tender to the construction of the Pilot Geothermal Power Plant of 3 MW in Terceira Island. All targets have been met on capacity-building. The achievement of the remaining targets is dependent upon the successful completion of the power plant project, expected by April 2017.

Output indicators	Target	Total Achieved Results By 31.12.2016
Increased renewable energy production		
% of geothermal energy produced of total energy production in Terceira	10	0
Number of positions filled	9	0
Number of geothermal pilot power plants constructed and in operation in Terceira	1	0
Improved capacity at national, regional and local level on renewable energy solutions		
Number of staff trained with improved skills to perform their duties (men)	5	7
Number of staff trained with improved skills to perform their duties (women)	5	5
Number of students completed the courses	2	2
Number of scientific papers originating in the programme, published	4	4
Number of persons (by gender) who have completed the studies	4	4

The Programme presents overall good progress. Moderate risk is identified regarding the pre-defined project, which is in line with the previously estimated risks of a complex infrastructure project subject to international public procurement procedures.



Picture 3: Geothermal pilot plant general view as reported by 30th November 2016.

PT04 - Adaptation to Climate Change

PT04, managed by Agência Portuguesa do Ambiente (APA), aims to develop and disseminate tools to support adaptation to climate change. The preparation of the Programme was developed with the Norwegian Directorate for Civil Protection and Emergency Planning (DSB) as Donor Programme Partner. The Programme is engaging municipalities, schools, public agencies and other entities that are key stakeholders on the adaptation to climate change.

The Programme has 4 major components: i) training for technicians of local government units for development of local adaptation strategies, ii) education on climate change, iii) creation of a website to monitor and disseminate information on climate trends and scenarios in Portugal; and iv) support projects in sectors vulnerable to climate change. Projects were selected by two open calls and a Small Grant Scheme and a pre-defined project for the “Local Warming Website”. PT04 started its implementation stage by October 2013 and is supporting a total of 8 projects. Programme website: <http://apambiente.wixsite.com/adapt/home>

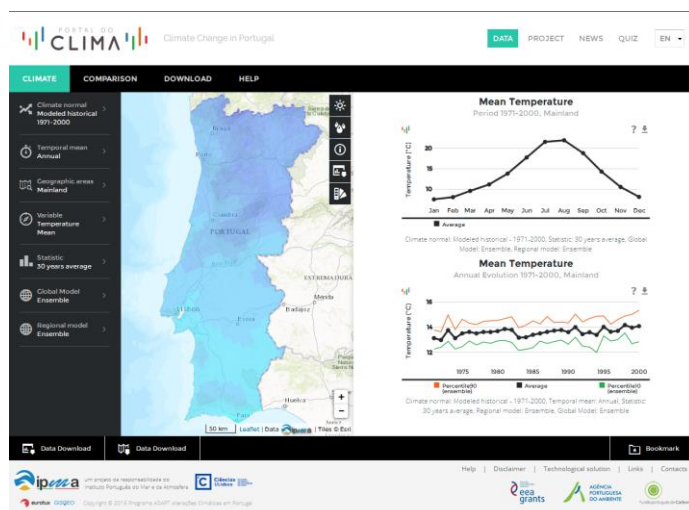
Budget		Amount	
Programme estimated total cost		3.529.412 €	
Programme estimated eligible cost		3.529.412 €	
Maximum amount of Programme Grant		3.000.000 €	

Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	352.941 €	319.062 €	90%
b) Programme Outcomes	3.090.000 €	2.224.784 €	72%
c) Fund for Bilateral Relations	52.942 €	26.415 €	50%
d) Complementary Actions	15.882 €	8.577 €	54%
e) Programme Proposal Preparation	17.647 €	17.603 €	99,8%
TOTAL	3.529.412 €	2.596.441 €	74%

Payments to projects (Programme Outcomes) have progressed from 40% to 72% since 31.12.2015, with the Programme Operator overcoming the previous bottlenecks reported in the internal project expenditure validation procedures. The Programme Operator requested the exceptional extension of the final date of eligibility of expenditures for 7 out of 8 projects, to be concluded until 30 April 2017. By 31.12.2016 the Programme reports a total of 5 projects with completed activities.

The Programme reports a high level of results achievement, with several indicators registering overachievements. It is highlighted the significant progress on the indicator "Number of Municipal Adaptation Strategies produced with the support of the programme" due to the conclusion of a total of 27 local strategies Adaptation to Climate Change.

The Programme Operator reports two indicators which targets are not to be full achieved, but that are not considered to hinder the impact and success of the Programme AdaPT: 1) Use of helpdesk by potential users – the platform developed for the municipal officers was not used due to the effective communication between municipal technicians and the ClimAdaPT.Local team, and 2) Number of schools competing for climate award - This indicator was underachieved despite the efforts to promote the participation of the schools on the contest. However, 14 schools competing for a climate award submitted a total of 21 applications. Another important achievement of the Programme in 2016 was the launching of the Local Warming Website, the pre-defined project, in March 2016.



Picture 4: Local Warming Website homepage

Output indicators	Target	Total Achieved Results By 31.12.2016
Increased capacity to assess vulnerability to climate change		
Materials produced to support the training course	1	8
Number of Municipalities involved in training	20	>29
Number of Municipal Officers involved in training	40	230
Establishment of an helpdesk to support Municipal Officers in the development of Municipal Adaptation Action Plans	1	1
Use of helpdesk by potential users	20	0
Number of Municipal Adaptation Strategies produced with the support of the programme	20	27
Number of sectors with improved capacity to access vulnerability to climate change	4	7
Number of sectoral projects supported through AdaPT	4	5
Increased awareness of and education in climate change adaptation		
Materials produced to support the training course	1	23
Number of teachers involved in training	100	> 450
Materials produced to support the education activities	1	3
Number of schools directly involved in the project	20	31
Number of students directly involved in the project	1500	> 2500
Number of schools competing for climate award	20	14
Number of assigned climate awards	3	3
Number of climate indicators	30	32
Number of website users	200	324
"Local warming website" created	1	1

PT05 – Fund for Non-Governmental Organizations

The Programme designated *Cidadania Activa*, managed by *Fundação Calouste Gulbenkian*, supports NGOs with the ultimate goal to strengthen the civil society in Portugal. The total Programme amount was substantially increased from 5.8 million to 8.7 million, in March 2014, by the Donor Countries after the reallocation of the MoU's reserve.

The Programme supports projects under four fields of intervention:

- A. Participation of NGOs in the implementation of public policy design and instruments at the local, regional and national levels;
- B. Active role in Human Rights, minorities and anti-discrimination;
- C. Effectiveness of NGO action;
- D. Youth employability and inclusion.

PT05 started its implementation stage in March 2013 with the signing of the Programme Implementation Agreement and launch of the first open calls for proposals. In March 2014 the second and last round of open calls was launched where the area of support D was introduced. The Programme is supporting a total of 113 projects. Programme website: <https://gulbenkian.pt/en/initiatives/cidadania-ativa-programme/>

The Fund for NGO was not considered for the exceptional extension of the final date of eligibility. In the reporting period PT05 reports all projects as terminated by 30th April 2016 and the final reports and final balance paid in all of the 113 projects by the December 31st 2016.

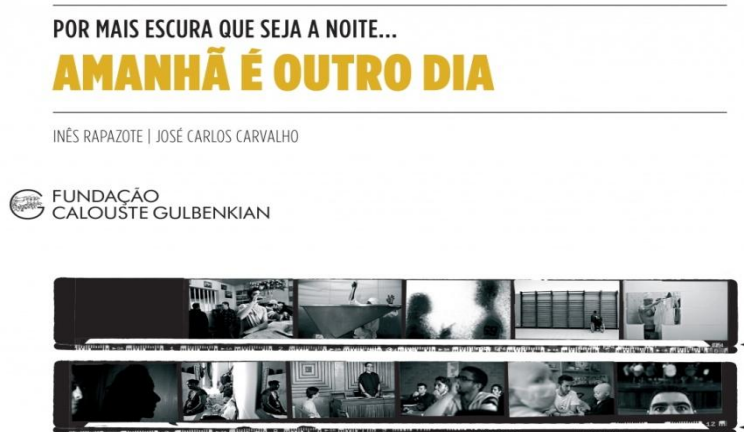
Programme	Nr. Project Contracts	Nr. Donor Partnership Projects	Project Grant	Projects closed by 31.12.2016		
PT05	113	7	€7,300,000	113	€6.954.445	95%

Although overbooking and additional funding of activities was open to approved projects, the total final amount disbursed to the 113 projects is about € 6.950.000 (95%).

The level of achievement against targets is considerably high, as illustrated the table below:

Output Indicators	Target	Total Achieved Results by 31.12.2016
OUTCOME A - (All 12 projects closed up to 30.09.2016)		
Number of cooperation or dialogue activities with local regional or national governments initiated or developed	7	277
Number of laws, policies and practices changed or improved as a consequence of NGO influence	4	28
Number of NGO projects implemented in partnership with local authorities or state institutions	10	11
Number of welfare and basic services provided in partnership with public entities	7	75
Number of beneficiaries of proximity services (welfare and basic services) provided locally in partnership between NGOs and municipalities	150	16 796
OUTCOME B - (All 43 projects closed up to 30.09.2016)		
Number of NGOs which monitor and report on Human Rights and Citizenship	7	72
Number of NGOs which engage first-time volunteers	5	72
Number of NGOs involving their target groups in empowerment activities	5	91
Number of NGOs addressing children and youth at risk issues	12	38
Number of NGOs organizing awareness raising campaigns on minority rights, antidiscrimination and groups at risk	6	86
Number of NGOs fighting discrimination and promoting tolerance	14	95
OUTCOME C - (All 31 projects closed up to 30.09.2016)		
Number of NGOs which were able to find new sources of funding/revenue	10	42
Number of NGO personnel (leaders, staff, volunteers) who received training	500	8 869
Number of NGOs diversifying services and or activities	8	47
Number of organisations able to evidence good governance procedures	12	44
Number of organisations demonstrating that they have robust financial procedures in place	5	21
Number of organisations regularly consulting with target groups and other stakeholders on needs and the effectiveness of their initiatives	5	49
OUTCOME D - (23 out of 27 projects closed up to 30.09.2016)		
Number of NGOs addressing employability issues	7	66
Number of vulnerable young people involved in capacity building actions for employability	200	12 287
Number of new entrepreneurs assisted	50	1 466
Number of beneficiaries of social, educational and cultural inclusion actions	250	6 375

The Programme estimates that about 80.000 persons were reached by the supported projects. The results were presented in a final event that took place in January 25th 2017.



Picture 5: A book with 13 personal stories of ultimate beneficiaries from the projects was presented in the Programme final event, January 25th 2017.

PT06 – Public Health Initiatives

PT06 is the second largest Programme with a grant of €10.000.000. The Programme, managed by Administração Central do Sistema de Saúde (ACSS), is directed towards improving public health and reducing inequalities between users. The Programme addresses 4 main important areas: i) Nutrition, reducing the impact of socio/economic status in families eating habits in order to reduce the incidence of diabetes, cancer and cardiovascular diseases, ii) Mental Health, improving the well-being and reducing the length of treatment; iii) Communicable diseases, preventing infections by improving the information and preventive measures; iv) Collection of health data with special focus on child health, nutrition and communicable diseases supporting health management by the National Health System. The preparation of this Programme was developed with the Donor Programme Partner Norwegian Institute of Public Health (FHI).

The Programme is being implemented through projects selected in 1 open call that addressed the above mentioned areas of intervention and a pre-defined project that is implementing the first health examination survey in Portugal to all relevant target audiences developed by the National Institute of Public Health (INSA) in partnership with the department of Epidemiology of Norwegian Institute of Public Health. With a maximum grant amount of €1.352.404 the pre-defined project aims to improve the epidemiological health information to support public health decision and management in Portugal.

PT06 started its implementation stage by December 2013 and is supporting a total of 27 projects.

Programme website: <http://www.dgs.pt/acss-eea-grants/apresentacao/acss-eea-grants/english-version/introduction.aspx>

Programme Facebook: <https://www.facebook.com/EEA-Grants-PT06-ACSS-723783771063633/>

Budget	Amount		
Programme estimated total cost	11.764.706 €		
Programme estimated eligible cost	11.764.706 €		
Maximum amount of Programme Grant	10.000.000 €		
Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	1.123.529 €	499.947 €	44%
b) Programme Outcomes	10.417.059 €	8.507.676 €	82%
c) Fund for Bilateral Relations	176.471 €	51.299 €	20%
d) Complementary Actions	28.580 €	10.244 €	36%
e) Programme Proposal Preparation	19.067 €	19.067 €	100%
TOTAL	11.764.706 €	9.088.233 €	77%

Payments to projects (Programme Outcomes) have progressed from 31% to 77% since 31.12.2015, with the Programme Operator overcoming the previous bottlenecks reported in the internal project expenditure's validation procedures.

The PO requested the exceptional extension of the final date of eligibility of expenditures for 18 out of 27 projects. The programme suffered relevant delay in the phase of selection of projects but at the present date reports the completion of the 18 projects and several outputs are being delivered and progress is visible in the outcomes for reduced inequalities between user groups and in improved mental health services with several overachievements also registered.

Output indicators	Target	Total Achieved Results By 31.12.2016
Reduced inequalities between user groups		
Number of educational and interactive electronic tools produced to help inform children, families and institutions about healthy eating, including choices at low price and physical activity	2	2
Number of new training programmes developed at regional level existing guidelines	7	3
Number of new training programmes developed at regional level	7	4
Number of regional training sessions	20	21
Number of regional training programmes for community and primary care professionals (on different health regions)	5	3
Number of regional training programmes for hospital based professionals	2	1
Improved mental health services		
Number of reports on evaluation of current mental health financing and management system	1	1
Number of improved mental health financing and management systems	1	0
Number of intervention programmes on the promotion of mental health at the workplace promoted	3	3
Number of support programmes to those unemployed due to the economic crisis implemented	3	2
Number of regional professional training sessions for depression treatment and suicide prevention in primary healthcare	3	94
Number of regional professional training sessions in primary healthcare and schools	3	63
Number of regional programmes running in schools in liaison with primary healthcare implemented	3	3
Number of reports on the impact of the economic crisis on the population mental health developed	1	0
Number of plans developed to reduce health inequalities and mental health problems linked with the economic crises	1	1

National health registries and health information systems, data management and use improved		
Number of databases with projects and good practices in the area of promotion of healthy diets for vulnerable groups	1	0
Number of reports on prevalence and socioeconomic determinants of food insecurity	3	3
Number of policy guidelines to reduce the prevalence of food insecurity in Portuguese population	1	0
Number of reports available from the national enquiry on food intake, physical activity and health, and their relation to the socioeconomic situation	3	0
Number of professional trainings in health examination survey held	5	13
Number of partial and final data report of health examination survey	4	2
Number of final database for health examination survey developed	1	1
Number of training manual for regional teams	4	5
Number of registries/information systems improved	2	1
Number of reports on the National Nutritional Status Surveillance in elderly people developed	1	1
Improved prevention and treatment of communicable diseases (including HIV/AIDS and TB)		
Number of sub-systems implemented	6	4
Number of regional professional training actions (1 per health region/issue)	17	2
Number of interventions/actions for reducing new infections in defined groups at risk in different health regions	5	3
Number of actions aimed to assess population susceptibility to vaccine preventable diseases	1	3
Number of guidance frameworks	10	1
Number of regional professional training courses on healthcare associated infections, antimicrobial resistance and antibiotics use	10	4

PT07 – Mainstreaming Gender Equality and Promoting Work-Life Balance

PT07 has a total grant of €2.500.000 and is managed by Comissão para a Cidadania e Igualdade de Género (CIG). It aims to level out inequalities which have a strong social and economic impact on Portuguese society in terms of women's situation in the labour market and also in terms of work-life balance, thus contributing to the reduction of gender inequalities. The Programme is implemented through 3 pre-defined projects that address i) the role of man and woman in the balance of active life ii) a national survey on time use by men and woman iii) sexual and moral harassment in the workplace, with shared experiences and best practices between Portugal and Norway through the Donor Project Partner KS-Norwegian Association of Local and Regional Authorities.

2 open calls and a Small Grant Scheme made available the total amount of €1.170.699 aiming to select projects in the following areas: i) the impact of national legislation in the promotion of gender equality, ii) the promotion of gender equality through the role of man and woman in the balance of active life, iii) the production of methods and tools to reduce the wage gap between the genders to be applied by companies.

PT07 started its implementation stage by December 2013 and is supporting a total of 12 projects.

Programme website: <http://www.eeagrants-cig.com/en/>

Programme Facebook: <https://www.facebook.com/eeagrants.cig?fref=ts>

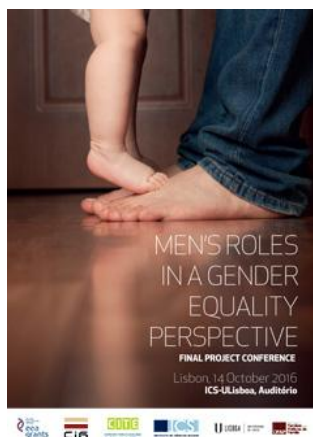
Budget	Amount		
Programme estimated total cost	2.941.176 €		
Programme estimated eligible cost	2.941.176 €		
Maximum amount of Programme Grant	2.500.000 €		
Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	294.116 €	161.934 €	55%
b) Programme Outcomes	2.473.583€	2.230.816 €	90%
c) Fund for Bilateral Relations	99.947€	27.646 €	28%
d) Complementary Actions	58.824 €	5.282 €	9%
e) Programme Proposal Preparation	14.706 €	14.706 €	100%
TOTAL	2.941.176 €	2.440.384 €	83%

Payments to projects (Programme Outcomes) have progressed in a regular basis since 31.12.2015 from 74% to 90%, which is consistent with most projects reported as completed with assessment of final payments ongoing.

The PO requested the exceptional extension of the final date of eligibility of expenditures for half of the 12 contracted projects that could be concluded until 30 April 2017 but by 31.12.2016 reports a total of 11 projects with all activities completed.

Most of the targets are achieved or overachieved by this date and the programme has no identified risks.

Output indicators	Target	Total Achieved Results By 31.12.2016
Increased capacity to assess vulnerability to climate change		
Number of people with increased knowledge and awareness of gender equality in the labour market (m/f)	70	75
Number of scientific publications	3	3
Number of white papers published	1	1
Number of institutions with strengthened capacity and knowledge on gender issues	5	15
Number of people with increased knowledge of obstacles to gender equality in the labour market (m/f)	70	75
Number of companies with improved conditions for gender balance on company boards	3	10



Picture 7: Final Project Conference poster

PT08 –Cultural Heritage

PT08 has a grant of €4.000.000 and is managed by Direção Regional de Cultura do Centro (DRCC). It aims to contribute for the strengthening of the knowledge and the recovery of the cultural, historical and religious heritage of the Sephardic Jews in Portugal. The Programme foresees the involvement of numerous entities from municipalities, regional tourism, cultural and private entities. The Programme is implemented through 1 pre-defined project “Routes of Sepharad – Enhancement of the Portuguese identity in intercultural dialogue” that will establish a cultural Jewish route aimed to disclose the historical and cultural heritage at national and international level. PT08 started its implementation stage by January 2014.

Programme website: <https://www.drcc.pt/ros/site/?module=site&target=home>

Budget	Amount		
Programme estimated total cost	4.705.882 €		
Programme estimated eligible cost	4.705.882 €		
Maximum amount of Programme Grant	4.000.000 €		
Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	335.000 €	215.206 €	64%
b) Programme Outcomes	4.285.000 €	1.727.669 €	40%
c) Fund for Bilateral Relations	70.588 €	2.215 €	3%
d) Complementary Actions	13.294 €	1.557 €	12%
e) Programme Proposal Preparation	2.000 €	0 €	0%
TOTAL	4.705.882 €	1.946.646 €	41%

The Programme consists mainly of the implementation of the pre-defined project “Routes of Sepharad” for which the PO has requested the extension of the final date of eligibility as a risk mitigation measure. Payments to the pre-defined project (Programme Outcomes) have progressed from 3% to 40%, since 31.12.2015. However the material execution of the project reported by the PO also remains low (16%) most of which related with municipality works of renovation and revitalization of historical sites that were concluded by 31.12.2016.

During the reporting period, close monitoring of the Programme and pre-defined project have been maintained by the NFP with the PO, namely through increased monitoring meetings and project visits with the participation of the project promoter and involvement of the Ministry for Culture, the Certifying Authority and the FMO. Regular updated information on the progress of the activities has been prepared by the PP and PO and sent to the NFP and FMO.

Output indicators	Target	Total Achieved Results By 31.12.2016
Increased capacity to assess vulnerability to climate change		
Number of Jewish cultural heritage sites and buildings restored, renovated and protected	13	5
Number of courses and training activities carried out under the programme	7	1
Number of municipalities with signposts of the Route	27	0
Number of people gaining access to restored, renovated & protected Jewish cultural heritage	100.000	12115

The risks identified in the programme (lack of efficient communication between PO and PP, lack of experience and capacity of the project promoter) have been, at some extent, mitigated by the close monitoring by the NFP and FMO and a higher level of on-site monitoring by the PO.

However, the risk of unspent funds in the Programme and non completion of all the activities in the project (in particular the set of some immaterial actions and the contents for the Lisbon Museum) remains moderate.



Picture 8: Opening of the House of Inquisition in Monsaraz, July 2016



Picture 9: Opening of the House Jewish Memory and the New Christians, November 2016

PT09 – Promotion of Diversity in Culture and Arts

The Programme "Cultural Footprint" has a grant of €1.000.000 and is managed by Direção Geral das Artes. It aims to stimulate supply and demand for artistic projects by placing strong emphasis on the educational component and on partnerships. An open call for proposals made available €825.000 aiming to select 5 projects to be implemented in 5 different regions of continental Portugal by artistic entities in partnership with schools. A Small Grant Scheme named "Early Steps" made available a total of €108.800 aiming to select artistic and educational projects to promote the fruition of artistic and educational experiments with babies aged 0 to 5 year. A pre-defined project "Capacity building for arts and education projects" aims to reinforce the project management capabilities of the project promoters selected. The preparation of this Programme was developed with the Arts Council of Norway, as Donor Programme Partner and Donor States partnerships at project level were a pre-requisite for the selection. PT09 started its implementation stage by November 2013 and is supporting a total of 10 projects.

Programme website: <http://pegadaculturalfootprint.blogspot.pt/>

Programme Facebook: <https://www.facebook.com/culturalfootprint?fref=ts>

Budget	Amount		
Programme estimated total cost	1.181.471 €		
Programme estimated eligible cost	1.176.471 €		
Maximum amount of Programme Grant	1.000.000 €		

Programme Budget Lines	Eligible Expenditure	Total Executed € by the end of 31.12.2016	Total % Executed by the end of 31.12.2016
a) Programme Management	117.646 €	112.412 €	96%
b) Programme Outcomes	952.087 €	888.924 €	98%
c) Fund for Bilateral Relations	93.404 €	123.658 €	91%
d) Complementary Actions	7.334 €	7.334 €	100%
e) Programme Proposal Preparation	6.000 €	6.000 €	100%
TOTAL	1.176.471 €	1.138.328 €	97%

With overall good progress on projects the PO did not request for the exceptional extension of the final date of eligibility for any projects in 2015.

The Programme completed all projects with the approval final reports and balance. After the final balances a total of €41.780 remained unspent on the Programme's Outcomes. The Programme Operator proposed an amendment to the Programme Agreement to reallocate the remaining funds to the FBR in order to co-finance the Final Programme event with institutional participation from representatives Donor States and dissemination of the final results.

All targets have been mostly overachieved due to the additional Small Grant Scheme that was contracted and selected 4 extra projects dedicated to smaller children.

The Programme closed with an international event in December 2016 and a publication of a book with the Programme's results.

Output indicators	Target	Total Achieved Results By 31.12.2016
Contemporary art and culture presented and reaching a broader audience		
Number of cultural institutions with new cultural programmes developed specifically for children	5	9
Number of institutions with strengthened capacity	5	6
Number of new partnerships developed between arts organisations in Portugal, in Donor States and schools	5	22
Number of new cultural events developed and presented	5	117
Number of students attending arts events provided by the projects	2500	8663
Number of schools affected by the programme	5	9
Number of local people involved in the development of projects	15	1811
Number of municipalities involved in the development of projects	5	9
Number of new training initiatives on pressing and relevant issues regarding arts and education projects provided.	10	9



Picture 10: One of the many presentations of the project “Hands Full of Shells & Feet full of Flowers”, Project Promoter d’Orfeu with the project partner Mandrágora Puppets, Ílhavo, September 2016

4 Management and Implementation

4.1 Management and control systems

MCS at National level

The description of the management and control systems is under revision to update the organic changes in the government operated by Decree Law nr. 251-A/2015, 17th December that changed the Ministry under which the National Focal Point and the Certifying Authority operate (Ministry for Planning and Infrastructure).

The management and control systems description on the Fund for Bilateral Relations at national level is complemented by the document “Procedures Guide” adopted in February 2013 before the final submission of the detailed description of the MCS at national level to the FMO in March 2013. The Procedures Guide was updated in November 2016 and submitted to the Audit Authority by February 2017 for confirmation of the compliance assessment.

MCS at Programme Level

Several Programme Operators (PT04, PT07, PT03 and PT02) submitted to the Audit Authority in 2016 a revision of the description of the management and control systems in order to simplify and clarify the procedures in place due to the experience gained with the operation of the Programme with payments to projects and following interactions with the Certifying Authority and the National Focal Point, in particular during the monitoring actions of those entities to the Programme and recommendations from audits already carried out by the IGF and the ADC.

In the annual report from the Audit Authority, however, only the revision of the MCS operated by the PO on PT07 was reported.

4.2 Compliance with EU and national legislation and the MoU

The Annex A of the MoU was amended to integrate the organic changes in the government operated by Decree Law nr. 251-A/2015, 17th December that changed the Ministry under which the National Focal Point and the Certifying Authority operate (Ministry for Planning and Infrastructure).

After an extraordinary Annual Meeting with FMC/FMO held in Lisbon by 26th April 2016 the exchange of letters confirming the 2nd Amendment to Annex A of the MoU was confirmed in 15th June 2016.

Irregularities

In the reporting period one irregularity was reported to the FMO in accordance with Article 11.4 (Immediate reporting on Irregularities):

- **IR519/2016** Immediate Report by 27th September 2016 following the report by the PO of Programme PT06 (Public Health Initiatives) on irregularities detected in two projects where allegedly the project promoter awarded contracts to companies where the coordinator of the project is also managing partner.

In the reporting period 4 irregularities were reported in accordance with Article 11.5 of the Regulation (Regular reporting of Irregularities):

- **IR444/2016** Regular Report for the 2nd quarter 2016 on the validation of expenditures by the NFP as fund manager of the FBR at national level, when not considering the total amount of income generated within the project and thus considering eligible cost covered by other sources;
- **IR562/2016** Regular Report for the 3rd quarter 2016 on public procurement procedure by project partners in PT08 (Cultural Heritage);
- **IR563/2016** Regular Report for the 3rd quarter 2016 on scholarship award procedures by project promoter in PT02;
- **IR564/2016** Regular Report for the 3rd quarter 2016 on report of expenditures on a services contract not executed by project promoter in PT08 (Cultural Heritage).

At the present stage of implementation of the funds more irregularities are detected by Programme Operators and financial corrections are taking place. The amounts of unduly paid amounts detected are not significant and the use of final balance payments can mitigate major risks as in the case reported under Article 11.4.

Attachment 4 & 5 extracted from DoRIS attest the pending irregularities at national, Programme and project level.

4.3 Audit, monitoring, review and evaluation

Audit

According with the Audit Authority the following audits were completed in the reporting period:

- **Audit to DG Arts' information systems** to confirm that the information system of the program "Cultural footprint" (PT09) is reliable and allows proper treatment of all applications received.
- **Audit to the management and control systems** of the EEA FM to determine whether the respective management and control systems function effectively, that is, if the internal control procedures described are correctly applied throughout the relevant period in order to provide reasonable assurance that the expenditure statements submitted to the Financial Mechanism Committee (FMC) are correct and, consequently, that the underlying transactions are legal and regular. This action focused on the work of the **National Focal Point** and the three Programme Operators: **(PT02) Direção-Geral de Política do Mar**, **(PT07) Comissão para a Cidadania e Igualdade de Género** and **(PT08) Direção Regional de Cultura do Centro**. Control tests were conducted on a sample of 6 projects. Draft final reports have been notified to the relevant audited entities, and contradictory procedures took place. The final reports have not yet been notified;
- **Audit of the management and control systems "Electricidade dos Açores, SA"** to verify the effectiveness of its operation, that is, if the internal control procedures described are correctly applied throughout the relevant period. Control tests focused on the projects that recorded with higher execution. Final reports are not yet notified;
- **Annual Audit report and opinion** to submit to the Financial Mechanism Committee (FMC) by the end of this year. This action, which essentially aims at evaluating the performance of the

functions of the Certification Authority in the light of the requirements of Article 4.5 of the Implementing Regulation, includes running tests on a sample of programs Interim Financial Reports (IFR) processed in 2015 and to carry out verifications in the areas of payments, debt management and accounting records of the Agency.

For 2017 the Audit Authority informs that the following audit is planned:

- **Audit for issuance of the final audit report** which will support the closing statement to be submitted to the Financial Mechanism Committee (FMC).

Furthermore the **Certifying Authority acting on behalf of the Audit Authority completed in the reporting period (January 2016) audit to operations (projects)** on PT02, PT04 and PT09 with a sample of one project per programme and initiated (May 2016) a second round of audits to projects on PT02, PT04, PT06, PT07 and PT09. Final reports were delivered by January 2017.

The **FMO contracted an Audit for the Management and Control Systems at national level** (involving the NFP, Audit and Certifying Authority) and for programmes PT02 (Integrated Marine and Coastal Management) and PT08 (Cultural Heritage) that was undertaken by September 2016. Final report was not yet completed.

By October 2016 the **FMO closed the Agreed-upon Procedures (AuP) Audit initiated in the beginning of 2016 on the Programme PT03** (Renewable Energy) to review of the tender procedure launched under the pre-defined project 'Geothermal Pilot Power Plant of 3MWe on Terceira Island'. The FMO has concluded that all items on the follow-up plan have been completed in a satisfactory manner.

Monitoring

In the reporting period the NFP held two regular monitoring meetings with each Programme Operators (in March and November), where progress, risk, communication and other concerns are evaluated, and several meetings involving also project promoters to support the respective Programme Operators in overcoming difficulties. In all cases the meetings with project promoters were held regarding pre-defined projects:

- **Programme PT02 (Integrated Marine and Coastal Management):** PDP #1 "Acquisition and fitting of a Dynamic Position (DP) vessel to support scientific investigation by *Instituto Português do Mar e da Atmosfera* – IPMA (estimated total cost €12.941.176) – meeting to support PO and PP on the mitigation of the risk identified after the unsuccessful international tender for the second phase of the project (vessel refitting);
- **Programme PT08 (Cultural Heritage):** Pre-defined project promoted by the Association of Jewish Quarters, "Routes of Sepharad – Enhancement of the Portuguese identity in intercultural dialogue" - as part of the ongoing close monitoring of the project since 2015 with the highest risk, the NFP met three times in the reporting period with PO and the PP and visit five projects on site (Alenquer, Torres Vedras, Belmonte, Penamacor and Leiria).

The Monitoring Committee held two meetings in the reporting period which was very useful since a significant number of new members were appointed and able to follow more closely the implementation of EEA FM 2009-2014.

Evaluations

The Beneficiary State shall carry out evaluations of programmes to assess actual and/or expected effects at the outcome level. Evaluations shall be carried out by experts or entities independent of the NFP, the Certifying Authority and the POs in accordance with the Evaluation Guidelines.⁵

The Beneficiary State intends to carry out the evaluation of programmes after their completion. The plan and terms of reference shall be sent to the FMO. The evaluation shall target in particular the achievement of results by the programmes and impacts and sustainability of the EEA GRANTS financial support in the country. The selection of the sample of the programmes to be evaluated shall be based on the financial allocation level of the programme; number of projects per programme; high level of partnerships with Donor entities; high level of national entities involved and projects developed in specific areas targeted as not covered by other funding sources.

4.4 Information and publicity

Coffey International Development (Coffey) was contracted to carry out a Communication Review of the EEA and Norway Grants 2009-2014 to assess the progress of implementation of communication strategies and plans across the Beneficiary States, identifying communication results and best practices, develop recommendations for improved visibility of the Grants and indication on how to improve the content of Regulations (and guidelines) on communication for the future. The study was carried out from October 2015 to June 2016 and Portugal was one of the five case study Beneficiary States involved.

Although findings and recommendations were set in a general way for all the relevant areas of communication under review, in the Final Report released by November 2016 some findings for Portugal highlight the following:

- The Portuguese Communication strategy is considered an example as it reflects a sequential approach (by implementation phase of the EEA Grants) of the communication activities planned;
- Portugal's website is considered one of the best ones in content, meeting most of the requirements set out in Annex 4, particularly at providing detailed information on Programme areas, using both Portuguese and English languages and being regularly updated. Despite no evidence of storytelling being provided throughout the website, there is a sufficient social media presence with links to the EEA/Norway Grants YouTube channel, the EEA & Norway Grants Twitter account and EEA/Norway Grants Facebook page;
- Assessment of Programme Areas web pages underlined good examples, with most of the requirements being met; however relevant documents such as Annual Reports were missing for all three visited Programme websites (PT02; PT03 and PT05);
- The review undertaken on March 2016 on three Portuguese project websites (PT02 – SNIMar and BIOMETORE; PT05 – exCHANGE), revealed examples of good practice, although at the time of the review no information about the BIOMETORE project could be found, as its webpage was launched only on May 2016;

⁵ <http://eeagrants.org/Results-data/Results-overview/Documents/Legal-documents/Guidelines-mandates-and-strategy>

- Cooperation between the Portuguese NFP and the Norwegian Embassy in Portugal is considered an example of good practice with reference to the Communication Workshop held in September 2015.

Considering NFP assessment of communication issues during this period, the following is to underline:

- The NFP staff participated in several events/initiatives promoted by both Project Promoters and Programme Operators, monitoring the progress of programmes and regularly updating the webpage with information about these actions, in particular for the projects that concluded on 2016;
- Important focus was given by national televisions to projects related to PT06 and PT07 programmes. Great regional media coverage of projects related to PT09, whose final results were presented in the first quarter of 2016, also brought a wider audience closer to the grants;
- Good cooperation between the NFP, the Royal Norwegian Embassy in Lisbon, the Communication Team of the FMO and the Programme Operators revealed essential on promoting and disseminating results. However, Project Promoters fall short in this channel, with some commendable exceptions, by not reporting updated information about their projects (not being demanded to do so by the Regulation, which provides that the strategy for communication relies on responsibilities implemented from top to bottom). The NFP tries to overcome this handicap by directly contacting Project Promoters in order to get stories and information to update the national EEA Grants webpage.

4.5 Work plan 2017

The following table presents the milestones for the activity of the NFP in 2017.

Work plan for the NFP

	Activities	J		F		M		A		M		J		J		A		S		O		N		D	
		1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2	1	2
N F P	Final Strategic Report 2016 submission to FMO																								
	Preparation of the terms of reference for the Tender for Evaluation																								
	On-The-Spot Verification of activities under FBR																								
	Update Strategic Report (Provisional 2017SR)																								
	Meeting of Monitoring Committee																								
	Updated Strategic Report submission to FMO																								
	Annual Meeting																								

5 SUMMARY LISTING OF ISSUES AND RECOMMENDATIONS

In the reporting period special relevance is given to the bilateral cooperation (one of the two overall objectives of the EEA Grants), which both at programme level and at national level still register available funds for supporting initiatives aiming at strengthening the relations between Donor countries entities and national entities. In quantitative terms Portugal developed 50% of the total 8 programmes with Donor Programme Partners (accounting for 4) and 28% of the contracted projects with Donor Project Partners. This has allowed for the establishment or to continuity on various successful partnerships. Although, for most programmes, the final eligibility date for the FBR at programme level ends by 31.12.2017 there is a risk of unspent funds, that at this stage is moderate but shall be considered.

An overview of the programmes' implementation status shows greater achievement of targets, in particular on so-called "soft measures". Progress varies widely across the programmes, with 4 out of 8 programmes already reporting full or over achievement of their contracted outputs.

The total incurred expenditure reported by Programme Operators in the last quarter report and IFR (reporting expenditure until 31 December 2016) corresponds to 74% and in the reporting period programmes accelerated the rate of payments to projects in 72%. As the last remaining projects approach completion by April 2017 a high rate for fund absorption can be expected with all projects reported as in condition to be completed.

The detected irregularities in this period show a high level of accuracy of the POs in the control of projects' expenditure. Adequate remedies and financial corrections are taking place in these cases, which are not estimated to have any outstanding negative effect on the achievement of programme level output indicators.

Communication continues to be very relevant at this stage of the EEA Grants implementation with the priority set into communicating projects and programmes results. A key factor for the communication strategy success is good cooperation between all entities operating the grants.

As the EEA FM 2009-2014 is reaching its final implementation phase, the risk analysis does not highlight major increased risks to those previously identified and that are being considered, addressed and (where possible) mitigated and prevented.

Programme Operators were asked by the NFP to consider ahead the setting up of final Programme Closure events to ensure high level participation at political level and Donor Countries entities, as well as extensive number of partners and stakeholders.

Lisbon, 28th March 2017

6 ATTACHMENTS TO THE STRATEGIC REPORT

- Attachment 1** Applications in the Country (DoRIS Extracted)
[not inserted for it is not relevant for the reporting period]
- Attachment 2 & 3** Table with information on Donor Partnership Projects
(DoRIS Extracted)
- Attachment 4 & 5** A list of irregularities at Beneficiary State, at Programme and project level (DoRIS Extracted)
- Attachment 6** Risk Assessment at national and Programme level
(non public attachment)

ATTACHMENT 1 [Applications in the Country (DoRIS Extracted)][not inserted for it is not relevant for the reporting period]

ATTACHMENT 2 & 3 [DoRIS Reports extracted]

Annex - Strategic report attachment 2 & 3

PT02 - Integrated Marine and Coastal Management

Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT02-0001	Acquisition and fitting of a dynamic position (DP) vessel equipped with marine surveying equipment	Yes	Norway	Institute of Marine Research	University, college or other teaching institution, research institute or think-tank
PT02-0005	Preparation of integrated geographic information for marine and coastal water management	Yes	Iceland	National Land Survey of Iceland	Government ministry
			Norway	Norwegian Mapping Authority	National agency
PT02-0013	AMOS - Advanced Meteo-Oceanografic Forecasting Services for Sea	No	Norway	NAVTOR AS	Small or medium sized enterprise (SME)
PT02-0018	BIOMETORE - Biodiversity in seamounts: the Madeira-Tore and Great Meteor	No	Norway	Institute of Marine Research	University, college or other teaching institution, research institute or think-tank
PT02-0019	BLUECOM+ - Connecting Humans and Systems at Remote Ocean Areas using Cost-effective Broadband Communications	No	Norway	Marlo, AS	Small or medium sized enterprise (SME)
PT02-0024	ENDURE - Enabling Long-Term Deployments of Underwater Robotic Platforms in Remote Oceanic Locations	No	Norway	Marlo, AS	Small or medium sized enterprise (SME)
PT02-0035	MEDUSA_DS - OPENING THE DEEP SEA FRONTIER	No	Norway	Argus Remote Systems AS	Small or medium sized enterprise (SME)
Projects with donor project partners 7 out of 37 (18.9%)			Planned grant amount for projects with donor project partners €15,374,222		

PT03 - Renewable Energy

Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT03-0001	Short courses on geothermal energy utilization held at the Azores Archipelago	No	Iceland	United Nations University Geothermal Training Programme (UNU-GTP)	University, college or other teaching institution, research institute or think-tank
PT03-0002	6 Month Courses on geothermal energy utilisation in Iceland, 2014	No	Iceland	United Nations University Geothermal Training Programme (UNU-GTP)	University, college or other teaching institution, research institute or think-tank
PT03-0003	6 Month courses on geothermal energy utilization in Iceland, 2015	No	Iceland	United Nations University Geothermal Training Programme (UNU-GTP)	University, college or other teaching institution, research institute or think-tank
Projects with donor project partners 3 out of 4 (75.0%)			Planned grant amount for projects with donor project partners €72,612		

PT04 - Adaptation to Climate Change

Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT04-0002	Adapt For Change - Improve the success of reforestation in semi-arid areas: adaptation to climate change scenario	No	Norway	cChange AS	Micro-enterprise
PT04-0003	Gest.Aqua.AdaPT	No	Norway	Vestlandsforskning	Micro-enterprise
PT04-0005	Clim@EduMedia - Climate Change: Learning through student media	No	Iceland	University of Iceland	University, college or other teaching institution, research institute or think-tank
PT04-0006	SOWAMO - Sowing Water in the Monchique Mountain	No	Norway	Norwegian Forest and Landscape Institute	National agency
PT04-0007	ClimAdaPT.Local	No	Norway	cChange AS	Micro-enterprise
Projects with donor project partners 5 out of 8 (62.5%)			Planned grant amount for projects with donor project partners €2,060,487		

PT05 - Funds for Non-governmental Organisations

Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT05-0045	exCHANGE Enable Female Entrepreneurship	No	Norway	Nordland Research Institute	Social enterprise (NGO)
PT05-0054	Marcos' Centre-Information and Training	No	Norway	Frambu – Resource Centre for Rare Disorders	Other type of NGO
PT05-0079	InSOCIALCHANGE - Integrating Mentoring, Coaching and Teaching to support youngsters	No	Norway	Stiftelsen Mangfold i arbeidslivet (MIA)	Other type of NGO
PT05-0091	Eyes set on the future	No	Norway	Norwegian Association of the Blind and Partially Sighted	Other type of NGO
PT05-0108	Youth for Green Entrepreneurship and Employability	No	Norway	Nordland Research Institute	Social enterprise (NGO)
			Iceland	Bifrost University	University, college or other teaching institution, research institute or think-tank
PT05-0117	Democratic Values Laboratory	No	Norway	Organisasjonen Voksne for Barn	Other type of NGO
PT05-0129	We Stand For Human Rights	No	Norway	Human Rights Academy	Other type of NGO
Projects with donor project partners 7 out of 113 (6.2%)			Planned grant amount for projects with donor project partners €622,014		

PT06 - Public Health Initiatives					
Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT06-0001	Improvement of epidemiological health information to support public health decision and management in Portugal: Towards reduced inequalities, improved health and bilateral cooperation.	Yes	Norway	Division of Epidemiology of The Norwegian Institute of Public Health	National agency
PT06-0003	IoGeneration	No	Norway	Norwegian University of Science and Technology (NTNU)	University, college or other teaching institution, research institute or think-tank
PT06-0005	Nutrition UP 65 - nutritional strategies facing an ageing population	No	Norway	Norwegian University of Science and Technology (NTNU)	University, college or other teaching institution, research institute or think-tank
PT06-0009	A mental health promotion network to build capacity and reduce inequalities for workers and unemployed	No	Norway	Buskerud and Vestfold University College	University, college or other teaching institution, research institute or think-tank
			Iceland	Directorate of Health in Iceland	Government ministry
PT06-0010	STOP Depression: Stepped care treatments and digital solutions for depression and suicide prevention in primary care	No	Norway	Arkimedes	Small or medium sized enterprise (SME)
PT06-0011	Incredible years for the promotion of mental health	No	Norway	UiT The Arctic university of Norway, Tromsø University	University, college or other teaching institution, research institute or think-tank
PT06-0012	Perinatal depression screening. Diagnosis, prevention and early intervention in primary healthcare	No	Norway	Universitetet i Oslo, Institute of Clinical Medicine	University, college or other teaching institution, research institute or think-tank
PT06-0013	Primary Care Mental Health Sustained Capacity-Building for Depression and Suicidal Behaviour (PrimeDep)	No	Norway	University of Oslo	University, college or other teaching institution, research institute or think-tank
PT06-0014	Promoting access to mental health services of the children of people with psychiatric disorder	No	Norway	Voksne for Barn	Other type of NGO
PT06-0015	Why Youth Mental Health Care School - Based with Primary Care Liaison	No	Norway	National Center for Suicide research and prevention, University of Oslo	University, college or other teaching institution, research institute or think-tank

PT06-0016	Evaluating and improving the access to mental health services of people affected by the economic crisis in Portugal based on a new understanding of the effects of the crisis on mental health of the population	No	Norway	University of Oslo	University, college or other teaching institution, research institute or think-tank
PT06-0018	Projeto HAITool - A Toolkit to Prevent, Manage and Control Healthcare-Associated Infections	No	Norway	University Hospital of North Norway HF	Regional or local authority
PT06-0020	Infections by group B streptococci in Portugal and Iceland: Raising awareness and contributing to preventive strategies	No	Iceland	Landspítali University Hospital, Reykjavik	University, college or other teaching institution, research institute or think-tank
PT06-0021	HEPeCONTROL - Hepatitis E virus epidemiology, safety and control	No	Norway	Norwegian University of Life Sciences	University, college or other teaching institution, research institute or think-tank
PT06-0022	National Food Survey and Physical Activity	No	Norway	Institute of Basic Medical Science, University of Oslo	University, college or other teaching institution, research institute or think-tank
PT06-0023	ProFooSe (Promoting Food Security in Portugal)	No	Norway	Norwegian University of Science and Technology (NTNU)	University, college or other teaching institution, research institute or think-tank
PT06-0024	Nutriscience: play, cook, learn	No	Norway	Institute of Basic Medical Science, University of Oslo	University, college or other teaching institution, research institute or think-tank
PT06-0025	PRONUTRISENIOR - Enable health professionals in nutrition in senior age: a holistic approach	No	Norway	Oslo and Akershus University College of Applied Sciences	University, college or other teaching institution, research institute or think-tank
			Iceland	University of Iceland	University, college or other teaching institution, research institute or think-tank
PT06-0026	Portuguese elderly nutritional status surveillance system (PEN-3S)	No	Norway	Oslo and Akershus University College of Applied Sciences	University, college or other teaching institution, research institute or think-tank
PT06-0027	ES Cool	No	Norway	University of Bergen	University, college or other teaching institution, research institute or think-tank
Projects with donor project partners 20 out of 27 (74.1%)			Planned grant amount for projects with donor project partners €6,869,031		

PT07 - Mainstreaming Gender Equality and Promoting Work-Life Balance

Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT07-0001	MORAL AND SEXUAL HARRASSMENT IN THE WORKPLACE	Yes	Norway	Norwegian Association of Local and Regional Authorities	Other
PT07-0003	Local Gender Equality	No	Norway	Centre for Gender Research (STK)- University of Oslo	Government ministry
PT07-0004	Gender and mobility: inequality in space-time	No	Norway	Noroff University College (NUC)	University, college or other teaching institution, research institute or think-tank
PT07-0005	Equality Network Project +	No	Norway	Panafrican Women`s Association (PAWA)	Other
PT07-0006	Equality Balance	No	Norway	International Development Norway AS	Small or medium sized enterprise (SME)
PT07-0008	Promotion of Gender Equality in decision-making positions and reduction of the gender gap in the business sector: from the diagnosis to intervention.	No	Norway	Center for Gender Research at the University of Oslo	University, college or other teaching institution, research institute or think-tank
PT07-0009	The "gender identity law"; Impact and challenges of legal innovation in the (trans)gender field	No	Norway	LANDSFORENINGEN FOR LESBISK OG HOMOFIL FRIGJØRING (LLH)	Other type of NGO
PT07-0010	Working Generation - in work and in life	No	Iceland	Icelandic Women's Rights Association	Other type of NGO
PT07-0012	GEOS- Gender Quality - Odivelas and Seixal	No	Norway	Norwegian Association of Local and Regional Authorities	Other
Projects with donor project partners 9 out of 12 (75.0%)			Planned grant amount for projects with donor project partners €1,212,420		

PT09 - Cultural Diversity and Cultural Exchange

Project id	Project Name	Pre-defined project	Donor state	Donor project partner	Type of organisation
PT09-0001	CIRCUS LAB	No	Norway	Cirkus Xanti	Other
PT09-0002	MOTHERS	No	Norway	Visjoner Teater	Other
PT09-0003	The Giant and the Little	No	Norway	Adam Bartley	Other
PT09-0004	WRITE A SCIENCE OPERA (WASO)	No	Norway	Bergen Nacional Opera	Other
			Norway	Stord Haugesund University College	University, college or other teaching institution, research institute or think-tank
			Norway	University of Stavanger	University, college or other teaching institution, research institute or think-tank
PT09-0005	OTHELLO'S ANATOMY - ARTS AND EDUCATION FOR CITIZENSHIP	No	Norway	Teater Ibsen/Skien Kulturskole	Other
			Norway	The Barratt Due Institute of Music	University, college or other teaching institution, research institute or think-tank
PT09-0006	ZYG	No	Norway	Dybwikdans	Other
PT09-0007	"Tales from the Sea"	No	Norway	Haugesund Kulturskole	Other
PT09-0008	HANDS FULL OF SHELLS & FEET FULL OF FLOWERS	No	Norway	Franziska Aarflot Productions/ Franziska Aarflot Produksjoner	Other
PT09-0011	Cod - Experimental Tapestry	No	Norway	Marianne Laukvik	Other
Projects with donor project partners 9 out of 10 (90.0%)			Planned grant amount for projects with donor project partners €781,999		

Portugal - Summary

Project grant amount total	€ 50,872,994
Number of projects	212
Number of projects with donor project partners	60
Proportion of projects with donor project partners	28.30 %
Number of programmes *	8
EEA and Norway grants committed	€53,603,749

* Excluding Technical assistance programmes and PA22

ATTACHMENT 4 & 5 [DoRIS Reports extracted]

Annex - Strategic report attachment 4

Programme and country irregularities in Portugal as initially reported

Reported by designated entities in or before 2016

Prepared 07-Mar-17

Supported export format
word and excel

Irregularities detected at Beneficiary state level

No irregularities have been reported

Irregularities detected at Programme level

Irregularity case	Irregularity status	Case opened	Case closed	Irregularity period	Followed up	Initial nature of irregularities	Amount of recovered funds	Grant amount reduced
IR-0158	Closed	28/05/15	10/11/15	2015Q1	2015Q2	error in payment claim	[Please insert]*	[Please insert]*
IR-0444	On going	01/08/16		2016Q2	2016Q4	error in payment claim	[Please insert]*	[Please insert]*
Total							[Please insert]*	[Please insert]*

* Please insert the amount of financial corrections made in the tables above and delete this text.

Annex - Strategic report attachment 5

Project irregularities in Portugal as initially reported

Reported by designated entities in or before 2016 on project level

Prepared 07-Mar-17

Supported export format word and excel

Irregularity case	Irregularity status	Case opened	Case closed	Irregularity period	Followed up	Initial nature of irregularities	Amount of recovered funds	Grant amount reduced
IR-0519	On going	27/09/16		Immediate	2016Q4	deviation from public procurement procedures	[Please insert]*	[Please insert]*
IR-0562	On going	29/11/16		2016Q3	2016Q4	deviation from public procurement procedures	[Please insert]*	[Please insert]*
IR-0563	On going	29/11/16		2016Q3	2016Q4	deviation from public procurement procedures	[Please insert]*	[Please insert]*
IR-0564	On going	30/11/16		2016Q3	2016Q4	error in payment claim	[Please insert]*	[Please insert]*
Total							[Please insert]*	[Please insert]*

* Please insert the amount of financial corrections made in the tables above and delete this text.

ATTACHMENT 6 Risk Assessment at national and Programme level *(non public attachment)*

At National Level

Objectives	Risks	Likelihood or vulnerability ¹	Consequence ²	Mitigation Measures (Status)
Cohesion	National co-financing performance and incurred expenditure possibly affected by budgeting restrictions and lengthy administrative procedures	3	2	<ul style="list-style-type: none"> Coordinated contacts from NFP with relevant authorities (namely Ministries for Planning and Infrastructure and Finance) informing on the risk and need to mitigate it (Ongoing) General exemption provisions provided for in the Decree Law for National Budget Execution regarding EEA Grants financed programmes (Ongoing / every year)
	Achievement of all Programme Outcomes (financially and materially)	2	3	<ul style="list-style-type: none"> Extension of eligibility period to projects (Done) Close monitoring and support to PO by NFP/FMO and early identification of output indicators that may not be achieved in order to mitigate its impact on the completion of the programmes' objectives (Ongoing)
Bilateral cooperation	Level of committed and successful partnerships	2	2	<ul style="list-style-type: none"> PO demand clear partnership agreements at project level regulating the most sensitive aspects, such as responsibilities, activities and respective execution calendar and budgets (Done)
	Differences in financial requirements' approach	2	2	<ul style="list-style-type: none"> Recommendation to POs to refer applicable EEA Grants rules, in particular, Article 7.13 of the Regulation, to partners (Done) Concerns also raised by the NFP to the FMO/Donors as having room for improvement in the current and future mechanisms by providing more information and training to EEA partner entities.
Operational and management issues	Capacity/experience from some POs on managing EEA Grants (without prejudice to the adequacy of their designation, as they are the most capacitated bodies on the supported areas)	2	3	<ul style="list-style-type: none"> Reinforce capacity building/training on EEA Grants / managing public funds to POs (Ongoing) Close monitoring on management teams appointed and of their changes; close contact with the ministries that supervise the supported areas (Ongoing) Support to PO by NFP/FMO/Certifying Authority (Ongoing)
	Irregularities	3	3	<ul style="list-style-type: none"> Revision and update of the Description of the Management and Control systems at Programme level (Ongoing)

At Programme Level

Programmes	Risks	Likelihood or vulnerability ¹	Consequence ²	Mitigation Measures (Status)
PT02	Financial and administrative procedures may affect timely disbursement of national co-financing at programme and project level and timely completion of all outcomes (in particular regarding PDP 1's second phase)	3	2	<ul style="list-style-type: none"> Close contact with PO, Ministry for the Sea and Ministry of Planning and Infrastructures (Ongoing) Close monitoring to projects, in particular PDP 1 (Ongoing) Reinforcement of programme operators' management capacity and staff (Ongoing) Independent Auditor contracted for validations of expenditures (Done)
	Management of high number of supported projects (37)	2	2	
PT03	Timely completion of PDP	2	2	<ul style="list-style-type: none"> PO to ensure that PP monitors closely the contractors performance (Ongoing) PO to ensure continuous risk assessment to the pre-defined project (Ongoing)
PT08	Articulation between PO/PP	3	2	<ul style="list-style-type: none"> Close monitoring from NFP through meetings and on-site visits, with PO and PP, on the progress of the Programme Outcomes. More regular reports provided by the PO and the PP to attest progress on each individual activity. Participation of the FMO and Ministry of Culture in monitoring activities (Ongoing) Bilateral partnership established (Done) Reprogramming of activities (Done) PO to increase monitoring on the different projects sites and a more direct role before the different municipalities where activities are being financed (Ongoing)
	PP's capacity on EEA Grants management activities	3	2	
	Achievement of all Programme Outcomes	2	2	

¹ 4 = Almost certain (75 – 99% likelihood); 3 = Likely (50 – 74%); 2 = Possible (25 – 49%); 1 = Unlikely (1 – 24%)

² 4 = severe; 3 = major; 2 = moderate; 1 = minor; n/a = not relevant or insignificant.