



REPUBLIC OF SLOVENIA  
**MINISTRY OF ECONOMIC  
DEVELOPMENT AND TECHNOLOGY**

## **COMBINED STRATEGIC & ANNUAL PROGRAMME REPORT**

### **ON THE IMPLEMENTATION OF THE EEA FINANCIAL MECHANISM AND NORWEGIAN FINANCIAL MECHANISM 2009 - 2014 IN SLOVENIA**



**Reporting period:**  
**Prepared by:**

**January 2013 – December 2013**  
**National Focal Point**  
**Ministry of Economic Development and**  
**Technology**

## 1 EXECUTIVE SUMMARY

The year 2013 can be considered as the year of programme preparation as well as the start of project implementation. In 2013 all legal and administrative procedures necessary to launch the programmes took place. The compliance of the management and control system for implementation of both financial mechanisms with regulations was approved on 22 August 2013.

Programmes SI01 (technical assistance and the fund for bilateral relations at national level operated by the Ministry of Economic Development and Technology), SI03 (Funds for non-governmental organisations operated by Regional Environmental Centre and the Centre for Information Service, Co-operation and Development of NGOs), SI04 (EEA and Norwegian scholarship programme operated by CMEPIUS) and SI22 (Global fund for decent work and tripartite dialogue) are in full implementation. Programmes SI02 (EEA financial mechanism programme) and SI05 (Norwegian financial mechanism programme), both operated by the Ministry of Economic Development and Technology, are in early stage of implementation. The documentation related to the call for project proposals was prepared and approved by the selection committee and the Financial Mechanism Office. The call for proposals was published on 27 December 2013 with the deadline for submission of project proposals: 28 February 2014.

Strengthening long-term bilateral cooperation is a very important overall objective of the EEA and Norway Grants. The bilateral relations with the donor countries are supported through the bilateral fund at the national level as well as at the programme level.

On the national level the co-operation between Slovenia and the donor countries is concentrating on further cooperation in the field of mainstreaming gender equality and health issues. In addition to that a new area of cooperation has been identified, i.e. experiences in the past and future European integration. In 2013 two representatives of the Ministry of Labour, family, social affairs and equal opportunities participated at the study visit to Iceland (4-7 June 2013). The purpose of the study visit was to get acquainted with the Icelandic institutions responsible for preparation and implementation of gender equality policy and programmes, to exchange experience and to establish a platform for future cooperation in the area of gender equality. The study visit of two Slovenian experts to the Norwegian National Centre for Telemedicine in Tromsø and other places in Oslo, dealing with telemedicine was carried out in November 2013.

The co-operation between Slovenia and the donor countries is growing stronger also on the programme level; in particular within the NGO (SI03) and the Scholarship programme (SI04). Both programmes have a bilateral fund established within their respective budget breakdowns in order to strengthen contacts and establishing partnerships between the Slovenian NGOs and the donor states' NGOs and to promote the Scholarship Fund, with the aim to establish new bilateral cooperation and identify new joint projects with partners from donor states. The activities under the Fund for Bilateral Relations at the programme level SI02 and SI05 were discussed at the respective Cooperation Committee meetings. A notice about the resources under the Fund for Bilateral Relations and contacts for partner search was published on the national webpage of the EEA and Norway grants. The partnership agreement between Surveying and Mapping Authority of the Republic of Slovenia, the Norwegian Mapping Authority and the National Land Survey of Iceland was signed on 1 October 2013 (SI02 programme). In the field of Initiatives for public Health the Summer School on topic *"Ensuring the equality in the preventive programmes"* with the participation of Norwegian expert was held in September 2013 and in the field of Gender Equality the study visit of Slovene municipalities' representatives (local level) to Norway was made in the period from 30 September 2013 to 4 October 2013 (SI05 programme).

In the reporting period from 1 January 2013 to 31 December 2013 no irregularities have been detected.

## 2 ASSESSMENT OF THE EFFECT OF THE GRANTS

### 2.1. Cohesion

In 2013 the seven year period within which Slovenia was given a considerable amount of funds in the context of the European Cohesion Policy 2007-2013, expired. At the same time the existing Slovenia's Development Strategy also expired. The most important document that defines the future direction of economic and social development is Slovenia's Development Strategy for the period 2014-2020. The strategy identifies three main areas of economic development:

1. Research, development and innovation;
2. Start-up, growth and development of small and medium-sized enterprises;
3. Employment, education, training and competence (young and older).

#### Objectives and targets of Slovenia's Development Strategy

	2012	2020
Gross domestic product per capita (GDP p.c.)	17,244 EUR	24,000 EUR
Productivity growth (GDP per employee)	-1.1%	3.5%
Employment (age 20-64) - share	68,3%	75%
Value-added per employee	37,187 EUR	50,000 EUR
Ecological footprint per capita	5.21	4.9

(Source: IMAD, SORS, Global Footprint Network, MEDT calculation)

Some of the development opportunities will be financed from the European Cohesion Policy funds. Slovenia needs to prepare all required documents that will clearly and concretely demonstrate how to most effectively use the negotiated 3.3 billion EUR (in current prices) for the period 2014-2020 in order to boost the economic growth, create new jobs, enhance human potential and improve the environment.

The programmes under the EEA and Norwegian grants 2009 – 2014 in Slovenia fit into the overall objective of the cohesion policy in the areas that are not covered or adequately supported by other resources. The areas of public health and gender issues, environmental monitoring, biodiversity, cultural heritage are to benefit through both programmes. The contribution of the programmes to the national objectives at this point cannot be assessed yet. Even though the volume of the grants is relatively small, this will be a valuable contribution to reduce regional disparities and increase economic and social cohesion.

### 2.2. Bilateral relations

Strengthening long-term bilateral cooperation is a very important overall objective of the EEA and Norway Grants. Already in the previous financial period 2004-2009 the implementation of selected individual projects within EEA and Norway grants contributed substantially to enhanced cooperation between the donor states and the Republic of Slovenia. Looking at the history of co-operation between Slovenia and the donor countries, the logical approach to continue strengthening bilateral relations is concentrating on further cooperation in the field of mainstreaming gender equality and health issues. In addition to that a new area of cooperation has been identified, i.e. experiences in the past and future European integration.

The Work Programme for the Bilateral Relations at the National Level therefore includes five priority areas of cooperation:

1. Preparing bilateral aspects of the programmes in the preparation phase (2011 and 2012);
2. Co-operation in the field of health;
3. Co-operation in the field of gender equality;
4. Slovenian / EEA countries experiences in the past and future European integration;

## 5. Other initiatives to be agreed with the donors.

The main objective of Priority 1 was “Preparing bilateral aspects of the programmes in the preparation phase (2011 and 2012)”. All activities within this priority were completed and reported in the Strategic Report No.2 on the implementation of the EEA Financial Mechanism and Norwegian Financial Mechanism 2009-2014.

The main objective of Priority 2 “Co-operation in the field of health” is further strengthening of bilateral co-operation between Slovenian and donor countries’ ministries of health and further co-operation through:

- Joint conference for exchange of knowledge and best practices in the area of public health and primary health care focusing on reducing health inequalities (in spring 2014);
- Study visit to the Norwegian National Centre for Telemedicine in Tromsø and other places in Oslo, dealing with telemedicine.

The applicant institution is the Ministry of Health, which implements the activities in co-operation with Ministries of Health in donor countries, Donor Programme Partner and the Norwegian Embassy.

The study visit of two Slovenian experts to the Norwegian National Centre for Telemedicine in Tromsø and other places in Oslo, dealing with telemedicine was carried out in November 2013.

Since the cost of the telemedicine study visit was much lower than planned in the Work Programme concerning bilateral relations at the national level (only 2.573 EURO instead of 12.000 EUR) the Ministry of Health proposed to use the remaining amount for a study visit at the Norwegian Directorate of Health and the Norwegian Institute of Public Health. The proposed Slovenian participants are the representatives of the Ministry of Health and the Institute of Public Health. The purpose of the study visit would be to get acquainted with the Norwegian good practice in the area of public health. The budget for the study visit would not exceed 9.000 EUR and would cover the travel cost (airplane tickets and local transportation), hotel cost and per diems for Slovenian participants. The study visit is proposed to be carried out in spring 2014.

The main objective of priority 3 “Co-operation in the field of gender equality” is establishing and further strengthening bilateral co-operation between Slovenia, Norway, Iceland and/or Lichtenstein in the area of gender equality, more specifically between ministries responsible for gender equality policies and other relevant organizations working in this field. Two types of activities are envisaged:

- Study visit to gender equality bodies and other relevant organizations dealing with gender equality issues in Norway, Iceland and/or Lichtenstein focusing on the exchange of experiences and best practices regarding the preparation and implementation of the gender equality policy and programmes.
- Joint conference for exchange of knowledge and best practices in the area of gender equality among donor (Norway, Iceland and/or Lichtenstein) and beneficiary (Slovenia) countries in autumn 2014.

The applicant institution is the Ministry of Labour, Family and Social Affairs, which will implement the activities in co-operation with Centre for Gender Equality (Iceland), Ministry of Children, Equality and Social Inclusion (Norway), Ministry of Family Affairs and/or Gender Equality (Lichtenstein), and other Project donor partner(s), if relevant, in co-operation with the Norwegian Embassy.

Two representatives of the Ministry of Labour, family, social affairs and equal opportunities participated at the study visit to Iceland (4-7 June 2013). The purpose of the study visit was to get acquainted with the Icelandic institutions responsible for preparation and implementation of gender equality policy and programmes, to exchange experience and to establish a platform for future cooperation in the area of gender equality.

The main objective of priority 4 “Slovenian / EEA countries experiences in the past and future European Integration” is to exchange Slovenian and EEA countries experiences with different models of European integration. Slovenian experiences as a (small) EU Member State, EEA model of cooperation with the EU, view from a candidate country (Iceland). Two types of activities are envisaged:

- Slovenian-EEA conference in Ljubljana focusing on different models of past and future European integration / view from the inside and outside of the EU;
- Study visit to enhance bilateral co-operation.

Applicant institution is Ministry of Foreign Affairs, which will implement the activities in co-operation with Ministry of Foreign Affairs (Norway) in co-operation with the Norwegian Embassy in Budapest.

The Study visit originally planned for the first half of 2013 will be carried out from 4 to 6 February 2014. The conference originally planned for the second half of 2013 will be carried out in autumn 2014.

### 3 REPORTING ON PROGRAMMES

#### 3.1. Overview of Programme status

Programmes SI01 (Technical assistance and the fund for bilateral relations at national level), SI02 (EEA financial mechanism programme), SI03 (Funds for non-governmental organisations), SI04 (EEA and Norwegian scholarship programme), SI05 (Norwegian financial mechanism programme) and SI22 (Global fund for decent work and tripartite dialogue) are in full implementation.

The **SI01** programme is being operated by the Ministry of Economic Development and Technology. The implementation of the programme started slower than expected but now is proceeding as planned. Within the Technical assistance fund the funds are being used to cover programme management cost at the National Focal Point, the Certifying Authority and the Audit Authority. A small reallocation of funds among the activities has been proposed and approved in September 2013.

The **SI02** programme is being operated by the Ministry of Economic Development and Technology. In 2013 the documentation related to the call for project proposals for priority areas Biodiversity and Ecosystem Services and Conservation and Revitalisation of Cultural and Natural Heritage was prepared and approved by the selection committee and the Financial Mechanism Office. The call for proposal was published on 27 December 2013. The deadline for submission of project proposals is 28 February 2014. The third objective within the EEA Financial Mechanism is the Environmental Monitoring and Integrated Planning and Control with the objective to “Improve compliance with environmental legislation” through a pre-defined project “Modernization of Spatial Data Infrastructure to Reduce Risks and Impacts of Floods”.

As the programme is still in early stage of implementation the progress towards expected outcomes cannot be reported. At the moment only one project (the predefined project) has been kicked off and it is in initial phase of implementation.

The **SI03** programme is being operated by the Regional Environmental Centre (REC Slovenia) and the Centre for Information Service, Co-operation and Development of NGOs (CNVOS) The programme will be implemented in the course of the next three years. The total amount of funding available for the NGO programme in Slovenia is 1.875.000 EUR. In September 2013, the call for proposals for medium and large projects in total amount 1.275.000 EUR was published. The contracts with selected project promoters are expected to be signed in February 2014. The next call for proposals for small projects in total amount 318.750 EUR will be published in March 2014.

The **SI04** programme is being operated by the Centre of the Republic of Slovenia for Mobility and European Educational and Training Programmes (CMEPIUS). The Programme Operator published and completed the call for proposals 2013 for the programme Slovene Scholarship Fund EEA and Norwegian Financial Mechanism. The call was published on June 21 2013 for Measure 1 Preparatory visit (open call)

and on August 14 2013 for all the other Measures. The process for the selection of projects was completed in December 2013. The second call was published on 18 December 2013 with the deadline 17 February 2014.

The **SI05** programme with two priority areas “Public health initiatives” and “Mainstreaming gender equality and promoting work-life balance” is being operated by the Ministry of Economic Development and Technology. The year 2013 is considered as the year of programme preparation as well as start of project implementation. In 2013 all legal and administrative procedures necessary to launch the programme, including changes in programme agreement took place.

The documentation related to the call for project proposals was prepared and approved by the selection committee and the Financial Mechanism Office. The call for proposals was published on 27 December 2013. The deadline for submission of project proposals is 28 February 2014.

The **SI22** programme is implemented by “Innovation Norway”. The implementation is horizontally for all 12 beneficiary states. The Fund finances measures which promote decent work and strengthen trilateral dialogue. The call for proposals is closed. In the Republic of Slovenia two projects have been allocated funds.

### **3.2. Individual Programme reporting**

#### **3.2.1. Programme SI01 – TECHNICAL ASSISTANCE AND THE FUND FOR BILATERAL RELATIONS AT NATIONAL LEVEL**

##### **3.2.1.1. Overall progress as regards implementation of the Programme;**

The purpose of the technical assistance programme is to contribute to the management cost at the National Focal Point, the Certifying Authority and the Audit Authority related to the implementation of the EEA and the Norwegian Financial Mechanism. In 2013, the following activities were performed and covered with the Technical Assistance funds:

- Labour cost at the Certifying Authority and the Audit Authority;
- Participation of 1 representative of the Certifying Authority at the Workshop on DoRIS system for Certifying Authorities (Brussels, 5-6 February 2013);
- Participation of 2 representatives of the National Focal Point at the Workshop on preparation of annual and strategic reports and at the meeting related to the management and control system (Brussels, 7 February 2013);
- Annual meeting organized by the National Focal Point (Ljubljana, 7 March 2013);
- Participation of 1 Slovenian representative at the Information and communication workshop in Warsaw, 15 April 2013;
- Participation of 2 representatives of the National Focal Point at the Workshop on reporting issues, financial reporting and reporting on irregularities, risk assessment and risk mitigation and update on DoRIS system (Brussels, 24 October 2013);
- Participation of 1 representative of the National Focal Point at the Workshop on risk mitigation and fight against corruption (Oslo, 23-26 November);
- Purchase of promotion material.

A small reallocation of funds among activities within the Technical Assistance Fund has been proposed and approved in September 2013.

##### **3.2.1.2. Progress towards expected outcomes;**

The implementation of the programme is proceeding as planned.

##### **3.2.1.3. Outputs achieved;**

Within the Technical assistance fund the following outputs were achieved:

- 2<sup>nd</sup> annual audit prepared;
- Audit strategy prepared;
- All Requests submitted to the certifying authority certified;
- Annual meeting organized;
- Promotion material purchased;
- 1 representative of the Certifying Authority acquainted with DoRIS system for Certifying Authorities;
- 2 representatives of the National Focal Point acquainted with the preparation of annual and strategic reports;
- 1 Slovenian representative acquainted with the information and communication requirements related to the EEA and Norwegian Financial Mechanisms;
- 2 representatives of the National Focal Point acquainted with reporting issues, financial reporting and reporting on irregularities, risk assessment and risk mitigation and updated on DoRIS system;
- 1 representative of the National Focal Point acquainted with the risk mitigation and fight against corruption.

#### **3.2.1.4. Potential risks that may threaten the achievement of the objectives set out in the Programme;**

Frequent changes of organizational structure for implementing both Financial Mechanisms combined with shortage of staff present a risk for efficient implementation. At the moment the most critical situation is at the operational level of the National Focal Point. As of 1 October 2013 the contact person of the National Focal point was replaced by another civil servant that is primarily responsible for the Swiss Contribution programme and can therefore devote only approximately 30% of time to EEA and Norwegian Financial Mechanism. The human resources management is of utmost importance for efficient implementation of both mechanisms. At each phase of implementation of EEA and Norwegian Financial Mechanism it necessary to assure an adequate number of appropriately skilled staff to carry out required tasks. The human resources in terms of quantity and skills need to be harmonized with actual needs. Besides that it is also important to have the support of the ministry's top management and of all supporting services within the ministry (i.e. the legal service, public procurement service, the IT service, etc.). The fact that the supporting services are not well acquainted with specific characteristics of EEA and Norwegian Financial Mechanism very often hinders flexible approach to solving problems and represents a bottleneck.

#### **3.2.1.5. The need for adjustments of plans, including actions for risk mitigation;**

At the moment no adjustments of plans concerning the activities within the Technical Assistance Fund are necessary.

#### **3.2.1.6. The use of funds for bilateral relations;**

In 2013, the following activities were performed and covered with the funds for bilateral relations at the national level:

- Participation of 1 representative of the Geological Survey of Slovenia at the seminar on geothermal energy (Reykjavik, 5-8 March 2013);
- Participation of 2 representatives of the Ministry of Labour, Family, Social Affairs and Equal Opportunities at the study visit to Iceland (4-7 June 2013). The purpose of the study visit was to get acquainted with the Icelandic institutions responsible for preparation and implementation of gender equality policy and programmes, to exchange experience and to establish a platform for future cooperation in the area of gender equality;
- Participation of 2 representatives of the Ministry of Health at the study visit to the Norwegian National Centre for Telemedicine in Tromsø and other places in Oslo, dealing with telemedicine (14-15 November 2013).



Since the cost of the telemedicine study visit carried out in November 2013 was much lower than planned in the Work Programme concerning bilateral relations at the national level (only 2.573 EURO instead of 12.000 EUR) the Ministry of Health proposed to use the remaining amount for a study visit at the Norwegian Directorate of Health and the Norwegian Institute of Public Health. The proposed Slovenian participants are the representatives of the Ministry of Health and the Institute of Public Health. The purpose of the study visit would be to get acquainted with the Norwegian good practice in the area of public health. The budget for the study visit would not exceed 9.000 EUR and would cover the travel cost (airplane tickets and local transportation), hotel cost and per diems for Slovenian participants. The study visit is proposed to be carried out in spring 2014.

### **3.2.2. Programme SI02 – EEA FINANCIAL MECHANISM PROGRAMME**

#### **3.2.2.1. Overall progress as regards implementation of the Programme;**

The objective of the EEA Financial Mechanism programme aims at the following programme areas:

- Biodiversity and Ecosystem Services with the objective “Halt loss of biodiversity”;
- Conservation and Revitalisation of Cultural and Natural Heritage with the objective “Cultural and natural heritage for future generations safe-guarded and conserved and made publicly accessible”.

The Programme agreement was changed twice. The first change was required in order to reflect the delay in the publication of the open call (modification of 11 September 2013). The second change concerned the amendments of Annex 1 and 2 in relation to eligibility of applicants (modification of 21 November 2013). In autumn 2013 the documentation related to the call for project proposals for these two priority areas was prepared and approved by the selection committee and the Financial Mechanism Office. The call for proposal was published on 27 December 2013. The deadline for submission of project proposals is 28 February 2014.

The third objective within the EEA Financial Mechanism is the Environmental Monitoring and Integrated Planning and Control with the objective to “Improve compliance with environmental legislation” through a pre-defined project “Modernization of Spatial Data Infrastructure to Reduce Risks and Impacts of Floods”. The overall goal of the pre-defined project is i/ to facilitate water management and reduce flood risks and impacts with improved spatial planning through relevant assessment of potentially endangered areas; ii/ to improve spatial information on topography and hydrography and iii/ to increase INSPIRE compliance of data and services. The proposed project, especially from the view of reducing flood risks, is one of the priorities of the Ministry of Agriculture and the Environment and also one of the priorities of the Surveying and Mapping Authority of the Republic of Slovenia (SMA).

#### **3.2.2.2. Progress towards expected outcomes;**

The expected outcomes of SI02 programme are:

- Increased capacity to manage and monitor Natura sites effectively;
- Increased exchange of information on environmental impact, status and trends between beneficiary states and other EU member states;
- Cultural heritage restored, renovated and protected;
- Cultural heritage made accessible to the public.

As the programme is still in early stage of implementation the progress towards expected outcomes cannot be reported. At the moment only one project (the predefined project) has been kicked off and it is in initial phase of implementation.

#### **3.2.2.3. Outputs achieved;**

In 2013 the following outputs were achieved:

- The programme approved by the donors on 7 February 2013;
- The Programme agreement signed on 8 July 2013;



- The Statement on liability and responsibility of the Ministry of Economic Development and Technology acting as the National Focal Point and the Programme Operator signed on 27 July 2013;
- Positive evaluation of pre-defined project issued on 25 July 2013;
- Official kick-off of the programme on 19 June 2013;
- Programme agreement changed twice (11 September 2013 and 21 November 2013)
- Documentation concerning the call for proposals prepared;
- Selection criteria related to the call for proposals approved by the selection committee on 21 November 2013;
- The call for proposal text approved by the Financial Mechanism Office on 12 December 2013;
- The call for proposals published on 27 December 2013.

#### **3.2.2.4. Potential risks that may threaten the achievement of the objectives set out in the Programme;**

Since the public call for SI02 programme was published later than foreseen the available time for implementation of selected project is shorter and therefore there is a risk that the programme objectives will not be met completely. The Ministry of Economic Development and Technology acting as a Programme Operator for SI02 should make sure that the contracts with selected project promoters are signed on time.

#### **3.2.2.5. The need for adjustments of plans, including actions for risk mitigation;**

There is no need for adjustment of plans at the moment.

#### **3.2.2.6. The use of funds for bilateral relations;**

Work plan of activities under the Fund for Bilateral Relations at the Programme Level SI02 was sent to the Financial Mechanism Office on 6 November 2013.

In 2013 the following activities were carried out:

- The launching event for the EEA Financial Mechanism and the Norwegian Financial Mechanism “Co-operation for joint objectives” took place in Ljubljana on 19 June 2013;
- The partnership agreement between Surveying and Mapping Authority of the Republic of Slovenia, the Norwegian Mapping Authority and the National Land Survey of Iceland was signed on 1 October 2013;
- The notice about the resources under the Fund for Bilateral Relations was published on the national webpage of the EEA and Norway grants;
- Contacts for partner search were published on the national webpage of the EEA and Norway grants as a support for potential applicants (measure A).

### **3.2.3. Programme SI03 – FUNDS FOR NON-GOVERNMENTAL ORGANISATIONS**

#### **3.2.3.1. Overall progress as regards implementation of the Programme;**

The objective of the NGO programme is to strengthen the development of civil society and increase its contribution to social justice and equality, democracy and sustainable development. The programme operator was selected in the framework of a public call for proposals, which was carried-out by the Financial Mechanism Office. The Financial Mechanism Office selected the Regional Environmental Centre (REC Slovenia) and the Centre for Information Service, Co-operation and Development of NGOs (CNVOS) as fund operators to develop and manage the NGO programme in Slovenia. The programme, which will be implemented in the course of the next three years, will strive to strengthen the development of civil society and enhance contribution to social justice, democracy and sustainable development. The total amount of funding available for the NGO programme in Slovenia is 1.875.000 EUR, out of which 1.593.750 EUR is dedicated to the fund for NGOs projects. In the scope of the call for proposals for medium and large projects, published in September 2013, 1.275.000 EUR is available, in

the scope of the call for proposals for small projects, which will be published in March 2014, additional 318.750 EUR is available.

Priority areas and division of resources:

- Democracy (15% of available resources) is tackling issues such as good governance and transparency, participatory democracy, anti-corruption, rule of law, etc.
- Human rights (15% of available resources), is addressing especially the rights of minorities and marginalized groups, such as homosexuals, Roma, etc., rights of migrants, antidiscrimination, gender equality, etc.
- Social equality (20% of available resources) is addressing poverty, social inclusion and activation of marginalized groups (activities that support beneficiaries in finding new sources of living, building their skills, etc.).
- Children and youth (20% of available resources) is tackling issues, such as youth unemployment, informal education, prevention of youth crime with the aim to support the children and youth in realizing their potential.
- Protection of environment (20% of available resources). Issues addressed: biodiversity, climate change, renewable sources of energy and efficient use of energy, sustainable mobility, local food production, etc.
- Provision of welfare and social rights (10% of available resources): social innovations (development of new services, broadening of the existing services to new beneficiaries). Project proposals should not include services that are already being provided by the public institutions or already financed by the public funds.

#### **3.2.3.2. Progress towards expected outcomes;**

The expected outcomes of SI03 programme are:

- The active citizenship fostered;
- Cross-sectoral partnerships developed, particularly with government organizations at local, regional and/or national level;
- Advocacy and watchdog role developed;
- Developed networks and coalitions of NGOs working partnership;
- Empowerment of vulnerable groups.

At this stage it is not possible yet to report on achieved outcomes.

#### **3.2.3.3. Outputs achieved;**

In 2013 the following outputs were achieved:

- Programme Operator selected;
- The first call for proposals for medium and large projects published in September 2013;
- All call related activities (e.g. the workshop for potential applicants) carried out;
- All applications revised and evaluated by external independent evaluators within first stage of evaluation process;
- Project ideas selected for the second stage of the evaluation process.

#### **3.2.3.4. Potential risks that may threaten the achievement of the objectives set out in the Programme;**

No risks that might threaten the objectives set out in the programme have been identified. During the NGO Programme preparation stage there were several potential risks identified, e.g. lack of interest for donor project partnerships, low quality of project proposals, too many requests for individual assistance in project application phase, high number of appeals etc. Due to effective risk mitigation measures mentioned risks did not appear.

### **3.2.3.5. The need for adjustments of plans, including actions for risk mitigation;**

There is no need for adjustment of plans at the moment. The only (but minor) adjustment of the timeframe was needed in relation to publication date of the second open call. Namely the Fund operator has received an unexpectedly high number of applications to the first call and the evaluation process took a bit longer than foreseen in the beginning. Instead of January 2014, the second open call will be launched in March 2014.

### **3.2.3.6. The use of funds for bilateral relations;**

Besides supporting the non-governmental sector in Slovenia, the programme also aims at strengthening contacts and establishing partnerships between the Slovenian NGOs and the donor states' NGOs. There was a bilateral fund established at the NGO Programme level.

Under measure "a" (Seed money) there were 15.500 EUR allocated aimed at supporting the development of project partnerships between NGOs from Slovenia and from the donor states during the application period. There was a launching event organized in Ljubljana, and the bilateral fund covered travel and accommodation costs for 18 participants from the donor states who joined the event. They also participated at the match making seminars for potential project applicants and potential donor project partners which allowed them to explore the cooperation possibilities.

Under measure "b" (Networking and exchange of experience) there are 16.235 EUR allocated for networking, exchange and transfer of knowledge which will be available to the project promoters during the implementation period. They will have the opportunity to apply for extra funding over and above the project budget, to liaise with donor state entities, and participate in seminars or conferences in donor states.

## **3.2.4. Programme SI04 - EEA AND NORWEGIAN SCHOLARSHIP PROGRAMME**

### **3.2.4.1. Overall progress as regards implementation of the Programme;**

In accordance with the objective of the Programme area to enhance human capital and knowledge base in Slovenia, the Programme Operator Centre of the Republic of Slovenia for Mobility and European Educational and Training Programmes (CMEPIUS) published and completed the call for proposals 2013 for the programme Slovene Scholarship Fund (EEA and Norwegian Financial Mechanism). The call was published on 21 June 2013 for Measure 1 Preparatory visit (open call) and on August 14 2013 for all the other Measures; the date for submission was 14 October 2013.

The results of the call show a great interest by eligible institutions in primary, secondary and tertiary level. The Programme Operator received:

- 10 applications for preparatory visits (Measure 1),
- 13 applications for mobility projects in higher education (Measure 2),
- 5 applications for mobility projects for educational staff in general and vocational education and training (Measure 3),
- 2 applications for inter-institutional cooperation projects in higher education (Measure 4), and
- 8 applications for inter-institutional cooperation projects in education and training (Measure 5).

The Programme Operator performed all activities related with the preparation of the call: information day, workshops for applicants, technical review of applications received and the evaluation process. All applications were revised and evaluated by two external independent evaluators (except applications for Measure 1 which are revised and evaluated by an internal expert). In Measure 5 where the two evaluators could not agree upon a consolidated assessment of three applications a third independent external evaluator was included in the process.

In December 2013 the process for the selection of projects was completed and in January 2014 agreements with the Project promoters will be signed. Upon signature of project agreements all required data shall be entered into the online database DoRIS.

In line with the procedural process of the first call, the second call was published on 18 December 2013 with the deadline 17 February 2014.

#### **3.2.4.2. Progress towards expected outcomes;**

The expected outcomes of SI04 programme are:

- Increased higher education student and staff mobility between Beneficiary and EEA EFTA States;
- Increased and strengthened institutional cooperation at all levels of the education sector between Beneficiary and EEA EFTA States;
- Increased mobility of education sector staff at all levels of education between Beneficiary and EEA EFTA States.

The first call was prepared in accordance with the specified outcomes and indicators in the Programme proposal; although it must be mentioned that the indicators are currently being revised and shall be updated by the end of February 2014 into DoRIS. The revision is non-substantive in nature but concerns to better define the set of controlled outcomes, outputs and indicators. In regards to the first call the projects approved shall contribute significantly to all selected outcomes and outputs set in the Programme proposal, thus keeping the management of the programme in line with the objectives set at the beginning of the implementation of the programme.

#### **3.2.4.3. Outputs achieved;**

In 2013 the following outputs were achieved:

- The call for proposals 2013 for the programme Slovene Scholarship Fund (EEA and Norwegian Financial Mechanism) published on 21 June 2013 for Measure 1 Preparatory visit (open call) and on 14 August 2013 for all the other Measures;
- All activities related with the preparation of the call (information day, workshops for applicants, technical review of applications received and the evaluation process) completed;
- All applications revised and evaluated by external independent evaluators;
- The second call published on 18 December 2013.

#### **3.2.4.4. Potential risks that may threaten the achievement of the objectives set out in the Programme;**

The identified risks in the Programme proposal that referred to lack of interest from eligible institutions and individuals and poor quality of applications/projects have been taken into consideration during the first call. Impact was detected in Measure 3 in regards to the first risk (lack of interest) and in measure 2 in regards to the second risk (poor quality). The situation in both cases was discussed at the Programme Operator level and appropriate measures were taken. For the second call additional promotion will be carried out so that we shall ensure the number of applications and therefore use of funds. To ensure the quality of applications two workshops for applicants will be organized, one in January and another at the beginning of February 2014. The workshops shall include also comments and notes from independent external evaluators regards to the content, project management and financial plan of the application. Other identified risks noted in the Programme proposal – poor implementation/management of awarded projects/activities, insufficient dissemination of results and lack of sustainability – have not been observed so far since the projects have not yet begun with their activities. The Programme Operator shall monitor the implementation of the projects to ensure quality management, dissemination and sustainability.

#### **3.2.4.5. The need for adjustments of plans, including actions for risk mitigation;**

Programme preparation costs were planned in the amount of 10.671 EUR and were eligible to be spent until February 2013. Due to uncertain situation concerning the co-financing and late signature of the programme implementation agreement between Programme Operator and the Ministry of Economic Development and Technology (June 2013) the funds have not been used in whole. Nevertheless all the activities have been carried out and all the requirements were met. Therefore the Programme Operator requested the reallocation of unused funds for programme preparation costs in the amount of 7.989 EUR to Bilateral fund to support preparatory visits. The new total amount available for Bilateral fund is 64.493 EUR (54.819, 05 EEA and Norwegian grant and 9.673,95 EUR national co-financing).

#### **3.2.4.6. The use of funds for bilateral relations;**

For the use of the funds for bilateral relations the Programme Operator has an open call for preparatory visits intended to help organisations eligible for the programme Slovene Scholarship Fund (EEA and Norwegian Financial Mechanism) to establish new mobility or inter-institutional cooperation/partnership projects. By the end of January 2014, 19 applications were received, of which 16 were approved and 8 successfully completed. From the 16 applications approved 5 are intended for participants of the contact seminar organised by the Norwegian Centre for International Cooperation in Education, 3-4 February 2014. Participants, including the Programme Operator representative, shall promote Slovenian HEI institutions and present the Slovene Scholarship Fund (EEA and Norwegian Financial Mechanism), with the aim to establish new bilateral cooperation and identify new joint projects with partners from donor states.

### **3.2.5. Programme SI05 – NORWEGIAN FINANCIAL MECHANISM PROGRAMME**

#### **3.2.5.1. Overall progress as regards implementation of the Programme;**

The Norwegian Financial Mechanism Programme 2009–2014 for Slovenia includes two programme areas:

- Public health initiatives and
- Mainstreaming gender equality and promoting work-life balance.

The objectives of the programme for both programme areas are improvement of public health, reduction of health inequalities, gender equality and promotion of work-life balance.

Within the SI05 programme also 2 pre-defined projects are included:

- The project in area of public health initiatives “Towards better health and reducing inequalities in health” (Project Promoter: National Institute by Public Health) will focus on integrated models of health protection through a life-cycle approach, improve access to prevention, treatment and care system, strengthen capacity and enforce inter-sectoral cooperation, in particular in four areas: preventive healthcare for children and adolescents, education in the field of health of pregnant women, children and adolescents, reduction of chronic diseases of work active population as well as on senior citizens’ programmes.
- The project in the area of equal opportunities “Towards equalizing power relations between women and men” (Project Promoter: Slovene Ministry of Labour, Family, Social Affairs and Equal Opportunities) will focus on challenging unequal power relations between men and women and tackling the social imbalances regarding the gender power structure.

Contracts for both projects are under preparation.

The year 2013 is considered as the year of programme preparation as well as the start of project implementation. In 2013 all legal and administrative procedures necessary to launch the programme, including changes in programme agreement took place. In this respect the Programme agreement for SI05 programme was changed twice:

- The first change (with and Addendum) concerned the correction of technical error in Annex I (eligibility of cost: 28/01/2013 - 30/04/2017) and the change in Annex II regarding the launching of call of proposals (changed from third to fourth quarter of 2013). The addendum was signed by the donors on 28 October 2013 and by the beneficiary state on 11 November 2013.
- The second change was required because the Programme Operator requested the modification of annex II, article 1.3 regarding eligible costs. The main justification for modification was that the main orientation of the programme ("The investments into infrastructure are not eligible.") was not properly reflected in the Programme Agreement SI05 under eligibility of cost. The Programme Operator wanted to ensure that the programme orientation is clearly indicated in the public call. Heaving in mind relatively short project implementation phase, the Programme Operator did not want to exclude good projects, which also contain purchase of new equipment. The Programme Operator therefore proposed that the entire purchase price of new

equipment is considered as eligible cost, under condition that the costs of new equipment does not exceed 30% of the total project cost. This proposed change of the Programme agreement was approved by the Financial Mechanism Office on 18 December 2013.

The documentation related to the call for project proposals was prepared and approved by the selection committee and the Financial Mechanism Office. The call for proposals was published on 27 December 2013. The deadline for submission of project proposals is 28 February 2014.

### **3.2.5.2. Progress towards expected outcomes;**

The expected outcomes of SI05 programme are:

- Reduced inequalities between user groups;
- Improved mental health services;
- Awareness raised and research on gender issues promoted.

As the programme has just been kicked-off the progress towards expected outcomes cannot yet be reported.

### **3.2.5.3. Outputs achieved;**

In 2013 the following outputs were achieved:

- The programme approved by the Financial Mechanism Office on 28 January 2013;
- The Programme agreement signed by the donors (Norwegian Ministry of Foreign Affairs) on 14 June 2013 and by the beneficiary state (National Focal Point) on 8 July 2013;
- The Statement on liability and responsibility of the Ministry of Economic Development and Technology acting as the National Focal point and the Programme Operator signed on 24 July 2013;
- Official kick-off of the programme on 19 June 2013;
- The Programme agreement changed twice (first change with the addendum signed by the donors on 28 October 2013 and by the beneficiary state on 11 November 2013; the second change was approved by the Financial Mechanism Office on 18 December 2013);
- Selection Committee established on 18 November 2013;
- Detailed selection criteria adopted by the Selection Committee on 21 November 2013;
- Detailed selection criteria adopted by the Financial Mechanism Office on 12 December 2013;
- The call for proposals published on 27 December 2013;
- Two regular meetings of Cooperation Committee held on 20 June 2013 and on 20 November 2013.

Pre-defined project »Towards better health and reducing inequalities in health« (Project Promoter: National Institute by Public Health)

- Positive appraisal by Programme Operator issued on 12 September 2013;
- Notification of National Contact Point to Financial Mechanism Office on 24 September 2013;
- Partnership agreement between National Institute of Public Health Slovenia and Norwegian Institute of Public Health, Division of Epidemiology signed on 28 June 2013, revised on 2 September 2013;
- Contract under preparation.

Pre-defined project »Towards equalizing power relations between women and men« (Project Promoter: Slovene Ministry of Labour, Family, Social Affairs and Equal Opportunities)

- Positive appraisal by Programme Operator issued on 25 July 2013;
- Notification of National Contact Point to Financial Mechanism Office on 25 July 2013;
- Partnership agreement between the ministry and KS, the Norwegian Association of Local and Regional Authorities signed on 28 August 2013, revised on 9 October 2013;
- Contract under preparation.



#### **3.2.5.4. Potential risks that may threaten the achievement of the objectives set out in the Programme;**

Since the public call for SI05 programme was published later than foreseen the available time for implementation of selected project is shorter and therefore there is a risk that the programme objectives will not be met completely. The Ministry of Economic Development and Technology is acting as a Programme Operator for SI02 and SI05 should make sure that the contracts with selected project promoters are signed on time.

#### **3.2.5.5. The need for adjustments of plans, including actions for risk mitigation;**

There is no need for adjustment of plans at the moment.

#### **3.2.5.6. The use of funds for bilateral relations;**

The Work plan of activities under the Fund for Bilateral Relations at the Programme Level SI05 for the year 2013 and 2014 was discussed at the Cooperation Committee meeting which took place in June 2013 in Ljubljana. The plan was made in accordance with the programme of Norwegian Financial Mechanism and financial recourses available for the year 2013 and 2014.

In 2013 the following activities were carried out:

- Launching event for the EEA Financial Mechanism and the Norwegian Financial Mechanism "Co-operation for joint objectives" took place in Ljubljana on 19 June 2013;
- Partnership agreements for both pre-defined project were signed;
- A notice about the resources under the Fund for Bilateral Relations was published on the national webpage of the EEA and Norway grants;
- Contacts for partner search were published on the national webpage of the EEA and Norway grants as a support for potential applicants.

In the field of Initiatives for public Health the Summer School on topic "*Ensuring the equality in the preventive programmes*" with the participation of Norwegian expert was held in September 2013 and in the field of Gender Equality the study visit of Slovene municipalities' representatives (local level) to Norway was made in the period from 30 September 2013 to 4 October 2013. The major goal was to get information on good practices in the field of gender equality.

Currently the partners' search of potential applicants is in progress.

### **3.2.6. Programme SI22 – GLOBAL FUND FOR DECENT WORK AND TRIPARTITE DIALOGUE**

#### **3.2.6.1. Overall progress as regards implementation of the Programme;**

The Programme is focused on the promotion of the agenda for decent work, promotion of tripartite dialogue and the strengthening of bilateral cooperation with the Norwegian partners. By promoting this dialogue the social partners in each country will contribute to a more sustainable economic and social development.

In the name of the donors the programme is implemented by "Innovation Norway". The implementation is horizontally for all 12 beneficiary states. The Fund finances measures which promote decent work and strengthen trilateral dialogue. The call for proposals is closed; two projects in the Republic of Slovenia have been allocated funds:

Applicant	Norwegian Partner	Project Title	Grant approved	Total Budget
Slovenian Federation of Trade Unions Alternativa	National Union of Norwegian Locomotivemen (Norsk Lokomotivmansforbund)	Decent Retirement	57.000	63.485



Applicant	Norwegian Partner	Project Title	Grant approved	Total Budget
Association of Free Trade Unions of Slovenia	Norwegian Confederation of Trade Unions (LO)	Decent project for decent work	84.840	94.720

The deadline to close the projects is 31 December 2014.

## 4 MANAGEMENT AND IMPLEMENTATION

### 4.1 Management and control systems

In accordance with Article 4.8 of the Regulations, Slovenia has submitted the description of management and control system (MCS) for the implementation of both financial mechanisms, accompanied by the report and opinion of the Audit Authority – the Budget Supervision Office of the Republic of Slovenia on 18 December 2012. On 22 August 2013 the Financial Mechanism Office confirmed that management and control system in the Republic of Slovenia complies with paragraph 1 of Article 4.8.1 of regulations.

### 4.2. Compliance with EU legislation, national legislation and the MoU

The implementation of EEA and Norway grants 2009 – 2014 will be in compliance with EU legislation, with the national legislation, focusing on public procurement and eligibility of expenditures and provisions of the Memoranda of Understanding. Environmental legislation will be fully respected. Controls for compliance with the legislative framework will be performed by the Programme Operators, which will include the provisions for controls in the description of management and control systems, not later than six months after submission of the first interim financial reports.

### 4.3. Irregularities

No irregularities have been detected in the reporting period from 1 January 2013 to 31 December 2013.

### 4.4. Audit, monitoring, review and evaluation

On 19 December 2013, the Audit Authority issued the 2<sup>nd</sup> Annual Audit Report describing the work done by the Audit Authority in the period from 1 July 2012 to 30 June 2013:

- In December 2012, the Audit Authority had issued the Report on the compliance assessment of the management and control system for the National Focal Point, the Certifying Authority and the Audit Authority.
- In the period from 1 July 2012 to 30 June 2013 the Audit Authority didn't perform any System Audits and any audits of projects.

The Audit Plan for 2014 was submitted to the Financial Mechanism Office and the National Focal Point on 9 January 2013. According to this plan the Budget Supervision Office will perform a system audit of all key bodies involved in the management and control system by completion of implementation of financial mechanisms:

- The Ministry of Economic Development and Technology (MEDT), Regional Development and European Territorial Cooperation Directorate (RDETCD), International Affairs and National Authorities Division (IANAD) acting as National Focal Point and Programme Operator for SI02 and SI05 programmes will be audited in 2014.
- The Ministry of Finance, Department for Management of EU Funds acting as Certifying Authority will be audited in 2015.
- CMEPIUS acting as Programme Operator for SI04 programme will be audited in 2015.

The Audit Authority will perform first audit of projects after 15 July 2014. The Audit Authority will include in the sample expenditures incurred until 30 April 2014, which are declared in the intermediate financial statements and sent to donors' states till 15 July 2014.

The following audits will be carried out in 2014:

Auditee	Function of the bodies	Type of Audit	Period
MEDT, RDETC, IANAD CMEPIUS	Programme Operator	Compliance Assessment of Programme Operator	April 2014
MEDT, RDETC, IANAD	National Focal Point and Programme Operator	System Audit	August – September 2014
Not established yet*	Project Promoter	Project Audit	October – November 2014

\*Number of audited projects and Project Promoters will be selected on the basis of assessment of the functioning of the management and control system and of value of declared expenditure incurred until 30 April 2014.

#### 4.5. Information and publicity

The National Focal Point developed a Communication Strategy covering EEA and Norway Grants. The Communication strategy was approved by the Financial Mechanism Office on 13 July 2012.

The Ministry of Economic Development and Technology decided to use internal IT and PR resources to develop the website ([www.norwaygrants.si](http://www.norwaygrants.si) and [www.eeagrants.si](http://www.eeagrants.si)). Then web site was up-and-running from 1 February 2013. The webpage is available in Slovenian and English and provides information on specific programmes, relevant documents (including reports, guidelines and logotypes), latest news and upcoming events.

Together with the set-up of the webpage we updated our Facebook profile EEA and Norway Grants Slovenia (<https://www.facebook.com/pages/EEA-and-Norway-Grants-Slovenia/346404615445248?ref=ts&fref=ts>) with more links to different events, new photos etc.

The FB profile and webpage address are placed on the ministry's webpage.

In 2013 the promotional materials have been purchased. The promotional material will be distributed at the Norwegian and EEA financial mechanisms related events.

#### 4.6. Work plan

1<sup>st</sup> quarter 2014:

- Annual meeting with the donors;
- Organizing workshop for potential applicants (SI02 and SI05 programmes)
- Reporting on irregularities.

2<sup>nd</sup> quarter 2013

- Adoption of guidelines for reporting for SI02 and SI05;
- Signature of Implementation contracts with selected project promoters;
- Reporting on irregularities.

3<sup>rd</sup> quarter 2013

- Monitoring of results of public tender for SI02 and SI05
- Reporting on irregularities.

4<sup>th</sup> quarter 2013

- National Focal Point Review of monitoring plans of Programme Operators;
- Reporting on irregularities.

## 5 SUMMARY LIST OF ISSUES AND RECOMMENDATIONS

The following issues and/or recommendations concerning management and control of EEA and Norway grants 2009 – 2014 in Slovenia have been identified in 2013:

- Due to saving measures in public administration, shortages of staff, working at the Ministry of Economic Development and Technology slowed down the start of implementation. It affects also the commitment of management level at the ministry, which is proportional to the volume of funds. A frequent change of organizational structure for implementing both financial mechanisms combined with a shortage of staff present a risk of delays in the implementation.
- Since the public call for SI02 and SI05 programme was published later than foreseen the available time for implementation of selected project is shorter and therefore there is a risk that the programme objectives will not be met completely. The Ministry of Economic Development and Technology is acting o as a Programme Operator for SI02 and SI05 should make sure that the contracts with selected project promoters are signed on time.

## 6 ATTACHMENTS TO THE STRATEGIC REPORT

1. For each Programme, a table [DoRIS report to be created] showing the breakdown in respect of applications received and projects selected / contracted, as well as the types of intervention supported.
2. For each Programme, a table providing information in respect of donor partnership projects (names of Donor State entities, number and proportion of partnership projects). [DoRIS report to be created]
3. A summary table on Donor partnership projects on the Beneficiary State level. [DoRIS report to be created]
4. A list of irregularities detected at the Beneficiary State level and at Programme level during the reporting period and financial corrections made. Provide an update on previously reported irregularities. [DoRIS report to be created]
5. For each Programme, a list of irregularities detected at project level during the reporting period and financial corrections made. Provide an update on previously reported irregularities. [DoRIS report to be created]
6. A plan setting out the monitoring and audit activities in the Beneficiary State for the coming reporting period.
7. A risk assessment at the national and programme levels.

## Annex: Monitoring and audit plan

### Monitoring plan

Programme	Monitoring action	Planned timing	Criteria for monitoring	Potential risk	Comments
SI02 and SI05	Monitoring of results of public tender for SI02 and SI05	September 2014	NFP would like to check whether all selected projects have the potential to achieve overall programme and grants' objectives at national level.	Indicators of achievement at programme level are not realistic. Late start of the programmes.	The summary of results will be discussed with Programme Operators
SI02, SI04, SI05	National Focal Point Review of monitoring plans of Programme Operators in relation to public tenders outcomes	November 2014	Monitoring plan of Programme Operators prepared and submitted to the National Focal Point.	Organisational arrangements of Programme Operators for monitoring not in place	The purpose is also to avoid duplication of monitoring activities and to allow National Focal Point to have an overview of monitoring activities of Programme Operators

### Audit plan

Auditee	Function of the bodies	Type of Audit	Period
The Ministry of Economic Development and Technology, Regional Development and European Territorial Cooperation Directorate, International Affairs and National Authorities Division CMEPIUS	Programme Operator	Compliance Assessment of Programme Operator	April 2014
The Ministry of Economic Development and Technology, Regional Development and European Territorial Cooperation Directorate, International Affairs and National Authorities Division	National Focal Point and Programme Operator	System Audit	August – September 2014
Not established yet*	Project Promoter	Project Audit	October – November 2014

\*Number of audited projects and Project Promoters will be selected on the basis of assessment of the functioning of the management and control system and of value of declared expenditure incurred until 30 April 2014.

## Annex: Risk assessment at the national level

The risk assessment at the national level regards risks to the two overall objectives and overall operations of the Grants.

Type of objective <sup>1</sup>	Description of risk	Likelihood <sup>2</sup>	Consequence <sup>3</sup>	Mitigation planned/done
Cohesion objective:				
Reduction of economic and social disparities	Poor implementation/management of awarded projects/activities  Insufficient dissemination of results  Lack of sustainability	2	1	Efficient monitoring of project implementation
Bilateral objective:				
Strengthening long-term bilateral cooperation between Slovenia and donor countries	Lack of interest for donor project partnerships	1	1	Enhanced promotion
Operational issues:	Frequent change of organizational structure for implementing both financial mechanisms  Shortage of staff	2	2	Flexibility in assuring human resources in terms of quantity and skills according to actual needs

<sup>1</sup> The risks should be categorised in one of 3 ways, depending on whether it poses a risk to the cohesion objective, the bilateral objective, or is more of an operational issue.

<sup>2</sup> Each risk should be described as to whether it poses a risk to the cohesion objective, the bilateral objective, or is more of an operational issue, where 4 = Almost certain (75 – 99% likelihood); 3 = Likely (50 – 74%); 2 = Possible (25 – 49%); 1 = Unlikely (1 – 24%)

<sup>3</sup> Assess the consequence(s) in the event that the outcomes and/or crucial operations are not delivered, where 4 = severe; 3 = major; 2 = moderate; 1 = minor; n/a = not relevant or insignificant.

## Annex: Risk assessment of the programme

Programme 02 EEA FM	Type of objective <sup>4</sup>	Description of risk	Likelihood <sup>5</sup>	Consequence <sup>6</sup>	Mitigation planned/done
	Cohesion (Programme) outcomes:				
	Increased capacity to manage and monitor Natura 2000 sites effectively	Late publication of public call  Shortened time for project implementation	2	1	Support to potential applicants (publication of FAQ on the web site, workshop)  Facilitation of effective evaluation procedure  Speed-up the contract signing procedure  Efficient monitoring of project implementation by the Programme Operator
	Increased exchange of information on environmental impact, status and trends between Beneficiary States and other EU Member States	Low quality of project proposals  High number of appeals  Poor implementation/management of awarded projects/activities			
	Cultural heritage restored, renovated and protected	Insufficient dissemination of results			
	Cultural heritage made accessible to the public	Lack of sustainability			
	Bilateral outcome(s):				
	Operational issues:	Frequent change of organizational structure for implementing both financial mechanisms  Shortage of staff			Flexibility in assuring human resources in terms of quantity and skills according to actual needs

<sup>4</sup> The risks should be categorised in one of 3 ways, depending on whether it poses a risk to the cohesion objective, the bilateral objective, or is more of an operational issue.

<sup>5</sup> Each risk should be described as to whether it poses a risk to the cohesion outcomes (programme outcomes), the bilateral outcome or crucial operational issues 4 = Almost certain (75 – 99% likelihood); 3 = Likely (50 – 74%); 2 = Possible (25 – 49%); 1 = Unlikely (1 – 24%)

<sup>6</sup> Assess the consequence(s) in the event that the outcomes and/or crucial operations are not delivered, where 4 = severe; 3 = major; 2 = moderate; 1 = minor; n/a = not relevant or insignificant.



Programme 03 Funds for non- governmental organisations	Type of objective <sup>7</sup>	Description of risk	Likelihood <sup>8</sup>	Consequence <sup>9</sup>	Mitigation planned/done
	Cohesion (Programme) outcomes:				
	Active citizenship fostered	Lack of interest for donor project partnerships	2	1	Workshops for applicants  Efficient monitoring of project implementation by the Programme Operator
	Cross-sectoral partnerships developed, particularly with government organizations at local, regional and/or national level	Low quality of project proposals  Too many requests for individual assistance in project application phase			
	Advocacy and watchdog role developed	High number of appeals			
	Developed networks and coalitions of NGOs working partnership				
	Empowerment of vulnerable groups				
	Bilateral outcome(s):				
	Operational issues:				

<sup>7</sup> The risks should be categorised in one of 3 ways, depending on whether it poses a risk to the cohesion objective, the bilateral objective, or is more of an operational issue.

<sup>8</sup> Each risk should be described as to whether it poses a risk to the cohesion outcomes (programme outcomes), the bilateral outcome or crucial operational issues 4 = Almost certain (75 – 99% likelihood); 3 = Likely (50 – 74%); 2 = Possible (25 – 49%); 1 = Unlikely (1 – 24%)

<sup>9</sup> Assess the consequence(s) in the event that the outcomes and/or crucial operations are not delivered, where 4 = severe; 3 = major; 2 = moderate; 1 = minor; n/a = not relevant or insignificant.

Programme 04 EEA & Norwegian Scholarship Programme	Type of objective <sup>10</sup>	Description of risk	Likelihood <sup>11</sup>	Consequence <sup>12</sup>	Mitigation planned/done
	Cohesion (Programme) outcomes:				
	Increased higher education student and staff mobility between Beneficiary and EEA EFTA States	Lack of interest from eligible institutions and individuals  Poor quality of applications/projects	2	1	Additional promotion  Workshops for applicants (workshops shall include also comments and notes from independent external evaluators regards to the content, project management and financial plan of the application)  Efficient monitoring of project implementation by the Programme Operator
	Increased and strengthened institutional cooperation at all levels of the education sector between Beneficiary and EEA EFTA States	Poor implementation/management of awarded projects/activities  Insufficient dissemination of results  Lack of sustainability			
	Increased mobility of education sector staff at all levels of education between Beneficiary and EEA EFTA States				
	Bilateral outcome(s):				
	Operational issues:				

<sup>10</sup> The risks should be categorised in one of 3 ways, depending on whether it poses a risk to the cohesion objective, the bilateral objective, or is more of an operational issue.

<sup>11</sup> Each risk should be described as to whether it poses a risk to the cohesion outcomes (programme outcomes), the bilateral outcome or crucial operational issues 4 = Almost certain (75 – 99% likelihood); 3 = Likely (50 – 74%); 2 = Possible (25 – 49%); 1 = Unlikely (1 – 24%)

<sup>12</sup> Assess the consequence(s) in the event that the outcomes and/or crucial operations are not delivered, where 4 = severe; 3 = major; 2 = moderate; 1 = minor; n/a = not relevant or insignificant.

Programme 05 Norwegian FM	Type of objective <sup>13</sup>	Description of risk	Likelihood <sup>14</sup>	Consequence <sup>15</sup>	Mitigation planned/done
	Cohesion (Programme) outcomes:				
	Reduced inequalities between user groups	Late publication of public call  Shortened time for project implementation	2	1	Support to potential applicants (publication of FAQ on the web site, workshop)  Facilitation of effective evaluation procedure  Speed-up the contract signing procedure  Efficient monitoring of project implementation by the Programme Operator
	Life style related diseases prevented or reduced	Low quality of project proposals			
	Improved mental health services	High number of appeals			
	Awareness raised and research on gender issues promoted	Poor implementation/management of awarded projects/activities  Insufficient dissemination of results  Lack of sustainability			
	Bilateral outcome(s):				
	Operational issues:	Frequent change of organizational structure for implementing both financial mechanisms  Shortage of staff			Flexibility in assuring human resources in terms of quantity and skills according to actual needs

<sup>13</sup> The risks should be categorised in one of 3 ways, depending on whether it poses a risk to the cohesion objective, the bilateral objective, or is more of an operational issue.

<sup>14</sup> Each risk should be described as to whether it poses a risk to the cohesion outcomes (programme outcomes), the bilateral outcome or crucial operational issues 4 = Almost certain (75 – 99% likelihood); 3 = Likely (50 – 74%); 2 = Possible (25 – 49%); 1 = Unlikely (1 – 24%)

<sup>15</sup> Assess the consequence(s) in the event that the outcomes and/or crucial operations are not delivered, where 4 = severe; 3 = major; 2 = moderate; 1 = minor; n/a = not relevant or insignificant.