



SPAIN
MINISTRY OF FINANCE AND CIVIL SERVICE

EEA FINANCIAL MECHANISM 2009-2014

FINAL STRATEGIC REPORT

National Focal Point
Kingdom of Spain, Madrid 2017

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Abbreviations

AA	Audit Authority
CA	Certifying Authority
CDTI	Spanish Technology Support Agency
EEA	European Economic Area
ES	Spain
EU	European Union
FMO	Financial Mechanism Office
GDP	Gross Domestic Product
IFR	Interim Financial Report
IGAE	Spanish Audit Office
MCS	Management and Control System
MoU	Memorandum of Understanding
NFP	National Focal Point
PA	Programme Agreement
PO	Programme Operator
R&D	Research and Development

Final Report

EEA and Norwegian Financial Mechanisms 2009-2014

0 EXECUTIVE SUMMARY

The report assesses the implementation of the EEA Financial Mechanism in Spain for the period 2009-2014. The focus of the work is to assess the final results of grants channelled via the Mechanism on target objectives, and to assess the impact and sustainability of financed projects.

The report first analyses **macroeconomic indicators** and figures about the Spanish economy during the Programming period and in the subsequent years, in order to assess the overall impact of grants provided by the Mechanism on its overall goals of reducing disparities and strengthening bilateral relations. An assessment of key indicators covering employment, gender and income equality, GDP growth, trends in R&D expenditure and environmental performance of the economy led to the identification of main trends in these domains. The findings highlight encouraging trends in the recovery following the 2008 financial and economic crisis in financial and employment indicators, showing signs of stabilisation which are the founding ground for future convergence with countries in the European Economic Area. Some key fields, however, – such as R&D investment, gender equality, and youth employment – still present plenty of room for improvement. Likewise, the environmental performance of the Spanish economy appears to be relatively satisfactory, but it still lags behind EEA countries best cases, having yet to attain a trend of decoupling of economic growth and environmental impacts. The analysis of these figures also allowed for the assessment of the ability of the Programmes financed under the EEA Grants Financial Mechanism to effectively target most important issues in Spain’s economic context. The conclusion is that the Programmes were appropriately focused on key sectors.

An analysis of data on **bilateral relations** with the donor countries highlights no significant changes in foreign direct investment and trade in goods between Spain and Iceland, Liechtenstein and Norway. On the contrary, other, more “soft” indicators such as cross migration, number of direct connecting flights, and number of exchange students, show strong increases in the period. An overview of bilateral relations promoted within the Programmes shows that all Programmes included a significant amount of bilateral activities across a variety of activity typologies.

The report proceeds to report on each of the Programmes by assessing **Programme achievements**, information on calls and financial figures, and contribution of the Programmes to horizontal objectives. This section includes descriptive summaries for each Programme, describing their main output and outcome indicators, and assessing their impacts and sustainability. The findings, encompassing all 443 projects in the seven Programmes, show that the overall rate of effectiveness is high, with all but one Programme (ES05) exceeding expected output indicator values. All Programmes are deemed to have had a significant impact on their target sectors, even in the case of the partially implemented ES05. Likewise, all Programmes present substantial elements of future sustainability. In addition, the section analyses the contribution of Programmes to horizontal objectives of gender equality, environmental sustainability, economic and social sustainability, and their fulfilment of the principle of good governance. All Programmes positively tackled these issues, and some of them were specifically targeted (such as environmental sustainability by ES02 and gender equality by ES04). Good

governance was ensured in all Programmes by a number of measures, including the provision of Programme-specific Management and Control Systems.

Such systems are described in more detail in the following section, which assesses the **management and implementation** aspects of the Programmes. The efforts to establish comprehensive management and control systems is deemed to positively meet their goal, in spite of delays due to budget restrictions. The systems were found to be effective in timely detecting and solving findings, anticipating audit suggestions, as well as reacting to audits with continuous improvement. Overall, the Financial Mechanism's **compliance** to EU and national legislation, as well as to the Memorandum of Understanding has been verified continuously by different strategic and programme reports and audits. Conflicts could be solved by finding agreed solutions. A total of 43 irregularities were detected across the whole programming period. In general, most of the irregularities were minor and implied financial corrections, assumed as recovering funds in the Interim Financial Report following the detection and study of each irregularity. An open complaint mechanism was established via the National Focal Point's website. No complaint was received by this mean. **Monitoring, reviews, evaluations and audits** were analysed and their results are described in the report. Overall, all audits and reviews of the Spanish EEA Grants found only minor issues for improvement and correction that could be solved immediately and expressed only minor error rates in implementation of the programmes and projects. The Communication Strategy was also analysed, and its implementation is deemed positive.

The report finally includes a list of issues and **lessons learned**, by which it is clear that the implementation of the EEA Grants programmes has proved satisfactory in a number of ways. The analysis of final results and impacts shows that all programmes had tangible and sustainable effect with regard to the two general objectives of the EEA Grants, reducing socioeconomic disparities within Spain and compared to other EEA countries, and increasing bilateral relations between Spain and the Donor Countries. The objectives of the programmes, reflected in the outcomes and outputs, have been met and exceeded in most cases. With regard to the negative aspects, the lack of time has been a recurrent theme during the implementation period.

1 INTRODUCTION

The overall objectives of the EEA Financial Mechanism 2009-2014 in Spain were:

- to contribute to the **reduction of economic and social disparities in the European Economic Area** and
- to strengthen **bilateral relations between the Donor States and the Beneficiary States through financial contributions.**

Programmes and projects focused on the following **priority sectors**:

- (a) Environmental protection and management;
- (b) Climate change and renewable energy;
- (c) Civil society;
- (d) Human and social development;
- (e) Protecting cultural heritage.

The EEA Grants in Spain in the 2009-2014 period were structured in one national programme for the coordination and overall management of the grant system as well as in six thematic programmes that supported together more than 400 projects in the mentioned priority sectors.

This final report presents the general results of the EEA Grants in Spain 2009-2014 and evaluates the achievements, effects and impacts of the different programmes and their projects. The report highlights the contribution of the programmes to the overall objectives of the EEA Grants (section 2), an overview on the results, effectiveness, efficiency and impacts of the supported programmes (section 3), an assessment of the underlying management and control system including information and communication measures (section 4), as well as final conclusions and lessons learned from the programme (section 5).

Given the relevance and dimension of the Programme ES 02 “Environmental and climate change-related research and technology” with more than EUR 18 million EEA Grants to support 167 projects, this programme has been evaluated more in-depth. The corresponding report is presented as an annex document to this final report.

To elaborate this final report and the impact evaluation of programme ES 02, data from the EEA grants management system DORIS has been collected and analysed. In addition, relevant documents related to programmes and projects, in particular, the final programme reports have been studied. Moreover, interviews have been conducted with the National Focal Point of the EEA Grants in Madrid and with the different programme operators. With regard to the impact evaluation of programme ES 02, an additional web-based survey to all project promoters (with a 57.5% response rate) as well as on-site visits and interviews to four projects helped to gather additional information on long-term impacts and sustainability of results.

2 ASSESSMENT OF THE EFFECT OF THE GRANTS

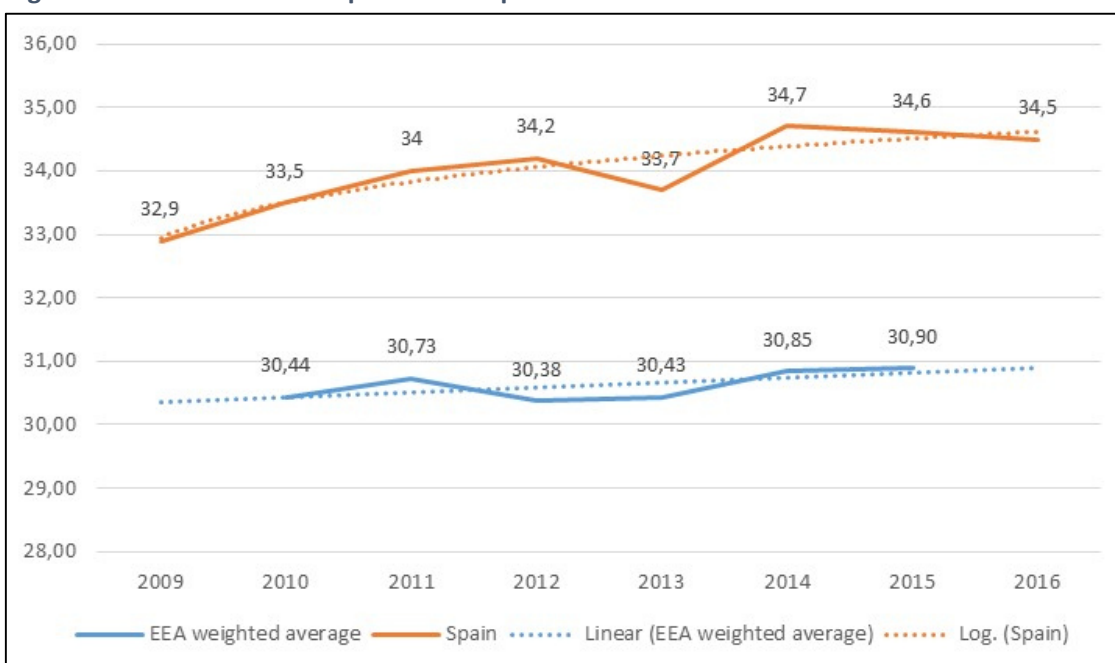
2.1 Cohesion

The first objective of the EEA grants in Spain was the reduction of economic and social disparities in the European Economic Area. In order to evaluate the degree of achievement of this objective in Spain in the period 2009-2014, it is necessary to consider the convergence of economic and social indicators with other nations in the EEA, according to a multidimensional and international concept of cohesion, therefore capturing disparities within beneficiary countries, in economic and social terms.

Equality is not just a political goal, as it has been shown that it constitutes a key enabler of growth sustainability (Berg and Ostry, 2011). Promoting drivers of long lasting, stable growth is particularly relevant in the case of Spain and other EEA grant beneficiary countries, given their uneven growth patterns in recent years: backing measures aimed at reducing disparities can prove to be a crucial strategy toward a sound recovery in the aftermath of the 2008 economic crisis.

Economic and social disparities may be summarised by several indicators. A basic measure of **disposable income inequality within countries** (the Gini coefficient, displayed in Figure 1 **Fehler! Verweisquelle konnte nicht gefunden werden.**), shows that inequality in Spain stood at 32.9 basis points in 2009 (up from 32.2 in 2005) and kept on growing to 34.7 in 2014, with a compound annual growth rate of 0.65% year-on-year for the period 2010-2015 – more than twice the same figure for EEA countries (0.3% year-on-year). However, until 2016 the value slightly decreased to reach 34.5 points.

Figure 1 Gini coefficient of equivalised disposable income



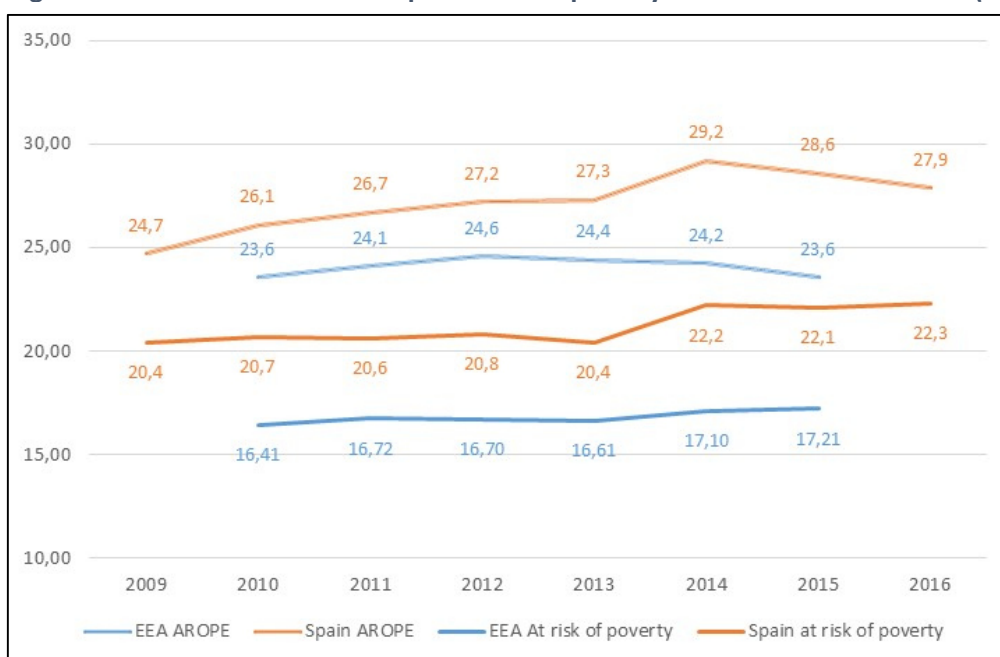
Source: EU-SILC survey (basis points) - Eurostat 2017

The gap between the figure for Spain and for the EEA was already high at 3 basis points in 2010, and it grew to 3.7 in 2015. This shows that income inequality is still a growing issue in Spain, and there is still way to go in order to bridge the gap and converge with other EEA countries.

The analysis of data, however, suggests evidence of a slight decrease in the growth rate in most recent years. Particularly, the last three years have shown promising signs of stabilisation, if not decrease: the coefficient went from 34.7 in 2014 to 34.6 in 2015 and 34.5 in 2016. This suggests that the negative impact of the 2008 financial crisis may be left behind, and the diverging trend compared with Spain's European partners may be starting to reverse.¹

When analysing the **rate of population at risk of poverty**, a similar picture emerges: the figure is increasing both in the EEA and in Spain. The compound annual growth rate is slightly higher in Spain (1.32% versus 0.95 % in the EEA) and there is no sign of significant reduction in the gap, however the figure between 2014 and 2016 has been stable around the 22.2 mark.² When considering the compound indicator for the risk of poverty or social exclusion (AROPE), an improvement is visible after 2014, even though the figure remains higher than both the Spanish data for 2009 and the EEA figure.³

Figure 2 AROPE Indicator and People-at-risk-of-poverty rate after social transfers (%)



¹ Own elaboration on Eurostat (2017) table “Gini coefficient of equivalised disposable income - EU-SILC survey”

(<http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=0&language=en&pcode=tessi190>)

² Own elaboration on Eurostat (2017) table “at-risk-of-poverty rate after social transfers by sex”

(<http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=tps00184>)

³ Own elaboration on Eurostat (2017) table “People at risk of poverty or social exclusion”

(http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=t2020_50)

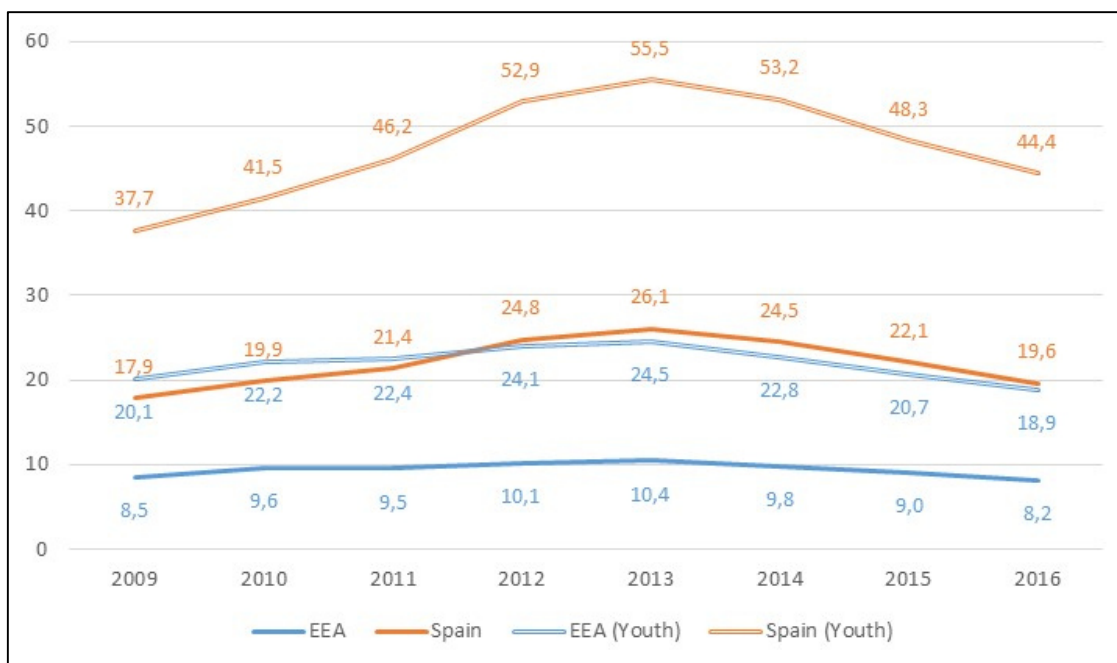
Source: Eurostat 2017 and People at risk of poverty or social exclusion (%) – Eurostat 2017

In the comparison between the indicator for at-risk-of-poverty population and the AROPE (shown in Figure 2 **Fehler! Verweisquelle konnte nicht gefunden werden.**), the latter's different path in recent years may suggest that social inclusion policies, both in Spain and in the rest of the EEA, have been more effective than efforts for the reduction of poverty.

It is possible to conclude that, even though the figures show growing inequality and increased risk of poverty, the reaction to the worsening of the picture following the 2008 financial crisis, with initiatives including those financed by the EEA grants, has allowed for a stabilisation of the trends when compared to the EEA, a building ground for future convergence.

Another indicator that reflects economic and social inequality is the **unemployment rate** and, in particular, the youth unemployment rate.

Figure 3 Unemployment rate (%) and Youth Unemployment rate (%)



Source: Eurostat 2017 and Liechtenstein Office of Statistics 2017

Unemployment in Spain in 2016 remained substantially higher than in any other EEA country except Greece, and the same can be said for youth unemployment (see Figure 3). In both cases, however, the peak was reached in 2013, and the recovery from the 2008 financial crisis has since driven a steady reduction in the indicators.

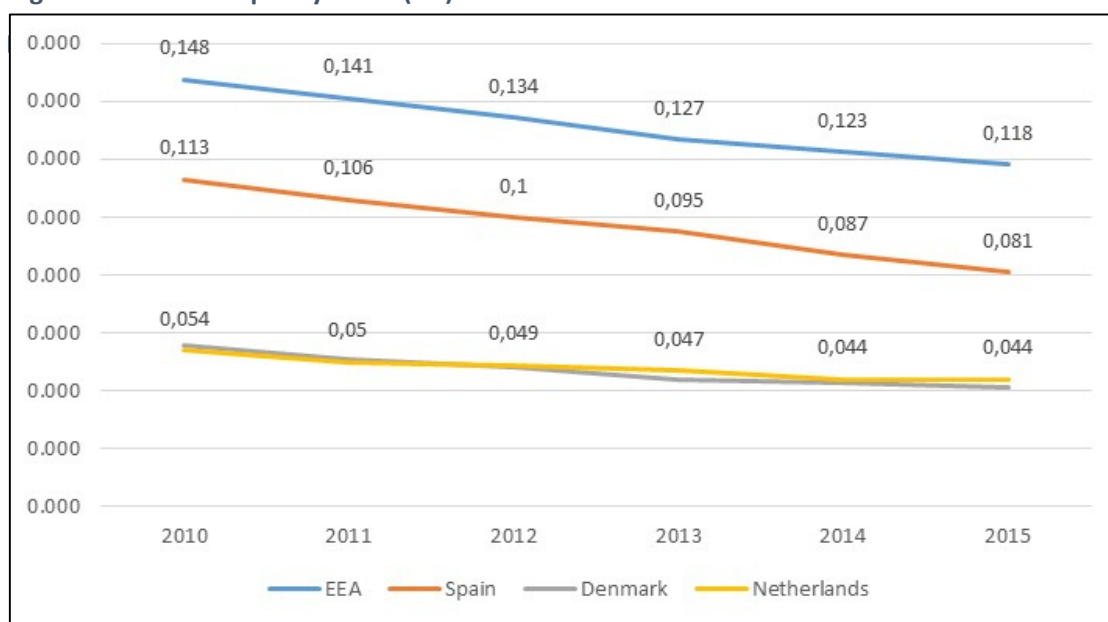
However, unlike the EEA average value, which was lower in 2016 against 2009 – meaning that the impact of the crisis in EEA economies has been completely absorbed (-0.3 % points for unemployment and -1.2 % points for youth unemployment) –, in Spain unemployment was up 1.7

percentage points in 2016 versus 2009, and youth unemployment increased by 6.7 % points.⁴ Efforts targeted at boosting the performance of the labour market seem to have been effective, but an extra effort will be needed in order to close the gap with pre-crisis values, and most importantly with other European economies.

In terms of labour economy, it is interesting to note that female unemployment has grown much more quickly than male unemployment after the 2008 crisis, and the gap has not reversed but accelerated its trend after 2013. The gap between male and female unemployment was around zero in 2009 both in Spain and in the general EEA economy. Since 2012, it grew steadily to 3.3 percentage points in Spain, while it remained around zero in the average EEA country. It is safe to conclude that the recovery in the labour market has been benefitting men more than women, and this is alarming in that it indicates an imbalanced growth path, negatively influencing equality.

However, when considering more sophisticated gender equality measures such as the UNDP **Gender Inequality Index** – within the Human Development Index framework – (see Figure 4), which takes into account reproductive health and empowerment measures as well as labour market measures, other aspects compensate for poor performance in the labour market and lead the improvement of the overall index.

Figure 4 Gender Inequality Index (GII)



Source: UNDP 2017

⁴ Own elaboration on Eurostat (2017) table “Unemployment by sex and age - annual average” (http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=une_rt_a&lang=en). Simple average among EEA countries is used for EEA

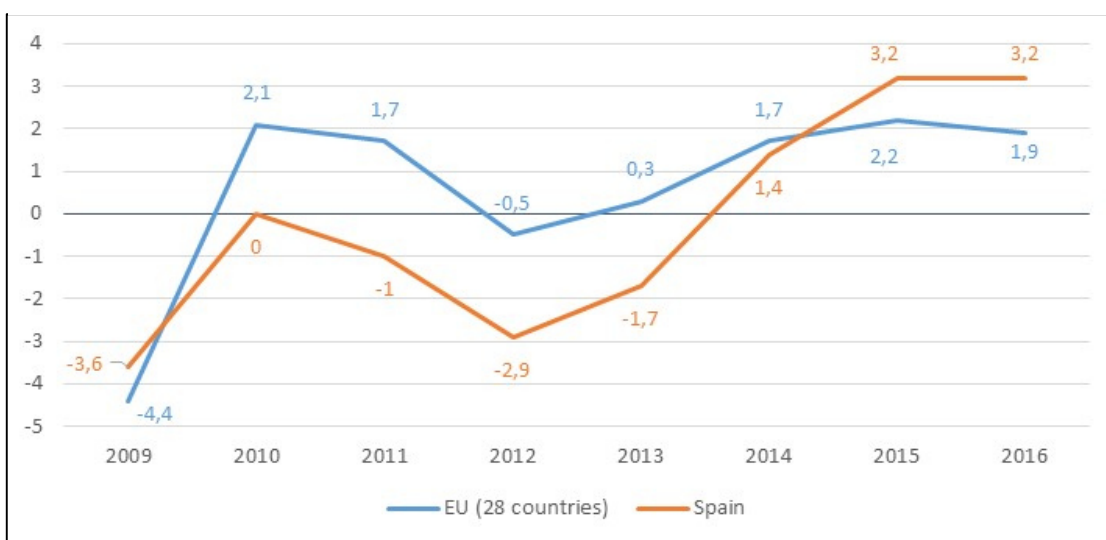
The figure, outperforming the EEA average both in absolute terms and in time evolution (-28% for Spain vs. -20% for the EEA average between 2010-2015)⁵, shows that initiatives for the empowerment of women, such as those promoted by the EEA Grants Programme ES04, have proven successful in Spain, even though there is still way to go in order to close the gap with European leaders such as Denmark and the Netherlands.

According to statistical figures, the difference in salary between men and women (unadjusted Gender Pay Gap) has also improved, from 16.7% in 2009 to 14.9% in 2015, while the EEA average has remained roughly constant.⁶

In assessing the reduction of disparities with other EEA countries, it is useful to consider other macroeconomic fundamentals, which are also directly targeted by EEA Grants investments. These include investment in R&D, share of energy from renewable sources, and overall greenhouse gas emissions.

By looking at year-on-year **GDP growth trend**, the main takeaway is that Spain had a later recovery from the 2008 financial crisis when compared to the rest of the EU28 countries, but, since 2015, the recovery has grown at a faster pace, and the latest figure from 2016 confirm this trend (see Figure 5)⁷.

Figure 5 Real GDP growth rate - volume (% on previous year)



Source: Eurostat 2017

⁵ Own elaboration on UNDP (2017) data for the Gender Inequality Index.

(<http://hdr.undp.org/en/indicators/68606>). Simple average among EEA countries is used for EEA

⁶ Own elaboration on Eurostat (2017) table “Gender pay gap in unadjusted form”

(<http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=tsdsc340>)

⁷ Eurostat 2017 “Real GDP growth rate – volume”

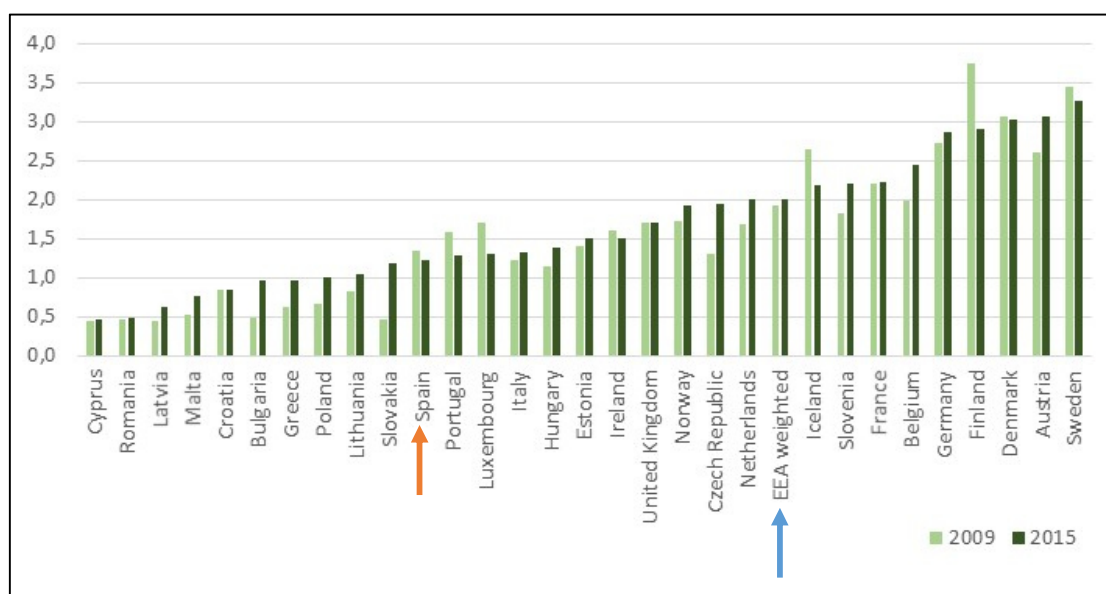
(<http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=tec00115>)

Forecasts from the OECD⁸ predict sustained growth in 2017 and 2018, albeit at a more moderate pace, together with a continued reduction in the rate of unemployment, and a moderate growth of wages and real private consumption.

The focus remains on measures for employment – notably re-skilling of workforce – and on greater efforts in continuing to profit from globalisation and European integration by encouraging higher investment in R&D and innovation. This latter priority has been among the focuses of EEA grants Programme ES02, and, although training and employability has not been specifically targeted by Programmes, ES04 (Gender equality and work-life balance) has included projects on labour inclusion.

When considering **domestic R&D expenditure**⁹ (Figure 6), Spain remains in the lower half of the EEA country population, and it does not seem bound for improvement given that share has decreased compared to 2009, while in the EEA the figure has been increasing.

Figure 6 Gross domestic expenditure on R&D (GERD) (% of GDP)



Source: Eurostat 2017

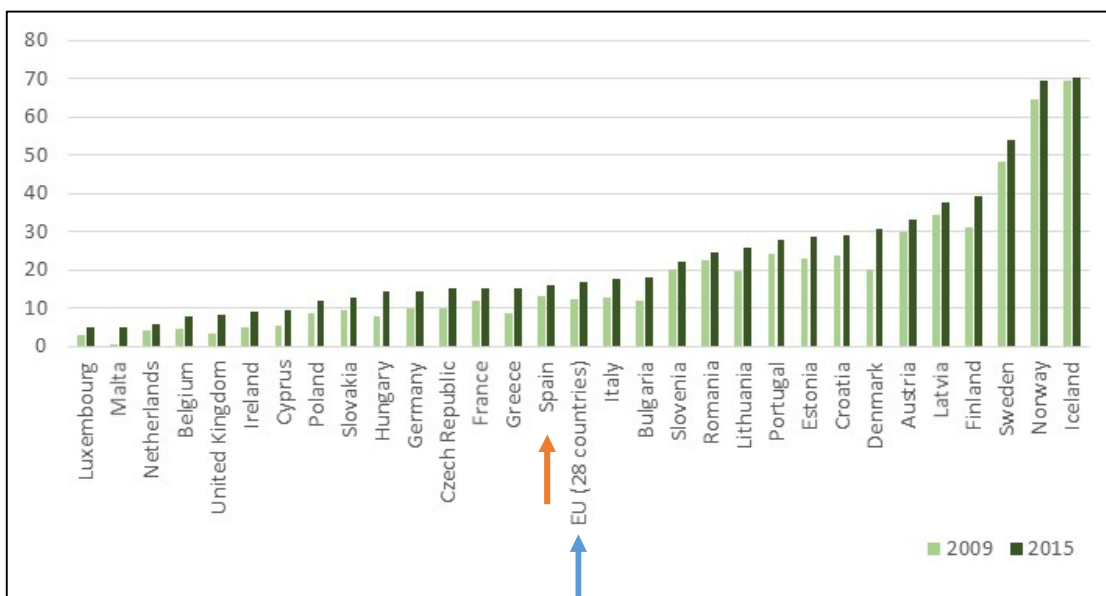
More effort will be needed in order to invert this trend and start closing the gap with EEA countries.

⁸ OECD 2017, “Spain – Economic forecast (June 2017)” (<http://www.oecd.org/eco/outlook/spain-economic-forecast-summary.htm>)

⁹ Eurostat 2017 “Gross domestic expenditure on R&D (GERD)” (http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=t2020_20)

Looking at **environmental performance**, Spain has improved the share of renewables in its energy mix, as have all countries in the EEA (see Figure 7).¹⁰

Figure 7 Share of renewable energy in gross final energy consumption (%)



Source: Eurostat 2017

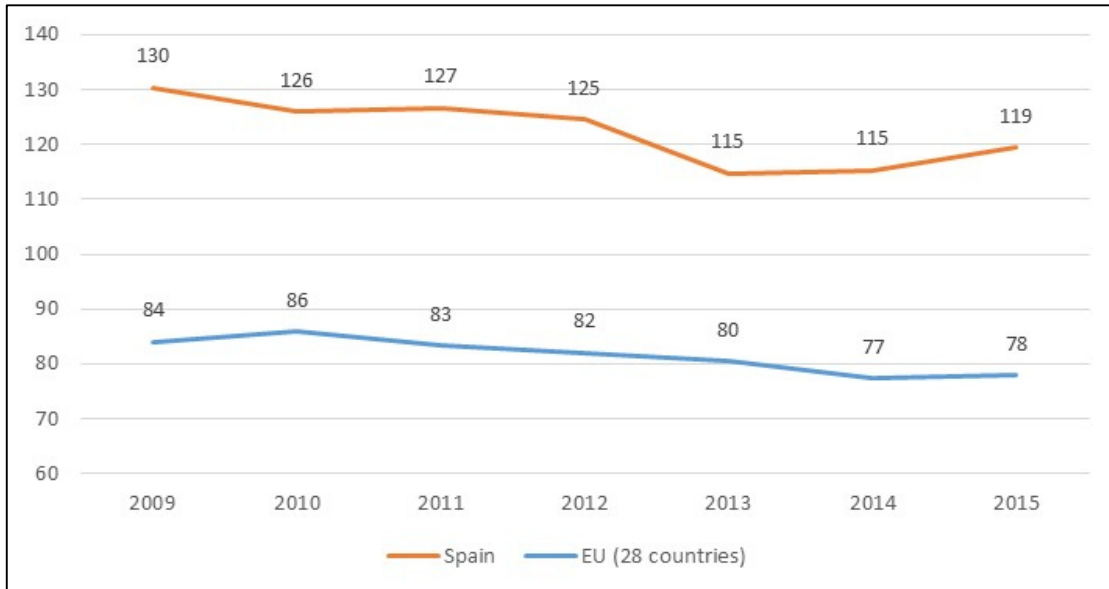
With regard to the **share of renewable energies in gross final energy consumption**, Spain maintains a good performance close to the EU28 average (16.2% for Spain and 16.7% in the EU28 in 2015) and in line with the other larger economies in the region.

When looking at **greenhouse gas emissions trends**, capturing environmental performance in a broader sense, it is possible to spot a similar pattern to that of the overall economic performance of the country, bouncing back starting from 2014 (see Figure 8).¹¹

¹⁰ Eurostat 2017 “Share of renewable energy in gross final energy consumption” (http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=t2020_31)

¹¹ Eurostat 2017 “Greenhouse gas emissions (in CO2 equivalent), base year 1990” (http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&language=en&pcode=t2020_30&plugin=1)

Figure 8 Greenhouse gas emissions (in CO2 equivalent), base year 1990



Source: Eurostat 2017

It is possible to assume that economic growth is still among the leading drivers of greenhouse gas emissions in Spain, meaning that efforts for decoupling economic growth and greenhouse gas emissions have not yet reached their goal. Trends for energy intensity of the economy¹² confirm the lower performance in improving energy efficiency when compared to the country's European peers: in Spain, the figure has decreased by 6% between 2009 and 2015, while in the EEA the reduction was -11%.

Overall, the analysis of the economic and social disparities shows an important improvement in recent years compared to the situation before 2009, even if the financial and economic crisis had an important negative impact on almost all relevant indicators in the years between 2009 and 2015. Thus, the crisis has been a major drawback in the convergence with other EEA countries. However, recent data from 2015 and 2016 indicates a recovery and a return to positive trends towards convergence and overall reduction of disparities.

¹² Eurostat 2017 "Gross inland consumption of energy divided by GDP"
(<http://ec.europa.eu/eurostat/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=tsdec360>)

2.2 Bilateral relations

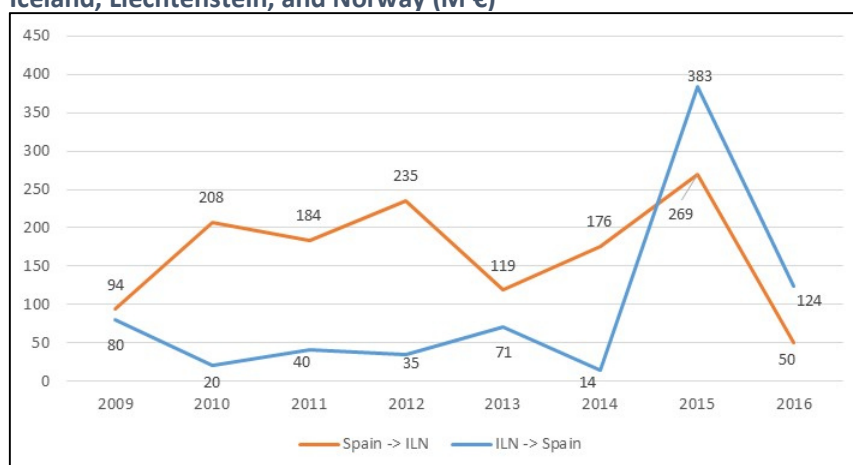
The second objective of the EEA Grants Spain 2009-2014 was the development of further bilateral relations between the donor States and Spain. This section presents, therefore, the evolution of bilateral relations over the programme period 2009-2014 and over the last years.

Relations between the three donor countries (Norway, Iceland and Liechtenstein) and Spain are channelled through diplomatic representative offices. In addition to Norway's embassy in Madrid, Norway has 13 other representations in Spain: honorary consulates are present in Algeciras, Barcelona, Benidorm, Bilbao, Gerona, La Coruña, Las Palmas de Gran Canaria, Málaga, Palma de Mallorca, Sevilla, Sta. Cruz de Tenerife, Torreveja, and Valencia. Spain has 9 representations in Norway. In addition to the embassy in Oslo, there are honorary consulates in Ålesund, Bergen, Hammerfest, Kristiansand, Stavanger, Tønsberg, Tromsø, and Trondheim. Iceland has honorary consulates in Barcelona, Benidorm, Bilbao, Las Palmas, Madrid, Málaga, Palma de Mallorca, Sevilla, Valencia, and Vigo, while Spain has an honorary consulate in Reykjavík. Spain has an honorary vice-consulate in Triesen, Liechtenstein, while Liechtenstein is represented in Spain via Swiss offices.

A picture of bilateral relations between Spain and the EEA grants donor countries can be drawn from the analysis of several different figures and indicators, notably social indicators such as migration and study exchange patterns, logistics measures (the number of flight connections between the countries), and indicators of economic integration measuring trade and direct investment between the countries.

Foreign direct investment in the 2009-2016 period does not present a clear trend (Figure 9), and seems to be quite volatile.¹³

Figure 9 Gross Foreign Direct Investment (FDI) between Spain and Iceland, Liechtenstein, and Norway (M €)



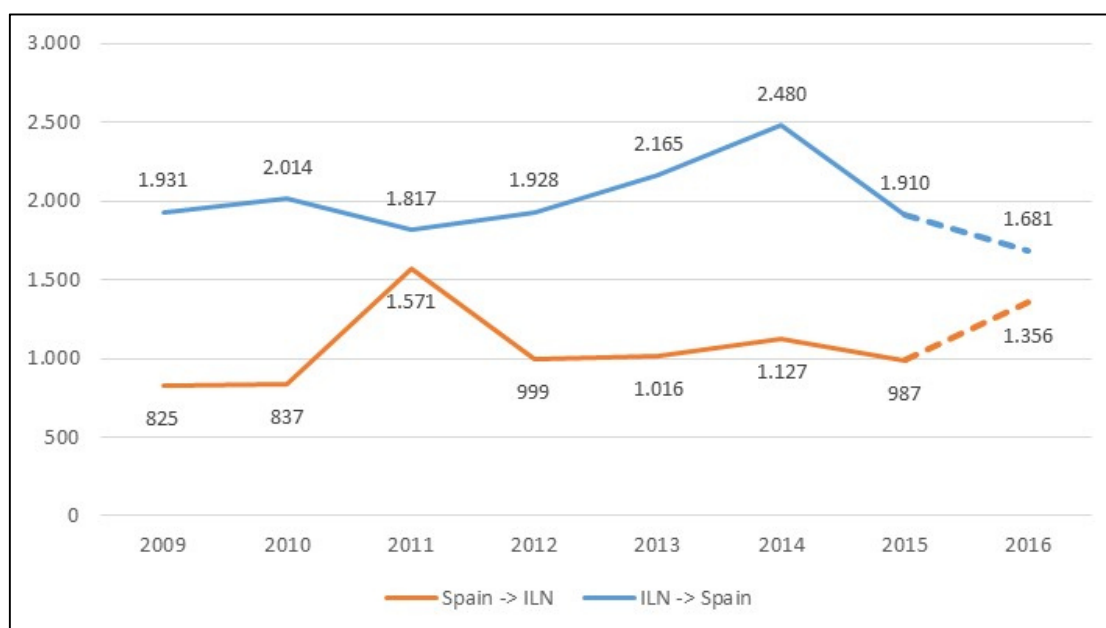
Source: DataInVex (2017)

¹³ 2017 Spanish Ministry of Economy, Industry, and Competitiveness – DataInVex (<http://datainvex.comercio.es>)

Investment from Iceland, Liechtenstein and Norway to Spain remains on relatively low levels, except for a peak in 2015 due to an extraordinary flux of investment from Liechtenstein. Spain's investment in the three countries is more constant, however it is important to note that, apart from an investment of 185 M€ in Iceland in 2011-2012, all of the Spanish FDI is directed to Norway. As in the case of trade in goods, there does not seem to be a significant increase in FDI in the period, and imbalances remain relevant.

As shown in Figure 10, **trade in goods** follows no obvious trend, as the value of exchanged goods has remained roughly constant between 2009 and 2016.

Figure 10 Trade in goods between Spain and Iceland, Liechtenstein, and Norway (M €)



Source: DataComex (2017). Data for 2016 provisional.

It is important to note that more than 42% of the total imports displayed across the 7 years was made up of crude oil, natural gas and condensates from Norway. When cleared of this figure, Spanish net exports are closer to zero, however they are still negative considering the whole period 2009-2016 (-580 M€ with Iceland, -134 M€ with Liechtenstein, and -271 M€ with Norway excluding crude oil, natural gas and condensates).^{14,15}

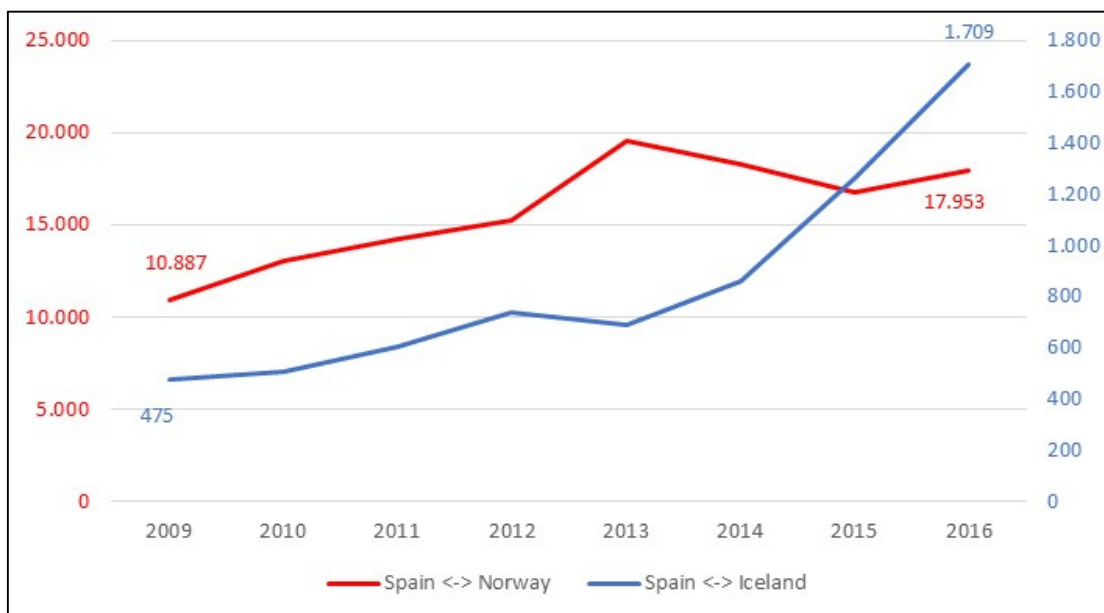
The ease of movement between countries is well represented by the **number of direct flights** connecting them (see Figure 11). This can also be considered a proxy of economic integration, as it is linked to the intensity of trade and tourism patterns. The number of direct links of Spain with

¹⁴ Own elaboration on data from DataInvex (12) and the Norwegian Statistics Office, Table: 08803 “External trade in goods, main figures, by country/trade region/continent” (<https://www.ssb.no/en/statistikbanken>)

¹⁵ 2017 Spanish Ministry of Economy, Industry and Competitiveness – DataComex (http://datacomex.comercio.es/principal_comex_es.aspx)

Norway shows a remarkable +65% between 2009 and 2016, while connections with Iceland were up by 260%.¹⁶

Figure 11 Air passenger transport between Spain and Norway/Iceland (No. of flights, both directions)



Source: Eurostat 2017

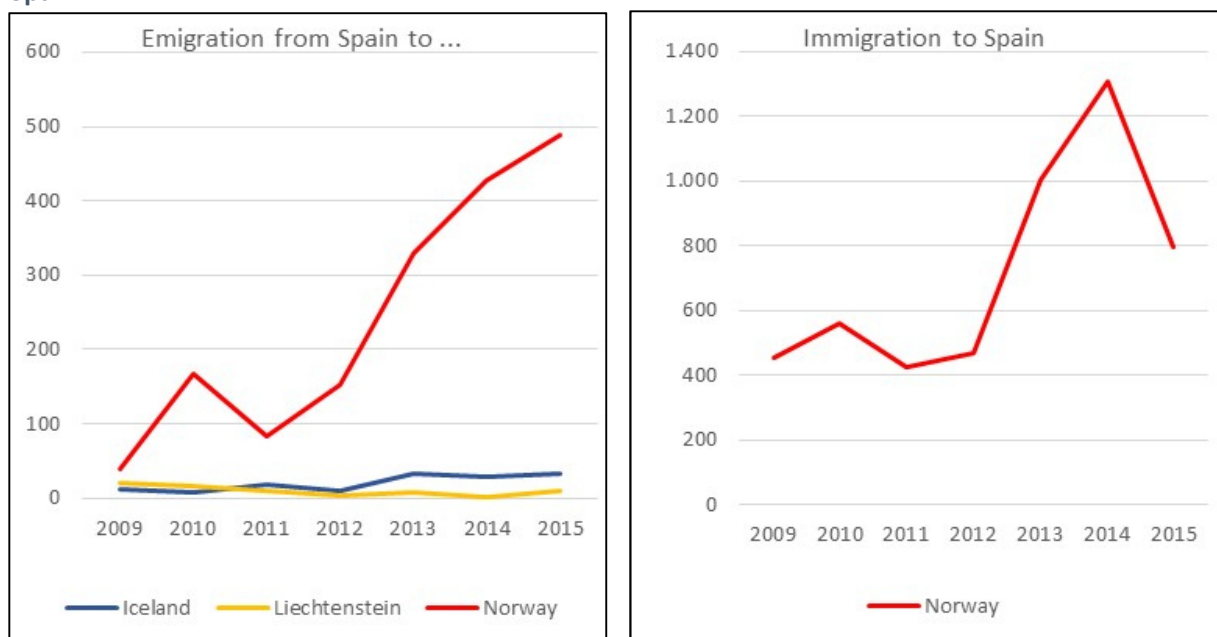
Figure 12 shows **migration trends between Spain and the donor countries** in the period 2009-2015¹⁷. While the migration of Spanish citizens to Iceland and Liechtenstein remained at very low levels across the period, a steady and relevant growth occurred towards Norway. This fact may be linked to the growing phenomenon of Spanish jobseekers searching for opportunities in Norway, particularly for high-skilled employment.

Incoming migrants from Norway to Spain were already in larger numbers in 2009, and they grew additionally in the years after 2012. This trend is most likely to be referred to the growing number of pensioners migrating from northern European countries, including Norway, to Spain. Data for migration from Iceland and Liechtenstein is not available for most years, however in previous periods it was below 20 persons per year.

¹⁶ Eurostat (2017) table “Air passenger transport between reporting countries” (http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=avia_paocc&lang=en)

¹⁷ Eurostat (2017) table “Emigration by age group, sex and citizenship” (http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=migr_emi_lctz&lang=en)

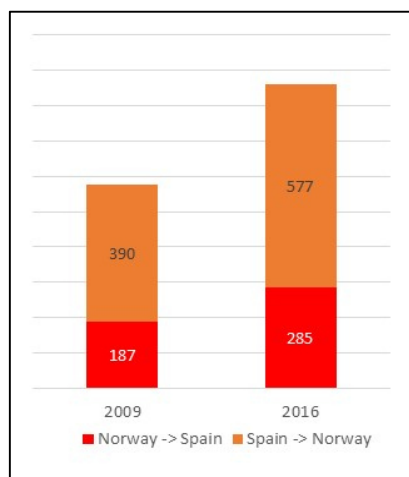
Figure 12 Emigration from Spain to Iceland, Liechtenstein, and Norway – Immigration from Norway to Spain



Source: Eurostat 2017

A fundamental indicator for integration between EEA economies is **student mobility**. Cultural diversity and exchange has been the focus of Programme ES06. Student exchanges have increased in both directions between Spain and Norway, as shown in Figure 13.¹⁸

Figure 13 Exchange students between Norway and Spain



Source: DBH 2017

¹⁸ Database for Statistikk om Høgre Utdanning (DBH 2017) (http://dbh.nsd.uib.no/dbhvev/student/utveksling_rapport.cfm)

Activities at NFP level and Programmes with regard to bilateral relations

The bilateral cooperation in projects and programmes in the EEA grants Spain 2009-2014 has represented an important contribution to solving particular issues through sharing experience, knowledge, know-how and technology and working together for joint results such as the development of policies, laws, strategies or new knowledge or practice.

Joint initiatives brought people and institutions together and created new spaces for improved knowledge and mutual understanding between individuals, institutions, states and the wider public. Such an outcome is an important characteristic of strengthened bilateral relations.

In this context, all programmes of the EEA grants Spain presented this dimensions of sharing results and fostering partnerships between Spanish and donor country institutions as well as between Spanish project promoters and donor project partners. Overall, ES06 and ES07 have been the programmes with the highest bilateral approach, since almost all projects had a donor partner. Also Programme ES02 has had an intensive element of cooperation, both at project and programme level. The approach of bilateral cooperation has been present in programme ES03 mostly at programme level and in ES04 mostly at project level.

Table B. in the attachments to this report shows the bilateral activities of all Spanish programmes in the funding period.

The information displays the significant level of bilateral activity in all programmes and the variety of activities, including not only events and presentations but also study visits and field trips, joint research projects, joint publications, joint production of audio-visual products, organisation of international conferences etc. It has to be kept in mind that all this was organised in addition to the specific bilateral project activities within each Programme.

According to programme reports and interviews to programme managers, **wider secondary effects** can be observed as a result of institutions working together and finding common ground for extending their cooperation beyond the projects and programmes. These wider and secondary effects have usually taken place as unexpected outcomes from other bilateral activities of the different Programmes.

As examples of wider secondary effects on bilateral cooperation, the following cases can be highlighted:

- Common sector-wide initiatives as the meeting celebrated under the umbrella of ES02 Programme between the State Secretary of Science, Technology and Innovation, Mrs Maria Luisa Poncela, the Ministry of Foreign Affairs of Norway Mrs Ingvild Næss Stub and the General Director of CDTI, Mrs Elisa Robles-Fraga on 14th May 2014. Main issues dealt during the meeting were among others the effects of the Programme in the areas of renewable energy and environmental technology in Spain, as well as the bilateral cooperation program derived and future opportunities of collaboration between Spain and Norway in the field of research, development and innovation.
- Work to address common European challenges, has its expression in a large pre-defined project under ES04 Programme “Exchange of Best practices GBV” promoted by the Spanish Government delegation on Gender Based Violence. It consist on the exchange of

best practices and existing legal instruments between Norway, Iceland and Spain to fight against gender based violence regarding the area of Justice in the framework of a comparative analysis on the law of ten countries of the European Union in this issue. A public presentation is foreseen in 2015. The Project will finish in June 2015.

- Joint initiatives in inter-governmental organisations, as for example the bilateral project from the Open Call under the programme ES03 DP-162 whose promoter is the FELGTB (State Federation of Lesbians, Gays, Transsexual and Bisexuals). The aim is the creation of a No Hate Network and is formed by prosecutors, security forces of the state, media, enterprises, administration and ONG, where two organizations involved come from donor countries: SAMTOKIN'78 (the National Queer Organization) from Iceland and LLH (Landsforenigen for lesbisk og homofil frijoring), from Norway. The participation of NGOs in Norway and Iceland has enabled sharing experiences on hate crimes between countries and promote the exchange of tools. In March-April 2015 the technical team of the project is going to visit Norway and Iceland.

3 REPORTING ON PROGRAMMES

This section presents the final results of the EEA Grants 2009-2014 Spain in form of outputs and outcomes of the different programmes. Later, the effectiveness of the programmes is analysed as the relationship between the expected and the actual outputs. After that, the efficiency of the different programmes is analysed. Last but not least, the impacts of the different Spanish EEA programmes are presented.

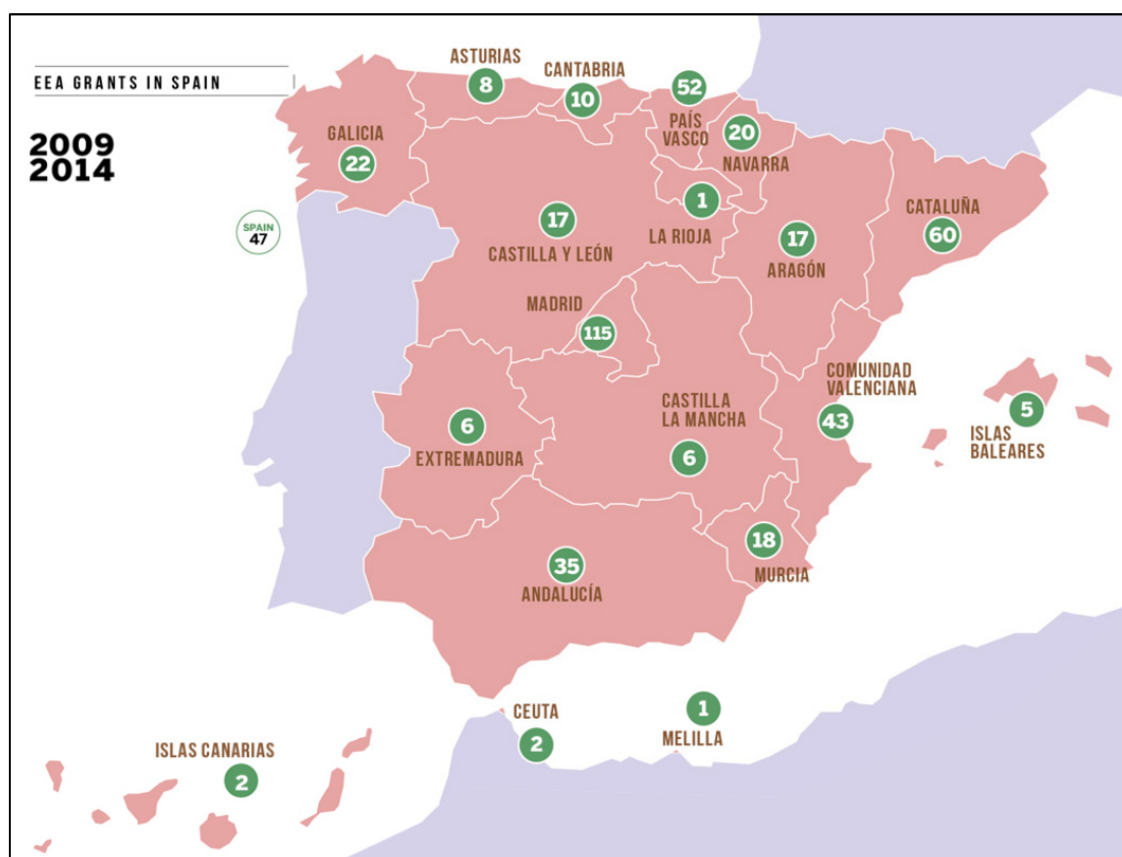
3.1 Overview of Programme Achievements

Overall, 415 projects have been supported by the EEA Grants 2009-2014 in Spain. As can be observed in Figure 14, the regional distribution is quite equal across Spain, according to the number of projects funded in each territory. The capital region of Madrid hosts most projects (115), followed by the regions of Catalonia (60), the Basque Country (52) and Valencia (43).

With regard to population size of the regions, the high number of projects in Cantabria, Navarra and Murcia can be considered as a positive surprise.

47 projects, in particular to support NGOs and gender equality, had a multi-regional or national approach from the start.

Figure 14 Regional distribution of EEA grants' funded projects in Spain 2009-2014



Source: Document: “20 years of cooperation and solidarity. Spain 1994-2014”

Table D. in the attachments sums up the number of projects per Programme. As mentioned before, the EEA Grants 2009-2014 in Spain were structured according to seven programmes each with a more or less strict thematic focus.

183 projects out of 443, that means 31.8% of all projects within all Programmes, have been developed in collaboration with entities from donor countries (43 from Norway and 4 from Iceland). The collaboration with donor countries has been appreciated by most project promoters, according to project monitoring, and as well by all programme operators.

As positive effects of the collaboration can be considered:

- transfer of knowledge and technology in both directions, which result in technological improvements, scientific and academic publications, new artistic works etc.
- an exchange of experiences and learning based on good practices, both with regard to the management of support schemes and to the work with specific topics (e.g. female entrepreneurship, NGO capacity) and target groups (e.g. Roma, victims of gender-based violence).
- new and/or strengthened relationships between people, organisations, firms and institutions facilitating cooperation and networking in the short term but also in the future.

- better access to new markets, clients, customers, audiences etc.

The number of donor partnership projects per programme and the different rates of partnership projects as % of the total number of projects can be observed in the table E. in the attachments.

Effectiveness of the different programmes can be expressed as rate between the expected and the actual outputs.

As can be observed in table F. in the attachments, the overall rate of effectiveness of the Spanish EEA Grants is high. Overall, most expectations on achievements and outputs have been fulfilled, in many cases even exceeding the expectations. Altogether the effectiveness rate is almost 332%, i.e. the actual number of outputs more than triples the number of expected outputs.

Comparing the different programmes with regard to effectiveness is not an easy task, as the programmes have very different characters. The same is true for the diverse number and character of the utilised output indicators. However, based on the analysed output rates, the general effectiveness can be established: The programme ES02 has been highly effective reaching an average effectiveness of 814%. Programmes ES06 and ES04 had a high level of effectiveness with 383% and 320.7% of output effectiveness on average. Programmes ES07 and ES03 are only slightly less effective with 288% and 155% of output effectiveness on average. Programme ES05 was moderately effective with only 30.55% of output effectiveness on average, i.e. not reaching the expected outputs. This low level is, of course, linked to the delays and difficulties in the implementation of the only project within programme ES05.

In general, the EEA Grants Spain 2009-2014 can be considered as highly effective in achieving the established goals.

3.2 Overview of Calls and Financial Figures

The programmes have been implemented through different Calls.

The figures for total commitment and disbursement per Programme and for the Spanish EEA Grants in total can be observed in the table below.

Table 1 Overview of Calls and Financial Figures Programme

Programme	Calls	Total Commitment in EUR	Total Disbursement in EUR
ES 02 Environmental and Climate Change-related Research and Technology	2 calls within the Programme. 1. Call: number of proposals submitted was 185, with 206 Spanish companies participating, as some projects are	18,472,132	15,577,699

Programme	Calls	Total Commitment in EUR	Total Disbursement in EUR
	developed in cooperation. 2. Call: number of proposals submitted was 154, with 171 Spanish companies participating.		
ES 03 NGO Fund "Active Citizenship Programme"	1 Call for proposals in four action lines, 1 pre-defined project	4,666,322	4,475,687
ES 04 Gender equality and work-life balance	1 Open Call, 1 Call for Regional Authorities in Spain, 5 pre-defined projects	11,989,706	11,088,464
ES 05 Conservation and Revitalisation of Cultural and Natural Heritage	1 pre-defined project	4,805,882	2,676,250
ES 06 Cultural diversity and Cultural exchange	1 Call	500,000	499,790
ES 07 EEA Scholarship Programme	1 Call for Outcome 1 (Student mobility). Outcome 2 – researcher mobility: 3 Calls for individual mobility; 2 Calls for coordinated mobility	3,918,000	3,260,996
TOTAL Spain 2009-2014		44,352,042	37,578,886

Source: Final Programme Reports and DORIS database

3.3 Individual Programme Summaries

ES 02: Environmental and Climate change-related Research and Technology

Two Calls for proposals were issued by the Programme Operator CDTI in 2013 and 2014. 339 project proposals, involving 377 Spanish companies, were submitted. All projects were conceived as projects of applied or experimental development. This led to 189 project contracts, for the development of 174 different projects (some projects are developed in collaboration between several companies and each one signs a contract with CDTI) were signed.

Many projects covered partnership contracts with universities and research and technology centres (145). Therefore, these projects contributed to produce a transfer of knowledge from universities and research institutions to companies. This transfer fostered the development of new inventions and innovations.

The programme objective of obtaining an increased development and application of technology that benefits the environment was achieved, as there is a high number of companies (176) which

have developed an innovation and development project in the areas of environment, climate change, renewable energies and energy efficiency.

Overall, the project outputs have been as follows:

- R&D Projects submitted (total) 339 compared to 100 expected
- Share of Donor Partnership Projects submitted 23.6% compared to 10% expected
- Eligible total budget in approved R&D Projects: 108,374,759 EUR compared to 80,000,000
- Eligible total budget in Donor Partnership Projects: 34,815,004 compared to 8,000,000 EUR
- Percentage of women in funded projects: 24.8% compared to 30% expected

The number of proposals submitted in the two calls with collaboration with donor countries entities was 80, which represents a high proportion of the total proposals submitted (23.6%) and highlights the success of the promotion of the bilateral relations carried out. At the end of the programme life, 43 projects have been implemented with collaboration with an entity from a donor country (40 from Norway and 3 from Iceland).

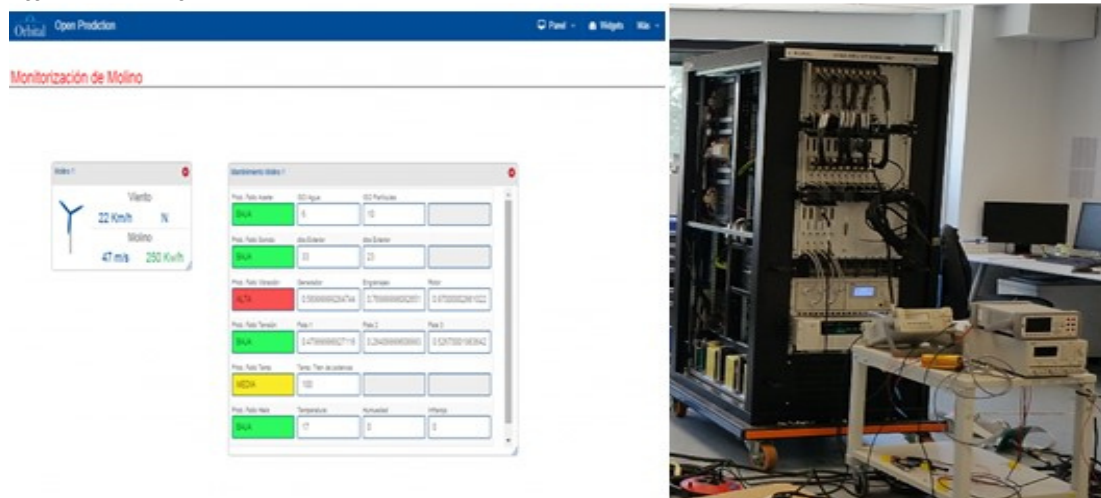
Project examples:

ES 02 Project: Development of a Braced Precast Concrete Foundation for Wind Turbines



This project developed a design which reduces the costs of foundations for wind turbine generators by increasing the industrializing capacity and optimizing the construction periods, leading into a conceptual patented typology of precast foundation, thanks to the wide and singular experience ESTEYCO holds with the precast concrete towers and their extensive experience in foundation design and knowledge in geotechnical engineering. The project was focused on aspects like the patent procedures, a complete technical development of the solution which is completed with the certification of the solution by an international recognized certification body, its experimental analysis and final implementation in the wind energy market and real installation.

ES 02 Project: Remote, Open, Predictive Maintenance Based on Real-Time Critical Software for Offshore Windfarms



The project can be considered a success, as it allowed developing a new software system and new solutions to treat and visualise real-time data coming in from multiple autonomous sensors. This new solution is called MIMETS and is now used in the company as critical systems test bench for applications in the transportation, aeronautics and aerospace sector. It converts the test infrastructure to a modular one, allowing different configurations and saving significant material costs.

ES 02 Project: Remediation of Soils with Radiological Isotopes and Decommissioning Materials from Radiological Facilities



The project has been a success, as it allowed developing a new solution and new tools to classify and wash soils with radioactive contamination. The new solution was already put in practice and helped to classify, wash and treat 18,000 tons of contaminated land near the closed José Cabrera nuclear power plant in Almonacid de Zorita (Guadalajara, Spain). The new solution has helped to increase the effectiveness of previous cleaning methods and helped to reduce costs to a 10% of the original cost to treat contaminated land.

Impacts:

The general conclusion¹⁹ is that the Programme, despite its limited dimension within the overall R&D funding in Spain, can be seen as a success and an important tool for enabling the development of environmental technologies in Spain and the transfer of knowledge.

Overall, 97% of respondents declared that they were satisfied with the Programme and that they would apply again for a similar initiative. Most cited positive aspects include the strong help to enable the development of advanced new technologies, which would have been difficult to finance otherwise. These technologies constitute a solid basis for the future competitiveness of beneficiary companies, as well as representing substantial contributions to increased environmental performance.

Specific findings of the impact analysis are hereby briefly summarised:

- As a result of the projects, 42 patent applications were filed, and 18 other types of intellectual property rights protection measures were adopted (i.e. an average impact of 0.35 protected new product/service of the programme);
- 94% of respondents indicated a positive impact on increased capacity for innovation within their company which is a very positive result;
- 71% reported the establishment of new research lines, while 66% were able to access knowledge that was previously unavailable to the company. Of the projects with new research lines, 93% maintained or increased the number of research lines 2 years after project closure;
- 46% of respondents reported a newly established technological cooperation with universities or other public research centres, and the majority of them indicated that the number of agreements of this kind has remained unchanged two years after project completion. Knowledge transfer initiatives were mainly maintained with Spanish institutions, whereas only few of the collaborations established with donor countries continued after project completion;
- A similar share of respondents (47%) established cooperation agreements with business partners, and 67% maintained or increased their number after project completion;
- 68% of respondents indicated the project results as being economically sustainable. Two thirds of them (44% of the total) reported that the beneficiary supported the sustainability of the project with additional investment;
- 65% of respondents reported an increase in turnover due to the project two years after project completion, and 49% reported an impact on exports;
- Impact on employment in research and development was positive. On average, 1.3 new established jobs (full-time equivalent) per project have been reported 2 years after project completion;
- Regarding the effects of the innovation following the project, 41% of respondents reported technological improvements due to their research on energy efficiency, 33% on climate change adaptation, and 19% on the increased use of renewable energy.

¹⁹ Please see the annexed Document “ES 02 Impact Evaluation Report” for a full review on the impacts of programme ES 02 and for examples of projects and their concrete results and impacts.

Sustainability:

The characteristics of this programme make that the positive effects of the projects will continue after the funding period and further produce positive effects. The companies usually develop their R&D project only if this brings profitable results in one way or the other. Therefore, the project promoters which have obtained positive results with the R&D projects are probably going to continue working in that line after the EEA Grants funding period.

Most of the projects have resulted in near-market introduction. CDTI funds R&D projects oriented to the market. One of the evaluation criteria is the market orientation. In this way, saying that the positive results of the effects of the projects will continue beyond the funding period means that many of the projects have already new or improved products and services for the market.

In addition, to promote this type of projects (R&D projects related with environment) and the collaboration between entities from Spain and from Donor Countries continue in the future, CDTI, together with IN, has organized, in the framework of bilateral relations activities, several events to foster collaboration under other European calls, most of them funded with Horizon 2020.

ES 03: NGO Fund “Active Citizenship Programme”

This Programme to support civil society and organisations of the so-called third sector (NGOs, foundations etc.) aimed at strengthening the NGO sector in Spain. The projects of the Programme focused their activity on the promotion of human rights including minority rights (ethnic, religion, linguistic and sexual orientation) and on supporting vulnerable groups such as children/ youth and excluded and poor people. They also strengthened practices of participatory democracy, the fight against discrimination, racism and xenophobia, and gender equality, for instance in rural areas.

The main objective of the programme was to increase the capacities of the NGOs, through networks, cross sectorial partners, raising awareness or increased involvement in policy making. As stated in the Programme proposal, the Programme has had one call for proposals launched in 2013. The projects were grouped in four lines of action that coincide with the four expected programme outcomes:

- Outcome 1: Active Citizenship fostered: 13 projects with 10 awareness-raising campaigns on participation of civil society and 11 projects working in partnership/network with NGOs and public/private partners at the local level. 42.544 people directly targeted.
- Outcome 2: Increased involvement on NGOs in policy and decision making processes with local, regional and national governments: 9 projects were funded with a total of 47 organisations directly involved that supported 3 existing cross-cutting networks and led to the creation of 4 new cross-cutting coalitions.
- Outcome 3. Partnerships developed, in particular with government and/or research organisations: 5 projects leading to 5 new initiatives emerge of cooperation between NGOs public bodies and other actors, as well as 3 new cross-sectorial consultative bodies created and 16 cooperation agreements.
- Outcome 4: Developed networks and coalitions of NGOS: 11 projects and more than 40 organisations have been working together, leading to 5 coalition mechanisms created and to 4 mergers between organisations working in the same field to avoid duplication and strengthen critical mass.

Overall, 38 projects were selected from a total of 236 applications. More than 75% of projects have been implemented in partnership, which means that the Fund has directly reached almost 160 organisations, including public administrations, companies, cooperatives and universities. Furthermore, the development of these projects during 2014 and 2015 employed more than 380 persons: 211 part time, 58 full time and 119 volunteers. The intention was that most projects will create enduring and stable networks for the future.

Most of the partners are NGOs but also there are from other sectors public and private: city halls, cooperative society, enterprises and universities.

In addition, a pre-defined project was implemented within the programme: the elaboration of a Study of the Third Sector of Social Action in Spain. Thanks to the contribution of the EEA Grants, the Study could be much more specific and with a wider coverage than it would have been possible without EEA Grants. The Study managed to:

- Explain opportunities and potentialities for action of the Third Social Sector and its new positioning after the crisis.
- Analyse strategic options for the future of the NGOs involved in the social sector.
- Analyse how improvements to the regulatory framework for independent civil society can be made.
- Consider recommendations for changes in the current policies.

This Study on the Third Sector was a key reference for the III. Strategic Plan for the NGO Sector in Spain which has been presented in 2016 and is currently the basis for defining public policies to support voluntary and NGO work in Spain.

Project example

ES 03 Project “Hatento. Observatory of Crimes Against the Homeless”



PROJECT: Hatento. Observatory of Crimes against the Homeless. PROMOTER: Fundación Red de Apoyo a la Integración Sociolaboral (RAIS). DONOR PARTNERS: Asociación Zubietxe, Asociación Bokatas, Asociación RAIS Euskadi, UNIJEPOL and Centro de Acogida ASSIS. EEA GRANTS: 132,159 EUR. → Hatento, the Observatory of Crimes against the Homeless, is a project in order to raise visibility and awareness. The objective was to bring together the strengths, the knowledge and the resources of various homelessness and human rights organisations in order to build a sound knowledge of this issue and to be able to act against hate crimes. These goals have been achieved through situation reports, the design of detection and intervention tools and awareness campaigns.

The most important effects of the Programme, continuing after the funds, are the knowledge acquired by the organisations to improve their mechanisms and strategies and their participation in social and political life. These experiences and knowledge are expected to be, for many organisations, a starting point for future work. Thus, the Programme has contributed that NGOs beneficiaries become a real actor of social change and citizens are empowered to participate in the decision-making process regarding social inclusion and prevention of discrimination.

Communication has been crucial for the success of the programme. The official website of the Programme <http://www.plataformaong.org/ciudadaniaactiva> had a total of 10,615 visits during 2015. Regarding the Social Media: Facebook has a total of 254 followers and Twitter, 683. Furthermore, 16 newsletters were sent to 4,321 subscribers with all the information related to the development of the programme.

In 2016, the Programme Operator drafted and printed the report²⁰ "[Sharing Lessons Learned from Active Citizenship](#)" including the main results achieved and the lessons learned in order to disseminate the experience and with the aim of being a good example for others in the future.

In addition to this, the project promoters have developed specific websites of the projects: <http://www.plataformaong.org/ciudadaniaactiva/en/proyectos-aprobados.php>. Some of the projects have acquired high visibility, such as Network against Hate (promoted by the Spanish Federation of Gays, Lesbian, Bisexual and Transgender devoted to fight against Hate Speech and Crime) whose video "Con la voz bien alta" had more than 900,000 views on YouTube and received wide media coverage.

Project examples:

Two relevant projects in partnership with Donor Countries:

- Through the No Hate Speech Network, led by the FELGTB and formed by representatives of prosecutors, security forces of the state, media, companies, administration and NGOs, (including two organisations from Donor Countries: SAMTOKIN'78 from Iceland and LLH (Landsforenigen for lesbisk og homofil frijoring), from Norway) a No Hate Observatory has been created: <http://www.felgtb.com/redescontraodio/docs/?lang=en> with information and data regarding Hate Crimes.
- The project eCitizen promoted by Siderurgia Integral Workers Foundation with Ideebanken from Norway as one of the partners, has produced a Methodological Guide aiming at diagnosing and generating tools to empower the local population through volunteering: <http://www.ecitizenbarakaldo.com/en/contents/products>

Impacts:

According to project promoters and the programme operator, most of the projects have helped to reduce economic and social disparities in their respective areas of focus, following the main objectives of the EEA Mechanism. The Programme has contributed to allow the projects of the NGOs beneficiaries to be a real actor of social change and empowering users to participate in the decision-making process regarding social inclusion and prevention of discrimination.

²⁰ <http://www.plataformaong.org/fichaBiblioteca.php?id=179&p=5&tb=&cb=0>

The quantitative impact and coverage of the programme has been considerable. According to the data offered by the promoters of the supported projects, the Programme reached approximately 115,000 people all over Spain.

In this regard, a better communication and articulation of NGOs with policy makers and public authorities will have an impact in the social model, allowing local, regional and national authorities to better tackle the situations of poverty, with a better strategy coordinated with NGOs, avoiding duplication of resources and services, and setting up a more useful system of services for beneficiaries. The Programme has contributed to this, such as some of the projects reflect, for example: Salvador Soler Mundo Justo Foundation “Innovating in the fight against poverty: advocacy, transparency and research”; Mugarik Gabe “NGO Network to defend women rights and denounce about violence against women”; Federation for Children and Youth Promotion (INJUCAM) “Creating opportunities for political involvement” or the Spanish Confederation of Organisations of persons with intellectual disability of Madrid (Feaps-Madrid) “Central Purchasing”, among others.

Since the beginning of the Programme this Fund adopted a strategic approach by helping several NGOs to overcome the current problems emerged with the crisis and face the new challenges for the future by increasing their involvement in policy and decision making processes, developing partnerships and networks, and strengthening their capacity. Most of the projects have helped to reduce economic and social disparities in their respective areas of focus, following the main objectives of the EEA Mechanism. These NGOs play a crucial role in promoting social inclusion of people at risk of social exclusion, although the latest available data show that the number of people at risk is increasing since 2012 (in 2014 more than 13 million). In particular, between 2013 and 2014, 13 of the 17 regions in Spain have more unemployment rate than when the Programme was launched. The distribution of the projects in the different regions of Spain has been strategic in order to achieve a higher impact implementing more than half the projects in 2 or more regions. Around 15% of the funding was invested in very vulnerable regions, i.e. with relatively high unemployment rates, such as Andalusia or Murcia.

Sustainability:

After the implementation of projects during almost one year and a half, although some of the projects promoters changed their opinion in regard with the level of development of some of these questions, it can be said that the targets have been completely achieved. Thereupon, the 38 project promoters at the end of the Programme think that they are able to evidence good governance and management procedures; three project promoters more at this stage demonstrate robust financial procedures in place and diversifying their funding sources with a total of 35 project promoters (overcoming this target), and finally 36 of 38 project promoters assured regularly consulting with users, beneficiaries and other stakeholder

Most of the promoters reported to be satisfied with the appropriateness of the Programme. This entails at the end of the Programme that 17 projects (44.7%) are continuing their activities. Almost half of the projects already have funding or devoted structures and objectives to keep on elaborating the ideas that started with this Programme. However, if we measure sustainability as de usage of the final products or for example that the networks created meet again the percentage of sustainable projects is close to 90%. Regarding the devoted websites 100% will remain active once the Programme has finished.

ES 04: Gender equality and work-life balance

Norway, Iceland and Liechtenstein assigned 10.2 million of donated funds to the “Programme on gender equality and work-life balance”. The operator and co-financer of the programme was the Secretary of State for Social Services and Equality through the Spanish Women’s Institute and for Equal Opportunities, who worked in close collaboration with the donor partner, the Office of the Norwegian Equality and Anti-Discrimination Ombud (LDO).

The Programme’s main objective was to promote effective mechanisms to promote gender equality and to fight Gender-Based Violence (GBV). The areas in which the attention has been focused are:

- Improving balance between work, private and family life and the share of household and care responsibilities between women and men.
- Improving gender balance in company boards.
- Mainstreaming gender issues into policies and practices.
- Promoting female entrepreneurship.
- Promoting the inclusion into the labour-market of women belonging to vulnerable groups and reducing gender pay gap.

In total, 70 projects have been supported by the programme.

The programme had three components:

a) First, a Call targeted Regional Authorities in Spanish Regions to support projects in order to improve the institutional coordination and implementation of plans to support victims of domestic violence. The expected outcome was to generate successful national policies and best practices on gender based violence exchanged. The six umbrella projects selected under this call started in 2014 and were finalized in August 2015.

- Plan for the safety and protection of victims of gender-based violence in Andalucía (PIASP/VG).
- Action for full recovery of victims of domestic violence and improving institutional coordination - ARIADNE. Balearic Islands
- New model of integrated network of resources for the assistance to women victims of gender-based violence in Castilla La Mancha
- PAWLA: Integral social care plan for victims of gender violence in Castilla y León
- ATCVIOGEN records integrated management of domestic violence – Extremadura
- CORE: coordinating an individualized response for victims of gender-based violence - Murcia

b) Moreover, the programme supported five predefined umbrella projects in cooperation with entities from donor countries and/or relevant national associations or authorities:

- EQUALITY PLANS IN SCHOOLS. Women’s Institute with Spanish Ministry of Education.
- EQUILIBRIO/BALANCE FOLLOW UP. Women's Institute with the Spanish Association of Municipalities and Cities FEMP. With the Norwegian Partner: KS

- WOMEN ENTREPRENEURSHIP IN EMERGING SECTORS AND NEW BUSINESS OPPORTUNITIES. Spanish Chamber of Commerce Institute/INCYDE.
- PROMOCIONA - PROMOTION OF WOMEN TO DECISION MAKING POSITIONS. The Spanish Federation of Business Organisations, CEOE.
- EXCHANGE OF BEST PRACTICES GBV. Spanish Government - Delegation on Gender Based Violence. With the Association ASPACIA (Foundation for Coexistence).

c) In addition, in an open call for a small grants scheme, 59 projects were selected and implemented during 2014 and 2015. Within the objective of promotion of equality between women and men in working life contemplated in the Programme, the realization of projects aimed at:

- Activities for promoting women's entrepreneurial attitude (25 projects),
- Reducing gender pay gap within companies (9 projects),
- Activities addressing women in vulnerable groups (25 projects)

In total, 17 of the projects have signed an agreement with Norwegian or Icelandic partners. According to the programme manager, there has been a good understanding between them, learning from each other and from the, sometimes challenging, cultural barriers, differences in procedures and legal requirements.

Project examples:

The Project ES04-0005, Plurales, that has allowed the implementation of gender equality plans in 9 schools of Spain, has also provided awareness of the need to introduce coeducation as a teaching model. Before the implementation of the project, most of the teachers did not understand the necessity of change the pedagogical model. After the execution of the project, this perception changed. For teachers, students and families who have been part of the project, gender-based education becomes a priority and a necessity. But the impact of the project exceeds people who participated in it. Because of the dissemination activities, other schools and institutions have shown interest in using this methodology to incorporate gender-based education to the educational system. It will continue disseminating the quality documentation generated in this pilot project and the results obtained.

The project ES04-0001, "PAWLA: Integrated Plan for Social Care to Victims of Gender Violence"²¹ has developed an information platform to articulate a complex institutional response, coordinating the information and professional assistance for women victims and their children in a centralized way. With a sustained training for the professionals involved, it is certain the results of this project are long term sustainable. Also, these projects are particularly interesting as they are easily exportable to other interested Autonomous communities. However, it is worth saying that those projects on GBV are of great interest for Norway and the relationship between those countries are still ongoing in 2017.

²¹ http://www.familia.jcyl.es/web/jcyl/Familia/es/Plantilla100/1284424591047/_/_/

ES 04: Integration of women victims of gender-based violence in the labour market



PROJECT: Integration of women victims of gender-based violence in the labour market. Best practice exchange Spain/Norway. PROMOTER: Secretary of State for Social Services and Equality. DONOR PARTNER: Sør-Odal municipality. EEA GRANTS: 120,000 EUR. → “For women who have been subjected to gender-based violence, a job can be a means of salvation. Economic independence gives them the chance to start a normal life and leave the abuse behind.” Presently, 45 companies in Spain have committed to incorporate victims of gender-based violence in their workforce. The Ministry of Health, Social Services and Equality has signed cooperative agreements with national companies from all sectors, which will allow for the geographical relocation of the victim if need be. The Red Cross and the Fundación Integra work as intermediaries between companies and the women themselves.

Another successful project from the Programme, is the ES04-0007, Promociona project that, apart from seeing its continuity co-financed by the Ministry of Health, Social Services and Equality, has been replicated in other countries, such as Chile, and some other have shown great interest (Austria and Morocco).

ES 04: Promotion of women to decision-making positions (Promociona)



PROJECT: Promotion of women to decision-making positions (Promociona). PROMOTER: Spanish Confederation of Employer’s Organizations (CEOE). EEA GRANTS: 800,000 EUR. → The Promociona project, with the support of the EEA Grants, aims to identify and develop the talent of women in business, to increase the number of women in senior management positions. Of the 186 participants that had participated in the program by December 2015, 25% have already been promoted.

Impacts:

The Programme has achieved important results through projects developed at national, regional and local level. The total number of women quantified as direct beneficiaries exceeds 15,000. However, since many of the projects seek impacts in the medium and long term and in a broader sense, such as reducing gender based violence, gender pay gap or occupational segregation, the total number of beneficiaries is much higher, although its number is unknown.

In addition, taking into account the indirect effects of certain projects on other groups, such as children, the number of indirect beneficiaries would be even higher. These indirect effects were generated primarily by the significant efforts in dissemination and awareness made by all the projects, with nearly 1,000 media appearances, more than 80,000 leaflets and 17,000 posters published, more than 150 dissemination acts organized and with an intense presence of all projects in the social networks.

With regards to programs implementing the policy measures; in 2014 the Ministry of Health, Social Services and Equality started the initiative “More Women, Better Companies” through which companies sign a voluntary agreement with the Ministry, in which they commit themselves to reaching specific targets regarding gender balance in decision-making positions and boards of directors. Companies also commit themselves to develop and implement targeted measures to achieve those voluntary targets in a four year period. The initiative has been linked to Promociona Predefined Project in a way that companies who signed the agreements are offered the possibility to participate in Promociona. Since then, 140 important Spanish companies have joined the initiative, including 26 Agrifood Cooperatives thanks to work done in collaboration with the Agrifood cooperatives under the complementary actions of the Programme. Therefore, it can be said that synergies made between new legislation and policies and the work done under some projects of the Programme have created a “momentum” to boost women into decision-making positions, therefore, contributing to the achievement of the Programme goals.

The Ministry of Health, Social Services and Equality, also works with companies in the initiative "Companies for a society free of gender violence" aiming awareness raising within companies and the society as well as for the labour inclusion of victims of gender-based violence. This initiative has been also reinforced thanks to the activities developed under bilateral relations that have made possible, inter alias, to replicate the initiative in a pilot project in Norway and to produce and disseminate a manual to support companies in their awareness raising and inclusion processes and activities.

Additionally, it must be highlighted that some of the projects had positive feedback and impact at EU level and even beyond European countries. For instance, two of the predefined projects under the Programme (Plurales and Promociona) have been recognized as best practices by the Advisory Committee on Equal Opportunities for Men and Women in its “Opinion on how to overcome occupational segregation” adopted in late 2015. And others, as the projects on gender pay gap under the Open call and Small Grants Scheme are being publicized at EU level under the website funded by EU Progress funds <http://www.genderpaygap.eu/>. It is envisaged to develop some of the recommendations of those projects in the near future. We are proud to say that the Promociona project is still on going and in June 2017 the V Edition has been inaugurated with own fund. Additionally, some countries have shown their interest in replicate this project, such as Chile, that, in collaboration with the IWEQ and the Spanish Employers Organization launched Promociona Chile in May 2017.

As a result of the success of the Exchange of Good practices in the integration of women victims of GBV, and following the activities developed in 2016, the pilot project started in Norway is continuing after the end of the Programme.

In 2015, a Spanish delegation from the PO participated in the Presentation of the Programme and of highlighted Programme Results and best practices at the Annual meeting of the United Nations Commission on the Status of Women - CSW 59 – Beijing + 20.

Sustainability:

As regards the sustainability of the donor partnership, it is worth mentioning that the cooperation between the LDO- DDP and the PO has gone beyond the Programme, for example, by organising a study visit, taking place in June 2017, of a Norwegian delegation to visit two of the six projects developed by the Spanish Regions aiming to tackle gender-based violence. Meetings in Valladolid and Murcia took place as well as visits to main stakeholders involved (the Spanish Government Delegation against Gender- Based Violence and Integra Foundation).

ES 05: Conservation and Revitalisation of Cultural and Natural Heritage

This programme covered only one pre-defined project that was articulated around the equipment and cultural activity plan of the new Federico García Lorca Centre (CFGL), a cultural centre built in Granada based on the cultural heritage of the city and its famous poet. Both action lines were linked to a wider objective: the transfer, deposit and exhibition of Lorca's legacy in the CFGL.

After initial problems to launch the project, remarkable efforts were made since September 2015 in order to finalise, at least partially, the pre-defined project and carry out the planned activities in a successful way. Eventually, the goals of the pre-defined project "Equipment and activity plan of the Federico García Lorca Centre" could be partially achieved. The CFGL opened on the 29th July 2015 and the cultural programme is running since then with a complete programme, as can be observed on the centre's website: <http://www.centrofedericogarcialorca.es/en>.

However, due to reasons that are not linked to the EEA Grants programme, Lorca's legacy has not yet been transferred to the CFGL so the overall outcome could not be fully achieved.

The other results were achieved with certain delays. The cultural programme to be co-financed by the EEA Grants should have been developed throughout 2015 since the opening of the Centre was foreseen for June 2014. The CFGL finally opened on 29th July 2015 so the cultural activities planned were developed in only four months (September- December 2015) with the resulting managing and programming challenges. This reduction on the activity plan has affected the level of achievement of the outputs linked to the cultural and pedagogical programme.

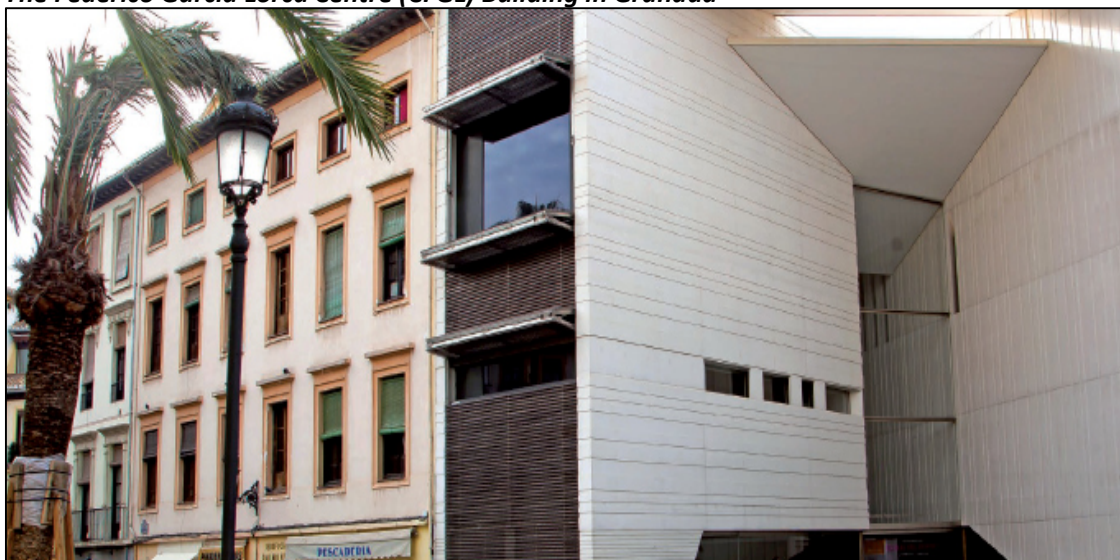
In April 2016, Lorca's legacy was declared as Heritage of Cultural Interest, the most relevant form of heritage protection in Spain, in order to prevent it from being sold or exported partially or as a whole without authorization of the authorities involved. Since the pre-defined project aims to "safeguard, conserve and promote the cultural heritage of and related to the life and work of Federico García Lorca", according to the Programme Agreement, the declaration of Heritage of Cultural Interest is a very important step to achieve the programme outcomes.

Figure 15 Website of the Federico García Lorca Centre (CFGL) in September 2017



Source: <http://centrofedericogarcialorca.es/>

The Federico García Lorca Centre (CFGL) Building in Granada



The EEA Grants supported the project with necessary equipment and with support to define and implement an activity plan to start regular educational and cultural activities.

Impact and Sustainability:

The project has had an important impact as it served to establish the on-going activities of the Federico Garcia Lorca Centre in Granada as an important cultural centre in the South of Spain. The cultural and education programme of the Centre will go on in the future thanks to the initial support of the EEA Grants. Therefore, also the sustainability of the invested funds is guaranteed.

Among the cultural activities organised and celebrated during 2017 so far are:

- 5 art exhibitions
- 7 dance and/or theatre representations
- 7 movie representations and/or film festivals, including the one-week celebration of the 10th. Edition of the Festival Cines del Sur
- 6 literature and poetry events (including Granada poetry slam)
- 7 artistic and cultural workshops for children and youth
- 11 Musical shows, concerts or music festivals
- 6 cultural presentations, round tables or debates.

As of end of September 2017, the number of visitors to the Federico Garcia Lorca Centre reached a number of 47,543, of that 25,051 women and 22,492 men. The participants in workshops and education activities in 2017 have been 834, of that 467 girls and 367 boys.

This shows the sustainability of the EEA Grants investments and the on-going positive impact on the cultural offer in Granada.

As long-term positive impacts have to be considered the potential effect on the attraction of tourists to Granada and an increased generation of added value through increased spending of tourists and visitors in Granada.

ES 06: Cultural diversity and Cultural exchange

The Royal Norwegian Embassy in Madrid has been responsible for the running of the Promotion of Diversity in Culture and Arts in the European Cultural Heritage programme. It is an initiative that, between 2013 and 2014, has awarded half a million euros to almost 30 different activities. It was the first programme of the Spanish EEA Grants 2009-2014, as it was approved in April 2013. The implementation period for the projects were from September 2013 to September 2014.

The programme supported projects in two different categories:

- Category 1: Support to institutions for cultural cooperation projects
- Category 2: supporting the artistic mobility of creators.

Eight projects were supported under Category 1. In total, 105 applications had been received. Only Spanish entities could apply for funds in this category. Sixty percent of all applications received had a partner from one of the Donor States.

Under Category 2, 21 projects were selected among 36 applications. Legal residents in Spain and the Donor States could apply for funds in this category. The Embassy received 29 applications from Spanish artists and 7 applications from Norwegian artists.

Two projects were terminated because the project promoters were forced to cancel the projects (ES06-0018 and ES06-0024) and the achievement of the indicators is as a consequence 27 instead of 29.

In 2015 and 2016, four additional projects were supported with the already existing funds. Two additional projects were selected because of their operational capacity, the quality of the activity, the relevance of the activity to the sustainability of the already implemented project as well as the relevance of the activity to the objective of strengthening bilateral relations between the Donor States and the Beneficiary States. These activities were: “We exist. Self-portraits in prison” and “Contemporary Theatre Speaking”. During the first six months of 2016, two bilateral relations at project level were developed: “Her/Story. Two women behind the camera” and “Contemporary Theatre Speaking”.

The programme has fulfilled the overall objectives of the EEA Grants by contributing to the reduction of economic and social disparities in the European Economic Area. Promoting cultural diversity is essential in order to strengthen mutual understanding in Europe and to contribute to greater social inclusion, cohesion and economic development (growth and jobs) as set out in the Europe 2020 Strategy. The programme has contributed to build contacts and networks between institutions and artists from Spain and from the Donors. One challenge in Spain has been the lack of education opportunities within the cultural field. The programme has facilitated access to non-official education and training, as well as intercultural contacts. The mutual learning process will benefit both Spanish and Donors entities and artists. The artists can bring this experience into new projects in the future.

ES 06 Project: “We exist. Self-portraits in prison”



These are not ‘selfies’, they are images of the soul, and the artist Cristina Núñez uses them in order to look into “what exists within, accepting that there is a bit of everything”. Her work in Spanish and Norwegian prisons is both art and therapy. Cristina Núñez Salmerón (b. Figueras, Catalonia, 1962) has in recent years taken on some of the most striking artistic endeavours commissioned by the EEA Grants through the Norwegian embassy in Spain, with the objective of improving cultural links between the countries and promoting the European identity.

According to the Programme Operator, there is a strong bilateral dimension in all projects incorporate training and exchange between cultural entities, associations and workers mobility. This has contributed to reaching the second output: strengthening mutual understanding and the transfer of knowledge between Spanish and EU/EEA entities and individuals.

The bilateral activities were key to the success of transfer processes. For instance, an initial seminar was very useful to get an introduction to the financial reporting and have an opportunity to ask questions regarding their specific project. The second bilateral activity was a Press trip to Norway in 2014. The Embassy, in collaboration with the project promoter for Contemporary Theatre Speaking (ES06-0004) organized a press trip to Norway for selected Spanish journalists. The press trip had a great media impact in Spain and further to this, the exchanges with the Norwegian cultural agents also provided outcomes on the starting of a cultural network between institutions of both countries.

At the closure of the programme, the programme operator assisted project promoters and other stakeholders to search for alternative ways to fund their bilateral activities. Spanish national mechanisms, Creative Europe and the Polish cultural programme within the EEA Grants were presented as some of the alternatives for future funding and cooperation.

Impact and Sustainability:

The programme has led to the development of extensive bilateral relations between entities and individual artists in Spain and the donor states. Several of the projects funded in the programme have a great potential to grow into larger projects that will reach a broader audience. Even though the programme and Spain will not receive funds from the EEA Grants as a beneficiary country in the financial mechanism 2014-2021, the Embassy continued its work to promote bilateral cooperation, and as a result of the programme, now with a broader cultural network, both on an institutional and on an individual level. In this sense, the programme has had a very positive impact on the Embassy's cultural and public diplomacy work.

The following positive effects of the programme were highlighted at the closing conference of the programme in Madrid:

- Cultural work within the EEA Grants: the importance of the cultural sector for the EEA Grants, synergies between the 16 beneficiary countries, synergies with EUs cultural programmes and the case of Polish-Spanish cooperation.
- Cultural work within the Norwegian Embassy in Madrid: the catalyser for strengthening bilateral relations Norway-Spain.
- Possibilities for project funding within the Spanish Ministry of Education, Culture and Sport, presenting the Spanish programmes.
- Presentation of the European Union's cultural programme: Creative Europe
- Presentation of the results in Spain within the programme "Cultural diversity and cultural exchange"
- The voice of the beneficiaries: presentation of two projects, facing the issues of objectives reached partnerships and sustainability.

ES 07: EEA Scholarship Programme

The NILS mobility project was managed by the Universidad Complutense in Madrid as programme operator. The title of the NILS Science and Sustainability project²² refers to NILS as acronym of Norway, Iceland, Liechtenstein and Spain. The initiative facilitated the exchange of Erasmus students and researchers between the four countries with a budget of EUR 4 million.

The general objective was to build relations among educational institutions and researchers in these countries, while at the same time contributing to university projects that improve people's wellbeing and the sustainability of the planet. The programme was implemented successfully, in all its measures and tasks as explained below.

The results have been the following: Funds related to Outcome 1 "Student mobility" were allocated to 11 projects, all of them having been developed. Within these projects, 196 bachelor and master students from Spanish universities have performed stays at institutions in Norway, Iceland and Liechtenstein, in the frame of Erasmus + programme. This result is considerably higher than the initial target of 100 moving students supported.

Within outcome 2 "Increased and strengthened institutional cooperation", 101 projects have been developed. The projects involved 7 institutions from Iceland and 24 from Norway. 73 researchers at different stages of their careers have performed stays abroad within the individual mobility scheme, and a number still to be confirmed of researchers have carried out exchanges within coordinated mobility scheme (expected to be no less than 75).

These outputs led to the following outcomes: Increased higher education student and staff mobility between Beneficiary and EEA EFTA States and bearing in mind the strong crisis situation in our country, 219 grantees expected to perform stays in donor countries must be considered an excellent result as it allows maintaining the mobility figures from Spain to such countries, despite their higher cost of living. The programme has achieved to involve the Spanish institutions which are responsible for a great part of the Erasmus mobility in our country: five of the first 20 European higher education institutions in the "Top 100 higher education institutions sending students on mobility in 2011-2012" are involved in NILS programme, and that eight of them are in this top 100 list. On the other side, 35 institutions from donor countries are involved in these mobilities: 28 in Norway, 6 in Iceland and one in Liechtenstein

Regarding the second outcome: Increased and strengthened institutional cooperation at all levels of the education sector (higher education) between Beneficiary and EEA EFTA States, cooperation for research, up to December 2014 NILS has achieved to get 127 applications from 29 different promoters, involving as first partners 35 institutions from Donor Countries (7 in Iceland and 28 in Norway). 90 projects have been approved, 76 for individual mobility and 29 for coordinated mobility.

A wide range of topics, related to the strategic focus of the programme, are being faced by granted institutions and researchers: biomedicine, ecology, energy, renewables and

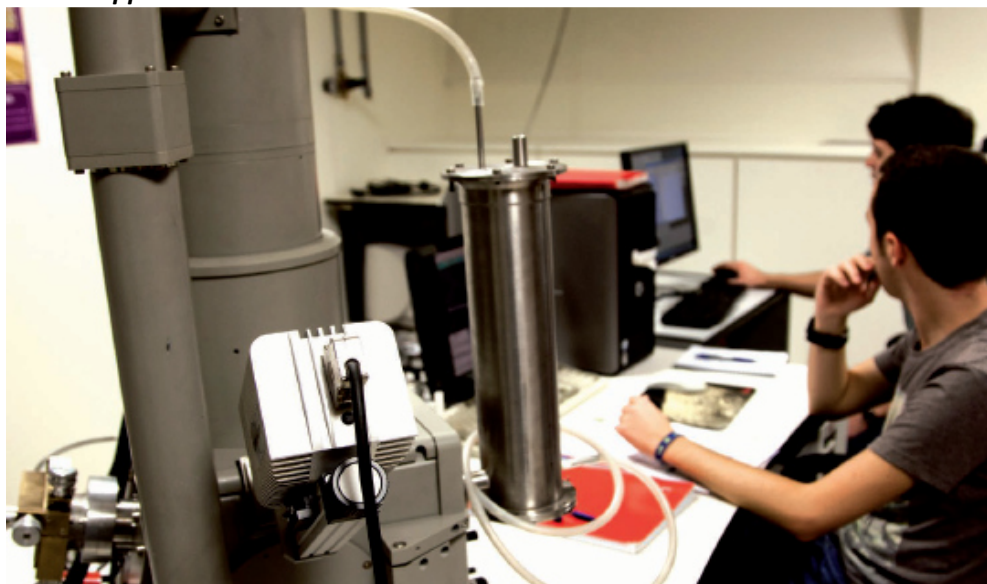
²² <http://www.nilsmobilityproject.es/>

sustainability, general sciences, economics and social issues, alimentary technology, and climate change.

In the ES07 Programme all projects had a bilateral aspect: in the case of student mobility, 219 students from 11 Spanish highest education institutions studied an academic year in Norway, Iceland or Liechtenstein; in the case of the research mobility, 106 research projects have been developed, most of them by Norwegian-Spanish or Icelandic-Spanish scientist teams.

Overall, around 300 researchers from Spain, Norway and Iceland were involved in this programme, developing projects in areas as mathematics, physics, climate change or energy. This is a good example of strengthening bilateral relations, in such important fields as education and scientific research.

Example of ES 07 Projects: Susox. Sustainable oxide materials and nano-structures for energy related applications.



PROJECT: Susox. Sustainable oxide materials and nano-structures for energy related applications. PROMOTER: Complutense University of Madrid. DONOR PARTNER: Institute for Energy Technology (Norway). EEA GRANTS: 57,350 EUR. → The research team is part of the Physics of Electronic Nanomaterials Group which has experience in a variety of techniques of both nanostructure growth and nano-profiling as well as using microscopes for the study of structural, optical and electronic properties. The project is part of the NILS program, which provides the researchers the opportunity to meet and share knowledge and experience with other institutions.

Impact:

The cooperation launched within this ES07 programme has produced sustainable positive impacts on student and researcher mobility in Spain and on partnership schemes between Spanish Universities and research centres and those of the partner countries. One example is that, thanks to the relationship established under the Students Mobility call, a joint project by University of Valencia and University of Oslo won the European Language Award based on the experience of University of Valencia teaching Spanish Classes to their Oslo counterparts.

The programme operator estimates that from the achievements of the programme at output and outcome levels one can deduce a clear impact of the programme at different levels: interinstitutional cooperation between organizations of the participating countries, as many of the projects were built on weak or non-existing previous relations, and many others helped strengthening and widening the previously existing ones, including the incorporation of new partners to wider networks, mainly by participating in new applications to H2020 programme, or to other international networks. Also, the international experience for predoctoral and postdoctoral researchers is a clear value, opening them new perspectives both at personal and professional level.

The knowledge transfer and sharing has been produced not only within the frame of a research cooperation but also formalized via some official processes such as PhD thesis works, training seminars and training materials prepared for PhD and Master level courses. Finally, the high number of seminars, conferences, and especially scientific papers in peer-reviewed international journals, represent an important contribution to the knowledge generation and research advance in the participating countries.

The positive impact of this programme has to be evaluated in the context of budget cuts on research and education in Spain between 2009 and 2014. Available public funding for research, both for projects and for human resources, dramatically decreased during the programme implementation: 40% from 2009 to 2013 and continued decreasing during 2014 and 2015. The National Plan of Reforms announced the “freezing” of the research budget and forecasted a 2% of GDP to be invested in R&D until 2020 (compared to the initial target of 3%). In this sense, the ES 07 programme managed to mitigate the negative effects of the budget decrease in Spain and to establish an additional way of funding in line with the well-known ERASMUS programme as well as new and effective mobility schemes for researchers and research groups. Within this context, it is possible that the lack of other funding sources may have conducted some researchers to apply to NIFS programme, although one cannot really evaluate the impact of this situation in the programme.

Considerable synergies with other European and National programmes were achieved. As the Horizon 2020 programme was in process, some of the NIFS grantees were encouraged to submit proposals under this funding scheme; several joint projects have been submitted, incorporating new partners from Spain or from Norway and Liechtenstein to existing networks and expanding international cooperation (20 project promoters declare have submitted or are preparing applications to H2020). Also, some promoters and partners have submitted joint or extended proposals to national funding sources.

Sustainability:

As regards sustainability, partners committed themselves to explore further cooperation and funding opportunities, as well as to encourage promoters to use other existing schemes, but no results have been achieved yet. As mentioned before, 67% of the project reports declare that partners plan to continue cooperation by other means. This means that other funding sources need to be explored and / or adapted, as cooperation is not possible without resources being put in place.

3.4 Contribution of programmes to horizontal objectives

Apart from the general objectives of the EEA Grants 2009-2014, all programmes and projects had to pursue horizontal objectives related to a) gender equality, b) environmental sustainability, c) economic and social sustainability as well as d) the principle of good governance.

The analysis of the programme's implementation and the final programme reports shows that all Spanish programmes and most projects followed the general horizontal principles and contributed to the horizontal objectives within the framework of thematic priorities and orientation of the different projects. For example, all projects of programme ES 02 contributed to environmental sustainability as this was the core goal of the programme to be achieved through support of innovation and applied research on sustainable development, energy efficiency and reduction of climate change effects. In the same line, all projects of programme ES 04 had a positive impact on gender equality, being this the core objective of the programme. However, there have been more examples of compliance with horizontal objectives that are briefly presented below.

One good practice to highlight was the **national programme on gender mainstreaming**. Within this project, techniques and tools for gender equality and mainstreaming were presented and explained to all Programmes under the EEA Grants Spain 2009-2014. The purpose of this project was the study of the gender mainstreaming dimension in all programs approved under the EEA Financial Mechanism 2009-2014 in Spain. Several meetings and a workshop for the presentation of the Project results was held in the State Secretariat for Social Services and Equality Headquarters beginning of April 2016. A final report was also produced and distributed to all the Programme operators. It is noteworthy that, even though the initial situation was very different among the programmes, all of them have improved the mainstreaming of gender thanks to this initiative, sometimes despite the lack of resources or trained specialist staff. This project has also served to raise awareness on the issue as well as to see the importance of integrating a gender perspective already at the Programme design stage and then carry on with a gender perspective into the development, implementation and evaluation stages. Overall this support has been excellently valued by all programme operators and by the DPP of programme ES 04 LDO (Ligestillings- og diskrimineringsombudet), who considered that this project should be replicated into all the programmes for the new EEA and Norway Grants period 2014-2021. This project has had a great impact in the participating Spanish institutions, some of which, like the CDTI, has integrated it into their usual way of working.

In the following, important effects on horizontal issues of the Spanish EEA Grants programmes are presented with illustrative examples.

Gender equality

The first and most relevant measure to guarantee gender equality was a differentiated monitoring of project activities and programme results by gender-classified indicators. This measure has been used by all programmes.

In addition, other measures have been used by different programmes in the line with the overall context of the programme.

For example, programme ES 02 integrated the gender aspect in the evaluation and selection procedure of projects: "In the selection process: in both calls, there have been additional points if the company complied with gender equality." Moreover, among the programme indicators of ES 02, the Programme indicator "Percentage of women in funded projects" (number of women in projects divided by total eligible staff) was used in order to assure gender equality.

As a direct effect from the national gender mainstreaming project, the programme operator for ES 02 reviewed its internal procedure and took on board several recommendations to improve the gender consideration in the CDTI overall programmes.

With regard to programme ES 03, the Programme Operator included specific analytical contents, for example in the differentiated analysis of men and women within the Third Sector of Social Action. Furthermore, the Programme Operator developed specific gender indicators which showed that most projects had a gender perspective and some of them were directly linked to gender equality. In particular, some projects were specifically focused on the women's rights. This project brought to light the fact that violence against women is comparable to other human rights violations.

Programme ES 04 was conceived from the beginning as gender equality programme. So, here the impact was direct as well as indirect. The relevance of the gender approach was reflected in all objectives and outcomes, as well as spreading out to all other programme operators at national level, aiming to mainstream gender equality through all the Spanish Programmes financed by the EEA Grants.

Programmes ES 05 and 06 used specific differentiated indicators by gender for the monitoring of activities and results, for instance, "number of men and women that received funds for individual mobility", "number of events, expositions, performances etc. which have a woman as main protagonist", "degree of approval from the women and men participating in the programme" in programme ES 06.

With regard to programme ES 07, here also gender was considered to be a specific evaluation aspect in the selection of beneficiaries, in order to stimulate the participation of women in education and research mobility. So, for example, for students outgoing to higher education institutions in Norway, Iceland and Liechtenstein, project contracts included a reference to the fact that selection processes shall give priority to women in case of equal scoring in the evaluation criteria. Concerning outcome 2, the calls included a positive discrimination in the fact that for women, the years of experience needed for being classified in one or other applicant category are diminished taking into account childcare time. In addition, output monitoring was differentiated by gender.

Good Governance

All EEA grant programmes in Spain 2009-2014 integrated the basic principles of good governance. All application procedures for projects included specific mechanisms to check that the project would not have a negative effect on good governance as well as democratic and transparency principles. In addition, transparency, accountability and rule of law was agreed as a pre-condition in all Project Contract signed between the project promoter and the programme operators.

Furthermore, and following the current Regulation, a specific Management and Control System was developed and applied for each programme. As demanded by Spanish Law, all public sector programme operators followed the General Grants Law 38/2003 and Law 30/2007 of 30 of October, for Public Sector Contracts.

Moreover, the Programme Operators used independent auditors and internal control systems to verify the overall good governance and transparency of project selection and implementation processes. This was in addition to the audits and control from the Audit Authority, as well as to the sample controls by the National Focal Point and the FMO in order to assess the compliance with EEA and national Regulations.

Some programmes took additional preventive measures. For example, the operator of programme ES 03 hired a specialised ad hoc team for monitoring and supporting the project development with regard to good governance. This measure has guaranteed a better implementation and transparency in management. In addition, a specific document for transparency and good governance indicators was developed and applied which helped to measure and evaluate relevant matters in the development of activities.

Participation was of considerable importance to all programmes. Generally target groups and potential beneficiaries were involved already during the design of the programmes and during setting up specific programme and grant conditions.

For example, in programme ES 04, the contact between the programme operator and the DDP-LDO has been regular throughout the life of the project, with bilateral meetings as requested by any of the parts and Programme annual meetings also scheduled, as well as coordination and bilateral meetings with all the projects promoters.

In programme ES 06 the Embassy has been applying Norwegian legislation on public management and transparency. The Embassy has also hired external consultants for the financial control, thus assuring division of tasks, but also a system for checks and balances. The external consultants was selected through an open competition in accordance with relevant rules on public procurement.

Information on all relevant programme and project details will be stored in the archives of the programme operators for at least 5 years and can be made available upon request, both for revision in accordance with the Regulation but also in accordance with the Norwegian/Spanish legislation on public access to official documents.

Sustainable development

Sustainable development was a relevant issue in most of the Spanish programmes, although because of the diverse nature of programmes, in some more than in others.

For example, programme ES 02 was active in the Programme Area of Environmental and Climate Change-related Research and Technology. Therefore, all activities, expected outcomes and outputs of the Programme were formulated to result in environmental improvements through the approved R&D projects. In this sense, the whole programme ES 02 contributed to sustainable development.

In similar terms, programme ES 07 focused on student and research mobility in the particular research areas of Earth Sustainability and Human Well-being. Thus, projects were developed related to climate change, energy production, food production, and similar important topics. There were also projects on health sciences, biology and, from a different approach; children care schemes, more related with social and economic systems. Most activities carried out within these projects produced seminars, papers and other results able to improve the knowledge and awareness on environmental concerns within scientific and academic communities.

Moreover, in line with Spanish public sector grant legislation, environmental considerations have been completely taken into account in the proposals assessment process, being usually one of the evaluation criteria to be scored.

Sustainable development was also an issue for individual projects. For example, some of the projects in programme ES 03 reported that they used only recycled paper, or recyclable materials in general. Some of them saved energy and others tried to efficiently use transport means in order to reduce gas emissions. Furthermore, two projects in the ES 03 programme were specifically focused on environmental issues as well as on social issues, underlining how both issues are connected to human well-being.

Economic and social sustainability:

Many programmes contributed also to economic and social sustainability in some way or the other.

Programme ES 02 helped to generate jobs in research and technology-related areas in the benefitting companies. Programme ES 03 helped to promote the effectiveness and quality of the work of non-governmental organisations and contributed thus to the sustainability and equity within the Spanish society.

Programme ES 04 promoted gender equality and helped so overcome barriers to female employment and civic participation. The Programme, based on gender equality and promoting work-life balance, underlines the need for social sustainability in society. It promotes gender equality, equal opportunities and sustainable economic development. It also contributes to the integration of women from vulnerable groups, such as Roma women and victims of gender based violence.

The growing importance of culture as a catalyst for the economy and for the creation of jobs is highlighted in the Spanish statistical data of the cultural sector. Programmes ES 05 and 06 helped to promote Spanish Culture and to maintain employment in the cultural sector.

Programme ES 05 has been a contribution to social sustainability as far as Lorca's work is a great example of promoting fundamental values such as tolerance, multicultural understanding, respect for the rights of minorities, etc.

Programme ES 06 has contributed to building contacts and networks between institutions and artists from Spain and from the donor states. One challenge in Spain has been the lack of education opportunities within the cultural field. The programme has facilitated access to non-official education and training, as well as intercultural contacts. The mutual learning process will

benefit both Spanish and donor state entities and artists. The artists can bring this experience into new projects in the future.

As mentioned before, the ES 07 programme supported research and education related to Sustainability and Human Well-being. This confirms the relevance of the programme and all project activities for social as well as economic sustainability. At the same time, offering the opportunity to young scientists to carry out a research or education activity abroad is likely to generate a social benefit, as living in a different socio-economic system and cultural environment, usually results in an improved cultural understanding and in an improved cohesion among societies and people.

4 MANAGEMENT AND IMPLEMENTATION

4.1 Management and control systems

The management and control system of the EEA Financial Mechanism Spain in 2009-2014 was set up in accordance with the framework of close co-operation between the Donor States and the Beneficiary State. The implementation of Programmes followed the principles of transparency, accountability and cost efficiency as well as the principles of good governance, sustainable development, gender equality and equal opportunities in all implementation phases of the EEA Financial Mechanism 2009-2014.

Annex A to the Memorandum of Understanding signed between Spain and the Donor Countries defined the **national management and control structure**.

The description of the management and control system for the implementation and audit of the EEA Financial Mechanism 2009-2014 in Spain had the clearance of the FMO on 10 October 2013. This document contemplated a proposed organization chart to implement EEA Grants that lacked a reasonable coherence, concentration and dedication. Therefore an improved design of staff organisation was proposed in December 2013 and was included in the Strategy Report 2013. However, due to budget constrictions and national policies, this structure has been implemented very slowly.

In 2014, the Management and Control Systems for all Programme Operators were designed and approved. A combined effort of AA, CA, NFP and POs for this starting period made it possible to develop adequate Management and Control Systems that had be only slightly improved by further reviews and audits.

In 2015, the NFP contracted the services of the company LRQA -Lloyds Register Quality Assurance- to assess the efficiency and the effectiveness of the procedures and activities implemented by the POs from 31 January 2014 to 30 March 2015. In order to assess the efficiency and the effectiveness of the management and control systems established in Spain, two different processes were carried out at national level and at programme level:

- The Certification Authority
- Technical Assistance and Bilateral relations/NFP (Programme ES 01)
- Programme ES 02: Climate Change/CDTI
- Programme ES 04: Gender Equality/Secretary of State of equality- Women Institute

- Programme ES 05: Cultural Inheritance/ Ministry of Culture
- Programme ES 07: Scholarship/Complutense University of Madrid

The results of the assessments demonstrated that the development and implementation of the different Management and Control Systems (MCSs) during 2014 facilitated the detection and correction of irregularities. However, the MCSs proved to be adequate as, most of the findings detected during the audit had been already solved with the procedures included in the MCSs. The audits can be considered as helpful as they contributed to the continuous improvement of the MCSs.

All Programmes have been subject to national audit and control procedures during their implementation until their closure. This has been done by the Spanish Audit Authority. Based on these audits, some MCSs have been improved during programme implementation. For instance, the Spanish Audit Authority issued an Opinion on 1st July 2016 as to whether the management and control systems established for the ES02 programme financed by the European Economic Area (EEA) Financial Mechanism 2009-2014 during the 2015 period functioned effectively. As a consequence, Audit Authority recommends update the staff assignments forecast and clarify in the document the procedure for calculating the average percentage of assignment. So, ES02 Programme Operator presented a new version of Management and Control System document accordingly, that was sent to the FMO.

In 2016, the FMO requested an independent assurance report by Moore Stephens LLP to audit the Management and Control Systems set up and operated by the Spanish National Focal Point for the purpose of managing the risks to the achievement of the objectives of the EEA Financial Mechanism 2009-2014 in Spain. This audit found only four issues of minor relevance.

- Monitoring Committee meeting not held in 2013.
- Minutes of annual meetings not uploaded onto the NFP's website.
- POs not advised to use the reporting templates set out in Annex 5 of the Regulation to submit all quarterly irregularities reports.
- Supporting documentation not requested by the CA for the POs' direct costs during the certification process.

Besides these observations, the report concluded that:

- Overall, the organisation in place, segregation of duties, sufficiency of staff and the system of distributing work between team members for the NFP, CA and AA is seen to be well designed and operating effectively.
- With the exception of the issues highlighted in Management Control Finding Nos.1 and 2, the system in place for managing operations is seen to be well designed and operating effectively.
- With the exception of the issues highlighted in Management Control Finding Nos. 3 and 4, the system in place for financial management and control is seen to be well designed and operating effectively.

A weak point of the Management and Control System in Spain was that, there at the end of 2015 a new organization of the Sub-directorate of Territorial Cooperation and Urban Development was put in place. This organization has implied a drastic cut of the human resources devoted to this fund. Therefore, despite the good performance of EEA Grants, the human resources of NFP were

noticeable reduced and staff changes implied time to get familiar with procedures in the General Directorate plus all the complex specificities required to deal with EEA Grants. This might have limited slightly the overall administrative efficiency of the EEA Grants management.

4.2 Compliance and Irregularities

4.2.1 Compliance with EU legislation, national legislation and the MoU

Overall, there has been compliance of the Spanish EEA Grants financial mechanism 2009-2014 with EU legislation, national legislation and the MoU.

In order to guarantee the programmes compliance with different regulations, at the beginning of 2014, several meetings will be held by the Audit Authority with each PO and the NFP. They aimed to minimise systemic irregularities in programmes implementation as well as to clarify possible misinterpretation on the applicable regulation. This resulted to be essential as a base for a correct implementation of the monitoring and verification activities to be carried out by the programme operators.

The compliance with Community Policy and national regulations on environmental issues was assessed during the POs evaluation process carried out by the company contracted by the NFP. Public procurements were monitored ex-ante by the control bodies of the administration and ex-post by the Audit Authority in their audits on expenditure carried out for all programmes (except ES06, as the programme operator is the Norwegian Embassy and thus operates under Norwegian Law).

At national level, a new anti-corruption regulation was developed by the Spanish Government in 2014. The Parliament approved the Law of Transparency, access to public information and good governance (Law 19/2013 of 9 December). The provisions of the law on transparency and good governance came into force on 11 December 2013; additional provisions came into force on 11 December 2014. This regulation was binding on regional and local institutions and, therefore, had a positive impact on the transparency and good governance of the EEA Grants in Spain.

The Law provided, for example:

- What information Public Administration must give for knowledge of citizens, see <http://transparencia.gob.es/en>
- How citizens can request information
- What are the rules of good governance to be met by senior people working in administration
- Penalties for people who do not comply with the law.

Over the period of implementation of the EEA Grants 2009-2014, several minor compliance conflicts arose regarding the interpretation of the national and the EEA Regulation.

One of the relevant conflicts between the Regulation and the national legislation was related to Article 7 of the Regulation and different interpretations related to incurred cost by the NFP and the FMO. These different interpretations referred to the amount registered as expenditures in the IFRs. The issue that affects mainly three programmes (ES01, ES04 and ES05 in terms of budget management and public systems for expenditures). The issue was clarified with the FMO in 2015, both parties understanding the issue in the same way.

Overall, compliance has been verified continuously by different strategic and programme reports and audits. Conflicts could be solved by finding agreed solutions.

The NFP developed for the Spanish EEA Grants a **good governance policy** and included an open **Complaint Mechanism** (access through the EEA Grants Spain website). There it was explained, that the EEA Grants have a no-tolerance policy on corruption and mismanagement, and that complaints and alerts on suspected irregularities may be submitted directly to the National Focal Point.

4.2.2 Irregularities and complaints

The national public entity responsible for the preparation and submission of irregularities reports in Spain was the National Focal Point.

In the course of the whole programming period, a total of 43 irregularities have been identified, 13 of which have been closed as of the end of October 2017.

No irregularities were detected in 2013. In 2014, the National Focal Point started the reporting of irregularities. A total of 12 irregularities were detected during 2014.

In 2015, the year of active implementation of most programmes, a total of 13 irregularities was detected:

- Reporting: 4 irregularities under regular reporting (Art. 11.5 of the Regulation), 9 irregularities to be reported upon request (Art. 11.7)
- Level: 1 irregularity at Beneficiary State level, 3 irregularities at Programme level, 9 irregularities at Project level. All irregularities non reported are at Project level.
- Status: 6 irregularities are open and 6 have been closed. Those reported to the FMO, although corrective and/or preventive measures have been taken, only are considered as closed when the FMO confirms so.

During the first semester of 2016 four irregularities were identified, processed and reported, according to article 11.5 of the Regulation.

In general, most of the irregularities were minor and implied financial corrections, assumed as recovering funds in the Interim Financial Report following the detection and study of each irregularity. Highest amounts in financial corrections were those related to ES02 irregularities – due to the highest amount of grants within this programme.

Looking for trends of irregularities for the different Programmes and at beneficiary level, one can detect some common causes of irregularities:

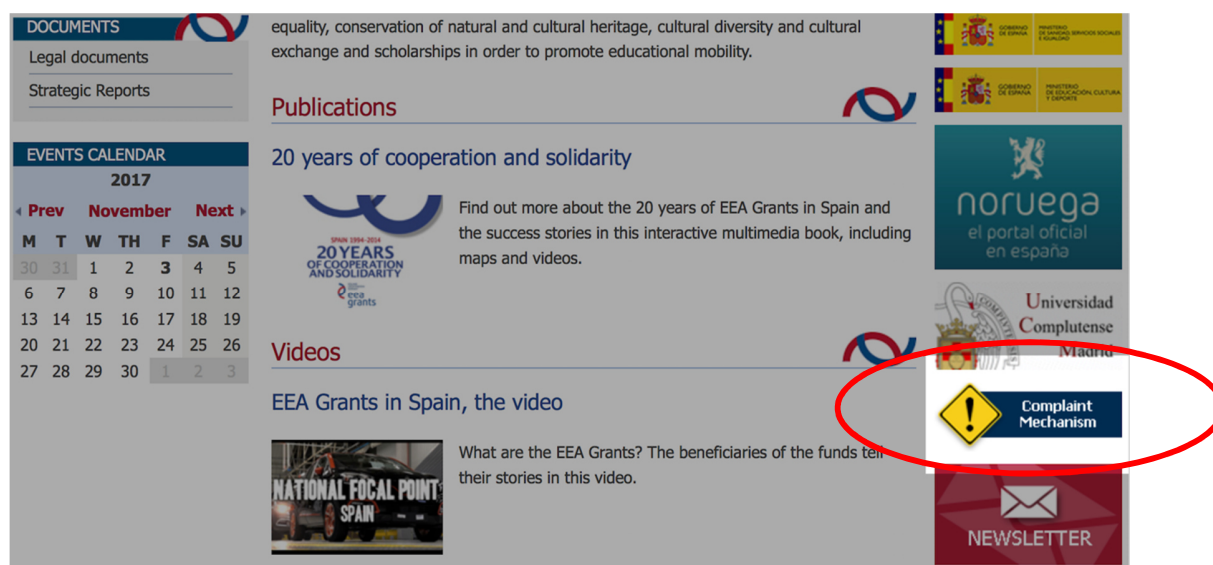
- Eligible costs: Most frequent irregularities at Programme level were detected dealing with the criterion to consider a cost as eligible or the way of declaring it in IFRs. The detection was then made by the AA or the PO.
- Project Promoters: Irregularities detected in ES02 were caused both by bankruptcy or resignation of the PP or by the extremely short time of project's implementation taking into account that the subject is technological innovation. These data are already taken into account as a risk for the implementation of this Programme, and corrective measures

are being studied between PO, DPP, NFP and FMO to find the best solution to implement the extra funds available.

Summary of the complaints received under the complaint mechanism

In addition to the general complaints and claims system of the Ministry of Finance and Civil Service, a section was placed on the homepage of the exclusive website www.eeagrants.es in September 2014, allowing to contact directly any of the authorities of the Programme, both at national level and in donor Countries.

Figure 16 The complaint mechanism link in the EEA Grants website homepage



Source: <http://www.eeagrants.es> . Visited 07/11/2017

Throughout the implementation of the EEA Grants 2009-2014 no claim has been received by the National Focal Point via this complaint mechanism.

4.2.3 Programme conditions and post-completion obligations

The NFP ensured the fulfilment of the conditions set in programme agreements through

- Coordination of an annual reporting of all programmes, verifying the completeness of its contents in accordance with Article 2.2 of the Regulation;
- Setting up a Monitoring Committee with an adequate composition;
- Regular meetings with all programme operators and with FMO (Annual Meeting, Monitoring Committees);
- Drafting and sharing of minutes of Meetings in order to assure that action points from meetings are followed up timeously;
- Assessing and communicating the progress of the EEA Financial Mechanism to stakeholders;
- Holding Technical meetings with Programme Operators to learn about progress and problems and to re-direct implementation of programmes;

- Having regular correspondence with Programme Operators, offering to POs guidance and direction to aid the management of their programmes;
- Having adequate strategies for communication and publicity in place at the NFP and for each of the Programmes;
- Internal reviews of the management and control system;
- System audits by the Spanish AA, IGAE;
- External reviews and evaluations of systems by an independent expert.

The Programme Operators, through the conditions established in the calls and conditions of projects, as well as the National Focal Point, will ensure fulfilment of post-completion obligations by the Project Promoters and grant beneficiaries. When appropriate, in projects according to Article 7.15.1 of the EEA Grants Regulation, the National Focal Point will request annual status reports.

4.3 Monitoring, reviews, evaluations and audits

Several national, FMO and external audits and reviews were conducted within the monitoring of the Spanish EEA Grants 2009-2014.

Monitoring activities were implemented on-the-spot by visiting Projects and attending Bilateral Relations events at National Level. For example, during 2014, 38 visits to projects and events were carried out by the NFP and the Programme Operators.

In 2015, IGAE, the Spanish Audit office performed as Audit Authority audits according to their “Audit Strategy of the European Economic Area (EEA) Financial Mechanism 2009-2014” (see Attachment 6 to Strategic Report 2015). According to their procedures, they reviewed the national system and the programme covering the period from the beginning of the 2009-2014 Financial Mechanism. The overall result of the audits was favourable (favourable with reservations for ES07 due to indirect costs declaration, already corrected), with the remarks already considered for corrective and preventive measures by the POs, and reported as irregularities when appropriate.

In May 2016, IGAE, the Spanish Audit Authority sent the final reports of the audits carried out for the period 2015. It included system audits (on the implementation of the Management and Control Systems in ES02 and ES07) and financial audits (audits of expenditure declared). The conclusions were overall positive, declaring the eligibility of almost all costs declared and the recommendations for some minor improvements that were carried out accordingly.

In 2017, IGAE, the Spanish Audit Authority sent the final reports of the audits carried out for the period 2016. It included system audits and financial audits for all Programmes, the NFP (for ES 01) and of the Certifying Authority. All Programmes, NFP and CA were considered as having adequate systems with only minor-some improvements necessary. With regard to the financial audits, there was only one minor error in Programme ES 03, with all other programmes with an error rate of zero. The exception to this was programme ES 05 with an important error rate and also an insufficient system audit. This was due to differences in the interpretation of the legal situation with regard to who is the beneficiary that can contracting works covered by the EEA Grants (the

CFGL consortium or the CFGL foundation). This difference still persists and needs to be clarified between IGAE, NFP, PO ES 05 and FMO.

All annual audit reports were adequately submitted as annexes to the Strategic annual reports.

As conclusions from the on-going audit and monitoring activities, some elements were identified by the NFP, namely:

- Short time for implementation: having in mind that most projects have started along 2014, the implementation time was between one and two years, which introduced pressure to execute swiftly and commit no errors in declaring costs and reporting.
- Calls: most of the calls were launched during 2014. That signified an intensive workload for the NFP to assess them and to take part as observer in the selection committees. Common concern to all of them was the mechanisms to better ensure the full application of available funds, facing the uncertainty of projects that could withdraw combined with the need of a certain amount granted in compliance with national granting law.
- High attractiveness of EEA Grants schemes: both potential future applicants and POs reported the lack of continuity in the Financial Mechanism after 2015 as a bad notice, even if new post-EEA Grants cooperation measures are being explored at project, programme and national-Donors level.
- Procurement processes: nor the AA nor the evaluation process by NFP has detected irregularities on this issue. Public procurement procedures are held at national level institutions and the control measures in place were successful up to now.

Review and evaluation activities under the responsibility of the NFP were contracted to an independent consulting company, LRQA -Lloyds Register Quality Assurance. This evaluation was held between January 2014 and 30 April 2015. The final reports were annexed to the 2015 Strategic Report.

In 2016, the national Management and control system, as well as the Spanish Programmes were reviewed for an independent assurance report by Moore Stephens LLP for the purpose of managing the risks to the achievement of the objectives of the EEA Financial Mechanism 2009-2014 in Spain.

In 2017, the NFP contracted an independent evaluation expert (Spatial Foresight GmbH) to carry out the final evaluation of programme ES 02. The report is annexed to this final report.

Overall, all audits and reviews on the Spanish EEA Grants found only minor issues for improvement and correction that could be solved immediately and expressed only minor error rates in implementation of the programmes and projects.

4.4 Information and publicity

The **Communication Strategy** of the EEA Grants 2009-2014 was approved in 2013 by the Spanish National Focal Point. It described the measures to be taken in order to disseminate and enhance the knowledge of the EEA Grants (programmes, projects and results) with regard to its potential stakeholders and final beneficiaries.

The implementation of the Communication Strategy of the EEA Grants was satisfactory. It was built on activities carried out by the NFP, as well as on activities focusing on the different Programmes and implemented by the Programme Operators as part of their coordination work.

During 2014, 2015 and 2016, the NFP implemented many diverse information and publicity activities with very positive results and a good media echo:

Table 2 Communication activities across the Programme period

Type of activity	Results
NFP Corporate Image Design and Merchandising	In order to raise brand awareness of the EEA Grants in Spain and of the Spanish National Focal Point as the body entrusted with the EEA Grants management, the NFP developed a specific corporate image (logo) and applied it to the website, all written and web-based appearances, as well as to specifically designed business cards and notebooks.
Website: www.eeagrants.es	Launched in May 2014, the website contains all relevant information related to the EEA Grants in Spain but also stories about the projects, gathered on regular visits of the Communication Officer to projects, events and seminars and interviews with people beneficiary of the grants all over Spain. During 2015, the number of visits to the website exceeded 11,000 and the number of page views, more than 28,000, according to the data obtained from Google Analytics. The number of visits was steadily increasing between 2014 and 2016, a high peak in the number of visits corresponds to the communication event organized by the NFP that attracted a good deal of attention.
Promotional Video	A promotional video about the EEA Grants in Spain was developed. https://vimeo.com/113480736
Newsletter	Since September 2014 and during 2015, the NFP sent a monthly Newsletter to online subscribers to disseminate information related to the EEA Grants in Spain (open calls, stories, events...). The subscribers covered all the target audiences and stakeholders.
Communication Workshop	The Spanish NFP took part in the Communication Workshop organized by the FMO on 14-15 April in Prague and took the floor to share how we are disseminating results in Spain through telling the story of the beneficiaries of the grants
NFP Communication Event	The NFP organized on 3rd June 2015 a great event to disseminate the Programmes' progress, first results and bilateral relations called "Small grants for big ideas. Promoting sustainable development. The EEA Grants in Spain", where the Operators presented the advances on their programmes and some notable projects were introduced. The event was promoted in the website. Photos of the event are still available: http://www.eeagrants.es/sitios/eeagrants/en-GB/Paginas/ps_ga.aspx The objectives of the event were met, with more than 150 attendees from the Programme Operators, project promoters and representatives from different Spanish Ministries, and it received media coverage at national level.
Press reports on the Event	http://www.europapress.es/sociedad/noticia-exitosos-resultados-fondos-espacio-economico-europeo-espana-20150603164115.html

	<p>http://www.que.es/madrid/201506031616-proyectos-espana-benefician-millones-euros.html</p> <p>http://www.telecinco.es/informativos/sociedad/Espana-benefician-invertidos-EEA-Grants_0_1997625390.html</p> <p>http://ecodiario.eleconomista.es/sociedad/noticias/6764162/06/15/Mas-de-400-proyectos-en-Espana-se-benefician-de-los-45-millones-de-euros-invertidos-a-traves-de-los-fondos-EEA-Grants.html</p> <p>http://noticias.lainformacion.com/interes-humano/sociedad/mas-de-400-proyectos-en-espana-se-benefician-de-los-45-millones-de-euros-invertidos-a-traves-de-los-fondos-eea-grants_CBQc5nYKgSfoSSRFy7qf91/</p>
Media appearances	<p>The Spanish projects funded by the EEA Grants 2009-2014 closed in December 2015, and most of them organized closing events and/or dissemination of results to the press. So, the result of the Programme Operators and NFP' communication work is that the EEA Grants in Spain continued receiving wide media coverage, not only taking into consideration the number of appearances but also the quality and circulation of the media. All media appearances of the EEA Grants in Spanish media can be seen here:</p> <p>http://www.eeagrants.es/sitios/eeagrants/en-GB/Paginas/eeagrantsprensa.aspx</p>
Publication "20 years of EEA Grants in Spain: 1994-2014"	<p>The NFP was working closely with the Norwegian Embassy in Spain to develop a publication about the results of 20 years of EEA Grants in Spain that was presented in June 2016 at the NFP mayor closing event. It highlights also the results of the 2009-2014 programmes:</p> <p>http://eeagrants.servidortemporal.net/EN/index.html#/spreads/1</p> <p>https://eeagrants.org/Media/Files/Country/Spain/20-years-of-cooperation-and-solidarity-Spain-1994-2014</p>
EEA Grants Closing Ceremony	<p>The achievements of the EEA Grants in Spain were celebrated at event held in Madrid on 9 June 2016. The event, organized by the Spanish Focal Point and the Norwegian Embassy, that brought together more than 150 persons, also served as a forum for taking stock of the last funding period, 2009-2014. The event served as a forum both for celebrating success, as well as looking towards continued collaboration in the future. It brought together representatives from the three donor countries, the Spanish public administration, programme operators and project beneficiaries. The Publication "20 years of EEA Grants in Spain: 1994-2014" was presented during this event.</p>

As far as results and quality are concerned, the Communication Review of the EEA and Norway Grants carried out by Coffey under supervision of the FMO, stated that the **Spanish NFP website** "has the best story section of any of the NFP websites, featuring plenty projects stories and photos, interviews with beneficiaries, results, etc., covering all programme themes. The website also includes one of the most elaborate and comprehensive and reader-friendly news sections of all the sites".

In addition, the **Programme Operators** carried out additional communication and dissemination activities in relation to their specific programmes, projects, bilateral activities and accompanying actions. Some examples are presented below:

Programme ES 02:

- CDTI corporate magazine “Perspectiva CDTI” published in 2015 one article about the Expert Seminar on Policy Making and R&D in Energy Efficiency, held on 22nd October 2014, as well as the list of projects funded from July to December 2014 that includes the projects funded through the second call.
- During 2015, an event was organized by the Programme Operator: “European financing mechanisms for R&D within the energy and environment sector”, with approx. 100 participants from Spanish and Norwegian companies.
- Funded Projects announce the support by the EEA Grants with an “EEA Grants sign” in the entrance of the office.



Programme ES 03:

- <http://www.plataformaong.org/ciudadaniaactiva/en/index.php> - The official website of the Programme had a total of 10,615 visits during 2015. Regarding the Social Media: Facebook has a total of 254 followers and Twitter, 683. Furthermore, 16 newsletters were sent to 4,321 subscribers.
- The project’s closing events and the research study “*Third Sector Social Action in Spain*” stirred the interest of a large number of stakeholders.

Programme ES 04:

- The programme (results and best practices) was presented during the Annual Meeting of the United Nations Commission on the Status of Women –CSW 59 in New York in 2015. It provided a wider dissemination to a broader international audience.

Programme ES 05:

- Website of the Centre: <http://centrofedericogarcialorca.es/> with more than 60,000 visits in 2017.

Programme ES 06:

- The Norwegian Embassy in Madrid organized and attended several events, including a press trip to Norway related to one of the project. Projects got echoed by important media both visual and written, not only Spanish but also Norwegian.

Programme ES 07:

- The NILS website is the most complete of the Programmes websites, with exhaustive information about the calls and resolutions. <http://www.nilsmobilityproject.es/>

5 SUMMARY LIST OF ISSUES AND LESSONS LEARNED

Overall, the implementation of the EEA Grants programmes has proved satisfactory. The objectives of the programmes, reflected in the outcomes and outputs, have been met and exceeded in most cases.

The analysis of final results and impacts shows that all programmes had tangible and sustainable effect with regard to the two general objectives of the EEA Grants, reducing socioeconomic disparities within Spain and compared to other EEA countries, and increasing bilateral relations between Spain and the Donor Countries.

Positive aspects highlighted by the NFP and the Programme Operator are:

- The EEA Grants have been well managed and coordinated by the NFP, even if the staff number was lower than initially foreseen due to internal re-structuring within the Ministry.
- The valuable support from intermediaries such as the Royal Embassy of Norway in Madrid or the office of Innovation Norway in Madrid. The on-going support and intermediation of these interfaces between the FMO, the Spanish Authorities and Donor Country organisations or potential partners has been crucial for the success of many programmes.
- The strict Management and Control systems have helped to facilitate programme management, to have a high level of transparency and to keep irregularities low. However, audits to projects and programmes were generally considered as too numerous (taking into account, that there are already strict MCSs and system audits, national controls, national audits, NFP audits, FMO audits) and sometimes over-dimensioned (with a too high number of samples, if sampling is applied).
- The Risk Management Plans also helped to identify risks before they could appear and to foresee mitigation measures in time.
- The collaborative approach (donor country partners also for the programme operators) helped to not only to stimulate bilateral action at project level, but also to establish fruitful cooperation and on-going partnerships at institutional and policy-making level. For example, the Spanish Technology Agency CDTI has transferred its experience with blended funding schemes to Norwegian institutions and is used as positive example for other beneficiary States (e.g. Romania, Bulgaria).
- The EEA framework helped to extend existing networks with (the usual) EU partners to new countries, new experiences and new markets. This has been considered an added value by many programme operators and projects promoters.
- Most programmes have achieved unexpected results from accompanying and/or bilateral activities that emerged during programme implementation. These activities have increased the overall impact of the programmes (beyond the aggregation of project results). For example, the elaboration of research on the Third Sector of Social NGO action in Spain has helped to analyse the sector and to define a better targeted Third National Strategy on Social NGO Action.

With regard to the negative aspects, the lack of time has been a recurrent theme during the implementation period. Most programmes started late, as the search for adequate programme operators and the negotiations between NFP, programme operators and FMO took longer than expected. It has to be added that the implementation modus of EEA Grants in Spain 2009-2014 changed compared to the previous period, so that relevant modifications in the coordination and management became necessary. This reduced the time for active implementation of project activities to one year or max. 2 years. This has to be considered as a very short period to produce meaningful impact and changes on socioeconomic or behavioural patterns.

Reaching the end of the funding period, the NFP and most programme operators mentioned that having had more time for the implementation and/or having the possibility to participate in a new funding period (2014-2021) would have helped to consolidate relationships with donor partners, to increase impact with a higher number of projects and to increase sustainability of the results in the long term.

Given the differences in population size and social needs, for some programmes it was difficult to find adequate donor country partners. The potential role of Iceland and Liechtenstein was rather limited from the beginning and also the size of Norway limits the availability of organisations in certain areas. For example, it was hard for NGOs from Programme ES 03 to find partner organisations in relevant fields that are less relevant in Norway (social exclusion, unemployment, third sector, Roma integration etc.).

As **lessons learned** from the Spanish EEA Grants 2009-2014, we can identify the following aspects:

→ With regard to overall **management and coordination of programmes**:

- Selection of adequate and **proactive programme operators** is essential to have effective implementation of an EEA Grants programme. Adequate programme operators have a good in-depth knowledge of the topic, the challenges of the specific target groups and are accepted as intermediary. They also have experience in managing funding schemes, ideally with EEA or EU funds. They have the capacity (man power, resources) to implement a multi-annual programme.
- **Preparatory measures** such as information events with final beneficiaries help to facilitate the launch of programmes and to have a fast programme start. This is particularly important when there is limited time for implementation of projects.
- **Synergies** between programmes can be helpful for all operators. For example, the Spanish Programme Operator of the Gender Equality programme in coordination with the NFP offered a seminar to all other programme operators on how to introduce the gender aspect in programme management and project implementation. All participants welcomed this initiative and even improved their internal procedures accordingly.

→ With regard to the specific implementation of individual programmes:

- A good **communication** strategy and targeted activities help to disseminate the programme and promote it among the potential beneficiaries.
- **On-site visits** to projects help to achieve better commitment to the projects and to increase visibility of project results. Projects shall be integrated in communication and dissemination activities as far as possible.
- NGOs and local stakeholders, due to their **local involvement**, usually present better results in awareness-raising campaigns than professional communication experts, as they know better the local fabric and the needs of potential beneficiaries and target groups.

6 ATTACHMENTS

The Strategic Report includes a number of attachments:

- a. Information Sources: References, List of Interviews, List of Visited Projects
- b. Activities of programmes to promote bilateral relations
- c. Intervention Logic of all Programmes
- d. Breakdown of applications received and projects selected/contracted.
- e. Information about donor partnership projects and a summary table for Spain.
- f. Outcome effectiveness per Programme and national average
- g. List of irregularities detected at national and programme level during the reporting period and the remedies taken
- h. List of irregularities detected at project level during the reporting period and the remedies taken.
- i. Overview of the monitoring and audit activities carried out in Spain, and a summary of the main findings.

Annexed as another document:

- Report: Impact Evaluation of Programme ES02. By Spatial Foresight GmbH. 2017.

A. Information Sources:

References and Literature

Programme documents by the Financial Mechanism Office (Brussels) and the National Focal Point (Spain):

- Rules and procedures for the implementation of the EEA Financial Mechanism
- Protocol 38a del Acuerdo de Ampliación del EEE, sobre el Mecanismo Financiero del EEE.
- Programme Agreements for Spain 2009-2014
- Manuals for Programme Managements and Control 2009-2014
- Final Programme Reports of all Programmes Spain 2009-2014
- Strategic Annual Reports EEA Grants Spain 2013-2016.
- Audit and Evaluation Reports for the period 2009-2014 in Spain (National Focal Point)
- Financial Mechanism: Evaluation Guideline. EEA and Norwegian Financial Mechanism 2009-2014
- The Results Reporting Framework: EEA and Norwegian Financial Mechanism 2009-2014

Other publications:

- Centro Federico García Lorca (2017): Activity Report 2017. Not published. ES 05.
- Instituto de la Mujer y para la Igualdad de Oportunidades (2016): Gender Equality and Work Life Balance – Co-Financed by the European Economic Area Financial Mechanism – Success, Transferable and Sustainable Stories, Madrid. ES 04.
- Plataforma ONG de Acción Social (2016): Sharing Lessons Learned from Active Citizenship. Madrid. ES 03.
- Plataforma ONG de Acción Social (2015): El Tercer Sector de Acción Social en 2015: Impacto de la crisis. Madrid. ES 03.
- Royal Norwegian Embassy in Spain and National Focal Point (Ministry of Finance and Public Administrations) (2016): 20 Years of Cooperation and Solidarity: EEA Grants in Spain 1994-2014.

List of Meetings and Interviews

Name	Institution	Position	Programme	Date and Type of Interview
Moisés Blanco Maceiras, Lidia García Irazábal	Ministerio de Hacienda y Función Pública	Deputy Director Territorial Cooperation, DG EU Funds	NFP, ES 01	2 Meetings, 18 July 2017 and 26 September 2017
Luis Enrique San José Andrés Ubierna	CDTI	Head of Analysis and Investments Department, Head of Communication	ES 02	Meeting, 25 July 2017
Susana Rodríguez	CDTI	Programme Manager	ES 02	Meeting, 26 September 2017

Regulations on the implementation of the EEA and Norwegian Financial Mechanisms 2009-14
Final Strategic Report

Name	Institution	Position	Programme	Date and Type of Interview
María Luisa Gómez Crespo	Plataforma ONG	Director	ES 03	Phone Interview, 18 September 2017
Begoña Suárez Suárez	Instituto de la Mujer y para la Igualdad de Oportunidades	Deputy Director Female Entrepreneurship and Promotion	ES 04	Phone Interview, 18 September 2017
Ana Santo Tomas	Ministerio de la Cultura	Programme Manager	ES 05	Meeting, 27 September 2017
Eva Puig Syversen	Norwegian Embassy in Madrid	Advisor	ES 06	Phone Interview, 18 September 2017
Marta Arregi	Universidad Complutense de Madrid	Advisor to the Vice-Director of Academic Policy and Research	ES 07	Phone Interview, 18 September 2017

List of on-site visits to beneficiaries of Programme ES02

Company	Name of Project	City	Programme	Date and Type of Visit
ESTEYCO	Development of a Braced Precast Concrete Foundation for Wind Turbines	Madrid	ES02	In-situ visit and interview, 25 September 2017
ORBITAL Critical Systems	Remote, Open, Predictive Maintenance Based on Real-Time Critical Software for Offshore Windfarms	Pamplona/ Madrid	ES02	In-situ visit and interview, 27 September 2017
SERECO GESTION SL	Remediation of Soils with Radiological Isotopes and Decommissioning Materials from Radiological Facilities	Santander	ES02	In-situ visit and interview, 28 September 2017
INGETEAM	High Efficient Electric Distribution System for Marine Applications	Bilbao/ Zamudio	ES02	In-situ visit and interview, 29 September 2017

B. Activities of programmes to promote bilateral relations

Bilateral relations at national and programme level

Programme	Bilateral Actions and complementary activities with donor countries partners
National coordination and Multi-Programme	<p>2014: Programme Operator for ES03 (NGO Fund), in cooperation with the Programme Operator for ES04 (Gender), The Spanish Youth Institute (Injuve), Council of Europe (CoE) and the Norwegian Embassy in Madrid organised the No Hate Conference in Madrid in November 2014. In this environment, the Norwegian Embassy in Madrid planned and produced a short documentary promoting the No Hate Movement that was presented at the No Hate conference (https://vimeo.com/112261718).</p> <p>2015-2016: Development and launching of the publication "20 years of cooperation and solidarity. Spain 1994-2014", jointly by the Norwegian Embassy and the NFP.</p> <p>2016: EEA Grants Spain Closing Ceremony by the NFP.</p>
ES 02 Environmental and Climate Change-related Research and Technology	<p>2012: Study tour to Norway: promoting Spanish-Norwegian bilateral cooperation. A Seminar on Applied Research & Development in the Renewable Energy sector took place in Bergen and Trondheim on the 2th and 3th of October 2012.</p> <p>2012: "Promoting Spanish Norwegian bilateral cooperation through the EEA Grants 2009-2014. Seminar on Applied Research & Development in the Renewable Energy Sector". Hold on CDTI (Madrid), on the 12th April 2012.</p> <p>2014: "Expert Seminar on Policy Making and R&D in Energy Efficiency". Hold on CDTI premises the 22nd of October 2014</p> <p>2014: Field trip to Norway by five people from CDTI to meet relevant personnel from Innovation Norway and the Research Council of Norway (RCN) in Oslo and visit to Trondheim to SINTEF and NTNU.</p> <p>2015: Study visit of Innovation Norway to CDTI "Competence exchange between the Spanish (CDTI) and the donor states innovation agencies" on 10th and 11th November 2015, in CDTI premises.</p> <p>2015: Event "European financing mechanism for R&D within the energy and environment sector", on 19th November 2015</p> <p>2016: Investment Forum in Green Technologies organized by CDTI along with its donor partner, Innovation Norway, with the presentation of 13 Spanish and Norwegian technology based start-ups and their projects within the thematic areas of environment, energy efficiency, renewable energies and climate change to investors.</p> <p>2016: Closing Programme event "European financing opportunities for R&D within the energy and environment sector and EEA Grants experiences". An event to present the results of the EEA Grants Programme as well the funding opportunities within the Horizon 2020 calls and celebrate B2B meeting between donor countries and Spanish companies. 18th October 2016.</p> <p>In addition: more than 45 bilateral meetings between institutions or companies from Spain and donor countries.</p>

Programme	Bilateral Actions and complementary activities with donor countries partners
ES 03 NGO Fund "Active Citizenship Programme"	<p>2014: International Conference "Together against Hate Speech and Hate Crime: Innovative partnership initiatives between governments, civil society and international organisations" held on 27 November 2014 in Madrid with 200 participants.</p> <p>2015: Study visits to Norway (3 NGOs visited 3 NGOs)</p> <p>2015: Seminar "Intercultural Coexistence in Europe: diversity management models", held on 18 June in Madrid with NGOs from Spain, Latvia and Portugal.</p> <p>2015: Thematic seminar: "Strategic alliances to improve NGO results" held on 1st October, 2015 in Madrid</p> <p>2015: Elaboration of a Study "Third Social Action Sector in Spain" The presentation was hold on 27 November with more than 150 attendees, including programme operators and project promoters from Lithuania, Cyprus and Romania.</p> <p>2015: 2 complementary actions (seminars in Madrid) with 2 donor partnership projects: eCitizen promoted by Siderurgia Integral Workers Foundation, No Hate Speech Network led by the FELGTB.</p> <p>2016: A final programme event was held on 17th March 2016.</p>
ES 04 Gender equality and work-life balance	<p>2014: Kick off meeting of a bilateral exchange program between the Norwegian Equality and Anti-Discrimination Ombud (LDO) and the Spanish Council for the Promotion of Equal Treatment and Non-Discrimination on the Grounds of Racial or Ethnic Origin (the Council).</p> <p>2015: "Adding Talent - Labour inclusion of victims of gender-based violence - Exchange of good practices Spain-Norway" took place on the 1st June 2015, in Madrid. Over 90 participants attended the conference to hear from a variety of Spanish and Norwegian committed speakers.</p> <p>2015: The "Oslo Conference" took place in Oslo & Sør-Odal (Norway) on the 17-18 September 2015.</p> <p>2015 and 2016: Two expert groups were established in Norway and Spain to discuss the situation of Roma, Romani and Gypsy women, including different policies and practices. 3 bilateral meetings: Study visit: Women's Association of Agrifood Cooperatives of Spain, in collaboration with Federation of Norwegian Agricultural Cooperatives to Norway. Study visit: Norwegian delegation participated in the Technical Seminar "Cooperative woman talent management" in Madrid.</p> <p>2016: Presentation of the project results and a final report published.</p> <p>2016: Conference "Towards gender balance in business leadership: opportunities and challenges" was held on March 31, attended by about 200 people, including decision making persons in Norwegian and Spanish business worlds.</p> <p>2016: Study visit to Spain from a Roma and Romani women Norwegian delegation took place on April 2016 in order to further deepen in the so-called "Spanish model of socio-labour integration of Roma people</p>
ES 05 Conservation and Revitalisation of Cultural and Natural Heritage	<p>2014: The Spanish Ministry for Education, Culture and Sports (MED) organized a work meeting between the Spanish and Norwegian cultural delegations in Oslo with the aim to establish contacts between subsectors and explore opportunities for collaboration.</p> <p>2014: Cultural Industries Forum: Finished. First Forum in Barcelona June 25th -27th and Second in Oslo on 16th-17th October.</p> <p>Initially planned 2015: European Conference on Artistic Freedom of Expression and Cultural exchange with Norway entities (cinema, design...) study tour. However, the complex situation of the ES 05 Programme (up to December 2015) with the Programme Operator trying to solve the problems related to the pre-defined project in order to guarantee the objectives' accomplishment made it impossible to implement additional bilateral activities.</p>

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Programme	Bilateral Actions and complementary activities with donor countries partners
ES 06 Cultural diversity and Cultural exchange	<p>2013: Bilateral seminar for selected projects held on 10 October 2013 in Madrid.</p> <p>2014: Press trip to Norway from 5 to 7 March 2014. The Embassy, in collaboration with the project promoter for Contemporary Theatre Speaking (ES06-0004) organized a press trip to Norway for three selected Spanish journalists.</p> <p>2014: Closing event in Madrid in December “Exploring possibilities for future cultural cooperation – Spain and Norway, Iceland and Liechtenstein” organized by the Royal Norwegian Embassy in Spain.</p> <p>2015: Comparative analysis of the Norwegian and Spanish welfare state models, carried out by Spanish and Norwegian researchers under the umbrella of the Spanish National Research Council (CSIC). Presentation of the report in Madrid with the eight researchers (five Spanish and three Norwegian) involved.</p> <p>2016: two bilateral relations at project level were developed: project “Her/Story. Two women behind the camera” and project “Contemporary Theatre Speaking”.</p>
ES 07 EEA Scholarship Programme	<p>All projects are in cooperation with a partner from donor countries.</p> <p>Complementary Action in 2015: Summer School entitled “Women in Science: reflections and perspective from the Northern and Southern Europe and United States” was held June/July 2015 at El Escorial (Spain).</p> <p>2016: A closing event was held including success stories and future opportunities in the scientific collaboration between Norway, Iceland and Spain, with the attendance of representatives from the three donor countries.</p>

Source: Annual Strategic Reports, Final Programme Reports and DORIS database

C. Intervention logic of all programmes

Intervention Logic and Result Chain per Programme

Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
ES02 Environmental and Climate Change-related Research and Technology	Support to projects that generate and transfer knowledge with regard to environmental technologies, Climate Chance and energy efficiency, renewable energies.	<ul style="list-style-type: none"> Increased number of enterprises producing innovation in the targeted sector. Knowledge transfer from universities and research institutions. 	<ul style="list-style-type: none"> Number of enterprises funded under this Programme Number of contracts with universities/research centres in funded projects 	<ul style="list-style-type: none"> Increased development and application of technology that benefits the environment 	<ul style="list-style-type: none"> Contribute to reducing emissions of greenhouse gases. Contribute to increasing the share of renewable energies. Contribute to increased energy efficiency in Spain.
ES03 NGO Fund “Active Citizenship Programme”	Supporting Spanish NGOs in order to carry out the following activities: a) Fostering active citizenship and participatory democracy, including grassroots/local level b) Advocacy, watchdog and monitoring activities c) Awareness raising activities d) Multicultural dialogue activities	<ul style="list-style-type: none"> Active citizenship fostered: 13 projects Increased involvement of NGOs in policy and decision-making processes with local, regional and national governments: 9 projects Cross-sectoral partnerships developed, particularly with government organisations at local, regional and / or national level: 5 projects Developed networks and coalitions of NGOs 	<ul style="list-style-type: none"> Awareness-raising campaigns on participation of civil society Cross-cutting cooperation between NGOs of different sectors at local level Existing cross-cutting networks influence decision making process New cross-cutting coalitions created New initiatives of cooperation between NGOs and other actors Cross sectorial institutional consultative 	<ul style="list-style-type: none"> Active citizenship fostered Increased involvement of NGOs in policy and decision-making processes with local, regional and national governments Cross-sectoral partnerships developed, particularly with government organisations at local, regional and / or national level 	<ul style="list-style-type: none"> Contribute to strengthening civil society development and enhance its contribution to social justice, democracy and sustainable development in Spain. Contribute to reduce the share of people at risk of poverty or social exclusion in Spain

Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
	<p>e) Participation in policy and decision making processes</p> <p>f) Capacity building and organizational support to NGOs</p> <p>g) Strengthening governance in membership based NGOs</p> <p>h) Network and coalition building</p> <p>i) Mutual learning and dissemination</p> <p>j) Education and training activities</p>	<p>working in partnership:11 projects</p>	<p>bodies at regional and local level, new bodies and cooperation agreements.</p> <ul style="list-style-type: none"> • Coalition mechanism created and competitiveness gained • Mergers between organizations in the same field 	<ul style="list-style-type: none"> • Developed networks and coalitions of NGOs working in partnership 	
ES04 Gender equality and work-life balance	<p>Support to public organisations to improve institutional coordination and implementation of an individualised plan of care for victims of domestic violence</p> <p>Support to NGOs to promote women´s entrepreneurial attitude, reducing gender pay gap within companies, activities addressing women in vulnerable groups</p>	<p>OUTCOME AREA 1:</p> <ul style="list-style-type: none"> • More actors involved in policy making incorporate gender equality perspective in their work/policies. • Schools in the primary educative level practice better gender equality. • Conditions for female entrepreneurship improved • Female entrepreneurial activity increased • Labour market accessibility for women in vulnerable groups (mainly 	<ul style="list-style-type: none"> • Number of policy makers sensitized to gender equality • Number of schools with equality models designed, implemented and evaluated • Number of training modules to promote female entrepreneurship developed and implemented • Number of municipalities with improved conditions for female entrepreneurship 	<ul style="list-style-type: none"> • Gender issues across policies and practices mainstreamed • Gender balance on company boards improved • Balance between work, life and family life improved • Successful national policies and best practices on gender equality exchanged • Gender pay gap reduced 	<ul style="list-style-type: none"> • Contribute to reduce persisting gender gaps in Spain, with special focus on gender equality in employment

Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
		<p>Roma and immigrant women) improved</p> <p>OUTCOME AREA 2:</p> <ul style="list-style-type: none"> • Initiatives to improve gender balance in managerial positions and company boards developed and implemented • Company boards with gender balance improved <p>OUTCOME AREA 3:</p> <ul style="list-style-type: none"> • Work life balance at local level improved 	<ul style="list-style-type: none"> • Number of initiatives for identifying, selecting and assessing business opportunities addressed to increase women entrepreneurship • Entrepreneurial activity rate • Number of training modules to promote labour market accessibility for women in vulnerable groups developed and implemented • Number of women from vulnerable groups participating in activities to improve their labour market accessibility • Number of training modules to improve women's managerial skills developed and implemented • Number of company boards with improved gender balance 		

Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
		<ul style="list-style-type: none"> • Flexible working arrangements for women and men improved <p>OUTCOME AREA 4:</p> <ul style="list-style-type: none"> • Good practices and knowledge on policies related to gender-based violence exchanged between Spain and Norway • Good practices and knowledge on policies related to gender-based violence implemented <p>OUTCOME AREA 5:</p> <ul style="list-style-type: none"> • Raised awareness on the need of reducing pay gap within the companies and promoting equal pay • Best practices, measures and initiatives on reducing the gender pay gap, exchanged between Norway and Spain 	<ul style="list-style-type: none"> • Number of municipalities implementing work life balance plans. • Number of flexible working arrangements introduced • Number of good practices transferred • Number of self-governing regions implementing good practices and knowledge on policies related to gender-based violence • Number of awareness raising initiatives on the gender pay gap implemented • Number of best practices transferred • Number of peer reviews organised 		
ES05 Conservation and Revitalisation of Cultural and Natural Heritage	Support to one predefined project: “Federico Garcia Lorca Centre in Granada, Andalusia – Equipment	<ul style="list-style-type: none"> • New museums and cultural centres • Objects of cultural heritage value made accessible to the public 	<ul style="list-style-type: none"> • Number of new cultural centres developed providing access to Spanish cultural heritage 	<ul style="list-style-type: none"> • Stimulate and promote the conservation of the Federico Garcia Lorca Archive 	<ul style="list-style-type: none"> • Contribute to the safeguarding and conserving of cultural and natural heritage for future

Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
	and implementation of the activity plan (events, exhibitions, didactic programme for children, cultural activities etc.)”	<ul style="list-style-type: none"> • Cultural heritage made accessible provided by the Programme Operator to the public • Increased access to cultural heritage • Promote Activities to produce and diffuse cultural heritage • Dissemination of the activities of the Centro Federico Garcia Lorca. 	<ul style="list-style-type: none"> • Number of objects of cultural heritage value made accessible provided by the Programme Operator to the public • Number of annual visits to the Federico Garcia Lorca Centre provided by the Programme • Increased access to cultural heritage • Number of annual students visiting the Federico Garcia Lorca Centre provided by the Programme. • Number of annual players of cultural Activities to make cultural heritage • Annual number of press mentions related to Centro Federico Garcia Lorca. • Annual number of mentions on the web related to Centro Federico Garcia Lorca. 	<ul style="list-style-type: none"> • Actively promote strategies and policies to increase public awareness about this heritage; • Contribute to children’s access to culture for example; • Provide space and support for high profile exhibitions, events and cultural activities; • Promote bilateral cultural cooperation between cultural players from Spain, Iceland, Liechtenstein, and Norway 	generations and to making this heritage publicly accessible
ES06 Cultural diversity and Cultural exchange	Support to projects in which different artists and artistic branches are interrelated	<ul style="list-style-type: none"> • Contemporary art and culture presented and reaching a broader audience 	<ul style="list-style-type: none"> • Number of cultural performances held • Number of collaborative projects in the framework of the Programme 	<ul style="list-style-type: none"> • Extended cultural exchange between Spain and Donor countries through projects in which different artists and 	<ul style="list-style-type: none"> • Contribute to a better and broader access to contemporary art and culture

Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
			<ul style="list-style-type: none"> Number of training and exchange between cultural entities, associations and mobility in the framework of the Programme 	artistic branches are interrelated.	
ES07 EEA Scholarship Programme	Provide opportunities to the students, master students and researchers at different stage of theirs careers to carry out projects under the general scope of "Science and Sustainability"	<p>Outcome area 1:</p> <ul style="list-style-type: none"> HE mobility programme promoted effectively among institutions and beneficiaries selected on a competitive basis Agreements for HE student and staff mobility formalized / existing agreements enhanced <p>Outcome area 2:</p> <ul style="list-style-type: none"> Joint projects identified and implemented by partner institutions Mobility programme for institutional cooperation effectively implemented 	<ul style="list-style-type: none"> Increased awareness among HE institutions Number of mobility project applications received by PO Number of promotional events where EEA/NRW Grants scholarship programme was presented. Agreements for HE student and staff mobility formalized / existing agreements enhanced Number of bilateral partnership agreements Number of projects Number of institutional cooperation project applications received by PO Number of promotional events where EEA/NRW Grants scholarship programme was presented. 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Contribute to increase total investment in R&D in percentage of GDP in Spain Contribute to increase the number of full-time employed (FTE) researchers in relation to the working population in Spain

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Programme	Activities	Outputs	Output Indicator	Outcomes	Objective
			<ul style="list-style-type: none">• Number of education faculty/teaching staff.• Number of collaborative research groups.		

Source: Final Programme Reports, Annual Strategic Reports and DORIS database

D. Breakdown of applications received and projects selected/contracted

No. of applications and projects supported per Programme

Programme	No. of received applications	Of that with Partnership component	No. projects contracted	No. of projects finalised (paid)
ES 02 Environmental and Climate Change-related Research and Technology	339	80	189 contracts to develop 174 different projects	167 contracts to develop 153 different projects
ES 03 NGO Fund "Active Citizenship Programme"	236	9	40	38
ES 04 Gender equality and work-life balance	240	17	71	70
ES 05 Conservation and Revitalisation of Cultural and Natural Heritage	1	0	1	1
ES 06 Cultural diversity and Cultural exchange	141	98	29	27
ES 07 EEA Scholarship Programme	159	159	116	112
TOTAL Spain 2009-2014	1160	460	446	415

Source: Final Programme Reports and DORIS database

E. Information about donor partnership projects and a summary table for Spain

Donor Partnership Projects per Programme

Programme	Donor Partnership Projects (A)	No. Projects contracted (B)	In % (A/B)
ES 02 Environmental and Climate Change-related Research and Technology	43*	167*	25.7*
ES 03 NGO Fund "Active Citizenship Programme"	2	40	5.0
ES 04 Gender equality and work-life balance	17	70	24.3
ES 05 Conservation and Revitalisation of Cultural and Natural Heritage	0	1	0
ES 06 Cultural diversity and Cultural exchange	12	29	41.4
ES 07 EEA Scholarship Programme	104	115	90.4
TOTAL Spain 2009-2014	183	443	31.8

* Final figures, excluding projects/contracts cancelled during implementation.

Source: Final Programme Reports and DORIS database

F. Output Effectiveness per Programme and National Average

Output Effectiveness per Programme and National Average

Programme	Output Indicator	Outputs Achieved	Initial Target	Effectiveness in %
ES 02	Number of enterprises funded under this Programme	167	60	278%
	Number of contracts with universities/research centres in funded projects	135	10	1350%
ES 03	Awareness-raising campaigns on participation of civil society	10	10	100%
	Cross-cutting cooperation between NGOs of different sectors at local level	11	10	110%
	Existing cross-cutting networks influence decision making process	3	1	300%
	New cross-cutting coalitions created	4	4	100%
	New initiatives of cooperation between NGOs and other actors	5	4	125%
	Cross sectorial institutional consultative bodies at regional and local level:			
	- Bodies created:	3	5	60%
	- Cooperation agreements	16	4	400%
	Coalition mechanism created and competitiveness gained	5	5	100%
	Mergers between organizations in the same field	4	4	100%
ES 04	Number of policy makers sensitized to gender equality	13	5	260%
	Number of schools with equality models designed, implemented and evaluated	9	6	150%
	Number of training modules to promote female entrepreneurship developed and implemented	31	25	124%
	Number of municipalities with improved conditions for female entrepreneurship	7	5	140%
	Number of initiatives for identifying, selecting and assessing business opportunities addressed to increase women entrepreneurship	31	30	103%
	Entrepreneurial activity rate	5.2	6	87%
	Number of training modules to promote labour market accessibility for women in vulnerable groups developed and implemented	25	15	167%
	Number of women from vulnerable groups participating in activities to	3760	150	2507%

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Programme	Output Indicator	Outputs Achieved	Initial Target	Effectiveness in %
	improve their labour market accessibility			
	Number of training modules to improve women's managerial skills developed and implemented	5	3	167%
	Number of company boards with improved gender balance	73	50	150%
	Number of municipalities implementing work life balance plans.	16	20	80%
	Number of flexible working arrangements introduced	25	20	125%
	Number of good practices transferred	5	2	250%
	Number of self-governing regions implementing good practices and knowledge on policies related to gender-based violence	10	3	333%
	Number of awareness raising initiatives on the gender pay gap implemented	38	8	475%
	Number of best practices transferred			
	Number of peer reviews organised	5	3	167%
		5	3	167%
ES 05	Number of new cultural centres developed providing access to Spanish cultural heritage	1	1	100%
	Number of objects of cultural heritage value made accessible provided by the Programme Operator to the public	0	2 000	0%
	Number of annual visits to the Centre Federico Garcia Lorca (CFGL) provided by the Programme	6640	300 000	2,2%
	Number of annual students visiting the CFGL provided by the Programme.	n/a	10 000	n/a
	Number of annual players of cultural activities to make cultural heritage	n/a	n/a	n/a
	Annual number of press mentions related to CFGL.	16	80	20%
	Annual number of mentions on the web related to CFGL	n/a	2 000	n/a
ES 06	Number of cultural performances held	70	10	700%
	Number of collaborative projects in the framework of the Programme	27	12	225%
	Number of training and exchange between cultural entities, associations and mobility in the framework of the Programme	27	12	225%
ES 07	Total number of joint products and services	150	70	214%
	Number of joint papers/articles/publications/reports in	110	40	275%

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Programme	Output Indicator	Outputs Achieved	Initial Target	Effectiveness in %
	preparation/submitted, including those for peer reviewed academic journals			
	Number of seminars /conferences/workshops organized	150	60	375%
	Evidence of forecasted/further cooperation	n/a	15	n/a
Spain 2009-2014	Overall Effectiveness			331.92%

Source: Final Programme Reports and DORIS database

G. List of irregularities detected at national and programme level during the reporting period and the remedies taken

Final list of irregularities at National and Programme level as of November 2017

Irreg. NFP #	Status	Progr. ID	Provisions infringed	Irregularity description	Measures Taken
ir-01	Open PO. Close NFP 07/2014	ES02	MCS: 4.a) Procedures for registration and accounting of programme expenditures.	There has been a different criterion in the calculation of staff costs of CDTI	New calculation of staff costs implemented and deployed between staff. Financial corrections have been deducted in IFR3.
ir-02	Close FMO 10/2014	Country level	Regulation: 8.3.5, Interim Financial Report deadlines	IFR#2 delivered on July 14, after the eight-month time deadline	New alert system is defined and implemented as alarms set on MS Outlook agenda
ir-07	Open AA - Close FMO 07/2015	ES03	Regulation: 7.10, Eligibility of management cost incurred by Programme Operator, and 7.3.1.c)	Personal Computers (3) included as eligible costs	Budget recovered in IFR#5 (Sept-Dec 2014). As a preventive measure, management team and accounting responsible were instructed.

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Irreg. NFP #	Status	Progr. ID	Provisions infringed	Irregularity description	Measures Taken
ir-08	Open AA. Close NFP 25/2/15. Close FMO 31/8/15	Country level	Regulation: 7.12.7, Technical assistance to the Beneficiary State.	Invoice of translation services for the MoU, included in IFR#1, dated before the last signature of the MoU, makes it non-eligible	The budget wrongfully allocated is recovered in IFR#4. The irregularity is not expected to be recurrent since there are no new invoices previous to the eligibility period.
ir-09	Open AA. Close FMO 31/8/15	ES07	Regulation: 7.10.1, Eligibility of management cost incurred by Programme Operator	The staff costs for the month of June 2013 included days from 1 to 3 June. The programme start date was 4 June.	Budget to be recovered in next IFR#6 (Jan-Apr 2015)
ir-10	Open AA. Close FMO 31/8/15	ES07	Regulation: 7.4.1.b, Indirect costs in projects (overheads).	The audit authority established the criteria of declaring the overheads as a flat rate of the declared direct costs in each IFR. The PO had declared such overheads in another way, and always respecting the flat rate agreed in the programme agreement. For the calculation of the indirect costs, the UCM has opted, pursuant to Clause 1.3 "Special rules on cost eligibility" in Appendix 2 of the Programme Agreement (PA), for the proportional system reflected in article 7.4.1.b of the Regulations, where the percentage set in the said rule is 20% of the total direct costs. The verified direct costs come to € 8,139.78 so the indirect costs to be attributed would be € 1,627.96.	Budget to be recovered in next IFR#6 (Jan-Apr 2015). The method for declaring the overheads imposed by the audit authority is being used.
ir-14	Open PO. Close FMO 31/8/15	ES04	Typing mistake	In the IFR#1, an invoice amounting 21,129 euros was declared as eligible (PO management costs) when the right amount should have been 21,122 euros. This was due to a typing mistake	Although PO has not received the final audit report, expenditure wrongfully declared was reduced in the IFR#5

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Irreg. NFP #	Status	Progr. ID	Provisions infringed	Irregularity description	Measures Taken
ir-19	In Review	ES05	Irregularity 1: 11.4.a. Irregularity 2: 11.4. c Irregularity 3: 11.4.c Irregularity 4: 11.4.c	<u>Irregularity 1</u> : J. T. M., the Secretary of FGL Foundation has been formally accused of misappropriation and falsehood in documents. The FGL has several debts with public Administration and private companies. <u>Irregularity 2</u> : Final amount of funds transferred from the EEA Grants rises to 3,482,007 €, so the Consortium will not submit a proposal for the transfer of the total EEA Grants contribution of 3,863,280 € set for the pre-defined Project. <u>Irregularity 3</u> : Total amount of the pre-defined project, 6,075,000 €, there has not been a mismanagement of the EEA Grants, but a bad planning. With regard to the 1,530,000 € to be provided and spent by the Consortium, and 681,750 € to be provided by the MECD through PGE. <u>Irregularity 4</u> : Reduction of the cultural activities in relation to the first programme approved. The Centre was finally opened on 29 July, 2015, the cultural activities were developed in only four months with the resulting managing and programming difficulties. On 9 October, 2015, the Programme Operator complying with the requirements of the NFP and the FMO. The entities members of the Consortium will complete the cultural programme, these will be allocated in the Consortium Budget.	n.a.
ir-20	CA Closed	ES01	Regulation, article 8.1.5, Common rules for payments.	The incurred expenses were considered as payments made by the PO, following the meeting in Brussels on 29.10.2015 between the FMO and the CA, the criteria for incurred expenses was specified to be the transfers from the Spanish Treasury to the Operator's account (NFP, CA, AA, BRNL)	The measures to remedy the irregularity were taken in IFR#6 decertifying 40.907€. The irregularity is not expected to be recurrent since the present criteria for incurred expenditures follows the Regulation and the FMO interpretation.
ir-28	Open AA In review Update	ES04	Regulation, 7.1.a. Miscalculation	The certification of expenditure for a given task reflects a percentage of dedication of the Deputy Director of 85% while in the Management and Control Systems, the percentage is 75%. This additional amount of 10% has not been justified and is therefore an ineligible expenditure	Program Operator will reduce this amount in the next IFR. Other expenditures are being doubled checked in order to make sure they all comply with eligibility rules.

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Irreg. NFP #	Status	Progr. ID	Provisions infringed	Irregularity description	Measures Taken
ir-30	Open PO Closed	ES02	Article 4.a) Procedures for registration and accounting of programme expenditure of Management and control system of CDTI	Slightly different criterion in the calculation of staff costs of CDTI coexisted during 2013 and the beginning of 2014. This has produced some mistakes that have been discovered in June 2014, after the approval of the Management and Control System of CDTI, and that imply some small changes in the amounts reported in IFR1 and IFR2.	A new calculation of staff costs of IFR1 and IFR2 has been done, and the differences have been deducted in IFR3. The people involved in staff costs calculation have been informed about the mistakes and the common methodology.
ir-31	Closed	ES04	Regulation, 7.1.a. Miscalculation	The amount of 38.744€ was wrongly incurred since was not taken into account the suppression of extra officials paid to the civil servant in Spain in December 2012. This amount was decertified in IFR6	Program Operator will reduce this amount in the IFR6. Other expenditures are being doubled checked in order to make sure they all comply with eligibility rules.

Irreg. NFP #	Status	Progr. ID	Provisions infringed	Irregularity description	Measures Taken
ir-32	Closed	ES03	Regulation, 7.4,1	<p>The FMO commissioned an audit of the programme which was finalised in February 2016. The audit reveals an issue related to the calculation of direct costs. According to Article 7.4.1 of the Regulation, two methods are available for calculating indirect costs. The project contracts concluded by the PO only foresee the second method, i.e. a flat rate of up to 20% of the project promoters and partners' total direct eligible costs.</p> <p>When reviewing the first interim financial reports submitted by project promoters, the auditors notices that they did not claim indirect costs based on this second method, but that, instead, they claimed costs on an invoice-by-invoice basis, applying a percentage of the total value of the invoice, i.e. using a rule applied under Spanish national accounting rules.</p> <p>As a result, for the sample of projects checked by the auditors, it appeared that ten projects had a net underclaim of €5,668 (the PPs claimed €14,425, but should have claimed €20,093 based on the 20% flat rate rule).</p> <p>The auditors reported that the PO sought the advice of an external audit firm and, in November 2014, sent new instructions to all project promoters, where they offered several options for claiming indirect costs to PPs.</p> <p>The auditors recommend that the PO reduces the number of options and only use the flat rate of up to 20% of the of the project promoters and partners' total direct eligible costs.</p>	No Remedies required

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Irreg. NFP #	Status	Progr. ID	Provisions infringed	Irregularity description	Measures Taken
ir-35	Closed	ES03	It is an infringement of the provisions of the Regulation 7.2.3	The amount of €7,437 was mistakenly reported in the Seventh IFR instead of Final Balance because two invoices of total amount of 7,437 euros were paid in September instead of August. The financial consequence is to remove the 7,437 euros from the Seventh IFR. As the expense of these invoices are eligible and it has been included both invoices in the Final Report, it is not required other additional financial correction.	<p>The expenditure have been included in the Final Report and it will be remove from the Seventh IFR, but any other financial correction is required.</p> <p>Because the Programme finished on March 2016, no further measure will be taken by the Programme Operator.</p>

Source: National Focal Point irregularities tracking file

H. List of irregularities detected at project level during the reporting period and the remedies taken

Final list of irregularities at project level as of November 2017

Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
ir-03	Open PO 24/11/2014. Close NFP 02/2014	ES03	¡Actívate! Si te paran, no te pares. Facilitando la participación política de jóvenes en riesgo de exclusión social	Regulation Article 11.7.1.(c)	No justification for expenditure presented by the project between project start and the 31st of July 2014	Internal controls and fulfilments as foreseen by the Management and Control System and an external audit for confirmation, to be realised. First internal control has been completed: quarterly technical revision of the project, financial control and coordination (24/9/2014). Request and control of the reply (09/10/14). Second control by external auditors: review of records (completed, 13/11/14) and visit on site (09/12/14).
ir-04	Open PO	ES02	IDI-20140068. CYES INFRAESTRUCTURAS	Article 11.7 (a) of the Regulation	The project promoter will not implement the project because of bankruptcy	CDTI has sent, on 23/09/14 a letter of termination of the contract. The company has been required to pay back the advance payment within 30 days. The amount of 19.957,31 was certified in IFR3 and reduced in IFR5.

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Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
ir-05	Open PO	ES02	IDI-20140069. IBERPORT CONSULTING	Article 11.7 (a) of the Regulation	The company developed the project in consortium with the company CYES INFRAESTRUCTURAS (IDI-20140068), in bankruptcy.	CDTI has sent, on 7/01/15 a letter of termination of the contract. The company has been required to pay back the advance payment within 30 days. The amount of 12.454,05 was certified in IFR3 and reduced in IFR5.
ir-06	Open PO. Close NFP 25/02/2015	ES02	IDI-20140014. PROYECTOS TECNOLOGICOS DE NAVARRA	Article 11.7 (b) of the Regulation	The project promoter has renounced to the aid because it has obtained an incompatible aid from other public administration.	CDTI has sent, on 26/01/15 a letter of termination of the contract.
ir-11	Open PO. Close NFP 25/02/2015	ES02	IDI-20140107. MONDRAGON SISTEMAS DE INFORMACION	Article 11.7 (b) of the Regulation	The project promoter has renounced to the aid due to delays in obtaining data needed for the project, which can't be recovered because of the impossibility to get a deadline extension in the EEA Grants Programme, as well as due to financial difficulties.	CDTI has sent, on 10/02/15 a letter of termination of the contract.
ir-12	Open PO. Close NFP 25/02/2015	ES02	IDI-20140082. SENDEKIA	Article 11.7 (b) of the Regulation	The project promoter has renounced to the aid due to financial issues and to the results obtained from the testing carried out.	CDTI has sent, on 18/11/14 a letter of termination of the contract.
ir-13	Open PO. Close FMO 31/8/15	ES04	PdP1: Equality plans in schools project, a practical tool for education	Article 7.2.2(a) of the Regulation	Clause 6 of Project Contract provides that expenses must be between June 20, 2013 and December 31, 2015, however in the IFR 2 it has been declared expenses before June 20, 2013	Although PO has not received the final audit report, expenditure wrongfully declared was reduced in the IFR#5

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Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
			based on equality			
ir-15	Open PO	ES02	IDI-20140019. CONSULTORIA TECNOLÓGICA PARA EL COMERCIO	Article 11.7 (a) of the Regulation	The project promoter will not implement the project because of bankruptcy and non-payment of loans from other projects signed with CDTI.	CDTI has sent, on 11/02/2015 a letter of termination of the contract. The company has been required to pay back the advance payments within 30 days. The amount of 24.633,15 was certified in IFR3 and reduced in IFR5.
ir-16	Open PO. Close NFP 25/02/2015	ES02	IDI-20140052 ABACCUS SOLUCIONES E INNOVACION	Article 11.7 (a) of the Regulation	The project promoter will not implement the project because of bankruptcy	CDTI has sent, on 29/01/15 a letter of termination of the contract.
ir-17	Open PO	ES03	CA-145. Agra Civis. Ecos do Sur	Not irregularity but low level of implementation.	Low level of implementation, continues to be unsolved as of 2 nd quarter 2015. On top of a low level as of Q1, about 50% of the foreseen amount were covered by justifications as of Q2 2015.	Even though the promoter asked for a reduction of the payment anticipation, it was decided that the payments would be suspended for the period August-September 2015. Moreover, the second quarterly report was selected for external audit by PWC.
ir-18	Open PO	ES03	Ciudadanía a partes iguales. Salud y familia.		Promoter presented a request for substantial modifications on the 5 th of May, following the exit of one of the project's social entities.	Additional information was requested, and a selection committee meeting was held on the 23 rd of June 2015. The Committee did not approve the request, and the project was closed early, since the

Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
						objectives that motivated the selection could not be met.
ir-21	Open AA Closed	ES07	NILS Sciencia and sustainability	Art. 7.2.3 and/or Art. 8.3 of the Regulation	Concerning the programme, the audit authority has declared a minor irregularity concerning the certification of a cost incurred by the PO, in an erroneous IFR (the cost, which is eligible, had been incurred but still not paid at the time of declaring it in a previous IFR). The amount of the incurred cost is 602.24 euro, that shall be des-certified in the next IFR and again certified according to the actual payment date.	The cost shall be des-certified in the next IFR to be issued by the PO, and again certified according to the actual payment date of the incurred cost, which is eligible.
ir-22	Open PO	ES02	IDI-20140122 VIDRIERIA Y CRISTALERIA DE LAMIACO, S.A.	Article 11.7 (b) of the Regulation	The project promoter has communicated that they will only develop a small part of the project. The objectives of the project change, therefore CDTI has decided to terminate the contract.	The Legal Department sends the letter of termination of the contract. Afterwards, it is the Reimbursements Department which monitors that the payment is done. If it is not done, it sends the project again to the Legal Department, which takes legal action.
ir-23	open PO	ES02	IDI-20140926 ABENGOA SOLAR NEW TECHNOLOGIES, S.A.	Article 11.7 (b) of the Regulation	The project promoted has renounced to the aid because it needs more time to develop the project due to technical difficulties and this extension is not possible within EEA Grants Programme.	The Legal Department sends the letter of termination of the contract. Afterwards, it is the Reimbursements Department which monitors that the payment is done. If it is not done, it sends the project again to the Legal Department, which takes legal action.

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Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
ir-24	open PO	ES02	IDI-20140940 POWERTRACK INTERNACIONAL DE AUTOMOCIÓN, S.L.	Article 11.7 (b) of the Regulation	The project promoter has renounced to the aid due to financial issues.	
ir-25	open PO	ES02	IDI-20140866 ILUMINACION INTELIGENTE LUIX, S.L.	Article 11.7 (a) of the Regulation	The company is in the process of dissolution for bankruptcy	
ir-26	open PO	ES02	IDI-20140889 GESTAMPO HYBRID TOWERS	Article 11.7 (b) of the Regulation	The project promoter has renounced to the aid due to external technical delays which makes impossible to finish the project before 31st December	The Legal Department sends the letter of termination of the contract. Afterwards, it is the Reimbursements Department which monitors that the payment is done. This payment has been done by the company on 14/11/15.
ir-27	open PO	ES02	IDI-20140077 BOREAS NUEVAS TECNOLOGÍAS, S.L.	Article 11.7 (b) of the Regulation	The project promoter has renounced to the aid due to financial issues.	
ir-29	Close OP	ES04	PP Women entrepreneurs hip in emerging economic sectors (INCYDE PP)	Expenditure not incurred and reimbursed	The Project Promoter carried out a reimbursement of expenses not executed from the grant received in 2013	Program Operator reduced this amount in the IFR 5. Double check of other similar expenditures.
ir-33	On going	ES02	0007 - NEW CONCEPT OF MARINE	Deviation from Programme Agreement and	FMO commissioned an audit of the programme ES02 which was finalised in February 2016. The audit reveals that the project promoter infringed the	Decision on remedies pending

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Irreg. NFP #	Status	Progr. ID	Project	Provisions infringed	Irregularity description	Measures Taken
			FLOATING PLATFORM FOR WIND TURBINES	Programme Implementation Agreement Regulation, Annex 4, Chapter 3; PIA Art. 9 para 28	Programme Agreement and Programme Implementation Agreement in several instances: 1) The EEA Grants logo provided by the PO to all project promoters was not on display at the PP's premises, nor was there a project-specific website in place 1 year into the project's implementation (Regulation, Annex 4, Chapter 3; PIA Art. 9 para 28). 2) Staff costs incorrectly claimed (Employee ED's gross salary used to compute his hourly rate included travel allowances paid every month) - net overstatement of 5,460.60 3) Staff costs incorrectly claimed (Employee GN's stated hours exceeded his actual hours worked by 29 hours) - net overstatement of 1,567.74.	
ir-34	On going	ES03	0093 - OPTIMIZED GENERATION OF COMMERCIAL OFFER IN TRANSPORT SYSTEMS BASED ON ORIGIN-DESTINATION MATRIX	Deviation from Programme Agreement and Programme Implementation Agreement Regulation: Art. 9, para 14 Regulation: Art. 8	FMO commissioned an audit of the programme ES02 which was finalised in February 2016. The audit reveals that the project promoter infringed the Programme Agreement and Programme Implementation Agreement in several instances: 1) No separate accounting ledger / code was used for the project (PIA Art. 9, para 14). 2) The hours recorded on the timesheets of all 13 employees did not correspond to the hours used to calculate the staff costs attributable to the project. Net overstatement 7,188.35 (PIA Art. 8).	Decision on remedies pending
ir-36	In Review	ES04	Several PP	Regulation 7.2.2 wrongly declared	Amount wrongly declared as part of a travel expenditure	This amount has been decertified in the IFR8
ir-37	In Review	ES02	Programme for Research and Technology in	Art. 11.4. c) of the Regulation: irregularities that pose an	The company has been dissolved because of bankruptcy. CDTI receives a communication on 18/08/16 by Axesor (company specialized in providing reports about companies), informing that	The company has been required to pay back the advance payment within 30 days. The amount of 7.458 €

Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
			Environment and Climate Change New siding to improve energy efficiency in buildings through geothermal integration	immediate threat to the successful completion of the project	the project promoter, ALLIA RENOVABLES S.L., was under bankruptcy and had been dissolved. These situations were published in the official publication "BORME" number 157/16 (Official Bulletin of the Commercial Registry)	was certified in IFR5 and reduced in IFR10
ir-38	In Review	ES02	Programme for Research and Technology in Environment and Climate Change Design and construction of a rotary pendulum wave energy converter for integration i metocean buoys	Art. 11.4. c) of the Regulation: irregularities that pose an immediate threat to the successful completion of the project	CDTI cancelled the contract on 25/04/16 because the project promoter hadn't justified the project because of serious financial problems.	The company has been required to pay back the advance payment within 30 days. The amount of 20,713.26 € was certified in IFR5 and reduced in IFR10
ir-39	In Review	ES02	ES02-0007 (IDI 20140070)NEW CONCEPT OF MARINE FLOATING	Art. 11.2 of the Regulations, as the allowances included in the justification	During the audit carried out by the FMO, it was detected that when calculating the cost per hour for a worker of the project promoter, the company used a figure for "gross salary" which included travel allowances paid to him for the month. This and	As the project promoter has justified eligible costs which were not included as they exceeded the amount approved, and they are higher

Irreg. NFP #	Status	Progr. ID	Project	Provisions infringed	Irregularity description	Measures Taken
			PLATFORM FOR WIND TURBINES	can't be clearly identified with the activities of the EEA Grants funded project.	<p>travel allowance, although paid through the payroll, is not part of the gross salary. FMO calculated that the resulted overstatement reached the amount of € 5,460.60.</p> <p>This amount corresponds to the total eligible costs. As the amount justified to EEA Grants include only the non-reimbursable part of the loan, the EEA Grants budget corresponding to € 5,460.60 is €703,54 (€693,75 is the EEA Grant and €9,79 is national budget).</p> <p>FMO considers that, as the project promoter has not been able to submit documents to justify the costs of the job displacement compensation, these costs cannot be considered as eligible and should not have been claimed as part of the staff costs.</p>	that € 5,460.60, CDTI maintains the total amount justified for this project.
ir-40	In Review	ES02	IDI-20140114 ABENGOA SOLAR NEW TECHNOLOGIES SA	Article 11.7 (b) of the Regulation	The project promoter hasn't complied with the contract obligations due to financial problems.	CDTI is negotiating with the company to recover the advance payment. The amount of 17.375,48 € was certified in IFR3 and will be reduced in the Final Balance.
ir-41	In Review	ES02	IDI-20140915 ABENGOA SOLAR NEW TECHNOLOGIES SA	Article 11.7 (b) of the Regulation	The project promoter hasn't complied with the contract obligations due to financial problems.	CDTI is negotiating with the company to recover the advance payment. The amount of 19.377,75 € was certified in IFR5 and will be reduced in the Final Balance.
ir-42	In Review	ES05	ES05-0001 - Equipment and Activity Plan for Federico	Regulation: 7.2. General principles of eligibility of expenditures.	Procurement procedure done by the Federico García Lorca Foundation instead of the Consortium Centro Federico García Lorca (pre-defined project promoter) due to the standing management entrustment.	Since the irregularities have been detected after the period of eligibility of expenditure, the budget

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Irreg. NFP #	Status	Progr . ID	Project	Provisions infringed	Irregularity description	Measures Taken
			Garcia Lorca Centre			wrongfully allocated will be declared in the Final Balance.
ir-43	In Review	ES05	ES05 Conservation and Revitalisation of Cultural and Natural Heritage	Regulation: Article 7.2 General principles on the eligibility of expenditures. Regulation: Article 11.3 Entities responsible for reporting.	Due to the Audit Authority's report on certified expenditure in 2015 detecting irregular expenditure of 2,428.57 euro, the National Focal Point reports on the following actual irregularities: Certification included in IFR#1: 2,428.57 euro The Audit Authority proposes the decertification on this expenditure because it was not paid in the eligible period. The IFR1 was submitted on 11th February 2014 and the invoice was paid on 14th February 2014. Nevertheless, the invoice was paid in the eligible period of the IFR2 and the expenditure is eligible. Reporting: The ES05 PO did not declare this irregularity on their 2015 Q4 regular report, and the NFP did not report to the FMC on due time.	Following the instructions of the Certifying Authority the ES05 Programme Operator has rectified this irregularity in the section "programme management" of the IFR#4.

Source: National Focal Point irregularities tracking file

I. Overview of the monitoring and audit activities carried out in Spain, and a summary of the main findings

Three types of activities were carried out: project site visits, annual quality assessments, and audits, including system audits and annual financial audits. These activities are hereby summarised.

Site visits

The National Focal Point carried out around 87 visits to projects between April 2014 and November 2016, for an average of 2.8 per month. Results of these visits were all included in single visit result sheets, which report largely satisfactory results. When all events and meetings connected to the Programmes are considered, the total number of recorded activities is 152. These activities involved projects across all Programmes, and resulted in publication of information on the public website, as well as contributions to project files.

Quality assessments

Two quality assessments of the systems and procedures for the implementation of the EEA Grants Programmes were carried out, in 2013 and in 2015.

The first evaluation assessing the management and control systems for Programmes 02, 03, 04, 05, and 07, carried out by the company GrantThornton, covered the period from the beginning of Programmes to December 31st, 2013. The evaluation only found significant deficiencies in compliance in Programme 05, while other Programmes were deemed satisfactory in their compliance where information was available. Deficiencies in ES05 were found in risk management, data back-up protocols for project applications, and human resource training.

The second evaluation, carried out on the same Programmes and on the National Focal Point, was carried out by firm LRQA (Lloyds Register Quality Assurance), and covered 2014 and the first four months of 2015. The quality audit found a high degree of compliance and high effectiveness in implementation of all Programmes but ES05, with only a limited number of minor weaknesses. ES05 has been found to fall short of Programme objectives, as well as maintaining some of the weaknesses highlighted by the previous study, such as the ones related to human resources training and management. Issues were found in planning and project monitoring.

System audits and annual financial audits

The Audit Authority of the Mechanism, identified in Annex A of the Mechanism's Memorandum of Understanding, has been identified in the IGAE (Intervención General de la Administración del Estado – the Spanish Audit Office). The AA ran yearly audit reports on the Mechanism's Management and Control Systems. These audits are hereby summarised:

- For 2014, the AA gave a favourable opinion regarding Programmes 02, 03, 04, and regarding the work of the National Focal Point/Technical Assistance and bilateral relations. It gave a qualified opinion on ES07, due to the presence of errors in the calculation of indirect costs.

- For 2015, the AA gave a favourable opinion regarding Programmes 02, 04, 05, 07, and regarding the certifying authority and the National Focal Point/Technical Assistance and bilateral relations. It gave an unfavourable opinion on Programme 03, due to the need to fix substantial deficiencies in the project selection process.
- For 2016, the AA gave a favourable opinion regarding Programmes 02, 03, 04, 07, and regarding the certifying authority and the National Focal Point/Technical Assistance and bilateral relations. It gave an unfavourable opinion on Programme 05, due a severe malfunctioning of Management and Control Systems. The error rate identified by the AA for this Programme was of 58.71%. This assessment of ES05 is under discussion between the PO and all National Authorities – NFP, CA, AA – for a final position according to the final audit carried out by the AA in 2017.