



REDUCING DISPARITIES | STRENGTHENING COOPERATION

Statistical
manual

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Statistical manual for the EEA and Norway Grants 2009 – 2014

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1 Introduction

This manual provides definitions and explanations for the statistical concepts and terms used for planning, reporting and follow-up of the implementation of the EEA and Norway grants 2009 – 2014.

Statistical information is often a basis for analysis and reports on the status and results achieved in programmes and projects. For the EEA and Norway grants 2009 – 2014, statistical information will be collected through a *Documentation and Reporting and Information System (DoRIS)*. The FMO makes reports and analysis based on information in DoRIS available to the Donor and Beneficiary States as well as to journalists, students, researchers and others.

This statistical manual has been developed by the Financial Mechanisms Office (FMO) primarily for Programme Operators, Focal Points, FMO staff and other entities who enter information into DoRIS. The main aim of the document is to contribute to quality assurance of the information collected in DoRIS. International classifications and definitions, mainly from the OECD and Eurostat, have been used as a basis as far as possible within the legal setup of the EEA and Norway Grants 2009 – 2014.

This manual also aims to provide the general public and other information users with a better understanding of the terms used and the results achieved through EEA and Norway grants 2009 – 2014.

Statistical concepts and terms related to the programme level in the EEA and Norway grants 2009 – 2014 are presented in Chapter 2 of this document. Chapter 3 covers the project level. Further definitions, lists and terms are given in the annexes. References are provided for concepts which are further explained in the practical Programme Operator's Manual or other external documents.

You are welcome to contact the FMO with questions to this document or about the EEA and Norway Grants in general.

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EEA and Norway Grants 2009 – 2014: Overview of programme and project statistics

Information	Programme	Project	Responsible registration for	Where
Title	X	X	PO	Programme proposal; Project information
FMO ID number	X	X	PO	Programme proposal; Project information
Country	X	X	PO	Programme proposal; Project information
Financial Mechanism	X	X	PO	Programme proposal; Project information
Agreement parties	X	X	PO	Programme proposal; Project information
Donor programme partner	X		PO	Programme proposal; Project information
Programme partner	X		PO	Programme proposal; Project information
Donor project partner		X	PO	Programme proposal; Project information
Project partner		X	PO	Programme proposal; Project information
Types of actors	X	X	PO	Programme proposal; Project information
Agreements	X	X	PO	Programme proposal; Project information
Timeline	X	X	PO	Programme proposal; Project information
Programme area	X	X	PO	Programme proposal; Project information
Objective	X	X	PO	Programme proposal; Project information
Outcome(s)	X	X	PO	Programme proposal; Project information
Outputs	X		PO	Programme proposal; Project information
Indicators, baselines and targets	X		PO	Programme proposal; Project information; Annual reports; Final Programme report
Target group(s)	X	X	PO	Programme proposal; Project information
Geographical impact area		X	PO	Project information
Results summary		X	PO	Project information
Specific info: Academic research		X	PO	Project information
Specific info: Scholarship		X	PO	Project information
Specific info: NGO		X	PO	Project information
Policy markers	X		FMO	Appraisal
Sector codes		X	PO	Project information

2 Programme information

Information about programmes under the Financial Mechanisms 2009-2014 shall be registered in the *Documentation, Reporting and Information System* (DoRIS) to support the management of and ensure the proper documentation of the mechanisms. This chapter gives an overview of the statistical information which shall be registered about programmes in DoRIS.

2.1 Basic programme information

The FMO is responsible for registration of basic programme information as given in the respective Memoranda of Understandings (MoU). This information must be registered in order to create the programme in DoRIS, allowing the Programme Operator to complete a programme proposal.

Basic programme information

- Country – the Beneficiary State responsible for the programme
- Financial mechanism(s) funding the programme
- Programme ID¹ – defined by the FMO
- Programme title – as normally given in Annex B of the MoU(s)
- Programme area(s) – see chapter 2.4 below
- Grant amount per programme area (split for EEA and Norway grants) – normally given in Annex B of the MoU(s)
- Whether the programme is directly contracted by the FMO or not - normally given in Annex B of the MoU(s)
- Programme preparation starting date – the date of the designation of the Programme Operator (art. 5.1 of *the Regulation*).

The Programme Operator is responsible for verification of the registered information at the latest when the programme proposal is submitted.

2.2 Agreement parties

The FMO is responsible for registration in DoRIS of information regarding agreement parties for each programme. Contact information, legal role in the Financial Mechanisms 2009-2014, type of organisation and location/country shall be registered. The information shall be registered for the following agreement parties for each programme:

Programme level

- Programme Operator
- Donor Programme Partner (as appropriate)
- Fund Operator (as appropriate, for FMO run programmes)
- Programme Partner (as appropriate)

National level

- Donor State(s)
- Focal Point²

¹ The programme ID consists of a country code (two letters) and programme number (two digits). For example CZ08.

Definitions of legal roles are given in *Annex 2 – Legal Roles*.

Definitions of types of organisations are given in *Annex 3 – Organisational types*.

After the FMO's initial registration of organisations, each organisation is responsible for verification and maintenance of the information registered for it self and for the persons belonging to the organisation. The Programme Operator is in addition responsible for registration of any additional agreement parties. This entails, but is not limited to, registration of sub-contractors running small grants schemes, project promoters and project partners (see chapters 3.2 and 3.3).

2.3 Programme agreements and programme timeline

The Programme Operator is responsible for registration of information regarding agreements and contracts in the programme. The date of signature and the period which the agreement or contract is in force shall be registered. This includes, but is not limited to information regarding the following agreements and contracts:

Programme agreement

The Programme agreement is concluded between the FMC/NMFA and the National Focal Point. A template for the programme agreement is available in Annex 10 to *the Regulation*.

Programme implementation agreement

For each approved programme, a Programme implementation agreement shall be concluded between the National Focal Point and the Programme Operator (art. 5.8 of *the Regulation*). In cases where provisions in national legislation prohibit such contracts, the Beneficiary State may instead issue a legislative or administrative act of similar effect and content. In such cases, the date of signature shall be the date of adoption of the act.

Project contracts

For each approved project, a project contract shall be concluded between the Programme Operator and the Project Promoter (art. 6.7 of *the Regulation*). In cases where provisions in national legislation prohibit such contracts, the Beneficiary State may instead issue a legislative or administrative act of similar effect and content. In such cases, the date of signature shall be the date of adoption of the act.

Sub contractors

Contracts with sub-contractors (e.g. fund operators or operators (art. 5.13 of *the Regulation*) of small grant schemes (art. 5.6 paragraph 4 of *the Regulation*).

Programme partners

Agreements with programme partners (art. 6.8 of *the Regulation*).

In addition, the Programme Operator shall register the planned start date and planned end date for the programme. The start date for programme preparation is registered by the FMO (see chapter 2.1).

² The Focal Point organisation is by default given by the country the programme is implemented in. For a few special cases, such as PA22, one, non or several Focal Points may be required in DoRIS.

2.4 Programme area³

The FMO is responsible for the initial registration of the programme area the programme shall contribute to. This is necessary in order to create the programme in DoRIS.

The programme area(s) are listed in the respective Memorandum of Understanding(s). A programme area is defined in the Regulations as a thematic field within a priority sector, with a specific objective and specific outcomes. There are 32 programme areas.

The programme areas supported by the EEA Financial Mechanism 2009-2014 are given in Annex 1 to *the Regulation* and is available here: <http://eeagrants.org/id/2354.0>

The programme areas supported by the Norwegian Financial Mechanism 2009-2014 are given in Annex 1 to *the Regulation* and is available here: <http://eeagrants.org/id/2101>

2.5 Programme objective

The Programme Operator is responsible for registration of the programme objective(s).

The Programme objective is the objective for the programme as stated in the respective Memorandum of Understanding(s). The objective is defined as the long-term impact to which the Programme contributes. A programme will normally have one objective.

Exception

- One programme can fall under more than one programme area in accordance with article 5.1 (2) of *the Regulation*. Programmes covering more than one programme area may have more than one objective, in accordance with what is stated in the respective Memoranda of Understanding.

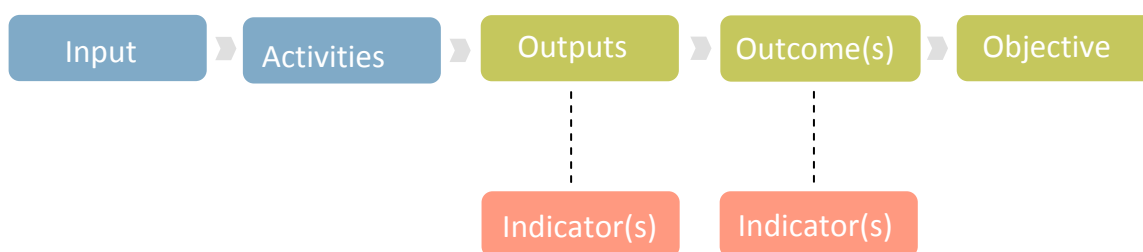
Where registered: Programme creation in DoRIS

Objectives hierarchy

The objectives hierarchy shows the connection between the different *objectives* the programme shall contribute to, the *resources and activities* required, the *indicators* used for measuring results – and the relationship between these elements. Figure 1 below gives a visual presentation of an objectives hierarchy for a programme similar to the model in chapter 2 of the POM.

³ POM 2.1, 2.2 and 2.3.

Figure 1: Objectives hierarchy with indicators



2.6 Programme expected outcome(s)

The Programme Operator is responsible for registration of the programme's expected outcomes.

Expected outcome is defined as the likely short-term and medium-term effects of the Programme. At least one expected outcome shall be selected for each programme. The Programme's expected outcome(s) shall be one or more of the expected outcomes defined in the respective programme area descriptions and will normally be given in the respective MoU. It is not possible to reformulate or add new outcomes.

Where registered: Programme proposal

2.7 Programme outputs

The Programme Operator is responsible for registration of programme outputs. At least two outputs shall be defined and linked to each programme outcome. At least one output for bilateral relations shall in addition be defined for each programme.

The outputs are defined as the Programme deliverables that can be guaranteed by the Programme. They are the products or services that are expected to be delivered by the Programme and which contribute to the achievement of the expected outcome(s).

Exception

Programmes under programme areas *19 Scholarship* and *24 Bilateral scholarship cooperation* may have only one output per outcome. Furthermore, specific *measures* are pre-defined as outputs for programmes under these programme areas (see *the Scholarship guideline*)

Where registered: Programme proposal

2.8 Indicators, baselines and targets⁴

At least one indicator shall be defined and linked to each outcome and to each output, including the bilateral output. Indicators are used as a tool to verify whether

⁴ How to define and use indicators is further described the Programme Operator's Manual section 2.8.

or not the Programme is achieving its expected outcome and outputs. Indicators shall be gender-disaggregated where relevant. Indicators shall be independent of each other, each one relating only to one of the Programme expected outcomes or one of the Programme outputs. It is advisable to choose few indicators.

Standard indicators

Standard indicators are used primarily for reporting purposes and they should produce data that can be aggregated across the same programme areas in different beneficiary states. As far as possible, indicators shall be selected from the list of quantitative *standard indicators* (see Annex 5 List of Standard indicators).

Optional indicators

If the standard indicators are not suitable for measuring the achievements of the Programme, the Programme Operator must identify other suitable indicators and justify these in the Programme proposal. These *optional indicators* shall be defined by the Programme Operator and may be qualitative or quantitative.

Cross-sectoral indicators

Cross-sectoral indicators are indicators that can be used across different programme areas and priority sectors to aggregate data on similar types of results such as strengthened capacities and improved services.

2.8.1 Indicator baseline value

The indicator baseline value is status for the current situation measured by the indicator prior to programme implementation.

Where registered: Programme proposal

2.8.2 Indicator target value

The indicator target value for indicators connected to *outcomes* is the desired status (for the end-beneficiaries) after the programme has been implemented.

The indicator target value for indicators connected to *outputs* is the goods/services/efforts that can be guaranteed by the programme.

Where registered: Programme proposal

2.8.3 Indicator achieved value

The indicator achieved value is the current status – at the time of registration – for the indicator, measured in the same unit as the baseline value. It measures change from the baseline and progress towards the target.

Where registered: Programme proposal; Annual reports; Final programme report.

2.8.4 Indicator source of verification

The indicator source of verification explains how the indicator values (target, achieved, baseline) can be measured.

Where registered: Programme proposal

2.9 Target groups

The Programme Operator is responsible for registration of the programme's target groups.

A *target group* is those who will benefit from an outcome in the longer run. A target group may be defined by by population, sex, age, ethnicity, geographical location etc. A target group may also be an institution or an institutional level, a local authority, the private sector or other.

At least one target group shall be defined for each programme outcome. Target groups from the list of Standard target groups shall be used if applicable.

Exception

- Target groups may not be applicable to certain research programmes under the programme areas *18 Research within priority sectors* and *23 Bilateral research cooperation*.

The list of Standard target groups is enclosed in *Annex 4 – Standard target groups*.

Where registered: Programme proposal

3 Project information

Programme Operators are responsible for submitting information related to each approved project, and to maintain the information updated throughout project implementation (Chapter 6 of Annex 9 to *the Regulation*). This chapter gives an overview of the statistical information that shall be registered regarding projects in DoRIS.

Project information shall be registered no later than 15 days after the conclusion of the project contract for each project. Changes to the project information shall be registered no later than 15 days after the project has been amended or the project information has been revised. Concluding information shall be submitted 15 days after the project has been completed.

Pre-defined projects will normally be approved as part of a programme. Information shall then be registered 15 days after the Programme implementation agreement has been signed between the Focal Point and the Programme Operator.

3.1 Basic project information

The Programme Operator is responsible for registration of basic project information for each project. The following basic project information shall be registered:

- Beneficiary state - the Beneficiary State responsible for the programme which the project shall contribute to
- The programme the project contributes to
- Project title – the project title in English
- Programme Operator's project ID

- Project ID⁵
- Open call number – the number of the open call the project was approved under (for example the third of four open calls for projects)

Where registered: Project information

3.2 Agreement parties

Certain information shall be registered about actors involved in the project. The information will be used to establish a contact registry as well as to generate reports showing for example which types of actors are awarded grants.

Information regarding the following actors shall be registered for each programme:

Project promoter

- Name
- Country
- Organisational type
- Legal role (Project promoter)
- Main contact person

Project partner

- Name
- Country (indicates if it is a donor project partner)
- Organisational type
- Legal role (Project partner)
- Main contact person
- If it is a donor partner

A project partner is a public or private entity, commercial or non-commercial, as well as nongovernmental organisations, all of whose primary locations are either in Norway, Beneficiary States or a country outside the European Economic Area that has a common border with the respective Beneficiary State, or any inter-governmental organisation, actively involved in, and effectively contributing to, the implementation of a project. It shares with the Project Promoter a common economic or social goal which is to be realised through the implementation of that project. For donor partnership programmes falling under the programme area "Bilateral Research Cooperation", the term "project partner" is defined in the Annex 12 (art. 1.5 letter w of *the Regulation*, see also art. 6.8 of *the Regulation*).

Scholarship specificities

For scholarship programmes information shall in addition be registered on the beneficiaries of mobility, including gender, level of study, duration of mobility, academic field, institution and country as well as information on the sending and receiving organisations (*Scholarship guidelines*).

Where registered: Project information

⁵ The Project ID is composed of the programme ID plus a number for the project. The project ID for project number 1234 under the programme CZ08 would be *CZ08-1234*.

3.3 Project agreements and project timeline

For each approved project, a *project contract* shall be concluded between the Programme Operator and the Project Promoter (art. 6.7 of *the Regulation*). If the project is implemented in partnership with one or more project partner, the project promoter shall sign a *partnership agreement* with each project partner (art. 6.8 of *the Regulation*).

The Programme Operator is responsible for registration of the main dates in the project timeline. The following dates shall be registered as part of the timeline:

Project contract (see 3.2 above)

- *Planned date for signature*; registered when the project is approved.
- *Actual date of signature*; updated upon signature.

Project timeline

- *Planned start month* of the project; normally the month of the signature of the project contract.
- *Planned end month*; the month when the Programme Operator has finished all its administrative tasks in relation to the project, such as verification of the final claim and review of the final project report.
- *Actual project completion date*; the date on which the Programme Operators has accepted that the project is completed. Registered within 15 days of this date.

Where registered: Project information

3.4 Project type

Donor partnership project

Projects prepared and implemented in cooperation with one or more legal entity in the donor states. See the Programme Operator's Manual section 3.8.2 and article 3.4 of *the Regulation*.

Predefined project

Projects defined and included as part of a programme proposal. See the Programme Operator's Manual section 3.9 and articles 5.5 and Article 2.1 of *the Regulation*.

Small grant scheme

Scheme within a programme allowing re-granting of small amounts, normally from € 5.000 - € 250.000 and for scholarship programmes below € 5.000. See article 5.6 of *the Regulation* and the Programme Operator's Manual section 3.10.

Where registered: Project information

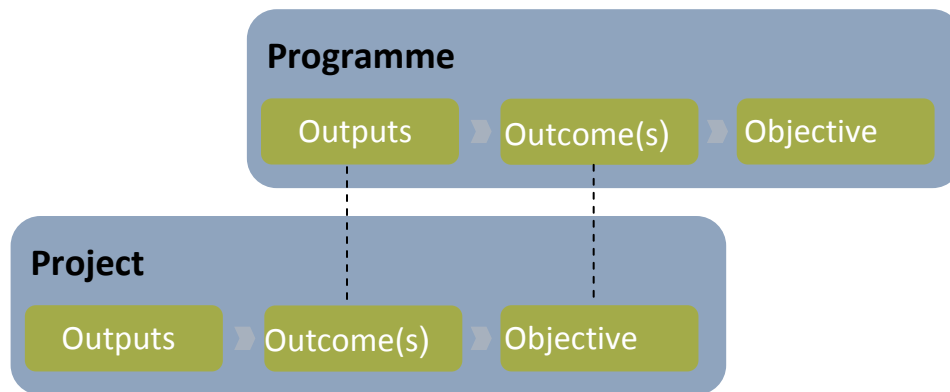
3.5 Project objective

A project shall have one project objective. The project objective shall be identical to the programme outcome that the project contributes to, as illustrated below in

Figure x: Programme and project objectives (see also Figure 1: The objectives Hierarchy in Annex 9 to the Regulation).

Where registered: Project information

Figure 2: Programme and project objectives



3.6 Project outcome

A project shall have at least one outcome. A project outcome shall be identical to a programme output that the project contributes to (see *Figure 2: Programme and project objectives* above). The Programme Operator is responsible for registration of project outcomes.

Where registered: Project information

3.7 Project target group

A project shall have one or more target groups. Target groups are defined in chapter 2.9.

Where registered: Project information

3.8 Geographical code

The geographical coding system “Nomenclature of Units for Territorial Statistics” (NUTS) is used to map the geographical areas where projects aim to achieve results. The Programme Operator is responsible for registering where projects aim to achieve results.

A unique identification code called a “NUTS code” has been assigned to each area in EU and most of Europe through the NUTS system. The NUTS codes for the abovementioned areas shall be indicated in DoRIS.

An overview of NUTS codes can be found here: http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NUTS_33&StrLanguageCode=EN

NUTS codes are available in DoRIS.

Where registered: Project information

3.9 Summary of project results

The Programme Operator is responsible for registering a description of the achievements at the end of the completed project. The summary of project achievements shall be no longer than 500 characters.

Where registered: Project information

3.10 Sector code

The sector code will be used to mark and count information at project level. The sector codes will be included in DoRIS at a later stage.

3.11 Specific information: Academic research

Specific information shall be registered for projects within Academic research in addition to other project information as described above. The following information shall be registered for projects within Academic research:

Research type

Whether basic research, applied research or experimental research will be conducted through the project.

Discipline

Which academic discipline the research will be conducted within. Academic disciplines are listed in Annex 7.

Where registered: Project information

3.12 Specific information: Scholarship

Specific *measures* applicable to scholarship projects are described in *the Scholarship guideline*. The Programme Operator is responsible for registration of the appropriate measures planned for each project when the project is approved.

Specific information for mobility projects under the Scholarship programme

- Name and ID number of persons supported
- Gender
- Grant awarded
- Start date and end date
- Type of mobility
- Adult education
- Level of education
- Academic field
- Name, type, country and NUTS code for sending institution
- Name, type, country and NUTS code for hosting institution
- Date of reporting

Lists and definitions of information required for mobility projects are given in Annex 6 – Mobility information lists.

Where registered: Project information

3.13 Specific information: NGO

The Fund Operator is responsible for registration of the measures planned to be implemented for each project when the project is approved. One or more of the measures can be registered for each project.

NGO measures

- Advocacy
- Awareness raising
- Capacity-building
- Cross border
- Cultural initiatives
- Education and training
- Mutual learning and dissemination
- NGO Partnership/Networking
- NGO/Public coalition building
- Organisational support
- Provision of welfare and basic services
- Social entrepreneurship
- Voluntary
- Watchdog and monitoring activities

4 Policy markers

The FMO is responsible for registration of Policy markers for each programme.

Where registered: Programme appraisal

Policy markers are used to identify programmes that contribute to certain politically important issues to the donors, irrespective of the programme area the programme belongs to. Policy markers will be assigned to each programme outcome by the FMO as part of the FMO's programme appraisal, and will be updated as appropriate during programme implementation.

The relevance of each policy marker shall be assessed and indicated for each programme outcome. The codes used to indicate relevance are 0, 1 and 2 as described in the following:

Code 0: None

The issue is not targeted by the programme.

Code 1: Significant issue

Significant issues are those which, although important, are not among the principal programme justifications used in the programme proposal.

Code 2: Fundamental issue

The issue is identified as being fundamental in the design and impact of the programme, and is an explicit justification for the programme used in the programme proposal.

Answering "no" to the question "Would the programme have been proposed by the Programme Operator without this reason?" gives another indication that code 2 would be correct.

4.1 Policy Marker: Gender Equality

Definition

Equality between men and women is a fundamental right, a common value of the donor states and the EU. Gender equality refers for example to efforts to reduce the pay gap between men and women, mainstreaming and promoting gender equality in policy, research, legislation, programmes and resource allocation at national, regional and local levels, as well as promotion of equal opportunities in the workplace and society at large regardless of gender.

Assign code 1 or 2 to projects that intend to advance gender equality, women's empowerment, reduced discrimination or inequalities based on gender. *Please note that projects targeting women and girls do not necessarily promote gender equality. Only assign code 1 or 2 to projects that intend to advance gender equality and women's empowerment or reduce discrimination and inequalities based on sex. Otherwise assign code 0.*

Necessary Criteria

It is explicitly stated in the programme documentation that gender equality will be promoted, supported or increased through the programme.

Note that gender equality is a cross-cutting issue for the EEA and Norway grants 2009-2014. Statements on gender equality limited to the part of the programme proposal regarding the cross-cutting issues are not sufficient to qualify for a score of 1 or 2 on this policy marker.

Coding

Code 0: None.

Gender equality is not targeted by the programme.

Code 1: Significant issue

Increased gender equality is mentioned in programme documentation as a likely result of the programme, or gender equality is specifically addressed through programme activities.

Examples: Activities which have as its principal objective to improve health service provision while at the same time ensuring that women and girls have equal access to the services, activities which have as its principal objective to promote research within a given field, while at the same time ensuring that male and female researchers are equally represented.

Code 2: Fundamental issue

Increased gender equality is a main justification for the programme given in the programme proposal documents.

Examples: Activities to raise public awareness on gender equality issues, activities to tackle gender-based violence.

4.2 Policy marker: Civil Society

Definition

The civil society comprises any non-profit entity in which people organise themselves on a local, national or international level to pursue shared objectives and ideals, without significant government-controlled participation or representation (OECD DAC).

The civil society policy marker should be assigned (code 1 or 2) to programmes which specifically address issues related to civil society, intend to strengthen civil society or is implemented fully or partly by civil society bodies. Code 0 should be assigned to programmes where civil society is not a relevant issue.

Necessary Criteria

It is explicitly stated in the programme documentation that civil society will be strengthened through the programme, or the programme is implemented fully by a civil society body such as a national or international non governmental organisation (NGO).

Coding

Code 0: None.

The civil society or NGOs are not targeted by the programme.

Code 1: Significant issue

Strengthening civil society is mentioned in programme documentation as a likely benefit of the programme.

Example: NGOs are expected to operate some of the projects under the programme, public outreach and broad involvement of civil society stakeholders are important aspects of the implementation of the programme.

Code 2: Fundamental issue

Programme documentation states explicitly that strengthening civil society is a main reason for proposing the programme.

Examples: The Programme Operator is an NGO or an International / inter-governmental organisation, NGOs is one of the programme's target groups.

4.3 Policy Marker: Roma

Definition

Persons and groups of persons of the Roma people.

The Roma policy marker should be assigned (code 1 or 2) to programmes which specifically address issues related to Roma. Code 0 should be assigned to programmes where Roma is not a relevant issue.

Necessary Criteria

It is explicitly stated in the programme documentation that issues related to Roma will be addressed through the programme.

Coding

Code 0: None.

Roma is not targeted by the programme.

Code 1: Significant issue

Programme documentation upholds that issues related to Roma will likely be improved as a result of the programme.

Example: Roma people will benefit from programme outputs and outcomes, Roma issues are likely to be addressed in supported projects.

Code 2: Fundamental issue

Programme documentation states explicitly that an unfavourable situation concerning Roma is a reason for proposing the programme.

Examples: Calls for project proposals focussed on supporting projects addressing issues related to Roma, Roma will be of the main target groups for the supported projects.

4.4 Policy Marker: Sexual minorities – lesbian, gay, transsexual, bisexual (LGTB)

Definition

A sexual minority is a group whose sexual identity, orientation or practices differ from the majority of the surrounding society and that the difference is a cause of discrimination or social exclusion. The four categories lesbian, gay, bisexual and transgender (LGBT) are in many societies considered sexual minorities.

The sexual minorities policy marker should be assigned (code 1 or 2) to programmes which specifically addresses issues related to sexual minorities or that intend to improve the situation for discriminated or socially excluded sexual minorities. Code 0 should be assigned to programmes where sexual minorities is not a relevant issue.

Necessary Criteria

It is explicitly stated in the programme documentation that issues related to sexual minorities will be addressed through the programme.

Coding

Code 0: None.

Issues related to sexual minorities are not targeted by the programme.

Code 1: Significant issue

Programme documentation upholds that an unfavourable situation related to sexual minorities will likely be improved as a result of the programme.

Examples: Programme results will be of benefit for sexual minorities.

Code 2: Fundamental issue

An unfavourable situation concerning sexual minorities is given as a main justification for the programme in the programme proposal.

Examples: Calls for project proposals focussed on supporting projects addressing sexual minorities, sexual minorities are likely to a main target group for the supported projects.

4.5 Policy Marker: Climate (reduction of emissions)

Definition

Climate (reduction of emissions) comprises efforts to reduce emissions of greenhouse gases and air pollutants. This includes for example improving energy efficiency in buildings or utilizing energy efficient solutions in new constructions, increasing awareness of and education in energy efficiency and increasing institutional capacity to undertake energy-efficiency measures.

The climate (reduction of emissions) policy marker should be assigned (code 1 or 2) to programmes which will contribute to reduction of emissions. Code 0 should be assigned to programmes where climate is not a relevant issue.

Necessary Criteria

It is explicitly stated in the programme documentation that climate issues, in particular reduction of emissions, will be addressed in the programme.

Coding

Code 0: None.

Climate issues are not targeted by the programme.

Code 2: Fundamental issue

Reduction of emissions is given as a main justification for the programme in the programme proposal.

Examples: Considerable involvement of an actor supporting the climate/emission related parts of the programme is foreseen during implementation of the programme, calls for project proposals focussed on reduction of emissions – for example through education and awareness raising.

Code 1: Significant issue

Reduction of emissions is mentioned as a benefit of the programme in the programme proposal.

Examples: Issues related to climate and/or reductions of emissions are addressed through programme activities, projects will directly or indirectly contribute to reduction of emissions.

4.6 Policy Marker: Innovation and Entrepreneurship

Definition

Innovation and entrepreneurship comprises policy, facilitation and implementation of innovation and entrepreneurship aimed at creating sustainable solutions to major challenges in the society. The Policy marker for innovation and entrepreneurship is limited to innovation in private companies and individuals establishing new companies. This includes for example development of new business ideas, use of new technology in existing companies, development of patent applications and awareness raising.

The innovation and entrepreneurship policy marker should be assigned (code 1 or 2) to programmes which explicitly address issues related to innovation or entrepreneurship, or intend to entail innovation and/or entrepreneurship activities. Code 0 should be assigned to programmes where innovation and/or entrepreneurship are not relevant issues.

Necessary Criteria

It is explicitly stated in the programme documentation that innovation and entrepreneurship will be addressed in the programme.

Coding

Code 0: None.

Innovation and/or entrepreneurship is not targeted by the programme.

Code 1: Significant issue

Increased innovation and/or entrepreneurship is mentioned as a likely benefit of the programme.

Examples: Entrepreneurs or innovative small- and medium sized enterprises are likely target groups for the supported projects.

Code 2: Fundamental issue

Increased innovation and/or entrepreneurship is given as the main reason for the programme in the programme proposal.

Examples: Considerable involvement of an actor supporting increased innovation and/or entrepreneurship in programme implementation, calls for project proposals focussed on increased innovation and/or entrepreneurship.

4.7 Policy Marker: Human trafficking

Definition

Trafficking in human beings shall mean the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs⁶.

The trafficking policy marker should be assigned (code 1 or 2) to programmes which explicitly address issues related to trafficking or that aims to benefit victims of trafficking. Code 0 should be assigned to programmes where trafficking is not a relevant issue.

Necessary Criteria

It is explicitly stated in the programme documentation that trafficking will be addressed in the programme.

Coding

Code 0: None.

Trafficking in human beings is not targeted by the programme.

Code 2: Fundamental issue

Trafficking in human beings is given as a main justification for the programme in the programme proposal.

Examples: Initiatives to reduce or prevent trafficking and to improve the situation for victims of trafficking, victims of trafficking and institutions working with issues related to trafficking are likely target groups for the supported projects.

Code 1: Significant issue

A positive effect on trafficking issues is mentioned in the programme proposal as a likely benefit of the programme.

⁶ Council of Europe Convention on Action against Trafficking in Human Beings.

4.8 Policy Marker: Research

Definition

Research and experimental development (R&D) comprise creative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications⁷.

The research policy marker should be assigned (code 1 or 2) to all research programmes and to programmes which explicitly state that research will be part of the programme – for example where there is a research project established in relation with the programme. Code 0 should be assigned to programmes where research is not a relevant issue.

Necessary Criteria

See above.

Coding

Code 0: None.

Research is not part of the programme.

Code 1: Significant issue

Code 1 shall be assigned to all programmes where research is an element (but not the main element, as for code 2) of the programme.

Examples: The programme will result in scientific publications.

Code 2: Fundamental issue

Code 2 shall be assigned to all research programmes and other programmes where research is close 100% of the programme outputs.

Examples: Scientific publications (research published in point-giving, peer-reviewed journals) is a main programme output, scientific publications will be one of the most important ways of communicating programme results.

⁷ OECD, *The Frascati Manual*.

ANNEX 1 – SECTOR CODES

Work in progress.

ANNEX 2 – LEGAL ROLES

Legal roles in the EEA and Norway grants 2009 – 2014

#	Name	Definition	Ref.
1	Country level		
1.1	Audit Authority	A national public entity, functionally independent of the National Focal Point, the Certifying Authority and the Programme Operator, designated by the Beneficiary State and responsible for verifying the effective functioning of the management and control system.	Reg ⁸ .
1.2	Certifying Authority	A national public entity, functionally independent of the Audit Authority and the Programme Operator, designated by the Beneficiary State to certify financial information.	Reg.
1.3	Irregularity Authority	An appropriate national public entity to be responsible for the preparation and submission of irregularities reports on behalf of the Beneficiary State shall be designated and agreed upon in the MoU.	Reg.
1.4	Monitoring Committee	A committee established by the National Focal Point to review progress in the implementation of the EEA / Norwegian Financial Mechanism towards reaching its expected outcomes and objectives.	Reg.
1.5	National Focal Point	Agreement party A national public entity designated by the Beneficiary State to have the overall responsibility for reaching the objectives of the EEA / Norwegian Financial Mechanism 2009-2014 and implementing the MoU.	Reg.
2	Programme level		
2.1	Donor Programme Partner	Agreement party A public entity in a Donor State or an inter-governmental organisation designated by the Donor(s) advising on the preparation and/or implementation of a programme.	Reg.
2.2	Programme Operator	Agreement party A public or private entity, commercial or non-commercial, as well as non-governmental organisations, having the responsibility for preparing and implementing a programme.	Reg.
2.3	Programme partner	Agreement party A public or private entity, commercial or non-commercial, as well as non-governmental organisations, actively involved in, and	Reg.

⁸ The Regulations of the EEA and Norway grants. Link to the Regulations: <http://eeagrants.org/id/2017>

		effectively contributing to, the implementation of a programme.	
3	Project level		
3.1	Donor project partner	Agreement party A project partner from a donor state.	Reg.
3.2	Project Promoter	Agreement party A public or private entity, commercial or non-commercial, as well as non-governmental organisations, having the responsibility for initiating, preparing and implementing a project.	Reg.
3.3	Project partner	A public or private entity, commercial or non-commercial, as well as non-governmental organisations, all of whose primary locations are either in the Donor States, Beneficiary States or a country outside the European Economic Area that has a common border with the respective Beneficiary State, or any inter-governmental organisation, actively involved in, and effectively contributing to, the implementation of a project. It shares with the Project Promoter a common economic or social goal which is to be realised through the implementation of that project. For donor partnership programmes falling under the programme area "Research within Priority sectors", the term "project partner" is defined in the Annex 12.	Reg.
4	Level of the Financial Mechanisms		
4.1	Beneficiary State	The Beneficiary States are Bulgaria, Cyprus, Czech Republic, Estonia Greece, Hungary, Latvia, Lithuania, Malta, Poland, Portugal, Romania, Slovakia, Slovenia and Spain.	Reg.
4.2	Donor State	The Donor States are Iceland, Liechtenstein and Norway.	Reg.
4.3	EEA Financial Mechanism Committee (FMC)	The committee established by the Standing Committee of the EFTA States to manage the EEA Financial Mechanism 2009-2014.	Reg.
4.4	Norwegian Ministry of Foreign Affairs	Same role as the FMC, but only for the Norwegian Financial Mechanism 2009-2014.	
4.4	Financial Mechanism Office (FMO)	The office assisting the FMC in managing the EEA Financial Mechanism 2009-2014. The FMO, which is administratively a part of the European Free Trade Association, is responsible for the day-to-day implementation of the EEA Financial Mechanism 2009-2014 on behalf of the FMC and serves as a contact point.	Reg.
4.5	European Commission	European Commission.	Reg.
4.6	EFTA Board of Auditors (EBOA)	EFTA Board of Auditors.	
5	Other		

5.1	Appraisal agent	Entity commissioned to appraise a programme proposal. Can be FMO or an external agent.	FMO
5.2	Monitoring agent	Expert external to the FMO commissioned to monitor or assist with monitoring of a programme or project.	FMO
5.3	Evaluation agent	Expert external to the FMO commissioned to evaluate or assist with evaluation of any part of the implementation of the FMs 09-14.	FMO
5.4	Consultant	External expert commissioned to provide the FMO with professional advice on a specific topic or to assist with carrying out a task or process.	FMO
5.5	Other	Self explanatory.	FMO

ANNEX 3 – ORGANISATIONAL TYPES

Each agreement parties in the Financial Mechanisms 2009 - 14 will be associated with an organisational type in DoRIS. This enables reporting on and monitoring of the type of organisations (and sectors) that receive funds. The agreement parties shall be registered with an organisational type, and also a sub-type if applicable, in the information system.

The agreement parties in the FMs 09-14 are:

- National Focal Points
- Programme Operators
- Donor Programme partners
- Project promoters
- Donor project partners

Organisational types

#	Organisational type – mandatory	Sub-type – if applicable	Definition
1	Public sector		Public sector channels include central, state or local government departments, including publicly owned agencies and public non-commercial companies.
1.1	Government/ministry		Self explanatory
1.2	Other public institution	National agency Regional or local authority Other	Other public institutions including publicly owned agencies and public non-commercial companies.
1.3	University, college or other teaching institution, research institute or think-tank		Self explanatory
2	Civil society		The civil society comprises any non-profit entity in which people organise themselves on a local, national or international level to pursue shared objectives and ideals, without significant government-controlled participation or representation.
2.1	NGO	International NGO National NGO Local/Regional NGO Foundation Umbrella Organisation / Network of NGOs Faith-Based	A non-profit voluntary organisation established as a legal entity, having a non-commercial purpose, independent of local, regional and central government,

		<p>Organisation Grass Root Initiative Public benefit organisation / Tax-exempt organisation Community-Based Organisation Service Provision Organisation Advocacy Organisation Social enterprise Other</p>	<p>public entities, political parties and commercial organisations. Religious institutions and political parties are not considered NGOs. Please see the NGO guidelines for more information.</p>
2.2	Trade union		<p>A Trade Union is an organisation of workers who aim to achieve common goals such as better working conditions. The trade union works with the employer on behalf of union members and negotiates labour contracts with employers. This may include the negotiation of wages, work rules, complaint procedures, rules governing hiring, firing and promotion of workers, benefits, workplace safety and policies.</p>
2.3	Employers' organisation		<p>Employer's organisation is an organisation of employers that, depending on the economic and legal system of a country, may be part of institutionalised deliberation, together with government and the trade unions.</p>
2.4	University, college or other teaching institution, research institute or think-tank		<p>Self explanatory</p>
2.5	Other Civil society organisation	<p>Professional Association Social enterprise Other</p>	<p>Self explanatory</p>
3	International institutions		
3.1	Inter-governmental	Council of Europe	Inter-governmental

	organisations	FMO Other	organisations are international institutions with governmental membership.
3.2	Other international institutions	Transparency International Other	Self explanatory
3.3	University, college or other teaching institution, research institute or think-tank		Self explanatory
4	Private sector		
4.1	Single person enterprise		Self explanatory
4.2	Small or medium sized enterprise (SME)		
4.3	Large enterprise		
4.4	University, college or other teaching institution, research institute or think-tank		Self explanatory
5	Other		
5.1	Other		Self explanatory
5.2	University, college or other teaching institution, research institute or think-tank		Self explanatory

ANNEX 4 – STANDARD INDICATORS

See separate document available online in the *Programme management tools* page on <http://eeagrants.org/id/2774.0>.

ANNEX 5 – STANDARD TARGET GROUPS

- Children
- Young adults
- Minorities
- Roma
- Disabled
- Victims of trafficking
- Non governmental organisation
- Asylum-seekers
- Unaccompanied asylum seeking children
- Migrants for settlement
- Foreign migrant workers
- Unemployed
- Victims of intimate-partner violence
- People at risk of poverty
- Juvenile and young offenders
- Students
- Researchers or scientists
- Small and medium-sized enterprises (SME)
- Entrepreneurs
- Civil servants/Public administration staff
- People with HIV/AIDS
- People with cancer
- People with rare diseases
- People with mental health problems
- People with communicable diseases
- People with addictions (drug, alcohol, other)
- Victims of conflicts/catastrophes
- Prisoners
- Elderly people
- Other - please add other target groups if applicable.

ANNEX 6 – MOBILITY INFORMATION LISTS

The following information shall be registered for each mobility project.

Programme information

- Programme number
- Open call number
- Reporting date

Mobility person

- Name of the end-beneficiary (mobility person) / identification number
- Grant awarded (euro)
- Period (start date, end date)
- Type of mobility (student mobility, teacher assistanceship, administrative staff mobility, researcher mobility, expert mobility, government employee mobility, other)
- Adult education (yes, no)
- Level (primary, secondary school, bachelor, vocational training, master, doctoral, post doctoral, research, not applicable)
- Academic field (see list of academic fields in Annex 7)
- Gender

Sending institution

- English name of sending institution
- Type of institution
- Country
- NUTS code

Hosting institution

- English name of sending institution
- Type of institution
- Country
- NUTS code

Other

- Whether a common study agreement has been established

ANNEX 7 – ACADEMIC FIELDS

The following list of academic fields applies to projects within research programmes and scholarship programmes.

- History
- Philosophy
- Religion
- Languages and linguistics
- Literature
- Visual arts
- Architecture, design and applied arts
- Performing arts
- Anthropology
- Archaeology
- Area studies
- Cultural studies and ethnic studies
- Economics
- Gender and sexuality studies
- Geography
- Political science
- Psychology
- Sociology
- Chemistry
- Earth sciences
- Life sciences (including biology)
- Physics
- Space sciences
- Computer sciences
- Mathematics
- Systems science
- Agriculture
- Business
- Education (including teacher training/education)
- Engineering
- Environmental studies and Forestry
- Family and consumer science
- Health sciences (medicine, nursing, dentistry, etc.)
- Journalism, media and communication
- Law
- Library and museum studies
- Military sciences
- Public affairs
- Theology
- Social work
- Transportation