# Annexes (not published)[[1]](#footnote-2)

1. **Risk assessment and management plan**

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| --- | --- | --- | --- | --- |
| **Programme name** | **Overall level of risk** | **Risks** | **Responses carried out** | **Responses planned** |
| EE-INNOVATION | 2 | Programme implementation is obstructed due to many players and mixed interest. Risk could result in unachieved programme (outcome) targets. | Constant analysis of the situation, advising and supporting the programme operator | Detailed description of roles and responsibilities in management and control system, active cooperation with all parties. |
| EE-CLIMATE | 3 | The implementation of the programme is vulnerable due to the need to redesign the programme implantation scheme and involve Implementing Agency. | Constant analysis of the situation, advising and supporting the programme operator and Implementing Agency | Training for Programme Operator and Implementing Agency, meetings with other implementing agencies, supervision |
| EE-LOCALDEV | 3 | Programme implementation is obstructed due to many players and mixed interest. Risk could result in unachieved programme (outcome) targets. | Constant analysis of the situation, advising and supporting the programme operator | Detailed description of roles and responsibilities in management and control system, active cooperation with all parties. |
| EE-RESEARCH | 2 | change of key persons on the programme level | Detailed description of roles and responsibilities in managing and control system, advising the programme operator | Actively working on the programme, training and seminars for staff |

1. **Evaluation plan**   
   The evaluation plan has not been submitted as all programme agreements had not been signed by the time of reporting.
2. **Cooperation with Donor Programme Partners and International Partner Organisations**

The cooperation with Donor Programme Partners and International Partner Organisations can be considered good. Donor Programme Partners have demonstrated active involvement in organizing bilateral events. Their comprehensive knowledge and experiences support both the preparation and implementation of the programmes. All critical issues are always closely discussed with the partner organisations and their active involvement in Cooperation Committee and other meetings help to ensure that all the essential topics are mutually deliberated prior to any enforcements.

1. **Technical assistance report:**

# *Overview of main activities*

# National Focal Point’s main activities:

# closure activities on the implementation of the EEA and NFM 2009-2014;

# compiling interim financial reports and strategic report;

# organising meetings with donors, programme operators and FMO; ‘

# processing concept notes and programme agreements;

# advising the programme operators;

# managing the technical assistance and fund for bilateral relations at the national level;

# Business trips to Brussels and meetings at FMO;

# Participation in the Annual Communication and NFPs workshops

# Certifying Authority’s main activities: checking interim financial reports, certifying the expenditures of the programme operators.

# Audit Authority’s main activities:

1. Programme audit of the EEA programme “Children and Youth at Risk (EE04)” (from period 2009-2014);
2. Programme audit of the EEA / NFM programme „Bilateral Research Co-operation“ (EE06) (from period 2009-2014);
3. Closure activities on the implementation of the EEA and NFM 2009-2014;
4. Compliance audit of the description of the management and control systems for the implementation of the Baltic Research Programme – Ministry of Education and Research (PO).

# Annual Audit Report on the implementation of the European Economic Area and Norwegian Financial Mechanisms 2014-2014 in Estonia;

# Compliance audit of the description of the management and control systems for the implementation of the Norwegian Financial Mechanisms 2014 2021 Programme “EE-Innovation (Green ICT)”;

# Compliance audit of the description of the management and control systems for the implementation of the European Economic Area and Norwegian Financial Mechanisms 2014 2021 Programme “Local Development and Poverty Reduction”;

# National public entity responsible for the preparation and submission of irregularity reports main activities: preparation and submission of irregularity reports, advising the programme operators.

# *Budget overview*

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **2018 ANNUAL BUDGET, planned vs actual** | **National Focal Point** | | **Certifying Authority** | | **Audit Authority** | | **Other entities** | | **Total**  **planned** | **Total actual** | **utilized %** |
| **planned** | **actual** | **planned** | **actual** | **planned** | **actual** | **planned** | **actual** |
| I. Additional management systems | 45 000 | 40 818 | 12 000 | 10 344 | 0 | 0 | 0 | 0 | 57 000 | 51 162 | 90 |
| II. Annual and other meetings with the Donor States | 9 000 | 8 573 | 0 | 0 | 0 | 0 | 0 | 0 | 9 000 | 8 573 | 95 |
| III. Meetings and conferences to share experience | 1 000 | 562 | 2 000 | 1 960 | 2 000 | 1 485 | 0 | 0 | 5 000 | 4 007 | 80 |
| IV. Promotional and information activities | 13 000 | 12925 | 0 | 0 | 0 | 0 | 0 | 0 | 13 000 | 12 925 | 99 |
| V. Audits | 0 | 0 | 0 | 0 | 25 000 | 21 690 | 0 | 0 | 25 000 | 21 690 | 87 |
| VI. On-the-spot verifications | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VII. Reviews and evaluations | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| VIII. Implementation of the FM 2009-2014 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| IX. Preparation of the implementation of the FM 2014-2021 | 0 | 0 | 0 | 0 | 0 | 0 | 1 000 | 117 | 1 000 | 117 | 12 |
| **TOTAL** | 68 000 | 62 879 | 14 000 | 12 305 | 27 000 | 23 175 | 1 000 | 117 | 110 000 | 98 474 | 90 |

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **IMPLEMENTATION PERIOD budget, planned vs actual cumulative** | **National Focal Point** | | **Certifying Authority** | | **Audit Authority** | | **Other entities** | | **Total**  **planned** | **Total actual** | **utilized %** |
| **planned** | **actual** | **planned** | **actual** | **planned** | **actual** | **planned** | **actual** |
| I. Additional management systems | 280 000 | 108 840 | 96 000 | 23 353 | 0 | 0 | 37 500 | 0 | 413 500 | 132 194 | 32 |
| II. Annual and other meetings with the Donor States | 76 500 | 19 110 | 0 |  | 9 500 | 0 | 2 000 | 0 | 88 000 | 22 556 | 26 |
| III. Meetings and conferences to share experience | 27 500 | 2 627 | 4 000 | 1 961 | 10 000 | 1 485 | 6 000 | 0 | 47 500 | 2 627 | 6 |
| IV. Promotional and information activities | 135 000 | 23 426 | 0 | 0 | 0 | 0 | 0 | 0 | 135 000 | 23 426 | 17 |
| V. Audits | 0 | 0 | 0 | 0 | 200 000 | 42 853 | 0 | 0 | 200 000 | 42 853 | 21 |
| VI. On-the-spot verifications | 5 000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 5 000 | 0 | 0 |
| VII. Reviews and evaluations | 55 000 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 55 000 | 0 | 0 |
| VIII. Implementation of the FM 2009-2014 | 5 000 | 0 | 0 | 0 | 2 500 | 0 | 0 | 0 | 7 500 | 0 | 0 |
| IX. Preparation of the implementation of the FM 2014-2021 | 51 000 | 0 | 5 000 | 0 | 7 500 | 0 | 5 000 | 485 | 68 500 | 485 | 1 |
| **TOTAL** | 635 000 | 154 003 | 105 000 | 25 314 | 229 500 | 44 337 | 50 500 | 485 | 1 020 000 | 224 140 | 22 |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Planned expenditure for the coming year** | **National Focal Point** | | **Certifying Authority** | | **Audit Authority** | | **Other entities** | | **Total**  **planned** |
| **planned** | **actual** | **planned** | **actual** | **planned** | **actual** | **planned** | **actual** |
| I. Additional management systems | 48 000 |  | 12 000 |  | 0 |  | 2 500 |  | 62 500 |
| II. Annual and other meetings with the Donor States | 10 000 |  | 0 |  | 0 |  | 500 |  | 10 500 |
| III. Meetings and conferences to share experience | 1 000 |  | 3 000 |  | 2 000 |  | 0 |  | 6 000 |
| IV. Promotional and information activities | 10 000 |  | 0 |  | 0 |  | 0 |  | 10 000 |
| V. Audits | 0 |  | 0 |  | 30 000 |  | 0 |  | 30 000 |
| VI. On-the-spot verifications | 0 |  | 0 |  | 0 |  | 0 |  | 0 |
| VII. Reviews and evaluations | 0 |  | 0 |  | 0 |  | 0 |  | 0 |
| VIII. Implementation of the FM 2009-2014 | 0 |  | 0 |  | 0 |  | 0 |  | 0 |
| IX. Preparation of the implementation of the FM 2014-2021 | 0 |  | 0 |  | 0 |  | 0 |  | 0 |
| **TOTAL** | 69 000 |  | 15 000 |  | 32 000 |  | 3 000 |  | 119 000 |

# *Procurement*

No activities have been outsourced by national level institutions.

# *Staffing*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **National Focal Point** | | | | |
| Name of staff | Official position | Main tasks | Level of effort (% of working time) | Funded through the Grants (Y/N) |
| Martin Karro | Deputy Head of the State Shared Service Centre | Head of the National Focal Point | 25 | N |
| Merje Rahn | Senior Officer of the Grants Development Department | first contact, overall coordination and implementation of Norway/EEA Grants in Estonia, incl implementation of Bilateral Fund, TA cost manager, management and control system, follow up on audits | 90 | Y |
| Marek Kübarsepp | Adviser of the Grants Development Department | legal issues, lawyer, management and control system | 40 | Y |
| Brit Kerbo | Communication specialist of the SSSC | communication activities | 10 | Y |
| Aveliin Sule | Adviser of the Grants Development Department | overall eligibility issues incl simplified cost options | 5 | Y |
| Anneli Kimmel | Adviser of the Grants Development Department | Public Procurement issues | 5 | Y |
| Margit Aus | Adviser of the Grants Development Department | eligibility, incl state aid, application of grants, durability requirements | 5 | N |
| Kristel Ilumäe | Adviser of the Grants Development Department | Procedures (incl stakeholders management and control systems), risk management, follow up on audits | 10 | N |
| Kärt Kraaving | Adviser of the Grants Development Department | eligibility, incl payments | 5 | N |
| Üllar Laan | Adviser of the Grants Development Department | Data quality, IT | 5 | N |
| Kristiina Piikov | Senior Officer of the Grants Development Department | financial corrections and claim procedures | 5 | N |
| **Certifying Authority** | | | | |
| Name of staff | Official position | Main tasks | Level of effort (% of working time) | Funded through the Grants (Y/N) |
| Tarmo Leppoja | Director General of the SSSC | Head of the Certifying Authority | 10 | N |
| Jaanus Kants | Adviser of the Grants Payments Department | coordination of financial reports, forecasts | 5 | Y |
| Kärt Kõljalg | Adviser of the Grants Payments Department | management and control system, coordination of financial reports, forecasts | 15 | Y |
| Anneliis Rätsep | Financial specialist of the Grants Payments Department | financial reports, forecasts | 13 | Y |
| **Name of Audit Authority** | | | | |
| Name of staff | Official position | Main tasks | Level of effort (% of working time) | Funded through the Grants (Y/N) |
| Kaur Siruli | Head of the Financial Control Department of the Ministry of Finance | Head of the Audit Authority /  Head of the Irregularities Authority | 10 | N |
| Kadi Peets | Head of the II audit unit of the Financial Control Department | Audit work | 25 | N |
| Veronika Soom | Lead Auditor of the Financial Control Department | Audit work | 70 | Y |
| Liina Võrklaev | Lead Auditor of the Financial Control Department | Audit work | 70 | Y |
| **Irregularities Authority** | | | | |
| Name of staff | Official position | Main tasks | Level of effort (% of working time) | Funded through the Grants (Y/N) |
| Virve Teppart | AFCOS Adviser | Irregularities | 2 | Y |

1. Submit as a separate file, which includes all annexes together. [↑](#footnote-ref-2)