

Results Reporting Guide

*Categories and codes for
EEA and Norway Grants 2014-2021 data*

06 December 2017
Version 2

List of abbreviations

ACF	Active Citizens Fund
BS	Beneficiary State
DPP	Donor Programme Partner
DS	Donor State
EFTA	European Free Trade Association
EEA	European Economic Area
EU	European Union
FM	Financial Mechanism
FMC	Financial Mechanism Committee
FMO	Financial Mechanism Office
FO	Fund Operator
FPR	Final Programme Report
Grace	GRants Administration and Collaboration Environment
IPO	International Partner Organisation
MoU	Memorandum of Understanding
NFP	National Focal Point
NGO	Non-Governmental Organisation
NMFA	Norwegian Ministry of Foreign Affairs
NUTS	Nomenclature of Units for Territorial Statistics
PLI	Project Level Information
PA	Programme Area
PP	Project Promoter
PS	Priority Sector
PO	Programme Operator
SGS	Small Grant Scheme
SME	Small and Medium-sized Enterprise

List of Information Sources

[Agreement on Norwegian Financial Mechanism for the period 2014-2021](#)

[Agreement on EEA Financial Mechanism for the period 2014-2021](#)

[Blue Book](#)

[EEA and Norway Grants 2014-2021 Regulation](#)

[Bilateral Guideline](#)

[Education Guideline](#)

[Research Guideline](#)

[Results Guideline](#)

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1 Introduction

Through the EEA and Norway Grants, Iceland, Liechtenstein and Norway work closely with 15 EU Member States in Central and Southern Europe and the Baltics (Beneficiary States). The EEA and Norway Grants have two overall objectives of equal importance;

- Contributing to the reduction of economic and social disparities in the European Economic Area and
- Strengthening bilateral relations between Iceland, Liechtenstein and Norway, and each of the 15 Beneficiary States.

This Results Reporting Guide has been developed by the Financial Mechanisms Office (FMO) – the secretariat for the EEA and Norwegian Financial Mechanisms (FMs). The FMO reports to the Ministries of Foreign Affairs of Iceland, Liechtenstein and Norway.

The primary audience of the Results Reporting Guide is National Focal Points, Programme Operators, Evaluators, Monitoring Agents, FMO staff and other entities who work with information for the EEA and Norway Grants 2014 – 2021. The guide also provides the general public and other information users with a better understanding of the main terms used and data availability under the EEA and Norway Grants 2014 – 2021.

This Results Reporting Guide is designed to guide its readers through the available information for results reporting on the Grants. It provides definitions and explanations for the statistical concepts and terms used for designing, implementing and reporting on programmes under the EEA and Norway Grants 2014 – 2021. Statistical information is often a basis for analysis and reports on progress and results in programmes and projects. International classifications and definitions, such as from the OECD and Eurostat, have been used as a basis as far as possible.

For the EEA and Norway Grants 2014-2021, information will be hosted in an information system operated by the FMO called Grace which stands for GRants Administration and Collaboration Environment (**this information system is still under development**).

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

Brussels, December 2017

Disclaimer

This document is provided for information purposes only and its contents are not intended to replace consultation of the applicable legal framework or the necessary advice of a legal expert, where appropriate. Neither the Donors, the Financial Mechanism Office nor any person acting on their behalf can be held responsible for the use made of these guidance notes.

For legal purposes, reference is made to the Regulations on the implementation of the European Economic Area (EEA) Financial Mechanism and of the Norwegian Financial Mechanism 2014-2021 (the Regulations).

This document will be updated to reflect modifications to the legal framework. In case of any inconsistency, the provisions of the latter shall apply.

2 Priority Sectors and Programme Areas

The Priority Sectors and Programme Areas funded in the period 2014-2021 reflect the priorities set out in the [Europe 2020](#) strategy – the European Union’s ten-year growth strategy for smart, sustainable and inclusive growth – and the 11 thematic objectives set out in the EU’s cohesion policy. Support to these sectors is, thus, aimed at contributing to sustainable growth and jobs, tackling climate change and energy dependence, and reducing poverty and social exclusion. The support also promote bilateral and international cooperation.

The Priority Sectors and Programme Areas supported by the EEA and Norway Grants 2014-2021 are described in Annex 1 to the *Regulations*¹ as well as the Blue Book². There are 5 Priority Sectors and 23 Programme Areas.

The Priority Sectors are:

- Innovation, Research, Education and Competitiveness
- Social Inclusion, Youth Employment and Poverty Reduction
- Environment, Energy, Climate Change and Low Carbon Economy
- Culture, Civil Society, Good Governance and Fundamental Rights and Freedoms
- Justice and Home Affairs

Special provisions are made in the Memorandum of Understanding (MoU) for programmes where the FMO has been entrusted with the operations of the programme, pursuant to Article 6.13 of the Regulations. This will mainly apply to the programme areas “Civil Society” and “Social Dialogue – Decent Work”, as well as for some programmes falling under the programme area “Business Development, Innovation and SMEs”.

See chapter 8 *Programmes operated by the FMO* for further information.

2.1 Programme Area Objectives

Each Programme Area has an objective, which relates to the two overall objectives of the EEA and Norway Grants. The Programme Area Objectives are pre-defined for each Programme Area and they describe the intended impact.

The full list of the Priority Sectors and corresponding Programme Areas and Objectives is available in *Annex I - Programme Areas*.

¹ EEA Grants 2014-2021 and Norway Grants 2014-2021 under <http://eeagrants.org/Results-data/Documents/Legal-documents/Regulations-with-annexes>

² <http://eeagrants.org/Who-we-are/How-we-work/Priorities-for-the-EEA-and-Norway-Grants-2014-2021-consulted-and-finalised/Priority-sectors-and-programme-areas-EEA-and-Norway-Grants-2014-2021>

3 Beneficiary States

The Beneficiary States and their financial allocation is agreed in art. 6 of the *Agreements*³ between the Donor State(s) and the European Union for the period 2014-2021⁴.

Each Beneficiary State enters into agreements through a MoU with the EEA Financial Mechanism Committee (FMC) for the implementation of the EEA Financial Mechanism or the Norwegian Ministry of Foreign Affairs (NMFA) for the implementation of the Norwegian Financial Mechanism.

The Beneficiary States are:

- Bulgaria
- Croatia
- Cyprus
- Czech Republic
- Estonia
- Greece (only EEA Grants)
- Hungary
- Latvia
- Lithuania
- Malta
- Poland
- Portugal (only EEA Grants)
- Romania
- Slovakia
- Slovenia

This chapter describes some of the information collected on Beneficiary State MoU(s) in Grace. The FMO is responsible for registering the information in Grace.

3.1 Beneficiary State Basic Information

- **Allocation** – Beneficiary State specific gross allocation (art. 6 of the *Agreements*).
- **Start date of negotiation** – First date of MoU negotiations between the Donor State(s) and the Beneficiary State.
- **Annual meeting date** – The date of the annual meeting in the Beneficiary State (each year) between the FMC/NMFA and the National Focal Point.
- **Donor State signature date** – The date of signature by the Donor State of the MoU for the Norwegian FM or the date of the last Donor State signature date in the case of the EEA FM. This date is not updated in case of amendments to the MoU.
- **Beneficiary State signature date** – The date of signature of the MoU of the Beneficiary State representative. This date is not updated in case of amendments to the MoU.
- **MoU Entry into force** – The date when the current version of the MoU is entry into force.
- **Eligibility dates of expenditure of bilateral fund** – The period of the first date and final date of eligibility of expenditure for the Fund for bilateral relations. The final date of eligibility is 30 April 2025. (art. 4.6.2 of the *Regulations*).
- **Eligibility dates of expenditure of technical assistance** – The period of the first date and the final date of eligibility of expenditure for the Beneficiary State technical assistance. (Article 8.11.7 of the *Regulations*). The final date of eligibility is 31 August 2025 (art. 8.11.9 of the *Regulations*).

3.2 National Management and Control Structures

The National management and control structures are described in Annex A of the MoU. For full definitions of the organisational entities below please consult art. 1.6 and Chapter 5 of the *Regulations*.

- **Financial Mechanism** – Each MoU is related to either the EEA FM or Norwegian FM.
- **National Focal Point** – National public entity designated by the Beneficiary State to have the overall responsibility of reaching the objectives of the FM 14-21 and implementing the MoU.

³ Protocol 38c to the EEA Agreement

<http://data.consilium.europa.eu/doc/document/ST-6956-2016-INIT/en/pdf> and the

Agreement between the Kingdom of Norway and the European Union on a Norwegian Financial Mechanism for the period 2014-2021 <http://data.consilium.europa.eu/doc/document/ST-6957-2016-INIT/en/pdf>

⁴ The eligible countries for Norway Grants are the countries that joined the EU after 2003.

- **Certifying Authority** – National public entity designated by the Beneficiary State to certify financial information.
- **Audit Authority** – National public entity designated by the Beneficiary State and responsible for verifying the effective functioning of the management and control system.
- **Irregularities Authority** – National public entity designated by the Beneficiary State to be responsible for the preparation and submission of irregularities reports on behalf of the Beneficiary State.

3.3 MoU Implementation Framework

The Parties to the MoU agree on an implementation framework outlined in Annex B of the MoU (art. 2.5.2 (b) of the *Regulations*).

The financial parameters of the implementation framework are described in section 1 of Annex B. Allocations other than to programmes are the following:

- **Technical assistance for the Beneficiary State** – Management costs of the Beneficiary State (art. 1.10 of the *Regulations*).
- **Reserve** – Amount for a reserve for a new programme or addition to existing programme(s) (art. 1.11 of the *Regulations*).
- **Reserve for completion of projects under FM 2009-2014** – Amount for completion of specific project(s) from the 09-14 FM (art. 1.12 of the *Regulations*).
- **Fund for bilateral relations** – Amount for activities eligible for support under the fund for bilateral relations (art. 4.6.1 of the *Regulations*).

The specific concerns of the implementation framework is described in section 2 of Annex B.

- **Specific concerns** – Narrative text listing specific concerns for the MoU.

The substantive parameters for each programme of the implementation framework are described in section 3 of Annex B. A programme under one FM can be implemented in conjunction with a programme implemented under the other FM.

- **Programme name** – Programme name normally referring to the Programme Area name.
- **Programme objective** – The objective that the programme and any project funded through it have to contribute (see 5.2.1 *Programme Objective*).
- **Programme grant** – Financial contribution from the Donor State(s) to the programme (art. 1.6.q of the *Regulations*).
- **Programme co-financing** – Financial contribution by the Beneficiary State to the programme.
- **Programme Operator** – Name of the entity which acts as Programme Operator for the programme (if known).
- **Donor Programme Partner(s)** – Name of the entity which acts as Donor Programme Partner(s) (if relevant) (art. 1.6(d) of the *Regulations*).
- **International Partner Organisation(s)** - Name of the organisation which acts as International Partner Organisation(s) (art. 1.6 (i) of the *Regulations*) (if relevant).
- **Programme Area(s)** – Programme area(s) which cover the programme.
- **Special concerns** – Narrative text describing any special concerns for the programme.
- **Bilateral ambitions** – Narrative text describing the bilateral ambitions of the programme.
- **Pre-defined project count** – Number of projects predefined in the MoU.

4 Bilateral relations

The Bilateral Guideline⁵ provides an overview and clarification of requirements concerning the strengthening of bilateral relations, and provides guidance and suggestions for how to best implement these requirements in practice.

It is the shared responsibility of the National Focal Point (NFP) and the Programme Operators to register information on bilateral initiatives in Grace.

4.1 Fund for bilateral relations

The fund for bilateral relations is established through a Bilateral Fund Agreement⁶ between the Donor States and the Beneficiary State⁷. Each Beneficiary State sets aside a minimum of 2% of its total allocation to this fund to contribute to the objective of strengthening bilateral relations (art. 4.6 of the *Regulation*).

The NFP is responsible for the use of the fund for bilateral relations. Parts of the fund is made available to the Programme Operators through allocations set in the MoU and through allocations made by the Joint Committee for Bilateral Funds. Other parts of the fund will be managed by the NFP to finance initiatives beyond the programmes.

The range of activities eligible for support under the fund for bilateral relations are described in Article 8.8 of the *Regulations*.

4.2 Bilateral Relations Results Framework

The overall bilateral objective of the EEA and Norway Grants is to strengthen bilateral relations for which the operation definition is: “Enhanced cooperation and improved mutual knowledge and understanding between Donor States and Beneficiary States”.

Bilateral cooperation is facilitated and supported by the EEA and Norway Grants through programmes, projects and bilateral fund activities.



Figure 1 Results chain for bilateral cooperation

⁵ Bilateral Guideline under <http://eeagrants.org/Results-data/Documents/Legal-documents/Guidelines-mandates-and-strategy/EEA-and-Norway-Grants-2014-2021>

⁶ Annex 4 to the *Regulations*

⁷ The Active Citizens Fund has programme specific fund for bilateral relations and normally does not receive funding from the Fund for bilateral relations.

Information on the bilateral initiatives is collected in Grace to offer an overview of the type of activities supported, the actors involved, and the results achieved.

Bilateral results achieved from activities which are funded under the Fund for bilateral relations are collected and reported separately from the programme results framework.

The programme results framework has a mandatory bilateral outcome to capture the bilateral results related to the programme allocation, see further information in chapter 5.2.2.1 *Bilateral Outcome* as well as chapter 5.2.3.2 *Bilateral Indicators*.

5 Programme Information

A programme is a structure setting out a development strategy with a coherent set of measures to be carried out through projects with the support of the EEA and Norway Grants and aimed at achieving agreed objectives and outcomes (art. 1.6.(o) of the *Regulations*).

Programmes and activities funded by the EEA and Norway Grants follow a results and risk management approach (art. 1.3.4 of the *Regulations*).

This chapter describes some of the information collected on programmes in Grace.

It is the shared responsibility of the FMO and the Programme Operator to register programme information in Grace.

5.1 Programme Basic Information

- **Programme Name** – Title of the programme, commonly referring to the Programme Area name.
- **Country** – Programme Beneficiary State name.
- **Financial Mechanism(s)** – EEA FM and/or Norwegian FM depending on the involvement in the programme.
- **Programme Area(s)** – Name of the Programme Area(s) covered by the programme (Annex I of the *Regulations*).
- **Programme Objective** – Overall objective of the programme (see 5.2.1 *Programme Objective*).
- **Programme Grant** – Amount of funding from the Donor State(s) to the programme (art. 1.6 (q) of the *Regulations*).
- **Programme Operator** – Entity which acts as Programme Operator for the programme (art. 1.6 (r) of the *Regulations*).
- **Fund Operator** – Entity which acts as Fund Operator (only applicable where FMO is the Programme Operator) (art. 6.13.4 of the *Regulations*).
- **Donor Programme Partner(s)** – Entity/-ies from a Donor State acting as Donor Programme Partner (art. 1.6 (d) of the *Regulations*).
- **Other Programme Partner(s)** – International organisation acting as International Partner Organisation (IPO) in the programme (art. 1.6 (i) of the *Regulations*) or an entity from the Beneficiary State acting as Programme Partner (art. 1.6 (s) of the *Regulations*).
- **Programme Status** – Status from a predefined list of preparation and implementation statuses of the programme.
- **Eligibility of expenditure dates** – The first and final date of eligible expenditure of a programme (art. 8.1 of the *Regulations*).
 - **Programme management** – The first and final date of eligibility of management cost of the Programme Operator (art. 8.10.1 of the *Regulations*)
 - **Projects** – The first and final date of eligibility of expenditures in projects under the programme (art. 8.13 of the *Regulations*).
- **Concept Note Submission date** – The date of the submission of the Concept Note to the FMC/NMFA (art. 6.2.2 of the *Regulation*)
- **Draft Programme Agreement date** – The date of finalization of the draft Programme Agreement, which should be ready within 6 months of Concept Note submission (art. 6.3.1 of the *Regulations*).
- **Programme Implementation Agreement date** – The date of signature of the Programme Implementation Agreement between the National Focal Point and the Programme Operator (art. 6.8 of the *Regulations*).
- **Programme summary** – A narrative description of the programme.

5.2 Programme Results Framework

The results framework captures the essential elements of the logical- and expected cause-effect relationships among outputs, outcomes, and impact (Programme Area Objective) of the results chain. The results framework is developed during the programme preparation phase of the programme cycle and is first set out in the programme Concept Note⁸.

The Results Guideline⁹ provides relevant stakeholders with extensive information on definitions, development and application of the results framework as well as assists them with recommendations in designing, implementing and reporting on programmes.

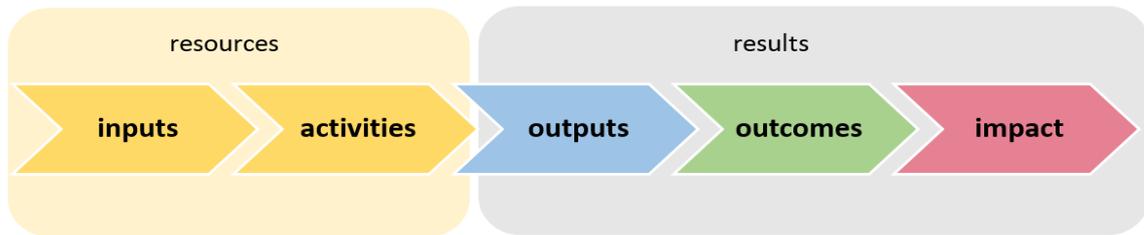


Figure 2 Results chain

5.2.1 Programme Objective

Each programme contributes to one of the 23 Programme Area Objectives.

Programmes that combine different Programme Areas adopt the overall objective of what is defined as the host Programme Area. All projects and other measures under the programme contribute to the same objective.

The objective of the programme is the (expected) impact that it makes through long-term effect or changes of an intervention on society or the environment.

The list of objectives is enclosed in *Annex I - Programme Areas and Objectives*.

5.2.2 Outcome and Outputs

Each programme has at least two outcomes, including the mandatory common bilateral outcome, and each outcome has at least one output.

There is a logical link between the outputs and the corresponding outcome where the outputs are the products, capital goods, and services delivered in order to reach the desired effects (outcomes).

Please consult the Results Guideline (page 15) for further information on outcomes and outputs.

5.2.2.1 Bilateral Outcome

The results framework for each programme covers the results of bilateral cooperation.

Each programme includes the following mandatory bilateral outcome:

Enhanced collaboration between Beneficiary State and Donor State entities involved in the programme

The mandatory bilateral outcome has, unlike other outcomes, no specific budget assigned to it, as the outputs delivered under the bilateral outcome in reality take place under the other outcomes.

⁸ Annex 5 to the *Regulations*

<http://eeagrants.org/Results-data/Documents/Legal-documents/Regulations-with-annexes>

⁹<http://eeagrants.org/Results-data/Documents/Legal-documents/Guidelines-mandates-and-strategy/EEA-and-Norway-Grants-2014-2021/Results-Guideline2>

The bilateral outcome, in other words, functions as a vehicle for reporting on bilateral results achieved under all the other outcomes of the programme.

5.2.3 Indicators

Indicators are a metric for performance monitoring and results measurement.

Each outcome and output has at least one indicator. All indicators have a target and achievement value and unit of measurement as well as a source of verification. Achievements are reported periodically by Programme Operators. Outcome indicators also have a baseline value and year.

The Results Guideline (page 18) provides extensive information on the development of indicators as well as for assigning baselines and targets.

5.2.3.1 Core Indicators

Core indicators are pre-defined indicators with standard wording which are to be used by programmes whenever relevant. They allow for measuring aggregated results for specific areas of high political donor interest.

A core indicator can be priority sector specific or cut across priority sectors. In that same manner there are core indicators that measure output achievements and there are other that measure outcome achievements.

The list of Core indicators is enclosed in *Annex IV - Core Indicators*.

5.2.3.2 Bilateral Indicators

As each programme contributes to both objectives of the Grants, this entails that the results framework covers the results of bilateral cooperation.

Indicators under the mandatory bilateral outcome and each bilateral output are bilateral indicators. Furthermore indicators measuring bilateral results can be present under the normal outcomes.

A list of bilateral core indicators is given in *Annex V - Core Bilateral Indicators*. There are 3 bilateral outcome indicators which are mandatory for all programmes. All/any of the rest are included in the programmes' results framework when relevant.

5.3 Programme Modalities

Programmes are implemented by way of one or more of the following modalities.

5.3.1 Pre-defined Projects

Pre-defined projects are identified without a call for proposals (art. 6.5 of the *Regulations*) Pre-defined projects are identified in the MoU and/or in a later stage.

5.3.2 Calls for Proposals

Calls for proposals are organised by the Programme Operator and are widely publicised to reach all potential applicants. Call for proposal address what kind of activities and expenditure are eligible (art. 7.3 of the *Regulations*).

5.3.3 Small Grant Schemes

Small Grant Schemes (SGS) are used for smaller projects where the grant assistance is between €5,000 and €200,000. Scholarships to natural persons may however be for less than €5,000 (art. 6.6 of the *Regulations*).

5.3.4 Financial instruments

Financial instruments may be used to contribute to the achievements of the specified objectives of a Programme, to support activities which are expected to be financially viable but do not give rise to sufficient funding from market sources (art. 6.7 of the *Regulations*).

5.4 Programme Partnerships

Programme partners are actively involved in and effectively contribute to the implementation of the programme (art. 1.6 (s) of the *Regulations*).

A Programme Partners could be further identified as:

- International Partner Organisation (IPO) (art. 1.6 (i) of the *Regulations*) or
- Donor Programme Partner (DPP) when the entity is from the Donor State(s) (art. 1.6 (d) of the *Regulations*).

5.5 Programme Target Groups

Each programme has a narrative description for the target groups and how they will benefit from the programme.

6 Project Information

Programme Operators are responsible for registering project information in Grace (art. 5.6.1.(s) of the *Regulations*).

6.1 Project Basic Information

- **Programme** – Reference to the programme the project belongs to.
- **Project Name** – Title of the project.
- **Project Promoter** – Reference to the organisation which acts as Project Promoter for the project (art. 1.6.x of the *Regulations*).
- **(Donor) Project Partner(s)** – Reference to the organisation(s) which acts as (Donor) Project Partner for the project (art. 1.6.w of the *Regulations*).
- **Country** – Reference to the programme Beneficiary State.
- **Project Grant** – Amount awarded by a Programme Operator to a Project Promoter to implement the project (art. 1.6.v of the *Regulations*).
- **Project Cost** - Eligible expenditure of the project (art. 8 of the *Regulations*)
- **Project Grant Rate** – Percentage of Project Grant over the Project Cost of the project (art. 6.4.2 of the *Regulation*).
- **Project eligibility of cost period** – The first and final date of eligibility of the project as specified in the project contract (art. 8.13.2 of the *Regulations*).
- **Modality** – Type of implementation modality used by the project (see chapter 5.3 *Programme Modalities*).
- **Estimated duration** – The estimated project duration in months.
- **Project Status** – Status from the predefined list of preparation and implementation status of the project.
- **Project Summary** – A narrative description of the project.

6.2 Project Results Framework

Projects are an integral part of the results chain as the project activities deliver/produce the programme output(s). Each project belongs to a programme and contributes to one or more programme outcomes. The following project information is provided to link the projects to the overarching programme results framework.

- **Programme Output(s)** – Reference to the programme output(s) the project delivers/produces.
- **Programme Outcome(s)** – Reference to the programme outcome(s) that the project contributes to.
- **Programme Area(s)** – Reference to the Programme Area(s) the project contributes to.
- **Programme Objective** – Reference to the Programme Objective the project contributes to.
- **Financial Mechanism** – Reference to the funding mechanism of the project.

6.3 Project Target Groups

Each project has at least one end beneficiary defined. For statistical purposes, it is recommended not to choose more than three target groups in all.

There are two types of target groups:

- **Direct target group:** A target group the project seeks to influence in order to achieve results for the end beneficiaries. In most cases, the direct target groups act as intermediaries between the programme and the end beneficiaries.
- **End beneficiaries:** Individuals or groups expected to reap tangible benefits of an intervention. In service provision project, some outputs are delivered directly to the end beneficiaries. In that case, no intermediary target groups are necessary.

The list of Standard target groups is enclosed in *Annex II - Target Groups*.

6.4 Project Sector Codes

Each project has a sector code (one code only). The sector codes track the sector, or sub-sector, to which project funds are directed.

The sector code is selected by answering the question “which specific economic, societal or environmental area in the beneficiary state is the funding intended to support”?

Identifying the exact areas on which the funds are being directed is not always simple, since some projects are multi-dimensional and address interrelated policy areas.

The funding is attributed to the most relevant sector, based on best judgement, which reflects the purpose of the funds.

The list of sector codes can be found below, in *Annex III - Sector Codes*.

6.5 Project Policy Markers

Policy markers support the identification of projects that contribute to certain politically important issues of the Grants.

For each project, the relevance of each policy marker is indicated on a scale going from the issue not being applicable to the issue being the explicit justification for the project.

6.6 Research Projects

Projects under the Programme Area “Research” or from the research component, under any programme follow the rules set out in the Guideline for Research Programmes¹⁰

The following additional information is provided for research projects:

- **Research Type** – available options are *Basic Research* and *Applied Research*.
- **Research Discipline** – reference to the academic discipline that the research project is conducted within taken from the list of academic disciplines is enclosed in *Annex VII - Academic Discipline*.

6.7 Education Projects

Projects under the Programme Area “Education, Scholarships, Apprenticeships and Youth Entrepreneurship”, under any programme, provide the following additional information.

The following three categories of projects may be included in educational programmes¹¹:

- **Preparatory visits**
- **Mobility projects**
- **Institutional cooperation projects**

For reporting purposes, single mobility projects are grouped together for project level information. The detailed list of mobilities is submitted by the Programme Operator according to the individual mobilities template. The list of mobility information is enclosed in *Annex VI - Mobility Information*.

6.8 Civil Society Projects

Active Citizens Fund projects which are under the Programme Area “Civil Society”, follow the rules set in the Manual for Fund Operators of the Active Citizens Fund.

The following additional information is provided for the Active Citizens Fund projects:

¹⁰ [Guideline for Research Programmes 2014-2021](#)

¹¹ [Guideline for Education programmes 2014-2021](#), VI. PROJECT ACTIVITIES

- **Capacity Building** – indicates if the project contributes to capacity development and sustainability of civil society including non-governmental organisations (NGO). Available options are yes/no.

If capacity building applies:

- **Capacity Building Type** – available options are *Organisational* (developing the PPs organisational capacities and sustainability) and/or *Sectoral* (building the capacity and sustainability of the civil society sector).
- **Capacity Building Budget Estimate** – estimated amount out of the project grant.

6.9 Project Location

Project location uses the code of the region or area where the operation is located/carried out within the Beneficiary State. The code used for the project relates to the most detailed level (NUTS 3) as set out in the Classification of “Nomenclature of Units for Territorial Statistics” (NUTS)¹².

The following rule of thumb is proposed for locating operations:

- For physical infrastructure the actual location of the infrastructure is encoded (not the address of the beneficiary).
- For projects serving a given target group, the project is encoded based on the location of the main activities.
- For bilateral projects, location is based on the address of the partner in the Beneficiary State.

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http://ec.europa.eu/eurostat/ramon/nomenclatures/index.cfm?TargetUrl=LST_CLS_DLD&StrNom=NUTS_33&StrLanguageCode=EN

7 The Fund for Youth Employment and the Fund for Regional Cooperation

The EEA and Norway Grants Fund for Youth Employment¹³ and the EEA and Norway Grants Fund for Regional Cooperation¹⁴ contribute to the reduction of economic and social disparities in the European Economic Area and to the strengthening of relations between the Donor States and the Beneficiary States. Additionally, the funds strengthen regional cooperation to address European challenges through transnational activities.

Both funds are allocated from the Norwegian Financial Mechanism and the EEA Financial Mechanism.

The Funds operate on the basis of calls designed and launched by the Donor States Norway, Iceland and Liechtenstein with support from the FMO.

Eligible project partners may be entities, public or private, commercial or non-commercial and non-governmental organisations, established as legal persons, but sole proprietorships and natural persons are not eligible consortium members.

7.1 The EEA and Norway Grants Fund for Youth Employment

The Fund supports projects that promote sustainable and quality youth employment.

Each project under the Fund for Youth Employment is implemented by partners working in consortia. Each consortium consist of one lead partner with the involvement of one or more beneficiary partners and any expertise partners needed to obtain the objectives of the project. The fund is available to projects involving Beneficiary States and other EU Member States with a youth unemployment rate above 25% (Eurostat reference year 2013). The eligible countries are thus all the Beneficiary States and Ireland, Italy and Spain.

The funding has a single call for proposals for transnational projects addressing youth unemployment. Interventions targeting older (25+) people not in employment, education or training and disadvantaged groups are specific priorities of the fund. The call has three principal support areas:

Innovation and exploration

Projects that focus on new, experimental solutions to combat unemployment among the target groups and increase the number of sustainable jobs for young people. The support area implies the pioneering of solutions and the application of unconventional practices.

Transfer of know-how and good practice

Projects that focus on transferring know-how and good practice on youth employment initiatives across European countries, with the ultimate goal of creating more quality jobs and lower unemployment rates among youths within the target groups listed above.

¹³ Article 7.2 of Protocol 38c and the Norway EU Agreement

¹⁴ Article 7.3 of Protocol 38c and the Norway EU Agreement

Analysis and research

Supporting transnational research networks that share learning (ideas, theories, practices and experiences) on how to evaluate and perform impact studies of initiatives aiming to address youth employment in the eligible countries.

7.2 The EEA and Norway Grants Fund for Regional Cooperation

The fund addresses regional cooperation across the priority sectors of the EEA and Norway Grants, in particular in the areas of knowledge sharing, policy exchange of best practice and institution building.

The Fund is available to projects involving Beneficiary States and neighbouring third countries. Projects involve entities from at least three countries, including at least two Beneficiary States.

'Neighbouring third countries' are the following non-EU countries that have a land border with the EEA:

- Albania
- Belarus
- Bosnia Herzegovina
- Macedonia
- Moldova
- Montenegro
- Russia
- Serbia
- Turkey
- Ukraine

8 Programmes operated by the FMO

Under the EEA and Norway Grants there are programmes which are operated by the FMO, inter-governmental organisations or Donor State entities. In those cases the normal provisions of the *Regulations* do not apply (art. 6.13.3 of the *Regulations*).

When the FMO acts as a Programme Operator, the implementation of the programme is normally performed by a fund operator, appointed and contracted by the FMO. The roles and responsibilities of the FMO and the fund operator are governed by an implementation agreement between the FMO and the fund operator.

The Results Reporting Guide does not capture all the specificities for these programmes.

Annexes

Annex I - Programme Areas and Objectives

Priority Sector: Innovation, Research, Education and Competitiveness		
Programme Area		Objective
1	Business Development, Innovation and SMEs	Increased value creation and sustainable growth
2	Research	Enhanced research-based knowledge development
3	Education, Scholarships, Apprenticeships and Youth Entrepreneurship	Enhanced human capital and knowledge base
4	Work-life Balance	Work-life balance improved
5	Social Dialogue – Decent Work (Norway Grants)	Strengthened tripartite cooperation between employer organisations, trade unions and public authorities and the promotion of decent work
Priority Sector: Social Inclusion, Youth Employment and Poverty Reduction		
6	European Public Health Challenges	Improved prevention and reduced inequalities in health
7	Roma Inclusion and Empowerment	Enhanced inclusion and empowerment of Roma
8	Children and Youth at Risk	Promote the rights and well-being of children and young people
9	Youth Participation in the Labour Market	Increased number of young people aged 15-30 in employment
10	Local Development and Poverty Reduction	Strengthened social and economic cohesion
Priority Sector: Environment, Energy, Climate Change and Low Carbon Economy		
11	Environment and Ecosystems	Improved environmental status in ecosystems and reduced adverse effects of pollution and other human activities
12	Renewable Energy, Energy Efficiency, Energy Security	Less carbon intensive energy and increased security of supply
13	Climate Change Mitigation and Adaptation	Climate change mitigated and vulnerability to climate change reduced
Priority Sector: Culture, Civil Society, Good Governance, and Fundamental Rights and Freedoms		
14	Cultural Entrepreneurship, Cultural Heritage and Cultural Cooperation	Social and economic development strengthened through cultural cooperation, cultural entrepreneurship and cultural heritage management
15	Civil Society	Civil society and active citizenship strengthened and vulnerable groups empowered
16	Good Governance, Accountable Institutions, Transparency	Integrity and accountability of public administration improved
17	Human Rights – National Implementation	Human rights situation improved and discrimination and extremism combatted at national level
Priority Sector: Justice and Home Affairs		
18	Asylum and Migration	Functioning national asylum and migration management systems ensured and the right to seek asylum safeguarded
19	Correctional Services and Pre-trial Detention	Improved correctional system
20	International Police Cooperation and Combating Crime	Improved crime prevention and investigation
21	Effectiveness and Efficiency of the Judicial System, Strengthening Rule of Law	Strengthened rule of law
22	Domestic and Gender-based Violence	Domestic and gender-based violence prevented and victims protected and assisted
23	Disaster Prevention and Preparedness	Improved disaster resilience

Annex II - Target Groups

Direct target group: a target group the programme seeks to influence in order to achieve results for the end beneficiaries. In most cases, the direct target groups act as intermediaries between the programme and the end beneficiaries.

End beneficiaries: individuals or groups expected to reap tangible benefits of an intervention. In service provision programmes, some outputs are delivered directly to the end beneficiaries. In that case, no intermediary ("direct") target groups are necessary (you can leave it blank).

Target group	Direct	End beneficiary
Age-related		
Children and Youth (0-17)		x
Young adults (18-29)		x
Adults (30-64)		x
Elderly (65+)		x
Business-related		
Entrepreneurs		x
SMEs ¹⁵ (Small and Medium Sized Enterprises with 10-249 staff)	x	x
Large Enterprises	x	
Culture-related		
Artists		x
Museums (and other visual arts institutions)	x	
Performing arts institutions	x	
Education/ research-related		
Students (any age)		x
Teachers/Professors (any level)	x	
Educational institution staff (non-teaching)	x	
Researchers/Scientists		x
Universities/Research institutions	x	
Health-related		
Medical staff	x	
People with disabilities (excluding people with mental health problems)		x
People with mental health problems		x
People with communicable diseases (incl. TB and HIV/AIDS)		x
People with addictions (alcohol, drugs, etc.)		x
Justice/home affairs-related		
Judges	x	
Police	x	
Border guards	x	
Prison/Probation authorities/staff	x	
Prosecutors	x	
Juvenile criminal offenders		x
Criminal offenders (incl. prisoners and offenders following alternative sanctions)		x
Victims of hate crime/hate speech		x
Victims of domestic violence/gender-based violence		x
Victims of human trafficking		x

Continued on next page

¹⁵ As defined in [EU recommendation 2003/361](#)

Target group	Direct	End beneficiary
Migration-related		
Asylum authorities/staff	x	
Unaccompanied asylum-seeking children		x
Asylum-seekers		x
Minority status-related		
Jewish population		x
Lesbian, gay, bisexual, transgender, intersex population (LGBTI)		x
Muslims		x
Roma		x
Roma mediators	x	
Russian-speaking minorities		x
Other minorities		x
Policy-related		
Politicians (at national or sub-national level)	x	
Public institutions (at national or sub-national level)	x	
Civil society organisations	x	x
Work-related		
Trade unions	x	
Employers' organisations	x	
Labour inspectorates	x	
Unemployed		x
General		
Media	x	
People at risk of poverty/in poverty ¹⁶		x
Women		x
Men		x
General public		x
Environment		x

¹⁶ As defined by Eurostat: [At-risk-of poverty](#), [Material deprivation](#)

Annex III - Sector Codes

Sector codes are based on the OECD Common Reporting Purpose (CRP) Codes¹⁷ published in May 2016.

The codes used for the EEA and Norway Grants are recorded using 7 digit codes. The first 3 digits refer to the corresponding OECD Development Assistance Committee (DAC) 5 sector.

The next two digits refer to the OECD CRS or voluntary code and the last two digits have been added by the FMO for allowing addition of special defined codes for the EEA and Norway Grants.

Codes that are irrelevant to the EEA and Norway Grants have been excluded, selected descriptions and clarifications have been altered to customize the codes. Finally the placement of some sector codes under the different DAC5 sectors have also been customized.

Sector Code	
110 Education	
1111000	Education policy and administrative management
1112000	Education facilities and training
1118100	Education sector staff training
1122000	Primary education
1123000	Basic skills for youth and/or adults
1123200	Primary education equivalent for adults
1124000	Early childhood education
1132000	Secondary education
1133000	Vocational training
1142000	Higher education
120 Health	
1211000	Health policy and administrative management
1211001	Food safety
1218100	Medical education/training
1218201	Health data systems
1219100	Medical services
1219101	Mental health services
1219102	Cancer services
1222000	Basic health care
1223000	Basic health infrastructure
1225000	Infectious disease control
1226100	Health education
1226101	Health promotion
1226300	Tuberculosis control
1228100	Health personnel development
1302000	Reproductive health care
1304000	STD control including HIV/AIDS

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¹⁷ <http://www.oecd.org/dac/stats/purposecodessectorclassification.htm>

150 Government and Civil Society	
1511000	Public sector policy and administrative management
1511002	Gender policy, management and administration
1511200	Decentralisation and support to subnational government
1511300	Anti-corruption organisations and institutions
1513000	Legal and judicial development
1513001	Transparency
1513003	Probation services
1513004	Alternative dispute resolution
1513005	Legal aid, counsel, treatment and shelters
1513006	Border management
1513007	Countering organized crime
1513008	Countering trafficking
1513009	Crime prevention
1513200	Police
1513500	Ombudsman
1513600	Immigration
1513700	Prisons
1515000	Democratic participation
1515001	Civil society
1515100	Elections
1515300	Media and free flow of information
1516000	Human rights
1516004	Hate speech/hate crime
1516005	Domestic and gender based violence
1516020	Multicultural awareness
1517000	Gender equality organisations and institutions
1518500	Local government administration
1518501	Urban development and management
1606200	Statistical capacity building
160 Social Infrastructure and Services	
1516010	Jewish cultural history
1601000	Social/ welfare services
1602000	Employment policy and administrative management
1602001	Gender equality in employment
1603000	Housing policy and administrative management
1604000	Low-cost housing
1605000	Multisector aid for basic social services
1606100	Culture and recreation
1606116	Cultural heritage management, preservation and conservation
1606117	Creative and artistic cultural activities
1606118	Social and economic development through culture
1606400	Social mitigation of HIV/AIDS

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230 Energy	
2303001	Energy Efficiency
2303002	Energy security
2311000	Energy policy and administrative management
2318100	Energy education/training
2321000	Energy generation, renewable sources – multiple technologies
2322000	Hydro-electric power plants
2323000	Solar energy
2324000	Wind energy
2325000	Marine energy
2326000	Geothermal energy
2327000	Bio energy
2341000	Hybrid energy
321 Business and Innovation	
2501000	Business support services and institutions
3218200	Technological innovation and development
3218201	Blue growth
3218202	Green growth
3218203	Welfare and health technologies
410 Environment and Climate Change	
4101000	Environmental policy and administrative management
4101001	Marine and inland water management
4101002	Spatial planning
4101003	Climate Change policy and administrative management
4101004	Climate change mitigation
4101005	Carbon capture and storage
4101006	Climate change adaptation
4102001	Air pollution control
4102004	Greenhouse gas reduction
4102005	Hazardous substance
4102006	Waste / Recycling
4103000	Bio-diversity
4103001	Red list species
4105000	Flood prevention/control
4105801	Drought prevention
4108100	Environment and Climate Change education/training

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430 Other Multisector	
1118200	Educational research
1218200	Medical research
2318200	Energy research
3118200	Agricultural research
3128200	Forestry research
3138200	Fishery research
4108200	Environmental research
4308200	Research/scientific institutions
4308201	Climate change research
4308202	Carbon capture and storage research
4308203	Marine research
4308204	Gender research
4308205	Health research
4308206	Energy research
4308208	Social science and humanities research
740 Disaster prevention and preparedness	
1513300	Fire and rescue services
930 Migration and Asylum	
9301001	Migration policy and administrative management system

Annex IV - Core Indicators

Core indicators are to be used by programmes whenever relevant.

The Core indicators 2014-2021 Guidance document¹⁸ provides guidance for Core output and outcome indicators for the EEA and Norway Grants 2014-2021. It is intended to support the stakeholders involved in developing or managing EEA or Norway Grants funded Programmes.

In addition to the detailed definitions for the Core indicators, guidance is provided on the mode of data collection and analysis, setting baseline and target values, frequency of reporting and data aggregation at various levels.

Core Indicator Name	Disaggregation categories
Outcome indicators	
Number of jobs created	Gender, Age
Number of new products/technologies developed	
Number of registered applications for Intellectual Property Protection	
Number of articles submitted to peer-reviewed publications	
Share of target group who are favourable to gender equality	Gender, Roma
Number of beneficiaries of services provided or improved	Gender, Roma
Number of Roma reached by empowerment measures	Gender
Number of children and youth reached, at risk of early-school leaving	Gender, Roma
Number of young people aged 15-29 completing vocational education or work-based learning	Gender, Roma
Estimated annual CO2 emissions reductions	
Number of people engaged in civil society organisation activities	Gender, Roma
Number of unaccompanied asylum-seeking minors receiving services	Gender
Annual number of cases of domestic and gender-based violence officially reported	Gender
Number of national policies and laws influenced	
Awareness of EEA and Norway grants	
Output indicators	
Number of SMEs supported	
Number of researchers supported	Gender
Number of professional staff trained	Gender, Roma
Number of awareness raising campaigns carried out	
Number of civil society organisations directly funded	Working with Roma
Number of apprentices supported	Gender, Roma

¹⁸ <https://eeagrants.org/Media/Files/Toolbox/Toolbox-2014-2021/EEA-and-Norway-Grants-Core-Indicator-Guidance>

Annex V - Core Bilateral Indicators

There first 3 bilateral outcome indicators are mandatory for all programmes. All/any of the rest are included in the programmes' results framework when relevant.

The Core indicators 2014-2021 Guidance document¹⁹ provides guidance for Core bilateral output and outcome indicators for the EEA and Norway Grants 2014-2021. It is intended to support the stakeholders involved in developing or managing EEA or Norway Grants funded Programmes. In addition to the detailed definitions for the Core indicators, guidance is provided on the mode of data collection and analysis, setting baseline and target values, frequency of reporting and data aggregation at various levels.

Bilateral Indicator Name	Disaggregation categories
Bilateral Outcome indicators	
Level of trust between cooperating entities in Beneficiary States and Donor States	
Level of satisfaction with the partnership	
Share of cooperating individuals who apply the knowledge acquired from bilateral partnership	Donor State
Number of joint articles submitted to peer-reviewed publications	Donor State
Number of jointly registered applications for Intellectual Property Protection	Donor State
Number of joint applications for further funding	Donor State
Number of joint initiatives, in a Beneficiary State or a Donor State, beyond the scope of the programme	Donor State
Number of letters of intent on future collaboration	
Bilateral output indicators	
Number of training courses co-organised by donor state and beneficiary state entities	
Number of students from beneficiary states in exchanges	Donor State
Number of staff from beneficiary states in exchanges	Gender, Donor State
Number of students from donor states in exchanges	Gender, Donor State
Number of staff from donor states in exchanges	Gender, Donor State
Number of projects involving cooperation with a donor project partner	Donor State
Number of international networks where partners from Beneficiary States and Donor States participate together	

¹⁹ <https://eeagrants.org/Media/Files/Toolbox/Toolbox-2014-2021/EEA-and-Norway-Grants-Core-Indicator-Guidance>

Annex VI - Mobility Information

To be provided.

Annex VII - Academic Discipline

Academic disciplines are aligned with the classification from the Fields of Science and Technology (FOS)²⁰ published by the OECD in 2007. The following list of academic disciplines applies to projects within Research and Education programmes.

Fields of Science and Technology	
1	Natural Sciences
1.1	Mathematics
1.2	Computer and information sciences
1.3	Physical sciences
1.4	Chemical sciences
1.5	Earth and related environmental sciences
1.6	Biological sciences
1.7	Other natural sciences
2	Engineering and Technology
2.1	Civil engineering
2.2	Electrical engineering, electronic engineering, information engineering
2.3	Mechanical engineering
2.4	Chemical engineering
2.5	Materials engineering
2.6	Medical engineering
2.7	Environmental engineering
2.8	Environmental biotechnology
2.9	Industrial Biotechnology
2.10	Nano-technology
2.11	Other engineering and technologies
3	Medical and Health Sciences
3.1	Basic medicine
3.2	Clinical medicine
3.3	Health sciences
3.4	Health biotechnology
3.5	Other medical sciences
4	Agricultural Sciences
4.1	Agriculture, forestry, and fisheries
4.2	Animal and dairy science
4.3	Veterinary science
4.4	Agricultural biotechnology
4.5	Other agricultural sciences
5	Social Sciences
5.1	Psychology
5.2	Economics and business
5.3	Educational sciences
5.3	Sociology
5.5	Law
5.6	Political Science
5.7	Social and economic geography
5.8	Media and communications
5.9	Other social sciences
6	Humanities
6.1	History and archaeology
6.2	Languages and literature
6.3	Philosophy, ethics and religion
6.4	Art (arts, history of arts, performing arts, music)
6.5	Other humanities

²⁰ <http://www.oecd.org/science/innovationinsciencetechnologyandindustry/38235147.pdf>

Annex VIII - Selected Macro Statistics

Macro indicator statistics selected for the EEA and Norway Grants. Note that the list will be updated as appropriate throughout the EEA and Norway Grants 2014 – 2021 implementation period.

Macro indicator	Indicator Owner	Source
State of social and economic affairs		
Human Development Index	United Nations	http://hdr.undp.org/en/media
Life expectancy	United Nations	http://hdrstats.undp.org/en/indicators/69206.html
GDP growth	Eurostat	http://epp.eurostat.ec.europa.eu/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=tsieb020
GDP per capita (pps)	Eurostat	http://epp.eurostat.ec.europa.eu/tgm/table.do?tab=table&init=1&plugin=1&language=en&pcode=tec00114
Gross debt	Eurostat	http://epp.eurostat.ec.europa.eu/tgm/download.do?tab=table&plugin=1&language=en&pcode=tsieb090
Gini-coefficient	Eurostat	http://epp.eurostat.ec.europa.eu/portal/page/portal/product_details/dataset?p_product_code=TESS1190
At-risk-of-poverty	Eurostat	http://epp.eurostat.ec.europa.eu/tgm/refreshTableAction.do?tab=table&pcode=tsisc030&language=en
Unemployment rate	Eurostat	http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=une_rt_a&lang=en
Youth unemployment	Eurostat	http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=une_rt_a&lang=en
Gender inequality index	United Nations	http://hdrstats.undp.org/en/indicators/68606.html
Population growth	World Bank	http://data.worldbank.org/indicator/SP.POP.GROW
State of governance		
TI corruption perception index	Transparency International	http://transparency.org
Freedom house	Freedom House	http://www.freedomhouse.org/report/
European Participation Index	European Trade Union Institute	http://www.worker-participation.eu/About-WP/European-Participation-Index-EPI