

# *ANNUAL PROGRAMME REPORT*

## *FM14-21*

Slovakia

SK-GOVERNANCE Cross-border Cooperation / Good Governance, Accountable  
Institutions, Transparency

2020

## A. EXECUTIVE SUMMARY

The main objective of the programme “Cross-border Cooperation/Good governance, Accountable Institutions, Transparency” is to improve the integrity and accountability of the public administration. The programme comprises of two programme areas - Good governance, accountable institutions and transparency and Effectiveness and efficiency of the judicial system and strengthening rule of law.

The programme area Good governance, accountable institutions and transparency is being implemented through one Open call, one Call for Small Grants Scheme and three pre-defined projects. Both calls were dedicated to find projects fostering institutional cross-border cooperation with Ukraine related to good governance, accountable institutions, transparency and contributing to improved integrity and accountability of public administration.

The Open call GGC01 was closed on 31<sup>st</sup> January 2020 and altogether 11 project applications were submitted in the amount of 5 829 205 €. The Small grants scheme call GGC02 was closed on 15<sup>th</sup> January 2020 and 1 project application was submitted in amount of 166 202 €.

Altogether five projects will be implemented within the call GGC01 in amount of 2 500 000 € and three of them will be implemented in partnership with a donor project partner from Norway. No project will be supported within the call GGC02, which resulted in the modification of the Programme Agreement no. 2. - the Addendum no.2 was signed on 17th September 2020. The project contracts for all five projects were concluded in December 2020.

The first pre-defined project GGCPP001 with the Project Promoter the Government Office of the Slovak Republic named “Improving Integrity of the Public Administration/IIPA”. Effectively from 1<sup>st</sup> October 2020 the new Programme Operator is the Ministry of Investments, Regional Development and Informatization of the Slovak Republic. The change of the Programme Operator resulted in the Addendum no 3, i.e. removal of the general condition no. 3 of the Annex I, which is supposed to be signed in January 2021. The second pre-defined project GGCPP003 with the Public Procurement Office as the Project Promoter is named “Responsible public procurement”. The project contract for this pre-defined project was signed on 5<sup>th</sup> March 2020. The Partnership agreement between the Project Promoter and the project partner – OECD was signed on 19<sup>th</sup> May 2020. The third pre-defined project GGCPP004 with the Ministry of Interior of the Slovak Republic as the Project Promoter is named “TRIGLAV – Strengthen the fight against CBRN threats at the Slovak-Ukrainian border” The project contract for this pre-defined project was signed on 29<sup>th</sup> April 2020. The partnership agreement with all five project partners is supposed to be signed in January 2021.

The programme area Effectiveness and efficiency of the judicial system and strengthening rule of law is being implemented through one pre-defined project. The pre-defined project GGCPP002 with the Project Promoter Ministry of Justice of the Slovak Republic is named “Enhancing the efficiency of the justice system through the protection/empowerment of victims and vulnerable parties”. The project contract for this pre-defined project was signed on 10<sup>th</sup> March 2020.

The implementation of all the pre-defined projects is going well. However, the implementation of the Activity no. 1 – Establishment of family law-courts for the pre-defined project GGCPP002 is postponed, because the new Judicial map of Slovak courts is being revised. A

lesson learned is connected mainly with the ongoing COVID-19 pandemic that proved digital unpreparedness, not only within the programme, but also in the functioning of the Programme Operator.

As regards the risk assessment in 2020, the Programme Operator did not identify additional risks to the programme. T

Communication plan for the programme has been elaborated on the Programme Operator's level. The Programme Operator proceeds in line with approved communication plan and has not identified the need to update this document in 2020. The Programme Operator communicates its dissemination and publicity activities with Royal Norwegian Embassy to Slovakia and the Press Department of the Ministry of Investments, Regional Development and Informatization of the Slovak Republic. As a means of communication with general public, promotional videos were made for three pre-defined projects . Approximately 2-minute-long videos give a short overview of the projects, their focus, goals and aims, key activities, cooperation with project partners as well as expected results.

Bilateral Outcome *Enhanced collaboration between beneficiary and donor state entities involved in the programme* shall be fulfilled through three projects within GGC01 call and a pre-defined project GGCPP004, which are being implemented in cooperation with a donor project partner from Norway. Altogether four out of nine projects within the programme are being implemented in trilateral partnerships between Slovakia, Ukraine and Norway.

In 2020 the development in the programme areas was mostly affected by two factors – COVID-19 and formation of the new government.

## B. PERFORMANCE

### 1. Programme context

The development in the programme areas was mostly affected by two factors, which had impact on practically every area of social and economic life in Slovakia during 2020. Those two factors were the COVID-19 pandemic and formation of the new government.

The COVID-19 pandemic had huge impact on economic life and the state budget. The state budget deficit increased from planned 0.49% to anticipated 6.75% GDP. Due to the consequences on economy of all European Union states, the European Commission started to prepare recovery funding plan to help restore the economy after the pandemic and to help implement significant changes in crucial areas with most challenging problems for near future such as protection and restoration of the environment or digitization of services in state administration. The final version of the recovery plan is supposed to be agreed between Slovak Government and the European Commission during the course of 2021.

The impact of the pandemic was devastating for practically all states throughout the world, but during 2020 it did not have as bad impact in the area of employment in Slovakia as it was originally expected. The unemployment rate raised from 5.9% in Q1 to 7.2% in Q3 during 2020. The Government approved financial help for businesses which were affected by lockdown, which was instated as a snit-virus measure, subsidies on rents or possibility of deferring loan payments up to 9 months. Due to the second wave of the pandemic at the end of year 2020 and its continuation in the beginning of 2021, the overall impact of the COVID-19 pandemic is hard to anticipate. It will also be affected by the speed and efficiency of vaccination, which launched at the end of 2020.

The second factor with important impact were the results of the National Council elections, which led to significant political changes. The new Government was constituted only of political parties which were either never part of the Government before or which participated in the Government only in the 2010-2012 period. The Government plan for years 2020–2024 is ambitious in different areas. Some crucial changes were already approved in the legislative process. Other changes are being prepared to be implemented in the near future. The Government programme sets restoring the trust of citizens towards the state's institutions and anti-corruption measures as its crucial goals. One of the most important reforms to achieve these goals is the reform of the judiciary system.

The reform is based on new Judicial map of Slovak courts, which should provide improvement of court proceedings such as faster court proceedings, higher quality of court decisions, more transparent and effective proceedings in the courts or appropriate geographical accessibility for citizens in economically disadvantaged regions. The reform reduces the number of first degree courts from 54 to 30, which will allow for judges to specialize for one concrete area of law. The specialization is anticipated in areas of criminal law, civil law, family law and business law. For the administrative law agenda, a new system of 3 administrative courts and Supreme Administrative Court is to be established. The current system cannot provide conditions for having at least three judges specialized for every area of law on every court, which is an essential requirement for the random assignment of cases system to function, and which is first precondition of a transparent judiciary system. The planned reform pursues that following the digitization of the court agenda and the decreasing number of in-person hearings, the availability of quick and high-quality decisions is to be more important than the physical proximity of the parties' residence to the courthouse. The amendment to the Constitution as the first step of the reform was approved in the parliament at the end of 2020, the approval of necessary laws is planed during the course of 2021 and the implementation of the new system scheduled to start from 2022. The implementation of the new system of administrative courts is planned for 2021.

The Government programme for 2020-2024 contains other specific measures to be implemented in the areas of fighting corruption, building trust towards public institutions and raising the integrity of public officials in the upcoming years. The programme contains, for example, the establishment of new body responsible for hiring process of civil servants, transparent hiring procedures in state-owned companies or strengthening of supervisory powers of the Supreme Audit Office. The policies are to be drafted based on data, building of analytical capacities of individual ministries is therefore one of the priorities. A new ministry responsible for investments, regional development and informatization was established. In its

Programme, the Government commits itself to reducing regional disparities and the new ministry is responsible for coordinating of the policies on this matter.

The committee for drafting the strategic reform of public administration with a sub-committee dedicated to improvement of the self-government system is to be established. The Ministry of Interior continued with a joint project “Delivering Good Governance in Slovakia” with the European Commission and the Centre of Expertise for Good Governance of the Council of Europe for improvement of self-government system on both local and regional level. The results of the project will provide the recommendations from various member states’ experts with proposals for more efficient and sustainable system of self-government, its functioning and new system of financing.

During 2020 no significant changes in area of local self-government were implemented, minor changes in legislation were mostly made as a reaction to the situation related to COVID-19, such as introducing the option for local or regional council to hold meetings via videoconferences.

The cross-border cooperation among states and self-government units continued mostly on working level, the implementation of bilateral cooperation programmes continued with minor changes according to the situation with COVID-19. The official meetings of inter-governmental commissions for cross-border cooperation were postponed.

New Slovak government identified relations with Ukraine as a foreign policy priority with support of its sovereignty, territorial integrity and promoting its integration ambitions. The importance of reform process continuation was accentuated. In this context numerous contacts between representatives of the Ukrainian government and the Slovak government were developed despite the COVID-19 pandemic. The Deputy Prime Minister for European and Euro-Atlantic Integration of Ukraine Olga Stefanishyna participated in the 15th GLOBSEC2020 forum on international security. Good bilateral relations culminated during the visit of President of Ukraine, Mr. Volodymyr Zelensky, during which he met with the President of Slovak Republic Zuzana Čaputová, Prime Minister Igor Matovič and Speaker of the National Council Boris Kollár.

## 2. Results

### **Outcome 1: Integrity of public administration improved**

#### *Description and analysis of results*

Within the Outcome 1 of the programme there is only a pre-defined project GGCPP001 being implemented. Outcome 1 indicator *Annual number of detected corruption cases registered by the Ministry of Interior* already overachieved the annual target value which was set on 500 cases, and the actual value reported in the first Project Interim Report reached 587 cases. This significant increase may be caused by the change of the government in Slovakia in March 2020. Outcome 1 indicator *Control of Corruption indicator score (CCI - World Bank)* overachieved the annual target value which was set on 65, and the actual value reported in the first Project Interim Report reached 66.35. This overachievement may be caused by the change of the

government in Slovakia as well. Outcome 1 indicator *Corruption perception index score (Transparency International)* underachieved the target value which was set on 49, the actual value reported in the first Project Interim report was 59. This underachievement may be caused by the murder of the investigative journalist and his fiancé in 2018, followed by massive protests and resignation of then Prime Minister and his cabinet. Perception of corruption in public administration has risen since then. As regards output 1.1 indicators, in 2020 one capacity building workshop was organized, policies of 5 line ministries in the field of integrity of public administration were coordinated and 90 public servants were lectured on ethical conduct. All the so-far achieved actual values of the indicators contribute to the programme objective – integrity and accountability of public administration improved.

### *Pre-defined projects*

Within the Outcome 1 of the programme there is one pre-defined project GGCPP001 named *“Improving Integrity of the Public Administration/IIPA”* being implemented by the Government Office of the Slovak Republic. As regards the Project Promoter, which until 1<sup>st</sup> October 2020 was the same as the Programme Operator (the Government Office of the SR), the article 7.6.2 of the Regulation must have been applied and the internal act on behalf of the project contract was issued in 2019. The Partnership agreement between the Project Promoter and the project partner – OECD was signed on 9<sup>th</sup> April 2020. The Addendum to this Partnership agreement regarding the update of the Annex 3 - Financial schedule was signed on 29<sup>th</sup> September 2020. In accordance with the Government Resolution No. 355/2020 issued on 4<sup>th</sup> June 2020, the transfer of competencies of the Programme Operator (hereinafter referred to as the “PO”) and National Focal Point of the EEA Financial Mechanism and Norwegian Financial Mechanism from the Government Office of the Slovak Republic to the Ministry of Investments, Regional Development and Informatization of the Slovak Republic took place and is effective as of 1<sup>st</sup> October 2020. Therefore, the internal act according to the article 7.6.2 of the Regulation was cancelled on 30<sup>th</sup> September 2020 and the project contract no. 830/2020 was signed on 2<sup>nd</sup> October 2020. The first Project Interim Report is expected to be approved early in January 2021. COVID-19 pandemic has brought a new challenge into the project activities and because of this some of the project activities have been postponed by several weeks. The whole year 2020 was dedicated to preparatory work within the Activity 1 - the Integrity Review of the Slovak Republic. Firstly, the Project Promoter provided OECD with an update on the current situation of the Slovak Republic in the field of integrity and anti-corruption activities. Secondly, the Project Promoter provided OECD with the response to their questionnaire on the strategic policy instruments, standards for public integrity, integrity risk assessment and management, cultivating a culture of integrity across society in Slovakia and promoting an open and fair access to Slovakia’s public decision-making processes. Lastly, in October 2020, online fact-finding meeting was organized with the participation of several key Slovak stakeholders.

## **Outcome 2: Quality of the judicial system improved**

### *Description and analysis of results*

Within the Outcome 2 of the programme there is only a pre-defined project GGCPP002 being implemented. Based on the data from the first Project Interim Report, Output 2.2 indicator *Number of inter-ministerial meetings promoting cooperation on the protection of the rights of the victim* reached the actual value 6. The launching conference of the project took place in February 2020. Achieved actual value contributes to the programme objective – integrity and accountability of public administration improved.

#### *Pre-defined projects*

Within the Outcome 2 of the programme there is one pre-defined project GGCPP002 named “*Effectiveness and Efficiency of the Judicial System, Strengthening Rule of Law*” being implemented by the Ministry of Justice of the Slovak Republic. The project contract for this pre-defined project was signed on 10<sup>th</sup> March 2020. The implementation of the pre-defined project is going according to the milestones apart from the Activity no. 1 – Establishment of family law-courts. The new Judicial map of Slovak courts is under revision. It was finalized at the end of November 2020 and should be discussed in the parliament in the Q1 2021. Once approved, there will most probably be some changes regarding the implementation of the project Activity no. 1. As the reform reduces the number of first degree courts from 54 to 30, and in the project there are 7 first degree courts, it is possible that one or more courts within the project may be cancelled, which would cause a change in the project. However, the Programme Operator do not suppose that such a change will impact the progress of the project. The Norwegian National Courts Administrations will co-implement the activity no. 3 – two field visits to Norway involving judges and prosecutors from Slovakia for the purpose of transfer of best practice in the area of preventing secondary victimization and repeated victimization. The partnership agreement with this partner is supposed to be signed in Q1 2021 and will be financed through the Bilateral Fund on the programme level from the funds within the Expression of Interest approved in March 2020. The first Project Interim report is expected to be approved early in January 2021. At the beginning of 2020 the preparation works for the Activity no. 1 started, as the information about the new Judicial map of Slovak courts came later that year. The Project Promoter also started with the implementation of the Activity no. 2, as the first meeting with mediators took place in December 2020. The aim of this meeting was to identify and approach specific psychologists and mediators for cooperation on the education programme for mediators and judges aimed at individual approach to minors.

### **Outcome 3: Slovak-Ukrainian institutional cooperation enhanced**

#### *Description and analysis of results*

Within the Outcome 3 of the programme there is only a pre-defined project GGCPP004 being implemented at the moment. Projects within GGC01 were signed in the Q4 2020, the first project interim reports will be sent to project promoters in January 2021 (GGC01007) and in March 2021 (the other four projects).

Based on the actual values reported in the first Project Interim Report for the project GGCPP004 there are not any results achieved yet, as the Partnership Agreement with all the five project partners has not been signed yet. It is supposed to be signed early in 2021, as the

partnership agreement is already signed by the Norwegian Partner and was sent to be signed by Ukrainian partners in December 2020. The Launching conference of the pre-defined project has not taken place yet.

As regards the achievement of the indicators, baseline value for the Outcome 3 indicator *Level of (self-reported) knowledge among Ukrainian participants involved in cooperation with SK (on issues related to procurement, justice, etc.) targeted by projects' activities* will be determined based on the results of a survey carried out by all the project promoters within GGC01 call and the project promoter of the pre-defined project GGCP004. According to the general condition no. 5 in the Annex I to the PA, the PO shall submit to the FMO for approval the baseline value, together with a description of the data collection method used, no later than 6 months after the finalisation of the selection of projects under Open call and the Call of the Small Grant Scheme, i.e. in March 2021 as the selection was finalized on 25<sup>th</sup> September 2020. The target value for Outcome 3 indicator *Number of cooperation partnerships remaining between Slovak and Ukrainian Line Ministries at completion of the programme* is set on 5 and the total target value in the contracted projects is 3. As both calls under the programme are already closed and no further calls are planned, the final target value is 3 and the target value for this Outcome 3 indicator will not be achieved within the programme. This underachievement may be caused by the fact that within the GGC01 call only one project promoter is the ministry - the Ministry of Interior of the Slovak Republic in the project GGC01005.

All the Output 3.1 indicators will be overachieved when comparing the target values set in the Annex I to the PA and the total the target values set in project applications of the contracted projects. The target value for the indicator *Number of best practices transferred in the field of transparency from Slovakia to Ukraine* is set on 10 and the total target value in the project applications is 20. This overachievement is caused by one project GGC01005 of the Ministry of Interior of the Slovak Republic, which set target value 14 for this indicator. The target value for the indicator *Number of people attending joint workshops organised between Slovak and Ukrainian public sector entities* is set on 500 and the total target value in the project applications is 1775. The PO underestimated setting-up this target value, as it was expected that more grassroots initiatives at local and regional level will be applied for within Small Grant Scheme call GGC02. The target value for the indicator *Number of secondments from Ukraine to Slovakia* is set on 20 and the total target value in the project applications is 62. This overachievement is caused by one project GGC01007 of the Municipality of Košice, which set the target value 40 for this indicator. The pre-defined project and projects within GGC01 call contribute to the programme objective – integrity and accountability of public administration improved.

#### *Pre-defined projects*

Within the Outcome 3 of the programme there shall be one pre-defined project GGCP004 named *“TRIGLAV- Strengthen the fight against CBRN threats at the Slovakian-Ukrainian border”* being implemented by the Ministry of Interior of the Slovak Republic. The project contract for this pre-defined project was signed on 29<sup>th</sup> April 2020. There has been a delay in signing the partnership agreement with all of the project partners – one Norwegian partner and four Ukrainian partners. The delay was caused by the administrative and competence



issues at the Ukrainian side. The partnership agreement is supposed to be signed early in 2021. The partnership agreement is supposed to be signed early in 2021, as the partnership agreement is already signed by the Norwegian Partner and was sent to be signed by Ukrainian partners in December 2020. However, the activities that were planned to be implemented at the beginning of the project implementation could not be implemented due to COVID-19 pandemic, as they included face-to-face meetings (study trips). Based on the communication with the Project Promoter, there will be no short- or medium-term consequences of this delay.

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The first Project Interim report was approved in November 2020. At the end of 2020 the Project Promoter started preparing the questionnaire to carry out a survey, so the PO can determine the baseline value of Outcome 3 indicator Level of (self-reported) knowledge among Ukrainian participants involved in cooperation with SK (on issues related to procurement, justice, etc.) targeted by projects' activities.

#### **Outcome 4: Increased application of the Value for Money principle in public procurement**

##### *Description and analysis of results*

Within the Outcome 4 of the programme there is only a pre-defined project GGCPP003 being implemented. The pre-defined project contributes to the programme objective – integrity and accountability of public administration improved. In the first Interim Project Report, the actual values of two Outcome 4 indicators *Average number of bidders in public procurements* and *Share of public procurements using MEAT criteria* are underachieved, i.e. lower than the baseline values. This decrease has been caused by the consequences of COVID-19 pandemic. The contracting parties have been trying to procure goods as soon as possible, in disregard of quality. Since the start of the pandemic, the Public Procurement Office has observed decrease of general macro indexes of the public procurement in Slovakia. The activities contributing to the increased application of the Value for Money principle in public procurement have not been implemented yet within the project, so in the coming year an increase is expected.

##### *Pre-defined projects*

Within the Outcome 4 of the programme there is one pre-defined project GGCPP003 named *“Responsible public procurement”* being implemented by the Public Procurement Office. The project contract for this pre-defined project was signed on 5<sup>th</sup> March 2020. The Partnership agreement between the Project Promoter and the project partner – OECD was signed on 19<sup>th</sup> May 2020. The first Project Interim report was approved in November 2020. There are neither any delays nor issues within the project and the implementation is going very well. In 2020 the Project Promoter mainly focused on visibility of the project (web site and an Instagram account) and the Activity no. 1 – Analysis of usage of MEAT criteria in Slovakia, which is being implemented with OECD as the project partner. In context of the Activity no. 1 the Project

Promoter also attended first preliminary market consultations of the numerous Slovak's contracting authorities.

### **Bilateral Outcome: Enhanced collaboration between beneficiary and donor state entities involved in the programme**

#### *Analysis of bilateral relations and achievements*

Four out of nine projects, namely GGCPP004, GGC01005, GGC01006, GGC01007, are being implemented in trilateral partnerships between Slovakia, Ukraine and Norway. Therefore, the Bilateral output 1 indicator *Share of projects implemented in trilateral partnerships between Slovakia, Ukraine and the Donor States* was already overachieved by reaching 44.44 % in comparison with the target value 33.30 % and the indicator *Number of projects involving cooperation with a donor project partner (disaggregated by Donor State)* achieved its target value, i.e. 4 projects are being implemented with the project partners from Norway.

As of 2020 no bilateral initiative was implemented. The pre-defined bilateral initiative of the Norwegian Barents Secretariat named "*Study trip to Slovakia and participation at match making event*" that was implemented in September 2019 was reimbursed in March 2020 in the amount of 8 155 Euro. Bilateral open call GGCBF02 aimed at strengthening bilateral relations between Donor states and Slovakia in the area of transparency, good governance and accountable institutions aimed at digital cooperation and bilateral open call GGCBF03 aimed at people-to-people initiatives implemented in the Slovak-Ukrainian border contributing to strengthening trilateral cooperation among donor states, Slovakia and Ukraine are being prepared by the PO. Both calls are supposed to be sent for comments to the Cooperation Committee in the first half of 2021. Based on the discussion with the DPP, IPO and the FMO, their experience and opinions, and considering the ongoing COVID-19 pandemic and the unclear vision of its end, the PO decided to focus the call GGCBF02 on the digital cooperation. The PO supposes it is for the best to rather adapt the call, so the initiatives can be implemented in digital/online ways, than to wait until the pandemic ends.

The Expression of Interest for one Open call GGCBF03 (50 000 Euro) and two initiatives – *Arranging and/or facilitating accommodation and transport for participants of the Programme Operator's events (10 000 Euro)* and *Bilateral cooperation with the partner Norwegian National Courts Administration for the pre-defined project of the Ministry of Justice of the SR (10 000 Euro)* was discussed within the Joint Committee for Bilateral Fund and approved by the NFP on 17<sup>th</sup> March 2020 in the amount of 70 000 Euro.

The overall cooperation, day-to-day communication as well as communication through the Cooperation Committee with the DPP – the Norwegian Barents Secretariat – is very good. The DPP was proactive in the selection of the experts for the projects' evaluation, during the Cooperation Committee Meetings throughout the year as well as during the Selection Committee Meeting. The PO especially appreciates the experience with the cross-border cooperation with Russia during COVID-19 pandemic the DPP shared at CCM as well as the ideas and improvements how to implement the projects during the pandemic. The PO found the

discussion very helpful and inspirational for the implementation of the projects within the programme.

The Cooperation Committee Meeting took place on 8<sup>th</sup> September 2020 via video-conference with the participation of representatives from the DPP, IPO, FMO, NFP and the Royal Norwegian Embassy to Slovakia.

. The meeting was constructive and very fruitful. The status of the programme implementation, including the status of the GGC01 and GGC02 calls, status of pre-defined projects and programme modification status were presented along with the initiatives and expression of interest for the Bilateral Fund at programme level. The discussion on the alternative ways of implementation of projects due to situation caused by COVID-19 pandemic was important as well. The next CCM will take place in January 2021 by per-rollam procedure to discuss and comment on this document – Annual Programme Report 2020. During this CCM, the date of the next CCM will be agreed on.

### 3. Implementation

#### Conformity with specific requirements

Based on the Memorandum of Understanding of the EEA FM 2014 – 2021 the Programme addresses two main components – Good Governance and Cross-border cooperation with Ukraine. The component of Good Governance aims at improving efficiency and transparency of the Slovak state institutions with projects addressing anti-corruption, more efficient public procurement system and efficiency of judiciary, as well as a pre-defined project contributing to the improvement of the public procurement environment, the application of the principles of value for money and Results Based Management in Slovakia in cooperation with the OECD. Within the component Cross-border cooperation with Ukraine a pre-defined project of the Ministry of Interior of the Slovak Republic building on the results of the project “SOS-Alert Solution, Cross-border cooperation project for enhanced detection and interception of illicit CBRN materials on the Slovakian-Ukrainian Border” supported by SK08 (2009-2014) is being implemented. Furthermore, cross-border cooperation is supported through open call in the amount of € 2.5 million with the participation of the Barents Secretariat, as the DPP.

Within the Concept Note and Programme Agreement three pre-defined projects have been agreed – GGCPP001 – pre-defined project of the Government Office of the Slovak Republic, GGCPP002 – pre-defined project of the Ministry of Justice of the Slovak Republic and GGCPP003 – pre-defined project of the Public Procurement Office of the Slovak Republic.

#### Cooperation with International Partner Organisations (IPOs)

Within the programme Good Governance and Cross-border Cooperation the PO cooperates with the Organisation for Economic Co-operation and Development (OECD). OECD is also a project partner to two of the pre-defined projects GGCPP001 and GGCPP003. The PO is satisfied with the communication and contribution of the OECD to the implementation of the Programme. The OECD is also an active member of the Cooperation Committee. During the

Cooperation Committee Meeting in September 2020, the OECD shared some helpful and valuable ideas on how to effectively manage the digital ways of communication and the importance to consider new ways of management in the future. The OECD also expressed their opinion not to wait with the launch of the open calls within the bilateral fund as it is challenging to predict how long the pandemic will last, but rather to adapt the calls, so the initiatives can be implemented in digital/online ways. The OECD also participated in the Selection Committee Meeting for the GGC01 and GGC02 calls in May 2020 as an observer.

## **C. LEARNING**

### **1. Monitoring**

Although it was planned to carry out the on-site monitoring of all the pre-defined projects in the Q4 of 2020, due to ongoing pandemic of COVID-19 and based on data from the first Project Interim Reports of the pre-defined projects, the PO plans to carry out the on-site monitoring in the Q2/Q3 of 2021, if the pandemic situation allows it. In the Q1 of 2021 the PO plans to carry out a monitoring on COVID -19 impact on the project implementation. The PO has been in touch with the project promoters via phone and e-mails due to ongoing pandemic of COVID-19. The monitoring plan is attached.

### **2. Evaluation**

Not applicable as the evaluation of the programme has not been carried out yet.

### **3. Lessons learned**

A lesson learned is connected mainly with the ongoing COVID-19 pandemic that proved digital unpreparedness not only within the programme, but also in the functioning of the PO. In the future, it is necessary to digitalize the processes within the selection process and also within the implementation itself. The pandemic has also proved that although the face-to-face contact is irreplaceable, meetings via videoconference can sufficiently substitute at least some face-to-face meetings, if the situation does not allow to meet or if it is urgent to meet. Travel reduction saves time as well as the environment. Based on the fact that pre-defined projects were contracted in the first half of 2020, COVID-19 pandemic caused only slight delays in the projects' implementation and according to the data from the first Project Interim Reports the implementation is going well.

## **D. ANNEXES**

### **1. Updated results (indicator achievements)**

### **2. Communication**

### **3. Overview of contracted projects**

### **4. Risk management**

### **5. Monitoring plan**

### **6. Evaluation report**

### **7. List of individual mobilities**

## Annex 1: Updated results (indicator achievements)

Objective: Integrity and accountability of public administration improved								
Outcome 1: Integrity of public administration improved								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
Control of Corruption indicator score (CCI - World Bank)	Number	63.50	0 (APR 2019)	-	-	66.35	65	CCI - World Bank
Corruption perception index score (Transparency International)	Number	54	0 (APR 2019)	-	-	59	49	According to Transparency International CPI for the year 2019 (not yet for 2020), Slovakia ranked on the 59 place with 50 points out of 100.
Annual number of detected corruption cases registered by the Ministry of Interior	Annual number	357	0 (APR 2019)	-	-	587	500	-
Output 1.1: Measures to improve integrity of public administration implemented								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
Number of capacity building workshops organised	Number	0	0 (IFR 2020)	-	-	1	3	The actual value was stated in the PSP1 for the Project GGCPP001 that will be approved in January 2021.
Number of line ministries whose policies in the field of integrity of public administration are coordinated	Number	0	0 (IFR 2020)	-	-	5	5	The actual value was stated in the PSP1 for the Project GGCPP001 that will be approved in January 2021.

<b>Number of public servants lectured on ethical conduct</b>	Number	0	0 (IFR 2020)	-	-	90	350	The actual value was stated in the PSP1 for the Project GGCPP001 that will be approved in January 2021.
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	56	-	-
<i>Male</i>	-	-	-	-	-	34	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Public Integrity Review conducted</b>	Binary	No	No (IFR 2020)	-	-	No	Yes	The actual value was stated in the PSP1 for the Project GGCPP001 that will be approved in January 2021.
<b>Set of standards to measure the integrity of public administration developed</b>	Binary	No	No (IFR 2020)	-	-	No	Yes	The actual value was stated in the PSP1 for the Project GGCPP001 that will be approved in January 2021.
<b>Outcome 2: Quality of the judicial system improved</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
<b>Number of beneficiaries of services provided or improved</b>	Number	0	0 (IFR 2020)	-	-	0	360	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
<b>Number of family law cases prosecuted by the courts which are supported by the programme</b>	Number	0	0 (APR 2019)	-	-	0	120	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
<b>Number of professionals trained who self-report increased competence and capacity for working with victims of crimes and protection of minors</b>	Number	N/A	-	Reported 2022, 2024			180	-

Output 2.1: Quality of family law prosecution improved								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
Number of court premises refurbished	Number	0	0 (IFR 2020)	-	-	0	8	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
Number of educational programmes for mediators and judges developed	Number	0	0 (IFR 2020)	-	-	0	1	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
Output 2.2: Access to the justice for the victims improved								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
Number of educational programmes for judges and prosecutors, focused on improving handling victims	Number	0	0 (IFR 2020)	-	-	0	2	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
Number of enforcement officers trained	Number	0	0 (IFR 2020)	-	-	0	36	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
Number of inter-ministerial meetings promoting cooperation on the protection of the rights of the victim	Number	0	0 (IFR 2020)	-	-	6	30	The actual value was stated in the PSP1 for the Project GGCPP002 that will be approved in January 2021.
Outcome 3: Slovak-Ukrainian institutional cooperation enhanced								

Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
Level of (self-reported) knowledge among Ukrainian participants involved in cooperation with SK (on issues related to procurement, justice, etc.) targeted by projects' activities	Scale 1-10	TBD	1 (APR 2019)	-	-	-	(+100%)	N/A at the moment
Number of cooperation partnerships remaining between Slovak and Ukrainian Line Ministries at completion of the programme	Number	0	0 (APR 2019)	-	-	0	5	-
<b>Output 3.1: Measures fostering Slovak-Ukrainian cooperation implemented</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
Number of best practices transferred in the field of transparency from Slovakia to Ukraine	Number	0	0 (IFR 2020)	-	-	0	10	The projects within GGC01 call were contracted in December 2020. The first Project Interim Reports will be sent to Project Promoters in December 2020 (GGC01007) and in March 2021 (the other four projects).
Number of people attending joint workshops organised between Slovak and Ukrainian public sector entities	Number	0	0 (IFR 2020)	-	-	0	500	The projects within GGC01 call were contracted in December 2020. The first Project Interim Reports will be sent to Project Promoters in December 2020 (GGC01007) and in March 2021 (the other four projects).



Gender								
Female	-	-	-	-	-	0	-	-
Male	-	-	-	-	-	0	-	-
Not specified	-	-	-	-	-	0	-	-
<b>Number of secondments from Ukraine to Slovakia</b>	Number	0	0 (IFR 2020)	-	-	0	20	The projects within GGC01 call were contracted in December 2020. The first Project Interim Reports will be sent to Project Promoters in December 2020 (GGC01007) and in March 2021 (the other four projects).
Output 3.2: Measures fostering Slovak-Ukrainian-Norwegian institutional cooperation related to CBRN (chemical, biological, radioactive, nuclear) safety								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
<b>CBRN defence education and training systems for Security Forces of Ukraine established</b>	Binary	No	No (IFR 2020)	-	-	No	Yes	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.
<b>Number of assessments of the current status of Internal Acts in the field of CBRN safety and cross-border flow of information</b>	Number	0	0 (IFR 2020)	-	-	0	2	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.
<b>Number of exercises of Slovak security forces with international observation</b>	Number	0	0 (IFR 2020)	-	-	0	1	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.
<b>Number of international exercises conducted</b>	Number	0	0 (IFR 2020)	-	-	0	1	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.

<b>Number of private sector representatives trained on handling illicit CBRN materials</b>	Number	0	0 (IFR 2020)	-	-	0	45	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	0	-	-
<i>Male</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Number of Slovak police specialists educated and trained</b>	Number	0	0 (IFR 2020)	-	-	0	160	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	0	-	-
<i>Male</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Number of Ukrainian Security Forces specialists educated and trained</b>	Number	0	0 (IFR 2020)	-	-	0	100	The actual value was stated in the PSP1 for the Project GGCPP004 that was approved on 30.11.2020.
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	0	-	-
<i>Male</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Outcome 4: Increased application of the Value for Money principle in public procurement</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
<b>Average annual number of bidders in public procurements</b>	Annual number	3.60	0 (APR 2019)	-	-	2.92	4	The actual value was stated in the PSP1 for the Project

								GGCPP003 that was approved on 26.11.2020.
<b>Number of cases in which the pre-tender market consultations have been used</b>	Number	0	0 (IFR 2020)	-	-	0	50	The actual value was stated in the PSP1 for the Project GGCPP003 that was approved on 26.11.2020.
<b>Share of public procurements using MEAT criteria</b>	Percentage	20.00 %	-	8.45	90	9.39 %	40.00 %	The actual value was stated in the PSP1 for the Project GGCPP003 that was approved on 26.11.2020
<b>Output 4.1: MEAT ("Most Economically Advantageous Tenders") criteria applied</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
<b>Number of professional chambers and institutions involved in the preparation of the standards/templates</b>	Number	0	0 (IFR 2020)	-	-	0	3	The actual value was stated in the PSP1 for the Project GGCPP003 that was approved on 26.11.2020.
<b>Number of standards/templates for the application of MEAT criteria developed</b>	Number	0	0 (IFR 2020)	-	-	0	6	The actual value was stated in the PSP1 for the Project GGCPP003 that was approved on 26.11.2020.
<b>Number of workshops for the biggest Contracting Authorities on MEAT criteria</b>	Number	0	0 (IFR 2020)	-	-	0	6	The actual value was stated in the PSP1 for the Project GGCPP003 that was approved on 26.11.2020.
<b>Bilateral Outcome: Enhanced collaboration between beneficiary and donor state entities involved in the programme</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		

<b>Level of satisfaction with the partnership</b>	Scale 1-7	TBD	1 (APR 2019)	-	-	-	≥4.5, and an increase on the baseline	N/A at the moment
<i>State type</i>								
<i>Beneficiary State</i>	-	-	-	-	-	-	-	-
<i>Donor State</i>	-	-	-	-	-	-	-	-
<i>Not specified</i>	-	-	-	-	-	-	-	-
<b>Level of trust between cooperating entities in Beneficiary States and Donor States</b>	Scale 1-7	TBD	1 (APR 2019)	-	-	-	≥4.5, and an increase on the baseline	N/A at the moment
<i>State type</i>								
<i>Beneficiary State</i>	-	-	-	-	-	-	-	-
<i>Donor State</i>	-	-	-	-	-	-	-	-
<i>Not specified</i>	-	-	-	-	-	-	-	-
<b>Share of cooperating organisations that apply the knowledge acquired from bilateral partnership</b>	Percentage	N/A	-	-	-	-	≥50%	N/A at the moment
<i>State type</i>								
<i>Beneficiary State</i>	-	-	-	-	-	-	-	-
<i>Donor State</i>	-	-	-	-	-	-	-	-
<i>Not specified</i>	-	-	-	-	-	-	-	-
<b>Bilateral Output 1: Cooperation between Donor and Beneficiary State entities supported</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2020			Target	Comment
				Numerator	Denominator	Value		
<b>Number of projects involving cooperation with a donor project partner</b>	Number	0	0 (IFR 2020)	-	-	4	4	PdP of the Ministry of Interior of the SR – GGCP004. Within

									the Open call GGC01 project GGC01005, GGC01006 and GGC01007. Altogether 4 projects involve cooperation with Norwegian project partner
<i>Donor State</i>									
<i>Norway</i>	-	-	-	-	-	4	-	-	
<i>Iceland</i>	-	-	-	-	-	0	-	-	
<i>Liechtenstein</i>	-	-	-	-	-	0	-	-	
<i>Not specified</i>	-	-	-	-	-	0	-	-	
<b>Number of staff from the beneficiary country participating in study visits to Norway</b>	Number	0	0 (IFR 2020)	-	-	0	36		Study visits are supposed to take place in 2021 and 2022
<b>Share of projects implemented in trilateral partnerships between Slovakia, Ukraine and the Donor States</b>	Percentage	0.00 %	0 (IFR 2020)	4	9	44.44 %	33.30 %		4 projects out of 6 (pre-defined project GGCPP004 and 3 projects within GGC01 call) are implemented in the trilateral partnerships between Slovakia, Ukraine and the Donor States.

## Annex 2: Communication summary

### a. Visibility of the Grants and the donors

Communication plan for the programme Good governance and Cross-border cooperation has been elaborated on the PO's level and the PO proceeds in line with this approved document. The PO has not identified the need to update this document in 2020. The PO communicates its dissemination and publicity activities with Royal Norwegian Embassy to Slovakia and the Press Department of the Ministry of Investments, Regional Development and Informatization of the Slovak Republic. Through the web site [www.eeagrants.sk](http://www.eeagrants.sk) statistical evaluation of the calls, the results of the calls and projects supported were communicated with general public. The PO also published a complex list of the submitted applications and their results.

Promotional videos were made for three pre-defined projects – GGCPP001 – Government Office of the Slovak Republic, GGCPP003 – Public Procurement Office and GGCPP004 – Ministry of Interior of the Slovak Republic. Approximately 2-minute-long videos give the general public a short overview of the projects, their focus, goals and aims, key activities, cooperation with project partners as well as expected results.

In line with the approved communication plan, in 2020 no communication activities were implemented.

In the table below you can find the indicators set in the Communication plan and their actual values.

Indicator	Initial value	Actual value	Target value
Number of reports and articles or reportages about the Programme in all types of media (national, regional and local)	6	11	10
Visiting rate of the Programme subpage under the websites <a href="http://www.eeagrants.sk">www.eeagrants.sk</a> / <a href="http://www.norwaygrants.sk">www.norwaygrants.sk</a> yearly	0	53 427	50,000
Number of seminars, conferences and other events carried out	3	3	5
Number of information publications/leaflets	0	0	5
Other information and publicity activities carried out by the Programme Operator	TBD		TBD

### b. Communication with the National Focal Point

The PO is a member of the communication network of the National Focal Point. In the matter of publicity, the PO closely cooperates and coordinates their activities with the NFP to ensure that actual, clear and detailed information on the Programme is provided for all the target groups. The communication between the PO and the NFP is nearly on a daily basis depending on the issue that is to be discussed. The NFP is also an observer in the Cooperation Committee, therefore is aware of any proposals or changes that are to be discussed/implemented. Annex

2 of this APR is also submitted to the Strategic Actions Unit of EEA and Norway Grants for comments and discussion.

### c. Website and social media

The Cross-border Cooperation/Good governance, Accountable Institutions, Transparency Programme webpage is a subpage of the national single web page for both FMs, managed by the NFP, hyperlinking via both addresses [www.eeagrants.sk](http://www.eeagrants.sk) and [www.norwaygrants.sk](http://www.norwaygrants.sk).

From the technical point of view, all information (for example about the Calls or News) are automatically hyper-linked to main webpages generating this kind of information about all Calls or News under programmes implemented. This is why the PO can provide only general values of visits for main websites [www.eeagrants.sk](http://www.eeagrants.sk) and [www.norwaygrants.sk](http://www.norwaygrants.sk). Generally, in 2020 there were 53 427 visits recorded on the website [www.eeagrants.sk/](http://www.eeagrants.sk/) [www.norwaygrants.sk](http://www.norwaygrants.sk) including 20,4 % returning visitors (recorded according to unique IP addresses) and 79,6 % new web visitors. In terms of methodology and statistics it is not relevant information value if the PO provides real number of visitors and other relevant numbers only in relation to visiting of programme sub-webpage. The NFP administers a profile on Facebook under the title “Granty EHP a Nórska na Slovensku”, where all major information of the Programme is published (in accordance of the internal rules of the PO/NFP’s organization) and also administers the Youtube channel under the title “Granty EHP a Nórska na Slovensku”.

With regard to the Programme content the focus is concentrated to the local and regional media as well as the national media and by all types of media (press, radio, TV, social media, website). The particular media is communicated in the co-operation with the PR Department and Press Department of the Ministry of Investments, Regional Development and Informatization of the Slovak Republic and the press news for each communication activity is prepared ad-hoc. The Programme Operator sees, that the social media and website are more efficient than the other types of the media, especially since the beginning of the pandemic. Altogether 5 news were published on the website [www.eeagrants.sk](http://www.eeagrants.sk) and on Facebook page “Granty EHP a Nórska na Slovensku” regarding the GGC programme in 2020, namely on currently applicable per diems, the evaluation of the closure of the open call GGC01 and Small grant scheme call GGC02, the results of the GGC01 and GGC02 calls, change of the PO and NFP of EEA and Norway Grants from the Government Office of the SR to the Ministry of Investments, Regional Development and Informatization of the SR and the update on the results of the GGC01 and GGC02 calls.

As regards the information about the launch and closure of both calls, GGC01 and GGC02, besides using website and Facebook for spreading the information on the launch, closure and results of the calls, the PO after the discussion with the Strategic Actions Unit of the Grants and the Press Department of the Government Office of the Slovak Republic (former PO at the time), decided to use press media as well, at the local as well as at the national scale, in order to reach as many potential applicants and project partners as possible.

The PO considers social media to be a very useful and appropriate tool, thanks to which the PO can reach target groups with the necessary information very quickly and effectively.

#### **d. Best practice examples**

On 8<sup>th</sup> October 2020 the launching conference for the project GGC01007 of the Municipality of Košice named Cities in the Enlarged European Area: Joint Development of Capacities of Public Institutions by Slovak-Ukrainian Cross-border Cooperation and Improving Integrity in Public Affairs (CEEAA) took place. Given the ongoing COVID-19 pandemic, the launching conference was organized as a video-conference. Besides the PO, project partners Centre of Social and Psychological Sciences Slovak Academy of Sciences, International cooperation department of Kharkiv City Council and Department for international cooperation and innovations of Uzhgorod city council, mayor of Municipality of Košice (the Project Promoter) had a speech at the conference. Approximately 20 relevant participants participated in the conference. The conference has provided the participants with an overview of the focus, goals and aims, activities, cooperation with partners as well as expected results of the project. The PO considers the launching conference successful even though it was organized during such an unfortunate situation. It confirms that also during the inappropriate conditions the project and some activities can be implemented and there are other ways how to proceed with the project implementation.

#### **e. Multimedia**

Below you can find the videos of three out of four pre-defined projects produced by the Strategic Action Unit of the Grants. Videos are in Slovak, but also with English subtitles.

GGCPP001

<https://www.youtube.com/watch?v=0YceZ4jTmDw>

GGCPP003

<https://www.youtube.com/watch?v=O8WjavOYu8Q>

GGCPP004

<https://www.youtube.com/watch?v=qxZwZltkzOQ>



### Annex 3: Overview of contracted projects

Outcome	Projects	#	# of donor project partners	Amount contracted	% of outcome budget contracted
<b>Outcome 1: Integrity of public administration improved</b>	Pre-defined	1	0	€ 1,500,000	100.00 %
	Contracted through open calls	0	0	€ 0	0.00 %
	Contracted through small grants scheme	0	0	€ 0	0.00 %
	<b>Total Outcome 1</b>	<b>1</b>	<b>0</b>	<b>€ 1,500,000</b>	<b>100.00 %</b>
<b>Outcome 2: Quality of the judicial system improved</b>	Pre-defined	1	0	€ 1,200,000	100.00 %
	Contracted through open calls	0	0	€ 0	0.00 %
	Contracted through small grants scheme	0	0	€ 0	0.00 %
	<b>Total Outcome 2</b>	<b>1</b>	<b>0</b>	<b>€ 1,200,000</b>	<b>100.00 %</b>
<b>Outcome 3: Slovak-Ukrainian institutional cooperation enhanced</b>	Pre-defined	1	1	€ 2,500,000	50.00 %
	Contracted through open calls	5	3	€ 2,500,000	50.00 %
	Contracted through small grants scheme	0	0	€ 0	0.00 %
	<b>Total Outcome 3</b>	<b>6</b>	<b>4</b>	<b>€ 5,000,000</b>	<b>100.00 %</b>
<b>Outcome 4: Increased application of the Value for Money principle in public procurement</b>	Pre-defined	1	0	€ 1,500,000	100.00 %
	Contracted through open calls	0	0	€ 0	0.00 %
	Contracted through small grants scheme	0	0	€ 0	0.00 %
	<b>Total Outcome 4</b>	<b>1</b>	<b>0</b>	<b>€ 1,500,000</b>	<b>100.00 %</b>
<b>Programme</b>	<b>Total</b>	<b>9</b>	<b>4</b>	<b>€ 9,200,000</b>	<b>100.00 %</b>

## Annex 4: Risk management

Programmatic risks						
Risk description	Risk related to	Likelihood	Consequence	Risk score	Response type	Risk N/A
Results achieved may not be very visible since the perception of judiciary system is low	Reducing social and economic disparities	2	2	2.00	Mitigate	No
	<b>Description of planned response</b>	Promotion of the achieved results on the websites and in the media, organizing workshops (involving organisations that monitor these issues as guests) in order to disseminate results and information.				
	<b>Description of actual response</b>	The project contract for GGCPP002 was signed in March 2020. The website shall be finished in 2021, where all the achieved results and news will be shared in order to disseminate the accomplishments of the project.				
	<b>Planned future response</b>	Promotion of the achieved results on the websites and in the media, organizing workshops (involving organisations that monitor these issues as guests) in order to disseminate results and information.				
Difficulties in concluding financial partnerships with public institutions in Ukraine due to legislation (centralization in Ukraine)	Reducing social and economic disparities	3	3	3.00	Accept	No
	<b>Description of planned response</b>	Some public organizations have set up a sort of NGO through which they are able to participate in such projects without bigger issues.				
	<b>Description of actual response</b>	The project GGCPP004 has chosen a project partner in Ukraine, a NGO through which they are able to accept the grand for all the project partners in Ukraine. As regards the projects chosen within GGC01 call, most applicants were informed about this situation during the time the call was open (through the questions they sent to the PO).				

	<b>Planned future response</b>	Altogether in 6 projects there are 13 Ukrainian project partners. There are 3 projects where the Ukrainian partner is from public sector and is participating on the budget. The PO will regularly interact with the project promoters to see if there are any issues in these projects.				
Issues connected with financial flows to Ukrainian institutions	Reducing social and economic disparities	3	2	2.45	Accept	No
	<b>Description of planned response</b>	This risk solely depends on the state system and the PO is not able to affect national procedures set by Ukraine				
	<b>Description of actual response</b>	This risk solely depends on the state system and the PO is not able to affect national procedures set by Ukraine.				
	<b>Planned future response</b>	This risk solely depends on the state system and the PO is not able to affect national procedures set by Ukraine. The risk has to be accepted.				
Allocation of Operational Programme "Effective Public Administration" within EU funds that is over 335 million EUR may reduce the number of eligible project promoters and project partners for Transparency Programme	Reducing social and economic disparities	2	2	2.00	Mitigate	Yes
	<b>Description of planned response</b>	It is generally known that administrative burden of the EU funds is far higher than in Norway Grants. If the level of administrative burden in Norway grants does not change, more eligible Project Promoters and Project Partners might be attracted to apply for grants. Moreover there is open EEA and Norway Fund for regional cooperation. As the amount of project grants in the Transparency programme is smaller, it means the amount of co-financing is not so high. This could attract the stakeholders in Slovakia.				

	<b>Description of actual response</b>	The risk is no longer actual, as both calls were closed and all the project contracts are signed.				
	<b>Planned future response</b>	N/A				
Low interest of Ukrainian partners in the programme	Reducing social and economic disparities	2	3	2.45	Mitigate	No
	<b>Description of planned response</b>	Financial involvement of public institutions can be possible through their NGOs which make it easier. The possibility to be financially engaged in the projects should be motivating for the UA organizations. Not strict rules for the involvement of UA partner into the projects enable the UA partners to decide in what way they would take part (based on advantages and disadvantages of different involvements).				
	<b>Description of actual response</b>	Under GGC01 call 5 project contracts were signed in Q4 2020 and a project contract for GGCPP004 was signed in Q2 2020. Each project has a mandatory Ukrainian partner. Some of the projects also have 2 or even more Ukrainian partners. Within 6 projects under the Outcome 3, there are altogether 14 Ukrainian project partners.				
	<b>Planned future response</b>	Under GGC01 call 5 project contracts were signed in Q4 2020 and a project contract for GGCPP004 was signed in Q2 2020. Each project has a mandatory Ukrainian partner. Some of the projects also have 2 or even more Ukrainian partners. Within 6 projects under the Outcome 3, there are altogether 14 Ukrainian project partners. The Programme Operator will regularly communicate with the Project Promoters in order to secure functioning and stable partnerships.				
<b>Operational risks</b>						
<b>Risk description</b>	<b>Risk related to</b>	<b>Likelihood</b>	<b>Consequence</b>	<b>Risk score</b>	<b>Response type</b>	<b>Risk N/A</b>

Judges not interested in specialized trainings	Reducing social and economic disparities	2	2	2.00	Mitigate	No
	<b>Description of planned response</b>	Raising attractiveness of specialized trainings provided (skilled and reputable experts in the field as lecturers).				
	<b>Description of actual response</b>	The project contract for GGCPP002 was signed in March 2020, as of now we do not have any information on this matter, as the relevant activity has not been implemented yet.				
	<b>Planned future response</b>	Raising attractiveness of specialized trainings provided (skilled and reputable experts in the field as lecturers). If needed, it will be set up based on the results why there is no interest.				
Complications caused by unawareness of legislation and inability to keep up with the amendments of the legislation of other states	Reducing social and economic disparities	3	3	3.00	Mitigate	No
	<b>Description of planned response</b>	The PO will encourage the UA partners to choose submission of proof of expenditure by way of the reports by an independent auditor qualified to carry out statutory audits of accounting documents. The PO will also be in close touch with the project promoters to know about the potential complications. The PO will cooperate with the relevant organizations responsible for the CBC in Slovakia and Ukrainian embassy in Slovakia.				
	<b>Description of actual response</b>	The PO did encourage the UA partners to choose the submission of proof of expenditure by the way of the reports by an independent auditor and most of them has chosen this way of proof of expenditure.				
	<b>Planned future response</b>	The PO will be willing to approve the changes in budget wherever possible if the Ukrainian partners prefer the proof of expenditure by the way of the reports by an independent auditor during the projects' implementation.				

Frequent changes of representatives in state and regional administration	Reducing social and economic disparities	3	2	2.45	Accept	No
	<b>Description of planned response</b>	This risk solely depends on the state system and delegation of its authority.				
	<b>Description of actual response</b>	The PO cannot influence this risk.				
	<b>Planned future response</b>	Implementation monitoring with the specific focus on Ukrainian side and requesting of submission of measures to be taken if the project is delayed .				
Time constraints in the projects implementation	Reducing social and economic disparities	3	3	3.00	Mitigate	No
	<b>Description of planned response</b>	The circulation of documentation is prolonged when there are partners from other countries involved. Documentation translation requires a lot of time as well. This has to be taken cognisance of from the very beginning by the PO and project promoters and partners.				
	<b>Description of actual response</b>	Originally, time constraints in the projects implementation were only connected with the project partners from other countries. At the moment, slight delays are caused by ongoing COVID-19 pandemic. The PO regularly communicates with the Project Promoters in order to mitigate the consequences of the pandemic on the projects' implementation.				
	<b>Planned future response</b>	The circulation of documentation is prolonged when there are partners from other countries involved. Documentation translation requires a lot of time as well. This has to be taken cognisance of from the very beginning by the PO and project promoters and partners. As				

		regards the COVID-19 pandemic, the PO will continue helping the Project Promoters to implement the projects best possible way given the circumstances.		
<b>Overall risk of the programme</b>				
	<b>Likelihood</b>	<b>Consequence</b>	<b>Risk score</b>	
OVERALL RISK OF THE PROGRAMME	3	2	2.45	

## **Annex 5: Monitoring plan**

*Please note this Annex is uploaded separately and is not visible in this document. Please download and print separately if needed.*

## **Annex 6: Evaluation report**

*Please note this Annex is uploaded separately and is not visible in this document. Please download and print separately if needed.*