

# *ANNUAL PROGRAMME REPORT*

## *FM14-21*

Latvia

LV-CORRECTIONAL Correctional Services

2019

## A. EXECUTIVE SUMMARY

At the launch of Programme "Correctional Services" (hereinafter – Programme) preparation, the Ministry of Justice of the Republic of Latvia as Programme Operator took active part in meetings with the Ministry of Finance of the Republic of Latvia as the National Focal Point, Directorate of Norwegian Correctional Service as Donor Programme Partner and stakeholders of the Programme. Consultative and working meetings were organised with stakeholders, also involving Donor Programme Partner in order to establish content of the Programme and necessary documentation. Due to effective work and inclusive cooperation, the Programme Agreement was signed and entered into force on 22<sup>nd</sup> March 2019, foreseeing total Programme funding of 15.3 M EUR (85% or 13.0 M EUR financed by the Norway Grants and 15% or 2.3 M EUR co-funded by the State budget) for changing and improving the correctional services system in Latvia – building a new training centre for probation and prison staff, as well as model prison block. Programme opening event took place on 25<sup>th</sup> March 2019 and gathered representatives from Ministry of Justice of the Republic of Latvia, Royal Norwegian Embassy in Riga, Ministry of Finance of the Republic of Latvia, Directorate of Norwegian Correctional Service, possible project partners from Norway, Latvian Prison Administration as Project Promoter (hereafter – Project Promoter), State Probation Service and other important cooperation partners. Due to opening event the Project Promoter demonstrated the video about the historical and current situation of correctional service system in Latvia, as well as presented ideas on progress and necessary development in future. The opening event was a platform for strengthening bilateral relationships between parties and promoting the recognition of Programme in mass media.

The Programme results framework provides one general outcome "Improved correctional services", which contains two different outputs, "New structure to train staff put in place" and "Necessary legislation assessed" respectively, and horizontal bilateral outcome. Only one pre-defined project is being implemented within the Programme, therefore, the results framework is established in a way that the one pre-defined project "Establishment of training centre infrastructure and model prison blocks for training opportunities in the Olaine prison territory" is directly associated to the achievement of the Programme objective and, consequently, main outcome and outputs. The project contract was signed on 1<sup>st</sup> July 2019, therefore during 2019 project was in documentation preparation stage and the actual activities, including construction of the buildings and assessment of national legal acts will take place only starting from 2020.

The bilateral cooperation has been actively strengthened during the reporting period, as many consultative and working meetings took place and in total five successful Cooperation Committee meetings were organised from 2018 till 2019. Donor Programme Partner was involved in each one of them and active cooperation took place thoroughly. Furthermore, achievement of bilateral cooperation output for facilitated cooperation between donor state and beneficiary state entities was fostered as several exchanges and trainings were organised, and 6 participants from Latvia participated in exchange in Norway, while 10 participants from Norway came to Latvia in order to participate in experience exchange and training visits. These visits were successful and fruitful, as sustainable cooperation was established through them.

Additionally, beyond the planned Program bilateral cooperation results, there are two crucial aspects that should also be mentioned:

1) important bilateral result that goes beyond the planned cooperation is a meeting in January 2019 that took place in Romania, where all programme operators of other beneficiary states and Donor Programme Partner decided that three joint working groups should be established in order to foster partnership and cooperation in both ways, between the programme operators and with Donor Programme Partner:

- Working group No. 1 "Education";
- Working group No. 2 "Conferences and seminars";
- Working group No. 3 "Evaluation and Indicators".

2) The Programme Operator applied for Joint Bilateral Fund financing, by establishing and submitting Programme level initiative "The international cycle of conferences with participation of Norwegian and Latvian experts on issues topical for correctional services" together, with the Directorate of Norwegian Correctional Services. The aim of initiative is to continue building the excellent cooperation platform and to share the knowledge with other beneficiary states that are planning to improve their own correctional services system. The initiative was approved by the Joint Committee for Bilateral Funds, and the approval of this initiative is subject to the decision of the Cabinet of Ministers (Latvian Government) and the information about the decision will be available indicatively in March or April 2020. The planned implementation of the initiative is from October 2020 till March 2025, and the amount of funds applied for is 98 700 EUR.

It is expected that in this Norway Grants period the beneficiary states implementing similar programmes and objectives will work more closely, therefore, achieving better results, as it will be possible to solve issues and challenges, as well as to discuss ideas in more effective manner. This can also be considered as one of the changes instituted by the Programme Operator in the new Programme period, in order to use lessons learned from the previous period. Additionally, in this Programme it is expected to reduce administrative burden for both, Project Promoter and Programme Operator, by changing the way of reporting. The reporting is predicted to be less frequent, however, more effective content oriented.

Programme Operator is strongly working forwards increased visibility of Norway Grants. Many press releases were launched in order to inform society about the Norway Grants investments in Latvia and the results that will be achieved, namely, newly build training centre for probation and prison staff and model prison block. In 2019, the Programme was represented in Latvian conversation festival "Lampa", which was visited by more than 20,000 people. Programme Operator has created informative banners for the Correctional Services Programme and established comprehensive and dynamic Communication plan, which indicates many publicity and visibility activities that will be carried out during the coming years. It is foreseen that the next implementation years will be busy and dynamic for implementing activities and cooperation between the all involved parties.

*Programme "Correctional Services" opening event, 25<sup>th</sup> March 2019, Riga*



## B. PERFORMANCE

### 1. Results

#### **Outcome 1: Improved correctional services**

##### *Pre-defined projects*

*Description and analysis of results [applicable from the second APR submitted.*

Project is directly linked to achievement of Programme main objective, and, therefore; directly contributes to achievement of outcome and outputs indicator values. As the Project contract was signed on 1<sup>st</sup> July 2019, the second part of 2019 mostly was spent on actively preparing documentation for Project procurements and other steps for launching activities. However, during the reporting period, work has been started on implementing of the activities on outcome "Improved correctional services" output 1.2. "Necessary legislation assessed" and first values have been achieved and already are included on APR.

The experience exchange visit accordingly to output 1.2. "Necessary legislation assessed" have been organized on 22<sup>nd</sup> to 25<sup>th</sup> October, 2019. During the visit the mentoring working group of Project Promoter visited University College of the Norwegian Correctional Service (hereinafter – KRUS) and Romerike Prison, what parallely are donor project partners as well. The aim of visit was to become acquainted with mentoring system in Norway correctional services, discuss about necessary legislation for this purpose, and have a practical debate at Romerike Prison (it is planned that mentors will be especially prepared staff members of prisons, they will be trained on new Olaine Training centre and they are going to introduce new coming staff members with their potential duties starting work at prisons).

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

### *Analysis of bilateral relations and achievements*

The bilateral cooperation was actively fostered during the reporting period, both according to the activity plan as well as beyond the planned results.

In 2018 six bilateral activities took place in Latvia, Ukraine and Norway, including international seminars for Norway Grants programme operators, meetings, participation in international conference and experience exchange visit. These bilateral activities were aimed at strengthening establishment of bilateral cooperation strategy, as well as information, experience and good practice exchange between the donor state and programme operators from 6 European states which are implementing rather similar programmes and targeting similar issues, namely, Latvia, Lithuania, Czech Republic, Poland, Romania and Bulgaria. During these activities, two international workshops of the Norway Grants programme operators were held in Norway (in May and October 2018), two meetings were held in Norway and Lithuania (in May and November 2018), where most of the discussions, exchanges of challenges and possible solutions were held about launching of programmes, necessary procedures to establish programmes and projects. Latvia, Bulgaria and Lithuania had specified common discussions about most appropriate procurement procedure and construction place locations, as well as layouts of the new training centres of correctional services staff. Every state has various challenges to overcome and closing 2019 decisions have been made in all three states. Also, one international criminal law conference took place in Ukraine (in November 2018). Furthermore, an experience exchange visit with participants from Latvia, Norway, and representatives of Ukrainian justice and probation services were held in Latvia (in November 2018). Opportunities for bilateral cooperation between Project Promoter and donor state Project partners were discussed. Participation in the international conference allowed to obtain crucial experience on innovative alternative punishment methods for the prisoners.

*In 2019 one crucial bilateral cooperation event took place in Romania, from 17<sup>th</sup> to 18<sup>th</sup> January, which later led to results that goes beyond the planned activities in the results framework. It was a meeting organized by Directorate of Norwegian Correctional Service (hereinafter – KDI) for programme operators and project promoters. The aim of the meeting was to strengthen cooperation and synergies between the respective six BS and donor state. In the Norway Grants 2014–2021 period all these six BS have similar tasks, namely, capacity building of correctional services training centres, improving and establishing dynamic security, ensuring high quality staff training and a new platform for discussing challenges, as well as sharing experience. In this meeting, programme operators from these BS and KDI as the Donor Programme Partner (hereinafter – DPP) participated and discussed how to achieve the best approach to effective and sustainable cooperation. During this meeting, it was decided that three working groups should be established:*

- Working group No. 1 "Education";
- Working group No. 2 "Conferences and seminars";

- Working group No. 3 "Evaluation and Indicators".

The working group No. 1 is led by Ole Stageberg, Assistant Professor/International coordinator of KRUS and the following topics are meant to be covered:

- Planning of new training centres and planning the development of existing training centres. This topic cover construction processes, analysis of competences of project's staff, defining content of the centres and cooperation between imprisonment places and training institutions, as well as e-learning.
- Establishment of model prisons/prison blocks, where it is essential to discuss such issues as design and organisation, defining content, living standards, working methods in these model buildings, the use of dynamic security and content of programmes.
- Creating a "seamless" correctional service, meaning cooperation between imprisonment institutions and probation services, joint education and trainings, multipurpose reintegration facilities, as well as rehabilitations intervention tools.

In 2019 one meeting of working group No.1 took place in Norway from 23<sup>rd</sup> to 24<sup>th</sup> April. Two representatives from Latvia participated, representing the Ministry of Justice of the Republic of Latvia (hereinafter – MoJ) as the Programme Operator (hereinafter – PO) and Project Promoter respectively. The meeting included visit to KRUS in order to get to know training audiences, rooms for practical trainings, library and conference hall. Also, dynamic security was widely discussed, and different e-learning tools were introduced by representatives of European Commission.

The working group No. 2 is led by Inger–Lise Becher, Senior Advisor of KDI. This group is meant to coordinate joint plans of programme operators and activities for each implementation year. It was stipulated that such a working group is crucially necessary as during the previous Norway Grants period there were overlapping of topics for seminars and conferences between the BS. Therefore, establishment of this working group is considered as a strategic approach for avoiding this issue. Here all BS were able to define their preferred topics for international seminars and conferences, also defining that other BS will be represented in the respective events. First meeting of working group No. 2 took place in Norway from 28<sup>th</sup> to 29<sup>th</sup> March 2019. This meeting was attended by one member of the PO. It was decided that BS should prepare applications to Joint Bilateral Fund (hereinafter – BF) in order to ensure participation in international conferences and cover all topics. In order to ensure effective work and coverage of important issues, it was also decided to prepare a joint calendar of international conferences and seminars.

The working group No. 3 was headed by Torunn Hasler, Senior Adviser of International Unit of KDI. Technically, this group is meant for discussing research, but that is not the only goal. The main objective is to define in what best possible way the indicators can be achieved, sharing the good experiences and also to find possible synergies where BS could work explicitly together. First meeting of the third working group took place in United Kingdom from 8<sup>th</sup> to 10<sup>th</sup> May 2019, and one representative from Project Promoter participated. This meeting was highly useful content wise, and it was decided to launch procedure for introducing and obtaining new research methods in Latvia that will contribute to improving correctional services.

The PO also has applied for BF financing, by establishing and submitting Programme level initiative "The international cycle of conferences with participation of Norwegian and Latvian experts on issues topical for correctional services" as initiative promoter, together with KDI. The aim of initiative is to continue building the excellent cooperation platform and to share the knowledge with other BS that are planning to improve their own correctional services. The activities of the initiative foresee participation and organization of international conferences about issues topical for correctional services programmes, at the same time ensuring that the topics are not overlapping, therefore, promoting effective usage of funds. The initiative also foresees participation in highly important international event "International Corrections and Prisons Association (hereinafter – ICPA) conference", which would be highly useful due to its participants and content, which is related to effective work of correctional services. The next conference will take place from 25<sup>th</sup> to 30<sup>th</sup> October 2020 in Hong Kong, China. The initiative was approved by the Joint Committee for Bilateral Funds, and the approval of this initiative is subject to the decision of the Cabinet of Ministers (Latvian Government) (hereinafter – CoM) and the information about the decision will be available indicatively in March or April 2020. Please see the results framework of the initiative, including indicators and values, below.

<b>Programme initiative "The international cycle of conferences with participation of Norwegian and Latvian experts on issues topical for correctional services"</b>			
Objective - to strengthen the bilateral cooperation between institutions of correctional service system in Norway and Latvia, beyond the scope of the programme.			
Output No.1	International conferences in Latvia for correctional service specialists	Number of international conferences organized in Latvia	2
Output No.2	The audience of the international conferences in Latvia	Number of participants	140
Output No.3	Participation of the Latvian and Norwegian correctional service system specialists in the international events	Number of participants	16
Output No.4	ICPA conference on 2020	ICPA conference on 2020 Number of participants (NOR and LV)	3
Output No.5	Established summaries with conclusions, suggestions and further action plan after each of the event	Number of summaries developed	8

In order to increase visibility of Norway Grants and to discuss Project-related issues with society, the Programme was represented in Latvian conversation festival "Lampa" on 28<sup>th</sup> June 2019, which was visited by more than 20,000 people. The discussion topic was "Working in Prison - Misunderstanding or Courage?". It should be noted that among correctional services officials from Latvia, also Officer of Romerike Prison in Norway **Andreas Berger Bjerkestrand** participated in the discussion, which provided an opportunity for the attendants to take a look at the daily life and work of the Norwegian prison.



*Discussion in conversation festival "Lampa", 28<sup>th</sup> June 2019.*

### *Indicators*

Values of two of the Bilateral Outcome "Enhanced collaboration between beneficiary state and donor state" Output 1 indicators were partly achieved within the framework of the Programme and Project.

### **Bilateral Output 1: Cooperation between donor state and beneficiary state entities facilitated**

**Indicator: Number of projects involving cooperation with donor project partner: baseline 0, achieved 1, target 1**

Within the Project, already three partnership agreements have been concluded with donor state Project partners. Consequently, this Bilateral Output indicator value has been achieved as planned, as there already is one Project implemented involving donor state Project partners.

**Indicator: Number of staff from Beneficiary States in exchanges: baseline 0, achieved 10, target 50**

This indicator must be achieved jointly by Programme and Project. Within the Programme the target is 10, while for the Project it is 40 persons. During the reporting period, value of **6 separate staff members** was achieved within the framework of the Programme. Therefore, the Programme shall still achieve participation to exchanges from 4 staff members. The exchange took place from 13<sup>th</sup> to 15<sup>th</sup> February 2018 in Norway. Six representatives from Latvia (PO and Project Promoter) participated in exchange visit organised by donor programme partner (hereinafter – DPP) shortly after signature of Memorandum of Understanding aiming to contribute to preparation of Programme concept note – development of Programme content. In result framework was finalized by sharing experience from all participants (DPP, PO and Project Promoter). This meeting also was organized in order to start the search for donor state Project partners.

During the reporting period value of **4 separate staff members** was achieved within the framework of the Project. Therefore, the Project shall still achieve participation to exchanges from 36 staff members. The exchange took place from 22<sup>nd</sup> to 25<sup>th</sup> October 2019 in Norway. Four representatives from Project Promoter participated in exchange visit organized by KRUS and Romerike Prison to get acquainted with mentoring system of correctional services in Norway and discuss about most appropriate model for correction services of Latvia. In result some ideas were created and was decided to organize next exchange visit on Olaine prison on March of 2020 to provide visual view to partners.

**Number of staff from Donor States in exchanges: baseline 0, achieved 10, target 30**

This bilateral output indicator is also meant to be achieved jointly within the Programme and the Project. Here, Programme is responsible for achieving 10 units, while Project shall achieve 20. During the reporting period value of 10 staff members was achieved within the framework of the Programme, meaning that target value for Programme is achieved already. Two exchanges were organised during the reporting period.

The first exchange took place from 4<sup>th</sup> to 7<sup>th</sup> June 2018, in Olaine, Latvia. In total four representatives from donor state participated in visit, from Oslo prison and Bredtveit prison Pathfinder unit. This visit was organized in order to introduce Project staff to relevant staff from Norway, exchange experience, as well as to ensure shadowing experience for Norwegian representatives. It was also meant for ensuring and establishing institutional memory, as Per Stageberg, previous head of Pathfinder unit of Oslo prison, was going to retire. This visit also allowed discussions for further cooperation in order to ensure sustainability of previous Norway Grants period programme in Latvia, as well as to establish cooperation for the new period.

The second exchange took place from 13<sup>th</sup> to 15<sup>th</sup> June 2018, in Olaine, Latvia. This visit was organized so that Project promoter, KRUS and Romerike prison (previously Ullersmo prison) representatives could discuss preparation of pre-defined Project proposal, as well as implementation of the Project. This visit gathered 6 participants from Norway. As Romerike prison and KRUS are two of Project donor state partners,

they had to be introduced with the building place, where training centre and open prison block will be built, so that they could be more prepared for participation in the preparation of documents, Project and other specifics. During the visit contacts were established between the donor state Project partners, the Project Promoter and the staff of the Olaine prison, to get acquainted with the preliminary visions of the Project, its goals and to share the experience gained so far.

Mainly due to this active cooperation and preparation works it was possible to finish the search for donor state Project partners timely and to sign the contracts in early Project implementation phase, in line with deadlines. The approved and contracted donor state Project partners are:

1. KRUS, partnership agreement signed on 22<sup>nd</sup> August 2019;
2. KDI, partnership agreement signed on 22<sup>nd</sup> August 2019;
3. Romerike Prison, Ullersmo department, partnership agreement signed on 22<sup>nd</sup> August 2019.

Additionally, Norwegian non-governmental organization "Wayback" was also provided as donor state Project partner, however, the Evaluation Commission for Project proposal appraisal indicated that the participation of "Wayback" should be reviewed in the later Project implementation phase, as their involvement was not intended at the preparation phase and at the beginning of Project implementation.

During the reporting period DPP provided valuable input in the development of Programme's content by providing expertise in justice area and also took part in assessment process of pre-defined Project application. DPP analysed the needs of pre-defined Project, proposed the most suitable donor state Project partners and has regular communication with partners' organizations regarding pre-defined Project activities. Regular Cooperation Committee (hereinafter – CC) meetings were carried out where members of DPP and PO are represented in every meeting and DPP always expressed to PO their readiness to listen and cooperate. Regulations for CC were approved in CC meeting from 15<sup>th</sup> to 16<sup>th</sup> January 2018, and contract with DPP on procedure for settlement of payments for activities implemented within the framework of bilateral cooperation was signed on 13<sup>th</sup> February 2018. In total, five CC meetings were organized, three in Latvia and two in Norway:

- the plan for bilateral activities was approved and adjusted if necessary;
- Project proposal was appraised, including budget, indicators and timeframe;
- donor Project partners were found, a plan for cooperation was established with each of the donor Project partners;
- it was decided to invite all BS of the DPP to apply for BF with joint initiative. DPP has expressed gratitude for the fruitful meetings and active cooperation. The next CC meeting is planned in Spring of 2020.

## 2. Implementation

### Conformity with specific requirements

#### *General conditions*

1) *The maximum level of funding available from the total eligible expenditure of the Programme for infrastructure (hard measures) shall be 85% - the PO has ensured compliance with this condition by several measures. This condition has been stipulated in the following normative acts:*

1. Programme Agreement (hereinafter – PA);
2. Provision of Cabinet of Ministers (Latvian Government) (hereinafter – CoM) 5<sup>th</sup> April, 2019 regulations No 140 "Regulations on Norwegian Financial Mechanism 2014–2021 period programme "Correctional Services" implementation";
3. Article 1.5. and 1.6. of the Project contract No 1-6.4/2-2019 "On implementation of pre-defined project "Establishment of training centre infrastructure and model prison blocks for training opportunities in the Olaine prison territory".

Also, PO is following closely to the Project budget in order to ensure no derogations from this condition. The PO has established in the Project contract a comprehensive procedure for making any amendments in the Project contract, in order to ensure that important budget positions are reviewed and approved by the CC members. In such a way PO can ensure keeping record of all amendments made, at the same time allowing room of flexibility for less significant amendments, therefore, reducing bureaucratic requirements.

2) The PO, prior to signing the Project contract fulfilled an obligation set out under Section 5.1 of Annex II to the PA, which foresees that *the PO must carry out an external and independent appraisal of the Project, in order to verify its quality and contribution to the objectives of the Programme, as well as with European Union (hereinafter – EU) and national legislation.* In order to comply with this condition, PO contracted and external expert for Project appraisal (hereinafter – external expert). The contract provisioned that the external expert must provide a final report on Project proposal according to evaluation methodology and regulations, as well as evaluation and administrative criteria for Project appraisal that were approved by the CC members beforehand. The report in its essence revealed whether the Project proposal is of high quality, does contribute to the objectives of the Programme and is in compliance with EU and national legislation. The external expert was contracted additionally to the appraisal procedure provided by the Evaluation Commission established by the PO. The PO established a special procedure for the evaluation and appraisal of pre-defined Project, creating regulations for evaluation, methodology, administrative and evaluation criteria as guidelines for Project proposal reviewal. This procedure envisaged that the Project proposal must be provisionally appraised by the Evaluation Commission before forwarding proposal for reviewal to external expert. Such a step was requested in order to ensure that external expert is provided with the last version of Project proposal content wise, as the Evaluation Commission consisted of professionals in the field that were also able to look through the Project proposal from quality and content point of

view. Also, the appraisal procedure established foresaw final approval of Project proposal only after two positive decisions are given, by Evaluation Commission and external expert respectively. Contracted external expert, who since 2007 practices as a member of the Council of Europe Committee for the Prevention of Torture in respect of Latvia, is a member of the Committee for the Prevention of Torture Jurisprudence group, responsible for revising the standards of the Committee for the Prevention of Torture on juveniles deprived of their liberty. External expert with such Curriculum Vitae was chosen based on numerous criteria established, namely, that the external expert is required to have the following competences:

- legal education;
- knowledge about human rights standards and European Convention for the Prevention of Torture and Inhuman or Degrading Treatment or Punishment;
- experience in drafting legislation in the field of justice in Latvia;
- international experience in the justice sector;
- experience in research and training in areas related to human rights and necessary standards of detention in EU member states.

It was required from the external expert that the Project proposal must be evaluated in accordance with evaluation and administrative criteria. Following the evaluation, the expert prepared and submitted to the PO a summary/final report containing conclusions and filled criteria sheets. Having assessed the range of persons potentially meeting the above requirements, the PO selected expert who has also worked as a human rights expert at national and international levels, leading numerous trainings and research on human rights issues, participating in international crime reduction teams, and providing legal advice on legal policy issues to various authorities.

The Project proposal version of 10<sup>th</sup> June 2019, annexes version of 5<sup>th</sup> June 2019 was approved with positive decision by the Evaluation Commission in written procedure on 14<sup>th</sup> June 2019. After that, the Project proposal was forwarded to the external expert for independent evaluation. The external expert carried out the evaluation according to the requirements and provided a report with positive appraisal decision on 27<sup>th</sup> June 2019. The decision included affirmation that the Project proposal is of high quality, is clearly and directly linked to the objectives of the Programme and is in compliance with EU and national legislation. It was noted in the report that the Project proposal is appropriate in means of EU and national legislation in both, from the content and procedures point of view. The report also states that Project proposal completely contributes to the objective: improved correctional services system. Additionally, the report points out that the Project proposal is in line with the recommendations of the Council of Europe Committee for the Prevention of Torture on the need for re-socialization of prisoners and the improvement of working conditions and training opportunities for local staff, as well as Project proposal complied with commitments made by Latvia as a member of the United Nations. Consequently, a positive appraisal was given, and it was possible to proceed forward with the Project proposal, namely, Project contract preparation and signing stage.

The Project contract No. 1-6.4/2-2019 "On implementation of pre-defined project "Establishment of training centre infrastructure and model prison blocks for training

opportunities in the Olaine prison territory"" was signed on 1<sup>st</sup> July 2019, the eligibility of expenditures started from July 2<sup>nd</sup>, after announcing this to Norwegian Ministry of Foreign Affairs.

3) *The PO ensures that the Project Promoter keeps any buildings purchased, constructed, renovated or reconstructed under the Project in their ownership for a period of at least 5 years following the completion of the Project and continue to use such buildings for the benefit of the overall objectives of the Project for the same period.* This condition has been stipulated in the Project contract Article 10.1.2., ensuring an obligation for the Project Promoter to keep the buildings constructed in the ownership of the MoJ as property of the state for 5 years after appraisal of Programme final report. Article 10.1.2. also requires the Project Promoter to ensure ownership of all equipment purchased within the Project for 5 years after approval of Programme final report.

*The PO ensures that the Project Promoter keeps any buildings purchased, constructed, renovated or reconstructed under the Project properly insured against losses such as fire, theft and other normally insurable incidents both during Project implementation and for at least 5 years following the completion of the Project.* Project contract Article 10.1.3. foresees that in the case of losses or damages the Project Promoter uses insurance indemnity for renovating or reconstructing the buildings, or for replacing the damaged equipment. This article also provides for requirement that if the insurance indemnity does not cover all expenditures, Project Promoter must find the financing in state budget assigned to the institution as such. Therefore, the PO has ensured that the buildings constructed, and equipment purchased is ensured against losses and damages in all cases.

*The PO ensures that the Project Promoter sets aside appropriate resources for maintenance of any buildings purchased, constructed, renovated or reconstructed under the Project for at least 5 years following the completion of the Project.* The specific means for implementation of this obligation are specified in the Project contract, Article 10.1.4. which stipulates that the Project Promoter shall plan in central budget of Latvian Prison Administration budget resources for maintaining buildings constructed and equipment purchased within the Project 5 years after approval of Programme final report. Also, this provision sets out that the Project Promoter informs PO about the use of respective resources.

Furthermore, in order to ensure sequential exchange of information, PO in Project contract has determined a provision requiring that the Project Promoter sends PO affirmation and supplementary documentation confirming compliance with closing conditions 5 years after approval of the Programme final report until the 15<sup>th</sup> January of each year. Then in accordance with CoM 16<sup>th</sup> November 2018 Regulations No. 683 "Regulation on management of EEA Financial Mechanism and Norwegian Financial Mechanism 2014-2021" the PO will provide this information to the Certifying Authority, National Focal Point (hereinafter – NFP) and Audit Authority (hereinafter – AA) till 1<sup>st</sup> February of each year for 5 years after completion of the Programme.

Programme Management and Control System (hereinafter – MCS) was approved by NFP on 16<sup>th</sup> October 2019, and a positive assurance report by AA was issued.

## Cooperation with International Partner Organisations (IPOs)

Not applicable, as the Programme does not have International Partner Organizations.

## C. LEARNING

### 1. Monitoring

In 2019, PO carried out several monitoring activities, in this reporting period focusing on results-based and compliance-based monitoring activities. During the reporting period, no on-the-spot verifications were made yet. On 2<sup>nd</sup> December 2019 PO concluded assessment of Project risk level and the risk level for the Project was determined as high. Therefore, when carrying out monitoring activities PO will verify all documentation or activities without sampling. The monitoring activities carried out during the reporting period are described below.

- *Implementation reports.* This monitoring activity combines both, results based and compliance-based monitoring. Implementation reports allow PO to see, if the planned results are achieved, what is the impact of these achievements, and also allows to follow closely that activities are being implemented within the timeframe and no major deviations are encountered. On 24<sup>th</sup> October 2019 Project Promoter submitted implementation report for the period from 1<sup>st</sup> June 2019 till 30<sup>th</sup> September 2019. After PO reviewal, an implementation report verification document was issued by the PO. As a result of reviewing implementation report, it was possible to detect small deviations from Project activity time frame and to analyse actions taken to mitigate these deviations. For instance, the implementation report revealed that the construction procurement has been delayed, but it was also stated that it is due to necessity to obtain additional security certificate from the Security Police. These were new circumstances, but due to frequent communication between Project Promoter and PO it was all transparent and clear. Implementation report also included information about further main steps in the next three implementation months. In this Norway Grants period, PO has requested in the Project contract interim financial reports (hereinafter – IFR) from Project Promoter two times per year and implementation reports also two times per year, in between the IFR's. With implementation reports Project Promoter only has to report about activities, excluding financial part. In the previous Norway Grants period, Project Promoter submitted three IFRs each implementation year. Therefore, PO reduces bureaucratic actions but still can follow up closely to Project progress and act accordingly if necessary. When reviewing the implementation report, PO ensures the principle of four eyes, meaning, that two persons review the report.
- *Telephone 'meetings'.* Here PO uses results-based monitoring approach, because there are occasions when only fast and effective cooperation and understanding of the situation can lead to good results. The PO is keen on ensuring regular and frequent exchange of information with Project Promoter. Therefore, PO makes telephone conversations on a regular basis, at least once a week, in order to effectively solve issue or ask/answer questions. Such meetings are less formal, but nonetheless provide valuable opportunities for learning of Project or Programme updates. Notes from these telephone conversations are kept within the PO, and follow-up measures are taken if necessary, depending on the conversation or meeting conclusions.
- *Consultative working group consisting of representatives of PO and Project Promoter.* The PO has invented a procedure that working group meetings takes place in the premises of the MoJ or Project Promoter at least one time per month. One meeting already took place on 26<sup>th</sup> November 2019. Consultative working group meetings gathers both,

representatives from Project Promoter and PO for actual and crucial discussions. In the last meeting PO was introduced with new Project Promoter staff, as well as presented crucial information that a positive opinion from the Security Police has been received and it is possible to move forward with the construction procurement, also indicating that the procurement will be announced in the beginning of December.

- *Project Steering Committee meetings.* The PO participates in Project Promoter Steering Committee meetings, thus, without voting rights. One meeting already took place on 15<sup>th</sup> November 2019, and during the meeting technical specification for construction procurement of training centre and open prison was appraised. This also allows PO to follow closely to Project progress and monitor activities implemented.
- *CC meetings.* PO ensures a good practice of results-based monitoring that Project Promoter is also represented in Programme CC meetings and is always invited to give a presentation about Project progress. Project Promoter representatives have participated and gave presentation in all five CC meetings so far. CC members were able to ask questions about Project progress and give suggestions, which were all documented in the minutes of the meetings. Consequently, transparency and openness about Project progress have been ensured, by monitoring their activities also through CC meetings.

Monitoring plan for on-the-spot verifications in 2020 is attached to the annual report. It contains two on-the-spot verifications, as internal regulations, included in MCS, foresees that high-risk Project shall be subject to at least two on-the-spot verifications per year, more can be organised based on necessity. Such a process is established, as this Project has a significant impact on the Programme overall objective.

The first on-the-spot verification is planned in the third Quarter of 2020 after the Project Promoter will submit IFR to the PO, and the scope of this verification will be supporting documents submitted with Project IFR. When reviewing the financial reports from the Project, and as part of results-based monitoring, PO will also review the stated progress of the Project, as the IFR template requests that information and check whether progress is going according to the implementation plan established at the outset. If substantial deviations occur, the PO will be able to detect that and discuss the deviations with the Project Promoter and encourage the Project manager to implement corrective measures accordingly and as soon as possible.

The second on-the-spot verification will be very important, as it will be conducted after construction works will be launched, and the scope of it will be verification of design and construction documentation and process, also including review of the construction site. This will be particularly important, as it is high risk Project. It will be carried out together with the POs independent construction expert.

## 2. Evaluation

Not applicable. Evaluation has not been carried out yet.

## 3. Lessons learned

In order to achieve results more effectively, the PO has used lessons learned in both, this and the previous Norway Grants period.

From the previous Norway Grants period PO instituted changes in reporting periods and frequency. In the last period, Project Promoter reported to PO with three IFR's and three

implementation reports in each year. However, it was a high administrative burden for the Project Promoter and to PO as well, as it was necessary to verify the reports. In this period, PO has established a procedure that Project Promoter submits two IFR's per year and in between these periods submits two implementation reports, therefore, PO can follow closely to Project implementation progress.

PO also instituted changes in the procedure how Project risk level is assessed. PO first established internal regulations that foresaw determining Project risk level. The risk assessment template was obtained from NFP guidelines and it was rather basic, however, in the work process it was revealed that it does not retrospect the pre-defined Project of this Programme. It was concluded that this Project is different, as the Programme itself is completely based in this one Project, it has rather high hard and soft measures ratio (85%-15% respectively). As many further aspects of Project implementation, control and monitoring, including frequency and scope of Project documentation and on-the-spot verifications depends on Project risk level, special care must be taken in determining the level of risk. Consequently, PO consulted with NFP and it was then provided that the risk assessment template can be adjusted based on the respective Project. Accordingly, PO introduced amendments in the internal regulation and adjusted the risk assessment template, covering all specific Project issues.

It is expected that in this Norway Grants period the beneficiary states implementing similar programmes and objectives will work more closely, therefore, achieving better results, as it will be possible to solve issues and challenges, as well as to discuss ideas in more effective manner. This can also be considered as one of the changes instituted by the PO in the new Programme period, in order to use lessons learned from the previous period. Additionally, in this Programme it is expected to reduce administrative burden for both, Project Promoter and PO, by changing the way of reporting. The reporting is predicted to be less frequent, however, more effective content oriented.

The PO is keen on looking forward to any lessons in the further Programme implementation and to make appropriate adjustments when necessary, as the main target is to implement Programme objective in the best possible way.

## **D. ANNEXES**

- 1. Updated results (indicator achievements)**
- 2. Communication**
- 3. Overview of contracted projects**
- 4. Risk management**
- 5. Monitoring plan**

## Annex 1: Updated results (indicator achievements)

Objective: Improved correctional system								
Outcome 1: Improved correctional services								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2019			Target	Comment
				Numerator	Denominator	Value		
Number of national policies/laws influenced	Number	0	-	-	-	0	3	N/A on this reporting period
Share of staff who report that improved facilities were important to their learning process	Percentage	N/A	-	Reported 2023			80.00 %	-
Share of staff who self-report increased competence	Percentage	N/A	-	Reported 2023			80.00 %	-
Output 1.1: New structure to train staff put in place								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2019			Target	Comment
				Numerator	Denominator	Value		
National training centre built	Binary	No	-	-	-	No	Yes	N/A on this reporting period
Model prison block built	Binary	No	-	-	-	No	Yes	N/A on this reporting period
Number of training programmes approbated	Number	0	-	-	-	0	5	N/A on this reporting period
Number of prison and probation staff that can be trained in the centre at one time	Number	0	-	-	-	0	150	N/A on this reporting period
Number of prison and probation staff trained in the National training centre	Number	0	-	-	-	0	50	N/A on this reporting period
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	0	-	-

<i>Male</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Output 1.2: Necessary legislation assessed</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2019			Target	Comment
				Numerator	Denominator	Value		
<b>Number of study visits/expert consultations carried out</b>	Number	0	-	-	-	1	6	Experience exchange visit from Latvia no Norway regarding to mentoring issues on correctional services
<b>Assessment of necessary changes in relevant legislation carried out</b>	Binary	No	-	-	-	No	Yes	N/A on this reporting period
<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 2019			Target	Comment
				Numerator	Denominator	Value		
<b>Level of trust between cooperating entities in Beneficiary States and Donor States</b>	Scale 1-7	TBD	-	-	-	-	6, And an increase to the baseline value.	N/A on this reporting period
<i>State type</i>								
<i>Beneficiary State</i>	-	-	-	-	-	-	-	-
<i>Donor State</i>	-	-	-	-	-	-	-	-
<i>Not specified</i>	-	-	-	-	-	-	-	-
<b>Level of satisfaction with the partnership</b>	Scale 1-7	TBD	-	-	-	-	6, And an increase to the	N/A on this reporting period

							baseline value.	
<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	-	-	-	-	50.00 %	N/A on this reporting period
<i>State type</i>								
<i>Beneficiary State</i>	-	-	-	-	-	-	-	-
<i>Donor State</i>	-	-	-	-	-	-	-	-
<i>Not specified</i>	-	-	-	-	-	-	-	-
<b>Number of joint initiatives in a Beneficiary State or a Donor State, beyond the scope of the programme</b>	Number	0	-	-	-	0	2	N/A on this reporting period
<i>Donor State</i>								
<i>Norway</i>	-	-	-	-	-	0	-	-
<i>Iceland</i>	-	-	-	-	-	0	-	-
<i>Liechtenstein</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Bilateral Output 1: Cooperation between donor state and beneficiary state entities facilitated</b>								
Indicator	Unit of measurement	Baseline	Achievements until end of previous reporting period	Achievements until end of December 2019			Target	Comment
				Numerator	Denominator	Value		
<b>Number of training courses co-organised by donor state and beneficiary state entities</b>	Number	0	-	-	-	0	4	N/A on this reporting period
<b>Number of staff from Beneficiary States in exchanges</b>	Number	0	6 (IFR 2019)	-	-	10	50	6 persons (achieved within the Programme) to discuss on Programme Concept Note on 13-15.02.2018.; 4

								persons (achieved within the Project) to discuss about mentoring system on 22-25.10.2019.
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	7	-	-
<i>Male</i>	-	-	-	-	-	3	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<i>Donor State</i>								
<i>Norway</i>	-	-	-	-	-	10	-	-
<i>Iceland</i>	-	-	-	-	-	0	-	-
<i>Liechtenstein</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Number of staff from Donor States in exchanges</b>	Number	0	10 (IFR 2019)	-	-	10	30	4 persons on experience exchange visit to Latvia on 04-07.062018.; 6 persons on experience exchange visit to Latvia on 13-15.06.2019.
<i>Gender</i>								
<i>Female</i>	-	-	-	-	-	2	-	-
<i>Male</i>	-	-	-	-	-	8	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<i>Donor State</i>								
<i>Norway</i>	-	-	-	-	-	10	-	-
<i>Iceland</i>	-	-	-	-	-	0	-	-
<i>Liechtenstein</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-
<b>Number of projects involving cooperation with a donor project partner</b>	Number	0	-	-	-	1	1	Project "Establishment of training centre infrastructure and model prison blocks for training opportunities in the Olaine prison territory" contract

								has been signed on 1st July 2019
<i>Donor State</i>								
<i>Norway</i>	-	-	-	-	-	1	-	-
<i>Iceland</i>	-	-	-	-	-	0	-	-
<i>Liechtenstein</i>	-	-	-	-	-	0	-	-
<i>Not specified</i>	-	-	-	-	-	0	-	-

## Annex 2: Communication summary

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

During the reporting period, the visibility of Programme "Correctional Services" (hereinafter – Programme) and Norway Grants was strongly ensured. Programme banners were established (two units, one in Latvian and one in English). These banners are deployed in all Programme events. Programme Opening event took place on 25<sup>th</sup> March 2019 and it was widely covered in national media, press releases and informative articles in Ministry of Justice as the Programme Operator (hereinafter – PO) webpage, Programme and Norway Grants webpages ([www.tm.gov.lv](http://www.tm.gov.lv); [www.norwaygrants.tm.gov.lv](http://www.norwaygrants.tm.gov.lv); [www.norwaygrants.lv](http://www.norwaygrants.lv)) and in Norway Grants in Latvia Facebook page (@EEANorwayGrantsLatvia). Furthermore, Programme was represented in conversation festival "Lampa", which also included Norway Grants in Latvia opening event. The discussion "Working in Prison - Misunderstanding or Courage?" in the festival "Lampa" took place on 28<sup>th</sup> June 2019 and was attended by many listeners. Press releases and informative articles were ensured by the PO. Additionally, press releases and informative articles were released on achievement of all milestones of the Programme, namely, signature of project contract, Cooperation Committee meetings, bilateral cooperation.

In 2018, 7 articles were published about Programme, while till December 2019 11 articles have been published in the PO website [www.norwaygrants.tm.gov.lv](http://www.norwaygrants.tm.gov.lv). The PO is actively communicating by inserting information about Programme and project also in the joint Facebook Page @ EEZ and Norway Grants Latvia. In the reporting period, 11 posts were published to Facebook about Programme and project activities.

### b. Communication with the National Focal Point

PO cooperation with communication specialist from NFP is active and aimed at implementation and perfection of Programme communication plan. NFP regularly and based on necessity provides PO consultations about topical Programme and Project communication issues. Once a year PO submits updated communication plan to NFP, while each quarter PO informs NFP about planned Programme publicity events. This information is updated on the google.doc, an online platform created by the NFP, which allows all entities involved in 2014-2021 period communication to get acquainted with the communication activities of other POs, share their experience and good practice.

Representatives of the PO and Project Promoter participate in the EEA and Norway Grants Communication Steering Group meetings, which is established by the NFP. During these meetings, it is possible to discuss current communication issues (communication objectives and tasks, visual requirements as defined in the Communication Guidelines, establishment of effective communication by using modern technologies and communication channels, communication with media). In April and November 2018 two Communication Steering Group meetings were held, and one meeting was held in December 2019. In 2019, within the framework of conversation festival "Lampa" also the Norway Grants 2014-2021 period in Latvia opening event was held, and it resulted in excellent and productive cooperation.

### c. Website and social media

The PO timely provides availability of up-to-date information to target groups identified in the Programme communication plan in PI website [www.norwaygrants.tm.gov.lv](http://www.norwaygrants.tm.gov.lv) in Latvian and English languages. The website of the PO is established in line with requirements in Communication Guidelines, ensuring also availability to people with disabilities (including visually impaired visitors), as well as providing accessibility to the website content on the smartphone. PO inserts information about Norway Grants 2014-2021 period Programme "Correctional Services" and project "Establishment of training centre infrastructure and model prison blocks for training opportunities in the Olaine prison territory" implementation in both,

Latvian and English languages. The website also includes general information about the Programme, contact information, information about the Grant amount and project partners, information about Norway Grants co-financed project. Additionally, the website also provides for up-to-date Programme effects and results. The PO website provides links to the Norway Grants websites [www.eeagrants.org](http://www.eeagrants.org) and [www.norwaygrants.lv](http://www.norwaygrants.lv) (website for Norway Grants in Latvia established by NFP). The PO also ensures accessibility to NFP established website, adding links to actual information about Norway Grants investments in Latvia. In March 2020, the joint financial mechanism website will be launched, and in this website all information about Norway Grants in Latvia will be compiled in Latvian and English languages. The website will be administered by NFP, while PO will have usage rights with opportunity to supplement the content. Each Norway Grants programme will have separate section for their up-to-date information. Until this joint website will be launched, the PO will continue to provide availability of information in the PO website [www.norwaygrants.tm.gov.lv](http://www.norwaygrants.tm.gov.lv).

In 2018, 7 articles were published about Programme, while till December 2019 11 articles have been published in the PO website [www.norwaygrants.tm.gov.lv](http://www.norwaygrants.tm.gov.lv). The PO is actively communicating by inserting information about Programme and project also in the joint Facebook Page @ EEZ and Norway Grants Latvia. In the reporting period, 11 posts were published to Facebook about Programme and project activities.

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

In 2019 within the framework of conversation festival "Lampa" the opening event of Norway Grants in Latvia 2014-2021 year period was held, organised by NFP. The PO, Latvian Prison Administration as Project Promoter, Directorate of Norwegian Correctional Service as Donor Programme Partner organised a discussion "Working in Prison - Misunderstanding or Courage?". The discussion was attended by professionals from different areas as well as field experts, who work with offenders on a daily basis from Norway and Latvia. These experts shared their daily experiences from working in prison. The discussion gave an insight in the education process of Latvian and Norwegian prison and probation staff, and also touched upon the forthcoming changes in the training system of Latvian prison and probation staff, instituted by Norway Grants. Visitors of festival "Lampa" had the opportunity to watch demonstrations of the Latvian Prison Administration, and to engage in situation play to ascertain their physical and psychological fitness for work in prison. The discussion was widely attended, and the demonstrations by Latvian Prison Administration staff also generated a widespread interest. In total, the festival "Lampa" was attended by more than 20,000 visitors.

#### **e. Multimedia**

Video from festival "Lampa" 2019 is available at <https://www.youtube.com/watch?v=02RuDIw7Mjc> with subtitles in both Latvian and English, including interviews from discussion "Working in Prison - Misunderstanding or Courage?" participants – Head of the Olaine Prison Dmitrijs Kaļiņš and Officer of Romerike Prison in Norway Andreas Berger Bjerkestrand. The video also includes demonstrations from Latvian Prison Administration, that were presented during the festival. Photos from conversation festival "Lampa" discussion are available on Facebook account @[EEA and Norway Grants Latvia](https://www.facebook.com/EEAandNorwayGrantsLatvia).

### Annex 3: Overview of contracted projects

Outcome	Projects	Number	Number of donor project partners	Amount contracted	% of outcome budget contracted
<b>Outcome 1: Improved correctional services</b>	Pre-defined	1	3	€ 14,073,529	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>3</b>	<b>€ 14,073,529</b>	<b>100.00 %</b>
<b>Programme</b>	<b>Total</b>	<b>1</b>	<b>3</b>	<b>€ 14,073,529</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?
Lack of interest for training from probation and prison staff, resulting in inability to achieve intended indicator results. Lack of motivation for involvement in trainings.	Reducing social and economic disparities	2	2	2.00	Mitigate	No
	<b>Description of planned response</b>	Communication with Latvian Prison Administration as project promoter (hereinafter project promoter) on a regular basis, motivating them to delegate staff members for trainings				
	<b>Description of actual response</b>	This risk is not yet applicable, however, information campaigns for awareness of probation and prison staff is already launched. Programme operator (hereinafter - PO) has participated in two events for probation and prison staff and informed them about future training possibilities and training centre. So far the attitude has been positive.				
	<b>Planned future response</b>	Communication with Latvian Prison Administration as project promoter on a regular basis, motivating them to delegate staff members for trainings. Participation in events and seminars in order to inform probation and prison staff.				
Risk related to deviations from public procurement contracts. Companies contracted within public procurement procedure do not fulfill their contractual obligations.	Reducing social and economic disparities	3	4	3.46	Mitigate	No
	<b>Description of planned response</b>	Meetings between project promoter and PO, together with procurement specialists.				
	<b>Description of actual response</b>	Meetings between project promoter and PO, together with procurement specialists.				
	<b>Planned future response</b>	Continuing regular meetings: at least one time per two months.				
Risk related to deviations from principle of efficiency in construction works. Inefficiency of construction works performed in the project object.	Reducing social and economic disparities	3	4	3.46	Mitigate	No

	<b>Description of planned response</b>	Ensuring regular meetings between PO and project promoter, including project manager and construction expert. Programme operator ensures mandatory involvement of a qualified construction expert in all on-spot monitoring activities.				
	<b>Description of actual response</b>	Ensured regular meetings between PO and project promoter, including telephone conversations and on-spot meetings.				
	<b>Planned future response</b>	Programme operator is planning to contract the construction expert in the beginning of 2020. Continuing joint meetings between PO and project promoter, including project manager and construction expert.				
Risk related to delays. Public procurement procedures for various services take more time than planned.	Reducing social and economic disparities	3	2	2.45	Mitigate	No
	<b>Description of planned response</b>	Meetings between Project Department (including head of the programme operator), Norwegian Financial Mechanism Unit staff and procurement specialists of the Ministry of Justice of the Republic of Latvia (hereinafter - MoJ).				
	<b>Description of actual response</b>	Started meetings between Project Department and procurement specialists.				
	<b>Planned future response</b>	Continuing regular meetings two times per month.				
Companies contracted as a result of public procurement procedures do not fulfill their obligations.	Reducing social and economic disparities	2	4	2.83	Mitigate	No
	<b>Description of planned response</b>	1. Participation in project Steering Committee meetings; 2. Organising working meetings with project promoter and construction workers, as well as construction expert and representative from legal unit based on necessity; 3. Involving experts, authorities and other relevant persons for solving issues, if necessary.				
	<b>Description of actual response</b>	1. Started participation in project Steering Committee meetings, one meeting took place in November 2019; 2. Meetings with project promoter and construction workers, as well as construction expert and representative from legal unit not started; 3. At the moment no necessity for external expert or authority involvement.				
	<b>Planned future response</b>	1. Continuing regular participation in project Steering Committee meetings; 2. PO is planning to contract construction expert in January 2020, and the construction procurement will be concluded and contract				

		signed also in the beginning of 2020. Then respective meetings will be organised. 3. If necessary, experts and authorities will be involved.				
Risk related to delays in approving training programmes to be implemented in the training centre. Burdensome approval of programmes related to legislation issues. Legal framework not adjusted or established for approval of programmes in time.	Reducing social and economic disparities	1	3	1.73	Mitigate	No
	<b>Description of planned response</b>	1. Coordination of amendments to normative acts with other departments of the MoJ in accordance with the decision of the MoJ Steering Committee; 2. Coordination of normative acts amendments with Ministry of Education and Science of the Republic of Latvia in accordance with the decision of the meeting of State Secretaries.				
	<b>Description of actual response</b>	This risk is not yet applicable, therefore, no actual response has been taken.				
	<b>Planned future response</b>	1. Coordination of amendments to normative acts with other departments of the MoJ in accordance with the decision of the MoJ Steering Committee; 2. Coordination of normative acts amendments with Ministry of Education and Science of the Republic of Latvia in accordance with the decision of the meeting of State Secretaries.				
Risk related to deviations from deadlines and delays.	Reducing social and economic disparities	3	3	3.00	Mitigate	No
	<b>Description of planned response</b>	PO follows closely to deadlines set in the project contract and in other normative acts. PO communicates with project promoter on a regular basis in order to talk through the upcoming tasks.				
	<b>Description of actual response</b>	PO has established a practice to send reminders about the upcoming tasks to project promoter from programme operator side in electronic mail letter - 5 days before the deadline. Working meetings one time per month are organized.				
	<b>Planned future response</b>	Reminders about the upcoming tasks to project promoter from programme operator side in electronic mail letter - 5 days before the deadline. Communication through phone based on necessity. Working meetings one time per month or based on necessity.				
Risk related to negative public attitude.	Both objectives	2	2	2.00	Mitigate	No
	<b>Description of planned response</b>	1. Preparation of communication plan. Active flow of information in the social media network Facebook about programme. One staff member of Norwegian Financial Mechanism Unit dedicated to ensure communication and publicity requirements. Information to society also provided through project communication channels; 2. Preparation of press-releases for publications in Norway Grants web-page, as well as in the web-page of the MoJ; 3. Discussion about amendments of legislative acts during the amendment process.				

	<b>Description of actual response</b>	1. PO has established a communication plan, updated once a year. Information in Facebook. One staff member of NFM Unit has a direct obligation task "to ensure communication requirements". Communication specialists from the MoJ have been involved for implementing this task. 2. More than 10 articles published in www.norwaygrants.tm.gov.lv and www.eeagrants.lv. Three press releases on Facebook. 3. Discussion about amendments of legislative acts is not started yet, as the amendment process is not launched yet.				
	<b>Planned future response</b>	1. PO has established a communication plan, updated once a year. Active flow of information in Facebook. One staff member of NFM Unit will continue on ensuring communication and publicity requirements. Involvement of communication specialists from the MoJ will continue, in order to ensure quality content. Information to society through project communication channels; 2. Publications in joint Norway Grants web-page, as well as in the web-page of MoJ; 3. Discussions about amendments of legislation carried out.				
Risks related to audit findings from Audit Authority, or negative findings/deficiencies detected by other auditors.	Both objectives	3	3	3.00	Mitigate	No
	<b>Description of planned response</b>	Preventive internal meetings within the Norwegian Financial Mechanism unit and director of Project Department, discussing up to date implementation issues. In the case of auditor findings, active cooperation with auditors in order to terminate the deficiencies and exclude faults. Reviewal and adjustment of internal regulations and actions for avoiding future repetitions.				
	<b>Description of actual response</b>	Internal meetings have started and are organized on a regular basis, also, according to necessity. PO had Management and Control System audit, and cooperated closely to auditors in order to achieve the best results, and as a result Audit Authority issued positive appraisal.				
	<b>Planned future response</b>	Continuing preventive internal meetings. Close cooperation with auditors and fast response.				
Risk related to non-eligible expenditures in project and programme.	Both objectives	3	3	3.00	Mitigate	No
	<b>Description of planned response</b>	1. PO is following closely to the project implementation, if necessary, participates in project promoter meetings or organizes a meeting; 2. Regular control over financial flow, planning of expenditures; 3. Participation in project Steering Committee meetings; 4. Involving authorities in discussions, if necessary; 5. Procurement monitoring when applicable; 6. Verification of eligibility of expenditures by approving documentation on a regular basis.				
	<b>Description of actual response</b>	PO participated in project Steering Committee meeting in November, also established monitoring committee. PO controls financial flow through interim financial reports and payment forecasts. Financial payment forecasts are submitted 4 times per year. PO has established procurement verifications plan, and monitors procurements according to it. Only those procurements controlled by Procurement Monitoring Bureau are not checked by the PO. Regular meeting with procurement specialist of MoJ have been organized.				

	<b>Planned future response</b>	1. Following closely to project implementation and participation in project promoter meetings. If necessary, organising a special meeting. 2. Monitoring payment forecasts and interim financial reports. 3. Participation in project Steering Committee meetings. 4. Involving respective authorities in discussions, if necessary. 5. Procurement monitoring based on procurement verification plan. 6. Verification of eligibility of expenditures by approving documentation on a regular basis.				
<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>
Lack of efficiency in interinstitutional cooperation.	Both objectives	2	2	2.00	Avoid/Terminate	No
	<b>Description of planned response</b>	1. Following closely to the project implementation; 2. Regular control over financial flow, planning of expenditures; 3. Participation in project Steering Committee meetings; 4. Involving authorities in discussions. 5. PO participates in meetings, if necessary, is involved in working groups, for instance, Cooperation Committee, Bilateral Fund consultative group, procurement work group, project Steering Committee. Regular communication with project promoter, meetings on spot. Meetings of work groups.				
	<b>Description of actual response</b>	1. PO has regular meetings with project promoter. Consultative monitoring committee has been established. 2. PO controls financial flow by preparing payment forecast. PO follows to project budget. 3. Sets as a member of the project Steering Committee; 4. No involvement of relevant experts were needed. 5. PO works with project promoter in Cooperation Committee, project Steering Committee, consequently. PO has a good and communication with National Focal Point, Audit Authority and Certifying Authority.				
	<b>Planned future response</b>	1. Continue to follow closely to the project implementation, if necessary, organising additional meetings or ad hoc meetings. 2. Regular control over financial flow, planning of expenditures by verifying and preparing payment forecasts. 3. Participation in project Steering Committee meetings. 4. Involving authorities in discussions, if necessary. 5. Regular communication with project promoter through meetings, phone, e-mail and meetings on spot.				
Risk related to fraudulent activities.	Reducing social and economic disparities	2	4	2.83	Mitigate	No
	<b>Description of planned response</b>	1. Following closely to the project implementation, if necessary, participation in project promoter meetings or organizing a meeting for occasion; 2. Regular control over financial flow, planning of expenditures; 3. Participation in project Steering Committee meetings; 4. Involving authorities in discussions, if necessary.				
	<b>Description of actual response</b>	1. PO has regular meetings with project promoter. Consultative monitoring committee has been established; 2. PO controls financial flow by preparing programme payment forecast. PO follows project budget in order to see, if it is going according to schedule. 3. Started, PO is determined as member of the Steering Committee without voting rights and participates in the meetings, one meeting took place in November. 4. No involvement of relevant experts or authorities were required during the reporting period.				

	<b>Planned future response</b>	1. Continue to follow closely to the project implementation, if necessary, organizing additional meetings or ad hoc meetings. 2. Regular control over financial flow, planning of expenditures, by verificating and preparing payment forecasts. 3.Participation in project Steering Committee meetings. 4. Involving authorities in discussions, if necessary.				
Risk related to double financing.	Both objectives	2	4	2.83	Avoid/Terminate	No
	<b>Description of planned response</b>	1. Following closely to the project implementation, if necessary, participation in project promoter meetings or organizing a meeting for occasion; 2. Regular control over financial flow, planning of expenditures; 3. Participation in project Steering Committee meetings.				
	<b>Description of actual response</b>	1. PO has regular meetings with project promoter. Consultative monitoring committee has been established. 2.PO controls programme and project financial flow by preparing programme payment forecast and discussing it with the National Focal Point. Programme operator follows project budget in order to see if it is implemented according to the schedule. 3.Started, PO is determined as member of the Steering Committee without voting rights and participates in the meetings.				
	<b>Planned future response</b>	1. Continue to follow closely to the project implementation, if necessary, organizing additional meetings or ad hoc meetings. 2. Regular control over financial flow, planning of expenditures, by verificating and preparing payment forecasts. 3.Participation in project Steering Committee meetings.				
Risk related to changes in staff.	Both objectives	2	2	2.00	Mitigate	No
	<b>Description of planned response</b>	Following closely to the project implementation and staff involvement, if necessary, participation in project promoter meetings or organising a meeting for occasion. Involving authorities in discussions, based on necessity also including authorities from project promoter for suggestions regarding ensuring well-settled project team.				
	<b>Description of actual response</b>	PO has regular meetings with project promoter, at least one time per month. Consultative work group or monitoring committee has been established, where PO meets with project promoter and discusses staff issues, if there are such. Project promoter has informed PO that the project team is fully established as of the end of 2019.				
	<b>Planned future response</b>	1. PO is following closely to the project implementation, if necessary, participates in project promoter meetings or organises a meeting; 2. Involving authorities in discussions, if necessary, also including authorities from project promoter.				
<b>Overall risk of the programme</b>						
		<b>Likelihood</b>	<b>Consequence</b>	<b>Risk score</b>		
OVERALL RISK OF THE PROGRAMME		3	3	3.00		

## Annex 5. Monitoring plan

### Norway Grants 2014–2021 period programme "Correctional Services" plan for the on-the-spot verifications in 2020

Project "**Establishment of training centre infrastructure and model prison blocks for training opportunities in the Olaine prison territory**" implemented by Latvian Prison Administration

Project #	Project name	Monitoring action	Planned timing: Q1, Q2, Q3, Q4	Criteria for monitoring (especially for site visits)	Risk issue with the project (if applicable)	Comments	Contact details
1-6.4/2-2019-1	<b>"Establishment of training centre infrastructure and model prison blocks for training opportunities in the Olaine prison territory"</b>	Implementation reports	Q2 for period Jan–March; Q4 for period Jul–Sept.	Regular basis, according to Project agreement	Special risk management working group established, what evaluates the level of risk once a year. Currently the level of risk dedicated as "high"	IR allow PO to see, if the planned results are achieved, what is the impact of these achievements, and also allows to follow closely that activities are being implemented within the timeframe and no major deviations are encountered.	<b>Mrs. Agris Batalauskis</b> Head of Programme Operator Director of Project Department Ministry of Justice of Republic of Latvia Phone No: +371 67036818 e-mail address: <a href="mailto:Agris.Batalauskis@tm.gov.lv">Agris.Batalauskis@tm.gov.lv</a>
		Interim financial reports	Q1 for period Jul–Dec; Q3 for period Jan–Jun	Regular basis, according to Project agreement		IFR allow to check the activities and indicators carried out, as well as the expenses for reporting period and supporting documentation has been included.	
		Site visits to Project Promoter's (PP) office and construction place	Q3, Q4	Regular basis – 2 times per year. Conditions stipulated on inner procedures		Due to visits evaluate the supporting documents submitted with project IFR, comparison with originals. Check the design and construction documentation and process.	
		Consultative working group consisting of representatives of PO and PP	1 time per month	Regular basis, additional monitoring, stipulated on inner procedures		To discuss the progress and challenges of Programme and Project. Participate the representatives from PO and Project Promoter.	
							<b>Ms. Agnese Kleina</b> Head of Norwegian financial Mechanism Division Project Department Ministry of Justice of Republic of Latvia Phone No: +371 67036868 e-mail address: <a href="mailto:Agnese.Kleina@tm.gov.lv">Agnese.Kleina@tm.gov.lv</a>

		Project Steering Committee meetings	As required	According to Project agreement and regulation of Project Steering Committee		To discuss changes or modifications on project, influences or affects the usual project progress, initially planned activities or budget.	<p><b>Ms. Lāsma Kauliņa</b> Project manager, Latvian Prison Administration, Head of the Project Unit Phone No: +371 67290338 e-mail address: <a href="mailto:lasma.kaulina@iev.gov.lv">lasma.kaulina@iev.gov.lv</a></p>
		Cooperation committee meetings	2 time per year at least	Regular basis, according to donor state regulations, PO inner procedures. Additionally, written procedures or video conferences provided if necessary		To discuss the progress and challenges on Programme and Project. Plan and monitor the bilateral activities on Programme and Joint Bilateral level. PP gives the informative presentation on Project actual progress. CC consists of 5 members with voting rights. The participants on CC meeting are representatives from PO, DPP, PP, donor project partner institutions, Focal point, Embassy of Norway Kingdom. The important decisions for all parts are taken on CC meetings.	
		Telephone consultations	As required	Regular basis, according to inner informal politics of PO and DPP		The daily communication between PO and PP are formulated as very important to provide qualitative and timely manner-based work.	
		Construction specialist as additional support to PO	On site visits and consultations as required	PO inner procedures		To check and evaluate the construction documentation provided on IFRs and to compare it with construction works on site. The main assistance to PO on construction issues and works.	