Submit Annual Programme Reports

Step Guide

December 2019 – V1.0

Contents:

Introduction

The below document is a short step guide that briefly explains how to navigate GrACE pages to Submit Annual Programme Reports. This document relates to version 3.0.5 of GrACE.

For further help and support, please contact grace.support@efta.int

Annual Programme Reports (APR)

The objective of the Annual Programme Report (APR) is to provide key information on the implementation of the programme, achieved results, lessons learnt, any issues affecting the implementation and the measures taken to address them. The deadline for the submission of the APR is 15th of February each year.

Only the programmes with programme Agreements signed before 30th of June previous year will submit their first APR in February. The Programmes with Programme Agreements signed after 30th of June will submit the first APR in February the following year.

In order to allow submission on time, the APR workflow is automatically started in GrACE on the **1st of January each year** for the programmes required to submit an APR in that year. The first task of the workflow is assigned to the Programme Operators or Fund Operators required to submit the APR.

Submit Annual Programme Report

The task "Submit Annual Programme report" be available for the Primary contacts from the Programme Operators and Fund Operators under "Dashboard>My tasks" (See Step 1). If necessary, the other contacts in the organization can acquire the task from "Dashboard>My team(s) tasks".

Step 1 - Annual Programme Report task

To access the APR document, click on the task name (1).
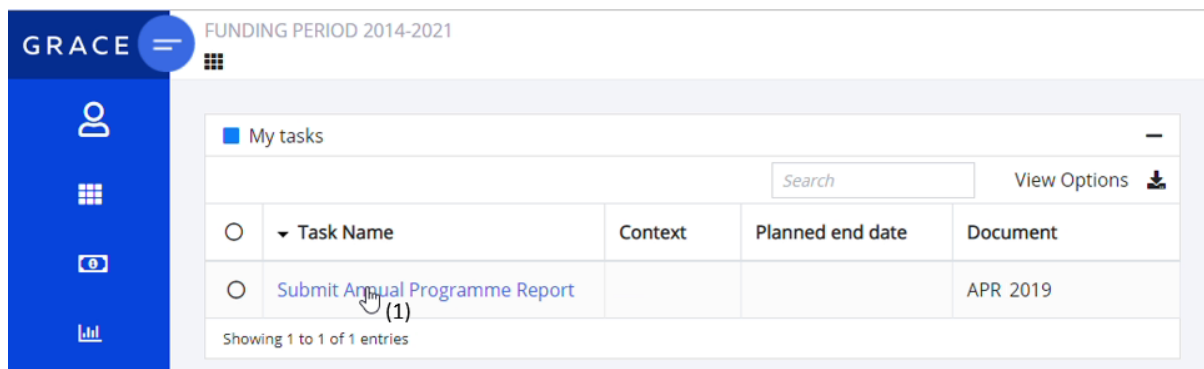
Step 2 - Navigate Annual Programme Report Sections and Tabs

The sections in the Annual Programme Report in GrACE reflect the sections from the Annual Programme Report template.

To navigate through the different sections, click on the different titles in the ribbon under "Structured Data tab" (2). As per similar structured documents like IFRs, you will register data and information in the "Structured Data" section.

As for any other tasks, you can reassign the submit Annual Programme Report tab to another user with the same role in GrACE (3)
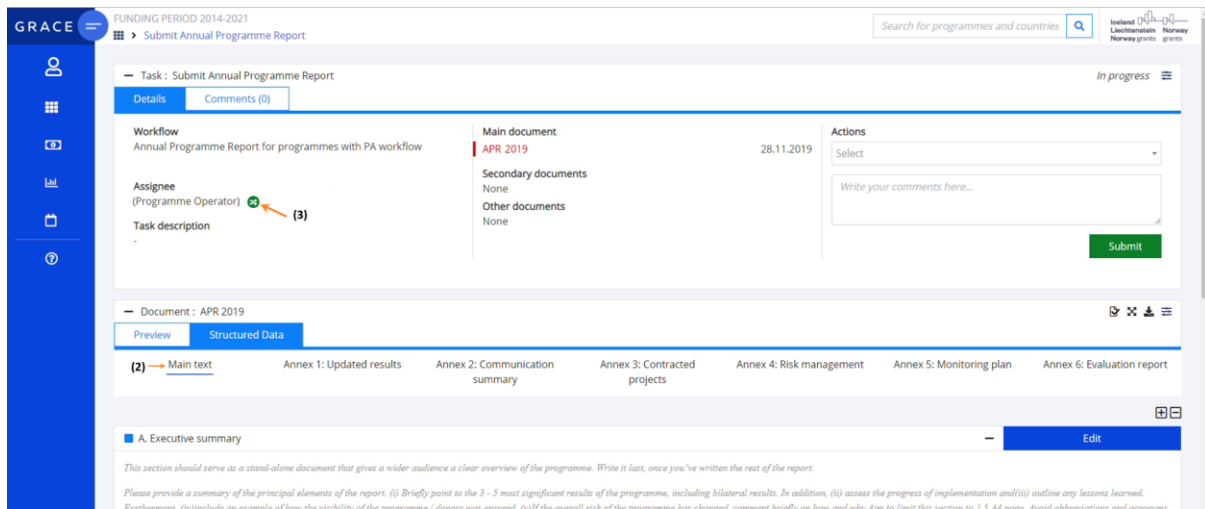
By clicking on the "Preview" tab, you will be able to see a printable version of the APR that GrACE created, based on what is registered under "Structured Data" (3)
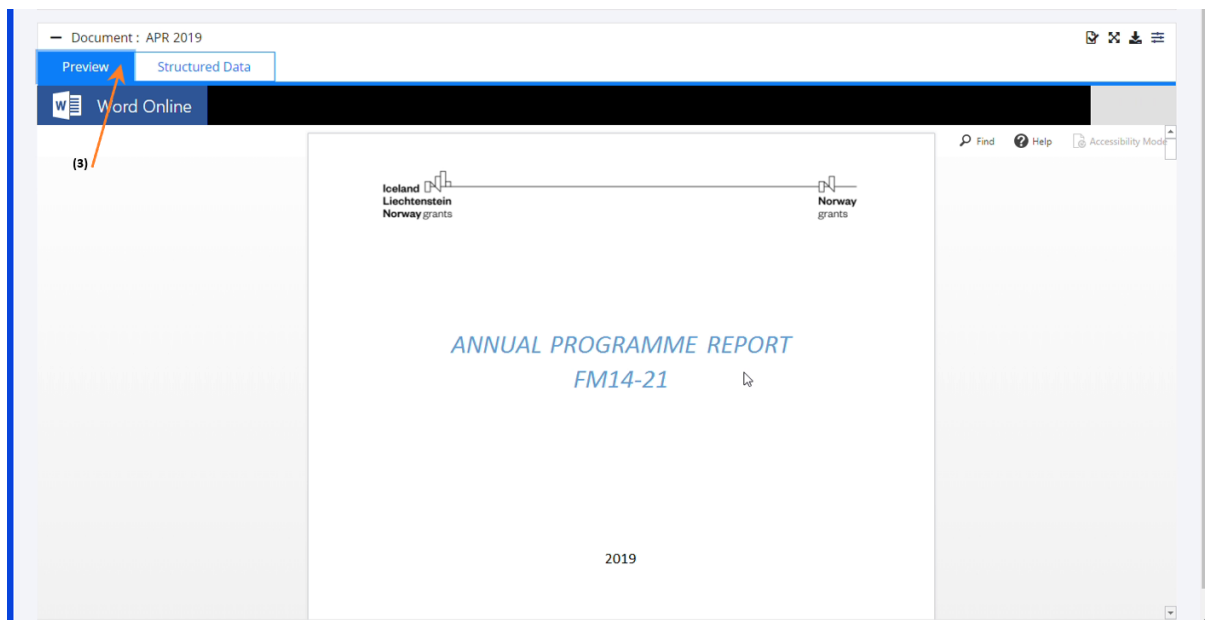

Until you press "Submit", you have the possibility to **edit/update/save the information registered as many times** as necessary.

Step 3 - Fill in textboxes in the Main text section

The Main text section contains a textbox for each heading in the APR. The instructions from the Annual Programme Report template are visible at the beginning under each section (6). You can proceed to editing the textbox by clicking on the button "Edit" (5).
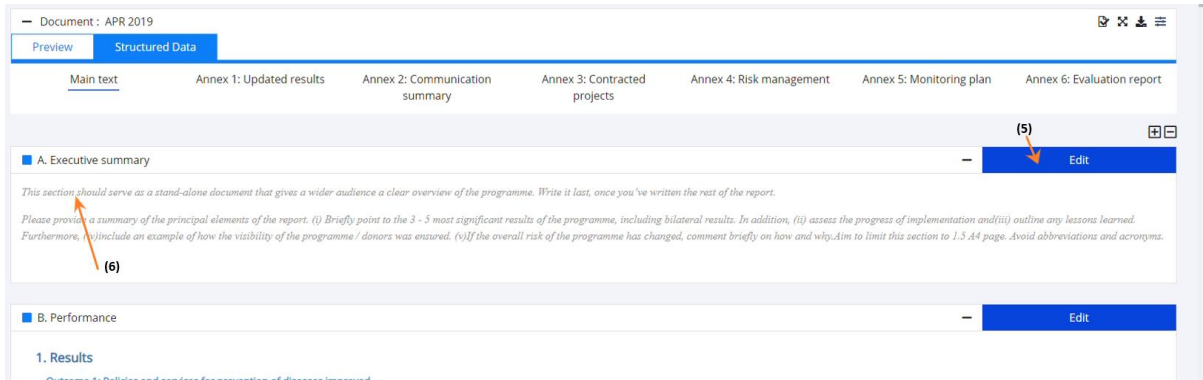
After you click "Edit", the text editor opens, and you can type in or paste the formatted text in the field (7). The textbox will resize automatically according to the amount of text. Pressing the "Save" button (8) will save the data and exit the edit mode.
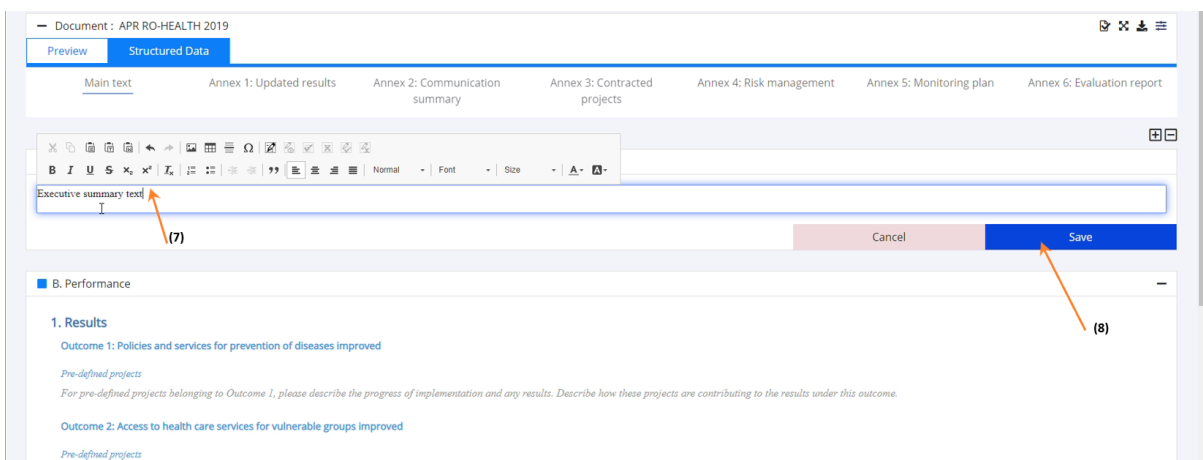
The instructional text from the Annual Programme Report template is replaced with the text inserted by the user, but it is still possible to read the instructions by hovering the mouse pointer over each section (9)
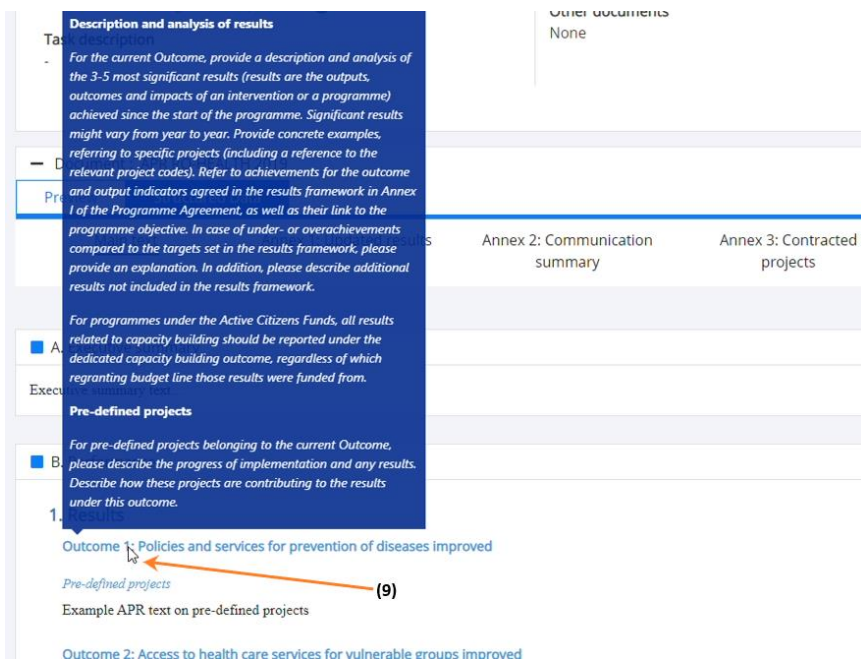
When filling in the **Main text** sections:

- Note that the main text section should **not exceed 20 pages**. You can check the number of pages in the "Preview" tab mentioned above.
- The **A. Executive summary** textbox: write this last, as a stand-alone summary. Limit to **1 ½ page maximum.**
- **B1. Programme context** textbox will be visible only from the second APR.
- **Description and analysis of results** textbox (by outcome) from **B 2. Results** will be visible only from the second APR submitted in the programme. In the first APR, you still need to register the progress of implementation for any predefined projects under each outcome as well as the description of the results for the Bilateral outcome.
- Illustrate results with **examples.** Do include results from predefined projects, especially if they are significant. Below are some questions to guide your assessment on the results:
    o Which effects were experienced by whom (target groups)?
    o Did some outputs have a better effect than others? Why?
    o What might need to be changed to increase the effect of the programme?
- For **programmes under the Active Citizens Funds**, please report on bilateral results at both project and programme levels (including the results funded by the ACF Bilateral Fund).
- For **programmes not under the Active Citizens Funds: Do not include JCBF-funded (Bilateral Fund) activities or results** under the Bilateral Outcome. The results reported under the Bilateral outcome are related to the bilateral cooperation in the programme.

Step 4 - Fill in achievements in the Annex 1: Updated results

When the tab Annex 1: Updated results is selected **(1)**, the indicators from the Results framework of the programme are displayed. There is an option to expand/collapse all indicators **(2)** and an option to expand/collapse a chosen indicator **(3).** You can then also open the form in edit mode **(4).**
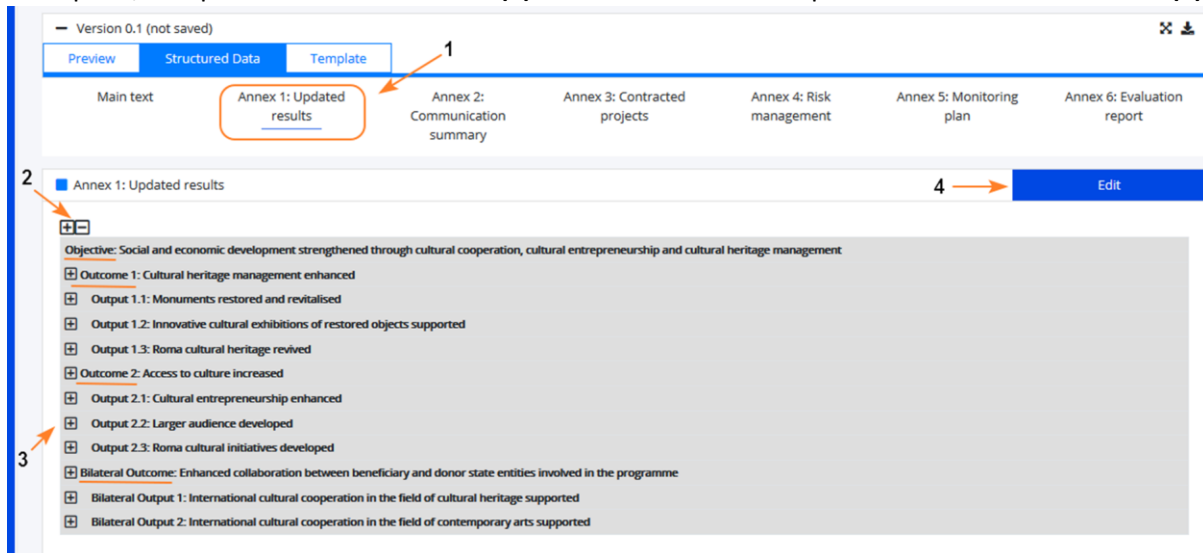
When the indicators are expanded:

- The columns from the Results Framework (Indicator, Unit of measurement, Baseline, Target) are displayed on the screen. In addition, the columns **Achievements until the end of the previous reporting period, Achievements until end of December <reporting year>**, **Comments** are displayed. When submitting the APR, you need to input data only in the **Achievements until end of December <reporting year>** and, if desired, in **Comments.**

- If the Unit of measurement is **Number,** the value to be reported under the **Achievements until end of December <reporting year>** should include what has been achieved by the end of the previous calendar year, including any baseline.
- Any **disaggregations** set in the Programme Agreement (e.g. gender) are displayed on the screen under each indicator, together with the list of categories for each diss-aggregation (e.g. Female, Male, unspecified)
- If the **Unit of measurement** is:
  - o **Number** or **Annual Number** - the system will check that the sum of achievements registered in the disaggregation categories equals the total achievement value registered for the indicator (see 1-2-3-4 in the screen below)
  - o **Percentage** - the data for the numerator and denominator will be registered by the user and the system will calculate the % on the screen. If there's any disaggregation, the system will check that the sum of the numerator values registered for the disaggregation categories equals the total numerator value registered for the indicator. The same applies for the denominator values.
  - o For all other units of measurement, the achievements for the disaggregation (if any) are simply filled in.
- For the programmes funded by both Financial Mechanisms (EEA Grants, Norway Grants), the system will ask for disaggregation by EEA FM and Norway FM for core indicators
- Additional **validations and warnings** are also displayed **(3-6)**

- When hovering over the icon **"i" (1)** for a unit of measurement**,** a tool-tip is displayed **(2)** with guiding information. Please consult these tool-tips before proceeding:

When the data is correctly filled **for an indicator** – then the notification **"Missing or invalid values",** displayed in edit mode, disappears **(1)**.

If you try **to save with missing or invalid values (see 2-3 above),** the system **displays a warning message** and invites you to **include comments** for indicators where an achievement was not reported.
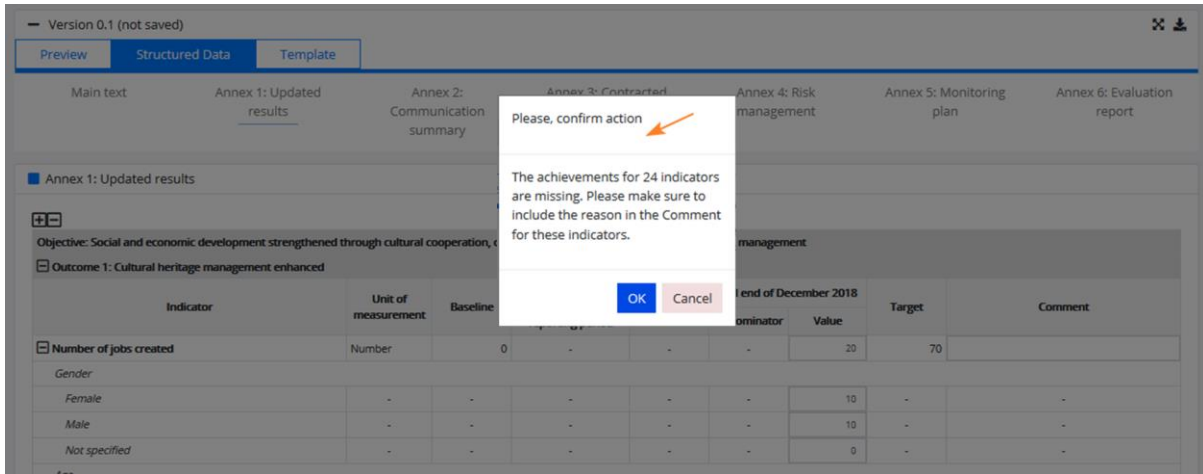
Step 5 - Fill in textboxes in the Annex 2: Communication Summary

The communication summary Annex is filled in a similar way to the Main text. This is a series of textboxes that you can edit by clicking the "Edit" button. Click "Save" after you finished editing.
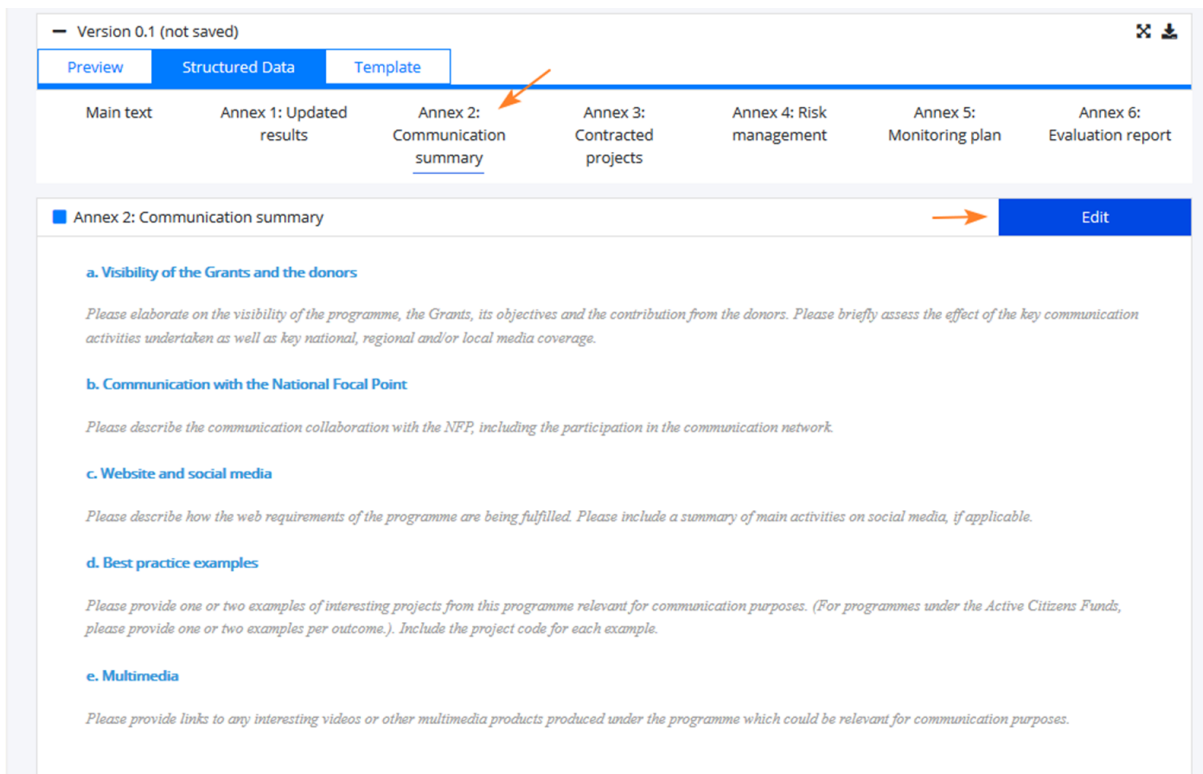
Step 6 - Update information displayed in the Annex 3: Contracted projects

Annex 3 contains statistics based on the existing Project level information (PLI) and Calls data registered in the system under the programme. You don't need to input any information on this screen but to check the information displayed. If you find the information inaccurate, you have the possibility to update the project-level information.

The data in the table can be updated several times before the APR is submitted.

- The **data shown is based on the PLIs and Calls** registered in GrACE (the most recent data submitted by PO or FO under the programme).

- It is possible to to **update the table with the latest data** before the report is submitted **(1-2-3** below).
- **For each outcome (4) and for each modality (5)** (pre-defined projects, projects contracted through open calls, projects contracted through small grant schemes), the system shows the data in the following columns **(6):**
    - **number of projects** registered in the system **(#)**
    - **number of distinct donor project partners** (if a donor project partner is included in several projects, it is counted only once)
    - **Amount contracted** - the sum of the project grant submitted in the PLIs.
    - **% of the outcome budget contracted**, that is calculated as the amount contracted divided by the outcome budgets allocation.
- When the project is associated to more than one outcome in the PLI, the project is counted under each outcome, but will be counted once in the Programme Total.
- The system **reads the information** from the **Calls** module, and **if** the Number of applications contracted from the Calls module is different than the number of PLIs submitted in the PLI module, a **warning is displayed** the "Number of applications contracted' registered in the Calls module (X) does not correspond to the number of PLIs (Y)". If this happens, please review carefully the information indicated under PLI and Calls information
- **A Link** to **Create/Update PLI information** is available **(7)**.
- The **validation messages** displayed under this section are warnings only and **will not stop the user from submitting the APR**.

Step 7 - Fill in the risk assessment in the Annex 4: Risk Management

As PO/FO you will register/update the information for programme risk assessment when submitting the APR, so that the information is up to date and available for FMO.

In the same manner as for the other sections, when accessing the tab **Annex 4: Risk management**, you will click on **Edit** in order to register the information.

In edit mode you will fill the data for the **risks in the APR (1-2-3, 4-5, 6-7)** according to your assessment and then save the data **(8).**

- - **All fields for a registered risk are mandatory.**
- - **Risk score** - auto calculated = SQRT (Likelihood * Consequence)
- - You register risks one by one by clicking on **Add new**

In the **first APR submitted** in GrACE, you will register the risks one by one with all the fields:

- the **Risk Description** identified during the Programme Agreement preparation;
- the **Planned response** identified during the Programme Agreement preparation;
- the **Actual response** to the risk;
- the **Planned future response** to the risk;
- the current **Likelihood** and **Consequence**, and the current **Response type**.

From the second APR submitted in GrACE, the **risk assessment information as of the previous APR is pre-filled**. In **edit mode,** for the risk identified in the previous years, the data in the following fields is in **grey and it is in read-only view: Risk description, Risk related to, Planned response**.

For the **risks identified in the previous years**, you can:

- Update the **Likelihood** and **Consequences** (**1-2);**
- fill-in the **description for actual response and for planned future response (3-4);**
- select the **N/A** box **(5)** to indicate a risk previously registered is **not applicable** anymore - then the risk is greyed out from the current APR (6) and is **not displayed anymore in the next APRs;**

You can add **new risk/s** that occurred during the last year **(7-8).** When ready – click **Save (9)**

To summarize:

1. **"Description of planned response"**
    1. **editable, mandatory in the first APR**.
    2. read-only from the second APR submitted in GrACE. It will show the text registered previous year in the textbox "Planned response"
    3. disabled in case the risk is set as inactive (n/a)
2. **"Description of actual response"**
    1. **editable, mandatory in all APRs**
    2. disabled in case the risk is set as inactive (n/a)
3. **"Planned future response"**
    1. **editable, mandatory in all APRs**
    2. disabled in case the risk is set as inactive (n/a)

Step 8 - Upload Annex 5: Monitoring Plan

Annex 5: Monitoring plan section allows to upload a file containing the requested information. The monitoring plan is a forward-looking document and referring to the projects monitoring plan for the coming year. The Annex 5 of the Results Guideline provides a suggestion for the Monitoring plan template, but you are free to adjust it or use a different template altogether.
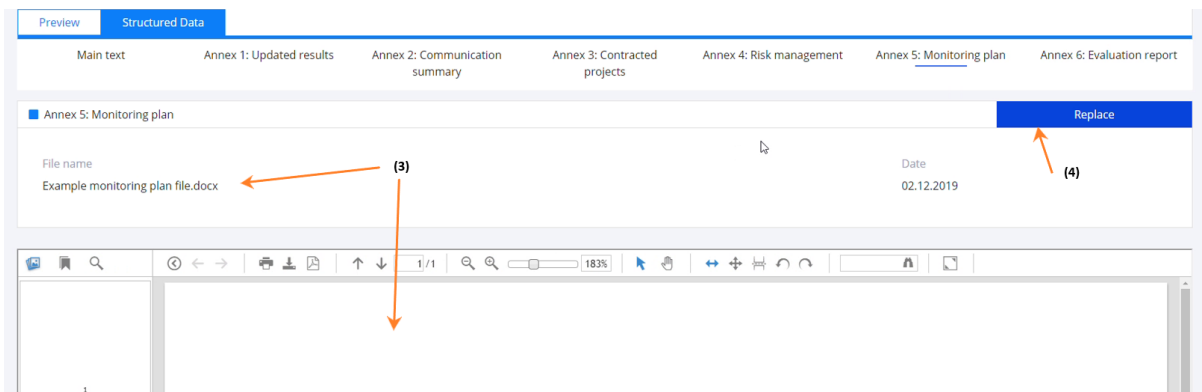
Click on the upload button **(1)**
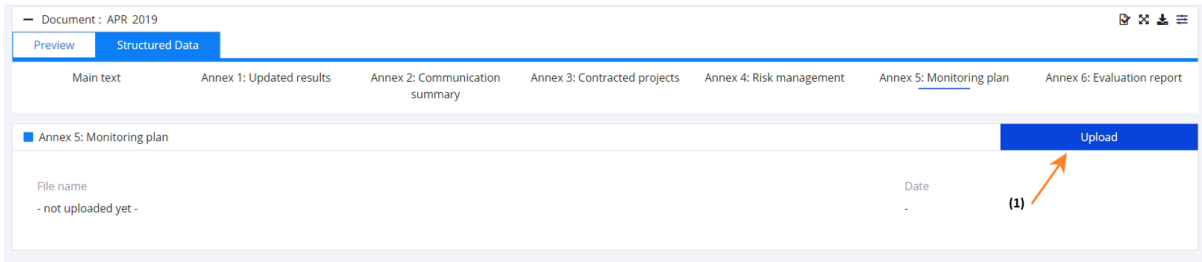
At this point you can drag and drop the file in the highlighted area or click on the button to browse your local computer and upload the file **(2)**.
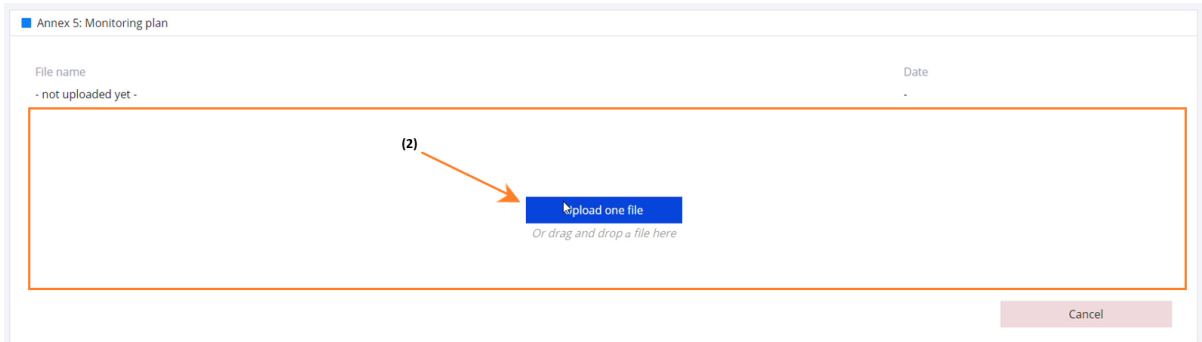
Upon successful upload, the file can be previewed in the section below **(3)**. There is an option to replace the uploaded file **(4)**

Step 9 - Upload Annex 6: Evaluation report

Similar with the previous section, Annex 5: Evaluation report section allows to upload a file containing the requested information.

Annex 6: Evaluation report refers to the evaluation carried out in the reporting year. The evaluation report will be uploaded only once, in the APR submitted after the evaluation was completed.

Step 10 - Submit to FMO

To submit to FMO, please select the action on the top right corner of the Task **(1)**

You can leave a comment for the FMO (2) and click submit (3). A confirmation message will appear and after clicking ok, the APR will be submitted to the FMO.

Step 11 - Update the Annual Programme Report

In case further changes are needed, the FMO can return the APR to the FO/PO. The APR will then become editable again by the PO/FO as shown in the steps above.

View Annual Programme Report(s)

The FMO users, NFPs, PO and FO can see the list of Annual Programme Reports for each programme.

- The navigation to the Annual Programme Reports (APR) is via the programme page, where there is a separate tab for the Annual Programme Reports **(1).**
- The Annual Programme Reports are presented in **a list (2)** that is following the time order in which the reports are created and submitted.
    - The columns for the APRs include:
        - **Name** - that will be APR-<programme short name><reporting year>
        - **Period** - year
        - **Version**
        - **Submission Deadline**
        - **Status**
            - **Created** - the APR is created in this state
            - **Submitted** - when the APR is submitted to FMO.
            - **Returned** - if the FMO decides to return the APR to the PO/FO. From Returned, it becomes again Submitted once the PO/FO resubmits.

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- **Approved** - from the state Submitted when review process is completed

- The **name of an APR** in the list **(3)** (here APR 2019) **is a direct link** to open it