



# **Overview of reporting requirements FM14-21**

## **National Focal Point Workshop**

Alex Stimpson  
Head of Results and Evaluation Unit, FMO  
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# Key messages

In FM14-21, we:

1. Strengthen results and risk approach
2. Simplify reporting and reduce burden
3. Need forward thinking for good systems and data

Essentially, we want to know...

What difference are the programmes making?

For whom?

How?



# How to?



- Results and risk approach follows principles set out in the Results Guideline (available soon)
- Covers main concepts of good results based management:
  - Programme design
  - Risk management
  - Monitoring
  - Evaluation
  - Reporting

## **Results Guideline**

Rules and Tips on How to Design, Monitor and Evaluate Programmes, Manage Risks, and Report on Results

*EEA and Norwegian Financial Mechanisms 2014-2021*



REDUCING DISPARITIES | STRENGTHENING COOPERATION

# Monitoring and control systems



- Help ensure good systems and sound processes are in place for understanding progress and results.
- MCS provide for:
  - reliable accounting, monitoring and financial reporting systems in computerised form;
  - a system of reporting and monitoring where the responsible entity entrusts the execution of tasks to another entity;

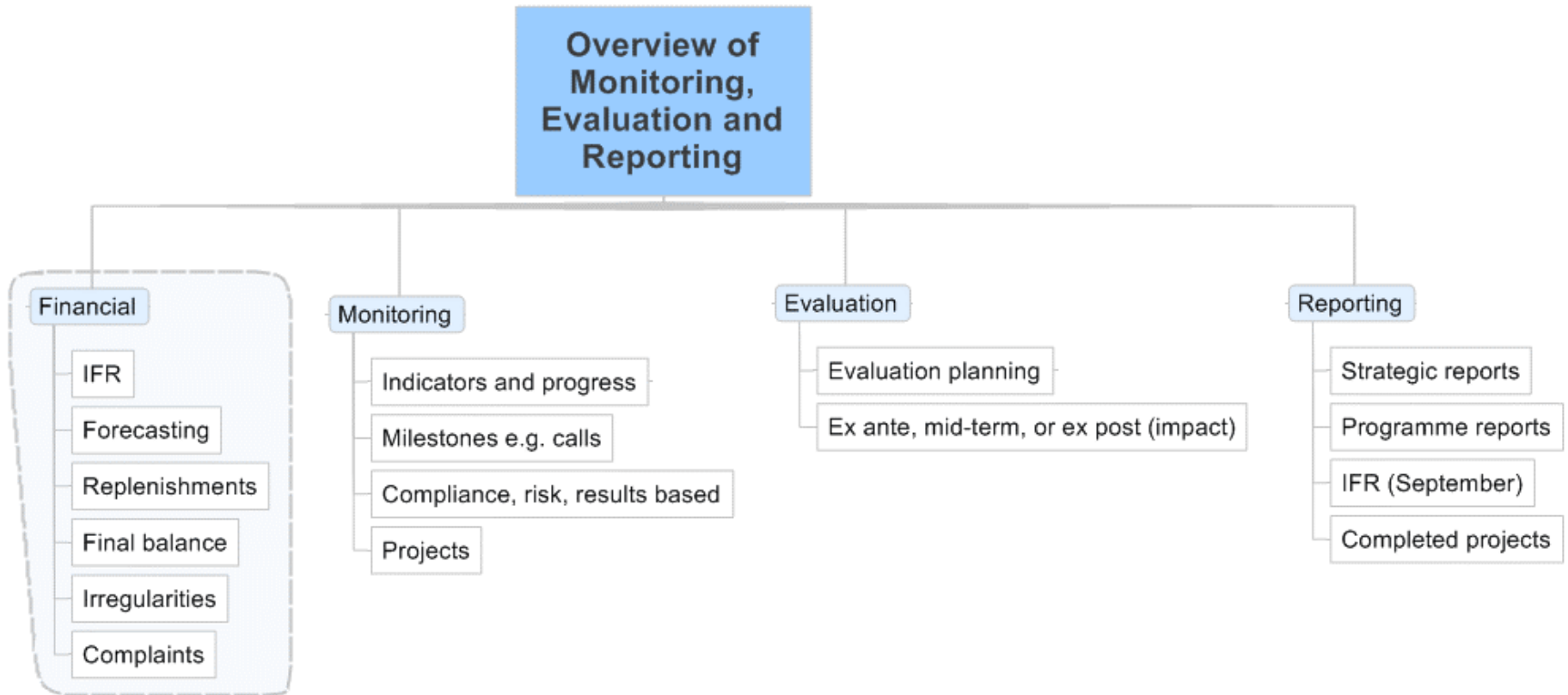
# What is monitoring?

**Monitoring:** Observation of programme and project implementation to ensure that agreed procedures are followed, verify progress towards agreed outcomes and outputs and identify potential problems in a timely manner for corrective action

Three main types of monitoring:

1. Compliance-based monitoring
2. Risk-based monitoring
3. Results-based monitoring

# Overview of Monitoring, reporting and evaluation



Monitoring has a strong role in facilitating good evaluation

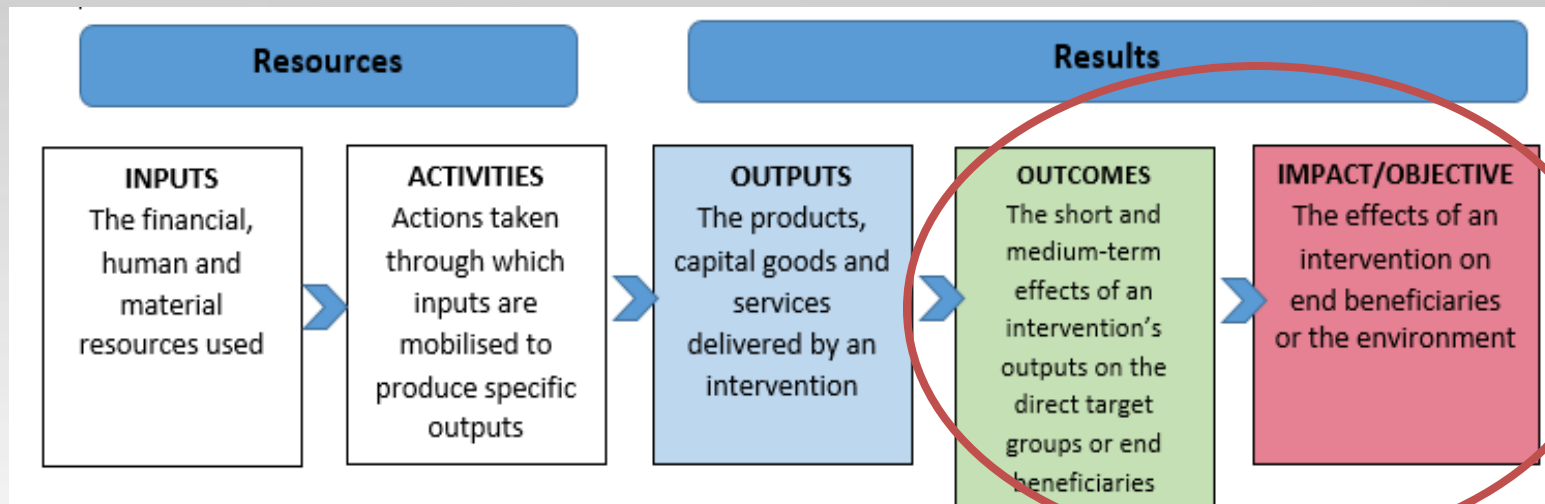
# Overview of M&E roles and responsibilities



	Monitoring	Evaluation
National Focal Point	Overall responsibility for the implementation of the FMs, monitoring the progress and quality of the implementation of the programmes (Articles 5.1, 5.3 and 5.7)	<p>Required to submit an evaluation plan in the first Annual Strategic Report (Article 10.1.1)</p> <p>Responsible for ensuring that an external evaluation of each programme in the country is done at least once during the FMs</p>
Programme Operators/Fund Operator	Responsible for monitoring the projects within the programme portfolio, including project implementation (compliance) and results (Article 5.6.(g) (h) (i) (j) (k))	<p>Responsible for collecting data for reporting, monitoring and evaluation (Article 5.6. (k))</p> <p>Can evaluate the programme Article 8.10.4 (h)</p>



# Some reporting gaps in FM09-14



- Knowledge about the *effects* of the programmes
  - Good outcome indicators
  - Effects of capacity building
  - Roma
  - Bilateral (funds)

# Main simplifications and improvements for FM14-21



FMO supports concept note and programme design phase

- Quality at entry
- Sound programme design

Simplify and improve (aggregated) indicator reporting

- Develop core indicators (with methodology)
- Synchronize with EU/international indicators
- Improve bilateral reporting

Improve results based monitoring

- Use monitoring, rapid assessments and performance stories for qualitative evidence of effects of the Grants

# Main simplifications and improvements for FM14-21



## Reduce reporting burden

- Staggered reporting: strategic and programme reports only ask what is really needed, when it is needed
- IFRs x2 per year, not x3
- Collect far fewer but better indicators

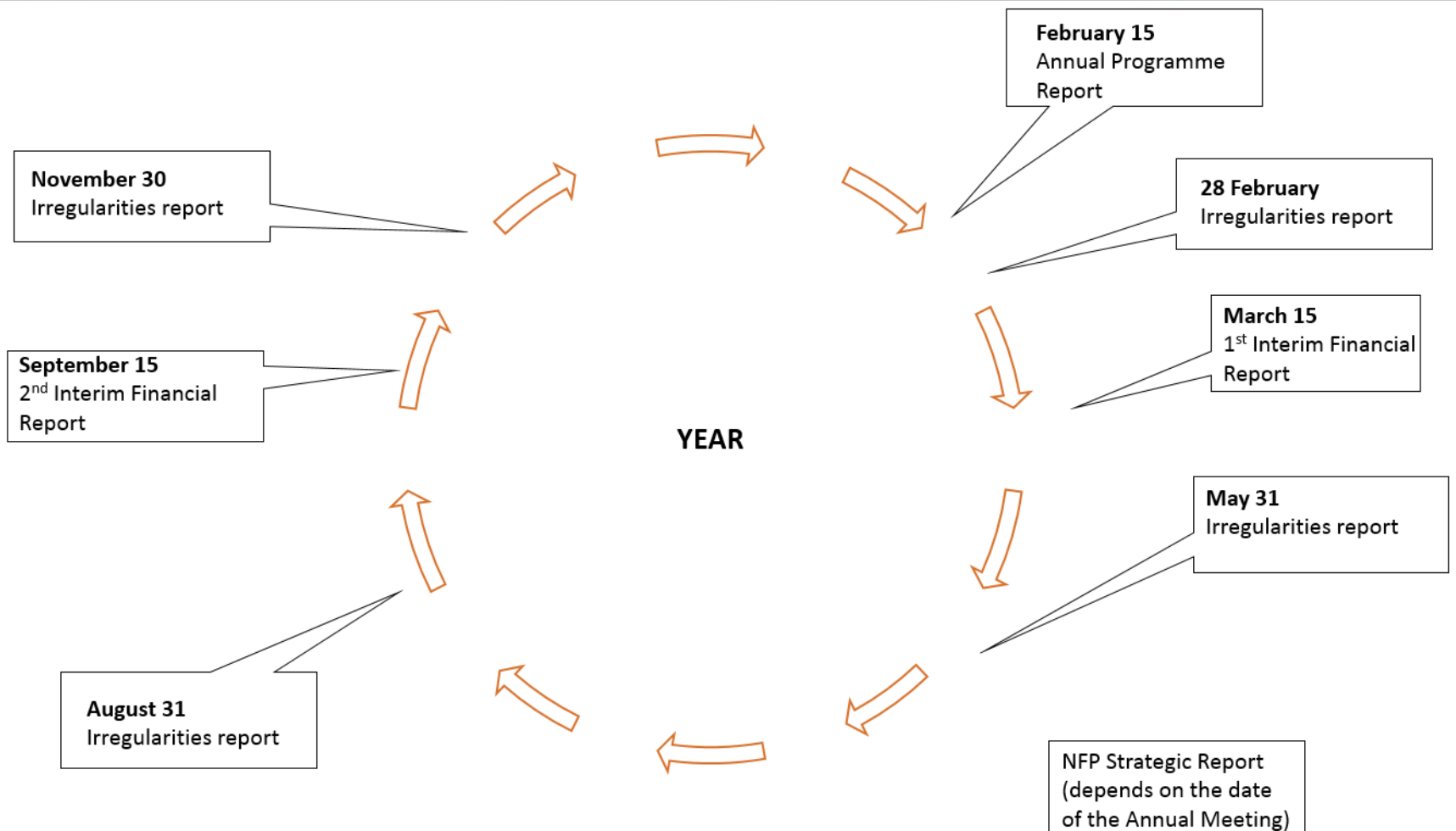
## Review and improve information requested, especially projects

- Reduce overlap of numerous fields
- Reduce number of fields requested
- Integrating better business rules in the system

## Improve support

- Results Guideline, templates, statistical manual/data collection guide
- Better instructions, on-page help, training and videos, etc.

# Reporting cycle



# Strategic Report



- A single report for EEA and Norway Grants
  - But separate and signal EEA v Norway where possible
- Staggered reporting
  - Only ask what is really needed, when it is needed
  - Includes:
    - Shorter, simpler description of the Strategic Report contents
    - Achievement of the two overall objectives, common values, main context trends, main risks and mitigating actions
    - Bilateral Fund
    - Results of regular monitoring of the programmes

# Strategic Report



- Scope
  - Covers all programmes and bilateral activities in the Beneficiary State
  - Excludes Article 6.13 programmes
- Timing
  - Submitted to the FMC at least two months before the annual meeting unless otherwise agreed
- First report
  - Evaluation plan
  - Communication strategy

# Annual Programme Report



- Staggered reporting
- Shorter, simpler description of the APR contents
  - Implementation, including achieved outputs and outcomes, link to the programme objective, overall objectives, and Article 1.3, as relevant;
  - issues which affect implementation, measures taken to address them, risk assessment and planned mitigating actions.
- Templates to be provided at least 6 months before submission

# Link APR with Interim Financial Reporting



- Better use of information in the Information System
  - Reduce double reporting
  - Relevant information submitted in the APR by 15 February can be automatically presented during the IFR submission for 15 March.
- 15 September IFR: submit information on progress towards achieving outputs and outcomes, *as appropriate*.
  - No need for indicators until projects are delivering!
  - Limited additional burden: POs already provide NFPs regular monitoring updates



# Project level



- Simpler
- Fewer variables
- Supportive information system, business rules, guidance

# Evaluation



- Evaluation of all programmes at least once
- Why early evaluation planning?
  - Get systems in place (eligible TA costs)
  - Improve timing of evaluation results
  - Improve quality and utility
- NFPs submit template for programmes for which responsible in first strategic report

# The costs are eligible...



Technical assistance (Art 8.11.2)

(a): preparation, evaluation, financial flow, and monitoring

(f): on-the-spot verifications of programmes and projects

(g): reviews and evaluations

(i): preparation of the implementation of FM14-21

# The costs are eligible...



## Management costs (art 8.10.4)

(a): preparation of the programme, including the development of the programme design, the results framework and stakeholder consultations

(f): monitoring of projects and reviews

(g): on-the-spot verification of projects

(h): information events to [...] evaluate the impact of the programme

# Conclusions



1. Strengthen results and risk approach
  - Focus on results and effects
    - *What difference has the programme made?*
    - *For whom?*
    - *How?*
  - Keep an eye on the goal and manage risks that obstruct progress
2. Simplify reporting and reduce burden
  - Collect only what is necessary
3. Forward thinking for good systems and data
  - Quality not quantity of data collection!

# Thank you for your attention!



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Further questions? Alex Stimpson: [ast@efta.int](mailto:ast@efta.int)