Submit and Update
Annual Programme Report

GrACE User manual for
Programme Operators and Fund Operators

Version 4.0, March 2022

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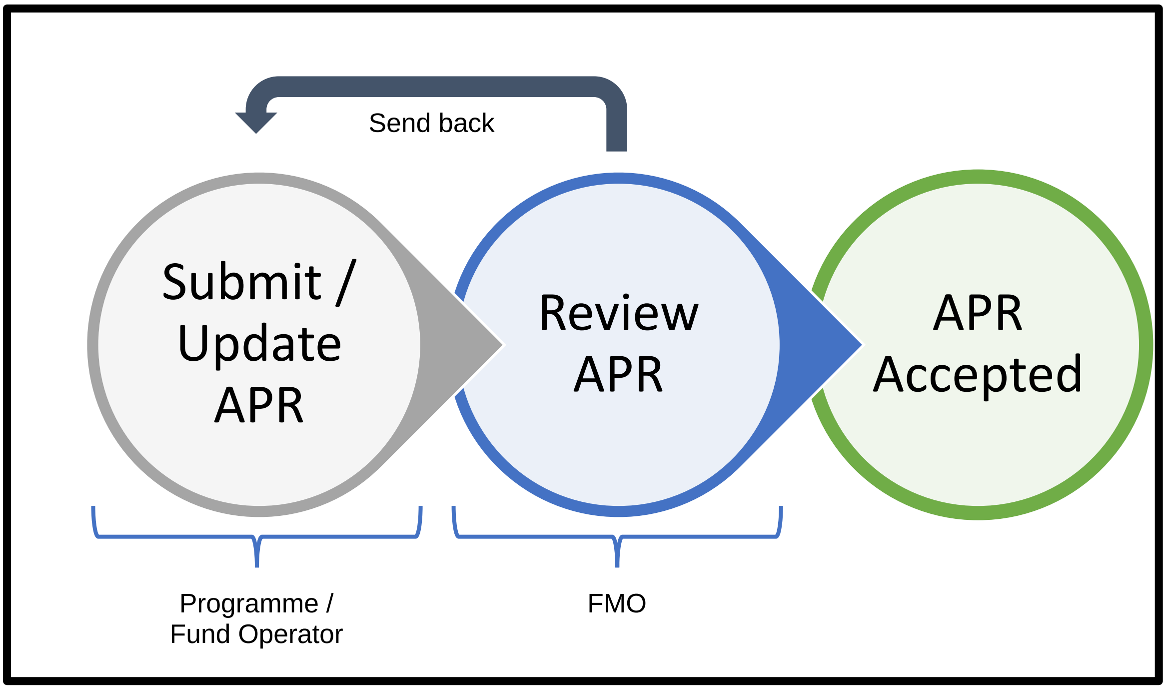
1. Introduction to the Annual Programme Report

The below document is a short guide that briefly explains how to navigate GrACE pages to Submit an Annual Programme Report (APR).

The objective of the Annual Programme Report 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 APR is composed of 8 sections:

1. Main text
2. Annex 1: Updated results
3. Annex 2: Communication summary
4. Annex 3: Contracted projects
5. Annex 4: Risk management
6. Annex 5: Monitoring plan
7. Annex 6: Evaluation report
8. Annex 7: Agreement conditions

Only the programmes with Programme Agreements signed before 30th of June the previous year will submit their first APR in February. The Programmes with Programme Agreements signed after the 30th of June will submit the following year. The first task of the workflow is assigned to the Programme Operators or Fund Operators required to submit the APR.

- The workflow starts automatically in GrACE on the 1st of January. The deadline for submitting to the FMO is the 15th of February.

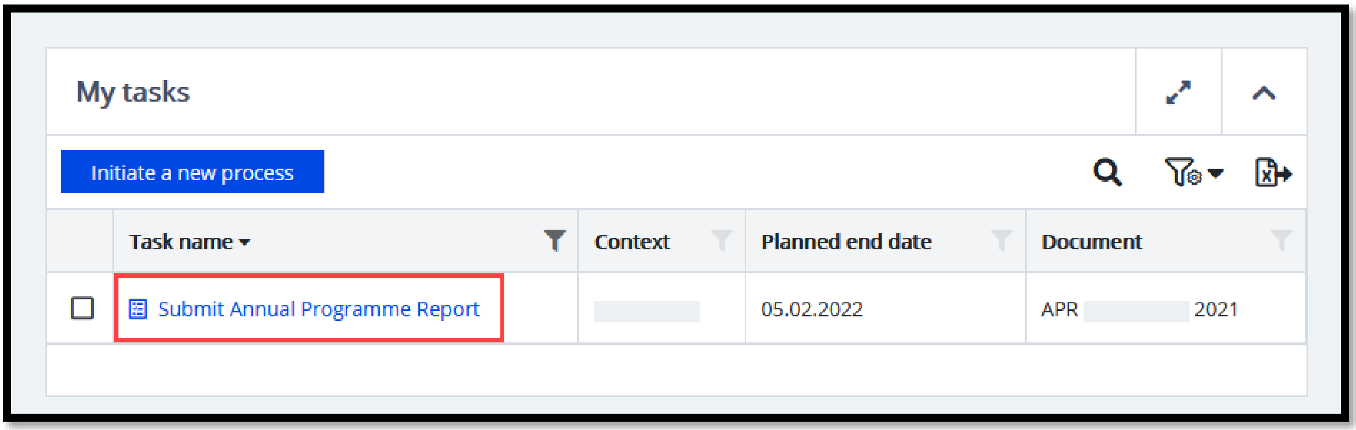
When you have submitted the APR, the report is reviewed by the relevant programme team at the FMO. If the programme team has any comments, the report is sent back to you within 2 months. If there are no comments, the APR is approved. You can see the status on your APR – please see the section regarding viewing submitted APRs at the end of this user manual.

For further help and support, please contact grace.support@efta.int. This user manual and other manuals can be found at our website https://eeagrants.org/gracemanuals, be sure to check in sometimes for updated versions.

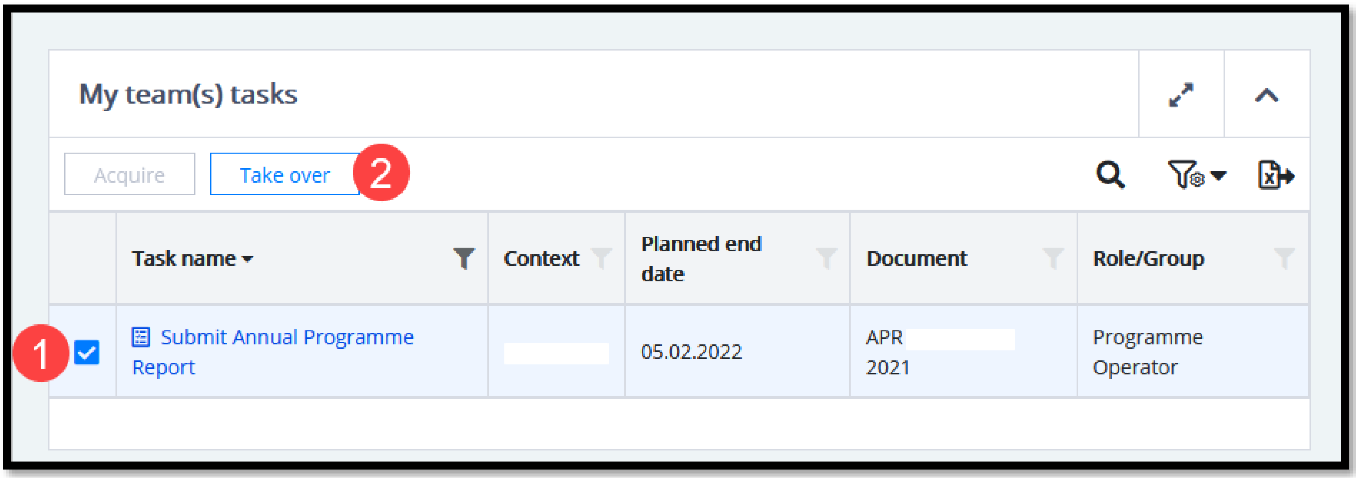
2. Submit Annual Programme Report

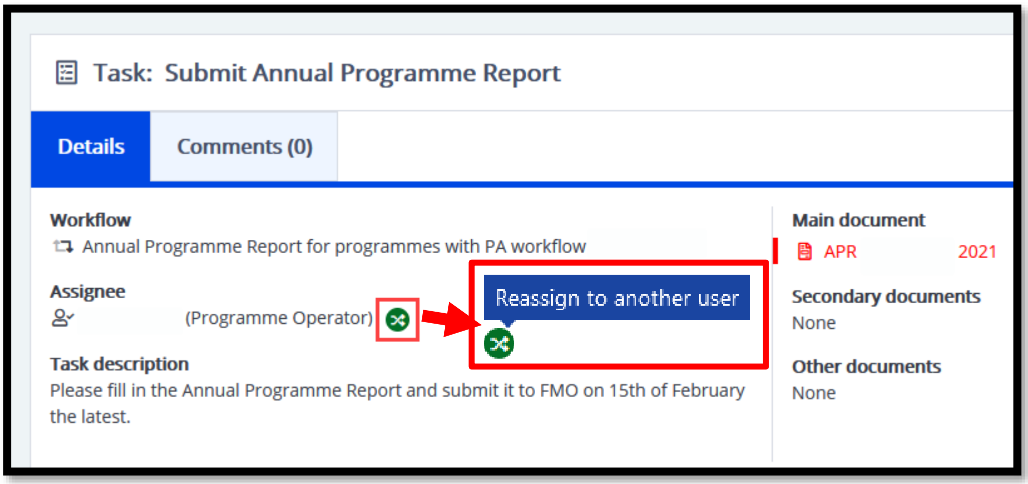
The task **Submit Annual Programme Report** is available under the **My tasks** section, located on the top left side of your GrACE dashboard. If there are multiple users in your organisation, the task will be in **My tasks** section for the user registered as primary contact in GrACE.

Click on the name of the task, **Submit Annual Programme Report**, to open the workflow.

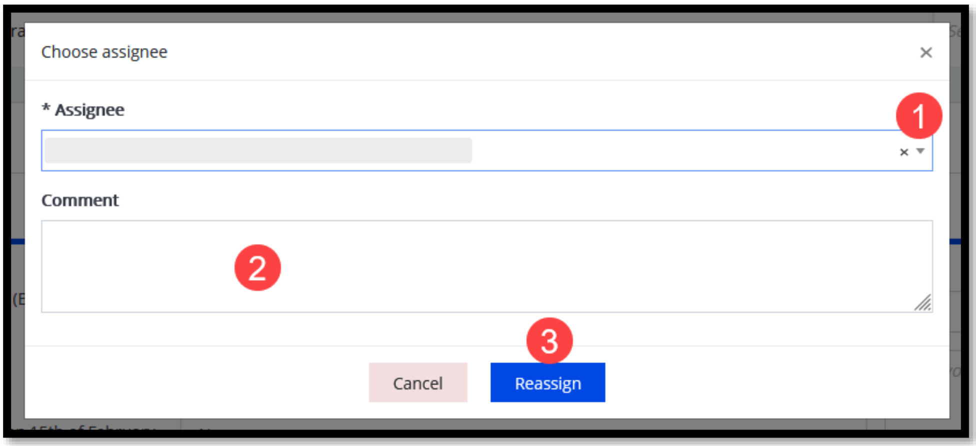


The task can be acquired by other users from the same organisation under **My team(s) tasks** in the Dashboard, which can be found in the upper right corner in GrACE. They can do so by clicking the option in front of the task (1) and then **Take over** (2).





You can reassign the Submit Annual Programme Report to another user with the same role in GrACE. To do this, click on the green circle behind your name in the task.



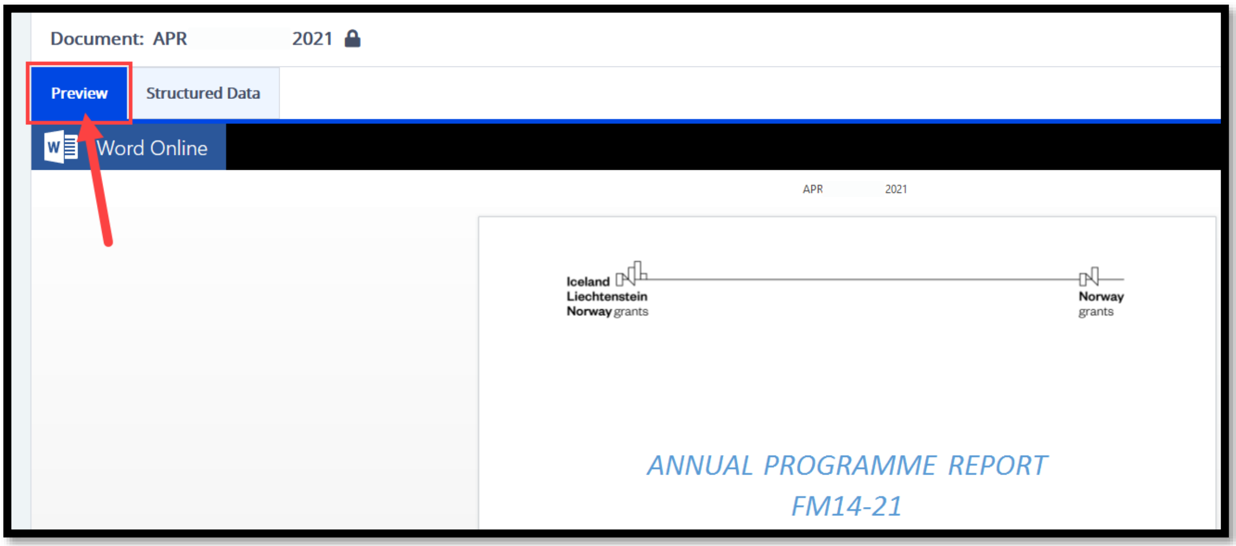
A new window will then open where you can choose which colleague to reassign the task (1). A message can be relayed if you wish (2) before reassigning (3).

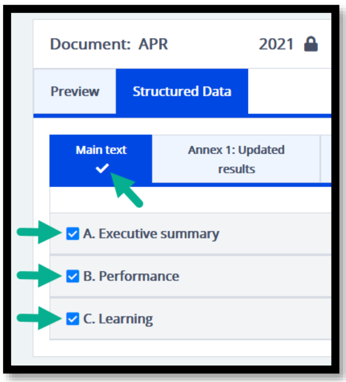
2.1. Navigate the APR sections and tabs

The sections in the Annual Programme Report in GrACE reflect the sections from the [Annual Programme Report template]() (click the link to download a copy of the template from our website).

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

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**.





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

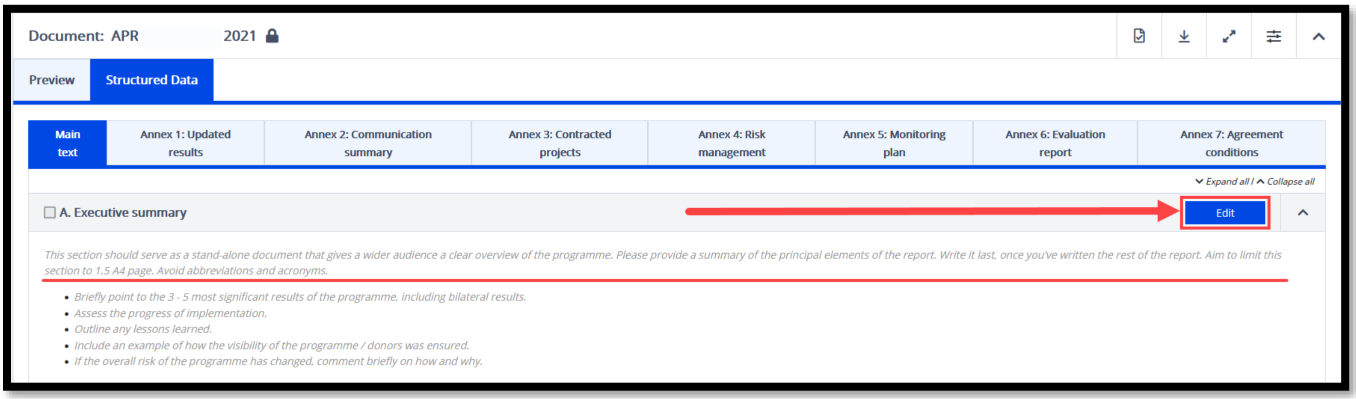
The APR contains many sections, so GrACE now has a tool for helping you remember to fill in everything. Each time you have completed a section you can mark it as done. When all sections in a tab is marked as done, there will be a check mark next to the tab header.

This is simply an indicator for your own use and has no significant purpose other than a visual reminder, and so it is not required in any way. This is only visible for you when you fill it in, not to the FMO.

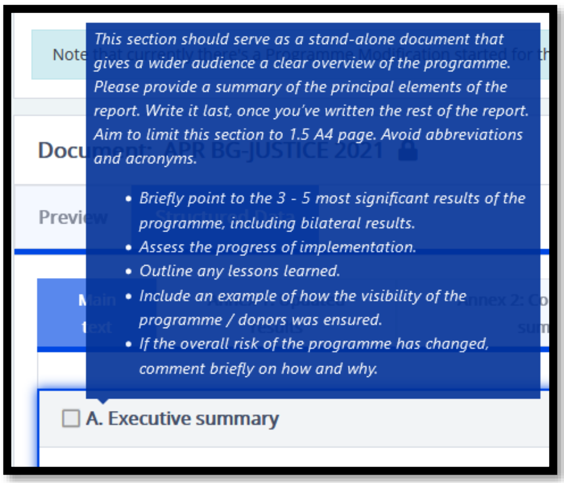
2.1.1. Main text

The Main text section contains a textbox for each heading in the APR. The instructions from the [Annual Programme Report template]() are visible in *grey italic text* at the beginning under each section. See the text underlined in red in the picture below, for an example. This text is replaced when you start to write, but it is still possible to read the instructions by hovering the mouse pointer over each section title. The same text will appear as a blue tooltip box.

You can proceed to change the text for your report by clicking on the **Edit** button:

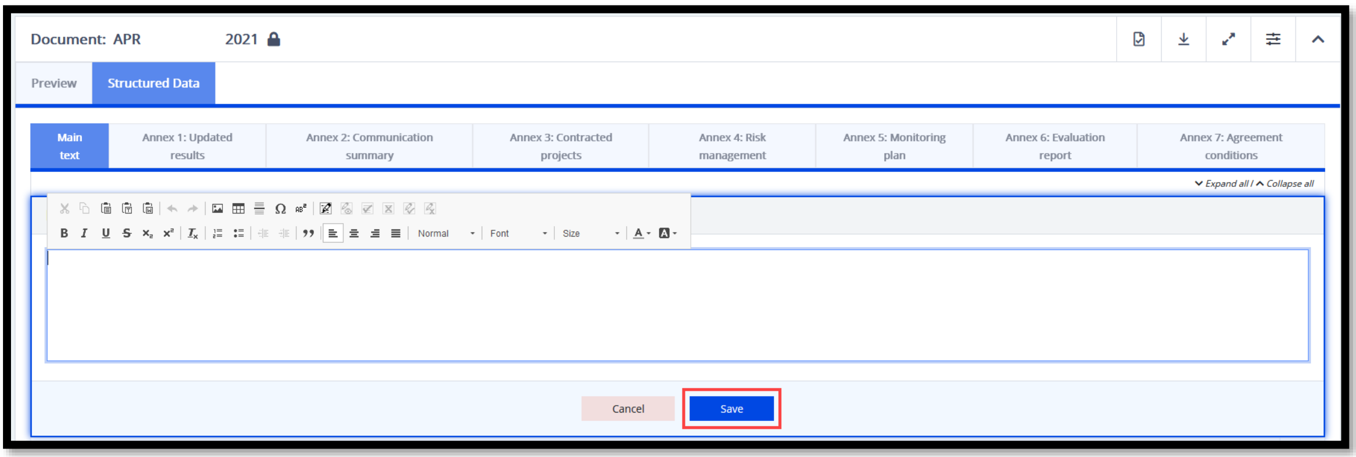


After you click **Edit**, the text editor opens, and you can type in or paste the formatted text in the field. The textbox will resize automatically according to the amount of text.



If you would like to see the instructional help text once more, click outside the textbox so that you can see the title of the section, then hover the mouse over the title. The text will appear in a blue box as a tooltip.

Clicking the **Save** button will save the data and exit the edit mode.

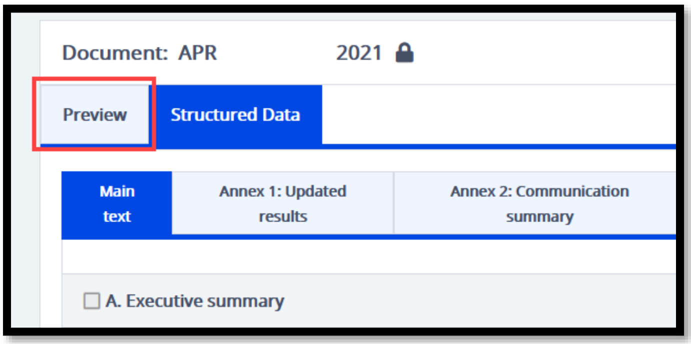


When filling in the Main text sections:

Regular programmes (except for the Active Citizens Fund):	Active Citizens Fund (ACF) programmes:
Do not include activities supported by the Bilateral Fund, and results, under the Bilateral Outcome. The results reported under the Bilateral outcome are related to the bilateral cooperation in the programme.	Please report on bilateral results at both project and programme levels (including the results funded by the ACF Bilateral Fund).

If your country has a mixed APR and Annual Strategic Report, this will be covered by a different user manual.

- A. Executive Summary
    - Write this last, as a stand-alone summary. Limit to 1 and ½ page maximum.
- B. Performance
    - The first textbox ("1 Programme context") and also the second textbox ("2 Programme results"), will be visible only from the second APR.
    - In the first APR, you 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. (Please note the table above for what you should, and should not, include here.)
    - Illustrate results with examples.
    - Include results from predefined projects, especially if they are significant.
    - Below are some questions which might help for your assessment on the results:
        - Which effects were experienced by whom (target groups)?
        - Did some outputs have a better effect than others? Why?
        - What might need to be changed to increase the effect of the programme?
- C. Learning
    - Please list any monitoring activities carried out in the programme, but in case of results-based monitoring, do not repeat the results reported in annex 1/B2. Instead, focus on the quality of the activities and systems.
    - Please provide a summary of any evaluations that might have been carried out and list and explain the planned responses to the evaluation recommendations.
    - Any lessons learned from the programme implementation for improving programme delivery and results can be listed here, including any changes instituted from previous learning.

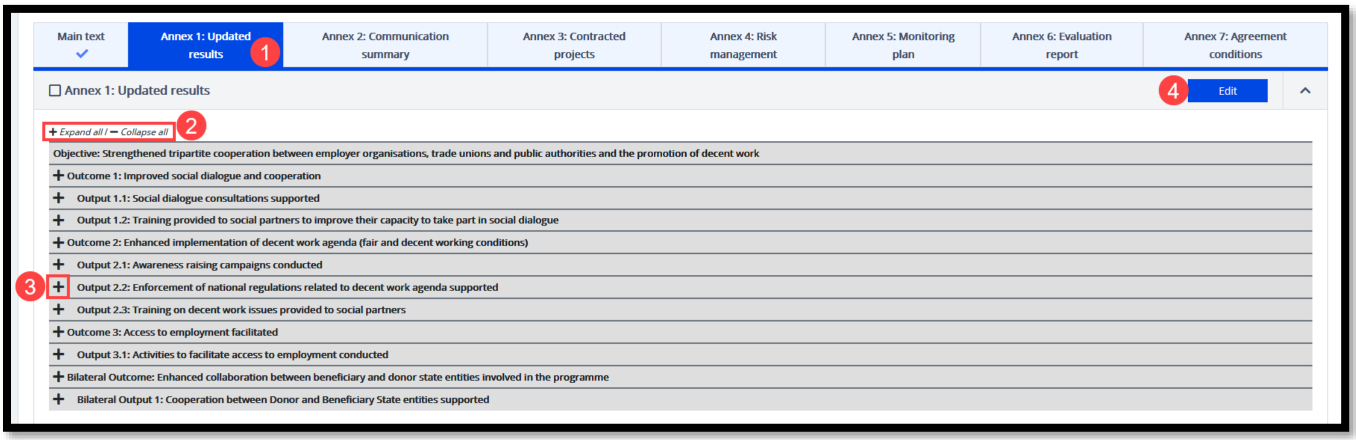


Note that the main text section should not exceed 20 pages. You can check the number of pages in the **Preview** tab.

Remember that hovering the mouse arrow above the section titles will always give you helpful instructions for how to complete the relevant section.

2.1.2. Annex 1: Updated results

In Annex 1 you will find the indicators from the Results Framework of the programme displayed. There is an option to expand/collapse all indicators (2) and an option to expand/collapse a specific indicator (3). When you click on **Edit** (4), the indicators are expanded, and you can fill them in.

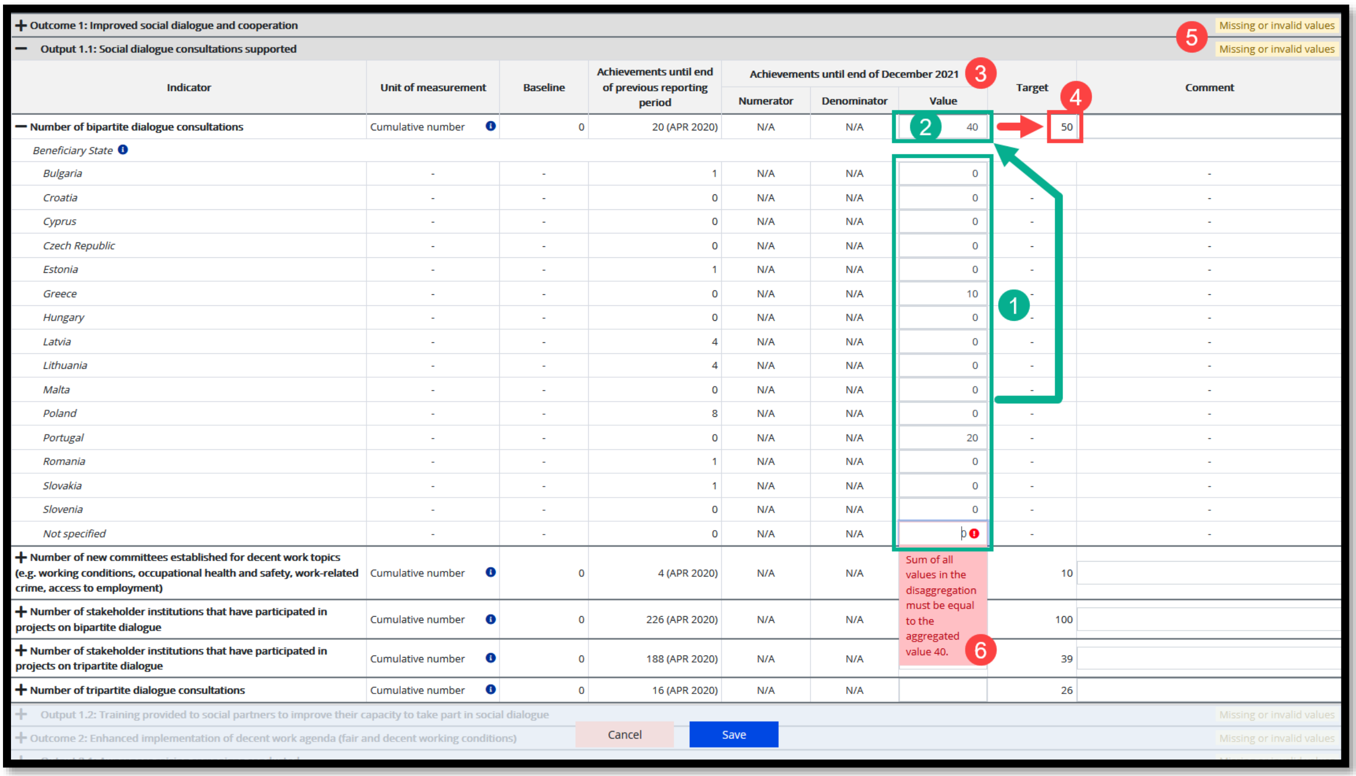


Every entry should be filled in whenever it's meaningful. For example:

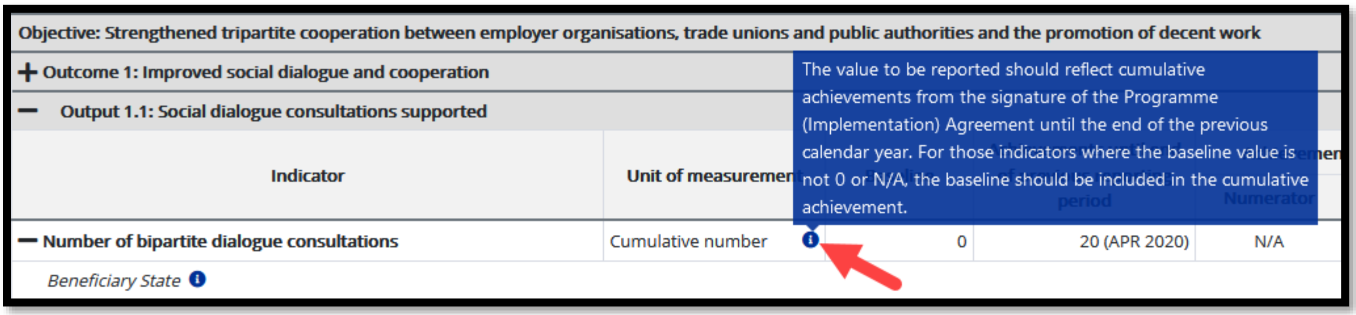
- An indicator describing a scale or percentage should be left empty if the achievement is not yet available. The system will give you a warning about missing values, but you will still be able to submit the APR.
- For cumulative number indicators without achievements, please type 0 instead of leaving it blank.

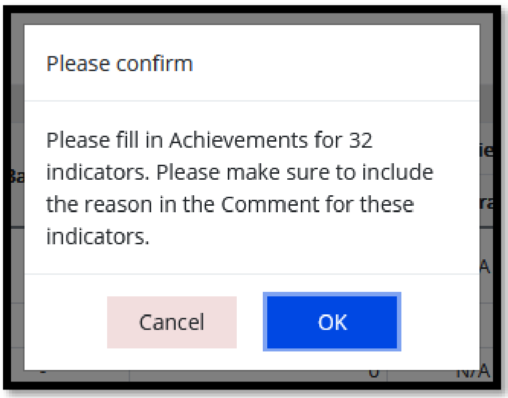
Below are explanations for the different sections. Please see the colour coded image below this text for further explanation. The (numbers in parenthesis) are pointing to the relevant image section.

- The columns from the Results Framework (Indicator, Unit of measurement, Baseline, Target) are displayed on the screen. When submitting the APR, you need to input data only in the **Achievements until end of December <reporting year>** (3) column and, if desired, in **Comments**.
- 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 disaggregation (e.g., Female, Male, unspecified).
- If the **Unit of measurement** is:
  - Cumulative number, the value to be reported under the **Achievements until end of December <reporting year>** (3) should include <u>cumulative</u> achievements from the signature of the Programme (Implementation) Agreement until the end of the previous calendar year. It should reflect the distinct achievement during the previous calendar year only (NOT including any achievements from previous years). 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 screenshot below).
  - The sum of numbers in the **green section** (1) needs to match the value in the **top section** (2). Section (3) needs to correspond to the number in the section Target (4).
  - 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.
  - 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 only.
- Additional validations and warnings are displayed in red (errors) or yellow (warnings), see (5+6).



When hovering over the icon ℹ (1) for a unit of measurement, a tooltip is displayed (2) with guiding information. Please consult these tooltips before proceeding:





If you try to save with missing or invalid values (such as blank fields), the system displays a warning message and invites you to include comments for indicators where an achievement was not reported. You can still save your work for continuing later.

Achievements until end of December 2021			Target
Numerator	Denominator	Value	
N/A	N/A	40	50
N/A	N/A	!	-
N/A	N/A	!	-
N/A	N/A	!	-
N/A	N/A	!	-
N/A	N/A	!	-
N/A	N/A	10	-
N/A	N/A	!	-
N/A	N/A	Please fill in a value. Required when aggregated value is set.	-
N/A	N/A		-
N/A	N/A		-
N/A	N/A		-
N/A	N/A	20	-
N/A	N/A	!	-
N/A	N/A	!	-
N/A	N/A	!	-
N/A	N/A	!	-

The exception is when you have filled in an aggregated (total) value – the required fields are then displayed with a red exclamation mark: **!**. In this situation you need to fill in the numbers making up the total amount before you can save and proceed. Alternatively, remove the total number and fill everything in at a later stage.

If you see a warning message that "The system could not auto-save", this is the same reason. GrACE is unable to save your current process if there are mandatory fields missing. Auto-save is done every 3 minutes.

2.1.3. Annex 2: Communication summary

The Communication summary (1) 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** (2) button. Click **Save** after you finished editing.

For guidance on what to write in the different sections, please look at the *grey italic text*.

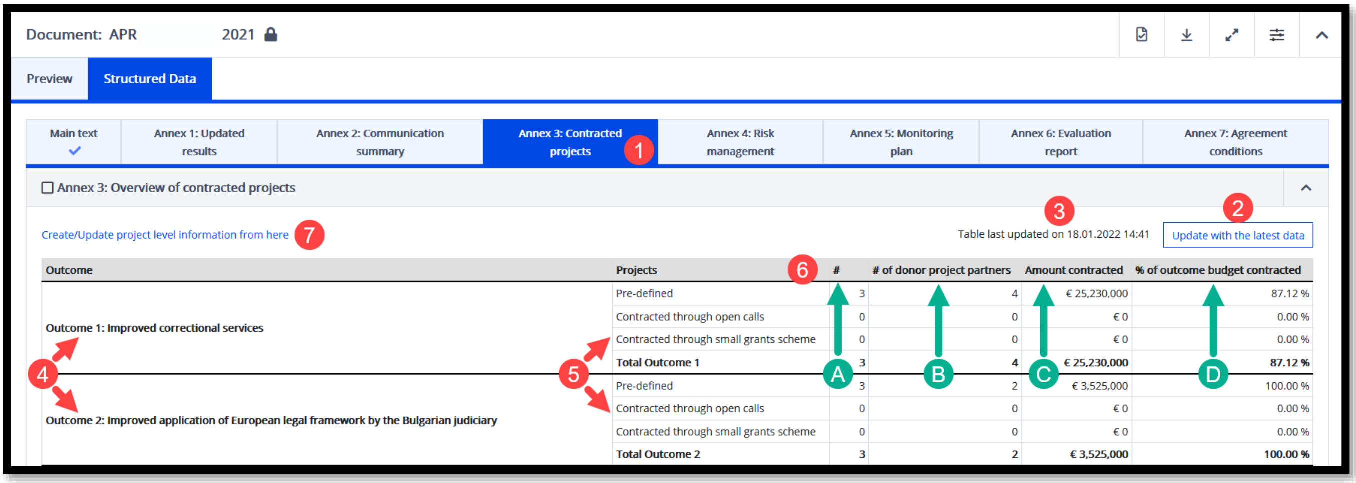
2.1.4. Annex 3: Contracted projects

Annex 3 contains statistics based on the existing Project Level Information (PLI) and Calls data registered in the system under the programme.

Please find the arrows and numbers in the picture below, explained here:

1. The data shown in Annex 3 is based on the most recent data on PLIs and Calls registered in GrACE, submitted by PO or FO under the programme.
2. It is possible to update the table with the latest data before the report is submitted. 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.
3. Here, you can see when the table was last updated. Click on the update button (2) for a refresh if you wish.

4. These are the outcomes. 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.
5. These are the modalities: pre-defined projects, projects contracted through open calls, projects contracted through small grant schemes.
6. The columns explained:
    - A. **#:** Amount of projects registered in the system.
    - B. **# of donor project partners:** If a donor project partner is included in several projects, they are only counted once.
    - C. **Amount contracted:** The sum of the project grant submitted in the PLIs. This maximum project grant includes programme co-financing, but not project co-financing.
    - D. **% of outcome budget contracted:** Calculated as the amount contracted, divided by the outcome budget allocation.
7. Link to Create/Update PLI information.



Outcome	Projects	#	# of donor project partners	Amount contracted	% of outcome budget contracted
Outcome 1: Improved correctional services	Pre-defined	3	4	€ 25,230,000	87.12 %
	Contracted through open calls	0	0	€ 0	0.00 %
	Contracted through small grants scheme	0	0	€ 0	0.00 %
	Total Outcome 1	**3**	**4**	**€ 25,230,000**	**87.12 %**
Outcome 2: Improved application of European legal framework by the Bulgarian judiciary	Pre-defined	3	2	€ 3,525,000	100.00 %
	Contracted through open calls	0	0	€ 0	0.00 %
	Contracted through small grants scheme	0	0	€ 0	0.00 %
	Total Outcome 2	**3**	**2**	**€ 3,525,000**	**100.00 %**

The data in the table can be updated several times before the APR is submitted. The system reads the information from the Calls module. If the number of applications contracted from the Calls module is different than the number of PLIs submitted, a warning is displayed:

"*The 'Number of applications contracted' registered in the Calls module does not correspond to the number of PLIs*". If this happens, please review the information indicated under PLI and Calls information. Any validation messages in this section are warnings only and will not stop you from submitting the APR.

2.1.5. Annex 4: Risk management

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

Please find the Annex 4 window explained by the picture below and corresponding numbers:

1. Register a new risk by clicking on **Edit** and then **Add new**. In the first APR submitted in GrACE the risks will be registered with all the mandatory fields.
2. Enter the **Risk description** as identified during the Programme Agreement preparation.
3. The **Risk related to** fields:
    - A. **Description of planned response:** as identified in the Programme Agreement preparation. Only editable in the first APR, read-only in the following APRs. Shows value from the previous APRs "Planned future response". If the risk is set to n/a it will be disabled.
    - B. **Description of actual response:** the action response taken for the risk. This field can be updated in the following years. If risk is set as n/a it will be disabled.

C. **Planned future response:** the planned response for the risk in the future. This field can be updated in the following years. If risk is set as n/a it will be disabled.

4. The columns related to the risks:

   A. **Likelihood:** This field can be updated in the following years.

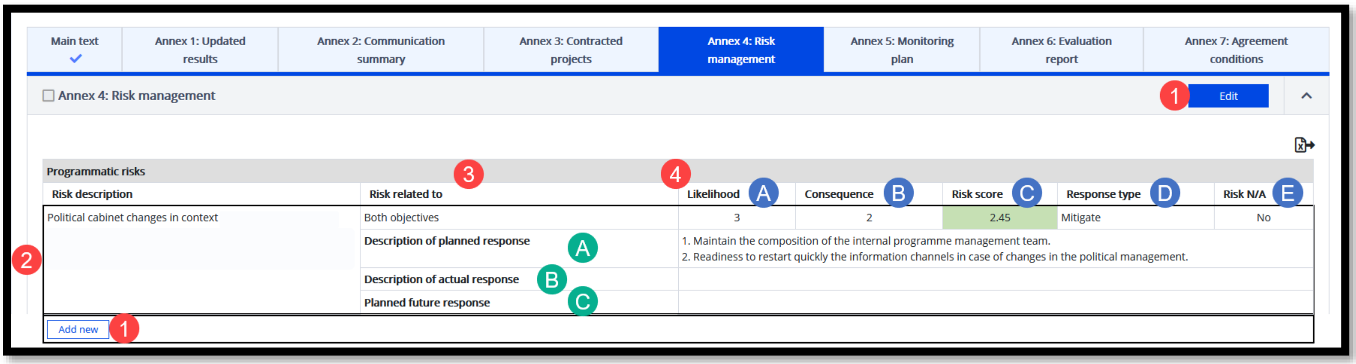
   B. **Consequence:** This field can be updated in the following years.

   C. **Risk Score:** This value is automatically calculated based on the likelihood and consequence values, and auto-coloured:
   High risk >3
   Medium-high risk >2.5 & <=3
   Medium-low risk >=2 & <=2.5
   Low risk <2

   D. **Response type:** Select the type of response for the risk.

   E. **Risk N/A:** This Not applicable checkbox can be changed in the following APRs, to indicate a previous risk is no longer applicable. The risk will then be greyed out from that APR and will no longer be displayed in future APRs.

From the second APR submitted in GrACE, the risk assessment information as of the previous APR is pre-filled. In this case most of the risk information from the previous years are greyed out and are read-only. You will however be able to update some fields, as indicated per field in the explanation above.

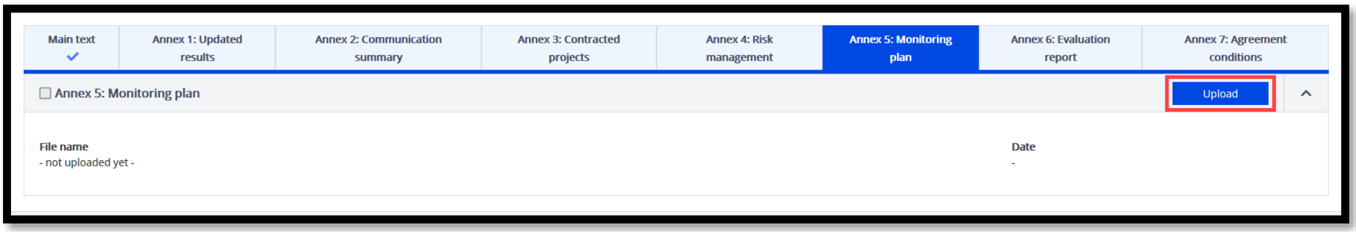


When finished, click **Save**.

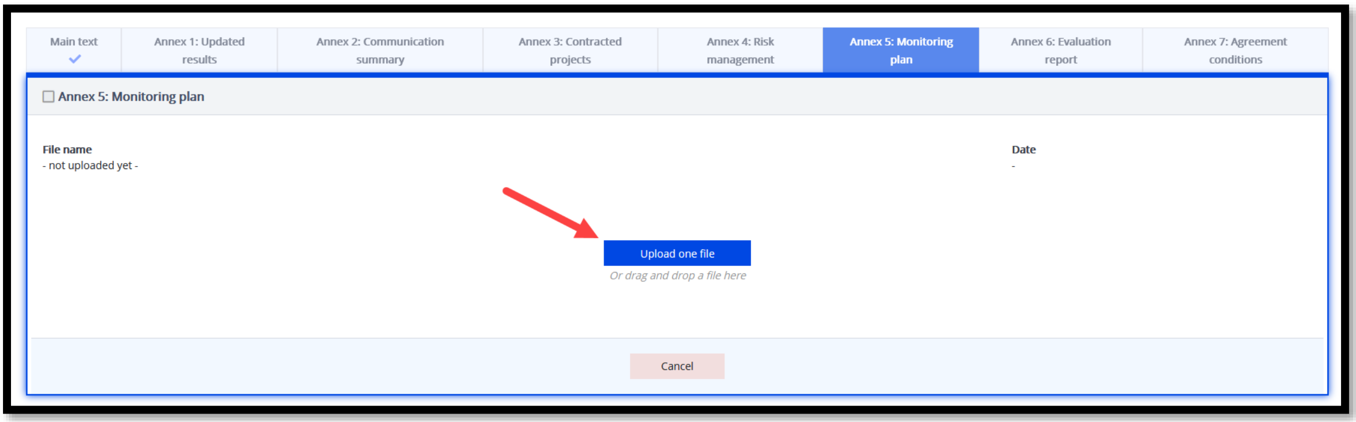
2.1.6. Annex 5: Monitoring plan

The 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 upcoming year (so for the APR you fill in January 2022, this Monitoring plan is for the rest of 2022). The Annex 5 of the Results Guideline provides a suggestion for the template to use, but you are free to adjust it or use a different template altogether.

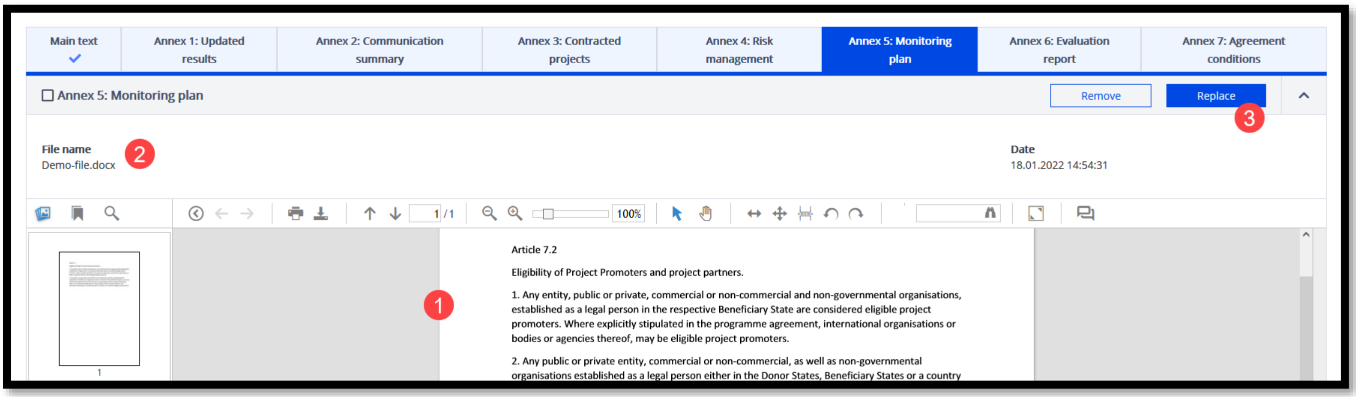
Click on the **Upload** button.



At this point you can drag and drop the file in the highlighted area, or you can click on the button **Upload one file** to browse your computer and upload the file.

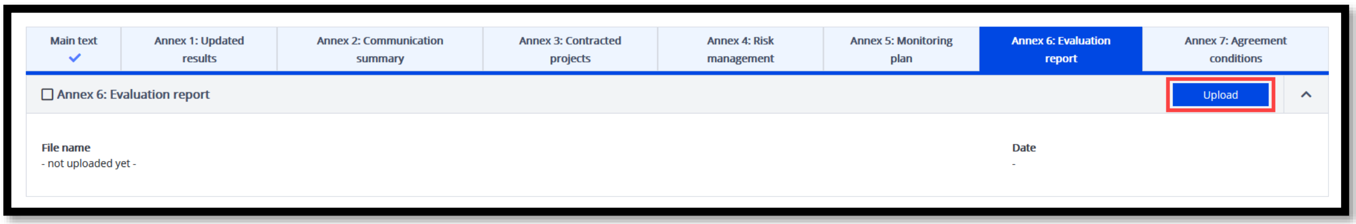


Upon successful upload, the file can be previewed in the section below (1), details of the uploaded document can be seen above the preview (2). There is an option to replace the uploaded file (3).



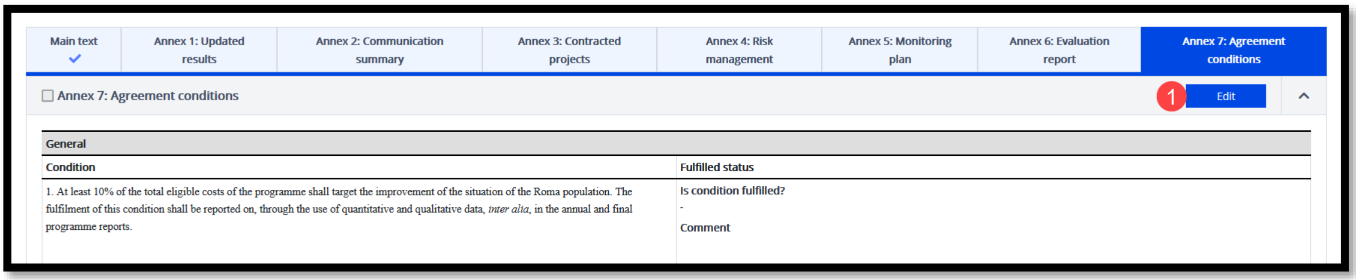
2.1.7. Annex 6: Evaluation report

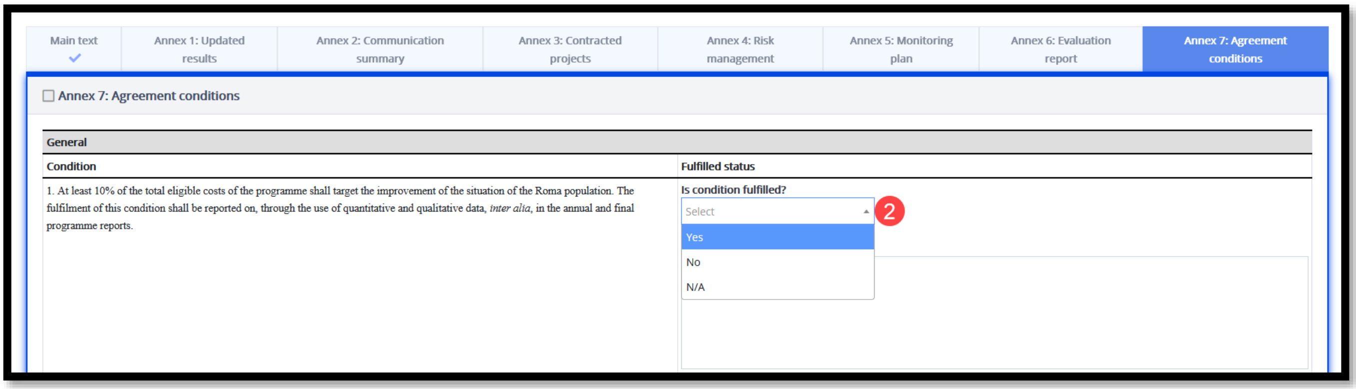
Similar with the previous section, the Evaluation report section allows to upload a file containing the requested information. This report refers to the evaluation carried out in the reporting year. The evaluation report should be uploaded only once, in the APR submitted after the evaluation was completed.

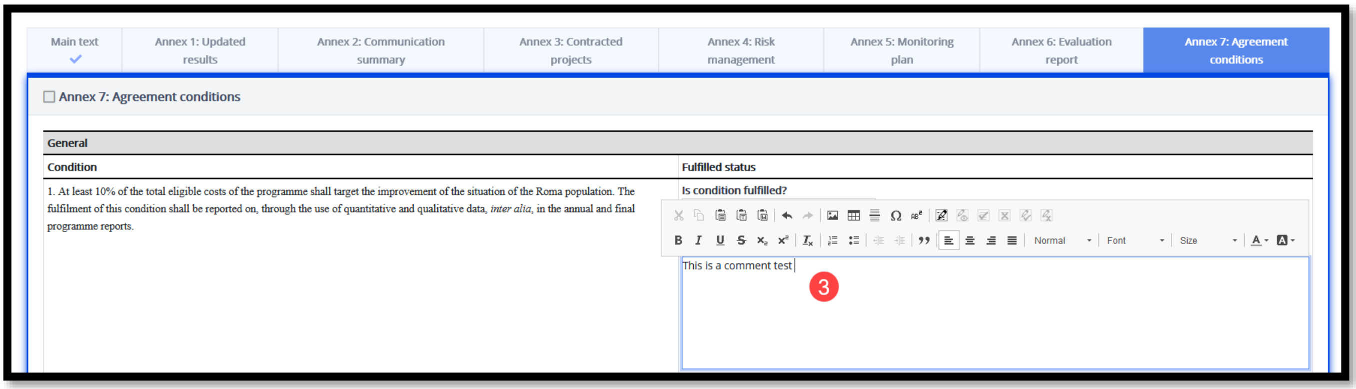


2.1.8. Annex 7: Agreement conditions

In the agreement conditions tab, you will find all conditions which were not fulfilled at the time the APR was generated (the 1st of January). To update this section, click **Edit** (1). For each condition, choose the status (2) and type in the comment text (3). The comment section will show a toolbar for formatting the text and give you the opportunity to add tables or images.

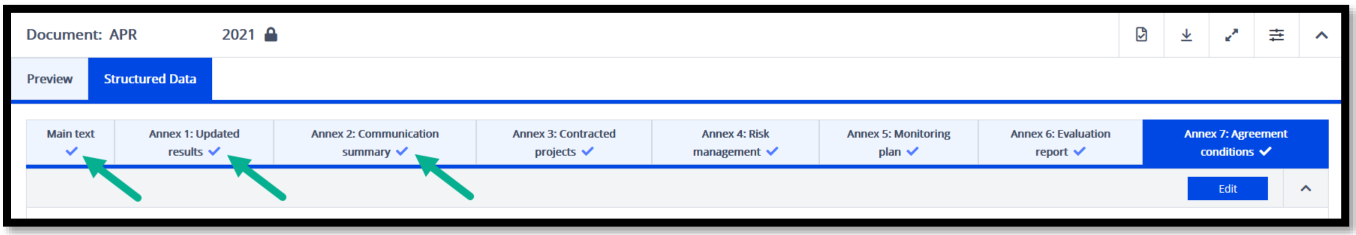






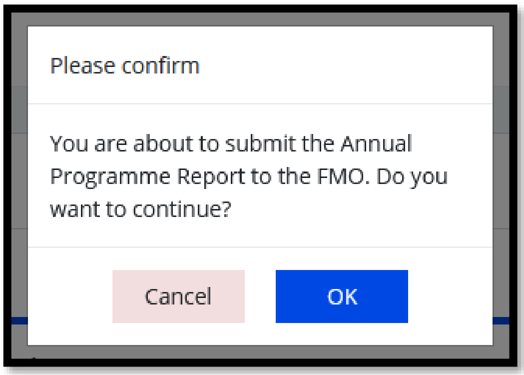
2.2. Submit the APR

When all sections are complete, you can submit the report to the FMO. Recall the feature for marking each section complete as you go along, this is the time to check that everything is remembered by looking at the check marks. This is however optional and is not needed to submit the document.



You can also preview (1) and download the document (2+3) before submitting:

To submit the APR: Click on the drop-down menu (1) below **Actions** and select **Submit to FMO** (2). You can optionally write a **Comment** (3) before finally clicking **Submit** (4).



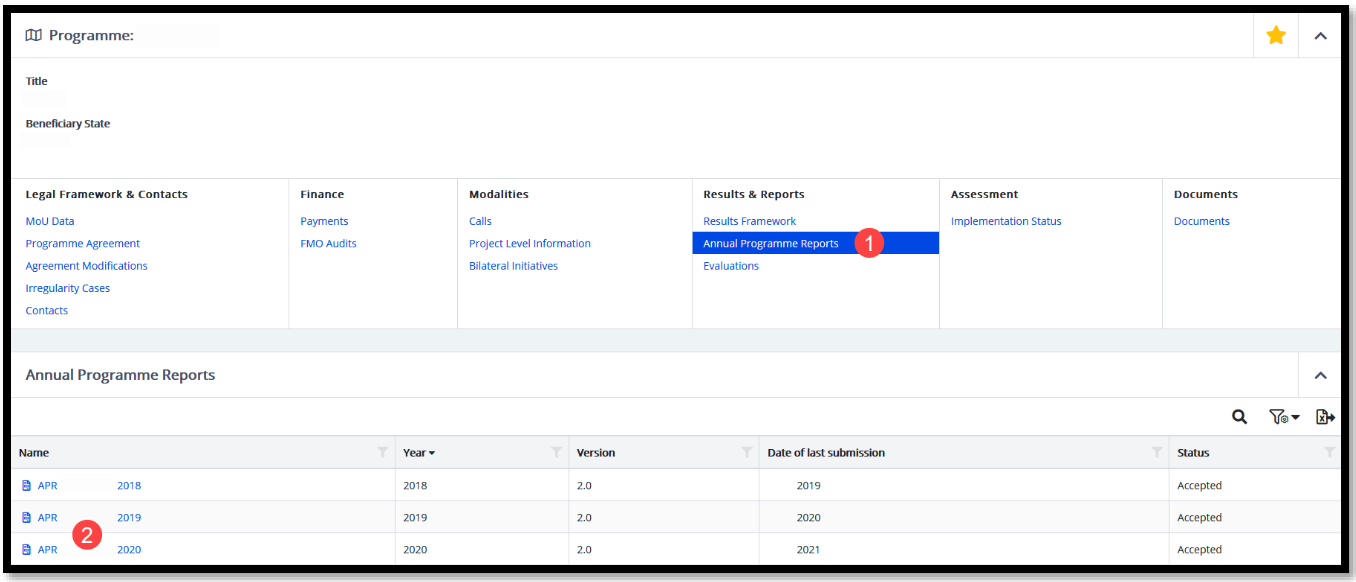
A warning message will display, click **OK** to submit the APR.

3. Update the APR

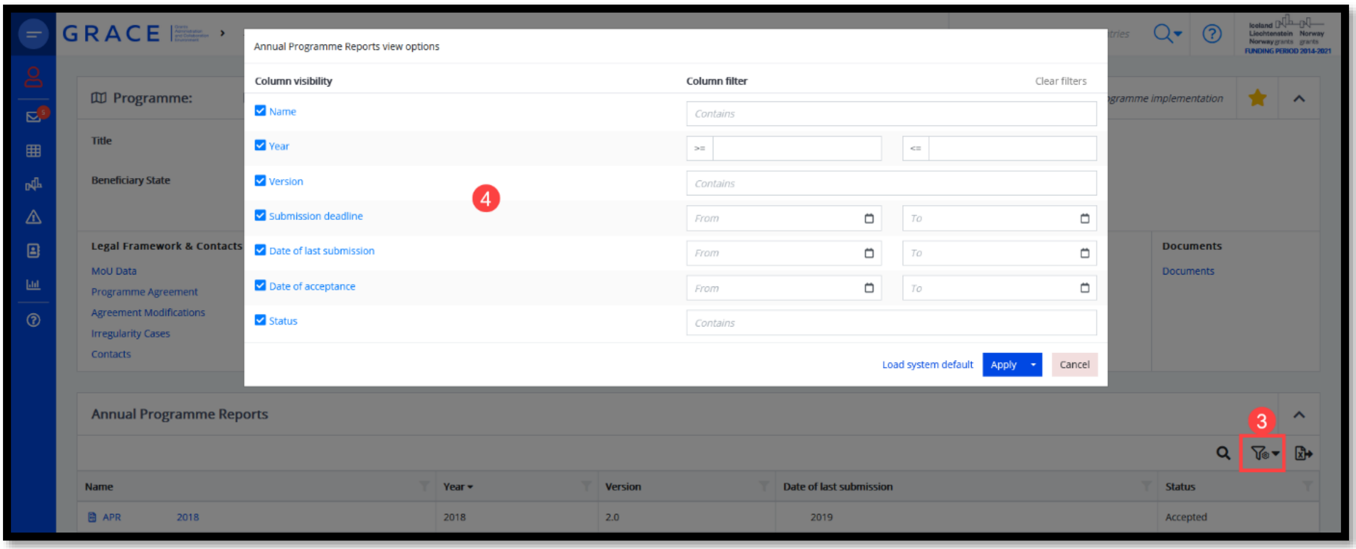
In case further changes are needed, the FMO will return the Annual Programme Report to the FO/PO. The APR will then become editable again by the FO/PO as shown in the steps above.

4. View submitted APRs

In your programme tab, click the **Annual Programme Reports** (1) link to view previously submitted APRs (2).



By clicking View Options (3) you can select which fields you want to see in this view (4).



You can download the APRs by clicking on the name to open them, then click on the download symbol (A) and choose the file format you prefer (B).