

## PROJECT MONITORING AND REPORTING GUIDELINES

*This document establishes monitoring and reporting guidelines for the projects which received a grant within UNDEF's first funding round and should be taken into consideration in line with monitoring, evaluation and reporting guidelines of UNDEF. This document elaborates both on project monitoring and project reporting requirements. A specific document details the project evaluation requirements and is also available on the UNDEF website<sup>1</sup>.*

### 1. UNDEF Projects executed by a UN Agency or an NGO

A general distinction is to be made between **NGO-executed projects** and **UN-executed projects**. The requirements further detailed under point 2 and 3 apply to all projects for which an NGO is the Executing Agency. For some UN-executed projects, the monitoring and reporting requirements might differ slightly from these rules and shall be detailed in a Memorandum of Understanding attached to the project document. Those adaptations concern **reporting deadlines and formats** and do not impact on the basic role of the Executing and Implementing Agencies or on the substantive and financial reporting requirements. In the absence of a Memorandum of Understanding, UNDEF standard rules will apply. Additional details in this regard can be sought from UNDEF.

*The tables annexed to this document list the respective deadlines for each of the above mentioned situations.*

### 2. Substantive and Financial Reporting Requirements for UNDEF Projects

- 2.1 The Executing Agency will be responsible for the technical and financial management of the project—including all monitoring and evaluation activities—and all project reporting to UNDEF. The Executing Agency will also be responsible for all fiduciary arrangements.
- 2.2 All projects are entitled to a financial provision of up to ten percent of the project budget to cover the cost of high-quality monitoring, evaluation, reporting and financial audit services. For projects over \$250,000 this provision will be capped at \$25,000. UNDEF strongly recommends these services be conducted by external and independent entities or experts (such as local universities, research groups, consulting firms, etc.) using a participatory methodology involving direct beneficiaries and interested stakeholders. With regards to project evaluation, specific guidelines for conducting the project evaluation are available on the UNDEF website.
- 2.3 For projects where a non-UN entity is the Executing Agency, detailed certified financial statements by an external and independent entity are required. A specific template (Financial Utilization Report) can be requested from UNDEF or standard certified financial statements can be used. These certified financial statements should be sent together with the Mid-term Progress Report for two years projects and at the end of the project both for one and two years projects, together with the evaluation report (see Annex I for additional information on the reporting timeline).

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<sup>1</sup> [http://www.un.org/democracyfund/Docs/IRE\\_Guidelines\\_E.pdf](http://www.un.org/democracyfund/Docs/IRE_Guidelines_E.pdf)

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- 2.4 For projects where a UN entity is the Executing Agency, specific procedures may apply with regard to financial reporting and templates may differ. Additional details in this regard can be sought from UNDEF.
- 2.5 Executing Agencies for **12-month** projects are required to submit a brief **Mid-term Progress Report** that contains substantive and financial information on project progress. This report must be submitted to UNDEF no later than seven months following the project's start date.<sup>2</sup> A template for the Mid-term Progress Report form is available on the UNDEF web site.
- 2.6 Executing Agencies for **24-month** projects are required to submit a longer **Mid-term Progress Report** and detailed certified financial statements. The progress report should include detailed information on the status of project implementation and the achievement of project outputs and outcomes as outlined in the project's Results Framework. The detailed certified financial statements (**A specific template can either be requested from UNDEF or standard certified financial statements can be used**) should indicate expenses by category as outlined in the original project budget. Resources that were budgeted for but not spent in the first year should be reallocated to the second or future years, in the case of a project extension. Both reports must be submitted to UNDEF no later than 13 months following the project's start date. A template for the Mid-term Progress Report is available on the UNDEF web site.
- 2.7 Extensions of project duration might impact on the reporting requirements to UNDEF and these changes will be notified upon approval of the extension request. For extensions of **4 months or longer**, an extension status report should be provided to UNDEF half way through the extension period, i.e. at six months of a twelve month extension. No specific template is required. The UNDEF project revision and extension guidelines provide additional information in this regard<sup>3</sup>.
- 2.8 UNDEF **project revisions** are required for changes that affect the scope (outputs and objectives) of a project. Changes that do not require a project revision, i.e. changes in activities to ensure achievement of an output should still be mentioned in the financial and narrative Mid-term Progress Reports.
- 2.9 The Mid-term Progress Reports for 12 and 24-month projects will provide the PCG and Advisory Board with the substantive and financial information to make adjustments mid-course if necessary. This may result in the cancellation of or decrease in a grant allocation if the project has made insufficient progress.
- 2.10 All UNDEF-funded projects, regardless of duration, will also be required to submit a **final narrative report**. The final narrative report should include detailed information on the whole project implementation and the achievement of project outputs and outcomes as outlined in the project's Results Framework. A template of this report is available on the UNDEF website.
- 2.11 All UNDEF-funded projects, regardless of duration, will also be required to submit a **final evaluation report** that clearly identifies the activities, outputs and outcomes achieved in life of the project. This report should assess the overall impact of the project as well as any lessons learned that

<sup>2</sup> The project start date will be the date UNDEF disburses the first tranche of funding to the Executing Agency.

<sup>3</sup> <http://www.un.org/democracyfund/XProjectRevisionProcedures.htm>

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can inform future project design and implementation. As mentioned in point 2.2, UNDEF strongly recommends these services be conducted by external and independent entities or experts (such as local universities, research groups, consulting firms, etc.) using a participatory methodology involving direct beneficiaries and interested stakeholders. The final evaluation report should be submitted no later than three months following the end date of the project. Specific guidelines on UNDEF evaluation requirements are available on its website.

2.12 All UNDEF-funded projects, regardless of duration, must also submit final certified financial statements to UNDEF no later than three months following the end date of the project. All certified financial statements should include information on income, expenditures, and interest earned on UNDEF funds. As mentioned in point 2.3, for projects where a non-UN entity is the Executing Agency, final financial statements have to be certified by an external and independent entity. **A specific template can either be requested from UNDEF or standard certified financial statements can be used provided that they also indicate expenditures as per the budget lines in your project budget and by output. This requirement applies to both UN and non-UN executed projects.**

2.13 The implementation period for most projects will be 12 or 24 months.

### 3. Transparency Procedures

3.1 The PCG and Advisory Board will have access to all project reports, performance information, studies and evaluations submitted by the Executing Agency or commissioned in accordance with the monitoring and evaluation procedures described above.

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## ANNEX I

## Reporting Timetable

<b>1- Project Reporting by Executing Agency – NGO and UN when there is no Memorandum of Understanding</b>			
<b>Report Title</b>	<b>Prepared By</b>	<b>Submitted By/To</b>	<b>Deadline</b>
Mid-term Status Report for 12-Month Projects	Executing Agency	By Executing Agency to UNDEF	7 months after project start date
Mid-term Progress Report for 24-month Projects	Executing Agency	By Executing Agency to UNDEF	13 months after project start date
Certified Financial Statements for 24 month projects	Executing Agency and certified by an Accountant/Auditor	By Executing Agency to UNDEF	To be submitted with Mid-term Progress Report
Final Narrative Report for 12 and 24 month Projects	Executing Agency	By Executing Agency to UNDEF	1 month after project end date
Final Certified Financial Statement for 12 and 24 month Projects	Executing Agency and certified by an Accountant/Auditor	By Executing Agency to UNDEF	3 months after project end date, to be submitted with the Evaluation Report
Evaluation Report for 12 and 24 month Projects	Independent Entity	By Executing Agency to UNDEF	3 months after project end date
Extension Status Report	Executing Agency	By Executing Agency to UNDEF	For extensions of 4 months or longer 1/2 way through extension period.

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<b>2- Project Reporting by Executing Agency – UN Agency when there is a Memorandum of Understanding</b>			
<b>Report Title</b>	<b>Prepared By</b>	<b>Submitted By/To</b>	<b>Deadline</b>
Annual Substantive Report	Executing Agency	By Executing Agency to UNDEF Office	31 <sup>st</sup> of January for the previous calendar year (January 2008, January 2009)
Interim Financial Report	Executing Agency	By Executing Agency to UNDEF Office	31 <sup>st</sup> of January for the previous calendar year (January 2008, January 2009)
Final Substantive Report	Executing Agency	By Executing Agency to UNDEF Office	Within 90 days after the completion of the project
End of Project Certified Financial Interim Report	Executing Agency	By Executing Agency to UNDEF Office	Within 90 days after the completion of the project
Evaluation Report	Independent Entity (where applicable)	By Executing Agency to UNDEF Office	Within 90 days after the completion of the project
Final Financial Report	Executing Agency	By Executing Agency to UNDEF Office	No later than 30 <sup>th</sup> of June of the year following the financial closing of the project
Extension Status Report	Executing Agency	By Executing Agency to UNDEF	For extensions of 4 months or longer 1/2 way through extension period.