

Roles and Responsibilities of the Monitor

2021

Background

The purpose of project monitoring is to regularly assess the progress of the project funded by SCBF to ensure that project activities and budgets are on track and where projects are not on track (activities, outreach data and budget) to discuss with the grantee to correct the course of action. The SCBF monitor is asked to review and keep the Secretariat informed of grant progress. If at any point in time the monitor feels that the project will not be successful, they are asked to inform SCBF.

Monitor's Role

- Agrees with the grantee on the reporting frequency and format at the outset of the grant and in collaboration with the secretariat on the payment schedule.
- Follows up with the grantee on their obligations in providing documentations and updates when milestone reports are due (incl. any deliverables outlined in the grant agreement) and/or activities are delayed and/or other significant changes occur. Milestone report template is shared with the grantee at the outset of the grant and can also be found [here](#).
- Signals a transparent error culture with the grantee and provides support for constructive solutions in case of unexpected significant changes and ensures capture of the corresponding learnings.
- Reviews and approves milestone reports and associated deliverables and systematically shares them with the secretariat that will archive them and keep an appropriate monitoring system based on the milestone reporting. Achievement of milestones triggers grant payments as outlined in the grant agreement.
- Informs the grantee as well as the secretariat should extra milestone reports be required.
- Reviews and approves achievement of defined targets and ensures specific project-related learnings are reflected in the final operational report (max. 5 pages long) prepared by the grantee.
- Approves contractual changes requested by the grantee in close consultation with the secretariat and the finance manager. The secretariat will save paper trail with agreements for minor changes on the project file, and for more significant changes will follow up with the preparation of an amendment to be signed by SCBF, the grantee, the PFI and the monitor. In case of a change in experts, the monitor is to assess suitability of the newly proposed expert for the role and the finance manager is to review the profile of newly accepted consultants against the originally proposed rates. If necessary, the project budget will be reduced, followed by a contract amendment.
- If the requested contractual changes are substantial, the monitor sends the proposed changes to the other members of the project committee concerned granting them a ten-day period to object or comment. If required, the secretariat organises and moderates a conference call for the project committee to discuss and decide on the proposed substantial changes.
- As part of the project quality control, the monitor will discuss and collect feedback from the partner financial institution on project progress and their satisfaction with the technical assistance services being provided by the grantee. This will be conducted at least twice, one in the first half and once in the second half of the project.
- Makes a proposal on the premature closures of execution contracts and co-manages jointly with the secretariat the requests for detailed operational and financial reports from the grantee. Takes a final decision of the proposed closure with the corresponding implications and the recommendations of the finance manager. In case of disagreement with the grantee, the monitor can escalate the decision up to the project committee members.
- Reviews and approves the final operational report in coordination with the secretariat which is responsible for its consistency in respect to the formal structure.

- It is important that the % cost-sharing between SCBF, the PFI, grantee and third-parties (if applicable) must be maintained throughout the project. These contributions are to be reviewed by the monitor in the milestone reports prepared by the grantee. In case of deviations, the grantee in close consultation with the monitor will ensure corrective measures to put the % cost-sharing back on track.
- If appropriate, the monitor or any member or employee of the SCBF can organise on-site visits. In such cases, the visit has to be planned in close collaboration with the monitor and the secretariat.

Financial reports

The monitor should be aware that the grantee is required to submit to SCBF Finance Manager a mid-term project financial report and final financial project report. These need to be submitted within thirty (30) calendar days of the middle and end of the Project (as outlined in the tripartite grant agreement). The grantee and the PFI are required to duly sign Mid Project Financial Report and the Final Financial Report to verify the financials in said reports. These reports shall include a signed confirmation by the grantee that the grantee's costs have been reimbursed exclusively by SCBF. The grantee is required to validate that all the information provided in the financial reports is in any given aspect adequate, true, correct, complete and appropriate. These reports shall show:

- the original Budget from the Project Proposal, outlining the total Project costs and the Grantee's, PFI's, third parties' and SCBF's contribution.
- the actual expenditures against the Budget and the (expected and or actual) rationale for variances +/- 10% of the overall Budget.
- All invoices/timesheets and other validation documents should be marked/stamped as original receipts of the SCBF, PFI, grantee or other contracting parties' contribution (as applicable), in such a way that they cannot be used for other settlements. A financial inspection of the originals, as per the tripartite agreement, may be conducted by SCBF as well.

Any Budget variances will need to be explained and "corrective" action to be taken by the Parties to ensure that (i) the Project remains on track and in line with the SCBF Proposal Guide and (ii) the percentage level of cost-sharing between the Parties reflects the approved original Budget ([Annex 1](#)).

These documents will need to align with the monitoring reports that are submitted.

Audits

The monitor should be also be aware of mandatory audit requirements for SCBF grants of equal to/more than CHF 100,000 as outlined in the tripartite agreement under section 4.12. The audit is organised by the grantee and paid by SCBF. The audit report is reviewed by the SCBF finance manager, and no active involvement of the monitor is expected.