PROJECT MONITORING POLICY

P-36 /2018

Area Responsible: PMO

OBJECTIVE:

To outline Funbio's Project Monitoring Policy.

APPLICABILITY:

This policy applies exclusively to Funbio and across all areas.

VALIDATION

Version in effect	Action	Date
1	Approved by the Secretary-General	14/02/2018
	In effect as of	14/02/2018
	Up for review	14/02/2020

CONTROL OF VERSIONS

Version	Date	Drafted by	Status
0.1	2/2/2018	Monika Roper / Olívia Smirdele	Minute
0.2	5/2/2018	Mônica Ferreira	Revized
1	14/2/2018	Rosa Lemos	Approved

RELATED DOCUMENTS:

- PO-16 - Procedimentos de Monitoramento de Projetos (Project Monitoring Procedures)
- PO-15 - Conecta – Método Funbio de Gerenciamento de Projetos (Funbio Project Management Method)
- P22 – Funbio Project and Program Evaluation Policy
- PO-09 – Diretrizes para a Gestão de Risco (Risk Management Guidelines)
- OP-10 – Funbio Financial and Economic Analysis Guidelines
- PO-13 - Procedimentos Operacionais para Apreciação Institucional

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CONTENTS

I. INTRODUCTION

1. Funbio implements its actions through projects, often in partnership with other institutions. The projects can span a range of contents, approaches, regional contexts, volumes, timeframes, funding sources and roll-out modalities. In addition, Funbio operates within a context of innovation and change, which means that past experiences do not necessarily indicate future directions. As such, our monitoring processes need a combination of orientation and flexibility to ensure that they are pragmatic and applicable in different contexts.

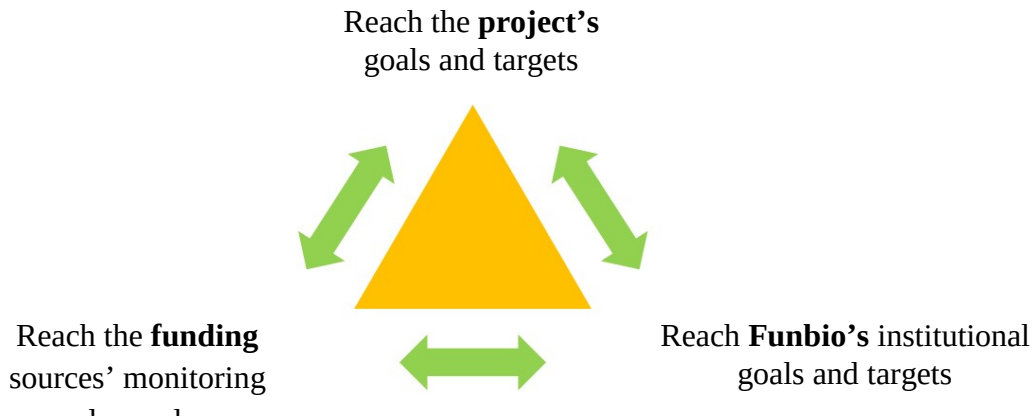
2. There is a vast literature on planning logics, projects and types of monitoring, and these can adopt varied but rarely altogether different definitions and interpretations. We approach **monitoring** as a process of analysis and reflection that pervades a project's execution, steering it and **tracking its progress, course-correcting where necessary and fostering internal and external communication on project performance.**

3. **First and foremost, monitoring is a management tool** that functions as a guide for revising and adjusting strategies, ensuring efficiency and proper reporting, and enabling joint reflection, information-sharing and transparent communication. Monitoring presents important interfaces with the areas of appraisal, communication and knowledge-management.

4. **Funbio must observe three specific demand types in relation to monitoring data:**

    - Monitoring **Funbio**'s own institutional goals and targets, geared towards its mission and strategic planning.
    - **The specific logic of each project**, which guides its individual monitoring, but should also contribute to Funbio's institutional goals and targets.
    - The monitoring demands of project **funding sources**, which **Funbio** must ensure are met to the required levels of quality.

Monitoring Demands Triangle



II. DEFINITIONS

5. **Monitoring** - the collection and analysis of information to verify project progress toward its planned goals and outcomes. The intention is to identify high and low-performing aspects of project execution so that the necessary adjustments and corrections can be made in-course in order to keep the project on-target on-schedule.
6. **Evaluation** - the main focus of evaluation is to judge the project in an objective and systematic manner based on recognized, pre-established criteria. Evaluation can made at different stages of the project (beginning, midway, end), but the focus is always on improvement, learning and proper reporting. Even where different tools are used, there can be points of tangency between monitoring and evaluation insofar as monitoring data can be drawn upon in evaluation project performance and mid-process evaluations can also help identify fragilities and suggest corrections.
7. **Intervention Logic** - the way target-reach is structured, stringing actions, products, results and impacts together in causal sequences.

III. STRUCTURING PROJECT-MONITORING

8. The way project-monitoring is structured **will largely depend on the monitoring role Funbio assumes on the project**, which could be any of the following:

    - Funbio is **responsible** for setting and attaining the project's goals and targets and, consequently, for monitoring progress thereto. Institutional monitoring is a case in point, as it focuses on Funbio's own performance, but it can also be a responsibility delegated to Funbio by the project's funding sources. This option also applies in all cases where Funbio is offering services. In situations in which the target and goal structure has been established before the project is presented to Funbio, whether by its funding sources or other partners, Funbio may also assume full or partial responsibility for monitoring, but it will have to follow the pre-established structure.
    - When projects involve a number of partners sharing responsibility for its implementation, Funbio will be **co-responsible** for project-monitoring.
    - In the case of execution by third parties, Funbio will ensure that the monitoring is carried out to the required level of quality and may, where pertinent, consolidate the contributions by generating aggregate monitoring results. This, too, is a question of co-responsibility, but in this case Funbio can take on an additional advisory and coordinative role.

IV. TYPES OF MONITORING

9. Evaluation and monitoring methodologies are usually designed around the project's intervention logic. Generally, projects are undertaken with a view to effecting changes that can transform an undesirable present situation into a desirable future one. This desirable future corresponds to the project's goals, and its intervention logic is the form whereby these can be achieved by causally connecting actions, products, results and impacts.

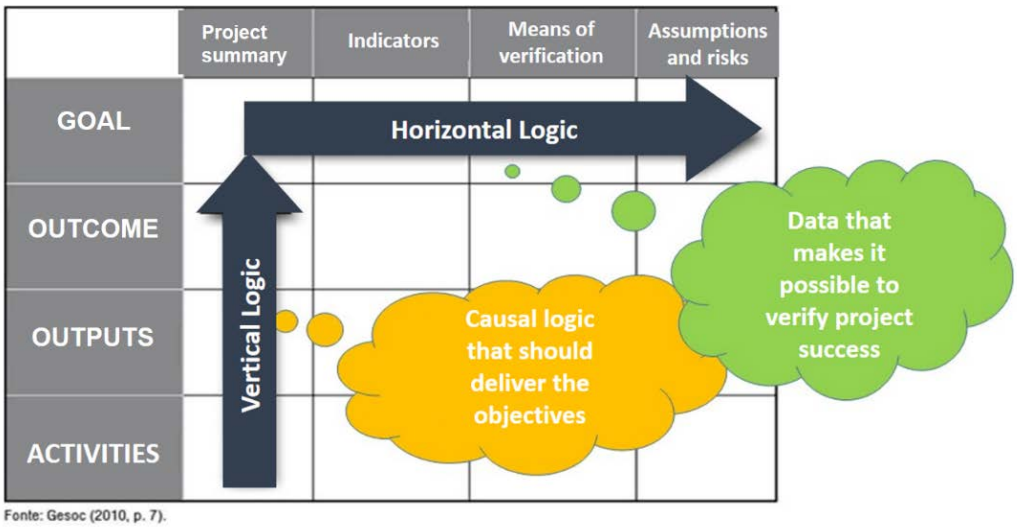
10. The literature and institutional praxis contain numerous approaches and methodologies for designing intervention logics, and these often display conceptual and semantic differences. As Funbio can execute projects on which it defines the intervention logic and others in which the logic has already been established beforehand by the funding sources and/or partners, Monitoring Strategy does not presume a single or mandatory approach.

11. For cases in which Funbio is responsible for determining the intervention logic, or even where logics have been pre-defined, **the logical framework** is the analysis tool of choice.

12. **The Logical Framework** is generally a matrix or 4x4 grid structure that briefly describes the key elements of a project and the external factors potentially affecting its execution and goal fulfillment. **Projects** can be loosely defined as organized efforts to promote change and improvement in below-par situations. Projects are usually executed in accordance with pre-established timeframes and budgets.

13. The targeted changes can be brought about through one or more **outcomes**. To achieve these goals, the executor plans a set of **activities** that can realistically be expected to generate desired **outputs**/fulfill specific **purposes**, the sum of which, at the end of the project, ought to deliver the **overall objective/goal**. The changes the project aims to effect are its **impacts**, and these are often only verifiable over the mid to long-term. However, it is crucial that the outputs and outcomes clearly target the envisioned impacts.

14. A vertical reading of the logical framework creates a causal relationship between the activities, outputs and short-term purposes/outcomes and overall objective/goal, while a horizontal reading presents the indicators, assumptions and preconditions that make it possible to verify project success.



Fonte: Gesoc (2010, p. 7).

Source: http://www.surjournal.org/conteudos/getArtigo14.php?artigo=14,artigo_02.htm (with adaptations)

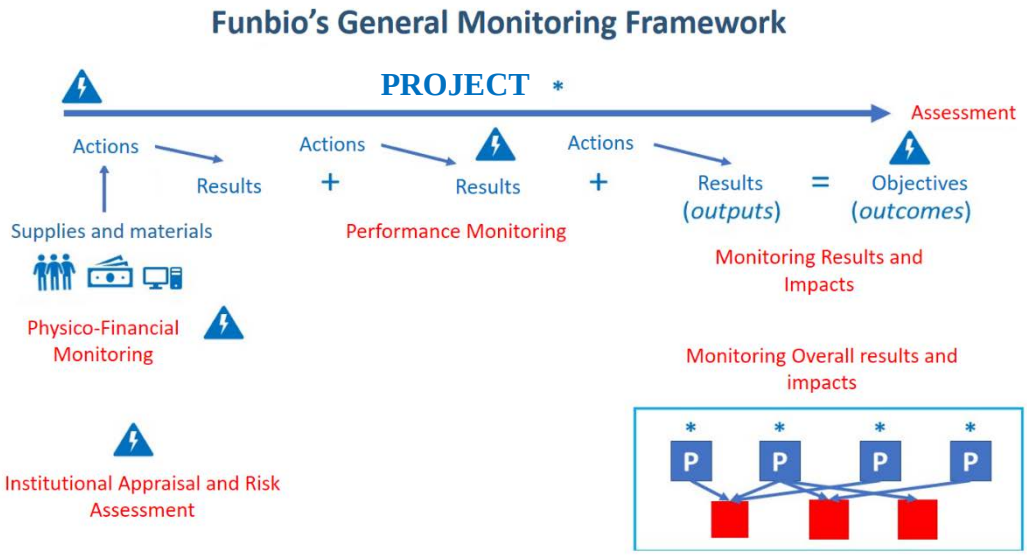
15. Associating the main levels of the framework with the concepts of efficiency, efficacy and effectiveness, widely adopted by assessment methodologies, we can distinguish **three main types of monitoring**:

    - **Physico-Financial monitoring,** which mainly observes the efficient use of materials and resources during project execution. The concept of efficiency focuses on the economical use of resources, weighing the cost-benefit ratios of the activities and determining whether these were executed on schedule.

- **Performance monitoring,** which focuses on activities and outputs, comparing the planned against the executed in order to ascertain project efficacy.
- **Impact monitoring,** which verifies whether or not the desired changes have been brought about, usually on the level of outcomes and goals, and so measuring project effectiveness.

V. FUNBIO'S GENERAL MONITORING FRAMEWORK

16. Based on these concepts, Funbio's current set of monitoring approaches, tools and processes is organized as per the following General Monitoring Framework:



17. The Monitoring Strategy encompasses the monitoring approaches related to the **project-management cycle**. However, during project execution the following **monitoring approaches** will also be employed:

- **Physico-Financial monitoring,** which observes the efficient use of financial and human resources.
- **Performance monitoring,** which focuses on comparing the planned against the executed in order to ascertain project efficacy.
- **Impact monitoring**, which verifies whether or not the desired changes are being effected. As mentioned earlier, in many cases, some project goals can only be

gauged in the mid to long-term. Funbio, like many other project-executors, has limited ability to conduct routine monitoring and evaluation post-project execution, and so the monitoring will often focus on how well the project has paved the way toward these impacts.

18. In addition to monitoring each project individually, Funbio monitors **aggregate results and impacts** in order to track the composition and evolution of its portfolio based on its strategic targets and priorities on an institutional level.

19. When a project is undertaken, Funbio runs analyses that enable it to identify and monitor the evolution of project risk. This is done using two specific instruments:

    - Identification and management of financial technical, managerial, organizational and external risks (cf/ Risk Management Guidelines, PO-09 – Diretrizes para a Gestão de Risco)

    - Close monitoring of organizational risk in cases where Funbio grants other institutions or agencies to execute the project. In these cases, an institutional appraisal is carried out to assess and monitor the institution's capacity to execute the project (cf. Operational Procedures for Institutional Appraisal, PO-13 - Procedimentos Operacionais para Apreciação Institucional)

20. Finally, in addition to monitoring, Funbio also adopts evaluation procedures that, whenever pertinent, draw upon monitoring data (cf. P22 - Funbio Project and Program Evaluation Policy).

VI. General Guidelines for Monitoring Funbio Projects

21. Whenever possible, all Funbio projects should be monitored on all three key levels (physico-financial, performance and impacts).

22. A **Monitoring Plan** must be drawn up for each project Funbio undertakes. This should be a simple document that outlines the format and monitoring procedures to be adopted in each case. The **Methodological Script** presented in PO-16, Procedimentos de Monitoramento de Projetos (Project Monitoring Procedures) gives a step-by-step guide to drafting this plan.

23. The contributions to be harvested for Funbio's aggregate results and impacts should be flagged in project data. The recommendations for this are set forth in Funbio's Base Document for Aggregate Results and Impact-Monitoring provided in PO-16 Procedimentos de Monitoramento de Projetos (Project Monitoring Procedures).

24. Monitoring formats should be sketched out when drafting project proposals, and always in consonance with the intervention logic. Operationalization should occur from the start, preferably no more than three months after project launch.

25. In cases where Funbio is executing projects with pre-established intervention logic and monitoring procedures, these should be analyzed for consistency and checked against the Methodological Script. Compatibilizations and adjustments can be made so long as they are documented in the Monitoring Plan.

26. Ideally, monitoring tools should be plied with new data every six months, and certainly not at intervals exceeding one year. For projects lasting under a year, verifications can be made upon project completion.

27. There is no standard periodicity for the different monitoring types, as their outcomes and outputs are related to project-specific themes and ambitions. There is no correlation between monitoring frequency and this or that type of project, duration or volume. In many cases, the availability of information under Funbio's management is what will determine monitoring options.

    - Extra monitoring intensity should be adopted on projects considered "complex". However, there is no single criterion for determining complexity, which can derive from numerous different factors, including scope, impact, management and governance (number of partners and decision-makers involved), funding volumes, and execution difficulty. As such, decisions on the required level of monitoring intensity should be taken on a project-to-project basis.

28. Like any other management process, monitoring must be cyclical and broken down into phases:

    - Planning, which involves the Monitoring Plan and establishes Baselines;
    - Operationalization, which involves the collection, analysis and consolidation of monitoring data;
    - Information use spans reporting, communication and appraisal and knowledge management, as well as institutional learning; and
    - All monitoring should go through routines of assessment and adjustment to gauge instrument functionality and applicability ("monitoring the monitoring").

MONITORING CYCLE PROCESSES AND TOOLS