

ANNEX 5: PERFORMANCE MONITORING FRAMEWORK

PROGRAMME STRATEGY

The programme seeks to strengthen and enhance national capacities in the area of public finance for governments as well as economic institutes, NGOs, media, researchers, universities in the countries of the region. The programme design ensures for a needs driven approach, based on professional assessments of each beneficiary country's needs and priorities, as well as the identification of required technical assistance by beneficiaries themselves.

The emphasis of the programme is on enhancing knowledge, capacity, skills, experience, nurturing creativity, initiative and proactive attitude, and promoting cooperation with counterparts in neighbouring countries. The capacity building character of the programme ensures sustainability of the programme results. The Ministry of Finance of the SR will facilitate access to expertise in public finance with its experienced staff. A network of Slovak experts from public sector, economic institutes, academia, consultancy companies, think tanks and non-governmental organization will be established to guarantee prompt response to capacity demands from selected beneficiary countries. The programme reflects a partnership between the MF SR and UNDP BRC, and is based on their joint commitment and shared objective to advance public finance capacity in Western Balkans and the CIS. In addition, the Ministry of Foreign Affairs of the SR and Slovak Agency for International Development Cooperation will participate in steering the programme activities to ensure its alignment with Slovakia's ODA and foreign policy priorities.

Programme strategic objectives include:

- (1) Increasing understanding and awareness of public finance dimensions for poverty reduction, human development and social inclusion;
- (2) Development of analytical capacity and building skills in the area of public finance reform for poverty reduction, local development, job creation, and social inclusion;
- (3) Knowledge sharing, dissemination of information, and improved outreach.

Component 0: Identifying country's public finance priorities and mapping technical assistance demand in a participatory manner

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
Identify Programme beneficiary countries	Beneficiary countries identified	Number of countries surveyed	0	2009: 13	1. Survey of interests and needs in priority countries in the region of Western Balkans and CIS	Survey questionnaires	Total budget: 80,000 USD
		Response rate from the survey	0	2009: 90%			
		Number of country profiles	0	2009: 6-7	2. Preparation of country profiles	Feedback from stakeholders – potential beneficiaries, donors, UNDP COs, meeting minutes, mission reports, PB meetings, quarterly reports	
		Number of beneficiary countries selected	0	2010: 3-4	4. Selection of beneficiary countries		
		Number of needs assessments (NA) for beneficiary countries	0	2010: 3-4	5. Assessment of countries needs (missions, desk reviews)		
Align the assistance with countries governments' priorities	Cooperation mechanism with beneficiary countries established and operational	Number of needs assessment missions conducted per country	0	2010-2014: 1	1. Conducting needs assessment missions to selected beneficiary countries	NA mission report, endorsed implementation plans, consultants' mission reports, PM quarterly reports, consultations with beneficiaries and COs, ARR with feedback forms	
		Number of implementation plans (IP) per country prepared	0	2010: 1			2. Negotiations with beneficiaries, MF SR and COs
		Prepared plans endorsed % of planned activities conducted	0	2010-2013 yes	3. Drafting implementation plans and budget and time lines of activities		
		No of implementation plans per country amended to broaden and/or continue cooperation	0	2010-2014: 90%	4. Exchange of letters between UNDP BRC and the beneficiaries		
		Continuous communication with beneficiaries ensured	0	2012-2013: 1	5. Monitoring Programme implementation		
				Yes	6. Getting feedback from beneficiaries on alignment of the assistance with their regular work		
			7. Getting feedback from beneficiaries on consultants' work and results of activities				
Ensure harmonisation	Assistance harmonised and	No of areas of assistance addressed by other donors	0	0	1. Mapping other donor institutions activities (desk reviews, missions,	Individual meetings with	

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
with key donors' institutions initiatives	duplication prevented				<p>donor meetings, bilateral meetings, meetings on EU level)</p> <p>2. Providing information to other donors (missions, donor meetings, working meetings on bilateral and EU level)</p>	donors, desk research, consultations with beneficiaries and COs, IPA and ENPI meetings, donor coordination meetings	

Component 1: Development of analytical capacity and building skills in the area of public finance reform for poverty reduction, local development, job creation and social inclusion

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
Support institutional set-up for PFM	Institutional set-up designed to increase efficiency and effectiveness of PFM functions	No of assessment reports prepared	0	1 per country per thematic area	1. Assessment of current institutional set-up (missions, desk review)	Consultants' activities and results of activities, consultant's mission reports, feedback from beneficiaries and COs, monitoring missions, brief survey of satisfaction	Travel Consultants/resource persons Staff time Workshops and logistics Study visits Trainings Interpreting/Translations
		No of workshops/round tables conducted	0	1 per country per thematic area	2. Findings and recommendations (missions, desk review)		
		% of recommendations accepted by beneficiaries	0	2011-2014: 80 %	3. Consultations through workshops and round tables		
		Level of satisfaction with quality of documents prepared	0	70 % fully 90 % at least partially			
		Level of satisfaction with quality of consultation activities (workshops, round tables, advisory services)	0	70 % fully 90 % at least partially			
Improve systems and procedures for PFM	Systems and procedures drafted/adjusted to improve PFM functions performance	No of assessment reports prepared	0	1 per country per thematic area	1. Assessment of current systems and procedures (desk reviews, missions, consultations)	Consultants' activities and results of activities, consultants' mission reports, feedback from beneficiaries and COs, monitoring missions, brief survey of satisfaction	Total budget: 1,130,000 USD
		No of workshops/round tables conducted	0	1 per country per thematic area	2. Findings and recommendations (desk reviews, missions, consultations)		
		% of recommendations accepted by beneficiaries	0	2011-2014: 80 %	3. Assistance with drafting/adjusting documents (methodologies, procedures, guidelines, manuals)		
		No of documents reviewed/drafted/adjusted per targeted area of assistance/per country	0	1-2 legal 1-2 operational	4. Consultations through workshops and round tables		
		% of demanded reviews conducted in targeted area/per country	0	100 %	5. Providing expert reviews		

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
		Level of satisfaction with quality of documents prepared	0	70 % fully 90 % at least partially	to legal and operational documents		
		Level of satisfaction with quality of consultation activities (workshops, round tables, advisory services)	0	70 % fully 90 % at least partially			
Contribute to development of analytical capacity and staff skills in PFM	Capacities strengthened to understand PFM concepts and skills developed to conduct PFM tasks	No of assessment reports prepared	0	1 per country per thematic area	1. Assessment of staff capacities to conduct PFM tasks (desk reviews, missions, consultations)	Consultants' activities and results of activities, consultants' mission reports, feedback from beneficiaries and COs, monitoring missions, brief survey of satisfaction	
		No of workshops/round tables conducted	0	1-2 per country per thematic area	2. Findings and recommendations (desk reviews, missions, consultations)		
		% of recommendations accepted by beneficiaries	0	2012-2014: 80 %	3. Conducting trainings of trainers		
		No of trainers trained/coached	0	10 per relevant area per country	4. Conducting trainings of staff		
		% of staff trained/coached	0	50 % of staff involved for targeted areas	5. On the job training of staff		
		No of senior staff involved in targeted areas participating in conferences	0	2 per country/per area	6. Conducting traineeships/mentorships		
		% of educational activities conducted per implementation plan (staff trainings, on the job trainings, traineeships, mentorships)	0	90 %	7. Supporting participation in conferences, seminars		
		No of study visits organised	0	1 per country/per thematic area	8. Conducting study visits		
		% of consulting activities conducted	0	90 %			

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
		(workshops, advisory meetings) per IP Level of satisfaction with educational activities (trainings, traineeships, on the job trainings, study visits)	0	70 % fully 90 % at least partially			

Component 2: Increasing awareness and understanding of public finance concepts for poverty reduction, human development and social inclusion

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
Identify key non-government stakeholders	Key stakeholders (PFM , economic) identified from relevant sectors (NGOs, universities, media)	No of stakeholders from all sectors identified	0	2 per sector per country	1. Mapping active stakeholders from relevant sectors (desk research, CO and donor consultations, missions)	Mission reports, quarterly reports, meeting minutes	Travel Consultants/resource persons Staff time Workshops and logistics
Promote public finance concepts among stakeholders	Key stakeholders actively involved in Programme implementation	No grant schemes published	0	1 per country	1. Preparation and implementation of grant schemes	Results of activities, monitoring missions, reports	Study visits Trainings Interpreting/Translations
		No of papers resulting from the small grant schemes published	0	1 per targeted sector per country	2. Preparation and implementation of scholarship programmes		
		No of scholarships provided	0	1 per country			
	Key stakeholders understanding of public finance concepts improved	No of educational activities conducted (lectures, trainings, traineeships, support to participation in conferences, etc.)	0	1 per sector per country	1. Supporting educational and awareness raising activities	Results of activities, feedback from beneficiaries and COs, monitoring missions, reports	Total budget: 115,000 USD
		No of awareness raising activities conducted	0	1 per country	2. Contribution to costs of promotional materials (leaflets, publications, websites, brochures)		
No of peer assisted learning activities conducted (workshops, roundtables, advisory sessions)		0	1 per country	3. Supporting peer assisted learning activities			
No of persons from all key stakeholders targeted		0	10-20 per country (depending on the size of the country) from all sectors	4. Preparation of articles for media			
		No of general public targeted	0	5,000-20,000 per country (depending on the size of the country)			

Component 3: Knowledge sharing, information dissemination and information outreach

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
Share knowledge and experience from public finance reforms in Slovakia	Lessons learned prepared and shared	% of thematic areas covered by lessons learned Lessons learned shared with all key stakeholder groups	0 -	100 % Yes	1. Drafting lessons learned for each thematic area of assistance 2. Dissemination of lessons learned	Lessons learned case studies Feedback from beneficiaries Feedback from other countries/donors	Travel Consultants/resource persons Staff time Workshops and logistics Study visits
Share current PFM practices and procedures in Slovakia	Legal and operational documents translated/provided and shared	No of documents translated/provided and shared	0	1-2 per thematic area/per country	1. Identifying documents 2. Arranging translations	Communication with beneficiaries, translators	Trainings Interpreting/Translations
Ensure Programme promotions and visibility	Programme visible among key stakeholders groups	No of website visitors No of articles/electronic media that positively refer to or mention the programme All documents produced have programme logos No of promotional materials	0 0 - 0	2010-2014: 5,000 1 per thematic area/per country/per year 4 in Slovakia per year Yes 1 per country	1. Website development and update 2. Preparation of articles and inputs for electronic media 3. Using logos on documents 4. Preparation of promotional materials	Website, promotional materials, articles, Programme documents	Total budget: 126,900 USD
Provide quality assurance function for consultants' outputs	High quality outputs delivered to Programme beneficiaries	% of consultants' outputs reviewed by QA experts/Programme Manager/AB members	0	2011-2014: 100%	1. Selection and contracting of QA experts 2. Communication with UNDP BRC AB member 3. Ad-hoc consultations with MF SR professional staff 4. Conducting reviews and commenting procedures	TOR, communication with experts, MF SR, UNDP BRC practice leader	

Component 4: Project management, monitoring and evaluation*

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
Set up programme management structures	Programme management structure established and operational	PB members appointed PB statute approved No of PB meetings organized Strategic decisions made by PB Quality Assurance provided	- 0 0 - -	2009: Yes 2009: Yes 2009-2014: 2-3 per year 2009-2014: Yes 2010-2014: Yes - through Advisory Board and/or senior experts	1. Exchanging letters between UNDP BRC and key partner institutions to appoint PB members 2. Preparation of PB statute 3. Preparation of PB meetings 4. Conducting e-mail procedure for key decisions to be made by PB 5. Communication with AB/QA experts	nomination letters, PB statute, PB meeting minutes, email correspondence on PB decisions/approvals	Staff time Travel Total budget: 408.690USD
Prepare programme annual work plans and budgets	AWP and budget/budget revisions approved by PB	AWP and budget prepared Budget revisions prepared	- -	2009-2014: Yes 2009-2014: Yes	1. Preparing annual work plan and budgets 2. Preparing budget revisions	AWP, budget, budget revisions, Atlas reports	
Support to implementation of Component 0 – 3 activities	Annual work plan under Component 0-3 implemented	PFM roster established and regularly replenished Country missions conducted (NA missions, consultants' missions) Beneficiary's visits organized Calls for papers (grants, scholarships, etc) prepared Consultants contracted Website developed and updated	- - - - - -	2010-2013: Yes 2010-2014: Yes 2010-2014: Yes 2010-2014: Yes 2010-2014: Yes 2009-2014: Yes	1. Identifying PFM consultants in Slovakia 2. Roster administration 3. Preparing missions/study visits (planning, agenda, administration, logistics) 4. Preparation of TOR 5. Conducting selection processes 6. Contracting consultants and administering contracts 7. Developing website	UNDP BRC PFM roster, quarterly reports, missions reports, TOR, minutes/notes from selection processes, contracts, website, Programme information sheets, etc.	
Ensure Programme progress monitoring, reporting and evaluation of Programme activities	Reporting, monitoring and evaluation activities conducted	Quarterly reports prepared Annual Review Reports prepared	0 0	1 per quarter within 30 days 1 per year	1. Monitoring of programme implementation (on-site visits, consultants' reports, outputs, etc) 2. Preparation of quarterly	Quarterly reports, annual reports, monitoring reports, implementation	

Objectives	Expected Results	Performance indicators	Indicator baseline	Targets	Indicative activities	Means of verification	Inputs
		No of country monitoring missions conducted	0	1 per country	reports, annual reports, detailed financial reports, other reports if needed	plans, meetings and correspondence with consultants, beneficiaries, MF SR, COs, UNDP BRC staff	
		Continuous monitoring of Programme activities and outputs conducted	-	2010-2014: Yes	3. Coordinating consultants activities		
		Programme mid-term review conducted	-	2011: Yes	4. Reviewing consultants outputs		
		Programme final evaluation conducted	-	2013: Yes	3. Continuous communication with beneficiaries, COs, MF SR and Poverty Reduction Practice Leader		
					4. Preparing programme mid-term review		
					5. Preparing programme final evaluation		
					6. Activities in Atlas system		

* Other activities conducted directly by Programme Manager are included in log-frames for Components 0, 2 and 3.

List of abbreviations

AB	Advisory Board
ARR	Annual Review Report
AWP	Annual Work Plan
CIS	Commonwealth of Independent States
COs	UNDP Country Offices
ENPI	European Neighbourhood and Partnership Policy
EU	European Union
IP	Implementation plan
IPA	Instrument for Pre-Accession
MF SR	Ministry of Finance of the Slovak Republic
MoFA	Ministry of Foreign Affairs
NA	Needs assessment
NGO	Non-government organisation
ODA	Official Development Assistance
QA	Quality Assurance
PB	Programme Board
PD	Programme Document
PF	Public Finance
PFM	Public Finance Management
PM	Programme Manager
SAIDC	Slovak Agency for International Development Cooperation
SR	Slovak Republic
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNDP BRC	United Nations Development Programme/ Bratislava Regional Centre