



JUSTICE FACILITY
A Bilateral Co-operation between the
Governments of Timor-Leste and Australia
2008-2013



Australian Government
AusAID

Performance Management Framework

Revised August 2010



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Specialists**

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Acronyms

AATL	Asosiasaun Avogados de Timor Leste (Lawyer Professional Association)
AAGW	Annual Activity Group Workplan
AusAID	Australian Agency for International Development
CJI	Core Justice Institution
CSO	Civil Society Organisation
DAC	Development Assistance Committee (OECD)
ETJSSF	East Timor Justice Sector Support Facility
FMG	Facility Management Group
FOM	Facility Operations Manual
GoTL	Government of Timor Leste
HQ	Head Quarter
M&E	Monitoring and Evaluation
MIS	Management Information System
MoF	Ministry of Finance
MoJ	Ministry of Justice
MQ	Monitoring Questions
NGO	Non-governmental Organisation
OPG	Office of the Prosecutor General
PMF	Performance Management Framework
PMS	Performance Management System
QAI	Quality At Implementation
SoS	Scope of Services
TAG	Technical Advisory Group
TLDP	Timor Leste Police Development Program

1. INTRODUCTION

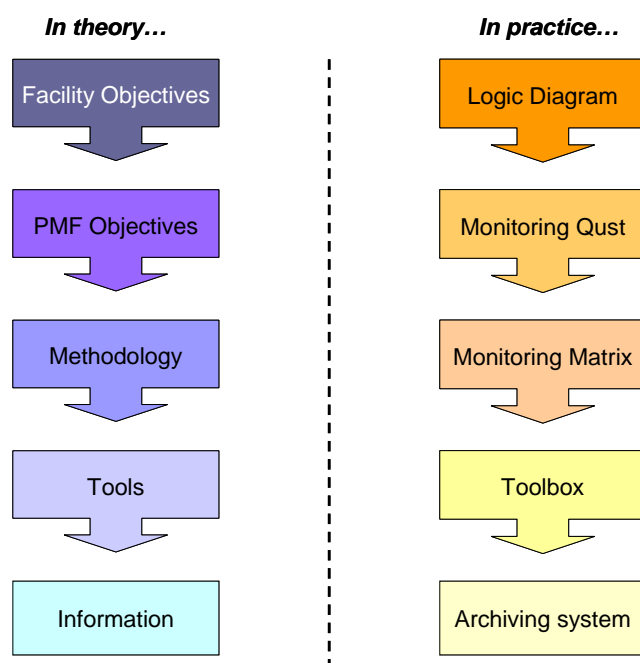
Background to this report

This document updates the Performance Management Framework (PMF) for the AusAID-funded East Timor Justice Sector Support Facility (ETJSSF) in Timor Leste, generally referred to as “the Justice Facility”. The revised PMF is based on the PMF version approved in November 2009 and reflects the revised structure of the Facility resulting from AusAID re-prioritisation in early 2010. It also reflects the fact that a suggested PMF coordinator will not be recruited anymore and therefore proposes a simplified monitoring framework based on a realistic assessment of the needs for accurate performance information and the available resource to provide it. As the previous PMF version, it takes into account and builds upon:

- An initial M&E Framework developed by the Effective Development Group¹ representative Laurent de Schoutheete and the Facility team, submitted in October 2008;
- A PMF workshop held in Dili in September 2009 with the participation of the Facility Manager (Craig Ewers), the Australian Project Manager (Mark Pruden), AusAID Asia Program Quality and Development Adviser (Graham Rady), GRM Australia Country Manager (Nick Clinch) and the M&E Adviser (Laurent de Schoutheete);
- Several meetings and consultations held in Dili with Darian Clark (AusAID First Secretary) and Antonio Vitor (AusAID Program Officer, Justice Initiatives);
- Consultations within the Justice Facility, TLPDP and with the UNDP Justice System Program.

Proposed methodology

The establishment of the PMF has followed the sequential steps represented in the figure below:



Once a common understanding of the Facility had been developed (step 1), the PMF objectives were clarified and formulated around monitoring questions related to OECD Development

¹ EDG is currently contracted by GRM under the Justice Facility contract to provide M&E technical direction and oversight.

Assistance Committee (DAC) criteria, which have been adopted by Australia and many other countries as a common evaluation standard for development assistance (step 2). Monitoring matrices were then developed (Step 3), together with specific tools for data collection and analysis (Steps 4). Finally an archiving system has been developed to structure and store the information collected (step 5) to allow easy access for report writing.

The Justice Facility is a complex intervention which consists of a series of concomitant activities, some of which are inter-related. The PMF faces the challenges of producing simple yet not simplistic messages on i) the achievement on outputs and outcomes, and ii) Facility management performance. To this end, the PMF combines two levels of information, specifically:

1. **Activity performance** – The achievements of activity outputs based on monthly adviser reports, quarterly grants progress reports, and other ad-hoc reports (e.g. subcontractors performance reports);
2. **Facility performance** - The achievement of (and performance in achieving) a range of expected facility outcomes assessed against the DAC Criteria, consistent with AusAID's Quality Reporting System.

Structure of this report

Based on these considerations, this document is structured as follow:

- Section 2 analyses the **logic of the Facility** and presents a common understanding of its structure and objectives as a basis for the PMF;
- Section 3 describes the process for monitoring **Activity outputs** based on the performance of advisers, grant recipients and subcontractors;
- Section 4 presents a methodology to monitor **Facility outcomes** based on the DAC criteria;
- Section 5 suggests a **plan to deliver the PMF** with specific roles and responsibilities for Facility Management Team members;
- Section 6 presents a **reporting schedule**.

2. ANALYSIS OF JUSTICE FACILITY LOGIC

The development of the PMF requires as a first step a holistic understanding of the Facility, i.e. the ‘full and contextualised picture’. The diagram (overleaf) presents the different levels of expected results of the Facility and illustrates the links between the outcomes and the activity groups. Three categories of facility outcomes are represented: immediate, intermediate and ultimate outcomes. The detail of the links between the immediate and intermediate outcomes is represented in diagrams of **Annex 1**.

This diagram interprets some of the explicit objectives of the original Facility design document and introduces new elements in light of the first two years of facility implementation in-country and AusAID re-prioritisation of the Facility in 2010. The different elements of the diagrams are:

- ❖ **Ultimate outcomes** referring to key objectives of the Justice Sector Strategic Plan for Timor-Leste.
- ❖ **Intermediate outcomes** corresponding to the purpose and component objectives levels of the original Facility design document. They were reformulated to reflect the thematic areas of the Justice Sector Strategic Plan for Timor-Leste (August 2009) as well as the priorities of the Facility after one year of implementation. A separate document has been prepared which maps Annex A of the Sector Strategic Plan against the Facility intermediate outcomes (Provided to AusAID in the JSSF Annual Workplan 2010).
- ❖ **Immediate outcomes** defined on the basis of the Facility’s expected contribution to the 17 goals of the Draft Justice Sector Strategic Plan for Timor-Leste (August 2009). This contribution was defined on the basis of an intense and on-going dialogue with key counterpart institutions and civil society organisations. Intermediate Outcome statements remained essentially domains of change or broad outcome/change statements.
- ❖ **Activity groups** defined on the basis of the previous Facility structure and in light of AusAID re-prioritisation of the Facility activities. A series of outputs were defined for each activity groups (cf. Annual Plan). Five different activity groups were defined across two components for the period 2010 – 13. Each of these activity groups represented a series of activities involving several advisers and sometimes different counterpart institutions. The following table presents the activity groups as defined in the PMF approved in 2009.

Justice Facility Activity Groups 2009		
Components	Activity Groups	Advisers
Comp 1 – Institutional Development	1.1 Support to Implementation of Sector Strategic Plan	Facility Manager , Executive Co-ordination Adviser (MoJ), Planning Facilitator, Activity Liaison Officer, Management and Finance Adviser (MoJ)
	1.2 Support to Institutions	Management and Finance Adviser MoJ , Senior Management Adviser (OPG) , Senior Management Adviser (Courts) , HR Adviser, Executive Co-ordination Adviser (MoJ), Civil Registration Adviser Finance Adviser (OPG and Courts), Case Management Project Team, Project

		Officer, Architect
Comp 2 – Access to Justice	2.1 Suai component of access to Justice program	Facility Manager , Activities Manager (Suai), Senior Management Adviser (Grants and Civil Society)
	2.2 Civil Society organisational development and promoting of justice	Senior Management Adviser (Grants and Civil Society) , Adviser Access to Justice Policy and Programs, Activity Liaison Officer
	2.3 Addressing violence against women	Adviser Access to Justice Policy and Programs , Senior Management Adviser (Grants and Civil Society), Activity Liaison Officer

The adoption of the Justice Sector Strategic Plan by GoTL should now form the basis for assessing relevance of the Facility. Rather than continuing with externally defined outcomes, the Facility intends to align its structure and reporting in the next annual planning period to:

- i) JSSP Thematic areas
- ii) Activities and strategies within the Justice Sector Strategic Plan.

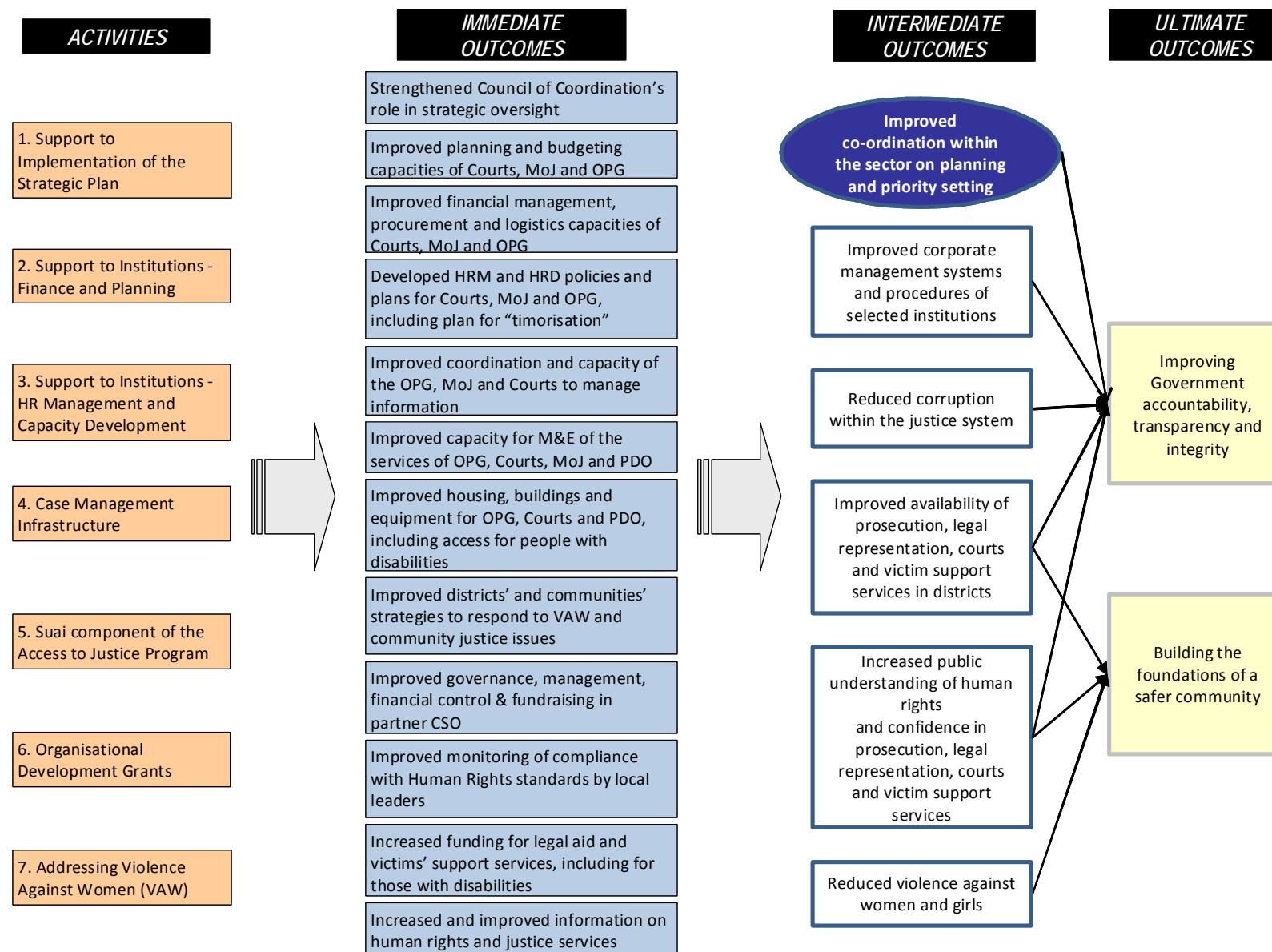
The JSSF activity groups have therefore now been translated into seven JSSF activities structured around the thematic areas of the GoTL Justice Sector Strategic Plan, as follows:

Justice Facility Activities 2010				
Thematic Area	Activities	Reference to previous Activity Group	Advisers	Principal Partners
1. Institutional Development	1. Support to Implementation of the Strategic Plan 2. Support to Institutions - Finance and Planning	1.1 1.2	<ul style="list-style-type: none"> Facility Manager Executive Coordinator, Activity Liaison Officer 	UNDP
2. Legal Reform	Not involved			
3. Human Resources	3. Support to Institutions - HR Management and Capacity Development	1.2	<ul style="list-style-type: none"> HR Adviser HR Assistants 	UNDP
4. IT & Infrastructure	4. Case Management Infrastructure	1.2 1.2	<ul style="list-style-type: none"> Senior Management Adviser (OPG) Carlos TL, Apoli 	UNDP
5. Access to Justice	5. Suai component of the Access to Justice Program	2.1	<ul style="list-style-type: none"> Senior Management Adviser (Grants 	UNDP, Asia Foundation, and others

	6. Organisational Development Grants	2.2	and Civil Society)	
	7. Addressing Violence Against Women (VAW)	2.2 2.3	• Adviser, Access to Justice Policy and Programs, Activity Liaison Officers	

This new structure will allow the Facility to draw on reports on these activities which are submitted to the national institutions (eg National Priorities). It should be noted that Thematic Areas 1, 3 and 4 relate directly the AusAID's Governance objective and Thematic Area 5 to the Safer Communities objective (although there is overlap) as specified in the Australia-Timor Leste Country Strategy 2009 – 2014.

East Timor Justice Sector Support Facility Planning Framework 2010



3. MONITORING PERFORMANCE OF ACTIVITIES

Activities outputs are delivered through a range of modalities, all of which are subject to monitoring processes.

Advisers

International and Timorese advisers and Timorese project officers, liaison officers and staff are all subject to a comprehensive selection and performance assessment processes. The Facility has been working with UNDP to improve adviser selection and management processes, and make assessment more consistent and better linked to capacity building. Advisers are expected to develop annual workplan based on the template provided in Annex 3. They report monthly to the facility manager, detailing the level of achievements of their planned outputs and outlining challenges and works performed outside of their workplan. These advisers monthly progress reports (cf. template in Annex 4) remain internal management documents and are not submitted to AusAID. In addition annual performance assessment of advisers and project officers involves interviews with relevant counterparts. Results of these interviews are recorded in the pro-forma performance assessment form (Annex 5), which is provided to advisers, and summarised in the pro-forma summary assessment (Annex 6), which is provided to AusAID and relevant head of institutions.

Grant Recipients

Grant recipients are also subject to a rigorous pre-qualification and assessment process (cf. Grants Assessment Summary in Annex 7), involving GoTL, AusAID and a civil society representative. Grants above \$40,000 require FMG approval; smaller grants are approved by the FM. Recipients are required to report quarterly on activity performance (cf. Quarterly Report on Grant Progress in Annex 8), assisted where necessary by Facility advisers. Information from these reports will feed into activity reports and six monthly and annual reports (see below). On an annual basis, an assessment on the progress of the Grant activities to date will be conducted and a report provided. There will be active involvement and monitoring of grant recipients by advisers during implementation, both on management issues and on activity delivery. Grants have a capacity development objective, as well as being an important modality for implementation.

Sub-contractors

Sub-contractors are required to produce planning documentation and milestone reports and evidence of completion as specified in the contracts against the planned outputs. These reports are reviewed by the relevant supervising adviser, the Facility Finance and Administration Manager, the Facility Manager and, where relevant, by the head of the counterpart institution. On large sub-contracts, AusAID may also review reports.

The table below presents the different planning and monitoring tools at activity level and templates are provided in annexes.

JSSF Planning and Monitoring Toolbox		
Category	Planning	Monitoring
Activity	Adviser Annual Workplan * (Annex 3), aligned with Justice Sector Strategic Plan.	Activity Status Report * (Annex 4) Adviser Monthly Progress Report * (Annex 4)
		<ul style="list-style-type: none"> • Advisers Annual Performance Assessment * (Annex 5) • Annual Advisers Assessment Summary (Annex 6)
		<ul style="list-style-type: none"> • Minutes of CoC Meetings, National Priorities & informal Donor Working Groups
	Grants Assessment Summary * (Annex 7)	<ul style="list-style-type: none"> • Quarterly Report on Grant Progress * (Annex 8) • Annual Grants M&E Report
	Activity Planning documentation (subcontractors)	Milestone Reports, as agreed in the activity/subcontractor M&E framework

* Internal document – Not submitted to AusAID

5. MONITORING PERFORMANCE OF FACILITY

Performance Monitoring requires the Facility to demonstrate progress against the intermediate outcomes of the Facility Logic Diagram. Causal links that need to be verified are those between activities, immediate outcomes and intermediate outcomes. Causal links to and between the ultimate outcomes cannot be controlled, but rather influenced or appreciated.

For each of the six intermediate outcomes in the Facility logic diagram, a set of expected immediate outcomes have been defined, the integrated analysis of which will allow to:

1. Report and reflect on important preliminary or immediate achievements (which are necessary steps for, or expected to lead to, achievement of Intermediate Outcomes); and
2. Aggregate results of these achievements allowing us to make reasonable judgements on the achievement of Intermediate Outcomes.

At the immediate outcomes level performance management will be analysed on an annual basis against the DAC criteria of relevance, effectiveness, sustainability and efficiency, which are consistent with AusAID's Quality Reporting System (impact has been omitted due to the long-term nature of information it requires). The following table explains what would be assessed under each criterion, suggesting indicative questions to make this assessment.

Monitoring Questions	
DAC Criteria	Indicative questions
Relevance	<ul style="list-style-type: none">• Has the context changed and should we do something new/different? How do we know?• What have we learnt? How has this learning impacted our priorities?• Does it correspond to a perceived/real need?• Is this a true priority?• How does it address disability and other cross-cutting issues?
Effectiveness	<ul style="list-style-type: none">• What changes have been achieved with respect to the immediate and intermediate outcomes?• What's the evidence that men and women, including the disabled, have benefited equitably from these changes?• How do we manage the potential for conflicts (between institutions, donors, etc.)?• What should we do differently to improve our achievements?• How do we know?

Efficiency	<ul style="list-style-type: none"> • What modalities have we used to achieve the immediate outcome? How else could we have done? • How have we delivered assistance? Why? Are we on schedule? What have been the challenges and constraints? How could it be improved? • What management systems and processes are in place to support our work? How do we coordinate with other donors? E.g. Adviser performance management, risks management, communication/relationship management, team coordination, financial & admin support to adviser, information management, recruitment and selection, etc. • How do we know?
Sustainability	<ul style="list-style-type: none"> • What political, financial and staffing support/commitment have we induced/benefited from? • What is the counterpart capacity to maintain the changes of our activity? • What other factors influence the sustainability of these changes? • How can we improve the sustainability of these changes? • How do we know?

Reporting on the Facility Performance will essentially involve answering the monitoring questions for each immediate outcome. Assessing performance management against the DAC criteria will be made possible by the consultation and analysis of various pre-defined sources of information. As described in Section 4, the advisers monthly progress reports, the quarterly report on grant progress and the subcontractor activity monitoring report will all be valuable sources of information. However to complement these monitoring tool, a series of discussion will be held throughout the year and specific interviews will be organised during monitoring missions that will precede the submission of annual M&E reports. Minutes of the weekly meeting with AusAID (Annex 11) and of discussions held with counterparts, including FMG, will be prepared by the Facility Manager and disseminated to AusAID.

Answers to the monitoring questions will be collated per intermediate outcomes and articulated in monitoring matrices. The matrices in **Annex 12** present a template to collect data against each intermediate outcome, including the respective immediate outcomes, the appropriate sources of information and some risks & assumptions. Sources of information are included in the matrices on an indicative basis. Almost all sources already exist. Foreseen risks and assumptions will often help to identify potential reasons in advance so they can be addressed. The monitoring matrices will be reviewed annually, to match respective adjustment made to the Facility Logic Diagram, to assess the pertinence, availability and accuracy of sources of information and to redefine risks and assumptions relevant to the Facility context. These matrices are intended as a guide to analyse the information, leading to the development of the Annual M&E Report.

The toolbox presented below gives an overview of the suggested monitoring tools at Facility level.

JSSF Planning and Monitoring Toolbox		
Level	Planning	Monitoring
Facility	<ul style="list-style-type: none"> Facility Implementation Framework Facility Annual Plan 	Notes of weekly meeting with AusAID (Annex 11)
		Notes of meeting with counterparts, including FMG/Council of Coordination
		Minutes of joint consultation with Counterparts
		Interviews/Discussions with Key counterparts Sources defined in monitoring matrices

6. REPORTING SCHEDULE

The Facility team will submit each year to AusAID the following reports associated with performance management:

1. Annual Advisers Assessment Summary

Adviser performance assessments for core personnel are conducted on an annual basis, incorporating feedback from both the Facility and counterpart agencies. Summaries of key performance findings will be provided to AusAID once the assessments are concluded. Template of the adviser performance assessments summary is provided in **Annex 6**.

2. Notes of weekly meeting with AusAID

A template for these notes is attached in **Annex 11**. Updates to the list of issues to be discussed, including those highlighting in monthly activity reports, as well as notes of these meetings will be circulated as soon as practical. The order of priority to address the issues is determined at the meetings.

3. Notes of meeting with counterparts, including FMG/CoC

Notes/minutes from regular counterpart meetings and forums, including the FMG, capturing conclusions, recommendations and feedback.

4. Notes of joint consultation with Counterparts

Notes/minutes from annual joint consultations with AusAID and other FMG members to review Facility performance and direction, in line with the GoTL and AusAID priorities.

5. Six-Monthly Performance Report

The six-monthly performance report will be produced as a stand-alone document in June each year. This report will analyse management performance of the Facility for the preceding six month period and will provide a summary of activity performance against their annual workplan. It will identify issues, delays and actions taken, and risk management strategies. This report will be drafted by the Facility Manager in collaboration with the M&E Adviser, and be submitted for approval to AusAID.

6. Annual Performance Report

The Annual Performance Report (due in November each year) will detail lessons learned from the Facility achievement and management performance over a year and will outline considerations for potential improvement. The report will also review the PMF methodology and suggest necessary amendments. The structure of the Annual Performance Report is presented in **Annex 13**. This report will be drafted by the M&E Adviser, in collaboration with the Facility Manager and Australian Project Manager, and will be produced ahead of the Annual Plan to provide relevant information for the Facility planning process. It will be submitted for approval to AusAID. The last Annual

M&E report will be the final Activity Completion Report (ACR) which will summarise messages of the previous Performance Reports, include evidence of achievement of outcomes at the end of the Facility and suggest recommendations for further engagement.

7. Update on the Annual Performance Report

The Update on the Annual Performance Report provides a succinct update on the Facility performance in January, by the inclusion of comments against the Annual Report using 'track changes', in time for the QAI reporting requirement for AusAID HQ. The messages will be presented per DAC criteria and will complement the last Annual PMF report with up-to-date information. This report will be prepared by the Facility Manager, with quality assurance by the M&E adviser as necessary.

The succession of reports is shown in the schedule below. The JSSF Planning/Reporting cycle has been designed with the intention of feeding into the GoTL and AusAID cycles.

Planning/Reporting Cycles			
Months	JSSF	GoTL	AusAID
Jan	M&E Update for QAI	Departmental Evaluations	
Feb			QAI
Mar			APPR + CPA
Apr			
May			BUP
Jun	6-Monthly M&E Report		
Jul		GoTL Annual Action Plans	
Aug			
Sep			
Oct			
Nov	Annual M&E Report		CPA
Dec	Annual Plan		

7. DELIVERING THE PMF

The following table summarises the different steps to implement the suggested PMF. The table shows the different tasks and responsibilities for implementation. The table suggests a structure in which PMF information will be collected, synthesised, analysed and reported on.

PMF Implementation Steps				
#	Tasks	Responsibilities	Schedule	Deliverables
1	Monitor progress of activities	- Advisers	Monthly	Monthly Adviser Progress Reports*
		- Grants Recipients	Quarterly	Quarterly Report on Grant Progress *
		- Subcontractors	TBD	Subcontractor Activity Monitoring Report
2	Monitor progress of Facility	- Facility Manager	Weekly or as meetings are scheduled	Notes of meeting with AusAID
			Ad-hoc	Notes of meeting with counterparts, including FMG
3	Collect all relevant progress reports, notes and documents	- Project Officer as assigned by the Team Leader	Ongoing	Consolidated report for editing
4	Populate PMF matrices and Select key information per matrix	- M&E Adviser - Facility Manager - Australian Project Manager	6-monthly (June and November)	
5	Discuss, validate and analyse key information with advisers, counterparts and stakeholders			
6	Consolidate analysis per evaluation criteria			
7	Draft PMF report			- PMF Six-monthly Report - PMF Annual Report

8	Apply lessons learnt from PMF	- Facility Manager - Australian Project Manager	December	- Facility Annual Plan
9	Draft PMF update for QAI	- Facility Manager - M&E Adviser (QA)	January	- PMF Update

* Internal document – Not submitted to AusAID

The PMF is first and foremost a program management tool. It will provide the Managing Contractor, AusAID and FMG members with the necessary information to make informed decisions about the direction of the Facility. In this way the information collected and reported in the PMF reports should ultimately - but not uniquely - serve the purpose of informing the annual workplan process. All members of the Facility team will be involved in the implementation of the PMF.

- ❖ The **Advisers** have a crucial role in liaising with counterparts and monitor the achievement of their activity outputs. They will be responsible for ensuring that key counterparts are involve in monitoring activities, using the PMF as part of the capacity development process, and that when reviews of the PMF are conducted at the annual planning stage, key counterparts are invited and have the capacity to contribute to the review process.
- ❖ A **Project Officer**, as assigned by the Team Leader, will collect information in a way that is readily accessible at all times, especially when its time to prepare the Six-Monthly and Annual Performance Reports.
- ❖ The **Facility Manager** will be responsible for briefing the Facility team and key counterparts on the nature and function of the PMF and the **M&E Adviser** will provide specific expertise in facilitating the analysis of the collected performance information and writing the Six-Monthly and Annual Performance Reports.
- ❖ The **Facility Manager** and key Counterparts, together with the **Australian Project Manager** will ensure PMF messages and lessons learned are incorporated adequately in the Facility annual planning process and as such be involved in the PMF steering and revision, as necessary.

The PMF is intended to contribute to institutional capacity building in M&E, one of the Facility's immediate outcomes. In addition to the Facility team, the PMF approach relies on stakeholders' involvement. Key counterparts are expected over time to have an increasing role in defining, collecting, interpreting and disseminating the information as part of building their own understanding of performance management. This will be important as they move into implementation of the Sector Strategic Plan, their own annual plans and staff performance evaluation processes required by the Civil Service Commission. It is therefore crucial to share and explain the PMF concepts with partners, encourage and incorporate input, clarify their needs from the PMF and, through its implementation, demonstrate the value of the PMF for the management of performance in the sector. In particular, the updating of the workplans, which drives the PMF, is critical and relies on the counterparts' engagement and agreement with the appropriate advisors.

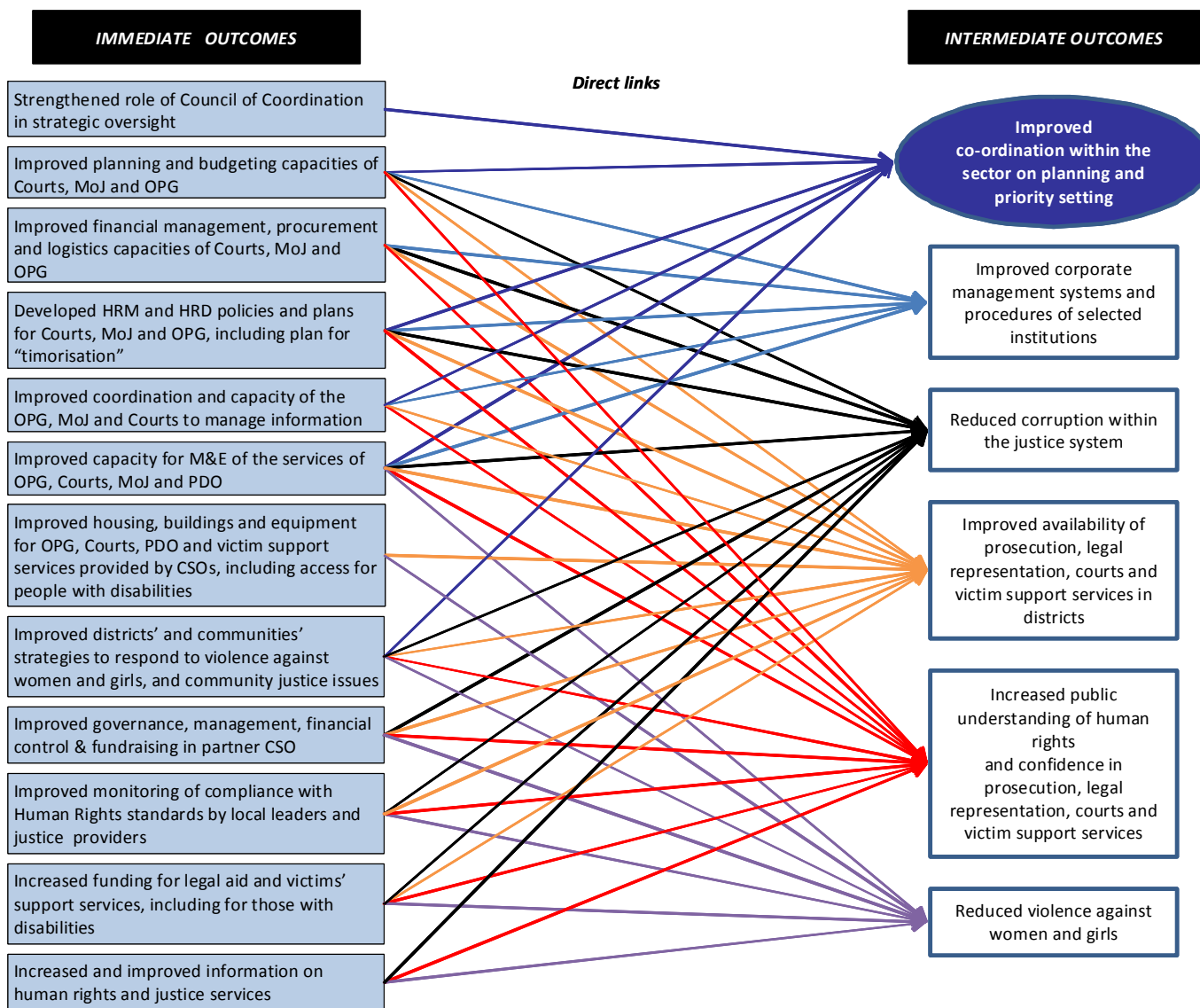
This is consistent with the Facility's leadership role to date in demonstrating planning and performance management ideas using the Facility as an example, and then extending the ideas into the partner institutions. To do this successfully will require consistency and co-operation with donor partners, which is beginning to develop, particularly with the UNDP Justice System Program, which with the Facility accounts for about 70% of support (Portugal provides in line legislative drafting advisers on secondment from the Ministry of Justice in Portugal).

Civil society organisations who become grant partners (estimated 40 organisations), like advisers, will be required to understand and report into the PMF, in their case quarterly. They will be assisted in reporting by advisers and their data will be fed into Performance Reports along with Advisers Monthly Progress Reports. The Annual Grants Assessment Report will consolidate these and ensure continuous improvement.

Annexes

Annex 1

Justice Facility Outcomes Logic Diagram



Annex 2

Adviser Annual Workplan

ANNUAL WORK PLAN INCLUDING CAPACITY DEVELOPMENT

Name of Adviser - Year

Immediate Outcomes	Outputs	Description of current level of capacity (beginning of year)	Description of target level of capacity (end of the year)	Description of target level of capacity (2013)	Approach to develop capacity	Advisers and counterparts responsible (<i>lead</i>)

Annex 3

Adviser Monthly Progress Report

Activity Status Report - to be contributed to by the four teams across:

1. Case Management
2. Corporate Services
3. Access to Justice
4. Facility Management

Date first raised	Raised by	Issue	Status	Agreed Action	To be actioned by

ADVISER MONTHLY PROGRESS REPORT (ADVISER NAME:)

Part I – Progress

Outputs from Workplan	Progress towards achievement of outputs ²	Description of target level of capacity (end of the year)	Achievements against capacity development target (cumulative)	On target ?	Comment/Actions required

Part II - Work requested / completed that is outside the Work Plan

Work	Requested By	Performed by	Link to Facility Outcome(s)	Progress / Recommendations

Part III - Other performance management issues

Brief Description	Relevance to the Facility	Suggested approach / response

² Please attach relevant documents as evidence of outputs achieved during this month, e.g. annual action plan of institution.

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Part IV – List of Attachments (if applicable)

Annex 4

Annual Performance Assessment (Advisers and other Staff)

NAME:

PERIOD:

1. Assessment against TORs from contract

Justice Facility Professional Staff Appraisal Form (for personal and Facility development)			
Responsibility (refer to TOR)	Self-appraisal – brief narrative (in relation to portfolio responsibilities)	Counterparts Comment (discussed with employee)	Facility Manager Comment (discussed with employee)
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			

ii. Significant Changes since Appointed (Employee)

Please identify one significant change you have helped to create since you were appointed. Explain what the situation was at first and what it is now.

iii. Significant Changes since Appointed (Counterparts)

Please identify one significant change the adviser has helped to create since appointed. Explain what the situation was at first and what it is now.

Professional Development Needs to Support Employee Performance:	Signed: _____
---	---------------

Other Comments by Employee:	Signed: _____
-----------------------------	---------------

Other Comments by Counterparts:	Signed: _____
--	---------------

Other Comments by Facility Manager:	Signed: _____
--	---------------

Signature:
(Employee)

Signature:
(Appraiser)

Annex 5

Annual Advisers Assessment Summary

ADVISER PERFORMANCE ASSESSMENT - SUMMARY

Name of Adviser	Position	Date	<p data-bbox="727 409 863 443">Summary</p> <p data-bbox="727 477 1018 555">Significant Change – Identified by Adviser</p> <p data-bbox="727 768 1102 801">Identified by Counterpart –</p> <p data-bbox="727 1055 975 1133">General Summary Counterparts –</p> <p data-bbox="727 1379 799 1413">FM -</p>
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Annex 6

Grants Assessment Summary



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2008-2013



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GRANT ASSESSMENT SUMMARY

Name of Partner Organisation		
Name of Project		
Grant Number		
Project Category (tick)	<input type="checkbox"/>	Organisational Development
	<input type="checkbox"/>	Violence against women and girls
	<input type="checkbox"/>	Information and education on human rights and justice
	<input type="checkbox"/>	Suai Access to Justice Program
	<input type="checkbox"/>	AATL
Funding requested		
Funding proposed		
Term of funding (with comments)		
Recommendation	<input type="checkbox"/>	Project fit to proceed to selection – no interview required
	<input type="checkbox"/>	Clarification required – panel to interview CSO representative (person who signed off on application). Concerns to clarify:

		Project not fit to proceed to selection. Reasons:
--	--	---

1. Project Summary

[illegible]

2. Relevance to Immediate Outcomes

Relevant Outcomes (tick each one)		Expected Results
<input type="checkbox"/>	Improved housing, buildings and equipment for OPG, Courts, PDO and victim support services provided by CSOs, including access for people with disabilities	
<input type="checkbox"/>	Improved districts' and communities' strategies to respond to violence against women and girls, and community justice issues	
<input type="checkbox"/>	Improved monitoring of compliance with Human Rights standards by local leaders and justice providers	
<input type="checkbox"/>	Strengthened policy and legislation for legal aid, and protection of women and girls from violence, including cooperation between agencies	
<input type="checkbox"/>	Established alternatives to formal justice processes for non-violent offences	
<input type="checkbox"/>	Increased funding for legal aid and victims' support services, including for those with disabilities	
<input type="checkbox"/>	Increased and improved information on human rights and justice services	

3. Risks

Brief Description	Relevance to the Project	Suggested approach / response

Annex 7

Quarterly Report on Grant Progress



JUSTICE FACILITY
A Bilateral Co-operation between the
Governments of Timor-Leste and
Australia
2008-2013



Australian Government
AusAID

**QUARTERLY PROGRESS REPORT
JUSTICE FACILITY
ACCESS TO JUSTICE GRANTS PROGRAM**

Name of Partner Organisation	
Name of Project	
Grant Number	
Lead Adviser from Justice Facility	
Implementation / reporting period	

Date registered (initial)	
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4. Summary of Progress (“The story so far”) :

5. Good News Story (Case Study)

6. Relevant Events, Changes and Risks

Brief Description	Relevance to the Project	Suggested approach / response

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7. Progress towards outcome

Outcome	Relevant Targets*	Outputs &	Progress during Period	On Target?	Action Required if not on target

*If outputs represent milestones for payment purposes, evidence of achievement must be provided and certified by the Facility Manager or delegate

8. Financial overview

Agreed Milestone Description	Category of funds	Grant Funds Approved	Grant Funds Spent	Grant Funds Remaining
	Organisational			
	Direct Activity			
	Organisational			
	Direct Activity			
	Organisational			
	Direct Activity			
	Organisational			
	Direct Activity			
TOTAL (\$US)				
TOTAL (\$A)				

Comments:

By Partner CSO	By Lead Adviser

Annex 8

Subcontractor Activity Design Document

JUSTICE FACILITY - ACTIVITY DESIGN DOCUMENT

Title:	
Partner/Client:	
Proponent:	
Program theme(s)	
Duration:	
Budget range:	

BACKGROUND AND RATIONALE

CONTRIBUTION TO FACILITY OUTCOMES

Outcomes	Contribution

Expected outputs from this activity are:

DELIVERY PARTNER -

ACTIVITY DESCRIPTION

TIMELINE FOR ACTIVITY

PROPOSED FUNDING

CONCLUSION (VALUE FOR MONEY)

Annex 9

Subcontractor Activity Monitoring Report

**TO BE DEVELOPED SUBSEQUENT TO THE DEVELOPMENT OF THE M&E
FRAMEWORK FOR THE INTEGRATED INFORMATION MANAGEMENT
SYSTEM PROJECT**

Annex 10

Notes of Weekly AusAID Meeting

Record of Weekly Meeting with AusAID and Facility Manager

Date	
Attendance	
Apologies	

Issues Discussed

Date first raised	Raised by	Issue	Relevant Immediate Outcome (if applicable)	Status	Agreed Action

Annex 11

Justice Facility Monitoring Matrices

MONITORING MATRIX 1 – IMPROVED SECTOR COORDINATION ON PLANNING AND PRIORITY SETTING

Information Sources	Monthly activity reports , Relevant Advisers performance assessment summaries, Sector Strategic Plan, Situational Analyses, CoC minutes, Suai situational analysis, Suai Steering Committee minutes, Agreed policies, Other reports				
Immediate Outcomes	Risks & Assumptions	Relevance	Effectiveness	Sustainability	Efficiency
1. Strengthened Council of Coordination's role in strategic oversight	Participation and leadership of CoC members to build consensus and remained focused on long term development of the sector; perception of equality of influence; regularity of meetings; co-operation with others demanding CoC time; recruitment of Timorese staff; legal recognition of Secretariat.				
2. Improved planning and budgeting capacities of Courts, MoJ and OPG	National staff in place with capacity. Access to Free Balance system. Template of MoF keeps changing. MoF requirement for English. Committed participation of leaders, managers and staff. Change of Government budget policy and national priorities (eg justice currently high). Inclusion of revenue collection.				
3. Improved co-ordination and capacity of the OPG, MoJ and Courts to manage information	UNDP meets infrastructure support commitments. CoC functions to bring institutions together to co-ordinate development, allocate the required resources, define protocols (eg compatibility in data numbering system) and develop policy regarding security and information exchange.				
4. Improved capacity for M&E of the services of OPG,	Reports on progress not compulsory for OPG and Courts; this means that they are not produced routinely. Assumption that leaders call for and use reports as part of their management. Information collection systems				

Courts, MoJ and PDO	in place.				
5. Developed HRM and HRD policies and plans for Courts, MoJ and OPG, including plan for “timorisation”	Working group members will attend and participate, Agencies will support attendance at working group. Senior officers will be able to articulate their plans for “timorisation” and timelines Sufficient support for implementation and training for policies and procedures Institutions will have sufficient committed staff to implement policy and procedures				
6. Improved districts’ and communities’ strategies to prevent and respond to violence against women and girls and community justice issues	Continued support of Suai Steering Committee and MoJ, especially Court. Adequate capacity provided by Facility to support activities and co-ordination until local capacity built. Community participation in activities and in planning and decision making. Support of key stakeholders including police and community leaders.				

MONITORING MATRIX 2 - Improved corporate management systems and procedures of selected institutions

Information Sources	Monthly Activity Reports , Relevant Advisers performance assessment summaries, Justice Sector Assessment 2009, Sector Strategic Plan, Situational analysis for sector HR, sector Finance, MoJ, Courts, OPG, Minutes of joint consultation with Counterparts Notes of meeting with counterparts, including FMG, Institutions’ budgets and execution plans, Other reports if relevant				
Immediate Outcomes	Risks & Assumptions	Relevance	Effectiveness	Sustainability	Efficiency
1. Improved planning and budgeting	National staff in place with capacity. Access to Free Balance system. Template of MoF keeps changing. MoF requirement for English.				

capacities of Courts, MoJ and OPG	Committed participation of leaders, managers and staff. Change of Government budget policy and national priorities (eg justice currently high). Inclusion of revenue collection.				
2. Improved financial management, procurement and logistics capacities of Courts, MoJ and OPG	National staff are in place and trained. Procurement and finance/payment processes are transparent and follow the law. MoF provides clear guidelines to line Ministries and these are made known to staff. Leaders and staff are committed to eliminate corruption from procurement and finance/payment processes, and take disciplinary action where staff breach law or procedure.				
3. Developed HRM and HRD policies and plans for Courts, MoJ and OPG, including plan for “timorisation”	Civil Service Commission issues clear overarching guidelines as a base for Ministerial procedures. Institutions and Senior Management will follow the Laws and the policies and procedures and will take action when officers do not do so. Suitable counterparts will be appointed in each institution to enable implementation of policy and procedure.				
4. Improved coordination and capacity of the OPG, MoJ and Courts to manage information	UNDP meets infrastructure support commitments. CoC functions to bring institutions together to co-ordinate development, allocate the required resources, define protocols (eg compatibility in data numbering system) and develop policy regarding security and information exchange.				
5. Improved capacity for M&E of the services of OPG, Courts, MoJ and PDO	Reports on progress not compulsory for OPG and Courts; this means that they are not produced routinely. Assumption that leaders call for and use reports as part of their management. Information collection systems in place.				

MONITORING MATRIX 3 - Reduced corruption within the justice system

Information Sources	Monthly Activity Reports , Relevant Advisers performance assessment summaries, Justice Sector Assessment 2009, Sector Strategic Plan, Situational analysis for sector HR, sector Finance, MoJ, Courts, OPG, Minutes of joint consultation with Counterparts, Notes of meeting with counterparts, including FMG, Institutions' budgets and execution plans, Other reports if relevant				
Immediate Outcomes	Risks & Assumptions	Relevance	Effectiveness	Sustainability	Efficiency
1. Improved planning and budgeting capacities of Courts, MoJ and OPG	National staff are in place and trained. Planning and budgeting processes are transparent and based on accurate information drawn from Free Balance and other sources. Leaders and staff are committed to eliminate corruption from planning and budgeting processes.				
2. Improved financial management, procurement and logistics capacities of Courts, MoJ and OPG	National staff are in place and trained. Procurement and finance/payment processes are transparent and follow the law. Leaders and staff are committed to eliminate corruption from procurement and finance/payment processes.				
3. Developed HRM and HRD policies and plans for Courts, MoJ and OPG, including plan for "timorisation"	Central agencies will confirm procedures to enable agencies to function (e.g. delegations from CSC regarding recruitment), systems and procedures will work fast enough to enable agencies to recruit and appoint suitable staff				

4. Improved capacity for M&E of the services of OPG, Courts, MoJ and PDO	Reports on progress against annual plan targets and service delivery in place to show if budget is being utilised and guard against misappropriation. Leadership commitment to transparency will help avoid corruption.				
5. Improved districts' and communities' strategies to respond to violence against women and girls, and community justice issues	Steering Committee members accept role in monitoring and actively campaigning against corruption within their communities				
6. Improved governance, management, financial control & fundraising in partner CSO	CSOs commit to removing corruption within their own organisations and reporting instances of corruption which they identify in the sector. CSOs have in place processes for preventing and dealing with corruption.				
7. Improved monitoring of compliance with Human Rights standards by local leaders and justice providers	Monitoring activities identify and report on instances of corruption and abuse of power at local levels and by justice officials. CSOs reporting corruption are protected from Government sanction and have a proper channel for pursuing allegations.				

8. Increased funding for legal aid and victims' support services, including for those with disabilities	Legal aid organisations have increased funding to allow them to pursue claims of corruption made by victims and the OPG has the capacity to investigate and prosecute with such claims in a timely manner.				
9. Increased and improved information on human rights and justice services	CSOs and Government are willing to disseminate information on corruption and encourage communities to report				

MONITORING MATRIX 4 - Improved availability of prosecution, legal representation, courts and victim support services in districts					
Information Sources	Monthly Activity Reports , Relevant Advisers performance assessment summaries, Justice Sector Assessment 2009, Sector Strategic Plan, Situational analysis for sector HR, sector Finance, MoJ, Courts, OPG, Minutes of joint consultation with Counterparts, Case statistics, case monitoring reports, Notes of meeting with counterparts, including FMG, Institutions' budgets and execution plans, Other reports if relevant				
Immediate Outcomes	Risks & Assumptions	Relevance	Effectiveness	Sustainability	Efficiency
1. Improved planning and budgeting capacities of Courts, MoJ and OPG	Planning and budgeting processes involve all staff involved in services so that they ensure they have the necessary resources.				
2. Improved financial management, procurement and	Procurement and financial management are delegated or enough qualified staff are provided in central areas so that district services are				

logistics capacities of Courts, MoJ and OPG	supplied adequately.				
3. Developed HRM and HRD policies and plans for Courts, MoJ and OPG, including plan for “timorisation”	Organisation structures include sufficient support staff for district services and recruitment processes are designed to attract staff to districts				
4. Improved coordination and capacity of the OPG, MoJ and Courts to manage information	UNDP meets infrastructure support commitments. CoC functions to bring institutions together to co-ordinate development, allocate the required resources, define protocols (eg compatibility in data numbering system) and develop policy regarding security and information exchange. Adequate communication at a local level between police, prosecution, defence and courts.				
5. Improved capacity for M&E of the services of OPG, Courts, MoJ and PDO	Reporting systems in place to record and analyse case information from all services.				
6. Improved housing, buildings and equipment for OPG, Courts and PDO, including access for people with disabilities	Senior management will support access issues and policies to support access for staff and clients with disabilities				
7. Improved districts’ and communities’ strategies	Steering Committee members monitor changes in service delivery and impacts on crime				

to respond to violence against women and girls, and community justice issues					
8. Improved governance, management, financial control & fundraising in partner CSO	CSOs adopt more effective governance and management practices thereby increasing funding opportunities and improving service delivery.				
9. Improved monitoring of compliance with Human Rights standards by local leaders and justice providers	Monitoring is in place and the results are used to inform management and lead to improvements in service delivery.				
10. Increased funding for legal aid and victims' support services, including for those with disabilities	Funding is available for legal aid services. Legal aid and victim services have capacity to use funding to increase services. There are sufficient private lawyers and victim support staff to provide services.				

**MONITORING MATRIX 5 - Increased public understanding of human rights
and confidence in prosecution, legal representation, courts and victim support services**

Information Sources	Monthly Activity Reports , Relevant Advisers performance assessment summaries, Justice Sector Assessment 2009, Sector Strategic Plan, Situational analysis for sector HR, sector Finance, MoJ, Courts, OPG, Minutes of joint consultation with Counterparts, community surveys, Notes of meeting with counterparts, including FMG, Institutions' budgets and execution plans, Other reports if relevant
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Immediate Outcomes	Risks & Assumptions	Relevance	Effectiveness	Sustainability	Efficiency
1. Improved planning and budgeting capacities of Courts, MoJ and OPG	Commitment to greater dissemination is reflected in effective strategies which are funded.				
2. Improved financial management, procurement and logistics capacities of Courts, MoJ and OPG	Dissemination activities are adequately funded. Where provided through partnerships with civil society, proper funding arrangements are in place.				
3. Developed HRM and HRD policies and plans for Courts, MoJ and OPG, including plan for “timorisation”	There are sufficient staff in Government and civil society who are competent in designing and implementing information programs. The staff have the time and resources to reach all areas.				
4. Improved coordination and capacity of the OPG, MoJ and Courts to manage information	Agencies co-operate in terms of key messages about the justice system and how they are disseminated. CoC plays a role in oversighting communication.				
5. Improved capacity for M&E of the services of OPG, Courts, MoJ and PDO	Reporting systems provide information which can be used to inform the public on the performance of the sector in service delivery. Leadership is willing to be open about performance.				
6. Improved districts’ and communities’ strategies to respond to violence against women and girls	Steering Committee members committed to informing constituents about justice issues and initiating activities to increase knowledge and build confidence. Steering Committee members feel confident to raise concerns about the justice system in				

and community justice issues	order to find solutions.				
7. Improved governance, management, financial control & fundraising in partner CSO	CSOs are committed to management and governance reforms in order to improve service delivery.				
8. Improved monitoring of compliance with Human Rights standards by local leaders	Monitoring in place and action taken when instances of non-compliance are identified.				
9. Increased funding for legal aid and victims' support services, including for those with disabilities	Funding is available for legal aid services. Legal aid and victim services have capacity to use funding to increase services. There are sufficient private lawyers and victim support staff to provide services.				
10. Increased and improved information on human rights and justice services	Co-ordinating strategy in place within Government to check content and determine most efficient and effective means of distribution. Adequate expertise and funding available to deliver programs to all areas. Strong networking with civil society to ensure consistency and reach.				

MONITORING MATRIX 6 – Reduced violence against women	
Contributing intermediate	Thematic Analysis of MM4 and 5

outcomes					
1.Increased public understanding of human rights and confidence in prosecution, legal representation, courts and victim support services					
2. Improved availability of prosecution, legal representation, courts and victim support services in districts					
Information Sources	Monthly Activity Reports , Relevant Advisers performance assessment summaries, Justice Sector Assessment 2009, Sector Strategic Plan, Situational analysis for sector HR, sector Finance, MoJ, Courts, OPG, Minutes of joint consultation with Counterparts, case statistics, Suai meeting minutes, community surveys, Notes of meeting with counterparts, including FMG, Institutions’ budgets and execution plans, Other reports if relevant				
Immediate Outcomes	Risks & Assumptions	Relevance	Effectiveness	Sustainability	Efficiency
1. Improved capacity for M&E of the services of OPG, Courts, MoJ and PDO	Services regarding VAW specifically monitored. Commitment by leaders to address VAW.				
2. Improved housing, buildings and equipment for OPG, Courts and PDO, including access for people with disabilities	Government and partner funding available to meet policy/program commitments to improve services. Community participation and support for services and infrastructure in communities.				

3. Improved districts' and communities' strategies to respond to violence against women and girls and community justice issues	Steering committee committed to addressing violence against women. Participation of leaders in promoting activities. Participation of police and community leaders in training of men in reducing violence. Co-ordination between donors under leadership of Steering Committee and MoJ.				
4. Improved governance, management, financial control & fundraising in partner CSO	CSOs are committed to management and governance reforms in order to improve service delivery.				
5. Improved monitoring of compliance with Human Rights standards by local leaders	Monitoring in place and action taken when instances of non-compliance are identified. This includes methods for safe reporting of abuse by victims and improved investigation techniques.				
6. Increased funding for legal aid and victims' support services, including for those with disabilities	Funding is available for legal aid services. Legal aid and victim services have capacity to use funding to increase services. There are sufficient private lawyers and victim support staff (especially female staff) to provide services.				
7. Increased and improved information on human rights and justice services	Co-ordinating strategy in place within Government to check content and determine most efficient and effective means of distribution. Adequate expertise and funding available to deliver programs to all areas. Strong networking with civil society to ensure consistency and reach.				

Annex 12

Performance Report Structure

Performance Report Structure

The list below suggests a structure for the Annual Performance Reports. The numbers in brackets are indication of the number of pages expected for each section.

The following structure encourages the writing of concise, straight-to-the-point reports, where only a short summary of the messages is presented in the main part of the report while detailed information is provided in the annexes. By doing so, it is hoped that most stakeholders, including AusAID staff at post and in HQ, will be drawn to read the essential conclusions of the PMF process.

Suggested structure:

- Summary of the analysis per DAC criteria (*4p*)
- Conclusions & recommendations (*1p*)
- Annexes
 1. PMF Background, objectives & methodology (3p)
 2. Consolidated analysis per DAC criteria (10-15p)
 3. Case studies (2p)
 4. Table of modalities (1p)
 5. Immediate outcomes progress summary (color code) (1p)
 6. Summary progress — one for each activity group (7p)