

Ambassade van het
Koninkrijk der Nederlanden .nl

**United Nations Development Programme
Country: Bosnia and Herzegovina
Project Document**

Project Title

Strengthening National capacities for Strategic Planning and Policy Development (SPPD) Phase I

UNDAF Outcome(s):

By the end of 2014, Government with participation of civil society implements practices for more transparent and accountable governance and meets the requirements of the EU Accession process.

Expected CP Outcome(s):

(Those linked to the project and extracted from the CPAP)

Government at all levels modernizes public sector practices through public administration reform and promotion of social dialogue between government, workers' and employers' organizations and public-private partnership for urban and rural development. Government at state and entity level has human and technical (e-governance) resources, and procedures for strategic planning, policy development and resource development to ensure better delivery of public services.

Expected Output(s):

(Those that will result from the project and extracted from the CPAP)

Implementing Agency:

UNDP

Partners:

PARCO

Brief Description

UNDP, the Governments of the Netherlands and Norway, and the European Commission Delegation in BiH will support a broad-based programme to strengthen planning, analytical work and public resources management by defining, providing and institutionalizing organizational and human resource capacities for strategic planning and policy development, and improve linkages between planning and budgeting in line ministries at the State and Entity levels. Therefore capacity building in SPPD will also be linked to the budgeting process.

Atlas Award ID:	00048898
Project ID:	00059268
Start date:	31 October 2008
End Date:	31 May 2011
LPAC Meeting Date:	24 September 2007
Management Arrangements:	DIM

Total resources required	2,530,781
Total allocated resources:	
• Regular	415,000.00
• Other:	
EC	683,439.00
Government of the Netherlands	979,730.00
Government of Norway	452,612.00
Unfunded budget:	0
In-kind Contributions	0

Agreed by UNDP:


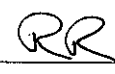
 

Table of Contents

SECTION 1: SPPD PROGRAMME	3
1. SITUATION ANALYSIS.....	3
1.1 General.....	3
1.2 Policy Development.....	3
1.3 Strategic Planning.....	4
2. STRATEGY.....	5
3. MANAGEMENT ARRANGEMENTS.....	6
4. MAIN COUNTERPART AND BENEFICIARIES OF THE PROGRAMME.....	6
5. MONITORING AND EVALUATION.....	6
6. VISIBILITY.....	7
SECTION 2: THE TOTAL WORK PLAN AND BUDGET	7
1. PROGRAMME SUMMARY.....	7
2. PROGRAMME GOAL.....	7
3. PROGRAMME OBJECTIVE.....	7
4. PROGRAMME ACTIVITIES.....	8
4.1 Inception Phase (2007).....	8
4.2 Full Implementation – Phase I (Jan 2008 – June 2010).....	10
4.2.1 Skills Upgrading Activities.....	13
4.2.1.1 Skills Training.....	13
4.2.1.2 Other Learning Activities.....	15
4.2.1.3 Didactic Materials Development.....	16
4.2.2 Organisational Development Activities.....	16
4.2.2.1 Organisational Strengthening.....	16
4.2.2.2 Systems and Tools.....	17
4.2.2.3 Provision of Additional Staff.....	17
4.2.3 Institutional Development Activities.....	18
4.2.3.1 Overarching Procedures and Networks.....	18
5. PROGRAMME BUDGET.....	18
ANNEX	20
ANNEX A: BUDGET.....	20
ANNEX	22
ANNEX B: LOGICAL FRAMEWORK.....	22

Section 1: SPPD Programme

1. Situation Analysis

On 7 June 2007, the Council of Ministers of Bosnia and Herzegovina ("CoM") endorsed the UNDP BiH Country Office Programme Document "Bosnia and Herzegovina: Strengthening National Capacities for Strategic Planning and Policy Development" (SPPD). This project document is a sub-set to the programme document, delineating the activities for Phase 1 of the programme in line with the financial resources committed by the donors until June 2010.

1.1 General

The programme will consist of support to two key areas, policy development and strategic planning. The programme will also include consideration of resources management and aid coordination in line ministries and in BiH Ministry of Finance and Treasury (aid coordination unit in particular) and RS and FBiH Ministries of Finance.

1.2 Policy Development

A policy is a government's "vision" for what it wishes to attain within a given field of its responsibility. The contents of a policy can vary from general ideas of what ought or should be done, to also containing preferred areas of action and priority concerns within the field. A ministry will typically have policies covering the key fields or programmes that it is responsible for. Policies can cover an entire sector ("health for all by 2010"), particular programmes or services ("tuberculosis policy") or a general area of responsibility ("health personnel policies", "health infrastructure policies") or principles ("health pricing policies"). Such policies usually define the long-term objectives and thus guide and constrain ministry decision making at both policy and civil service levels for the period that the policy is in force.

Policies are therefore key instruments for public sector action, and the development of good policies is a key responsibility of the political system. At the end of the policy development process, a new policy is formally approved at the highest level of government – sometimes by a minister, sometimes by the Cabinet, sometimes by the Parliament, depending on the nature of the policy and the laws that govern them in a given country. In the case of BiH, most policies are approved in the form of a law.

The key challenge is developing the contents of a new policy. Ideally a policy development process would contain several steps:

- An assessment of the current situation in the country in the field that the policy is to address: what are the characteristics of the issue, who are the actors involved and their respective roles, what are the results that have been achieved so far, how satisfied are the intended beneficiaries with the services and the trends they are seeing, what are the changes in this field that need to be kept in mind when assessing the adequacy of current policies and practices;
- A review of the existing policy (if a formal policy already is in place), its stated objectives, its diagnosis of the situation and dynamics, the related regulations and practices that the public sector current is pursuing, and see to what extent the existing policies therefore provide good guidelines and priorities for public action;

- Based on an understanding of the situation and its dynamics, the analysis of the existing policies and practices, see to what extent a new policy and related regulations should be developed; and
- Design a process for developing a new policy. Modern policy development would put considerable emphasis on ensuring a thorough consultation process involving the relevant actors: the public servants involved in delivering the service (if the public sector is direct service provider), civil servants that plan for and monitor implementation of the policy, civic organizations and other non-public actors that are involved in delivering and/or quality assuring/ monitoring performance, households and other entities that are the users or beneficiaries of the public policy, policy makers who ultimately have the responsibility of deciding on the formulation and priorities of the new policy.

Once the contents of the new policy is agreed to, it needs to be formulated in accordance with the country's legislation, and approved by the various political bodies that are accountable for these decisions.

1.3 Strategic Planning

A strategic plan is a medium term (e.g. three year) action plan that outlines an organisation's (a ministry's) objectives, specifies the key programmes and what action will be taken to achieve the desired objectives. The programmes and priorities should in principle be derived from the ministry's policies and agreed-upon priorities, so the strategic plan is the "road map" for achieving policy objectives.

A key component of a strategic plan is resource planning. This includes financial resources, but also the other resources the organization has at its disposal: staff, infrastructure, support from non-public actors like NGOs, the private sector, etc. Strategic plans are therefore intimately linked with the annual budget exercise, since the implementation of the strategy is dependent on a realistic budget, both for the current year but also over the medium term.

Public budgeting and strategic planning face a number of challenges. The implementation of a policy not only needs to take into account the direct costs of implementation activities, but also the running costs of infrastructure (maintenance and operations of facilities). More sophisticated planning would look into the costs of replacing and upgrading existing infrastructure (major machinery and equipment and, over time, the installations themselves). But issues of upgrading and expanding staff would also need to be planned for and costed, if this is a necessary requirement for the successful implementation of the policy. These costs have then to be reconciled with the needs of the other related programmes that have also been defined as priority by the authorities. And all these needs in turn need to be accommodated within the tight budget limits both for the current year and the immediate future as estimated in the country's MTEFs.

One of the central functions of the strategic planning exercise is therefore to provide decision makers with the best available information for making the tough decisions on the various trade-offs, since resources will always be insufficient to implement all the plans that the authorities would wish.

A key document that all ministerial strategic planning needs to link to, is the European Partnership. This provides the political agreements between the national authorities and the EU regarding "next steps" in the EU integration process. Another central document is BiH's Medium Term Development Strategy (MTDS), and over time, a more elaborate National Development Programme needs to be produced that should in fact incorporate both the EP and MTDS programmes. While the two should in principle be overlapping in a number of areas, there are fields that are not covered in the EP, while the actual operationalization of the two still is not consistent.

BiH public bodies are facing serious challenges and limitations in their capacities in the fields outlined above. However, the growing awareness of the need to improve overall public resources

management, including strengthening policy development and strategic planning throughout BiH as described in the BiH PAR Strategy, provides a strong justification for the SPPD programme.

2. Strategy

It is expected that until the end of 2007 the Inception Phase will largely have been completed, and the programme itself should start up immediately following this, and approval of the Inception Report. It is planned that the Phase 1 of programme implementation will cover the period January 2008 – December 2010.

The proposed SPPD programme is a comprehensive one. It will therefore not be possible to work across all sectors and at all levels at once. Instead, the approach is to "roll it out" across the sectors in a phased manner.

In January 2008 and 2009 respectively, one group of sector-ministries will be added to the programme. The sector-approach means that the corresponding ministries in both Entities and at State level will join up as a group, in order to ensure the coherence across the relevant sector.

The implementation of the programme is foreseen to take 2.5 years within each ministry in the first cycle. As the national authorities learn from the first sectors where the programme is implemented, it is expected that the second full cycle of implanting policy development procedures and improved strategic planning can be done in 1.5 - 2 years. This will in part depend on how ambitious the authorities are regarding the level at which the ministries at that time should be.

The first group of sectors that will be selected by the Programme Steering Committee, based on the recommendations in the Inception Report. The number of sectors will need to be relatively small, so to make the work with the first group of ministries manageable. There are a number of tasks that will be developed with the first group (first cycle) that will not require the same amount of time once the programme is in place: preparation of course materials, handbooks, etc. The work involved in carrying out the first year of activities for the ministries entering in 2009 (second cycle) will hence be considerably less than with the first group entering in 2008. In any case, there will be a strong emphasis on capacity building at the start of cycle 2 in order to enable the relevant ministries to complete the programme on their own after June 2010 if necessary. Apart from this, in the first year of Phase 1, the programme will give special attention and provide capacity building for the aid coordination unit in the Ministry of Finance and Treasury

In 2009, however, the programme is still developing a number of tasks with the first group of ministries and opening for a new group of selected ministries. This intensive learning period will presumably continue throughout the 2.5-year implementation period for all the ministries involved, Jan 2008 – June 2010. It is expected that based on the implementation results and envisaged timeline for the full framework SPPD, the decision on the commencement and exact duration of the Phase 2 programme, as well decision on the source of needed financing will be taken by the Programme Steering Committee, UNDP and the Programme donors. Furthermore, later entering groups like group three and four may only need 1.5-2 years to implement the programme. The complete programme implementation schedule may therefore look as follows:

	2008	2009	2010
Group 1	12 Months	12 Months	6 Months
Group 2		12 Months	6 Months

3. Management Arrangements

The overall ownership over this programme will rest with the BiH Council of Ministers, while furthermore the implementation responsibility (management and delivery of project activities) will be divided between UNDP and the PARCO. As the SIGMA work progresses and the capacity of the General Secretariat is built over the time, the implementation is expected to gradually center more on the General Secretariat to ensure full direct institutional ownership of the coordination of policy making and strategic development processes.

The programme will be anchored primarily in the ministries' secretariats. This linking with bodies that have overarching and coordinating functions will both ensure that reporting on programme results can quickly be transmitted to the relevant national authorities, and that the programme will be managed and coordinated by organisations that have this responsibility.

The other counterparts will be the other services of the Entity and Brcko District governments as well as respective line ministries of BiH, Entities and Brcko District Governments. The programme will also involve BD, cantons and municipalities, where logical and feasible. This is to ensure coherence and common approaches, and that skills, understanding and instruments are developed across organisational units and levels.

The programme will be managed at four levels:

1. The Steering Committee will have oversight and overall decision-making roles in terms of the content, budgeting and prioritization of activities. Primarily CoM and PARCO will constitute the Programme Steering and Management Committees;
2. UNDP will handle programme implementation, mobilise donor funding for the programme beyond phase 1 and ensure reporting on programme progress, handle some of the inter-donor coordination tasks together with PARCO, ensure that project results are communicated also to other interested stakeholders.
3. Programme Manager will be part of the UNDP technical assistance (TA) team, be responsible for the overall implementation of the programme, actual performance of the TA team, prepare the work plans, manage the project finances, and report on progress;
4. Programme Management Team will be designated to on a day-to-day basis manage the actual activities within the institutions participating in the programme.

4. Main counterpart and beneficiaries of the Programme

In EU Member countries and in all developed western democracies, the centre of government - primarily the General Secretariat — and the corresponding units in the Ministries and other government institutions are crucial players in strategic planning, policy development, policy coordination and policy evaluation.

Bearing in mind all the requirements of the European integration and in general of the sustained socio-economic development, in particular the overarching goals spelled out in the PAR Strategy and Action Plan, and the work of the complementary programmes such as SIGMA support the Program recognizes that its main counterpart will be PARCO and the beneficiaries will be the secretariats of the State and Entity ministries.

5. Monitoring and Evaluation

Monitoring and evaluation will be performed through the analysis of results-based quantitative and qualitative indicators outlined in the programme's results framework and the budget allocation table (see Annex). The purpose of monitoring at the project level is to ensure the systematic assessment of performance and progress of the activities toward achievement of the outputs. For that reason, the UNDP will document achievements through annual progress reports. The Steering Committee will

define key milestones whereas the Programme Manager will have a responsibility to provide regular Programme Status reports.

For the evaluation of the programme, UNDP will look at the efficiency, effectiveness, sustainability and the relevance of the programme objectives within the overall context of the Programme. In order to improve its delivery quality, compiling qualitative results represents an important reflective exercise for UNDP. This analysis ensures that quantitative results and achievements of practical experiences are not forgotten and that we build upon what we have learned, replicate successful initiatives and avoid repeating mistakes.

6. Visibility

Programme management will take due care that the visibility of the donors supporting the programme is ensured in all of the programme documents, publications, events and other suitable occasions.

Section 2: The Total Work Plan and Budget

1. Programme Summary

UNDP will support a broad-based programme to strengthen planning, analytical work and public resources management by defining, providing and institutionalizing organizational and human resource capacities for strategic planning and policy development, and improve linkages between planning and budgeting in line ministries at the State and Entity levels. Replenishment of government plans come from external and internal sources. Capacity building in SPPD will be linked to the budgeting process as well as the issue of aid coordination. Related to this is support to the Committee for the Coordination of International Aid including the transfer of capacities that have been developed through the Donor Coordination Forum.

2. Programme Goal

The programme will be focusing on the ability of the public sector to fulfill its critical functions. This is in line with BiH public policy, and in particular with the decision that the country wishes to join the EU and the ongoing process of accession. In synergy with other programmes implemented, in line with the BiH PAR Strategy and Action Plan, the programme will therefore produce Outputs that will contribute to the Goal outlined below.

Goal: *The establishment of an efficient, effective, professional and accountable public administration throughout BiH that provides high quality services to the public, and supports progress towards EU integration.*

3. Programme Objective

The general objective of the Programme will be to help BiH authorities to develop their capacities to ensure development of coherent sectoral strategies that would take sufficient account of government strategies, policies and legislation and BiH SAP obligations, in particular approximation of BiH legislation to the *acquis communautaire*. It will also strengthen the authorities' ability to take full ownership of the aid coordination process.

To that end, the Programme will provide longer term support to the line ministries and will strengthen their organizational and human resource capacities for strategy development and policy making. In parallel, the Programme will during the Inception phase assess the scope and level of assistance to be delivered to line ministries, in particular the secretariats of the ministries at the State and Entity levels,

and to the aid coordination unit in MoFT, following the recent transfer of competencies from MoFTEr to MoFT.

This assistance needs assessment will be based on the progress and results made through implementation and work of the related programmes in particular the previous work and future planned technical assistance of the SIGMA Programme and the results of the Twinning Project on Strengthening the General Secretariat of BiH CoM. It will also extensively use other available documents such as the Feasibility Studies, donor reports, etc.

In the Inception phase a detailed Inception Report will be prepared before the full implementation can begin. In its substance and structure, the Inception Report will follow as closely as possible the EC "Guidelines for Reporting – Inception Report."

4. Programme Activities

The proposed programme will be structured as one integrated component addressing Strategic Planning and Policy Development (SPPD), and including the consideration of resources management and aid coordination in the State and Entities line ministries. The programme has one long-term Goal, a more immediate Purpose and a series of expected Outputs, as outlined in the Log Frame, in the Annex. The programme sub-set "Implementation Phase 1" consists of the Inception Phase (Oct-Dec 2007), and the full implementation Phase 1 (Jan 2008 – June 2010), consisting of two cycles.

4.1 Inception Phase (2007)

During a three-month period, the Inception Phase allows UNDP to analyse the tasks with "on the ground experience" and to fully elaborate the operational strategy for delivery of programme results. This should include (but not necessarily be limited to):

1. Office set-up, mobilisation of key experts
2. Assessing the current situation incl legal set-up, current AC structure and capacities, examining previous/current projects, previous documents (systems review, project docs)
3. Based on national priorities (SAA, EIS, PARS) and initial discussion with key project stakeholders: preparing a first long list of priority sectors
4. Preparing an indicative timetable of activities
5. Meeting key beneficiaries and other key stakeholders in the selected sectors (national authorities, donors, projects), reviewing relevant docs (functional reviews, project reports)
6. Agree on priority sectors for year 1 and 2
7. Set up detailed work programme for project implementation
8. Elaboration of inception report (with a view to the "Guidelines for reporting inception report", i.e. specific outputs/milestones, anticipated results, timeframe, use of budget and inputs against proposed activities, quantified indicators of achievement of project objectives).

The assessment of the current situation, in the form of a survey, will be based on, but not necessarily limited to, the following:

1. a review of existing reports such as the EC-funded System Review of Public Administration in BiH and EC-funded Functional Reviews ¹, as well as the relevant multilateral and bilateral donor reports;
2. a review of existing national strategic and/or policy documents, particularly those relevant for the EU Integration process such as the European Partnership for BiH, the EU Integrations Strategy of BiH, Medium Term Development Strategy of BiH, BiH Public Administration Reform Strategy, etc.

In parallel with the above reviews, it will be necessary to conduct one-to-one interviews with respective representatives of the line ministries at State and Entity levels of government in BiH

¹ Available at: <http://www.europa.ba/?akcija=clanak&CID=32&jezik=2&LID=45>

(preferably Ministerial Secretaries), as well as to consult other relevant national and international agencies including, but not limited to, the Directorate for European Integrations of BiH, the BiH PARCO, MoFTER, MoFT, the EC Delegation to BiH, etc.

Above mentioned reports and data are already available through UNDP or other sources in BiH, but not necessarily analyzed in a way to fully suit the survey context. It will thus not be necessary to engage in extensive primary data generation. However, it is envisaged that the available data may in some cases need verification, further assessment and perhaps some updating.

PARCO and DEI are expected to provide guidance with regard to the priority sectors in the European Integration process.

The survey is expected to provide the basis for the assessment, selection and political agreements - the first output will be the result of a dialogue with the authorities at State and Entity levels, a dialogue that was initiated during the second half of 2005, and is aimed to be finalized during the course of the Inception Phase

The dialogue will start in particular with the sectors and ministries that are to make up the first group of ministries which will be covered in the first year of implementation phase; it is foreseen to start with three ministries but this is subject to discussion with the authorities. Political decision makers and their senior technical staff need to confirm their agreement and commitment that strategic planning is important for their organizations, and that they will provide strong support and have their organizations be among the first ones to embark on this process. Moreover, during the Inception phase, the Programme will, under the leadership of PARCO be complementary to SIGMA's work on the thorough needs assessment for the assistance to be designed and delivered to the BiH CoM General Secretariat and the secretariats of the Entity governments. As mentioned above, as a point of departure for this assistance needs assessment, the Programme will primarily focus on the critical organizational and human resource capacity needs in the General Secretariat, by using in that sense the final progress report of the Twinning Project as a point of departure and projections for the planned SIGMA TA.

As a special related focus point for immediate intervention, the inception phase will look into exact ways to support the capacity of aid coordination unit in the BiH Ministry of Finance and Treasury following the recent transfer of competencies for aid coordination and donor assistance, as well as the Public Investment Programme from MoFTER to MoFT. The first year of implementation phase will provide necessary resources and capacity building to the unit staff, as well as look into models for providing adequate links to the line ministries and the work of BiH Committee for the Coordination of International Aid so that by the end of phase 1 the BiH authorities will be able to take full ownership of the aid coordination process.

Subject to the prior appointment of the Programme Steering Committee and selection and appointment of a Programme Manager, the Inception Phase activities referred to in item 1. above will result in the development of the Inception Report. The Inception Report will contain specific findings and corresponding recommendations that will be submitted for consideration and approval of the Programme Steering Committee. The approved Inception Report will place the Programme in its context through, in particular, selection of its specific beneficiaries, i.e. those line ministries/sectors to be covered in the first and all other subsequent rounds of Programme activities. In addition, the Inception Report will also include a work plan for the first year.

Progress reports will be produced on a quarterly basis prior to Steering Committee meetings. Reporting will be done in the context of the specific Steering Board meeting/thematic and will be done on a quarterly basis.

4.2 Full Implementation – Phase I (Jan 2008 – June 2010)

Once the Inception Report is approved by the Programme Steering Committee, the main outputs that are foreseen from the programme in each ministry/sector will include as follows:

1. Job descriptions for staff that will be responsible for policy development and strategic planning in the organisation, including possible necessary adjustments of the administrative bodies' rulebooks.
2. The formalised procedures for the policy development process to be used in that administrative body, including possible necessary adjustments of the ministerial rulebooks.
3. The formalised procedures for the strategic planning process to be followed in that administrative body, with the requisite adjustments to the administrative bodies' rulebooks.
4. Relevant staff in the administrative body trained in and qualified to undertake policy development and strategic planning in accordance with the new rules and regulations developed for these areas.
5. Aid coordination course models will have been developed and relevant staff will have been trained.
6. Capacity of the member of the Committee for the Coordination of International Aid to strategically link sector plans with external resources will have been enhanced.
7. At least one new policy for a key programme area within that ministry's responsibilities produced and approved, and with first steps in implementation taken. Working towards having a sector strategy across government levels in place (pending government approval).
8. A multi-year action plan for strategic planning produced, where in principle the first year should lead to better defined and costed main programme areas, during the second year results indicators, targets and a monitoring system and plan have been developed, and in the final 6 months some first monitoring results are produced and more detailed costing of key programmes have been done, such as unit costs for delivering priority programmes.
9. Handbooks, instruments etc. required to successfully develop policy and carry out strategic planning produced, approved and in use.

In addition, there are two more general Outputs:

10. Overall systems across jurisdictional borders for ensuring coherence, comprehensiveness, consistency and quality in the various policy proposals and strategic plans developed, approved, and in use. This includes mechanisms for ensuring that new policies and strategic plans comply with national policy guidelines and PFM limits such as medium-term fiscal targets and environmental, social and economic sustainability.
11. A local capacity for providing training in policy development and strategic planning established and capable of providing continuous skills upgrading to the public sector in these fields.

Job Descriptions (bullet 1)

Strategic planning and policy development is not included in ministerial job description in most ministries today. The programme envisages centering these functions in the ministries'/government secretariats, though it is understood that SPPD involves the whole ministry. This is of key importance in BiH's administrative culture since legal texts are the basis for establishing the duties of civil servants and public bodies. The laws on civil servants at all levels of government in BiH stipulate that civil servants shall perform the tasks assigned in the job description. Ensuring that key employees have strategic planning and policy development as key components of their job descriptions not only is important for the individual employees but also for their ability to carry out their tasks in dialogue with their colleagues: they not only have a right to lay claim to others' time, but it is in fact their obligation. Furthermore, by having these tasks defined in the overall ministerial task list legitimizes

these tasks in general. This provides possibilities for others to also become more directly engaged. This is critical since these tasks need at some level to become generalized and accepted as a core responsibility for the ministry.

Formalized Procedures (bullet 2 & 3)

This is closely linked with the issue of the job descriptions above. While at some level it is not helpful to design too rigid a policy process – the procedures that should be followed for designing a "health for all"-policy should be considerably more elaborate than those necessary for "health infrastructure policies" – there is a need to ensure that the sequencing of steps, consultation processes etc. are carried out and in a proper fashion. Once again, given the public sector's culture of establishing rules for key procedures, there should be some formal rules on how to carry out policy development and strategic planning, particularly as there is now formal legislation that requires that these tasks be carried out. The procedures on strategic planning will have to be prepared in close collaboration with the ministries of finance, since the planning will have to be aligned with the budget process and thus the annual Budget Framework Papers (BFPs).

Capacity Building (bullet 4 to 6)

A key part of the programme will be i. the training of ministerial staff to actually undertake policy development and strategic planning as well as ii. the capacity building in aid coordination through the development and implementation of training for selected staff. While some staff will have this as a central part of their job description and be responsible for the technical contents of these tasks, large numbers of other ministerial staff and probably staff of linked-in institutions that are responsible for managing and implementing publicly funded activities will also need to receive some training.

The programme will thus design a series of training modules for both more general awareness raising and skills training, to more specialized training for those with particular responsibilities. The training will be tailored to the job descriptions, and the skills levels will therefore have to ensure that the staff in these positions has the background to fulfill those tasks properly. The programme will build, where possible on the results and experiences of the Civil Service Training Project.

Policy Development (bullet 7)

While involving all relevant parts of the ministries in SPPD, the programme will focus on providing secretariats and their staff with training in the tools of policy development and strategic planning. But the training needs to be applied if it is going to be functional and meaningful. The expectation is therefore that the ministries will select at least one important programme area within their portfolio of responsibilities where they would like to improve existing or create new policy. During the programme period, staff in the ministries' secretariats is therefore expected to have gone through at least one complete policy development cycle. Exactly how this will be done will depend on the ministries involved and the policy area selected. In some cases, it is expected that the resources and technical skills for this work may be provided by own resources or through other donor-funded activities in the sector. In cases where other resources simply are not available, this programme will try to mobilize the additional resources required; both as part of the training, but more importantly to ensure that the ministry in question in fact is able to put in place a better policy for the delivery of key services to the community.

Multi-year Action Plan for Strategic Planning (bullet 8)

A number of general planning tools are already in place in BiH. The annual BFPs provide budget ceilings and guidelines; the MTDS and the linked-in PIP are other tools that the authorities use to improve public resource management. But for each ministry, as noted above, there are other more specific issues that they should address. Furthermore, a multi-year action plan should specify the improvements to the annual strategic planning that ministry management expects: better and more detailed budgeting, more detailed expenditure reporting, more and better indicators with better-specified targets, clearer results tracking and reporting, etc. The programme will help ministry management prepare rolling 2.5-year action plans for strategic planning, so that it becomes easier to

allocate scarce staff time to the critical tasks foreseen, and that internal performance management can begin being put in place.

While strategic planning in general can cover a wide variety of activities, and can range from fairly superficial objectives formulation to very detailed activity and results specification, this activities in this programme will primarily focus on getting the key instruments and understanding in place. How many indicators will be developed, what share of ministry activities will be covered by the results monitoring etc. will have to be developed in accordance with ministerial wishes, priorities and capacities. The programme will be realistic in terms of the coverage and depth of these instruments, as this will grow over time as capacity and usefulness of strategic planning becomes more apparent. The work will also have to be linked with other efforts underway in the public sector, such as the plans on the side of the auditor-generals' offices to begin carrying out performance audits.

Handbooks and other Instruments (bullet 9)

As the programme develops, simple handbooks and other "tools of the trade" will be developed. These will be based on "good practice" examples from countries that BiH believes provide relevant comparison. The development of these instruments will be a key task of the programme, since it is the institutionalisation through (i) formalised rules and procedures, and (ii) agreed-upon tools, that will make policy development and strategic planning possible, more efficient, effective, comprehensive and consistent across sectors, across jurisdictions, and over time. These tools will therefore be made available in draft forms for discussion as they evolve through easy-access media like simple printed versions, burned CDs, the Internet. The dissemination strategy for new tools and approaches will be decided by the programme's Steering Committee.

Planning and Strategy Systems (bullet 10)

The draft legislation on strategic planning sets out procedures and methodologies, so many of the cross-jurisdictional issues are being addressed. There will none the less be a need to review the ability and capacity to ensure coherence in the various policy and planning initiatives across sectors, jurisdictions and over time. The skills and capacity to manage is according to recent proposals to lie with the Cabinets/General Secretariat/Ministries' Secretariats. The programme will remain in close dialogue with these actors to ensure that it supports their efforts at better managing such activities and their results, and also to possibly provide more direct assistance if and where that might be possible and is requested.

Local Capacity for Building Capacity (bullet 11)

The programme is largely building three forms of resources in the public sector: (i) individual skills to better plan and develop policies, (ii) organisational structures, procedures and rules for carrying them out, and (iii) the basic tools necessary to do these tasks well.

Once a first set of structures, procedures and rules have been put in place, the public sector will undoubtedly update and improve these as experiences are gained. The same will presumably hold with respect to the tools being used, because one of the expected results of this programme is that networks will be established to other countries. This will permit the exchange of "lessons learned" that among other things will include tools and approaches to policy development and strategic planning.

The one area where the public sector will always have a need for external assistance is the training of new civil servants, and the upgrading of skills of those who are taking on additional responsibilities in these fields. The programme will identify one or more local (BiH) organisations – firms, NGOs, academic institutions – that are interested in and have the potential capacity to provide the necessary training over time. This/these organisation/s will be part of the programme, will have its/their own capacities enhanced during the first part of the programme period, and will over time take over more and more of the training, so that BiH will end up having a sustainable training capacity in place.

4.2.1 Skills Upgrading Activities

The programme will provide skills development, in principle for all senior staff and personnel with decision-making responsibilities, with particular attention to those working in the area of strategic planning and policy development (SPPD). Some training will be provided to other ministry staff as well, however, since SPPD will to a greater or lesser extent be part of civil servants' tasks. This programme will also develop and implement capacity building in aid coordination, albeit for a smaller number of staff.

4.2.1.1 Skills Training

The cycle of skills development will follow the annual planning/budgeting cycle to ensure relevance and immediate application of skills to key tasks. The training will be coordinated with and attempt to take advantage of other skills upgrading activities supported by other donors, such as the PFM training being done by PKF, the public administration training funded by DFID, etc.

Training will take place in various ways, as the composition will change over time:

- i. The main activity will be training in key skills (workshops, seminars), using interactive methods, problem solving, group discussions, etc. Focus will be on practical hands-on on-the-job training, where new skills are to be immediately applied to relevant problems civil servants are facing;
- ii. More tailored learning, especially for senior management and decision makers, using approaches such as decision making seminars, peer learning sessions (in country or in the region), regional networking, etc;
- iii. Internet-based training, providing didactic materials on the net, access to international "good practice" sites, self-paced learning etc.

There will be three main sets of training cycles – one on policy development, one on strategic planning and one on aid coordination. In addition will come other training activities linked to more specific tasks as they are identified.

Policy Development Training

For policy development, there will be a general introductory course, using sector relevant cases. This will explain the principles and end up with a general structure for policy development that has been agreed to by ministry staff.

The next step is to identify a policy area the ministry or sector wants to work on. For each step of the way, there will be some general principles taught, but most of the training will be shorter workshops where the various activities are planned and assessed. If the group agrees that the first step is to carry out a study of the current situation, the group will work together on developing the terms of reference for the study, prepare the tendering process, assess the bids, agree on a monitoring plan for following the study process, and then review and assess the study report produced. This cycle will end with a workshop to identify "lessons learned" for the next such survey, and also a discussion on what the implications are for the next steps in the process (for example that management/monitoring costs were too high, things took too much time, much of the information collected was not really necessary, etc). This may lead to a revision of the policy planning cycle as originally foreseen, or that the planning for the next steps needs to be modified, etc. The workshops should also end up in specific recommendations that can either be included in short guidelines, modified handbooks, or – at a later stage – in more formal rules and procedures.

By the end of the policy development cycle, there will therefore be a "finalization workshop" to summarize the overall lessons acquired, compare this with lessons learned in other countries, in other sectors, in BiH, or other organizations working in the same sector (NGOs, lower-level administrative levels, etc).

Depending on the nature of the workshop, other actors may also be invited in: representatives of civic organisations, NGOs, professional organisations, the private sector, etc. The workshops are therefore not only venues for learning, but also for networking. When there are issues that are relevant to stakeholders outside the public sector, they will be invited in both to learn and contribute, to ensure

that views and contradictory interests are presented for more careful deliberation on possible consequences of policy choices.

Strategic Planning Training

The strategic planning cycle will in principle be more structured. The idea is that strategic plans will cover 2.5 years of activities in the ministries. During the 2.5 years the ministries receive support from this programme, they will develop their skills in general strategic planning including results-based management (RBM). More specifically, the ministries are expected to improve their performance in three steps (which in principle could be taken one year at a time).

The first year will focus on improving existing sector plans or strategies, or putting in place a new one. This will include identifying the main programme areas or fields of responsibilities and attempt to allocate the budget and staff resources across these, so that at least the major activity areas are costed. Various simple tools will be used to assess current resource use across the programme areas, to see if they appear to be in line with the political priorities defined by the political system. The purpose of this first set of activities is to get a better alignment between (i) expressed political priorities, (ii) staff and funding use, (iii) budgeting, planning and expenditure tracking activities, and (iv) procedures for further development of strategic plans and sub-ministry level activity plans.

During the second year, more attention will be paid to monitoring performance. Based on the definition of key programme areas in the first year, some expected results (targets) will be set for at least some of these areas, some indicators agreed upon, a monitoring system developed (indicators defined; targets agreed to; data sources identified; a programme for collecting, verifying, analysing and reporting data against targets; distribution and discussion of findings; focus on deviation analysis, etc). This work will be coordinated with the efforts by the auditors' offices to begin carrying out performance audits.

To the extent possible, and again aligned with the further PFM guidelines coming from the ministries of finance, for example in the BFPs, further work on better detailing of key programme areas, linking budgets to outputs and outcomes, etc. will continue.

During the final six months, focus will then probably turn more to more detailed costing. The intention is that budgeting will be based on better and more complete information about unit costs of delivering various services, such as basic TB treatment, or TB outreach activities, etc. Baseline cost studies may be carried out, benchmarking done, comparisons across units (for example differences in delivering similar health packages across municipalities or cantons or entities). One issue will be on how resource efficiency can be improved, something that requires more detailed and accurate data. Other questions may be better ability to assess trade-offs between alternative options, or do better cost-benefit studies, or better consequence analyses of new policy or programme initiatives.

As the programme develops, the national authorities will therefore need to make decisions regarding what kinds of questions it is they want the various line ministries to focus on and therefore what kinds of training and practical results this programme should produce. This will thus largely be up to the programme Steering Committee to decide.

For each cycle that is defined, a training programme will be designed. It will once again primarily consist of hands-on practical workshops, with some introduction to basic principles and their application.

Aid coordination training

The objective of the aid coordination training will be to enhance the ability of the national aid coordination management mechanism to strengthen the link between strategic planning, sectoral priorities and donor funding. As such, it closely corresponds to the policy and the strategic development trainings, but with an additional focus towards the work of the international community in BiH.

The training will have three main components: one knowledge-based, one skill-based and one quality-based.

The first component will aim to enhance understanding of the recent developments in the field of aid coordination, with a special focus on the Rome and Paris Declarations and the principles contained therein. In large part, the training will consist of group discussions on how the principles of 'ownership', 'harmonization', 'alignment', 'managing for development results' and 'mutual accountability' can be localized to the BiH circumstances.

The second component will be an interactive technical training on Managing for Development Results (MfDR), introducing performance-management tools and systems to implement country and sector strategies, and measure and monitor their impact on poverty reduction. The programme modules will be structured according to the MfDR principles established at the 2004 Marrakech Roundtable, namely: 1) Focusing the dialogue on results, 2) Aligning programming, monitoring and evaluation with results, 3) Keeping measurement and reporting simple, 4) Managing for, not by, results, and 5) Using results information for learning- and decision-making. The training will be complemented with a regional study trip and/or conference, inviting other countries to share their ideas and experiences of applying MfDR in practice.

Finally, the training will conclude with leadership development to ensure effective coordination and decision-making. This will be a vital component because the ultimate objective of this programme is to enable the local authorities to coordinate donor activities both at the national and the sectoral levels. To this end, the responsible body will need strengthened capacity to ensure that donors align to national development priorities, work together towards common goals, and harmonise their working practices, to the extent possible.

To ensure continuous capacity building, the training components will be complemented with ongoing policy advice and technical support to the Unit responsible for the day-to-day management of aid.

Assessing the Training

For each training module – whether a formal course or a workshop – there will be a set of stated objectives. Course participants will be asked to rate the training against both the specific targets, and their overall satisfaction with the training from the longer-term capacity building perspective.

4.2.1.2 Other Learning Activities

Senior staff, decision makers, political leadership will often not have time for time-intensive courses. They may prefer shorter, more direct learning on issues like decision making, or even want more direct assistance in how to handle particular issues like some large-scale investment programmes. Here this programme needs to be able to find flexible and targeted ways of providing relevant learning situations. This can include short, focused seminars on policy decision making and/or network-based discussions, for example with former politicians or senior political advisers from other countries (peer learning in various forms), etc.

Peer learning can be highly effective. In principle it simply means that staff interacts with persons with similar roles and responsibilities in countries they feel have relevant experiences, such as the other Western Balkan countries. Another relevant group is the Slavic-speaking countries that recently joined the EU. These have recently completed the accession and negotiation processes with the EU, which are undoubtedly among the major challenges facing the public sector in BiH as well.

Peer learning can be organized in a number of different ways. Peers can come to BiH and participate in various fora there, such as workshops, discussion meetings, be dialogue partner with local officials on concrete issues. BiH officials can also travel abroad to see how for example cabinet processes are organized and managed, how decision making is prepared, how advisory posts are used, etc. Other possibilities include video-conferences (facilities in Sarajevo, Banja Luka and other sites permit this), and other technology-based forms of interaction. A number of learning and interaction tools using modern communications technology are being developed, and will undoubtedly be used ever more as the programme progresses.

4.2.1.3 Didactic Materials Development

The project will produce handbooks/manuals in policy development and strategic planning, based on examples from BiH and other countries, as well as experience gained in the project. These handbooks/manuals will be distributed on a number of different media, including being made available on the Internet. The early versions will be informally produced to begin with, since it is expected that they will be revised and updated a number of times during the course of the programme. By making them available on the Internet, access will be easier and will allow for flexible adaptation to specific local needs (for example making it simple for RS to make them available in Cyrillic if this is requested).

4.2.2 Organisational Development Activities

At the level of the individual ministries, the programme may assist their organisational development in three fields. It will assist in reviewing the organisation and functioning of the ministries, particularly in the fields of strategic planning and policy development. It will introduce or strengthen tools and systems for better resource management (planning, budgeting, policy development). And it can strengthen ministries' capacities to use these tools and systems by recruiting better educated civil servants into these posts.

4.2.2.1 Organisational Strengthening

As noted, policy development and strategic planning remain weak functions in most ministries. This includes the location of these activities within the organisations. Before other elements of the programme (skills development, establishment of networks etc) are initiated on a wide front, the necessary organisational anchoring of strategic planning and policy development should be in place. Four tasks are of particular importance, and need to be carried out early in the programme period in each ministry:

Adjustment of ministerial rulebooks. Strategic planning and policy development are generally not mentioned in the rulebooks that set out the tasks related to staffing and organisation of ministries. In order to provide these tasks with legitimacy and make these areas into binding functions in ministries, they will, as a first step, have to be defined in ministerial rulebooks, including the specific job descriptions.

Recommendations regarding the restructuring of the secretariats to include / or recommendations for the other administrative location /organisation of SP and PD. A decision will have to be made as to the administrative affiliation of employees charged with SP and PD assignments. Two options seem possible. They can be incorporated into one of the ministry's existing departments that has somewhat related tasks, such as EU integration, international cooperation, budgeting and finance or similar. Or they can be organised as a unit directly under the Secretary of the ministry, to emphasize the cross-sectoral nature of these tasks. In the first case they become a more traditional "line" function, and will presumably be more easily integrated into the ministry's other tasks. In the second case they become more "staff" with almost advisory functions. While the local situation in each ministry will be important for making a choice, it will be proposed to the authorities to take a decision in principle on how these tasks are to be organisationally placed, and it is expected that the suggestion will primarily be focused on the second outlined option placing strategic planning and policy development functions in the secretariats.

Improvements to rules and practices regarding cooperation and sharing of information inside the ministry. Policy proposals and strategic plans have to be made for a ministry as a whole. Without sufficient vertical and horizontal cooperation inside the ministry it is difficult to produce good policies and plans. Some BiH ministries suffer from lack of inter-sectoral cooperation and poor flows of information and non-transparent decision making. The programme will support a diagnosis of intra-ministerial patterns of cooperation and propose possible measures of improvement.

Raising the awareness of SPPD. The above-mentioned measures will have to be accompanied and supported by information to all employees, since all will be affected by these activities to a greater or lesser degree.

The survey that is to take place as part of the preparatory work for each ministry will therefore address these issues, to the extent that this is found helpful. As part of the more continuous involvement inside the ministries, the legislative, organizational and human resources framework of BiH public administration as they seem to affect programme implementation may also be looked into.

Towards the end of the full programme cycle in that sector (after 2 years), it is suggested that a sector-wide Functional Review be carried out across all the administrative units in the same sector (such as health). The idea is that as ministries develop their policies and plans, they will also begin assessing their organisational structure, staffing levels and skills composition, working procedures, laws and regulations, etc. In light of the new strategic plans, definitions of core competencies, of roles in the sector etc. the ministries can critically assess which adjustments to organisation and staffing they need to undertake in order to become more efficient and effective. Functional Reviews are time and resource intensive, however, and therefore should only take place when management is ready to commit itself to the process and the results from it. One likely outcome is that tasks like policy development and strategic planning will be more appreciated, and that staff with these skills therefore will be given preference in terms of more permanent positions in the staffing tables.

4.2.2.2 Systems and Tools

Most of the systems and tools that will be necessary for better planning and policy development will be identified as part of the training activities. The staff will see for themselves how these tasks can be better done with more structured approaches, standardized tools, enhanced information flows and data sharing, etc. This area is therefore expected to be addressed through the various workshops that will take place – both the selection of preferred tools, and their successful use. In most cases, successful utilization requires shared access and joint action. This will typically have to be organized in some form of structured system for this purpose.

4.2.2.3 Provision of Additional Staff

This programme is targeted to activities that until now have received limited attention in BiH. Civil servants have therefore not been recruited for such tasks in mind. Many may therefore not have the educational background required to successfully implement such tasks. Public officials have therefore expressed the view that it will in many cases be necessary to recruit new, preferably younger and better educated staff, to assume such responsibilities within the ministries.

The programme will therefore make available resources for recruiting additional staff for the ministries as they enter the programme. The proposal is that these staff be funded for up to a 2.5-year period each, hired primarily on civil service conditions and into the designated units in secretariats or the units in the various ministries that have planning and budgeting responsibilities. Their job descriptions and functions will be in line with standard public sector functions, and would be agreed between the UNDP programme and the ministry in question. The relevant Civil Service Administration will also be consulted on these matters. The new staff will therefore answer to ministerial management as other civil servants and in most matters in reality be civil servants.

Before any additional staff is provided by the programme, an assessment will be made as to whether there already is staff employed by the ministries that can be transferred to these tasks.

Moreover, a key premise for recruiting additional staff is an assurance by BiH authorities that the new staff, if they perform satisfactorily in their posts, will be recruited into permanent positions that should have been established. It is expected that after 2 years, the staff hired by the programme will be moved into their new positions, with the public sector thus taking over the funding. One of the results of the suggested Functional Review is exactly that ministries will be able to re-think their priorities regarding staffing tables and thus ensure that funding will be available to hire this staff.

4.2.3 Institutional Development Activities

The programme will contribute to improving the overarching framework conditions for policy development and strategy planning. This institutional development will focus on improving or establishing the overarching procedures and networks that will make SPPD in the ministries and sectors more functional, coherent and of better quality.

4.2.3.1 Overarching Procedures and Networks

The programme will establish mechanisms for sharing of information, cooperation and coordination between units for strategy/policy development on different levels of government but within the same economic sector. All units for strategy/policy development on the same level of government, particularly between units in the line ministries and the aid coordination unit in the Ministry of Finance. These units for strategy/policy development and the General Secretariat directly serving Councils of Ministers and the government secretariats in the Entities. Aid coordination unit in the MoFT, Working Group for Coordination of International Aid (future Committee for the Coordination of International Aid), DEP and DEI.

Thus, to promote coherent policy development across administrative borders and the formulation of joint, countrywide strategies, the programme will emphasize the establishment of mechanisms for sharing of information and cooperation between different levels of Government, and as far as possible the development of joint procedures and methods for strategic planning.

5. Programme Budget

Phase 1 budget for the first 2.5-year period of implementation (Jan 2008 – June 2010) plus the preparatory phase has been prepared. The major costs are with the resource persons, where local skills will become an ever-increasing share, and the additional staff to be employed in the ministries. If – as seems necessary – the programme needs to be extended for a further two or three years, this trend will continue, with a number of other costs also becoming lower, such as production of handbooks, regional travels, etc. The programme, as mentioned elsewhere, will consist of a core group of three international experts, who will be complemented by other international, regional and national experts. A fair amount of the international experts' time will be used for training local expertise.

The hiring of new ministry staff for a 2.5-year period will make up a substantial share of the total budget. This time period will in principle be independent of how long the various ministries actually need to implement the programme. If one ministry needs four years for this, the new staff will still only be funded by the programme for the first 2.5 years. For those ministries that are able to implement the programme in two years, they should – unless otherwise decided – have this new staff externally funded for two years.

For reasons of financial realism and sustainability, the total number of such staff funded over this programme cannot be excessive. Yet a "critical mass" needs to be created, along two dimensions. The first one is within the ministries themselves. These staff need to be integrated into and part of existing structures and other staff complements, as noted above, perhaps working alongside the EU's Senior Programme Officers, the staff being trained by PKF in budgeting, Assistant Ministers or ministerial Secretaries who have particular responsibilities in these fields, etc. Together they will be able to help

the individual ministry overcome existing short-comings and perhaps resistance to change, will act as "agents of change" that can push in-house "corporate culture" towards taking on-board strategic planning and policy development in a more systematic manner.

The other "critical mass" is that across the government as such. There needs to be a minimum number of civil servants who are able to talk with each other and support and learn from each other in these fields. It is suggested that 10 new staff are funded in 2008 and 12 new staff in 2009. That means that after 2 years, there will be a total of 22 such staff, and then this number will remain stable till the programme begins phasing out and the ministries absorb them into their own staffing tables and pay their salaries. The distribution of these new staff persons across the different ministries will be decided by the Steering Committee. For the first year, one starting point could be (i) one person in each of the three governments' General Secretariats, (ii) two in each of the Entities' two line ministries (eight in all), (iii) one in each of the three State Ministries, and (iv) the last person perhaps being allotted to Brcko District.

The idea of using peer groups for some of the more important sectors has been included in the budget, but can easily be removed in favour of other activities. The programme will remain flexible, and as the Steering Committee and the programme itself gains experience, early ideas may be discarded in favour of other concepts.

The contingency fund is seen as necessary since many of the expenditure estimates are fairly general. The costs of local staff, office rental, internal travel, what production of handbooks actually will be, how much workshops will cost, how many local planning staff are to be hired by the programme are all based on general cost estimates. The contingency fund may also permit intensifying certain activities, if that is seen as useful – for example more workshops, bringing in more regional expertise, etc. This kind of flexibility is useful – though the total resource ceiling should be respected and the SC also decides on which costs can be reduced if other activities are to be intensified.

Annex

Annex A: Budget

UNDP BiH Strategic Planning and Policy Development (SPPD) - Implementation Phase I - Activity-based budget

Exchange Rate 0.73100 USD/EUR	Inception Phase		Full Implementation Phase (FIP)						
	2007		2008		2009		2010	FIP	
	Items	Budget USD	Budget USD	Budget USD	Budget USD	Budget USD	TOTAL USD		
Programme Management Team (working weeks)	weeks		weeks		weeks		weeks		
Programme Manager (a)	2	6,400.00	52	140,000.00	52	140,000.00	26	70,000.00	350,000.00
Deputy Programme Manager (b)	2	1,525.00	52	40,000.00	52	40,000.00	26	20,000.00	100,000.00
Project Assistant (c)	2	775.00	52	20,000.00	52	20,000.00	26	10,000.00	50,000.00
Equipment, Furniture		18,000.00				2,000.00		1,000.00	3,000.00
Rent of office space and Communication costs	2	625.00	52	15,000.00	52	15,000.00	26	7,500.00	37,500.00
Stationery	2	300.00	52	5,000.00	52	5,000.00	26	2,500.00	12,500.00
Sub-total		26,625.00		220,000.00		222,000.00		111,000.00	553,000.00
Resource Persons, Fees (working days)	days		days		days		days		
Policy, Institutional Development Expert (1)			50	30,000.00	50	30,000.00	20	12,000.00	72,000.00
Training, Methodology Expert (1)			40	28,800.00	40	24,000.00	20	12,000.00	64,800.00
Short-term Experts, international (1)	50	30,000.00	50	30,000.00	55	33,000.00	20	12,000.00	75,000.00
Local Aid Coordination Advisor (15)	15	3,000.00	50	10,000.00	50	10,000.00	30	6,000.00	26,000.00
Local Legal Adviser (12)	25	5,500.00	40	8,800.00	50	11,000.00	30	6,600.00	26,400.00
Local Quality Assurance contract (13)				5,000.00		10,000.00		10,000.00	25,000.00
Local Training Consultants (3)	10	1,500.00	150	22,500.00	225	33,750.00	100	15,000.00	71,250.00
Sub-total		40,000.00		135,100.00		151,750.00		73,600.00	475,000.00
Resource Persons (per diem) (4)	per diem		per diem		per diem		per diem		
Policy, Institutional Development Expert (1)			25	6,040.27	25	6,040.27	10	2,416.11	14,496.64
Training, Methodology Expert			20	4,832.21	20	4,832.21	10	2,416.11	12,080.54
Short-term Experts, international	20	2,880.00	25	6,040.27	25	6,040.27	10	2,416.11	14,496.64
Local teams (programme, trainers) to BLUSJJ	12	1,788.00	60	14,496.64	80	19,328.86	50	12,080.54	45,906.04
Sub-total		4,768.00		31,409.40		36,241.61		19,328.86	86,979.87
Resource Persons, Airfares & transport costs (5)	units		units		units		units		
Policy, Institutional Development expert	1	800.00	4	3,200.00	5	4,000.00	3	2,400.00	9,600.00
Training, Methodology expert	1	800.00	4	3,200.00	5	4,000.00	2	1,600.00	8,800.00
Short-term Experts, international	1	800.00	8	6,400.00	10	8,000.00	4	3,200.00	17,600.00
Local Teams (programme, trainers) transport costs (6)	1	800.00	17	8,500.00	25	12,500.00	10	5,000.00	26,000.00
Sub-total		2,900.00		21,300.00		28,500.00		12,200.00	62,000.00
Training and Other Activities	units		units		units		units		
Trainings (6)			8	43,600.00	8	43,600.00	5	27,250.00	114,450.00
Seminars and Workshops (7)	1	2,500.00	3	7,500.00	3	7,800.00	1	2,600.00	17,900.00
Regional Travels, Study Visits (11)			1	40,000.00	2	80,000.00	0	-	120,000.00
Production of Handbooks & Manuals			7	19,600.00	5	14,000.00	2	5,600.00	39,200.00
Interpreters/Translations (10)		2,000.00		10,000.00		10,000.00		3,500.00	23,500.00
Sub-total		4,500.00		120,700.00		155,400.00		38,950.00	315,050.00
Local Planning Staff (number of persons)									
Staff in Ministries x 12 months (8)			10	162,000.00	22	356,400.00	22	178,200.00	696,600.00
Equipment for Ministry Staff (9)			10	20,000.00	22	44,000.00			64,000.00
Sub-total				182,000.00		400,400.00		178,200.00	760,600.00
Contingency, 5%		3,939.65		35,525.47		49,714.58		21,663.94	106,903.99
UNDP 7% overhead		5,791.29		52,222.44		73,080.43		31,846.00	157,148.87
Total		88,523.94		798,257.31		1,117,086.62		486,788.80	2,402,132.73
Total Programme Cost									2,490,656.66

Strengthening National Capacities for Strategic Planning and Policy Development (SPPD)
Inception and Implementation Phase I

**(a) International Programme Manager at the ALD level
(approximately USD 140,000/year)**

**(b) Deputy Programme Manager at the NOA level
(approximately USD 40 000/year)**

(c) Programme Assistant at USD 20000/year

(1): International experts at USD 600/day

(2): Local training consultants - at USD 150/day

(3): Per diems will be calculated as per standard UNDP rates

(4): Airfares set at USD 800 round-trip on average

(5): Transport costs of the local teams at USD 500/visit

(6): 5 days -trainings

(7): 2 days Seminars/Workshops

(8): Average monthly costs are set at USD 1,350 = annual costs of about USD 16200

(9): The only equipment provided by the project will be one PC with software when the new staff begin working

(10): The only time interpreters will be needed is at formal training workshops - otherwise project staff will ensure translations

(11): This would be for peer learning activities etc - unclear if needed

(12): There are considerable legal activities involved (rules books, staffing tables, job descriptions) that will require continuous full-time work (legal experts at USD 220/day)

(13): This will be with a local entity to do satisfaction surveys and other quality assurance work

(14): Production, translation, layout and printing

(15): Local aid coordination advisor at USD 200/day

Annex

Annex B: Logical Framework

UNDP BiH Strengthening National Capacities for Strategic Planning and Policy Development (SPPD) Phase I - Logical Framework Analysis, 15 August 2007			
Objectives (expected results)	Indicators	Means of Verification	Assumptions, Risk Elements
GOAL			
The establishment of an efficient, effective, professional and accountable public administration throughout BiH that provides high quality services to the public, and supports progress towards EU integration	a. Public satisfaction with the functioning and quality of publicly provided services.	i. Public satisfaction surveys, opinion polls	
	b. Perceptions by key international partners.	ii. Reports by credible bodies: OHR, OSCE, Transparency International, World Bank, IMF	
	c. Perceptions regarding the EU integration process by EU officials and/or EU bodies.	iii. EU reports, EU studies	
PURPOSE			
1. The establishment and successful functioning of strategic planning and policy development system/s at State and Entity levels that promote efficiency, effectiveness, accountability, and support the EU integration process.	1.a Policies produced according to new procedures.	1.i Reports from General Secretariats, Cabinet offices, Parliaments.	
	1.b Annual ministerial budget proposals produced in context of 2.5 year plans, BFPs and sector strategies.	1.ii Budget documents and reports from ministries of finance.	
		1.iii Surveys of key civil servants.	

Strengthening National Capacities for Strategic Planning and Policy Development (SPPD)
Inception and Implementation Phase I

OUTPUTS			
Inception / Preparatory Phase			
1.1	The selection and political agreement to the first group of State and Entity ministries/sectors to participate in the program	1.1.a A decision by the appropriate authorities regarding first group of ministries to include.	1.1.i Letter from the appropriate authorities to the UNDP office
1.2.a	An assessment for each of first ministries detailing current structures, practices, staff levels and skills relevant to the issue.	1.2.a.1 Actual assessment produced.	1.2.i.1 Project quarterly progress reports.
1.2.b	An assessment of (i) all legislation, (ii) all rules and procedures, (iii) practices regarding policy development and strategic planning, (iv) tools and instruments, used at State and Entity levels, and (v) overview of "good practice" examples from neighbouring countries.	1.2.b.1 Actual assessment produced.	1.2.ii.1 Project quarterly progress reports.
			a. Political commitment to overall programme. Critical assumption.
			a. Access to relevant informants and their willingness to present current practices.
			a. Access to all relevant legislation, rules and procedures, with key parts in English. b. Access to relevant informants and their willingness to present current practices. c. Rapid access to relevant experience in neighbouring countries.
OUTPUTS			
Full Implementation Phase			
1.3	Job descriptions for staff who will be responsible for policy development and strategic planning produced and approved, including possible necessary adjustments of the ministerial rulebooks. Ensure that these job descriptions are consistent across ministries in the same sector.	1.3.a Job descriptions in place/ updated. 1.3.b Ministerial rulebooks updated and consistent.	1.3.i Project quarterly progress reports.
			a. Political commitment to overall programme. Critical assumption. b. Time, interest from relevant civil servants to participate.

Strengthening National Capacities for Strategic Planning and Policy Development (SPPD)
Inception and Implementation Phase I

<p>1.4 Revised policy development process produced, including the tools to be used, the consultation process, etc., including possible necessary adjustments to ministerial rulebooks. Ensure that the revised policy procedures are consistent across ministries in the same sector.</p>	<p>1.4.a Policy development process design. 1.4.b Ministerial rulebooks updated and consistent.</p>	<p>1.4.i Ministerial and Cabinet reports. 1.4.ii. Project quarterly progress reports.</p>	<p>a. Political commitment to overall programme. b. Time, interest from relevant civil servants to participate.</p>
<p>1.5 Revised strategic planning process produced and approved, including possible necessary adjustments to ministerial rulebooks. Ensure that planning procedures are consistent across ministries in the same sector.</p>	<p>1.5.a Strategic planning process design. 1.5.b Ministerial rulebooks updated and consistent.</p>	<p>1.5.i Ministerial and Cabinet reports. 1.5.ii Project quarterly progress reports.</p>	<p>a. Political commitment to overall programme. b. Time, interest from relevant civil servants to participate.</p>
<p>1.6 Relevant staff trained in and qualified to undertake policy development and strategic planning in accordance with the new rules and regulations.</p>	<p>1.6.a Staff satisfactorily trained through programme courses/workshops. 1.6.b Ministry management satisfied staff capable of implementing tasks.</p>	<p>1.6.i Course/workshop participants' feedback/satisfaction reports. 1.6.ii Ministry reports, management statements. 1.6.iii Project quarterly progress reports.</p>	<p>a. Time, interest, commitment from the relevant civil servants to participate.</p>
<p>1.7 Capacity building in aid coordination fully mainstreamed into SPPD.</p>	<p>1.7.a Aid coordination course model developed and implemented as part of training programmes. 1.7.b Staff satisfactorily trained through programme courses/workshops. 1.7.c Ministry management satisfied staff capable of implementing tasks.</p>	<p>1.7.i Course/workshop participants' feedback/satisfaction reports. 1.7.ii Ministry reports, management statements. 1.7.iii Project quarterly progress reports.</p>	<p>a. Aid coordination is presently not part of the PAR Strategy and under a different institutional framework. b. Government decision on aid coordination is expected to be forthcoming but not yet completed.</p>

Strengthening National Capacities for Strategic Planning and Policy Development (SPPD)
Inception and Implementation Phase I

<p>1.8. Capacity of future Committee for the Coordination of International Aid to strategically link sector plans with external resources enhanced.</p>	<p>1.8.a All members of the Committee have completed training.</p> <p>1.8.b The majority of sectors has a functioning coordination body, which meets on a regular basis to discuss implementation of the sector strategy.</p> <p>1.8.c CCIA coordinates the overall management of the sector coordination groups</p>	<p>1.8.i Course/workshop participants' feedback/satisfaction reports.</p> <p>1.8.ii Sector strategy documents and action plans</p> <p>1.8.iii Regular meetings and related documents.</p> <p>1.8.iv Collation of sector coordination groups' documents</p>	<p>a. Aid coordination is presently not part of the PAR Strategy and under a different institutional framework.</p> <p>b. Government decision on aid coordination is expected to be forthcoming but not yet completed.</p>
<p>1.9. At least one new policy for a key programme area within that ministry's responsibilities produced and approved, and with first steps in implementation taken. Working towards having a sector strategy across government levels in place (pending government approval).</p>	<p>1.9.a Actual policy/ies published and implemented</p>	<p>1.9.i Government publications promulgating laws and regulations</p> <p>1.9.ii Project quarterly progress reports.</p>	<p>a. Political commitment to overall programme.</p> <p>b. Time, interest from relevant civil servants to participate.</p>
<p>1.10. A multi-year action plan for strategic planning produced: (i) first year should lead to better defined and costed main programme areas, (ii) second year results-indicators, targets and monitoring system and plan developed, (iii) final six months: first monitoring results produced and more detailed costing of key programmes done (unit costs for delivering priority programmes).</p>	<p>1.10.a Ministerial instructions on internal budget process.</p> <p>1.10.b Involvement of ministry staff in budget process.</p> <p>1.10.c Consistency of ministerial instructions with Budget Framework Paper.</p>	<p>1.10.i Instructions document.</p> <p>1.10.ii Annual "mini surveys" of ministry staff.</p> <p>1.10.iii Project quarterly progress reports.</p>	<p>a. Political commitment to overall programme.</p> <p>b. Time, interest from relevant civil servants to participate.</p>

Strengthening National Capacities for Strategic Planning and Policy Development (SPPD)
Inception and Implementation Phase I

<p>1.11 Handbooks, instruments etc. required to successfully develop policy and carry out strategic planning produced, approved and in use.</p>	<p>1.11.a Availability of handbooks and instruments produced. 1.11.b Policy and planning done according to new handbooks and using instruments.</p>	<p>1.11.i Reports from ministries, cabinets. 1.11.ii Annual "mini surveys" of ministry staff. 1.11.iii Project quarterly progress reports.</p>	<p>a. Get feed-back from intended users of handbooks, instruments for continued improvements</p>
<p>1.12 Overall systems across jurisdictional borders for ensuring coherence, comprehensiveness, consistency and quality in the various policy proposals and strategic plans developed, approved, and in use. This includes mechanisms for ensuring that new policies and strategic plans comply with national policy guidelines and PFM limits such as medium-term fiscal targets and environmental, social and economic sustainability.</p>	<p>1.12.a Overarching guidelines available and being used. 1.12.b Key PFM documents (budgets, MTDS reports, BFPs etc) more consistent, comprehensive and better quality.</p>	<p>1.12.i Reports from cabinets. 1.12.ii Annual "mini surveys" of central government officials. 1.12.iii Annual project reports.</p>	<p>a. Political commitment to overall programme.</p>
<p>1.13 A local capacity for providing training in policy development and strategic planning established and capable of providing continuous skills upgrading to the public sector in these fields.</p>	<p>1.13 Local institutions providing increasing share of all training</p>	<p>1.13.i Reports from training institutions. 1.13.ii Project quarterly progress reports.</p>	<p>a. Appropriate local institutions/individuals identified and interested to commit to programme.</p>

Strengthening National Capacities for Strategic Planning and Policy Development (SPPD)
Inception and Implementation Phase I

Annual Programme Results Products			
1.14	At end of 2008 and 2009 and in June 2010, review with ministry staff (i) experience of the period's action plan design and process, (ii) policy process, tools used and results attained, (iii) strategy/ budget process, contents, (iv) summarise lessons for next planning cycle. The review process should preferably be in two stages: (a) for each ministry separately, (b) subsequently a joint sector State-Entity joined-up discussion on issues of mutual interest/ relevance.	<p>1.14.a Ministerial review document.</p> <p>1.14.b Revised instruments, tools, instructions etc as result of review.</p> <p>1.14.c Possible sector-wide summary of next steps.</p>	<p>1.14.i Ministerial documents</p> <p>1.14.ii Project reports.</p>
1.15	In December 2008 and 2009 and in June 2010 prepare for Steering Committee review of experiences, tools, legislation and other matters relevant for enhanced policy development and strategic planning, for information and possible action, including as basis for next cycle of ministries to be involved.	1.15.a Report to Steering Committee	1.15.i Project report.
			a. Access to all relevant stakeholders, and their full cooperation in information sharing.
			a. Commitment by Steering Committee to manage project.
#end#			

MANAGEMENT ARRANGEMENTS

1. Implementing Agency

The implementing agency of the project will be UNDP. UNDP will apply direct implementation modality (DIM) and will execute the project directly with the support of implementing partners.

Based on the overall objective of the project to support the capacities of local government actors, building the capacities of local consultancy and service providers is part of the project approach. Regarding the selection of implementing partners and subcontractors for separate mandates, priority will be given to cooperate to the highest extent possible with an adequate number of national organisations, institutions and individuals based on an open and transparent selection process. Project decisions on subcontracting and choice of implementing partners will be guided by the need to ensure within the project: (a) a clear link between implementation and policy components, (b) cost-effectiveness as well as, (c) the sustainability of capacity building measures offered by the project.

As a project implementing agency UNDP will assume full responsibility and accountability for managing the project, including the monitoring and evaluation of project interventions, achieving project outputs, and for the efficient and effective use of resources.

2. Steering Arrangements

The SPPD Project Board has a strategic function. As defined in the SPPD Project Board Terms of Reference, the SPPD Project Board has an oversight and overall decision making role in terms of the content, budgeting and prioritization of activities. Decisions are adopted via the majority vote. Ensuring equal representation of the involved partners in the Project, the Project Board consists of appointed members representing the following:

- BiH Office of Coordinator of the Public Administration Reform (PARCO),
- General Secretariat of the BiH Council of Ministers (GS),
- BiH Directorate for European Integration (DEI),
- BiH Directorate for Economic Planning (DEP),
- Government of the Federation of BiH,
- Government of Republika Srpska,
- BiH Ministry of Finance and Treasury,
- Delegation of European Commission,
- Embassy of the Kingdom of the Netherlands in BiH,
- Royal Norwegian Embassy in BiH, and
- United Nations Development Programme.

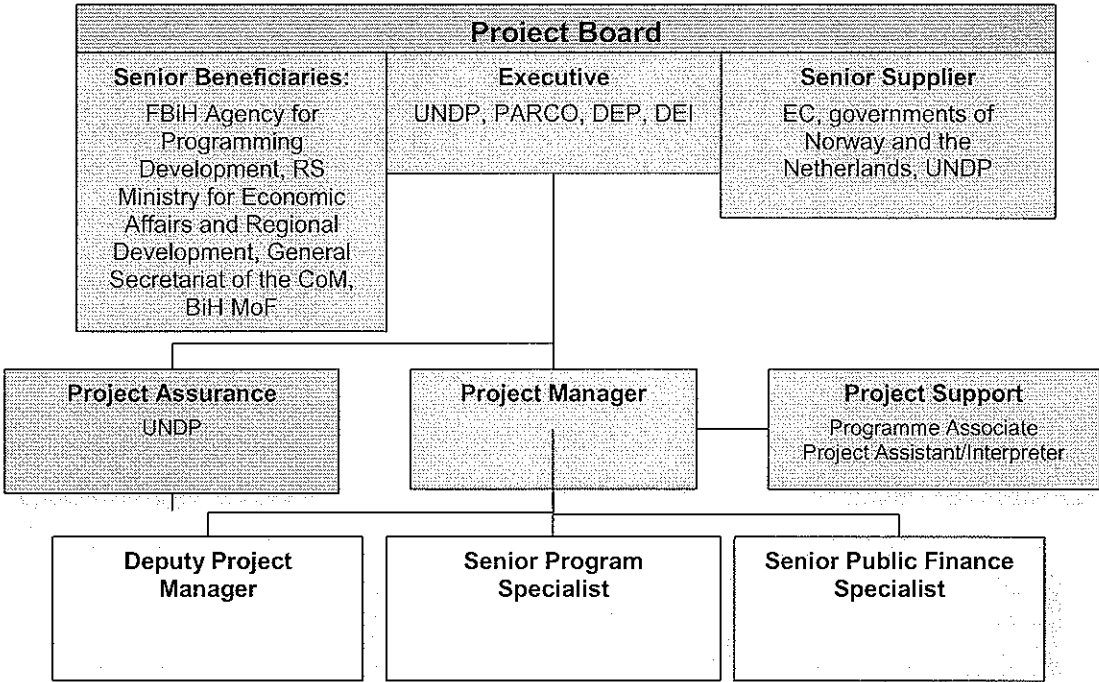
The primary responsibilities of the Project Board are to discuss and make recommendations on high level strategic and policy issues, including the objectives and priorities or matters of significant risk to the SPPD Project and to make decisions with respect to the implementation of programmatic phases. Moreover, the Project Board selects and proposes to the CoM sectors that are annually included in the SPPD Project, approves the major Project milestones, reviews and recommends actions to increase Project effectiveness and impact, ensures that all Project issues are addressed in time and that relevant parties remain actively involved, and makes decision with respect to institutionalization of the SPPD methodologies in participating ministries.

The Project Board meets on a quarterly basis, if not agreed differently based on Project needs.

3. Management

The project will be lead by the full-time Project Manager. The SPPD team will consist of 6 staff, as follows:

SPPD Project Organisation Structure



I. Results and Resources Framework

Intended Outcome as stated in the Country Programme Results and Resource Framework:			
By the end of 2014, Government with participation of civil society implements practices for more transparent and accountable governance and meets the requirements of the EU Accession process.			
Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets: Government at all levels modernizes public sector practices through public administration reform and promotion of social dialogue between government, workers' and employers' organizations and public-private partnership for urban and rural development.			
Applicable Key Result Area (from 2008-11 Strategic Plan):			
Democratic Governance			
Partnership Strategy			
Project title and ID: SPPD Award ID BIH10/00048898, Project ID BIH10/00059268			
INDICATIVE ACTIVITIES			
OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS (in USD)
Year 1: To provide support to the establishment and successful functioning of strategic planning and policy development systems at State and Entity levels that promote efficiency, effectiveness, accountability, and support the EU accession process.	Formulation of sector specific capacity building plan based on the needs assessment in the State and Entity ministries that cover Transport, Energy, and Labor and Employment. 9 MoUs and Activity Plans agreed and signed with the participating ministries. Education on strategic planning through four rounds of workshops for at least 45 civil servants. Development of three-year strategic plan for the chosen sector in 9 ministries. Creation of Strategic Planning Handbooks specific to the three sectors. Development of 9 ministerial internal acts that institutionalize strategic planning methodology. Education on SIGMA 12 steps policy cycle for at least 45 civil servants. 9 policy papers developed on a public policy selected by each ministry. Creation of a Policy Development Handbook. Creation of 9 ministerial internal acts institutionalizing policy development methodology in ministries.	UNDP, selected line ministries	74200 Audio Visual&Print Prod Costs 72100 Subcontract company 71600 Travel 75100 F&A
Baseline: Limited institutional capacities for strategic planning, policy development and program-based budgeting.		UNDP, selected line ministries	64,280.00 64,093.40 67,400.00 12,000.00 6,000.00 13,406.60 3,875.00 11,455.85
Public Finance component baseline: program-based budget planning is introduced as a process. However, the quality of budget submissions show that programs are usually linked to organisational units rather than strategic priorities and measurable goals and indicators to assess performance are usually missing.			
Strategic Planning component baseline: There are rather few sector strategies that are actually used to guide ministry plans and activities. Difficulties in inter-governmental coordination have been the greatest obstacle in joint strategic planning. Secondly, although the financial planning cycle foresees a three-year planning horizon programmatic planning is limited to annual work plans.			
Policy Development Component baseline: Although efforts have been made to institutionalise proper policy development through the creation of "Unified Rules for legislative drafting" (an similar rules in the RS), efforts remained in practice superficial. There is almost none pre-legislation policy development process. Usually one option is selected and transferred into a legislative draft and only then the general justification of the new law, financial implications, harmonisation with existing laws and EU acquis requirements are reviewed. These reviews are very basic and serve to justify the selected proposal rather than providing a critical assessment. Although consultations with the public are foreseen they are rather basic or not carried out at all, e.g. due to "lack of time".			
	Activity1. Improved Public Finance Management Activity2. Improved Strategic Planning Activity3. Improved Public Policy Development Activity4: Project Management	UNDP, selected line ministries UNDP, selected line ministries UNDP, selected line ministries UNDP	74200 Audio Visual&Print Prod Costs 72100 Subcontract company (material support) 71600 Travel 75100 F&A 71300 National Consultant 71200 International Consultant 72100 Subcontract company (material support) 71600 Travel 74200 Audio Visual&Print Prod Costs 72500 Publications (Professional literature, Miscellaneous Expenses 75100 F&A 71300 National Consultant 71200 International Consultant 71600 Travel (int. Consultant related and SPPD staff) 72100 Subcontract workshops 72100 Subcontract company (study visit) 72100 Subcontract company (material support) 72500 Publication 74200 Audiovisual Production 75100 F&A TOTALACTIVITY 3: (USD) 71100 AID Employee Cost 71400 Contractual Services Individual 72200 Furniture and Equipment 72400 Communication 72500 Office Supplies 72800 IT Equipment 73100 Rental & Maintenance-Premises 74200 Advertising/Contribution to UNDP PR 74500 Miscellaneous Expenses 75100 F&A TOTALACTIVITY 4: TOTAL: (USD)
			2,000.00 32,648.96 2,684.85 187.94 64,280.00 64,093.40 67,400.00 12,000.00 6,000.00 13,406.60 3,875.00 11,455.85 55,440.00 48,500.00 28,642.02 21,200.00 78,000.00 20,000.00 3,508.64 6,000.00 15,406.34 276,697.00 103,693.88 129,808.47 600.00 2,000.00 3,000.00 750.00 16,000.00 6,000.00 1,391.93 18,427.10 281,671.38 838,400.98

INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS (in USD)
<p>Output 1: To provide support to the establishment and successful functioning of strategic planning and policy development systems at State and Entity levels that promote efficiency, effectiveness, accountability, and support the EU accession process.</p> <p>Baseline: Limited institutional capacities for strategic planning, policy development and program-based budgeting.</p> <p>Public Finance component baseline: program-based budget planning is introduced as a process. However, the quality of budget submissions show that programs are usually linked to organisational units rather than strategic priorities and measurable goals and indicators to assess performance are usually missing.</p> <p>Strategic Planning component baseline: There are rather few sector strategies that are actually used to guide ministry plans and activities. Difficulties in inter-governmental coordination have been the greatest obstacle in joint strategic planning. Secondly, although the financial planning cycle foresees a three-year planning horizon, programmatic planning is limited to annual work plans.</p> <p>Policy Development Component baseline: Although efforts have been made to institutionalise proper policy development through the creation of "Unified Rules for legislative drafting" (an similar rules in the RS), efforts remained in practice superficial. There is almost none pre-legislation policy development process. Usually one option is selected and transferred into a legislative draft and only then the general justification of the new law, financial implications, harmonisation with existing laws and EU acquis requirements are reviewed. These reviews are very basic and serve to justify the selected proposal rather than providing a critical assessment. Although consultations with the public are foreseen they are rather basic or not carried out at all, e.g. due to "lack of time".</p>	<p>Year 2: Formulation of sector specific capacity building plan based on the needs assessment in the State and Entity ministries that cover Transport, Energy, and Labor and Employment. 9 MoUs and Activity Plans agreed and signed with the participating ministries. Education on strategic planning through four rounds of workshops for at least 45 civil servants. Development of three-year strategic plan for the chosen sector in 9 ministries. Creation of Strategic Planning Handbooks specific to the three sectors. Development of 9 ministerial internal acts that institutionalize strategic planning methodology. Education on SIGMA 12 steps policy cycle for at least 45 civil servants. 9 policy papers developed on a public policy selected by each ministry. Creation of a Policy Development Handbook. Creation of 9 ministerial internal acts institutionalizing policy development methodology in ministries. Improved quality of budget requests for 2010 in terms of budget structure, performance monitoring and cost calculations. Strengthening coordination between the line ministries at the State and Entity level through at least 5 rounds of sector workshops.</p>	<p>Activity 1: Improved Public Finance Management</p> <p>Activity 2: Improved Strategic Planning</p> <p>Activity 3: Improved Public Policy Development</p> <p>Activity 4: Project Management</p>	<p>UNDP, selected line ministries</p> <p>UNDP, selected line ministries</p> <p>UNDP, selected line ministries</p> <p>UNDP</p>	<p>71600 Travel 72100 Subcontract company 74200 Audio Visual&Print Prod Costs 75100 F&A</p> <p>TOTAL ACTIVITY 1: 129,906.60 174,132.52 35,000.00 87,722.14 16,000.00 10,000.00 20,400.65 26,720.79</p> <p>TOTAL ACTIVITY 2: 499,882.70 144,815.83 164,726.49 66,598.30 175,179.56 6,000.00 12,000.00 11,852.43 36,278.82</p> <p>TOTAL ACTIVITY 3: 617,451.43 155,540.82 200,043.56 10,000.00 3,582.58 7,200.00 3,000.00 2,250.00 33,000.00 9,000.00 2,391.93 28,861.63</p> <p>TOTAL ACTIVITY 4: 454,870.52 1,656,030.67</p>

PRIJEDLOG PROJEKTA

-ZAJEDNIČKI CENTAR ZA ANALIZU RIZIKA-

I.	INSTITUCIJA.....	2
II.	UVOD.....	2
III.	STANJE U SEKTORU.....	2
IV.	POSTOJEĆE AKTIVNOSTI.....	3
V.	CILJEVI I OČEKIVANI REZULTATI.....	4
A.	CILJEVI:.....	4
B.	NAMJENA:.....	4
C.	PREDLOŽENA METODOLOGIJA I SERVISI:.....	4
VI.	PROCJENA, RIZICI I ZAHTJEVI PROJEKTA.....	5
VII.	ZAHTJEVI POTREBNI ZA IZVRŠENJE PROJEKTA I KONTAKT OSOBA.....	5
VIII.	IZVJEŠTAJ:.....	6

I. INSTITUCIJA

U okviru projekta Integrisano upravljanje granicom, finansiranog od Evropske komisije, uspostavljen je Zajednički centar za analizu rizika vezanih za državnu granicu. U ovaj Centar ušli su predstavnici Ministarstva sigurnosti BiH, Granične policije BiH, Uprave za indirektno oporezivanje BiH, Kancelarije za veterinarstvo BiH, Službe za poslove sa strancima BiH i Uprave BiH za zaštitu zdravlja bilja. Centar je osnovan kao organizaciona jedinica Granične policije BiH, dok je su u navedenim institucijama uspostavljeni Lokalni centri za analizu rizika. Lokalni centri obavljaju djelatnost iz djelokruga svoje agencije/službe i obavezni su da osiguraju potpunu saradnju i redovnu komunikaciju sa Zajedničkim centrom (Sporazum o uspostavljanju centra za anlizu ruzika vezanih za državnu granicu).

II. UVOD

Državna komisija za Integrisano upravljanje granicom Bosne i Hercegovine donijela je Odluku o imenovanju Potkomisije za Zajedničku analizu rizika i uspostavljanje Centra za analizu rizika. Potkomisija je nadležna za ostvarivanje ciljeva iz tačke 5.2. navedenih u Akcionom planu Strategije integrisanog upravljanja granicom u BiH u dijelu gdje je potkomisija označena kao nosilac aktivnosti.

Potkomisija je održala prvi sastanak 23.12.2008. godine u prostorijama Granične policije u Sarajevu na kojem su članovi Potkomisije upoznati sa Odlukom o imenovanju i zadacima u daljem radu, utvrđen je način rada potkomisije, definisane su prioritetne aktivnosti i način izvještavanja, te sačinjen nacrt Plana rada Potkomisije.

Na sastanku je kao *prioritetnu aktivnost ove Potkomisije* u narednom periodu, a u skladu sa Strategijom IUG i Akcionim planom, te Odlukom o formiranju potkomisije određeno i **Uspostavljanje i stavljanje u funkciju Centra za zajedničku analizu rizika.**

Dana 22.12.2008. godine Ministar sigurnosti BiH i direktori Granične policije BiH, Uprave za indirektno oporezivanje BiH, Kancelarije za veterinarstvo BiH, Službe za poslove sa strancima BiH i Uprave BiH za zaštitu zdravlja bilja potpisali su **Sporazum o uspostavljanju centra** za analizu rizika vezanih za državnu granicu BiH.

Dana 01.03.2009. godine uspostavljen je zajednički Centar za analizu rizika u kome sudjeluju sporazumne strane, potpisnice Sporazuma o uspostavi Centra za analizu rizika vezanih za državnu granicu.

U Centru se nalazi pet predstavnika Granične policije BiH od kojih je jedan šef Centra, dva analitičara, jedan predstavnik za informatičko- tehničku podršku i jedan administrator. Dva predstavnika UINO BiH, oba stručni saradnici-analitičari u Centru, jedan predstavnik iz Ureda za veterinarstvo BiH , koji radi u Centru pola radnog vremena. Jedan predstavnik iz Uprave za zaštitu zdravlja bilja BiH, i jedan predstavnik iz Službe za poslove sa strancima BiH.

III. STANJE U SEKTORU

Centar objedinjava sve relevantne subjekte koji se bave pitanjima sigurnosti granice i ima značajnu ulogu u sprečavanju svih vidova prekograničnog kriminala i nezakonitog kretanja

ljudi i roba, te s tim u vezi prikuplja, analizira i procjenjuje situacije na granici, te omogućava efikasno i sistematsko korištenje vlastitih sredstava i vanjske podrške na način da se usmeri na relevantna pitanja prilikom poduzimanja operacija duž državne granice u skladu sa EU standardima.

U tom smislu, uloga Centra je uspostavljanje saradnje, odnosno razmjena podataka između Sporazumnih strana na centralnom nivou, kao i sa ostalim agencijama za sprovođenje zakona u skladu sa važećim zakonima.

IV. POSTOJEĆE AKTIVNOSTI

Zajednički Centar za analizu rizika je od svog formiranja imao sljedeće aktivnosti:

- Dana 06.03.2009. godine održan je sastanak sa IOM predstavnicima vezano za obuke i usavršavanja osoblja zaposlenih u Centru. Na sastanku su dogovorene aktivnosti oko daljeg usavršavanja osoblja u Centru, kao i rješavanje određenih poteškoća koje su se javile prilikom uspostavljanja Centra.
- Sastanak sa IOM predstavnicima održan u prostorijama Centra dana 24.03.2009. godine, na kome smo zatražili sljedeće obuke koje smo u ovom trenutku smatrali najpotrebnijim:
 - i2, analyst notebook - osnovni i napredni kurs;
 - Rukovanje i upotreba tehničke opreme – sa akcentom na komunikacijske kanale sa lokalnim centrima, te import podataka;
 - Krim- obavještajna analiza;
 - European Computer Driving License;
 - Engleski jezik – terminologija i stručni izrazi vezani za rad centara za analizu rizika;
 - Pisanje prijedloga projekta (Project Cycle Management);
 - Strateško planiranje;
 - Studijska posjeta – u cilju uvida u primjere dobre prakse, izgradnje tima, izgradnje komunikacijskih kanala/ vještina;
 - Posjeta EURPOL-u;
 - i2, i-Base (kreiranje/ administriranje baze podataka);
 - MS SQL Server (instaliranje, administriranje);
 - MS Windows Server 2003 R2 (instaliranje, administriranje);
- Zajednički Centar za analizu rizika je imao seminar u trajanju od 16.03-20.03.2009. godine pod nazivom “Otvoreni izvori informacija i otvoreni izvori obavještajnih podataka” (OSINF/OSINT), za analitičare Centara i analitičare lokalnih centara;
- Obuka na temu Analyst Notebook u organizaciji TWINING projekta i mađarske nacionalne policije;

- Napredna obuka u organizaciji IOM-a na temu Vizuelno prikazivanje podataka, i Obavještajna analiza.
- Kurs engleskog jezika za analitičare;
- Radionice u vezi integracije baza podataka.

V. CILJEVI I OČEKIVANI REZULTATI

a. Ciljevi:

- Doprinos implementaciji Strategije integrisanog upravljanja granicom i Akcionog plana za integrisano upravljanje granicom;
- Bolja suradnja između agencija i službi koje se bave poslovima u vezi sa državnom granicom;
- Efikasnija granična kontrola i borba protiv svih oblika prekograničnog kriminala;
- Efikasnije kontrole protoka roba uz minimalno zadržavanje na granici.

b. Namjena:

Anexom 1 sporazuma o uspostavi zajedničkog Centra za analizu rizika vezanih za državnu granicu definisani su Tehnički aspekti razmjene podataka budućeg informacionog sistema. Navedeno je da će 5 Agencija izdvajati interesantne podatke iz svojih baza podataka u jednu zajedničku bazu podataka na nivou lokalnog centra. Navedene informacije će biti replicirane iz lokalnih centara u zajednički Centar za analizu rizika putem VPN-a, i dalje će se koristiti u svrhe analize.

Shodno navedenom osnovni zahtjevi bi bili da se implementira adekvatan informacioni sistem koji bi odgovorio potrebama Centra.

c. Predložena metodologija i servisi:

Uspostavljanjem Centra za analizu rizika učinjen je važan korak u ispunjavanju obaveza koje su date Bosni i Hercegovini potpisivanjem Sporazuma o stabilizaciji i pridruživanju Bosne i Hercegovine Evropskoj uniji, obaveza koje proističu iz odredbi Mape puta za liberalizaciju viznog režima BiH u Evropskoj uniji, te Strategije i Akcionog plana za Integrisano upravljanje granicom usvojenih od Savjeta ministara BiH.

Zadaci Centra za analizu rizika su:

- Prikupljanje, obrada i analiza informacija i podataka koji se odnose na prekograničnu kontrolu lica, vozila i roba;
- Analiza trenda i procjena rizika;
- Izrada strateških i operativnih analiza;
- Izrada profila rizika koji će biti upućeni Lokalnim centrima na daljnje postupanje;
- Prognoza scenarija sa jasnim i eksplicitnim pretpostavkama za budućnost;

- Centar razmatra sve oblike prekograničnog kriminala i nezakonitog kretanja ljudi i roba koristeći informacije iz raspoloživih izvora;
- Servisiranje agencija/službi uključenih u Centar i ostalih nadležnih institucija potrebnim informacijama;
- Redovno i vanredno izvještavanje i izrada analiza i informacija na zahtjev Sporazumnih strana.

VI. PROCJENA, RIZICI I ZAHTJEVI PROJEKTA

Ovaj projekat nastao je kao odgovor na potrebu uspostavljanja Centra za analizu rizika (SSP, Mapa puta za liberalizaciju viznog režima, Strategija i AP za integrisano upravljanje granicom).

Potrebno je uraditi projektnu, instalacionu i korisničku dokumentaciju, zatim specifikaciju za testiranje aplikacije (način testiranja i ko vrši testiranje). Aplikacija treba da bude projektovana tako da se oslanja na savremene standarde u oblasti informatike a korisnički interfejs treba da poštuje savremene ergonomске zahtjeve. Aplikacija treba da bude funkcionalna i fleksibilna u pogledu razvijanja novih segmenata za kojim se javi potreba u perspektivi.

Potrebno je izvršiti:

- Presentaciju modela procesa, baze podataka i aplikacije;
- Presentaciju prototipa sa nekoliko tipičnih vizuelnih primjera;
- Implementaciju i testnu fazu;
- Obuku u oblasti eksploatacije i održavanja sistema;
- Zaštita softverskog proizvoda.

Okvirna budžetska sredstva za implementaciju projekta su 49.000 KM.

VII. ZAHTJEVI POTREBNI ZA IZVRŠENJE PROJEKTA I KONTAKT OSOBA

1. Ljudski potencijali

Ispred Zajedničkog centra za analizu biće imenovan Projekt Menadžer. Firma koja bude izabrana za implementaciju projekta treba da odredi Projekt menadžera i ekspertni tim za dizajn i implementaciju projekta.

2. Rok izvršenja:

Predviđeni rok za izradu projekta je 4 mjeseca od potpisivanja ugovora nakon izbora najboljeg ponudžaca na tenderu po pravilima javnih nabavki BiH, a nakon usvajanja prijedloga projekta od strane Savjeta ministara.

3. Planirani budžet i zahtjevani resursi:

Projekt je organiziran na način da se izvodi putem javnog tendera. Pobjednik na javnom natječaju će organizirati rad po principima i standardima primjenjivim na ovom projektu, no obavezan je da minimalno angažuje: projekt menadžera u toku cijelog trajanja projekta, određeni broj eksperata iz oblasti vezane za tematiku projekta i administrativnog saradnika.

Planirani budžet za izradu ovog projekta je BAM 49.500,00.

4. Kontakt osoba

Jovan Knežević
Zajednički centar za analizu rizika
eMail: zcar@dgs.gov.ba

VIII. IZVJEŠTAJ:

Izvršilac ugovora je obavezan pripremiti i dostaviti:

- početni (inicijalni) izvještaj projekta,
- finalni izvještaj.

Početni (inicijalni) izvještaj se podnosi nakon provedene analize trenutnog stanja u datoj oblasti (nakon prve aktivnosti). On treba da sadrži detaljan plan realizacije projektnih aktivnosti kojim će se precizno definisati ono što treba biti učinjeno i ostvareno kao i kada. Početni izvještaj pruža mogućnosti da se predlože određene izmjene u planu realizacije Projekta, ukoliko su u međuvremenu nastale neke značajnije promjene koje mogu uticati na realizaciju projektnih aktivnosti kako je to predviđeno Projektnim zadatkom. On također treba sadržavati indikatore za monitoring kako bi se mogle lakše upoređivati planirane aktivnosti i rezultati sa onim što je zaista urađeno i postignuto.

Završni izvještaj treba da bude podnešen nakon implementacije posljednje aktivnosti iz projekta, a najkasnije mjesec dana nakon toga.

SPPD ANNUAL WORK PLAN

YEAR: 2009

EXPECTED OUTPUTS	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME				RESPONSIBLE PARTY	PLANNED BUDGET	
		Q1	Q2	Q3	Q4		Funding Source	Amount
<p><i>And baseline, associated indicators and annual targets</i></p> <p>Output</p> <p>To provide support to the establishment and successful functioning of strategic planning and policy development system/s at State and Entity levels that promote efficiency, effectiveness, accountability, and support the EU accession process.</p>	<p>Improve Public Finance Management:</p> <p>Three sector workshops and mentorship to present mid-term budget planning and program budgeting methodology</p>					Netherlands UNDP	Travel Subcontract Companies	536.97 2,669.79
						Netherlands UNDP	Printing cost GMS	400.00 37.59
	<p>Three sector workshops and mentorship to present performance monitoring, and develop draft performance indicators</p>					Netherlands UNDP	Travel Subcontract Companies	536.97 2,669.79
						Netherlands UNDP	Printing cost GMS	400.00 37.59
<p>Baseline:</p> <p><i>Limited institutional capacities for strategic planning, policy development and program-based budgeting.</i></p> <p>Annual targets:</p> <p>9 MoUs and Activity Plans agreed and signed</p>	<p>Three government level workshops and mentorship to discuss pending issues with Ministries of Finance related to Instructions #2 and to produce the 2010 budget request</p>					Netherlands UNDP	Travel Subcontract Companies	536.97 2,669.79
						Netherlands UNDP	Printing cost GMS	400.00 37.59
	<p>Three sector workshops and mentorship to introduce activity-based costing and cost out Action Plans developed within the Strategic Planning Process</p>					Netherlands UNDP	Travel Subcontract Companies	536.97 2,669.79
						Netherlands UNDP	Printing cost GMS	400.00 37.59
<p>9 MoUs and Activity Plans agreed and signed</p> <p>Education on strategic planning through four rounds of workshops for at least 45 civil servants.</p> <p>Development of three-</p>	<p>Three government level workshops and mentorship to discuss pending issues with Ministries of Finance related to Instructions #3 and to produce the 2010 Program Budget</p>					Netherlands UNDP	Travel Subcontract Companies	536.97 2,669.79
						Netherlands UNDP	Printing cost GMS	400.00 37.59

RISK LOG

Project Title: Strategic Planning and Policy Development - SPPD Award ID: Date: 22 October 2008

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Government with insufficient funds for own activities	22.10.08	Financial	Insufficient planning and preparation on government side will mean ministries not able to engage in dialogue, joint learning at sector workshops, reducing effect P = 2 I = 2	Most resources needed are part of ministry budgets, but there is little flexibility if additional funds needed. May have to use project funds if this becomes critical.	BIH Govs	AD	23.10.08	
2	Problems receiving donor funds on time	22.10.08	Financial	Donor funds need to be made available on time to ensure smooth operations of program P = 1 I = 2	UNDP has own funds in program so can use these if and when required as bridging funding, so impact is expected to be minimal	UNDP	AD	23.10.08	
3	Unable to get appropriate external expertise on time	22.10.08	Operational	Program is dependent on getting the right expertise at right times to function as planned with sometimes tight schedules due to the national budgeting cycles and deadlines P = 2 I = 3-4	Good planning and close follow-up by program management, and close dialogue with government counterparts	UNDP	AD	23.10.08	Should be tracked well, and if so will be manageable, though impact high if fail
4	Project staff with insufficient skills to run program	22.10.08	Operational	The program is quite demanding in terms of both technical, management, facilitating and mentoring skills, so need to have all available P = 2 I = 4	UNDP is carrying out careful search for program staff, and Steering Board also aware of issue	UNDP	AD	23.10.08	Being tracked by UNDP office during recruitment process
5	Project management not running programme well	22.10.08	Organisational	Because program is working with different sectors with quite different needs, the challenge for management of allocation staff time well across activities is substantial P = 1 I = 4	If this problem arises, the impact can become significant, but the recruitment of the manager seems to have identified good candidates with solid management experience	UNDP	AD	23.10.08	Management experience is key consideration in recruitment process
6	Insufficient admin capacity to organise, manage all events	22.10.08	Organisational	Many different kinds of activities need to take place, in particular many workshops that will require considerable logistical capacity to ensure that they all happen and run well P = 2 I = 2	This is a learning intensive program so the impact of not being able to organise these events well can become considerable	UNDP	AD	23.10.08	There should be sufficient funds for the admin and logistical support services required
7	Unable to secure learning events abroad as scheduled	22.10.08	Organisational	Identifying relevant bodies to visit abroad and secure a relevant program for the visits will be a challenge, and these are time demanding tasks. While something is likely not to go according to schedule, the events are probably not critical to final Outcome P = 3 I = 1	Will have to be built into annual work plans with good time foreseen for each event. Steering Board will also have to play an active role here to ensure no delays in approvals	UNDP, Steering Board	AD	23.10.08	Essentially requires good planning far in advance

8	Overall political interest in, commitment to program falls	22.10.08	Political	This program is sensitive to any changes to the political interest in supporting activities across government boundaries. A change here may block the program completely. P = 3 I = 4	The first political hurdle has been passed as all governments have approved the program. The more likely problem is that the program becomes hostage to larger political debates, which may well occur	Governments	AD	23.10.08	This is the single largest risk factor, and something the program partners can do little or nothing about
9	Within-sector dis-agreements affects joint learning	22.10.08	Political	Ministries in same sector from different governments may decide they do not want to continue collaborating, for different reasons P = 2 I = 3	The experience so far is that technical bodies work reasonably well together. But if such a breakdown occurs, the impact is serious	UNDP, Governments	AD	23.10.08	The UNDP will pay close attention to within-sector dynamics and try to address issues early
10	Changes to legal framework makes program less relevant	22.10.08	Regulatory	The program is based on a series of draft laws and proposals that have political support but may change as their approval needs to be formalised. If that happens, the program may have to be re-structured P = 2 I = 3	All the assumptions are based on EU standards and recommendations and thus have strong support and so far local ownership. However, key BiH actors are changing and under-standing and support may change	UNDP	AD	23.10.08	Needs UNDP to follow closely what happens with personnel and policy changes
11	Changes in responsibilities among actors undermines roles for program activities	22.10.08	Regulatory	Responsibilities within governments – ex: from General Secretariats – or within ministries – ex: from Secretary – may cause major disruptions to program P = 1 I = 3	Ministers or Governments may decide to change implementation arrangements, responsibilities, which will affect cross-ministry collaboration, perhaps severely	Governments	AD	23.10.08	Need to maintain political under-standing and support for program as is
12	Importance of project in larger institutional reform process seen as less	22.10.08	Strategic	The project is foreseen as important in the context of both PAR, budget reforms etc. If this is seen as no longer the case, or other activities have taken over, the project may be discontinued or downgraded P = 1 I = 3	The project is currently seen to fill an important need, including for the PAR and EU accession processes. But the picture may change, in which case the project relevance and hence implementation will change	UNDP, Governments	AD	23.10.08	Need to maintain political under-standing and support for program as is