

Solomon Islands Resource Facility (SIRF)

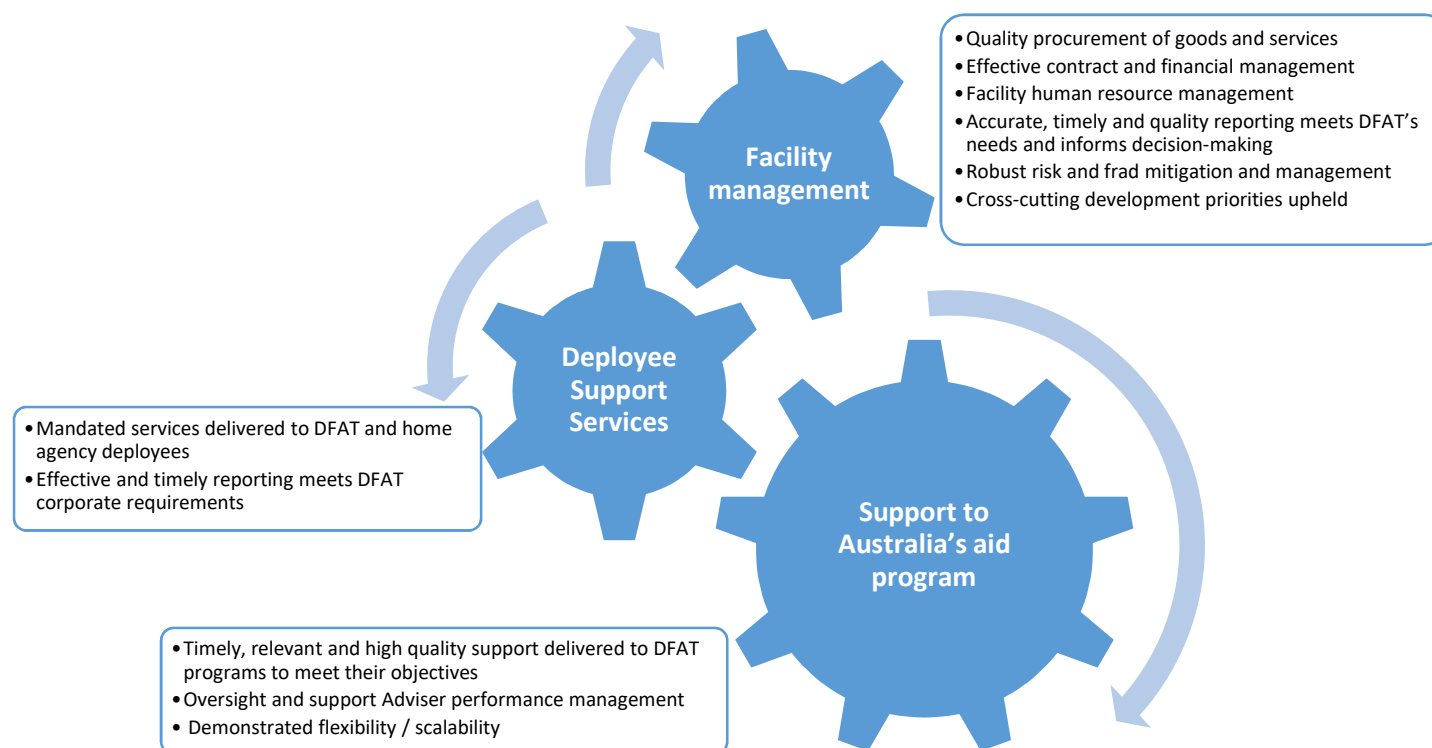
Monitoring and Evaluation Framework (MEF) – updated October 2019

The purpose of SIRF is *to effectively and efficiently support the work of DFAT in meeting the objectives of Australia's aid program in Solomon Islands.*

The *key outcomes* of the Facility are:

- (a) DFAT programs in Solomon Islands receive strategic advice and support
- (b) Advisers engaged to support DFAT programs effectively contribute to development objectives in Solomon Islands
- (c) Australian Government officials and advisers in Solomon Islands receive the deployment support necessary to effectively perform their duties in Solomon Islands

The key outcomes are achieved by three inter-related areas of service provision:



The following **principles** apply to the provision of services through SIRF:

- (a) Flexibly respond to changing program needs
- (b) Operate consistent with Australian Government policy
- (c) Promote Australian Government cross-cutting development priorities
- (d) Inform DFAT program quality reporting
- (e) Build domestic capacity

This SIRF MEF provides the basis for:

- Assessing and reporting on SIRF performance against the purpose, outcomes and principles.
- Providing performance information to support learning and decision-making.

Reporting against the MEF will primarily occur in the six-monthly Management Report. The monthly Management Dashboard and Financial Report will also include relevant information for tracking some indicators in the intervening months. Part 3 of the MEF details reports relevant to the MEF.

The MEF focuses on the most important elements to monitor and measure – it is not intended to capture the entirety of SIRF’s work. Over time, changes to the MEF may be required to ensure it best serves the evolving nature of SIRF’s work.

The MEF consists of three parts:

- Part 1. A set of questions related to the Facility principles
- Part 2. A matrix containing detailed performance measures related to each area of service provision
- Part 3. A summary of the tools and reports related to the MEF

PART 1: Reporting on the Facility principles

The following questions are to guide reporting and discussions with DFAT regarding adherence to the Facility principles. Where relevant, indicators related to these questions are included in the MEF matrix:

(a) Flexibility to respond to changing program needs: To what extent has the SIRF operating model demonstrated flexibility and scalability, to be responsive to changes in Australian government aid priorities or deployee support needs in Solomon Islands (e.g. changes to the number of advisers required, or changes to the deployee services required)?

(b) SIRF operates consistent with Australian Government policy: Has technical assistance (advisers) been recruited and managed in accordance with DFAT policies and guidelines and DFAT Program requirements?

(c) SIRF will promote Australian Government cross-cutting development priorities: To what extent has SIRF supported DFAT programs to incorporate crosscutting development priorities, such as gender equality and disability inclusion, into adviser Terms of Reference and reinforced these principles in recruitment and performance management processes?

(d) SIRF will inform DFAT program quality reporting: In what ways has SIRF monitoring and evaluation and reporting informed evidence-based decision making by DFAT programs? What are the key lessons learnt about the operation of the Facility itself, to optimise efficiency and promote continuous improvement?

(e) Building domestic capacity: To what extent has SIRF maximised the use of local expertise, goods, services and staff? What have the benefits been to Solomon Islands businesses (particularly businesses owned by women), organisations and individuals?

PART 2: Matrix of performance measures for each area of service provision

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
Facility Management						
Quality procurement of goods and services	Relevant goods and services procured in an efficient and timely manner	Agreed plans in place to ensure procurement meets DFAT program needs Procurement outcomes delivered within agreed budgets and timeframes	Procurement Plan developed for each Service Order and updated quarterly Procurement expenditure is within budget and timeframes are as per agreed procurement strategy	Six Monthly Management Report Management Dashboard Financial Report	Six-monthly Monthly Monthly	Six Monthly Management Report to report on the Facility's procurement performance within the context of the broader procurement environment

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
	Facility procurement processes are compliant with head contract and legal obligations, and provide consistency across conditions and approaches used	<p>Adherence to Commonwealth Procurement Rules (CPRs), including value for money principles</p> <p>Compliance with procurement processes set out in the Facility Operations Manual and the head contract</p> <p>Adviser recruitment complies with the Adviser Remuneration Framework (ARF)</p>	<p>100% adherence to CPRs</p> <p>100% adherence to the operations manual and head contract</p> <p>100% of adviser recruits comply with the ARF</p>	<p>All procurement processes signed off as adhering to relevant processes. Outcomes documented, and all files stored. Random internal checks.</p> <p>Financial audit and ARF annual adviser stocktake provide independent verification</p>	Ongoing Annual	By complying with the procurement processes in the Facility Operations Manual (drawing from the Head Contract) all necessary safeguards and compliance requirements are met

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
	Domestic capacity built through maximum use of expertise, goods, services from within Solomon Islands	<p>Percentage of procurement conducted in the local market</p> <p>Participation and success rates of Solomon Islands entities in SIRF local tenders</p> <p>Number of tender briefings that are inclusive and focus on building local capacity</p> <p>SIRF contracts awarded to SI entities are supported by a capacity building focus and resources (if due diligence assessment shows it is warranted)</p>	<p>Baseline 89% procurement through SI entities</p> <p>Target 80% procurement through SI entities</p> <p>100% of tender briefings are inclusive with a capacity building focus</p> <p>100% of contracts awarded to SI entities are supported by capacity building (if they are assessed to require it)</p>	<p>Six Monthly Management Report</p> <p>Service Order budgets incorporate capacity building initiatives for SI entities</p>	Six-monthly	SIRF will maximise the use of local expertise, goods, services and staff in order to provide the largest reasonable benefit to Solomon Islands businesses (particularly businesses owned by women), organisations and individuals while still providing value for money to DFAT.
Effective contract and financial management	Financial and asset management complies with CPRs and Facility Operations Manual financial and asset controls	<p>Accurate, up-to-date Asset Register maintained</p> <p>Timely financial reporting</p> <p>Annual financial audit completed and recommendations implemented</p>	<p>Physical asset check completed each six months and asset register fully up to date</p> <p>Monthly financial reporting provided by second Friday of each month</p> <p>Audit recommendations implemented within 8 weeks</p>	<p>Asset Stocktake</p> <p>Financial Report submitted to DFAT with invoice</p> <p>Independent audit report</p>	<p>Bi-annually</p> <p>Monthly</p> <p>Annual</p>	

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
	Robust contract management systems and processes	Fit-for-purpose Facility Operations Manual Compliance with DFAT policies on contract conditions Performance measurements in contracts	DFAT approval of Facility Operations Manual 100% compliance with head contract conditions 100% of contracts have performance management clauses	Management Information System Six Monthly Management Report to detail compliance with ARF and provide adviser statistics DFAT Adviser Stocktake	Ongoing Six-monthly Annual	
	Effective and adaptive grant management	Establishment of Grant Unit Grants Manual outlining processes and procedures developed Number of grants administered and managed under SIRF	Grant Unit personnel appointed DFAT approval of Facility Grants Manual All DFAT identified grants are managed by SIRF Grant Unit	DFAT approval of selection reports Grant system (database) operational Six monthly report	1 st quarter of 2020 Ongoing	
Effective Facility human resource management	Facility operations supported by capable and well-managed human resources	Core Facility positions filled by appropriately qualified staff Opportunities are sought to advance gender equality Facility staff (including LES) performance is managed Facility LES provided with professional development opportunities relevant to their job duties	Core Facility Management Team positions filled within 12 weeks of vacancy Refer targets within gender equality workforce strategy All facility staff have regular performance appraisals - 90% of which are rated effective or above All LES have professional development plans and complete their approved professional development activities	Annual Partner Performance Assessment Independent audit to assess compliance with Facility Operations Manual HR procedures Six Monthly Management Report Gender equity scorecard (contained in Six Monthly Management Report)	Annual Annual Six-monthly Six-monthly	

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
Robust risk and fraud mitigation and management practices integrated into Facility operations	Risks to Facility operations, effectiveness, sustainability, reputation are well understood, monitored and mitigated / managed	Risk Management Plan is maintained and treatments implemented	Risk management plan updated six monthly and monthly emerging risks identified in management dashboard	Monthly Management Dashboard Six Monthly Management Report	Monthly Six-monthly	
	Measures for fraud control integrated throughout Facility operations and documented	Financial controls strong and auditable Wide understanding among staff, advisers, contractors understanding of fraud.	Fraud Matrix is maintained, controls implemented and all cases of alleged, suspected or detected fraud cases reported to DFAT within 5 business days All contracts have fraud conditions. 100% advisers comply with signing Cardno's fraud policy and attending any mandatory fraud training	Communication as needed to advise of alleged, suspected or detected fraud Six Monthly Management Report to include updates on any fraud cases Six Monthly Management Report to report on compliance with training and fraud policy targets.	Ongoing as needed Six-monthly Six-monthly	
Accurate, timely and quality reporting meets DFAT's needs and informs decision-making	Facility financial reporting supports DFAT's budgetary decision-making	Regular reporting on program budget expenditure	Financial reporting is accurate and provided to DFAT by the second Friday of each month (ad hoc requests are met outside this timeframe) Expenditure for reporting period within 5% of variance from forecast	Financial Reports Management Dashboard Six Monthly Management Report	Monthly Monthly Six-monthly	

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
	Facility reporting supports DFAT's program implementation and decision-making needs	Facility staff adhere to communications protocols set out in the 'Ways of Working' (WoW) document Facility participates in regularly feedback mechanisms and adjusts reporting as required	Facility staff participate in all designated meetings. All reporting submitted by relevant deadline. WoW regularly reviewed	Contract Management meetings; Program Team Leaders meetings; SIRF Management Group. Management Dashboard. Financial Report. Six Monthly Management Report.	Fortnightly, monthly and six-monthly meetings. Monthly and six-monthly reports WoW reviewed quarterly	Greater transparency and accountability.
Cross-cutting development priorities upheld	Demonstrated strategies to advance gender equality, disability-inclusive development, and child protection	Gender equality and disability inclusion considerations integrated into recruitment, procurement and grant management processes' Compliance with Cardno child protection policy, and police background checks conducted. SIRF premises are disability accessible where possible and support inclusive practices	Cross-cutting selection criteria in all recruitments. Mandatory social inclusion and gender question asked at all interviews Facility staff and advisers provided with relevant information and sign the Cardno child protection policy. Police background checks are completed for personnel. SIRF and program offices are accessible and inclusive spaces	Six Monthly Management Report Recruitment documentation Facility operations Manual Cardno child protection reporting	Six-monthly Ongoing	

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
Support to the Australian Aid Program						
Timely, relevant, high quality support delivered to DFAT programs to meet their objectives	DFAT is supported with quality advice on the development of adviser terms of reference and scopes of services to guide adviser recruitment	<p>Quality advice is provided in a timely manner when requested</p> <p>Recruitment processes are transparent, merit based and timely</p> <p>Recruitment approaches incorporate gender equity and social inclusion</p> <p>Advisers are well prepared for their roles on commencement</p>	<p>All requests are provided quality advice</p> <p>Recruitment processes completed in accordance with Facility Operations Manual</p> <p>Service Level Standards for preparation and mobilisation met</p>	<p>Survey of DFAT programs</p> <p>PPA</p> <p>Outcome selection reports completed for all recruitment processes</p> <p>Six Monthly Management Report</p> <p>Survey of DFAT programs</p>	<p>Annual</p> <p>Annual</p> <p>Ongoing</p> <p>Six-monthly</p> <p>Annual</p>	Outcome selection reports include referee checks and safeguard checks
	Analysis of adviser trends across the Facility	Recruitment process data: number of applications received for positions, average time to recruit and mobilise; average length of time position vacant. Adviser performance ratings; ARF levels		<p>Management Dashboard</p> <p>Six Monthly Management Report</p>	<p>Monthly</p> <p>Six-monthly</p>	
	Advisers are supported to undertake their assignments	Advisers are provided support services according to agreed service level standards	All advisers receive support services to the agreed service level standards	Six Monthly Management Report	Six-monthly	
	Program expenditure reporting and budget forecasts meet program requirements	<p>Reports and forecasts provided in a timely manner</p> <p>Quarterly budget meetings with all DFAT and program teams</p>	Reports and forecasts provided within Facility Operations Manual time frames	<p>Management Dashboard</p> <p>Six Monthly Management Report</p>	<p>Monthly</p> <p>Six-monthly</p>	

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
Oversight and support adviser performance management	Support DFAT to ensure adviser performance is managed in accordance with DFAT policy	Adviser performance management process is coordinated, tracked and supported. Code of conduct or contractual issues with advisers are managed effectively by the facility Facility undertakes any necessary management responses to adverse performance in agreement with DFAT	Information on adviser performance management policy provided to all advisers Reminders and information pack is sent to advisers and supervisors when APAs are due All major Code of Conduct and performance issues identified are managed	Six Monthly Management Report Register of APAs Survey of DFAT programs	Six-monthly Annual Annual	Counsellor or Head of Program leads performance assessment process with contractual input from SIRF Facility Manager. Facility provides Secretariat function – advise DFAT when due, how to conduct assessments, and addresses any contractual issues.
Demonstrated flexibility / scalability	Facility responds in a timely way to changes in Australian government aid priorities or deployee support needs	Facility contracts, policies and systems support flexible and scalable procurement and contract management	DFAT receives the support requested within the timeframe estimated for procurement / recruitment	Management Dashboard Six Monthly Management Report	Monthly Six-monthly	
Employee Support Services						
DFAT and other Australian government agencies supported in providing mandated services for their deployees	Facility provides services to DFAT staff and officials from other Australian government agencies as per the Service Level Standards	Refer to service level standards annexed to the Head Contract	Service level standards reported against in six monthly reporting	Six Monthly Management Report	Six-monthly	
	Facility delivers a safe and effective/valued support including advice to AHC as requested. Facility ensure AHC School Bus driver (s) are fit for purpose and perform as required.	Refer to AHC School Bus Policy	AHC School Bus Policy S adhered to and reported against as required by SAO	Six Monthly Management Report Management Dashboard	Ongoing	

OUTCOME	OUTPUT	INDICATOR	TARGET	MEANS OF VERIFICATION	TIMING	ASSUMPTIONS
DFAT provided with effective and timely reporting in order to meet corporate requirements	Expenditure reporting and budget forecasts meet program requirements	Reports and forecasts provided in a timely manner	Expenditure reports and forecasts provided within a maximum of 10 days from the last day of the reporting month	Financial Reports Management Dashboard Six Monthly Management Report PPA	Monthly Monthly Six-monthly Annual	
	Analysis of housing information provides evidence of trends in housing costs	Trends in key areas (maintenance costs, resolution rates) identified	Management reporting is provided on key housing trends	Six Monthly Management Report	Six-monthly	

PART 3: Summary of tools and reports

Key management tools relevant to the MEF

Management Information System

Contains up to date deployment information, including key contacts, emergency procedures and bulletins, as well as a mechanism for deployees to report logistics issues such as repair and maintenance needs.

Facility Operations Manual

The Facility Operations Manual includes:

- (a) *Recruitment and Management Strategy*: incorporating methods and approaches that reflect the need to identify quality individuals or organisations that represent value for money and technical excellence. The management component outlines the approach to performance management of Facility staff. DFAT guidelines or policies in relation to the use of advisers on development programs is incorporated.
- (b) *Roles and Responsibilities*: including reporting paths; Terms of Reference, as approved by DFAT; performance management procedures for Facility staff; and information on entitlements and working conditions.
- (c) *Implementation Plans*: as approved by DFAT, for all Service Orders. Implementation Plans include budgets used to pay and acquit funds against.
- (d) *Service Level Standards*: as approved by DFAT, for the delivery of services to deployees.
- (e) *Health, Safety and Security Plan*: covering the health, security and wellbeing of advisers, deployees and LES, including emergency procedures and the critical processes to be followed, including the emergency telephone contacts and gaining access to the relevant institutions. The Plan includes security alerts and communication arrangements for movement or evacuation in the case of a natural disaster or civil unrest.
- (f) A short *Business Continuity Plan*: outlining arrangements to enable the Facility to continue operations in the event of a major disruption event such as a cyclone or tsunami.
- (g) Details of *health and welfare arrangements* in place for contractor employees, sub-contractors and advisers, including documented advice on such priority areas as HIV and AIDS and malaria, as well as clearly defining policies in the priority topics, including child protection.
- (h) A *Communications Strategy*: including an Organisation Chart that clearly indicates channels of communication between the contractor and the DFAT Programs, AGO partners, deployees as needed, to ensure there are no gaps or oversights between and across the services provided to DFAT or to the AGO partners.

- (i) *Operating and Financial Procedures*: for SIRF activities, procurement and financial management, including the systems used, the measures for fraud control and the financial delegations for the various elements of SIRF support provided to DFAT Programs.
- (j) *Procurement Policy*: While alignment with the Commonwealth Procurement Rules and value for money considerations is required for all procurement, the procurement policy supports the contractor to attempt, where possible, to source goods and services locally.
- (k) *Vehicle Fleet Management Plan*: covering policy on vehicle fleet management, procurement approaches, allocation, usage, maintenance, repairs and refuelling. Also, includes vehicle disposal and replacement plan, as well as data collection and reporting methods.
- (l) A SIRF *Staff Development Plan*: including details of SIRF internal staff development and other support initiatives that provide maximum skill formation and capacity development for LES.
- (m) *Electronic Manual for the MIS Deployee Support Services*: detailing how the system works and how the reports are produced from the database.
- (n) *Grants Manual*: detailing how grants will be administered, managed and reported through the entire grant cycle.

Ways of Working

The objectives for Ways of Working are:

- To establish a positive partnership for SIRF, clarify roles and responsibilities and agree on communication protocols
- To use a collaborative process – recognising there are many stakeholders for SIRF
- Clarify the partnership model, governance mechanisms

The Ways of Working document sets out:

- a) the roles and responsibilities between DFAT and SIRF
- b) Key delegations
- c) Issues management
- d) Communications protocol

Key reports relevant to the MEF

Report Title	Frequency	Purpose
Management Dashboard	Monthly	To provide DFAT with a snapshot of up-to-date key budget, operational (recruitment/procurement), risk and SIRF management information
Financial Report	Monthly	<p>The Financial Report will, as a minimum, provide the following information:</p> <ul style="list-style-type: none"> (a) Approved Service Order annual budget allocation; (b) Monthly actual expenditure by the relevant budget lines; (c) Monthly expenditure to date and estimates of future expenditure by Quarter including firm commitments; (d) Overall expenditure to date; (e) Estimated forecast of overall annual expenditure; and (f) Estimated forecast of variance of actual expenditure to approved budget.

Report Title	Frequency	Purpose
Six Monthly Management Report	Six-monthly	<p>To provide DFAT with a strategic overview of facility performance and track key changes over time. The report shall provide information on:</p> <p>(a) Summary: information on key achievements, trends, risks, and major changes in operations during the period; any other issues that need DFAT's attention past/future, and proposed solutions/improvements;</p> <p>(b) Current Advisers: a summary of the number of adviser positions, levels and vacancies disaggregated by gender and nationality; performance assessment ratings; leave balances; security incidents; movement of advisers; an analysis of satisfaction surveys on recruitment support; and other issues;</p> <p>(c) Recruitment: number of processes completed and upcoming planned processes; details of applicants disaggregated by gender and nationality; risks or problems with recruitment;</p> <p>(d) Deployees: a summary of overall housing profile; trend analysis of leasing, repairs and maintenance, utilities, and other outgoing costs by property; major procurements in the period; updated furniture listing by property; a table indicating ad hoc services implemented, or scheduled to have been implemented in the period; listing of subcontracts used in the period and the services that was provided; any issues or incidents involving security, including responses to any changed circumstance during the period; AHC School Bus support including driver's operations, any/all incidents classified as Emergence/Incident/breakdown</p> <p>(e) Finance: a summary of financial information for the facility and all service orders, including comparison against prior year expenditure; any issues or problems and recommendations for remedial action. This must include details on the role of the Contractor, Deployees, DFAT and/or Home Agency, as required in addressing any issues;</p> <p>(f) Assets: an updated asset register, any issues or problems and recommendations for remedial action. This must include details on the role of the Contractor, Deployees, DFAT and/or Home Agency, as required in addressing any issues;</p> <p>(g) Risk Plan, M&E Framework, Fraud and Audit Report: updates on any changes to the risk profile or treatments, progress against key performance indicators, updates on fraud cases and a summary of key findings and required actions from audit reports.</p> <p>(h) Grants: a summary of grants supported and managed; updates on financial status; priorities and gaps for grantees</p> <p>(i) Service Orders: any issues or problems and recommendations for remedial action. This must include details on the role of the Contractor, Deployees, DFAT and/or Home Agency, as required in addressing any issues.</p> <p>(j) Other facility work: operational issues</p>
Partner Performance Assessment	Annual	Assessment undertaken by DFAT of the SIRF Managing Contractor
Independent Audit	Annual	An independent audit of the Facility financial and administrative systems, expenditure and controls, including asset management.
Adviser Remuneration Framework Stocktake	Annual	Assessment undertaken by DFAT