

# **Samoa Public Sector Improvement Facility**



# **Operational Handbook**

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September 2005

Samoa Public Sector Improvement Facility  
Facility Management Unit  
Ministry of the Prime Minister and Cabinet  
P.O. Box L1861  
Apia  
SAMOA

Telephone: (+685) 63222 Fax: (+685) 29841 E-mail [spsif@spsif.sagric.com](mailto:spsif@spsif.sagric.com)

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#### **ACKNOWLEDGEMENT**

The Government of Samoa wishes to acknowledge the kind assistance of the Governments of Australia and New Zealand for their financial support towards the production of this handbook.

The Tripartite Arrangement governing the Public Sector Improvement Facility will support efforts by the Government of Samoa to strengthen the capacity of the public service in pursuit of its national development goals.

# F o r e w o r d

Improving the efficiency and effectiveness of Samoa's Public Service to support national development goals continues to be the primary focus of the Government's reform agenda. Identifying critical constraints to effective service delivery and avenues of addressing these is the goal of the newly established Public Sector Improvement Facility (PSIF). The PSIF is a flexible and responsive mechanism for supporting a continuing program of public sector reform and strengthening activities for improved efficiency and effectiveness across the public service. It will build on the considerable achievements made by a range of institutional strengthening projects over the last eight years and pursue selected reforms not yet achieved.

This operational handbook provides public service agencies with the strategic framework, eligibility requirements and process to be adhered to when requesting funding. More specifically it provides information about:

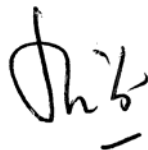
- Preparing proposals for consideration under the Facility;
- Managing approved activities under the Facility;
- Funding procedures for approved activities;
- Monitoring and reporting on approved activities.

It has been developed for use, as relevant, by:

- The staff of the Facility Management Unit (FMU) to assist them to support ministries in developing and managing activities under the PSIF;
- Ministries and Government agencies interested in applying for support activities and projects under the PSIF;
- Partner organisations(s) working with the Government of Samoa.

The Operational Handbook has been endorsed by both the Facility Steering Committee (FSC) and Facility Coordinating Committee (FCC). It is a living document with reviews and updates expected to be made over the life of the PSIF.

As Chairman of the Facility Steering Committee, I am pleased to present this Operational Handbook for the Public Sector Improvement Facility.



Auseuga M V P Komiti

Chief Executive Officer, Ministry of the Prime Minister & Cabinet

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# A b b r e v i a t i o n s

AusAID	Australian Agency for International Development
ACC	Aid Coordinating Committee
ACEO	Assistant Chief Executive Officer
ADB	Asian Development Bank
AUD	Australian Dollars
CDC	Cabinet Development Committee
CEO	Chief Executive Officer
CST	Contracted Support Team
EPPD	Economic Planning and Policy Division, Ministry of Finance
FAFO	Facility Administration and Finance Officer (FMU)
FCC	Facility Coordinating Committee
FMU	Facility Management Unit
FSC	Facility Steering Committee
GoA	Government of Australia
GoNZ	Government of New Zealand
GoS	Government of Samoa
IEP	Immediate and Emerging Priorities
ISPs	Institutional Strengthening Projects
MoF	Ministry of Finance
MPM	Ministry of the Prime Minister
MWCSD	Ministry of Women, Community and Social Development
NZAID	New Zealand Agency for International Development
PC	Project Coordinator
PIB	Project Identification Brief
PIN	Project Identification Number
PO	Program Officer (FMU)
PSC	Public Service Commission
PIB	Project Identification Brief
PPP	Manual on Project Planning and Programming (GoS)
PSIF	Public Sector Improvement Facility
RFP	Review and Forward Program
RFT	Request for Tender
RG	Review Group
SAT	Samoa Tala
SDS	Strategy for the Development of Samoa
TA	Technical Assistance or Technical Adviser
TOR	Terms of Reference
VAGST	Value Added Goods and Services Tax

# G l o s s a r y   o f T e r m s

Accountability	Being responsible for a process and being able to give a satisfactory explanation for it. Agencies will be accountable for the effective management and delivery of PSIF projects. Financial accountability means ensuring that funds are expended according to the guidelines for the special purpose Account.
Adviser (or Technical Adviser)	A specialist, usually a consultant or contractor, engaged to perform certain tasks for an Agency over a designated time period. The Adviser will work with counterparts from the agency and will be involved in capacity building. See Line Positions.
Agency	The Government of Samoa Ministry, department or organisation responsible for the identification, design and implementation of a PSIF project.
Appraisal	The examination of a project proposal or design to determine its appropriateness, quality, value for money and feasibility.
Bank Reconciliation Statement	A report produced monthly by the FAFO that matches project expenditure against the Special Purpose Account.
Capability Plan	A document that outlines current capacities and priority needs for Ministries. Identifies strategies and solutions for addressing these needs.
Capacity Building	The process of developing competencies and capabilities in individuals, groups, organisations, sectors or countries which will lead to sustained and self generating performance improvement.
Chart of Accounts	The numeric system of accounting for funds expended under PSIF. Agencies will be provided with a set of account numbers once the Project Agreement is signed. The system used is consistent with the Ministry of Finance Chart of Accounts.
Competency	A skill, knowledge or aptitude needed to carry out a task successfully.
Completion Report	A report produced by the Agency following completion of the project, describing project achievements, sustainability, associated issues and lessons learned.
Contract	A legal document that states and explains a formal agreement between two different people or organisations.
Core Program	The larger and longer-term projects (with a total value greater than SAT 100,000) within PSIF that promote continued reform across the public sector and improve the ability of the public sector to effectively deliver quality services.
Corporate Plan	The 'business plan' for a Ministry. Describes the role and functions of the organisation.
Cost Effective	Provides value for money based on the level of investment compared to the potential returns. Often used to make comparisons between different projects or delivery methods.
Counterparts	Designated staff of the Agency with responsibility for implementing tasks associated with the project. Usually counterparts will work alongside advisers, attend training and be recipients of other forms of capacity building.

Counterpart Contributions	The resources (either cash or in-kind) provided by the implementing Agency to assist in the achievement of project results. This could include staff time, office space, equipment, training facilities, travel and other costs.
Eligibility Criteria	A set of requirements that project proposals need to meet in order to be considered for approval and funding under PSIF.
Enabling Environment	Conditions within an Agency or the government as a whole that support the achievement of project results. This could include appropriate policies, legislation, leadership and management support.
Evaluation	Evaluation measures the achievements of the project. It is a process of learning from the results, impacts outcomes either to use for improving the project's implementation or to improve other projects at a later date.
External Technical Assistance	Advisers recruited and contracted from outside the government to assist with project implementation in the Agency.
Facility	The Public Sector Improvement Facility, established by the Governments of Samoa, Australia and New Zealand.
Facility Coordinating Committee (FCC)	The committee comprising members of the governments of Samoa, Australia and New Zealand responsible for strategic oversight of the PSIF.
Facility Management Unit (FMU)	The body within the Ministry of the Prime Minister and Cabinet responsible for the operations and management of the PSIF.
Facility Steering Committee (FSC)	The committee responsible for approving and monitoring of PSIF projects, and managing the forward program.
Facility Administration and Finance Officer	The position in the FMU with responsibility for financial management and reporting.
Goal	The highest level of achievement (and measurement of results) for the project. What the project is ultimately trying to do, or contribute to.
Immediate and Emerging Priorities (IEP)	The group of smaller PSIF projects of short duration (and with a total cost less than SAT 100,000) that address public sector issues that require urgent attention. Can also include developmental activities such as scoping studies or designs for Core Program projects.
Impacts	The positive and negative effects of a project, direct or indirect, intended or unintended. Often impacts are long term in nature, with effects beyond the timeframe of the project.
Independent Auditor	The Auditor General, who will conduct an annual audit of the Special Purpose Account at the request of the Facility Coordinating Committee.
Input	Project resources (either internal or external) used to support project implementation and achieve outputs or results
Inter-Agency	A project that involves multiple Agencies in its implementation, or involves a concept that has benefits for more than one organisation.
Line Positions	Positions within an agency that are ongoing and are directly related to the administration of government policy, procedures and tasks.
Logical Framework (Logframe)	A matrix forming a set of related concepts describing the project and its components in operational terms. May include definitions of goal, purpose and component objectives, and a description of the strategies used to achieve these.

Monitoring	The process of obtaining information about the project for the purposes of improving management, efficiency and effectiveness during implementation.
Objectives	The aims of a project or project activity/component. Lower in scope than Goal or Purpose, and more directly related to the results of project implementation.
Outcomes	The results of a project, with effects measured at the Agency or whole of government level, often including the broader implications.
Outputs	The immediate results caused by projects or project activities. Directly attributable and related to project inputs.
Performance Measure (or Performance Indicator)	A standard of achievement that can be defined and expressed in clear terms. Can either be quantitative (using numbers) or qualitative (using a description).
Procurement	The purchase of goods and services for project purposes. Under PSIF, Agencies will be responsible for all procurement, in accordance with Government of Samoa guidelines and regulations.
Program Officer	The position in the FMU with responsibility for day to day management of PSIF projects.
Progress Report	A report produced by the Agency at designated times during project implementation. Describes project progress, risk and issues.
Progressive Engagement	The process of developing a series of projects or activities within an Agency or organisation, to allow effective absorption of results and outcomes before proceeding to the next phase. Staged implementation of projects.
Project	A discrete set of time bound activities designed to achieve a particular goal and purpose. Linked together logically and sequentially and implemented under a single management arrangement.
Project Acquittal	A statement of funds expended by the Agency at the end of the project, showing that all expenditure has been properly accounted for.
Project Agreement	An agreement between the FMU and the implementing Agency setting out the arrangements for project implementation, including respective responsibilities, contributions and reporting.
Project Coordinator	The staff member in the Agency who is the main contact point for the project.
Project Design	The description of a project's goal, purpose, objectives outputs and components. Contains detailed information on scheduling of inputs, the estimated budget and a monitoring plan.
Project Identification	Initial elaboration of a project idea in terms of a Project Identification Brief. Contains basic or descriptive information on proposed project goal, purpose and objectives, and method of implementation.
Project Identification Number (PIN)	The number assigned to the project by the FMU on formal receipt of a Project Identification Brief from an Agency. The PIN will be used to identify the project in all future correspondence with the Agency and for financial management purposes.
Project Management Cycle	A method of managing the different phases of a project cycle in an integrated approach, from identification, approval, implementation and monitoring/evaluation and reporting.
Purpose	Below the level of Goal, the Purpose briefly describes the reasons for the project

and will often include the means for achieving the Goal.

Recurrent Costs	The ongoing costs to the Agency (in terms of financial and human resources) of sustaining the project benefits following the actual completion of the project.
Responsibility	The obligation or duty to perform a task or series of tasks associated with one's regular work, a specific project or activity.
Review Group	Within PSIF, the body (separate from the FMU) with responsibility for appraising project proposals and designs, and for coordinating and conducting the review and evaluation of projects.
Sector	One of the 14 divisions of the economy identified by the Strategy for the Development of Samoa. The relevant Ministry is responsible for developing a Sector Plan outlining the priorities and strategies for development of the Sector.
Service Charter	Ministries are required by the Strategy for Development of Samoa to produce Service Charters for their organisations describing the types and standards of government services provided for the people of Samoa.
Skills Transfer	The element of capacity building that focuses on developing selected skills to perform set tasks, usually involving an adviser working directly with a counterpart or group of counterparts.
Special Purpose Account	The bank account used for funding projects under PSIF.
Stakeholders	A group of individuals or agencies that have a role in the design, management and implementation of a project, or need to be consulted to ensure the effective delivery and evaluation of project achievements. Can also include those people or agencies directly or indirectly affected by a project.
Statement of Assets and Liabilities	A report produced at the end of the project by the implementing Agency stating that any assets acquired have been recorded or disposed of properly.
Statement of Receipts and Payments	A report produced by the FAFO for the agency every month that shows all transactions against the project's Chart of Accounts. Used to track expenditure.
Strategic Framework	A document that outlines the priorities and strategies for implementation of the PSIF. Includes linkages to the government's strategic and sector planning processes and defines eligibility criteria for projects under the Facility.
Strategy for Professional Development	A statement that describes the government's initiatives for developing the public service to its maximum potential.
Training	The process of acquiring appropriate job skills, knowledge and experience
Tripartite Arrangement	The agreement between the Governments of Samoa, Australia and New Zealand describing the operations and funding of the PSIF.
Whole-of-Government Approach	The implementation of policies, procedures and strategies that aim to meet broader government objectives related to reform, economic and social development. This will include projects that involve key central agencies or work across a group of agencies with resulting benefits for all the public sector.
Work Plan	A description of work tasks and their scheduling, together with objectives and a means of measurement. Usually required of advisers and/or counterparts.

# Section A



## Background to the Facility

## A.1 Introduction

The PSIF is designed to provide a flexible and responsive mechanism for supporting a program of public sector reform-oriented governance activities. These activities, to be identified by Ministries, should be aimed to contribute to improved efficiency and effectiveness across the Samoan public sector and build upon the benefits achieved to date by the reform program in the Government of Samoa (GoS).

There is a need to consolidate and sustain achievements, and to continue to pursue selected reforms not yet achieved. Importantly, progress still needs to be made in establishing a whole-of-government approach to reform which integrates cross cutting issues and adequately involves both civil society and the private sector. Support for planning, at a whole of government, sectoral and Agency level; and improved collaboration between Ministries/Agencies, are areas in which the PSIF will effectively assist the GoS to pursue its public sector reform agenda.

All activities carried out under the PSIF will take account of GoS policies and the direction of the GoS reform agenda and, where appropriate, utilising and building upon existing processes and structures in Samoa.

Activities supported by the PSIF are to be strategically selected to ensure that the PSIF is the most appropriate funding mechanism for the particular Project proposed. The PSIF will remain cognisant of the availability and scope of other governance projects and parallel sources of funding, including joint NZAID/AusAID supported in-Country training programs, donor-funded ISPs, regional technical assistance facilities, NZAID funding mechanisms, and other donor programs particularly ADB support.

It is also anticipated that the PSIF may, over time, attract funding from other sources, such as other donor programs and possibly the GoS itself, thereby allowing the benefits of the PSIF to contribute to improved policy dialogue, greater coherency with GoS development objectives and improved donor coordination.

A core program of activities developed and supported by the PSIF will address key GoS strategic goals and priorities. Activities within this core program will be carefully designed and focused to ensure their objectives and outcomes are relevant across the public sector and are sustainable.

By supporting small scale activities which respond to immediate and emerging priorities, within the overall framework of improved public sector efficiency and effectiveness, Component 2 of the PSIF is intended to provide a mechanism for addressing adjustments needed to address unmet or changing sectoral or planning priorities, allowing the PSIF to remain relevant and responsive to its operating environment.

A Review Group (RG) has been established within the Ministry of Finance to provide independent technical oversight to ensure that the proposed projects being funded and managed by the Facility have technical and developmental integrity. The RG will undertake reviews of a sample of projects to provide an independent evaluation of performance against the approved designs.

## A.2 Features of the Public Sector Improvement Facility

Key features of the PSIF will include:

- A flexible structure which is driven by the priorities and processes of the GoS,;
- A two-component arrangement which affords the PSIF an ability to be both proactive and reactive. The PSIF supports core activities, but also provides for responses to emerging or immediate issues within the overall strategic direction of the Facility;
- To provide a strategic focus for the Facility, a Public Sector Improvement Framework outlines critical areas of reform focus that are required to establish the foundations for sustainable public sector improvement. This Framework will provide the basis upon which Facility funding decisions are made;
- Support for promotion of a whole-of-government approach to implementation of the reform agenda; and
- A focus on the structured transfer of the necessary management skills to a Facility Management Unit (FMU) that will hold full management control of the Facility.

## A.3 Facility goal and purpose

The **goal** of the Public Sector Improvement Facility is to improve the efficiency and effectiveness of Samoa's Public Service to support Samoa's national development priorities.

The **purpose** of the Public Sector Improvement Facility is to strengthen cooperation and collaboration between public service agencies (and between them, the private sector and civil society), in identifying and addressing critical constraints within the GoS public sector to effective service delivery through a range of institutional strengthening initiatives.

The program components for the Facility are:

**Component 1: Core Program Activities**

**Objective:** To support (from identification to completion) strategically identified core activities which promote continued reform across the Samoan public sector and which improve the ability of the public sector to effectively deliver quality services.

The emphasis of this component is to identify, design and implement a set of core activities that are focused on addressing key issues impacting on continued public sector reform. It is critical, in order to ensure the relevance and impact of the PSIF, that core program activities are strategically selected. This component will, through promoting improved collaboration within the public sector, and between it and civil society/private sector agents, reinforce the gains made to date by Samoa's reform program, and ensure that the PSIF is engaged in key priority areas of public sector reform and service delivery.

**Component 2: Immediate and Emerging Priorities (IEP)**

**Objective:** To facilitate GoS response to their immediate and emerging priorities in public sector reform.

This component is to provide the Facility with a mechanism which is more flexible and responsive than Component 1, allowing the PSIF to deliver short-term, smaller scale targeted activities of less than 12 months duration to partner agencies. While not narrowly defining the criteria governing the selection of activities to be supported under this component, activities must conform with the overall Facility goal and purpose and be consistent with the Public Sector Improvement Framework.

## A.4 Facility Overview

The following overview identifies the relationship between the functions and operations of the PSIF and the different levels of strategic and corporate planning in the GoS systems. Two interconnecting cycles can be identified:

- A **Facility Cycle** which integrates the Strategy for the Development of Samoa and the Sector Planning process into the planning and implementation of the Public Sector Improvement Framework; and
- A **Project Cycle** which integrates the Corporate and Annual Planning processes of the ministries with the approved Facility activities in the ministries.

The Public Sector Improvement Framework developed in the Facility Cycle will inform the program of core activities (Component 1) and the IEPs (Component 2) that will be delivered through the Project Cycle.

This is presented in Figure 1 below:

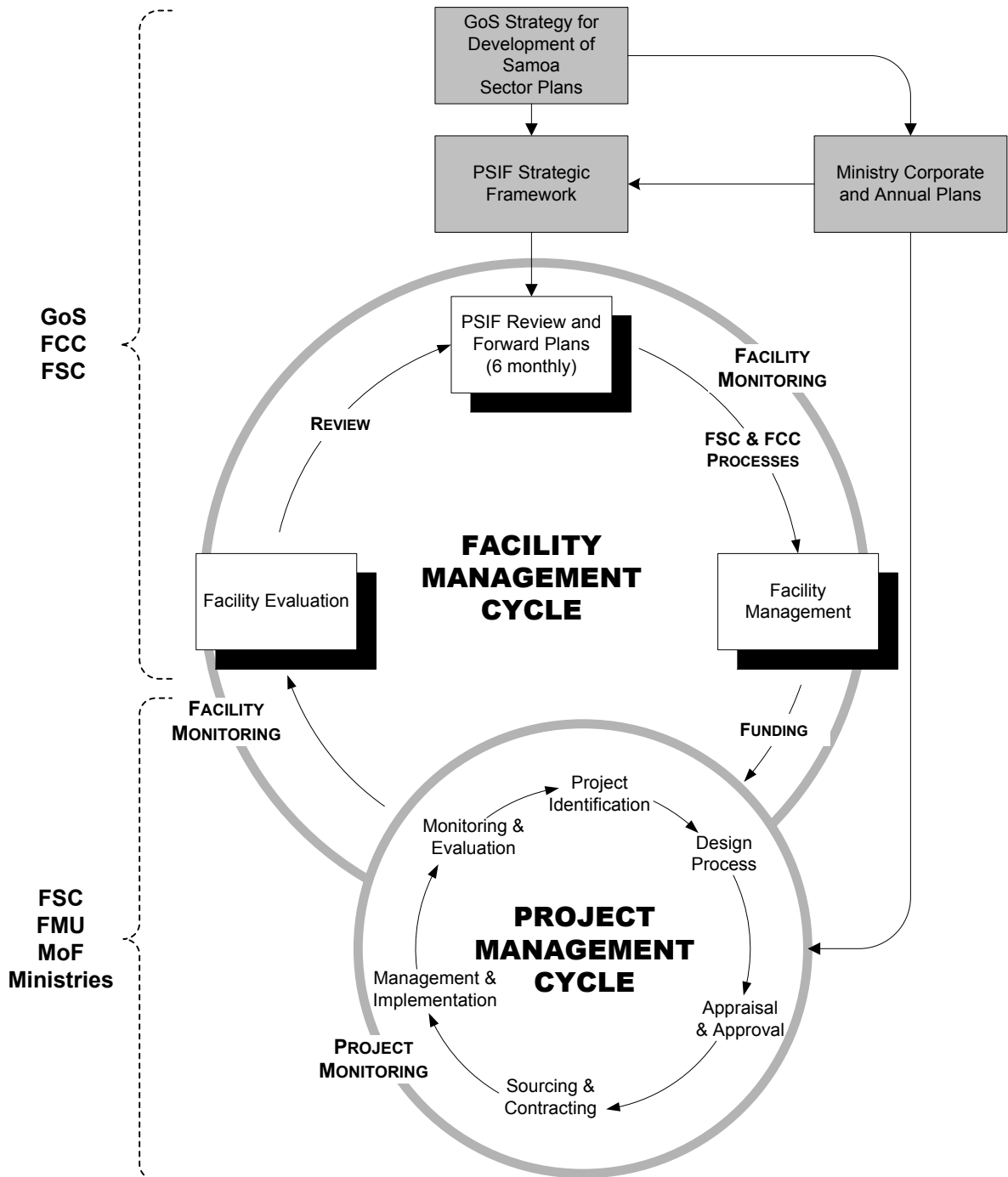


Figure 1 PSIF Overview

# Section B



## Facility Management Cycle

## **B.1 Facility Management Structure**

The PSIF will be required to manage a wide range of activities that will range in technical and developmental complexity, resource cost and size.

Critical to the success of the Facility will be the development of an efficient facility management cycle that can not only manage a pipeline containing a number of core program activities but can also respond quickly to requests for a wide range of short term assistance.

The management structure shall:

- deliver a cost-effective program of assistance and also fulfil the wish of the three governments that the PSIF is managed by the Government of Samoa from the outset, but with short to medium term support from a contracted support team;
- not create unnecessary levels of administrative bureaucracy and wherever possible be harmonised with standard administrative procedures of the GoS;
- utilise existing systems and structures within GoS wherever practical and appropriate.

With these fundamental requirements in mind, the PSIF has established a number of administrative structures that provide the necessary management oversight for the programs supported by the PSIF. These include a:

- Facility Coordinating Committee (FCC)
- Facility Steering Committee (FSC)
- Facility Management Unit (FMU)

These are described below and a schematic representation is included in Figure 2

### **B.1.1 The Facility Coordinating Committee**

The Facility Coordinating Committee (FCC) is the body that provides the three Governments (Samoa, Australia and New Zealand) with the opportunity to review Facility progress and performance and allows the three government stakeholders to ensure that funding is being committed and spent in an effective and efficient way. As the PSIF peak governance body, the FCC will provide transparency and high-level accountability.

Membership and functions of the FCC are covered in the FCC Charter. The role of the FMU in providing a Secretariat service to the FCC is outlined in sub-sections D.2-D.4 below.

In summary, the FCC will provide the strategic direction for the PSIF. It will also endorse the forward program of activities approved by the FSC and included in the Review and Forward Program (RFP). If for some reason the FCC are unable to

endorse the RFP, there will need to be high-level negotiations to resolve the issues of concern to the satisfaction of all parties.

### B.1.2 The Facility Steering Committee

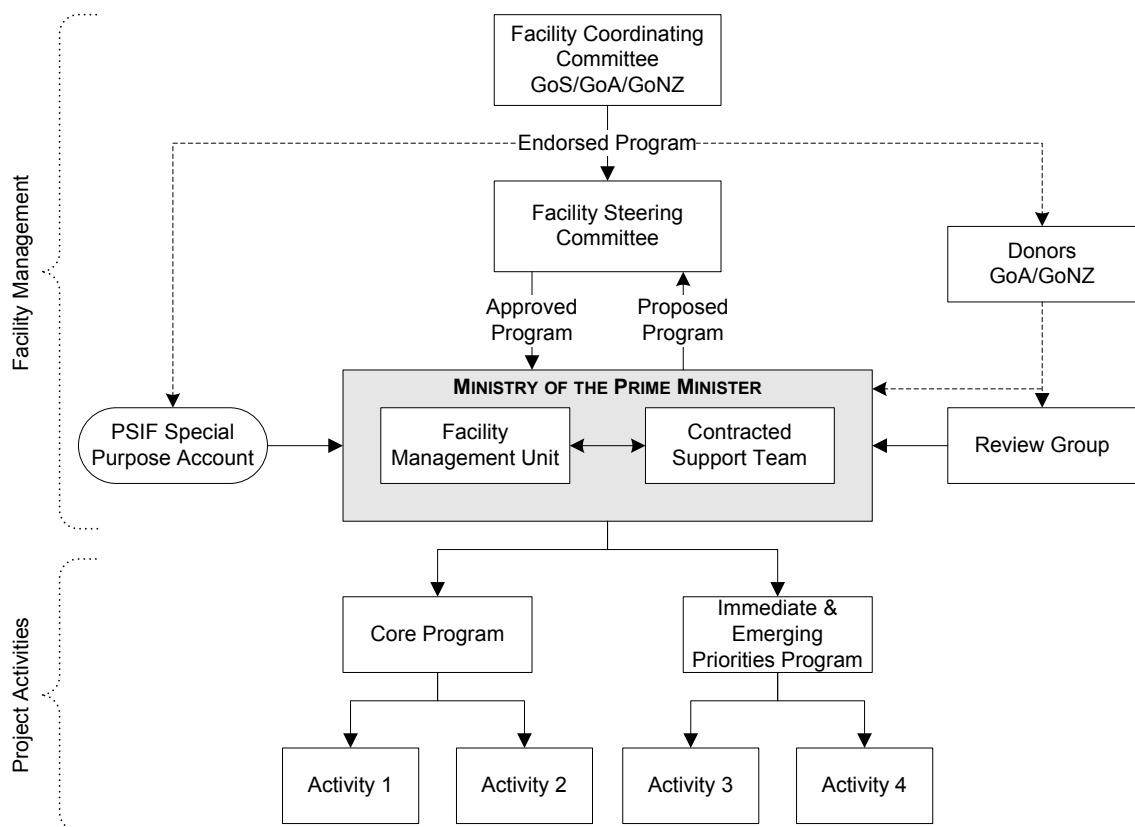
The FSC is the operational level body responsible for overseeing the work of the PSIF. The FSC will meet regularly to review and approve the program ensuring that it meets the requirements of the GoS and the objectives of the PSIF.

The membership and functions of the FSC are covered in the FSC Charter. The role of the FMU in providing a Secretariat service to the FCC is outlined below in sub sections D5-7.

### B.1.3 The Facility Management Unit

The FMU is the body charged with the day-to-day management of the PSIF and the program of assistance that it supports. The functions of the FMU are covered elsewhere in this Operational Handbook.

**Figure 2 Management of the PSIF**



## **B.2 FCC Charter**

### **1. Background**

1.1 The Public Sector Improvement Facility (PSIF) has been established within the Ministry of the Prime Minister and Cabinet under a Tripartite Arrangement between the Governments of Samoa, Australia and New Zealand for an AUD 15 M, five year program. The goal of the PSIF is to improve the efficiency and effectiveness of Samoa's public service to support national development priorities by identifying and addressing critical constraints within the public sector to effective service delivery. The PSIF is expected to build on the benefits achieved under the range of Institutional Strengthening Projects (ISPs) that have been funded by Australia and New Zealand and to respond to immediate and emerging priorities within the public sector. It will improve planning, policy and service delivery at a whole of government, sectoral and agency level and strengthen the involvement of civil society and the private sector.

1.2 With these fundamental requirements in mind, the PSIF will establish a number of administrative structures that provide the necessary management oversight for the programs supported by the PSIF. These include a:

- Facility Coordinating Committee (FCC)
- Facility Steering Committee (FSC), and a
- Facility Management Unit (FMU)

1.3 The roles and responsibilities of the three bodies, and their relationships, are covered in more detail in the Facility Management section of the PSIF Operational Handbook.

### **2. Role of the Facility Coordinating Committee**

2.1 The FCC will be the peak body overseeing the PSIF for the life of the Facility. The FCC will be responsible for the oversight and endorsement of the strategic directions of the PSIF. Its membership will include representatives of the Governments of Samoa, Australia and New Zealand. The Government of Samoa will chair the FCC.

2.2 The role of the FCC includes:

- 2.2.1 Providing high level advice and decision-making for the PSIF, the FSC and the FMU.
- 2.2.2 In the first instance endorsing, and then ensuring that Facility operations adhere to, the PSIF Strategic Framework.

- 2.2.3 Overseeing the PSIF Special Purpose Account, ensuring compliance with the Public Finance Management Act 2001 and the requirements specified in the Tripartite Arrangement between the Governments of Australia, New Zealand and Samoa.
- 2.2.4 Reviewing the implementation and progress of PSIF activities and endorsing the Review and Forward Program.
- 2.2.5 Consideration of the annual audit report and other reports and reviews/evaluations as required.

### **3. FCC Secretariat**

3.1 The FMU will be the Secretariat for the FCC. The FMU will arrange meetings of the FCC, with at least one meeting every six months. More frequent meetings may be called depending on circumstances, such as for the development of the PSIF Strategic Framework or to approve and endorse strategic reviews or other reports produced as part of PSIF operations. The FMU will arrange dates, times and a venue for each meeting in consultation with FCC members. Materials for information, consideration and decision will be forwarded to members of the FCC at least seven working days before the time of the scheduled meeting. The FMU will take the minutes for all FCC meetings and forward these to FCC members within seven days of the conclusion of FCC meetings.

### **4. FCC Tasks**

4.1 The main task of the FCC is to consider and endorse the PSIF Review and Forward Program (RFP) and Six Monthly Reports. Initially, the FCC will also approve and endorse the PSIF Strategic Framework, which sets out the overall management and operational structure for the PSIF. Included in this Strategic Framework will be the activity selection criteria that will be used by the FSC in approval and funding decisions for individual activities.

4.2 The FCC will also consider and endorse the PSIF Operational Handbook which sets out the procedures for the operation of the Facility, project preparation, applications for funding and management of the Special Purpose Account. The FCC will also consider and endorse any significant changes to the PSIF Operational Handbook and guidelines for the management of the Special purpose Account as well as any significant changes to policy and quality assurance recommended by the FSC. Any minor changes to any of the afore-mentioned will be approved by the FSC for immediate implementation with FCC endorsement to follow at a regularly established FCC meeting.

4.3 In the event that the FCC recommends changes to the selection criteria or other policies of the PSIF, the FCC will advise the Chair of the FSC and the head of the FMU.

4.4 During regular meetings, the FCC will usually consider and endorse the following:

4.4.1 The Review and Forward Program for the PSIF, including the anticipated expenditure for the following six months.

4.4.2 Six Monthly Reports on progress, risk and issues.

4.4.3 Six Monthly Financial Reports.

4.4.4 FSC Minutes and Record of Decisions.

4.4.5 Other reports, such as the Annual Audit Report, Establishment Reports and Annual Plans as required.

4.5 The FCC will monitor implementation of the Facility, and receive regular information on Facility performance, expenditure and acquittal of funds. The FCC may, at its discretion, commission the PSIF Review Group to undertake a review or evaluation of an activity or activities. The FCC may also commission independent reviews or evaluations of projects.

4.6 The FCC will also consider occasional Facility review reports such as the Stop/Go Review at the end of the first year and the Review of Transitional Support in the third year and Review of Facility Effectiveness after four years.

## **5. FCC Decisions**

5.1 The FCC will not normally involve itself in individual activities, however members can seek clarification on aspects of these from the FSC or FMU. In general, the three Governments under the Tripartite Arrangement and harmonisation principles will work together to resolve any dispute over the forward program. FCC decisions will therefore be based on consensus of all members. All final decisions taken at FCC meetings will be compiled in the Minutes and Record of Decisions.

5.2 The FCC will act in accordance with the mandate set out in the Tripartite Arrangement between the three Governments and the PSIF Strategic Framework. The FCC cannot initiate or approve activities outside these arrangements or any that exceed the approved financial limitations of the Facility.

## **6. Composition of the FCC**

6.1 The composition of the FCC will be a:

- Representative of the Government of Samoa
- Representative of the Government of Australia (AusAID), and a
- Representative of the Government of New Zealand (NZAID)

## **B.3 Preparation for FCC Meetings**

### **B.3.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU Manager, FMU Program Officer and FMU Administrative and Finance Officer

***Approving Officer:***

Facility Coordinating Committee Chair

### **B.3.2 Process Output**

Materials for FCC Meetings

### **B.3.3 Output Recipient**

Facility Coordinating Committee Members

### **B.3.4 Steps**

The FMU will schedule meetings of the FCC every 6 months. The FMU will arrange dates, times and a venue for each meeting in consultation with the Chair of the FCC.

Seven working days prior to the FCC Meeting, the FMU will compile and distribute copies of the following materials to each member of the FCC:

- Meeting Agenda
- Minutes and Record of Decision from the previous meeting
- Review and Forward Program for decision
- Six Monthly Report on Facility
- Six Monthly Financial Report
- Any review or evaluation reports commissioned by the FCC
- Any other reports as required.

### **B.3.5 Templates**

B.3.1 FCC Agenda

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### **B.3.6 References**

FCC Charter

## **B.4 Records of FCC Meetings**

### **B.4.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU Manager, FMU Program Officer and FMU Administrative and Finance Officer

***Approving Officer:***

Facility Coordinating Committee Chair and Members

### **B.4.2 Process Output**

FCC Minutes and Record of Decision

### **B.4.3 Output Recipient**

Facility Management Unit

Facility Coordinating Committee

### **B.4.4 Steps**

B.4.4.1 The FMU will prepare a draft Minutes and Record of Decision following each FCC meeting.

B.4.4.2 The draft Minutes and Record of Decision will be sent to each FCC member within three working days of the meeting for approval.

B.4.4.3 The final Minutes and Record of Decision will be signed by all attending members and this, together with all relevant documents, will be kept and maintained by the FMU.

B.4.4.4 The FMU will be responsible for actioning the decisions of the FCC, and reporting on decisions to the FSC, relevant line agencies, Review Group or other persons as appropriate.

B.4.4.5 Copies of the Minutes and Record of Decision are forwarded to the next meeting of the FCC.

### **B.4.5 Templates**

B.4.1 Minutes and Record of FCC Decision Page 70

### **B.4.6 References**

FCC Charter

## **B.5 FSC Charter**

### **1. Background**

1.1 A Public Sector Improvement Facility (PSIF) has been established within the Ministry of the Prime Minister and Cabinet under a Tripartite Arrangement between the Governments of Samoa, Australia and New Zealand. The goal of the PSIF is to improve the efficiency and effectiveness of Samoa's public service to support national development priorities by identifying and addressing critical constraints within the public sector to effective service delivery. The PSIF is expected to build on the benefits achieved under the range of Institutional Strengthening Projects (ISPs) which have been funded by Australia and New Zealand and to respond to immediate/emerging priorities within the Public Sector. It will improve planning, policy and service delivery at a whole of government, agency and sectoral level and strengthen involvement of civil society and the private sector. A brief summary description of the PSIF is attached herewith for ease of reference.

1.2 With these fundamental requirements in mind, the PSIF will establish a number of administrative structures that provide the necessary management oversight for the programs supported by the PSIF. These include a:

- Facility Coordinating Committee (FCC),
- Facility Steering Committee (FSC),
- Facility Monitoring Unit (FMU).

1.3 The roles and responsibilities of the three bodies, and their relationships are covered in more detail in the Facility Management section of the PSIF Operational Handbook.

### **2. Role of the Steering Committee**

2.1 Responsibility for the operational aspects of the PSIF is vested in a Facility Steering Committee (FSC) whose core membership is drawn from Government of Samoa central agencies, with representation from the private sector and civil society. The Chief Executive Officer of the Ministry of the Prime Minister & Cabinet will chair the FSC.

2.1 The role of the FSC includes:

2.2.1 Promoting a whole of government approach to public sector improvement and inter agency collaboration;

2.2.2 Providing high level advice and decision making on the strategic direction of the PSIF;

2.2.3 Defining and ensuring that the scope of the PSIF is adhered to;

2.2.4 Providing appropriate direction/support to the Facility Management Unit in matters relating to strategy, policy, resourcing and decisions related to the PSIF work programs and project funding;

2.2.5 Overseeing the administration of the PSIF's Special Purpose Account ensuring compliance with the Public Finance Management Act 2001 and the requirements specified in the Tripartite Arrangement between the Governments of Australia, New Zealand and Samoa.

2.2.6 Reviewing the progress of core program projects and approve projects recommended for funding under the PSIF Forward Plan each year;

2.2.7 Monitoring of PSIF contracting and purchasing arrangements to ensure that they meet Government of Samoa requirements

2.2.8 Consideration of other reports and reviews/evaluations of PSIF projects as required.

### **3. FSC Secretariat**

3.1 The FMU will be the Secretariat for the FSC. The FMU will arrange meetings of the FSC, with at least one meeting every six months, held prior to the scheduled FCC meeting. More frequent meetings may be called depending on circumstances. The FMU will arrange dates, times and a venue for each meeting in consultation with the Chair of the FSC. Materials for information, consideration and decision will be forwarded to members of the FSC at least seven working days before the time of the scheduled meeting.

3.2 In case of proposals for which a time imperative means that formal consideration of the proposal cannot fit within the formal six-monthly cycle, FSC representatives may be asked to consider proposals out-of-rounds. In such cases the Chairperson may determine that a formal meeting of representatives is not necessary and that committee members can consider urgent proposals and communicate their views in writing.

### **4. FSC Tasks**

4.1 The main task of the FSC is to develop and approve the PSIF forward program, by considering and selecting project proposals from public sector agencies. The FSC will also provide strategic, policy and resourcing advice to the Facility. Project selection criteria and the strategic direction of the PSIF are included in the Public Sector Improvement Framework endorsed by the FCC.

- The FSC will consider and decide on the following types of proposals:
- Project Identification Briefs for core activities
- Project Identification Briefs for immediate and emerging priorities (IEP) activities
- Designs for core activities

4.2 The FSC can decide either to reject a proposal, to ask a submitting agency to provide more detail, or to approve the proposal for further development or funding and implementation.

4.3 The FSC will also monitor implementation of approved projects under PSIF, and receive regular information on activity performance, expenditure and acquittal of funds. Upon completion of a project, the implementing agency will submit a Project Completion Report to the FSC. The FSC may, at its discretion, commission the PSIF Review Group to undertake a review or evaluation of a project or projects. The FSC may also commission an external evaluation and seek Facility funds for its implementation.

### **Reports for the FSC**

4.4 The FMU will prepare the following reports for the FSC's consideration and decision at each meeting:

4.4.1 Proposals received, presented for decision – **with appraisal note and recommendation from the Review Group**

- Project Identification Briefs for Core activities
- Project Identification Briefs for IEP activities
- Designs for Core activities

4.4.2 Summary Status Report

- Review of progress and discussion of issues arising
- Any decisions required related to approved and/or completed activities

4.4.3 Project Completion Reports Received

4.4.4 Financial Management Reports

4.4.5 Review/Evaluation and Other Reports

### **5. FSC Decisions**

5.1 FSC decisions will be based on consensus of all members. Voting will be a method of last resort and used only under the direction of the Chair. Individual votes shall not be recorded. All final decisions taken at FSC meetings will be compiled in Minutes and Record of Decisions.

5.2 The FSC will act in accordance with the mandate set out in the Tripartite Arrangement between the three governments, the PSIF Strategic Framework and under the strategic direction of the FCC. The FSC will not initiate or approve projects that exceed the availability of PSIF funds. All Minutes and Record of Discussions for the FSC will be forwarded to the FCC for their information.

## **6. Composition of the FSC**

The composition of the FSC will be:

- CEO, Ministry of the Prime Minister & Cabinet (Chair)
- CEO Ministry of Finance
- CEO, Public Service Commission
- CEO, Ministry of Women, Community & Social Development
- Representative from the Chamber of Commerce
- Representative from the National Council of Churches

The Representative from the Chamber of Commerce and the National Council of Churches will represent the interests of the private sector and the community respectively and how these can be maximised to encourage best practice in Government as far as public sector reform and improved service delivery is concerned.

Representatives from other Ministries may supplement this core membership at times should their input be useful, but they will not be voting members.

## **B.6 Preparation for FSC Meetings**

### **B.6.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU Manager, FMU Program Officer and FMU Administrative and Finance Officer

***Approving Officer:***

Facility Steering Committee Chair

### **B.6.2 Process Output**

Materials for FSC Meetings

### **B.6.3 Output Recipient**

Facility Steering Committee Members

### **B.6.4 Steps**

B.6.4.1 The FMU will schedule meetings of the FSC, with at least one meeting every 6 months, held prior to the scheduled FCC meeting. The FMU will arrange dates, times and a venue for each meeting in consultation with the Chair of the FSC.

B.6.4.2 Seven working days prior to the FSC Meeting, the FMU will compile and distribute copies of the following materials to each member of the FSC:

- Meeting Agenda
- Minutes and Record of Decision from the previous meeting
- Summary Status Report on PSIF Activities
- PIBs with Appraisal Notes for decision
- Detailed Designs with Appraisal Notes for decision
- Review/Evaluation Terms of Reference for decision
- Project Completion Reports received since the last meeting
- Summary of financial reports and acquittals
- Estimated expenditure on current activities and forward program
- Any review or evaluation reports received since the last meeting.

**B.6.5 Templates**

B.6.1	FSC Agenda	Page 72
B.6.2	Summary Status Report on PSIF Activities	Page 73

**B.6.7 References**

FSC Charter

## **B.7 Records of FSC Meetings**

### **B.7.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU Manager, FMU Program Officer and FMU Administrative and Finance Officer

***Approving Officer:***

Facility Steering Committee Chair and Members

### **B.7.2 Process Output**

FSC Minutes and Record of Decision

### **B.7.3 Output Recipient**

Facility Management Unit

Facility Steering Committee

Facility Coordinating Committee

### **B.7.4 Steps**

B.7.4.1 The FMU will prepare a draft Minutes and Record of Decision following each FSC meeting.

B.7.4.2 The draft Minutes and Record of Decision will be sent to each FSC member within three working days of the meeting for approval.

B.7.4.3 The final Minutes and Record of Decision will be signed by all attending members and this, together with all relevant documents, will be kept and maintained by the FMU.

B.7.4.4 The FMU will be responsible for actioning the decisions of the FSC, and reporting on decisions to the relevant line agencies, Review Group or other persons as appropriate.

B.7.4.5 Copies of the Minutes and Record of Decision are forwarded to the next meeting of the FCC.

### **B.7.5 Templates**

B.7.1 FSC Minutes and Record of Decision Page 74

### **B.7.6 References**

FSC Charter

## **B.8 Project Evaluation**

Note: this is a discretionary procedure to be implemented by the FSC or FCC on a case-by-case basis if either body considers that circumstances warrant.

### **B.8.1 Process Responsibilities and Authorities**

#### ***Processing Officer:***

FMU Manager or Independent Reviewer (Terms of Reference)

The Review Group or Independent Reviewer(s) (Review/Evaluation)

#### ***Approving Officer:***

Facility Steering Committee (Terms of Reference)

CEO, Assistant CEO or relevant senior officer of Ministry of Finance (Review/Evaluation)

### **B.8.2 Process Output**

Report on Review/Evaluation of Project

### **B.8.3 Output Recipient**

Facility Management Unit

Facility Steering Committee

Facility Coordinating Committee

### **B.8.4 Steps**

B.8.4.1 The Facility Coordinating Committee or Facility Steering Committee instructs the FMU to undertake a review or evaluation of a PSIF Project, usually one nearing completion or recently completed. This instruction is recorded in either the FCC or FSC Record of Decisions as appropriate.

B.8.4.2 The FMU Manager shall draft the Terms of Reference for the review or evaluation. The Terms of Reference are approved by the FSC, and this is recorded in the Record of Decision.

B.8.4.3 A Tasking Note – Review/Evaluation is prepared by the FMU and forwarded with the approved Terms of Reference to the Review Group/Independent Reviewer.

- B.8.4.4 The Review Group or Independent Reviewer(s) conducts the review/evaluation and prepares the Review/Evaluation of the Project, in accordance with Template B.8.2 Evaluation of Project the guidelines of the PPP Manual, Section 7-8.
- B.8.4.5 The completed Review/Evaluation of Project is returned to the FMU, with the covering Tasking Note – Review/Evaluation completed and signed.
- B.8.4.6 The Review Group keeps a copy of the Tasking Note – Review/Evaluation, Terms of Reference and Review/Evaluation of Project for their records.

### **B.8.5 Templates**

- |       |                                  |         |
|-------|----------------------------------|---------|
| B.8.1 | Tasking Note – Review/Evaluation | Page 76 |
| B.8.2 | Evaluation of Project            | Page 77 |

### **B.8.6 References**

Section 7-8: Project Evaluation PPP Manual Treasury Department, Economic Planning and Policy Division, 1 September 1998

# Section C



**Key Principles, Strategic Priorities and  
Eligibility Criteria of the Public Sector  
Improvement Facility**

## **C.1 Key Principles of the Public Sector Improvement Facility**

C.1.1. The PSIF has been established under a Tripartite Arrangement between the Governments of Samoa, Australia and New Zealand. This Tripartite Arrangement sets out the governance arrangements and provides overall guidance for the management of the PSIF by the Government of Samoa

C.1.2. The PSIF will adhere to the strategies and priorities of the Government of Samoa, including the Strategy for the Development of Samoa, associated sectoral plans and other planning documents. PSIF projects and activities will support the SDS Vision of improved quality of life for all

C.1.3. The goal of PSIF is to improve the efficiency and effectiveness of Samoa's Public Service to support Samoa's national development priorities. As such, PSIF projects and activities will, in general, be confined to improving the performance of Ministries and other agencies of the Government of Samoa

C.1.4. The PSIF will build on the achievements of the Government of Samoa reform program. Projects and activities will help consolidate and sustain these achievements, and to pursue reforms not yet addressed

C.1.5. The PSIF will support whole of government initiatives that integrate common responses to addressing problems across the public sector. PSIF projects and activities will actively involve a range of agencies and Ministries, to encourage collaboration and partnership

C.1.6. The PSIF will provide opportunities for participation by all eligible agencies. The PSIF will strive to reduce gaps in capacity between and within agencies. A balanced distribution of resources will be aimed for

C.1.7. The PSIF will be a flexible and responsive mechanism, with projects identified, approved and implemented according to Government of Samoa priorities. In general, the program of activities will be demand-driven; however the PSIF can also be used to initiate selected projects, and to influence and be more pro-active in addressing immediate and emerging priorities

C.1.8. Projects will be developed and delivered with full consultation between stakeholders. Responsibilities for various aspects of project delivery will be mutually agreed between the FMU and the implementing agency. Ministries and agencies will always be primarily responsible for the identification, design, contracting and management of PSIF projects

C.1.9. Decision-making within the PSIF will remain transparent and accountable. Principles of equity, natural justice and fairness will be adhered to at all times. Samoan social and cultural values will be respected

C.1.10. Communication between the PSIF stakeholders will be open and constructive. Facility processes will be designed and implemented to ensure that relevant information is provided in a timely and effective manner

C.1.11. Capacity building will use a range of methodologies and approaches relevant to the needs of the agency

## **C.2. Strategic Priorities of the Facility**

The purpose of PSIF is to strengthen cooperation and collaboration between public service agencies (and between them, the private sector and civil society), in identifying and addressing critical constraints within the GoS public sector to effective service delivery through a range of institutional strengthening initiatives. The strategic priorities for PSIF are based on this purpose, with consideration given to building on the results and achievements of previous reform programs.

### **C.2.1 Whole of Government Approach**

PSIF will support projects and activities that contribute to a whole of government perspective in Samoa, and encourage inter-agency cooperation. Important elements of this approach are:

1. Supporting the development of a strategic framework and associated policies for public administration
2. Determining the role and functions of Ministries and other government agencies in relation to the private sector and civil society
3. Addressing cross-cutting issues that are relevant to all agencies and Ministries
4. Strengthening cooperation and ownership of the reform process between Ministries and agencies
5. Addressing improvement in service delivery and developing a service-oriented culture

### **C.2.2 The Policy Environment**

PSIF will support the further development of strategy and policy making capacities in the Government of Samoa. Having a well-defined mission, strategy and policies provides public sector organisations with a foundation for performance and accountability.

Projects and activities that seek to build sustainable capacity to plan, manage and review policy and legislative frameworks will be encouraged.

### **C.2.3 Organisational Development**

The PSIF will provide opportunities to continue and build on the progress and achievements of recent Institutional Strengthening Projects in Samoa. PSIF projects and activities can help ensure that these achievements are sustainable.

More generally, PSIF will provide support to Ministries and agencies for organisational development, including restructuring, reorganisation and consolidating roles, improving systems and procedures and increasing agency productivity. PSIF will also support activities that result in continuous improvement and addressing issues of quality and performance management.

### **C.2.4 Service Delivery**

In keeping with the aims of the SDS, the PSIF will assist Ministries and agencies to address the needs of their clients and the community. Projects and activities that are designed to improve services, and meet the requirements of Service Charters, will be given priority. This includes increasing access to services, improving the quality of services, responding to clients, developing partnerships and the better targeting of Government resources to where they are most needed. The PSIF will also include projects that seek to reduce the barriers to more effective service delivery.

### **C.2.5 Accountability and Responsibility**

The PSIF will support the Government of Samoa's aim of ensuring accountability in the public sector. This includes financial accountability as well as accountability to the Parliament, the Government and the community.

### **C.2.6 Human Resources**

The PSIF will provide opportunities for developing a well motivated public sector, supporting flexibility and adaptability in a changing environment. As well, capacity building through PSIF will lead to human resource development that provides for change management, systematic renewal, re skilling and up skilling of the public service. The PSIF will support the goal of gender equity, with attention to the different needs and constraints operating for women and men at all levels of the public service.

## **C.3 Eligibility Criteria for Activities under the Facility**

The principles of progressive engagement shall underpin the development of Project proposals. It is thus anticipated that assistance, particularly for immediate and emerging priorities is likely to commence with smaller scale interventions and scoping studies. This will allow for progression to further stages of assistance depending upon the degree to which earlier assistance has effectively met the needs identified and an assessment of the commitment, performance and capability of the agency concerned. Where activities are complex, approval may also be sought for short-term technical assistance or other support for the feasibility and design of activities to be supported.

To be considered for support under the PSIF, proposed activities must meet the criteria which have been established by the Government of Samoa (GoS). These criteria shall include:

### **C.3.1 For All Proposals**

#### ***Relevance***

- The proposal is consistent with GoS development priorities identified in the Strategy for Development of Samoa 2005-2007
- The proposal is consistent with the Corporate Plan for the agency concerned, the relevant Sector Plan if available and with issues identified in the agency's Capability Plan
- The proposal is consistent with a "Whole of Government" approach to policy and programming
- The proposal complements, is coordinated with, and does not duplicate capacity development initiatives of the GoS including those with other international donors
- The proposal complies with GoS policies on human resource development, gender and environment
- There is appropriate stakeholder involvement (including civil society and the private sector where appropriate)

#### ***Effectiveness and Impact***

- Projects will make a real contribution to building the capacity of GoS individuals and agencies
- Projects will assist the agency to improve the quality and/or quantity of service delivery to agency clients
- The proposal consists primarily of technical assistance, training programs, policy research and development, targeted equipment and material (i.e. that relate directly to capacity development) or similar forms of support

### **Efficiency**

- The proposal has clearly defined results and outcomes that are likely to be achieved in the designated time frame
- The proposal uses a method of delivery that is feasible, cost effective and makes maximum use of available resources
- The proposal promotes and maintains acceptable standards of accountability and transparency
- The proposal recognises social and cultural factors that affect capacity building in the recipient organisation or agency, including ethnicity, language and gender

### **Sustainability**

- The proposal includes an approach that promotes counterpart ownership and hence sustainability
- The proposal strengthens the management capacity of the agency
- The proposal places an emphasis on skills transfer and development within the agency concerned
- The proposal promotes the development of an enabling environment in the agency or across the sectors concerned
- The proposal includes complementary levels of counterpart contributions
- The proposal identifies and takes account of the interests and expectations of Key Stakeholders

### **C.3.2. Immediate and Emerging Priorities Only**

- A current and strategic issue is being addressed
- The proposed Project has an opportunity to have a quick impact
- The total timeframe for the Project is less than 12 months
- The Project provides potential for longer-term engagement between the agency and the broader objectives of the PSIF framework
- Total Project costs are less than SAT\$ 100,000

### **C.3.3 Specific Exclusions**

- The proposal does not include the large-scale purchase of capital or other equipment; however modest funding provision for the upgrading of the physical working environments of agency staff and/or clients may be considered as part of a larger project
- The proposal will not use PSIF funds for recurrent costs that properly belong in the agency's core budget
- The proposal does not include external technical assistance for agencies to provide staffing for in line positions or to carry out functions that should properly be performed by public servants or other citizens of Samoa

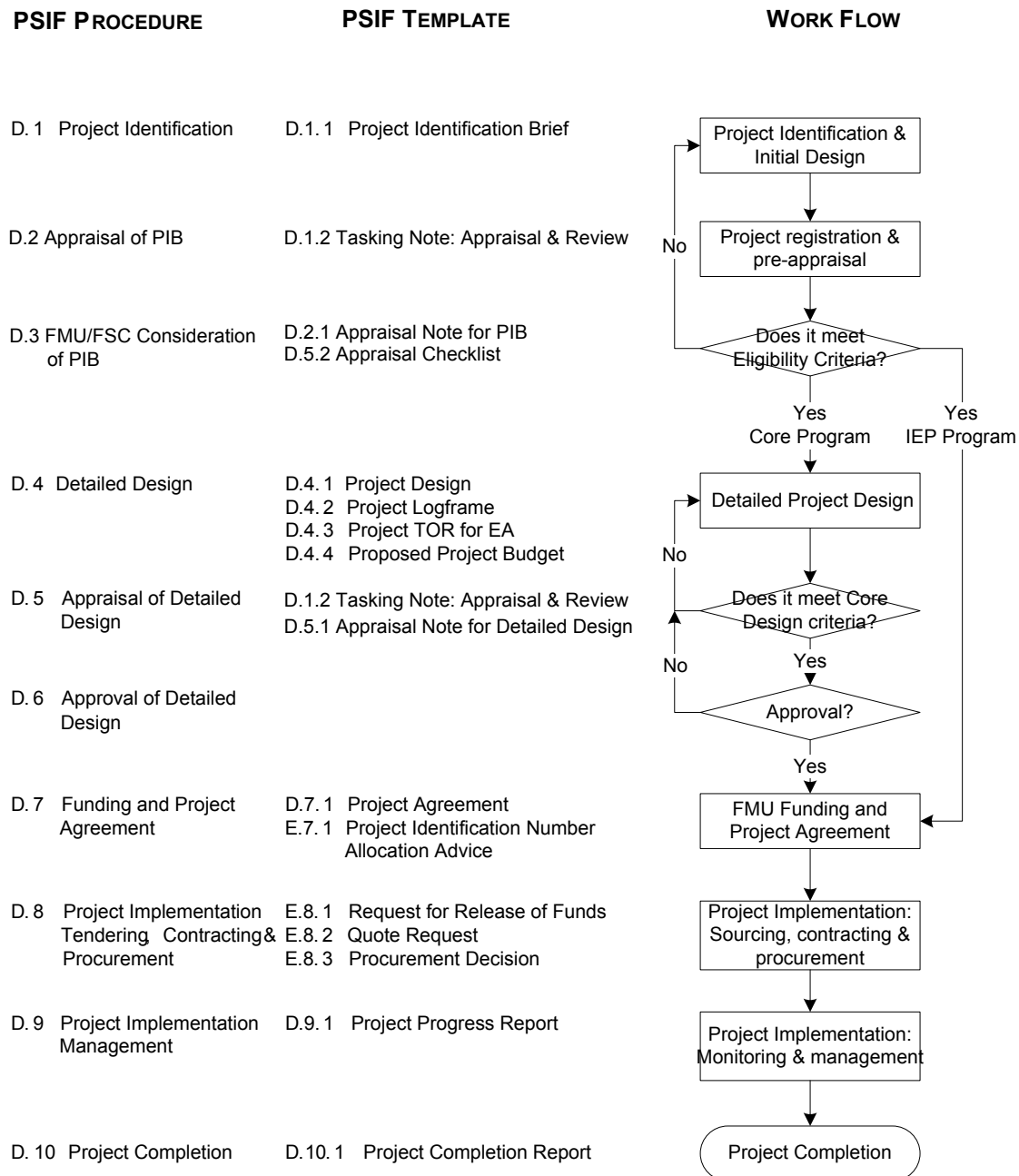
# Section D



## Project Management Cycle

## Summary of the PSIF Project Management Process

The following diagram summarises the relationship between the PSIF procedures, the templates and the steps in the project management process.



## **D.1 Project Identification**

### **D.1.1 Process Responsibilities and Authorities**

***Processing Officer:***

An officer delegated by the agency concerned as the Project Co-ordinator (PC) for coordination and operational management of the Project.

***Approving Officer:***

CEO of agency concerned

### **D.1.2 Process Output**

Project Identification Brief (PIB) for project.

### **D.1.3 Output Recipient**

FMU Program Officer and Review Group

### **D.1.4 Steps**

D.1.4.1 The PC prepares the PIB in accordance with the conditions and guidelines outlined by the Agency.

D.1.4.2 The Agency may seek assistance from the FMU in preparing and formulating the PIB. In such cases, an officer of the FMU will be nominated to assist the Agency.

The completed PIB should be not more than 5 pages in length.

D.1.4.3 On receipt the, FMU reviews the PIB to ensure all necessary information has been provided in sufficient detail and to the standards required of the FSC and guidelines.

This will include checking to ensure that the following matters have been addressed:

- PSIF Key Principles have been met;
- the project falls under one or more of the PSIF Strategic Priorities (if not, why not?);
- project implications for Whole of Government (where applicable) have been identified; and
- implications for other agencies have been identified (where applicable).

If sufficient information has not been supplied, the FMU Manager refers the documents back to the Agency with detailed comments on what is required.

D.1.4.4 The completed PIB is allocated a Project Identification Number (PIN).

D.1.4.5 The FMU Program Officer prepares a Tasking Note for the PIB and forwards PIB and Tasking Note – PIB to the Review Group.

### **D.1.5 Templates**

D.1.1 Project Identification Brief Page 78

D.1.2 Tasking Note – Appraisal and Review Page 79

### **D.1.6 References**

Section 3: Project Identification PPP Manual Treasury Department, Economic Planning and Policy Division, 1 September 1998

Sectoral Planning Manual Treasury Department, Economic Planning and Policy Division, March 2000.

Project Design Toolkit

## **D.2 Appraisal of PIB**

### **D.2.1 Process Responsibilities and Authorities**

***Processing Officer:***

A member or members of the Review Group

***Approving Officer:***

CEO Ministry of Finance

### **D.2.2 Process Output**

The appraisal process should be completed within 10 working days.

Appraisal Note for PIB

Appraisal Checklist

### **D.2.3 Output Recipient**

Facility Management Unit

### **D.2.4 Steps**

- D.2.4.1 The Review Group receives the Tasking Note – PIB and the PIB document from FMU and prepares the Appraisal Note for PIB.
- D.2.4.2 The Review Group prepares the Appraisal Checklist to ensure that the PIB meets PSIF criteria.
- D.2.4.3 The Review Group records on the Appraisal Note for PIB a recommendation for the FMU to either:
  - D.2.4.4 Reject the PIB (with reasons provided)
  - D.2.4.5 Seek more information from the Line Agency (detailing information required), or
  - D.2.4.6 Forward the PIB to the FSC for consideration and approval
- D.2.4.7 The completed Appraisal Note for PIB and Appraisal Checklist are returned to the FMU, with the covering Tasking Note – PIB completed and signed.
- D.2.4.8 The Review Group keeps a copy of the PIB, Tasking Note – PIB, Appraisal Note for PIB and Appraisal Checklist for their records.

**D.2.5 Templates**

D.2.1	Appraisal Note for Project Identification Brief	Page 80
D.5.2	Appraisal Checklist	Page 90

**D.2.6 References**

Section 3-8: PIB Appraisal PPP Manual Treasury Department, Economic Planning and Policy Division, 1 September 1998

## **D.3 Decision on PIB**

### **D.3.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU Manager

***Approving Officer:***

Members of the FSC

### **D.3.2 Process Output**

The Advice to Agency should be available to the agency within 20 working days of submission to the FMU.

Advice to Agency on whether request is:

- Approved to proceed to Detail Design as a Core Program; or
- Approved to proceed as an IEP; or
- Referred back to the Agency to be further developed; or
- Not approved.

### **D.3.3 Output Recipient**

PC in the Agency to proceed with results of FSC decision.

### **D.3.4 Steps**

D.3.4.1 The FMU compiles all documentation for presentation to the FSC and checks to ensure all information is supplied, to the standard required;

D.3.4.2 After checking the documentation, the FMU advises the FSC whether the PIB meets the criteria for an IEP or Core Project.

D.3.4.3 FSC reviews the PIB together with the Appraisal Note by the Review Group and decides: if the project proposal is approved; requires more information; or is rejected.

D.3.4.4 The FMU Manager advises the Agency of the FSC decision and the reasons for the decision.

Note: if the PIB is approved as an IEP it shall proceed direct to Procedure D.7 to prepare funding and project agreement.

### **D.3.5 Templates**

Not applicable

### **D.3.6 References**

Section C Eligibility Criteria for Activities under the Facility

## **D.4 Detailed Design**

### **D.4.1 Process Responsibilities and Authorities**

***Processing Officer:***

PC for project, FMU Officer (where requested), such other Agency and GoS personnel as nominated by the CEO of the Agency.

***Approving Officer:***

CEO of Agency

### **D.4.2 Process Output**

Detailed Design of Project or detailed TORs for technical assistance.

### **D.4.3 Output Recipient**

FMU and Review Group.

### **D.4.4 Steps**

- D.4.4.1 The PC and other staff in the Agency, supported by the FMU (where required) develop a Detailed Design from the preliminary design in the PIB.
- D.4.4.2 While it is anticipated that the documentation will be as brief as possible, designs shall be appropriate to the type of Project under consideration. For example TOR and workplans for Technical Assistance will be different from the design of a project- requiring multiple inputs and coordination across agencies or ministries where more substantial supporting documentation would be required.
- D.4.4.3 TOR and workplans for Technical Assistance shall include reference to the requirements of the PSC for recruitment of advisers and shall meet all contracting obligations of the Attorney General.
- D.4.4.4 More complex project-type activities shall be developed on a case-by-case basis appropriate to the scale and nature of the issue or problem to be addressed (see template). Complex projects would normally include a Logframe, Risk Analysis, Project Budget and a Monitoring and Reporting Plan
- D.4.4.5 The FMU may consult with the MoF, AusAID and NZAID Post to access lists of pre-qualified consultants and adviser available in Samoa and within the region.

D.4.4.6 The FMU Program Officer prepares a Tasking Note for the Detailed Design and forwards the Detail Design and Tasking Note to the Review Group.

#### **D.4.5 Templates**

D.4.1	Project Design	Page 81
D.4.2	Project Logframe (where appropriate)	Page 84
D.4.3	TOR for Full Scale Environmental Assessment (where appropriate)	Page 85
D.4.4(a)	Proposed Project Budget (less than 12 months)	Page 87
D.4.4(b)	Proposed Project Budget (more than 12 months)	Page 88

#### **D.4.6 References**

Public Service Act 2004

Section 4: Project Formulation PPP Manual Ministry of Finance, Economic Planning and Policy Division, 1 September 1998

Sectoral Planning Manual Ministry of Finance, Economic Planning and Policy Division, March 2000

Project Design Toolkit

MoF, AusAID and NZAID pre-qualification lists for international consultants

## **D.5 Appraisal of Detailed Design**

### **D.5.1 Process Responsibilities and Authorities**

***Processing Officer:***

A member or members of the Review Group

***Approving Officer:***

CEO of Ministry of Finance

### **D.5.2 Process Output**

The appraisal should be completed within 10 working days.

Appraisal Note for Detailed Design

Appraisal Checklist

### **D.5.3 Output Recipient**

Facility Management Unit

### **D.5.4 Steps**

- D.5.4.1 The Review Group receives the Tasking Note from the FMU and prepares the Appraisal Note for Detailed Design in accordance with the guidelines in the PPP Manual Section 5-5.
- D.5.4.2 The Review Group prepares the Appraisal Checklist to ensure that the Detailed Design continues to meet PSIF criteria.
- D.5.4.3 The Review Group records on the Appraisal Note for Detailed Design a recommendation for the FMU to either:
- Reject the Detailed Design (with reasons provided)
  - Seek more information from the Line Agency (detailing information required), or
  - Forward the Detailed Design to the FSC for consideration and approval
- D.5.4.4 The completed Appraisal Note and Appraisal Checklist are returned to the FMU, with the covering Tasking Note – Appraisal completed and signed.
- D.5.4.5 The Review Group keeps a copy of the Tasking Note - Appraisal, Detailed Design, Appraisal Note for Detailed Design and Appraisal

Checklist for their records and follow-up action as necessary including for monitoring purposes.

### **D.5.5 Templates**

D.5.1	Appraisal Note for Detailed Design	Page 89
D.5.2	Appraisal Checklist	Page 90
D.1.2	Tasking Note: Appraisal and Review	Page 79

### **D.5.6 References**

Section 5-5: Project Appraisal PPP Manual Treasury Department, Economic Planning and Policy Division, 1 September 1998.

## **D.6 Decision on Detailed Design**

### **D.6.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU Manager

***Approving Officer:***

Members of the FSC

### **D.6.2 Process Output**

The Advice to Agency should be available to the agency within 20 working days of submission to the FMU.

Conveyance of FSC decision to requesting Agency on whether detailed design is supported.

### **D.6.3 Output Recipient**

PC of the Agency for further action.

### **D.6.4 Steps**

D.6.4.1 FMU reviews the Detailed Design to ensure all necessary information has been provided in sufficient detail and to the standards required of the FSC and guidelines. If not, FMU Manager refers the documents back to the Agency with detailed comments on what is required.

D.6.4.2 FSC reviews the Detailed Design together with the Appraisal Note by the Review Group and decides: if the project proposal is approved; requires more information; or is rejected.

D.6.4.3 The FMU Manager advises the Agency of the FSC decision and the reasons for the decision.

### **D.6.5 Templates**

Not applicable

### **D.6.6 References**

Section B Procedures 6 & 7 FSC Meeting Procedures

## **D.7 Funding and Project Agreement**

### **D.7.1 Process Responsibilities and Authorities**

***Processing Officer:***

PC for project, FMU Officer (where requested), such other Agency and CEO of the Agency.

***Approving Officer:***

FMU Manager and CEO of Agency

### **D.7.2 Process Output**

Project Agreement

### **D.7.3 Output Recipient**

CEO of the agency

Budget Group in MoF (Project Agreement for information)

### **D.7.4 Steps**

D.7.4.1 Following approval of the Project by the FSC, the FMU prepares a Project Agreement and agrees funding arrangements between the FMU and the Agency concerned. The Project Agreement outlines the responsibilities of the Agency concerned and the role of the FMU (if any) in the ongoing support and management of the Project. The Project Agreement will record the funding being provided, the conditions under which the monies will be drawn down and any other terms and conditions that the FSC considers appropriate. (Refer Procedure E.10). Attached to the agreement will be the Project Identification Number (PIN) Allocation Advice (refer Procedure E.8).

D.7.4.2 Following preparation of the Agreement the FMU and the CEO of the Agency, the PC and any key members of the Agency who will be assigned to the Project discuss in detail the provisions of the agreements to ensure all parties are clear on their respective obligations

D.7.4.3 An original copy of both the Project Agreement is held by FMU and the Agency. A copy of the Project Agreement shall be forwarded to the MoF Budget Group for information.

**D.7.5 Templates**

D.7.1 Project Agreement Page 92

**D.7.6 References**

Public Finance Management Act 2001

## **D.8 Project Implementation: Tendering, Contracting and Procurement**

### **D.8.1 Process Responsibilities and Authorities**

***Processing Officer:***

PC assisted by the FMU Program Officer if required

***Approving Officer:***

CEO of Agency

### **D.8.2 Process Output**

Request for Tender (RFT)

Contract for Services

### **D.8.3 Output Recipient**

Successful contractor and agency

### **D.8.4 Steps**

D.8.4.1 The PC in consultation with the FMU Program Officer (if required) shall prepare the RFT in accordance with GoS requirements as advised by the Office of the Attorney General

D.8.4.2 The RFT shall be approved by the CEO of the agency.

D.8.4.3 The TAP shall rank the tenders in accordance with the criteria and the highest ranking bidder shall be invited to negotiate with the Agency with a view to agreeing a binding contract for services.

D.8.4.4 The preferred bidder shall be invited to negotiate with the PC on behalf of the Agency in order to agree:

- Project outputs and timing;
- A Project Monitoring Plan based on the logframe or project design which provides a list of the objectives, outputs and reporting arrangements as agreed with the FMU;
- A fixed price; and
- A binding contract.

Note: the contract shall be prepared in accordance with the requirements of the Office of the Attorney General

D.8.4.5 The contract shall be reviewed by the Office of the Attorney General prior to signing by the CEO of the Agency.

D.8.4.6 A copy of the final contract, Project Logframe (where applicable) and agreed monitoring plan shall be forwarded to the FMU for information.

## **D.8.5 Templates**

Not applicable

## **D.8.6 References**

Contracting Toolkit

Office of the Attorney General

Monitoring and Evaluation Toolkit

Facility Management Unit

## **D.9 Project Implementation: Management**

### **D.9.1 Process Responsibilities and Authorities**

***Processing Officer:***

PC representative

***Approving Officer:***

CEO of the Agency

### **D.9.2 Process Output**

Service delivery to agreed standards and timeframe

### **D.9.3 Output Recipient**

FMU

### **D.9.4 Steps**

D.9.4.1 PC submits Project Progress Reports in conformity with Project Monitoring Plan. Variations from expected output/outcomes are identified and corrective action is developed.

D.9.4.2 PC and FMU discuss issues or risks identified in the Project Agreement

D.9.4.3 FMU prepares monthly transaction report in accordance with Project Agreement (refer E.11 FMU Financial Reporting).

D.9.4.4 PC holds regular review meetings for high risk activities as considered necessary by the FMU and identified in the Project Agreement.

D.9.4.5 Corrective action (where necessary) is agreed with the PC and the FMU and is prompt and effective.

### **D.9.5 Templates**

D.9.1 Project Progress Report

Page 96

### **D.9.6 References**

Not applicable

## **D.10 Project Completion**

### **D.10.1 Process Responsibilities and Authorities**

***Processing Officer:***

PC and the FMU Program Officer

***Approving Officer:***

CEO of Agency and FSC

### **D.10.2 Process Output**

Project Completion Report(s)

### **D.10.3 Output Recipient**

CEO of Agency

FMU

FSC

### **D.10.4 Steps**

D.10.4.1 Agency in consultation with the FMU prepares a Project Completion Report which is submitted to the FMU 14 days prior to the estimated completion of the Project. This report includes a list of achievements and outputs against the Project Design, an assessment of the capacity building that has taken place, a statement on lessons learned and an assessment of sustainability of the Project

D.10.4.2 FMU Program Officer interviews Agency counterparts and representatives of Service Provider to ensure there are no outstanding issues arising from implementation.

D.10.4.3 FMU prepares a Certification of Procurement of Project Assets for assets purchased under the project and a final project acquittal report.

### **D.10.5 Templates**

D.10.1	Project Completion Report	Page 98
E.15.2	Certification of Procurement of Project Assets	Page 117

### **D.10.6 References**

Not applicable

# Section E



**Financial Management**

## **E.1. The PSIF Special Purpose Account**

### **E.1.1 Nature of the PSIF Special Purpose Account**

The purpose of the PSIF Special Purpose Account is to support the implementation of the Public Sector Improvement Facility as per the Tripartite Arrangement between the Government of Samoa, the Government of Australia and the Government of New Zealand on the Public Sector Improvement Facility dated 24 February 2005.

The Facility Steering Committee (FSC) will be responsible for the establishment, administration and closure of the PSIF Account. The account will be set up ensuring that it is administered within the requirement of the Samoan Public Finance Management Act 2001 and the Tripartite Arrangement.

The PSIF Special Purpose Account will not be used for any other purpose other than paying for projects approved by the FSC. All payments will be in accordance with these procedures.

### **E.1.2 Establishment principles for the Samoa Public Sector Improvement Facility Special Purpose Account**

The PSIF Special Purpose Account will be established by the Ministry of Finance by preparing a PSIF Special Purpose Charter Template (or equivalent letter). This document should be signed by the CEO Ministry of Finance and CEO for the Ministry of Prime Minister and Cabinet. It complies with Section 56 of the Samoan Public Finance Management Act 2001 which requires the following information to be submitted:

- Request for the establishment of the account
- The name of the account
- The name of the department or organisation operating the account
- Any legal requirement, citing Act and section
- The names and designation of not less than two signatories
- The purpose of the account
- The source or sources of funds to be deposited in the account
- The approved categories of expenditure to be paid from the account
- Any particular conditions
- Instructions for the disposal of funds on the completion of the purpose or the closure of the account.

Once the fund has been approved, Ministry of Finance staff will establish an on call cheque account that is named the Samoa Public Sector Improvement Facility (PSIF Account) with the ANZ Bank in Apia, Samoa. This will be known as the 'Samoa PSIF Special Purpose Account'. The account will accrue interest on the

official daily cash rate. Interest will be credited to the PSIF Account on at least a monthly basis.

The Government of Australia will initially contribute up to AUD500,000 and the Government of New Zealand will contribute up to NZ500,000 on the establishment of the account and the provision of an estimate of costs for the next 6-month period.

### **E.1.3 Signatories to the PSIF Special Purpose Account**

All cheques and telegraphic transfer withdrawals must be signed by two signatories. One signature will be from the Ministry of Finance list and one signature will be from the Ministry of the Prime Minister list. The positions of those authorised to sign are listed in the following table. The names of the current approved signatories are included in Appendix A.

<b>AUTHORISED SIGNATORIES TO PSIF SPECIAL PURPOSE ACCOUNT</b>	
<b>Ministry of Finance</b>	<b>Ministry of Prime Minister</b>
CEO, Ministry of Finance	CEO, Prime Minister & Cabinet
Deputy CEO, Ministry of Finance	Manager, Facility Management Unit
Deputy CEO, Ministry of Finance	ACEO, Corporate Services
ACEO Aid Coordination & Management	

### **E.1.4 Operating principles**

The Samoa PSIF Special Purpose Account shall operate using a system of internal financial controls that permits the accurate recording, reporting and monitoring of the account. The Account will comply with all Government of Samoa, Government of Australia and Government of New Zealand annual audit requirements.

The Ministry of Finance is responsible for the control of this account. The account will be managed with accountable cash advances from AusAID and NZAID disbursed under rules set out in this document and in the Tripartite Arrangement – Annex 5 the Special Purpose Account for the Samoa Public Sector Improvement Facility.

Additional contributions may be made by the Government of Australia in Australian dollars and the Government of New Zealand in New Zealand dollars. This will be done by advising the Government of Australia and Government of New Zealand in writing in accordance with the Tripartite Arrangement.

To be considered for support under the PSIF, proposed projects must meet the criteria which have been established by the Government of Samoa (GoS). Refer to Section C of this manual for these criteria.

## **E.2. Financial responsibilities for managing the PSIF Special Purpose Account**

### **E.2.1 Main roles and responsibilities of the FCC and FSC**

The Facility Coordinating Committee (FCC) will be responsible for approving the strategic focus of the PSIF and will endorse the program of projects and communicate this to the FSC and FMU. In their role they will oversee the establishment, administration and closure of the PSIF Account through:

- a) Reviewing all six-monthly reports prepared by the FMU
- b) Reviewing and approving the half-yearly budget which projects the funds to be expended from the PSIF Special Purpose Account and the actual expenditure to date
- c) Ensuring the annual audit is conducted and reviewing and acting upon, if necessary, the findings of the report prepared by the Auditor General
- d) Instructing the FSC to close the PSIF Special Purpose Account if required.

The Facility Steering Committee (FSC) will be responsible for the establishment, administration and closure of the PSIF Account. Primary functions of the FSC in relation to the PSIF Special Purpose Account are:

- a) ensuring the PSIF Special Purpose Account is administered with the requirements of the Samoa Public Finance Management Act 2001 and the Tripartite Arrangement
- b) appointing at least two authorised signatories to the PSIF Special Purpose Account noting that Australian Government and New Zealand Government officials cannot be signatories to the PSIF Special Purpose Account
- c) opening the PSIF Special Purpose Account
- d) advising the Government of Australia and Government of New Zealand in writing, with seven (7) days notice when additional contributions to the PSIF Special Purpose Account are required
- e) ensuring payments from the PSIF Special Purpose Account are appropriate and effective in achieving the SPSIF purpose
- f) ensuring that proper accounting records are kept of all transactions of the PSIF Special Purpose Account
- g) reporting to the Government of Australia, the Government of New Zealand and the Government of Samoa, on a six-monthly basis of opening balance, revenue, expenditure by category, accrued interest and closing balance, assets and liabilities, as appropriate to each Government's purposes, within seven (7) days of the end of each six monthly period
- h) closing the account and refunding any unspent funds including accrued interest to the Government of Australia and to the Government of New Zealand on a pro rata basis per respective contributions, upon written request, at the conclusion of the Project

The remuneration and expenses of the members of the FCC and FSC in carrying out their duties will not be met from the PSIF Account.

## **E.2.2 Main roles and responsibilities of Ministry of Finance**

The roles and responsibilities of the Ministry of Finance, will be as follows:

- oversee and control the allocation of funds so that over commitment does not take place
- ensure observance of the prescribed financial procedures in implementing expenditure decisions
- review and monitor commitments and expenditure so that timely warnings are given on the availability of funds.
- accountability requirements are met

Upon the receipt of requisition of expenditure/claims, it is the Financial Delegate's responsibility to:

- ensure the PSIF Special Purpose Account funds are spent only for the specified projects approved by the FCC and within the budget limits
- check and ensure that procurement procedures in relation to the quotations and tender have been followed before approval for payment is given for expenditures
- check that all expenditure is charged to the correct cost code
- provide a transaction list and bank statement monthly
- monitor the financial reports provided monthly from the FMU

The Ministry of Finance will ensure that the Samoa PSIF Special Purpose Account is audited annually by the Auditor General. Any issues raised by the audit will be thoroughly investigated by an independent person who is nominated by the Facility Coordinating Committee.

## **E.2.3 Main roles and responsibilities of Agencies**

The roles and responsibilities of Agencies will be as follows:

- initiate the project
- prepare a proposal including the financial budget for that project

Once the project has been approved by the FSC:

- prepare a Request for Release of Funds letter for approval for expenditure
- engage contractors as required
- procure the goods and services
- monitor the progress of the expenditure
- submit expenditure claims, including a copy of the Letter of Request for Release of Funds and supporting documentation, to FMU to certify and the FMU will forward to Ministry of Finance for payment
- prepare completion reports at the end of the project

#### **E.2.4 Main roles and responsibilities of the FMU**

The FMU will be responsible for administering the PSIF Special Purpose Account which will include:

- requesting funds for deposit into the PSIF Special Purpose Account
- providing Project Identification Numbers for the Agencies
- reviewing procurement and payment requests from Agencies to ensure that they are in line with the original proposal and do not exceed the projected budget
- Financial reporting including half-yearly budget preparations, and end of project acquittals

#### **E.2.5 Maintaining Commitment Control**

Each individual Agency undertaking any project under the PSIF is responsible for commitment control. The purpose of commitment control is to know at all times how much money has been spent or committed, and how much money is left.

Prior to a Request for Release of Funds letter being forwarded for approval, the Agency should ensure that the budget less payments less commitments is sufficient to cover the cost of the goods or services. The monthly report of receipts and payments the Agency receives from the FMU will provide the Agency with the necessary information to ensure this.

#### **E.2.6 Dealing with irregularities**

In the event that the Ministry of Finance/Auditor detects any irregularities with expenditure, the following steps will be taken:

- The MoF/Auditor will notify the FMU Manager
- Further payments relating to the Agency will be immediately suspended until the situation is clarified.
- All projects funded by the facility within the agency will be suspended indefinitely.
- Any authenticated outstanding accounts payable to suppliers and contractors as at the date of suspension of project will be paid.
- The FMU Manager is to authorise an immediate investigation into the circumstances of the irregularity and notify AusAID and NZAID in writing of the irregularity.
- Any case of fraud will be immediately notified to the police or the relevant authorities for action.

### **E.3. VAGST**

The GoS has a Value Added Goods and Services Tax. Agencies are required to pay the VAGST on all procurement.

### **E.4. Limitation of liability**

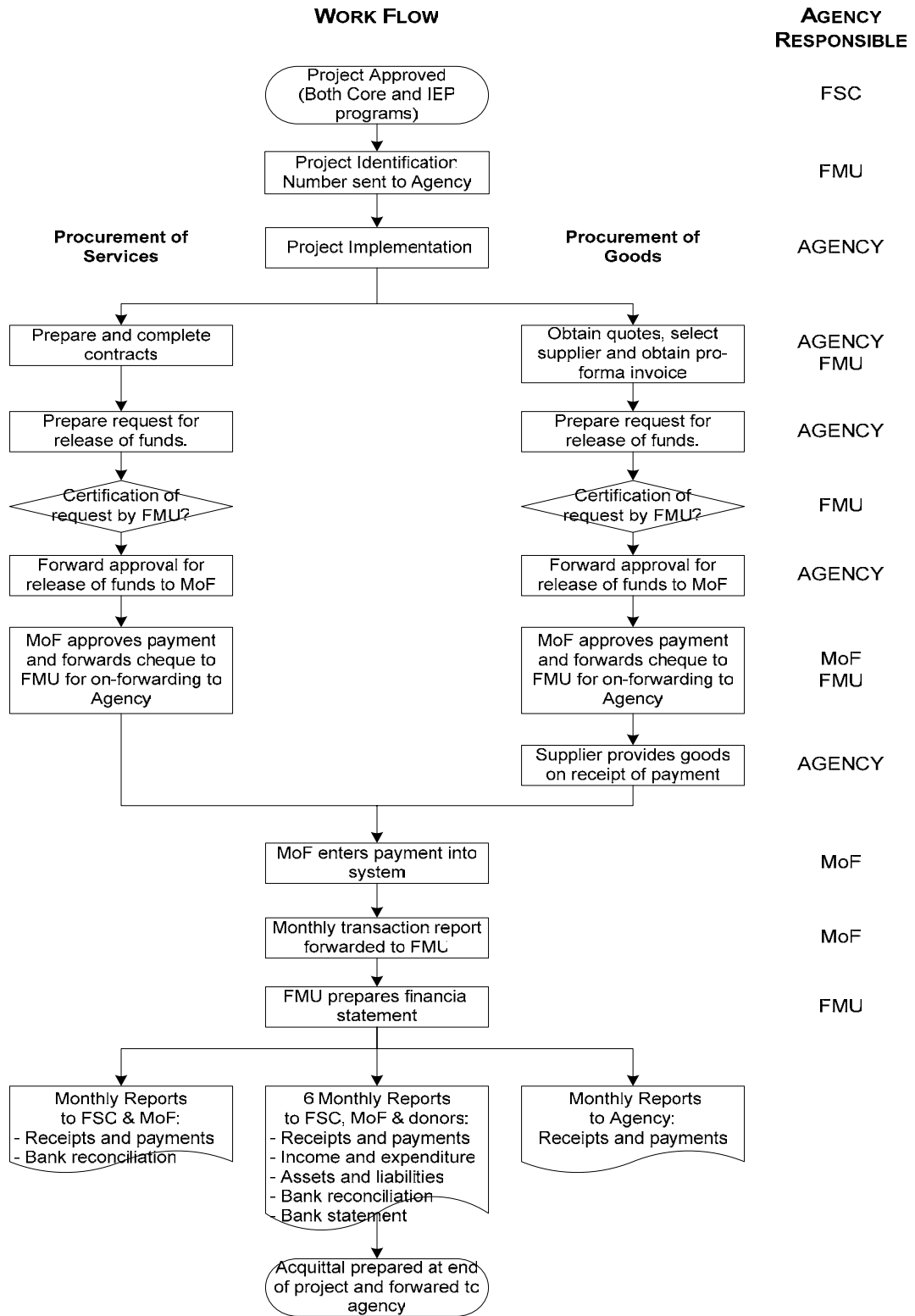
The Australian Government and the New Zealand Government will not be liable, by reason of them being party to the Tripartite Arrangement or if its contributions as the case may be, for acts, omissions, debts or obligations of the PSIF Special Purpose Account, or of those administering the PSIF Special Purpose Account.

The GoA and GoNZ will not be liable for any losses arising from foreign exchange relating to such acts, omissions, debts or obligations

### **E.5. Accounting and monitoring of expenditure**

#### **E.5.1 Basis of accounting for PSIF**

The design of operational accounting procedures, forms and reporting systems for the Facility are based on the GoS financial processes. Below is a flow chart outlining the process in which the PSIF Special Purpose Account will operate.



## **E.6 Requesting Funds for the PSIF Special Purpose Account**

### **E.6.1 Process Responsibilities and Authorities**

#### ***Processing Officer:***

FMU Administrative and Finance Officer (FMU AFO)

#### ***Approving Officer:***

FMU Manager

### **E.6.2 Process Output**

Contribution to SPSIF Special Purpose Account Letter to receive funds from GoA and GoNZ

### **E.6.3 Output Recipient**

AusAID and NZAID

### **E.6.4 Steps**

- E.6.4.1. The FMU AFO prepares the letter requesting a transfer of funds from AusAID and NZAID to the SPSIF Special Purpose Account
- E.6.4.2. The amount of funds requested is based on the budget contained in the approved Review and Forward Program and the estimated cash flow forecast for the following six-month period.
- E.6.4.3. The Letter is signed by the FMU Manager/CEO of the Ministry of Finance and forwarded to AusAID and NZAID.
- E.6.4.4. AusAID and NZAID will provide payment within seven (7) days of receiving this advice in accordance with the Tripartite Arrangement

### **E.6.5 Templates**

- E.6.1 Contribution to PSIF Special Purpose Account Letter Page 99

### **E.6.6 References**

Annex 5: The Special Purpose Account for the Samoa Public Sector Improvement Facility, Tripartite Arrangement between the Government of Australia, the Government of New Zealand and the Government of Samoa 2005-2009

## **E.7 Agency expenditure coding structure**

### **E.7.1 Process Responsibilities and Authorities**

#### ***Processing Officer:***

The Project Coordinator (PC), the FMU Program Officer (FPO) and the FMU AFO.

#### ***Approving Officer:***

CEO of Agency concerned and the FMU Manager

### **E.7.2 Process Output**

Allocation of a Project Identification Number and Chart of Accounts

### **E.7.3 Output Recipient**

GoS Agency

### **E.7.4 Steps**

E.7.4.1 Each cheque drawn on the PSIF Special Purpose Account must be identified by a Project Identification Number which will be provided by the FMU and an account classification from the Government of Samoa Chart of Accounts (e.g. travel, per diems, fees).

E.7.4.2 The FMU will notify the Agency of their Project Identification Number through the provision of a completed Project Identification Number Allocation Advice which will be attached to the Project Agreement (Procedure D.7 Funding and Project Agreement)

E.7.4.3 When preparing expense claims and acquittal summaries, every payment made from the PSIF Special Purpose Account must be clearly identified under the appropriate item of expenditure in accordance with the approved PSIF Chart of Accounts

### **E.7.5 Templates**

E.7.1 Project Identification Number Allocation Advice Page 101

### **E.7.6 References**

Government of Samoa Chart of Accounts

Appendix B Chart of Accounts

## **E.8 Request for and Procurement from the PSIF Special Purpose Account**

### **E.8.1 Process Responsibilities and Authorities**

***Processing Officer:***

The PC and the FMU AFO

***Approving Officer:***

CEO of Agency concerned and the FMU Manager

### **E.8.2 Process Output**

Approval of request for payment from the Account

### **E.8.3 Output Recipient**

FMU

### **E.8.4 Steps**

E.8.4.1 For all expenditure under the PSIF Special Purpose Account, a Letter of Request for Release of Funds, should be prepared and authorised in the Agency by the CEO and the ACEO of the Agency and the FMU Manager, prior to any procurement or contracting taking place.

***Procurement of goods***

E.8.4.2 For the procurement of goods, attached to the Letter of Request for the Release of Funds, should be the written quotes received, in line with the MoF requirements as set out in the Treasury Instructions Purchasing Authorities Schedule, a Purchasing Decision Form and a Pro-forma invoice from the supplier.

E.8.4.3 This information is forwarded to the FMU for certification. The FMU will forward it to the MoF who will prepare the cheque for payment (ref Procedure 9 for further information)

***Procurement of services***

E.8.4.4 For the procurement of services, the Letter of Request for the Release of Funds should be prepared and forwarded to the FMU with a copy of the Project Agreement attached. Once approved, procurement and contracting of the services by the Agency can take place.

E.8.4.5 Once the expense has been incurred, the approved Request for Release of Funds letter, including all of the supporting documentation such as a copy of the original budget for the project, and quotes for any

procurement of services or items (in line with the MoF requirements as set out in the Treasury Instructions Purchasing Authorities Schedule) plus an original copy of the invoice from the supplier should be forwarded to the FMU for certification.

- E.8.4.6 This Request should also be accompanied by, if appropriate, a copy of the contract with the service provider, a Progress Report demonstrating that the expense has contributed to meeting the goals and objectives of the Project or any other relevant supporting documentation (Refer Procedures D.7 and D.9).

## **E.8.5 Templates**

E.8.1	Letter of Request for Release of Funds	Page 102
E.8.2	Quote request	Page 104
E.8.3	Advice of Procurement Decision	Page 105

## **E.8.6 References**

GoS Tenders Board Guidelines for Government Procurement by Public Tender  
Treasury Instructions Purchasing Authorities Schedule

## **E.9 Payments from the SPSIF Special Purpose Account**

### **E.9.1 Process Responsibilities and Authorities**

***Processing Officer:***

The PC, MoF and the FMU

***Approving Officer:***

CEO of Agency concerned, MoF, cheque signatories and the FMU Manager

### **E.9.2 Process Output**

Payment from the Account

### **E.9.3 Output Recipient**

GoS Agency

### **E.9.4 Steps**

E.9.4.1 The FMU will certify the payment, by completing and signing the certification approval form.

E.9.4.2 The FMU will forward the Request, with the signed certification attached, to the MoF for payment. The FMU will only sign the certification if the amount to be paid is within the approved project budget total. The FMU will monitor the line item expenditure.

E.9.4.3 The FMU will identify as early as possible if a Project is going over budget or has the potential to do so and will notify the Agency and the FSC.

E.9.4.4 If a requested payment means that the total budget allocation is exceeded, the payment should be first approved by the FSC prior to the payment being approved. The Agency requesting the payment should provide an explanation to the FSC as to why the budget allocation was exceeded.

E.9.4.5 For control purposes, the two members of the FMU who certify the payment should not also be a cheque signatory for that particular payment.

E.9.4.6 The FMU AFO will record the details of the payment in a Cheque Register and then forward the request for payment to the MoF.

- E.9.4.7 The MoF will review the request for payment. They will ensure that all payments for:
- **Procurement of goods** are made upon the receipt of a pro-forma invoice and a completed Procurement Decision Form
  - **Procurement of services** are made only upon receipt of approved tax invoices for services supplied.
- E.9.4.8 The MoF will issue a cheque within 7 working days of receiving the request for payment from the FMU. As per section 14 of the Samoa Accounting Procedures Manual, cheques may only be drawn in favour of a person or organisation and must not be made payable to cash.
- E.9.4.9 Cheques must only be signed by the authorised signatories of the bank account.
- E.9.4.10 The MoF will return the cheque to the FMU. The FMU AFO will record the cheque number in the cheque register to enable cross-referencing between when the request for payment was initially received and when it is paid.
- E.9.4.11 The FMU will forward the cheque to the Agency.
- E.9.4.12 The PC will pay the supplier of either the goods or services. If goods are being purchased then on receipt of the cheque the supplier will issue the goods. If any assets are purchased they must be recorded immediately in the Agency Assets Register.

## **E.9.5 Templates**

- |       |                           |          |
|-------|---------------------------|----------|
| E.9.1 | FMU Payment Certification | Page 106 |
| E.9.2 | Cheque Register           | Page 107 |

## **E.9.6 References**

Samoa Accounting Procedures Manual

## **E.10 Monthly Transaction Listing & Bank Statement**

### **E.10.1 Process Responsibilities and Authorities**

***Processing Officer:***

MoF

***Approving Officer:***

CEO of Agency concerned

### **E.10.2 Process Output**

Monthly transaction listing for reporting purposes

### **E.10.3 Output Recipient**

FMU Administrative and Finance Officer (FMU AFO)

### **E.10.4 Steps**

E.10.4.1 The MoF records all payment transactions made from the Special Purpose Account on behalf of the Agencies for approved projects.

E.10.4.2 At the end of each month a list of all payments recorded for that month are forwarded to the FMU AFO. This must be forwarded within 7 working days of the end of the month being reported.

E.10.5 The MoF must also forward at the end of each month a copy of the PSIF Special Purpose Account Bank Statement

E.10.6 The FMU AFO develops all financial reports required from this information

### **E.10.5 Templates**

None applicable

### **E.10.6 References**

None applicable

## **E.11 FMU Financial Reporting**

### **E.11.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU AFO

***Approving Officer:***

FMU Manager

### **E.11.2 Process Output**

Monthly and six-monthly financial reports

### **E.11.3 Output Recipient**

FSC, FCC and MoF

### **E.11.4 Steps**

E.11.4.1 On receipt of the transaction listing and bank statement for the month the FMU AFO prepares a statement of receipts and payments and a bank reconciliation statement.

E.11.4.2 These reports are presented to the FSC and the MoF as part of the documentation produced for each FCC meeting.

E.11.4.3 The FMU AFO will also forward a monthly statement of receipts and payments to each Agency for their project.

E.11.4.4 Six-monthly the FMU AFO will prepare the following financial reports and forward to the FSC FCC:

- a statement of receipts and payments;
- an income and expenditure report;
- a statement of assets and liabilities; and
- a bank reconciliation statement.

### **E.11.5 Templates**

E.11.1	Monthly Financial Advice Letter	Page 108
E.11.2	Statement of Receipts and Payments to Agencies	Page 110
E.11.3	Statement of Receipts and Payments	Page 111
E.11.4	Bank Reconciliation Statement	Page 112
E.11.5	Income Statement	Page 113
E.11.6	Statement of Assets and Liabilities	Page 114

### **E.11.6 References**

Government of Samoa Accounting Procedures Manual

## **E.12 Half Yearly Budget Preparation**

### **E.12.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU AFO

***Approving Officer:***

FMU Manager

### **E.12.2 Process Output**

Half-yearly budget.

### **E.12.3 Output Recipient**

MoF and FCC

### **E.12.4 Steps**

E.12.4.1 Budget preparation involves the half yearly projection of funds to be expended from the PSIF Special Purpose Account and the actual expenditure to date for each project.

E.12.4.2 A half yearly budget will be prepared by the FMU AFO at least two months before the beginning of the next half year. It will be based on PSIF's accounts structure incorporating the following information:

- Project Identification Number (PIN) for the project
- description of the project
- the budget for the project
- the proposed start date, completion date and funds flow estimate
- the technical assistance required
- other related information

E.12.4.3 The half-yearly budget will be prepared using the Budget Proposal Form completed by the Agencies for each Project (Ref Section D Procedure 4 of this handbook for further information)

E.12.4.4 The half-yearly budget estimates will be forwarded to the FCC as supporting documentation for a request for a contribution to be made to the PSIF Special Purpose Account.

**E.12.5 Templates**

E.12.1 Half Yearly Budget Report

Page 115

**E.12.6 References**

None applicable

## **E.13 Bank Reconciliation**

### **E.13.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU AFO

***Approving Officer:***

FMU Manager

### **E.13.2 Process Output**

Preparation of a Bank Reconciliation

### **E.13.3 Output Recipient**

FSC and FCC

### **E.13.4 Steps**

E.13.4.1 A bank reconciliation tests whether the records kept by the bank and the records by the MoF agree.

E.13.4.2 Monthly the MoF will provide the FMU with a bank statement from the PSIF Special Purpose account.

E.13.4.3 The FMU AFO will prepare a bank reconciliation to reconcile the information provided on the bank statement with financial statements of the Account

E.13.4.4 The copy of the bank reconciliation will be provided to the FSC as required and to the FCC on a six-monthly basis

### **E.13.5 Templates**

E.11.4 Bank Reconciliation Statement

Page 112

### **E.13.6 References**

None applicable

## **E.14 Appointment and terms of reference for financial auditing**

### **E.14.1 Process Responsibilities and Authorities**

***Processing Officer:***

FMU and the Auditor General

***Approving Officer:***

FCC

### **E.14.2 Process Output**

Annual audit of the PSIF Special Purpose Account.

### **E.14.3 Output Recipient**

FCC and FMU

### **E.14.4 Steps**

E.14.4.1 The annual audit of the Samoa PSIF Special Purpose Account will be conducted as soon as possible after the end of the financial year and all end of period financial statements are completed in line with the Auditor Generals current auditing cycle.

E.14.4.2 The independent auditor will be the Auditor General

E.14.4.3 The Auditor General will verify that the accounts of the PSIF Account have been properly prepared in accordance with internationally recognised standards of accounting practice.

E.14.4.4 The Auditor General will:

Report that:

- the accounts have been properly prepared in accordance with the books and records of the PSIF Account; and
- the books and records of the PSIF Account have been properly kept and contain information adequate for the purpose of the audit; and
- the statement of assets and liabilities and income expenditure account of the PSIF Account give a true and fair view of the PSIF Account's financial position; and
- the financial affairs of the PSIF Account have been properly conducted in accordance with this Agreement.

Or notify the Ministry of Finance, the FCC, the Government of Australia, and the Government of New Zealand that the report cannot be completed as provided in subparagraph (a), and give the reasons for that.

- E.14.4.5 The Auditor will submit the audit report to the Ministry of Finance and the FCC prior to 30 September of each year that the Facility operates.
- E.14.4.6 The Ministry of Finance will ensure that any issues raised by the audit will be thoroughly investigated and followed up.

#### **E.14.5 Templates**

None applicable

#### **E.14.6 References**

Tripartite Arrangement

## **E.15 End of Project Acquittal**

### **E.15.1 Process Responsibilities and Authorities**

***Processing Officer:***

PC and the FMU AFO

***Approving Officer:***

FSC and FMU

### **E.15.2 Process Output**

An acquittal prepared at the end of the project

### **E.15.3 Output Recipient**

FSC

### **E.15.4 Steps**

E.15.4.1 The FMU AFO will prepare a Project Acquittal Report, which outlines the Funds allocated to the Project, the actual expenses incurred and any remaining funds.

E.15.4.2 The FMU AFO will also prepare a certification acknowledging the procurement of assets for acquittal purposes which must be reviewed and signed off by the agency.

E.15.4.3 The FMU AFO will forward both of these to the Agency.

E.15.4.4 The Agency should attach both the Project Acquittal Report and the signed Asset Certification to their Project Completion Report which is then forwarded to the FMU and the FSC.

E.15.4.5 Any unspent funds will be reabsorbed into the PSIF Special Purpose Account

### **E.15.5 Templates**

E.15.1 Project Acquittal Report Page 116

E.15.2 Certification of Procurement of Assets Page 117

### **E.15.6 References**

MoF Project Acquittal Report

Certification of Procurement of Assets

## **E.16 Closing the Account at the end of the PSIF**

### **E.16.1 Process Responsibilities and Authorities**

***Processing Officer:***

MoF and the FMU AFO

***Approving Officer:***

FSC

### **E.16.2 Process Output**

Ministry of Finance closes the PSIF Special Purpose Account

### **E.16.3 Output Recipient**

FCC

### **E.16.4 Steps**

E.16.4.1 At the conclusion of the PSIF or as agreed, the MoF will close the PSIF Special Purpose Account.

E.16.4.2 If any audit report cannot be completed as per procedure 14 of this Manual, the FCC will consider the reasons provided by the Auditor and may decide to instruct the MoF to close the account.

E.16.4.3 If no instruction in relation to the above is received from the FCC then it will be upon the recommendation of the FCC in writing to close the Account.

E.16.4.4 Any unspent funds (including interest) will be refunded to the respective governments on a pro-rata basis per their respective contributions.

E.16.4.5 Unused cheques should be returned to the bank.

E.16.4.6 The FMU AFO will prepare a final financial report up to the closure date.

### **E.16.5 Templates**

None applicable

### **E.16.6 References**

Tripartite Arrangement

# Section F



**Templates**

## List of Templates:

### SECTION B: Facility Management

- B.3.1 FCC Agenda
- B.4.1 Minutes and Record of FCC Decisions
- B.6.1 FSC Agenda
- B.6.2 Summary Status Report on PSIF Activities
- B.7.1 FSC Minutes and Record of Decision
- B.8.1 Tasking Note – Evaluation
- B.8.2 Evaluation of Project

### SECTION D: Project Management

- D.1.1 Project Identification Brief
- D.1.2 Tasking Note – Appraisal and Review
- D.2.1 Appraisal Note for Project Identification Brief
- D.2.2 Appraisal Checklist
- D.4.1: Project Design
- D.4.2: Project Logframe
- D.4.3: TOR for Full Scale Environmental Assessment
- D.4.4 (a): Proposed Project Budget (duration less than 12 months)
- D.4.4 (b): Proposed Project Budget (duration more than 12 months)
- D.5.1 Appraisal Note for Detailed Design
- D.7.1: Project Agreement
- D.9.1: Project Progress Report
- D.10.1: Project Completion Report

## **SECTION E: Financial Management**

- E.6.1 Contribution to SPSIF Special Purpose Account
- E.7.1 Project Identification Number Allocation Advice
- E.8.1 Request for Release of Funds
- E.8.2 Quote Request for Provision of Goods
- E.8.3 Advice of Procurement Decision
- E.9.1 FMU Payment Certification
- E.9.2 FMU Cheque Register
- E.11.1 Monthly Financial Advice to Agencies
- E.11.2 Statement of Receipts and Payments by Project
- E.11.3 Statement of Receipts and Payments by Agencies
- E.11.4 Bank Reconciliation Statement
- E.11.5 Income Statement
- E.11.6 Statement of Assets and Liabilities
- E.12.1 Half-Yearly Budget Report
- E.15.1 Project Acquittal Report
- E.15.2 Certification of Procurement of Assets

## B.3.1 FCC Agenda

FCC Meeting Number:

Date        /        /       

### 1. Apologies

**2. Minutes and Record of Decision from previous meeting** *for acceptance*

**3. Minutes and Record of Decision from FSC meetings held since previous FCC meeting** *for information*

### 4. Review and Forward Program

Summary Report on Completed activities, *for information*

Summary Report on Current activities, *for information*

Proposed Forward Program of Current and Approved activities for the next 6 months  
*for endorsement*

Proposed budget and funding requirements for next 6 months *for endorsement*

### 5. Six Monthly Report

Implementation Progress Report *for information*

Discussion of issues arising

Endorsement of Report

### 6. Six Monthly Financial Report

Discussion of issues arising

Endorsement of Report

### 7. Review/Evaluation and Other Reports

Discussion of issues arising

Related decisions

### 8. Other Business

### 9. Next Meeting

## B.4.1 FCC Minutes and Records of Decisions

**FCC Meeting Number:** \_\_\_\_\_ **Date** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

<b>Chair</b>	Name of Chair
<b>Minutes</b>	Name of FMU staff member who prepared the minutes
<b>Present</b>	List of members present. Any apologies

### Agenda topics

#### 1. Minutes and Record of Decisions of last meeting

<b>Discussion</b>	
	Issues arising from Minutes and Record of Decisions at last meeting.
<b>Decision</b>	Acceptance of Minutes and Record of Decisions

#### 2. Minutes and Record of Decisions from FSC Meeting

<b>Discussion</b>	
	Issues arising from Minutes and Record of Decisions of FSC.
<b>Decision</b>	Minutes and Record of Decisions noted

#### 3. Review and Forward Program

<b>Summary Report on Completed Activities</b>	
	Issues arising and summary of FCC discussion
<b>Decision</b>	Summary report noted

<b>Summary Report on Current Activities</b>	
	Issues arising and summary of FCC discussion
<b>Decision</b>	Summary report noted

<b>Proposed Forward Program</b>	
	Issues arising and summary of FCC discussion
<b>Decision</b>	Forward program endorsed/not endorsed with reasons

<b>Proposed Budget and Funding Requirements</b>	
	Issues arising and summary of FCC discussion
<b>Decision</b>	Budget and funding requirements endorsed/not endorsed with reasons

**4. Six Monthly Report**

<b>Six Monthly Report</b>	
Issues arising and summary of FCC discussion	
<b>Decision</b>	Six Monthly Report endorsed/not endorsed with reasons

**5. Six Monthly Financial Report**

<b>Six Monthly Financial Report</b>	
Issues arising and summary of FCC decision	
<b>Decision</b>	Six Monthly Financial Report endorsed/not endorsed with reasons

**6. Review/Evaluation and Other Reports**

<b>Reports Received</b>	
Name of review/evaluation report – summary of FCC discussion	
<b>Decision</b>	Name of report – acceptance by FCC &/or any follow up required and by whom

**7. Other Business**

**8. Next Meeting**

Date, time, venue

**Endorsement of Minutes and Record of Decisions**

\_\_\_\_\_ Date: \_\_\_ / \_\_\_ / \_\_\_

FCC Chair

\_\_\_\_\_ FCC Member \_\_\_\_\_ FCC Member

## B.6.1 FSC Agenda

FSC Meeting Number:

Date      /      /     

### 1. Apologies

### 2. Minutes and Record of Decision from previous meeting *for acceptance*

### 3. Consideration of Proposals Received

- Project Identification Brief for Core activities, with Appraisal Note and recommendation from Review Group, *for decision*
- Project Identification Brief for IEP activities, with Appraisal Note and recommendation from Review Group, *for decision*
- Detailed Designs for Core activities, with Appraisal Note and recommendations from Review Group, *for decision*

### 4. Summary Status Report

- Review of progress and discussion of issues arising
- Any decisions required related to approved and/or completed activities

### 5. Project Completion Reports Received

- Discussion of issues arising

### 6. Financial Management Reports

- Implications for funding of activities
- Acquittals received

### 7. Review/Evaluation and Other Reports

- Discussion of issues arising

### 8. Other Business

### 9. Next Meeting

## B.6.2 Summary Status Report on PSIF Activities

FSC Meeting Number: \_\_\_\_\_ Schedules Date \_\_\_\_/\_\_\_\_/\_\_\_\_

PIN	TITLE	IMPLEMENTING AGENCY	CATEGORY (CORE/IEP)	START DATE	END DATE	EXPECTED OUTPUTS & OUTCOMES	KEY ACHIEVEMENTS /ISSUES	FOR DECISION OR DISCUSSION
	<b>Current</b>							
	<b>In Preparation</b>							
	<b>Completed</b>							
	<b>Rejected</b>							

Signature of FMU Manager: \_\_\_\_\_

Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## B.7.1 FSC Minutes and Records of Decisions

Meeting Number: \_\_\_\_\_ Date      /      /     

<b>Chair</b>	Name of Chair
<b>Minutes</b>	Name of FMU staff member who prepared the minutes
<b>Present</b>	List of members present. Any apologies

### Agenda topics

#### 1. Minutes and Record of Decisions of last meeting

<b>Discussion</b>	
	Issues arising from Minutes and Record of Decisions at last meeting.
<b>Decision</b>	Acceptance of Minutes and Record of Decisions

#### 2. Consideration of Proposals Received

<b>Project Identification Brief for Core Activities</b>	
	Name of Project and submitting agency – summary of FSC discussion
<b>Decision</b>	Name of Project – approved/not approved/referred for further development

<b>Project Identification Brief for IEP Activities</b>	
	Name of Project and submitting agency – summary of FSC discussion
<b>Decision</b>	Name of Project – approved/not approved/referred for further development

<b>Detailed Designs for Core Activities</b>	
	Name of Project and submitting agency – summary of FSC discussion
<b>Decision</b>	Name of Project – approved/not approved/referred for further development

**3. Summary Status Report**

<b>Summary Status Report</b>	
	Name of Project – summary of FSC discussion
<b>Decision</b>	Name of Project – statement of decision and to whom referred for implementation and follow up

**4. Project Completion Reports Received**

<b>ACRs Received</b>	
	Name of Project and submitting agency – summary of FSC discussion
<b>Decision</b>	Name of Project – acceptance by FSC and/or any follow up required and by whom

**5. Financial Management Reports Received**

<b>Reports Received</b>	
	Name of Project and submitting agency – summary of FSC discussion
<b>Decision</b>	Name of Project – acceptance by FSC and/or any follow up required and by whom

**6. Review/Evaluation and Other Reports**

<b>Reports Received</b>	
	Name of Project and submitting agency – summary of FSC discussion
<b>Decision</b>	Name of Project – acceptance by FSC and/or any follow up required and by whom

**7. Other Business**

**8. Next Meeting**

Date, time, venue

**Endorsement of Minutes and Record of Decisions**

\_\_\_\_\_

Date: \_\_\_ / \_\_\_ / \_\_\_

FSC Chair

## B.8.1 Tasking Note: Evaluation

### 1. Project Description

- 1.1. Project Title
- 1.2. Sector
- 1.3. Implementing Agency
- 1.4. Contact Person
- 1.5. PIN

### 2. Type of Appraisal Requested:

- Project Completion
- Ex-Post
- Other

### 3. Requested by:

- FCC
- FSC
- Other

4. Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

### 5. Terms of Reference of Request:

6. Received at Review Group: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

7. Review Group Completed: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

8. Signature: \_\_\_\_\_

9. Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

## **B.8.2 Evaluation of Project**

*(Note: Corresponds to Project Evaluation (PPP Manual Section 7-8))*

### **1. Terms of Reference**

- 1.1. Project Title
- 1.2. Executing Agency
- 1.3. Implementing Agency
- 1.4. Summary of progress and other relevant reviews/reports
- 1.5. Brief description
- 1.6. Terms of Reference for this evaluation

### **2. Project Performance and Quality**

- 2.1. Relevance
- 2.2. Efficiency
- 2.3. Effectiveness
- 2.4. Impacts
- 2.5. Sustainability

### **3. Summary of Outcomes and Impacts**

### **4. Issues and Lessons Learned**

### **5. Conclusion and Recommendations**

## D.1.1 Project Identification Brief

The Project Identification Brief (PIB) is the key ‘high level’ document used by the FSC to determine whether the Project proposal proceeds to implementation. It needs to contain sufficient detail for assessments to be made, while remaining as brief as possible, preferably not more than 5 pages. The PIB shall include:

### **Name of the Agency**

<b>Sector</b>	The sector indicated under the SDS
<b>Problem Analysis</b>	A description of the problem requiring assistance and how it is affecting the agency or sector
<b>Project Objective</b>	What are the outcomes and outputs to be achieved
<b>Type of Assistance</b>	What type of assistance is being sought
<b>Estimated Project Costs</b>	An estimate of the total project costs including capital and recurrent costs.
<b>Budget Estimates</b>	<ul style="list-style-type: none"><li>• For projects longer than 12 months duration: quarterly estimates</li><li>• For projects of less than 12 months duration: monthly estimates</li></ul>
<b>Capacity Building</b>	How will this assistance contribute to organisational and/or human resource development within the agency or across agencies/sectors
<b>Consistency with SDS and Agency Plans</b>	Description of how the assistance addresses development priorities under the SDS, the Public Sector Reform program, the Sector plan and/or the Ministries Corporate and Annual plans
<b>Relationship to PSIF Principles and Strategic Priorities</b>	<ul style="list-style-type: none"><li>• Contribution to Whole of Government and cross-cutting approaches;</li><li>• Involvement of civil society and the private sector</li></ul>
<b>Timing</b>	Estimated duration and start date
<b>Agency or GoS contribution</b>	What resources (e.g. counterpart staff, office space, desks, equipment) will be contributed by the Agency to the Project
<b>Proposed counterparts</b>	Who will be the immediate counterparts for any technical assistance including: name; work unit and position
<b>Sustainability</b>	<ul style="list-style-type: none"><li>• What will happen when the Project finishes. Will counterparts continue to support the initiative?</li><li>• Who are they key stakeholders? Do they support this initiative?</li></ul>
<b>Other Assistance</b>	Is the agency receiving assistance or support form other international donors or other sources? If so details should be provided
<b>Authorisation &amp; Approval</b>	Approval by the CEO of the Agency together with details of Output Manager nominated by the Agency.

## D.1.2 Tasking Note – Appraisal and Review

### 1. Project Description

1.1. Project Title

1.2. Sector

1.3. Executing Agency

1.4. Implementing Agency

### 2. Type of Appraisal Requested:

PIB

IEP

Detailed Design

3. Registered at FMU: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

4. Received at Review Group: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

5. Appraisal Completed: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

6. Signature: \_\_\_\_\_

7. Date: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_

### 8. Recommendation:

Further work is required on the proposal

The proposal is endorsed for further consideration

The proposal is rejected (reasons are attached)

## **D.2.1 Appraisal Note for Project Identification Brief**

*(Note: Corresponds to Pre-Appraisal Report of PIB (PPP Manual Section 3-8)*

### **1. Project Description**

- 1.1. Project Title
- 1.2. Sector
- 1.3. Executing Agency
- 1.4. Implementing Agency

### **2. Appraisal Summary**

- 2.1. Summary of Issues
- 2.2. Project Objectives
- 2.3. Project Description and Strategy
- 2.4. Estimated Project Costs
- 2.5. External Funding Proposed
- 2.6. Tentative Financial/Economic Returns
- 2.7. Impact on Service Delivery
- 2.8. Implementation Period
- 2.9. Consultations with Other Agencies

### **3. Compliance with PSIF Criteria (see Appraisal Checklist D.5.2)**

- 3.1. Confirm PSIF is the most appropriate mechanism for support

### **4. Minor comments/corrections**

### **5. Recommendation**

## **D.4.1 Project Design**

### **1. Project Description**

- Project Title
- Sector

### **2. Background**

- Background including location of the proposed project and outlining issues and development constraints to be addressed.
- Description and relationship of the proposal to the SDS, related sectoral policies, the PSIF Strategic Framework and existing agency outputs.
- History of development and reform activities in the agency and relationship (if any) to the current proposal.
- Description of Key Stakeholders involved their relationship to the project.

### **3. Approach**

- Capacity building approach proposed with roles of stakeholders, including technical advisers and counterparts/host agency clearly defined.
- Range of expertise and inputs required.

### **4. Technical Resources**

- Technical resources to be provided by the PSIF.
- Counterpart resources to be provided by the Agency.
- Position and person specifications for TA and background information on skills and experience of proposed counterparts

### **5. Revenue and Costs**

- Revenue generation or cost savings.
- Project budget with financial estimates over the proposed period of the project.

### **6. Outputs and Outcomes**

1. Output targets and key performance indicators.
2. Efficiency gains, productivity or improvements in services.
3. Linkages with and effects on other sectors or existing outputs.

4. Human resource development implications.
5. Labour market impact (where applicable).
6. Linkages to other GoS agencies or the private sector.
7. Rural or urban development implications.
8. Technology transfer implication.
9. Gender implications.
10. Environmental impacts.
11. Social development implications.

## **7. Contribution to PSIF Strategic Priorities**

- Improved service delivery to agency clients.
- Strengthening of “Whole-of-Government” approach in policy and programmes.
- Strengthens the management capacity of the agency.
- Involvement of civil society and the private sector

## **8. Project Implementation**

- Responsibility of the agency.
- Management and organisation of project implementation.
- Detailed implementation schedule/work program.

## **9. Contracting Approach**

- Brief description of the type of contract proposed (complex time-based; lump sum output based etc.)
- Type of procurement of goods and services.
- Indicate compliance with GoS guidelines as advised by the Attorney Generals Office

## **10. Project Monitoring**

- Monitoring strategy, linked to major Project milestones and measurement of performance indicators.
- Use of project progress and completion reports.

## **11. Stakeholder Interests and Expectations**

## **12. Other Issues**

## **13. Project Feasibility and Sustainability**

- Technical feasibility.
- Institutional and counterpart capacity
- Policy support.
- Environmental aspects.
- Socio-cultural aspects.

## **14. Consultation with other Relevant Agencies**

## **15. Summary of Issues**

## **16. Signature of CEO of Agency**

## D.4.2 Project Logframe

Name of Project: _____	PIN: _____	Agency _____
Project Coordinator: _____	Telephone: _____	

<b>OBJECTIVE:</b> Simply state the Objective of the Project in terms of the intended impact and outcomes to be achieved.			
<b>PURPOSE:</b> What is this project really trying to do? Relate the purpose statement to the PSIF Strategic Framework and the Sector Plans to which this project is going to contribute.			
OUTPUTS	VERIFIABLE INDICATORS	MEANS OF CHECKING Key Performance Indicators	IMPORTANT ASSUMPTIONS / RISKS
OUTPUT 1:			
Suggested tasks to achieve OUTPUT 1:			
OUTPUT 2:			
Suggested tasks to achieve OUTPUT 2:			
OUTPUT 3:			
Suggested tasks to achieve OUTPUT 3:			
OUTPUT 4:			
Suggested tasks to achieve OUTPUT 4:			

## **D.4.3 ToR for Full Scale Environmental Assessment**

**Note: Corresponds to ToR for Full Scale Environmental Assessment**

**PPP Manual Section 4-1**

### **1. Project Description**

- Project Title
- Sector

### **2. Purpose of the Environmental Assessment**

### **3. Background**

- Background including location of the proposed project and outlining issues and development constraints to be addressed.
- Description and relationship of the proposal to the SDS, related sectoral policies, the PSIF Strategic Framework and existing agency outputs.
- History of development and reform activities in the agency and relationship (if any) to the current proposal.

### **4. Objective**

The objective of the EA is to:

- Identify possible environmental impacts.
- Collect base-line data for future monitoring and evaluation of project activities..

### **5. Organisation of the Study**

- Who is to undertake the study.
- Who is to be consulted.
- Who is to review the recommendations.

### **6. Environmental Assessment Requirements**

- Classification of project under the Lands, Survey and Environment Act, 1989
- Key issues to be addressed

## **7. The Consulting Team**

## **8. Work Schedule**

## **9. Study Area**

## **10. Scope of the EA Study**

- Potential sources of impact from project components
- Potential sufferers from impact
- Potential environmental impacts
- Potential mitigating measures.

## **11. Undertaking the EA Study**

- Description of the proposed project
- Description of the target environment
- Potential impact of the proposed project
- Significance of impacts
- Project alternatives
- Management plan to mitigate negative impacts
- Economic evaluation

## **12. Institutional Needs to Implement the Mitigating Measures**

## **13. Environmental Monitoring**

## **14. Inter-Agency and NGO/Public Involvement**

## **15. Report Structure**

## **16. Background Documents**

## **17. Signature of Chairman of the Environmental Board**

## **18. Date**

## D.4.4 (a) Proposed Project Budget

### For Project Duration of Less than 12 months

**PROJECT BUDGET**

NAME OF MINISTRY

NAME OF PROJECT

	CHART OF ACCOUNT CODE	Jul-05	Aug-05	Sep-05	Oct-05	Nov-05	Dec-05	Jan-06	Feb-06	Mar-06	Apr-06	May-06	Jun-06	TOTAL
<b>GoS CONTRIBUTION</b>														
eg staff, office space/ training space, office setup														
<b>PSIF CONTRIBUTION</b>														
eg trainers/advisers														0
materials														0
travel														0
communication														0
														0
														0
														0
														0
														0
<b>TOTAL BUDGET</b>		0	0	0	0	0	0	0	0	0	0	0	0	0

## D.4.4 (b) Proposed Project Budget

### For Project Duration of More than 12 months

PROJECT BUDGET

NAME OF MINISTRY

NAME OF PROJECT

	CHART OF ACOUNT CODE	YEAR 1				YEAR 2				YEAR 3				TOTAL
		QTR 1 (3 months)	QTR 2 (3 months)	QTR 3 (3 months)	QTR 4 (3 months)	QTR 5 (3 months)	QTR 6 (3 months)	QTR 7 (3 months)	QTR 8 (3 months)	QTR 9 (3 months)	QTR 10 (3 months)	QTR 11 (3 months)	QTR 12 (3 months)	
<b>GoS CONTRIBUTION</b>														
eg staff, office space/ training space, office setup														
<b>PSIF CONTRIBUTION</b>														
eg trainers/advisers														0
materials														0
travel														0
communication														0
														0
														0
														0
														0
														0
<b>TOTAL BUDGET</b>		0	0	0	0	0	0	0	0	0	0	0	0	0

## **D.5.1 Appraisal Note for Detailed Design**

*(Note: This Corresponds to Project Appraisal Report (PPP Manual Section 5-5))*

### **1. Project Description**

- 1.1. Project Title
- 1.2. Sector
- 1.3. Executing Agency
- 1.4. Implementing Agency

### **2. Appraisal Summary**

- 2.1. Summary of Issues
- 2.2. Background
- 2.3. Project Objectives
- 2.4. Project Description and Strategy
- 2.5. Project Costs
- 2.6. Assumptions
- 2.7. Implementation
- 2.8. Project Financial and Economic Features
- 2.9. Impact on Service Delivery
- 2.10. Factors Ensuring Sustainability
- 2.11. Monitoring and Evaluation
- 2.12. Proposed Financing Structure
- 2.13. Proposed Funding Conditions
- 2.14. Budgetary Implications
- 2.15. Consultations with Other Agencies

### **3. Compliance with PSIF Criteria (see Appraisal Checklist D.5.2)**

- 3.1. Confirm PSIF is the most appropriate mechanism for support

### **4. Minor comments/corrections**

### **5. Recommendation**

## **D.5.2 Appraisal Checklist: PSIF ELIGIBILITY CRITERIA**

### **A. For All Proposals**

#### **1. Relevance**

- The proposal is consistent with GoS development priorities identified in the Strategy for Development of Samoa 2005-2007
- The proposal is consistent with the Corporate Plan for the agency concerned, the relevant Sector Plan if available and with issues identified in the agency's Capability Plan
- The proposal is consistent with policies and direction contained in the PSIF Strategic Framework
- The proposal is consistent with a "Whole of Government" approach to policy and programming
- The proposal complements, is coordinated with, and does not duplicate capacity development initiatives of the GoS including those with other international donors
- The proposal complies with GoS policies on human resource development, gender and environment
- There is appropriate stakeholder involvement (including civil society and the private sector where appropriate)

#### **2. Effectiveness and Impact**

- Project will make a real contribution to building the capacity of GoS individuals and agencies
- Project will assist the agency to improve the quality and/or quantity of service delivery to agency clients
- The proposal consists primarily of technical assistance, training programs, policy research and development, targeted equipment and material (i.e. that relate directly to capacity development) or similar forms of support

#### **3. Efficiency**

- The proposal has clearly defined results and outcomes that are likely to be achieved in the designated time frame
- The proposal uses a method of delivery that is feasible, cost effective and makes maximum use of available resources

- The proposal promotes and maintains acceptable standards of accountability and transparency
- The proposal recognises social and cultural factors that affect capacity building in the recipient organisation or agency, including ethnicity, language and gender

#### **4. Sustainability**

- The proposal includes an approach that promotes counterpart ownership and hence sustainability
- The proposal strengthens the management capacity of the agency
- The proposal places an emphasis on skills transfer and development within the agency concerned
- The proposal promotes the development of an enabling environment in the agency or across the sectors concerned
- The proposal includes complementary levels of counterpart contributions
- The proposal identifies and takes account of the interests and expectations of Key Stakeholders

#### **B. Immediate and Emerging Priorities Only**

- A current and strategic issue is being addressed
- The proposed Project has an opportunity to have a quick impact
- The total timeframe for the Project is less than 12 months
- The Project provides potential for longer-term engagement between the agency and the broader objectives of the PSIF framework
- Total Project costs are less than SAT\$ 100,000

#### **C. Specific Exclusions**

- The proposal does not include the large-scale purchase of capital or other equipment.  
Note: Modest funding provision for the upgrading of the physical working environment of agency staff and/or clients may be considered as a part of a larger project.
- The proposal will not use PSIF funds for recurrent costs that properly belong in the agency's core budget
- The proposal does not include external technical assistance for agencies to provide staffing for in line positions or to carry out functions that should properly be performed by public servants or other citizens of Samoa

## D.7.1 Project Agreement

<b>Agency:</b>	<b>Project Title:</b>
<b>Sector:</b>	

### **General Conditions**

This Project Agreement ('the Agreement') is in regard to the <Name of Project> (referred to as 'the project') between the <Name of Ministry> ('the Agency') and the PSIF Facility Management Unit ('the FMU'), of the Ministry of the Prime Minister and Cabinet. This agreement covers <Name of Project> only. Any subsequent variations to this agreement shall be agreed between the Agency and the FMU and set out as an amendment in a separate letter.

### **Purpose**

The purpose of this Project Agreement is to set out the roles and responsibilities of the Agency and the FMU in regard to the implementation and management of the project. This includes a:

- Scope of Agreement,
- Reporting Schedule and
- Statement of Agreed Outputs and Outcomes;
- Basis of Payment.

### **Part 1: Scope of Agreement**

#### **Approval of Project**

This Project Agreement is based on the approval of the Facility Steering Committee given on <Date of Approval> for the design of the <Name of Project>. The approved project budget is SAT xxx,xxx and the project shall commence on <Estimated Start Date> and be completed before <Estimated End Date>.

#### **Project Management**

The CEO of <Name of Agency> is responsible for the effective delivery of the project, ensuring that Agency inputs are available and that funds are expended according to Government of Samoa financial regulations. The Agency, through the CEO and the Project Coordinator, shall be responsible for preparing and forwarding to the FMU all reports listed in Part 2 of this Agreement. The FMU shall be responsible for reporting on project progress to the Facility Steering Committee, and for conveying decisions of the Committee that may affect the implementation of project to <Name of Agency>.

### **Project Contributions**

The Agency shall provide adequate resources and inputs to ensure the effective delivery of project outputs. This shall include:

- A designated Project Coordinator for the duration of the project, who will be the main point of contact for the FMU on matters relating to project implementation
- Appropriately skilled and qualified counterpart staff to work with technical advisers
- Making available all relevant agency staff to attend training courses and other activities as identified in the approved project design
- Providing office space and access to office equipment for any technical advisers recruited for the project
- Arranging and making available a suitable venue for training courses delivered under the project
- Costs of domestic travel and per diems for any Government of Samoa staff involved in project activities
- Costs of catering for meetings, training courses and other project activities in the approved project design
- Costs of routine stationery and copying materials associated with the administration of the project.
- Any meeting or attendance fees

The Facility shall provide funds for the project from the PSIF Special Purpose Account, in line with the financial arrangements for the project. This may include funds for:

- Technical advisers included in the approved project design and contracted by the Agency, including all domestic and international travel, per diems and professional fees
- Costs of delivery for training programs and courses, including supply of training specialists, with the exception of the Agency costs noted above
- Costs of large scale preparation and printing of training materials, manuals or other documentation outside the normal scope of Agency functions
- Costs of international travel and per diems for Agency staff involved in overseas study tours, training or other activities included in the approved project design
- Costs of any equipment purchases described in the approved project design

### **Procurement and Contracting**

The Agency shall be responsible for arranging all procurement and contracting associated with the project. The Agency shall follow Government of Samoa regulations and guidelines for all project procurement, including tendering and contracting, and shall adhere to the financial procedures outlined in the PSIF Operational Manual.

### **Project Budget**

The approved project budget is:

<Insert Budget Table from approved Project Design>

Funds disbursed from the PSIF Special Purpose Account for the project shall not exceed this total, without further application to and approval from the Facility Steering Committee. The Project Coordinator and the FMU shall monitor expenditure to ensure that funds are not overspent.

### **Financial Claims**

The Agency shall submit all claims for payment from the PSIF Special Purpose Account under the financial guidelines contained in Section E of the PSIF Operating Handbook. Claims shall be submitted directly to the FMU. The FMU shall provide the Agency with a monthly statement of expenditure for the project.

## **Part 2: Reporting Schedule**

### **Basis**

The approved design of the <Name of Project> is used as the basis for determining the number and type of reports. The following list represents the minimum level of reporting from the Agency to the FMU to ensure effective project management and efficient dispersal of funds.

### **Format of Reports**

The Project Progress and Project Completion Reports shall follow the format specified in Section D of the PSIF Operating Handbook. Financial reports shall follow the formats specified in Section E of the same Handbook.

### **List of Reports**

The Agency shall provide Progress and Completion Reports to the FMU at the times specified below, and in the format specified in Templates D.9.1 and D.10.1 respectively:

**Project Progress Report 1 – Due <Date of Report>**

**Project Progress Report 2 – Due <Date of Report>**

**Project Progress Report 3 – Due <Date of Report>**

**Project Completion Report – Due <Date of Report>**

## **Part 3: Basis of Payment**

For the completion of the obligations described in Parts 1 and 2 of this Agreement, the Agency shall be paid as follows:

### **Financial Limitation**

The Financial Limitation over the Project life is SAT\$ **Insert Value**. The provision of all Funds on behalf of the Agency is subject to compliance with all the requirements set down within this Agreement.

### **Payments to Contractor and Service Providers**

The method and schedule of payments shall be negotiated in line with the nature of the project. These might include:

- Payment for inputs;
- Payment for outputs;
- Regular management payments;
- Lump sum payments; and/or
- Reimbursements.

The amounts payable on behalf of the Agency shall be paid upon acceptance by the FMU of the achievement of results as identified in the approved Project Design. Achievement of results shall be established by the FMU from the Project Progress Reports/Project Completion Reports and Annexes submitted by the Agency as specified in Part 2 of this Agreement.

### **Suspension of Payments For Non-Performance**

If the Agency fails to achieve the outputs in accordance with this Agreement, the FMU shall suspend all pending and/or future payments until such time as the Agency: complies with its performance of the Services and this compliance has been acknowledged by the FMU as being satisfactory.

### **Claims for Payment**

The Agencies claims for payment shall be submitted in accordance with the procedures outlined in Procedure 10 of Section E of this manual.

### **Unspent Funds**

Should there be funds remaining in the project budget at the end of the project, these funds shall remain in the Trust Account and shall not be available for allocation to other Agency programs or activities outside of the project.

### **Signatures**

Agreed on <**Date of Signature**>

---

Manager, FMU

---

CEO <**Name of Agency**>

## D.9.1 Project Progress Report

<b>Name of Project:</b>	<b>PIN:</b>
<b>Agency:</b>	
<b>Project Coordinator:</b>	<b>Telephone:</b>

### Summary Project Objectives

1. .
2. .
3. .

<b>Component 1:</b>				
OUTPUT	OUTPUT DESCRIPTION	PROGRESS TO DATE	ISSUES ARISING	FOLLOW-UP ACTION
1.				
2.				
3.				
<b>Component 2:</b>				
OUTPUT	OUTPUT DESCRIPTION	PROGRESS TO DATE	ISSUES ARISING	FOLLOW-UP ACTION
1.				
2.				
3.				

<b>Component 3:</b>				
<b>OUTPUT</b>	<b>OUTPUT DESCRIPTION</b>	<b>PROGRESS TO DATE</b>	<b>ISSUES ARISING</b>	<b>FOLLOW-UP ACTION</b>
1.				
2.				
3.				

**Summary of Issues:**

1. .
2. .
3. .
- 4.

**Recommendations for Consideration:**

1. .
2. .
3. .
- 4.

**List of Annexes:** (as appropriate)

- <Updated Adviser Monthly Work Plans>
- <Training Course Evaluations>
- <Study Tour Evaluations>
- <Any Other Templates supplied by FMU>

**Signature of CEO:** \_\_\_\_\_

**Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

## D.10.1 Project Completion Report

<b>Name of Project:</b>	<b>PIN:</b>
<b>Agency:</b>	
<b>Project Coordinator:</b>	<b>Telephone:</b>

### Outcomes achieved under the Project

*Identify outcomes against the goal, purpose and outputs contained in the Project Design*

### Status of Project on Completion

- Capacity of the Agency to sustain the achievements
- Action to incorporate achievements into the Agencies Corporate Plan and Budget
- Overall assessment of sustainability

### Project Management Outcomes:

- Explanation of general management approach
- An assessment of how successful the management, monitoring, reporting and financing was
- Implications for future projects

### Lessons Learned:

### Recommendations for Future Activities:

### List of Annexes:

<Final Outcomes Against Adviser Work Plans>

<Final Acquittal of Funds>

<List of Assets Acquired>

### Impact on Key Public Sector Reform Issues

1. Improved service delivery to agency clients.
2. Strengthening of “Whole-of-Government” approach in policy and programmes.
3. Strengthens the management capacity of the agency.

**Signature of CEO:** \_\_\_\_\_

**Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

## **E.6.1 Contribution to SPSIF Special Purpose Account**

### **DRAFT LETTER**



## SAMOA PUBLIC SECTOR IMPROVEMENT FACILITY

Date

To: Valma Galuvao  
AusAID Samoa

Philip Hewitt  
NZAID, Samoa

### **RE: Samoa Public Sector Improvement Facility Contribution to the Special Purpose Account**

As detailed in clause 10 of the Tripartite Arrangement, the SPSIF requests the contribution for the next 6-month period be made by AusAID and NZAID to the Samoa Public Sector Improvement Facility Special Purpose Account.

**FOR INITIAL CONTRIBUTION** - Please find attached the (YEAR) PSIF budget which details the PSIF cashflow requirements for the (actual dates for the next 6-month period).

**FOR SUBSEQUENT CONTRIBUTIONS** - Please find attached the (YEAR) PSIF budget which details the PSIF cashflow requirements for the (actual dates for the next 6-month period). This has been fully reconciled against the budget for the previous six-month period and a summary explaining any variations, issues and risks is also attached.

Based on this budget, which has been approved by the FCC and FSC, we wish to request a total contribution of SAT\$XXXXX.

Please forward payment to the SPSIF Special Purpose Account, Co/e ANZ Bank. Beach Road, Samoa, BSB XXXXXX, Account Number XXXXXXXX.

Kind regards

Name  
Position

### **MINISTRY OF THE PRIME MINISTER AND CABINET**

1<sup>st</sup> Floor, FMFMII Building, Apia | Ph: 63222 | Fax: 29841 | Email: [spsif@spsif.sagric.com](mailto:spsif@spsif.sagric.com) | PO Box 186 Apia, Samoa

## E.7.1 Project Identification Number Allocation Advice

(To be attached to D.7.1 Project Agreement)

<b>Agency:</b>	
<b>Project Name:</b>	
<b>Agency Project Coordinator/ Contact Details (ph/fax):</b>	
<b>Project Budget:</b>	
<b>PIN for Project:</b>	

## E.8.1 Request for Release of Funds

Name of Agency

Date

Addressed to CEO of Agency &  
FMU Manager

**RE: Request for the release of funds from the PSIF Special Purpose Account for payment of expenses for the (NAME OF PROJECT and PIN)**

On behalf of the (NAME OF PROJECT), we wish to submit a proposal for funding to be released from the PSIF Special Purpose Account, for your endorsement.

This Project (provide a brief explanation of the background of the Project).

In order to achieve the objectives of the Project, we wish to (describe the expenditure ie contract an adviser to provide training).

We have obtained a quote for the cost of executing this (expenditure ie cost of adviser) and the breakdown of costs as well as the Budget Line is as follows:

Expenditure	PIN & Chart of Accounts Code	Amount
(ie Fees)		\$
(ie Venue)		\$

As this is in line with the Project budget and will assist in meeting the objectives of the Project, we look forward to your favourable response to this request.

Kind regards

Name  
Position

**Refer for your approval:**

.....  
**Name**  
**CEO, Department**

.....  
**Date**

.....  
**Name**  
**ACEO, Department**

.....  
**Date**

.....  
**Name:**  
**FMU Manager**

.....  
**Date**





## E.9.1 FMU Payment Certification

( To be completed for all payments )

- Goods and /or services the invoice refers to have been delivered, the report has been accepted.
- The invoice received is an original tax invoice. It must say Tax Invoice on the top.( If paying a contractor, it must have a VAGST number and a payment schedule.)
- The invoice received is from the contractor identified in the contract and is on their official letterhead.
- The amount of the invoice is correct
  - The amount on the invoice add up correctly
  - There is an invoice number
- The payment details are correct ( postal details ) and the payment request for the contractor specified in the contract, which match what is specified in the contract basis of payment.
- The payment date on the claim for payment is set for 30 days from acceptance of a correct invoice
- The invoice ( for goods / services the invoice refers to ) have
  - Not previously been paid before
  - Paid in part
  - Paid in full
- The date of service identified on the claim for payment correspond with what we are paying for
- The goods/services identified on the claim for payment correspond with the Project.
- The correct PIN and Chart of Account codes have been used on the claim for payment.
- This payment is consistent with the Project Agreement Basis of Payment

Checked by \_\_\_\_\_ Date \_\_\_\_\_

Certifying Officer \_\_\_\_\_ Date \_\_\_\_\_



## **E.11.1 Monthly Financial Advice to Agencies**

### **DRAFT LETTER**



## SAMOA PUBLIC SECTOR IMPROVEMENT FACILITY

Date

Addressed to Project Manager  
from the Agency

**RE: Statement of Receipts and Payments for the (NAME OF PROJECT and PROJECT CODE)**

Please find attached a Statement of Receipts and Payments for the month ending (Month/Year) for the (NAME OF PROJECT)

According to MoF and FMU records, as at (Month/Year), the (NAME OF PROJECT) is currently operating within/or exceeding the projects approved budget.

If the Agency records differ in anyway to the attached information, please contact the undersigned.

Kind regards

Name  
Position, FMU

**E.11.2**

**Statement of Receipts and Payments by Project**

Agency: \_\_\_\_\_  
Statement as at: (Month)

	Budget	Actual	Balance	% spent	May-05	Jun-05	Jul-05	Aug-05	Sep-05	Oct-05	Nov-05	Dec-05	Jan-06	Feb-06	Mar-06	Apr-06	May-06	Jun-06
	Tala	Tala	Tala	%	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala	Tala
<b>PAYMENTS</b>																		
<i>Chart of Account Numbers</i>																		
<b>Project description #1</b>	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0
Fees		0	0															
Travel - presenter		0	0															
Travel - participants		0	0															
Per diems - presenter		0	0															
Course fees		0	0															
Consumables		0	0															
Procurement of Assets		0	0															
Other		0	0															

## E.11.3 Statement of Receipts and Payments by Agencies

### PSIF Special Purpose Account

#### Statement of Receipts and Payments

For the period ended 02-January-2005

		Budget Tala	Actual Tala	Balance Tala	% spent %	May-05 Tala	Jun-05 Tala	Jul-05 Tala	Aug-05 Tala	Sep-05 Tala
<b>Opening Bank balance</b>	01-January-2005		<b>0</b>							
<b>RECEIPTS</b>										
AusAID			0							
NZAID			0							
GOS			0							
Bank Interest			0							
Sundry receipts			0							
<b>Total Receipts</b>		<b>0</b>	<b>0</b>	<b>0</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>PAYMENTS</b>										
	<i>Account Numbers</i>									
<i>Project description #1</i>		0	0	0		0	0	0	0	0
<i>Project description #2</i>		0	0	0		0	0	0	0	0
<i>Project description #3</i>		0	0	0		0	0	0	0	0
<i>Project description #4</i>		0	0	0		0	0	0	0	0
<i>Project description #5</i>		0	0	0		0	0	0	0	0
<i>Project description #6</i>		0	0	0		0	0	0	0	0
<i>Project description #7</i>		0	0	0		0	0	0	0	0
<i>Project description #8</i>		0	0	0		0	0	0	0	0
<i>Project description #9</i>		0	0	0		0	0	0	0	0
<i>Project description #10</i>		0	0	0		0	0	0	0	0

## E.11.4 Bank Reconciliation Statement

### PSIF Special Purpose Account

#### Bank Reconciliation Statement as at

02-January-2005

	Tala	Tala	DR/CR
Balance as per Bank Statement			<b>CR</b>
<b>plus Deposits not yet credited</b>			
List the deposits here			
List the deposits here			
		0.00	
		0.00	
<b>less Unpresented Cheques</b>			
List the cheque nos here			
List the cheque nos here			
List the cheque nos here			
List the cheque nos here			
List the cheque nos here			
List the cheque nos here			
List the cheque nos here			
		0.00	
Balance as per Cash at Bank account		0.00	<b>DR</b>

## E.11.5 Income Statement

### PSIF Special Purpose Account

#### Income Statement

for the six month period ending 03-January-2005

	Accrued Tala	Actual for 6 months Tala	Total for 6 months Tala
<b>INCOME</b>			
AusAID			0
NZAID			0
GOS			0
Bank Interest			0
Sundry receipts			0
Accrued revenue			0
<b>Total Income</b>	<b>0</b>	<b>0</b>	<b>0</b>

#### EXPENDITURE

<i>Project description #1</i>			0
<i>Project description #2</i>			0
<i>Project description #3</i>			0
<i>Project description #4</i>			0
<i>Project description #5</i>			0
<i>Project description #6</i>			0
<i>Project description #7</i>			0
<i>Project description #8</i>			0
<i>Project description #9</i>			0
<i>Project description #10</i>			0
<i>Project description #11</i>			0
<i>Project description #12</i>			0
<i>Project description #13</i>			0
<i>Project description #14</i>			0
<i>Project description #15</i>			0
<i>Project description #16</i>			0
<i>Project description #17</i>			0
<i>Project description #18</i>			0
<i>Project description #19</i>			0
<i>Project description #20</i>			0
Bank charges and fees			
Government charges and fees			
Other			
Sundry payments			
<b>Total Expenses</b>	<b>0</b>	<b>0</b>	<b>0</b>

**Excess of Income over Expenses** **0**

## E.11.6 Statement of Assets and Liabilities

### PSIF Special Purpose Account

#### Statement of Assets and Liabilities

as at 03-January-2005

	Tala	Tala
<b>Assets</b>		
<b>Current Assets</b>		
Cash at Bank		
Accrued Income		
<i>Total current assets</i>		0
<b>Non Current Assets</b>		
Equipment		
Vehicles		
Furniture and Fittings		
Other		
<i>Total non current assets</i>		0
<b>Total assets</b>		<b>0</b>
<b>Liabilities</b>		
<b>Current Liabilities</b>		
Accrued expenses		

## E.12.1 Half-Yearly Budget Report

### Samoa PSIF Special Purpose Account Half-Yearly Budget Report

<b>CURRENT PROJECTS</b>	<b>Budget for next 6 months</b>
Project description #1	
Project description #2	
Project description #3	
Project description #4	
Project description #5	
Project description #6	
Project description #7	
Project description #8	
Project description #9	
Project description #10	
Project description #11	
Project description #12	
Project description #13	
Project description #14	
Project description #15	
Project description #16	
Project description #17	
Project description #18	
Project description #19	
Project description #20	
<b>APPROVED PROJECTS</b>	
Project Name	
Project Name	
Project Name	
Project Name	
Project Name	
Project Name	
Project Name	
Project Name	
<b>PROJECTS NOT YET APPROVED</b>	
Estimated funds required for projects	
<b>TOTAL FUNDS REQUIRED FOR NEXT 6 MONTHS</b>	<b>0</b>

## E.15.1 Project Acquittal Report

**END OF PROJECT ACQUITTAL REPORT**  
**PROJECT NAME: xxxxxxxxxxxxxxxxxxxx**  
**PIN: xxxxxxxxxx**

	\$	\$
<b>Funds Received for the Project</b>		0.00
<b>Approved Project Expenditure</b>		
Fees	0.00	
Travel - presenter	0.00	
Travel - participants	0.00	
Per diems - presenter	0.00	
Course fees	0.00	
Consumables	0.00	
Procurement of Assets	0.00	
Other	0.00	
<b>Total Expenses Incurred</b>	0.00	
<b>Total Funds Remaining as at end of Project</b>		<b>\$0.00</b>

I certify that the statement of account fairly and accurately represents actual costs incurred by the above accountable PSIF Special Purpose Account Project

.....  
 Signed by:  
 for Agency:

.....  
 Signed by:  
 for FMU

### E.15.2 Certification of Procurement of Assets

**Insert Name of Project 1**

DESCRIPTION OF ASSET	PURCHASE REFERENCE	PURCHASE DATE	PURCHASE PRICE

I certify that the assets above were purchased as part of a  
PSIF Special Purpose Account Project

.....  
**Signed by:**  
**for Agency:**

.....  
**Signed by:**  
**for FMU**

**A p p e n d i x A**  
**PSIF Special Purpose Account**  
**Approved Signatories**

<b>AUTHORISED SIGNATORIES TO PSIF SPECIAL PURPOSE ACCOUNT</b>	
<b>Ministry of Finance</b>	<b>Ministry of Prime Minister</b>
Ms Hinauri Petana CEO, Ministry of Finance	Vaasatia Poloma Komiti CEO, Prime Minister & Cabinet
Mr Iulai Lavea Deputy CEO, Ministry of Finance	Dr Cam Wendt Manager, Facility Management Unit
Mrs Lusua Sefo-Leau Deputy CEO, Ministry of Finance	Fata Uili Kapeteni ACEO, Corporate Services
Mrs Noumea Simi ACEO Aid Coordination & Management	

# **A p p e n d i x B**

## **Chart of Accounts**

## **PERSONNEL**

### **7093 Board & Committee Allowances**

- 709300 Board & Committee Allowances
- 709301 Board Allowances
- 709302 Committee Allowances

## **OPERATING**

### **722 Asset Maintenance**

- 7224 Plant & Equipment
  - 722400 Plant & Equipment
  - 722401 Repairs & Maintenance
  - 722402 Consumables
- 7226 Furniture & Fittings
  - 722600 Furniture & Fittings
  - 722601 Repairs & Maintenance
  - 722602 Consumables
- 7227 Office Equipment
  - 722700 Furniture & Fittings
  - 722701 Repairs & Maintenance
  - 722702 Consumables

### **725 Rents, Hire & Leases**

- 7255 Furniture & Fittings - Rents & Leases
  - 725500 Furniture & Fittings - Rents & Leases
- 7256 Office Equipment - Rents & Leases
  - 725600 Office Equipment - Rents & Leases

### **734 Fees & Charges**

- 7341 Insurance
  - 734100 Insurance
- 7342 Registrations, Licences & Permits
  - 734200 Registrations, Licences & Permits
  - 734201 Fees & Registrations
  - 734202 Licences
  - 734203 Permits
- 7343 Professional Services
  - 734300 Professional Services
  - 734301 Medical
  - 734302 Legal
  - 734303 Accountancy/Audit
  - 734304 Architecture
  - 734305 HR/Management
  - 734306 Other

### **737 Consultancy**

- 7371 Local Consultant
  - 737100 Local Consultant
- 7372 Overseas Consultant
  - 737200 Overseas Consultant

**740 Travel Costs**

- 7401 Allowances
  - 740100 Allowances
  - 740101 DSA / Transit Allowances
  - 740102 Incidental Allowances
  - 740103 Camping Allowances
  - 740105 Accommodation Allowances
- 7402 Accommodation & Meals
  - 740200 Accommodation & Meals
  - 740201 Accommodation
  - 740202 Meals
- 7404 Travel Fares
  - 740400 Travel Fares
  - 740401 Air Fares
  - 740402 Taxi / Bus Fares
  - 740403 Boat Fares

**746 Communication Charges**

- 7461 Telephone, Facsimile & Mobile
  - 746100 Telephone, Facsimile & Mobile
  - 746101 Telephone
  - 746102 Facsimile
- 7462 Internet, E-mail & Wireless
  - 746200 Internet, E-mail & Wireless
  - 746201 Internet & E-mail
  - 746202 Wireless
- 7463 Duty, Freight, Handling & Wharfage
  - 746300 Duty, Freight, Handling & Wharfage
  - 746301 Duty
  - 746302 Freight
  - 746303 Handling
  - 746304 Wharfage
- 7464 Postage & Courier
  - 746400 Postage & Courier
  - 746401 Postage
  - 746402 Courier

**749 Local Training Costs**

- 7491 Course Materials
  - 749100 Course Materials
- 7492 Catering
  - 749200 Catering
- 7493 Facility Hire
  - 749300 Facility Hire
- 7494 Added Expenses
  - 749400 Added Expenses

**758 Stationery & Printing**

- 7581 Stationery & Printing
  - 758100 Stationery & Printing
  - 758101 Stationery
  - 758102 Bulk Paper Supplies
- 7582 Advertisements
  - 758200 Advertisements
- 7583 Printing & Publication
  - 758300 Printing & Publication

**764 Other Goods & Services**

- 7641 General Supplies & Services
  - 764100 General Supplies & Services
  - 764101 General Supplies
  - 764102 General Services
- 7644 Hardware & Tools
  - 764400 Hardware & Tools
  - 764401 Hardware
  - 764402 Tools
- 7645 Agriculture Supplies
  - 764500 Agriculture Supplies
  - 764501 Animal feed (Livestock)
  - 764502 Agricultural chemicals

**776 Taxation**

- 7761 VAGST
  - 776100 VAGST upon Acquisition
- 7762 Withholding Tax
  - 776200 Withholding Tax

