TR2010/0136.01-01/001- Technical Assistance for Improved Strategic Management Capacity

Inception Report

22.01.2013 - 21.02.2013

CFCU

NWF
NICOLAAS WITSEN FOUNDATION

REPUBLIC OF TURKEY
MINISTRY OF DEVELOPMENT

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Project Data Sheet

Programme Name	**IPA 2010 National Programme for Turkey**
Project Name	**Technical Assistance for Improved Strategic Management Capacity**
Contract No:	**TR2010/0136.01-01/001**
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Present Status	End of Inception Period
Reporting Period	1 month: 22 January - 21 February 2013
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List of Abbreviations

CFCU	The Central Finance and Contracts Unit
CHE	The Council of Higher Education
CPI	Central Public Institution
DGSM	Department of Governance and Strategic Management
EU	European Union
EUD	European Union Delegation
FMIS	Financial Management Information System
KE	Key Expert
M & E	Monitoring and Evaluation
MoD	Ministry of Development
MoEU	Ministry for EU
MoF	Ministry of Finance
MoI	Ministry of Interior
NGO	Non-governmental Organization
NKE	Non-key Expert
NWF	Nicalaas Witsen Foundation
OECD	Organization for Economic Co-operation and Development
PAO	Programme Authorising Officer
PD	Project Director
PFMC Law	Public Financial Management Control Law
SDU	Strategy Development Unit
SM	Strategic Management
SPO	Senior Programme Officer
STE	Short-term Expert
TA	Technical Assistance
TAT	Technical Assistance Team
TEPAV	Economic Policy Research Foundation of Turkey
TL	Team Leader
TNA	Training Needs Analysis
ToR	Terms of Reference
VNG	Netherlands Association of Municipalities

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1 Project Synopsis

Objective: Efficient & effective public service and transparent & sound financial management of public funds		

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Purpose: More effective and impactful strategic planning by central public administrations

Main Beneficiaries: Ministry of Development (MoD), Dept. of Governance & Strategic Management (DGSM)

Co-beneficiaries: Ministry of Interior, General Directorate for Local Authorities; Ministry of Finance, General Directorate of Budget & Fiscal Control; Council of Higher Education

Other Central Public Institutions (CPIs): To be determined

1. Gap assessment	2. Central capacity building	3. Institutional capacity building
1. Assess general framework of SM system incl. legislation **2.** Assess preparation, implementation & outcomes of SM in beneficiaries and pilots **3.** Produce 40-100 pp. report on gaps with recommendations (M3) **4.** Organise dissemination seminar for at least 100 participants from all central public institutions (M5)	**1.** Conduct TNA and develop training programme for (co-) beneficiaries **2.** Train ≥ 75 participants from co-beneficiaries by M24 **3.** Organise 3 five-day study visits (10 participants each) to OECD/EU member states (at least 2 EU member states) and produce 3 country reports **4.** Prepare & publish (2000 copies in total) 3 customised strategic planning & implementation guidelines for CPIs, local administrations and universities (80-120 pp. each) and a 40-60 pp. guideline on participation (M15) **5.** Design & build a web-portal for a network of public institutions to exchange information/expertise **6.** Prepare report on methodology for MoD to assess institutional strategic plans (M15) **7.** Develop methodology to ensure consistency & coherence between national & institutional plans (M22) **8.** Organise an awareness raising seminar for at least100 participants from CPIs, universities, local authorities, NGOs (M18)	1. Conduct TNA and develop training programme for central public institutions using outputs of MoD/SU project incl. practical examples and on-the-job training customised to meet the identified needs **2.** Train 200 managers and 750 staff (participants) from CPIs **3.** Design & conduct (make accessible) distance/on-line training **4.** Organise 3 five-day study visits (10 participants each) to OECD/EU member states and produce 3 country reports **5.** Design and conduct train-the-trainers programme for 50 trainers from 10 CPIs **6.** Prepare 50 trainer kits in Turkish, including course materials, training manuals and additional tools **7.** Prepare assessment report on consistency and coherence of institutional strategic plans with sector strategies in 3 sectors (M22) [*Link to 2.7*] **8.** Assist 10 CPIs with stakeholder surveys, M&E systems, process analysis, internal reference documents, workshops and trainings in line with their individual needs **9.** Organise conference on good governance, administrative reform, strategic management, strategic planning and project results for at least400 participants (M23)

Expected Results		
1. Gap assessment	2. Central capacity building	3. Institutional capacity building
Current status of strategic management practice in public administration assessed and policy recommendations developed	Capacity of the central guiding and coordinating institutions (main and co-beneficiaries) improved	Strategic management capacity (with the focus on strategic planning) of central public institutions enhanced
	- 1075 participants trained in Ankara in 5-day modules totalling 180 days - Effectiveness of trainings assessed through participant questionnaires - Necessary modifications made to training modules	

Expert inputs: **3405 days, of which 1200 KEs, 1250 senior NKEs and 955 junior NKEs**

Project duration: 22nd January 2013 – 21st January 2015

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2 Executive Summary

This inception report was compiled during the inception period: 22 January - 21 February 2013 by the technical assistance team. The report sets out the activities undertaken during inception period and the results of an initial situational analysis.

The Government of Turkey introduced new strategic management requirements under the Law no. 5018, which was fully implemented by 2006. The public institutions have reached a basic level of compliance and the experience with participatory strategic planning is generally positive, but there are systemic gaps in the integration of strategic planning, performance budgeting, performance management, the accountability framework and auditing. The project goal of building the capacity of central institutions for more effective and impactful strategic planning is therefore timely and appropriate.

Clarifications or deviations from the ToR
The following clarifications and/or deviations to the ToR are:
- Number of trainees refers to the number of participants, not individuals that is indicated in the clarifications of the ToR,
- Term "5-day module" is indicative, that is indicated in the clarifications of the ToR,
- State-owned enterprises will not be covered by the project,
- The programme for Component 2 will be focused on the central guiding and coordinating institutions. The Strategy Development Units of these institutions have been removed from Component 2 and will be target groups within Component 3,
- Component 3 will focus on other central public institutions (CPIs) - to be determined,
- Inputs allocated to assisting 10 CPIs have been multiplied from 220 to 800 days.

Project components, activities and interventions
After a brief gap assessment (Component 1), the project will focus on two components:
- Building the capacity of the central guiding and coordinating institutions (beneficiaries),
- Building the capacity of other CPIs, with an intensified focus on assisting 10 institutions.

The ToR specify 21 activities, which the TAT has classified under 5 types of interventions:
- Expert Advisory Assistance (assessments, recommendations, guidelines, methodologies),
- Training (of managers and staff of central institutions, and trainers),
- Study Tours to and reports on OECD/EU member states (3 each under Components 2&3),
- Seminars and conference (1 under each component at different stages of the project),
- Assistance of selected 10 CPIs with on-the-job coaching and guidance on implementation.

The key theme underlying these interventions is to move from strategic planning to strategic management. Practical advice and customised training on strategic management will be integrated with improvements in coordination and implementation and the strengthening of the linkages with the performance budgeting system. The training programme will include master classes for managers, specialised modules, an "ABC" for junior experts and the training of trainers. A web-portal will be set up on the MoD's website and will facilitate distance learning.

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Indicative work plan with inputs by expert activity[1] (adapted during Inception Phase)

Month		Activity	KE1	KE2	KE3	SNKE	JNKE	Total
Feb/ March	1.1	Assess general framework of strategic management	15	10	10	10		45
	1.2	Assess preparation, implementation & outcomes of strategic management in 6 institutions	15	15	15		30	75
April	1.3	Produce Report with recommendations	15	10	5	10		40
June	1.4.	Seminar for 100 participants from public institutions	5	5	2	10		22
		Total inputs for Component 1	**50**	**40**	**32**	**30**	**30**	**182**
By June By Sept	2.1	Conduct training needs analysis and Develop training programme for central public institutions that have guidance and coordination roles	30	30	50	25	25	160
By June 2014	2.2	Train 75 participants from beneficiary and co- beneficiaries	10	10	30	80	50	180
Jul, Sep Mar '14	2.3	Organise 3 five-day visits (10 participants each) & Produce 3 reports on OECD/EU member states	15	15	5	30		65
April '13- April '14	2.4	Publish 3 (80-120 pp.) guidelines for CPIs, local administrations and universities Publish a 40-60 p guideline on participation	75	90	25	160	90	440
By Sept 2014	2.5	Design and build a web-portal for public institutions to exchange information and expertise	5	5	10	20	60	100
April 2014	2.6	Prepare report on methodology for MoD to assess institutional strategic plans	15	20	5	20		60
Nov 2014	2.7	Develop methodology to ensure consistency & coherence between national & institutional plans	15	20	5	20		60
July 2014	2.8	Organise seminar for 100 participants from CPIs, universities, local authorities, NGOs	5	10	5	10		30
		Total Inputs for Component 2	**170**	**200**	**135**	**365**	**225**	**1095**
By June By Dec 2013	3.1	Conduct training needs analysis and develop training programme for central public institutions using outputs MoD/SU project incl. practical examples and on-the-job training customised to meet the identified needs	30	30	50	25	25	160
By June 2014	3.2	Train 200 managers and 750 staff from other CPIs on strategic management topics	35	20	60	240	150	505
By Sep 2013	3.3	Design and make accessible distance/on-line training on MoD web-portal	5	5	20		80	110
TBD	3.4	Organise 3 five-day visits (10 participants each) & Produce 3 reports on OECD/EU member states	15	15	5	30		65
June '13 June '14	3.5	Design and conduct train-the-trainers programme for 50 participants from 10 institutions in 5 areas of strategic management	5	5	40	20		70
Dec '13	3.6	Prepare 50 trainer kits in Turkish	5		15	30		50
Nov 2014	3.7	Assess/report on consistency and coherence of sectoral and institutional strategies in 3 sectors	15	20	3	20		58
Sep '13 Oct '14	3.8	Assist 10 CPIs with stakeholder surveys, M&E systems, process analysis, internal reference documents and workshops	30	30	20	400	400	880
Dec 2014	3.9	Organise conference for >400 participants on good governance, administrative reform, strategic management, strategic planning and project results	20	15	10	90		135
		Total Inputs for Component 3	**180**	**160**	**233**	**855**	**700**	**2128**
		Visibility and communication activities (to be determined)	20	20	10		45	95
		Total Inputs	**400**	**400**	**400**	**1250**	**955**	**3405**

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[1] Includes project management inputs of key experts for Project Reports, PSC meetings, etc.

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3 Inception Phase Activities

3.1 Kick-off meeting and other stakeholder engagements

The Inception Phase for this project began on the 22nd January with a Kick-off meeting hosted by the Beneficiary, the Ministry of Development. It was attended by representatives from all the key stakeholders. This enabled the Technical Assistance Team (TAT) to obtain a first overview of the background, current situation, and expectations with regard to project implementation. The minutes of the Kick-off Meeting are provided in the Annexes to this report, section 7.4.

Subsequently, the Ministry of Development organised meetings for the TAT with its own departments and with five other central co-ordinating institutions. The Project Director and the TAT also met with the EU Delegation and representatives of related projects that have provided training in strategic management and performance budgeting and/or undertaken evaluations of the strategic management system in Turkey. A list of meetings held during the Inception Phase is provided in the Annexes to this report, section 7.1.

3.2 Review of existing documentation

The TAT reviewed a range of materials on strategic planning and management, including the relevant legal and institutional framework, guidelines and methodologies, reports produced by other projects and the content and approach for training programmes undertaken by other projects. A complete list of documents reviewed is provided in in the Annexes to this report, section 7.2.

3.3 Setting up the project office

The Project Director, visited Ankara in early January (before the project commencement date) to meet the Beneficiary and prepare for the mobilisation of the Technical Assistance Team (TAT).

A temporary, fully-equipped office was made available by consortium partner LDK. The Ministry of Development expressed a preference for the project to be located in the Ministry. An office and a meeting room were made available after the kick-off meeting.

Equipment was ordered and installed after consultation with the IT Department of the Ministry and an internal procurement procedure managed by the Contractor.

A project assistant and interpreter were recruited and following a clarification of the job descriptions of the two project assistants/ secretaries prescribed in the ToR, the Contractor posted an advertisement for office staff. An overview of the selection procedure is provided in the Annexes to this report, section 7.3.

At the end of the one-month Inception Phase, the project office is fully equipped, staffed and functional.

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3.4   Mobilisation of key experts

The Team Leader, Mrs Kathryn Ennis-Carter, and Mr Marko Rillo (Key Expert 3) were mobilised for the kick-off meeting on the commencement date of the project on 22 January 2013.

Key Expert 2 could not be mobilised for reasons of force majeure. A candidate for his replacement was approved by the Beneficiary and submitted to the CFCU for approval.

Mr. Eduardo Zapico-Goni has been approved as non-key expert for 60 days pending his approval as key expert. He is scheduled to arrive in Ankara on 24th February.

3.5   Project Steering Committee

The first meeting of the Project Steering Committee will be held in March.

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4 Analysis of the existing situation

4.1 Introduction

Mandated strategic planning was first introduced in 2003 and is now some way into implementation in the public institutions of the Government of Turkey. All institutions within government have reached the basic level of compliance. They have prepared first strategic plans and are now preparing their second, depending on when strategic changes in their operating situation required them to review and revise their plans. The introduction of strategic management processes has been achieved with a high level of initial compliance, including the establishment of the central co-ordinating and guidance framework and associated institutional arrangements. However, the experience of effectiveness of the strategic planning process and impact of the strategic management system has been mixed, with capacity and implementation experience varied across the government, and gaps identified in the wider integration of key parts of the system.

The intention of the project therefore is to assist the government organisations to realise and improve upon the initial introduction of strategic management and **to provide further support to the Government in moving from initial compliance to a more mature system of strategic management implementation.**

4.2 Legal and Institutional Framework

The mandated requirement for all public institutions of the Government in Turkey to prepare strategic plans was introduced under the Public Financial Management Control Law 5018, which was introduced in 2003 and fully implemented by 2006 This law introduced fundamental changes to the understanding of public financial management and the operation of the public service in administering these changes. It is intended to improve fiscal responsibility, planning and budgeting, transparency of expenditure and expenditure control/management, the use of resources and accountability in relation to performance and delivery of results. **It is important to note that strategic management and planning and performance based budgeting was introduced as a fundamental aspect of the functions of budgeting and financial management in public administration.** Most of the existing problems in implementation of the strategic management system relate to **gaps in the institutional integration of key aspects of the overall strategic management system**, including the links to performance management, performance budgeting and aspects of the accountability framework.

The PFMC Law and local administrations laws set out the strategic management requirements for public administrations within central government, social security institutions and local administrations obliged to prepare strategic plans. This law which has provisions regarding the broader public administration reform has introduced a new strategic management approach throughout the public administration. In this regard; Ministry of Development (MoD) has been given a pioneer role in transition to strategic

management. Based on this role, MoD prepared the Bylaw on Strategic Planning in Public Administrations which came into force in May 2006. Ministries, public universities, and public and semi-public economic and social institutions, municipalities and provincial administrations are all held responsible to prepare own institutional strategic plans.

MoD formed a central coordination department–Department of Governance and Strategic Management (DGSM) – responsible for guiding, coordinating and regulating the strategic planning practice across the government. This unit has been working towards creating an integrated system covering the preparation, evaluation, monitoring and auditing of the strategic plans of all public administrations. In this context, the DGSM prepared a strategic planning guide and put it into service. Besides, it has provided awareness raising activities and guidance to the related public institutions. Following adoption of the PFMC Law in 2003, further clarification was provided by enactment of the Bylaw in 2006 by MoD on Principles and Procedures for Strategic Planning in Public Administrations. The Bylaw prescribes in some detail what strategic plans are to contain and how they should be prepared and used by public institutions. It also established a calendar of phased deadlines for submission of the first strategic plan for several different categories of public institutions (totalling 188 public bodies), from 2006 to 2009. The Bylaw requires public institutions to send their strategic plans to the Ministry of Development for evaluation and sets out the criteria for that evaluation/assessment.

Responsibility for performance budgeting and performance programme, activity report is the responsibility of the Ministry of Finance. This is articulated in the PFMC Law 5018 as the link between strategic plans and the annual Budget. The law requires each organisation to prepare annual performance programme, to monitor and evaluate the realizations and to make public the results through accountability reports within the scope of performance based budgeting. The Ministry of Finance carries out the task of Central Harmonisation in preparation of budget, performance programmes and accountability reports and in implementation of performance based budgeting. Thus, the Ministry is responsible for enabling budget proposals are prepared based on performance information and budget discussions and decisions are conducted related to these information for allocating resources based on improved expenditure priority. This responsibility involves improvement of performance based budgeting and to coordinate its implementation across the public administrations on the purpose of maintaining public resources are used in an effective, efficient and economical way. Within this scope, Ministry issued Bylaw on Preparation of Performance Programmes by Public Administrations (2008) and Bylaw on Accountability Reports (2006).

Further major pieces of legislation that represent enabling laws for other key aspects of the wider strategic planning, strategic management, financial management and accountability framework have also been enacted. Laws which have extended the strategic management and performance budgeting provisions to local administrations have included the Law 5216 on Metropolitan Municipalities in 2004, the Law 5302 on

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Special Provincial Administrations in 2005, the Law 5216 on Metropolitan Municipalities in 2004 and Municipality Law 5393 in 2005 and the Law No 6085 on the Court of Accounts. The latter defines the role of external performance assessment in the strategic management and overall accountability and performance reporting process. The institutional framework established to oversee the general requirements of the PFMC Law involves six central institutions which have co-ordinating and/or guidance responsibilities for key aspects of the government strategic management process. This includes the Ministry of Development, Ministry of Finance, the Ministry of Interior (responsible for oversight of local government strategic management and planning), the Council of Higher Education. Strategy Development Units have been established in central public institutions (according to related laws) and local government. Their responsibilities include managing the process of preparation of their institutions' strategic plans and annual performance programmes.

Training in strategic planning, strategic management and performance budgeting has been selectively provided, supported by various donor projects. Key guidelines have been prepared and disseminated – notably the guideline on preparation of strategic plans (2006) provided by the Ministry of Development and the guideline on preparation of performance programmes (2008) by the Ministry of Finance.

4.3   Feedback from Meetings with Beneficiaries

The feedback from the meetings with representatives of the central co-ordinating institutions focused around several key themes or categories of feedback, as outlined below:

- **Positive experience of strategic planning.** Managers were "pleasantly surprised" by the positive experience of preparing their institutions' first strategic plans. They praised the **inclusive nature of the workshop-based processes** used to develop the vision and mission, definition of key strategies and priorities. Managers and staff at all levels of the organisation had appreciated the 'new' mechanisms for working collaboratively as a 'corporate collective' in strategy-making workshops. A second positive theme in the feedback was that **expertise and capacity is growing**, after a number of years of developing, implementing and monitoring the strategic plans. Several managers of Strategy Development Units (SDUs) noted that staff are gradually acquiring more comprehensive experience in the strategic planning processes, having prepared strategic plans with goals, objectives and performance indicators. They are also getting better at making linkages between the strategic plans and performance programmes. They are developing experience in the process of internal monitoring and evaluation, evaluating the performance information in departmental reports, monitoring variances and discussing these with other departments.

- **Difficulties in implementation of strategic plans.** Many of the comments made by officials in the meetings indicated that, although strategic planning was introduced ten years ago, strategic management is still at a relatively early stage of implementation. Strategic management requirements still tend to be regarded as something 'extra' to ordinary daily activities and are not yet integrated into institutional management as a routine part of how organisations are run. Strategic planning does not yet "drive" the activities of the organisation: it is 'on the shelf' rather than 'in the heads' and 'on the desk'. After the positive experiences of strategic planning, there was some surprise that staff are encountering considerable difficulties in how to make the strategic management system and processes work properly. Typical of early implementation experience were the comments on "learning by doing" and "learning what not to do". Many commented on the difficulty of setting performance indicators (poor, inappropriate, too many, not verifiable). Some commented on the "newness" of the process and the lack of a culture of strategic management and 'corporate governance' in the public administrative system. Some managers consider strategic management to be incompatible with public service culture and modus operandi of government institutions.

- **Systemic gaps and lack of integration.** This was perhaps the most discussed prevailing theme and complaint. Staff and managers commented that the different aspects of the strategic management system are not inherently integrated. The development of strategic plans, specification of annual performance programmes, the annual Budget process, activity reporting and performance auditing and assessment are still taking place as separate processes. Although some managers noted that progress in making and understanding these linkages is beginning to improve, most commented on the systemic gaps and lack of integration of the key parts of the strategic management system. Of particular concern is the **gap between strategic planning and the budgeting system**, which is closely related to the problem of effectively implementing performance budgeting. Another common theme was the issue of **integration of institutional strategic plans with national plans** and strategies including the National Development Plan, and also regional plans, sector strategies/programs and other policy implementation plans. Some staff commented that 'there are too many plans', which makes consistency and integration too difficult.

- **Difficulties in implementation of performance management.** Managers and staff described internal processes for performance assessment using the central computer system that has been set up for internal performance monitoring and commented on issues relating to data collection, evaluation and assessment to demonstrate/verify performance and the **lack of internal incentives or sanctions to encourage accountability for performance failures.** Staff and managers of SDUs indicated that the only mechanism to encourage accountability for poor performance is 'talking to people'. It was also noted that the Court of Accounts is

still making the transition to more modern external performance assessment (compared to earlier systems of financial auditing and control) and that there is **little accountability for organisational-level performance**.

- **Enough theoretical training.** Some officials commented that there had been enough formal training in strategic management theory and standard practice and that **future training must be 'practical rather than theoretical'.** Some also commented that future training should avoid lengthy days of training sessions involving significant investment of time. This was particularly so for senior managers but was also expressed by staff of SDUs. It is noted, however that these comments were made by officials working in the institutions who already have received lots of training and don't necessarily reflect the needs of all institutions.

4.4   Lessons Learned from Related Projects

As indicated above, the project team met with representatives of several related projects and reviewed their reports and other materials, particularly in relation to the strategic planning and the implementation of strategic management. The following projects were particularly important for the initial situational analysis:

Project	Description
"Management Capacity Needs Analysis and Capacity Development Programme in the Public Sector" 2010 Project with the Ministry of Development implemented by Sabanci University	This project was intended to bring universities, public and private sectors together and was finalized in January 2011. It provides important insights about the current situation in Turkey in relation to strategic management. The outputs of this project are of significance to our project and contain important information and lessons. The aims of the project were to a) embed a strategic management approach in the management culture of public sector managers, b) improve competencies for strategic management, c) transform individual competencies into institutional competencies d) and develop training programmes which are based on needs analysis, with defined content, and prepared for the specific institutions in order to build required managing capacity. The survey '*Study on Strategic Management in Public Sector'* compiled the results of some 1000 questionnaires on strategic management returned by public officials and managers'. The results of this survey show that there is a need to provide necessary tools for supporting institutional competencies on strategic management as well as to support individual staff working in these areas. The project produced an extended Needs Analysis and Assessment Report with both a conceptual and practical framework. The training component of the project focused primarily on a background

study of the strategic management system in Turkey, resulting in a **strategic management competence model** and a list of recommendations on how to best train the individuals involved in public administration on various strategy topics.

Lessons learned:

- Sustainability of training and further intra-institutional knowledge transfer, well designed **train-the-trainer programmes are critical**.
- SDUs are sometimes perceived negatively within their respective ministries. The SDUs staff are seen as "interfering" in the internal affairs of other departments. Our training programme should address **effective communication and coordination methods between departments** and highlight the reasons for, and processes involved in, effective performance reporting, monitoring and evaluation.
- E-mail addresses of some managers are not suitable for information delivery. We will therefore need to use a combination of means - telephone, fax and e-mail to ensure information delivery.
- Managers perceive their individual competencies to be higher than the capacity of their institution. Project activities should therefore seek to channel the high self-esteem of managers into **improving the capacity of their institution**.
- There were more than 200 organisations in Turkey in 2010. **On-line learning tools** and practical applications are recommended, including mobile use.
- There are serious difficulties in **identifying proper performance indicators** for strategies and performance programmes. This could be an important focus in our project activities.

EuropeAid Project with Ministry of Finance - *"TR080206 - Decision Making and Performance Management in Public Sector"*	Since the introduction of the PFMC Law 5018, the Ministry was assisted through three twinning projects – with France on initial implementation, with the UK (National Audit Office) and with Finland on training. The latter twinning constituted the first part of TR080206. The second part, a technical assistance reform project, is on-going.

The Finnish twinning project conducted an extensive number of training sessions in the key areas of strategic management anticipated for training in our project, such as linkages between strategic planning and performance management; policy analysis performance management and performance-based budgeting. There were 26 different training modules and workshops delivered with a total of 108 training days. The twinning project focused on 4 institutions: Ministry of Finance, Ministry of Development, Prime Minister's Office and Treasury.

Lessons learned:

- Participants of training modules and the representative of the project |

	noted that for the future training sessions modules should be better adapted to the needs of the target group. The final report of the project noted that the maximum number of training days per participant should be no more than 40 training days over a two-year period. - Theoretical training has already been delivered on the subjects that we have been requested to deliver in our project. **Due to relatively high staff turnover in SDUs, some duplication of training is considered to be necessary. For those who already have the theoretical background, more practical training modules focusing on implementation and on-the-job coaching should be developed.** - The outputs from the on-going (second) part of this project, which is focusing on performance budgeting, will be of considerable relevance to our project. (See Section 1.4 below.)
"*Public Engagement in Strategic Planning and Policy Making Project*" implemented from Aug 2010 -Mar 2012 by Ministry of Development	This project aimed to enhance the guiding capacity of the Ministry of Development, to encourage public institutions to improve stakeholder engagement in the strategic planning process and to improve citizen orientation in strategic management. Two useful handbooks were published on stakeholder surveying and participation and some reports describing the current situation in Turkey were presented. The project addressed important issues concerning stakeholder participation by highlighting relevant difficulties for institutions to define and involve both internal and external stakeholders. During the project implementation the experts analysed existing participation models, prepared a set of guidelines, delivered some workshops and organised a study visit to the UK. Lessons learned: - Stakeholder participation in institutional strategic planning in Turkey has been limited. Strategy is driven from the top of organisation while participation comes from the field. The project suggested **reducing reliance on top managers in strategic management**. - Several public sector institutions have similar characteristics and responsibilities and could therefore benefit from closer collaboration and learning from each other's practices. A **collaborative platform for sharing strategic planning experience and monitoring achievement of results** should be set up.
'*Research on Strategic Management in the Public Sector*', 2006. Conducted by Ministry of	This study covered a total of 95 public administrations and measured variables such as the organisational structures of institutions, their practice of working with strategic plans and their management culture in relation to strategic planning with a view to understanding better their capacity to prepare and implement strategic plans. The main aim of the research was to determine the schedule for administrations' strategic planning obligation deadlines. Valuable information was obtained for the determination of the

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Development, G-D of Economic Modelling and Strategic Research	**challenges the administration can face in the process of strategic planning**. The research provided information on matters such as how useful the respondents had found the guidance materials, and the **gap between existing and intended practice.**
'Improving Participatory Strategic Governance at Local Level', August 2011-October 2013. EuropeAid Project with Ministry of Interior implemented by VNG	This on-going project aims to a) improve the strategic planning capacity and capability of local government through training local officials on the use of various analytical tools, b) enhance the role of the citizen's assemblies in local decision mechanisms, c) support the further implementation of the recent legislation related to local government and to ensure participation, transparency and accountability at the local level. 26 pilot municipalities were trained on various topics such as citizen participation, stakeholder analysis and communication methods. Also, **benchmarking activities on specific services** are being carried out among these municipalities in order to improve their performance by learning from others. The Ministry of Development is one of the partners of this project, in particular with regard to the activities relating to strategic management. It could be useful to analyse the results of the training and benchmarking workshops with a view to obtaining a broader perspective on the current stage of strategic management and performance management in Turkey.

4.5   Initial Analysis of Training Needs

During the inception phase, the project team met both representatives of central guiding and coordinating institutions, some Strategy Development Units in those institutions and participants in the previous training sessions on similar subjects - in order to track their provisional training needs and also assess readiness to take up the foreseen training programme. While for a more detailed assessment, a dedicated and comprehensive **Training Needs Analysis is provided for** during the following 3 months of the project, we list below a number of expectations and lessons learned from the initial discussions.

1) At three meetings with the stakeholders we were informed that the previous training projects were not prepared well and started without proper background analysis for what training is necessary – therefore reinforcing the need for a detailed **training needs assessment**.

2) At the project Kick-Off meeting, two representatives of pilot organisations mentioned that in previous projects already a substantial amount of training has been delivered for the central coordinating institutions. The representatives noted that while the previous training sessions already had answered to the question

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"why" strategic management is required, the new training sessions for these institutions should primarily focus on the **"how"** of strategic management application

3) At one of our meetings with the beneficiaries, we were requested to deliver training programmes that would be primarily delivered by **active practitioners** of strategic management, rather than theoreticians

4) At another of the meetings we were requested that the training sessions should be well grounded in the existing public administration system to allow seeing better **big picture of strategic management**. This supports the argument that the trainers would have to have strong practical government experience as well as the conceptual and theory background to cater for these needs.

4.6   Strategic Management from an International Perspective

Introducing a new strategic management system across government, with sweeping changes to the modus operandi of public administration is not an easy task. The application of strategic management in Turkey is now at a stage where implementation has moved beyond the pioneering enthusiasm for new concepts and approaches and the frustration of obligations to respond to new mandated compliance requirements, into the more difficult and testing stages of full implementation. This involves not only expanding and developing the level of capacity and capability across government, but also moving to making strategic management practice a routine and embedded part of institutional management. This will require resolving current implementation blockages and gridlock and improving mechanisms whereby the strategic management system becomes daily management practice, rather than something which is seen as 'extra' to daily activities.

4.6.1 Performance Budgeting

The place of performance budgeting within the strategic management system is one of the key areas of concern expressed by most officials with whom the project team has met, and a key component in moving the strategic management application in Turkey forward at this time. There are a range of systemic existing issues however – many of which feature in mature as well as early applications of strategic management.

Key parts of the system which are problematic include the integration of the 'ex ante' planning and budgeting formulation part of the strategic management process with the 'ex post' budget execution, reporting and performance evaluation/assessment stages. The mechanisms and processes which make up the key parts of the performance and accountability framework need to be embedded in all parts and stages of the cycle, to make the overall strategic management system work. Ideally, the logic of an integrated strategic planning/budgeting/reporting system is incorporated within the concept of an on-going rolling annual cycle, as indicated in the diagram below.

Some countries update their strategic plans annually, so that they remain current – this can be done formally with the publication of a updated strategic plan in advance of the annual Budget process, or informally with strategic plan revisions going into the annual stage of policy/strategy review in advance of the Budget round, or translated into medium-term sectoral expenditure plans/budgets which are prepared annually but provide a rolling medium-term framework for expenditure planning (MTEFs).

The overall purpose of an integrated strategic planning and budgeting cycle is to ensure that the Government's fiscal responsibilities for targeting Government expenditure to key priorities, and for performance in service delivery, are met.

Integrated planning and budgeting
is about ensuring that overall government strategic objectives are based on a realistic strategic fiscal policy framework and budget limitations.

It ensures that programme and project planning is targeted to key Government policy objectives and is undertaken within realistic budget estimates and setting of appropriate expenditure limits.

Value for money / efficiency :
is about ensuring that resources are used efficiently and effectively in the actual delivery of programmes or services.

Strategic planning can support efficiency and effectiveness by encouraging prioritisation. This avoids the inefficiencies that are created by spreading resources too thinly across too many activities.
It also provides greater predictability to line ministries about the resources available in the medium-term

Strategic prioritisation:
is about allocating and spending resources in those areas which contribute most to the government's strategic objectives
It is about ensuring resources are directed to priority areas both between and within sectors. A strategic planning process creates opportunities to engage ministers in setting priorities and to think more explicitly about their ministries' contribution to Government's objectives

When a Government wishes to move towards an integrated performance-focused strategic management framework, there are endemic and systemic issues and

problems that need to be overcome in the reform of traditional budget formulation and budget execution systems - in order to introduce and superimpose modern concepts of results-based management, strategic planning and performance-based budgeting. A government's Budget is essentially a mechanism for financial management and control, so most **Budget structures and systems of budget classifications are designed for budget execution and control of inputs-related expenditure, not for results-based management.** Concepts of strategic management and results-based performance budgeting are linked to budgeting priorities associated with transparency of the costs of policies and priorities and with performance in the delivery of key government services – that is, demonstrating results for the funds expended. Results are often defined in terms of outcomes (overall impacts for the community) and outputs (the actual services delivered). Budget structures such as that of the Government of Turkey are not designed for such transparency of costs, use of resources and integrated financial and non-financial demonstration of performance in achieving results. The Government of Turkey's Budget is designed instead for detailed line-item financial inputs control where the Parliament approves inputs-based appropriations at quite detailed levels of financial allocation and below those levels, the Ministry of Finance exerts further control via virement procedures to restrict allocations of money between classifications but institutions are given flexibility to some extent by budget laws to make reallocations between recurrent items within their budgets. The Government of Turkey's Budget structure is compliant with GFS 2001 and presents a typical structure of classifications including institutional, functional and economic classifications, the latter presented in two levels of detail. The Parliament votes appropriations down to the first level of the hierarchy of functional classifications and approves the budget act at the second level of detail of economic classifications. These are very detailed-level appropriations.

Detailed line-item inputs budget structures are exceedingly difficult to align with a results-based strategic management approach where the focus in strategic plans is on achievement of goals and objectives, outcomes and outputs. Attempts to cost goals and objectives in strategic plans in such a budgeting environment usually results in a muddle of costing because goals and objectives cut across units of management accountability and financial management control. In addition, central FMIS and accounting systems in this kind of budgeting environment are not designed to handle cost allocation systems which can aggregate costs to outcome/output categories.

Manifestation of these problems in the administration in Turkey includes the following:

- The strategic plans, while 'similar' to the annual performance programmes which public institutions are required to produce, do not align to the performance programmes, for which the budgeting of resources relates to the (economic) classifications in the annual Budget
- Cross-cutting goals and objectives, which cut across units of management accountability and financial control, create problems with accountability for performance. Managers of SDUs the project team met with described the

complicated accountability impacts of trying to determine performance monitoring and evaluation across leading and contributing departments in the organisation.

- The existing budgeting, accounting and FMIS systems of government cannot cope with output-based costing mechanisms necessary to cost the policies and priorities outlined in results-based strategic plans. There is no system for allocation of either personnel costs or indirect costs to results-based programme categories – so consequently it is difficult to accurately and fully cost government policies and services, or to calculate the total cost of goals and objectives in strategic plans.

- The strategic plans are for five years, while performance programmes are done on an annual basis to align with the annual Budget process. The annual Budget presents detailed estimates for one year and indicative for the two out-years.

- The formulation of the budget for investment planning (capital expenditure) and the annual Budget (recurrent expenditure) are separated, with the Ministry of Development determining priorities for the former and Ministry of Finance maintaining control of formulation of recurrent expenditure. Ministry of Finance officials complained that strategic plans do not always define performance indicators for major priorities – for example goals, objectives and performance indicators might not mention either major investment programmes or major areas of on-going baseline expenditure for delivery of major government services.

The ultimate solution to such problems of lack of integration between strategic planning and budgeting systems is to EITHER redesign the structure of Budget classifications to fit with results-based concepts of strategic planning OR to try to arrange the categories within which outcomes/outputs, goals, objectives etc. are specified in strategic plans and in programme/performance planning mechanisms in ways that conform to or at least embrace budget classifications, or aggregations of those classifications which make sense at the level of strategic/programme plans. Thus the plans can be directly related to the budget expenditure. Examples of successful implementation of the first approach include the New Zealand and Australian examples where a completely integrated planning and output budgeting system has been introduced with full accrual accounting within an outcomes/outputs framework. Classifications for planning, Budget formulation and Parliamentary appropriations are aligned and the Budget estimates contain no economic classifications or inputs-based definition of expenditures. Financial control of inputs budgets is decentralised to Ministry control and systems of performance and accountability include sophisticated FMIS/accounting mechanisms which can allocate and aggregate costs to both outputs and inputs budgets, for accountability of both financial and non-financial performance.

Because of the difficulty of moving to such significant reshaping of the budgeting system, **most countries opt for hybrid or intermediary measures, using a variety of programme budgeting approaches.** The functional classifications in the GFS classifications may be adapted for this purpose, to provide aggregations of expenditure

which are closer to programme budgeting formulations. The nature and level of Parliamentary appropriations is also important – for example when appropriations are made at higher levels of aggregated classifications and where accounting and FMIS systems will allow, allocations can be defined to output-based categories of expenditure linked to more strategic programme-based planning, without disturbing the basic elements and requirements of the existing arrangement of classifications for budget execution. **Some countries have introduced parallel budget information to present to the Parliament, so that the 'traditional' Budget is still presented in an inputs format, with accompanying programme/performance information.** Many of these have failed because of 1) the difficulty of accurately relating the categories in the two sets of information directly one to the other 2) the onerous and cumbersome production and presentation of two sets of budget documentation and 3) because the Parliamentarians are not interested or not educated in how to make sense of the output/results-based information and performance specification for delivery of services and are instead used to focusing on inputs expenditure.

Other hybrid or intermediary approaches include examples where some countries have opted for approaches where the Budget remains a mechanism for inputs-based allocations but parallel service-level agreements are put in place at the institutional level. These broadly relate to high-level allocations of Budget expenditure (usually at the institutional level) for which outcome and output-based performance measures are developed to relate to services delivered.

4.6.2 The Performance and Accountability Framework

The implementation of strategic management in Turkey has been more successful in implementation of 'front end' processes of mandated strategic planning than in bringing the other aspects of the 'ex post' end of the strategic management and performance/accountability framework. The Ministry of Finance has introduced an internal system of performance monitoring – the SGB system. This system is one of three central systems which 'do not relate to each other' – the other two being the central accounting system (KBS) and the E-Budget system (allowing budget submissions to be made on-line), but there is a data trade-off between these systems.

However, **the performance reporting, monitoring and evaluation and performance auditing parts of the overall strategic management framework are some way behind the implementation of strategic planning.** The Ministry of Finance has drafted a piece of legislation to bring the Court of Auditors into play with full performance auditing responsibilities (as opposed to the present focus on financial reporting/auditing), but at the moment this aspect of the overall strategic management framework is 'in transition'. Capacity will need to be further developed and extended in order to make effective mechanisms and systems for internal and external performance reporting, and assessment and evaluation of public administration operational.

It was noted that the public institutions do prepare annual Activity Reports and a consolidated Annual Activity Report is tabled in the Parliament. Officials commented

that activity reporting at the institutional level varies widely in consistency and quality. The Court of Accounts reports are often ignored and currently there are weak systems for assessment of institutional-level performance, as well as for departmental performance within organisations.

In addition to the above, there is currently **no effective performance management system for staff performance in the public service in Turkey**. There was a 'traditional' system of performance appraisal which was abolished two years ago. A new system is being developed but is not yet at the stage of specific proposals. Consequently, in addition to weak systems of performance assessment and management at the institutional level, currently there is effectively no system of performance management at manager/staff level and no system of either incentives for good performance or sanctions/penalties for poor performance. Directors from the SDUs commented that in monitoring performance data and reporting of performance using the SBG system, they have no methods other than encouragement (usually just 'talking to people') in instances of performance failure or where variances are occurring. The concept of the public service in Turkey is 'a job for life' and promotion and seniority is not linked primarily to performance.

4.7   New Initiatives by the Government of Turkey

There are several key developments and initiatives currently put in motion within government that have the potential to have a significant impact on aspects of the current strategic management system. The project's activities, advice and support to government may well be affected by some of these new initiatives. They include:

- An initiative of the Budget Department of the Ministry of Finance, which has resulted in some new proposals for changes to the Budget classification system. These changes are intended to make some amendments consistent with a programme budgeting approach based on policy areas, objectives and outputs and indicators of institutions. This may not produce significant change in the life of the project, but could result in changes to performance programmes in the future, so it will be important for the project to be informed of potential changes that might need to be written into guidelines for strategic plans. The Ministry of Finance has indicated that the project will be given access to these proposals when internal protocols allow.

- The second stage of the project 'Decision-Making and Performance Management in Public Finance' with the Ministry of Finance is continuing. The first stage of this project was the Finnish Twinning project. The second stage is focused on development of approaches to improve performance budgeting. The outputs of this project will be of considerable interest.

- The service (TA) contract for this project is accompanied by the supply contract, to procure and develop a new IT-based system for monitoring and evaluation. It will be critical that the TA project works in close liaison with the progress of the supply

contract, so that the requirements of the new system are translated into guidelines for strategic plans and into the content of the training programme.

• Potential proposals for a new performance management system for the public service will have an impact on the overall accountability and performance framework. Such a proposal is being developed, which may not have an impact during the life of the project, however again if will be important to keep cognisant of any new developments in this area.

4.8   Deviations / Clarifications to the Terms of Reference

Based on the discussions with the beneficiary we have agreed the following clarifications or revisions to the Terms of Reference, as clarified during procurement:

Id.	Text of the Terms of Reference	Interpretation or revision
Page 7 Page 9	"1075 staff will be trained in Ankara under this project"	The figure "1075" refers to the participants per training session. These are not necessarily 1075 individuals, as it is anticipated that many staff members will wish to participate in more than one training session. This is issue is also indicated in the clarifications (answer 28) of the ToR.
Page 8	Train at least 75 staff	Interpretation as above – training participants, not individual staff members.
Page 9	Train 200 managers and 750 staff of SDUs in strategic management topics	Interpretation as above – training participants, not individual managers or staff
Page 7 Page 9	"Indicative total training days will be 180. The foreseen duration for each module is 5 days"	As it is also mentioned in the clarifications of the ToR (answer 28), some modules may be shorter, some longer, but the overall duration of training events will be a total of at least 180 training days.
Page 8	Activity 1.2 … 'Main beneficiary: …. co-beneficiaries… Pilot institutions…	The beneficiary has advised that the list of pilot institutions relevant to Component 2 and 3 should be further clarified. Only the 4 co-ordinating institutions (beneficiary and co-beneficiaries) will be included in Component 2, specifically the relevant departments listed within the co-ordinating institutions. The Strategy Development Units mentioned will be included in Component 3. The institutions to be involved in Component 3, and specifically in Activity 3.8 will be determined at a later stage (provisional selection in the annexes - Section 7.6)
Page 8	Activity 2.4 Preparing guidelines… for central institutions, local administrations, universities and state owned enterprises …	In line with the opinion of the beneficiary there will not be a separate guideline for State Owned Enterprises to be prepared
Page 9	Activity 3.1 "Development of a training programme for the main beneficiary and co-beneficiaries	The training programme for the main beneficiary and co-beneficiaries is covered by Component 2. The target institutions for Component 3 are provisionally identified in the annexes to this report (Section 7.6)

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Page 9	Activity 3.5, 3.6 and 3.8 (training of trainers, trainers' kits and assistance to 10 CPIs)	The ten pilots for these activities will be selected from amongst the target institutions for Component 3 (indicative list under Section 7.6).
Page 9	Activity 3.7	The 3 sectors will be determined during the selection of the 10 pilot institutions.
Clarifications to tender dossier	Answer 32 to question 32 relating to number of days for Activity 3.8: "220 man days.. 22 days per institution"	Inputs for this activity have been multiplied to 40 days per institution (20 senior and 20 junior NKEs). Total indicative allocation is provisionally set at 800 days.

More detailed revisions to the list of activities is provided below in the detailed schedule of activities, in section "7.1 - Summary of Activities and Indicative Resourcing".

5 Plan of Work for the Project

5.1   Key Aspects of Implementation

Our technical proposal for the Project outlined a number of key principles that would be important for the Project implementation. These principles included the importance of **partnership** and **dialogue** in how the project is implemented in close liaison and interaction with the main beneficiary and co-beneficiaries, the importance of **ownership** of the institutions involved in the project and the importance of mechanisms to ensure **sustainability** in the transfer of knowledge and expertise to the recipient organisations. In addition to these principles, during the inception phase the project team has developed and identified a number of key themes that will influence the values and implementation logic of the Project, as project activities are rolled out.

5.1.1 From Strategic Plans to Strategic Management

A key concept underpinning the project implementation is that a key overarching theme for the project is 'from strategic plans to strategic management'. This embraces the idea that Turkey public institutions are moving from early implementation of strategic plans as a mandated compliance requirement under the PFMC Law 5018 to embrace strategic management as a fully embedded system within the public service. In recognising this, the project will focus its designated interventions to support this aim, including:

- Reinforcing the introduction of strategic planning that has already taken place, by providing **further training in strategic planning techniques and practice, which will be aimed to take knowledge and skills to a deeper level.** Further training in strategic planning techniques and methodologies will be provided to address the need to address the results of staff turnover by providing training for new staff, and

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provide 'refresher' training for those staff who have had training before. In addition, through the specialised modules, the training will provide deeper-level capability in techniques, methodologies and approaches, to reflect that Turkey now has some 7 years of experience in strategic planning and is moving towards a more 'mature' implementation.

- Focusing on further effectiveness in **implementation of strategic management beyond just strategy development and 'planning'**. This will include providing expert advice on options to address – via training, guidelines and advisory assistance – some of the key existing implementation issues and gaps. This will include providing guidance on the linkages between strategic plans, programme/performance budgeting, and key aspects of the accountability framework including performance reporting, monitoring and evaluation and external performance assessment (through the Court of Auditors).

- **Capacity building assistance**, which will be aimed to ensure that the beneficiaries under Component 2, the CPIs and in particular the 10 CPIs under Component 3 progress to a core level of strategic management capability. This will be achieved via participation in the training programme (specialised modules), and via the 'Train the Trainers' approach, together with subsequent advisory support assistance provided by the project experts, including hand-holding and coaching on the use of guidelines, formats, templates and internal strategic management processes, focused on taking current strategic management practice to a further level of implementation.

5.1.2 Deepening and Broadening

A two-fold approach to targeting and implementation will be aimed at:

- **Deepening** the understanding and ownership of strategic management in the public administration of Turkey, including acquiring a greater level of sophistication of approach and capability in strategic management expertise, to ensure increased effectiveness in embedding and routinizing strategic management mechanisms, tools and techniques.
- **Broadening** the level of core strategic planning/management application and expertise beyond the central institutions that have a co-ordinating role, by
    o Ensuring an expanded level of core capability to ten pilot institutions and
    o Providing access to strategic management training for selected staff of CPIs

5.1.3 Customisation

A key theme raised by officials in meetings with the project team during the inception phase included feedback on the importance of customising the approach to strategic management to fit the local situation.

The project's approach to customisation will include adapting approaches and training delivery to reflect and **take account of the situation in Turkey and its implementation issues and problems**. Many comments were made about the

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importance of not just providing theory and standard practice in strategic management, but adapting the approaches for practical and maximum usefulness in the local context. The project will aim to deliver best practice advice, but aim to modify content to what is practical and able to be implemented in the local situation.

5.1.4 An integrated approach with concurrent Implementation

The project has been planned to implement key training and other programmes of expert advice and assistance concurrently across the target Component 2 and 3 institutions. For example, strategic management practitioners from the co-ordinating institutions and from the SDUs of the public institutions will participate together in the specialised training modules to be delivered by the project – although the training will also be devised to provide specialist modules that are specifically focused to the different Component 2 and Component 3 groups. For example, certain modules with a particular focus on co-ordination and guidance approaches and methodologies will target specifically those experts from the key departments of the main beneficiary and co-beneficiary co-ordinating (Component 2) institutions. Policy recommendations that translate into improved guidelines and other guidance tools will be developed through liaison with key experts in the co-ordinating institutions and will be trialled and further improved through testing as part of the capacity building programme with the selected pilot Component 3 organisations

5.1.5 Project Intervention Mechanisms

The overall framework for the project is provided in the Project Synopsis under 1 above. It consists of 21 activities organised under three components.

The Terms of Reference identify various implementation mechanisms (interventions) to address the current issues in strategic management as outlined above. These are 1) expert advisory assistance, 2) training, 3) study tours, 4) information dissemination activities and 5) direct coaching support to 10 pilot institutions - as described on the scheme below.

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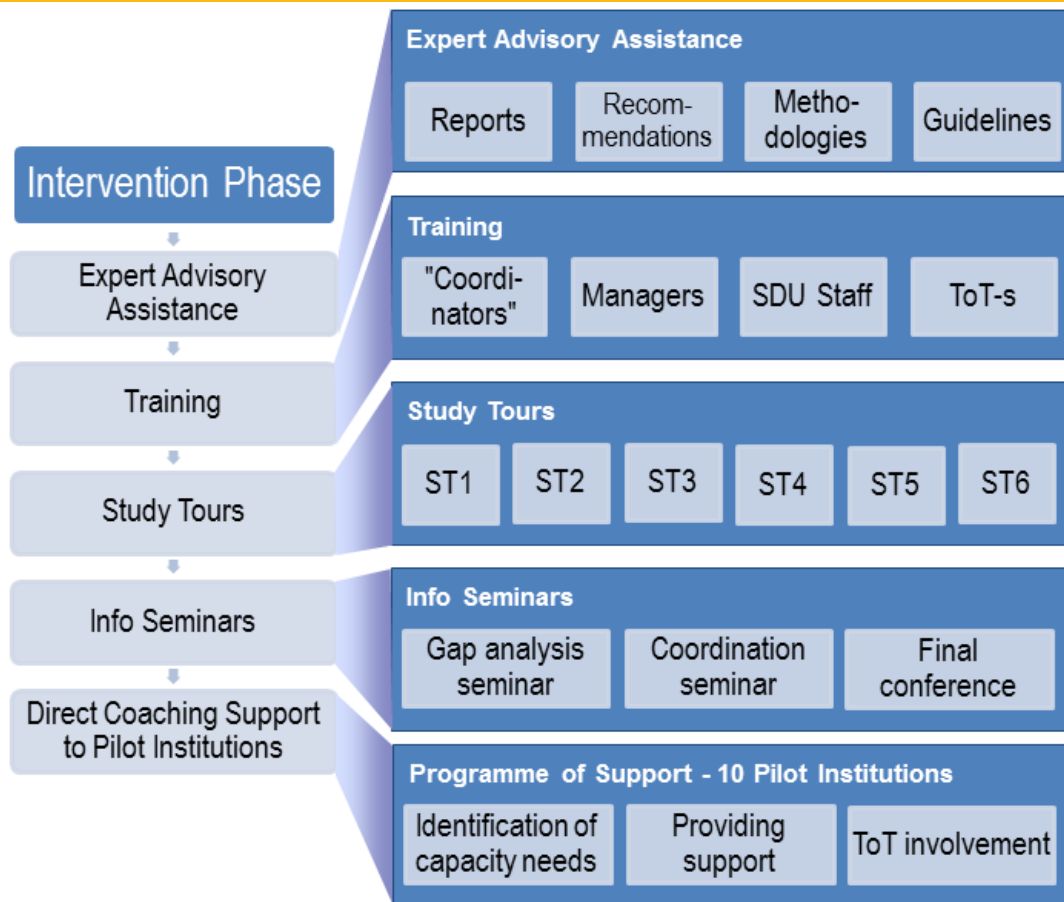
Figure 1 - Project Interventions

The initial analysis of existing strategic management practice reinforces the importance of utilising all these implementation mechanisms in an integrated way to help the Government of Turkey to improve strategic planning and strategic management, and strengthen its linkages with the performance budgeting system. In addition to the training programmes aimed to build capacity for both the central co-ordinating institutions and other public institutions, the importance of providing expert consulting assistance in the form of policy recommendations is clear. The project will need to place great importance in translating this expertise into clear policy advice and translation into key strategic management guidance tools. This will include quality guidelines, with associated formats and templates, to help the Ministry of Development, the co-beneficiaries and the pilot institutions to develop improvements in these mechanisms for guidance in improved strategic management practice.

Following a gap assessment on the basis of 6 pilot institutions (Component 1), the work with the co-ordinating institutions to develop improved guidance tools (Component 2) will be integrated with the work of capacity building in ten other pilot institutions (Component 3), to test and trial approaches and to develop these institutions as examples of improved implementation.

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5.1.6 Key Issues in Implementation

The summary of current practice outlined in the initial analysis undertaken during the project inception period raises a number of key issues in relation to targeting of the project's assistance to maximum effect. These are that:

1. The gaps between current processes and systems of strategic planning and performance budgeting requirements, for an integrated system

2. The current gaps in internal and external reporting and performance assessment/ evaluation

3. Lack of a performance management system within the public service.

Strategic management cannot be effectively implemented without integrated planning and budgeting, and without an effective performance management system. Therefore project advice and technical assistance will need to be targeted during the two years of project implementation that not only provides the training-based 'know how' on what is required to turn strategic management theory into strategic management practice, but will need to target project expertise to the development of institutional reforms to take these essential requirements further.

5.1.7 Outputs and Results

The terms of reference specify a number of specific outputs for the various activities under each component. These outputs will reflect the stage that the Government of Turkey has reached in its implementation of strategic management. Where early focus on development of strategic plans is moving towards a deeper level of sophistication in understanding of strategy and the strategic management system, a more institutionalised level of implementation is required. This could include, in the guidelines and other products, options for expanded possibilities in the diversity and prescription of approaches – for example, based on the Hart 1992 model which identifies different types of organisational styles and different modes of strategy-making in operation.

5.2 Improving institutional capacity

As indicated above under the section Analysis of the existing situation, the aim of this project can be considered to be "to improve the capacity of central public institutions to coordinate and implement strategic management". Specific aspects for improvement include:

- Improving the process to develop strategic plans, including internal and external processes for stakeholder participation and engagement. Depending on the institution and the stage of strategic planning in which it finds itself, the project may not be able to work always 'in real terms' on development of an actual strategic plan. In this case, advice will be focused on capacity building through training and use of guidance materials for further development of institutional processes.

- Improving the content of strategic plans. In this the project will need to provide further assistance on improving and clarifying definitions relating to parts of the strategic plan and guidance on content, including an important focus on performance specification.

- Improving the link between the strategic plans and the development of annual performance programmes and budget. This is an important performance budgeting linkage. Timing of support needs to take into account the timing and calendar for the annual Budget process, so that new guidelines can be utilised while the institutions are working on their annual performance programmes and budget submissions.

- Improving the internal performance reporting, including data collection, and development of the activity (performance) reports. This will include working on improving internal systems for quarterly and annual performance reports and evaluation of the performance information. This is linked to the M&E system.

- Assisting managers and staff to prepare their own within-institution circulars and guidelines for the planning, performance budgeting and reporting/M&E processes

- Further development and advice on institutional reform. The project team will work with the counterpart institutions on developing areas of strategic management practice that are critical for further implementation. As noted earlier in this report, a key area is the performance management system. Strategic management cannot be effectively implemented without improvements in performance management and the mechanisms that reinforce and follow through on accountability for performance.

5.2.1 Gap Assessment (Component 1)

As the time allocated for the initial assessment of strategic management in the named institutions is relatively short, it is proposed to do a "quick scan". The approach to gather and process information will be flexible. The proposed quick scan will start with a first series of about 8 open semi-structured interviews with a few selected managers and professionals, in principle those not already having been already interviewed for the inception report, Four different but complementary integration approaches will be used for the analysis of the coordination gap: logical, organizational, informational and social or cultural integration, for identifying gaps and identifying potential improvements for better strategic planning, performance management and budgeting integration.

The information gathered up to the first stage of the gap analysis will be used for the preparation of the draft report on the findings of the Institutional Gap Analysis. These drafts will be presented to and tested by presenting them to a selected group of experts in the MoD and some SDUs. This report will form a component of the gap assessment report, including preliminary recommendations, which will be presented by month 3 (21st of April 2013). The gap analysis will be expanded under component II by using a policy co-ordination scale for measuring and assessing coordination capacity in strategic planning.).

5.2.2 Expert Advisory Assistance for Capacity-Building

In addition to training, the provision of expert consulting assistance is a particularly important component of the programme of capacity building. Expert assistance is particularly focused to result in the following specific consulting/TA products:

- Customised strategic planning and implementation guidelines for central institutions, local administrations, universities

- A guide on participation

- Design and building a web portal for networking and information sharing on strategic management

- A methodology to be used by MoD for assessment of institutional strategic plans

- A methodology to ensure consistency and coherence between national high level documents and strategic plans.

- A report on assessment of consistency and coherence between sector strategies and institutional plans for 3 selected sectors (to be selected from the ten pilot Component 3 institutions.

In addition to delivering the specific consulting products identified in the Terms of Reference, it is anticipated the expert TA assistance provided by the project will result in advice and recommendations to resolve some of the existing gaps in integration of key parts of the overall strategic management process – including gaps relating to the translation from strategic plans to programme planning, performance budgeting and performance reporting/evaluation. Such advice may not only be translated into the guidelines and specific methodologies stated above, but may also result in additional recommendations for the Ministry of Development and co-beneficiaries to consider, on longer-term reform options.

5.2.3 Assistance to 10 CPIs (Activity 3.8)

The selection of the ten CPIs for participation in the capacity building programme for Component 3 will be made during the Gap Assessment period. This will be decided in discussion with the Ministry of Development. It is suggested that the criteria for selection of these 10 CPIs may include:

- Significance of the institution in terms of impact on the economy (for example, those institutions working in areas key to economic development, infrastructure, or in key areas of social and community impact

- Those institutions with major programmes in service delivery

- 'Big spending' institutions – that is, those with large Budget funding and expenditure impacts

- Willingness to participate. This is a very important criterion, since the institutions chosen and their leaders and managers must have cognisance of the importance of ownership of strategic management and the capacity to

accommodate and facilitate the capacity building programme provided by the project. Participation is an intervention and the institutions involved should be willing to try and adopt institutional improvements.

The work with the 10 CPIs will cover key aspects of strategic planning and management (indicative example list): preparation and implementation of stakeholder surveys, design of M&E systems, carrying out process analyses, preparation of internal reference documents and organisation of workshops, as part of implementing an effective and inclusive organisational strategic planning process. The aims of this programme are to:

- Build the capacity of strategic management practitioners in the 10 CPIs, through their participation in the specialised training modules, participation in the 'train the trainers' programme and via hand-holding and coaching support, via direct advisory assistance provided by the project experts

- Develop and improve strategic management practice and processes in the institutions, via the above means, to broaden and deepen the level of strategic management implementation and

- To utilise the experience with the 10 CPIs to trial and test mechanisms for improvement of strategic management practice – for example, by testing the response to modified guidelines, new formats and templates etc for implementation.

The methods to work with the 10 CPIs institutions will thus need to include:

- Working with the 'train the trainers' group to build their capability to replicate the delivery of core strategic management modules that they have been trained in, and deliver these to other staff in their own institutions, and other institutions

- Piloting/trialling the new guidelines as they are developed. This will be managed in conjunction with the Component 2 co-ordinating institutions, as the project develops policy recommendations and as these are taken up and translated into specific guidance tools and mechanisms.

- Coaching support, which will be tiered utilising the internal experts of the SDUs, the 'train the trainer' group and experts employed by the project who would provide a mix of best practice advice and hands-on coaching?

Part of the capacity building programme will consist of attendance of staff from the 10 CPIs in the overall training programmes to be delivered during project implementation. Participants from both Component 2 and Component 3 organisations will attend the training courses to be delivered as specialised modules covering key topics in strategic management. In addition the capacity building programme for the ten CPIs will build on this by 1) a 'train the trainers' programme, where 50 selected staff from the ten CPIs will be trained to deliver strategic management training in their own and other organisations and 2) a concurrent programme of additional follow-up coaching and support to be implemented within the ten pilot institutions.

In the Clarifications to the tender dossier (Answer 32), 220 days of NKEs were provisionally allocated to this activity (one month for each institution). However, during the inception period the beneficiary expressed the wish to increase this number to 800 days (400 senior and 400 junior). It is envisaged that this input will consist of a combination of further training and hand-holding/coaching support, guidance on process and the application and use of formats, templates etc in guidance materials. It is envisaged that the ten CPIs will be very important in providing an opportunity to trial, test and refine suggested improvements to existing strategic management practice, as well as building capacity in these institutions so that by the end of the project they are operating as examples of improved strategic management practice.

5.3   The training programme

This project is a major capacity building effort, in that it requires the attendance of 1075 participants in 5- day modules totalling 180 days in the limited period of two years. The training activities are specified under Components 2 and 3 of the project, as summarised under Project Synopsis above.

The target group of Component 2 are 75 participants from the co-ordinating institutions. Under Component 3, the target group consists of 200 participants who are managers of Strategy Development Units and line departments, and 750 participants who are staff of Strategy Development Units.

In addition, 50 trainers are to be trained from the 10 pilot institutions in 5 key areas of strategic management. It is planned to identify these staff members at an early stage, so that they can take part in the specialised training modules and be exposed to maximum learning during the training programmes provided by project experts - prior to being specifically trained to deliver training programmes in their own institutions, focused on core strategic management competencies

An initial assessment made during the inception period (with the assistance of staff of the Governance and Strategic Management Department, Ministry of Development) indicates that the potential pool of institutions which may be included in the training programme will be approximately 25 institutions (the list is annexed to this report).

The first stage of the training programme will take place in 2013 and will focus on the strategic 'planning' or strategy/making components of the strategic management process. The second stage will take place in 2014 and will focus on implementation and the accountability framework, including the translation to performance budgeting, performance reporting, monitoring and evaluation and the wider aspects of fully implementing a strategic management system.

This approach provides for a logical synergy with the programming of other parts of the overall project implementation and ultimately will provide for more effective consulting inputs/products and better delivery of training. In addition, some modules can be designed to be shorter, some could be split over half days and some would be

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distributed as individual training days over a longer period of time to allow for reflection or working with practical homework assignments.

A final aspect of the training programme is making the training materials accessible on-line for the purposes of distance learning.

5.3.1 Approach to Training

As indicated above, the project team is working with a conceptual approach to the training programme that focuses on **three levels of training including**:

- *Master classes* for senior managers whose busy schedules make it difficult for them to commit significant investment of time in intensive/lengthy training modules, but who also have different needs in terms of the content of training, relating Content of the master classes could focus on:
    - o Awareness-raising – understanding key strategic management concepts and aspects of the overall strategic management system
    - o The importance of leadership and management in ensuring 'ownership' of the strategic management process
    - o International best practice examples – proven applications, effective/successful implementation, and solutions to key problems
    - o Key innovations in strategic management – new methodologies, approaches and technologies.

- *Specialised modules for expert practitioners* who require a deeper technical understanding of strategic planning techniques and strategic management practice. This is the core of the training programme for both Component 2 and Component 3 participants and the focus of 'how to' modules, covering both theory and practical approaches, and focusing on:
    - o A number of specialised training modules that will be developed based on the upcoming TNA
    - o Offering examples and approaches to resolving existing issues such as improving linkages and integration between the different aspects of the wider strategic management system (e.g. links between strategic plans and performance budgeting and aspects of the implementation/accountability framework including performance reporting and assessment
    - o Use of templates, formats etc
    - o The future – taking strategy implementation further. This will include guidance on mechanisms and approaches needed, including performance management systems and approaches.

- *Capacity building*, which will consist of a combination of training, hand-holding and coaching, including:
    - o Training provided by staff trained in the 'train the trainers' programme, plus
    - o Advisory and coaching support provided by project experts – for example in the use of tools, formats and templates.

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o   Further guidance on how to take the application of strategic management practice further.

5.3.2 Conceptual Issues during Development of Training Programme

During the meetings conducted with stakeholders it was found out that there are some difficulties in strategic planning. Three of the interviewees confirmed difficulties in formulating adequate performance indicators. therefore it is suggested that during the Gap Assessment and Training Needs Assessment, the complexity of performance specification and assessment in various parts of government activities be considered, to provide for better guidance on performance specification/reporting – including whether a rigid empirical, evidence/compliance-based and transactional performance indicator system is really appropriate in all contexts. Based on the framework of Hart (1992, 94)[2] - there are organizations, such as policy makers or think tanks, where identification of performance indicators using these kinds of methodological frameworks is not very helpful. Different organisations can sometimes be managed based on different frameworks, including a set of simple guiding principles.

5.3.3 Target Groups

In terms of particular expectations we understand that there are 5 direct target groups looking for the training interventions that are summarised in the following table:

Group	Who They Are?	What do They Expect?
Staff members in coordinating institutions	Mostly experienced in strategic management. Currently advising others in strategic management	- New trends in strategic management - New interesting tools - How to improve the strategic management models in Turkey - Specialized knowledge on coordination and quality control - Connecting strategic management with budgeting and M&E
Managers in central organizations - both Strategy Development Units and outside	Mostly busy people who want to lead strategic management in their departments better.	- New and interesting ideas - Quick overview on some tools - Ideas on managing change on strategic management - Leading strategic management in their administration
Experienced experts in Strategy Development Units	Have experienced 1-2 rounds of strategic plans during their past career. Have struggled with some concepts, but know already answers to many questions themselves	- Specialized tools to improve strategic management - Guidelines on how to manage in their sector - Knowledge on specific issues, e.g. how to formulate indicators, connecting strategic plans with budgeting, Monitoring and Evaluation etc.

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[2] E.g. Hart & Banbury (1994) "How Strategy-Making Processes Can Make a Difference", *Strategic Management Journal*, Vol. 15, No. 4. (May, 1994), pp. 251-269.

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Junior experts in Strategy Development Units	Have recently joined the administration, without previous experience in strategic management	- Refresher course on strategic management and its linkages to other activities in the civil service
50 trained trainers in 10 pilot institutions	Actors to ensure sustainability of training in their institutions	- Knowledge and skills of training - Knowledge and skills on implementing change - Advanced knowledge on a number of strategic management topics

The training may also involve the other target groups based on the need identified in cooperation with the project beneficiary and the co-beneficiaries.

5.3.4 Training Framework
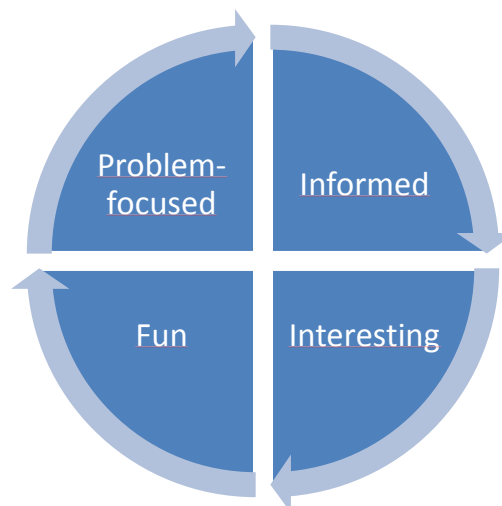
Based on our background review we understand that the key challenge to establish the training programme is twofold:

- On the one hand - the central governmental organisations in Turkey have 7 years of experience in implementing institutional strategic management initiatives. There are parts of public administration that are well familiar with strategic planning. This means that the training programme will have to build upon existing knowledge and try to further the understanding and expertise on strategic management.

- On the other hand - there are rather different target groups that will be involved in the training sessions. Some of them can dedicate only a limited time to training, including some whose previous experience in strategic management is limited because of their short tenure; some, whose take on strategic management has to be rather narrow because of sector specificity of their activities; and some, who will have to take a broad and integrative view.

Combining these two challenges in training a well-informed, but diverse target group, we will attempt to build our training programme up in such a manner that would revolve around 4 core principles:

- **Informed**. It is planned to build up a training programme that relies on a thorough Training Needs Assessment to make sure that all training interventions and related activities would be well customized to the needs of the participants and build upon their existing knowledge.
- **Interesting**. Beneficiaries requested that we make training sessions interesting with leading edge ideas and innovations in strategic management, together with practical examples and useful templates that the training participants can take and put into immediate use.
- **Fun**. It is believed that learning occurs best in environment that is safe, and where people are relaxed and the learning environment is enjoyable. Participants report that they retain more of the content when training occurs in this manner, rather than in a formal studious environment. Therefore, it is important to design the training programmes in a manner that would include playful elements and incite creativity.
- **Problem-focused**. Potential trainees have pointed to some problems where they are struggling with finding the best approach (e.g. problems with combining strategic planning with budgeting; problems in identifying appropriate indicators). It is planned to focus on some of the problem areas and set up some training interventions that aim to solve these problems.

Before the start of any training module these principles will be used as a quality control check-list to make sure that each of our trainers contributes to these core values.

It will be also checked at the end of each training module whether the above-mentioned values were adhered to with a feedback questionnaire handed out to participants.

5.3.5 Training Needs Analysis

After the end of the inception period it will be discussed with the Beneficiary the target groups in more detail. The final list of central institutions will be identified first, whose representatives will be invited to take part in all capacity building programmes of the project. Thereafter the trainees will be identified within these institutions.

Once the trainees have been selected, t a comprehensive Training Needs Assessment will be conducted to determine the gap between their current and desired skills and knowledge, with a view to tailoring the curriculum to their specific needs. This assessment will attempt to complement the inputs originating from earlier projects (esp.MOD-SU, Finnish Twinning).

Training Needs Assessment will be carried out to include management, senior experts and junior experts, but also include sampling of stakeholders of these institutions to map the expectations of the third parties.

5.3.6 Training Programme Elements

As noted earlier in this report, there are 3 core elements of the training programme on the basis of the 'competence tree' of the participants:

- **Master-classes** targeted at managers
- **Specialised modules** on strategic management, tailored for the needs of 1) coordinating institutions, 2) central institutions. This will cater for in-depth, specialised coverage of key topics in strategic planning and strategic management implementation for managers and staff in strategic management 'expert' roles, but will include an "introduction to strategic management" module that is specifically targeted at the needs of new staff and will also provide 'refresher' training, together with modules that provide a deeper and more comprehensive level of training on specific strategic management topics.
- **ABC on Strategic management** targeted at junior experts at the SDUs
- **Train-the-trainer** modules for the representatives of 10 pilot institutions that will be supported further with **hands on coaching** to the 10 pilot institutions.

In addition to the core elements there are also additional capacity building measures:

- Study tours and
- Seminars and conferences.

The chart below summarises the linkages between interventions and target groups:

Group	Master-classes	Specialised modules for coordinating institutions	Specialised modules for central institutions	Specialised module - ABC of strategic management	Train-the-trainer skills building module	Coaching to pilot institutions	Study tours	Seminars and conferences
Staff members in coordinating institutions	+++[3]	+++	+	+			+++	+++
Managers in central organizations - both Strategy Development Units and outside	+++		+				+	+++
Experienced experts in Strategy Development Units	+		+++				++	++
Junior experts in Strategy Development Units			++	+++				+
Trained trainers in 10 pilot institutions	+	+	+++	++	+++	+++	+++	+++

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[3] Legend: +++) primary target group of intervention, ++) secondary target group of intervention, +) welcome to participate if there are available slots.

5.3.7 Contents of the Individual Training Components

Master-classes

The objective of master-classes is to involve senior managers on some topics deemed important or interesting in the field of strategic management and gather their support in achieving the project objectives. As noted in Section 3 of this report, the delivery of master classes will aim to:

- Raise awareness and improve general understanding of strategic management concepts and practice
- Increase ownership in strategic management and thereby increase commitment of senior managers to lead strategic management efforts
- Inform participants about international best practice, including examples of proven applications and successful implementation
- Inform participants about leading edge practice and innovations in strategic management including new technologies, methodologies and approaches

The concept of the master classes is also pragmatic, allowing the trainers to target senior managers who would not want to spend much time in long training modules. For this reason they are usually designed as 2-3 hour interventions, varying to a maximum 2 days in length/duration.

Example topics of the master-classes are the following:

- Strategic management best practices from … (example country)
- Applications of New Public Management
- Scenario development in public sector

Specialised modules

The specialised modules will be designed and delivered after a comprehensive Training Needs Analysis.

The specialised modules will be targeted to 3 different target groups:

- Senior experts working at the central guiding and coordination institutions
- Senior experts working at other central public institutions
- Junior experts working at other central public institutions

The first two target groups require a deeper technical understanding of strategic management techniques and practice. Hence - the modules will be designed around specific "how to" applications, covering both theory and practical approaches. The 3rd target group - junior experts and new staff require introductory coverage on strategic management concepts and systems.

The training interventions for specialised topics will be organised in the form of set content-based modules. However, based on the lessons learned from earlier projects we suggest a flexible approach, variation of structured training days and home-based assignments; delivery of training in morning or afternoon sessions etc.

The topic areas for specialised modules might cover some of the following issues:

- Resolving existing problems of implementation of strategic management tools - such as options and approaches to improve linkages and integration between the different aspects of the wider strategic management system (e.g. between strategic plans, budgeting and performance reporting or assessment)
- Use of various guidelines, templates, formats etc.
- The future of strategic management in public administration in Turkey. Guidance on mechanisms and approaches needed including performance management

Capacity building, including train-the trainer modules

Finally, the capacity building will particularly address the 10 pilot institutions that will be selected during Gap Assessment and Training Needs Assessment phase of our project. It will be built up on two pillars:

- Train-the-trainer modules.
- Hands-on support for these institutions in their strategic management activities.

We think that the aim of train-the-trainers module is threefold:

- It will provide a core group of 50 individuals in the 10 pilot institutions with knowledge, skills and experience to deliver training in selected strategic management topics - thereby increasing the long term sustainability of the project training and capacity-building interventions;
- It will give them the ability to become "change champions" in their respective institutions in order to advocate and introduce new tools for strategic management - thereby increasing the likelihood that the new tools for strategic management will disseminate and will be put in practice;
- It will allow the project to build a wider network of individuals who are able to provide our team of experts with preliminary feedback on the suitability of some of our training interventions and therefore increase the likelihood of their appropriateness to the context of public administration in Turkey.

Hence - to fulfil these it is considered as imperative that the group of trainees is identified as early in the project as possible and start increasing their skills on training delivery, presentation techniques, change management etc early on during the training intervention. This will mean the Beneficiary deciding early on the selection of pilot institutions and the institutions themselves deciding early on the participating staff. It is also suggested that some members of the trainees' group will cooperate with the team of our international experts to deliver part of the introductory strategic management modules alongside. This would allow them to start practicing work as a strategic management trainer already during the lifetime of our project.

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5.3.8 Web Portal and Online Distance Learning System

It is understood that a number of public sector organisations in Turkey use online learning systems, among others: Ministry of Finance, Ministry of Health, Ministry of Justice[4] and the distance learning is also popularised among universities[5].

In order to utilise this practice and ensure wider dissemination of information, in parallel with on-going strategic management training sessions the outputs of the training sessions will be compiled into an online distance learning system. For this purpose we plan to utilise existing Strategic Management portal that the Ministry of Development has already established.

Before establishing the fully fledged system and generate its content information will be gathered from the interested parties during the Training Needs Assessment about their expectations towards the use of online learning tools and thereafter modify the plans accordingly.

However, provisionally there are three types of content foreseen to be added to the website:

1) Static content - project deliverables, such as assessment reports, implementation guidelines etc. that will all provide generic information about strategic management. Static content may also include a self-assessment scanning forms that the representatives of institutions can use to analyse their existing strategic management systems and capabilities;

2) Variable content - project training deliverables - such as training video clips, training slides, hand-outs, reading assignments, case studies, workgroup assignments that will be uploaded continuously while the training modules will be delivered.

3) User-based content - such as forum- or wiki-type area where the user communities are able to exchange information, add and improve the understanding of issues as they gain further experience.

The project team will take a lead in designing the three types of content and during the second half of the project will support the Ministry of Development in taking over the management of the content development.

Setting up the Online Distance Learning System

Setting up of the Online Distance Learning System will be divided in the following phases and it will become operational by April 2014:

- Design of the distance learning programme
- Selection of "open source" web-based e-learning tools
- Implementation of content into the e-learning programme
- Installation of e-learning programme on the web portal

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[4] http://www.uyap.gov.tr/destek/uzaktanegitim/e-davetiye_gonder/uzaktan_egitim.htm
[5] http://yunusemre.anadolu.edu.tr/

The contents of the Online Distance Learning System will be created on an on-going basis during project implementation. However, fully operational follow-up administration of future participants' will be out of scope of the project (see Clarifications and Changes to Tender Dossier, 22 June 2012) and hence would require either the Ministry of Development taking over the management of the system or another follow-up project.

Technical Setup of the Online Distance Learning System

As a technical solution we suggest a number of tools. But before picking the relevant mechanisms it must be made sure that these will be fully compatible with the Ministry of Development strategic management website.

There are a number of technical elements to the system:

- Static content will be uploaded to the existing Content Management System of the Ministry of Development website at www.sp.gov.tr
- Variable content will be handled by three potential mechanisms:
    o Training videos will be uploaded to the Ministry of Development YouTube channel and will be embedded via iFrame technology or equivalent to the website;
    o Training slides and other downloadable content will be uploaded to the Ministry of Development SlideShare channel and will be also embedded to the Ministry website;
    o Training quizzes and surveys will be handled by either open-source Moodle course management system or Wordpress that would allow modular updating of training content.
- User-based content will be handled by open source BBphp-based or Wordpress based forum and by Wiki- or Wordpress based online wiki. The technical option employed will be discussed and approved by the beneficiary.

5.3.9 Training Programme - Provisional Planning

In designing the training programme, the following constraints must be taken into consideration.

- Linkages with other project activities:
    o Training activities can be started after successful completion of the Gap Assessment and Training Needs Assessment - i.e. starting from June 2013
    o The bulk of the formal training activities should be finished by June 2014 to allow the final part of the project implementation to focus on follow-up coaching for the 10 pilot institutions.
- Holiday periods. It is planned not to deliver training sessions during July / August and during Turkey public holiday weeks. We can deliver training during:
    o 4 full weeks for training delivery in June 2013 (after finalisation of TNA);
    o 14 full weeks for training delivery between Sept - Dec 2013;
    o 15 full weeks for training delivery between Jan - April 2014;
    o 6 full weeks for training delivery between May - June 2014

The training part of the Capacity Building programme consists of the following main components that amount to at least 180 training delivery days for 1075 participants, as specified in the Terms of Reference and detailed in the following indicative table:

Type[6]	Target Groups	Topics	Presenters
Master-classes: (total 10 training days, indicatively 5x50= ca 250 participants)	50 persons / event: - Coordinating Institutions - Managers of central institutions	Strategic management in public sector best practices, New Public Management, New tools for strategies, Strategy as practice, Scenario development	- High-level officials from best practice countries - Other key presenters (including project experts)
7 specialised SM modules (total 7x20 = 140 training days, 7x4x25= ca,. 700 participants)	25 persons / event: - Coordinating institutions - Senior experts at the SDUs - Train-the-trainees	Topics to be determined based on the TNA, but in general: strategic management – strategic planning, implementation and monitoring, etc.	- Experts of particular strategy tools - Project KEs and NKEs
ABC on Strategic management (total 3x4=12 training days, 3x25= ca 75 participants)	25 persons / event: - Junior experts at the SDUs	Introduction to strategic management - why strategic planning? What are the main tools?	- KE team, Side by side with the Train-the-trainers' group
Train-the-trainers skills building modules (total 3x5=15 training days, 3x17=50 train-the-trainees)	17 persons / event: - Train-the-trainees of 10 pilot institutions	Training skills, coaching skills and change management skills. Later: participation in specialised strategic management modules	- KE team - STE on change management
Coaching to 10 pilot institutions	- Representatives of 10 pilot institutions	Active support with handling problem issues of strategic management	- Project KEs and NKEs - Sector specialists from best practice countries
Study tours	- People who have actively participated in training modules	Best practice examples on strategic management and its linkages with: budgeting, HR management etc.	- STE to be employed from target country to manage agenda
Seminars and final conference	- Coordinating institutions - Managers of central institutions - Senior experts at the SDUs		- STE to be invited on the basis of need

With regard to the number of participants, it is noted that discussions with the beneficiary during the inception period have clarified that the numbers mentioned refer

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[6] The number of participants is presented for the purpose of provisional planning and depends on the actual availability and interest of participants in the particular modules.

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to attendees at the module training sessions, rather than numbers of individuals as mentioned in the clarification part of the ToR. Thus an individual may be a participant in more than one training session.

Due to the limitations of the available full training weeks and the number of foreseen training days during this period – it must be considered that some training modules will have to be delivered concurrently with the others. Hence, project planning will have to take into account the relevant constraints, such as availability of hotel rooms, interpretation services and also participants' interest to participate in several training modules before finalising the detailed course schedule and the associated expert work-plan.

5.4 Study tours

As indicated in the Project Synopsis above, the terms of reference specify that the project should organise a total of six five-day study tours, with 10 participants each (60 total).

Based on the assumption that visits to relevant partner organisations in the EU can provide the inspiration for senior public servants to initiate and implement viable and sustainable reforms in their own organisation, we intend to organise 3 study tours under Component 2 for the central guiding/coordinating institutions and 3 study tours under Component 3 for the 10 pilot institutions.

The project intends to organise these study tours, as much as possible, so that they are consistent with implementation of key parts of the overall training programme. For example, some study tours will focus on interesting examples of institutional strategic planning and management techniques and processes, consistent with delivery of some of the earlier parts of the training programme. Others will focus more on best practice examples of wider strategic management implementation and the strategic management system, such as performance budgeting, monitoring and evaluation or other key aspects of the wider accountability framework.

Furthermore, both hosts and participants will be carefully selected; study material will be distributed in advance and designed towards individual participants; participation in general will be managed closely to ensure full utilisation of the learning opportunities.

The countries and the coverage of the study visits will be identified together with the beneficiary.

5.5 Information dissemination

The project is to deliver 3 seminars and conferences, for information dissemination, one under each Component. The seminars and conference aim to both disseminate information and increase awareness on the issues of strategic management. The seminars will be organised as follows:

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- Component 1: Seminar on dissemination of results of gap assessment for at least 100 participants.

- Component 2: Seminar on the roles of the guiding and co-ordinating institutions for at least 100 participants

- Component 3: Final (international) conference on good governance, public administration reform, importance of strategic management and results/recommendations of the project, for at least 400 participants.

Each conference will include senior project experts and key speakers from the MoD, the co-beneficiaries and the pilot institutions as appropriate.

6 Assumptions and Risks

The assumptions and risks for successful project implementation stated by the ToR and the Technical Proposal hold generally true and remain valid. With the experience of the inception phase and based on the adjusted Logical Framework, the assumptions are updated in the following table:

Risk	Likelihood	Impact	Mitigation Strategy
Policy adoptions may be required to implement the recommendations developed by the project	High in medium term (3-5 years)	Medium	As the focus of this 2-year project is on providing recommendations and building capacity for implementation, this risk can only be mitigated by actions of the Beneficiary, perhaps with the assistance of future projects.
Poor performance of project experts, and timely availability of appropriate STEs	Low	High	Performance of consultants will be discussed regularly with the Beneficiary on the basis of project outputs and results. In the case of underperformance, appropriate measures will be discussed and taken by the Contractor. Close M&E of the project will be done by the beneficiary, CFCU as well as done by the TAT-Contractor
Inadequate participation of institutions	Medium	Medium	We will seek to identify with the Beneficiary key staff and Train the Trainers committed to participation and implementation of project activities. Of particular importance is the selection of the 10 CPIs, which will be the focus of project activities in the second year.
Selection of inappropriate participants by relevant institutions	Low	Medium	Selection of participants in project activities, in particular training and study tours, will be conducted in close consultation with the Beneficiary, and appropriate incentives and feedback mechanisms put in place.

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Risk	Likelihood	Impact	Mitigation Strategy
Unwillingness of the participants of the institutions to participate in the training programme	Medium	Medium	Good TNA and monitoring of feed-back on training from both managers and staff. Revision of content, delivery and participants if required.
Employment of the trained staff in irrelevant institutions	Low	Medium	This is a risk in all capacity building programmes which is difficult to mitigate by the Contractor, but can be reduced by a careful selection of trainees.
Lack of sustainability of project activities	Low	Medium	The ToR envisage a number of inherently sustainable activities, such as guidelines, methodologies, training and coaching of staff, which are designed to have an effect after completion of the project. The programme of on-the-job coaching and hands-on assistance will encourage the 'bedding in' of required changes in implementation of strategic management. The training of trainers within 10 CPIs and the design of a distance learning programme should increase the sustainability of the training activities.

A final, major concern is the large volume of inputs to be deployed through short-term, ad hoc interventions under severe time and resource constraints.

7 Schedules for inputs, deliverables and reports

7.1 Summary of Activities and Indicative Resourcing – Including Changes to the Terms of Reference

The overall planning of project inputs and activities is provided below.

Id.	Text of the Terms of Reference	Suggested Deviation	Our Approach	Inputs Planning[7]					
				KE1	KE2	KE3	SNKE	JNKE	Total
1.1.	Assessing the general framework of the strategic management system including related legislation	No deviation from the ToR	An initial situational analysis and assessment of the strategic management system was undertaken during the project's inception period and initial conclusions set out in Section 3, Pages 9-23 of the Inception Report. During the gap assessment, the focus will be on extending and deepening the analysis, particularly relating to strategic planning/management co-ordination and systemic integration issues. A methodology to undertake the gap assessment has been developed and agreed with the beneficiary, which includes further meetings with the co-ordinating institutions, a process for institutional analysis and access to further background information.	15	10	10	10		45
1.2.	Assessing the preparation and implementation processes and outcomes of strategic management in 6 institutions. The methodology and framework of the assessment will be defined	No deviation from the ToR	As noted above, a methodology for the gap assessment has been developed and agreed with the beneficiary. It includes further meetings with the pilot organisations, an institutional analysis using a structured questionnaire, use of a policy co-ordination scale for assessment and a 'quick scan' Training Needs Analysis.	15	15	15		30	75

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[7] Project management activities (reporting, project steering committee meetings etc) are calculated under the different activities.

	together with the beneficiary and the co-beneficiaries								
1.3.	Produce 40-100 pp. report on gaps with recommendations by 21 April 2013	No deviation from the ToR	The deadline for the draft report will allow time for conclusions recommendations to be discussed with the beneficiary prior to the dissemination seminar on the results of the gap assessment, to be held by 21 June 2013.	15	10	5	10		40
1.4.	Organise an information dissemination seminar for at least 100 participants from central public institutions by 21 June 2013	No deviation from the ToR	In addition to the work to be undertaken during the 1-3 month period for the gap assessment, the project will begin the work of capacity assessment relating to Component 3 institutions. The conclusions arising from both of these assessments will contribute to the information to be disseminated at the seminar, in addition to the recommendations outlined in the report to be produced under Activity 1.3 above.	5	5	2	10		22
	TOTAL INPUTS FOR COMPONENT 1:			**50**	**40**	**32**	**30**	**30**	**182**
2.1.	Develop training programme for (co-) beneficiaries based on gap assessment and recommendations of previous projects	No deviation from the ToR	During the inception period, the project analysed the results of previous projects. This summary is presented in Section 3.4, Pages 12-16 of the Inception Report. The overall project philosophy intended to underpin the approach to all project interventions is outlined in Section 4.1, Pages 24-27 of the Inception Report. The approach to development of the training programme is outlined in Section 4.3, Pages 31-39 of the Report.	30	30	50	25	25	160
2.2.	Train at least 75 staff in guidance and coordination of strategic plans and strategic topics	Figure "75" does not refer to different individuals, but participants at training sessions as people may participate in more than a single training session.	As noted above, the approach for the training programme is outlined in Section 4.3, Pages 31-39 of the report. The training interventions to be offered will include 'master classes' (mainly to be targeted at senior managers), introductory modules on core strategic planning/management topics for new staff who have not received (extensive) training in strategic management before, and specialised modules for expert staff of the	10	10	30	80	50	180

No.	Activity	Deviation	Comments						
			co-ordinating institutions. The training programme will include concurrent implementation – some master classes and specialised modules will be offered to participants from both Component 2 and 3 institutions. Some training modules relevant to Activity 2.2 will be only or primarily targeted at the co-ordinating (Component 2) institutions.						
2.3.	Organise 3 five-day study visits (10 participants each) to OECD/EU member states (at least 2 EU member states) and produce 3 country reports	No deviation from the ToR	The approach to be taken to study tours is outlined in Section 4.4, Pages 43-44 of the inception report. As noted, it is intended to integrate the choice and undertaking of study tours with the relevant phasing of training content and development/implementation of other project interventions.	15	15	5	30		65
2.4.	Prepare and publish 3 customised strategic planning & implementation guidelines for central institutions, local administrations and universities (each 80-120 p) and a 40-60 p guideline on participation by 21 March 2014.	No deviation from the ToR	Sections 4.1.1 and 4.1.3 of the Inception Report outline the importance of extending the implementation of strategic management from strategic planning compliance to fully integrated strategic management, and of customisation of project interventions. The focus for development of the guidelines will thus be on customisation for the relevant recipients. Work on development of the guidelines will be phased concurrently alongside other project activities, so that content of the guidelines can be brought into relevant training modules and finalisation of the guidelines can be supported by pilot testing and application in the pilot institutions. The deadline for development of the (draft) guidelines will allow time for finalisation of the guidelines, prior to presentation of key aspects at the information dissemination seminar required by 21 June 2014.	75	90	25	160	90	440
2.5.	Design & build a web-portal for a network of public institutions to exchange	No deviation from the ToR	Section 4.3.8 of the Inception Report outlines our approach towards designing and building the web portal. We intend to start with the conceptual work on this portal	5	5	10	20	60	100

	information/expertise		during the April - June 2013 and finish the portal by September 2013 to allow the ministries to start exchanging information in the second half of 2013.						
2.6.	Prepare report on methodology to be used by MoD to assess institutional strategic plans by 21 March 2014.	No deviation from the ToR	Refer comments under Activity 2.4 above.	15	20	5	20		60
2.7.	Develop methodology to ensure consistency & coherence between national policy & institutional plans by 21 September 2014.	No deviation from the ToR	Refer comments under Activity 2.4 above.	15	20	5	20		60
2.8.	Organise an awareness-raising seminar on guiding/coordinating institutions for at least 100 participants from CPIs, universities, local authorities, NGOs by 21 June 2014	No deviation from the ToR	This seminar will largely present the content and results of several project activities, notably presentations on the results of development of guidelines and methodologies required under Activities 2.4 and 2.6, together with presentation and reinforcement of key messages and content of training programmes on relevant strategic topics relating to guidance and co-ordination.	5	10	5	10		30
TOTAL INPUTS FOR COMPONENT 2:				**170**	**200**	**135**	**365**	**225**	**1095**
3.1.	Develop training programme for (co-) beneficiaries using outputs of MoD/SU project including practical examples and on-the-job training customised to meet sector needs	No deviation from the ToR	During the inception period, the project team reviewed the outputs of the MoD/Sabanci University project. The summary is presented in Section 3.4, Pages 13-14 of the Inception Report. The overall project philosophy intended to underpin the approach to all project interventions is outlined in Section 4.1, Pages 24-27 of the Inception Report. The approach to development of the training programme is outlined in Section 4.3, Pages 31-39 of the Report.	30	30	50	25	25	160
3.2.	Train 200 managers and 750 staff of SDUs in strategic	Figures "200" and "750" do not refer to	As noted above, the approach for the training programme is outlined in Section 4.3, Pages 31-39 of the report.	35	20	60	240	150	505

	topics	different individuals, but participants at training sessions as people may participate in more than a single training session.	The training interventions to be offered will include 'master classes' (mainly to be targeted at senior managers), introductory modules on core strategic planning/management topics for new staff who have not received (extensive) training in strategic management before, and specialised modules for expert staff of the SDUs of the central institutions. The training programme will include concurrent implementation – some master classes and specialised modules will be offered to participants from both Component 2 and 3 institutions. Some training modules relevant to Activity 3.2 will be targeted at Component 3 institutions. These training modules will include a customised approach for particular institutions or sectors. In addition to the training interventions mentioned above, the capacity building programme for Component 3 pilot institutions will include additional training workshops - to 1) reinforce strategic planning/strategic management topics and to 2) provide training on the use of guidelines, methodologies, formats and templates developed or being developed by the project.							
3.3.	Design & conduct distance/on-line training for rest of target group	No deviation from the ToR	Section 4.3.8 of the Inception Report outlines our approach towards designing and building the on-line training portal. We intend to start with the conceptual work on this portal during the April - June 2013 and finish the portal by September 2013 to allow the ministries to start exchanging information in the second half of 2013. We intend to start uploading all training material that is produced and used in the framework of this project to this web protal and also upload videos or audio of some selected training sessions during the lifetime of the project.	5	5	20			80	110
3.4.	Organise/report on 3 five-day	No deviation from the	The approach to be taken to study tours is outlined in	5	5	40	20			70

	study visits to OECD/EU Member States (at least 2 EU member states) - with 10 participants each	ToR	Section 4.4, Pages 43-44 of the inception report. As noted, it is intended to integrate the choice and undertaking of study tours with the relevant phasing of training content and development/implementation of other project interventions.						
3.5.	Design and conduct train-the-trainers programme for 50 participants from 10 institutions in 5 areas of SM	No deviation from the ToR	The project approach to the training programme overall is outlined in Section 4.3, Pages 31-39 of the Inception Report. The intention in relation to the 'Training of Trainers' (ToT) group is mentioned on Page 39 of the Report. The ToT group will serve several purposes – in addition to providing a mechanism for ongoing training in public institutions, it is intended that the ToT group will act as 'change champions' in their institutions and will form a core group of strategic planning/management expertise. The project intends to identify the ToT group participants early, include them as participants for specialised training modules for experts, and have them work alongside project experts in undertaking the capacity building programme for Component 3 institutions, to be carried out under Activity 3.8.	15	15	5	30		65
3.6.	Prepare 50 trainer kits in Turkish, including course materials, training manuals and additional tools	No deviation from the ToR	The project approach to the training for 'Training of Trainers' (ToT) group is outlined in Section 4.3, Page 39 of the Inception Report. Once the training for the ToT group is carried out, we will provide each one of them with a comprehensive electronic and physical trainer kit that they can use in their future career as source for training materials. This will also be a sustainability measure for their relevant institutions.	5		15	30		50
3.7.	Prepare assessment report on consistency and coherence between sectoral	No deviation from the ToR	The output under this Activity will build on the results of Activities 1-3, 2.4 and 2.6, and is required to be undertaken concurrently with the work required for	15	20	3	20		58

	and institutional strategies in 3 sectors by 21 Sept 2014		Activity 2.7, in order to ensure integration. The work to develop an assessment of consistency and coherence between sectoral and institutional strategies will focus on three sectors drawn from the 10 pilot institutions for Component 3, and will be undertaken in conjunction with the programme of support to these institutions to be carried out under Activity 3.8. This work is required to be undertaken in conjunction and concurrently with the work undertaken under Activity 2.7, to focus on achievement of integrated linkages between national, sectoral and institutional strategies and plans.						
3.8.	Assist 10 (other) institutions with stakeholder surveys, M&E systems, process analysis, internal reference documents and workshops	No deviation from the ToR	The approach to the programme of support to pilot institutions under Activity 3.8 is outlined in Section 4.2, Page 27-28 and Section 4.2.3, Pages 30-31 of the Inception Report. The programme of work with the 10 pilot institutions provides the opportunity to test and pilot the strategic planning guidelines and other methodologies being developed by the project, relevant to Activities 2.4, 2.6 and 2.7 and the assessment report on consistency and coherence between sectoral and institutional strategies and plans required for Activity 3.7. The programme of assistance envisaged will include supporting these institutions to improve their internal strategic management processes, improve the content of their strategic plans, improve the link between strategic plans, performance programmes and activity (performance) reporting and the provision of advice on institutional reform. Mechanisms and approaches to be used will include 1) further training workshops providing instructions and guidance on the use and application of guidelines, methodologies, formats and templates developed by the project 2) assisting the institutions with development of internal circulars, process guidelines, manuals and other internal documents 3) direct coaching	30	30	20	400	400	880

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			support on the use of guidelines, formats and templates, to ensure development of a customised application suitable for the particular sector/institution and 4) working with the ToR group to build capacity to replicate the delivery of core strategic management training modules and act as 'change champions'.						
3.9.	Organise conference on good governance, administrative reform, strategic planning and project results for at least 400 participants by 21 Nov 2014	No deviation from the ToR	This conference will build on all the results and outputs of the project under all Activities and represents the major 'end-of-project' dissemination event. The beneficiary has requested that this event should be developed as an international conference.	20	15	10	90		135
			TOTAL INPUTS FOR COMPONENT 3:	**180**	**160**	**233**	**855**	**700**	**2128**
N/A	N/A	Organising visibility and communication activities related to the project. Based on discussions with the beneficiary we suggest adding this as an additional cross-cutting activity to support dissemination of information to the project target groups.		20	20	10		45	95
			GRAND TOTAL:	**400**	**400**	**400**	**1250**	**955**	**3405**

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7.2 Indicative Work-Plan

Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
COMPONENT 1: ASSESSMENT OF STRATEGIC MANAGEMENT SYSTEM, IDENTIFICATION OF GAPS AND RECOMMENDATIONS				
INTERVENTION: EXPERT ADVISORY ASSISTANCE				
1.Inception period - start-up activities and initial situational analysis Initial situational analysis during inception period - Review of background material and previous projects - Meetings with managers and staff of beneficiary (MoD), co-beneficiary institutions and SDUs of designated pilot institutions Initial assessment of strategic management system – key issues	Activity 1.1 Activity 1.2	**22/1/13 to 21/2/12**	**Initial situational analysis for inception report completed**	**Inception Report submitted by 21/2/13**
2. Gap assessment Development of methodology to undertake gap assessment Information for institutional analysis collected and initial analysis carried out through - Meetings with relevant departments of the beneficiary/co-beneficiary institutions and SDUs of pilot institutions, utilising structured interviews - Meetings and structured interviews with selected sector/line ministries 'Quick scan' Training Needs Analysis (TNA) - to be carried out through meetings with staff of selected departments.	Activity 1.1 Activity 1.2	**22/2/13 to 21/4/13** Early March 2013 By 13/4/13 By 13/4/13	**Gap assessment completed** Methodology developed and agreed with beneficiary Initial institutional analysis for gap assessment completed Quick scan TNA completed	
3. Report on assessment of identified gaps Final analysis effort and eventually additional punctual meetings or contacts. Report preparation with development of recommendations arising from gap assessment, and submission of draft.	Activity 1.3	**April (to 21/4/13)**	**60-100 page report on identified gaps and recommendations**	**Gap assessment report submitted by 21/4/13**

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
INTERVENTION: INFORMATION SEMINAR				
1.Organisation of dissemination seminar on the results and findings of gap assessment and recommendations	Activity 1.4	**April to 21/6/13**	**Seminar held for at least 100 participants**	**Information dissemination seminar on results of gap assessment and recommendations held by 21/6/13**
Recommendations discussed with beneficiary, for incorporation into presentations for information seminar		April – June 2013	Recommendations further developed/revised	
Further capacity assessment for Component 2 and 3 institutions continued, using structured questionnaires for institutional analysis and TNA		April -June 2013	Results of capacity assessment compiled	
Development of presentations for seminar		Before the 15/6/13	Content of seminar agreed with beneficiary and presentations completed	
Logistical arrangements		By the 21/6/13		
COMPONENT 2: CAPACITY BUILDING FOR CENTRAL CO-ORDINATING INSTITUTIONS				
INTERVENTION: TRAINING				
1.Development of training programme	Activity 2.1	**Mar- Aug 2013** **Aug 2013-Jan 2014**	**First phase of training programme developed** **Second phase of training programme developed**	
Training Needs Analysis with selected institutions from Component 2: - Structured interviews, survey - Report on results of TNA		March-June 2013	Results of TNA analysed and compiled and report produced	
Development of content for core introductory (ABC) strategic management training programme for new SDU staff and preparation of presentations		June-Aug 2013	ABC training module content developed	
Definition/refinement of topics for specialised modules and development of outline of training content		To 31/8/13	Topics and outline training content agreed	
Research with pilot institutions on case studies for inclusion in training		May-Sept 2013	Case studies written up for	

Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
content for first phase of training			inclusion in training content	
Identification of number of and topics for master classes for managers for phase 1 of training programme		By 31/8/13	Master classes identified and agreed	
Preparation of presentations for specialised training modules to be carried out in first phase of training programme		By 30/9/13	Presentations completed	
Research with pilot institutions on case studies for inclusion in training content for second phase of training		June 2013 -Jan 2014	Case studies written up for inclusion in training content	
Identification of number of and topics for master classes for managers for phase 2 of training programme		By 31/1/14	Master classes identified and agreed	
Preparation of presentations for specialised training modules to be carried out in second phase of main training programme		June 2013 to 31/1/14	Presentations completed	
2.Delivery of core introductory (ABC) strategic management training programme ABC strategic management training programme finalised and delivered for target groups (new staff from Component 2 co-ordinating and Component 3 institutions)	Activity 2.2	**Sept - Oct 2013**	**Introductory training programme delivered** Target groups (new staff) trained in core strategic planning/strategic management topics	
3.Delivery of first phase of training in specialised modules (indicative topics in strategy development, scenario development, strategic planning, participatory planning, stakeholder analysis/engagement, risk assessment, central guidance and co-ordination) Finalisation of presentations for training modules Delivery of specialised modules – on topics relevant for target groups from both Component 2 and Component 3 institutions	Activity 2.2	**Sept 2013 - Jan 2014** As required Sept 2013 – Jan 2014	**First phase of specialised training modules delivered** Target groups in Component 2 and 3 trained in selected topics	

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
Delivery of specialised modules – with customised content on guidance and co-ordination topics for Component 2 institutions		As above	Target groups in Component 2 trained in selected guidance/co-ordination topics	
4.Delivery of second phase of training in specialised modules (indicative topics on strategic management implementation, performance measurement/assessment, accountability, performance reporting, monitoring and evaluation, performance auditing)	Activity 2.2	*Feb – June 2014*	**Second phase of specialised training modules delivered**	
Finalisation of presentations for training modules		As required	Target groups in Component 2 and 3 institutions trained in selected topics	
Delivery of specialised modules – on topics relevant for specified target groups from both Component 2 and Component 3 institutions		Feb –June 2014	Target groups in Component 2 institutions trained in selected guidance and co-ordination topics	
Delivery of specialised modules – with customised content on guidance and co-ordination topics for Component 2 institutions		Feb-June 2014		
INTERVENTION: STUDY VISITS				
1.First study visit for Component 2 institutions	Activity 2.3	**By 31/8/13**	**Study visit held and report submitted within one month of visit**	
Identify country and topics for study visit		By 15/5/13	Country/topics selected	
Participants selected by beneficiary and co-beneficiary institutions		By 15/6/13	Selection of participants confirmed	
Study visit preparation – preparation reports on study topics, logistical arrangements, briefings for participants		As required		
Study visit carried out		By 31/7/13	Visit completed	
Preparation of follow-up report on country visit and findings		By 31/8/13	Report submitted	
2.Second study visit for Component 2 institutions	Activity 2.3	**By 31/10/13**	**Study visit held and report**	

Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
			submitted within one month of visit	
Identify country and topics for study visit		By 31/7/13	Country/topics selected	
Participants selected by beneficiary and co-beneficiary institutions		By 31/8/13	Selection of participants confirmed	
Study visit preparation – preparation reports on study topics, logistical arrangements, briefings for participants		As required		
Study visit carried out		By 30/9/13	Visit completed	
Preparation and follow-up report on country visit and findings		By 31/10/13	Report submitted	
3. Third study visit for Component 2 institutions	Activity 2.3	**By 30/4/14**	**Study visit held and report submitted within one month of visit**	
Identify country and topics for study visit		By 31/12/13	Country/topics selected	
Participants selected by beneficiary and co-beneficiary institutions		By 31/1/14	Selection of participants confirmed	
Study visit preparation – preparation reports on study topics, logistical arrangements, briefings for participants		As required		
Study visit carried out		By 31/3/14	Visit completed	
Preparation of follow-up report on country visit and findings		By 30/4/14	Report submitted	
INTERVENTION: EXPERT ADVISORY ASSISTANCE				
1.Development of customised strategic planning and implementation guideline for central institutions	Activity 2.4	**May 2013 to 21/4/14**	**Customised guideline developed**	**Published by 21/4/14**

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
Development of initial recommendations on general approach and content of guideline, arising from results of gap assessment and institutional capacity assessment		May -June 2013	General approach for guideline developed	
Research and further develop requirements for guideline, in consultation with Component 2 co-ordinating institutions and selected Component 3 pilot institutions, and incorporate findings into training modules		July – Sep 2013	Requirements for guideline further developed	
Draft content outline for guideline and discussion with beneficiary		By 31/8/13	Content outline agreed with beneficiary	
Preparation of draft guideline and submission to beneficiary		By 30/9/13	Draft guideline submitted	
Consultation with beneficiary and co-beneficiaries on draft guideline		To 31/12/13	Guideline refined/revised	
Piloting and testing of guideline with selected central institutions		Jan-Mar 2014	Guideline piloted and results discussed with beneficiary	
Finalisation and publishing of guideline		**By 21/4/14**	Final guideline produced	
2.Development of customised strategic planning and implementation guideline for local administrations	Activity 2.4	**June 2013 to 21/4/14**	**Customised guideline developed**	**Guideline published by 21/4/14**
Research and further develop requirements for guideline, in consultation with beneficiary and relevant co-beneficiary		June – Nov 2013	Requirements for guideline developed	
Preparation of draft guideline and submission to beneficiary		By 31/12/13	Draft guideline submitted	
Consultation with beneficiary and co-beneficiaries on content of guideline		By 31/3/14	Guideline refined/revised	
Finalisation and publishing of guideline		By 30/4/14	Final guideline produced	
3.Development of customised strategic planning and implementation guideline for universities	Activity 2.4	**June 2013 to 21/4/14**	**Customised guideline developed**	**Guideline published by 21/4/14**
Research and further develop requirements for guideline, in consultation with beneficiary and relevant co-beneficiary		June – Nov 2013	Requirements for guideline developed	

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
Preparation of draft guideline and submission to beneficiary		By 31/12/13	Draft guideline submitted	
Consultation with beneficiary and co-beneficiaries on content of guideline		By 31/3/14	Guideline refined/revised	
Finalisation and publishing of guideline		By 30/4/14	Final guideline produced	
4.Development of guide on participation	Activity 2.4	**May 2013 to 21/4/14**	**Customised guideline developed**	**Guideline published by 21/4/14**
Development of initial recommendations on general approach and content of guideline, arising gap assessment and institutional capacity assessment		May -June 2013	General approach for guideline developed	
Research and further develop requirements for guideline, in consultation with relevant Component 2 co-ordinating institutions and Component 3 institutions, and incorporate relevant findings into development of training modules		July – Sep 2013	Requirements for guideline further developed	
Draft content outline for guideline and discussion with beneficiary		By 31/8/13	Content outline agreed with beneficiary	
Preparation of draft guideline and submission to beneficiary		By 30/9/13	Draft guideline submitted	
Consultation with beneficiary and co-beneficiary institutions on draft guideline		To 31/12/13	Guideline refined/revised	
Piloting and testing of guideline with selected central institutions		Jan-Mar 2014	Guideline piloted and results discussed with beneficiary	
Finalisation and publishing of guideline		By 21/4/14	Final guideline produced	
5.Design and build web portal for setting up a network for public institutions to exchange information/expertise	Activity 2.5	**April-Sept 2013**	**Web portal operational**	
Development of requirements for web portal		April-June 2013	Requirements for web portal defined	
Web portal developed to operational stage		Sept 2013	Web portal established	
6.Develop methodology to be used by MoD to assess institutional	Activity 2.6	**May 2013 to**	**Methodology developed,**	**Report on**

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
strategic plans		**21/4/14**	**agreed with beneficiary**	**methodology submitted by 21/4/14**
Develop general approach, arising from gap assessment and institutional capacity assessment		May -June 2013	General approach for methodology developed	
Research and further develop requirements in consultation with beneficiary and incorporate relevant findings into development of training modules		July – Sep 2013	Requirements further developed	
Preparation of draft report on methodology and submission to beneficiary		By 30/9/13	Draft report submitted	
Consultation with beneficiary on draft methodology		To 31/12/13	Methodology refined/revised	
Finalisation and preparation of final report on methodology		**By 21/4/14**	Final report on methodology produced	
7.Develop methodology to ensure consistency and coherence between national high level policy documents and institutional plans	Activity 2.7	**May 2013 to 21/11/14**	**Methodology developed and agreed with beneficiary**	**Methodology developed and submitted by 21/11/14**
Develop general approach, arising from results of gap assessment, institutional capacity assessment and other project activities		May -June 2013	General approach for methodology developed	
Research and refine requirements in consultation with relevant Component 2 co-ordinating institutions and incorporate findings into training modules		July 2013 to Jan 2014	Requirements further developed	
Preparation of draft report on methodology and submission to beneficiary		By 31/7/14	Draft report on methodology submitted	
Consultation with beneficiary on draft methodology		To 31/10/14	Methodology refined/revised	
Finalisation and preparation of final report on methodology		**By 21/11/14**	Final report on methodology produced	
INTERVENTION: INFORMATION SEMINAR				
1.Organisation of awareness-raising seminar on roles of guiding and co-ordinating institutions and studies of project	Activity 2.8	***Feb-Jul 2014***	**Seminar for at least 100 participants held**	**Awareness-raising seminar on roles of**

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
Development of general approach to seminar content in consultation with beneficiary and co-beneficiaries		To 31/5/14	Seminar approach and content developed	**guiding and co-ordinating institutions and studies done by project held by 21/7/14**
Development of presentations for seminar and logistical arrangements		To July 2014	Presentations completed	
COMPONENT 3: CAPACITY BUILDING FOR CENTRAL PUBLIC INSTITUTIONS				
INTERVENTION: TRAINING				
1.'Train the trainers' (ToT) programme	Activity 3.5	**June 2013 to Oct 2014**	**ToT participants trained**	
Identify participants in ToT programme from 10 pilot institutions		June 2013	ToT participants identified	
Deliver first stage of ToT programme – training on how to train, change management roles and responsibilities		June 2013	First stage of ToT training completed	
Deliver ABC training programme in core strategic management topics		Sept-Oct 2013	ToT group trained in core strategic management topics	
Further round of training for ToT group, at commencement of programme of direct coaching support for ten pilot central institution		May-June 2014	As above	
2. Development of training programme *(NB. Training interventions under Component 2 refers, due to concurrent implementation for Component 2 and 3 target groups)*	Activity 3.1	**Mar- Aug 2013** **Aug 2013-Jan 2014**	**First phase of training programme developed** **Second phase of training programme developed**	
Training Needs Analysis with selected institutions from Component 3, including - Structured interviews, survey - Report on results of TNA		March-June 2013	Results of TNA analysed and compiled and report produced	
Development of content for core introductory (ABC) strategic management training programme for new SDU staff and preparation of presentations		June-Aug 2013	ABC training module content developed	

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
Definition/refinement of topics for specialised modules and development of outline of training content		By 31/8/13	Topics for modules and outline training content agreed with beneficiary	
Research with pilot institutions on case studies for inclusion in training content for first phase of training		April-Sept 2013	Case studies written up for inclusion in training content	
Identification of number of and topics for master classes for phase 1 of training programme		By 31/8/13	Master classes identified and agreed	
Preparation of presentations for specialised training modules to be carried out in first phase of training programme		By 30/9/13	Presentations completed	
Research with pilot institutions on case studies for inclusion in training content for second phase of training		June 2013 to Mar 2014	Case studies written up for inclusion in training content	
Identification of number of and topics for master classes for phase 2 of training programme		By 31/1/14	Master classes identified and agreed	
Preparation of presentations for specialised training modules to be carried out in second phase of main training programme		June 2013 to 31/1/14	Presentations completed	
3. Delivery of core introductory (ABC) strategic management training programme *(NB. Training interventions under Component 2 refers, due to concurrent implementation for Component 2 and 3 target groups))* ABC strategic management training programme finalised and delivered for target groups (new staff from Component 2 co-ordinating and Component 3 institutions)	Activity 3.2	**Sep-Oct 2013**	**Introductory training programme delivered** Target groups (new staff) trained in core strategic planning/strategic management topics	
4. Delivery of first phase of training in specialised modules (indicative topics in strategy development, scenario development, strategic planning, participatory planning, stakeholder analysis/engagement,	Activity 3.2	**Sept 2013 to Jan 2014**	**First phase of specialised training modules delivered**	

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
risk assessment, central guidance and co-ordination) *(NB. Training interventions under Component 2 refers, due to concurrent implementation for Component 2 and 3 target groups)*				
Finalisation of presentations for training modules		As required		
Delivery of specialised modules – on topics relevant for target groups from both Component 2 and Component 3 institutions		Sept 2013 – Jan 2014	Target groups in Component 2 and 3 institutions trained in selected topics	
Delivery of specialised modules – with content specific for Component 3 institutions		As above	Target groups in Component 3 institutions trained in selected topics	
5. Delivery of second phase of training in specialised modules (indicative topics on strategic management implementation, performance measurement/assessment, accountability, performance reporting, monitoring and evaluation, performance auditing) *(NB. Training interventions under Component 2 refers, due to concurrent implementation for Component 2 and 3 target groups)*	Activity 3.2	***Feb – June 2014***	**Second phase of specialised training modules delivered**	
Finalisation of presentations for training modules		As required		
Delivery of specialised modules – on topics relevant for specified target groups from both Component 2 and Component 3 institutions		Feb –June 2014	Target groups in Component 2 and 3 trained in selected topics	
Delivery of specialised modules – with content specific for Component 3 institutions		Feb-June 2014	Target groups in Component 2 institutions trained in selected guidance and co-ordination topics	
6. Design and conduct distance training programmes	Activity 3.3	**April 2013-project end**	**Training material made available on web portal**	

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
Development of requirements for web portal and establishment of web portal *(Refer Component 2)*		April- Sept 2013	Web portal operational	
Upload training material for ministries to start exchanging information		From June 2014	Training material uploaded	
7. Prepare a trainer's kit for Train the Trainers group Development of trainer's kit (electronic and manual copies), following completion of introductory ABC training programme	Activity 3.6	**By 31/12/13**	**Training kits developed and distributed to ToT group**	
INTERVENTION: STUDY VISITS				
1.Three study visits for Component 3 pilot institutions	Activity 3.4	**Timing TBD**	**Study visit held and report submitted within one month of visit**	
Identify country and topics for study visit and participants selected			Country/topics selected	
Study visit preparation – preparation reports on study topics, logistical arrangements, briefing for participants			Selection of participants confirmed	
Study visit			Visit completed	
Preparation of follow-up report on country visit and findings			Report submitted	
INTERVENTION: EXPERT ADVISORY ASSISTANCE				
1.Prepare report on assessment of consistency and coherence between sector strategies and institutional strategic plans, for 3 sectors	Activity 3.7	**Jan –Nov 2014**	**Report on three sectors completed**	**Report submitted by 21/11/14**
Develop general approach arising from sector/institutional capacity			General approach developed	

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
assessment			and refined	
Research and further develop requirements in consultation with beneficiary and selected pilot institutions		By 30/9/14	Requirements refined	
Preparation of draft report, incorporating results of working with three selected sectors as part of capacity building programme with pilot institutions, and submission to beneficiary		By 31/10/14	Draft report submitted to beneficiary	
Consultation with beneficiary and pilot institutions on report and findings			Report refined/revised	
Finalisation and preparation of final report		By 21/11/14	Final report submitted	

INTERVENTION: COACHING SUPPORT TO TEN PILOT INSTITUTIONS

Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
4.Programme of direct coaching assistance for 10 pilot institutions	*Activity 3.8*	**May 2013 – Oct 2014**	**Capacity of ten pilot institutions improved**	
Selection of ten pilot institutions by beneficiary		April 2013	10 pilots selected by beneficiary and agreed with pilot institutions	
Institutional capacity assessment of pilot institutions and development of approaches to track transfer of skills and capacity development		May-Aug 2013	Capacity of institutions assessed and model for monitoring improvement developed	
Participation in training programmes: *(1.Train the trainers programme for staff from selected 10 pilot institutions 2. Introductory ABC training programme in core strategic management 3.Participation of Component 3 target groups in specialised modules and master classes)*		Sept 2013- June 2014	Target groups of staff from 10 pilot institutions trained	
4.Refresher training of introductory ABC training programme for 10 pilot institutions		May 2014		
Development and delivery of workshops for pilot institutions, to provide training and instructions in application of guidelines, formats, templates,		May-June 2014		

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
processes and other mechanisms for development of strategic plans and implementation of strategic management processes and requirements Programme of follow-up direct coaching support for staff of SDUs in pilot institutions, including - On the job coaching support in application of strategic planning and strategic management tools and techniques, as above - Assistance with development of internal circulars, manuals, stakeholder surveys, design of monitoring and evaluation systems, organisation of workshops and application of other processes and requirements - Ongoing reform advice and assistance in institutional development, to support development of strategic management capacity		May –Oct 2014		
INTERVENTION: INFORMATION SEMINAR				
1.Organisation of international conference on good governance and public administration reform, strategic planning, and findings/results of project	Activity 3.9	**June –Dec 2014**	**Conference for at least 400 participants held**	**Conference on good governance, public administration, strategic planning and findings/outputs/results of project held by 21/12/14**
Development of general approach to conference organisation and content in consultation with beneficiary and co-beneficiaries		As required	General approach agreed with beneficiary	
Identification of speakers for conference		By 31/10/14	Speakers identified	
Development of presentations for seminar and logistical arrangements		As required	Presentations completed	
PROJECT REPORTING ARRANGEMENTS				
Inception, Progress and Final Reports		Refer milestones	**Progress reports submitted by 1 month after end of 6 month period** **Draft final report submitted 1 month before end of implementation period**	**1st progress report by 21/8/13** **2nd progress report by 21/2/14** **3rd progress report by 21/8/14** **4td progress report**

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Interventions and Activities	ToR Reference	Timeframe	Expected Results	Project Milestones
				by 21/12/14 Final draft report by 21/12/14 Final report submitted within 1 month of receiving comments on draft final report

7.3   Timetable of Activities

Turkey: 'Technical Assistance for Improved Strategic Management Capacity'	Year One - Indicative Workplan Phasing												
	Month												
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan
Intervention: Expert Advisory Assistance													
1.1. & 1.2. Gap assessment - assessment of strategic management system and identification of gaps	▪	▪	▪										
1.3. Report on results of gap assessment, with recommendations				▪									
2.4. Development of customised strategic planning guideline for central institutions						▪				▪			
2.4. Development of customised strategic planning guideline for local administrations						▪				▪			
2.4. Development of customised strategic planning guideline for universities						▪				▪			
2.4. Development of guide on participation						▪							
2.6. Development of methodology to be used by MoD to evaluate institutional strategic plans						▪				▪			
2.7. Development of methodology on consistency between national and institutional strategic plans						▪				▪			
Intervention: Information Dissemination Seminars													
1.4. Organisation of information dissemination seminar on results of gap assessment					▪								
Intervention: Training													
2.1. & 3.1. Development of first phase of training programme for Component 2 and 3 institutions		▪	▪										
2.1. & 3.1. Development of second phase of training programme for Component 2 and 3 institutions						▪							
2.2. & 3.2. Delivery of introductory ABC training in core strategic management topics - Component 2 and 3									▪				
2.2. & 3.2. Delivery of first phase of specialised training modules - Component 2 and 3										▪			
2.2. & 3.2. Delivery of 'master classes' - Component 2 and 3											▪		
2.2. Delivery of specialised modules with content on central co-ordination for Component 2 institutions											▪		
3.2. Delivery of specialised modules with content for Component 3 institutions											▪		
2.5. & 3.3. Development of web portal for sharing of information and distance training					▪	▪		▪					
3.5. 'Train the trainers' programme - initial training							▪						
3.6. 'Development and provision of trainers' kit										▪	▪		
Intervention: Study Visits													
2.3. First study visit for Component 2 institutions							▪						
2.3. Second study visit for Component 2 institutions									▪				
Intervention: Programme of Direct Support to Ten Pilot Central Institutions													
3.8. Capacity assessment			▪										
3.8. Participation of staff from pilots in ABC training, first phase of specialised modules, master classes									▪	▪			
Project Management													
Inception period - start-up activities, inception report	▪	▪											
Six-month progress report								▪					

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Turkey: 'Technical Assistance for Improved Strategic Management Capacity'

	Year Two - Indicative Workplan Phasing												
	Month												
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan
Intervention: Expert Advisory Assistance													
2.4. Development of customised strategic planning guideline for central institutions	X	X	X	X									
2.4. Development of customised strategic planning guideline for local administrations	X	X	X	X									
2.4. Development of customised strategic planning guideline for universities	X	X	X	X									
2.4. Development of guide on participation	X	X	X	X									
2.6. Development of methodology to be used by MoD to evaluate institutional strategic plans	X	X	X	X	X								
2.7. Development of methodology on consistency between national and institutional strategic plans	X	X	X	X	X	X	X	X	X				
3.7. Report on consistency and coherence between sectoral strategies and institutional plans, in 3 sectors	X	X	X	X	X	X	X	X	X				
Intervention: Information Dissemination Seminars													
2.8. Organise a seminar on central guidance and co-ordination and studies done by project						X							
3.9. Organise an international conference on good governance, public administration and strategic planning									X	X			
Intervention: Training													
2.1. & 3.1. Development of second phase of training programme for Component 2 and 3 institutions	X												
2.2. & 3.2. Delivery of first phase of specialised training modules - Component 2 and 3	X												
2.2. & 3.2. Delivery of first phase of 'master classes' - Component 2 and 3	X												
2.2. & 3.2. Delivery of second phase of specialised training modules - Component 2 and 3		X	X	X									
2.2. & 3.2. Delivery of second phase of master classes - Component 2 and 3		X	X	X									
2.2. Delivery of specialised modules with content on central co-ordination for Component 2 institutions		X	X										
3.2. Delivery of specialised modules with specific content for Component 3 institutions		X	X										
3.3. Design and conduct distance training programme						X	X	X	X	X	X	X	X
3.5. 'Train the trainers' programme with ten pilot central institutions						X	X						
Intervention: Study Visits													
2.3. Third study visit for Component 2 institutions		X	X	X									
3.4. Three study visits for Component 3 pilot institutions - timing to be confirmed		X	X	X	X	X	X	X	X	X	X		
Intervention: Programme of Direct Support to Ten Pilot Central Institutions													
3.2. Participation of staff from pilots in ABC training, first phase specialised modules, master classes	X												
3.2. Participation of staff from pilots in second phase of specialised modules, master classes		X	X	X									
3.8. Workshops to provide further training and instructions on application of guidelines, templates etc				X	X	X	X	X	X	X	X		
3.8. Direct coaching assistance on strategic planning/strategic management implementation for 10 pilots			X	X	X	X	X	X	X	X	X	X	
Project Management													
Twelve-month progress report		X											
Eighteen-month progress report									X				
Final draft end-of-project report												X	
Finalise end-of-project report													X

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7.4   Project Management and Coordination Arrangements

Project management arrangements are detailed under the section 4.3.2 of the project Terms of Reference.

7.5   Project Reporting Arrangements

The Inception Report, Progress Reports and Final Report of the project will be written in English. As indicated in the terms of reference and clarified by the CFCU during the Kick-off meeting, the draft reports will be submitted in soft copy to the MoD, the CFCU and the EU Delegation. Comments on the draft have to be provided within 4 weeks, during which time the project is expected to continue its activities. In case no comments are received the report may be submitted as final version directly to the Project Manager in the CFCU for approval. The final version (approved) will be submitted to the Ministry of Development in hard copy (10 copies).

Subsequent to this Inception report, which was due on 21st February, 2013, the reports mentioned in the ToR will be delivered according to the following schedule.

Report type	Timing and/or frequency
Progress Reports	1st progress report covering 22 Jan - 31 Jul 2013 2nd progress report covering 1 Aug 2013 - 31 Jan 2014 3rd progress report covering 1 Feb - 31 Jul 2014 4th progress report covering 1 Aug 2014 - 21 Jan 2015
Draft Final Report	By 21 December 2014
Final Report	Within 1 month of receiving comments on the final draft from the Project Manager

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8 Annexes

8.1 Revised Log-frame

Project Description:	Indicators:	Source of Verification:	Assumptions:
Overall objective Efficient and effective public service and transparent and sound financial management of Public Funds.	• Better integration of policy making and resource allocation • Higher level of accountability and transparency • Better resource allocation	• Turkey Progress Reports by the EU Commission • International organisations • Documents from Parliament and Supreme Audit Institution.	• Political commitment • Ownership of institutions
Purpose More effective and impactful strategic planning by Central Public Administrations.	• # of strategic plans that meet the quality standards of the MoD GDSM by 2015	• Strategic plan evaluation reports	• Active participation of institutions involved • Effective co-operation among related institutions
Component 1: Gap Assessment			
Result Current status of strategic management practice in Turkish public administration assessed and policy recommendations developed	**Outputs:** • Assessment report finalised • Participation at seminar	Project reports	• Institutions provide necessary information • Willingness of the institutions to participate
Activities • Assess general framework of SM system including legislation • Assess preparation, implementation and outcomes of SM in 6 pilot institutions • Produce (60 – 100 pages) report on gaps with recommendations • Organise dissemination seminar for at least 100 participants form all Central public institutions.	**Inputs:** • Project experts and support staff • Consumables • Seminar venue and materials		
Component 2: Central Capacity Building			
Result Capacity of the central guiding and co-ordinating institutions improved	**Outputs:** • 75 participants participated in training • Guidelines produced • Web portal functional • Methodologies developed and available • Participation at seminar	MoD assessment on consistency and coherence	• Active participation of institutions involved • Lack of capacity to absorb TA and training • Inappropriate selection of trainees
Activities	**Inputs:**		

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• Develop training programme for Beneficiaries • Train 75 participants in topics related to guidance and co-ordination of strategy-making • Organise 3 five day study visits • Prepare and publish strategic planning and implementation guidelines • Design and build web portal • Prepare report on methodology to assess institutional strategic plans • Organise awareness raising seminar for at least 100 participants	• Project experts and support staff • Consumables • Seminar venue and materials • Study visit expenses

Component 3: Institutional Capacity Building

Result	Outputs:		
Strategic Management capacity of central public institutions enhanced.	• 950 participants participated in training • On line e-learning facility available • Participation at conference	Publications on development and implementation of Strategic plans by the 188 public administrations form Ministry of Development	• Effective co-operation among related institutions • Lack of capacity to absorb TA and training • Inappropriate selection of trainees

Activities	Inputs:
• Develop training programme for Beneficiaries • Train 950 participants (200 managers, 750 staff) on strategy • Design and make available distance on-line training facility • Organise 3 five day study visits • Design and conduct ToT programme for 50 participants • Prepare 50 trainers' kits in Turkish • Prepare assessment report on consistency and coherence • Assist 10 institutions with stakeholder surveys, M&E systems • Organise conference on good governance for at least 300 participants	• Project experts and support staff • Consumables • Seminar venue and materials • Study visit expenses

8.2 Overview of meetings held during Inception period

Time	Place	Participants	Topics
22.01.2013	Ministry of Development 13th floor	34 people, including representatives of: - Ministry of Development - The Central Finance and Contracting Unit - European Union Delegation in Turkey - Ministry of Finance - Treasury - Ministry of Interior - Prime Minister's Office - Higher Education Council - Ministry of European Integration - Project team: NWF and LDK	- Introduction of parties - Presentation of project - Brief information about the consortium - Questions & answers - Administrative information by CFCU
23.01.2013	European Union Delegation	Ms. Umut Özdemir, EU Delegation Ms. Karin Plokker, NWF Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Data collection for project inception
29.01.2013	Ministry of Development, room 1000A	Mr. Kutluhan Taşkın, MoD Ms. Melahat Kutlu, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Data collection for project inception
30.01.2013	Ministry of Finance Floor 5, room no. G-514	Mr. Hüseyin Işık, MoF, Head of DG of of Budget and Fiscal Control Department Ms. Mehalat Kutlu, MoD Mr. Fatıh Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Information collection on budget preparation, budget classification, linkages of budget and strategic planning, use of management information systems in budget preparation and monitoring
30.01.2013	Ministry of Finance Floor 3	Mr. Ali Mercan Aydın, MoF, Strategy Development Unit Ms. Melahat Kutlu, MoD Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Information collection on strategy process in the Ministry of Finance
31.01.2013	Prime Minister's Office	Mr. Muhsin Sezgi, Head of PM Strategy Development Unit Ms. Sibel Özmert, Expert of the PM Office Ms. Yasemin Tellal, Expert of the PM Office Ms. Melahat Kutlu, MoD Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Information collection on strategy process at the Prime Minister's Office

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Time	Place	Participants	Topics
01.02.2013	Ministry of Interior	Mr. İlker Haktankaçmaz, Ministry of Interior, Head of Department of Local Administration, Dr. Ilker Gündüzöz, Ministry of Interior, Head of Department of Activity Reporting and Statistics Ms. Melahat Kutlu, MoD Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF Ms. Seda Kurt, NWF	- Information collection on strategy process at the Ministry of Interior
04.02.2013	Treasury	Mr. Mustafa Akmaz, Under-Secretariat of the Treasury -Head of the Strategy Development Department Ms. Melahat Kutlu, MoD Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF Ms. Seda Kurt, NWF	- Information collection on strategy process at the Treasury
06.02.2013	Ministry of Development, SDU	Mr. Hasan Gölcük, Head of the Department of SDU, MoD Ms. Melahat Kutlu, MoD Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Information collection on strategy process at the Ministry of Development
07.02.2013	Ministry of Development	Mr. Osman Yılmaz, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Information collection on public administration in Turkey: rights, roles and responsibilities of civil servants, on individual and collective performance assessment in administration
07.02.2013	Ministry of Development	Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	- Information collection on the institutions to be involved in future strategy training programmes
08.02.2013	Higher Education Council, SDU	Prof. Dr. Nihat Erdoğmuş, Chairman Advisor of the HEC Ms. Melahat Kutlu, MoD Mr. Fatih Yıldrım, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF Ms. Seda Kurt, NWF	- Information collection on strategy process at the Higher Education Council
12.02.13	Ministry of Development Office of HOD, Governance and Strategic Management Dept.	Mr. Kutluhan Taskın, MoD Ms. Melahat Kutlu, MoD Ms. Kathryn Ennis-Carter, NWF Mr. Marko Rillo, NWF	Discussion and further clarification of ToR regarding training target groups, number of training participants - in relation to project planning Initial feedback on inception period analysis and broad project planning

8.3   Documents reviewed during Inception period

2008 Governance Overview for Turkey, "*Turkey 2008 Progress Report*, {*COM(2008) 67*4}, 5/11/2008"

Assessment Turkey 2011: Public Procurement, Support for Improvement in Governance and Management Project (March, 2012)

Assessment Turkey, Support for Improvement in Governance and Management Project (March, 2012)

Country Administration Profile: Republic of Turkey, Division for Public Administration and Development Management (United Nations, 2004)

Diane Warburton, Richard Wilson and Elspeth Rainbow*, Making a Difference: A guide to evaluating public participation in central government*, Accessed on.18.02.2013, available at http://www.sp.gov.tr/upload/Sayfa/47/files/Making_a_Differece_-_A_guide_to_evaluating_public_participation_in_centralgovernment.pdf

Ellie Brodie et al., *Understanding Participation: A Literature Review* (2009), Accessed on 18.02.2013, available at http://www.sp.gov.tr/upload/Sayfa/47/files/Pathways-literature-review-final-version.pdf

Ingrid Prikken and Emre Koyuncu, *Scoping Study Report of Improved Stakeholder Engagement in Strategic Planning Project* (Ankara, 2012)

INVOLVE*, People and Participation: How to put citizens at the hearth of decision making h*ttp://www.sp.gov.tr/upload/Sayfa/47/files/People-and-Participation.pdf

Karamollaoğlu et al.(eds.), *Law No. 6085 on Turkish Court of* Accounts

Ministry of Development, *2012-2014 Medium Term Program* (October 2011)

Ministry of Development, *2013-2015 Medium Term Program: Main Macroeconomic and Fiscal Targets* (October 2012)

Ministry of Development, *Pre-Accession Economic Programme 2012-*2014 (Ankara, December 2011)

Ministry of Development, *Principles of Participation: Implementation Guide for the Designers, Implementers and Managers of Participatory Studies (Ankara, 2012)*

Ministry of Development, *Stakeholder Surveys: The Guide to Preparation, Implementation and Analysis of Stakeholder Surveys in the Strategic Management Processes (Ankara, 2012)*

Mustafa Akmaz, *"How Can We Make Public Financial Management and Control System in Turkey Excellent"*

OECD, Performance Budgeting: A Users' Guide, *OECD Policy Brief* (March 2008)

Oya Torum et al., *Assessment and Needs Analysis Report* "Strategic Management Capacity Building Project" (İstanbul, 2010)

Oya Torum et al., *StratejisT Capacity Building Programs,* "Strategic Management Capacity Building Project" (İstanbul, 2010)

Oya Torum et al.,*Project Final Report,* "Strategic Management Capacity Building Project" (İstanbul, 2010)

Sevil Çatak and Canan Çilingir, "Performance Budgeting in Turkey", *OECD Journal on Budgeting* (Volume 2010/3)

T.R Ministry of Finance, *Public Financial Management and Control Law No. 5018 (Ankara, April 2012)*

T.R Ministry of Finance, *2008-2012 T.R Ministry of Finance Strategic Plan*

T.R Ministry of Finance, *2012 Year Performance Program*,

T.R Ministry of Finance, *The Performance Program Preparation Guideline*

T.R. Prime Ministry, State Planning Organization, *Ninth Development Plan (2007-2012)*

Undersecretariat of State Planning Organization, *2011-2013 Medium Term Program* (September 2010)

Undersecretariat of State Planning Organization, *Bylaw on Principles and Procedures for Strategic Planning in Public Administrations*

Undersecretariat of State Planning Organization, *Research on Strategic Management in the Public Sector: Report of Main Findings* (2006)

World Bank Report No. 36764-TR*, Turkey Public Expenditure Review*, (December, 2006)

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8.4   Procedure for Recruitment and Selection of Office Staff

Preparations by Contractor prior to project commencement

From 7-11 January, 2013, the project director Ms. Karin Plokker visited Ankara to make some initial preparations for the arrival of the Technical Assistance Team (TAT). As a result of this visit, she recruited two office staff members specifically:

- Mr. Kadir Deniz, a training coordinator, administrator and translator with experience of working on EC-funded projects
- Ms. Seda Kurt, a professional interpreter with experience of interpreting for EC-funded projects.

The kick-off meeting took place on the first day of the project on 22nd January, 2013 and was attended by representatives from all parties: the Contractor, the TAT, the Beneficiary, the co-beneficiaries, the CFCU and the EU Delegation.

Positions to be recruited

After the kick-off meeting, an oral and written discussion took place between the parties concerning the job descriptions, corresponding requirements and employment conditions for the four office staff positions specified in the ToR. Specifically, 6.1.3 Support staff & backstopping, specifies that:

- "two project assistants should be employed under TAT. They will assist the key experts in carrying out the project activities and they will also be responsible for doing *all secretarial work*."(italics by Contractor)
- "minimum 2 experienced and fluent translators (for *simultaneous translation* from English-Turkish and Turkish-English) […] should be employed". (italics by Contractor)

At the same time, the CFCU confirmed during the kick-off meeting that preparation, design, implementation of all activities stipulated under the Terms of Reference will be covered under the fees of the experts however material costs (such as printing/duplication/publications) that are emanating from the activities will be covered under the incidental budget. (in conformance with the Clarifications to the Terms of Reference and the Changes to the tender dossier which are part of the Service Contract).

The result of these discussions it was agreed that the Contractor should employ:

- Two project assistants to support the TAT and perform all secretarial work
- Two interpreters for simultaneous interpretation during training activities and other project events.

In consultation with the Beneficiary and the Team Leader, it was decided to continue the employment of the current project interpreter, Ms. Seda Kurt, and recruit one additional project interpreter.

The Contractor published a job advert for the three positions on www.ab-ilan.com (see Annex 1). The official deadline for the applicants to send their CV and motivation letter was February 11, 2013.

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Selection procedure

The selection procedure was agreed with the Beneficiary, who was consulted during various stages of the process. The selection panel consisted of:

- Jurre de Bok – NWF consultant - initial selection
- Elif Akbas - NWF consultant - detailed evaluation
- Kathryn Ennis Carter - Team Leader - personal interviews
- Karin Plokker – Project Director – Chairman of the selection panel

NWF received 107 reactions to the advertisement by February 12th.

- 10 applicants for the position of interpreter only

- 97 applicants for the position of project assistant (some for both interpreter and assistant position)

Based on relevant education and work experience, and the quality (language and content) of the motivation letter, the initial selection of 107 applications resulted in the following breakdown:

- 9 "qualified" candidate interpreters
- 18 "qualified" candidate project assistants
- 7 "possibly over-qualified" candidate project assistants
- 73 "less qualified" candidate project assistants.

The "possibly over-qualified" candidates received an email explaining the responsibilities of the position and commensurate remuneration, after which four of them indicated that they were no longer interested. Some of these may be invited at a later stage to work as junior experts on the project for specific assignments. The others were transferred to the pool of qualified candidates for more detailed evaluation.

Some of these qualified candidates were later reallocated to the category "less qualified" for various reasons (non-native speakers, non-resident, negative feed-back, no longer available).

Project Interpreter

From the nine available candidates, the panel selected Ms. Gamze Okur Yagiz, a member of the Turkish Conference Interpreters Association who has positive experience doing simultaneous interpretation with the in-house interpreter Seda Kurt. An interview with the team leader confirmed her suitability and she has been contracted for the position.

The other interpreters were invited to be included in the pool of short-term interpreters for this project to be contacted for incidental translation and interpretation assignments. Five of them were pleased to accept this invitation.

Project Assistant

The 18 candidate project assistants were evaluated in accordance with the job requirements on a scale of 1-10 (see Annex 2). The highest score was 9 points, which was obtained by 3 of the candidates.

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Because the current project assistant, Mr. Kadir Deniz, also scored 9 points and the team leader was satisfied with his performance to date, the selection panel agreed to continue his employment and recruit one additional complementary project assistant.

The three candidates with the highest scores were interviewed by the team leader, Mrs. Kathryn Ennis Carter. Miss Gözde Damla Çitler was selected and has been contracted for the position.

Advertisement for project assistants and project interpreter

The Nicolaas Witsen Foundation is a not-for-profit organisation dedicated to promotion of administrative reform in transition countries. For our new project with the Ministry of Development in Turkey, we are looking for two **English-speaking Project Assistants** and one **Project Interpreter**. The project is based in Ankara and will focus on improving the Strategic Management Capacity of the public administration. It started in January 2013 and will finish in January 2015.

The Project Assistants and the Project Interpreter will report to the Team Leader (based in Ankara) and to the Project Director (based in the Netherlands). The main responsibilities of the positions are:

Institutional Co-ordinator/Administrator

- Support the technical work of the Project with the beneficiary, co-beneficiary and pilot institutions
- Prepare and maintain the records of various project activities
- Perform reception and client support duties
- Provide secretarial and administrative support to the project team
- Manage the Project's financial administration
- Perform other tasks required by the Team Leader or Project Director.

Training Co-ordinator/Administrator

- Support delivery of training activities and other project events
- Handle the publicity and visibility activities of the project
- Prepare and maintain the records of various project activities
- Perform reception and client support duties
- Provide secretarial and administrative support to the project team
- Perform other tasks required by the Team Leader or Project Director.

Interpreter

- Provide consecutive interpretation for meetings between project experts and Government officials
- Provide simultaneous and consecutive interpretation during project training activities
- Provide interpretation and translation for project conferences and other events or activities
- Perform other tasks required by the Team Leader or Project Director.

We are looking for project staff with the following qualifications:

- a relevant university degree
- computer literacy (Word, Excel, Outlook, Powerpoint, file management, internet)

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- well-organised, accurate, able to set priorities and complete work on time
- ability to work independently without constant supervision
- previous experience of working with government institutions on an EC-funded project is an asset
- For the Institutional Co-ordinator/Office Administrator: good command of English required and experience in financial administration and bookkeeping preferred
- For the Training Co-ordinator/Administrator: good command of English is required and experience in the administration of training-related projects preferred
- For the interpreter, a high level of experience and good references are required.

If you have the above qualifications and look forward to working in an international environment with congenial colleagues, please send your CV with a short motivation letter in English to the Team Leader of the project: Mrs Kathryn Ennis-Carter, SMC.TR.NWF@gmail.com**.**

Evaluation Grid for Project Assistants

(18 candidates evaluated)

Candidate	Gen. qualifications (max. 4 pts)		Motivation (max. 2 pts)	Experience (max 4 pts)				Score (max.10 pts)
Requirements	Degree	English	Letter	Admin	Govt	Projects	Training	Total
Max. score	2	2	2	1	1	1	1	10

8.5 Minutes of Project Kick-Off Meeting 22 January 2013

EuropeAid/131858/D/SER/TR Technical Assistance for Improved Strategic Management Capacity Project

Meeting Notes – Project Kick-Off Meeting

Ministry of Development

22 January 2013

Chairperson: *Kutluhan Taskın, SPO, Head of Governance and Strategic Management Department, Ministry of Development*

Present: *Refer attached attendees schedule, Annex 1.*

Venue: *Ministry of Development, 13th Floor Meeting Room*

Agenda:

1. Introduction – opening by Kutluhan Taskın, SPO for the Project
2. Introduction of parties/attendees
3. Short presentation of the Project
4. Brief information about the consortium and its members
5. Administrative information by CFCU
6. Other issues

Meeting Notes:

Subject	Discussion
Introduction	1. Mr. Kutluhan Taskın, *Head of the Governance and Strategic Administration Department, Ministry of Development,* gave an opening introduction for the attendees and project team. He welcomed all parties and outlined the agenda of the meeting. In introducing the Project, he noted that preparation for this project took three and a half years and that implementing strategic planning in Turkey is in its seventh year. So the 'second generation' of planning is underway. He noted that Turkey has made a lot of progress in strategic management, but that problems have been experienced mainly in relation to co-ordination, implementation and monitoring and evaluation. All these problems relate largely to lack of capacity in the public administration and deficiencies of the system. Turkey needs to now make further improvements in ongoing implementation, particularly in monitoring and evaluation and in addressing the problems of lack of institutional capacity.

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	2. Attendees briefly introduced themselves. Representatives from main beneficiary, co-beneficiaries, pilot institutions were present during the meeting. For complete list of participants please see Annex 1.
	3. Mrs. Kathryn Ennis–Carter, *Team Leader*, NWF, introduced herself and summarized her professional background and experience, in her home country New Zealand and internationally. Mrs. Karin Plokker, *NWF (Nicolaas Witsen Foundation), Project Director,* explained her role in the project. Mr. Marko Rillo, *Key Expert, NWF,* introduced himself and gave some insights about outcomes to achieve. Mr. Stelios Zacharias, Project Manager for LDK, which is a consortium partner for the Project, introduced himself and his expertise.
Presentation of the Project	ahat Kutlu, *Planning Expert, Ministry of Development,* delivered a presentation about the project. She summarized the four major results areas within the project, which embrace the service contract (technical assistance project on improving strategic management capacity) and the supply contract (for development of an IT-based monitoring and evaluation system). She also outlined the three main components of the technical assistance project, being:
	gap assessment of the current strategic management system in Turkey and development of the respective recommendations - by assessing the general framework of the system, including the related legislation and implementation practices of the co-ordinating and pilot institutions
	mprovement of capacity of the institutions which have central guidance and co-ordination roles for strategic management and
	apacity improvement of central public institutions.
	ditionally she highlighted the main activities to be carried out under the related components of the project.
Briefing by the CFCU	Central Finance and Contracts Unit (CFCU) provided a briefing regarding administrative issues. Clarifications were made about selection of non-key experts, office set-up, process for approving missions, experts, time-sheets, incidental costs, schedule of meetings, communication and visibility rules, reporting requirements, submission and approval of reports, working days, work and residence permits. Minutes of matters discussed concerning this part of the meeting is attached as Annex 2.
	ese clarifications were noted by the project team.
Comments made by	ing the meeting the following comments were made by attendees:
	In the project presentation by Melahat Kutlu, mention of the fourth

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attendees	result/component (supply contract) had been made. Consortium members asked for clarification about this fourth result area and the separation of the service contract for technical assistance and the supply contract was explained. The fourth result is not in the Terms of Reference for the technical assistance project and therefore not among the responsibilities of the Consortium for the Strategic Management Capacity Project. However, the training program to be developed under this (service) part of the project will cover modules related to monitoring and evaluation issues, and these training modules will be executed in a complementary manner with the M&E system to be established under the 4th component of the project.
	The importance of improving the integration of the strategic management system was noted, including the need to integrate strategic management, budgeting and monitoring and evaluation all together.
	A representative from the Council of Higher Education (CHE), mentioned about the transformation of the CHE which will bring a new understanding. He noted that the universities (170 of them) are changing, that strategic management should be part of the system and is becoming important and that presidents of the universities will be responsible and accountable for strategic plans and performance under these plans. The representative also underlined the importance of ensuring sustainability of strategic management, which is a key issue. He concluded by emphasizing the necessity of making this strategic management issue a part of institutional cultures.
	During the meeting, some comments had been made about the first component of the project, *gap assessment*. Representatives from different institutions, including the Prime Ministry, said that Turkey has understood the vital importance of the strategic management but has problems in its implementation. The point was made that there has been enough work and training provided on the question of 'why' and what is needed now is to focus on further implementation aspects of the 'how'. It was also suggested that previous evaluations done by ministries and other external technical assistance projects are available, so these should be taken into account in the gap assessment and there is no need to repeat these assessments from a blank slate or to take a long time over the gap assessment. It was also noted that stakeholders need to be included in the gap assessment.
	The representative from the EU Delegation to Turkey noted that the Project is about linking strategic management to the PFMC Law 5018, and reinforced the background to the Project, in relation to progress made in the implementation of Law 5018, which she noted is not fully enacted as from 2008. She then gave some examples about what has been done

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previously by other projects and suggested searching out the lessons learned from these previous activities and projects. In particular, she mentioned the 3 twinning projects which the Ministry of Finance has had, firstly with France (relating to drafting the legislation), with the UK (National Audit Office) which brought together the key co-ordinating institutions for the PFMC 5018 i.e. the Ministry of Finance, Treasury and the Ministry of Development and with Finland, on implementation of the PFMC Law 5018, and finally the project with the Ministry of the Interior on local strategic governance.

The representative from the Ministry of Finance commented that overall problem is the legal framework and that the strategic management system is not fully integrated with the budgeting process. He noted that there is a need for a comprehensive budget policy, not only at the highest level but also at the lower levels. He noted that the Budget classification system is in place but needs to be changed somewhat. He also noted that 'strategic' loses its meaning by overuse and consequent deterioration of the term.

During the meeting, it was stated that stakeholders of the project comprise almost all important public institutions. However, it was suggested by the representative from Treasury that the social security institutions should be included, as these are of significant importance regarding the general budget and the inclusion of the *General Directorate of Accounting* would be beneficial especially for the monitoring and evaluation processes. It was noted that comprehensive, robust and specific guidelines are required for all institutions, which should include SOEs. It was suggested that these entities which have responsibility for Government ownership should be included. They are set up as commercial institutions, but are still working on behalf of the Government. It was also queried whether the gap assessment would include taking 'the corporations' into account.

The methods and target groups for the training that will be implemented under the project were discussed. Attendees asked about the 200 senior managers who will be trained during the course of the project – will they be the same managers who have always been getting the training thus far? Several attendees suggested that training should be organized in a way that focuses on the practical side of strategic management, more than the theoretical side. Also some attendees said that training of senior managers is very important since they are the primary actors of the implementation, but training needs to be organized in a way that can be accommodated by senior managers due to their busy schedules. Senior managers cannot come for several days of training. Consortium members described the methods of training envisaged and noted that that training will be organized with a focus on "on the job training" approach in addition to formal training, which will enable all the

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	stakeholders to practice what they learn from the training. In relation to the time constraints of senior managers, training can be organized as effective and informative seminars/conferences, rather than lengthy days and modules of training.
	Some participants briefly talked about their expectations from key experts. Participants recommended that Turkey should not be treated as on a par with Ex-Soviet Union countries, since Turkey has different characteristics from these countries and is further progressed with reform than many of these countries. Turkey has covered a considerable distance in the strategic management issue, they noted. Moreover, key experts were requested to give more insights about other international models and also concerning the evaluation and monitoring phases of the strategic management process and system.
Conclusion	Iuhan Taskın concluded the meeting and thanked all attendees for their contributions.

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8.5.1 List of Kick-Off Meeting Attendees

	Name	Institution	Title	Phone	E-mail
1	Hasan Gölcük	Ministry of Development	Head of the Department	2946806	hasan.golcuk@kalkinma.gov.tr
2	Necati Doğru	Ministry of Development	Contracted Personel	4945971	ndogru@dpt.gov.tr
3	Halime Yılmaz	Ministry of Development	Planning Specialist	2945933	skaraosm@dpt.gov.tr
4	Osman Yılmaz	Ministry of Development	Expert	2945918	oyilmaz@dpt.gov.tr
5	Erhan Karacan	Ministry of Development	Expert	2945920	ekaracan@dpt.gov.tr
6	Ömür Şahin	Ministry of Development	Assistant Expert	2945940	osahin@dpt.gov.tr
7	Ahmet İnan	Ministry of Development	Assistant Expert	2945938	ainan@dpt.gov.tr
8	Fatih Yıldırım	Ministry of Development	Expert	2945935	fatih.yildirim@kalkinma.gov.tr
9	Ali Karagöz	Ministry of Development	Planning Expert	2945912	akaragoz@dpt.gov.tr
10	Melehat Kutlu	Ministry of Development	Planning Expert	2945939	mkutlu@dpt.gov.tr
11	Kutluhan Taskın	Ministry of Development	Head of Department	2945917	kTaskın@dpt.gov.tr
12	Yasemin Tellal	Prime Ministry - SDU	Prime Ministry Expert	4222973	ytellal@basbakanlik.gov.tr
13	Muhsin Sezgi	Prime Ministry - SDU	Head of the Department	4222980	msezgi@basbakanlik.gov.tr
14	Sibel Özmert	Prime Ministry - SDU	Prime Ministry Expert	4222994	sozmert@basbakanlik.gov.tr
15	Üzeyir Aziz Özeren	Ministry of Interior - GDLA	Unit Head		uzeyirozeren@gmail.com
16	Şebnem Saydam	Ministry of Interior - GDLA	Project Assistant	4224388	sebnem.saydam@icisleri.gov.tr
17	Süleyman Elban	Ministry of Interior	Head of Department	4190781	suleyman.elban@icisleri.gov.tr
18	M. İlker Haktankaçmaz	Ministry of Interior	Head of Department	4190781	ilker.haktankacmaz@icisleri.gov.tr
19	Bilgen Baygut	Under-Secretariat of the Treasury	Financial Services Expert	2047059	bilgen.baygut@hazine.gov.tr

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20	Hüseyin Işık	Ministry of Finance	Head of Department	4151528	huseyin1@bumko.gov.tr
21	Ali Mercan Aydın	Ministry of Finance	Head of Department	415	alimercan.aydin@sgb.gov.tr
22	Sibel Yılmaz	Ministry of Finance	Finance Expert	4151426	sibel@bumko.gov.tr
23	Özgül Ünlü	The Council of Higher Education	Expert	2987830-32	ozgulunlu@yok.gov.tr
24	Prof. Dr. Nihat Erdoğmuş	The Council of Higher Education	Chairman Advisor	5335549999	nihaterdogmus@sehir.edu.tr
25	Mustafa Akmaz	Under-Secretariat of the Treasury - SDU	Head of the Department	2047108	mustafa.akmaz@hazine.gov.tr
26	Umut Özdemir	Delegation of the EU to Turkey	Sector Manager	4598700	umut.ozdemir@eeas.europa.eu
27	Çağlar Evren	CFCU	Contract Manager	2954900	
28	Gönül Kılıç	CFCU	Finance Manager	2954900	gonul.kilic@cfcu.gov.tr
29	Dilek Ceylan Çalışkan	CFCU	Contract Manager	2954900	dilek.ceylan@cfcu.gov.tr
30	Esra Keleş	Ministry for EU Affairs	EU Affairs Assistant Expert	2181687	ekeles@ab.gov.tr
31	Kathryn Ennis Carter	NWF -Strategic Management Project	Team Leader	5399486614	Kathryn.Ennis@clear.net.nz
32	Karin Plokker	NWF -Strategic Management Project	Project Director		plokker@nwfreform.org
33	Marko Rillo	NWF -Strategic Management Project	Key Expert	+372 5040260	marko@rillo.ee
34	Stelios Zacharias	LDK -Strategic Management Project	Project Consortium Partner	+302 108196765	stelios@ldk.gr

8.5.2 Annex to the Minutes of the Meeting provided by CFCU

1. Period of implementation of the tasks,

✓ Commencement date of the contract is 22.01.2013 and the implementation period is 24 months. All the activities must be completed before end of this period.

✓ According to the ToR office accommodation should be provided and at least 2 project assistant should be hired by the Consultant.

✓ Regarding the administrative issues it was confirmed that the Consultant received letter of the CFCU dated 27th of December 2012.

2. Experts

✓ Updated original "Exclusivity and Availability" forms should be submitted to the CFCU for each Key Expert.

✓ Passport or ID numbers of all Key/Non-Key Experts will be communicated to the CFCU officially.

✓ If "Residence Permit" is required for foreign experts, the Consultant shall officially submit copy of passports of experts and request a letter from the CFCU for obtaining the permit from the Turkish National Police.

✓ The selection procedures used by the Consultant to select these other experts shall be transparent, and shall be based on pre-defined criteria, including professional qualifications, language skills and work experience. Non –key experts should have at least 5 / 10 years of past experience (for junior / senior) in the relevant fields.

✓ Selection of Non-Key Experts will be subject to the final approval of the CFCU. Please note that, for home-based / weekend working of experts prior approval of the CFCU shall be obtained.

✓ All time sheets, both for the Key and Non-Key Experts, must be approved and countersigned by the Beneficiary and all the originals of these documents must be kept by the Consultant, but their copies should be sent to the Contracting Authority as attached with Interim Reports.

✓ Templates that will be annexed to the request regarding the incidental, NKE and timesheets will be sent to the Consultant by the CFCU.

✓ Key experts must spend minimum 90% of their total working days in Turkey with Beneficiary.

✓ According to the GC article 13.2, Consultant shall obtain medical insurance for itself and other persons employed or contracted by it under the contract for the period of implementation of the tasks.

3. Incidental

✓ Provision for the incidental expenditure is €412,000.

✓ In utilization of the Incidental Expenditure Budget, prior approval of the CFCU shall be obtained.

4. Reporting

✓ The project reports shall be submitted to the parties in accordance with the schedule stated in Article 7.2 of the ToR and suggested to be prepared in line with PCM Guidelines, Section 7.

✓ General procedure regarding the report approval will be as follows:

- The draft report is sent soft copy to all relevant parties (CFCU, Beneficiary and EUD) specified in the ToR. Electronic version of the report should be submitted to the CFCU with an official letter.

- The comments are received by e-mail correspondences (no hard copy is needed) from the parties.

- Once all parties are agreed on the final draft, the hard copy of the final version is sent to the CFCU.

- After receiving the written agreement of the Beneficiary(approval of the SPO), CFCU approves the report via an official letter is needed.

- The approved report is sent to the parties written in the contract by the Consultant.

✓ All reports (interim and technical reports) should be submitted to the parties (Beneficiary, CFCU and the EUD) max. 15 days following the end of each reporting period.

✓ Standard contents of the Inception report are:

- analysis of the project and currents situation

- planning project duration

- planning of man-days allocation for all key experts and NKE

- planning of next reporting period

- in the reports please summarize the all activities in one table and also indicate the deadline according to the ToR. In addition to that, proposed deviations from ToR / Technical Offer should be separately explained in the table.

- Interim reports must be prepared every 6 months during the implementation period and report shall consist of a narrative and financial section.
- In the narrative part summary of the progress since the project start up should be mentioned.
- Utilization table of resource for incidental and for man days should be prepared in the interim reports.

✓ Changes proposed in the Inception Report even the report is approved- will not mean that the contract is modified. The reports are not amendment tools. Proposed changes in the reports shall be approved via an Administrative Order / Addendum.

5. Tax and Customs

✓ The Finance Manager, referring to the related web page (http://www.cfcu.gov.tr/tax_exemption.php?lng=en), informed the Contractor about procedures regarding the VAT exemption. Flowcharts "Illustrating the VAT Exception Process" were also delivered to the Contractor. In addition to that, it was reminded that the Contractor shall complete all necessary formalities with the relevant parties.

6. Visibility

✓ All communication and visibility activities should be carried out in close co-operation with the CFCU. The CFCU is the main authority in charge of reviewing and approving visibility-related materials and activities. Before initiating any information, communication or visibility material and activity, Consultants and implementing partners should seek the approval of the CFCU in writing.

7. Retroactivity

✓ It is very important to note that no retroactive approval is given by the CFCU. Therefore, the Consultant / Beneficiary shall submit their requests before the initiation of the activity in a way that there should be reasonable time for the CFCU to examine and to make a decision on it.

8. Amendment

✓ Any amendment to the contract must be made via an Administrative Order (to be issued by the CFCU) or an Addendum (to be endorsed by the EUD). In both cases, the Contractor has to address their request to the CFCU. Without written response of the CFCU, no amendment can be made to the

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contract. Moreover, CFCU does not approve retroactive requests. A amendment request must be provided with proper and well justifications in line with Article 20 of General Conditions and should be submitted in due time.

9. The Steering Committee

✓ Steering Committee meetings will be organized quarterly. Organization of the meetings is under responsibility of the Beneficiary.

10.   Request for Payment

The Finance Manager informed the Contractor about payment procedures;

The payment requests/ invoices except pre-financing should be submitted to the CFCU with the following enclosures **in order to be admissible**:

✓ A financial report which shall indicate the expenditure of the reporting period, the cumulative expenditure and the balance available.

✓ A detailed list of expenses for fees and incidentals.

✓ Copies of timesheets of experts which are signed by the expert, contractor and approved by the Beneficiary.

✓ The approvals taken from the CFCU (The Non-key Expert's approvals, the field visit /mission approvals if applicable, working at weekend or national holiday approvals if any, Incidental approvals)

✓ For Incidental Expenditures, supporting documents (invoices, receipts, tickets, boarding passes for flights, etc.) should be submitted in financial report.

✓ Boarding passes/bus tickets/ train tickets or accommodation invoices for per-diem declaration should be submitted.

✓ For interim and final payment, an expenditure verification report should be submitted to the CFCU with the financial report.

✓ Original payment request/invoice is required for starting the process of a document; fax is not an acceptable document.

✓ All payment claims must be official invoices/requests in accordance with national regulations. As a minimum, they must be made out on company letter headed paper, signed by an authorised person within the company (if this is required by law) and show the following data:

▪ full name and address

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- full bank account details (bank name and address, account number, IBAN code, name of account holder and specific codes such as SWIFT, BIC etc. where needed)
- the complete contract number (to be found usually on the first page of the contract).
- the complete contract title (to be found usually on the first page of the contract)
- invoice number
- date of issue of the invoice
- the type of your payment claim (e.g. pre-financing payment, interim payment, final payment)
- contact person for queries related to the payment claim (name, position, telephone and fax number, e-mail)

11.   Communication

✓ Agreement of the Beneficiary shall be ensured for any request which is sent to the CFCU for approval.

✓ The "Project Manager" in the ToR refers to PAO-CFCU Director, Mr. Muhsin Altun. All official letters shall be sent to the attention of Mr. Muhsin Altun.

✓ Any oral instructions or orders shall be confirmed in writing.

✓ All written communications shall be in English.

✓ Contract title and number should be referred in correspondences.

✓ At each meeting, attendance sheet and minutes of the meeting should be kept. Minutes of meeting should be prepared by the Consultant and sent to the parties after the meeting. Comments should be collected in 1 week.

✓ Agenda and timing of the meetings should be sent to all parties while asking for meeting/before the meeting.

✓ The Consultant shall submit complete list of the staff that will be working within the project (except for the Experts) and shall inform the CFCU about entitlement of the project staff.

8.6   List of Institutions for Component 3

1-   Ministry of Justice - 2010-2014

2-   Ministry of National Education - 2010-2014

3-   Ministry of Health

4-   Ministry of Transport, Maritime and Communications

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5- Ministry of Labour and Social Security

6- Ministry of Energy and Natural Resources - 2010-2014

7- Ministry of Culture and Tourism - 2010-2014

8- Ministry of Family and Social Policies

9- Ministry of Science, Industry and Technology

10- Ministry of Environment and Urbanization

11- Ministry of Forestry and Waterworks

12- State Personnel Presidency (Etkileme kapasitesi)

13- Presidency of Disaster and Emergency Management

14- Turkey Public Health Agency

15- Turkey Public-owned Hospitals Agency

16- General Directorate of Forestry

17- Turkish Standards Institute

18- Turkish Patent Institute

19- Presidency of Development and Support of Small and Medium Size Enterprises - 2011-2015

20- Presidency of Turkish Cooperation and Coordination Agency

21- General Directorate of State Waterworks – 2010-2014

22- General Directorate of Pharmaceuticals and Pharmacy

23- Social Security Agency - 2010-2014

24- Administration of Highways