



GOVERNMENT OF KENYA



UNITED NATIONS DEVELOPMENT PROGRAMME

2KEN08/234: IMPROVING BUSINESS PROCESSES AT THE MINISTRY OF FOREIGN AFFAIRS FOR ENHANCED EFFECTIVENESS, EFFICIENCY, ACCOUNTABILITY AND TRANSPARENCY IN DELIVERY OF SERVICES

PROJECT DOCUMENT

Approved on behalf of	Signature	Date	Name/Title
Ministry of Foreign Affairs		29/7/08	Thuita Mwangi Permanent Secretary
Ministry of Finance	 <small>MINISTRY OF FINANCE, P. O. BOX 30002, NAIROBI.</small>	25/8/08	Joseph Kinyua, Permanent Secretary
United Nations Development Programme		28/08/08	Tomoko Nishimoto Country Director

Implementing Partner: **MINISTRY OF FOREIGN AFFAIRS**

Start Date and Duration: **JULY 2008 – JUNE 2009**

Country: Kenya

**UNDAF Outcome:** Enhanced capacities of key national and local institutions for improved governance

**CPAP Outcome:** Strengthened capacity of key institutions for enhanced efficiency, effectiveness, transparency and accountability in the formulation and delivery of pro-poor planning and policies. (CPAP para 48, a).

**Expected Output(s):**

- a) A functional online framework for administration of diplomatic privileges in place,
- b) Institutional and human resource capability at the Ministry of Foreign Affairs for timely and effective delivery of services enhanced,
- c) Linkages and coordination between key government agencies on diplomatic issues enhanced,

Implementing partner: Ministry of Foreign Affairs, Protocol Division

Responsible parties: Government of Kenya / UNDP - Kenya

**Collaborating parties:**

Office of the President – E-government secretariat, Ministry of Information and Communications, Kenya Revenue Authority, Kenya Bureau of Standards, Kenya National Bureau of Statistics, State Law Office

**Project summary**

**i) Outcome ii) Outputs iii) Activities iv) Inputs**

The rationale for the project is founded on ICTs (Information, Communication Technologies) centrality in today's networked world and they have been shown to be important in improving economic growth, competitiveness as well as improving participation and transparency. The aim of this project therefore, is to improve the business processes at the Ministry of Foreign Affairs a process and product that will ultimately enhance good governance and realization of national development objectives.

i) The long term **outcome** that this project contributes to is strengthened capacity of key institutions for enhanced efficiency, effectiveness, transparency and accountability in the formulation and delivery of pro-poor planning and policies. (CPAP para 48, a). Specifically, the project aims at strengthening the capacity of the Ministry of Foreign Affairs for enhanced efficiency, effectiveness, transparency and accountability in delivery of services to national and international clients. ii) The **outputs** which will contribute to the realization of this outcome are a) A functional online framework for administration of protocol and diplomatic transactions in place, b) institutional and human resource capacity at the Ministry of Foreign Affairs for efficiency and effective delivery of services enhanced, c) linkages and coordination between key government agencies on diplomatic issues enhanced iii) The **activities** that will contribute to the achievement of the outputs are a) Undertaking of a baseline survey to identify the Information, Communication and Technologies need of the protocol division at the Ministry of Foreign Affairs as well as the long term sustainability options for such a system b) design, develop and deploy a centralized database for information storage and retrieval with an online interphase for diplomatic information, c) undertake a comprehensive on job capacity development based on system requirements for Ministry of Foreign Affairs, key government departments and other key stakeholders d) digitization of hard copies of existing protocol records to the database system e) launch of the framework and platform f) publicity and information sharing g) capacity development exchange visits to Canada and Singapore iv) the **inputs** required to realize these activities are: Technical Assistance and support staff to the Ministry of Foreign Affairs, Training Workshops, Consultancies (Short term and long term) and sub-contracts, studies and baseline surveys, curriculum development and training, Travel (locally an internationally), Stationery, ICT equipment, Refurbishments of set up structure at the MFA, Publicity in the print and electronic media, editing, printing and publishing works.

Programme Period: 2004-2008

Programme Component: Empowerment

**Project Title:** 2KEN08/234 Improving business processes at the Ministry of Foreign Affairs for enhanced effectiveness, efficiency, accountability and transparency in the delivery of services

Project Number: 00062391

Proposal ID: 00050466

Project Duration: 1 Year

Management Arrangement: NEX

Budget USD: 325,000

General Management Support Fee: USD:

Total budget: USD: 325,000

Allocated resources: USD: 325,000

- Government
- Regular USD: 325,000
- Other:
  - Donor
  - Donor
  - Donor
- In kind contributions

Unfunded budget:

## **Introduction**

### **Organizational Background**

The Ministry of Foreign Affairs here by referred to as MFA was established after Kenya became independent in 1963 to articulate Kenya's Foreign Policy. Initially, the Ministry remained a "Ministry of State for Foreign Affairs" under the Office of the President until 1969 when it became a fully-fledged Ministry headed by a Minister. Since its establishment in 1963, the Ministry has continued to pursue a Foreign Policy that is based on fundamental principles, particularly the promotion of peaceful co-existence, respect for sovereignty and territorial integrity of other countries, and adherence to the Charters of the United Nations and the African Union. In recent years, however emphasis has diversified to include economic and trade issues and regional integration.

The Ministry has established forty eight (48) Missions and three (3) Consulates General. UNEP, UN-HABITAT and the Kenya Embassy to Somalia (to relocate to Mogadishu in due course) are the Missions in Nairobi.

The Ministry oversees the activities of 80 foreign resident Embassies, 7 non-resident Embassies, 19 Consulates as well as 46 International Organizations, which are based in Nairobi. The presence of these Missions and International Organizations in Nairobi has contributed immensely in reinforcing Nairobi as a regional diplomatic hub, and the Headquarters of the United Nations in Africa. The Minister is the political head of the Ministry assisted by two Assistant Ministers, while the Permanent Secretary is the CEO, and the accounting officer of the Ministry.

### **Mandate and functions**

#### **Mandate**

The MFA is mandated to articulate Kenya's Foreign Policy, as per the Presidential Circular No. 1/2008 on the Organization of Government states the mandate of the MFA as:

- Foreign Policy
- Bilateral and Multilateral Relations
- International and Regional Organizations
- Kenya Embassies Abroad
- Foreign Missions in Kenya
- Treaties, Conventions and Agreements
- Diplomatic Privileges and Immunities
- State and Official Visits
- Protocol Matters
- Consular Services
- Joint Commissions with other Countries
- Government Spokesman on foreign affairs and global issues
- Peace Initiatives
- Commonwealth Affairs
- Kenyans in Diaspora
- International Jobs Office
- Foreign Serve Institute

## **Mission and Vision of the MFA**

The vision of MFA is to be a World-class diplomatic service in pursuit of Kenya's national interest globally. This is further elaborated through its elaborate mission statement in line with articulation of Kenya's foreign policy in the interest of its people through effective diplomatic engagement. In line with achievement of the MFA vision, a number of normative values as enumerated in the strategic plan have been defined to guide the MFA in achieving this vision. The values include: fostering patriotism, cultivating team spirit, promoting professionalism in the delivery of services, adherence to discipline and integrity and equal treatment of all member of staff.

## **SITUATION ANALYSIS**

### **Background**

#### **Kenya ICT Policy**

There is a global recognition of the developmental opportunities as well as challenges brought about by the fast-paced information age whose hallmark is information and communication technologies (ICTs). ICTs play a dramatic role in enhancing economic and social development by acting as a production sector for economic growth and an enabler for social development. ICT applications can provide important milestones for improvements in productivity and quality in various sectors of production, social, public administration, and in provision of services. This means that ICT plays an important role in a nation's fight against poverty and the realization of the Millennium Development Goals. The old debate, about choosing between ICTs and other development imperatives, has shifted from one of trade-offs to one of integrating the two approaches in order to harness the benefits of sustainable economic and social development.<sup>1</sup>

The formulation of this project document builds on Kenya's National ICT Policy (2005) and ICT Strategy for Economic Growth (2006) that provided an important step towards an ICT enhanced state. One of the key objectives of the policy is to promote the deployment and exploitation of information, knowledge and technology within the economy and society as key drivers for socio-economic development. This will be supported through the modernization and expansion of Kenya's ICT infrastructure and services to improve universal access and service as well as quality of service.<sup>2</sup>

In setting out the direction, the policy has laid emphasis on the development, deployment and exploitation of ICTs to aid the development of other sectors of the economy. It also provides a basis for facilitating the socio-economic development of the country in a globalization era, dominated by information and knowledge-based economies. Additionally, the Government recognizes the broad challenges involved in living in an information age and knowledge economy, and in harnessing the potential of ICTs for economic growth and poverty reduction.

The ICT strategy is based on four guiding principles:

- Infrastructure development,
- Human resource development,

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<sup>1</sup> Ministry of Information and Communication in Kenya, [www.information.go.ke](http://www.information.go.ke)

<sup>2</sup> Kenya ICT Strategy, 2006

- Stakeholder participation and
- Appropriate policy and regulatory framework.

These four principles have been taken into consideration in the process of development of a programme of collaboration between the UNDP and the MFA-protocol division. This is from the recognition by the Government of Kenya that development of the right balance of ICT skills and knowledge that are anchored in collaborative partnerships between the government and all stakeholders in transforming a shared vision into reality through programs and policy response, is a national imperative.

### **The E-Government Strategy**

One of the main priorities of the e-Government strategy is to contribute to the realization of National Development Goals and objectives for Wealth and Employment Creation. The strategy notes that effective operationalization of e-Government would facilitate better and efficient delivery of information and of services to the citizens, promote productivity among public servants, encourage participation of citizens in Government and empower all Kenyan's.<sup>3</sup> Further, the strategy defines e-Government as the use of a range of information technologies, such as wide area networks, internet and mobile computing by government agencies in the transformation of government operations in order to improve effectiveness, efficiency, service delivery and promotion of democracy. These would contribute to supporting government operations, provide investment that are needed in people, tools, policies, processes and in the provision of government services.

These two frameworks form an integral element in the formulation, roll out, capacity development and implementation of the proposals presented in the consequent sections of this project document. UNDP has been involved in national process that have lead to putting place of the ICT and E-government strategies.

### **Justification**

#### **The protocol Division at the Ministry of Foreign Affairs**

The Protocol Department is charged with the execution of the Government's International obligation as signatory to the Vienna and Geneva conventions on diplomatic and consular relations. The Department is also responsible for the management of Presidential visits abroad and for receiving all state and official guests in the country.

The Divisions in the Protocol Department are: protocol matters, state visits, and consular matters. For the division to realize its goal and to fit in the ministry vision and mission the division is embarking on a process of adopting an increased use of ICT in provision of its goods and services. The driving force for the MFA protocol Division towards use of IT is hinged around the following two core philosophies.

Not; "what can IT do for the Protocol Division?" But rather, what do we want IT to do for the Protocol Division?

"Changing role of IT"

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<sup>3</sup> Kenya E-Government Strategy, 2004

The real power of technology is NOT to make the old protocol process work faster BUT enable the organization to shift from 'old' concepts and create new ways of working.

### **The current IT situation**

The MFA is in the fore front of implementing the E-government strategy and has already a structured cabling within the Ministry's building and about 260 computer systems and a modern website that support content management. The ICT Division support's the entire Ministry's departments, it has 4 high skilled ICT officers. Though ICT remains at the backbone of the ministry's operations limited allocation of funds to support its IT based projects hinders ICT growth. The Ministry recognizes that an ICT infrastructure and applications dimension would provide the enabling capabilities required for e-governance to operate effectively and efficiently. ICT would also enable required information management and knowledge management systems in terms of making them more readily available and easily accessible regardless of their location in space and time. Additionally, ICT would provide communication facilities that make stakeholder engagements more dynamic and timely. Furthermore, new ICT applications would support electronic transactions.

### **Capacity development for achievement of impact and long term sustainability**

Human capital dimension of an ICT platform would provide the capabilities required to make effective use of available institutional infrastructure and resources for policy formulation and implementation. It is observed that three categories of skills and competencies are essential to an effective human capital capability: technical capital, structural capital and social capital.

- Technical capital relates to tacit knowledge that individuals members bring to bear on their roles and responsibilities. It provides specialized abilities in specific areas of technical engagements so as to guide the actions of others.
- Structural capital on the other hand relates to internal institutional arrangements that facilitate complementary fusion of contributions from different structural arrangements. Structural capital ensures that specific systems and applications synergistically interoperate to maximize the benefits and engagements in which disruptive and counter-productive consequences are minimized or eliminated altogether.
- The social capital component of human capital focuses on social relationships and networks that enable mutually beneficial exchanges take place. The need to know who knows what and where such pockets of knowledge are located within a social network is important to attract and obtain required attention to specific situations and circumstances. Social capital derives its importance from the increasing complexity of the new organizational and institutional environments. The complexity makes it impossible for individuals to acquire all the skills and knowledge required to accomplish all the tasks needed. But even if this is possible, the time required for this is too long to be tenable.

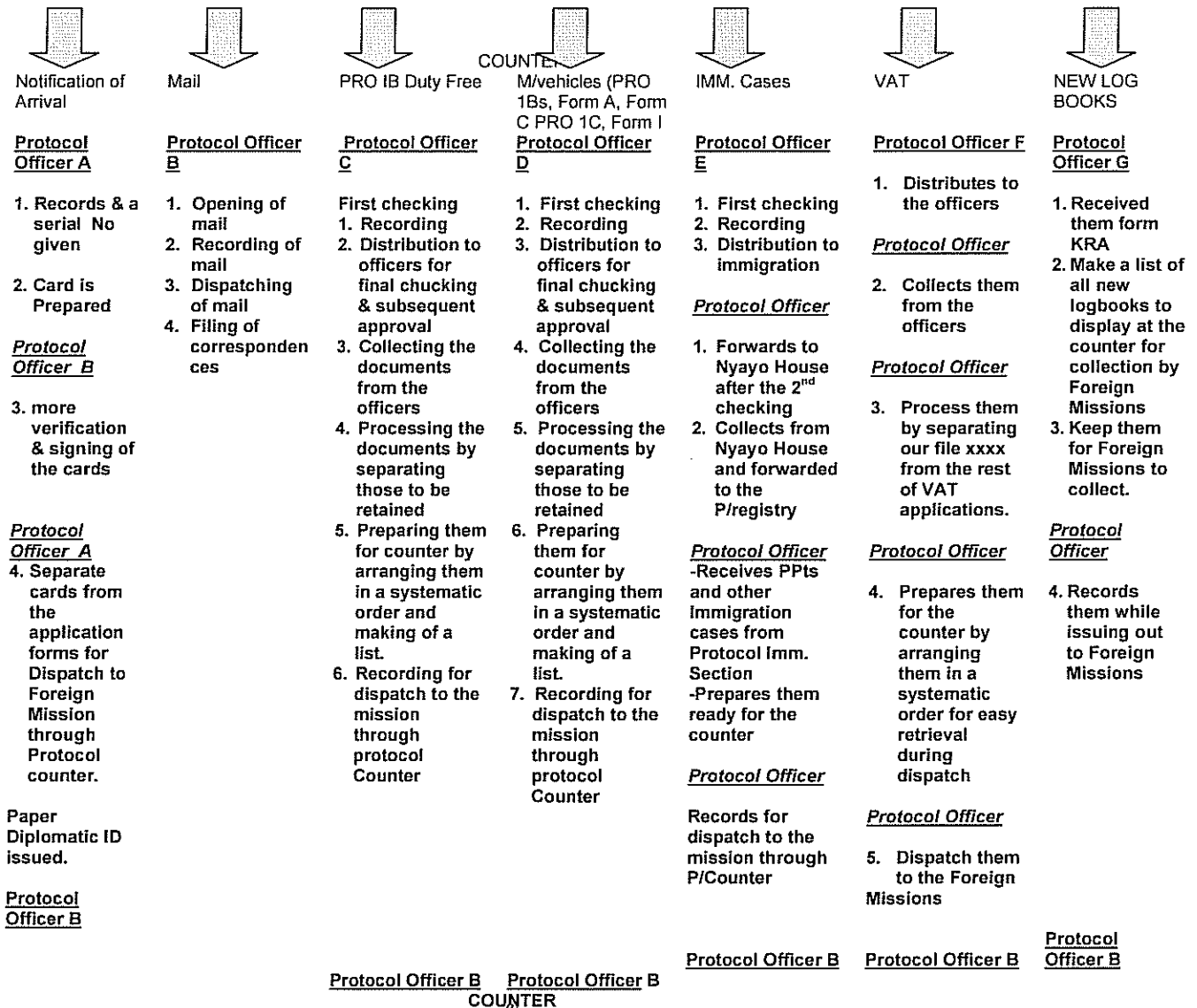
In light of the above, the project aims at tapping into local knowledge as well as developing a capacity development programme for continuous and effective achievement of outputs beyond the tenure/duration timelines of this project. In addition the envisaged project will promote local ownership, mindset leveling on ICT and its role in enhancing efficiency in service delivery.

An integrated protocol management information system managed through a capacity built staff would improve data accuracy, availability, efficiency transparency and accountability through:

1. Reducing time taken to manually process diplomatic ID which normally takes almost 5 working days, to one working day.
2. Reducing the cost of paper work for VAT forms, and application of Diplomatic Id forms which can be undertaken online.
3. Reducing chances of diplomatic community canvassing or abuse of the privileges accorded by the Republic of Kenya by setting up a database system for tracking of records. Unlike the manual filling and tracking method whereby the protocol department has identified instances of abuse of diplomatic rights.
4. Eliminating duplication of processes that are handled by other government agents for example diplomatic logbooks issued by Kenya Revenue Authority are then taken to MFA for recording then issuing them to the concerned mission. A KRA database with required information would be shared online between with MFA through an online interphase and hence no Log books need to be physically moved between the concerned ministries.
5. Sharing of protocol information over the network to ensure shorter time for decision making/approval, rather than the manual way where it takes time to trace a file in the registry and then make a decision, or at times the records miss in he piled up registry that again delays decision making.
6. Improve accurate reporting for effective decision making process

It is upon this background that the United Nations Development Programmes and the Ministry of Foreign Affairs will be engaging in the process of putting in place an integrated Protocol Information Management System that would ultimately improve operational efficiencies of the Ministry of Foreign Affairs on Protocol matters as well as enhance information generation, storage and sharing within the MFA as well as with other key Government Ministries and Department that MFA conducts business with. The system development process will be undertaken in close conjunction with other Government departments in line with harmonization of Information management systems within the Government and ensuring longer term synchrony and integration as provided for in the ICT strategy for Kenya. Once fully operationalised, the system would be upscaled to other departments under the MFA. Ultimately, the implementation of the project will be in line with UNDP strategy for Africa as stipulated through its capacity building for pro poor growth and accountability framework. Operational dynamic of such a system are stipulated in the subsequent sections of the project document.

## Protocol process analysis





## Documentation of the Current Protocol Systems

### PROCESS FLOWS

1. Registration of new arrivals
2. Application for Authority to Purchase Services and Locally Manufactured Good Free of VAT by Entitled Foreign Personnel in Kenya.
3. Application for Authority to Purchase or Import Duty-Free Goods(Except Liquor, Tobacco) by entitled Foreign Personnel in Kenya
4. Application for Authority to Dispose of Vehicles Purchased Duty Free
5. Application for Authority to Purchase Duty-Free Liquor, Tobacco by entitled Foreign Personnel in Kenya
6. Notification of employment of local staff engaged by foreign
7. Notification of Departure.
8. Transfer of Ownership of motor Vehicle or Trailer

### TRANSACTIONS

Registration of new arrivals-----PRO A Form

- Once the new personnel arrive, at the point of entry they are issued with a Visitors Pass/Entry Stamp-By the Immigration Department.
- When applying for the Notification of Arrival a Copy of Visitors Pass is attached to the 'Notification of Approval' form which should be cross checked to ensure correct information is filled in the form.
- Information is verified.
- If the information is correct then Depending on the Mission an Appropriate ID Card is issued
- If Married and with children between the age 18-22, they are issued with an ID card of the same as the personnel.

Application for Authority to Purchase Services and Locally Manufactured Goods Free of VAT by Entitled Foreign Personnel in Kenya.-----PRO

When the personnel want to purchase items VAT is accepted from the Goods and Services (Purchases from Designated Selling Places):

NB, Not all Goods and Services are exempted from VAT.

Application for Authority to Purchase or Import Duty-Free Goods (Except Liquor, Tobacco) by entitled Foreign Personnel in Kenya-----PRO 1 B Form.

For importing goods less Liquor and tobacco duty –free

These can be split into two;

- Vehicles/Motor vehicles
- Other goods

#### Vehicles

There are some rules that are followed when importing vehicles

1. For married personnel they can only import two vehicles STRICTLY for a single personnel they are allowed to import STRICTLY only one Vehicle.
2. Another vehicle can only be imported when the other vehicle has been disposed and has completed the process of disposal up to Approval level.

Application for Authority to Dispose of Vehicles Purchased Duty Free

Used for disposing Duty Free Imported Vehicles

For the personnel to a vehicle there are reasons that are to be given for disposing the vehicle and conditions for disposing the vehicles

#### Conditions

The personnel must have stayed with the vehicle for at least three years. Some reasons can make these rules to be nullified

If the vehicle was involved in a road accident;

- a) To accept these as a reason the following must be submitted
  1. Photograph of the write off
  2. A report from the police.
- b) If the personnel has been recalled back to their country before the three month period is over
- c) If the vehicle is mechanically bad  
To accept this reason you must submit a report from the garage (depending i.e. it could be i.e. a garage from CMC, DT Dobbie etc)
- d) If the vehicle is not economical

Disposal can be Sale or Non Sale.

Application for Authority to Purchase Duty-Free Liquor, Tobacco by entitled Foreign Personnel in Kenya

Purchase of Duty Free Liquor, Tobacco can be of two categories

1. Official
2. Personal

#### **Personal;**

- For purchasing of Liquor under personal category, it is divided quarterly (4 times a year).
- For each quarter one can only buy once in a quarter and regardless whether per quarter you are entitled for 100 bottles of beer and you buy 50 you cant purchase the remaining 50 within that quarter or carry that 50 bottles to the next quarter. It's not redeemable.
- There be a way to specify the maximum number of i.e. Beer, Spirit, Tobacco and Wines an individual can buy per quarter.

#### **Official;**

- No restrictions for official purchase.

Notification of employment of local staff engaged by foreign

When a personnel has an employee to carry out for her/him personal duties i.e. house girl then they ought to fill the following form for these people.

Notification of Departure

When it comes a time the personnel is to leave the country then the personnel is required to fill in a 'NOTIFICATION FOR DEPARTURE' form. An original of the IDENTITY issued depending on the mission should be attached / submitted together with this form.

NB: These is also a reason for a personnel to dispose a vehicle

Transfer of Ownership of motor Vehicle or Trailer

This is normally done at KRA not at the Ministry, but the ministry has to approve and effect the changes to their records about the new ownership of the vehicle.

#### SUPPLIERS

Define suppliers to be transacting with.(Will be applicable i.e. when purchasing of Services and locally manufactured Goods)

#### GOODS AND SERVICES

Define goods and services that the suppliers and the employees supplies/requires respectively. Specify which items are VAT exempted and which are not.

#### REASONS FOR PRODUCT DISPOSAL

1. Define reasons why vehicles are to be disposed I.e. Write-off, donations, Personnel recalled etc
2. Attach for each reason a document required to verify the claim if applicable.

#### DOCUMENTS FOR DISPOSAL OF VEHICLES.

Define the various documents that are required for a certain reason to be completely accepted i.e.

Write Off-

- Pictures of Write Off are required
- Police Letter if it's a road accident etc

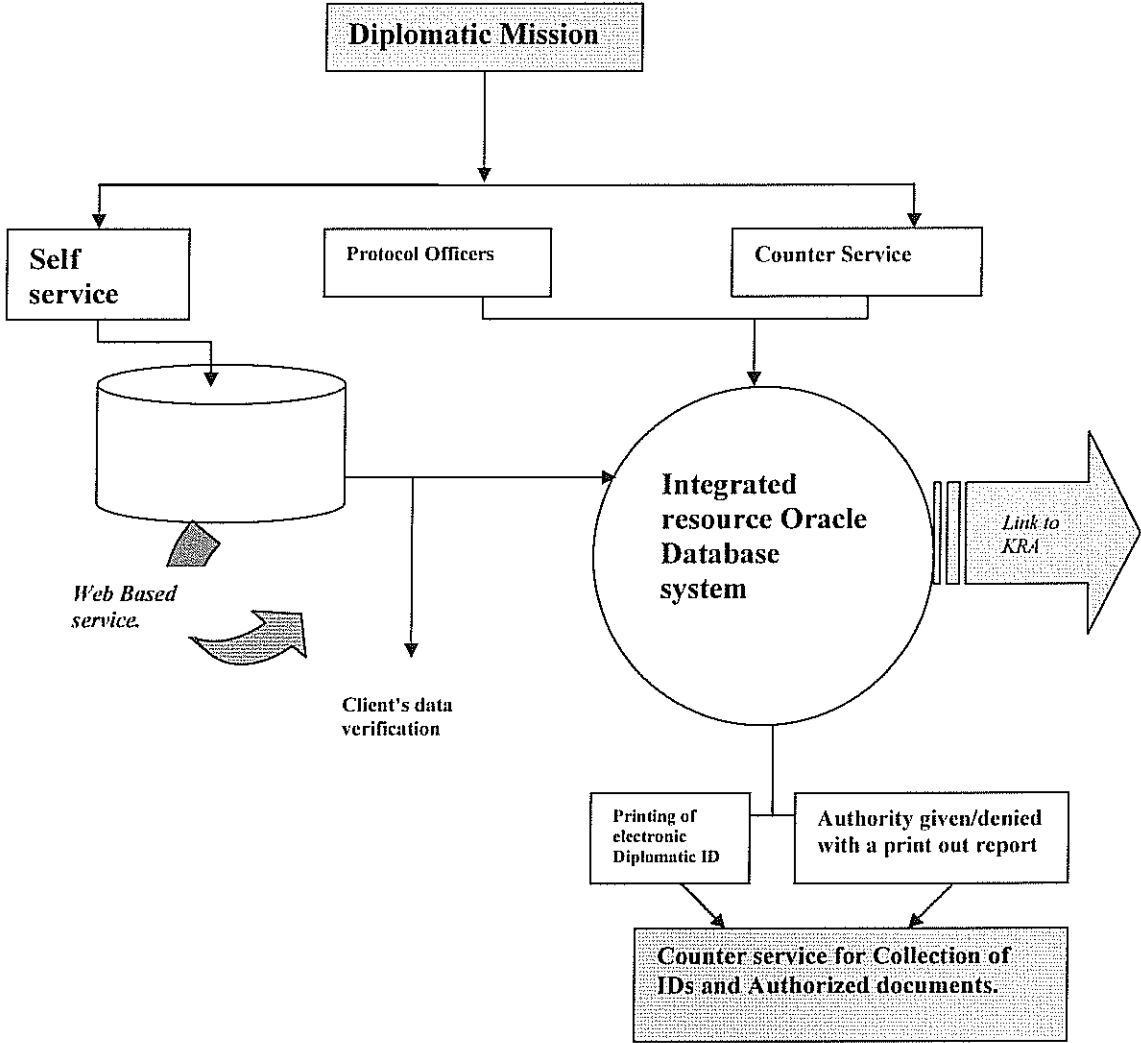
#### DEFINE CUSTOMERS

These are to be entered when disposal of Vehicle is of type 'Sale'

#### DEFINE VEHICLE DETAILS

It's the work of KRA to register the vehicles but to keep track of who has which vehicle there be a provision to enter the data for the vehicle so as to ease search for record of vehicles incase of transaction like 'Change of Ownership of Vehicles and Trailer'.

Proposed protocol Frame work



## **Expected Results**

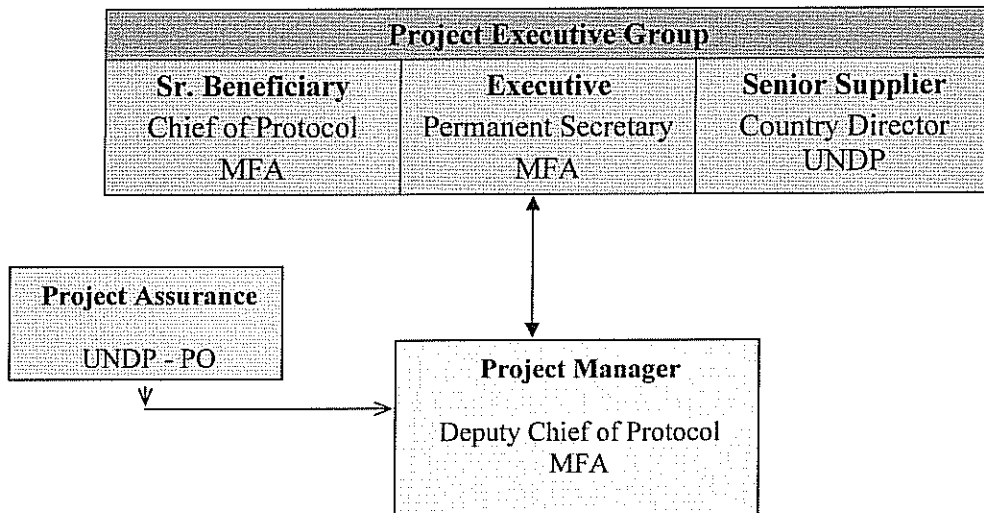
By improving business processes in the operations of the MFA protocol division using ICT, the resulting benefits include the reduction in waiting time to respond to the citizens and diplomatic requirements, shortening decision making processes, timely delivery of services to MFA clients beyond geographical borders and enhanced accountability for improved governance.

Additionally awareness would have been created on the MFA's commitment to ICT application to enhance business processes in the government. Information would readily be available through different media such as internet increasing the levels of access beyond the provision of services.

## **Management Arrangements**

The United Nations Development Programme will work closely with the MFA – Implementing Agency. UNDP will provide as is requisite technical support for implementation and management of the activities under the Annual Work Plan, whilst the Implementing Agency will implement the activities on behalf of the Government of Kenya.

**Project Management Structure**



Financial Management and Reporting

1. Financial Accountability:

The Implementing Agency shall be responsible for ensuring that the allocated resources for the Annual Work Plan are utilized effectively in funding the envisaged activities. It will also maintain records and controls for the purpose of ensuring the accuracy and reliability of the Annual Work Plan's financial information. The accounting system in place shall ensure that such disbursements are within the approved budgets. The accounting system shall track the advances received and disbursed besides capturing expenditure records through direct payments made by UNDP on behalf of the Implementing Agency. United Nations Development Programme Country Office shall make direct payments to other parties for goods and services in accordance with the Annual Work Plan. Documentation of payment by the country office must be made available to the Implementing Agency. A register for such requests shall be maintained to facilitate follow-up.

2. Support Services:

UNDP, upon request of the Implementing Agency, may provide the following support services:

- Identification, assistance with and or recruitment of project or programme personnel;
- Identification and facilitation of training activities, including fellowship, short term training and study tours;
- Access to UNDP-Managed global information system, the network of UNDP country offices and specialized systems containing operations information, including roster of consultants and providers of development services

The cost of these services, calculated on the basis of the universal price list will be recovered by the project.

3. Financial Reporting:

The Implementing Agency must submit a quarterly financial report to United Nations Development Programme Country Office no later than 15 days after the end of the quarter. The financial report must be in accordance with the UNDP format. The submission of the financial report is mandatory. Within two months of the completion of the Annual Work Plan or of the termination of the present agreement, the Implementing Agency shall submit a final report on the Annual Work Plan activities and include a final financial report on the use of United Nations Development Programme funds, as well as an inventory of supplies and equipment.

4. Fiduciary Compliance:

In managing the Annual Work Plan resources, the implementing agency has fiduciary and compliance responsibilities to the funding institutions. It also has compliance responsibility for funding institutions' reporting procedures.

5. The Audit Requirements:

All nationally executed Annual Work Plans must be audited at least once in their lifetime. The objective of the audit is to provide the United Nations Development Programme administrator with the assurance that United Nations Development Programme resources are being managed in accordance with:

- a. The financial regulations, rules, practices and procedures for the Annual Work Plan;
- b. The Annual Work Plan activities, management and implementation arrangements, monitoring evaluation and reporting provisions; and
- c. The requirements for implementation in the areas of management, administration and finance.

The United Nations Development Programme may audit NGO or private entity implementing Agency's Annual Work Plans by sub-contracting private auditors to carry out the audit exercise. Funds for audit expenses will be budgeted within the Annual Work Plan.

Thus an audit of this Annual Work Plan must confirm and certify that:

- a. Disbursements are made in accordance with the Annual Work Plan;
- b. Disbursements are valid and supported by adequate documentation;
- c. An appropriate system for internal control is maintained by the Implementing Agency and can be relied upon;
- d. Annual Work Plan financial reports are fair and accurately presented;
- e. The Annual Work Plan monitoring and evaluations reports are prepared as required;
- f. Annual Work Plan disbursements are duly verified by the Implementing Agency; and
- g. The procurement, use control, and disposal of non-expendable equipments are in accordance with Government or UNDP requirement.

The Implementing Agency will ensure that auditors are given all records and information that they will need to perform a meaningful performance audit. The Implementing Agency will ensure that final accounts of the year under audit are submitted to United Nations

Development Programme and for government implementing institutions to the Controller and Auditor-General (or an appointed sub-contractor), by the end of January of the following year. It is the responsibility of the Implementing Agency to ensure that all audit observations are attended adequately.

6. Procurement of Goods and Services: Government of Kenya's established rules and procedures governing procurement shall be used.

7. Monitoring and Evaluation

Tracking of the achievement of benchmarks/indicators for each activity will monitor the performance of the Annual Work Plan. Monitoring of specific Annual Work Plan activities will be the responsibility of the Implementing Agency. The aim will be to provide timely information about the progress, or lack thereof, in the production of the outputs and achievement of the Annual Work Plan objectives. The mechanisms that will be used to monitor the Annual Work Plan will include:

- a. Quarterly progress report, technical and financial report prepared by the Annual Work Plan Implementing Agency; the format of the report shall follow UNDP standards;
- b. Annual progress report, technical and financial report prepared by the Annual Work Plan Implementing Agency at the end of the year; and
- c. Field visits undertaken jointly by Implementing Agency and United Nations Development Programme.

An evaluation of the activities implemented under the Annual Work Plan may be carried out.

**Quality Management for Project Activity Results**

OUTPUT 1: A functional online framework for administration of diplomatic privileges in place		
Activity Result 1 (Atlas Activity ID)	<b>Online diplomatic administrative framework in place</b>	<b>Start Date: May 2008 End Date: December 2008</b>
Purpose	<b>To establish and institutionalize an effective and efficient protocol information management system</b>	
Description	<b>Promote effectiveness and efficiency of the protocol section of the Ministry of Foreign Affairs and linkage with other core Government departments such as the Kenya Revenue Authority through a comprehensive information management system.</b>	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Call for Request for proposals,	Review of established checklists -Physical review of call for proposals, submissions and generation of results for award of contract	-Monthly at the beginning of each new Month and quarterly during the Quarterly reviews
Baseline data and information, Long term sustainability strategy and gaps analysis developed and reports formulated	-Detailed review of consultants work and guidance in execution of tasks. -Formation of internal committee to appraise regular submissions according to ToRs and MFA requirements.	
System requirement report produced detailing a bill of quantities and other information processes	-Internal review of submissions against and internal research to gauge realistic quotes. -Utilize baseline report to conduct search of similar activities locally and internationally to	



	<p>establish relationship.</p> <ul style="list-style-type: none"> <li>-Internal committee meetings to access applicability.</li> </ul>	<p>-Regular internal meetings as well as meetings of the PEG</p>
<p>Call for request of proposal for a consultant/institution to design, develop and put in place a protocol information system</p>	<ul style="list-style-type: none"> <li>-Internal communication authorizing advertisement.</li> <li>-Reports in the media.</li> <li>-Submissions received, reviewed and winner contracted</li> </ul>	
<p>Consultants hired, ICT Equipments acquired and other works completed, Software acquired and customized,</p>	<ul style="list-style-type: none"> <li>-Calls for supply of specified ICT infrastructure.</li> <li>-Renovations and wiring complete.</li> <li>-Certification of works and supplies</li> <li>-Equipment and software inventory.</li> </ul>	
<p>Linkage framework with government departments created</p>	<ul style="list-style-type: none"> <li>-Internal ICT specialist meeting and minutes.</li> <li>-Linkages opportunities established and documented</li> <li>-Linkage defined and strategy for linking developed</li> </ul>	
<p>Number of Hard copies of protocol records converted to soft copies</p>	<ul style="list-style-type: none"> <li>-Scanning started.</li> <li>-Rate of scanning and time for all to be done established</li> <li>-Total number of records converted to digital</li> </ul>	
<p>Number of protocol officers trained in the process of design and development as well as digitization of records</p>	<ul style="list-style-type: none"> <li>-Level and quality of incorporation and mainstreaming of key thematic issues in various processes (Gender, ethnic diversity, disabilities, amongst others)</li> <li>-Actual number of officers and diversity of institutions represented in training established.</li> </ul>	

OUTPUT 2: Institutional and human resource capability at the Ministry of Foreign Affairs for timely and effective delivery of services enhanced		
Activity Result 1 (Atlas Activity ID)	<b><i>Institutional and human resource capacity at the Ministry of Foreign Affairs for efficiency and effective delivery of services enhanced</i></b>	Start Date: May 2008 End Date: December 2008
Purpose	To put in place requisite capacities for improved service delivery in the protocol department of the MFA and related agencies (state and non state)	
Description	Sets at training and continued capacity building of MFA and other related Government and UN(DP) staff to embrace and utilize an integrated Protocol Information Management System	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Call to request for proposals for consultancy on change management	-Review of established checklists -Physical review of call for proposals, submissions and generation of results for award of contract	Monthly at the beginning of each new Month and quarterly during the Quarterly reviews
Number of protocol staff trained locally and internationally	-Number of preparatory activities undertaken as a run up to trainings -Concept note detailing objectives aims and proposed results as well as Agenda for training developed by consultant -Number of trainings held and diversity of participation -Material from training developed and documented	-After each training is finalized
Reports from international and local trainings on change management as well as on the utilization of the Protocol Information Management System	-A detailed report submitted to the Project manager and quality assurance officer on trainings. -Meetings held for presentation to be effected. -Number of participants and diversity of government representation and other stakeholders in. -Recommendations and areas of follow up elaborated. -Review of list of participants and physical participation in meetings. -Establishment of diversity of stakeholders engaged. -Level and quality of incorporation and mainstreaming of key thematic issues in various processes (Gender, ethnic diversity, disabilities, amongst others) identified	

OUTPUT 3: Linkages and coordination between key government agencies on diplomatic issues enhanced		
Activity Result 1 (Atlas Activity ID)	<b>Operationalization of a protocol information management system in congruence with other information management system</b>	Start Date: May 2008 End Date: December 2008
Purpose	To synchronize and harmonize Government Information management systems	
Description	Information sharing and exchange of lessons learnt from the implementation of similar Information management systems as well as creation of harmony between the Protocol Information Management System and other existing ones	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Protocol system launched and system interphase with government agencies finalized	-Media reports and number of media engaged -Review of list of participants and physical participation in meetings. -Establishment of diversity of stakeholders engaged.	Monthly at the beginning of each new Month and quarterly during the Quarterly reviews
Publicity material produced and shared with relevant government ministries,	-Physical assessment of produced material. -Establish the quantity of produced material -Establish the number of Government departments and other stakeholders with whom the material have been shared with	
Publicity and media advertisements, launch of the protocol system,	-Media reports and publications -Physical assessment of produced material. -Level and quality of incorporation and mainstreaming of key thematic issues in various processes (Gender, ethnic diversity, disabilities, amongst others)	
Number of government agencies and diplomatic institutions attending launch	-Review of list of participants and physical participation in meetings. -Establishment of diversity of stakeholders engaged. -Level and quality of incorporation and mainstreaming of key thematic issues in various processes (Gender, ethnic diversity, disabilities, amongst others)	
Number of officers trained from the KRA, KEBS, DP, KAA, e.t.c.	-A detailed report submitted to the Project manager and quality assurance officer on trainings. -Meetings held for presentation to be effected. -Number of participants and diversity of government representation and other stakeholders in. -Recommendations and areas of follow up elaborated. -Review of list of participants and physical participation in meetings. -Establishment of diversity of stakeholders	

	<p>engaged.  <b>-Level and quality of incorporation and mainstreaming of key thematic issues in various processes (Gender, ethnic diversity, disabilities, amongst others) identified</b></p>	
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**8. Legal Context**

This document together with the Country Programme Action Plan (CPAP) signed by the Government of Kenya and UNDP which is incorporated by reference constitute together a Project Document as and all CPAP provisions apply to this document. Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP’s property in the implementing partner’s custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement. The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm> This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document”.

**9 Publicity and Publications**

Unless UNDP requests or agrees otherwise, the Implementing Agency and other collaborating parties shall take all appropriate measures to publicise the fact that the project has been funded by UNDP. Information given to the press, project beneficiaries, all related publicity materials, official notices, reports and publications, shall acknowledge that the activity was carried out with funding from the UNDP, and shall display in an acceptable way the UNDP logo. In addition, all publications must be reviewed by UNDP before publication, and shall bear the appropriate UNDP disclaimer.

**10. Work Plan and Budget**

The work plan and budget is detailed in the Annual Work Matrix below.

## 11. Communication Plan

Stakeholder Group		Information Required	Information Provider	Frequency	Method
A	MFA	Next Quarter Detailed Activity List	Project Manager	Quarterly	Mail
		Financial Reports	Project Assurance	Quarterly	Mail
		Activity Review	Project Manager/Assurance	Quarterly	Mail / Meetings
B	MFA/UNDP	Finalised AWP(2008)	Project Manager	Beginning of project	Mail
		Financial Disbursements	UNDP	On request from MFA	Official letters
C	PEG	Finalised AWP	Project Assurance/manager	Beginning of project	In person
	LPAC	Review by stakeholders	Project Manager	Beginning of project	In person
	MFA	Finalized AWP	Project Assurance	Beginning of project	In person
	MFA	Final Review documents	Project Manager	End of project	mail
D	MFA/UNDP	Quarterly reviews	Project Manager	Quarterly	Mail/delivery
E	UNDP	Financial Reports	Project Manager	Quarterly	

## Initial Project Risk Log

#	Description	Category	Impact Probability	Countermeasures	Owner	Author	Date Identified	Last Update
1	Unfavourable political climate	Organizational	I = 0.2 P = 0.2	Ensure project begins as soon as possible	Project Assurance, Project Manager	UNDP / MFA	February 2008	April 2008
2	Limited local expertise	Organizational	I = 0.2 P = 0.1	Detailed formulation of ToRs to ensure the very best consultants are attracted	Project Assurance, Project Management	UNDP / MFA	February 2008	April 2008
3	Retention of Experts	Organizational	I = 0.2 P = 0.2	Operate assignment based contracts / Ensure adequate incentives	Project Assurance, Project Manager	UNDP / MFA	February 2008	April 2008
4	Lack of benchmarking references locally	Technical	I = 0.2 P = 0.2	Deliberately ensure Baseline study adequately covers background research	Project Manager	UNDP / MFA	February 2008	April 2008
5	Low linkage with other Government Departments	Institutional / Organizational	I = 0.2 P = 0.3	Ensure communication and briefing between PS's of relevant Ministries for definition of linkages	Project Manager	MFA	February 2008	April 2008

**PROJECT RESULTS AND RESOURCES FRAMEWORK**

EXPECTED OUTPUTS	DETAILED ACTIVITIES	TARGETS AND BASELINES	INDICATORS	ATLAS ACCOUNT CODE	COSTS (US \$)	TIMEFRAME: July 2008 - June 2009				INPUTS
						J/S	O/D	J/M	A/J	
A functional online framework for administration of diplomatic privileges in place	Undertaking of a baseline survey to identify the Information, Communication and Technologies need of the protocol division at the Ministry of Foreign Affairs as well as the long term sustainability options for such a system	<u>Baseline:</u> No comprehensive ICT information on protocol requirement <u>Target:</u> A comprehensive needs assessment and report of the benchmarking	Call for Request for proposal, Institution/consultant hired, Baseline data and information, Long term sustainability strategy and gaps analysis developed and reports formulated, System requirement report produced detailing a bill of quantities and other information,	71600 72100 74500 71400	25,000					Consultant, Travel, Meals and venue, stationery, publicity
	Design, Develop and Deploy a centralized database for information storage and retrieval with an online interphase for diplomatic information	<u>Baseline:</u> No online database present <u>Target:</u> Design, develop and deploy an online database for the protocol division	Call for request of proposal for a consultant/institution to design, develop and put in place a protocol information system, Consultant hired ICT Equipments acquired and other works completed, Software acquired and customized, Linkage framework with government departments created, Number of protocol officers trained in the process of design and development	71600 72100 74500 71400 72200	160,000					Consultancy, Meals and venues, stationery, publicity, ICT equipment and infrastructure (servers, computers, Laptop, scanners, UPS, digital cameras, data card printers, printer software, cartridges, smart cards & ribbons, e.t.c.)

<p><b>Institutional and human resource capacity at the Ministry of Foreign Affairs for efficiency and effective delivery of services enhanced</b></p>	<p>Digitization of existing protocol records in the Division and storage into the database.</p>	<p><u>Baseline:</u> No electronic information management system with old protocol data <u>Target:</u> Scan into electronic form previous protocol documents into the online database developed Report on benchmarking</p>	<p>Consultants hired, Scanners acquired, Number of Hard copies of protocol records converted to soft copies, Case study report on documentation process, Number of protocol officers trained in digitization of records</p>	<p>71600 72100 74500 71400 72200</p>	<p>30,000</p>		<p>Consultant, travel, Meals and venue, Equipment (scanners), stationery, publicity</p>
	<p>Undertake a comprehensive on job capacity development based on system requirements for Ministry of Foreign Affairs, key government departments and representatives from the diplomatic fraternity</p>	<p><u>Baseline:</u> Limited job capacity <u>Target:</u> Job capacity evaluation by a change management specialist Technical training of MFA staff on the online system Preparation of operating and training manuals</p>	<p>Call for request for proposal, Consultant for change management hired Number of protocol staff trained and number of training activities and workshops carried out Operating and training manual developed</p>	<p>71600 72100 74500 71400</p>	<p>40,000</p>		<p>Consultant Meals and venue stationery publicity</p>
	<p>Capacity development exchange visits to Canada and Singapore and local information transfer workshops with protocol officers</p>	<p><u>Baseline:</u> Limited knowledge of utilization of integrated protocol information system <u>Target:</u> Capacity of selected officials at the MFA strengthened for managements of data and protocol information system</p>	<p>Number of protocol staff trained internationally Number of protocol staff trained locally Reports from international and local training Evaluation from local and international training received</p>	<p>71600 72100 74500 71400</p>	<p>40,000</p>		<p>Travel, DSA, Meals, Accommodation, Stationery,</p>



<b>Linkages and coordination between key government agencies on diplomatic issues enhanced</b>	Interfaces with relevant government agents such as Kenya Revenue Authority (KRA), Kenya Bureau of Standards (KEBS), Immigration (I), Diplomatic Police (DP), Kenya Airports Authority (KAA)	<u>Baseline:</u> No protocol linkages between various government ministries and departments <u>Target:</u> Comprehensive Protocol system linked with KRA, KEBS, I, DP, KAA, e.t.c.	Protocol system launched and system interphase with government agencies finalized Consultant hired Number of officers trained from the KRA, KEBS, DP, KAA, e.t.c.	71600 72100 74500 71400	20,000			Stationery, consultant, publicity
	Launch of the information framework and platform	<u>Baseline:</u> No protocol information system <u>Target:</u> Comprehensive protocol information system launched	Publicity material produced and shared with relevant government ministries, Publicity and media advertisements, launch of the protocol system, number of government agencies and diplomatic institutions attending launch	71600 72100 74500 71400	10,000			Publicity Venue and meals Stationery
				<b>Sub-Total</b>	<b>325,000</b>			
				<b>Total</b>	<b>325,000</b>			