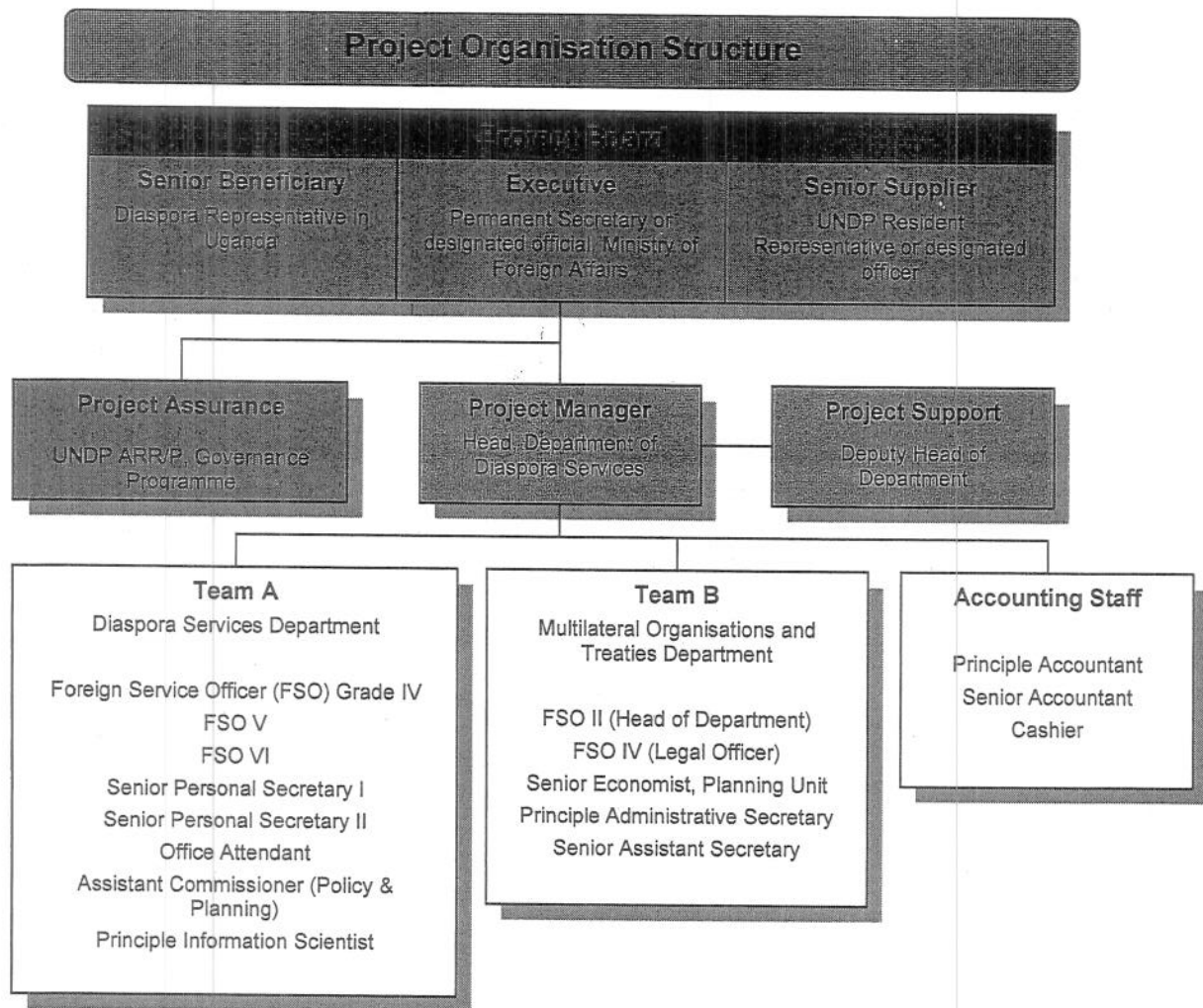


III. MANAGEMENT ARRANGEMENTS

The project will be implemented under the NEX modality, with the following project management structure.



Roles and Responsibilities of actors

Executive (PS, MoFA)

The executive is responsible for overall management and quality assurance of the project. Role of the Executive is to ensure that the project is focussed throughout its life cycle on achieving its objectives and delivering outputs that contribute to the overall outcomes of the democratic governance programme of UNDP. Executive is also to ensure a cost-conscious approach to the project, balancing demands of the beneficiary and supplier.

Specific responsibilities

1. Ensure coherent project organisation structure and logical plans;
2. Monitor and control progress of project;
3. Ensure risks are being tracked and mitigated as possible;
4. Undertake briefings on project as required;
5. Organise and chair project board meetings.

Senior Beneficiary (Representative of Diaspora Services)

The senior beneficiary is responsible for validating the needs and monitoring the needs within the gamut of project scope. The role represents the interests of all those who benefit from the project activities and outputs. Also, regularly monitors the progress against the set targets and quality criteria.

Specific responsibilities

1. Ensure expected outputs and related activities of the project are well defined according to expectations of the Diaspora;
2. Promote and maintain project focus on expected outputs and results and bring to attention of the Project Board any issues relating to the project delivery;
3. Make sure that progress towards the outputs as required by the beneficiaries remain consistent from the beneficiary perspective;
4. Participate in resolving any conflicts relating to the project;
5. Monitor implementation of project activities and identify any risks to the attainment of project outputs and expected results at all levels.

Senior Supplier (UNDP)

The senior supplier represents the interest of parties which provide funding and technical expertise. Primary function is to provide guidance and technical support for managing the project. Senior supplier offers the necessary authority to commit and acquire resources to implement the activities of the project.

Specific responsibilities

1. Ensure progress towards the outputs are consistent from the supplier perspective;
2. Ensure the resources required for project are available in time according to the agreed work plan;
3. Advise on design, strategy and methods of implementation of project activities including audits for the project;
4. Ensure UNDP standards are met and followed;
5. Monitor and record risks and issues in the implementation of project.

Project Manager (Head, Department of Diaspora Services)

The project manager is responsible for day-to-day management of the project and decision making on the project. The main responsibility is to ensure that the project produces the specified outputs as outlined in the project document.

Specific responsibilities

1. Manage and ensure the realisation of project activities and achieve project outputs;
2. Provide guidance and direction to the project teams;
3. Responsible for overall project administration and managing of risks;
4. Monitor financial resources and accounting to ensure accuracy and reliability of financial reports and also prepare quarterly progress reports as well as end-of project reports;
5. Participate in relevant UNDP planning and progress reporting events/activities for purposes of establishing synergy with other projects;
6. Prepare annual review report and submit it to project board;
7. At the closing stage, prepare final project review report and undertake the mandatory closure processes as stipulated by UNDP.

Project assurance

Project assurance role is to support the project board by carrying out an objective and project oversight and monitoring functions. Role is to ensure appropriate project management milestones are managed and completed.

Specific responsibilities

1. Maintenance of thorough liaison throughout the project amongst the different members of the project and ensure information flow to the project board on quality of implementation;

2. Risks are controlled and monitored and activities implemented in a timely manner;
3. Project fits into overall country programme;
4. Quality management procedures of UNDP are followed;
5. Project board decisions are followed;
6. Project output definitions and activity definition including description and quality criteria are recorded in ATLAS project management module to facilitate monitoring and reporting;
7. Ensure project quarterly and annual reports are prepared in accordance with the standards of UNDP;
8. Ensure CDRs and FACE forms are submitted to the project board;
9. Perform monitoring and on spot visits;
10. In the closure of project, ensure project is operationally closed in ATLAS, ensure all financial transactions are in ATLAS and accounts closed financially in ATLAS.

Results of capacity assessment of implementing partner

As the project is primarily a preparatory assistance project for one year and given the fact that 2009 is the last year of the programming cycle, this capacity assessment of the implementing partner has a minimal result. However if the IP is to be considered under the new programme cycle, capacity assessment will be undertaken.

Audit arrangements

The project will be audited as per the NEX procedures of UNDP.

IV. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

1. On a quarterly basis, a quality assessment will be conducted, based on quality criteria and methods captured in the Quality Management table below, to record progress towards the completion of key results,;
2. Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and project assurance and project manager will regularly update by reviewing the potential risks that may affect the project implementation;
3. Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot;
4. A project Lesson-learned log shall be activated and regularly updated (on a quarterly basis) to ensure ongoing learning and adaptation within the organisation, and to facilitate the preparation of the Lessons-learned Report at the end of the project;
5. A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events.

Annually

1. **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above

element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level;

2. **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project. This review will be conducted in August 2009 driven mainly by the project board. This review shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes;
3. **Closure.** Undertake the closure of project by the end of project period following the UNDP closure process.

Quality Management for Project Activity Results

OUTPUT 1: Diaspora services department fully operational.		
Activity Result 1 (Atlas Activity ID)	Support establishing Diaspora services department	Start Date: April 2009 End Date: March 2010
Purpose	The main purpose of this activity is to support the establishment of the Diaspora Services Department and to ensure its active and sustainable operation.	
Description	<ol style="list-style-type: none"> 1. Conducting capacity needs assessment for the Diaspora services department; 2. Retooling support (3 computers, 2 printers, 3 filing cabinets, 3 shelves); 3. Support transport / communication / miscellaneous costs for the Department 	
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>
The key indicators with which the quality of activity result will be measured are: <ol style="list-style-type: none"> 1. Finalised capacity assessment report for the Department; 2. Approval for operation of the Department; 3. Personnel of the Department in place; 4. Provided equipment used for its designed purposes; 5. Transport and communication used for Department activities. 	<ol style="list-style-type: none"> 1. Documentary: finalised capacity assessment report; 2. Written communication from the Ministry of Foreign Affairs on the operations of department; 3. Organisation chart / positions filled and Direct monitoring; 4. Direct monitoring; 5. Financial reports / evidences. 	End of quarter 3

OUTPUT 2: Five-year Strategic business plan for the Diaspora services department developed		
Activity Result 1 (Atlas Activity ID)	Support developing DSD Strategic business plan	Start Date: April 2009 End Date: March 2010
Purpose	The main purpose of this activity is to support the Diaspora Services Department to develop a five-year Strategic business plan with clear vision, mission, strategic objectives, functions, roles and responsibilities of the Department.	
Description	<ol style="list-style-type: none"> 1. Develop, finalise and approve / roll-out of the five-year Strategic business plan for the Department; 	

	2. Conduct best practice analysis through study visits in 3 select countries in Africa and Asia region.	
Quality Criteria	Quality Method	Date of Assessment
The key indicators with which the quality of activity result will be measured are: 1. Finalised and approved 5 year Strategic business plan for the Department; 2. The result of the best practice analysis and its connections with the final business plan.	1. Documentary: Best practice analysis report and the finalised Strategic business plan; 2. Interview with Department staff: to observe the operation of the Department is based on the Strategic business plan.	End of quarter 3

OUTPUT 3: Outreach and communication plan for the Diaspora services department developed and formal linkages with key stakeholders initiated		
Activity Result 1 (Atlas Activity ID)	Support to DSD outreach strategy and partnership development	Start Date: April 2009 End Date: March 2010
Purpose	The main purpose of this activity is to develop a five year Outreach and communication strategy for the Diaspora services department as a part of its Strategic business plan and to develop the partnerships between various stakeholders on the Diaspora issue, which is critical for the successful operation of the Department.	
Description	<ol style="list-style-type: none"> 1. Develop the 5 year Outreach and communication strategy for the Diaspora department (as a part of the Strategic business plan); 2. Coordination meetings with key stakeholders for establishing the department and identify appropriate institutional mechanisms for partnership with all relevant authorities; 3. Establish and operationalize the national taskforce on Diaspora; 4. Initiate formal linkages with the Uganda Diaspora associations; 5. Radio / TV talk shows on Diaspora issues broadcasted. 	
Quality Criteria	Quality Method	Date of Assessment
The key indicators with which the quality of activity result will be measured are: 1. Finalised and approved Outreach and communication strategy; 2. Partnership and cooperation from the relevant ministries, institutions and Diaspora associations to the Department; 3. Broadcasted radio / TV programme.	<ol style="list-style-type: none"> 1. Documentary: finalised Outreach and communication strategy and radio / TV programme plans; 2. Interview to key partners; 3. Direct observation in meetings and workshops. 	End of quarter 3

OUTPUT 4: Comprehensive web-driven statistical database on the Diaspora developed		
Activity Result 1 (Atlas Activity ID)	Support to DSD website and database development	Start Date: April 2009 End Date: March 2010
Purpose	The main purpose of this activity is to develop a fully developed website of the	

	Department to provide crucial information to the Diaspora and web-based statistical database for further interrelations between the Diaspora and the Department.		
Description	<ol style="list-style-type: none"> 1. Develop a Diaspora services department website and statistical database of the Diaspora; 2. Train the MoFA staff on database management and website update. 		
Quality Criteria	Quality Method	Date of Assessment	
The key indicators with which the quality of activity result will be measured are: <ol style="list-style-type: none"> 1. Completed website and database; 2. Regular update of the website and use of data collected by the database 	<ol style="list-style-type: none"> 1. Observation of the developed website and database; 2. Feedback from the Diaspora (beneficiary of the website); 3. Verification of the use of data collected through the database. 	End of quarter 3	

OUTPUT 5: Multilateral organisations and treaties department capacity strengthened to follow up on selected international conventions and treaties			
Activity Result 1 (Atlas Activity ID)	Support to MOT department capacity development	Start Date: June 2009 End Date: March 2010	
Purpose	The main purpose of this activity is to conduct the capacity needs assessment of the Multilateral organisations and treaties department, MoFA and support the needed capacity development to fulfil its international commitment.		
Description	<ol style="list-style-type: none"> 1. Conducting a capacity needs assessment for the Multilateral organisations and treaties department and finalising the report; 2. MoFA staff training in the basic principles on international conventions related to human rights, gender and anti-corruption; 3. Designing a mechanism and the plan of action for following up and reporting on the selected international conventions and treaties; 4. Training MOT staff in follow up, monitoring and reporting on all international convention and treaties to which Uganda is a signatory. 		
Quality Criteria	Quality Method	Date of Assessment	
The key indicators with which the quality of activity result will be measured are: <ol style="list-style-type: none"> 1. Finalised capacity assessment report for the MOT department; 2. Mechanism and plan of action designed by MOT staff; 3. Change of performance to follow up and reporting on selected international convention and treaties. 	<ol style="list-style-type: none"> 1. Documentation: finalised capacity assessment report, plan of action, and the plans and reports of trainings; 2. Direct observation and interview with participants of the training; 3. Interview to MOT staff to verify the changing performance of follow up and reporting. 	End of quarter 4	

OUTPUT 6: Records management strengthened in legal and social services section			
Activity Result 1 (Atlas Activity ID)	Support to MoFA records management	Start Date: April 2009 End Date: March 2010	
Purpose	The main purpose of this activity is to improve the capacity for records management in legal and social services section.		
Description	1. E-statistical database of all conventions and treaties and monitoring tools for		

	MOT and statistical systems for Diaspora services department developed and operationalised;	
	2. Records management training undertaken for staff of department for effective follow up.	
Quality Criteria	Quality Method	Date of Assessment
The key indicators with which the quality of activity result will be measured are: 1. Developed E-database of all conventions; 2. MoFA staff capacity / performance to undertake record management and follow up	1. Checking developed E-database of all conventions; 2. Performance review of record management and follow up activities	End of quarter 4

V. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the SBAA between the Government of Uganda and UNDP, signed on 29th April, 1977.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency.

The executing agency 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 executing agency'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 executing agency 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>.

I. ANNEXES

Annex 1

Risk Analysis

Project Title: Preparatory Assistance Project to Ministry of Foreign Affairs		Award ID:		Date: 25 th March, 2009				
Description	Date Identified	Type	Impact & Probability	Countermeasures / Mitig. response	Owner	Submitted/ updated by	Last Update	Status
Procurement risk of electronic equipment, systems and development, and hiring consultancy	Jan. 2009	Operational	Probability is middle, since minor delay is almost inevitable. Potential effect on the project if this risk were to occur is moderate, since it could cause a minor to considerable delay of the activities. P = 3 I = 2	Development of description / ToR for electronic systems and consultants should be developed in early stage of the project.	Project Manager	Project Manager and UNDP	Mar. 2009	-
Confusion for building partnership on Diaspora issues	Jan. 2009	Organisational Political	Probability of this risk to happen is low, since it is led by the strong initiative and having good partnerships with other stakeholders. Potential effect on the project is considerably high, since it will harm the whole coordination processes. P = 1 I = 3	Project manager and UNDP shall monitor the dynamism of key stakeholders, including the Diaspora association and politicians.	Project Manager	UNDP	Mar. 2009	-
Impact of the global financial crisis and its aftermath	Mar. 2009	Socio-economic Political Operational	Probability is high, since it seems to have some effect throughout the project period. The potential risk is considerably high, since it may have a grave impact on the groups this project is supposed to serve. P = 3 I = 3	Project manager and UNDP shall monitor the change of situation, and include this analysis in the 5-year Strategic Business Plan development process.	Project Manager	UNDP	Mar. 2009	-

TOR for Key project Personnel.

Permanent Secretary – Ministry of Foreign Affairs

1. Permanent Secretary Ministry of Foreign Affairs (MoFA). Responsible for overall management and quality assurance of the Project.

Diaspora Services Division - MoFA.

2. Foreign Service Officer Grade III, Head of Diaspora Services Division and Project Manager. Responsible for day to day management of the project and decision making on the project. The main responsibility is to ensure that the project produces the specified outputs as outlined in the project document.
3. Foreign Service Officer Grade V, Diaspora Desk Officer in charge of Social Affairs. Responsible for coordinating Diaspora activities with key stakeholders like Ministries of Gender, Labour and Social Affairs, Internal Affairs and other important government partners like the International Organization for Migration, UNDP and private sector. Also liaises with Ugandan Diaspora associations.
4. Foreign Service Officer Grade VI, Diaspora Desk Officer in charge of Economic Affairs. Responsible for coordinating Diaspora activities with Ministries of Tourism, Trade and Industry; Bank of Uganda; Uganda Investment Authority, Uganda Revenue Authority, etc. Also liaises with Ugandan Diaspora Associations.
5. 2 Administrative Personnel- Carry out all administrative duties of the Project, including filing, typing documents and keeping records.
6. 2 Office Attendants- in charge of delivering messages and courier for and to the Ministry and will work on project document and messages delivery.

Multilateral Organizations and Treaties (MOT) Department - MoFA.

7. Foreign Service Officer Grade 11- Head of MOT Department. In charge of MOT Department and supervisor of Legal Officer on the project.
8. Foreign Service Officer Grade IV- Legal Officer in the Multilateral Organizations and Treaties Department. In Charge of all treaties and conventions deposited in the Ministry and in charge of drafting legal documents for the Ministers' signature.

Policy and Planning Unit – MoFA.

9. Assistant Commissioner Policy and Planning. In charge of the Policy and Planning Unit of the Ministry. Help all departments develop strategic policy plans and Annual work plans. Advise the PS/MOFA regarding Policy issues.
10. Senior Economist, Planning Unit. Works with the Assistant Commissioner Policy and Planning regarding Ministry and Mission/ Embassies policy documents and statements.

Administration Department - MoFA.

11. Principle Administrative Secretary- In charge of all Administrative staff in the Ministry and will be in charge of all Administrative issues regarding the project, reporting to the project coordinator.
12. Senior Assistant Secretary. Works with the Administration Department and Policy and Planning unit to coordinate proper management of Ministry information and data and policy implementation.
13. Principle Account- over all in charge of accounts of the Ministry and will over see accounting of the project together with the Project Manager.
14. Senior Accountant- To work with the Principle Accountant regarding Project Accounts.
15. Cashier- in charge of the Cash Office in MOFA and will serve as Project Cashier.

Resource Centre- MoFA.

16. Principle Information Scientist. In charge of the ICT section of the Ministry of Foreign Affairs, maintains and regularly services Ministry Computers and updates the Ministry Website. Also experienced in records and achieves management.

In charge
Services Minist.
achieves management