**ANNEX TO THE STRATEGIC BUSINESS PLAN**

**(MINISTRIES)**

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# ANNEX A - SITUATIONAL ANALYSIS

*[Conduct the SWOT analysis, as follows. It should capture information that explains the gaps between the performance that the Ministry is achieving and that which it must achieve. Note that the information is for helping to match the organisation’s goals, programmes, sub-programmes and capacities to the social and economic environment in which it operates.]*

**Strengths *(Internal)***

*[Detail the tangible and intangible attributes internal to the Ministry and for which the Ministry has control.]*

**Weaknesses *(Internal)***

*[Detail the factors that are within the Ministry’s control that detract from its ability to attain the desired goal. Details should also suggest areas in which the Ministry might/could improve.]*

**Opportunities *(External)***

*[Detail the external attractive factors that represent the reason for both the existence and development of the Ministry. Information should also inform on favourable events which exist in the environment which will propel the Ministry’s performance. For each opportunity identified, state the timeframe in which it could be achieved.]*

**Threats/Challenges *(External)***

*[Detail the external factors that are beyond the Ministry’s control, which could place the mission and operation of the Ministry at risk. The information should also provide an overview of contingency plans identified to address the more serious and highly probable risks if they should occur.*

**Conclusions from SWOT Analysis**

*[Summarise the reasons for performance gaps in terms of the SWOT analysis. Set out the conclusions from this analysis in terms of the strategic responses that will be required in order to build on strengths and opportunities, and to minimise weaknesses and threats. This is critical in order to achieve higher levels of performance.]*

# ANNEX B - STAKEHOLDER ANALYSIS

## INSTRUCTIONS

*[Conduct the Stakeholder Analysis, as follows. It should capture information pertaining to the stakeholders’ interests, influences, needs, wants and expectations of the Ministry in carrying out its mission and undertaking its mandate. It should also capture the Ministry’s needs, wants and expectations of its stakeholders in carrying out its mission.]*

***Interest*** *- The level of participation, investment and sponsorship a person, group or organization has in the operations of the Ministry, both directly and indirectly, as well as the degree to which they could benefit.*

 *NB: Determine whether the interest of the stakeholder is* ***‘High’*** *or* ***‘Low’****.*

***Influence*** *- Influence can be either direct or indirect. Direct influence involves legal, leadership, control of strategic resources, possession of specialist knowledge, expertise and negotiation position. Indirect influence involves, social, economic or political status to control strategic resources and informal influence through linkages with other person, group or organization.*

 *NB: Determine whether the influence of the stakeholder is* ***‘High’*** *or* ***‘Low’****.*

***Need*** *- A component that is vital for the stakeholder to maintain their status or purpose. Any deficiency or omission of this component in the proposed policy initiative, programme or project will result*

*in a negative outcome for the stakeholder.*

***Want*** *- A stakeholder’s desire or wish to improve, sustain or perpetuate his/her status quo. Any omission of this component to the proposed policy initiative, programme or project would* ***not*** *result in a negative outcome for the stakeholder.*

***Expectation*** *- The consideration of what is most likely to happen in the future regarding the behaviour and/or performance of the stakeholder.*

|  |  |
| --- | --- |
| **Stakeholder’s Perspective****(What the stakeholder needs, wants and expects from the Ministry in undertaking its mission/mandate)** | **Ministry’s Perspective [Using MICAF as Example]****(What the Ministry needs, wants and expects from the Stakeholder to effectively undertake its mission/mandate)** |
| **Stakeholder**(Person, Group, Organization) | **Interests**(High or Low) | **Influence**(High or Low) | **Needs** | **Wants** | **Expectations** | **Needs** | **Wants** | **Expectations** |
| Honourable Minister Industry, Commerce, Agriculture & Fisheries | High | High | Policies & Programmes geared towards achieving the Vision & Mission of the Ministry | Sustained Growth of the Sectors | Sustained Growth of the Sectors | Policy Directive | Support | Support |
| Ministry of Health | High | High | Adherence to Public Health Initiatives and Protocols | Adherence to Public Health Initiatives and Protocols | Adherence to Public Health Initiatives and Protocols | Improved Collaboration of Intelligence | Improved Collaboration of Intelligence | Improved Strategic Planning in combating Zoonotic diseases; Increased Trade Facilitation |
| Ministry of Finance & Public Service | High | High | Adherence to Fiscal Priorities  | Frequent Progress Reports | Achieve the Government’s fiscal & economic policy goals | Fiscal Support | Expeditious & Timely Disbursement of Funds; Clear Communication | Fiscal Support |
| International Development Partners | Low | High | Transparency & Accountability | Policies, Programmes & Initiatives consistent with SDGs | Development in keeping with SDGs | Aid, Grants & Technical Assistance in combating Development challenges | Aid, Grants & Technical Assistance in combating Development challenges | Continued Support and Partnerships |

## ANNEX B - STAKEHOLDER ANALYSIS MATRIX

# ANNEX C - RISK MANAGEMENT

## INSTRUCTIONS

***[Risks*** *are potential conditions or events that, if they occur, could prevent or delay the forecasted implementation and/or progress of key initiatives. Potential risks, if they were to occur, could negatively affect the organisation and pose serious harm to the preservation of its values.]*

*Possible risk areas from multidirectional perspectives to consider are: citizen-focused service, management processes to objective setting, policies and procedures, stewardship, human resources, financial resources, information systems & technologies, environmental, safety, quality, etc.*

*Make note of the programmes and sub-programmes of the Ministry and their aligned objectives. Indicate all potential risks associated with the objectives of the programmes and sub-programmes in the Risk Register. The risks identified should be briefly explained and then assessed in consultation with the definitions and instructions provided.*

*In assessing the risks identified the following key terms must be noted:*

1. **Opportunity/Threat** identifies the risk as either a threat or an opportunity.
	* Opportunity refers to favourable external factors that could give an organization a competitive advantage.
	* Threat refers to factors that have the potential to harm an organization.
2. ***Risk Category*** *allows for the grouping of individual risks for evaluating and responding to risks. Placing risks in categories may assist in several ways. These include being:*
* *Better able to determine where the concentrations of risks are greatest.*
* *Able to identify common causes.*
* *Able to develop better risk responses.*

|  |  |
| --- | --- |
| **Risk Category** | **Description** |
| Medium-term Strategic Risk | This risk affects the expected intermediate outcomes of the Ministry. |
| Short-term Strategic Risk | This risk impacts the expected immediate outcomes of the Ministry. That is, the results expected directly from a deliverable. |
| Operational Risk | This is the prospect of loss resulting from inadequate or failed procedures, systems or policies. This affects a initiative’s deliverable. |

1. ***Impact*** *may be either positive or negative; has primary and secondary long-term effects or changes produced by an initiative, whether directly or indirectly, intended or unintended. This is assessed on a scale of 1-5, ranging from very low to very high. Please see details below.*

|  |
| --- |
| **IMPACT** |
| **Impact Scale** | **Impact Category** | **Description** |
| 1 | Very Low | The effect of the event if it occurs is extremely minimal and may be safely ignored. |
| 2 | Low | The effect of the event if it occurs is minimal; requiring limited action. |
| 3 | Medium | The effect of the event if it occurs is sufficiently significant but can be managed with effort using standard procedure. |
| 4 | High | The effect of the event if it occurs is critical and could cause major delays and may incur major costs; therefore, requires urgent action. |
| 5 | Very High | The effect of the event if it occurs is extremely significant and can completely wipe out the progress of an initiative. |

1. ***Probability (likelihood)*** *of the risk occurring should be indicated quantitatively on a scale of 1-5 ranging from very low to very high. Please see details below.*

|  |
| --- |
| **PROBABILITY (LIKELIHOOD)** |
| **Probability Scale** | **Probability Category** | **Description** |
| 1 | Very Low | Highly unlikely to occur |
| 2 | Low | Will most likely not occur |
| 3 | Medium | Could possibly occur |
| 4 | High | Likely to occur |
| 5 | Very High | Highly likely to occur |

1. ***Risk Score*** *is the product of the probability (likelihood) of the risk occurring and the impact (severity), i.e.* ***Probability x Impact****. Details of the ranking of the risk scores may be seen below.*

|  |
| --- |
| **RISK SCORE** |
| **Score** | **Weight** | **Probability Category** | **Description** |
| 1-2 | 1 | Very Low | No action required |
| 3-4 | 2 | Low | Remedial action discretionary |
| 5-8 | 3 | Medium | Remedial action suggested |
| 9-15 | 4 | High | Remedial action required; high priority |
| ≥ 16 | 5 | Very High | Immediate action required |

1. ***Mitigating measures*** *should provide some possible response(s) on how to avoid, reduce, share and/or accept the risk. Please see below the response categories and their descriptions.*

|  |
| --- |
| **Mitigating Measure/ Response** |
| **Response Category** | **Description** |
| Avoidance | Action is taken to withdraw the activities giving rise to the risk. For example, the risk may be avoided by withdrawing a service offering. |
| Reduction | Action is taken to reduce the likelihood of the risk occurring and/or its impact. Decisions regarding daily operations may need to be taken. |
| Sharing | Action is taken to reduce the likelihood of the risk occurring or its impact. The action could be aimed at transferring or sharing a portion of the risk. For example, outsourcing an activity. |
| Acceptance | No action is taken to affect the likelihood of the risk occurring or its impact. |

.

1. ***Response*** *outlines the options and actions that enhance opportunities or reduce threats. The Response plans should be specific enough to be implementable.*
2. ***Risk******Owner(s)*** *is/are the individual(s) from specific MDAs assigned with the responsibility of implementing the Response Plan and monitor the risk.*

## ANNEX C - ENTERPRISE RISK REGISTER 2020/2021

| **Programme/Sub-Programme Objectives** | **Risk Description** | **Opportunity/****Threat** | **Risk Category** | **Likelihood (P)** | **Impact (I)** | **Risk Score** | **Response Category** | **Response** | **Risk Owner** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Programme 1.0:****[Name]**Industrial Development & Regulation**Objective:** To increase the contribution of local industries to GDP by 10% by 2024. | *[Include the cause of the risk, possible risk event and the potential impact of the risk]*If there is an extended period of drought, this may cause a decline in production, which would result in a reduced contribution to GDP. | *[Indicate if the risk is either an opportunity or a threat]*Threat | *[Stating suitable group in which the risk is classified into]*Medium-term Strategic Risk | 4 | 5 | *[P\*I]*20 | *[Indicate the general action to be taken if the risk occurs, i.e. avoidance, reduction, sharing or acceptance]*Reduction | *[Elaborate on the actions to be taken to either enhance opportunities or reduce threats]*Encourage MSMEs to partner with farmers and assist them in acquiring the necessary equipment to mitigate against the drought conditions such as: drip irrigation system; water tanks; and plastic mulch. | *[Indicate which individual, i.e. the position of the individual, in the MDA that is responsible to take the necessary steps to mitigate against the identified risk]* Director, MSME Division |
| **Sub-programme 1.0:****[Name]**Agro-Industry Development**Objective:** To increase output and export value of the agricultural sector by at least 5% annually. | Output may decline if irrigation system is not installed. | Threat | Operational Risk | 4 | 5 | 20 | Reduction | Train farmers in techniques in mitigating against drought conditions and the importance of the necessary investment to be made to increase production. | 1. Extension Officer, RADA
2. Manager, On-Farm Irrigation/Water Management
 |

# ANNEX D - PROCUREMENT PLAN

Please insert Procurement Plan in the Operation Plan in keeping with the requirements of the Ministry of Finance and the Public Service.

# ANNEX E - BALANCED SCORECARD (MEDIUM TERM)

*[Develop an organisational Scorecard as per template below, indicating how the strategic objectives in the Strategy Map will be achieved.]* ***Please ensure that all the strategic objectives (including the ones added) must be displayed in the Scorecard. The strategy map must be consulted when preparing the balanced scorecard to ensure synergy between the two matrices.***

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *[***Objectives** | **Measures (Performance Indicators)** | **Targets** | **Major Initiatives**  | **Medium- term Budget ($)** |
| **STAKEHOLDER PERSPECTIVE** |
|  |  |  |  |  |
|  |  |  |  |  |
| **FINANCIAL PERSPECTIVE** |
|  |  |  |  |  |
|  |  |  |  |  |
| **INTERNAL BUSINESS PROCESS PERSPECTIVE** |
|  |  |  |  |  |
|  |  |  |  |  |
| **LEARNING AND GROWTH PERSPECTIVES** |
|  |  |  |  |  |
|  |  |  |  |  |

ANNEX F - MONITORING AND EVALUATION PLANS

## INSTRUCTIONS

*[Fill out the Monitoring and Evaluation Plans in accordance with the definitions/explanation given below.* ***Only*** *the major sub-programmes aligned to the key programmes of the Ministry are to be incorporated in the Plans.* ***Please note that the frequency and selection of methods for monitoring and evaluation of the priorities are left to the discretion of the Ministry****.*

*The* ***Baseline Data*** *for a priority should be identified for the current year (i.e. 2019/2020). This should be used later to provide a comparison and/or measurement for assessing the progress and impact of the programme/policy initiative.*

*The* ***frequency (timeline)*** *of monitoring and evaluation should explain how often or at what point monitoring or evaluation methods will be used and the findings reported on.*

***Monitoring*** *is the regular/continuous tracking of the key elements of the sub-programmes overtime in order to assess progress - for example, quarterly or yearly****. Please be mindful of the relevant section(s) of the FAA Act.***

***Evaluation*** *is the periodic systematic collection and analysis of evidence on the outcomes of the sub-programmes in a comprehensive manner to make judgements about their relevance, sustainability, performance and alternative way to deliver them or to achieve the same results. Evaluations are undertaken at four (4) periods of the programme cycle and the specific point at which an evaluation is to be done should be expressed on the table as follows*

* + - *Initial (ex-ante) - This evaluation is undertaken prior to the commencement of the sub-programme initiative and it focuses on its relevance.*
		- *Mid-term – This is done for an ongoing initiative and is generally done at the midway point of the initiative’s stipulated timeframe. This evaluation will focus on the relevance, effectiveness and efficiency of the sub-programme initiative.*
		- *Terminal (complete) - This evaluation is undertaken at the completion of the sub-programme initiative’s implementation and it focuses on the effectiveness and sustainability of the initiative.*
		- *Impact (ex-post) - This evaluation is usually undertaken 3 – 5 years after the completion of the sub-programme initiative and it focuses on the impact and sustainability.*

*The* ***Monitoring and Evaluation Methods*** *tell how information is sourced and the method used in collecting data. The methods (eg. field surveys and visits, focus groups, etc.) describe the information collection mechanism used to gather information on specific indicators and targets.]*

## ANNEX F1 - MONITORING PLAN

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Subprogramme** | **Output Performance Indicator(s)** | **Baseline Data (2018/2019)** | **Departmental- level major tasks to realise the objective of the programmes/ sub-programmes** | **Monitoring Frequency****(Toward the realisation of the objective of the priority policy, programme or project)** | **Monitoring Method(s)** |
| **Year (2020/2021)** | **Year (2021/2022)** | **Year (2022/2023)** |
| **Target** | **Monitoring Timeline** | **Target** | **Monitoring Timeline** | **Target** | **Monitoring Timeline** |
| **Agro-Industry Development** | # of Agro-parks fully established implemented per year | 5 new Agro-parks established and Nine (9) operational | Development and implementation of Agro-Parks programme and Global Gap Programme | Fourteen (14) Agro-parks operational and at least two (2) New Agro-parks established | Quarterly | 16 Agro-Parks operational and at least two (2) New Agro-parks established | Quarterly | 18 Agro-Parks operational and at least two (2) New Agro-parks established | Quarterly | * Site visits (observation)
* Project Manager’s progress reports
 |
| # of Agro-Parks certified with Global Gap certification | 1 Agro-Park certified with Global Gap certification | 5 Agro-parks certified | Quarterly | 1 New Agro-park certified | Quarterly | 1 New Agro-park certified | Quarterly | * Site visits (observation)
* Project Manager’s progress reports
 |
| *[Insert another programme/ sub-programme]* | *[Insert related performance indicator(s)]* | *[Insert baseline data]* | *[Insert major tasks]* | *[Insert related target]* | *[Insert monitoring timeline]* | *[Insert related target]* | *[Insert monitoring timeline]* | *[Insert related target]* | *[Insert monitoring timeline]* | *[Insert monitoring method(s) to be used]* |

## ANNEX F2 - EVALUATION PLAN

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Programmes / Subprogramme** | **Objectives** | **Expected Outcome(s)** | **Evaluation Type (Frequency) and Completion Date** | **Evaluation Questions** | **Evaluation Method(s)** | **Entity Responsible for Evaluation** |
| ***Agro-Industry Development*** | To increase output and export value of the agricultural sector by at least 5% annually. | * Competitiveness of the agricultural sector increased
* Reduction in food import bill
 | Mid-term; March 2024 | * Are activities being implemented as planned?
* Were there any major challenges in the process of implementing the planned initiatives?
* Are there prospects that the sub-programme objectives will be achieved?
 | Document reviews,STATIN Import Data Report% contribution to GDPFood Export Income | MICAF |
| *[State another sub-programme, if necessary]* | *[State related goal(s)]* | *[State related expected outcome(s)]* | *[State type/ frequency and completion date of evaluation]* | *[State relevant evaluation questions based on the evaluation type]* | *[State evaluation method(s)to be used]* | *[State the entity responsible for the evaluation]* |

**ANNEX G – SUB-PROGRAMME LOGIC MODEL**

***INSTRUCTIONS***

*[Develop a Logic Model/Results Framework for each sub-programme aligned to the various programmes,*

*outlining the objectives of each programme and sub-programme. It should capture the results at each stage of*

*the framework as well as the indicators and key assumptions]*

*The Logic Model is developed per guidance below:*

* ***Identify the Programme Objective*** *– Develop a brief and broad goal of the Ministry that serves*

*to address a problem specific to the Ministry’s mandate. These objectives have medium to long*

*term applications.*

* ***Identify the Sub-programme Objective –*** *Outline the medium-term sub-programme goal in which*

 *The Ministry desires to achieve. This objective should be* ***SMART*** *(****S****pecific,* ***M****easurable,*

 ***A****chievable,* ***R****ealistic and* ***T****imebound).*

* ***Identify the intermediate outcomes*** *– Determine the changes expected in the medium to long*

 *term, which will ensure the programme objectives are achieved.*

* ***Clarify the causal linkages between results*** *– Define the inputs, activities undertaken, outputs*

 *produced and immediate outcomes required to realise the intermediate outcomes. Each area*

 *must be outlined causally.*

* ***Identify critical assumptions*** *– Determine assumptions at each level starting from activities*

 *going up to the intermediate outcomes to ensure that the strategic objectives are achieved.*

* ***Identify result indicators*** *– Define indicators suitable for measuring the outputs, immediate*

 *and intermediate outcomes.*

* ***Review logic model*** *– Examine the model to ensure coherence. The model should be*

 *straightforward and understandable.*

**LOGIC MODEL TEMPLATE [SUB-PROGRAMME]**

**INPUTS**

**ACTIVITIES**

**OUTCOMES**

**Mobilised Resources**

 **Major initiatives**

**Immediate**

**(months - 2 years)**

**Intermediate**

**(2 – 5 years)**

**Long-term**

**Products/Services**

*Resources needed to implement or operate the sub-programme*

*The projects, tasks, policies, and/or activities undertaken to produce the output*

*The direct products or services produced from the activities of the activity*

*The immediate (short-term) changes expected to be seen on completion of the programme.* ***Example****: Changes in skills, capacity, access, attitudes, knowledge, systems, processes, strategies, and opinions.*

*Intended effects that are achieved by the mid-term assessment or at the end (ex-post)* ***Example****: Changes in behaviour, performance, practice, policies, decisions, relevance, efficiency, effectiveness of products, fiscal risks, transparency and accountability, supply and demand, and decisions.*

*Long-term intended effects/changes (highest level of change attributed to the intervention).* ***Example****: Changes in status or life conditions (social, economic, civic, environmental, human, health vulnerability, employment rate, budget deficit/surplus, security level, realised mission/vision)*

**ASSUMPTIONS**

**EXTERNAL FACTORS**

*The beliefs about the sub-programme, the people involved, and how it will work.*

*The environment in which the programme is being delivered (economic, political, cultural, historical, and social contexts etc.)*

**OUTPUTS**

|  |  |  |
| --- | --- | --- |
| **Programme Name:*****[Insert name]*** | ***Programme Objective*:** |  |
| **Sub-Programme Name:*****[Insert name]*** | ***Sub-Programme Objective*:** |  |

***NB.*** *Output and immediate outcome represents changes at the sub-programme level, while Intermediate outcome represents programme level results.**These aid in crafting the sub-programme and programme objectives.*

EXAMPLE 1 – LOGIC MODEL: MENTAL HEALTH SERVICES

***Programme Objective: To Improve the quality of life for Jamaica’s mentally ill.***

***Sub-programme Objective: Improve the efficiency and effectiveness of medical, nursing and rehabilitative care services offered to clients by 25% over the next four years.***

**INPUTS**

**ACTIVITIES**

**OUTCOMES**

 **Mobilised Resources**

**Key tasks**

**Immediate**

**Intermediate**

**Long-term**

**Products/Services**

*Human Resource [Health Care Providers and Administrative]*

*Physical Infrastructure*

*Financial Support*

*Training*

*SOPs*

*Policy & Legislative Framework*

* *Resident and Outpatient services*
* *Social, Forensic Psychiatric and Psychological assessments*
* *Psychiatric emergency, nursing and medical board services rendered*
* *Psychological Interventions*
* *Rehabilitative Care*
* *Train officers*
* *Policy Research*
* *Procurement*
* *Revision of SOPs and business processes*
* *Stakeholder engagement*
* *Create marketing Plan*
* *Create Customer Service Improvement Plan*
* *Substance Abuse Treatment Centre established*
* *Patients treated*
* *Patients rehabilitated and reintegrated*
* *Officers trained*
* *Policy recommendations*
* *Updated facilities and equipment*
* *Modernised processes and procedures*
* *MOUs and SLAs*
* *Ad Campaign (using convention media and social media etc).*
* *Customer Service improvement initiatives implemented (Service standards etc.)*
* *Improved skills, competencies and capacities of medical, nursing and health care personnel.*
* *Improved access to mental health services.*
* *Reduction of in the severity and occurrence of mental health symptoms in patients.*
* *Improved patient functionality and independence.*
* *Reduction in the average length of stay at the facility.*
* *Improved methods, systems and approaches to mental health services, care and treatment.*
* *Greater stakeholder involvement in treatment provided. E.g. Referrals, medications, financial resource and knowledge exchange.*
* *Greater public awareness of mental health services and illnesses*
* *Improve delivery of Hospital services, treatment and care.*
* Sustained improvement in functionality and productive activity of patients (resident and discharged).
* Improved satisfaction of clients with services rendered.
* Reduced discrimination towards Mental Illnesses and the Mentally ill
* Modernised policy framework for mental health treatment.
* *Improved mortality and quality of life for persons living with severe mental health illnesses*

**ASSUMPTIONS**

**EXTERNAL FACTORS**

* *Financial and human capital resources will be made available.*
* *International and Local partners will provide*
* *Negative public perception of mental health, health services and patients.*
* *Legislative Reform*

INDICATORS

***Intermediate***

* *% reduction in symptoms/patient episodes*
* *% reduction in readmission rate*
* *Client satisfaction rate*

***Immediate***

* ***% of rehabilitated patients*** *employed/enrolled in productive activity*
* *Average length of stay (in days)*
* *% adherence to follow-up care schedule.*
* *% reach in public awareness campaign for mental* ***illnesses.***

***Output***

* *# of patients treated*
* *# of patients rehabilitated*
* *# of patients discharged*
* *# of officers trained*
* *# of processes modernised/ # of new techniques adapted*
* *# of MOUs/SLAs signed*
* *# of Customer Service Improvement initiatives implemented.*

***Long-term***

* ***Mortality of patients.***
* *% improvement in patient reintegration and enrolment/employment*
* *% reduction in diagnosed psychosis related to drug* ***addictions.***

**OUTPUT**

EXAMPLE 2 – LOGIC MODEL: Integrity Commission

***Programme Objective:***

***Sub-programme Objective:***

**INPUTS**

**ACTIVITIES**

**OUTCOMES**

 **Mobilised Resources**

**Key tasks**

**Immediate**

**Intermediate**

**Long-term**

**Products/Services**

*Human Resource [Analysts, Statistics, Evaluators]*

*Tools, Technology and Equipment*

*Financial Support*

*Training*

*MDA Performance Reports*

*Data*

*SOPs*

***Executive Administration***

* *Training of staff*

***Information and Complaints***

* *Statutory declarations processing and reviews*
* *Review of complaints*

***Investigations***

* *Investigations convened*
* *Investigation reports referred to
prosecution*

***Corruption Prosecution***

* *Provision of Legal advice*
* *Seize, restrain, forfeit and recover
property relating to acts of corruption*
* *Conduct criminal proceedings*

***Policy, Training, Public Education & Civil Engagement***

* *Formulation and review of Integrity Commission Code of Conduct*
* *MDA training and sensitisation campaign*
* *Public Education*
* *Pursue civil partnerships*
* *Staff trained*
* *Investigation recommendations from reviewed Declarations or Complaints or Notifications.*

* *Investigation Reports produced.*
* *Legal Counsel supplied*
* *Prosecution of Acts of Corruption*
* *Ratified Code of Conduct*
* *Public sensitisation sessions and fora hosted*
* *MOUs signed*
* *MDAs trained and sensitized*
* *Corruption Detection, Investigation and prosecutorial capacity of staff improved.*
* *Improved responsiveness to perceived acts of corruption.*
* *Efficient disclosure of acts of corruption and associated effects.*
* *Successful enforcement of corruption prosecutions.*
* *Improved MDA awareness of Integrity Commission initiatives.*
* *Business process reengineering reflecting the implementation of code of conduct.*
* *Improved citizen/private sector awareness of anti-corruption initiatives.*
* *Greater efficiency in discharging corruption detection, investigation and prosecution.*
* *More robust statistical framework detailing corruption related effects.*
* *Sustained reduction in the incidence of corruption.*
* *Improved compliance to Anti-Corruption code of conduct.*
* *Improved citizen/private sector participation in anti-corruption initiatives.*
* *Robust evidence based Legislative and Policy framework designed to prevent, detect, investigate and prosecute acts of corruption.*
* *Sustained Reduction in acts of corruption*
* *Establishment of a culture of public participation in anti-corruption initiatives.*
* *Improved public and international perception of corruption.*

**ASSUMPTIONS**

**EXTERNAL FACTORS**

* *Active participation of stakeholders in all MDAs*
* *Buy in and support from heads of MDAs*
* *Continued internal support for continued roll out of Code of Conduct across government*
* *Adequate funding available*
* *Lack of accountability and transparency in the public sector*
* *Judiciary backlog may restrict the pace of prosecutions*

INDICATORS

***Intermediate***

* *% compliance to reporting Integrity Commission requirements by MDAs.*
* *% increase in civil interest groups’ participation in Integrity Commission initiatives.*

***Immediate***

* Turnaround time to investigate complaints or notifications or reports.
* Reporting frequency for corruption investigations and prosecutions
* % success of seizure, forfeiture and recovery of property related to acts of corruption
* % adoption of Integrity Commission code of conduct by MDAs.
* % increase in social media reach and public response to media activities.

***Output***

* *% of investigation reports completed within agreed timeframe*
* *Extent to which technical documents (e.g. code of conduct) are sound/responsive*
* *# of workshops, retreats, sessions undertaken*
* *Turnaround time to reviewing statutory declarations/complaints*
* *% of successful prosecutions*
* *# of MOUs signed*
* *# of MDAs in receipt of training*

***Long-term***

* *Extent to which results-culture has changed*
* *% reduction in acts of corruption*
* *% increase corruption perception index score*

**OUTPUTS**

# ANNEX H - GLOSSARY OF RISK TERMS

| **Heading/Item** | **Definition/Description** | **Instructions** |
| --- | --- | --- |
| Acceptance | No action is taken to affect the likelihood of the risk occurring or its impact. |  |
| Avoidance | Action is taken to withdraw the activities giving rise to the risk. |  |
| Financial Risk | The possibility that actual fiscal outcomes will deviate from the fiscal outcomes expected based on budgetary allocations approved. | Risks must be related to budgetary allocations/expenditures |
| Impact | This is the evaluated effect, consequence or result of the risk event based on the scale detailed in the scoring section of the risk tables | The risk Impact Table in the 'Risk Tables' sheet guides the impact level to be applied. |
| Medium-term Strategic Risk | This risk affects the expected intermediate outcomes of the Ministry. | These risks are at the Programme level. |
| Operational Risk | The risk of loss resulting from inadequate or failed internal processes, people and systems or from external. | Risks that lead to ineffective and inefficient use of the organization's resources.  |
| Opportunity | The possibility that an event will occur and positively affect the achievement of objectives.  | The three treatment options available for opportunity are Accept/exploit, Avoid, Share. |
| Probability (Likelihood) | The chance of something occurring  | The weight of chance or possibility of the risk being realised (occurring) is guided by the scale in the scoring section. |
| Reduction | Action is taken to reduce the likelihood of the risk occurring and/or its impact. Decisions regarding daily operations may need to be taken. |  |
| Response | This outlines the options and actions that enhance opportunities or reduce threats.  | The Response plans should be specific enough to implement. |
| Risk | The effect of uncertainty on objectives.Event or incident that may affect the Authority’s ability to effectively continue business functions necessary to meet its objectives or which may result in the Authority missing significant opportunities  | A risk may either be a threat to the achievement of an objective and/or an opportunity to be exploited.  |
| Risk Category | Classification of all risks into groups for ease of management.  | The following Risk Categories are utilised in classifying the risks Compendium of Annex: Medium-term strategic risks, Short-term strategic risks and Operational risks.  |
| Risk Description | A brief description of the potential risk. | This should include the cause of the risk, the risk itself and the impact the risk could have; e.g. “Due to (cause)…there is a risk that (statement)…therefore (impact)…” |
| Risk Matrix | Tool used to rank the risks based on the score derived from the likelihood and impact. |  |
| Risk Owner | The person accountable for the implementation of the strategies to treat (mitigate or eliminate) the risk; is responsible for agreeing, overseeing and implementing stated response actions (i.e. manage the risk) |  |
| Risk Register | The primary tool used to record the details of all risks identified. The register will capture risk information from the "bottom up" in each function area. It is used to manage and track risks; document treatment options and strategies for mitigation/elimination; provide the basis for risk reports and provide evidence to support decisions for resources, prioritization and general business strategies |  |
| Risk Response | Measures developed to limit the adverse impact of identified risks. The treatment is intended to reduce or eliminate the likelihood or impact of the risk | Must be preventative, detective or corrective |
| Risk Score | The numerical value of an identified risk determined to prioritize a risk for treatment. | This is an automated field which will calculate the score based on likelihood\*impact.  |
| Risk Type | Risk may either be a threat (negative impact on objectives) or an opportunity (positive impact on objective). |  |
| Sharing | Action is taken to reduce the likelihood of the risk occurring or its impact. The action could be aimed at transferring or sharing a portion of the risk.  |  |
| Short-term Strategic Risk | This risk impacts the expected immediate outcomes of the Ministry. That is, the results expected directly from a deliverable. | These risks are at the Sub-Programme level. |
| Threat | An impending or imminent peril that will have a negative effect on objectives |  |