**ANNEX TO THE STRATEGIC BUSINESS PLAN**

**(MINISTRIES)**

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# ANNEX A - 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.*

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| --- | --- |
| **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 an 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.*

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| **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.*

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| --- |
| **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.*

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| **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. |

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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 A - ENTERPRISE RISK REGISTER

| **Associated** **Objectives** | **Risk Name** **Description/** (Consequence) | **Opportunity/ Threat** | **Risk Category** | **Current Controls** | **Likelihood (P)** | **Impact (I)** | **Risk Score** | **Response Category** | **Response** | **Risk Owner** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Sub-Programme** *Agro-Industry Development***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]****1.0: Drought*** 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]*Strategic Risk | What has already been done to manage this risk and who is responsible for that control | 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]* |
|  |  |  |  |  |  |  |  |  |  |  |

# ANNEX B - STAKEHOLDER REGISTER

## 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 MoAF 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  | 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 - PROCUREMENT PLAN

## INSTRUCTIONS

*[Each Ministry’s Strategic Plan must include a Procurement Plan. Set out the resources in the Procurement Plan table below, in terms of goods (material, equipment and supplies) and work (construction and repairs), which are needed to carry out the day-to-day operations of the Ministry over the four-year period. Some instructions, as given by the Ministry of Finance and the Public Service are outlined below to help guide this process. Add rows for each year, if necessary. The most current change, if any, made to the Government’s Procurement Guidelines by the Financial Secretary, should be reflected.]*

***Instructions for the following columns:***

**Pick individual items OR do packaging of similar items and write them in this column.**

* + *Item description (What to buy?) -*
	+ *From where to buy? -*

**Identify, from where this package or item is most likely to be bought.**

* + *Procurement Method -*

**Write the procurement method planned to be used.**

***NB: The Procurement Plan is an extraction of the Procurement Form developed by the Ministry of Finance which has been adjusted to reflect planned procurement for years 2 and 3. Completion of the procurement for year 1 must be done. Ministries should make every effort to include the projected procurement activities for years 2 and 3.***

##  ANNEX C - PROCUREMENT PLAN MATRIX

 **FOR GOODS (MATERIALS, EQUIPMENT AND SUPPLIES)**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Item description (What to buy?)** | **Month when needed (When to buy?)** | **Quantity (How many to buy?)** | **From where to buy?** | **Estimated cost** | **Procurement Method** | **Procurement Schedule** |
| **Advertise (Insert dates)** | **Submission of Bids****(insert dates)** | **Bid Evaluation and recommendation approval****(insert dates)** | **Contract award (insert dates)** | **Delivery (insert dates)** |
| **YEAR 1 (2023/2024)** |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| **Item description (What to buy?)** | **Month when needed (When to buy?)** | **Quantity (How many to buy?)** | **From where to buy?** | **Estimated cost** | **Procurement Method** | **Procurement Schedule** |
| **Advertise (Insert dates)** | **Submission of Bids****(insert dates)** | **Bid Evaluation and recommendation approval****(insert dates)** | **Contract award (insert dates)** | **Delivery (insert dates)** |
| **YEAR 2 (2024/2025)** |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Item description (What to buy?)** | **Month when needed (When to buy?)** | **Quantity (How many to buy?)** | **From where to buy?** | **Estimated cost** | **Procurement Method** | **Procurement Schedule** |
| **Advertise (Insert dates)** | **Submission of Bids****(insert dates)** | **Bid Evaluation and recommendation approval****(insert dates)** | **Contract award (insert dates)** | **Delivery (insert dates)** |
| **YEAR 3 (2025/2026)** |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Item description (What to buy?)** | **Month when needed (When to buy?)** | **Quantity (How many to buy?)** | **From where to buy?** | **Estimated cost** | **Procurement Method** | **Procurement Schedule** |
| **Advertise (Insert dates)** | **Submission of Bids****(insert dates)** | **Bid Evaluation and recommendation approval****(insert dates)** | **Contract award (insert dates)** | **Delivery (insert dates)** |
| **YEAR 3 (2026/2027)** |
|  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

**ANNEXES D & E - 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 (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 D - MONITORING PLAN

|  |  |
| --- | --- |
| **Subprogramme** |  **Agro-Industry Development** |
| **Key Outputs**  | **Output Performance Indicator(s)** | **Baseline Data**  | **Major tasks to realise the objective of the associated initiative**  | **Monitoring Frequency****(Toward the realisation of the objective of the priority policy, programme or project)** | **Monitoring Method(s)** |
| **Year (2023/2024)** | **Year (2024/2025)** | **Year (2025/2026)** | **YEAR (2026/2027)** |
| **Target** | **Monitoring Timeline** | **Target** | **Monitoring Timeline** | **Target** | **Monitoring Timeline** | **Target** | **Monitoring Timeline** |
| New Agro-parks and AEZs developed and in operation  | # of Agro-parks fully established implemented per year | 5 new Agro-parks established and Nine (9) operational (2019/2020) | 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 (2019/2020) | 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 Key output]* | *[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 related target]* | *[Insert monitoring timeline]* | *[Insert monitoring method(s) to be used]* |

##  ANNEX E - EVALUATION PLAN

|  |  |
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| **Programmes / Subprogramme** |  ***Agro-Industry Development*** |
| **Expected Outcome(s)** | **Outcome Indicator(s)** | **Objectives** | **Evaluation Type** | **Completion Date** | **Evaluation Questions** | **Evaluation Method(s)** | **Entity Responsible for Evaluation** |
| Reduction in food import bill | % reduction in the food import bill | (state the objective related to the specific evaluation of the programme or initiative) | Mid-term | March 2025 | * To what extent has the food import bill been reduced?
* What has contributed to the reduction in the food import bill?
* What foods have seen a reduction in the import bill?
 | Document reviews,STATIN Import Data Report% contribution to GDPFood Export Income | MoAF |
| *[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]* |