



Final Report

September 8, 2011

INSPECTION OF THE CANADIAN HIGH COMMISSION

NAIROBI - KENYA

May 2 - 10, 2011

Foreign Affairs and International Trade Canada (DFAIT)
Office of the Inspector General
Inspection Division

Inspection Scope and Objectives

The scope of the Inspection included a review of Mission Management and the Political Economic Relations and Public Affairs, Commercial Economic, Consular and Common Services programs. The inspection objectives were to:

- ❑ Assess the effectiveness of the leadership and management practices of the Head of Mission (HOM) and the Mission Management team;
- ❑ Review the alignment of plans and activities, and program integration to Government of Canada and departmental objectives and priorities;
- ❑ Assess the adequacy of management controls and systems, procedures and the reliability of information for decision making and accountability purposes;
- ❑ Determine the extent of compliance with legislation, regulations and operating policies;
- ❑ Evaluate the use of resources to determine that they are judiciously used and if value-for-money is received; and
- ❑ Make recommendations, where warranted, to improve the efficiency and effectiveness of the Mission and its programs.

The focus and extent of on-site work was based on an assessment of materiality and related risk. This was done through communication with Headquarters (HQ) bureaux, including briefings by line management and the functional bureaux, review of relevant HQ and Mission documentation, past audit findings, and an analysis of recurring trends and systemic issues.

During the Inspection, inspection issues and lines of enquiry were further refined from information gathered through interviews with the Head of Mission and program managers, a meeting with Locally Engaged Staff (LES) representatives of the LES Management Consultative Board, individual interviews with staff, and results of other documentation reviewed. The level of inspection work was therefore based on issues and information identified and gathered at all levels: HQ, Mission management and Mission operations.

EXECUTIVE SUMMARY

An Inspection of Mission Management, the Political Economic Relations and Public Affairs, Commercial Economic, Consular and Common Services programs was conducted in Nairobi from May 2 to 10, 2011. A previous audit of these programs took place in 2004.

The High Commission in Nairobi is Canada's largest mission in Africa and is accredited to Kenya, Rwanda, Uganda, Burundi, Eritrea, Somalia, as well as the United Nations (UN) Environment and Habitat programmes and UN offices in Nairobi (UNON). The Mission provides a platform for several government departments and agencies that deliver regional programs and services. Overall, Mission Management is engaged and the appropriate governance structures are in place to facilitate effective program delivery and support a whole-of-government approach. Departmental programs are actively pursuing their objectives and providing good services to internal and external clients.

The key challenge for Mission Management is to improve relations with the LES community. Both management and staff noted a gradual decline in the relationship, citing communication issues, new security procedures and the results of the Total Compensation Review (TCR) as key contributors. This culminated in the withdrawal of the Locally Engaged Staff (LES) members of the LES Management Consultation Board (LESMCB). Mission Management should continue efforts to open lines of communication and re-establish an effective dialogue with the LES community.

The Political Economic Relations and Public Affairs (PERPA) Program is operating *** and benefits from strong formal and informal communication. It is, however, under-resourced to effectively cover its six countries of accreditation as well as provide adequate coverage of UN offices. ***. While PERPA activities are based on the objectives identified in the Mission Planning and Reporting (MPR) tool, further work is required to document priorities in a plan, as well as the key initiatives that will be undertaken. This plan would then be a valuable tool to use in consultations with headquarters to obtain concurrence on priorities and discuss opportunities for additional resources.

The Commercial Economic (CE) Program is functioning *** and has benefited from the ***. In addition to staff in Nairobi, the STC also provides leadership and oversight for Trade Commissioners in Dar es salaam, Addis Ababa and Lusaka. *** the team approach and group training related to TRIO and the Global Commerce Strategy has helped to established interpersonal links between staff. The strong collaboration experienced during the 2011-12 business planning cycle and the buy-in to a regional sector champion approach, are indicators of the Program's success.

The Consular Program is *** managed and benefits from strong teamwork. Internal communication is effective and supported by regular team meetings to review

program directives, discuss ongoing cases and set priorities. *** has been effective at directing work and ensuring that key activities are undertaken, although there is no Consular workplan in place.

The Common Services Program is running well with policies and procedures in place that provide for a good standard of services to clients. Operational plans have been developed through the use of the Common Service Business Plan, although specific workplans for the Finance and Human Resource Sections have not yet been finalized. Policies and procedures are communicated to staff and, as a best practice, placed on the Mission wiki. While providing effective services, concerns were raised by the HOM, MCO and partner department managers with respect to the Program's capacity to support expected future growth. These concerns were based on the lack of additional human resources provided to support growth that has already occurred (e.g. three CBS and seven LES in 2010). Further expansion is expected ***.

A total of 54 inspection recommendations are raised in the report, 53 are addressed to the Mission and one is addressed to Headquarters. Management has responded to each recommendation indicating action already taken or decisions made, as well as future action. Of the 54 recommendations, management has stated that 24 have been implemented. For each of the remaining 30 recommendations, management has indicated the initiatives in progress or the intended future action.

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MISSION MANAGEMENT

1.1 Overview

1.1.1 The High Commission in Nairobi is Canada's largest mission in Africa, with 37 Canada-based Staff (CBS) and 92 Locally Engaged Staff (LES), plus a contract guard force of 173. The Mission is accredited to Kenya, Rwanda, Uganda, Burundi, Eritrea, Somalia, as well as the United Nations offices in Nairobi (UNON), including the Environment and Human Settlements programmes. In addition to these bilateral and multilateral responsibilities, the Mission provides a regional platform for several government departments and agencies that deliver programs and services across a territory ranging from six to twenty countries. These include representation from Citizenship and Immigration Canada (CIC), the Canadian International Development Agency (CIDA), Public Safety (PS), the Department of National Defence (DND) and the Canada Border Services Agency (CBSA).

1.1.2 The Mission also provides support to the Office in Kigali, governed by a Hub and Spoke agreement on Common Services, and oversees the work of Honorary Consuls (HonCons) in Uganda, Burundi and Eritrea. Approximately eighty percent of the HonCons' time is spent on Consular and Immigration related activities.

1.1.3 The Mission oversees operating and capital budgets of \$3.3 million and \$312 thousand respectively, and is responsible for the management of 12 Crown-owned and 23 Crown-leased properties. The Mission collects approximately *** in revenue on an annual basis through the provision of Consular and immigration services.

1.2 Mission Management

Key Mission Management Criteria	Meets	Needs Improvement	Does Not Meet
The Mission's strategic objectives are consistent with Government and DFAIT priorities and guide staff performance measurement objectives.	X		
DFAIT programs have developed operational plans based on strategic objectives and advice/guidance from HQ.	X		
The Committee on Mission Management (CMM) is an effective forum to review and make decisions on Mission policies and management issues.	X		
The Locally-engaged staff Management Consultation Board (LESMCB) is an effective forum for dialogue between Mission Management and LES.			X
Mission Management ensures that employees remain informed of key priorities and common services policy decisions.		X	

Key Mission Management Criteria	Meets	Needs Improvement	Does Not Meet
Minutes of committee meetings, particularly CMM, are made available to all staff, as appropriate.		X	
The <i>Official Languages Act</i> is respected and promoted by Mission Management.		X	
Canadian public service values and ethics are promoted and reinforced, and employees are aware of available support resources (values and ethics, staff relations, etc.).	X		

1.2.1 Overall, Mission Management is engaged and the appropriate governance structures are in place to facilitate effective program delivery and support a whole-of-government approach. Departmental programs are actively pursuing their objectives and providing good services to internal and external clients.

1.2.2 The key challenge for Mission Management is to improve relations with the LES community. Both management and staff noted a gradual decline in the relationship and the growth of a more visible divide between CBS and LES. Discussions with both staff and management indicated that the change could be attributed to a perceived change in the tone of communications from management, and the lack of consultation and advance notice regarding the implementation of new security procedures. These were further exacerbated by the release of the first portion of the LES Total Compensation Review related to benefits, which was not received favourably by the LES. Shortly thereafter, the LES members of the LES Management Consultation Board (LESMCB) withdrew from the Board.

1.2.3 Communications from the HOM and Mission Management are delivered through town hall meetings with all staff. Program managers also use regular staff meetings to communicate issues raised at the Committee on Mission Management (CMM) as well as solicit input for future meetings. Mission management should continue efforts to open lines of communication and re-establish an effective dialogue with the LES community. For key Mission Management decisions, consideration should be given to identifying a communication strategy required to facilitate successful implementation, including informal advisement and consultation with staff prior to the final decision and formal notification.

1.2.4 The Mission is working to ensure that operations respect the requirements of the *Official Languages Act* and has recently appointed an official languages coordinator. Internal signage is available in both official languages, although some information (i.e. service standards, brochures, fire orders) was available in English only. Internally, both official languages are widely used, although there is a tendency to use English as the majority of LES do not speak French.

1.3 Management Controls

Key Management Control Criteria	Meets	Needs Improvement	Does Not Meet
The Mission's committee structure meets minimum requirements based on size (Health and Safety, Security, Contract Review, etc.).	X		
Mission committees are meeting regularly and effectively discharging their governance responsibilities.	X		
Program managers are provided regular financial/budget updates to facilitate effective management and decision making.		X	
Security policies and regulations are respected and promoted.	X		
The quarterly reconciliation of passport inventory is properly completed and certified.		X	
The mission's bank reconciliations are properly reviewed and signed-off on a monthly basis.	X		
The Mission has a plan to ensure the continuity of operations in the event of a major disruption or catastrophic event (i.e. business continuity plan).		X	
Mission hospitality guidelines are appropriate and reviewed annually by CMM.	X		
Hospitality activities are properly documented, demonstrate value-for-money and align with mission objectives.		X	
All employees have performance objectives set and annual reviews occur.	X		

1.3.1 Overall, key mission management controls were in place and operating effectively, with some areas identified for improvement.

1.3.2 Key committees are in place and contributing to the overall governance of the Mission. It was noted, however, that the composition of the Housing Committee included several program managers who also sit on the CMM. While a senior program manager should chair the Housing Committee, an effort should be made to ensure that the composition of the Housing Committee is representative of mission demographics (i.e. mission programs, a variety of position levels and family configurations, as well as a spouse).

1.3.3 A review of the passport reconciliations found that the HOM participated in four out of the last five quarterly reconciliations. The one oversight occurred during the period of ***, indicating that sufficient procedures were not in place to ensure HOM participation and sign-off.

1.3.4 A business continuity plan is not yet in place, although a site has been set up with basic equipment to be used as an alternate command post if required.

1.3.5 Hospitality activities were, for the most part, properly documented and in alignment with mission objectives. Some instances were noted, however, where the evaluations of events did not adequately demonstrate if an objective was furthered and what follow-up activities should occur. This is an important element in demonstrating value-for-money.

1.4 Recommendations to the Mission

1.4.1 Mission Management should renew efforts to improve a dialogue with the LES community and reconstitute the LESMCB.

1.4.2 Mission Management should ensure that communication plans are considered for key decisions to facilitate consultation, acceptance and implementation.

1.4.3 Mission Management should ensure that all internal signage, safety instructions and information for clients is available in both official languages.

1.4.4 Regular budget reports (i.e. monthly) should be provided to program managers by the Finance Section.

1.4.5 The composition of the Housing Committee should be revisited to ensure it is reflective of mission programs and demographics.

1.4.6 A business continuity plan should be developed, reviewed and tested regularly.

1.4.7 Mission management should ensure that all hospitality diaries effectively demonstrate value-for money by indicating how objectives were furthered and what follow-up activities should occur.

Mission Actions and Timeframes

1.4.1 With the establishment of a new LES Committee in Nairobi (1Aug2011), the HOM and new CMM will meet with the LESMCB and rebuild lines of communication with LES. In progress, August 2011.

1.4.2 While there have always been communication plans attached to implementation of any management decision in Nairobi, we will redouble our efforts to ensure that they are timely and effective. In progress, June 2011.

- 1.4.3 Signage and safety instructions will be translated in both official languages. In progress, October 2011.**
- 1.4.4 Budget reports are now provided to Programs at the end of each month. Implemented, August 2011.**
- 1.4.5 With the many change of CBS personnel in Summer 2011, the Housing Committee will be totally revamped. In progress, September 2011.**
- 1.4.6 The BCP will be further developed in concert with other mission contingency planning as per the department's Emergency Management Bureau template recently launched. Once this has been developed, approved by the Security Committee and endorsed by the CMM table top exercises will commence on a quarterly basis. In progress, December 2011.**
- 1.4.7 Greater oversight will be maintained over how diaries are completed to align with strategic objectives. In progress, September 2011.**

POLITICAL ECONOMIC RELATIONS AND PUBLIC AFFAIRS (PERPA)

2.1 Overview

2.1.1 The PERPA Program in Nairobi is managed by an FS-03 Program Manager (PM) acting in an EX-01 position, and supported by two officers (FS-02 and LE-08) and an AS-01 assistant. The Program also includes *** Officer who supports Mission objectives, ***. The financial resources available to the Program are provided below.

Budget	2010-2011
Operations	\$ 15,000
Travel	25,000
Hospitality	5,000
Post Initiative Fund (PIF)	7,800
GSRP Travel and Hospitality	10,000
Total	\$ 62,800

2.1.2 The PERPA Program covers bilateral relations for six countries as well as representation at the UN Environment and Habitat programmes, as well as UNON. The Program was downsized by two CBS resources in the past few years, including an FS-02 officer and an EX-01 focussed on the UN. The Program has found it difficult to manage the workload with the reduction in staff. It is also concerned about the added pressures that could be created through the expected addition of South Sudan to the Mission's countries of accreditation. The PERPA Program has also coordinated and supported 17 incoming missions in the past year, including two ministerial visits and one by the Governor General to Rwanda.

2.2 Planning and Program Management

Key PERPA Program Management Criteria	Meets	Needs Improvement	Does Not Meet
PERPA plans are aligned with the priorities and objectives outlined in the mission plan and informed by departmental and geographic bureau guidance and objectives.		X	
PERPA plans outline intended outcomes and results are measurable.		X	
Roles and responsibilities are clearly defined and have been communicated to all staff.	X		
Internal communications within the program effectively support program delivery.	X		

2.2.1 Overall, the Program is operating effectively and benefits from strong formal and informal communication. Weekly meetings provide a valuable opportunity for upward and downward communication, but minutes have not been recorded on a consistent basis. While detailed meeting minutes can be burdensome, the Program would benefit from a short record of key activities and decisions to facilitate follow-up.

2.2.2 While the activities of the Program are based on the objectives identified in the Mission Planning and Reporting (MPR) tool, further work is required to document PERPA priorities and the key initiatives that will be undertaken to achieve objectives. This plan would include key initiatives, outreach and strategic reporting that should take place and a general allocation of the human, travel and hospitality resources required to implement them. At the program level, it should also be easier to identify performance indicators that are within its control and where results can be more readily achieved over the short term. This will provide for a better linkage between the MPR and staff performance management plans (PMPs), as well as a tool to reinforce the teams focus on their contribution to overall Program objectives.

2.3 Implementation

Key PERPA Implementation Criteria	Meets	Needs Improvement	Does Not Meet
Strategic objectives and plans have been translated into individual or team work plans.		X	
Activities and initiatives are aligned with the Mission's key priorities and with the principles of the New Way Forward PERPA Renewal initiative.	X		
Program reporting is in-line with Mission and government objectives, timely and relevant.	X		
The program develops and maintains a contact base that meets programs needs and objectives.	X		
Relations with other mission programs facilitate program delivery (i.e. public affairs).	X		
The program facilitates a mission-wide coordinated approach to advocacy and common messaging.	X		

2.3.1 The PERPA Program is working actively to cover its key responsibilities and advance Canadian interests in the region. With six countries of accreditation and responsibility for the UN, the Program is under-resourced and experiences consistent challenges trying to cover its core responsibilities and engage in proactive outreach. It had benefited in the past from the presence of interns who provided coverage of less crucial, but nonetheless important, areas. ***. As a result, the Mission has not been able to meet its own expectations with respect to its ability to cover UN and believes that it is not meeting whole-of-government requirements in this area.

2.3.2 ***.

2.3.3 While concerns had been raised by the Geographic in the past with respect to the volume of reporting, the Mission has made a concerted effort to increase coverage. There is a need for more consistent feedback from HQ on reporting received to ensure that it is on target and value added. In an effort to increase the strategic focus of reporting and draw upon the wide coverage of partner departments in Nairobi, the PERPA Program has instituted a Mission Policy Committee. This group intends to meet quarterly to identify whole-of-government reporting opportunities related to broader regional issues of strategic importance to Canada. While the group is new, one report has already been produced on China role in East Africa. This report was well received by clients and inspired another mission in Africa to produce a similar report for its areas of accreditation.

2.3.4 The Public Affairs function supports other program activities by assisting in the planning of events, ensuring media coverage and information dissemination to relevant partners. In the past year these included four Post Initiative Fund (PIF) events tied to the PERPA objectives of freedom of opinion and expression, the promotion and protection of human rights and Francophonie advocacy, through training, seminars and other events.

2.4 Performance Measurement

Key PERPA Performance Measurement Criteria	Meets	Needs Improvement	Does Not Meet
The program has an established performance measurement system in place to monitor activities towards the achievement of objectives.	X		
The program assesses performance against their strategy / objectives and plans, and provides a high-level assessment of performance through the MPR system at the end of the fiscal year.		X	
Hospitality diaries demonstrate value-for-money and alignment with priorities.	X		

2.4.1 The end of year MPR exercise provided the Program with an opportunity to assess and document results achieved for the Mission as a whole. Without a specific PERPA plan, however, it is difficult to determine and measure whether or not the desired results were achieved. Through the use of short-term outcomes in a PERPA plan related to longer term priorities, such as the volume, focus and quality of reporting and activities, as well as feedback received from clients, the Program will be in a better position to measure performance.

2.4.2 Hospitality expenditures were properly accounted for and direct

linkages were made to program objectives demonstrating value-for-money. Officers do not have hospitality allocations and instead request funds on an as-needed basis. To encourage proactive outreach and network building, all officers should be provided with quarterly hospitality allocations. The amounts should be based on an officer's objectives and workplans, with each officer held accountable for its strategic use. As noted in the Mission Management Section of this report, there is also a need for a more consistent approach to the handling of sensitive hospitality information across programs.

2.5 Recommendations to the Mission

- 2.5.1 A PERPA plan should be developed to operationalize the high level objectives stated in the MPR and articulate performance indicators that are more directly within the Program's control.**
- 2.5.2 Records of decision should be kept for staff meetings and used to follow-up on the implementation of activities and initiatives.**
- 2.5.3 Quarterly hospitality allocations should be provided to all officers based on their individual objectives and outreach plans.**

Mission Actions and Timeframes

- 2.5.1 The Program Manager will organize a PERPA session with all members of the team to develop a PERPA plan based on the MPR, PMA and PMPs to operationalize the high level objectives and articulate the indicators that are directly within the Program's control, including the general allocation of the human, travel and hospitality resources required to implement the plan. In progress, September 2011.**
- 2.5.2 Systematic minutes of weekly PERPA team meetings are recorded and filed in the I:Drive/GR Folder. Implemented, August 2011.**
- 2.5.3 Quarterly hospitality allocations are provided to both FS Officers to facilitate their individual objectives and outreach plans. Implemented, June 2011.**

Recommendation to the Africa Bureau (GFD)

- 2.5.4 GFD should, in consultation with key partners, revisit the resource requirements related to ensuring coverage of the UN Environment and Human Settlements programmes.**

GFD Action and Timeframe

2.5.4

Headquarters Bureaux are well aware of the difficulty that Nairobi has in providing quality coverage of six countries of accreditation and also the UN agencies. Discussions are underway with OGDs and within DFAIT to determine if creative solutions might be found, and this issue will continue to be considered in the context of strategic and operational review as well as other re-balancing exercises. Given the current resource constraints in Nairobi, HQ Bureaux consider that the Mission is providing an appropriate level of coverage to the UN agencies. In progress and ongoing.

COMMERCIAL ECONOMIC (CE)

3.1 Overview

3.1.1 The CE Program in Nairobi is managed by an FS-04 Regional Senior Trade Commissioner (STC) and supported by an LE-09 trade commissioner (TC) and an LE-05 trade commissioner assistant (TCA). As a regional mission, the STC also provides direct support to officers in Dar es Salaam (LE-09, LE-08, LE-05), Addis Ababa (LE-09) and Lusaka (LE-09). Collectively, the team supports trade development in Uganda, Rwanda, Burundi, Somalia and Eritrea and advises on trade development in Malawi (via Lusaka), Djibouti (via Addis Ababa), and the Seychelles and Comoros (via Dar es Salaam). The Program is also expected to take on responsibility for South Sudan following its independence. The financial resources available to the Program in Nairobi are listed below.

Budget	2010-2011
Operations	\$ 3,085
Travel	23,894
Hospitality	6,705
Client Service Fund (CSF)	7,000
Total	\$ 40,684

3.1.2 The STC provides guidance to all of the offices on business planning, appropriate use of the client service fund (CSF), client service, TRIO usage and performance measurement (via the Dashboard). He also participates in high-level meetings and outreach to promote Canadian integrative trade interests.

3.1.3 Kenya is a member of the East African Community (EAC), along with Uganda, Rwanda, Burundi and Tanzania. The EAC, headquartered in Tanzania, is working to increase the integration of member countries through free trade, the establishment of a single East African tourist visa and a single currency. These and other initiatives are also creating significant commercial opportunities in infrastructure development, most notably the creation of an East African Power Pool and integrated rail and road networks.

3.2 Planning and Program Management

Key CE Program Management Criteria	Meets	Needs Improvement	Does Not Meet
Program objectives reflect departmental plans and priorities, including partner departments where applicable.	X		
Performance targets are defined, clear and measurable.	X		

Key CE Program Management Criteria	Meets	Needs Improvement	Does Not Meet
Roles and responsibilities are clearly defined and have been communicated to all staff.	X		
Internal program communication effectively supports program delivery.	X		

3.2.1 The CE Program is operating effectively and benefits from strong formal and informal communication. *** brought a new approach to management of the Program and its regional members, utilizing a combination of one-on-one discussions and regional conference calls. A regional team retreat was also held in late 2010 to reinforce teamwork, establish interpersonal links and deliver training related to TRIO and the Global Commerce Strategy. These initiatives have had a positive effect on team dynamics, as evidenced by the strong cooperation and collaboration during the 2011-12 business planning cycle.

3.2.2 The Program has also instituted a regional sector champion approach, whereby different members of the regional team take the lead in developing regional initiatives under the integrative trade strategies (ITS) CSF. Nairobi is taking the lead on power generation, education and transportation. Dar es Salam is the lead on corporate social responsibility, and oil and gas activities, with Lusaka taking responsibility for mining equipment and services.

3.3 Implementation

Key CE Implementation Criteria	Meets	Needs Improvement	Does Not Meet
Business plan objectives and those outlined in management's PMAs (Performance Management Agreement) /PMPs (Performance Management Program) appropriately cascade down into staff PMPs.		X	
Activities and initiatives are aligned with the mission's key priorities.	X		
The program utilizes TRIO to facilitate client relationship management.		X	
TRIO use is monitored to ensure activities are reported appropriately and accurately reflect the work undertaken.	X		
The InfoCentre function has defined objectives and responsibilities.	X		

3.3.1 Overall, the Program is providing effective services and is actively working to identify and promote opportunities for clients. The majority of work is focussed on trade promotion, with the possibility of some growth in support to Canadian Direct Investment Abroad (CDIA) should Canadian companies pursue opportunities related to

the infrastructure initiatives of the EAC. Activities are well aligned with mission objectives and the implementation of an enhanced regional approach is already demonstrating results in terms of improved planning and number of funded projects under the ITS CSF.

3.3.2 The HOM is supportive of the Program and actively engaged in activities. This collaboration is generally ad hoc, and the Program would benefit from engaging with the HOM in a more formal manner. This could be done through identifying strategic outreach targets on a quarterly basis and proposing outreach and outcalls to the HOM to secure access and further develop networks.

3.3.3 A key success factor for the Program is the continuing support provided by the HOMs in Nairobi, Dar es Salaam and Addis Ababa. This requires active engagement, but also a recognition that the Program has responsibilities related to other missions as well. The Program is also well supported by the Office of the High Commission in Rwanda and the Honorary Consul in Uganda.

3.3.4 The Mission's priority sectors centre around power and transportation infrastructure. Education and mining are categorized as maintenance and emerging sectors respectively. Education related activities are covered primarily by the TCA. The level of activity has, however, increased significantly over the last few years with Canadian participation in education fairs growing from 11 universities in 2009 to 24 in 2010. The Mission anticipates that 30 or more could participate this year. As a result of this growth, the sector is transitioning from reactive to proactive, with a funded project under the ITS CSF and planned outreach to Canada this year. These developments and the related increased responsibilities placed ***.

3.3.5 The Program has market profiles on the Virtual Trade Commissioner website, including Information Communications Technologies (2010), Education (2007) and Power (2007). Given the growth in education and regional opportunities in power and transportation infrastructure, those documents should be updated.

3.3.6 TRIO had not been used consistently in the past and, as a result, the STC is working to increase the team's comfort level with the tool. The STC reported that TRIO use has improved dramatically, but is not yet reflective of the level of services provided to clients. A review of activities also indicated that officers generally close services on a quarterly basis, rather than following with the completion of the service. This distorts the Program's statistics and affects the timeliness of the automated client survey. Concerns were raised by staff regarding the speed of TRIO with the implementation of the CIC Global Case Management System, although this should be addressed by the planned increase to bandwidth across missions in 2011.

3.3.7 Staff PMPs were in place, but there was a general need for improvement related to the articulation of objectives and performance indicators. In particular, the inclusion of quantitative measures outlined in the business plan should be included as indicators in PMP and based on TRIO statistics.

3.4 Performance Measurement

Key CE Performance Measurement Criteria	Meets	Needs Improvement	Does Not Meet
Tools and mechanisms are in place to measure and monitor performance of the program.	X		
Program employees are involved in the performance measurement process.	X		
Hospitality diaries are maintained in a fashion that demonstrates value-for-money and alignment with priorities.		X	

3.4.1 The STC uses TRIO statistics to monitor and review the level of activity, number of core services provided, interactions and business leads. As noted earlier, there remains room for improvement in the usage of TRIO. The planned inclusion of quantitative sector based targets in staff PMPs should help reinforce its importance.

3.4.2 In line with the increasing regionalisation of the trade team, the STC will need to begin monitoring and discussing results in terms of individual, mission and regional performance. This will help maintain the balance between the importance of individual and team results. It would also help reinforce the regional sector champion framework by ensuring that a success in one mission in one sector is interpreted as a success of the entire team. This is particularly important if two different missions contribute to a single commercial result. Finally, by communicating results and market potential as a region, the Mission may be better able to gain the attention of Canadian clients.

3.4.3 Hospitality activities reviewed were in line with CE and mission objectives and expenses were properly supported. There is a need to improve the quality of the evaluations of events in hospitality diaries to demonstrate if, and how, value-for-money was achieved. It was also noted that hospitality funds were held by the STC with staff able to access those funds on an ad hoc basis. As a best practice, each officer responsible for proactive work in a sector should be provided with a quarterly hospitality allocation. These allocations should be based on their outreach and travel plans for the year and used to empower officers and hold them accountable for the strategic use of funds.

3.5 Recommendations to the Mission

3.5.1 In consultation with the Geographic Bureau, the Mission should revisit the approach to providing coverage of the education sector.

- 3.5.2 PMP objectives and performance indicators should be reviewed and improved for all staff. Where possible, both qualitative and quantitative measures should be incorporated.**
- 3.5.3 Quarterly hospitality allocations should be provided to staff based on sector objectives and outreach plans.**
- 3.5.4 Evaluations of events in hospitality diaries should more clearly indicate if and how objectives were furthered and what follow-up activities should occur.**

Mission Actions and Timeframes

- 3.5.1 Mission agrees that with growth of the education and other files, it is not sustainable ***. In progress, October 2011.**
- 3.5.2 Team objectives have been developed for new PMPs and performance measurements both qualitative and quantitative have been incorporated. Implemented, August 2011.**
- 3.5.3 Hospitality allocations have been provided for all staff. Implemented, June 2011.**
- 3.5.4 Closer attention will be paid to hospitality diaries to ensure that objectives, and follow-up are clearly indicated. Implemented, June 2011.**

CONSULAR

4.1 Overview

4.1.1 The Consular Program is overseen by an experienced AS-07 Management Consular Officer (MCO) with day-to-day management undertaken by an AS-05 Deputy MCO (DMCO). The DMCO is supported by an LE-08 consular officer with delegated signing authority and two LE-06 passport/consular assistants. The Program also oversees the delivery of services at offices in Kigali and Kampala, as well as Honorary Consuls (HonCons) in Eritrea and Burundi.

Budget	2010-2011
Travel	\$ 6,800
Hospitality	500
Total	\$ 7,300

4.1.2 The Mission provides approximately 1,048 passport services and processes approximately 47 citizenship applications and 207 notarial requests annually. There are 951 Canadian citizens in the Registration of Canadians Abroad (ROCA) database, whereas the estimated number of Canadians residing in Kenya is between 4,000 and 5,000.

4.1.3 The Program deals with complex consular cases and incidence of fraudulent documentation is high. The potential addition of South Sudan to its countries of accreditation will bring additional complexity and workload.

4.2 Program Management

Key Consular Program Management Criteria	Meets	Needs Improvement	Does Not Meet
Consular work is planned and prioritized.		X	
The Consular Contingency Plan is up to date.	X		
The Duty Officer Manual is up to date.	X		
The Mission has ongoing dialogue with key local authorities to facilitate program delivery.	X		
Regular staff meetings are held to review priorities, communicate policy and procedural changes, and keep staff apprised of case management issues.	X		

4.2.1 Overall, the Program is well managed and benefits from strong teamwork. Internal communication is effective and supported by regular team meetings to review

program directives, discuss ongoing cases and set priorities. The MCO provides advice and assistance when needed.

4.2.2 The DMCO has been effective at directing work and ensuring that key activities are undertaken, although there is no Consular workplan in place. The lack of a workplan can create challenges for staff and management in the event of the DMCOs absence.

4.2.3 Although the Consular Contingency Plan and Duty Officer Manual provided to the Inspection Team were up to date, the on-line versions in the ConPlan module of COSMOS are out of date, ranging from 2006 for Burundi and Somalia to 2009 for Kenya. The DMCO expressed an interest in developing the current Contingency Plan even further to incorporate plans for regional aid and evacuation procedures. The Program has a very strong warden network and maintains weekly radio checks with members. The Mission has developed strong connections with the Aga Khan Network in the region and has collaborated with the Aga Khan Community to identify areas of mutual benefit for emergency planning.

4.2.4 While the Mission maintains regular contact with a variety of local authorities, ***.

4.3 Client Service

Key Consular Client Service Criteria	Meets	Needs Improvement	Does Not Meet
Service standards, a fee schedule and a copy of the official receipt are posted in public areas in both official languages.		X	
The program monitors adherence to service standards and makes adjustments where necessary.	X		
The program has the capacity to provide services to Canadians in the official language of their choice.	X		
The Mission promotes client feedback mechanisms and takes corrective action, when warranted.		X	
The Mission has provided the Honorary Consul (HonCon) with a mandate letter which establishes their role, responsibilities and accountabilities and performance is reviewed annually.		X	
There is adequate liaison/support from the Mission for the HonCon.	X		

4.3.1 The Mission is well served by experienced, committed and motivated Consular staff. Service to clients is available in both official languages and service standards are routinely met. Consular information (i.e. service standards, fee schedules,

etc.) is posted in the waiting area, but is not consistently available in both official languages.

4.3.2 Feedback forms were available inside the consular booth, but clients were not provided with a secure place to submit them. As a result, completed forms were left in the open and available for other clients to review. Feedback forms were also not collected regularly.

4.3.3 The HonCons have a very good working relationship with the Consular Program in Nairobi, stating that support and guidance is provided in a timely manner by both the Mission and HQ. While performance is reviewed annually, the mandate letters for the Honorary Consuls were out of date and did not reflect the current expectations regarding service standards, advances or expenses.

4.3.4 A second passport printer is available as a backup. At the time of the Inspection, however, the Mission did not have the consumables (i.e. ink cartridges etc.) required for the printer to be used.

4.4 Internal Controls

Key Consular Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
A certified CBS signs-off on all passports, except in extenuating circumstances with the approval of Passport Canada.	X		
Client documents and personal information are properly stored and secured.	X		
Completed passport application forms and related documentation are securely destroyed 60 business days following the end of the month that they were submitted.	X		
There are adequate segregation of duties for staff handling revenues.	X		
Official receipts are issued to Consular clients and revenue is recorded on a record of fees received form.	X		
Revenues are transferred to the finance section once \$500 is reached (once a week if less than \$500).		X	
Upon receipt of new passport stock, two CBS verify the receipt of all assets, sign and return the transmittal note.	X		
The primary inventory of passport blanks (temporary and emergency), identification labels, observation labels, stamps, and seals are securely stored according to official policy.	X		

Key Consular Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
Removal of passport stock from secure storage is recorded on an inventory log and initialled by the CBS custodian and the employee receiving the asset.	X		
LES are allocated an appropriate working inventory that is controlled by a daily log (passports issued, spoiled, returned to safe storage) and unused inventory is stored securely at the end of each day.		X	
Inventory is physically counted, reconciled and signed-off at the end of each month by two staff, one of whom must be a CBS.		X	
The quarterly reconciliation of passport inventory is properly completed and certified.		X	
Official seals and stamps are properly inventoried, secured and access provided to designated staff only.		X	

4.4.1 While many key internal controls were in place, improvements are required with respect to the daily safeguarding of assets and revenues.

4.4.2 ***.

4.4.3 The working inventory is stored in the same safe as the applications and the ***. The daily storage of the working inventory should be moved *** where it can be securely stored throughout the day. The working inventory should be controlled by the DMCO through the use of the log to ensure daily review of inventory use and activity.

4.4.4 *** are stored in the ***. The specimens should be stored in the *** when not required.

4.4.5 Month-end inventory reconciliations were conducted by the DMCO alone. A review of the month-end returns and interviews with the staff indicated that the HOM actively participated in the quarterly reconciliation process, with one exception during the DMCOs absence.

4.4.6 The Mission does not have an inventory for ***. The inventory should serve as a register, indicating to whom the *** were issued and recording the individual's acceptance of responsibility. The inventory should be reconciled at a minimum annually.

4.5 Recommendations to the Mission

4.5.1 A Consular workplan should be developed to assist in resource planning and identify key initiatives that need to be undertaken.

- 4.5.2** Service standards and other information should be made available for clients in both official languages.
- 4.5.3** A locked box should be installed in the reception area for clients to deposit feedback forms. The box should be controlled by the DMCO and feedback shared with Consular staff, the MCO, HOM and HQ.
- 4.5.4** The Honorary Consuls should be provided with updated mandate letters.
- 4.5.5** Changes to the handling and safeguarding *** should be implemented to improve the segregation of duties and increase accountability related ***.
- 4.5.6** Consular revenues should be transferred to the Finance Section weekly or once \$500 is reached, whichever comes first.
- 4.5.7** Inventory controls should be strengthened by:
- Appropriately securing the working inventory;
 - Using a daily log sheet to record and control the movement of passport inventory;
 - Involving two staff (at least one a CBS) in the month-end passport inventory reconciliation; and
 - Maintaining inventories of ***.
- 4.5.8** The Mission should work with the Policy, Emergency Planning and Training Division (CEP) to ensure that the updated contingency plans are available in COSMOS.
- 4.5.9** Backup systems should be stocked with all required consumables to ensure that they can be used in emergency situations.

Mission Actions and Timeframes

- 4.5.1** The Section Manager will meet with Staff and HQ stakeholders to identify workplan items and priorities.
- Through staff consultation, the section will determine the most suitable format.
 - The section will populate the workplan and keep it updated by reviewing the contents on a monthly basis.
- In progress, September 2011.
- 4.5.2** All information has been posted in both official languages. Implemented, June 2011.

- 4.5.3 A lockable box will be acquired. Section Manager will Design and implement an SOP for regularly emptying box and following up on contents. In progress, August 2011.**
- 4.5.4 Mandate letters will be reviewed and updated. In progress, September 2011.**
- 4.5.5 A second *** will be acquired and *** will be segregated between the two passport officers. *** SOPs will be updated including storage and accountability procedures. In progress, September 2011.**
- 4.5.6 A \$500 limit will be implemented. Implemented, May 2011.**
- 4.5.7 The working inventory SOP has been changed; a daily log sheet has been introduced and two staff will be involved in every month-end inventory; A *** inventory has been completed. Implemented, June 2011.**
- 4.5.8 Contingency Plan drafting and approval process will be streamlined so completed plans are posted in COSMOS more rapidly. MSPM and the Consular Section are working together to finalize these plans and ensure they are available on COSMOS. In progress, September 2011.**
- 4.5.9 An inventory of consumables has been implemented and resupply triggers have been established for when inventory is low (printer cartridges in particular). In progress, August 2011.**

COMMON SERVICES

5.1 Overview

5.1.1 The Common Services Program is managed by *** AS-06 MCO, acting in an AS-07 position, who is supported by a team of 3 CBS and 39 LES, including 23 non-office staff members. The three CBS include a DMCO Consular/Human Resources, a DMCO Property and a Foreign Service Information Technology Professional (FSITP). The Program is responsible for providing common service support to 129 employees in six DFAIT and five partner programs, as well as support to the mission located in Kigali. The 2008 hub and spoke agreement with Kigali is currently being updated.

Program Management

Key Common Services Program Management Criteria	Meets	Needs Improvement	Does Not Meet
An operational plan has been developed and incorporates key Mission and international platform objectives, along with measurable expected results.	X		
The program has documented and communicated administrative policies and procedures to guide management, staff and clients.	X		
The Common Services program actively seeks to implement best practices, improve efficiencies and reduce operating costs.	X		
Regular meetings with staff in the Common Services program are held to review priorities and follow up on the implementation of plans.	X		

5.1.2 The Program is running well with policies and procedures in place that provide for a good standard of services to clients. Operational plans have been developed through the use of the Common Service Business Plan, although specific workplans for the Finance and Human Resource Sections have not yet been finalized. Policies and procedures are communicated to staff and are placed on the Mission wiki.

5.1.3 The *** have a good working relationship and have established regular meetings to ensure that proper planning and forecasting is undertaken. They are seen by the LES ***. Section Heads meet regularly with line supervisors, although there is no mechanism in place for the MCO or DMCO's to meet formally on a periodic basis with staff who report to LES line supervisors. There have been instances in the past where non-office staff have had issues with their LES supervisors that could have been easily solved with the direct involvement of either the MCO or one of the DMCOs.

5.1.4 Communications between the MCO and the HOM are ad hoc and issue based. *** would benefit from a more structured communication mechanism, such as a regular bilateral meeting.

5.1.5 While the MCO has developed some contacts with like-minded missions, there is no formal mechanism to ensure a regular dialogue takes place. The MCO should consider establishing a regular meeting (possibly every quarter) with his counterparts at other missions in Nairobi to ensure the sharing of information and to build relationships that could be useful during emergencies.

Client Service

Key Common Services Client Service Criteria	Meets	Needs Improvement	Does Not Meet
Service standards have been established and communicated to clients.	X		
Services provided reflect fair and equitable allocation and access to common services for all mission programs.	X		
A mechanism is in place to solicit and receive client feedback and corrective action is taken when warranted.		X	
Hub and spoke relationships are governed by an agreement outlining the roles and responsibilities of each mission.		X	

5.1.6 Overall, services provided to clients are effective. Service standards are in place for all areas of Common Services, many of which are posted on the wiki. These should be reviewed periodically to ensure they are current and the standard of service delivery is attainable.

5.1.7 While providing effective services, concerns were raised by the HOM, MCO and partner department managers with respect to the Program's capacity to support expected future growth. These concerns were based on the lack of additional resources provided to the Common Services Program to address program growth that has already occurred (e.g. three CBS and seven LES in 2010). Further expansion is expected ***.

5.1.8 The Mission provides airport transport service to all CBS and their dependents for personal and FSD related travel based on security requirements. However, there is no cost recovery process in place. This issue requires clarification from the Security and Intelligence (CSD) and Client Relations and Mission Operations (AFD) bureaus.

Recommendations to the Mission

5.1.9 The MCO and the HOM should establish a regular bilateral meeting.

- 5.1.10** Formal meetings with non-office staff members (including OR staff) should be held by the MCO or DMCOs on a periodic basis.
- 5.1.11** The MCO should ensure that a regular dialogue with counterparts at like-minded missions is established.
- 5.1.12** Common Service standards should be reviewed and updated periodically, in consultation with Mission Management.
- 5.1.13** The Common Services Program should implement a client feedback mechanism.
- 5.1.14** The service level agreement between the Mission and Kigali should be finalized and implemented.
- 5.1.15** A cost recovery mechanism for personal transportation to and from the airport should be implemented, subject to clarification provided by CSD and AFD.

Mission Actions and Timeframes

- 5.1.9** The HOM will establish regular bi-weekly meetings with the MCO. In progress, October 2011.
- 5.1.10** Regular bi-annual meetings will be established for the MCO or DMCOs to meet with the non-office staff members including the OR staff. In progress, October 2011.
- 5.1.11** The MCO will discuss with like-minded Missions to arrange for quarterly or bi-annual meetings. In progress, October 2011.
- 5.1.12** The Common Service standards will be reviewed annually following each relocation season. In progress, October 2011.
- 5.1.13** A client feedback mechanism will be implemented within the Mission work order application *** and on Connections for new arrivals, as well as on the Mission wiki. Implemented, August 2011.
- 5.1.14** The Mission has finalized the service agreement with the Kigali Office. Implemented, July 2011.
- 5.1.15** A cost recovery mechanism for transportation will be implemented. In progress, October 2011.

5.2 Human Resources (HR)

5.2.1 The HR function is the responsibility of an AS-05 Deputy MCO who also manages the Consular Program. He is assisted by an LE-06 LES Management Assistant. The DMCO has taken the lead on development of the Mission wiki, which is a good initiative. Mission policies and procedures are being systematically transferred to the wiki to make them more accessible, including HR roles and responsibilities, service standards and CBS arrival and departure information.

Management

Key HR Management Criteria	Meets	Needs Improvement	Does Not Meet
Responsibilities for human resource (HR) activities have been clearly defined, delegated and communicated to all staff.	X		
LES have been provided with the most recent version of the LES terms and conditions of employment.	X		
The LESMCB is representative of mission programs and employee levels, and is utilized by both LES and mission management to facilitate communication.			X
An HR plan has been developed and submitted to headquarters.		X	
A coordinated approach is taken with regards to training and a budget has been established.		X	
Mechanisms are in place to monitor the completion of employee's performance evaluations.	X		
Employee and position files are complete and maintained separately.		X	
Job descriptions are up to date and signed by the incumbent and the supervisor.		X	
The mission records LES accrued leave, deductions and current balances.	X		

5.2.2 While overall the HR function is well managed, there are a number of areas which need improvement, including the HR and training plans, filing practices and job description updates.

5.2.3 As noted in the Mission Management section of this report, the LES members of the LESMCB withdrew from the Board beginning April 1, 2011. The previous LESMCB met quarterly, with the HOM participating twice a year. Minutes of the meetings were circulated to all staff.

5.2.4 The Mission HR Plan is currently being updated and consultations with staff and program managers will be undertaken to identify gaps and forecast needs. The DMCO has been designated as the Mission Training Coordinator. While staff training is identified and discussed as part of the PMP process, the information is not coordinated at the Mission level. A training policy and budget have been established, however, this is managed on an ad hoc basis. The DMCO plans on developing a Mission-wide training plan as part of the HR planning exercise.

5.2.5 While separate position and personnel files were maintained, they were not complete. Job descriptions were also not up to date. As a best practice, missions could review the accuracy of job descriptions as a part of PMP discussions and make revisions when warranted.

Key Processes and Internal Controls

Key HR Processes and Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
Staffing actions are conducted in-line with the Locally-Engaged Staff and HQ Workforce Programs Bureau (ALD) guidelines. Written records supporting the process are maintained and contain required documents and approvals.	X		
Classification actions are conducted in-line with ALD guidelines. Written records supporting the process are maintained and contain required documents and approvals.	N/A	N/A	N/A
Letters of Offer are signed by the appropriate authority.	X		
New LES and CBS employees are provided with an information package on the working conditions, benefits and regulations pertaining to employment at the Mission.	X		
Staff are aware of the Values and Ethics Code and have signed a document certifying that they have read and understood this code. Mission Management informs staff of the requirements of the Code on an annual basis.	X		
Mission signage is provided in both English and French and a bilingual Official Languages Co-ordinator has been appointed.		X	
The Mission has sufficient capacity to communicate with and provide services to the public, both orally and in writing, in both official languages.	X		

5.2.7 Overall, HR processes and internal controls were in place and operating effectively. Incoming and outgoing staff (LES and CBS) processes are managed with the use of checklists which ensure key steps are completed.

5.2.8 The Section processed 29 staffing actions over the past year, including 15 indeterminate and 14 emergency. The majority of emergency employees were hired on behalf of CIC. The recent creation of new indeterminate positions for the CIC Program, however, should greatly reduce the burden on the HR Section related to emergency employment. No classification actions have occurred during the last year.

5.2.9 Values and ethics are taken seriously by Mission Management and the HOM regularly raises the subject in meetings with staff. The Mission also benefited from a December 2010 visit from the Values and Ethics (ZVE) Division.

5.2.10 A new Official Languages Coordinator has recently been appointed but has not yet had the opportunity to exercise his mandate. Staff serving the public are able to provide services in both official languages. While the majority of signage in the Mission is bilingual, there are still improvements to be made both within the Chancery and in the reception areas. A recommendation has been made in the Mission Management Section of this report.

Recommendations to the Mission

- 5.2.11 The Mission HR Plan should be finalized, approved by the CMM and submitted to Headquarters.**
- 5.2.12 A coordinated approach should be taken with regards to planning and budgeting for staff training.**
- 5.2.13 Job descriptions should be reviewed at least once every five years or when there is a substantial change to position duties.**
- 5.2.14 Locally-Engaged Staff and HQ Workforce Programs Bureau (ALD) documentation checklists should be used to ensure consistent and appropriate information is maintained on HR files (personnel, position and staffing).**

Mission Actions and Timeframes

- 5.2.11 An HR Plan using departmental guidelines will be drafted and submitted to CMM for approval. In progress, October 2011.**
- 5.2.12 Consultations with the LES Committee will be initiated to coordinate the training approach with PMPs and HR Plan for 2012-2013 budget. In progress, January 2012.**
- 5.2.13 A plan for rotation of job description reviews will be drafted so that they will all be reviewed every 5 years. In progress, October 2011.**

5.2.14 ALD checklists will be attached to each personnel, position and staffing file to ensure contents are complete. In progress, September 2011.

5.3 Physical Resources

5.3.1 The Physical Resources Section is the responsibility of an AS-05 DMCO who is assisted by a team of 27 LES. Twenty-three of the LES are non-office staff that undertake mechanical, maintenance, gardening, cleaning and transportation related support services. The Section currently manages 35 properties, including a Crown-owned Chancery, a Crown-owned official residence (OR) and a mix of Crown-owned and Crown-leased staff quarters (SQs). It also maintains *** official vehicles, three ***. The Section also provides support for the office located in Kigali.

Management

Key Physical Resources Program Management Criteria	Meets	Needs Improvement	Does Not Meet
The Mission Property Management Plan (MPMP) and the Mission Maintenance Work Plan (MMWP) are up to date and approved.	X		
Staff Quarters (SQs) are allocated based on the recommendations of the Housing Committee.	X		
The Chancery is well maintained and a maintenance schedule is in place.	X		
The Official Residence (OR) is well maintained and a maintenance schedule is in place.	X		
The mission has an efficient process in place for receiving, processing and monitoring work orders.	X		
Annual inspections are conducted to assess the state of SQs and input into maintenance and acquisition planning.		X	
The mission's multi-year Capital Acquisition Plan is approved by CMM annually.		X	
Local procurement guidelines have been established.	X		

5.3.2 Management of the Section is effective and maintenance schedules have been developed for the Chancery, OR and SQs. Contracts have been negotiated for some services and for the maintenance and servicing of all equipment necessary to ensure efficient and cost effective operations.

5.3.3 Staff are technically competent and qualified in their respective fields. Mechanical and maintenance staff perform daily building systems checks at the

Chancery. There is no checklist, however, to guide staff, ensure all key aspects are addressed, and record any deficiencies.

5.3.4 Included in the SQ portfolio are 23 Crown-leased and 10 Crown-owned properties. Locating properties and taking on new leases consumes a great deal of time and energy on the part of the property staff. The Mission has recently negotiated the leases for seven new SQs that are located on a security controlled compound. This is a good initiative as the use of a single site can result in significant cost savings to the Mission in the areas of utilities, fit-up, security and general maintenance (i.e. three generators will be required instead of seven, less travel for maintenance staff, fewer security guards, etc.). Similar leasing or purchasing arrangements could be the best model for the long-term sustainability of Mission growth and the SQ portfolio in general. With fit-up costs for new SQs often reaching \$100,000, purchasing units may allow the Department to get a better return on the initial investment.

5.3.5 Although the Chancery was constructed in 2003, it is already facing some serious problems involving structural cracks in the building's basement floor and issues with the exterior cladding. There is also concern regarding the Mission's ability to absorb growth given the current office layout and capacity. While there is some space available within the Chancery, any major growth would require re-configuration or the acquisition of an annex. These issues are currently being addressed by the Physical Resources Bureau (ARD).

5.3.6 The Section currently receives service and goods requests by e-mail, phone, or in person. The departmentally approved service order request system has been partially rolled out, however, a recent message from HQ advised that this system will no longer be supported once an upgrade to the SIGNET platform is introduced in 2012.

5.3.7 OR and SQ inspections are conducted only when CBS are due to depart the Mission following their assignment. Although the Housing Committee reviews SQs prior to recommending allocations to the HOM, the Property Section does not conduct formal annual SQ and OR inspections that could be used to assist in determining long range capital acquisition needs as well as maintenance requirements.

5.3.8 The CMM is presented with a capital purchase plan based on recommended requirements for the current fiscal year. The Section has not yet developed a multi-year capital acquisition plan that would assist in forward planning and budgeting.

5.3.9 The LE-08 Operations and Maintenance Supervisor has delegated management of the six cleaners to the LE-00 Mechanical Assistant. This is not in the individual's job description ***. While some day-to-day supervisory role is to be expected, responsibility for management should rest with the Operations and Maintenance Supervisor as outlined in his job description.

5.3.10 The duties of the LE-07 Property and Materiel Manager are similarly demanding and technical as the duties assumed by the LE-08 Operations and Maintenance Supervisor. The complexity of issues at the OR and within the SQ inventory, particularly since the Mission has leased an entire compound with seven new SQs to manage, are very similar to the complexities of managing the Chancery plant.

5.3.11 Maintenance staff are frequently asked to act as "heavy lifters" to move furniture and appliances. These duties fall outside of normal expectations for these employees and they have not been trained or provided with the proper equipment (forklift, lifts for van, etc.).

Client Service

5.3.12 Clients throughout the Mission were generally pleased with the quality and timeliness of services provided by the Property Section. SQs visited by the Inspection Team were well furnished and in good condition. Concerns were raised, however, with respect to the timeliness and quality of work undertaken at Crown-leased SQs, due to the reliance on each individual landlord. While repairs are the responsibility of the landlord, the Mission has a responsibility to ensure that work is properly completed in a reasonable timeframe.

Key Processes and Internal Controls

Key Physical Resources Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
An inspection is conducted by new SQ occupants and a mission representative within 30 days of occupancy, after which occupancy agreements and distribution accounts are signed.		X	
A percentage of costs for personal use of OR supplies is determined and regular reimbursements are made to the Mission.		X	
Costs of damages to SQs or furnishings, beyond normal wear and tear, are recovered from the occupant.	X		
Records of assets located in the Chancery, OR and SQs, as well as those in storage, are maintained on an ongoing basis and verified annually. Assets are appropriately safeguarded and controlled.		X	
Disposals are appropriately authorized and follow departmental guidelines.	X		
Vehicles logs are appropriately completed, demonstrating that use was for official purposes.	X		
Vehicle logs and mileage are verified monthly by a CBS to reconcile usage to gas purchases as well as monitor vehicle performance.		X	

5.3.13 Overall, internal controls were in place and effective. The Mission has developed a spreadsheet control system that tracks property related data such as utility expenses, lease information, and maintenance requirements and schedules. This data is used by the DMCO to determine budget requirements and to develop maintenance plans.

5.3.14 Inventories for SQ's have been established, although SQ occupancy agreements are often signed by the employee well after the 30 day deadline for completion. Materiel Transfer Vouchers (EXT 182) are used but often signed off in the wrong place by the SQ occupant and the Mission representative. Additionally some SQ inventories have not been signed by a mission representative.

5.3.15 The Chancery inventory has been completed, but it had not been signed nor a custodian identified. This makes it difficult to conduct a verification or reconciliation of assets. Inventories of tools and equipment used by the maintenance staff have also not been developed.

5.3.16 Personal charges for internet, satellite/cable and long distance telephone calls are paid by the HOM. A personal percentage of OR consumables (i.e. cleaning supplies, etc.) has been set for reimbursement by the HOM, but no invoices had been sent at the time of the Inspection.

5.3.17 Use of official vehicles is controlled and monitored through vehicle logs. However, monthly reconciliations of mileage and fuel purchases are not signed off or verified. Generators located at the OR and SQs should be treated with the same oversight and control.

Recommendations to the Mission

5.3.18 Maintenance staff should use a checklist to ensure key aspects are covered and to record any deficiencies discovered during daily systems checks.

5.3.19 All properties should be formally inspected at least once per year.

5.3.20 A multi-year capital acquisition plan should be developed and presented to the CMM for approval on an annual basis.

5.3.21 *.**

5.3.22 All lifting and movement of heavy items should be undertaken by individuals with the appropriate tools, training and safety precautions.

- 5.3.23 The Mission should closely monitor the timeliness and quality of work undertaken by the landlord at Crown-leased SQs.
- 5.3.24 A mission representative should review the SQ inventory with new occupants and ensure that the occupancy agreement and distribution accounts are signed within 30 days of initial occupancy.
- 5.3.25 Inventories for all assets should be prepared, signed by the custodian and reconciled on an annual basis.
- 5.3.26 The percentage of OR consumables owed by the HOM should be provided to the Finance Section on a regular basis to be included in the monthly CBS billing process.
- 5.3.27 A monthly verification and reconciliation of usage and fuel purchases for official vehicles and generators should be undertaken and signed off by the DMCO.

Mission Actions and Timeframes

- 5.3.18 Mission agrees with this recommendation and will put in place a checklist. Implemented, June 2011.
- 5.3.19 All properties will be inspected annually prior to each relocation cycle. In progress, March 2012.
- 5.3.20 A multi-year capital acquisition plan will be presented to CMM in conjunction with the annual budget submission exercise. In progress, December 2011.
- 5.3.21 ***.
- 5.3.22 The Mission already has in place Standing Offer Agreements for this type of service and will remind staff to raise this with their supervisor if there is work involving heavy lifting. Implemented, August 2011.
- 5.3.23 The Mission will continue to monitor timeliness and quality of work despite a challenging environment. Implemented.
- 5.3.24 Use Connections to track administrative information for all incoming CBS including occupancy agreements. Implemented, August 2011.

- 5.3.25** **The Mission will ensure that all assets are signed for and inventories reconciled in the last quarter of the fiscal year. In progress, March 2012.**
- 5.3.26** **Staff were reminded to invoice the HOM for the personal portion of the OR consumables based on policy already in place. Implemented, June 2011.**
- 5.3.27** **Vehicle fuel logs are already reviewed monthly by the D/MCO and a similar log and review will be put in place for the generators. Implemented, August 2011.**

5.4 Finance

5.4.1 The Finance Section is managed by the MCO with daily operations undertaken by an LE-08 financial management officer (FMO), three LE-05 accounts assistants and an LE-04 accounts clerk. The FMO and accounts assistants are experienced and clients were satisfied with services received.

5.4.2 The MCO devotes a substantial amount of time to management of the Section. Several initiatives have been implemented which have improved Mission financial operations, including:

- Changing the Mission bank to receive better services;
- Devolving budgets to managers and providing program assistants with IMS read-only access to improve accountability and monitoring;
- Communicating procedures and service standards to clients and enforcing Finance Section quiet hours; and
- Implementing consolidated monthly billing for personal services received by CBS.

5.4.3 While the MCO's involvement has been beneficial, it has resulted in a lack of clarity with respect to the role and responsibilities of the FMO. Currently, the FMO's main task is to review all documents before they are submitted to the MCO for signature. Given the scheduled departure of the MCO this summer, it will be important to ensure that the FMO undertakes the full range of duties associated with his position.

5.4.4 The Mission benefited from a one week visit by the Financial Operations - International Division (SMFF) in September 2010. A regional workshop for accountants was also held at the Mission in February 2011. Although the FMO attended the full session, the accounts assistants did not. The accounts assistants would benefit from additional training and should be considered when future training opportunities arise.

Management

Key Finance Management Criteria	Meets	Needs Improvement	Does Not Meet
Financial procedures have been established to guide clients and finance staff.	X		
The section employs methods to minimize disruption (eg. setting of "quiet hours" and controlling access to the finance section).	X		
The section has explored alternate methods to minimize transactions and reduce reliance on cash (i.e. acquisition cards, electronic fund transfers).	X		
Payment runs are kept to a minimum, but are sufficient to provide good client service.	X		
Roles and responsibilities ensure adequate segregation of duties.	X		

5.4.5 The Finance Section is well managed and good practices are in place, including a financial procedures document and a procurement and payment process summary. These documents are posted on the door to the Finance Section and on the Mission's wiki page. The Section could further augment this by creating checklists of required supporting documentation which would serve to guide finance staff and clients.

5.4.6 Financial reports are currently not provided to program managers on a regular basis to assist them with budget management. A recommendation to this effect has been made in the Mission Management Section of this report.

Key Processes and Internal Controls

Key Finance Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
A Contract Review Board (CRB) is in place and operating effectively with terms of reference.	X		
Contracting procedures have been documented and communicated to all staff involved in the process.		X	
Contracting files demonstrate compliance with policies and procedures.	X		
The mission's bank reconciliations are reviewed and signed-off on a monthly basis.	X		
The asset and liability report is reviewed on a monthly basis.	X		

Key Finance Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
Section 34 is exercised by individuals who possess the appropriate delegation of authority.	X		
Section 33 is exercised by individuals who possess the appropriate delegation of authority.	X		
A CBS receives the original monthly bank statement directly from the bank and reviews it prior to giving it to the accountant.		X	
Official receipts are provided to clients at the time of payment and to internal staff when funds are transferred (i.e. from Consular to Finance).	X		
Reconciliations of any funds transferred within the mission are conducted in the presence of two staff.	X		
Monthly reconciliations of immigration fees are completed and the EXT-1203 is signed by the appropriate authority.	X		
Travel and hospitality claim processes ensure that policies and guidelines are adhered to and that the accountant verifies the completeness and accuracy of the claim.	X		
A process is in place to ensure that, where applicable, CBS reimburse the mission for any services of a personal nature received at their staff quarters (eg. television, internet, telephone, etc.).	X		

5.4.7 Key internal controls are in place and operating effectively, with some areas for improvement identified below.

5.4.8 A Contract Review Board (CRB) is in place and meets virtually to review contracts that exceed \$10,000. As a best practice, the CRB should also review sensitive contracts, including spousal, dependant and sole source contracts. Staff involved in contracting are knowledgeable, but lack of documented procedures increases the risk that steps will be missed and documents held on file will not be consistent. Procedures are, however, in place to facilitate the contract payment process.

5.4.9 The FMO receives bank statements directly from the bank and verifies them before providing them to the accounts assistants for preparation of the bank reconciliations. A CBS should always be receiving the bank statement directly from the bank before providing it to Finance Section staff.

5.4.10 The FMO and all Accounts Assistants have access to ***located in the ***. An extra box of ***, as well as *** from the old bank account and *** received from clients are held in the *** are also kept in the ***. These practices create challenges in terms of accountability should any asset go missing and do not adequately protect staff.

5.4.11 During the course of the Inspection, petty cash accounts were verified. The petty cash account held by an administrative assistant did not reconcile. It was also noted that the amounts listed on the certification document and in IMS did not match for this petty cash account.

Recommendations to the Mission

5.4.12 The FMO should assume the full range of duties associated with his position.

5.4.13 Contracting procedures should be documented and shared with staff.

5.4.14 A CBS should receive original bank statements directly from the bank.

5.4.15 Access to the *** located in the *** should be restricted.

5.4.16 The number of *** in daily use should be reduced and securely stored when not in use. *** should be held by the MCO.

5.4.17 Petty cash procedures should be clearly explained to custodians and certifications reviewed to ensure they match with amounts held.

Mission Actions and Timeframes

5.4.12 Mission will incorporate a workplan for the FMO to assume the full range of duties with the position. Implemented, July 2011.

5.4.13 Contract and procurement procedures are posted on the wiki and all staff are reminded of this. Implemented, August 2011.

5.4.14 The Mission will ensure that original bank statements are received directly by the MCO. With the new bank, the MCO and DMCOs have direct access online and are able to confirm integrity of the bank statements. Implemented, August 2011.

5.4.15 Access to the *** is now restricted to the FMO and one staff in the Accounts Section. Implemented, August 2011.

5.4.16 The Accounts Office will be provided a limited inventory of one month's *** will be held by the DMCO. Implemented, August 2011.

5.4.17 A written petty cash policy has been implemented and explained to petty cash custodians. Implemented, August 2011.

5.5 Information Management - Information Technology (IM-IT)

5.5.1 The IM-IT Section is managed by a CS-02 FSITP, with oversight provided by the MCO. The Section is supported by two LE-07 Locally Engaged Information Technology Professionals (LEITP). The Section provides services to approximately 200 clients, including missions in Dar es Salam and Kigali. Temporary support is also provided to the mission in Harare until the arrival of the new FSITP this summer. The Client Support Regional Manager (CSRM) for the Middle East and Africa is also stationed in Nairobi.

Management

Key IM-IT Management Criteria	Meets	Needs Improvement	Does Not Meet
An Information Management - Information Technology (IM-IT) work plan exists and includes regional activities.	X		
The CMM or an IM-IT Committee provides direction and oversight for the IM-IT function.	X		
The liaison between the mission, HQ and regional manager is effective.	X		
IM-IT requirements in relation to business continuity planning (BCP) have been defined, implemented and tested.		X	

5.5.2 The Section is *** managed and the team works well together. Roles and responsibilities are documented and include back-up arrangements. There is a weekly meeting of the IT team and the FSITP attends the weekly Common Services staff meeting with all section heads.

5.5.3 The Section has developed an IM-IT business plan that includes a project workplan, identifies challenges, service standards and budget information. It is reviewed during staff meetings and progress against the objectives is discussed. Staff appreciate the direction that the plan provides.

5.5.4 While a business continuity plan is not yet in place, a site has been set up with basic equipment to be used as an alternate command post if required. The basic equipment would, however, only be able to support limited operations and has not been tested regularly. The Section is currently working with the Security Program on business continuity planning.

Client Service

Key IM-IT Client Service Criteria	Meets	Needs Improvement	Does Not Meet
Problems experienced by the user are generally resolved within a reasonable time frame.	X		
The mission uses the required IM-IT service request system and maintains relevant data.	X		

5.5.5 The Section is client service oriented and regularly monitors remedy tickets to ensure issues are resolved in a timely manner. The LEITPs recently benefited from participation in client services training. Clients interviewed confirmed that the Section provides a high level of service. Service standards are indicated in the IM-IT business plan and, while ITPs are usually able to respond in a timely manner, service standards have not been communicated to clients.

Key Processes and Internal Controls

Key IM-IT Internal Control Criteria	Meets	Needs Improvement	Does Not Meet
Back-ups are performed routinely and tapes are stored in a secure location away from the primary use area.		X	
The Mission has appropriate secondary communications in place and those tools are tested regularly.		X	
Standardized practices and processes are in place to facilitate management and sharing of corporate information across programs (e.g. e-mail best practices, effective folder structures).	X		
Controls are in place to ensure the <i>Network Acceptable Use Policy</i> (NAUP) is respected (SIGNET and digital subscriber line (DSL) connections).	X		
Employees formally sign out IT assets (mobility tools) and are advised of their accountabilities.	X		
Surplus IT assets are disposed with the appropriate approvals per departmental policy.	X		

5.5.6 Overall, IM-IT processes and procedures are effective, with minor improvements required for maintenance of satellite phones and storage of back-up tapes.

5.5.7 The Mission has a number of satellite phones, some of which have been assigned to different programs and others which have only recently been purchased. It is unclear to staff who is responsible for maintaining an inventory of these assets and ensuring that regular testing is performed as the IM-IT Section has not been involved.

5.5.8 Back-ups are performed regularly and *** are stored away from the primary use area ***.

Recommendations to the Mission

5.5.9 The IT equipment at the ACP should be tested on a regular basis.

5.5.10 Satellite phones should be tested regularly and an inventory maintained.

5.5.11 ***.

Mission Actions and Timeframes

5.5.9 IT equipment at the ACP will be tested quarterly. In progress, August 2011.

5.5.10 An inventory of satellite phones will be maintained and monthly testing procedures will be implemented. Implemented, July 2011.

5.5.11 The IT section will ***. In progress, September 2011.

Appendix A: Mission Resources Fact Sheet

Physical Resources		
Assets	Crown Owned	Crown Leased
Chancery	1	-
Official Residence	1	-
Staff Quarters	10	23
Vehicles		-

* 3 vehicles are dedicated to PS and DND programs.

2010-2011 Budgets	Program Budget	Common Services Budget
Operating (N001)	\$ 429,000	\$ 2,900,000
Capital (N005)	-	312,000
CBS Salaries (N011)	-	-
LES Salaries (N012)	302,000	1,800,000
Total	\$ 731,000	\$ 5,012,000

Full-time Equivalents	Total	CBS	LES
Head of Mission	6	2	4
Political Economic Relations and Public Affairs	5	4	1
Commercial Economic	3	1	2
Consular	3.5	0.5	3
Common Services	43.5	4.5	39
Security Program	3	3	-
CIC	50	12	38
CIDA	8	3	5
Public Safety	3	3	-
DND	4	4	-
Total Mission FTEs	129	37	92

Appendix B: Frequently Used Acronyms

BCP	Business Continuity Plan
CBS	Canada-based Staff
CMM	Committee on Mission Management
COMIP	Consular Management Information Program
CONPLAN	Contingency Plan
CRB	Contract Review Board
CSF	Client Service Fund
EFT	Electronic Funds Transfer
DMCO	Deputy Management Consular Officer
FSITP	Foreign Service Information Technology Professional
FTE	Full Time Equivalent
FY	Fiscal Year
GCS	Global Commerce Strategy
GVC	Global Value Chains
HOM	Head of Mission
HONCON	Honorary Consul
HQ	Headquarters
HR	Human Resources
HSZ	High Security Zone
IBD	International Business Development
ICT	Information Communication Technologies
IM-IT	Information Management - Information Technology
IMS	Integrated Management System
LEITP	Locally-engaged Information Technology Professional
LES	Locally-engaged Staff
LESMCB	LES Management Consultation Board
MCO	Management Consular Officer
MFO	Mission Financial Officer
MM Module	Materiel Management Module
MMWP	Mission Maintenance Work Plan

MOU	Memorandum of Understanding
MSO	Mission Security Officer
MPMP	Mission Property Management Plan
NAAP	North American Platform Program
OR	Official Residence
OZ	Operations Zone
PERPA	Political Economic Relations and Public Affairs
PIF	Post Initiative Fund
PM	Program Manager
PMA	Performance Management Agreement
PMP	Human Resources - Performance Management Program
PMP	Consular - Passport Management Program
PRIME	Physical Resources Information - Mission Environment
ROCA	Registration of Canadians Abroad
S&T	Science and Technology
STC	Senior Trade Commissioner
SQ	Staff Quarter
SZ	Security Zone
TC	Trade Commissioner
TCA	Trade Commissioner Assistant
TCS	Trade Commissioner Service
TRIO	The TCS' Client Relationship Management System
ZID	Office of the Inspector General
ZIV	Inspection Division