



COUNTRY: KENYA

PROJECT: KENYA DIGITAL ECONOMY ACCELERATION PROJECT (KDEAP)

IMPLEMENTING AGENCY: Information and Communications Technology Authority (ICTA)

PROJECT ID: P170941; Credit Numbers 7289-KE and 7290-KE

TERMS OF REFERENCE

FOR

Request for Expression of Interest for Assessment Study for E-Service Delivery, Manual Records, and Governance Requirements

Contract No: KE-ICTA-402012-CS-QCBS

Issue Date: 15th October 2024

Closing Date: 31st October 2024 at 1000Hrs East African Time

Client:

The Chief Executive Officer,
ICT Authority

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1. BACKGROUND

The Government of the Republic of Kenya (GoK) has received credit financing in the amount equivalent to US\$390 Million from the World Bank towards the cost of the first phase of the Kenya Digital Economy Acceleration Project (thereafter “Project”) and intends to apply part of the proceeds to pay for goods, works, non-consulting services and consulting services to be procured under the Project. The project includes the following components.

Component 1: Digital Infrastructure and Access. The aim of this component is to increase access to high-speed internet for individuals, industry, and government—the ‘foundations’ of a digital economy—and strengthen Kenya’s role as regional digital leader, while leveraging investments from the private sector.

Component 2. Digital Government and Services. This component will invest in the foundational digital services, platforms, architectures, and policies needed to transform the way the Government communicates and conducts its internal operations.

Component 3. Digital Skills and Markets. This component aims to equip young Kenyans with digital skills and strengthen their abilities to access and compete in domestic and regional markets, to study mechanisms to improve access to affordable devices and through enhancing the enabling environment for e-commerce to support Kenya’s role as a regional digital hub.

Component 4. Project Management. This component will support project implementation, coordination, and capacity building for the Project Implementation Unit (PIU) within the Information and Communications Technology Authority (ICTA).

Component 5: Contingent Emergency Response Component. This component will be activated in the event of an emergency.

The GoK intends to apply a portion of the proceeds of the Credit to cover activities under subcomponent 2.1 (Digitizing Selected Government Services) to conduct an assessment of E-services delivery of existing government manual records and development of the governance, organizational, institutional arrangements and development of digitization framework for converting paper-based government data to digital form.

2. Objectives of the Assignment

The main objective of the assignment is for Government to be able to identify the automation requirements and digitization of manual records requirements for each MDA and be able to prioritize and draw a roadmap for implementing the same. The assignment will also help government to:

- 2.1. identify existing manual government records and prioritize
- 2.2. identify all front-end and back-end processes in government that can be automated and prioritize the same
- 2.3. develop e-service framework and develop a roadmap for automation and digitization of government services.
- 2.4. Develop digitization framework and a roadmap for digitization of government manual documents for the identified MDAs

- 2.5. conduct analysis and development of the governance, organizational, institutional arrangements for managing digital government transformation; including the definition of Key Performance Indicators (KPIs) to monitor the end-to-end automation process

3. Scope of the consulting services and specific tasks

3.1 Scope

The Consulting firm will develop the roadmaps and the governance, organizational, institutional arrangements for managing digital government transformation; including

the definition of Key Performance Indicators (KPIs) to monitor the end-to-end automation as per the GoK Enterprise Architecture, the Kenya National Digital Master Plan 2022-2032, the Kenya Government Digital Architecture Strategy 2023 and the KDEAP Project implementation components.

Specifically, the Consulting firm will:

1. Identify and assess existing e-service delivery platforms regarding their efficiency, effectiveness, security, and adequacy of the infrastructure to accommodate end-to-end digitization of more services
2. Identify and document all front-end processes in government that can be automated
3. Identify and document all back-end processes in government that can be automated
4. Prioritize government processes/services to be automated
5. Develop a roadmap for automation of government services across MDAs.
6. Develop roadmap for Digitization of the manual records for the identified MDAs
7. Conduct analysis and development of the governance, organizational, institutional arrangements for managing digital government transformation;
8. Development of digitization framework for converting paper-based government data to digital form,
9. Develop RFP document for the framework agreements for automation and digitization
10. Develop RFP document for the framework agreements for the digitization of manual records as-a-service.

3.2 Specific Tasks

The consultant will undertake the following tasks

3.2.1 Identify and assess existing government manual records

- i. Conduct an inventory of all Ministries, Departments and Agencies that may potentially have manual records.
- ii. Review the record-keeping practices and policies of each Ministry/Department/Agency and establish how they maintain and organize their records, whether through filing systems, archives, or other means.
- iii. Collaborate with MDAs' representatives and discuss their record-keeping practices, determine the extent of manual records they maintain and document insights into the types of records, their locations, and any existing inventories or catalogs.
- iv. Conduct site visits and inspections. Visit the physical locations where government records are stored i.e., archives, record rooms, or filing cabinets. Inspect these areas to

identify manual records and gain a better understanding of their condition and organization.

- v. Review record indexes and catalogs. If available, examine existing indexes, catalogs, or databases that document manual records.
- vi. Interview staff and key personnel; Interview individuals responsible for record-keeping within each government entity to gain valuable insights into the existence and location of manual records that may not be immediately apparent.
- vii. Identify the manual records in Government and their status

Note: Legal and regulatory requirements related to accessing and handling government records during the identification process should be fully adhered to.

3.2.2 To identify all front-end processes in government that can be automated

- i. Map out all the front-end processes in MDAs and document each step and task involved in these processes. Identify the key stakeholders, data inputs and outputs, and any dependencies or interactions with other processes.
- ii. Analyze the mapped processes to identify potential areas for automation. Single out tasks that are repetitive, rule-based, time-consuming, or prone to human error
- iii. Engage with the relevant stakeholders, including MDAs officials, process owners, and end-users of the processes. Seek their input on challenges and areas where automation could bring value.
- iv. Assess the technical and operational feasibility of automating each identified process considering factors such as the availability of data, system integration requirements, potential cost savings, and the impact on staff roles and responsibilities.
- v. Recommend different automation technologies and tools suitable for front-end processes' automation

3.2.3 To identify all back-end processes in government that can be automated

- i. Map out all the back-end processes in MDAs and document each step and task involved in these processes. Identify the key stakeholders, data inputs and outputs, and any dependencies or interactions with other processes.
- ii. Analyze the mapped processes to identify potential areas for automation. Single out tasks that are repetitive, rule-based, time-consuming, or prone to human error
- iii. Engage with the relevant stakeholders, including MDAs officials, process owners, and end-users of the processes. Seek their input on challenges and areas where automation could bring value and document the areas of re-engineering.
- iv. Assess the technical and operational feasibility of automating each identified process considering factors such as the availability of data, system integration requirements, potential cost savings, and the impact on staff roles and responsibilities.
- v. Recommend different automation technologies and tools suitable for back-end processes' automation

3.2.4 To prioritize government processes/services to be automated

- i. Prioritize the identified processes based on their potential impact, complexity, and feasibility of automation.
- ii. Map out potential/possible champions for change in regards to the process/processes to be automated.

- iii. Prepare Proof of Concept to validate the feasibility and benefits of each process automation.
- iv. Develop a framework for Government e-service implementation

3.2.5 To develop a roadmap for automation and digitization of government services across MDAs.

- i. Identify and list the roadmap's audience
- ii. Create a roadmaps that outlines the order in which processes will be automated, considering factors such as the urgency of automation, resource availability, and strategic goals.

3.2.6 Develop roadmap for Digitization of the manual records roadmap for the identified MDAs

- i. Define and categorize the records
- ii. Develop a roadmap and framework for digitization of manual records

3.2.7 To conduct analysis and development of the governance, organizational, institutional arrangements for managing digital government transformation;

- i. Establish clear leadership and coordination mechanisms to drive and oversee digital government initiatives. This will involve creating a dedicated government unit or task force responsible for digital transformation and ensuring collaboration across different government agencies.
- ii. Draft policies that outline the goals, principles, and strategies for digital government transformation. These policies should encompass aspects such as data governance, cybersecurity, privacy, open data, and digital service delivery.
- iii. Establish clear leadership and coordination mechanisms to drive and oversee digital government initiatives. This may involve creating a dedicated government unit or task force responsible for digital transformation and ensuring collaboration across different government agencies.
- iv. Conduct a systematic review of existing laws and regulations relating to data protection, cybersecurity, electronic signatures, and other relevant legal and regulatory aspects. Document the review findings/outcome.
- v. Conduct training needs assessment for effective use and management of digital technologies by employees and or citizens
- vi. Engage with various stakeholders, including citizens, business owners, and civil society organizations, to gather their input, feedback, and requirements for digital government services.
- vii. Recommend suitable establishment of dedicated units or centers of excellence within the government to oversee digital government initiatives, such as a Chief Digital Officer or a Digital Transformation Office. These units can provide expertise, guidance, and support to other government agencies.
- viii. Establish collaboration and partnerships framework for the private sector, academia, and international organizations to leverage their expertise, resources, and innovative solutions and help accelerate digital government transformation and bring in diverse perspectives.
- ix. Define the Key Performance Indicators (KPIs) to monitor the end-to-end automation process

3.2.8 Development of digitization framework for converting paper-based government data to digital form,

- i. Develop a centralized framework/model to cater for the digitization of records and archives in Government. This will be a framework/model for managing digital records and archives which will combine best practices and top management support with a centralized approach.
- ii. This model should be built on integrated systems that will enable Government to enhance cost-effectiveness, sharing, managing and exchanging digital records and archives amongst employees.
- iii. The framework should provide strategies on the management of digital records and archives in Government.

3.2.9 Develop RFP document for the framework agreements for automation

The firm will be required to help the Authority to develop the RFP as a basis for tendering for development and implementation of the next generation payment gateway.

3.2.10 Develop RFP document for the framework agreements for the digitization of manual records as-a-service.

The firm will be required to help the Authority to develop the RFP as a basis for tendering for development and implementation of the next generation payment gateway.

4.0 Duration and location of the assignment

The duration the assignment will be four (4) calendar months from contract commencement date and the location is ICT Authority Offices, Teleposta Towers 12th Floor, Kenyatta Avenue.

5.0 Reports and schedule of deliverables and timeline requirements

NO	OUTPUTS /DELIVERABLES	DESCRIPTION OF OUTPUTS/DELIVERABLES	TIMELINES FOR SUBMISSION OF DELIVERABLE AFTER CONTRACT COMMENCEMENT DATE	NUMBER AND FORMAT OF PRESENTATION OF REPORTS
1	Inception Report	The Consultant will share the detailed approach, a work plan, sources of information, staffing and working arrangements necessary to complete the assignment. The work plan should anticipate risks and propose mitigation measures.	2 Weeks	3 hardcopies, 2 electronic copies [Flash drive]
2	Preliminary Report	In Overview of the baseline survey data collected and initial descriptive statistics, analysis, challenges and mitigation	7 Weeks	3 hardcopies, 2 electronic copies [CD-ROM +

NO	OUTPUTS /DELIVERABLES	DESCRIPTION OF OUTPUTS/DELIVERABLES	TIMELINES FOR SUBMISSION OF DELIVERABLE AFTER CONTRACT COMMENCEMENT DATE	NUMBER AND FORMAT OF PRESENTATION OF REPORTS
		measures, baseline survey and report covering emerging issues and solutions in the area of i. Stock taking and categorization of the existing government manual records ii. Identifying and documenting of front-end and back-end processes in government that can be automated iii. conduct analysis of the governance, organizational, institutional arrangements for managing digital government transformation;		Flash drive
3	Prioritization and development of roadmaps	<ul style="list-style-type: none"> • Report on 1.prioritized government processes/services to be automated and 2.manual records to be digitized for MDAs • Roadmap for 1.automating the prioritized government processes/services and 2.roadmap for digitizing the prioritized MDAs manual records 	10 weeks	
4	Development of governance, organizational, institutional arrangements for managing digital government transformation	conduct analysis and develop the governance, organizational, institutional arrangements for managing digital government transformation;	12 weeks	
5	Cost estimates report	Cost estimates of the services expected	13 week	3 hardcopies, 2 digital copies [Flash drive
6	Bidding Documents	<ul style="list-style-type: none"> • Develop RFP document for the framework agreements for the digitization of manual records as-a-service. • Develop RFP document for the framework agreements for automation of services 	14 week	3 hardcopies, 2 electronic copies Flash drive

NO	OUTPUTS /DELIVERABLES	DESCRIPTION OF OUTPUTS/DELIVERABLES	TIMELINES FOR SUBMISSION OF DELIVERABLE AFTER CONTRACT COMMENCEMENT DATE	NUMBER AND FORMAT OF PRESENTATION OF REPORTS
7	Final Report	Preparations of final reports covering in all the areas defined in the scope above	16 Weeks	3 hardcopies, 2 electronic copies [Flash drive

The specified copies (1 original copy, 3 hard copies and 1 digital copy) of each of the listed reports shall be sent to the client at the following address:

The Chief Executive Officer,
ICT Authority
Telposta Towers 12th Floor, Kenyatta Ave
PO Box 27150 - 00100 Nairobi Kenya
Tel: +254 20 2089061/ 2211960 Fax: +254 20 2211960
Email: procurement@ict.go.ke , info@icta.go.ke
Website: www.icta.go.ke

Attention:
The Project Coordinator
KDEAP

Upon submission of every report, the consultant is expected to make a presentation of the submitted report to the Client in a scheduled meeting. The acceptance of the report shall be recorded in the minutes of the meeting.

6.0 Payment schedule/Remuneration

S/NO	DELIVERABLES	TIMELINES AFTER CONTRACT COMMENCEMENT	PERCENTAGE OF THE CONTRACT AMOUNT
1.	Submission and acceptance of the Inception Report	2 Weeks	5%
2.	Submission and acceptance of the Preliminary Report	7 Weeks	30%
3.	Submission and acceptance of the Prioritization and development of roadmaps	10 weeks	30%
4.	Submission and acceptance of the Development of governance, organizational, institutional arrangements for managing digital government transformation report	12 weeks	10%
5.	Submission and acceptance of the Cost estimates report	13 weeks	5%
6.	Submission and acceptance of the Bidding Documents	14 weeks	10%
7.	Submission and acceptance of the Final Report	16 Weeks	10%

Upon submission of every report, the consultant is expected to make a presentation of the submitted report to the Client in a scheduled meeting. The acceptance of the report shall be recorded in the minutes of the meeting.

7.0 Minimum requirements for Consultant's qualifications and experience

The minimum requirements for the Consulting Firm's qualifications and experience are as follows:

a) Core business and Years in Business

The firm shall be registered/incorporated as a consulting firm in the field of E-Services Development or related field for a period of at least ten (10) years.

b) Relevant Experience

The firm shall demonstrate having been involved in successfully executed and completed at least two (2) projects of similar nature both in scope and complexity in a

similar operating environment in the last ten (10) years where value of the works designed or supervised was at least USD 1 million for each assignment, The firm must provide details of the assignment, name and address of the client, scope, value, and period shall be provided.

c) Technical and managerial capability of the consulting firm:

The firm shall demonstrate as having the requisite technical capacity including relevant equipment, tools, software etc. and managerial capacity to undertake the assignment in the submitted company profile(s).

8.0 Team composition and qualification and experience requirements for the key experts

8.1 Team Leader

- A minimum of a master's degree in information management, computer science, business administration, or a related discipline
- A minimum of fifteen (15) years general experience in the field of Information Technology or related field
- A minimum of ten (10) years specific experience in the field of e-service delivery or a related field
- Registration with relevant professional body in Kenya (or equivalent)

8.2 Records Management expert

- A minimum of a bachelor's in records management, information management, library science, archival studies, or a related discipline.
- A Minimum of ten (10) years of general experience in Information Management or any related field.
- A minimum of seven (7) years of progressively responsible experience in the field of records management
- Industry-recognized certifications in records management

8.3 Information Technology/system engineer expert

- A minimum of bachelor's degree in computer science, information technology, or a related field.
- Industry-recognized certifications in database management and data analytics.
- A minimum of ten (10) years of work experience in the information technology field.
- Minimum five (5) years relevant/specific work experience in technology-based policy, strategic plan formulation, conducting feasibility studies, planning and design, developing governance, organizational, institutional arrangements for managing digital government transformation
- Certification in Project Management
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8.4 Governance and policy expert

- A minimum of bachelor's degree in public policy, political science, law, economics, international relations, or a related discipline.
- Minimum Eight (8) years general work experience in governance, policy analysis, public administration, or a related field.

- Minimum five (5) years relevant work experience in governance, developing, implementing, and evaluating policies and procedures, research, and use of governance frameworks, principles, and practices

8.5 Research and development expert

- A minimum of a master's degree in a relevant field such as science, engineering, technology, or a related discipline.
- Minimum of 7 years of general work experience
- Minimum four (4) years' work experience in managing research and development projects, including planning, budgeting, resource allocation, and timeline management.

9.0 Estimated Time Inputs for Key Experts

The number of key experts and the estimated time input for each key expert for the assignment are presented in Table 3.

Table 3: Estimated Time Inputs for Key Experts

S/No	Key and support Staff	No	Estimated Time Input (staff-months)
1	Team Leader	1	4
2	Records Management Expert	1	4
3	Information Technology/System Engineer Expert	1	4
4	Governance and Policy Expert	1	4
5	Research & Development Expert	1	4
	Total	5	20

10.0 Management and accountability

10.1 Obligations of the Client

Services, facilities and property to be made available to the Consultant by the Client:

10.1.1 Data, Local Services, Personnel and Facilities

- The Consulting firm will be provided with the following relevant documents on implementation of Kenya Digital Economy Acceleration Project; the KDEAP Project Appraisal Document, Digital Economy Blueprint, Kenya Digital Masterplan, Relevant Acts, Policies, Strategies and Frameworks.
- The Consulting firm will be supported where applicable with introductory letters to stakeholders to facilitate data collection and to conduct interviews.

- MIC&DE and ICTA will provide government staff to work with the consultant to deliver on the tasks.

10.1.2 Other Facilities

The Client will provide as and when needed working space for the consultants to carry out project related assignments.

The Client shall provide the vendor with the following resources, without charge:

- a) Access to various physical files repositories;
- b) Internal data management procedure documents;
- c) Relevant documents and working papers; and
- d) Such other support facilities as may reasonably be needed for the expeditious performance of the required services

10.1.3 Consulting firm Reporting Requirements

The consulting firm and its staff shall report to the Technical lead for implementation and to the Project Manager Kenya Digital Economy Acceleration Project operationally.

10.2 Obligations of the Consultant

The initial step involves recognizing existing manual government records, assigning priority to them. Subsequently, an assessment of both front-end and back-end government processes suitable for automation is conducted, with prioritization being a key aspect. To facilitate the transition, an e-service framework is devised, accompanied by a comprehensive roadmap for the automation and digitization of governmental services.

Moreover, a dedicated digitization framework is formulated, outlining a roadmap for the digitization of manual documents within government agencies that have been identified. Simultaneously, an in-depth analysis is carried out to establish the governance, organizational, and institutional structures required for effective management of the digital government transformation. This includes the formulation of Key Performance Indicators (KPIs) essential for monitoring the entire automation process from initiation to completion.

11.0 Propriety rights of Client in reports and records.

The ICT Authority, herein referred to as the Client, shall hold full proprietary rights over all reports and records produced as part of the consultancy assignment. The following stipulations govern the proprietary rights:

Ownership: Any reports, records, documents, or intellectual property generated during the course of the consultancy assignment are deemed the exclusive property of the Client.

Usage Rights: The Client is granted unlimited and perpetual usage rights for the reports and records. This includes the right to reproduce, distribute, display, and modify the

materials for internal purposes, public dissemination, or any other lawful use as deemed appropriate by the Client.

Confidentiality: The Consultant shall treat all reports and records as confidential information and shall not disclose, reproduce, or use them for any purpose other than the consultancy assignment without the explicit written consent of the Client.

Transfer of Rights: The Consultant hereby transfers and assigns to the Client all rights, title, and interest, including any copyrights, in and to the reports and records. This transfer is effective upon the creation of each deliverable.

Non-Exclusivity: This grant of proprietary rights to the Client is non-exclusive, allowing the Consultant to retain the right to use the knowledge and experience gained during the consultancy assignment for their general business purposes, excluding any specific confidential information of the Client.

Attribution: The Consultant agrees that any public disclosure or publication of the reports and records will credit the Client as the owner of the proprietary rights.

These terms regarding proprietary rights are binding throughout the consultancy assignment and survive the termination or completion of the contractual agreement between the Client and the Consultant.