



**EAST AFRICAN COMMUNITY**

**REGIONAL STRATEGIC FRAMEWORK FOR e-IMMIGRATION 2014/15-2019/20**

**Reviewed final report**

**EAC Secretariat**

**August 23<sup>rd</sup> 2014**

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## Acronyms/Abbreviations

AEC	African Economic Community
AFIS	Automated Fingerprint Identification System
API	Advance Passenger Information
APIS	Advanced Passenger Information System
ASEAN	Association of Southeast Asian Nations
AU	African Union
CIIS	Customs and Immigration Information System
CMA	Computer Misuse Act
COMESA	Common Market for Eastern and Southern Africa
DfID	Department for International Development
DN	Dossier Number
e-	Electronic
EAC	East African Community
EAF	East African Federation
ESA	Electronic Signatures Act
E-SW	Electronic single window system
ETA	Electronic Transactions Act
ETA	Electronic Travel Authority
EU	European Union
FM	Frequency modulation
IBM	Integrated Border Management
IBMS	Integrated Border Management System
ICAO	International Civil Aviation Organization
ICT	Information and Communications Technology
ID	Identification
IGAD	Inter-Governmental Authority on Desertification and Development
IIS	Immigration Information System
INTERPOL	International Criminal Police Organization
IOM	International Organization for Migration
IPRS	Integrated Population Registration System
ISS	Internal Security Strategy
JNIA	Julius Nyerere International Airport
KICA	Kenya Information and Communication Act
M&E	Monitoring and Evaluation
MARISS	Maritime Security Service
MDAs	Ministries, Departments and Agencies
MPLS	Multi Protocol Link System
OSBP	One-Stop-Border Posts
PIAP	Public Internet Access Points
PIRS	Personal Identification Registration System
PIS	Passport Issuance System
PISCES	Personal Identification Secure Comparison and Evaluation System
PPP	Public Private Partnership
SADC	Southern African Development Community

SWOT	Strengths, Weaknesses, Opportunities and Threats
TCNs	Third-country nationals
TV	Television
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
VAS	Visa Administration System
VPN	Virtual Private Network
WAN	Wide Area Network

## **Foreword**

It is important to appreciate that the advent of Information and Communications Technology (ICT) is fundamentally changing the way people work, learn and interact. ICT is being adopted in all aspects of society to facilitate online service delivery. The EAC region is not an exception to these trends as it implements its integration process with approximation and harmonization of national laws, policies and systems of the Partner States to conform to the Common Market Protocol.

Therefore, in bid to improve immigration service delivery within the EAC region, the use and application of ICT to enhance efficiency and effectiveness cannot be over emphasized. I personally believe that ICT promotes knowledge and information sharing among the service providers and the general public. Therefore, more integration of ICT applications in the immigration service delivery coupled with capacity building need to be carried out on a sustainable basis.

In order for the EAC to fully exploit the benefits of ICT, it calls for the Partner States to further align ICT investments to the current core processes of implementing the Common Market Protocol. As a result, the EAC has come up with the Regional Strategic Framework for e-Immigration 2014/15-2018/19 period, that identifies the e-Immigration Strategic path spelling out its vision, mission, strategic objective, specific objectives, implementation pillars, critical success factors, and a roadmap for implementation.

We are all aware that the path to achieving effective use of ICT is a big challenge and as such, it requires change of mindsets at all levels, a strategic partnership with the Private Sector, Civil Society, Academia, Development Partners and the participation of citizens as stakeholders. Inter-alia, it will involve thorough examination and review of existing and new immigration functions, simplification, and re-engineering of procedures.

The EAC is committed to the delivery of immigration services in a more effective and efficient manner. I therefore appeal and encourage all us to embrace, adopt and use this framework.

**Secretary General**

## **EXECUTIVE SUMMARY**

The EAC Regional Development Strategy 2011-2016 prioritizes full implementation of the Common Market Protocol-with strengthened and well developed Social Service Sectors to support the integration process with approximation and harmonization of national laws, policies and systems of the Partner States to conform to the Common Market Protocol as a key intervention. Taking cognizance of the above, the EAC Regional e-Government Framework (2006) identified e-Immigration as one of the critical priorities for the region's integration efforts. It is also noted that e-Immigration is also an important aspect of the Common Market Protocol alluded to above. Article 5(2b) of the Protocol envisages easing of cross border movement of persons and capital resources within the region and adopting an integrated border management system (IBMS). With an operational regional e-Immigration strategic framework, it will be possible to lift internal borders and to introduce external border that encompasses all Partner States.

The rationale for developing the EAC Regional Strategic Framework for e-Immigration hinges on the need for harnessing and integrating ICT applications into the immigration processes. The primary purpose of the Strategic Framework for e-Immigration is to guide the development of harmonized Policies, Strategies, Institutional, Legal and Regulatory Frameworks and the overall implementation of e-Immigration initiatives at the EAC regional and Partner State levels.

This framework provides an overview of the provision of the EAC Regional e-Immigration services and emphasizes the fact that the use of ICT applications in various immigration services improves internal efficiency and reduces costs of service delivery. It also enables better sharing of information and joint border control and enforcement. The electronic services are delivered via the Internet, telephone, electronic media, community centers (self-service or facilitated by others), wireless devices or other communications systems. The immigration services include;

- i. Provision of General Information, Help desks, news and updates on Immigration services
- ii. Issuance of service application forms, Visas (transit, visitors/holiday), Resident Permits (ordinary residence, work permit, business, student, permanent, asylum etc.), Passports, Special Passes (dependants, pupils, etc.)
- iii. Citizenship/Nationality issues, iii. Border Management, and iv. Among others

The framework presents a detailed situation analysis carried out at the EAC Secretariat and each of the Partner States levels. The analysis covers areas of policy and legal frameworks, information systems and records management, ICT infrastructure and application, institutional framework/structures, human resource capacity, funding modalities.

### **Elements articulated within the Strategic Framework**

The key elements of the Strategic Framework include:

**The Vision:** *Excellent e-Immigration services for a secure, developed and integrated region.*

**The Mission:** *Provision of efficient and effective immigration services in the EAC region.*

**The Strategic Objective:** To use ICT to transform the delivery of immigration services to the citizens, business and non-citizens within the EAC region.

### **Specific Objectives**

- a) To harmonize and standardize institutional, legal and regulatory frameworks for integrated e-immigration implementation within the region;
- b) To adopt mutually acceptable business process and decision-making protocols for the management of immigration activities at all entry and exit points in the region;
- c) To develop frameworks and standards to enable the implementation of interoperable infrastructure, equipment, data, processes and applications.

### **Framework Implementation Pillars**

The framework implementation pillars include:

- a) The need for removal of legal and regulatory impediments both at regional and Partner States level in order to facilitate the use of ICT in immigration control and regulation operations;
- b) Putting due emphasis on work flows in terms of processes and definition of decision-making procedures for critical functions such as visa and permit issuance, border control, internal control of movement of foreigners and departures etc;
- c) Adoption of minimum standards that ensure security, effectiveness, efficiency and interoperability of the regional e-Immigration system;

- d) The need to identify and define key skills, competencies and attitudes of the technical human resources
- e) The need for appropriate institutional set-up at Partner States level such as lead agencies to enable the system function effectively, with an appropriate inspectorate at the EAC level for quality assurance and adherence;
- f) Records and information management is vital, especially automation of registries and digitization of documents with electronic-archiving capabilities;
- g) Information security is equally important since e-immigration generates personal data. People must enjoy privacy and be given the assurance that their personal data and information will be protected from hacking.
- h) Communication and advocacy will be critical in raising public awareness and education on the use of ICT applications in immigration services and facilities.

### **Framework Implementation Critical Success Factors**

The success in the roll out of this strategic framework will depend on an enabling environment provided by different factors. These factors include but not limited to;

- (i) Policy, Legal and Regulatory Frameworks are critical in order to create an enabling environment for e-Immigration implementation
- (ii) Leadership: a need for both high level political and technical support and leadership is a prerequisite.
- (iii) Governance Mechanisms: Setting up the necessary institutional framework for e-Immigration implementation is important with a staff retention strategy.
- (iv) Regional common ICT infrastructure including the one-stop border posts should be effectively improved and expanded to adequately support e-Immigration implementation.
- (v) Deliberate efforts for planning, budgeting, monitoring and evaluation for Immigration ICT related activities should be enhanced and strengthened
- (vi) e-Immigration Systems architecture, interoperability and standardization will require harmonization and coordination.
- (vii) Records and Information Management aspects should be adequately addressed.

- (viii) Citizen-Centric approach: Designing and implementing e-Immigration applications focusing on EAC citizen requirements.
- (ix) Collaborative Relationships: Creating synergies to share information resources and optimize the economies of scale.
- (x) Lobbying and Advocacy program is necessary.
- (xi) Gender and Marginalized Minorities Issues: It is important for all immigration interventions to be conscious to and promote gender equality and women's empowerment in detail (especially in related work plans). Interventions related to training and capacity building in ICT, human resourcing and management, and creation of national databases is cognizance of gender and marginalized minorities.
- (xii) Involvement of the Private Sector in infrastructure development: The private sector plays an important role in implementing non-security aspects of e-Immigration by presenting business oriented funding opportunities and specialized management and technical skills.
- (xiii) Emphasis on in-house systems development to promote home grown systems a necessity.

# **1. INTRODUCTION**

## **1.1 Background**

The East Africa Community (EAC) is an inter-governmental regional organization that has a historical perspective, dating from the early 1990s, and involving three original EAC countries namely, Kenya, Tanzania and Uganda. Currently the EAC comprises five countries in the East African Great Lakes Region: namely the Republics of Burundi, Kenya, Rwanda, Uganda and the United Republic of Tanzania. The EAC is an integral part of the African Economic Community (AEC), which is an organization of the African Union intended to establish grounds for mutual economic development through creation of free trade areas, customs unions and a single market, a central bank and a common currency; thus establishing an economic and monetary union in the region. The EAC is a precursor to the eventual establishment of the East African Federation (EAF) that is aimed at creating a single state comprising the five Partner States.

The regional organization derives its legal mandate from the Treaty for the Establishment of the East African Community (EAC) signed in November 1999 and entered into force in July 2000. Its objectives include: to develop policies and programmes aimed at widening and deepening cooperation among Partner States in political, economic, social and cultural fields, research and technology, defense, security and legal and judicial affairs, for their mutual benefit. The EAC Treaty emphasizes, among other things, cooperation to achieve coordinated, harmonized and complementary infrastructural development in all aspects of social and economic development of the regions. It outlines the roadmap and vision for EAC integration, with the Customs Union being the major entry point, followed by a Common Market, a Monetary Union and ultimately a Political Federation. The Customs Union aims at liberalization of the EAC trade regime; while the Common Market Protocol which also came into force in July 2010 aims to accelerate economic growth and promote development through attainment of the free movement of goods, persons, labour, the right of establishment among others; the Monetary Union which aims at a Common Currency Unit (a protocol establishing a monetary Union was signed on 30th November 2013), and Political Integration as the last phase.

It is noted that movement from one phase to another is through negotiated protocols. In order to promote the objectives of the Community provided for under Article 5 of the Treaty for the establishment of the East African Community, the Partner States established a Common Market as an integral part of the Community. In accordance with Provisions of Article 76 and 104 of the Treaty, the objective of the Common Market is the realization of accelerated economic growth and development through attainment of the free movement of goods, persons, labour, the right of establishment and residence, free movement of services and capital.

The Regional Development Strategy 2011-2016 prioritizes, among other things, the full implementation of the Common Market Protocol-with strengthened and well developed Social Service Sectors to support the integration process with approximation and harmonization of national laws, policies and systems of the Partner States to conform to the Common Market Protocol as a key intervention. Taking cognizance of the above, the EAC Regional e-Government Framework (2006) identified e-Immigration as one of the critical priorities for the region's integration efforts. It is also noted that e-Immigration is also an important aspect of the Common Market Protocol alluded to above. Article 5(2b) of the Protocol envisages easing of cross border movement of persons and capital resources within the region and adopting an integrated border management system (IBMS). With an operational regional e-Immigration strategic framework, it will be possible to lift internal borders and to introduce external border that encompasses all Partner States.

## **1.2 Rationale for developing the EAC Regional Strategic Framework for e-Immigration**

In order to realize the EAC Common Market Protocol objectives, the need for harnessing and integrating ICT applications into the immigration processes cannot be overemphasized. Harnessing and integrating ICT applications into the immigration processes are hinged to the EAC Regional e-Immigration Vision namely *“To offer excellent e-Immigration services for a secure, developed and integrated region”*. The proposed EAC Regional Strategic Framework for e-Immigration is intended to guide the development of harmonized Policies, Strategies, Institutional, Legal and Regulatory Frameworks and the overall implementation of e-Immigration initiatives at the EAC regional and Partner State levels.

The Regional e-Immigration Framework is therefore a proactive step towards strengthening EAC integration process by taking advantage of improved communication technologies and to respond to new and emerging trends in the world migration control practices, challenges and threats from terrorists, traffickers, cyber hackers and money launderers, among others. Better managed emigration and immigration mean prosperity for the EAC region.

### **1.3 Overview of the provision of the EAC Regional e-Immigration Services**

World over, countries are embracing the use of ICT in various service delivery processes in order to improve and gain internal efficiency through the reduction of costs by eliminating paperwork and improving processes, improving citizen service by providing customized, tailored, consistent 24x7 (24 hours seven days a week) self-services and promoting economic competitiveness by creating an attractive environment for foreign investment and increasing access to businesses in the world economy and markets. The electronic services are delivered via the Internet, telephone, electronic media, community centers (self-service or facilitated by others), wireless devices or other communications systems. In this particular case, the immigration services include;

- iv. Issuance of Visas (transit, visitors/holiday)
- v. Issuance of Resident Permits (ordinary residence, work permit, business, student, permanent, asylum etc.)
- vi. Issuance of Passports
- vii. Issuance of Special Passes (dependants, pupils, etc.)
- viii. Issuance of alternative travel documents other than Passports
- ix. Citizenship/Nationality issues
- x. Help desks
- xi. Issuance of service application forms
- xii. Provision of General Information
- xiii. News and updates on Immigration services
- xiv. Border Management
- xv. And others

The use of ICT in the delivery of immigration processes referred to as “e-Immigration” has been and continue to be core to many customs and immigration reforms being introduced in many

countries and regional economic communities all over the world. It is also important to note that e-Immigration is one of the core components of Electronic Government (e-Government) services being implemented at national and regional levels around the world. With regard to e-Government, the use of ICT is intended to promote a more efficient and effective system of governance, facilitate efficient and accessibility to public services, allow greater public access to information, and make governments more transparent and accountable to the citizens. To embrace e-Government service provision within the region, in 2006, the EAC Secretariat formulated an a regional e-Government framework with priority service delivery channels for the areas of Customs and Immigration Controls (e-Customs/e-Immigration), e-Parliament, e-Health, e-Banking, e-Procurement, e-Trade, e-Tourism, and Meteorological and Tidal information.

#### **1.4 Benefits of the EAC Regional e-Immigration Services**

The utilization of ICT in the delivery of immigration services presents many opportunities and benefits. ICT facilitates faster and easier access to information on any of the immigration services. Centralizing the transfer of data and information through collaborative online immigration centers enables the applicants to prepare and review their documents more easily. Information is made available for applicants to view from anywhere via the Internet. Applicants have real-time access to the status of their applications.

Clients do not have to wait for hours, days or even weeks to get answers to their legal questions. Technology has enabled legal experts respond faster to their clients' requests through increased access to relevant online immigration information. In addition, for immigration cases, online case histories for particular questions have been provided online for clients to read and review their own cases. Technology is also allowing real time calculation of costs of services, performance and other aspects of immigration case management.

At various immigration agency offices, ICT is providing a centralized and transparent platform for tracking critical documents and adherence to deadlines for immigration applications. The ability to view all information regarding one or multiple issues simultaneously in a single place is making it much easier to track progress or locate critical immigration information including processing, storage and sharing among the immigration officials and stakeholders both at national, regional and international levels.

The adoption of e-Immigration Services in the EAC region, therefore, will lead to effective and efficient approaches of better and more robust procedures of sharing immigration information between immigration agencies, applicants and legal experts, joint border control and enforcement activities, and improved resource sharing and utilization within the Partner States. Eventually, the e-Immigration services will enhance faster movement of persons, goods and strengthen trade/commerce and tourism within the EAC region and beyond, and ultimately result in more economic development in the region as a whole.

### **1.5 Assignment scope of work, approach and methodology**

The tasks undertaken included carrying out a desk review of all background documents relevant to the assignment including policies, treaties, strategies, protocols, studies undertaken in this area and international best practices on e-Immigration. In addition, a detailed assessment of existing e-immigration applications; ICT and e-Government Policy and Legal frameworks; supporting Infrastructure and Human resources, similar regional frameworks at COMESA, AU, SADC and international regions like EU and ASEAN were reviewed for harmonization and best practice benchmarking.

The approach and methodology used to undertake the assignment included stakeholder participatory approach during consultative data collection using interview guides at EAC Secretariat and Partner States levels, literature review and the Internet searches, presentation of the draft framework at a validation workshop, presenting the validated framework to EAC regional e-Immigration working group, and use of a professional editor to ensure consistency and flow of text in the document.

## **2. SITUATION ANALYSIS**

### **2.1 e-Immigration and related initiatives at the EAC Regional level**

#### **Policy and Legal Frameworks**

- a) Currently, the EAC e-Government Framework is in place and provides the basic reference for the EAC Regional Strategic Framework for e-Immigration.
- b) At the EAC regional level, immigration issues are covered under the EAC Treaty and Protocols i.e. Customs Union and Common Market Protocols, Development of

- coordinated border management guidelines and framework is on-going for which some of the outcomes could enrich the e-Immigration programme.
- c) There is a One-Stop Border post Act 2012 aimed at facilitating both human and good movement. The Act also includes institutional framework for managing the border. Unfortunately, this is covering only the major border posts and leaves out the small ones.

### **Information Systems**

Establishment of One-stop border Information systems along EAC Partner State borders is ongoing guided by One-Stop Border Post policy. The development of One-stop border post infrastructure with the requisite information systems at Kenya and Uganda, Uganda and Tanzania, Uganda and Rwanda, Tanzania and Burundi, Rwanda and Tanzania borders is ongoing.

### **Records/ Information Management**

There exists an e-Archive application using TRIM package located at the EAC Secretariat Registry. This is used to automate all hard copy documents that are received or dispatched by the EAC Secretariat from or to Partner States and other partners /stakeholders

### **ICT Infrastructure**

- a) Most of the existing ICT infrastructure like servers is located in various departments and sections funded by development partners (donors) under different projects.
- b) There exist a State-of-the Art Data Centre for storing EAC regional level data and ICT infrastructure management resources.

### **Institutional Framework/Structures**

There is an EAC Regional e-Immigration Technical Working Group established in 2006. The TWG works closely with the EAC Secretariat to spearhead the development and implementation of e-Immigration initiatives within the region. The Technical Working Group is comprised of experts from all Partner States which provides technical advice on all e-Immigration related matters and recommends to the Chiefs of Immigration for consideration

### **Human Resource Capacity**

Currently, there is no substantive EAC Officer handling immigration sector issues let alone e-Immigration technical issues at the Secretariat.

## **Funding Modalities**

Ongoing funding for the One-Stop Border Post projects is by different development partner agencies mobilized at regional and Partner State levels. The current funding partners include the World Bank, DFID, AfDB, EU/EC, Trade Mark East Africa (TMEA), Partner States, amongst others.

## **Monitoring and Evaluation**

- a) There is a Framework for Monitoring and reporting is done every six (6) months based on the Common Market Protocol provisions.
- b) There exists an EAC Common Market Monitoring Group with representation from all Partner States that periodically assess the Common Market Protocol implementation progress and performance.
- c) The EAMS Central System is being developed to facilitate overall online monitoring and evaluation of the performance of the EAC and Partner States on individual and joint actions/interventions. This system, therefore, presents an opportunity to incorporate M&E requirements for the e-Immigration activities.

## **Challenges**

- a) Limited harmonization of systems/operations, policies and legal frameworks across Partner States;
- b) Absence of standard operating guidelines on e-immigration at regional level;
- c) Insufficient integration of data systems at Secretariat and Partner States level;
- d) Inadequate staffing;
- e) Inadequate funding for the EAC Secretariat ICT related activities
- f) Absence of EAC Regional level technical guidelines/standards for ICT related activities
- g) Manual processes especially at the borders and non-networked systems make it difficult to gather statistics, process and analyse and to generate reports.
- h) Use of different systems poses a challenge in the use of an integrated e-Immigration system.

## **General Recommendations**

- a) Establish a common registration system accessible to all Partner States;

- b) Develop an active central database linked to national data-centres of the Partner States;
- c) Work on the mindset of the people in the region which requires strong change management;
- d) Improve the infrastructure for the free movement of people and their goods.
- e) Integrate the stand alone systems in the Partner States to be able to seamlessly exchange data and information.
- f) Need to develop standard operating procedures for Regional level systems.
- g) Formulate and implement deliberate advocacy and awareness programs targeting policy makers, senior technical personnel and the general public on the benefits of e-Immigration
- h) Formulate a law at the regional level to protect personal data
- i) Adopting a comprehensive integrated border management information system (IBMIS) with capabilities to provide information on watch lists, support to visa issuance, document fraud detection, biometric collection and the use of Advanced Passenger Information (API) for automated risk analysis, pre-arrival processing, screening and other security related information processing procedures.
- j) Partner States to formulate implementation plans of the One-Stop Border Post Act and
- k) The Immigration and Customs systems need be interfaced where possible to complement each other so that clearance of people is done concurrently with their goods.

## **2.2 e-Immigration and related initiatives at the Partner State level**

### **2.2.1 The Republic of Burundi**

#### **Policy and legal Frameworks**

- a) Immigration related laws are being amended to accommodate regional level immigration activities. In fact the Immigration Law is being amended to accommodate the EAC Common Market Protocol provisions on immigration; but not yet finished in terms of procedures.

## **Information Systems**

- a. There is a Pilot project for the issuance of National ID has been completed in Bujumbura in September 2013 and is awaiting roll out in the other areas of the country. The National Identity Card is based on bio-metric information with a chip embedded in it. Equipment for rolling out has already been procured and is awaiting installation. This Project has been fully funded by the Government of Burundi.
- b. The Bujumbura International Airport has a system called Edison for checking the authenticity of the travel documents for out- and in-migration
- c. Burundi and the United Republic of Tanzania have the same PIRS system at their shared borders. This system needs to be integrated to share some information.
- d. Check121 system is in use at Bujumbura International Airport to check authenticity of travel documents
- e. The Interpol I 24/7 system is used by the Interpol police unity

## **Records/ Information Management**

There is no electronic records and information management system.

## **Business Processes**

The Burundi e-passport that is compliant to ICAO standards is already available and Burundi Immigration Department is ready to share experience on the issuance of e-passport with other EAC partner states to promote e-immigration.

- a. There exists a national administrative reform promoting government business process re-engineering and other Partner States can learn from Burundi.

## **ICT infrastructure**

- a. Burundi has a full operational e-Passport infrastructure operated under a PPP arrangement and there are avenues for other Partner States to produce their travel document using this infrastructure.
- b. COM-GOV providing backbone infrastructure for internet and sharing of information.
- c. The fiber optic is already working in many provinces.

### **Institutional Structures**

- a. Critical stakeholders include EAC Ministry, Ministry of Security, Immigration Department, ICT Ministry, Interior Ministry, Interpol (Police), Ministry of finance and Customs.
- b. There is an ICT unit under the Immigration Section but staffing remains a challenge.

### **Human Resource Capacity**

- a. There is need for targeted training on new e-immigration systems.
- b. IOM has provided capacity in terms of equipment and skill development in the various areas of immigration.

### **Funding Modalities**

- a. Importance of utilizing PPP (Public Private Partnership) in delivering critical services for Immigration. The PPP contract has been critical for providing skills training for the staff.
- b. The partners, i.e. the government and private sector need to build mutual trust and transparency right from the inception of the project up to the implementation with third parties like the bank being entrusted to handle financial transactions.
- c. The Burundi Government is already issuing e-passport under a public private partnership (PPP) contract arrangement with Contec Global which has a wide presence in Africa, USA, Europe and Asia. This partnership is based on the BOOT Model initially for 5 years.
- d. There is a process between the Immigration Department of Burundi and the African Development Bank (ADB) to support the route state-up of the border management at the OSBP borders between Burundi and Rwanda (Gasenyi, Ruhwa) and at the Bujumbura International Airport. We wait for the issue.

### **Monitoring and Evaluation (M&E)**

No formal M&E system for ICT activities in place

### **Challenges**

- a. Lack of border management system at many border posts.
- b. No Wide Area Network (WAN) between the border post, headquarter and the Airport.
- c. Inadequate funding for ICT related activities.

- d. The Staff of Immigration department is not trained in ICT.
- e. Lack of electricity in some areas (border posts).

### **General Recommendations**

- a. Promote integrated border management system to facilitate the implementation e-immigration initiatives.
- b. Partner states need to adhere to the 2016 deadline of issuing EAC e-Passports.
- c. Consider the possibilities of sharing the e-passport printing equipment since it is not used to full capacity.
- d. Standardize and harmonize immigration ICT structures in the Partner States.
- e. Benchmark existing best practices within the EAC Region.
- f. Systems should be used friendly with robust security features.
- g. The EAC Secretariat should mobilize resources to support implementation of the e Immigration Framework
- h. The need of ICT Department at high lever in every ministry to coordinate the e-Immigration implementation.
- i. Need of trainings for the staff in ICT.
- j. The Partner States Governments should allocate funds each Fiscal Year to support e-Immigration
- k. Accelerate the process of harmonizing the issuance of the new electronic ID national cards with other Partner States

### **2.2.2 The Republic of Kenya**

#### **Policy and Legal Frameworks**

- a. There exists a policy on immigration implemented by the Ministry of Interior in collaboration with other relevant stakeholders.
- b. In terms of legal framework, there is a Kenya Citizenship and Immigration Act 2011 which was amended in 2012.
- c. There is an ICT Policy (2006) which is being reviewed to incorporate new or emerging issues such as e-immigration, international concerns and to bring on board relevant legal and regulatory frameworks such as cyber security policy, public key infrastructure (third party).

- d. The primary plans that guide the Kenyan ICT agenda include the Constitution of Kenya 2010, The Vision 2030 Act, the 2<sup>nd</sup> Medium Term Plan 2013 – 2018, the ICT Master Plan 2014<sup>1</sup>, the National Cyber-security Strategy 2014 all of which recognize ICT as an enabler to Kenya's vision to be a middle income country by 2030.

### **Information Systems**

- a. Integrated Population Registration System is a data repository receiving data from registration agencies which is later shared to agencies which include banks, Telecom, Kenya Revenue Authority etc with limited access. This data comes from registration agencies which include National Registration Agencies, Civil Registration Department, and Immigration Services etc.
- b. 2<sup>nd</sup> generation ID system which registers citizens who are above 18years, refugees, foreigners who are in the country for more than 90 days and later issue identification cards. The system is integrated with an Automated Fingerprint Identification System (AFIS).The current system was installed in 1995 and manually captures 10 fingerprints on paper which are scanned and stored into a database. It is planned to acquire a new system to use the smart technology and issue smart cards. The system will facilitate live fingerprint capture and other biometrics.
- c. Passport Issuing System –This system has fully automated passport processing and issuing machine readable passports with plans to upgrade to e-passport to comply with the 15<sup>th</sup> Summit of the EAC Heads of State
- d. e-procurement has been piloted at the government ministries by the Ministry of Finance
- e. An electronic voter registration system was implemented in 2013 and more than 14 million voters were registered and their biometric information (face and fingerprints) were captured.
- f. A national fibre optic backbone (NOFBI) has been implemented connecting 34 of the 47 counties. A second phase is scheduled to commence in January 2015 which will connect the remaining 13 counties as well as closing the loops in the network to provide redundancy. The infrastructure has not prioritized the connection of border posts.

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<sup>1</sup> However the Plan is silent on migration as flagship intervention

- g. Given the need to use national ICT infrastructure as the primary means of implementing e-immigration systems, and given the security and strategic importance of these systems, the national ICT backbone infrastructure should be defined as *critical infrastructure* in the context of war and other acts of aggression.

### **Records/ Information Management**

A system was developed in Kenya which is in use in five (5) Government ministries.

### **Business Processes**

- a. There is a planned population re-registration exercise intended to clean up the existing population database for all persons. This is to be done by the national registration Bureau. It is being undertaken to verify citizenship through marching the biometrics with existing database. To establish a complete national population database, data of persons aged between 0 to 17 years is also to be collected.
- b. The existing processes and systems are being re-engineered to cater for the new and emerging requirements such as classes of permits, dual citizenship, etc.
- c. Government is reviewing various registration processes and systems on citizens with a view to integrating them to enhance border management capacity and humanitarian services along the Kenya and Somalia border, IOM acquired an MBPU for the Kenyan immigration authorities and are currently being implemented.
- d. The e- border/e-visa centralized management system is in the process of being procure with the central database stationed in Nairobi. The system entails creation of a web portal from which visitors can access the e-visa application online and get notifications on the outcomes.

### **ICT Infrastructure**

- a. Most government-owned buildings in Nairobi are connected by a metropolitan fibre optic network known as GCCN. GCCN is connected to NOFBI and about 28 counties have last mile connectivity connecting the NOFBI node to the county headquarters.
- b. There is a moribund Government portal Kenya.go.ke which is in process of being upgraded and re-launched.
- c. There is a secure Government Data Centre hosting a few critical applications.

- d. Government backend systems are not yet integrated but there have been efforts to integrate the financial management system, and the payroll system.
- e. HUDUMA centres, semi-automated one-stop service delivery windows are currently operated without underlying shareable databases but arrangements are underway to link the various databases. Institutional Structures
- f. To harmonize the registration and management of population data related services, Kenya citizens and foreign National Management Services agency has been established headed by a Director General.
- g. Stakeholders in infrastructure include the Ministry of Interior and Internal Security, Customs and Revenue Authority, Information Communication & Technology, Education and Health among others
- h. Key stakeholders identified (Embassies, Security agencies, Ministry of health, Border local governments, Electoral bodies and business registration).
- i. Engaging and involving national ICT institutions responsible for the implementation of e-Government and other ICT related activities to provide technical guidance and support in rolling out the proposed EAC Regional e-Immigration Framework

### **Human Resource Capacity**

- a) Some high level ICT skills are in short supply and retention of qualified and experienced staff remains a challenge especially given uncompetitive terms of service in the public sector;
- b) Some high level ICT skills are in short supply and retention of qualified and experienced staff remains a challenge especially given uncompetitive terms of service in the public sector;
- c) Capacity building is critical at the three levels:
  - i. Strategic level (decision making)
  - ii. Tactical (Administration)
  - iii. Operational levels (technical, users) emphasizing soft skills for dedication and discipline at work.
- d) A human resource retention strategy should be developed to address the existing challenges e.g. good pay and other motivational incentives.

- e) The quality of training institutions and type of training offered must be carefully selected and designed respectively.

### **Funding Modalities**

- a. Funding is a challenge with main funding borne by the government.
- b. IOM and DFID have been major partners in terms of sensitizing and training immigration officers on security and terrorism, detection of forgery of travel documents, etc.
- c. There is need to identify areas where PPP can bring value and engaged at the right time and in the right place.
- d. The IOM funded the MBPU designed to operate under challenging climatic and geographic conditions, without any operational support for long periods.

### **Monitoring and Evaluation (M&E)**

- a. Monitoring and Evaluation of systems integrity and security (auditing) is carried out by the Ministry of Defense, whereas monitoring and evaluating the effectiveness of the investments in ICT uses performance indicators set for departments linked to individual staff performance contracts.
- b. Projection of revenue generated from ICT investment is measured as a tangible deliverable and entails tagging ICT investments to output/outcomes of agencies utilizing ICT services.
- c. Routine monitoring and evaluation is carried out by the MSE Unit in the Directorate of Immigration.

### **Challenges**

Government funding is a challenge due to many competing priorities.

### **General Recommendations**

- a. Develop and implement a staff retention strategy for ICT personnel
- b. Adopt Spain best practice of promoting in-house Immigration systems development.
- c. Develop and implement a strategy for Information sharing.
- d. Develop and implement an Infrastructure maintenance strategy for EAC regional projects.
- e. Draw up clear contracts for private sector actors for PPP arrangement emphasizing skills transfer.

- f. Ensure systems integration through harmonization and standardization of systems and operations.
- g. If system integration is to succeed, Kenya emphasized that the following should be put into consideration by the partner states:
  - Agree on the critical data fields shared and format. e.g. names and address.
  - Biometrics, which ones and how they are to be encoded.
  - Enact standard attributes of identifying a person.
- h. The MBPU application could be adapted to other Partner States in the EAC region facing similar migration management challenges.
- i. Monitoring and evaluating e-Immigration systems performance is paramount
- j. Define ICT infrastructure as critical infrastructure.

### **2.2.3 The Republic of Rwanda**

#### **Policy and Legal Frameworks**

- a. The existing e-immigration policy and legal frameworks are responding to the emerging issues of the youth and gender aspects because they are the major users of ICT and constitute a big percentage of immigrants with the region in search of employment opportunities, business, financial services and education.
- b. Integrated planning for the e-Immigration initiatives is being promoted.
- c. There exists a directive on the National ICT Policy framework providing for procedures to establish national e-Immigration systems.

#### **Information systems**

Key operational information systems-related initiatives were identified. They include a centralized National ID database, electronic Gates (e-Gates) at Kigali International airport and Rwanda/DRC border (Poids Lourds border post), Web-based online systems linking the remote offices with head office in Kigali, and an integrated Border Management system (in-house developed).

#### **Records/ Information Management**

- a. Website is live and provides information on services, laws and also provides tracking tools to know the status of the services sought;

- b. E-mail and SMS auto-notification to citizens;
- c. An e-Archive system is in place and operational; and
- d. An interactive forum between the Director-General of Immigration with the general public using face-book, twitter and other social media is operational

### **Business Processes**

- a. Online application and tracking of visas and permits;
- b. Online visa application;
- c. Tracking tools for visa/ permit/ passport and other travel documents;
- d. Automated passenger clearance to nationals;
- e. Intranet system for purposes of internal communication;
- f. Interconnection of borders (Border Management system);
- g. Processing of Machine Readable Laissez-Passer; and
- h. e-Archives

### **ICT Infrastructure**

- a. There exists a secure e-immigration systems infrastructure as cyber crimes and the provision of physical security and disaster recovery plan have been taken as a major priority.
- b. Rwanda's success is attributed to the development and implementation of the National Information Communication Infrastructure (NICI) which was conceptualized in 2000. Period 2000 - 2005 focused on Policy and strategy formulation, 2005 - 2010 focused on backbone Infrastructure development, 2010 - 2015 on common key e-Government services, 2015 - 2020 to focus on the e-Government Master Plan codenamed Smart Rwanda.

### **Institutional Structures**

There is a clear institutional structure with a formal staffing structure championing e-Immigration.

### **Human resource Capacity**

- a. Standardization of ICT curriculum and creating a streamlined career for staff including certifications; and
- b. Deliberate program for skills development for staff from associated MDAs.

### **Funding Modalities**

There is a clear strategy for PPP policy for e-immigration implementation to leverage funding and investment as through the Rwanda Development Board. However, most of the funding is currently by the government.

### **Monitoring and Evaluation (M&E)**

There exists a monitoring and evaluation mechanism for e-immigration integrated within the overall M&E system for government

### **Challenges**

- a. Lack of infrastructure (e.g. Online payment)
- b. Population awareness: e-systems may exist but still citizens prefer to come physically to inquire some of the information/ services that are available online.
- c. There is no M&E system specific for e-Immigration activities.

### **Recommendations**

#### **At National level**

- a. Strategize and integrate ICT applications in immigration operations;
- b. Disseminate and popularize the existing EAC regional cyber laws;
- c. Develop clear action plan with performance indicators which are monitored regularly towards the implementation of regional e-Immigration framework;
- d. Promote participatory systems development, implementation, monitoring and evaluation; and
- e. Sensitize leadership and public in order to build confidence and trust in e-Immigration initiatives.

#### **At Regional Secretariat level**

The following actions below were recommended for consideration at the EAC Secretariat level:

- a. Formulate a regional personal data protection law;
- b. Adopt an open information systems sharing policy clearly defining different information access levels;

- c. The e-Immigration framework should spell out clear principles for integration and harmonization of systems e.g. common development strategy, skills development, infrastructure and services;
- d. Develop and implement data backups and recovery mechanisms;
- e. Develop a common action plan identifying partner state champions to avoid reinventing the wheel and duplication;
- f. Mobilize funding as a regional block.
- g. Harmonize the backend and common ICT platforms to implement the regional e-immigration system.
- h. Promote the establishment of national datacenters to act as warehouses for national population databases,
- i. Prioritize and fast track the implementation of EAC e-Passports across the EAC region.
- j. Adopt the use of National ID to identify EAC citizens.
- k. Carry out training needs assessment to guide the formulation of a regional training program for various stakeholders involved in e-Immigration.
- l. Harmonize the regional identification systems and increase awareness on the use of the Identification system.
- m. Develop and implement a programme to build trust among the partner states.
- n. Implement quick win regional e-Immigrations applications.
- o. Focus on SMART regional e-immigration services.
- p. Setup a regional institutional structure for implementation of e-immigrations initiatives with clear performance indicators.
- q. Promotion of In-house systems development within the region.
- r. Explore avenues for sharing existing core ICT skills within the regional; and
- s. Identify EAC regional level e-immigration M&E indicators

#### **2.2.4 The United Republic of Tanzania**

##### **Policy and Legal Frameworks**

- a. Formulation of a national immigration policy is ongoing and is involving the national committee whose membership is drawn from government institutions and civil society from both Mainland and Zanzibar.

- b. The e-Government agency champions the national e-Government strategy, master plans and also supports related initiatives like e-Immigration.
- c. There is no framework for sharing automated information which is security related
- d. Existing policies and legal frameworks that may impact the implementation of e-immigration include;
  - i. National ICT policy 2003 which is under the ministry of communications, science and technology,
  - ii. The e-Government Framework and strategy (plan and activities) where e-Immigration is a sub-set.
- e. There are efforts towards harmonization and approximation of existing laws and regulations as required by the EAC regional integration including resident permits, fees, and amendment of immigration laws.
- f. The Evidence Act has been amended to accommodate electronic evidence which must be certified by the respective service provider.
- g. The existing National ICT Policy (2003) is augmented by a Cabinet directive to the President's Office Public Service Management in 2004 and the Presidential Instrument Government Notice Number 494 A of 17th December 2010 mandating the e-Government agency. The review of the National ICT policy is ongoing.

### **Information Systems**

- a. Existing information systems include (PIS, PISCES, PIRS, RPMS, Q-MANAGEMENT, VAS, I 24/7, ProGres, and SAPERION) which perform various functions.
- b. There exist a government web Portal ([www.tanzania.go.tz](http://www.tanzania.go.tz) and [www.immigration.go.tz](http://www.immigration.go.tz)) providing a variety of public information for immigration services issues.

### **Records/ Information Management**

- a. Some hard copy documents are scanned and stored electronically (e-Archiving) using SAPERION that presents an opportunity for storing and retrieving information as and when required.
- b. Some of the system is inadequate in terms of arranging the types of information, e.g. what to share, when to share and by whom.

- c. There is lack of clear guidelines for automated Information sharing with security in nature.

### **Business Processes**

The Processes to identify nationals is clear and well documented, and the exercise of identification and registration of nationals is ongoing.

### **ICT Infrastructure**

- a. Inadequate infrastructure.
- b. The systems are not linked i.e. no WAN in place.
- c. Absence of Business Continuity Plan and standards result into poor compliances with international security standard.
- d. Plans are underway to setup a government data centre to accommodate all existing databases to ease information sharing among different government institutions.

### **Institutional Structures**

- a. At national level, there is a Cabinet chaired by His Excellency the President and at the Ministerial level, the responsibility lies within the Ministry of Home Affairs where the Permanent Secretary chairs meeting of Heads of departments.
- b. The ICT unit needs to be reformed as have been directed by e-Government. Currently the ICT unit is not falling to head of the institute.

### **Human Resource Capacity**

- a. Existing skills is sufficient enough to handle current regional immigration systems.
- b. There is no clear staff retention program especially for those with ICT professional.
- c. ICT skills have been made as an “added advantage” for the new entrants into Immigration Service.
- d. Engineering professional such as ICT now days can be recruited to Immigration Services.

### **Funding Modalities**

A specific budget line is earmarked for the implementation of e-Immigration initiatives.

### **Monitoring and Evaluation (M&E)**

- a. There is an M&E Framework with 18 identified M&E indicators to monitor and evaluate the implementation of the e-Government program.

- b. The M&E unit is introduced to enforce monitoring and evaluation of ICT projects and put emphasis on return on investment.

### **Challenges**

- a. Insufficient ICT infrastructure.
- b. Inadequate and incoherent legal and regulatory framework.
- c. High cost of initial implementation and sustainability of the computerized system.
- d. Improper setup of ICT unit
- e. Lack of plan to adopt new technologies and practices.
- f. Inadequate infrastructure
- g. Absence of Business Continuity Plan and standards; and
- h. Current systems are not integrated and linked to relevant Immigration Offices and stakeholders.

### **General Recommendations**

- a. There is need to develop a security information sharing framework at the EAC level;
- b. Need to benchmark Ghana, EU Shenghen VISA on their legal framework and enabling infrastructure, South Korea on e-Gates and Advance Passenger Information System;
- c. Harmonize policy and legal frameworks at Partner State and EAC Regional levels;
- d. Harmonize the prioritization of implementation of e-Immigration projects among the Partner States;
- e. Provide soft skills training to address the issue of mindset, motivation, innovativeness
- f. Agree on sharing key resources such as power, and common systems, and highly professional ICT skills.

### **2.2.5 The Republic of Uganda**

#### **Policy and Legal Frameworks**

- a) Preparations of National Immigration Policy is before Cabinet for approval;
- b) Uganda, with support of development partners - IOM, Norad, Sida - has prepared a Rapid Country Profile 2013 on Migration in Uganda, which is regarded as a best practice

- c) Other national policies identified to impact on the implementation of e-immigration include Investment Policy, Labour and Employment Policy, Trade Policy, Tourism Policy and Security Policy.
- d) The process of revising the national immigration law is in advanced stages to incorporate emerging issues and requirements at national, regional and international levels. Proposed amendments to Immigration Laws are now before Cabinet
- e) It was revealed that a Regional Protocol on ICT Networks has been signed (23rd August 2013) by all partner states coordinated by the Ministry in charge of the EAC Affairs and implemented by the Ministry of ICT and other related agencies.

### **Information Systems**

- a) The national identification (ID) of citizens project is being undertaken under the National Security Information System; The national mass enrollment exercise that started in April 2014 ended on 12<sup>th</sup> Aug 2014 at the parish level with more than 14 million Ugandans registered. The continuous registration exercise continues at Sub County level for unregistered Ugandans.
- b) The data link of foreign data centers to the main Center is still incomplete; and
- c) The interconnectivity of Migration Information and Data Analysis System (MIDAS) for processing immigration data and with other Immigration Info Systems is not in place

### **Records/ Information management**

Most processes for document handling are manual and lack an e-archiving application

### **Business Processes**

- a) Most Processes are still manual leading to delays in issuance and possible duplication of travel documents.
- b) The current passport production process is computerized for only passport printing; however, receiving, processing applications and delivery of passports and storage of files in the registry are still manual
- c) Currently customs and migration systems are not harmonized and integrated to create an enabling environment for the implementation of e-Immigration.
- d) The country has adopted a Single Tourist Visa entry into the EAC region

### **ICT Infrastructure**

- a) Inadequate ICT infrastructure to connect headquarters level with regional offices and with border posts;
- b) The infrastructure for the production of e-passports as recommended by ICAO is lacking. However, the National Security Information System (NSIS) constitutes part of the necessary e-passport infrastructure. The rest of e-passport implementation is to be funded through PPP arrangement.

### **Institutional framework/structures**

- a) Key institutions identified to be involved in the implementation of the e-Immigration activities include URA, Immigration, Tourism, police, Security Agencies. Police coordinates all security aspects under the EAC integration
- b) NITA-U is involved in the formulation and implementation of e-immigration related initiatives e.g in Regional planning meetings, Northern corridor (national level), training immigration staff on intra office communication system; NITA-U is the chair and responsible for the National Identification project, they have revamped the website development of hosting, have helped development of TOR for the development of e-visa and e-permit and technical evaluation of bids.

### **Human Resource Capacity**

- a) Technical expertise is being sought from NITA-U to prepare for automation of existing immigration manual processes.
- b) Most staffs have acquired basic skills to operate computer systems; however there is need for specialized training for specialized systems.
- c) There is absence of standardization procedures for certification of professional and accreditation of training institutions in the region.

### **Funding Modalities**

- a) The main source of funding for Immigration activities is the Government of Uganda; and the development partners under the umbrella of the JLOS (Justice Law and Order Sector). Other resources are mobilized from bilateral donors on a case by case basis.
- b) The IOM has supported Uganda Government to install MIDAS system at Directorate of Citizenship and Immigration Control (DCIC) Head Office and Portbell and Kikagati border posts. There is a marine surveillance system on Lake Victoria.

## **Monitoring and Evaluation (M&E)**

Generic performance reports are prepared by various sectors and submitted to the Office of the Prime Minister to assess public service delivery and accountability

## **Challenges**

- a) Inadequate funding for immigration activities;
- b) Inadequate infrastructure, personnel and equipment for effective and efficient management of one-stop border posts;
- c) No WAN to link the headquarters, Entebbe airport, regional offices and border posts;
- d) Lack of a functional national identification system, though this is being tackled under NSIS;
- e) Inadequate records/information management system, which is essentially manual
- f) Internal Affairs Ministry's training institute is not equipped with the requisite training materials and tools to meet the needs of e-Immigration
- g) Existing PISCES does not facilitate capturing and verification of biometric data
- h) Lack of equipment to capture biometric data from persons crossing borders
- i) There is lack of ICT standards and interoperability framework for the region.
- j) Lack of an Inclusive regional information security policy at regional level and at partner state level.

## **General Recommendations**

- a) Need for interconnectivity to facilitate information sharing between headquarters, National level regional officers and border posts.
- b) Single regional database.
- c) Once single border post management.
- d) Removal of non tariff barrier
- e) Integration of immigration and customs systems.
- f) Benchmark the best practices from EU (Shenghen Visa),ASEAN (Malaysia, Kazakhstan and Pakistan),Finland, Estonia
- g) Formulate and implement a deliberate program to sensitize all stakeholders in order to address the issue of mindset and resistance to change including organizing study visits to partner states with best practices.

- h) Establishment of common platforms for database and systems.
- i) Set up seamless borders
- j) Operationalise the National identification system as a matter of urgency
- k) Establish an integrated immigration and data analysis system
- l) Development of a dedicated special purpose duct for backbone and other e-related services.
- m) There is need for the business process reengineering to reduce on the existence of lengthy and tedious immigration processes.
- n) Establish standard operating procedures for management of immigration processes across the regions
- o) Need for targeted funding of priority areas to promote the planned regional e-immigration initiatives.
- p) Need for an inter-agency working group on border management involving all key stakeholders
- q) Development of skills and competences to manage complex systems of a regional nature
- r) Having right institutional structures for e-immigration.
- s) Develop standards for certification of professionals and accreditation of training institutions for ICT skills in the region.

## **2.3 Strengths, Weaknesses, Opportunities and Threats (SWOT) Analysis**

This section presents the major strengths, weaknesses, opportunities and threats identified to inform the development of the regional strategic framework for e-Immigration.

### **2.3.1 Strengths**

- i. The Common Market Protocol which encompasses aspects of migration has been ratified by all Partner States and is being implemented;
- ii. There is a e-Government Strategic Framework guiding the incorporation of e-Immigration;
- iii. Partner States have put in place institutional mechanisms for managing immigration and related issues (the Directorates and Departments of Immigration)

- iv. e-Immigration is an integral component of the Regional E-Government Framework which is was adopted by the Council of Ministers in 2006
- v. There is political will expressed by the Council of Ministers approving the development of the e-Immigration Strategic Framework; and by extension it is clear that international support will be made available to implement the framework
- vi. The recognition by all countries that security (physical and/or virtual) is central in all immigration work

### **2.3.2 Weaknesses**

- i. Limited harmonization of systems/operations, policies and legal frameworks across Partner States;
- ii. Absence of standard enforcement regulations at regional level;
- iii. Lack of uniformity in the implementation the Common Market Protocol across Partner States (the pace is not uniform);
- iv. Insufficient integration of database management systems at the EAC Secretariat and Partner States levels;
- v. Lack of regional technical guidelines/standards for e-Immigration;
- vi. A large number of processes, especially at the border points are still manual and cannot share online information;
- vii. Currently the EAC Passport is not compliant with ICAO Standards and cannot be used for international travel by EAC citizens;
- viii. Inadequate staffing due to absence of a clear career path for ICT professionals compounded by absence of ICT Staff Retention Strategy, except for the United Republic of Tanzania;
- ix. Partner States are at different levels of developing and implementing electronic systems
  - x. Lack of a common population register at regional level for identification of EAC citizens;
  - xi. Most Partner States lack comprehensive policy frameworks for Immigration Control, let alone e-Immigration, which appear to be a new concept.
- xii. Most Partner States lack necessary backbone infrastructure to extend countrywide connectivity to reach border posts while others are afflicted by irregular and unreliable power supply and poor communications faculties;

- xiii. The inadequacy of the PISCES in capturing and verifying biometric data;
- xiv. Minimal willingness to adopt new technologies and practices;
- xv. Inadequate planning compounded by limited attention to return on investment in ICT
- xvi. Passport issuance at head quarters is not linked to border posts and relevant immigration offices in some Partner States;
- xvii. There is diversity of systems from Partner State to Partner State and there is yet no effective coordination let alone harmonization of the systems being developed
- xviii. Limited resources (financial, human and infrastructure) for immigration; there is high dependence on donor project resources which renders initiatives unsustainable
- xix. Countries are members to different regional bodies (IGAD, COMESA, etc)

### **2.3.3 Opportunities**

- i. The development partners likely to support e-Immigration initiatives at regional and Partner States level include: IOM and DfID and others are to be identified in due course.
- ii. The existence of different information systems being applied by Partner States
- iii. Some Partner States have infrastructure and best practices that can be utilized by others such the passport printing equipment in Burundi and the National Identity Cards production equipment in Rwanda
- iv. Most Partner States have formulated and are implementing Public Private Partnership Policies to leverage private sector financial, technical and entrepreneurial resources in the delivery of services. This approach is already being used by the Republic of Burundi.
- v. Infrastructure development for One Stop Border Posts (OSBP) ongoing;
- vi. Partner States can also share ICT training curricular through the National ICT Authorities
- vii. Existence of national teams for M&E of the implementation of the Common Market Protocol in Partner States

### **2.3.4 Threats**

- i. Inadequate funding for EAC Secretariat to be able to kick-start some initiatives;
- ii. Inadequate funding of Immigration work in most Partner States may delay full computerization of operations;
- iii. Incompatibility of systems for border management in view of the fact that borders in the region are porous;

## **2.4 Best Practices and Benchmarking**

This section presents best practices identified during consultations with key stakeholders at the EAC Secretariat and Partner States and through literature review.

### **2.4.1 Regional Agencies**

#### ***2.3.1.1 European Union***

In 2006, the European Union agreed on and adopted a common integrated border management and several institutions, politics and surveillance tools were introduced enhance border management and control through national European and international inter-agency cooperation.

In 2000 the European Commission came up with a coherent approach to irregular migration along four principles:

- a) Tackling illegal immigration at source through processing of visas;
- b) Consistent control of external borders to stop illegal migration;
- c) Controlling those who engage in trafficking in human beings and economic exploitation of migrants;
- d) Efforts to deter and eliminate relevant criminal networks.

In 2003, the Commission introduced two sets of biometric data (fingerprints and facial image of travelers) on visas and resident permits for third-country nationals (TCNs). In addition, the EU introduced surveillance technologies to ensure effective border control and security of external borders:

- a) Maritime Security Service (MARISS) project;
- b) EU Sea-Border Surveillance System;
- c) Electronic controls based on data bases (the Schengen Information System);

It is also noted that 43% of the EU's migration management funding is spent on developing and implementing measures to prevent or address unwanted migration into the region.

The principle policy line of the European Union is that the illegal entry, transit and stay of third-country nationals who are not in need of international protection undermines state sovereignty and security and the credibility of the common immigration policy and must be prevented (European Commission, 2009). While adhering to this policy, the EU is obligated under

international law to protect the fundamental human rights of clandestine entrants and irregular immigrants (International Council on Human Rights Policy, 2010). European borders are volatile and subject to continuous re-bordering and de-bordering processes. The EU is now operating a common coordinated migration regime for internal and controls. Having introduced a shadow border concept, a regime has emerged that links European with other regional and global processes. The EU now has a coordinated response to irregular immigration branding it as a security risk. As a result, the EU has developed and is implementing an Internal Security Strategy (ISS) focused on the following aspects: (i) protecting rights and freedoms; (ii) improving cooperation and solidarity among member states; (iii) addressing the causes of insecurity and not just the effect; (iv) prioritizing prevention and anticipation; (v) involving all sectors with a role to play in public protection (political, economic and social etc); (vi) communicating security policies to the citizens; and recognizing the independence between internal and external security operations

### ***2.3.1.2 Country Level***

#### **Ghana**

The Government of Ghana took an affirmative decision to mainstream and promote ICT in the national life as part of the e-Ghana initiative targeting four governance institutions – e-Parliament, e-Procurement, e-Justice and e-Immigration. Presently the Government has positioned immigration at the top of its national development agenda. As such Ghana is increasingly becoming a desirable and inevitable destination of business investment and tourism. Ghana is now in the process of developing its first national migration policy and guidelines. With respect to immigration, Ghana faces increased volume of embarkation and disembarkation which is threatening to overstretch its existing capacity in terms of staffing, facilities and infrastructure. For sometime Ghana's immigration system has been operated manually using a system that is neither centralized nor interconnected at all points of entry.

Measures to maintain control over the borders include:

- i. Operate fair but firm immigration controls that regulate and facilitate the movement of people through the country's borders;
- ii. Enhance service delivery to travelers and improve both operational and management reporting

- iii. Capacitate border intelligence system to provide accurate and reliable information and statistics to government authorities, interconnected with external stakeholders such INTERPOL and APIS (Advanced Passenger Information System) and with other relevant national authorities such as the National Identify Agency, the Ghana Police, etc;

The country recently introduced a centralized electronic border control system to improve security and efficiency of operations and management of immigration. This system uses biometric identification technology which captures biometrics of all foreign nationals in order to facilitate information flow and tracking. As a result the country is enjoying the following benefits:

- i. Faster, more efficient services including expedited immigration processing of travelers at borders and ports of entry;
- ii. Faster and easier process to apply for visas upon arrival;
- iii. Automated border control entry and exit for registered citizens and travelers;
- iv. Improved quality of service to the public such as improved efficiency of citizen and foreign traveler services; more efficient visa and permit processing with online application submission; e-Gate registration for citizens and frequent foreign travelers;
- v. Vastly improved security including prevention of identity theft and fraud through biometric data capture; immigration tracking with detailed records of who enters and leaves the country (when and where); centralized design for speedy resolution of mission-critical issues.

The key components of the Ghana e-Immigration package include:

- a) Fixed and mobile border management systems in 6 main ports of entry;
- b) Digital Visa and Permit application processing and issuance;
- c) Implementation of an online Portal for Visas and permit requests;
- d) Necessary data center and network updates;
- e) 10 e-Gate system for automated border control at Accra International Airport; and
- f) A robust centralized Automated Finger-print Identification System (AFIS).

## **Sri Lanka**

The Electronic Travel Authority (ETA) and Integrated Border Management System (IBMS) is a web-based system providing 24/7 service, including speedy and timely issuance of online visas

or new passports. The system is home-grown having been produced by the Sri Lank Department of Immigration and Emigration. This modular program manages the complete life cycle of border control, as well as of travel document issuance. The system is the only border management system in South Asia connected to the databases of Interpol, designed to track the online movement of internationally wanted persons using lost/stolen passports. The Decentralized Travel module enables the Department of I&E to issue passports through its branches in matter of hours; thus facilitating those in rural areas seeking employment overseas. In addition, the data generated from these applications helps tourism entities to adapt the tourism strategy for visitors to Sri Lank. (<http://www.eta.gov.lk>; <http://www.immigration.goc.lk/web>)

## **Estonia**

Estonia shares borders with Russia, crossing this border was once a time-consuming, unsure wrangle lasting days and resulting in bribery, illegal sale of spots in the queue, pollution, traffic safety issues and losses for freight carriers. Since implementation of the GoSwift Project ([www.goswift.eu](http://www.goswift.eu)), shorter waiting times and the elimination of physical lineups have resulted in an end to the illegal sale of places in line, better security and less waste problems at the border. By allocating a specific time and date for the applicant to cross the border online, Goswift has created minimum waiting, cleaner surroundings near border crossing points and considerably more movement of cars and trucks due to online efficiency. Using GoSwift system, trucks and cars can now drive to the border just before the registered border crossing time. Drivers can wait at designated waiting areas where toilets, dining areas, and free WIFI are available, proceeding as scheduled to cross the border easily and on time. Being a Private Public Partnership project, the system saves Estonia transport companies four million Euros each year.

## **3. PROPOSED EAC REGIONAL STRATEGIC FRAMEWORK FOR e-IMMIGRATION**

### **3.1 Components of the Strategic Framework**

#### **3.1.1 Vision, Mission, Strategic Objective, Specific Objectives**

**Vision:** *Excellent e-Immigration services for a secure, developed and integrated region.*

**Mission:** *Provision of efficient and effective immigration services in the EAC region.*

**Strategic Objective:** To use ICT to transform the delivery of immigration services to the citizens, business and non-citizens within the EAC region.

### **Specific Objectives**

- a) To harmonize and standardize institutional, legal and regulatory frameworks for integrated e-immigration implementation within the region;
- b) To adopt mutually acceptable business process and decision-making protocols for the management of immigration activities at all entry and exit points in the region;
- c) To develop frameworks and standards to enable the implementation of interoperable infrastructure, equipment, data, processes and applications.

### **3.1.2 General Principles underlying the Strategic Framework**

In the interest of protecting all partner state citizens and foreigners, the promotion of transparency, accountability, solidarity, the spirit of mutual trust, respect and togetherness, the e-Immigration framework shall be guided by the following principles:

- i. Commitment to innovation and building of regional technical capacity and professional values through training and development of home-grown systems and processes;
- ii. A Commitment to National Security and Immigration Control which is balanced with the imperative to foster regional trade, tourism and free movement of persons for overall regional development;
- iii. Harmonization and Standardization of laws, policies, rules and procedures, systems and processes in line with the EAC Protocols, Laws and Directives;
- iv. A holistic approach to e-Immigration including operational cooperation between Partner States to realize integrated visa issuance, border management, management of asylum seekers and deportation processes.

### **3.1.3 Advantages underlying the Strategic Framework**

The e-Immigration framework will accrue the following advantages;

- i. Free movement of goods, persons, labour, the right of establishment and residence, free movement of services and capital;
- ii. Joint awareness campaigns, building political consensus and a common vision for realizing e-Immigration opportunities at Regional and Partner State levels;
- iii. Enhanced coordination, harmonization and standardization for knowledge sharing of good practices and lessons learned of policy and strategy development and

- implementation, regulatory frameworks, hardware and software standards, systems interoperability within and between Partner States, amongst others;
- iv. Mobilization and pooling of limited resources (financial and human) where appropriate;
  - v. Practical cooperation and sharing of experiences in harnessing the benefits of ICT among the EAC Partner States;
  - vi. Facilitation of cross-border common data flows on a number of immigration activities
  - vii. Strengthen legal frameworks and electronic methods for data sharing.
  - viii. Enhancement of capacity building in the use and application of ICT in the delivery of immigration services.

The adoption and implementation of the regional strategic framework for e-Immigration in the EAC region, will lead to better and efficient approaches of better and more robust procedures of sharing immigration information between immigration agencies, applicants and legal experts, joint border control and enforcement activities, and improved resource sharing and utilization within the Partner States.

## **3.2 Strategic Framework Implementation Pillars**

### **3.2.1 Legal and Regulatory Framework (Cyber Laws)**

The application of ICT in immigration activities requires removal of legal and regulatory impediments both at Regional and Partner State levels. Such impediments include archaic immigration laws, outdated regulatory regimes, overlapping and conflicting institutional roles and mandates. Legislatures at Regional and Partner State level must ensure that immigration laws are updated to recognize electronic documents and transactions in line with the EAC Treaty, the Customs Union<sup>2</sup> and Common Market Protocol provisions. At the moment cyber laws from partner state to partner state and those which are available address areas of *Electronic Transactions, Electronic Signatures, Computer Misuse and data protection*.

Enhancement and enforcement of the legal and regulatory aspects, requires the promotion of clear laws, policies, and standards. The laws to comprise enablers for data management

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<sup>2</sup> This will also include the Customs Management Act and relevant articles as well as other EAC Legal Instruments (see One Stop Border Post Legal Framework, Regional Legal Framework Analysis Report, 2009)

operations including EAC regional agreed entities and attributes, recognized electronic forms, services and transactions, definitions of public databases and public shared data. Laws will also address sanctions for electronic Crimes including data protection. Policies will address legal issues which apply for the short to medium term and more specific areas such as data formats for the databases. Standards will address legal issues to do with adhering to the systems interoperability minimum requirements with clear definitions for data, processes, hardware, software, infrastructure and human capacity.

### **3.2.2 e-Immigration Systems Process Design**

In the process to establish harmonized EAC regional e-Immigration systems, emphasis need to be put on workflows in terms of processes and decision procedures definitions for the critical functions such as visa issuance, border control, internal control of foreigners, deportation etc. The roles and authority for decision-making should also be designed for coherence across the Partner States. The data management process including generation, validation, entry, analysis and dissemination should be clearly defined. Implementation of EAC regional databases should be clearly articulated as part of the e-immigration programme. Whereas Partner States may retain the right to procure different types of software and hardware to implement the required applications, the EAC region must adopt minimum standards that ensure the security, effectiveness, efficiency and interoperability of the regional e-immigration system. In the efforts to realize the EAC regional e-Immigration programme, identification and definition of key skills, competencies and attitudes of the technical human resources will be critical for the implementation and maintenance of the ICT systems.

### **3.2.3 e-Immigration Programme Implementation**

The institutional structure responsible for spearheading the implementation of processes of the EAC e-Immigration framework will be in accordance with the relevant institutional setup in the Partner States. The necessary institutional structures must be put in place to enable the systems to function effectively. As a minimum, these may include the national lead agency which will take overall charge of e-Immigration in each Partner State, An inspectorate at the regional level to

provide quality assurance and ensure adherence with standards, and a joint capacity building framework to bring capacity coherence in the region.

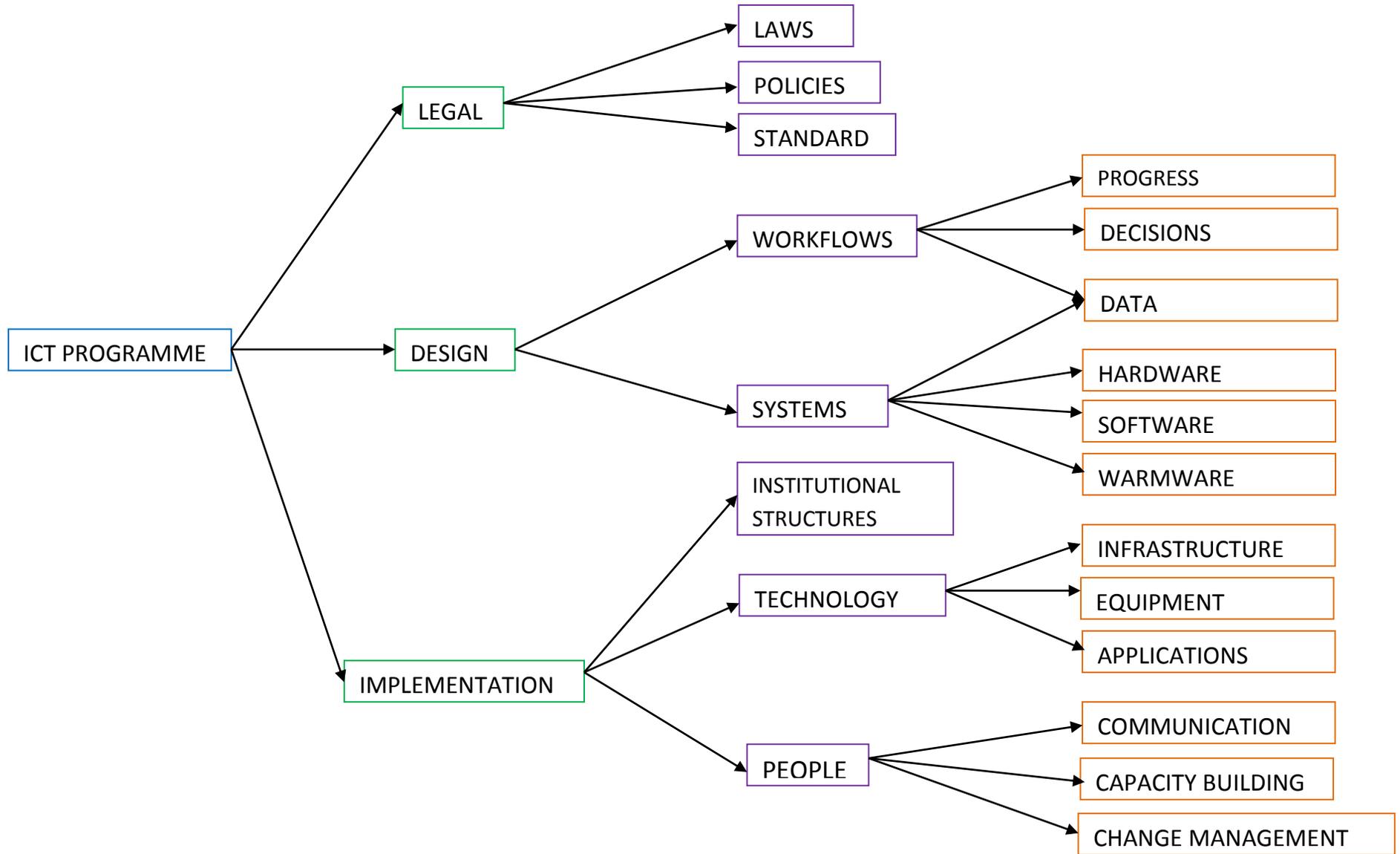
In terms of infrastructure, equipment and applications, it will be necessary to tap into existing regional initiatives to build integrated ICT infrastructure and ensure that they prioritize the provision of common ICT infrastructure at all border posts in the region (including energy and broadband connectivity.) Targets should be set to provide all necessary ICT equipment for e-immigration officers. Small border posts should be fully automated and technical solutions sought to overcome challenges such as lack of electricity and lack of connectivity otherwise these posts may become a risk due to lower standards, information security as another major implementation issue due to the sensitivity of the information being collected and used. The EAC Regional e-Immigration framework should be founded on the need for Partner States to ensure that all citizens have easy access to Public Internet Access Points (PIAP) especially the remotest corners in their local communities, villages or local government establishments. The national backbone fibre optic infrastructure and other private sector internet connectivity initiatives are critical in the provision of affordable costs of connectivity and access to the Internet by the various persons in the region. There is need for the governments to enhance collaborative working modalities with the private sector through public private partnerships (PPP) arrangements to address the challenge of funding the expansion of common ICT infrastructure across the region. Further development and expansion of basic ICT infrastructure for mobility telephony and Internet access in the rural areas, need to be given attention to address the existing digital divide among the population.

It is paramount to enumerate the full suite of applications needed and emphasis should be placed on the core systems needed for interoperable border systems. These may include the Master Data Management System, the Middleware (for interoperability), Entry Systems (Visa, Travel Document Control), the Exit Systems (Travel Document Control), the Biometric Information Systems, the Service Portal, and the data archiving systems. The EAC Secretariat may choose to implement a business intelligence system to assist in M&E activities at the regional level. Each country may also choose to implement a suite of other e-Immigration applications depending on their national requirements. However, the roll out of the strategic framework requires a clear and

concise prioritization of the e-Immigration information systems to be implemented under the short (quick wins), medium and long term perspectives. Implementation prioritization should first focus on the establishment of an integrated management system to ensure common e-Immigration information systems. The provision of better immigration services for the public by adopting advanced technology and improving processes including the incorporation of biometric technology and border controls to reinforce national security system should follow suit.

In addition to the issues enumerated above, there are also a variety of people issues which require to be addressed. Communication and advocacy for the e-Immigration programme initially focusing on the decision-makers and citizens on the benefits. Capacity building of policy-makers (strategic level), managers and executives (tactical level) and workers (operational level) should be carefully planned to be executed using a “just-in-time” training methodology. A change management initiative focusing on career and remuneration requirements of immigration officers, building excitement and pride in the new system and phasing the changes through a well-planned and executed change management strategy.

### Diagrammatic Representation of Key Implementation Pillars



### **3.2.4 Records and Information Management**

Keeping accurate and up-to-date records is vital to the success of any organization. The records kept will be one of the most important management tools it possesses. Therefore, management of records and information flow is a prerequisite if the EAC region is to implement and achieve the benefits of e-Immigration. For effective and efficient immigration service delivery, records and information management form the backbone in addition to the human, material and financial resources. Automation of registries and digitization of documents with well developed information flows will form the starting point for the realization of the e-Immigration service delivery in the region. Electronic archiving (e-Archiving) technology need to be adopted to realize this need. Infrastructure and systems to transform the existing traditional registries into modern information management centres to provide quality and digitized data through robust database management systems is a prerequisite. Business process reengineering need to be emphasized and promoted to be able to develop clear and precise records and information management systems in the immigration and other sister agencies.

### **3.2.5 Information Security**

Information security is very vital in a situation where personal data is to be collected and shared across the Partner States and beyond. Regional and Partner States data must be protected from piracy and hacking by having a large back-up system kept in a separate location. User privileges play an important role in this regard, defining who accesses what information, for what purpose and when for example stop lists information (of wanted/suspected persons) only accessed by security agencies or shared among Partner States security agencies. Information security infrastructure is equally critical. The operations of e-Immigration will need a strong back-up support of necessary legislation on data security, network security, cyber crime, information systems and electronic transactions.

### **3.2.6 Human Resources**

The EAC Region is the home of a large population of over 135 million, which provides a ready market for products and tourism. This population has been growing rapidly and it is estimated to reach 237 million by 2030<sup>3</sup>. Measures need to be taken now to properly orient and train a critical

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<sup>3</sup> The State of East Africa 2012: Deepening Integration, Intensifying Challenges, published by the Society for International Development (SID), April 2012.

mass in ICT skills commensurate with the emerging knowledge economic environment. In all the Partner States there exist a number of reputable universities and higher technical institutions, many of which are offering training in computer skills to the young generation, thereby opening up opportunities for increasing knowledge base in ICT.

With exceptions, the responsible departments of immigration are yet to create appropriate career path for ICT trained personnel. This situation suggests a serious absence of necessary supporting personnel to sustain ICT related initiative. This is compounded by the limited financial resources allocated for ICT training across the public sector. More advanced training in e-Governance and other modern ICT application need to be promoted and supported at Regional and Partner State levels.

### **3.2.7 Communication and Advocacy**

There is general lack of awareness about the ICT and e-Immigration applications and benefits in the immigration service provision. Awareness on the benefits of ICT in the provision of Immigration services is important to implement, own, and use the systems. A Standardized Communication and Advocacy programme is required to popularize the benefits of the EAC regional e-Immigration initiative across the region.

## **4. CRITICAL SUCCESS FACTORS**

The success in the roll out of this strategic framework will depend on an enabling environment provided by different factors. These factors include but not limited to;

- (xiv) Policy, Legal and Regulatory Frameworks are critical in order to create an enabling environment for e-Immigration implementation
- (xv) Political Leadership to be sensitized to consider migration as a priority.
- (xvi) National prioritization of ICT infrastructure including the one-stop border posts should be effectively improved and expanded to adequately support e-Immigration implementation.
- (xvii) Deliberate efforts for planning, budgeting, monitoring and evaluation for Immigration ICT related activities should be enhanced and strengthened
- (xviii) e-Immigration Systems architecture, interoperability and standardization will require harmonization and coordination.

- (xix) Collaborative Relationships with stakeholders to optimize economies of scales.
- (xx) Training and capacity building.

## **5. IMPLEMENTATION ARRANGEMENTS**

Implementation of the EAC Regional Strategic framework for e-Immigration involves a wide range of stakeholders in the provision of immigration services and enforcement of immigration laws and regulations. There is thus need for a unified coordinated implementation arrangement at the EAC Regional and Partner States levels. The arrangement is highlighted below.

### **5.1 EAC Secretariat (Roles and responsibilities)**

In addition to the EAC common market protocol, the roles of the EAC Secretariat include the following, among others:

- i. To champion the e-Immigration initiative across the region;
- ii. To coordinate joint actions;
- iii. To identify critical skills gaps and assist Partner States to build necessary capacities for managing e-Immigration systems and processes;
- iv. Mobilize resources for the implementation of the immigration project at the regional level.
- v. Develop and harmonize policies, laws and standards related to e-immigration.
- vi. Expand the ppp framework to cover e-immigration initiatives.
- vii. Develop M&E framework for e-immigration for the partner states

### **5.2 Partners States (Roles and responsibilities)**

The EAC Treaty spells out, under various Articles and sections, a number of roles and responsibilities for the Partner States. A few of those considered relevant to implementation of the e-Immigration Framework have been interpreted and are provided below:

- i. To receive monitoring and evaluation reports and act on the recommendations.
- ii. Select a lead agency for the e-immigration initiatives.
- iii. To create conditions favourable for the implementation of the e-Immigration framework by harmonizing and standardizing the policies and legal systems and processes;
- iv. To coordinate and share actions taken in implementing the e-Immigration framework through sharing work plans and reports on a regular basis;

- v. To provide necessary resources for the implementation of the e-Immigration Framework;
- vi. To set up and strengthen structures charged with responsibilities for implementing relevant actions of the e-Immigration Framework;
- vii. Ensure removal of all restrictions to the free movement of persons, labour, good and services as well as capital within the Region and between Partner States;
- viii. To cooperate in financing projects jointly in each other's territory, especially those that facilitate integration within the Community;
- ix. To cooperate in the mobilization of foreign capital resources for the financing of national and joint projects;
- x. To cooperate in infrastructure and services by:
  - a) Developing harmonized standards and regulatory laws, rules procedures and practices;
  - b) Maintaining, expanding and upgrading communications facilities to enhance interaction between persons and businesses in the Partner States and promote full exploitation of the market and investment opportunities created by the Community;
  - c) Providing security and protection to transport systems to ensure the smooth movement of goods and persons within the Community;
  - d) Establishing common measures for the facilitation of passenger and cargo air services in the Community;
- xi. To coordinate Partner State human resources development policies and programmes.

### **5.3 Private Sector**

Through Public-Private Partnerships (PPPs), the private sector will have opportunities for involvement wherever appropriate in the planning, implementation, monitoring and evaluation of the various e-Immigration initiatives at the EAC Secretariat and in the Partner States. The private sector is an important partner in terms of adding resources where insufficient, required skills and for timely execution of projects. Collaboration with private sector under a PPP arrangement should be undertaken in accordance with national and regional frameworks.

### **5.4 Civil Society**

The Civil Society should participate in the rolling out of the framework in the areas of advocacy, and monitoring and evaluation of the e-Immigration activities. Other critical partners to involve

include the media for effective information and education of the EAC partner states' citizens on the e-Immigration Strategy.

## **6. FUNDING STRATEGIES AND MECHANISMS**

One of the critical challenges facing the EAC at both the regional and partner state levels is inadequate funding for e-Immigration projects and programs. To implement this framework, the region will require financial resources that have to be mobilized from both domestic funding and external bilateral and multilateral support.

### **6.1 Funding strategies**

A number of funding mobilization strategies will need to be developed and implemented. Among others, the strategies may include;

- i. Popularizing the framework among key stakeholders for possible resource mobilization.
- ii. Adopt a business approach through development of a business and financial model.
- iii. Formulate a regional framework on ppp to guide regional efforts.
- iv. Partner states should be encouraged to provide funding for e-Immigration services.

The EAC secretariat should mobilize possible funding for e-immigration initiative

### **6.2 Funding Mechanism**

The common mechanisms would include:

- i. Public-Private Partnerships carefully negotiated ensuring that services are affordable to EAC partner states' citizens
- ii. Approach development partners in a joint manner as opposed to individual partner states' proposals to reduce on duplications of support;

## **7. MONITORING AND EVALUATION**

Realization of the expected outcomes requires consistent monitoring and evaluation of the e-Immigration initiative outcome indicators. Monitoring and evaluation will be carried out in line with existing Regional Monitoring and Evaluation framework at the EAC Secretariat.

Monitoring and evaluation reports need to be produced and disseminated to various stakeholders on a quarterly and annual basis. It is important that mid-term reviews be carried out after every two and half years (2<sup>1/2</sup>) of implementation to assess possible outcomes. And also ensure monitoring and evaluation is integrated in all e-immigration systems for continuous monitoring. A full review needs to be carried out after every five (5) years to assess possible impact of the e-Immigration activities. The requisite monitoring and evaluation indicators will be elaborated in the implementation action plan in section 8.0.

## **8. IMPLEMENTATION ROADMAP**

### **8.1 Next Steps**

The formal approval of the Strategic Framework for e-Immigration by the relevant EAC organs is the first step in implementing this framework. Ensuring that the final draft strategic framework submitted by the Consultant is formally approved, launched by the EAC Secretariat, and widely disseminated to citizens, businesses and non-citizens forms the first step. The EAC Secretariat in collaboration with the Partner States need to work closely to provide leadership and direction to establish and promote guidelines and procedures that harmonize and prioritize the EAC regional e-Immigration implementation, raise awareness and promote the benefits of e-Immigration across the entire sections of society in the region. The EAC Secretariat needs to engage the private sector and development partners to market identified and prioritized e-Immigration projects for funding opportunities. Set up or enhance existing e-Immigration institutional structures at regional and Partner States levels. Monitor and evaluate the implementation of e-Immigration activities a prerequisite.

### **8.2 Plan of Action**

<b>No.</b>	<b>Recommended Actions</b>	<b>Expected Outcome</b>	<b>Performance Indicators</b>	<b>Responsible Institution/Office</b>	<b>Time Frame</b>
1.	Raise awareness of the benefits of implementing the e-immigration initiatives to the stakeholders	Increased awareness to stakeholders	Adoption of the e-immigration strategic framework by Partner States	EAC Secretariat and Partner states	2015
2.	Popularize and implement the EAC Protocol on Information and Communications	Protocol on Information and Communications Technology understood and	Operationalize EAC Protocol on Information and Communications	EAC Secretariat and Partner States	2015

	Technology Networks	utilized by stakeholders at EAC and Partner States levels	Technology Networks		
3.	Expedite the harmonization and standardization of institutional, legal and regulatory frameworks to accommodate integrated e-immigration systems and processes at the regional level and within the Partner States	Harmonized institutional, legal and regulatory frameworks	Standardized e-Immigration systems and processes in place	EAC Secretariat and Partner States	2016 - 2017
4.	Develop policies on Information Security and Management, Cyber Laws, Data Protection and Data Sharing	Policies and laws developed	Operational policies and laws	EAC Secretariat and Partner States	2015 - 2018
5.	Integrate the e-Immigration framework in the existing Monitoring and Evaluation framework.	e-Immigration activities integrated into the existing M&E frameworks	e-Immigration M&E reports	EAC Secretariat	2015
6.	Develop and implement standardized operating procedures for Partner States systems for e-Immigration	Developed Standardized operating procedures for e-Immigration systems implemented	Approve and implement the standard operating procedures	EAC Secretariat and Partner States	2016 - 2017
7.	Build internal ICT capacity to develop in-house e- systems and processes at Partner States	in-house e- systems developed and IT capacity enhanced	Number of in-house systems developed and trained Staff	Partner States	2015 - 2016
8.	Promote the use of integrated e-Immigration systems by Partner States	information and Data Shared	Consolidated Data Base	EAC and Partner States	2016-2018
9.	Develop an infrastructure	High performing infrastructure for e-	Reduced systems	Partner state	(2015-2017)

	maintenance and Back up strategies for e-immigration projects	immigration systems	breakdown and maintenance reports		
10. .	Mobilize resources at National and Regional Level to support the implementation of the e-Immigration Strategy.	e- immigration strategy fully implemented	No of systems supported	EAC and Partner States	2015 - 2020
11. .	Organize benchmarking visits and short-term exchange program for Immigration and Customs Officials of Partner States	Best practices and knowledge acquired and shared	No of visits and reports	EAC and Partner States	2015 - 2016

## 9. ANNEXES

### A. List of documents reviewed

- i. The EAC Development Strategy 2011-2016
- ii. EAC Regional e-Government Strategy Framework
- iii. EAC Corporate ICT Policy
- iv. EAC Protocol on Information Communications Technology Networks
- v. Treaty for the establishment of the East African Community (As amended on 14th December, 2006 and 20th August, 2007)
- vi. Protocol on Establishment of the EAC Monetary Union
- vii. first meeting of the regional e-Immigration Technical working group, held at TRITA(Tanzania Regional Immigration Training Academy) Moshi, Tanzania on 28th - 30th , 2010
- viii. Adoption of e-Immigration Services in the East African Community, Paper presented at the 1st EAC Policy Makers Workshop on e-Immigration, Laico-Umubano Hotel, Kigali, Rwanda, 24th -26th August 2011
- ix. One stop border post legal framework for the East African Community

### B. List of officials consulted

Institution	Name	Designation
Ministry of EAC, Uganda	George Lwevoola and	Principal Information Technology Officer
Ministry of EAC, Uganda	Tayebwa William	Principal Environmental Officer

Ministry of EAC, Uganda	Mr. Edward Sebina	Assistant Commissioner, Production
Directorate of Citizenship and Immigration Control (DCIC), Uganda	Anthony Namara	Commissioner Immigration Control
DCIC, Uganda	Mr. Ongodia Nicholas	Commissioner Citizenship
DCIC, Uganda	Mr. Male Jabel	Principal Immigration Officer
DCIC, Uganda	Osare Freddie	Senior Immigration Officer
DCIC, Uganda	Okumu Oryeda Wilfred	Senior Immigration Officer
DCIC, Uganda	Margret Kabugho	Senior Immigration Officer
DCIC, Uganda	Robert Muwazi	Principal IT Officer
NITA-Uganda	James Saaka	Executive Director
NITA-Uganda	Julius Torach	Director e-Government Services
DCIC, Uganda	Cheborion Heric Pat	Principal Migration Officer
Ministry of EAC, Rwanda	Niyitegeka Jean Pierre	Director of Social Services, Political and Legal Affairs
Ministry of Youth and ICT, Rwanda	Kalema Gordon	Senior Technologist, e-Government Services Coordination
Ministry of Youth and ICT, Rwanda	Patrick Rwabidadi	Senior Technologist, ICT applications and Content Development
Directorate General of Immigration and Emigration, Rwanda	Eric Byukusenge	ICT Officer/ SES
Directorate General of Immigration and Emigration, Rwanda	Sebutege Ange	Head Communications and Public Relations
Ministry of EAC Affairs, Rwanda	Bikekayabo J. Damascene	Head of ICT

National Identification Agency (NIDA) , Rwanda	Nyamulinda Pascal	Director General
NIDA, Rwanda	Kayisire Jacques	Director IT
Ministry Office of the President in charge of EAC (MPACEA), Burundi	Ambassador Jean Rigi	Permanent Secretary
Ministry of Public Security, Burundi	Cizanye Diomedede	Chief IT and statistics
Ministry of Public Security, Burundi	Canisius Niyongabo	Deputy Commissioner General Immigration
CONTEC GLOBAL, Burundi	Roheen Berry	Managing Director
Department of Immigration, Kenya	Lucy Kahonge	Chief ICT Officer, Department of Immigration
Ministry of Information and Communication, Kenya	Abner Abaga	Head of ICT
Ministry of The East African Community, Kenya	Tabith I. Masinjila	Senior Assistant Regional Integration (Social Affairs)
Kenya ICT Authority, Kenya	Dr. Katherine W. Getao, EBS	Ag CEO
Huduma Teleposta, Kenya	Florence A. Shabasi	Centre Manager/ Team Leader National Registration Bureau Ministry of Interior and Coordination
Immigration Services Department, Tanzania	Abbas M. Irovya	Deputy Commissioner of Immigration Services Department (Spokes Person)
Immigration Services Department, Tanzania	Mohamed Awessu	Immigration Officer
Immigration Services	Jamila Ilomo	Immigration Officer

Department, Tanzania		
Immigration Services Department, Tanzania	Rodern L. Mtulo	Immigration Officer
Immigration Services Department, Tanzania	Vicent M Haule	Immigration Officer
Immigration Services Department, Tanzania	Lugano Mwambungu	Immigration Officer
Immigration Services Department, Tanzania	Sosthenes Lugome	Immigration Officer
Immigration Services Department, Tanzania	Abel. E. Msalali	Immigration Officer
Immigration Services Department, Tanzania	Shambu Mbwilo	Immigration Officer
Immigration Services Department, Tanzania	Emmanuel Mrema	Immigration Officer
Immigration Services Department, Tanzania	Daniel Mwaikambo	Immigration Officer
Immigration Services Department, Tanzania	Sadikiel Mhombige	Immigration Officer
e-Government Agency, Tanzania	Micheal A. Moshiro	Director e-Government Control
e-Government Agency, Tanzania	Frankosiligi Solomon	Computer systems Analyst
EAC Secretariat	Sarah Kagoda- Batuwa	Head of the Information Resource Centre/ Principal Librarian
EAC Secretariat	Mary Makoffu	EAC Director of Social Sectors
EAC Secretariat	Arnold Nkoma	Border Management Expert
EAC Secretariat	Monica Mihigo	Planning Expert
EAC Secretariat	Mr. Julius Birungi	Principal Monitoring and Evaluation Officer
EAC Secretariat	Jacob Ikilenya	Senior Systems Analyst

EAC Secretariat	Dr Anthony Kafumbe	Principal Legal Officer
EAC Secretariat	Michael Ndaikengurikiye	Principal Legal Officer

### C. Terms of Reference

#### TERMS OF REFERENCE:

#### TERMS OF REFERENCE FOR DEVELOPING A REGIONAL STRATEGIC FRAMEWORK FOR E-IMMIGRATION

### 1.0 INTRODUCTION

#### 1.1 EAC Treaty

The Treaty for the Establishment of the East African Community (EAC) was signed in November 1999 and entered into force in July 2000. The Treaty outlines the stages of EAC integration, with the Customs Union being the entry point, followed by a Common Market, a Monetary Union and ultimately a Political Federation. In accordance with the provisions of the Article 5(2) of the Treaty and more specifically from Article 76(1), the EAC negotiated and signed a Protocol on the establishment of an EAC Common Market on 20th November 2009. The Protocol provides for: the free movement of goods, persons, labour, services and capital. It also provides for the right of establishment and residence.

#### 1.2 The EAC Development Strategy 2011-2016

The EAC Development Strategy 2011- 2016 - Section 4.2.2, has prioritized among others, the full implementation of the Common Market Protocol and the approximation and harmonization of national laws, policies and systems of the Partner States to conform to the Common Market Protocol as a key intervention.

#### 1.3. EAC Regional e-Government Framework

E-Government is one of the priority areas of the EAC and its e-Government Framework vision is stated as:

“Quality and consistency in public service delivery, in order to satisfy citizens’ expectations of new standards of service provision that allow greater regional integration and economic development”.

The strategy identifies the following priority action areas; Customs and Immigration controls, e-Parliament, e-Health, e-Banking, e-Procurement, e- Commerce and e-Tourism, Meteorological and Tidal information.

#### 1.4 The Partner States EAC Regional e-Immigration Initiative

The Five EAC Partner States are at various levels of development and implementation of ICT and e-Government policies and strategies. The arrival of three intercontinental undersea fibre optic cables, namely, SEACOM, TEAMS and EASSY at the East African Coast between of Mombasa and Dar salaam between 2009 and 2010 is expected to support the establishment of

cross-border terrestrial broadband networks, broadband connectivity. The Partner States have taken opportunity of this development to improve connectivity and access to internet and are now scaling up the last- mile. The immigration directorates/ departments are using different border management systems and hence facing challenges of cross border connectivity and sharing of information.

Save for the Republic of Rwanda, the other Partner States are yet to complete interconnectivity of all their border posts with the headquarters and in some borders immigration service processes are still manual. There are infrastructural, human and financial capacity challenges to effectively implement e-immigration initiatives.

## **2.0 DEVELOPING A REGIONAL STRATEGIC FRAMEWORK FOR EIMMIGRATION**

### **2.1 Rationale**

E-Immigration is an important aspect of the Common Market Protocol that became operational in July 2010. Article 5(2b) of the Protocol envisages easing of cross-border movement of persons and adopting an integrated border management system.

As we commence 4th year of the implementation of the Common market Protocol, and the operationalization of the one stop border post initiative by the Partner States, e-Immigration services have become critical enablers that must be in place to facilitate the implementation of the Protocol for the free movement of persons, passengers, labour and goods in the EAC region.

The Immigration Technical experts and Policy makers have in several meetings (the 1st 2nd and 3rd Technical Working group meetings, the Chiefs of Immigration meetings, Kampala 2010, Bujumbura 2011 and the 1st Policy Makers workshop,2012:

- i. Identified, discussed and debated key challenges of implementing e-immigration initiatives
- ii. Underscored the needs and benefits of coordinated and harmonized immigration laws, policies and e-strategies

They have also expressed the need:

- iii. For setting up appropriate institutional framework to champion the implementation of e-Immigration and funding issues;
- iv. To effectively address cross cutting policy issues including Information Security and Management, Cyber Laws, Legal and Regulatory Framework, infrastructure standards for data protection laws necessary to ensure stakeholder confidence during e-Immigration service delivery;
- v. For integration of e-Immigration into the overall Immigration plans at Regional and national level master plans;
- vi. To build capacity for Immigration directorates/departments in the areas of human resource and infrastructure development to fully embrace the e- Immigration initiatives;
- vii. To develop a Roadmap for the implementation of EAC Regional e-Immigration initiative within the overall EAC Regional e-Government Strategy Framework.

Therefore, in order for the above issues and processes to be handled in a systematic manner, and to realise the E-Immigration vision as stated:” To offer excellent e-immigration service for a secure, developed and integrated region” there is a need to develop a regional e-Immigration

strategic framework. The proposed EAC e-Immigration strategic framework will guide the development of harmonized Policies, Strategies, Legal and Regulatory Framework and the overall implementation of e-Immigration initiative at national levels.

## **2.2 Objectives of the Study**

### **2.2.1 Overall objective of the study**

To develop an EAC Regional e-Immigration Strategic Framework to guide the overall implementation of e-Immigration initiatives at both regional and national levels.

### **2.2.2 Specific Objectives**

- i. To identify existing Policy/Legal frameworks, e-Immigration applications gaps and recommend the areas that require harmonization in the EAC region.
- ii. To assess, and identify gaps of the required resources, skills and supporting infrastructure for the effective implementation of e-Immigration initiatives at each Partner State level
- iii. To benchmark best practices of various- immigration initiatives from the region and other regions

## **3.0 METHODOLOGY**

### **3.1 Study design**

The Study will adopt a qualitative approach to data collection, analysis and presentation. The study will draw from the recently conducted final draft study on developing harmonized e-immigration information systems for the East African Community (EAC) Region and other studies conducted at national levels.

### **3.2 Data Collection**

The consultancy is expected to employ different methodologies of data collection, including among others:

- i. Content analysis of existing relevant information from international best practices and existing documents and literature such as:
  - The Treaty for Establishment of the East African Community
  - EAC Development Strategy
  - EAC Common Market Protocol
  - EAC Regional e-Government Strategy
  - The study on developing harmonized e- immigration information systems for the East African Community (EAC) Region
  - Partner States ICT and e-government policies and strategies
  - Chiefs of Immigration/ Technical Working group meeting and workshop reports
- ii. A participatory approach and consultative methodology to gather data from the Partner States
- iii. Questionnaires and Qualitative interview schedules
- iv. Desk research on existing e-immigration initiatives in EAC Partners States; Regional and international best practices

### **3.3 Scope**

The study will cover the five EAC Partner States- Immigration directorates/departments, Ministries/ agencies responsible for ICT and e-government and any other relevant Institution.

The focus will include a detailed analysis of relevant e-immigration applications; Policy and Legal frameworks; supporting Infrastructure and Human resources.

#### **4.0 CONSULTANCY TASKS**

The specific tasks will include the following among others:

- 4.1. Develop the relevant tools for the study
- 4.2. Conduct a comprehensive study and analysis of the existing immigration information systems in the Partner States and propose an integrated e-solution;
- 4.3. Review the existing infrastructure and propose an appropriate infrastructure to support the e-immigration solution;
- 4.4. Analyze the National ICT/E-Government Policies and Legal Framework in each Partner State and make recommendations for addressing the identified gaps;
- 4.5. Analyze the existing HR capacity in e-immigration skills and propose the necessary areas of capacity building to support the implementation of e-immigration initiatives;
- 4.6. Benchmark best practices of various- immigration initiatives from the region and other regions such as the European Union; Caribbean Community (CARICOM), or individual countries with e-immigration initiatives
- 4.7. Identify existing home grown E-Immigration solutions within the Partner states and other Regions with a view of making recommendations for their adoption
- 4.8. Identify key stakeholders and their roles in implementing the proposed strategic framework
- 4.9. Propose funding strategies and mechanisms for the proposed strategic framework at national and regional levels
- 4.10. Develop an action plan to implement the strategic framework

#### **5.0 EXPECTED OUTPUTS/DELIVERABLES**

The main expected outputs for the proposed tasks will include:

- a) An inception report detailing the methodological approach
- b) A draft regional e-Immigration strategic framework
- c) A report of the stakeholder's validation workshop;
- d) A final draft strategic framework and an action plan

#### **6 QUALIFICATIONS**

Institutions or registered firms in the area of e-government or e-immigration services may apply for this consultancy, provided they meet the following criteria:

##### **Minimum qualification:**

The experts should have Advanced University Degrees in the following fields;

- v. Computer Science (MIS)/ICT
- vi. E-governance
- vii. Human Resource Management
- viii. Social sciences

##### **Institutional/ registered firms Experts profile**

- v. At least 7 years professional experience in undertaking various consultancies for various institutions and governments

- vi. At least 5 years' experience working on social, economic and ICT/E-Government issues in any National or Regional Organization
- vii. Demonstrated experience in working with various stakeholders at national level
- viii. Demonstrated knowledge of regional policies, regulations and protocols

**7.0 DURATION OF THE ASSIGNMENT:**

The assignment should be delivered within a period of 60 working - days from the date of signing the contract.

**Beneficiaries**

The study is expected to benefit the following;

- i. Partner states Immigration Directorates /Departments
- ii. Partner states ICT/E-government Ministries/Agencies
- iii. EAC Secretariat

**8.0 SUBMISSION**

Interested Firms/Institutions should submit on 8th November 2013 at 11.00 am local time.