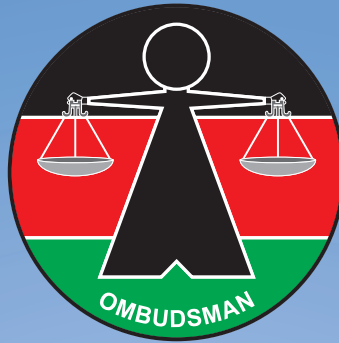


THE COMMISSION ON ADMINISTRATIVE JUSTICE  
(OFFICE OF THE OMBUDSMAN)



*Hata Mnyonge ana Haki*



**Strategic Plan**  
**2019 - 2023**

## FOREWORD

I am pleased to present the second Strategic Plan for the Commission on Administrative Justice (Office of the Ombudsman). The Plan provides a roadmap of how the Commission will execute its mandate in the next five years from 2019 to 2023. It sets out the strategic vision and outlines the priorities for the Commission as part of its accountability to the people of Kenya. It also contains immediate, medium and long-term strategies that will guide the Commission in the execution of its mandate.

As you are aware, the Commission plays a central role in the advancement of good governance in Kenya. It achieves this through promoting and enforcing administrative justice and access to information in accordance with the Constitution, the Commission on Administrative Justice Act, 2011, and the Access to Information Act, 2016. This Plan succeeds the Commission's inaugural Strategic Plan 2013 – 2016 that provided the foundation for significant milestones. During the said period, the Commission robustly executed its mandate as manifested in the exponential growth of complaints handled, number of public institutions capacitated and partnerships forged. Furthermore, the Commission enhanced its brand and capacity in the areas of administrative justice and access to information. The present Strategic Plan will, therefore, seek to deepen good governance and maintain the niche of the Commission as the public defender in Kenya.

This Plan has been informed by the lessons learnt and emerging issues in the last seven years, global best practices as well as the input of our stakeholders. It provides a coherent, systematic and sustainable roadmap upon which the operations of the Commission will be anchored. In particular, the Plan contains strategies and programmes aimed at reducing public complaints, and enhancing awareness creation, open governance, and delivery of public services. The Commission will strive to achieve these outcomes through well-designed strategies and activities anchored on resolution of public complaints; oversight and enforcement of access to information; public education, awareness and visibility; and institutional strengthening and capacity building. Ultimately, it is envisaged that the implementation of the Plan will lead to a society that upholds administrative justice and access to information.

I note that the development and operationalisation of this Plan has come at a time when the Government has intensified its efforts towards improving governance and delivery of public services. In addition, the public has become more enlightened about the standards of public services and accountability. As the champion of administrative justice and access to information, we commit to implement the strategies and activities laid out in this Plan. Whereas we are cognisant of the challenges ahead, we wish to assure Kenyans of our determination and commitment to institutionalising administrative justice and open governance in Kenya. To this end, we will collaborate with all stakeholders in order to deliver on our

mandate. I, therefore, invite all stakeholders to partner with us as we implement this Plan in order to improve good governance in our great nation.



**HON. FLORENCE KAJUJU, MBS**  
**CHAIRPERSON OF THE COMMISSION**

## ACKNOWLEDGEMENT

The Commission on Administrative Justice makes no hesitation in unreservedly recognising the invaluable input and support of several individuals and organisations in the development of this Strategic Plan. Firstly, to our external stakeholders for your invaluable input pertaining to both past performance of the Commission and what is expected from the Commission in regard to forward planning.

I acknowledge the invaluable contributions and meticulous guidance provided by the Commissioners in developing the plan led by the Chairperson, Hon. Florence Kajuju, MBS, Vice Chairperson, Mr. Washington Sati and Commissioner Lucy Ndungu, EBS who is the designate Access to Information Commissioner.

I am grateful to the Commission's Senior Management Team comprising of Mr. Ismail Maaruf - Director Compliance & Risk, Mr. Daniel Karomo - Director Corporate Services, Mr. Edward Okello – Director and Special Advisor to the Chair, Mr. Micah Nguli - Director Research and Investigations, Mr. Vincent Chahale - Director Legal and Advisory Services, and Ms. Phoebe Nadupoi - Director, Advocacy and Communications for your dedication and input to the development process.

Equally, I wish to give special thanks to our technical team led by Director Ismail Maaruf, Mr. Mohamed Adan, and Mr. Victor Ongaya for their adept contribution and coordination of the whole process. To the entire Commission staff, I also say thank you for your contribution and participation.

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Finally, I extend my appreciation to the technical support provided by the Consultant, Eliud & Associates (E&A) Management Consultants led by the Managing Consultant, Mr. Eliud Owalo who was the Lead Consultant in facilitating this process along with Prof. Francis Wambalaba (technical reports review and reports compilation) and Dr. Eric Kibet (legal issues and policy alignments).

I encourage all to remain steadfast in this journey.



**Leonard Ngaluma, MBS**  
**Commission Secretary/CEO**

## ACRONYMS AND ABBREVIATIONS

|         |   |
|---------|---|
| AfCFTA  | African Continental Free Trade Area                                 |
| AU      | Africa Union  |
| CAJ     | Commission on Administrative Justice                                |
| CCTV    | Closed Circuit Television   |
| COMESA  | Common Market for Eastern and Central Africa                        |
| EAC     | East Africa Community   |
| EACC    | Ethics & Anti-Corruption Commission                                 |
| ERS     | Economic Recovery Strategy  |
| HRBA    | Human Rights Based Approach   |
| ICT     | Information Communication Technology                                |
| IGAD    | Intergovernmental Authority on Development                          |
| IOA     | International Ombudsman Association                                 |
| IPOA    | Independent Policing Oversight Authority                            |
| KNCHR   | Kenya National Commission on Human Rights                           |
| M&E     | Monitoring and Evaluation   |
| MDGs    | Millennium Development Goals  |
| ME&R    | Monitoring, Evaluation and Reporting                                |
| MTP III | Third Medium- Term Plan   |
| NEPAD   | New Partnership for African Development                             |
| NGEC    | National Gender and Equality Commission,                            |
| NHIF    | National Hospital Insurance Fund                                    |
| OECD    | Organisation for Economic Cooperation and Development               |
| PCSC    | Public Complaints Standing Committee                                |
| PESTEL  | Political, Economic, Social, Technological, Environmental and legal |
| PWD     | People living with disability                                       |
| RMU     | Resource Mobilization Unit  |
| SAGA    | Semi-Autonomous Government Agency                                   |
| SDGs    | Sustainable Development Goals                                       |
| SP      | Strategic Plan  |
| SRA     | Strategic Results Area  |
| SWOT    | Strengths, Weaknesses, Opportunities and Threats                    |
| TNA     | Training Needs Assessment   |
| TNA     | Training needs Assessment   |
| UDHR    | Universal Declaration of Human Rights                               |
| UN-SDGs | United Nation's Sustainable Development Goals                       |

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## EXECUTIVE SUMMARY

**Overview:** Successive National Development Plans, i.e., National Poverty Reduction Strategy Paper (2001); the Economic Recovery Strategy (ERS, 2003-2007); the Kenya Vision 2030 and its Medium-Term Plans; and now the Big-Four (4) National Development Agenda; all emphasise the importance of administrative justice in facilitating effective service delivery and good governance in the public sector. Key international policy and strategic blue-prints such as the Millennium Development Goals (MDGs) covering the period 2000-2015 and its successor, the Sustainable Development Goals (SDGs) covering the period 2016-2030; the Africa Union (AU)'s Agenda 2063; and the East Africa Community (EAC)'s Vision 2050; equally recognise that administrative justice is imperative for both economic growth and development that then defines international development cooperation.

The Commission previously had a Strategic Plan covering the period 2013 – 2016, whose term came to a close. Based on fundamental changes and emerging issues in the operating environment, plus shifts in macro-level planning cycle; it was necessary to review the implementation status of the preceding CAJ Strategic Plan and utilise the same to inform the development of a new Strategic Plan covering the period 2019-2023. This Strategic Plan has been prepared through a participatory process involving the CAJ Commissioners; Management; and Staff, while recognising and putting in place initiatives that will effectively respond to the needs and expectations of its diverse stakeholder segments.

**Lessons Learnt:** Several key lessons have been learnt which informed development and implementation of strategies and activities during the period of this Strategic Plan. These key lessons are: (i) *Staffing level*- Need to attract and retain competent technical staff to facilitate effective delivery of the Commission's mandate; (ii) *Resource Mobilization*- Need to develop and implement a comprehensive resource mobilization strategy; (iii) *Target Setting*- Need to set clear performance targets to facilitate effective performance management and monitoring, evaluation and reporting on the implementation status of the Strategic Plan; (iv) *Accountability Centres*- Responsibility needs to be assigned to specific functions to enhance accountability for performance and eliminate duplicity of effort; and (v) *Stakeholder Engagement and Visibility*- Need for enhanced stakeholder engagement and visibility of the Commission to enhance the corporate image.

**Emerging Issues:** The key emerging issues in the operational environment that the Commission needs to respond to moving forward include: (i) Enactment of the Access to Information Act, 2016; (ii) Emergence of multi-agency team to fight corruption; (iii) Establishment of the County Regional Economic Blocs; (iv) The impetus to enforce rule of law by the DPP and the DCI offices; (v) Need for benchmarking with global-best practices in administrative justice; and (vi) Use of alternative dispute resolution methods and systems in resolution of complaints.

**Key Success Factors:** The imperatives which the Commission must do right moving into the future in order to fulfil its mandate and justify its existence include: (i)

Capacity building; (ii) Alignment of organisational culture to strategic direction; (iii) Automation of processes and process re-engineering; (iv) Visibility and branding; (v) Advocacy; (vi) Effective performance management; (vii) Effective resource mobilization and prudent utilisation; (viii) Amendment of the legal framework; (ix) Effective change management; and (x) Effective decentralisation of services.

### **Strategic Framework:**

This Plan is guided by the Commission's zeal and commitment to pursue its Vision, uphold key Values, and operationalise its Mission.

- ❖ **Vision Statement:** The Commission's Vision is: ***"A society that upholds administrative justice and access to information"***.
- ❖ **Mission Statement:** The Commission's Mission is: ***"To enforce Administrative Justice and Access to Information through complaints resolution and public education for efficient and effective service delivery"***.
- ❖ **Core Values:** The Core Values or principles by which the Commission will operate are the **RIFTI** Core Values of: (i) **R**- Responsiveness; (ii) **I**- Independence; (iii) **F**- Fairness; (iv) **T**- Transparency; and (vi) **I**-Integrity

**Strategic Themes:** Four Strategic Results Areas (SRAs) have been identified to form the focus pillars upon which results will be pursued and measured. These are: (i) Resolution of Public Complaints; (ii) Oversight and Enforcement of Access to Information; (iii) Public Education, Awareness and Visibility; and (iv) Institutional Strengthening and Capacity Building.

**Strategic Objectives:** Arising from the above Strategic Themes, the Commission will pursue the following seven Strategic Objectives, namely: (i) *To strengthen public service systems, processes, procedures and practices;* (ii) *To strengthen complaints handling capacity in the public sector;* (iii) *To promote disclosure of information within public and private sectors;* (iv) *To strengthen the framework on access to information;* (v) *To enhance awareness and understanding of the Commission's mandate;* (vi) *To strengthen the capacity of the Commission to effectively deliver on its mandate;* and (vii) *To mobilise adequate resources.*

**Implementation of the Plan:** The Plan's implementation will provide the actual process through which the Commission's strategic goals will be realised. Through their operations, the Directorates/Departments/Functions and Branch Offices will translate the strategic goals into reality, by developing and implementing annual work plans which are effectively aligned to the Corporate Strategic Plan.

**Coordination and Implementation Framework:** The overall role of implementing this Strategic Plan rests with the office of the Commission Secretary/Chief Executive Officer charged with overseeing the actual implementation of the Plan to meet the Strategic Objectives set and, in particular, the targets as outlined in the Implementation Matrix at the end of this document. Based on directives received from the Commissioners, he/she, will provide overall leadership and framework for

implementing policy directives, strategies and activities outlined in the Strategic Framework, including the allocation of resources.

**Organisational Structure:** Fundamental weaknesses have been noticed in the organisational structure, key among which are duplicity of effort, especially (i) between the Office of the Chairperson and the Directorate of Legal and Advisory Services in the handling of complaints; and (ii) the need to establish and operationalise a Resource Mobilization Unit (RMU). The Commission will, therefore, undertake an objective Job Evaluation exercise in the early stages of the Strategic Plan to facilitate comprehensive review of the organisation structure based on a detailed functional analysis.

**Resource Flows:** Financial resources will be required for implementation of the programmes and activities in the four Strategic Result Areas (SRAs) in this Strategic Plan. The total amount required for the 2019/20-2023/24 period is **Ksh. 4.39 Billion**. This is presented in Table 6.2.1 in the Plan. The financial resources expected to be allocated to the Commission by the National Treasury is **Ksh. 3.50965 Billion**, leading to a deficit of **Ksh. 0.882 Billion**. The envisaged sources of raising the additional resources include the Exchequer, Grants, and Strategic Alliances and Partnerships (Technical assistance).

**Monitoring, Evaluation and Reporting:** This will be undertaken at both the Commission and Management levels. Progressive monitoring will be carried out based on the expected outputs and measurable indicators set out in the Implementation Matrix, and envisaged outputs and annual targets in the Results Matrix.

**Critical assumptions:** Critical assumptions underpinning successful implementation of the Strategic Plan are: (i) The Legal and regulatory framework will be strengthened in a manner favourable to the mandate and core functions of the Commission; (ii) Goodwill and support from stakeholders will be realised and sustained during the Strategic Plan period; and (iii) The Commission will mobilise adequate resources to finance its programmes and activities.

**Conclusion:** This Strategic Plan sets out a coherent, systematic and sustainable road-map on which to anchor the Commission's programmes and operational initiatives for the 2019/20-2023/24 period. With an effective M&E underpinning the proposed activities, the Plan will provide effective guidance to the Commission's operations. While the Commission will facilitate efficient operations through optimisation of resource utilisation and re-engineering of the business processes, the collaboration with and support of stakeholders at all levels will be imperative.

# CHAPTER ONE

## 1.0 INTRODUCTION

### 1.1 Background Information

The Commission on Administrative Justice (CAJ), also known as the Office of the Ombudsman, is a body established under Article 59(4) and Chapter Fifteen of the Constitution of Kenya. It is operationalized by the Commission on Administrative Justice Act, 2011 that provides for its *modus operandi*, functions and powers. Further the Commission is the oversight and enforcement institution with functions and powers to give effect to article 35 of the Constitution on the right to access information as provided for by the Access to Information Act 2016. The Commission has three Commissioners and a Secretariat headed by the Commission Secretary.

### 1.2 Core Functions

The core functions of the Commission as provided for in Section 8 of the CAJ Act, are, to:

- a) Investigate any conduct in state affairs, or any act or omission in public administration by any State organ, State or public officer in National and County Governments that is alleged or suspected to be prejudicial or improper or is likely to result in any impropriety or prejudice;
- b) Investigate complaints of abuse of power, unfair treatment, manifest injustice or unlawful, oppressive, unfair or unresponsive official conduct within the public sector;
- c) Report to the National Assembly bi-annually on the complaints investigated under paragraphs (a) and (b), and the remedial action taken thereon;
- d) Inquire into allegations of maladministration, delay, administrative injustice, discourtesy, incompetence, misbehaviour, inefficiency or ineptitude within the public service;
- e) Facilitate the setting-up of, and build complaint handling capacity in the sector of public service, public offices and state organs;
- f) Work with different public institutions to promote alternative dispute resolution methods in the resolution of complaints relating to public administration;
- g) Recommend compensation or other appropriate remedies against persons or bodies to which this Act applies;
- h) Provide advisory opinions or proposals on improvement of public administration, including review of legislation, codes of conduct, processes and procedures; and
- i) Promote public awareness of policies and administrative procedures on matters relating to administrative justice.

In addition, the Commission has the following functions under section 21 of the Access to Information Act;

- a) To investigate violations of the provisions of the Act;
- b) To receive reports from public entities with respect to implementation of the Act and undertake evaluation of the use and disclosure of information;
- c) To facilitate public awareness and develop programs on the right to access information and the right to protection of personal data;
- d) To promote right of access to information in public entities;
- e) To monitor state compliance with international obligations related to the right to access information and protection of personal data;
- f) To hear and determine complaints and review decisions arising from violations of the right to access information;
- g) To promote protection of data; and
- h) To perform such other functions as the commission may consider necessary for the promotion of access to information and promotion of data protection.

### **1.3 Milestones**

The Commission realised fundamental achievements during the 2013-2016 Strategic Plan period, amongst which include the following:

#### **1.3.1 Complaints Resolution Activities**

- a) Promoted the rule of law and access to justice through redress of administrative injustices. Specifically, the Commission handled 509,246 complaints out of which 416,168 were resolved. This translated to a resolution rate of 82%;
- b) Improved public service delivery through specific and systemic investigations; and
- c) Enforced access to information which promoted public participation in governance through review of 108 administrative decisions; promoted proactive disclosure standards; carried out capacity building for public institutions on dispute resolution; and provided public education on the right to access information.

#### **1.3.2 Governance and Best Practices Activities**

- a) Strengthened good governance through establishment of a recognition and reward system (Huduma Ombudsman Award), and public interest litigation;
- b) Enhanced policy and legal reforms through the issuance of 44 advisory opinions and provision of technical support in the development of various legislative proposals on various matters;
- c) Mainstreamed complaints handling in the public service through the government's performance contracting system;
- d) Promoted and mainstreamed Alternative Dispute Resolution (ADR) methods in the public service; and

- e) Promoted best practices in the implementation of the Access to Information Act through training, publications and technical assistance.

### **1.3.3 Capacity Strengthening Activities**

- a) Built internal capacity through acquisition of physical and ICT infrastructure;
- b) Recruited highly competent and skilled human resource;
- c) Strengthened public administration through training of 17,404 public officers by providing technical support in development of infrastructure on complaints management and access to information; and
- d) Decentralised Ombudsman services through establishment of four branch offices and nine Huduma Centres.

### **1.3.4 Positioning and Branding Related Activities**

- a) Enhanced public awareness and participation on matters of administrative justice and access to information through county visits, Huduma Mashinani, media engagements, and production of information, education and communication materials;
- b) Developed a strong Ombudsman brand and Motto that resonates well with the public;
- c) Positioned the Commission and the Country at large regionally and internationally through hosting the AOMA Secretariat and two regional colloquia of African Ombudsmen; and
- d) Forged local and international partnerships for sharing of experiences, mobilization of resources and cooperation in complaints resolution and access to information. Notably, the Commission spearheaded the formation of the Forum for Chairpersons of Constitutional Commissions and Independent Offices, Open Government Partnership (OGP), actively participated in the International Conference of Information Commissions as a member and the National Council for the Administration of Justice.

## **1.4 Challenges Faced**

The Commission faced several challenges that hindered full achievement of targets during implementation of the (2013-2016) Strategic Plan. The challenges faced as well as the corresponding suggested remedial measures during the 2019-2023 Strategic Plan period are as enumerated below:

| Challenges Faced   | Recommendations with a view to overcoming the challenges   |
|--|--|
| Unresponsiveness by public officers which prolonged the turnaround time for resolution of complaints | <ul style="list-style-type: none"> <li>a) Strict enforcement of the law;</li> <li>b) Amendment of the law to provide for administrative sanctions/enforcement mechanism for unresponsiveness;</li> <li>c) Enhance corporate approach to engagements through appointment of a liaison officer at a senior level; and</li> <li>d) Follow up mechanisms in the complaints handling process.</li> </ul>                          |
| Lack of a policy on partnerships, including follow-ups on existing partnerships.                     | <ul style="list-style-type: none"> <li>a) Develop a policy on partnerships;</li> <li>b) Ensure follow-ups on existing partnerships</li> </ul>  |
| Inadequate decentralisation of services.   | <ul style="list-style-type: none"> <li>a) Decentralize ombudsman services to other regions.</li> </ul>   |
| Inadequate enforcement mechanisms of CAJ recommendations.  | <ul style="list-style-type: none"> <li>a) Pursue legislative review to facilitate enforcement mechanisms of CAJ recommendations.</li> </ul>  |
| Weak complaints handling mechanism within MDAs.  | <ul style="list-style-type: none"> <li>a) Sensitise MDAs on complaints handling;</li> <li>b) Enhance complaints handling infrastructure; and</li> <li>c) Digitise complaints handling processes.</li> </ul>  |
| Lack of cooperation by public entities.  | <ul style="list-style-type: none"> <li>a) Sensitise public entities and officers on effective public administration and best practices.</li> <li>b) Develop a strategy for improving cooperation with public entities</li> </ul>   |
| Delay in resolution of complaints.   | <ul style="list-style-type: none"> <li>a) Develop a Complaints Management Information System;</li> <li>b) Enhance staff capacity;</li> <li>c) Enhance follow-up mechanisms;</li> <li>d) Enhance succession management of files;</li> <li>e) Strengthen internal processes to ensure they are responsive to facilitate timely resolution of complaints; and</li> <li>f) Re-engineer complaints handling processes.</li> </ul> |
| Lack of a monitoring and evaluation system.  | <ul style="list-style-type: none"> <li>a) Develop and implement an elaborate M&amp;E structure/framework to facilitate effective monitoring of operations.</li> </ul>  |
| Inadequate funding.  | <p>Develop and implement an elaborate Resource Mobilization strategy that entails but not limited to the following:</p> <ul style="list-style-type: none"> <li>a) Lobbying for enhanced financial allocation by the exchequer;</li> <li>b) Partnering with stakeholders for funding; and</li> <li>c) Deploying participatory budgeting approach.</li> </ul>  |



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| Low levels of staff motivation.   | <ul style="list-style-type: none"> <li>a) Develop and implement performance-based reward management framework; and</li> <li>b) Improve the work environment through provision of adequate facilities to enable staff realise their full potential.</li> </ul>  |
| Inadequate institutional capacity and lack of fit of the organisation structure.  | <ul style="list-style-type: none"> <li>a) Undertake a comprehensive Job Evaluation exercise to facilitate review of the Commission's organisational structure to align it to the institutional mandate and the strategic direction;</li> <li>b) Undertake a skills audit and effectively align the skills based on a detailed functional analysis;</li> <li>c) Mobilise adequate funding to recruit more staff and develop capacity of existing staff; and</li> <li>d) Introduce flexible staffing and recruitment practices aimed at increasing productivity and innovation.</li> </ul> |
| Inadequate efficiency and productivity levels.  | <ul style="list-style-type: none"> <li>a) Strengthen the performance management framework through effective target-setting; clear performance measures; and elaborate performance monitoring, evaluation, and reporting; and</li> <li>b) Re-define work relationships to ensure greater accountability through the introduction of clear lines of responsibility.</li> </ul>   |
| Inadequate utilisation of information systems to promote information sharing and efficient monitoring, evaluation and reporting on programmes and activities. | <ul style="list-style-type: none"> <li>a) Enhance automation of business processes within the Commission;</li> <li>b) Deploy ICT in HR operations, records management, and complaints management among other key processes;</li> <li>c) Implement user-friendly ICT systems;</li> <li>d) Develop offsite data storage;</li> <li>e) Strengthen the ICT infrastructure; and</li> <li>f) Undertake staff' ICT capacity-building.</li> </ul>   |
| Ineffective organisational culture to ensure sufficient and efficient service delivery/Inability to deliver services that meet the needs of the people.       | <ul style="list-style-type: none"> <li>a) Undertake culture audit and introduce the necessary changes to develop and institutionalise an appropriate organisation culture.</li> </ul>  |
| Inadequate staff capacity in technical areas.   | <ul style="list-style-type: none"> <li>a) Undertake staff audit;</li> <li>b) Enhance staff capacity through recruitment and effective placement of technical staff;</li> <li>c) Undertake training needs assessment and subsequently facilitate staff training and development;</li> <li>d) Undertake mentoring and coaching programmes; and</li> <li>e) Enhance internship programmes.</li> </ul>   |



|  |  |
|--|--|
| Less accommodating work environment and inadequate office space.   | <ul style="list-style-type: none"> <li>a) Procure additional office space and establish adequate facilities e.g. lactation rooms; and</li> <li>b) Develop and implement wellness policy to enhance wellness programmes e.g. counselling/debriefing sessions and health talks etc.</li> </ul>   |
| Lack of vehicles and working equipment.                            | <ul style="list-style-type: none"> <li>a) Enhance budget allocation on relevant vote lines;</li> <li>b) Procure more vehicles to facilitate work programmes;</li> <li>c) Provide for adequate working tools and equipment; and</li> <li>d) Develop and enforce an asset disposal policy.</li> </ul>  |
| Lack of an enterprise risk management framework.                   | <ul style="list-style-type: none"> <li>a) Recruit risk officers;</li> <li>b) Establish offsite back-up and storage of information;</li> <li>c) Acquire an Operating Management Information systems (ERP);</li> <li>d) Install CCTV;</li> <li>e) Provide adequate office security; and</li> <li>f) Sensitise staff on risk management.</li> </ul> |
| Low awareness levels of the Commission, its mandate and functions. | <ul style="list-style-type: none"> <li>a) Develop and implement a communication strategy; and</li> <li>b) Undertake a robust public awareness programme.</li> </ul>  |

## 1.5 Key Result Areas

The Commission will focus on the following thematic areas in the implementation of this Strategic Plan:

- a) Resolution of Public Complaints;
- b) Oversight and Enforcement of Access to Information;
- c) Public Education, Awareness and Visibility; and
- d) Institutional Strengthening and Capacity Building.

Details of the Strategies to be deployed in each of the above thematic areas are outlined in the Strategic Model presented in Chapter Four.

## 1.6 Rationale for Developing the Strategic Plan

The Commission has been implementing its (2013-2016) Strategic Plan whose period came to an end. During this period, several changes have taken place in the Commission's operational environment. The Commission has realised numerous milestones but also faced many challenges in its operations. At the same time, several issues have emerged in the operational environment and lessons learnt during the implementation process.

It has, therefore, become necessary to review the Commission's experience during the period of the preceding Strategic Plan and utilise the same to inform

development of a new (2019-2023) Strategic Plan to provide a road map that can guide the Commission in its operations over the next five years.

This Strategic Plan will therefore enable the Commission to position itself strategically in its operational environment by maximising the anticipation of environmental changes and unexpected internal and competitive demands to facilitate full exploitation of its potentials and address the shortcomings while in the pursuit of its mandate.

The Strategic Plan also depicts the Commission's response to the International, Regional, and National Macro-level Development Agenda as espoused in the United Nation's Sustainable Development Goals (SDGs); Africa Union's Agenda 2063; East Africa Community's Vision 2050; the Constitution of Kenya 2010; Kenya Vision 2030; the Medium- Term Plan III(2018-2022); Kenya's Big Four(4) National Development Agenda; among others.

## CHAPTER TWO

### 2.0 ALIGNMENT TO RELEVANT LEGAL AND POLICY DOCUMENTS

This Chapter aligns the Commission's programmes and operations to the international, regional and national policy frameworks and development agenda as espoused in the Constitution of Kenya, Kenya Vision 2030, the EAC Vision 2050, African Union's Agenda 2063 and the United Nation's Sustainable Development Goals (SDGs) as well as the best practices on ombudsmanship from other jurisdictions.

#### 2.1 Introduction

The Commission will this year mark eight years since its establishment in 2011. This will be against a background of nine years of the implementation of the Constitution. As Kenya looks forward to marking ten years since the promulgation of the Constitution in August 2010, it will be time to evaluate the value that the supreme law has brought to the country in advancing the collective aspirations for a more open, free, just, democratic and progressive society. For the Commission, it will be a grand opportunity to take stock of its contribution to the national aspirations, and assess how the Ombudsman can enhance its contribution in the coming years.

#### 2.2 CAJ in the context of select applicable legal instruments

##### 2.2.1 *The Constitution of Kenya, 2010*

This is the supreme law that undergirds all aspects of governance and public administration and also sets out Kenya's collective aspirations. Article 1 of the Constitution declares that "all sovereign power belongs to the people of Kenya, and shall be exercised only in accordance with this Constitution." This is an emphatic assertion by the Constitution that the constituent powers of the state repose in the people. Therefore, all state organs exercising governmental power do so as trustees of the people, and must therefore deliver the highest standards of service. Enacted against a background of maladministration, deep-rooted corruption and severe economic decline resulting to loss of public confidence in government, the Constitution prescribed bold steps to revamp public service to make it more efficient and responsive to the needs of the people, involve citizens as key stakeholders in governance, and provide for elaborate accountability mechanisms. It did this by prescribing a catalogue of national values and principles under Article 10, setting a criterion for appointments to public service and enumerating its operational principles, and providing a system of devolved government in order to decentralize service delivery. Importantly, the Constitution has an expanded and robust Bill of Rights under Chapter Four that requires all organs of the State to promote and adhere to.

In relation to CAJ, the Bill of Rights protects the right to fair administrative action under Article 47 and the right to access to information under Article 35. Article 47 protects the right to fair administrative action which entitles citizens to administrative action that is “expeditious, efficient, lawful, reasonable and procedurally fair” while the right of access to information entitles citizens to access information held by the state. In addition, Article 232 of the Constitution entrenches the values of public service, requiring a public service that is efficient, responsible, accountable and responsive to the needs of the people. The upshot of these provisions is that all public service agencies at both national and county governments have a duty to offer the highest standards of service to the public. This is an obligation that lies on the shoulders of CAJ. Crucially, it cuts out the responsibility of CAJ to ensure that public service broadly, offers the highest standards of services as demanded by the supreme law. To effectively align to the Constitution, CAJ will (i) integrate Human Rights Based Approach (HRBA) to governance in public service and the CAJ itself; (ii) inculcate open governance approach in public service; and (iii) integrate fair administrative action in government agencies.

### **2.2.2 Commission on Administrative Justice Act, 2011 and CAJ Regulations, 2013**

This is the principal law that establishes the Commission and gives effect to Article 59(4) of the Constitution. This law is important because it sets out the functions, powers, mandate and the guiding principles of the Commission. Section 7 of the Act requires the Commission to be guided by the values and principles set out under the Constitution, and to observe and respect (a) the diversity of the people of Kenya, (b) impartiality and gender equity, (c) treaties and conventions to which Kenya is party, (d) the principle that all human rights are indivisible, interdependent, interrelated and of equal importance, and (e) the rules of natural justice. These principles are an extension of the values and principles set out in the Constitution.

In addition, the *Commission on Administrative Justice Regulations, 2013* will be instrumental in the attainment of the mission of the Commission. The Regulations prescribe the legal framework within which the complaints handling activities and processes of the Commission takes place.

The Commission will, therefore, creatively devise strategies for fulfilling its statutory mandate as set out under the Act, by (i) integrating Human Rights Based Approach (HRBA) to governance in public service; (ii) Fostering the application of alternative dispute resolution mechanisms in the resolution of public complaints; (iii) fostering collaboration, complementarity and reduction in overlaps of mandates with other organisations such as the KNCHR; (iv) increasing public sensitisation and awareness of CAJ; (v) expanding access to its services; (vi) lobbying Parliament for legislative changes to enhance its powers in the implementation of recommendations; and (vii) designing innovative fund raising strategies to increase funding to meet its objectives.

### **2.2.3 Access to Information Act, 2016**

The Access to Information Act, 2016 gives effect to the right of access to information guaranteed under Article 35 of the Constitution. The law entitles citizens to obtain information from public and private bodies subject to the exceptions set out under section 6. This law broadens the mandate of CAJ and gives it a supervisory role as far as compliance and realisation of the right of access to information is concerned.

The Commission will during the period of this Strategic Plan (i) enforce the provisions of the Act; (ii) implement the ATI Act in collaboration with other relevant stakeholders; (iii) finalise the ATI Regulations and implement the same; (iv) devolve the ATI implementation to the county governments; and (v) create awareness to popularise the rights of ATI.

### **2.2.4 Fair Administrative Action Act, 2015**

This Act gives effect to the right to fair administrative action in Article 47 of the Constitution. It is a framework that defines the meaning and import of administrative action, besides enumerating administrative remedies. For CAJ, this law is crucial as a working document to the extent that it reserves the powers of the Commission and outlines the contents of fair administrative action. Importantly, it gives the role of CAJ in the enactment of regulations under it. To effectively align to the Act, the Commission will (i) inculcate fair administrative practices in the public service through provision of policy guidelines and model procedures; (ii) pursue avenues of collaborating with relevant agencies to create models for effective and fair administrative action and practices; and (iii) devise and popularise alternative dispute resolutions mechanisms in the redress of administrative disputes.

### **2.2.5 Public Service (Values and Principles) Act, 2015**

This Act gives effect to the provisions of Article 232 of the Constitution on the principles of public service. It prescribes a code of conduct for public officers and sets out the ethical or professional standards that they must meet. The overall objective is to ensure high standards of professionalism in the civil service at both county and national governments. Adherence to the principles set out in this Act has an effect of improving the delivery of quality public service, thereby increasing client satisfaction. During the Strategic Plan period, the Commission will devise strategies for encouraging public servants to adhere to the Act as a way of improving public service delivery.

### **2.2.6 Leadership and Integrity Act, 2012 and the Public Officer Ethics Act, 2003**

This Leadership and Integrity Act was enacted in 2012 to give effect to the provisions of Chapter Six of the Constitution by ensuring that state and public officers observe the highest ethical and moral standards in the course of duty and serve with honour. This Act complements the Public Officer Ethics Act which prescribes a code of

conduct for public officers and seeks to infuse ethics in public service. Since public officers are providers of public services and are invariably the respondents in complaints relating to maladministration, this law is relevant in the broad mandate of CAJ. This is because the Act sets the yardstick against which the conduct of public officers is to be judged

The Commission will, therefore, aim to inculcate ethics among public officers to reduce maladministration and corruption.

### **2.2.7 Public Finance Management Act, 2012 and Public Audit Act, 2015**

Public Finance Management Act, 2012 provides elaborate rules on the management of public finances of all public entities, including county governments. It provides the legal framework within which public finance management provisions under chapter 12 of the Constitution may be implemented. On its part, the Public Audit Act provides the legal framework for public audit process.

The overall objective of these two Acts is to ensure probity in the use of public resources allocated to public entities. Sections 73(5) and 155(5) of the Public Finance Management Act, 2012 as well as the Public Finance Management (County Government) Regulations, 2015 requires public entities to establish audit committees as part of their internal audit mechanisms.

As of necessity, the establishment and proper functioning of internal audit functions of public entities and in particular the establishment of audit committees is an important aspect of proper public administration under the law. And for CAJ, the establishment of audit committees is a crucial legal requirement of accountability and compliance with the law.

### **2.2.8 Public Procurement and Asset Disposal Act, 2015**

This law gives effect to Article 227 of the Constitution which requires that the procurement of services by public entities must be transparent, efficient, and cost effective, thus giving value for money. It sets down the rules and guidelines that state agencies must adhere to in public procurement and asset disposal. It also establishes various institutions that ensure efficient public procurement.

In Kenya, maladministration and corruption often manifest in procurement processes. Thus, improvement in compliance with the law means better public administration and improved probity in use of public resources.

The Commission will, therefore, intervene where there is departure from the law and principles of good administration or where the administration of procurement and disposal processes are open to inefficiencies, rent-seeking and corruption. The Commission will also ensure transparency and adherence to Executive Order No. 2 of 2018 on disclosure of procurement information and encourage state agencies

and those tasked with procurement processes to develop and enforce effective complaint handling mechanisms.

### **2.2.9 County Governments Act, 2012**

This Act gives effect to the provisions of Devolution under Chapter 11 of the Constitution. It sets out the functions, powers and processes of County governments. Notably, the law makes elaborate provisions on citizen participation, public communication and access to information that county governments must respect, uphold and promote. Essentially, these are elements of fair administrative action and access to information at play in county governments.

This Act is relevant to CAJ since county governments are providers of public services and are bound by the Constitution and other relevant laws in the same way as the national government. In light of this, there is likelihood that complaints of maladministration and refusal to provide information may arise. To effectively align to this Act, the Commission will; (i) inculcate fair administrative action practices in county government systems and services; and (ii) assist the counties in developing effective complaints handling mechanisms and access to information infrastructure.

### **2.2.10 Public Archives and Documentation Service Act, Cap 19, and Records Disposal Act, Cap 14**

The Public Archives and Documentation Service Act and the Records Disposal Act require that CAJ be consulted before destruction or disposal of public records. This is because records provide a record of acts of public authorities and officers and may be relevant in redressing complaints as well as improving future public administration.

The Commission will during the period of this Strategic Plan proactively work with the Kenya National Archives and Documentation Service and the Chief Justice to develop rules of disposal of public records.

## **2.3 CAJ in the context of relevant National Policy Blueprints**

Kenya in its socio-economic and political path is guided by a raft of policy documents. Chief among them is the Vision 2030 and the 'Big Four' Agenda, among others.

### **2.3.1 Kenya Vision 2030**

This is a long-term development plan to transform Kenya into "a newly-industrialising, middle income country providing a high quality of life to all its citizens in a clean and secure environment" by the year 2030. Launched in 2008, the Vision 2030 is the key blueprint that guides the government's development agenda. As such, state organs must align their missions in a way that contribute to the overall national goals



as espoused in the Kenya Vision 2030. This blueprint has three pillars, namely, economic, social, and political governance.

Of relevance to CAJ's mandate is the political pillar which aims to realise an "issue-based, people-centred, result oriented and accountable democratic system. A democratic system goes beyond the electoral sphere to include a public service and administration that is people-centred and involves the people in governance, consistent with the principles of democracy. This is the essence of open government and efficient and responsive public administration that lies at the centre of CAJ's desire to infuse responsiveness and servant-hood in public offices. To align to the Vision, the Commission will instil democratic practices in public service such as accountability, public participation, transparency, efficiency and responsiveness.

### **2.3.2 'Big Four' National Development Agenda**

Embedded in the long-term development agenda as espoused in Kenya Vision 2030 is the 'Big Four' National Development Agenda. The Agenda encompasses manufacturing, food security, universal healthcare and affordable housing. Specific targets have been set in the Big Four thematic areas, including increasing manufacturing sector share of GDP to 20 percent; achieving 100 percent food and nutrition security; achieving 100 percent universal healthcare by scaling up National Hospital Insurance Fund uptake; and delivery of 500,000 affordable housing units by 2022.

These areas of focus will invariably bring into play administrative processes that implicate the mandate of CAJ. As a roadmap, it is necessary to explore ways through which CAJ can align and effectively contribute to the Agenda in the course of exercising its mandate. To effectively align to the "Big Four", the Commission will give special attention to improving efficiency in public services that are directly connected or support the Big Four Pillars.

### **2.3.3 Report of the Task Force on the Review of the Legal, Policy and Institutional Framework for Fighting Corruption in Kenya, 2015**

During the State of the Nation Address to Parliament in March 2015, President Uhuru Kenyatta directed the establishment of a taskforce to review the legal, policy and institutional framework for fighting corruption. The taskforce was subsequently established by the Attorney General through Gazette Notice No. 2118 of March 2015. It subsequently examined the legal, policy and institutional framework for fighting corruption and made recommendations on the appropriate interventions to enhance the fight against corruption.

The Task Force delivered its Report in September 2015, recommending integral interventions. Of particular importance is the recommendation that CAJ should undertake specific initiatives to boost its capacity to contribute towards enhanced public administration and reduced corruption in the public service.

The Task Force made observations that CAJ (i) lacked sufficient legal and institutional framework to adjudicate administrative disputes; (ii) did not have



compelling powers to give orders in matters of dispute resolution; (iii) suffered from inadequate financial and human capital to carry out its mandate effectively; (iv) had limited presence in the counties; and had low public awareness about its mandate.

To address the above issues, the Commission will (i) assist government ministries, departments and agencies to institute mechanisms to deal with complaints from the public in a timely and effective manner; (ii) decentralise its services to the counties; and (iii) encourage creation of mechanisms for integrated public complaints and referral mechanism at both national and county level.

Deliberate efforts will also be made to: (i) create awareness about the CAJ mandate and functions; and (ii) champion amendment of the CAJ Act to provide for mechanisms for the enforcement of the Commission's decisions and recommendations.

#### **2.3.4 Executive Order No. 2 of 2018**

In July 2018, President Uhuru Kenyatta issued the Executive Order No. 2 of 2018 directing all state agencies to publish details of contracts awarded by them in various channels such as their websites, public notice boards, e-citizen portal, and Public Procurement Regulatory Authority channels among others. The Order requires a state agency to make the publication within 15 days of awarding a tender. The Order was intended to make procurement processes transparent and thereby encourage probity and prudence in public procurement as required by article 227 of the Constitution and the dictates of Public Procurement and Asset Disposal Act, 2015. This move is consistent with the principles of open government and the spirit of Article 35 and the Access to Information Act.

This proactive public disclosure is relevant in the context of CAJ's mandate in two ways: First, it bears on access to information held by state agencies, which is a core mandate of the Commission, and second, such disclosure has the potential effect of improving transparency and efficiency of public procurement, which is a central administrative process in many public institutions.

## **2.4 CAJ in the Context of Relevant Regional and International Policy Blueprints**

Kenya is a member of the international community. In this regard, it is party to numerous international legal instruments and a member of many international organisations. These include the United Nations, the African Union, the East African Community (EAC), Intergovernmental Authority on Development (IGAD), Common Market for Eastern and Central Africa (COMESA), New Partnership for African Development (NEPAD), and most recently the African Continental Free Trade Area (AfCFTA).

As a member of these organisations, Kenya has made certain pledges and undertakings. Of importance here is the UN Sustainable Development Goals (SDGs), the Africa Union's Agenda 2063 and the EAC Vision 2050.

The country is also party to key international human rights and governance instruments such as the Universal Declaration of Human Rights, the Covenant on Civil and Political Rights, the Covenant on Economic Social and Cultural Rights, the African Charter on Human and Peoples' Rights and its protocols and the African Charter on Democracy, Elections and Governance among others. Of particular importance to CAJ is the United Nations Convention against Corruption. This treaty requires States party to the treaty to devise mechanisms to deal with corruption and to enhance public administration and reduce maladministration.

By virtue of Article 2(6) of the Constitution, these are sources of law in Kenya. As such Kenya has an obligation to respect, uphold and promote them domestically. It is worth noting that a number of the provisions of these instruments are already part of domestic law to the extent that Kenya has taken steps to domesticate them. The role of the Ombudsman entails the protection of rights, promotion of good governance and administrative justice, which resonates with the spirit of these regional and international instruments.

#### **2.4.1 Sustainable Development Goals**

Adopted in the UN General Assembly in September 2015, the sustainable development goals will guide the UN and most of UN members' development agenda in the next one and a half decades. The SDGs enumerate 17 goals that the Nations of the world committed to working towards during the implementation period. They include eradication of poverty and hunger and ensuring good health and well-being; quality education; clean water and sanitation; affordable clean energy; decent work and economic growth; industry, innovation and infrastructure, and reduced inequality; sustainable cities and communities; responsible consumption and production; peace, justice and strong institutions and partnerships for the goals.

The last two goals are of fundamental relevance. Peace, justice and strong institutions is a by-product of efforts to improve public administration, and foster administrative and social justice. This is an area that is of relevance to CAJ as an institution that focuses on governance and justice issues. In addition, CAJ has an opportunity to help foster domestic, regional and international relationships geared towards strengthening public institutions and improving governance.

#### **2.4.2 Open Government Partnership (OGP)**

This is an initiative that brings together government institutions tasked with the responsibility of oversight, enforcement and reforms and civil society organisations to create action plans that make governments more inclusive, responsive and accountable. The initiative is overseen by a steering committee comprising of representatives of government institutions and civil society. Members endorse a high-level open government declaration, deliver a country action plan and commit to

promote transparency and accountability. CAJ, being the institution mandated by statute to provide oversight on Access to Information, has membership both at the steering and technical committee level of the OGP-Kenya and commits to continue participating in the partnership.

#### **2.4.3 Africa Union Agenda 2063**

Agenda 2063 represents Africa's most recent and comprehensive action plan for economic renaissance. Through it, African states have articulated their collective ambition for social, political and economic transformation of the continent with specific envisaged results by the year 2063. At the centre of Agenda 2063 is a vision for an economically prosperous Africa through inclusive growth and sustainable development. The key goal of the plan is to create an economically prosperous and inclusive continent based on sustainable development. In addition, it aims to achieve political unity and global competitiveness. Among the drivers of these objectives is peace, security, good governance, democracy, and respect for human rights, justice and the rule of law.

These drivers are of particular significance as they resonate with the overall mandate and vision of CAJ in the Kenyan context. Thus, success of the CAJ in enhancing good governance in administrative processes will be a direct contribution to AU's Agenda 2063 strategic objectives. Consequently, the Commission has integrated a strategy to ensure enhancement of good governance in government administrative processes.

#### **2.4.4 East Africa Community Vision 2050**

The East Africa Community's Vision 2050 seeks to transform EAC into a prosperous high middle income region that is globally competitive, affording quality life to its citizens by 2050. The constitutive and operational principles of good governance, democracy, human rights and social justice are of particular relevance to CAJ as they resonate well with its mandate, and present an opportunity for CAJ to contribute to EAC's development agenda.

#### **2.4.5 East Africa Community Protocol on Good Governance**

As a party to the EAC Treaty and its protocols, Kenya is bound to abide by the principles set out in the relevant legal and policy documents of the regional bloc. Article 3(b) and 6(d) of the EAC Treaty sets out good governance as a fundamental and operational principle for the Community. More specifically, the Protocol on Good Governance further develops the obligations on good governance by providing for the implementation of the necessary steps to ground good governance in the member states.

The Protocol has seven core pillars that create a framework for good governance. These are constitutionalism, rule of law, access to justice, human rights, promotion of equal opportunities, democracy and democratization process, combating corruption and enhancing ethics and integrity, separation of powers, economic governance, and private sector development and corporate governance.

## 2.5 CAJ in the context of community of state organs with related mandates

Contemplated under Article 59(4) of the Constitution and established under the Commission on Administrative Justice Act, CAJ is, indeed a constitutional Commission under Chapter 15 of the Constitution. Chapter 15 institutions are a unique family of institutions that enjoy special independence under the Constitution. The collective role of these institutions is to safeguard the sovereignty of the people, ensure the observance of democratic values and principles by state organs, and promote constitutionalism. These organs include the Kenya National Commission on Human Rights, National Gender and Equality Commission, National Land Commission, and Judicial Service Commission among others.

Notably, pursuant to Article 59(4) of the Constitution, Parliament created the Kenya National Commission on Human Rights (KNCHR), National Gender and Equality Commission (NGEC), and the Commission on Administrative Justice. The Commission on Administrative Justice Act recognizes the potential overlap of mandates, and this is further validated by the fact that the three commissions derive their mandate from Article 59, hence need for role distinction and complementarity.

Independent Policing Oversight Authority (IPOA) is a statutory organ established to provide civilian oversight of the police to prevent and punish abuse of police powers. In particular, IPOA is empowered to receive complaints from the public and to investigate police malpractices on request or on its own motion. As such, these organisations with related mandates are important stakeholders with whom useful lessons may be shared. Thus, from a legal and operational standpoint, CAJ has developed and taken into context a clear understanding of their constitutive legal framework to determine priority areas of focus.

## 2.6 Benchmarking with Global-Best Practices

The Commission has undertaken an extensive comparative analysis of the legal framework and operations of other Ombudsman institutions in other jurisdictions to provide a framework for benchmarking. The table below summarizes the specific lessons that have been learnt from the offices of the Ombudsman from selected countries which have informed development of the CAJ Strategic Plan.

| S.No | Ombudsman/Country                                | Lessons learnt  |
|------|--|---|
| 1.   | South Africa<br>(Office of the Public Protector) | How the Ombudsman services can be widened in a diverse multilingual context such as Kenya;<br>The use of case management technology to enhance efficiency and access of services;<br>Effective case referral system for referring complaints to other relevant authorities; |

| S.No | Ombudsman/Country  | Lessons learnt  |
|------|--|---|
|      |  | Strategies for increasing impact and relevance in public affairs;<br>Strategies for handling large volume of complaints per year;<br>Strategies on how best to implement ATI obligations.   |
| 2.   | United Kingdom<br>(The Parliamentary and Health Service Ombudsman) | How technology can be harnessed to resolve complaints, track processes, and manage clients' expectations;<br>How received client data can be protected from unauthorized access.  |
| 3.   | Rwanda<br>(the Ombudsman of Rwanda)                                | Decentralization of services to grassroots to expand access to services of the Ombudsman;<br>Use of modern technologies to effectively discharge mandate while adhering to principles of transparency and confidentiality;<br>Strategies for improving procedural justice of government services;<br>Strategies on how best to implement ATI obligations.   |
| 4.   | The Ombudsman of the Philippines<br>(The Ombudsman )               | Strategies for prioritizing high-impact cases for improvement of public services;<br>Strategies for high quality investigations;<br>Strategies for effective collaborations with other state agencies and civil society organisations;<br>Strategies to win public confidence.  |
| 5.   | Europe<br>(European Ombudsman)                                     | Strategies for effectively serving big population spread over wide geographical area with diverse languages and culture;<br>Use of information technology to widen access to services and effective delivery;<br>Strategies for prioritizing complaints on objective criteria in light of limited resources;<br>Strategies for increasing visibility and positive public perception of the institution and creating awareness on right to access information. |

## 2.7 Alignment to other relevant legal instruments/documents

Over and above benchmarking with the global best-case ombudsman institutions as enumerated above, CAJ has deemed it imperative to review existing literature on best practices and recommendations made by relevant stakeholders as highlighted below:

**Table 2.7.1 Alignment to relevant legal instruments**

| S. No | Relevant Document/Standards   | Alignment Action in the CAJ 2019-2023 Strategic Plan   |
|-------|---|--|
| 1.    | International Ombudsman Institute By-laws, 2012   | Adjust processes to enhance independence of CAJ and integrate principles of objectivity, fairness, neutrality, impartiality, confidentiality and informality in dealings.  |
| 2.    | International Ombudsman Association (IOA) Standards of Practice, IOA Best Practices (Supplement to IOA Standards of Practice)                                     | (The underlying objective is to enhance respect for human rights and freedoms, the rule of law, democracy, administrative justice and procedural fairness in public institutions, improve public services, open and accountable government, and access to justice.)  |
| 3.    | Transparency International Best Practices for Ombudsmen, 2013   |  |
| 4.    | OECD Recommendations on Open Government, 2017, and the OECD's 'The Role of Ombudsman Institutions in Open Government (Working Paper No. 29 on Public Governance). | Open government is a government approach that espouses the principles of transparency, democracy, accountability, and citizen participation. These principles are also entrenched by Article 10 of the Constitution. Thus, CAJ through its objectives, strategies and activities has embraced and will seek to inculcate the same in public service. |

## **CHAPTER THREE**

### **3.0 SITUATIONAL ANALYSIS**

The operational environment of the Commission is determined by internal and external dynamics which have an impact on current and future programmes. An assessment of this environment is therefore critical in first understanding the Commission's strategic positioning and secondly in charting its immediate and medium-term strategies for improved institutional performance.

#### **3.1 Gaps in Implementation**

Several programmes and activities planned for implementation during the Commission's 2013-2016 Strategic Plan period were not fully realized due to various reasons. Analysis of these gaps, the reasons behind the non-achievement and proposed strategies for addressing them are presented in Table 3.1.

**Table 3.1: Gap Analysis**

| S/No. | What was planned but not achieved   | Reason for the failure/gap   | Suggestions on the way forward to eliminate performance gaps in future   |
|-------|---|--|--|
| 1.    | Establishment of a citation register for unresponsive and malfeasant public institutions and officers.                | a) Lack of operationalization of the register to provide for threshold and framework.  | a) Develop a policy on the register by the Commission.   |
| 2.    | Development of a model policy on complaints resolution and access to information for adoption by public institutions. | a) Lack of resource allocation.<br>b) Lack of a policy preceding the constituting law.   | a) Priorities the activity during the current Strategic Planning period.   |
| 3.    | Monitoring compliance with implementation of the Commission's determinations and recommendations.                     | a) Monitoring was not fully achieved due to internal co-ordination challenges.   | a) Improve on internal co-ordination and efficiency.<br>b) Develop policy/ format/ guidelines.<br>c) Recruit additional staff.<br>d) Involve regional staff / offices. |
| 4.    | Monitoring Kenya's compliance with its international obligations on access to information and data protection.        | a) Lack of a framework for monitoring compliance.  | a) Develop clear frameworks and strategies for monitoring compliance.  |
| 5.    | Automation of the Commission's operations.  | a) Resource constraints.   | a) Allocate resources for automation of the Commission's operations.   |
| 6.    | Development and implementation of a risk management system.   | a) Inadequate funds.   | a) Lobby for enhanced resource allocation for the risk function.<br>b) Merge the risk function with internal audit function.   |
| 7.    | Development and implementation of an M&E framework.   | a) Overreliance on the SP M&E implementation matrix.<br>b) Low awareness among staff across directorates on importance of M&E. | a) Recruit additional M&E staff.<br>b) Sensitize staff across all directorates on the importance of M&E  |



| S/No. | What was planned but not achieved  | Reason for the failure/gap   | Suggestions on the way forward to eliminate performance gaps in future   |
|-------|--|--|--|
| 8.    | Train and develop staff competencies.  | a) Limited resources to implement the training plan.                                       | <ul style="list-style-type: none"> <li>a) Implement the human resource policy on staff training.</li> <li>b) Enhance partnerships on capacity building.</li> <li>c) Conduct in-house trainings and team building activities.</li> <li>d) Target to train staff on technical skills.</li> <li>e) Undertake joint staff training on core skills e.g. customer care training.</li> <li>f) Carry out joint skills training with other institutions.</li> </ul> |
| 9.    | Establishment of county offices across the 47 counties   | a) Inadequate staffing capacity and lack of resources.                                     | <ul style="list-style-type: none"> <li>a) Lobby for increased budgetary allocation to enable establishment of 42 county offices not presently established.</li> <li>b) Enhance the capacity of the existing regional offices.</li> <li>c) Develop an internal policy on establishment of satellite offices, which should incorporate operations of Huduma Centres.</li> </ul>  |
| 10.   | Internal Audit objectives were not embedded in the strategic plan, hence work undertaken by the Internal Audit function, despite being planned for, and was not in alignment with any CAJ objective. | a) The strategic plan was formulated before the Internal Audit Department was established. | a) Involve Internal Audit Department in the strategy formulation process/development of the CAJ strategic objectives.  |
| 11.   | The Huduma Ombudsman Award which was designed to be an annual activity was only implemented three times.   | a) Budgetary constraints.  | a) Take its implementation to the Chair's office.  |

| S/No. | What was planned but not achieved         | Reason for the failure/gap   | Suggestions on the way forward to eliminate performance gaps in future |
|-------|---|--|--|
| 12.   | Conduct of public enquiries and hearings. | a) Resource constraints.<br>b) Lack of a framework for conducting public enquiries and hearings. | a) Develop a framework and allocate funds.                             |
| 13.   | Adequate external resource mobilization.  | a) Lack of a resource mobilization strategy  | a) Develop and implement a resource mobilization strategy.             |

## 3.2 SWOT Analysis

Analysis of the Commission's Strengths, Weaknesses, Opportunities and Threats (SWOT) is critical in understanding its immediate operational environment. The analysis has been carried out by assessing areas of excellence or good performance in the Commission which can provide a competitive advantage (Strengths), controllable internal disadvantages (Weaknesses), external possibilities for success (Opportunities) and uncontrollable external negatives (Threats). The SWOT Analysis is presented here below:

### 3.2.1 Strengths

- a) Enabling legal framework;
- b) Independence of the Commission;
- c) Teamwork;
- d) Skilled and diverse workforce; and
- e) Conducive work environment.

### 3.2.2 Weaknesses

| Weakness  | Recommended action to address the weakness   |
|---|--|
| Limited financial resources                       | <ul style="list-style-type: none"> <li>a) Lobby for more funding;</li> <li>b) Diversify funding sources; and</li> <li>c) Develop a resource mobilization strategy.</li> </ul>  |
| Insufficient legal and regulatory framework       | <ul style="list-style-type: none"> <li>a) Lobby for amendment of relevant laws to strengthen the Commission; and</li> <li>b) Review regulations and guidelines to complement the enabling laws.</li> </ul>   |
| Inadequate accessibility and low visibility       | <ul style="list-style-type: none"> <li>a) Re-brand the Commission;</li> <li>b) Enhance public education and advocacy;</li> <li>c) Decentralize to the counties and establish additional Huduma desks; and</li> <li>d) Create networks and linkages at local levels.</li> </ul> |
| Low adoption of ICT                               | <ul style="list-style-type: none"> <li>a) Automate all business processes; and</li> <li>b) Review and strengthen the ICT infrastructure.</li> </ul>  |
| Inadequate staffing capacity                      | <ul style="list-style-type: none"> <li>a) Recruit additional staff; and</li> <li>b) Enhance staff capacity through training.</li> </ul>  |
| Lack of a framework on partnerships               | <ul style="list-style-type: none"> <li>a) Develop a policy on partnerships.</li> </ul>   |
| Inadequate monitoring and evaluation framework    | <ul style="list-style-type: none"> <li>a) Strengthen the monitoring and evaluation framework.</li> </ul>   |
| Low adoption of the performance management system | <ul style="list-style-type: none"> <li>a) Strengthen the performance management system and embrace Performance Contracting</li> </ul>  |

| Weakness  | Recommended action to address the weakness  |
|---|---|
|   | framework.  |
| High turn-around time in complaints handling process      | a) Re-evaluate the complaints handling processes to make them timely, responsive, efficient and effective.  |
| Inadequate facilities for people living with disabilities | a) Procure facilities which are PWD-friendly.   |
| Limited equipment and physical infrastructure             | a) Procure additional working equipment, tools, and provide the necessary infrastructure.   |
| Poor organisational culture                               | a) Undertake a culture audit;<br>b) Develop and implement a change management strategy;<br>c) Enhance coaching and mentoring;<br>d) Enhance staff team-building programmes;<br>e) Institutionalize information sharing;<br>f) Enhance staff meetings;<br>g) Exercise confidentiality in handling office information; and<br>h) Promote team work. |

### 3.2.3 Opportunities

| Opportunity   | Necessary action to be taken to take advantage of the opportunity  |
|---|--|
| Technology  | a) Adopt modern technology to enhance efficiency; and<br>b) Strengthen ICT infrastructure and enhance the human resource ICT capacity.   |
| Devolution  | a) Partner with county governments and Huduma Secretariat for decentralization of the Commission's services; and<br>b) Establish and operationalize regional offices/ county.  |
| Public sector reforms                                 | a) Mainstream administrative justice and access to information in policy formulation and implementation;<br>b) Influence legislative reforms; and<br>c) Partner with relevant stakeholders in policy formulation and implementation. |
| Heightened national agenda on corruption and impunity | a) Develop partnerships and linkages with anti-corruption oversight bodies.  |
| Performance contracting                               | a) Mainstream administrative justice and access to information standards in performance contracting; and<br>b) Monitor conformity to the set standards.  |

| Opportunity   | Necessary action to be taken to take advantage of the opportunity  |
|---|--|
| National and international development agenda               | a) Align and anchor the Commission's programmes to the existing Policy framework at national and international levels and the Development Agenda; and<br>b) Influence the domestication of international development agenda. |
| Broad mandate   | a) Leverage on the new mandate and powers on access to information to deepen the Commission's oversight function.  |
| Vibrant media and civil society                             | a) Partner with the media and civil society in awareness creation and advocacy;  |
| Existence of Chapter 15 Commissions                         | a) Undertake joint activities in areas of mutual interest; and<br>b) Forge and nurture strategic partnerships and linkages.  |
| Support from Government, development partners and the media | a) Develop a robust partnership/engagement strategy.   |
| Support from the Executive                                  | a) Enhance lobbying for additional funding and empowering of the Commission through provision of an enabling environment for implementing the Commission policies and programmes.  |
| Strong local and international partnerships and networks    | a) Enhance stakeholder alliances and partnerships in the implementation of the Commission's programmes.<br>b) Enhance exchange programmes; and<br>c) Benchmark with best practices.  |
| Goodwill from stakeholders and the public                   | a) Cash-in on the existing goodwill to enhance the Commission's programmes and activities.   |

### 3.2.4 Threats

| Threat   | Proposed mitigation measure to ward-off the threat  |
|--|---|
| Non-appreciation of the mandate of the Commission                                  | a) Create awareness on the rationale for the Commission, its mandate and core functions; and<br>b) Enhance collaboration and engagement with relevant stakeholders. |
| Lack of cooperation from public institutions                                       | a) Sensitize public institutions on effective public administration.  |
| Lack of enforcement powers under the existing CAJ Act and ATI proactive disclosure | a) Lobby for strengthening of the Commission's legal framework for enforcement of its decisions   |
| Increase in court cases against the decisions of the Commission                    | a) Hold more education/best practice seminars/engagements with court officials.   |

The SWOT Analysis has been utilized in this Strategic Plan to determine strategies that will ensure the Commission effectively implements its programmes and achieves its Strategic Objectives. On its part, the Commission will seek to build on the Strengths outlined above and thus improve on its operations for better implementation of its programmes.

The Weaknesses on the other hand will be minimized or addressed to become areas of positive performance through deployment of the strategies enumerated in **3.2.2** above.

Opportunities will be exploited to enhance performance, build on internal positives and gain support from stakeholders. Opportunities often have a finite timeline and the Commission will thus strive to continuously scan the operational environment and take full advantage of them within the shortest time possible by taking the actions articulated in **3.2.3** above.

Threats are external and thus not directly managed by the Commission. However, appropriate mitigation measures as outlined in **3.2.4** above will be deployed to manage the effects of these threats if and when they arise.

### **3.3 PESTEL Analysis (External Environment)**

The Commission's external environment plays a big role in defining its operations. There are factors that exist in this external environment but which, in one way or the other, influence the activities and programs of the Commission. These can be grouped as Political, Economic, Social, Technological, Environmental and Legal (PESTEL) factors.

#### **3.3.1 Political Factors**

| <b>Prevailing Situation</b>  | <b>Proposed Strategic Action</b>   |
|--|--|
| There is political goodwill because of the previous experience of our commissioners and their networks. In light of the nature of the work the Ombudsman does, it has reduced the dependence of citizens on their political representatives. | a) Develop elaborate policies and procedures manual that guide the processes of the commission.                        |
| Political interference. In light of the point above, it also has a risk factor.  | a) Fully exercise the commission's functional independence.  |
| Perceived overlap of mandate leading to conflicts which may erode public confidence, partnerships and networking.  | a) Create awareness of the distinct mandates of the institutions and enhance collaboration between sister commissions. |
| The Building Bridges Initiative is an emerging issue in the political environment.   | a) Take advantage of the Building Bridges Initiative to mainstream the ombudsman function and                          |

|  |   |
|--|---|
|  | decentralize the functional mandate and operations to the counties. |
|--|---|

### 3.3.2 Economic Factors

| Prevailing Situation  | Proposed Strategic Action  |
|---|--|
| Competition for resources leading to reduced funding.                       | a) Lobby within and outside government for additional resources.   |
| Shifting donor priorities.  | a) Align the commission's support needs to emerging frontiers of donor priorities; and<br>b) Take a lead role in resource mobilization through development and implementation of an appropriate resource mobilization strategy.  |
| Stagnated remuneration leading to staff turn over                           | a) Undertake a comprehensive Job Evaluation exercise to update the job descriptions and specifications; score the jobs; review the grading structure; undertake salary and benefits survey; and review the salary and benefits structure to ensure internal equitability and external competitiveness. |
| Unexpected frequent budgetary cuts that affect implementation of activities | a) Pursue alternative sources of funding; &<br>b) Enhance strategic alliances and partnerships.  |

### 3.3.3 Social Factors

| Prevailing Situation  | Proposed Strategic Action   |
|---|---|
| Culture of paying participants transport reimbursement which creates challenges in implementation of outreach programmes. | a) Work in collaboration with other partners to discourage the retrogressive culture.                                 |
| Limited knowledge/ awareness of the Commission's services.  | a) Intensify sensitization on the Commission's mandate and core functions; and<br>b) Hold regular stakeholders' fora. |
| Unethical practices bordering on integrity issues.  | a) Strengthen the corporate governance framework.   |

### 3.3.4 Technological Factors

| Prevailing Situation  | Proposed Strategic Action  |
|---|--|
| Digitization requirement under the Access to Information Act likely to accelerate uptake of ICT in the public sector thereby ensuring efficiency. | Re-engineer the processes through technological uptake and innovation.                       |
| Rapid technological changes hence creating obsolescence of existing ICT infrastructure.   | Continuously scan the operational environment and embrace latest technological trends.       |
| Bureaucracy in procurement of ICT infrastructure.   | Streamline the procurement processes to enhance efficiency and effectiveness in procurement. |
| Emergent digital platforms provide new opportunities for accountability and interaction with stakeholders.  | Embrace and institutionalize the emergent digital platforms.                                 |
| Frequent IFMIS down time that affects operations.   | Provide for time allowances in planning to thwart negative effects of IFMIS down time.       |

### 3.3.5 Environmental Factors

| Prevailing Situation  | Proposed Strategic Action  |
|---|--|
| Vastness of the operating environment leading to limited accessibility. | Establish and operationalize offices and networks in all the counties to make services more accessible and also improve the turn-around time for closing complaints. |
| Insecurity within the offices.  | Provide adequate security at the headquarters and the regional offices.  |

### 3.3.6 Legal Factors

| Prevailing Situation  | Proposed Strategic Action  |
|---|--|
| Legal reforms through enactment of new laws with additional responsibilities to the Commission.                   | a) The Commission should keep abreast with reforms in the legal and policy environment so as to enable it review compliance to the same. |
| Increase in the number of lawsuits challenging the findings and recommendations of the Commission investigations. | a) Enhance and strengthen the Commission's investigation processes to avoid unnecessary litigations.                                     |
| Inadequate enforcement  | a) Lobby for strengthening of the Commission's   |



| Prevailing Situation   | Proposed Strategic Action   |
|--|---|
| mechanisms leading to erosion of public confidence in the Commission.  | enforcement powers.   |
| Enactment of ATI Act raises legal questions on how it will be implemented alongside the traditional CAJ mandate. | a) Mainstream similar functions to be implemented within the existing legal framework and internal administrative structures; and<br>b) Develop appropriate regulations and guidelines to fully-operationalize the ATI Act. |

### 3.4 Risk Analysis

According to ISO 31000, risk is the 'effect of uncertainty on the Commission's objectives' and an effect is a positive or negative deviation from what is expected.

The Commission has therefore identified the Risks it can possibly encounter while implementing its programmes and activities and determined mitigation measures for managing any effects that may result from the occurrence of the risks. The Commission's Risk Analysis is outlined in **Table 3.4**. The analysis has been undertaken at Strategic; Operational; Financial; and Technological levels.

**Strategic Risks** are the prospective adverse impacts on the Commission's performance arising from poor strategic decisions, improper implementation of decisions; or lack of responsiveness to changes in the operational environment;

**Organisational Risks** are those that threaten the implementation of the Strategic Plan due to internal capacity or structural issues;

**Operational Risks** are those that arise from capacity inadequacies in the course of implementation of planned programmes and activities;

**Financial Risks** emanate from failure to either mobilize adequate funds or lack of prudence in financial resource utilization; and

**Technological Risks** are those associated with deficiencies in Information and Communication Technology or related thereto.

The Risk Analysis has informed not only the Strategic Model (**Chapter 4**) of this Strategic Plan but also the development of a comprehensive Risk Management Framework during the Strategic Plan period.

**Table 3.4: Risk Analysis and Mitigation**

| Risk Domain                   | Specific Risk   | Description of Mitigation  |
|-------------------------------|---|--|
| <b>1.Strategic Risks</b>      | <p>1.1 Inadequate legal and policy framework</p> <p>1.2 Resistance to change</p> <p>1.3 Lack of good will from the Commission's main stakeholders</p> <p>1.4 Fear to fully exercise the Commission's powers</p> <p>1.5 Decentralization of ombudsman services without a proper framework</p> <p>1.6. Weak Governance structure</p> <p>1.7. Low public awareness</p> | <p>1.1.1. Review and propose the necessary amendments in the ACT to Parliament; and</p> <p>1.1.2 Propose new legislations where there are gaps.</p> <p>1.2.1 Undertake culture audit and subsequently institutionalize necessary measures to develop an enabling corporate culture</p> <p>1.3.1 Develop strong Partnerships and networks with relevant stakeholders</p> <p>1.4.1 Guard the Commission's independence and play the role of the Ombudsman without fear of favour</p> <p>1.5.1 Develop and implement an appropriate policy for decentralization</p> <p>1.6.1 Strengthen the governance structures by establishing and operationalizing the audit committee and updating the operational policies and procedures.</p> <p>1.7.1 Develop and implement a communication strategy.</p> |
| <b>2.Organisational Risks</b> | <p>2.1. Interdepartmental conflicts (Directorates)</p> <p>2.2 Low staff morale</p> <p>2.3 Inadequate staffing levels</p>  | <p>2.1.1 Ensure clarity in roles and enhance teamwork and inter-directorate co-ordination and harmony.</p> <p>2.2.1 Develop and implement a reward management policy</p> <p>2.3.1 Undertake Job Evaluation to review the grading structure and determine optimal staffing; and</p> <p>2.3.2 Lobby for adequate funding to facilitate recruitment of additional technical staff.</p>  |

| Risk Domain                | Specific Risk   | Description of Mitigation   |
|----------------------------|---|---|
|                            | <p>2.4 Security lapses</p> <p>2.5 Occupational, safety and Health hazards</p> <p>2.6 Inadequate performance management framework.</p> <p>2.7 Erosion of public confidence</p> <p>2.8 Weak monitoring and evaluation framework</p> | <p>2.4.1 Undertake a security assessment /audit and implement the necessary security measures.</p> <p>2.4.2 Develop and institutionalize a security policy.</p> <p>2.5.1 Ensure conformity to OSHA Act; and</p> <p>2.5.2 Develop relevant mitigation measures.</p> <p>2.6.1 Strengthen and Institutionalise the Performance Management framework.</p> <p>2.7.1 Re-engineer the business processes to enhance efficiency and effectiveness and boost public confidence.</p> <p>2.8.1 Develop an elaborate M &amp; E framework.</p> |
| <b>3.Operational Risks</b> | <p>3.1 Deviation from planned activities</p> <p>3.2 Information risks.</p>  | <p>3.1.1 Ensure strict adherence to the strategic plan and annual work plans; and</p> <p>3.1.2 Ensure strict adherence to the legal requirements on complaints handling, including timelines in the law.</p> <p>3.2.2 Improve operational security.</p>   |
| <b>4. Financial Risks</b>  | <p>4.1 Inadequate funds.</p> <p>4.2 Weak budget implementation framework.</p> <p>4.3 Poor absorption of resources.</p> <p>4.4 Delay in release of funds by the exchequer.</p> <p>4.5 Donor fatigue.</p>                           | <p>4.1.1 Lobby for allocation of more resources ;</p> <p>4.1.2 Develop a Resource mobilization strategy; and</p> <p>4.1.2 Diversify sources of funding.</p> <p>4.2.1 Develop a robust budget implementation framework.</p> <p>4.3.1 Align resource needs with supply.</p> <p>4.4.1 Lobby the National Treasury to release funds in good time.</p> <p>4.5.1 Undertake aggressive resource mobilization and diversify the</p>   |

| Risk Domain                   | Specific Risk                               | Description of Mitigation   |
|-------------------------------|---|---|
|                               |   | revenue streams.  |
| <b>5. Technological risks</b> | 5.1 Inadequate/obsolete ICT infrastructure. | 5.1.1 Update the ICT infrastructure; and<br>5.1.2 Develop and institutionalize an ICT policy focusing on information and data security. |
|                               | 5.2 Frequent down time of the IFMIS         | 5.2.1 Lobby for IFMIS technical support from the National Treasury.   |

### 3.5 Stakeholder Analysis

Stakeholders in the context of this Strategic Plan are individuals or organisations who are influenced by the operations of the Commission or those whose activities have the potential to influence the Commission's own operations. Analysis of the Commission's stakeholders is important mainly to develop a common understanding of the mutual expectations. This Stakeholder Analysis allows the Commission to gain insights into what stakeholders expect from it and the roles it needs to play in meeting these expectations. In effect, the Commission is outlining its commitments to its stakeholders. The Stakeholder Analysis is presented in Table 3.5.

**Table 3.5: Stakeholder Analysis**

| Stakeholder      | Role/Functions of the Stakeholder                           | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations   | What the stakeholder should do to assist the Commission   |
|------------------|---|---|--|---|
| <b>Executive</b> | a) Observance, promotion and safeguard of the Constitution; | a) Submission of annual and special reports to the President;<br>b) Contribution towards improved service delivery; and | a) Timely submission of reports;<br>b) Timely resolution of complaints; and<br>c) Training and technical support in the execution of the Commission's mandate. | a) Be responsive to the Commission's needs; and<br>b) Support the Commission in the execution of its mandate. |

| Stakeholder       | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations  | What the stakeholder should do to assist the Commission   |
|-------------------|--|---|---|---|
|                   | <ul style="list-style-type: none"> <li>b) Implementation of the laws; and</li> <li>c) Policy formulation and implementation.</li> </ul>  | <ul style="list-style-type: none"> <li>c) Execution of the mandate of the Commission.</li> </ul>  |   |   |
| <b>Parliament</b> | <ul style="list-style-type: none"> <li>a) Enactment of laws;</li> <li>b) Appropriation of public funds;</li> <li>c) Representation of the people; and</li> <li>d) Oversight role.</li> </ul> | <ul style="list-style-type: none"> <li>a) Redress of all forms of maladministration;</li> <li>b) Submission of annual and bi-annual and special reports;</li> <li>c) Execution of the mandate of the Commission;</li> <li>d) Prudent utilization of resources;</li> <li>e) Contribution towards improved service delivery; and</li> <li>f) Decentralization of services.</li> </ul> | <ul style="list-style-type: none"> <li>a) Timely resolution of complaints;</li> <li>b) Timely submission of reports; and</li> <li>c) Training and technical support in the execution of our mandate.</li> </ul> | <ul style="list-style-type: none"> <li>a) Allocate adequate resources;</li> <li>b) Enforce the Commission's recommendations/ determinations;</li> <li>c) Legislative support; and</li> <li>d) Consider and debate the reports by the Commission.</li> </ul> |

| Stakeholder  | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations  | What the stakeholder should do to assist the Commission   |
|--|--|---|---|---|
| <b>Judiciary</b>   | <ul style="list-style-type: none"> <li>a) Adjudication of disputes;</li> <li>b) Interpretation of the laws;</li> <li>c) Resolution of public complaints (Judiciary Ombudsman)</li> </ul> | <ul style="list-style-type: none"> <li>a) Collaboration with the Judiciary in the dispensation of justice;</li> <li>b) Conduct of ADR on cases referred by the Judiciary;</li> <li>c) Provision of services in accordance with the law;</li> <li>d) Enhancement of the capacity of the judiciary in establishing infrastructure for complaints;</li> <li>e) Enhanced management and access to information; and</li> <li>f) Decentralization of services.</li> </ul> | <ul style="list-style-type: none"> <li>a) Collaborate with the Judiciary in the dispensation of justice;</li> <li>b) Conduct ADR on cases referred by the Judiciary.</li> <li>c) Provide services in accordance with the law; and</li> <li>d) Build the capacity of the judiciary in establishing infrastructure for complaints.</li> </ul>   | <ul style="list-style-type: none"> <li>a) Expeditious hearing and fair determination of cases involving the Commission;</li> <li>b) Good understanding of the mandate and context of the Commission;</li> <li>c) Expeditious and fair resolution of complaints relating to administration of justice; and</li> <li>d) Strengthen infrastructure for complaints management and access to information.</li> </ul>   |
| <b>Ministries, Departments and Agencies of the National Government</b> | <ul style="list-style-type: none"> <li>a) Implement the laws;</li> <li>b) Policy formulation and implementation; and</li> <li>c) Provision of services to the public.</li> </ul>         | <ul style="list-style-type: none"> <li>a) Provision of fair, quality and timely services in accordance with the law;</li> <li>b) Technical assistance in establishing infrastructure for complaints management and access to information;</li> <li>c) Fair assessment on compliance with service delivery standards; and</li> <li>d) Collaboration in execution of mandate</li> </ul>   | <ul style="list-style-type: none"> <li>a) Handle complaints against MDAs fairly, objectively and expeditiously;</li> <li>b) Design and implement appropriate programmes and activities;</li> <li>c) Build the capacity of MDAs in establishing infrastructure for complaints management and access to information;</li> <li>d) Impartially assess compliance with administrative justice and access to information standards; and</li> <li>e) Forge and nurture partnerships</li> </ul> | <ul style="list-style-type: none"> <li>a) Support and co-operate with the Commission in the execution of its mandate;</li> <li>b) Implement the decisions, orders and recommendations of the Commission;</li> <li>c) Establish appropriate infrastructure for complaints management and access to information;</li> <li>d) Institutionalize complaints management and access to information;</li> <li>e) Develop appropriate frameworks for promotion of good governance and efficient delivery of public services;</li> <li>f) Forge and nurture partnerships for</li> </ul> |

| Stakeholder               | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations  | What the stakeholder should do to assist the Commission   |
|---------------------------|--|---|---|---|
|                           |  |   | and linkages.   | promotion of good governance; and<br>g) Take administrative action against public officers for failure to comply with the set service delivery standards.   |
| <b>County Governments</b> | <ul style="list-style-type: none"> <li>a) Observance, promotion and safeguard of the Constitution;</li> <li>b) Implementation of the laws;</li> <li>c) Policy formulation and implementation;</li> <li>d) Enactment of laws;</li> <li>e) Appropriation of public funds;</li> <li>f) Representation of the people; and</li> <li>g) Conduct of oversight.</li> </ul> | <ul style="list-style-type: none"> <li>a) Decentralization of the Office of the Ombudsman;</li> <li>b) Provision of fair, quality and timely services in accordance with the law;</li> <li>c) Technical assistance in establishing infrastructure for complaints management and access to information;</li> <li>d) Support in the domestication of Access to Information Act through the development of legal and regulation frameworks;</li> <li>e) Fair assessment on compliance with service delivery standards; and</li> <li>f) Collaboration in execution of mandate.</li> </ul> | <ul style="list-style-type: none"> <li>a) Handle complaints against County Governments fairly, objectively and expeditiously;</li> <li>b) Design and implement appropriate programmes and activities that is aimed at strengthening their complaints handling capacity;</li> <li>c) Build the capacity of County Governments in establishing infrastructure for complaints management and access to information;</li> <li>d) Provide support on the domestication of Access to Information Act at the county level;</li> <li>e) Fairly assess compliance with administrative justice and access to information standards; and</li> <li>f) Forge and nurture partnerships and linkages.</li> </ul> | <ul style="list-style-type: none"> <li>a) Support and co-operate with the Commission in the execution of its mandate;</li> <li>b) Implement the decisions, orders and recommendations of the Commission;</li> <li>c) Establish appropriate infrastructure for complaints management and access to information;</li> <li>d) Institutionalize complaints management and access to information;</li> <li>e) Develop appropriate frameworks for promotion of good governance and efficient delivery of public services;</li> <li>f) Practice good governance;</li> <li>g) Forge and nurture partnerships for promotion of good governance; and</li> <li>h) Take administrative action against public officers for failure to comply with the set service delivery standards.</li> </ul> |

| Stakeholder   | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations  | What the stakeholder should do to assist the Commission   |
|---|--|---|---|---|
| <b>Office of the Attorney General and Department of Justice</b> | Provision of legal advice to the Government and defence of public interest.              | <ul style="list-style-type: none"> <li>a) Provision of services efficiently, fairly and objectively;</li> <li>b) Sharing of information on policy and legal frameworks for review;</li> <li>c) Participation in the preparation of the country review reports to relevant international bodies;</li> <li>d) Presentation of annual report for tabling in Parliament as per Article 153(4)(b) of the Constitution; and</li> <li>e) Collaboration in the execution of respective mandates.</li> </ul> | <ul style="list-style-type: none"> <li>a) Execute mandate robustly, efficiently, fairly and objectively;</li> <li>b) Share information on policy and legal frameworks for review;</li> <li>c) Participate in the preparation of country periodic reports to treaty body mechanisms;</li> <li>d) Present annual reports for tabling in Parliament; and</li> <li>e) Collaborate in the execution of respective mandates.</li> </ul> | <ul style="list-style-type: none"> <li>a) Support policy and legislative reviews to strengthen the Commission;</li> <li>b) Provide appropriate legal advisory services for strengthening of the Commission and improvement of good governance;</li> <li>c) Fully operationalize legal aid programme;</li> <li>d) Table the annual report in Parliament for debate;</li> <li>e) Ensure the participation of the Commission in the preparation of country periodic reports to treaty body mechanisms; and</li> <li>f) Support and collaborate with the Commission in the execution of its mandate.</li> </ul> |
| <b>Ministry of Information, Communication and Technology.</b>   | Formulation of policies and laws that regulate standards and services in the ICT sector. | <ul style="list-style-type: none"> <li>a) Enforcement and oversight of the right of access to information;</li> <li>b) Presentation of annual report on the status of implementation of access to information Act; and</li> <li>c) Support and collaboration in implementation of the Access to Information</li> </ul>  | <ul style="list-style-type: none"> <li>a) Execute mandate robustly and efficiently;</li> <li>b) Present the annual report on implementation of the Access to Information Act; and</li> <li>c) Support and collaborate with the Ministry on implementation of the Act.</li> </ul>  | <ul style="list-style-type: none"> <li>a) Collaborate with the Commission in the development of regulations under the Access to Information Act;</li> <li>b) Develop and monitor the standards for digitization in the public service; and</li> <li>c) Support and collaborate with the Commission in the implementation of the Act.</li> </ul>   |



| Stakeholder                                  | Role/Functions of the Stakeholder                | Stakeholder's expectations from the Commission   | What the Commission should do to meet stakeholder's expectations   | What the stakeholder should do to assist the Commission   |
|--|--|--|--|---|
|  |  | Act.   |  |   |
| <b>Ethics and Anti-Corruption Commission</b> | Promotion of integrity and combat of corruption. | <ul style="list-style-type: none"> <li>a) Efficient and expeditious investigation of maladministration;</li> <li>b) Maintenance of an effective complaints referral system;</li> <li>c) Establishment and enforcement of a robust system of access to information;</li> <li>d) Sharing of information on corruption and unethical conduct; and</li> <li>e) Collaboration and complementarity in execution of respective mandates.</li> </ul> | <ul style="list-style-type: none"> <li>a) Ensure robust and efficient execution of mandate;</li> <li>b) Maintain an effective complaints referral system;</li> <li>c) Share information on corruption and unethical conduct to EACC;</li> <li>d) Establish and enforce a robust framework of access to information; and</li> <li>e) Collaborate and complement each other in execution of respective mandates.</li> </ul>          | <ul style="list-style-type: none"> <li>a) Institutionalize complaints management and access to information;</li> <li>b) Maintain an effective complaints referral system;</li> <li>c) Investigate complaints of corruption and unethical conduct expeditiously and efficiently; and</li> <li>d) Support and collaborate with the Commission in the execution of its mandate.</li> </ul>   |
| <b>National Police Service</b>               | Maintenance of law and order.                    | <ul style="list-style-type: none"> <li>a) Expeditious, fair and efficient investigation of complaints against the police;</li> <li>b) Maintenance of an effective complaints referral system;</li> <li>c) Capacity building in complaints management and access to information; and</li> </ul>   | <ul style="list-style-type: none"> <li>a) Exercise robust, fair and efficient execution of mandate;</li> <li>b) Maintain an effective complaints referral system;</li> <li>c) Provide technical assistance and training on establishment of an effective infrastructure for complaints management and access to information; and</li> <li>d) Collaborate and complement each other in execution of respective mandates.</li> </ul> | <ul style="list-style-type: none"> <li>a) Institutionalize complaints management and access to information;</li> <li>b) Maintain an effective complaints referral system;</li> <li>c) Act expeditiously and efficiently and respond on referred matters;</li> <li>d) Support and collaborate with the Commission in the execution of its mandate; and</li> <li>e) Take administrative action against police officers who fail to comply with the set service delivery standards.</li> </ul> |

| Stakeholder   | Role/Functions of the Stakeholder   | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations   | What the stakeholder should do to assist the Commission  |
|---|---|---|--|--|
|   |   | d) Collaboration and complementarity in execution of respective mandates.   |  |  |
| <b>Constitutional Commissions and Independent Offices</b> | Promotion of constitutionalism and ensuring the observance of the democratic values and principles and protection of the sovereignty of the people. | a) Provision of fair, quality and timely services in accordance with the law; and<br>b) Support and collaboration in the execution of respective mandates.  | a) Deliver services efficiently and effectively; and<br>b) Support and collaborate in the execution of respective mandates.  | a) Deliver services efficiently and effectively;<br>b) Undertake joint programmes and activities;<br>c) Sharing of information on areas of mutual interest; and<br>d) Support and collaborate with the Commission in the execution of its mandate. |
| <b>National Council for Administration of Justice</b>     | Formulation, implementation and co-ordination of policies and laws for efficient and effective administration of justice.                           | a) Effective and efficient services;<br>b) Formulation, implementation, monitoring and review of policies and laws that affect administration of justice;<br>c) Sharing of information on administration of justice; and<br>d) Support and collaboration in the execution of respective mandates. | a) Deliver services efficiently and effectively;<br>b) Participate in NCAJ programmes and activities; and<br>c) Support and collaborate in the execution of respective mandates. | a) Deliver services efficiently and effectively;<br>b) Undertake joint programmes and activities;<br>c) Participate in NCAJ programmes and activities; and<br>d) Support and collaborate with the Commission in the execution of its mandate.      |

| Stakeholder                        | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission  | What the Commission should do to meet stakeholder's expectations  | What the stakeholder should do to assist the Commission   |
|------------------------------------|--|---|---|---|
| <b>The General Public</b>          | Participation in governance and holding duty bearers accountable.              | <ul style="list-style-type: none"> <li>a) Effective and efficient delivery of services;</li> <li>b) Redress of complaints fairly and efficiently; and</li> <li>c) Decentralization of the Commission.</li> </ul>  | <ul style="list-style-type: none"> <li>a) Deliver services efficiently and effectively;</li> <li>b) Redress complaints efficiently;</li> <li>c) Develop and enforce standards of delivery of public services;</li> <li>d) Promote proactive disclosure of information by public and private bodies;</li> <li>e) Create awareness on administrative justice and access to information; and</li> <li>f) Decentralize the services of the Ombudsman to the counties.</li> </ul>              | <ul style="list-style-type: none"> <li>a) Report instances of maladministration and denial of access to information;</li> <li>b) Hold the duty bearers accountable for their actions and decisions;</li> <li>c) Actively participate in governance;</li> <li>d) Disseminate information on administrative justice and access to information;</li> <li>e) Support the Commission in the execution of its mandate; and</li> <li>f) Provide feedback on Ombudsman services.</li> </ul>   |
| <b>Civil Society Organisations</b> | Undertaking advocacy, education and social accountability for good governance. | <ul style="list-style-type: none"> <li>a) Provision of timely, efficient and accountable services;</li> <li>b) Redress of complaints fairly and efficiently;</li> <li>c) Decentralization of the office of the Ombudsman; and</li> <li>d) Collaboration in awareness creation.</li> </ul> | <ul style="list-style-type: none"> <li>a) Deliver services efficiently and effectively;</li> <li>b) Redress complaints within the set timelines;</li> <li>c) Promote proactive disclosure of information by public and private bodies;</li> <li>d) Develop and enforce standards of delivery of public services;</li> <li>e) Create awareness on administrative justice and access to information; and</li> <li>f) Decentralize the services of the Ombudsman to the counties.</li> </ul> | <ul style="list-style-type: none"> <li>a) Report instances of maladministration and denial of access to information;</li> <li>b) Hold the duty bearers accountable for their actions and decisions;</li> <li>c) Actively participate in governance;</li> <li>d) Conduct social accountability;</li> <li>e) Disseminate information on administrative justice and access to information;</li> <li>f) Conduct advocacy and awareness on administrative justice and access to information; and</li> <li>g) Support and collaborate with the Commission in the execution of its mandate.</li> </ul> |

| Stakeholder           | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission   | What the Commission should do to meet stakeholder's expectations  | What the stakeholder should do to assist the Commission  |
|-----------------------|--|--|---|--|
| <b>Media</b>          | Promotion of good governance through dissemination of information.               | <ul style="list-style-type: none"> <li>a) Provision of timely, efficient and accountable services;</li> <li>b) Fair and efficient redress of complaints;</li> <li>c) Access to information from public and private bodies;</li> <li>d) Business support through advertisement;</li> <li>e) Timely response to media inquiries; and</li> <li>f) Collaboration.</li> </ul> | <ul style="list-style-type: none"> <li>a) Deliver services efficiently and effectively;</li> <li>b) Redress complaints efficiently;</li> <li>c) Review decisions of public and private bodies on access to information in a timely manner;</li> <li>d) Promote proactive disclosure of information by public and private bodies;</li> <li>e) Sensitize/train the media on administrative justice and access to information;</li> <li>f) Collaborate with the media to create awareness on administrative justice and access to information; and</li> <li>g) Forge and maintain collaboration with the media.</li> </ul> | <ul style="list-style-type: none"> <li>a) Report instances of maladministration and denial of access to information;</li> <li>b) Hold the duty bearers accountable for their actions and decisions;</li> <li>c) Conduct investigative journalism;</li> <li>d) Conduct advocacy and awareness on administrative justice and access to information;</li> <li>e) Ensure accurate and objective reporting; and</li> <li>f) Support and collaboration with the Commission in the execution of its mandate.</li> </ul>                               |
| <b>Private sector</b> | Promotion of best practices and responsiveness and accountability in governance. | <ul style="list-style-type: none"> <li>a) Provision of timely, efficient and accountable services;</li> <li>b) Impartial and efficient redress of complaints;</li> <li>c) Access to information from public bodies;</li> <li>d) Business support; and</li> <li>e) Collaboration in the performance of duties.</li> </ul>   | <ul style="list-style-type: none"> <li>a) Deliver services efficiently and effectively;</li> <li>b) Redress complaints within the set timelines;</li> <li>c) Develop and enforce standards of delivery of public services;</li> <li>d) Promote proactive disclosure of information by public and private bodies;</li> <li>e) Create awareness on administrative justice and access to information; and</li> </ul>   | <ul style="list-style-type: none"> <li>a) Report instances of maladministration and denial of access to information;</li> <li>b) Hold the duty bearers accountable for their actions and decisions;</li> <li>c) Actively participate in governance;</li> <li>d) Disseminate information on administrative justice and access to information;</li> <li>e) Conduct advocacy and awareness on administrative justice and access to information;</li> <li>f) Provide financial support;</li> <li>g) Practice good corporate governance;</li> </ul> |

| Stakeholder   | Role/Functions of the Stakeholder                         | Stakeholder's expectations from the Commission   | What the Commission should do to meet stakeholder's expectations   | What the stakeholder should do to assist the Commission  |
|---|---|--|--|--|
|   |   |  | f) Decentralize the services of the Ombudsman to the Counties.   | and<br>h) Support and collaborate with the Commission in the execution of its mandate.   |
| <b>Development Partners</b>                                     | Provision of technical and financial support.             | a) Good corporate governance;<br>b) Provision of services efficiently and effectively;<br>c) Prudent and accountable use of resources; and<br>d) Collaboration and networking. | a) Practice good corporate governance;<br>b) Provide services efficiently and effectively;<br>c) Exercise prudence and accountability on use of resources; and<br>d) Collaborate and network in areas of interest. | a) Provide technical support;<br>b) Provide financial support; and<br>c) Develop partnerships and networks.  |
| <b>Ombudsman Institutions and Associations (IOI, AOMA etc.)</b> | Provision of a platform for collaboration and networking. | a) Sharing of information on best practices;<br>b) Exchange programs;<br>c) Membership; and<br>d) Collaboration and networking.  | a) Share information on best practices;<br>b) Conduct exchange visits;<br>c) Seek and maintain membership to relevant Associations; and<br>d) Forge and nurture collaborations and networks.                       | a) Training of staff;<br>b) Regular platforms for information sharing;<br>c) Technical and financial support; and<br>d) Enhanced collaboration and networks. |
| <b>Kenya National Archives and Documentation Services</b>       | Preservation of records and archives.                     | a) Collaboration in the management of records; and<br>b) Responsiveness in the disposal and destruction of records.  | a) Create framework for collaboration; and<br>b) Build internal capacity on information management.  | a) Train Public Officers on Information Management; and<br>b) Support and collaboration.   |

| Stakeholder              | Role/Functions of the Stakeholder  | Stakeholder's expectations from the Commission   | What the Commission should do to meet stakeholder's expectations   | What the stakeholder should do to assist the Commission  |
|--------------------------|--|--|--|--|
| <b>CAJ Staff</b>         | Implementation of respective functions in line with the mandate of the Commission. | <ul style="list-style-type: none"> <li>a) Responsiveness;</li> <li>b) Co-operation and support;</li> <li>c) Teamwork; and</li> <li>d) Efficiency and quality services.</li> </ul>  | <ul style="list-style-type: none"> <li>a) Exhibit responsiveness, teamwork, professionalism and commitment to service;</li> <li>b) Collaborate in areas of mutual interest; and</li> <li>c) Provide quality services.</li> </ul>   | <ul style="list-style-type: none"> <li>a) Provide timely and clear communication;</li> <li>b) Co-operation and teamwork;</li> <li>c) Responsiveness, commitment, professionalism and quality service; and</li> <li>d) Provide resources and facilities for work.</li> </ul>  |
| <b>CAJ Commissioners</b> | Provision of leadership and strategic direction to the Commission.                 | <ul style="list-style-type: none"> <li>a) Timely, efficient and quality services;</li> <li>b) Co-operation and support;</li> <li>c) Responsiveness; and</li> <li>d) Implementation of the Commission's decisions.</li> </ul> | <ul style="list-style-type: none"> <li>a) Exhibit responsiveness, teamwork, professionalism and commitment to service;</li> <li>b) Implement the decisions of the Commission; and</li> <li>c) Provide quality services.</li> </ul> | <ul style="list-style-type: none"> <li>a) Provide leadership and strategic direction;</li> <li>b) Mobilize and provide resources and approve work plans;</li> <li>c) Provide a conducive working environment;</li> <li>d) Monitor the implementation of programmes by the Directorate; and</li> <li>e) Steward partnerships and linkages.</li> </ul> |

The Commission will utilize the information in the Stakeholder Analysis to improve service delivery to its stakeholders. Appropriate strategies will be deployed to ensure that the needs and expectations of the various stakeholders are met.

### 3.6 Lessons Learnt

During its 2013-2016 Strategic Plan period, the Commission learnt several key lessons which should be utilized to inform development and implementation of appropriate strategies and activities in the future. These fundamental lessons are as follows:

|   | Issues                  | Lesson Learned  | Way Forward   |
|---|-------------------------|---|---|
| 1 | Staffing level          | a) Current staff was only 21% of what was planned for which affected the realisation of some of the activities in the Strategic Framework.  | a) Attract, develop and adequately-engage skilled staff in addition to the existing ones.   |
| 2 | Resource Mobilization   | a) The Commission was not able to raise funds to enable full implementation of the Strategic Framework.<br>b) The Commission received very little amount in grants.<br>c) Resources were not spent on the planned activities and therefore departing from the strategic plan. | a) Establish and operationalise a resource mobilization unit.<br>b) Develop a comprehensive resource mobilization strategy.<br>c) Efficiently manage the allocated resources at the directorate level and heads of directorate should be held accountable for resource utilisation in line with the programme based budgeting regime.   |
| 3 | Target Setting          | a) Performance indicators not well set.<br>b) There was no M & E framework.   | a) Set clear performance indicators that have a long-term target, with clear expected outputs and performance indicators, which would then be broken down into annual targets to enable the Commission to effectively track its own performance.<br>b) Develop M&E framework to enable the Commission document the outcomes of the implementation of the work plans in order to inform refining of the targets and allocation of resources. |
| 4 | Accountability Centres. | a) Responsibility needs to be allocated to specific functions.<br>b) Duplication of effort and confusion in accountability for outputs.   | a) Responsibility needs to be allocated to specific functions for ease of holding people accountable. This should be supported by a comprehensive performance management framework.<br>b) Align the reporting framework by adopting a single line of reporting to avoid duplication of effort and confusion in accountability for outputs.  |

|   | Issues  | Lesson Learned   | Way Forward   |
|---|---|--|---|
| 5 | Stakeholder Engagement and Visibility.                | <ul style="list-style-type: none"> <li>a) A majority of members of the public currently do not know about the Commission nor fully understand its mandate.</li> <li>b) Communication not effectively-embedded in all activities of the Commission.</li> <li>c) Limited trust by the public.</li> </ul>   | <ul style="list-style-type: none"> <li>a) Undertake massive sensitisation on the Commission, its Mandate and core business.</li> <li>b) Manage the expectations of the public, including by way of providing clear information on the obligations such as the timelines for processing of complaints.</li> <li>c) Identify and sustain flagship projects for the Commission, e.g., the Huduma Ombudsman Award.</li> <li>d) Embed communication in all activities of the Commission for better reporting.</li> <li>e) Cultivate and sustain public trust.</li> </ul> |
| 6 | Application of ICT in the Commission's core business. | <ul style="list-style-type: none"> <li>a) There is minimal application of ICT in the Commission's core business.</li> </ul>  | <ul style="list-style-type: none"> <li>a) Leverage on ICT in the systems and processes of the Commission to enhance efficiency and optimal realisation of objectives.</li> </ul>  |
| 7 | Governance .  | <ul style="list-style-type: none"> <li>a) There was no clear demarcation between the oversight organ and the secretariat.</li> <li>b) Failure of the previous strategic plan to include the risk management framework in the Strategic Plan.</li> <li>c) There were overlaps in the roles of the governance organ and the secretariat which affected operational and oversight costs.</li> </ul> | <ul style="list-style-type: none"> <li>a) There is need to streamline the current governance framework so that the Commission becomes a role model to other Public Entities.</li> </ul>   |
| 8 | Capacity Building for Public Officers.                | <ul style="list-style-type: none"> <li>a) Capacity building for Public Officers was not undertaken in a structured and timely manner, due to the lack of adequate resource allocated to the task in the budget and inadequate staffing level of the Compliance and Risk directorate.</li> </ul>  | <ul style="list-style-type: none"> <li>a) There is need to allocate and ring-fence resources for capacity building and technical assistance of public institutions and officers.</li> <li>b) Address the capacity gap</li> <li>c) Strict adherence to the approved training calendar for MDAs.</li> </ul>   |



|    | Issues  | Lesson Learned  | Way Forward   |
|----|---|---|---|
| 9  | Accessibility   | <p>a) The Commission's services were not easily accessible and hence not in line with devolution philosophy of the new Constitution.</p> <p>b) The regional offices were operationalised with one officer who could not offer a package of services as offered at the headquarters and this affected the Commission's visibility. Absence of officers when on leave left the offices with non-technical officers or interns who could not provide effective services.</p> | <p>a) The Commission should decentralise its operations by establishing and operationalising additional regional/county offices</p> <p>b) The Regional offices should be adequately-staffed with requisite technical personnel.</p> |
| 10 | Issuance and adoption of advisory opinions and proposals on administrative justice and access to information.                                       | <p>a) The set targets were too high and the absence of Commissioners during the transition period impacted negatively on this.</p> <p>b) There is need to develop a clear framework and strategy for advisory opinions.</p>   | <p>a) Setting of SMART targets. Develop a clear framework and strategy for advisory opinions and proposals.</p>   |
| 11 | Undertaking public interest litigation on matters relating to the rule of law and human rights in public administration.                            | <p>a) Scaled down public interest litigation due to change of strategy.</p>   | <p>a) Consider public interest litigation as a tool for ensuring compliance with constitutional values and principles.</p>  |
| 12 | Strengthening strategic partnerships and networks with national and international institutions on administrative justice and access to information. | <p>a) The targets were not met in some instances due to absence of the Commissioners, and lack of a partnership policy.</p>   | <p>a) Develop and implement an internal policy on partnerships.</p>   |

### **3.7 Key Success Factors**

The Commission exists in an operational environment defined mainly by the stakeholders it serves in various forms. The success of the Commission in implementing this Strategic Plan will therefore depend on several critical factors which are relevant to the interests and needs of the stakeholders. Arising from the contextual analysis, the following have been identified as the key success factors for the Commission moving forward:

- a) Capacity building;
- b) Alignment of organisational culture to strategic direction;
- c) Automation of processes and process re-engineering;
- d) Visibility and branding;
- e) Advocacy;
- f) Effective performance management;
- g) Effective resource mobilization and prudent utilisation;
- h) Amendment of the legal framework;
- i) Effective change management;
- j) Effective decentralisation of services;
- k) Enabling work environment/staff motivation;
- l) Effective communication;
- m) Effective risk management (business continuity);
- n) Effective records management;
- o) Effective information and knowledge management;
- p) Effective strategic planning;
- q) Effective HR planning and management;
- r) Continuous research, creativity and innovation;
- s) Strategic alliances and partnerships;
- t) Alignment of organisation structure to the strategic direction;
- u) Good corporate governance;
- v) Effective Monitoring, Evaluation and Reporting;
- w) Alignment to legal and policy framework; and
- x) Benchmarking with global-best practices.

### **3.8 Critical Assumptions**

Several critical assumptions have been made in developing this Strategic Plan. These are:

- a) The Legal and regulatory framework will be strengthened in a manner favourable to the Mandate and core functions of the Commission;
- b) Goodwill and support from stakeholders will be realised and sustained during the Strategic Plan period; and
- c) The Commission will mobilise adequate resources to finance its programmes and activities.

## CHAPTER FOUR

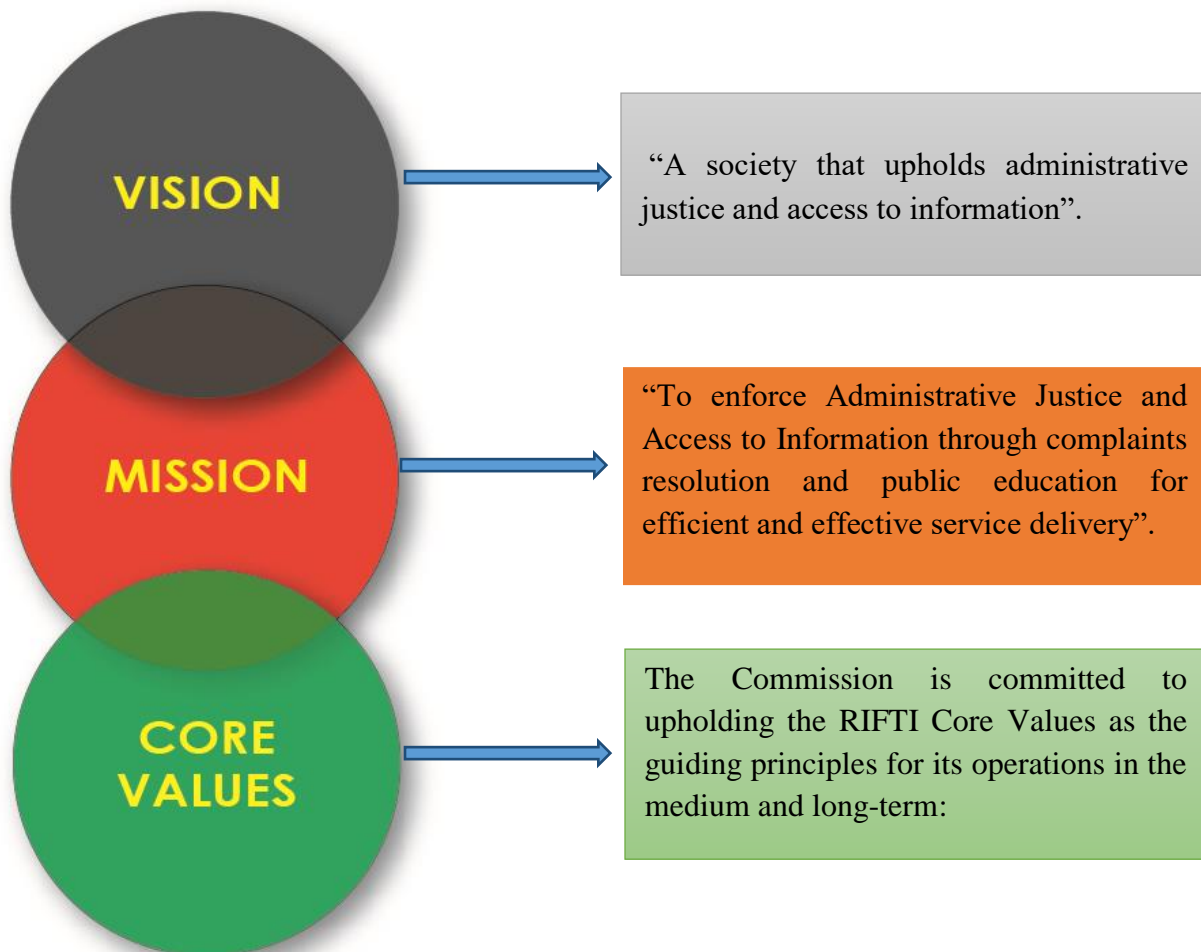
### 4.0 STRATEGIC MODEL

The Commission recognises that it must anchor its operations on certain aspirations, principles and values. The implementation of its objectives, strategies and activities will be guided by the Vision, Mission and Core Values.

#### 4.1 Vision

#### 4.2 Mission

#### 4.3 Core Values



**R - Responsiveness**

*The Commission commits itself to align its programmes to the expectations of all stakeholders and react in a timely manner to attain the highest standards in service delivery.*

**I - Independence**

*The Commission will not entertain any external interference and exercise courage in the conduct of its business in full conformity to the Act.*

**F - Fairness**

*The Commission will be impartial in its operations by treating the public and other stakeholders without any form of discrimination whatsoever.*

**T - Transparency**

*The Commission will be honest and open in the execution of its programmes and operations as an integral pillar of good corporate governance.*

**I - Integrity**

*The Commission will uphold strong moral principles in the execution of its mandate and conduct itself in a manner that meets the set ethical standards to develop and nurture an enabling culture.*

#### **4.4 Strategic Themes/Key Result Areas (KRAs)**

The Commission has identified the following four areas of focus/Key Result Areas(KRAs), which if concentrated on will enable it to deliver more benefits to the stakeholders and effectively realise its Mandate:

- a) Resolution of Public Complaints;
- b) Oversight and Enforcement of Access to Information;
- c) Public Education, Awareness and Visibility; and
- d) Institutional Strengthening and Capacity Building.

#### **4.5 Strategic Themes, Issues, Objectives and Strategies**

Focusing on the four key result areas/strategic themes, the Commission will endeavour to achieve results through implementation of the following objectives, strategies and activities in the Plan period:

#### 4.5.1 Strategic Theme I: Resolution of Public Complaints.

| Strategic Issue   | Strategic Objective  | Strategies  |
|---|--|---|
| 1.1. Inefficient administrative systems, processes, procedures and practices in the public sector | 1.1.1 To strengthen public service systems, processes, procedures and practices. | 1.1.1.1 Resolve public complaints                                 |
|   |  | 1.1.1.2 Promote and mainstream best practices and standards       |
|   |  | 1.1.1.3 Provide proposals on improvement of public administration |
| 1.2. Inadequate capacity in the management of public complaints                                   | 1.2.1 To strengthen complaints handling capacity in the public sector.           | 1.2.1.1 Facilitate and build complaints handling capacity         |
|   |  | 1.2.1.2 Promote use of alternative dispute resolution             |

#### 4.5.2 Strategic Theme 2: Oversight and Enforcement of Access to Information.

| Strategic Issue   | Strategic Objective   | Strategies  |
|---|---|---|
| 2.1. Inadequate access to information and culture of secrecy within public and private sectors. | 2.1.1 To promote disclosure of information within public and private sectors. | 2.1.1.1 Enforce access to information                                 |
|   |   | 2.1.1.2 Promote open governance                                       |
|   |   | 2.1.1.3 Monitor Kenya's compliance with international ATI obligations |
| 2.2. Inadequate framework on access to information.   | 2.2.1 To strengthen the framework on access to information.                   | 2.2.1.1 Strengthen records management framework                       |
|   |   | 2.2.1.2 Strengthen the existing policy and legal framework            |

#### 4.5.3 Strategic Theme 3: Public Education, Awareness and Visibility.

| Strategic Issue   | Strategic Objective   | Strategies  |
|---|---|---|
| 3.1. Insufficient public education and awareness on the Commission's mandate. | 3.1.1 To enhance awareness and understanding of the Commission's mandate. | 3.1.1.1 Undertake public education and awareness                |
|   |   | 3.1.1.2 Enhance the Commission's corporate image and visibility |

#### 4.5.4 Strategic Theme 4: Institutional Strengthening and Capacity Building.

| Strategic Issue  | Strategic Objective   | Strategies  |
|--|---|---|
| 4.1 Inadequate Institutional Capacity.                                     | 4.1.1 To strengthen the capacity of the Commission to effectively deliver on its mandate. | 4.1.1.1 Strengthen the institutional policy and legal framework                           |
|  |   | 4.1.1.2 Strengthen the audit and risk management framework                                |
|  |   | 4.1.1.3 Improve the performance management framework, staff capacity and work environment |
|  |   | 4.1.1.4 Ensure compliance with Statutory obligations                                      |
|  |   | 4.1.1.5 Strengthen the physical infrastructure and enhance security of office assets      |
|  |   | 4.1.1.6 Innovative use of technology  |
|  |   | 4.1.1.7 Strengthen supply chain management  |
|  |   | 4.1.1.8 Strengthen financial management systems   |
|  |   | 4.1.1.9 Strengthen monitoring, evaluation, reporting and learning                         |
|  | 4.1.2 To mobilise adequate resources  | 4.1.2.1 Strengthen resource mobilization  |
| 4.1.2.2 Establish and strengthen partnerships, collaborations and networks |   |   |

## CHAPTER FIVE

### 5.0 CO-ORDINATION FRAMEWORK AND IMPLEMENTATION OF THE STRATEGIC PLAN

#### 5.1 Strategic Plan Implementation Approaches

The implementation of the Plan will deploy the following approaches:

##### 5.1.1 Stakeholder engagement and communication

The Commission will enhance sensitization and collaboration with relevant stakeholders to enable them own and support its programmes and activities. Deliberate efforts will also be made to strengthen the overall communication framework to enhance the visibility and promote the corporate image of the Commission.

##### 5.1.2 Phasing and sequencing

Implementation of this Strategic Plan will be sequential but in phases. The Commission will therefore develop subsequent annual work plans from the Strategic Plan. The Work Plans will peg the operations of the Commission on the financial, human and other resources available in each financial year. The Annual Work Plans will be actualized by assigning specific responsibility to clear responsibility centres at functional levels. This approach will enhance the overall performance management framework of the Commission to facilitate effective implementation of the Strategic Plan.

##### 5.1.3 Quick wins

In each Annual Work Plan, the Commission will identify programmes and activities that guarantee quick wins, which will facilitate the achievement of rapid results in line with the Rapid Results framework. The quick-wins approach will also give impetus to the responsibility centres to roll-out other strategic programmes.

##### 5.1.4 Implementation Framework

The implementation of the Strategic Plan will be based on a sound Performance Management Framework at the Commission; Management; Directorate/Functional; and Individual levels. Regular meetings will be utilized for progress review to support the implementation of the Strategic Plan. The Commission will also ensure harmony with and alignment to other relevant International; Regional; and National policy initiatives and appropriate linkages with stakeholders to enhance synergy as it seeks to realize the goals and objectives set out in the Plan.



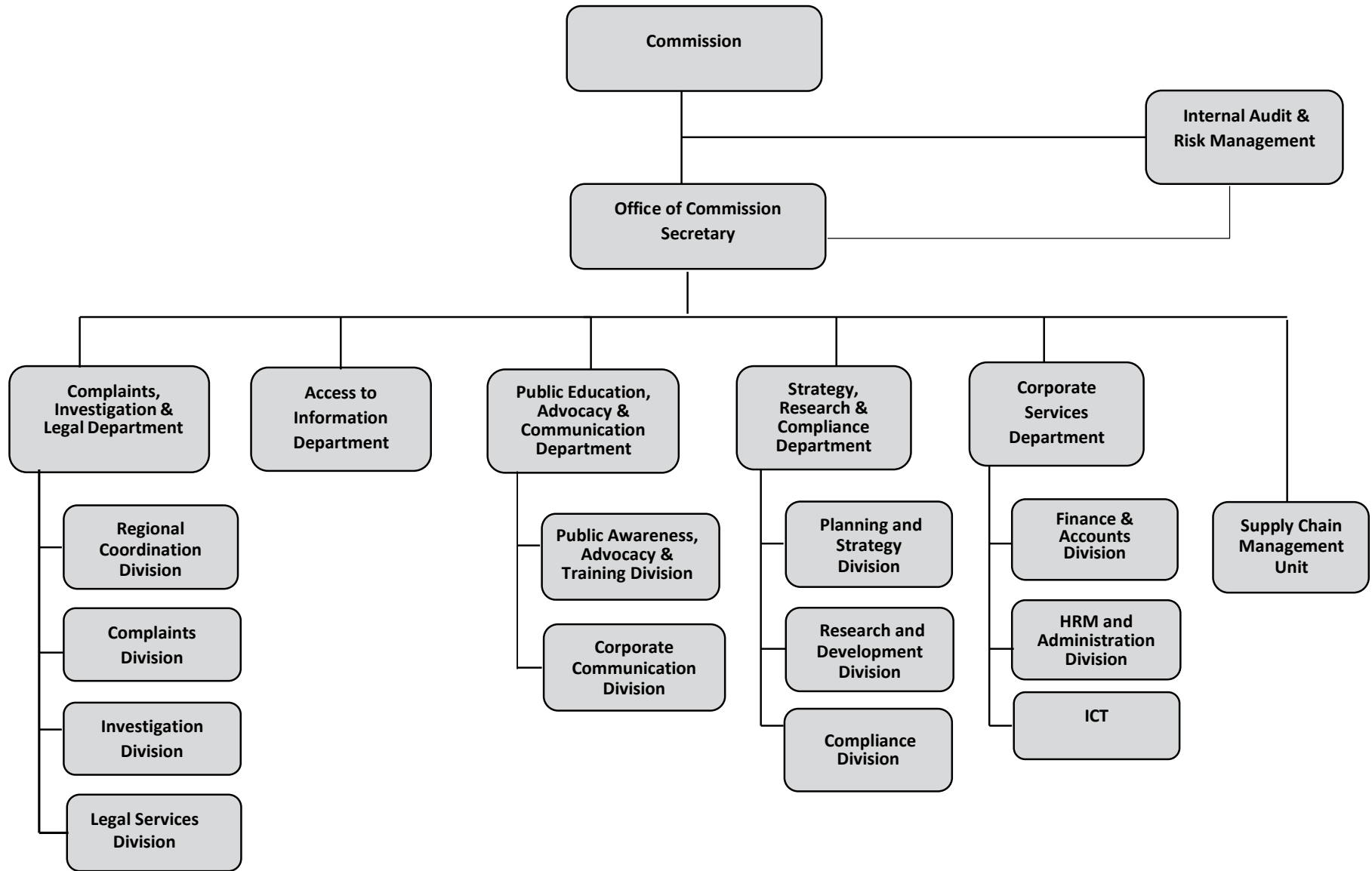
### **5.1.5 Governance Structure**

Pursuant to the CAJ Act, 2011, the Commission consists of three Commissioners serving on a full time basis for a single term of six years and a Secretariat responsible for implementation of the programmes of the Commission. The Commissioners operate work as collegiate in providing policy direction and leadership to the Secretariat while the Chairperson is mandated to preside over all meetings of the commission; act as the spokesperson; and supervise and direct the work of the Commission. Further, in line with section 20(3) of the ATI Act, the Commission designated one of its commissioners as the Access to Information Commissioner with the responsibility of performing the functions assigned to the Commission under the Act. On the other hand, the CAJ Act establishes a secretariat that is responsible for implementing the programmes of the Commission. It is headed by the Commission Secretary/ Chief Executive Officer, who reports to the Commission and is responsible for the day to day operations and administrative functions of the Commission. The secretariat is structured into directorates and departments that are aligned to the core mandate and functions of the Commission.

## **5.2 Organisational Structure**

To facilitate implementation of the Strategic Plan, the Commission developed and is operationalising a new structure. It will undertake an objective job evaluation exercise that will lead to updating of job descriptions and specifications, development of grading structure, and determination of optimal staffing compliment, among others. It is envisaged that the new structure will facilitate effective implementation of the Plan, information flow and management processes.

**Figure 1:** CAJ organisational structure.



## **5.3 Functional Mandates**

### **5.3.1 The Commission**

The governance oversight role of the Commission is vested in the Commissioners. The main responsibility of the Commissioners is to formulate the Strategic direction and oversee the management of affairs of the Commission. In this regard, the Commissioners develop policies and operational procedures that facilitate effective execution of the Commission's Mandate. The Commissioners also constitute relevant committees to assist in the stewardship role as they deem appropriate.

The Commissioners further monitor the implementation of policies pertaining to management of the Commission; determining from time to time the structure and staffing levels of the Commission; recruiting suitable staff for the Commission upon such terms and conditions as it may determine and promotion of professionalism among the staff of the Commission; and continuously monitors the implementation of the Strategic Plan.

The Chairperson of the Commission presides over all meetings of the Commission; is the official spokesperson for the Commission; and supervises and directs the work of the Commission.

### **5.3.2 Commission Secretariat**

The role of the Commission Secretariat is to facilitate the operations in the Commission. The Commission Secretariat is headed by the Commission Secretary/Chief Executive Officer who will be assisted by Directors in the day to day operations and management. The secretariat is comprised of: -

- (i) Office of the Commission Secretary/Chief Executive Officer;
- (ii) Complaints, Investigations and Legal Department;
- (iii) Access to Information Department;
- (iv) Public Education, Advocacy and Communication Department;
- (v) Strategy, Research and Compliance Department;
- (vi) Corporate Services Department;
- (vii) Supply Chain Management Unit;
- (viii) Internal Audit and Risk Management Unit; and
- (ix) Advisory Unit.

### **5.3.3 Office of the Commission Secretary**

The Office of the Commission Secretary/Chief Executive Officer is responsible for the day to day management and coordination of the Commission's activities.

Specific functions of the Office of the Commission Secretary/CEO entails: -

- (i) Accounting and Authorizing Officer of the Commission
- (ii) Overseeing the administration and management of human resource function;
- (iii) Providing leadership to senior management and staff;
- (iv) Ensuring preparation of the annual budgets and establishing proper internal controls and communication channels;

- (v) Executing and communicating of commission's strategies, decisions and policies;
- (vi) Ensuring that the Commission has effective management/administrative structures including succession plans and systems;
- (vii) Ensuring that Commission papers are accurately written, are relevant and are availed to the Commission members in good time;
- (viii) Serving as the link between the Commission and the Management;
- (ix) Establishing effective administrative structures, processes and systems;
- (x) Providing regular, thorough and prompt communication to the Commission on key technical, financial and administrative matters;
- (xi) Coordinating of the Commission's performance management; and
- (xii) Responsible for stakeholder management and the enhancement of the corporate image of the Commission.

#### **5.3.4 Complaints, Investigations and Legal Department**

The Department is responsible for the management of complaints, investigations and provision of legal services. The functions of the Department entail:

- (i) Developing, review and implementing strategies and guidelines on complaints, investigations and legal;
- (ii) Coordinating handling of complaints, investigation and legal services;
- (iii) Coordinating the design and facilitation of mechanisms for formal hearings and inquiries by the Commission;
- (iv) Developing and reviewing guidelines on implementation of alternative dispute resolution mechanism;
- (v) Coordinating investigation on any conduct in state affairs, or any act or omission in public administration by any State organ, State or public officer in National and County Governments that is alleged or suspected to be prejudicial or improper or is likely to result in any impropriety or prejudice;
- (vi) Coordinating investigation on complaints of abuse of power, unfair treatment, manifest injustice or unlawful, oppressive, unfair or unresponsive official conduct within the public sector;
- (vii) Advising on modes and mechanisms for mediation and reconciliation;
- (viii) Providing advice on all legal aspects of the Commission, Regulations and other legal statutes;
- (ix) Coordinating the Commission's litigation matters with external advocates;
- (x) Coordinating and enforcing matters of non-compliance with legal and regulatory framework of licenses and other parties with the relevant department;
- (xi) Coordinating the drafting of legal instruments based on policy proposals by the stakeholders; and
- (xii) Managing complaints data base.

### **5.3.5 Access to Information (ATI) Department**

The Department is responsible for facilitating the right of access to information. The specific functions entail the following: -

- (i) Reviewing and determining applications on violation of the right of access to information;
- (ii) Initiating investigations on violations of the provisions of the ATI Act;
- (iii) Requesting, receiving and evaluating public entities reports on implementation of the ATI Act;
- (iv) Designing and facilitation of mechanisms for hearing and determination of ATI applications;
- (v) Designing and developing programmes to facilitate proactive disclosure of information and data held by public entities and private bodies;
- (vi) Designing, developing and implementing programmes for public sensitization and awareness on access to information;
- (vii) Facilitating public sensitization and awareness on the right of access to information;
- (viii) Monitoring Kenya's compliance with international treaty obligations relating to freedom of and the right of access to information;
- (ix) Providing support and guidance to public entities and private bodies on implementation of the ATI Act;
- (x) Designing and developing programmes to ensure public entities' records and information management systems are kept and maintained in a manner facilitating access to information;
- (xi) Advising on legal approach on handling access to information;
- (xii) Design and developing of programmes to ensure facilitation of protection of persons disclosing information in public interest; and
- (xiii) Preparing various reports on the status of ATI Act implementation.

### **5.3.6 Public Education, Advocacy and Communication Department**

The functions for the Public Education, Advocacy and Communication department entails the following: -

- (i) Coordinating development, review and implementation of public education, advocacy, corporate communication and social media strategies and guidelines;
- (ii) Developing public education, advocacy and communication; and media platforms content for the general public and special groups such as media and non-state actors;
- (iii) Facilitating Commission's official and public events;
- (iv) Promoting partnerships and leverage on platforms by partner organisations to create awareness and conduct public education;
- (v) Undertaking research in public education, advocacy and corporate communication;
- (vi) Coordinating sensitization and training of Ministries, Departments and Agencies on complaints management and access to information;

- (vii) Overseeing the development and implementation of crisis communication plans and advising the Commission in crisis communication; and
- (viii) Managing the Commissions Resource Centre and disseminating information to the public.

### **5.3.7 Strategy, Research and Compliance Department**

Functions of the department entails the following: -

- (i) Monitoring, evaluation of reports on compliance by state or Public Officers with the Constitutional and Statutory requirements relating to leadership, integrity and ethics;
- (ii) Carrying out relevant research on cases, current trends of dispute resolution with comparable institutions and other appropriate matters;
- (iii) Monitoring and evaluating the status of the various complaints;
- (iv) Identifying systemic issues and recommending remedial measures and proactive action;
- (v) Managing the process of carrying out relevant research on cases and others matters on administrative justice and access to information;
- (vi) Carrying out relevant research on cases, current trends of dispute resolution with comparable institutions;
- (vii) Undertaking research on systemic issues and recommending remedial measures and proactive actions;
- (viii) Reporting on compliance by State or Public Officers with the Constitutional and Statutory requirements relating to leadership, integrity and ethics;
- (ix) Developing and implementing best practices, policies, procedures and systems for research on matters of administrative justice and access to information;
- (x) Coordinating and managing complaints records; and
- (xi) Monitoring and evaluation of status of the various complaints.

### **5.3.8 Corporate Services Department**

The Corporate Services Department is responsible for the efficient and effective management of human resource, administration, finance, and ICT functions. The department functions entail the following: -

- (i) Coordinating the provision of efficient and effective corporate support services to the Commission;
- (ii) Coordinating the development, review and implementation of finance and accounts, human resource, administration and ICT policies, strategies, procedures, and guidelines for the Commission's effective performance;
- (iii) Ensuring financial prudence and discipline for financial accounting, planning, budgeting and controls in compliance with the set Government guidelines and regulations;
- (iv) Fostering a culture that promotes team capability, reflects positive values which facilitate performance, professionalism and innovation;
- (v) Maintaining the Commission's asset registers;

- (vi) Coordinating the provision of effective administrative support services such as security, office accommodation, records management, transport among others;
- (vii) Ensuring effective implementation and compliance with legislative, statutory and regulatory requirements relating to Human Resource, Finance, Accounts, Administration and ICT services;
- (viii) Coordinating the Commission's Information Communication Technology Management Systems; and
- (ix) Coordinating the mainstreaming, implementation and ensuring adherence to regulatory requirements in regard to gender and disability mainstreaming, diversity and other cross cutting obligations.

### **5.3.9 Supply Chain Management Unit**

The Supply Chain Management Unit functions entail the following: -

- (i) Interpreting and implementing the Public Procurement and Asset Disposal Act and regulations and ensure professional standards and practices;
- (ii) Developing, implementing, reviewing and monitoring of the Commission's standard operating procedures and ensure compliance;
- (iii) Coordinating the preparation and execution of the Commission's Annual procurement plan;
- (iv) Design stores coding systems and stock recording methods;
- (v) Preparing and reviewing of contracts for supply of goods and provision of services;
- (vi) Monitoring contract management by user departments to ensure implementation of contracts in accordance with the terms and conditions of the contracts;
- (vii) Ensuring timely disclosure of information on procurement opportunities and awarded contracts;
- (viii) Preparing the Asset Disposal Plan;
- (ix) Managing the procurement and asset disposal process of the commission;
- (x) Maintaining Asset register;
- (xi) Evaluating the performance of vendors;
- (xii) Preparing periodic reports for submission to the Public Procurement Oversight Authority;
- (xiii) Co-ordinating and management of tendering process; and
- (xiv) Ensuring proper custody of stores for purposes of preventing wastage and loss in ensuring continuous utilization of supplies.

### **5.3.10 Internal Audit and Risk Management Unit**

The unit head reports functionally to the Commission and administratively to the Commission Secretary. The Internal Audit section provides an independent, objective assurance and improved effectiveness of risk management, control, and

governance processes whereas the Risk management section is responsible for the implementation, execution and monitoring of the risk management framework.

### **5.3.11 Advisory Unit**

The Unit is domiciled in the Office of the Commission Chair and performs the following.

- (i) Providing advisory opinions and proposals on improvement of public administration; ;
- (ii) Processing and co-ordination of hearing of Appeals registered in the Chairperson's Office;
- (iii) Establishing and Managing both local and international partnerships;
- (iv) Coordinating protocol and administrative arrangements for the Chairperson and Commissioners; and
- (v) Preparing speeches and presentations for the Chairperson;

## **5.4 Capacity Building Strategy**

The Commission's capacity building strategy will be geared towards addressing the existing shortage of staff, undertaking demand-driven staff training and development programmes; provision of adequate office space both at the headquarters and the regions; and ensuring adequate facilities and equipment to facilitate effective delivery of the Commission's mandate.

To address any shortage of staff, the Commission will undertake progressive staff recruitment in line with the optimal staffing compliment determined through the job evaluation exercise and a comprehensive staff and skills audit.

Other key steps that will be deployed to strengthen institutional capacity of the Commission include: (i) Strengthening of the policies, systems and operational procedures; (ii) prudent data and records management; (iii) continuous research; (iv) improved corporate governance framework; (v) escalated stakeholder engagement; (vi) effective change management; (vii) benchmarking with global-best practices in administrative justice; and (viii) elaborate monitoring, evaluation and reporting framework.

With regard to training, the Commission will conduct a comprehensive training needs assessment (TNA) to identify the training requirements in line with its strategic direction. The TNA will assist the Commission in developing appropriate annual training plans that are aligned to and relevant to the Strategic Plan.



## CHAPTER SIX

### 6.0 FINANCIAL RESOURCES

#### 6.1 Projected Sources of Finance

The programmes and activities in this Strategic Plan will be financed by the following sources:

- a) Government of Kenya (GoK);
- b) Bilateral support; and
- c) Strategic Alliances and Partnerships (Technical support).

#### 6.2 Projected Financial Resource Requirements

The seven Strategic Objectives will be achieved through various strategies and activities as outlined in the Strategic Model in Chapter 4. The financial resources required for implementing the strategies and activities are outlined in the implementation matrix. The total amount required for the 2019/20 - 2023/24 period is **Ksh.4.39 Billion** as presented in Table 6.2.1

**Table 6.2.1: Financial Resource Requirements for Implementation of the Strategic Plan**

|    | Strategic Theme                                     | Strategic Objective  | Resource Requirements<br>(Million KSh) |         |         |         |         | Total<br>(Million KSh) |
|----|---|--|--|---------|---------|---------|---------|------------------------|
|    |   |  | 2019/20                                | 2020/21 | 2021/22 | 2022/23 | 2023/24 |                        |
| 1. | Resolution of Public Complaints.                    | <i>Strategic Objective No. 1: To strengthen public service systems, processes, procedures and practices.</i> | 12.30                                  | 26.62   | 35.46   | 28.11   | 33.26   | 135.75                 |
|    |   | <i>Strategic Objective No. 2: To strengthen complaints handling capacity in the public sector.</i>           | 8.39                                   | 9.10    | 9.73    | 10.07   | 10.51   | 47.80                  |
| 2. | Oversight and Enforcement of Access to Information. | <i>Strategic Objective No. 3: To promote disclosure of information within public and private sectors.</i>    | 4.27                                   | 29.18   | 21.53   | 18.66   | 29.00   | 102.64                 |
|    |   | <i>Strategic Objective No. 4: To strengthen the framework on</i>   | 7.00                                   | 9.50    | 9.70    | 8.00    | 8.00    | 42.20                  |

|              | Strategic Theme                                   | Strategic Objective   | Resource Requirements (Million KSh) |               |               |               |                 | Total (Million KSh) |
|--------------|---|---|-------------------------------------|---------------|---------------|---------------|-----------------|---------------------|
|              |   |   | 2019/20                             | 2020/21       | 2021/22       | 2022/23       | 2023/24         |                     |
|              |   | <i>access to information.</i>   |                                     |               |               |               |                 |                     |
| 3.           | Public Education, Awareness and Visibility.       | <i>Strategic Objective No. 5: To enhance awareness and understanding of the Commission's mandate.</i>                 | 52.00                               | 78.65         | 80.65         | 78.15         | 83.40           | 372.85              |
| 4.           | Institutional Strengthening and Capacity Building | <i>Strategic Objective No. 6: To strengthen the capacity of the Commission to effectively deliver on its mandate.</i> | 480.18                              | 741.84        | 770.76        | 809.85        | 856.82          | 3,659.45            |
|              |   | <i>Strategic objective No.7 :To mobilize adequate resources</i>   | 1.30                                | 8.05          | 7..60         | 5.60          | 8.62            | 31.17               |
| <b>TOTAL</b> |   |   | <b>565.44</b>                       | <b>902.94</b> | <b>935.43</b> | <b>958.44</b> | <b>1,029.61</b> | <b>4,391.86</b>     |

### 6.3 Projected Resource Inflows for the Commission

The financial resource requirements for implementing the Commission's strategic plan as outlined in table 6.2.1 is Ksh. 4.39 Billion while the projected cash inflows as budgetary allocation from the government as presented in Table 6.3.1 is Ksh. 3.50965 Billion, leading to a deficit of Ksh. 0.882 Billion.

**Table 6.3.1: Projected Resource Inflows for the Commission**

|    | Source  | Expected Resources (Million Ksh.) |         |         |         |          | Total (Million Ksh.) |
|----|---|-----------------------------------|---------|---------|---------|----------|----------------------|
|    |   | 2019/20                           | 2020/21 | 2021/22 | 2022/23 | 2023/24  |                      |
| 1. | Expected GoK Allocations                          | 520.32                            | 649.60  | 718.63  | 781.12  | 839.98   | 3,509.65             |
| 2. | Resource requirement as the implementation matrix | 565.44                            | 902.94  | 935.43  | 958.44  | 1,029.61 | 4,391.86             |
| 3. | Resource Deficit                                  | 45.12                             | 253.34  | 216.80  | 177.32  | 189.63   | 882.21               |
| 4. | Grants/bilateral/multilateral support             | 0.00                              | 15.00   | 25.00   | 35.00   | 45.00    | 120.00               |
| 5. | Technical Assistance                              | 45.12                             | 65.00   | 80.00   | 95.00   | 110.00   | 400.00               |

## CHAPTER SEVEN

### 7.0 MONITORING, EVALUATION AND REPORTING

The Purpose of Monitoring, Evaluation and Reporting is to ensure that the Strategic Plan implementation progresses according to the required schedule and in the event of any deviation, appropriate and timely remedial action is taken. The Monitoring, Evaluation and Reporting process will be undertaken at both the Commission and Management levels.

Monitoring, Evaluation and Reporting (ME&R) is a critical component for the successful implementation of any Strategic Plan. The ME&R process is instrumental in tracking implementation of programmes, assessing the extent of achievements and providing critical information regarding the implementation status. The process forms the basis for initiating corrective actions where variances between the Plan and the implementation status are noted. It also provides the feedback necessary to arrest any deviations from the Plan. This would enable the Commission and Management to make informed decisions based on evidence. This Chapter outlines CAJ's framework for carrying out Monitoring, Evaluation and Reporting.

#### 7.1 At the Commission Level

The implementation of the Strategic Plan will be closely monitored by the Commission to ensure its accomplishment. The monitoring process will help determine whether the implementation is on course. Monitoring, follow-up and control systems will be established at all levels. These will include review meetings, budgets, budgeting control systems and progress reports from the Management. These will include review meetings, budgets, budgeting control systems and progress reports from the organisation's Monitoring, Evaluation and Reporting Committee, through the Commission Secretary/CEO.

Quarterly review meetings will be held between the Management and the Commission. During these meetings, the Commission will receive and review progress reports from the Commission Secretary/Chief Executive Officer indicating overall progress made on key strategic objectives. The nature and scope of reporting will include:

- (a) Progress made in implementation against what was planned;
- (b) Causes of deviation from Plan, if any;
- (c) Areas of difficulties and suggested solutions to challenges that may adversely affect implementation; and
- (d) Proposed corrective measures.

The input of these quarterly Board meetings will be the output from the Monitoring and Evaluation reports and fortnightly Management meetings.

## **7.2 At Management Level**

The Strategic Plan alone does not mean the achievement or implementation of the objectives. Monitoring, Evaluation and Reporting provides the back-up necessary to ensure that the set objectives are achieved. During the formulation of the Strategic Plan, the implementation plan indicators and projections are sometimes based on past experiences. These however, may change in the course of the implementation and thus a management control system will be necessary to ensure the Plan stays on course.

Monitoring will involve routine data collection and analysis on the progress in implementation of the Strategic Plan. The results from the analysis will then be used to inform decision-making, including taking corrective action where deviations in implementation have been noted. The Directorate of Risk and Compliance will coordinate collection of M&E data, analysis and reporting. It will provide technical support and facilitate M&E capacity building in liaison with the Human Resource and Administration function. Monitoring, Evaluation and Reporting mechanisms will be institutionalized by establishing an M & E Committee, consisting of all heads of departments and chaired by the Commission Secretary/CEO, and by operationalising M & E activities in all the directorates, departments and branch offices. Funds will be allocated for M & E activities.

The Monitoring and Evaluation Committee will take full responsibility for overseeing the implementation of the Plan over the entire Strategic Planning period. The Committee will continuously monitor and evaluate all strategies, activities and outcomes with a view to advising the Commission on the implementation status as well as providing feasible policy and strategy alternatives. This will be done on quarterly basis and the same will inform update of the Commission by the Chief Executive Officer.

All staff will be required to keep records of the lessons learnt during implementation of the Plan and to the largest extent possible ensure this information is available on real-time basis. A system of disseminating the lessons learnt to users will be developed as part of the M & E Strategy. The Directorate of Risk and Compliance, as part of its overall M & E coordination, will be expected to monitor the documentation and effective utilization of lessons learnt. Annual service delivery/customer and stakeholder satisfaction surveys will be undertaken to gauge the achievement of the set objectives and evaluate the extent of service delivery.

The Commission will also Cascade the Strategic Plan downwards to facilitate ownership of the Strategic Plan by all Directorates, Departments, Branch offices and downwards to the individual level. The functions will monitor programmes and

projects administered within their respective jurisdictions and subsequently submit quarterly and annual M&E reports to the Directorate of Risk and Compliance, who will in turn submit the same to the CEO for onward feedback to Commission. These reports will be reviewed regularly against the set targets to measure progress.

The Strategic Plan will be evaluated during and after implementation to gauge the extent of achievement of the intended results. The evaluation will be carried out using relevance, efficiency, effectiveness, sustainability and impact measures. A mid-term review will also be carried out. The implementation matrix will help track and monitor progress in the implementation of the Plan.

### **7.2.1 Management Control Function**

In carrying out the management control function, the Commission will consider the following initiatives:

- a) Setting of clear Performance Standards and Targets;
- b) Setting of clear Performance Indicators and Measures;
- c) Regular Performance Evaluation/Appraisal;
- d) Linkage of Rewards to Performance;
- e) Budgets and Expenditure Review;
- f) Management Reports;
- g) Implementation Programme/Matrix; and
- h) Strategic Plan Review Meetings.

### **7.2.2 Strategic control mechanism**

The control mechanisms that the Commission will deploy include:

- a) Development of annual Work plans; and
- b) Assessment of whether results produced by the implemented activity were those forecast as outputs and, whether they were achieved to the expected performance standards/measures.

## **7.3 Review of the Strategic Plan**

Annual review of the implementation status of the Strategic Plan will be undertaken to inform the development of the subsequent Annual Work Plans over the Strategic Planning period. A Mid-Term review of the Strategic Plan will be carried out in Mid-2021 to assess progress in implementation. The report of this review will guide implementation of programmes during the remaining duration of the Plan. Towards the end of the Strategic Plan implementation period, a terminal or End-Term review will be carried out to assess overall implementation status and provide critical learning points that will inform development of the next Strategic Plan.

## **7.4 Reporting of Results**

The Directorate of Risk and Compliance will be charged with the actual monitoring of implementation and preparation of reports. The Directorate will prepare quarterly M&E reports for discussion by the Commission. Regular meetings will be held to discuss progress reports and provide strategic direction to the implementation process. The reports will thereafter be submitted to the Commission for deliberation and policy decision-making. They will contain information on implementation of the Strategic Plan and explain any variation in expected performance, discuss challenges faced and emerging issues, lessons learnt so far and make any recommendations with regard to the implementation process. The Commission will also undertake an annual review of the implementation status and incorporate any necessary changes. Specific issues will be identified and action plans prepared to address any bottlenecks in the implementation of the Strategy.

## **7.5 Indicators for Monitoring and Evaluation of the Strategic Plan**

The following indicators will be utilized for monitoring, evaluation and reporting:

- a) Percentage of complaints resolved (also consider number to show trends and effort);
- b) Turn-around time;
- c) Customer/Stakeholder satisfaction index;
- d) Level of compliance by institutions with ATI obligations;
- e) Number of sensitization fora held and number of people sensitized on access to information;
- f) Amended CAJ Act and regulations;
- g) ATI Regulations adapted;
- h) Work Environment and Employee Satisfaction Index;
- i) Number of regional offices established and operationalized;
- j) Level of business processes automated/Business automation index;
- k) Number of new staff recruited based on skills gap analysis;
- l) Productivity improvement index;
- m) Number of new service delivery points established;
- n) Percentage increase in level of financial resources mobilized;
- o) Absorption rate;
- p) Level of budgetary compliance and alignment to work plans;
- q) Risk scores;
- r) Governance index; and
- s) Optimality in capacity utilization.

**APPENDIX 1: IMPLEMENTATION MATRIX**

|                                  |  |
|----------------------------------|--|
| <b>STRATEGIC THEME 1</b>         | <b>RESOLUTION OF PUBLIC COMPLAINTS.</b>  |
| <b>Strategic Issue 1</b>         | <b>Inefficient administrative systems, processes, procedures and practices in the public sector.</b> |
| <b>Strategic Objective 1.1.1</b> | <b>To strengthen public service systems, processes, procedures and practices.</b>                    |

| Strategies                         | Activities                            | Responsibility Centre | Time Frame            | Expected Output                 | Output Indicator                  | Target      |             |             |             |             | Budgetary Requirements<br>(In Million KShs.) |             |             |             |             |
|------------------------------------|---------------------------------------|-----------------------|-----------------------|---------------------------------|-----------------------------------|-------------|-------------|-------------|-------------|-------------|--|-------------|-------------|-------------|-------------|
|                                    |                                       |                       |                       |                                 |                                   | 2019/<br>20 | 2020/<br>21 | 2021/<br>22 | 2022/<br>23 | 2023/<br>24 | 2019/<br>20                                  | 2020/<br>21 | 2021/<br>22 | 2022/<br>23 | 2023/<br>24 |
| 1. Resolve public complaints.      | a) Inquire into complaints            | CI&L                  | Yr. (1-5)             | Resolved complaints             | Percentage of Complaints resolved | 100%        | 100%        | 100%        | 100%        | 100%        | 0.50   | 1.00        | 1.50        | 2.00        | 2.00        |
|                                    | b) Conduct public inquiries/ hearings | CI&L                  | Yr. (2-5)             | Resolved complaint              | Percentage of complaints resolved | -           | 100%        | 100%        | -           | 100%        | -  | 5.00        | 10.00       | -           | 10.00       |
|                                    |                                       |                       |                       | Public hearing report           | Number public hearing reports     | -           | 1           | 2           | -           | 2           | -  | 10.00       | -           | 10.00       |             |
| c) Conduct specific investigations | CI&L                                  | Yr. (1-5)             | Investigation reports | Number of investigation reports | 10                                | 8           | 8           | 8           | 8           | 1.32        | 1.30   | 1.50        | 2.00        | 2.00        |             |

| Strategies   | Activities  | Responsibility Centre | Time Frame | Expected Output                 | Output Indicator                                | Target  |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|---|-----------------------|------------|---------------------------------|---|---------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |   |                       |            |                                 |   | 2019/20 | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|  | d) Develop framework for citation register  | AU                    | Yr. (2)    | Framework for citation register | Report on citation register framework           | -       | 1       | -       | -       | -       | -   | 2.00    | -       | -       | -       |
| 2. Promote and mainstream best practices and standards | a) Undertake public interest litigation   | CI&L                  | Yr. (2-5)  | Resolved cases                  | Number of Public Interest Litigation instituted | -       | 1       | 1       | 1       | 1       | -   | 2.00    | 2.00    | 2.00    | 2.00    |
|  | b) Monitor / observe important national activities including elections, recruitment of police, national exams | SR&C/                 | Yr. (2-5)  | Compliance on best practices    | Report on national activities monitored.        | -       | Various | Various | Various | Various | -   | 5.00    | 5.50    | 10.00   | 5.50    |
|  | c) Undertake Huduma Ombudsman Award   | PEA&C                 | Yr. (1-5)  | Award of Winners                | Annual Huduma Ombudsman Award Report            | 1       | 1       | 1       | 1       | 1       | 3.30                                      | 5.00    | 5.50    | 6.00    | 6.00    |



| Strategies  | Activities  | Responsibility Centre | Time Frame | Expected Output  | Output Indicator                                 | Target  |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---|---|-----------------------|------------|--|--|---------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|   |   |                       |            |  |  | 2019/20 | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|   | d) Develop model policies and procedures on complaints resolution and Access to Information | CI&L/ATI              | Yr. (1)    | Model Policy on Complaints resolution and ATI          | Model Policy developed                           | 4       | -       | -       | -       | -       | 3.00                                      | -       | -       | -       | -       |
|   | e) Develop and publish guides/publications on complaints and ATI                            | CI&L/ATI              | Yr. (3)    | Guides and publication on complaints and ATI Developed | Number of guides developed and published         | -       | -       | 2       | -       | -       | -   | -       | 4.00    | -       | -       |
| 3. Provide proposals on improvement of public administration. | a) Issue advisory opinions and proposals  | AU                    | Yr. (2-5)  | Advisory opinions and proposals                        | Number of Advisory Opinions and proposals issued | -       | 2       | 2       | 3       | 2       | -   | 1.00    | 1.00    | 1.50    | 1.00    |
|   | b) Undertake research on administrative justice   | SR&C                  | Yr. (1-5)  | Research report  | Number of reports                                | 1       | 1       | 1       | 1       | 1       | 2.15                                      | 2.22    | 2.29    | 2.37    | 2.45    |
|   | c) Conduct systemic investigations  | CI&L                  | Yr. (1-5)  | Systemic Investigations reports                        | Number of reports                                | 3       | 3       | 4       | 4       | 4       | 2.03                                      | 2.10    | 2.17    | 2.24    | 2.31    |

| Strategies   | Activities  | Responsibility Centre   | Time Frame | Expected Output                                 | Output Indicator                                  | Target     |            |            |            |            | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|---|---|------------|---|---|------------|------------|------------|------------|------------|---|---------|---------|---------|---------|
|  |   |   |            |   |   | 2019/20    | 2020/21    | 2021/22    | 2022/23    | 2023/24    | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| <b>Strategic issue 2</b>                             |   | <b>Inadequate capacity in the management of public complaints.</b>      |            |   |   |            |            |            |            |            |   |         |         |         |         |
| <b>Strategic objective 1.2.1</b>                     |   | <b>To strengthen complaints handling capacity in the public sector.</b> |            |   |   |            |            |            |            |            |   |         |         |         |         |
| 1. Facilitate and build complaints handling capacity | a) Conduct sensitization and training to county governments and MDAs on complaints handling and ATI | PEA&C   | Yr. (1-5)  | Trained public officers                         | Number of County Government and MDA staff trained | 250<br>120 | 250<br>170 | 250<br>200 | 250<br>230 | 250<br>250 | 3.05                                      | 3.14    | 3.23    | 3.33    | 3.43    |
|  | b) Carry out compliance audits on the effectiveness of service delivery standards                   | SR&C  | Yr. (1-5)  | Spot checks                                     | Number of spot checks conducted                   | 6          | 8          | 10         | 12         | 14         | 0.73                                      | 0.74    | 0.76    | 0.78    | 0.80    |
|  | c) Coordinate CAJ performance contracting obligations   | SR&C  | Yr. (1-5)  | Compliance Certification of Public Institutions | Number of public institutions certified           | 280        | 300        | 300        | 300        | 300        | 0.08                                      | 0.10    | 0.10    | 0.10    | 0.10    |

| Strategies                                       | Activities  | Responsibility Centre | Time Frame | Expected Output   | Output Indicator                              | Target  |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|---|-----------------------|------------|---|---|---------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |   |                       |            |   |   | 2019/20 | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|  | d) Provide technical support to public institutions in setting up complaints handling mechanisms and access to information infrastructure | CI&L/ATI              | Yr. (1-5)  | Technical Support / Skills transfer on infrastructure set-up. | Number of public institutions supported       | 20      | 25      | 30      | 30      | 35      | 0.60                                      | 0.62    | 0.64    | 0.66    | 0.68    |
|  | e) Monitor compliance with implementation of the Commission's recommendations and decisions   | CI&L/ATI              | Yr. (1-5)  | Compliance status   | Report on level of compliance                 | 1       | 1       | 1       | 1       | 1       | 0.43                                      | 1.00    | 1.50    | 1.70    | 2.00    |
| 2. Promote use of alternative dispute resolution | a) Undertake ADR on complaints  | CI&L/ATI              | Yr. (2-5)  | Resolved complaints   | Percentage of Complaints resolved through ADR | 100%    | 100%    | 100%    | 100%    | 100%    | 1.00                                      | 1.00    | 1.00    | 1.00    | 1.00    |

| Strategies | Activities   | Responsibility Centre | Time Frame | Expected Output | Output Indicator    | Target  |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|------------|--|-----------------------|------------|-----------------|---------------------|---------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|            |  |                       |            |                 |                     | 2019/20 | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | b) Build capacities on use of Alternative Dispute Resolution | PEA&C                 | Yr. (1-5)  | Training Report | Number of Trainings | 4       | 4       | 4       | 4       | 4       | 2.50                                      | 2.50    | 2.50    | 2.50    | 2.50    |

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| <b>STRATEGIC THEME 2</b>         | <b>OVERSIGHT AND ENFORCEMENT OF ACCESS TO INFORMATION.</b>  |
| <b>Strategic Issue 1</b>         | <b>Inadequate access to information and culture of secrecy within public and private sectors.</b> |
| <b>Strategic Objective 2.1.1</b> | <b>To promote disclosure of information within public and private sectors.</b>                    |

| Strategies                              | Activities  | Responsibility Centre | Time Frame | Expected Output                                | Output Indicator                           | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---|---|-----------------------|------------|--|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|   |   |                       |            |  |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| a) <i>Enforce access to information</i> | a) Inquire into and investigate applications on ATI           | ATI                   | Yr. (1-5)  | Reports  | Number of reports                          | 1                   | 6       | 6       | 6       | 6       | -   | 0.44    | 0.80    | 1.00    | 1.45    |
|   | b) Adjudicate on applications on ATI                          | ATI                   | Yr. (1-5)  | Judgements and rulings                         | Number of cases filed                      | 2                   | 4       | 4       | 4       | 4       | 0.50                                      | 1.00    | 1.50    | 2.00    | 2.00    |
|   | c) Undertake suo moto investigations and inquiries on ATI     | ATI                   | Yr. (1-5)  | Determinations on ATI Investigations/inquiries | Number of investigation reports            | 1                   | 2       | 2       | 2       | 2       | -   | 0.44    | 0.80    | 1.00    | 1.50    |
|   | d) Undertake and participate in key ATI public interest cases | ATI/CI&L              | Yr. (1-5)  | Judgements and rulings                         | Number of public interest cases undertaken | -                   | 1       | 1       | 1       | 1       | -   | 2.00    | 2.00    | 2.00    | 2.00    |

| Strategies | Activities   | Responsibility Centre | Time Frame | Expected Output   | Output Indicator                              | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|------------|--|-----------------------|------------|---|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|            |  |                       |            |   |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | e) Provide Technical support to institutions on implementation of the ATI Act  | ATI/PEA &C            | Yr. (1-5)  | Technical support on ATI  | Number of Institutions compliant with ATI Act | 20                  | 25      | 25      | 20      | 25      | 1.00                                      | 1.25    | 1.25    | 1.25    | 1.50    |
|            | f) Develop reporting guides for public entities  | ATI                   | Yr. (1-5)  | ATI reporting guidelines  | Number of reporting guides developed          | -                   | 1       | 1       | 1       | 1       | -   | 0.80    | 0.85    | 0.90    | 0.95    |
|            | g) Undertake research on ATI matters   | ATI/SR&C              | Yr. (1-5)  | Report  | Number of reports                             | 1                   | 1       | 1       | 1       | 1       | 2.37                                      | 2.45    | 2.53    | 2.61    | 2.70    |
|            | h) Ensure proactive disclosure of information and processing of ATI applications through certification of institutions | SR&C/ATI              | Yr. (1-5)  | Report on compliance with proactive disclosure<br><br>ATI compliance survey | Number of reports                             | 1                   | 1       | 1       | 1       | 1       | -   | 3.00    | -       | -       | 4.00    |

| Strategies                 | Activities   | Responsibility Centre | Time Frame | Expected Output                                | Output Indicator                                    | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|----------------------------|--|-----------------------|------------|--|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|                            |  |                       |            |  |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|                            | i) Establish and operationalize an ATI office  | CSD                   | Yr. (2-3)  | Status Report                                  | Number of Reports on Establishment of an ATI Office | -                   | 1       | 1       | -       | -       | -   | 0.00    | 0.00    | -       | -       |
| 2. Promote open governance | a) Empower ATI officers on their obligations under the Act in both public and private sectors.         | ATI/PEA &C            | Yr. (1-5)  | Training report                                | Report on public officers trained                   | -                   | 1       | 1       | 1       | 1       | -   | 3.00    | 3.00    | 3.00    | 3.00    |
|                            | b) Create awareness and sensitize private entities in different sectors                                | PEA&C                 | Yr. (1-5)  | Activity report                                | Report on private entities sensitized               | -                   | 1       | 1       | 1       | 1       | -   | 3.00    | 3.00    | 3.00    | 3.00    |
|                            | c) Establish linkages/partnerships with relevant stakeholders on use of open data                      | ATI                   | Yr. (1-5)  | Partnership agreements on ATI                  | Memorandum established                              | 2                   | 2       | 2       | 2       | 2       | 0.40                                      | 0.50    | 0.50    | 0.60    | 0.60    |
|                            | d) Support the development of ATI manuals, policies and guidelines for national and county governments | ATI                   | Yr. (2; 3) | ATI manuals, policies and guidelines developed | Number of Counties supported                        | -                   | 6       | 9       | -       | -       | -   | 2.50    | 4.00    | -       | -       |

| Strategies   | Activities   | Responsibility Centre | Time Frame | Expected Output              | Output Indicator                                      | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|--|-----------------------|------------|------------------------------|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |  |                       |            |                              |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|  | e) Develop standards on requests for information   | ATI                   | Yr. (2)    | Standards developed          | Standards used by Public institutions                 | -                   | 1       | -       | -       | -       | -   | 2.00    | -       | -       | -       |
|  | f) Develop guidelines on limitations under the ATI.  | ATI                   | Yr. (2)    | Guidelines on ATI limitation | Approved Guidelines on Limitation under ATI           | -                   | 1       | -       | -       | -       | -   | 1.50    | -       | -       | -       |
| 3. Monitor Kenya's compliance with International ATI obligations | a) Collect data on implementation of ATI   | ATI                   | Yr. (1-5)  | Reports                      | Report on ATI   | -                   | 2       | 2       | 2       | 2       | -   | 1.30    | 1.30    | 1.30    | 1.30    |
|  | b) Prepare and submit reports on Kenya's implementation of international access to information obligations | ATI                   | Yr. (2, 5) | Survey report                | Report on implementation to international obligations | -                   | 1       | -       | -       | 1       | -   | 4.00    | -       | -       | 5.00    |



| Strategies   | Activities   | Responsibility Centre  | Time Frame | Expected Output                                       | Output Indicator                       | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|--|--|------------|---|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |  |  |            |   |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| <b>Strategic issue 2</b>                               |  | <b>Inadequate framework on access to information.</b>        |            |   |  |                     |         |         |         |         |   |         |         |         |         |
| <b>Strategic objective 2.2.1</b>                       |  | <b>To strengthen the framework on access to information.</b> |            |   |  |                     |         |         |         |         |   |         |         |         |         |
| 1. Strengthen records management framework.            | a) Monitor computerisation of records and development of information management systems in the public sector | ATI  | Yr. (1-5)  | Report on computerisation of records in public sector | Number of reports                      | -                   | 1       | 1       | 1       | 1       | -   | 2.50    | 2.70    | 3.00    | 3.00    |
|  | b) Monitor records management in public entities   | ATI  | Yr. (2-5)  | Report  | Number of institutions monitored       | -                   | 5       | 5       | 5       | 5       | -   | 0.50    | 0.50    | 0.50    | 0.50    |
|  | c) Review requests for disposal of official records.   | ATI  | Yr. (1-5)  | Determination on records disposal                     | Percentage of reviews conducted        | 100%                | 100%    | 100%    | 100%    | 100%    | 0.50                                      | 0.50    | 0.50    | 0.50    | 0.50    |
| 2. Strengthen the existing policy and legal framework. | a) Develop manuals and standard operating procedures on ATI  | ATI/CI&L   | Yr. (2)    | Policy and procedures manual on ATI                   | Policy and procedures manual developed | 1                   | -       | -       | -       | -       | 0.50                                      | -       | -       | -       | -       |

| Strategies | Activities   | Responsibility Centre | Time Frame | Expected Output                                    | Output Indicator  | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|------------|--|-----------------------|------------|--|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|            |  |                       |            |  |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | b) Develop a National Policy on ATI                  | ATI                   | Yr. (3)    | National Policy on ATI                             | National Policy on ATI developed                                  | -                   | -       | 1       | -       | -       | -   | -       | 6.00    | -       | -       |
|            | c) Develop subsidiary legislations on ATI            | ATI/CI&L              | Yr. (1-2)  | Subsidiary legislations on ATI                     | Subsidiary legislations on ATI passed by parliament               | 1                   | 1       | -       | -       | -       | 63.00                                     | 6.00    | -       | -       | -       |
|            | d) Develop a model law on ATI for county governments | ATI/CI&L              | Yr. (4-5)  | County model law on ATI developed and domesticated | Model Law<br>No. of Counties which have domesticated the ATI law. | -                   | -       | -       | 1       | 1       | -   | -       | -       | 4.00    | 4.00    |

|                                  |   |
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| <b>STRATEGIC THEME 3</b>         | <b>PUBLIC EDUCATION, AWARENESS AND VISIBILITY.</b>                              |
| <b>Strategic Issue 1</b>         | <b>Insufficient public education and awareness on the Commission's mandate.</b> |
| <b>Strategic Objective 3.1.1</b> | <b>To enhance awareness and understanding of the Commission's mandate.</b>      |

| Strategies                                 | Activities  | Responsibility Centre | Time Frame | Expected Output | Output Indicator                 | Performance Targets |         |         |         |         | Budgetary Requirements<br>(In Million Ksh.) |         |         |         |         |
|--|---|-----------------------|------------|-----------------|----------------------------------|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |   |                       |            |                 |                                  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                     | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| 1.Undertake public education and awareness | a) Hold outreach forums to create public awareness on the mandate of the Commission, policies and procedures. | PEA&C                 | Yr. (1-5)  | Outreach forums | Number of outreach forums held   | 20                  | 40      | 40      | 40      | 40      | 10.00                                       | 20.00   | 22.00   | 24.00   | 24.00   |
|  | b) Design, produce and disseminate IEC materials  | PEA&C                 | Yr. (1-5)  | IEC Materials   | Number of IEC materials produced | 150,000             | 150,000 | 150,000 | 150,000 | 150,000 | 3.00  | 3.20    | 3.40    | 3.60    | 3.80    |
|  | c) Carry out outdoor, electronic and print advertisements   | PEA&C                 | Yr. (1-5)  | Advertisements  | Number of adverts                | 10                  | 10      | 10      | 10      | 10      | 15.00                                       | 15.00   | 16.00   | 17.00   | 17.00   |

| Strategies | Activities                                 | Responsibility Centre | Time Frame | Expected Output  | Output Indicator                                  | Performance Targets |         |         |         |         | Budgetary Requirements<br>(In Million Ksh.) |         |         |         |         |
|------------|--|-----------------------|------------|--|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|            |  |                       |            |  |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                     | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | d) Undertake radio and TV programs         | PEA&C                 | Yr. (1-5)  | Improve visibility & understanding of Commission's mandate | Number of radio & TV programs undertaken          | 15                  | 15      | 15      | 15      | 15      | 20.00                                       | 20.00   | 21.00   | 22.00   | 22.00   |
|            | e) Produce and disseminate documentary     | PEA&C                 | Yr. (2; 5) | milestone Documentary                                      | Number of documentaries produced and disseminated | -                   | 1       | -       | -       | 1       | -   | 2.50    | -       | -       | 2.50    |
|            | f) Conduct communication surveys           | PEA&C                 | Yr. (3)    | Survey Report  | Number of surveys conducted                       | -                   | -       | 1       | -       | -       | -   | -       | 2.00    | -       | -       |
|            | g) Conduct legal-aid clinics and education | CI&L/PE A&C           | Yr. (1-5)  | Report on legal aid clinics                                | Number of legal-aid clinics reports               | 2                   | 4       | 4       | 4       | 4       | 1.50  | 3.00    | 3.20    | 3.20    | 3.40    |

| Strategies   | Activities                                     | Responsibility Centre | Time Frame | Expected Output        | Output Indicator                        | Performance Targets |         |         |         |         | Budgetary Requirements<br>(In Million Ksh.) |         |         |         |         |
|--|--|-----------------------|------------|------------------------|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |  |                       |            |                        |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                     | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| 2. Enhance the Commission's corporate image and visibility | a) Media engagements                           | PEA&C                 | Yr. (1-5)  | Media engagements      | Number of media engagement sessions     | 4                   | 4       | 4       | 4       | 4       | 0.20  | 0.20    | 0.25    | 0.30    | 0.30    |
|  | b) Acquire modern tools for communication      | PEA&C                 | Yr. (1-5)  | Commission tools       | Number of communication tools acquired  | 5                   | 5       | 5       | 5       | 5       | 1.00  | 1.00    | 1.00    | 1.00    | 1.00    |
|  | c) Enhance branding                            | PEA&C                 | Yr. (2-5)  | Branded CAJ facilities | Number of branding CAJ facilities       | -                   | 10      | 10      | 5       | 5       | -   | 10.00   | 10.00   | 5.00    | 5.00    |
|  | d) Undertake periodic brand visibility surveys | PEA&C                 | Yr. (2; 5) | Visibility surveys     | Number of visibility surveys undertaken | -                   | 1       | -       | -       | 1       | -   | 2.00    | -       | -       | 2.20    |
|  | e) Design and produce branded materials        | PEA&C                 | Yr. (1-5)  | Branded materials      | Number of branded materials produced    | 30                  | 50      | 50      | 50      | 50      | 0.60  | 1.00    | 1.00    | 1.00    | 1.00    |

| Strategies | Activities  | Responsibility Centre | Time Frame | Expected Output   | Output Indicator                           | Performance Targets |         |         |         |         | Budgetary Requirements<br>(In Million Ksh.) |         |         |         |         |
|------------|---|-----------------------|------------|---|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|            |   |                       |            |   |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                     | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | f) Strengthen online presence through website and social media platforms          | PEA&C                 | Yr. (1-5)  | Continuously updated website and social media platforms | Percentage increase in website traffic,    | 60%                 | 60%     | 60%     | 60%     | 60%     | 0.50  | 0.50    | 0.50    | 0.70    | 0.80    |
|            | g) Document and share milestones through website and other publications/platforms | PEA&C                 | Yr. (1-5)  | Articles and publications shared                        | Number of articles and publications shared | 60                  | 80      | 100     | 120     | 120     | 0.20  | 0.25    | 0.30    | 0.35    | 0.40    |
|            | h) Undertake periodic monitoring of mainstream and social media platforms         | PEA&C                 | Yr. (1-5)  | Media monitoring reports                                | Number of reports generated                | 12                  | 12      | 12      | 12      | 12      | 0.00  | 0.00    | 0.00    | 0.00    | 0.00    |

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| <b>STRATEGIC THEME 4</b>         | <b>INSTITUTIONAL STRENGTHENING AND CAPACITY BUILDING.</b>                                  |
| <b>Strategic Issue 1</b>         | <b>Inadequate institutional capacity.</b>  |
| <b>Strategic Objective 4.1.1</b> | <b>To strengthen the capacity of the Commission to effectively deliver on its mandate.</b> |

| Strategies  | Activities  | Responsibility Centre | Time Frame | Expected Output  | Output Indicator   | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---|---|-----------------------|------------|--|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|   |   |                       |            |  |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| 1. Strengthen the institutional policy and legal framework. | a) Develop, review and implement the legal and policy framework                   | CI&L                  | Yr. (1-3)  | Institutional policy and legal framework                       | Policy & legal framework developed                                 | 1                   | 2       | 2       | -       | -       | 0.60                                      | 1.20    | 1.20    | -       | -       |
|   | b) Develop policies and guidelines to facilitate the operations of the Commission | CSD                   | Yr. (1)    | HR Policies & Procedures Manual;                               | HR Policies & Procedures Manual developed                          | 1                   | -       | -       | -       | -       | 0.25                                      | -       | -       | -       | -       |
|   |   | CSD                   | Yr. (2)    | Career progression guidelines and a succession management plan | Succession profiles for staff<br><br>Career progression guidelines | -                   | 1       | -       | -       | -       | -   | 1.00    | -       | -       | -       |
|   |   |                       |            |  |  | -                   | 1       | -       | -       | -       | -   | -       | -       |         |         |
|   |   | CSD                   | Yr. (2)    | Disability Mainstreaming policy                                | Disability Mainstreaming policy developed                          | -                   | 1       | -       | -       | -       | -   | 0.20    | -       | -       | -       |
|   |   | CSD                   | Yr. (3)    | Sexual Harassment policy                                       | Sexual Harassment policy developed                                 | -                   | -       | 1       | -       | -       | -   | -       | 0.25    | -       | -       |
|   |   | CSD                   | Yr. (4)    | Employee Wellness policy                                       | Employee Wellness policy developed                                 | -                   | -       | -       | 1       | -       | -   | -       | -       | -       | 0.30    |

| Strategies  | Activities   | Responsibility Centre | Time Frame | Expected Output                                    | Output Indicator                   | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KSh.) |         |         |         |         |
|---|--|-----------------------|------------|--|------------------------------------|---------------------|---------|---------|---------|---------|--|---------|---------|---------|---------|
|   |  |                       |            |  |                                    | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                  | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|   |  | CSD                   | Yr. (2)    | ICT & BCP;   | ICT & BCP;                         | -                   | 1       | -       | -       | -       | -  | 0.40    | -       | -       | -       |
|   |  | IA&RM                 | Yr. (1)    | Audit procedures manual                            | Audit procedures manual developed  | 1                   | -       | -       | -       | -       | 0.6                                      | -       | -       | -       | -       |
| 2. Strengthen the audit and risk management framework | a) Enhance the internal audit approach             | IA&RM                 | Yr. (2-5)  | Audit programs                                     | Number of Audit programs developed | -                   | 5       | 8       | 8       | 9       | -  | 0.10    | 0.20    | 0.30    | 0.40    |
|   | b) Develop quality assurance improvement programs  | IA&RM                 | Yr. (2-5)  | QAIP Certification (people, processes & Equipment) | Compliance Certificate             | -                   | -       | 2       | 1       | 1       | -  | -       | 1.00    | 1.00    | 1.00    |
|   | c) Undertake governance audit                      | IA&RM                 | Yr. (2-5)  | Audit reports                                      | Number of audit reports            | -                   | 1       | 1       | 1       | 1       | -  | 0.15    | 0.20    | 0.25    | 0.30    |
|   | d) Develop institution's risk management framework | IA&RM                 | Yr. (1-5)  | Risk Assurance Reports                             | Number of risk Assurance Reports   | 1                   | 1       | 1       | 1       | 1       | 0.1                                      | 0.15    | 0.20    | 0.25    | 0.30    |
|   | e) Conduct systems review                          | IA&RM                 | Yr. (1-5)  | Systems reviews' reports                           | Number of systems reviews' reports | 3                   | 3       | 3       | 3       | 3       | 0.03                                     | 0.04    | 0.05    | 0.05    | 0.06    |



| Strategies   | Activities  | Responsibility Centre | Time Frame | Expected Output                 | Output Indicator                     | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|---|-----------------------|------------|---------------------------------|--------------------------------------|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |   |                       |            |                                 |                                      | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|  | f) Undertake soft control audit   | IA&RM                 | Yr. (1-5)  | Soft control audit reports      | Number of soft control audit reports | 1                   | 1       | 1       | 1       | 1       | 0.02                                      | 0.02    | 0.03    | 0.04    | 0.05    |
|  | g) Develop internal charters  | IA&RM                 | Yr. (1)    | Audit Charters                  | Audit Charters developed             | 2                   | -       | -       | -       | -       | -   | -       | -       | -       | -       |
| 3. Improve the performance management framework, staff capacity and work environment | a) Compensation of employees  | CSD                   | Yr. (1-5)  | Staff salaries and remuneration | Monthly payroll returns              | 112                 | 112     | 127     | 142     | 152     | 297.01                                    | 326.71  | 405.38  | 450.00  | 480.00  |
|  | b) Undertake recruitment of technical staff to enhance staff capacity             | CSD                   | Yr. (2-5)  | New staff recruited             | Number of staff recruited            | -                   | 15      | 15      | 10      | 10      | -   | 45.00   | 45.00   | 30.00   | 30.00   |
|  | c) Develop performance based reward framework                                     | CSD                   | Yr. (1)    | Reward/sanction framework       | Reward/sanction framework developed  | 1                   | -       | -       | -       | -       | 0.25                                      | -       | -       | -       | -       |
|  | d) Carry out annual performance appraisals and evaluations of performance targets | CSD                   | Yr. (1-5)  | Performance appraisal reports   | Number of appraisal reports          | 1                   | 1       | 1       | 1       | 1       | 0.00                                      | 0.00    | 0.00    | 0.00    | 0.00    |

| Strategies | Activities   | Responsibility Centre | Time Frame | Expected Output   | Output Indicator                    | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|------------|--|-----------------------|------------|---|-------------------------------------|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|            |  |                       |            |   |                                     | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | e) Reward / take corrective actions for performance gaps                                   | CSD                   | Yr. (1-5)  | Rewards / sanctions   | Performance reports                 | 1                   | 1       | 1       | 1       | 1       | 3.00                                      | 3.20    | 3.50    | 3.70    | 4.00    |
|            | f) Undertake an organisational culture audit and implement recommendations of the report   | CSD                   | Yr. (2)    | Culture Audit report  | undertaken                          | -                   | 1       | -       | -       | -       | -   | 0.35    | -       | -       | -       |
|            | g) Conduct an employee satisfaction survey   | CSD                   | Yr. (2-5)  | Employee satisfaction survey  | Employee satisfaction survey report | -                   | 1       | 1       | 1       | 1       | 0.40                                      | 0.40    | 0.40    | 0.40    | 0.40    |
|            | h) Undertake a job evaluation and functional analysis to determine the human capital needs | CSD                   | Yr. (1-2)  | Reviewed Report on staff establishment<br><br>Reviewed Organisational structure<br><br>Reviewed job profiles & Job descriptions | Job evaluation report               | 1                   | 2       | -       | -       | -       | 1.00                                      | 1.00    | -       | -       | -       |
|            | i) Carry out a training needs assessment and conduct regular skills development to staff   | CSD                   | Yr. (1-5)  | Training Needs Assessment Report  | Training needs identified           | 1                   | 1       | 1       | 1       | 1       | 6.03                                      | 5.00    | 6.00    | 6.00    | 6.00    |

| Strategies  | Activities   | Responsibility Centre | Time Frame | Expected Output                       | Output Indicator   | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---|--|-----------------------|------------|---------------------------------------|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|   |  |                       |            |                                       |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|   | j) Undertake a skills audit  | CSD                   | Yr. (2)    | Skills Audit Report                   | Skills gap identified                                    | -                   | 1       | -       | -       | -       | -   | 0.35    | -       | -       | -       |
|   | k) Develop mentoring and coaching plan                                 | CSD                   | Yr. (2)    | Mentoring and Coaching plan           | Mentoring and Coaching plan developed                    | -                   | 1       | -       | -       | -       | -   | -       | -       | -       | -       |
|   | l) Management of insurance schemes                                     | CSD                   | Yr. (1-5)  | Paid up insurance premiums            | Quarterly staff utilization reports                      | 100%                | 100%    | 100%    | 100%    | 100%    | 22.00                                     | 41.20   | 45.32   | 49.85   | 54.15   |
|   | m) Administration of mortgage and car loan scheme                      | CSD                   | Yr. (1-5)  | Mortgage and car loan funds disbursed | Percentage of mortgage and car loan facilities disbursed | 100%                | 100%    | 100%    | 100%    | 100%    | 50.00                                     | 80.00   | 80.00   | 80.00   | 80.00   |
|   | n) Enhance team-building programs for staff                            | CSD                   | Yr. (1-5)  | Team building report                  | Number of team building events                           | 1                   | 1       | 1       | 1       | 1       | 3.00                                      | 3.50    | 4.00    | 4.20    | 4.50    |
| 4. Strengthen the physical infrastructure and enhance | a) Undertake work environment survey and implement the survey findings | CSD                   | Yr. (2-4)  | Work environment survey               | Work environment survey report                           | -                   | 1       | 1       | 1       | 1       | 0.00                                      | 0.35    | 0.40    | 0.40    | 0.40    |

| Strategies                | Activities   | Responsibility Centre | Time Frame | Expected Output   | Output Indicator   | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---------------------------|--|-----------------------|------------|---|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|                           |  |                       |            |   |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| security of office assets | b) Promote compliance with Occupational Safety and Health Regulations  | CSD                   | Yr. (1-5)  | Workplace safety audit reports<br><br>Workplace registration certificates | Quarterly safety audit reports.<br><br>Renewed workplace registration certificates | 4                   | 4       | 4       | 4       | 4       | 0.40                                      | 1.20    | 1.50    | 1.80    | 2.00    |
|                           | c) Establish and operationalize 5 Huduma desks and acquire additional office space at the HQ and five other regions for decentralization of Ombudsman services | CSD                   | Yr. (1-5)  | Decentralized Ombudsman Services  | No of offices opened and operationalized<br><br>No of ombudsman desks established  | 1                   | 1       | 1       | 1       | 1       | 3.00                                      | 14.00   | 14.50   | 14.50   | 14.50   |
|                           | d) Payment of rent and rates   | CSD                   | Yr. (1-5)  | Rent paid   | Payment receipts   | 100%                | 100%    | 100%    | 100%    | 100%    | 47.02                                     | 68.20   | 75.02   | 82.52   | 89.68   |
|                           | e) Identify and provide adequate working tools, furniture & office equipment   | CSD                   | Yr. (1-5)  | Acquired working tools, office furniture & equipment                      | Assets register  | Various             | Various | Various | Various | Various | 3.21                                      | 8.00    | 8.00    | 6.00    | 6.00    |

| Strategies                      | Activities   | Responsibility Centre | Time Frame | Expected Output                          | Output Indicator                           | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---------------------------------|--|-----------------------|------------|--|--|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|                                 |  |                       |            |  |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|                                 | f) Procure additional vehicles to improve the Commission's fleet for outreach programs | CSD                   | Yr. (1-5)  | Vehicles procured                        | Number of additional vehicles procured     | 2                   | 10      | 5       | 5       | 5       | 24.00                                     | 120.00  | 62.50   | 62.50   | 65.00   |
|                                 | g) Implement a fleet management system   | CSD                   | Yr. (3)    | Automated fleet management system        | Fleet management Automated                 | -                   | -       | 100%    | -       | -       | -   | -       | 0.50    | -       | -       |
|                                 | h) Install Closed Circuit Television   | CSD                   | Yr. (2)    | CCTV                                     | CCTV installed in all branches             | -                   | 6       | -       | -       | -       | -   | 2.00    | -       | -       | -       |
|                                 | i) Install access control/biometrics   | CSD                   | Yr. (2)    | Access control system                    | Installed Biometric system in all branches | -                   | 6       | -       | -       | -       | -   | 1.20    | -       | -       | -       |
| 5. Innovative use of technology | a) Develop and maintain a complaints management information system                     | CSD                   | Yr. (1-5)  | Complaints management information system | Completion and maintenance reports         | 1                   | 1       | 1       | 1       | 1       | 1.50                                      | 0.30    | 0.30    | 0.40    | 0.40    |
|                                 | b) Develop and maintain a human resource management system                             | CSD                   | Yr. (1)    | Human resource management system         | Completion maintenance reports             | 1                   | 1       | 1       | 1       | 1       | 1.80                                      | 0.36    | 0.36    | 0.42    | 0.42    |
|                                 | c) Digitization of registry records  | CSD                   | Yr. (1)    | Registry Records Digitization            | Completion report                          | 1                   | -       | -       | -       | -       | 2.50                                      | -       | -       | -       | -       |

| Strategies | Activities  | Responsibility Centre | Time Frame | Expected Output                   | Output Indicator                   | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KSh.) |         |         |         |         |
|------------|---|-----------------------|------------|-----------------------------------|------------------------------------|---------------------|---------|---------|---------|---------|--|---------|---------|---------|---------|
|            |   |                       |            |                                   |                                    | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                  | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|            | d) Acquisition of a storage area network          | CSD                   | Yr. (1)    | SAN storage space                 | Storage space commissioning report | 1                   | -       | -       | -       | -       | 1.50                                     | -       | -       | -       | -       |
|            | e) Development of an online data collection tool. | CSD                   | Yr. (2)    | Online data collection tool       | Online network developed           | -                   | 1       | -       | -       | -       | -  | 0.50    | -       | -       | -       |
|            | f) Development of a transport management system   | CSD                   | Yr. (2)    | Transport Management system       | Transport system developed         | -                   | 1       | -       | -       | -       | -  | 0.50    | -       | -       | -       |
|            | g) Development of a data management system        | CSD                   | Yr. (2-5)  | Electronic data management system | Completion and maintenance report  | -                   | -       | 1       | 1       | 1       | 1  | 0.50    | 0.50    | 0.10    | 0.10    |
|            | h) Acquisition of a disaster recovery site        | CSD                   | Yr. (2-3)  | Disaster recovery Site            | Completion report                  | -                   | -       | 1       | -       | -       | -  | 0.25    | 0.25    | -       | -       |
|            | i) Development of an asset management system      | CSD                   | Yr. (2-3)  | Assets management system          | Completion report                  | -                   | -       | 1       | -       | -       | -  | 0.25    | 0.25    | -       | -       |
|            | j) Development of an e-board system               | CSD                   | Yr. (2-3)  | e-Board System                    | Completion report                  | -                   | -       | 1       | -       | -       | -  | 0.25    | 0.25    | -       | -       |

| Strategies                            | Activities   | Responsibility Centre | Time Frame      | Expected Output   | Output Indicator                                      | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---------------------------------------|--|-----------------------|-----------------|---|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|                                       |  |                       |                 |   |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|                                       | k) Development of artificial intelligence platform.                            | CSD                   | Yr. (2-3)       | Artificial intelligence platform (Chat-bot)                                   | Completion report                                     | -                   | -       | 1       | -       | -       | -   | 0.25    | 0.25    | -       | -       |
|                                       | l) Acquire modern ICT hardware and software                                    | CSD                   | Yr. (1-5)       | Computers; Software Licenses; Video Conferencing Facilities; IP VOIP Headsets | Invoices; Inspection and acceptance committee reports | Various             | Various | Various | Various | Various | 0.90                                      | 1.50    | 1.50    | 1.80    | 2.00    |
|                                       | m) Undertake records appraisal and disposal/ archiving                         | CSD                   | Yr. (1-5)       | Archived/disposal reports   | Report on files Appraised, archived/disposed          | 1                   | 1       | 1       | 1       | 1       | 0.10                                      | 1.50    | 1.50    | 1.50    | 1.50    |
| 6. Strengthen supply chain management | a) Develop a procurement procedures manual etc.                                | SCM                   | Yr. (2)         | Procurement procedures manual   | Procurement and procedure manual developed            | -                   | 1       | -       | -       | -       | -   | 0.50    | -       | -       | -       |
|                                       | b) Develop and implement the procurement plan                                  | SCM                   | Yr. (1-5)       | Procurement plans   | Annual procurement plans developed                    | 1                   | 1       | 1       | 1       | 1       | 0.28                                      | 0.30    | 0.30    | 0.32    | 0.32    |
|                                       | c) Identify unserviceable, obsolete and idle assets and process their disposal | SCM                   | Yr. (1; 3; & 5) | Disposal records  | Disposed assets report                                | 1                   | -       | 1       | -       | 1       | 0.45                                      | -       | 0.50    | -       | 0.50    |

| Strategies                                 | Activities   | Responsibility Centre | Time Frame  | Expected Output                      | Output Indicator                 | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|--|-----------------------|-------------|--------------------------------------|----------------------------------|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |  |                       |             |                                      |                                  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
|  | d) Undertake suppliers' sensitization                          | SCM                   | Yr. (1-5)   | Suppliers sensitized                 | Number of suppliers sensitized   | 50                  | 130     | 140     | 140     | 150     | 0.11                                      | 0.15    | 0.18    | 0.18    | 0.20    |
|  | e) Undertake Staff Sensitization on Procurement management.    | SCM                   | Yr. (2 & 4) | Staff sensitized.                    | Number of staff sensitized       | -                   | 30      | -       | 30      | -       | -   | 1.00    | -       | 1.00    | -       |
|  | f) Strengthen assets management through tagging, tracking etc. | SCM                   | Yr. (2-5)   | Assets tagged                        | Percentage of assets tagged      | -                   | 100%    | 100%    | 100%    | 100%    | -   | 0.10    | 0.10    | 0.10    | 0.10    |
| 7. Strengthen financial management systems | a) Review financial management policies                        | CSD                   | Yr. (2&4)   | Reviewed financial management policy | Approved finance policy          | -                   | 1       | -       | 1       | -       | -   | 1.00    | -       | 1.00    | -       |
|  | b) Develop and implement annual budget estimates               | CSD                   | Yr. (1-5)   | Annual Budget                        | Annual budget developed          | 1                   | 1       | 1       | 1       | 1       | 2.00                                      | 2.00    | 2.20    | 2.20    | 2.40    |
|  | c) Develop a budget implementation monitoring tool             | CSD                   | Yr. (2)     | Budgetary Variance analysis tool     | Budget monitoring tool developed | -                   | -       | 1       | -       | -       | 2.00                                      | -       | -       | -       | -       |
|  | d) Monitor and report on resource utilization                  | CSD                   | Yr. (1-5)   | Vote book tracking                   | Expenditure report               | 4                   | 4       | 4       | 4       | 4       | 0.00                                      | 0.00    | 0.00    | 0.00    | 0.00    |
|  | e) Sensitize staff on financial management                     | CSD                   | Yr. (1-5)   | Staff sensitized                     | Percentage of staff sensitized   | 100%                | 100%    | 100%    | 100%    | 100%    | 0.10                                      | 0.15    | 0.20    | 0.25    | 0.30    |



| Strategies   | Activities  | Responsibility Centre | Time Frame  | Expected Output                   | Output Indicator                                      | Performance Targets |         |         |         |         | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|--|---|-----------------------|-------------|-----------------------------------|---|---------------------|---------|---------|---------|---------|---|---------|---------|---------|---------|
|  |   |                       |             |                                   |   | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24 | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| 8. Ensure compliance with statutory obligations              | a) Monitor compliance and ensure conformity with statutory requirements | CSD/SR &C             | Yr. (2-5)   | Compliance reports                | Report on level of compliance                         | -                   | 1       | 1       | 1       | 1       | -   | 0.50    | 0.70    | 0.70    | 0.80    |
|  | b) Produce and publish the Commission's annual statutory reports        | SR&C                  | Yr. (1-5)   | CAJ Annual Reports                | Number of reports produced                            | 1                   | 1       | 1       | 1       | 1       | 1.20                                      | 1.30    | 1.30    | 1.40    | 1.40    |
|  | c) Monitor and report on implementation of the ATI Act                  | ATI                   | Yr. (2-5)   | ATI implementation status reports | Number of ATI Reports                                 | -                   | 1       | 1       | 1       | 1       | -   | 2.50    | 2.58    | 2.66    | 2.74    |
| 9. Strengthen monitoring, evaluation, reporting and learning | a) Develop an M&E framework   | SR&C                  | Yr. (1-5)   | M&E Framework                     | No. of M & E reports.                                 | 1                   | -       | -       | -       | -       | 1.42                                      | -       | -       | -       | -       |
|  | b) Monitor implementation of the strategic plan                         | SR&C                  | YRS (2-5)   | Work plan implementation reports  | Number quarterly work plan implementation reports     | 4                   | 4       | 4       | 4       | 4       | 1.00                                      | 1.10    | 1.21    | 1.32    | 1.44    |
|  | c) Review implementation of the strategic plan                          | SR&C                  | Yr. (3 ; 5) | Evaluation Reports                | Number of Evaluation reports                          | -                   | -       | 1       | -       | 1       | -   | -       | 2.00    | -       | 3.00    |
|  | d) Operationalize the M&E function                                      | SR&C                  | Yr. (2-3 )  | M&E reports                       | Number of M&E reports on establishment of an M&E unit | 1                   | 1       | 1       | 1       | 1       | -   | -       | -       | -       | -       |
|  | e) Stocking of the resource centre.                                     | PEA&C/ CSD            | Yr. (1-5)   | Library publications              | Number of publications acquired                       | 70                  | 75      | 80      | 85      | 90      | 0.40                                      | 0.41    | 0.43    | 0.44    | 0.46    |

| Strategies  | Activities   | Responsibility Centre                 | Time Frame | Expected Output                               | Output Indicator   | Performance Targets |         |         |         |          | Budgetary Requirements (In Million KShs.) |         |         |         |         |
|---|--|---------------------------------------|------------|---|--|---------------------|---------|---------|---------|----------|---|---------|---------|---------|---------|
|   |  |                                       |            |   |  | 2019/20             | 2020/21 | 2021/22 | 2022/23 | 2023/24  | 2019/20                                   | 2020/21 | 2021/22 | 2022/23 | 2023/24 |
| <b>Strategic objective 4.1.2</b>                                      |  | <b>To mobilize adequate resources</b> |            |   |  |                     |         |         |         |          |   |         |         |         |         |
| 1. Strengthen resource mobilization                                   | a) Establish and operationalize a resource mobilization unit   | CSD                                   | Yr. (2-3)  | Status report                                 | Number of reports on establishment of a resource mobilization unit | -                   | 1       | 1       | -       | -        | -   | -       | -       | -       | -       |
|   | b) Lobby for enhanced budgetary allocations from Parliament the National Treasury and development partners | OCS                                   | Yr. (1-5)  | Enhanced budget                               | G.o.K budget   | 565.44              | 902.94  | 935.43  | 958.44  | 1,029.61 | 1.00                                      | 3.00    | 4.00    | 2.00    | 5.00    |
|   | c) Develop and implement a resource mobilization strategy  | OCS                                   | Yr. (2)    | Resource mobilization strategy                | Resource mobilization strategy developed                           | -                   | 1       | -       | -       | -        | -   | 0.85    | -       | -       | -       |
| 2. Establish and strengthen partnerships, collaborations and networks | a) Develop a policy on partnerships  | OCS                                   | Yr. (2)    | Partnership policy                            | Partnership policy developed                                       | -                   | 1       | -       | -       | -        | -   | 0.75    | -       | -       | -       |
|   | b) Subscribe and maintain membership to international obligations  | OCS                                   | Yr. (1-5)  | Subscriptions to international organisations' | Number of subscriptions  | 3                   | 3       | 3       | 3       | 3        | 0.20                                      | 0.30    | 0.40    | 0.40    | 0.40    |
|   | c) Mainstream ATI content in curricula of public learning institutions                                     | ATI                                   | Yr. (2-5)  | ATI content mainstreamed                      | Number of institutions mainstreamed ATI in their curriculum        | -                   | 1       | 1       | 1       | 1        | -   | 3.00    | 3.00    | 3.00    | 3.00    |

| Strategies | Activities           | Responsibility Centre | Time Frame | Expected Output | Output Indicator  | Performance Targets             |             |             |             |             | Budgetary Requirements<br>(In Million KShs.) |             |             |             |             |      |
|------------|----------------------|-----------------------|------------|-----------------|-------------------|---------------------------------|-------------|-------------|-------------|-------------|--|-------------|-------------|-------------|-------------|------|
|            |                      |                       |            |                 |                   | 2019/<br>20                     | 2020/<br>21 | 2021/<br>22 | 2022/<br>23 | 2023/<br>24 | 2019/<br>20                                  | 2020/<br>21 | 2021/<br>22 | 2022/<br>23 | 2023/<br>24 |      |
|            | d) Enhance relations | donor                 | OCS/AU     | Yr. (1-5)       | Programme reports | Programs implementation reports | 2           | 3           | 4           | 4           | 4  | 0.10        | 0.15        | 0.20        | 0.20        | 0.22 |

## THE COMMISSION



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**Mr. Washington O. Sati**  
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