

**Commission on Administrative Justice  
(Office of the Ombudsman)**



*Hata Mnyonge ana Haki*

**Reporting Guidelines for Public Entities and Private Bodies  
under the Access to Information Act, 2016**

**DRAFT VERSION**

## **ACRONYMS**

ATI: Access to Information

CAJ: Commission on Administrative Justice

CEO: Chief Executive Officer

CMIS: Complaints Management Information System (CMIS)

CS: Cabinet Secretary

IAO: Information Access Officer

ICT: Information Communication and Technology

## **FORWARD**

The Government of Kenya has continuously focused on ensuring that public service is responsive to the needs and aspirations of citizens and other stakeholders. Public entities and relevant private bodies are expected to create avenues and systems that encourage accountability and transparency amongst the people they serve and the general populace.

This has been expressed profoundly by the Constitution of Kenya, 2010, under which independent Commissions were created. The Commission on Administrative Justice (CAJ), also known as the Office of the Ombudsman, was established to provide oversight administrative justice and access to information.

To this end, these Reporting Guidelines sets out the required obligation and standards on reporting requirement for all public entities and relevant private bodies charged with implementation of the right of access to information under Article 35 of the Constitution and the Access to Information Act, 2016. These Reporting Guidelines reaffirms and reflects the Government commitment to enhance transparency about its activities and promote good governance. The Commission urges every stakeholder to play their role in making the right of access to information a reality to all citizens.

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

## ACKNOWLEDGMENT

**VISION**

A society that upholds Administrative Justice and Access to Information.

**MISSION**

To enforce Administrative Justice and Access to Information in Kenya through complaints resolution and public education for efficient and effective service delivery.

**CORE VALUES**

- Responsiveness
- Independence
- Fairness
- Transparency
- Integrity

## TABLE OF CONTENTS

<b>ACRONYMS</b> .....	ii
<b>VISION</b> .....	v
<b>MISSION</b> .....	v
<b>CORE VALUES</b> .....	v
<b>1.0 GENERAL INTRODUCTION</b> .....	1
1.2. Functions of the Commission under the Access to Information Act, 2016.....	2
2.2. Purpose of the Reporting Guidelines .....	3
2.3. Definitions.....	4
2.4. Duties and Responsibilities.....	6
<b>3.0 REPORTING FRAMEWORK</b> .....	10
3.1 Reporting Procedure .....	10
3.2 Reporting Process and Reporting Template .....	11
3.3 Information to be Reported .....	11
3.4. Accuracy of Reported Information .....	12
3.5. Correction of Errors in the Annual ATI Report .....	13
<b>4.0. MONITORING AND EVALUATION</b> .....	14
<b>4.1. MONITORING</b> .....	14
<b>4.2. EVALUATION CRITERIA</b> .....	15
<b>4.3. PENALTIES</b> .....	17
<b>5.0 EFFECTIVE DATE REVIEW OF THE REPORTING GUIDELINES</b> .....	18
<b>ANNEXES</b> .....	19

## 1.0 GENERAL INTRODUCTION

### 1.1. Background

The Commission on Administrative Justice (Office of the Ombudsman) (herein referred as CAJ or the Commission) is established under Article 59(4) of the Constitution, and its constitutive Act; Commission on Administrative Justice Act, 2011 (CAJ Act) with the mandate to enforce administrative justice in the public sector by addressing all forms of maladministration. The Commission has a further mandate of oversight and enforcement of the right of access to information as guaranteed by Article 35 of the Constitution, through the Access to Information Act, 2016 (ATI Act).

Article 35(1) of the Constitution guarantees the right of every citizen to access: -

***a. Information held by the State; and***

***b. Information held by another person and required for the exercise or protection of any right or fundamental freedom.***

Further, Article 35(3) provides that... ***“The State shall publish and publicize any important information affecting the nation.”***

The importance of access to information to a country’s citizenry is premised on the fact that all sovereign power belongs to the people. Consequently, all information held by the Government is held by it in trust for the people. Access to information equips citizens with requisite knowledge about government policies, procedures and decisions thereby enabling them to have meaningful participation. In addition, informed citizens are able to scrutinize the actions and decisions of duty bearers thereby promoting the principles of good governance. This ultimately engenders open government, efficient delivery of services and rule of law. It further strengthens public trust in public institutions thereby building back strong institutions for the public good and sustainable development.

## **1.2. Functions of the Commission under the Access to Information Act, 2016**

The Commission has the following functions under Access to Information Act, 2016: -

- i. To investigate violations of the provisions of the Act;
- ii. To receive reports from public entities with respect to implementation of the Act and evaluating the use and disclosure of information.
- iii. To facilitate public awareness and develop programs on the right to access information and the right to protection of personal data;
- iv. To promote the right of access to information in public entities;
- v. To monitor state compliance with international obligations related to the right to access information and protection of personal data
- vi. To hear and determine complaints and review decisions arising from violations of the right to access information
- vii. To promote protection of data; and
- viii. To submit an annual report to parliament and may, at any time, submit special reports to the Cabinet Secretary (CS) relating to access to information
- ix. To perform such other function as the Commission may consider necessary for the promotion of access to information and promotion of data protection.

## **2.0. Reporting Guidelines for Public Entities and Private Bodies under the Access to Information Act, 2016**

### **2.1. Guidance on Sections**

These Reporting Guidelines are divided into four sections. Section one provides a general introduction by setting the legal foundation and the purpose of the Reporting Guidelines. Section two gives guidance on reporting procedures, reporting templates and information for reporting. Further, the section highlights the process of preparing sub-reports and the need for accuracy in reporting. Sections three and four of the Guidelines provide details on monitoring and evaluation respectively. These Guidelines have annexures which provide reporting templates required to be completed by the respective public entities and relevant private bodies during reporting under the Access to Information Act, 2016. It is important to note that all these reporting requirements may not apply to all reporting Institutions uniformly and thus any requirement which is not applicable to a reporting Agency may be omitted from the Institutional report.

### **2.2. Purpose of the Reporting Guidelines**

These Reporting Guidelines are developed pursuant to Section 23 (7) of Access to Information Act, 2016 which mandates the Commission to develop and publicize Guidelines detailing the reporting requirements including the manner, means and timeframes that apply to public entities and relevant private bodies.

The purpose of the Reporting Guidelines is to: -

- i. Provide a standardized framework for reporting by public entities and relevant private bodies;
- ii. Guide public entities and relevant private bodies to provide certain information on a regular basis in a standardized method;
- iii. Harmonize information reported by public entities and relevant private bodies;

- iv. Ensure Institutional compliance with the law;
- v. Enable identification of Access to Information implementation challenges and find ways of addressing them.

### **2.3. Definitions**

The following terms will guide public entities and relevant private bodies in reporting implementation measures taken under the Access to Information Act.

- i. *Access to Information Register*: Record of all requests for information received by the respective public entity or private body.
- ii. *Declined request*: refers to a request for information not granted on account of Section 6 of the ATI Act, 2016.
- iii. *Deferred request*: refers to a request for access to information that has been kept in abeyance on account of the requester failing to meet their obligations under the Act or further action is required from the requester.
- iv. *Chief Executive Officer (CEO) at the County Level*: The County Secretary in the case of the County Executive, the Clerk of the County Assembly or the person assigned the principal administrative responsibility in any county public entity.
- v. *Chief Executive Officer of a public entity or private body*: The principal secretary in the case of a government ministry or department; managing director in the case of a corporate body, or the person assigned the principal administrative responsibility in any body including a private body.
- vi. *Commission*: The Commission on Administrative Justice (CAJ) established by section 3 of the Commission on Administrative Justice Act, 2011.
- vii. *Granted request*: Refers to a request processed and information provided.
- viii. *Information*: Includes all records held by a public entity or a private body, regardless of the form in which the information is stored, its sources or the date of production.

- ix. *Information Access Officer (IAO)*: Any officer of a public entity or private body designated under Section 7 of Access to Information Act, 2016.
- x. *Pending request*: Refers to request for access to information which is still being processed by the Reporting Institution.
- xi. *Personal information*: Information about a person's attributes or characteristics such as race, gender and ethnic origin, educational, medical, employment and financial history, ID number, fingerprint, blood type, contacts, opinion or views about another person, private and confidential written communication such as a letter, endorsement or references.
- xii. *Private body*: Any private entity or non-state actor that:
  - a. Receives public resources and benefits, utilizes public funds, engages in public functions, provides public services, has exclusive contracts to exploit natural resources;
  - b. Is in possession of information which is of significant public interest due to its relation to the protection of human rights, the environment or public health and safety, or to exposure of corruption or irregular actions or where the release of the information may assist in exercising or protecting any right.
- xiii. *Proactive disclosure*: Active publication and updating by public entities and private bodies of certain sets information as required by Article 35 of the Constitution and ATI Act, 2016. The broad areas for proactive disclosure include the required information under Article 35(3) of the Constitution and section 5 of the ATI Act, 2016.
- xiv. *Public entity*: Any institution of the National or County Government, Constitutional or Statutory Commission, Tribunal, Bodies or Committee, Parastatal or State Corporation, and any other institution which is funded directly from the consolidated fund or receives money appropriated by Parliament.

- xv. *Public record*: Information that is available to the public. It includes any information prepared, owned, used or kept by a public organization about its work.
- xvi. *Reactive disclosure*: This is release of information held by a public entity or a private body upon request.
- xvii. *Request for information processing procedure*: The steps taken by an institution to process request for information.
- xviii. *Reporting Institution*: A public entity or a private body required to implement the Access to Information Act 2016 and report to the Commission on implementation.
- xix. *Reporting period*: The timeline set for submission of reports to the Commission under the Access to Information Act, 2016 and as per these Reporting Guidelines.
- xx. *Transferred request*: Refers to a request that has been referred to another public institution which is the custodian of the requested information.

## **2.4. Duties and Responsibilities**

In order to effectively and efficiently implement these Reporting Guidelines, duties and responsibilities will be executed at two levels:

### **2.4.1 The Commission**

#### **Commissioners**

The Commissioners shall oversee implementation of these reporting guidelines.

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

The Commission Secretary shall: -

- a. Develop internal policies and operational procedures to facilitate smooth reporting by public entities and relevant private bodies.
- b. Guide, develop, approve and strengthen relevant the Commission's internal procedures and processes necessary to enable reporting by public entities and relevant private bodies under these Reporting Guidelines.
- c. Execute and communicate Commission's strategies, decisions and policies related to reporting requirements by public entities and relevant private bodies.

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

The Department shall be in charges of:

- a. Requesting, receiving and evaluating public entities and relevant private bodies reports under the ATI Act, 2016.
- b. Providing support and guidance to public entities and private bodies in relation to the reporting requirements.
- c. Enforcing implementation of these Reporting Guidelines.

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

The Department shall be charged with:

- a. Coordinating sensitization and training of Ministries, Departments, Agencies Counties and relevant private bodies on Access to Information Reporting Guidelines.
- b. Promoting partnerships and engagement platforms to enable creation of awareness on the Reporting Guidelines.

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

The Department shall be charged with:

- a. Monitoring and evaluation of reports by public entities and private bodies on statutory requirements relating to reporting under these Guidelines.
- b. Carrying out relevant research on the status of reporting under these Guidelines with comparable institutions and other appropriate matters;
- c. Monitoring and evaluating the status of reporting under the Access to Information Act, 2016.
- d. Research and recommend best practices, policies, procedures and systems for reporting and for improving Institutional implementation of the Access to Information Act, 2016.

### **Corporate Services Department**

The Department shall be charged with

- a. Coordinating the development, review and implementation of Information Communication Technology (ICT) policies, strategies, procedures and guidelines to support the Commission's oversight of Reporting Institutions in relation to reporting requirements under these Guidelines.
- b. Building the Commission capacity for effective performance.

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

The Department shall be charged with:

- a. Coordinating and enforcing matters of non-compliance with Reporting Guidelines.
- b. Support the ATI Department with provision of legal advice on the implementation of ATI Act, 2016.

## **2.4.2 Reporting Institutions**

### **Chief Executive Officer**

The Chief Executive Officer or an Officer exercising delegated duties is the Information Access Officer (IAO) and thus may perform the following duties:

- i. Receiving and acknowledging application for access to information.
- ii. Guiding applicants on access to information requirements.
- iii. Conducting interviews for any clarification on the requested information.
- iv. Determining accessibility and location of documents.
- v. Keeping requesters informed about the status of their requests.
- vi. Maintaining the Access to Information Register.
- vii. Monitoring inspection of records by requester.
- viii. Transferring application to relevant entity for access to information in line with the Act.
- ix. Compiling and submitting to the Commission Annual Access to Information Reports on requests made for access to information to the Institution and other measures taken in implementing ATI Act, 2016.
- x. Advising the Commission Secretary on emerging issues with regard to access to information implementation.
- xi. Facilitating sensitization of Institution's staff on access to information obligations and implementation.

### **3.0 REPORTING FRAMEWORK**

This section gives guidance and clarity on reporting procedures, reporting templates and information for reporting. Further, the section highlights the process of preparing sub-reports and the need for accuracy in reporting.

#### **3.1 Reporting Procedure**

All Reporting Institutions shall follow the following procedures in relation to reporting under the Access to Information Act, 2016:

**i. Data collection in the prescribed template**

All Reporting Institutions shall continuously collect data on proactive and reactive disclosure of information in the prescribed templates.

**ii. Data Entry**

Reporting Institutions shall continuously input the data in the Institution's designated Access to Information Register indicated in Table 1 herein.

**iii. Information Accuracy**

Reporting Institutions shall continuously ensure that the information and data captured in the ATI Register and Reporting Templates is consistent, accurate and up-to-date.

**iv. Preparation of the quarterly report**

The Information Access Officer (IAO) of a Reporting Institution shall prepare quarterly reports on access to information implementation.

**v. Compiling of annual report**

At the end of every Government financial year (30<sup>th</sup> June), the Information Access Officer (IAO) of Reporting Institution shall prepare Annual Access to Information Report compiled from all quarterly reports prepared within the ended financial year.

**vi. Submission of Annual Access to Information Report**

The Information Access Officer (IAO) of every Reporting Institution shall submit Annual Access to Information Report to the Commission Secretary within the prescribed timeline, in the required format and in the provided reporting template.

**3.2 Reporting Process and Reporting Template**

- a. All Reporting Institutions are required to submit their Annual Access to Information Reports in PDF format (one document) to the Commission Secretary through the email address provided in Table 6 within and not later than 15 calendar days after the end of the Government's financial year (15 calendar days from 30<sup>th</sup> June).
- b. Samples of the Reporting Templates are indicated in Tables 2 and 3 which shall be kept in digital format by all Reporting Institutions.
- c. All Reporting Institutions shall ensure that the information and data captured in the Reporting Templates is accurate and up-to-date (as at the date of the report) before transmission to the Commission.
- d. The Commission may occasionally and in relevant instances provide additional guidance to Reporting Institutions on the Reporting Templates to enhance reporting and processing of access to information data.

**3.3 Information to be Reported**

The Annual Access to Information Report shall comply with the requirements of Access to Information Act, 2016 and shall contain the following parameters:

- i. Status of the access to information infrastructure, proactive disclosure and records management in the Reporting Institution.

- ii. The number of requests for information received and processed by the Reporting Institution.
- iii. The number of determinations made by the Reporting Institution not to comply with the requests for information and the main grounds for such determinations.
- iv. The average number of days taken by the Reporting Institution to process different types of requests.
- v. The total amount of fees collected by Reporting Institution in processing requests.
- vi. The number of full-time staff of the Reporting Institution devoted to processing requests for information.

**NOTE:** A Reporting Institution is at liberty and is encouraged to provide other additional information as it may deem fit. Likewise, the Commission shall be at liberty to seek other additional information from any Reporting Institution as it may deem fit.

### **3.4. Accuracy of Reported Information**

All information contained in the reports must be reliable. If there is a doubt with respect to the accuracy of the information, the Reporting Institution needs to indicate this in an accompanying letter to the Commission. The CEO of the reporting Institution shall confirm in writing the correctness and accuracy of the information and or data entered when in the Report before sending the report to the Commission. In the event the Reporting Institution knowingly submits manipulated or false information, the Commission has the right to initiate appropriate action as stipulated by the ATI Act, 2016 and other enabling laws. against the Reporting Institution or the CEO.

### **3.5. Correction of Errors in the Annual ATI Report**

In case a Reporting Institution recognizes the submission of erroneous data, it shall report to the Commission within two (2) working days after the discovery of the error whereof appropriate action shall be initiated to correct the error.

## **4.0. MONITORING AND EVALUATION**

### **4.1. MONITORING**

This section provides guidance on how the Commission will monitor Reporting Institutions in relation to the reporting requirements.

- i. Submission of reports: Reports on Access to Information shall be submitted annually in compliance with the Access to Information Act, 2016 to the Commission.
- ii. Mode of reporting: Reports shall be submitted via e-mail in PDF form as provided in the annexure of these Reporting Guidelines.
- iii. Submission Timeline: Every reporting Institution shall submit its Annual Access to Information Report within and not later than 15 calendar days after the end of the Government's financial year (15 calendar days from 30<sup>th</sup> June).
- iv. Late submission of reports: The Commission may accept submission of a report after lapse of the submission timeline but such will attract a penalty of deduction of up to 15 marks from the overall score obtained calculated on the basis of the number of days taken until submission after the deadline. No Report will be accepted after lapse of 15 calendar days after the set submission timeline.
- v. Failure of submission of Report: In case a Reporting Institution fails to submit the Annual Access to Information Report within the stipulated submission timeline, or within the extended late submission period, the Commission shall take appropriate action as prescribed under the section on penalties.
- vi. Feedback: The Commission shall provide feedback on the reports to Reporting Institutions within 30 calendar days after the submission timeline or 30 calendar days after the extended deadline for late submission as the case may be.
- vii. Compliance Certificate: The Commission shall issue a compliance certificate for the Reported Financial year to a Reporting Institution that has

complied with the requirements stipulated in these Reporting Guidelines indicating the Institutional performance on the Reported Parameters as well as the overall performance in implementation of the Access to Information Act.

- viii. To monitor improvement and cross-organizational learning, the Commission may generate the following sub-reports:
- a. *Progress Reports*: Comparisons of different indicators of a single entity over time;
  - b. *Single Indicator Reports*: Comparison of several indicators of several entities over time;
  - c. *Comparison Reports*: Comparison of several indicators of several entities in a certain year;
  - d. *Sector Summary Reports*: Accumulated indicators and totals for the whole country;
  - e. *Completeness Reports*: Show entities not having delivered their reports

#### **4.2. EVALUATION CRITERIA**

Reporting Institutions shall be evaluated based on the following criteria which translates to 100% implementation of ATI Act, 2016 at the Institutional level:

- i. Existence of access to information infrastructure [see table 2]:
  - a. Published and publicized Institution's Access to Information focal point(s) and/or mechanisms including regions if any;
  - b. Access to Information Register;
  - c. Institutional work plan detailing access to information programs and activities;
  - d. Sensitization of the staff on access to information implementation;

- e. Training of access to information focal points on access to information implementation.
  - ii. Implementation of guidelines and standards on proactive disclosure and records management [see table 2]
    - a. Disclosed information as required by section 5 of Access to Information Act, 2016:
      - o Information about the Institution;
      - o Published, publicized and up-to-date Institution's contact details including physical address of headquarters and regions (if any);
      - o Decision making procedures including channels of supervision;
      - o Salary scale of officers by grade;
      - o Operational documents on dealing with public and other stakeholders;
      - o Public procurement information (contracts details);
    - b. Published and publicized Policies and procedures on information disclosure, management and storage;
    - c. Standards on records management:
      - o Published and publicized up-to-date Guide on information held;
      - o Records retention and disposal policy and procedures;
      - o Measures on computerization of records and automation of information systems;
    - d. Measures to enhance access to information by persons with disabilities.
- iii. Annual Access to Information Report on Requests for Information and Reporting [see table 3]:
  - a. Preparation and submission of disaggregated data on all requests on information as required by template table 3.

- b. Submission of Annual Access to Information Report in full compliance with these Guidelines [tables 2 and 3].

### Computation of Scores

NO	REPORTING PARAMETER	SCORE
1	Access to information infrastructure	25 Marks
2	Proactive disclosure and records management implementation	55 Marks
3	Annual ATI Reports and Reporting	20 Marks
	Total	100 Marks

### 4.3. PENALTIES

The Commission may institute sanctions against Reporting Institutions that do not comply with provisions of the reporting Guidelines as follows: -

- i. Deduct up to 15 marks from the overall score obtained for late submission of reports. This will be calculated on the basis of the number of days taken until submission of the report after the deadline. No Report will be accepted after lapse of 15 calendar days after the set submission deadline.
- ii. Withhold compliance certificate at the end of the financial year if a Reporting Institution fails to;
  - a. Respond to the Commission orders;
  - b. Implement the Commission recommendations;
  - c. Honour summons or notice to show cause from the Commission;
  - d. Comply with the Reporting Guidelines;
  - e. Submission of false or misleading Annual Access to Information Report.

- iii. Take appropriate action as provided for under sections 18 and 28 of the Access to Information Act, 2016.
- iv. Cite the non-compliant Institution in the Commission's Statutory Reports and report such non-compliance to Parliament or to relevant regulatory institution in the case of a private body.
- v. Issuance of compliance orders as provided by the Access to Information Act 2016.

**5.0 EFFECTIVE DATE REVIEW OF THE REPORTING GUIDELINES**

- a. These Reporting Guidelines will be reviewed on a three years basis or when need arises.
- b. These Reporting Guidelines will come into effect after approval by the Commission and upon signature by the Commission Secretary.

**Signed .....**

**Date.....**

**MERCY K. WAMBUA, OGW**

**COMMISSION SECRETARY**

**COMMISSION ON ADMINISTRATIVE JUSTICE**

## ANNEXES

### Table 1: Access to Information Register

Name of Institution.....

Year: .....

S/No	Date received	Name of Requester	Gender of the Requester (M/F)	Age of the Requester	Whether the Requester is disabled (indicate the nature of disability)	Requisition channel	Type of Information Requested	*Decision (Action Taken)	Reason/Remarks for declined requests	Date or Communicating Decision	Number of Days Taken to Process the Request	Fees Imposed (If Any) (Kshs.)

**NB:** \* Decision may be based on the following criteria:

- i. **Disclosed:** To reveal or expose information that is being held by the Reporting Institution
- ii. **Transferred:** Where the request refers to information held by another public institution, it shall be transferred to that public institution within five (5) days from the date of receipt.
- iii. **Declined:** Where the request is dropped on the basis that the information sought is exempt or the reason(s) themselves would be exempt information (section 6 ATI Act, 2016).
- iv. **On-going:** This is a situation whereby the processing of a request for access to information has commenced, but has not been finalised.

- v. **Abandoned:** This is a situation where the processing of a request for access to information has been discontinued on account of the Requester failing to meet their obligations under the Act or where a request to abandon it is made by the requester.

**Note:** In all instances, a statement about how the requester may appeal to the Commission should be availed.

**Table 2: Annual Access to Information Report: Access to information infrastructure, proactive disclosure and records management in Reporting Institution**



<b>Reporting Period/Financial Year:</b> .....		
<b>Name of Reporting Institution:</b> .....		
<b>A. INSTITUTIONAL INFORMATION</b>		<b>Type of Institution (Tick where applicable)</b>
[1] Ministry/State <input type="checkbox"/> Department [2] State Corporation <input type="checkbox"/> [3] Public University <input type="checkbox"/>		[4] <input type="checkbox"/> [5] Tertiary Institution <input type="checkbox"/> [6] Semi-Autonomous Govt Agency <input type="checkbox"/> [7] County Government <input type="checkbox"/> [8] Private Body _____ [9] Others (specify) -----
<b>B. INDICATORS</b>		
<b>Part 1: Access to Information Infrastructure</b>		
1A. Has the Institution established or reconstituted any of the following access to information Infrastructures: - Access to information focal person (s) - or Access to information unit or - Access to Information Committee	[Yes]      [No]	Mention specific measure(s)
1B. Does the Institution have Access to Information Register (For internal purposes only, not for submission to the Commission).	[Yes]      [No]	
1C. Were access to information activities included in the annual work plan?	[Yes]      [No]	Mention specific programs/activities on ATI



ii. Records retention and disposal policy and procedures	[Yes]	[No]	Mention the name of the policy, when published or reviewed	
iii. Measures on computerization of records and automation of information systems	[Yes]	[No]	Mention the measure(s) taken, when and progress made in implementing the measure(s)	
<b>2D. Access by Persons with disabilities</b> Measures to enhance access to information by persons with disabilities	[Yes]	[No]	Mention the measure(s) taken, when and progress made in implementing the measure(s)	
3. Please highlight some of the emerging issues, challenges faced in the process of implementing proactive disclosure and records management including any recommendations thereof ..... ..... .....				
4. I certify that the Annual Access to Information Report submitted to the Chief Executive Officer/Commission Secretary, Commission on Administrative Justice is accurate.	Signature:..... Date.....  <b>Name of the Chief Executive Officer</b>  <b>Note:</b> This Reporting Tool should be signed and stamped by the Chief Executive Officer of a Reporting Institution			
Reporting Institution's Contact Details	Name of Institution	Physical address	postal and Telephone Number	Email Address

**Table 3:  
Annual Access to Information Report (Requests for information)**



<b>Reporting Period:</b> .....										
<b>Name of Reporting Institution:</b> .....										
<b>A. Type of Institution</b> <i>(Tick where applicable)</i>										
Ministry/State Department <input type="checkbox"/> State Corporation <input type="checkbox"/> Public University <input type="checkbox"/>	Tertiary Institution <input type="checkbox"/> Semi-Autonomous Govt Agency <input type="checkbox"/> County Government <input type="checkbox"/> Private Bodies..... <input type="checkbox"/> Others (specify) _____									
Indicators	Sex		Age Category		Persons with Disabilities		Persons With Disabilities		Total	
	F	M	Below 35	35 & Above	F	M	Below 35	35 & above		
Total number of requests received										
Total number of requests regarding correction of personal information										
Number of requests granted										
Average number of days taken to process the requests										
Number of requests transferred										
Number of requests declined										
Number of pending requests										
Number of requests deferred										
Total amount of fees collected from requests (Ksh)										
<b>C. Please highlight some of the emerging issues or challenges faced in the process of implementing requests for information</b> .....										

**D.** I certify that the report submitted to the Secretary, Commission on Administrative Justice is accurate  
**Note:** This reporting tool should be signed and stamped by the Chief Executive Officer.  
**E.** Name of the Chief Executive Officer:..... Signature:..... Date.....

Name of Reporting Officer	Designation	Telephone Number	Email Address	Date
---------------------------	-------------	------------------	---------------	------

**Table 4. Evaluation Criteria**



Indicator	Sub-indicators as per Reporting Tools	Variables in the Reporting Template	Weight/Score
<b>Part 1: Access to Information Infrastructure</b>			
<b>Access to Information Infrastructure</b>	1A: Establishment or reconstitution of any of the following: i. Access to information focal person (s) or ii. Access to information unit or iii. Access to Information Committee	✓ Infrastructure	5
	1B: Presence of Access to Information Register (For internal purposes only, not for submission to the Commission).	✓ ATI register (manual/digital)	5
	1C: Annual work plan with ATI programs/activities	✓ programs/activities on ATI	5
	1D: Trained ATI Infrastructure	✓ Training	5
	1E: Sensitization of Institutional Staff on ATI	✓ Sensitization forums	5
<b>Part 2: Proactive Disclosure and Records Management</b>			
<b>Proactive Disclosure of</b>	i. Information about the Institution	✓ Up-to-date information ✓ Medium and accessibility by all citizens	2

<b>Information</b>	ii. Institution's contact details including physical address of headquarters and regions (if any)	<ul style="list-style-type: none"> <li>✓ Contact details</li> <li>✓ Published and up-to-date</li> </ul>	2
	iii. Decision making procedures including channels of supervision	<ul style="list-style-type: none"> <li>✓ Institutional policies, laws, rules, regulations, SOPs etc</li> <li>✓ Published</li> </ul>	2
	iv. Salary scale of officers by grade	<ul style="list-style-type: none"> <li>✓ Salary scales</li> <li>✓ Published</li> </ul>	2
	v. Operational documents on dealing with public and other stakeholders	<ul style="list-style-type: none"> <li>✓ Institutional policies, laws, rules, regulations, SOPs etc</li> <li>✓ Published</li> </ul>	2
	vi. Public procurement information <ul style="list-style-type: none"> <li>o Advertisements</li> </ul>	<ul style="list-style-type: none"> <li>✓ Advertised tenders</li> </ul>	2
	<ul style="list-style-type: none"> <li>o Required details on signed contracts (the public works, good acquired or rented)</li> </ul>	<ul style="list-style-type: none"> <li>✓ public works, goods acquired or rented, and the contracted service and terms of reference;</li> <li>✓ contract sum;</li> <li>✓ name of the service provider or contractor;</li> <li>✓ periods for completion of the contract.</li> </ul>	8
<b>2B. Policies and/or procedures implementing access to information</b>	Policies and/or procedures on access to information, information management and information storage	<ul style="list-style-type: none"> <li>✓ Policies</li> <li>✓ Published</li> </ul>	10
<b>2C. Standards on records management</b>	i. Published and publicized up-to-date Guide on information held	<ul style="list-style-type: none"> <li>✓ Guide on information held,</li> <li>✓ published and up-to-date</li> </ul>	5

	ii. Records retention and disposal policy and procedures	<ul style="list-style-type: none"> <li>✓ Policy</li> <li>✓ Published</li> </ul>	5
	iii. Measures on computerization of records and automation of information systems	<ul style="list-style-type: none"> <li>✓ measure(s)</li> <li>✓ implementation progress</li> </ul>	10
<b>2D. Access by Persons with disabilities</b>	Measures to enhance access to information by persons with disabilities	<ul style="list-style-type: none"> <li>✓ measure(s)</li> <li>✓ Implementation progress</li> </ul>	5
<b>PART 3: Annual Access to Information Report on Request and Reporting</b>			
<b>Annual Access to Information Report on Request and Reporting</b>	3A: Annual ATI Report on requests for information	<ul style="list-style-type: none"> <li>✓ Report</li> <li>✓ Disaggregated data</li> <li>✓ Compliance with Guidelines</li> </ul>	15 Marks
	3B: Full Annual ATI Report (ATI infrastructure, proactive & records management and requests for information)	<ul style="list-style-type: none"> <li>✓ Full Report</li> <li>✓ Compliance with Guidelines</li> </ul>	5 Marks
<b>TOTAL</b>			<b>100 Marks</b>

**Table 5: Where to submit the report**

<b>POSTAL ADDRESS</b>	
<b>COMISSION ON ADMINISTRATIVE JUSTICE</b> <b>WEST END TOWERS, 2<sup>ND</sup> FLOOR,</b> <b>WAIYAKI WAY WESTLAND</b> <b>P. O. BOX 20414-00200 NAIROBI</b>	
<b>OTHER COMMUNICATION CHANNELS</b>	
TELEPHONE NUMBER	+2540202274046
EMAIL ADDERSS	<a href="mailto:certificatepc@ombudsman.go.ke">certificatepc@ombudsman.go.ke</a>
TOLL FREE NUMBER	0800221349
SMS SHORT CODE NUMBER	15700
WEBSITE	www.ombudsman.go.ke

	Approved by: COMMISSION SECRETARY / CEO Signature ..... Date of Issue .....	