



**Guarding public interest in policing**

# **STRATEGIC PLAN**

**2019-2024**

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## VISION

***A transformative civilian oversight authority that promotes public trust and confidence in the National Police Service***

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## MISSION

***To conduct independent and impartial investigations, inspections, audits and monitoring of the National Police Service to enhance professionalism and discipline of the Service.***

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## CORE VALUES

***Independence***

***Integrity***

***Impartiality***

***Professionalism***

***Commitment***

***Accessibility***

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## ABBREVIATIONS AND ACRONYMS

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<b>IPOA</b>	Independent Policing Oversight Authority
<b>NPS</b>	National Police Service
<b>NPSC</b>	National Police Service Commission
<b>KNDR</b>	Kenya National Dialogue and Reconciliation
<b>UN</b>	United Nations
<b>PRIC</b>	Police Reforms Implementation Committee
<b>SRC</b>	Salary and Remuneration Commission
<b>MTP</b>	Medium Plan Term
<b>SDG</b>	Sustainable Development Goals
<b>SWOT</b>	Strength, Weakness, Opportunity and Threats
<b>KRA</b>	Key Results Areas
<b>MERL</b>	Monitoring, Evaluation, Reporting and Learning



## FOREWORD



## PREFACE



## EXECUTIVE SUMMARY

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The Strategic Plan for the Independent Policing Oversight Authority has been developed in cognizance of its mandate as stipulated in the IPOA Act No. 35, 2011, the Kenya Vision 2030 (with special reference to MTP III), the Constitution of Kenya, the Big Four Agenda, Africa Agenda 2063, Sustainable Development Goals and other prevailing legal and policy documents. Successful implementation of this Strategic Plan will be determined by the level of stakeholder engagement and participation, good governance and resource allocation and utilization. The Authority envisages to be **“A transformative civilian oversight authority that promotes public trust and confidence in the National Police Service”**. This will be realized by **“conducting independent and impartial investigations, inspections, audits and monitoring of the National Police Service to enhance professionalism and discipline of the Service”**.

**Chapter One** of the Strategic Plan presents the historical development of the Authority. It also provides the institutional framework which expounds on the mandate as stipulated in the relevant laws of Kenya. The chapter further outlines the role of the Authority in the realization of the national development agenda: the Big Four, the MTP III of vision 2030, the SDGs and Africa 2063 aspirations.

**Chapter Two** expounds on the situational and environmental analyses undertaken using the Strengths, Challenges, Opportunities and Threats (SWOT) and Political, Economic, Social-Cultural, Technological, Environmental and Legal (PESTEL) models. A stakeholder analysis was undertaken to identify the key stakeholders, their expectations and the Authority's expectations.

**Chapter Three** presents the Strategy Model of the Authority, which includes the Vision, Mission, Motto, Core Values, Key Result Areas, Strategic Objectives and Strategies. The Authority will pursue the following four Key Result Areas during the plan period:

1. Police Accountability
2. Cooperation with other institutions
3. Research and Information management
4. Institutional capacity

These will be achieved through the following strategic objectives:

1. To build public confidence and trust in policing

2. To ensure compliance to human rights standards and fundamental freedoms
3. To strengthen cooperation with state and non-state organs
4. To enhance service delivery
5. To generate knowledge for evidenced based policy, strategy and decision making
6. To facilitate utilization of knowledge for evidenced based policy, strategy and decision making
7. To promote corporate governance
8. To strengthen human resource capacity
9. To ensure institutional financial sustainability
10. To strengthen business systems and internal processes for efficient service delivery.

**Chapter Four** outlines the Authority's resource capacity by highlighting the staffing levels, governance structures and organizational structure and presents the financial projections for the Strategic Plan. The chapter also highlights the implementation and coordination mechanism which identifies what the Authority must do before, during and post implementation. Risk factors which may affect the implementation of the Strategic Plan have been identified and appropriate mitigating factors recommended.

**Chapter Five** highlights the monitoring, evaluation, reporting and learning framework.

## CHAPTER ONE

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### INTRODUCTION

#### 1.0 Overview

This Chapter presents the background and mandate of IPOA. It also provides the functions of IPOA, Legal and policy documents relevant to IPOA, rationale and process of developing the strategic plan, as well as IPOA's role in national, regional and international agenda.

#### 1.1 Background

The Authority was created as a response to historical police excesses culminating in post-election violence, which occurred in 2007/2008. It was established within the context of Agenda IV – Commissions and Independent Offices, which preceded the Constitution of Kenya, 2010. As part of the Agenda IV items, which were largely about reforming institutions of the judiciary, police, civil service and such others, IPOA was instituted.

As provided in Article 244 of the Constitution, the National Police Service (NPS) shall endeavor for professionalism and discipline, promote and practice transparency and accountability. Further, the Constitution requires the Service to comply with Constitutional standards of human rights and fundamental freedoms and dignity. This is the fulcrum on which IPOA is hinged.

While it is recognized that ultimately, it is the responsibility of NPS to ensure the professionalism and integrity of its members, it was recognized the idea of the Police investigating their own would hardly restore public confidence and trust. Hence, in order to bring into effect these fundamental provisions of the Constitution, it became critical that a civilian oversight mechanism be put in place to monitor how the Service went about its duties of law enforcement without breaching the confines imposed by the Constitution.

The signing of the 'Agreement on the Principles of Partnership of the Coalition Government' on the 28th February 2008, led to the Kenya National Dialogue and Reconciliation (KNDR) which saw a raft of measures put in place to end the political crisis. Among these were constitutional, legal and institutional reforms. The Police Force was placed among the institutions that needed reforms, and with these, the following several key steps were made.

### **1.1.1 Commission of Inquiry into the Post-Election Violence**

The establishment of the Commission of Inquiry into the Post-Election Violence (Philip Waki Report, 2008) recommended concrete measures to improve performance and accountability of state security agencies. Among these measures was the establishment of an Independent Police Complaints Authority.

### **1.1.2 The UN Special Rapporteur**

The Mission of the UN Special Rapporteur on Extrajudicial, Summary or Arbitrary Executions (Philip Alston, 16-25 February 2009) was to ascertain the types and causes of unlawful killings; to investigate whether those responsible for such killings were held to account; and to propose constructive measures to reduce the incidence of killings and impunity. The conclusions of the report of the Special Rapporteur on the Mission to Kenya further strengthened the Waki Commission Report.

### **1.1.3 The National Taskforce on Police Reform**

In May 2009, the Government set up the National Taskforce on Police Reform (Ransley Taskforce) to carry out the required reviews, make recommendations and draft an implementation matrix. The taskforce was mandated to examine the existing policy, institutional, legislative, administrative and operational structures, systems and strategies in the police and recommend comprehensive reforms with a view to enhancing police efficiency, effectiveness and institutionalize professionalism and accountability.

In its report released in October 2009, the taskforce recommended the establishment of the Independent Policing Oversight Authority under the Constitution with clear legislative powers to execute its mandate to focus on police conduct composed of civilians.

### **1.1.4 Police Reforms Implementation Committee**

The Police Reforms Implementation Committee (PRIC), 2010-2012 was appointed to coordinate, supervise and provide technical guidance and facilitation for the implementation of police reforms. The Committee released its report in June 2012 articulating the progress and status of all the reform programs that it had introduced.

### **1.1.5 Police Reforms Steering Committee**

The Ministry of Interior and Coordination of National Government established the Police Reforms Steering Committee (PRSC) in 2013. The Committee is responsible

for providing a framework for coordinating the ongoing police reforms in the National Police Service and ensure sustainability of the police reforms agenda in Kenya. The Authority has been a member of the Committee since 2013 and has contributed actively in the monthly meetings.

In August 2015, the Ministry of Interior and Coordination of National Government issued a revised Police Reforms Program Document (2015-2018), which outlined the strategy framework for implementation of reforms in the National Police Service.

#### **1.1.6 Police Accountability and the Rule of Law**

Article 243 of The Constitution of Kenya, establishes the National Police Service. Article 244 of the Constitution articulates that 'The National Police Service shall strive for professionalism and discipline and shall promote and practice transparency and accountability'.

#### **1.1.7 Establishment of IPOA and Board Appointment**

The Authority was established through an Act of Parliament No. 35 of 2011 to provide oversight on the work of the Police. The Inaugural Chair and Board members were appointed by the President on 22nd May 2012 vide Kenya Gazette Notice No. 6938 and No. 6939 respectively for a period of six years. The current chair and Board members were appointed by H.E the president of the republic of Kenya vide gazette notice no. 9559 and 9560 respectively.

Section 4 of IPOA Act guarantees the Authority independence in execution of its mandate, as follows:

- i. 4(1): In the performance of its functions the Authority shall subject to Section 34, not be subject to any person, office or authority.
- ii. 4(2): The Authority shall observe the principle of impartiality and rules of natural justice in the exercise of its powers and the performance of its functions.
- iii. 4(3): Every Government officer or institution shall accord the Authority such assistance and protection as may be necessary to ensure its independence, impartiality, dignity and effectiveness.
- iv. 4(4): No person or body may interfere with the decision making, functioning or operations of the Authority.
- v. 4(5): Parliament shall ensure that the Authority is adequately funded for it to effectively and efficiently perform all its functions.

## **1.2 Objectives**

The objectives of the Authority are to:

- a) Hold the Police accountable to the public in the performance of their functions;
- b) Give effect to the provision of Article 244 of the Constitution that the Police shall strive for professionalism and discipline and shall promote and practice transparency and accountability; and
- c) Ensure independent oversight of the handling of complaints by the National Police Service.

## **1.3 Functions**

The principal functions of the Authority are to:

- a) Investigate any complaints related to disciplinary or criminal offences committed by any member of the National Police Service, whether on its own motion or on receipt of a complaint, and make recommendations to the relevant authorities, including recommendations for prosecution, compensation, internal disciplinary action or any other appropriate relief, and shall make public the response received to these recommendations;
- b) Receive and investigate complaints by members of the Police Service;
- c) Monitor and investigate policing operations affecting members of the public;
- d) Monitor, review and audit investigations and actions taken by the Internal Affairs Unit of the Police Service in response to complaints against the Police and keep a record of all such complaints regardless of where they have been first reported and what action has been taken;
- e) Conduct inspections of Police premises, including detention facilities under the control of the Service;
- f) Co-operate with other institutions on issues of Police oversight, including other State organs in relation to services offered by them;
- g) Review the patterns of Police misconduct and the functioning of the internal disciplinary process;
- h) Present any information it deems appropriate to an inquest conducted by a court of law;
- i) Take all reasonable steps to facilitate access to the Authority's services to the public;
- j) Subject to the Constitution and the laws related to freedom of information, publish findings of its investigations, monitoring, reviews and audits as it seems fit, including by means of the electronic or printed



- media;
- k) Make recommendations to the Police Service or any State organ;
- l) Report on all its functions under its Act or any written law; and
- m) Perform such other functions as may be necessary for promoting the objectives for which the Authority is established

#### **1.4 Key Legal Documents Relevant to the Authority**

The legislation that is relevant to the functions of the Authority include:

- i. Constitution of Kenya, 2010
- ii. Independent Policing Oversight Authority Act No.35 of 2011
- iii. National Police Service Act, No 11(a) of 2011
- iv. National Police Service Standing Orders
- v. National Police Service Commission Act, No.30 Of 2011
- vi. National Coroners Services Act No 18 of 2017
- vii. Office of the Director of Public Prosecutions Act No 2 of 2013
- viii. Evidence Act Cap 80
- ix. Penal Code Cap 63
- x. Criminal Procedure Code Cap 75
- xi. Witness Protection Act No 16 of 2006
- xii. Victim Protection Act No 17,2014
- xiii. Sexual Offences Act ,3 of 2006
- xiv. Firearms Act Cap 114

#### **1.5 Policies and Guidelines**

The following policies and guidelines are relevant to the functions of the Authority:

- i. Kenya Vision 2030
- ii. Third Medium Term Plan (2018-2022) (MTP III);
- iii. The Big Four Agenda
- iv. Sector Performance Standards
- v. The Authority's policy documents
- vi. GOK Circulars
- vii. Africa Agenda 2063
- viii. Sustainable Development Goals

#### **1.6 The Authority's Compliance with the Constitution**

In exercise of its mandate, the Authority shall respect, uphold and defend the Constitution. In particular, IPOA shall give effect to Articles 1, 2, 239(5) and 244.

## **1.7 Rationale for Development of the Authority's Strategic Plan**

The development of this Strategic Plan is informed by the need to:

- i. Provide the strategic direction for the next period 2019-2024;
- ii. Align IPOA's Strategic direction with the relevant National, regional and international development agenda;
- iii. Provide an overall framework for prioritization and allocation of resources.

## **1.8 Civilian Police Oversight**

### **1.8.1 Benefits of Police Oversight**

Police oversight benefits complainants, the community, police officers and NPS. The actual benefits that occur depend on how well the groups involved work together and the type of model implemented. Some potential benefits are:

- i. Complainants are given a place to voice concerns outside of the law enforcement agency.
- ii. Oversight can help hold the NPS accountable for officer's actions.
- iii. Oversight agencies can help improve the quality of the department's internal investigations of alleged misconduct.
- iv. The community at large can be reassured that discipline is being imposed when appropriate, while also increasing the transparency of the disciplinary process.
- v. When the oversight agency confirms a complainant's allegation(s), complainants may feel validated.
- vi. And similarly, when the oversight agency exonerates the officer, the officer may feel vindicated.
- vii. Oversight agencies can help improve community relations by fostering communication between the community and police agency.
- viii. Oversight agencies can help reduce public concern about high profile incidents.
- ix. Oversight agencies can help increase the public's understanding of law enforcement policies and procedures.
- x. Oversight agencies can improve department policies and procedures. Policy recommendations can prevent issues by identifying areas of concern and subsequently offering options to improve policing.
- xi. Oversight agencies can assist a jurisdiction in liability management and reduce the likelihood of costly litigation by identifying problems and proposing corrective measures before a lawsuit is filed.

- xii. Mediation has multiple benefits to both citizens and police officers. If the oversight agency provides mediated solutions, it can help complainants feel satisfied through being able to express their concerns to the specific police officer in a neutral environment. Mediation can also help police officers better understand how their words, behaviours and attitudes can unknowingly affect public perceptions.
- xiii. By establishing an oversight system, public officials are provided the opportunity to demonstrate their desire for increased police accountability and the need to eliminate misconduct.

These potential benefits help to support the goals of community-oriented policing, which seeks to utilize problem solving techniques to work in a cooperative effort with the community to proactively address concerns.

### **1.8.2 Challenges facing Police Oversight**

A civilian police oversight agency is a body of citizens dedicated to reviewing and improving police officer conduct. These agencies are an implementation of citizen oversight. This form of police accountability often gives the broader non-police community a medium to voice concerns and provide criticism of law enforcement operations.

Police oversight is a new concept at regional and national level. However, this practice is more ingrained in other jurisdictions. For example; The first recorded forms of civilian oversight took the form of police commissions in the late 19th and early 20th centuries. This ultimately failed, as politicians infiltrated these commissions, though they had little expertise in the field of policing.

After the failed police commissions, civilian oversight was revolutionized, and had its beginnings in large cities of urban America, such as Washington D.C., Philadelphia, and New York City. This started due to turmoil between African Americans and police in the early 1900s, and also failed, because these review boards were under-resourced, and performed not much beyond receiving and reviewing complaints about misconduct against police officers. Ultimately, the resistance faced by the police force, and the lack of resources caused these review boards to be disbanded and abolished.

In the 1960s, another wave of civilian oversight began. One of these agencies included the Public Review Commission, and the Office of Citizen Complaints. What separated these civilian oversight boards from the earlier ones was that this board utilized other agencies to investigate police misconduct. They also had more enhanced resources, more authority, and more durability.

The later day civilian policing oversight agencies were focused on reviewing reported police activities. In addition, this era created the first police auditors. Many of these auditors and review boards were later combined into one stronger entity.

Despite this progress, studies indicate that 45% of oversight agencies did not have enabling statutes/ordinances that explicitly require that Law Enforcement Employees Cooperate with their agency. A further 69% do not have enabling statutes/ ordinances which require police officers/command staff cooperate as a condition of their employment. This allowed lack of accountability on the part of the police, cooperation during investigations and reviews by oversight agencies.

54% of oversight agencies reported that police officials did not implement their recommendations. Only 6% of oversight agencies are able to impose discipline on the police departments and officers they oversee. This lack of authority allows for police departments to ignore important recommendations made by oversight agencies.

The study concluded that there was explicit cooperation provided to civilian oversight agencies by police departments along with respect for the legitimacy of the oversight agency. At the same time a subtle and persistent push back exists to minimize the impact of oversight agencies. The intention of this push back is to cause the citizens to lose faith in the oversight agency's effectiveness or to have elected officials question the investment in the oversight agency and ultimately cause them to lose their funding.

The same challenges prevail regionally. In its 2017 report to the Human Rights Committee in South Africa, African Policing Civilian Oversight Forum (APCOF) notes with concern the low number of prosecutions against law enforcement officials in terms of the legislation. According to research conducted by the Civil Society Prison Reform Initiative (CSPRI) in 2013, perpetrators of human rights violations act with de facto impunity because challenges in implementation of oversight inevitably results in low levels of prosecution. In 2014/2015 the Independent Police Investigative Directorate (IPID) made 983 criminal recommendations to the National Prosecuting Authority (NPA); 52 were prosecuted by the NPA, but only 1 resulted in a conviction. Of the remaining 930 recommendations, the NPA declined to prosecute 162, requested more information on 3, and failed to respond to the remaining 765. The low number of successful prosecutions is especially concerning given that allegations of torture, for example those perpetrated by the South African Police Service (SAPS), have risen since South Africa's second UPR. IPID reported 78 allegations of torture in 2013/2014 and 145 incidents in 2014/2015, an increase of 86%.

At national level, a number of challenges face the Authority. These include:

- Resistance, obstruction and some degree of hostility by police officers.
- An inadequate framework by which to hold officers accountable.
- Failure to implement or delayed implementations of recommendations made by civilian review agencies.
- Inadequate resources and information such as human resources, funding and access to case information.
- Heavy-staff capacity failure to implement disciplinary mechanisms in the NPS.
- Lack of protection of whistle blowers in the Police Service
- Low public awareness on what constitute police misconduct

To achieve its mandate, the Authority needs to review and strengthen its monitoring capacity in complaints management and ensure that all cases are pursued to their conclusion.

IPOA should embark on a campaign to educate citizens about the kind of evidence and testimony required to pursue a complaint against the members of NPS in order to strengthen complaints lodged.

The Authority should work closely with state and non-state agencies. This would have the effect of multiplying its capacity in particular in relation to the following:

Monitoring police agencies compliance with legislation Inspect police training facilities and other facilities to ensure detainees are living in hygienic conditions and get access to medical services and make recommendations on security and infrastructure improvement.

Conducting research to understand and monitor patterns and trends of police misconducts and policing operations affecting members of the public.

Rebranding self and contributing to the re-branding of the NPS by publishing relevant commentary and analysis relating to the Service.

Supporting calls for increased political and financial support of the Authority so that it is able to realize the mandate as contained in the IPOA Act 35, 2011

### **1.9The Role of the Authority in National, Regional and International Obligations**

This section outlines the role of the Authority in the Kenya Vision 2030, MTP III, the Big Four Agenda, the Sustainable Development Goals and the Africa 2063 Agenda.

### 1.9.1 Kenya Vision 2030

The Kenya Vision 2030 articulates the national development agenda for the country. The Vision is motivated by a collective aspiration for a better society by the year 2030 in order to create a globally competitive and prosperous nation with a high quality of life. The aim of the Vision is to transform Kenya into a newly-industrialized, middle-income country providing a high quality of life to all its citizens by 2030 in a clean and secure environment. The Vision is anchored on three key pillars: Economic, Social and Political pillars. The Vision is implemented through five-year Medium Term Plans.

### 1.9.2 The Third Medium Term Plan (MTP III) 2018-2022

The theme of MTP III which is “Transforming Lives: Advancing Socio-economic development through the Big Four” focuses not only at increasing the level of investment but also enhancing the productivity of investment, as well as raising productivity in all sectors of the economy. Under Kenya Vision 2030, the vision for security is “a society free from danger and fear”. The Government is determined to improve security in order to lower the cost of doing business and to provide Kenyans with a more secure living and working environment. Specific strategies will involve: improving the practice of community policing; reducing the police to population ratio; adopting information and communication technology (ICT) in crime detection and prevention; enhancing police training; among others. All these measures will be supported by accelerated reforms in the Judiciary.

### 1.9.3 Role of the Authority in Kenya Vision 2030 and MTP III

IPOA through its mandate under the Act will:

**Table 1.1: Role of IPOA in Kenya Vision 2030 and MTP III**

S/No.	Areas of Focus	IPOA Role
1.	Security Modernization	Monitor the implementation of the Police modernization program under section 6c of the IPOA Act
		Under section 6d and 6e, IPOA will monitor and inspect aspects of Community Policing and County Policing Authorities to ensure compliance with the NPS Act and other legal provisions
2.	Staff Welfare(Housing)	Follow up on implementation of the housing crisis research that recommended NPS members have housing that meets the current economic needs.
3.	Expansion of Surveillance Systems	Under section 6c of the Act, IPOA will monitor police operations including surveillance systems to ensure they match with modern technological developments
4.	Improved Data	Research and make recommendations on management of

S/No.	Areas of Focus	IPOA Role
	Management	Police Records under section 6k of the Act
5.	Strengthening of Border Security Units	IPOA will monitor the operation of the border units and inspect border police premises under section 6e
6.	Security infrastructure	Under section 6c, e and 6k, IPOA will monitor and inspect police facilities and make recommendations on security infrastructure improvement
7.	Raising Police to Population ratio	Under section 6c of the Act, IPOA will monitor police recruitment to ensure compliance with regulations
8.	Enhancing Police Training	Under Section 6e, 6f and 6k of the Act, IPOA will inspect police training facilities , make recommendations and cooperate with other institutions on to enhance police training
9.	Institutionalizing national and intercommunity dialogue for harmony	IPOA will conduct dialogue sessions with Police and other community stakeholders
10.	Promoting peace building	IPOA will work to professionalize the police service in order to foster peaceful coexistence between police and public
11.	Inculcating a culture of respect for the sanctity of human life	IPOA will conduct investigations to ensure police officers who violate human rights are held to account
12.	Instituting civilian oversight on Key legal, justice and security institutions	As per Section 6f of the Act, IPOA will co-operate with other institutions on issues of Police oversight, including other State organs in relation to services offered by them As per Section 6f of the Act, IPOA will co-operate with other institutions on issues of Police oversight, including other State organs in relation to services offered by them.
13.	Streamlining the functional capacity of the legal and judicial institutions to enhance inter-agency cooperation	
14.	Institutional reforms for improved enforcement of law and order	<ul style="list-style-type: none"> <li>Under section 6e, 6b, 6c and 6k of the IPOA Act, the Authority will receive and process complaints, inspect police premises, monitor police operations and make recommendations to institutionalize police reforms</li> <li>Research investigations</li> </ul>
15.	Inculcating a culture of compliance with laws and decent behaviors	
16.	Promoting a culture of transparency and accountability	

#### 1.9.4 The Big Four Agenda

The Government has prioritized policy objectives under the Big Four Agenda that will lead to accelerated growth of the economy. The Agenda targets to:

- i. Support value addition and raise the manufacturing sector share of GDP to 15 percent by 2022;
- ii. Focus on initiatives that guarantee food security and nutrition to all Kenyans by 2022;
- iii. Provide Universal Health Coverage thereby guaranteeing quality and affordable healthcare to all Kenyans; and
- iv. Provide Housing to all Kenyans by targeting construction of at least five hundred thousand affordable houses by 2022.

For the Big Four Agenda to thrive there should be a secure, stable and peaceful environment provided by a professional Police Service. A society free of human rights violations and police brutality is a pre-requisite in achieving the big 4 agenda. IPOA stands for respect of human rights. The Authority's role as an enabler will be to:

- i. Hold police accountable in their actions by receiving complaints and carryout investigation to promote peace and security leading to a conducive environment good for investment in the field of food, health, manufacturing, housing and peaceful coexistence.
- ii. Inspect, monitor and recommend that the Police are properly housed. The Authority will conduct research on Police housing and make recommendations to the relevant Authorities;
- iii. Follow up on implementation of the housing crisis research that recommended NPS members have housing that meets the current economic needs.
- iv. Prepare regular reports on the status of IPOA on implementation of big four agenda to the office of the president, directorate of national values;
- v. Participate in national events that focus on implementation and development of strategies of big four agenda for instance the devolution conference;
- vi. Mobilize for funds to cover comprehensive health care for employees.
- vii. Aligning operations and budget to the BIG four agenda.
- viii. Decentralization – Direct employment 100, indirect –Security 16,
- ix. Mortgage scheme
- x. Security

#### **1.9.5 The Sustainable Development Goals (SDGs)**

The Government of Kenya is committed to the attainment of the United Nations Sustainable Developments Goals (SDGs) as agreed upon by the international community. There are a total of 17 SDGs which aim to enhance the quality of



life of the world's citizens. Each goal has a specific target to be achieved over a period of 15 years. SDGs address the economic, social and environmental dimensions of development in a comprehensive and integrated manner.

IPOA through its mandate under the Act will contribute to the attainment of the following SDG's:

**Table 1.2: Sustainable Development Goals**

S/No.	Sustainable Development Goals	Role of IPOA
1.	<b>SDG3:</b> Good Health and Well being	Inspect police facilities to ensure detainees are living in hygienic conditions and get access to medical services (include police)
2.	<b>SDG4:</b> Quality Education	Research Training of board staff and officers
3.	<b>SDG 5:</b> Gender Equality	Conduct inspections and make recommendations on improving gender balance in the Police Service.
4.	<b>SDG6:</b> Clean Water and Sanitation	Inspect police facilities to ensure detainees are living in hygienic conditions and get access to clean drinking water
5.	<b>SDG8:</b> Decent work and Economic growth	
6.	<b>SDG 10:</b> Reduced Inequality	Inspect police premises with focus on disadvantaged populations to ensure friendliness to people with disabilities, women and children.
7.	<b>SDG 11:</b> Sustainable Cities and Communities	Pursue implementation of community policing and County Policing Authorities to ensure sustainable communities
8.	<b>SDG13:</b> Climate Action	e-paper
9.	<b>SDG16:</b> Peace and Justice and Strong Institutions	Promote peace and justice through complaints handling and investigations Police professionalism Accountable and inclusive directorates
10.	<b>SDG17:</b> Partnerships to achieve the goals	As per Section 6f of the Act, IPOA will co-operate with other institutions on issues of Police oversight, including other State organs in relation to services offered by them. Working together to enhance human rights, respect rule of law

### 1.9.6 Africa Agenda 2063

The Agenda 2063 is a collective vision and roadmap for social economic transformation of the continent that is anchored on seven aspirations. It builds on, and seeks to accelerate the implementation of past and existing continental initiatives for growth and sustainable development.

The role of IPOA in the realization of the aspirations and flagship projects is as provided below:

**Table 1.3: Africa Agenda 2063**

S/No.	Agenda 2063 Aspirations	Role of IPOA
1.	<b>Aspiration 3:</b> An Africa of Good governance , democracy, respect of human rights, justice and rule of law	IPOA will work to Mainstream human rights; diversity and ethical behavior  Under section 6e, 6c, 6b and 6k of the IPOA Act, the Authority will receive and process complaints, inspect police premises, monitor police operations and make recommendations to institutionalize police reforms
2.	<b>Aspiration 4:</b> Peaceful and secure Africa	Handle complaints, conduct inspections, monitoring and investigations with an aim of Professionalising the Police to a service that respects human rights, observes democratic policing
3.	<b>Aspiration 5:</b> An Africa with a strong cultural identity, heritage, values, ethics	
4.	<b>Aspiration 6:</b>	Police premises; how women are cater for, and how children are protected How many women recruited vs men Women promotion Decision making by women

### 1.10 Rationale for Development of Strategic Plan 2019-2024

This Strategic Plan set out the goals that the Authority intends to pursue for the next five years. The Plan will provide the framework to guide the development and implementation of annual work plans to ensure efficient and optimal use of resources.

The development of this Strategic Plan was necessitated by:

- i. The need to align the Authority's programmes and activities with the national development agenda.
- ii. The need to align the Authority's operations with the changing environment; and
- iii. The understanding that strategic planning is a good practice that is highly recommended.

### 1.11 The Process of Development of Strategic Plan

The Strategic Plan was developed through a consultative process between the Authority's Board, management and staff. The process involved the following activities:

- i. An analysis of the Authority's documents such as the prevailing Strategic Plan, policies, legal documents and regulations;
- ii. Data collection from staff and management
- iii. A consultative meeting between the Board, management and staff;
- iv. Documentation of proceedings of strategic planning workshops;
- v. Validation of draft strategic plan by both internal and external stakeholders;
- vi. Finalization of the strategic plan; and
- vii. Publication and launch of the strategic plan.

## CHAPTER TWO

### SITUATIONAL ANALYSIS

#### 2.0 Overview

This chapter provides an internal and external assessment of IPOA which focuses on a critical review and analysis of achievements, challenges and lessons learnt. It also provides an analysis conducted using SWOT and PESTEL as well as Stakeholder analysis.

#### 2.1 Performance Review of the 2014-2018 Strategic Plan

An assessment of the status of implementation of the 2014-2018 Strategic Plan was undertaken and key achievements, challenges and lessons learnt identified as outlined in the following sections.

##### 2.1.1 Achievements

The key achievements of IPOA during the 2014-2018 strategic planning period include:

**Table 2.1: Key Achievements**

No.	Indicator	Evidence
<b>Outcome 1: compliance by police to human rights standards</b>		
1.	Cases of Police Misconduct	<ul style="list-style-type: none"><li>• The Authority has received and processed <b>10,381</b> complaints.</li><li>• The Authority through its oversight role has contributed to human rights policing through giving actionable <b>165</b> recommendations to the NPS, NPSC, Ministry of interior and the National Assembly.</li><li>• <b>5,140</b> complaints forwarded for investigations cases.</li><li>• Completed <b>790</b> investigation cases on deaths and serious injuries occasioned by the police</li><li>• Monitored <b>147</b> police operations to identify cases of human rights violation</li></ul>
2.	Number of police prosecutions	<ul style="list-style-type: none"><li>• 105 cases forwarded to DPP recommending prosecution</li><li>• 53 cases filed in court for prosecution</li><li>• 3 convictions obtained</li></ul>
3.	Implementation of recommendations made to NPSC and NPS	<ul style="list-style-type: none"><li>• 165 recommendations referred to NPSC and NPS (159 from IRM and 6 from Investigations)</li></ul>
<b>Outcome 2: Restored public confidence and trust in the police</b>		

No.	Indicator	Evidence
1.	<b>Level of public confidence in Police by men, women and Special Interest Group (SIG)</b>	<ul style="list-style-type: none"> <li>The Authority has received and processed 10,381 complaints touching on policing from members of the public and police officers.</li> <li>Conducted outreach programmes in 31 Counties out of the 47 Counties</li> <li>Establishment and strengthening of IAU <ul style="list-style-type: none"> <li>Held Monthly meetings between NPS and IAU(<b>results</b>)</li> <li>(<b>engaging</b>)Lobbied for establishment of the independent office</li> <li>Lobbied for implementation of Integrated Information Management System</li> <li>Lobbied for increased number of officers serving IAU</li> <li>Lobbied for IAU budget provision through the IGs budget line</li> </ul> </li> <li>Prepared a report on Gender Perspective within the Police Service</li> <li>Prepared a report on Child Protection unit and access of the Police Stations by People With Disabilities (PWD)</li> <li>Monitored 2014 police recruitment and recommended annulment of the exercise, High Court Petition No.390 of 214 and Civil Appeal No. 324 of 214 (The Recruitment Decisions)</li> <li>Opened 8 regional offices</li> <li>Implementation of recommendations of the Baseline survey on the perception of Kenyans, including Police Officers on policing that resulted in: <ul style="list-style-type: none"> <li>Standard recognition of outstanding Police facilities as well as Police officers, through Outstanding Police Service Award (OPSA),</li> <li>Emphasis on the establishment of the community policing framework by NPS grassroots commands,</li> <li>Civic education on policing to both the public and NPS</li> <li>Overseeing Police operations that touch on the public to assure quality.</li> </ul> </li> </ul>
2.	Number of prosecutions opened and concluded	<ul style="list-style-type: none"> <li>105 cases forwarded to DPP for further review</li> <li>53 cases filed in court for prosecution</li> <li>3 convictions obtained</li> </ul>
<b>Outcome 3: Improved Detention Facilities and Police Premises</b>		
	<b>Indicator</b>	<b>Evidence</b>
1.	Number of Detention Facilities and Police Premises improved	<ul style="list-style-type: none"> <li>950 inspection conducted in police facilities and premises</li> <li>159 recommendations submitted to NPS and NPSC</li> </ul>

No.	Indicator	Evidence
2.	Number of Police Premises meeting International Standards	<ul style="list-style-type: none"> <li>Enhanced compliance with Constitutional, NPS Act and National Police Standing Orders</li> <li>Developed policy documents, inspection tools meeting international standards and holding dialogue station commanders on recommendations towards improvement of the facilities</li> <li>Conducted 325 follow up inspections</li> <li></li> </ul>
<b>Outcome 4: Functional Internal Affairs Unit (IAU)</b>		
	Indicator	Evidence
1.	IAU has own premises, adequate budget, adequate staff and other resources	<p>The Authority's lobbying efforts led to:</p> <ul style="list-style-type: none"> <li>Establishment of the independent office</li> <li>implementation of Integrated Information Management System</li> <li>increased number of officers serving IAU</li> <li>IAU budget provision through the IGs budget line</li> </ul>
<b>Outcome 5: A Model Institution in Policing Oversight in Africa</b>		
	Indicator	Evidence
1.	National, Regional and Continental and International Recognition	<p>Authority has received four National awards:</p> <ul style="list-style-type: none"> <li>Three (3) Sector Accounting Standards (Cash) in the Ministries Financial Reporting Awards for best application of the International Public (FiRe) Awards</li> <li>One (1) CAJ (Huduma Award)</li> </ul>
2.	International/ Continental experiential learning	<ul style="list-style-type: none"> <li>The Board visited the UK in 2013 – England, Wales and Northern Ireland</li> <li>Management and the Board visited England for benchmarking and training 2016</li> <li>Management and Board visited IPID 2016</li> <li>2013 the Board attended training in South Africa</li> </ul>
3.	Adoption of global practices and Standards	<ul style="list-style-type: none"> <li>Training by UK based consultants for IRM staff and Investigators</li> <li>FBI in house training of investigators</li> <li>International training of management and technical staffs: 5 at the international law enforcement academy in Roswell, New Mexico, and 4 in Gaborone, Botswana</li> <li>Development of policies, guidelines and tools for Investigations, Inspections and Monitoring with the guidance of consultants from New Zealand, UK and US</li> <li>Developed and implemented of Enterprise Content Management System</li> </ul>

### 2.1.2 Challenges and Interventions

The key challenges faced during the 2014-2018 plan period and their respective interventions:

**Table 2.2: Challenges and Interventions**

S/ No.	Challenges	Interventions
1.	Non-cooperation by NPS and other relevant stakeholders	<ul style="list-style-type: none"> <li>• Regular engagements with NPS top leadership and other relevant institutions.</li> <li>• Enforcement of IPOA Act</li> <li>• Complied to NPS Act</li> </ul>
2.	Inadequate human capital	<ul style="list-style-type: none"> <li>• Recruited more staff; and</li> <li>• Enhanced staff training and development</li> </ul>
3.	High staff turnover	<ul style="list-style-type: none"> <li>• 17% 2014/2015 to 6% June 2018</li> <li>• Developed and rolled out of HR policies and procedures manual</li> <li>• Conversion of staff from contractual terms to permanent and pensionable</li> <li>• Developed and implemented succession management strategy</li> <li>• Facilitated officers to undertake tailor made training programs</li> <li>• Developed car loan and mortgage policies</li> </ul>
4.	Inadequate tools and equipment for implementation of the Authority's mandate	<ul style="list-style-type: none"> <li>• Lobbied Parliament to increase IPOA budget</li> <li>• Fundraising</li> </ul>
5.	Low levels of awareness of IPOA mandate	<ul style="list-style-type: none"> <li>• Developed awareness creation programs on Authorities mandate</li> <li>• Undertook awareness campaigns in 31 counties</li> <li>• Opened eight (8) regional offices</li> <li>• Made media appearance and engaged media in a number of programs,</li> <li>• Printed of IEC materials and distributed to stakeholders</li> <li>• Developed and revamped interactive website</li> </ul>
6.	Complexity within the criminal justice system	<ul style="list-style-type: none"> <li>• Fast track finalization of IPOA regulations</li> <li>• IPOA participated in multi-agency collaboration with relevant criminal justice agencies.</li> <li>• Entered into MOU with witness protection and Kenya human right</li> <li>• Established working relationships on Referrals of complaints with like- minded agencies</li> </ul>

### 2.1.3 Lessons learnt

Based on experiences during the preceding strategic planning period, key lessons upon which future successes will be built have been identified and resultant interventions provided as indicated in table 2.2. These interventions have been planned for in the 2019-2024 Plan period.

**Table 2.3: Lessons learnt**

S/No.	Thematic Area	Lesson Learnt	Interventions Required
1.	Stakeholder engagement	Need to strengthen engagement and cooperation with stakeholders	<ul style="list-style-type: none"> <li>Continuous engagement with state and non-state actors for enhanced accountability of the police officers</li> <li>Develop framework for engagement</li> </ul>
2.	Monitoring, Evaluation, reporting and learning (MERL)	Need to strengthen Strategy, Research, MERL systems	Deepen data and information gathering, analysis and dissemination for informed decision making
3.	Performance management	Need to link strategic planning with performance management	<ul style="list-style-type: none"> <li>Integrate performance management system with monitoring and evaluation framework</li> <li>Ensure timely cascading of the strategic plan</li> </ul>
4.	Awareness of the Authority's mandate	Need to increase public awareness on the mandate of the Authority	<ul style="list-style-type: none"> <li>Enhance sensitization and outreach programmes</li> <li>Re-brand and relaunch the Authority</li> </ul>
5.	Resource mobilization	Need to diversify sources of funding	Review and implement resource mobilization strategy
6.	Data management	Need to establish a centralized records and data storage system	Create a centralized data management system for improved decision making Improve security of data
7.	Human Capital	Need to position the Authority as the employer of choice	Review terms and conditions of service



## 2.2 Strength, Weaknesses, Opportunities and Threats (SWOT) Analysis

An internal and external analysis of the Authority's environment was undertaken to provide information on how it impacts on the operations of the Authority. The internal environment has analyzed the strengths and weaknesses while the external environment has provided the opportunities that are available and the threats that may inhibit success.

### Strengths

**Table 2.4: Strength**

S/No	Strength	Strategic implication	Strategic response
1.	IPOA Act No. 35 2011	Independence and clear mandate	Comply with the provisions of the Act
2.	Competent, Supportive, Board	Strategic positioning of the Authority	Enhance capacity of the Board
3.	Qualified, competent and committed employees	Efficient, effective timely delivery	Continuous training and institute retention mechanisms.
4.	Elaborate policy and procedure framework	Clear work procedures and outputs	Harmonize policies and procedures Sensitize staff
5.	Robust ECM system	Efficient, effective timely delivery	Integrate systems and operations
6.	Decentralization of Authority's services	Enhanced visibility Improved access to services	Strengthen Human and infrastructural capacity for regional offices

### Weaknesses

**Table 2.5: Weaknesses**

S/ No.	Weakness	Strategic Implication	Strategic Response
1.	Inadequate funding	Limits execution of mandate	Diversify sources of funding
2.	Inadequate human capital	Delays execution of mandate	Recruit more staff Outsource services
3.	Limited regional reach	Low access to services	Decentralize services to the counties
4.	Lack of structured feedback mechanism	Delayed feedback to complainants	Strengthen feedback mechanism
5.	Long system downtime	Delay in processing and submission of reports	regular maintenance and system upgrade

## Opportunities

**Table 2.6: Opportunities**

S/ No.	Opportunity	Strategic Implication	Strategic Response
1.	Favorable policy, legal and regulatory framework	<ul style="list-style-type: none"> <li>Clarity on mandate</li> <li>Engage other stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>Continuous engagement of the state and non-state actors for positive results</li> <li>Continuous vigilance on changing legal environment</li> </ul>
2.	Multi sectorial approach	<ul style="list-style-type: none"> <li>Enhanced support to deliver on mandate</li> </ul>	<ul style="list-style-type: none"> <li>Sensitize staff on multi-sectorial approach to policing.</li> <li>Develop cooperation and collaboration framework</li> </ul>
3.	Political goodwill	Enhanced political commitment to support the Authority	Create awareness of the Authority among political class
4.	Goodwill from international and national stakeholders	Opportunities for partnership	Form strategic alliances Mobilise additional resources
5.	Goodwill from NPS	Enhanced implementation of recommendations	Enhance feedback mechanisms
6.	Advancements in Information Technology	Improved service delivery Enhanced productivity and customer service A robust social media platforms	Integrate ICT in Authority's operations Develop guidelines on communication on mobile phone and social media communication
		Improved visibility of IPOA	Leverage social media in outreach and awareness programs.
7.	Mainstream media	A platform for enhanced visibility	Develop outreach and sensitization programs
8.	Ongoing police reforms	Enhance uptake of IPOA recommendations	Recommend reform initiatives

## Threats

**Table 2.7: Threats**

S/ No.	Threats	Strategic Implication	Strategic Response
1.	Low public awareness on Authority's	Low stakeholder participation	Educate the public on mandate of the Authority Enhance visibility of the

	mandate		Authority
2.	Political Interference	Interference in the operations of the Authority	Sensitize political class on IPOA Act No. 35 2011

### 2.3 Environmental Scanning (PESTEL Analysis)

In order to appreciate the environment under which the Authority operates and allow it to find the best match between environmental trends and internal capabilities, PESTEL analysis was undertaken. The PESTEL issues considered important for this Strategic Plan are highlighted below:

**Table 2.8: Political factors**

S/ No.	Political Factor	Strategic Implication	Strategic Response
1.	Constitution of Kenya (2010)	An impetus to IPOA mandate	Adhere to constitutional provisions
2.	Government policies	Elaborate policy framework on civilian policing	Align Authority's policies to policy framework
3.	International and regional conventions, laws and treaties	Enriched IPOA policy and legal framework	Comply with relevant international conventions and treaties
4.	Expanded democratic space	Increased scope of work	Sensitize members of the public on their democratic rights and responsibilities
5.	Political instability	Possibility of abuse of human rights	Enhance monitoring of police operations

### Economic Factors

**Table 2.9: Economic Factors**

S/ No.	Economic Factor	Strategic Implication	Strategic Response
1.	Inflation	Shortfall in budgetary allocation	Seek for increased funding
2.	Unemployment	High poverty and inequality levels Failure to attend to court interviews of key witnesses	Facilitate Key witnesses to attend court cases

### Social Factors

**Table 2.10: Social Factors**

S/ No.	Social Factor	Strategic Implication	Strategic Response
1.	Demographic changes and urbanization,	Increased number of complaints	Devolve oversight functions Sensitization on Authority's mandate
2.	Increased crime rates	Increased number of complaints	Enhance vigilance on police operations
3.	Corruption	Loss of public trust	Encourage staff integrity
4.	Cultural, Religious practices	Violations of human rights	Sensitize public on human rights
5.	High illiteracy and Ignorance levels	Poor communication skills	Sensitization and awareness creation.

## Technological factors

**Table 2.11: Technological Factors**

S/No.	Technological Factor	Strategic Implication	Strategic Response
1.	Rapid change and new emerging technologies	Effective and efficient business processes	Upgrade and maintain ICT systems Promote adoption of new technologies
2.	Influence of Social media	The demand for quicker feedback through the same channel.	Utilize the power of social media
3.	Cyber security	Increased cyber-crime and threats	Secure Authority's data and information

## Environmental factors

**Table 2.12: Environmental Factors**

S/No.	Environmental Factor	Strategic Implication	Strategic Response
1.	Non-Compliance to environmental laws	Hostile climatic conditions	Comply to environmental laws and regulations
2.	Global Warming	Hostile climatic conditions	Adopt Emerging environmental friendly technologies Comply to environmental laws and regulations Go paperless

## Legal factors

**Table 2.13: Legal Factors**

S/No.	Legal Factor	Strategic Implication	Strategic Response
1.	Conflicting and Overlapping Laws	Incompatibility with IPOA Act No. 35 2011	Continuous legal audit, Constitutional interpretations Engage AGs office for legal advice
2.	Frequent amendment of laws	Conflict with IPOA Act No. 35 2011	Engaging legal advisors
3.	International conventions	Enhanced legal framework	Comply to all ratified treaties and conventions
4.	Litigations and suits	Diversion from core mandate Increased work load	Engage experts on legal matters Seek alternative dispute resolution mechanisms. Capacity build the legal department

## 2.4 Stakeholder Analysis

Stakeholders play an important role in our ability to deliver on our strategy and meet our customer expectations. The Authority is committed to stakeholder engagement and building good working relationships with a view to meeting stakeholder expectations and galvanizing their support for delivery of our mandate. A summary of the stakeholder analysis is as shown in table 2.13:

**Table 2.14: Stakeholder Analysis**

S/No.	Stakeholder Category	Stakeholder Expectation	IPOA Expectation
1.	Office of the President	<ul style="list-style-type: none"> <li>Good governance</li> </ul>	<ul style="list-style-type: none"> <li>Continued support and recognition</li> </ul>
2.	Parliament	<ul style="list-style-type: none"> <li>Proposals for legal reviews</li> <li>Comply and implement policing laws</li> </ul>	<ul style="list-style-type: none"> <li>Funding of programs and activities</li> <li>Regular legal review to address emerging policing issues</li> </ul>
3.	Ministry of Interior	<ul style="list-style-type: none"> <li>Regular reports on police</li> </ul>	<ul style="list-style-type: none"> <li>Cooperation in executing</li> </ul>

S/No.	Stakeholder Category	Stakeholder Expectation	IPOA Expectation
		operations <ul style="list-style-type: none"> <li>• Impartial Oversight and reporting of police operations</li> </ul>	mandate <ul style="list-style-type: none"> <li>• Speedy feedback on reports</li> <li>• Implementation of recommendations</li> </ul>
4.	National Police Service (NPS)	<ul style="list-style-type: none"> <li>• Ensuring that justice is served to the victims</li> <li>• Referral of cases (IAU), Audit their investigations</li> <li>• Make recommendations aimed at reforming the service</li> <li>• Fair investigations and reporting of police operations</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration and cooperation</li> <li>• Make referral of cases to the Authority</li> <li>• Refer cases to IPOA, cooperate with IPOA</li> <li>• Implement recommendations by the Authority.</li> <li>• Regular feedback on implementation of recommendations</li> </ul>
5.	National Intelligence Service	<ul style="list-style-type: none"> <li>• Information sharing</li> </ul>	<ul style="list-style-type: none"> <li>• Information sharing</li> </ul>
6.	Directorate of Criminal Investigations	<ul style="list-style-type: none"> <li>• Respect for IPOA mandate</li> </ul>	<ul style="list-style-type: none"> <li>• Respect for each other's mandate</li> </ul>
7.	National Police Service Commission (NPSC)	Ensuring that justice is served to the victims  Referrer and receive cases from NPS	<ul style="list-style-type: none"> <li>• Collaboration and cooperation and referral of cases</li> <li>• Implement recommendations by the Authority.</li> <li>• Regular feedback on implementation of recommendations.</li> </ul>
8.	Office of the Director of Public Prosecutions (ODPP)	Watertight cases	Refer complaints to IPOA Collaboration and cooperation Speedy review of files Timely prosecution
9.	Judiciary	Water tight cases	Fast tracking of cases and Convictions
10.	National Treasury	Prudent utilization of funds allocated	Adequate allocation Timely disbursement of funds
11.	Constitutional commissions and independent offices	Cooperation and collaboration on execution of mandate	Cooperation and collaboration on execution of mandate

S/No.	Stakeholder Category	Stakeholder Expectation	IPOA Expectation
12.	Kenya National Commission on Human Rights	Ensuring that justice is served to the victims	Cooperation and collaboration on execution of mandate
13.	County Governments	Cooperation	Operationalize of the County Policing Authorities Enhancing access to Authority's services
14.	Media	Timely update of Authority's itinerary	Fair coverage and reporting of Authority's operations and programs
15.	Development partners	Adequate information on areas of cooperation.	Commitment of pledges made
16.	Civil Society organization	Cooperation	Constructive criticism
17.	Institution of higher learning	Engagement on capacity building and research work	Capacity building and participation in research work
18.	Internal Affairs Unit	Ensuring that justice is served to the complainants	Collaboration and cooperation in audit and oversight
19.	Telephone service providers	Confidentiality of information provided	Avail information required for investigations
20.	The public	Speedy investigations of policing complaints made	Timely reporting of complaints Cooperate with Authority during investigations
21.	The office of the Government pathologist.	Make timely request for services.	Respond to request for post-mortems, exhibits and to give expert testimony in courts.
22.	Witness Protection Agency.	Refer witnesses appropriate for protection the agency.	Create awareness of the Agency to the public
23.	Professional Institutions	Take action on matters referred to the Authority by them	Cooperate during investigations of complaints
24.	Supplies and service providers	Timely requisition and payment of goods and services supplied	Prompt supply of quality goods and services
<b>INTERNAL STAKEHOLDERS</b>			
25.	Board	Information in a form, timeframe and quality that enables them to effectively discharge their responsibilities and duties.	Commitment and dedication in service delivery
26.	Staff	Conducive working environment	Commitment and dedication in service delivery

## CHAPTER THREE

### STRATEGIC MODEL

#### 3.0 Overview

This chapter provides the strategic intent of IPOA which includes the Vision, Mission, Core Values, Key Results Areas, Strategic Objectives and Strategies.

#### 3.1 Vision, Mission, Motto and Core Values

The Authority intends to strategically focus on its core functions and operations as stipulated in the IPOA Act No. 35 of 2011. For this reason, the following strategic elements have been crafted to guide the process.

##### 3.1.1 Vision

A transformative civilian oversight authority that promotes public trust and confidence in the National Police Service

##### 3.1.2 Mission

To conduct independent and impartial investigations, inspections, audits and monitoring of the National Police Service to enhance professionalism and discipline of the Service.

##### 3.1.3 Core Values

The following core values define expected standards of behavior and culture of the Authority:

**a) Independence**

Independence in execution of its mandate and decision making

**b) Integrity**

Integrity means fully embracing the role of the fiduciary by acting with due care and undivided loyalty to our clients in accordance with law and the governing instrument. The Authority will strive to gain the highest level of trustworthiness and transparency from our clients, partners and employees in all their business dealings.

**c) Impartiality**

We shall be honest, fair, objective and unbiased in the discharge of our responsibilities and delivery of services. No officers will be involved in any matters that he or she has personal interest in the outcome.

**d) Professionalism**



We are committed to meeting one's obligations to provide high standards of service, guarantee privacy and confidentiality of our clients' information, maintain and professional competence in the discharge of responsibilities and delivery of services.

**e) Commitment**

We shall endeavor to meet all expectations of our mandate.

**f) Accessibility**

Our services will be made available to all Kenyans without discrimination.

### **3.1.4 Motto**

**Guarding public interest in policing**

### **3.2 Key Result Areas (KRAs)**

The strategic framework outlines four KRAs which reflect the Authority's mandate and functions and will be the pillars of this Strategic Plan. The KRAs are:

**KRA 1: Police Accountability**

**KRA 2: Cooperation with other institutions**

**KRA 3: Research and Information Management**

**KRA 4: Institutional Capacity**

### **3.3 Strategic Objectives**

The Key Result Areas will be achieved through the following strategic objectives:

**KRA 1: Police Accountability**

- 1) To build public confidence and trust in policing
- 2) To enhance compliance to human rights standards and fundamental freedoms

**KRA 2: Cooperation with other institutions**

- 1) To Strengthen cooperation with other institutions
- 2) To enhance service delivery

**KRA 3: Research and information management**

- 1) To generate Knowledge for evidence based policy, strategy and decision making

- 2) To facilitate utilization of knowledge for evidenced based policy, strategy and decision making

#### **KRA 4: Institutional capacity**

1. To promote corporate governance
2. To strengthen Human Resource Capacity
3. To ensure institutional financial sustainability
4. To strengthen business systems and internal processes for efficient service delivery

### **3.4 Strategy Matrix**

The following strategies were formulated in order to address the strategic objectives identified in 3.3 above:

**Table 3.1: Strategy Matrix**

S/No.	Key Result Areas	Strategic Objectives	Strategies
1.	<b>Police Accountability</b>	1.1 To build public confidence and trust in policing	1.1.1 Prevention of police excesses
			1.1.2 Education and awareness creation
			1.1.3 Enhance complaints management
			1.1.4 Ensure compliance with the law
			1.1.5 Enhance Inspections of police premises as a result of complaints
			1.1.6 Strengthen stakeholder cooperation and collaborations
			1.1.7 Enhance monitoring, review and audit the functions of IAU
		1.2 To ensure compliance to human rights standards and fundamental freedoms	1.2.1 Investigations of police disciplinary and criminal offences
			1.2.2 Strengthen inspection of police premises and detention facilities
			1.2.3 Enhance inter-agency cooperation
			1.2.4 Enhance monitoring police operations
2.	<b>Cooperation with other institutions</b>	2.1 To Strengthen cooperation with state and non-state organs	2.1.1 Enhance cooperation policy framework
			2.1.2 Implement cooperation policy framework
		2.2 To enhance service delivery	2.2.1 Enhance dialogue with partners
			2.2.2 Enter into MOUs with partners
			2.2.3 Embrace Alternative Dispute Resolution (ADR)
3.	<b>Research and Information</b>	3.1 To generate Knowledge for	3.2.1 Strengthen research in policing
			3.2.2 Enhance sharing of research outputs

S/No.	Key Result Areas	Strategic Objectives	Strategies
	<b>management</b>	evidenced based policy, strategy and decision making	3.2.3 Tracking of recommendations
		3.2 To facilitate utilization of knowledge for evidenced based policy, strategy and decision making	3.2.1 Advise on strategic interventions internally and externally
			3.2.2 Institutionalize knowledge management
			3.2.3 Dissemination of report findings and recommendations
<b>4.</b>	<b>Institutional capacity</b>	4.1 To promote corporate governance	4.1.1 Enhance Board and management capacity
			4.1.2 Enhance corporate image
			4.1.3 Undertake internal branding
			4.1.4 Strengthen reporting relationship and structure in line with SP
		4.2 To strengthen Human Resource Capacity	4.2.1 Align Human Resource practice to policy, legal framework and best practice
			4.2.2 Alignment of staffing levels to strategy
			4.2.3 Strengthen organizational learning and development
			4.2.4 Review and implement the performance management system(
			4.2.5 Improve and support employee welfare
			4.2.6 Rewards and benefits(bonding,
			4.2.7 Enhance work environment
			4.2.8 Team building initiatives
		4.3 To ensure institutional financial sustainability	4.3.1 Enhance resource mobilisation
			4.3.2 Enhance resource allocation and utilization
			4.3.3 Compliance with prudent use of public resources
		4.4 To strengthen business systems and internal processes for efficient service delivery and uptime	4.4.1 Leverage and standardize ICT in all the operations
			4.4.2 Enhance risk management

### 3.5 Key Planning Assumptions

- i. Continued exchequer funding
- ii. No constitutional or legislative amendments will affect IPOA mandate
- iii. Political stability

## CHAPTER FOUR

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### IMPLEMENTATION AND COORDINATION FRAMEWORK

#### 4.0 Overview

The Authority will put in place a strategy coordination framework and strengthen its institutional capacity to be able to implement this Plan successfully.

#### 4.1 Governance Structures

The Authority is governed by a Board known as the Independent Policing Oversight Board that is responsible for policy and strategic guidance. The Chief Executive Officer is responsible for the day-to-day management of the affairs of the Authority. The Authority is structured in directorates and departments.

##### 4.1.1 Directorate of investigations

The Directorate is responsible for investigations into allegations of criminal actions and misconduct by Police.

a)

##### 4.1.2 Directorate of Inspections, Research and Monitoring

The directorate is responsible for inspections of police premises, monitoring of police operations and research to enhance compliance by police to constitutional and legal standards on human rights and fundamental freedoms in policing.

##### 4.1.3 Directorate of Complaints Management and Legal Services

The Directorate is responsible for receiving and processing complaints, offering counseling services to staff and clients, and providing legal services to the Authority.

##### 4.1.4 Directorate of Business Services

The Directorate is responsible for providing the necessary oversight in the areas of Finance, General Administration, Records Management and Information Technology.

In addition to the Directorates, the Authority has other departments and units as indicated below:

#### **4.1.5 Human capital Department**

The department is responsible for strengthening the capacity of the Authority through human resource planning, recruitment, training and development and staff performance management.

#### **4.1.6 Communication and Outreach Department**

The department is responsible for developing and implementing communication strategies and policies for effective brand management and improved awareness of the Authority's mandate.

#### **4.1.7 Regional offices**

The regional offices are responsible for facilitating access to the Authority's services to the public within the regional offices and cascading IPOA services.

#### **4.1.8 Security**

The Department is responsible for coordinating the security function in the Authority.

#### **4.1.9 Risk and Audit**

The department is responsible for providing independent and objective reviews and assessments of the business activities, operations, financial systems and internal accounting controls of IPOA.

#### **4.1.10 Procurement**

The department is responsible for the supply of operational requirements within the provisions of public procurement laws and regulations.

#### **4.1.11 Performance Monitoring and Evaluation**

The department is responsible for coordinating corporate performance management system for effective implementation of the strategic objectives.

#### **4.2 Staffing Levels**

The Authority currently has 218 members of staff against a proposed establishment of 326. To realize its mandate and effectively implement the envisaged activities, recruitment of optimal human resource capacity will be given priority during this planning period. The proposed staffing level for the next five years is provided in table 4.1 below:

***Table 4.1: Proposed staffing levels***

<b>Directorate/ department</b>	<b>Approved staffing</b>	<b>In post</b>	<b>Variance</b>
Board Chair's Office	11	9	2
CEO Office	3	3	0
Investigations	52	29	23
Complaints Mgt & Legal Services	29	25	4
Inspection and Monitoring	25	14	11
Business Services	29	20	9
ICT	6	4	2
HR Management	5	3	2
Communication and Outreach	9	4	5
Security Service Unit	5	1	4
Risk and Audit Unit	6	2	4
Procurement	5	4	1
Regional Offices	141	100	41
	<b>326</b>	<b>218</b>	<b>108</b>

### **4.3 Organizational Structure**

The Authority has developed an organizational structure that is aligned to strategy to facilitate effective delegation, management processes and information flow. The Authority's Organizational Structure will be as presented in the following organogram:

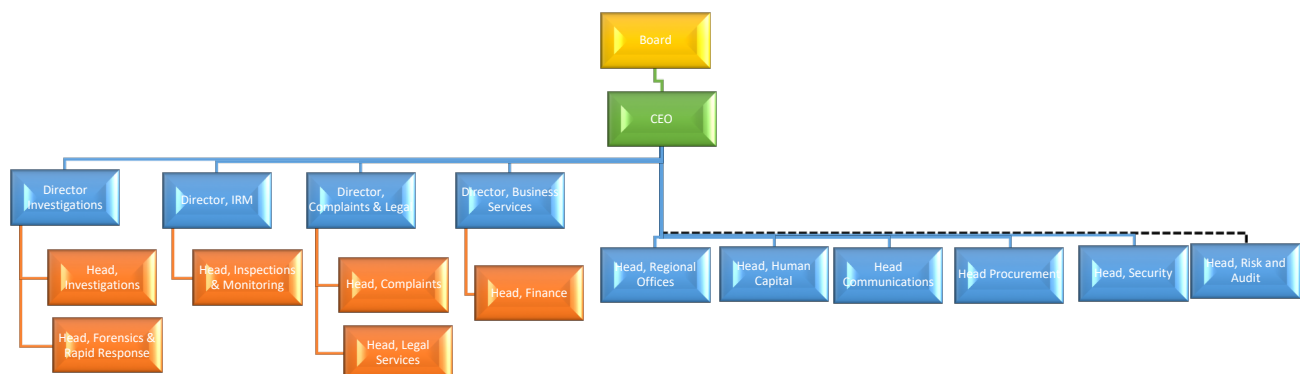


Figure 1: Authority's organization structure

## 4.4 Strategy Implementation

Successful implementation of this strategic plan will be achieved through collaborative efforts of all stakeholders as the Authority provides the appropriate governance and policy direction. Implementation of responsibilities of this Plan shall be cascaded to all levels by developing and implementing annual corporate and functional areas work plans in order to allow for maximum participation of all the relevant stakeholders. Formal existing institutional structures will be charged with carrying out their appropriate roles.

### 4.4.1 Pre-Implementation

The Board will seek to:

- Communicate the plan to all stakeholders to ensure clarity of vision and purpose;
- Align the organization structure to the strategy;
- Assign roles and responsibilities to different players;
- Mobilize, allocate and utilize resources as identified in the plan;
- Align annual, functional and individual work plans to the corporate plan and budget;
- Put in place an appropriate monitoring, evaluation and reporting framework; and
- Strengthen staff capacity to deliver on the mandate.

#### **4.4.2 During Implementation**

The Board is responsible for policy formulation and providing strategic leadership. The CEO is the principal accounting officer and will ensure the overall coordination, implementation, monitoring, and evaluation of the Strategic Plan, including acting on decisions made by the Board. The Heads of Directorates and departments will be responsible for the day-to-day implementation, monitoring, and evaluation of the plan so as to ensure that the planned activities are implemented.

The CEO shall ensure:

- a) Annual work plans and the annual budget are prepared and approved
- b) A performance management system is implemented;
- c) Members of staff develop and implement work plans in line with the Strategic Plan;
- d) Coordination of meetings to review progress and resolve issues that may arise in implementation;
- e) The day-to-day implementation, monitoring, and evaluation of the plan is undertaken and feedback provided;
- f) Actual performance is measured at all levels.

#### **4.4.3 Post Implementation**

A review of the strategy implementation process shall be carried out and lessons drawn that shall inform the next planning cycle will be shared with all internal stakeholders. The Board will play an oversight role in the implementation, monitoring and evaluation of the Strategic Plan.

#### **4.4.4 Linkages and Collaborations**

The CEO will mobilize and enhance collaborations and partnerships with appropriate stakeholders and other players in the implementation process.

#### **4.5 Financial Implication**

The Programmes identified in this Strategic Plan will be accomplished through activities which shall be allocated resources through the Programme-Based Budgeting (PBB) which has been adopted by the Authority as required by the Public Financial Management Act, 2012 and PFM regulations, 2015.

The implementation matrix (Appendix I) indicates the resources required for implementing activities under the **10** strategic objectives that the Authority has identified. The projected resource requirements for implementation of the Authority's Strategic Plan 2019-2024 is Kshs. ....million.



**Table 4.2: Total resources required for the period 2019-2024**

KEY RESULT AREA	STRATEGIC OBJECTIVE	Financial Resource Requirements Estimate (KES. Million)					
		2019/20	2020/21	2021/22	2022/23	2023/24	Total
<b>Police Accountability</b>	1) To build public confidence and trust in policing						
	2) To ensure compliance to human rights standards and fundamental freedoms						
	<b>Sub Total</b>						
<b>Cooperation with other Institutions</b>	1) To Strengthen cooperation with state and non-state organs						
	2) To enhance service delivery						
	<b>Sub-total</b>						
<b>Research and Information Management</b>	1) To generate Knowledge for evidenced based policy, strategy and decision making						
	2) To facilitate utilization of knowledge for evidenced based policy, strategy and decision making						
	<b>Sub Total</b>						
<b>Institutional Capacity</b>	1) To promote corporate governance						
	2) To strengthen Human Resource						

	Capacity						
	3) To ensure institutional financial sustainability						
	4) To strengthen business systems and internal processes for efficient service delivery and uptime						
	Sub Total						
	Sub Total						
Total							
Recurrent Expenditure Projections (KES. Millions)							
	2019/20	2020/21	2021/22	2022/23	2023/24	Total	
Total Expenditure							
Grand Total (Strategy Implementation + Recurrent +)							
Sources of Funds							
	2019/20	2020/21	2021/22	2022/23	2023/24	Total	
Total Revenue							
Resource Gap							

#### 4.5.1 Sources of funds

## Xxxxx GoK and Development Partners

#### 4.5.2 Resource Mobilization and Utilization

Availability and efficient utilization of resources is key to the successful implementation of the Strategic Plan. The Authority will, therefore, seek to mobilize resources for assured financial sustainability.

#### 4.5.3 Strategies for Resource Mobilization

To finance the planned activities and ensure financial sustainability, the Authority will mobilize financial resources for its activities as follows:

- Implement resource mobilization strategy
- Engage parliament and Treasury
- Comply with financial policies and guidelines
- Cost cutting strategies
- Engage Development partners.

#### 4.5.4 Measures to Eliminate Wastage and losses

To promote prudent utilization of resources, the Authority shall ensure that guidelines on expenditure control are fully applied. The Authority will:

- a) Adhere to planned activities as outlined in the Strategic Plan;
- b) Strengthen internal controls; and
- c) Embrace technology to enhance efficiency and reduce cost.

### 4.6 Risk Management

Possible risks, to which the Authority may be exposed to during the Strategic Plan implementation have been identified, ranked and suggested mitigation strategies provided. Table ...4.3 . Provides a list of the risks to which the Authority may be exposed to:

**Table 4.3: Risk analysis**

S/No.	Risk Factor	Risk Identified	Level of risk (Low, Medium, High)	Mitigation
1.	Governance	1. Leadership & management style 2. Organizational structure 3. Integrity/competence 4. Knowledge management 5. Management of staff	High	1. Proper governance mechanism in place 2. Develop and Implement a Board code of conduct and Board evaluation. 3. Ensure documentation of all standard operating procedures

2.	Financial	<ol style="list-style-type: none"> <li>1. Inadequate Funding</li> <li>2. Delayed budget implementation</li> <li>3. Budget not aligned to work plans</li> </ol>	High	<ol style="list-style-type: none"> <li>1. Authority to continuously negotiate increased funding by the GOK.</li> <li>2. Develop a resource mobilization strategy.</li> <li>3. Source for more development partners to support Authority objective.</li> <li>4. Ensure work plans are aligned to the budget</li> </ol>
3.	Strategic	<b><u>Non-cooperation from the NPS</u></b> <ol style="list-style-type: none"> <li>1. Deliberate noncooperation by NPS.</li> <li>2. Delayed responses by NPS</li> <li>3. Failure/</li> <li>4. Delay to adopt and implement IPOA recommendations</li> </ol>	High	<ol style="list-style-type: none"> <li>1. Enforce IPOA Act</li> <li>2. Diplomatic (Formal/Informal) engagement with NPS Leadership.</li> <li>3. Carryout outreach activities</li> </ol>
		<b><u>Non-Compliance by Police to human rights standards</u></b> <ol style="list-style-type: none"> <li>1. Ignorance by police on required standards of operation.</li> <li>2. Inadequate investigations by IPOA officers on possible violations.</li> <li>3. Inadequate resources to conduct sufficient investigations, inspections and monitoring activities.</li> </ol>		<ol style="list-style-type: none"> <li>1. Conduct regular outreach activities to NPS on human rights standards.</li> <li>2. Enhance the quality of investigations</li> <li>3. Source for more funding from GOK and partners.</li> <li>4. Political partnerships (Lobby)</li> </ol>
		<b><u>Non-Functional IAU</u></b> <ol style="list-style-type: none"> <li>1. Noncooperation by IAU.</li> <li>2. Failure by IAU to report complaints received to IPOA</li> <li>3. Non response by IAU when contacted by IPOA.</li> <li>4. Failure by IPOA to regularly audit IAU activities</li> </ol>		<ol style="list-style-type: none"> <li>1. IPOA to initiate audits of IAU.</li> <li>2. Enforce the IPOA act.</li> <li>3. Ensuring IAU functionality becomes a priority.</li> <li>4. Create operational partnerships</li> </ol>
4.	People	<b><u>Recruitment and staff retention weakness</u></b> <ol style="list-style-type: none"> <li>1. Ethical and legal risks e.g. failing to advertise promote and encourage a diverse and equal opportunity workplace.</li> <li>2. Recruitment of incompetent staff.</li> <li>3. Fraudulent resume claims.</li> <li>4. Job insecurity</li> <li>5. Internal/External influence</li> </ol>	Medium	<ol style="list-style-type: none"> <li>1. Enforce recruitment and selection policies and procedures.</li> <li>2. Document all decisions made by the selection and recruitment panels.</li> <li>3. Performing verification checks at each reference institution (Pre &amp; Post).</li> </ol>

		of the recruitment process		
		<b><u>Insecurity</u></b> <ol style="list-style-type: none"> <li>1. Threats to employee security and Board</li> <li>2. Information security threats and breach of information</li> <li>3. Loss of assets.</li> <li>4. Loss of life</li> <li>5. Threat to witnesses/clients</li> </ol>		<ol style="list-style-type: none"> <li>1. Continuous sensitization on security matters.</li> <li>2. Enforce security policy manual. Enhance security surveillance.</li> <li>3. Memorandum with other government agencies</li> <li>4. Develop and enforce an Information security policy.</li> <li>5. Install effective firewall and other data/information</li> <li>6. Security systems.</li> <li>7. Data encryptions</li> <li>8. Equipment of IPOA staff with security</li> </ol>
5.	Operational risks	<ol style="list-style-type: none"> <li>1. Inability to re-engineer business processes that will drive efficiency and effectiveness</li> <li>2. Inadequate facilities, working infrastructure and equipment</li> </ol>	Medium	<ol style="list-style-type: none"> <li>1. Develops succession management strategy and implement</li> <li>2. Conduct business process re-engineering</li> <li>3. Regular security training Engage partners to acquire specialized oversight equipment</li> </ol>
		<b>Fraud and corruption</b> <ol style="list-style-type: none"> <li>1. Fraudulent procurement and financial activities.</li> <li>2. Inadequate segregation of duties in finance and procurement functions.</li> <li>3. Compromised investigations</li> </ol>		<ol style="list-style-type: none"> <li>1. Adherence to procurement act and PFM acts and regulations.</li> <li>2. Segregation of duties and responsibilities in procurement.</li> <li>3. Ensure investigations procedures and reviews take place.</li> <li>4. Carryout regular integrity tests</li> <li>5. Regular internal audits to strengthen internal controls.</li> <li>6. Establish and adhere to whistleblowing policy.</li> </ol>

		<b>Safeguarding of assets</b> <ol style="list-style-type: none"> <li>1. Loss of assets</li> <li>2. Breakdown of assets</li> <li>3. Underutilization of assets</li> </ol>		<ol style="list-style-type: none"> <li>1. Enhance physical security within IPOA premises.</li> <li>2. Regular monitoring of assets and annual verification exercises.</li> <li>3. Tracking of all Authority motor vehicles</li> <li>4. Maintenance of available movable assets.</li> </ol>
6.	Reputation/ Institution Integrity	<ol style="list-style-type: none"> <li>1. Unethical activities by IPOA &amp; its staff.</li> <li>2. Maladministration and abuse of office.</li> <li>3. Unauthorized communications by staff to the media.</li> <li>4. Corruption.</li> <li>5. Backlog of investigations and complaints.</li> <li>6. Lack of crisis management guidelines</li> </ol>		<ol style="list-style-type: none"> <li>1. Enforce the organizations code of conduct.</li> <li>2. Enforce communications policy</li> <li>3. Develop and Implement a whistle blower policy.</li> <li>4. Pursue timely resolution of complaints and investigations as per the service delivery charter.</li> <li>5. Develop a Business continuity plan that incorporates crisis management</li> </ol>
		<b>Communication &amp; Outreach /feedback to public</b> <ol style="list-style-type: none"> <li>1. Failure to push the Authority Mandate to public in general</li> <li>2. Lack of public and stakeholders buy in</li> <li>3. Inability of the Authority to push its Agenda</li> </ol>		<ol style="list-style-type: none"> <li>1. Rigorous communication to the public and Media on IPOA's mandate</li> <li>2. Periodic feedback to clientele on status of their cases.</li> </ol>
7.	Regulation/Compliance/reporting	<ol style="list-style-type: none"> <li>1. Noncompliance to general laws and regulations</li> <li>2. Entity to specific laws &amp; regulations</li> <li>3. Finance reporting</li> <li>4. Fraud and errors</li> <li>5. Reporting to regulators</li> </ol>		<ol style="list-style-type: none"> <li>1. The Authority to put measures to ensure compliance to reporting to regulators, general laws and regulations</li> </ol>
8.	External Factors/Contagion Risk	<ol style="list-style-type: none"> <li>1. Economic Factors</li> <li>2. Political factors</li> <li>3. Natural Environment</li> <li>4. Social and Cultural</li> <li>5. Demography</li> </ol>		<ol style="list-style-type: none"> <li>1. Controls put in place to ensure external factors are monitored and mitigated.</li> </ol>
9.	Litigation Risks	<ol style="list-style-type: none"> <li>1. Legal proceedings against the Authority by clients, employees suppliers and other stakeholders</li> </ol>		<ol style="list-style-type: none"> <li>1. The Authority has an organized legal department and experienced legal staff to handle litigation</li> </ol>



## CHAPTER FIVE

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### MONITORING, EVALUATION, REPORTING AND LEARNING

#### 5.0 Overview

An effective Monitoring, Evaluation, Reporting and Learning (MERL) system is vital to the successful implementation of this Plan. The Authority will put in place a system that seeks to monitor, evaluate and report on progress towards planned objectives and provide feedback on the status of implementation for informed decision making.

#### 5.1 Monitoring, Evaluation, Reporting and Learning Framework

The Authority's M&E function will be informed by guidelines provided by the National Treasury and Planning. The various Key Result Areas, strategic objectives, targets and key performance indicators identified will form the basis of the MERL framework for this Plan.

Monitoring the implementation of the Strategic Plan shall be based on the corporate annual work-plan, functional areas annual work-plans and individual work plans. Progress for each activity shall be measured against specific targets in the Plan and reporting done on quarterly, biannually and annual basis. Results from the analysis shall then be used to inform decision-making, identify challenges and take immediate corrective action.

##### 5.1.1 Monitoring and Evaluation Team

For the Strategic Plan to be effectively implemented, MERL shall be coordinated by the Performance, Monitoring and Evaluation Unit. The Unit shall ensure that strategies are being implemented, performance is being measured, progress reports are made and discussed, and corrective action is taken where necessary. All the functional areas shall be accountable for the completion of tasks indicated in their respective work-plans. Responsibility for data collection, aggregation, analysis and reporting on the Plan will rest with the Heads of the functional areas.

The Board shall be responsible for overseeing and managing the monitoring and evaluation of the Plan.

#### 5.2 Linking MERL to Performance Management

For the implementation of the Plan to be effective, the MERL shall be an integral



part of the Authority's performance management system and will be linked to staff appraisal system.

The Director/CEO shall ensure that a performance management system is implemented, actual performance is measured against negotiated targets at all levels and feedback provided to key actors in the implementation.

The Authority shall monitor and evaluate its activities and performance in the process of reporting on its Performance on quarterly, semi-annually and annual bases. The tracking of the Plan will be regularized to become part of this process.

### **5.2.1 Cascading the Plan**

The Plan shall be cascaded to all staff members. This will enable each member of staff to understand and plan for their respective roles.

Functional and individual work plans with clear performance indicators, resources requirements and responsibility for their achievement shall be developed in line with activities in the Plan.

### **5.2.2 Data and Information Collection Procedures**

To facilitate reporting on performance, data and information collection templates and procedures shall be developed for use by the functional areas. The reports shall describe actions taken towards achieving the specific strategies of the Plan and shall include achievements, challenges, lessons learnt and recommendations.

### **5.2.3 Scheduled Meetings**

To ensure implementation is on track, the CEO shall ensure meetings are held to review progress and resolve issues that may arise in implementation. Scheduled meetings shall be held as follows:

- a) Monthly review meetings at the functional levels shall be convened to ensure implementation is on track;
- b) Quarterly review meetings at the functional levels and board level shall be convened to receive reports on implementation of the Plan;
- c) The overall oversight of the Strategic Plan and its implementation is a critical role of the Board. Therefore, progress reporting will be an Agenda Item in quarterly Board Meetings; and

- d) A Strategy implementation review meeting will be held annually to evaluate the progress made on the implementation of the Plan.

### **5.3 Progress Reports**

Progress reporting on implementation of the Strategic Plan is important in adjusting strategic directions and measuring performance. The PME Unit shall submit the following reports to the Management and the Board on the progress made in implementation of the Plan:

- (a) Monthly reports – respective Departments and Directorates at Management meetings
- (b) Quarterly report – Management and the Board; and
- (c) Biannual/Performance Report – Management and Board
- (d) Annual Report – Management, the Board and relevant stakeholders

### **5.4 Performance Review**

Performance review shall be undertaken annually, mid-term and at the end of the Plan period by the CEO with guidance from the Board.

#### **a) Annual Review**

At the end of each financial year, a report will be produced giving details on the implementation of the Plan and circulated to the stakeholders.

#### **b) Mid-Term Review**

After two and a half years, a mid-term review will be undertaken giving a status report on the implementation of the Plan and circulated to the stakeholders.

#### **c) End Term Review**

The final evaluation for this Strategic Plan shall be carried out at the end of the planning period and will seek to determine:

- a) the extent to which the activities undertaken achieved the objectives;
- b) the achievements realized;
- c) challenges faced and mitigation measures;
- d) lessons learnt; and
- e) the way forward on the subsequent Plan.

## 6.0 The Implementation Matrix

The Implementation matrix is a framework that allows for effective implementation of the strategic plan. The implementation matrix is presented as

**Appendix I** below and consists of:

- (a) Key Result Areas;
- (b) Strategic Objectives;
- (c) Strategies;
- (d) Activities;
- (e) Performance Indicators;
- (f) Targets;
- (g) Budget; and
- (h) Responsibility.

**Appendix I: Implementation Matrix**

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (Kshs. Million)					Total Budget	Resp.	
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5			
KRA 1: Police Accountability																	
Strategic Objective 1: To Build public confidence and trust in policing																	
	Prevention of police excesses	Gather intelligence on police excesses	No. of Intelligence report													DI	
		Undertake systems audit	No. of Audit report														
		Advise on review of policing laws	No. Policy briefs developed														
	Education and awareness creation	Develop guidelines on education and awareness creation	Approved guidelines														
		Conduct police education and awareness	No. of training modules developed														
		Conduct outreach activities	No. of outreach activities conducted	100	20	20	20	20	20							CEO	
		Undertake media public education and awareness campaigns	No. of media programmes conducted	100	20	20	20	20	20								CEO
			No. of electronic media programmes conducted	50	10	10	10	10	10								CEO
			No. of IEC materials developed and disseminated	500,000	100 000	100 000	100 000	100 000	100 000								CEO
			Types of IEC materials developed and disseminated	25	5	5	5	5	5								CEO/ HOCO

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (Kshs. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Police Accountability																
Strategic Objective 1: To Build public confidence and trust in policing																
	Enhance complaints management	Review complaints management policy and manual	Approved complaints management policy	1												DCL
			Approved complaints manual	1												
		Process complaints	% of complaints Processed	100	100	100	100	100								DCL
		Review internal investigation files	No. of internal investigation files reviewed													DI
		Develop a policy on management of the call centre	Approved policy document													
		Build capacity of the call centre	Functional call centre	1												DCL/DBS
		Develop and implement policy on psychosocial support	Approved policy													
			% of clients taken through psychosocial support	100	100	100	100	100								
		Develop Alternative Dispute Resolution (ADR) Mechanisms policy	Approved dispute resolution policy mechanism	1	1											
		Develop a profile of relevant laws and policies	Approved profile of relevant laws and policies													
		Undertake legal compliance survey	Compliance index													

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (Kshs. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Police Accountability																
Strategic Objective 1: To Build public confidence and trust in policing																
	Enhance complaints Inspection by NPS	Monitor police operations arising from complaints received	No. of police operations monitored													
		Monitor police operations initiated by government	No. of government police operations Monitored	5	1	1	1	1	1							D-IRM
		Monitor regular police operations	No. of regular police operations Monitored	225	45	45	45	45	45							D-IRM
		Monitor police operations on public order management	No. of public order operations monitored	60	12	12	12	12	12							D-IRM
		Conduct follow up monitoring on all police operations	No. of follow up monitoring conducted	30	6	6	6	6	6							D-IRM
		Review and validate monitoring policy framework and procedure manual	Approved monitoring policy framework and procedure manual	1	1											D-IRM
		Review and validate monitoring tools	Reviewed and validated monitoring tools	2	1		1									D-IRM
		Security and risk assessment	Number of security and risk assessment reports developed	20	4	4	4	4	4							HOD SECURITY
		Develop monitoring of police operations capacity		1												D-IRM/HH C
	Strengthen stakeholder	Referral partnership	No. of Referral partners engaged	20	4	4	4	4	4							DCL

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (Kshs. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Police Accountability																
Strategic Objective 1: To Build public confidence and trust in policing																
	cooperation and collaborations	Hold dialogue session	No. of dialogue sessions held	20	4	4	4	4	4							D-IRM
		Security liaison meetings	No. of security liaison meetings attended	10	2	2	2	2	2							HOD SECURITY
		Enter into MOU's	No. of MOU's entered													DCL
		Police reform steering committees	No. of Police reform steering committees meeting attended	10	2	2	2	2	2							D-IRM
	Enhance monitoring, review and audit the functions of IAU	Monitor investigations of the IAU	No. of IAU investigations files reviewed	20	4	4	4	4	4							DCL
		Audit investigations of the IAU	No. of IAU investigations files audited	20	4	4	4	4	4							DCL
		Review complaints of the IAU	No. of IAU complaints reviewed	20	4	4	4	4	4							DCL
		Audit complaints of the IAU	No. of IAU complaints audited	20	4	4	4	4	4							DCL

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Police Accountability																
Strategic Objective 2: To enhance compliance to human rights standards and fundamental freedoms																
	Investigations of police disciplinary and criminal offences	Conduct investigations	% of full investigations conducted	100												DI
			% of preliminary investigations conducted	100											DI	
			% of rapid response operations attended	100											DI	
		Develop capacity to support investigation	Evidence management guidelines												DI	
			No. of officers trained in investigations and forensics												DI	
			Functional control forensic laboratory													
		Support prosecution processes in courts	No. of cases supported for prosecution in court												DI	
		Review investigation policy, templates, guidelines and manuals	investigation policy and manual reviewed	1												DI
		Conduct security and risk assessment	No. of security and risk assessment reports developed	10	2	2	2	2	2							Head of security services
		Conduct intelligence collection, background checks and dissemination	No. of reports on intelligence and background checks													Head of security services



S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Police Accountability																
Strategic Objective 2: To enhance compliance to human rights standards and fundamental freedoms																
	Strengthen inspection of police premises and detention facilities	Review, validate and disseminate of Inspections policy framework and procedure manual	Inspections policy framework and procedure manual reviewed, validated and disseminated	1												D-IRM
		Review and validate Inspections tools	No. of Inspections tools reviewed and validated	2			1									D-IRM
		Conduct new scheduled Inspections	No. of new scheduled Inspections conducted	2400	480	480	480	480	480							D-IRM
		Conduct thematic inspections	No. of thematic inspections	600	120	120	120	120	120							D-IRM
		Conduct follow up inspections	No. of follow up inspections conducted	1200	240	240	240	240	240							D-IRM
		Conduct impromptu inspections	No. of impromptu inspections conducted	600	120	120	120	120	120							D-IRM
		Conduct Security and risk assessment	No. of security and risk assessment reports	10	2	2	2	2	2							HOD-security
	Enhance inter-agency cooperation	Referral partnership	No. of referral partners engaged	20	4	4	4	4	4							DCL
		Hold dialogue sessions with relevant institutions	No. of dialogue sessions held	20	4	4	4	4	4							D-IRM
		Security liaison meetings	No. of Security liaison meetings attended	10	2	2	2	2	2							HOD SECURITY

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Police Accountability																
Strategic Objective 2: To enhance compliance to human rights standards and fundamental freedoms																
		Enter into MOU's	No. of MOU's entered													DCL
		Attend Police reform steering committees	No. of Police reform steering committees meeting attended	10	2	2	2	2	2							D-IRM
		undertake joint investigations														
		Undertake joint training;														
		information sharing														
	Enhance monitoring of police operations															

S/No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 2: Cooperation with other institutions																
Strategic Objective 3: To Strengthen cooperation with other institutions																
	Enhance cooperation policy framework	Review stakeholder engagement policy	Approved Stakeholder engagement policy	1	1											CEO
		Build working partnerships	No. of partners engaged	20	4	4	4	4	4							BOARD
			No. of MOUs signed	5	1	1	1	1	1							BOARD
			No. of consultative forums held	20	4	4	4	4	4							CEO
		Implement programmes	No. of programmes implemented	5	1	1	1	1	1							CEO

	Implement cooperation policy framework																
<b>Strategic Objective 4: To enhance service deliver</b>																	
	Enhance dialogue with partners	Crafting the agenda of deliberations															
		Organize joint meetings															
	Enter into MOUs with partners	Negotiations with partners															
		Signing of MOUs															
	Embrace Alternative Dispute Resolution (ADR)	Case analysis															
		Determination of dispute resolution modalities															
		Execution of dispute resolution modalities															

S/No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 3: Research & Information Management																
Strategic Objective 5: To generate Knowledge for evidenced based policy, strategy and decision making																
	Strengthen research in policing	Review research policy														
		Develop internal capacity to undertake research														
		Develop research thematic areas														
		Collaborate with stakeholders in														

S/No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 3: Research & Information Management																
Strategic Objective 5: To generate Knowledge for evidenced based policy, strategy and decision making																
		undertaking research work														
		Undertake research activities	No. of policing surveys done	10	2	2	2	2	2							Director IRM/ SRO
	Enhance sharing of research outputs	Establish knowledge sharing platform	Research database													
		Disseminate research findings	No. of policy briefs													
			No. of reports													
			No. of publications													
			No. of conferences held													
Strategic Objective 6: To facilitate utilization of knowledge on policing for evidenced based policy, strategy and decision making																
	Advise on strategic interventions	Stakeholder involvement in the research process	Level of stakeholder involvement													Director IRM/ SRO/ PPME0 CEO
		Validation of research reports	No. of validation fora													
		Dissemination of reports for implementations	No. of policy briefs/ strategy papers prepared													
		Establish feedback mechanisms	Feedback framework established													
	Institutionalize knowledge management	Establish knowledge management gap														
		Develop knowledge management														

S/No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 3: Research & Information Management																
Strategic Objective 5: To generate Knowledge for evidenced based policy, strategy and decision making																
		policy														
		Sensitize the Board, management and staff on knowledge management														
		Establish the Resource Center	Functional Resource Center	1		1										CEO

S. No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Institutional Capacity																
Strategic Objective 7: To promote corporate governance																
	Enhance Board and management capacity	Train Board and Management on Corporate Governance	No. of Training done on Corporate Governance	2												CEO
			No. of Board and Management members trained	25												CEO
		Review instruments of corporate governance	Board Charter	1												CEO
			Approved service charter	100												CEO
			Approved code of conduct and ethics													
		implement measures against corruption	Approved Corruption Prevention Policy	1												CEO
			Functional Committee	4												CEO
			Undertake corruption surveys													
		Review and	A reviewed ERM	1												H.R&A/Au

S. No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.	
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5			
KRA 1: Institutional Capacity																	
Strategic Objective 7: To promote corporate governance																	
		implement ERM Framework	Framework													dit	
			Level of implementation	1													
	Enhance corporate image	Develop and implement Authority's Branding Strategy	Approved Brand Strategy and guidelines	1	1											CEO/ HOCO	
			Level of implementation of the branding strategy	10	2	2	2	2	2							CEO/ HOCO	
		Develop and implement CSR policy	A CSR Policy developed	1													H. C&O
			A CSR Policy implemented	1													H. C&O
		Undertake customer satisfaction surveys	Level of customer awareness														
			Customer satisfaction index	5	1	1	1	1	1								
	Undertake internal branding	Design branding messages															
		Disseminate the message															
	Strengthen reporting relationship	Develop internal communication policy															
		Review the organization structure															

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 3: Institutional Capacity																
Strategic Objective 8: To strengthen Human Resource Capacity																
	Align Human Resource practice to policy and legal framework	Review Human Resource Policies and Procedures Manual	Approved HR Policies and Procedures Manual	1												HHC
		Staff sensitization	% of staff sensitized	100												HHC
		Policy Implementation	Level of implementation	100												HHC
	Alignment of staffing levels to strategy	Revise the establishment	Approved establishment	1												HHC
		Implement the establishment	Level of implementation	100%												HHC
	Enhance organizational learning and development	Develop training guidelines	Approved Guidelines	1												HHC
		Conduct Training Needs Analysis	TNA reports	2												
		Develop and implement training plans	Training plans	5												HHC
			No. of staff trained													
		Develop organizational culture book	Approved Culture Book	1												HHC
	Enhance employee performance management system	Review employee performance management tool	Approved performance management tool	1												HHC
		Undertake performance appraisal	Performance index	4.5												HHC
	Improve and manage	Develop employee wellness and welfare	Approved Guidelines	2												HHC

S/No.	Strategy	Key Activities	Performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.	
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5			
KRA 3: Institutional Capacity																	
Strategic Objective 8: To strengthen Human Resource Capacity																	
	employee welfare	Guidelines															
		Implement employee wellness and welfare schemes	No. of schemes implemented	6													HHC
	Improve work environment	Conduct annual employee satisfaction surveys	Survey report	2												HHC	
			Satisfaction index														
		Implement survey recommendations	Level of implementation	100													HHC
		Develop and implement workplace Safety and Health Policy	Approved policy	1													HHC
		Implement workplace Safety and Health Policy	Level of implementation	100													
		Security and safety awareness training	No. of Security and safety awareness training conducted	20	4	4	4	4	4								
		Security and risk assessment	Number of security and risk assessment reports developed	10	2	2	2	2	2								

S/No.	Strategy	Key Activities	Key performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: Institutional Capacity																



Strategic Objective 9: To ensure institutional financial sustainability																
	Enhance resource mobilisation	Implement the Resource Mobilisation and Ethical Fundraising Policy	Level of implementation	100%	100	100	100	100	100							DBS
		Sustain good working relationship with the Parliament and Treasury														Board/CEO
	Enhance proper resource allocation, utilization and controls	Training finance management officers	No. of officers trained	6												DBS
		Review the Financial Policies and Procedures Manual	Approved policies and procedure manual	1												DBS/CEO
		Implement the Financial Policies and Procedures Manual	Level of implementation	100%												DBS
		Comply with PFM and Treasury Circulars	Level of compliance	100%												DBS/CEO
		Review budget utilisation/absorption														DBS
		Allocate resources based on priority areas	Budget	100%												DBS/Management/Board
		Review expenditure levels and trends		4												DBS
		Reporting on expenditure levels		4												DBS

S/No.	Strategy	Key Activities	Key Performance Indicator	Target for 5 years	Annual Targets					Budget (ksh. Million)					Total Budget	Resp.
					Y1	Y2	Y3	Y4	Y5	Y1	Y2	Y3	Y4	Y5		
KRA 1: ICT Institutional Capacity																
Strategic Objective 10: To strengthen business systems and internal processes for efficient service delivery																

	Leverage and standardize ICT in all the operations	Develop and implement ICT Governance framework	Approved Governance Framework	2			1		1								<b>DBS</b>
		Review ICT policy, process and procedure analysis and review framework.	Approved ICT Policy	2			1		1								<b>DBS</b>
			Reviewed Processes and procedure manuals	2		1			1								<b>HICT</b>
		Design and Implement a robust infrastructure design and automate processes.	Infrastructure design	1	1												<b>HICT</b>
			level of automation														
		Adopt standards based, adaptive internal ICT service management	ICT Standard Report	1			1										<b>HICT</b>
		Develop adaptive business system and application management framework.	No. of adaptive Business Systems & Modules	3		1		1	1								<b>HICT</b>
			Application management framework	1			1										<b>HICT</b>
		Train users on systems	No. of Users Trained	250	50	50	50	50	50								<b>HICT</b>
	Enhance Risk Management	Review systems and develop implementation matrix for gaps identified during system audit	System Audit Report	1			1										<b>HICT/H RA</b>
			Implementation Matrix	1			1										<b>HICT</b>
		Develop and Review ICT business continuity and	Approved ICT Business Continuity and disaster Recovery	1				1									<b>DBS</b>

		disaster recovery processes.															
		Adopt a standards based information security management framework	Information security framework	1			1										HICT/H RA
		Ensure security and risk provisions are incorporated in vendor and service provider contract (SLA) arrangements.	No. of SLA reviewed	5	2	2	2	2									HICT

#### Appendix II: Monitoring and Evaluation Reporting Framework

Key Result Area	Outcome	Key Performance Indicator	Baseline	Target	Achievements	Variance	Comments
KRA 1:							
KRA 2:							
KRA 3:							
KRA 4:							