

PERFORMANCE MANAGEMENT FRAMEWORK MANUAL 2015



VISION

A robust civilian accountability mechanism that promotes public trust and confidence in the National Police Service

MISSION

To conduct impartial and independent investigations, inspections, audits and monitoring of the National Police Service to prevent impunity and enhance professionalism in the interest of the public

MOTTO/TAG LINE

Guarding Public Interest in Policing

CORE VALUES

Transparency and Accountability

Integrity

Independence and Impartiality

Respect for Diversity

Compassion

PERFORMANCE MANAGEMENT FRAMEWORK MANUAL 2015



Teambuilding exercise



PMF Workshop



*Strategic Plan awareness
campaign*

**Effective
Performance
Management**

FORWARD

The Authority is cognisant of the fact that any form of effort is aimed at desired results and that attention to results is not optional. In this regard, there is consensus among the Board and entire IPOA fraternity that performance management strategy will facilitate: Effective goals and objectives setting; Follow-up of results; Use of results information for improvement (quickly and appropriately responding to challenges and opportunities).



The Authority is clear on its vision and is committed to significantly contribute to the achievement of the five outcomes as outlined in its Strategic Plan 2014-2018 namely: Compliance by police to human rights standards; Restored public confidence and trust in Police; Improved detention facilities and police premises; A functional Internal Affairs Unit; A model institution on policing oversight in Africa. Driven by the urgency with which the desired outcomes need to be realised, the Authority has swiftly developed this Performance Management Framework manual. The manual will serve as guide for us and our partners in ensuring a better understanding and application of the different dimensions of IPOA's performance management.

The manual articulates the two pillars on which IPOA's Performance Management System (PMS) is premised namely, the Results Based Management and the Balanced Score Card perspectives. It further unpacks the two entwined sub-systems within the PMS specifically, the Performance Monitoring and Evaluation Sub-System (PMESS) and the Performance Appraisal Sub-System (PASS). These sub-systems will facilitate the systematic target setting, performance measurement, feed-backing and learning for action at Corporate, organisational units' and individual employee's level. The roles and responsibilities of respective entities in operationalizing IPOA's PMS are elaborate.

Within the PMESS, the tools, methods and timelines for application within various components of Planning, Monitoring and Evaluation, Reporting and Feed-backing are well presented. Of importance are the performance indicators that have been explicitly predefined at Corporate and Organisational units' level to guide performance tracking towards desired results.

The PASS as clearly explained in the manual will focus on performance of employees, the Board and related governance committees. The Performance Appraisal process is well described in terms of the basis on which individual targets will be set, cycle for the appraisal process and the tools for application key of which is the Staff performance Appraisal form. The manual explains how the individual targets stems from the Organisational units' targets that are linked to the Corporate's outcomes.

It is one thing to have an elaborate system in place and a different thing to have it function effectively. The functionality of IPOA's PMS solely rests on us and our stakeholders. I am optimistic that together we will embrace the culture of evaluation based decision making facilitated by a functioning PMS as guided in this manual.

A handwritten signature in blue ink, appearing to read 'Macharia Njeru', written over a light blue horizontal line.

Macharia Njeru
Chairman
Independent Policing Oversight Authority

ACKNOWLEDGEMENT

I do express my sincere gratitude to the Board members and Management for their keen interest and invaluable comments on the manual at its development stage.

A lot of thanks to UNODC for accepting to support the development and production of this manual. I unreservedly appreciate the high level of commitment exhibited by Helena Kithinji, Dr. Mutuma Ruteere and Tonita Murray as they provided the technical support towards the completion of the manual.

I do recognize the unrelenting effort by Grace Mwangi and Rhoda Wairioko who spearheaded and coordinated the process of developing this manual. Their immense technical contribution cannot go unrecognised.

Special thanks to the entire IPOA staff for their dedication during the consultative sessions in development of the performance indicators and corresponding tools that largely constitutes the content of this manual.



Joel Mabonga
Chief Executive Officer
Independent Policing Oversight Authority



MANUAL DEVELOPED AND ADOPTED BY IPOA BOARD

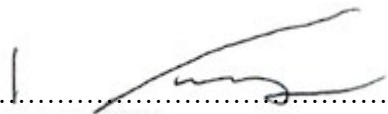
CHIEF EXECUTIVE OFFICER

NAME: DR. JOEL MABONGA

SIGN.....

CHAIRMAN OF BOARD

NAME: MR. MACHARIA NJERU

SIGN.....

DATED THIS SIXTH DAY OF MAY 2015

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List of Acronyms

AWP	Annual Work Plan
BSC	Balanced Score Card
CCC	Communication, Cooperation, Coordination
CEO	Chief Executive Officer
HHC	Head of Human Capital
HoD	Head of Department
IAU	Internal Affairs Unit
IPOA	Independent Policing Oversight Authority
MoU	Memorandum of Understanding
NPS	National Police Service
NPSC	National Police Service Commission
PASS	Performance Appraisal Sub-System
PM&EO	Performance Management and Evaluation Officer
PMESS	Performance Monitoring and Evaluation Sub-System
PMS	Performance Management System
RBM	Results Based Management
SIG	Special Interest Groups
SP	Strategic Plan

INTRODUCTION

Background

The Independent Policing Oversight Authority (IPOA) was established through an Act of Parliament, No. 35 of 2011. IPOA is a response to the country's long history of serious violations of human rights and fundamental freedoms by the then Kenya Police, and serves as an important initiative towards the envisaged police reforms.

The Vision of IPOA is, "a robust civilian accountability mechanism that promotes public trust and confidence in the National Police Service" while the Mission is "to conduct impartial and independent investigations, inspections, audits and monitoring of the National Police Service to prevent impunity and enhance professionalism in the interest of the public".

The motto of IPOA is Guarding Public Interest in Policing.

IPOA's values are:

- **Transparency and Accountability:** The Authority shall be open to all, frank and honest in all communications, transactions and operations.
- **Integrity:** IPOA shall maintain honest practices when carrying out its mandate at all times.
- **Professionalism and fairness:** The Authority shall independently implement its mandate free from outside influence and interference.
- **Respect for Diversity:** IPOA upholds that every citizen and community, particularly those that have been historically disadvantaged, will have equal opportunities and protection as per the Constitution.
- **Compassion:** The Authority shall deal with victims and survivors of police brutality and unfairness and hence Board and Staff are expected to demonstrate empathy.
- **Innovativeness:** Based on the learning culture, the Authority will strive to adopt new approaches and strategies towards improved performance.

IPOA's functions include: Conducting investigations on police misconduct; Carrying out inspections of police premises; Monitoring police operations; Monitor, reviewing and auditing investigations and actions taken by the Internal Affairs Unit (IAU); making recommendations to the National Police Service or any State organ. As stipulated in the Strategic Plan 2014-2018, the Authority is expected to contribute significantly to the achievement of the following outcomes:

- 1) Compliance by police to human rights standards;
- 2) Restored public confidence and trust in police;
- 3) Improved detention facilities and police premises;
- 4) A functional Internal Affairs Unit (IAU); and,
- 5) A model institution on policing oversight in Africa.

Performance management is one of IPOA's strategies towards contribution to the realisation of the stated outcomes. IPOA has therefore initially adopted a manual results-based Performance Management System (PMS) that is being implemented. Automation of the system will greatly enhance its effectiveness in terms of inter and intra sub-system data capture, analysis and information flow.

About this manual

Purpose of the Manual

IPOA recognises that an effective and efficient Performance Management System (PMF) is crucial for the successful implementation of the strategic plan. The PMF manual will be a guide:

- i. On consultative setting of the Authority's performance standards and objectives in keeping with stated outcomes,
- ii. To Directors, Heads of Department and Supervisors with methods and tools of objectively evaluating the performance of their departments and staff and give feedback,
- iii. To staff's opportunity to participate in the identification of their developmental needs, as they relate to current jobs and career growth,
- iv. To promoting a culture of responsibility, accountability and transparency,
- v. On equitable reward and recognition, as well as providing inputs for succession planning.

The purpose of this Manual therefore is to contribute to the development of a coherent and dynamic culture of performance appraisal, monitoring and evaluation in IPOA and to a better understanding on the different dimensions of IPOA's performance.

Users and review of the Manual

The manual will be used by the entire IPOA team as reference point on all elements relating to performance management. Main review of the Manual is expected at mid-term and end period of the Strategic Plans.

Structure of the manual

The Manual has three parts and several attachments. Parts 1 and 2 give a brief summary of IPOA and the Manual. Part 3 describes the IPOA Performance Management System (PMS) and the two sub-systems - IPOA's Performance Monitoring and Evaluation Sub - system (PMESS) and IPOA's Performance Appraisal Sub-System (PASS). It also clarifies the relationship between the two sub-systems. The final section of the manual consists of appendices that include details of concepts, tools, checklists and templates. The appendices are in the following order:

- Appendix I: Balanced Score Card (BSC)
- Appendix II: Annual work plan & Individual work plan templates
- Appendix III: Results Framework at Corporate level
- Appendix IV: Results Framework at organizational units' level
- Appendix V: Annual performance evaluation tool
- Appendix VI: Common errors in performance appraisal

- Appendix VII: Performance appraisal form
- Appendix VIII: Guidelines on competencies grading for employees
- Appendix IX: Board Assessment form

IPOA's Performance Management system (PMS)

Performance management is a systematic process of:

- Setting expectations
- Continually monitoring and evaluating performance
- Developing the capacity to perform
- Periodically rating and recording performance
- Recognising and rewarding good performance

Performance Management System (PMS) is a mechanism that provides linkages and tools for the functioning of the above processes.

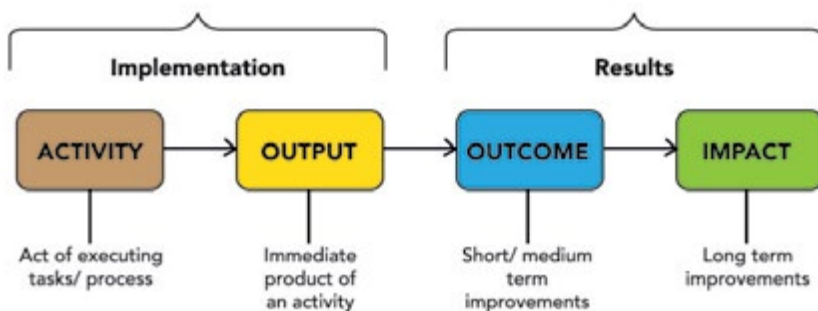
Pillars of IPOA's PMS

The Authority's PMS is premised on the Results Based Management approach and the Balanced Score Card Perspectives.

Results Based Performance Management

PMS is based on the theory of change exhibited in the result based management (RBM) approach. RBM is based on the premises of causality and vertical logic. Results at lower level lead to realisation of results at a higher level. Activities lead to outputs; outputs to outcomes and outcomes to impact as demonstrated in the figure 1 below.

Figure 1: Results Chain



RBM approach makes it mandatory for IPOA team and stakeholders to reflect on evaluation elements that include relevance of its interventions, their effectiveness and efficiency, sustainability and impact of the achieved results. To enhance the qualitative documentation of realised results, IPOA will apply other qualitative techniques of evaluation such as case stories, Most Significant Change etc.

Balanced Score Card (BSC) Perspectives

IPOA will ensure that the PMS takes cognizance of the four BSC perspectives of organisational

performance (See additional explanations in appendix I). Those four perspectives are:

- Customers (clients - internal and external, stakeholders and partners, public)
- Systems (internal systems, policies, procedures)
- People (capacity, innovation, learning)
- Financial (mobilisation and utilisation of resources, value for money)

Illustratively, the linkage of the 2 pillars is as seen in figure 2 below where IPOA's performance indicators are referenced on the 4 perspectives of the BSC.

Figure 2: Linkage between Results Based Management and Balanced Score Card



3.2 Sub-Systems of the PMS

IPOA's Performance Management System comprehensively links its strategy and outcomes to Departmental, teams, individual objectives and performance expectations. This is facilitated through two entwined sub-systems:

i. Performance Monitoring and Evaluation Sub-System (PMESS)

The sub-system constitutes components that will facilitate predefining expected performance, data collection, analysis, reporting and feed-backing. The sub-system focuses on monitoring and evaluating realisation of IPOA's outcomes and outputs, strategies, and processes in the four perspectives: customer, internal systems, people and learning and financial at the organisational, directorates and departmental levels. The outcomes stipulated in the Strategic Plan will be monitored and reported on at the corporate level through a set of predetermined indicators.

ii. Performance Appraisal Sub-System (PASS)

This sub-system focuses on assessment of performance of employees and the Board.

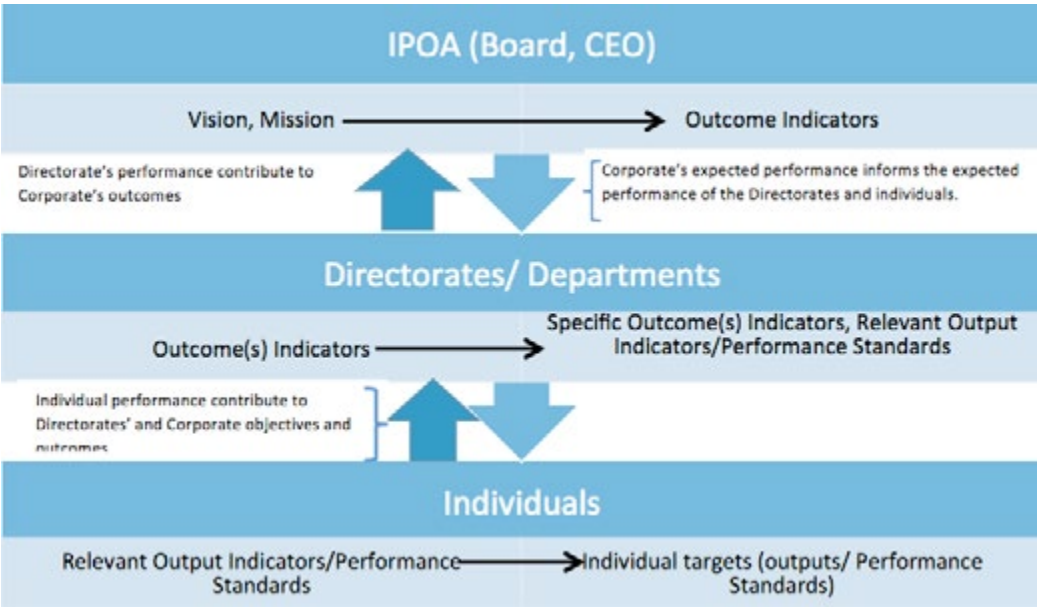
The two sub-systems have a certain degree of independence yet they are also linked at every

stage of the process. The individual performance standards are derived through the cascading of IPOA's strategic plan to directorates, departments and individual employees.

The Linkages of the Two Sub-Systems

A linkage between the two sub-systems is as illustrated in the figure 3 below.

Figure 3: Relationship between PASS and PMESS



Cascading to Directorates and Departments

As demonstrated in Figure 3 the Board and the CEO are accountable for the achievement of IPOA's vision, mission and outcomes. Those outcomes are taken up by IPOA's organisational units (directorates and departments) and cascaded to their level. Each organisational unit has the responsibility for one or more outcome(s). At the organisational units' level these outcomes are translated into specific sub-outcomes and outputs. The CEO, Directors, HoDs and the PM&EO will ensure the sufficiency and relevance of outputs so that specific outcomes are achieved.

In case a Directorate consists of departments then each departmental head has cascaded relevant directorate's outputs to departmental ones. In every case it is essential that vertical logic and principles of sufficiency and relevancy are strictly adhered to. Outputs and indicators of a department should be perfectly aligned to those of the directorate. The sum of all departments will give results for the Directorate.

In case of departments that are not part of any directorate, the process is similar. The department has cascaded relevant outcome(s) and developed outputs and indicators. As in case of directorate's vertical logic, alignment and principles of sufficiency and relevance should be strictly adhered to.

With the results indicators developed within IPOA's organisational units, the HHC, CEO, Directors and HoDs will cascade the expected results to individual job holders. They will communicate IPOA's outcomes and outputs to all employees in their unit when they are setting their individual performance objectives, so they can align them with result areas of their organisational unit.

IPOA performance appraisal form will therefore provide space where a supervisor and the employee will put down relevant objectives and outputs and a space where both employee and manager explain the job holder's contribution to a specific objective(s) and output(s).

Performance monitoring and evaluation sub-system (PMESS)

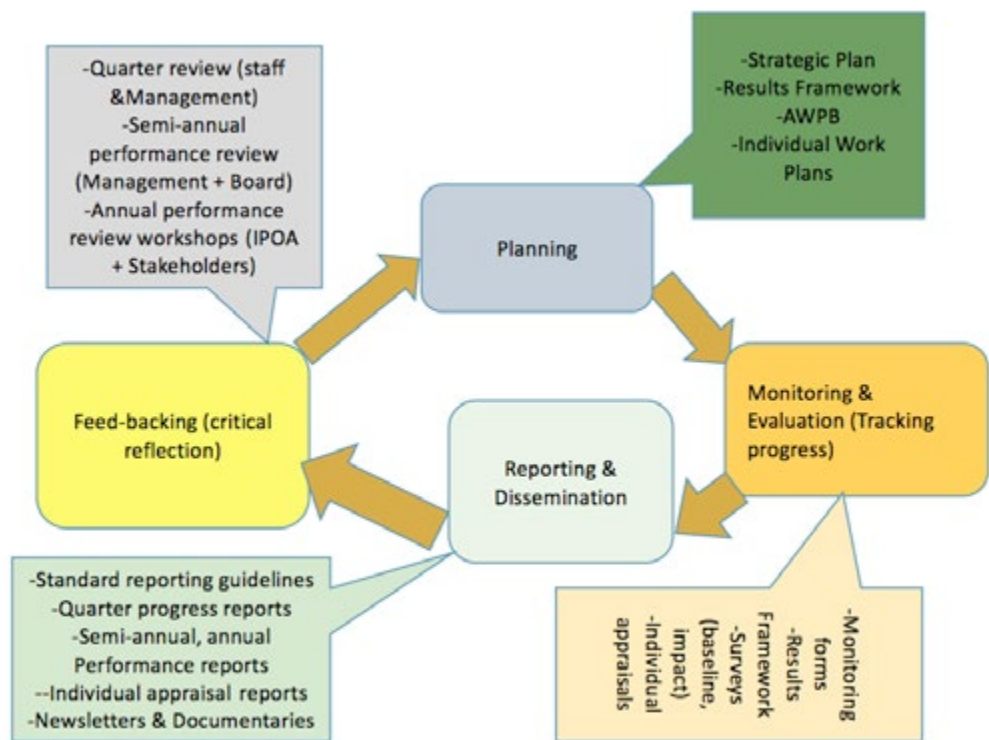
Objectives of PMESS

Objectives of the IPOA's PMESS are as below:

- i. Demonstrate transparency and accountability: Based on evidence, to what extent has IPOA delivered on its expected service to the Kenyan people; for example: the extent to which IPOA has been able to influence compliance by police to human rights standards. The desired service delivery will convince the Kenyan people and stakeholders on the necessity of IPOA's existence.
- ii. Sharing and Learning: Reporting findings will help organizational continuous learning and educate Kenyans on IPOA's performance. An analysis of what works, what does not and why facilitates generation of successes, good practices and lessons learnt that builds on further performance improvements.
- iii. Decision making: Evidence based performance reports will facilitate decision making at the departmental, Directorate, Management and Board level towards performance improvement.
- iv. Documentation–PMESS will facilitate recording of information and create institutional memory. This documentation is not only very critical for IPOA as an institution but also for external audiences such as NPS, NPSC, other constitutional commissions, academic, research and development agencies and interested public. Well documented reports will be shared with the relevant Authorities in line with the external reporting regulations.
- v. Enhanced participation and feed backing: IPOA's PMESS will not only collect data internally but will seek for feedback from clients, partners and stakeholders. Such feedback will be integrated within PMESS.

The CEO, Directors, HoDs and staff with the assistance of Performance Monitoring and Evaluation Officer(PM&EO) have developed IPOA Performance Monitoring and Evaluation Sub-System (PMESS) whose integrity will be maintained. The PMESS comprise of key components of planning, monitoring, reporting/dissemination and feed backing as illustrated in figure 4 below:

Figure 4: Schematic presentation of Performance Monitoring and Evaluation System



As illustrated in figure 4 above, the planning component is operationalised through IPOA’s Strategic Plan, Results Framework(s), Departmental/IPOA’s Annual Work Plan and Budget and the Individual work plans (See templates in appendix II). The commonality of these planning tools is that they present the expected performance within specified timeframes (short, medium and long term). Various plans to be prepared by IPOA are as presented in table 1 below.

Table 1: IPOA Calendar of Plans

Plan	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Strategic Plan (every 5 years)								Staff & Management Proposals	1 st Draft SP	Validation of the SP by Stakeholders	Final Draft	Launch 4 Years SP
Annual Work Plan and budget									Directorate/Departmental draft AWP	Final consolidated IPOA AWP	Approval by Board	

Plan	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Individual Work Plans (IWPs)												Signed IWPs

Process of Annual Work-planning

Annual Work-planning for IPOA will be through a participatory process to ensure clarity of targets for each Financial Year. The specific processes are as outlined in table below:

Table 2: Annual Work-planning processes¹

Annual Work Planning event	Timeframe	Responsible
Conduct departmental consultative sessions and prepare departmental AWP	15 th March	HoD to submit the draft AWP to the Director as appropriate ¹ .
Compile Directorate's AWP and convene Directorate's session for confirmation by the team that the necessary activity linkages expected within the Directorate are met	31 st March	Director to submit the compiled AWP to the CEO.
Compile Corporate AWP and convene session with management to discuss and endorse the AWP	30 th April	PM&EO to compile and CEO to convene the session
Present the Corporate AWP to the Board for approval	15 th May	CEO to present to the Board
Preparation and signing of IWPs		
-CEO	30 th May	CEO & Board
-Directors	5 th June	Directors & CEO
-Heads of Departments	15 th June	HoDs & Directors
-Other staff	20 th June	Staff & supervisors

The functionality of the monitoring and evaluation component is facilitated through application of data capturing and analysis tools that include monitoring forms, Results Frameworks, Surveys (baseline, impact) and Individual appraisal forms. The performance data is captured and analysed to provide performance information. The PM&E Officer will coordinate to ensure that relevant data on outputs, sub-outcomes, outcomes at corporate and organizational units is collected, verified, entered and analysed. Automation of this component is highly recommended for enhanced accuracy.

Reporting and dissemination component entails packaging the performance information at all levels to facilitate dissemination to respective staff and stakeholders. Standard reports as

¹ HoDs not under any Directorate to submit to the CEO.

outlined in table 2 include quarter progress reports, Semi-annual and annual Performance reports, activity reports and individual appraisal reports. Adhoc reports will also be prepared on a need basis as required by stakeholders. Newsletters and documentaries are some of the forms of packaging IPOA's performance information for dissemination. Presentation of Performance findings need to compare results data to earlier data and to the baseline. Comparisons over time are critical. Information should be presented in a simple, clear, and easily understandable format. Only the most important performance information should be presented. Acronyms and jargon should be avoided. A minimum of background information should be provided to establish the context. Major points should be stated up front. Findings and recommendations should be organized around key outcomes and their indicators. A separate appendix or report can be used to convey detailed data.

Table 3: IPOA's standard Reports

Report	Interval	Timeline	User	Responsible
Performance reports (Legal requirement)	Semi-annually	Every 1 st January and July submitted to Cabinet Secretary	-Departments -Directorates -Management -Board -Cabinet Secretary -National Assembly -Stakeholders	HoDs/Directors compile Department's/ Directorate's performance report for submission to the PM&EO for consolidation by 10 th of December and June.
Annual reports (Legal requirement)	Annually	By 31 st July report compiled awaiting Audited report by KENAO.	-Board -Cabinet Secretary -National Assembly -Stakeholders	Director Business Services to coordinate the compilation of the report and submission to the CEO.
Quarter progress reports	Quarterly	Every 30 th of September, 31 st December, 31 st March and 30 th June reports concluded for dissemination	-Departments -Directorates -Management -Board	HoDs/Directors compile Department's/ Directorate's progress report for submission to the PM&EO for consolidation by every 10 th of September, December, March and June.

Report	Interval	Timeline	User	Responsible
Activity reports	N/A	At the end of an activity as appropriate	-Departments/ Directorates -Auditors	Activity reports will be compiled for the purpose of documenting processes and recommendations useful in learning organizations. Also required as documentary evidence that an activity was conducted.
Individual Appraisal reports	Annually	June	-Individual staff -Department/Directorate -Head Human Capital -CEO -Board	Each individual's appraisal report to be filed in the individuals' personal files.
Quarterly progress reports to treasury	Quarterly	Every 30 th of September, 31 st December, 31 st March and 30 th June	-Treasury	Treasury has its standard template on which IPOA captures key output indicators.

Sharing (dissemination) of performance information provides the basis for feedback and critical reflection culminating to consensus on concrete actions towards performance improvement. Key areas for reflection will be considered in two perspectives:

- i) What, why and what next: This reflection will be applicable at short term (specifically annually). At this level, the reflection will be based on what is achieved against the envisaged targets; why was the achievement in that direction; what can be done to improve achievements; were the resources utilized efficiently.
- ii) Level of relevance, effectiveness, efficiency, sustainability and impact of IPOA's interventions against the envisaged outcomes will be assessed and strategic decisions made. This will be applicable in the medium to long term period (specifically end of 2nd year onwards to the end of the Strategic Plans' period).

Events for such critical reflection are presented in table 3 below.

Table 4: Performance review events

Event	Coordinator	Participants	When
Individual performance appraisal sessions	Supervisors	Employee	End of probation period

Event	Coordinator	Participants	When
Mid-term performance review with individual employees	Supervisors	Employee	Conducted in December to allow Rapid Results initiatives on overdue individual targets.
Annual performance Appraisals	Supervisors	Employees	By 20 th June
Departmental/Directorate quarter performance review sessions	HoD/Director	Departmental/ Directorate team	Every 1 st week of month preceding ended quarter
Management quarter performance review sessions	PM&EO	Management team	Every 2 nd week of the month preceding ended quarter
Quarterly performance brief sessions	CEO/PM&EO	-IPOA Board -Management	Every 3 rd week of the month preceding ended quarter
Semi-annual performance review workshops	CEO/PM&EO	-IPOA Board -Management	-Mid July -Mid February
Annual performance review workshops	CEO/Board	-IPOA Board, -Management team -Stakeholders	By 31 st July
Mid-term review workshop on the Strategic Plans	CEO	-IPOA Board, -Management team -Stakeholders	Mid-term of each Strategic Plan
End term review workshop on the Strategic Plans	CEO	-IPOA Board, -Management team -Stakeholders	End-term of each Strategic Plan

3.3.2 IPOA's Results Framework(s) (RF)

IPOA has adopted the results framework which is one of the monitoring and evaluation frameworks. The RF(s) is applied as a planning and monitoring tool as it sets out short, medium and long term targets on consultatively agreed performance indicators and also present performance status of the same at each of the report years.

The Results Framework (RF) for IPOA is at two levels, the 1st being Corporate that presents the outcomes as stipulated in the Strategic Plan 2014-2018 alongside consultatively agreed performance lagging and leading results indicators as in appendix III. The Corporate results indicators have been cascaded to IPOA's organisational units (directorates, departments) that then developed their own directorate/ department's result areas and strategies for achieving those results. See appendix IV

The RFs for respective Directorates and Departments serve as the basis for development of the Annual Work Plans (AWPs). The Directors and HoDs will develop their Individual Work Plans

(IWPs) referenced on the AWP. Their IWPs will then be signed with the CEO and serve as the performance agreements at that level. These IWPs will further be cascaded to the directorate's/ department's staff and performance agreements signed with their supervisors.

Indicators

IPOA has developed lagging and leading indicators for monitoring and assessing the performance at all levels which are both quantitative and qualitative. Quantitative indicators will be expressed in terms of number, percentage, proportion, rate. Qualitative indicators reflect people's judgments, opinions, perceptions and attitudes towards a given situation. They can include changes in sensitivity, satisfaction, influence, awareness, understanding, attitudes, quality, perception, dialogue or sense of well-being.

Indicators will be segregated by gender and other diversity considerations (age, people with disability) as appropriate. Lagging indicators will assess the achievement of the outcome while the Leading indicators are performance drivers. The combination of both leading and lagging indicators will provide IPOA with adequate information about how the outcomes are achieved in the short and long term.

If data is not available for the most suitable indicators of a particular result, IPOA will use proxy indicators. Proxy indicators are a less direct way of measuring performance against a result.

Mainstreaming National Values, Human Rights, Gender and Diversity

IPOA's strategic plan has fully mainstreamed national values, gender, diversity and human rights. This mainstreaming process will be closely monitored at the outcome, output and process levels. As a policy all the monitoring data for PMESS will be segregated by gender. Each outcome will have gender sensitive indicators as appropriate (See appendices III & IV).

IPOA's mandate is to monitor the extent to which the NPS abides with fundamental freedoms and protects rights of Kenyans as outlined in the Constitution of Kenya 2010. IPOA has therefore developed human rights indicators at Corporate and Directorate/Departments' levels. In addition during year 1 of the plan IPOA will monitor the trainings on human rights for staff and Board members.

Data Collection Methodology and Sources of Data

IPOA will use both primary and secondary sources of data. Primary data will be collected directly using internal routine data capture tools, surveys and direct observation. The scope of such data ranges from outputs, outcome and objective based. IPOA will also make reference to relevant secondary data collected by other organizations. Examples of secondary data include survey data collected by another agency, police reports and media.

While it would be ideal for IPOA to collect all the data, it may be too costly. IPOA does not have adequate resources for such an undertaking. PM&EO will therefore establish and manage relationship with agencies and individuals that collect relevant data.

The Research Officer will spearhead collection of all data to be gathered through surveys as indicated in the Results Frameworks.

Monitoring IPOA's corporate outcomes

IPOA's outcomes, indicators, sources of data and targets are summarised in appendix II.

The Corporate accountability on IPOA's outcomes lies with the IPOA Board and the CEO. The Chair of the Board will appoint a Committee in charge of Corporate Performance. The CEO will be a member of this Committee while the PM&EO will be an ex official member and the Secretary to the Committee. The Committee will report semi-annually and annually on the realisation of leading and lagging indicators for the outcomes. Operational accountability for the realisation of outcomes will be delegated to Outcome Championing Teams.

As stipulated in the strategic plan, IPOA has set out to realise the following outcomes:

1. Compliance by police to human rights standards
2. Restored public confidence and trust in police
3. Improved detention facilities and police premises
4. A functional IAU
5. A model institution in policing oversight in Africa

3.3.7 Outcome Championing teams

Outcome championing teams will ensure a wider participation and accountability for realisation of each outcome ensuring greater ownership and sustainability. The role of these teams is to review the progress of leading indicators quarterly, report the progress and make recommendations on the relevance and validity of lead indicators.

Each outcome will be reported on by an Outcome Championing team. The following teams will be established:

- Champion Team for "Compliance by police to human rights standards" will be headed by the Director – Investigations who will be the Team Leader. Other members of the team will be HoD - Complaints and HoD - Inspections and monitoring.
- Champion Team for "Restored public confidence and trust in police" will be composed of Director – Business Services as Team Leader and two members: Research Officer and HoD-Communications.
- Champion Team for "Improved detention facilities and police premises" will be composed of Director – Inspection and Monitoring – Team Leader. Other members of the team will be HoD – Legal and HoD ICT.
- Champion Team for "A functional IAU" will be composed of Director – Complaints and Legal who will be the Team Leader. Other members of the team will be Senior Communication Officer and HoD – Procurement.
- Champion Team for "A model institution in oversight policing in Africa" will be composed of HoD – Human Capital who will be the team leader. Other members will be HoD – Risk and Audit and HoD Security.

PM&EO will coordinate all team meetings and serve as a Secretary in them. She/ he will also combine reports from each team on a quarterly basis and submit them to the CEO.

IPOA's Outcome Monitoring Matrices will be a replica of appendix III & IV in terms of indicators

depicting performance alongside the target as appropriate per report period (see appendix V).

Monitoring organisational units' results and Strategies

Monitoring the realisation of IPOA's organizational units' results will be the responsibility of the relevant HoD and the PM&EO. While monitoring these results, special emphasis will be on the vertical logic: does the realisation of organizational units' results lead to the achievement of the stated outcome at corporate level. If the progress towards the realisation of the outcome is negligible, IPOA management will review its outputs and strategies and make any adjustments on approaches and strategies.

Organizational units' results and Strategy Monitoring Matrix is as in appendix IV.

Roles and Functions in operationalising the PMESS

Performance Monitoring and Evaluation Officer (PM&EO)

The PM&EO will:

- Jointly with the CEO, Directors and HoD develop and review PMESS;
- Provide guidance and technical assistance in PMESS to Board, CEO, Directors, HoDs and staff;
- Ensure that annual work plans for each directorate and department are aligned with the IPOA's corporate outcomes and indicators as presented in the Strategic Plans and Results Framework;
- Ensure that annual work plans for each unit meet IPOA's standards;
- Ensure collection and maintenance of baseline data relevant to the performance indicators through the support of the Research Officer;
- Identify possible external sources of data, agree on collection methods and resources needed for collection of such data;
- Establish and maintain contacts with other monitoring and evaluation stakeholders;
- Review and provide feedback to the CEO, directors and HoDs on the quality of methodologies established to collect monitoring data.
- Coordinate the preparation of all monitoring and evaluation reports; guide staff and partners (when relevant) in preparing their progress reports in accordance with approved reporting formats and ensure their timely submission;
- Prepare consolidated quarterly progress reports for the CEO including identification of problems, causes of potential bottlenecks in implementation, with specific recommendations;
- Check that monitoring data are discussed in the appropriate forum such as directorates and departmental meetings;
- Undertake occasional visits to the field to support implementation of monitoring and evaluation; check the quality of data produced, and identify where adaptations

might be needed; monitor the follow up of evaluation recommendations with relevant directors and HoDs;

- Foster participatory planning and monitoring; organize and provide refresher training for staff and primary stakeholders with a view of strengthening their monitoring and evaluation capacity;
- Facilitate, act as resource person, and join if required any external supervision and evaluation;
- Identify the need and the TORs for specific monitoring and evaluation activities including overseeing consultants or organizations that are contracted to conduct special surveys and studies required for evaluating IPOA's effects and impacts;
- Contribute to the institutionalisation of IPOA's learning culture through involvement of staff and stakeholders in identification of lessons learned and their integration in future plans;
- Facilitate exchange of experiences by supporting and coordinating participation of stakeholders;
- Coordinate and assist in collection, analysis and integration of external feedback into PMESS;
- On a continuous basis evaluate internal capacity of IPOA staff and Board members in monitoring and evaluation and suggest appropriate interventions;
- Consult with HHC, directors and departmental heads to ensure the alignment of the two sub-systems (PMESS and PASS);

Board

The Board provides strategic leadership to the Corporate Performance management process. The Chair will assign a Board Committee to be in charge of Corporate Performance that will be fully accountable for reporting on IPOA's overall performance semi-annually and annually. The Board will also develop its own annual plan and assess its progress semi-annually. In addition, the members of the Board will participate in semi-annual and annual corporate performance review workshops, press conferences and other relevant performance related events.

The Board will report annually on the corporate outcomes using appropriate tools and techniques. A sample is included in appendix V.

Chief Executive Officer

The CEO has overall accountability for monitoring and reporting on IPOA's performance. She or he can delegate operational responsibility to directors, HoDs and PM&EO.

The CEO will also chair quarterly review meetings of all Management to discuss implementation progress and assess CCC (Communication, Cooperation and Coordination) between directorates and departments to ensure synergies and optimal benefits for IPOA.

Directors and HoDs

The responsibility of the Directors and HoD is to review quarterly the realisation of stated results through monitoring of stated indicators. Specific duties will include:

- Develop and disseminate an appropriate schedule for regular performance conversation with the Directorate/Departmental team,
- Communicate IPOA's performance standards and expectations to the team.
- Conduct quarterly departmental meetings to discuss and document milestones, accomplishments, successes and challenges. Invite PM&EO to such meetings,
- Submit to PM&EO the findings from quarterly meeting within the organisation presenting achievements and lessons learned among others,
- Participate in training on monitoring and evaluation,
- Facilitate training and capacity strengthening for monitoring and evaluation within the team,
- Ensure that staffs' IWP's are aligned to directorates' and departmental' work plans,
- Seek external feedback to validate conclusions about directorate's and department's performance.

Head of Human Capital (HHC)

HHC will jointly with the PM&EO provide training to the Board, management and staff on IPOA's PMESS. He/ she will also participate in the regular review of the sub-system such as the analysis and review of the overall results of the process including quantity and quality of participation, directorates' and departmental strengths and areas for improvement, alignment of each sub-system and appropriate improvement interventions.

Staff

An employees will:

- Ensure performance objectives and targets are discussed with the supervisor, understood and agreed at the beginning of appraisal period.
- Participate in the development of annual directorates', departmental and individual work plans.
- Participate in performance conversations with the Director/HoD/Supervisor.
- Keep track of performance and regularly communicate any deviations to the Supervisor.
- Take responsibility for performance.
- Actively seek opportunities to improve performance.
- Work towards establishing and maintaining healthy relationship with the supervisor and members of the team.
- Keep record of performance achievements, successes and challenges.
- Ensure a full understanding of IPOA's desired results, results of the relevant directorate and department and own contribution towards the achievement of those results.

Involvement of IPOA's Partners in PMESS

IPOA's clients and partners have an important role in providing feedback on IPOA's performance. With the technical support of the Research Officer, Departments that directly interact with the clients will be collecting, analysing and reporting on client satisfaction with the quality and quantity of service delivery by IPOA.

IPOA Board and the CEO will also actively seek feedback from strategic partners such as the NPSC and NPS. Such feedback should be formally gathered at least annually during the Annual performance review workshops and at agreed intervals on shorter term recommendations made by IPOA. At the technical level the HoDs will monitor the implementation of MoUs signed between IPOA and respective stakeholders.

Performance Appraisal Subsystem (PASS)

Objectives of PASS

IPOA's PASS is the performance appraisal subsystem focusing on the performance of an individual employee as compared to PMESS that focuses on the performance of the organisation and its units. Yet PASS is a goal-oriented process directed toward ensuring that organizational processes are in place to maximize the productivity of employees, teams, and ultimately the organization. IPOA has taken a strategic view of the performance appraisal, integrating its vision, mission, values and results into PASS.

The objectives of the employees' performance management are to:

1. Improve organizational performance by promoting enhanced programming, better customer service, greater efficiency, greater focus on desired results, motivated and engaged employees,
2. Drive continuous improvement by identifying employee training and professional development needs, promoting accountability, and creating a framework for ongoing support and guidance.
3. Foster cultural change by empowering and motivating managers and staffs.

Essence of PASS

The essence of performance appraisal subsystem includes:

- i. Improving performance. Good PASS leads to improved performance. Although evaluation of team performance is critical when teams exist in an organization, the focus of PASS is on the individual employee. Regardless of the emphasis, an effective appraisal system evaluates accomplishments and initiates plans for development, goals, and objectives, therefore improving individual and organizational performance.
- ii. Human resource planning. In assessing IPOA's human resources, data must be available to identify those who have the potential to be promoted or for any area of internal employee relations.
- iii. Succession planning. A well-designed appraisal system provides a profile of the organization's human resource strengths and weaknesses to support this effort.

- iv. Recruitment and selection. Performance evaluation ratings may be helpful in predicting the performance of job applicants. For example, it may be determined that a firm's successful employees (identified through performance evaluations) exhibit certain behaviours when performing key tasks. This data may then provide benchmarks for evaluating applicant responses obtained through behavioural interviews.
- v. Appropriate training and development. Performance appraisal should point out an employee's specific needs for training and development.
- vi. Career planning and development. PASS should include a dialogue on career planning and development.
- vii. Compensation programs. Performance appraisal results provide a basis for rational decisions regarding pay increments.
- viii. Internal employee relations. Performance appraisal data are also used for decisions in several areas of internal employee relations, including confirmation, promotion, demotion, termination, layoff, and transfer.
- ix. Assessment of employee potential. Focus of the appraisal should not only be on improving the performance but, also the assessment of the potential (Talent management).

Employee Performance Management Philosophy

Tenets of IPOA's employee performance management include:

- i. Planning and performance management is a two way process involving both the employee and the supervisor.
- ii. Appraisal of employee performance must be based on objective, job related criteria developed and understood in advance by both supervisor and employee.
- iii. The appraisal of job performance is based on observable and measurable job behaviour as much as is humanly possible and not on personality or other subjective factors.
- iv. Setting objectives for future performance and growth is as important as appraising past performance.
- v. Sources of information about the employee performance should not only be the supervisor. IPOA's PASS is based on self-assessment, assessment by the supervisor, input from colleagues, input from staff being supervised by the job holder and if applicable feedback from external clients.
- vi. Performance of every individual employee will be assessed.
- vii. Assessment will include also the Board and its governance structures e.g. committees.

The Performance Appraisal Process

IPOA will ensure that the appraisal system is ratified by the Board and accepted by all staff members. The HR Manager will ensure that the appraisal form does not discriminate on age, ethnicity, gender and religion, political affiliation and disability.

All IPOA's supervisors will receive training on how to conduct the appraisal process. The HHC will also be available for further coaching and mentoring. The HHC will ensure that employees receive sufficient feedback on a regular basis so that any negative points raised in the appraisal do not come as a total surprise.

IPOA's supervisors will ensure that employees' performance targets and criteria are agreed upon at the beginning of the appraisal period with the employee. If there are any changes they should be discussed and agreed upon by the employee and his/ her manager/supervisor. Great care should be taken to select performance criteria in an appropriate way – primarily based on those factors that the individual was informed about at the outset, at their last appraisal, formal memos or through their job description.

PASS will consist of self-assessment by employee and assessment by supervisor. In addition feedback from internal and external clients may be used in the assessment interview.

Performance Appraisal Cycle

IPOA's PASS has the following stages:

Step 1: Planning

This step happens at the beginning of the performance management cycle. It's when managers set and communicate performance expectations, expressing them as competencies and performance objectives. Managers and employees also do upfront development planning to address known learning needs, and ensure the employee can successfully achieve their prescribed performance objectives and demonstrate desired competencies. Discussions between managers and employees are important at this stage to ensure that expectations for the coming period are well understood. In an annualized performance management cycle, planning (step 1) is often done at the same time as the annual performance review (step 3). Individual work plans that include clear targets will be developed at the end of each employee's anniversary. Those targets and plans can be reviewed during the interim and mid-term reviews as appropriate.

Step 2: Interim appraisals/Review of IWP

Managers/Supervisors should conduct interim appraisals for those employees whose performance does not meet the required standards. This is important so that there are no surprises during the annual appraisal. Interim reviews for other employees can be conducted at the discretion of the manager. The interim appraisals will be shorter and easier to complete than the annual appraisal. The purpose of any interim appraisal is to: appraise progress and performance to date; adjust objectives and development plans as needed; capture any changes in priority or expectations; and document the expectations and current evaluation of performance.

Step 3: Annual performance appraisal

Annual performance appraisal consists of self-assessment by the employee, assessment by the supervisor and performance appraisal interview (see appendix V on common errors in performance appraisal). The final task in the step is an employee and manager/supervisor sign-off of the completed performance appraisal form (See appraisal form in appendix VII and guideline on rating competencies in appendix VIII). Steps 3 and 1 will be completed at the

same time.

Step 4: Appraisal of performance appraisal results

This step includes an appraisal by HHC, PM&EO, the CEO and his/ her senior management team. Its purpose is to ensure all appraisals are complete, that ratings are fair and accurate and that performance gaps will be addressed with development. The three will also appraise the alignment of the two sub-systems and make any improvement.

Step 5: Appraisal of performance appraisal process

PM&EO and HHC will appraise the results of the process on an annual basis to identify things like:

- Overall performance ratings and trends
- Organizational skill gaps and trends
- Organizational, departmental or individual development needs
- High and low performers
- Biases in ratings or variations in the use of the rating scheme

The Roles and responsibilities in operationalizing the PASS

Directors and HoDs

- i. Develop and disseminate an appropriate schedule for regular performance conversation with the team.
- ii. Use the annual performance meeting to appraise the achievements, challenges, development, training that have already been discussed during the year and use information to develop performance targets for subsequent year.
- iii. Deliver positive and constructive feedback to appraisees. Feedback should be specific and focus on behaviour not personality. Remember good practice: criticise in private, praise in public.
- iv. Agree on the individual performance indicators with the employee.
- v. Communicate IPOA's performance standards and expectations to team. This will help the team appreciate what desirable performance and behaviour is.
- vi. Allow feedback on performance from multiple sources to validate own conclusions about employee's performance.
- vii. Get familiar with special needs of team members. For example how to handle young employees as opposed to older more experienced ones?
- viii. Submit completed performance appraisal within the deadline to HHC.
- ix. Ensure the alignment of the employee's performance standards and/or goals to the

directorates', department's and organization's mission and goals.

Head of Human Capital

- i. Provide training to the Board, managers and staff on IPOA's PASS and their responsibilities in the appraisal process.
- ii. Train managers and employees on giving and receiving feedback.
- iii. Launch and manage IPOA's PASS.
- iv. Analyse and appraise results of the process including quantity and quality of participation, departmental strengths and areas for improvement, departmental and individual needs.
- v. Communicate results.
- vi. Work closely with the CEO and PM&EO to ensure that overall IPOA's PMS is up to date.

Staff

Every IPOA's employee will:

- Work towards achieving own performance objectives and performance standards,
- Participate actively in the performance appraisal process,
- Keep track of performance and regularly communicate any deviations to Supervisor.
- Take responsibility for performance, and career and professional development.
- Actively seek opportunities to improve performance.
- Work towards establishing healthy relationship with manager.
- Keep record of performance achievements, successes and challenges.
- Complete self-appraisal by the specified time.
- Ensure there is a full understanding of the job description and directorate's/ department's key performance indicators.
- Participate in any training and self-development activities.

Immediate Supervisor

Immediate supervisor shall:

- i. Identify/arrange training and secure resources necessary for the employee to perform their assigned duties, expectations and identified goals.
- ii. Manage jointly with the HHC the appraisal process.
- iii. Ensure that all stages of the appraisal process are completed on time and to required

quality.

- iv. Identify special needs of team members. For example how will you handle young employees as opposed to older more experienced ones?
- v. Support employees' professional and career development.
- vi. Submit completed performance appraisal within the deadline.

Performance Monitoring and Evaluation Officer

Jointly with HHC:

- i. Provide training to the Board, managers and staff on IPOA's PMS and their responsibilities in the PASS,
- ii. Participate in the regular appraisal of the sub-system,
- iii. Analyse and appraise results of the process including quantity and quality of participation, departmental strengths and areas for improvement, departmental and individual needs,
- iv. Regularly appraise the alignment between the two subsystems and recommend improvements.

Assessment of the CEO by the Board

The performance agreement is to be signed between the CEO and the Board. The appraisal of the CEO will be done by the Board. The Board will sign a performance agreement with the CEO.

Assessment of Committees

Each Board Committee will develop annual work plan based on TOR and select key performance indicators for transfer in the appraisal form. Board members that are in a given committee will be assessed using the same form by the staff within the committee.

Assessment of Board Performance

Board will assess its performance annually during the meeting facilitated by an external consultant using an agreed upon tool. Example of such a tool is in appendix IX.

The individual Board members will also be assessed by senior staff using a simple feedback form administered and analysed by an external consultant.

Assessment of Board performance will highlight Board's strengths and areas of improvement. Following the assessment the Board will come up with the performance improvement plan.

3.4.9 Performance appraisal appeal process

If the appraisee is in partial or total disagreement with any aspect of the completed performance appraisal and after discussions with the Appraiser, this still remains unresolved then the appraisee has the right to engage the appeals process. This should be put in writing to the respective director and copied to the appraiser and Head of Human Capital within 5 working days.

All appeals related to the performance appraisal process, will be handled directly by the directorate for which the employee works through the Director. For specialised units, the appeals will be addressed to the Chief Executive Officer who will establish performance appraisal review panel.

All appeals should be copied to the appraiser and the Head of Human Capital.

On receipt of the notification to appeal, the appraiser will forward the disputed Appraisal in Confidence to the Head of Human Capital who will acknowledge receipt and in consultation with the CEO establish a performance appraisal review panel. This panel is to be established and hold its first hearing within 10 working days after filing of appeal.

This panel will consist of five members as follows:

1. Member of Human Capital Department
2. PME or a neutral third party
3. Director /Head of Department
4. Appraiser
5. Employee (Optional)

The review panel will make its recommendations to the Chief Executive Officer within three working days after conclusion of the hearing and a disposition made in writing and communicated to the Appellant and all other members of the review panel.

If the Appellant agrees with the ruling of the review panel, the matter is sent to HRM for filing and implementation of ruling.

If the Appellant is not in agreement with the ruling of the review panel, the Appellant may opt to file a Grievance as provided in the HR Policies and procedures manual.

Appendix I: Balanced Score Card

IPOA will be reporting on performance based on the four perspective of the BSC:

1. Customer Satisfaction Perspective
2. Internal Processes Perspective
3. Learning and Innovation Perspective
4. Financial Perspective

Financial:

In the IPOA's arena, the "financial" perspective differs from that of the traditional private sector. Private sector financial objectives generally represent clear long-range targets for profit-seeking organizations, operating in a purely commercial environment. Financial considerations for public organizations like IPOA have an enabling or a constraining role, but will rarely be the primary objective for business systems. Success for IPOA should be measured by how effectively and efficiently they meet the needs of their constituencies. Therefore, in IPOA, the financial perspective emphasizes cost efficiency, i.e., the ability to deliver maximum value to the customer and the ability to mobilise additional resources from other sources.

Customer:

This perspective captures the ability of the organization to provide quality goods and services, the effectiveness of their delivery, and overall customer service and satisfaction. In IPOA's case the principal driver of performance is different than in the strictly commercial environment; namely, customers and stakeholders take pre-eminence over financial results. In IPOA's case the ability to influence key stakeholders such as the NPSC may be of such critical importance so as to overshadow all other considerations.

Internal Business Processes:

This perspective focuses on the internal business results that lead to financial success and satisfied customers. To meet organizational objectives and customers expectations, IPOA must identify the key business processes at which they must excel. Key processes are monitored to ensure that outcomes will be satisfactory. Internal business processes are the mechanisms through which performance expectations are achieved.

Learning and Growth:

This perspective looks at the ability of employees, the quality of information systems, and the effects of organizational alignment in supporting accomplishment of IPOA's results. Processes will only succeed if adequately skilled and motivated employees, supplied with accurate and timely information, are driving them. This perspective takes on increased importance in organizations like IPOA that operates in times of radical change. In order to meet changing requirements and customer expectations, employees may be asked to take on dramatically new responsibilities, and may require skills, capabilities, technologies, and organizational designs that were not available before.

BSC Dashboard

Perspective	What To Ask	Typical Response
Financial	What do we need to achieve financially in order to satisfy our stakeholders' expectations?	<p>Improve value for money</p> <p>Stay within budget</p> <p>Ensure adequate funding</p> <p>Abide by the Financial management regulations</p>
Customer	To realise our vision and goal, what do we need to achieve from a customer and Stakeholder perspective?	<p>Contribute to the professionalization of Police Service</p> <p>Improve human rights record</p> <p>Decentralize to counties</p> <p>Increased citizen/customer use and satisfaction</p>
Internal Process	In which operational activities must we excel in order to deliver value for customers and achieve our results?	<p>Focus on partnership working internally and externally</p> <p>Reduce time taken to make decisions/ receive approvals</p> <p>Improve delivery time</p> <p>Implement quality standards</p> <p>Implement most effective and efficient methodologies</p> <p>Improve procurement processes</p>
Learning & Growth	<p>If we are to excel at processes and deliver against customer expectation, what people development support is needed and how do we</p> <p>encourage innovation, change and continuous improvement?</p>	<p>Become a benchmark/ centre of excellence for good practices</p> <p>Introduce a performance management system with personal development plans</p> <p>Improve team working and motivation</p> <p>Increase training per employee</p>

APPENDIX II: TEMPLATE FOR THE ANNUAL WORK PLAN AND BUDGET (AWPB)

The detailed Corporate AWPB is a consolidation of the Directorates'/Departmental AWPBs. The template is below and details are currently entered in excel

Directorate	Department	Specific objective (As defined in the Results Framework)	Activity	Output	Performance indicators	Target	Actor/re-sponsible	Time (Targets are inserted in respective months)										Budget Amount for Each Activity		
								Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	

INDIVIDUAL WORK PLAN

1ST JULY 20—30TH JUNE 20__

NAME OF STAFF: _____ DESIGNATION: _____

DIRECTORATE: _____ DEPARTMENT/UNIT: _____

Performance objective		Key Activity	Sub activity (if applicable)	Resources required	Expected results	Time frame
Directorate/Department objective (As in the Results Framework)	Specific objective					

NAME OF SUPERVISOR _____

STAFF SIGNATURE _____

SIGN _____

DATE _____

DATE _____

EXPLANATORY NOTES ON THE INDIVIDUAL WORK PLAN

Introductory section of the individual work plan contains:

Name of staff: Official name

Designation: As defined in the letter of offer

Directorate: As defined in IPOA

Department/Unit: As defined in IPOA

Matrix section has the following:

1. Performance Objectives: These are the objectives defined consultatively and captured in respective Results Frameworks for Directorates, Departments and Units.
2. Activity: These are as captured in the Directorate's/Department's 2014/2015 Annual Work Plan.
3. Sub Activity: Some activities in 3rd column above constitutes key tasks e.g signing of MOUs with partners as activity that constitutes of a series of tasks such as conduct meetings, draft the MOUs and finally signing of the MOU. The column makes provision for such kind of tasks thus not all activities need to have sub activities.
4. Resources required: This need to be specified by form and not budgets eg stationery, fuel, Subsistence allowances, consultants etc.
5. Expected Results: Refer to the end product of the activity or sub activity eg 2 meetings held, 1 MOU signed etc.
6. Timeframe: The Month/date as applicable by which the expected results will have been achieved eg 15th September 2014.

Final section is confirmation of the Performance Agreement by appending signatures both for the staff and supervisor.

Appendix III: results framework at Corporate level²³

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
Restored public confidence and trust in Police	Percentage of people expressing confidence in Police	-Percentage of women expressing confidence and trust in Police			Survey report	Annual survey	Annually
		-Percentage of men expressing confidence and trust in Police					
		Trends in perception as reported in media ² coverage			Media	Media monitoring	Weekly
					Other constitutional commissions' reports		Annually
					Other agencies' reports ³		Annually
			Good practices introduced as a result of IPOA's recommendations in Police Service documented and disseminated by IPOA	-Number of good practices adopted in Police Service	IPOA's performance report (recommendation matrix)	Internal monitoring tools	Semi-annually
			Agreement on the annual award scheme for best performing Police entities with NPS, NPSC and strategic partners	Number of agreements	Performance report		Once

² Both traditional and social media

³ For example UN Commission on Human Rights, Amnesty International, Human Rights Watch, other independent policing oversight authorities reports

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
Enhanced compliance by the Police with constitutional standards on fundamental freedoms and human rights in policing	Reduced incidences of police misconduct	Number of incidences of police misconduct			IPOA reports	Internal data capturing tools	Semi-annually
	Reduced deaths and serious injuries ⁴ as a result of police action	-% reduction in deaths -% reduction in serious injuries			IPOA reports	Internal monitoring tool	Semi-annually
	Public perception of police as compliant with human rights standards	% of public describing police as compliant with human rights standards			Media	Media monitoring	
			Percent of casualties injured as a result of police action taken for medical assistance by police	Total number of casualties; Number of casualties taken for treatment	IPOA reports	Internal monitoring tools	Quarterly
	Satisfaction of detainees in treatment and condition of detention facilities	% of detainees expressing satisfaction			Survey report	Survey	Annually
			Agreements on reporting between IPOA and NPS	Number of agreements	IPOA reports	Internal data collection tools	Once

⁴ As defined by the Police Service Act Six Schedule Section 12.b.1

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
			Improved Police reporting to IPOA, public, other oversight agencies, on compliance regularly as per accepted standards (women, men, juvenile, marginalised)	% of Police reports submitted	Reports from the NPS		As per agreement
			Service Standing Orders compliant to human rights standards		IPOA reports (Legal dpt)	Internal data collection tools	Once and after any review
			Extent to which recommendations by IPOA have been acted upon by the NPS, NPSC, Parliament and other government agencies	% recommendations acted upon	IPOA Performance report		Semi-annual
			Improved interaction between IPOA, NPSC, NPS, NGEC, KNCHR, CAJ and others towards professional policing	Number of joint events			
			Police leadership emphasises constitutional standards on fundamental freedoms and human rights in their policy statements and other events	Number of times statements containing the emphasis on human rights are made	Media reports, NPS	NPS, NPSC liaison	Semi-annually
						Media monitoring	Weekly for media monitoring

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
			Police identified or identify themselves as protectors of human rights	Number of police officers	Case stories	Interviews with identified respondents with representation of gender, PWD, minorities and other vulnerable groups	Semi-annually
Improved detention facilities and police premises	Extent to which required standards are met in detention facilities and police premises ⁵	Percentage of required standards being met in detention facilities and police premises				IPOA's reports and records	Semi-annually
			Inspection system ⁶ reviewed and used	Inspection Manual and tools approved and used	Inspections Directorate	Internal monitoring tool	Semi-annually
			Percent of police premises inspected	Number of staff recruited and inducted	Personnel records		Semi-annually
				Number of police premises inspected	Performance report	Internal monitoring tools	Quarterly
			Dissemination of outstanding improvements in police premises and detention facilities	Number of improvement reports disseminated	Directorate reports	Dissemination reports	Quarterly
			Extent to which recommendations made on detention and police premises by IPOA are implemented	% of implemented recommendations	Performance reports	Internal monitoring tools	Semi-annually

⁵ Based on the representative sample.

⁶ System will include policy, procedures, standards, responsibilities, timing, tools etc.

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
Functional IAU	Operational IAU with adequate budget, adequate and competent staff, separate office space and administrative autonomy	Level of capacity (budget, staff, space)			Performance reports	IAU quarterly report	Semi-annually
			IPOA's interventions ⁷ with strategic partners ⁸ on the importance of strong IAU	-Number of interventions	Performance reports		Semi-annually
			IPOA signed MoU ⁹ with NPS and IAU	MOU	Performance reports	Internal monitoring tools	Once
			The extent to which IAU handles complaints	Percent of cases handled to completion ¹⁰	Performance reports	IAU quarterly report	Quarterly
A model institution in policing oversight in Africa	IPOA being a benchmark for other countries	Number of requests made to IPOA for information and technical assistance from organisations and individuals regionally and internationally			Performance reports	Internal monitoring tools Media monitoring	Semi-annually

⁶ System will include policy, procedures, standards, responsibilities, timing, tools etc.

⁷ This will include persuasion, media articles, and formation of strategic partnerships to increase capacity to influence, dialogue, and provision of technical assistance.

⁸ These partners will include media, other commissions, private sector associations, civil society.

⁹ MoU will include liaison mechanisms between the two, the role of each and the kind of support provided by each of them.

¹⁰ Refers to the extent that handling is within the jurisdiction of IAU.

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
			IPOA being a benchmark ¹¹ for other organisations in Kenya.	Number of requests made to IPOA for information and technical assistance from organisations nationally, -Number of recognitions/commendations	Performance reports	Correspondences received	Semi-annually
			Number of references to IPOA materials ¹²		-Media -Literature	-Media monitoring -Literature review (Search engine)	Quarterly
			Number of positive mentions on IPOA by other organizations		-Media -Literature	-Media monitoring -Literature review (Search engine)	Quarterly
			Rate of increase in funding for IPOA	Funding in current FY versus funding in base year	Performance reports	Internal monitoring tools	Annually
			Accountability Systems for operations and function implemented	-Percent of unqualified audit reports -Percent of audit recommendations implemented	Performance reports	Audit reports	Semi-annually
			Level of decentralization of IPOA's services ¹³	Number of targeted and actual decentralized IPOA's units	Performance reports	Internal monitoring tools	Semi-annually

¹¹ The benchmarking is based on gender and human rights practices in policing among other areas.

¹² IPOA publications, reports etc

¹³ Decentralization plan developed and implemented.

Outcomes	Lagging Indicator (Outcome Measure)	Data Requirement	Leading Indicator (Performance Drivers)	Data Requirement	Source of Data	Method/ Tool	Frequency
			Innovative practices in IPOA's service delivery	Number of innovative practices	Performance reports	Internal monitoring tools	Annually
			Functional mechanism for Cooperation, Coordination and Communication ¹⁴ (CCC)	Extent to which CCC mechanism is functional	Performance reports	Internal monitoring tools	Semi-Annually
			Functional performance management system ¹⁵	Extent to which system is functional	Performance reports	Internal monitoring tools	Semi-annually
			IPOA as an organisation fully compliant with practices of human rights and constitutional requirements	<ul style="list-style-type: none"> - Number of staff trained on human rights -Extent of diversity during recruitments -Functional mechanism to handle complaints on all forms of staff harassment 	Performance reports	Internal monitoring tools	Semi-annually

¹⁴ Examples will include inter-departmental coordination at all levels, CCC is an important factor in performance appraisal system, joint planning and review sessions, among others.

¹⁵ Including the extent to which performance reports have influenced decision making/ action.

Appendix IV: Results Framework at organisational units' level

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
COMPLAINTS MANAGEMENT AND LEGAL SERVICES										
Directorate's objective: Efficient and effective management of complaints and legal issues towards achievement of Authority's mandate	Proportion of prosecutions on police officers for their role in criminal acts	Number of cases recommended for prosecution of police for their role in criminal acts; Number of police officers prosecuted for their role in criminal acts	Quarterly	Director C&LS	Internal data capturing tools					
	Percent of police convictions	Number of police prosecution completed for their role in criminal acts; Number of police convicted	Quarterly	Director C&LS	Internal data capturing tools					
	Rate of completion of cases before court from IPOA	Number of cases under prosecution; Number of cases completed	Quarterly	Director C&LS	Internal data capturing tools					
	Percent of police disciplined based on complaints forwarded to NPSC & IAU	Number of cases forwarded for disciplinary action by NPSC & IAU	Quarterly	Director C&LS						
	Level of complainants' satisfaction with complaints management services	-Level of satisfaction with complaints management at IPOA -Level of satisfaction with complaints management at IAU	Quarterly	Research Officer	Survey					
	Percent of complaints conclusively cleared through all justice seeking processes	Total number of complaints within IPOA's mandate; Number of complaints within IPOA's mandate conclusively cleared (Covers all including those referred to other agencies)	Quarterly	Director C&LS	Internal data capturing tools					
	Timeliness of legal services to IPOA		Quarterly	Director C&LS	Internal data capturing tools					

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
COMPLAINTS MANAGEMENT										
Specific objective: Efficient and effective management of complaints and complainants/clients	Percent of clearance of received complaints at IPOA level	Total number of complaints that are within IPOA's mandate; Total number of complaints within IPOA's mandate cleared by the CIC within timelines	Quarterly	Head-CM	Internal data capturing tool	90%	100%	100%	100%	100%
	Percent of complaints received by IPOA recommended for resolution through ADR (Alternative Dispute Resolution)	Total number of complaints received by IPOA; Number of complaints recommended by CIC for resolution through ADR	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints received by IPOA resolved through ADR (Alternative Dispute Resolution)	Number of complaints recommended by CIC for resolution through ADR; Number of complaints resolved through ADR	Quarterly	Head-CM	Internal data capturing tool					
	Proportion of complaints referred to IAU	Number of received complaints within IPOA's mandate; Number of complaints referred to IAU	Quarterly	Head-CM	Internal data capturing tool					
	Proportion of all complaints at IAU cleared within timeline	Number of complaints at IAU monitored by IPOA; Number of complaints cleared by IAU within timelines	Quarterly	Head-CM	Internal data capturing tool		80%	95%	100%	100%
	Complaint management system established		Quarterly	Head-CM	Internal data capturing tool	1	1	1	1	1
	Level of timely feedback to complainants on status of their complaints	Total number of complainants whose complaints are within IPOA's mandate; Number of complainants provided with timely feedback	Quarterly	Head-CM	Internal data capturing tool					
	Sensitization forums conducted to the Public and Police on IPOA's Complaint Handling Management		Quarterly	Head-CM	Internal data capturing tool		3	7	11	15

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Functionality of the Complaint management system		Quarterly	Head-CM	Internal data capturing tool	50%	100%	100%	100%	100%
	Percent of complaints received through letters	Total number of complaints received by IPOA; Number of complaints received through letters	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints registered through IPOA's own motion	Total number of complaints received by IPOA; Number of complaints received through own motion	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints received online	Total number of complaints received by IPOA; Number of complaints received on line	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints received through phone calls	Total number of complaints received by IPOA; Number of complaints received through phone calls	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints received through walk-in	Total number of complaints received by IPOA; Number of complaints received through walk-in	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints within IPOA's mandate	Total number of complaints received by IPOA; Total number of complaints that are within IPOA's mandate	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints by public received from women	Number of complaints by public; Number of complaints by public received from women	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints by public received from men	Number of complaints by public; Number of complaints by public received from men	Quarterly	Head-CM	Internal data capturing tool					
	Percent of complaints received from policewomen	Number of complaints by police; Number of complaints received from policewomen	Quarterly	Head-CM	Internal data capturing tool					

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Percent of complaints received from policemen	Number of complaints by police; Number of complaints received from policemen	Quarterly	Head-CM	Internal data capturing tool					
	Performance reports prepared and submitted to the Director (gender sensitive)		Quarterly	Head CM			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Head CM			100%	100%	100%	100%
	Quarterly risk reports Submitted		Quarterly	Head CM			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	Head CM				60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
COUNSELING SERVICES										
Specific objective: Effective psycho social Support provided to staff and clientele	Percent of clients cleared through the special support unit	Number of clients referred to the special support unit; Number of clients cleared (concluded)	Quarterly	Counselor	Internal data capturing tool		95%	100%	100%	100%
	Percent of clients cleared through the specialized care	Number of clients referred for specialized care; Number of clients cleared on specialized care (concluded)	Quarterly	Counselor	Internal data capturing tool					
	Average number of staff accessing psycho social support (quarterly)		Quarterly	Counselor	Internal data capturing tool					
	Number of Psycho-therapy sessions conducted to individuals (Clients)		Quarterly	Counselor	Internal data capturing tool					
	Number of individuals offered psycho therapy sessions (Clients)		Quarterly	Counselor	Internal data capturing tool					
	Performance reports (gender sensitive) compiled and submitted to the Head CM		Quarterly	Counselor			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Counselor			100%	100%	100%	100%
	Quarterly risk reports Submitted		Quarterly	Counselor			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	Counselor				60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
LEGAL SERVICES										
Specific objective: Timely and quality legal services provided to the Authority	Average level of concurrence granted on files forwarded to ODPP on prosecutions		Quarterly	Head of Legal Services	Internal data capturing tool					
	Percent of files on investigated cases granted concurrence by the ODPP on initial submission	Total number of files forwarded to ODPP; Number of files granted concurrence on the initial submission	Quarterly	Head of Legal Services	Internal data capturing tools					
	Proportion of contracts, memoranda and documents reviewed on time by the legal department	Number of contracts, memoranda and documents for review forwarded to the legal document; Number of contracts, memoranda and documents reviewed by the legal department on time	Quarterly	Head Legal services	Internal data capturing tools	80%	90%	100%	100%	100%
	Percent of relevant court pleadings filed within time-lines	Number of court pleadings to be filed; Number of court pleadings filed within timelines	Quarterly	Head Legal services	Internal data capturing tools	100%	100%	100%	100%	100%
	Percent of cases submitted to Legal for review forwarded to the DPP for prosecution	Total number of cases submitted to Legal for review; Number of cases forwarded to ODPP for prosecution	Quarterly	Head Legal services	Internal data capturing tools		100%	100%	100%	100%
	Percent of files on investigated cases granted concurrence by the legal team on initial review	Total number of files on investigated cases received for review; Number of files granted concurrence on the initial review	Quarterly	Head Legal services	Internal data capturing tools		100%	100%	100%	100%
	Percent of investigations files reviewed by Legal department within timelines	Number of investigations files forwarded for review to the Legal department; Number of investigations files reviewed within timelines	Quarterly	Head Legal services	Internal data capturing tools	80%	90%	100%	100%	100%
	Percent of court cases recommended for prosecution by IPOA monitored by the legal department	Number of court cases recommended for prosecution by IPOA; Number of court cases recommended for prosecution by IPOA monitored by the legal department	Quarterly	Head Legal services	Internal data capturing tools	100%	100%	100%	100%	100%

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Court sessions attended by the legal department	-Court sessions attended on cases investigated by IPOA -Court cases attended on other cases of IPOA's interest	Quarterly	Head Legal services	Internal data capturing tools					
	Number of IPOA Act, other laws and regulations on policing reforms reviewed through technical support of the Legal Department		Quarterly	Head Legal services	Internal data capturing tools		1	1	1	1
	IPOA regulations developed and published		Quarterly	Head Legal services	Internal data capturing tools					
	IPOA regulations drafted		Quarterly	Head Legal services	Internal data capturing tools		1	1	1	1
	Percent of cases referred to IAU handled within the agreed timelines (90 days)	Total number of cases referred to IAU; Number handled within the given timelines	Quarterly (Cumulative)	Head Legal services	Internal data capturing tools					
	Number of Audit and monitoring report on cases handled by IAU		Quarterly	Head Legal Services	Internal data capturing tools					
	Performance reports compiled (gender sensitive) and submitted to the Director		Quarterly	Head Legal Services		4	8	12	16	
	Percentage of implementation of audit report recommendations		Quarterly	Head Legal Services		100%	100%	100%	100%	
	Quarterly risk reports Submitted		Quarterly	Head Legal Services		4	8	12	16	
	Level of implementation of risk report recommendations		Quarterly	Head Legal Services			60%	70%	80%	

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
INVESTIGATIONS MANAGEMENT										
Specific objective: Improved internal investigations management on allegations of criminal actions and misconduct by Police	Percent of investigations finalized by IPOA within 90 working days (active investigation period)	Total number of cases cleared for investigation; Number finalized within 90 working days	Quarterly	Director Investigations	Internal data capturing tools		40%	50%	60%	70%
	Percent of investigated cases submitted to Legal Department for review	Total number of investigated cases; Number of investigated cases submitted to Legal Department for review	Quarterly	Director Investigations	Internal data capturing tools					
	Percent of investigations finalized by IPOA in totality (timely + delayed)	Total number of investigated cases qualified for investigation; Number of investigations finalized (both within timeframe and delayed)	Quarterly	Director Investigations	Internal data capturing tools		40%	50%	60%	70%
	Average cost per investigated cases	Total cost of investigating cases; Number of cases investigated	Quarterly	Director Investigations	Internal data capturing tools					
	Number of criminal cases before court attended by investigators		Quarterly	Head of investigations	Internal data capturing tools					
	Percent of investigated cases closed	Total number of cases investigated; Number of investigated cases closed	Quarterly	Head of investigations	Internal data capturing tools					
	Percent of investigated cases referred to other agencies for further action	Total number of investigated cases; Number of investigated cases referred to other agencies for further action	Quarterly	Head of investigations	Internal data capturing tools					
	Number of investigations finalized by IPOA relating to female victims		Quarterly	Head of investigations	Internal data capturing tools					

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of investigations finalized by IPOA relating to male victims		Quarterly	Head of investi- gations	Internal data captur- ing tools					
	Number of investigations finalized by IPOA relating to vulnerable victims ¹⁶		Quarterly	Head of investi- gations	Internal data captur- ing tools					
	Percent of cases under inves- tigations uploaded and up- dated in the Complaints and Investigations Management system and shared drive	Total number of cases under investiga- tions; Number of cases under investi- gations uploaded and updated in the system	Quarterly	Head of investi- gations	Internal data captur- ing tools		100%	100%	100%	100%
	Performance reports com- piled (gender sensitive) and submitted to the		Quarterly	Head of investi- gations			4	8	12	16
	Percentage of implementa- tion of audit report recom- mendations		Quarterly	Head of investi- gations			100%	100%	100%	100%
	Quarterly risk reports Sub- mitted		Quarterly	Head of investi- gations			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	Head of investi- gations				60%	70%	80%

¹⁶ Differently abled, elderly, marginalized, PLWHAs, minors

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
INSPECTIONS, MONITORING AND RESEARCH										
IPOA's outcome 3: Improved detention facilities and police premises	Detainees satisfaction with the standards of detention facilities		Semi annually	Research Officer	Survey					
	Level to which required standards are met for detainees' welfare		Quarterly	Director I&M	Internal data capturing tool					
	Level to which required standards are met in detention facilities		Quarterly	Director I&M	Internal data capturing tool					
	Level to which police officers are provided with reasonable housing		Quarterly	Director I&M	Internal data capturing tool					
	Level to which required standards are met for other police working conditions		Quarterly	Director I&M	Internal data capturing tool					
	Percent of research recommendations executed		Quarterly	Research Officer	Internal data capturing tools			40%	45%	55%
Objective 1: Improved standards of detention facilities, Detainee welfare and police working conditions	Number of police premises improvement reports disseminated		Quarterly	Director I&M	Internal data capturing tool					

Objectives	Indicators	Data required	Frequency	Responsible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Proportion of recommended actions executed	Number of recommended actions on detention facilities and Police premises ; Number of recommended actions executed on detention facilities and police premises	Quarterly	Director I&M	Internal data capturing tool					
	Proportion of detention facilities with separate cells for male and female	Number of detention facilities inspected; Number of detention facilities with separate cells for male and female	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool	86%				
	Percent of detention facilities with separate juvenile and children cells	Number of detention facilities inspected; Number of detention facilities with separate juvenile and children cells	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool	10%				
	Percent of detention facilities providing welfare services to detainees according to the human rights standards	Number of detention facilities inspected; Number of detention facilities providing welfare services to detainees according to the human rights standards	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Percent of detention facilities with hygienic conditions for human habitation	Number of detention facilities inspected; Number of detention facilities with hygienic conditions for human habitation	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Percent of detention facilities providing special welfare services to female detainees	Number of detention facilities inspected; Number of detention facilities providing special welfare services to female detainees	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Proportion of Police premises with functional child protection unit	Number of Police premises inspected; Number of Police premises with child protection unit	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Proportion of police premises with manned gender desk	Number of police premises inspected; Number of police premises with gender desk	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Proportion of police premises with customer care desk	Number of police premises with customer care desk; Number of police premises with customer care desk	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Proportion of police stations with functional community policing structures	Number of police stations inspected; Number of police stations with functional community policing structures				30%				
	Percent of detainees held for over 24 hours	Number of detainees during the inspection; Number of detainees held for over 24hours	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Percent of felony cases that met the 24 hour rule	Total number of felony cases reviewed; Number that met the 24 hour rule	Annually	Research Officer	Survey	27%	40%	60%	80%	95%
	Number of Outstanding Police Service Awards (OPSA) held	Number of awards	Annually	HOD Monitoring and Inspection	Internal data capturing tool		1	2	3	4
	Number of detention facilities with hygienic conditions for human habitation	Number of detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of detention facilities with adequate light, toilet, washing facility and outdoor area	Number of detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of detention facilities with separate cells for male and female	Number of detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of detention facilities with separate juvenile and children cells	Number of detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of detention facilities providing welfare services to detainees according to the human rights standards	Number of detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of detention facilities providing special welfare services to female detainees	Number of detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of Police premises with functional child protection unit	Number of police premises	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of police premises with gender desk	Number of police premises	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of police premises with customer care desk	Number of police premises	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of police stations with functional community policing structures	Number of police premises								

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Proportion of detention facilities inspected	Number of detention facilities targeted for inspection; Actual number of detention facilities inspected	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Proportion of re-inspections conducted on detention facilities	Number of re-inspections to detention facilities; Number of re-inspections to detention facilities	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Proportion of Police premises inspected	Number of Police premises targeted for inspection; Actual number of Police premises inspected	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Proportion of re-inspections conducted on Police premises	Number of re-inspections to Police premises; Number of re-inspections to Police premises	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
Objective 2: Improved standards of police operations	Level to which required standards are met in police operations		Quarterly	Director I&M	Internal data capturing tool					
	Reduced prevalence of violence during police operations	Number of Police operations monitored; Number of police operations observed to have experienced violence	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Reduced Prevalence of excess force by police during police operations	Number of Police operations monitored; Number of police operations characterized with use of excess force by police	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of police operations observed to have experienced violence	Number of police operations	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of police operations characterised with use of excess force by police	Number of police operations	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Number of police operations monitored	Number of police operations	Quarterly	HOD Monitoring and Inspection	Internal data capturing tool					
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Director I&M			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Director I&M			100%	100%	100%	100%
	Quarterly risk reports Submitted		Quarterly	Director I&M			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	Director I&M				60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
Objective 3: Empirical based data and information provided to inform IPOA's and other Government policies	Extent to which research col- laboration plan is realized		Quarterly	Research Officer	Internal data cap- turing tools					
	Percent of surveys conducted	Expected number of surveys to be conducted; Actual number of surveys conducted	Quarterly	Research Officer	Internal data cap- turing tools			80%	98%	98%
	Percent of research reports completed and disseminated within time	Number of surveys completed; Number of survey reports disseminated.	Quarterly	Research Officer	Internal data cap- turing tools			85%	98%	98%
	Percentage of implementa- tion of audit report recom- mendations	Number of recommendations made; Number of recommendations imple- mented	Quarterly	Research Officer	Internal data cap- turing tools		100%	100%	100%	100%
	Number of research plans developed and approved	Number of research plans developed	Quarterly	Research Officer	Internal data cap- turing tools			1	2	3
	Set of research tools devel- oped and approved		Quarterly	Research Officer	Internal data cap- turing tools			1	1	1
	Number of surveys conduct- ed		Quarterly	Research Officer	Internal data cap- turing tools			2	5	9

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of adhoc research studies conducted		Quarterly	Research Officer	Internal data capturing tools					
	Number of research reports produced		Quarterly	Research Officer	Internal data capturing tools			2	5	9
	Number of research reports disseminated		Quarterly	Research Officer	Internal data capturing tools			2	5	9
	Number of research collaboration plans developed & updated		Quarterly	Research Officer	Internal data capturing tools			1	1	1
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Research Officer	Internal data capturing tools		1	5	9	13
	Percentage of implementation of audit report recommendations		Quarterly	Head - C&O	Internal data capturing tools		100%	100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	HOD Monitoring and Inspection	Internal data capturing tools			60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
COMMUNICATION AND OUTREACH										
Overall objective: Enhanced Public Knowledge about IPOA among the Public and the Police	Proportion of the Public with knowledge about IPOA		Semi-an- nually	Research Officer	Survey	34.3%	39.3%	45%	50%	55%
	Proportion of the Police with knowledge about IPOA		Semi-an- nually	Research Officer	Survey	62.5%	68%	73%	78%	83%
	Level of customer satisfaction on overall IPOA's services		Annually	Research Officer	Survey					
	Number of people providing feedback on IPOA's services		Quarterly	Head-C&O	Various channels (Facebook, Twitter, media etc)					
	Level of customer satisfaction on IPOA's reception		Quarterly	Research Officer	Survey					
	Percent increase in the number of IPOA's partners	Initial number of partners (base year 2013/14); Current cumulative number of partners providing support to IPOA	Semi-an- nually	Head - C&O	Internal data capturing tools					
	Percent achieved in communication strategy's objective		Semi-an- nually	Head - C&O	Internal data capturing tools		40%	70%	75%	80%
Specific objective: Increased publicity on IPOA	Percent increase in the number of people reached with messages on IPOA	Initial number of people reached with messages on IPOA (Base year 2013/14); Current cumulative number of people reached with messages on IPOA	Quarterly	Head - C&O	Internal data capturing tools		90%	100%	100%	100%
	Percent Level of implementation of the communication strategy		Quarterly	Head - C&O	Internal data capturing tools	40%	60%	85%	90%	95%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of Service level agreements with media firms		Quarterly	Head - C&O	Internal data capturing tools		4	5	6	7
	Level of engagement with media partners		Quarterly	Head - C&O	Internal data capturing tools	30%	100%	100%	100%	100%
	Percent implementation of recommendations made towards improving communication		Quarterly	Head - C&O	Internal data capturing tools		60%	95%	95%	95%
	Operationalization of Customer service charter		Quarterly	Head - C&O	Internal data capturing tools		100%	100%	100%	100%
	Customer service charter developed			Head - C&O						
	Training plans developed		Quarterly	Head - C&O	Internal data capturing tools	1	1	1	1	1
	Communication strategy developed		Quarterly	Head - C&O	Internal data capturing tools	1	1	1	1	1
	Customer service charter developed		Quarterly	Head - C&O	Internal data capturing tools	1	1	1	1	1
	Number of brand exposures		Quarterly	Head - C&O	Internal data capturing tools	30	40	50	60	70
	Database for existing and potential partners developed and updated		Quarterly	Head - C&O	Internal data capturing tools	1	1	1	1	1
	Number of general call centre established		Quarterly	Head - C&O	Internal data capturing tools		1	1	1	1

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of brand progress survey undertaken		Quarterly	Head - C&O	Internal data capturing tools		1	2	3	4
	Number of Public outreach forums conducted		Quarterly	Head - C&O	Internal data capturing tools		30	40	50	60
	Number of Campaigns undertaken		Quarterly	Head - C&O	Internal data capturing tools	30	40	50	60	70
	Corporate logo designed and in use		Quarterly	Head - C&O	Internal data capturing tools	1	1	1	1	1
	IPOA communication materials produced (pieces)		Quarterly	Head - C&O	Internal data capturing tools	30	40	50	60	70
	Number of quarter review meetings conducted with media partners		Quarterly	Head - C&O	Internal data capturing tools		4	8	12	16
	Number of actual media monitoring reports compiled		Quarterly	Head - C&O	Internal data capturing tools		52	104	156	208
	Performance reports compiled (gender sensitive) and submitted to the CEO		Quarterly	Head - C&O	Internal data capturing tools	1	5	9	13	17
	Quarterly risk reports Submitted		Quarterly	HOD Monitoring and Inspection	Internal data capturing tools	4	8	12	16	
	Percentage of implementation of audit report recommendations		Quarterly	Head - C&O	Internal data capturing tools		100%	100%	100%	100%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Level of implementation of risk report recommendations		Quarterly	HOD Monitoring and Inspection	Internal data capturing tools			60%	70%	80%

HUMAN RESOURCE

Overall objective: Enhanced productivity among staff	Proportion of staff rated satisfactory and above in the delivery of service	Total number of staff; Number of staff rated satisfactory and above in the delivery of service	Annually	Head-HC	Internal performance management tools		70%	80%	90%	95%
	Reduced rate of staff turn-over	Total number of staff; Number of staff exit	Annually	Head-HC	Internal data capturing tools	12%	10%	9%	8%	7%
	Level of overall employee satisfaction		Annually	Research Officer	Survey		60%	65%	70%	75%
	Diversity of recruited staff (County and gender representation)	Number of staff recruited; Number of female, Number of male; Number of Counties represented	Annually	Head-HC	Internal data capturing tools		90%	90%	90%	90%
Specific objective: Efficient HR services and enhanced capacity among staff	Percent of staff satisfied with HR services and capacity building		Annually	Research Officer	Survey		60%	70%	80%	90%
	Level of functionality of the staff complaints handling mechanism on any form of harassment		Quarterly	Head-HC	Internal data capturing tools		100%	100%	100%	100%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Level of compliance to the HR manual		Quarterly	Head-HC	Internal data capturing tools		75%	85%	95%	100%
	Level of adherence to Staff welfare policy		Quarterly	Head-HC	Internal data capturing tools		85%	95%	100%	100%
	Level of adherence to Motivation and retention strategy		Quarterly	Head-HC	Internal data capturing tools		70%	85%	95%	95%
	Level of compliance to Career progression plan		Quarterly	Head-HC	Internal data capturing tools		75%	85%	95%	100%
	Level of adherence to the succession policy & plan		Quarterly	Head-HC	Internal data capturing tools		85%	95%	100%	100%
	Level of compliance to gender and equality policy		Quarterly	Head HC	Internal data capturing tools		70%	85%	95%	95%
	Extent to which reference is made to the Training needs analysis in conducting actual trainings		Quarterly	Head-HC	Internal data capturing tools		98%	98%	98%	98%
	Percent implementation of the training plans		Quarterly	Head-HC	Internal data capturing tools		30%	50%	70%	85%
	Timeliness in staff recruitment		Quarterly	Head-HC	Internal data capturing tools		85%	95%	95%	95%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Timeliness in addressing staff enquiries		Quarterly	Head-HC	Internal data capturing tools		95%	100%	100%	100%
	Timeliness in staff record processing		Quarterly	Head-HC	Internal data capturing tools		95%	100%	100%	100%
	Proportion of staff inductions conducted within 3 months since recruitment		Quarterly	Head-HC	Internal data capturing tools		100%	100%	100%	100%
	Number of training days per staff		Quarterly	Head-HC	Internal data capturing tools		5	10	15	20
	Percent of staff trained in various areas		Quarterly	Head-HC	Internal data capturing tools		100%	100%	100%	100%
	Percent of IPOA team trained in Human Rights		Quarterly	Head-HC	Internal data capturing tools		100%	100%	100%	100%
	Percent of staff inducted		Quarterly	Head-HC	Internal data capturing tools	100%	100%	100%	100%	100%
	Job descriptions developed			Head-HC						
	Percent of staff with signed Job descriptions		Quarterly	Head-HC	Internal data capturing tools		100%	100%	100%	100%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Performance appraisal system developed		Quarterly	Head-HC	Internal data capturing tools		1	1	1	1
	Number of Performance targets reviews conducted		Quarterly	Head-HC	Internal data capturing tools		1	2	3	4
	Number of Performance appraisals conducted		Quarterly	Head-HC	Internal data capturing tools		1	2	3	4
	Annual HR plan developed and operationalized		Quarterly	Head-HC	Internal data capturing tools		1	2	3	4
	HR manual developed		Quarterly	Head-HC	Internal data capturing tools		1	1	1	1
	Staff welfare policy established		Quarterly	Head-HC	Internal data capturing tools		1	1	1	1
	Motivation and retention strategy established		Quarterly	Head-HC	Internal data capturing tools		1	1	1	1
	Career progression plan developed		Quarterly	Head-HC	Internal data capturing tools		1	1	1	1
	Succession plan developed		Quarterly	Head-HC	Internal data capturing tools		1	1	1	1

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Training needs analysis conducted		Quarterly	Head-HC	Internal data capturing tools		1	2	3	4
	Training plans developed		Quarterly	Head-HC	Internal data capturing tools		1	2	3	4
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Head-HC	Internal data capturing tools	1	5	9	13	17
	Quarterly risk reports Submitted		Quarterly	HOD Monitoring and Inspection			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Head-HC	Internal data capturing tools		100%	100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	HOD Monitoring and Inspection				60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
RISK AND AUDIT										
Overall objective: Enhanced accountability and integrity in IPOAs operations	Percent reduction in the level of audit exceptions	Number of audit exceptions in the base year; Number of audit exception in the current report period	Quarterly	Head of Risk and Audit	Internal data capturing tools			30%	60%	70%
	Percent reduction in the audit queries by KENAO	Number of audit queries in the base year KENAO audit report; Number of audit queries in the current KENAO audit report	Quarterly	Head of Risk and Audit	Internal data capturing tools		30%	60%	70%	75%
	Percentage reduction in audit issues emerging from other external audit agencies	Number of audit queries in the base year from other external audit agencies; Number of audit queries in the current from other external audit reports	Quarterly	Head of Risk and Audit	Internal data capturing tools			30%	60%	70%
Specific objective: Systematic and disciplined approach to work established towards effective and efficient operations of IPOA				Head of Risk and Audit						
	Level of implementation of Audit recommendations		Quarterly	Head of Risk and Audit	Internal data capturing tools			100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	Head of Risk and Audit	Internal data capturing tools			60%	70%	80%
	Percent level of mitigation on identified risks		Quarterly	Head of Risk and Audit	Internal data capturing tools			50%	60%	75%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Percent implementation of the developed Annual risk based audit plan		Quarterly	Head of Risk and Audit	Internal data capturing tools		65%	70%	75%	80%
	Functionality of the Risk management committee		Quarterly	Head of Risk and Audit	Internal data capturing tools		100%	100%	100%	100%
	Annual risk based audit plan developed		Quarterly	Head of Risk and Audit	Internal data capturing tools		1	2	3	4
	Institutional risk management framework developed and updated		Quarterly	Head of Risk and Audit	Internal data capturing tools	1	1	1	1	1
	Number of Audits conducted and report compiled submitted to the Board's Risk and Audit Committee		Quarterly	Head of Risk and Audit	Internal data capturing tools		7	14	21	28
	Risk management committee established		Quarterly	Head of Risk and Audit	Internal data capturing tools	1	1	1	1	1
	Number of risk management committee meetings conducted (By Management)		Quarterly	Head of Risk and Audit	Internal data capturing tools	3	7	11	15	19
	Quarter risk report compiled and submitted to the Board's Risk and audit committee		Quarterly	Head of Risk and Audit	Internal data capturing tools		3	7	11	15
	Adhoc audits conducted		Quarterly	Head of Risk and Audit	Internal data capturing tools					
	Number of follow up audits conducted and report compiled and submitted to the Board		Quarterly	Head of Risk and Audit	Internal data capturing tools		3	6	9	12
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Head of Risk and Audit	Internal data capturing tools	1	5	9	13	17

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
BUSINESS SERVICES										
Directorate's objective: Timely and quality operational services provided towards achievement of IPOA's Objectives	Level of confidence among IPOA team in security measures provided		Quarterly	Research Officer	Survey			60%	65%	68%
	Reduced number of security incidences reported within IPOA premises		Quarterly	Director BS	Internal data capturing tools		0	0	0	0
	Reduced number of security incidences reported by IPOA staff in the field		Quarterly	Director BS	Internal data capturing tools		0	0	0	0
	Reduced number of intrusions		Quarterly	Director BS	Internal data capturing tools		0	0	0	0
	Level of GoK budget allocation	Amount of GoK approved budget annually; Amount of funds received from GoK	Quarterly	Director BS	Internal data capturing tools	56%	65%	70%	70%	70%
	Level of fund utilization	Cumulative Amount of funds received by Authority; Cumulative Expenditure by the Authority	Quarterly	Director BS	Internal data capturing tools	100%	100%	100%	100%	100%
	Level of external funding versus the pledges	Amount of externally pledged funds; Actual amount of external funds availed	Quarterly	Director BS	Internal data capturing tools					
	Level of satisfaction of the staff on financial management services		Semi-annually	Research Officer	Survey		80%	90%	95%	95%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Level of users' satisfaction on the automated functions and overall ICT services		Semi-an- nually	Research Officer	Survey		80%	90%	95%	95%
	Level of liaison with IPOA's entities in uploading of IPOA's information		Quarterly	Director BS	Internal data cap- turing tool		100%	100%	100%	100%
	Level of satisfaction among staff on the administrative support service		Quarterly	Research Officer	Employee satisfaction thematic survey			60%	65%	70%
	Level of satisfaction among IPOA members on the orga- nization, storage and retrieval of IPOA's official records		Semi-an- nually	Research Officer	Survey		60%	65%	70%	70%

SECURITY SERVICES

Specific objective: Timely and quality secu- rity provid- ed for all Authority's resources	Level of preparedness to respond to security incidents		Quarterly	Head Security services	Assess- ment report		80%	90%	95%	95%
	Level of security Policy imple- mented		Quarterly	Head Security services	Internal data capturing tools			70%	75%	80%
	Level of security manual implemented		Quarterly	Head Security services	Internal data capturing tools			70%	75%	80%
	Number of security policies developed and reviewed		Quarterly	Head Security services	Internal data capturing tools		1	1	1	1

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of Security manuals developed and reviewed		Quarterly	Head Security services	Internal data capturing tools			1	1	1
	Number of Security risk assessments conducted		Quarterly	Head Security services			4	8	12	16
	Percent of authorized staff issued with access instruments		Quarterly	Head Security services	Internal data capturing tools		100%	100%	100%	100%
	Number of access instruments issued to authorized staff		Quarterly	Head Security services	Internal data capturing tools		3	3	3	3
	Number of guards deployed and manning the premises		Quarterly	Head Security services	Internal data capturing tools		5	5	5	5
	Number of offices furnished with functional panic buttons installed		Quarterly	Head Security services	Internal data capturing tools			6	6	6
	Restricted resources map produced and updated		Quarterly	Head Security services	Internal data capturing tools		1	1	1	1
	Resource tracking system developed and operationalized		Quarterly	Head Security services	Internal data capturing tools		1	1	1	1
	Number of Security brief sessions conducted		Quarterly	Head Security services	Internal data capturing tools		5	35	65	95

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Performance reports compiled (gender sensitive) and submitted to the CEO		Quarterly	Head Security services	Internal data capturing tools			12	24	36
	Number of Security services departmental performance report		Quarterly	Head Security services	Internal data capturing tools		1	5	9	13
	Quarterly risk reports Submitted		Quarterly	HOD Monitoring and Inspection			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Head Security services	Internal data capturing tools			100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	HOD Monitoring and Inspection				60%	70%	80%

PROCUREMENT SERVICES

Specific objective: Time and quality supply chain management service provided	Percent of supply contracts completed within timelines and specifications (timeline after signing of contract)	Number of supply contracts to be completed; Number of supply contracts completed within timelines and specifications	Quarterly	Head of Procurement	Internal data capturing tools		100%	100%	100%	100%
	Level of value for money on procurements	Percent of sampled procurements acquired within allowable variance of the market price	Annually	Head of Procurement			100%	100%	100%	100%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Percent of supply contracts signed within the set time- lines	Number of supply contracts to be signed; Number of supply contracts signed within the set timelines	Quarterly	Head of Procure- ment	Internal data cap- turing tools		100%	100%	100%	100%
	Number of supply contracts completed		Quarterly	Head of Procure- ment	Internal data cap- turing tools					
	Level of assets as approved for disposal within timelines	Number of assets identified for dispos- al; Number of assets disposed within timelines	Quarterly	Head of Procure- ment	Internal data cap- turing tools		95%	95%	95%	95%
	Level of adherence to the procurement manual		Quarterly	Head of Procure- ment	Internal data cap- turing tools		100%	100%	100%	100%
	Percent of invoices supported sufficiently for payment	Number of invoices received; Number of invoices supported	Quarterly	Head of Procure- ment	Internal data cap- turing tools		100%	100%	100%	100%
	Number of governance Committees established and functional		Quarterly	Head of Procure- ment	Internal data cap- turing tools	4	4	4	4	4
	level of functionality of Procurement governance committees		Quarterly	Head of Procure- ment	Internal data cap- turing tools		100%	100%	100%	100%
	Percent of implementation on Procurement plans		Quarterly	Head of Procure- ment	Internal data cap- turing tools		80%	85%	90%	95%
	Proportion of tagged fixed assets	Number of acquired fixed assets; Num- ber of tagged fixed assets	Quarterly	Head of Procure- ment	Internal data cap- turing tools		100%	100%	100%	100%
	Extent of disposal of the recommended assets	Number of assets recommended for disposal; Number actually disposed								
	Procurement plans devel- oped		Quarterly	Head of Procure- ment	Internal data cap- turing tools		1	2	3	4
	Number of invoices support- ed sufficiently for payments		Quarterly	Head of Procure- ment	Internal data cap- turing tools					

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of procurement manuals developed		Quarterly	Head of Procurement	Internal data capturing tools					
	Number of procurement reports submitted to PPOA		Quarterly	Head of Procurement	Internal data capturing tools					
	Number of quarterly market surveys conducted		Quarterly	Head of Procurement	Internal data capturing tools		4	8	12	16
	Number of Pre-qualifications of service providers and suppliers		Quarterly	Head of Procurement	Internal data capturing tools		1		2	
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Head of Procurement	Internal data capturing tools	1	5	9	13	17
	Quarterly risk reports Submitted		Quarterly	HOD Monitoring and Inspection			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Head of Procurement	Internal data capturing tools		100%	100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	HOD Monitoring and Inspection				60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
FINANCIAL MANAGEMENT										
Specific objective: Prudent and timely finan- cial support services provided to authority's operations	Timeliness in issuance of imprest to staff		Quarterly	Chief Ac- countant	Internal data cap- turing tools		100%	100%	100%	100%
	Timeliness in surrender of imprest by staff		Quarterly	Chief Ac- countant	Internal data cap- turing tools		100%	100%	100%	100%
	Level of functionality of the Financial Management System		Quarterly	Chief Ac- countant	Internal data cap- turing tools		80%	90%	95%	95%
	Number of signed cash count certificates		Quarterly	Chief Ac- countant	Internal data cap- turing tools	6	12	15	18	20
	Number of quarterly expendi- ture returns		Quarterly	Chief Ac- countant	Internal data cap- turing tools	4	8	12	16	20
	Number of signed Bank Rec- onciliation Statements		Quarterly	Chief Ac- countant	Internal data cap- turing tools	12	24	36	48	60
	Number of Programme based budgets approved in time by the Authority		Quarterly	Chief Ac- countant	Internal data cap- turing tools	1	2	3	4	5
	Adhoc supplementary programme based budgets approved in time by the Authority		Quarterly	Chief Ac- countant	Internal data cap- turing tools	1	2	3	4	5
	Financial management system developed		Quarterly	Chief Ac- countant	Internal data cap- turing tools		1	1	1	1
	Number of unaudited finan- cial reports compiled and approved by the Board		Quarterly	Chief Ac- countant	Internal data cap- turing tools	1	2	3	4	5

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of fixed asset register reports developed, maintained and produced annually		Quarterly	Chief Accountant	Internal data capturing tools	1	2	3	4	5
	Number of grant making proposals developed and submitted to donors		Quarterly	Chief Accountant	Internal data capturing tools		1	2	3	4
	Number of financial management manual developed and reviewed						1	1	1	1
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Chief Finance Officer	Internal data capturing tools	1	5	9	13	17
	Quarterly risk reports Submitted		Quarterly	Finance Officer			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	Chief Accountant	Internal data capturing tools		100%	100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	Finance Officer				60%	70%	80%

ICT SERVICES

Specific objective: Enhanced ICT capacity and long term sustainable of all Authority's systems and related infrastructure	Number of ICT based innovations		Quarterly	Head ICT	Internal data capturing tools					
	Number of operational functions automated		Quarterly	Head ICT	Internal data capturing tools	1	5	15	15	15

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Percent of staff with access to functional computers		Quarterly	Head ICT	Internal data capturing tools	100	100	100	100	100
	Percent of staff access to telecommunication facilitated by the Authority		Quarterly	Head ICT	Internal data capturing tools	100	100	100	100	100
	Percent of staff with access to internet		Quarterly	Head ICT	Internal data capturing tools	100	100	100	100	100
	Percent of staff with access to corporate email services		Quarterly	Head ICT	Internal data capturing tools	100	100	100	100	100
	Data continuity and disaster recovery plan developed						1			
	Trainings conducted on data continuity and disaster recovery		Quarterly	Head ICT	Internal data capturing tools		1	2	3	4
	Disaster recovery drills conducted						1	2	3	4
	Level of techno-utilization by staff		Semi-annually	Head ICT	Assessment reports		50%	60%	70%	80%
	Number of staff orientation sessions on techno-utilization		Quarterly	Head ICT	Internal data capturing tools			4	8	12
	Percentage of implementation of audit report recommendations		Quarterly	Head ICT	Internal data capturing tools		100%	100%	100%	100%
	Performance reports compiled (gender sensitive) and submitted		Quarterly	Head ICT	Internal data capturing tools	1	5	9	13	17
	Quarterly risk reports Submitted		Quarterly	Head ICT			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	Head ICT				60%	70%	80%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
ADMINISTRATIVE SERVICES										
Specific ob- jective: Time- ly and quality Administra- tive support services pro- vided to the Authority's operations	Percent of offices and open plan spaces cleaned within time	Number of offices and open plan spaces to be cleaned; Number of offices cleaned by 8am	Quarterly	AO	Internal data capturing tools			100%	100%	100%
	Percent of transport requests met on time	Number of transport requests made; Number of transport requests met within time	Quarterly	AO	Internal data capturing tools			70%	75%	80%
	Proportion of staff allocated office space	Number of staff to be allocated office space; Number of staff allocated office space	Quarterly	AO	Internal data capturing tools		100%	100%	100%	100%
	Level of operationalizing the Transport policy		Quarterly	AO	Internal data capturing tools			80%	100%	100%
	Functionality of the fleet management system		Quarterly	AO	Internal data capturing tools			100%	100%	100%
	Number of monthly fuel consumption reports compiled and produced		Quarterly	AO	Internal data capturing tools		12	24	36	48
	Number of days tea is prepared and served to the staff and board members within time		Quarterly	AO	Internal data capturing tools		131	394	657	920
	Number of scheduled vehicle services made within time in line with the mileage status		Quarterly	AO	Internal data capturing tools					
	Transport policy developed		Quarterly	AO	Internal data capturing tools			1	1	1

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Fleet management system developed		Quarterly	AO	Internal data capturing tools		1	1	1	1
	Number of offices cleaned on time		Quarterly	AO	Internal data capturing tools					
	Number of Training plans developed		Quarterly	AO	Internal data capturing tools			1	2	3
	Performance reports compiled (gender sensitive) and submitted		Quarterly	AO	Internal data capturing tools		1	5	9	13
	Quarterly risk reports Submitted		Quarterly	AO			4	8	12	16
	Percentage of implementation of audit report recommendations		Quarterly	AO	Internal data capturing tools			100%	100%	100%
	Level of implementation of risk report recommendations		Quarterly	AO				60%	70%	80%

RECORDS MANAGEMENT										
Objective: Effective and efficient organization, storage and retrieval of	Timeliness in retrieval of IPOA's official records	Number of files retrieved; Number retrieved within defined time	Semi-annually	Records management Officer	Internal Data capturing tools		60%	65%	70%	80%
	A Registry Classification of records Set up	System	Quarterly	Records management Officer	Internal Data capturing tools		1	1	1	1
	Classified records indexed	Number of records for indexing; Number of records indexed	Quarterly	Records management Officer	Internal Data capturing tools		65%	75%	100%	100%

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Letters filed within defined time						95%	100%	100%	100%
	Procedure policy and manual developed	Number of manual	Quarterly	Records management Officer	Internal data capturing tools		1	1	1	1
	Staff trained on procedure manuals	Percent of staff	Annually	Records management Officer	Internal data capturing tools			100%	100%	100%
	Closed files archived	Total number of closed files; Number of files archived	Quarterly	Records management Officer	Internal data capturing tools			75%	100%	100%
	Finding Aids/tools developed	Set of tools	Quarterly	Records management Officer	Internal data capturing tools			1	1	1
	Records retrieval system computerized	System	Quarterly	Records management Officer	Internal data capturing tools			1	1	1
	Offices furnished with adequate filing facilities	Number of offices earmarked for filing facilities	Quarterly	Records management Officer	Internal data capturing tools			100%	100%	100%
	Extent to which the Resource centre is established	Percent of establishment	Quarterly	Records management Officer	Internal data capturing tools		-	50%	60%	100%
	Quarterly risk reports Submitted		Quarterly	Records management Officer			4	8	12	16

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Level of implementation of risk report recommendations		Quarterly	Records management Officer				60%	70%	80%
	Percentage of implementation of audit report recommendations		Quarterly	Planning Officer	Internal data capturing tools		100%	100%	100%	100%
	Number of performance reports prepared and submitted (gender sensitive)		Quarterly	Planning Officer	Internal data capturing tools	1	5	9	13	17

PLANNING

Specific objective: Systematic planning and execution towards achievement of Authority's operations	Level of Planning guide operationalized		Quarterly	Planning Officer	Internal data capturing tools		70%	80%	95%	95%
	Strategic plan developed					1	1	1	1	1
	Policy database developed and updated		Quarterly	Planning Officer	Internal data capturing tools	1	1	1	1	1
	Planning guide developed		Quarterly	Planning Officer	Internal data capturing tools	1	1	1	1	1
	Planning workshop and meetings' reports and minutes compiled & circulated		Quarterly	Planning Officer	Internal data capturing tools					
	AWPBs consolidated and approved by the Board		Annually	Planning Officer	Internal data capturing tools	1	2	3	4	5

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Quarterly risk reports Sub- mitted		Quarterly	Records manage- ment Officer			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	Records manage- ment Officer				60%	70%	80%
	Percentage of implementa- tion of audit report recom- mendations		Quarterly	Planning Officer	Internal data captur- ing tools		100%	100%	100%	100%
	Performance reports com- piled (gender sensitive) and submitted		Quarterly	Planning Officer	Internal data captur- ing tools	1	5	9	13	17

MONITORING AND EVALUATION

Specific objective: Accurate and timely performance information produced for decision making	Functionality of the monitor- ing and evaluation system		Quarterly	PM&EO	Internal data cap- turing tools		95%	98%	98%	98%
	Timeliness in the Preparation of corporate performance reports		Quarterly	PM&EO	Internal data cap- turing tools		100%	100%	100%	100%
	Number of corporate per- formance reports prepared within the timelines		Quarterly	PM&EO	Internal data cap- turing tools	1	5	9	13	17

Objectives	Indicators	Data required	Frequen- cy	Respon- sible	Method/ tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Number of quarterly performance review meetings conducted		Quarterly	PM&EO	Internal data capturing tools	1	5	9	13	17
	M&E system established		Quarterly	PM&EO	Internal data capturing tools	1	1	1	1	1
	PMF manual developed and updated		Quarterly	PM&EO	Internal data capturing tools	1	1	1	1	1
	Number of sessions with Directorates defining information needs and performance indicators		Quarterly	PM&EO	Internal data capturing tools	8				
	Number of external evaluations conducted			PM&EO					1	1
	Number of mid-term review workshops on IPOA's Strategic Plan		Quarterly	PM&EO	Internal data capturing tools			1	1	1
	Number of Mid-term review workshops on IPOA's Results Framework targets and tools		Quarterly	PM&EO	Internal data capturing tools			1	1	1
	Number of review workshops conducted (Board and Management)		Quarterly	PM&EO	Internal data capturing tools		1	3	5	7
	Number of review workshops conducted (IPOA and other stakeholders)		Quarterly	PM&EO	Internal data capturing tools		1	2	3	4

Objectives	Indicators	Data required	Frequency	Responsible	Method/tools	Cumulative Targets				
						2013/14	2014/15	2015/16	2016/17	2017/18
	Percentage of implementation of audit report recommendations		Quarterly	PM&EO	Internal data capturing tools		100%	100%	100%	100%
	Quarterly risk reports Submitted		Quarterly	PM&EO			4	8	12	16
	Level of implementation of risk report recommendations		Quarterly	PM&EO				60%	70%	80%

Appendix V: Annual performance evaluation tool

IPOA will annually produce performance evaluation report answering questions such as “Are we getting results?”; “Are our strategies working?”; “Are we measuring the right things?”; “Has our environment changed?” and “Are we prioritising resources properly?”. The report will include visual element such as a traffic light reporting system to focus attention on critical and urgent areas where performance is at greatest risk. Scoreboard will be accompanied by graphic illustration of results and a traffic light system to denote whether plans are on track (green), need attention (amber) or are at high risk of failure and need urgent attention (red).

Outcome/ Strategy	Lagging Indicator	Leading Indicator	Target/Achieved Yr 1	Target/ Achieved Yr 2	Target/ Achieved Yr 3	Target/ Achieved Yr 4	Progress status (green amber, red)	Comment

Appendix V: Annual performance evaluation tool

IPOA will annually produce performance evaluation report answering questions such as “Are we getting results?”; “Are our strategies working?”; “Are we measuring the right things?”; “Has our environment changed?” and “Are we prioritising resources properly?”. The report will include visual element such as a traffic light reporting system to focus attention on critical and urgent areas where performance is at greatest risk. Scoreboard will be accompanied by graphic illustration of results and a traffic light system to denote whether plans are on track (green), need attention (amber) or are at high risk of failure and need urgent attention (red).

Outcome/ Strategy	Lagging Indicator	Leading Indicator	Target/Achieved Yr 1	Target/ Achieved Yr 2	Target/ Achieved Yr 3	Target/ Achieved Yr 4	Progress status (green amber, red)	Comment

Appendix VI: Common Errors in Performance Appraisal

The Halo Effect

Letting a positive area prevent you from providing constructive feedback in another area.

Recency Effect

Considering only recent performance and not considering the entire appraisal period. Take informal notes about employees (both good and bad things) throughout the year to ensure your evaluation is based on the entire appraisal period - not just what happened last week.

Not Knowing Employees

Not knowing employees and not being able to provide credible feedback.

Unforgettable Event

A significant mistake or contribution lingers and skews overall judgment of an employee.

Leniency

It is difficult for most managers to give employees poor ratings. Avoiding the issues and showing a lack of managerial courage.

Similar-to-me

Giving a more favourable rating to someone perceived as being similar to him or herself.

Central Tendency

Rating all employees as average. Managers that are unclear about their expectations may rate everyone the same or they may be unable to differentiate between levels of performance.

Postponing or Skipping the Appraisal or Allowing for Interruptions

Delays create the wrong impression. Employees begin to perceive that neither they nor the appraisals are important.

Poor Preparation

Unplanned meetings rarely produce effective results. It quickly becomes apparent that the appraiser is not well prepared. The employee may assume the manager does not know what is going on or that she simply doesn't care enough to prepare.

Using the Evaluation as Corrective Action

The appraisal meeting should not be a disciplinary session. Inappropriate behaviour must be dealt with when first observed. Discipline and discussion of performance/goals don't work well together. Corrective action should have been addressed earlier. The evaluation is a time to

discuss strengths and weaknesses, perhaps assessing how an employee has done in correcting past behaviour. However, it isn't the place to raise new disciplinary actions.

Overemphasizing Good Performance

Praise and positive reinforcement are terrific. However, compliments quickly become meaningless if they aren't specific and substantive. They can also give an employee the false impression that you are completely pleased with everything he does. Be honest and direct.

Not Following Through

Most of the time and effort spent in planning for and conducting an effective interview is lost if you don't follow through with the actions/plans discussed in the evaluation. Performance management should be a daily (not annual) activity.

Avoiding the Tough Issues

Employee problems rarely correct themselves. Nearly everyone is uncomfortable raising sensitive issues or criticizing others. However, unless the tough issues are addressed they inevitably get worse, the manager loses credibility, and the employee may not ever know there is a problem.

Evaluating Attitude

While we all are forced to deal with employees' attitudes (whatever that means!), attitudes are basically impossible to evaluate and even harder to change. Focus on results and objective, observable actions. They're easier to complete and much more readily justified.

Accepting Excuses

There may be legitimate reasons why an employee has been unable to complete assigned goals. However, don't immediately accept excuses for poor performance. Often they're simply not valid. If they are appropriate then a solution and action plan should be developed to avoid such problems in the future.

Ignoring Employee Feedback

Asking employees for input only to ignore their comments can be very damaging. It makes evaluation meetings much less effective, and communicates to employees that while their ideas may be asked for they're not listened to or acted upon.

Surprise Employees

The performance appraisal should not be the time for employees to hear bad news or harsh judgments that have not been previously addressed.

Appendix VII: Performance Appraisal Form



INDEPENDENT POLICING OVERSIGHT AUTHORITY (IPOA)

STAFF PERFORMANCE APPRAISAL FORM

APPRAISAL PERIOD UNDER REVIEW : FROM-----TO-----

SECTION I: PERSONAL DETAILS

Name (Employee):		Department/Unit	
Position:		Name of Supervisor	
Staff PF.No.		Supervisor's Title:	

SECTION II: JOB PERFORMANCE (Based on Employees' Annual Targets)

Performance Indicator ¹⁷	Agreed Performance Targets	Results Achieved	Percent (%)	Self-Rating Achieved ¹⁸ (1-5)	Agreed Rating (1-5)
1					
2					
3					
4					
5					
6					
Total Job Performance Grading					
Average Job Performance Grading					

4 5

¹⁷ The performance indicators are informed by the departmental core activities and not limited to the numbering in this matrix.

¹⁸ **Job Performance Rating Scale:** 5- Excellent Performance (95-100%), 4- Very Good Performance (80-94%), 3- Good Performance (60-79%), 2-Average performance (50-59%), 1- Below average performance (Below 50%)

SECTION III (a)-COMPETENCIES FOR EMPLOYEES WITHOUT SUPERVISORY RESPONSIBILITY¹⁹

Assessment in terms of competencies required to do this job:		Self-Rating Achieved (1-5)	Agreed Rating Achieved (1-5)	Agreed Converted Rating (A-E)
Quality				
Teamwork				
Time Management/ Punctuality				
Respect for Others				
Service to IPOA				
Self-Development				
Total Competencies				
Average Competencies Grading:				

¹⁹ Competencies scores for section iii (a) will be converted as follows: Exceptional Competencies is 5 equivalent to A, Excellent Competencies is 4 equivalent to B, Very Good Competencies is 3 equivalent to C, Average Competencies 2 equivalent to D and Unsatisfactory/Poor Competencies 1 equivalent to E

OVERALL GRADING FOR EMPLOYEES WITHOUT SUPERVISORY RESPONSIBILITY

OVERALL GRADING²⁰

SECTION III-B-COMPETENCIES FOR EMPLOYEES WITH SUPERVISORY RESPONSIBILITY²¹ 7 8

Assessment in terms of competencies required to do this job:	Self-Rating Achieved (1-5)	Agreed Rating Achieved (1-5)	Agreed Converted Rating (A-E)
Quality			
Teamwork			
Time Management/ Punctuality			
Respect for Others			
Service to IPOA			
Self-Development			
Planning & Organizing			
Managing Performance			
Resource Use			
Leadership			

²⁰ This will entail a combination of job performance and competencies grading i.e. if a staff scores 3 on job performance and a C on competencies, the overall grading becomes 3C

²¹ Competencies scores for section iii (a) will be converted as follows: Exceptional Competencies is 5 equivalent to A, Excellent Competencies is 4 equivalent to B, Very Good Competencies is 3 equivalent to C, Average Competencies 2 equivalent to D and Unsatisfactory/Poor Competencies 1 equivalent to E

Assessment in terms of competencies required to do this job:	Self-Rating Achieved (1-5)	Agreed Rating Achieved (1-5)	Agreed Converted Rating (A-E)
Total Competencies Grading			
Average Competencies Grading			

OVERALL GRADING FOR EMPLOYEES WITH SUPERVISORY RESPONSIBILITY

OVERALL GRADING ²²	
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SECTION IV: STAFF TRAINING & DEVELOPMENT PLAN ⁹

Appraisee's training & devt needs (to be filled by the appraisee as agreed with the supervisor at the beginning of the period)	Duration of training including on the job training	Comments on staff training and development undertaken over the appraisal period (To be completed at the end of the period)	
		Comments by Appraisee	Comments by Supervisor

²² This will entail a combination of job performance and competencies grading i.e. if a staff scores 3 on job performance and a C on competencies, the overall grading becomes 3C

OVERALL APPRAISAL

Overall appraisal by the Immediate Supervisor: (Comment on the Appraisee's overall performance and any other strengths, skills or qualities which he/she has)

Immediate Supervisor's Name.....Signature.....Date.....

Appraisee's comments on appraisal by Immediate Supervisor²³

1. Did performance related discussions take place during the reporting period with your supervisor? YES NO
2. General Comments (if any) , on your overall performance

Appraisee's Signature.....Date.....

10

23 Once the appraisee makes the comments, the form is returned to the immediate supervisor for onward submission to the second Supervisor

Comments by the Second Supervisor

Comments on the consistency and reasonableness of the comments given by the immediate supervisor and any significant statements made by the Appraisee.

Second Supervisor's Name.....Designation.....

Signature.....Date.....

Comments by the Director (where applicable)

Remarks:

Director's Name.....Designation.....

Signature.....Date.....

CEO/SECRETARY APPROVAL

Signed:.....

Date.....

APPENDIX VIII: GUIDELINES ON COMPETENCIES GRADING FOR EMPLOYEES

Factor	Score				
	5	4	3	2	1
Quality	Always meets or exceeds all IPOA's quality standards; exceptionally consistent in striving for efficient, effective, high quality performance in self and the unit; always delivers timely and accurate results; always delivering high quality even in unplanned and/ or crisis situations; champion for quality improvements within unit and organization always values the importance of delivering high quality, innovative service to internal and external clients.	Meets all IPOA's quality standards; consistent in striving to meet efficient, effective and high quality performance for self and the unit; over 90% of results delivered on time; over 90% of results are accurate; takes initiatives to improve quality for self and the unit; values the importance of delivering high quality, innovative service to internal and external clients.	Meet 90% of IPOA's quality standards; strives to meet effective efficient and high quality performance for self; over 90% of results are accurate and delivered on time; most of the time delivers quality in unplanned or crisis situations; takes initiatives to improve quality for self; most of the time values the importance of delivering high quality, innovative service to internal and external clients;	Meets over 80% of IPOA's quality standards; tries to meet effective, efficient and quality performance for self; over 80% of results are accurate and delivered on time; some of the time delivers quality in unplanned or crisis situations; seldom takes initiative to improve quality for self; does not always value the importance of delivering high quality, innovative service to internal and external clients.	Meets less than 80% of IPOA's quality standards; seldom tries to meet effective, efficient and quality performance for self; less than 80% of results are delivered on time and are accurate; seldom delivers quality in unplanned or crisis situations; does not take initiative to improve quality for self; does not value the importance of delivering high quality, innovative service to internal and external clients;
Team-work	Exceptional cooperation and collaboration with internal and external partners; always promotes team spirit; excellent team building skills such as inspiring trust, communication, conflict resolution and prevention; excellent professional relationships with supervisors, peers and other employees; highly respected by all for professionalism, fairness and demanding excellence; always fosters a sense of belonging	Very good cooperation and collaboration with internal and external partners; persistently promotes team spirit; very good team building skills such as inspiring trust, communication, conflict resolution and prevention; very good professional relationships with supervisors, peers and other employees; respected by all for professionalism, fairness and demanding excellence; consistently fosters a sense of belonging	Good cooperation and collaboration with internal and external partners; most of the time promotes team spirit; adequate team building skills such as trust, communication, conflict resolution and prevention; good professional relationships with supervisors, peers and other employees; respected by all for professionalism, fairness and demanding excellence; fosters a sense of belonging,	Fair cooperation and collaboration with internal and external partners; occasionally promotes team spirit; average team building skills such as trust, communication, conflict resolution and prevention; professional relationships with supervisors, peers and other employees can be sometimes turbulent; respected by most for professionalism, fairness and demanding excellence.	Inadequate cooperation and collaboration with internal and external partners; does not promote team spirit; inadequate team building skills such as trust, communication, conflict resolution and prevention; unsatisfactory professional relationships with supervisors, peers and other employees; not always respected for professionalism, fairness and demanding excellence.

Factor	Score				
	5	4	3	2	1
Time Management/ Punctuality	Exceptional in managing time; fully understands the difference between important and urgent tasks; excellent in delegating; always on time; always encourages co-workers and other employees to identify time wasters and improve their time management; exceptionally organized.	Very good in managing time; understands the difference between important and urgent tasks; very good in delegating; always on time and if occasionally late has good reasons; encourages co-workers and other employees to identify time wasters and improve their time management; very organized.	Good in managing time; most of the time understands the difference between important and urgent tasks; good in delegating; occasionally late but with reasons; encourages co-workers and other employees to identify time wasters and improve their time management; well organized.	Sometimes not so good in managing time; does not always understand the difference between important and urgent tasks; excellent in delegating; often late sometimes no good reasons; does not encourage co-workers and other employees to identify time wasters and improve their time management; not always organized	Bad in managing time; does not understand the difference between important and urgent tasks; not good in delegating; very often late; does not try to improve time management practices; disorganized.
Respect for Others	Always shows respect for people and their differences; exceptional in promoting fairness and equity; exceptional in recognizing the talents, experiences, and capabilities of others; exceptional in understanding the perspectives of others; always creates opportunities for access and success; always fully understands the needs of internal and external clients; excellent listening skills; excellent in clearly and effectively sharing information.	Shows respect for people and their differences; very good in promoting fairness and equity; very good in recognizing the talents, experiences, and capabilities of others; very good in understanding the perspectives of others; creates opportunities for access and success; understands the needs of internal and external clients; very good listening skills; very good at sharing information clearly and effectively. .	Most of the time shows respect for people and their differences; good in promoting fairness and equity; good in recognizing the talents, experiences, and capabilities of others; good in understanding the perspectives of others; sometimes creates opportunities for access and success; most of the time understands the needs of internal and external clients; good listening skills; good at sharing information clearly and effectively.	Does not always show respect for people and their differences; not always good in promoting fairness and equity; not always good in recognizing the talents, experiences, and capabilities of others; not always good in understanding the perspectives of others; does not always create opportunities for access and success; always fully understands the needs of internal and external clients; not always; very good at sharing information clearly and effectively.	Does not show adequate respect for people and their differences; not good in promoting fairness and equity; not good in recognizing the talents, experiences, and capabilities of others; not good in understanding the perspectives of others; does not create opportunities for access and success; does not fully understands the needs of internal and external clients.
Service to IPOA	Exceptional in accepting responsibility for own work; exceptional in developing trust and credibility; always demonstrates exceptionally honest and ethical behaviour; always demonstrates exceptional integrity, accountability and efficient stewardship of IPOA's resources in a manner consistent with IPOA's policies and standards; exceptional at promoting IPOA's image.	Very good in accepting responsibility for own work; very good in developing trust and credibility; always demonstrates honest and ethical behaviour; always demonstrates integrity, accountability and efficient stewardship of IPOA's resources in a manner consistent with IPOA's policies and standards; promotes IPOA's image.	Good in accepting responsibility for own work; good in developing trust and credibility; demonstrates honest and ethical behaviour; demonstrates integrity, accountability and efficient stewardship of IPOA's resources in a manner consistent with IPOA's policies and standards; promotes IPOA's image.	Most of the time accepts responsibility for own work; not always good in developing trust and credibility; does not always demonstrate honest and ethical behaviour; does not always demonstrate integrity, accountability and efficient stewardship of IPOA's resources in a manner consistent with IPOA's policies and standards; ; does not always promotes IPOA's image.	Not good in accepting responsibility for own work; not good in developing trust and credibility; does not demonstrate honest and ethical behaviour; does not demonstrate integrity, accountability and efficient stewardship of IPOA's resources in a manner consistent with IPOA's policies and standards; does not promote IPOA's image.

Factor	Score				
	5	4	3	2	1
Self-development	Exceptional at striving for learning and self-development; always on top of his/ her profession; exceptional understanding of new developments and trends; exceptional at finding opportunities for learning; champion for self-development in the team/ working unit.	Very good at striving for learning and self-development; on top of his/ her profession; very good understanding of new developments and trends; very good at finding opportunities for learning; very good in promoting self-development in the team/ working unit.	Good at striving for learning and self-development; mostly on top of his/ her profession; good at understanding of new developments and trends; good at finding opportunities for learning; good at promoting self-development in the team/ working unit.	Not always striving for learning and self-development; not always on top of his/ her profession; not always good at understanding of new developments and trends; not always good at finding opportunities for learning; not always good in promoting self-development in the team/ working unit.	Not good at striving for learning and self-development; not on top of his/ her profession; not good at understanding of new developments and trends; not exceptional at finding opportunities for learning; not good at promoting self-development in the team/ working unit.
Planning and Organizing	Excellent at problem/ challenges identification, involving others in seeking innovative solutions, conducting appropriate analyses, searching for best solutions; responding quickly to new challenges. Always develops clear, consistent, transparent and timely plans; always acts with integrity in all decision making; distinguishes relevant from irrelevant information and makes timely decisions; always ensures that resources are available for plan implementation.	Very good at problem/ challenges identification, involving others in seeking innovative solutions, conducting appropriate analyses, searching for best solutions; responding quickly to new challenges. Develops clear, consistent, transparent and timely plans; acts with integrity in all decision making; distinguishes relevant from irrelevant information; ensures that resources are available for plan implementation.	Good at problem/ challenges identification, involving others in seeking innovative solutions, conducting appropriate analyses, searching for best solutions; responding quickly to new challenges. Most of the time develops clear, consistent, transparent and timely plans; most of the time acts with integrity in all decision making; distinguishes relevant from irrelevant information; most of the time ensures that resources are available for plan implementation.	Good at problem/ challenges identification, involving others in seeking innovative solutions, conducting appropriate analyses, searching for best solutions; responding quickly to new challenges. Does not always develop clear, consistent, transparent and timely plans; does not always act with integrity in all decision making; does not distinguish relevant from irrelevant information and does not make timely decisions; does not always ensure that resources are available for plan implementation.	Not good at problem/ challenges identification, involving others in seeking innovative solutions, conducting appropriate analyses, searching for best solutions; not responding quickly to new challenges. Does not develop clear, consistent, transparent and timely plans; does not always act with integrity in all decision making; does not distinguish relevant from irrelevant information; does not generally ensure that resources are available for plan implementation.

Factor	Score				
	5	4	3	2	1
Managing Performance	<p>Exceptional at managing performance of unit, team, self and others; always clear in developing and monitoring results; exceptional in championing IPOA's PMS.</p> <p>Always understands big picture and aligns priorities with IPOA's vision, mission and outcomes, uses feedback to change as needed, evaluates alternatives, solutions oriented, seeks alternatives and broad input; can see connections within complex issues.</p>	<p>Very good at managing the performance of unit, self and others; clear in developing and monitoring results; active participant in management of IPOA's PMS. Mostly aligns priorities with IPOA's vision, mission and outcomes, uses feedback to change as needed, evaluates alternatives, solutions oriented, seeks alternatives and broad input; can see connections within complex issues.</p>	<p>Very good at managing the performance of unit, self and others; clear in developing and monitoring results; active participant in management of IPOA's PMS. Often aligns priorities with IPOA's vision, mission and outcomes, uses feedback to change as needed, evaluates alternatives, solutions oriented, seeks alternatives and broad input; can see connections within complex issues.</p>	<p>Very good at managing the performance of unit, self and others; clear in developing and monitoring results; active participant in management of IPOA's PMS. Does not always align priorities with IPOA's vision, mission and outcomes, uses feedback to change as needed, evaluates alternatives, solutions oriented, seeks alternatives and broad input; can see connections within complex issues.</p>	<p>Very good at managing the performance of unit, self and others; clear in developing and monitoring results; active participant in management of IPOA's PMS. Does not align priorities with IPOA's vision, mission and outcomes, uses feedback to change as needed, evaluates alternatives, solutions oriented, seeks alternatives and broad input; can see connections within complex issues.</p>
Resource Mobilization and Utilization	<p>Excellent in mobilization of resources for the Unit and IPOA; always on the lookout for opportunities for additional resources; champion in IPOA and team in demanding value for money</p>	<p>Very good in mobilization of resources for the Unit and IPOA; high awareness on the need for additional resources and delivering value for money; always gets value for money.</p>	<p>Good in mobilization of resources for the Unit and IPOA; often on the lookout for opportunities for additional resources; good in demanding value for money</p>	<p>Not always good in mobilization of resources for the Unit and IPOA; does not always look out for opportunities for additional resources; not always good in demanding value for money</p>	<p>Does not participate in mobilization of resources for the Unit and IPOA; does not look out for opportunities for additional resources; not good in demanding value for money</p>
Leadership	<p>Always provides exceptional leadership; always leads by example; exceptional in inspiring employees; exceptional in developing leadership skills for team/ unit; fully participative leadership; transformative leader</p>	<p>Always provides very good leadership; leads by example; exceptional in inspiring employees; very good in developing leadership skills for team/ unit; mostly uses participation and consultation with some use of authority; service oriented leadership.</p>	<p>Always provides good leadership; leads mostly by example; good in inspiring employees; good in developing leadership skills for team/ unit; mostly consultative leadership style.</p>	<p>Does not always provides leadership; does not always lead by example; not always good in inspiring employees; not always good in developing leadership skills for team/ unit; can be authoritarian.</p>	<p>Does not provide leadership; does not lead by example; not good in inspiring employees; not good in developing leadership skills for team/ unit; traditional authoritarian leader</p>

Appendix IX: Board Assessment form

Behaviours	1	2	3	4	5	Comments
Setting strategy All Board members support and debate the organisation's strategy and values, enabling them to set the tone from the top.						
Strategy All Board members have a clear understanding of the organisation's core business, its strategic direction and the financial and human resources necessary to meet its objectives.						
Board performance The Board sets itself objectives and measures its performance against them on an annual basis.						
Managing Board meetings and discussions Board meetings encourage a high quality of debate with robust and probing discussions.						
Managing internal Board relationships Board members make decisions objectively and collaboratively in the best interests of the organisation and feel collectively responsible for achieving organisational success.						
Managing the Board's relationship with others The Board communicates effectively with all of the organisation's stakeholders and seeks their feedback.						
Board members' own skills Board members recognise the role which they and each of their colleagues is expected to play and have the appropriate skills and experience for that role.						

Behaviours	1	2	3	4	5	Comments
Reaction to events The Board responds positively and constructively to events in order to enable effective decisions and implementation and to encourage transparency.						
Chair The chair's leadership style and tone promotes effective decision-making, constructive debate and ensures that the Board works as a team.						
Chairman and CEO relationship The chairman and the chief executive work well together and their different skills and experience complement each other.						
Attendance and contribution at meetings All Board members attend and actively contribute at meetings.						
Open channels of communication The Board has open channels of communication with executive management and others and is properly briefed.						
Risk and control frameworks The Board's approach to appraising risk in the organisation is open and questioning, and looks to learning points from events, rather than blame.						

Processes	1	2	3	4	5	Comments
Composition The Board is the right size and has the best mix of skills to ensure its optimum effectiveness.						
Terms of reference The terms of reference for the Board are appropriate, with clearly defined roles and responsibilities, ensuring that the right issues are being addressed.						

Processes	1	2	3	4	5	Comments
Committees of the Board The Board's committees are properly constituted, perform their delegated roles and report back clearly and fully to the Board.						
Board secretary The Board secretary acts as an appropriate conduit for the provision of information to the Board and support to the chair.						
Meetings and administration The Board meets sufficiently often, and with information of appropriate quality and detail, such that agenda items can be properly covered in the time allocated.						
Timeliness of information Information is received in sufficient time to allow for proper consideration, with scope for additional briefing if necessary.						
Agenda items The Board agenda cycle covers all matters of importance to the organisation, is prioritised and includes consideration of corporate reputation, its enhancement and the risks surrounding it.						
External stakeholders The Board has defined its external stakeholders and ensures that the organisation has the right level of contact with them.						
Risk management The Board uses an active and well-structured process to manage risk, taking account of the organisation's activities and the breadth of functions across the business.						
Induction and training Board members receive proper induction on appointment and ongoing training is available to meet development needs.						

Processes	1	2	3	4	5	Comments
Succession planning There is appropriate succession planning for key Board members and senior Executives.						
Performance evaluation Board members are individually subject to an annual performance evaluation that measures their contribution and commitment.						



Independent Policing
Oversight Authority

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