



MAASAI MARA UNIVERSITY

QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2008

HUMAN RESOURCE MANAGEMENT PROCEDURE MANUAL

MMU/HRMPM/HRM/2013

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PROCEDURE NUMBER 1: STAFF RECRUITMENT AND SELECTION

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure timely and effective recruitment and selection of required staff.

1.2 SCOPE

The procedure applies to recruitment and selection of all teaching and non-teaching staff in the University.

1.3 REFERENCES

- a) Quality Manual – MMU/QM/MR/2013.
- b) Schemes of Service
- c) Terms of Service
- d) University Strategic Plan
- e) Approved Budget
- f) Staff Establishment
- g) MMU Statutes
- h) MMU Service Delivery Charter

1.4 TERMS AND DEFINITIONS

- a) Academic staff – teaching staff
- b) Non – Academic staff – Non teaching staff
- c) VC – Vice Chancellor
- d) DVC (A&F) – Deputy Vice Chancellor (A&F)
- e) RAD – Registrar (Administration)
- f) RAA – Registrar (Academic Affairs)
- g) CA – Chief Accountant
- h) Temporary staff – Employees contracted for a period of between three (3) months to six (6) months
- i) FO – Finance Officer
- j) Casual – A person/individual whose services are engaged for a specific job for a period of not more than 28 days and who is paid on a daily basis.

1.5 PRINCIPAL RESPONSIBILITY

The DVC (A&F) shall ensure this procedure is adhered to and maintained

2.0 METHOD

2.1 Permanent/Contract staff

- 2.1.1 This procedure shall start with the HOD identifying the need for additional staff based on any of the following:-
- a) Creation of new posts
 - b) Staff Exit
 - c) Shortfall in establishment
- 2.1.2 Upon need identification, the HOD shall fill in staff requisition form and send it to the DVC (A&F) for consideration.
- 2.1.3 The DVC (A&F) shall consider and submit the request to the Staff Establishment Committee for consideration and approval.
- 2.1.4 In approving the request, the Committee shall consider the justification, current staff establishment and the current approved budget.
- 2.1.5 In the event of disapproval, the DVC (A&F) shall advise the HoD accordingly.
- 2.1.6 Upon approval by the Committee, the DVC (A&F) shall invite person specifications from the concerned HoD and place an advertisement for the vacant positions in the print media with a provision of 21 days for the applicants to respond.
- 2.1.7 The DVC (A&F) shall receive the applications and forward them to the HR Officer
- 2.1.8 Upon receipt, the HR officer shall record and compile a summary of the applicants' details as per the advertisement up to the closing date
- 2.1.9 The HR Officer shall send the summary to the HoDs / Deans who shall set up a shortlisting committee to shortlist applicants in line with the advertised requirements and produce minutes within one week.
- 2.1.10 The HoDs/ Deans shall submit the shortlisted names together with the minutes to the DVC (A&F) who shall organize interviews at least 14 days after receipt of the shortlisted names.
- 2.1.11 Shortlisted candidate shall be notified by the Registrar Administration to attend interview at least 14 days before the interview date
- 2.1.12 The DVC (A&F) shall constitute an interview panel
- 2.1.13 During the interviews, the panel shall record their findings in a score card
- 2.1.14 The Registrar Administration shall produce the minutes of the interviews for approval within one week after interviews.

2.1.15 Upon receipt of approved minutes of the interview from the Registrar Administration, the DVC (A&F) shall issue letters of offer, terms of service and other relevant documents to successful candidates within one week.

2.1.16 Upon reporting, the new staff shall be inducted as per procedure number 2 on orientation in this manual.

2.2 Temporary/casual staff

2.2.1 This procedure shall start with the HOD identifying the need for temporary/casual staff.

2.2.2 Upon need identification, the HOD shall fill in a staff requisition form and send it to the DVC (A&F) for consideration.

2.2.3 The DVC (A&F) shall consider and submit the request to Staff Establishment Committee for consideration and approval.

2.2.4 The Committee shall consider the following in approving the request:-

- a) Justification
- b) Current Approved Budget
- c) Existing database of applicants in the HR
- d) New applicants
- e) Council policy on hire of such staff

2.2.5 In the event of disapproval, the DVC (A&F) shall advise the HOD accordingly.

2.2.6 Upon approval, the DVC (A&F) shall write letters of appointment from existing data base to the temporary staff and notify the HOD and the FO.

2.2.7 For casual employees, the DVC (A&F) shall write a letter to the HOD authorizing engagement of appointed or selected casual employees for a specific period.

2.2.8 Upon reporting, the HOD shall commit the casuals for engagement using the HR Casual Engagement Form.

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Staff Requisition Form
- 3.2 Advertisement placed
- 3.3 Register of applications received
- 3.4 List of summary of applicants
- 3.5 Minutes of shortlisting committee
- 3.6 Letters of offer

- 3.7 Terms of service
- 3.8 Letters of appointment
- 3.9 Minutes of Staff Establishment Committee
- 3.10 Letters from HODs requesting the appointment of temporal staff
- 3.11 Casual Engagement Form
- 3.12 Minutes of HR committees

PROCEDURE NUMBER 2: STAFF TRAINING AND DEVELOPMENT

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure that relevant training of staff is conducted in a transparent, efficient and fair manner to enhance productivity

1.2 SCOPE

The procedure applies to all permanent staff (teaching and non-teaching)

1.3 REFERENCES

- a) Quality Manual – MMU/QM/MR/2013.
- b) Scheme of service
- c) Training policy
- d) Training budget

1.4 TERMS AND DEFINITIONS

- a) TNA – Training Need Analysis – It identifies the training gaps
- b) Workshops/seminars – Training that takes not more than one week
- c) Short course training – Training that takes not more than 6 months
- d) Development – Competency training
- e) Long course training – Any training that takes more than 6 months
- f) External training – Training offered by external sponsors or other institutions
- g) Individual training – Training initiated by individual staff and may be fully sponsored by the individual or MMU
- h) In – house training – This is training informed by Training Needs Analysis
- i) STDC – Staff Training and Development Committee
- j) Bonding – It is a legal agreement between the employee and MMU for purpose of approved study leave.

1.5 PRINCIPAL RESPONSIBILITY

The DVC (A&F) shall ensure this procedure is adhered to and maintained

2.0 METHOD

2.1 In – House Training

- 2.1.1 This procedure shall start with the Heads of Departments/Deans making a request to DVC (A&F) based on TNA

- 2.1.2 Upon receipt of the request, the DVC (A&F) shall forward the request to the Staff Training and Development Committee (STDC) for consideration in the next scheduled meeting of the Committee
- 2.1.3 Upon the receipt of the minutes of STDC, the DVC (A&F) shall communicate to the HOD
- 2.1.4 Upon receipt of DVC (A&F) communication, the HOD/Dean shall liaise with the Finance Officer (FO) and implement the training
- 2.1.5 Upon the completion of the training, the HOD/Dean shall submit a report on the effectiveness of the training to the DVC (A&F)
- 2.1.6 Upon reporting back to work, the HOD/Dean shall monitor the trained employee and evaluate him/her within a period of six months and compile a report to the DVC (A&F) on the effectiveness of training.

2.2 Individual external training

- 2.2.1 This shall start with the individual identifying relevant available external training opportunity.
- 2.2.2 Upon the individual identifying an external training opportunity, the individual shall apply to the DVC (A&F), through the HOD/Dean.
- 2.2.3 Upon receipt of the application, the DVC (A&F), shall forward the application to the STDC for determination in the next scheduled meeting.
- 2.2.4 Upon receipt of the minutes of STDC, the DVC (A&F), shall through the HOD/Dean, communicate to the nominated employee. The commutation shall be copied to the FO
- 2.2.5 While on training the employee shall submit regular progress reports from the training institution on designated MMU report form.
- 2.2.6 Upon reporting back to work, the HOD/Dean shall monitor the trained employee and evaluate him/her within a period of six months and compile a report to the DVC (A&F) on the effectiveness of training.

2.3 Institutional external training

- 2.3.1 This shall start with MMU identifying the opportunity.
- 2.3.2 The DVC (A&F), shall forward the training opportunity to HODs/Deans.
- 2.3.3 Upon receipt of the training opportunity, the HODs/Deans shall convene a meeting to nominate an employee for training.

- 2.3.4 Upon nomination, the HOD shall forward to the DVC (A&F), a list of nominated name(s) together with minutes.
- 2.3.5 Upon receipt of the name(s) and minutes, the DVC (A&F), shall communicate to the employees to participate in the training.
- 2.3.6 While on training the employee shall submit regular progress reports from the training institution on designated MMU report form.
- 2.3.7 Upon reporting back to work, the HOD/Dean shall monitor the trained employee and evaluate him/her within a period of six months and compile a report to the DVC (A&F) on the effectiveness of training.

2.4 Individual long term courses

- 2.4.1 This shall start with an individual identifying the training and making an application to the DVC (A&F), through HOD, for sponsorship/study leave.
- 2.4.2 Upon receipt of the application, the DVC (A&F), shall forward the application to the STDC for determination in the next scheduled meeting.
- 2.4.3 Upon receipt of the minutes of STDC, the DVC (A&F), shall through the HOD, communicate to the employee. The commutation shall be copied to the FO.
- 2.4.4. While on training the employee shall submit regular progress reports from the training institution on designated MMU report form.....
- 2.4.5 Upon reporting back to work, the HOD/Dean shall monitor the trained employee and evaluate him/her within a period of six months and compile a report to the DVC (A&F) on the effectiveness of training.

2.5 Institutional long term courses

- 2.5.1 This shall start with the DVC (A&F) forwarding the opportunity to HODs/Deans.
- 2.5.2 Upon receipt of the DVC (A&F)'s communication, the HOD/Dean shall convene a meeting to nominate the employee(s) to participate in the training.
- 2.5.3 Upon conducting the meeting, the HOD/Dean shall forward the list of nominated name(s) together with the minutes to the DVC (A&F).
- 2.5.4 Upon receipt of the names and minutes, the DVC (A&F) shall forward the nominees to the STDC. The STDC shall convene a meeting to nominate the employee to participate in the training.
- 2.5.5 Upon receipt of the names and the minutes, the DVC (A&F) shall communicate to the employee, through the HOD/Dean. The commutation shall be copied to the FO.

- 2.5.6 Upon the nomination of an employee for institutional long – term course, the DVC (A&F) shall ensure that the employee is bonded to the institution.
- 2.5.7 While on training the employee shall submit regular progress reports from the training institution on designated MMU report form.
- 2.5.8 Upon reporting back to work, the HOD/Dean shall monitor the trained employee and evaluate him/her within a period of six months and compile a report to the DVC (A&F) on the effectiveness of training.

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Training Needs Analysis
- 3.2 Request for training from HOD
- 3.3 Request for training from the individual
- 3.4 Minutes of the nominating committee
- 3.5 Minutes of STDC
- 3.6 Communication from and to the DVC (A&F)
- 3.7 MMU training progress reports form....

PROCEDURE NUMBER 3: PAYROLL ADMINISTRATION

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure efficient, transparent, accountable and accurate record of all transactions affecting employees in the university payroll.

1.2 SCOPE

The procedure applies to all permanent staff (teaching and non-teaching) and all contracted staff either as casual or temporary.

1.3 REFERENCES

- a) Quality Manual – MMU/QM/MR/2013.
- b) Scheme of service
- c) Terms of service
- d) Establishment
- e) MMU Quality Manual.
- f) HR Manual
- g) Annual Government Circular on Minimum Wages
- h) Statutory deductions guidelines
- i) Relevant labour laws
- j) Collective Bargaining Agreement
- k) Letters of Appointment
- l) Staff movement advice
- m) Pay change advice

1.4 TERMS AND DEFINITIONS

- a) Staff establishment- approved level of staffing in each department
- b) Scheme of service- documents that defines movement and requirement of staff within each category of staff
- c) CBA - Collective Bargaining Agreement
- d) PCA – Pay Change Advice
- e) Muster Roll- A register of the persons to be paid wages

1.5 PRINCIPAL RESPONSIBILITY

The DVC (A&F) shall ensure this procedure is adhered to and maintained

2.0 METHOD

2.1 Permanent and Contracted Temporary Staff

- 2.1.1 This procedure shall start with the HOD/Dean filling in quadruplicate staff movement advice (SMA) for a new employee and a copy sent to the Finance Officer (FO), employee and HR personal file.
- 2.1.2 Upon receipt of SMA, the HR shall allocate a PF. No. and inform the Finance Officer of the same.
- 2.1.3 Upon receipt of the PF. No., the FO shall add the name of the employee in the payroll
- 2.1.4 Upon the FO adding PF. No. of the employee in the payroll, the HR shall prepare PCA and send to the FO for implementation
- 2.1.5 Any further amendment on the payroll shall be communicated to the FO using pay change advice.
- 2.1.6 In the event of a new CBA, the HR shall advice the FO on new salaries and other allowances for implementation.

2.2 Casuals

- 2.2.1 This shall start with the preparation of a muster roll monthly by the relevant HOD/Dean. The HOD shall attach daily attendance register to the muster roll.
- 2.2.2 Upon receipt of muster roll and register, the HR shall verify and validate the muster roll, prepare pay advice for each casual, and request the FO to pay within two days.

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Letter of Authorization to hire
- 3.2 Muster Roll
- 3.3 Daily attendance register
- 3.4 Pay Advice

PROCEDURE NUMBER 4: STAFF DISCIPLINARY

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure that the disciplinary process conforms to the terms and conditions of service, labour laws, the Constitution and Collective Bargaining Agreement.

1.2 SCOPE

The procedure applies to all permanent staff (teaching and non-teaching)

1.3 REFERENCES

- a) The Constitution of Kenya
- b) Collective Bargaining Agreement
- c) Terms of Service
- d) The Public Officers Ethics Act (2003)
- e) Service Delivery Charter
- f) Quality Manual – MMU/QM/MR/2013.
- g) MMU Statutes
- h) Applicable Labour Laws

1.4 TERMS AND DEFINITIONS

- a) CBA – Collective bargaining agreement

1.5 PRINCIPAL RESPONSIBILITY

The DVC (A&F) shall ensure this procedure is adhered to and maintained

2.0 METHOD

2.1 Handling of disciplinary cases

- 2.1.1 This procedure shall start with HOD/Dean writing warning letters to members of staff working under Him/her who commit minor breaches of the terms of service and the rules and regulations. Such warning shall be copied to the relevant offices including HR.
- 2.1.2 In event of repeated minor breaches and/or major breach of the terms of services the HOD/ Deans shall write to the DVC (A&F) for necessary disciplinary action.
- 2.1.3 Upon receipt of the report, and taking into account the HR brief on the staff, the DVC (A&F) shall:

- a) Suspend the employee and copy the suspension letter copied to the relevant Union officials
 - b) Request the employee to show cause why he/she should not be disciplined within seven days.
 - c) Forward the case to the disciplinary committee within fourteen (14) days and invite the defendant and the other members of the staff disciplinary committee for hearing and determination of the case.
- 2.1.4 The disciplinary committee shall meet and determine the case within fourteen (14) days of receipt of the case from the DVC (A&F).
- 2.1.5 Based on the evidence adduced, the committee shall make a decision either to:
- a) Terminate the employment of the employee
 - b) Issue a warning letter
 - c) Pardon the employee.
 - d) Exonerate the employee
- 2.1.6 The DVC (A&F) shall communicate the decision of the committee to the employee within fourteen (14) days.
- 2.2 Handling appeals**
- 2.2.1 This procedure shall start with an employee appealing to the VC the decision of the disciplinary committee within fourteen days from the date of the letter informing him of the verdict.
- 2.2.2 Upon receipt of the appeal, the VC shall:
- a) Call for a written HR brief on the staff in question
 - b) Call for all the documents related to the case
 - c) Based on a) and b) above decide either to refer the case to Staff and Students Appeals Committee or Decline the appeal with reasons.
- 2.2.3 Upon referring the case to the Staff and Students Appeals Committee, the committee will invite the appellant to appear before it and make a final determination within fourteen (14) days of.
- 2.2.4 The VC who is secretary to council shall communicate the final decision to the appellant within fourteen days of the Appeal Committee decision.

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Report from the HOD on alleged crime

- 3.2 Suspension letter
- 3.3 Report from Chief Security Officer or a Committee appointed to investigate the same
- 3.4 Correspondence to the affected employee
- 3.5 MMU statutes
- 3.6 Terms and conditions of service
- 3.7 CBA
- 3.8 Charge sheet

PROCEDURE NUMBER 5: LEAVE ADMINISTRATION

1.0 GENERAL

1.1 PURPOSE

To ensure an orderly, timely and efficient administration of leave in accordance with the terms of service so as to avoid interruption of service delivery.

1.2 SCOPE

This procedure applies to all staff at MMU on permanent, contract and temporary terms

1.3 REFERENCES

- a) Quality Manual – MMU/QM/MR/2013.
- b) Constitution
- c) Terms of service
- d) Labour laws
- e) MMU Quality Manual

1.4 TERMS AND DEFINITIONS

- a. RAD - Registrar Administration
- b. HOD –Head of Department
- c. HR Officer- Human Resource officer

1.5 PRINCIPAL RESPONSIBILITY

The Registrar Administration shall ensure this procedure is adhered to and maintained

2.0 METHOD

- 2.1 This procedure shall start with departments preparing an annual leave schedule within two weeks of the beginning of a calendar year
- 2.2 The staff shall then complete a leave form two weeks before leave commencement
- 2.3 Within the two weeks, approvals by HOD/Deans, HR officer (confirming that the applied leave days are earned) and RAD
- 2.4 Upon the approval, the employee shall proceed for leave and in event of need of extension, the same process applies
- 2.5 Other forms of leave shall be administered as per the terms of service

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Leave schedule
- 3.2 Leave form

PROCEDURE NUMBER 6: STAFF PERFORMANCE APPRAISAL

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure effective, timely, fair and objective performance appraisal is conducted for all staff

1.2 SCOPE

The procedure applies to all teaching and non-teaching staff

1.3 REFERENCES

- a) Scheme of Service.
- b) Terms of Term Of Service
- c) Establishment
- d) Staff Appraisal Form
- e) Quality Manual – MMU/QM/MR/2013.
- f) HR Manual

1.4 TERMS AND DEFINITIONS

- a) Staff establishment- approved level of staffing in each department
- b) Scheme of service- a document that defines career progression of staff and requirement for each grade.
- c) Staff appraisal form (SAF)- a document designed for evaluation of all staff in the university
- d) 360 degree appraisal- this is an assessment by self, peer and the head of department
- e) DVC (A&F) – Deputy Vice Chancellor (Administration and Finance)
- f) DVC (AA) – Deputy Vice Chancellor (Academic Affairs)
- g) RAD – Registrar (Administration)
- h) RAA – Registrar (Academic Affairs)
- i) HODs – Heads of Department
- j) HRC- Human Resource Committee.

1.5 PRINCIPAL RESPONSIBILITY

The DVC (A&F) shall ensure this procedure is adhered to and maintained

2.0 METHOD

- 2.1 This process shall start with the Registrar issuing the Staff Appraisal Form to all HODs one month before the last quarter of a financial year
- 2.2 Upon receipt of the SAF, the HOD shall administer the appraisal to all his/her staff in the department
- 2.3 The staff being appraised shall fill the form and thereafter request a peer to complete the form and return to the HOD
- 2.4 The HOD shall invite the staff to defend their score and assess the training need and other requirements
- 2.5 Thereafter the HOD shall complete the SAF and return the form to the Registrar Administration within 14 days of issuing the form, who then will forward them to the Staff Appraisal Committee
- 2.6 The Staff Appraisal Committee shall summarize the forms, make recommendations and forward them to the HRC within one month.
- 2.6 Finally, the HRC shall meet within one month and make decisions for implementation and then the DVC (A&F) communicate to the staff.

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Appraisal form and attachments
- 3.2 Minutes of Staff Appraisal Committee
- 3.3 Minutes of HRC

PROCEDURE NUMBER 7: STAFF EXIT

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure smooth, orderly, timely and humane exit of an employee from the employer

1.2 SCOPE

The procedure applies to all teaching and non-teaching staff

1.3 REFERENCES

- a) Quality Manual – MMU/QM/MR/2013.
- b) MMU statutes
- c) Terms of service
- d) Letters of Appointments
- e) CBA
- f) Labour Laws
- g) The Constitution

1.4 TERMS AND DEFINITIONS

- a) Exit – Separation of an employee from MMU as a result of: Retirement, death, dismissal, resignation, termination or retrenchment.
- b) Clearance form – A form to be circulated by the employee/representative to all the listed departments and sections of MMU for clearance
- c) Clearance certificate – A certificate issued to an individual upon completion of a validated clearance form

1.5 PRINCIPAL RESPONSIBILITY

The DVC (A&F) shall ensure this procedure is adhered to and maintained

2.0 METHOD

- 2.1 This procedure shall start with the DVC (A&F) notifying the HR Officer on the imminent exit of an employee
- 2.2 Upon notification, the HR Officer shall delete the employee's name from the payroll and issue a clearance and exit forms to the employee.
- 2.3 The HR Officer shall compute the terminal benefits and prepare a PCA to enable the FO to pay the benefits upon receipt of a validated clearance certificate

- 2.4 The HR Officer shall within two weeks after the exit of the employee inform other parties such as Pension Scheme Managers, banks, hospitals, insurance firms and other relevant institutions to take appropriate action.
- 2.5 In the event of death, the HR Officer shall advise the following institutions: Pension Scheme, NSSF, Insurance, Benevolent Fund and other relevant parties.
- 2.6 The HR Officer shall liaise with the family or next of kin to obtain notification of death and burial certificate

3.0 LIST OF APPLICABLE RECORDS

- 3.1 Death notification/Certificate
- 3.2 Termination/dismissal/resignation/retrenchment letters
- 3.3 Clearance Certificate
- 3.4 Notification to other relevant institutions
- 3.5 Exit form