



# UNIVERSITY OF EASTERN AFRICA, BARATON

## Human Resource Procedures



**QUALITY MANAGEMENT SYSTEM DOCUMENTATION  
BASED ON ISO 9001:2015**



University of Eastern Africa, Baraton

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Quality Management System based on ISO 9001:2015

## **Recruitment and Appointment of Employees**

**Document No:** PR-HR-001

**Version No:** 1.0

**Revision Date:** 2<sup>nd</sup> April, 2025

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## Recruitment and Appointment of Staff

Doc No: PR-HR-001

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UNIVERSITY OF EASTERN AFRICA, BARATON

### QUALITY MANAGEMENT SYSTEM

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Date: 2<sup>nd</sup> April, 2025

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Date: 2<sup>nd</sup> April, 2025



## Recruitment and Appointment of Staff

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## 1.0 GENERAL

### 1.1 Purpose

The purpose of this procedure is to ensure effective and transparent recruitment and appointment of employees at the University of Eastern Africa Baraton.

### 1.2 Scope

The purpose of this procedure is to ensure effective and transparent recruitment and appointment of employees at the University of Eastern Africa Baraton.

### 1.3 References

Document category	Document title
Policy	UEAB Employee Handbook, 2018 – 2020
Act	Kenya Employment Act, 2007
Act	Kenya Labour Relations Act, 2007
Policy	ECD Working Policy, 2019

### 1.4 Terms and Definitions

Abbreviation/Term	Description
ECD	East Central Africa Division
DVC – AA	Deputy Vice Chancellor – Academic Affairs

### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

### 1.6 Inputs

Vacant position(s)

### 1.7 Resources

- a) Personnel
- b) Hardware
- c) Software
- d) Stationery
- e) Internet

## 2.0 PROCESS DESCRIPTION

### 2.1 Predecessor Processes

No subsequent process



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### 2.2 Process Steps

#### 2.2.1 Recruitment of Faculty Under Senior Category

Step	Activity	Record	Responsibility
2.2.1.1	This shall start with the Head of Department through the Dean of School forwarding a formal written request to the DVC – AA to engage a faculty on regular or contract terms when a need to recruit is identified in the departments. <b>Note 1:</b> The request shall include the requirements for the position	Request to recruit faculty	HoD and Dean of School
2.2.1.2	The DVC – AA shall examine the request based on the faculty teaching load, and if he/she is satisfied that an additional faculty is needed, the request shall be forwarded to the Human Resource Manager for presentation to the Appointments and Promotions Committee.	Evidence of forwarding the request to the HRM	DVC – AA
2.2.1.3	The Appointments & Promotions Committee shall review the request and based on the need, recommend to the Administrative Board for approval to advertise the position to engage the requested employee on regular, contract or casual terms.	Minutes of meetings Evidence of communication	Appointments & Promotions Committee





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Step	Activity	Record	Responsibility
2.2.1.4	On approval by the Administrative Board, the Chairperson of the Board shall direct the Human Resource Manager to advertise the position.	Evidence of communication	Chairperson of the Administrative Board
2.2.1.5	The Human Resource Manager shall advertise for the positions on the University website, University notice boards, Churches and the media where necessary.	Advertisement	Human Resource Manager
2.2.1.6	The Human Resource Manager shall receive the Applications and shall ensure they are recorded in the Applications Register as they are being received.	Updated Applications Register	Human Resource Manager
2.2.1.7	Upon lapse of the application period stated in the advertisement, the Human Resource Manager shall: a) conduct screening of all applicants based on identity, background checks, job reference checks, police records and work permit for international workers b) obtain three reference letters for each applicant before the date of reviewing applications	Updated Applications Register	Human Resource Manager



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Step	Activity	Record	Responsibility
2.2.1.8	Within two weeks after the lapse of the application period, the Human Resource Manager in consultation with the Chairperson of the Appointments and Promotions Committee shall schedule a date for review of the applications		Human Resource Manager
2.2.1.9	On the scheduled date, the Appointment & Promotions Committee shall together with the Human Resource Manager, concerned Dean, Head of Department and Administrator review the applications against the advertisement requirements to shortlist candidates.	Minutes of Meetings	Human Resource Manager
2.2.1.10	The Human Resource Manager shall, within one week after shortlisting the applicants: a) schedule the date for an interview in consultation with the Chairperson of the Appointments & Promotions Committee b) communicate the interview dates and requirements to the shortlisted candidates.	Evidence of communication	Human Resource Manager
2.2.1.11	At the time of communicating to the shortlisted candidates, the Human Resource Manager shall	Interview Programme	Human Resource Manager



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Step	Activity	Record	Responsibility
	prepare an Interview Programme and the Interview tools.	and Interview Tools	
2.2.1.12	The Human Resource Manager shall send the invitation letters for interview and the Programme to the Appointments & Promotions Committee, the respective Dean of School, Head of Department and Administrator.	Evidence of communication	Human Resource Manager
2.2.1.13	On the scheduled date(s), the Appointments & Promotions Committee shall carry out the interviews and score the candidates guided by the interviewing tools.	Minutes of the meeting(s)	Human Resource Manager
2.2.1.14	The Appointments & Promotions Committee shall, within the same day of conducting the interviews, undertake the following: a) collate the scores for each candidate b) rank the candidates according to performance c) decide on the best candidates to be appointed	Minutes of the meeting(s)	Appointments & Promotions Committee
2.2.1.15	The Human Resource Manager shall present the recommendations of Appointments & Promotions	Minutes of the Administrative Board Meeting	Human Resource Manager



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Step	Activity	Record	Responsibility
	Committee to the Administrative Board.		
2.2.1.16	The Administrative Board shall recommend to University Council the appointment of the candidates.	Minutes of the Administrative Board Meeting	Chairperson Administrative Board
2.2.1.17	The VC shall present the recommendations of the Administrative Board to the University Council for approval of the appointment of the candidates.	Minutes of the Council Meeting	VC
2.2.1.18	After approval, the VC shall ensure the successful candidates are offered appointment letters.	Evidence of communication	VC
<b>Note 2</b>	The Human Resource Manager shall communicate to the successful candidates on the requisite documents they should submit when reporting and that they should accept the offer within 30 days of appointment.	Evidence of communication	Human Resource Manager
2.2.1.19	In the event a candidate rejects the offer or does not give feedback on the appointment, within 30 days, the VC shall ensure the next best qualified person is given the offer.	Evidence of communication	VC



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Step	Activity	Record	Responsibility
2.2.1.20	Upon accepting the offer, the Human Resource Manager shall communicate to the respective candidate on the date to report for duty.	Evidence of communication	Human Resource Manager
2.2.1.21	Upon reporting for duty, the Human Resource Manager shall receive from the reporting employee documents communicated in <b>Note 2</b> .	Copies of professional and academic certificates	Human Resource Manager
2.2.1.22	The Human Resource Manager shall open a personal file for the employee after verification of relevant documents and other requirements.	Updated file	Human Resource Manager
2.2.1.23	The Human Resource Manager shall ensure the new employee member: a) is issued with a Staff Number b) is issued with a Staff ID, Official email and System Log in credentials, c) details are captured in the Payroll System		Human Resource Manager
2.2.1.24	Once recruitment is finalized, the Vice Chancellor shall forward to the University Council a report on the status for information and action if any.	Minutes of a meeting	VC



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### 2.2.2 Recruitment of Faculty under Junior Category

Step	Activity	Record	Responsibility
<b>Note 1</b>	This procedure shall start as per clauses 2.2.1.1 – 2.2.1.15.		
2.2.2.1	The Administrative Board shall approve the candidates guided by the recommendations of the Appointments & Promotions Committee.	Minutes of the Administrative Board Meeting	Chairperson Administrative Board
2.2.2.2	After approval, the Human Resource Manager shall ensure the successful candidates: a) are offered appointment letters b) informed on the requisite documents to submit when reporting and on the acceptance of the offer within 30 days of appointment	Evidence of communication	Human Resource Manager
2.2.2.3	In the event a candidate rejects the offer or does not give feedback on the appointment, within 30 days, the DVC – AA shall ensure the next best qualified person is given the offer.	Evidence of communication	DVC – AA
2.2.2.4	Upon accepting the offer, the Human Resource Manager shall communicate to the respective candidate on the date to report for duty.	Evidence of communication	Human Resource Manager



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Step	Activity	Record	Responsibility
2.2.2.5	Upon reporting for duty, the Human Resource Manager shall receive from the reporting employee documents communicated in clause 2.2.2.2	Copies of professional and academic certificates	Human Resource Manager
2.2.2.6	The Human Resource Manager shall open a personal file for the employee after verification of relevant documents and other requirements.	Updated file	Human Resource Manager
2.2.2.7	The Human Resource Manager shall ensure the new staff member: a) is issued with a Staff Number b) is issued with a Staff ID, Official email and System Log in credentials, c) details are captured in the Payroll System		Human Resource Manager
2.2.2.8	Once recruitment is finalized, the Human Resource Manager shall communicate to the Vice Chancellor.	Evidence of communication	Human Resource Manager
2.2.2.9	The VC shall during the University Council meeting present a report on the recruitment for information and action if any.	Minutes of a meeting	VC



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### 2.2.3 Recruitment of Non-teaching Staff

Step	Activity	Record	Responsibility
2.2.3.1	This shall start with the Head of Department/Unit forwarding a formal written request together with a justification to the Human Resource Manager to engage staff on regular, contract or casual terms when a need to recruit is identified in the department/Unit. <b>Note 1:</b> The request shall include the requirements for the position	Request to recruit faculty	HoD
2.2.3.2	On receipt, the Human Resource Manager shall, within 2 weeks, present the request to the Appointments and Promotions Committee.	Minutes of a meeting	Human Resource Manager
2.2.3.3	The Appointments & Promotions Committee shall review the request and based on the need, recommend to the Administrative Board for approval to advertise the position to engage the requested employee on regular, contract or casual terms.	Minutes of meetings Evidence of communication	Appointments & Promotions Committee
2.2.3.4	On approval by the Administrative Board, the Chairperson of the Board shall direct the Human Resource	Evidence of communication	Chairperson of the Administrative Board





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Step	Activity	Record	Responsibility
	Manager to advertise the position.		
2.2.3.5	The Human Resource Manager shall advertise for the positions on the University website, University notice boards, Churches and the media where necessary.	Advertisement	Human Resource Manager
2.2.3.6	The Human Resource Manager shall receive the Applications and shall ensure they are recorded in the Applications Register as they are being received.	Updated Applications Register	Human Resource Manager
2.2.3.7	Upon lapse of the application period stated in the advertisement, the Human Resource Manager shall: a) conduct screening of all applicants based on identity, background checks, job reference checks, police records and work permit for international workers b) obtain three reference letters for each applicant before the date of reviewing applications	Updated Applications Register	Human Resource Manager
2.2.3.8	Within two weeks after the lapse of the application period, the Human Resource Manager in		Human Resource Manager



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Step	Activity	Record	Responsibility
	consultation with the Chairperson of the Appointments and Promotions Committee shall schedule a date for review of the applications		
2.2.3.9	On the scheduled date, the Appointment & Promotions Committee shall together with the Human Resource Manager, concerned Head of Department and Administrator review the applications against the advertisement requirements to shortlist candidates.	Minutes of Meetings	Human Resource Manager
2.2.3.10	At the time of communicating to the shortlisted candidates, the Human Resource Manager shall prepare an Interview Programme and the Interview tools.	Interview Programme and Interview Tools	Human Resource Manager
2.2.3.11	The Human Resource Manager shall send the invitation letters for interview and the Programme to the Appointments & Promotions Committee, the respective Head of Department and Administrator.	Evidence of communication	Human Resource Manager



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Step	Activity	Record	Responsibility
2.2.3.12	On the scheduled date(s), the Appointments & Promotions Committee shall carry out the interviews and score the candidates guided by the interviewing tools.	Minutes of the meeting(s)	Human Resource Manager
2.2.3.13	The Appointments & Promotions Committee shall, within the same day of conducting the interviews, undertake the following: a) collate the scores for each candidate b) rank the candidates according to performance c) decide on the best candidates to be appointed	Minutes of the meeting(s)	Appointments & Promotions Committee
2.2.3.14	The Human Resource Manager shall present the recommendations of Appointments & Promotions Committee to the Administrative Board and Note 2, 3 and 4 shall apply. <b>Note 2:</b> For recruitment of Non-Teaching Staff under the Senior Category, the procedure shall proceed as per clauses 2.2.16 – 2.2.1.24 <b>Note 3:</b> For recruitment of Non-Teaching Staff under the Junior	Minutes of the Administrative Board Meeting	Human Resource Manager



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Step	Activity	Record	Responsibility
	Category, the procedure shall proceed as per clauses 2.2.2.1 – 2.2.1.9 <b>Note 4:</b> For Non-Teaching Staff, in step 2.2.2.3 it is the DVC – F&A who shall ensure the next best qualified person is given the offer.		

### 2.2.4 Probation of Staff

Step	Activity	Record	Responsibility
<b>Note 1</b>	Probation of Staff shall be undertaken as stipulated in clause 4.3.2 of the UEAB Employee Handbook.		Human Resource Manager

### 2.2.5 Confirmation of Staff

Step	Activity	Record	Responsibility
<b>Note 1</b>	Confirmation of Staff shall be undertaken as stipulated in clause 4.3.3 of the UEAB Employee Handbook, 2018 – 2020.		Human Resource Manager

### 2.2.6 Engagement of casual workers

Step	Activity	Record	Responsibility
2.2.6.1	This shall start with the HoD making a request to the respective DVC for engagement faculty or staff on casual terms after need identification.	Evidence of communication	HoD



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Step	Activity	Record	Responsibility
2.2.6.2	On receipt, the DVC shall review the request considering the following: a) Justification b) Budget		Respective DVC
2.2.6.3	In the event of any concerns with regard to the request, the DVC shall make recommendations to the HoD.	Evidence of Communication	Respective DVC
2.2.6.4	Upon review: a) The DVC (AA) shall present request(s) for the engagement of Faculty on casual terms to the AdBoard for approval. b) the DVC (F&A) or DVC (SAS) shall forward the requests for engagement of non-teaching staff on casual terms to the Human Resource Manager for presentation to the AdBoard for approval.	Evidence of Communication	Respective DVC
2.2.6.5	In approving the request, the AdBoard shall consider the criteria in 2.2.6.2.	Minutes of the AdBoard meeting	VC
2.2.6.6	In the event the AdBoard, raises any concern with the request, they shall make recommendations to the respective DVC.	Minutes of the AdBoard meeting	VC
2.2.6.7	Upon approval, the Human Resource Manager shall: a) communicate to the requesting HoD on the approval of the request and issue the Casual Recording Hours Sheet and	Evidence of Communication	Human Resource Manager



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Step	Activity	Record	Responsibility
	Service Contracts for use once the Worker has been engaged b) communicate to the Casual Worker on the engagement		
2.2.6.8	For a Worker engaged on Service Contract Terms, the respective HoD shall negotiate the costs of the Work prior to commencement. <b>Note 1:</b> For Casual Workers who are issued with the Casual Recording Hours Sheet, their terms of Payment are outlined on the Hourly Rate for Casual Workers Circular approved by the AdBoard.		HoD
2.2.6.9	The HoD shall ensure the Worker does the work assigned and, as applicable, ensure the Casual Recording Hours Sheet is filled on daily basis	Filled Casual Recording Hours Sheet	Casual Recording Hours Sheet
2.2.6.10	Once the work is complete, the HoD shall sign on the Service Contract or Casual Recording Hours Sheet and forward to the Human Resource Manager.	Signed Service Contract or Casual Recording Hours Sheet	HoD
2.2.6.11	On receipt, the Human Resource Manager shall: a) review and sign the documents, b) forward the Service Contracts to the DVC (F&A) for approval and the Casual Recording Hours Sheet to the Creditors Accountant for Payment	Signed Service Contract or Casual Recording Hours Sheet	Human Resource Manager



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Step	Activity	Record	Responsibility
2.2.6.12	On receipt, the DVC (F&A) shall sign the Service Contract and forward to Creditors Accountant for Payment.	Signed Service Contract	DVC (F&A)

### 2.3 Process Outputs

Appointment/Engagement of Faculty and Staff

### 2.4 Subsequent Processes

Orientation of Staff

### 3.0 PROCESS KEY PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Evaluation
Recruitment competent Faculty and Staff	Analysis of the Interview Score Matrix

University of Eastern Africa, Baraton

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## Quality Management System based on ISO 9001:2015

### **Orientation of Staff**

**Document No:** PR-HR-002

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## Orientation of Staff

Doc No: PR-HR-002

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UNIVERSITY OF EASTERN AFRICA, BARATON

### QUALITY MANAGEMENT SYSTEM

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# Orientation of Staff

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# Orientation of Staff

Doc No: PR-HR-002

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## 1.0 GENERAL

### 1.1 Purpose

To ensure consistency, timeliness and effectiveness in conducting orientation of employees.

### 1.2 Scope

This procedure applies to orientation of newly recruited employees, redeployed/re-assigned or promoted employees in UEAB.

### 1.3 References

Document Category	Document Title
Policy	UEAB Employee Handbook, 2018

### 1.4 Terms and Definitions

Abbreviation/Term	Description
HoD	Head of Department

### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

### 1.6 Inputs

Recruitment/ redeployment/re-assignment or promotion of an employee

### 1.7 Resources

- a) Personnel
- b) Office space
- c) Hardware and software

## 2.0 PROCESS DESCRIPTION

### 2.1 Predecessor Processes

Recruitment and appointment of employees (PR-HR-001).

### 2.2 Process Steps

Step	Activity	Record	Responsibility
<b>Note 2</b>	All new employees shall report to the Human Resource department after appointment.		Human Resource Manager
<b>Note 3</b>	The Human Resource Manager shall organize for a general orientation of new employees		Human Resource Manager



## Orientation of Staff

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Step	Activity	Record	Responsibility
	while the respective Deputy Vice Chancellors shall ensure the Dean of Schools and Head of Departments carryout orientation for internal candidates redeployed/reassigned or promoted		and Deputy Vice Chancellors
2.2.1	The concerned Deputy Vice Chancellors and the Human Resource Manager shall allocate the new employee/redeployed employee or promoted employee office space, working tools, and equipment.		Human Resource Manager
2.2.2	Orientation shall involve the HoD/Human Resource Manager: a) introducing the staff to the operations of the department b) introducing the new employee to other members of staff		Human Resource Manager
2.2.3	The Human Resource Manager/HoD shall ensure that an Orientation Attendance Form is signed to indicate attendance.	Orientation Attendance Form	Human Resource Manager/HoD

### 2.3 Process Output

Effectively oriented employees

### 2.4 Subsequent Processes

No subsequent process.



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### 3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
Timeliness in conducting orientation of staff	Analysis of time taken to orient employees (1 week after recruitment/ re-deployment/re-assignment or promotion of an employee)

University of Eastern Africa, Baraton

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Quality Management System based on ISO 9001:2015

## **Staff Training and Development**

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## Staff Training and Development

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UNIVERSITY OF EASTERN AFRICA, BARATON

### QUALITY MANAGEMENT SYSTEM

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Date: 2<sup>nd</sup> April, 2025





## Staff Training and Development

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## Staff Training and Development

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# Staff Training and Development

Doc No: PR-HR-003

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

## 1.0 GENERAL

### 1.1 Purpose

The purpose of this procedure is to ensure effectiveness in conducting Staff training and development.

### 1.2 Scope

This procedure applies to staff training and development at the UEAB.

### 1.3 References

Document Category	Document Title
Policy	UEAB Employee Handbook, 2018
Policy	UEAB Strategic Plan

### 1.4 Terms and Definitions

Abbreviation/Term	Description
UEAB	University of Eastern Africa Baraton
DVC – AA	Deputy Vice Chancellor – Academic Affairs

### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

### 1.6 Inputs

- a) Staff Performance Appraisal Report
- b) Requests for training from departments
- c) Action Plans from the Strategic Plan

### 1.7 Resources

- a) Staff
- b) Hardware
- c) Software
- d) Funds
- e) Stationery

## 2.0 PROCESS DESCRIPTION

### 2.1 Predecessor Processes

- a) Budgeting (PR-FIN-001).
- b) Staff Performance Appraisal (PR-HR-005).



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### 2.2 Process Steps

Step	Activity	Record	Responsibility
2.2.1	This shall start with the DVC – AA within the month of September, communicating to the Heads of Departments/Units to identify and forward training and development needs within 2 weeks.	Evidence of communication	DVC – AA
2.2.2	The Heads of Departments shall communicate to their respective staff to identify and submit training needs within 1 week.	Evidence of communication	Heads of Departments
2.2.3	On receipt of the Training needs, the Heads of Departments shall review the needs including those in the Action Plans and forward to the DVC – AA through the Dean of Schools/Immediate Supervisors as applicable.	Training needs Evidence of communication	Heads of Departments
2.2.4	Once the DVC – AA receives all the training needs from the Departments/Units, he/she shall forward to the Faculty/Staff Development Committee as applicable.	Evidence of communication	DVC – AA
2.2.5	The Chair – Faculty/Staff Development Committee shall: a) ensure the training needs are analyzed b) ensure a training plan is developed considering the training needs from the	Minutes of meetings Training Plan	Chair – Faculty/Staff Development Committee



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Step	Activity	Record	Responsibility
	<p>departments and the recommendations from previous staff appraisals</p> <p>c) ensure a training budget is prepared</p> <p>d) forward the training plan and budget to the Administrative Board through the DVC Finance and Administration</p>		
2.2.6	In the event the Administrative Board raises an issue on the plan/budget, the Human Resource Manager shall act on the comments.	Minutes of meeting	Human Resource Manage
2.2.7	Upon approval, the DVC – AA shall communicate to the Heads of Departments/Units, the Human Resource Manager and the Faculty/Staff Development Committees the approved Training Plan.	Approved Training Plan	DVC – AA
2.2.8	Once a training is due as per the Training Plan, the Chair – Faculty/Staff Development Committees shall plan and ensure the Trainings are conducted.	Training Programme Filled Registration Forms	Chair – Faculty/Staff Development Committees
<b>Note 1</b>	Where there is need to outsource the training services, the Procurement Procedure shall apply.		



## Staff Training and Development

Doc No: PR-HR-003

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

Step	Activity	Record	Responsibility
2.2.9	Once the training has been undertaken, the Chair – Faculty/Staff Development Committees shall ensure a Training Report is prepared.	Training Report	Chair – Faculty/Staff Development Committees
2.2.10	The Chair – Faculty/Staff Development Committees shall at the end of every training session ensure evaluation of the training is done using Training Evaluation Forms.	Filled Training Evaluation Forms	Chair – Faculty/Staff Development Committees
2.2.11	At least 1 month after the training, the Chair – Faculty/Staff Development Committees shall ensure the Forms are analyzed and areas of improvement identified.	Report on the analysis	Chair – Faculty/Staff Development Committees
2.2.12	At least 6 months after the training, the Human Resource Manager shall communicate to the Heads of Departments to evaluate the effectiveness of the training by assessing changes in job performance of an employee before and after the training.	Evidence of communication	Human Resource Manager
2.2.13	The Heads of Departments/Units shall forward to the Human Resource Manager a report on the evaluation for information and action if any.	Evaluation Report	Heads of Departments/Units



## Staff Training and Development

Doc No: PR-HR-003

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### 2.3 Process Output

Enhanced skills

### 2.4 Subsequent Processes

No subsequent process

### 3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
Effectiveness of the Training	Analysis of the Evaluation Reports from the respective Departments

University of Eastern Africa, Baraton

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Quality Management System based on ISO 9001:2015

## **Leave Management**

**Document No:** PR-HR-004

**Version No:** 1.0

**Revision Date:** 2<sup>nd</sup> April, 2025

**Last Review Date:** 2<sup>nd</sup> April, 2025





## Leave Management

Doc No: PR-HR-004

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025



UNIVERSITY OF EASTERN AFRICA, BARATON

### QUALITY MANAGEMENT SYSTEM

Approved by:

Sign: 

Name: Prof. Msafiri Mmamba Jackson  
Vice Chancellor

Date: 2<sup>nd</sup> April, 2025

Issued by:

Sign: 

Name Prof. Moses M. Kibirango  
Director, Quality Assurance

Date: 2<sup>nd</sup> April, 2025



## Leave Management

Doc No: PR-HR-004

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## Document Version Control Sheet

[illegible]



# Leave Management

Doc No: PR-HR-004

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

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# Leave Management

Doc No: PR-HR-004

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

## 1.0 GENERAL

### 1.1 Purpose

The purpose of this procedure is to ensure effective leave management at UEAB.

### 1.2 Scope

This procedure applies to the application and processing of leave at UEAB.

### 1.3 References

Document category	Document title
Policy	UEAB Employee Handbook, 2018 – 2020
Act	Kenya Employment Act, 2007
Act	Kenya Labour Relations Act, 2007
Policy	ECD Working Policy, 2019

### 1.4 Terms and Definitions

Abbreviation/Term	Description
UEAB	University of Eastern Africa, Baraton
ECD	East Central Africa Division
Leave of absence	Taking a break from work for personal reasons for a specific period of time. The individual remains an employee though he or she does not receive a salary and service credit for the duration of the leave.

### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

### 1.6 Inputs

Leave applications

### 1.7 Resources

- a) Staff
- b) Hardware
- c) Software
- d) Stationery



## Leave Management

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### 2.0 PROCESS DESCRIPTION

#### 2.1 Predecessor Processes

No predecessor process

#### 2.2 Process Steps

##### 2.2.1 Application of Annual Leave

Step	Activity	Record	Responsibility
2.2.1.1	This shall start with the Human Resource Manager, in the month of December, requesting for leave schedules, for the subsequent year, from all the departments/units.  The communication shall outline the deadline of submission of the leave schedules.	Evidence of communication	Human Resource Manager
2.2.1.2	In preparing the leave schedules, the Heads of Departments/Units shall consider: - a) workload b) leave days entitlement number of employees	Draft leave schedules	Heads of Departments/ Units
2.2.1.3	The Heads of Departments/Units shall forward the leave schedules to the Human Resource Manager	Evidence of communication Draft leave schedules	Heads of Departments/ Units
2.2.1.4	Upon receipt of the leave schedules, the Human Resource Manager shall develop one schedule by compiling them.		Human Resource Manager



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2.2.1.5	When an employee is due for leave, he/she shall at least 3 months prior:  a) apply using the Leave Form forward the leave form to the Head of Department/Unit for endorsement	Filled Leave Form	Head of Department/ Unit
2.2.1.6	In endorsing the leave application, the Head of Department/Unit shall consider the following: -  a) workload b) availability of an alternative employee to undertake the duties of the employee proceeding on leave, c) number of days requested versus number of days a staff is entitled leave schedule		Head of Department/ Unit
2.2.1.7	In the event of any issue, the Head of Department/Unit shall advise the requesting employee accordingly.	Evidence of communication	Head of Department/ Unit
2.2.1.8	The Head of Department/Unit shall, within 1 week of receipt of the leave application, endorse for the employee to proceed on leave for approval of leave.	Signed Leave Application	Head of Department/ Unit



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2.2.1.9	The Head of Department/Unit shall forward the leave applications: a) to the Human Resource Manager in case of applications for non-teaching staff, or b) to the DVC – AA through the Dean of School in case of applications for faculty	Evidence of communication	Head of Department/ Unit
2.2.1.10	On receipt, the DVC – AA shall endorse the leave application prior to forwarding them to the Human Resource Manager.	Evidence of communication	DVC – AA
2.2.1.11	On receipt of the leave applications, the Human Resource Manager shall: a) verify the applications against the Master Leave Schedule b) endorse the leave forms c) prepare a list of eligible leave applicants	Signed leave forms by HR List of eligible leave applicants	Human Resource Manager
2.2.1.12	In the event the Human Resource Manager raises an issue during verification of the application, he/she shall make recommendations to the respective applicant(s)	Comments to applicants where applicable	Human Resource Manager
2.2.1.13	The Human Resource Manager shall present the list of eligible leave applicants to the	Minutes of a meeting	Human Resource Manager



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	Administrative Board for approval.		
2.2.1.14	Upon approval of the leave by the Board, the Human Resource Manager shall communicate to the respective applicants.	Evidence of communication	Human Resource Manager
2.2.1.15	The respective employees shall proceed for the approved number of leave days.	Duly signed leave application	
2.2.1.16	Every employee who resumes from leave shall be required to sign a Reporting/Return to Work Form and submit to the Human Resource Manager through the Head of Department/Unit	Return to Work Form	Head Department/ Unit

### 2.2.2 Maternity Leave

Step	Activity	Record	Responsibility
2.2.2.1	This shall start with an employee applying for maternity leave using the Leave Form and forwarding to the respective Head of Department/Unit	Filled Leave Form	Employee
2.2.2.2	The HoD shall endorse the leave subject to confirming that the applicant has attached the birth notification/ Adoption Order and the procedure shall proceed as per clause 2.2.1.6 – 2.2.1.16	Filled Leave Form Birth Notification/ Adoption Order	Head of Department/Unit

### 2.2.3





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### 2.2.4 Paternity Leave

Step	Activity	Record	Responsibility
2.2.4.1	This shall start with an employee applying for paternity leave and forwarding to the respective Head of Department/Unit	Filled Leave Form	Employee
2.2.4.2	The HoD shall endorse the leave application considering the attached birth notification or an adoption order. The procedure shall proceed as per clause 2.2.1.6 – 2.2.1.16 in this procedure.	Filled Leave Form Birth Notification/ Adoption Order	Head of Department/Unit

### 2.2.5 Application for compassionate leave

Step	Activity	Record	Responsibility
2.2.5.1	This shall start with an employee applying for compassionate leave using a leave form and forwarding to the respective Head of Department/Unit	Filled Leave Form	Employee
2.2.5.2	In endorsing the application, the Head of Department/Unit shall consider the justification for leave which is death of immediate family members (biological parents, biological and/or legally adopted children of the employee and the spouse) and the procedure shall proceed as per clauses	Filled Leave Form	Head of Department/Unit



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Step	Activity	Record	Responsibility
	2.2.1.6 – 2.2.1.16 in this procedure.		
<b>Note 1</b>	Compassionate leave may be granted for a maximum of 10 (ten) working days annually for the permanent employees and 5 (Five) working days for employees on Contract Terms	Filled Leave Form	Head of Department/Unit

### 2.2.6 Emergency leave

Step	Activity	Record	Responsibility
2.2.6.1	This shall start with an employee applying for emergency leave using a leave form and forwarding to the Head of Department/Unit.	Filled Leave Form	Employee
2.2.6.2	In endorsing the leave application, the Head of Department/Unit shall consider the following: - a) workload number of days requested		Head of Department/Unit
2.2.6.3	In the event of any issue, the Head of Department/Unit shall advise the requesting employee accordingly.	Evidence of communication	Head of Department/Unit
2.2.6.4	The Head of Department/Unit shall, within 1 week of receipt of the leave application, endorse for the employee to proceed on leave.	Signed Leave Application	Head of Department/Unit



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Step	Activity	Record	Responsibility
2.2.6.5	The Head of Department/Unit shall forward the leave application: a) to the Human Resource Manager in case of applications for non-teaching staff, or b) to the DVC – AA through the Dean of School in case of applications for faculty	Evidence of communication	Head of Department/Unit
2.2.6.6	On receipt, the DVC – AA shall endorse the leave application prior to forwarding it to the Human Resource Manager.	Evidence of communication	DVC – AA
2.2.6.7	On receipt of the leave application, the Human Resource Manager shall: a) verify the application, and b) endorse the leave form	Signed leave forms by HR	Human Resource Manager
2.2.6.8	In the event the Human Resource Manager raises an issue during verification of the application, he/she shall make recommendations to the respective applicant	Comments to applicants where applicable	Human Resource Manager
2.2.6.9	The Human Resource Manager shall present the leave application to the Administrative Board for approval.	Minutes of a meeting	Human Resource Manager



## Leave Management

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Step	Activity	Record	Responsibility
2.2.6.10	Upon approval, the Human Resource Manager shall communicate to the respective applicant.	Evidence of communication	Human Resource Manager
2.2.6.11	The respective employee shall proceed for the approved number of leave days.	Duly signed leave application	
2.2.6.12	Every employee who resumes from leave shall be required to sign a Reporting/Return to Work Form and submit to the Human Resource Manager through the Head of Department/Unit	Return to Work Form	Head Department/Unit

### 2.2.7 Leave without pay

Step	Activity	Record	Responsibility
2.2.7.1	<p>This shall start with an employee applying for leave without pay by writing a formal letter and forwarding to the Head of Department/Unit.</p> <p>The procedure for processing of leave shall be undertaken as per clause 2.2.5.2 – 2.2.5.12.</p> <p>The provisions of the ECD Working Policy, 2019 shall be considered in processing leave without pay.</p>	Filled Leave Form	Employee



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### 2.2.8 Sick Leave

Step	Activity	Record	Responsibility
2.2.8.1	This shall start with an employee submitting to the Human Resource Manager a sick leave sheet from a Medical Doctor certifying inability of the staff to carry out his/her duties.	Sick Leave Sheet	Employee
2.2.8.2	On receipt, the Human Resource Manager shall present the request to the Administrative Board for approval	Minutes of a meeting	Human Resource Manager
2.2.8.3	After approval, the Human Resource Manager shall communicate to the respective employee who shall proceed for leave for the number of days prescribed by the Doctor.	Evidence of communication	Human Resource Manager
2.2.8.4	Once the employee resumes from leave he/she shall fill a Reporting/Return to Work Form and submit to the Human Resource Manager through the Head of Department/Unit	Filled Reporting/Return to Work Form	Head Department/Unit



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### 2.2.9 Leave of absence

Step	Activity	Record	Responsibility
2.2.9.1	<p>This shall start with an employee applying for leave of absence using a leave form and the procedure shall be proceed as per clauses 2.2.6.2 – 2.2.6.12.</p> <p><b>Note:</b> The period for taking leave of absence and the eligibility for a staff to apply shall be as per Section 4.12.9.13 of the UEAB Employee Handbook, 2018 and the ECD Working Policy, 2019.</p>	Filled Leave Form	Employee

### 2.2.10 Sabbatical Leave

Step	Activity	Record	Responsibility
2.2.10.1	The Procedure for applying and approval of sabbatical leave shall be as per Section 4.12.9.12 of the UEAB Employee Handbook, 2018	Filled Leave Form	Employee

### 2.2.11 Study Leave

Step	Activity	Record	Responsibility
2.2.11.1	The Procedure for applying and approval of study leave shall be as per	Filled Leave Form	Employee



## Leave Management

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Step	Activity	Record	Responsibility
	Section 4.12.9.9 of the UEAB Employee Handbook, 2018 and the ECD Policy.		

### 2.3 Process Outputs

Approved Leave applications

### 2.4 Subsequent Processes

No subsequent process.

### 3.0 PROCESS KEY PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Evaluation
Effectiveness of the leave process	Percentage of staff who proceed on leave on an annual basis

University of Eastern Africa, Baraton

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Quality Management System based on ISO 9001:2015

## **Staff Performance Appraisal**

**Document No:** PR-HR-005

**Version No:** 1.0

**Revision Date:** 2<sup>nd</sup> April, 2025

**Last Review Date:** 2<sup>nd</sup> April, 2025





## Staff Performance Appraisal

Doc No: PR-HR-005

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025



UNIVERSITY OF EASTERN AFRICA, BARATON

### QUALITY MANAGEMENT SYSTEM

Approved by:

Sign: 

Name: Prof. Msafiri Mmamba Jackson  
Vice Chancellor

Date: 2<sup>nd</sup> April, 2025

Issued by:

Sign: 

Name Prof. Moses M. Kibirango  
Director, Quality Assurance

Date: 2<sup>nd</sup> April, 2025

Prepared by: HRM

Reviewed by: DQA

Approved by: VC



## Staff Performance Appraisal

Doc No: PR-HR-005

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Rev date: 2<sup>nd</sup> April, 2025

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# Staff Performance Appraisal

Doc No: PR-HR-005

Ver. No: 1.0

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# Staff Performance Appraisal

Doc No: PR-HR-005

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

## 1.0 GENERAL

### 1.1 Purpose

To ensure effectiveness and timeliness in the appraisal of staff in the University.

### 1.2 Scope

This procedure applies to performance appraisal of staff in the University.

### 1.3 References

Document Category	Document Title
Policy	UEAB Employee Handbook, 2018

### 1.4 Terms and Definitions

Abbreviation/Term	Description
UEAB	University of Eastern Africa, Baraton

### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

### 1.6 Inputs

- a) Performance Contracts indicators
- b) Students Lecturer Evaluation

### 1.7 Resources

- a) Employees
- b) Hardware
- c) Software
- d) Stationery

## 2.0 PROCESS DESCRIPTION

### 2.1 Predecessor Processes

No predecessor processes

### 2.2 Process Steps

Step	Activity	Record	Responsibility
2.2.1	This shall start with the Director, Quality Assurance, within the month of August, communicating to all Department/Unit Heads to	Evidence of communication	Director, Quality Assurance



## Staff Performance Appraisal

Doc No: PR-HR-005

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

Step	Activity	Record	Responsibility
	set performance indicators for the year and prepare Action Plans.		
2.2.2	<p>The Department/Unit Heads shall by the end of September:</p> <p>a) set the performance indicators and Action Plans guided by the Strategic Plan</p> <p>b) forward them to the DVC, Finance and Administration following the University communication protocol</p>	<p>Set Targets</p> <p>Action Plans</p> <p>Evidence of communication</p>	Department/Unit Heads
2.2.3	On receipt, the DVC, Finance and Administration shall review the performance indicators and Action Plans before forwarding to the VC for information.	Evidence of communication	DVC, Finance and Administration
2.2.4	<p>In the Month of March, the Human Resource Manager shall communicate to all Unit Heads to appraise staff and forward filled Evaluation Forms.</p> <p><b>Note 1:</b> The deadline for submitting filled Evaluation Forms shall be indicated in the communication.</p>	Evidence of communication	Human Resource Manager
2.2.5	<p>In May, the Department/Unit Heads shall:</p> <p>a) together with the Appraisees review the performance of the Appraisees</p> <p>b) fill the Evaluation Forms</p>	Filled Evaluation Forms	Department/Unit Heads



## Staff Performance Appraisal

Doc No: PR-HR-005

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Rev date: 2<sup>nd</sup> April, 2025

Step	Activity	Record	Responsibility
	forward the filled Evaluation Forms within the deadline stipulated by the Human Resource Manager		
2.2.6	On receipt of all the Evaluation Forms from all the Department/Unit Heads, the Human Resource Manager shall within 1 month analyze the Evaluation Reports.	Filled Evaluation Forms	Human Resource Manager
2.2.7	The Human Resource Manager shall submit the key issues and concerns in the Non-teaching and Faculty Evaluation Reports to the University Administration and the Faculty Performance Review Committee respectively.	Evidence of communication Key issues and concerns highlighted	Human Resource Manager
2.2.8	The Chair – University Administration and the Chair Faculty Performance Review Committee shall, within 1 month after receiving the Evaluation Reports, convene committee meetings to: a) review the Evaluation Reports b) make recommendations on actions to be taken	Minutes of meeting	Chair – University Administration Chair Faculty Performance Review Committee
2.2.9	After the meeting, the Chair Faculty Performance Review Committee shall through the Human Resource Manager	Faculty Performance Evaluation Analysis and	Chair Faculty Performance Review Committee



## Staff Performance Appraisal

Doc No: PR-HR-005

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

Step	Activity	Record	Responsibility
	forward the Performance Evaluation Analysis and recommendations to the VC.	recommendations	
2.2.10	The VC shall convene an Administrative Board Meeting and the recommendations from the appraisal for the Faculty and Non-teaching staff shall be presented for approval.	Minutes of Meeting	VC
2.2.11	After approval, the VC shall communicate to the Human Resource Manager to ensure implementation of the recommendations such as promotions, training, re-deployment, counselling, discipline.	Evidence of implementation of the recommendations	Human Resource Manager

### 2.3 Process Outputs

- a) Promotions
- b) Training
- c) Re-deployment
- d) Counselling
- e) Staff discipline

### 2.4 Subsequent Processes

- a) Employee Training and Development
- b) Employee Discipline

### 3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
100% appraisal of employees	Analysis of complete appraisals per department on annual basis

University of Eastern Africa, Baraton

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Quality Management System based on ISO 9001:2015

## **Employees Discipline**

**Document No:** PR-HR-006

**Version No:** 1.0

**Revision Date:** 2<sup>nd</sup> April, 2025

**Last Review Date:** 2<sup>nd</sup> April, 2025





## Employees Discipline

Doc No: PR-HR-006

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025



UNIVERSITY OF EASTERN AFRICA, BARATON

### QUALITY MANAGEMENT SYSTEM

Approved by:

Sign: 

Name: Prof. Msafiri Mmamba Jackson  
Vice Chancellor

Date: 2<sup>nd</sup> April, 2025

Issued by:

Sign: 

Name Prof. Moses M. Kibirango  
Director, Quality Assurance

Date: 2<sup>nd</sup> April, 2025





# Employees Discipline

Doc No: PR-HR-006

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# Employees Discipline

Doc No: PR-HR-006

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

## 1.0 GENERAL

### 1.1 Purpose

To ensure effectiveness, timeliness and transparency in handling Staff disciplinary matters at UEAB.

### 1.2 Scope

This procedure applies to handling of staff disciplinary matters at UEAB.

### 1.3 References

Document category	Document title
Policy	UEAB Employee Handbook, 2018
Act	Kenya Employment Act, 2007
Act	Kenya Labour Relations Act, 2007

### 1.4 Terms and Definitions

Abbreviation/Term	Description
UEAB	University of Eastern Africa, Baraton
VC	Vice Chancellor
DVC	Deputy Vice Chancellor
Administrators	This refers to VC, DVCs, Dean of Schools, Registrars, Chaplain, Directors, Human Resource Manager
HoD	Head of Department

### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

### 1.6 Inputs

Reports on under performance or unacceptable behaviour

### 1.7 Resources

- a) Personnel
- b) Hardware
- c) Software
- d) Stationery



## Employees Discipline

Doc No: PR-HR-006

Ver. No: 1.0

Rev date: 2<sup>nd</sup> April, 2025

### 2.0 PROCESS DESCRIPTION

#### 2.1 Predecessor Processes

No predecessor processor

#### 2.2 Process Steps

##### 2.2.1 Discipline of Administrators

**Note:** In case of a disciplinary matter involving the VC, the University Council shall address it.

Step	Activity	Record	Responsibility
2.2.1.1	The VC shall receive a report on under performance or unacceptable behavior of an Administrator.	Report on Staff under performance or unacceptable behavior	VC
2.2.1.2	Upon receipt, the VC shall review the report and establish whether it is authentic.		VC
2.2.1.3	In the event the report is not authentic, the VC shall disregard it.		VC
2.2.1.4	If the report is authentic, and based on the nature of the offence and its effect on the University's operations, Sections 4.7.1, 4.7.2, 4.7.3 and 4.7.5.1 of the UEAB Employee Handbook, 2018 shall apply in handling the disciplinary matter.	Minutes of a meeting	Administrative Board Hearing Committee
2.2.1.5	After the Administrative Board has determined the action to be taken as outlined in 4.7.5.1 of the UEAB Employee Handbook, 2018, the VC shall present the	Minutes of a meeting	VC



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Step	Activity	Record	Responsibility
	matter to the University Council for approval.		
2.2.1.6	Upon approval, the VC shall communicate to the respective Administrator on the verdict of the Council and communicate to the Human Resource Manager.	Evidence of Communication	VC
2.2.1.7	On receipt of the communication, the Human Resource Manager shall ensure implementation of the decision by the University Council and update the employee's personal file.	Updated personal file	Human Resource Manager
2.2.1.8	In case an employee subjected to any disciplinary action wants to appeal, the provisions of Section 4.7.4.2 of the UEAB Employee Handbook, 2018 shall apply.	Evidence of communication	VC

### 2.2.2 Discipline of Faculty and Staff

Step	Activity	Record	Responsibility
2.2.2.1	This shall start with the HoD receiving a report on under performance or unacceptable behavior of an employee.	Report on employee indiscipline	HoD
2.2.2.2	Upon receipt, the HoD shall review the report and investigate the matter.	Report on Staff indiscipline	HoD
2.2.2.3	In the event the report is not authentic, the HoD shall disregard it and communicate to	Evidence of communication	HoD



## Employees Discipline

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Step	Activity	Record	Responsibility
	the complainant where applicable.		
2.2.2.4	If the report is authentic, the HoD shall forward the matter to the Human Resource Manager and Sections 4.7.1 – 4.7.4.3 of the UEAB Employee Handbook, 2018 shall apply	Evidence of communication	HoD
2.2.2.5	In case an employee subjected to any disciplinary action wants to appeal, the provisions of Section 4.7.4.2 of the UEAB Employee Handbook, 2018 shall apply.	Evidence of communication	VC

### 2.3 Process Outputs

Verdict

### 2.4 Subsequent Processes

Staff Exit (PR-HR-007).

### 3.0 PROCESS KEY PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Evaluation
Timeliness in completing disciplinary cases	Percentage of complete disciplinary cases within 8 months on an annual basis

University of Eastern Africa, Baraton

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## Quality Management System based on ISO 9001:2015

### **STAFF EXIT**

**Document No:** PR-HR-007

**Version No:** 1.0

**Revision Date:** 2<sup>nd</sup> April, 2025

**Last Review Date:** 2<sup>nd</sup> April, 2025





## STAFF EXIT PROCEDURE

Doc No: PR-HR-007

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UNIVERSITY OF EASTERN AFRICA, BARATON

QUALITY MANAGEMENT SYSTEM

Approved by:

Sign: 

Name: Prof. Msafiri Mmamba Jackson  
Vice Chancellor

Date: 2<sup>nd</sup> April, 2025

Issued by:

Sign: 

Name Prof. Moses M. Kibirango  
Director, Quality Assurance

Date: 2<sup>nd</sup> April, 2025





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### 1.0 GENERAL

#### 1.1 Purpose

The purpose of this procedure is to ensure consistency and effectiveness in managing staff exit.

#### 1.2 Scope

This procedure applies to the management of staff exit from the university.

#### 1.3 References

Document Category	Document Title
Policy	UEAB Employee Handbook, 2018

#### 1.4 Terms and Definitions

Abbreviation/Term	Description
HRM	Human Resource Manager

#### 1.5 Principal Responsibility

The Human Resource Manager shall ensure adherence to this procedure.

#### 1.6 Inputs

- a) Resignation letter
- b) Retirement Notice
- c) Contract termination
- d) Expiry of non-renewable contract
- e) Death Notice
- f) Disciplinary Report

#### 1.7 Resources

- a) Personnel
- b) Stationery
- c) Hardware
- d) Software

### 2.0 PROCESS DESCRIPTION

#### 2.1 Predecessor Processes

Employee Discipline



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### 2.2 Process Steps

#### 2.2.1 Retirement

Step	Activity	Record	Responsibility
2.2.1.1	<p>This procedure shall start with the Human Resource Manager identifying the individual employees who are due for retirement. This is determined when:</p> <p>a) an employee is remaining with two years to reach 40 years of service and either of the following:</p> <p>i. an employee without PhD and is remaining with two years to attain 65 years of age, or</p> <p>ii. an employee has PhD qualification and above and has two years to attain 70 years of age whichever comes first</p> <p>b) prolonged illness that makes an employee unable to perform his/her normal does</p>	<p>Service Record</p> <p>Employee's Birth Certificate</p> <p>Medical reports</p>	Human Resource Manager
2.2.1.2	After identifying employees due for retirement, the Human Resource Manager shall, within 1 week, so as to prepare for the same.	Evidence of communication	Human Resource Manager
2.2.1.3	Upon receiving that notification, an employee has to check his/her service record to see that all the	Updated Service Record	Human Resource Manager



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Step	Activity	Record	Responsibility
	entries are properly recorded and also look for the support documents.		
2.2.1.4	When an employee has one year to retirement, the Human Resource Manager shall advise him/her to pick, fill and submit the retirement application form together with the supporting documents to start the process of retirement.	Filled Retirement Application Forms	Human Resource Manager
2.2.1.5	Upon receiving the filled Retirement Application Form and the supporting documents, the Human Resource Manager shall verify them.	Retirement application forms	Human Resource Manager
2.2.1.6	In the event the Human Resource Manager identifies an anomaly on the form or the supporting documents, he/she shall make comments to the respective employee for amendment and re-submission.	Evidence of communication	Human Resource Manager
2.2.1.7	After verification, the Human Resource Manager shall, within 1 month of the last year to retirement, present the Retirement Application(s) to the Administrative Board.	Filled Retirement Application Forms	Human Resource Manager
2.2.1.8	The Administrative Board shall give a recommendation to the University Council for approval of the employees due for retirement.	Minutes of meeting	VC
2.2.1.9	Upon receiving a recommendation to the University Council from the Administrative Board, the Human	Filled Retirement	Human Resource Manager



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Step	Activity	Record	Responsibility
	Resource Manager shall send an Employee's Retirement Application Form and the supporting documents to the Union office for approval.	Application Forms	
2.2.1.10	Upon receipt, the Union officials shall approve the application and forward them to the Division for processing.	Filled Retirement Application Forms	Union Officials
2.2.1.11	Upon receiving the approval of the retirement application forms for the retiring employee(s), the Division Retirement Committee shall verify the applications and the supporting documents	Filled Retirement Application Forms	Division Retirement Committee
2.2.1.12	Upon verification, the Retirement Committee shall approve the Retirement Application(s).	Filled Retirement application forms	Division Retirement Committee
2.2.1.13	Upon approval, the Division Retirement Committee Secretary shall communicate to the employee(s) stating the effective date of the retirement, the benefits to be received and when the employee will be stopping active service with the University.	Retirement Letter	Division Retirement Committee Secretary
2.2.1.14	The employee shall prepare to exit the University by getting clearance from all the departments.	Filled Clearance Form	Human Resource Manager
2.2.1.15	The employee shall forward the filled Clearance Form to the Human Resource Manager	Filled Clearance Form	Human Resource Manager



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Step	Activity	Record	Responsibility
2.2.1.16	The Human Resource Manager shall communicate to the ITS Manager, the Head of Department/Unit and Physical Plant Manager and Security informing them of the exit of the employee.	Evidence of communication	Human Resource Manager

### 2.2.2 Resignation of Staff in Grades 12 and above

Step	Activity	Record	Responsibility
2.2.2.1	This procedure shall start with an employee submitting a resignation letter and a three months' notice/one month's notice to the immediate supervisor. <b>Note 1:</b> Teaching Staff - 3 months while the non-teaching staff 1 month.	Resignation Letter	Supervisor
2.2.2.2	On receipt, the immediate supervisor shall, within one week, forward the letter to the Human Resource Manager through the appropriate chain of communication.	Evidence of communication	Supervisor
2.2.2.3	Upon receiving the resignation letter from the employee, the Human Resource Manager shall present the letter to the Administrative Board for approval.	Minutes of a meeting	Human Resource Manager
2.2.2.4	The Administrative Board shall review the letter and recommend the resignation of that employee to the University Council.	Evidence of communication	Administrative Board





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Step	Activity	Record	Responsibility
2.2.2.5	Upon receiving the recommendation of the resignation of the employee, the University Council shall approve it.	Resignation Letter	VC
2.2.2.6	Upon the approval of the resignation of the employee, the VC shall communicate to the employee.	Council Action Letter	VC
2.2.2.7	Upon receiving that letter, the employee shall participate in an exit interview organized by the Human Resource Manager.	Evidence of communication Minutes of the meeting	Human Resource Manager
2.2.2.8	Upon the expiry of the three months'/one month notice as applicable, clauses 2.2.14 – 2.2.1.16 shall apply	Clearance Form	Human Resource Manager

### 2.2.3 Resignation of Staff in Grades 1 to 11

Step	Activity	Record	Responsibility
2.2.3.1	This procedure shall start with an employee submitting a resignation letter and a three months' notice/one month's notice to the immediate supervisor. <b>Note 1:</b> Teaching Staff - 3 months while the non-teaching staff 1 month.	Resignation Letter	Supervisor
2.2.3.2	On receipt, the immediate supervisor shall, within one week, forward the letter to the Human Resource Manager through the appropriate chain of communication.	Evidence of communication	Supervisor



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Step	Activity	Record	Responsibility
2.2.3.3	Upon receiving the resignation letter from the employee, the Human Resource Manager shall present the letter to the Administrative Board for approval.	Minutes of a meeting	Human Resource Manager
2.2.3.4	The Administrative Board shall review the letter and approve it.	Evidence of communication	Administrative Board
2.2.3.5	Upon the approval of the resignation of the employee, the VC shall communicate to the employee.	Administrative Action Letter	VC
2.2.3.6	Upon receiving that letter, the employee shall participate in an exit interview organized by the Human Resource Manager.	Evidence of communication Minutes of the meeting	Human Resource Manager
2.2.3.7	Upon the expiry of the three months'/one month notice as applicable, clauses 2.2.14 – 2.2.1.16 shall apply	Clearance Form	Human Resource Manager

### 2.2.4 Non-renewal of a Contract

Step	Activity	Record	Responsibility
2.2.4.1	This process shall start with the Human Resource Manager giving a 3 months' advance notice of non-renewal of contract to any employee on contract appointment.	Notification Letter	Human Resource Manager
2.2.4.2	Upon receiving the notice, clauses 2.2.14 – 2.2.1.16 shall apply.	Clearance Form Minutes of an exit meeting	The Human Resource Manager



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### 2.2.5 Termination of an employee

Step	Activity	Record	Responsibility
2.2.5.1	This process shall start with the VC receiving a report on the approval of the dismissal of an employee after disciplinary proceedings or a report from Administrative Board on an impending redundancy.	Evidence of communication	VC
2.2.5.2	The VC shall issue a notice to the employee to exit the University and where applicable communicate to the DVC Finance and Administration to pay the employee in lieu of notice as provided for the employment contract. <b>Note 1:</b> Teaching Staff - 3 months while the non-teaching staff 1 month.	Evidence of communication	VC
2.2.5.3	Upon receiving the notice, clauses 2.2.14 – 2.2.1.16 shall apply.	Clearance Form Minutes of an exit meeting	Human Resource Manager

### 2.2.6 Death of an employee

Step	Activity	Record	Responsibility
2.2.6.1	This process shall start with the Human Resource Manager receiving a death notification of an employee	Evidence of communication	VC



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Step	Activity	Record	Responsibility
	from the immediate supervisor/family/next of kin/medical personnel at the University.		
2.2.6.2	The Human Resource Manager shall, within the same day communicate: a) to all Faculty and Staff b) the family in the event they are not aware c) the church and the public/community	Evidence of communication	Human Resource Manager
2.2.6.3	The VC shall convene an Administrative Board meeting to discuss the funeral arrangements and the support to the family.	Minutes of meetings	VC
2.2.6.4	The VC shall communicate to the University fraternity on the funeral arrangements	Evidence of communication	VC
2.2.6.5	The Human Resource Manager shall: a) communicate to the respective Insurance Agency on the demise of the employee and forward the Burial Permit to them for processing the employee's benefits b) ensure the employee's personal property is	Evidence of communication	Human Resource Manager



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Step	Activity	Record	Responsibility
	handed over to the next of kin c) communicate to Finance to stop payment of salary d) ensure financial settlements are released to the next of kin e) ensure repossession of University property from the deceased residential house and office f) ensure employee's file is archived, and g) communicate to the ITS Manager to deactivate the employee's profile		

### 2.3 Process Output

Separation of an employee from the University

### 2.4 Subsequent Processes

Payments (PR-FIN-003).

### 3.0 PROCESS PERFORMANCE INDICATORS

Key Performance Indicator	Monitoring and Measurement
Adherence to this procedure	Percentage of staff exit that are in conformity to this procedure