



KENYA MARINE AND FISHERIES RESEARCH INSTITUTE (KMFRI)

ISO 9001:2015 QUALITY MANAGEMENT SYSTEMS PROCEDURES MANUAL

ISSUE No. 2

ISSUED BY: Management Representative

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English Point, Mkomani Road

P.O. Box 81651 – 80100 GPO

Mombasa

Reference: **KMF/QMS/SOPs/02**

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KMF/QMS/SOPs/02

PROCEDURES MANUAL

ISSUE NO 2

REV 01

DOCUMENT APPROVAL PAGE

 DEPARTMENT OFFICE OF THE DIRECTOR	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
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TITLE: PROCEDURES MANUAL	PREPARED BY: Edna Onduso Assistant Management Representative (AMR)	
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APPROVED BY:  Sign / DIRECTOR Prof. James Njiru DIRECTOR 1 st February, 2019 DATE:		



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DOCUMENT DISTRIBUTION SCHEDULE

DOCUMENT DISTRIBUTION	
COPY NO.	COPY HOLDER
00: MASTER COPY	Management Representative
01: COPY 1	Director
02: COPY 2	Deputy Directors, Assistant Directors, Centre Directors, Station Coordinators, Department Heads
03: COPY 3	INTRANET

Note

1. A controlled copy (copy 3) of the Procedures Manual will be available in the designated shared intranet on KMFRI server;
2. The printed copy held by the Management Representative (Master Copy) is the final authority on content;
3. Amendments shall be undertaken in accordance with the laid down procedure and shall be entered in the Revision History of Documented Information Record.

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INTRODUCTION

KMFRI Corporate Profile and Mandate

Kenya Marine and Fisheries Research Institute (KMFRI) is a State Corporation established in 1979 by the Science and Technology Act, Cap 250 of the Laws of Kenya, which has since been repealed by the Science, Technology and Innovation Act No. 28 of 2013 which has recognized KMFRI as a national research institution under section 56, fourth schedule. KMFRI's mandate is to undertake research in "marine and freshwater fisheries, aquaculture, environmental and ecological studies, and marine research including chemical and physical oceanography", in order to provide scientific data and information for sustainable exploitation, management and conservation of Kenya's fisheries and other aquatic resources, and contribute to National strategies of food security, poverty alleviation, clean environment and creation of employment as provided for under Vision 2030.

Specifically, the roles of KMFRI according to Legal Notice No. 7 of 1979 are to:

- a) Conduct multidisciplinary and collaborative research on fish ecology, population dynamics, stock assessment and general aquatic ecology;
- b) Collect and disseminate scientific information on fisheries and other aquatic resources and related natural products;
- c) Study and identify suitable species for culture including development, adoption and transfer of rearing technology and procedure;
- d) Study chemical and physical processes that affect productivity of aquatic ecosystems;
- e) Monitor water quality and pollution in fresh and marine water environments;
- f) Carry out socio-economic research on aspects relevant to fisheries, environment and other aquatic resources;
- g) Establish a marine and freshwater collection for research and training purposes;
- h) Offer training facilities to aquatic scientists;
- i) Conduct research on fish quality control, post-harvest preservation and value addition technologies; and
- j) Conduct research on blue economy.

To fulfil this mandate, the Institute has defined its vision, mission and core values as follows:

Vision

A Centre of Excellence in innovative research in marine and fisheries.

Mission

To generate and disseminate scientific information for sustainable utilization of marine and fisheries resources, development of strategic enterprises, food security, employment creation, conservation and restoration of the aquatic environment.

Core Values

- Integrity, transparency and accountability
- Professionalism
- Team work
- Equity and equality
- Information sharing
- Partnerships
- Sustainable development
- Enterprising

KMFRI Services / Products Range

Products:

- a) Fish fingerlings/seed
- b) Fish Brood stock
- c) Fish feed
- d) Seaweed seeds
- e) Hybrid windmill solar tunnel dryer

Services:

- a) Scientific information services on marine and fisheries stocks and flows
- b) Scientific information services on culture of finfish, shellfish and other marine organisms
- c) Scientific information services on fish quality control and value addition
- d) Training on aquaculture and value addition
- e) Scientific information services on marine biodiversity conservation and environmental management

- f) Scientific information and technical advice on Blue Economy and climate change
- g) Electronic Fish Market Information Systems (EFMIS)
- h) Analytical Laboratory services
- i) Consultancy services
- j) Hiring services (vessels, conference facilities, underwater cameras etc.)
- k) Student attachment/internship services
- l) Educational visits

KMFRI Clients

- a) National Government
- b) County Government
- c) Local and International Research Institutions
- d) Institutions in the Education sector
- e) Media
- f) Non-Governmental Organizations in marine and fisheries
- g) Private Sector / Industry (Existing and potential investors) in marine and fisheries
- h) The General Public
- i) Internal Stakeholders
- j) Professional Bodies
- k) Community Based Organizations in marine and fisheries
- l) Development Partners
- m) Regulatory Agencies
- n) Intergovernmental Organizations (IGO)
- o) Faith Based Organizations (FBO)
- p) Riparian Communities including fishermen, fish mongers etc.
- q) Fish Farmers
- r) Seaweed Farmers
- s) Service Providers

Information to Customers:

KMFRI is committed to ensuring and sustaining effective communication with her customers and interested parties. To this end, KMFRI shall provide information in appropriate languages through the following media:

- a) Brochures
- b) Flyers

- c) Personal addresses
- d) Website and e-mails
- e) Radio
- f) Print Media
- g) Television
- h) Social media

Feedback

For compliments, complaints and suggestions, contact us using the contacts provided below during office hours between 8.00am and 4.30pm Monday to Friday (except public holidays).

The Director,
 Kenya Marine and Fisheries Research Institute,
 P.O. Box 81651-80100
 Cement Road, English Point, Mkomani, Mombasa, KENYA
 Phone: +254 – 20 8021560/1, 0712 003853

Customer service: +254 20 2178357
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 Website: www.KMFRI .co.ke
 Twitter: @KMFRI Research
 Facebook: Kenya Marine and Fisheries Research Institute

KMFRI STRATEGIC MODEL

The strategic intent of KMFRI, which is embodied in the Vision, Mission, Core Values, Key Result Areas, Strategic Objectives and Strategies are outlined in KMFRI Strategic Plan (2016 – 20), currently being revised to fit within the MTPIII framework (2017 – 2022). The Vision, Mission, Core Values have already been discussed in the earlier section where the mandate of KMFRI was presented.

The Strategic Plan covers the following four “Key Results Areas” (KRA):

- 1) Research and innovation
- 2) Technology transfer and community outreach
- 3) Resource mobilization and institutional capacity building
- 4) Collaboration and partnerships

To effectively implement the Strategic Plan, the Institute has identified and established the following strategic objectives:

- a) To conduct innovative, demand-driven and relevant research in aquatic ecosystems;
- b) To disseminate research information and innovative technologies to stakeholders;
- c) To undertake research on promotion of investments in the Blue Economy;
- d) To increase community participation and promote outreach programs;
- e) To mobilize financial and human resources to implement the institute's core functions and develop research infrastructure;
- f) To strengthen institutional structure and capacity; and
- g) To promote local and international collaboration and partnerships.

THE PROCEDURES MANUAL

This procedures manual is the backbone of Quality Manual which is issued concurrently with it. It operationalizes the letter and spirit of the Quality Manual. It is an operations guideline – the encyclopaedia for KMFRI business processes, and contains KMFRI best practices that define her systematic approach to implementing business expectations, plans, and work routines towards achieving the set Mission targets.

Purpose of KMFRI Procedure Manual

The purpose of this Procedure Manual is to provide a reference guide whereby employees can review action guidelines and new employees can be efficiently introduced to KMFRI's Business operations. Specifically, this Procedure Manual will enable KMFRI employees to:

- a) Initiate relevant actions swiftly without undue delay;
- b) Perform a similar work procedure normally assigned to another employee should the need arise;
- c) Eliminate delays that occur when procedures are unclear;
- d) Establish a standard of performance, so that all employees may be evaluated fairly and impartially.

While this Procedure Manual is not presuming to be all-inclusive, the guidelines represented herein are a composite of staff input over the period of development of QMS at KMFRI and have evolved to be the most effective and efficient, while in keeping with the mission of KMFRI.

Review and updates:

As with other QMS manuals, periodic review and appropriate revision of this Procedure Manual will be required from time to time. The ISO Secretariat at KMFRI, therefore, continues to solicit, encourage and expect users of this manual to submit in writing, any modifications desired to their relevant heads for consideration and improvement of KMFRI's business model. At any time an employee believes it would be in the best interest of KMFRI's mission to amend a prescribed procedure in a particular circumstance, they shall present the circumstances involved to their heads and request appropriate revision and amendments. Until permanent revisions are approved and issued by the Management Representative or relevant HOD, each employee of KMFRI is expected to comply with the guidelines contained in this manual. All employees are required to read and continue to use and seek reference from this manual and shall be considered individually responsible for knowledge of its contents.

There are additional Annexure documents which have been left out from this Procedure Manual, but which are used in the routine "day-to-day operations" of specific processes. These documents will be obtained from the designated offices of process owners as specified in relevant sections of this manual. In particular, the following Annexure documents which constitute clause seven (7) of the individual Process (Procedure) steps have been deliberately "left-out" from this Procedure Manual:

- a) Monitoring, Measuring and Analysis
- b) Common Process Risks
- c) Standard Forms
- d) Detailed Risk and Opportunities Register

The relevant process owners (Heads of Directorates, Programs, Departments, and Sections as applicable), are expected to maintain these documented information for the effective and efficient operation of their processes. During periodic audits, these documented information and records emanating from their use will be routinely assessed and evaluated for their relevance, completeness and effectiveness.

A few key documents are appended to this Procedure Manual to provide easy background reference materials for this Procedure Manual. These appendices include:

- a) Appendix -1: Quality Policy
- b) Appendix -2: The Scope Statement
- c) Appendix -3: Customer Service Charter
- d) Appendix -4: The current Organizational Structure

MR-1 INTERNAL AUDIT

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: Office of the Director	REFERENCE NO.	KMF/QMS/OP/MR/01
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: Internal Audit	REVIEWED BY: PATRICK GWADA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Internal Audit**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to define KMFR's process for undertaking internal audits in order to assess the effectiveness of the application of ISO 9001:2015 and to define the responsibilities for planning and conducting audits, reporting results and retaining associated records.

2.0 SCOPE

The scope of this process is to assess the effectiveness of KMFR's QMS. Where such processes are found to be deficient, the audit will lead to improvement in those processes

3.0 TERMS AND DEFINITION

- a) MR –Management Representative

- b) Audit – is a systematic, documented process of obtaining audit and evaluating results to determine the extent to which requirements have been fulfilled.

4.0 REFERENCES

- a) ISO 9000:2005 Quality Management Systems – Fundamentals and Vocabulary.
- b) ISO 9001:2015 Quality Management Systems – Requirements
- c) Quality Manual Issue No 2 of 2019

5.0 PRINCIPAL RESPONSIBILITY

The Management Representative shall be responsible for preparing, complying with and maintaining this process.

6.0 PROCESS DETAILS

6.1 Audit Schedule

The MR shall develop a corporate schedule of audits at the beginning of each year while taking into consideration the status and importance of departmental activities. Audit shall be conducted at least once a year.

6.2 Audit Planning

The MR shall appoint auditors for all audit areas from a list of qualified auditors and in doing so; he shall ensure audit impartiality and objectivity.

6.3 Execution of Audit

- a) The audit shall be conducted in line with the requirements of ISO 19011:2002. each audit shall be led by a lead auditor and other auditors appointed by the MR
- b) Before commencement of the audit, the audit teams shall send a formal audit notification (form MRA-1) at least one week before the audit to the persons/department to be audited
- c) The auditees shall avail the various documentation requested in the audit notification to the auditors
- d) The auditors shall study the documentations and prepare checklist questions using form MRA-2
- e) On the day of audit, the auditors shall hold an opening meeting following the opening meeting agenda:
 - (i) Introduction and attendance
 - (ii) Basis/criteria
 - (iii) Time table
 - (iv) Methodology
 - (v) Confidentiality

- (vi) Mode of communication
 - (vii) Closing meeting time
 - (viii) Discussion/AOB
- f) The auditors will then proceed to conduct the audit in the respective areas as per the time table and record their findings in audit findings form MRA 3. The audit will be conducted through interviewing staff, inspection and observation.

6.4 Auditors Meeting

The auditors will analyze all the audit evidence and categorize them into positive findings, general observations and non-conformities. Non conformities whether major or minor shall be recorded in form MRA 4. The auditors will form an audit opinion to be given in the closing meeting.

6.5 Closing Meeting

The auditors will hold a closing meeting with the auditees which will have the following agendas: -

- a) Introduction and recording of attendance.
- b) Thank the Auditees.
- c) Reconfirm the purpose and scope mentioned
- d) Mention the principles of sampling followed during the audit.
- e) Summarize audit observations (positives, general observations and non- conformities.)
- f) Give non-conformities in details.
- g) Reassure confidentiality.
- h) Open the meeting for discussions.
- i) Close meeting.

6.6 Audit Follow up

The auditors will follow up on the status of corrective actions after two weeks. Follow ups can also be done by MR.

6.7 Audit Reporting

Upon completion of the audit exercise, the auditors shall prepare an audit report and forward the original to MR and copy to the Auditees. The Audit Report shall be in line with the format of form MRA 5: -

7.0 ANNEXES

Available from Process Owner - MR

MR-2 CONTROL OF DOCUMENTED INFORMATION

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: Office of the Director	REFERENCE NO.	KMF/QMS/OP/MR/02
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: control of documented information	REVIEWED BY: PATRICK GWADA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: Process for control of documented information

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to identify, develop, implement, maintain and control the documentation that defines and supports the quality management system in an efficient and effective manner. All applicable documents shall be identified and controlled in such a manner to ensure current versions are available to the functions or personnel to which they apply.

2.0 SCOPE

This process applies to all internal and external documentation that are determined to support the KMFRI QMS systems.

3.0 TERMS AND DEFINITIONS

- a) MR –Management Representative

- b) HOD – Head of Department

4.0 REFERENCES

- a) ISO 9001:2015 Quality Management Systems – Requirements.
- b) ISO 9000:2005 Quality Management Systems – Fundamentals and vocabulary

5.0 PRINCIPAL RESPONSIBILITY

The Management Representative shall ensure the process is effectively implemented.

6.0 PROCESS DETAILS

6.1 Documentation Hierarchy

KMFRI Quality Management Systems documentation shall comprise of Quality Manual, Compulsory process, business operating procedures/ manuals and work instructions.

6.2 Issuance of Documents.

All KMFRI Quality Management Systems Documents shall be issued by the Management Representative; this can be delegated to respective Deputy Directors, Assistant Directors, Heads of Departments and Heads of Sections.

6.3 Approval/Authorization of QMS Documents

All KMFRI Quality Management Systems Documents shall be approved by the Director.

6.4 Review, Updating and Re-Approval of Documents

- a) If any document calls for revision/review or update, the proposed revision shall be appended to the original one for ease of reference and record purpose. The following steps shall be followed:
- b) Individual/department raises proposal.
- c) Proposal is discussed at Department/Station level.
- d) Proposal is forwarded to QMS Committee.
- e) Proposal is recommended and forwarded to Director.
- f) Reviewed or updated documents are released for issuance as stated in 6.2 above.
- g) If the changes are minor, the changes shall be effected in the documents change table. If they are major, the revision number of the document will change but the issue number will remain the same.
- h) Review of QMS documentation shall be done every 3 years.

6.5 Identification of Documents

- a) All KMFRI QMS documents shall be clustered by relevant functions and shall have the Institute logo, document title, and document number, date of issue, issue number, issuing authority, and authorization and shall be signed
- b) The format of QMS procedures shall contain: the purpose, scope, references, responsibility, definition of terms, acronyms and abbreviations, method, appendices and process maps
- c) The appendices (applicable forms) shall be clustered by relevant functions and shall at the end of each document clusters
- d) Document number – KMF/QMS/Identification number, shall identify the Quality Manual; document numbers – KMF/QMS/OP/Departmental identification/Identification number, shall identify the operating procedures; the mandatory procedures shall be identified by document number - KMF/QMS/OP/MR/Identification number.

6.6 Availability of Documents at Points of Use

All KMFRI QMS documents in electronic version will be available in PDF format on the intranet to relevant functions of KMFRI. However, hard copies will be controlled through a distribution list.

6.7 Legibility of Documents

- a) All documents shall be typed in Font – (Calibri), Font size eleven (11) and line spacing of 1.15.
- b) Printing and photocopying of documents shall be done in such a way that documents shall remain legible.
- c) Documents shall be stored in conditions that ensure that they remain secure and safe.

6.8 Documents of External Origin

- a) Documents of external origin such as circulars from ministries and other government authorities shall be received-stamped at the Directors office and forwarded to the registry for record. The documents shall then be forwarded to the relevant department for action.
- b) If any member of staff of the institute is issued with documents on behalf of the organization in seminars, workshops etc, the documents shall be forwarded to the registry to be received-stamped and for recording, filing, and marking to the appropriate departments.

6.9 Obsolete Documents

- a) Not all documents that are obsolete shall be kept at points of use. If they are retained for any purpose, they shall be clearly marked “OBSOLETE” by the respective functional heads in consultation with the Management Representative.
- b) Withdrawal of Obsolete QMS documents shall be done by the Management Representative as per the distribution list.
- c) the period for retaining obsolete documents shall be defined based on the nature of the documents, but not less than the retention period of any resulting record associated with such documents

- d) Obsolete documents shall be disposed of as per documented procedure for stores inventory and/or records disposal, or as specified by relevant regulatory requirements.

7.0 ANNEXES

Available from Process Owner – MR

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MR-3 CONTROL OF NONCONFORMING PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: Office of the Director	REFERENCE NO.	KMF/QMS/OP/MR/03
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: control of nonconforming processes	REVIEWED BY: PATRICK GWADA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for control of nonconforming**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

To establish a process and to assign responsibilities for identification, documentation and disposition of nonconforming processes, services, and work products.

2.0 RESPONSIBILITY

Management Representative is responsible for ensuring that the requirements of this process are implemented maintained and enforced. In addition, the process owners (represented by HODs) are responsible for application of this procedure including, identification of non-conforming services and implementation of any actions necessary to ensure control of such identified products or services.

3.0 SCOPE

This process shall apply to all non-conformities identified in the operation of KMFRI.

4.0 TERMS AND DEFINITIONS

- a) **Corrective Action (CA):** Action to eliminate the cause of a detected nonconformity or other undesirable situation in order to prevent recurrence. There can be more than one cause of nonconformity.
- b) **Nonconformity:** Non-fulfillment of a requirement.

5.0 REFERENCES

- a) ISO 9001:2015 Quality Management Systems – Requirements
- b) ISO 9000:2005 Quality Management Systems – Fundamentals and Vocabulary

6.0 PROCESS DETAILS

6.1 Identification of non-conforming processes and services

The non-conformities shall be identified through

- (i) Internal and External Audits,
- (ii) (ii) Complaints by customers,
- (iii) (iii) Complaints by KMFRI Staff,
- (iv) (iv) Baseline surveys
- (v) (v) Procurement Entity.

6.2 Assignment of responsibility

- a) The non-conformities identified through the audits shall be controlled through the internal systems audit procedure (KMF/QMS/OP/MR/03)
- b) Non-conformities from customer's complaints shall be channeled through a customer feedback forms (PR-01), analyzed by public relations officer, and forwarded to management for appropriate action
- c) Non-conformities from KMFRI Staff regarding processes shall be channeled to departmental heads (HODs) using CAR forms for appropriate correction, corrective and preventive actions
- d) Non-conformities from baseline surveys shall be channeled to respective departmental process owner (HOD), analyzed by them, and forwarded to management for appropriate action
- e) Non-conformities from incoming/purchased product shall be controlled as per the Procurement procedure. The Head of procurement shall have the responsibilities and authorities for dealing with such product.
- f) In cases where the input to the process is a service e.g. consultancy etc. the process owner (HOD) shall be responsible for the identification and control of such non-conforming service.

In all cases, the auditees / process owners shall assign responsibility to a relevant officer to determine appropriate points within the service processes where inspection, monitoring or follow-up audits will be carried out to identify non-conforming services.

6.3 Control of non-conforming processes and services

- a) Any identified non-conforming processes and services shall be appropriately labeled and segregated or recorded in such a manner to ensure that the non-conforming process/service does not continue within the system.
- b) Each function shall assign appropriate responsibility and authority for determination of the controls to be exercised with such processes and services.
- c) The controls for dealing with non-conforming processes and services shall be discussed within the function and shall be appropriate to the effects or potential effects of the non-conformities.
- d) Where nonconforming service is detected after final service delivery or is progressing, the process owner shall take appropriate remedial action with regard to the consequences of the nonconformity. Where applicable, proposed remedial (service recovery) of service shall be reported to the customer, end-user, regulatory or other body, for a concession.

6.4 Review of actions taken

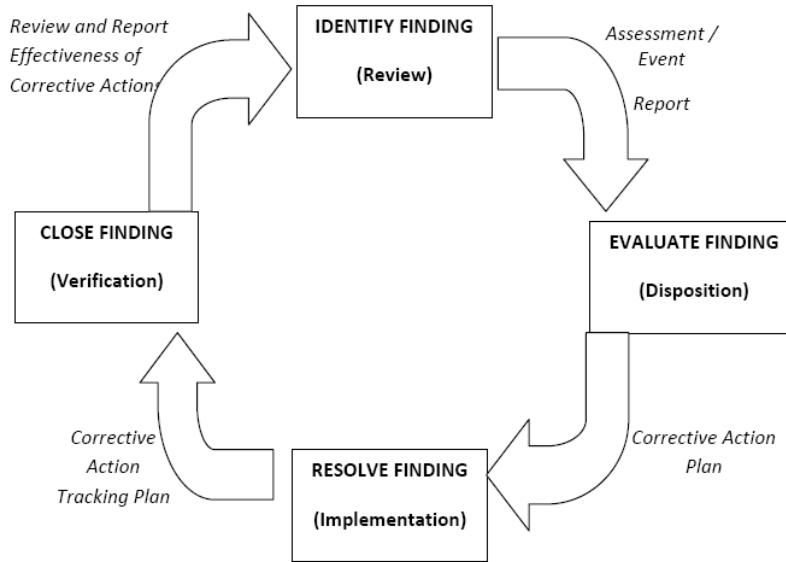
Each function shall review actions taken on any non-conforming processes and services and decide if adequate actions had been taken to the processes and services or eliminate it from the system.

6.5 Records of management of non-conforming processes and services.

Each function shall maintain records of the nature of non-conforming products in their areas, periodically analyze them to determine and implement appropriate preventive actions.

- a) The non-conformities shall be identified through (i) Internal and External Audits, (ii) Complaints by customers, (iii) Complaints by KMFRI Staff, (iv) Baseline surveys (v) Procurement Entity
- b) In non-conformance situations, the parties responsible for addressing the non-conformance must perform several key activities to correctly assess and respond to the problem. The assessments should:
 - Determine the root cause of the problem;
 - Determine the magnitude of the problem
 - Develop and document the appropriate corrective action;
 - Implement, record, and communicate the corrective action; and
 - Track and verify the effectiveness of corrective actions.
- c) For each non-conformity addressed, the heads of respective functions (the process owners) shall be responsible for assuring that the magnitude of the corrective action applied is appropriate to the magnitude of the problem and the impacts encountered.
- d) After taking corrective action a review shall be done by the relevant functions or at the management review to ascertain that the action taken was appropriate/effective.
- e) Records of action taken shall be kept in line with KMFRI procedure for control of documented information (KMF/QMS/OP/MR/02)
- f) The CAR form shall be distributed to Heads of Departments and process owners involved in the operations and activities of the Institute QMS.

- g) For non-conformities identified through audits and KMFRI staff, the CAR form shall apply
- h) Audit-based confirmations of actions taken shall be reviewed along the generalized process for feedback and continuous improvement similar to the cycle below.
- i) Determinations of effectiveness of actions taken shall be undertaken at the following audit (for minor non-conformities) and at the agreed audit close-up dates (for major non-conformities).



7.0 ANNEXES

Available from Process Owner – MR

RES-1 RESEARCH PROPOSAL DEVELOPMENT PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: Research	REFERENCE NO.	KMF/QMS/OP/RES/02
	REVISION NO.	01
	PREPARED BY:	<u>DR. NINA WAMBIJI</u>
TITLE: Research Proposal Development	REVIEWED BY: DR. ERICK OKUKU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Research Proposal Development processes**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide Research Officers in proposal development to attract Donor and GOK funds in order to address issues related to KMFRI mandate.

2.0 SCOPE

The process covers all activities involved from the time the need is identified to the time a proposal is submitted to potential donors. It applies to all research/development proposals developed by KMFRI Research Officers internally or in partnership with other stakeholders except for emergency response situations.

3.0 TERMS AND DEFINITIONS

- a) KMFRI Kenya Marine and Fisheries Research Institute

- b) GOK Government of Kenya

4.0 REFERENCES

- a) KMFRI Research Policy 2010
- b) KMFRI Intellectual Property Rights Policy 2010
- c) KMFRI Corporate Strategic Plan 2016-2020
- d) National Oceans and Fisheries Policy 2008
- e) Guidelines from various donors

5.0 PRINCIPAL RESPONSIBILITY

The Deputy Director shall ensure that the process is in place and adhered to

6.0 PROCESS DETAILS

Proposal development process

- a) The scientist shall identify needs/concerns
- b) The scientist shall identify relevant research calls or initiates a consultative stakeholder engagement for research gap analysis at the beginning of every financial year or as need arises and develop a research concept
- c) The scientist shall submit the research concept to AD, for review and approval
- d) The scientist shall develop full proposal and presents to internal seminar for comments.
- e) The scientist shall submit full proposal to Deputy Director through Assistant Director for recommendation to Director for approval.
- f) The scientist shall submit proposal to the relevant funding agency.
- g) The scientist shall submit the proposal to Assistant Director for archiving electronically.
- h) Approval for funding shall be communicated to the Director by the relevant funding agency
- i) Director shall delegate implementation to the respective research division/center or station

7.0 ANNEXES

Available from Process Owner – DD-Research

RES-2 IMPLEMENTATION AND DISSEMINATION OF APPROVED RESEARCH PROJECTS PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: Research	REFERENCE NO.	KMF/QMS/OP/RES/02
	REVISION NO.	01
	PREPARED BY:	<u>DR. NINA WAMBIJI</u>
TITLE: Implementation and Dissemination of Approved Research Projects	REVIEWED BY: DR. ERICK OKUKU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Implementation and Dissemination of Approved Research Projects processes**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of the Process is to document the steps in implementing approved research projects and effective dissemination.

2.0 SCOPE

The scope covers all research activities funded by GoK and donors except research undertake in response to emergency situations

3.0 TERMS AND DEFINITIONS

- a) AD Assistant Director
- b) CD Centre Director
- c) DD Deputy Director
- d) DKMU Data and Knowledge Management Unit
- e) ISCT Internal Seminar Coordinating Team
- f) MOU Memorandum of Understanding
- g) MR Management Representative
- h) PIC Project Implementation Committee
- i) QMS Quality Management Systems
- j) RS Research
- k) SOP Standard Operating Process
- l) STC Scientific and Technical Committee

4.0 REFERENCES

- a) KMFRI Corporate Strategic Plan 2016 - 2020
- b) KMFRI Research Policy 2010
- c) KMFRI Intellectual Property Rights Policy 2010
- d) KMFRI Quality Control Policy and Manual 2010
- e) Standard Operating Procedures
- f) Standard methods of Scientific Sampling and Analysis
- g) Equipment Manuals
- h) Species Identification Guides
- i) Laboratory Sampling Checklist 2011
- j) KMFRI Safety Code
- k) Laboratory Hazardous Waste Management and Disposal Manual 2019

5.0 PRINCIPAL RESPONSIBILITY

The Deputy Director in charge of the directorate where the funded project falls shall ensure that the process is in place and adhered to.

6.0 PROCESSES

6.1 Project execution

- a) Approved proposals shall be communicated to the Principal Investigator (PI) by the relevant research directorate/CD
- b) The Principal Investigator (PI) shall constitute a Project Implementation Unit (PIU).

- c) The PI shall prepare and submit a detailed work plan (together with the log frame, risk management framework and dissemination arrangements) and budget for approval by the relevant research directorate/CD
- d) The PI shall make a presentation of the project in an internal seminar for information and knowledge sharing.
- e) The PI shall coordinate the implementation of the project as per the approved work Plan and budget.
- f) The PI shall synthesize and analyze the data and present a summary of the same in an internal seminar as per the approved work plan.
- g) Research findings shall be evaluated as per the performance indicators indicated in the log frame and M&E.
- h) Research findings shall be reported at least quarterly and as per the provisions of the log frame and the M&E plan

6.2 Project dissemination

- a) Research findings from the implementation shall be shared with the relevant stakeholders as per the provisions of the log frame and the M&E plan
- b) The PI, in consultation with the HOD-PR, shall prepare information packages for sharing with stakeholders
- c) The PI, in consultation with the HOD-PR, shall undertake project information dissemination using any of the following outlets as appropriate: media briefs, community barazas, workshops and conferences, policy briefs, fact sheets, newsletter articles, websites, manuals, peer reviewed scientific articles, posters, video documentaries, brochures and flyers.
- d) Records of the project dissemination shall be kept in project files and other publicity media as defined by the public relations SOPs
- e) The PI, in consultation with the HOD-PR shall monitor and evaluate the impact of the project dissemination to the relevant stakeholders using appropriate survey tools
- f) Results of dissemination shall be reported at least quarterly and as per the provisions of the log frame and the M&E plan

7.0 ANNEXES

Available from Process Owner: Deputy Director in charge of the Directorate where the funded project falls

RES-3 PARTNERSHIPS AND COLLABORATIONS PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: Research	REFERENCE NO.	KMF/QMS/OP/RES/03
	REVISION NO.	01
	PREPARED BY:	<u>DR. NINA WAMBIJI</u>
TITLE: Partnerships and Collaborations Processes	REVIEWED BY: DR. ERICK OKUKU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: Process for Implementation and Dissemination of Approved Research Projects processes

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of the process is to promote local and international collaboration and partnerships linkages with other partners and stakeholders at local, regional and international levels.

2.0 SCOPE

The Process covers joint research/development projects implemented and level of funding brought in by partnership programmes.

3.0 TERMS AND DEFINITIONS

- a) STC- Scientific and Technical Committee
- b) MOU – Memorandum of Understanding

- c) LOI – Letter of Intent
- d) PCU - Project coordination unit

4.0 REFERENCES

- a) National Oceans and Fisheries Policy 2008
- b) KMFRI Research Policy 2010
- c) KMFRI Intellectual Property Rights Policy 2010
- d) KMFRI Corporate Strategic Plan 2010 – 2015
- e) KMFRI Service Charter
- f) Performance contract (2018-2019)

5.0 PRINCIPAL RESPONSIBILITY

The relevant Deputy Director in research shall ensure that the process is in place and adhered to

6.0 PROCESS DETAILS

- a) The AD Projects and Collaborations shall initiate the process and invite HODs for engagement and development of partnerships and collaborations annual plan with set targets
- b) The AD Projects and Collaborations shall seek approval for the implementation of the plan from the director and communicate the same to HODs
- c) The HODs shall cascade the implementation plan through the balanced score card to staff under their jurisdiction
- d) The respective staff shall undertake needs assessment and develop draft concept note for partnerships and collaborations and submit to AD Projects and Collaborations
- e) The AD Projects and Collaborations shall refine and customize the draft concept notes into full partnership instruments and submit to the legal department for concurrence and editing
- f) The head of the legal department shall submit refined partnership instruments to the director for signing and endorsement with the identifying partners.
- g) The AD Projects and Collaborations shall monitor and evaluate the implementation arrangements of the partnership instruments.
- h) The AD Projects and Collaborations shall report on findings of the monitoring and evaluation to the relevant functions on a quarterly basis.

7.0 ANNEXES

Available from Process Owner: Deputy Director – Research

ICT-1 MAINTENANCE OF AUTOMATED SYSTEMS PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ICT	REFERENCE NO.	KMF/QMS/OP/ICT/01
	REVISION NO.	01
	PREPARED BY:	EDNAH ONDUSO
TITLE: Maintenance of Automated Systems	REVIEWED BY: SAM NGETE	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide all ICT officers in KMFRI on the steps to be followed in the process of maintaining all automated systems.

2.0 SCOPE

The process covers all Information Communication and Technology equipment in KMFRI.

3.0 TERMS AND DEFINITIONS

- a) LAN - Local Area Network
- b) ICT - Information and Communication Technology
- c) ICTO - Information and Communication Technology Officer

- d) DKM – Data and Knowledge management unit
- e) ERP – Enterprise Resource Planning

4.0 REFERENCES

- KMFRI Corporate Strategic Plan 2010 - 2015
- KMFRI Service Charter 2008
- Existing hardware and software manufacturers’ maintenance manuals
- ICT security policy
- ICT strategic plan
- ICT Government standards
- KMFRI ICT Policy
- National ICT Policy
- Data Management Policy

5.0 PRINCIPAL RESPONSIBILITY

The Head of ICT shall ensure that the process for maintaining all automated systems in KMFRI is followed at all times.

6.0 PROCESS DETAILS

- a) The HOD shall identify the needs for maintenance of ICT hardware and software systems
- b) The HOD shall maintain inventory of all automated system and relevant hardware and operation software system
- c) The HOD shall identify resources/inputs required for maintenance of all systems
- d) HOD shall raise procurement request
- e) HOD shall develop the necessary maintenance procedures for all systems
- f) HOD ICT shall develop a maintenance chart to task appropriate maintenance agencies
- g) HOD shall draw a preventive maintenance schedule and assigned ICT staff
- h) ICT staff conduct maintenance as per the schedule and submit reports
- i) HOD shall carry out an analysis of the maintenance report
- j) HOD shall take action for repair or replacement of necessary hardware and software systems
- k) HOD shall review the effectiveness of the procedures and close the activity schedule

7.0 ANNEXES

Available from Process Owner: HOD – ICT

ICT-2: ICT-BASED ONLINE SUPPORTS SERVICES PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ICT	REFERENCE NO.	KMF/QMS/OP/ICT/02
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: ICT-Based Online Supports Services Process	REVIEWED BY: SAM NGETE	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide ICT officer in KMFRI on the steps to be followed in the process of implementing online supports services.

2.0 SCOPE

The process covers all activities involved in the implementation and operationalization of online support services in KMFRI.

3.0 TERMS AND DEFINITIONS

- a) KMFRI - Kenya Marine and Fisheries Research Institute
- b) LAN - Local Area Network
- c) ICT - Information and Communication Technology

- d) ICTO - Information and Communication Technology Officer
- e) DKM – Data and Knowledge management unit

4.0 REFERENCES

- a) KMFRI Corporate Strategic Plan 2010 - 2015
- b) KMFRI Research Policy 2010
- c) KMFRI Service Charter 2008
- d) Manufacturers’ manuals for hardware and software
- e) ICT security policy
- f) ICT strategic plan
- g) E-governance standards
- h) ICT Policy (draft)
- i) Data Management Policy

5.0 PRINCIPAL RESPONSIBILITY

The Head of ICT shall ensure that the implementations and operationalization process of online support services in KMFRI are followed.

6.0 PROCESS DETAILS

- a) The HOD ICT shall identify the needs for online support services for the institution
- b) HOD shall design service requirements
- c) The user department head shall approve the designed service requirements
- d) The HOD ICT shall identify ICT Officers to implement the services or forward the designed service requirement to procurement for out sourcing
- e) The HOD ICT shall review the product and hand the product to user department for testing and acceptance
- f) ICTO shall document the process and product for maintenance

7.0 ANNEXES

Available from Process Owner: HOD – ICT

ICT-3: HARDWARE AND SOFTWARE SUPPORT SERVICES PROCESSES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ICT	REFERENCE NO.	KMF/QMS/OP/ICT/03
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: Hardware and Software Support Services Process	REVIEWED BY: SAM NGETE	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide ICT officer in KMFRI on the procedures for giving hardware and software support services.

2.0 SCOPE

The process covers all the hardware and software systems in KMFRI.

3.0 TERMS AND DEFINITIONS

- c) KMFRI - Kenya Marine and Fisheries Research Institute
- d) LAN - Local Area Network
- e) ICT - Information and Communication Technology
- f) ICTO - Information and Communication Technology Officer

- g) DKM – Data and Knowledge management unit

4.0 REFERENCES

- a) KMFRI Corporate Strategic Plan 2016 - 2019
- b) KMFRI Research Policy 2010
- c) KMFRI Service Charter 2008
- d) Existing manufactures manual for hardware and software
- e) ICT security policy
- f) ICT strategic plan
- g) E-governance standards
- h) ICT Policy (draft)
- i) Data Management Policy

5.0 PRINCIPAL RESPONSIBILITY

The Head of ICT shall ensure that the support services are provided for all hardware and software in KMFRI

6.0 PROCESS DETAILS

6.1. Activity - 1 (Routine preventive maintenance)

- a) The HOD shall instruct ICTO to prepare maintenance inventory and user needs for ICT systems
- b) The HOD shall approve the maintenance inventory, prepare maintenance schedule and prepare technical specifications for additional ICT systems
- c) ICTO shall conduct schedule maintenance as per maintenance manual, if there is a problem that requires outsourcing services, ICTO shall prepare a report to HOD
- d) HOD shall provide specification for the services and forward it to Procurement Department for Directors approval
- e) HOD shall review the effectiveness of the action and close the activities.
- f) HOD ICT shall develop a maintenance chart to task appropriate maintenance agencies through procurement department
- g) Draw a preventive maintenance program and circulate to ICT staff
- h) ICT staff conduct maintenance as per program using ICT Form I
- i) Monitor and evaluate the maintenance carried out
- j) Carry out an analysis of the maintenance report
- k) Take action for repair or replacement

6.2 Activity 2 (Incident reported by user)

- a) User shall report ICT problem through helpdesk login system

- b) The user shall receive an automated open ticket for the problem
- c) ICTO shall allocate the ticket task accordingly to available ICT staff with a copy to department head
- d) The ICT officer shall solve the task and close the ticket
- e) If the problem cannot be solved internally ICTO shall write a report with details to the HOD for further action
- f) HOD shall request for approval for outsourcing the service
- g) Once the problem is solved, the System shall be tested by ICTO and ticket closed
- h) The ICT system shall be deployed back to the user

7.0 ANNEXES

Available from Process Owner: HOD – ICT

ICT-4: COLLECTION DEVELOPMENT SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ICT	REFERENCE NO.	KMF/QMS/OP/ICT/04
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: Collection Development	REVIEWED BY: SAM NGETE	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to ensure information needs of staff/customer is met

2.0 SCOPE

The procedure covers all collections in the KMFRI Library.

3.0 TERMS AND DEFINITIONS

- (a) DDC- Dewey decimal classification
- (b) Agri-Ocean Dspace - KMFRI Library Repository
- (c) IAMS LIC- International association of Marine Science Libraries and Information Centre
- (d) ASFA- Aquatic Science Fisheries Abstract

4.0 REFERENCES

- a) Dewey decimal classification 19th Ed
- b) KMFRI Institutional Repository
- c) ASFISIS Reference Series

5.0 PRINCIPAL RESPONSIBILITY

The HOD-LIB shall ensure that the process is in place and adhered to

6.0 PROCESS DETAILS

- a) The Library assistant shall receive, verify and record the document in the accession register by labeling it with a unique code.
- b) The Librarian shall acknowledge receipt of documents from the donors /Organizations communicate through email to all users on availability of the documents.
- c) The document shall be given a security stamp on a specified page.
- d) The document shall be catalogued and classified in the KMFRI Repository
- e) A communication shall be made through an email to all users on the availability of the document
- f) The Library assistant shall spine marking the document and place it on the display rack for two weeks before transferring it to the Shelf.

7.0 ANNEXES

Available from Process Owner: HOD – ICT

ICT-5: DOCUMENT REQUEST HANDLING SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ICT	REFERENCE NO.	KMF/QMS/OP/ICT/05
	REVISION NO.	01
	PREPARED BY:	<u>EDNAH ONDUSO</u>
TITLE: Document Request Handling Services	REVIEWED BY: SAM NGETE	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide all KMFRI library staff on the steps to be followed when handling document requests.

2.0 SCOPE

The scope covers all document requests made to KMFRI library.

3.0 TERMS AND DEFINITIONS

IAMSLIC – International Association of Marine Science Libraries and Information Centers

4.0 REFERENCES

- a) IAMS LIC – Z39.50
- b) KMFRI Research Policy 2010
- c) KMFRI Intellectual Property Rights Policy 2010
- d) Performance contracting guidelines
- e) Accession register
- f) KMFRI Library Repository (Dspace)

5.0 PRINCIPAL RESPONSIBILITY

The Chief Librarian shall be responsible for ensuring that the process for requesting document is followed.

6.0 PROCESS DETAILS

- a) The staff/customer shall inquire availability of a document
- b) customers shall be directed to fill LIB 1 form
- c) If the document is available, the Librarian shall verify the request (bibliographic information) and issue the document via e-mail to the staff/customers or hard copy
- d) In case the document is not available the librarian in KMFRI library, the Librarian shall make request from online Interlibrary Loan (ILL)
- e) If available online the document shall be processed by the Librarian and sent to the user by E-mail

7.0 ANNEXES

Available from Process Owner: HOD – ICT

MRT-1: PROVISION OF VESSELS FOR RESEARCH SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: MRT	REFERENCE NO.	KMF/QMS/OP/MRT/01
	REVISION NO.	01
	PREPARED BY:	<u>NICHOLAS NJERU</u>
TITLE: Document Request Handling Services	REVIEWED BY: DR. ERIC OKUKU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

To enhance timely assignment of vessels and offer quality support services for scientific activities.

2.0 SCOPE

It covers activities undertaken from the time the vessel requisition is made until the accomplishment of the cruise. It applies to KMFRI inshore, off shore and inland waters research activities undertaken using research vessels.

3.0 TERMS AND DEFINITIONS

- a) Program – The main scientific theme around which various research and survey projects and sea cruises are centered
- b) Cruise – The set of operations at sea carried out within the framework of a project on a given vessel for an uninterrupted period of time
- c) Schedule – A considered, negotiated and published series of cruises for a research and survey vessel.
- d) Captain – The person in command of a vessel (Captain).
- e) MF – The Senior Master Fisherman is overall in charge of the Maritime Department
- f) Chief Engineer – Engineer in charge on board
- g) Senior Scientist – The cruise leader and overall scientist in charge on board.
- h) Officer in charge of Cruises – Officer responsible for Cruise Coordination.
- i) Ship – KMFRI vessels of 10 tons register tonnage upwards.
- j) S &T committee – Scientific and Technical committee
- k) SOLAS, 1974 – International convention on the safety of life at sea.
- l) STCW 1978 – International convention on the standards training, certification and watch keeping
- m) ISM CODE – International safety management
- n) CLL, 1966 – International convention on load line.

4.0 REFERENCES

- a) KMFRI General Cruise Instructions and Fleet Guidelines, 2009
- b) Kenya Merchant Shipping Act
- c) Kenya Ports Authority Act
- d) KMFRI Research Policy
- e) KMFRI Strategic plan, 2016-2020
- f) Kenya Maritime Authority Act,
- g) SOLAS, 1974 as amended
- h) STCW, 1978 as amended
- i) ISPS Code
- j) ISM Code

5.0 PRINCIPAL RESPONSIBILITY

The HOD shall ensure that the process is in place and adhered to

6.0 PROCESS DETAILS

- a) At the beginning of each quarter, the HOD-Maritime shall request the Scientists to apply vessel time by submitting Form MRT 1 (Ship request form) and Form MRT 2 (Small vessel request) to the HOD-Maritime

- b) The HOD-Maritime shall liaise with the scientific and technical committee to screen, prioritize and grouping the requests for MRT 1 (Ship forms) and the Form MRT 2 (Small vessel) and consolidating them into a master list (MRT 3 and MRT 4)
- c) The HOD-Maritime shall use form MRT 3 (Ship schedule form) and form MRT 4 (Small vessel schedule form) to schedule and plan for vessel release which shall be published and distributed to the Scientific and Technical Committee (S & T) and to all relevant players.
- d) For ship-based cruises, before commencement of cruises, the Senior Scientist shall prepare and submit to the HOD-Maritime the ship cruise plan (Form MRT 5) which shall be done at least one month in advance for the MF to make the necessary arrangements.
- e) A briefing session meeting shall be held to discuss form MRT 5 and related cruise matters prior to sailing.
- f) Approximately ten days before sailing time, the HOD-Maritime shall issue sailing order (form MRT 6) for the particular cruise to the Vessel Captain, together with the ship cruise plan (form MRT 5).
- g) The Captain shall command the ship during the cruise as per KMFRI General Cruise Instructions and Fleet Guidelines, 2009.
- h) At the conclusion of the Ship cruise the Senior Scientist shall compile a Cruise Summary Report (Form MRT 7)
- i) i) The debriefing meeting for ship cruises shall be held after the cruise at most within twenty-four hours, whose meeting shall be attended by the Senior Scientist, Captain, Chief Engineer, HOD-Maritime and other cruise participants. The cruise summary report shall form the background for discussion.
- j) For small vessels the HOD-Maritime shall approve Form MRT 2 (Small vessel request form) upon which the relevant operations officer shall assign a coxswain to command it in compliance with International standards(COLREGS) and KMFRI small vessel operation standing instructions.
- k) Upon completion of the cruise, the scientist in-charge shall compile form MRT 2 Part 'B' (Accomplishment and problems) and submit to operation supervisor.
- l) The records of vessel operation shall be kept and reviewed quarterly for maritime department operations improvement.

7.0 ANNEXES

Available from Process Owner: HOD – MRT

MRT-2: PROVISION OF VESSELS FOR RESEARCH SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: MRT	REFERENCE NO.	KMF/QMS/OP/MRT/02
	REVISION NO.	01
	PREPARED BY:	<u>NICHOLAS NJERU</u>
TITLE: Repair and Maintenance of Vessels	REVIEWED BY: DR. ERIC OKUKU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

To provide guidelines on steps to be followed during scheduled vessel maintenance and repair.

2.0 SCOPE

It covers the activities taken from the time defects are detected until the repairs are done. It applies to all institute vessels.

3.0 TERMS AND DEFINITIONS

- a) Refit – Work done to a vessel during scheduled period, at which time annual or special inspections are conducted on the vessel and her equipment are brought up to standards for operation readiness.

- b) Ship defect list – A list of work required for refit, repair / scheduled maintenance.
- c) Classification Society – Firms that carry out quality control survey of ships, usually during each refit or major repairs in order to provide an independent high quality review of all aspects of the ship.
- d) Repair – Work done in rectifying damage or defects to restore the efficiency of the vessel or her equipment.
- e) MF – Overall in charge of the Maritime Department

4.0 REFERENCES

- a) KMFRI General Cruise Instructions and Fleet Guidelines, 2009
- b) Kenya Merchant Shipping Act
- c) Kenya Ports authority Act
- d) KMFRI Research Policy
- e) KMFRI Strategic plan, 2016-2020
- f) Kenya Maritime Authority Act,
- g) SOLAS, 1974 as amended
- h) STCW , 1978 as amended
- i) ISPS Code
- j) ISM Code

5.0 PRINCIPAL RESPONSIBILITY

The head of maritime department is responsible to ensure that procedure is in place and adhered to.

6.0 PROCESS DETAILS

- a) The HOD-Maritime (Master Fisherman) shall develop a maintenance schedule and submit to the Director for approval.
- b) Upon approval, the HOD-Maritime shall communicate and create awareness on the approved maintenance schedule to Maritime staff
- c) The Master Fisherman shall, on a quarterly basis, issue instructions to special officers (operation Officer, coxswain, dive master) calling for the generation of defect lists (refit items) and to initiate the maintenance process by developing a defects schedule specific to their operations.
- d) The defects schedule shall be recorded in respective forms; defects in the Ship (defect list form MRT 8), defects in Small vessel (defect list form MRT 9), and for other equipment, and these shall be submitted to HOD-Maritime for review and ownership.
- e) The HOD-Maritime, in consultation with the relevant special officers, shall prepare detailed refit specifications: for ship in form MRT 10, Small vessels in form MRT 11 and for other equipment,.

- f) The detailed specifications shall be submitted by the HOD-Maritime to the Director for approval
- g) Upon approval the detailed specifications shall be submitted to the procuring entity to source for service providers for major defects
- h) For minor defects maintenance shall be undertaken by maritime staff: for small vessels maintenance shall be undertaken by Coxswains and Seamen; for other maritime equipment maintenance shall be undertaken by Mechanics and Divers
- i) Records of maintenance shall be recorded in Form MRT 12
- j) Upon conclusion of maintenance and refits of ship, small vessels and other maritime equipment, confirmation tests shall be undertaken by recognized classification agencies
- k) For large vessels, upon satisfactory and successful inspection by classification agencies, a final meeting shall be convened to close the maintenance contract the classification agency shall issue the appropriate certificate.
- l) The large vessel shall then be mobilized to the designated anchorage area
- m) HOD-Maritime shall analyze data for vessel and equipment downtime associated with maintenance and compare with targeted vessel uptime and submit reports to research management

7.0 ANNEXES

Available from Process Owner: HOD – MRT

LAB-1: SAMPLE MANAGEMENT AND ANALYSIS SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: LAB	REFERENCE NO.	KMF/QMS/OP/LAB/01
	REVISION NO.	01
	PREPARED BY:	<u>SAMUEL NDIRANGU</u>
TITLE: Sample Management and Analysis Services	REVIEWED BY: PATRICK MATHENDU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of the process is to guide on steps to be taken to manage and perform analysis of samples at KMFRI laboratories.

2.0 SCOPE

The process will cover all the activities after the sample has been received in the laboratory to the time the results are availed to the client. This applies to all sample analysis performed according to the recommended SOPs.

3.0 TERMS AND DEFINITIONS

- a) LAB Laboratory
- b) SLT Senior Laboratory Technologist

- c) HOD Head of department
- d) KMFRI Kenya Marine and Fisheries Research Institute
- e) KES KMFRI Enterprise Services
- f) SOPs Standard Operating Procedures
- g) RS Research Scientist
- h) Technical staff Laboratory analyst/ technologist/technician

4.0 REFERENCES

- a) Standard Operating Procedures Standard Methods of Sampling and Analysis
- b) Equipment Manuals
- c) Identification Manuals
- d) KMFRI Safety Code
- e) KMFRI Laboratory Hazardous Waste Management and Disposal Manual 2011
- f) Occupational Health and Safety Act, 2007
- g) National Environmental Management Authority Regulations
- h) International Atomic Energy Agency Regulation
- i) Radiation Protection Board Regulations

5.0 PRINCIPAL RESPONSIBILITY

The HOD-Lab shall ensure that the process is in place and adhered to.

6.0 PROCESS DETAILS

6.1 Sample Management and Analysis

- a) The HOD-Lab shall develop/update sample management guidelines and standards and issue instructions to respective LUH
- b) SLT shall create awareness within technical staff in their jurisdiction on the applicable sample management and analysis guidelines
- c) Samples for analysis shall be delivered to the laboratory by the client and handed over to the SLT in-charge of sample acceptance.
- d) The SLT in-charge of sample acceptance shall accept/reject the samples using form LB 1 and store them appropriately using form LB 2 as per the SOPs.
- e) The SLT in-charge of sample acceptance shall hand over the samples to respective LUHs who will instruct the technical staff to undertake analysis according to specific work instructions.
- f) The technical staff shall undertake analysis as instructed and observe quality control standards as outlined in form LB 3.
- g) The technical staff shall record the results in hard/soft copy and forward to the SLT for verification and quality checks.

- h) The SLT shall validate the result of analysis and store in an appropriate database.
- i) The SLT shall forward copy of results using issuance form (LB 4) to the HOD for validation and ownership
- j) The HOD-Lab shall issue the results of analysis with form (LB 4) attached to the client who will countersign the form.
- k) Results and records of analysis and turnaround time shall be retained by the relevant SLT for performance monitoring.

7.0 ANNEXES

Available from Process Owner: HOD – LABS

LAB-2: MAINTENANCE, SERVICING AND CALIBRATION OF LABORATORY EQUIPMENT

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: LAB	REFERENCE NO.	KMF/QMS/OP/LAB/02
	REVISION NO.	01
	PREPARED BY:	<u>SAMUEL NDIRANGU</u>
<u>TITLE:</u> Maintenances, Servicing and Calibration of Laboratory Equipment	REVIEWED BY: PATRICK MATHENDU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of the process is to guide on steps to be followed on maintenance, servicing and calibration of laboratory equipment

2.0 SCOPE

This process will cover maintenance, servicing and calibration of laboratory equipment at KMFRI laboratories.

3.0 TERMS AND DEFINITIONS

- a) SLT Senior Laboratory Technologist

- b) HOD Head of department
- c) KMFRI Kenya Marine and Fisheries Research Institute
- d) CD Centre Director
- e) SC Station Coordinator
- f) SCM Supplies Chain Management
- g) Lab Laboratory

4.0 REFERENCES

- a) Equipment Manuals
- b) Standard Operating Procedures
- c) Laboratory Equipment Maintenance/Calibration Schedule
- d) Manufactures equipment manuals & guidelines

5.0 PRINCIPAL RESPONSIBILITY

The HOD-Lab shall ensure that the process is in place and adhered to.

6.0 PROCESS DETAILS

6.1 Maintenance, servicing and calibration of laboratory equipment

- a) The HOD-Lab shall prepare the schedule for maintenance, servicing and calibration of laboratory equipment and submit the same for approval to the Director.
- b) The HOD-Lab shall communicate the approved maintenance, servicing and calibration schedule to SLT
- c) The SLT shall, in liaison with the instrumentation technologist, carry out scheduled maintenance checks in every quarter of the financial year and record the observations of equipment status in laboratory equipment maintenance form (LB 5) as per the approved maintenance, servicing and calibration work plan.
- d) The instrumentation technologist shall use form LB 5 to generate laboratory equipment defects and record these in a schedule (form LB 6), carry out tests to ascertain if intervention is required.
- e) Where maintenance and repair works are required, the instrumentation technologist shall determine if the repair, servicing and calibration can be done internally or whether the services need to be outsourced from a specialist service provider.
- f) The instrumentation technologist shall liaise with SLT to develop and provide specifications for repair, servicing and calibration requirements and forward to the HOD-lab for recommendation and subsequent submission to the Director for approval.
- g) Upon approval, the HOD-Labs shall liaise with the procuring entity for the repair, servicing or calibration as the case may be.

- h) Upon completion of the procurement process, the HOD-Lab shall verify, validate and test the equipment for “goodness of fit” and maintain a record.
- i) HOD-Lab shall analyze data for equipment downtime associated with maintenance and calibration and compare with targeted uptime levels and submit reports to research management.

6. 2 Emergency repairs and servicing of laboratory equipment

- a) In case of sudden equipment breakdown the responsible SLT shall report the case to the Instrumentation SLT by filling equipment defect form (LB 7)
- b) The instrumentation SLT shall test the equipment, counter sign form LB 7 and determine if the repair, servicing and calibration can be done internally or whether the services could be outsourced.
- c) The instrumentation technologist shall provide specifications for repair, servicing and calibration requirements and submit the same to SLT for value addition.
- d) The SLT shall study the specifications and forward to HOD-Labs for recommendation and subsequent submission to the Director for approval.
- e) Upon approval, the HOD-Labs shall liaise with the procuring entity for the repair, servicing or calibration as the case may be.
- f) Upon completion of the procurement process, the HOD-Labs shall verify, validate and test the equipment for “goodness of fit” and maintain a record.

7.0 ANNEXES

Available from Process Owner: HOD – LABS

LAB-3: DISPOSAL OF LABORATORY WASTE

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: LAB	REFERENCE NO.	KMF/QMS/OP/LAB/03
	REVISION NO.	01
	PREPARED BY:	<u>SAMUEL NDIRANGU</u>
TITLE: Disposal of Laboratory Waste	REVIEWED BY: PATRICK MATHENDU	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of the process is to guide on the steps to be followed to dispose hazardous and nonhazardous waste items generated by research laboratories.

2.0 SCOPE

This process applies to all KMFRI laboratories wastes.

3.0 TERMS AND DEFINITIONS

- a) SLT Senior Laboratory Technologist
- b) SOPs Standard Operating Procedures.
- c) SCM Supply Chain Management
- d) Technical staff Laboratory Analysts, Technologists and Technicians
- e) Special wastes Includes sharps and hazardous radiological, chemical and biological wastes.

4.0 REFERENCES

- a) KMFRI Safety Code
- b) KMFRI Laboratory Hazardous Waste Management and Disposal Manual 2011
- c) Standard Operating Procedures
- d) Occupational Health and Safety Act, 2007
- e) National Environmental Management Authority Regulations
- f) International Atomic Energy Agency Regulation
- g) Radiation Protection Board Regulations.

5.0 PRINCIPAL RESPONSIBILITY

The HOD shall ensure that the process is in place and adhered to

6.0 PROCESS DETAILS

- a) The HOD lab shall prepare a schedule controlling waste management and issue to LUH for use at their respective laboratories.
- b) SLT shall create awareness to laboratory staff on applicable laboratory waste management guidelines and standards.
- c) The technical staff shall ensure that waste containers are well labeled and compatible with the type of waste, collection methods and sorting regimes.
- d) The technical staff shall record waste by their type, composition and quantity in laboratory waste log form (LB 8), and put in designated labeled containers and forward LB8 to the SLT for recommendations.
- e) The SLT shall determine on form (LB 8) whether the waste will be disposed on site or stored for specialized disposal as per standard disposal procedures for laboratory waste and regulatory guidelines.
- f) In case of special wastes, the SLT shall request for procurement of specialized disposal services in line with nature and character of the waste through form LB 8 attached and forward to HOD for recommendation.
- g) The HOD shall recommend the requisition and forward to the Supplies Chains Management Department for further action.
- h) Records of waste collected and disposed shall be maintained as evidence for compliance to the internal laboratory waste management guidelines.

7.0 ANNEXES

Available from Process Owner: HOD – LABS

CAM-1: SERVICE DELIVERY

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: CAM	REFERENCE NO.	KMF/QMS/OP/CAM/01
	REVISION NO.	01
	PREPARED BY:	<u>BRENDA SHIMOLI</u>
TITLE: Service Delivery	REVIEWED BY: JANE KIGUTA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to guide on how to enhance service delivery to customers to achieve the institute's overall goal.

2.0 SCOPE

The procedure covers all activities involved in delivering quality services to internal and external customers as outlined in KMFRI's service delivery charter.

3.0 TERMS AND DEFINITIONS

- a) KMFRI: Kenya Marine and Fisheries Research Institute
- b) SC: Corporate Affairs Department
- c) PC: Performance contracting

- d) PCC: Public Complaints Committee

4.0 REFERENCES

- a) Public Relations Code of Ethics
- b) KMFRI Corporate Strategic Plan 2016- 2020
- c) Performance Contracting Targets
- d) Applicable rules, policies and regulations

5.0 PRINCIPAL RESPONSIBILITY

Head of Department (Corporate Affairs Department) shall ensure that the procedure is in place and adhered to.

6.0 PROCESS DETAILS

- a) The HOD –Corporate Affairs in consultation with the Heads of Department shall identify the service points and develop and customize service level standards.
- b) The HOD- Corporate Affairs in consultation with the Heads of Department shall designate officers to man the service delivery points.
- c) The HOD- Corporate Affairs shall receive feedback (complaints and compliments) via e-mail, website, telephone, social media, respective functions, ombudsman, face to face, after which these shall be captured and aligned to various stakeholders.
- d) All complaints/compliments shall be acknowledged by the respective Heads of Department, and complaints resolved as per the procedure.
- e) The complaints/compliments register shall have the following details;
 - i. Date when the complaint/compliment was captured
 - ii. Reference number
 - iii. Customer details
 - iv. Nature of feedback
 - v. Reporting channel
- f) The complaints/compliments register shall have the following details;
- g) All complaints shall be expeditiously resolved at the point of lodge. In cases where the complaint cannot be resolved at the point of lodge, they shall be escalated to the relevant resolution officers
- h) Feedback forms shall be used and made available at the point of lodge.
- i) All complaints received and lodged shall be analyzed monthly, and results forwarded to HOD Corporate Affairs
- j) The HOD- Corporate Affairs in consultation with the Management Representative shall prepare quarterly corrective actions to be presented during Management review
- k) These results of corrective actions shall be discussed during management review meeting.

7.0 ANNEXES

Available from Process Owner: HOD – CAM

CAM-2: STAKEHOLDER ENGAGEMENT

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: CAM	REFERENCE NO.	KMF/QMS/OP/CAM/02
	REVISION NO.	01
	PREPARED BY:	<u>BRENDA SHIMOLI</u>
TITLE: Stakeholder Engagement	REVIEWED BY: JANE KIGUTA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to guide Corporate Affairs Department on how to promote positive coverage of KMFRI through mainstream and alternative media to enhance its visibility, enhance relationships and build image.

2.0 SCOPE

The procedure covers all media outlets that will be used for publicity

3.0 TERMS AND DEFINITIONS

- a) GAA: Government Advertising Agency
- b) SPRO: Senior Public Relations Office

4.0 REFERENCES

- a) KMFRI Communications Strategy, 2019 ED
- b) KMFRI Communications Policy, 2019 ED
- c) Public Relations Code of Ethics, 2019 ED
- d) KMFRI Corporate Strategic Plan 2016- 2020
- e) Applicable Performance Contracting Targets
- f) Applicable rules, policies and regulations

5.0 PRINCIPAL RESPONSIBILITY

Head of Department-Corporate Affairs shall ensure that the procedure is in place and adhered to.

6.0 PROCESS DETAILS

- a) The HOD-Corporate Affairs shall define and develop KMFRI publicity statement by listing the objectives the organization plans to achieve through the publicity plan which includes target media
- b) The HOD-Corporate Affairs shall develop a publicity plan and seek approval from the Director
- c) The HOD-Corporate Affairs shall periodically develop story angles keeping in mind the media that will be approached through a brain storming session with team from area under focus
- d) The HOD-Corporate Affairs shall submit the story angle for approval by Director thereafter make follow up plan with the identified media
- e) The HOD-Corporate Affairs shall carry out impact through evaluation of the publicity done and maintain record

7.0 ANNEXES

Available from Process Owner: HOD – CAM

CAM-3: PUBLICITY PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: CAM	REFERENCE NO.	KMF/QMS/OP/CAM/03
	REVISION NO.	01
	PREPARED BY:	<u>BRENDA SHIMOLI</u>
TITLE: Publicity Process	REVIEWED BY: JANE KIGUTA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to guide Strategic Communications Department on how to promote positive coverage of KMFRI through mainstream and alternative media to enhance its visibility, enhance relationships and build image.

2.0 SCOPE

The procedure covers all media outlets that will be used for publicity.

3.0 TERMS AND DEFINITIONS

- a) GAA: Government Advertising Agency
- b) SPRO: Senior Public Relations Office

4.0 REFERENCES

- a) KMFRI Communications Strategy, 2019 ED
- b) KMFRI Communications Policy, 2019 ED
- c) Public Relations Code of Ethics, 2019 ED
- d) KMFRI Corporate Strategic Plan 2016- 2020
- e) Applicable Performance Contracting Targets
- f) Applicable rules, policies and regulations

5.0 PRINCIPAL RESPONSIBILITY

Head of Department (Strategic Communications) shall ensure that the procedure is in place and adhered to

6.0 PROCESS DETAILS

- a) The head Corporate Affairs together in consultation with Heads of Departments shall identify stakeholders using the following criteria;
 - i. Contribution-Knowledge of KMFRI
 - ii. Legitimacy- Directly affected by the Institute’s activities
 - iii. Willingness to engage with KMFRI
 - iv. Influence on KMFRI
 - v. Necessity of Involvement-Outspoken Stakeholders
- b) The HOD-PR shall thereafter in consultation with Head of Department identify the expectations and the key priority areas of engagement at the beginning of each financial year and develop an engagement plan.
- c) The HOD-PR shall seek approval from the Director to implement the stakeholder engagement plan.
- d) The HOD-PR shall implement the stakeholder engagement plan for the financial year in consultation with the Heads of Department
- e) The HOD-PR shall monitor and evaluate the stakeholder engagement plan on a quarterly basis
- f) At the end of the financial year, the HOD-PR shall conduct stakeholder analysis with a view of improving the plan for the next financial year based on input and feedback from stakeholders.

7.0 ANNEXES

Available from Process Owner: HOD – CAM

FIN-1: FIXED ASSETS MANAGEMENT PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: FIN	REFERENCE NO.	KMF/QMS/OP/FIN/01
	REVISION NO.	01
	PREPARED BY:	<u>PATRICK CHACHA</u>
TITLE: Fixed Assets Management Process	REVIEWED BY: NYAKUNDI NYANGOTO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide all staff members in Finance Department in KMFRI on the management of fixed assets.

2.0 SCOPE

The scope shall cover all the processes of acquisition, maintenance and disposal of fixed assets at KMFRI.

3.0 TERMS & DEFINITIONS

- a) KMFRI -Kenya Marine and Fisheries Research Institute
- b) GOK -Government of Kenya
- c) TNA -The National Treasury
- d) BOM -Board of Management
- e) DIR -Director

- f) DD(F&A) -Deputy Director (Finance & Administration)
- g) CA -Chief Accountant
- h) IRF -Imprest Requisition Form
- i) IW -Imprest Warrant
- j) PCRFB -Personal Claim Requisition Form
- k) PV -Payment Voucher
- l) SV -Surrender Voucher
- m) HR -Human Resource
- n) ERP -Enterprise Resource Planning
- o) GL -General Ledger
- p) Head of Section - In charge of a section, leader scientist, Project Coordinator.

4.0 REFERENCES

- a) International Public Sector Accounting Standards (IPSAS)
- b) International Financial Reporting Standards (IFRS)
- c) Public Finance Management Act, No 18 2012
- d) Public procurement & Asset Disposal Act 2015
- e) KMFRI Financial Regulations
- f) Treasury Circulars

5.0 PRINCIPAL RESPONSIBILITY

The HOD-Finance shall ensure that the process is followed

6.0 PROCESS DETAILS

- a) Accountant in charge shall make reference to the asset register
- b) Accountant in charge shall Recognize all disposed and obsolete assets/acquisitions and revaluation
- c) Accountant in charge shall Charge depreciation
- d) Accountant in charge shall update the asset register
- e) The chief accountant shall approve the updated asset register

7.0 ANNEXES

Available from Process Owner: HOD – FIN

FIN-2: FINANCIAL REPORTING PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: FIN	REFERENCE NO.	KMF/QMS/OP/FIN/02
	REVISION NO.	01
	PREPARED BY:	PATRICK CHACHA
TITLE: Financial Reporting Process	REVIEWED BY: NYAKUNDI NYANGOTO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide all staff in the Finance Department on the steps to follow when preparing the quarterly and annual financial statements

2.0 SCOPE

The scope shall cover all the processes of preparing and subsequent submission of annual financial statements.

3.0 TERMS & DEFINITIONS

- a) KMFRI -Kenya Marine and Fisheries Research Institute
- b) GOK -Government of Kenya
- c) TNA -The National Treasury

- d) BOM -Board of Management
- e) DIR -Director
- f) DD(F&A) -Deputy Director (Finance & Administration)
- g) CA -Chief Accountant
- h) IRF -Imprest Requisition Form
- i) IW -Imprest Warrant
- j) PCRf -Personal Claim Requisition Form
- k) PV -Payment Voucher
- l) SV -Surrender Voucher
- m) HR -Human Resource
- n) ERP -Enterprise Resource Planning
- o) GL -General Ledger
- p) Head of Section - In charge of a section, leader scientist, Project Coordinator.

4.0 REFERENCES

- a) International Public Sector Accounting Standards (IPSAS)
- b) International Financial Reporting Standards (IFRS)
- c) Public Finance Management Act, No 18 2012
- d) Public procurement & Asset Disposal Act 2015
- e) KMFRI Financial Regulations
- f) Treasury Circulars

5.0 PRINCIPAL RESPONSIBILITY

The HOD-Finance shall ensure that the process is follow

6. PROCESS DETAILS

- a) The accountant in charge shall generate a trial balance
- b) The accountant in charge shall prepare an annual financial statement and report to the HOD-Finance
- c) The HOD-Finance shall prepare a Board paper and submit to the Director.
- d) The Director shall submit the Board papers to the BoM for approval
- e) If approved, the Board papers are submitted to the Auditor General, if not it is taken back to the director for amendments

7.0 ANNEXES

Available from Process Owner: HOD – FIN

FIN-3: FINANCIAL PAYMENT PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: FIN	REFERENCE NO.	KMF/QMS/OP/FIN/03
	REVISION NO.	01
	PREPARED BY:	<u>PATRICK CHACHA</u>
TITLE: Financial Payment Process	REVIEWED BY: NYAKUNDI NYANGOTO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide all staff and vendors on the steps to be followed while making requisitions and processing of payments in KMFRI.

2.0 SCOPE

The scope shall cover all KMFRI Staff and vendors.

3.0 TERMS AND DEFINITIONS

- a) KMFRI -Kenya Marine and Fisheries Research Institute
- b) GOK -Government of Kenya
- c) TNA -The National Treasury
- d) BOM -Board of Management
- e) DIR -Director

- f) DD(F&A) -Deputy Director (Finance & Administration)
- g) CA -Chief Accountant
- h) IRF -Imprest Requisition Form
- i) IW -Imprest Warrant
- j) PCRf -Personal Claim Requisition Form
- k) PV -Payment Voucher
- l) SV -Surrender Voucher
- m) HR -Human Resource
- n) ERP -Enterprise Resource Planning
- o) GL -General Ledger
- p) Head of Section - In charge of a section, leader scientist, Project Coordinator.

4.0 REFERENCES

- a) International Public Sector Accounting Standards (IPSAS)
- b) International Financial Reporting Standards (IFRS)
- c) Public Finance Management Act, No 18 2012
- d) Public Procurement & Asset Disposal Act 2015
- e) Relevant GOK Printed Estimates
- f) Annual performance contract targets
- g) KMFRI Financial Regulations
- h) KMFRI Strategic Plan 2016 - 2020
- i) Treasury Circulars

5.0 PRINCIPAL RESPONSIBILITY

The HOD Finance shall ensure that the process followed

6.0 PROCESS DETAILS

- a) A user fills imprest request form/ imprest surrender form/ personal claim form/ receiving of invoices.
- b) Approval of the request is done by the Director
- c) Updating of Creditors/Debtors ledger is done by the accountant incharge
- d) Preparation of the imprest warrant/surrender voucher/payment voucher is done by Accounts clerk
- e) Certification of the surrender voucher/payment voucher is done by User Department
- f) Recommendation of the imprest warrant/surrender voucher/payment voucher is done by CA
- g) Authorization of the imprest warrant/surrender voucher/payment voucher is done by Director.

- h) Numbering of the imprest warrant/surrender voucher/payment voucher is done by Accounts clerk
- i) Examination of the imprest warrant/surrender voucher/payment voucher is done by Accounts clerk
- j) Payment processing of the imprest warrant/surrender voucher/payment voucher is done by Cashier
- k) Posting into ERP of the imprest warrant/surrender voucher/payment voucher is done by the accountant
- l) Cheque dispatch to suppliers/staff is done by Cashier
- m) General Ledger updating is done by the Accountant
- n) Filing of the imprest warrant/surrender voucher/payment voucher by Accounts clerk

7.0 ANNEXES

Available from Process Owner: HOD – FIN

ADM-1: MANAGEMENT OF INDUSTRIAL RELATIONS AND INSTITUTE POLICIES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ADM	REFERENCE NO.	KMF/QMS/OP/ADM/01
	REVISION NO.	01
	PREPARED BY:	EVANS NYAKONI
TITLE: Management of Industrial Relations and Institute Policies	REVIEWED BY: IRENE GITHAIGA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to provide guidelines for managing industrial relations and policy process at KMFRI.

2.0 SCOPE

The scope shall cover the entire KMFRI functions in management of industrial relations and policy processes

3.0 TERMS AND DEFINITIONS

- a) KMFRI - Kenya Marine and Fisheries Research Institute
- b) BOM - Board of Management

- c) GOK - Government Circulars
- d) DDOWS - Deputy Director (Ocean Water Systems)
- e) DDFWS - Deputy Director (fresh Water Systems)
- f) HOD - Head of Department
- g) LO - Legal Officer
- h) SAO - Senior Administrative Officer
- i) AOS - Administration Officers
- j) MO - Maintenance Officer

4.0 REFERENCES

- a) KMFRI Terms & conditions of services, 2019 Eds
- b) KMFRI Scheme of service, 2019 Eds
- c) Relevant Gok circulars
- d) KMFRI Code of conduct, 2019 Eds
- e) KMFRI HR Manuals Approved for use
- f) Applicable KMFRI Policies and Procedures
- g) Applicable National and County Acts, By-Laws, Regulations

5.0 PRINCIPAL RESPONSIBILITY

HOD-Administration

6.0 PROCESS DETAILS

- a) The HOD-Admin in consultation with the LO shall prepare annual work plans and budget for management of industrial relations and policy processes
- b) The HOD-Admin shall submit annual work plans and budget to the Director for approval
- c) Upon approval, the HOD-Admin shall organize a staff sensitization meeting on Industrial Relations and policies
- d) The HOD-Admin with the LO shall hold an awareness meeting with the staff;
- e) After the awareness meeting, staff to implement Industrial Relations as per guidelines.
- f) Staff raise disputes for resolution by the LO as per guidelines
- g) The HOD-Admin in consultation with the LO shall hold a review meeting to implement feedback recommendations raised from the awareness meeting;

7.0 ANNEXES

Available from Process Owner: HOD – ADM

ADM-2: MANAGEMENT OF OFFICE SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ADM	REFERENCE NO.	KMF/QMS/OP/ADM/02
	REVISION NO.	01
	PREPARED BY:	EVANS NYAKONI
TITLE: Management of Office Services	REVIEWED BY: IRENE GITHAIGA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to provide guidelines on KMFRI's office services.

2.0 SCOPE

The scope of this process shall cover all office services in KMFRI

3.0 TERMS AND DEFINITIONS

BOM	-	Board of Management
GOK	-	Government Circulars
HOD	-	Head of Department
SAO	-	Senior Administrative Officer
MO	-	Maintenance Officer
BSC	-	Balance Score Card

AOs - Administrative Officers

4.0 REFERENCES

- a) KMFRI Terms & conditions of services, 2019 Eds
- b) KMFRI Scheme of service, 2019 Eds
- c) Relevant Gok circulars
- d) KMFRI Code of conduct, 2019 Eds
- e) KMFRI HR Manuals Approved for use
- f) Applicable KMFRI Policies and Procedures
- g) Applicable National and County Acts, By-Laws, Regulations

5.0 PRINCIPAL RESPONSIBILITY

HOD-Administration

6.0 PROCESS DETAILS

- a) The HOD-Admin shall identify and document office service standards (office space, cleanliness, security, water supply, electricity supply, general conservancy requirements)
- b) The HOD-Admin shall prepare annual work plans and budgets for office services standards and submit to the Director for approval.
- c) Upon approval, the HOD-Administration shall communicate the office services standards to departmental staff
- d) The HOD-Admin shall supervise execution of office services standards by delegating duties through Administration Officers
- e) The Administration Officer, shall collect scheduled data (daily, weekly, monthly as applicable) using standard forms on the performance of office service standards and submit to HOD-Admin on agreed scheduled intervals
- f) The HOD-Admin shall analyze and report on the performance of office service standards
- g) The HOD-Admin shall organize departmental quarterly meetings to provide information on service feedback and action plan required for addressing gaps reported in service standards.
- h) The HOD-Admin shall make follow ups on corrective action taken for addressing gaps reported in service standards;

7.0 ANNEXES

Available from Process Owner: HOD – ADM

ADM-3: MANAGEMENT OF OFFICE COMMUNICATION

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: ADM	REFERENCE NO.	KMF/QMS/OP/ADM/03
	REVISION NO.	01
	PREPARED BY:	<u>EVANS NYAKONI</u>
TITLE: Management of Office Communication	REVIEWED BY: IRENE GITHAIGA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to provide guidelines for management of internal communication services for effective communication at KMFRI.

2.0 SCOPE

This scope shall cover all internal communication services at KMFRI.

3.0 TERMS AND DEFINITIONS

BOM	-	Board of Management
GOK	-	Government Circulars
HOD	-	Head of Department
SAO	-	Senior Administrative Officer
MO	-	Maintenance Officer

- BSC - Balance Score Card
- AOs - Administrative Officers

4.0 REFERENCES

- a) KMFRI Terms & conditions of services, 2019 Eds
- b) KMFRI Scheme of service, 2019 Eds
- c) Relevant Gok circulars
- d) KMFRI Code of conduct, 2019 Eds
- e) KMFRI HR Manuals Approved for use
- f) Applicable KMFRI Policies and Procedures
- g) Applicable National and County Acts, By-Laws, Regulations

5.0 PRINCIPAL RESPONSIBILITY

The HOD-Admin shall ensure the internal communication guidelines are followed

6.0 PROCESS DETAILS

- a) The HOD-Admin shall engage other managers in administration and develop internal communication guidelines.
- b) The HOD-Admin shall then forward the developed internal communication guidelines to the Director for approval.
- c) If approved, the HOD-Admin shall communicate the internal communication guidelines to staff through awareness meeting.
- d) The HOD-Admin shall then ensure implementation of internal communication guidelines

7.0 ANNEXES

Available from Process Owner: HOD – ADM

MT-1: MAINTENANCE OF PLANT EQUIPMENT AND MACHINERY

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: MAINTAINANCE	REFERENCE NO.	KMF/QMS/OP/MT/01
	REVISION NO.	01
	PREPARED BY:	<u>DICKSON ALOYO</u>
TITLE: Maintenance of Plant Equipment and Machinery	REVIEWED BY: GABRIEL KITONGA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to regulate the planning and inspecting maintenance of equipment, plant and machines to minimize and prevent from unexpected incidents caused by machines influencing the plan and schedule of work.

2.0 SCOPE

The process covers all plant, machines and equipment in KMFRI.

3.0 TERMS AND DEFINITIONS

- a) **Maintenance:** Work performed to a facility or the fixed systems and building service equipment therein, for maintaining quality and function.

- b) **Planned maintenance:** Upkeep of property, machinery, and facilities, including buildings, utility systems, roads, and grounds. It is often characterized by its routine or recurring nature.
- c) **Preventive Maintenance:** Planned actions undertaken to retain an item at a specified level of performance by providing repetitive scheduled tasks that prolong system operation and useful life: inspection, cleaning, lubrication, and part replacement.
- d) **Repairs:** The reconstruction or renewal of any part of an existing facility for the purpose of maintenance or restoration of its state.

4.0 REFERENCES

Work plan/Schedules, Manufacturers’ Service manuals (guidelines, bulletins, reports) and the Occupational Safety and Healthy Act 2007 (OSHA 2007) version.

5.0 PRINCIPAL RESPONSIBILITY

The Maintenance Officer shall ensure that the process is in place and adhered to.

6.0 PROCESS DETAILS

- a) The maintenance officer shall make a list of all equipment, plant, buildings and machinery in coordination with Heads of departments (HODs) and prepare a work plan for Director’s approval.
- b) The MO will check the status of each, make a schedule of investigation based on the frequency of use, prepare for replacement, and repair with approval from the Director.
- c) The Maintenance Officer shall prepare a maintenance plan for provisioning of gears, tools and equipment and for maintenance of buildings (form KMF/MNT 7)
- d) The Maintenance Officer shall undertake regular maintenance/provisioning checks as per schedule and file records for appropriate remedial actions.
- e) When service, renovations and replacements are due, the Maintenance Officer shall complete/fill the maintenance /repairs/service requisition form and forward it to the Deputy Director (Finance & Administration) for recommendation (KMF/MNT/ 8).
- f) Director or Authorized representative shall authorize/approval maintenance, repairs, replacements, renovation and service (KMF/MNT 9)
- g) Maintenance Officer shall undertake equipment for maintenance/repairs/ service to authorized service providers and receive them back upon successful repairs. Where replacements of parts are required, the Maintenance Officer shall initiate the need for this purpose for further necessary action.
- h) A record of all maintenance/repairs/service/replacement undertaken shall be maintained in designed register.

7.0 ANNEXES

Available from Process Owner: HOD – MT

MT-2: MAINTENANCE OF VEHICLES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: MAINTAINANCE	REFERENCE NO.	KMF/QMS/OP/MT/02
	REVISION NO.	01
	PREPARED BY:	<u>DICKSON ALOYO</u>
TITLE: Maintenance of Vehicles	REVIEWED BY: GABRIEL KITONGA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to describe the method of conducting maintenance on office vehicles.

2.0 SCOPE

The process applies to all office vehicles

3.0 TERMS AND DEFINITIONS

- a) MO - Maintenance Officer
- b) SAO - Senior Administrative Officer
- c) TO - Transport Officer
- d) RO - Requisitioning Officer

4.0 REFERENCES

- a) Government circulars
- b) KMFRI Internal circulars on transport
- c) Code of Conduct

5.0 PRINCIPAL RESPONSIBILITY

The HOD Maintenance shall ensure that the process is followed.

6.0 PROCESS DETAILS

- a) A list of vehicles shall be prepared and maintained by the MO whenever a new vehicle is added or old vehicle disposed, the list shall be updated.
- b) Preventive Maintenance Based on working condition of vehicle plan shall be prepared:
- c) The above plan indicates checks to be carried out and frequency of check
- d) Maintenance activities are carried out by transport officer in charge.
- e) Breakdown maintenance; whenever a breakdown occurs necessary actions shall be initiated to set right the vehicle.
- f) The details of breakdown maintenance, parts replaced and other relevant information shall be recorded
- g) Commissioning of New vehicle; before being put in use, necessary trials shall be taken to ensure the suitability. If ok, then they shall be commissioned for the regular use and the list shall be updated.

7.0 ANNEXES

Available from Process Owner: HOD – MT

HR-1: EMPLOYEE RESOURCING PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: HR	REFERENCE NO.	KMF/QMS/OP/HR/01
	REVISION NO.	01
	PREPARED BY:	JAIRUS ODERO
TITLE: Employee Resourcing Process	REVIEWED BY: KENNEDY OMALLA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide Human resource department on employee resourcing (recruitment).

2.0 SCOPE

The process shall apply to all cases of KMFRI staff resourcing (recruitment).

3.0 TERMS AND DEFINITIONS

- a) HOD - Head of Department.
- b) KMFR -Kenya Marine and Fisheries Institute
- c) HRD - Human Resource Department
- d) HR - Human Resource.
- e) BOM - Board of management

- f) CBA -Collective Bargaining Agreement

4.0 REFERENCES

- a) KMFRI staff establishment
- b) KMFRI strategic plan
- c) KMFRI Terms and Conditions of service.
- d) The Constitution of Kenya 2010
- e) KMFRI Harmonized scheme of service for KMFRI employees
- f) Collective Bargaining Agreement (CBA).

5.0 PRINCIPAL RESPONSIBILITY

The head of HR shall ensure that the process for employee resourcing is adhered to.

6.0 PROCESS DETAILS

- a) HRD will conduct staffing gap analysis and submit report to Director for approval
- b) Director shall seek authority to recruit from the BOM (where necessary)
- c) HRD will prepare Job advert and ensure that the Jobs have been advertised as required.
- d) Director will constitute a shortlisting committee to shortlist prospective candidates.
- e) The shortlisting committee shall shortlist prospective candidates and forward recommendation report to Director.
- f) Director shall constitute an interview panel to conduct interviews and submit a report.
- g) The interview panel shall conduct interviews and submit a report to Director on successful and unsuccessful candidates.
- h) Director shall forward names of successful candidates to the BOM for authority to recruit.
- i) The BOM shall authorize Director to recruit the successful candidates.
- j) Director shall instruct HRD to issue appointment letters
- k) HRD shall issue appointment letters to successful candidates, notify unsuccessful candidates and deploy staff on first appointment.
- l) The HODs shall conduct a staff induction on assumption of duty by the new employees and assign duties on completion of induction.

7.0 ANNEXES

Available from Process Owner: HOD – HR

HR-2: TRAINING AND PROMOTION PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: HR	REFERENCE NO.	KMF/QMS/OP/HR/02
	REVISION NO.	01
	PREPARED BY:	JAIRUS ODERO
TITLE: Training and Promotion Process	REVIEWED BY: KENNEDY OMALLA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide KMFRI management and staff on training and promotion

2.0 SCOPE

The process shall cover training and promotion requirements for all KMFRI employees including attachment and internship opportunities.

3.0 TERMS AND DEFINITIONS

- a) HOD - Head of Department.
- b) KMFR - Kenya Marine and Fisheries Institute
- c) HRD - Human Resource Department
- d) HR - Human Resource.
- e) BOM - Board of management

- f) CBA -Collective Bargaining Agreement
- g) CD - Center Director
- h) TC - Training committee
- i) IO - Individual officer
- j) SAC - Staff Appraisal committee
- k) IP - Interview panel

4.0 REFERENCES

- a) KMFRI Training Policy
- b) KMFRI staff establishment
- c) KMFRI strategic plan
- d) KMFRI training needs assessment reports.
- e) KMFRI Terms and Conditions of service.
- f) Constitution of Kenya 2010
- g) Harmonized scheme of service for KMFRI employees
- h) Staff performance appraisal forms.
- i) KMFRI Terms and Conditions of Service
- j) Collective Bargaining Agreement (CBA).

5.0 PRINCIPAL RESPONSIBILITY

The head of HR shall ensure that the training and development process is adhered to.

6.0 PROCESS DETAILS

- a) HRD conduct training needs analysis and submits report to Director while requests for attachment and internship are received and forwarded to CD.
- b) Director refers the report to training committee
- c) Training committee deliberates on the training needs analysis report together with other staff requests and recommends training for approval by the Director while the HOD recommends attachment/internship.
- d) Director approves training committee report while CD approves attachment and internship requests.
- e) HRD communicates to nominated officers and students to attend training, attachment / internship, issues training bonding forms to nominated officers(where applicable), facilitates staff for training(where applicable), deploys attachees/Interns and initiates recovery of training levy (where applicable).
- f) Individual officer submits training progressive report on training (where applicable) and back to office report after training.
- g) HOD evaluates effectiveness of training three (3) Months after training (Form HR9) while HRD recommends attachés/interns after attachment/internship.

- h) The officer completes annual appraisal form for consideration for promotion.
- i) Director appoints staff appraisal /evaluation committee
- j) The appraisal analysis/evaluation committee carries out appraisal analysis/evaluation and submits report to Director.
- k) Director Seeks and obtains authority from BOM to promote staff and appoints interview panel to carry out interviews.
- l) HRD invites shortlisted officers for interviews
- m) The interview panel conducts interview and presents report to director.
- n) Director Seeks and obtains authority from BOM to promote staff and instructs HRD to effect promotions.
- o) HRD effects staff promotions through official written communication.

7.0 ANNEXES

Available from Process Owner: HOD – HR

HR-3: DISCIPLINARY AND GRIEVANCE HANDLING PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: HR	REFERENCE NO.	KMF/QMS/OP/HR/03
	REVISION NO.	01
	PREPARED BY:	JAIRUS ODERO
TITLE: Disciplinary and Grievance Handling Process	REVIEWED BY: KENNEDY OMALLA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to provide guidance on employee discipline and grievance handling mechanism.

2.0 SCOPE

This process shall apply to all KMFRI staff disciplinary cases and grievances at the work place.

3.0 TERMS AND DEFINITIONS

- a) F & A - Finance and Administration
- b) HOD - Head of Department
- c) RI - Research Institute
- d) HR&A - Human Resources and Administration
- e) BOM - Board of Management

- f) HRD - Human Resource Department
- g) HOHR - Head of Human Resource
- h) HOFAD - Head of Finance and Administration Directorate

4.0 REFERENCES

- a) KMFRI Terms and conditions of service.
- b) Labour Relations Act 2007
- c) The Public Officers Ethics Act, 2003
- d) Public service commission Human Recourse policies and procedures (May 2016)
- e) General Code of Conduct and Ethics for KMFRI Employees
- f) Collective Bargaining Agreement (CBA).

5.0 PRINCIPAL RESPONSIBILITY

The Head of Department-HR shall be responsible for ensuring the process is followed.

6.0 PROCESS DETAILS

- a) Case/grievance is reported to HOD who handles and concludes, gives verbal or written reprimand for minor offenses/grievances and forwards major offences/grievances to immediate senior officer for further action.
- b) Immediate senior handles major cases/grievances and concludes by giving a written warning or refers case to Director if applicable.
- c) Director appoints investigation committee to investigate and submit a report to him.
- d) Investigation committee investigates the case and submits a report to Director.
- e) Director instructs Human Resource department to issue a show cause letter to the staff and refer the response to the disciplinary committee.
- f) HRD issues show cause letter and refers staff response to the disciplinary committee.
- g) The disciplinary committee deliberates on the case and submits a recommendation report to the Director.
- h) Director approves recommendations for disciplinary actions that do not warrant a summary dismissal
- i) For summary dismissals, the Director forwards to the BOM as the power to dismiss is vested on the BOM
- j) The BOM approval shall be implemented by the HRD.
- k) HRD implements the approval through official letters to the officers concerned.

7.0 ANNEXES

Available from Process Owner: HOD – HR

HR-4: BENEFITS AND COMPENSATION PROCESS HANDLING PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: HR	REFERENCE NO.	KMF/QMS/OP/HR/04
	REVISION NO.	01
	PREPARED BY:	JAIRUS ODERO
TITLE: Benefits and Compensation Handling Process	REVIEWED BY: KENNEDY OMALLA	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to guide Human resource department on the processing of staff benefits and compensation

2.0 SCOPE

The process shall apply to the processing of all staff benefits and compensation.

3.0 TERMS AND DEFINITIONS

- a) HOD - Head of Department.
- b) KMFR -Kenya Marine and Fisheries Institute
- c) PCA -Pay change advice
- d) HRD - Human Resource Department
- e) HR - Human Resource.

- f) BOM - Board of management
- g) CBA -Collective Bargaining Agreement

4.0 REFERENCES

- a) KMFRI staff establishment
- b) Salary scales
- c) KMFRI strategic plan
- d) KMFRI Terms and Conditions of service.
- e) The Constitution of Kenya 2010
- f) KMFRI staff Harmonized scheme of service
- g) Pay change advice
- h) Collective Bargaining Agreement (CBA).

5.0 PRINCIPAL RESPONSIBILITY

The head of HR shall ensure that the process is in place and adhered to.

6.0 PROCESS DETAILS

- a) Upon receiving communication on payment/deduction changes from the respective source, the Assistant Director (HR & A) shall instruct the Human Resource Officer to effect changes on the pay roll.
- b) The Human Resources Officer shall prepare, recommend and forward PCA (form HR 1) to the Assistant Director (HR & A) for approval.
- c) Assistant Director (HR & A) shall approve PCA for head of Salaries to implement.
- d) The head of Salaries shall implement changes on the pay roll, prepare payment voucher and forward it to Human Resource Officer for recommendation.
- e) The Human Resource Officer shall recommend pay roll/ voucher.
- f) Assistant Director (HR & A) shall approve the voucher and forward to accounts department for payments.
- g) Accounts department shall arrange and pay salaries.

7.0 ANNEXES

Available from Process Owner: HOD – HR

PLAN-1: PLANNING PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: PLANNING	REFERENCE NO.	KMF/QMS/OP/PLAN/01
	REVISION NO.	01
	PREPARED BY:	<u>NICHOLAS KARANI</u>
TITLE: Planning Process	REVIEWED BY: KEN NJAGI	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this process is to provide guidance for Planning and budgeting

2.0 SCOPE

The process covers the activities involved in strategic planning, annual planning, performance contracting planning and associated budgeting.

3.0 TERMS AND DEFINITIONS

- a) DD - Deputy Director
- b) OCS – Ocean and Coastal Services
- c) HOD - Head of Department
- d) F&A - Finance and Administration
- e) AD - Assistant Director

- f) HR&ADM - Human Resource and Administration
- g) CD - Centre Director
- h) HOS - Head of Section

4.0 REFERENCES

- a) KMFRI strategic plan 2016-2020,
- b) The Vision 2030,
- c) The Medium-Term Plan III 2018-2022,
- d) Performance Contracting Guidelines,
- e) Big 4 Agenda Plan.

5.0 PRINCIPAL RESPONSIBILITY

The HOD-Planning shall be responsible for ensuring that the process for preparing KMFRI annual Work Plan and budget is adhered to and approved.

6.0 PROCESS DETAILS

6.1 Preparation of the Annual Work Plan and Budget

- a) Once the treasury circular has been released with the guidelines on budget preparation, the PO shall communicate to HODs the guidelines together with a template to enable them develop the budget estimates and work plan
- b) The PO shall thereafter carry out engagements based on the strategic objectives, wish list projections, performance of the previous financial year and variance analysis
- c) The PO in consultation with the M&E shall then consolidate the annual work plan and budget for approval by the Director and onward submission to the Ministry, then National Treasury
- d) The PO shall communicate and circulate the approved budget and consolidated annual work plan to Heads of Departments.
- e) The PO shall carry out variance analysis and communicate to the Heads of Departments on a quarterly basis.
- f) The PO in consultation with the M&E shall communicate quarterly review reports on performance of strategic objectives to all staff.

6.2 Preparation of Board of Management Performance Contract

- a) The PO shall make reference to the existing Strategic Plan Budget and annual operating plan together with the guidelines issued by the Head of Public Service.
- b) The PO in consultation with HODs shall set the BOM PC objectives for all core deliverables making reference to the PC guidelines and submit to the Director for concurrence and ownership

- c) The Director shall thereafter forward the PC to the BOM making sure it reflects the operations of the Institute
- d) The Director together with HODs and BOM members shall go for the PC vetting on a date issued by the Head of Public Service
- e) The BOM members together with Ministry of Agriculture, Livestock, Fisheries and Irrigation shall sign the Performance contract
- f) Upon signing of the Performance contract it shall be cascaded to the CEO and all staff using the balance score card

7.0 ANNEXES

Available from Process Owner: HOD – PLANNING

LEGAL-1: PROVISION OF LEGAL SERVICES PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: LEGAL	REFERENCE NO.	KMF/QMS/OP/LG/01
	REVISION NO.	01
	PREPARED BY:	MARIA ANDREWS
TITLE: Provision Oof Legal Services Process	REVIEWED BY: BETH MUSHI	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

To promote adherence and compliance with the law through provision of Legal Support Services to the Board of Management of Kenya Marine Fisheries and Research Institute.

2.0 SCOPE

This process covers convening and conducting BOM meetings and its committees, monitoring of court cases, legal advice to board and management & preparation and perusal of legal documents.

3.0 TERMS AND DEFINITIONS

- a) KMFRI-Kenya Marine and Fisheries Department
- b) LO-Legal Officer
- c) HODs - Heads of Department
- d) AG-Attorney General

4.0 REFERENCES

- a) Civil Procedure Act
- b) The Public Procurement and Disposal Act and other relevant legislation
- c) The State Corporations Act
- d) Mwongozo:
- e) The Code of Governance for State Corporations
- f) All Laws of Kenya and Kenya Law Reports

5.0 PRINCIPAL RESPONSIBILITY

The Legal Officer shall be responsible for the implementation of the process.

6.0 PROCESS DETAILS

6.1 Preparation of Board Papers

- a) The LO shall prepare a Board papers for Board meetings and its committee every financial year. The LO shall forward the Board papers to the Director for approval
- b) Upon receipt of the Board papers, the Director shall review and request the LO to prepare a draft notice and agenda for an upcoming board meeting. The draft agenda shall be forwarded to the Director for approval. The LO shall issue board paper numbers and compile the board folder containing unconfirmed minutes, the agenda, board papers and circulate to the Board members.
- c) During the date of the board meeting, the LO shall present the Board register for signing by the board members and have minutes of the pact meeting confirmed, handle matters arising and take minutes of the proceedings
- d) The LO shall after the meeting, circulate the minutes and Board actions to the Director for review and approval. If approved, they shall be circulated to relevant HODs for action

6.2 Monitoring of court cases

- a) The LO shall file a case or receive summons in accordance with the Civil Procedure Act or Penal code
- b) Upon receipt of summons, the LO shall request for details from relevant Heads of Department to verify the details and prepare for appearance in court
- c) The LO shall attend court proceedings and prepare/update the litigations matrix while exploring the possibility of a settlement. If settlement is not reached, the LO shall fix the matter for hearing
- d) Upon notification of the hearing date, the LO shall prepare witnesses to give evidence at the hearing of the case

- e) Upon determination of the case, the LO shall receive the outcome and advise management where no appeal is required. In the event that an appeal is required, the matter shall be escalated to the Director for guidance.

6.3 Providing Legal Advice to Management and Board

- a) The LO shall receive requests from HODs and prepare legal opinion
- b) If uncomplicated, the legal opinion will be forwarded to the requesting HOD. If there is need for further interpretation the matter shall be forwarded to the Attorney General.
- c) Upon receipt of the interpretation of the legal opinion from the AG shall analyze the interpretation and if there is no legal implication, it shall be forwarded to the relevant department for implementation

6.4 Preparation and Perusal of Legal Documents

- a) LO shall receive requests from HODs or various users for preparation, perusal or review of the legal documents either for internal or external action.
- b) LO shall determine whether the request is for perusal or drafting, if for perusal, LO shall verify whether the document is in accordance with the legal requirements and make necessary comments and either return the documents to the source for correction or sealing and onward transmission to Director and Chairman for signing.
- c) The signed documents shall be returned to LO who shall circulate to the relevant HODs and retain a copy for safe custody.
- d) If for drafting, LO shall draft the required document for sealing and execution by Director and Chairman.
- e) In case of addendum, variation or service contract, LO shall forward the signed documents to the service provider.
- f) In case of a Bill of Parliament or Gazette Notice, LO shall forward to Director for approval. If not approved, LO shall incorporate Director’s comments if approved, Director shall forward to Board of Management for deliberation. If not approved, the documents shall be returned to Director with necessary comments for LO’s action. If approved the documents shall be forwarded to CS for approval.
- g) If not approved, the Director shall act as per the comments of CS. If approved, CS shall forward the Bill to National Assembly for publication and/or Gazette Notice (legal notice) to AG for Gazettement.
- h) The National Assembly and/or the Attorney General shall forward their respective feedback to the CS, who shall notify Chairman and Director for implementation.

7.0 ANNEXES

Available from Process Owner: HOD – LEGAL

SCM-1: DEVELOPMENT OF ANNUAL PROCUREMENT PLAN PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: SCM	REFERENCE NO.	KMF/QMS/OP/SCM/01
	REVISION NO.	01
	PREPARED BY:	JARRED NYAUNDI
TITLE: Development of Annual Procurement Plan Process	REVIEWED BY: ISACK OMBWAYO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to guide in the preparation of an annual procurement plan by the heads of functions in line with the approved budget and final consolidation by the Supply Chain Function

2.0 SCOPE

To plan on efficient and effective procurement of goods and services in line with approved budget

3.0 TERMS AND DEFINITIONS

- a) KMFRI Kenya Marine and Fisheries Research Institute
- b) CSCMO Chief Supply Chain Management Officer
- c) BOM Board of Management

4.0 REFERENCES

- a) The constitution of Kenya 2010
- b) The Public procurement and Asset Disposal Act, 2015.
- c) The Public Procurement and Disposal Regulation, 2006 as amended in 2013
- d) Public Procurement Manuals of 2009
- e) KMFRI Strategic Plan 2016-2020
- f) Donor funded procurement guidelines
- g) Government circulars

5.0 PRINCIPAL RESPONSIBILITY

The head of supply chain department shall ensure that the procedure in place is adhered to.

6.0 PROCESS DETAILS

- a) The Deputy Director Finance and Administration (DDF&A) shall issue the head of departments/ Sections with the Approved budget for each section for the purpose of preparation of the departmental procurement plan within 2 weeks from the date of the approval.
- b) The individual heads of Departments/ Sections shall prepare the departmental plan based on the departmental need analysis for a particular financial year. This shall be subject to approval by DDFA to confirm conformity to the approved budget. This should be done with two weeks from the date received from the DDFA
- c) The approved departmental procurement plans shall then be forwarded by individual heads of departments and sections to the CSCMO for consolidation within one week after the approval by DDFA.
- d) The consolidated procurement plan shall be presented to DDFA for presentation to the Board for approval within two weeks
- e) The approved Procurement plan shall be forwarded by the CSCMO to the PPRA latest 30th August 2018.

7.0 ANNEXES

Available from Process Owner: HOD – SCM

SCM-2: PROCUREMENT FOR GOODS, WORKS AND SERVICES PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: SCM	REFERENCE NO.	KMF/QMS/OP/SCM/02
	REVISION NO.	01
	PREPARED BY:	JARRED NYAUNDI
TITLE: Procurement for Goods, Works and Services Process	REVIEWED BY: ISACK OMBWAYO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to guide members of staff of KMFRI on the steps to be followed in procuring goods, works and services using the various procurement methods

2.0 SCOPE

This Procurement procedure shall apply from identification of needs to receipt of goods/ services

3.0 TERMS AND DEFINITIONS

- a) CSCMO – Chief Supply chain management officer
- b) SSCMO – Senior Supply Chain Management Officer
- c) SCMA – Supply chain management Assistant
- d) SPECS – Specifications (S)
- e) S13 (F-10-8)- Counter Receipt Voucher (Goods Receipt Note)

- f) PP – Procurement Plan
- g) S12 - Stores Issue Voucher
- h) Purchase Requisition
- i) Local Purchase Order

4.0 REFERENCES

- a) The constitution of Kenya 2010
- b) The Public procurement and Asset Disposal Act, 2015.
- c) The Public Procurement and Disposal Regulation, 2006 as amended in 2013
- d) Public Procurement Manuals of 2009
- e) KMFRI Strategic Plan 2016-2020
- f) Donor funded procurement guidelines
- g) Government circulars
- h) Annual Procurement Plan

5.0 PRINCIPAL RESPONSIBILITY

The head of supply chain department shall ensure that the procedure in place is adhered to.

6.0 PROCESS DETAILS

- a) The user department shall identify the need in line with their approved budget and the Procurement plan and fill a purchase requisition form (S14)
- b) The purchase requisition shall then be directed to the head of Supply Chain Management for comment on procurement plan and forwarded to Chief Accountant to comment on availability of funds
- c) The purchase requisition form shall be forwarded to the Director for approval
- d) Upon receipt of authority from the Director on the S14 requisition form, the head of Supply Chain Management shall within 2 days chose the best method of procurement in line with the PPADA2015 as well as the PPR as amended in 2014.
- e) The head of supply chain shall invite the bids based on the method of procurement chosen.
- f) Submission of the bids by the invited bidder
- g) Carry out supplier’s evaluation
- h) Select the right supplier
- i) Prepare procurement order Form in which SPECS of requirement and other relevant and conditions are written clearly with precision.
- j) Dispatch procurement order after proper authorization (by CEO) of the same, to the selected suppliers. Also follow up for timely delivery of goods/services/works.
- k) Receive and inspect the goods/services/works. Involve the user and inspection committee, in the inspection of the same. Acknowledge receipt of goods/ services by

endorsing supplier delivery note. Raise goods Received Note (S13 (F-10-8). Also acknowledge/certify receipt of

7.0 ANNEXES

Available from Process Owner: HOD – SCM

SCM-3: INSPECTION AND RECEIPT FOR GOODS, WORKS AND SERVICES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: SCM	REFERENCE NO.	KMF/QMS/OP/SCM/03
	REVISION NO.	01
	PREPARED BY:	JARRED NYAUNDI
TITLE: Inspection and Receipt for Goods, Works and Services	REVIEWED BY: ISACK OMBWAYO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

To ensure that supplier deliveries conform to order specification before accepting and receiving them.

2.0 SCOPE

Procedure of receipt and inspection of goods from the arrival from supplier to when the goods are placed in the stores

3.0 TERMS AND DEFINITIONS

- a) KMFRI-Kenya Marine and Fisheries Research Institute
- b) IC-Inspection Committee.
- c) CSCMO-Chief Supplies Chain Management Officer
- d) S10-Request for Quotation form

- e) S13-Counter Receipt Voucher
- f) S12-Stores Issue Voucher
- g) S20-Local Purchase Order

4.0 REFERENCES

- a) The constitution of Kenya 2010
- b) The Public procurement and Asset Disposal Act, 2015.
- c) The Public Procurement and Disposal Regulation, 2006 as amended in 2013
- d) Public Procurement Manuals of 2009
- e) KMFRI Strategic Plan 2016-2020
- f) Donor funded procurement guidelines
- g) Government circulars
- h) Annual Procurement Plan

5.0 PRINCIPAL RESPONSIBILITY

The head of supply chain department shall ensure that the procedure in place is adhered to.

6.0 PROCESS DETAILS

- a) Stores officer confirm if the destination of goods is KEMFRI by checking whether addresses in the delivery conforms to ours. Also confirms availability of procurement order for the goods
- b) Store officer prepare (clear) the receiving and inspection space.
- c) Store officer unload goods using the efficient method of unloading and handling bearing in mind the safety of and its own
- d) Store officer check for obvious damage of the goods. If the goods are ok then check for the conformity to procurement order in terms of quantity, item description and quality features.
- e) Raise S13 (F-10-8) GRN for conforming ones. Reject none conforming ones and return to supplier immediately. For technical items involve the user and Receipts and Inspection committee
- f) Store officer place the goods in the relevant bins/racks in the storehouse and then inform the user of availability.

7.0 ANNEXES

Available from Process Owner: HOD – SCM

SCM-4: DISPOSAL OF STORES

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: SCM	REFERENCE NO.	KMF/QMS/OP/SCM/04
	REVISION NO.	01
	PREPARED BY:	JARRED NYAUNDI
TITLE: Disposal of Stores	REVIEWED BY: ISACK OMBWAYO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU DIRECTOR	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to provide guidance on steps to be followed in disposal of obsolete and unserviceable stores

2.0 SCOPE

This procedure shall be applicable in the disposal of all KMFRI obsolete, surplus and unserviceable stores

3.0 TERMS AND DEFINITIONS

- a) HOD Head of department
- b) TOR Term of reference
- c) DC Disposal committee
- d) S25 Destruction Certificate
- e) S45 Loss Report

- f) FO S58 Board of survey form

4.0 REFERENCES

- a) The Public Procurement and Disposal Act, 2015.
- b) The procurement and Disposal Regulations, 2006

5.0 PRINCIPAL RESPONSIBILITY

The head of supply chain department shall ensure that the procedure in place is adhered to.

6.0 PROCESS DETAILS

- a) The procurement in charge issue memo to user department and stores to identify materials due for disposal
- b) The users shall surrender to the Stock Control Section obsolete, surplus and unserviceable items.
- c) The SCMO shall compile the list of surrendered items to be boarded in the unserviceable register and enter them in the FO S 58.
- d) The SCMO in charge shall present the listed items in FO 58 to the DC
- e) The DC shall meet and study form S58 and undertake physical verification of stores, plant and equipment, and make a report with recommendations on methods of disposal to the Director.
- f) The Director shall approve/disapprove the report of DC and forward it to the head of supply chain department for further action.
- g) If not approved, the Director shall refer the report back to the DC with comments for action, if approved; the head of supply chain department shall prepare documentation for advertisement for the items to be boarded.
- h) The head of supply chain department shall advertise the disposal of the items in at least 2 local daily newspapers specifying the closing date and time of which shall not be less than 14 days.
- i) Where the cost of advertisement is disproportionate to the value of items for Disposal, sale can be made to KMFRI employees without advertisement.
- j) Where goods are sold by tender or to KMFRI employees the same shall be removed from stock control records and a gate pass issued to facilitate removal of the item from KMFRI premises
- k) CSCSO shall raise destruction certificate (S25) where goods are destroyed, to enable the officer in charge of stock control to remove the item in question from the Asset register.

7.0 ANNEXES

Available from Process Owner: HOD – SCM

M & E-1: MONITORING AND EVALUATION PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: MONITORING AND EVALUATION	REFERENCE NO.	KMF/QMS/OP/M&E/01
	REVISION NO.	01
	PREPARED BY:	NIMO JAMAAL
TITLE: Monitoring and Evaluation Process	REVIEWED BY: DR. JACOB OCHIEWO	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

To ensure M & E are conducted for Institute's programs to achieve impact and accountability in to the Institute.

2.0 SCOPE

All programs funded by GOK and Donors

3.0 TERMS AND DEFINITIONS

- a) M AND E Monitoring and Evaluation
- b) KMFRI Kenya Marine and Fisheries Research Institute

4.0 REFERENCES

- a) KMFRI Monitoring and Evaluation Policy, 2019
- b) KMFRI Monitoring and Evaluation Plan, 2019
- c) KMFRI Strategic Plan 2016 -2020

5.0 PRINCIPAL RESPONSIBILITY

The M & E Officer shall ensure that the procedure is in place and adhered to

6.0 PROCESS DETAILS

- a) The Management shall determine which quality sections shall be monitored and measured.
- b) The Methods for monitoring and evaluation shall be determined.
- c) The methods shall define which activities are needed to ensure effective results of monitoring
- d) The methods shall define the stages and the intervals in the process when activities of monitoring must be performed.
- e) The methods shall define when results of monitoring and measuring shall be analyzed and evaluated.
- f) The results shall enable the evaluation of the performance and the effectiveness of the QMS.
- g) Documented information on the results of the monitoring, and evaluation shall be retained.

7.0 ANNEXES

Available from Process Owner: HOD – M & E

AUDIT-1: AUDIT AND ASSURANCE PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: AUDIT	REFERENCE NO.	KMF/QMS/OP/AUD/01
	REVISION NO.	01
	PREPARED BY:	<u>PATRICK GUCHU</u>
TITLE: Audit and Assurance Process	REVIEWED BY: BENARD KICHAKURI.....	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to ensure that internal audit delivers quality assurance services to the institute.

2.0 SCOPE

The process covers all assurance engagements undertaken within the institute.

3.0 TERMS AND DEFINITIONS

- a) BARC Board Audit and Risk Committee.
- b) BOM Board of Management
- c) CIA Chief Internal Auditor.
- d) ERM Enterprise Risk Management
- e) IA Internal Auditor.

- f) PIM project implementation manuals
- g) PAD project appraisal documents
- h) Assurance Services An objective examination of evidence for the purpose of providing an independent assessment on governance, risk management, and control processes for the organization. Examples may include financial, performance, compliance, system security, and due diligence engagements

4.0 4.0 REFERENCES

- a) KMFRI Corporate Strategic Plan 2018-22
- b) KMFRI Internal Audit Manual, 2019
- c) KMFRI Annual Audit Plan , 2019

5.0 PRINCIPAL RESPONSIBILITY

Chief Internal Auditor

6.0 PROCESS DETAILS

- a) The CIA prepares a Risk Based Audit Plan and presents it to the BARC of the BOM for approval.
- b) Any suggested changes are incorporated by the CIA and amended plan is resubmitted for approval.
- c) CIA allocates engagements in the plan to Internal Auditors, in consultation with the internal auditors.
- d) Internal Auditor prepares an audit plan setting out the subject, objectives, scope, schedule and an audit program to achieve the objectives. The internal auditor also notifies client management of the planned audit engagement, including the subject, objectives and scope of the engagements. Client comments on the objectives may be considered in assessing the appropriateness of the objectives. Planning procedures are documented in a planning memo which is presented to the CIA for review and approval
- e) Any suggested changes are discussed with the internal auditor and the Planning Memo is updated.
- f) On approval of the Planning Memo, the internal auditor performs the audit as per the program. At the end of the performance, the internal auditor holds an exit meeting with the client management where findings, risks, recommendations, and action plans are discussed.
- g) Based on the deliberations in the exit meeting the internal auditor prepares a draft audit report and discusses it with the client management for confirmation of the updated action plans. The report is then forwarded to the CIA for review and approval.

- h) The CIA discussed suggested changes with the internal auditor, who then updates the report. Approved reports are forwarded to the Director for action. The reports are also summarized into quarterly reports to the BARC.
- i) The Director reviews the reports and ensures implementation of recommendations. The BARC reviews summaries in quarterly reports and directs the Accounting Officers on actions to take.
- j) The CIA raises follow up instruction to the internal auditor, who then performs follow up procedures. The internal auditor then prepares a follow up report which is then discussed with the client management for confirmation of the updated action plans. The report is then forwarded to the CIA for review and approval.
- k) The CIA discussed suggested changes with the internal auditor, who then updates the report. Approved reports are forwarded to the accounting officer for action. The reports are also summarized into quarterly reports to the BARC.

7.0 ANNEXES

Available from Process Owner: HOD – Internal Audit

AUDIT-1: RISK MANAGEMENT PROCESS

DOCUMENT APPROVAL PAGE

	KENYA MARINE AND FISHERIES RESEARCH INSTITUTE	
DEPARTMENT: AUDIT	REFERENCE NO.	KMF/QMS/OP/AUD/01
	REVISION NO.	01
	PREPARED BY:	<u>PATRICK GUCHU</u>
TITLE: Risk Management Process	REVIEWED BY: BENARD KICHAKURI.....	DATE: 21 st January, 2019
	APPROVED BY: PROF. JAMES NJIRU <u>DIRECTOR</u>	DATE: 1 st February, 2019

REVISION HISTORY OF DOCUMENTED INFORMATION

DOCUMENT TITLE: **Process for Maintenance of Automated Systems**

Rev. No.	DCR Ref	Date	Chapter/ Clause/ Par No.	Details of changes Addition- Underline/highlight Deletion-strike through

1.0 PURPOSE

The purpose of this procedure is to facilitate minimization of operational risks in the organization

2.0 SCOPE

The process covers all risk management engagements undertaken within the institute.

3.0 TERMS AND DEFINITIONS

- a) BARC Board Audit and Risk Committee.
- b) CIA Chief Internal Auditor.
- c) RC Risk Champion
- d) SIA Senior Internal Auditor.

- e) **Risk**- An event whose occurrence could lead to loss in achievement of objectives set in the institute.
- f) **Risk Assessment** -The overall process of risk analysis and risk evaluation
- g) **Impact** -Refers to the potential loss should the risk materialize
- h) **Likelihood**- The probability that an adverse event, which could cause materialization of the risk may occur
- i) **Risk analysis**-The systematic use of available information to determine the likelihood of specified events. Occurring and the magnitude of their consequences. Measured in terms of impact and likelihood.
- j) **Risk Evaluation** -The process used to determine risk management priorities by comparing the level of risk against pre-determined standards, target risk levels or other criteria
- k) **Inherent (gross) Risk**- Refers to the status of the risk (without taking account of any risk management activities that the organization may already have in place
- l) **Residual (net) Risk** -Refers to the status of the risk after taking account of any risk management activities
- m) **Risk Tolerance**-The specific maximum risk that the institute is willing to take regarding each relevant risk
- n) **Risk Owner** -Refers to the person primarily responsible for coordinating a response to a particular risk
- o) **Risk Management** -It is the logical and systematic method of identifying, analyzing, evaluating, treating, monitoring and communicating risks associated with any activity, function or process in a way that will enable organizations to minimize losses and maximize opportunities
- p) **Risk Management Policy** -Describes the organization’s approach to managing risks and stipulates the standard in respect of risk tolerance
- q) **Audit and Risk Committee** -This refers to the Committee of the Board of Trustees responsible for Audit and Risk Management
- r) **Annual Audit and Risk Plan** -It consists of audit and risk management assignments that are covered during the financial year
- s) **Risk and Compliance Program**-This outlines the Risk and Compliance objectives, scope and detailed steps to be followed while carrying out the Risk and Compliance assignments.
- t) **Risk Register**-A document of risk management on which all significant risk for the Fund are identified, ranked and assigned
- u) **Risk Sensitization Memo**-Template capturing the risks as they are identified.

4.0 REFERENCES

ISO 31000:2009, Risk Management Principles and Guidelines

5.0 PRINCIPAL RESPONSIBILITY

Chief Internal Auditor

6.0 PROCESS DETAILS

- a) CIA initiates process of risk management framework by giving instructions to RC
- b) The RC prepares risk assessment guidelines and presents it to the CIA for approval.
- c) Any suggested changes are incorporated by the RC and amended guidelines are resubmitted for approval.
- d) RC communicates the approved guidelines to client management. The client management use these guidelines to perform risk assessment and come up with a risk matrix for the department
- e) The RC reviews the Risk matrix with the client management and then forwards it the CIA for further review.
- f) The CIA reviews the Risk Matrix and presents it to the accounting officer for approval
- g) The RC uses the approved risk Matrix to come up with a risk monitoring program and presents it for approval by the CIA
- h) RC performs monitoring as per the approved program and drafts a report
- i) RC discusses the report with the client management where action points are agreed upon
- j) Action plan is approved by accounting officer
- k) The RC incorporates the client discussions in the draft report and presents it for approval by the CIA.
- l) CIA reviews and approves report which he further presents to the accounting officer for review and implementation
- m) CIA gives follow up instructions to the RC who performs a follow up and drafts a report on the follow up findings
- n) Any suggested changes are discussed with the client and the risk matrix is updated.

7.0 ANNEXES

Available from Process Owner: HOD – Internal Audit

Appendices

a) Appendix -1: Quality Policy

KMFRI is committed to delivering to her customers and interested parties high standards of quality and innovative scientific information for sustainable utilization of marine resources and development of strategic enterprises towards food security, employment creation and restoration of the aquatic environments. This commitment is enshrined in our quality principles as stated hereinafter:

- a) **Customer focus:** KMFRI shall consistently and regularly undertake engagement with her customers and interested parties to determine their requirements;
- b) **Quality Objectives:** KMFRI shall set quality objectives that are compatible with the context and strategic direction of KMFRI. These quality objectives shall be set annually at the various functions and levels, and shall be implemented, monitored, reviewed annually to be in line with changing customer and interested parties demands and her strategic direction;
- c) **Products and service standards:** KMFRI shall consistently deliver, to the best of her capabilities, and all the times, quality and innovative scientific information that meet customers and applicable statutory and regulatory requirements;
- d) **Capabilities to meet and improve products and service standards:** KMFRI shall determine, provide, and manage human capital and infrastructure necessary for the operation and control of processes so as to achieve conformity to quality and improve on products and service standards;
- e) **Quality and Risk Management:** KMFRI shall at all times ensure integrations of QMS 9001:2015 quality principles as well as risks and opportunities associated with her core business processes of providing quality and innovative scientific information;
- f) **Communication on Quality Policy:** As a sign of commitment and dedication to quality service, this Quality Policy shall be openly discussed, displayed and posted strategically, and communicated to KMFRI Staff so that its understood and applied throughout KMFRI, as well as be made available to interested parties.

Prof James Njiru
DIRECTOR, KMFRI
4th December 2018.

b) Appendix -2: The Scope Statement

Annex-3: The Scope Statement

The scope of ISO 9001:2015 QMS shall be “the design, research, development, generation and dissemination of quality and innovative service and product information for sustainable utilization of marine resources and development of strategic enterprises towards food security, employment creation and restoration of the aquatic environments. The scope of QMS will be limited to operations at Mombasa Headquarters.

All the design, research, development, generation and dissemination of quality and innovative service and product information shall be tailored to meet her customers and interested parties requirements and shall conform to the ISO 9001:2015 Quality Management System.

Applicability

All the requirements of the standard are applicable to KMFRI activities; hence there is no permissible exclusions.

Prof James Njiru
DIRECTOR, KMFRI
4th December 2018.

c) Appendix -3: Customer Service Charter

KMFRI's Mandate

To undertake research in marine and freshwater fisheries, aquaculture, environmental and ecological studies, and marine research including chemical and physical oceanography.

Identity Statement

Going an extra mile to make KMFRI a Centre of excellence in aquatic science and fisheries.

Our Roles

- Conduct multidisciplinary and collaborative research on fish ecology, pathology population dynamics, stock assessment and general aquatic ecology;
- Collect and disseminate scientific information on fisheries and other aquatic resources and related natural products;
- Study and identify economically suitable aquatic species for culture including breeding development and transfer of culture technology for adoption and procedure;
- Study chemical and physical processes that affect productivity of aquatic ecosystems;
- Monitor water quality and pollution in fresh and marine water environments;
- Carry out socio-economic research on aspects relevant to fisheries, environment and other aquatic resources;
- Establish a marine and freshwater collection for research and training purposes;
- Offer multidisciplinary training services and facilities to aquatic scientists;
- Conduct research on fish quality control, post-harvest preservation and value addition technologies
- Undertake research that informs exploitation of marine natural products
- Develop and collate data for all research activities
- Develop policy briefs of key research interventions annually

Products and Services

SERVICES/GOODS	CLIENT REQUIREMENT	COST	TIMELINES
1 Scientific information on marine and fisheries research for sustainable development	A formal request	Free	2 weeks
2 Technical advice on sustainable capture fisheries	A formal request A formal request	At a cost	1 week
3 Fish fingerlings/seed		• Tilapia – Kshs. 5-15/ piece • Catfish – Kshs. 10-15/ piece • Ornamental (Dependent on the species and size)	1 week
4 Broodstock	A formal request	• Tilapia – Kshs. 200/piece • Catfish – Kshs. 300/ piece • Ornamental (Dependent on the species and size)	1 week
5 Fish feed	A formal request	• Grow-out diet @Kshs.80/kg • Starter diet @ Kshs. 120/Kg • Artemia cysts – Kshs. 7,000/Kg	1 week
6 Seaweed seeds	A formal request	• Spinosum – Kshs. 300/ sack • Cottonii – Kshs. 500/sack	2 weeks
7 Technical advice on culture of fresh, shellfish and aquatic plants	A formal request	Free or at a cost	2 weeks
8 Technical advice on fish quality control and value addition	A formal request	Free or at a cost	1 week
9 Training on value addition and aquaculture	A formal request	Free or at a cost	2 weeks
10 Technical advisory services on biodiversity conservation and environmental management	A formal request	Free or at a cost	1 week
11 Advisory services on community development	A formal request	Free	1 week
12 Scientific information and technical advice on Blue Economy and climate change	A formal request	Free	1 week
13 Analytical Laboratory services	A formal request	As per KMFRI'S products and services tariff guide	2 weeks
14 Dissemination of research findings to stakeholders	A formal request	Free	1 month
15 Consultancy services	A formal request	At a cost	2 weeks
16 Hiring services (vessels, conference facilities, underwater cameras etc.)	A formal request	As per KMFRI'S products and services tariff guide	1 week
17 Student attachment/ internship	- Application letter - Pursuing or holds a Diploma or Degree in a relevant field - Student visa (where applicable)	Attachment • Diploma Kshs. 1,000pm • Bachelors Kshs. 2,000pm Internship (free) Foreign student USD 100pm	1 week
Educational visits	A formal request	Kshs. 2,000 per day	2 weeks

Core Values

- Integrity, transparency and accountability
- Professionalism
- Team work
- Equity and equality
- Information sharing
- Partnerships
- Sustainable development
- Enterprising

Clients

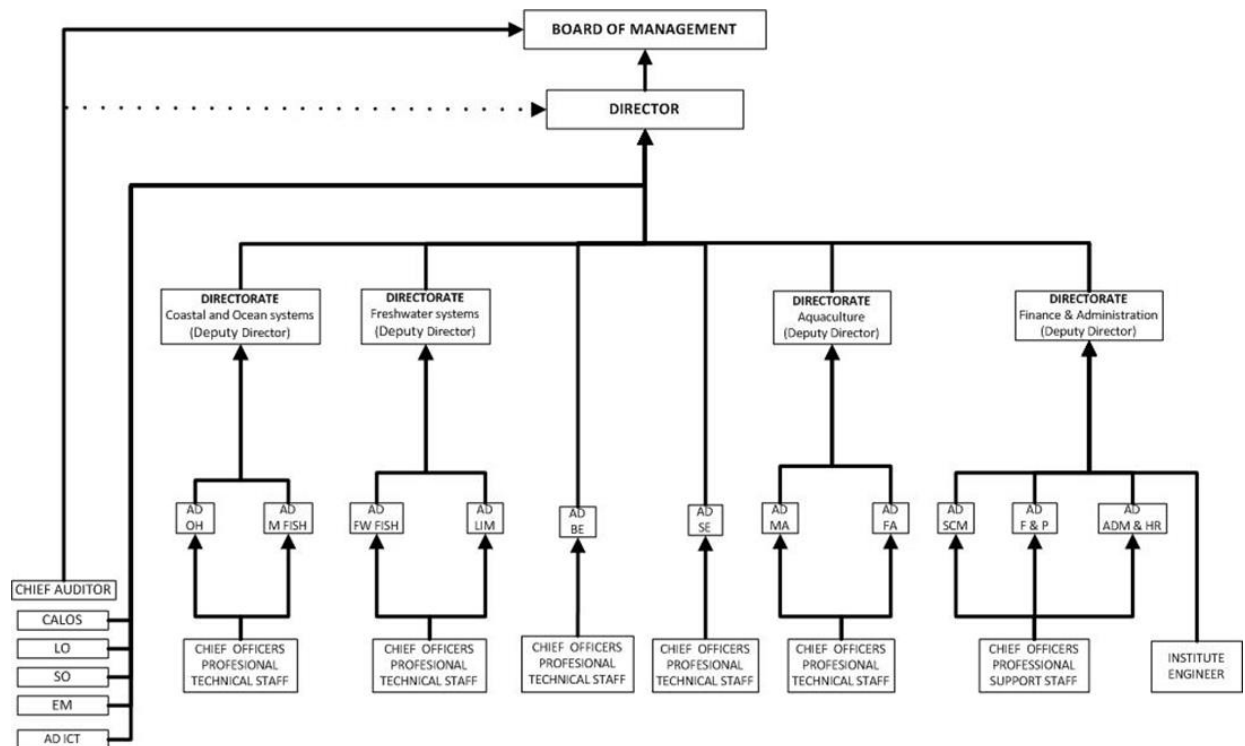
- Government institutions
- Educational institutions
- Non-Governmental Organizations in marine and fisheries
- Community Based Organizations in aquatic environment
- International organizations
- Communities including fishermen, fish mongers etc.
- Fish farmers
- Seaweed farmers
- Existing and potential investors in fisheries and related activities
- Service providers
- Development partners
- Other stakeholders

Clients Care

KMFRI will:

- Handle clients with dignity, courtesy and respect
- Treat clients information with confidentiality
- Provide accurate information on client requests (where information is available)
- Uphold high standards of service
- Pay creditors within 30 days upon successful supply of satisfactory goods and services.

d) **Appendix -4: The current Organizational Structure**



KEY

AD OH - Assistant Director Oceanography and Hydrography
AD M FISH - Assistant Director Marine Fisheries
AD SE - Assistant Director Socio-economics
AD FW FISH - Assistant Director Freshwater Fisheries
AD LIM - Assistant Director Limnology
AD MA - Assistant Director Mariculture
AD FA - Assistant Director Freshwater Aquaculture
AD BE - Assistant Director Blue Economy

AD SCM - Assistant Director Supply Chain Management
AD F & P - Assistant Director Finance and Planning
AD ADM & HR - Assistant Director Administration & Human Resources
AD ICT - Assistant Director Information Communication Technology
CALOS - Corporate Affairs, Linkages and Outreach Services
LO - Legal Officer
SO - Security Officer
EM - Enterprise Manager

