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HUMAN RESOURCE POLICY MANUAL

JULY, 2017

Revision 1

Vision Statement

Be a leading Global University in Training, Research and Innovation for Co-operative Development.

Mission statement

To provide Innovative Education, Training, Research, and Consultancy services for sustainable community empowerment.

Motto

Quality Co-operative training

University Core Values

a) Honesty
b) Integrity
c) Professionalism
d) Quality and excellence
e) Teamwork

FOREWORD

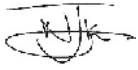
The Cooperative University of Kenya offers varied quality academic programmes and is supported by competent staff. It thus requires and continues to maintain a well- trained, developed and managed human resource to achieve its vision, mission and fulfil its mandate. The quality of services the University provides is dependent on the quality of staff.

The Human Resource Policies and Procedures Manual provides guidelines in the management and development of human resource capacity towards the achievement of various national goals and objectives, CUK Vision and Strategic Plan. The policies incorporate provisions of the Constitution, Labour Laws and other Legislation that govern various aspects of industrial relations in CUK.

The current Human Resource Policy and procedure Manual was developed in 2013. Since then there have been fundamental changes in the structure of University. The changes have necessitated a review and harmonization of the Human Resource Policy in tandem with best human resource practices.

It is important to note that these policies are not exhaustive of all the rules and regulations governing CUK in the day to day activities. They should therefore, be read alongside other relevant

Statutes, policies or procedures that may be introduced by the University Council and the University Management Board from time to time where applicable, for better interpretation and application.



PROF. KAMAU NGAMAU

AG. VICE CHANCELLOR

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Preamble

The purpose of this Human Resource Policies and Procedure Manual is to provide all the CUK staff member with a clear guidance in the areas of;

1. Staff Code Conduct and Ethics,
2. Recruitment & Selection,
3. Performance Management,
4. Reward Management,
5. Training & Development,
6. Promotion,
7. Leave Management,
8. Employee Transport
9. Staff Insurance
10. Work Environment
11. Social Welfare
12. Sexual Harassment
13. General Harassment
14. Discipline
15. Labour Relations
16. Governance & Official Communication
17. Employee Separation

This document introduces staff and potential staff members to the vision, mission, guiding principles and core values of CUK. It governs all staff members of CUK and also reflects the University's commitment to all its staff members.

CUK is committed to upholding the provisions of article 10 of the Kenya Constitution. This is enshrined in its core values which include but not limited to;

i. **Equity:** In discharging its mandate the University will ensure that all its stakeholders are treated with all fairness and justice.

ii. **Integrity:** Uphold honesty and strong moral principals in all decisions and actions

iii. **Accountability:** Demonstrate and take responsibility in all decisions and actions

In fulfillment of its core mandate, CUK is committed to investing in competent and highly professional human resources of high integrity. This is in line with implementation of the Executive order no. 6 on ethics and integrity in the public service.

Policy Scope

This policy covers CUK staff; those serving on both contractual and permanent terms of engagement.

Purpose of the Policy

The purpose of this manual is to establish and maintain a uniform system for managing employee matters; to comply with applicable employment laws.

Definition of Terms		
1.	Bondee	An employee who is serving a training bond obligation
2.	Casual	A person whose engagement provide for his payment at the end of each day and who is not engaged for a longer period than twenty four hours at a time;
3.	Children	The biological offsprings or legally adopted children under the age of twenty two (22) years who are unmarried and are wholly dependent on the member of staff. For purpose of records, the names of the children must be declared at the time of birth or adoption if it occurs during employment in CUK. Copies of birth certificates or legal adoption papers will be required in either case.
4.	Immediate Family	Includes the member of staff, spouse(s), children, the member of staff's parents and siblings.
5.	Next-of-Kin	The name of the person provided by the member of staff
6.	Nuclear	Refers to member of staff, spouse and children.
7.	Pro-rata	Is the Computation of benefits for the period served in
8.	Spouse	Refers to the legal marriage partner of a member of staff specified under the Marriage Act or in accordance with the relevant Law.
9.	Surety	Refers to a person who formally accepts responsibility to locate a bondee and/or redeem the bond obligation of a

10.	Training Bond	Refers to formal agreement between the Government of Kenya and its employees who are selected for approved training that oblige them to serve in the Public Service for a specific period of time on completion of training.

This Human Resource Policies and Procedures Manual for the CUK is formulated with due regard to gender; thus where reference is made either to 'he' or 'she' only, it shall be construed to mean and include reference to both 'he' and 'she' and where reference is made to spouse, it shall be construed to mean and include reference to both 'husband' and 'wife' where applicable and vice versa.

1.0 POLICY ON STAFF CODE OF CONDUCT AND ETHICS

1.1 Policy Statement

This Code of Conduct and Ethics contains general rules of conduct to be observed by University employees so as to maintain his integrity, and loyalty to the University and also to uphold the dignity of the University office to which he or she has been appointed. It should be borne in mind that each University employee occupies a special position and ensure that his conduct both in public and private life does not bring the University into disrepute. It is therefore imperative that every University employee adheres to these rules of conduct and such other rules that may be promulgated from time to time. The Staff Code of Conduct and Ethics do not purport to cover all the relationships between the employee and the University. Every employee will be expected to conduct himself in accordance with laws, regulations or specific order regulating behaviour or conduct in Kenya.

1.2 Compliance with the Code

Staff of The Cooperative University of Kenya shall comply with all the requirements in the General Code of Conduct and Ethics set up in Part III of the Public Member of staff Ethics Act which shall form part of this code.

1.3 Identity

i. This policy incorporates by reference the Co-operative University identity.

ii. This policy contains general rules of conduct to be observed by the University employees so as to maintain their integrity and loyalty to the University and to uphold the dignity of the University offices to which they have been appointed.

iii. This policy is designed to convey the minimum obligations and standards of behavior expected of staff and to help staff resolve any ethical issues that may arise during the course of their duties.

iv. Each employee occupies a special position within the University and should be proud of that position and ensure his conduct both in public and private life does not bring the University into disrepute.

v. This policy should be read in conjunction with existing University policy documents as well as the terms and conditions of service spelt out in an employee's letter of appointment.

vi. The policy is binding on all employees of the University.

vii. Contravention of any of the provisions of this manual will be a breach of the University's rules and regulations and consequently lead to disciplinary action.

viii. Arising from the service relationship between the University and its staff, every employee has a duty to act in good faith towards the University under all circumstances.

ix. The 'good faith obligation' requires that every staff member should:

a. Abide to the requirements of the Kenyan Constitution and the Public Member of staff Ethics Act.

b. Observe official working hours and not be absent without authorization or reasonable cause.

c. Promote the interest of the University and spend the appropriate amount of time on and make the appropriate inputs to his work for the University, as agreed to in the contract of employment.

d. Give priority to the University interest by not running a similar institution while still in service.

e. Avoid any conflict between his financial interest and the University's interests, and where this is unavoidable, disclose the conflict.

f. Receive no other benefit as a result of his association with the University other than what he/she is entitled to in terms of the contract of employment.

x. All University resources MUST be used for official purposes only.

xi. The University guarantees responsible academic freedom for scholars within the framework of the CUK research policy.

1.4 Official Working Week and Hours

i. The official working hours shall be from 8.00am to 5.00pm from Monday to Friday with a one hour lunch break except for those working in shifts. The employees should dedicate themselves to exclusively discharging their official duties during these stipulated working hours. The University shall ensure equitable, reasonable and safe workload allocation to all staff.

ii. A member of staff who is required to work in excess of the appropriate weekly hours with the approval of the Deputy Vice Chancellor (FPA) shall be given equivalent time off in lieu wherever possible and if not, overtime shall be paid at the rate of double time per hour of time worked.

iii. In case an employee is unable to report to work for serious reasons, the relevant Head of Department (HOD) should be notified in reasonable time. The HOD shall notify the relevant authorities as soon as possible and raise a Staff Movement Advice (SMA) form on the same.

1.5 Appearance

i. All employees shall be expected to dress in a manner that reflects the professional standing of the University. Appropriate and decent dressing and personal hygiene shall be maintained at all times.

ii. Staff members may dress informally on Fridays depending on the planned day's activities. This mode of dressing shall include decent, smart casual wear and CUK branded Polo T-shirts or Shirts.

16 Professionalism

A member of staff shall-

iii. Carry out his duties in a way that maintains public confidence in the integrity of his office;

iv. Treat other members of staff, students and other members of the Public with courtesy and respect;

v. To the extent appropriate to his office, seek to improve standards of performance and level professionalism;

vi. If a member of a professional body, observe the ethical and professional requirements of that body;

vii. Discharge his responsibilities in a professional manner and not allow his emotions to interfere with his work;

viii. Strive to carry out his work in a manner befitting his profession;

ix. Be efficient in the discharge of his duties and strive to improve one's productivity at all times;

x. Be calm, dependable, reliable, consistent and committed to his work.

xi. A member of staff shall be expected to show initiative and, those in leadership positions should lead by example and assist their subordinates to realize their potential. A member of staff has a general obligation to other members of staff and students not to cause them physical, emotional and psychological harm at all times.

1.7 Alcohol and Drug Abuse

i. It is the University's objective to establish and maintain a work environment free from the adverse effects or abuse of alcohol and drugs.

ii. Employees who are found out to be affected by alcohol and/or drug use shall be actively encouraged to seek professional help from the University counselor.

iii. The University shall therefore not condone alcohol or drug abuse at the workplace. As such the following constitute a violation of this Code and shall lead to disciplinary action:

a. Unlawful or unauthorized distribution, dispensation, possession or use of alcohol or other drugs in the workplace;

b. Smoking within the University premises or compound;

c. Mental or physical impairment in the workplace from the use of alcohol or

d. other drugs, except from the use of drugs for legitimate medical purposes;

e. A criminal conviction for a violation of any criminal drug law, based upon conduct occurring either on or off the workplace.

1.8 Conflict of Interest

i. An employee shall declare to the Vice Chancellor his personal interest (including the interest of a spouse, relative or business associate) where such interests are likely to interfere with official duties or affect personal judgment on official matters. An employee shall:

   a. Do his best to avoid being in a position in which his personal interests,conflict with official duties.

   b. Not award a contract or influence the award of such a contract to himself, spouse, close relative, business associate, or a corporation, partnership or other body in which the employee has an interest.

   c. Not use his office or information acquired through his office to improperly enrich himself/herself or another person.

   d. Act in the best interest of the University in all dealings with current or prospective clients,

suppliers, contractors, consultants and other stakeholders.

e. Scrupulously adhere to the policy and procedures regarding purchase and the solicitation of quotations and tenders, as amended from time to time.

f. Cause to be submitted to the Vice Chancellor or his proxy for final approval details of all tenders/contracts to be awarded or quotations and purchases to be made where a staff member has withdrawn from the decision-making process.

1.9 Integrity

i. The University emphasizes honesty as a key value at work. Members of staff shall, to the best of their ability and the standards reasonably expected of workers/member of staff having ordinary skill in the act in question, carry out their duties efficiently, honestly and with integrity.

ii. An employee shall not knowingly give false or misleading information to a member of the public or to any University employee or student.

iii. A member of staff shall not impersonate or misrepresent him/herself to other members of staff, students or members of the public.

iv. Private affairs should be conducted in a way that maintains public confidence in the integrity of the employee's office and the University.

v. A member of staff shall not use his office to solicit, induce favours or collect bribes. A staff member must report immediately to his superior any attempt by another person to bribe or to improperly influence him/her.

vi. The University shall not condone any acts of cheating, plagiarism and impersonation in the production of academic materials and publications.

vii. A member of staff shall not reproduce any University documents and materials without authority.

viii. No staff may bribe or improperly influence or attempt to improperly influence any person in a decision-making position regarding University matters.

ix. No staff member shall influence the procedure concerning and/or the people entrusted with appointments, selection decisions, purchases, and the awarding of tenders and/or drawing up of quotations.

x. Anyone who is involved in grading Continuous Assessment Tests, examination scripts, theses, and dissertations should observe integrity, objectivity and high degree of professionalism in awarding marks.

1.10 Public and Political Responsibilities

i. Only the Vice Chancellor or a person designated by him can make public communication on matters concerning the University.

ii. An employee, whether on duty or on leave, must not allow him/herself to be interviewed on questions of policy or on matters affecting the University without the permission of the Vice Chancellor.

iii. While it is not desired to interfere with the liberty of free speech, any lack of discretion on the part of an employee in expressing an opinion that may embarrass the University or taken to be the position of the University may result in disciplinary action being taken against him/her.

iv. Though an employee is entitled to his own political views on political matters, he/she shall ensure that his utterances do not implicate or compromise the University. All political activities including, but not limited to, campaigning or distribution of campaign materials must be done outside the University.

v. An employee without the permission from the Vice Chancellor shall not:

   a. Publish in any manner anything which may be reasonably regarded as bringing the University into disrepute, whether under his own name, under a pseudonym or anonymous.

vi. An employee shall not, under any circumstances, communicate with the media either in writing or otherwise, or make statements on matters affecting the University's programmes or policies without specific authority from the Vice Chancellor.

1.11 Confidentiality

i. An employee must not disclose any information concerning the affairs of the University or its employees, or show or release any official document or information to any unauthorized person.

ii. Records/data should be regularly updated, maintained and protected to ensure that unauthorized access does not occur.

iii. A member of staff who has access to examination materials shall not avail any or part of the information to the candidates and/or any other unauthorized person.

1.12 Use of Resources

i. All staff members must act in the best interest of the University when handling University resources. Everyone is responsible for the resources placed under their control.

   a. A member of staff or faculty charged with the duty of acquiring goods and services for the University shall exercise due care and apply existing policies, regulations and controls.

   b. No staff or faculty may sell or use University resources without authorization.

   c. The loss of any asset must be reported immediately to relevant authorities.

   d. The use of University resources by anyone other than the authorized staff or faculty member is not permitted.

   e. University resources must be used for the purpose for which the particular goods are normally intended.

   f. No staff member shall, without the permission of the University Management Board, open a bank account on behalf of or in the name of the University, a department, division, centre, institute or any similar operating division of the University.

1.13 Gifts

i. The Vice Chancellor, or any other person authorized by him/her, may receive gifts on behalf of the University. Such gifts shall be recorded in the asset register of the University.

ii. No staff may receive any gift from any former, current or prospective supplier, subcontractor, consultant or student of the University without the written permission from the relevant authorities.

iii. All gifts to staff must, before final acceptance thereof, be disclosed on the prescribed form and approved in writing by the relevant authority. A copy of the approval is filed in the staff member's personal file.

iv. Where the University receives gifts, all the prerequisites set by the donor for the donation must be disclosed in writing.

v. A member of staff may receive grants and donations for educational literary research or other related purposes which will be surrendered to the University as stipulated in (d) above.

vi. For any personal taxable gift received with the permission of the relevant authorities, the tax implication shall be borne by the recipient.

vii. If acceptance of the gift could be prejudicial to the good name of the University, the same must be declined.

1.14 Staff Grievances and Disciplinary Matters

i. The University shall treat all complaints seriously and make every effort to investigate them expeditiously. Staff should make every effort to direct complaints through the proper channels.

ii. The University shall apply the principles of natural justice in investigating complaints. The University acknowledges that there are multiple pathways to deal with complaints.

iii. Employees shall be encouraged to consider all potential complaints carefully and should not make frivolous, malicious or vexatious complaints.

iv. In the interests of maintaining an agreeable, harmonious working environment for all University staff, it is advisable for matters giving rise to grievances to be addressed informally in as far as possible. If the initial informal approach to discuss the matter by an employee with his immediate manager fails to produce a satisfactory solution, a formal procedure should be followed to resolve the grievance.

v. The formal procedure requires an employee to write a note of grievance to the supervisor/HOD/Dean, who shall try to resolve the matter, if it does not involve him/her or to the attention of the HR

Manager, Deputy Vice Chancellor (FPA) and finally to the Vice Chancellor in that order if the decision reached by the rest is unsatisfactory. The Vice Chancellor will refer the matter to the appropriate staff disciplinary committee to review and investigate the grievance further and provide a solution to the problem.

vi. All disciplinary matters shall be handled as per the CUK terms and conditions of service.

1.15 Personal Problems

a. Where an employee has a personal problem, he/she shall be encouraged to approach the University Counselor or other relevant office with a view of being helped to resolve it.
b. Employees must desist from presenting their personal problems to colleagues, other members of staff or members of the public not in a position to solve them.

1.16 Intellectual Theft

a. A member of staff shall refrain from cheating, plagiarism and impersonation in the production of academic materials and publications.
b. A member of staff shall not reproduce any University forms, documents and materials and sell the same for personal gain.
c.

1.17 Falsification of Documents and Records

A member of staff shall not falsify documents or records.

1.18 Misuse/Misallocation of Human Resources

Heads of departments shall;

a. Take all reasonable steps to ensure that staff entrusted under his direction and supervision are properly and adequately utilized.
b. Not deploy or utilize University staff for personal/private work

1.19 Discrimination

Members of staff are expected to refrain from any form of discriminatory practices and stereotypes based on gender, religion, race, tribe, region or origin, historical background, nepotism or position held.

1.20 Nepotism/Favoritism

A member of staff of the University shall not favour relatives, friends or associates in decision making or provision of services.

1.21 Selection and Election of University Employees

A member of staff shall practice and promote the principle that the University employees should be:

(a) Selected on the basis of integrity, competence, professionalism and suitability; or

(b) Elected in free and fair elections.

1.22 Reporting Malpractices

A member of staff has an obligation to report any wrong doing he/she has become aware of in the University to the Corruption Prevention Committee/Sub Committee.

1.23 Examinations

a. A member of staff who has access to examination materials shall not avail any or part of the information on these examinations to the candidates and/or any other person.

b. A member of staff shall not tamper with examination documents.

c. A member of staff who is involved in grading continuous assessment tests, examination scripts and these should observe integrity, objectivity and high degree of professionalism in awarding marks.

1.24 Chain of Command

a. A member of staff at supervisory or higher level should follow the laid down chain of command in delegation of duties and monitoring of performance.

b. Members of staff are expected to strictly adhere to the established chain of command at all times and to desist from acts of insubordination or exercising powers that have not been properly granted.

1.25 Collective Responsibility

All staff have an obligation to protect the name and image of the University and shall act in the best interests of the University at all times.

1.26 Observance of Statutory Provisions

The University shall have powers to amend this Code of Conduct. Such amendment may be made with retrospective effect and any amendment made retrospectively shall take effect accordingly. In exercising such powers, the University shall take into consideration:-

a. Any statutory obligation and in particular the provisions of The CUK Charter;
b. Any directive or instruction from the President, National Assembly or the Cabinet Secretary, Education, Science and Technology.
c. Any agreement entered into between the University and Staff Representative Committee/Union.

1.27 Institutional History and Traditions

Staff should ensure that positive traditions, values and norms that have been generated in the past are upheld, enriched and passed on.

1.28 Concern for Environment

Staff are expected to promote and uphold University policies and measures for the protection of health and safety for all employees, students and members of the public who may be affected directly or indirectly by University activities and also give proper regard to the protection and conservation of the environment.

1.29 Reporting Improper Orders

If a member of staff considers that anything required of him is in contravention of the Code of Conduct and Ethics or is otherwise improper or unethical, he shall report the matter to the Corruption Prevention Committee or Sub-Committee thereof.

1.30 Enforcement of Code of Conduct

a. Investigations shall be carried out on the Committee's initiative or pursuant to a complaint by any person.
b. There shall be a disciplinary Committee to receive complaints and determine whether or not the University employee has contravened the Code of Conduct and Ethics.
c. A member of staff who contravenes this code shall be summoned to appear before staff disciplinary committee.
d. Investigation may be conducted by the disciplinary committee even if the subject of investigation has ceased to be an employee of the University and appropriate legal action taken.
e. The committee's decision shall be binding.
f. A member of staff who is not satisfied with the committee's verdict may appeal to the appeals Committee as provided for in the Terms and Conditions of Service.

1.31General Misconduct

Any of the following offences, without limitation, shall amount to general misconduct leading to disciplinary action being taken against an employee:

a. Lack of professional decency that may be offensive to the reputation of the University and colleagues in the workplace.
b. Failure to manage work schedules as planned.
c. Uttering, writing or publishing threats of any kind or obstructing or otherwise acting or conducting oneself in such a manner that is offensive to or against any other member of staff.
d. Misappropriating University funds, misusing its property and resources, stores, or stealing/abetting theft of any item that belongs to the University or being involved in criminal activities.
e. Hawking within the University grounds.
f. Distributing printed or electronic material on University premises without permission.
g. Smoking in campus.
h. Engaging in immoral conduct
i. Intimidation/bullying of students or colleagues
j. Sexual offences (see relevant policy incorporated herein).
k. An employee incites other employees to violence and/or disaffection.

l. An employee fails to declare to the Vice Chancellor his business interests where private business interests conflict with the interests of the University.
m. Disclosing confidential information.
n. Failure to observe punctuality at work.
o. Suffering from serious pecuniary embarrassment.
p. Making false statement or declaration in any matter on which he/she is required by the University.
q. In any way commits or omits an act calculated to embarrass the University.
r. Damaging criticism against the institution, colleagues and administration.
s. False claims for financial and/or other benefits.
t. Any other action that contravenes the Public Member of staff Ethics Act, University policies or the terms and conditions of service

1.32 Gross Misconduct

Any of the following offences shall amount to gross misconduct so as to warrant summary dismissal of an employee:

a. Without leave or other lawful cause, an employee absents him/herself from the place appointed for the performance of his work.

b. During working hours, by becoming or being intoxicated, an employee renders him/herself unwilling or incapable of performing his work properly.

c. An employee willfully neglects to perform any work which was his duty to perform, or if he/she carelessly and improperly performs any work which from its nature was his duty, under his contract, to have performed carefully and properly.

d. An employee uses abusive or insulting language, or behaves in a manner insulting, to his employer or to a person placed in authority over him/her by the employer or clients of the University.

e. An employee knowingly fails, or refuses, to obey a lawful and proper command which was within the scope of his duty to obey, issued by his employer or a person placed in authority over him/her by the employer.

f. In the lawful exercise of any power of arrest given by or under any written law, an employee is arrested for a cognizable offence punishable by imprisonment and is not within fourteen days either released on bail or on bond or otherwise lawfully set at liberty; or

g. An employee commits, or on reasonable and sufficient grounds is suspected of having committed a criminal offence against or to the substantial detriment of his employer or the employer's property.

h. Any other matters not mentioned above, which constitute justifiable or lawful grounds for summary dismissal.

1.33 Operation, Observance of Code Of Conduct And Ethics

This Code of Conduct and Ethics is formulated in accordance with the Public Office Ethics Act, 2003 of the Law of Kenya, Every member of staff of the University will be issued with a copy of the code and is expected to comply with the provision contained therein. Contravention of any of the provision of the code will be tantamount to a breach of the University's rules and regulations which may lead to disciplinary action.

2.0 RECRUITMENTPOLICY

2.1 Policy Statement

CUK is committed to the recruitment of high caliber employees for the successful attainment of its strategic objectives.

CUK is an Equal Opportunity Employer (E.O.E.) and does not discriminate on basis of race, gender, religion, ethnicity, language, political or other opinion, nationality, disability, pregnancy, mental or HIV status, unless the University wishes to distinguish, exclude or prefer any person on the basis of an inherent requirement of a job.

The University Management Board shall ensure that effective recruitment and selection systems are put in place for proper implementation of this policy.

2.2 Scope of The Policy

This policy shall apply to all staff in the University.

2.3 Appointments

a. The power to appoint an employee to any senior level position (Grades AC14 and NT14 and above) shall be vested on the University Council whereas the University Management Board shall have the power to appoint staff members at Academic, Middle and Support staff levels (Grades AC13 and NT13 and below).

b. All appointments in the University shall be contractual since all employees shall be expected to sign a Contract of Service. Each staff member shall also be expected to sign an annual performance agreement with the supervisor.
c. A CUK staff member may be redeployed to serve in any Department/Faculty or Campus at the discretion of the Deputy Vice Chancellor FPA or the University Council.

2.4 Categories of Contracts Of Service

Appointments to The Co-operative University of Kenya will be in any one of the following categories:

a. Permanent
b. Contract
c. Temporary
d. Acting
e. Part-time
f. Casual
g. Other appointments

2.4.1 Permanent Appointments

The University shall establish posts for permanent employment for the type of duties and responsibilities that are of continuous and permanent nature

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and to which the permanent terms and conditions of service shall apply. Permanent employees are considered to be on permanent basis from the date they assume office. Confirmation on permanent appointment shall be subject to completion of the mandatory probation period as stipulated in the terms and conditions of service.

Such employees shall be expected to sign an annual performance agreement with the supervisor; any unsatisfactory performance may lead to disciplinary action.

The University or the employee may terminate the appointment by giving notice or paying the equivalent salary in lieu of notice in accordance with the Terms and Conditions of Service and the Separation Policy herein.

2.4.2 Contract Appointment

Due to the nature of a job, the University may appoint an employee on contract terms.

Contract appointments for all other cadres shall be for a period of at least 12 months (one year) but not exceeding four (4) years. However, it may be renewed at the discretion of the appointing authority.

The terms of employment shall be as agreed upon between the University and the employee.

Such employees shall also be expected to sign an annual performance targets with the supervisor and any unsatisfactory performance after performance improvement programmes may lead to disciplinary action.

I. Procedure For Contract Renewal

i. A staff member whose contract is about to expire shall notify the HR Manager in writing through the respective Dean/HOD, 3 months before the due date;

ii. The respective Dean/HOD shall then write a recommendation letter to the Deputy Vice Chancellor, FPA explaining why the contract should or should not be renewed;

iii. Once approved, the Deputy Vice Chancellor FPA shall write to the staff member informing him/her of the decision reached;

iv. If the decision is not to renew the contract, the staff member shall be served with a notice period or be paid a salary equivalent to the notice period.

2.4.3 Temporary Appointment

i. The University may fill a position on temporary terms on the following grounds:

   a. When there is a vacancy and it is undesirable to appoint a staff on permanent terms.

   b. To sit in for a regular staff who may be on leave.

   c. In case the University creates positions that are short-term in nature.

ii. Such appointments shall be for a period not exceeding 12 months (one year).

iii. Temporary staff shall receive a taxable consolidated salary with no allowances. They shall be expected to contribute to NHIF and NSSF. They shall however be entitled to annual leave as stipulated in the Employment Act, 2007.

2.4.4 Acting Appointment

i. An acting appointment may be made where a vacancy arises that is not substantively filled or when the incumbent is incapacitated or unavailable for official reason.

ii. The acting appointments period shall not exceed three (3) consecutive months. This can however be extended for another three (3) months with the approval of the Deputy Vice Chancellor (FPA) or the University Council.

iii. When vacancy arises, the HOD in consultation with the respective Deputy Vice Chancellor shall write recommending three (3) potential candidates for appointment, with a copy to the HR Manager. The letter shall contain the names of the employees recommended, the position to be acted and the expected acting period. The Vice Chancellor, shall then appoint one of the recommended persons.

iv. An employee required to act as the Vice Chancellor when the position falls vacant shall be appointed by the University Council.

v. An employee required to act as the Deputy Vice Chancellor when the position falls vacant shall be appointed by the Vice Chancellor in consultation with the University Council.

vi. Absence of less than 30 consecutive days due to an employee being on urgent or annual leave or sick leave, shall not be regarded as break in an acting appointment provided the employee is required to act again on the same post immediately he/she resumes duty.

vii. The acting appointment shall be terminated when the substantive holder of the higher position resumes duty or upon substantive filling of the higher post.

2.4.5 Part-Time Appointment

i. Part-time appointments shall be made in the teaching departments only and shall be made per semester. A part-time member of staff shall be required to clear with the University at the end of the semester. The appointment may be renewed at the discretion of the University but shall be based on performance.

ii. Part-time appointments shall be on such terms as the Council may determine from time to time. Payments for such part-time appointment will be commensurate to the tasks involved and as per part-time payment policy.

iii. Unless expressly provided for in the letter of appointment, part-time appointees will be paid on hourly basis with no extra benefits.

2.4.6 Casual Employment

i. The University may employ casual workers on daily basis in accordance with the Employment Act, 2007 (section 11) or any other written law.

ii. Casual employees shall be engaged for a continuous period of not more than three (3) months and shall be paid by the end of each working day or any other agreed period not exceeding one (1) month.

2.4.7 Other Appointments

Seconded and Visiting/Sabbatical Appointments

a. The Council may appoint staff on secondment or on visiting basis.
b. Secondment and visiting appointments shall be on such terms and for such periods as the University Council and the appointee agree.
c. The obligations of the University regarding emoluments, allowances and other benefits in respect to secondment and

visiting appointees shall be specified in the letter of appointment.

d. Unless otherwise specified in the letter of appointment, secondment and visiting appointees shall be subject to the authority of the Vice Chancellor or other member of staff acting on his behalf.

i. **Attachment/Internship**

a. Continuing students wishing to acquire job experience may be engaged on attachment for a period of not more than 3 months. During this duration, the students shall be expected to abide by the code of conduct of the University.

b. The Co-operative University of Kenya shall not pay students on attachment

c. Students on attachment shall not be attached to sensitive areas of the University.

d. Attachees shall be expected to have a personal accident insurance cover.

ii. Volunteers

The University may enter into contracts of service with volunteers for a period not exceeding one year. However, such a contract may be extended at the discretion of the Vice Chancellor for an additional period of up to one year. Such volunteers shall not be entitled to receive wages or salaries but shall get a stipend at a rate determined by the University from time to time.

iii. Work Study Programme

Students interested in the Work Study Programme should apply by filling in the necessary forms from the Dean of Students Office. Those considered for such appointment will be notified by the Dean of Students. Their names shall then be communicated to the relevant departments. Students working for a whole day will be paid at the same rate as casual employees while those working for a few hours will be paid per hour.

iv. Outsourcing

CUK may from time to time outsource labour services from firms that specialize in certain kinds of jobs. Such employees are expected to adhere to the University's guidelines.

2.5 Establishment of New Posts

a. In order to be in line with the University's strategic objectives, new posts may be created. A Head of Department who wishes to request for a new position shall be expected to provide the following:-
    a. A justification for the new position
    b. Detailed job description and specification
    c. Proposed entry level
b. All new positions must get the approval of the Planning, Establishment and Development Committee of the University, the University Management Board and the Council.

2.6 Human Resource Plans

a. Every Division/Campus/ School/ Institute/Directorate/Department/ Section Department shall prepare Human Resource Plans to support achievement of goals and objectives in their Strategic plans. The plans shall be based on comprehensive job analysis and shall be reviewed every year to address emerging issues and needs.

b. On the basis of these Human Resource plans, Departments shall be required to develop annual recruitment plans which will be forwarded to the Deputy Vice Chancellor, FPA at the beginning of each financial year to enable it plan to fill the vacancies.

Reporting of Vacancies

a. Heads of Divisions/Campuses/ Schools/ Directorates/Institutes/ Departments/ Sections shall declare all vacant posts to the Deputy Vice Chancellor, FPA before each financial year.

b. The Establishment Committee, University Management Board, The Human Management Resource Committee (HRMCC) and the Governing Council shall consider requests for approval of declaration of vacancies.

Advertisement of Vacant Posts

a. The University will advertise all vacant posts in a manner that reaches the widest pool of potential applicants and allow for at least twenty one (21) days before closing the advert for external advertisements and fourteen (14) days for internal advertisement. The advertisements shall have the following details: the title of the post, number of vacancies, person

specification and instructions on how to apply.

b. (2) All advertisements must be approved by the Deputy Vice Chancellor, FPA

c. (3) The advert shall be delivered in soft copy to the Public Relations Member of staff to be posted in its website.

2.7 Recruitment Procedure

a. The recruitment process shall be initiated by the Head of Department in consultation with the immediate supervisor.

b. The respective Head of Department shall formulate a job description and specification and forward it to the HR Manager together with the recruitment requisition form. The HR Manager shall consult the relevant authority.

c. The University shall consider the following possible ways when filling a position:

a. Promotion

b. Transfer of an employee

c. Internal recruitment

d. External recruitment

2.7.1 Procedure for Recruitment Of Teaching Staff

a. Full-Time Teaching Staff

a. The process of filling a vacancy shall be initiated by the HODs; who shall write a requisition to the HR Manager through the Dean of Faculty and Deputy Vice Chancellor (Academic Affairs).
b. The Dean shall discuss the request with the HOD and the Deputy Vice Chancellor (Academic Affairs) before forwarding it to the HR Manager for action.
c. The HR Manager shall consult the Deputy Vice Chancellor (FPA) who may in consultation with the Vice Chancellor grant permission to recruit.
d. Vacancies shall be advertised either internally or externally.
e. Short listing of candidates shall be done by the Department Board and HR Manager.
f. The HR Manager shall invite the shortlisted candidates for an interview.
g. In special cases, the HOD and Dean of Faculty may head-hunt an employee to join the faculty. This shall however apply to senior teaching staff i.e. Lecturers, Senior Lecturers, Associate Professor and Professors

only. Other staff may be head-hunted in highly specialized and competitive fields only. Permission must be granted by the Deputy Vice Chancellor (Academic Affairs) and such a candidate must be interviewed by a panel.

i) Selection Criteria For Teaching Staff

a. All shortlisted candidates shall be invited for oral interviews as the first step in the selection procedure.

b. The interview panel shall be constituted as per the University Statutes.

c. The interview panel shall make a recommendation on the most qualified candidate(s) before it disbands. In case of an appointment involving an already serving CUK employee, the effective date of the promotion shall be the next day after interview while any other new appointment shall be effective the date the member of staff reports on duty and his Head of Department fills in a Staff Movement Advice form.

d. Other tests may be conducted based on the area of specialization.

2.7.2 Recruitment of Non-Teaching Staff

a. The recruitment of Vice Chancellor and Deputy Vice Chancellors shall be done by the University Council.
b. All other vacancies amongst the non-teaching staff shall be reported to the HR Manager by the relevant HOD or supervisor.
c. The HOD/supervisor and HR Manager shall consult the Deputy Vice Chancellor (FPA).
d. Vacancies shall be advertised internally or externally.
e. Application letters for the position shall be received by the Deputy Vice Chancellor(FPA)
f. The HOD/supervisor together with the HR Manager shall conduct the short listing.
g. The HR Manager shall invite the shortlisted candidates for an interview.
h. The interview panel or committee shall be constituted as outlined in the University Statutes.
i. The panel or committee shall make a recommendation on the most qualified candidate(s) before it disbands. In case of an appointment involving an already serving CUK employee, the effective date of the promotion shall be the next day after interview while any other new appointment shall be effective the date the member of staff reports on duty and his Head of Department fills in a Staff Movement Advice form.

2.8 Communication of Appointment

a. When, on the recommendation of the interview committee, the HR Committee of the Council or the Management Board, depending on the case, has appointed a candidate, the HR Manager shall make sure that he/she, before signing a contract with the University/, is made aware of the "Terms of Employment" the grade and salary proposed.
b. The HR Manager shall also find out how soon the candidate might accept the position and report accordingly to those concerned.
c. A copy of the Terms and Conditions of Service shall be attached to the letter of appointment. However, appointment shall be processed only upon receipt of a satisfactory medical report by the In Charge, University Dispensary indicating the health status and ability of the appointee to take up the job offered.

2.9 Appointment document

A candidate on first appointment shall provide the following documents:

a. National identity card;
b. Birth Certificate;
c. KRA tax PIN;
d. NHIF Card;

e. NSSF Card
f. Original academic and professional certificates;
g. Certificate of good conduct from the Directorate of Criminal Investigations;
h. Colour Passport size photograph; and
i. Bank account details.

In addition, the Department of Human Resource shall ensure that all newly appointed member of staff are duly vetted as per the existing vetting policy.

2.10 Next of Kin

Every employee will be required to complete a next-of-kin form on first appointment and to update his next-of-kin records and other family details with the Department of Human Resource whenever necessary.

2.11 Record of Previous Employment

It is the duty of the Human Resource Manager, when making appointments under delegated authority, or in making recommendations for new appointments, to ensure that a candidate's record of previous employment is satisfactory in all respects.

2.12 Medical Examination

All candidates on new appointment shall be required to undergo a medical examination by a Medical Member of staff who must complete the prescribed form at the cost of the applicant. The purpose of this test is to confirm that the employee is medically fit to take up the job offered.

2.13 Offer and Acceptance of Appointment

i. At employment, an employee shall be issued with a letter of appointment. This letter shall be done in duplicate and shall include the following information:
    i. Position and job grade
    ii. Salary scale and amount of basic salary payable
    iii. The benefits entitled to the employee such as house allowance
    iv. Probationary period
    v. Terms of employment (permanent, contract, etc).

ii. An appointment offer must be accepted by an employee before taking up the office. This shall be in form of a declaration by the employee that he/she confirms acceptance of the job and the terms and conditions therewith and a signature. The employee shall retain the original letter whereas the duplicate will be kept in his personal file by the Human Resources Office.

iii. An offer of appointment may be withdrawn if the candidate does not confirm in writing his acceptance of the offer of appointment within one month from the date of offer.

iv. The date of appointment shall be the date on which the employee assumes duty.

v. Once a post has been filled, all other candidates who were interviewed shall be informed in writing that they were not successful within three (3) months from the date of the interview.

2.14 Job Description

a. At appointment, re-deployment or promotion an employee shall be provided with a detailed job description relevant to the post.
b. Such employees shall be expected to sign their job descriptions to indicate concurrence with and understanding of the duties therein.

2.15 Staff Identity Card

a. At employment, the HR Manager shall issue an employee with a staff Identification Card (ID).
b. In case of loss of the ID, an employee shall apply for replacement for which he/she shall be expected to pay the required fee. However, if the replacement of the card is as a

result of change of official information, therein, it shall be done at the cost of the University.

c. On termination of employment, the employee shall be expected to submit his ID to the HR Manager before he/she can be cleared by the University.

2.16 Induction of New Employees

a. In order to facilitate easy settlement in a new job and for quick familiarization with the University all new employees shall undergo an Induction programme. The Office of Human Resources in liaison with the respective heads of departments shall be responsible for ensuring that all new employees are comprehensively oriented to the job and related aspects.

NB: The HR Manager shall ensure that all newly appointed employees are taken through an induction course within three (3) months after joining the University.

a. The induction process should include, without limitation, to the following:

i. Introduction to colleagues, especially those in his department.

ii. The University's HR policies and procedures

iii. Job description with clear duties and responsibilities

iv. Introduction to the University's mission, vision, core values and strategic objectives.

v. Familiarization with the departmental work plans and objectives

vi. Familiarization with the organizational structure and the management team.

vii. Staff welfare facilities

viii. Job related induction training as the case may be.

2.17 Probation

a. All employees appointed on permanent terms shall be put under probation for a period of time as shall be outlined in the respective Terms and Conditions of service.

b. The HR Manager must bring to the attention of an employee on probation that he/she is on trial with a view to learning his work and being tested on his suitability for it. The respective HODs and supervisors shall be charged with the duty of ensuring that such an employee is given adequate support and opportunities to prove his ability to perform the assigned duties.

c. HODs are required to submit to the Deputy Vice Chancellor (FPA) confidential reports on staff in their departments serving on probation. At the end of the minimum probationary period the HODs shall be required to submit a final report on such a

member of staff recommending either confirmation or termination of appointment or extension of the probationary period.

d. If the appraisal report indicates that the performance of the employee is unsatisfactory, the Evaluation Committee shall recommend extension of the probation as stipulated in the Terms and Conditions of Service and the Labour Laws.
e. The services of an employee on probation may also be terminated if the information received about his general background and/or previous employment from referees turns out to be a misrepresentation or the references are not totally satisfactory.
f. Successful candidates shall be issued with confirmation letters.

2.18 Non-Discrimination in Employment

a. CUK shall promote equality of opportunity in employment without compromising quality and will not discriminate directly or indirectly against an employee on any grounds including race, sex, pregnancy, marital status, health status, ethnic or social origin, colour, age, disability, religion, conscience, belief, culture, dress, language or birth.

b. CUK will endeavour to attain gender balanced by ensuring that not more than 2/3 of positions in its establishment are filled by either gender.

c. Persons with disability shall be accorded equal opportunities for employment provided they have the necessary qualifications and are suitable for such employment.

d. CUK shall endeavor to implement the principle that at least five (5) percent of all appointments shall be for persons with disabilities.

e. CUK shall provide facilities and effect such modification, whether physical, administrative or otherwise, in the workplace as may be reasonably required to accommodate persons with disabilities.

2.19 Recruitment of Non-Citizens

i. It is the policy of the CUK not to employ non-citizens where there are citizens with the appropriate qualifications.

ii. In applying for authority to recruit a non- citizen, the Deputy Vice Chancellor, FPA should confirm that there is no citizen with

the required qualifications available for appointment and the candidate has complied with the provisions of the Immigration Act and regulations.

iii. Recruitment from outside Kenya will also be subject to the following:-

a. That the candidate is prepared to accept an appointment on contract terms;

b. That the Government of the country to which the candidate belongs raises no objection to his recruitment; and

c. The candidate complies with the requirements of the Immigration Act.

iv. Non-citizen employees are also subject to the policies and regulations applicable in CUK.

v. It is the responsibility of the University to facilitate acquisition of work permits for non-citizen employees.

2.20 Transfers

a. As indicated 2.3 (c), all employees of the University can work at any of the CUK campuses. In this regard, the particular campus shall become the workstation for those particular employees.

b. The power to transfer an employee from one campus to another or from one department to another shall be vested in the Vice Chancellor for senior positions and Deputy Vice Chancellors or a designated person for all other positions.

2.21 Handing Over Report

On re-deployment, transfer or termination of appointment, an employee shall prepare a comprehensive handing over report under the supervision of the immediate supervisor and/or HOD. A copy of the report duly approved by the supervisor shall be submitted to the HR Office for record purposes.

3.0 PERFORMANCE AMANGEMENT POLICY

3.1 Policy Statement

The Co-operative University of Kenya is committed to the achievement of its strategic objectives. This policy is based on a performance management system intended to yield better results from teams and individual staff.

It emphasizes setting mutually agreed targets between the supervisor and the employee based on jointly planned goals, standards and competencies/ skills requirements. In other words, the policy stresses a shared understanding about what is to be achieved and formulating a plan for developing the capacities of the staff to enable them attain the set targets.

3.2 Purpose

a. The purpose of this policy is to outline the University's performance management system to ensure that all faculties, departments, sections and individual staff clearly understand the process and what is expected of them.
b. Specifically, the policy is aimed at:

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i. Guiding the entire University in corporate and individual performance, planning and monitoring for successful achievement of strategic objectives;
ii. Encouraging staff self – development and performance improvement through regular feedback and training;
iii. Ensuring consistency and fairness in the evaluation of all staff;
iv. Providing a mechanism for identifying performance gaps and taking timely remedial actions for continuous improvement; and
v. Fostering a performance-oriented culture based on open and honest communication between the staff and their managers.

3.3 Scope of the Policy

a. This policy shall apply to all categories of staff in the University.
b. Staff members shall be expected to sign a Performance Contracts with their supervisors on appointment and afterwards every year. This agreement shall include the following:
    a. Targets as agreed upon between members of staff and their immediate supervisors

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b. Performance appraisal forms as agreed upon by the University Management Board

c. A copy of the signed Performance Contracts shall be kept in the employee's personal file. The staff members shall be given a copy of the same for his reference.

d. The primary responsibility for implementing this policy rests with the Vice Chancellor for top managers and HR Manager for other staff categories.

e. The HR Manager shall provide staff performance appraisal reports to the Management Board annually.

3.4 Strategic Planning

This is a process planning for achievement of overall long term goals of the Organization.

Heads of Departments/ Sections shall coordinate development and review of strategic plans in their respective Departments. The plans will be the basis for setting performance targets for the organization which shall be cascaded to the individual level.

3.5 Performance Contracting

Performance Contracting is a negotiated process in which CUK set their performance targets based on their mandates, functions and strategic

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objectives.

Performance contract should be cascaded to all departments, sections, levels and cadres of employees.

3.6 Objectives of Performance Appraisal

Staff Performance Appraisal is a critical component of the human resource management function. The overall objective of the appraisal system is to manage and improve performance in CUK by enabling a higher level of staff participation and involvement in planning, delivery and evaluation of work performance.

The specific objectives are to:-

a. Link individual performance targets with organizational strategic objectives and Work Plan;

b. Promote communication between Appraisee and Supervisor with continuous feedback on work progress;

c. Set the basis on which an officer's performance is monitored and evaluated as stipulated in the individual work plan;

d. Assess the learning and development needs of staff on a timely basis;

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i. Provide information for decision making on administrative and human resource issues such as renewal of contracts, promotions, delegation of duties, training, deployment, rewards and sanctions.

3.7 Scope of Application

i. (1) Performance Appraisal shall apply to all categories of staff in CUK.

ii. The prescribed appraisal form will be completed by all officers in CUK in consultation with the supervisors.

iii. All newly employed officers will be required to agree on performance targets with the supervisor and sign Performance Contracts within three (3) months of employment.

iv. All promoted/redeployed officers will be required to agree on new performance targets with the supervisors.

3.8 Work Planning and Setting of Performance Targets

i. Prior to the beginning of the performance period, Departments will prepare Work Plans based on their strategic plans. The Departmental Work Plans should include the Departmental priority objectives from which

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individual performance targets will be derived. Departmental Heads will meet with staff under their direct supervision to discuss and ensure that the objectives and performance targets of the department are understood.

ii. The individual work plans will be derived from the Departmental Work Plans and member of staff's Job Description. The Work Plan will briefly describe the performance targets or expected results on specific assignments and activities for which the staff member is responsible during the performance year;

iii. The Appraisee will hold discussions with the immediate Supervisor to agree on the work plan. The performance targets shall thereafter be set as agreed in the discussions by latest 31st July of each year. For each performance target to be assessed there will be performance indicators.

3.9 Appraisal Period

The appraisal period will cover one (1) year starting from 1st July to 30th June of the following year. The Performance Appraisal reflects

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the summation of the year's performance including quarterly and mid-year reviews.

Strategic Objectives

The strategic objectives will be derived from The CUK Strategic Plan and performance contract and cascaded to the Divisions, Campuses, Directorates, Schools, Departments, Sections and individual employees.

3.10 Continuous Performance Appraisal

Performance appraisal is an on-going process throughout the performance period. Milestones over the review period should be documented and maintained in the Appraisee's personal file.

3.11 Performance Management Process

The performance management process shall be as follows:

a) Formulation/Review of CUK's Strategic Objectives

The Vice Chancellor and Deputy Vice Chancellors shall ensure that CUK's strategic objectives (and hence the strategic plan) are reviewed annually/ or as need arises in consultation with the respective faculties, departments and sections to make them relevant to the ever-changing environments. Such objectives (and the strategic plan) shall be communicated in writing to all Campus Directors, Faculty Deans, Institutes Director, departmental and or

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Sectional heads who shall in turn communicate them to the staff members under their supervision.

b) Formulation/Review of Departmental Objectives

The Deans, Campus Directors and/or Heads of Departments in consultation with Deputy Vice Chancellors shall ensure that clear Faculty, Campus and Departmental or Section objectives are formulated and reviewed annually/or as need arises in line with the University's strategic objectives.

The objectives shall indicate clearly the role of the Faculty, Campus, and Department or Section in the attainment of the overall University's strategic objectives. Such objectives shall be communicated in writing to the respective Deputy Vice Chancellor and copied to HR Manager for purposes of monitoring. These objectives shall also be communicated to all the staff members in the respective Faculty, Campus, Department or Section.

c) Formulation/Review of Individual Objectives

The Deans, Campus Directors, Heads of Departments and Sectional Heads of Departments shall ensure that objectives for individual staff members are formulated and reviewed annually/or as need arises. Such objectives shall indicate how the individual staff contributes to the achievement of the Faculty, Campus, and Departmental or Section objectives and hence the overall University strategies.

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d) Setting of Performance Targets

Performance targets shall be formulated in three levels as follows:

i) Annual CUK Performance Targets

The Vice Chancellor and the Deputy Vice Chancellors shall formulate the annual University Work Plan in line with the Strategic Plan with clear annual performance targets for the University. Such Work Plan and targets shall then be communicated to the Campus Directors, Deans and HODs before or by the beginning of every financial year.

ii) Departmental Performance Targets

Each Campus Director, Dean and HOD shall in turn formulate a Work Plan in line with the annual University Work Plan with clear performance targets and communicate the plan to their staff.

iii) Performance Targets For Individual Staff

Each Supervisor shall meet with the staff members under their direct supervision to discuss and formulate annual individual Work Plans with clear individual performance targets. The departmental Work Plan and targets shall form the basis for the formulation of the individual work plans and performance targets.

The individual Work Plan shall describe the performance targets or

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expected results on specific assignments and activities for which the staff member is responsible during the performance year.

Each employee shall hold discussions with his immediate supervisor to agree on the Work Plan and the performance targets for the year.

As part of the Staff Personal Development Plan (PDP), Training and Development Needs Assessment shall be conducted at the end of every financial year. The outcome of the assessment shall form the basis for PDP.

3.12 Performance Agreement Process

The University performance agreement process shall be as follows:

i. The University Council signs a Performance Contract with the Ministry of Science &Technology.
ii. Vice Chancellor signs a performance agreement with the University Council.
iii. Deputy Vice Chancellors, and Campus Directors sign with the Vice Chancellor
iv. Deans, Directors, Registrars & HODs sign with the respective Deputy Vice Chancellors
v. HOD signs with respective heads of sections.
vi. Members of staff sign with respective heads of sections.

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3.13 Performance Review

a) Appraisal Period

The appraisal period shall cover one year from 1st July to 30th June every financial year. The Annual Performance Appraisal report shall be a summation of the year's performance.

b) Frequency of Review

i. Quarterly performance appraisal

Performance appraisal shall be an on-going and continuous exercise throughout the performance period. The individual staff member shall give his own self appraisal after which he/she shall be expected to discuss the results with the supervisor and both agree on the level to which the targets have been achieved. Milestones over the review period shall be documented and maintained in the Appraisee's personal file on quarterly basis.

ii. End of Year Appraisal

a. The end year Appraisal shall take place at the end of the reporting period.
b. The supervisor and the appraisee shall meet at the end of the year to discuss the overall performance over the appraisal period.
c. Prior to the meeting, the appraiser shall prepare a preliminary assessment of the extent to which the set performance targets have

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been achieved as agreed at the beginning of the performance period.

d. The supervisor and the appraisee shall discuss the agreed performance targets together with any changes/comments from the quarterly performance appraisal.

e. The supervisor shall assess the extent to which the appraisee has achieved the performance targets set, taking into account any unforeseen developments that may have affected performance during the period. He or she shall use the following five ratings:

Achievement of the Targets	**Result achieved in %**	**Comments**
Performance above the target (Target exceeded)	101%+	Excellent
Performance at par with the target (Target fully met)	85 - 100%	Very Good
Performance very close to the target (Target almost met)	70 - 84%	Good
Performance fairly close to the target (Target partially met)	50% - 69%	Fair
Performance close to the target (Target partially met)	40-49%	Poor

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Performance far below the target (Targets not met)	0-39%	Very poor

f. The supervisor shall also assess and give comments on the Appraisee's core competencies and values, and managerial and supervisory competencies for staff in such positions.

g. The University Core values shall be:

h. The Core Competencies shall include: Professionalism, Technical Competency, Communication, Teamwork, Time Management, Creativity, Continuous learning and Performance Improvement, Customer focus, etc.

i. Managerial and Supervisory Competencies shall include Leadership, Planning and Organizing, Training and Developing Staff, Managing Resources and Accountability, Judgment and Objectivity, Managing Performance, Promoting use of Information Technology etc.

j. The Appraisee shall also comment by giving his views on the supervisor's assessment of his performance.

3.14 Evaluation by Clients

Staff members shall be evaluated by their respective clients. Feedback shall be given to the supervisor and the staff member concerned.

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3.15 Rewards and Sanctions

The overall goal of the Rewards and Sanctions is to Establish a basis for rewarding exemplary performance and administering sanctions for poor performance, motivate employees to have positive attitude to work and to enhance productivity in the public service. This will also create linkages between institutional and individual performance.

The University Management Board (UMB) will be responsible for the administration of the rewards and sanctions.

3.16 Types of Rewards and Sanctions

The provision and types of rewards and sanctions shall be as determined by the Management Board from time to time.

3.17 Performance Appraisal Appeal Mechanism

An employee who is not satisfied with the Supervisor's appraisal shall refer the matter to the respective Deputy Vice Chancellor, who shall try to find a middle ground. If this is still unsatisfactory, the issue shall be brought to the attention of the Staff Evaluation Committee. Such an appeal shall be

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dispensed within not more than one month after it is reported to the respective Staff Performance Evaluation Committees.

The senior staff members reporting to the Vice Chancellor shall appeal to the Human Resource Committee of Council. Such an appeal shall be decided in not more than four months after it is lodged.

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4.0 REWARD MANAGEMENT

4.1 Policy Statement

The University recognizes the role of reward in performance improvement. It appreciates that every employee has a direct contribution to make towards the University's strategic objectives. Through this policy, the University shall strive to reward staff on the basis of their performance, qualifications and responsibilities.

The purpose of this policy therefore shall be to offer a remunerative package that is fair, competitive and motivating in order to attract, retain and trigger commitment, innovation and creativity towards full realization of staff potential.

4.2 Remuneration Structure

The University shall adopt a Graded Pay Structure. Each grade shall consist of a range of salary scales with minimum and maximum pay rates or points. In order to keep abreast with competition and the standard of living, the University shall review its remuneration package from time to time as approved by the Council.

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4.3 Payment of Salaries

a. The salary of a new employee shall be computed from the date he/she assumes duty as confirmed by the head of his department.
b. Salaries shall be paid in arrears and at the end of each month worked.
c. Pay-slips detailing each employee's salary shall be given to the members of staff at or before the time at which payment is made.
d. Salaries and other cash benefits shall normally be paid through a commercial bank and shall be transferred to the employee's bank account by the end of every month.

4.4 ENTRY POINT

a. A newly recruited employee shall enter at the minimum point of the salary scale to which he/she has been appointed.
b. The University may, however, consider an enhanced entry point if the candidate has higher qualifications and/or experience.

4.5 Annual Increments

a. Employees on Permanent Terms shall receive an annual salary increment in accordance with the stipulated salary structure until the maximum salary point of the respective job group.

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b. Salary increment will be made once in a financial year for all staff members except those on Contract and Temporary Terms of Service. The increment date is 1st July or 1st January every year.

c. An employee who has reached the maximum salary scale shall apply for promotion through the Staff Appointments Committee. An employee must meet the minimum requirements in terms of academic/professional qualifications and experience for the next grade for him/her to qualify for promotion. Staff members are therefore encouraged to seek career development guidance from the HR office at all times.

4.6 Increments for Approved Experience

a. An employee appointed on Permanent, Contract or Temporary terms may be granted an incremental credit for previous approved experience at the rate of one increment for each complete year of approved experience. It shall however, be ensured that the maximum point of the salary scale assigned to the post is not exceeded.

b. In giving incremental credit, any period of service or experience stipulated as a basic minimum requirement for appointment or promotion to a particular grade would be excluded as this constitutes the minimum requirements specified for the appointment to that grade.

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c. Incremental credit may also be given to an employee who has more qualifications than the minimum required for a particular job group and who may not have qualified for the next job group for whatever reason. Such an increment shall be given at the rate of one increment for each complete year of certified relevant training.

4.7 Salary Advance

a. The University may give salary advance to employees. Such advances shall not be more than twice the Basic Salary of the employee provided the employee is serving the University on Permanent Terms of Employment and his net salary allows.
b. The recovery period shall not exceed twelve (12) months.
c. Application for salary advances shall be made through the HR office.

4.8 Deductions from an Employee's Salary

a. The University may deduct from the salary of an employee:
    i. Contributions to NHIF, NSSF and an approved retirement benefit scheme.
    ii. Surcharge
    iii. Any amount paid to the employee in error as wages in excess of the amount of wages due to him/her.

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iv. Any amount which the employee has requested the employer, in writing, to deduct from his wages.

v. An amount due and payable by the employee under and in accordance with the terms of agreement, in writing, by way of repayment or part repayment of a loan made to him by the employer.

b. The above deductions may be made, provided that the total amount of all deductions from the wages of an employee at any one time shall not exceed two thirds of such wages.

4.9 Allowances

The University shall pay allowances to members of staff as may be determined by the University Council from time to time. The allowances include:

a) House Allowance

All staff members on Permanent, Contract and Temporary Terms of Service shall be entitled to a house allowance as may be determined by the University council from time to time.

b) Commuting Allowance

The University will pay commuting allowance to assist staff to meet their daily travel expenses to and from work. The commuting allowance is

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payable regardless of the distance travelled to and from the Campus.

c) Leave Allowance

The University will pay an annual leave allowance as may be determined by the University Council from time to time. This allowance shall be paid once in a year.

d) Responsibility Allowance

i) Responsibility allowance shall be paid to members of staff who, in addition to their normal duties, are appointed to carry out additional responsibilities.

ii) Employees appointed to the following offices shall be paid a responsibility allowance:

i. Vice Chancelloe;
ii. Deputy Vice Chancellors;
iii. Campus Directors, Deans, Directors and equivalents;
iv. University Librarian;
v. Registrars;
vi. Human Resource Manager;
vii. Finance Member of staff
viii. Department Heads and equivalents;
ix. Deputy Department Heads and equivalents, and;

iii) Others as may be determined by the University Management Board from time to time.

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iv) The University Council may, at its discretion, designate any other category of staff or offices for payment of responsibility allowance at such rates as it may deem appropriate.

e) Mileage Allowance

i. The use by an employee of a motor vehicle for the performance of official duties is intended to be an economy in time and resources. Staff shall also be required to prove ownership of the vehicle by providing a copy of the Log Book. The journey must be approved in advance by the relevant authority. The payment shall be based on engine capacity and the prevailing AA rates.

ii. Several employees should, where possible, arrange to travel together in the same vehicle. An employee using a motor vehicle for journeys in respect of which this allowance may be claimed should see that such a vehicle is not used when a motor vehicle belonging to the University is available.

f) Travel and Subsistence Allowance outside Kenya

i. This allowance shall be payable at rates applicable at any time in the Kenya Public Service.

ii. Where a member of staff is required to stay in a hotel whose rates exceed his authorized subsistence allowance, he/she

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will be reimbursed at a higher rate upon verification of the claim by the Human Resource Manager.

g) Day Trip Allowance

Day trip allowance will be payable where the member of staff is on official duty sixty (60) kilometres radius or more outside his normal duty station, but who does not spend the night away from home and is not eligible for subsistence allowance. Day trip allowance will be paid at half the rate applicable to daily non-accountable subsistence allowance and will be non-accountable.

h) Telephone Allowance

The University shall pay telephone allowance to member of staff whose nature of duty requires them to liaise with other heads of department/divisions on official University matters. This allowance is to facilitate quick consultations and decision making.

i) Entertainment Allowance

Entertainment Allowance shall be payable to various categories of staff or such other member of staff(s) determined by the University Council from time to time.

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j) Relocation Allowance

When a member of staff is transferred from one station to another, he/she will be eligible for payment of transfer allowance immediately he is released to the new station, provided that the new station is not less than sixty (60) km radius from the old station.

k) Overtime Allowance

a. The weekly hours of work shall not be more than 40 hours spread over five (5) days per week for all categories of Non-Teaching staff.
b. Non-Teaching Staff members who work overtime shall be compensated by giving off days in lieu of cash allowance. Such compensation shall be at the rate of 2 hoursfor every 1 hour of overtime from Monday to Sunday and public holidays.
c. Earned overtime shall not be accumulated for a period of more than one year unless dully authorized.
d. Overtime shall only apply for special projects or tasks that the University may undertake from time to time.
e. Employees on extraneous allowance shall also not be considered for overtime.
f. Overtime MUST be approved by the respective Deputy Vice Chancellor or his designate before the work is undertaken.

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g. The University shall not consider overtime for normal departmental work or routine duties where it is possible to make alternative arrangements to perform the duties within the normal working hours. Such arrangements may include working in shifts.

h. The University Management Board may authorize payment of overtime in case it is practically impossible to take days off.

l) Extraneous Allowance

Extraneous Allowance shall be payable to various categories of staff or such other member of staff(s) determined by the University Council. Staff members who get extraneous allowance shall not be entitled to overtime allowance or days in lieu of pay.

m) Acting Allowance and Special Duty Allowance

a. Acting Allowance will be payable to a member of staff who on the recommendation of the Head or Chairman of the Department and approval of the Deputy Vice Chancellor (FPA) is formally appointed to act in an administrative post.

b. To qualify for Acting Allowance the acting appointment must last for at least fifteen (15) calendar days.

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c. When a member of staff does not posses the necessary qualifications and cannot be appointed to act in higher post, but is nevertheless called upon to undertake the duties of that post either in full or in part for a limited time, a Special Duty Allowance will be granted to him/her by the Deputy Vice Chancellor (FPA). Acting/Special Duty allowance will be paid

n) Risk Allowance

Risk allowance shall be payable to the relevant categories of members of staff at rates applicable to the Kenya Public Service from time to time.

o) Hardship Allowance

i. Hardship allowance will be payable to an employee in any area gazetted as a hardship area at the rates applicable to the Kenya Public Service at any given time.

ii. Where the husband and wife are both employees of the Employer and are both posted to areas specified in paragraph (i) above, hardship allowance will be payable to both husband and wife.

p) Passage and Baggage Allowance

On 1st appointment or termination of appointment, a member of

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staff shall be paid non-accountable passage and baggage allowance as determined by the University Council.

4.10 Award of Performance Excellence

a. The University shall encourage all staff to embrace a performance-oriented culture. In this respect, it shall ensure that staff members who demonstrate exceptional performance are recognized, appreciated and rewarded.

b. Each year, the University shall recognize excellence in research, teaching/ work performance and community service through a variety of awards. The awards shall be granted to academic and non-academic staff who have made outstanding contributions to the betterment of the University community. These awards contribute to the ability of the University to attract and retain a talented work force.

c. The Awards of Excellence Committee shall be elected by the Senate. The Chair of the Committee shall invite the University community to nominate candidates for each award category. Academic and Non-Teaching staff and students may nominate a person by submitting the following:

    i. Completed official nomination form;

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ii. One page narrative of demonstrative contribution.

d. The awards Committee shall review all nominations and shortlist five finalists in each category. The committee shall then, request the following: a detailed letter of recommendation from the Head of Department/Dean, the evaluation report from respective stakeholders and a performance appraisal report from the HR Manager.

e. Each award has a unique eligibility criterion which shall be communicated by the Chair of the Committee. One award recipient shall be selected for each category each year. A member of staff shall not receive the same award more than once. No person shall receive two awards in the same year.

f. The awards are in the following categories:

i. Distinguished Professor Award

This award recognizes academic staff for accomplishments made in teaching, research, creative work, and service that are both distinguished and distinctive. This award is intended to honour a professor or associate professor who has earned distinction in all four areas of professional endeavor and whose work in scholarship has earned him/ her national and international recognition.

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ii. Distinguished Scholar Award

This award honours academic staff for their exceptional scholarly accomplishments.

iii. Distinguished Researcher Award

The award recognizes and honour outstanding achievements and contributions in research.

iv. Distinguished Administrator Award

This award recognizes a University administrator whose contribution to the development and implementation of University programmes is outstanding.

v. Distinguished community Service Award

This award recognizes administrative, Academic and Non- Teaching staff for their contributions to the development and implementation of University Community Service policies and programmes.

vi. Distinguished Middle Level Staff Award

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This award recognizes middle level staff members for exceptional service to the University community.

vii. Distinguished Support Staff Award

This award recognizes support staff members for exceptional service to the University community.

Eligibility: The Vice Chancellor, Deputy Vice Chancellors and the chairperson of the Award of Excellence Committee shall not be eligible.

4.11 Other Performance Incentives

These shall be aimed at retaining, motivating and rewarding staff and enhancing their commitment to organizational objectives.

Promotion

Staff whose performance is exceptional shall stand better chances of promotion, provided they meet the minimum requirements and the University establishment allows for such a promotion.

i) Annual performance recognition

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a. The University shall recognize one academic and one non-academic member of staff per year who continually offer exceptional service to the University and attains the mutually agreed performance targets. The staff shall receive the following:
    i. A trophy that shall rotate among the best staff over the year;
    ii. A certificate signed by the Vice Chancellor and
    iii. Photo display
b. Unlike the Awards of Excellence, a staff member can receive this recognition as many times as he/she deserves.

NB: The performance incentives mentioned herein shall not apply to Vice Chancellor and Deputy Vice Chancellors.

4.12 Staff Evaluation for Annual Performance Recognition

a. The Vice Chancellor shall appoint an Evaluation Committee comprising of three (3)Academic Staff and four (4)from the Non-Teaching Staff { two (2) from NT 5-15 and two (2) from NT 1-4} voted by staff through a simple majority vote. This committee shall be reconstituted after every three (3) years.
b. The Committee shall invite nominees from the members of staff. Nominations shall be based on:

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i. Customer service;
ii. Team Work;
iii. Reliability;
iv. Quality of deliverables, and
v. Time management.

c. The committee shall pick the best three nominees from amongst those with majority nominations.
d. The three nominees shall then be subjected to a rating by staff. The best nominee shall be the one with the highest average rating out of 50%. This nomination shall constitute 50% of the total points.
e. The other 50% shall come from the annual performance appraisal report from the supervisor.

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5.0 TRAINING AND DEVELOPMENT POLICY

5.1 Policy Statement

The University recognizes training and development as a critical determinant in the quality of services rendered by the staff. The policy relates to both teaching and non-teaching staff. It is concerned with training of staff to realize their full potential and enhance their professional development and work environment. Members of staff are expected to have acquired their basic training in their relevant fields before they are employed.

5.2 Aims of Staff Training

These aims include;

a. To develop and sustain adequate capacity to support the University's Vision and Mission.
b. To improve the efficiency and effectiveness in the Faculties, Institutes, Schools, Colleges/Campuses, Departments, Sections in order to achieve set goals and objectives.
c. To enhance professional skills related to the duties of members of staff by exposing them to new methods and techniques necessary to improve performance and to further their career.

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d. To provide opportunities for personal growth and development for members of staff in preparation for emerging challenges in their duties and responsibilities.
e. To enhance employee satisfaction and boost their morale.
f. To ensure that the decision making and planning process fully integrate Human Resource Development and training needs.

5.3 Levels of Support

These may vary and could fall into any of the following categories:

a. Leave with pay and fee waiver given by the University.
b. Leave with pay and all attendant expenses paid for by the University.
c. Leave with pay and partial expenses (specified) paid for by the University.
d. Leave without pay and staff pay all their expenses.
e. Time-off during regular work-time to pursue a programme either University sponsored or self sponsored.
f. Staff who through his own initiative and in his own time embarks on a course relevant to his duty with the prior written approval of the University and passes may be reimbursed. Such staff shall also be granted an examination leave for the duration of the examination.

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5.4 On the Job Training Activities

The University shall encourage:

a. On the job training in various sections and at all levels (internal and external).

b. Interactions with experts from outside through activities such as seminars, consultations, workshops, exhibitions and publications.

c. Linkage programmes through which members of staff should have opportunity for;

   a) Secondment

   b) Exchange

   c) Enrolment for such programmes

   d) Attachment e.g. during sabbatical leave

   e) Interaction with counterparts and peers.

d. Staff to enhance professional skills in their careers and undertake Continuous Education Programmes with their respective professional bodies.

The training envisaged may be taken internally or externally or by e-learning.

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5.5 Responsibilities of The University Staff Training Committee

a. The Deputy Vice Chancellor Academic Affairs shall be the Chairperson of the Staff Training and Development committee and shall also be responsible for the staff development funds.

b. There shall be a Staff Training and Development Committee whose duties and responsibilities shall be to:

c. Ensure that the University endeavors to allocate sufficient resources to enable it meet the staff training and development needs;

d. Consider training projections and analysis of training needs and set up a hierarchy of priorities within the overall training projections;

e. Harmonize the needs, interests and wishes of the individual members of staff for staff training with the overall needs of the University;

f. Consider ALL training requests and assess availability of training funds;

g. Apportion the training funds based on specified objectives and priorities as formulated from time to time in relation to the University's strategic objectives.

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h. The Training Committee shall make recommendations to the Deputy Vice Chancellor (FPA) who is responsible for processing the administrative details related to release, travel and other administrative matters pertaining to the training of the members of staff concerned.

i. The Staff Training and Development committee shall hold meetings as need arise.

j. The Human Resource Manager shall provide secretariat services to the Staff Training and Development Committee.

5.6 Eligibility for Training

All full-time members of staff on permanent and contract terms of employment shall be eligible for training provided their requirements are within the specific areas of needs in the capacity development of the University.

5.7 Nature of Training Institution

The Training Committee will only consider applications for support where such training is to be received from public institutions recognizable by the Commission for University Education.

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5.8 Industrial Training

The University shall be registered with Directorate of Industrial Training (DIT). The University shall pay an industrial training levy to the Directorate in accordance with the Industrial Training Act so that it can benefit from its training funds. Beneficiaries of the training fund shall be Kenyan citizens only.

5.9 Sponsorship Levels

Undergraduate Training

CUK shall not sponsor serving member of staff for undergraduate programmes. Where there is need for skills at this level, CUK will procure the same from the labour market. However, employees who wish to sponsor their training shall be granted approval.

5.10 Prioritization for Training

a. In the event of need for prioritization attributed to inadequate finances, the distribution of funds and opportunities shall be based on the following categorization:
    i. Academic Staff and Library
    ii. Administrative staff in Grades 8 and above and their equivalent
    iii. Technical Staff in teaching departments

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iv. Others not covered in (a), (b) and (c).

b. Equity shall, however, at all times be reflected in the distribution of funds to ALL cadres of applicants.
c. However, equity in the distribution of such funds to all cadres will be reflected at all times.
d. Status of support may change in the course of training subject to approval by the University.
e. The University may at its discretion, grant ex-gratia support to a staff member who has exhausted their allocation.

5.11 Identification of Training Needs

Deans of Faculties/Directors of Institutes/Schools, Chairpersons of Departments and Heads of Sections are responsible for:

a. Consulting with the staff working under them to establish the needs, interest and aspirations for career development and reconciling them with the requirements of their respective administrative units.
b. Appraising the effectiveness of members of staff in their respective administrative units.
c. Drawing up a training program/schedule for staff in the department for every financial year. This should include the cost of seminars, workshops and conferences.

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d. Recommending members of staff under them for any relevant programs of staff development.

e. The University may identify and support senior members of staff for training to complement their professional training in order to prepare them for Senior Management positions. However such training shall be prioritized and shall be on recommendation by the relevant head of division to the University Management Board.

5.12 Application for Training

Requirements

a. Consideration for training shall be based on, among others; the availability of funds and approved training projections for the Department/Section.

b. Applicants shall give full details of confirmed admission, sponsorship and description of the relevance of the training to the applicant's appointment at the University and the timeliness of the training.

c. In all cases, including time-off, written approval must have been obtained from the Deputy Vice Chancellor (FPA) before the commencement of the course.

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d. Staff members are normally expected to pursue programmes of CUK and only apply for sponsorship to undertake programmes of other institutions where CUK does not offer such programmes. A justification for the choice of the institution/programme outside CUK will be required (exemption for staff working in examinations section).

e. The process of prioritization of training requests for the department will remain under the general guidance and coordination of the HODs.

5.13 Criteria for Approval of Training

In deciding whether or not to approve applications and the level of support, the following considerations shall be taken into account:

a. The University's Vision, Mission, goals, objectives and projected needs shall form the basis for determining such training needs.

b. Staff applying for any training shall be expected to meet the requirements for the particular training.

c. All members of staff should have equal opportunities regardless of gender, race/ethnicity, disability and religion.

d. The costs of the proposed training, both financial and otherwise.

e. Whether the course is relevant, essential and timely for both the applicant and the University.

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f. Qualifications, experience and current performance of the candidate which are likely to affect his ability to benefit personally as well as other colleagues in the University.

g. For long term training (training that lasts for more than one year) priority for training will be given to members of staff with longest service.

h. Staff who have not satisfactorily served for one (1) year since appointment or from the date of return from the last study leave shall not be nominated for training, except those on staff development programs (not applicable to academic staff).

i. In exceptional circumstances, one may be nominated for training if the department expresses a critical need or if the alternative would be for the University is to lose a training opportunity.

5.14 Procedure

a. All applications for training shall be submitted through the HODs.

b. The HODs shall convene the relevant Departmental Training Committee to consider the applications and shortlist the applicants.

c. (The names of the shortlisted applicants together with the minutes and other relevant documents shall be forwarded to the

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Chairman of the University Training Committee through the relevant Dean of the Faculty where applicable.

d. The Chairman of the University Training Committee shall convene the Training Committee meeting to consider and approve the applications.
e. The Chairman of the University Training Committee shall communicate the outcome of the requests to the Deputy Vice Chancellor (FPA).
f. The Human Resource Manager shall inform all the applicants of the outcome.

5.15 Appeal

Applicants who are dissatisfied with the decision of the University Training Committee may appeal to the Vice Chancellor within fourteen (14) days of the date of receipt of the outcome

5.16 Balance of Benefit and Levels of Support

Attendance of courses, conferences and studying for additional qualifications usually benefit both the individual and the respective department in which he/she works. The level of support in terms of leave of absence and financial assistance will therefore reflect the balance of

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benefits that accrue, on the one hand to the University and on the other hand to the individual.

Balance of Benefits

There are varying balances in the benefits between the University and the individual. The balance of benefits should influence the amount of support given to the individual. Attendance of courses, conferences and other programs of study should provide experience, increase knowledge and enhance skills. These may be essential and useful in:

a. Enhancing the capacity and efficiency of the University to achieve its Vision and Mission.
b. Improving performance in the job in which the member of staff is currently employed.
c. Preparing members of staff for a different kind of job which the University may expect him/her to perform or a job that may be available in the University at some future date.
d. Representing the University at a meeting or conference so that the University can influence the policies and practices of National, Regional and International bodies and Institutions.
e. Attending conferences, presenting papers, and organizing conferences that make a significant contribution to a particular area of academic or professional activity.

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f. Making available to colleagues the knowledge acquired at courses and conferences, through reports, lectures, seminars and interactive activities of the faculties.

g. Enhancing the standing of the individual by acquiring additional qualification.

5.17 Financial Sources

Financial support will be sourced from internally generated University funds, the Government or bilateral arrangement between University and other donors.

5.17.1 Sponsorship by the University

a. The University shall grant fee waiver to members of staff on staff development programs undertaking post graduate training at the University. Fee waived shall only include registration fee, tuition related fees and examination fee.

b. Fee waiver shall be renewable annually upon submission of a satisfactory progress report to the University Training Committee by the Board of Postgraduate Studies (BPS) and/or Chairman of the Training Committee.

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Note

a. The University shall, as much as possible, support members of staff nominated for training and where finances are limited, take into account the order of priority as specified in this policy.

b. Where adequate funds are not immediately available and a member of staff on approved course is advised to pay for himself/herself, the University shall reimburse him/her in accordance with section 5.21 (Reimbursement by University).

5.17.2 Donated Scholarship

a. A member of staff who is on University/donated scholarship shall not be entitled to additional financial support from the University during the period of the scholarship.

b. The University shall endeavour to comply with regulations as stipulated by respective donors/sponsors.

5.18 Payment of Salary and Other Emoluments

a. When a member of staff takes up a scholarship to attend a full time course, he/she shall apply to be granted study leave equivalent to the period required to complete the program of study.

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b. If the member of staff goes to a full time program for a period longer than six months on a donated scholarship or University-sponsored, such a member of staff shall be granted leave on 80% basic salary only. The University shall deduct 20% of the basic salary.

c. Under exceptional circumstances the University, may grant leave on 100% salary.

d. If the family of a member of staff is remaining in Kenya, ones housing allowance shall continue to be paid.

e. If a member of staff is on study leave but has mortgages/obligations, he/she shall be paid house allowance even if he/she does not have a family staying behind provided documentary evidence for such obligations is given.

5.19 Short Courses

A course lasting between one (1) to six (6) months shall be referred to as a short course.

a. A member of staff going for a full time short course either locally or abroad shall continue to receive full salary and other personal emoluments in addition to his scholarship.

b. A member of staff on local-non-resident programmes shall continue to receive commuting allowance.

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c. Where a member of staff undertakes a short course during a financial year, such a member shall wait for two financial years before benefiting from sponsorship for another course, unless funding allows.
d. These provisions shall not apply where a member of staff's nature of appointment requires continuous education/training.

5.20 Local Programme

a. A member of staff, who is not on scholarship either by the University or from donors, shall be paid full salary.
b. A member of staff on study leave locally shall be required to return to the University to work when the institution he/she is attending is off-session or on an unscheduled closure. This requirement shall be specified in the letter granting study leave. In this case the affected staff shall be paid full salary and other personal emoluments during the period they are working.
c. A member of staff attending a full-time non-residential local course/partial study leave shall be entitled to full salary and all other benefits thereof.

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5.21 Stipend

A member of staff on training drawing full salary or any other maintenance payment from the University shall not be entitled to payment of stipend from the University.

5.22 Reimbursement by University

A member of staff who attends an approved course and he/she pays for registration, tuition, examination fees and project expenses, shall be reimbursed when he/she successfully completes each stage/part of the course subject to the following:

a. The University may vary the mode of reimbursement for cases deserving extra-ordinary consideration.
b. At the stage of reimbursement, such staff shall be issued with a bonding letter.
c. Retrospective applications for training support shall not be considered by the University.

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5.23 Seminars, Workshops and Conferences

Subject to availability of funds, sponsorship for the above for individual members of staff within the same financial year shall be categorized as follows:

a. On 1st Application: Air ticket, Registration fee and Subsistence up to a maximum of 5 days.
b. On 2nd Application: Registration fee and one of the rest, whichever is higher.
c. On 3rd application: Leave of absence and 1 day subsistence.
d. On 4th application: Leave of absence

5.24 Conditions of Staff Training

5.24.1 Terms of Study Leave

a. Study leave approval shall be for a maximum of one year initially renewable on satisfactory progress report.
b. The University Council may review the terms of service of any member of staff who trains under study leave and fails to complete training.
c. Unless there is express approval for change of course from the University Training Committee, employees shall be required to

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complete the course for which the study leave and/or sponsorship was granted.

d. Should absolute need to change a course arise while on training, the staff will be required to seek the approval of the Training Committee before effecting the change.

5.24.2 Other Requirements

a. Applications for study leave must be made to the Deputy Vice Chancellor (FPA) through the HODs and Deans of Faculties/Directors of Institutes/Schools as appropriate. Those granted study leave shall be issued with a letter specifying the period of leave and other terms and conditions of study leave.

b. Applicants shall give full details of all costs, duration and Institution while the HODs shall give a description of the benefits to the University and the applicant.

c. Study leave shall be granted to a member of staff in accordance with their terms of service. The University shall in all cases, exercise absolute discretion in accepting or rejecting applications for study leave.

d. A "Study Leave Bond Form" shall accompany the study leave letter. The HODs, Directors of Institutes/Schools, the Deans of Faculties and the Deputy Vice Chancellor (FPA) shall be satisfied

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that adequate and appropriate arrangements have been made to cover the duties of the applicant during his absence and the HODs /directors of Institutes/ Schools shall furnish details of such arrangements when indicating support for the applicant.

e. Members of staff on study leave will not be entitled to annual leave or payment of leave allowance during the study leave period. However those attending approved courses on time-off and/or partial study leave basis shall be entitled to both annual leave and leave allowance.

f. Staff on sandwich program shall qualify for annual leave and leave allowances on pro rata basis for the period they are on duty.

g. A member of staff whose request for study leave has not been approved shall not be granted unpaid leave of absence to pursue his course specific area of interest or otherwise, or be reimbursed fees on successful completion of the course.

h. A member of staff who has completed their course outside the Country shall be granted ten (10) working days leave upon return.

i. A member of staff who has been on Study Leave shall be eligible for his annual leave only for the year he resumes duty in addition to any leave days carried forward before proceeding on training.

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5.25 Rewards upon Successful Completion of Training

Members of staff shall upon completion of their training be rewarded as follows:-

a.	Ph.D.	-	Four (4) salary increments
b.	Masters	-	Three (3) salary increments
c.	Bachelors	-	Two (2) salary increment

5.26 Monitoring and Evaluation

The University shall put in place systems to assess the extent to which the training objectives were realized. Such systems shall assess the training offered and the cost effectiveness. Recipients of training will be under obligation to provide any information sought from them pertaining to the training received.

5.27 Bonding

i. Bonding shall always be a pre-requisite for granting study leave/sponsorship.

   a. Any member of staff who is granted study leave by the University for a period longer than six months, shall serve the University for a period of three (3) years. He/she shall be bonded for the three years on resumption of duty.

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b. A member of staff who is granted study leave by the University and duly bonded for a period of three (3) years can liquidate the bond amount by paying to the university an amount equivalent to that expended on him/her during the study leave period.

ii. A member of staff who is granted leave to attend a course on self-sponsorship for a period longer than six months shall sign the bond before commencement of the study leave.

iii. In cases where bonds overlap, they shall run concurrently. However, if one leaves the University employment before he/she completes the bond, he/she shall be required to complete the payment of the longer bond.

iv. All members of staff returning form study leave shall be required to resume duty in their nominating departments/sections and serve for at least a period equivalent to the duration of training.

i) Members of staff who train privately on programmes with approval of the University Training Committee shall be bonded at the time of reimbursement but the bonding period shall be as per clause 5.26 (a) (i) above.

ii) A beneficiary of the University support who fails to resume duty shall refund University monies expended on him/her during training in full through him/herself or his sureties.

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5.28 Progress Report

It shall be the duty of the beneficiary of staff development program to submit official progress reports to the respective Deputy Vice Chancellor with a copy to Human Resources Manager by the end of each semester. The University shall not release the next fee installment(s) unless such a report is satisfactory.

Failure to submit progress reports shall lead to disciplinary action against the beneficiary. The HR Manager shall follow up on the beneficiary's progress.

5.29 Scholarship for Staff Children

a. The scholarship for staff children shall be applicable to a maximum of five (5) children (including legally adopted ones) who are pursuing CUK undergraduate programs. Such children shall be expected to be twenty one (21) years old and below at the point of enrolling for the program in order to qualify for this scholarship.
b. The member of staff should have served the University for one (1) year after full-time appointment.
c. Staff on temporary appointment shall not qualify for this benefit.
d. The scholarship shall cater for tuition fees only.
e. The scholarship shall end when the contract of the employee ends or when the employee ceases to be a staff member. However, in case a member of staff dies in the service of the University, his children

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already benefitting from the scholarship shall continue benefiting from the scheme until they finish the studies they are enrolled for.

f. The rates for the scheme shall be as follows;
   i. 1st child to benefit from the scheme: 80% waiver;
   ii. 2nd child to benefit from the scheme: 60% waiver;
   iii. 3rd, 4th and 5th child to benefit from the scheme: 40% waiver;
   iv. Replacement of a child in the order above may be allowed once the already benefiting child exits the scheme. However, this replacement shall be subject to maximum of five (5) children.

5.30 Skills Inventory

The Department of Human Resource shall develop, update and maintain a skills inventory for all member of staff in CUK for purposes of identifying the available, and the required skills. The inventory will guide the training, recruitment and succession management decisions.

It shall be the responsibility of CUK staff to submit evidence of their additional academic and professional qualifications to the Department of Human Resource

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CHAPTER 6

6.0 PROMOTION POLICY

6.1 Policy Statement

The Co-operative University of Kenya shall encourage and provide opportunities for staff development by way of promotion or upgrading of qualified and competent employees to senior positions whenever a vacancy occurs.

The University shall ensure that all promotion decisions are based on fair and evidence-based assessment of merit. All staff members who qualify for promotion to a certain post shall be considered equally and competitively.

As far as it shall be practicable, and suitable to the University all job openings in the University shall be expeditiously filled by promotion of serving employees unless no suitable candidate is found. The outcome of performance appraisals shall form the basis for promotions.

To qualify for promotion an employee shall be required to serve for three (3) years after the last promotion or after full time appointment. The University Council however, shall reserve the right to promote any staff member for purposes of enhancing organizational performance, staff

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retention, and ring fencing even though such staff members may not have served for three (3) years since their last promotion.

6.2 Procedure for Promotion of Academic Staff

i. The vacant positions will be advertised internally.
ii. The interested staff shall apply to the Deputy Vice Chancellor, FPA.
iii. The application shall include a detailed CV indicating the following:
    a. Level of academic and professional qualifications.
    b. Teaching experience
    c. Scholarly accomplishments
    d. Future academic prospects
    e. Community service
iv. The candidate shall be expected to attach documentary evidence of the items in 6.2 (iii)above.
v. The candidate shall also be expected to obtain recommendations from the respective HOD and Dean.
vi. The Human Resource Manager in consultation with the Deputy Vice Chancellor, FPA shall constitute a Staff Appointment Committee as per the Statutes;

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vii. In evaluating the request for promotion, the Staff Appointments Committee shall also consider the individual's performance appraisal report from the HR office

viii. The Staff Appointments Committee shall assess applications for promotion and make recommendations to the Human Resource Committee of the Council.

ix. Senior level staff in the Library and Research departments shall follow the promotion procedure for academic staff.

6.3 Procedure for Promotion of Non-Academic Staff

i. The vacant positions will be advertised internally.

ii. The candidate shall apply to the Deputy Vice Chancellor, FPA.

iii. The application should include a detailed CV indicating the following:

   a. Academic and professional qualifications.
   b. Work experience
   c. Future academic prospects
   d. Community service

iv. The candidate shall be expected to attach documentary evidence

v. The candidate is expected to obtain recommendations from the respective supervisor and or HOD as the case may be.

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vi. The Human Resource Manager in consultation with the Deputy Vice Chancellor, FPA shall constitute a Staff Appointment Committee as per the Statutes;

vii. The Staff Appointments Committee shall also consider the individual's performance appraisal report from HR office when making promotion decisions.

viii. The Staff Appointments Committee shall assess applications for promotion to Senior Non-Teaching Staff and make recommendation to the Human Resource (HR) Committee of the Council for consideration.

ix. The Staff Appointments Committee shall assess applications for promotion to middle level and support staff and make recommendations to the University Management Board for consideration.

x. Support and middle level staff in the Library and Research departments shall follow the promotion procedure for non-academic staff.

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CHAPTER 7

7.0 LEAVE ADMINISTRATION POLICY

7.1 Policy Statement

The University shall encourage employees to go on leave as entitled. This shall ensure that the employees renew their energies and register improved efficiency hence becoming more productive at work. Leave is therefore aimed at rejuvenating employees and cannot be substituted unless circumstance so demand.

All leaves are subject to the demand of service and shall be administered by the University at its discretion. In this regard, an employee on leave, other than sick leave, may be recalled before such leave ends due to exigencies of work. The Vice Chancellor or any duly authorized employee acting on his behalf, may vary, postpone or deny leave, at any time subject to exigency of work.

When proceeding on leave an employee shall be expected to hand over his duties to an appropriate person as agreed with the Head of Department/immediate Supervisor.

Members of staff MUST fill Staff Movement Advice (SMA) form upon resumption of duty from leave.

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7.2 Categories of Leave

The following categories of leave shall be recognized by the University.

I. Annual Leave

i. The leave year will run from 1st January to 31stDecember of every year.

ii. An employee of the University shall be entitled to an annual leave as stipulated below:

   a. 36 working days for members of staff in grades NT/AC 12 and above.

   b. 30 working days for members of staff in grades NT/AC 11 and below

iii. An employee shall qualify for an annual leave after being in service of the University successfully for three (3) consecutive months.

iv. Annual leave for a newly appointed member of staff will be calculated on a pro-rata basis only for the year of his appointment.

v. Leave days shall be taken within the 12 months immediately following the period in which leave was earned. An employee may be allowed to carry forward up unutilized

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annual leave days to the next leave year provided he/she obtains permission in writing from the Deputy Vice Chancellor (FPA). Unutilized leave days shall be taken in full in the following year.

vi. Members of staff shall be expected to apply for annual leave by filling a leave application form that will be issued by the Department of Human Resources. Leave applications should be submitted to the Office of Human Resources at least two (2) weeks before the leave starts.

vii. On termination of appointment, an employee shall be paid any outstanding leave days together with prorated leave allowance.

Commutation of Leave

i. Except in exceptional circumstances, annual leave may not be commuted for cash nor will unutilized leave days be claimed by dependants to the estate of a deceased member of staff.

ii. The Council shall be responsible for authorizing commutation of leave for cash where leave is not taken due to exigencies of service.

iii. Commutation of leave will be based on a member of staff's basic salary for the relevant leave year.

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iv. The above notwithstanding, it is reiterated that member of staff should be allowed to utilize their leave in each year.

II. Sick leave

i. A member of staff who is prevented by illness from carrying out his duties is required to furnish a medical certificate signed by a qualified Medical Practitioner or use such other mode of communication to this effect within two consecutive working days of absence.

ii. A member of staff may be granted sick leave as provided for in the Terms and Conditions of Service.

iii. On expiry of the maximum days provided above, the Council will appoint a Medical Board to examine the employee and after considering the Medical Boards' report have the right to terminate the services of the employee on medical grounds. Termination of appointment on the basis of a Medical Board Report shall not be made until 9 months after the receipt by the Council of such medical report. The employee remains on half pay pending determination of the case by the Council.

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III. Compassionate leave

An employee desiring to take compassionate leave shall with prior arrangement with the Head of Department and approval by Deputy Vice Chancellor (Finance, Planning and Administration) be granted up to a maximum of seven (7) working days in case of emergency/dire needs concerning a member of a nuclear family.

IV. Maternity

a. A female member of staff who is required to be absent from duty on account of confinement shall be granted maternity leave with full salary for a maximum period of ninety (90) calendar days exclusive of the annual leave due for the year.
b. An application for maternity leave should be submitted to the Department of Human Resource through the respective HOD. The application should be supported by a medical certificate indicating the date on which maternity leave should commence or a birth notification.
c. Should it be necessary to extend maternity leave beyond the prescribed period of ninety (90) calendar days on grounds of sickness of the mother, the member of staff will be granted sick

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leave subject to confirmation by a recognized medical practitioner.

d. Where the extension sought is on the account of the child's sickness the member of staff will be expected to utilize her annual leave entitlement

V. Paternity Leave

a. A male member of staff will be eligible for paternity leave for a maximum period of ten (10) working days during the period of the spouse's maternity leave.

b. In this regard, it is clarified that in the case of a male member of staff with more than one wife, he will be entitled to paternity leave only in respect of the wife registered under the National Hospital Insurance Fund (NHIF) and such leave shall be taken not more than once per year.

c. To enjoy paternity leave, a male member of staff will be required to present a notification of birth of the child.

VI. Leave of Absence

Upon request, employees shall be granted unpaid leave of absence when on secondment to public institutions or for personal reasons, on the recommendation of the Head of department and approval of the Vice Chancellor.

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VII. Special Leave

The Employer may at his discretion, grant special leave for any purpose not covered by the categories of leave set out in this agreement. In granting such leave, employer shall take into account the frequency of such absences on a member's University work.

VIII. Study leave

a. Study leave shall only be granted by the Vice Chancellor on the basis of the needs of the University and the interests of staff development.

b. Study leave approval and leave duration shall be as stipulated in the University Training Policy and as per the Terms of Service.

c. Applications for study leave shall set out in detail the course of study proposed, the duration of leave requested and the financial assistance sought. Applications shall be sent through the Deputy Vice Chancellor (FPA) to the Vice Chancellor with copies to the Deputy Vice Chancellor (AA), and the Chairman or Head of Department concerned.

d. The University Council shall have discretion to accept or reject an application for study leave.

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IX. Special Leave

The Vice Chancellor may at his discretion, grant special leave for any purpose not covered by the categories of leave set out in this agreement. In granting such leave, the Vice Chancellor shall take into account the frequency of such absences on a member's University work.

X. Sabbatical Leave

a. The University considers that in the interests of both the University and members of staff it is desirable that members of staff should be released from their normal duties at intervals during their career to undertake further study.

b. Sabbatical leave will be granted to members of staff on permanent terms only of grades AC 12-15 and above. The Vice Chancellor will determine when such leave may be taken.

c. Sabbatical leave shall be granted at the rate of nine (9) months after six (6) years of continuous service.

d. Sabbatical leave will be granted on full pay and normally in extension of a long vacation.

e. Applications for sabbatical leave shall set out in detail the course of study proposed, the duration of leave requested and the financial assistance sought. Applications shall be sent

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through the Deputy Vice Chancellor (Finance, Planning and Administration).

XI. Professional Attachment Leave

a. The employer considers that in the interest of both the Employer and members of staff it is desirable that members of staff should be released from their normal duties at intervals during their career to undertake professional attachment.

b. Professional attachment leave will be granted to members of staff on permanent terms only after completion of six (6) years continuous service with the University from the date of appointment or since return from professional attachment.

c. Staff members wishing to go for such leave shall apply to the Vice Chancellor through their respective Deputy Vice Chancellors.

d. Professional leave shall be granted at the rate of six (6) months after six (6) years of continuous service.

e. Professional leave will be granted on full pay plus other benefits.

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XII. Compulsory leave

a. The appointing authority may order a member of staff to go on compulsory leave to give room for investigations on serious allegations made against him/her. Such leave shall not exceed three (3) calendar months and shall be separate from annual leave.

b. An employee on compulsory leave shall be paid his basis salary, housing allowance and insurance cover only.

c. In case the investigations continue for more than three (3) months, the appointing authority may extend the leave by another one (1) month.

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CHAPTER 8

8.0 WORKPLACE TRANSPORT POLICY

8.1 Policy Statement

The University is committed to ensuring that staff official transport/travel needs are taken care of. This should however be done systematically and responsibly to avoid misuse of resources. The policy has clear guidelines to all employees who travel on the University's business both locally and internationally.

The use of work ticket for University vehicles is compulsory.

8.2 Scope of the Policy

This policy shall apply to all employees of the University.

8.3 Instances When the University Shall Provide Transport

Official transport will be provided under the following circumstances:

a. When travelling on duty
b. When travelling to participate in approved activities.
c. When transporting personal effects and family members of deceased employee.

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8.4 Modes of Travel

I. Rail

When travelling by rail on official duty, an employee may be issued with a rail ticket or claim reimbursement of the fare paid. The rates shall be as set by the University form time to time.

II. Road

When travelling by road on official duty, an employee may be permitted to make use of the University's vehicle or in its absence, use public means or hire private transport at reasonable charges, subject to the approved ratesas per the Terms of Service and with prior approval from the Deputy Vice Chancellor (FPA).

III. Own car

a. An employee who owns a car and is travelling on official duty may seek prior permission of the Deputy Vice Chancellor, FPA to make use of his car.

b. Where such permission is granted, the employee shall be entitled to a motor vehicle mileage allowance at the prevailing AA rates.

c. The mileage rates shall be payable in respect of any motor vehicle, fully loaded (in case of travelling in one vehicle with other employees, and no additional allowances shall be

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payable for the conveyance of passengers in such a vehicle. The allowances are inclusive and no payments shall be made for spares or labour used on any motor vehicle renewals, breakdowns, depreciations or any other charges in conjunction with such motor vehicle.

d. The employee in charge shall verify the starting and closing mileage of the vehicle before and after the journey where applicable.

e. While claiming the allowance, an employee shall be expected to attach the vehicle's log book to the claim form. However, the University shall accept a log book registered under a spouse's name.

f. This policy shall apply to distances that are relatively short. It should be noted that the implementation of the policy can be very expensive for the University if applied for long distances. In this regard, the In Charge, Transport Section must verify whether using own vehicle shall be cheaper than other means such hiring a taxi or air travel before the Deputy Vice Chancellor, FPA approves use of own vehicle for official purposes.

IV. Hire of Means of transport

a. In circumstances of emergency or extreme urgency with no official or suitable public transport available, the Deputy

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Vice Chancellor (FPA) may use his discretion to authorize hire of transport from prequalified suppliers where applicable to carry staff or supplies/materials to where they are required and claim reimbursement of the cost thereof.

b. The relevant authorities will have to be satisfied that such hire was necessary before reimbursement.

c. Travel between the employee's place of residence and usual work must not be constructed as part of the journey.

V. Air

i. When travelling on duty to another country an employee should normally travel by air. Air travel within Kenya shall require prior approval by the Deputy Vice Chancellor FPA where such travel is deemed to be economical or where timeliness is paramount. Such travel shall use economy class tickets.

ii. An employee travelling on duty by air shall normally not be granted any luggage allowance in addition to the free allowance on his air ticket, unless an excess is required for official purposes in which case reimbursement for excess luggage shall be considered by the Deputy Vice Chancellor FPA. The time limit for reimbursement is one month.

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iii. Airport Service charges levied upon an employee travelling on duty at the point of departure or arrival shall be reimbursed by the University.

8.5 Procedure for Travel on Official Duties

Any staff member travelling for official duty whether locally or internationally shall follow the following procedure:

a. Obtain official invitation from the organization/country of destination or official nomination from his HOD with clear details of the trip including dates, purpose of the trip, country and city of destination;
b. Get written clearance from the Vice Chancellor or a designated member of staff;
c. Inform the Finance Department through the HR and HOD about the trip so that travel documents such as passport, visa and air ticket can be obtained.

8.6 Travelling On Retirement/End of Contract Period

On retirement, or separation from employment, an employee will be paid Passage and Baggage Allowance in accordance with the Terms and Conditions of Service.

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CHAPTER 9

9.0 STAFF INSURANCE POLICY

9.1 Policy Statement

The provision of insurance cover is paramount since employee safety and health is utmost concern to the University.

The University shall offer the following types of insurance covers:

a. Medical Scheme.
b. Group Personal Accident Insurance Cover.
c. Group life Insurance

9.2 Medical Cover

a. The University shall have a Medical Scheme to cater for both in-patients an out-patient treatment. The scheme shall have different packages (ceilings) for the respective job categories and shall cover self and spouse.
b. Children of members of staff, (including legally adopted children) for whose support, in the opinion of the Council, the member of staff is responsible and who are wholly so supported and are under the age of eighteen (18) years, shall be included in the University Medical Scheme free of charge.

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c. Children in the above category over the age of eighteen (18) years, who in the opinion of the Council, are undergoing an approved full-time course of higher or other approved education shall be included in the medical scheme free of charge. In exceptional circumstances, the Vice Chancellor may extend the maximum age. Such extensions shall not apply for children above the age of twenty (22) years.

d. Employees with more than five children, as recognized under the University Medical Scheme, the younger ones shall be registered under the Medical Scheme to replace those children no longer covered under the University Medical Scheme.

9.3 Medical Ex-gratia Assistance

The CUK management will provide medical ex- gratia assistance to cover in-patient and out- patient medical expenses incurred by a member of staff, spouse and dependent children 22 years and below who are suffering from chronic medical conditions, subject to prevailing limits, upon exhaustion of the medical cover entitlement, use of enhanced NHIF cover and submission of medical reports within a financial year.

9.4 Group Personal Accident Insurance Cover

The University shall take a Group Personal (GPA) insurance cover for all its employees in accordance with the law.

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9.5 Group Life Cover

The Cooperative University of Kenya shall take a Group Life Insurance cover for all its employees.

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CHAPTER 10

9.6 10.0 WORK ENVIRONMENT POLICY

10.1 Policy Statement

The University shall endeavor to promote the wellbeing of its employees and to develop a positive attitude towards safety and Health amongst the staff. The University shall ensure that the employees are aware of their responsibilities and are capable of discharging them.

10.2 RESPONSIBILITY FOR HEALTH AND SAFETY

i. The University Management Board shall be responsible, so far as is reasonably practicable, for ensuring the safety, health, and welfare of all employees by ensuring that:

a. The safety and health policy is implemented by proper planning, monitoring and review.

b. Adequate resources are made available to enable the implementation of this policy.

c. Health and Safety considerations are an integral part of the overall management culture.

d. Effectiveness health and safety management systems are established and maintained within departments.

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e. A competent person is appointed to assist the University to apply the provisions of this health and safety policy.
f. A safety and health committee is in place.
g. The University is registered with the Directorate of Occupational Safety and Health.

ii. The employees shall be expected to co-operate in the implementation of the University's policy by:

a. Acting in the course of their employment with due care for their own safety and that of others.
b. Co-operating, so far as is reasonable practicable, to enable the University to perform any duty or to comply with any safety and health requirements.
c. Participating in the risk assessment process to assist the identification and control of risks
d. Using correctly/ carefully work items/ facilities provided by the University in accordance with the training and the instruction received.
e. Wearing all protective equipment provided for their safety and ensuring that the equipment are used in proper manner.
f. Immediately reporting to their line manager any serious and imminent danger to health and safety and any shortcomings in health and safety arrangements.
g. Not interfering with any provisions for safety and health.

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iii. The office of Human Resource shall oversee the implementation of this policy. The safety and Health Committee shall monitor the effectiveness of the Safety and Health issues.

10.3 Guidelines to General Safety

a. Heads of Departments/ Sections shall maintain healthy and safe working environments for member of staff under their respective Departments/ Sections.
b. All members of staff have the responsibility to ensure safety to themselves and others when performing their duties.

10.4 Emergency Preparedness

The University shall put in place measures to prevent and mitigate against accidents, explosions, fire, floods, earthquakes, bomb threats and prepare procedures to be followed in such events.

The University shall have a responsibility of ensuring that all members of staff and visitors are informed of and are fully conversant with the emergency procedures.

10.5 Fire Precautions

The Heads of Departments/ Sections are responsible for ensuring that fire protection facilities are provided in the buildings used by staff in their departments and are adequate and maintained as provided for

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in the Act. Heads of Departments/ Sections are responsible for enforcing all necessary fire precaution measures.

10.6 Fire Prevention

The Deputy Registrar, Central Services is responsible for ensuring that all buildings are fitted with firefighting equipment. The Deputy Registrar, Central Services is responsible for the subsequent replacement of portable equipment and provision of refill for such equipment.

Any means of escape from a building should be kept clear of any obstruction which would make it difficult for occupants of the building to escape in case of fire.

No hazardous or highly inflammable materials should be stored in buildings without the approval of the Deputy Registrar, Central Services.

Positions of firefighting equipment must not be interfered with nor should firefighting equipment such as hose reels and extinguishers be used for purposes other than firefighting.

The University shall have a Safety and Health Committee headed by a responsible member of staff and constituted in accordance with Occupational Safety & Health Act, 2007 and as amended from time to time;

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The Safety and Health Committee may recommend any measures which they deem necessary for purposes of safety. It is the responsibility of the HOD to whom such recommendations are addressed to ensure that appropriate steps are taken to implement the measures with minimum delay. Any HOD who fails to implement such recommendations will be held personally responsible for the consequences and in case of subsequent fire outbreak; he will be liable for disciplinary action and/or prosecution.

The Human Resource Manager shall ensure that:-

i. Health and Safety Committees are formed;

ii. The Committee members and all member of staff are trained; and

iii. Firefighting drills are conducted in all premises at least once in every twelve months in accordance with the requirement of the Occupational Safety & Health Act, 2007.

10.7 Notification of Fires

All fires, however small, must be reported to the Police immediately they are noticed. The building or premises so affected by fire must be guarded and no evidence should be interfered with until investigations are over.

It is the responsibility of whoever detects a fire to initiate alarm, inform the Chief Security Member and try to control the fire during its initial stages.

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10.8 Provision of Protective Equipment and Clothing

All members of staff who are employed in any process involving exposure to wet or to any injurious or offensive substances are provided with adequate, effective and suitable protective clothing and appliances as stipulated in the Terms and Conditions of Service.

10.9 Safe Use of Potentially Dangerous Equipment

The Deputy Registrar, Central Services shall ensure that all plants including hoists and lifts, steam boilers, other equipment and pressure vessels are properly maintained and that they undergo the statutory examinations as per the Occupational Safety and Health Act requirements.

10.10 Reporting of Accident

Immediately an accident occurs or development of an occupational disease resulting in death or injury, should be reported to the Department of Human Resource in writing.

10.11 Reporting Injury, Serious Illness or Death

In case of a member of staff's injury, serious illness or death an immediate

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report by telephone, or special means including e-mail should be made to the Deputy Vice Chancellor, FPA by the In Charge, CUK Dispensary.

The next-of-kin must be informed immediately and be made aware of the circumstances under which the member of staff sustained injuries or met his death.

10.12 Guidance, Counseling and HIV/AIDS Management in CUK

The current challenges in the workplace and family environment affects the performance and wellbeing of a member of staff. To address these challenges, CUK has included counselling among other benefits under the University Medical Cover Scheme.

10.13 Counseling Services

Members of staff may seek guidance and Counseling when faced with psychological challenges.

A supervisor may refer a member of staff for Counseling when he notices signs of low productivity, when the member of staff is a danger to himself and others or in case of an indiscipline problem.

A member of staff shall have freedom to accept or reject counseling. This includes freedom to remain in the counseling relationship after it has been initiated.

10.14 HIV/AIDS Support Programme

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HIV and AIDS is a major challenge facing staff in and out of the office. It poses a big threat to the individual, the family. It is in cognizance of this that CUK has put in place care and support programmes for the infected and affected member of staff to enable them remain productive.

HIV/AIDS shall be treated like any other challenging issue at workplace. All staff shall have a role to play in the wider struggle to mitigate the effects of the pandemic.

10.15 Fighting Stigma and Discrimination

Members of staff shall not be discriminated or stigmatised on the basis of HIV status. It is an offence for any person to discriminate another on the ground of actual, perceived or suspected HIV status in the work place.

The University shall provide a conducive working environment for the infected and affected members of staff.

10.16 Screening for Purposes of Employment/ Recruitment

HIV screening shall not be a requirement for recruitment or for persons in employment. Screening shall be confidential, voluntary and shall be undertaken after counseling. There shall be no disclosure of HIV test results or of any related assessment results to any person without the written consent of the concerned member

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of staff.

10.17 Continuation of Employment

Member of staff with HIV-related illness shall be allowed to work for as long as they are fit to work and HIV infection should therefore, not be a cause for termination of employment.

10.18 Drug and Substances Abuse

Addiction to drugs or substance will be treated like any other disease. A member of staff who is determined to deal with drug and substance abuse problem by engaging in rehabilitation services will be referred by the In Charge Dispensary to a doctor for evaluation.

CUK will provide both in-patient and out-patient rehabilitation services within the limits provided.

10.19 Emergency Procedures

Adequate procedures to ensure the safe evacuation of premises in the event of an emergency shall be developed and regularly reviewed. These procedures shall be communicated to all employees and tested regularly to ensure effectiveness.

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10.20 First Aid

In the event of an accident, first Aid boxes can be found in the following areas, among others: receptions, Kitchens, and at the CUK Dispensary.

The University shall train and always display a list of all members of staff currently trained in First Aid.

10.21 Fire Procedures

i. Smoking shall not be permitted in the University premises.
ii. It is important that all staff and students as well as well as visitors to the University do their best to prevent fires.
iii. Firefighting equipment shall be made available in readily accessible places in all University buildings.
iv. All Fire Exists shall be properly marked and clear at all times.
v. Fire Assembly Point shall be established.
vi. Fire drill/ evacuation exercises will be carried out on a regular basis.
vii. Fire alarms shall be tested periodically.

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CHAPTER 11

11.0 SOCIAL WELFARE POLICY

11.1 Policy Statement

The University values its staff members and cares about their social welfare and their future.

Accordingly, the University shall establish social welfare initiatives and ensure that the wellbeing of employees is upheld.

11.2 Sports

i. The University shall provide sporting and wellness facilities to cater for group and individual social activities such as football, gymnasium, tennis and other field sports.

ii. Staff members shall be encouraged to take advantage of the facilities for physical fitness, sound health and social interaction.

iii. Sports Days shall be organized on regular basis for staff members.

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11.3 Death in Service

i. In the event of demise of a member of staff the employer shall contribute towards the funeral expenses as per the rates stipulated in Terms Of Service

ii. The provisions are also applicable to member of staff's immediate family members registered as dependants with the University. For the purposes of this clause, immediate family members shall mean one (1) spouse, five (5) own biological or legally adopted children up to the age of twenty five (25) years and unmarried. However, clause (iii) below only applies to the member of staff.

iii. The employer shall place a colored 18 cm x 9 cm size death announcement once in one (1) of the national Daily Newspapers for a member of staff only.

11.4 Death of Spouse/ Child

i. In case of death of a registered spouse or a child (including legally adopted children) for whose support, in the opinion of the Council, the member of staff is responsible, the University shall contribute towards funeral expenses as per the Terms of Service.

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ii. The staff shall be allowed up to a maximum of seven (7) compassionate leave days in accordance with the Leave Policy herein. If the employee wishes to take extra days, shall be expected to utilize his /her annual leave entitlement.

11.5 Death of a Parent

The staff shall be allowed up to a maximum of seven (7) compassionate leave days in accordance with the Leave Policy herein. If the employee wishes to take extra days, shall be expected to utilize his /her annual leave entitlement.

The Deputy Vice Chancellor (FPA) may provide a vehicle subject availability to ferry staff from the bereaved departments to attend the burial.

11.6 Death of a Sibling

The staff shall be granted personal leave in accordance with the Leave Policy herein.

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11.7 Procedure for Acquiring Financial Assistance

A notice of bereavement shall be made to the Office of Human Resource. The HR Manager shall then write to the Deputy Vice Chancellor FPA to approve the necessary payment.

Acceptance evidence (e.g death certificate) should be provided within a month. Other employees shall be informed by the HR Manager of a bereavement of a colleague through an internal memo.

11.8 Loans

a. The University shall endeavor to promote development and wellbeing of its staff. For this purpose, it shall facilitate the acquisition of a car loan and personal loan from identified commercial banks. It shall also provide emergency loans to its employees. All deductions shall be subjected to the statutory regulation of the two –third rule.
b. The Office of Human Resources shall be responsible for the implementation of the loans policy on behalf of the University.

11.8.1 Personal Loan

All staff members of the University shall be encouraged to join Cooperative Societies for personal development.

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The University shall engage financial institutions with the aim of developing products to provide personal loan services to all staff.

11.8.2 Savings and Credit Cooperative Societies (SACCOs)

a. CUK shall encourage all staff members to join SACCOs. Staff members joining SACCOs shall be expected to develop a saving culture.
b. Being a Cooperative University, all staff members of CUK shall be required to remit a portion of their salary to a SACCO on a monthly basis. The minimum contribution shall be agreed upon by all staff through the staff welfare Committee.
c. CUK shall be responsible for deducting the agreed amount of SACCO contributions and loan repayments through a check off system and remit for as long as the member remains a CUK employee.
d. The University shall not take responsibility for any loans in case an employee leaves service.

11.9 Retirement Benefits

a. The University values its staff members and cares about their future. It shall be the responsibility of the University to ensure that employees' social security is safeguarded and that they remain stable even after retirement.

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b. The University shall operate a Provident Fund for its staff under a trust. The primary objective of the Fund is to provide retirement benefits to University staff or their dependants in the case of death of the member.

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CHAPTER 12

12.0 SEXUAL HARASSMENT POLICY

12.1 Policy Statement

The University is committed to providing a working environment free from sexual harassment, where individuals are treated with respect and dignity. The University will not tolerate sexual harassment under any circumstances and will take disciplinary action against anyone who breaches the policy.

12.2 Objective

The Purpose of the policy is to define sexual harassment, provide procedures for the investigation of sexual harassment claims and ensure that violations are remedied fully.

12.3 Scope of the Policy

This policy applies to all employees of the CUK. The policy applies to conduct occurring both within and outside the course of employment as long as both parties (i.e complainant and respondent) are employees of the University.

In addition to this policy, staff members shall be expected to abide by any other University policies relating to sexual offences.

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12.4 Interpretation

In this policy, unless the context otherwise requires:

i. Complainant" means a University employee who lodges a sexual harassment complaint.

ii. "Disciplinary Action" means the process for dealing with job-related behavior that does not meet expected and communicated performance standards found in this policy.

iii. "Employee" means a person employed by the University for wages or a salary and includes an apprentice, indentured learner and volunteer.

iv. "Employer" means the CUK.

v. "Respondent" means the person who is required to answer to a Sexual harassment complaint.

vi. "Supervisor(s)" means one who is in charge of a particular department or unit, or anyone who supervises the duties of a particular employee in the University.

12.5 Definition of Sexual Harassment

i. An employee is sexually harassed if the employer of that employee or a representative of that employer or a co-worker.

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i. Directly or indirectly requests that employee for sexual intercourse, sexual contact or any other form of sexual activity that contains as implied or express:

ii. Promise of preferential treatment in employment;

ii. Threat detrimental treatment in employment status of the employee;

iii. Threat about the present or future employment status of the employee

a. Uses language whether written or spoken of a sexual nature;

b. Uses visual material of a sexual nature; or

c. Shows physical behavior of a sexual nature which directly or indirectly subjects the employee to behavior that is unwelcome or offensive to that employee and that by its nature has a detrimental effect on the employee's employment, job performance, or job satisfaction.

iv. Sexual harassment can be physical and/or psychological in nature. An accumulation of a series of incidents can constitute sexual harassment even if one of the incidents considered on its own would not be harassing.

v. Employees are prohibited from harassing other employee whether or not the incidents of harassment occur on the

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university's premises and whether or not the incidents occur during working hours.

vi. Sexual harassment can involve males or females being harassed by the members of either sex. Although sexual harassment typically involves a person in a greater position of authority as the harasser, individual in positions of lesser or equal authority also can be found responsible for engaging in prohibited harassment.

vii. Consensual sexual or romantic relationships between employees are deemed unwise and are strongly discouraged.

12.6 Responsibilities

i. The University is responsible for taking reasonable steps to prevent sexual harassment and ensuring its position in widely known through all levels of the organization's activities.

ii. The University will ensure that appropriate procedures are identified to handle complaints. It is further responsible for ensuring that:

   a. It establishes a grievance committee to provide information and support on the sexual harassment policy and complaints.

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b. Members of the grievance committee are identified and trained to mediate/conciliate grievances. Complaints are treated in an impartial, sensitive, fair, timely and confidential manner.
c. Sexual harassment reporting is encouraged, regardless of who the offender might be.
d. Appropriate training is provided to those who manage and implement the policy.
e. Widespread awareness and understanding of sexual harassment is provided
f. The policy and procedures are monitored and reviewed regularly.

12.6.1 Employee

If an employee believes that they have been subject to sexual harassment or any unwanted sexual attention, they should;

i. Make a written record or the date, time and nature of the incident(s) and the names of the witness if any, and
ii. Report to their supervisor immediately. If the employee's immediate supervisor is the source of the alleged harassment, the employee should report the problem to the supervisor's superior. Report the incidence to the grievance committee via the grievance officer selected as the contact person.

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iii. All the incidents of sexual harassment or inappropriate sexual conduct must be reported regardless of their seriousness.

12.6.2 Supervisors

Supervisors must deal expeditiously and fairly with allegation of sexual harassment within their departments whether or not there has been a written or formal complaint. Supervisors must:

i. Take seriously complaints received from employee of sexual harassment or inappropriate sexually oriented conduct;
ii. Ensure that the harassment or inappropriate sexually oriented conduct is reported to the grievance committee or the committee's contact person;
iii. Take corrective action to prevent prohibited conduct from reoccurring.

12.6.3 Harassment Grievance Officers

There shall be two Harassment Grievance Officers selected by the University. One shall be male and the other female. The person selected as a harassment Grievance Officer shall be a person of outstanding character and can be trusted to keep all matters pertaining to sexual harassment confidential. Complainants can approach either of the two designated Harassment Grievance Officers ones they have a sexual harassment claim. The Harassment Grievance Officer is also the first line of contact when a

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formal complaint is being lodged.

12.6.4 The role of the Harassment Grievances Officer is to determine whether:

i. A complaint has substance;
ii. Inform the person accused of harassment of the nature of the complaint;
iii. inform both parties of their rights and responsibilities in proceeding with a grievance;
iv. Act as mediator/conciliator between the parties to resolve the complaint;
v. Follow up after a complaint has been resolved to ensure there is no recurrence and refer serious matters to the Grievance Committee;
vi. Make sure that the sexual harassment policy is adhered to and continually reviewed to reflect current scenarios.

12.7 Disciplinary Action

i. Disciplinary action will be taken by the University against anyone who is found to be in breach of this policy.
ii. Disciplinary action will also be taken against anyone who victimizes or retaliates against a person who has complained of sexual harassment.

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iii. Disciplinary action shall be taken against a complaint who lodges sexual harassment claims which have prove baseless, frivolous, vexatious, without merit or whose sole purpose was to slander and malign the respondent.

iv. The disciplinary action taken will depend on the severity of the case and may involve an apology, counseling, suspension, dismissal or other form of action that the University may deem, fit.

v. The University and its officers responsible for implementing this policy will keep confidential the personal data such as names and other details related to sexual harassment complaints, unless disclosure is necessary as part of the disciplinary or corrective process.

12.8 Complaint Procedures

i. The University recognizes that natural justice is the minimum standard of fairness to be applied in the investigation and adjudication of a dispute.

ii. Sexual harassment complaints can be handled through a variety of mechanisms. The University recognizes that, as a highly sensitive and complex matter, sexual harassment is best dealt with informally through discussion between the parties or with some assistance from an independent third

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party, so as to minimize its damaging and disruptive effects. An informal resolution is not always possible and it may be necessary to resort for formal procedures to resolve the complaint.

iii. The University encourages individuals who experience sexual harassment to inform the alleged harasser that the behavior is unwelcome, unacceptable and contrary to policy, and ask that the behavior stop. Individuals should also keep notes documenting incidents of the behavior, time, place and any witness.

iv. If it is not possible to confront the alleged harasser, or if this course of action fails to stop the behavior, then the matter should be brought to the attention of the Harassment Grievance Office, manager or supervisor for advice.

v. The role of the Harassment Grievance Officer, manager or supervisor as a first time line of contact, is to serve in an unbiased/impartial capacity to listen to the complaint, offer support, provide advice on procedures and refer to the Grievance Committee when appropriate.

vi. The complaint may be resolved informally between the complainant and the alleged harasser – through discussion, an apology and a commitment to stop the behavior. In this case, the Harassment Grievance Officer (or manager,

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supervisor) assisting an informal resolution will establish a follow up date to ensure the behavior does not recur, otherwise no further action is necessary,

In the event that the complaint cannot be resolved informally, the complainant may lay a formal complaint. In this case, the complainant is required to prepare and sign a formal written complaint to the Harassment Grievance Officer. The complainant should have as much of the following information as possible:

i. The name, department and position of the person or person allegedly causing the harassment;
ii. A description of the incident(s), including the date(s), location(s) and the presence of any witnesses;
iii. The alleged effect of the incident(s) on the complainant's position, salary, benefits, promotional opportunities, job performance, job satisfaction or other terms or conditions of employment;
iv. The names of other employee who might have been subject to the same or similar harassment;
v. The step the complainant has taken so try to stop the harassment; and
vi. Any other information the complainant believes to be relevant to the harassment complaint.

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vii. The formal complaint shall then be screened by the Harassment Grievance Officer and the officer may decide to solve it in an informal manner as prescribed. If this is not satisfactory, the formal complaint can be referred to the Grievance Committee for adjudication by either the complainant or the Grievance Officer.

The Management, Harassment Grievance Officer and Grievance Committee responsible for this policy will be responsible for ensuring that the complaint is investigated and mediated or conciliated professionally and confidentially, in an unbiased and prompt manner.

The University will ensure that all steps in the complaints procedure are handled promptly, and that the period given to investigation, hearing and release of the decision does not exceed twelve weeks.

12.9 Right to Appeal

Both parties to a complaint have the right to appeal against the decision and recommendation of a review panel if a matter of procedure, bias, or fairness is called into question. An appeals panel, made up of members other than those who formed the original review panel should handle formal appeals.

The Appeal Panel shall consist be constituted as per the CUK Statutes.

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CHAPTER 13

13.0 GENERAL HARASSMENT POLICY

13.1 Policy Statement

Discriminatory harassments of any person or group of persons on the basis of race, ethnic/social background, language, religion, sex, pregnancy, marital, age, disability or political affiliation/belief/opinion is prohibited. The University supports the principle that harassment represents a failure in professional and ethical behavior that shall not be condoned.

13.2 Scope of the Policy

a. This policy applies to all employee and stakeholders.
b. For the purpose of this policy, the term 'discriminatory harassment' is any unwelcome conduct, whether verbal, physical or otherwise, directed against any person or group, based upon race, ethnic/social background, language, religion, sex, pregnancy, marital status, HIV status, nationality, national origin, age, disability or political affiliation/belief/opinion that has the purpose or effect of creating an offensive, demeaning, degrading, hostile,

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humiliating or intimidating environment or giving less favourable treatment for the person or group of persons.

13.3 Exception

Given that the CUK must uphold its identity, it is a genuine, inherent and determining occupational requirement that the University may distinguish, exclude or prefer any person in line with section 5 of the employment Act, 2007.

13.4 Examples of General Harassment

For the purpose of this policy, matters that may amount to general harassment include:

i. Racist/tribalism comments/abuse/jokes
ii. Derogatory nicknames
iii. Verbal threats
iv. Offensive gestures and expressions
v. Offensive publications, letters, memo, emails that are racist or tribal in nature
vi. Making fun of a disability
vii. Mimicking a speech impairment, disability, movements, and gestures.
viii. Inappropriate questions or comments regarding the disability

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ix. Patronizing comments or “nicknames”

x. Bullying

xi. Physical intimidation

xii. Unwelcome touching

xiii. Threatening behavior, assault

xiv. Use of position, status, and resources assigned to intimidate staff or to get them to perform duties or favours that are not in any way related to their jobs.

13.5 Procedure for Raising a Complaint

i. Any member of the University who believe that he or she has been the victim of any form of harassment should promptly report the matter to the HR Manager or the immediate supervisor. The complaint must be brought within 30 calendar days of the most recent alleged harassing act.

ii. The initial discussion between the Complainant and the HR Manager shall be handled with sensitivity and discretion. The HR Manager shall inquire into all reports of alleged harassment brought to his or her attention.

iii. During the initial meeting with HR Manager, a written summary of the complaint shall be made and should be signed by the Complainant.

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iv. If the HR Manager realizes that there is no case of harassment, the employee shall be advised accordingly. Otherwise, the HR Manager shall inform the alleged offender (Respondent) of the allegation and of the identity or the Complainant, provide him or her with a written summary of the Complaint and proceed as set forth in the following procedure.

13.6 Procedure for Complaint Resolution

i. When a Complaint is submitted, the HR Manager/supervisor shall discuss the matter with the parties promptly, then he/she shall notify the appropriate person, and may initiate whatever steps he or she deems appropriate to effect an informal resolution of the complaint acceptable to both parties within a reasonable period of a reported incident.

ii. If an informal resolution is reached, it shall be documented in writing, approved by the HR Manager and the supervisor, and signed by the Complainant and the Respondent.

iii. If an informal resolution satisfactory to the Parties is not reached within one month after an incident is reported, or if in the sole discretion of the HR Manager and the supervisor, an informal resolution is not possible, the HR Manager shall proceed with a full investigation.

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iv. A report of the investigation results along with a recommendation for resolution of the Complaint and/or disciplinary action shall be made to the Principal and the date the Investigation was initiated. The Principal shall initiate prompt remedial or corrective action as per the CUK Statutes.

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CHAPER 14

14.0 DISCIPLINE POLICY

14.1 Policy Statement

a. The University shall ensure that there is a just, fair and systematic approach across the organization to address breaches in discipline, performance and/or the Policy of staff conduct.
b. This policy shall be corrective rather than punitive

14.2 Scope of the Policy

This policy is applicable to all employees of the University

14.3 Disciplinary Actions

a. In increasing severity, disciplinary measures are as follows;
    a. Reduction in rank /seniority
    b. Withholding of annual salary increment
    c. Reprimand/Warning
    d. Suspension
    e. Surcharge Action
    f. Termination
    g. Summary Dismissal

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h. Forfeiture of withheld salary and other benefits on reinstatement

b. Disciplinary process shall be carried out in accordance with the respective Terms of Service for all cadres of staff.

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CHAPTER 15

15.0 LABOUR RELATIONS

15.1 Introduction

CUK shall engage Trade Unions representing CUK staff in negotiating Collective Bargaining Agreements. The CUK Council and the Unions shall negotiate Collective Bargaining Agreements setting out the terms and conditions of service for the employees in their cadre. The negotiations will be guided by the provisions of the Constitution and relevant legislations.

15.2 Union Membership

a. All employees may join any registered and recognized Union. However, eligibility for an employee to join will depend on the recognition agreement between CUK and the respective Union.

b. Employees shall not be victimized for being members or participating in trade Union activities;

c. Employees who are appointed as officials of any Union may be granted permission to carry out official Union duties as stipulated in the Recognition Agreement;

d. Employees are not allowed to be officials of more than one Trade Union. However, an official of a Trade Union may also be an official of a Federation to which the Trade Union is affiliated;

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e. Union meetings shall be convened to take place during the employees' free time as outlined in the Recognition Agreement.

15.3 Recovery of Union Dues

a. CUK shall deduct trade Union dues from the salaries of union members and pay the monies so deducted into a specified account of the Trade Union;

b. Deductions from an employee who has resigned his Union membership and notified the employer in writing shall be stopped;

15.4 Dispute Resolution

CUK will endeavor at all times to have good working relations with the Unions in order to maintain industrial harmony. However, should a trade dispute arise concerning any aspect of the employer/employee relationship, the resolution of that dispute will be as provided for in the Labour Relations Act and the Recognition Agreement.

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CHAPTER 16

16.0 GOVERNANCE AND OFFICIAL COMMUNICATION

16.1 Introduction

This part comprises the institutional framework for human resource management in The Cooperative University of Kenya and official communication, It also spells out the basic rules for effective communication through correspondence and other means. It provides for expeditious treatment of communication within the prescribed rules and gives a brief guide for use of a variety of other communication media.

16.2 Values and Principles of Public Service

The Vice Chancellor shall be responsible for implementation of CUK, HR policies and programmes as guided by the following values and principles of as stipulated in Article 232 of the Constitution:

i. High standards of professional ethics;

ii. efficient, effective and economic use of resources;

iii. Responsive, prompt, effective, impartial and equitable provision of services;

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iv. Involvement of the people in the process of policy making;

v. Accountability for administrative acts;

vi. Transparency and provision to the public of timely, accurate information;

vii. Fair competition and merit as the basis of appointments and promotions;

viii. Representation of Kenya's diverse communities; and

ix. Affording adequate and equitable opportunities for appointment, training and advancement;

16.3 National Values and Principles of Governance

CUK will also be bound by the National Values and Principles of Governance as stipulated in Article 10 of the Constitution. These include:-

i. Patriotism, national unity, sharing and devolution of power, the rule of law, democracy and participation of the people;

ii. Human dignity, equity, social justice, inclusiveness, equality, human rights, non- discrimination and protection of the marginalised;

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iii. Good governance, integrity, transparency and accountability; and

iv. Sustainable development.

16.3 Forms of Correspondence

a. Great importance is attached to the expeditious treatment of all communication received by CUK. Every communication requiring a response but which cannot be answered at once should be acknowledged promptly on receipt. The necessary consultations should then be finalized and appropriate reply dispatched in not more than seven (7) days unless it can genuinely be established that such consultations require a longer period.

b. Correspondence within the University should be as concise as possible, indicating the general background to the issue and advice or decision sought on the issue.

c. Each correspondence should be confined as far as possible to a single subject under an appropriate and summarized heading. Invariably, the reference number and date of the last communication, if any, from the writer and from the person addressed on the same subject should be given.

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d. Enclosures in foreign languages should be accompanied by a certified translation or in the case of documents of minor importance, by a summary of the contents.

e. Documents received in foreign languages should be referred to the State Department responsible for Foreign Affairs for official translation, if necessary.

f. Any confidential information relating to CUK should not be communicated to the general public without the sanction of the Vice Chancellor.

g. When decisions of the CUK have to be conveyed to non-governmental bodies or to members of the public, they should be communicated as the decisions of the University, and not as those of an individual member of staff or Department.

h. The responsibility of ensuring that correspondence reaches its destination rests with the sender.

16.4 Communication by CUK Staff

CUK staff is not allowed to take extracts or make copies of minutes or correspondence, unless such approval is granted by the Vice Chancellor.

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16.5 Publicity/Broadcasts

i. The Corporate Communication Section will assist in the preparation of the material for publicity in a form most suitable to the media but it will be the responsibility of the Deputy Vice Chancellor concerned to ensure accuracy before any material is issued.

ii. CUK staff shall not issue statement(s) to the media on official matters without prior approval of the Vice Chancellor.

16.6 Use of modern means of communication

For faster communication, CUK shall adopt modern means of Communication such as use of e- mail, fax and telephones.

16.7 Use of Password

Where data is of a confidential nature and electronically stored, member of staff to whom passwords are entrusted shall take precautions to keep them confidential and safeguarded.

16.8Annual Reports

i. Annual reports are intended to be a record of work done during the period under review and should be concerned with assessing whether government programmes, performance contracts, functions and activities have led to achievement of stated objectives or goals during the year in question. Annual Reports

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should therefore, include the following information:

a. A descriptive statement giving background information about a programme, function or an activity which should include elements such as cost, time span, size and schedule.

b. A statement of intended objectives which were to be achieved after implementation;

c. Environmental influences/factors during implementation;

d. Outcomes/Impacts in relation to the originally stated objectives;

e. An analysis on whether the activity in question has been managed efficiently and effectively as planned; and

f. Recommendations and suggestions for future improvement of Government policies and programmes.

ii. Where feasible, Divisions shall publish one report covering the departments/sections within the Division.

iii. The result of research or scientific investigations should be

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published in scientific journals, or as separate monographs, and not in annual reports. The reports should, however, include a reading list referring to these separate publications.

iv. Annual Reports will be prepared on the basis of a financial year.

v. Annual Reports should not be published without prior sanction of the Deputy Vice Chancellor concerned.

16.9 Research Approvals

A member of staff wishing to undertake research on any aspect of the University will be required to seek approval of the Deputy Vice Chancellor, FPA.

16.10 Official Seals and Stamps

a. The use of official seals and stamps in all CUK must be confined strictly to official requirements.

b. Applications by private persons for impressions of official seals shall not be allowed.

c. The official seals and stamps must be kept under the custody of Heads of Departments designated for the purpose who shall be accountable for their custody and appropriate use.

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16.11 Disposal of Records

Disposal of official records shall be done in accordance with the provisions of the *Official Secrets Act*, the Public Archives and Documentation Services Act and Personnel General Letter No.1 of 2008.

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CHAPTER 17

17.0 SEPARATION POLICY

17.1 Introduction

CUK values all employees and as such it shall be its obligation to ensure that there is smooth, friendly and respectable separation with the staff when it occurs. This policy is meant to protect the interests of the employer and the employees where the services of an employee are to be terminated.

17.2 Scope of the Policy

The policy shall be applicable to all CUK staff.

17.3 Forms of Separation/Termination

Employee shall be separated from the services of the University through the following ways;

a. Resignation
b. Termination in accordance with the letter of appointment/contract
c. Termination by agreement
d. Voluntary retirement
e. Compulsory retirement
f. Retirement on exceptional cases
g. Summary dismissal

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h. Death

17.3.1 Resignation

A member of staff may resign from his/her appointment by giving notice in writing to the Deputy Vice Chancellor, FPA or payment of salary in lieu of notice for the equivalent period. The period of notice shall be as provided for in the Terms and Conditions of Service for each cadre.

17.3.2 Termination In Accordance With the Letter of Appointment

An employment contract may be terminated by either party in accordance with the Terms and Conditions of Service.

17.3.3 Termination by Agreement

The employment contract may be terminated by either party by mutual consent.

17.3.4 Retirement

The University shall formulate a retirement programme to prepare employee for retirement.

17.3.5 Voluntary retirement

Staff members shall be eligible for voluntary retirement as follows provided for in the Terms and Conditions of Service.

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17.3.6 Mandatory retirement

a. The mandatory retirement age for Academic members of staff shall be seventy (70) years;
b. The mandatory retirement age for the non- teaching members of staff shall be sixty (60) years;
c. Persons with disability shall retire at the age of sixty five (65) years;
d. The University shall notify the employee about his/her retirement at least six months before the retirement date.

17.3.7 Retirement on Exceptional Cases

Retirement process shall be in accordance with the Terms of Service of the respective employees.

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CHAPTER 18

18.0 POLICY COMMUNICATION, IMPLEMENTATION, REVIEW AND EFFECTIVE DATE

18.1 Communication

This policy shall be communicated to the CUK Staff through the University Website and Staff Portal.

18.2 Implementation and Monitoring

This policy shall be implemented through an action plan that will detail the strategies, activities, target groups, time frame and budget line. The Vice Chancellor shall spearhead the overall policy implementation, monitoring and evaluation.

18.3 Review

This policy shall be reviewed after every three (3) years. However, if there are developments in any of the areas relating to the contents herein, a review may be done before the three year period.

18.4 Effective Date

These Human Resource Policies and Procedures shall take effect as from 1st July, 2017.

18.5 Approval

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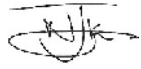
These Human Resource Policies and Procedures were approved by the University Governing Council on 30th June, 2017.

AUTHORIZATION

SIGNED, **DATE:**



PROF. KAMAU NGAMAU

AG. VICE CHANCELLOR

Official Stamp

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