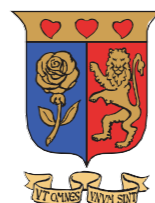




PEOPLE AND CULTURE POLICY MANUAL



Strathmore
UNIVERSITY



PEOPLE AND CULTURE POLICY MANUAL

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1. SECTION ONE: INTRODUCTION

Title

- a. This Policy may be cited as the Strathmore University People and Culture Policy Manual (hereinafter referred to as “the Policy”). It applies to and forms part of the contract of employment of all employees of the University. The intent of the Policy is to provide a concise source of information on the People and Culture policies of Strathmore University as well as the rights and duties of the University and the employee in employment.
- b. All Employees are expected to abide by its terms and to uphold the highest standards of personal and professional ethics and behavior.
- c. The provisions of this Policy are subject to modification, amendment or revocation from time to time.
- d. Employees are encouraged to consult the People and Culture Department for any clarification regarding the policies, procedures and terms and conditions contained in this Policy.
- e. Where provisions of this Policy conflict with those stated in an individual Employee’s contract, this Policy and its amendments from time to time will prevail over the employment contract unless otherwise approved by the Management Board.
- f. This Policy shall be read together with the provisions of the University’s Statutes, People and Culture Procedure Manual and other policies.

1.2 Definitions

In this Policy: -

- a. **“Board”** means the Management Board as constituted by the University Statutes Rules, Regulations and Policies.
- b. **“Bonus”** means an award based on the achievement of set objectives awarded at the discretion of the Management Board.
- c. **“Calendar year”** means the period from 1st January to 31st December, both dates inclusive.
- d. **“Council”** means Strathmore University Council as constituted by the University Statutes, Rules, Regulations and Policies
- e. **“Employee”** means a person employed by the University on a contract of service.
- f. **“Full time staff”** means member of staff who is engaged by the University on a full time basis.
- g. **“Part time staff”** means a member of staff who is engaged as and when there is need. These staff do not have a guaranteed workload.
- h. **“Project based”** staff means a member of staff who has been hired for a very specific project. Their terms of engagement are as stipulated by the

project.

- i. **“Gross Salary”** means the aggregate salary paid to an employee before any deductions are made. This includes basic salary and contractual allowances.
- j. **“Head of Department”** means a person appointed by the Management Board of Strathmore University to perform the duties of a Head of Department.
- k. **“Immediate relative”** or **“Immediate family member”** means the employee’s child, spouse, siblings, parent, and parent of the spouse subject to provision of required documentation on the same.
- l. **“Onboarding”** The process of integrating a new employee at an organization to facilitate the acquisition of skills, knowledge, and behaviors necessary to be successful in the position and in the work environment through formal processes and informal means.
- m. **“Onboarding Buddy”** The Employee who is assigned to assist and offer general support to the new Employee during the on-boarding period to facilitate their settling down.
- n. **“Onboarding Period”** the period commencing on an Employee’s first day of employment up to the time the employee is due for confirmation after their specified probation period.
- o. **“Re- Boarding”** Whenever employees are away from the workplace for an extended period of time, say 2 years and above, there is often a steep learning curve to get them back up to speed, not only due to likely organizational changes, but also based on the daily work at hand. Returning employees will likely need some degree of assistance returning to a working mindset, collaborating effectively with colleagues (particularly if any of them are new), and working through any fears, anxieties or self-doubts they might be feeling. The aim of re-boarding the right way is to effectively and humanely bring people back to work and reconnect teams in meaningful and mutually supportive ways.
- p. **“Pre-boarding”** Refers to candidate engagement activities that take place between a new employee’s offer acceptance and start date
- q. **“Remuneration”** includes the total reward for employment in the form of salary, allowances, benefits, cash and non-cash incentives, bonuses etc.
- r. **“Salary Review”** means a revision of an employee’s remuneration undertaken by the University through its designated bodies.
- s. **“Suspension”** means forced leave of an employee from employment, for a specified period, with pay, pending investigations or conclusion of disciplinary proceedings.
- t. **“Trustees”** means the Board of Trustees of Strathmore Educational Trust, Registered Trustees.
- u. **“University”** means Strathmore University as established by the Strathmore University Charter.

1.3 Powers to Amend

- a. The University Council reserves the right to amend this policy or parts thereof from time to time.
- b. In exercising such powers, the Council shall take into consideration the University's Statutes, Regulations and Policies as well as all applicable laws.

1.4 Delegation

The University Council and the Management Board may delegate any of their functions and powers under this Policy to their respective Chairpersons or any other of their members or to anybody comprising such member or members and such other persons as they may respectively appoint.

In all areas where the Executive Director, People and Culture, can exercise power, the power may be exercised by such person designated by the Executive Director, People and Culture with the approval of the University Secretary.

1.5 Application, Distribution and Adherence

- a. This Policy shall be read in conjunction with an employee's contract of employment and any other policies and procedures issued by the University from time to time.
- b. It is the responsibility of each Head of Department to ensure that the Policy is carefully implemented and adhered to within their department and that those working under them are aware of their obligation to familiarize themselves with and adhere to the Policy.

1.6 Unwritten Code

This Policy does not purport to cover all aspects of the employment relationship. Where no set policies exist, employees shall be expected to conduct themselves in accordance with the ethos, principles, values and mission of the University as well as with the terms and conditions stipulated in their employment contracts and the provisions of the University Statutes, Regulations and Policies.

1.7 Publication

The Policy will be made available on the People and Culture Department website and any other digital depository used for University policies from time to time.

1.8 Automation

Whenever possible and with the view of enhancing efficiency, the University will apply appropriate technology in its employment operations.

2. SECTION TWO: PRINCIPLES GOVERNING THE OPERATIONS OF THE UNIVERSITY

2.1 University Mission Statement

The University acknowledges the person of St. Josemaria Escriva, founder of *Opus Dei*, who inspired its establishment and whose teachings guide its spirit. Although the University is not a religion-based or an officially ecclesial institution in matters of faith and morals it is committed to following the teachings of the *Magisterium* of the Catholic Church. The Mission of the University is to:

- a. Provide an all-round quality education in an atmosphere of freedom and responsibility, advancing excellence in teaching, research and scholarship, fostering ethical and social development and service to the society, instilling a culture of lifelong learning, fostering high moral standards, and inspiring a culture of entrepreneurship.
- b. Advance education, knowledge, wisdom, understanding and entrepreneurship through its teaching, research, and innovation both within the University and in close association with business and the professions, for the benefit of individuals and society at large.

2.2 The University's Core Values are:

- a. **Excellence through the sanctification of work:** We strive for work excellence and the highest-quality output, and the joy of always giving good service;
- b. **Freedom and responsibility:** We respect the freedom of the individual person, with the acknowledgment that with freedom comes responsibility for one's actions;
- c. **Ethical practice:** We honour the beliefs, morals and values of the academic profession and help others to do the same;
- d. **Personalized attention:** We seek to provide an environment where students and other stakeholders can receive individual and customised service and support.
- e. **Subsidiarity:** We seek to provide solutions at the most immediate level to a need;
- f. **Collegiality:** We respect one another's commitment to a common purpose and work together to meet the needs of our clients. Collegiality does not in any

way constitute a suspension of decision making or making a renunciation of personal responsibility on the part of those in charge but rather constitutes a more consultative and reflective decision-making process;

- g. **Life-long learning:** We develop programmes and adapt teaching methods that equip learners with skills and tools for innovation and adaptability, and contribute to a person's development of mind and body, intelligence, sensitivity, aesthetic appreciation and spirituality throughout their lives;
- h. **Service to society:** We serve society through research, education and institutional citizenship. Through research, we advance knowledge that is the foundation of improvements in human well-being. By educating students, we strengthen society's capacity to grow and innovate. Through institutional citizenship, we develop programmes that make a direct contribution to the betterment of society and inspire our students to do the same.

2.3 Organizational Structure of the University

The Organizational Structure of the University is as indicated in the University's Statutes.

3. SECTION THREE: GENERAL CONDITIONS OF EMPLOYMENT

3.1 Hours of Work

- a. An employee's hours of work shall be indicated in their contract of employment. The hours may vary as dictated by the needs of the University and areas of operation.
- b. An employee may be called upon or may be required to work beyond their stipulated contractual hours. Whether or not the employee will receive overtime and the overtime rates shall be as stated in the contract of employment.

3.2 Workload

An employee's workload including that of academic staff shall be indicated in the individual Job Description

3.3 Attendance and Punctuality

- a. Employees are expected to report to work on time and ensure that they give their best effort and attention during office hours. In the event that an employee is unable to work as scheduled, they should seek permission from their supervisor as soon as possible.
- b. Absenteeism and tardiness are disruptive to the operations of the University. Repeated absenteeism and tardiness will lead to disciplinary action, up to and including termination

3.4 Contract Management Policy

An employee may be appointed on a Permanent Contract, Fixed Term Contract, Temporary contract, Project Based Contracts, Casual Workers, Visiting Academic Staff, Part-Time, Voluntary and Internship and Industrial Attachment. Continuity of employment shall be subject to fulfillment of all applicable terms and conditions of employment, the University's requirement, including strategy, financial and operational requirements and at the absolute discretion of the Management Board.

3.4.1 Types of Contracts

a. Permanent Contract

This is an employment arrangement whereby the employee is engaged on an open-ended basis. Employees will be considered for employment on permanent terms after at least one year of continuous service with the University. For certain key and strategic positions, to be determined on a case by case basis, the one-year pre-requirement may be waived by the Executive Director People and Culture, the Management Board or the University Council, depending on the seniority of the position in question.

b. Fixed-term Contract

This is an employment arrangement whereby the employee is employed to work for a fixed / specified duration. Matters relating to the duration of the contract, its renewal and issuance of an open-ended contract are at the absolute discretion of the University. Each fixed term contract will be considered separate and independent from the other and the renewal of previous contracts does not create any expectation or obligation of future renewal.

If no communication is received by the employee from the University prior to expiry of the contract and should the employee continue to work, the contract shall not be deemed to be extended until such time as communication shall be received from the University regarding the employment.

c. Project Based Contracts

Employees who are recruited to work on specific projects, shall be issued with contracts whose durations shall be in line with that of the specific project.

d. Temporary Contracts

A temporary employee is one who is employed for a limited period to cope with the variation in work as well as to alleviate personnel challenges from time to time. The term of the temporary contracts shall be determined from time to time by the management board. Employees on temporary contracts may not be entitled to any benefit unless stated in their contracts.

e. Adjunct Contract

This is an employment arrangement whereby the employee is employed to work for a specified number of hours. These employees enjoy such pro-rated benefits as are indicated in their contracts of employment. Adjunct employees may also be entrusted with administrative roles.

f. Voluntary Appointment

Persons with appropriate skills who offer themselves to serve at minimum or no cost to the University may be offered voluntary appointment.

g. Part-time Contract

This is an employment arrangement whereby an employee is engaged to work for a specific number of hours or period. These employees do not enjoy Full Time staff benefits. They may have defined benefits as indicated in their contracts of employment.

h. Casual employees

This is an employment arrangement whereby an employee is engaged on a temporary basis of not more than three months.

3.5 Personal Telephone Calls and Visitors

- a. During office hours, personal telephone calls should be kept to an absolute minimum. Personal calls should be made only during rest and lunch breaks.
- b. Unofficial visits are discouraged during work hours and should be kept to a minimum at all times. All visitors must identify themselves to the receptionist who will give them a Visitor's Badge to be displayed at all times. The Visitor must be escorted by an employee. No visitor, including former employees, are permitted to walk around the University premises unescorted.

3.6 Solicitations

All solicitations on the University premises are prohibited. Employees are advised that no business shall be conducted on the premises, and no solicitations for sale of products or services should be made.

3.7 Personal Property

Employees shall at all times be responsible for their own property in the offices and the University's environs.

3.8 Confidentiality

- a. Unless specifically authorized by the Vice-Chancellor, no employee shall disclose any confidential information to any person otherwise than in the ordinary course of their work to such person as is authorized to receive such information.
- b. "Confidential information" includes information, documents or data in whatever form relating to the business, affairs, officials, representatives, employees, employee records and any other aspect of or transactions of the University and information relating to the students and their sponsors and all information relating to any entities associated with the University, which the employee receives or obtains in connection with their employment, whether or not such information (if in anything other than oral form) is marked confidential.
- c. No employee shall during, upon or after termination of employment, communicate to any person, government or other entity internal or external to the University, any confidential information made known to them except upon specific written authorization from the Vice-Chancellor. Breach or threatened breach of this requirement of confidentiality by the member of an appointing

committee entitles the University to seek legal or other remedies available to it, internally or externally in any entity, institution or court of competent jurisdiction as the cost of the committee member in breach of confidentiality

3.9 Public Statements

- a. Employees shall not give interviews, issue statements, write or publish anything concerning the University in any form of media, except with the Vice - Chancellor's written consent.
- b. Any public position taken on any issue through any communication channel should be clearly stated as one's personal view, and not representative of the University's position though employees should be aware that taking such public positions might affect the University. While it is not desired to interfere with an employee's freedom of speech, any lack of discretion on the part of the employee is likely to embarrass the University and may result to serious consequences to the employee responsible.
- c. All employees should familiarize themselves with and abide by the University's Policies on communication.

3.10 Personal and Professional Conduct

In line with the University's ethos, all employees are expected to adhere to high, professional and moral standards of personal conduct.

3.11 Dress Code

A neat, clean, professional appearance is a requirement for all positions at the University. Employees should be dressed in proper business attire. Business attire means clothing that allows the employee to feel comfortable at work yet is appropriate and decent for the University environment. Refer to the University's dress code guideline.

3.12 Whistleblowing

Whistleblowing is a term used to describe a situation where an Employee or groups of Employees raise concerns about a malpractice or wrongdoing within the University. The person who makes the report is known as the whistleblower. This policy encourages Employees to speak out legitimate concerns which they may not be comfortable discussing openly. The University's Policy and Procedure on Disclosure shall guide the employee on how to disclose such information without fear of reprisal.

3.13 Academic Freedom

The University recognizes and encourages an atmosphere of academic freedom and responsibility. In all cases the University expects all employees to respect and uphold the principle of unity of faith and reason, which forms the basis of the ethical norms which guide teaching and research in the University.

3.14 Academic Integrity

The University is committed to fostering an intellectual and ethical environment based on the principles of academic integrity. Academic integrity includes a commitment to the values of honesty, trustworthiness, fairness, and respect. These values are essential to the success of the University's educational and research missions and violations of academic integrity constitutes a serious offense against the entire academic community. All employees should therefore familiarize themselves with and adhere to the University's policy on Academic Integrity.

3.15 Gifts from Suppliers/Sponsors/Students/Others

Gifts offered to employees may place them in a conflict-of-interest position. It is therefore important for all employees to declare gifts or benefits in kind (including discounts) received from suppliers/clients/students/sponsors or any other stakeholder of the University to the Head of the Administrative Services department who shall advise whether or not the gift is acceptable.

3.16 Holding outside Appointments

- a. Administrative staff are not permitted to hold outside appointments (employment, business, consultancies, non-executive directorships amongst others) except with the prior written approval of the respective Head of Division in consultation with the Executive Director, People and Culture. In granting such approval the University may lay down any conditions it considers appropriate in order to preclude any conflict of interest.
- b. Academic staff and Teaching staff may hold related academic appointments such as supervision of graduate students in other universities, external examination in other institutions, consultancies, non-executive directorships, amongst others, provided these activities do not interfere with their normal work in the University. An academic staff who wishes to be involved in such outside work shall first seek and obtain the written approval of the Deputy Vice Chancellor- Academic and Students Affairs through their respective Head of Department. For non-executive directorships and similar positions, the member of staff shall first seek and obtain the written approval of the Vice Chancellor.
- c. In all cases, the application to hold an outside appointment must first be approved by the Head of Department. Approval shall not be given for the holding of executive directorships.

3.17 Political Involvement

Ut Unnes unum sint is the University's motto where all staff and faculty are called upon to prosper in the diversity of the University's richness in culture, backgrounds, views, etc as guided by the University's mission and vision.

To sustain this unity, the University prides in being neutral/not affiliated to any political activity. Consequently, a staff/faculty shall not, in or in connection with the performance of his/her duties as such act as an agent for, or so as to further the interest of a political party or indicate support for or opposition to any political party or candidate in an election or engage in political activity that may compromise the political neutrality of the University.

3.18 Additional Guidelines

- a. Though an employee is entitled to his/her own political, civil or social views on various matters, s/he shall ensure that their view and any utterances or expression of the same in any form are:
 - i. in their private capacity,
 - ii. do not implicate or give the appearance either directly or indirectly that the University as an institution or through its members holds, promotes or advocates for such political, civil or social views of the employee in question.
- b. An employee shall not:
 - i. Use his or her official authority or title or any link or association with the University for the purpose of interfering with or affecting the nomination or election of any candidate for public office.
 - ii. Command or solicit or aim to create an association or link in any fashion with any other employee or member of the University in respect of any political, civil or social views held by that employee. The employee may not either directly or indirectly aim at or actually take steps to have any employee or member of the University, participate in any political, civil or social activity.
 - iii. Use his/her political, civil or social stand to intimidate, ridicule, harass or challenge or in any way engage other employees or members of the University whether in public or private.
- c. Faculty and staff members shall not use regularly scheduled University work time for personal or partisan political activity.
- d. The University's brand/logo, premises, tools or any material or any reference or affiliation to the University as well as time and resources provided by the University at and for work, should not be used to further ones or any other person's political, civil or social views, activities or interests.
- e. Communication made on political, civil or social views of an employee should be in their personal capacity must not include any material that may suggest this communication relates to the person's role or employment or any affiliation to the University.

- f. University employees must not use University emails, phones, or other means of communication or media information affiliated to the University for political, civil or social purposes.
- g. Any employee who wishes to engage in any form of political activities or engagement, must tender their written resignation to their respective Head of Department at least six months to the election date.

3.19 Conflict of Interest

The University's mission of teaching, research and public service must not be disrupted by the pressures of economic or other gain. The trust that the University's stakeholders have with regard to the University's integrity must not be undermined by improper influence where conflict of interest is concerned. All employees are expected to act with honesty, integrity, and in the best interest of the University when performing their duties.

Accordingly, employees are not permitted to: -

- a. Do business with the University;
- b. Accept or solicit directly or indirectly without authorization, payments, services or loans from any person or organization doing business or expecting to do business with the University. This will include 'gifts', travel, entertainment or other forms of gratuities;
- c. Use the Institution's resources, including facilities, personnel, equipment or confidential information, for any purposes other than the performance of the employee's official responsibilities;
- d. Use confidential information for personal gain, or other unauthorized purpose;
- e. Participate in negotiating or giving final approval to agreements between the University and another organization in which the individual, or an immediate family member has a significant financial/business relationship, employment, or consulting arrangement;
- f. Take advantage of the University's activities and opportunities for their personal gain.
- g. All employees should familiarize themselves with and must adhere to the University's Conflict of Interest Policy.

3.20 Conflict of Commitment

A 'Conflict of Commitment' exists where the external activities of an employee are so substantial or demanding of the employee's time and attention that they are diverted from their primary responsibilities at the University and their performance is affected. 'Conflict of Commitment' constitutes a form of conflict of interest. The employee shall seek written approval from their respective Head of Department prior to engaging in the demanding external activities.

3.21 Working Environment

- a. All employees are expected to maintain orderly work stations in consideration of other members of staff.
- b. All employees are accountable for the work equipment and furniture entrusted to them in the course of duty. Employees will be held liable for any damage caused by personal negligence, willful default or otherwise.
- c. The University has established a health and safety policy for the welfare of all its employees.

3.22 Use of University Resources/Property

- a. Employees are expected to exercise care in the use of University property and to use such property only for authorized purposes. Unauthorized use or removal of University property from the University is prohibited.
- b. To use University property for work purposes outside the office, an employee must obtain prior written permission from their supervisor.
- c. University property issued to an employee must be returned at the time of separation. Any University property that is not returned will be deducted from the employee's final dues.

3.23 Staff meetings

Employees are expected to attend meetings organized by Management or Management representatives. These meetings may be at departmental level or for the University as a whole.

3.24 Sexual Harassment

- a. The University is committed to maintaining a learning and working environment for all students, faculty, and staff that is underpinned by freedom and responsibility, respect for others, fairness and high human standards – an environment that supports career and educational advancement on the basis of job and academic performance. Sexual harassment subverts the mission of the University and offends human dignity. It is not tolerated at Strathmore University.
- b. All employees should familiarize themselves with and adhere to the University's Sexual Harassment Policy.

3.25 HIV/AIDS

The University promotes a policy of non-discrimination at the workplace regardless of an employee's health status, subject to fitness to perform a particular task.

3.26 Drug-Free Workplace

- a. All workplaces and facilities where the University conducts its activities shall be free of all illegal drugs, narcotics, hallucinogens and stimulants. These include, but are not restricted to cocaine, heroin, marijuana and opium.
- b. The use of University resources or premises for the purpose of manufacture, distribution, dispensation, possession or use of any illegal substance is strictly prohibited.
- c. Any employee who violates this prohibition shall be subject to summary dismissal. The appropriate authorities may also be notified, and the University may take appropriate legal action.
- d. Employees should familiarize themselves with and adhere to the University's policy on Substance Abuse.

3.27 Smoking

Smoking on University premises is prohibited except in the designated areas. Employees found smoking in non-designated areas will be subject to disciplinary action.

3.28 Alcohol

- a. The consumption or dealing in alcohol is not permitted on University premises or in the course of University business with the exception of official functions where alcohol is provided by the University.
- b. Any employee found consuming alcohol on University premises or reporting to work under the influence of alcohol and/or who is unable to work as a result of alcohol will be requested to leave the premises immediately and will be subject to disciplinary proceedings which may lead to summary dismissal.
- c. For purposes of confirming whether or not an employee is under the influence of alcohol and/or is unable to perform his/her work properly, the Employee shall submit to such tests, including medical tests, and at a medical facility as the University may require. The employee may also be required to undertake certain physical acts such as writing specific sentences, giving responses to certain questions or commands or other functions that an intoxicated person cannot perform in order to ascertain that the employee is unable to perform their duties properly due to intoxication.

3.29 ICT Policy

- a. The University has provided ICT facilities to assist/support its employees in their day-to-day work. It is important that they are used responsibly, are not abused, and that all employees understand the legal, professional and ethical obligations that apply to them.
- b. All employees should familiarize themselves with and adhere to the University's ICT policy.

3.30 Intellectual property

The title, rights and interests in all forms of intellectual property produced by employees in the course of their employment by the University, will be vested exclusively with the University and the creators shall cooperate with the University in all respects to enable the University to fully secure and legally protect and acquire intellectual property rights. The Intellectual Property Policy in the University shall apply.

3.31 Policy on Remote Working

- a. This policy on remote working outlines the guidelines for employees who have obtained the necessary approvals to work from a location other than the University premises for all or part of their regular workweek or who have been requested by the University to work remotely.
- b. Remote working occurs where an employee carries out their work at a location other than at the University premises. Remote working is not an entitlement and therefore should not be considered as a University-wide benefit.
- c. The aim of this policy is to ensure that both the employees and the University can benefit from these arrangements.
- d. This policy applies to all employees of the University in the following categories: -
 - i. Those who work remotely by virtue of the nature of their employment, for example, an employee who is based abroad;
 - ii. Those who are required to work remotely by the University;
 - iii. Those who wish to apply to work remotely; and
 - iv. As the University shall determine from time to time.
- e. All employees should familiarize themselves with and adhere to the University's People and Culture Procedure Manual on Remote Working Procedures and Eligibility.

3.32 Loan Policy

- a. The University is not an alternative to lending or savings and credit institutions. The University may, however, provide a solution in an emergency situation.
- b. Loan applications are assessed on an ad hoc basis and, therefore, there is

no automatic entitlement to a loan. This policy shall apply to all full-time employees of the University.

- c. The employee must justify the application for a loan on the basis of an unexpected emergency situation. Unless approved by the Management Board, the University will not, under any circumstances, stand security in the event of applications for loans submitted to other institutions.
- d. Documentation and the application for any loan will be kept confidential and is subject to the University's Data Protection Policy.
- e. All employees should familiarize themselves with and adhere to the University's People and Culture Procedure Manual on loan Procedures and Eligibility.

4. SECTION FOUR: RECRUITMENT AND APPOINTMENT POLICY

4.1 Purpose

Recruiting and selecting the right people is of paramount importance to the continued success of the University. The University's policy is to recruit on the basis of the University's principles, values, culture and standards as well as merit, demonstrated by recognized qualifications and abilities, training and experience. The University aims to be an aspirational employer brand that is top of mind for top talent in the country and beyond. This Policy shall be read together with the provisions of the University Statutes on appointment.

This Policy sets out how to ensure, as far as possible,

- a. That the best and most suitable people are recruited;
- b. A candidate's personal needs and ambitions are matched with those of the University;
- c. That hiring is based on organizational fit, where the culture and values of the University are central in recruitment;
- d. That the recruitment process is efficient and transparent;
- e. That the University has a talent pipeline database that can be used in time of need;
- f. That recruitment is aligned to manpower planning;
- g. That recruiting officers are appropriately trained on the recruitment process;
- h. That candidates and interview panel members get a positive experience of the recruitment process.

4.2 Scope

Unless otherwise provided in the University Statutes, this policy applies to all recruitments.

4.3 Equal employment opportunity

- a. Recruitment and appointments must be based on merit. Principles of transparency, fairness, credibility and equal employment opportunity underpin recruitment and appointments at the University.
- b. The Management Board may on an annual basis take affirmative action measures consistent with the promotion of equality or the elimination of discrimination in the workplace or for the attainment of any other determined goal.

4.4 New Positions

- a. All new positions which are not in the current University structure must be approved by the Management Board or the University Council depending on

the seniority of the position, before commencement of the recruitment process. The job profile, departmental structure and financial sustainability shall be submitted to the Executive Director People and Culture, or their designate, who will then submit them to the Management Board for approval.

- b. Recruitment for positions which exist in the current structure but not in the recruiting department will require the approval of the Head of Department in consultation with the People and Culture Department.

4.5 Replacements

Requests to fill a vacant position shall be approved by the Executive Director People and Culture, or their designate, the Management Board or the University Council depending on the seniority of the position, before commencement of the recruitment process.

4.6 Inter-Departmental Transfers

The University recognizes that interdepartmental transfers offer opportunities for employees' development. The University therefore offers and encourages transfer opportunities for its employees. Likewise, Heads of Departments should be supportive of employees who have the desire to enhance their skills or develop new competencies by pursuing different or greater responsibilities internally.

4.7 Lateral Transfers

- a. A lateral transfer is a change of job assignment to a job having commensurate responsibilities and authority to the job presently held by the employee.
- b. A lateral transfer may involve a change in departments in which case guidelines on staff internal transfers must be followed.

4.8 Special Appointment

- a. Employees may be assigned specific responsibilities within the University outside their normal job scope. In such cases, the respective Head of Department, with the approval of the Head of Division, will recommend a suitable candidate to the Executive Director People and Culture, or their designate, for appointment.
- b. The appointment will follow the approved criteria for the position and it shall be for a specific period.
- c. Both the employee's main duty and the special appointment will be carried out within the employee's normal working hours.
- d. No employee will hold more than one special appointment at any given time.

4.9 General Promotions

The University recognizes and rewards the outstanding achievements of its employees through promotion, amongst other means. Promotion is not an entitlement

but is based on merit. Employees eligible for promotion will be interviewed according to the set criteria for each job category.

4.10 Promotion of academic staff

Classification	Minimum Academic Qualification
Professor	<p>Education: Bachelor's degree with Honours plus a Master's degree and a PhD degree in an area of strategic focus and recognized by the Academic Council of the University.</p> <p>Teaching Experience: At least 10 years in teaching and content development at University level; at least one University level text book; demonstrated leadership in the scholarship of teaching.</p> <p>Research Experience: At least sixty publications points in area(s) of specialisation in reputable journals since becoming Associate Professor; Experience in research administration and sourcing for research funding; Experience in supervision of doctoral theses; Experience in coordinating and conducting advanced research activities that are published.</p> <p>Professional Experience: Member or fellow of a relevant professional body; Wide experience in contract research and consultancy.</p>
Associate Professor	<p>Education: Bachelor's degree with Honours plus a Master's degree and a PhD degree in an area of strategic focus and recognized by the Academic Council of the University.</p> <p>Teaching Experience: At least eight years in teaching and content development at University level;</p>

	<p>experience in conducting and coordinating activities supporting the scholarship of teaching.</p> <p>Research Experience: At least forty-eight publications points in area(s) of specialisation in reputable journals since becoming Senior Lecturer; Experience in supervision of doctoral theses; Experience in conducting advanced research activities that are published.</p> <p>Professional Experience: Member or fellow of a relevant professional body; experience in contract research and consultancy.</p>
Senior Lecturer	<p>Education: Bachelor's degree with Honours plus a Master's degree and a PhD degree in an area of strategic focus and recognized by the Academic Council of the University.</p> <p>Teaching Experience: At least Four years teaching as a Lecturer at University level or six years' research/industry experience; Experience in content development and delivery; Experience in activities supporting scholarship of teaching.</p> <p>Research Experience: At least thirty-two publications points in area(s) of specialisation in reputable journals since becoming a lecturer; Ability to coordinate and supervise master's theses and dissertations and undergraduate research projects; Experience in conducting research activities that are published.</p>

	Professional Experience: Member or fellow of a relevant professional body.
Lecturer	<p>Education: Bachelor's degree with Honours plus a Master's degree and a PhD degree in an area of strategic focus and recognized by the Academic Council of the University.</p> <p>Teaching Experience: Ability to teach and develop content for University level courses; Prior experience in teaching University level courses; Ability to undertake activities supporting the scholarship of teaching.</p> <p>Research Experience: Ability to conduct research, coordinate and supervise student research projects and masters theses and dissertations; A minimum of twenty four published papers in the area of thesis research.</p>
Teaching Assistant, Graduate Assistants and Doctoral Fellows	<p>These are pre- career training positions whose qualifications shall be determined by the Dean of the concerned school in consultation with the Executive Director, People and Culture.</p> <p>Education: Upper second class Honours Bachelor's degree from an accredited and recognized University in the relevant field, be expected to register for a relevant Master's degree; and be registered with relevant professional body (where applicable)</p> <p>A doctoral fellow must be registered for a Doctor of Philosophy (PhD) or equivalent Doctoral Degree qualification</p>

4.11 Demotions

4.11.1 A demotion is a permanent reassignment to a lower position than the

employee had worked previously. The position will generally have a lower level of responsibility or required skill, and a lower pay grade than the previous position. It may be initiated by the University or the employee. Demotions should only be used if the staff member can still make a significant contribution to the University in the new role.

4.11.2 Causes of Demotion;

- a. On employee request/ voluntary demotion.
- b. For disciplinary reasons.
- c. Any other valid reason, for example, the employee's inability to perform the job.

4.12 Re-Employment

Employees who left employment with the University may be considered for re-employment upon meeting the re-employment requirements.

4.13 Employment of Minors

No person below the age of 18 shall be engaged to work in the University.

4.14 Employment beyond retirement age

- a. Employees may be retained beyond the retirement age in accordance with the procedures and conditions stated in the University Statutes and policies.
- b. Employment of a person who is above the retirement age shall require the approval of the Management Board.

4.15 Employment of relatives or friends in the University

- a. A relative in this context means an employee's spouse, son and daughter (including stepchild and adopted child), son-in-law and daughter-in-law, parents (including stepparents), father-in-law and mother-in-law, brother and sister (including stepbrother and stepsister), brother-in-law and sister-in-law, aunt, uncle, niece, nephew, grandparent, grandchildren, great grandparent, and great grandchildren.
- b. The University strives to employ the most qualified individuals available for all positions. The University does not consider family relationship or friendship a disqualifying factor for employment, but no special consideration will be given to relatives or friends of employees. Efforts by employees to exert any influence to help relatives or friends secure positions at the University are considered improper. Employment depends exclusively on the applicant's qualifications and suitability for the position.
- c. The employment of relatives or friends in the same area of the University may cause conflicts and problems, real or perceived. The University

reserves the right to monitor situations in which relatives or friends work in the same line of reporting.

- d. Employees shall not be involved in the selection or appointment of relatives or friends.
- e. Friends and family members may not intercede on behalf of each other in any matters concerning employment, including salary, working conditions, or job performance.
- f. Although the University does not prohibit hiring relatives or friends, a Line Manager shall not employ their own relatives or friends, and a relative or friend may not be the only signing authority on their relative's or friend's employee records.
- g. Employees must not have a reporting relationship with a relative or friend.
- h. The purpose of this policy is to:
 - i. Ensure compliance with the University's recruitment policy;
 - ii. Ensure that job applicants are treated fairly;
 - iii. Ensure that the University maintains its commitment to equal opportunity;
 - iv. Manage potential conflicts of interest with respect to the recruitment and employment of relatives or close friends; and
 - v. Minimize the risk of accusations of nepotism or preferential treatment with respect to recruitment or employment practices.
- i. **Responsibilities;**
 - i. Employees are required to disclose if a relative or friend applies for a job in the University.
 - ii. Disclosure should also be made of the existence of any relationship that may create a conflict of interest whether existing at the time of employment or that develops at any time during employment.
 - iii. An employee who identifies an actual or perceived conflict of interest arising from the potential selection, appointment or employment of a relative or friend should notify their Line Manager at the earliest opportunity.
 - iv. A Line Manager who is made aware of an actual or perceived conflict of interest should determine, in consultation with the Executive Director

People and Culture, or their designate, the appropriate response, and if appropriate, the best means of managing the conflict.

v. Failure to comply with this policy will lead to disciplinary consequences.

j. Management Options for Avoiding Conflicts of Interest;

- i. If an applicant for employment in a department is a relative or friend of another departmental employee, and the hire of the applicant would place them under the supervision of a relative or close friend, the head of the hiring unit may omit the applicant from those being considered for the available position.
- ii. If an appointment, reappointment, or promotion of a person places them under the supervision of a relative or friend, one or the other may be transferred or reassigned or terminated or may be asked to resign within sixty (60) working days.

4.16 Employment of Foreigners (Foreigners working in Kenya and abroad)

- a. An offer of employment made to a foreigner shall be conditional upon their being issued with the requisite legal documentation to enable them work lawfully in Kenya.
- b. The University will provide administrative support in the application process for the requisite legal documentation.
- c. The University will bear the cost of applying for the requisite legal documentation required for them to work for the University.
- d. It is the responsibility of every foreign employee to ensure that their legal status in the country is lawful at all times.

4.17 Job rotation and Secondment

- a. Job rotation and secondment are considered as part of the University's on the job training initiatives.
- b. In job rotation, the section/department initiates the development of the employee by assigning them to work in another section/department.
- c. 'Secondment' is the temporary movement or 'loan' of an employee to another part of the University or to a completely different organization. A secondment assignment provides an opportunity for employees to gain professional development in another environment and culture as well as to provide short term expertise for projects or programs.

4.18 Confidentiality and storage of documents

- a. The recruitment process and proceedings of the appointment committees including all documents and correspondence considered by the appointment committee are for the information of members only and must always be regarded as confidential. These matters remain confidential although the results of the appointment committee's recommendation may be made public. Committee members must refrain from discussing any aspect of the recruitment/appointment with non-committee members.
- b. Panel interview notes will be stored by the People and Culture Department.

4.19 Responsibility for monitoring compliance

- a. The Executive Director People and Culture, or their designate, is responsible for monitoring compliance with this policy and reporting any breaches to the University Secretary and the Vice Chancellor.
- b. Breaches of this policy may result in appropriate disciplinary action.
- c. All employees should familiarize themselves with and adhere to the University's People and Culture Procedure Manual on Recruitment and Appointment Procedures

5. SECTION FIVE: ONBOARDING POLICY

5.1 Purpose

This policy governs the onboarding process and sets out roles and responsibilities to achieve the following:

- a. Introduction to the organization's mission, vision, values and culture in order to establish a sound foundation that both parties rely upon for the duration of employment.
- b. Thorough review of all applicable SU policies, administrative procedures, including the People & Culture (P & C) manual, and anything else needed to help settle on the job, in the department and in the University.
- c. Explanation of all available benefits to staff and tools necessary for a productive and satisfying employment tenure.
- d. Completion of all the required new employee paperwork and creation of an official account on the P&C System with the guidance of a P&C representative

5.2 Scope

This policy applies to the University employees in the following categories: -

- a. Full-time & Part Time employees contracted for a duration of at least one year and above.
- b. All Temporary employees contracted for a period of more than 3 Months
- c. All employees promoted to new roles
- d. All employees transferred to different departments

5.3 Policy Statement

- a. A new employee's first day of employment determines their first impression of the organization. A well-organized onboarding process helps ensure this impression is a positive one, driving retention and engagement.
- b. Strathmore University is committed to supporting new employees in their successful transition to the workplace, as well as supporting the University's need to quickly enable new employees to achieve high levels of proficiency.
- c. In part, successfully transitioning requires an onboarding program that engages each new employee beginning with the acceptance of the University job offer, and continuing through the entire period when the employee is on probation.

- d. The People and Culture department supports the on-boarding efforts through a variety of means, including through this policy and associated training and tools. This policy and associated training and tools are intended to provide new employees with a comprehensive onboarding experience that reinforces their choice to work at Strathmore University and supports them in performing the functions of their job at the very best.
- e. Documented onboarding programs that reflect common definitions, timing, activities, and roles, along with consistent execution and evaluation will enhance employee engagement and job satisfaction and shorten the time from hire to full productivity.

5.4 Policy Standards

a. Defined Responsibilities

People and Culture Office	<ul style="list-style-type: none"> i. Facilitates the Onboarding Programme. ii. Serves as the University Advisor on onboarding programmes, design and consults with the heads of departments as necessary. iii. Provides training on onboarding to all stakeholders (Head of Departments, Onboarding buddies, New Staff and Management) on a regular basis for best-practice, onboarding activities and evaluation. iv. Provides onboarding templates, checklists and other relevant information. v. Periodically surveys new employees to gather feedback regarding their onboarding experiences.
Respective Departments/Schools (Head of Departments)	<ul style="list-style-type: none"> i. Fully understands the on-boarding programme ii. Implements, monitors, and maintains an onboarding programme that complies with this policy and supports employee and organizational needs iii. Ensure the onboarding timelines and all activities therein are adhered to iv. In collaboration with the People and Culture Office, Identifies an onboarding buddy for each new employee

	v. Consults with People and Culture Office as needed
Onboarding Buddy	i. Provides general information necessary for the new employee ii. Helps the new employee integrate with the organization iii. Makes introductions and helps establish networks iv. Follows up with the new employee on a regular basis
Employee	i. Participates in the on-boarding process in a timely and effective manner.

5.5 Policy Details

5.5.1 Onboarding Program Development and Training Requirements

- a. The People and Culture Department will develop, implement, monitor and maintain a documented onboarding program for all new employees. Each department is allowed the flexibility to build on the provided on-boarding program to develop customized onboarding programs to best meet the needs of their particular environments within the parameters of this policy and also taking into consideration of the length of the employee's engagement.
- b. Each department is required to have the head of the department and other appropriate members of the department trained on onboarding program by the People and Culture Department.

5.5.2 Onboarding Program Requirements

a. The onboarding programme must:

- i. Specify the time period for the on-boarding program beginning from the point where the offer is accepted and spans through the probation period of either three or six months (any exceptions to this should be outlined in the program).

- ii. List and describe each onboarding activity, which type(s) of employees it applies to, when the activity should occur and who the responsible party is for that activity.
- iii. Allocate an onboarding buddy

b. Required Program Activities

The onboarding program must include the following activities divided into three stages:

i. Pre-boarding

This refers to candidate engagement activities that take place between a new employee's offer acceptance and start date. They are mainly to build excitement about joining and reduce the risks of drop-off.

ii. Orientation/First day

An orientation is a short-term event or series of activities that serve to introduce and welcome a new hire to the work environment.

- a. The new employee will report to the People and Culture Department upon arrival on the first day whereby he/she will be introduced to the Head of Department and shown their workstation.
- b. The new employee will be oriented, which orientation must include a scheduled meeting (preferably face-to-face) between the new employee and her/his direct supervisor (or appropriate designee).

iii. Continued onboarding

This is the process of building knowledge, skills and behaviours during the first 2-3 months after joining to integrate the new employee into the University culture, values and ethos and develop clarity around their roles and the role of the department meeting the overall business goals. It should therefore include values-based activities related to the job and the wider work environment and exposure to all relevant stakeholders.

5.5.3 Confirmation of Employees

Employees will be formally confirmed at the end of their probationary period after successfully achieving the requirements as provided for in this policy.

5.5.4 Program Evaluation Requirements

- a. To ensure the on-boarding program remains up-to-date, active, and effective the People and Culture Department shall collect onboarding feedback. All new employees should have the opportunity to provide feedback about their onboarding experience.
- b. Collecting feedback will be done at least twice during the onboarding process at the agreed intervals depending on the length of the probation.
- c. The hiring departments and onboarding buddy will also share their feedback and propose areas of improvement from time to time.

5.5.5 Onboarding Document Control and Retention

- a. Each department has the authority to develop workflows for onboarding that should be within this policy. At a minimum, departments must follow these document control and retention procedures.
- b. The People and Culture Department shall approve and maintain a copy of the onboarding program adopted by specific departments at all times
- c. The People and Culture Department shall maintain and update a list of its designated onboarding buddies and ensure they are well trained at all times.
- d. All employees should familiarize themselves with and adhere to the University's People and Culture Procedure Manual on onboarding Procedures

6. SECTION SIX: REMUNERATION POLICY

6.1 Purpose

- a. The aim of this policy is to assist the University to attract, motivate and retain competent employees who will promote the University's mission and vision. The main principle is to ensure employees are paid fairly and are treated consistently throughout the University.
- b. The remuneration of employees is guided by the University's Remuneration Guidelines.
- c. Any position that requires a remuneration exceeding the normal pay range for a particular job grade will require the approval of the respective Head of Division (VC, DVC or University Secretary) and the Executive Director People and Culture.
- d. All payments shall be payable monthly in arrears net of all relevant statutory deductions and deductions authorized by the employee and approved by the Executive Director People and Culture.

6.2 Basic Salary

The University pays a basic salary to its employees. The basic salary excludes all allowances and forms part of the gross salary.

6.3 Housing Allowance

The University shall pay a house allowance to enable the employee to acquire suitable accommodation. The house allowance will be at a rate approved under Kenyan law where applicable and by the University Council from time to time and will make part of the gross salary.

6.4 Statutory Deductions

The University is responsible for making statutory deductions and contributions such as PAYE, NSSF, NHIF, etc. from the salaries of the employees. The employees will, however, be responsible for ensuring that they present themselves for registration to the relevant authorities. They will also be responsible for making their annual income tax returns to the Kenya Revenue Authority.

6.5 Salary Reviews

- a. Salary reviews will be at the discretion of the Management Board taking into account, amongst other considerations, financial performance of the University, individual performance and changes in the cost of living. Salary reviews are not an entitlement for staff, they are granted at the absolute discretion of the University taking into account the factors stated above and others as may be relevant.
- b. Salary reviews will not apply to employees on probation, or on leave of absence or to employees undergoing investigations or disciplinary processes.

6.6 Withholding Salary

- a. Employees leaving the University will be given their final dues after completing the clearance and handover processes.

6.7 Salaries on Change of Job or Upgrading

6.7.1 Salaries when promoted

- a. Employees who are promoted to a higher job grade will receive a commensurate salary according to their new respective pay grade.
- b. Employees promoted to a higher position within the same grade, will receive a commensurate salary according to their new respective position.
- c. An employee who has received a promotion will not be eligible for salary review within the period of the next 12 months.

6.7.2 Salaries when demoted

In the event of a demotion, the University reserves the right to adjust the employee's pay to align with the pay in the lower position that the person is assigned.

6.8 Job Evaluation

- a. The University may periodically commission a Job Evaluation exercise to provide a guide to the pay structure.
- b. The Job Evaluation exercise determines the respective job grade of each job in the University. The job grade determines the salary scale for each position.
- c. The Job Evaluation does not assess employee performance and is distinct from the Performance Appraisal process.
- d. All jobs will be evaluated by an appointed Job Evaluation Committee. This committee shall be approved by the Management Board.

6.9 Overtime

Overtime is time worked in excess of the contractual maximum weekly working hours and time worked on normal rest days and public holidays. Overtime should be pre-authorized by the respective Head of Department after they are satisfied that the work or service involved is essential, and that overtime is the most appropriate and cost-effective way of doing the work or providing the service. An employee's eligibility for overtime will be stipulated in their contract of employment. The University reserves the right to compensate for overtime through monetary payments or through time-off.

6.10 Fixed overtime rate

Some positions in the University will be entitled to a fixed over time rate. Such positions will be determined by the Management Board.

6.11 Deductions from an employee's salary

- a. The remuneration shall be paid net of all applicable statutory deductions and deductions authorized by an employee and approved by the Executive Director People and Culture.

- b. In accordance with Section 19(3) of the Employment Act, 2007, salary deductions shall not exceed two thirds of an Employee's salary.

6.12 Salary Advances

The University permits up to 3 salary advances per employee within a calendar year. Each salary advance must be approved by the Executive Director People and Culture. The maximum amount of each advance should not exceed 2/3 of the employee's salary subject to previously approved deductions from the employees' salary. The advance will be recovered from the subsequent pay in not more than three instalments.

An advance will not be approved if there are prior advances owing from the employee.

6.13 Allowances

Employees are entitled to allowances as appropriate and at such rates as will be determined by the Management Board from time to time.

6.14 Responsibility Allowance

This is payable to employees who have been assigned responsibilities beyond their core jobs or those who have taken additional duties. Such responsibilities will be in accordance with the University's set procedures.

6.15 Acting Allowance

- a. Acting allowance will be payable to an employee who on the recommendation of the Head of Department and upon approval by the Management Board is formally appointed to hold a position in a higher job grade in an acting capacity.
- b. The University Council will approve appointments on an acting capacity for positions that are appointed by the University Council such as the Vice Chancellor and Deputy Vice Chancellor.
- c. Acting appointments shall be for not less than two months and not more than six months. An extension beyond the six months' period must be approved by the Management Board.
- d. Acting allowance shall be paid at the end of each month with effect from the date the employee assumes the higher office.
- e. Acting appointment shall cease on the resumption of duty by the substantive holder of the higher office or on substantive appointment of an employee to the higher post.
- f. The acting allowance payable is the difference between the employee's current salary and the minimum salary of the job grade of the assigned higher post.
- g. In the case where the acting employee has attained the minimum salary of the job grade assigned to the grade of the higher post, the acting allowance will be the full difference between their salary and the salary point at which

the employee would have entered the higher post had the employee been promoted.

- h. Payment of acting allowance will immediately cease when the employee serving on acting capacity goes on a period of absence that is more than one month.
- i. The Management Board reserves the right to terminate the acting appointment at any time.
- j. During the period of acting, the employee's prior role shall not be taken up by another employee on a permanent basis.

6.16 Special Duty Allowance

Special duty allowance shall be payable where an employee appointed to assume higher responsibility: -

- a. Does not have the requisite qualifications and/or experience for the higher post; and
- b. Does not assume the full responsibilities of that higher post.
- c. To be eligible for payment of special duty allowance an employee must assume the higher responsibility for a minimum period of two consecutive months.
- d. Special duty allowance shall be paid at the rate of at least 50% of the acting allowance payable if such an employee were to be appointed to full acting capacity.

6.17 Per Diem Allowance

- a. The purpose of Per Diem is to regulate subsistence allowance payable to employees when traveling on duty outside the normal workstation. It is intended to help employees to meet daily basic living expenses including transport and accommodation. The rates payable will be in accordance with the prevailing rates as per the Per Diem policy.
- b. An employee is expected to account for all monies disbursed to facilitate travel and other official activities within 48 hours of their return, failure to which the amount will be deducted from the employee's subsequent pay.

6.18 Airtime Allowance

- a. Heads of Department and Heads of section are entitled to telephone allowance. The allowance payable will be as specified in their contracts of employment. The allowance is taxable.
- b. Other positions may be considered for the allowance upon the approval of the Head of Department in consultation with Executive Director People and Culture.

6.19 Expenses incurred while on University business

- a. The University shall reimburse staff for the authorized expenses incurred for

official purposes. Staff must obtain approval from the Head of Department in writing before incurring such expenses.

- b. When travelling on University's business other than by car, the other permissible means shall be as follows:
 - i. By air - Economy class air fare.
 - ii. By taxi- Taxis should not be used indiscriminately where suitable public transport is available.
 - iii. By train-economy class fares.
 - iv. Staff will be guided by the University Transport Policy.
- c. The University may also reimburse senior management staff for reasonable expenses incurred in entertaining University guests as determined by their supervisors'.

6.20 Relocation Allowance

On first appointment, Kenyan's relocating back to Kenya to work for the University may be considered for a relocation allowance to enable them settle subject to approval by the Management Board and to the conditions that may be set.

6.21 Employee Benefits

The University provides a number of benefits to its employees. Employees will be entitled to benefits according to their different job categories. Applicable taxes will apply to the benefits.

6.22 Flexi-time

- a. Mother's returning to work after maternity leave will be entitled to a flexi work - schedule until the baby turns 9 months old. Work load may be reduced to 9 hours per week for Academic staff and to 30 hours per week for Administration staff. The working hours during this period shall be agreed upon between the Head of Department and the employee and approved by the Executive Director People and Culture.
- b. Employees may be allowed varied working hours to accommodate working schedules. Such arrangements must be approved by the Executive Director People and Culture.

6.23 Medical Cover

- a. The University provides a medical cover to its employees who have full time contracts of employment. The medical cover limits vary depending on seniority, age and number of dependents for the staff member concerned. The scheme takes effect upon the employee joining the University and covers the spouse and children (up to the 22nd birthday) except for children with special permanent medical conditions as will be guided by a medical report.
- b. For the spouse and children of the employee to access this benefit, supporting documents, that is marriage certificate and birth certificates of the

children will be required.

- c. The amount of medical cover for each employee's benefits category is shown in the individual employee's contract of employment. The benefit is cost shared with the employee. The terms of such cost sharing are as included in the employee's contract of employment.
- d. The University reserves the right to make adjustments to the cover as may be necessary from time to time and upon giving notice of the adjustments to the employees.

6.24 Bonus

- a. The University may award a bonus to staff or a section of staff based on the respective employee's/Unit's/Department's/Team's or overall performance of the University.
- b. It is awarded at the discretion of the Management Board, which shall also determine the amount.

6.25 Subscription to Professional Bodies

- a. The University will reimburse employees under the categories of supervisory, middle management and senior management the cost of subscription and annual renewal to at most one (1) relevant qualifying professional body per year on the condition that the individual concerned is in the University's employment and is in good standing when the subscription falls due subject to approval by the Head of Department. This benefit shall begin to accrue after the successful completion of the probation period.

6.26 Provident Fund Scheme

- a. Upon employment, all full-time employees will belong to the Strathmore Staff Provident Scheme. This is a contributory scheme.
- b. Where an employee resigns from the University before attaining retirement age, they shall be eligible for such benefits as provided under the Retirement Benefits Act and the regulations made thereunder and the terms and conditions of the University's Provident Fund
- c. Employees admitted to the Staff Provident Scheme shall be governed by the rules of the Scheme.

6.27 Group Life

- a. The University has insured its full-time employees with a contract of service for at least 1 year against loss of income in the event of loss of life or permanent physical disability while still in employment.
- b. The benefits will be as determined by the Scheme rules and may be reviewed from time to time.

6.28 Personal Accident Insurance

The University has arranged for personal accident cover for all employees while they

are on University business.

6.29 GPA/WIBA Policy

The University has secured a combined GPA (Group Personal Accident) and WIBA insurance cover which provides employees and their dependents with cover against any non-occupational accidental injury and occupational accidental injury, disease or death, within the cover limits.

The WIBA cover is issued pursuant to the Work Injury Benefits Act, 2007 and is specific to occupational (work-related) injuries, disease or death whereas the GPA cover is non-occupational.

All employees should familiarize themselves with the important points to note and procedures to be followed in the handling of occupational and non-occupational accidents, injuries, disease and death set out in the University's People and Culture Procedure Manual.

6.30 Meal Benefit

The University provides a meal allowance which is credited to its employees' meal accounts to enable them have meals in the University Cafeteria. The allowance is determined by the Management Board from time to time and is indicated in the letter of appointment for each individual employee.

6.31 Education Benefits for Dependents

- a. The dependents (children and spouse, subject to submission of required documentation) of full-time employees who qualify for admission to undergraduate or professional courses offered in the University will be granted a tuition waiver of 100% of the tuition fee only. This benefit does not cover any other costs. The employee will bear any applicable tax attached to this benefit. The University will sponsor only one course per dependent at any time.
- b. The University will not grant a tuition waiver:
 - i. For any repeat or failed units
 - ii. The sponsorship will not pay for the continuation of the course after suspension.
- c. The sponsorship will come to an end after the completion of the course within the approved stipulated time.
- d. The University may also pay full tuition fees for dependents who are admitted to institutions owned by Kianda Foundation or Strathmore Educational Registered Trustees.
- e. The benefit applies after one continuous year of service to the University provided that the children shall not be older than 24 years of age and the amount has been budgeted for in the respective year.

6.32 Club Memberships

- a. The University may subscribe some categories of staff to social clubs subject to approval by the Management Board.
- b. The University may pay subscription fees and annual renewal club membership fees to one relevant club for its most senior staff. The amounts will be subject to approval by the Management Board.

6.33 Nursing Room

All employees who are nursing mothers have access to a nursing room.

6.34 Benevolent Benefit

- a. The University will provide assistance either in kind or in monetary terms to bereaved employees. This is applicable on the unfortunate loss of a spouse, child or parent in accordance to the guidelines given by the Management Board and subject to the provision of required documentation on the same.
- b. The University will also provide support to the family members of a deceased full time employee to facilitate burial preparations, following the staff welfare policy.
- c. Staff members are also encouraged to join the Strathmore University Benevolent Fund.

6.35 Weddings

The University through the People and Culture Department will give a wedding gift on the University's behalf to full time employees getting married. The gift will be guided by the staff welfare guidelines.

6.36 Tuition Waiver for the Dependents of Ex-employees.

- a. Ex-full-time employees who have left the University upon reaching the retirement age or who retire on medical grounds, redundancy or death, will be eligible to receive an education benefit for each of their dependents up to the age of 24 years.
- b. In this clause, 'dependents' shall mean the ex-employee's spouse and children as indicated in the University's records at the time of exit.
- c. This benefit shall be prorated depending on the duration the employee served in the University. The guideline issued by the University shall apply.
- d. The benefit will only apply to undergraduate courses offered by the University as long as the entry requirements are met by the student.
- e. This benefit is payable subject to budgetary allocations.
- f. The sponsorship will not apply in the following instances:
 - i. The sponsorship does not pay for repeat units and/or failed units
 - ii. The sponsorship will not pay for the continuation of the course after suspension.
 - iii. The sponsorship will come to an end after the completion of the course within the stipulated time.

7. SECTION SEVEN: LEAVE AND ABSENCE FROM WORK

7.1 Annual Leave

- a. All employees shall be entitled to annual leave. The number of working days' paid leave in each year for any member of staff shall be specified in the contract of employment. Annual leave granted within a year will be calculated on a pro rata basis.
- b. For the purpose of leave, a full year begins on 1st of January and ends on 31st December of every year.
- c. Leave accrual begins on the first day of employment. However, an employee may take leave only upon successfully completing their probation period. In the cases where the probation period has been extended, an employee will be entitled to take their accrued leave days once the initial probationary period ends.
- d. Employees are expected to take at least two (2) weeks of continuous leave every year.
- e. Annual leave shall not be carried forward from year to year, except with the prior consent of the Executive Director People and Culture and must be taken within the six-month period immediately following the date when the entitlement falls due. In the case that an employee finishes their probation at the end of a year, the accrued leave days will be transferred to the following year.

7.2 Leave Administration

- a. Application for Annual leave must be submitted in the People and Culture system for authorization by the Head of Department and the People and Culture Department at least one month prior to the intended date of commencement of leave.
- b. The time when leave is to be taken is at the discretion of the Management and subject to the nature of work. The Head of Department or any duly authorized officer acting on their behalf, may defer, vary or postpone leave, at any time or may decline it, subject to such conditions as they may deem fit.
- c. Staff must inform their Head of Department when they need to be away from the office for official matters, failure to which they will be subjected to a disciplinary process.
- d. Except by mutual agreement, leave shall not be used as part of the terminal notice period.

7.3 Leave Extension

- a. If an employee already on leave requires to extend their leave, they may do so by making a request in writing through their Head of Department for authorization.

- b. If leave extension is approved, the People and Culture Department is then informed to communicate to the employee officially and to adjust the leave records accordingly.

7.4 Recall from Leave

An employee may be recalled from leave due to unforeseen work-related demands. An employee recalled from leave will have the leave days spent at work credited to their leave balance.

7.5 Payment in Lieu of Leave

- a. Employees are entitled to payment for leave not taken at the time of termination of employment.
- b. The University, on the other hand, will be entitled to recover from the employee leave days taken in excess of entitlement calculated to the last day of service.
- c. The University does not pay for leave days earned but not taken while still an employee.

7.6 Compassionate Leave

- a. This is given to staff members who have lost an immediate relative.
- b. An employee is entitled to 10 working days per occurrence for children and spouse and 5 working days for siblings, parents and parents of the spouse.
- c. Requests for compassionate leave must be pre-approved by the Head of Department and the Executive Director People and Culture.

7.7 Pre-adoptive Leave

An employee is entitled to one (1) month pre-adoptive leave. The following rules shall apply: -

- a. The leave shall commence on the date of arrival of the child in the home of the adoptive parents.
- b. Pre-adoptive leave will not be deducted from annual leave. Accrued annual leave may be taken immediately after the pre-adoptive leave, subject to the employee making an application in the usual manner.
- c. The employee must inform the University of their intention to take pre-adoptive leave at least fourteen (14) days prior to the expected date of the child's arrival. Such notice must be supported by a custody agreement and an exit certificate from the adoption society of Kenya.
- d. Where both parents work at the University, each spouse will be entitled to one (1) month pre-adoptive leave.

7.8 Sickness and Sick Leave

- a. Employees are entitled to time off from work when they are unwell to enable them to seek medical attention and recover.
- b. Employees who are absent from work because of illness or injury should

provide a certificate signed by their doctor confirming that the doctor has seen the employee and the time allowed off granted.

- c. Absence in excess of the period granted by the doctor will be deducted from annual leave.
- d. Not providing a medical certificate in a claim of absence due to illness will be subject to deduction of the said days from annual leave and disciplinary action.
- e. Employees who have been on at least 2 years of continuous service will be entitled to full payment of salary for a period of three months and half payment of salary for an additional period of three months after which an employee is entitled to 45 calendar days of unpaid leave in every calendar year.
- f. Employees who have served the University for less than 2 continuous years, will be entitled to full payment of salary for a period of one month and half payment of salary for an additional period of one month after which an employee is entitled to 45 calendar days of unpaid leave in every calendar year.
- g. Upon completion of the forty-five (45) calendar days' unpaid sick leave by an employee, the Management Board may recommend that the employee be retired on medical grounds upon receipt of confirmation from a doctor approved by the University of the employee's fitness to work and subject to giving the employee an opportunity to be heard and consideration of whether the University can give the employee any reasonable accommodation.
- h. An employee will be allowed to utilize their sick leave to a maximum of one calendar month per annum on account of the illness of their sick child below the age of 5 years. A sick off note should be obtained from the child's doctor. This will include incidents of premature deliveries where there is need for the baby to be retained in the hospital after birth.
- i. The University reserves the right to require an employee to submit themselves for medical examination by a doctor nominated by the University.

7.9 Maternity Leave

- a. All female employees shall be entitled to three continuous calendar months of maternity leave with full pay and benefits. This is inclusive of weekends, University holidays and gazetted Public Holidays.
- b. The employee is required to give not less than three (3) months' notice of the intention to proceed on maternity leave. The request for maternity leave shall be accompanied by written confirmation of the pregnancy and the expected date of delivery issued by a doctor.
- c. Maternity leave begins on the delivery date of the baby.
- d. For any other eventualities during pregnancy, the Management Board through the Executive Director People and Culture will give recommendation for time-off from work.

- e. On expiry of maternity leave before resuming her duties, a female employee may proceed on sick, annual or any other type of leave on approval by the Head of Department in consultation with the People and Culture Department. This will only apply if the employee has pending days of the type of leave requested for.
- f. An employee, who fails to return to the University after taking paid maternity leave without lawful cause and without approval of their absence from the University by the Head of Department in consultation with the People and Culture Department, shall be deemed to have left the service of the University on the last day following completion of maternity leave.

7.10 Paternity Leave

A male employee will be eligible for paternity leave for a period of 2 calendar weeks with full pay (inclusive of the University Holidays) on the birth of a child with a spouse recognized as a dependent of the employee. The employee should provide a birth notification and the leave should be within the first three months after the birth of the child.

7.11 Public Holidays & University's Holidays

- a. The University will observe all public holidays provided in the Public Holidays Act as well as any other day proclaimed to be a public holiday by the Government of Kenya through a Gazette Notice.
- b. The Management Board will direct other days when the University will be closed.

7.12 Examination Leave

Staff sitting examinations for an approved program considered to be relevant to their duties in the University will be granted a maximum of ten (10) days exam leave per calendar year with full pay if they apply for leave for approval by the Head of Department in consultation with the People and Culture Department and subject to production of supporting documents. This leave is applicable to both self-sponsored employees and those employees sponsored by the University.

7.13 Study Leave

An employee taking a relevant course approved by the Executive Director People and Culture and the Head of Department may be entitled to study leave for a period of absence at the discretion of the Executive Director People and Culture. This may be paid or unpaid leave.

7.14 Sabbatical Leave

Strathmore University recognizes that sabbatical leave is an essential element in the intellectual and academic life of individual members of the Academic Staff and the institution as whole. Sabbatical leave will be granted by the University subject to the University Sabbatical Leave Policy as read together with the University Statutes, Regulations, and Guidelines as well as various Policies and procedures.

7.14.2 Sabbatical Leave Policy (Academic Staff)

a. Objective

The objective of this policy is to outline a broad framework of guidelines for the fair and consistent administration of Sabbatical Leave for academic staff of the University.

b. Principles

- i. Strathmore University recognizes that sabbatical leave is an essential element in the intellectual and academic life of individual members of the senior academic staff and the institution as whole.
- ii. Sabbatical Leave constitutes a strategic investment of the University that releases academic staff from regular duties to allow them to pursue activities that contribute to their professional development as well as to the School and University strategy.
- iii. A Sabbatical Leave is defined as leave granted for the purpose of encouraging members of academic staff to engage in scholarly research or other activities that will increase their scholarly achievement and their capacity for service to the University.

c. Scope and Eligibility

- i. Full-time members of academic staff of the University, will be eligible for sabbatical leave after completing six years continuously of full-time service as members of academic staff at Strathmore University. The six- year period begins to count upon the completion of the initial two-year contract that includes the probationary period.
- ii. Faculty members who have been granted sabbatical leave previously, are only eligible for another sabbatical leave after the lapse of at least six years of continuous full-time service as members of academic staff at Strathmore University.
- iii. Staff appointed on fixed-term contracts of two years and longer shall only be eligible to apply for sabbatical leave if their fixed-term contract extends beyond the period of Sabbatical Leave to be taken by at least an equivalent period to ensure sufficient time for the required return to service at the University.
- iv. Adjunct members of academic staff may at the discretion of the Management Board, be granted Sabbatical Leave provided they have completed six years continuously of Adjunct service to the University.
- v. Due to the mutual benefit for employer and employee inherent in the notion of sabbatical, Sabbatical Leave may not be granted in the Twelve Months prior to normal retirement date or the end date of any extension beyond

retirement granted by the University.

- vi. The Vice Chancellor, Deputy Vice Chancellors, University Secretary, Deans, Deputy Deans, Directors, Associate Directors, and other faculty holding senior management positions, are ordinarily not eligible to take sabbatical leave during their period of office.

d. Purpose of Sabbatical Leave

- i. The purpose of sabbatical leave is to provide opportunity for academic staff to: increase their knowledge, engage in sustained research, innovate, gain skills, and strengthen networks with the global community of scholars.
- ii. Sabbatical leave should be of benefit both the academic staff member and the University.
- iii. During the sabbatical leave, the academic staff member shall engage in scholarly research, initiatives related to education and/or other career development activities in order to achieve objectives that have been agreed with the relevant Dean of School/Deputy Vice Chancellor, Academic and Student Affairs/Vice Chancellor in line with School/University strategy.
- iv. Sabbatical leave releases academic staff from day-to-day teaching and administrative duties for a specified period of time.

e. Accrual

- i. Sabbatical leave will accrue from two years after the date of appointment of an academic staff member on a permanent or fixed term contract at a rate of 1.5 months per calendar year of completed service but will not accrue during any periods of unpaid leave or an external appointment.
- ii. Sabbatical leave will accumulate to a maximum of twelve months and any accrual in excess of this amount, will be automatically forfeited.
- iii. The accrual of sabbatical leave will continue for academic staff who are appointed to executive leadership posts such as Vice Chancellor, Deputy Vice Chancellor, University Secretary, Dean, Deputy Dean, Director, Associate Director, and other senior management positions.
- iv. An academic staff member wishing to apply for sabbatical leave must have accrued to his/her credit the requisite number of months of sabbatical leave being applied for, as at the date of application.
- v. A staff member who does not have the requisite number of months to his/her credit may utilize accrued annual leave and unpaid leave or a combination thereof, so as to make up the 12-month maximum period allowed for a sabbatical leave.

f. Duration

- i. The University will generally grant Sabbatical Leave for periods between nine and twelve months.

- ii. The minimum number of months of Sabbatical Leave that may be granted shall be determined and approved by the relevant school Management Committee, provided it is not less than three months.
- iii. The maximum number of months of Sabbatical Leave that may be granted within a period of six years, is twelve months.
- iv. Sabbatical leave will ordinarily begin at the start date of a semester and end with the start date of a new semester.
- v. Staff going on Sabbatical Leave remain responsible for actions that follow on from the period before they go on sabbatical leave, e.g. the setting and assessment of exams, supervision, etc.
- vi. The precise timing of Sabbatical Leave depends on the possibility of making satisfactory arrangements for the work of those on sabbatical leave to be carried out by other colleagues as part of their work in the School.
- vii. The Management Committee of the School will be responsible for managing the replacement of the academic staff member on sabbatical by rotating courses, employing part-time faculty members, making internal adjustments in the School, etc.

g. Remuneration

- i. Ordinarily, an academic staff member on Sabbatical Leave will be remunerated as per the terms of their primary faculty contract.
- ii. A member of the academic staff is encouraged to seek funding provided by an external sponsor for research and related activities to supplement their salary where necessary.
- iii. The University may, based on an approved budgetary allocation and other approvals as required by the Faculty, People and Culture and Finance Department and in accordance with the staff policy, provide financial support to the academic staff member on sabbatical to attend academic and research conferences, workshops and seminars. The University will not reimburse any other expenses while the staff member is on sabbatical.
- iv. An academic staff member on Sabbatical Leave shall not accept a remunerated teaching engagement at another University or be engaged in other remunerative employment without the approval of the Management Board.
- v. Notwithstanding 7.4 above, an academic staff member on sabbatical leave may receive a basic stipend from the visiting institution provided that the financial support provided does not amount to remuneration for the position.

h. Sabbatical Leave Report

At the conclusion of a sabbatical leave the faculty member shall, within 1 month of the end date, provide a written report to the Dean/Deputy Vice Chancellor Academic & Student Affairs/Vice Chancellor on activities undertaken during the period of the leave and the achievement of outcomes, in terms of benefit to the faculty member and to the School and University.

i. Resignation During or Following Sabbatical Leave

Should an employee resign while on Sabbatical Leave or within a period of three months following on the sabbatical leave, the employee will be required to re-imburse the University for the salary paid during the period of sabbatical which amount will be pro-rated against any period served after the sabbatical leave.

j. Termination of Service

Any Sabbatical Leave standing to the credit of an employee on termination of service, for whatever reason, shall be forfeited and no gratuity payable.

k. Special Sabbatical Leave

- a. Academic staff members holding senior administrative positions at the level of Dean and above, will be granted a special sabbatical leave immediately upon the termination of their term of office provided that they intend to remain as faculty in the University.
- b. The rationale for the special sabbatical is to facilitate the smooth transition of the new office holder as well as provide the academic staff member with the opportunity to prepare for the transition back to their faculty workload.
- c. No special sabbatical leave shall be granted for periods of appointment to a leadership or management position of less than a year.

All employees should familiarize themselves with and adhere to the University's People and Culture Procedure Manual on Sabbatical Leave Procedures – Academic Staff

7.15 Leave of Absence

- a. The University may grant leave of absence without pay to an employee who wishes to take an outside appointment or for any other reasons found to be acceptable to the Management Board.
- b. Leave of absence without pay shall be given at the Management Board's discretion on such terms and conditions as may be determined by the Board.
- c. Employees granted leave of absence are not guaranteed their positions. Upon their return, they will be expected to apply for any relevant and available position in the University. In the absence of such a position, the employee's

contract shall be deemed to have come to an end.

- d. Leave of absence without pay shall normally be for a maximum of two years.
- e. During such leave of absence, the employee will not accrue leave and their other benefits will be suspended.

7.16 Absence for other purposes

- a. Absence from the office may be authorized at the discretion of the Head of Department and the Executive Director People and Culture for a variety of other purposes. Working hours must be compensated upon return by the employee. This includes absence to accompany sick dependents subject to provision of required documentation.
- b. In order not to disrupt the operations of the University, employees will only be allowed to be away for a maximum of 10 working days per annum after which they will be encouraged to apply for annual leave or unpaid leave.
- c. Unauthorized absence for no valid reason constitutes gross misconduct and is grounds for summary dismissal.

7.18 Unpaid Leave

Staff may be granted unpaid leave. Such leave must be recommended by the respective Head of Department and approved by the Executive Director People and Culture. Unpaid leave will be for a maximum of 10 working days per annum.

7.19 Conference Leave

All full-time employees will be permitted paid leave to participate in conferences and meetings of professional forums essential for their professional development. Before such leave is authorized by the supervisor, adequate coverage for the teaching /administrative activities of the employees must be ensured. This policy applies to all conference leave irrespective of the source of funding.

7.19.1 Definitions:

Conference leave will be for a maximum of 15 working days in a year to:

- a. Deliver lectures, as invited speakers.
- b. Present papers at conferences and other professional forums.
- c. Attend conferences/seminars.

Leave days specified above include travel time.

7.19.2 Observations and Limitations

- a. Conference leave for employees will be a matter of privilege and not a right. It will be approved at the discretion of the employees' Head of Department. Criteria for approval will include the employees' position, responsibilities, abilities, need for participation, and departmental priorities as determined by the respective Head of Department.

- b. Since the objective of this leave is professional development of the employees, supervisors will ensure that all full-time employees get an opportunity to participate in professional forums relevant to their position and responsibilities.
- c. Faculty members will be allowed to attend a maximum of 3 conferences a year while administrative staff will be allowed 1 conference per annum. Any exception to the frequency of conference participation must be approved by the respective Head of Department in consultation with the Executive Director People and Culture.
- d. Employees will be encouraged to contribute and present at such forums for their professional development, which would be an important consideration for their participation. However, Heads of Department must ensure adequate coverage for teaching/administrative operations while sanctioning such leave.
- e. Employees requiring conference leave should give at least one-month notice to their supervisor to ensure time for the approval process, and to ensure adequate coverage of teaching/administrative activities and other important functions.
- f. If approved conference leave in any way is in conflict with departmental/institutional work requirements/schedules, the supervisor may request the employees to withdraw their participation.
- g. All sponsorships will be subject to availability of budgetary funds and departmental priorities. External sponsorships received will be forwarded to the concerned Head of Department since these are in principle given to the University and will be allocated thereafter. These sponsorships will be subject to approval by the Head of Department, keeping in view that the University reserves the right to decline an offer of sponsorship. Due caution and discretion will need to be exercised by the Head of Department and concerned employees while accepting these sponsorship offers, in relation to conflict of interest, undue influence, and related matters.
- h. Conference leave entitlements pertain to a calendar year and shall not be accumulated or carried forward.

8. SECTION EIGHT: PERFORMANCE MANAGEMENT

8.1 Purpose

This policy is aligned to the University's strategy. This policy must therefore be interpreted and applied within the context of the principles and premises contained in the University's Statutes, Strategy, and all other relevant policies and procedures.

8.2 Scope

This Policy covers all employees

Aims of the Policy

The aims of this Policy are:

- a. To create a framework which aligns all the employees' initiatives, efforts and -output, with the institutional strategic goals, mission, vision and culture.
- b. To outline a Performance Management (PM) process that drives individual staff continuous improvement through monitoring and evaluation, training needs identification, continuous performance feedback, coaching and mentoring.
- c. To outline a framework for establishing individual staff performance level with the purpose of recognizing outstanding performance or implementing appropriate consequences in the case of poor performance.
- d. To create and entrench, by means of implementing this policy, responsibility and accountability for individual employee performance.
- e. To create a framework that embraces development initiatives and thus helps staff take ownership of their career planning and management.
- f. To ensure an objective means of evaluating individual performance with agreed targets for the performance period.

8.3 Outcomes of the Policy

- a. The University's strategic goals, mission and vision will be achieved, and culture sustained.
- b. Increased individual and institutional performance level and all-round, continuous development and formation of individual employees.

- c. Establishment and entrenching of individual employee responsibility and accountability for his or her performance level, professional development, career planning and management.
- d. Establishment of a framework for objective identification of individual staff performance level.
- e. Establishment of a framework for effective and regular performance feedback

8.4 Guiding Principles of the Policy

Performance Management at Strathmore University will contribute towards the implementation of the University's vision, mission and strategic goals if the process adheres to the following principles:

- a. **Alignment:** The alignment of performance targets across the entire institution from the University's strategy, mission and vision to setting of individual staff Key Performance Indicators (KPI) by all employees.
- b. **Long term view:** The Performance Management process has been aligned to the University's long-term goals and thus lays emphasis on the ultimate achievement of the University's long-term goals and all-round development of the individual employees.
- c. **Culture driven:** The Performance Management Process supports the sustenance of the University's Culture and shall be conducted in a manner which demonstrates the University's embracement of its culture and values.
- d. **Ownership:** The Performance Management process is the responsibility of the individual members of staff, his or her direct Line Manager/ head of department and the Office of People and Culture.

8.5 Performance management

Performance management is a systematic approach to managing the process by which the performance, development and performance-based recognition of all staff of the University is based on. Broadly, performance management is a set of activities that:

- a. Align the purpose of the University, with the individual employees purpose as far as possible
- b. Establishes objectives through which individual employees and teams can see their contribution to the University's mission, vision, strategy and culture.

- c. Monitors and evaluates the performance of the individual employees in the University.
- d. Aims at improving performance among all employees, teams and, ultimately, the University as a whole.
- e. Holds employees accountable for their performance and growth by linking it to recognition, career progression and corrective actions where applicable.
- f. **Exclusions**

The following issues are excluded from this policy: -

- i. Conduct, or where poor performance is attributable to deliberate, negligent or careless failure to perform to the standards required, rather than inability to do the job, reference should be made to the Staff Disciplinary Policy and Procedure.
- ii. Incapability due to ill health.
- g. Grievances/disputes, shall be handled in accordance with the University's grievance policy.

8.6 The Performance Management Process

This section of the policy will cover:

- a. Overview of the Performance Management Process
- b. Levels of the Performance Management Process
- c. Steps of the Performance Management Process

8.7 Overview of Performance Management Process

a. Definition of Performance Management Process:

Performance management process is a continuous process of identifying, measuring and developing performance in organizations by linking each individual's performance and objectives to the organization's overall mission and goals. It is a continuous cycle of communicating expectations to employees, providing ongoing feedback and coaching, and in some cases addressing performance issues.

The diagram below summarizes the University's Performance Management Process:



b. Basis of the University's Performance Management Process:

The University's Performance Management Process is based on Key Performance Indicators (KPIs). KPIs are specific measures which the University, through the performance management process, shall use to measure its performance and that of its respective employees, in meeting its institutional strategic goals.

c. Qualities of acceptable Key Performance Indicators:

- i. Fully aligned to the institutional strategic goals and culture theme of the year.
- ii. Specific Measurable Attainable Relevant and Timely (SMART)
- iii. Aligned to the individual's employee primary position or both primary and secondary position where applicable.

8.8 Levels of the Performance Management Process

Performance Management must be integrated within the University to ensure that the University's vision, mission, goals and culture have been cascaded down to the individual level and that there is an alignment of purpose between the University and the individual employees. For this to be achieved, performance shall be managed at the following levels:

- a. **The Institutional Level** – The strategic framework of the University serves as the context within which the expected performance by each division, department/faculty, and individual is defined.

- b. **The Divisional Level** – this is the first level of cascading after the setting up of institutional annual strategic goals and culture theme. It is led by the respective Heads of Divisions. The output of this level is the Divisional Strategic targets, aligned to the institutional strategic goals, mission, vision and culture theme.
- c. **The Departmental Level** – this is the second level of cascading the institutional strategic goals and culture theme. The output of this level is Departmental Work plans. These will further be cascaded to Sectional level, where applicable.
- d. **The Individual level** – this level applies to all employees of the University. It is the level which requires each employee to have specific Key Performance Indicators aligned to the respective employee's departmental targets.

8.9 Policy Implementation/Administration: Roles and Responsibilities

a. The University's Management Board (MB)

Other than being overall responsible for the University's Performance level, in the process of Performance Management, the MB is specifically responsible for setting up of the annual Culture theme and the institutional strategic goals which will be cascaded to all staff through the respective Heads of Divisions.

b. The Heads of Divisions

These are responsible for the timely development and approval of comprehensive and aligned divisional strategic priorities, aligned to the Institutional strategic goal and approved culture theme.

c. The Heads of Departments

These are responsible for the timely development of comprehensive and aligned departmental annual work plans and conversion of the same to individual staff Key Performance Indicators. They are also responsible for the full implementation of the Performance Management Process at the individual employee level. This includes ensuring that all performance management related activities such as midyear reviews, monitoring, evaluation, feedback giving, amongst others, are carried out within agreed timescales and in accordance with the Performance Management policy and procedures.

d. The individual employees

Each individual employee is responsible for:

- i. Meeting the agreed Key Performance Indicators as signed off with the

respective Head of Department/Line Manager.

- ii. Ensuring timely setting, review and evaluation of the Performance Targets as captured in the Performance Management tool
- iii. Full participation in the Performance Management Process, in all steps which require the employee's input.
- iv. His or her individual career planning and management, under the guidance of the respective Head of Department or Line Manager.

e. The People and Culture Office:

The office is responsible for the provision of oversight to the entire performance management process through:

- i. Providing appropriate advice and support to Heads of Departments/Line Managers in the application of this policy, inclusive of training and development in effective and efficient Performance Management
- ii. Support all formal meetings in line with this policy
- iii. Ensuring the policy is followed in a fair and equitable manner
- iv. Ensuring the policy is adhered to and timescales are met
- v. Ensuring any trends are identified and brought to the attention of the Management Board.
- vi. Managing all records emanating from the Performance Management Process

8.11 Monitoring the Effectiveness of the Policy

The University is committed to monitoring incidents to provide identification of causes and subsequent rectifying actions.

The effectiveness of this policy will be monitored by the People and Culture Business Partnering Team. Cases that are received will be reviewed to ensure a decision is made based on the seriousness of the performance the correct procedures are being adhered to.

8.12 Confidentiality and Data Protection

The University's policy on Confidentiality and Data Protection shall apply.

All employees should familiarize themselves with and adhere to the University's People and Culture Procedure Manual on Performance Management Procedures

9. SECTION NINE: STAFF DEVELOPMENT

9.1 Purpose

The University provides assistance and support to employees to increase the effectiveness of their performance as well as to encourage them to obtain skills, knowledge, and abilities, which may improve their opportunities for career advancement within the University.

9.2 Scope

For purposes of this policy, professional development programs and activities may include but are not limited to: opportunities for on-the-job training, cross-training, coaching, internships, secondment, and attendance at courses, seminars, conferences, institutes, lectures, meetings, workshops, and participation in professional and technical associations.

This policy covers both local and international staff training.

9.3 Eligibility

An employee may be eligible for sponsorship from the University to attend professional or academic training. For an employee to qualify for such sponsorship the following conditions must be fulfilled:

- a. The applicant must be a fulltime employee of the University and must have served in the University for at least one year to be considered for sponsorship to professional short courses. Fulltime staff who have served in the University for at least two years will be considered for sponsorship to an academic course.
- b. The training must be of benefit to both the employee and the University;
- c. The training objectives should be consistent with those in the Performance Management policy.
- d. The applicant's performance appraisal must be at least satisfactory.
- e. The sponsorship does not apply in the following instances:
- f. The sponsorship does not pay for repeat units and/or failed units.
- g. The sponsorship will not pay for the continuation of the course after suspension.
- h. The sponsorship will come to an end after the completion of the course within the stipulated time.

9.4 Sponsorship

- a. Decisions to sponsor an employee will be based upon the priority and relevance of the qualification to meeting the University's objectives, availability of funds, employee's performance and sponsorship opportunities.
- b. All costs to be sponsored must have been approved and provided for in the respective training budget before any sponsorship is implemented.

9.5 Tuition fees sponsorship

- a. Approved academic training will be considered for a 90% sponsorship of the tuition fees of the training. Such training must be related to the University's strategy or the strategic intent of the school/ faculty or department.
- b. Approved professional training will be considered for a 100% sponsorship of the tuition fees of the training. Such training must be related to the University's strategy or the strategic intent of the school/ faculty or department.
- c. Learning materials and other items to facilitate learning
- d. Where learning materials such as text books, case study packs amongst others and other items to facilitate learning such as lap tops, are costed outside the tuition fees, the University shall sponsor up to 50% of the total cost of such items.

9.6 Travel and subsistence expenses

- a. Employees sponsored for training within Nairobi shall take responsibility for the transport expenses to and from the respective training locations.
- b. Employees sponsored for local conferences and seminars outside Nairobi will be considered for travel and subsistence allowance through the University's per diem policy-local rates.
- c. Employees sponsored for international conferences and seminars will be considered for travel and subsistence allowance through the University's per diem policy – international rates.
- d. Employees sponsored for international conferences and seminars will be considered for one return ticket to the country of conference/seminar.
- e. Employees sponsored for regular international academic training whose duration is at least one academic year, will be entitled to one return ticket to the country of study for the duration of the course. Any additional trips will be funded by the employee.
- f. Employees sponsored for modular international academic training whose duration exceeds one academic year, will be entitled to one return ticket to the country of study, per year, for the duration of the course. Any additional trips will be funded by the employee.

9.7 Publishing

The University may sponsor up to 100% of the cost of publishing of academic papers by employees who had been sponsored for an academic course. The academic work to be published must be the outcome of the academic course for which the employee had been sponsored.

9.8 Costs of graduation ceremonies

Upon completion of respective training, every employee will be expected to cover all costs pertaining to their graduation ceremony. This applies to both local and international training.

9.9 Responsibilities in Staff Development

- a. Heads of Department are responsible for working with their employees to identify needs and for creating a professional development and training plan that will benefit the unit as well as the individual. They are also responsible for the financial outlay of their staff development program.
- b. Employees are responsible for engaging in the development of plans in partnership with their Head of Department and for participating in designated learning experiences. Employees are responsible for assessing their job-related skills and knowledge, for maintaining a high level of performance throughout their employment, and for seeking appropriate professional development and training opportunities in conjunction with their supervisors.
- c. The Executive Director People and Culture is responsible for the University wide staff development planning and implementation of related strategies.
- d. The Academic Staff Development Policy in the University shall apply to all Academic Staff.

9.10 Bonding

The Bonding policy is aimed at ensuring that the University gains value for the investment made by the University on development of its members of staff. It applies to all courses sponsored by the University, academic, executive education and professional courses, whether locally or internationally, either lasting 3 months and above or costing at least Ksh. 300,000 irrespective of the duration of the course.

9.11 Applicability

The bonding policy applies to all employees who are supported by the University to undertake training/course whose duration is more than three months or total cost is more than Ksh. 300,000, irrespective of the duration of the course.

The employee who registers for training whose duration is more than three months or total cost is more than Ksh. 300,000 shall sign a bonding agreement in respect of that training, irrespective of the source of funding, type of study program and, whether one is on study leave or not.

9.12 Bonding Period

The bonding period will be determined by the duration of the course and the total cost of the course. It is the responsibility of the Executive Director People and Culture to ensure that the bond conditions as stipulated in this policy are strictly adhered to.

9.13. Bonding period determined by total cost and course duration

- a. Kshs. 300,000 to Ksh.1 M the employee will be bonded for duration of the course or one year whichever is greater.
- b. Above Ksh. 1M but below Ksh. 2M, the employee will be bonded for the duration of the course or 2 years whichever is greater.
- c. Above Ksh 2M but below Ksh. 3M, the employee will be bonded for the duration of the course or 3 years whichever is greater.
- d. Above Ksh. 3M but below Ksh. 4M, the employee will be bonded for the duration of the course or 4 years whichever is greater
- e. Above Ksh. 4M, the employee will be bonded for the duration of the course or 5 years whichever is greater up to a maximum of 5 years.

9.14 Determining Bond Amount

a. Components of Bond Amount

The components of the bond amount will include the following (as applicable):

- i. All costs pertaining to admission to the course;
- ii. Total Tuition fees;
- iii. Dissertation/research/thesis/project costs;
- iv. Library/computer/examination fees;
- v. Total travel/transport expenses;
- vi. Books allowance;
- vii. Living/subsistence allowance;
- viii. Graduation costs;
- ix. Net salary for the period of the course in months for all the days the member of staff was away for studies. This includes study leave, exam leave days, conference leave days, etc.
- x. Any other incurred training expenses

b. Calculation of Bond Amount Based on Mode of Study

- i. A Full-Time course fully sponsored by the University: Total cost of training plus the net salary for the duration of training.
- ii. A Full-Time course, self-sponsored/sponsored by a third party: Total net salary for the duration of training.
- iii. A Part-Time/modular course, fully sponsored by the University: Total cost of training plus net salary for the period of training during working hours
- iv. A Part-Time/modular course, self-sponsored: net salary, for the period of training during working hours
- v. Own Time Self Sponsored: No bonding
- vi. Own Time Sponsored by the University: Bonded for the full cost of training for the duration of the course

Net salary will be based on statutory deductions only.

9.15 Other Regulations on Bonding

a. Termination of Bonding Agreement

If a bondee fails to complete a course of training for reasons which cannot be justified, they will be liable to repay **total cost** incurred by the University during the study period.

b. Liquidated Damages

This refers to redeeming of bond for Termination of Service before expiry of bond period. An employee who leaves the University before the expiry of the bond period shall be liable to pay the whole amount of the bond in lump sum.

In the event that a staff member's employment contract is terminated before completing their studies, the sponsorship will end with immediate effect.

In the event that they leave their employment with the University before the end of the bonding period they will be required to reimburse the University the fees contributed towards their course. The University shall be entitled to use the requisite means to recover the amount from them. Any arrangement to pay the debt in instalment must be in writing and agreed upon with the office of the Executive Director People and Culture.

When the amount becomes due as indicated in the preceding paragraph, staff will be charged compound interest on any unpaid amount at the market interest rate which shall be the average 91-day Treasury bill rate of interest for the previous quarter.

c. Percentage of Period Served after Training and the Corresponding Percentage of Training Costs to be reimbursed by the bondee:

Percentage of Bonding Period Served by Staff after Training	Percentage to be Refunded by Staff to the University
0 – 20%	100%
21 – 40%	80%
41 – 60%	60%
61 – 80%	40%
81 – 99%	20%
100%	0%

10. SECTION TEN: GRIEVANCE HANDLING POLICY

10.1 Policy

The purpose of this Policy is to guide the University's approach to manage concerns or complaints which arise as workplace grievances.

10.2 Grievance

It is recognized that grievances/disputes may occur between employer and employee or between employees. The University is committed to ensuring that employees co-exist harmoniously and that any differences arising in the course of their work are resolved amicably.

All employees should familiarize themselves with the grievance handling procedures contained in the People and Culture Procedure Manual.

11. SECTION ELEVEN: STAFF DISCIPLINARY POLICY AND PROCEDURE

11.1 Introduction

It is the responsibility of every Employee to ensure that their work and conduct is at all times maintained at the standard required by the University and in accordance with the University's Statutes, Regulations and policies. Appropriate disciplinary action will be taken for breach of discipline or failure to perform.

This Disciplinary Policy and Procedure is guided by the provisions of the Constitution, Employment Act, University Statutes, Regulations and Policies.

All employees should familiarize themselves with the provisions of the staff disciplinary procedures within the People and Culture Procedure Manual.

11.2 Definitions

- i. **"Employee representative"**, "means a person, also a current Employee, chosen by an Employee to accompany them to the disciplinary proceedings;
- b. **"Minor Misconduct"** means acts of indiscipline or breach of the terms and conditions of employment relating to both performance and conduct of an Employee, which are not, unless persistently committed, serious enough to warrant instant dismissal or termination of employment. The following are examples: -
 - i. Reporting late to work and meetings or leaving early without sufficient documentary evidence for reason of lateness or permission from Head of Department/Immediate Supervisor.
 - ii. Taking extended breaks without prior approval contrary to departmental procedures;
 - iii. Using office internet/email for personal use;
 - iv. Use of social media platforms during working hours;
 - v. Idling during working hours
 - vi. Minor breaches of health and safety regulations;
 - vii. Disruptive behavior that interferes with functioning or work flow in the University such as shouting at colleagues, students, clients of the University, waving arms and fists, throwing objects, blocking other people's movements or access to an area or room, any generally aggressive behavior, belligerent and inappropriate behavior for a work environment;
 - viii. Smoking outside designated smoking areas;
 - ix. Misuse of University resources;
 - x. Using University resources for personal gain;

- xi. Breach of the terms and conditions of service or the University's Statutes or the Code of Conduct or culture or any of the University's policies – depending on the severity and impact as determined by the Management board.
- c. **“Serious misconduct”** means such behavior as may justify termination of employment. The following are examples of serious misconduct: -
 - i. Neglect of duty;
 - ii. Unauthorized absence from work for any period without any reasonable excuse as determined by the Head of Department in consultation with the Executive Director People and Culture;
 - iii. Conviction by a court of law of a criminal offence;
 - iv. Theft, misappropriation, or conversion of University property and related misbehavior;
 - v. Dishonesty to or defrauding the University, co-workers, suppliers or clients including soliciting or receiving a bribe(s);
 - vi. Physical violence at or during work or to co-workers, students or other stakeholders in the University;
 - vii. Breach of confidentiality;
 - viii. Misuse of or Dissemination of the University's documents or confidential information to third parties;
 - ix. Using or being in possession of items prohibited by law;
 - x. Drunkenness or consumption or possession or distribution of alcohol, intoxicants or drugs, narcotics or other illegal substances at work;
 - xi. Harassment including Sexual harassment of other members of the University, visitors or third parties within the University premises or involved in or within the vicinity of a University organized event whether within the University premises or not;
 - xii. Insubordination or deliberate failure to obey work related instructions issued by a superior;
 - xiii. Causing unjustified material damage to University property;
 - xiv. Bringing the University into disrepute;
 - xv. Use of abusive language or inappropriate behavior;
 - xvi. Severe cases of minor misconduct;
 - xvii. Continuous use of University's resources for personal matters (including personal telephone calls);
 - xviii. Poor performance and failure to meet agreed objectives/ targets;
 - xix. Undisclosed conflict of interest;
 - xx. Breach of the terms and conditions of service or the University's Statutes, or the Code of Conduct, culture or any of the University's Regulations, Guidelines, Policies and Procedures– depending on the severity and impact;

xxi. Activities that result in the University receiving complaints regarding the Employee's conduct.

d. **"Gross misconduct"** means such behavior that justifies instant dismissal or termination of employment; it constitutes the highest form of misconduct or poor performance. Actions that amount to serious misconduct may be considered gross misconduct depending on their severity and consequences. Examples of gross misconduct include: -

- i. Without leave or other lawful cause, an employee absents themselves from the place appointed for the performance of their work;
- ii. During working hours, by becoming or being intoxicated, an employee renders their unwilling or incapable to perform their work properly;
- iii. An employee willfully neglects to perform any work which was their duty to perform, or if they carelessly and improperly perform any work which from its nature it was their duty, under their contract, to have performed carefully and properly;
- iv. An employee uses abusive or insulting language, or behaves in a manner insulting, to the members of the University or to a person placed in authority over them by the University;
- v. An employee knowingly fails, or refuses, to obey a lawful and proper command which was within the scope of their duty to obey, issued by the University or a person placed in authority over them by the University.
- vi. 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. A cognizable offence is one for which a person may be arrested without a warrant as more particularly defined in the Criminal Procedure Code, Chapter 75 of the Laws of Kenya;
- vii. An employee commits, or on reasonable and sufficient grounds is suspected of having committed, a criminal offence against or to the substantial detriment of the University or the University's property;
- viii. Deliberate or serious damage to University property;
- ix. Serious misuse of the University's property or name;
- x. Deliberately accessing internet sites containing pornographic, offensive or obscene material;
- xi. Breach of the terms and conditions of service or the University's Statutes or the Code of Conduct or culture or any of the University's policies – depending on the severity and impact.

11.3 Guiding principles and general rules

This Disciplinary Policy and Procedure is based on the following guiding principles and general rules: -

- a. Although the University is not a religion-based or officially ecclesial institution, in matters of faith and morality it is committed to following the teachings of the Magisterium of the Catholic Church, which should inspire and guide all the activities of the University including the conduct and performance of Employees;
- b. The University's core values of excellence through the sanctification of work, Freedom and responsibility, ethical practices, personalized attention, subsidiarity, collegiality, life-long learning and service to society should guide the actions of all Employees and the application of this policy;
- c. When dealing with allegations of breach of discipline or failure to perform, the University will carry out necessary investigations to establish the facts of a case and take necessary action according to the procedure herein;
- d. The University has the right to take appropriate disciplinary action against any Employee whose work or conduct is unsatisfactory;
- e. Every Employee has the right to fair labour practices, including a fair hearing and just disciplinary sanctions;
- f. The University may take disciplinary action against an Employee even where contraventions of the Policy also constitutes criminal acts;
- g. The exoneration of an Employee by a criminal court shall not prevent the University from taking appropriate disciplinary action against the Employee, irrespective of the circumstances of the exoneration;
- h. If an employee is charged with, or convicted of a criminal offence, the University will consider factors such as:
 - i. the effect of the charge or conviction on the employee's suitability to do the job and;
 - ii. the effect on the University's reputation and image and the Employee's relationship with the University, work colleagues, clients and other stakeholders in determining whether or not disciplinary action is necessary.
- i. Disciplinary action shall be at the discretion of the University;
- j. Disciplinary action shall normally be progressive, that is, starting with informal action and followed by formal action;
- k. The University shall, however, not be bound to follow a progressive procedure in (j) above; the factors stated at (o) will guide the University in determining the appropriate action;

- l. Disciplinary action shall, as much as possible, be corrective, rather than punitive;
- m. Informal action, including formal or informal counselling, training, support, adjustments to work and other good management practices, shall, where appropriate, be used to resolve matters prior to any disciplinary action being taken;
- n. Disciplinary proceedings and action shall be kept confidential;
- o. In determining the appropriate disciplinary action, the University shall consider:
 - i. The circumstances of each case;
 - ii. The penalty prescribed in this Policy, if any;
 - iii. The penalty imposed in similar cases in the past;
 - iv. The Employee's disciplinary record (including current warnings), general work record, work experience, position and length of service;
 - v. Any mitigating factors or special circumstances which might make it appropriate to adjust the severity of the penalty;
 - vi. Whether the proposed penalty is reasonable in view of all the circumstances;
 - vii. Whether any training, additional support or adjustments to the work are necessary.

11.4 Types of Disciplinary Action

These include (list is not exhaustive): -

- a. Verbal warnings;
- b. Written warning;
- c. Surcharge for misappropriation and misused University monies or property (including damage to University property);
- d. Disciplinary suspension;
- e. Recovery of days of absence from salary;
- f. Demotion;
- g. Loss of increment, bonus, promotion or seniority;
- h. Termination;
- i. Summary dismissal.

11.5 Authority to Constitute Disciplinary Committees and Disciplinary Action

- a. Heads of Departments are authorized to deal with minor misconduct where the maximum penalty is a reprimand/verbal and written warning.
- b. In disciplinary actions that do not fall under (l) above the following shall apply;
 - i. Where the disciplinary proceeding relates to an employee who is a Principal Officer as specified in the University Statutes or Policies of the University, the Disciplinary procedure and removal from office where necessary, shall be as determined by the University Council;

- ii. Where the disciplinary proceedings involve other members of staff and as detailed in this policy the matter at hand requires a disciplinary hearing, the Executive Director People and Culture with the approval of the Management Board shall constitute a Disciplinary Committee to hear and determine the matter in question unless an alternative procedure is provided for under the Regulations, Policies and Procedures of the University.

11.6 Investigations and suspension

- a. Where necessary, prior to commencing disciplinary proceedings, investigations will be carried out to establish the facts of the case;
- b. The investigations will include obtaining statements from witnesses and where necessary, the employee in question. Employees will be given advance warning and time to prepare for an investigatory meeting;
- c. The investigatory stage will be concluded within a reasonable time.
- d. The Employee may be placed on suspension with full pay pending completion of the investigations and disciplinary process. This may be necessary where, for example, relationships have broken down, in gross misconduct cases or where the presence of the employee may hinder the investigations;
- e. The Executive Director People and Culture, in consultation with the Head of Department may direct an Employee to proceed on suspension.
- f. The period of suspension shall not exceed one (1) month subject to the right of the University to extend the period for a reasonable period for valid reasons as determined by the Executive Director People and Culture.
- g. During suspension the Employee may be asked to report to the University's office at such times as may be communicated to him/her.
- h. Suspension pending investigations and disciplinary proceedings is not an assumption of guilt or a disciplinary penalty.

11.7 Summary Dismissal

Summary dismissal shall be considered in the event of gross misconduct as defined in this procedure and the Employment Act or as may be amended.

The University may dismiss a member of staff summarily when his/her conduct indicates fundamental breach of obligations arising under Contract. The procedure for serious and gross misconduct will apply.

11.8 Appeals

- a. Where an Employee is aggrieved by the disciplinary action taken against them, they may appeal against the decision;
- b. Appeals shall be lodged within Seven (7) working days of the decision and shall be concluded within a reasonable time of being lodged depending on

the circumstances of each case as determined by the Executive Director People and Culture

- c. The Employee shall set out their grounds of appeal in writing, based on item (d) below.
- d. The mandate of the Appeals Committee is not to re-hear the disciplinary case but rather to consider whether: -
 - i. The procedure that was followed in the disciplinary proceedings was wrong or unfair;
 - ii. The penalty is too severe;
 - iii. The appeal raises any new issues or new information that could not have been raised or that was not available during the initial proceedings;
 - iv. There are any representations or submissions which were made before the Disciplinary Committee (as captured in the minutes) which were not taken into consideration by the Disciplinary Committee.

****The grounds of appeal shall be limited to the above four (4) grounds.***

- e. The appeal and the decision thereafter shall be addressed to the relevant appeals body through the Executive Director People and Culture.
- f. The appeals body will determine whether to conduct an oral hearing of the appeal or whether to determine the appeal through review of documents and issuance of a determination in writing. The appeal body may uphold the decision, vary the decision, set aside the decision or make any other decision.
- g. The decision of the appeal body shall be final

12. SECTION TWELVE: SUCCESSION PLANNING

12.1 Purpose

Recognizing that changes in management are inevitable, the University has established a succession plan to provide continuity in ensuring replacements for key job incumbents in executive, management, technical, and professional positions in the organization. Common scenarios are when a key leader retires, contract is terminated, resigns or exits on medical grounds.

Succession planning will help the University to develop 'bench strength' for ready talent to take over when key staff leave the organization. Lack of succession planning will negatively impact the University's business continuity, performance and competitiveness, and achievement of its strategic plans.

All employees should familiarize themselves with the succession planning procedures within the People and Culture Procedure Manual.

12.2 Identifying key positions

Key positions are those that where a delay in filling a vacancy would have significant adverse effect on the operation of the University.

12.3 Application of the policy

Succession plans do not entitle positions, promotions, or transfers to employees. Employees will need to compete for vacant positions participating in the recruitment process as outlined in the Recruitment policy.

12.4 Objectives

The following are among the key objectives the University aims to achieve through succession planning;

- a. Ensure business continuity through provision of the right and ready talent whenever there is planned and unplanned staff exits.
- b. Provide framework for continuous development of staff with necessary skills and potential to deliver the University's strategic targets.
- c. Develop operational and sustainable staff retention strategies.
- d. Provide growth opportunities by giving existing staff priority while filling leadership roles when they fall vacant.
- e. Assist staff to prepare themselves to assume higher roles through capacity building, mentorship, coaching and; other personal and professional development initiatives.
- f. Ensure all vacant positions are filled competitively and in a transparent manner.

12.5 Succession Planning Strategies

The University will use the following strategies to implement succession planning,

- a. Ensure timely and continuous human resource planning;
- b. Skills and Competency development;
- c. Develop clear career paths;
- d. Continuous staff performance reviews;
- e. Implement continuous learning in the organization;
- f. Establish leadership and mentorship program.

12.6 Defined Responsibilities in succession planning

People and Culture Office	<ol style="list-style-type: none">i. Ensure that critical succession position within the University organogram are filled with the right people with defined critical roles that facilitate succession planning.ii. Constant proactive communication on the departmental/ faculty succession plan with the Head of Department.iii. Ensure that there is the required knowledge and skill to meet the University objectives and fill unexpected or expected vacancies promptly.iv. Matching individual talents and the required job design and skills during recruitment process
Respective Departments/Schools (Head of Departments)	<ol style="list-style-type: none">i. Ensuring that the job design and skill complement succession planning within the departmental organogramii. Formulate plans for successful transitionsiii. Ensure delegation of tasks that can encourage cross- functional learning.iv. Conduct effective performance management practices that encourages continuous learning and feedbackv. Facilitate trainings and development initiativesvi. equip incumbents with a wide range of skills to prepare them for a number of potential roles through job enlargement or enrichment
Management	<ol style="list-style-type: none">i. Simulate organisation culture from the onset through implementation of succession processes that are strategic and best suited for successionii. Assist in coordinating mentoring programsiii. Foster practices that encourage talent retention

13. SECTION THIRTEEN: SEPARATION OF EMPLOYMENT POLICY

13.1 Purpose

- a. This policy is intended to provide guidance in relation to the separation of an employee.
- b. Employees will normally leave the University as a result of voluntary or involuntary termination of employment.
- c. Voluntary Termination is the termination of the employment relationship resulting from the voluntary decision of the employee and includes but is not limited to resignation, inability or failure to return from an authorized leave of absence, job abandonment and retirement.
- d. Involuntary Termination is the termination of the employment relationship by the University. This includes but is not limited to contract expiry, redundancy, termination for valid cause, long-term disability, medical reasons or death.

13.2 Resignation notice period

The length of the notice period is dependent on the nature of job and the sensitivity of the position to the University. Each employment contract bears the relevant notice period and the equivalent salary in lieu of notice. The guideline is as below:

13.3 Levels: Notice Period

- | | |
|---------------------------------------|-------------------|
| a. Senior Management - Academic | At least 6 months |
| b. Senior Management – Administrative | At least 6 months |
| c. Middle Management - Academic | At least 3 months |
| d. Middle Management – Administrative | At least 1 month |
| e. Supervisory | At least 1 month |
| f. Support | At least 1 month |

Other than with the approval of the Head of Department in consultation with the Executive Director People and Culture, at no time shall annual leave be taken during the notice period.

If the University must terminate an employee's employment for reasons other than for cause, the employee will be given the same amount of notice that is expected of that employee for resignation or payment in lieu of notice.

13.4 Retirement

a. Age

- i. The normal retirement age shall be 70 years for academic staff and 65 for administrative staff.
- ii. Staff who have retired may be appointed on a fixed term contract or part time contract subject to needs assessment by the University, financial sustainability of such appointment for the University and evaluation of the

staff eligibility, to a different or to the same post on terms to be agreed upon for a duration not exceeding 5 years after their retirement age.

- iii. The Management Board has the discretion to engage an employee on a fixed term contract beyond the retirement age indicated in (b) above.
- iv. Academic and Administrative members of staff may apply for voluntary retirement at any time after their 60th birthday, by giving a period of notice that would be required to terminate the contract by ordinary resignation.
- v. Eligibility for retirement benefits will be in accordance with the provisions of the University's Provident Fund.
- vi. The power to retire or to approve employee's retirement shall be vested in the Management Board and the University Council for the positions whose appointments require the approval of the University Council.

b. Medical grounds

- i. The University may, on the basis of a medical opinion from a qualified medical practitioner, retire an employee on medical grounds, subject to giving the employee a right to be heard and giving consideration to whether the University can afford the employee any reasonable accommodation. The employee shall submit to examination by the University's appointed doctor for determination of their fitness to work.
- ii. Where the infirmity arises from an occupational disease or injury at the place of work, the University shall act in accordance with WIBA Act 2007.

13.5 Termination for cause by the University

13.5.1 Expiry of Contract of Service

- a. The University may without assigning any reasons opt not to issue a new employment contract upon the expiry of a previous contract. This will be communicated at least one month before the expiry of their contract by the Head of Department to the employee in the presence of the Executive Director People and Culture or their representative. The failure to give notice of one month shall not affect the validity of the notice of non-renewal.
- b. Employees who do not intend to continue with their employment at the University at the expiry of their contract, shall inform their Head of Department and the Executive Director People and Culture at least one month before the expiry of their contract.

13.6 Termination for cause

The University's Disciplinary & Procedures Policy shall apply.

13.7 Death

The contract of an employee automatically ends on the death of an employee.

13.8 Redundancy

- a. An employee may be terminated from employment due to operational requirements or circumstances that result in the employee's job becoming superfluous and/or the practices commonly known as abolition of office, job or occupation.
- b. In the event that it becomes necessary to do so, the University will comply with the provisions of the Employment Act and any other applicable laws. The steps to be taken may be summarized as follows: -
- c. The Executive Director People and Culture shall prepare a written rationale for the redundancy for its internal records;
- d. The employees in the affected job categories will be informed verbally and thereafter in writing of the intention to declare their positions redundant. The employee's will be given a thirty-day notice of the intent. The County Labor Officer will also be given a notice of intention to declare redundancies. The notices will contain details of the reasons and extent of the redundancy;
- e. The University will develop an objective selection criterion for each job category and thereafter, the staff in the affected categories shall be measured against the selection criteria;
- f. Prior to expiry of the notice period, the impacted staff will be informed in writing of the decision to terminate their employment on account of redundancy;
- g. The University will, where possible, take steps to mitigate the effects of the redundancy by, for example, offering counselling to the affected staff;
- h. Affected staff will be paid severance of 15 day's pay for every completed year of service, in addition to the other terminal dues.

13.9 Clearance from the University

Out-going employees are required to comply with clearance processes before payment of their final dues. The clearance process involves being cleared by the respective departments, doing an exit interview, payment of monies owed to the University and return of all University property. Terminal dues will only be paid upon satisfactory clearance. An Employee may only pay in lieu serving the notice after satisfactory handover and clearance.

13.10 Discharge and Indemnity Voucher

Before an employee is paid their final dues on discharge from employment, they shall be required to sign a discharge and indemnity voucher.

13.11 Exit Survey

13.11.1 Purpose

- a. This is a channel for out-going employees to voluntarily provide constructive feedback on their experiences while employees of the University and their

reasons for leaving. The process has been established for employees who are voluntarily terminating their employment with University.

b. Exit Survey information is collected, analyzed, and reported to the University's

Management for the following purposes:

- i. To recommend improvements to policies, procedures, and practices
- ii. To keep networking lines open between ex-staff and the University
- iii. To retain valuable knowledge and intellectual capital in the University
- iv. To better understand the different experiences of working at University in order to identify any areas for improvement and future change
- v. To improve the recruitment and retention of high caliber employees.

13.12 Certificate of Service

Out-going employees will be issued with a certificate of service. The certificate of service shall contain the following information:

- i. The name of the University and its postal address;
- ii. The name of the employee;
- iii. The date when the employment commenced;
- iv. The nature and usual place of employment;
- v. The date when employment ceased.

14. SECTION FOURTEEN: PERSONAL RECORDS POLICY

14.1 Purpose

This policy is established to maintain, protect and safeguard the privacy of employees' personal information to the fullest extent possible, consistent with service and legal practices. All employees must in addition to this policy familiarize themselves with and abide by the University's Data Protection Policy.

14.2 Maintenance of records

- a. The University collects, maintains and uses employee's personal information in such a manner as to ascertain its accuracy and relevancy, preserve the confidentiality of the information, serve business needs, and conform to applicable legal requirements.
- b. This information informs decision making in regards to:
 - i. Employment
 - ii. Promotion
 - iii. Disciplinary
 - iv. Compensation and amongst others.

14.3 Access of records

- a. To preserve privacy, only those who have a legitimate "need to know" may have access to employee's information. The disclosure of such data is governed by University's Data Protection Policy and Guidelines for handling personal data.
- b. Personal files for each employee are retained in accordance with the established record retention schedule. The personal file should contain only documents that pertain to and are officially used to record or effect qualification for employment, promotion, compensation, termination or disciplinary action such as:
 - i. Interview documents and personal data information;
 - ii. Curriculum vitae/resumes;
 - iii. Copies of certificates, both academic and professional;
 - iv. Copy of ID, PIN, NSSF & NHIF cards;
 - v. Letters of employment, promotion; acceptance letters and testimonials/referees and other employment history.
 - vi. Documentation of compensation changes,
 - vii. Authorization for pay deductions;
 - viii. Separation information;
 - ix. Training records
 - x. Fringe benefits information;
 - xi. Performance evaluations;

xii. Disciplinary records.

14.4 Personal file access

- a. Employees do not have a right to access their personal files unless authorized by the Executive Director People and Culture.
- b. Upon the written request of an employee, personal and medical files containing records relating solely to the employee will be made available to the individual. In the case of files dealing with potential or actual litigation claims, access will be given to the employee in the presence of a representative of the People and Culture Department. The employee will be permitted to make notes concerning any such information. However, at no time is an employee allowed to leave the People and Culture Office with the records.

14.5 Reporting changes in personal records

Each employee is required to report any changes in name, address, telephone number, marital status and number of dependents as well as any award newly earned such as degrees or certificates to the People and Culture Department. Copies of supporting documentation should be provided. The University is not responsible for non-receipt of any official communication sent to an employee if the employee has failed to file a change of address notice with the People and Culture Department.

14.6 Storage of records

The data may be stored in hard copies or electronically. Electronic records can be stored within the University or outside.

14.7 Maintenance of records after leaving employment

The People and Culture Department will archive relevant employee information a year after they leave employment and the records shall be stored for a total of five (5) years from the date of termination of employment or for such other period as may be prescribed by the labour laws.

CONCLUSION

- a. This People and Culture Policy Manual and the People and Culture Procedure Manual supersedes all previous practices, policies and procedures on matters dealt with in this manual.
- b. If any provision of any policy is at variance with any applicable statutory provision, the statutory provision will apply to the extent that it is more beneficial to staff. It will also be deemed to have substituted the policy to such extent.
- c. The University Management will resolve any clarifications with regards to this policy.

AUTHORITY FOR ESTABLISHING AND AMENDING THE PEOPLE AND CULTURE POLICY MANUAL

- a. The University Council maintains the authority for establishing and amending the People and Culture Policy Manual and Procedure Manual.
- b. In the event of emergency situations or situations requiring urgent policy action, this Manual may be amended through an addendum with the approval of Management Board.
- c. This document, like all other Strathmore University documents, is considered proprietary and should not be copied or shared with any other company, agency, or individual.

ADDENDUM TO THE STRATHMORE UNIVERSITY PEOPLE AND CULTURE POLICY MANUAL (REVISED IN MAY 2019)

A. Introduction

This Addendum has been created to inform the University community of the measures and policies which have been adapted to ensure a safe, sustainable and productive work environment during the currency of the COVID-19 pandemic. The University is committed to doing all that it can reasonably do to support the health, safety and wellbeing of the employees.

This Addendum applies to all employees of the University and will remain in force until further advised. Any exception to this Addendum will require a written approval from the Management Board.

Please consult the People and Culture Department for any clarification regarding the content of this Addendum.

B. COVID-19 INFECTION CONTROL & MANAGEMENT PLAN

The University is committed to taking all reasonable measures to ensure a safe and healthy working environment. The following practices and policies have been put in place in order to control the infection and spread of COVID-19.

- a. Promotion of remote working arrangements as much as possible.
- b. Clean and well-maintained hand washing facilities and alcohol-based hand sanitizers placed in prominent places around the workplace.
- c. Objects which are touched frequently, such as doorknobs, telephones, keyboards, handles, railings, kettles, etc. will be cleaned regularly with disinfectants or soap and water.
- d. Provision of boxes of tissues and masks.
- e. Magazines and newspapers shall be removed from waiting areas or common rooms.
- f. Ventilation systems where necessary.
- g. Regular cleaning of workstations.
- h. Limiting all forms of employee gatherings.
- i. Conducting temperature checks (37.3C or more will not be allowed inside).
- j. Taking steps to comply with requisite government directives.
- k. For purpose of promoting safe food handling:-
 - i. Food sharing is banned.

- ii. Sharing of cups, glasses, dishes and cutlery is banned.
- iii. Appropriate mechanisms shall be adopted for:-
 - Health screening of cafeteria staff and their close contacts
 - Ensuring cafeteria staff and their close contacts practice strict hygiene.

Employees are required to:-

- a. Adhere to:-
 - a. Work schedules and locations as agreed with their Supervisors;
 - b. Rules, regulations and arrangements put in place by the University and the Government of Kenya to control the infection and spread of Covid-19;
 - c. Clean their hands at the entrances and other designated areas around the workplace at regular intervals.
 - d. Uphold social distancing and curfew/lockdown directives.
 - e. Comply with government directives on proper respiratory hygiene - cover their face with the bend of their elbow or a tissue if they cough or sneeze and immediately dispose of the tissue.
 - f. Open windows or adjust air-conditioning.
 - g. Avoid crowding the workplace.
 - h. Where necessary, undergo medical examination by a registered medical practitioner and obtain a certificate of fitness for work.

C. SICKNESS

Employees have the responsibility to protect themselves and others, to manage illnesses and not to endanger others. In this regard, employees are required to: -

- a. Go to hospital if they are feeling sick and notify their immediate supervisor as soon as possible. Absence on this account will be considered as sick leave, subject to production of a doctor's note in the usual manner.
- b. Stay at home (or work from home) if a member of their household is sick or shows symptoms.
- c. Stay at home (or work from home) if they, or a member of their household, has had to take simple medications, such as paracetamol/acetaminophen, ibuprofen or aspirin, which may mask symptoms of infection.
- d. Report all suspected cases immediately to their immediate supervisor and the People and Culture Department who shall in turn report the matter to the Directorate of Occupational Safety & Health (DOSHS).

The University may require employees who are considered 'vulnerable' or 'at risk' to adhere to additional rules. These include, but are not limited to, those who: -

- a. Have a long-term health condition (e.g. diabetes, heart and lung disease);
- b. Have a weakened immune system for whatever reason;
- c. Are pregnant;
- d. Are aged 60 or over;

At the very least, such employees are required to: -

- a. Work remotely;
- b. To take particularly strict social distancing measures.

If an employee is requested to go out to work and they believe they're at risk because they're in one of the vulnerable groups, it's important they talk to their Head of Department.

Any employee who receives specific advice from a medical doctor which in any way affects their work, should immediately communicate with the Head of Department.

D.TERMS & CONDITIONS OF EMPLOYMENT

i. Remote Working Arrangements

Employees may be requested to work from home at such times and for such periods as they may be advised from time to time. In this event, the Remote Working Policy will apply.

Employees are responsible for taking reasonable care of their own health and safety and complying with the University's guidelines for remote working. Employees should immediately communicate any health and safety risks arising occurring at their remote working location.

ii. Working Hours

In order to facilitate compliance with the curfew/lockdown directives, employees who are required to work from the University premises or such other location, other than their home, will be subject to the normal 40 hours per week implemented in accordance with their respective departmental work schedule.

iii. Use of technology

The operations of the University shall as far as possible and as may be advised from time to time, be undertaken virtually/online. The University shall regularly assess how its IT systems are working and make any adjustments.

iv. Communication

During the pandemic, communication shall be via appropriate means and technology including telephone, email, virtual meetings etc.

v. Sick leave

An employee who is absent from work on account of COVID-19 will be entitled to sick leave in the usual manner.

vi. Paid absence for mandatory quarantine/isolation

An employee who is absent from work on account of mandatory quarantine/isolation which is related to their employment, will be entitled to paid leave of absence for any employee who is not able to work from home.

vii. Non-discrimination & confidentiality

Fellow employees who contract COVID-19 should not be subjected to any form of stigma or discrimination or breach of their right to privacy in relation to their private medical affairs. Information regarding an employee's health status is confidential.

Employees who may be at risk will be identified and provided with due support on how to deal with the risk, without inviting stigma and discrimination.

viii. Meetings and travel

Employees will be required to use social distancing techniques, such as using telephone, video conferencing, or the internet to conduct as much business as possible (including within the same building). Face to face meetings should only be carried out with the written consent of the Head of Department and (i) only where the meeting cannot be carried out through other means or (ii) for any other valid reason.

All work-related commute or travel which is carried out during the pandemic shall be handled in compliance with the government directives. Any employee who is required to travel for work during the pandemic shall obtain the written consent of the Head of Department.

ix. Data protection

Any personal data which is processed by the University will be done in accordance with the provisions of the Data Protection Act, 2019 and the right to privacy which is protected under Article 31 of the Constitution, 2010, for purposes relating to the performance of the contract of employment and adherence to government directives. By signing this

addendum, the employee gives consent to such lawful processing. **‘Personal data’** means any information relating to an employee.

x. Annual Leave and Unpaid Leave

During the currency of the pandemic, the University may put forward proposals to the employees or certain categories of employees, with the view of effective management of the University’s resources and taking into consideration the University’s operational requirements. These measures may include requesting employees to proceed on annual leave or unpaid leave or for a reduction or deferral in their remuneration. The extent and terms and conditions of any measures proposed by the University will be contained in the proposal. Any proposal which adversely affects an employee’s terms and conditions of employment will be subject to the affected employee’s consent.

xi. Grievances

Any grievances relating to the application of the above policies should be raised in accordance with the grievance procedures in the People and Culture Manual.

The University is aware that this is a difficult time for both the University and the employees. Both parties should therefore be ready to listen to each other’s concerns and to hear and consider any suggestions or ideas for other.

xii. Denial of access & disciplinary action

Any employee who fails or refuses to use a face mask in any workplace or fails or refuses to adhere to procedures or protocols established by the University shall be denied access to the workplace and shall be liable to disciplinary action.

xiii. Conclusion

The above measures are taken in good faith for the benefit of the University and all employees. Employees are requested to cooperate with the proposals put forward by the University from time to time for continued sustainability of the organization. This Addendum shall be read together with all relevant government guidelines and directives and the employee’s contract of employment and applicable policies.

Should the provisions of this Addendum conflict with those stated in an individual employee’s contract, this Addendum and any amendments from time to time will prevail over the employment contract unless otherwise approved by the Executive Director, People and Culture.

xiv. Amendment

The provisions of this Addendum are subject to modification, amendment or revocation from time to time. The University shall regularly assess the situation and make appropriate adjustments.