



OPERATIONS POLICIES AND PROCEDURES MANUAL

Suite C8, Saachi Plaza
Argwings Kodhek Road
PO Box 21821 – 00505, Nairobi, Kenya
Tel. +254(20)522 5586
Email. info@healthstrat.co.ke

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HEALTH STRAT STANDARD OPERATING PROCEDURES

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ANNEX – HEALTH STRAT STAFF FORMS

HEALTH STRAT STANDARD OPERATING PROCEDURES

LIST OF ACRONYMS

CDC –Centers for Disease Control and Prevention

CEO – Chief Executive Officer

CTO- Chief Technical Officer

HOF – Head of Finance

HOO – Head of Operations

HR – Human Resources

LC – Logistics Coordinator

LPO – Local Purchase Order

PD – Project Director

PIN – Personal Identification Number

RF– Requisition Form

RFQ– Request for Quotation

RFP – Request for Proposal

SOP – Standard Operating Procedure

SOW – Statement/Scope of Work

STA – Senior Technical Advisor

USG – United States Government

HEALTH STRAT STANDARD OPERATING PROCEDURES

PURPOSE

The purpose of the Health Strat SOP document is to guide operational processes and procedures of the organization.

ACCESS TO OFFICE

SOP on Access to Office describes the process of controlling the entry and exit of both staff of Health Strat and visitors to Health Strat.

SCOPE

The SOP is applicable to all staff of Health Strat and visitors to Health Strat.

PREREQUISITES

The following are considered to be the requirements for adherence to the SOP; employee photo ID, visitors ID

RESPONSIBILITIES

Control of access to the Health Strat office premises is the responsibility of the Head of Operations. Additionally, all members of staff are responsible for the smooth functioning of the SOP.

PROCEDURES

HS's regular work week is Monday through to Friday. The regular work week is forty (40) hours – from 8am to 5pm with a one-hour lunch break from 1.00pm to 2.00pm, thus eight (8) hours worked with one-hour lunch break.

HS encourages work-life balance and will avail the option to staff to work on flexible hours as long as this does not interfere with offering effective service and sustaining the synergy of the team. The decision to apply flexi time must therefore be discussed with the immediate supervisor and ultimately approved by either COO/CTO/CEO as necessary. In support of flexi time, HS will adopt the following hours as core- business hours from 8.30am to 3.30pm, in order to ensure business continuity, employees must therefore be physically present during these prescribed core business hours.

Designated staff members have access to the office by use of keys. It is mandatory for HS Staffs to

HEALTH STRAT STANDARD OPERATING PROCEDURES

display staff ID at all times while at the HS premises.

The Head of Operations maintains accurate records of all office keys issued.

Transfer of office keys MUST be authorized in writing by the HOO, reproduction of the keys is EXPRESSELY PROHIBITED and will be punishable according to the HS disciplinary policy and procedures.

Loss of keys must be reported immediately and in writing to the HOO.

Staff members who are departing from Health Strat employment or from their duty station on transfer or another assignment (of 60 days or more) are required to return office keys to the HOO by close of business on the final work day at the office.

VISITORS

The receptionist is responsible for informing the member of staff of the visitor and the member of staff is responsible for collecting their visitors from the reception, then escort them back to the reception after the visit.

END OF THE DAY

It is the responsibility of each staff member to ensure that all windows within their work area are closed, lights turned off and all machines shut down before departure each day.

If there is a power failure at the time of departure, staff members ensure that equipment and light switches have been turned off. Similarly, in case water is unavailable, staff members should ensure that water taps are closed.

The office assistant is responsible for confirming that all windows are properly secured.

Designated key holders are responsible for locking the office door after close of business or setting the alarm.

HEALTH STRAT STANDARD OPERATING PROCEDURES

DOCUMENTATION & RECORD KEEPING STANDARDS

PURPOSE

Health Strat is responsible for accounting to donors and management for the use of its funds and other assets. This accountability involves ensuring that income received from its business operations are effectively utilized in growing, maintaining and sustaining operations as well as proving that grants received from development partners are utilized as effectively as possible and within the terms of the funding agreements. Program and financial records, reports and data provide part of this information. However, a major portion of this proof must come from the documents supporting its operations, programmatic activities and financial/accounting records.

The purpose of the SOP on Documentation and Record Keeping Standards is to describe the process for Health Strat for storing and maintaining all documentation in line with recognized and recommended standards, donors and statutory requirements.

SCOPE

The SOP is applicable to all facets of activities of Health Strat that require or result in the generation of documents and records.

PREREQUISITES

Secure input, processing and storage facilities, adequate back- up system.

RESPONSIBILITIES

The primary point of responsibility is the HOO in close collaboration with the COO.

PROCEDURES

Health Strat is required to keep all original accounting records for a minimum of FIVE YEARS. An extension of this period will be made if required by specific donors as well as country specific statutory requirements.

It is essential that all activities e.g. financial and program activities and transactions, are clearly and appropriately documented and recorded.

HEALTH STRAT STANDARD OPERATING PROCEDURES

ACCOUNTING

As an example, documentation of accounting entries may be considered complete if the following information is filed:

- An internal requisition by the user is generated and authorized.
- A request for quotations is sent out to vendors
- Quotations received are analyzed and a fair recommendation made for the chosen vendor.
- A purchase order document is raised and duly authorized to commit HS funds.
- A delivery note issued for goods delivered or a completion status report for services submitted and verified/confirmed by the user.
- A cheque requisition/Payment voucher is prepared before the cheque is written in favor of vendors.
- An acknowledgement of receipt of cash/cheque by vendors/service providers is received.
- Entry into the accounting system is done in a timely manner.

EMPLOYEE FILES

Documentation of HS staff files may be considered complete if the following is filed:

- Copy of employee's curriculum vitae, background checks/referee letters.
- Copies of academic qualifications and testimonials.
- The employee's letter of offer and contract signed by the employee and the CEO/COO.
- Job descriptions.
- The annual performance plan.
- Copy of National Identity Card/Passport.
- Copy of National Social Security Fund (NSSF) Membership card.
- Copy of National Hospital Insurance Fund (NHIF) Membership card.
- Copy of Personal Identification Number (PIN).
- Copy of Driver's License (if required).
- Certificate of good conduct (if required).
- Copies of marriage certificate, and birth certificates or adoption certificates
- Names and particulars of next of kin/beneficiaries.
- Residential Map.

HEALTH STRAT STANDARD OPERATING PROCEDURES

MOTOR VEHICLE MANAGEMENT

PURPOSE

The aim of the SOP is to ensure that Health Strat provides and manages an efficient, timely and secure transport to staff members while in the conduct for official HS business.

SCOPE

The SOP is applicable to the Fleet Management function of HS and all its' staff authorized to drive organizational vehicles.

PREREQUISITES

Serviceable motor vehicles, motor cycles, driver's/riders' licenses, motor insurance, vehicle mileage log books, fuel cards, registration log book.

RESPONSIBILITIES

The Logistics Coordinator (LC) has primary responsibility in the smooth functioning of the SOP.

PROCEDURES

The LC is responsible for ensuring that all the vehicles are of sound mechanical condition, are utilized well and monitored to ensure proper and safe use.

The designated driver MUST report all accidents, incidents and hazards to the HOO/COO.

The LC is responsible to coordinate and schedule the maintenance, Insurance, Inspection and repairs of the vehicles and will collect all vehicle log information from the vehicles on weekly basis, update and maintain the fleet management system.

The LC must review the mileage readings on a weekly basis following up on trip approvals, additions of mileage readings, analyzing fuel consumption over time.

The LC is tasked to prepare a monthly transport report indicating information on mileage covered, maintenance history, fuel consumption, condition of vehicle and any other information that will assist in sound decision making of the fleet management function.

The LC will ensure that all drivers are trained in car care and safety precautions.

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Drivers:

The Drivers are responsible for knowledge of the motor vehicle policy and ensure the vehicles are compliant with traffic laws, have valid insurance certificates/covers as well as inspection stickers as necessary.

The Drivers must have a valid driving license.

The Drivers must check the car conditions on each occasion before they drive or when being handed over by other drivers.

All vehicles will be fitted with GPS tracking devices to monitor location at all times; this is to ensure safety of both drivers and vehicles. The driver must inform the LC upon arrival and departure from official duty out of Nairobi.

The Drivers must key in the mileage in the mileage log sheets in the car at the end of any trip. This sheet must be signed by the passenger to acknowledge the trip.

The Drivers are also responsible for:

- Checking the vehicle conditions before use, reporting any mechanical defects.
- Making sure the car is clean.
- For parking the car in the office and returning the car keys at the end of each day.

COMMUNICATION

The LC will keep a diary for transport requests and allocation of cars.

The vehicle log will be used to report any mechanical defects and advice when service is due.

Any mechanical breakdown, faulty equipment, reckless driving, accidents or any observed incidents should be reported to the LC immediately. Such incidents will then be reported directly to the HOO and COO.

Any incident or hazard that presents an immediate risk shall be rectified immediately.

EQUIPMENT & RESOURCES

Emergency equipment and information will be kept in each car and these include:

Vehicle Information Kit which contains information on;

- What to do in the event of an accident or emergency
- Insurance details
- Emergency contact numbers
- Accident reporting procedures

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- Vehicle Log
- Fire extinguisher
- First Aid Kit
- Vehicle towing rope
- Life Saver
- Tool kit with basic mechanical tools
- Notebook and pen.

Carriage of Equipment and other moveable aids

Any equipment or other moveable objects which are likely to become dangerous within the vehicle in the event of a change in motion of that vehicle, should be:

- Stowed in the boot of the vehicle.
- Secured within the cabin of the vehicle.
- Transported in a separate vehicle.

AUTHORIZED DRIVERS

Health Strat vehicles are to be driven ONLY by permanently hired drivers OR designated staff members, namely – CEO, COO, and CTO who are competent drivers with clean valid driving licenses.

Before driving HS vehicles, drivers must ensure that they have a valid License free of any endorsements.

In instances where passengers complain about reckless driving, the matter will be reported in writing and addressed by the HOO.

All drivers will be required to advise of any changes that would affect their driving capability.

Vehicles are authorized to be driven between 6.00am and 6.00pm only.

An exit pass is prerequisite for trips over weekends/public holidays. Such authorization must be obtained in writing from HOO/COO.

MOBILE PHONES

It is the responsibility of the HOO to ensure that drivers are assigned official mobile phones and hands-free set. Drivers with mobile phones in their vehicle (which are not hands free) are not to send short text messages, make or answer any phone calls whilst the vehicle is in motion.

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The LC will ensure that all the vehicles are Compliant with local Traffic rules and have valid Insurance& Inspection stickers.

DRUG AND ALCOHOL USAGE

Health Strat has a zero blood alcohol and drug level criteria for any employee and visitor while on HS premises or while performing HS business. Random drugs and alcohol tests may be required from time to time if and when necessary.

Smoking in the vehicles is prohibited at all times.

FUEL CARDS

Health Strat may use Fuel Cards, which are **only** to be used when filling up the HS cars with Petrol and Diesel from Monday to Friday between 6.00am and 6.00pm.

The fuel cards can only be used for HS vehicles. Comingling of fuel cards is prohibited. Drivers will ensure that cars are always left with a minimum quarter of tank of fuel at all times.

Drivers must ensure that fuel cards are kept at a secure place in the car at all times and must notify the HOO immediately if the card is lost. Need for a recharge must be reported in good time and not when the card cannot be used to refuel.

The Drivers will refuel when vehicles are low in fuel (when the fuel gauge reads Quarter) and must keep the fuel slips safely in the car file.

Each card has a PIN number only known by the driver and the HOO. The PIN number must never be shared.

PARKING

Currently all HS cars are parked within the designated parking slots at Saachi Plaza (the main office premises) when not in use. Drivers are not authorized to drive the cars home at any point in time.

When the vehicles are out in the field, the drivers will ensure that they are safe at all times. Where security is not assured, the vehicles will be parked at the nearest police station.

Health Strat will procure seasonal parking tickets from the County Council to facilitate smooth operations.

VEHICLE SAFETY

Health Strat is committed to ensuring the safety and comfort of all its staffs and recognizes the essential function of passenger safety equipment. All passengers are required to wear seatbelts at all times while travelling in official cars.

The driver must not ignite the vehicle until all passengers have worn their seat belts.

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Drivers are required to ensure that seatbelts and all other safety equipment are in good working order, appropriate to the number of passengers and that they are fitted correctly.

VEHICLE EMERGENCIES

In all circumstances, the driver of the vehicle (unless they are unable) will take control during all vehicle or transport related emergencies. This includes the operation of any emergency functions of the vehicle. All staff members must receive training to understand the role of the driver in all emergency situations.

In the event of a medical emergency, the driver must proceed as follows:

- Stop the vehicle at the accident scene (unless it is unsafe for him/her to stop there)
- Inform the LC about the Accident immediately and give the exact location where s/he is parked.
- Assess the passenger's medical conditions
- Call an ambulance and apply First Aid where necessary
- Call Police Immediately.
- Call road side rescue service provider immediately for assistance.
- Don't move the vehicle unless instructed by a Traffic Police to do so.
- Record an official statement regarding the accident.

VEHICLE BREAKDOWNS

All vehicles owned by HS will have insurance inclusive of road side rescue services and these membership details will be located in each vehicle.

In the event of a mechanical breakdown, immediate action will be taken by the driver to minimize the danger to passengers and others to ensure their comfort and safety.

The driver will get in touch with the rescue services provider and request for assistance.

The LC shall be notified of the breakdown as soon as possible and kept informed of any developments.

MOTOR VEHICLE ACCIDENT PROCEDURES

In the event of a road traffic accident involving a HS vehicle, the highest priority is to ensure the safety of passengers. Minimizing risk to the general public and observing legal obligations are also important considerations. In view of this fact, the following procedures shall apply:

- Stop at once.

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- Ensure the vehicle is not posing a traffic hazard.
- Where an accident has been very minor and involved no other person or damage to Third Party Property, the vehicle should be checked for damage and/or roadworthiness before proceeding.

Where the accident is more significant:

- Confirm if the passengers are safe. Where necessary, contact relevant emergency services including ambulance
- Report the accident to the Police
- Get the names and addresses of all witnesses to the accident

No Health Strat team member shall admit liability for an accident or make statements or comments, which may be interpreted as an admission of liability.

If another vehicle is involved, a record of the following information should be obtained:

- The owners name, address and telephone number.
- The drivers' name, address, telephone number & the driving license details.
- The name of the Insurance company & obtain the Policy number.
- The make, model and registration number of the vehicle
- Contact the LC who will provide assistance.
- Photos of the accident scene if possible.
- Ensure that the accident is booked in the Police Occurrence Book and obtain a Police Abstract form.

Use of HS vehicles for non-official business is prohibited.

HEALTH STRAT STANDARD OPERATING PROCEDURES

INFORMATION COMMUNICATION TECHNOLOGY SOP

INTRODUCTION

Health Strat Kenya requires substantial investment in Information and Communication Technology (ICT) resources in order to facilitate its activities in Kenya. These SOPs are established to:

- Ensure Health Strat gets the highest return on investment
- Reduce business and legal risks
- Protect the computer resources
- Safeguard stored information and data
- Protect the good name of the organization and maintain good public image

PURPOSE

It is the intent of this policy to establish guidelines for the employees using Health Strat 's computing facilities, including computer hardware, printers, software, e-mail, Internet and intranet access, collectively called "Information Technology".

SCOPE

These procedures cover only computers, computer accessories, software and any other items collectively called Information Technology.

These SOPs will cover the following areas:

- End user support
- Computer maintenance
- Assignment of computers to staff
- Acquisition of new ICT equipment or software
- Data integrity and backups
- Security

End-user support service

User inputs requests via a helpdesk system, email or telephone.

Request is assigned to appropriate personnel.

User is contacted if more information is required to complete request.

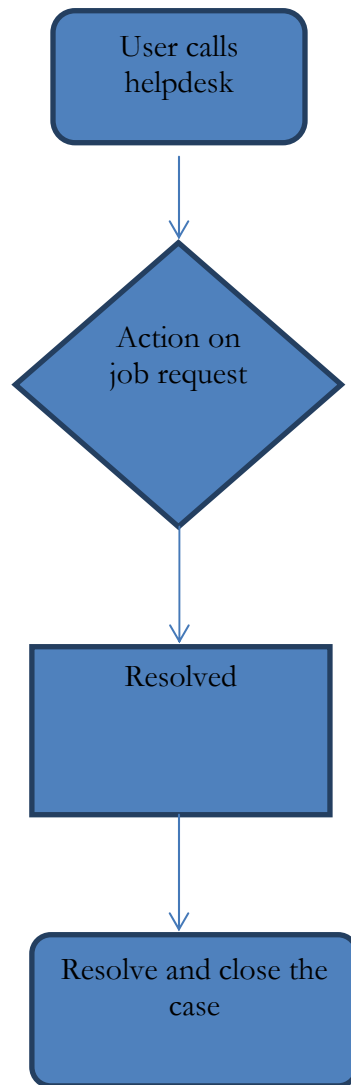
User is contacted with anticipated completion date.

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ICT staff completes the request.

ICT staff resolves ticket.

Flow Chart



CREATION AND TERMINATION OF USER ACCOUNTS AND EMAIL

Creation of User Accounts

The employee's supervisor/HOA sends an e-mail request to IT on or before the reporting date.

The IT office/administrator creates the email account and sends the details to the employee's secondary email address (personal email address).

The official structure of email is first-name-initial-second name in full@healthstrat.co.ke.

HEALTH STRAT STANDARD OPERATING PROCEDURES

Termination of User accounts and email account

IT office/administrator receives notification from supervisor/HOA specifying- if necessary- for how long the email account should be retained and to who mail should be redirected.

IT office/administrator removes user account and redirects emails to the specified staff.

SOFTWARE INSTALLATION

To ensure compatibility, engage the office of Information and Communication Technology early in the process of acquiring new technology for use on HEALTH STRAT systems and equipment.

Allowance of approximately three weeks should be made for completing compatibility study, and this study must be completed before any software installation can take place.

If there is a compelling need for software which does not run on our current network infrastructure, the office of ICT can assist the user in determining the cost of the system, which may include hardware, maintenance contracts and/or hosting services in addition to the cost of the software.

The office of ICT will not install software without appropriate licensing and the acquisition of such licensing.

- User submits an email request.
- User submits software where necessary to IT.
- Software is tested for compatibility.
- If software passes, it is deployed on the requested systems.

The default software that is installed on Health Strat's machines is:

- Windows Operating System (Windows 8.1)
- Kaspersky Antivirus Software
- Microsoft Office 2013
- Adobe Acrobat 9.0 Pro

ASSIGNMENT OF COMPUTERS

1. The supervisor submits an email request for a computer to be assigned to their staff.
2. ICT Administrator advises on the availability of the computer.
3. Staff fills and signs a request form for approval by IT.
4. ICT Administrator approves.
5. A computer is issued and the asset tracking form is given back to the inventory officer.

HEALTH STRAT STANDARD OPERATING PROCEDURES

ACQUISITION OF NEW ICT SOFTWARE AND HARDWARE

1. An email request is submitted to IT for the procurement of software or hardware.
2. ICT Administrator gives approval and specifications required on email.
3. The requester sends a procurement request to HOA with the approval attached.

DISASTER RECOVERY

Objective

To prepare a Backup procedure that ensures all backups are done as defined in the Backup Definition list and to ensure that there is a record of all backups taken for all types of information. This is the most crucial SOP to be carried out by Health Strat and it aims at maintaining Information in total integrity. It may be time consuming and it may be costly, but it is an insurance against data loss or corruption.

Risk

Not backing up the data on a regular basis will cause Health Strat to be exposed to loss of data and software items.

Scope

This procedure covers backup and restore of all files stored on the Health Strat servers and offsite cloud back-up.

Responsibility: While backup of the servers and the cloud is the responsibility of the ICT administrator, all staff is expected to perform weekly backups of their files to the drive configured for them.

Data to be backed up

Staff should backup all files created in course of their work form part of the digital assets of the organization.

These data should be backed up as follows:

- All-important organizational data is to be saved into “General Backup” drive. This should only include data for all office staff consumption.
- All departments and programs to back up their respective folders. These are Finance, Programs, QuickBooks, TACT, Microsoft Dynamics Navision, Aren payroll, Management and Operations drives will be backed up.
- The Compfix data backup cloud service will backup these folders to the cloud every day at 9:00PM for program folders and every two hours for Navision, Aren and QuickBooks.

HEALTH STRAT STANDARD OPERATING PROCEDURES

The backups should not include non-work related files or software.

Standard Operating Procedure for staff:

Arrange your work files into folders that are easy to backup.

Using a simple copy and paste operation, copy the files to drives configured for you.

Standard Operating Procedures for the ICT administrator

Consult the Backup Definition List on a regular basis to ensure that no backup is missed.

Backup Media

Ensure that there is available media for the backup well in advance of the backup itself. Complete the backup and fill in a register that has the following recommended columns:

1. Date and time of backup
2. Type of backup (Incremental, full, purge, Etc.)
3. Source data: describe it and its status
4. ID of the backup as per the Backup Definition List (Refer to the previous SOP)
5. Operator
6. Media type and label
7. Where the media is to be stored
8. Has restored testing been tried?
9. Result of restore testing
10. Remarks

Documentation and Deliverables

The backup register which can be a printed form

DATA SECURITY

PURPOSE

To define the minimum standards of data security, to guard against accidental loss of information.

SCOPE

This procedure applies to all the digital assets of HEALTH STRAT

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RESPONSIBILITY

While it is the responsibility of the ICT administrator to maintain security for all data stored on the server, all staff are responsible for the security of all data stored on their laptops.

Security Review Procedure

Data Security procedures for staff

Passwords for staff are set to automatically expire every 90 days.

All users should lock their laptops while going away from their workstations or laptops.

Staff should follow basic IT security best practices to ensure data on their workstations is safe.

All workstations and laptops should have an antivirus program installed which they should ensure is regularly updated at least once a week. Additionally, full scans should be done at least once a week.

Staff should allow Software updates to be applied to their systems. These are updates for the operating system and the software installed on their laptops or workstations.

Data Security procedures for ICT Administrator:

The ICT administrator maintains physical access control to the server room. The server room has two keys, one that is kept by the administrator and the other by COO.

The ICT Administrator:

- Shall be responsible for the key under his/her custody.
- Ensures Administrator level passwords are a minimum of 8 characters long.
- Enforces password expiration at least every 3 months.
- Ensures that users have unique and separate server accounts.
- Uses antivirus software to ensure that files saved to servers are not infected.
- Ensures that the primary administrator account is the only account with access to all files.
- Ensures that only approved and licensed software is installed on the server.
- Provides the capability to log all confidential file access.
- Uses authentication between servers, as well as client and server, when transferring confidential data.
- Performs incremental backup on a daily basis and full server backups at least weekly
- Produces archival backup copies at least monthly.
- Stores backup copies of critical enterprise systems in a protected, off-site facility

HEALTH STRAT STANDARD OPERATING PROCEDURES

ORGANIZATIONAL SECURITY

CCTV

Purpose

To define the operation, maintenance and access right to the CCTV system.

Access to CCTV

The organization has two (2) CCTV IP cameras with one installed at the office entrance and the second in the reception area. The ICT Administrator has full access to the CCTV system. This includes remote access to the recorded and real time images and change of settings.

The management team has access to only view the current and recorded images but cannot change the settings.

HEALTH STRAT STANDARD OPERATING PROCEDURES

INSURANCE AND RISK MANAGEMENT

PURPOSE

The purpose of the SOP is to describe the process for HS for managing risks through insurance as well as accounting for the insurance in the books of prime entry.

SCOPE

All insurable risks

PREREQUISITES

Reputable insurer, risk identification

RESPONSIBILITIES

COO and HOO

PROCEDURE

Insurance is a risk-management tool in which an insurance company (insurer) agrees to compensate another (insured) for loss or injury. The agreement between the insurer and insured is the insurance policy. Insurance covers loss of life, injury, damage to property, liability to others, and many other business interests.

The following is a list of HS insurance policies:

- Group Personal Accident
- Medical Insurance
- All Risks
- Fire Industrial
- Public Liability
- Fidelity Guarantee and Cash in Transit
- Burglary
- Motor Private
- Workman Injury

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- Terrorism
- Group Life
- Product Liability
- Employer's Liability and Directors and Officers Liability

RENEWAL

All of HS's insurance policies will be renewed annually. The HOO/COO is responsible for ensuring that insurance policies are timely reviewed and renewed.

All of the renewal information will be made available to our insurance broker, whose job it is to obtain the most appropriate coverage for HS at the most economical price.

CLAIMS

An insurance policy imposes certain contractual obligations on the insured. One of the most important of these obligations is to provide the carrier with prompt notice of a claim or of circumstances that come to the attention of the insured which may lead to a claim.

The claims for any losses related to property coverage's are processed by the HOO. It is essential that the HOO be notified as soon as possible of any potential losses.

The information required to support a claim is dependent on the type of claim being filed. HS will be advised of the information needed and asked to respond in a timely manner.

The insurance company may request additional information in connection with the claim that needs to be provided expeditiously.

Health Strat does not need to and should not wait for any potential reimbursement check, but should go ahead and repair the damaged asset, if the asset is needed for the program.

Once the determination is made on the claim, HS will be notified as to the outcome.

ACCOUNTING FOR INSURANCE

Repairs

If a vehicle or other asset is involved in an accident, or requires repair HS, through the HOO should submit the claim to the insurers.

If the cost of repair is not higher than the replacement value for any other asset and the asset is needed for the program HS should start repairs.

The cost of the repair should be coded to a miscellaneous receivable account.

When the insurance proceeds are received they should be credited against the receivable account,

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any excess or deficit should be expensed against the account that sustained the loss initially.

If an insurance claim is filed but HS does not repair or replace the asset then the funds received from insurance are recorded as general miscellaneous income.

Insurance Proceeds

This covers all proceeds received from insurance where the proceeds do not represent reimbursement of repairs. For donor funded assets and supplies that had been fully expensed all costs for replacing the supplies and other assets are to be charged to the miscellaneous receivable account. The deductible can be expensed against a donor.

Fixed Assets

Where the item was purchased under a grant or contract and has been included on the fixed asset register, the relevant donor must be advised that the asset has been stolen or damaged irreparably.

It is advisable that the treatment of insurance proceeds be dealt with on a case by case basis, some donors may allow HS to credit the proceeds against an expense account, and others may request that HS return the funds.

The insurance invoices are issued shortly after renewal. The finance department in HS reviews the invoices and once approved, the allocation calculations are made. The finance office must decide how frequently to expense the prepaid amount recorded. For example, the expenses could be recorded every month, or quarter. It is the responsibility of finance staff to record the expense into the appropriate account and reduce the balance in the prepayment account as the year progresses.

RISK MANAGEMENT

This is a process through which organizational risks are assessed involving risk identification, analysis, and profiling, quantifying and consolidating risks. The responsibility for overall risk management rests with the HS leadership, namely CEO, COO and CTO.

Risk Assessment

Risk Assessment involves identifying, analyzing, profiling, quantifying and consolidating risks. The COO must take the lead in carrying out Risk Assessments. Risk Assessments must be carried out annually, but reviewed periodically and proactively. The process of Risk Assessment must be well documented. The following activities form part of the Risk Assessment process.

HEALTH STRAT STANDARD OPERATING PROCEDURES

Risk Identification

Need to know whether likely perils are present and be aware of possibility of unlikely risks. This process involves:

- Physical Inspection
- Enquiries
- Brainstorming
- Checklists
- Benchmarking etc.

Risk Analysis

This involves the forecasting effects of a risk occurrence, to include all costs that may arise, be they financial or non- financial.

- Internal/ external conditions.
- Conditions resulting in risks.
- Trends & root causes.
- Event interdependencies.

Risk Profiling

Results from risk analysis are used to group risks into risk families and priorities for risk management. Example could be likelihood/ consequence matrix. The profile can then be used to set priorities for risk mitigation.

Risk Quantification

Risks that require more analysis are quantified, involving statistical calculations on probabilities, possible results/ losses, distribution estimates and confidence levels. From the analyses, frequency and chance of loss are determined, as well as quantification.

Risk Consolidation

Risk that has been analyzed and quantified is aggregated in order to:
Identify changes in risk as they occur.

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Enable regular risk monitoring by management.

Establish risk monitoring protocols.

Risk Response Strategies

These include the following;

- Acceptance - low likelihood, low consequence
- Transference – low likelihood, high consequence
- Reduction – high likelihood, low consequence
- Avoidance – high likelihood, high consequence
- Contingency Planning & Loss Control

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HUMAN RESOURCES

PURPOSE

The purpose of the SOP is to describe the process for HS for the administration of HR activities. Areas covered are recruitment, equal opportunity, probation period, personal information, performance management, code of conduct, discrimination, sexual harassment, health & safety, disciplinary procedure, grievances handling, relocation to re-assigned workstation, exit.

SCOPE

The SOP shall be used in all areas on Human Resources related to HS.

PRE-REQUISITES

Employee handbook, orientation schedule

RESPONSIBILITIES

The primary contact for the Human Resources related activities is the HOO.

RECRUITMENT

In order to insure that HS's employees are individuals of the highest caliber and diverse backgrounds, HS shall develop an appropriate recruitment, screening and selection procedure that will be consistent with the set goals and consistent with applicable regulations governing equal employment opportunity. The HOO will be responsible for providing recruitment and staffing services to HS. This includes all casual, contractual, consultant or permanent employment. All job positions should be openly competed and all applications reviewed by a panel which will chose qualified candidates to be interviewed. Recruitment for any positions requires that the Job description, Job specifications and Job grading are in place.

The following recruitment process should be followed:

Job Vacancy Form

In the event that a position falls vacant or a new position is created within HS, the respective supervisor must fill out a job vacancy form if and when they need this position filled. The form can

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be got from the HOO and MUST be duly signed by the HOO, HOF, PD and COO/CEO. The HOO will ascertain this position is justified, the HOF confirms availability of funding and the COO/CEO will provide authorization to recruit.

Job Description

In the event that the position is newly created, the supervisor must attach to the job vacancy form, a detailed job description about the position to guide the recruitment team on the qualifications required for the job.

Advertisement

Internal Advertisement: Existing HS Staff will be given an opportunity to apply for vacancies through internal job postings. These will be circulated on e-mail for a period of one week before they are advertised externally.

HS encourages employees to assume higher-level positions or lateral transfers for which they qualify. Generally, employees should have serviced in their job for at least one year before applying to be considered for a change in position. Preference shall be given to employees who qualify in the following ways:

- An employee has increased their skills and job potential to fit with the job vacancy.
- Education, past work experience, and experience gained at HS will be an added advantage.
- No employee shall be intimidated or discouraged from applying for a vacant position.
- Immediate supervisors will be notified of the application process should an employee be shortlisted for the job. This will be for the sole purpose of a recommendation and the recruitment and handing over process to the replacement.

External Advertising

- In the event that no suitable candidate is selected internally, the vacancy will then be advertised outside the organization in widely circulated publications and/or internet.
- The position must remain open for competition for a minimum of 2 weeks.
- After interviews, selections to fill the vacancies will be based on experience, skills, training, education and aptitude.

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Interviewing Panel

The interviewing panel must include the supervisor, technical staff, HOO and COO/CEO as considered relevant.

The Offer

After interviews have been successfully held, a written recommendation of offer for a position for the most successful candidate will be sent to the COO/CEO that also includes candidate CV and salary recommendations for the candidate.

The HOO will coordinate all paperwork and arrange an orientation schedule for new staffs.

If the employee is hired by a third party agency, the HOO will communicate with the agency and provide details regarding salary, start date and contact information. The third party agency will then contact the employee through the office of the CEO to initiate a contract.

All payments will be made on a monthly basis directly into the employee's bank account.

All documents related to the recruitment process for a specific position should be archived for at **least 3 years.**

A comprehensive HR log will be kept by the HOO and updated regularly.

Recruitment will be considered null and void if this process has not been followed and authorization was given by the CEO.

ORIENTATION

All new employees of HS will be provided with a mandatory orientation session within the first week of employment. The HOO will provide the employee handbook and SOP documents and discuss, explain or clarify to the employee any issues that are not clear. The employees' supervisor will also discuss the job description and work with the employee to come up with the performance development plan. The employee will be required to sign off on an orientation schedule confirming completing the process.

PROBATION PERIOD

A new employee will be issued with a probation contract for a period of three months and not exceeding six months. Any extensions of probation will be communicated to an employee in writing. After the lapse of the probation contract, an employee will receive a letter of confirmation. If a probationer's performance is not satisfactory so as to confirm the employee within that time limit, the services will be terminated. An employee may terminate the employment by giving notice of at least 14 days during this period.

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The immediate supervisor of the probationer will issue a written evaluation report to the HOO within two (2) weeks from the end of the probationary period defined in the Employment contract, with recommendation to confirm the employee or otherwise. The evaluation report will be discussed with the HOO or COO/CEO and a decision will be made to confirm, extend or terminate the services of the employee. An evaluation report may be raised and reviewed before the expiry of the probation period. It is the responsibility of the employee to make sure he/she is confirmed or otherwise at the end of the probation period.

COUNTER TERRORISM AND FRAUD POLICY

Any employee of Health Strat must be in compliance with, and shall continue during the course of his/her employment to be in compliance with, U.S. Executive Order 13224 on Terrorist Financing and U.S. laws that prohibit transactions with, and the provision of resources and support to, individuals or entities associated with terrorism. It is the legal responsibility of every employee to be in compliance with this Executive Order and U.S. laws.

Upon receipt of the employment contract, the employee will be required to certify that he/she is not presently excluded or disqualified from participation in this transaction by any U.S. Government department or agency. To that end, he/ she shall be required to sign a counterterrorism and fraud statement. In addition, Health Strat will run at least annually checks on the U.S. Department of the Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) List.

An employment contract is deemed to be in breach if it is determined that the employee has in the past, present or future failed to comply with the U.S. sanctions and embargo laws and regulations, or it is determined if its business partners are listed on the OFAC and SDN lists.

For any violation of this policy, Health Strat, in its sole discretion, may subject the offending employee to disciplinary action, up to and including immediate termination of employment and legal action.

EQUAL EMPLOYMENT OPPORTUNITY POLICY

Health Strat is an equal opportunity employer thus race, color, religion, sex, sexual preference, national origin, political affiliation, disabilities, age, personal appearance, family responsibilities,

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marital status or any other discriminatory factors will not be practiced. Other notable factors that will play a major role in the recruitment exercise will include education, work experience, skills and demonstrated expertise in the particular field. The organization will ensure that equal opportunity principles are applied in all its HR policies, and in particular to the procedures relating to the recruitment, training, development and promotion of its employees.

- The minimum qualification for any position within HS will be a first or bachelor's degree.
- A minimum of 3 candidates should be shortlisted for an interview if 3 or more candidate applications are received by the end of the 2 weeks application period.
- An interview outcome report should be prepared evaluating each candidate's performance.

PERSONAL INFORMATION

Personal information is required to ensure personal records are accurate. On the first day of employment, or during the induction period if longer, a new employee must bring or receive and complete the following items and hand them over to the HOO:

- Data Capture forms provided by the Company.
- Copy of employee's curriculum vitae, background checks/referee letters.
- Copies of academic qualifications and testimonials.
- The employee's letter of offer and contract signed by the employee and the CEO.
- Signed and current Job descriptions.
- The annual performance plan.
- Copy of National Identity Card/ Passport.
- Copy of National Social Security Fund (NSSF) Membership card.
- Copy of National Hospital Insurance Fund (NHIF) Membership card.
- Copy of Personal Identification Number (PIN).
- Copy of Driver's License (if required).
- Certificate of good conduct (if required).
- Names and particulars of next of kin/beneficiaries.
- Certified copies of marriage certificate, birth certificates/notification or adoption certificates of dependent children.

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During the course of employment, staff must advise the HR Department of any changes to personal details within two weeks of their occurrence.

RELOCATION/TRANSFERS

Based on the needs of the area as determined by the Head of Department, the department has the authority to transfer employees to positions within the department to maintain efficient and productive workflow and results. Should the relocation involve movement from one town to another, limited relocation expenses may be provided for if funds are available. Such costs must be approved by the PD and CEO/COO before relocation takes effect.

SEXUAL HARASSMENT POLICY

Sexual Harassment refers to unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature from an employer's representative or fellow employee when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, or
- Submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual, or
- Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.

Acts of sexual harassment include;

- Sexual assault
- Uninvited touching.
- Obscene jokes or comments.
- Making promises or threats in return for sexual favours.
- Obscene or pornographic email messages, images, items,
- Inappropriate or excessive comments on clothing or physical characteristics; and
- Unwelcome social attention or telephone calls at home or work.
- Use of sexually explicit language whether written or spoken.
- Uses visual material of a sexual nature.

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- Portraying physical behaviour of a sexual nature which directly or indirectly subjects the employee to behaviour that is unwelcome and that by its nature has a detrimental effect on that employee's employment, job performance or job satisfaction

Every employee working for HS is entitled to employment that is free of sexual harassment and management shall take steps to ensure that no employee is subjected to sexual harassment. Disciplinary action will be taken against any person under the employer's direction, who subjects any employee to sexual harassment. If a HS employee or supervisor or personnel officer knows of an incident of sexual harassment, they shall take appropriate remedial action immediately.

- Any employee who has a complaint of sexual harassment at work by anyone, including supervisors, co-workers or visitors, should first notify the harasser, clearly stating that his/her behavior is unappreciated, offensive or unwelcome and request that the behavior cease immediately.
- If the behavior continues, the employee must immediately report the matter to his/her immediate supervisor and request for assistance.
- If the immediate supervisor is the aggressor, the matter should be reported to the CEO/COO.
- The employees perpetrating the alleged sexual harassment will be investigated.
- If the alleged harassment involves any types of threats of physical harm to the victim, the alleged harasser may be suspended with pay.
- During such suspension, an investigation will be conducted by an ad-hoc committee which will thereafter avail the accused employee a hearing.
- If allegations of sexual harassment are proved, disciplinary action will be taken against the alleged harasser and may include termination.
- If the alleged victim is found to have misrepresented the facts of the case, they may be subject to disciplinary action, including termination.

Health Strat fully accepts the obligations placed upon it by the various Acts of Parliament covering health, safety and welfare. We recognize the importance of working in a safe, secure and healthy environment and are committed to doing the following:

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- Prevent and control workplace injuries and promote good health.
- Protect the health, safety and welfare of all our employees.
- Involve all employees in taking responsibility in their health and safety.
- Develop positive and strong attitudes and improve on our safety consciousness.
- Ensure continuous training of employees on health and safety.
- Educate employees on safety standards and requirements.

HIV/AIDS WORKPLACE POLICY

Health Strat is committed to maintaining a work environment that reflects inherent work and dignity of each person and is therefore responsive to workplace issues related to HIV/AIDS. HS promotes a workplace environment that encourages and supports HIV/AIDS prevention, care and treatment for all employees. Towards this end, HS will sustain an HIV/AIDS prevention program within the workplace; offer HIV/AIDS benefits to employees; promote awareness and enforcement of existing national legislation and HS policy against sexual harassment and adhere to non-discrimination practices in all employment consideration whatever a person's HIV status; respect an employee's confidentiality with respect to HIV/AIDS code of conduct.

Health Strat will strive to create a workplace environment in which employees living with and affected by HIV/AIDS can feel secure in their work and have access to appropriate benefits.

Health Strat encourages employees to fully understand HIV/AIDS and to use that understanding in both the prevention and, if necessary, treatment of the disease and support of co-workers living with HIV/AIDS and affected by the epidemic.

HIV infection and AIDS will be treated the same as other health conditions in terms of all employee policies and benefits, including health insurance, leave, job accommodations which may include temporary adjustment of work schedule or work load, and death benefits.

Health Strat will implement and comply with national employment laws and regulations of Kenya. When the law is in conflict with this policy, the Kenyan laws will prevail.

PREVENTION AND CONTROL

Health Strat is committed to a clean, safe and healthy workplace and environment. All aspects of our business are managed in a safe and environmentally responsible manner in accordance with the

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principles set forth in this policy. We believe these actions benefit our customers, donors, partners, employees and the public, both now and for the future, while improving the quality of the environment. Health Strat may establish a health and safety committee to steer safety function in accordance with the regulations of the Occupational Safety and Health Act (OSHA) No 15 of 2007.

COMMUNITY

As part of our Corporate Social Responsibility, HS will support and participate in the design, development and establishment of sound public policy and educational initiatives that protect human health and the environment. We will work with partners in creating responsible laws, regulations and standards to safeguard the community, workplace and environment. We will share with the communities our performance in the environmental, health and safety areas.

Training

Health Strat will provide training on fire-fighting, first aid, HIV/AIDS and any other initiatives that will protect and maintain the health and safety of HS employees and its environs. Through the Health and Safety Committee we plan to issue educational materials to all employees.

Audits

Occupational Safety and Health audits will seek to:

- Determine the existence of policy provisions for occupational health and safety services in the facility through:
 - Establish existence of the policy
 - Assess comprehensiveness of the policy
 - Assess implementation procedures for the policy.
- Describe existing occupational health and safety practices in the facility.
- Plant and equipment safety – design, guarding
- Work environment i.e. dust conditions, chemical exposure, noise, personal protective equipment etc.
- Training of personnel in occupational health and safety, first aid etc.
- Plant inspection practices e.g. frequency, quality, follow up etc.

A safety practices checklist will include (but will not be limited to);

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- Technical and electrical equipment
- Internal lighting and ventilation
- Sanitary provisions
- Workers' training
- State of floors- e.g. slippery
- Personal Protective Equipment (PPE) provision
- Housekeeping
- Safety Equipment

PROMOTION/DEMOTION

Health Strat may consider a revision of an employee's grade level as a result of a significant change in responsibilities, job assignments or responsibility. Promotions will only be given subject to an existing vacancy or a new position being created within HS – the vacancy will be advertised internally to encourage and enable employees suitably qualified to apply. All successful internal applicants will undergo a transparent and competitive selection process. Promotions will be reviewed by the employee's direct supervisor and recommended for approval by the CEO/COO. An employee may be required to take on slightly more responsibilities which may not warrant a promotion. Promotions will only be given to employees who have demonstrated consistent exceptional performance in their duties and have the qualifications, skills and competence to perform in the higher grade level. An employee who is promoted to a higher salary grade will be placed on the starting point of the new grade or a higher level salary as determined by HS.

CAREER DEVELOPMENT

Health Strat is committed to career development of its employees at all levels and categories. Efforts are made to enhance knowledge and skills of employees to improve their performance and to broaden their career paths.

DISCIPLINARY PROCEDURE

Health Strat will ensure that its employees know what is expected of them and what could happen if they infringe the organizations policies and procedures. The organization will treat employees in accordance with the principles of natural justice.

Disciplinary action taken will be fair and consistent and applied only in a case where good reason and or evidence exists. The action taken against the employee will be appropriate to the nature of

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the offence that has been committed.

During a disciplinary procedure, an employee will have the right to be accompanied by a fellow employee or witness where the employee will be told of the exact charge being made against them and given the chance to respond to those charges.

In the event that disciplinary action is taken and the employee is not justified with the verdict, they will have a right to appeal. An **appeal** is the process of requesting a formal change to an official decision or verdict.

Disciplinary Procedures include:

- *Formal Procedures* i.e. warning letters, suspension, demotion, dismissal
- *Informal Procedures* i.e. verbal warnings
- *Disciplinary Committee* including but not limited to immediate Supervisor, Heads of Department, Chiefs.

Verbal Warnings

This is given for minor offences and is administered by an employee's immediate manager.

A maximum of two verbal warnings should be issued after which a written warning is put in place.

Warning letters

This is a written document that is given for serious or repetition of minor offences. It will state the exact nature of the offence and indicate any future disciplinary action if the offence is repeated. A warning letter will be issued by the immediate supervisor.

Warning letters are to be drawn in duplicates; one is issued to the employee and the other to be put in the employee's file.

When issued with the warning letter, the employee should read and sign the letters in the presence of the manager and a HR Personnel.

An employee will be summarily dismissed if without just cause they refuse to sign a warning letter issued to them for an offense committed.

Procedure for Warning

An Employee whose work or conduct is unsatisfactory or who otherwise commits a misconduct which, in the opinion of Health Strat, does not warrant instant dismissal shall be warned in writing and the following procedure shall apply:

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- (a) The first and second warnings shall be entered in the Employee's employment record;
- (b) If an Employee who has already received two warnings commits a third misconduct he shall be liable to summary dismissal. Notwithstanding, the summary dismissal shall be in accordance with section 41 of the Employment Act.

Provided that where an Employee completes 292 working days from the date of the second warning without further misconduct any warning entered in his employment record shall be cancelled

Suspension

Suspension is carried out by an employee's immediate supervisor in consultation with the HOO and CEO/COO. It is used when a case against an employee is pending further investigation prior to reinstatement or dismissal.

When an employee is sent on suspension, they will not be paid for the days they are absent from work. However, should the investigation acquit the employee, they will be paid the number of days they were absent from work.

Dismissal

This can either be given by notice or summarily by the CEO/COO in consultation with the supervisor, HOO, PD or HOF depending on the gravity of the offense. Summary dismissal is the immediate termination from employment without notice for gross misconduct by an employee. The following deeds will lead to summary dismissal from the company:

- Any material breach of the terms of the employment agreement or employee handbook;
- Any dishonesty or theft;
- Bankruptcy or insolvency arising from debt
- Behaviour that is likely to bring the employee or Health Strat, into disrepute;
- Falsification of Health Strat records;
- Wilful damage of Health Strat property;
- Any acts of violence, threatened violence or harassment against another person whilst in the course of duties for Health Strat.
- Consumption of alcohol and/or other illegal substances/drugs during official Health Strat business or on HS premises.
- Wrongful and unauthorized disclosure of Health Strat confidential information

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- The inappropriate use of electronic media, including computers and internet.
- Absence from work without official leave or permission or any other lawful cause.
- Wilful neglect by an employee to perform the official duties.
- Insubordination.
- Use of abusive or insulting language or behaviour in a manner insulting to the person placed in a position of authority or peers and colleagues.
- Arrest of an employee for a cognizable offense and incarceration for more than 14 days.
- A criminal offense against or detrimental to HS or its property.

Appeal

An employee may appeal against a warning letter, suspension or dismissal. The appeal hearing will involve the employee, fellow employee or witness, a HR Personnel and a senior manager.

Appeals against summarily dismissal will be held immediately whereas appeals against dismissal by notice will be held within five days.

GRIEVANCE HANDLING PROCEDURE

“Grievance” implies a sense of loss and unhappiness. A grievance therefore is any concern arising out of such matters as working conditions and relationships with supervisors, other employees, and officials, including allegations of coercion, reprisal or retaliation. Such concerns will be handled by a Grievance Committee including but not limited to immediate Supervisor, Heads and Chiefs as relevant.

ALL employees of HS have a right to raise their grievances with their immediate manager. It is the duty of the manager to try and resolve the issue or escalate it to senior management. This has to be done within five working days from the day it is received by the manager.

If after five working days there is no resolve, an employee has the right to escalate their grievance to the Grievance Committee as relevant who should work to resolve the issue within ten working days from the time it is reported to them.

In the event where an employee has a grievance pertaining to their immediate Supervisor, they are advised to escalate their issue directly to the CEO/COO.

An employee will also have the right to be accompanied by a fellow employee of their choice or witness, if they so wish when appealing or raising a grievance.

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LEAVE AND PUBLIC HOLIDAYS

Health Strat observes standard leave days and holidays and provides all full-time employees time off with pay at their normal base rate unless otherwise specified. Please note that holidays falling on a Sunday are normally observed on the following Monday.

Employees shall apply to their supervisors for leave by filling in the leave application form provided by the Administration office, clearly indicating the dates they wish to take leave. Approval shall be given before such leave is taken.

By the end of the second quarter in any given year, employees are expected to utilize all accumulated leave from the previous year; failure to which such leave will be forfeited.

At the point of termination of a contract, an employee shall be entitled to his/ her leave pay by either taking leave for some days or obtaining payment in lieu of, for the balance, or both. If the employee has taken more days than the accrued leave entitlement, the difference may be recovered from his/her terminal dues.

Every fulltime employee shall be entitled to 24 working days as annual leave with full pay at the basic salary rate. Annual leave shall accrue at the rate of approximately 2 days per month.

Gazetted Public Holidays

New Year's Day	Good Friday	Easter Monday
Labor Day	Madaraka Day	Mashujaa Day
Eid El Fitr (1 day)	Jamhuri Day	Eid El Haj
Christmas Day	Boxing Day	

Maternity Leave

Female employees shall be entitled to three months maternity leave with full pay. The employee will be required to submit to the HR Department a doctor's certificate declaring pregnancy and expected date of delivery. Such confirmation must be submitted within the first trimester of the pregnancy.

An employee who exercises this right will not forfeit their annual leave.

Should an expectant employee be affected by the pregnancy, they may apply for temporary transfer to a less strenuous or hazardous position or duties if the transfer is medically necessary and the transfer can be reasonably accommodated.

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Paternity Leave

Male employees working for HS will be entitled to two weeks paternity leave with full pay.

An employee seeking such a leave will be required to present proof of the biological relationship and a doctor's certificate confirming the maternity status of his wife to the administration department. In this regard, it is clarified that in the case of a male employee with more than one wife, he will be entitled to paternity leave only in respect of the wife registered in the National Health Insurance Fund (NHIF) contributor's card and such leave shall be taken within four weeks after the wife's delivery. Paternity leave not taken during this period will be forfeited. Paternity leave will not be accrued or paid in lieu.

Sick Leave

An employee who is unable to work due to sickness must notify his/her supervisor and HOO within six hours of such disability.

Application for Sick leave must be completed as soon as practicable attaching a sick leave certificate. It must be approved by the supervisor and filed with administration.

If the Employee is absent from work due to sickness or injury, the Employee must provide a duly signed certificate of incapacity covering the period of sick leave to the HOO through his/her immediate supervisor.

An employee shall be entitled to sick leave of not less than thirty days with full pay and thereafter to sick leave of fifteen days with half pay, in each period of twelve consecutive months of service. Beyond that the employee will be presumed incapacitated and the employment contract shall be terminated.

An employee who is absent from work and does not present a duly validated sickness absence form shall not be paid for that day or any subsequent days the employee is absent.

Exam Leave

An employee will be entitled to exam leave of up to a maximum of Ten (10) working days in one calendar year for the purpose of writing examinations. The prerequisite to such approval will be that the employee has notified their immediate supervisor of the course that they are undertaking by providing a confirmation of admission for the said course.. Exam Leave will be approved against a

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leave form attaching a duly certified exam card clearly indicating institution, name of employee and specific exam dates for which the employee will be sitting irrespective of the timings during which the exam will be sat, but excluding weekends. Exam Leave applies to programs approved by Health Strat only.

Compassionate Leave

In the event of an employee's own/legal child's wedding or on loss of spouse, same parent sibling, legal child, or a parent (biological/adoptive father or mother), completion of adoption process to allow for rooming-in with adopted child of up to 5 years old, sickness of a spouse, parent or child requiring that the family member is cared for - the employee will be granted up to five (5) days compassionate leave at any given time and a maximum of fifteen (15) working days as compassionate leave per annum. Documentary evidence will be required in order to award such compassionate leave.

Leave Without Pay-LWOP

Health Strat will allow a maximum of 60 work days as leave without entitlement to compensation to employees who have served a minimum 3 years in HS. The employee may not take LWOP to carry out consultancy assignments or outside business activities with organizations that are involved in similar nature of business as Health Strat or seek to do business with the company, including actual or potential vendors or customers or are in violation of provisions of law or the Company's policies or rule. Approval for LWOP must be received from the CEO/COO.

PERFORMANCE MANAGEMENT

This is concerned with improving the HS employees' individual and team performance. It is a continuous self-renewing cycle which delivers sustained success within an organization through improving the performance of individual employees. Health Strat shall provide an objective and equitable performance review geared towards improving and maintaining employee development and excellent performance. Written performance evaluations shall be administered bi-annually. The performance evaluation form shall be completed first by the employee and sent to the immediate supervisor/manager who will also review then rank the supervisee's performance. The performance evaluation cycle begins on January 1 and ends on December 31 of each calendar year.

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Performance Appraisal

Performance appraisals are regular reviews of an employee's performance within the organization. Formal performance evaluation will be carried out bi-annually. The semi-annual review will be used to review half year performance and determine in advance any gaps in performance to give an employee support in rectifying negative performance. Health Strat adopts the practice of no-surprises during the annual review process.

A Supervisor or Manager who fails to take ownership for each one of his/her staff's performance process without justifiable cause commits a misconduct and may be liable to a disciplinary measure. The appraisal form shall be completed and discussed by the supervisor/manager and the employee. Performance Evaluation and performance development plan must be completed by December 31st. This means that the performance discussions must occur and the employee, supervisor and the next level reviewer must sign the form. Failure to complete an evaluation in good time may affect the award of merit increases to employees.

Questions about the Performance Management System or requests for assistance with the process should be directed to the HOO under whose office the HR function resides.

Purpose of Appraisals

The aim of a performance appraisal is to:

- Give feedback on performance to employees
- Identify employee training and development needs
- Document criteria used to allocate organizational rewards
- Form a basis for personnel decisions: salary increases, promotions, disciplinary actions etc.
- Provide the opportunity for organizational diagnosis and development
- Facilitate communication between the employee and supervisor

During the beginning of HS fiscal year and Performance Cycle

A formal meeting is scheduled between employee and supervisor.

For new employees, the supervisor comes up with clear performance and development goals, related to the employee's job description and how these will be evaluated at the end of the performance cycle.

For existing employees, review and rating of the preceding period's performance achievements shall

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be done in a professional but candid manner. The comments section will be used to justify the rating and suggest ways of improving performance.

The overall rating will be used to determine the award of merit increase.

If an employee's performance rating is unsatisfactory, a performance improvement strategy will be clearly outlined.

During the Performance Management Cycle

A bi-annual review/feedback meeting will be conducted to also serve as a coaching/mentorship session.

Update of performance expectations and objectives as necessary.

Establish a development/action plan, if needed, to assist with achieving expectations and objectives for the annual review.

End of Performance Management Cycle

Evaluate performance based on the performance expectations and objectives then document performance in the official HS Performance Matrix. Consider performance during the entire performance development cycle. This discourages excellent performance towards the review date to compensate for laxity early in the period of evaluation. Discuss the supervisor rating with the employee and establish training and development plans for the next performance management cycle. If the supervisor and employee are in agreement with the review rating, print out the appraisal form for both employee and supervisor signatures and dates on the designated section.

Forward original completed PMS form to the CEO/COO for signature then to HOO for filing.

In case of a misunderstanding between the employee and supervisor, the CEO/COO will be approached to chair a meeting to discuss the evaluation and mediate; the revised evaluation form will then be signed. In case the employee is still not satisfied with evaluation results, they will register their concern by a comment on the evaluation form.

Coaching

Guidance will be provided to all supervisors as part of their on-job orientation and this should be followed through the process.

Coaching is intended to help the employee improve job skills and ultimately performance.

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Coaching requires that both the supervisor and the employee are equal participants and that the needs of the employee relative to job requirements are the guiding principle. Coaching should be targeted to achievement of specific job deliverables but can also include general performance issues. As a minimum, the coaching session should be held mid-way through the performance management cycle (three months) at least twice a year. The supervisor can however, choose to hold more than one coaching session for a specific employee that would benefit from additional coaching.

During the Performance Development Cycle:

Conduct mid-cycle feedback/coaching meeting.

Update performance expectations and operational objectives as necessary.

Establish a development/action plan, if needed, to assist with achieving expectations and operational objectives.

TRAINING POLICY

HS will have access to valuable trainings as part of technical assistance and continued capacity strengthening for its staff. The policies in this document are intended to maximize the effectiveness of the trainings through standardizing the processes of initiation, authorization, coordination and evaluation of all training activities. Adherence to the policies and procedures will ensure that training activities are coordinated to maximally meet the needs of the organization utilizing the resources available.

The following are some of the trainings for which employees will be encouraged to participate in:

- Internal, Continuing Professional Development (CPD) and retreats.
- Centralized or site level trainings
- Externally Facilitated Trainings

Authorization:

Trainings will be approved on a case-by-case basis.

Written approval/disapproval will be communicated by the CEO.

Depending on the investment and desired impact made in training an employee, HS may decide to bond the employee for duration of not less than 2 years.

HEALTH STRAT STANDARD OPERATING PROCEDURES

Evaluation

All training activities undertaken by HS employees must be evaluated. Direct supervisors will be responsible to monitor outcomes of the training on a day-to-day basis on the 4 level Kirkpatrick Criteria:

- **Reaction criteria** – related to the question of how employees liked the training and how much they believe they have learned during its realization. Based on this criterion, the evaluation is carried out so that at the end of the training participants fill out a questionnaire.
- **Learning criteria** – refers to what the students have learned during the training and what kind of knowledge and skill set they are able to demonstrate after it.
- **Behavior criteria** – related to changes in the behavior of employees shown after completing the training.
- **Result criteria** – related to the question of whether the training achieved the desired results, and whether the results of the training will lead to an increased productivity and improved performance of employees.

Reporting

All training activities will conclude with an implementation plan to be submitted within 2 weeks of concluding the training. The supervisor will use the implementation plan to evaluate the impact of the training. It may also be necessary for a CPD session to be organized during which the employee will disseminate the best practices learnt in the course of the training.

EXITING HEALTH STRAT

This policy will help guide the exit of an employee from HS and covers transfers, voluntary retirement, resignation and dismissal.

Resignation/Termination

Employees who choose to terminate their employment with the company should notify the HR Department in writing (Resignation Letter). The resignation letter must be acknowledged by the supervisor and/or HOO.

In the case where an employee is terminated by HS they will be issued with a letter of termination OR notice for termination as stipulated in the Kenyan Labor Laws.

HEALTH STRAT STANDARD OPERATING PROCEDURES

The employee will be required to serve the notice period as stipulated in their employment contract
Unless in the case of summary dismissal, HS will give the notice stipulated in the employee's contract

Clearance

As soon as the company knows an employee is leaving, the IT Department must be notified of the date and time on which to disable the employee's access to biometrics, computers, telephone systems and office e-mails.

An employee MUST surrender to their supervisors all passwords and other information pertaining to accessing computer files.

An employee MUST return all keys, staff/access ID, company books and materials, computers, cell phones and any other company-owned items, as per the Asset Allocation record.

An employee will also clear with the HR Department and verify their terminal dues, less any money the employee might owe the company.

Exit Interview

Any time an employee is terminated or leaves the organization, the supervisor and /or HOO must be notified. Employees who are leaving are required to participate in a confidential exit interview with the Operations Department (the discussion of which will be captured on an exit interview form). All information gathered is confidential and is reported periodically in summary form. Exiting employees should remember that sharing company confidential information or trade secret will lead to the company taking legal action against such an employee.

Terminal Dues

This comprises of:

Pay for the days worked in the month of departure

Payments for any annual leave due

Payments of any per diems due

Written notice or payment of one month's wages in lieu of notice

The exiting employee will be given a certificate of service

**ANNEXES
FOR THE PAYROLL FILE EMPLOYEE DETAILS**

NAME OF EMPLOYER _____

EMPLOYEE'S NAME _____

DATE OF BIRTH (DD/MM/YYYY) _____

* ID NUMBER/ALIEN
CERTIFICATE NUMBER _____

* PIN CERTIFICATE NUMBER _____

* NHIF REGISTRATION
CARD/NUMBER _____

* NSSF MEMBERSHIP NUMBER _____

HELB LOAN: Have you ever received a HELB Loan? Yes/No _____

(If loan is cleared attach clearance Certificate, if not cleared attach latest statement from HELB*)

DATE OF EMPLOYMENT _____

MARRIED/SINGLE _____

WIFE'S/HUSBAND'S NAME _____

WIFE'S/HUSBAND'S ID NUMBER
ALIEN CERTIFICATE NUMBER _____

NEXT OF KIN _____

REMITTANCE OF SALARY:

BANK NAME AND ADDRESS _____

BANK BRANCH _____

ACCOUNT NUMBER _____

PERSONAL ADDRESS _____

EMAIL ADDRESS _____

SIGNATURE: _____ DATE: _____

*PLEASE ENCLOSE PHOTOCOPIES



EMPLOYEE PERSONAL DATA UPDATE FORM

PERSONAL DETAILS	
Staff No.:	
Surname:	
Other Names:	
National ID No.	
Mobile Phone No.	
Email Address	

STATUTORY INFORMATION	
NHIF No.	
PIN No.	
NSSF No.	

BANK DETAILS (indicate bank account to which your current salary is remitted)	
Bank Name:	
Bank Branch Name:	
Town:	
Account No.	

Signature

Date: _____

PLEASE PROVIDE A MAP AND ACTUAL LOCATION OF YOUR RESIDENTIAL AREA BELOW. THIS IS A REQUIREMENT AS A STANDARD DOCUMENT TO BE MAINTAINED IN ALL PERSONNEL FILES

DETAILS OF LOCATION

Road/Street:

House Number:

Estate/Region:

Sub-County:

County:



EXIT INTERVIEW FORM

Employee Name _____ Date of Exit _____

Job Title (at time of exit) _____ Department _____

1. What are your primary reasons for leaving?

2. What do you find most satisfying about your job?

3. What did you find most frustrating about your job?

4. Would you consider returning to this company in the future?

5. Is there anything the company could have done better in your opinion/that would have prevented you from leaving?

Employee Comments:

Interviewer Comments:

Employee Signature_____

Date_____

Interviewer's Signature_____

Date_____

Employment Application Form

EMPLOYMENT HISTORY				
Name of Employer	Job Title	Period		Total Monthly Salary
		To	From	

PROFESSIONAL REFERNCES	
Full Name	Full Name
Address	Address
Telephone	Telephone
Email	Email
NEXT OF KIN	DETAILS OF SPOUSE (Attach marriage certificate/other relevant document to show proof of union)
Full Name	Full Name
Relationship	Date of Birth
Address	Address
Telephone	Telephone
Email	Email
	No. of Document (Marriage Cert)

DETAILS OF CHILDREN IF ANY (Attach Copy of Birth Certificate/Notification/Adoption – proof of parentage)

Name	Date of Birth	Birth Certificate No./Notification of Birth

DECLARATION
I confirm that all the information included on this form is complete and true
Applicants Signature Date

Note
 Photocopies of certificates/documents must be attached to this application
 The applicant may be required to present original certificates for authentication.
 An additional sheet of paper may be used to avail additional details where the space provided is limiting

HEALTH STRAT MONTHLY TIME & EFFORT SHEET

Staff Number:
Site/Work Location:

Name:
Job Title:
Reporting Month/ Year:

Cost Center/ Project	Description	Total Hours	% for month	Day																																
				1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31		
		45	100%	0	0	0	0			0	0	0			0	0	0	0	0			0	0	0	0	0	0	0	0	0	0	0	0	0		
		0	0%																																	
		0	0%																																	
Sub-Total Hours Worked		45	100%	0	0	0	0	0	0	0	0	0			0	0	0	0	0			0	0	0	0	0	0	0	0	0	0	0	0	0		
Sick Leave		0	0%																																	
Annual Leave		0	0%																																	
Holidays		0	0%																																	
TOTAL HOURS		45	100%	0	0	0	0	0	0	0	0	0			0	0	0	0	0			0	0	0	0	0	0	0	0	0	0	0	0	0	0	

I confirm that the above report is a fair representation of the effort and time spent in carrying out HS's mandate

Employee Signature:

Supervisor Approval:

Date:

HUMAN RESOURCE REQUISITION FORM

Purpose: This form is to be used by the department to fill in a vacancy

Position Information

Title of Position Being Requested:	<i>(Attach Job Description)</i>		
Funding Source:		Budget Code:	
Date Position Must be Filled:			
Recruitment Type	<input type="checkbox"/> New Position		<input type="checkbox"/> Existing Position
Suggested Recruitment Process	<input type="checkbox"/> In House	<input type="checkbox"/> Transfer	External
Terms of Contracting	<input type="checkbox"/> Full Term		<input type="checkbox"/> Short Term

Signature of Requester/Date

Signature of Department Head/Date

Financial Approval:

Head of Finance Signature

Date

Position will be posted on _____, and will close on _____

Authorising Approval: _____

Chief Executive Officer

Date

To be filled by Head of Administration

No. of Applicants _____ Applicants' Interviewed _____

Applicants Hired _____

Head of Administration, Signature

Date

**HEALTH STRAT
LEAVE REQUEST FORM**

NAME:	TYPE OF LEAVE: Specify Annual/Compassionate/Maternity/other
JOB TITLE:	WORK STATION:
CURRENT LEAVE APPLIED: No. of Days	LAST LEAVE TAKEN: No. of Days
From:	From:
To:	To:
Date of Resuming Duty:	
Employee Signature:	
Date:	

TO BE COMPLETED BY HUMAN RESOURCE DEPARTMENT

Annual Leave Entitlement:	
Leave Balance from Previous Year:	
Leave Earned to Date:	
Leave Utilized to Date:	
Leave Days Applied for now:	
Annual Leave Balance Carried Forward:	
Signature: _____ Date: _____	
Contact Details While Away	Approval
Telephone No. _____	1. Site In-Charge/Direct Supervisor
Cell Phone No. _____	Signature _____ Date _____
Postal Address _____	2. Head of Department
	Signature _____ Date _____