



KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No:00

Issue No:01

SOP FOR ARCHIVING

SOP/KEPHIS/HC/06

Issued by: 

Human Capital Officer

Date...31/08/2022.....

Approved by: ... 

For: Deputy Director – Human Capital

Date.....31/08/2022.....



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1.0 Purpose

To ensure control of corporation records that are no longer used regularly and secured for long-term retention, reference, regulatory compliance and increased security.

2.0 Scope

This procedure describes the process involved from receipt of corporate records to disposition.

3.0 References

- 3.1 KEPHIS Records Management Policy
- 3.2 National Archives Policy Manual
- 3.3 ISO 9001:2015 standard
- 3.4 ISO/IEC 27001:2013 Standard
- 3.5 Relevant statutory and regulatory requirements

4.0 Definitions/Acronyms/ Abbreviation

- 4.1 MD – Managing Director
- 4.2 DD – Deputy Director

5.0 Responsibilities

All Deputy Director-Human Capital/DD-Regional Offices shall be responsible for implementation of this procedure.



6.0 Schematic Representation

Registry Operations							
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Resources	Risks	Checks/Controls
- Departments - Stations	- Closed Files - Obsolete records	- Receiving - Access and Retrieval - Disposition	Records	- Departments - Stations - other interested parties	- Staff - Stationeries - Cabinets - Finances - ICT infrastructure	- Disclosure of confidential information - Loss of documented information	- Sensitisation of staff - Restricting unauthorised entry to archives - Use of document movement registers

7.0 Procedure

7.1 Receiving

- 7.1.1 The records management officer receives and registers the incoming records in the incoming archives register.
- 7.1.2 The officer then transfers the records in the subject file to a box file.
- 7.1.3 The officer cuts the front page of the subject file and attaches it to the inner cover of the box file.
- 7.1.4 The officer then slots the box file in the respective location in the cabinet and updates the master list.

7.2 Access and Retrieval

- 7.2.1 The records management officer receives a request for access to records.
- 7.2.2 The officer refers to the master list for verification of file location.
- 7.2.3 The officer issues the file to the requesting officer who in turn signs the document movement register. (An officer is allowed to retain a subject file up to a maximum of seven (7) days).
- 7.4.4 Upon return of the file the



officer receives and records the date of return in the document movement register and slots the file in the respective location.

7.3 Disposition

- 7.3.1 The records management officer prepares a list of all records due for disposal as per KEPHIS Records Management Policy and forwards it to the managing director for approval of disposal.
- 7.3.2 Upon approval, the officer drafts a letter to the Kenya National Archives through the managing director's office informing of the intent to dispose.
- 7.3.3 The officer then prepares a draft budget of the requirements for disposal based on the response received.
- 7.3.4 The officers agree on an appropriate date and supervise the disposal process.
- 7.3.5 The officer prepares a back to office disposal report and forwards it to the managing director.
- 7.3.6 The officer then updates the master list.

8.0 Records

- 8.1 Incoming archives Register
- 8.2 Document Movement Register
- 8.3 Master List



9.0 Review Details

REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER



KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No:04

Issue No:01

SOP FOR REGISTRY OPERATIONS

SOP/KEPHIS/HC/05

Issued by:  ...

Human Capital Officer

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for: Deputy Director – Human Capital

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1.0 Purpose

To ensure control of corporation records and documents during reception, registration, distribution, access, retrieval and storage.

2.0 Scope

This procedure describes the process involved from receipt of corporate documents to storage.

3.0 References

- 3.1 KEPHIS Records Management Policy
- 3.2 National Archives Policy Manual
- 3.3 ISO 9001:2015 standard
- 3.4 ISO/IEC 27001:2013 Standard
- 3.5 Relevant statutory and regulatory requirements

4.0 Definitions/Acronyms/ Abbreviation

- 4.1 MD – Managing Director
- 4.2 DD – Deputy Director
- 4.3 GP 50 – Government Printer Inward Register

5.0 Responsibilities

All Deputy Directors shall be responsible for implementation of this procedure.



6.0 Schematic Representation

Registry Operations							
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Resources	Risks	Checks/Controls
- Departments - Stations - Other Agencies - External Clients	- Letters - Emails - Memos - Booklets - Circulars	- Receiving - Registration - Distribution - Access and Retrieval - Storage	Records	- Departments - Stations - Other Agencies - External Clients	- Staff - Stationeries - Cabinets - Finances - ICT infrastructure	- Disclosure of Confidential information - Loss of documented information - Alteration of documented information	- Sensitisation of staff - Restricting unauthorised entry to registry - Use of document movement registers

7.0 Procedure

7.1 Incoming Correspondence (Receiving)

7.1.1 The responsible officer receives, stamps and registers the incoming correspondence in the incoming register and forwards it to the MD/DD for action.

7.1.2 The responsible officer sorts and registers the actioned correspondence from the MD/DD in the document movement register for distribution to the relevant action officers/ registry.

7.2 Registration

7.2.1 The registry officer receives the actioned documents from other departments/ offices for referencing.

7.2.2 The officer then records the correspondence in the GP 50 register.



7.2.3 The officer sorts the documents and files in the respective files indicating the next folio number in red at the right-hand corner of the correspondence.

7.3 Distribution

7.3.1 The responsible officer registers the un actioned correspondences on the file cover indicating the date, folio number and name of the action officer. However, the MD/DD may forward the correspondence directly to the action officers in cases of urgency or confidentiality.

7.3.2 The officer then registers the file in the document movement register (subject or personal file register) for distribution to the relevant action officers.

7.4 Access and Retrieval

7.4.1 The registry officer receives a request for access to records. (Only subject files can be accessed by other officers without prior approval. Personal files can only be accessed with approval from DD-Human Capital/ DD-Regional Offices).

7.4.2 The officer refers to the file index (master list) for verification of file location.

7.4.3 The officer issues the file to the requesting officer who in turn signs the document movement register. (An officer is allowed to retain a subject file up to a maximum of 30 days).

7.4.4 In the event the registry officer notices misfiling of documents/records during retrieval, the officer shall transfer the document(s) to the correct file. He/she replaces the transferred document with a blank paper indicating the title/subject of the document transferred and retains the original folio number of the transferred document. The officer then signs and indicates the date of transfer on the blank paper.



7.4.5 The officer will give the transferred document the next folio number in the correct file and file accordingly.

7.5 Storage

- 7.5.1 The registry officer ensures that all the correspondences received in the registry are filed in the appropriate subject/ personal files and stored in lockable cabinets/registries.
- 7.5.2 When a subject file is full and action on it has been finalised the registry officer retires the file by diagonally crossing two lines on cover and indicating '*closed*', last folio number and date of closure.
- 7.5.3 The officer registers the closed files in the document movement register and transfers the closed files to archives.
- 7.5.4 For personal files of deceased, retired, dismissed or resigned staff, the officer shall retire the files by crossing two lines diagonally on cover and indicate the status of exit, date of closure and slot in the relevant cabinet.
- 7.5.5 The officer updates the file index (master list).

8.0 Records

- 8.1 Incoming Register
- 8.2 Duly filled GP 50
- 8.3 Document Movement Register
- 8.4 File Index (Master List)



9.0 Review Details

REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER
Inclusion of reference 3.6 – Records Management Policy	Information in policy relevant for operations at registry.	04/12/2013	H-HRA	5	2
Inclusion of RM and OIC in clauses 6.1.1 and 6.1.2	Procedure is applicable in all KEPHIS offices	08/10/2015	H-HRA	6	2
Change of format occasioned by change from ISO 9001:2008 to 9001:2015	Change to Risk based approach	21-05-2018	H-HRA	1	3
Exclusion of clause 7.2-7.24 Exclusion of clause 7.5.7 Exclusion of clause 7.2 & 7.3	The Rider is in Transport section not in Registry. The correspondences are no longer transferred in box files because of space. Mail Register and delivery Register are used by the Rider who is in transport section.	26/07/2019	H-HRA	2	3
Review of Entire SOP	For continual improvement	30/08/2022	DD-HC	1	4

KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No: 06

Issue No:01

SOP FOR STAFF RECRUITMENT

SOP/KEPHIS/HC/01

Issued by: 

Human Capital Officer

Date...31/10/2023..

Approved by: ...  .

For: Deputy Director Human Capital

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1.0 PURPOSE

To obtain required and qualified human resource for the achievement of the Corporation's mandate.

2.0 SCOPE

This procedure describes the process of personnel recruitment from vacancy identification to employee induction.

3.0 REFERENCES

- a) KEPHIS Human Resource Policy and Procedures Manual
- b) KEPHIS Career Guidelines
- c) The Constitution of Kenya 2010
- d) KEPHIS Act 2012
- e) Employment Act, 2007
- f) Persons with Disability Act, 2003
- g) Gender Equality Act, 2020
- h) ISO 9001: 2015 Standard
- i) ISO/IEC 27001:2022

4.0 DEFINITIONS/ABBREVIATIONS

- a) MD - Managing Director
- b) DCS – Director Corporate Service
- c) DDHC -Deputy Director Human Capital
- d) ICT -Information Communication and Technology
- e) ERP-Enterprise Resource Planning
- f) PWDs-Persons with Disabilities
- g) HRAC-Human Resource Advisory Committee
- h) ID -Identification Document

5.0 RESPONSIBILITIES

The Deputy Director Human Capital shall be responsible for implementation of this procedure.

6.0 Schematic Representation

Recruitment							
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Resources	Risks	Checks/Controls
▪ Departments ▪ Stations ▪ Career guidelines ▪ Applicants ▪ Other agencies ▪ Human Resource Policy and Procedures Manual	▪ Human Resource Plan ▪ Job analysis ▪ Applicants' data ▪ Interview criteria ▪ Induction Programme	▪ Vacancy identification ▪ Vacancy announcement ▪ Longlisting ▪ Shortlisting ▪ Conducting interviews ▪ Selection ▪ Employee screening ▪ Issuance of offer letters ▪ Acceptance /decline of offer ▪ Deployment ▪ Employee induction	▪ Successful candidate ▪ Recruitment process reports	▪ Departments ▪ Stations	▪ Staff ▪ Stationeries ▪ Cabinets ▪ Finances ▪ ICT infrastructure ▪ ERP system.	▪ Lack of qualified candidate ▪ Non responsive advertisement ▪ Flawed process ▪ Canvassing ▪ ERP system downtime	▪ Review job analysis ▪ Use of varied media channels ▪ Appointment of adhoc committees ▪ Declaration of conflict of interest ▪ Strict adherence to laid down procedures and laws ▪ Continuous maintenance and upgrade of the ERP system.

7.0 PROCEDURE

7.1 Vacancy Identification

- 7.1.1 The Deputy Director Human Capital, communicates to the directorates on the need to fill staff gaps in their respective directorates via email.
- 7.1.2 The DDHC receives the requests from various directorates through the Enterprise Resource Planning System.
- 7.1.3 The DDHC evaluates the request and identifies other vacant post within the staff establishment.
- 7.1.4 The DDHC prepares a Human Resource Plan detailing the number of vacancies, number of positions, cadre and forwards to the Director Corporate Services for review.
- 7.1.5 Upon review, the DCS forwards the Human Resource Plan to the Human Resource Advisory Committee (HRAC) for endorsement and onward submission to the Managing Director.
- 7.1.6 Upon approval by the MD, DDHC prepares a board paper to declare the vacant positions.
- 7.1.7 The MD presents the declaration of vacancies to the Board of Directors for approval.

7.2 Vacancy Announcement

- 7.2.1 The DDHC prepares a vacancy announcement detailing the position, cadre, vacancy reference number, job descriptions, job specifications, skills and competencies.
- 7.2.2 The DDHC forwards the vacancy announcement to the DCS for recommendation.
- 7.2.3 The DCS forwards the vacancy announcement to the MD for approval.
- 7.2.4 The DDHC in collaboration with the Deputy Director, ICT and Innovation and Deputy Director Corporate Communications places the Job Advertisement in the website, ERP system and print media respectively.
- 7.2.5 The job vacancy announcement shall run for 21 working days.

7.3 Long listing

- 7.3.1 The DDHC receives applications from the ERP system.
- 7.3.2 The DDHC appoints a committee to sort the applications and compile a summary report.
- 7.3.3 The DDHC reviews the report and forwards to the DCS for endorsement and onward submission to the MD for approval.

7.4 Shortlisting

Shortlisting for Job Grades KEPHIS 1 to 3 shall be done by the Board of Directors through the Human Resource and Administration Committee of the Board.

In shortlisting for candidates in Job Grades KEPHIS 4 to 10:

- 7.4.1 The DDHC appoints a shortlisting Committee and forwards to the DCS for recommendation.
- 7.4.2 The DCS recommends and forwards the appointment to the MD for approval.
- 7.4.3 The DDHC develops a job criterion to be used by the shortlisting committee.
- 7.4.4 The shortlisting committee shall:
 - i. Review resumes and applications requirements
 - ii. Match job criteria - compare qualifications, skills, and experience of each candidate with the criteria outlined in the job description.
 - iii. Scoring and ranking - assign scores and ranks to candidates based on how well they meet requirements.
 - iv. Consider experience and skills - prioritize candidates with relevant experience and skills that align with the job's needs.
 - v. Eliminate unqualified candidates - remove candidates who clearly do not meet the minimum requirements.
 - vi. Narrow down the pool - Select a minimum of three (3) candidates per position considering affirmative action principle on gender, PWDs and National Values.
 - vii. Prepare a shortlisting report detailing both successful and unsuccessful candidates.
- 7.4.5 The DDHC receives the shortlisting report and forwards to the DCS for recommendation and onward forwarding to the MD for approval.

7.5 Conducting Interviews

- 7.5.1 The DDHC develops the specific shortlisting reports for the various positions as advertised.
- 7.5.2 The DDHC appoints an Interview sub-committees and forwards to the DCS for recommendation.
- 7.5.3 The DCS recommends and forwards the appointments to the MD for approval.
- 7.5.4 The DDHC in consultation with HRAC develops an interview criterion that shall include minimum constitutional and statutory requirements, core questions and the minimum requirements as advertised.
- 7.5.5 The DDHC prepares an interview schedule for the shortlisted candidates and submits to the DCS for recommendation.
- 7.5.6 The DCS forwards the interview schedule to the MD for approval.
- 7.5.7 The DDHC shall communicate and invite shortlisted candidates for interview and inform them on the interview date, time and venue at least one week in advance through emails and telephone.
- 7.5.8 The appointed interview sub-committee conducts the interviews for shortlisted candidates based on the developed interview criteria and selects suitable qualified candidates based on their performance.
- 7.5.9 The sub-committee prepares an interview summary report as per the Human Resource Policy and Procedures Manual and submits to DDHC. The report shall be signed by all sub-committee members. The report shall be prepared within 21 days of the last date of interview.
- 7.5.10 The DDHC receives the interview summary reports and forwards to DCS for recommendation.
- 7.5.11 The DCS forwards the interview summary reports to the MD for approval.

7.6 Selection

- 7.6.1 The DDHC develops the selection criteria based on the interview summary report and forwards to DCS for recommendation.
- 7.6.2 The DCS recommends and forwards the selection criteria to the MD for approval.

- 7.6.3 Upon approval, DDHC selects the best candidates based on the number of vacancies.
- 7.6.4 DDHC compiles a selection report and forwards to DCS for recommendation.
- 7.6.5 The DCS recommends and forwards the selection report to the MD for approval.

7.7 Employee Screening

7.7.1 Authentication of academic certificates

- 7.7.1.1. The DDHC shall prepare a memo seeking for authority to authenticate academic certificates for the newly appointed employees.
- 7.7.1.2. The DDHC forwards the memo to the DCS for recommendation and onward submission to the MD for approval.
- 7.7.1.3. Upon approval, the DDHC drafts cover letters, attaches copies of the academic certificates and submits to the respective employees' learning institutions for authentication.
- 7.7.1.4. The DDHC receives the authentication reports from the learning institutions and retains the report in the authentication file.

7.7.2 Medical Examination

- 7.7.2.1 The DDHC shall prepare a memo seeking for authority to carry out medical examination for the newly appointed employees.
- 7.7.2.2 The DDHC forwards the memo to the DCS for recommendation and onward submission to the MD for approval.
- 7.7.2.3 Upon approval, the DDHC drafts and issues the letter to newly appointed employees to undergo medical examination by the organization's identified medical practitioner.
- 7.7.2.4 The DDHC receives the medical reports from the medical practitioner and retains the report in employees' confidential files.

7.7.3 Background Checks

- 7.7.3.1 The DDHC shall prepare a memo seeking for authority to carry out background checks for the newly appointed employees.
- 7.7.3.2 The DDHC forwards the memo to the DCS for recommendation and onward submission to the MD for approval.

- 7.7.3.3 Upon approval, the DDHC drafts cover letters, attaches employee reference forms and submits to the respective referees and/or previous employers to confirm the information provided in the resume.
- 7.7.3.4 The DDHC receives the background check reports from the referees and/or previous employers and retains the reports in the employee personal file.

7.8 Issuance of Offer Letters

- 7.8.1 The DDHC shall prepare offer letter(s) in accordance with Article 232 of the Constitution. The letter shall contain the specific period (21 days) within which the candidate should accept or decline.
- 7.8.2 The DDHC forwards the offer letter(s) to the DCS for recommendation and onward submission to the MD for approval.
- 7.8.3 The DDHC mails and/or calls the candidates for their letter(s).

7.9 Acceptance /Decline of offer

- 7.9.1 The DDHC receives an acceptance/decline letter from the candidate. A candidate who shall have not responded to the offer within 30 days from the date of notification shall be deemed to have declined the offer.
- 7.9.2 The DDHC shall compile the report on acceptance/decline of offer and forwards to the DCS for endorsements and onward submission to the MD for approval and recommendation.
- 7.9.3 In the event that the first (1st) candidate declines the offer, the management may consider extending the same offer to the second (2nd) and third (3rd) best candidate in that order provided they have attained the cut off marks during interviews. The DDHC shall apply clause 7.7 as stated. In the event that all the candidates who have attained the cut off marks during the interview decline, the management shall re-advertise the position.

- 7.9.4 Upon acceptance of offer, the DDHC shall request the candidates to provide the requirements of Chapter Six (6) of the Constitution of Kenya.

7.10. Letter of Appointment

- 7.10.1 The DDHC shall prepares appointment letters for newly appointed employees who have accepted the offer.
- 7.10.2 The DDHC forwards the appointment letter(s) to the DCS for recommendation and onward submission to the MD for approval.
- 7.10.3 Upon approval, the DDHC issues the appointment letter in duplicate, to the newly appointed employee for signing and retains a copy in the employee's personal file.

7.11. Deployment

- 7.11.1 The DDHC shall prepare deployment letter(s) based on the Human Resource plan.
- 7.11.2 The DDHC forwards the deployment letter(s) to the DCS for recommendation and onward submission to the MD for approval.

7.12. Employee Induction

A candidate who accepts an offer shall be required to take up the post within a period of thirty (30) days from the date of acceptance, unless the candidate communicates in writing requesting for extension of reporting period, otherwise the offer shall be deemed withdrawn.

- 7.12.1 DDHC prepares a one-week induction programme in preparation for receipt of new employees. The induction programme shall include the date, time and function areas.
- 7.12.2 The DDHC notifies the MD, Directors and Deputy Directors of the impending induction and attaches the Induction Programme for implementation.
- 7.12.3 The DDHC receives the new employees in readiness for induction.
- 7.12.4 The DDHC administers the induction completion form to the employees.

- 7.12.5 The DDHC issues personal bio data forms, medical forms, Grouplife forms, pension forms, declaration of income asset and liabilities form, payroll details form, staff ID template form and declaration of secrecy form.
- 7.12.6 The DDHC issues the employees with their deployment letters.
- 7.12.7 The DDHC compiles an induction report and forwards to DCS for approval.

8.0 RECORDS

- 8.1 Human Resource Plan
- 8.2 Job advertisement
- 8.3 Long listing Report
- 8.4 Short listing Report
- 8.5 Interview Report
- 8.6 Employee Screening Reports
- 8.7 Letters of offer, appointment and deployment
- 8.8 Induction Report
- 8.9 Letters of recommendation from professional Referees.
- 8.10 Duly filled Reference check form
- 8.11 Personal Data Forms
- 8.12 Insurance Forms

9.0 APPENDIX

9.1 Employment Application Form



KEPHIS Employment Application Form

1. Advertised vacancy -----
-
2. Name of Applicant (in Block letters)
Surname ----- First Name ----- Other names -----
ID.No. -----
Postal address -----
Mobile .No. -----
Email Address:-----
Date of Birth: Day ----- Month ----- Year -----
Ethnicity ----- Home County -----
Sub County ----- Constituency-----
Name of alternative Contact Person -----
Alternative Contact Person Mobile No.-----
3. Tick Kenyan citizenship status:
☐ By Birth ☐ By Naturalization (Certificate No.....)
☐ By Registration (Certificate No.....)
If not a Kenyan citizen, state nationality: -----
4. Present employment Details
 - a) Tick relevant terms of service:
☐ Contract ☐ Temporary ☐ Permanent and Pensionable
 - b) Current Monthly salary in Kshs. -----
 - c) Expected salary in Kshs. -----

d) How soon can you take up this appointment, if selected -----

5. Academic and Professional qualifications (starting with the highest)

Institutions Attended	Certificate Awarded (e.g. Master of Science/Business in)	Examining Body (e.g. KNEC; University of)	DURATION	
			From	To

6. Employment Record

Name of Employer	Designation	Personal Number	Core Duties & Responsibilities	From (Month & year)	To (Month & year)

7. Do you suffer from any Disability? -----

If so, give details-----

8. Have you ever been charged in a court of law? -----

If yes, give the following particulars:

a) Offence for which convicted -----

b) Date and place of conviction -----

c) Sentence imposed -----

Have you ever, with or without being convicted, been made the subject of a probation order -----

9. Have you ever been dismissed or otherwise removed from KEPHIS, private sector or other public service employment? -----

If yes, give details: -----

10. Personal references

Give the names and addresses of two referees. They should be responsible persons who know you well, either in private or professional life, and one at least should be well acquainted with your private life. The names of distinguished persons should not be given unless they really know you well. Names of relatives, members of staff of KEPHIS or members of KEPHIS Board should not be given.

Full Name: -----

Address: -----

Box No.: -----

Tel. No. : -----

Email Address: -----

Occupation: -----

Period during which he/she has known you -----

Full Name: -----

Address: -----

Box No.: -----

Tel. No. : -----

Email Address: -----

Occupation: -----

Period during which he/she has known you -----

11. I hereby certify that the particulars I have given in this form are correct to the best of my knowledge.

Date ----- Signature of Applicant -----



10.0 REVISION DETAILS					
REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER
1. Revision of Clause 4.0	Added 4.5 HRAC and 4.6 HOF	17-12-19	H-HRA	1	4
2. Revision of clause 6.0 on procedure	Review of procedure to align it with provisions of the Human Resource Policies and Procedures Manual on recruitment.	17-12-19	H-HRA	1	4
3. Review of Appendix 8.1	Inclusion of Ethnicity, Home County, Sub county and alternative contact person	17-12-19	H-HRA	1	4
4. Overhaul of the procedure	To align to the new HR Manual 2019	30-12-20	H-HRA	1	5
Review of entire document	To be in tandem with practice	18/10/2023	DDHC	01	06

KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No: 02

Issue No:01

SOP FOR TRAINING AND DEVELOPMENT

SOP/KEPHIS/HC/03

Issued by: ... 

Human Capital Officer

Date...31/10/2023..

Approved by: ... 

For: Deputy Director Human Capital

Date.....31/10/2023.....

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1 PURPOSE

To equip staff with relevant skills, knowledge and ability for improved service delivery.

2 SCOPE

This procedure describes the process of training needs identification to training impact evaluation.

3 REFERENCES

- 3.1 Staff Performance Appraisal Report
- 3.2 Training and Development Policy
- 3.3 Human Resource Policy and Procedures Manual
- 3.4 Job Descriptions
- 3.5 Training Needs Assessment Report
- 3.6 ISO 9001:2015
- 3.7 ISO/IEC 27001:2022

4 DEFINATIONS/ABBREVIATIONS

- 4.1 MD – Managing Director
- 4.2 DDHC– Deputy Director Human Capital
- 4.3 DCS – Director Corporate Service
- 4.4 HRAC- Human Resource Advisory Committee
- 4.5 HC – Human Capital
- 4.6 HCO – Human Capital Officer
- 4.7 CPD- Continuous Professional Development
- 4.8 TNA- Training Needs Assessment
- 4.9 T&D- Training and Development

5 RESPONSIBILITIES

The Deputy Director Human Capital shall be responsible for implementation of this procedure.

6 SCHEMATIC REPRESENTATION

Training and Development							
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Resources	Risks	Checks/ Controls
- Staff - Departments - Stations - Performance Appraisals Reports	- Duly filled TNA - Dully filled Training Impact Evaluation Form - Training Reports - Job Descriptions	- Training Needs Identification - Development of training projections and programs - Implementation of training programs - Training impact evaluation - Evaluation of implemented training programs.	- TNA Report - Implemented training programmes report - Training impact assessment reports	- Staff - Management	- Trainers - Finances - Transport - Stationery - ERP System	- Lack of implemen tation of the training program - Negative impact assessme nt - Failure of employee s to complete training - Bias in allocation of the training - Employee not showing up for the training	- Review of TNA report by the HRAC. - Coaching and mentorship - Surcharge the trainee

7 PROCEDURE

7.1 Training Needs Identification

- 7.1.1 The Human Capital Officer requests for training needs identification for the financial year from respective departments and stations through KEPHIS/HC/FORM/T&D/01.
- 7.1.2 The HCO receives training needs identified and sorts based on priority, Continuous Professional Development (CPD), compliance, development and performance gaps.
- 7.1.3 The HCO compiles a Training Needs Assessment (TNA) report and submits to Deputy Director Human Capital.
- 7.1.4 The DDHC presents the TNA report to Human Resource Advisory Committee (HRAC) for validation and onward submission to the Managing Director (MD) for approval.
- 7.1.5 The HCO circulates the approved TNA Report to the directors and deputy directors for planning.

7.2 Development of Training Projection and Programs

- 7.2.1 The HCO develops a training projection and programs detailing the course, duration, dates, cost, trainers, trainees and the proposed venue.
- 7.2.2 The HCO submits the training projection and programs developed to DDHC for validation and onward submission to DCS for recommendation.
- 7.2.3 The DCS presents the training projection and programs to the MD for approval.

7.3 Implementation of Training Programs

- 7.3.1 The HCO prepares a training budget for each of the approved programs and submits to DDHC for validation and onward submission to DCS for recommendation.
- 7.3.2 The DCS presents the training budgets to the MD for approval.
- 7.3.3 Upon approval of the training budgets, the HCO communicates to the trainees through their supervisors on the training intent.
- 7.3.4 The HCO plans for the training in consultation with the supply chain management department by engaging the trainer(s) and sourcing for conferencing facilities.

- 7.3.5 The HCO sends an invitation to the trainees citing the dates and travel logistics.
- 7.3.6 After delivery of the training, the HCO compiles a training report and submits to DDHC for approval.

7.4 Training Impact Evaluation

- 7.4.1 After six months of the training, the HCO administers a training impact evaluation form KEPHIS/HC/FORM/T&D/02 to the trainees' supervisor.
- 7.4.2 The HCO receives the training impact evaluation forms and compiles a training impact report and submits to DDHC for recommendation and onward forwarding to DCS for approval.

7.5 Evaluation of Implemented Training Programs

- 7.5.1 The HCO compiles a report on the implemented training programs citing reasons for non-implementation and recommendations.
- 7.5.2 The HCO submits to DDHC for approval and onward forwarding to DCS.

8 RECORDS

- 8.1 Duly Filled Training Needs Assessment Form
- 8.2 TNA Reports
- 8.3 Training Projection and Programs
- 8.4 Training Reports
- 8.5 Duly Filled Training Impact Evaluation Form

9 APPENDIX

- 9.1 Training Needs Assessment form
- 9.2 Training Impact Evaluation form

REVISION DETAILS					
REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER
Change of format occasioned by change from ISO 9001:2008 to 9001:2015	Change to Risk based approach	21-05-2018	H-HRA	1	1
Review of the Entire SOP	To be in tandem with practice	30-10-2023	DDHC	1	2



KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No: 01

Issue No:01

SOP FOR ANNUAL STAFF APPRAISAL

SOP/KEPHIS/HC/04

Issued by:

Deputy Director- Human Capital

Date: **31st January 2025**

Approved by:

Director Corporate Services

Date: **31st January 2025**



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1.0 PURPOSE

To ensure the performance of staff is monitored to the Corporation's expectations.

2.0 SCOPE

This procedure describes the process to be followed in conducting annual appraisals for staff in the corporation.

3.0 REFERENCES

- a) Dully filled staff appraisal forms
- b) Human Resource Policies and Procedural Manual
- c) ISO 9001: 2015 Standard
- d) ISO/IEC 27001: 2022

4.0 DEFINITIONS/ ABBREVIATIONS

- a) MD - Managing Director
- b) DDHC – Deputy, Director Human Capital
- c) DCS – Director, Corporate Service
- d) HRAC -Human Resource Advisory Committee
- e) Supervisor – The person an employee report to

5.0 Responsibilities



The Deputy Director, Human Capital shall be responsible for this procedure.

6.0 Schematic Representation

Annual Staff Appraisal Operations						
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Risks	Checks/Controls
- Human Resource Policies and Procedures Manual. - Staff Job - Descriptions - Performance - Contract - KEPHIS - Strategic Plan	- Supervisors - Staff - Time - Performance - Appraisal Forms	- Performance Targeting - Performance evaluation - Monitoring - performance	- Appraisal Reports	- Staff - Management - EACC, Courts & - DCI	- Lack of resources for implementation of targets. - Subjectivity in appraisal	- Planning for required resources - Appeal for aggrieved - employee - HRAC to deliberate - on appeal

7.0 PROCEDURES

- 7.1 DDHC shall initiate the annual appraisal process at the end of the performance period.
- 7.2 The supervisor shall carry out the appraisal process as per the guidelines in the appraisal form and forward the duly completed forms to DDHC by 30 July of the same year. A copy of the duly filled appraisal form shall be filed in the individual files for staff working outside KEPHIS Headquarters.



- 7.3 The appraisal report shall be presented to MD through DCS by DDHC for approval.
- 7.4 Filing of Appraisal forms in individual employee's confidential files.

8.0 RECORDS

- 7.5 Performance Appraisal Report
- 7.6 Rewards and Sanctions Policy

9.0 APPENDIX

- 9.1 Performance Appraisal Form



PERFORMANCE APPRAISAL FORM

ASSESSMENT PERIOD:

Employee Name:	Staff No.:	Job Title:
Department:	Section:	Station:
Evaluator's Name:	Job Title:	
The purpose of conducting a performance appraisal is to develop better communication between the employee and the supervisor, improve the quality of work; increase productivity, and promote employee development.		



PERFORMANCE RATINGS

While rating performance, the Supervisor/Evaluator will Consider the employee's performance in each category and designate the level of performance that most accurately describes his/her job performance. The five tier performance ratings structure has been defined below to serve as guidance for supervisors to assess an employee's performance level. The purpose of the numerical scale is to facilitate the supervisor/Evaluator to determine the overall rating objectively. The performance rating structure has a numerical scale as follows:

Excellent (101 %+): Achievement of 101% and above of the agreed performance targets.

Very Good (100 %): Achievement up to 100% of the agreed performance targets.



Good (80% -99 %): Achievement between 80% to 99% of the agreed performance targets.

Fair (60% -79 %): Achievement between 60% to 79% of the agreed performance targets.

Poor (59 % and Below): Achievement up to 59% of the agreed performance targets.

Part A: Target Setting (to be filled at the beginning of the performance period)				Performance Rating	
No.	Targets set for the year	Weight	Unit of Measure /Performance Indicator	Self	Evaluator
Subtotal on Part A		85			



Part B: Personal Attributes (Subtotal for part B 15 Marks)

The employee will be rated on the basis of work interactions with the Supervisor on the following scales:

5=always (Employee consistently exceeds position expectations with virtually no detected/preventable/controllable errors and requires no Supervision).

4 =Most Times

3= Often

2= Sometimes

1= Rarely

	Performance Appraisal Attributes	5 Always	4 Most Times	3 Often	2 Sometimes	1 Rarely
1.	The employee demonstrates high standards of professional ethics.					
2.	The employee demonstrates efficient, effective and economic use of resources.					
3.	The employee is responsive, prompt, effective and impartial in provision of equitable services.					
4.	The employee demonstrates transparency and provision to the public of timely and accurate information.					
5.	The employee is accountable for administrative acts.					
6.	The employee is competent in performing job duties and has					



	good knowledge of or his/her area.					
7.	The employee maintains expected standards of performance					
8.	The employee takes the initiative to learn new things related to the work area and get things done.					
9.	The employee takes responsibility for work done or assigned.					
10.	The employee keeps me informed about work progress.					
11.	The employee follows work instructions well.					
12.	The employee is approachable, good team player, shares knowledge with other team members and supports others to get work done.					
13.	The employee is receptive to ideas and suggestions for new or different systems or approaches.					
14.	The employee is fair and consistent when dealing with others and bases relationships on mutual respect.					
15.	The employee supports corporate policies and initiatives.					
Total Score						



Part C: Training and Development need (to be identified jointly with Supervisor during target setting)

Training course	Duration	Comments by Supervisor (on staff training and development undertaken over the Appraisal period)-to be filled after appraisal.

Signature: Employee Date:

Signature: Supervisor..... Date:

Part D: Appraisal remarks (To be filled after appraisal)

Employees remarks on overall appraisal	Employee Signature: Date:
Evaluator's Remarks	Evalutor's Signature: Date:
Comments by Managing Director	Signature: Date:



REVISION DETAILS					
REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER
1. Change to comply with 9001:2015 Standard	Review of procedure to align it with provisions of the Human Resource Policies and Procedure Manual on Performance Appraisal.	02/01/2025	DDHC	1	1



KENYA PLANT HEALTH INSPECTORATE SERVICE (KEPHIS)

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No:02

Issue No:01

SOP FOR PAYROLL MANAGEMENT

SOP/KEPHIS/HC/02

Issued by: 

Deputy Director- Human Capital

Date: **31st January 2025**

Approved by: 

Director Corporate Services

Date: **31st January 2025**



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1.0 Purpose

This procedure describes the various steps involved in Payroll Management to establish uniform norms and standards ensuring timely, accurate, consistent, transparent, and accountable management of employee remuneration.

2.0 Scope

The procedure covers the process from staff entry into payroll, and monthly payroll changes to removal from the payroll.

3.0 References

- a) Appointment letters
- b) Human Capital Instruments - includes Human Resource Policies and Procedure Manual, Staff Grading and Establishment and Career Guidelines.
- c) Relevant Government Circulars and Regulations
- d) Staff Personal Files
- e) Employment Act
- f) ISO 9001:2015 Standard
- g) PCAs

4.0 Abbreviations/Acronyms

- a) MD-Managing Director
- b) DD-HC-Deputy Director Human Capital
- c) DCS-Director Corporate Services
- d) PCA-Payroll Change Advice

5.0 Responsibilities

The Deputy Director, Human Capital shall be responsible for the implementation of this procedure.



6.0 Schematic Representation

Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Risks	Checks/Controls
a) Managing Director's Approvals b) Deduction schedules from third parties i.e Banks, Saccos, Insurance companies c) Request letters/emails from staff d) Payroll Change Advices	a) Approved memos and letters b) PCAs for overtime payments c) Deduction/stoppage schedules d) Budgets	a) Keying in payroll changes b) Confirmation and payroll processing c) Payroll reconciliation d) Closing payroll e) Payroll Approvals f) Report generation	a) Payslips b) Payroll Reports and Summaries c) By-product reports d) P9 Forms	a) Management b) Employees c) Internal and External Auditors d) Third Parties Banks, Saccos, Insurance companies	Errors in keying in payroll changes Delay in the conduct of assigned payroll duties Lack of Record-keeping	Data input/changes are to be approved and changes reconciled by the Finance and Accounts Department. Adherence to payroll deadlines Retention of Payroll related documents



7.0 Procedure

- a) All appointed staff shall be assigned a staff employment number upon reporting to the Corporation and a personnel file opened containing their job application details, appointment letter, and duly filled employee forms as per the Human Resource Policies and Procedures Manual.
- b) The staff employment number shall be the same as the payroll number and shall be assigned in the payroll by the Payroll Officer.
- c) All staff salaries and allowances shall be paid through the payroll system.
- d) All payment requests will be effected on the payroll after approval and verification of accuracy and appropriateness.
 - i. All overtime claims shall be scrutinized to confirm accuracy before effecting any changes in the payroll by the Deputy Director, Human Capital approved by the Director, Corporate Services to minimize the risk of errors.
 - ii. Pay change advice shall be raised for payment of overtime claims upon approval by DCS, by the assigned officer, checked by payroll Officer, and recommended for payment by the Deputy Director, Human Capital.
- e) Any change on the payroll will be entered by the Payroll Officer.
- f) All other payroll changes such as promotions, award of incremental credit, re-designation, deployment, or any other changes that affect employee pay and allowances shall only be effected upon approval.
- g) Removal from or reinstatement to the payroll shall be effected upon approval.
- h) The payroll shall be run by the twentieth (20th) day of every month and analyzed by the Finance and Accounts Department with clear support of all payroll Changes



8.0 Records

- a) Personnel Files
- b) Salary adjustment requests and approvals
- c) Pay Change Advice

9.0 Revision details

REVISION DETAILS					
Revision Details	Reason	Date	Revised by	Issue number	Revision number
Change of Issuer of document	The staff has since left the institution	13/10/2015	H-HRA	2	0
Change of issuer and Approver	To capture the players in the payroll management process	15/09/2016	H-HRA	3	0
Reviewing the entire SOP	Updating the SOP for conformity with ISO 9001:2015	21/05/2018	H-HRA	1	1
Change of issuer and Approver	Changes in Management	13/01/2025	DD-HC	1	2



KENYA PLANT HEALTH INSPECTORATE SERVICE

STANDARD OPERATING PROCEDURE

Department: Human Capital

Revision No:01

Issue No:07

SOP FOR STAFF COMPETENCE AFTER PROBATION

SOP/KEPHIS/HC/07

Issued by:

Deputy Director- Human Capital

Date:**31st January 2025**

Approved by:

Director Corporate Services

Date:**31st January 2025**



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1.0 PURPOSE

To ensure the performance of staff is monitored to the organization's expectations

2.0 SCOPE

This procedure describes the process to be followed in staff confirmation after completion of the probationary period from issuance of appraisal forms to confirmation, extension, or termination.

3.0 REFERENCES

- 3.2 Employment Act 2007
- 3.3 Staff Performance Assessment Report
- 3.4 Staff Confidential Files
- 3.5 Human resource Policies and procedures manual
- 3.6 ISO 9001:2015 Standard
- 3.7 ISO/IEC27001:2022

4.0 DEFINITIONS/ABBREVIATIONS

4.1.1 **Probation period**—the period in which newly recruited staff are placed under performance observation, usually six (6) months, which could be extended, before being fully engaged in employment under permanent terms.

- 4.2 **MD** – Managing Director
- 4.3 **DD-HC** – Deputy Director Human Capital
- 4.4 **DCS** – Director Corporate Services

5.0 RESPONSIBILITIES

The Deputy Director of Human Capital shall be responsible for the procedure.



6.0 Schematic Representation

Registry operations						
Sources of Inputs	Inputs	Activities	Outputs	Receivers of Outputs	Risks	Checks/ Controls
▪ Staff assessment forms ▪ Job descriptions ▪ Appointment letters	▪ Performance assessment forms(confirmation) ▪ Supervisors ▪ Management ▪ Recommendation by DCS ▪ Approval by md	▪ Performance assessment ▪ Recommendation by HRAC ▪ Approval by md	▪ Confirmation letters ▪ Extension of probation period letters ▪ Termination letters	▪ Staff ▪ Management ▪ Ethics and Anti-corruption Commission ▪ Courts ▪ Directorate of Criminal Investigations	▪ Subjective performance assessment by the supervisor ▪ Failure to monitor and give feedback on performance during the probation period ▪ Failure to carry out the competency assessment on time	▪ Ensure objective performance assessment by the supervisor. ▪ Continuous monitoring of performance and giving feedback by the supervisor during the probationary period ▪ Ensure competency assessment is done on time



7.0 PROCEDURES

- 7.2 The HR officer handling staff competence after probation shall initiate the appraisal process for staff on probation six months after appointment on probationary terms by sending appraisal forms (KEPHIS/EA/10) to the supervisor.
- 7.3 The supervisor carries out the appraisal process as per the guidelines and forwards the duly completed forms to the respective Deputy Director for comments.
- 7.4 Director, Corporate Services forwards the forms to the Deputy Director Human Capital for summarization and presentation to the Managing Director for Approval to Confirm in Appointment.
- 7.5 The Human Resource Advisory Committee shall deliberate and make recommendations to the Managing Director on the action to be taken based on the outcome of the appraisal which would either be one of the following
- a) Confirmation;
 - b) Extension of Probation period;
 - c) Termination.
- 7.6 If the MD approves, a letter of confirmation is issued.
- 7.7 For extension of the probation period, DCS shall issue letters to the affected officers. If the officer is to be terminated the MD shall issue a termination letter.

8.0 RECORDS.

- 8.1 Performance Appraisal reports.
- 8.2 Staff Personal/Confidential Files.

9.0 Appendix

- 9.1 Employee Assessment Form for Confirmation



KENYA PLANT HEALTH INSPECTORATE SERVICE

CONFIRMATION IN APPOINTMENT ASSESSMENT FORM

(KEPHIS/EA/10)

PART 1: HUMAN CAPITAL DEPARTMENT

NAME:
DESIGNATION:
JOB GRADE:
P/NO:
STATION:
DATE OF APPOINTMENT:

PART 2: SELF ASSESSMENT

1. What is your overall assessment of your performance during the probation period?
A) Excellent **B)** Good **C)** Satisfactory **D)** Fairly Satisfactory **E)** Unsatisfactory
2. Give reasons for your rating:
.....
.....
3. What has been your major success and failure during the probation period?
.....
.....
4. What do you find have been your strengths and weaknesses in the probation period?
.....
.....
5. What areas necessary for your Performance do you find need improving?
a).....
b).....
c).....
6. Give reasons for your answer



.....
.....
7. In your opinion, how is your relationship with others?
.....
.....

8. Describe your discipline, obedience, and general behavior in the institution?
.....
.....

9. What is your opinion on KEPHIS as your employer and how does it relate to your career objectives?
.....
.....

Appraisee's Name.....SignatureDate.....

PART 3: SUPERVISOR'S ASSESSMENT OF THE OFFICER

THE SUPERVISOR TO GIVE AN HONEST ASSESSMENT OF THE OFFICER'S PERFORMANCE BASED ON THE FOLLOWING FACTORS

1. Is the Officer keen to acquire new ideas?
.....
.....

2. Describe the Officer's Discipline and obedience
.....
.....

3. Rate the Officer's drive, energy, and initiative

A) Excellent B) Good C) Satisfactory D) Fairly Satisfactory E) Unsatisfactory

4. How does the Officer relate with the other staff
.....
.....

5. Describe the Officer's dependability
.....
.....

6. Describe the Officer's creativity and knowledge of the job:
.....
.....

7. Has the Officer demonstrated leadership and management qualities
.....
.....



8. How is the Officer's quality & volume of work?

.....
.....

9. Rate the officer's performance in his/her present position

A) Excellent **B)** Good **C)** Satisfactory **D)** Fairly Satisfactory **E)** Unsatisfactory

10. What are the employee's greatest assets and weakness in this position, and what recommendations (if any) have been given to him to overcome the weakness?

.....
.....

11. Does the Officer meet the requirements and expectations of the position? Give reasons.

.....
.....

12. In your assessment do you recommend/not recommend the Officer for Confirmation in the appointment:

Recommended ☐

Not Recommended ☐

Supervisor: Name.....Signature.....Date:

PART 4: MANAGING DIRECTOR'S REMARKS – CONFIRM/NOT

CONFIRM

.....
.....

Name.....Signature.....Date:

THE FORM MUST BE COMPLETED AT LEAST TWO MONTHS BEFORE THE END OF THE PROBATION PERIOD BUT NOT MORE THAN THIRTY (30) DAYS AFTER THE EXPIRY OF THE PROBATION PERIOD.



REVISION DETAILS					
REVISION SUMMARY	REASON	DATE	REVISED BY	ISSUE NUMBER	REVISION NUMBER
1.Introduction of new SOP-Staff Competence Assessment after Probation	There was need to separate procedure for staff competence after probation from procedure for annual staff appraisal	2/01/2025	DDHC	1	0
Change of issuer of document	Staff has since exited the institution	2/01/2025	DDHC	2	0
Change of format occasioned by change from ISO 9001:2008 to 9001:2015	Change to Risk based approach	2/01/2025	DDHC	3	1