NATIONAL IRRIGATION BOARD

ISO 9001:2015 BASED QMS STANDARD OPERATING PROCEDURES MANUAL



NATIONAL IRRIGATION BOARD

STANDARD OPERATING PROCEDURES MANUAL

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GENERAL PROCEDURES MANUAL - NIB/GPM/MR/003

PROCEDURE NUMBER 1: CONTROL OF DOCUMENTED INFORMATION (DI)

1.0 GENERAL

1.2 Purpose

To ensure documented information (DI) is created, updated and maintained in a controlled manner

1.2 Scope

This procedure applies to all DI within the Quality Management System at NIB and to DI of external origin, determined to be necessary in meeting system requirements.

1.3 References

a) ISO 9001:2015 Clause 7.5

1.4 Terms Definitions

a) MR – Management Representative
b) QMS – Quality Management System
c) DI – Documented Information
d) DI maintained – Policies, manual, procedures that have been determined to be necessary by NIB for effective implementation
e) DI Retained- these are records that are retained as records of evidence of attainment of QMS intended results
f) ICT – Information Communication Technology

1.5 Principal Responsibility

MR shall ensure adherence to this procedure.

2.0 METHOD

2.1 Identification and description:

2.1.1 All DI *maintained* for QMS shall be indexed as in the format **NIB/ Document title / Departmental initials /serial number from 001.**

2.1.2 All DI *retained* as proof of QMS implementation and effectiveness shall be indexed in the format **NIB/ Departmental initials/F serial number from 001** for forms; and **NIB / Departmental initials /R /serial number from 001/Vol…** for registers.

2.3 Format:

All DI shall be in Times New Roman Font 12, Spacing 1.5 and / or 1.15

2.4 Approval and Review:

2.4.1 The DI maintained shall be for use by the respective Head of Department / Division, authorized by the General Manager and issued by the MR

2.4.2 The various process owners in liaison with the MR shall continually review the DI maintained for applicability.

2.5 Availability

All DI maintained shall be available in hard / soft copies at the respective functional areas.

2.6 Protection (confidentiality, improper use, integrity, unintended alteration):

2.6.1 The various process actors (users) of the document shall ensure protection of DI maintained and retained in their respective work stations.

2.6.2 The MR shall ensure a back up for documents in soft copy is maintained ant that the integrity of the DI is maintained in course of review.

2.7 Filing

2.7.1 All DI retained in hard copies shall be filed and be made available in the respective functional areas.

2.7.2 The file in use shall be marked to the action officer; recorded in the circulation register and signed by a registry officer to enable them know where the file is.

2.7.3 The registry officer shall fill a transfer folio slip indicating the previous folio, file reference, date and signature of the officer who makes a change on the file.

2.7.3 All files shall be indexed in the Alfa-numeric format ***NIB/Station/Subject file/file No/vol...***

2.8 Access and retrieval

2.8.1 Respective functional area heads and staff shall be responsible for retrieval of DI in their jurisdiction while the registry officer shall be responsible for Organizational files in the registry.

2.9 Use

All DI's shall be used only for the indicated purpose contained in the DI.

2.10 Review and Changes to DI

2.10.1 Review of DI shall be initiated by any officer within NIB through a **Change Request Form**

2.10.2 On filling the form the requesting officer shall then forward it to the MR for verification and approval in liaison with the affected stakeholders through the respective process owner.

2.10.3 The MR shall ensure archiving of the old revision / version, issuance of the revised documents and communicating of the changes.

3.0 Documented Information retained

a) QMS Documented Information Retained

b) Change Request Form



PROCEDURE NUMBER 2: INTERNAL AUDITING

1.0 GENERAL

1.1 Purpose

The purpose of this procedure is to ensure that the QMS internal audits are carried out in a timely and effective manner

1.2 Scope

This procedure is applicable to QMS internal audits in NIB

1.3 References

a) ISO 9001:2015 clause 9.2

b) ISO 19011:2002

1.4 Terms Definitions

a) MR- Management Representative

b) QMS – Quality Management System

1.5 Responsibility

The MR shall ensure adherence to this procedure.

2.0 Method

2.1 Scheduling of Audits

2.1.1 Internal audits for QMS implemented in the Board shall be carried out 2 times in a financial year

2.1.2 The MR shall prepare an audit programme by the start of the financial year and ensure it is approved by the General Manager before implementation

2.2 Audit Notice

At least 3 weeks prior to any audit date; the MR shall issue an audit notice to Process owners and staff.

2.3 Appointment of Audit team

At least 2 weeks prior to the audit, the MR shall appoint audit team leader and team of auditors from the pool of Internal Auditors

2.4 Planning meeting and Audit Plan

2.4.1 The appointed audit team leader in consultation with the MR shall prepare an audit plan and submit to the MR for approval.

2.4.2 The MR shall approve the audit plan and circulate to all staff 7 days prior to the commencement of an audit.

2.5 Auditors' Preparation

2.5.1 The auditors shall review the audit criteria and develop a checklist

2.6 Execution of the Audit

During the actual audit date(s), the audit team leader in liaison with the MR, shall ensure the execution of the four phases of an audit as per the audit plan and generate a report within two working days.

2.7 Analysis of the Audit

The MR shall analyze the audit findings to establish areas of common deficiency across departments and areas of improvement to be presented in a management review forum.

2.8 Follow up

2.8.1 Nonconformities arising from an audit shall be addressed within ten (10) working days of the audit except for those with resource constraints where the period of implementation will be determined and documented.

2.8.2 The MR in liaison with the Audit Team leader shall ensure the auditors conduct an audit follow up to verify that corrections and corrective actions have been undertaken within the agreed timeframes as applicable and their effectiveness in addressing the issues.

2.9 Management Review

2.9.1 The MR shall present analysis of an audit to the Management review forum to be held within a month from the audit date.

2.9.2 The MR shall ensure that resolutions from the management review forum relating to the audit are addressed.

3.0 Documented Information retained

a) Approved Audit Programme
b) Audit Notice
c) Appointment (audit team leader and audit team)
d) Audit Plan
e) Audit Findings Form
f) Corrective Action Request Form
g) Audit Report
h) Management review meeting minutes

PROCEDURE NUMBER 3: CONTROL OF NONCONFORMING OUTPUTS

GENERAL

1.1 Purpose

To ensure effective identification and control of nonconforming outputs and operations

1.2 Scope

Applies to all the nonconforming products and operations within NIB

1.3 Reference

a) Scope Document – **NIB/SD/MR/002**

b) ISO 9001:2015 Clause 8.7

1.4 Terms Definitions

a) MR- Management Representative

b) Nonconformity – non-fulfillment of a requirement

c) CAR Form – Corrective Action Request Form

1.5 Responsibility

The MR shall ensure adherence to this procedure.

2.0 Method

2.1 Any member of staff upon identifying a nonconforming service shall raise an allegation to the MR through a CAR Form.

2.2 The MR shall confirm authenticity of the non-conformity and;

a) Facilitate taking action to control and correct it.

b) Ensure the process owner deals with the consequences

2.3 The MR shall ensure follow up and evaluation of the effectiveness of action taken and verify as per the corrective action or risk management procedure as applicable

3.0 Documented Information Retained

a) CAR Forms

PROCEDURE NUMBER 4: CORRECTIVE ACTION

1.0 GENERAL

1.1 Purpose

To ensure effective elimination of causes of nonconformities and prevent recurrence or occurrence elsewhere

1.2 Scope

Applies to corrective actions identified within NIB

1.3 Reference

a) Scope Document – NIB/SD/MR/002
b) ISO 9001:2015 clause 10.
c) CAR Form- corrective action request form

1.4 Terms and definitions

Corrective action - to eliminate the cause of a detected nonconformity

1.5 Responsibility

The MR shall ensure that this procedure is adhered to.

2.0 Method

2.1 Introduction

2.1.1 Nonconformity in the Board may be identified through interested parties, Audit, Survey reports among others.

2.1.2 Corrective Action Request Form shall be filled in case of audit or raised as per control of nonconforming output procedure for non-conformity identified in course of day to day operations

2.2 Reviewing nonconformities

The process owner shall review the corrective action request to determine its effect of the as reported.

2.3 Determining the causes of nonconformities

The process owner shall ensure determination of root cause of nonconformity with a view to eliminating them.

2.4 Evaluating the need for action to ensure that nonconformities do not recur.

The process owner in liaison with process actor(s) shall determine the required action to ensure the nonconformity does not recur or occur elsewhere.

2.5 Implementing action needed

2.5.1 The process owner shall ensure implementation of determined corrective action and submit the same to the auditor / MR. The MR shall facilitate where the action requires management decision.

2.5.2 After the MR / auditor endorse the corrective action, the process owner shall without undue delay implement the agreed corrective action.

2.6 Reviewing the effectiveness of the corrective action taken.

The MR / auditor shall review effectiveness of the corrective action taken during subsequent internal audits.

2.7 If necessary, the MR shall ensure updating of the Risk Register and make changes to the QMS documentation.

3.0 Documented Information retained

a) Corrective Action Request Form

b) Risk Register

PROCEDURE NUMBER 5: RISK MANAGEMENT

1.0 GENERAL

1.1 Purpose

To ensure effective elimination of potential causes of nonconformities to prevent their occurrence

1.2 Scope

Applies to all actions to address potential nonconformities in NIB

1.3 Reference

a) ISO 9001:2015 (Clause 6.1)

b) Scope Document – NIB/SD/MR/002

1.4 Terms definition

a) MR- Management Representative

b) Risk Profile- Description of any set of risks.

1.5 Responsibility

The MR shall ensure that this procedure is implemented.

2.0 Method

2.1 Introduction

2.1.1 The MR shall require Process Owners to update risk profiles in their departments by the beginning of any quarter or as need arises

2.1.2 The Process Owners Shall;

a) Establish their departmental objectives/strategic objectives

b) Determine their working environment/context (issues/factors affecting the effective achievement of the established objectives)

c) Determine the needs and expectations of customers and interested parties

Considering (b) and (c)above, the Process Owners Shall identify:

d) The inherent risk and opportunities that need to be addressed,

e) Their causes and sources

f) Their positive and negative consequences and;

g) The likelihood that those consequences can occur.

2.2 Risks shall then be assessed as to their potential severity and to the probability of occurrence through the formula:

Composite risk index = Impact of risk event x Probability of occurrence

2.3 Using the determined Risk level and the risk matrix, the Process Owners shall determine if the inherent risk is low, medium or high

2.4 The Process Owners shall ensure determination of existing controls and further undertake analysis to determine the Residual risk level

2.5 If the residual risk is low, the Process Owners shall accept the risk and monitor the same to ensure it does not escalate.

2.6 If the residual risk is medium or high the Process Owners shall ensure prioritization of the risks, establishing the mitigation / treatment measures, assigning of responsibilities and define the timelines

2.7 The Process Owners shall then forward the departmental risk profile to the MR for verification and consolidation into an institutional risk profile. The consolidated Risk profile shall be circulated within the Board for information, implementation and monitoring. The MR shall ensure monitoring of implementation of the risk profile during System Audits

2.9 In the event of an incident / accident, the MR shall ensure that they are handled as per the Corrective Action Procedure.

3.0 Documented Information retained

a) Departmental Risk profile
b) Risk Matrix
c) Organizational Risk Profile

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ADMINISTRATION PROCEDURES MANUAL - NIB/ADMIN/MR/004

PROCEDURE NUMBER 1: SECURITY

1.0 GENERAL

1.1 Purpose of Security

To ensure consistency in the provision of security services within the organization

1.2 Scope

This procedure applies to provision of security services at NIB

1.3 Reference

1.4 Terms and Definitions

a) NIB - National Irrigation Board
b) DGM (CS)- Deputy General Manager (Corporate Services)
c) SAO - Senior Administrative Officer
d) SM - Scheme Manager
e) SW - Security Warden
f) HoD - Head of Department
g) HoS - Head of Security
h) OiC - Officer in Charge

1.5 Principal Responsibility

The SAO/SM shall ensure this procedure is adhered to.

2.0 STEPS

2.1 Planning

2.1.1 The SAO / SW / HoS shall on weekly basis prepare a security duty rota for the station considering number of staff and security sections

2.1.2 The SAO / SW shall ensure the duty rota is approved by the DGM (CS) / Scheme manager

2.1.3 The SAO / SW shall communicate the approved rota to security staff for implementation

2.2 Security at the gate

2.2.1 The security guard on duty shall ensure visitors identify themselves, declare purpose of visit and office to be visited

2.2.2 The security guard on duty shall conduct a security check on the visitor including the vehicles as applicable

2.2.3 The security guard on duty shall register the visitor/vehicle, issue them with a gate pass and direct them to the reception for guidance

2.2.4 The security guard on duty shall deny entry to persons suspected of security breach

2.3 Security at installations and machineries

2.3.1 The Head of security / warden shall ensure major installations at the board have security deployed round the clock

2.3.2 The Head of security / warden shall require visitors to make prior arrangements in writing for visits to the installations

2.3.3 The visitors shall be issued with safety gear as appropriate

2.3.4. The visitors shall be guided by the security officer and the officer in charge to the areas of interest

2.4 **Reporting incidences**

2.4.1 The security guard on duty/ any staff shall report any incidents encountered to Security Officer who shall ensure immediate action depending on the nature of the incidence and capture the same into the occurrence book.

2.4.2 The Security Officer shall write a brief report of the incident to the respective HoD / SM/ OIC

2.4.3 The HoD / SM/ OIC shall as need be, institute investigations into the incidence and where disciplinary action is required proceed as per HR for further action.

3.0 Records to demonstrate effectiveness

a) Attendance Register
b) Visitors Pass
c) Occurrence Book/Incident record book
d) Site Register

PROCEDURE NUMBER 2: TRANSPORT

1.0. GENERAL

1.1 Purpose of Transport

To ensure consistency in provision of transport services in NIB

1.2. The Scope

This procedure applies to provision of transport services in NIB

1.3. References

a) National Transport and Safety Authority Act
b) Government Vehicle Check Unit regulations
c) NIB circulars

1.4. Terms and References

a) DGM (CS) – Deputy General Manager – Corporate services
b) SAO – Senior Administrative Officer
c) AO – Administrative Officer
d) NTSA - National Transport and Safety Authority
e) WF - Workshop foreman

1.5. Principal and Responsibility

The SAO /SM /OIC shall ensure this procedure is adhered to.

2.0 STEPS

2.1 Planning

2.1.1 The SAO/AO shall designate drivers to respective vehicles as need be

2.1.2. The SAO/AO shall where appropriate assign vehicles to various departments

2.1.3 The SAO / AO or any other authorized officers signs the work ticket prior to the driver embarking on an assignment.

2.2 Management of Vehicles

2.2.1 The SAO/ AO shall ensure that annual statutory NTSA and other obligations of the vehicles are met in NIB. This includes but not limited to insurance, annual vehicle inspection, axle load exemption permits and Protruding Cargo Permit.

2.2.2 The Driver shall ensure that vehicle is in good working condition before commencement of a journey.

2.2.3 The Driver shall ensure that their vehicle is maintained in clean usable condition and maintain a duly signed work ticket throughout the journey

2.2.5 The Driver shall carry out prescribed mounting procedures and shall be responsible for the safety of the vehicle and passengers

2.3 Fuel/Lubricants Requisition

2.3.1. The Driver / Plant Operator Shall request for fuel from the SAO/WF. At this point, he/she is required to present the work ticket.

2.3.2 The SAO/WF shall approve and facilitate the fueling

2.3.3 The SAO/WF shall ensure facilitation of drivers traveling outside their respective duty stations as per control of expenditure procedure

2.3.4 On monthly basis the SAO / WF shall undertake fuel analysis to determine utilization and ensure appropriate action is undertaken

2.4 Reporting of incidences

2.4.1 In the event of an incidence / accident the driver shall at the earliest inform SAO /AO

2.4.2 The Driver shall proceed to record the incidence with the nearest Police Station and be issued with a Police Abstract and Vehicle Inspection Report as applicable.

2.4.3 The SAO / AO shall prepare a brief report of the accident to the DGM (CS) for information and necessary action.

2.4.4 The SAO/ AO shall ensure reporting of the incidence to the insurance company within 24hrs of occurrence and processing claim supporting documents for filing with the insurance company.

3.0 Records to demonstrate effectiveness

a) Work ticket
b) Logbook
c) Fuel Card
d) Fuel Cards Register
e) Fuel Requisition Note / Good issue note.
f) Fuel analysis reports

PROCEDURE NUMBER 3: REPAIR AND MAINTENANCE OF ASSETS

1.0 General

1.1 Purpose

To ensure timely repair and maintenance of assets

1.2. Scope

Applies to repair and maintenance of assets in NIB

1.3. Reference

a) Public Procurement and Assets Disposal Act, 2015

b) Applicable Circulars from Ministry of public works

1.4. Terms and Reference

a) NIB – National Irrigation Board

b) SAO – Senior Administrative Officer

c) AO – Administrative Officer

d) WF – Workshop Foreman

1.5. Principal and Responsibility

The SAO / WF shall ensure this procedure is adhered to.

2.0 STEPS

2.1 Repairs

2.1.1 Defects or a malfunction of the board motorized equipment / motor vehicles / furniture shall be reported to the SAO / AO

2.1.2 The SAO/WF shall record in defects Record Book before raising a Repair Request.

2.1.3 As applicable, the SAO / WF shall ensure a job card is opened for that particular vehicle or equipment.

2.1.4 The SAO / WF shall assign a mechanic / repair officer to carry fault diagnosis, list the spares required if any and report back.

2.1.5 The SAO / WF shall advice the mechanic / repair officer on how to undertake the repairs or liaise with prequalified service provider for the repairs.

2.1.6 If there will be need for spares, the WF at the respective NIB workshops shall request for them as per inventory management procedure.

2.1.7. In case the spares are not available, the WF shall proceed as per procurement procedure

2.1.8 After completion of the repairs, verification of the repairs shall be done by Inspection and acceptance committee or storekeeper as applicable

2.1.9 SAO / WF shall ensure monthly analysis of the costs of operation and repairs of vehicles / machineries and advise on their performance

2.2 Maintenance

2.2.1. The SAO/WF shall ensure service and maintenance of NIB assets is done as per manufacture's Schedule / Warrant

2.2.2. The SAO /WF shall develop a maintenance schedule for NIB assets before the start of a financial year

2.2.3. In course of the year the SAO /WF shall ensure implementation of the maintenance schedule

2.2.4 SAO / WF shall ensure monthly analysis of the costs of operation and maintenance of assets and advise on their performance

3.0. **Records to demonstrate Effectiveness**

a) Maintenance schedule/Chart

b) Service Request Form

c) Repair Request Form

d) Job Card

e) Defects report book / work ticket

f) Service Book

NATIONAL IRRIGATION BOARD

INFRASTRUCTURE AND IRRIGATION DEVELOPMENT SERVICES PROCEDURE

- NIB/IIDS/MR/005

INFRASTRUCTURE AND IRRIGATION DEVELOPMENT SERVICES

1.0 GENERAL

1.1 Purpose

To ensure effectiveness and efficiency in development of irrigation infrastructure

1.2 Scope

Applies to all activities geared towards development of irrigation infrastructure by NIB

1.3 Reference

a) Irrigation Act Cap 347 of 1966
b) Ministry of Water & Irrigation/Agriculture Design Manuals (Kenya)
c) Guidelines for the Design, Construction and Rehabilitation of Small Dams and Pans in Kenya.
d) Practice Manual for Small Dams, Pans and Other Conservation Structures in Kenya.
e) United States Bureau of Reclamation
f) National Water/Irrigation Master Plan
g) FAO Irrigation Design Manuals
h) Kenya/British Standards
i) FIDIC Conditions of Contract
j) Civil Engineering Standard Method of Measurement
k) Teamed States Army Corps of Engineers Manual
l) Standard specifications
m) Steel design manual
n) Other relevant design manuals

1.4 Definition of Terms

a) NIB – National Irrigation Board
b) GM – General Manager
c) O&M – Operations and Maintenance
d) DGM(IIDS) – Deputy General Manager – Infrastructure and Irrigation Development Services
e) FAO – Food and Agricultural Organization
f) IWUA - Irrigation Water Users Associations
g) DGM (OIMS) - Deputy General Manager Operations and Irrigation Management service

h) FIDIC – International Federation of Consulting Engineers

i) DGM (RPS) - Deputy General Manager – Research, Planning and Strategy

j) HoD - Head of Department

1.5 Principal Responsibility

The DGM(IIDS) shall ensure that this procedure is adhered to.

2.0 STEPS

2.1 Inception

2.1.1 The DGM(IIDS) shall identify need to develop an irrigation project from the Community/stakeholders, Government Policy interventions/priorities, or internal requests from the scheme members.

2.1.2 The DGM(IIDS) shall ensure need assessment is carried out on the proposed project area including preliminary studies and data collection.

2.1.3 The DGM(IIDS) shall ensure a proposal/concept report is prepared and submitted to DGM (RPS) for evaluation, prioritizing and funding in the subsequent budget.

2.1.4 The DGM(IIDS) shall receive a project implementation manual for an approved project for implementation.

2.2 Feasibility Studies

2.2.1 The DGM(IIDS) shall appoint a Contract Manager/Contract Management Team to oversee the project

2.2.2 The Contract Manager / Contract Management Team shall carry out a feasibility studies.

2.2.3 If using consultancy service, the Contract Manager / Contract Management Team shall prepare RFP for the project feasibility Studies and proceed as per procurement procedure.

2.2.4 The Contract Manager / Contract Management Team shall ensure review of previous studies (if any) for the proposed irrigation area is carried out.

2.2.5 The Contract Manager /Contract Management Team shall ensure data collection is done on preliminary survey, delineation, soil survey, water resource assessment, agricultural development plan and social impact report prepared

2.2.6 The Contract Manager/Contract Management Team shall ensure that data analysis is undertaken to generate preliminary design and costing of the project.

2.2.7 The Contract Manager/Contract Management Team shall ensure determination of the project viability / feasibility

2.2.8 The Contract Manager/Contract Management Team shall ensure community / stakeholders' sensitization meetings are held for mobilization and to discuss findings of the feasibility studies and progress.

2.2.9 The Contract Manager / Contract Management Team in liaison with DGM(RPS) and DGM (OIMS) shall facilitate formation of IWUAs

2.2.10 The DGM(IIDS) shall ensure the project progresses to detailed design if viable or terminated if not.

2.3 Detailed Design

2.3.1 The Contract Manager/Contract Management Team shall ensure a detailed survey of the project is undertaken including; topographical, cadastral, soil and geotechnical studies

2.3.2 The Contract Manager/Contract Management Team shall ensure detailed hydrological and water resource studies are carried out

2.3.3 The DGM(IIDS) shall liaise with DGM(OIMS) to develop a detailed agricultural development plan

2.3.4 The Contract Manager/Contract Management Team shall ensure design of the scheme layouts including irrigation and drainage infrastructure is carried out based on the detailed studies.

2.3.5 The Contract Manager / Contract Management Team shall ensure the Bill of Quantities and the Engineer's Cost Estimates are prepared

2.3.6 The DGM (IIDS) shall liaise with DGM(PRS) to undertake Environmental & Social Impact Assessment and RAP respectively as per irrigation stakeholders' engagement procedure

2.3.7 The Contract Manager/Contract Management Team shall ensure preparation of Tender Documents in liaison with the Procurement Department

2.3.8 The DGM(IIDS) shall approve Detailed Designs of the project.

2.4 Construction

2.4.1 The DGM(IIDS) shall appoint a Contract Manager/Contract Management Team to oversee the project management.

2.4.2 The Contract Manager/Contract Management Team shall ensure a design review is undertaken before commencement of the project and during construction.

2.4.3 The Contract Manager/Contract Management Team shall ensure start up meeting with the Contractor and the community is held to hand over the project to the contractor. He / She shall also ensure monthly site meetings are held.

2.4.4 The Contract Manager/Contract Management Team shall ensure supervision of the construction works as per the contract requirements, design and specifications

2.4.5 The Contract Manager / Contract Management Team shall prepare and submit progress reports, variations & claims and payment certificates to the DGM(IIDS) for review and necessary action

2.5 Testing and Commissioning of the Completed Project

2.5.1 The Contract Manager/Contract Management Team shall ensure testing of the project components as per the Contract before handover of the project for operation and maintenance as per Operation and Maintenance Services Procedure

2.5.2 The Inspection and Acceptance shall carry out inspection, testing and accept the project as per the procurement procedure

3.0 Records to demonstrate effectiveness

a) Inception Report
b) Project Implementation Manual
c) Preliminary and Final Feasibility Reports
d) Preliminary Design Report
e) Draft Final Design Report
f) Final Design Report and Tender Documents
g) Water Abstraction and Allocation Permits
h) The Contract Document
i) Site Instructions
j) Measurement Sheets
k) Progress Reports
l) Minutes of the Technical Progress/Site Meetings
m) Interim and Final Payment Certificates
n) Inspection and Acceptance Reports
o) Commencement notice
p) Test Reports (for workmanship and quality assurance).
q) Completion Certificates
r) Handing/Taking over Reports
s) As built drawings
t) Operation and Maintenance Manuals



NATIONAL IRRIGATION BOARD

OPERATION PROCEDURE - NIB/OP/MR/006

PROCEDURE NUMBER 1: OPERATION AND MAINTENANCE OF IRRIGATION INFRASTRUCTURE

1.0 GENERAL

1.1 Purpose

To ensure effectiveness and efficiency in operation and maintenance of irrigation Infrastructure

1.2 Scope

These procedures apply to operation and maintenance of irrigation infrastructure in Public irrigation schemes managed by NIB

1.3 References

a) Irrigation Act Cap 347
b) Water Act 2016
c) PPAD Act 2015

1.4 Terms and definitions

a) IWUA – Irrigation Water Users Association
b) NIB- National Irrigation Board
c) DGM(OIMS)- Deputy General Manager Operation and Irrigation Management Services
d) O&M -Operation and Maintenance
e) SM- Scheme Manager
f) IE- Irrigation Engineer
g) IO- Irrigation Officer
h) OIC – Officer- In-Charge

1.5 Principal Responsibility

DGM(OIMS) / SM / OIC will ensure this procedure is adhered to.

2.0 STEPS

2.1 Joint Planning

2.1.1 SM shall invite the scheme management committee to a joint planning meeting before the start of any cropping season

2.1.2 The meeting will draw a cropping programme, infrastructure maintenance schedule, a water distribution plan and agree on deadline for payment of O & M fees.

2.1.3 Based on the cropping programme and the infrastructure maintenance schedule, the SM shall ensure incorporation of the financial aspect into the scheme budget

2.1.4 The DGM(OIMS) shall convene a Schemes operation meeting to receive submission on cropping programme, scheme operation & maintenance plans and budget from the various Scheme managers

2.2 Operations

2.2.1 Based on the water distribution plan water technician shall on daily basis collect information on Water needs in various blocks and submit a report to the IE.

2.2.2 The IE shall advise the water technicians on amount of water to be abstracted from the intake to the main canal for the various irrigation blocks.

2.2.3 The IE shall resolve any issues arising from the water distribution process

2.3 **Maintenance**

2.3.1 The scheme IE shall convene a meeting with IWUA members to prioritize areas to be maintained based on the infrastructure maintenance schedule

2.3.3 The scheme IE shall ensure the prioritized maintenance works are undertaken as per the infrastructure maintenance schedule

2.3.4 The scheme IE shall ensure preparation of a certificate of completion for any completed works to Inspection and Acceptance Committee and submission of the same to the SM for approval and payment

3.0 Records to demonstrate effectiveness

a) Notices to joint planning meeting
b) Minutes of meetings
c) Cropping programme
d) Irrigation Infrastructure Maintenance schedules
e) Water Distribution plan
f) Scheme budget
g) Water needs reports
h) Baseline assessment reports
i) Inspection and Acceptance report

PROCEDURE NUMBER 2: PRODUCTION

1.0 GENERAL

1.1 Purpose

To ensure consistency in the promotion of sustainable crop production

1.2 Scope

Applies to crop production in Public Irrigation schemes and stations managed by NIB

1.3 References

a) Crop Act 2012

b) Seed and plant variety Act 2012

c) Food ,drugs and substance Act cap 2534

d) Other applicable Acts

1.4 Terms and definitions

a) NIB- National Irrigation Board

b) SM- Scheme Manager

c) OIC – Officer In Charge

d) DGM(OIMS)- Deputy General Manager Operation and Irrigation Management Services

e) KEPHIS – Kenya Plants Health Inspectorate

1.5 Principal Responsibility

DGM (OIMS) / SM will ensure this procedure is adhered to.

2.0 STEPS

2.1 Baseline assessment

2.1.1 SM / OIC shall ensure carrying out of an assessment of the status of production to identify the intervention areas for optimum performance.

2.1.2 SM / OIC shall present the assessment reports to the Scheme Management Committee for vetting and prioritization based on available resources

2.1.3 SM / OIC shall ensure implementation of the prioritized activities.

2.1.4 The SM / OIC shall ensure communication of the Cropping programme drawn during the scheme management committee meeting to the farmers in a general farmers meeting by the onset of the cropping season

2.2 **Linkage of farmers to credit and input service providers**

2.2.1 The SM / OIC shall receive request for linkage to credit facilities / service from the farmers

2.2.2 Based on the request the SM / OIC shall facilitate identification and engagement with the suitable service providers to negotiate on the terms and conditions with the farmers' leaders

2.2.3 The SM / OIC shall then facilitate a meeting between the farmers' leaders and the credit / service provider to finalize on terms and conditions of the services.

2.3 Linkage of famers to markets

2.3.1 The SM / OIC shall sensitize farmers on market-oriented crop intensification.

2.3.2 The SM / OIC shall facilitate identification and engagement of potential market outlets for the produce

2.3.3 The SM / OIC shall facilitate negotiations and development of agreement between the farmer and the markets.

2.4 Irrigation advisory services

2.4.1 The SM/OIC shall ensure collaborative implementation of the agreed cropping program

2.4.2 The SM / OIC shall establish a reporting channel for receiving farmers' production challenges

2.4.3 The SM / OIC shall ensure analysis of the challenges and facilitate provision of relevant solutions

2.4.4 The SM / OIC shall ensure documentation of the solutions for future reference

2.5 Seed Production

2.5.1 The seed Farm manager / Officer in Charge shall develop a seed production business plan and submit to DGM(OIMS) for approval

2.5.2 The seed Farm manager / Officer in Charge shall produce approved certified seed quantities in liaison with KEPHIS

2.5.3 The seed Farm manager / Officer in Charge shall ensure the crop certified by KEPHIS are harvested for seed production

2.5.4 The seed Farm manager / Officer in Charge shall ensure post harvesting handling of the crop is undertaken. This shall involve;

a) Cleaning
b) Drying to right moisture content
c) Sorting
d) Treatment

e) Packaging
f) Labeling
g) Delivery and storage

3.0 Records to demonstrate effectiveness

a) Minutes of meetings
b) Cropping programme
c) Input requisition form
d) Signed contracts/ MoU
e) Signed sales agreement forms
f) Production report
g) Corrective action report
h) SR 5 forms
i) Working order forms
j) Laboratory analysis report

PROCEDURE NUMBER 3: IRRIGATION MANAGEMENT SERVICES

1.0 General

1.1 Purpose

To ensure consistency in provision of irrigation management services

1.2 Scope

Applies to provision of irrigation management services by NIB

1.3 References

a) Irrigation Act Cap 347
b) Crop Act 2012
c) Land Act 2011

1.4 Terms and definitions

a) SM- Scheme Manager
b) DGM(OIMS)- Deputy General Manager Operation and Irrigation Management Services
c) RO - Research Officer

1.5 Principal Responsibility

DGM(OIMS) / SM / OIC shall ensures procedures are adhered to.

2.0 STEPS

2.1 Training

2.1.1 The SM / OIC shall ensure identification of farmers training needs from previous farmers training reports, monitoring and evaluation and farmers request

2.1.2 The SM / OIC shall ensure inclusion of the training activities in budgeting process

2.1.3 By the beginning of the year, the SM / OIC shall ensure preparation and approval of a farmers training programme.

2.1.4 In course of the year SM / OIC shall ensure execution of the farmers' trainings in line with the training programme

2.1.5 After every training the SM / OIC shall ensure preparation of a training report

2.2 Soil, Water and Tissue analysis

The SM / OIC shall receive requests for analysis from the farmers and ensure this is done as per laboratory management procedure

2.3 Land Administration

2.3.1 The SM / OIC shall receive land administration issues from the farmers and ensure they are registered in the farmers file

2.3.2 The SM / OIC shall ensure analysis of the issue to determine whether it is succession, transfer or dispute before referring it to the Scheme Advisory Committee for action

2.3.3 The SM / OIC shall ensure implementation of the resolution by the Scheme Advisory committee as per the provision of the Irrigation Act Cap 347

3.0 Records to demonstrate effectiveness

a) Training reports
b) Research Budget
c) Training manuals
d) Publications
e) Laboratory reports
f) Minutes of meetings
g) Research Proposals
h) Technical report
i) Research file

PROCEDURE NUMBER 4: IRRIGATION OPERATIONAL RESEARCH SERVICES

1.1 PURPOSE

To ensure effective and efficient provision of technical backstopping and advisory support services for performance of schemes operations

1.2 SCOPE

Applies to all schemes/projects in NIB

1.3 REFERENCES

a) Irrigation Act
b) Other government priorities and policies
c) Kenya National Accreditation Services (KENAS) Regulations
d) ISO 17025 Requirements

1.4 TERMS AND DEFINITIONS

a) GM- General Manager
b) DGM(OIMS)-Deputy-General Manager, Operations, Irrigation Management Services
c) NIB -National Irrigation Board
d) SM-Scheme Manager
e) OIC- Officer – in – Charge

1.5 PRINCIPAL RESPONSIBILITY

The Head of Research shall ensure that this procedure is adhered to

2.1 Operational Research

2.1.1 The Head of Research shall ensure collaborative identification of research needs through monitoring of Scheme activities, reviews and identification of emerging challenges and new innovations/technologies on a continual basis

2.1.2 The Head of Research shall ensure development of research proposal and submission of the same to the DGM(OIMS) for vetting and prioritization

2.1.4 The Head of Research shall submit the vetted proposal to the GM for approval and facilitation

2.1.5 The Head of Research shall ensure collaborative undertaking of the approved research

2.1.6 The Head of Research shall ensure sharing of the findings for peer review, documentation, publication and dissemination to farmers/stakeholders for implementation and updating of departmental strategies

2.2 Research advisory services

2.2.1 The Head of Research shall ensure the continuous provision of support to the schemes through routine monitoring, interventions, advisory services

2.2.2 The Head of Research shall ensure the continuous provision of support to the schemes through training and capacity building in liaison with all Heads of Departments

2.3 Research laboratory analytical services

2.3.1 The Head of Research shall ensure submission of laboratory requirements before the start of the year for budgeting purposes

2.3.2 During the year the DGM (OIMS) shall ensure facilitation of the labs with required reagents

2.3.2 The Head of Research shall ensure the routine sampling of soil, water, plants and produce and make provision for receiving special requests for the same

2.3.3 The Head of Research shall ensure the ensure undertaking of the required testing / analysis and communicate results to requesting party within seven (7) days for ten or less samples and within twenty one (21) days for more than ten samples

2.3.4 The Head of Research shall communicate the analysis results within seven (7) days

2.3.5 The Head of Research shall ensure subsequent follow-ups to monitor implementation of recommendations given within the cropping cycle

2.3. 6 **Records to demonstrate effectiveness**

2.0 RECORD

j) Training reports
k) Budget
l) Training manuals
m) Publications
a) Work plan.
b) Customer test requisition form.
c) Control book.
d) Analytical reports.
e) Monitoring report

NATIONAL IRRIGATION BOARD

PLANNING PROCEDURES MANUAL - NIB/PD/MR/007

PROCEDURE NUMBER 1: MONITORING AND EVALUATION

1.0 General

1.1 Purpose

To ensure consistency in M&E

1.2 Scope

Applies to all M&E activities in NIB

1.3 References

a) Legal Notice No.93 of 2004

b) Kenya Vision 2030

1.4 Terms and Definitions

a) M&E - Monitoring and Evaluation

b) NIB National Irrigation Board

c) DGM(RPS) Deputy General Manager (Research, Planning and Strategy)

1.5 Principal Responsibility

DGM(RPS) shall ensure adherence to this procedure

2.0 STEPS

2.1 The DGM (RPS) shall ensure preparation of an annual M&E plan before the beginning of the financial year

2.2 The DGM(RPS) shall ensure the M&E plan is approved before communicating it to the departments, schemes and stations for preparation

2.3 Based on the annual M&E plan, the DGM(RPS) shall facilitate the M&E team to undertake quarterly, bi annual and annual M&E activities within NIB

2.4 For every M&E activity, the Officers shall draft reports (quarterly, bi annual and annual reports) and submit to the DGM(RPS) for review

2.5 The DGM(RPS) shall in liaison with the GM present the report to the Board of Directors for adoption and subsequent submission to the line ministry

2.6 The DGM(RPS) shall ensure implementation of recommendations arising from the M&E report

3.0 Records to demonstrate effectiveness

a) M&E Plan

b) M&E Report

c) M&E minutes

PROCEDURE NUMBER 2: RESOURCE MOBILIZATION

1.0 General

1.1 Purpose

To ensure that there is consistency and transparency in resource mobilization

1.2 Scope

Applies to mobilization of resources at NIB

1.3 References

a) Public Private Partnership (PPP) Act, 2013 Government Press
b) Public Finance Management Act. No. 18 Of 2012
c) Kenya Vision 2030
d) The National Treasury Circulars

1.4 Terms and Definitions

a) PPP- Public Private Partnership
b) GoK – Government of Kenya
c) DGM(RPS) – Deputy General Manager – Research Planning and Strategy
d) User Department- a department that communicated the need for donor funding for their projects
e) The resource mobilization team - Any officer appointed by the General Manager to seek alternative financing option
f) NIB – National Irrigation Board

1.5 Principal Responsibility

DGM(RPS) shall ensure adherence to this procedure

2.0 STEPS

2.1 Resources at NIB shall be mobilized from the following source:

a) GoK
b) Bilateral and multi – lateral agreements
c) Co-Financing
d) PPP

2.2 Before the beginning of the National budgeting process, upon identification of a project that requires resource mobilization the DGM(RPS) shall ensure development of project concept notes

2.3 The concept notes shall be approved by the GM before being submitted to the National Treasury through the PS in charge of irrigation

2.4 Upon receipt of communication on approval of funding the DGM(RPS) shall ensure budgeting of the funds allocated and the signing of any agreements as applicable

2.5 The DGM(RPS) shall ensure preparation of project implementation manual and handover of the project to the implementing department of the Board

2.6 During the project implementation period, the DGM(RPS) shall ensure monitoring of the funds absorption and reporting on the same to the relevant authorities

.3.0 Records to demonstrate effectiveness

a) Project concept notes
b) Proposal to Donors
c) Memoranda of Understanding
d) Financing Agreements
e) Project Implementation Manual
f) Budget showing external resources
g) Budget implementation reports.

PROCEDURE NUMBER 3: BUDGETING

1.0 General

1.1 Purpose

To ensure effective planning and decision making

1.2 Scope

Applies to all activities geared towards budgeting at NIB

1.3 References

a) Scope Document – NIB/SD/MR/002
b) The Constitution of Kenya, 2010
c) Public Finance Management Act, 2012
d) National Budget Policy Statement (BPS);
e) Medium-term Debt Management Strategy paper;
f) The Division of Revenue Bill (DoRB)
g) Kenya Vision 2030

1.4 Terms and Definitions

a) PFMA -Public Financial Management Act
b) BPS -Budget Policy Statement
c) DORB -Division of Revenue Bill
d) MTEF -Medium Term Expenditure Framework
e) DGM (R,P&S) -Deputy General Manager (Research, Planning & Strategy)

1.5 Principal Responsibility

DGM(RPS) shall ensure adherence to this procedure

2.0 STEPS

2.1 Sector Budgeting

2.1.1 The DGM(RPS) shall receive guidelines on sector budgeting from the National treasury

2.1.2 The DGM(RPS) shall appoint officers to represent the Board in the sector working group

2.1.3 The DGM(RPS) shall ensure the appointed officer(s) prepare proposed MTEF estimates for the Board based on the guidelines and presented to the BoD for approval

2.1.4 The DGM(RPS) shall ensure the officers represent the board in the sector working group meetings in preparation of the sector budget

2.2 Preparation of NIB budget

2.2.1 The DGM(RPS) shall receive communication on the ceilings for the programme based budget from The National Treasury

2.2.2 The DGM(RPS) shall liaise with the GM to guide on the broad direction on NIB priorities for the financial year to guide the allocations as guided by strategic plan and national priorities

2.2.3 After guidance, the DGM(RPS) shall convene a meeting of budgeting committee of the board to discuss the guidelines.

2.2.4 After the meeting, the DGM(RPS) shall circulate budget / work plan templates to departments, schemes and stations with a timeframe for submission of their draft budgets

2.2.5 The DGM(RPS) shall receive the submissions from departments, schemes &stations ensure the budget Committee reviews them against the budget ceilings and rationalizes

2.2.6 The DGM(RPS) shall liaise with the GM to table the draft budget / work plan before the BoD for adoption

2.2.7 Upon adoption the DGM(RPS) shall communicate the rationalized Budget/ work plan to the departments, schemes and stations

2.2.8 In the event of revision of allocations by the National Treasury in the supplementary budget, DGM(RPS) involving the relevant departments shall develop a revised budget and work plan

2.2.9 The DGM(RPS) shall liaise with the GM to table the draft revised budget and work plan before the BoD for adoption

2.2.10 Upon adoption the DGM(RPS) shall communicate the revised Budget and work plan to the departments, schemes and stations

2.2.11 During the financial year the utilization of the allocated funds shall be as per finance operations procedure and monitoring shall be as the Risk Based Procedure

2.2.12 The DGM(RPS) in liaison the Head of finance function shall ensure preparation and submission of quarterly, bi annual and annual reports to the relevant state agencies

3.0 Records to Demonstrate effectiveness

a) Communication on financial year budgeting guidelines
b) Appointments
c) Board budget Estimates
d) Sector budget
e) Minutes

f) Communication to Departments / schemes / stations on Budgeting

g) Departments / schemes / stations on Budget

h) Rationalized budget and work plans

i) Revise budget and work plans



PROCEDURE NUMBER 4: IRRIGATION STAKEHOLDERS ENGAGEMENT

1.0 GENERAL

1.1 Purpose

To ensure effectiveness and transparency in engagement of Irrigation projects stakeholders

1.2 Scope

Applies to engagement of stakeholders in all Irrigation projects of NIB

1.3 Reference

a) Constitution of Kenya 2010
b) Land Act 2012
c) Land Registration Act 2012
d) Sessional Paper No. 3 of 2009 on National Land Policy

1.4 Terms and Definitions

a) DGM(RPS) - Deputy General Manager Research Planning and Strategy
b) GRM – Grievance Redress Mechanism
c) GM – General Manager
d) HOD – Head of Department
e) IWUA -Irrigation Water Users Association
f) NIB- National Irrigation Board
g) NLC – National Land Commission
h) PAPs – Project Affected Persons
i) RAP – Resettlement Action Plan
j) SDO – Social Development Officer

1.5 Principal Responsibility

The DGM(RPS) shall ensure adherence to this procedure

2.0 STEPS

2.1 Introduction

2.1.1 The head of the Social Development function shall identify need for / receive request for stakeholders' engagement from other departments

2.1.2 Based on needs the head of the Social development function prepare a budget and work plan for stakeholder engagement. The work plan shall be recommended to the General Manager for approval by DGM(RPS)

2.2 Public participation in Irrigation projects

2.2.1 The HOD Social Development shall allocate the project to a Social Development Officer for execution

2.2.2 The Head of Social development function shall undertake a stakeholder mapping for projects

2.2.3 The Head of Social development function shall engage selected key stakeholders based on their needs

2.2.4 The Head of Social development function shall receive stakeholder concerns on various aspects of the project, document them and prepare responses in liaison with the project manager

2.2.4 The Head of Social development function shall organize programs to capacity build various stakeholders

2.3 Land acquisition

2.3.1 The Project Manager shall in liaison with DGM(IIDS) facilitate the recruitment of a qualified Consultant to prepare a RAP report that shall include census surveys and valuation roll

2.3.2 The Head of Social development function shall carry out sensitization activities for the Project Affected Persons (PAPs) through public barazas

2.3.3 The Head of Social development function shall further engage the PAPs and other stakeholders to develop a grievance redress mechanism for the project.

2.3.4 Based on the RAP report, the SDO shall verify and validate entitlement for every PAPs

2.3.5 The Head of Social development function shall submit the RAP report to the DGM for adoption and subsequent submission to NLC or implementation as applicable

2.3.6 The Head of Social development function shall support NLC during the implementation of RAP report

2.4 Support of IWUAs

2.4.1 For all Irrigation projects the Head of Social development function shall in liaison with DGM (OIMS) support the forming of the IWUAs as per IWUA Operation Manual/ Water Users Association Constitution

2.4.2 The Head of Social development function shall ensure preparation of capacity building plan before the beginning of the financial year for the IWUAs and ensure its approval by the general manager

2.4.3 The Head of Social development function shall in liaison with the DGM(RPS) and DGM(OIMS) to carry out capacity building of the IWUA in liaison with

3.0 Records to demonstrate effectiveness

a) Stakeholders' analysis report
b) Stakeholder attendance sheets
c) Minutes of stakeholders meetings
d) Title Deeds
e) Capacity building plan
f) Rap report
g) List of IWUA committee members
h) IWUA Operation Manual
i) Water Users Association Constitution
j) Training report

PROCEDURE NUMBER 5: PROJECT ENVIRONMENTAL STUDIES

1.0 General

1.1 Purpose

To ensure effectiveness in undertaking environmental activities on projects

1.2 Scope

Applies to undertaking of environmental studies on all projects at NIB

1.3 Reference

a) Scope Document – NIB/ SD/MR/002
b) EMCA 1999No 8 of 1999
c) Constitution of Kenya 2010

1.4 Terms and Definitions

a) EMCA - Environmental Management and Coordination Act
b) EA - Environmental audit
c) EIA - Environmental Impact Assessment
d) COK - The Constitution of Kenya
e) NEMA - National Environment Management Authority
f) DGM(RPS) - Deputy General Manager Research Planning and Strategy
g) NIB - National Irrigation Board

1.5 Principal Responsibility

The Environmentalist shall ensure that this procedure is adhered to

2.0 STEPS

2.1 Planning

2.1.1 The environmental studies to be undertaken on project shall include as appropriate; Environmental Impact Assessment; Environmental Audit; Strategic Environmental Audit;

2.1.2 The environmentalist shall determine need for / receive request to undertake an environment study on a project from the project implementing department through DGM(RPS)

2.1.3 The environmentalist shall record the need / request in the environmental study register

2.1.4 The environmentalist shall analyze the need / request and depending on the required study develop Terms of reference for the study

2.1.5 The environmentalist shall liaise with DGM(RPS) to have the TORs approved

2.2 Execution

2.2.1 Where the study is to be undertaken externally, environmentalist shall proceed as per procurement procedure

2.2.2 Where the study is to be undertaken internally, the environmentalist shall in liaison with DGM(RPS) constitute a team to undertake the study

2.2.3 The environmentalist shall ensure the study is undertaken as per the TORs and in line with EMCA 1999 Act and the EIA/EA regulations 2003 and 2006.

2.3 Reporting

2.3.1 The environmentalist shall ensure internal approval of the study report before being submitted to NEMA.

2.3.2 The environmentalist shall then follow up with NEMA to ensure acknowledgement / license issuance for the project to proceed.

2.3.3 The environmentalist shall ensure recommendations in the study reports in form of Environmental Management Plan are implemented through period monitoring

3.0 Records to demonstrate effectiveness

a) Environmental Study report
b) Study requests
c) Environmental Study Register
d) TORs
e) List of team members / Appointments
f) Contract document
g) Notification submitted to NEMA
h) Project reports (Inception, Draft and Final/Project report)
i) Notification for NEMA approval
j) NEMA license



NATIONAL IRRIGATION BOARD

FINANCE OPERATIONS PROCEDURE - NIB/FIN/MR/008

FINANCE OPERATIONS PROCEDURE

1.0 GENERAL

1.1 Purpose

To ensure effectiveness, accountability, consistency and efficiency in finance operations

1.2 Scope

This procedure is applicable to all Finance processes within NIB and the subsidiaries (Mwea Rice Mills Limited and Western Kenya Rice Mills).

1.3 References

a) Irrigation Act CAP 347 of 1966
b) Public Financial Management Act (2012)
c) International Public Sector Accounting Standards
d) International Financial Reporting Standards
e) The National Treasury Circulars
f) Any other relevant government circular
g) GoK Printed estimates (Recurrent and Development)
h) NIB Finance Management manual, 2018

1.4 Terms and Definitions

a) NIB - National Irrigation Board
b) GM - General Manager
c) SM - Scheme Manager
d) OIC - Officer in charge
e) GoK - Government of Kenya
f) O&M - Operation and Maintenance
g) RTGS - Real Time Gross Settlement
h) PV - Payment Voucher

1.5 PRINCIPAL RESPONSIBILITY

The Head of finance function is responsible for the implementation of the procedure.

2.0 Steps

2.1 Revenue collection

2.1.1 Revenue sources for NIB shall include;

a) GoK grants
b) Donor Funds
c) Operations and maintenance fee (O&M)
d) Rent
e) Sales of farm produce
f) Hire of Heavy equipment / machinery
g) Miscellaneous
h) Management fee

2.1.2 All revenues received shall be receipted and the receipt allocated a unique serial number

2.1.3 All the monies received in cash / cheques shall be banked intact within a day of receipt

2.1.4 The Head of finance shall ensure confirmation of monies paid directly to the bank

2.1.5 The Head of finance shall ensure all receipted revenue are coded and posted in the respective cashbook and the General ledger

2.1.6 The Head of finance shall on monthly basis or as need be the ensure preparation of requisite financial reports

2.2 Expenditure and Budgetary control

2.2.1 The following are the payments made by NIB

a) Suppliers
b) Contractors / Consultants
c) Salaries and wages
d) Overtime
e) Staff advance / Imprest
f) Petty cash

2.2.1 The Head of finance shall ensure receipt of an approved payment request accompanied with supporting documents

2.2.2 The Head of finance shall ensure examination and verification of the payment request before invoicing the same in the ERP system

2.2.3 The Head of finance / SM /OIC shall authorize raising of a PV and approval of the same through the ERP system

2.2.4 The Head of finance / SM /OIC shall authorize preparation of cheque / RTGS by the cashier and signed as per mandates

2.2.5 The Head of finance / SM /OIC shall ensure vouchers are posted to the general ledger within a day of payment

2.2.6 The Head of finance shall on monthly basis or as need be the ensure preparation of requisite financial reports

2.3 Compliance

2.3.1 The Head of finance / SM /OIC shall ensure tax is computed on every payment as appropriate and deducted

2.3.2 The Head of finance / SM /OIC shall ensure remittance of deducted taxes to the revenue regulator as per prevailing guidelines and maintain proof of remittance

2.3.3 The Head of finance/ SM /OIC shall on monthly basis or as need be the ensure preparation of requisite financial reports

2.4 Fixed asset management

2.4.1 The Head of finance shall maintain a fixed assets register for every station

2.4.2 The Head of finance shall ensure capture date and cost of acquisition and apply the appropriate depreciation method and rate

2.4.3 The Head of finance shall ensure that the written down value of the asset is updated at most annually and advise the user departments on the fixed assets as appropriate

2.3.3 The Head of finance/ SM /OIC shall on annual basis or as need be the ensure preparation of fixed assets schedule

3.0 Records to demonstrate effectiveness

a) Receipts
b) Payment vouchers and supporting documents
c) Banking slips
d) Statements – Mpesa, Bank, Farmers billing,
e) Bank reconciliation statements
f) Cash books
g) Trial Balance
h) Financial reports
i) Asset registers
j) Invoices
k) Debtors register
l) Creditors register
m) Imprest / advance surrender vouchers

NATIONAL IRRIGATION BOARD

HUMAN RESOURCE MANAGEMENT PROCEDURE - NIB/HRMP/MR/009

HUMAN RESOURCE MANAGEMENT PROCEDURE

1.0 GENERAL

1.1 Purpose

To ensure efficiency and transparency in the management of the Human resource

1.2 Scope

This procedure applies to the management of Human resources at NIB

1.3 Reference

a) PS HR manual
b) NIB terms and conditions of service
c) NIB Training Policy, 2018
d) NIB career progress guidelines, 2003
e) Irrigation Act Cap 347 of 1966
f) Employment Act, 2007
g) Public Officers and Ethics Act 2003
h) Relevant Government circulars

1.4 Terms and Definitions

a) NIB- National Irrigation Board
b) GM – General Manager
c) PS HR-Public Service Human Resource
d) DGM(CS) – Deputy General Manager(Corporate Services)
e) HR – Human Resource
f) BOD-Board of Directors
g) TNA-Training Needs Assessment

1.5 Principal Responsibility

DGM(CS) shall ensure that this procedure is adhered to

2.0 STEPS

2.1 Recruitment

2.1.1 Requests for HR shall be received by Head of HR function through the General Manager.

2.1.2 The Head of HR function shall ascertain the need based on approved staff establishment, internal capacity for possible deployment and advise accordingly

2.1.3 Upon ascertainment of need to recruit, the Head of HR function shall liaise with the DGM(RPS) to establish ability of the Board to sustain the new staff.

2.1.4 Upon confirmation, the Head of HR function shall seek approval to undertake recruitment.

2.1.5 Upon approval, the Head of HR function shall advertise the vacancies internally or externally as appropriate.

2.2 **Selection**

2.2.1 If the selection is done by a Consultant the Head of HR function shall proceed as per procurement procedure

2.2.2 For internal recruitment, the Head of HR function shall ensure receipt of applications within the set deadline

2.2.3 After receiving the applications from potential candidates, the Head of HR function shall ensure short listing of the candidates who meet the set requirements and invite them for a selection interview.

2.2.4 The Head of HR function shall in liaison with the GM constitute an interview panel to interview the invited candidates.

2.2.5 The results of the selection interview shall be forwarded to the GM for approval

2.2.6 The Head of HR function shall ensure issuance of an appointment letter and terms of service to successful candidate(s) by the GM.

2.3 **Orientation and induction**

2.3.1 The Head of HR function shall ensure newly engaged employees are provided with an Employee Number, Board's Identification and the Code of Conduct.

2.3.2 The Head of HR function shall ensure new staff undergoes one month orientation and induction programme to enable them settle in the Board.

2.3.3 As appropriate, all new staff above ***NIB 8*** shall be facilitated to visit at least one field station to familiarize with the Board's Operations.

2.4 **Staff retention**

2.4.1 **Training**

2.4.1.1 The Head of HR function shall a conduct a TNA for all staff and prepare an annual training plan and a budget by the start of the financial year

2.4.1.2 The Head of HR function shall liaise with DGM(RPS) for rationalization with the budget and subsequently to the GM for approval

2.4.1.3 Based on the approved budget, the Head of HR function shall ensure prioritization of the trainings and approval by the training committee.

2.4.1.4 In course of the year the Head of HR function shall facilitate the trainings as per the prioritized training plan

2.4.1.5 The Head of HR function shall ensure effectiveness of the trainings are evaluated in order to identify the benefits accrued to the staff trained and the Board.

2.4.1.6 The Head of HR function shall ensure dissemination of knowledge and skills acquired by an employee to others as appropriate.

2.4.2 **Performance Management**

2.4.2.1 The Head of HR function shall ensure staff set performance targets at the beginning of the financial year

2.4.2.2 Twice annually the Head of HR function shall ensure performance appraisal are conducted and corrections and corrective action implemented

2.4.2.3 The Head of HR function shall ensure that any grievances related to the appraisal are handled

2.4.3 **Motivation**

2.4.3.1 The Head of HR function shall ensure that promotion of staff is performance–based and is supported by Supervisor's recommendations from the staff performance appraisal report

2.4.3.2 The Head of HR function shall ensure staff are rewarded / sanctioned as per the Board's rewards policy

2.5 Management of casual labour

2.5.1 The department/Division/Unit/field station requiring extra staff on casual basis shall complete and submit a staff / labour requisition form to the HOD/HR at least 3 days prior to the recruitment

2.5.2 The form shall specify the number of casuals required, the duration and reasons

why they are required.

2.5.3 The requisition shall be forwarded to the HOD/HR for approval

2.5.4 The rate of pay for casuals shall be determined based on the Government wage guidelines

2.5.5 The letter of engagement shall be on a fixed period and shall contain the following details

- Name of employer
- Name of employee, ID number, age, permanent address and gender
- Position
- Date of engagement
- Wage/salary

2.6 Payroll Administration

2.6.1 The Head of HR function shall ensure that all new staff are introduced in the payroll after being issued with an appointment letter duly signed by the GM.

2.6.2 The Head of HR function shall ensure that a pay change Advice (PCA) is raised and forwarded to the paying officer advising him/her on the following:-

a) Job Group and salary entitled

b) Effective date of the appointment

c) Duty station

d) Terms of service

e) Any authorized salary deduction

2.6.3 The Head of HR function shall ensure that all new staff s submit their KRA PIN, NSSF, NHIF and Bank Account details before introduction in the payroll

2.6.4 The Head of HR function shall ensure that the following statutory deductions will be effected from employees' salaries as applicable:

i. PAYE, NSSF, NHIF and Pension deductions

ii. Any court order on salary attachment

iii. Surcharge for damage or loss of Board's property.

iv. Any unaccounted imprest, advance etc

2.6.5 The Head of HR function shall ensure that all monthly salaries are paid through staff's bank accounts and advise them accordingly through pay slips

2.6.6 The Head of HR function shall ensure that payment of salaries to employees will be made on or before the last day of each month. If the payday falls on a weekend or a public holiday, employees will be paid on the working day preceding the weekend or holiday.

2.6.6 The Head of HR function shall ensure that salary is stopped immediately upon staff separation i.e. through termination, retirement or death.

2.7 Separation

2.7.1 Staff separation shall be carried out as per the NIB HR policies and procedures manual and statutory requirements.

2.7.2 The Board will issue a certificate of service to all employees leaving the Board's Service.

3.0 Records to demonstrate effectiveness

a) Staff requisition form
b) Approved recurrent budget
c) Adverts for vacancies
d) Contract for consultancy services
e) Recruitment report
f) Personnel files
g) Approved staff establishment
h) Staff orientation / induction report
i) Training budget
j) TNA and training plan
k) List of staff trained
l) Training evaluation reports
m) Staff performance appraisal reports
n) Recommendations for staff promotions
o) List of rewarded staff

p) List of separated staff

q) Copy of certificate of service





NATIONAL IRRIGATION BOARD

PROCUREMENT PROCEDURES MANUAL - NIB/PPM/MR/010

PROCEDURE NUMBER 1: PROCUREMENT

1.0 GENERAL

1.1 Purpose

To provide for procedures for efficient procurement of goods, works and services

1.2 Scope

This procedure applies to the procurement of goods, works and services at NIB.

1.3 Reference

a) PPADA, 2015
b) PPDR 2006, 2011 and 2013
c) Public Procurement Manuals
d) PPRA, National Treasury Circulars
e) Any other applicable circulars issued by Government / Government Department.

1.4 Terms and Definitions

a) NIB-National Irrigation Board
b) PPADA-Public Procurement and Asset Disposal Act
c) PPDR-Public Procurement and Disposal Regulations
d) PPRA-Public Procurement and Regulatory Authority
e) LPO-Local Purchase Order

1.5 Principal Responsibility

The Head of Procurement function shall ensure implementation of this procedure.

2.0 STEPS

This shall be as per PPADA, 2015 and PPDR 2006, 2011 and 2013

3.0 Records to demonstrate effectiveness

a) List of registered suppliers, contractors and consultants
b) Approved procurement plans
c) Approved purchase requisitions
d) Invitation notice(advertisement/letter of invitation)
e) Tender documents issued
f) Appointment of tender opening committee
g) Opened tenders

h) Tender opening attendance registers
i) Tender opening register
j) Tender opening minutes
k) Appointment of evaluation committee
l) Signed evaluation reports
m) Signed professional opinion
n) Award of tender by General Manager
o) Copies of notification of tender outcome/tender award
p) Acceptance of tender award
q) Signed contracts and LPO's.
r) Appointment of contract manager or contract implementation team
s) Contract administration records including progress reports of procurement contract and contract variation requests
t) Appointment of inspection and acceptance committee
u) Inspection and Acceptance reports including interim and completion certificates or good received notes

PROCEDURE NUMBER 2: INVENTORY CONTROL, ASSET AND STORES MANAGEMENT

1.0 GENERAL

1.1 Purpose

To manage inventory, assets and stores for the purpose of preventing wastage and loss, and continuing utilization of supplies

1.2 Scope

Applies to the receipt, storage and issuance of goods, works and services at NIB

1.3 Reference

a) PPADA,2015
b) PPDR 2006,2011 and 2013
c) Public Procurement Manuals
d) PPRA Circulars
e) Any other applicable circulars issued by Government/Government Department.

1.4 Terms and Definitions

a) NIB-National Irrigation Board
b) PPADA-Public Procurement and Asset Disposal Act
c) PPDR-Public Procurement and Disposal Regulations
d) PPRA-Public Procurement and Regulatory Authority
e) GRN-Goods Received Note
f) SRN-Stores Requisition Note
g) GIN-Goods Issued Note

1.5 Principal Responsibility

The Head of procurement function shall is responsible for implementation of this procedure.

2.0 STEPS

This shall be as per PPADA, 2015 and PPDR 2006, 2011 and 2013

3.0 Records to demonstrate effectiveness

a) Copies of Delivery Notes
b) Copies of GRN's

c) Copies of Stores Rejection Notes

d) Copies of SRN's

e) Copies of GIN's

f) Copies of Inter-Stores Transfer Notes

g) Bin Cards

h) Stores Ledger Cards



PROCEDURE NUMBER3: DISPOSAL OF ASSETS

1.0 GENERAL

1.1 Purpose

To execute disposal of unserviceable, obsolete, obsolescent, or surplus stores, equipment or assets

1.2 Scope

Applies to the disposal of unserviceable, obsolete, obsolescent, or surplus stores, equipment or assets in NIB

1.3 Reference

a) PPADA,2015
b) PPDR 2006,2011 and 2013
c) Public Procurement Manuals
d) PPRA Circulars
e) Any other applicable circulars issued by Government/Government Department.

1.4 Terms and Definitions

a) NIB-National Irrigation Board
b) PPADA-Public Procurement and Asset Disposal Act
c) PPDR-Public Procurement and Disposal Regulations
d) PPOA-Public Procurement and Oversight Authority

1.5 Principal Responsibility

The Head of procurement function shall be responsible for implementation of this procedure.

2.0 STEPS

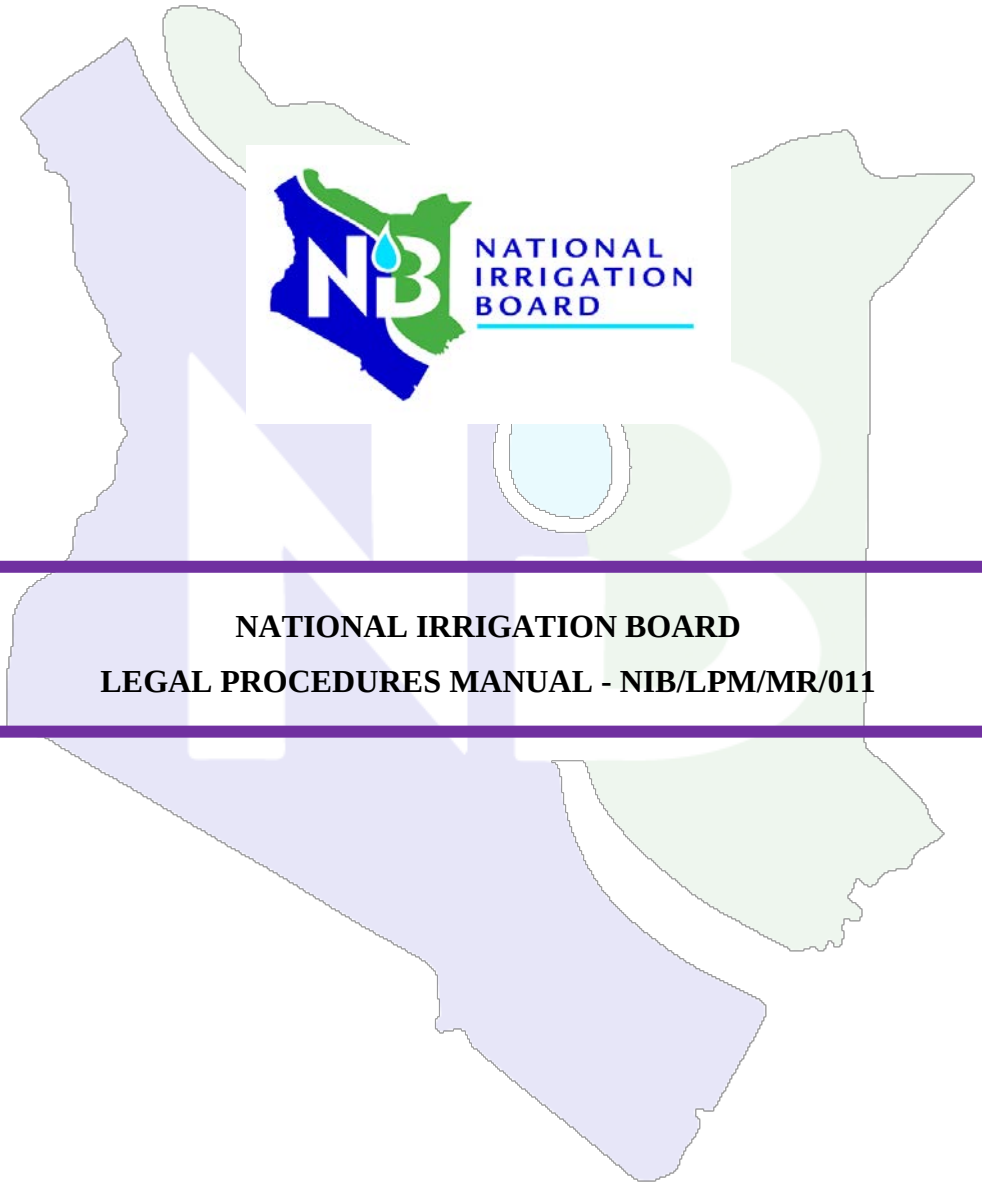
This shall be as per PPADA, 2015 and PPDR 2006, 2011 and 2013

3.0 Records to demonstrate effectiveness

a) Report on unserviceable, obsolete, obsolescent, or surplus stores, equipment or assets
b) Disposal Plan
c) Approval of the Disposal Plan
d) Appointment of Disposal Committee

e) Technical report with reserve price where appropriate for items to be disposed
f) Disposal Committee minutes including recommendation of best method of disposal to accounting officer
g) Approval of the recommendations of disposal committee by the accounting officer
h) Advertisement of disposal
i) Catalogues/Disposal document
j) Disposal attendance register
k) Copies of receipts for payments
l) Report on the sales proceeds





NATIONAL IRRIGATION BOARD

LEGAL PROCEDURES MANUAL - NIB/LPM/MR/011

PROCEDURE NUMBER 1: MEETINGS

1.0 GENERAL

1.1 Purpose

To ensure consistency in the conduct of meetings

1.2 Scope

Applies to the conduct of all meetings in NIB

1.3 Reference

a) Scope Document – NIB/SD/MR/002
b) The Constitution of Kenya 2010
c) The Irrigation Act Cap 347 Laws of Kenya
d) The Companies Act No. 17 of 2015
e) State corporations Act CAP 446
f) Mwongozo Code of Conduct

1.4 Terms and Definitions.

a) NIB- National Irrigation Board
b) CS- Corporation Secretary

1.5 Principal Responsibility

The CS shall ensure this Procedure is adhered to.

2.0 STEPS

2.1 Scheduled Meeting

The CS shall ensure preparation and approval of Board Almanac before the start of any financial year

2.2 Notices to Meetings

2.2.1 Members to all meetings in the board except for special meetings shall be issued with a notice of at least 3 working days. Special meetings shall call for at least one day notice.

2.2.2 The agenda and venue of the meeting shall be incorporated in the notice unless otherwise stated

2.3 Establishing Quorum

2.3.1 The meeting convener in liaison with the meeting chair shall establish quorum within 15 minutes of the start time

2.3.2 The quorum for any meeting at NIB shall be 50% +1 of invited members

2.3.3 If there is no quorum formed within the fifteen minutes of start time, the meeting shall stand adjourned

2.4 Attendance and Minutes

The meeting convener shall ensure capture of the attendance and recording of minutes of the proceedings

2.5 Resolutions

The chair of the meeting shall ensure there is a resolution for any agenda item discussed

2.6 Minutes Extracts for action

2.6.1 The meeting convener shall ensure circulation of the action points to the relevant implementers within 2 working days of a meeting

2.6.2 The meeting convener shall ensure circulation of Draft Minutes to the members within 7 working days of a meeting

2.7 Confirmation of minutes

Minutes to a meeting shall be confirmed in the subsequent meeting or as applicable

3.0 Records to demonstrate effectiveness

a) Approved Board Almanac.
b) Notice convening meeting.
c) Agenda for the meeting.
d) Attendance record.
e) Minutes of the meeting.
f) Extracts from minutes for action.
g) Draft Minutes
h) Confirmed minutes.

PROCEDURE NUMBER 2: LEGAL ASSISTANCE

1.0 GENERAL

1.1 Purpose

To ensure sound legal decisions and minimal legal risks

1.2 Scope

Applies to all the Departments in NIB

1.3 Reference

g) Scope Document – NIB/SD/MR/002
h) The Constitution of Kenya 2010
i) The Irrigation Act Cap 347 Laws of Kenya
j) The Companies Act No. 17 of 2015
k) State corporations Act Cap 446
l) All relevant Laws And policies affecting operations of NIB
m) Mwongozo Code of Conduct

1.4 Terms and Definitions.

a) NIB- National Irrigation Board
b) CS- Corporation Secretary

1.5 Principal Responsibility

The CS shall ensure this Procedure is adhered to.

2.1 STEPS

2.1 Legal complaints

2.1.1 The CS shall receive a Complaint from any quarter (internal or external) and record them in the complaints register

2.1.2 The CS shall review the nature of the complaint to establish the concerned party

2.1.3 The CS shall contact the affected party to establish their side of the complaint and gather requisite information

2.1.4 The CS shall analyze the information to establish the cause and the consequences

2.1.5 Based on the analysis the CS shall advise the parties concerned on the remedy and update the complaints register

2.2 Interpretation of legal issues

2.2.1 The CS shall receive a request to provide legal advice on an issue from any department of the board

2.2.2 The CS shall assess the request and seek any clarifications as required from the department

2.2.3 The CS shall give advice to the department based on the prevailing legislation(s), policies or manual

2.3 Due diligence

2.3.1 The CS shall receive a request for due diligence on an external provider from the procurement / user department

2.3.2 The CS shall undertake due diligence process through authentication of documents, search, enquiries and collaboration with other departments and agencies

2.3.3 Based on the finding, the CS shall furnish requesting department with a due diligence report

3.0 Records to demonstrate effectiveness

a) Actual complaint.
b) Complaints register.
c) Correspondence with the parties.
d) Reports.

NATIONAL IRRIGATION BOARD

CORPORATE COMMUNICATION PROCEDURES MANUAL - NIB/CCPM/MR/012

PROCEDURE NUMBER 1: CORPORATE COMMUNICATION

1.0 General

1.1 Purpose

To ensure effectiveness and consistency in Communication

1.2 Scope

Applies to all official communication within and from NIB

1.3 Reference

a) Irrigation Act cap347 of 1966
b) Citizens Service Delivery charter
c) NIB's Organizational Structure
d) Media Council of Kenya Guidelines
e) The constitution of Kenya (2010)
f) Government Policies and Priorities

1.4 Terms and Definitions

a) NIB - National Irrigation Board
b) GM / CEO – General Manager/ Chief Executive Officer
c) IEC materials – Information Education Communication Materials.
d) Internal publics' – This refers to the Boards of Directors and all NIB staff.
e) SOCC – Senior Officer (Corporate Communication

1.5 Principal Responsibility

The Head of corporate communication shall ensure this procedure is adhered to

2.0 STEPS

2.1 Modes of communication

The following shall constitute communication modes and channels at NIB:

a) E-mail
b) Website
c) Letters
d) Traditional and new media
e) Circulars
f) Memos
g) Notices
h) Official SMS
i) Telephone
j) Reports
k) Branding Manual

l) NIB policies and guiding documents
m) Meetings
n) Shows and exhibition
o) Field demos

2.2 The internal communication source and recipients shall maintain evidence of communication

2.3 Official external communication shall be through the office of the General Manager

3.0 Records to demonstrate effectiveness

a) Minutes of meetings
b) Letters and memos
c) Newspapers cuttings
d) Content shared across different platforms
e) Branding manual

PROCEDURE NUMBER 2: EVENTS MANAGEMENT

1.0 General

1.1 **Purpose**

To ensure effective communication through events

1.2 Scope

Applies to execution of all events at NIB

1.3 Reference

a) Irrigation Act
b) NIB Citizens Service Delivery charter
c) The National Events calendar
d) The constitution of Kenya (2010)
e) Government policies and Priorities

1.4 Terms and Definitions

f) NIB - National Irrigation Board
g) GM/ CEO – General Manager/ Chief Executive Officer
h) DGM (CS) – Deputy General Manager (Corporate Services)
i) CCS – Corporate communication section

1.5 Principal Responsibility

The Head of corporate communication shall ensure adherence to this procedure

2.0 STEPS

2.1 Any department intending to hold an event shall as necessary liaise with CCS for planning and execution

2.2 The Head of corporate communication shall ensure necessary guidance and support is accorded to the department in packaging the message for the event as necessary

2.3 The Head of corporate communication shall ensure a report on the event is submitted to the GM

3.0 Records to demonstrate effectiveness

a) Evidence of correspondence
b) Event reports.
c) Photos
d) Videos

PROCEDURE NUMBER 3: COMPLAINTS AND COMPLIMENTS HANDLING

1.0 GENERAL

1.1 **Purpose**

To ensure timely management of complaints and action on compliments

1.2 Scope

Applies to management of all complaints and compliments at NIB

1.3 Reference

a) Commission on Administrative Justice (CAJ) guidelines
b) The constitution of Kenya (2010)
c) NIB Citizens Service Delivery charter

1.4 Terms and Definitions

a) NIB - National Irrigation Board
b) CAJ - Commission on Administrative Justice
c) GM/ CEO – General Manager/ Chief Executive Officer
d) Complaint - is any oral or written expression of dissatisfaction, whether justified or not, from or on behalf of an eligible complainant about the Board's provision of, or failure to provide a service.
e) Compliment – an expression of praise or admiration relating the Board's service delivery.

1.5 Principal Responsibility

The Head of corporate communication shall ensure adherence to this procedure

2.0 STEPS

2.1 Receipt

Complaints/ compliments shall be received and recorded at the complaints/ compliments handling desk/ office.

2.2 Acknowledgement

The Complaints/ compliments Handling Officers shall acknowledge receipt of the complaint/ compliments within 2 days

2.3 Assessment

The Complaints/ compliments Handling Officer shall review the complaints/

compliments to determine relevance of the complaint to the mandate of the Board.

2.4 Assigning complaint to relevant officer

2.4.1 The Complaints/ compliments Handling Officers shall submit the complaint / compliment to GM/ CEO/ Scheme Manager/ Officer in Charge/ Project Manager for assignment to an officer for action

2.4.2 For Compliment, the concerned officer / department shall be informed and, as necessary, appropriate incentive given

2.5 Investigations/Verification

For complaints the action officer shall investigate in order to reach a fair and independent view on the complaint raised by the complainant and provide an appropriate remedy within thirty (30) working days.

2.6 Response

Once investigation is complete, shall response is given to the complainant within two (2) working days.

2.7 Follow-up:

Complainants are offered an opportunity to seek review of how their complaint was handled and resolved. In case they are not satisfied with the findings, they are further advised to seek redress to other relevant Government commissions, agencies and institutions

2.8 Reporting/Recording

A record of the Complaint and action taken shall be filed in the complaints file and report of the same submitted to CAJ at the end of every quarter using the prescribed format.

3.0 Records to demonstrate effectiveness

a) Complaints register.
b) Compliments register
c) Access to information register
d) Complaints file



NATIONAL IRRIGATION BOARD

ICT PROCEDURE - NIB/ICTP/MR/013

ICT PROCEDURE

1.0 GENERAL

1.1 Purpose

To ensure effectiveness, efficiency and consistency in the implementation of ICT systems

1.2 Scope

Applies to provision of ICT services at NIB

1.3 References

a) Scope Document- NIB/SD/MR/002

b) NIB ICT policy

c) Computer and cyber crime law

1.4 Terms and Definitions

a) NIB–National Irrigation Board

b) ICT-Information and Communication Technology

1.5 Principal Responsibility

The Head of ICT function shall assume the overall responsibility of ensuring that this procedure is implemented.

2.0 STEPS

2.1 Acquisition and implementation of systems / software

2.1.1 The Head of ICT function shall identify need for / receive a request for system/software solution to an identified problem from the various user departments

2.1.2 The Head of ICT function shall ensure review of the request to establish whether there is need for a system implementation

2.1.3 Upon review the Head of ICT function shall undertake a system requirement analysis to establish whether the system will address the needs of the users

2.1.4 The Head of ICT function shall establish whether there is an already existing system to address the need or whether to develop one

2.1.4 Where there is existing solution off the shelf the Head of ICT function shall proceed as per procurement procedure

2.1.5 Where there is no solution and a system need to be developed the Head of ICT function shall establish whether there is in- house capacity to develop the system or they shall outsource

2.1.6 For outsourcing, the Head of ICT function shall proceed as per procurement procedure

2.1.7 If there is capacity the Head of ICT function shall constitute a team with terms of reference and ensure development of the system.

2.2 Acquisition of ICT Equipment

2.2.1 The Head of ICT function shall identify need for / receive approved request from the user department and ensure a needs analysis is undertaken and align the equipment specifications to user needs.

2.2.2 After the needs analysis, the Head of ICT function shall proceed as per procurement procedure.

2.3 Maintenance

2.3.1 The Head of ICT function shall ensure preparation and approval of an ICT equipment maintenance schedule before the start of a financial year

2.3.2 Before any scheduled maintenance, the ICT technical staff shall inform the systems & equipment user(s) of the maintenance as per communication procedure

2.3.3 Where the maintenance requires an expert to be outsourced, the Head of ICT function shall proceed as per procurement procedure

2.3.4 The Head of ICT function shall receive a maintenance report from the team for approval after every maintenance exercise.

2.4 Repairs

2.4.1 Request for repair of ICT equipment shall be received in the ICT department by any ICT officer and logged into the ICT support system

2.4.2 The Head of ICT function shall ensure assignment of the request to an ICT officer who shall handle the repairs

2.4.3 Where the repairs require an expert to be outsourced, the Head of ICT function shall proceed as per procurement procedure

2.4.4 The Head of ICT function shall ensure updating of the ICT support register after the repairs are carried out.

2.5 User Support

2.5.1 During the day to day operations of the board the ICT technical staff shall receive a request to offer support or a report on an ICT related incident from an end-user and log the same in ICT support register

2.5.2 The ICT technical staff shall support the user on phone giving guidance on possible solutions to the problem / incident or visit the end–user unit to diagnose the problem and where necessary train the user on how to solve such operational problems / incidents whenever they occur.

2.5.3 Where the technical staff cannot give the support required, he/she shall escalate the matter to the Head of ICT function for advice / appropriate action.

2.5.4 Where the reported fault turns out to be a maintenance or repair issue, the technical staff shall proceed as per clause 2.3 or 2.4 of this procedure respectively

2.5.5 After offering support or resolving the incident, the technical staff, shall update the ICT support register.

2.6 Backup

2.6.1 Data and information at the board shall be automatically backed up on daily basis through a central repository system to both on-site and off-site locations

2.6.2 The Head of ICT function shall ensure the backup system is functional every morning.

2.7 Restoration test

2.7.1 The Head of ICT function shall ensure preparation of a test plan for testing whether the backup process is working correctly on weekly basis

2.7.2 The ICT technical team shall run the test and prepare a report to the Head of ICT function

2.8 Restoration

2.8.1 On receipt of a request to restore any lost data / information, the Head of ICT function shall ensure assignment of the task to an ICT technical staff

2.8.2 The ICT technical staff shall run the restoration processes and submit a report to the Head of ICT function.

2.9 System Access

2.9.1 When a new staff joins the board, the Head of ICT function shall receive a request to incorporate the staff / modify rights and privileges in the system through the administrative request form from respective HoD / Section

2.9.2 The Head of ICT function shall assign the request to an ICT technical staff to execute

2.9.3 The ICT technical staff shall incorporate the new user to the system assigning the required rights and privileges / modify rights and privileges for existing users

2.9.4 The ICT technical staff shall build capacity to the new staff on how to use the system and retain the updated administrative request form

2.9.5 Where a user has left the organization, the Head of ICT function receive a request to deactivate the user from the system through a clearance form

2.9.6 The Head of ICT function shall assign the request to an ICT technical staff to execute

2.9.7 The ICT technical staff shall deactivate the user from the system and retain copy of updated clearance form

3.0 Records to demonstrate effectiveness

a) System / Equipment request form
b) System /Equipment analysis report
c) Maintenance Schedule report
d) Maintenance reports
e) Repairs report
f) Backup report
g) ICT Support register
h) Administrative Request Form.
i) Change Request Form
j) Restore request form
k) Restore Report
l) Backup plan
m) Test plan
n) Restore test report

NATIONAL IRRIGATION BOARD

AUDIT PROCEDURE - NIB/AUDP/MR/014

RISK BASED AUDITING PROCEDURE

1.0 GENERAL

1.1 PURPOSE

To ensure accountability and efficiency in the audit process

1.2 SCOPE

Applies in the conduct of Risk Based Audit process of NIB

1.3 REFERENCE

a) International professional practices Framework (IPPF)
b) International Auditing standards(IAS)
c) The National Treasury Circulars
d) International public sector accounting standards
e) International financial reporting standards
f) Public finance management Act, 2012
g) Public procurement and assets disposal Act, 2015
h) Other Government circulars

1.4 TERMS AND DEFINITIONS

a) NIB- National irrigation board
b) PIA – Principal Internal Auditor
c) IAS – International Auditing standards
d) IPPF – International professional practices Framework
e) HOD- Head of department
f) RBAP – Risk based audit plan
g) GM – General Manager

1.5 Principal Responsibility

The Head of Internal Audit function shall ensure that the procedure is adhered to.

2.0 STEPS

2.1 Audit Planning

2.1.1 The Head of Internal Audit function shall ensure analysis of operations, generation of areas and processes to be audited before commencement of a financial year.

2.1.2 The Head of Internal Audit function shall ensure that a list of risks from all the department and marked them against the risk profile

2.1.3 The Head of Internal Audit function shall ensure the risks identified are analyzed in line with their impact and likelihood (ranking)

2.1.4 The Head of Internal Audit function shall generate an Annual Risk Based Audit Plan (RBAP) covering all departments and subsidiaries which is approved by the Audit Committee of the Board.

2.1.5 The Risk Based Audit Plan (RBAP) shall project at least two (2) audits per key risk areas during the financial year. However, at the schemes, the audits could be conducted three (3) to four (4) times in ayear. Coverage of other operational areas shall be at the discretion of the Head of Internal Audit function.

2.1.6 The Head of Internal Audit function shall brief the Audit team on the intended audit area as per the Audit Plan.

2.1.7 As per RBAP the Audit team shall assemble all the necessary resources ready to commence the audit.

2.2 Execution of the Audit

2.2.1 The Head of Internal Audit function shall ensure communication to the auditee through audit notification.

2.2.2 The Audit team shall have an entry meeting with the auditee before commencement of the audit process

2.2.3 During the audit the team shall take note of issues raised in the previous audit reports and necessary required clarifications

2.2.4 The team will carry out audit work guided by the audit programme / or other necessary guidelines

2.3 Discussion of the audit findings

2.3.1 The team shall appraise the Auditee with the audit findings and seek clarification where necessary.

2.3.2 The audit team and the Auditee shall amicably reach appropriate corrective action for any issues raised in the audit findings.

2.3.3 The Audit team shall as necessary hold an exit meeting with the auditee to deliberate on the audit findings

2.3.4 The audit findings, explanations and recommendations shall be recorded in writing and shall form part of the working papers.

2.4 Drafting the audit report

The team shall assemble the audit workings papers together and draft the audit report in consultation with the auditee

2.5 Review of audit report

2.5.1 The team shall submit the draft audit report to Head of Internal Audit function for reviewing, recommendations and submission to GM.

2.5.2 The Head of Internal Audit function shall incorporate any recommendations by the GM as applicable before tabling the report to the Audit committee of the Board

2.5.3 The Head of Internal Audit function shall liaise with the GM to ensure implementation of audit report recommendations

3.0 Records to demonstrate effectiveness

a) Audit working papers duly referenced and signed.
b) Audit reports.
c) Quarterly audit highlights report
d) File for audit queries
e) Minutes of meetings

NATIONAL IRRIGATION BOARD

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