



**KENYA FORESTRY RESEARCH INSTITUTE  
(KEFRI)  
INTEGRATED MANAGEMENT SYSTEM MANUAL  
KEFRI/IMS/MR/02**

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## INTRODUCTION

Kenya Forestry Research Institute (KEFRI) was established in 1986 under the Science and Technology Act Cap 250 Laws of Kenya, which was repealed by Science, Technology and Innovation Act No.28 of 2013.

### 0.1 Mandate

KEFRI has the mandate to:

- a) Conduct research in forestry and allied natural resources;
- b) disseminate research findings; and
- c) Establish partnerships and cooperate with other research organizations and institutions of higher learning in joint research and training.

### 0.2 Vision

A center of excellence in forestry research for development

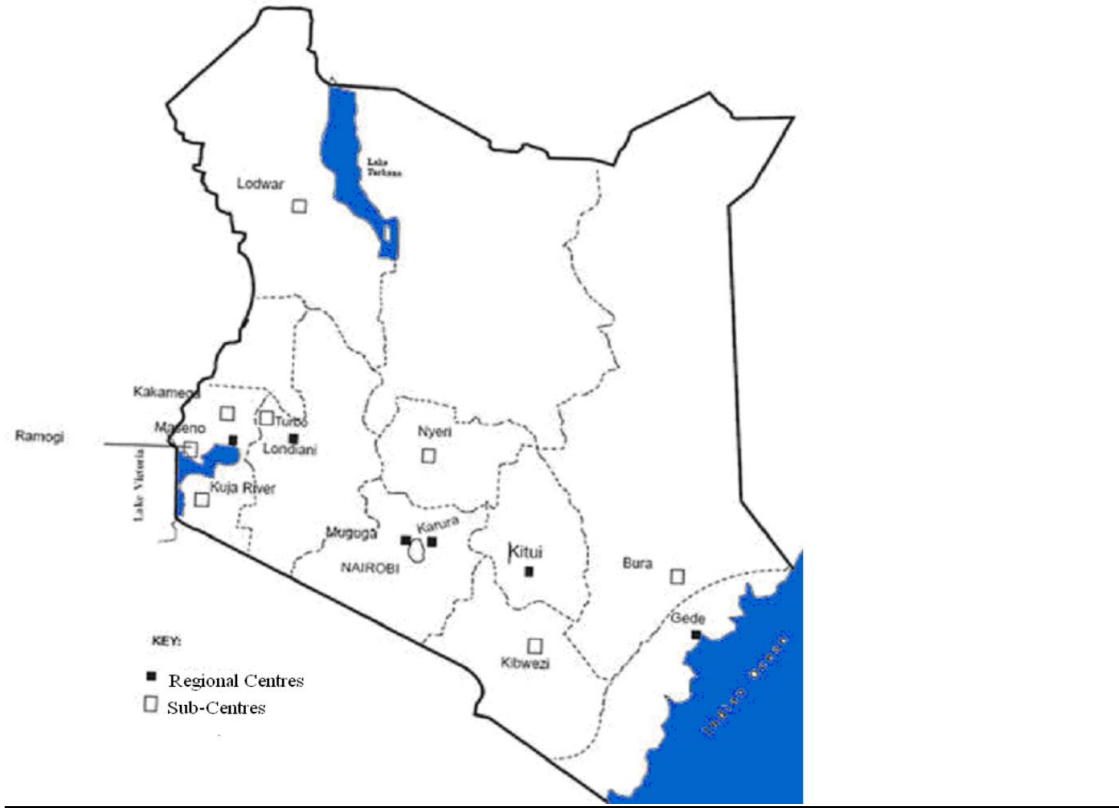
### 0.3 Mission

To conduct research and provide information and technologies for sustainable development of forestry and allied natural resources for socio-economic development

### 0.4 Core Values:

- a) Creativity and Innovation
- b) Professionalism
- c) Integrity
- d) Teamwork
- e) Clean and Healthy Environment
- f) Partnership

**0.5 Map Depicting Regional and Sub - Centres**



## 1.0 Scope

This manual specifies the requirements for KEFRI's Integrated Management System (IMS) to enhance environmental performance, customer satisfaction and conformance to compliance obligations.

### 1.1 Normative references

For effective implementation of the IMS at KEFRI, the following normative documents are indispensable:

- a) ISO 9001:2015
- b) ISO 9000:2015
- c) ISO 14001:2015
- d) KEFRI strategic plan
- e) ISO 19011:2002
- f) KEFRI Service Delivery Charter

### 1.2 Terms and Definitions

The terms and definitions given in ISO 9000:2015 applies to this IMS manual and any other IMS document established. The following shall also constitute definitions used in this document:

- a) **KEFRI** - Whenever the term "KEFRI" is used it shall mean Kenya Forestry Research Institute.
- b) **Top Management** - This is the Board of Directors led by the Chairman and represented in the day to day operations by the Director and his executive committee team.
- c) **Interested Parties** - These include but are not limited to:
  - a) Customers
  - b) Employees
  - c) Partners
  - d) Other stakeholders
- d) **Process** - These are sets of interrelated or interacting activities of KEFRI which transform input elements (policies, resources, customer needs and expectations, etc.) into results (i.e. the products and services provided by KEFRI).
- e) **IMS** - This term is used to mean "Integrated Management System on Quality and Environment."
- f) **Management Representative (MR)** - An officer appointed by the Director/CEO KEFRI to ensure that IMS requirements are established, implemented and maintained in accordance with ISO 14001:2015 and ISO 9001:2015

#### **4. Context of the Organization**

##### **4.1 Understanding the Organization and its context**

KEFRI has identified internal and external issues affecting its ability to achieve the intended outcome of its IMS and are of concern to its interested parties identified in the Register of Internal and External Issues. Such issues shall be monitored and updated as appropriate, and discussed as part of management reviews.

##### **4.2 Understanding the Needs and Expectations of Interested Parties**

KEFRI has identified interested parties and their relevant needs and expectations which are listed in the Register of Interested Parties. The interested parties, their needs and expectations shall be monitored and updated as appropriate, and discussed as part of management reviews.

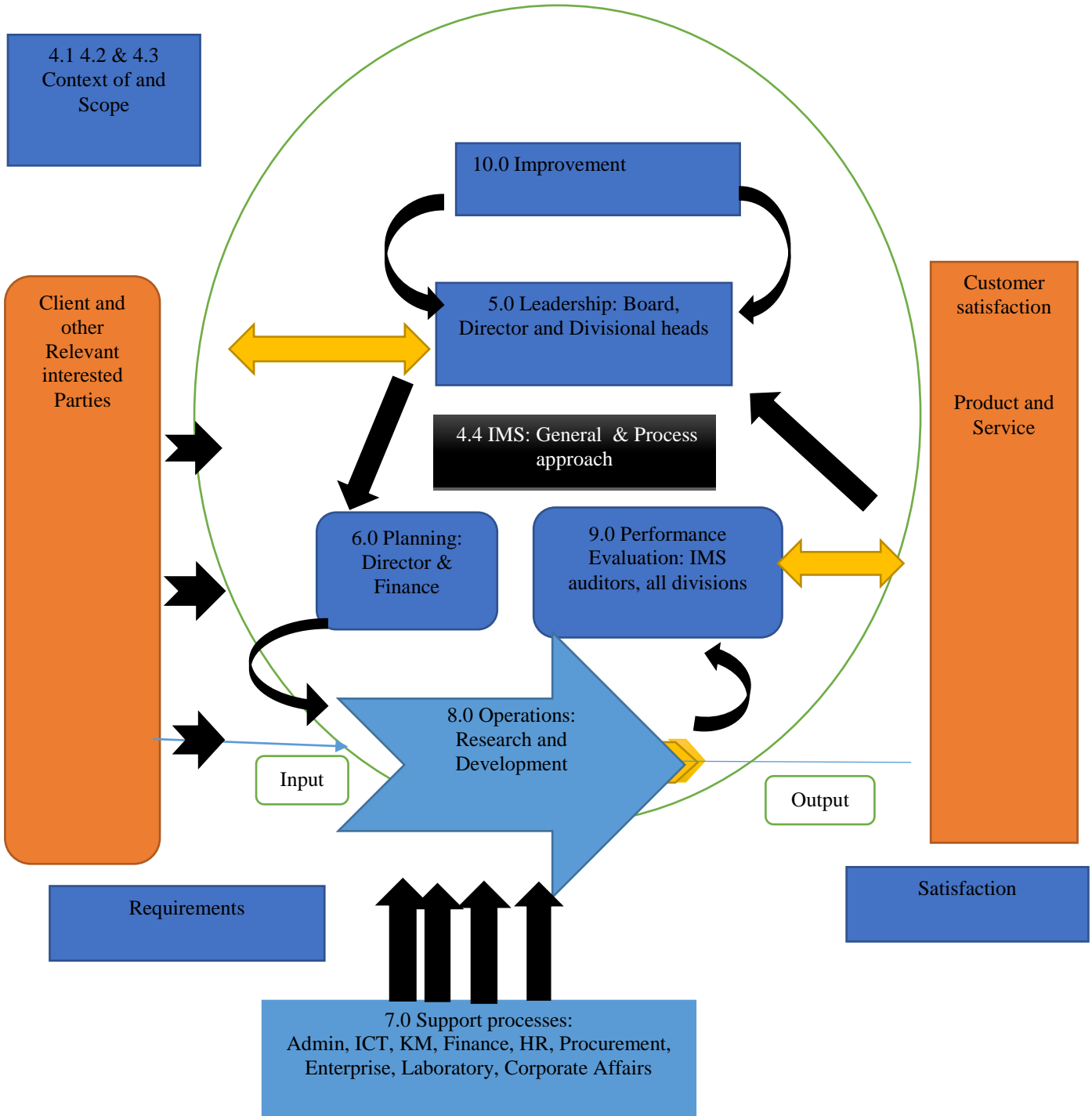
##### **4.3 Determining the Scope of IMS**

The scope of IMS shall cover the KEFRI Headquarter, Regional centers and Sub-centers processes and activities that directly or indirectly impact on its product and service provision; and conforms to the requirements of ISO 9001:2015 and ISO 14001:2015.

##### **4.4 IMS and its Processes**

KEFRI has adopted a process approach for its management system by identifying processes and managing them diligently through timely action on identified nonconformities and risks.

The sequence of interaction of these processes is illustrated in the diagram below:





Each process has a standard operating procedure (SOP) which defines applicable inputs and outputs, process owners, applicable responsibilities and authorities, applicable risks and opportunities, critical and supporting resources, steps and applicable records.

The following SOPs shall be used by the respective process owners for effective implementation of IMS:

- a) Integrated Management system procedures
- b) Research and Development Procedures
- c) Technical Support Services Procedures
- d) Laboratory management procedures
- e) Administration procedures
- f) HR procedures
- g) Finance Procedures
- h) Supply Chain Procedures
- i) Corporate Affairs and Quality Assurance Procedures
- j) ICT Management Procedures
- k) Internal Audit Procedures
- l) Enterprise Procedures

## **5. LEADERSHIP**

### **5.1 Leadership & Commitment**

#### **5.1.1 General**

KEFRI's top management demonstrates its commitment to the development and implementation of the IMS and continual improvement of its effectiveness by:

- a) Establishing and communicating the IMS Policy to all the staff of KEFRI;
- b) Ensuring that environmental and quality objectives are established and are consistent with the IMS Policy;
- c) Performing periodic reviews of the IMS through assessment of KEFRI's performance to evaluate its effectiveness; and
- d) Ensuring adequate and timely availability of resources necessary to meet the objectives.

#### **5.1.2 Customer Focus**

KEFRI's top management shall demonstrate leadership and commitment towards customer focus by ensuring that:

- a) Customer and applicable legal requirements are determined, understood and consistently met;
- b) The risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed and;
- c) The focus on enhancing customer satisfaction is maintained.

The customer expectations for each product and service have been documented in KEFRI's customer delivery service charter.

The Corporate Affairs and Quality Assurance Division shall ensure that customer satisfaction surveys are conducted to capture the customer satisfaction levels.

### **5.2 IMS Policy**

KEFRI's top management has established and approved the IMS Policy displayed at prominent locations within its premises. The IMS policy established is shown below.

**Integrated Management System Policy Statement****QUALITY AND ENVIRONMENT POLICY STATEMENT**

Kenya Forestry Research Institute (KEFRI) is committed to be a Centre of excellence in forestry research for development by conducting research in forestry and allied natural resources and disseminating information and technologies for sustainable development.

In accomplishing this, KEFRI shall:

- a) Establish, implement and review quality and environmental objectives annually;
- b) Satisfy customer requirements and comply with applicable legal requirements;
- c) Continually improve its effectiveness through implementation of the IMS;
- d) Conduct its activities in a manner that enhances environmental protection; and
- e) Communicate, implement and avail this policy to all relevant interested parties.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

### **5.3 Organizational Roles, Responsibilities and Authorities**

KEFRI's top management has defined and communicated all responsibilities, authorities, functions and relationships within its establishment to ensure the effective implementation of the IMS.

The Director is responsible for ensuring KEFRI's functions are clearly defined. KEFRI's organogram shows these relationships and authorities as indicated in the Strategic Plan.

## **6. PLANNING**

### **6.1 Actions to Address Risks and Opportunities**

#### **6.1.1 General**

KEFRI identifies, assesses, evaluates, controls and monitors risks and opportunities within its operations at all functional levels that are updated and maintained in risk registers. Risks and opportunities are assessed in accordance with the Identification and assessment of quality risks and environmental aspects procedure

#### **6.1.2 Environmental Aspects**

KEFRI has determined significant environmental aspects of its activities, products and services that it can control and those that it can influence and their associated environmental impacts, considering a life cycle perspective. The environmental aspects are identified in accordance with Identification and assessment of quality risks and environmental aspects procedure and the aspects identified document in an Aspect Registers which are maintained at functional levels.

#### **6.1.3 Compliance Obligations**

KEFRI has determined its compliance obligations relevant to the IMS according to the Identification & Evaluation of Compliance to Legal and Other Requirements procedure. The statutory and regulatory requirements are documented in the Legal Compliance Register. Evaluation of compliance to the legal requirements shall be carried out during internal audits.

### **6.2 Quality and environmental Objectives and Planning to Achieve Them**

KEFRI has established, documented quality and environmental objectives and maintained at functional levels. These objectives shall be contained in the respective departmental service delivery charters and performance contracts. They shall be monitored and reviewed periodically.

The quality and environmental objectives have been developed in consideration that they:

- a) Are consistent with the IMS policy;
- b) Are measurable;
- c) Take into account applicable requirements;
- d) Enhance customer satisfaction;
- e) Are monitored;

- f) Are communicated; and
- g) Are updated as appropriate.

### **6.3 Planning of Changes**

Changes to the IMS and its processes are carried out in a planned manner per the control of documents procedure.

## **7. SUPPORT**

### **7.1 Resources**

#### **7.1.1 General**

KEFRI determines and provides the resources needed to:

- a) Implement and maintain the IMS and continually improve its effectiveness; and
- b) Enhance customer satisfaction by meeting customer requirements.

Resources allocation is done as per the budgeting procedure.

#### **7.1.2 People**

KEFRI ensures that it provides sufficient staffing for the effective operation of the IMS. This is done as per staff recruitment and selection procedure

#### **7.1.3 Infrastructure**

KEFRI determines, provides and maintains the infrastructure needed to achieve conformity to products and services requirements that includes:

- a) buildings, workspace and associated facilities;
- b) process equipment, hardware and software;
- c) supporting services; and
- d) information and communication technology.

All equipment shall be maintained by KEFRI and repaired as per repairs and maintenance procedure

#### **7.1.4 Environment for the Operation of Processes**

KEFRI operates within Health, Safety and Environmental requirements which apply to all working stations.

Working conditions throughout KEFRI are maintained to provide employees with acceptable working conditions as documented in the Safety and Health procedure

#### **7.1.5 Monitoring and Measuring Resources**

##### **7.1.5.1 General**

KEFRI shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements.

### **7.1.5.2 Measurement Traceability**

KEFRI's equipment only require calibration which shall be done as per Laboratory Management procedure.

### **5.1.1. Organizational Knowledge**

KEFRI determines the knowledge necessary for the operation of its processes and to achieve conformity of products and services. This may include knowledge and information obtained from:

- a) Internal sources, such as lessons learned, feedback from subject matter experts, and/or intellectual property; and
- b) External sources such as standards, academia, conferences, and/or information gathered from customers or suppliers.

This is done as per the Knowledge Management procedure.

## **7.2 Competence**

KEFRI ensures that staff members performing work affecting product quality, service quality and environmental performance are competent on the basis of appropriate education, training, skills and experience in accordance with the procedure on Training and Development.

## **7.3 Awareness**

KEFRI shall create awareness of the IMS requirements to all staff on:

- a) the IMS policy;
- b) relevant IMS objectives;
- c) the significant environmental aspects and related actual or potential environmental impacts associated with their work;
- d) their contribution to the effectiveness of the IMS, including the benefits of improved performance;
- e) the implications of not conforming to the IMS requirements.

All newly recruited staff and students on attachment/internship are made aware of IMS requirements.

## **7.4 Communication**

KEFRI has established, implemented and maintained appropriate communication processes, including communication on the effectiveness of IMS as set out in the Communication Procedure

## **7.5 Documented Information**

### **7.5.1 General**

The IMS documentation includes:

- a) Documented information required by ISO 9001:2015 and ISO 14001:2015

Standards.

- b) Functional SOPs.

### **7.5.2 Creating and Updating**

KEFRI has identified the description and format for creating and updating documented information; and a mechanism for approval prior to use as detailed in the control of documents procedure.

### **7.5.3 Control of Documented Information**

KEFRI ensures documents required for IMS are controlled in accordance with procedures for Control of Documents and Registry Management.

The procedures define controls needed for identification, storage, retrieval, protection, retention time, and disposition of records.

## **8. OPERATION**

### **8.1 Operational Planning and Control**

KEFRI shall plan, implement and control the processes needed to meet the requirements for the provision of products and services and implement the actions determined in clause 6 in this IMS manual

KEFRI shall determine, maintain and retain documented information to the extent necessary to have confidence that the processes have been carried out as planned and to demonstrate the conformity of products and services to their requirements.

### **8.2 Requirements for Products and Services**

#### **8.2.1 Customer Communication**

KEFRI has established operational communication channels with customers in relation to:

- a) providing information relating to products and services;
- b) handling enquiries, contracts or orders, including changes;
- c) obtaining customer feedback relating to products and services, including customer complaints;
- d) handling or controlling customer property;
- e) establishing specific requirements for contingency actions, when relevant.

#### **8.2.2 Determining the requirements related to products and services**

During the intake of new business KEFRI captures:

- a) requirements specified by the customer, including the requirements for delivery and post-delivery activities;
- b) requirements not stated by the customer but necessary for specified or intended

use, where known;

- c) legal requirements related to services; and
- d) any additional requirements determined by KEFRI.

### **8.2.3 Review of Requirements Related to Products and Services**

KEFRI reviews the requirements prior to its commitment to provision of products and services. These reviews ensure that KEFRI has the ability to:

- a) meet all requirements specified by the customer, including requirements for delivery and post-delivery activities;
- b) meet any requirements not stated by the customer, but which KEFRI knows as being necessary;
- c) meet all requirements determined necessary by KEFRI itself;
- d) meet all related legal requirements; and
- e) meet any contract or order requirements differing from those previously expressed.

### **8.2.4 Changes to Requirements for Products and Services**

KEFRI updates all relevant documents when the requirements change and ensures that all relevant persons are notified.

## **8.3 Design and Development of Products and Services**

KEFRI undertakes design and development activities for the various products and services it provides. The design and development process is typically initiated by the thematic areas.

KEFRI plans and controls as appropriate the design and/or development of its Products to determine the stages in the design and development processes, to review, verify and validate the activities relevant to each stage and the responsibilities and authorities for the activities. This may include appointment of a multidisciplinary committees or departmental working groups to manage the process.

In addition, effective communication and clarification of responsibilities are ensured through the managing of the interfaces between the different groups involved. The outputs from design planning are presented to the management for approval and subsequently updated as required as the design or development progresses.

## **8.4 Control of Externally Provided Processes, Products and Services**

KEFRI ensures that purchased services conform to specified purchase requirements. KEFRI evaluates and selects suppliers based on their ability to supply products and services in accordance with the organization's requirements. Criteria for selection, evaluation and re-evaluation are established. These activities are further defined in the Procurement procedure.



## **8.5 Production and Service Provision**

### **8.5.1 Control of Production and Service Provision**

To control its provision of products and services KEFRI considers, as applicable, the following:

- a) the availability of documents or records that define the characteristics of the Products or Services as well as the results to be achieved;
- b) the availability and use of suitable monitoring and measuring resources;
- c) the implementation of monitoring and measurement activities;
- d) the use of suitable infrastructure and environment;
- e) the appointment of competent persons, including any required qualifications;
- f) the validation and revalidation of special processes if applicable (see below);
- g) the implementation of actions to prevent human error;
- h) the implementation of release, delivery and post-delivery activities.

### **8.2.5 Identification and Traceability**

KEFRI identifies its Product appropriately throughout the process of Product provision by means which are suitable to the Product. The status of the result of Product expected with regard to monitoring and measuring requirements is identified to extent possible or where it is appropriate and documented.

### **8.2.6 Property Belonging to Customers or External Providers**

KEFRI gives due care to customers' property which include intellectual property and such confidential information while it is under the control of or being used by KEFRI or being incorporated into the Product inputs. Customers' property are identified, verified, protected and/or safeguarded as appropriate.

### **8.2.7 Preservation**

KEFRI shall at all times preserve the Products it offers to ensure and promote customer satisfaction.

### **8.2.8 Control of Changes**

KEFRI reviews and controls both planned and unplanned changes to processes to the extent necessary to ensure continuing conformity with all requirements. This is done as per Control of Documents procedure

## **8.6 Release of Products and Services**

KEFRI shall implement controls at appropriate stages to verify that the products and services requirements have been met before release.

## **8.7 Control of Non-conforming Outputs**

KEFRI ensures that products and services or other process outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

The controls for such non-conformances are defined in the procedure for control on non-conforming products

### **8.8 Emergency Preparedness and Response**

KEFRI has established and maintained procedures to identify and deal with emergency situations, and for preventing and dealing with any likely consequences that may be associated with them as per the Emergency Preparedness and Response procedure

KEFRI shall review its emergency preparedness and response plans and procedures, in particular after the occurrence of incidents or emergency situations.

## **9. PERFORMANCE EVALUATION**

### **9.1 Monitoring, Measurement, Analysis and Evaluation**

#### **9.1.1. General**

KEFRI has determined which aspects of its IMS must be monitored and measured within its documentation. Monitoring and measurement of the processes ensures that KEFRI evaluates the performance and effectiveness of the integrated management system.

#### **9.1.2 Customer Satisfaction**

KEFRI monitors customer perception of the degree to which their needs and expectations have been fulfilled. The methods for obtaining and using this information include:

- a) recording customer feedback, including complaints and compliments
- b) conducting customer satisfaction surveys
- c) stakeholder meetings

This is as per the procedure on Handling of Customer Complains, Compliments and feedback.

#### **9.1.3 Analysis and Evaluation**

KEFRI analyzes and evaluates the data and information arising from monitoring and measurement in order to evaluate:

- a) conformity of service;
- b) the degree of customer satisfaction;
- c) the performance and effectiveness of the integrated management system;
- d) if planning has been implemented effectively;
- e) the effectiveness of actions taken to address risks and opportunities;
- f) the performance of external providers; and
- g) the need for improvements to the integrated management system.

#### **9.1.4 Evaluation of compliance**

KEFRI has established a procedure for evaluation of compliance under the document Identification & Evaluation of Compliance to Legal and Other Requirements.

### 9.2 Internal Audit

KEFRI maintains procedures that define how it carries out planned and documented IMS Internal audits to verify that it is functioning effectively. Audits are scheduled at least once a year. These activities are defined in the Internal Audit procedure

### 9.3 Management Review

KEFRI's top management shall review the IMS at least once a year, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction. Management review input and output are defined in the Management Review procedure.

## 10 IMPROVEMENT

### 10.1 General

KEFRI uses the IMS to improve its processes, products and services. Such improvements aim to address the needs and expectations of customers as well as other interested parties.

Improvement shall be driven by an analysis of data related to:

- a) conformity of products and services;
- b) the degree of customer satisfaction;
- c) the performance and effectiveness of the IMS;
- d) the effectiveness of planning;
- e) the effectiveness of actions taken to address risks and opportunities;
- f) the performance of external providers; and
- g) other improvements to the IMS.

### 10.2 Nonconformity and Corrective Action

KEFRI takes corrective actions to eliminate the cause of nonconformity in order to prevent recurrence as per the Corrective Action procedure.

### 10.3 Continual Improvement

KEFRI works to continually improve the suitability, adequacy and effectiveness of the IMS through process effectiveness reviews, done as part of Management Review.

#### Approved By:

Ben E.N. Chikamai (PhD)

Director KEFRI

Signature 

Date: 12<sup>th</sup> February 2018