




KISII NATIONAL POLYTECHNIC

INTEGRATED MANAGEMENT SYSTEM MANUAL

(ISO 9001:2015 AND ISO/IEC 27001:2013)


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1.0 INTRODUCTION


1.1 FOREWORD

Kisii National Polytechnic has a total commitment to training and learning, research and community outreach services, good governance, quality management and information security management. To achieve these objectives, KNP management has endeavored to streamline its Integrated Management System in order to deliver goods and services that meet international standards. KNP has put mechanisms in place to engineer effective systems, which will go beyond short term problem solving techniques.

We have embraced tangible change and all staff in KNP are expected to learn to become responsive, anticipate and adopt to change. We have to turn the Polytechnic around and prepare it to face increased competition because we no longer enjoy monopolistic ideas. In this connection, the polytechnic will put more emphasis on implementation of plans, review changes, focus on quality service provision and to uphold the **confidentiality, integrity and availability** of information to our customers and stakeholders.

The polytechnic's quest is to achieve excellence while recognizing that quality and information security are organizational issues that add value to the success of our institution. In this regard, quality and information security start with every one of us and it is our collective responsibility to embrace and more importantly practice them. Finally let us all put our heads together for efficiency and effectiveness in this pursuit.

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1.2 HISTORY OF KISII NATIONAL POLYTECHNIC

Kisii National Polytechnic was founded in 1971 as a Harambee Institute of Technology. It was registered in 1972 under the Education Act. CAP 212 of the laws of Kenya with the objective of providing technical education and training for youths. It was moved from St. Vincent Centre where it was initially housed, to the current site in 1980. The first buildings to be put up were Woodwork Technology and Mechanical Engineering workshops, Typing Pool, Hostels, Kitchen and Dining hall. The curriculum then was Secretarial and Building technology. Since then more courses have been introduced and currently Kisii National Polytechnic offers more than eighty-eight (88) courses in Certificate and Diploma levels. It occupies 16.95 hectares of land which is considered adequate for future expansion.

Science and Technology (S&T) activities have been recognized in the institution since its inception as vital to social and economic development. There has been rapid expansion of Science and Technology since the enactment of Science and Technology Act CAP 250 of the laws of Kenya (1977).


The college is managed by the Governing council and college administration comprising of the Principal, Deputy Principals, the Registrar, the Dean of Students, Heads of Departments and their Deputies.

Day to day learning activities in the college are managed by the departments.

1.3 MANDATE

The mandate of the polytechnic is to develop an institution with excellence in training, scholarship, entrepreneurship, research, consultancy, community service and products

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with emphasis on technology, its development, impact and application within and outside Kenya.

1.4 VISION

“To be the preferred training institution for technical and vocational skills development”

1.5 MISSION

To develop highly qualified, globally competitive and innovative human resource by providing quality Training, applied Research & extension and Entrepreneurship skills that are responsive to market demands.

1.6 CORE VALUES

1. Professionalism and Excellence
2. Creativity and Innovativeness
3. Team work
4. Integrity
5. Accountability and Transparency

1.7 PROVISIONS


The provisions of this manual apply to all activities of the polytechnic.

Sections under this include:

1.7.1 ADMINISTRATION

- Office of the Principal
- Office of the Deputy Principal Administration and Deputy Principal Academics

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- Office of the Registrar Administration and Registrar Academics
- Dean of Students
- Finance Office
- Internal Auditor
- Procurement
- Management Representative
- Public Complaints
- Research and Development
- Office of Career Services
- Centre for Teaching and Learning
- Integrity Assurance Office
- Information and Communication Technology
- Human Resources Management

1.7.2 CURRICULUM IMPLEMENTATION DEPARTMENTS/SECTIONS

- Business Studies
- Health Sciences
- Applied Sciences
- Building and Civil Engineering
- Mechanical and Automotive Engineering
- Communication and Development Studies
- Hospitality Management Studies
- Fashion Design and Clothing Technology
- Electrical and Electronics Engineering

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- Computer Studies
- Mathematics
- Agriculture and Environment Studies
- Entrepreneurship
- Industrial Attachment
- Examinations

1.7.3 WELFARE/SERVICE DEPARTMENTS/SECTIONS


- Guidance and Counseling
- Games and Sports
- Library Services
- Culture and Creative Art
- Estates Office
- Registry
- Clinic
- Catering
- Boarding
- Security

1.8 CORPORATE OBJECTIVES/GOALS

To achieve the mission and fulfill our vision, KNP has identified the following strategic goals;-

- 1 Provide market-oriented training programmes.
- 2 Undertake Applied Research and Develop Innovations.

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- 3 Adopt ICT in training, learning, research and management.
- 4 Provide Quality Learning Environment
- 5 To enhance the human capital capacity base of KNP.
- 6 To enhance the financial sustainability of KNP.
- 7 Enhance efficiency and effectiveness of polytechnic management.
8. To enhance result-based performance evaluation and quality assurance
9. To enhance the corporate social responsibility of KNP

KNP ADDRESSES

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2.0 REFERENCES

- 2.1 ISO 9001:2015 Quality Management Systems – Requirements
- 2.2 ISO/IEC 27001:2013 Information Security Management System – Requirements
- 2.3 ISO 19011:2011 Guidelines for Auditing Management Systems
- 2.4 ISO 9000:2015 Fundamentals and Vocabulary
- 2.5 KNP Strategic Plan

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3.0 TERMS, DEFINITIONS AND ABBREVIATIONS

3.1 Terms/Definitions

3.1.1 **Service** – All services offered to students at KNP including admission, teaching/training, research, catering, accommodation services and co-curricular activities.

3.1.2 **Customer** – Mainly refers to students, staff and parties who may receive or give products/services to KNP.

3.1.3 **Interested party/Stakeholder** – person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity of KNP.

3.1.4 **Integrated Management System Policy**- It is a statement of the purpose of the organization and its commitment to comply with requirements and continual improvement of the effectiveness of the IMS.

3.1.5 **Internal Management System Audit** - Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which agreed criteria is fulfilled.


3.1.6 **Integrated Management System Policy Manual** - A document describing the IMS. of the polytechnic.

3.1.7 **Integrated Management System** - Management system based on ISO 9001:2015 and ISO/IEC 27001:2013 Standards.

3.1.8 **Standard Operating Procedure (SOP)** - A document describing an activity or a process.

3.1.9 **Documented Information** - Information required and/or determined to be retained and maintained by KNP and the medium on which it is contained.

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3.1.10 **Documented Information to be retained** - Records required as evidence of actions for implementation of the system.

3.1.11 **Documented Information to be maintained** - Documents other than records required for the running of the system.

3.1.12 **Processes** – Departments within KNP

3.2 Abbreviations

3.2.1 KNP - The Kisii National Polytechnic

3.2.2 IMS - Integrated Management System

3.2.3 MR - Management Representative

3.2.4 HOD - Head of Department

3.2.5 IA - Internal Audit

3.2.6 BUS - Business Studies

3.2.7 HSC - Health Sciences

3.2.8 APS - Applied Sciences

3.2.9 BCE - Building & Civil Engineering

3.2.10 MEE – Mechanical and Automotive Engineering

3.2.11 CDS - Communication & Development Studies

3.2.12 HMS – Hospitality Management Studies


3.2.13 FDCT – Fashion Design and Clothing Technology

3.2.14 EEE – Electrical and Electronics Engineering

3.2.15 CS - Computer Studies

3.2.16 MATH – Department of Mathematics

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3.2.17 AES – Agriculture and Environmental Studies

3.2.18 LIB - Library

3.2.19 GCS - Guidance & Counseling Services

3.2.20 GMS - Games and Sports

3.2.21 REG – Registrar Academics

3.2.22 RADM – Registrar Administration

3.2.23 DOS - Dean of Students

3.2.24 FIN- Finance

3.2.25 KIT - Kitchen

3.2.26 RDU- Research & Development Unit

3.2.27 PCSP – Performance Contracting and Strategic Planning

3.2.28 PCS- Public Complaints

3.2.29 ILO - Industrial Liaisons Office

3.2.30 ADM - Administration

3.2.31 HRO - Human Resource Management Office

3.2.32 EO – Estates Office


3.2.33 IAO – Integrity Assurance Office

3.2.34 ACS – Academics

3.2.35 CCA – Culture and Creative Art

3.2.36 OCS – Office of Career Services

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3.2.37 TLC – Teacher Learning Centre

3.2.38 ICT – Information Communication Technology Department


3.2.39 IA – Internal Audit Office

3.2.40 EXAM – Examinations Office

3.2.41 SOA – Statement of Applicability

3.2.42 SO – Security Office

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4.0 CONTEXT OF THE ORGANIZATION

4.1 The organization and its context

KNP has determined external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its integrated management system (IMS) having considered all positive and negative issues. Issues considered for external context include but not limited to those arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local.

Issues considered for internal context include but not limited to those related to values, culture, knowledge and performance of KNP.

KNP monitors and reviews information about these external and internal issues on an annual basis.


Register **KNP/IMS/MR/R003 REGISTER FOR INTERNAL AND EXTERNAL ISSUES** identifies both external and internal issues, needs and expectations of interested parties, risks and opportunities, actions to address them and how they affect performance of IMS at KNP.

4.2 NEEDS AND EXPECTATIONS OF INTERESTED PARTIES

Due to their effect or potential effect on our ability to consistently provide products and services that meet customer and applicable legal and contractual requirements, KNP has determined:

- a) The interested parties that are relevant to the IMS.

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b) The requirements of these interested parties that are relevant to the IMS.

KNP monitors and reviews information about these interested parties and their relevant requirements annually.

4.3 The scope of the Integrated Management System

KNP has determined the boundaries and applicability of the Integrated Management System to establish its scope.

KNP IMS scope is **“Provision of training in Research, Science, Technology, Innovation and Entrepreneurial Training in Socio-Economic Development.”**

Processes within KNP are included in the scope (See appendix II).

All requirements of ISO/IEC 27001:2013 and ISO 9001:2015 are applicable within the scope except as indicated in the SOA.


The types of products and services covered in the scope are;

- a) Training (courses).
- b) Research and innovation.
- c) Accommodation of students.
- d) Guidance and Counselling.
- e) Co-curricular activities.
- f) Entrepreneurial activities.

4.4 Integrated Management System and its processes

4.4.1 KNP has established, implemented, maintained and continually improves the IMS, including the processes needed and their interactions (Interfaces and independencies), in accordance with the requirements of ISO 9001:2015 and ISO/IEC 27001:2013 Standards.

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Processes needed for the IMS and their application throughout the organization have been identified and documented in the IMS documentation. (See Appendix II)

Each procedure outlines the following information for the process.

- a) The inputs required and the outputs expected from the process.
- b) The responsibilities and authorities for the process.
- c) The sequence of activities and interaction of the process with other processes as applicable;
- d) The criteria applied and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of the process.
- e) The resources needed for the process and responsibility to ensure their availability.
- f) Each process implementer shall determine, address and document risks and opportunities related to their function.

In case of any changes that may affect IMS, these processes shall be evaluated and amended as necessary to ensure that they achieve their intended results.


Appendix II of this manual describes interactions and Interfaces of IMS processes.

4.4.2 KNP has:

- a) **Maintained** documented information to support the operation of its processes.

Documented information maintained includes but not limited to these: IMS manual, documented IMS policy, documented procedures and records.

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b) **Retained** documented information to have confidence that the processes are being carried out as planned. Documented information retained includes but not limited to all records to provide evidence for adherence to process requirements.

5.0 LEADERSHIP


5.1 Leadership and commitment

5.1.1 General

Top management of KNP demonstrates leadership and commitment with respect to the IMS by:

- a) Taking accountability for the effectiveness of the IMS;
- b) Ensuring that the IMS policy and objectives are established for the Integrated Management System and are compatible with the context and strategic direction of KNP.
- c) Ensuring the integration of the Integrated Management System requirements into business processes of KNP through awareness and implementation of the system;
- d) Promoting the use of the process approach and risk-based thinking when planning and implementing the IMS;
- e) Ensuring that the resources needed for the Integrated Management System are available when and as needed;
- f) Communicating the importance of IMS and of conforming to the IMS requirements to its staff and other interested parties;

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- g) Ensuring that the IMS achieves its intended results by continuously monitoring, evaluating and reviewing the system and its requirements;
- h) Engaging, directing and supporting persons to contribute to the effectiveness of the IMS;
- i) Promoting improvement of the system;
- j) Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

Top management may delegate or appoint individuals or functions of KNP or external providers to take responsibilities for the purpose of fulfillment of the requirements of the IMS.

5.1.2 Customer focus


KNP Top management demonstrates leadership and commitment with respect to customer focus by ensuring that:

- a) Customer and applicable legal/contractual requirements are determined, understood, reviewed 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 on a regular basis.
- c) The focus on enhancing customer satisfaction is maintained.

KNP determines customer requirements through the following methods among others:

- Customer needs and satisfaction surveys

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- Staff evaluation and appraisal
- Class conferences.
- Departmental meetings
- Analysis of results from examinations, external providers and other processes
- Student Union
- Staff Welfare

Top Management has established a service charter to guide the provision of services with the aim of enhancing customer satisfaction.

5.2 IMS POLICY


KNP has established, implemented and maintained an IMS Policy that:

- a) Is appropriate to the purpose and context(scope) of KNP and supports its strategic direction;
- b) Provides a framework for setting IMS objectives;
- c) Includes a commitment to satisfy applicable requirements;
- d) Includes a commitment to continual improvement of the IMS.

Policy Statement

Kisii National Polytechnic is committed to providing our trainees with quality practical and up-to-date training. We will provide our staff with relevant continual training in line with changing global market trends. We are committed to ensuring the security of information for business continuity.

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We have adopted an Integrated Management System (IMS) based on ISO 9001:2015 and ISO/IEC 27001:2013 Standards in line with the KNP Strategic Plan and will maintain our reputation as a preferred technical institution by:


- Upgrading our technological training through research and innovation.
- Networking with related institutions that embrace best practices and implementing timely reviews to add value to our programmes.
- Ensuring Confidentiality, Integrity and Availability of information.
- Providing a documented strategic direction to guide the setting, monitoring and evaluation of objectives at functional levels.
- Continually improving our IMS by taking prompt action on identified gaps and by reviewing the established functional objectives as necessary.
- Ensuring compliance to requirements of the IMS, relevant interested parties as well as applicable legal and contractual requirements.

This policy statement has been communicated to, understood and applied by all KNP staff, is available to relevant interested parties, and it is reviewed by management whenever necessary for continued suitability.

5.3 Organizational roles, responsibilities and authorities

KNP Top management ensures that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization. Responsibilities and authorities are documented in job appointment letters, job descriptions and in IMS documentation.

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The Principal has appointed a Management Representative who has been assigned the responsibility and authority for:

- a) Ensuring that the IMS conforms to the requirements of ISO 9001:2015 and ISO/IEC 27001:2013, legal and contractual requirements as applicable;
- b) Ensuring that the processes are delivering their intended outputs;
- c) Reporting on the performance of the IMS and on opportunities for improvement in particular to top management;
- d) Ensuring the promotion of customer focus throughout the organization;
- e) Ensuring that the integrity of the IMS is maintained when changes to the IMS are planned and implemented.
- f) Liaising with relevant internal and external interested parties in relation to IMS.

6 Planning

6.1 Actions to address risks and opportunities

All risks will be handled as per the risk management framework in the KNP Risk Management policy.


6.2 IMS objectives and planning to achieve them

6.2.1 KNP has established objectives at relevant functions, levels and processes needed for the IMS.

The objectives:

- a) are consistent with KNP IMS policy and strategic direction;
- b) are measurable;

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c) take into account applicable requirements;

Consider results of risk assessment and treatment

d) are relevant to conformity of products and services and to enhancement of customer satisfaction;

e) are monitored;

f) are communicated to relevant interested parties as stipulated in 7.3;

g) are updated as appropriate and at regular intervals (Annually).

KNP has maintained documented IMS objectives at all functional levels and areas.

6.2.2 When planning how to achieve its IMS objectives, KNP has determined:

a) What will be done;

b) What resources will be required;

c) Who will be responsible;

d) When it will be completed;


e) How the results will be evaluated.

The following documents and processes support achievement of IMS objectives;

- The service charter
- Annual performance contract
- The strategic plan
- Policies
- Internal audits/monitoring and evaluation

6.3 Planning of changes

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When KNP determines the need for changes to the IMS, the changes are carried out in a planned manner.

Before implementation of the changes, KNP considers:

- a) The purpose of the changes and their potential consequences;
- b) The integrity of the IMS;
- c) The availability of resources;
- d) The allocation or reallocation of responsibilities and authorities.
- e) Information processing facilities and systems that affect information security.

7.0 SUPPORT

7.1 Resources

7.1.1 General

KNP has determined and provided the resources needed for the establishment, implementation, maintenance and continual improvement of the IMS.


The resources are indicated in the work plans, budgets and the corporate procurement plan considering;

- a) The capabilities of, and constraints on existing internal resources;
- b) What needs to be obtained from external providers.

7.1.2 People

KNP has determined and provided persons necessary for the effective implementation of its IMS and for the operation and control of its processes.

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This is indicated by their job titles in the relevant procedures and letters of appointment. The documents define their responsibilities and authorities.

7.1.3 Infrastructure

KNP has determined, provided and maintained the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.

KNP Infrastructure for IMS includes:

- a) Buildings and associated utilities;
- b) Equipment, including hardware and software;
- c) Transportation resources;
- d) Information and communication technology.

7.1.4 Environment for the operation of processes

KNP has determined, provided and maintained the environment necessary for the operation of its processes and to achieve conformity of products and services.


Both human and physical factors have been considered which include;

- a) Social (e.g. non-discriminatory, calm, non-confrontational);
- b) Psychological (e.g. stress-reducing, burnout prevention, emotionally protective);
- c) Physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise control, safe for the disabled).

7.1.5 Monitoring and measuring resources

7.1.5.1 General

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KNP has determined and provided 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.

KNP has ensured that the resources provided:

- a) Are suitable for the specific type of monitoring and measurement activities being undertaken;
- b) Are maintained to ensure their continuing fitness for their purpose.

KNP has retained appropriate documented information (records) as evidence of fitness for purpose of the monitoring and measurement resources.


Monitoring and measuring resources include all student academic performance evaluation tools and equipment.

7.1.5.2 Measurement traceability

Measuring equipment shall include the measuring equipment identified in clause 7.1.5.1 (b) above. To provide confidence in the validity of measurement results, measuring equipment is:

- a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement

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standards; when no such standards exist, the basis used for calibration or verification is retained as documented information;

- b) Identified in order to determine their status;
- c) Safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.

KNP determines if validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and appropriate action is taken as necessary.

7.1.6 Organizational knowledge

KNP has determined the knowledge necessary for the operation of its processes and to achieve conformity of products and services.

This knowledge is maintained and made available to the extent necessary and as per requirements of the IMS.


When addressing changing needs and trends, KNP considers its current knowledge and determines how to acquire or access any necessary additional knowledge and required updates.

Generally, this is knowledge gained by experience that is specific to KNP. This knowledge is information that is used and shared to achieve KNP objectives.

This organizational knowledge may be based on;

- a) Internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and*

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sharing undocumented knowledge and experience; the results of improvements in processes, products and services);

b) External sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers, benchmarking).

7.2 Competence

KNP has:

- a) Determined the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the IMS;
- b) Ensured that these persons are competent on the basis of appropriate education, training, or experience;
- c) Where applicable, taken actions to acquire the necessary competence, and evaluated the effectiveness of the actions taken;
- d) Retained appropriate documented information as evidence of competence. The records are retained in office of the Principal, HRO and functional areas.


Actions taken to acquire the necessary competence include, as appropriate, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.

7.3 Awareness

KNP has ensured that persons doing work under KNP's control are aware of:

- a) KNP IMS policy;
- b) Relevant IMS objectives;
- c) Risk assessment process

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- c) Their contribution to the effectiveness of the IMS, including the benefits of improved performance of the IMS;
- d) The implications of not conforming with the IMS requirements.

7.4 Communication

KNP has determined the internal and external communications relevant to the IMS in terms of;


- a) What is to be communicated;
- b) When to communicate;
- c) With whom to communicate;
- d) The processes by which communication shall be effected.
- e) Who communicates;

External communication channels include;

- Notice Boards
- Mass media
- Telephone
- Letters
- E-mail
- Suggestion Boxes
- College Website
- Text Messages

Internal communication channels include:

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- Memoranda
- Telephone
- Letters
- Circulars
- Meetings
- E-mail
- Text Messages
- Website
- Whatsapp

7.5 Documented information

7.5.1 General

KNP's IMS documentation includes:


- a) Documented information required by ISO 9001:2015 and ISO/IEC 27001:2013;
- b) Documented information determined by KNP as being necessary for the effectiveness of the IMS.
- c) Documented information required by regulatory, legal and contractual obligations.

7.5.2 Creating and updating

When creating and updating documented information, KNP ensures appropriate:

- a) Identification and description (such as titles, date, author, or reference number);
- b) Format in terms of language, software version and document structure.

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English is the formal language used for documentation. Paper and/or electronic media is used for documentation.

c) Review and approval of documented information for suitability and adequacy is documented in SOP 001.

7.5.3 Control of documented information

7.5.3.1 Documented information required by the IMS is controlled to ensure:

- a) It is available and suitable for use, where and when it is needed;
- b) It is adequately protected from loss of confidentiality, improper use, or loss of integrity.


7.5.3.2 For the control of documented information, KNP has addressed the following activities, as applicable:

- a) Distribution, access, retrieval and use;
- b) Storage and preservation, including preservation of legibility;
- c) Control of changes (e.g. version control);
- d) Retention and disposition.

Documented information of external origin determined by KNP to be necessary for the planning and operation of the IMS is identified as appropriate and controlled.

Documented information retained as evidence of conformity (records) is protected from unintended alterations at functional areas.

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Documented information to be retained (i.e. records) is controlled according to Procedure for Control of Documented Information KNP/MR/SOP/001.

8 OPERATION

8.1 Operational planning and control


KNP has planned, implemented and controlled the processes needed to meet the requirements for information security and provision of products and services, and to implement the actions to address risks and opportunities by:

- a) determining the requirements for the products and services;
- b) establishing criteria for:
 - 1) the acceptance and assessment of risks;
 - 2) the acceptance of products and services;
- c) determining the resources needed to achieve conformity to the product and service requirements;
- d) implementing control of the processes in accordance with the criteria;
- e) determining, maintaining and retaining documented information to the extent necessary:
 - 1) to have confidence that the processes have been carried out as planned;
 - 2) to demonstrate the conformity of products and services to their requirements.
- f) implementing plans to achieve IMS objectives

It has ensured that the output of this planning is suitable for KNP's operations.

KNP controls planned changes and reviews the consequences of unintended changes if any, taking action to mitigate any adverse effects, as necessary.

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KNP controls of outsourced processes (see 8.4).

8.2 Requirements for products and services

8.2.1 Customer communication

KNP communicates with customers by:

- a) Providing information relating to products and services through the established channels;
- b) Handling enquiries, contracts or orders, including changes as per established procedures;
- c) Obtaining customer feedback relating to products and services, including customer complaints through established means;
- d) Handling or controlling customer property as per existing policies, rules and regulations;
- e) Establishing specific requirements for contingency actions, when relevant.


8.2.2 Determining the requirements for products and services

When determining the requirements for the products and services to be offered to customers, KNP ensures that:

- a) The requirements for the products and services are defined, including:
 - 1) Any applicable statutory, regulatory and contractual requirements;
 - 2) Those considered necessary by the organization;
- b) KNP can meet the claims for the products and services it offers.

8.2.3 Review of the requirements for products and services

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8.2.3.1 KNP has ensured that it has the ability to meet the requirements for products and services to be offered to customers. KNP conducts a review before committing to supply products and services to a customer, to include:

- 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 the specified or intended use, when known;
- c) Requirements specified by KNP;
- d) Statutory, Legal and contractual requirements applicable to the products and services;

KNP ensures that contract or order requirements differing from those previously defined are resolved.

KNP confirms customer's requirements before acceptance of orders/requests, when the customer does not provide a documented statement of their requirements.


8.2.3.2 The KNP retains documented information, as applicable:

- a) On the results of the review as reports;
- b) On any new requirements for the products and services.

8.2.4 Changes to requirements for products and services

KNP ensures that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

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8.3 Design and development of products and services

8.3.1 General

KNP has established, implemented and maintains a design and development process that is appropriate to ensure the subsequent provision of products and services.


Design and Development process involves development of curriculum and syllabus for internally developed courses.

8.3.2 Design and development planning

In determining the stages and controls for design and development, KNP considers:

- a) The nature, duration and complexity of the design and development activities;
- b) The required process stages, including applicable design and development reviews;
- c) The required design and development verification and validation activities;
- d) The responsibilities and authorities involved in the design and development process;
- e) The internal and external resource needs for the design and development of products and services;
- f) The need to control interfaces between persons involved in the design and development process;
- g) The need for involvement of customers and users in the design and development process;
- h) The requirements for subsequent provision of products and services;
- i) The level of control expected for the design and development process by customers and other relevant interested parties;
- j) The documented information needed to demonstrate that design and development requirements have been met.

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8.3.3 Design and development inputs

KNP determines the requirements essential for the specific types of products and services to be designed and developed. KNP considers:

- a) Functional and performance requirements;
- b) Information derived from previous similar design and development activities;
- c) Statutory and regulatory requirements;
- d) Standards or codes of practice that KNP has committed to implement;
- e) Potential consequences of failure due to the nature of the products and services.

KNP ensures that inputs are adequate for design and development purposes, complete and unambiguous.

Conflicting design and development inputs are resolved.


Documented information on design and development inputs is retained.

8.3.4 Design and development controls

KNP applies controls to the design and development process to ensure that:

- a) The results to be achieved are defined;
- b) Reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
- c) Verification activities are conducted to ensure that the design and development outputs meet the input requirements;
- d) Validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;

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- e) Any necessary actions are taken on problems determined during the reviews, or verification and validation activities;
- f) Documented information of these activities is retained.

Participants in such reviews include HODs concerned with the design and development process (es) being reviewed. Records of the results of the reviews and any necessary actions are maintained.

8.3.5 Design and development outputs

KNP ensures that design and development outputs:


- a) Meet the input requirements;
- b) Are adequate for the subsequent processes for the provision of products and services;
- c) Include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria;
- d) Specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.

Documented information on design and development outputs is retained.

8.3.6 Design and development changes

KNP identifies, reviews and controls changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements.

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Documented information is retained on:

- a) Design and development changes;
- b) The results of reviews;
- c) The authorization of the changes;
- d) The actions taken to prevent adverse impacts.

8.4 Control of externally provided processes, products and services

8.4.1 General


KNP ensures that externally provided processes, products and services conform to KNP requirements.

KNP has determined the controls to be applied to externally provided processes, products and services when:

- a) Products and services from external providers are intended for incorporation into the organization's own products and services;
- b) Products and services are provided directly to the customer(s) by external providers on behalf of the organization;
- c) A process, or part of a process, is provided by an external provider as a result of a decision by the organization.

KNP determines and applies criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. KNP retains documented information of these activities and any necessary actions arising from the evaluations.

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8.4.2 Type and extent of control

KNP ensures that externally provided processes, products and services do not adversely affect the KNP's ability to consistently deliver conforming products and services to its customers.

KNP:

- a) Ensures that externally provided processes remain within the control of its quality management system;
- b) Defines both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
- c) Takes into consideration:
 - 1) The potential impact of the externally provided processes, products and services on the KNP's ability to consistently meet customer and applicable legal requirements;
 - 2) The effectiveness of the controls applied by the external provider;
- d) Determines the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.


8.4.3 Information for external providers

KNP ensures the adequacy of requirements prior to their communication to the external provider.

KNP communicates to external providers its requirements for:

- a) The processes, products and services to be provided;
- b) The approval of:
 - 1) Products and services;
 - 2) Methods, processes and equipment;
 - 3) The release of products and services;

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- c) Competence, including any required qualification of persons;
- d) The external providers' interactions with KNP;
- e) Control and monitoring of the external providers' performance to be applied by KNP;
- f) Verification or validation activities that KNP, or its customer, intends to perform at the external providers' premises.
- g) Responsibilities of external providers related to information security.

8.5 Production and service provision


8.5.1 Control of production and service provision

KNP implements production and service provision under controlled conditions.

Controlled conditions include, as applicable:

- a) The availability of documented information that defines:
 - 1) The characteristics of the products to be produced, the services to be provided, or the activities to be performed;
 - 2) The results to be achieved;
- b) The availability and use of suitable monitoring and measuring resources;
- c) The implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;
- d) The use of suitable infrastructure and environment for the operation of processes;
- e) The appointment of competent persons, including any required qualification;
- g) The implementation of actions to prevent human error;
- h) The implementation of release, delivery and post-delivery activities.

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All outputs of the various processors are verifiable against the expected outputs by monitoring or measurement as applicable, and relevant records are retained.

8.5.2 Identification and traceability

KNP uses suitable means to identify outputs when it is necessary to ensure the conformity of products and services.

KNP identifies the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.

KNP controls the unique identification of the outputs when traceability is a requirement, and retains the documented information necessary to enable traceability.


Methods of identification and traceability include but not limited to course identification by a code and title, student registration number and identification card, serialized documents like student certificates and LPOs for purchasing, use of logo and corporate letter head on documents, use of corporate colors, identification of the staff releasing training/teaching services to students, and signatures by authorized persons.

8.5.3 Property belonging to customers or external providers

KNP exercises care with property belonging to customers or external providers while it is under KNP's control or being used by KNP.

KNP identifies, verifies, protects and safeguards customers' or external providers' property provided for use or incorporation into the products and services.

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In case the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, KNP will report this to the customer or external provider and retain documented information on what has occurred.

A customer's or external provider's property include materials, components, tools and equipment, premises, intellectual property and personal data. (Examples are student certificates, and hired equipment like tents and chairs, public address system, gowns.)

8.5.4 Preservation

KNP preserves the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.

Preservation includes identification, handling, damage control, packaging, storage, transmission or transportation, and protection, as applicable.

8.5.5 Post-delivery activities

Post-delivery activities at KNP include the establishment of an alumni association.


8.5.6 Control of changes

KNP reviews and controls changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.

KNP retains documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review.

8.6 Release of products and services

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KNP implements planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.

The release of products and services to the customer does not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant regulatory body and, as applicable, by the customer.

KNP retains documented information on the release of products and services.

The documented information includes:

- a) Evidence of conformity with the acceptance criteria;
- b) Traceability to the person(s) authorizing the release.

8.7 Control of nonconforming outputs


8.7.1 KNP ensures that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

KNP takes appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This also applies to nonconforming products and services detected after delivery of products, during or after the provision of services.

KNP deals with nonconforming outputs in one or more of the following ways:

- a) Correction;
- b) Segregation, containment, return or suspension of provision of products and services;
- c) Informing the customer;

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d) Obtaining authorization for acceptance under concession with the customer and relevant regulatory body.

Conformity to the requirements is verified when nonconforming outputs are corrected.

Procedure for Internal Audits applies (KNP/MR/SOP/002).

8.7.2 KNP retains documented information that:

- a) Describes the nonconformity;
- b) Describes the analysis done and actions taken;
- c) Describes any concessions obtained;
- d) Identifies the authority deciding the action in respect of the nonconformity.

9.0 Performance evaluation


9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

KNP has determined:

- a) What needs to be monitored and measured;
 - Risks and opportunities
 - Information on internal/external issues and interested parties
 - Customer survey and feedback
 - Information on external providers
 - Information security processes and controls
 - Monitoring and measuring results;

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Process performance

Meeting objectives

b) Who shall monitor and measure;

IMS leader

Monitoring and Evaluation Committee

Quality Assurance Committee

Service Delivery Committee

Process owners

ICT Department

c) The methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;

Audits

Surveys

Customer feedback

Meetings

Sampling

Observations

Process performance

d) When the monitoring and measuring shall be performed;

Monitoring and measuring shall be continuous

e) When the results from monitoring and measurement shall be analyzed and evaluated.


Shall be carried out twice in a year.

f) Who shall analyse and evaluate the results.

IMS Leader

Quality Assurance Committee

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Service Delivery Committee

Process owners

ICT Department

KNP evaluates the performance and the effectiveness of the Integrated Management System and retains appropriate documented information as evidence of the results of evaluation.

9.1.2 Customer satisfaction

KNP monitors customers' perceptions of the degree to which their needs and expectations have been fulfilled. KNP has determined the methods for obtaining, monitoring and reviewing this information.

Methods of monitoring customer perceptions include but not limited to customer surveys, customer feedback, meetings with customers and market-share analysis.

KNP conducts customer satisfaction survey annually and acts on the results.


9.1.3 Analysis and evaluation

KNP analyses and evaluates appropriate data and information arising from monitoring and measurement.

The results of analysis are used to evaluate:

- a) Conformity of products and services;
- b) The degree of customer satisfaction;
- c) The performance and effectiveness of the Integrated Management System;
- d) If planning has been implemented effectively;

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- e) The effectiveness of actions taken to address risks and opportunities;
- f) The performance of external providers;
- g) The need for improvements to the integrated management system.

Methods to analyse data include statistical techniques like computation of percentages, average, deviation, and total, among others.

9.2 Internal audit

9.2.1 KNP conducts internal audits at planned intervals to provide information on whether the IMS:

a) Conforms to:

- 1) The KNP's own requirements for its IMS;
- 2) The requirements of ISO 9001:2015 and ISO/IEC 27001:2013


b) Is effectively implemented and maintained.

Procedure for Internal Audits KNP/MR/SOP/002 applies.

9.2.2 MR:

- a) Plans, establishes, implements and maintains an audit programme including the frequency, methods, responsibilities, planning requirements and reporting, which take into consideration the importance of the processes concerned, changes affecting KNP, and the results of previous audits;
- b) Defines the audit criteria and scope for each audit;
- c) Selects auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) Reports results of audits to management.

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- e) ensures appropriate correction and corrective actions are taken without undue delay.
- f) Retains documented information as evidence of the implementation of the audit programme and the audit results.

9.3 Management review

9.3.1 General


KNP Top management reviews the organization's IMS, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of KNP. This is done during management review meetings.

9.3.2 Management review inputs

The management review is planned and carried out taking into consideration:

- a) The status of actions from previous management reviews;
- b) Changes in external and internal issues that are relevant to the IMS;
- c) Feedback on the performance and effectiveness of the IMS, including trends in:
 - 1) Customer satisfaction and feedback from relevant interested parties;
 - 2) The extent to which objectives have been met;
 - 3) Process performance and conformity of products and services;
 - 4) Nonconformities and corrective actions;
 - 5) Monitoring and measurement results;
 - 6) Audit results;
 - 7) The performance of external providers;
- d) The adequacy of resources;

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e) a report on results of risk assessment, status of risk treatment plan and effectiveness of actions taken to address risks and opportunities.

f) Opportunities for continual improvement.

9.3.3 Management review outputs

The outputs of the management review include decisions and actions related to:

- a) Opportunities for continual improvement;
- b) Any need for changes to the IMS;
- c) Resource needs.

KNP retains documented information of the results of management reviews. Records of management review are retained in file KNP/IMS/MR/003.

10 Improvement


10.1 General

KNP determines and selects opportunities for improvement and implements any necessary actions to meet customer requirements and enhance customer satisfaction.

These shall include:

- a) Improving products and services to meet requirements as well as to address future needs and expectations;
- b) Correcting, preventing or reducing undesired effects;
- c) Improving the performance and effectiveness of the IMS.

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Examples of improvement include correction, corrective action, actions to address opportunities, breakthrough change, innovation and re-organization.

10.2 Nonconformity and Corrective Action

10.2.1 When a nonconformity occurs, including any arising from complaints, KNP:

a) Reacts to the nonconformity and, as applicable:

- 1) Take action to control and correct it;
- 2) Deal with the consequences;

b) evaluates the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:

- 1) Reviewing and analysing the nonconformity;
- 2) Determining the causes of the nonconformity;
- 3) Determining if similar nonconformities exist, or could potentially occur;

c) Implements any action needed;

d) Reviews the effectiveness of any corrective action taken;

e) Updates risks and opportunities determined during planning, if necessary;

f) Makes changes to the IMS, if necessary.


Corrective actions taken are appropriate to the effects of the nonconformities encountered.

10.2.2 KNP retains documented information on:

- a) The nature of the nonconformities and any subsequent actions taken;
- b) The results of any corrective action.

10.3 Continual improvement

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KNP continually improves the suitability, adequacy and effectiveness of the IMS.

KNP considers the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.


11.0 APPENDICES

- 11.1 Appendix I.** List of IMS Documents.
- 11.2 Appendix II** Processes Flow-chart in KNP
- 11.3 Appendix III.** Risk Acceptance and Assessment Criteria
- 11.4. Appendix IV.** Information Assets Register

APPENDIX I LIST OF IMS DOCUMENTS

- | | | |
|----|---|------------------|
| 1 | Integrated Management System Manual | KNP/ADM/IMS |
| 2 | Procedure for Control of Documented Information | KNP/MR/SOP/001 |
| 3 | Procedure for Internal Audits | KNP/MR/SOP/002 |
| 4 | Procedure for Admitting Students | KNP/REG/SOP/003 |
| 5 | Procedure for Examinations | KNP/EXAM/SOP/004 |
| 6 | Procedure for Management of Student Affairs | KNP/DOS/SOP/005 |
| 7 | Procedure for Training | KNP/ACS/SOP/006 |
| 8. | Procedure for Human Resource Management | KNP/HR/SOP/007 |

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9.	Procedure for Communication	KNP/ADM/SOP/008
10	Procedure for Procurement & Asset Disposal	KNP/PROC/SOP/009
11	Procedure for Repair & Maintenance	KNP/ADM/SOP/010
12	Procedure for Industrial Attachment	KNP/ILO/SOP/011
13	Procedure for Library Services	KNP/LIB/SOP/012
14	Procedure for Research & Development	KNP/RDU/SOP/013
15	Procedure for Guidance & Counseling	KNP/GCS/SOP/014


APPENDIX II PROCESSES FLOW CHART IN KNP

INTERACTION OF PROCESSES AT KNP

APPENDIX III: RISK ASSESSMENT METHODOLOGY

A. RISK ACCEPTANCE CRITERIA

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Impact of Loss ►	LOW	MEDIUM	HIGH
Confidentiality Ensuring that information is accessible only to those authorized to have access	The unauthorized disclosure of information could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.	The unauthorized disclosure of information could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.	The unauthorized disclosure of information could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.
Integrity Safeguarding the accuracy and completeness of information and processing methods	The unauthorized modification or destruction of information could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.	The unauthorized modification or destruction of information could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.	The unauthorized modification or destruction of information could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.
Availability Ensuring that authorized users have access to information and associated assets when required	The disruption of access to or use of information or an information system could be expected to have a limited adverse effect on organizational operations, organizational assets, or individuals.	The disruption of access to or use of information or an information system could be expected to have a serious adverse effect on organizational operations, organizational assets, or individuals.	The disruption of access to or use of information or an information system could be expected to have a severe or catastrophic adverse effect on organizational operations, organizational assets, or individuals.

B. ACCEPTABLE LEVEL OF RISK

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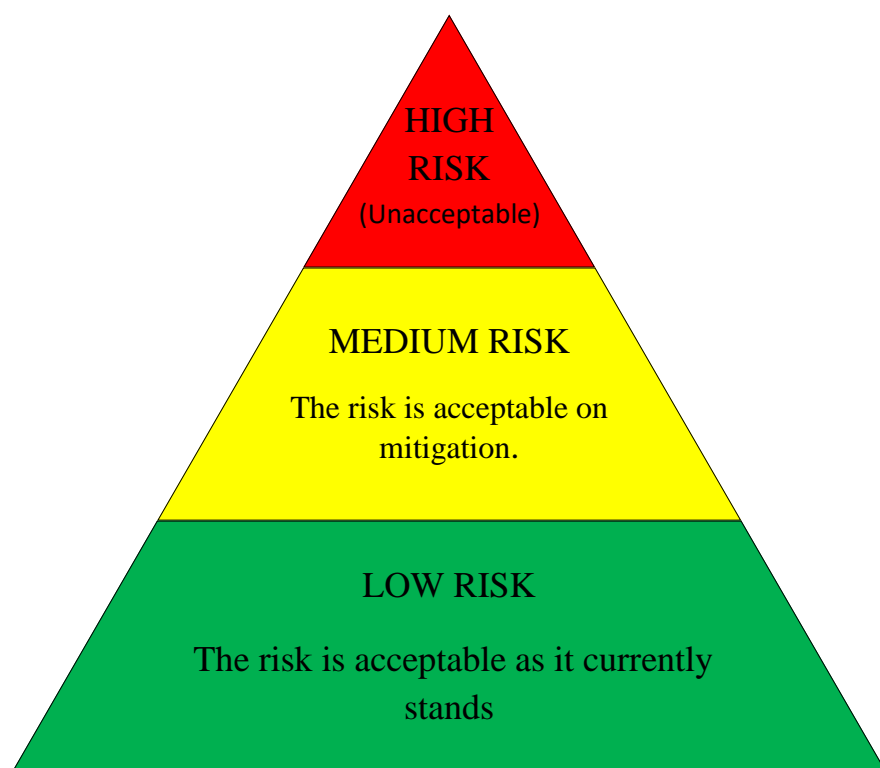
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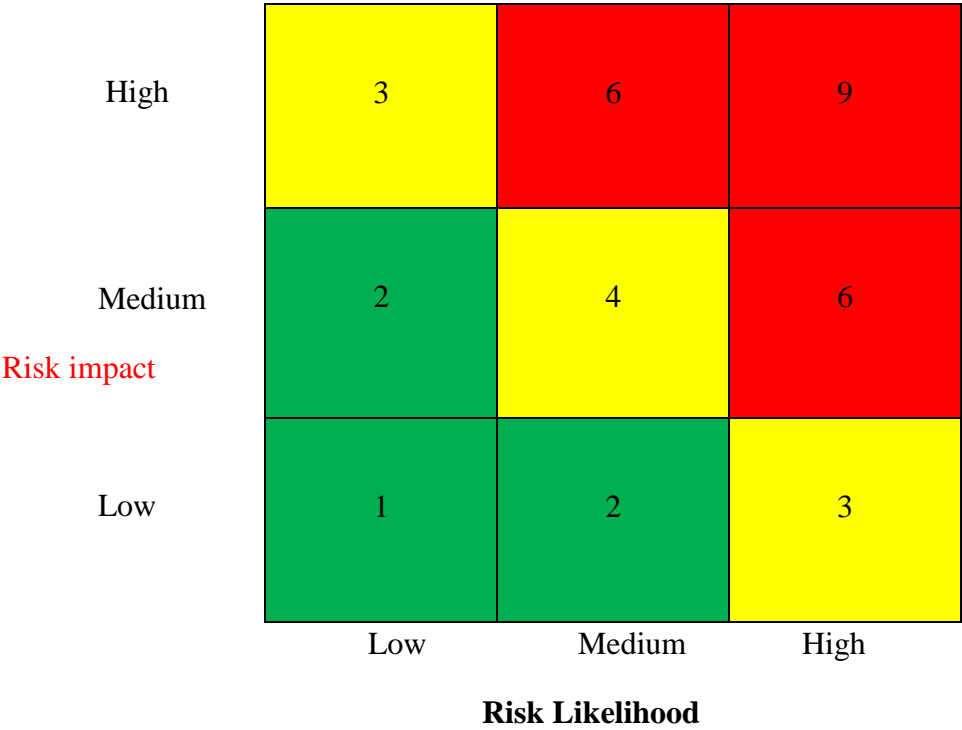
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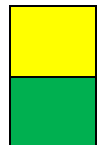
C. RISK ASSESSMENT MATRIX



Risk impact



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Key:

High (6 to 9)


Medium (3 to 4)

Low (1 to 2)

D. RISKS TREATMENT OPTIONS

ACCEPT	A justifiable decision by the risk owner to accept the risk which is within risk acceptable or based on cost benefit analysis.
AVOID	Involves terminating an entire process or part of a process to cushion the organization from the risk. This decision shall be made by top management.
REDUCE	Implementation of risk treatment plan to lower the likelihood and/or the impact.
TRANSFER	The risk is shared to another party that can most effectively manage the particular risk depending on risk evaluation.
TRANSFORM	The risk being transformed from the inherent form to a different form to minimize the risk to acceptable levels.


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APPENDIX IV: KNP INFORMATION ASSETS REGISTER

Asset Category	Owner	Location
ORGANIZATION		
1. Supplier information	Procurement Officer	Procurement office
2. Press Releases	Principal	Principal's office
3. Partner Information	Principal	Principal's office
4. Risk Assessments –Assets	Management Representative	MR's office
5. Trainee information	Registrar Academics	Registry
ASSET MANAGEMENT		
1. Asset Register	Management Representative	MR's office

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HUMAN RESOURCES		
1. Social Security Details	HR	Human Resource Office
2. Personnel Information	HR	Human Resource Office
PHYSICAL & ENVIRONMENTAL		
1. Cell Phones	HR	Human Resource Office
2. Power Supplies	Estates Officer	Estates Office
3. Uninterruptable Power Supplies	ICT Officer	ICT Office
4. Firefighting equipment	Security Officer	Security Office
5. Network Cabling	ICT Officer	ICT Office
6. Equipment maintenance Plans.	Estates Officer	Estates Office
7. CCTV Register	Security Officer	Security Office
COMMUNICATIONS & OPERATIONS		
1. Smart Cards	Registrar Academics	Registry
2. Data Centres	Process Owners	Respective functional levels

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3. Computers	ICT Officer	ICT Office
4. Network Devices	ICT Officer	ICT Office
5. Intercom	Deputy Principal Admin	D/P Admin's Office
6. Removable Media	ICT Officer	ICT Office
7. Network Design	ICT Officer	ICT Office
8. Intranet Data	ICT Officer	ICT Office
9. Service Delivery Charter	Principal	Principal's office
ACCESS CONTROL		
1. Active Directory	ICT Officer	ICT Office
2. Domain Name System	ICT Officer	ICT Office
3. Employee Passwords	ICT Officer	ICT Office
4. User Register	ICT Officer	ICT Office
5. Access Rights Register	ICT Officer	ICT Office
INCIDENT MANAGEMENT		
1. Human Resource Data	HR	Human Resource Office
2. Incident Register	Principal	Principal's office

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BUSINESS CONTINUITY		
1. Strategic Plans	Principal	Principal's office
2. Business Continuity Plans	Principal	Principal's office
3. Integrated Management System Manual	Principal	Principal's office
COMPLIANCE		
1. Intellectual Property	Research Development Unit Co-ordinator	Research & Development Office
2. IMS Documentation	MR	MR Office
3. Training Materials	Deputy Principal Academics	Deputy Principal Academics Office

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