



REPUBLIC OF KENYA  
MINISTRY OF HEALTH



## THE KENYA MEDICAL LABORATORY TECHNICINS ASND TECHNOOGISTS BOARD.

### REGULATORY GUIDELINES ON PROXY FILING OF PROFESSIONAL, ACADEMIC AND OTHER DOCUMENTS.

*Pursuant to the Medical Laboratory Technicians and Technologist or officer student or officer students Act CAP 253 .A Laws of Kenya.*

#### KMLTTB QUALITY ASSURANCE SERVICES.

 KENYA MEDICAL LABORATORY TECHNICIANS AND TECHNOLOGISTS BOARD Make Testing a Safe Reality	REGULATORY GUIDELINES ON PROXY FILING OF PROFESSIONAL, ACADEMIC AND OTHER DOCUMENTS.		DOCUMENT CONTROL
	OWNER OF THE FORM	REGISTRAR	Serial: KMLTTB/PROXY/FILLING/GUIDE/01 Version 001 Date: 2 <sup>ND</sup> , JANUARY, 2026

## **A. REGULATORY GUIDELINES ON FILING OF PROFESSIONAL, ACADEMIC AND OTHER DOCUMENTS.**

Regulatory management of document filing of professional, academic and other documents with KMLTTB involves a structured process of preparing, submitting, and tracking documents to ensure compliance with legal standards.

### **B. Core Filing Procedures**

- 1. Understand Requirements:** Identify specific regulations, guidelines, and standards for the relevant service. This includes verifying mandatory formats and required templates.
- 2. Develop a Submission Plan:** Create a detailed roadmap with risk assessments, checklists of required information, and realistic timelines to avoid late-filing penalties.
- 3. Data Collection & Preparation:** Gather accurate operational or financial data from internal systems. Ensure documents are complete, accurate, and consistently formatted.
- 4. Internal Review & Quality Control:** Implement a review process (scientific, regulatory, and quality assurance) to verify that information is substantiated and error-free.
- 5. Submission:** Officially file documents through designated secure electronic portals or digital filing channels specified by KMLTTB.

## **C. KMLTTB SHALL EMPLOY BEST PRACTICES FOR MANAGEMENT AS FOLLOWS**

- Centralize Documentation:** Use a specialized **Regulatory Document Management System** to store documents in a single, secure repository with role-based access.
- Maintain Version Control:** Establish robust audit trails to track all document changes, approvals, and revisions for long-term legal and audit purposes.
- Establish Accountability:** Define clear roles to ensure ownership of each filing step, from data collection to final submission.
- Automate Workflows:** Leverage technology to automate reminders for upcoming deadlines, document routing, and status dashboards.
- Schedule Regular Audits:** Conduct periodic internal audits and inspections of filing procedures to identify gaps and ensure ongoing compliance.

## D. Commonly Required Academic and Professional Documents

While requirements vary by type of service, standard filings often include:

- **Personal Credentials:** Birth certificates, academic transcripts and certificates for individual professional licensure.
- **Corporate Records:** Certificates of Incorporation, tax compliance certificates, and beneficial ownership records.
- **Technical Dossiers:** Research data, clinical trial reports, or safety summaries.
- **Operational Reports:** Annual financial disclosures, risk exposures, and compliance audit results.

## E. "PROXY FILING"

Standard regulatory frameworks typically require formal authorization and specific identification to ensure the integrity of professional and academic records.

### General Regulatory Requirements

For KMLTTB, the following guidelines apply when a proxy filing of documents is used:

1. **Authorization Letter:** The applicant must provide a formal authorization letter explicitly naming the representative and granting them permission to act on their behalf. The letter must bear the signature of the applicant as it appears in the application for registration at KMLTTB.
2. **Identification:** Both the applicant and the proxy must provide valid, government-issued identification (e.g., National ID or Passport).
3. **Certified Copies:** KMLTTB require that any submitted copies of original documents be certified true copies by a Commissioner of oaths/ Notary Public or the original issuing body.
4. **Physical Presence Exceptions:** While filing can often be done by a proxy, some highly sensitive actions—such as collecting registration certificates may require the owner to appear in person. Where the applicant is unavailable they shall make reference to E(1) above
5. **Academic Verification:** KMLTTB conduct verification to prevent fraud. Proxies must often present travel stamps or visas if the applicant is abroad to prove why they cannot

appear in person. All applicants shall produce all academic transcripts upon request by the Board. The same must be certified by the issuing authority.

6. **Legal & Professional Filing:** Under KMLTTB, medical laboratory professionals must maintain high ethical standards. Professional undertakings between representatives are legally binding and separate from the client's primary transaction.
- **Corporate/Regulatory Filing:** In corporate licensing (e.g., licensing medical laboratory facilities/ business premises) proxies shall require specific Proxy Forms depending on the intent to be legally valid.

## **F. Fraud and Penalties**

- **Personation:** Willfully personating another person to file or collect documents shall lead to criminal charges under the Penal Code (e.g., Section 105 in Kenya), punishable by imprisonment.
- **Disciplinary Action:** If a public officer is found to have processed forged or unauthenticated documents via proxy, they face strict disciplinary action under applicable service regulations and the medical laboratory technicians and technologists act.

.....THE END.....