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Document Title: <b>QUALITY MANAGEMENT SYSTEM MANUAL</b>		


# CHUKA UNIVERSITY

ISO 9001:2015 INTERNATIONAL STANDARD

## Quality Management System Manual (CU/ISO/QMSM/01)

### DOCUMENT REVIEW SHEET

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## PREAMBLE

This is the Quality Management System Manual (QMSM) for Chuka University (CU). It describes the general Quality Management System aspects that will ensure that CU provides quality products and services to its customers.

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### **Amendment Record**

This Quality Manual is reviewed regularly to ensure relevance to the systems and processes that it defines. A record of contextual additions and/or deletions is given in Table 1 below:


**Table 1. Amendment record sheet**

<b>Amendment Date</b>	<b>Issue No. &amp; Revision No.</b>	<b>Page No.</b>	<b>Context</b>	<b>Name of identifier</b>	<b>Revised by MR</b>	<b>Approved By</b>


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## **DISTRIBUTION OF THE QUALITY MANUAL**

This Quality Management System Manual has been issued to all Chuka University ISO Heads of Departments (ISO HODs), who are required to make it available to all staff under their supervision up to Grade A/B through recorded lending/borrowing.

This Quality Management System Manual is also available on the CU intranet server, and on the **Chuka University website ([www.chuka.ac.ke](http://www.chuka.ac.ke))**.

All printed copies of this Quality Management System Manual are deemed “Uncontrolled”, unless stamped “Controlled”, and are distributed to the following:

- Vice-Chancellor
- Deputy Vice-Chancellors
- Registrars
- Deans
- Directors
- Management Representative (M.R.)/Assistant M.R.s
- Chairpersons of Departments
- Heads of Departments
- Heads of Sections
- ISO Steering Committee (Core Team/Champions/Secretariat)
- ISO QMS Internal Auditors

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## **INSTITUTIONAL PROFILE**

Chuka University (CU) started as Egerton University Eastern Campus College, Chuka. Eastern Campus College of Egerton University was founded on 27<sup>th</sup> September, 2004 by Egerton University Council to give people in eastern region and Kenya at large access to high quality and affordable University education. This was after the local community donated 550 acres of land and facilities essential for current and future expansion of the institution. One of the major facilities donated was Chuka Polytechnic founded in 1956.

On 23<sup>rd</sup> August, 2007, Eastern Campus College was upgraded to a constituent college of Egerton University and gazetted through a Legal Notice Number 161. After the elevation, the name changed to Chuka University College. On 10<sup>th</sup> December, 2007, His Excellency President Mwai Kibaki visited and officially inaugurated the University College. On 8<sup>th</sup> January, 2013, H.E. President Mwai Kibaki visited again and inaugurated the Chuka University, making it the 2<sup>nd</sup> public university to be chartered and the 9<sup>th</sup> full-fledged public university in Kenya.

The home of the University is Chuka Municipality in Meru South District, Tharaka-Nithi County. The University is situated approximately 186 km from Nairobi City along the Nairobi-Embu-Meru highway on the located on the slopes of the snow-capped Mt. Kenya at an attitude of approximately 1,500 m above sea level. It has a cool climate with temperatures ranging from 16°C to 24°C and an average rainfall of about 1,000 mm per annum. This climate offers excellent learning and working environment.

### **SLOGAN/MOTTO**

Knowledge is Wealth

*(Sapientia divitia est)*


“Akili ni Mali”

### **NICHE MOTTO**

Inspiring Environmental Sustainability for Better Life

## **PHILOSOPHY STATEMENT**

Chuka University believes that sustainable national and global development can be achieved through nurturing an intellectual culture that integrates theory with practice to produce graduates with relevant knowledge, skills and responsible citizenry. The University also believes that quality education, training, research, extension, environmental sustainability and entrepreneurship lead to social cohesion, human integrity, and economic development. These ideals will be realised through passion for excellence, devotion to duty, accountability, prudent utilisation of resources, corporate citizenship, and teamwork. To actualize these beliefs, the University is committed to generation, preservation and sharing of knowledge for effective leadership in education, training, research and extension. The ultimate goal of Chuka University is to be a Premier University for the provision of quality education, training, research and extension in both basic and applied environmental and related studies.

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## VISION

A Premier University for the provision of quality education, training and research for sustainable national and global development.

## MISSION


To provide access, generate, preserve and share knowledge for quality, effective and ethical leadership in higher education, training, research and outreach through nurturing an intellectual culture that integrates theory with practice, innovation and entrepreneurship.

## CORE VALUES

In the realisation of the fundamental statements, Chuka University shall be guided by the following core values:

- (1) **Customer Value and Focus:** Enhancing customer satisfaction levels by providing products and services that meet or exceed customer expectations.
- (2) **Diversity and Social Fairness:** Appreciation of varied cultures and commitment to ensure balanced distribution of resources and opportunities while instituting affirmative action to cater for marginalised sections of the society.
- (3) **Environmental Consciousness:** Considering the impact of all activities and programmes to be implemented and taking measures that ensure zero tolerance to environmental damage.
- (4) **Fidelity to the Law:** Dutiful adherence to the Constitution and other legal, statutory and regulatory requirements.
- (5) **Innovation:** Creativity in undertaking programmes and activities earmarked to contribute novel, effective and efficient ways of advancing humanity.
- (6) **Integrity:** Upholding honesty, transparency, accountability and strong moral principles and values in all decisions and actions taken.
- (7) **Passion for Excellence:** Being outstanding in all services, activities and programmes undertaken by the University.
- (8) **Peaceful Co-Existence:** Living harmoniously with neighbours and the environment and promoting the ideals of cohesion, integration and unity.
- (9) **Professionalism and Confidentiality:** Professionalism is the skill, good judgment and polite behaviour exhibited by an expert when discharging responsibilities and delivering services, while confidentiality means commitment to not disclose classified information to unauthorized parties.



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**(10) Prudent Utilisation of Resources:** Utilising resources without wastage and misappropriation by ensuring maximum value and complying with various planned arrangements, internal controls and government regulations.

**(11) Teamwork:** Adopting a participatory and inclusive approach in undertaking operations and functions of the University.

**(12) Timeliness and Devotion to Duty:** Timeliness refers to being time-conscious in undertaking activities, assignments and programmes, while devotion to duty is selfless commitment to undertake activities, assignments and programmes for the good and advancement of humanity.

## MANDATE


The Mandates of Chuka University are enshrined in its **objects** and **functions**.

The **objects** of the University are to–

- (a) Provide directly, or in collaboration with other institutions of higher learning, facilities for quality university education, including technological, scientific and professional education, and the integration of teaching, research, outreach and effective application of knowledge and skills to the life, work and welfare of the citizens of Kenya;
- (b) Provide and advance university education and training to appropriately qualified candidates, leading to the conferment of degrees and award of diplomas and certificates and such other qualifications as the Council and the Senate determines from time-to-time and in so doing, contribute to realisation of sustainable national economic and social development;
- (c) Provide programmes, products, and services in ways that reflect the principles of equity and social justice.

The **functions** of the University are to–

- (a) Participate in technological innovation as well as discovery, transmission, preservation and enhancement of knowledge, and stimulate the intellectual participation of students in the economic, social, cultural, scientific and technological development of Kenya;
- (b) Inculcate a culture of lifelong learning, responsible citizenry and innovation in technology, engineering and mathematics within the institution and society;
- (c) Engage in teaching, training, scholarship, entrepreneurship, research, consultancy, community service, among other educational services and products, with emphasis on technology and its development, impact and application to society;
- (d) Conduct examinations for and grant such academic awards as may be provided for in the Statutes, and syndicate examinations for award at other institutions as may be approved by Senate; and
- (e) Facilitate the development and provision of appropriate academic programmes, and community services.

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## Introduction

### 0.1 General

The adoption of a Quality Management System (QMS) is a strategic decision for Chuka University that can help to improve overall performance and provide a sound basis for sustainable development initiatives. The potential benefits to Chuka University of implementing a Quality Management System based on this International Standard are:

- (1) The ability to consistently provide products and services that meet customer and applicable statutory requirements;
- (2) Facilitating opportunities to enhance customer satisfaction;
- (3) Addressing risks and opportunities associated with its context and objectives;
- (4) The ability to demonstrate conformity to specified Quality Management System requirements

This International Standard can be used by internal and external parties. It is not the intent of this International Standard to imply the need for:

- (1) Uniformity in the structure of different quality management systems;
- (2) Alignment of documentation to the clause structure of this International Standard;
- (3) Use of the specific terminology of this International Standard within Chuka University.


The Quality Management System requirements specified in this International Standard are complementary to requirements for products and services.

This International Standard employs the process approach, which incorporates the Plan-Do-Check-Act (PDCA) cycle and risk-based thinking.

- (1) The process approach enables Chuka University to plan its processes and their interactions.
- (2) The PDCA cycle enables Chuka University to ensure that its processes are adequately resourced and managed, and opportunities for improvement are determined and acted on.
- (3) Risk-based thinking enables Chuka University to determine the factors that could cause its processes and its Quality Management System to deviate from the planned results, to put in place preventive controls to minimize negative effects and to make maximum use of opportunities as they arise (**See Clause A.4**).

Consistently meeting requirements and addressing future needs and expectations poses a challenge for Chuka University in an increasingly dynamic and complex environment. To achieve this objective Chuka University might find it necessary to adopt various forms of improvement in addition to correction and continual improvement, such as breakthrough change, innovation and re-organization.

In this International Standard, the following verbal forms are used:

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- “Shall” indicates a requirement;
- “Should” indicates a recommendation;
- “May” indicates a permission or optional;
- “Can” indicates a possibility or a capability
- Information marked as ‘NOTE’ is for guidance in understanding or clarifying the associated requirement.

## 0.2 Quality management principles

This International Standard is based on the quality management principles described in ISO 9000. The descriptions include a statement of each principle, a rationale of why the principle is important, some examples of benefits associated with the principle and examples of typical actions to improve performance when applying the principle.

The quality management principles are:

- Customer focus (2);
- Leadership (1);
- Engagement of people (3);
- Process approach (4);
- Improvement (6);
- Evidence-based decision making (5);
- Relationship management (7);

*The digits in parenthesis refer to Chuka University’s order of priority*

## 0.3 Process approach

### 0.3.1 General


This International Standard promotes the adoption of a process approach when developing, implementing and improving the effectiveness of a Quality Management System, to enhance customer satisfaction by meeting customer requirements. Specific requirements considered essential to the adoption of a process approach are included in 4.4.

Understanding and managing interrelated processes as a system should contribute to Chuka University’s effectiveness and efficiency in achieving its intended results. This approach should enable Chuka University to control the interrelationships and interdependencies among the processes of the system, so that the overall performance of Chuka University can be enhanced.

The process approach involves the systematic definition and management of the processes, and their interaction, so as to achieve the intended results in accordance with the quality policy and strategic direction. Management of the processes and the system as a whole can be achieved using PDCA cycle (see 0.3.2) with an overall focus on risk-based thinking (0.3.3) aimed at taking advantage of opportunities and preventing undesirable results.

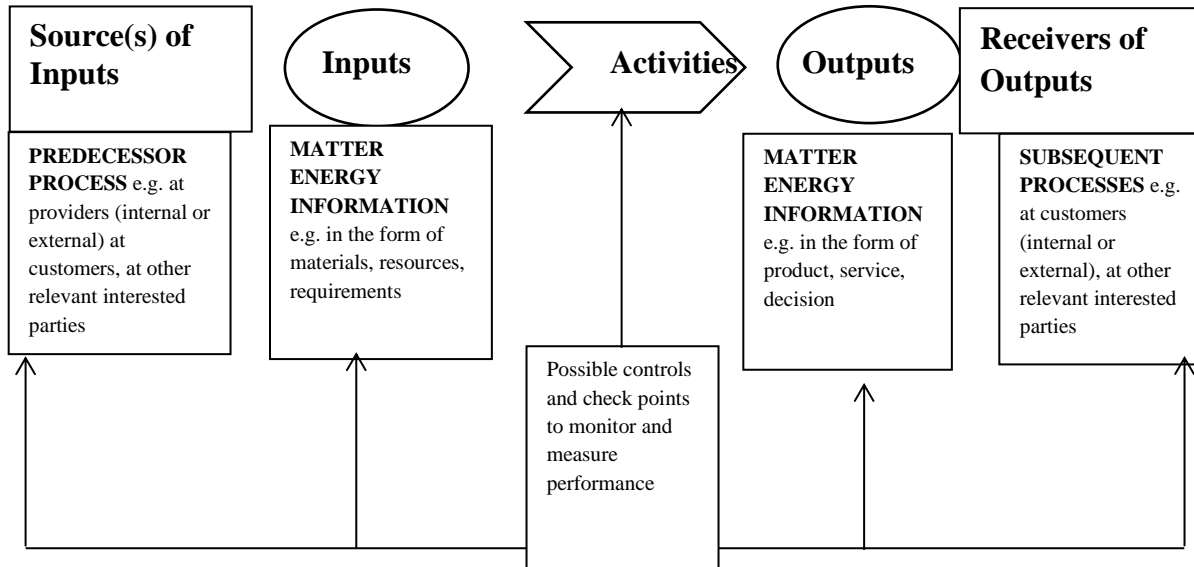
The application of the process approach in a Quality Management System enables:

- a) Understanding and consistency in meeting requirements;
- b) The consideration of processes in terms of added value;

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- c) The achievement of effective process performance;
- d) Improvement of processes based on evaluation of data and information.

**Figure 1** gives schematic representation of any process and shows the interaction of its elements. The monitoring and measuring check points, which are necessary for control, are specific to each process and will vary depending on the related risks.




**Figure 1. Schematic representation of the elements of a single process**

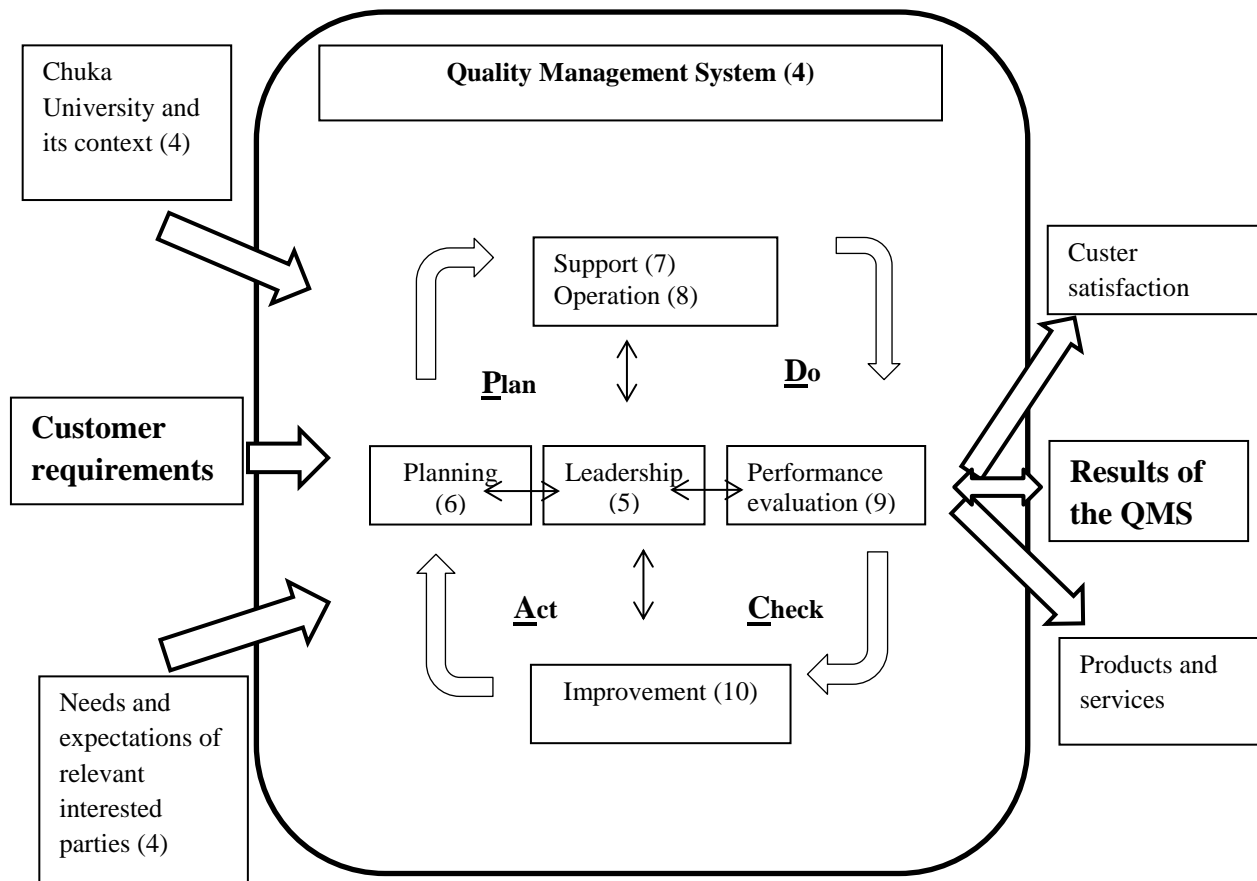
### 0.3.2 Plan–Do–Check–Act cycle

The PDCA cycle can be applied to all processes and to the Quality Management System as a whole. Figure 2 illustrates how Clauses 4 to 10 can be grouped in relation to the PDCA cycle.

The PDCA cycle can be briefly described as follows:

- (1) **Plan:** establish the objectives of the system and its processes, and the resources needed to deliver results in accordance with customers’ requirements and the Chuka University’s policies, and identify and address risks and opportunities;
- (2) **Do:** implement what was planned;
- (3) **Check:** Monitor and (where applicable) measure processes and the resulting products and services against policies, objectives, requirements and planned activities, and report the results;
- (4) **Act:** take actions to improve performance, as necessary.

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Note: Numbers in brackets refer to the clauses in this International Standard

### 0.3.3 Risk-based thinking

Risk-based thinking (see Clause A.4) is essential for achieving an effective Quality Management System. The concept of risk-based thinking has been implicit in previous editions of this International Standard including for example, carrying out preventive action to eliminate potential non-conformities, analyzing any non-conformities that do occur, and taking action to prevent recurrence that is appropriate for the effects of the non-conformity.

To conform to the requirements of this International Standards, Chuka University needs to plan and implement actions to address risks and opportunities. Addressing both risks and opportunities establishes a basis for increasing the effectiveness of the Quality Management System, achieving improved results, and preventing negative effects.

Opportunities can arise as a result of a situation favourable to achieving an intended result, for example, a set of circumstances that allow the organisation to attract customers, develop new products and services, reduce waste or improve productivity. Actions to address opportunities

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can also include consideration of associated risks. Risk is the effect of uncertainty and any such uncertainty can have positive or negative effects. A positive deviation arising from a risk can provide an opportunity, but not all positive effects of risk results in opportunities.

#### **0.4 Relationship with other management system standards**

This International Standard applies the framework developed by ISO to improve alignment among its International Standards for management systems (see **Clause A.1**).

This International Standard will enable Chuka University to use the process approach, coupled with the PDCA cycle and risk-based thinking, to align or integrate its Quality Management System with the requirements of other management system standards, when that time arises.


This International Standard relates to ISO 9000 and ISO 9004 as follows:

- ISO 9000 Quality Management Systems: Fundamentals and vocabulary provides essential background for the proper understanding and implementation of this International Standard;
- ISO 9004 Managing for the sustained success: A quality management approach provides guidance for progressing beyond the requirements of this International Standard.

Annex B provides details of other International Standards on quality management and Quality Management Systems that have been developed by ISO/TC 176.

This International Standard does not include requirements specific to other management systems, such as those for environmental management, occupational health and safety management, or financial management.

Sector-specific Quality Management System standards based on the requirements of this International Standard have been deployed for a number of sectors. Some of these standards specify additional Quality Management System requirements, while others are limited to providing guidance to the application of this International Standard within the particular sector.

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## Quality Management System - Requirements

### 1. Scope

This International Standard specifies requirements for a Quality Management System since Chuka University:

- a) Needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and
- b) Aims to enhance customer satisfaction through the effective application of the system, including processes for improvements of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements.

All the requirements of this International Standard are generic and intended to be applicable to Chuka University, regardless of the type, size, products and services it provides.


*NOTE 1. In this International Standard, the terms “products” or “services” only apply to products and services intended for, or required by, a customer.*

*NOTE 2. Statutory and regulatory requirements can be expressed as legal requirements.*

The following list provides the statutory, regulatory and institutional stipulations under which Chuka University operates and that its products and services strive to meet:

#### **(a) Statutory and regulatory stipulations**

Anti-Corruption and Economic Crimes Act No. 18 of 2014  
 Basic Education Act No. 14 of 2013  
 Children’s Act, 2001  
 Code of Conduct for Public Universities, 2003  
 CU Strategic Plan, 2017-2022  
 Current CU Performance Contract  
 Current CU Work Plans  
 Environmental Management and Coordination Act, 1999  
 Exchequer and Audit Act, 2003  
 Government Circulars  
 Higher Education Loans Board Act, 1995  
 ISO 19011:2002 Guidelines for Quality/Environmental Management Systems Auditing  
 ISO 9000:2015 Quality Management Systems – Fundamentals & Vocabulary  
 ISO 9001:2008 Quality Management Systems – Requirements  
 Kenya Constitution, 2010  
 Kenya Labour Laws  
 Kenya Taxation Laws  
 Leadership and Integrity Act, 2012  
 National Hospital Insurance Fund Act, 1998  
 National Industrial Training Act, 2012  
 National Social Security Fund Act, 1989  
 Occupational Safety and Health Act No. 15 of 2007  
 Pension Act, 2009  
 Persons with Disabilities Act, 2003


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Public Procurement and Disposal Act, 2015  
Public Audit Act No. 34 of 2015  
Public Financial Management Act, 2015  
Public Officer Ethics Act No. 4 of 2003  
Public Procurement and Asset Disposal Act No. 33 of 2015  
Science, Technology and Innovation Act No. 28 of 2013  
State Corporations Act, 2012  
Universities Act No. 42 of 2012

**(b) Institutional stipulations**

The following are the institutional stipulations used in the University operations:  
Chuka University Alcohol and Drug Abuse Policy(2013)  
Chuka University Anticorruption Policy(2013)  
Chuka University Charter, 2013  
Chuka University Code of Conduct and Ethics Policy (2013)  
Chuka University Collective Bargaining Agreements (UASU, UNTESU and KUDHEIHA workers)  
Chuka University Communications Policy (2017)  
Chuka University Customer Service Charter, 2012  
Chuka University Customer Service Delivery Charter, 2013  
Chuka University Disability Mainstreaming Policy (2013)  
Chuka University Electronic Waste Policy (2016)  
Chuka University Employee Assistance Policy (2014)  
Chuka University Environment Management Policy (2014)  
Chuka University Fees Payment Policy(2014)  
Chuka University Gender Mainstreaming Policy (2013)  
Chuka University HIV/AIDS Policy (2013)  
Chuka University Human Resource Training and Development Policy (2013)  
Chuka University ICT Policy and Implementation Strategy (2016)  
Chuka University ODEL Policy (2016)  
Chuka University Performance Contract (Current)  
Chuka University Public Complaints Policy (2013)  
Chuka University Quality Assurance Policy (2017)  
Chuka University Records Management Policy (2014)  
Chuka University Research Policy (2013)  
Chuka University Staff Education Fund Policy (2013)  
Chuka University Staff Information Handbook (Current)  
Chuka University Staff Reward Policy (2015)  
Chuka University Statutes, 2014  
Chuka University Strategic Plan, 2017-2022  
Chuka University Students' Information Handbook (Current)  
Chuka University Terms and Conditions of Service (Current)  
Chuka University Theses/Reports  
Chuka University Whistle Blower Protection Policy (2015)  
Chuka University Work Plans (Current)  
Collective Bargaining Agreements (UASU, UNTESU and KUDHEIHA workers)



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## 2. Normative references

The following document, in whole or in part, is normatively referenced in this document and is indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 9000:2015, Quality management systems-Fundamentals and vocabulary

## 3. Terms and definitions

For the purposes of this document, the terms and definitions given in ISO 9000:2015 apply. In addition, the following definitions, glossary and abbreviations shall apply:


### Definitions

- a) **Core processes:** These are the main value adding operations within Chuka University.
- b) **Core team:** Refers to the ISO Steering Committee or Champions.
- c) **Customer:** This is a recipient of a product/service offered by Chuka University.
- d) **HOD:** Refers to the Head of Department who is accountable for certain products and services of Chuka University. In the context of this QMS, Department broadly refers to Office, Division, Directorate, Institute, School, or Section of Chuka University.
- e) **Input:** Materials, resources, requirements, knowledge, ideas used to provide a product or service.
- f) **Management:** a broad term referring to planning, organization, directing & coordination (PODC), staffing and control of processes with inputs, control points and outputs (products and services).
- g) **Monitoring:** Watching, observing, checking a process
- h) **MOU:** Memorandum of Understanding
- i) **Outsourced process:** This is a process that Chuka University needs for its Quality Management System and which Chuka University chooses to have performed by an external party.
- j) **Output:** Product, service, decision arising from an input and its controls.
- k) **Product:** An output of a process that utilises inputs. Where the term “product(s)” is used in this Quality Manual, it can also mean “service(s)”.
- l) **Product:** Refers to services, procedures, processes, activities and results delivered by CU. The products of Chuka University include: Graduates, Publications, Patents, Biological, Agricultural, Industrial and Engineering Products. The Services of Chuka University include: Teaching, training and examination; Research and publication; Extension and outreach; Consultancy and innovation; Library and computing; Student welfare; Staff welfare; Environmental conservation; Transport, Medical, Security, Conferencing, Catering and Procurement.
- m) **Resources:** Human, Financial capitals, income funds; Physical possessions, properties, assets, etc
- n) **Support processes:** These are operations that assist the functioning of the core processes.
- o) **Training:** Refers to induction or orientation of an employee in his/her duties, roles and responsibilities for and within Chuka University.

### Glossary

#### Assurance

- Providing an optimal degree of confidence to Internal and External Customers regarding establishing and maintaining in the organization practices, processes, functions and systems for accomplishing organizational effectiveness.
- Establishing and maintaining an optimal degree of confidence in the organizational practices, processes, functions and systems for accomplishing organizational effectiveness.

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### **Corrective Action**

An action intended to eliminate the cause of a detected non-conformity. Corrective action is taken to prevent recurrence. Correction relates to containment of non-conformity, whereas corrective action relates to the root cause of non-conformity.

### **Continual Improvement**

Continual Improvement (CI): Adopting new activities and eliminating those which are found to add little or no value. The goal is to increase effectiveness by reducing inefficiencies, frustrations, and waste (rework, time, effort, material, etc).

### **Defect**

A defect is any type of undesired result, a failure to meet one of the expected criteria of your customer; a defective unit may have one or more defects. OR: A defect is a failure to conform to requirements whether or not those requirements have been articulated or specified.

### **Gap Analysis**

Gap analysis is done to map the variation, which exists between implied and specified customer requirements and existing process.

### **Inspection Plan**

1. Check machine tool for accuracy
2. Select the critical and important dimensions to inspect
3. Select the measuring instruments
4. Construct SPC charts for all dimensions

The general purposes of a Plan are these: To identify the goal(s) to be achieved; to specify the best route (methods, processes) for arriving at the goal(s); to catalogue resources (tools, time) needed to pursue the chosen route; to assign responsibilities for controlling and consuming those resources; and to secure agreement by relevant stakeholders. (This is not an exclusive list!)

### **Management**


Management is a rational social phenomenon based on planning, directing, organising, coordinating, staffing, and control principles. It aims at facilitating individuals and people to establish their organizations and projects for accomplishing their objectives and purposes efficiently and effectively; it could be a process, system or behaviour. It can be applied to people, things, ideas, and on any activity or function.

### **Preventive Action**

Long-term cost/risk-weighted action taken to prevent a problem from occurring based on an understanding of the product/process. Preventive action addresses inadequate conditions which may produce non-conformities.

### **Quality Assurance**

Quality assurance is a planned and systematic set of activities to ensure that variances in processes are clearly identified, assessed and improving defined processes for fulfilling the requirements of customers and product or service makers. Quality assurance is also a planned and systematic pattern of all actions necessary to provide adequate confidence that the product optimally fulfils customer's expectations.

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A planned and systematic set of activities to ensure that requirements are clearly established and the defined process complies with these requirements.

### **Quality Attribute**

A property of a work, product or goods by which it's quality will be judged by some stakeholder or stakeholders. Quality attributes are and should be quantifiable in specifications by the definition of some appropriate and practical scale of measure.

### **Quality Control**

- The managerial process during which actual process performance is evaluated and actions are taken on unusual performance.
- It is a process to ensure whether a product meets predefined standards and requisite action taken if the standards are not met.
- Quality Control measures both products and processes for conformity to quality requirements (including both the specific requirements prescribed by the product specification, and the more general requirements prescribed by Quality Assurance); identifies acceptable limits for significant quality attributes; identifies whether products and processes fall within those limits (conform to requirements) or fall outside them (exhibit defects); and reports accordingly.
- Correction of product failures generally lies outside the ambit of Quality Control; correction of process failures may or may not be included.

### **Quality Improvement**

Improvement is a systematic and continuous activity to raise all processes and systems in the organization to achieve optimal level of performance or the organised creation of beneficial changes in process performance levels.

### **Quality Management**

Quality Management is a systematic set of activities to ensure that processes create products with maximum quality at minimum cost of quality. The activities include Quality Assurance (QA), Quality Control (QC), and Quality Improvement (QI).

### **Quality Record**


Quality record indicates that a control has been made or an observation has been done.

### **Supplier**

A supplier is a person or an organization that provides products. Suppliers can be either internal or external to the organization. Internal suppliers provide products to people within their own organization while external suppliers provide products to other organizations. Examples of suppliers include organizations and people who produce, distribute, or sell products, provide services, or publish information.

### **SWOT Analysis**

It refers to a scan of the internal and external environment during strategic planning process. Environmental factors internal to an organisation are classified as strengths (S) or weaknesses (W), and environmental factors external to an organisation are classified as opportunity (O) or threats (T). Such an

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analysis of the strategic environment is referred to as a SWOT analysis. The SWOT analysis provides information that is helpful in matching the firm's resources and a capability to the competitive environment in which it operates. As such, it is instrumental in strategy formulation and selection.

### **Top Management**

Top Management (TM) refers to a person or a group of people at the highest level within an organization. It refers to the people who coordinate, direct and control organizations.

The term management refers to all the activities that are used to coordinate, direct, and control an organization. The term management does not refer to people, it refers to activities.

### **Total Quality Management**

A conceptual and a philosophical context which requires management and human resources commitment to adopt a perpetual improvement philosophy, through succinct management of all processes, practices and systems throughout the organization to achieve effectiveness in the organizational performance and fulfilling or exceeding the community expectations.

### **Traceability**

Traceability is the ability to identify and trace the history, distribution, location and application of products, parts and materials. A traceable system follows the trail as products, parts, and materials come from suppliers and are processed and ultimately distributed as end products.

### **Waste**

Waste in a process is any activity that does not result in moving the process closer to the final output or adding value to the final output.

### **Verification**


Verification is a process. It uses objective evidence to confirm that specified requirements have been met. Whenever specified requirements have been met, a verified status is achieved. In the context of this standard, the term verification is used in at least two different situations: design and development and change management.

Design and development verifications use objective evidence to confirm that design and development outputs meet specified input requirements. Similarly, objective evidence must be used to verify or confirm that purchased products meet specified purchasing requirements.

There are many ways to verify that requirements have been met. For example, you could do tests, perform demonstrations, carry out alternative calculations, compare a new design specification with a proven design specification, or you could inspect documents before you issue them.

### **Work Environment**

The term work environment refers to working conditions. It refers to all of the conditions and factors that influence work. In general, these include physical, social, psychological, and environmental conditions and factors. Work environment includes social, psychological and physical factors e.g. lighting, temperature, and noise factors, as well as the whole range of ergonomic influences. It also includes things like supervisory practices as well as reward and recognition programmes. All of these things influence work.

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### Abbreviations

AMR	Assistant Management Representative
COD	Chair of Department
CD	Control of Documents
CR	Control of records
CU	Chuka University
DVC (AFPD)	Deputy Vice-Chancellor (Administration, Finance, Planning and Development)
DVC (ARSA)	Deputy Vice-Chancellor (Academic, Research and Student Affairs)
FO	Finance Officer
GOP	General Operating Procedure
HIA	Head of Internal Audit
HOD	Head of Department
HRM	Human Resource Management
IA	Internal Audit
ICT	Information and Communication Technology
ISO	International Organization for Standardization
MgR	Management Responsibility
MR	Management Representative
MRM	Management Review Meetings
CN	Control of Non-Conforming Products
QMS	Quality Management System
QMSM	Quality Management System Manual
QO	Quality Objective
QP	Quality Policy
R (AA)	Registrar (Academic Affairs)
R (A&P)	Registrar (Administration & Planning)
SG	Strategic Goal
SO	Strategic Objective
SOP	Standard Operating Procedure
TM	Top Management
VC	Vice-Chancellor

## 4. Context of Chuka University


### 4.1 Understanding Chuka University and its context

Chuka University shall determine external and internal issues that are relevant to its purpose and its strategic plan and that affect its ability to achieve the intended result(s) of its QMS. Chuka University shall monitor and review information about these external and internal issues.

*NOTE 1. Issues can include positive and negative factors or conditions for consideration.*

*NOTE 2. Understanding the external context can be facilitated by considering issues arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local.*

*NOTE 3. Understanding the internal context can be facilitated by considering issues related to values, culture, knowledge and performance of Chuka University.*

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The external and internal issues that are relevant to Chuka University's purpose and its strategic direction are embodied in the SWOT and PESTEL analyses given below:

### **SWOT Analysis**

Realisation of the Plan's objective will, to a large extent, depend on the University's strengths and opportunities available to it and how well it manages its weaknesses and threats. There must also be awareness and effective response to the factors that present threats likely to hamper the successful implementation of this QMS.

### **Strengths**

- (1) Availability of land for expansion of the University
- (2) Strategic and accessible location
- (3) Committed Management
- (4) ISO 9001 Certification
- (5) Supportive University Council
- (6) Financial stability
- (7) Bright students
- (8) Good reputation
- (9) Unexploited resources
- (10) Good transport and communication network
- (11) Ability to attract specialized experienced staff
- (12) Participatory and supportive alumni
- (13) Impressive growth
- (14) Conducive and favourable climate
- (15) Adequate water supply
- (16) Quality market driven academic programmes
- (17) Tranquil and serene learning environment
- (18) Approved University policies and capacity to prepare more
- (19) Good organizational structure
- (20) Diversity of income generating activities
- (21) Capacity of the University to market itself
- (22) Capacity to mount competitive programmes
- (23) High demand for professional programmes
- (24) Capacity to train and produce Ph.D. holders

### **Weaknesses**

The identified internal weaknesses of Chuka University are:

- (1) Inadequate student accommodation in the University
- (2) Lack of accommodation for staff providing essential services
- (3) Lack of a specialized Department of ICT
- (4) Inadequate physical infrastructure
- (5) Limited teaching facilities
- (6) Limited space for expansion in the main campus



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- (7) Understaffing, staff turnover and brain-drain
- (8) Inadequate social and recreation facilities
- (9) Inadequate transport facilities
- (10) Inadequate library facilities

### **Opportunities**


The following are the external opportunities of Chuka University:

- (1) Increasing demand for higher education
- (2) Environment requiring conservation through research and extension
- (3) Populous catchment areas and growing national population
- (4) Community goodwill and support
- (5) Accessibility and good communication network
- (6) Proximity to rapidly growing urban centres
- (7) National and County Governments (Devolved Government)
- (8) Favourable immediate catchment areas (opportunity)
- (9) Potential funding/grant agencies
- (10) Availability of scholarships and fellowships, donors and partners
- (11) Proximity to Mount Kenya
- (12) Kenya's attainment of middle income economic status

### **Threats**

The external threats Chuka University is faced with include:

- (1) Competition through emergence of other Universities
- (2) Lifestyle and pandemic diseases
- (3) Inadequate Government funding
- (4) Better remuneration in other organisations
- (5) Availability of alcohol and illicit drugs
- (6) Increasing rent for student hostels around the University
- (7) Insecurity in the neighbourhood
- (8) Poor solid waste management in the neighbourhood
- (9) Environmental climate change
- (10) Radicalisation of individuals
- (11) Terrorism nationally, regionally and internationally
- (12) Political interference
- (13) High poverty levels in the country
- (14) Rising unemployment of graduates
- (15) Corrupt practices in the society
- (16) Academic fraud in society
- (17) Negative publicity
- (18) Duplication of regulatory bodies and roles
- (19) Persistent poverty in society
- (20) Emerging harsh climate change

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### **PESTEL Analysis**

External environment trends and events have had tremendous influence on University service delivery. The external analysis looks at the environment in which Chuka University operates to determine its ability to achieve its vision and mission. The factors examined range from the global, regional and local situations and constitute what is referred to as PESTEL (Political, Economic, Social, Technological, Environmental and Legal) model presented below.

#### **Political**

The University has benefited from national political support. However, the University is cognizant of the fact that dynamics of national and county political environment are likely to continue to affect its operations. Negative ethnicity, for example, affects the students' choice of University and requires deliberate strategies to promote cohesion. Political goodwill will continue to play a significant role in resource mobilisation. Political neutrality ensures there is no interference in the management of the University in matters of recruitment, promotion and gender balance.

#### **Economic**

The government put concerted efforts into implementation of the Economic Recovery Strategy and Wealth Creation, which resulted in tremendous economic growth. Kenya Vision 2030 will continue to propel the nation towards industrialization by 2030. Chuka University will continue to exploit its environment to gain economically. High inflation rate requires the University to generate substantial income to be able to deliver high quality services. Some of the strategies to be used include public-private-partnerships, especially in the development of infrastructure and facilities. The availability of land allows the University to expand and engage in productive agricultural enterprises. The University is situated in an environment endowed with many resources that can be beneficially exploited. The high population surrounding the University provides a good catchment for students and market for goods and services.


#### **Social**

The University operates in a socio-cultural environment where it plays a critical role of sharing knowledge and skills with an impact on the attitudes, values and beliefs of the community. It plans and sensitises of the community to integrate work and education. Excessive alcohol use, drug abuse, increased criminal tendencies and other social ills in the society are a clarion call to the University to provide counselling services and skills that can lead to mindset transformation and gainful-employment, especially of the youths. The University has to design and develop strategic interventions to major lifestyle and pandemic diseases which could lead to loss of lives.

#### **Technological**

Technological advancements have great influence in the ability of the University to meet the needs of its clients. The use of technology as a tool for national development and international competitiveness requires an effective system for innovation, technology adoption, diffusion and transfer. Low computer literacy among staff and students continue to be a great hindrance to quality service delivery and low utilisation of available resources. The ICT sector is rapidly



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developing in Kenya. The government is committed to expanding communication network through the fibre optic pathway which will facilitate telecommunication, open and distance learning and e-library to enhance access to books, journals and periodicals, among other literature. This expansion, however, comes with risks related to cybercrime which is one of the emerging forms of modern crime. The University has to develop mechanisms to curb increased cybercrime which can have tremendous impact on service delivery.

### **Ecological**

The University has a conducive learning environment and is situated in an agriculturally rich region. The natural resources near the University present it with numerous exploitation opportunities through linkages with the community and development partners. The rapidly growing student and staff population pose considerable pressure to the current sewerage and waste disposal systems. The global landmark, Mt. Kenya, provides great opportunities for ecotourism, mountain research and branding of the University. Regrettably, the vegetation around the University continues to be destroyed by the community due to lack of connection to power or high electricity tariffs forcing them to seek alternative energy supply in the environment. The anticipated population growth is likely to impact adversely on the environment besides raising demand for further exploitation of natural resources. Given the fact that it is a niche area of academic focus, Chuka University will rise up to the challenges and contribute toward better environmental conservation through her programmes and projects.

### **Legal**

There exists a variety of laws and policy instruments that positively or negatively impact upon the effectiveness with which the University delivers its mandate. The Kenya Constitution (2010) requires the University to comply with affirmative action and gender equity in recruitment, and observe the bill of rights in service delivery. The Charter (2013) gives the University operational autonomy which enables her to develop her own programmes, raise her own funds and prioritise order of utilisation. Some conditions that professional and regulatory bodies issue are hard to meet. Although the University has developed and implemented several policies to support service delivery, there are still some policies that need to be developed and implemented.

## **4.2 Understanding the needs and expectations of interested parties**

Due to their effect or potential effect on Chuka University's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, Chuka University shall determine:

- a) The interested parties that are relevant to the Quality Management System;
- b) The requirements of these interested parties (stakeholders) that are relevant to the Quality Management System.

Chuka University monitors and reviews information about these interested parties and their relevant requirements.



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The interested parties/stakeholders and requirements relevant to this QMS are given below:

<b>Stakeholder</b>	<b>Stakeholder Expectation</b>	<b>University Expectation</b>	<b>Success Indicator</b>
1. Students	(1) Quality education (2) Good learning experience (3) Respect (4) Quick admission (5) Dignity (6) Good learning environment (7) Timeliness	(1) Attend lectures (2) Pay requisite fees (3) Maintain discipline (4) Hard work	(1) Timely graduation (2) Absorption of graduates in the job market
2. Parents/ guardians	(1) Security of students, (2) Quality graduates, (3) Welfare of students (4) Guidance of students	(1) Pay requisite fees (2) Support the student	(1) Well behaved students (2) Good grades
3. Staff/ Researchers	(1) Good base (2) Pay allowances, (3) Incentives, (4) Good working environment (5) Training (6) Developing of staff.	(1) Hard work (2) Be disciplined (3) Improve skills (4) Commitment to work (5) Professionalism	(1) Job satisfaction (2) Industrial peace (3) Reduced turnover
4. The Government	(1) Compliance with statutory requirement, (2) Efficient and transparent (3) Utilization of funds well, (4) Relevant programmes, (5) Quality graduates, (6) Relevant research, (7) Generate extra funds, (8) Support government	(1) Timely release of capitation (2) Provide policy direction (3) Increase capitation (4) Security	(1) Improved capitation (2) Supportive policies
5. Alumni	(1) Involvement in University activity, (2) Recognition	(1) Fundraising (2) Support University programmes (3) Participate in University activities (4) To be ambassadors for the University (5) Mentorship	(1) More funds for the University (2) Increased networking (3) Improved University image
6. Employers	(1) Quality Graduates (2) Holistic and responsible graduates	(1) Provide internship vacancies (2) Employ CU graduates	(1) High absorption of CU graduates (2) Many internships
7. Community	(1) Good relationship (2) Opportunities (3) Technology transfer	(1) Support University (2) Provide labour	(1) Harmony (2) Mutual Respect

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8. Suppliers	(1) Prompt payment, (1) Transparent procurement process	(1) Deliver quality goods and services in time (2) Participate in the procurement process	(1) Quality goods and services (1) Timely delivery
9. Research institutions	(1) Share research findings (2) Collaborative research	(1) Fund research projects (2) Collaborate with CU	(1) Number of collaborations (2) Publications (3) Innovations
10. Donors and sponsors	(1) Prudent utilization of Donor funding (2) High quality research and project proposals	(1) Provide donations and sponsorship (2) Provide research and project grants	(1) Amount of donations and sponsorships (2) Renewed funding
11. Media	(1) Information, advertisement, (2) Quality Graduates	(1) Report accurately (2) Affordable rates	(1) Positive image (2) Cordial patronage
12. Local leaders	(1) Employment of local people on merit (2) Respect of local leaders (3) Consultation	(1) Support the University (2) Priority patronage	(1) Employed local people (2) No. of projects with community
13. Financial institutions	(1) Provide finances to the University, (2) Provide banking services	(1) Efficient banking services (2) Affordable terms and interest rates	(1) Secure funds (2) Security of funds
14. Religious leaders	(1) Recognition, (2) Congregants	(1) Spiritual nourishment (2) Spiritual counselling	(1) God fearing community (2) No. of services
15. Professional bodies	(1) Meet their requirements (2) Renew subscriptions	(1) Professional advise (2) Training (3) Affordable fees	(1) Increased professionals (2) No. of subscribers
16. Regulatory bodies	(1) Meet their requirements (2) Pay service fees	(1) Give direction (2) Affordable fees	(1) Compliance (2) No. of certified programmes

**NOTE:** The stakeholders' expectations, University's expectations of them and success indicators of performance are monitored through annual customer satisfaction surveys (See CU/SOP/QAPC/11).

#### **4.3 Determining the scope of the Quality Management System**

Chuka University shall determine the boundaries and applicability of the Quality Management System to establish its scope. When determining this scope, Chuka University shall consider:

- a) The external and internal issues referred to in **4.1**;
- b) The requirements of relevant interested parties referred to in **4.2**;
- c) The products and services of Chuka University which are given below.

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## Programmes, Products and Services

### Programmes

Chuka University offers competitive, client driven academic programmes, including Certificates, Diplomas and Degrees (**See University Catalogue, 2016**).

### Products

- a) Graduates
- b) Publications
- c) Patents
- d) Copyrights/Trademarks
- e) Biological, industrial and engineering products
- f) Technologies

### Services

- a) Teaching, training and examination
- b) Research and publication
- c) Extension and outreach
- d) Consultancy and innovation
- e) Library and computing
- f) Student welfare
- g) Staff welfare
- h) Environmental conservation
- i) Conferencing
- j) Catering
- k) Procurement

Chuka University is applying all the requirements of this International Standard as they are applicable within the determined scope of its Quality Management System. The scope of Chuka University's Quality Management System is available in framed displays, website, and is **Maintained as Documented Information**. The scope states the types of products (graduates, publications, technologies) and services (education, research and extension) covered.

This Quality Manual describes the fundamental roles, responsibilities, necessary procedures and processes for ensuring that quality requirements are determined and meet with the aim of enhancing customer satisfaction.

The maintenance of effective control through formal reporting structures and written procedures are covered in this Quality Manual.

**Exclusion:** Chuka University's activities cover all the requirements of this Standard, hence there are no exclusions made from this International Standard in the Chuka University's QMS.



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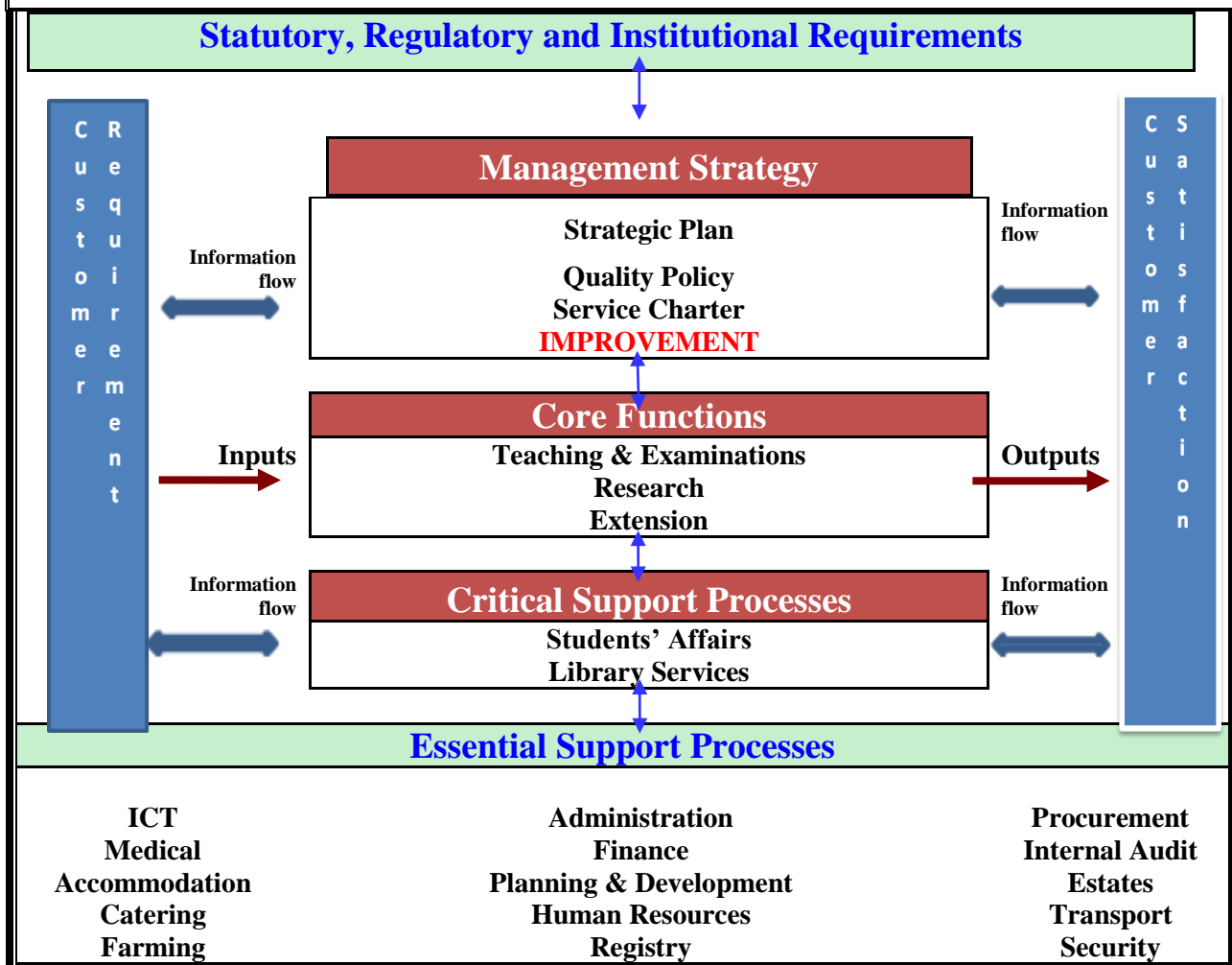
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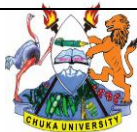
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### Scope of the Chuka University ISO 9001:2015 QMS

The Scope for Certification of the Chuka University’s Quality Management System based on ISO 9001:2015 International Standard entails: **Provision of University Education, Research and Extension Services** to produce quality graduates, publications, technologies and other products and services. The scope covers the Main Campus of Postal Office Box 109-60400, Chuka, located 4 km from Chuka Town, 180 km north of Nairobi City, along the Embu-Meru Highway, E-mail: info@chuka.ac.ke, Website: www.chuka.ac.ke, and Phone numbers +254-(0)20-2310512; +254-(0)20-2310518; +254-(0)715-505858; +254-(0)61-2304004

Schematically, the scope is as shown below and effected by the organogram in Appendix I



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#### 4.4 Quality Management System and its processes

**4.4.1** Chuka University has established and implements, maintains and continually improves a Quality Management System (QMS), including the processes needed and their interactions, in accordance with the requirements of this International Standard.

Chuka University shall determine the processes in SOPs needed for the QMS and their application throughout the University, and shall:

- a) Determine the inputs required and the outputs expected from these processes (**See Strategic Plan, 2017-2022; SOPs**);
- b) Determine the sequence and interaction of these processes (**See process maps**);
- c) Determine and applies the criteria and methods (including monitoring measurements – **e.g. meetings, reports, surveys, internal audit reports** and related performance indicators – **e.g. enrolment, graduates, employees, publications, revenue**) needed to ensure the effective operation and control of the processes;
- d) Determine resources needed for these processes and ensure their availability (**See SOPs**);
- e) Assign the responsibilities and authorities for these processes (**See SOPs**);
- f) Address the risks and opportunities as determined in accordance with the requirements of **6.1 (See risk registers)**;
- g) Evaluate these processes and implement any changes needed to ensure that these processes achieve their intended results(**See MRM Minutes, Internal Audit Reports**);
- h) Improve the processes and the Quality Management System from time-to-time (**See review sheets, and MRM**).

**4.4.2** To the extent necessary, Chuka University shall:


- (a) **Maintain documented information** to support operation of processes (See SOPs, Work Instructions, Policies, CBAs, Acts, Charter, Statutes, Strategic Plan, PC, etc); Appendix II

The list of some maintained information required by this Standard and CU is shown below


SN	Maintained Documented Information	REF. CODE	Required by
1	Quality Management System Manual (QM)/Scope	CU/ISO/QM/01	ISO Standard
2	Quality Policy (QP)	CU/ISO/QP/01	ISO Standard
3	Quality Objectives (QO)	CU/ISO/QO/01	ISO Standard
4	Control of Documents (CD)/Maintained DI	CU/GOP/CD/01	CU
5	Control of Records (CR)/Retained DI	CU/GOP/CR/02	CU
6	Internal Audits (IA)	CU/GOP/IA/03	CU
7	Control of Non-Conforming Outputs (CN)	CU/GOP/CN/04	CU
8	Corrective Action (CA)	CU/GOP/CA/05	CU
9	Policies/Statutes/ACTS	See List in Clause 1.0	CU
10	Standard Operating Procedures (SOPs) and Work Instructions (WIs)	See List of SOPS/WIs	CU

- (b) **Retain documented information** to have confidence that the processes are being carried out as planned (See master list of records and actual records). Some retained information/records required by this Standard is filed in the folders shown below:

SN	Retained Documented Information (Record)	Coding Reference
1	<b>4.4. Quality Management System and its processes</b>	See SOPs' actual records


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	Chuka University shall: <b>Retain documented information</b> to have confidence that processes are being carried out as planned	
2	<b>7.1.5.1 Monitoring and measuring resources</b> The University shall <i>retain appropriate documented information</i> as evidence of fitness for purpose of the monitoring and measurement resources (committees, boards, questionnaires, instruments, computers)	Minutes of Council, CU/CV/CNCL Minutes of Senate, CU/DVCA/SENA DREP Minutes, CU/SOP/DREP/39 BPGS Minutes, CU/SOP/BPGS/13 BUSF Minutes, CU/SOP/BUSF/14 Minutes of Departments Minutes of Committees Science Laboratory equipment calibration records Customer satisfaction survey reports
3	<b>7.1.5.2. When measurement traceability is a requirement, measuring equipment</b> shall be: Calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be <i>retained as documented information</i> ;	Laboratory equipment calibration records CU/SOP/MEDD/29 CU/SOP/DPHS/36 CU/SOP/ICTD/38 CU/SOP/SESD/30 CU/SOP/DBIO/21
4	<b>7.2. Competence</b> Chuka University shall <i>Retain appropriate documented information</i> as evidence of staff competence.	CVs, Certificates, awards, referee letters, result slips, transcripts CU/SOP/RADP/04
5	<b>7.5.3. Control of documented information</b> <i>Documented information retained</i> as evidence of conformity shall be protected from unintended alterations.	Records Management Policy (2014) for Chuka University
6	<b>8.1. Operational Planning and Control</b> Determine requirements, criteria for processes, acceptance, resources, controls: Determining, maintaining and <i>retaining documented information</i>	CU/SOP/PROD/25 CU/SOP/RADP/04 CU/SOP/DVCF/02 Statutes (2014) etc
7	<b>8.2.3.2 Review of requirements for products &amp; services</b> CU shall <i>retain documented information</i> , as applicable: On the results of the review	Minutes of Council, CU/CV/CNCL Minutes of Senate, CU/DVCA/SENA DREP Minutes, CU/SOP/DREP/39 BPGS Minutes, CU/SOP/BPGS/13 BUSF Minutes, CU/SOP/BUSF/14
8	<b>8.3.4. Design and development controls</b> to define results, review ability, verify & validate activities, take any other action <i>Documented information of these activities is retained.</i>	Minutes of meetings at various stages Minutes of Council, CU/CV/CNCL Minutes of Senate, CU/DVCA/SENA DREP Minutes, CU/SOP/DREP/39 BPGS Minutes, CU/SOP/BPGS/13 BUSF Minutes, CU/SOP/BUSF/14
9	8.3.5. Design and development outputs must meet requirements, be adequate for subsequent processes, CU shall <i>retain documented information</i> on design and development outputs.	Minutes of Council, CU/CV/CNCL Minutes of Senate, CU/DVCA/SENA DREP Minutes, CU/SOP/DREP/39 BPGS Minutes, CU/SOP/BPGS/13 BUSF Minutes, CU/SOP/BUSF/14
10	8.3.6. Design and development changes CU shall <b>retain documented information</b> 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.	Curriculum review Minutes of Senate, CU/DVCA/SENA DREP Minutes, CU/SOP/DREP/39 BPGS Minutes, CU/SOP/BPGS/13 BUSF Minutes, CU/SOP/BUSF/14 Minutes of Departments or ISO QMS MRM

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11	<b>8.4. Control of externally provided processes, products and services</b> CU shall determine and apply 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. Chuka University shall <i>retain documented information</i> of these activities and any necessary actions arising from the evaluations.	Procurement criteria for various products/services CU/SOP/PROD/25 Minutes of Senate, CU/DVCA/SENA Examination Policy CU/SOP/FACU/6-10
12	<b>8.5.2. Identification and traceability</b> CU shall control the unique identification of the outputs when traceability is a requirement, and shall <i>retain the documented information</i> necessary to enable traceability.	Graduates, certificates, transcripts, CU/SOP/RACA/05 Examination scripts, CU/SOP/EXTT/12 Publications, CU/SOP/DVCA/03
13	<b>8.5.3. Property belonging to customers or external providers</b> When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, CU shall report this to the customer or external provider and <i>retain documented information</i> on what has occurred.	Certificates, CU/SOP/RACA/05 Bid bonds, CU/SOP/FINDA/24
14	<b>8.5.6. Control of changes</b> CU shall <i>retain documented information</i> describing the results of the review of changes, the person (s) authorizing the change, and any necessary actions arising from the review.	Minutes of Senate, CU/DVCA/SENA DREP Minutes, CU/SOP/DREP/39 BPGS Minutes, CU/SOP/BPGS/13 BUSF Minutes, CU/SOP/BUSF/14 MRM Minutes, CU/ISO/QMRM Minutes of Departments
15	<b>8.6. Release of products and services</b> CU shall <i>retain documented information</i> on the release of products and services.	Graduates, certificates, transcripts, CU/SOP/RACA/05 Publications, CU/SOP/DVCA/03
16	8.7.2. CU shall <i>retain documented information</i> that: a) Describes the nonconformity; b) Describes the actions taken; c) Describes any concessions obtained; d) Identifies the authority deciding the action in respect of the nonconformity.	CU/GOP/CN/04
17	<b>9.1. Monitoring, measurement, analysis and evaluation</b> CU shall <i>retain appropriate documented information</i> as evidence of the results.	<ul style="list-style-type: none"> <li>• Quality Objectives monitoring, measurement, analysis and evaluation of results;</li> <li>• ISO Internal Audit Minutes</li> </ul>
18	<b>9.2. Internal Audits</b> <i>Retain documented information</i> as evidence of the implementation of the audit programme and the audit results.	CU/GOP/IA/03
19	<b>9.3. Management reviews</b> a) Resource needs. CU shall <i>retain documented information</i> as evidence of the results (inputs/outputs) of management reviews.	CU/ISO/QMRM/
20	<b>10.2 Non-conformity and corrective action</b> CU shall <i>retain documented information</i> as evidence of: a) Nature of the nonconformities and any subsequent actions taken; b) The results of any corrective action.	CU/GOP/CN/04



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## 5 Leadership

### 5.1 Leadership and Commitment

#### 5.1.1 General

Top Management demonstrates leadership and commitment with respect to the QMS by:

- a) Taking accountability for the effectiveness of the Quality Management System;
- b) Ensuring that the quality policy and quality objectives are established for the QMS and are compatible with the context and Strategic Plan (2017-2022) of the University;
- c) Ensuring the integration of the Quality Management System requirements into Chuka University's business processes;
- d) Promoting the use of the process approach and risk-based thinking;
- e) Ensuring that the resources needed for the Quality Management System are available;
- f) Communicating the importance of effective quality management and of conforming to the Quality Management System requirements;
- g) Ensuring that the Quality Management System achieves its intended results;
- h) Engaging, directing and supporting persons to contribute to the effectiveness of the QMS;
- i) Promoting improvement;
- j) Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

NOTE: Reference to 'business' in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of Chuka University's existence as a public, not-for-profit institution.

#### 5.1.2 Customer focus

Top Management shall demonstrate leadership and commitment with respect to customer focus by ensuring that:


- a) Customer and applicable statutory and regulatory requirements are determined, understood and consistently met (**see 4.2**);
- b) The risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed (**see 6.1 corporate risks below and master register of departmental/operational risks**);
- c) The focus on enhancing customer satisfaction is maintained.

## 5.2 Policy

### 5.2.1 Establishing the quality policy

Top Management shall establish, implement and maintain a quality policy that:

- a) Is appropriate to the purpose and context of the University and supports its strategic plan;
- b) Provides a framework for setting quality objectives;
- c) Includes a commitment to satisfy applicable requirements;
- d) Includes a commitment to continual improvement of the Quality Management System.
- e) The current Quality Policy for Chuka University is documented below and shall be improved from time-to-time as need arises.

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Chuka University's Quality Policy is documented below:

<p><b>Chuka University Quality Policy Statement © 2016</b></p> <p>Chuka University is committed to provision of quality education, training and outreach services through teaching, research, innovation, extension and entrepreneurship for sustainable national and global development. The University will provide access, generate, preserve and share knowledge for quality, effective and ethical leadership in higher education, training, research and outreach through nurturing an intellectual culture that integrates theory with practice to produce graduates with relevant knowledge, skills and responsible citizenry, and to meet customer, institutional, statutory, regulatory and other interested parties' requirements. In this commitment, the University is guided by passion for excellence, integrity, professionalism, devotion to duty, inclusiveness and peaceful co-existence. The University communicates this Quality Policy through displays, meetings and publication in key documents. The University appraises and reviews its quality policy, objectives, programmes, products, services, procedures, processes and performance from time-to-time to continually improve the effectiveness of the Quality Management System based on the ISO 9001 Standard.</p> <p><i>Professor Erastus N. Njoka, Ph.D.</i> <i>Vice-Chancellor/CEO</i> © 18<sup>th</sup> June, 2016</p>
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### 5.2.2 Communicating the quality policy

The quality policy shall:


- a) be available (framed, imprints) and be **Maintained as Documented Information**;
- b) be communicated, understood and applied within Chuka University;
- c) be available to relevant interested parties, as appropriate (at: [www.chuka.ac.ke](http://www.chuka.ac.ke))

### 5.3 Organizational roles, responsibilities and authorities

Top Management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within Chuka University (see **appointment letters**).

Top Management shall assign the responsibility and authority for:

- a) Ensuring that the Quality Management System conforms to the requirements of this International Standard (**See Management Representative and ISO HODs**);
- b) Ensuring that the processes are delivering their intended outputs;
- c) Reporting on the performance of the Quality Management System (**See ISO Internal Audit Reports, CU/GOP/IAUD/04**) and on opportunities for improvement (see **10.1**), in particular to TM;
- d) Ensuring the promotion of **customer focus** throughout Chuka University (see **4.2., stakeholder analysis matrix**);
- e) Ensuring that the integrity of the Quality Management System is maintained when changes to the Quality Management System are planned and implemented (**See document change request records, CU/MR/FORM/03**).

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## 6 Planning

### 6.1 Actions to address risks and opportunities

**6.1.1** When planning for the Quality Management System, Chuka University shall consider the issues referred to in **4.1** (University's profile/context) and requirements in **4.2** (stakeholders' requirements) and determine the risks and opportunities in **6.1** and **departmental registers** that need to be addressed to:

- a) Give assurance that the Quality Management System can achieve its intended result(s);
- b) Enhance desirable effects;
- c) Prevent, or reduce, undesired effects;
- d) Achieve improvement.

The corporate risks for Chuka University are given below, while departmental/operational risks are contained in the Master Register of Departmental risks.

**6.1.2** Chuka University shall plan:

- a) Actions to address the risks and opportunities;
- b) How to:
  - 1) Integrate and implement actions into its Quality Management System processes (see **4.4**)
  - 2) Evaluate the effectiveness of the actions.

Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.

*NOTE 1. Options to address risks can include avoiding risk, taking risks to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining risk by informed decision.*

*NOTE 2. Opportunities can lead to adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and viable possibilities to address Chuka University's or its customer's needs.*



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Chuka University corporate risks are given hereunder:

Note under monitoring, the following is true: What = risk issue described. Why = prevent/correct consequence. How = mitigations/controls. Who = risk owner.

Type of Risk	Risk Issue/Consequence	Raw Risk Impact = Likelihood x Consequence)	Mitigation/Control Strategy	Risk Owner/ Responsibility	Monitoring interval	Risk Incidences
1. Financial risk	(1) Fake expenses payment	2 x 4 = 8	Budgetary control	DVC (AFPD)/HIA	Quarterly	
	(2) Collusion with robbers to intercept cash in transit	2 x 4 = 8	Proper escort of cash in transit		Daily	
			Impromptu inspection of guards/staff handling of cash in transit		Quarterly	
			Cashless transactions/direct pay in banks		Quarterly	
(3) Payments without appropriate approvals	2 x 4 = 8	Auditing of all payments	HIA/FO	Daily		
		Examination of all payments		Daily		
		Adopting proper accounting policies		Annually		
(4) Theft of cash in office	2 x 4 = 8	Impromptu inspections of safes	Finance Officer	Quarterly		
2. Security risk	(1) Loss of property	1 x 3 = 3	Provision of insurance	DVC (AFPD)	Annually	
	(2) Injury and loss of life	1 x 3 = 3	Awareness training/Enhancing security	Security Officer	Daily	
3. Terrorism risk	(1) Destruction of property	1 x 3 = 3	Collaborating with security agencies	VC	Daily	
	(2) Injury and loss of life	1 x 3 = 3	Enhancing security	DVC (AFPD)	Daily	
	(2) Fear/paranoia	1 x 3 = 3	Disaster preparedness and security drills	Security Officer	Quarterly	
4. ICT risk	(1) Data corruption & loss	1 x 3 = 3	Back up data and anti-virus updates	DVC (AFPD)	Daily/annually	
	(2) Cybercrime	1 x 3 = 3	Deploying ICT security marshalls	ICT Manager	Quarterly	
5. Fidelity risk	Loss of money and property	1 x 3 = 3	(1) Scrutiny during hiring process (2) Internal monitoring/CCTV cameras	DVC (AFPD)	Daily	
6. Legal risk	Law suits/Litigation	1 x 3 = 3	Hiring a Legal Officer	Vice-Chancellor	Quarterly	
			Upholding legal obligations		Daily	
7. Agriculture risk	(1) Using farm products for personal gains	2 x 3 = 6	Ensure DVC approves work and produce sale	DVC (AFPD) Farm Manager CSO	Weekly	
	(2) Selling items without receipting the sales	2 x 3 = 6	All farm sales to be accompanied by receipts		Daily	
	(3) Understating produce and using the difference	2 x 3 = 6	Ensuring proper measurements and records		Daily	
	(4) Staff stealing farm produce /products.	2 x 3 = 6	Guards to be deployed to secure farm products		Daily	
	(5) Loss of farm property	2 x 3 = 6	Agricultural insurance		Annually	



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Type of Risk	Risk Issue	Raw Risk Impact = Likelihood x Consequence)	Mitigation/Control Strategy	Risk Owner/ Responsibility	Monitoring interval	Risk Incidences
8. Business risk	Loss of income	1 x 3 = 3	Diversification of programmes	Vice-Chancellor	Annually	
			Property Insurance	DVC (AFPD)	Annually	
9. Health risk	Sickness	1 x 2 = 2	Health Insurance	DVC (AFPD)	Annually	
10. Fire risk	Injury, death, loss	2 x 3 = 6	Insurance	DVC (AFPD)	Quarterly	
11. Political risk	Political interference	1 x 2 = 2	Cultivation of goodwill with political class	Vice-Chancellor	Annually	
12. Economic risk	Inflation	1 x 2 = 2	Diversification of income generating activities	Vice-Chancellor	Quarterly	
13. Operational risks	Admission of unqualified students	2 x 3 = 6	Ensuring strict adherence to the admission criteria	Registrar (AA)	Quarterly	
	Tribalism when admitting students	2 x 3 = 6	Ensuring merit system applies for each student	Registrar (AA)	Quarterly	
	Examination leakage	2 x 3 = 6	Strengthening examination processing controls	Director (EXTT)	Quarterly	
	Delivery of substandard goods and services	2 x 3 = 6	Fidelity to procurement law and regulations	Procurement Officer	Quarterly	
	Substandard examinations	2 x 3 = 6	Strengthening examination setting and processing controls	DVC (ARSA)/ DQA/CODs	Quarterly	
	Ineffective teaching	2 x 3 = 6	Strengthening teaching supervision	Deans/CODs	Quarterly	
	Low rate of completion of postgraduate students	2 x 3 = 6	Train supervisors	Director (BPGS)	Quarterly	
	Recruitment of unqualified staff	2 x 3 = 6	Strengthening the recruitment processes control	DVC (AFPD)	Quarterly	
	Deployment of employees in areas in which they are not qualified	2 x 3 = 6	Deploying based on training, demonstrable competence and experience	Registrar (AP)	Quarterly	
	Brain drain	2 x 3 = 6	Competitive terms and conditions of service	VC	Quarterly	



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## **6.2 Quality objectives and planning to achieve them**

**6.2.1** Chuka University shall establish quality objectives at relevant functions, levels and processes needed for the Quality Management System.

The quality objectives shall be:

- a) Consistent with the quality policy;
- b) Measurable;
- c) Considerate of applicable requirements;
- d) Relevant to conformity of products/services, and enhancement of customer satisfaction;
- e) Monitored;
- f) Communicated;
- g) Updated as appropriate.

Chuka University shall **Maintain Documented Information** on the quality objectives.

Chuka University's corporate quality objectives are given below:

### **CHUKA UNIVERSITY QUALITY OBJECTIVES © 2016**

1. Provide relevant quality higher education and training to enable graduates contribute to sustainable national and global development agenda.
2. Generate and share research findings with users to solve societal problems and improve quality of human life.
3. Enhance environmental conservation to avert catastrophes and promote sustainable human development.
4. Develop facilities to provide a conducive environment for learning and working by staff and students.
5. Institutionalize prudent management of financial and human resources to maximize productivity.
6. Utilize Information Communication Technology to enhance efficiency of operations to satisfy staff and students' requirements.
7. Strengthen University governance for effective decision-making to meet planned arrangements.
8. Comply with statutory and regulatory stipulations to satisfy customer and other stakeholders' requirements.
9. Enhance gender equity and affirmative action to comply with the Kenya Constitution 2010 stipulations on equal opportunity provision for all qualified citizens to study and work in the University.
10. Establish mutually beneficial partnerships to provide facilities, opportunities and innovative ideas for sustainable study, research, outreach and infrastructure development.



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Description of quality objectives

**Strategic Objective(s) related:**

- SO 1: Expansion of the Number of Relevant Market-Driven Programmes
- SO 2: Provision of Relevant Quality Higher Education and Training
- SO 3: Enhancement of Academic Competitiveness of the University
- SO 4: Implementation of ISO 9001 Standard QMS in Teaching

***1. Provide relevant quality higher education and training to enable graduates contribute to sustainable national and global development agenda***

**Strategy (Actions/Activities required to achieve the objective**

- (1) Enhance teaching effectiveness
- (2) Appoint and retain qualified academic staff
- (3) Expand learners' practical experiential learning opportunities
- (4) Enhance effective supervision of postgraduate students
- (5) Deliver quality examinations, projects and theses
- (6) Keep efficient students' records
- (7) Modernize learning environments

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Lecturers CODS Deans Director (QAPC) Top Management	Questionnaire Catalogue Budgetary allocation Professional lecturers	Annually	Number of graduates Capital projects under construction

Review dates: Semi-annually

**Strategic Objective(s) related:**

- SO 5: Generation and Dissemination of Research Findings to Interested Parties
- SO 6: Patenting and Commercialization of Research Findings and Innovations
- SO 7: Strengthening of Science, Engineering and Technology Capacity

***2. Generate and share research findings to solve societal problems and improve quality of human life***

**Strategy (Actions/Activities required to achieve the objective**

- (1) Write fundable proposals
- (2) Enhance collaborative research
- (3) Share research findings

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Academic staff Director (R&E) Top Management	Skilled academic staff, MOUs, Research grants (internal & external)	Annually	Number of published articles, conferences held, patents, technologies, project proposals

Review dates:

**Strategic Objective(s) related:**

- SO 8: Enhancement of Environmental Conservation
- SO 9: Enhancement of Waste Management and Pollution Control
- SO 10: Development of Renewable Energy Technology Utilisation and Transfer

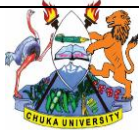
***3. Enhance environmental conservation to avert catastrophes and promote sustainable human development***

**Strategy (Actions/Activities required to achieve the objective**

- (1) Promote sustainable environmental management practices
- (2) Monitor environmental health

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
COD, ESRD Dean, FAES Top Management	Tree seedlings Budgetary allocation Samples' analysis laboratory	Annually	Number of tree seedlings planted/shared Number of samples analysed Environmental cleaning drives held

Review dates: Semi-annually



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**Strategic Objective(s) related:**  
 SO 11: Development of Learning Facilities to Provide a Conducive Living and Learning Environment  
 SO 12: Improvement of Physical Facilities through Maintenance and Repair  
 SO 13: Acquisition of Land and Facilities for Expansion

**4. Develop facilities to provide a conducive environment for learning and working by staff and students.**

**Strategy (Actions/Activities required to achieve the objective)**  
 (1) Develop and implement budgetary plans and timelines for projects in the Master Plan.  
 (2) Construct high priority projects identified in the University Master Plan

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Estate Manager DVC (AFPD) Vice-Chancellor	Budgetary allocation Skilled contractors	Annually	Number of capital projects completed

Review dates: Quarterly

**Strategic Objective(s) related:**  
 SO 14: Expansion of the University's Financial Resource Base  
 SO 15: Institution of Prudent Management of Financial Resources  
 SO 16: Provision of Competitive Programmes at Competitive Market Rates

**5. Institutionalize prudent management of financial and human resources to maximize productivity**

**Strategy (Actions/Activities required to achieve the objective)**  
 (1) Rationalize budgets for all the budgeted activities  
 (2) Improve the financial management systems  
 (3) Implement identified priority projects

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Finance Officer DVC (AFPD) Vice-Chancellor	Heads of Departments Budgetary allocation	Annually	Cash flow reports Finance Management Policy/Manual Completed projects

Review dates: Quarterly

**Strategic Objective(s) related:**  
 SO 17: Enhancement of Effective Use of ICT  
 SO 18: Development of the University ICT Infrastructure  
 SO 19: Utilization of ICT to Enhance Efficiency of University Operations  
 SO 20: Expansion of the University Web Presence  
 SO 21: Improvement of Teaching and Learning Effectiveness through Utilization of ICT

**6. Utilize Information Communication Technology to enhance efficiency of operations to satisfy staff and students' requirements**

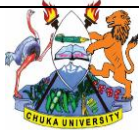
**Strategy (Actions/Activities required to achieve the objective)**  
 (1) Train students and staff on ICT Skills  
 (2) Develop ICT usage policies for students and staff  
 (3) Enhance ICT equipment maintenance and software development

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
ICT Manager ICT Technologists ICT Lecturers	Computers Budgetary allocation Competent IT/Computer staff	Annually	Number of students and staff trained Number of policies developed Number of ICT softwares developed

Review dates:

**Strategic Objective(s) related:**  
 SO 22: Strengthening of University Governance for Effective Decision Making  
 SO 23: Assignment of Duties and Delegation of Authority  
 SO 24: Development and Projection of a Positive Image of the University  
 SO 25: Maintenance and Improvement of Quality Assurance  
 SO 26: Improvement of Productivity, Efficiency and Effectiveness  
 SO 33: Strengthening of Student Governance Mechanisms





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**7. Strengthen University governance for effective decision-making to meet planned arrangements**

**Strategy (Actions/Activities required to achieve the objective)**

- (4) Constitute the Council as per the Universities Act, 2012
- (5) Build capacity of the Council and Management
- (6) Hire top and middle level managers
- (7) Create efficient organisational structures
- (8) Improve internal communication systems
- (9) Improve student leadership of CUSA affairs

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor DVC (AFPD) Registrar (A&P)	Budgetary allocation Appraisal questionnaire Qualified applicants/staff	Every 3 years & Annually	Constituted and trained Council Recruited managers Number of appointments/elections

Review dates:

**Strategic Objective(s) related:**

- SO 28: Recruitment and Retention of Qualified Staff
- SO 29: Promotion of Staff Development Programmes
- SO 30: Development of Motivated Staff

**8. Comply with statutory and regulatory stipulations to satisfy customer and other stakeholders' requirements**

**Strategy (Actions/Activities required to achieve the objective)**

- (1) Hire qualified staff
- (2) Develop a mechanism for vetting part-time lecturers
- (3) Enhance staff development programmes
- (4) Motivate and retain high performing staff
- (5) Undertake performance appraisals and reward or sanction
- (6) Implement the disability policy

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor DVC (AFPD) DVC (ARSA) Registrar (A&P)	Budgetary allocation Qualified applicants Staff appraisal tool Qualified PWDs	Annually	Number of recruited staff Vetting Policy & vetted lecturers Appraisal reports Persons with disability in-post

Review dates: Semi-annually

**Strategic Objective(s) related:**

- SO 27: Compliance with Statutory Requirements
- SO 31: Enhancement of Gender and Affirmative Action Compliance
- SO 32: Development of Student Support Programmes
- SO 34: Production of Holistic Graduates


**9. Enhance gender equity and affirmative action to comply with the Kenya Constitution 2010 stipulations on equal opportunity provision for all qualified citizens to study and work in the University.**

**Strategy (Actions/Activities required to achieve the objective)**

- (1) Develop a policy on national integration, cohesion and peaceful co-existence
- (2) Develop an affirmative action policy for vulnerable groups
- (3) Enhance student welfare services
- (4) Encourage creation of professional associations
- (5) Improve students' security and safety
- (6) Nurture talent and creativity by strengthening and diversifying co-curricular activities
- (7) Nurture spirituality

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Registrar (A&P) Dean of Students	Professional policy drafters Budgetary allocation Co-curricular events	Annually	Policies developed Vulnerable groups served Events undertaken

Review dates: Quarterly

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<b>Strategic Objective(s) related:</b> SO 35: Development of Mutually Beneficial Relationships with the Alumni SO 36: Establishment of Linkages with Industries, Government and Other Organisations SO 37: Provision of Technical Expertise to Stakeholders in Socially Relevant Projects SO 38: Engagement in Priority Areas in Community Outreach		
<b>10. Establish mutually beneficial partnerships to provide facilities, opportunities and innovative ideas for sustainable study, research, outreach and infrastructure development</b>		
<b>Strategy (Actions/Activities required to achieve the objective</b> (1) Create opportunities for alumni to support University agenda. (2) Conduct alumni tracer studies (3) Promote exchange programmes for students and staff (4) Mobilise Field Attachment, Practice and Placement (FAPP) opportunities (5) Offer short courses for professionals to enable them to stay up-to-date and qualify further (6) Develop and implement community outreach programmes (7) Provide technical services at subsidised cost to the community		
<b>RESPONSIBILITY</b>	<b>RESOURCES REQUIRED</b>	<b>TIMELINE</b>
Vice-Chancellor Directors, BUSF, Alumni Affairs, R&E, Vocational training	Budgetary allocation Qualified resource persons Sectoral opportunities Twinning community	Annually
		<b>MEASURE OF SUCCESS (KPIs)</b> Alumni collaborative programmes Alumni traced and engaged Collaborating sectoral institutions Community outreach activities
Review dates:	Quarterly	

- 6.2.2** When planning how to achieve its quality objectives, Chuka University determines:
- What will be done; b) What resources will be required; c) Who will be responsible;
  - When it will be completed; e) How the results will be evaluated.

*Refer to the Strategic Plan (2017-2022)*

### 6.3 Planning of changes

When Chuka University shall determine the need for changes to the Quality Management System, the changes are carried out in a planned manner (**See. 4.4**) *See CU/ISO/QMRM*

Chuka University shall consider:

- The purpose of the changes and their potential consequences;
- The integrity of the Quality Management System;
- The availability of resources;
- The allocation or re-allocation of responsibilities and authorities.

## 7 Support


### 7.1 Resources

#### 7.1.1 General

Chuka University shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the Quality Management System.

Chuka University shall consider;

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

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### 7.1.2 People

Chuka University shall determine and provide persons necessary for effective implementation of its Quality Management System and for the operation and control of its processes.

*See University Organogram & HR database (CUSOP/RADP/04), ISO HODs and procurement pre-qualified service providers (CU/SOP/PROD/25)*

### 7.1.3 Infrastructure

Chuka University shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.

NOTE: Infrastructure can include:

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

*See Estates, Finance, Transport and ICT asset registers in CU/SOP/ESTD/27, CU/SOP/FIND/24, CU/SOP/TRAD/31 and CU/SOP/ICTD/38*

### 7.1.4 Environment for the operation of processes

Chuka University shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.

NOTE. *A sustainable environment can be a combination of human and physical factors, such as:*

- a) Social (e.g. non-discriminatory, calm, non-confrontational policies implementation);
- b) Psychological (e.g. stress-reducing, burnout prevention, emotionally protective through counselling services, team-building activities, chapel services, etc);
- c) Physical (e.g. conducive temperature, heat, humidity, light, airflow, hygiene, noise through work environment survey done once per year).

These factors can differ substantially depending on the products and services provided.

### 7.1.5 Monitoring and measuring resources


#### 7.1.5.1 General

Chuka University 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.

Chuka University shall ensure that the resources provided;

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

Chuka University shall *retain appropriate documented information* as evidence of fitness for purpose of the monitoring and measurement resources (which may include committees, boards, questionnaires, instruments, computers).

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<b>Retained evidence</b>	<b>Reference</b>
Committee Minutes	Various
Departmental Minutes	CU/SOP/16-21, 34-37, 42-44, 22-32
DREP Minutes	CU/SOP/DREP/39
BPGS Minutes	CU/SOP/BPGS/13
BUSF Minutes	CU/SOP/BUSF/14
Senate Minutes	CU/DVCA/SENA
Council Minutes	CU/VICH/CNCL
Science Laboratory equipment calibration records	CU/SOP/DPHS/36
Customer satisfaction survey reports	CU/SOP/QAPC/11
Data loggers	CU/SOP/ICTD/38
Log books	CU/SOP/LIBD/23

### 7.1.5.2 Measurement traceability

When measurement traceability is a requirement, or is considered by Chuka University to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:

- a) Calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be *retained as documented information* (See 4.4.2).;
- b) Identified to determine their status by tagging;
- c) Safeguard from adjustments/movements, damage or deterioration that would invalidate the calibration status and subsequent measurement results.


**Ref:** *CU/DPHS/Equipment; CU/MEDD/Equipment; CU/FIND/Assets; CU/ICTD/Electronics*

Chuka University shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate action as necessary.

In Chuka University, calibration is achieved by outsourced service providers, who service equipment within the University (Ref: **DPHS, ICTD, MEDD & FARM**). The University selects and identifies relevant service providers to undertake calibration, verification and servicing of monitoring and measurement equipment in the institution. The contracted service providers include: *Medipharm East African Ltd certified by Boule Medical AB of Sweden, Collinbet Electech Mechanical Engineering by Ministry of Health Services, Educational Scientific and Technical Equipment Company for Shimadzu International, Kyoto-Japan, Grand Photolab East African Ltd by P. G. Instruments, UK, and LEUD (A) Chemicals Ltd by FOSS International, Sweden.*

### 7.1.6 Organizational knowledge

Chuka University shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.

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This **knowledge shall be maintained** and be made available to the extent necessary.

When addressing changing needs and trends, Chuka University shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates.

NOTE 1. *Organizational knowledge is knowledge specific to Chuka University; it is generally gained by experience. It is information used and shared to achieve the University's objectives.*

NOTE 2. *Organizational knowledge can be based on:*

- a) Internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; results of improvements in processes, products and services);
- b) External sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers).

Some of the organizational knowledge **maintained** in Chuka University is found in:  
***Peers, reports, website uploads, policies, manuals, journal (JESAR) & proceeding publications, theses, standards, catalogues***

Chuka University Alcohol and Drug Abuse Policy(2013)  
Chuka University Anticorruption Policy(2013)  
Chuka University Charter, 2013  
Chuka University Code of Conduct and Ethics Policy (2013)  
Chuka University Collective Bargaining Agreements (UASU, UNTESU and KUDHEIHA workers)  
Chuka University Communications Policy (2017)  
Chuka University Customer Service Charter, 2012  
Chuka University Customer Service Delivery Charter, 2013  
Chuka University Disability Mainstreaming Policy (2013)  
Chuka University Electronic Waste Policy (2016)  
Chuka University Employee Assistance Policy (2014)  
Chuka University Environment Management Policy (2014)  
Chuka University Fees Payment Policy(2014)  
Chuka University Gender Mainstreaming Policy (2013)  
Chuka University HIV/AIDS Policy (2013)  
Chuka University Human Resource Training and Development Policy (2013)  
Chuka University ICT Policy and Implementation Strategy (2016)  
Chuka University ODEL Policy (2016)  
Chuka University Performance Contract (Current)  
Chuka University Public Complaints Policy (2013)  
Chuka University Quality Assurance Policy (2017)  
Chuka University Records Management Policy (2014)  
Chuka University Research Policy (2013)  
Chuka University Staff Education Fund Policy (2013)  
Chuka University Staff Information Handbook (Current)  
Chuka University Staff Reward Policy (2015)  
Chuka University Statutes, 2014



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Chuka University Strategic Plan, 2017-2022  
Chuka University Students' Information Handbook (Current)  
Chuka University Terms and Conditions of Service (Current)  
Chuka University Theses/Reports  
Chuka University Whistle Blower Protection Policy (2015)  
Chuka University Work Plans (Current)

## 7.2 Competence

Chuka University shall:

- Determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of its Quality Management System;
- Ensure that these persons are competent on the basis of appropriate education, training, or experience;
- Where applicable, take actions to acquire necessary competence, and evaluate the effectiveness of the actions taken (**RADP/FORM/STEE/2016**);
- Retain appropriate documented information** as evidence of competence.

The retained documented information as evidence of competence in Chuka University includes staff CVs, Certificates, awards, referee letters, result slips, transcripts, back-to-office reports (**Ref. CU/SOP/RADP/4**)

NOTE: *Applicable actions can include the provision of training to, the mentoring of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.*

## 7.3 Awareness

Chuka University shall ensure that persons doing work under its control are aware of:


- The quality policy;
- Relevant quality objectives (corporate and departmental);
- Their contribution to the effectiveness of the Quality Management System, including the benefits of improved performance (**such as high ranking, no litigation, no financial losses, no wastage, reduced turnover, efficiency, effectiveness, rewards**);
- The implications of not conforming with the Quality Management System requirements (**such as low ranking, litigation, financial losses, wastage, high turnover, inefficiency, ineffectiveness, sanctions**).

## 7.4 Communication

Chuka University shall determine the internal and external communications relevant to the Quality Management System, including:

- On what it will communicate;
- When to communicate;
- With whom to communicate;
- How to communicate;
- Who communicates?

**Refer to Chuka University Communication Policy and CU/SOP/MPRE/41**

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## 7.5 Documented information

### 7.5.1 General

Chuka University's Quality Management System shall include:

- Documented information required by this International Standard (**Scope = 4.3, QP = 5.2.1, QO = 6.2.1**);
- Documented information determined by Chuka University as being necessary for the effectiveness of the Quality Management System (**See 1a; QMSM, SOPs, Policies, WI**).

*NOTE: The extent of documented information for a Quality Management System can differ from one organization to another due to:*

- The size of the organisation and its type of activities, processes, products and services.
- The complexity of processes and their interactions;
- The competence of persons.

### 7.5.2 Creating and updating documented information

When creating and updating documented information, the University shall ensure appropriate:

- Identification and description (e.g. a title, date, author, or reference number);
- Format ( e.g. language, software version, graphics) and media (e.g. paper, electronic);
- Review and approval for suitability and adequacy.

**Refer CU/GOP/CD/01; Chuka University Records Management Policy**

### 7.5.3 Control of documented information

**7.5.3.1** Documented information required by the Quality Management System and by this International Standard shall be controlled to ensure:

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

**Refer CU/GOP/CD/01; Chuka University Records Management Policy**

**7.5.3.2** For the control of documented information, Chuka University shall address the following activities, as applicable:


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

**Refer CU/GOP/CD/01; Chuka University Records Management Policy**

Documented information of external origin determined by Chuka University to be necessary for the planning and operation of the Quality Management System shall be identified as appropriate, and be controlled. **Ref.: CU/MR/FORM4; CU/MR/FORM5**

**Documented information retained** as evidence of conformity shall be protected from unintended alterations. **Refer to CU/GOP/CR/02**

**NOTE:** Access can imply a decision regarding permission to view the documented information only, or the permission and authority to view and change the documented information.

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## 8 Operation

### 8.1 Operational planning and control

Chuka University shall plan, implement and control the processes (See 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6, by:

- a) Determining the requirements for the products and services;
- b) Establishing criteria for:
  - 1) The processes;
  - 2) The acceptance of products and services;
- c) Determining resources needed to achieve conformity to product and service requirements;
- d) Implementing control of the processes in accordance with the criteria;
- e) Determining, *maintaining & 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.

The output of this planning shall be suitable for Chuka University's operations; Chuka University shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

### 8.2 Requirements for products and services

#### 8.2.1 Customer communication

Communication with customers (mainly external) shall include:

- a) Providing information relating to products and services;
- b) Handling inquiries (CU/SOP/RACA/05; CU/SOP/VIC/01), contracts, orders, including changes;
- c) Obtaining customer feedback relating to products and services, including customer complaints *through PCSC reports, surveys and registers in all Departments*;
- d) Handling or controlling customer property e.g. certificates, caution money, bid bonds;
- e) Establishing specific requirements for contingency/emergency actions, when relevant.


*Chuka University recognises effective customer communication as an essential element of customer satisfaction. Product information is available at the registry, in the Library, website and public notice boards in the following forms: electronic, catalogue, brochures, and service charters. Information about existing and new products is disseminated through CU mailing list and mass media. The Customer Care Desk, Public Complaints Standing Committee (PCSC), Registrar (AA) and the Vice-Chancellor handle customer enquiries and complaints (see Chuka University Complaints Policy) which then form the basis for continual improvement of products as stated in the Quality Policy. Public and customer complaints and compliments registers are also installed at strategic locations all the University premises. The University has put up suggestion boxes at strategic positions in the University to capture customer complaints, compliments, queries and enquiries.*

#### 8.2.2 Determining the requirements for products and services

When determining the requirements for the products and services to be offered to customers, Chuka University shall ensure that:

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



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### **8.2.3 Review of the requirements for products and services**

**8.2.3.1** Chuka University shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. Chuka University shall conduct 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/specified by the customer, but necessary for the specified or intended use, when known;
- c) Requirements specified by Chuka University;
- d) Statutory and regulatory requirements applicable to the products and services;
- e) Contract or order requirements differing from those previously expressed.

Chuka University shall ensure that contract or order requirements differing from those previously defined are resolved.

The customer's requirements shall be confirmed by Chuka University before acceptance, when the customer does not provide a documented statement of their requirements.

NOTE: *In some situations, such as internet sales, a formal review is impractical for each order. Instead, the review can cover relevant product information, such as catalogues.*

**8.2.3.2** Chuka University shall ***retain documented information***, as applicable:

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

### **8.2.4 Changes to requirements for products and services**

Chuka University shall ensure 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.

## **8.3 Design and development of products and services**


### **8.3.1 General**

Chuka University shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of products and services.

### **8.3.2 Design and development planning**

In determining the stages and controls for design and development, the University shall consider:

- 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 resources for design and development of products and services;
- f) The need to control the interfaces between persons involved in the design and development processes;

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- g) The need for involvement of customers and users in the design and development process;
- h) The requirements for the 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.

### 8.3.3 Design and development inputs

Chuka University shall determine the requirements essential for the specific types of products and services to be designed and developed. Chuka University shall consider:

- a) Functional and performance requirements;
- b) Information derived from previous similar design and development activities;
- c) Statutory and regulatory requirements e.g. **CUE Regulations and Standards guidelines**;
- d) Standards or codes of practice that Chuka University has committed to implement e.g. **Research code of ethics**;
- e) Potential consequences of failure due to the nature of the products and services.

### 8.3.4 Design and development controls


Chuka University shall apply 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/certification** activities are conducted to ensure that the design and development *outputs* meet the input requirements;
- d) **Validation/confirmation** activities are conducted to ensure that the *resulting products and services* meet the requirements for the specified application or intended use;
- e) Any necessary actions are taken on problems determined during reviews, verification and validation activities;

**Retain documented information of the reviews, verification and validation activities.**

NOTE: *Design and development reviews, verification and validation have distinct purposes. They can be conducted separately or in any combination, as is suitable for the products and services of Chuka University.*

<b>1</b>	<b>For Chuka University curriculum/programmes catalogue design and development:</b>	
	Reviews	Faculty Boards
	Verification	Undergraduate Board for undergraduate programmes
		Postgraduate Board for postgraduate programmes
	Validation	Senate
<b>2</b>	<b>For Chuka University certificate design and development:</b>	
	Reviews	Registrar (Academic Affairs)
	Verification	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
	Validation	Vice-Chancellor

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<b>3</b>	<b>For Chuka University student research proposal design and development:</b>	
	Reviews	Departmental Boards
	Verification	Faculty Boards
	Validation	Postgraduate Board
<b>4</b>	<b>For Chuka University staff research proposal design and development:</b>	
	Reviews	Commissioned reviewers
	Verification	Board of Research, Extension & Publications
	Validation	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
<b>5</b>	<b>For Chuka University academic staff review design and development:</b>	
	Reviews	Faculty Shortlisting Committees
	Verification	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
	Validation	Interview/Review Committees of Council
<b>6</b>	<b>For Chuka University administrative staff review design and development:</b>	
	Reviews	Faculty Shortlisting Committees
	Verification	Deputy Vice-Chancellor (Administration, Finance, Planning & Dev't)
	Validation	Interview/Review Committees of Council

### 8.3.5 Design and development outputs

Chuka University shall ensure 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.


Chuka University shall *retain documented information* on design and development outputs. See **8.3.4 above**.

### 8.3.6 Design and development changes

Chuka University shall identify, review and control 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.

Chuka University shall *retain documented information* 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.

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## **8.4 Control of externally provided processes, products and services**

### **8.4.1 General**

Chuka University shall ensure that externally provided processes, products and services conform to requirements. Chuka University shall determine 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 Chuka University's own products and services;
- b) Products and services are provided directly to the customer(s) by external providers on behalf of Chuka University;
- c) A process, or part of a process, is provided by an external provider as a result of a decision by Chuka University.

Chuka University shall determine and apply 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.

***Refer to CU/SOP/PROD/25; CU/DVCA/SENA***

Chuka University shall ***retain documented information*** of these activities and any necessary actions arising from the evaluations.

### **8.4.2 Type and extent of control**

Chuka University shall ensure that externally provided processes, products and services do not adversely affect Chuka University's ability to consistently deliver conforming products and services to its customers. Chuka University shall:


- a) Ensure that externally provided processes remain within the control of its Quality Management System;
- b) Define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
- c) Take into consideration:
  - (1) The potential impact of the externally provided processes, products and services on Chuka University's ability to consistently meet customer and applicable statutory and regulatory requirements;
  - (2) The effectiveness of the controls applied by the external provider;
- d) Determine 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**

Chuka University shall ensure the adequacy of requirements prior to their **communication** to the external provider.

Chuka University shall communicate via hard/e-mail to external providers its requirements for:

- a) The processes, products and services to be provided;
- b) The approval of:
  - (1) Products and services;

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- (2) Methods, processes and services;
- (3) The release of products and services;
- c) Competence, including any required qualification of persons;
- d) The external providers' interactions with Chuka University;
- e) Control and monitoring of the external providers' performance to be applied by CU
- f) Verification or validation activities that Chuka University, or its customer, intends to perform at the external providers' premises.

## **8.5 Production and service provision**

### **8.5.1 Control of production and service provision**

Chuka University shall implement production and service provision under controlled conditions. Controlled conditions shall 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;
- f) The validation, and periodic re-validation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement;
- g) The implementation of actions to prevent human error;
- h) The implementation of release, delivery and post-delivery activities.

### **8.5.2 Identification and traceability**


Chuka University shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services.

Chuka University shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.

Chuka University shall control the unique identification of the outputs when traceability is a requirement, and shall *retain the documented information* necessary to enable traceability. (*See registration and serial numbers for certificates*).

### **8.5.3 Property belonging to customers or external providers**

Chuka University shall exercise care with property belonging to customers or external providers while it is under Chuka University's control or being used by Chuka University.

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Chuka University shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.

When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, Chuka University shall report this to the customer or external provider and **retain documented information** on what has occurred.

*(See CU/SOP/RADP/04, CU/SOP/RACA/05, CU/SOP/FIND/24, CU/SOP/PROD/25)*

**NOTE:** *A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property, and personal data.*

#### **8.5.4 Preservation**

Chuka University shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.

**NOTE:** *Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.*

#### **8.5.5 Post-delivery activities**

Chuka University shall meet requirements for post-delivery activities associated with the products and services. In determining the extent of post-delivery activities that are required, Chuka University shall consider:

- a) Statutory and regulatory requirements;
- b) The potential undesired consequences associated with its products and services;
- c) The nature, use and intended lifetime of its products and services;
- d) Customer requirements;
- e) Customer feedback.

**NOTE:** *Post-delivery activities can include actions under warranty provisions, tracer studies for graduates, contractual obligations e.g. maintenance services, & supplementary services e.g. recycling or final disposal.*


#### **8.5.6 Control of changes**

Chuka University shall review and control changes for production or service provision, to the extent necessary to ensure continuing conformity with requirements.

Chuka University shall **retain documented information** describing the results of the review of changes, person (s) authorizing the change, and any necessary actions arising from the review.

#### **8.6 Release of products and services**

Chuka University shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met.

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

Chuka University shall **retain documented information** on the release of products and services. The documented information shall include:

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

**Refer to CU/SOP/RACA/05: Certificates; CU/SOP/FACU/06...: Transcripts; Senate: Results**

## 8.7 Control of non-conforming outputs

**8.7.1** Chuka University shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

Chuka University shall take apt action based on the nature of the non-conformity and its effect on the conformity of products and services. This shall also apply to non-conforming products and services detected after delivery of products, during or after the provision of services.

Chuka University shall deal with non-conforming 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;
- d) Obtaining authorization for acceptance under concession.

Conformity to the requirements shall be verified when non-conforming outputs are corrected.

**8.7.2** Chuka University shall **retain documented information** that:

- e) Describes the non-conformity;
- f) Describes the actions taken;
- g) Describes any concessions obtained;
- h) Identifies the authority deciding the action in respect of the non-conformity.

**Refer to CU/GOP/NC/04**

## 9 Performance Evaluation

### 9.1 Monitoring, measurement, analysis and evaluation

#### 9.1.1 General

When monitoring, Chuka University shall determine:

- a) What needs to be monitored and measured (See Strategic Plan (2017-2022), SOPs);
- b) Methods for monitoring, measurement, analysis and evaluation to ensure valid results;
- c) When (timeframe) the monitoring and measuring shall be performed;
- d) When the results from monitoring and measurement shall be analyzed and evaluated.

Chuka University shall evaluate the performance and the effectiveness of the Quality Management System **through Internal Audits and Management Review Meetings.**



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**Monitoring includes:**

What to monitor	Why to monitor	How to monitor	Who to monitor	When to monitor	When to analyze / evaluate results
Teaching attendance, Teaching claims, Revenue collection, Duty attendance	Continual improvement Invoice/debit Reward/sanction	Log sheet Scrutinize Ledgers Biometric FP	Lecturers HIA FO R (A&P)	Daily	Annually
Catering services Medical services	Re-stock Refer	Bin cards Sick sheet	CCO CMO	Weekly	Annually
Budgetary capitation Payroll consumption Utilities consumption Petty cash	Requisition Credit Settle debts Re-float	Remittances Peruse Meters Ledgers	FO FO Estates Mgt FO	Monthly	Annually
Performance contract, Financial cash flow, Research projects, Procurement plan	Continual improvement Disburse funds Supplement	Peruse reports Statements Reports Requisitions	QAPC FO Director (R&E) CPO	Quarterly	Annually
Exams conduct Enrolment/admission	Discipline/reward Market/advertise	Peruse reports Databases	Director, EXT R (AA)	Semesterly	Annually
Debts and liabilities Budgetary absorption	Re-allocation Supplement	Statements Statements	FO FO	Semi-annually	Annually
Performance appraisals Performance Contract Store stocks Enrolment/admission	Reward/Continual improvement Re-stock Market/advertise	Filled forms Peruse reports Bin cards Databases	R (A&P) QAPC CPO R (AA)	Annually	Annually
Research projects	Revise themes	Peruse reports	DVC(ARSA)	Biennially	Biennially
Academic programs	Review/improve	Demand levels	DVC(ARSA)	After a cycle	After a cycle
Strategic Plan	Review	Peruse reports	DVC(AFPD)	Annually	After 5 years
Master Plan	Advise	Peruse reports	VC	Annually	Annually
Policies	Review	Peruse content	R (A&P)	Annually	On due date
Risks	Address	Peruse content	HODs/Chair	Daily-Annually	Daily-Annually

Chuka University shall *retain appropriate documented information* as evidence of the results.


**9.1.2 Customer satisfaction**

Chuka University shall monitor customers' perceptions of the degree to which their needs and expectations have been fulfilled.

Chuka University shall determine methods for obtaining, monitoring and reviewing information.

Information obtaining method	Information monitoring method	Information reviewing method
Phone call questioning	Record answers	Study
Questionnaire	Sort responses	Tally
Visit	Record responses	Study
Registers	Compile	Peruse
Visitors books	Collate	Peruse
Feedback boxes	Collect	Tally
Social media comments	Tally	Study
Consultative meetings	Note taking/questionnaire filling	Peruse/Tally



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NOTE: *Examples of monitoring customer perceptions can include customer surveys, customer feedback on delivered products and services, meetings with customers, market-share analysis, compliments, complaints, warranty claims and dealer reports.*

### 9.1.3 Analysis and evaluation

Chuka University shall analyse and evaluate appropriate data and information arising from monitoring and measurement.

The results of analysis shall be used to evaluate:

- Conformity of products and services;
- The degree of customer satisfaction (**customer survey, complaints**);
- The performance and effectiveness of the Quality Management System;
- If planning has been implemented effectively;
- The effectiveness of actions taken to address risks and opportunities;
- The performance of external providers;
- The need for improvements to the Quality Management System.

NOTE: *Methods to analyse data can include statistical techniques.*

Data will be analysed and evaluated as

Data example	Method	Inferences sought
Cash flows/investment	Statistical	Significance checks
Enrolment	Descriptive	Observations
Attendance	Means	Deviations
Complaints	Frequencies	Habits
Programmes of study	Modes	Preference
Enrolment	Graph (line, bar, 2-D, 3-D)	Trends
Utilities consumption	Regression	Relationships
Patients	Correlation	Associations
Gender/Disability/Consumption habits	Percentages	Extrapolation

## 9.2 Internal audit


9.2.1 Chuka University shall conduct internal audits at planned intervals to provide information on whether the Quality Management System:

- Conforms to:
  - Chuka University's own requirements for its Quality Management System;
  - The requirements of this International Standard;
- Is effectively implemented and maintained.

**Refer to CU/GOP/IA/03**

9.2.2 Chuka University shall:

- Plan, establish, implement and maintain an audit programme (s) including the frequency, methods, responsibility, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting Chuka University, and the results of previous audits;
- Define the audit criteria and scope for each audit;

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- c) Select auditors and conduct audits to ensure objectivity and impartiality of audit process;
- d) Ensure that the results of the audits are reported to relevant management;
- e) Take appropriate correction (quick remedy) and corrective actions (root cause remedy = who, what, why, when, where, how) without undue delay;

**Retain documented information** as evidence of the implementation of the audit programme and the audit results. **Refer to CU/GOP/IA/03**

NOTE: See ISO 19011 for guidance.

### 9.3 Management review

#### 9.3.1 General

The management shall review Chuka University's Quality Management System, at planned intervals (March and November of Every Year), to ensure its continuing suitability, adequacy, effectiveness and alignment with the Strategic Plan (2017-2022) of Chuka University.

**Ref. CU/GOP/IA/03**

#### 9.3.2 Management review inputs

The management review shall be 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 QMS;
- c) Information on the performance and effectiveness of the QMS, including trends in:
  - 1) **Customer satisfaction and complaints/feedback** from relevant interested parties;
  - 2) The extent to which quality objectives have been met;
  - 3) Process performance and conformity of products and services;
  - 4) Non-conformities and corrective actions (**complaints registers/boxes; PCSC**);
  - 5) Monitoring and measurement results (**Departmental Minutes, KPIs**);
  - 6) Audit results (**Internal and external audit reports**);
  - 7) The performance of external providers (**CU/SOP/PROD/25; CU/SOP/ACAD/16; CU/SOP/BPGS/13; CU/SOP/SESD/30; CU/SOP/ESTD/27**)
- d) The adequacy of resources (**human, financial, physical; employee satisfaction**);
- e) The effectiveness of actions taken to address risks and opportunities (**See 6.1 and Risk Management Committee report from risk and opportunity registers**);
- f) Opportunities for improvement (**Change requests**)

#### 9.3.3 Management review outputs

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

- b) Opportunities for improvement;
- c) Any need for changes to the Quality Management System;
- d) Resource needs.

Chuka University shall **retain documented information** as evidence of the results of management reviews. **Refer to CU/ISO/QMRM**

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## 10 Improvement

### 10.1 General

Chuka University shall determine and select opportunities for improvement and implement 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 Quality Management System.

NOTE: *Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.*

### 10.2 Non-conformity and corrective action

**10.2.1** When non-conformity occurs, including any arising from complaints, CU shall:

- a) React to the non-conformity and, as applicable:
  - 1) Take action to control and correct it;
  - 2) Deal with the consequences;
- b) Evaluate the need for action to eliminate the cause(s) of the non-conformity so that it does not recur or occur elsewhere, by:
  - 1) Reviewing and analyzing the non-conformity;
  - 2) Determining the cause of the non-conformity;
  - 3) Determining if similar non-conformities exist, or could potentially occur;
- c) Implement any action needed;
- d) Review the effectiveness of any corrective action taken;
- e) Update risks and opportunities determined during planning, if necessary;
- f) Make changes to the Quality Management System, if necessary.

Corrective actions shall be appropriate to the effects of the nonconformities encountered.

**10.2.2** Chuka University shall *retain documented information* as evidence of:


- c) The nature of the non-conformities and any subsequent actions taken;
- d) The results of any corrective action.

*Refer to CU/GOP/CN/05*

### 10.3 Continual improvement

Chuka University shall continually improve the suitability, adequacy and effectiveness of the Quality Management System.

Chuka University shall consider the results of analysis and evaluation in 9.1.3, and the outputs from management review in 9.3.3a, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.

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## ANNEX A (Informative)

### Clarification of New Structure, Terminology and Concepts

#### A.1 Structure and terminology

The clause structure (i.e. clause sequence) and some of the terminology of this edition of this International Standard, in comparison with the previous edition (ISO 9001:2008), have been changed to improve alignment with other management systems standards.

There is no requirement in this International Standard for its structure and terminology to be applied to the documented information of an organization's Quality Management System.


The structure of clauses is intended to provide a coherent presentation of requirements, rather than a model for documenting an organization's policies, objectives and processes. The structure and content of documented information related to a Quality Management System can often be more relevant to its users if it relates to both the processes operated by Chuka University and information maintained for other purposes.

There is no requirement for the terms used by Chuka University to be replaced by the terms used in this International Standard to specify Quality Management System requirements. Chuka University can choose to use terms which suit its operations (e.g. using "records", "documentation" or "protocols" rather than "documented information"; or "supplier", "partner" or "vendor" rather than "external provider").

**Table A.1** shows the major differences in terminology between this edition of this international standard and the previous edition.

**Table A.1-Major differences in terminology between ISO 9001:2008 and ISO 9001:2015**

ISO 9001:2008	ISO 9001:2015
Products	Products and services
Exclusions	Not used (See Clause A.5 for clarification of applicability)
Management representative	Not used (similar responsibilities and authorities are assigned but no requirement for a single management representative)
Documentation, quality manual, documented procedures, records	Documented information
Work environment	Environment for the operation of processes
Monitoring and measuring equipment	Monitoring and measuring resources
Purchased product	Externally provided products and services
Supplier	External provider

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## **A.2 Products and services**

ISO 9001:2008 used the term “product” to include all output categories. This edition of this International Standard uses “products and services”. “Products and services” include all output categories (hardware, services, software and processed materials).

The specific inclusion of “services” is intended to highlight the differences between products and services in the application of some requirements. The characteristic of services is that at least part of the output is realized at the interface with the customer. This means, for example, that conformity to requirements cannot necessarily be confirmed before service delivery.

In most cases, products and services are used together. Most outputs that organizations provide to customers, or are supplied to them by external providers, include both products and services. For example, a tangible or intangible product can have some associated service or a service can have some associated tangible or intangible product.

## **A.3 Understanding the needs and expectations of interested parties**

**Subclause 4.2** specifies requirements for Chuka University to determine the interested parties that are relevant to the Quality Management System and the requirements of those interested parties. However, **4.2** does not imply extension of Quality Management System requirements beyond the scope of this International Standard. As stated in the scope, this International Standard is applicable where an organisation needs to demonstrate its ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, and aims to enhance customer satisfaction.


There is no requirement in this International Standard for Chuka University to consider interested parties where it has decided that those parties are not relevant to its Quality Management System. It is for Chuka University to decide if a particular requirement of a relevant interested party is relevant to its Quality Management System.

## **A.4 Risk-based thinking**

The concept of risk-based thinking has been implicit in previous editions of this International Standard, e.g. through requirements for planning, review and improvement. This International Standard specifies requirements for Chuka University to understand its context (**see 4.1**) and determine risks as a basis for planning (**see 6.1**). This represents the application of risk-based thinking to planning and implementing Quality Management System processes (**see 4.4**) and will assist in determining the extent of documented information.

One of the key purposes of a Quality Management System is to act as a preventive tool. Consequently, this International Standard does not have a separate clause or subclause on preventive action. The concept of preventive action is expressed through the use of risk-based thinking in formulating Quality Management System requirements.

The risk-based thinking applied in this International Standard has enabled some reduction in **prescriptive/rigid** requirements and their replacement by performance-based requirements.

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There is greater flexibility than in ISO 9001:2008 in the requirements for processes, documented information and organizational responsibilities.

Although **6.1** specifies that the organisation shall plan actions to address risks, there is no requirement for formal methods for risk management or a documented risk management process. Organizations can decide whether or not to develop a more extensive risk management methodology than is required by this International Standard, e.g. through the application of other guidance and standards.

Not all the processes of a Quality Management System represent the same level of risk in terms of Chuka University's ability to meet its objectives, and the effects of uncertainty are not the same for all areas. Under the requirements of **6.1**, Chuka University is responsible for its application of risk-based thinking and the actions it takes to address risk, including whether or not to *retain documented information* as evidence of its determination of risks.

### **A.5 Applicability**


This International Standard does not refer to “exclusions” in relation to the applicability of its requirements to Chuka University's Quality Management System. However, Chuka University can review the applicability of requirements due to its size or complexity, the management model it adopts, the range of its activities and nature of the risks and opportunities it encounters.

The requirements for applicability are addressed in **4.3**, which defines conditions under which Chuka University can decide that a requirement cannot be applied to any of the processes within the scope of its QMS. Chuka University can only decide that a requirement is not applicable if its decision will not result in failure to achieve conformity of products and services.

### **A.6 Documented information**

As part of the alignment with other management system standards, a common clause on “documented information” has been adopted without significant change or addition (**see 7.5**). Where appropriate, text elsewhere in this International Standard has been aligned with its requirements. Consequently, “documented information” is used for all document requirements. Where ISO 9001:2008 used specific terminology such as “document” or “documented procedures”, “quality manual” or “quality plan”, this edition of this International Standard defines requirements to “**maintain documented information**”.

Where ISO 9001:2008 used the term “records” to denote documents needed to provide evidence of conformity with requirements, this is now expressed as a requirement to “*retain documented information*”. Chuka University is responsible for determining what documented information needs to be retained, the period of time for which it is to be retained and the media to be used for its retention (*See Records Management Policy*).

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A requirement to **“maintain” documented information** does not exclude the possibility that Chuka University might also need to “retain” that same documented information for a particular purpose, e.g. to retain previous versions of it.

Where this International Standard refers to **“information” rather than “documented information”** (e.g. in 4.1: “Chuka University shall monitor and review the information about these external and internal issues”), there is no requirement that this information is to be documented. In such situations, Chuka University can decide whether or not it is necessary or appropriate to **maintain documented information**.

### **A.7 Organizational knowledge**

In 7.1.6, this International Standard addresses the need to determine and manage the knowledge maintained by Chuka University, to ensure the operation of its processes and that it can achieve conformity of products and services.

Requirements regarding organizational knowledge were introduced for the purpose of:

- a) Safeguarding Chuka University from loss of knowledge, e.g.
  - Through staff turnover;
  - Failure to capture and share information;
- b) Encouraging the organisation to acquire knowledge, e.g.
  - Learning from experience;
  - Mentoring;
  - Benchmarking.

### **A.8 Control of externally provided processes, products and services**

All forms of externally provided processes, products and services are addressed in 8.4, e.g. Whether through:

- a) Purchasing from a supplier;
- b) An arrangement with an associate company;
- c) Outsourcing processes to an external provider.

Outsourcing always has the essential characteristic of a service, since it will have at least one activity necessarily performed at the interface between the provider and Chuka University.

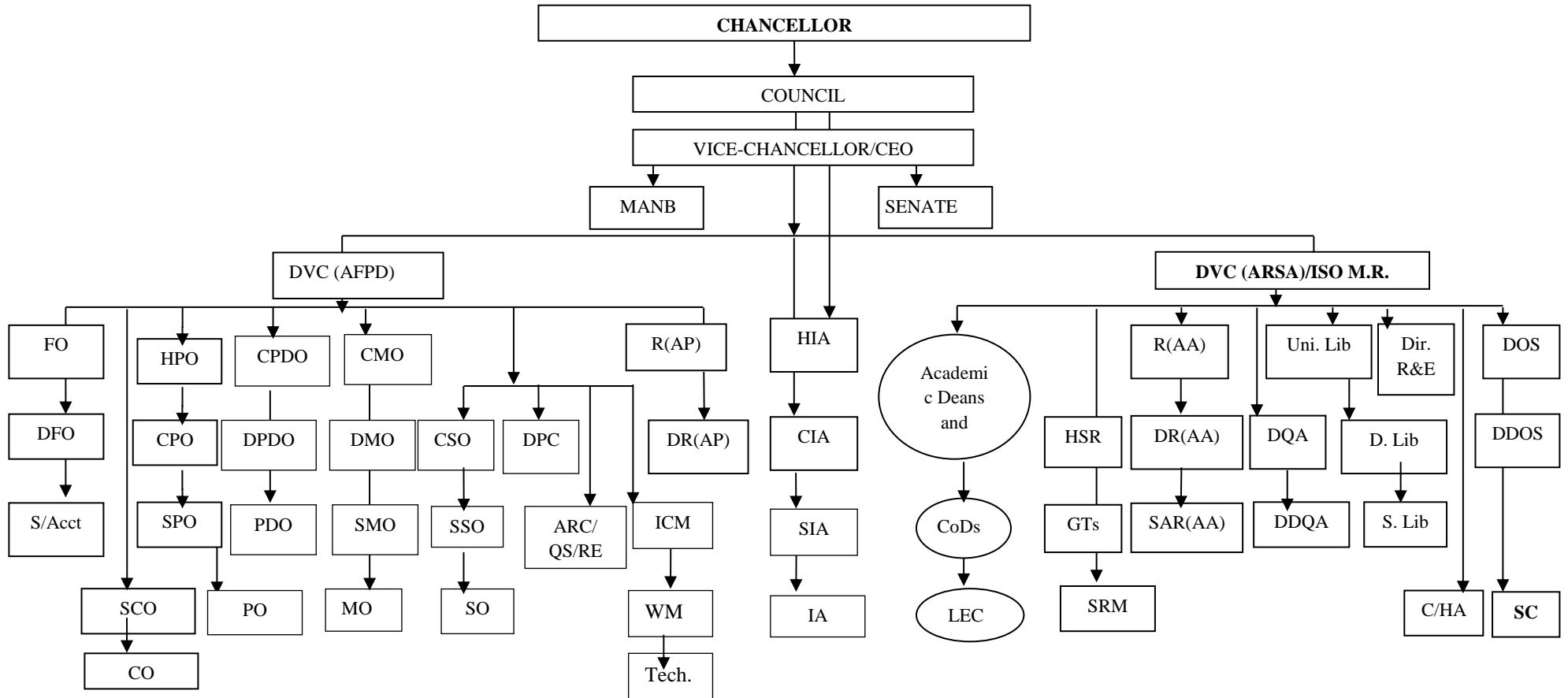
The controls required for external provision can vary widely depending on the nature of the processes, products and services. Chuka University can apply risk-based thinking to determine the type and extent of controls appropriate to particular external providers and externally provided processes, products and services.



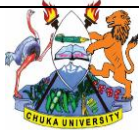
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**APPENDIX I: CHUKA UNIVERSITY ORGANOGRAM**







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### Key to Appendix I

<b>VC/CEO</b>	Vice-Chancellor/Chief Executive Officer	<b>SCO</b>	Senior Catering Officer
<b>DVC (AFPD)</b>	Deputy Vice-Chancellor/ (Administration, Finance, Planning and Development)	<b>DR (AP)</b>	Deputy Registrar (Administration & Planning)
<b>DVC (ARSA)</b>	Deputy Vice-Chancellor (Academic, Research and Student Affairs)	<b>DIRs</b>	Directors of Boards, Institutes, Centres and Campuses
<b>M.R.</b>	Management Representative	<b>CO</b>	Catering Officer
<b>R (AP)</b>	Registrar (Administration and Planning)	<b>RE</b>	Resident Engineer
<b>R (AA)</b>	Registrar (Academic Affairs)	<b>ARCH</b>	Architect
<b>DR (AA)</b>	Deputy Registrar (Academic Affairs)	<b>QS</b>	Quantity Surveyor
<b>Dir. R&amp;E</b>	Director (Research & Extension)	<b>CPDO</b>	Chief Planning & Development Officer
<b>Uni. LIB</b>	University Librarian	<b>SPDO</b>	Senior Planning & Development Officer
<b>D. Lib</b>	Deputy University Librarian	<b>PDO</b>	Planning & Development Officer
<b>S. Lib</b>	Senior University Librarian	<b>HSR</b>	Head of Sports and Recreation
<b>DOS</b>	Dean of Students	<b>GTs</b>	Games Tutors
<b>DDOS</b>	Deputy Dean of Students	<b>SRM</b>	Sports and Recreation Managers
<b>FO</b>	Finance Office	<b>C(HA)</b>	Custodian/Head of Accommodation
<b>DFO</b>	Deputy Finance Officer	<b>HIA</b>	Head of Internal Audit
<b>S/Acct</b>	Senior Accountant	<b>CIA</b>	Chief Internal Auditor
<b>CMO</b>	Chief Medical Officer	<b>SIA</b>	Senior Internal Auditor
<b>DMO</b>	Deputy Medical Officer	<b>IA</b>	Internal Auditors
<b>SMO</b>	Senior Medical Officer	<b>SAR</b>	Senior Assistant Registrar
<b>MO</b>	Medical Officer	<b>CSO</b>	Chief Security Officer
<b>Deans</b>	Deans of Faculties, Schools and Institutes	<b>SSO</b>	Senior Security Officer
<b>COD</b>	Chairman of Department	<b>SO</b>	Security Officer
<b>LEC</b>	Lecturers	<b>EM</b>	Estates Manager
<b>HPO</b>	Head of Procurement Office	<b>ISO</b>	ISO Management Representative
		<b>M.R.</b>	
<b>CPO</b>	Chief Procurement Officer		
<b>SPO</b>	Senior Procurement Officer		
<b>PO</b>	Procurement Officer		
<b>DQA</b>	Director (Quality Assurance)		
<b>DDQA</b>	Deputy Director (Quality Assurance)		
<b>DPC</b>	Director (Performance Contracting)		
<b>ICM</b>	ICT Manager		
<b>WM</b>	Webmaster		
<b>MANB</b>	Management Board		
<b>SC</b>	Student Counsellor		
<b>Tech.</b>	Technologists		



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**QUALITY MANAGEMENT SYSTEM MANUAL**

**APPENDIX II: LIST OF SOPS AND WORK INSTRUCTIONS FOR CU**

<b>SN</b>	<b>STANDARD OPERATING PROCEDURE</b>	<b>CODE</b>
1	Institutional Management	CU/SOP/VCIM/01
2	Administration, Finance & Planning Management	CU/SOP/DVCF/02
3	Academic, Research & Extension Management	CU/SOP/DVCA/03
4	Administration, Resources & Planning Management	CU/SOP/RADP/04
5	Academic Affairs Management	CU/SOP/RACA/05
6	Faculty Management	CU/SOP/FERD/06
7	Faculty Management	CU/SOP/FHSS/07
8	Faculty Management	CU/SOP/FBST/08
9	Faculty Management	CU/SOP/FAES/09
10	Faculty Management	CU/SOP/FSET/10
11	Quality Assurance & Performance Contracting	CU/SOP/QAPC/11
12	Examinations & Timetables Management	CU/SOP/EXTT/12
13	Postgraduate Studies Management	CU/SOP/BPGS/13
14	Undergraduate Studies Management	CU/SOP/BUSF/14
15	Student Welfare Promotion Management	CU/SOP/STWD/15
16	Teaching and Examination Management	CU/SOP/DBAD/16
17	Teaching and Examination Management	CU/SOP/DEDU/17
18	Teaching and Examination Management	CU/SOP/DHUM/18
19	Teaching and Examination Management	CU/SOP/DERD/19
20	Teaching and Examination Management	CU/SOP/DANS/20
21	Teaching and Examination Management	CU/SOP/DBIO/21
22	Farms Development Management	CU/SOP/FARM/22
23	Library Services Management	CU/SOP/LIBD/23
24	Financial Resources Management	CU/SOP/FIND/24
25	Procurement Management	CU/SOP/PROD/25
26	Audit, Governance & Risk Management	CU/SOP/IAUD/26
27	Estates Development Management	CU/SOP/ESTD/27
28	Catering Services Management	CU/SOP/CATD/28
29	Medical Care Management	CU/SOP/MEDD/29
30	Security Promotion Management	CU/SOP/SESD/30
31	Transport Services Management	CU/SOP/TRAD/31
32	Accommodation Services Management	CU/SOP/ACCD/32
34	Teaching and Examination Management	CU/SOP/DPLS/34
35	Teaching and Examination Management	CU/SOP/DCOM/35
36	Teaching and Examination Management	CU/SOP/DPHS/36
37	Teaching and Examination Management	CU/SOP/DNUR/37
38	Information Communication Technology Management	CU/SOP/ICTD/38
39	Research, Extension and Publication Management	CU/SOP/DREP/39
40	Open, Distance and E-Learning Management	CU/SOP/ODEL/40
41	Management of Public Relations	CU/SOP/MPRE/41
42	Teaching and Examination Management	CU/SOP/DEAE/42
43	Teaching and Examination Management	CU/SOP/DSSC/43
44	Teaching and Examination Management	CU/SOP/DMSC/44
<b>SN</b>	<b>WORK INSTRUCTION TITLE</b>	<b>CODE</b>
1	Chemistry Practical Sessions	CU/WI/CHEM/01
2	Biological Sciences Practical Sessions	CU/WI/BIOL/02
3	Computer Science Practical Sessions	CU/WI/COMP/03
4	Wildlife Practical Sessions	CU/WI/WILD/04
5	Animal Health Practical Sessions	CU/WI/ANHE/05
6	Geography Practical Sessions	CU/WI/GEOG/06
7	Media Practical Sessions	CU/WI/MEDIA/07
8	Animal Science Practical Sessions	CU/WI/ANSC/08