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# CHUKA UNIVERSITY

## Standard Operating Procedure


For

## Administration, Finance & Planning Management (CU/SOP/DVCF/02)

### Document Review Sheet

The signatures below certify that these Standard Operating Procedure has been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

Action	Name & Signature	Position	Date
Prepared by	Mr. J. K. Sendeyo	SENIOR ASSISTANT REGISTRAR (ADMINISTRATION & PLANNING)	30.8.2017
Reviewed by	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)/MR	30.9.2017
Approved by	Prof. E. N. Njoka	VICE-CHANCELLOR	30.9.2017

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### 1.0 AMENDMENT RECORD

This Standard Operating Procedure is reviewed regularly to ensure relevance to the systems and process that it defines. A record of contextual additions or omissions is given below.

#### Amendment Record Sheet

Amendment Date	Issue No.	Revision No.	Page No.	Subject of Review /Modification	Revised By	Approved By

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## **2.0 GENERAL**

### **2.1. Purpose**

The purpose of this standard operating procedure is to ensure that all Administrative, Financial and Planning core processes and activities are managed effectively to ensure compliance with this International Standard, the Chuka University's planned arrangements, and the Government's statutory and regulatory requirements.

### **2.2. Scope**


This procedure shall apply to and define all the processes handled directly within the Administration, Finance, Planning and Development Division.

### **2.3. References**

Kenya Constitution, 2010  
Universities Act No. 42 of 2012  
CUE Regulations, Standards and Guidelines, 2014  
CU Charter, 2013  
CU Statutes, 2014  
CU Strategic Plan (2017-2022)  
Collective Bargaining Agreements (UASU, KUSU, KUDHEIHA Workers)  
CU Customer Service Delivery Charter, 2012  
ISO 9001:2015 Standard, Clauses 4 to 10  
CU ISO Quality Management System Manual, 2017  
CU Performance Contract (Current)  
Anti-Corruption and Economic Crimes Act, 2003  
Industrial Relations Charter, 1980  
Public Officer Ethics Act, 2003.  
Public Procurement and Disposal Act, 2005  
Public Procurement and Disposal Regulations, 2006  
State Corporations Act Cap. 446

### **2.4. Abbreviations**

AA Administrative Assistant  
CEO Chief Executive Officer  
CMO Chief Medical Officer  
CO Catering Officer  
CU Chuka University  
DVC (ARSA) Deputy Vice-Chancellor (Academic, Research & Student Affairs)  
DVC (AFPD) Deputy Vice-Chancellor (Administration, Finance, Planning & Development)  
EM Estates Manager  
FO Finance Officer  
HOD Head of Department (either academic or administrative)  
HRTDC Human Resource Training & Development Committee  
QA&PC Quality Assurance & Performance Contracting

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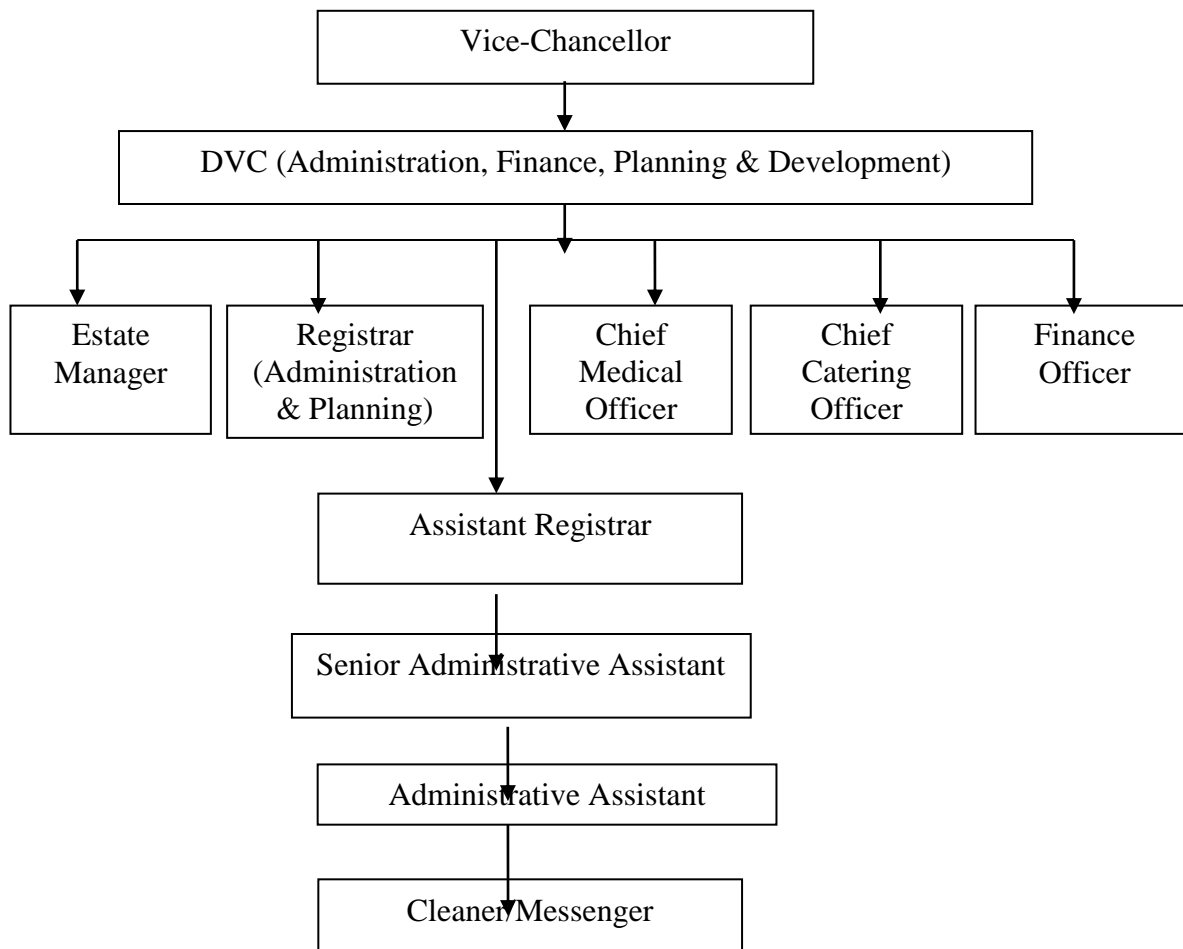
- R (AA) Registrar (Academic Affairs)
- R (AP) Registrar (Administration & Planning)
- SAR Senior Administrative Assistant
- SO Strategic Plan Objective(s)


### 2.5. Responsibility

The Deputy Vice-Chancellor (Administration, Finance, Planning & Development) has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose. In addition, the DVC (AFPD) has the primary responsibility for providing the information from which the documentation of processes can be compiled and for initiating action to keep the processes up to date. All departmental staff members are responsible for implementing and ensuring that this procedure is followed.

### 3.0 ADMINISTRATIVE STRUCTURE

The Administration, Finance & Planning is one of the Divisions within the University. The current administrative structure for the Division is as shown below.



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## **4.0 PROCESSES**

### **4.1 Overview**

The DVC (AFPD) Heads the Administration, Finance, Planning & Development Division and is primarily responsible for the management of personnel matters, finance, and University assets.

#### **The core processes of the Division include:**

- (i) Coordination of Recruitment of Staff
- (ii) Handling Applications for Review and Promotion of Employees
- (iii) Coordination of Long-term Human Resource Training and Development
- (iv) Handling Staff Disciplinary Cases for Grades I-IV and A-F
- (v) Coordination of Budget Preparation, Revenue Collection and Expenditure
- (vi) Coordination of Planning & Development of Infrastructure and Insurance of Assets
- (vii) Handling Medical Services Schemes for Staff and Students

#### **The other activities in the Division include:**

- (i) Steering the administrative policies and regulations in the University.
- (ii) Procuring goods and services in liaison with the VC and Procurement Department.
- (iii) Overseeing Staff Performance Appraisal in liaison with HODs & QA&PC Directorate.
- (iv) Overseeing the Catering Services in liaison with Catering Department.
- (v) Overseeing Maintenance and Repair of Facilities in liaison with Estates Department.
- (vi) Handling Environmental Safety Measures in liaison with Estates Department.
- (vii) Allocation of Facilities to Staff in liaison with Administration and Planning Department.
- (viii) Chairing the Staff Welfare Committee.
- (ix) Overseeing calibration, maintenance and repair of office/laboratory/library equipment in liaison with Laboratories, Estates and Procurement Departments.
- (x) Overseeing Work Tickets Analysis in liaison with the Transport Department.

### **4.2 Process for Recruitment of Staff**

#### **Source**

CU/SOP/VCIM/01; ISO Departments; Shortlisting panels

#### **Inputs**


Approved needy areas/vacancies/establishment  
 Advertisement in the daily newspapers  
 Suitably qualified applicants  
 Budgetary allocation/Scheme of Service  
 Interview committees

#### **Outputs**

Recruited staff; Shortlisting and Interview Minutes


#### **Receivers**

ISO Departments; CU/SOP/RADP/04; CU/SOP/FIND/24

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### Process Details

No.	Description	Output	Responsibility
1.	The Management Board identifies the positions that need to be filled. ( <i>Refer to Staff Appointment Criteria; Job Vacancy Advertisement</i> )	Staff Establishment	Top Management
2.	The University Council approves the positions.	Council Minutes	Vice-Chancellor
3.	The Registrar (A&P) draws an advert feature for approval by the Vice-Chancellor.	Draft advert	Registrar(A&P)
4.	The VC advertises the vacant positions to the public through two print media.	Advert in two papers	Vice-Chancellor
5.	The applications are then received by the stated deadline (14 days).	Applications	Registry Clerk
6.	The applications are stamped by the Registry to ensure there are no late submissions.	Stamped Applications	Registry Clerk
7.	A team is appointed to open the applications and summarise applicants.	Appointment letters	DVC (AFPD)
8.	Applicants' profiles are keyed into the computer for use in short-listing.	Report on applicant's profiles	Collating committee
9.	Respective committees short-list applicants based on official appointment criteria.	Shortlisting minutes	Respective committees
10.	The DVC (AFPD)/VC schedules the interview sessions for shortlisted candidates.	Interview schedule	Top Management
11.	The interviews are held as stipulated in the Statutes and minutes are taken.	Minutes	Registrar(A&P)
12.	The DVC (AFPD) issues appointment letters within 1 week post-interview.	Appointment letters	DVC (AFPD)
13.	Appointees who accept the terms of employment sign the appointment letters and return one copy to the office of the R (A&P) within 1 month from the date of issuance.	Appointment letter duly signed	Respective candidate
14.	Upon reporting to work the Office of the R (A&P) enters employees' details in the personnel database and opens a file with the personal file number for each employee.	Employee Personal file	Registrar (A&P)
15.	The employee is deployed in the respective department within 1 day after reporting vide a Staff Movement Form.	Staff movement form	Registrar (A&P)
16.	A pay change advice is prepared from the date of reporting advising the Finance Department to pay the employee (CU/SOP/RADP/04; CU/SOP/FIND/24).	Pay Change Advice	Registrar (A&P)

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### 4.3 Process for Review and Promotion of Employees

#### Source

CU/SOP/VCIM/01; ISO Departments; Shortlisting panels

#### Inputs

Approved/vacancies/establishment  
Internal advertisement  
Budgetary allocation  
Interview committees  
Applicants  
Scheme of Service/Promotion Criteria

#### Outputs

Promoted staff  
Minutes


#### Receivers

ISO Departments; CU/SOP/RADP/04; CU/SOP/FIND/24

#### Process Details

No.	Description	Output	Responsibility
1.	The DVC (AFPD) receives requests for review and promotion from staff.	Applications for review/promotion	DVC (AFPD)
2.	The DVC (AFPD) checks the adduced qualification of the staff and instructs the R (A&P) accordingly within 4 weeks from the date of application.	Letter of instruction to Registrar (A&P)	DVC (AFPD)
3.	The R (A&P) issues the employee a response within 4 weeks from the date of application.	Reply to applicant	Registrar (A&P)
4.	For employees who qualify, a date for interview is set and the R (A&P) invites the candidates to attend the interview in 2 weeks from the date of dispatch of the letter.	Letter of invitation to attend review interview	Registrar (A&P)
5.	A respective committee meets to interview applicants as per official criteria.	Minutes of review interview	Registrar (A&P)
6.	Candidates are issued promotion or regret letters 1 week from the date of review.	Promotion/regret letter	DVC (AFPD)
7.	The R (A&P) prepares a PCA advising the Finance Department to adjust the pay for the successful candidates.	Pay Change Advice	Registrar (A&P)
8.	The PCA is send to Finance officer for further processing	Approved PCA	Finance Officer



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#### 4.4 Process for Long-term Human Resource Training and Development

##### Source

ISO Departments; Staff applicants

##### Inputs

Applicants  
HRTD Committee and Policy  
Terms and Conditions of Service

##### Outputs


Minutes of trained staff/staff on training  
Approved/permitted requests  
Training impact evaluation reports

##### Receiver(s)

ISO Departments; CU/SOP/RADP/04; CU/SOP/FIND/24

##### Process Details

No.	Description	Output	Responsibility
1.	The employee writes a request for training through their HOD, indicating the facilitation and duration required. Training requests lasting under 2 weeks and not requiring great expenditure are processed administratively.	Request letter	Respective employee
2.	The respective HOD forwards the request to the Human Resource Training and Development Committee (HRTDC) within 1 week from the date of receipt	Request letter duly endorsed by HOD	HOD
3.	The request is deliberated as per the HRTD Policy within 4 weeks from application date.	Minutes of HRTDC	DVC (AFPD)
4.	If the staff meets training requirements, the HRTDC approves the training.	Minutes of HRTDC	DVC (AFPD)
5.	The DVC (AFPD) issues the employee with an approval letter within 1 week from the date of Committee meeting.	Approval letter	DVC (AFPD)
6.	After training, the employee is required to submit a back-to-office report and certificate of attendance or training attendance list.	Back-to-office report Certificate of Attendance	Respective employee
7.	The Registrar (AP) issues the staff training progress forms (CU/HRTD/FORM/2) to be filled and returned at intervals until the training is completed.	Staff Training Progress Forms	Registrar (A&P)

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#### **4.5 Process for Disciplinary Procedure for Staff in Grades I-IV, A-F and XI**

##### **Source**

ISO Departments; CU/SOP/VCIM/01; CU/SOP/RADP/04; CU/SOP/SESD/30

##### **Inputs**

Statements of complainants and witnesses  
Warning and show cause letters  
Employment Act/Labour Laws  
Terms and Conditions of Service

##### **Outputs**


Minutes with recommendations/verdicts

##### **Receiver(s)**

Council; CU/SOP/VCIM/01; CU/SOP/RADP/04

##### **Process Details**

<b>No.</b>	<b>Description</b>	<b>Output</b>	<b>Responsibility</b>
1.	A misconduct report is received from the HOD or any other complainant.	Misconduct report	VC/DVC (AFPD)
2.	Review of the case and/or investigation is conducted.	Review/investigation report	Registrar (A&P)
3.	A warning letter is issued to the employee	Warning letter	Registrar (A&P)
4.	In case of continued misconduct, the R (A&P) issues a show-cause letter to the employee to respond within a specified period.	Show-cause letter	Registrar (A&P)
5.	For sensitive cases like fraud, the employee is suspended without salary as per the respective CBA and the Employment Act to pave way for investigations.	Suspension letter	Registrar (A&P)
6.	The DVC (AFPD) convenes a disciplinary committee where the employee is required to appear within 14 days from the date of summons and present a defence.	Minutes of Staff Disciplinary Committee	Registrar (A&P)
7.	In case of gross misconduct that warrants summary dismissal, the R (A&P) issues a dismissal letter delivered by the In-Charge, Security Department.	Dismissal letter	Registrar (A&P)
8.	In case of an appeal by the dismissed employee, a date is set for the employee to appear before the Appeals and Grievances Handling Committee of Council.	Letter of appeal	Respective employee

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9.	The Appeals and Grievances Handling Committee of Council deliberates on the matter and makes a decision	Minutes	Vice-Chancellor
10.	Decision is communicated to the employee in writing once the process is concluded by the Appeals Committee	Letter	Vice-Chancellor

#### **4.6 Process for Budget Preparation, Revenue Collection and Expenditure**

##### **Source**

ISO Departments; CU/SOP/FIND/24; CU/SOP/VCIM/01; MoE; Government

##### **Inputs**

Exchequer capitation  
Revenue generation activities and policies  
Strategic/Procurement Plan  
Government Circulars

##### **Outputs**


Minutes  
Approved Budgets  
Revenue generated  
Expenditure reports

##### **Receiver(s)**

ISO Departments; CU/SOP/FIND/24; CU/SOP/VCIM/01; Council; MoE; Government

##### **Process Details**

<b>No.</b>	<b>Description</b>	<b>Output</b>	<b>Responsibility</b>
1.	The DVC (AFPD) receives budgetary estimates from user departments.	Departmental budgetary estimates	Respective HOD
2.	The DVC (AFPD) convenes a meeting to compile the estimates into one global budget.	Consolidated budget	Finance Officer
3.	The DVC (AFPD) and Finance Officer provisionally allocate funds to vote lines.	Funds allocation report	DVC (AFPD) Finance Officer
4.	The provisional allocations is forwarded to the Management Board, Finance, Farms, Enterprise and General Purpose Committee and Full Council through the VC for discussion, adjustment, approval and forwarding to MoE and National Treasury.	Funds allocation report	DVC (AFPD)
5.	The DVC (AFPD) receives the adjusted and approved budget from the National Treasury through MoEST and the Vice-Chancellor.	Approved budget	Vice-Chancellor

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6.	The approved budget is forwarded to the Finance Department to make recommended adjustments in readiness for implementation.	Approved budget	DVC (AFPD)
7.	Vote holders control/recommend drawing of funds from their vote heads.	Requests endorsed by vote holders	Respective HODs
8.	The financial requests from user departments are approved.	Approved requests	Vice-Chancellor DVC (AFPD)
9.	The DVC (AFPD) oversees revenue collection activities which are then implemented by the Finance Department.	Revenue collection reports	Finance Officer

#### **4.7 Process for Planning Development and Insurance of Infrastructure and Assets**

##### **Source**

CU/SOP/VCIM/01; CU/SOP/FIND/24; CU/SOP/PROD/25; CU/SOP/ESTD/27;

##### **Inputs**

Inventory of completed infrastructure  
Value of complete infrastructure  
Prequalified insurers/servicing/maintenance technicians  
Manufacturers' schedules of maintenance and servicing  
Internal schedules of maintenance and servicing  
Budgetary allocation  
Professional service providers and personnel

##### **Outputs**


Serviced infrastructure in good working condition

##### **Receiver(s)**

CU/SOP/ESTD/27; CU/SOP/FIND/24

##### **Process Details**

<b>No.</b>	<b>Description</b>	<b>Output</b>	<b>Responsibility</b>
1.	The DVC (AFPD) in consultation with users identifies projects/infrastructure/assets requiring implementation and acquisition.	Requests from users	Respective HOD
2.	A team is constituted to develop a proposal for the project/infrastructure.	Appointment letters	DVC (AFPD)
3.	The proposal is presented to the Management Board and the Building, Planning and Development Committee of Council.	Proposal	DVC (AFPD)
4.	The projects/ assets are submitted to the Building, Planning and Development Committee of Council.	Report on proposed projects/infrastructure/assets	DVC (AFPD)

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5.	The Building, Planning and Development Committee recommends to the Full Council to approve for implementation/acquisition.	Report to Full Council	Vice-Chancellor
6.	The VC, DVC (AFPD) and FO allocates funds to implement/construct/acquire the projects/infrastructure/assets.	Funds Allocation Report	Top Management
7.	The DVC (AFPD) oversees the implementation/construction/acquisition of the projects/infrastructure/asset following CU/SOP/PROD/25.	Progress reports	Estates Manager
8.	The DVC (AFPD) gathers information on staff/assets to be insured. The assets include buildings, electronics, goods, finances and other property.	Reports on Insurance needs	Respective HODs
9.	The DVC (AFPD) competitively sources for group insurance cover/service provider following the CU/SOP/PROD/25.	Tendering reports	Procurement Officer
10.	Potential firms submit their bids to the Vice-Chancellor.	Bids	Respective Bidders
11.	The lowest evaluated bidder is awarded the contract to provide insurance services	Signed contract	Top Management
12.	When the need for an insurance claim arises, a claim is raised and sent to the insurance service provider together with evidence.	Insurance claim	DVC (AFPD)
13.	The insurance service provider then settles the claim on behalf of the University.	Cheque	Respective insurance firm

#### **4.8 Process for Handling of Medical Services Scheme for Staff and Students**

##### **Source**

CU Employees; CU/SOP/PROD/25; CU/SOP/MEDD/29; CU/SOP/STWD/15

##### **Inputs**


Database of *bona fide* staff, their dependents and students  
Approved medical services providers  
Budgetary allocation  
Database of staff

##### **Outputs**

Staff, dependents and students receiving medical services

##### Receiver(s)

CU Employees; CU/SOP/FIND/24; CU/SOP/MEDD/29; CU/SOP/STWD/15

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### Process Details

No.	Description	Output	Responsibility
1.	At registration, government sponsored students subscribe to a government sponsored medical scheme; self-sponsored students pay for their medical requirements.	Students Biomedical Data Form	Registering clinician
2.	Staff contribute to the National Health Insurance Fund through check-off to cost-share medical expenses when need arises.	Contribution schedule	Finance Officer
3.	In case of specialised attention, the staff, relative, student is referred by the University Chief Medical Officer to the specialist.	Referral letter	Chief Medical Officer
4.	The staff/relative/student receives medical treatment/attention and obtains a bill which is brought to the Health Centre and forwarded to the DVC (AFPD) by the CMO.	Medical bill duly forwarded.	Chief Medical Officer
5.	The DVC (AFPD) authorises payment for the specialised treatment.	Authorized bill	DVC (AFPD)
6.	Bill is settled by the Finance Department	Cheque	Finance Officer

### 5. RECORDS

- a) Official Reports on all functions of the Department
- b) Performance Contract Reports
- c) Tender documents


### 6. KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

#### 6.1. Indicators


- a) Refer to departmental work plan
- b) Appointment and retention of qualified staff reflecting gender parity and ethnic balance.
- c) Harmonious industrial relations with UASU, UNTESU, KUSU & KUDHEIHA workers.
- d) Preparation of annual official reports and submission on time.
- e) Timely procurement of goods and services.
- f) Creation of students and staff-friendly working environment.

#### 6.2. Quality Objectives

<b>Linked Strategic Objectives</b> SO 14: Expansion of the University's Financial Resource Base
<b>Quality Objective 1:</b> To continuously coordinate budgeting, revenue collection and expenditure annually
<b>Strategy (Activities required to achieve the objective)</b> <ol style="list-style-type: none"> <li>1. Needs identification</li> <li>2. Consolidation of departmental estimates</li> <li>3. Presentation of budget estimates to Management and Council</li> <li>4. Budget implementation</li> </ol>

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5. Increase student enrolment 6. Outsource non-core functions			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVC (AFPD) Finance Officer HODs/CODs	Stationery Personnel Budgetary allocation Lecturer room chairs Outsourced personnel/firm	Annually	List of needs Global budget Procured items GRNs Paid salaries Projects completion & occupation certificates Enrolled students Outsourced services
<b>Review dates:</b>	Quarterly		
<b>Linked Strategic Objectives</b> SO 13: Acquisition of Land and Facilities for Expansion 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			
<b>Quality Objective 2:</b> To continuously coordinate planning and development of infrastructure in accordance with the University Strategic Plan and Master Plan			
<b>Strategy (Activities required to achieve the objective)</b> 1. Selecting the project/infrastructure to be developed 2. Developing the designs 3. Sourcing for service providers 4. Monitoring			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVC (AFPD) University Architect	Strategic Plan Master Plan Computer hardware and software Stationery, computer	Annually	Reported projects Designs Draft advert Minutes of site visits
<b>Review dates:</b>	Quarterly		
<b>Linked Strategic Objectives</b> SO 12: Improve Physical Facilities through Maintenance and Renovation			
<b>Quality Objective 3:</b> To oversee and approve maintenance, servicing and repair of University equipment and buildings at planned intervals.			
<b>Strategy (Activities required to achieve the objective)</b> 1. Preparation of status report on equipment and buildings and proposing action 2. Approving proposed action 3. Execution of proposed action 4. Develop and implement a maintenance and renovation schedule 5. Furnish conference theatres in targeted buildings			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVC (AFPD)	Stationery Finances	Annually	Status Report Approval letter

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Estates Manager Procurement Officer	Inventory of infrastructure Value of complete infrastructure Internal & manufacturers' maintenance/servicing schedules Prequalified professional technicians and personnel		Calibration reports Completion certificates Repaired buildings Furniture installed
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<b>Review dates:</b>	Quarterly
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**Linked Strategic Objectives**  
SO 31: Development of Motivated Staff

**Quality Objective 4:** To process all reported disciplinary cases for grades I-IV and V-XI and dispense them as stipulated in the terms and conditions of service in the University.

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

1. Receive reported cases and convene disciplinary meetings
2. Invite reported staff and administer first line counselling talk
3. Refer extreme cases to relevant higher authorities to handle

<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVC (AFPD) Registrar (A&P)	Budgetary allocation Employment Act Labour Laws & CBAs	Annually	Number of reported disciplinary cases resolved Disciplinary minutes and letters

<b>Review dates:</b>	Quarterly
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**Linked Strategic Objectives**  
SO 28: Recruitment and Retention of Qualified Staff  
SO 30: Development of Motivated Staff

**Quality Objective 5:** To coordinate recruitment and retention, review and promotion of qualified staff as need arises.

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

1. Invite Departments to submit required personnel and promotions
2. Review proposed personnel submitted by Departments
3. Prioritize applicable areas to fill
4. Prepare advertisement write-ups
5. Schedule collating, shortlisting and interview session

<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVCs Registrars/Deans CODs/HODs	Budgetary allocation Recruitment criteria Scheme of service	Annually	Number of recruited and retained staff Minutes Letters of offer

<b>Review dates:</b>	Quarterly
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**Linked Strategic Objectives**  
SO 29: Promotion of Staff Development Programmes

**Quality Objective 6:** To continuously vet staff who apply for long-term training and development

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

1. Receive requests for training/conference facilitation



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2. Convene HRTDC meeting to consider and vet the requests			
3. Process applicable requests			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVCs Registrars/Deans CODs/HODs	Human Resource Training and Development Policy Budgetary allocation	Annually	Number of staff facilitated Award letters
<b>Review dates:</b>	Quarterly		
<b>Linked Strategic Objectives</b>			
SO 30: Development of Motivated Staff			
SO 32: Development of Student Support Programmes			
<b>QO 7:</b> To oversee implementation of medical services for University staff and students and process applications for medical attention within one day from the date of receipt.			
<b>Strategy (Activities required to achieve the objective)</b>			
1. Receive requests for medical care/referral			
2. Prepare referral letters			
3. Approve/advise requests			
4. Sensitize staff and students on medical cover policy			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVC (AFPD) Registrar (A&P) Chief Medical Officer	Medical scheme policy Approved service providers	Annually	Number of requests processed
<b>Review dates:</b>	Weekly		
<b>Linked Strategic Objectives</b>			
<b>Quality Objective 11:</b> Development of Learning Facilities to Provide a Conducive Living and Learning Environment			
<b>QO 8:</b> To coordinate insurance of University infrastructure, physical and human assets in accordance with approved laws and policies.			
<b>Strategy (Activities required to achieve the objective)</b>			
1. Review assets inventory from time to time			
2. Review insurance records and timelines			
3. Note renewal due dates			
4. Source service providers			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Vice-Chancellor DVC (AFPD) Estates Manager Procurement Officer	Insurance policies Inventory of assets Value of assets Prequalified insurers Budgetary allocation	Annually	Number of assets insured
<b>Review dates:</b>	Quarterly		



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**Department: CU/SOP/DVCF/02 - DVC (Administration, Finance, Planning And Development) Office**

**Project /Process Name: Administration, Finance and Planning**

SN	Risk	Source (How can the risk occur)	Impact (What is the impact of the risk occurring)
1	Payment of fictitious expenses	Lack of ethics and integrity morals Light scrutiny of claims	Loss of revenue
2	Collusion with robbers to intercept cash in transit	Use of cash payment method Weak security Lack of ethics and integrity morals	Loss of revenue Inability to complete projects
3	Theft of cash in office	Lack of safe boxes Carelessness	Inability to implement business
4	Injury and occupational hazards	Non-conductive working environment Carelessness	Litigation Loss of life

### Risk and Opportunities Register

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

Risk name/ description	Risk Consequences	Raw Risk			Mitigations/controls (Source of Opportunities)	Risk Owner	Monitoring
		Likelihood (L)	Consequence (C)	Raw Risk (L x C)			
Payment of fictitious expenses	Loss of cash	2	3	6	Budgetary control by vetting payment documents	VC DVC (AFPD)	What: Approved requests Who: VC/DVC When: As requested How: Vet documents
Collusion with robbers to intercept cash in transit	Loss of cash	1	3	3	Proper escort of cash in transit	DVC (AFPD) FO Security Officer	What: Escorted Cash Who: Security Officer When: Every time banking is to be done How: Security reports
Theft of cash in office	Loss of cash	1	3	3	Impromptu inspection of safes	FO HIA	What: Cash verified Who: HIA When: Regularly How: Visually




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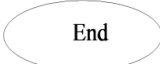
Injury and occupational hazards	Loss of life or disfigurement	1	3	3	Awareness training Mount safety drills	DVC (AFPD) Security and Safety Officer	What: Safety, security, injury achieved Who: Safety Officer When: Regularly How: Injury reports
Mis-trial of accused staff	Litigation Bad reputation	2	3	6	Fidelity to the law and terms and conditions of services	DVC (AFPD)	What: Cases tried Who: DVC (AFPD) When: Annually How: Document review
Varied education and training support wards	Contest of education and training wards	2	3	6	Thorough scrutiny of testimonials	DVC (AFPD) HR	What: Discrimination Who: HR When: Monthly How: Document review

Notes: Risk register can be reviewed when the mitigation has been applied. It may be removed or the level reduced


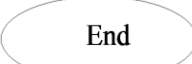
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	Issue No.: <b>01</b>	Revision No.: <b>00</b>
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## APPENDIX I: PROCESS MAPS

### i. Recruitment of Employees


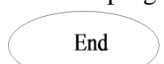
RESPONSIBILITY	ACTION
MANAGEMENT BOARD	 ↓ Identification of the positions to be filled
UNIVERSITY COUNCIL	Approval of the positions (NO or YES) 
SAR (AP)	Drawing of an advert based on official criteria for approval by the Vice-Chancellor.
VICE-CHANCELLOR	Advertisement of the vacant positions in the press & receiving applications
REGISTRY	Stamping of applications and sorting them into positions advertised
DVC (AFPD)	Appointment of a team to open the applications & summarise
DVC (AFPD)	Issuance of the lists to respective committees to short-list
SHORT LISTING TEAMS	Short-listing of the candidates as per the set criteria.
VICE-CHANCELLOR/DVC (AFPD)	Scheduling for the interview for the qualified candidates
RESPECTIVE PANELS	Recommendation of candidates for recruitment (NO or YES) 
DVC (AFPD)	Issuance of successful candidates with appointment letters Issuance of unsuccessful candidates with regret letters
R (AP)	Keying of employee details in the personnel data base and opening of a file with the payroll number of staff, upon reporting to work.
DVC (AFPD)/R (AP)	Deployment of the employee to designated department to start working
R (AP)	Raising of pay change advice (CU/SOP/RADP/4; CU/SOP/FIND/24)
	

### ii. Review and Promotion of Employees


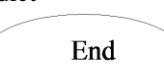
RESPONSIBILITY	ACTION
STAFF	 ↓ Preparation of a request for further training
DVC (AFPD)	Receiving of requests for review and promotion from staff.
DVC (AFPD)	Advises on qualification for review and instructs the R (AP) accordingly
R (AP)	Responds to the employee
R (AP)	Invitation of employees who qualify for interview.
INTERVIEW PANEL	Interviews the staff for promotion as per official criteria.
DVC (AFPD)	Issuance of successful candidates with promotion letter
R (AP)	Raising of a PCA advising Finance Office of the pay change
	


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### iii. Long-term Human Resource Training and Development

RESPONSIBILITY	ACTION
	 ↓
EMPLOYEE	The employee writes a request for training need through their HOD
HOD	Forwarding of the request to the Human Resource Training and Development Committee (HRTDC)
HRTDC	Approves the training. YES/NO
DVC (AFPD)	Issuance of the employee with an approval letter within 1 week from the date of Committee meeting.
R (AP)	Issuance of training progress report forms (CU/QMR/DVCA/FORM/1) to the staff to be filling and posting to the University at intervals until the training is completed
Employee	Attendance of training and submission of progress report forms
	

### iv. Staff Disciplinary

RESPONSIBILITY	ACTION
COMPLAINANT	 ↓
	Reporting of case/offence
R (AP)	Investigating the case to gather evidence Preparation of charge sheets
VC/DVC (AFPD)	Constituting of the Staff Disciplinary Committee
STAFF DISCIPLINARY COMMITTEE	Hearing and determining of the case under the chairmanship of DVC (AFPD)
R (AP)	Communication of verdict
ACCUSED EMPLOYEE	Appeal against verdict (NO or YES)
GRIEVANCES AND APPEALS HANDLING COMMITTEE OF COUNCIL	Hearing of the appeal against the verdict and passing of a new verdict
R (AP)	Communication of the final verdict
	

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**v. Budget Preparation, Revenue Collection and Expenditure**

RESPONSIBILITY	ACTION
DVC (AFPD)	<p style="text-align: center;">Start</p> <p>Requesting for budgetary estimates from user departments</p>
DVC (AFPD) and FO	Receiving budgetary estimates from user departments. Convening of a meeting to compile one budget for the University. Allocation of funds to the user departments
MANAGEMENT BOARD	Approval and forwarding to Finance, Farms, Enterprise Company & General Purposes Committee, Council, the MoEST and the National Treasury
VICE-CHANCELLOR	Receiving of approved budget from the National Treasury through MoEST
DVC (AFPD)	Forwarding of the approved budget to Finance Department to implement
VC & DVC (AFP)	Approval and control of financial requests by user departments.
DVC (AFPD)	Overseeing of revenue collection by the Finance Department.
	End

**vi. Planning Development of Infrastructure and Insurance of Assets**

RESPONSIBILITY	ACTION
DVC (AFPD) AND USERS	<p style="text-align: center;">Start</p> <p>Identification of projects/infrastructure/assets to be implemented, constructed, or acquired in consultation with users</p>
DVC (AFPD)	Presentation of projects/infrastructure/assets proposals to the Management Board to approve
MANAGEMENT OF BOARD	Discussion and approval of the projects/infrastructure/assets. YES/NO
VC/DVC (AFPD)	Presentation of the projects/infrastructure/assets proposal to the Building, Planning and Development Committee of Council for approval. YES/NO
DVC (AFPD)	Allocation of funds to implement the projects/infrastructure/assets proposal
DVC (AFPD)	Overseeing of the implementation of the projects/infrastructure/assets proposal
	End

**vii. Handling of Medical Services Scheme for Staff and Students**

RESPONSIBILITY	ACTION
STUDENT/STAFF	<p style="text-align: center;">Start</p> <p>Subscription to medical policy</p>
STUDENT/STAFF	Application for check up
DVC (AFPD)	Referral of the student/staff member to specialist medical practitioner.
EMPLOYEE, STUDENT	Receipt of medical treatment and bill.
DVC (AFP)	Authorisation of payment for the specialised treatment.
	End