	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

CHUKA UNIVERSITY

Specific Operating Procedure


For

Academic, Research & Extension Management (CU/SOP/DVCA/03)

Document Review Sheet

The signatures below certify that this 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	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)	30.08.2017
Reviewed by	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)/MR	30.09.2017
Approved by	Prof. E. N. Njoka	VICE-CHANCELLOR	30.10.2017

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

CONTENTS

DOCUMENT REVIEW SHEET.....	1
CONTENTS.....	2
1.0 AMENDMENT RECORD.....	3
2.0 GENERAL.....	4
2.1 Purpose.....	4
2.2 Scope.....	4
2.3 References.....	4
2.4 Abbreviations.....	4
2.5 Definitions.....	5
2.6 Responsibility.....	5
3.0 ADMINISTRATIVE STRUCTURE.....	5
4.0 PROCESSES.....	6
4.1. Overview.....	6
4.2. Process for Management of Academic Matters.....	6
4.3. Process for Management of Students’ Disciplinary Issues.....	7
4.4. Process for Management of Academic Discourse Forums.....	8
4.5. Process for Management of Research and Publication Activities.....	10
4.6. Process for Management of Extension and Outreach Activities.....	11
4.7. Process for Management of Graduation Ceremonies.....	13
5.0 RECORDS.....	15
6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES.....	16
6.1 Key Performance Indicators.....	16
6.2 Quality Objectives.....	16
Risk Identification Table.....	19
Risk and Opportunities Register.....	20
APPENDIX: PROCESS MAPS.....	24



Document Ref.:
CU/SOP/DVCA/03

Issue Date:
30th September, 2017

Issue No.:
06

Revision No.:
00


Document Title:
STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT

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

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

2.0 GENERAL

2.1 Purpose

The purpose of this procedure is to ensure that the Academic, Research and Student Affairs Division is administered, managed, coordinated, supervised and controlled effectively and efficiently in compliance with this International Standard and the Chuka University's and Government's statutory policies, procedures and regulations.

2.2 Scope


This procedure applies to and defines all the processes and activities performed by the Academic, Research and Student Affairs head office. The activities concern academic programmes, research and extension services, academic staff conduct, and student welfare.

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)
- Code of Conduct and Ethics for Public Universities, 2003
- Collective Bargaining Agreements (UASU, KUSU, KUDHEIA Workers)
- CU Code of Conduct and Ethics Policy, 2014
- ISO 9001:2015 Standard, Clauses 4 to 10
- CU ISO Quality Management System Manual, 2017
- CU Research Policy, 2013
- CU Performance Contract (Current)
- CU Customer Service Delivery Charter (Current)
- CU Students' Handbook (Current)
- Government Circulars and Relevant Acts
- ISO 9000:2005 Quality Management Systems – Fundamentals & Vocabulary
- KUCCPS D2C Text Document

2.4 Abbreviations/Acronyms

COD	Chairman of Department
CU	Chuka University
DREP	Directorate of Research, Extension and Publications
DVC (ARSA)	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
DVC (AFPD)	Deputy Vice-Chancellor (Administration, Finance Planning & Development)
GSS	Government-Sponsored Students
HOD	Head of Department
HRM	Human Resource Management
KUCCPS	Kenya Universities & Colleges Central Placement Services
MANB	Management Board
ISO M.R.	ISO Management Representative
R (AA)	Registrar (Academic Affairs)
R&E	Research and Extension

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

SENA Senate
SSP Self-Sponsored Programmes
VC Vice-Chancellor

2.5 Definitions

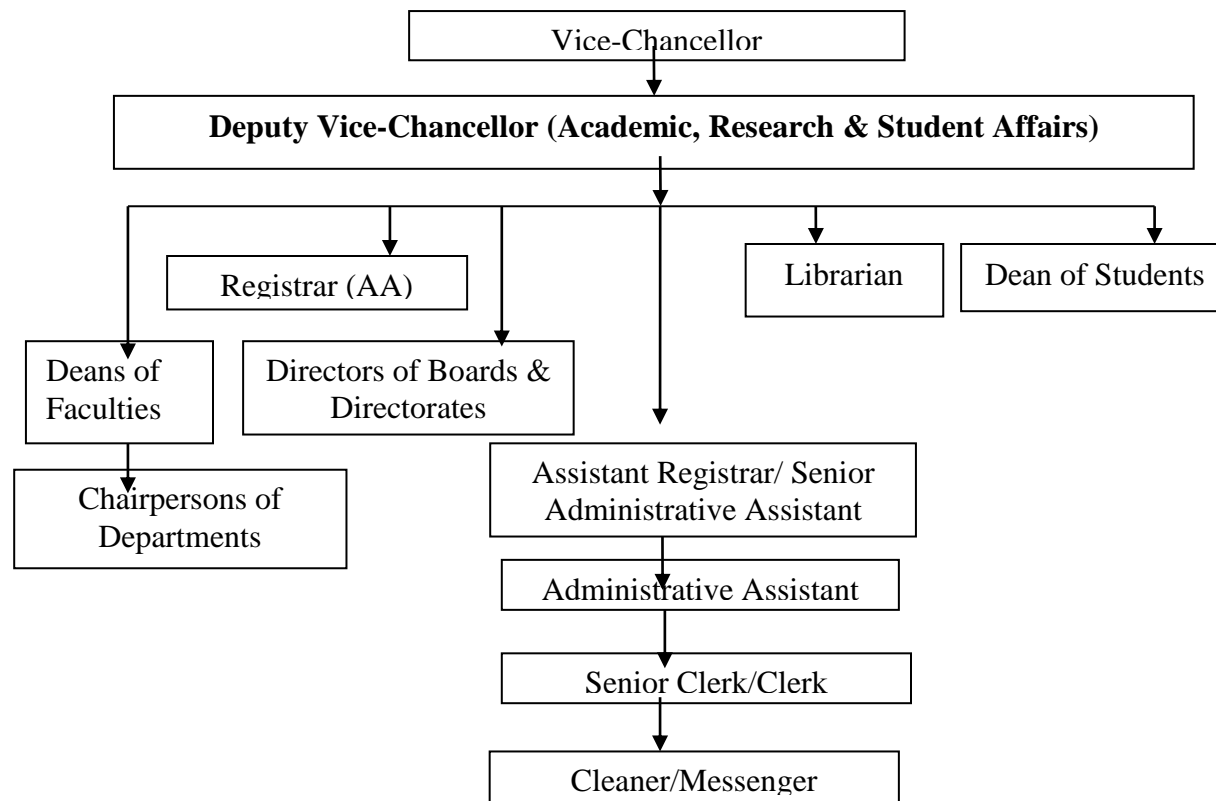
COD: The academic and administrative head of an Academic Department
Dean: The academic and administrative head of a Faculty/Student Welfare Department.
Director: The academic and administrative head of a Board or a Directorate
GSS: Students admitted by KUCCPS and benefit from Government fees subsidy.
SSP Students: Any applicant who applies directly to CU and is privately sponsored, or any applicant admitted to CU other than candidates admitted through KUCCPS.


2.6 Responsibility

The DVC (ARSA) has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose, providing information from which documentation for its processes can be compiled and initiating action to keep the processes up to date. All Departmental staff members are responsible for implementing and following this procedure.

3.0 ADMINISTRATIVE STRUCTURE

Academic Affairs Division is one of the two Divisions within Chuka University. The current administrative structure for the Academic, Research & Student Affairs Division is given below.



	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

4.0 PROCESSES

4.1. Overview

The DVC (ARSA) heads the Academic, Research & Student Affairs Division of the University. The Division heads management of academic, research and extension activities in the University.

The core activities in the Division include:

- (1) Management of Academic Matters
- (2) Management of Students' Disciplinary Issues
- (3) Management of Academic Discourse Forums
- (4) Management of Research and Publication Activities
- (5) Management of Extension and Outreach Activities
- (6) Management of Graduation and Certification Requirements

The above-mentioned activities in the Division are accomplished through:

- (1) Formulation and provision of policy guidelines, rules and regulations on planning, development, implementation, evaluation and management of academic programmes
- (2) Guiding CODs, Deans, and Directors on running of academic programmes and conducting of continuous assessment tests and final examinations
- (3) Overseeing administration of students' welfare services
- (4) Guiding CODs, Deans, and Directors in vocational training services provision.
- (5) Recommending academic staff for training and development
- (6) Managing implementation and maintenance of ISO 9001:2015 QMS
- (7) Heading the Academic Division in the procurement functions

The main quality objectives of the Division include:

- (1) To sustain semesterly procurement of teaching materials and services every semester
- (2) To continuously spearhead and manage implementation of all academic processes
- (3) To regularly spearhead preparation and review of academic policies and curricula
- (4) To annually increase research visibility and participation for all staff and students
- (5) To recommend qualified applicants for training and part-time teaching on a regular basis, and for promotion and recruitment at least once per year
- (6) To annually increase extension and outreach engagements both on- and off-campus
- (7) To annually spearhead implementation of ISO 9001:2015 QMS in Chuka University

4.2 Process for Management of Academic Matters

4.2.1 Source


CU/SOP/VICM/01, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44

4.2.2 Required inputs

- Statutes and Catalogue
- Standards and guidelines
- Various policies

4.2.3 Expected outputs

- Minutes with resolutions

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

- Final lists
- Programmes/Schedules

4.2.4 Receiver

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44, CU/SOP/BPGS/13, CU/SP/BUSF/14, CU/SOP/DREP/39 (Vice-Chancellor, Registrar (AA), Faculty Deans, Chairpersons of Departments, Academic Directors)

4.2.5 Procedure details

	Process Details/Description	Output	Responsibility
1.	A calendar of meetings is prepared/received at the beginning of each academic year	Schedule of meetings	DVC (ARSA)
2.	Matters to be dealt with by the Deans' Committee, Senate, Management Board, or Council are received from Stakeholders	Various requisitioned academic matters	DVC (ARSA)
3.	The items are compiled into agenda which is handed to respective secretariats	Agenda items	DVC (ARSA)
4.	Consultations are undertaken to identify a date to hold the meeting at least two weeks from the date of receipt of the agenda items.		DVC (ARSA)
5.	The Committee/Senate/Board members are invited through 2- to 7-day written notice.	Invitation memo	Registrars
6.	The meeting is held, matters are discussed, and resolutions are made by Committee, Senate, or Board members	Minutes	DVC (ARSA)
7.	Resolutions are communicated to recipients through written media.	Letters, Memos, Circulars	Registrars

4.3 Process for Management of Students' Disciplinary Issues

4.3.1 Source


CU/SOP/VICM/01, CU/SOP/FACU/6-10, CU/SOP/STWD/15, CU/SOP/SESD/30

4.3.2 Required inputs

- Complaint/dispute and Complainant
- Statements of the Complainant/Witnesses
- Disciplinary Committee Panel
- Current Students' Information Handbook
- Relevant supportive Acts, Statutes, Policies, Rules and Regulations
- Suspected student's Academic Records, Personal Files

4.3.3 Expected outputs

- Disciplinary report with findings and recommended verdict

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

4.3.4 Receiver

CU/SOP/VICM/01 (Vice-Chancellor for Senate)

4.3.5 Procedure details

SN	Process Details/Description	Output	Responsibility
1.	Receipt of complaints statement marked by the VC within four weeks from the date of the incident. (Refer to CU/SOP/SESD/30 and CU/SOP/STWD/15)	Compliant Statement	DVC (ARSA)
2.	Constitution of a Students' Disciplinary Committee meeting in accordance with the Students' Information Handbook to deliberate on the matter	Constituted panel	DVC (ARSA)
3.	Drawing of show cause statements with charges	Charge sheets	DOS, R (AA) Security Officer
4.	Identification of a date for sitting to determine the case	Meeting date	DVC (ARSA)
5.	Invitation of the Student Disciplinary Committee members to the hearing of the dispute/complaint	Letter	R (AA)
6.	Chairing of a sitting to listen to complainants and defendants, noting of facts and deliberation of the case	Minutes	DVC (ARSA)
7.	Collation of facts and deliberations	Report	R (AA)
8.	Submission of findings and the recommendations of the Students' Disciplinary Committee to the Senate	Forwarded report	DVC (ARSA) R (AA)
9.	Chairing of the Senate to listen to the SDC report findings and recommendations and passing of the final verdict	Senate Minutes with verdict statement	VC
10.	Communication of the verdict of the Senate to the affected student within two weeks from the date of passage by the Senate.	Letter	R (AA)


4.4. Management of Academic Discourse Forums

4.4.1. Source

Faculties, Departments or Stakeholders

4.4.2. Required inputs

- Forum identification and justification
- Standards and guidelines
- Planning and facilitation experts
- Manuscripts/papers for the forum

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

- Theme, Venue, dates and programme
- Budget

4.4.3. Expected outputs


- Training manual or book of abstract
- Forum proceedings/journal

4.4.4. Receiver

Participants, Convenor, Director, REP, ICT Manager

4.4.5. Procedure details

No.	Process Details/Description	Output	Responsibility
1.	Receiving event (academic, research and training) request from Faculties, Departments or Stakeholders	Requisitioned event(s)	DVC (ARSA)
2.	Scheduling of the event on the University calendar in consultation with Management, Faculties, Departments, and Stakeholders	Calendar of fora meetings	DVC (ARSA) Faculties Departments
3.	Giving the terms of reference to organisers to plan the event	Terms of reference	DVC (ARSA)
4.	Developing a programme, identifying facilitators and drawing a budget and submitting to the DVC (ARSA) for vetting	Programme with facilitators, Draft budget, Minutes	Convenor (Director, Dean, COD, Staff)
5.	Forwarding the budget to VC for approval	Vetted budget	DVC (ARSA)
6.	Approval of the budget	Approved budget	The VC
7.	Invitation of keynote speakers one month to the date of function	Letters of invitation	VC and DVC (ARSA)
8.	Invitation of participants and facilitators	Letters of invitation	Convenor
9.	Holding of the event forum as per the programme and taking notes/proceedings	Rapporteurs' reports	Chairs Rapporteurs
10.	Compiling and reviewing of the notes, reports, manuscripts within 3 months into information communication materials (ICM)	Draft Reports, Manual, Proceedings, Manuscripts (ICM)	Convenor
11.	Submitting the compiled and reviewed ICM to the DVC (ARSA) for editing	Draft ICM	Convenor
12.	Approval of edited ICM for printing.	Final ICM	DVC (ARSA)
13.	Posting of the applicable ICM on the University website	Soft copy on website (www.chuka.ac.ke)	DVC (ARSA) ICT Manager
14.	Processing requisition for the Procurement Department to source for a printer following CU/SOP/PROD/25	Requisition letter with specifications	DVC (ARSA)
15.	Distribution of the printed ICM to users	Hard copy of the ICM	DVC (ARSA)

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

4.5. Process for Management of Research and Publication Activities

4.5.1. Source

CU/SOP/DREP/39

4.5.2. Required inputs

- IRF budget and draft research proposals
- Standards and guidelines
- Expert reviewers
- Author and reviewer guidelines
- Call for proposals

4.5.3. Expected outputs


- Competitive research proposals
- Bi-annual reports/bulletins
- Publications (journal articles, brochures)
- Patents and copyrights

4.5.4. Receiver

CU/SOP/VICM/01 (Vice-Chancellor), CU/SOP/DREP/39

4.5.5. Procedure details

No.	Process Details/Description	Output	Responsibility
1.	Drawing of a schedule and supervising of events for management of the activities. (i) Management of research, extension and publication activities is done in liaison with DREP. (ii) Management entails administration of the internal research funds scheme (reviewing budgets, setting event timelines, supervising evaluation of projects), monitoring preparation of proceedings/manuals/journal, and recommending staff for consultancy.	Annual schedule of events	DVC (ARSA)
2.	Release of a call for proposals for IRF using form CU/DVCA/FORM/A in April of each financial year.	Call for proposals	DVC (ARSA)
3.	Submission and receipt of draft proposals before expiry of the set deadline by Staff, Ph.D. and Master's degree students who must have successfully completed oral defense at Faculty level and registered with the Graduate School	Draft proposals	Director (R&E)


	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

4.	Reviewing of proposals for preliminary mandatory guidelines and returning proposals failing those guidelines to authors to amend if minor, or retain if major/gross.	Minutes	Director (R&E)
5.	Assigning proposals to the reviewers	Minutes	Director (R&E)
6.	Forwarding pre-qualified proposals to reviewers with a cover letter and a review form (Ref: CU/DVCA/FORM/C)	Pre-qualified proposals	Director (R&E)
7.	Reviewing proposals and submitting a report within two (2) weeks	Review report	Reviewers
8.	Holding a meeting to consolidate and average the scores. (a) The winning proposals (60% and above) are recommended for grant award.	Minutes	Director (R&E)
9.	Sending reviewed proposals to authors to amend in 1 week using reviewers' comments	Verified proposals	Director (R&E)
10.	Returning the revised proposals after incorporating the reviewers' comments and returning to DREP	Revised proposal	The PI
11.	Forwarding of the revised proposal plus minutes and review sheets copies	Cover letter and testimonials	Director (R&E)
12.	Vetting and approving the proposals for award of a grant	Vetted proposals	DVC (ARSA)
13.	Issuing an award letter to the Principal Investigator (PI) (CU/DVCA/FORM/D)	Letter of award	Vice-Chancellor
14.	Application for grants in tranches and implementing the research to completion within two years from the date of grant offer.	Requisition letter	PI, Director (R&E) DVC (ARSA) VC
15.	Monitoring & evaluation of the research periodically (refer to CU Research Policy).	Quarterly progress reports	Director (R&E)
16.	Submission of a final report in the prescribed format (CU/DVCA/FORM/B) at the end of the two years by PI's.	Final research report	Director (R&E)
17.	Consolidation, uploading on website and publication of research reports bi-annually.	Bulletins (soft and hard copies)	DVC (ARSA) ICT Manager
18.	Publication of research findings	Referred articles	The PI

4.6. Process for Management of Extension and Outreach Activities

4.6.1. Source

CU/SOP/VICM/01, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44, CU/SOP/BPGS/13, CU/SP/BUSF/14, CU/SOP/DREP/39 (Vice-Chancellor, Faculty Deans, Chairpersons of Departments, Academic Directors)

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

4.6.2. Required inputs

- Activity identification and justification
- Standards and guidelines
- Facilitators
- Budget and programme

4.6.3. Expected outputs


- Established linkages (MOUs, MOAs, Contracts etc.)
- Reports/proceedings/manuals

4.6.4. Receiver

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44, CU/SOP/BPGS/13, CU/SP/BUSF/14, CU/SOP/DREP/39 (Vice-Chancellor, Registrar (AA), Faculty Deans, Chairpersons of Departments, Academic Directors)

4.6.5. Procedure details

No.	Process Details/Description	Output	Responsibility
1.	<p>Identification of linkages, extension and outreach activities.</p> <p>(a) All University Departments engage in pertinent extension and outreach activities.</p> <p>(b) Given Convenors and Director (R & E) coordinate exhibitions, shows, institutional linkages, consultancies and extension programmes in liaison with the VC and DVC (ARSA).</p> <p>(c) Structured linkages and partnerships are formalised through signing of MOUs/MOAs that are drafted, operationalised, monitored and evaluated by respective convenors.</p> <p>(d) The VC signs MOUs, MOAs, Consultancies on behalf of the Council and the DVC (ARSA) witnesses.</p>	Report with identified activities	CODs, Deans, Directors, Convenors, Management
2.	Receiving extension and outreach requests and proposals from stakeholders and forwarding for recommendation		Director (R&E)
3.	Recommending extension and outreach requests and proposals		DVC (ARSA)
4.	Approval of the recommended requests and proposals	Letters of approval	Vice-Chancellor
5.	Drafting MOUs/MOAs for management of the joint project or collaboration	Draft MOUs/MOAs	COD, Dean, Director, Chair etc.

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

6.	Formalisation of the linkages and partnerships through signing of the MOUs/MOAs witnessed by DVC (ARSA)	Signed MOUs/MOAs	Vice-Chancellor
7.	Execution of the extension and outreach event, activity or project	Minutes, rapporteurs' reports, proceedings	Respective COD, Dean, Director, Convenor
8.	Submitting progress reports/ minutes/ proceedings of the event	Progress reports/ minutes/proceedings	Respective COD, Dean, Director, Convenor
9.	Verifying and forwarding the testimonials to the relevant offices including the VC, DVC (ARSA), Director (Quality Assurance & Performance Contracting) and sponsors	Verified reports, minutes, proceedings, manuals	Director (R&E)

4.7. Management of Graduation and Certification Requirements

4.7.1 Source

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/BPGS/13, CU/SP/BUSF/14, (Vice-Chancellor, Registrar (AA), Faculty Deans, Academic Directors)

4.7.2 Required inputs

- Budget
- Graduands' pass lists
- Standards and guidelines
- Graduation committee of experts
- ISO 9001 Standard/QMS Manual

4.7.3 Expected outputs

- Graduation Booklet, Newsletter
- Graduates/Alumni
- ISO Accreditation Certificate

4.7.4 Receiver

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/BPGS/13, CU/SP/BUSF/14, (Vice-Chancellor, Registrar (AA), Faculty Deans, Academic Directors, Industries/employers)

4.7.5 Procedure details

SN	Process Details/Description	Output	Responsibility
1.	Preparation of a calendar of Council meetings and events at the beginning of each Financial Year and including a date for holding graduation ceremony, and communicating the date to the Senate	Council calendar of events schedule	VC



Document Ref.:
CU/SOP/DVCA/03

Issue Date:
30th September, 2017


Issue No.:
06

Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT


2.	Presentation of examination results for finalist students to the Senate to approve to graduate	Graduation Lists	Deans of Faculties
3.	Compilation of contacts of guests and preparation of letters/cards for the Vice-Chancellor to sign and use in inviting the guests, at least one months to the graduation ceremony.	Postage schedule Copies of dispatched letters	R (A&P) and PRO
4.	Drafting, vetting, approving and placing of an announcement advert in the press, latest two weeks to the graduation date	Graduation announcement advert	R (AA) DVC (ARSA) VC
5.	Convening at least four weekly meetings of Graduation Committee, inclusive of Deans' Committee members, from at least two months to the graduation date.	Minutes	DVC (ARSA)
6.	Formation of teams from Graduation Committee members to coordinate various graduation activities. Each team has a convenor. The teams are: (a) Sitting Arrangement, Hospitality and Medical Team; (b) Environment Beautification and Gowns Sorting Team; (c) Publicity (News/ Speeches/ Citations/ Passes/ Cards/Certificates/Booklet) Team; (d) Security, transport, parking and flags team; and (e) Entertainment and Procession Band Team.	Graduation subcommittees	DVC (ARSA)
7.	Planning finer logistics and drawing mini-budgets	Mini-Graduation Budgets	Convenors of Teams
8.	Consolidation of mini-budgets into one consolidated Graduation Ceremony budget	Total Budget	DVC (ARSA)
9.	Forwarding of the consolidated budget to the VC to approve expenditure.	Budget requisition	DVC (ARSA)
10.	Approval of the forwarded budget	Approved budget	VC
11.	Implementation of the approved plans and budget following procurement and departmental operations procedures and due diligence (CU/COP/PROD/25). (a)Sitting Arrangement, Hospitality & Medical Team: Labels students' and guests' seats, dispatches students' cards to Faculties, prepares catering items/services, and sets up first aid needs, two days in advance of the ceremony.	Subcommittee reports	Convenors of Teams

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

	(b)Environment Beautification and Gowns Sorting Team: Starts beautifying the environment through flower planting and buildings painting, at least 3 months in advance; Tidy-up the grounds and decorates necessary premises in earnest, and sorts out graduation gowns, one week to the graduation date. (c)Publicity (News/Speeches/Booklet) Team: Causes to be produced the graduation newsletter, speeches, Car passes, meal cards, citations, certificate templates and wallets, graduation lists' booklet, TV commentaries, PAS, and banners. (d)Security, Transport, Parking and Flags Team: Finalises necessary security, transport, parking and flagging arrangements in liaison with the National and County Governments, one week early. (e)Entertainment and Procession Band Team: Finalises recruiting, coaching and auditioning entertainers and a procession band, one week to the graduation date.		
12.	Conducting of the graduation ceremony	Graduated students/Alumni	VC, DVC (ARSA) R (AA), Deans
13.	Invitation and convening of a post-mortem meeting for the Graduation Committee members to evaluate performance and plan improvements for future ceremonies.	Minutes/Report	R (AA) DVC (ARSA)
14.	Prepare programme for ISO awareness creation and liaise with consultant trainers	Trained staff and ISO internal auditors	ISO M.R.
15.	Prepare ISO Internal audit twice a year	ISO Audit Reports	ISO M.R.
16.	Management Review Meetings are organised and held twice a year after internal auditing	Minutes	Vice-Chancellor ISO M.R.
17.	Liaise early each year for the Certification Body to conduct surveillance audit of QMS	Surveillance reports	ISO M.R.
18.	All ISO documents are regularly updated	ISO records/docs	ISO M.R./HODs

5.0 RECORDS

- (i) Academic/Senate/Council schedules/calendars
- (ii) Minutes/reports of meetings
- (iii) Advertised features from print media and memos
- (iv) Deans' Selection Document containing list of candidates
- (v) Report by the complainants/Statements of accuser, accused and witnesses

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

- (vi) Attendance lists
- (vii) Research proposal review reports/Quarterly and annual progress reports
- (viii) ISO records (retained information), reports, CARs, risk registers


6.0 KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

6.1 Indicators

Number of Council policies approved
Number of Senate resolutions passed
Percentage of complaints resolved
Number of conferences, workshops, seminars held
Number of students approved for admission
Volumes of proceedings, journals and other publications released
Number of proposals recommended for funding
Book of Abstracts, Proceedings Issues, Journal Volumes
Number of signed MOUs/MOAs
Number of graduated students
ISO Accreditation Certificate
Continual improvement and customer & employee satisfaction index
Others are in the Strategic Plan, Division Work Plans and/or Objectives.

6.2 Quality Objectives

Linked Strategic Objective(s):			
SO 2: Provision of Relevant Quality Higher Education and Training			
SO 3: Enhancement of Academic Competitiveness of the University			
QO 1. To sustain semesterly procurement of teaching and learning materials and services			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> • Sensitize CODs through various forums/media thrice per semester • Keep data on student population and academic programmes on offer every semester • Participate in University budgetary allocation and approval meetings once a year 			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
CODs Deans DVC (ARSA) DVC (AFPD)/VC Procurement Officer	Approved budgets Item specifications Purpose specifications Requisition letters Students in session	From 2 weeks to 2 weeks after start of each semester	-No. of requisitions forwarded -Percentage of requisitioned items delivered
Progress review dates/ timelines		Quarterly	
Linked Strategic Objective(s):			
SO 2: Provision of Relevant Quality Higher Education and Training			
SO 3: Enhancement of Academic Competitiveness of the University			
SO 22: Strengthening of University Governance for Effective Decision Making			
SO 26: Improvement of Productivity, Efficiency and Effectiveness			
SO 27: Compliance with Statutory Requirements			

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

QO 2. To continuously spearhead and manage implementation of all academic processes

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

- Convene meetings/forums to deliberate issues/matters at least 15 times per year
- Mobilize staff to regularly participate in academic activities
- Convene sensitization and guidance sessions as need arises with faculty and supervisees

Responsibility	Resources required	Timeline	Measure of success (KPIs)
DVC (ARSA)	Allocated budget Competent staff Standards & guidelines	Annually	-Number of meetings held -Conformance score / complaints/ non-conformities
Progress review dates/ timelines		Quarterly	

Linked Strategic Objective(s):

- 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 22: Strengthening of University Governance for Effective Decision Making
- SO 25: Maintenance and Improvement of Quality Assurance
- SO 26: Improvement of Productivity, Efficiency and Effectiveness
- SO 27: Compliance with Statutory Requirements

QO 3. To regularly spearhead preparation and review of academic policies and curricula

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

- Convene meetings/forums to deliberate the documents as needs/they arise
- Issue standards and guidelines regularly
- Review, edit and improve draft documents as they arise

Responsibility	Resources required	Timeline	Measure of success (KPIs)
CODs/HODs Deans/Directors DVC (ARSA) VC & Council Chair	Expert staff Refreshments' funds Standards & guidelines Stationery	Annually and after a cycle	Number of meetings held Number of approved policies Number of approved curricula
Progress review dates/ timelines		Quarterly	

Linked Strategic Objective(s):


- SO 5: Generation and Dissemination of Research Findings to Interested Parties
- SO 6: Patenting and Commercialization of Research Findings and Innovations


QO 4. To annually increase research visibility and participation for all staff and students

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

- Release/cascade calls for proposals once for internal and as they arise for external
- Vet proposals and recommend funding twice per year
- Review progress reports and recommend improvements quarterly
- Organise training workshops for staff at least once per year
- Support publication of findings in journals and proceedings once per year

Responsibility	Resources required	Timeline	Measure of success (KPIs)
Staff Researchers	Posters of calls	Annually	-Calls cascaded

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017	
	Issue No.: 06	Revision No.: 00	
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT			
DVC (ARSA)	Refreshments funds Stationery Secretariat staff		-Proposals reviewed -Workshops/seminars held -Journals/proceedings issued
Progress review dates/ timelines		Quarterly	
Linked Strategic Objective(s): SO 2: Provision of Relevant Quality Higher Education and Training SO 28: Recruitment and Retention of Qualified Staff SO 30: Development of Motivated Staff SO 31: Enhancement of Gender and Affirmative Action Compliance			
QO 5. To recommend qualified applicants for training and part-time teaching on a regular basis, and for promotion and recruitment at least once per year			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> Review applications in line with required criteria as they are submitted Convene shortlisting of candidates meetings at least twice per year Participate in interviewing/reviewing of candidates at least twice per year Monitor performance of staff regularly and review once per year for possible promotion 			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
R (A&P) CODs/Deans DVC (ARSA) HRTDC Chair VC	Applicants Standards & Criteria Shortlisting/interview schedules/score sheets Stationery	Annually for recruitment Continuously for competence training	-Meetings held -Number of staff recruited -Number of staff trained
Progress review dates/ timelines		Annually and quarterly	
Linked Strategic Objective(s): 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			
QO 6. To annually increase extension and outreach engagements both on- and off-campus			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> Identify stakeholders/interested parties annually Prepare agreements/MOU for signing as needs are identified Recommend applications for staff and students to engage in extension and outreach events Cascade information on extension and outreach opportunities as it arises 			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
CODs DVC (ARSA) VC	Budgetary allocation Stakeholders' needs Staff/students' requisitions	Annually	-Number of outreach activities -Number of signed MOUs
Progress review dates/ timelines		Quarterly	

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

Linked Strategic Objective(s):

- SO 2: Provision of Relevant Quality Higher Education and Training
- SO 4: Implementation of ISO 9001 Standard QMS in Teaching
- SO 25: Maintenance and Improvement of Quality Assurance
- SO 34: Production of Holistic Graduates

QO 7. To annually spearhead implementation of ISO 9001:2015 QMS in Chuka University

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

- Co-ordinate ISO 9001:2015 activities throughout the year
- Review and recommend ISO documents for amendment/approval twice per year
- Convene ISO training and sensitization sessions for staff twice per year
- Organise and implement ISO internal audit programme twice per year in March & September
- Organise ISO management review meetings twice per year in March & September

Responsibility (individual or shared)	Resources required	Timeline	Measure of success (KPIs)
ISO HODs DVC (ARSA)	-SOPs with Processes -ISO Consultant & Certification Body -ISO Audit & MRM schedules -Refreshments' funds -ISO budget -ISO Internal auditors	Annually	-Consultants' reports -ISO reports and audits held -MRM reports and no. held -ISO certificate
Progress review dates/ timelines		Quarterly	



Document Ref.:
CU/SOP/DVCA/03

Issue Date:
30th September, 2017

Issue No.:
06

Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT

APPENDICES

Risk Identification Key

Likelihood	Consequence	Raw Risk (Likelihood x consequence)
1: Low, very unlikely less than 10% chance of occurring	1: insignificant, consequences are very low, can lead to nil/minor disruptions (1 day), leads to no financial losses	1 - 3: Low, managed within existing controls, monitor annually
2: Medium, possible 20% - 60% chance of occurring	2: Moderate, consequences are moderate, disruption can be up to a week, financial loss can be up to \$10,000	4 - 6: Medium, evaluate efficiency of existing controls or implement mitigation plan, monitor quarterly or 6 monthly
3: High, likely to almost certain 70% - 100% chance of occurring	3: Serious, consequences are adverse, can lead to legal prosecutions, media coverage, investigation by statutory body, complete loss of service delivery or financial loss of > \$ 100,000	7 - 9: High, implement mitigation plan immediately, escalate to senior management, monitor weekly or monthly



Document Ref.:
CU/SOP/DVCA/03

Issue Date:
30th September, 2017

Issue No.:
06

Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT

Risk and Opportunities Register

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

Department: CU/SOP/DVCA/03 – DVC (Academic, Research & Student Affairs) Office											
Procedure /Project /Process Name: Academic, Research and Extension Management											
Risk name/ description	Risk consequences	Likelihood (L) of risk	Consequence (C) of risk	Raw Risk (L x C)	Mitigations/ controls (Opportunities source)	Risk owner	Monitoring (When)	LA	CA	RI = LA * CA	EC
1. Management of Academic Matters											
Substandard examinations	Mass failure or mass pass Student complaints	1	1	1	Internal and external moderation of exams	CODs	Annually				
Substandard teaching	Student complaints	2	4	8	Make-ups, evaluate teaching effectiveness	CODs Director, QA	Weekly				
Non-aligned/non-standard curricula	Student complaints Sanctions from regulators Bad reputation Negative publicity Depressed enrolment	1	2	2	Deploy standard course outlines, review pass and enrolment rates, and curricula after a cycle	CODs, Deans, R(AA), Senate	Annually				
Resistance to change/ improvement	Non-compliance with statutory and institutional requirements would end up in penalties & sanctions	3	1	3	Involvement of stakeholders through teams, meetings	Top Management (TM)	Annually				
Misleading claims and non-prudent use of funds	Loss of revenue	2	4	8	Clear policies, protocols Multi-stage vetting Thorough scrutiny	CODs, Deans, TM, Auditors	Weekly				
Out of stock supplies	No goods delivery Students and staff complaints	2	3	6	Pre-qualify several suppliers	Procurement Officer	Quarterly				
Non-specific requisitions	Loss and mis-use of funds	2	4	8	Sensitize staff/users Issue circulars/policies on proper thresholds and testimonials	PO, FO, Auditors DVC(ARSA)	Weekly				
Capacity inadequacy	Poor service delivery Students and staff complaints	1	2	2	Re-assign tasks Train staff on-job Annual recruitment	Top Management	Annually				
Congested calendar	Agenda backlog Negative publicity	1	2	2	Parallel functions Multiple task forces	DVC(ARSA)	Annually				



Document Ref.:
CU/SOP/DVCA/03

Issue Date:
30th September, 2017

Issue No.:
06

Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT

2. Management of Students' Disciplinary Issues

Fictitious/trivial complaints	Resource wastage Negative publicity	2	2	4	Capacitate counsellors and security officers	DOS, Top Management	Quarterly				
Internal or external interference	Ineffective verdicts	1	2	2	Issue Statutes, Students Information Handbook	DOS, Top Management	Annually				
Social misconduct	Upheaval, turmoil, disorder, commotion, disruption	2	4	8	Issue Statutes, tasks and Students Information Handbook	DOS, Top Management	Weekly				

3. Management of Academic Discourse Forums

Low interest from clients and staff	Demoralised staff Poor productivity/ranking Ineffective teaching	1	1	1	Motivate using staff awards, recognitions, promotions and training	DVC(ARSA)	Annually				
Interference/canvas sing	Loss of integrity and fidelity to the law; Litigation; Complaints	1	2	3	Abide by the law/ charter/ standard criteria/ scheme of service/ meritocracy	Top Management	Annually				
Unsuitable applicants	Unfilled vacancies Lean workforce Fatigued employees	2	2	4	Abide by the law/ charter/ policy/ standard criteria/ scheme of service/ meritocracy	Top Management	Quarterly				
Non-authentic testimonials	Null and void offers, resource wastage, poor service delivery	2	4	8	Thorough scrutiny Multi-stage vetting	Top Management	Weekly to Monthly				

4. Management of Research and Publication Activities

Academic fraud	Loss of IPR	2	2	4	Engage reviewers	DVC (ARSA)	Quarterly				
Plagiarism/piracy	Litigation	2	4	8	Anti-plagiarism checks	DVC(ARSA)	Monthly				
Overwhelming workload	Non-consistent service delivery	1	2	2	Parallel functions Multiple task forces	DVC(ARSA)	Annually				
Negative/fear attitude	Poor ranking, missed promotion	1	3	3	Sensitize/demystify in meetings	Director (R&E)	Annually				
Unrealistic donor conditions	Low competitive proposals, Low grants' revenue generation	2	2	4	Training/mentoring/ Form thematic groups	Director (R&E)	Bi-annually				
Imprudent use of funds and poor accountability	Loss of CU & donor funds Bad reputation to donors	2	2	4	Train, vet, monitor & evaluate projects Thorough auditing	Director (R&E) DVC(ARSA)	Bi-annually				



Document Ref.:
CU/SOP/DVCA/03

Issue Date:
30th September, 2017

Issue No.:
06


Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT

	Litigation from donors Low productivity of new knowledge, technologies				Issue guidelines/policies	Auditors					
Interference/canvassing	Loss of integrity and fidelity to the law; Litigation; Complaints	1	2	3	Abide by the law/ charter/ standard criteria/ scheme of service/ meritocracy	Top Management	Annually				
Unsuitable applicants	Unfilled vacancies Lean workforce Fatigued employees	2	2	4	Abide by the law/ charter/ policy/ standard criteria/ scheme of service/ meritocracy	Top Management	Quarterly				
Non-authentic testimonials	Null and void offers, resource wastage, poor service delivery	2	4	8	Thorough scrutiny Multi-stage vetting	Top Management	Weekly to Monthly				
5. Management of Extension and Outreach Activities											
Conflicting interests of clients	Failed CSR projects Broken CSR relationships Low participation and revenue generation	1	2	2	Clear communication and follow-ups Sensitize/assign tasks Reward to motivate	DVC (ARSA) PRO, Top Management	Annually				
Funds exhaustion prematurely	Reduced activity Missed targets	2	3	6	Fundraise Hold events internally	Top Management	Quarterly				
6. Management of Graduation and Certification Requirements											
Mis-processed and non-bona-fide graduands inclusion	Complaints by graduands Litigation Sanctions from regulators	1	2	3	Transition to electronic records, thorough scrutiny in Board and Senate meetings	CODs, Deans, R(AA), FO	Annually & Quarterly				
Intimidating ISO concepts	Non-synchronized/ aligned workforce	2	2	4	Train and sensitize	ISO M.R.	Bi-annually				
Overwhelming ISO QMS requirements	Poor ranking; CARs issuance; Fatigued staff	2	2	4	Fundraise, strategically plan and innovate	Top Management	Bi-annually				
ISO QMS shift mental block/ Slow embracing of QMS	Sanctions from certification body	1	2	2	Regularly demystify Engage champions Share benefits in MRM	ISO M.R.	Annually				
ISO standard agenda and calendar routine	ISO QMS implementation fatigue	1	2	2	Set up full-time ISO coordination office	Top Management	Annually				

Key: LA= Likelihood achieved. CA = Consequence achieved. RI = Risk incidences encountered. EC = Effectiveness of control

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

Opportunities Table


SN	Risk	Opportunities	Action Plan
1	Substandard teaching	Offer pedagogy training workshop	Fourth quarter of 2017/2018 FY
2	Non-aligned/non-standard curricula	Deploy standard course outlines; review curricula after a cycle	Once per semester and once per 4 years
3	Capacity inadequacy	Recruit outstanding graduate assistants	Fourth quarter of 2017/2018 FY
4	Fictitious/trivial complaints	Capacitate counsellors and security officers	Train peer counsellors and induct SDC on disciplinary procedure by 2 nd quarter of 2017/2018 FY
5	Low interest from clients and staff	Motivate using staff awards, recognition, promotion and training	June 2017 and October 2017
6	Non-authentic testimonials	Thorough scrutiny Multi-stage vetting	Throughout the year
7	Academic fraud	Engage reviewers	Third quarter of 2017/2018 FY
8	Unrealistic donor conditions	Training/mentor; Form thematic groups; strength collaborations	Fourth quarter of 2017/2018 FY
9	Imprudent use of funds and poor accountability	Train, vet, monitor & evaluate projects; Thorough auditing; and Issue policies	Throughout the year
10	Funds exhaustion before end of FY	Fundraise and hold events internally	Annually through research conference attendance fee payment
11	Mis-processed and non-bona-fide graduands	Transition to electronic records, thorough scrutiny in Board and Senate	Continuously and once per year
12	ISO QMS shift mental block/ Slow embracing	Regularly demystify; Use champions; and Share benefits during MRM	Once per year, continuously, and twice per year
	Review		Quarterly

APPENDIX: PROCESS MAPS

i. Coordinating Academic Matters

RESPONSIBILITY	ACTION
STAKEHOLDERS/STUDENTS	<p style="text-align: center;">Start</p> <p>Receipt of agenda/applications, 2 weeks to beginning of semester</p>
REGISTRAR (AA)	Compilation and forwarding of applications and other agenda
DVC (ARSA)	Booking of meeting date 10 days in advance
REGISTRAR (AA)	Invitation of the committee members through sending a 7-day notice
DEANS' COMMITTEE MEMBERS	Holding of the meeting
DVC (ARSA)	Presentation of summarised findings to Senate/Management Board for ratification/noting.
SENATE/MANAGEMENT BOARD/COUNCIL	Ratification/Resolution
DEANS/CODS	Implementation
	End

NO
YES


	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

ii. Handling Students' Disciplinary Matters


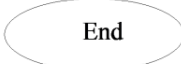
RESPONSIBILITY	ACTION
STUDENT(S)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Disciplinary incident occurrence</p>
VICE-CHANCELLOR	<p>Approval of investigation of incident</p> <p style="text-align: right;">NO YES</p>
DEAN OF STUDENTS OR SECURITY OFFICER DVC (ARSA) DVC (ARSA)	<p>Submission of report within two weeks after the incident (CU/SOP/SECD/30 and CU/SOP/STWD/15) Receipt of investigation report Convening of the Students' Disciplinary Committee meeting within two weeks from receipt of report.</p>
SENATE REGISTRAR (AA)	<p>Approval of recommendation of the Committee</p> <p style="text-align: right;">NO YES</p> <p>Communication of verdict 2 weeks from approval by the Senate.</p> <p style="text-align: center;">End</p>

iii. Organisation of Academic Seminars, Workshops and Conferences


RESPONSIBILITY	ACTION
STAKEHOLDERS/STAFF	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Trainings identification</p>
VICE-CHANCELLOR	<p>Training approval (3 months)</p> <p style="text-align: right;">NO YES</p>
DVC (ARSA) COMMITTEE VC & DVC (ARSA)	<p>Issuance of terms of reference to organising committee/team Event organisation Budget and programme approval</p> <p style="text-align: right;">NO YES</p>
VICE-CHANCELLOR DVC (ARSA) & CONVENOR PARTICIPANTS COMMITTEE DVC (ARSA) WEBSITE MANAGER	<p>Invitation of keynote speakers & presenters (1 month) Invitation of other presenters (1 month) Function attendance Preparation of proceedings Revision, editing, and approval of proceedings for printing Posting proceedings on the University website (www.chuka.ac.ke)</p>
DVC (ARSA) DVC (ARSA)	<p>Forwarding to the printer by Procurement Dept (CU/SOP/PROD/25). Distribution of printed proceedings</p> <p style="text-align: center;">End</p>

	Document Ref.: CU/SOP/DVCA/03	Issue Date: 30th September, 2017
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ACADEMIC, RESEARCH & EXTENSION MANAGEMENT		

iv. Coordination of Research and Publications

RESPONSIBILITY	ACTION
STAKEHOLDERS	 ↓
DVC (ARSA)	Research, extension and consultancy matters Release of a call for internal research funding proposals in April.
STAFF & STUDENTS	Submission of draft proposals within 3 months, upon the expiry of deadline
DVC (ARSA) & BREP	Assigning of reviewers.
BOARD OF RESEARCH, EXTENSION & PUBLICATIONS	Prequalifying proposals
DVC (ARSA)	Forwarding of the proposals to reviewers with a cover letter and a review form (Ref CU/DVCA/FORM C)
REVIEWERS	Reviewing of the proposals and submitting a report within two (2) weeks
OFFICE ASSISTANT	Consolidation and averaging of reviewers' scores.
BREP	Approval of winning proposals (NO/YES)
VICE-CHANCELLOR	Awarding of grant and signing of contract (Ref CU/DVCA/FORM D).
PRINCIPAL INVESTIGATOR	Application for grants in tranches and implementing the research to complete within two (2) years from the date of award offer.
BREP/PI	M&E periodically. Submission of quarterly reports to BREP.
PRINCIPAL INVESTIGATOR	Submission of final report in prescribed format (CU/DVCA/FORM B)
	

v. Coordination of Extension and Outreach Activities

STAKEHOLDERS	 ↓
HODS	All Departments in the University engage in pertinent extension and outreach activities.
VC & DVC (ARSA)	Structured linkages and partnerships are formalised through signing of MOUs/MOAs that are drafted, operationalised, monitored and evaluated by respective HODs.
DVC (ARSA) & VC	VC signs the MOUs/MOAs/Consultancies for University Council DVC (ARSA) witnesses
TEAM LEADERS	Receives and recommends extension and outreach requests and proposals as they are submitted by Departments and the VC approves them.
PARTICIPANTS	Team leaders prepare programmes, budgets, invitations of participants and other logistics for the extension and outreach functions.
TEAM LEADERS	The participants execute the extension and outreach function.
TEAM LEADERS	The team leader writes a progress report submitted to the relevant offices including the VC, DVC (ARSA), Director (QAPC), and sponsors
	