	Document Ref.: CU/SOP/VCIM/01	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR INSTITUTIONAL MANAGEMENT		

CHUKA UNIVERSITY

Standard Operating Procedure


For

Institutional Management (CU/SOP/VCIM/01)

Document Review Sheet

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

Action	Name & Signature	Position	Date
Revised by	Mr. John K. Nkanatha Mr. Benedict Maluni	Ag. Registrar (Administration & Planning) Senior Administrative Assistant I	20.8.2019
Reviewed by	Prof. D. K. Isutsa	Deputy Vice-Chancellor (ARSA) ISO M.R.	20.8.2019
Approved by	Prof. E. N. Njoka	Vice-Chancellor	20.8.2019

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1.0 AMENDMENT RECORD SHEET

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	Reviewed & Approved By
20/8/2019	06	00	7 to 12	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	ISO MR	ISO M.R./VC
20/8/2019	06	00	13	Revised KPIs in quality objectives to be “measurable”	ISO MR	ISO M.R./VC
20/8/2019	06	00	14 to 16	Revised quality objectives to distinguish from routine duties and responsibility, and infused actions that ensure customer satisfaction	ISO MR	ISO M.R./VC
20/8/2019	06	00	18	Revised risks to capture demonstrably binding and persistent ones, and delinked Opportunities from risks	ISO MR	ISO M.R./VC
20/8/2019	06	00	19	Refers to Corporate Opportunities in Strategic Plan	ISO MR	ISO M.R./VC

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2.0 GENERAL

2.1 Purpose

The purpose of this procedure is to ensure that all University core processes and activities are managed effectively to ensure compliance with this International Standard, the Chuka University's and the Government's statutory policies, procedures and regulations.

The Vice-Chancellor is the Chief Executive Officer (CEO) and therefore the overall overseer of all the University operations. Two Deputy Vice-Chancellors: Deputy Vice-Chancellor, Administration, Finance, Planning and Development (DVC [AFPD]), and Deputy Vice-Chancellor, Academic, Research and Students Affairs (DVC [ARSA]) and various departmental and section heads assist in the management of the University. All other departments work under the VC's direction through delegated authority. However, the Internal Audit, Security Procurement and Public Relations Departments report directly to the Vice-Chancellor.

2.2 Scope

This procedure applies to and defines all the processes and activities performed directly by the VC/CEO. All staff in Departments and University are responsible of ensuring it is implemented.

2.3 References

- Kenya Constitution, 2010
- Universities Act No. 42, 2012
- Chuka University Charter, 2013
- Chuka University Statutes, 2014
- CU Strategic Plan (2017-2022)
- ISO 9001:2015 Standard Clauses 4 to 10
- CU ISO Quality Management System Manual
- CUE Regulations, Standards & Guidelines, 2014
- CU Customer Service Charter
- CU Code of Conduct and Ethics Policy, 2014
- Public Audit Act No. 34, 2015
- International Auditing Standards (current)
- International Financial Reporting Standards (current)
- Statutory and management guidelines
- Public Officer Ethics Act, 2003
- Public Procurement and Asset Disposal Act, 2015
- Public Procurement and Asset Disposal Regul, 2015
- State Corporation Act Cap. 446
- CBAs (UASU, KUSU, KUDHEIHA Workers)
- All Other CU Policies


2.4 Definition

CEO Refers to the head of the institution, in this case the Vice-Chancellor.

Potent Risk: Refers to potential raw risk that is anticipated.

2.5 Abbreviations

AA	Administrative Assistant
AR	Assistant Registrar
CBA	Collective Bargaining Agreements
CEO	Chief Executive Officer
CU	Chuka University
CUE	Commission for University Education
DVC (AFPD)	Deputy Vice-Chancellor (Administration, Finance, Planning & Development)
DVC (ARSA)	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
HIV/AIDS	Human Immunodeficiency Virus /Acquired Immune Deficiency Syndrome
ISO	International Organisation for Standardisation

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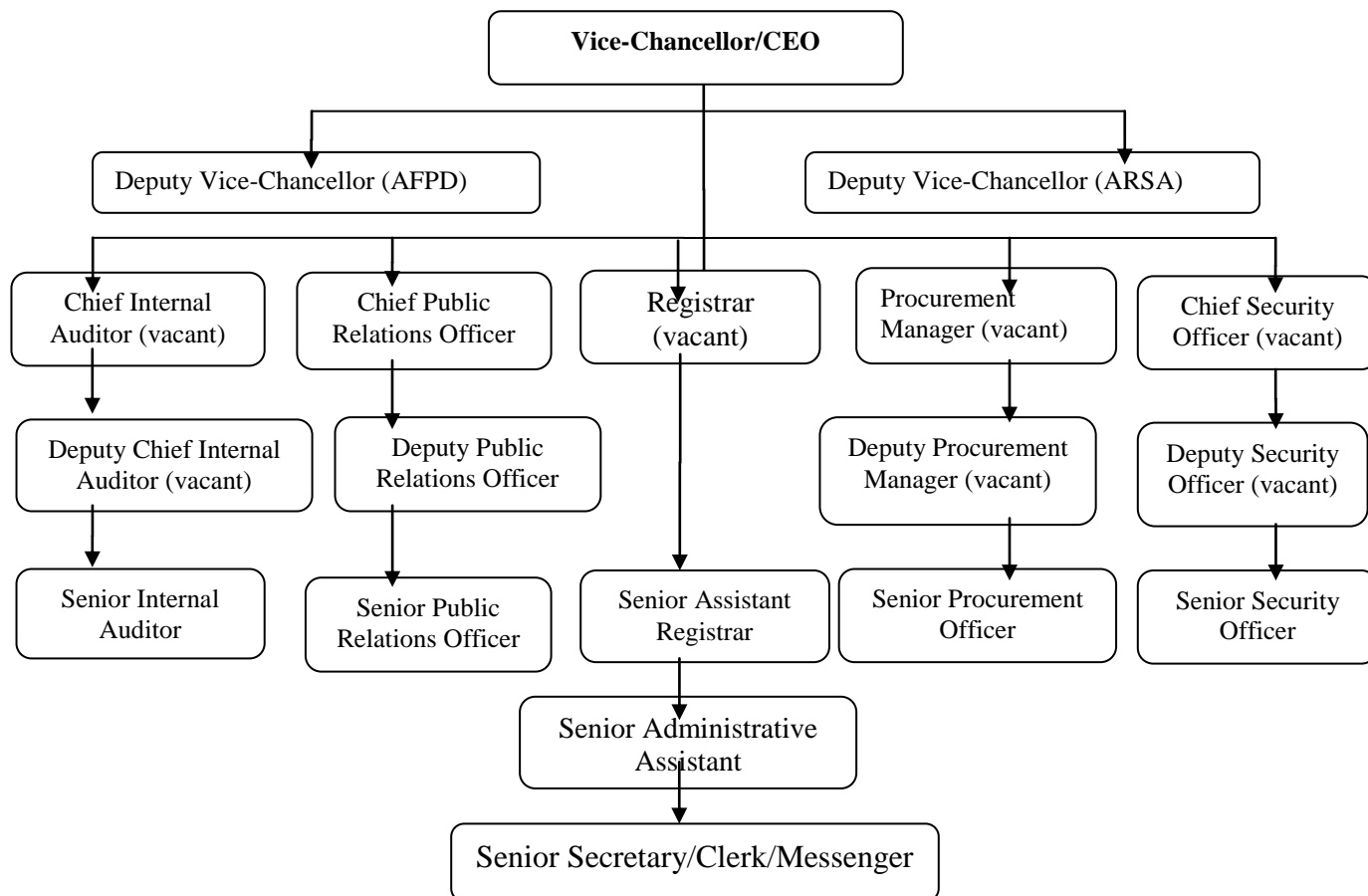
MoE	Ministry of Education
MR	Management Representative
QMS	Quality Management System
R (AA)	Registrar (Academic Affairs)
R (AP)	Registrar (Administration & Planning)
SAA	Senior Administrative Assistant
SO	Strategic Plan Objective(s)
VC	Vice-Chancellor


2.6. Responsibility

The VC/CEO has the primary responsibility of ensuring that these processes are implemented and remain adequate for their intended purpose. The VC/CEO also has the responsibility for providing the information from which the documentation for their processes can be compiled and for initiating action to keep them up to date.

3.0. ADMINISTRATIVE STRUCTURE

The Vice-Chancellor is the overall Head/CEO of the University. The current administrative structure for the Vice-Chancellor's Office is as shown below.



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4.0 PROCESSES

4.1 Overview

The VC is the Academic and Administrative Head of the University. In this regard, the VC is:

- (i) The Chief Executive Officer of the University.
- (ii) The Academic and Administrative Head of the University.
- (iii) The overall officer responsible of the direction, organization, administration and programmes of the University.
- (iv) Secretary of the Council and its committees unless otherwise explicitly stated.
- (v) Responsible for policy matters, planning, and coordination, public relations, fundraising and general development of the University.


The core activities of the office include:

- (i) Management of University meetings
- (ii) Management of publicity, official visitors, memos (generated, communicated, recorded)
- (iii) Coordination of approvals (cheques, requests, contracts, etc)
- (iv) Preparation of CU Master Plans
- (v) Preparation of CU Strategic Plan
- (vi) Preparation and negotiation of the Performance Contract

The other activities overseen by the VC are as given below:

(i) The VC oversees implementation of CU policies including:

- (a) Alcohol and Drug Abuse Policy
- (b) Anticorruption Policy
- (c) ICT Policy and Implementation Strategy
- (d) Code of Conduct and Ethics Policy
- (e) Disability Mainstreaming Policy
- (f) Electronic Waste Policy
- (g) Employee Assistance Policy
- (h) Environment Management Policy
- (i) Fees Payment Policy
- (j) Gender Mainstreaming Policy
- (k) HIV/AIDS Policy
- (l) Human Resource Training and Development Policy
- (m) Information Communication and Technology Policy
- (n) ODEL Policy
- (o) Public Complaints Policy
- (p) Quality Assurance Policy
- (q) Staff Education Fund Policy
- (r) Staff Reward Policy
- (s) Records Management Policy
- (t) Research, IPR and Extension Policy
- (u) Whistle Blower Protection Policy

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(ii) The VC chairs appointment of employees in grades 12 and 13

- (a) The ranks include senior lecturers, lecturers and equivalent administrative positions.
- (b) The VC is an ex-officio member in the appointment committees of all other grades.
- (c) The VC participates in induction of all new staff by briefing them about the institution.
- (d) The VC also appoints Deans, Directors and Department Heads, on behalf of the Council.

(iii) The VC awards scholarships to outstanding graduates

- a) The VC awards scholarships as stipulated in the Chuka University Charter and Statutes.

4.2. Process for Management of University Meetings

Source

MoE; Kenya Constitution, 2010; CUE; Charter; Statutes; CU Council; ISO Departments;

Inputs/Resources

Statutes/Meeting Schedules

Stationery/Committees

Facilitation budget

Outputs

Minutes and reports


Resolutions, Policies and Plans

Receiver(s)

ISO Departments; Council; CUE; MoE; MDAs; Government


Process Details

No.	Description	Output	Responsibility
1.	An annual schedule of Council meetings is prepared in the month of December.	Annual Council Calendar	VC
2.	The VC coordinates preparation of Council documents and invites Council Members to meetings by issuing notices. (a) The VC is the Secretary of Council and Council committees. (b) The VC ensures Council minutes are prepared and kept in safe custody.	Council documents, minutes and invitation letters	VC
3.	Management Board, Senate and other stipulated meetings are held as per the Statutes and the ISO QMS and delegates authority to University Officers as per the Statutes and QMS.	Management and Senate resolutions Appointment letters	VC
4.	The VC oversees convening of meetings in the University.	Committee minutes	Committee chair

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	(a) Each committee has a chair/convenor, secretary and members. (b) Each committee meets as and when provided for in the Statutes. (c) For Council, at least once every quarter. (d) For Management Board, as need arises. (e) For Senate, at least once per semester. (f) For Management Review, twice per year. (g) For Deans' Committee at least thrice/year (h) For Departments, once per three months. (i) For Catering and Accommodation Department at least twice weekly.	Committee minutes Quarterly meetings Council Minutes Management minutes Senate minutes Mgt review reports Deans cttee minutes Departmental minutes Departmental minutes	Committee chair VC DVC-AFPD DVC-ARSA ISO MR DVC-ARSA CoD/HoD HoD
5.	The convenor prepares agenda items.	Agenda	Convenor
6.	The secretary to the committee invites members to the meeting.	Invitation letters	Secretary
7.	The meeting is held and minutes are taken	Minutes	Secretary
8.	The resolutions are communicated by respective chairs/secretaries.	Resolutions	Chair Secretary
9.	The secretary/secretariat ensures that documents are filed and secure.	Filed and secured minutes	Secretary
10.	The chairs, secretaries and secretariats are as shown below for the following committees.		Chairs and Secretaries

Committee	Chair	Secretary/Secretariat
Council	Council Chairman	VC/CEO/Registrar (AP)
Council Committees	Committee Chairs	VC/CEO/Registrar (AP)
Senate	VC	DVC (ARSA)/Registrar (AA)
Management Board	VC	DVC (AFPD)/Registrar (AP)
Interview Panel: Grades 14 & above	Council Chairman	VC/CEO/Registrar (AP)
Interview Panel: Grades 12 & 13	VC	Registrar (AA) or (AP)
Interview Panel: up to grade 11 (Admin)	DVC (AFPD)	Registrar (AP)
Staff Disciplinary: up to grade 11	DVC (AFPD)	Registrar (AP)
Tender	DVC (AFPD)	Procurement Officer
Staff Training	DVC (AFPD)	Registrar (AP)
Staff Welfare	DVC (AFPD)	Registrar (AP)
Interview Panel: up to Grade 11 (Academic)	DVC (ARSA)	Registrar (AA)
Deans' committee	DVC (ARSA)	Registrar (AA)
Bookshop and Library	DVC (ARSA)	Registrar (AA)
Research, Extension and Publications	DVC (ARSA)	Registrar (AA)
Farms and Field Stations	DVC (ARSA)	Registrar (AA)
Student Welfare	DVC (ARSA)	Registrar (AA)
Students' Disciplinary	DVC (ARSA)	Registrar (AA)

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Faculty Board	Deans	AR/SAA/AA
Directorates	Directors	AR/SAA/AA
Graduate School	Director, BPSR	Registrar (AA)
Undergraduate School	Director, BUSF	Registrar (AA)
Departmental Board	CODs/HODs	AA/Clerk
<i>Ad hoc</i>	Nominee	Nominee

4.3. Process for Management of Publicity, Official Visitors, and Memos

Source

ISO Departments; Council; CUE; MoE; MDAs; Government

Inputs/Resources

Appointment schedules and letters

Applicable stipulations/policies/agreements/contracts

Outputs

Notes and Minutes

Receiver(s)

ISO Departments; stakeholders; the public; customers

Process Details

No.	Description	Output	Responsibility
1.	All public relations matters in the University are attended to as they arise	Good image/ publicity of the University	VC PRO
2.	Visitors are attended to as per the appointment schedule maintained in his office.	Appointment diary and notes	VC Secretary
3.	Reports of the Public Complaints Committee are received and acted upon.	Reports	VC/Chair/ PCSC Secretary
4.	Requests are received and appointments scheduled for official visits.	Request letters	VC Secretary

4.4. Process for Approvals (Requests, Cheques, Contracts)

Source

ISO Departments; CU/SOP/FIND/24; CU/SOP/PROD/25


Inputs/Resources

Requisitions; Payment vouchers, Draft contracts

Outputs

Approved requisitions

Signed cheques/contracts

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Receiver(s)

ISO Departments; Suppliers; Contractors; Employees; Payees

Process Details

No.	Description	Output	Responsibility
1.	Expenditure requests are received and approved on a daily basis.	Approved / declined request	VC
2.	Cheques are signed by respective signatories on a daily basis; the VC signs on all since he is a mandatory signatory.	Signed cheques	VC
3.	In the case of contracts, a bid advert is floated to potential service providers.	Signed contract	VC PO
4.	Evaluation report is submitted after deliberation and making of recommendation on award of the contract.	Approved report	VC Evaluation committee chair
5.	The contractual budget is presented to the Full Council to ratify.	Contractual budget	VC

4.5. Process for Preparation of CU Master Plans

Source

CU/SOP/DVCF/02; CU/SOP/PROD/25; CU/SOP/ESTD/27

Inputs/Resources

Required infrastructure

Acreage to accommodate the infrastructure

Professional consultants; Infrastructural regulations

Outputs


Approved Master Plan Drawings

Receiver(s)

BPDC Chair; Council Chair; CU/SOP/DVCF/02; CU/SOP/ESTD/27

Process Details

No.	Description	Output	Responsibility
1.	Master Plans are developed whenever a resource such as land becomes available.	Master Plans	VC Quantity Surveyor
2.	A stakeholders' meeting is held to collect ideas for preparation of the Master Plan.	Minutes	DVC-AFPD
3.	The ideas are submitted to the VC for tabling in the Management Board for approval.	Draft Master Plan	VC
4.	The University Management Board discusses the ideas and approves them.	Minutes	VC

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5.	A tender advert is prepared and placed in the Press for bidders to apply for award of a contract to prepare the Master Plan.	Advert	VC PO
6.	The bidders are evaluated for technical and financial responsiveness by an evaluation committee appointed by the VC.	Tender evaluation report	Evaluation committee
7.	The winning bidder signs a contract with the VC to prepare the Master Plan.	Signed contract	VC PO
8.	The draft Master Plan is submitted for tabling in the Management Board.	Draft Master Plan	VC
9.	The Management Board discusses the draft Master Plan and recommends tabling in the Building, Planning and Development Committee (BPDC) of the Council.	Recommendation	VC
10.	The Building, Planning and Development Committee peruses the draft Master Plan and recommends it for approval by the Full Council.	BPDC approval	BPDC Chair
11.	The Full Council discusses the Master Plan and approves it.	Approved Master Plan	Council Chair
12.	The Master Plan is implemented	Implemented Master Plan	Management

4.6. Procedure for Preparation of the Strategic Plan

Source

Chairman of Strategic Planning Committee

Inputs/Resources

University Statutes

Statutory regulations, Acts

Expert staff and consultants

Outputs

Approved Strategic Plan


Minutes and reports

Receiver(s)

CU HRMC/Council, ISO Departments, CU/SOP/DVCF/02

Process Details

No.	Description	Output	Responsibility
1.	At the end of the Plan period, a core team is constituted to prepare a new Strategic Plan.	Strategic Plan development committee	VC

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2.	The core team holds awareness and brainstorming sessions with the Management and the consultant.	Ideas and plans	Chairman
3.	The core team drafts the Strategic Plan and reviews it.	Draft strategic plan	Chairman
4.	The core team submits the draft to the Senate to critique and suggest improvements.	Draft strategic plan	Chairman
5.	The improved draft is submitted to the Human Resource Management Committee of Council for approval.	Draft strategic plan	HRMC
6.	The final draft is submitted to the Full Council to critique and suggest improvements, which are incorporated by the Council Secretary/ VC/CEO.	Draft strategic plan	Full Council
7.	The VC oversees the printing and launching of the Strategic Plan in a public ceremony.	Final Strategic Plan	VC

4.7. Process for Preparation and Negotiation of the Performance Contract

Source

Government; CU/SOP/DVCF/02; CU/SOP/QAPC/11

Inputs/Resources

Performance Contract guidelines
University Strategic Plan
University Procurement Plan
University Top and Senior Managers

Outputs


Approved Procurement Plan; Minutes

Receiver(s)

Government; CU/SOP/DVCF/02; CU/SOP/QAPC/11; ISO Departments

Process Details

No.	Description	Output	Responsibility
1.	Annual guidelines on target areas for preparation of a Performance Contract are received from the Government from the Month of July	Performance Contract guidelines	VC
2.	The guidelines are forwarded to a PC steering team to prepare a draft Performance Contract	Draft Performance Contract	VC
3.	A Management Board meeting is convened to deliberate on activities and thresholds provided in the draft Performance Contract.	Minutes	Management Board

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4.	The draft is negotiated and vetted by the Ministry of Education/Devolution & Planning, respectively, and the Council Chairman	Draft Performance Contract.	CU Council
5.	The vetted draft is submitted to the Cabinet Secretary for MoE for final signing with the Council Chairman	Signed Performance Contract.	VC
6.	A signed copy is forwarded to the Performance Contracting Secretariat for mid-term monitoring of implementation.	Signed Performance Contract.	Director, QA&PC
7.	The Corporate Contract is signed with the Chairman of the Council at the University, witnessed by the Council members	Signed Performance Contract.	VC Council Chairman
8.	The Corporate PC is cascaded to the DVCs to extract and draft their subcontracts for negotiation, vetting and signing	Cascaded Performance Contracts	VC DVCs
9.	The PC is cascaded in the Divisions for sensitization, negotiation, vetting and signing by all staff in December.	Cascaded Performance Contracts	Deans / Director / CoDs /HoDs
10.	The Contracts are implemented once signing is complete and quarterly progress reports are prepared and submitted to relevant supervisors.	Quarterly progress reports	Contract holder

5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

- a) Council minutes
- b) Senate minutes
- c) Performance Contract reports
- d) Management Board minutes
- e) Management Review Meeting minutes
- f) Other minutes

6.0 KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

6.1. Key Performance Indicators

Number of meetings held per year

Accreditation certificates acquired

Number of staff appointed

Level of implementation of the Master Plan

Level of implementation of the Strategic Plan


Graduation ceremonies held per year

Number of infrastructure established

Level of adherence with legal requirements


Final signed and implemented Performance Contract

Refer to Departmental Annual Work Plans for other indicators


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6.2. Quality Objectives

Linked Strategic Objectives			
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			
Quality Objective 1: To renew and maintain ISO 9001:2015 Certification every three years			
Strategy (Actions/Activities required to achieve the objective)			
Chair Management Review Meetings twice annually			
Sensitize and encourage staff to practice requirements of the QMS			
Approve funds for maintenance of ISO Certification			
RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor ISO M.R.	Financial allocation ISO QMS ISO required reports	Once in 3 years Thrice annually	Number of renewals Number of meetings and audits held
Review dates:	Quarterly		
Linked Strategic Objectives			
SO 22: Strengthening of University Governance for Effective Decision Making			
SO 26: Improvement of Productivity, Efficiency and Effectiveness			
SO 27: Compliance with Statutory Requirements			
SO 30: Development of Motivated Staff			
SO 31: Enhancement of Gender and Affirmative Action Compliance			
Quality Objective 2: To increase appointed and retained qualified staff by at least 10% annually, reflecting gender parity and ethnic balance			
Strategy (Actions/Activities required to achieve the objective)			
Preparation of advert and placing in the daily newspapers for candidates to apply			
Summarization and short-listing of applicants/Perusal of recruitment criteria and needy areas			
RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Registrar (A&P) Vice-Chancellor Committee Chairs	Budgetary allocations Shortlisting criteria Professional evaluators	Annually	Percentage of recruited staff Gender segregation score
Review dates:	Annually		
Linked Strategic Objectives			
SO 3: Enhancement of Academic Competitiveness of the University			
SO 24: Development and Projection of a Positive Image of the University			
Quality Objective 3: To enhance smooth running of operations by pre-empting disgruntlement			
Strategy (Actions/Activities required to achieve the objective)			
Regular address to staff and students			
Monitoring and communicating stipulations from the Government MDAs			
RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor	Schedule of addresses	Thrice annually	Number of addresses
Review dates:	Quarterly		

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Linked Strategic Objectives SO 3: Enhancement of Academic Competitiveness of the University SO 24: Development and Projection of a Positive Image of the University SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 27: Compliance with Statutory Requirements			
Quality Objective 4: To shorten graduation time from December to October/November every year			
Strategy (Actions/Activities required to achieve the objective) Monitoring and evaluation of teaching conduct; Ensuring salaries are paid to staff regularly Encouraging staff to mount demand-driven programmes			
RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor Director, QAPC Deans and CODs	Budgetary allocations Evaluation personnel Faculty staff	Annually	Number of graduates Programmes on offer Date graduation is done
Review dates:	Quarterly		
Linked Strategic Objectives SO 14: Expansion of the University's Financial Resource Base SO 15: Institution of Prudent Management of Financial Resources SO 27: Compliance with Statutory Requirements			
Quality Objective 5: To prepare and submit annual budgets and audit and other reports on time			
Strategy (Actions/Activities required to achieve the objective) Delegate tasks to responsible Departments/officers to prepare the documents Convene Council meetings to approve the budgets and reports			
RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor Finance officer Head of Internal Audit	Meeting budgets Reference manuals Council Committees	Quarterly	Budgets and reports submitted Time the documents are submitted
Review dates:	Quarterly		
Linked Strategic Objectives SO 2: Provision of Relevant Quality Higher Education and Training SO 7: Strengthening of Science, Engineering and Technology Capacity SO 11: Development of Learning Facilities to Provide a Conducive Living and Learning Environment SO 26: Improvement of Productivity, Efficiency and Effectiveness			
Quality Objective 6: To increase procurement of goods, services and infrastructure to 100% annually			
Strategy (Actions/Activities required to achieve the objective) Prepare annual procurement plan and adhere to it Approve requisitions for implementing the procurement plan; Approve LPOs and supplier payment cheques			
RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor Procurement Officer Finance Officer	Budgetary allocation Procurement Plan Prequalified suppliers	Monthly	% of annual budget absorbed Variety of goods, services and infrastructure procured
Review dates:	Daily		
Linked Strategic Objectives SO 2: Provision of Relevant Quality Higher Education and Training SO 3: Enhancement of Academic Competitiveness of the University			

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SO 8: Enhancement of Environmental Conservation
SO 11: Development of Learning Facilities to Provide a Conducive Living and Learning Environment
SO 26: Improvement of Productivity, Efficiency and Effectiveness
SO 30: Development of Motivated Staff
SO 34: Production of Holistic Graduates

Quality Objective 7: To provide a secure learning and working environment for 7 up from 5 Faculties

Strategy (Actions/Activities required to achieve the objective)

Steer construction of approved infrastructure
Conduct consultative meetings with stakeholders
Ensure meetings are held as scheduled

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor Committee Chairs	Budgetary allocations Identified stakeholders Committees in Statutes Approved contractors	Quarterly	Completed infrastructure Change in security incidences noted Variety of security installations

Review dates: Monthly

Linked Strategic Objectives

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 24: Development and Projection of a Positive Image of the University
SO 26: Improvement of Productivity, Efficiency and Effectiveness
SO 27: Compliance with Statutory Requirements

Quality Objective 8: To increase adherence to and compliance with University policies, regulations and procedures from 95% to 100%

Strategy (Actions/Activities required to achieve the objective)


Regularly review and apply the policies, regulations and procedures
Regularly sensitize staff to adhere to the policies, regulations and procedures

RESPONSIBILITY	RESOURCES REQUIRED	TIMELINE	MEASURE OF SUCCESS (KPIs)
Vice-Chancellor All Staff and students	Policies, regulations and procedures	Quarterly	Number of policies, regulations and procedures in use

Review dates: Daily


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

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Risk Identification Table

Department: Office of the Vice-Chancellor.			
Ref.: CU/SOP/VCIM/01			
Project /Process Name: Institutional Management			
SN	Risk	Source (How can the risk occur)	Impact (What is the impact of the risk occurring)
1	Master Plans that do not meet approval of regulatory bodies	Overlooking of regulations/guidelines Non-involvement of stakeholders	Inability and delayed development of necessary infrastructure
2	Non-availability of resources to support prepared Strategic Plan	Financial imprudence/mis-use	Inability to meet goals, objectives, mandates, mission and expectations
3	Sudden changes in Performance Contract requirements and lethargic actualization	Change of Government structures and policies	Inability to meet targets Poor ranking and reputation
4	Failure to meet ISO 9001:2015 Standard requirements and abide by CUE regulations	Failure to own and integrate ISO requirements with usual institutional business	Withdrawal of accreditation status Drop in competitiveness and best practices
5	Failure of appointed and retained staff to abide by expectations & standards	Low motivation rewards, staff development/succession planning, discipline/sanction/separation & counselling as need arise	Inability to deliver services Customer complaints Ruined reputation and competitiveness
6	Political turmoil Crisis scenarios Industrial action	Political intolerance/low democratic practices Poor relations with all stakeholders/members	Interrupted learning Delay in graduation of students Student / staff protests
7	Delivery of poor & sub-standard goods & services by suppliers	Weak vetting and prequalifying of suppliers and failure to monitor their services	Poor service delivery Litigation Inability to run business Customer dissatisfaction
8	Non-conducive learning & working environment due to climate change	Low awareness sensitization of CU members to assist keep the environment conducive Late implement of planned projects	Inability to run business Customer dissatisfaction
9	Dissemination of inaccurate and unverified information	No approval/verification of external communication	Damaged institutional reputation/Misinformation Boycott of products and services by clients
10	Strained community relations	Non-involvement of community in mutual projects No CSR activities	Low cooperation in projects by community Lack of good will and support from community
11	Legal / regulatory non-compliance	Failure to follow University policies/ignorance Failure to comply with regulatory requirements	Litigation/sanctions Policy misunderstanding or misinterpretation

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Risk Register

Note: Standard alone opportunities for this SOP shall be the corporate ones under SWOT in the QMSM

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	Likelihood (L)	Consequence (C)	Potent Risk (L x C)	Mitigations/controls (Opportunities source)	Risk Owner	Monitoring	Actual Risk as @ 20/8/2019				
								LA	CA	RI = LA*CA	RR% = RI/PR	CE%
Master Plans that do not meet approval of regulatory bodies	Inability and delayed development of necessary infrastructure	1	3	3	Involve all stakeholders Thoroughly vet consultants Follow regulations	Vice-Chancellor Head, Procurement Dept	Semi-annually	1	1	1	33	67
Non-availability of resources to support prepared Strategic Plan	Inability to meet goals, objectives, mandates, mission and expectations	2	3	6	Vigorously fundraise Practice financial prudence	Vice-Chancellor DVC (AFPD) Finance Officer	Monthly	2	0	0	0	100
Sudden changes in Performance Contract requirements and lethargic actualization	Inability to meet targets Sanctions from Government Poor ranking and reputation	2	3	6	Closely liaise with the PC Secretariat and MDAs Demystify the PC through internal workshops	Director, QAPC Vice-Chancellor HODs	Quarterly	2	1	2	33	67
Failure to meet ISO 9001:2015 Standard requirements and abide by CUE regulations	Withdrawal of accreditation status Drop in competitiveness, best practices and recognition	2	2	4	Demystify and integrate ISO requirements with usual institutional business Sensitize staff on CUE requirements	Vice-Chancellor ISO M.R. HODs	Semi-annually	1	1	1	25	75
Failure of appointed and retained staff to abide by expectations & standards	Inability to deliver services Customer complaints Ruined reputation and competitiveness	2	3	6	Reward to motivate and conduct development/ succession planning, discipline/sanction/separate & counsel	Vice-Chancellor DVC (AFPD) R (A&P)	Monthly	2	1	2	33	67
Political turmoil Crisis scenarios Industrial action	Interrupted learning Delay in graduation of students Student / staff protests	3	3	9	Cultivate cordial relations with all stakeholders Organise joint meetings	Top Management HODs	Weekly	3	1	3	33	67
Delivery of poor & sub-standard goods & services by suppliers	Poor service delivery Litigation Inability to run business Customer dissatisfaction	3	3	9	Thoroughly vet and prequalify suppliers and monitor their services	Head of Procurement Department	Weekly	2	2	4	44	56
Non-conducive learning & working environment due to climate change	Inability to run business Customer dissatisfaction	1	3	3	Sensitize CU members to assist in keeping the environment conducive Implement planned projects on time	Top Management HODs	Semi-annually	1	1	1	33	67
Dissemination of inaccurate and unverified information by competitors	Damaged reputation Boycott of products and services by potential clients	3	2	6	Approve all external communication Verify before informing PRO to oversight external communication	Vice-Chancellor PRO HODs	Daily	3	1	3	50	50
Strained community relations	Low cooperation in projects by community Lack of good will and support from community	2	3	6	Involvement community in mutual projects Build and sustain good relations with community through CSR activities	Vice-Chancellor Head of Public Relations	Quarterly	2	0	0	0	100
Legal / regulatory non-compliance	Litigation/sanctions Policy misunderstanding or misinterpretation	3	3	9	All CU members to follow University policies Comply with all regulatory requirements	Vice-Chancellor Legal Officer HODs	Quarterly	2	1	2	22	78

Key: LA= Likelihood Achieved. CA = Consequence Achieved. RI = Risk Incidences encountered. RR = Residual Risk. EC = Effectiveness of Control
Potent Risk (PR): Refers to potential raw risk that is anticipated. EC% = 100% - RR%


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Corporate Opportunities Status as @ 20/8/2019

SN	Corporate Opportunities	Action Plan	Timeline	Effectiveness (%)
1.	Increasing demand for higher education	Increased academic programmes to nearly 200 Opened 5 satellite campuses Increased infrastructural development Increased academic staff recruited and employed Increased staff recruited to conduct high level research	Annually	100%
2.	Environment requiring conservation through research and extension	Landscaped University grounds Conducted research in geographical imaging of quarried grounds Organized government funding to tarmac Chuka Town	Annually	70%
3.	Populous catchment areas and growing national population	Increased academic programmes Opened 5 satellite campuses Increased infrastructural development Increased staff recruited and employed Increased academic programmes advertisement and marketing using print, radio and TV broadcast Increased admission of qualified applicants	Annually	60%
4.	Community goodwill and support	-Accepted land donations in Ndagani (50 acres), Kairini (500 acres), Mwanjati (73 acres), Mukuuni (26 acres), Chogoria (50 acres), Tharaka (73 acres), Igembe (78 acres) -Accommodation of students > 22,000 units in neighbouring community estates -Engaged in 7 corporate responsibility services (Nkuthika Water, Nkuthika Primary School, Rukindu Water, KK Mwenda Water Services Pipes I, KK Mwenda Water Services Pipes II, Mungoni Chief's Camp Toilet Block, Elderly food donation) -Acquired fire-fighting engine and rapid intervention vehicle that assists put out community fire and related emergencies -Established a dispensary at Kairini University Farm to serve the neighbouring community	Annually	100%

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SN	Corporate Opportunities	Action Plan	Timeline	Effectiveness (%)
5.	Accessibility and good communication network	-Tapped fibre optic cable for internet connectivity of the University premises and satellite campuses -Secured convenient flow and communication of businesses, stakeholders, visitors and service providers to and from the University	Annually	90%
6.	Proximity to rapidly growing urban centres	-Prepared and launched evening, weekend and work-based academic programmes and courses -Opened a campus in Embu, Chogoria and Nairobi CBD	Annually	75%
7.	National and County Governments (Devolved Government)	-Sourced bursaries from HELB and CDF kitties -Tarmacked Chuka Town Business District	Annually	75%
8.	Favourable immediate catchment areas	-Sourced locals to provide labour for capital projects -Sourced food for students from local community -Enhanced Self-Sponsored Student admission	Annually	90%
9.	Potential funding/grant agencies	-Trained staff and students to draft proposals to compete for research and development grants -Organised, prepared theme/calls, and applied for research conference and development grants	Annually	75%
10.	Availability of scholarships and fellowships, donors and partners	-Permitted staff and students to apply for the scholarships and fellowships for further training	Annually	70%
11.	Proximity to Mount Kenya	-Utilized it as a site for practical training of students, generation of research ideas, and conducting of research projects -Tapped water from its rivers to serve the University	Annually	100%
12.	Kenya's attainment of middle income economic status	-Secured increased exchequer capitation to the University to pay salaries and develop infrastructure	Annually	50%

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APPENDIX I: PROCESS MAPS

i. Management of University Meetings


RESPONSIBILITY	ACTION
VC	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p>
MANAGEMENT	Preparation of an annual schedule of meetings in the month of December
VC	Preparation of Council documents Invitation of Council Members to meetings by issuing notices.
MEMBERS	Attendance of meetings
SECRETARIAT	Preparation of minutes
VC	Storage of minutes
MANAGEMENT	Implementation of resolutions <p style="text-align: center;">End</p>

ii. Convening of University Meetings


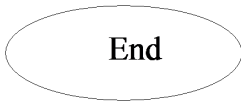
RESPONSIBILITY	ACTION
CONVENOR/CHAIR SECRETARY	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p>
CHAIR	Receiving of agenda from stakeholders Scheduling of meetings Issuance of notices for meeting
SECRETARY/ SECRETARIAT	Distribution of minutes of prior meetings in time
CHAIR	Chairing of the meeting
SECRETARY/SECRETARIAT	Ensuring meeting goes on as per the agenda and timelines Recording of proceedings of meetings
CHAIR/SECRETARY	Safe keeping of minutes Communicating resolutions of the meeting <p style="text-align: center;">End</p>


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iii. Publicity and Official Visits


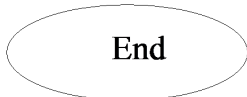
RESPONSIBILITY	ACTION
VISITOR	<div style="text-align: center;">  <p>Start</p> </div> <p>Makes a request</p>
PERSONAL ASSISTANT	Scheduling of visits and recording them in the Diary
VC	Attending to Head Office visitors as per the appointment schedule
VC	Approving of all visits by parties/officials
VC	Receiving of and acting on reports of visitors
Public Relations Officer	Replies to visit requests
VISITOR(S)	Embarking on the visits
VC /PRO	Liaising with media houses to ensure positive media coverage
PRO	Prepares media briefs/releases and advertisements
VC	Appointing Show/Exhibitions Committee
PRO	Erecting billboards/banners in public places for publicity purposes

iv. Coordination of approvals (cheques, requests, contracts, etc.)


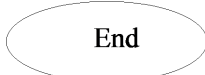
RESPONSIBILITY	ACTION
User/Staff	<div style="text-align: center;">  <p>Start</p> </div> <p>Making of expenditure request</p>
FINANCE OFFICER	Raising payment vouchers/cheques
VC DEPUTY CHANCELLORS	VICE Approval of requests
SIGNATORIES: VC, DVC (AFPD) FINANCE OFFICER	Signing of cheques
PROCUREMENT DEPARTMENT	Floating of Tender Adverts
VC	Appointment of Tender Evaluation Committee
TENDER COMMITTEE	Discussion of Tender Evaluation Report Awarding of tender contracts
VC	Writing to suppliers/contractors award/regret letters
VC	Signing of all contractual agreements
	<div style="text-align: center;">  <p>End</p> </div>


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vi. Procedure for Preparation of CU Master Plans

RESPONSIBILITY	ACTION
VC	<div style="text-align: center;">  <p>Start</p> </div>
DVC (AF&P)	Availability of resource such as land Holding of a stakeholders' and users' meeting to collect ideas for preparation of the Master Plan.
VC MANAGEMENT BOARD	Approval of ideas.
PROCUREMENT DEPARTMENT VC	Preparation of a tender advert to place in the daily newspapers for bidders to apply for award of a contract to prepare the Master Plan.
EVALUATION COMMITTEE	Evaluation of bidders' technical and financial responsiveness
WINNING BIDDER VC VC	Signing of a contract to prepare the Master Plan. Submission of draft Master to Management Board for recommendation
BUILDING, PLANNING AND DEVELOPMENT COMMITTEE FULL COUNCIL	Submission to the Building, Planning and Development Committee of the Council to discuss and recommend for approval by the Full Council. Approval of the final Master Plan
MANAGEMENT	Receiving of approved Master Plan for implementation.
	<div style="text-align: center;">  <p>End</p> </div>

vii. Coordinating Strategic Plan

RESPONSIBILITY	ACTION
VC	<div style="text-align: center;">  <p>Start</p> </div>
CORE TEAM, MANAGEMENT & CONSULTANT	Appointment of a core team to draft the Strategic Plan Identification of an expert consultant
CORE TEAM	Retreating and holding of awareness and brainstorming sessions to find key content to include in the Strategic Plan Drafting and reviewing of the Strategic Plan
TOP MANAGEMENT	Submission to the Senate to suggest improvements Submission to the Human Resource Management Committee of Council to suggest improvements
VC/SECRETARY/CEO	Submission to Council to suggest improvements to be incorporated
VC and DVC-AFPD	Submission to a printer to produce copies Arrangement of launching in a public ceremony
	<div style="text-align: center;">  <p>End</p> </div>

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viii. Procedure for Preparation and Negotiation of the Performance Contract

RESPONSIBILITY	ACTION
VC	<p style="text-align: center;">Start</p> <p>↓</p> <p>Receipt of revised guidelines from the Government in July Forwarding of guidelines to PC preparation team</p>
VC	<p>Receipt of the PC draft from PV preparation team and submission to Management Board to discuss and recommend.</p>
VC	<p>Tabling of PC draft to Management to agree on activities and thresholds in the Performance Contract.</p>
VC & COUNCIL CHAIRMAN	<p>Negotiation, vetting and signing of the PC in August.</p>
VC & COUNCIL CHAIRMAN	<p>Submission to the Cabinet Secretary, MoE for final signing in September. Forwarding a copy to Performance Contract Secretariat for monitoring</p>
VC & COUNCIL CHAIRMAN	<p>Signing of the PC, witnessed by Council members in October.</p>
VC	<p>Cascading to DVCs to extract and draft subcontracts for negotiation, vetting and signing in the month of November.</p>
DEPUTY VICE-CHANCELLORS	<p>Cascading down the divisional chain of command for sensitization, negotiation, vetting and signing by all staff in the month of December.</p>
ALL UNIVERSITY STAFF	<p>Implementation of Performance Contract, writing and submission of quarterly progress reports to relevant monitoring and evaluation teams.</p> <p style="text-align: center;">End</p>