	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

CHUKA UNIVERSITY


Standard Operating Procedure

Quality Assurance & Performance Contracting (CU/SOP/QAPC/11)

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
Revised by	Ms. Florence M. Muthee	Director, QAPC	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

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

COVER

PAGE..... 1

DOCUMENT REVIEW SHEET..... 1

CONTENTS..... 2

1. AMENDMENT RECORD..... 3

2. GENERAL..... 4

2.1 Purpose..... 4

2.2 Scope..... 4

2.3 References..... 4

2.4 Abbreviations..... 4

2.5 Definitions..... 4

2.6 RESPONSIBILITY..... 5

3.0 ADMINISTRATIVE STRUCTURE..... 5

4. PROCESSES..... 5

4.1. Overview..... 5

4.2 Process for Evaluation of Teaching Effectiveness..... 6

4.3. Process for Analysing External Examiners’ Reports for Postgraduate Students..... 7

4.4. Process for Implementation and Monitoring of the Performance Contract..... 8

4.5. Process for Implementation and Monitoring of the Strategic Plan..... 9

4.6. Process for Implementation, Monitoring and Evaluation of the QMS..... 10

5. RECORDS/RETAINED DOCUMENTED INFORMATION..... 12

6. KEY PERFORMANCE INDICATORS/OBJECTIVES..... 13

6.1. Key Performance Indicators..... 13

6.2 Departmental Quality Objectives..... 13

RISK IDENTIFICATION TABLE..... 13

RISK REGISTER..... 18

OPPORTUNITIES REGISTER..... 18

APPENDIX A: EVALUATION OF TEACHING EFFECTIVENESS FORM..... 20

APPENDIX I: PROCESS MAPS..... 24




	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

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	Reviewed & Approved By
20/8/2019	06	00	6 to 9	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	Director, QAPC	ISO M.R./VC
20/8/2019	06	00	13	Revised KPIs in quality objectives to be “measurable”	Director, QAPC	ISO M.R./VC
20/8/2019	06	00	13 to 15	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	Director, QAPC	ISO M.R./VC
20/8/2019	06	00	16 to 17	Revised risks to capture factually binding and persistent ones	Director, QAPC	ISO M.R./VC
20/8/2019	06	00	18	Generated stand-alone Opportunities for the Directorate and de-linked them from Risks	Director, QAPC	ISO M.R./VC

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

2.0 GENERAL

2.1 Purpose

The purpose of this procedure is to ensure that all the activities of the Directorate are planned, performed/implemented, monitored, evaluated and managed effectively and to the highest quality standards to ensure compliance with the International Standard and the University's requirements, as well as the Government's statutory policies, procedures and regulations.

2.2 Scope


This procedure applies to and defines all the processes and activities carried out by the Quality Assurance and Performance Contracting Directorate.

2.3 References

- Kenya Constitution, 2010
- Universities Act No. 42 of 2012
- CUE Regulations, Standards and Guidelines, 2014
- CU Charter, 2013
- CU Statues, 2014
- CU Strategic Plan, 2017-2022
- Chuka University Quality Assurance Policy
- ISO 9001:2015 Standard, Clauses 4 to 10
- CU ISO Quality Management System Manual (current)
- CU Catalogue, 2016
- Customer Service Charter (Current)
- Kenya Vision 2030
- Third Medium Term Plan, 2018-2022
- National Education Sector Plan, 2018-2022
- Performance Contract and Guidelines (Current)

2.4 Abbreviations

AMR	= Assistant Management Representative
CODs	= Chairpersons of Department
CU	= Chuka University
Director (QAPC)	= Director (Quality Assurance and Performance Contracting)
DVC (ARSA)	= Deputy Vice-Chancellor (Academic, Research & Student Affairs)
DVC (AFPD)	= Deputy Vice-Chancellor (Administration, Finance, Planning & Development)
HODs	= Heads of Departments
MoE	= Ministry of Education
MR	= Quality Management Representative
PC	= Performance Contract
QMS	= Quality Management System
VC	= Vice-Chancellor

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

2.5 Definitions

COD: The in-charge of academic Department in the University.

HOD: The in-charge of distinct Division, Department, or Section in the University.

Product: Refers to goods, services, works or products offered by the provider to a customer.

Quality Assurance: Refers to guaranteeing of the fitness for purpose of a given product.

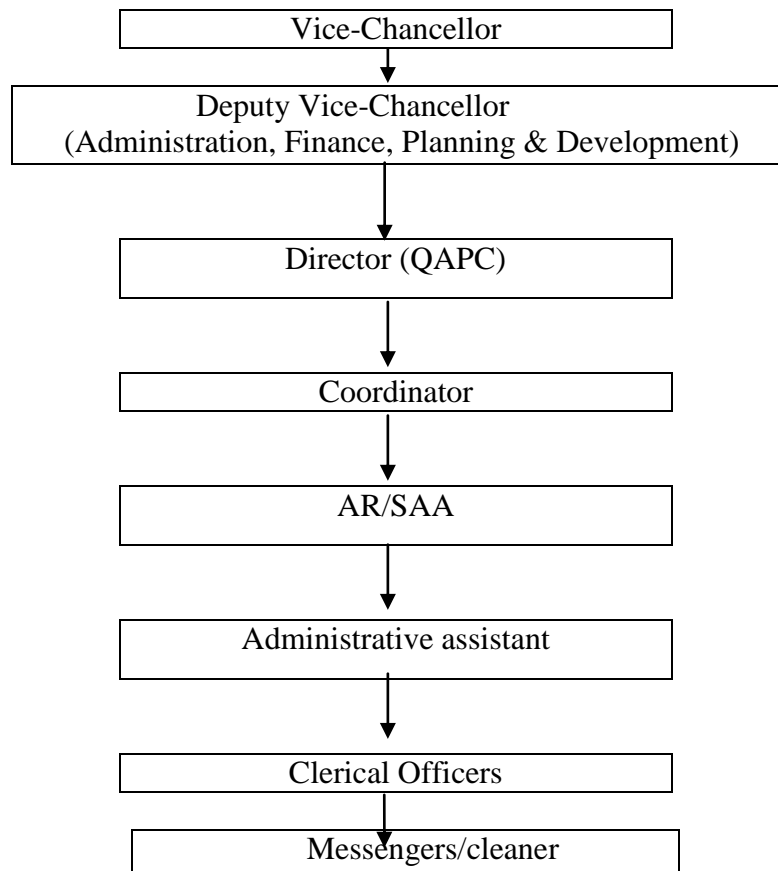
Potent Risk: Refers to potential raw risk that is anticipated.


2.6 Responsibility

The Director (Quality Assurance and Performance Contracting) has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose and for providing the information from which the documentation of their processes can be compiled and for initiating action to keep them up to date. All departmental staff members are responsible for implementing and ensuring that this procedure is followed.

3.0 ADMINISTRATIVE STRUCTURE

The administrative structure for the Directorate of Quality Assurance and Performance Contracting in the University is as follows:



	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

4.0 PROCESSES

4.1. Overview

The Directorate (QAPC) is responsible for the University's activities related to Quality Assurance and Performance Contracting in the University.

The core activities of the Directorate include:

- (i) Handling quality assurance activities including administering undergraduate student evaluation of teaching effectiveness and analysing external examiners' reports for Postgraduate Students' theses.
- (ii) Sensitizing staff on Quality Assurance, Performance Contracting and Strategic Plan.
- (iii) Monitoring implementation of PC targets and preparation of its reports.
- (iv) Acting as a liaison between the University and Government agencies on PC matters.
- (v) Monitoring and evaluating implementation of the Strategic Plan.
- (vi) Coordinating QMS implementation, monitoring and evaluation.

4.2. Process for Evaluation of Teaching Effectiveness

4.2.1 Source

CU/SOP/ACAD/16-21; 34-37; 42-44; C/SOP/EXTT/12

4.2.2 Required inputs/ Resources

- Budgetary allocation
- Standards and guidelines
- University Statutes
- Policies
- Course allocation schedules
- Stationery
- Teaching timetables
- Resource persons (staff)

4.2.3 Expected outputs

- Duly filled evaluation forms
- Written feedback to lecturers
- Summarized Evaluation Reports


4.2.4. Receiver

Top Management, Lecturers

4.2.5. Process details

No.	Process Details/Description	Output	Responsibility
1.	A schedule is prepared at the beginning of the semester and as need arises for evaluation of teaching effectiveness	Evaluation schedule	Director QAPC
2.	Every semester, in the 7 th week a memo is	Written Memo	Director QAPC



	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

	issued to evaluate teaching effectiveness in the 9 th and 10 th weeks. (a) Evaluation is done as per the schedule prepared at the beginning of the semester and as need arises in coordination with CODs		
3.	Evaluation forms are distributed to students in the 8 th and 9 th week by staff attached to the Director (QAPC) and CODs office (CU/QAPC/FORM/1). The forms are filled in class and returned to the distributing staff to return them back to the Office of the Director (QAPC)	Duly filled evaluation forms	CODs of the scheduled Departments
4.	Evaluated courses are registered in the register book	Evaluation register	Clerk/AA SAA
5.	Analysis of the dully filled forms is done a month from the date of completing the forms.	Analysis report	Clerk/AA SAA
6.	Written feedback is communicated to staff within two months from the date of receipt	Written feedback to staff evaluated.	Director QAPC
7.	A summary report on evaluation results is submitted to Vice-Chancellor and DVCs for further action	Summarised report	Director QAPC

4.3. Process for Analysing External Examiners' Reports for Postgraduate Students' Theses

4.3.1. Source

CU/SOP/BPGS/12

4.3.2. Required inputs/Resources


- Budgetary allocation
- Standards and guidelines
- Policies
- External examiners' theses reports for six months
- Resource persons (staff)

4.3.3. Expected outputs

- Written external examiners' reports
- Recommendations

4.3.4. Receiver(s)

CU/SOP/ACAD/16-21; 34-37; 42-44; Top Management

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

4.3.5. Process Details

No.	/Description	Output	Responsibility
1.	Every six months, the Directorate analyses external examiners' theses reports submitted during the past six months.	Analysis report of external examiners' reports	Director QAPC
2.	The report on consolidated and analysed external examiners' report is distributed to the Vice-Chancellor and DVCs	Forwarding letter	Director QAPC
3.	The Consolidated report is tabled to the Board of Postgraduate Studies for discussion and making of appropriate recommendations. Where there are major concerns and non-conformities regarding quality, the report is tabled in the Senate	Minutes of BPGS Recommendations List of non-conformities if any	Director, Board of Postgraduate Studies

4.4. Process for Implementation and Monitoring of the Performance Contract

4.4.1 Source

Government; CU/SOP/VCIM/01; CU/SOP/DVCF/02;

4.4.2 Required inputs/Resources

- Performance Contract Guidelines
- Annual Procurement Plan
- Strategic Plan (current)
- MTP 2018-2023
- Government Sector Plans
- Annual Financial Budget
- Guidelines from MDAs
- Resource persons (staff)

4.4.3 Expected outputs

- Corporate Performance Contract
- Annual consolidated reports
- Annual work plans
- Departmental work plans
- Staff sub-PCs

4.4.4. Receiver(s)

Government; CU/SOP/VCIM/01; CU/SOP/DVCF/02; ISO Departments

4.4.5. Process Details

No.	Description	Output	Responsibility
1	Every year the Vice-Chancellor receives guidelines for preparation of a corporate	Performance Contract Draft	Vice-Chancellor Director, QAPC



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019


Issue No.:
06

Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

	Performance Contract from the Performance Contract Secretariat in Nairobi. The guidelines are forwarded to Deputy Vice-Chancellors, Registrars, Finance Officer to prepare a Performance Contract draft in liaison with the Director (QAPC)		
2	The draft PC is sent to the Vice-Chancellor for approval	Forwarding letter	DVC (AFPD)
4	The PC is negotiated, vetted and signed between the Council Chairman and the Permanent Secretary, MoE	Signed Council PC	Vice-Chancellor
5	The Council Chairman cascades the PC to the Vice-Chancellor for signing within one month after the PC is signed. A copy is send to Director (QAPC).	Signed Corporate PC	Vice-Chancellor
6	The VC cascades the signed PC to the DVCs to prepare theirs. Copies are sent to the Director (QAPC) as a record. The PCs are negotiated, vetted and signed with the VC	Copies of signed DVCs PCs	Deputy Vice-Chancellors
7	HODs are sensitized on the PC targets under their Divisions	Minutes	DVC (AFPD) Director, QAPC
8	Registrars, Deans and Directors prepare their PCs and work plans two weeks after the date of sensitization and sign with the DVCs. Copies are sent to the DQAPC .	Deans and Directors PCs	Deputy Vice-Chancellors
9	HODs and CODs prepare their PCs and work plans two weeks after the date of sensitization and sign with the Registrars, Deans and Directors. Copies are sent to the Director (QAPC) for record purposes.	HODs and CODs PCs	Registrars, Deans and Directors
10	All staff prepare their performance contracts/work plans for signing with their respective supervisors	Staff PCs	HODs and CODs
11	The Director, QAPC requests for quarterly progress reports one week before the end of every quarter. The reports are submitted in a prescribed format by the 5 th of the month following the end of the quarter, with supporting evidence for transmission to governmental Ministries, Departments and Agencies (MDA's) before 14 th of the month following the end of the quarter.	PC Quarterly reports	VCs DVCs Registrars Directors Deans HODs CODs Committee chairs
12	Quarterly reports are used to prepare	PC Consolidated	Top management

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

subject-based consolidated reports forwarded to the Vice-Chancellor for onward transmission to various governmental Ministries, Departments and Agencies before 30 th June of every year.	reports	HODs CODs Director QAPC Committee chairs
--	---------	---

4.5 Process for Implementation and Monitoring of the Strategic Plan

4.5.1 Source

Chairman of Strategic Planning Committee

4.5.2 Required inputs/Resources

- Performance Contract (Current)
- Strategic Plan
- Standards and guidelines
- Annual work plans
- Allocated budget
- Resource persons (staff)
- Financial Budget

4.5.3 Expected outputs


- Corporate Performance Contracts
- Quarterly reports with evidence of implementation
- Annual consolidated report
- Reviewed Strategic Plan
- Strategic Plan achievements

4.5.4. Receiver(s)

CU/VCIM/01; Top Management

4.5.5. Process Details

No.	Description	Output	Responsibility
1.	Every year the University prepares a Performance Contract setting targets derived from University's Strategic Plan. The Strategic Plan is implemented and monitored through Performance Contracts	Draft Performance Contract with Strategic Plan targets	Vice-Chancellor Director QAPC DVC (AFPD) Registrars
2.	All University staff are allocated various activities in the PC to implement	Cascaded PC	Respective Supervisors
3.	The Director(QA&PC) writes to the implementers of the Performance Contract seven (7) days before the end of every quarter requesting them to report on the progress of implementation of the activities under them and attach evidence	Quarterly Progress reports	VC/DVCs Registrars Deans HODs CODs Committee chairs

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

4.	The reports of the implementation are sent to the Director (QA&PC) by the 5 th day following the end of the reporting quarter. The Director (QA&PC) sends the consolidated quarterly reports to the VC for onward transmission.	Quarterly reports	DVCs Registrars Deans HODs/CODs Committee chairs
5.	The Director (QA&PC) also prepares a consolidated annual Performance Contract implementation report which reflects the status of implementation of the Strategic Plan at the end of the year and forwards to the VC for onward transmission.	Consolidated reports	DVCs Registrars Deans HODs CODs Committee chairs

4.6 Process for Implementation, Monitoring and Evaluation of the QMS

4.6.1 Source

CU/SOP/DVC/03

4.6.2 Required inputs/Resources

- ISO 9001:2015 Standard
- ISO SOPs and Processes
- ISO Work Instructions
- Schedules for audits (internal and external)
- Internal Auditors
- Allocated budget
- Strategic Plan (current)
- Performance Contract (current)
- Resource persons (staff)

4.6.3 Expected outputs

- Internal audit reports
- Management Review Meetings minutes
- Surveillance audit summary report

4.6.4. Receiver(s)

Top Management;
ISO Departments

4.6.5. Process Details

No.	Description	Output	Responsibility
1.	HODs organize Departmental meetings at least twice a year where progress on implementation of QMS is discussed, and appropriate measures for improvement are	Departmental minutes	DVCs Registrars Deans HODs



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019


Issue No.:
06

Revision No.:
00

Document Title:

STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

	discussed. Records of meetings are given to the Director (QAPC). HODs implement their processes on a continuous basis		CODs
2.	By 30 th July of every financial year, a schedule is released showing when surveys shall be conducted. The ISO Internal Audit and MRM schedule is prepared annually.	Memo Survey teams	Committee chairs
3.	The University conducts Internal Audits at least twice per year to determine whether the QMS is meeting it's the ISO Standard and Institutional requirements. It done by trained ISO Internal Auditors	List of trained ISO Auditors	ISO M.R.
4.	An audit programme and schedule are planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods are defined	Audit programme and Audit schedules	ISO M.R.
5.	ISO Internal Auditors are appointed while ensuring that they do not audit their own areas. The auditors do the auditing and prepare draft reports.	Appointment letters Separate audit reports	ISO M.R.
6.	Records of audits are maintained following the CU/GOP/IA/03 procedure. The reports and records are sent to the ISO M.R. for compilation and distribution to all HODs	Consolidated audit report	ISO M.R.
7.	Heads of Departments correct non-conformities identified in their sections without undue delay to eliminate detected or potential non-conformities and their causes and keep appropriate records. Follow up activities include verification of the actions taken and reporting of the verification results.	Corrective Action Request Forms	ISO M.R. DQAPC
8.	Management Review Meetings are held at least twice a year where the reports of audits and addressed non-conformities form part of the agenda. The University's monitoring and measurement of processes is undertaken through departmental meetings and task teams where performances on the various objectives are reviewed and new ones set, if necessary.	MRM Minutes Departmental minutes	ISO M.R. DQAPC

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

9.	The University monitors customer satisfaction by undertaking periodic evaluations to determine the level of CU's ability to meet customer requirements	Customer satisfaction Survey	R (A&P)
10.	The top Management of CU ensures that product and service delivery to the customer do not proceed until the planned arrangements have been satisfactorily completed, unless otherwise authorized by a relevant authority and/or the customer.	MRM Minutes	VC DVCs Registrars Deans HODs/CODs Director, QAPC

5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

- (i) Annual Work Plan for the Strategic Plan
- (ii) Quarterly Progress Reports for the Strategic Plan
- (iii) End of Year Report for the Strategic Plan
- (iv) Performance Contracts
- (v) Quarterly Performance Contract Reports and Minutes
- (vi) End of Year Performance Contract Reports and Minutes
- (vii) Lecturers Reports on Assessment of Evaluation of Teaching Effectiveness
- (viii) Reports on Assessment of External Examiner s' Reports
- (ix) Minutes of External Examiner Reports from the Board of Postgraduate Studies

6. KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

6.1. Key Performance Indicators (Measures of Success)


Number of courses evaluated
 Percentage score of examined postgraduate students' theses
 Number of feedback reports submitted to respective staff and the Management
 Percentage of postgraduate student enrolment increase
 Percentage of graduates employed in the job markets
 Percentage of staff attending internal and surveillance audits
 Percentage of HODS attending management review meetings
 Number of departments with effected improvement changes
 Percentage of corporate governance improved score
 Percentage of the Strategic Plan activities implemented
 Number of complaint resolution compliance certificates or acknowledgements received
 Percentage of Score in Annual Performance Contract
 Indices in surveys: employee, customer, work environment

6.2. Quality Objectives

Linked Strategic Objective(s)

SO 2: Provision of Relevant Quality Higher Education and Training

1. Quality Objective: To improve quality of teaching by increasing courses evaluated by 5% annually

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

and giving feedback to lecturers within two (2) months down from 4 months.

Strategy (Actions/Activities)

1. Prepare evaluation schedule for faculties every semester
2. Prepare the teaching effectiveness questionnaires
3. Evaluate teaching effectiveness of staff by students in two faculties scheduled every semester
4. Analyse results and give lecturer teaching evaluation feedback two months after evaluation.
5. Prepare teaching evaluation report and give copies of the summary of the report to Deans and Management to formulate intervention measure

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
DQAPC CODS Administrative staff in COD's offices	Budgetary allocation Standards guidelines University Statutes QAP Policy & Stationery Teaching timetables Course allocation lists	Quarterly 2 months post-evaluation	-Number of courses evaluated -Number of memos circulated -Number of feedback reports submitted to respective staff -Number of summary reports submitted to management

Linked Strategic Objective(s)

SO 2: Provision of Relevant Quality Higher Education and Training

2. Quality Objective: To analyze new external examiner reports for post-graduate theses bi-annually and reduce summarized report submission from 30th to 15th day after end of 6 months.

Strategy (Actions/Activities)

1. Collect external examiners report from Postgraduate Directorate
2. Analyse external examiners' reports from Postgraduate Directorate
3. Table the report in the Postgraduate Board meeting
4. Prepare and give analysis reports to Postgraduate Directorate and Top management for intervention

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
DQAPC Director, Board of Postgraduate Studies	Budgetary allocation Standards/guidelines Statutes & Staff External s reports	Biannually ie, End of June End of December	-Number of Summary report on external examiners' reports -Number of theses for Postgraduate students

Review dates: Bi –annual

Linked Strategic Objective(s)

SO 25: Maintenance and Improvement Quality Assurance


3. Quality Objective: To enhance ISO QMS secretariat for 2 internal audits, 2 Management Review Meetings and 1 surveillance audit per year by processing needs in 4 months down from 6 months

Strategy (Actions/Activities)


1. Sensitize staff and create awareness of ISO 9001 Standard
2. Institutionalize the ISO QMS requirements to sustain ISO certification
3. Prepare internal audits schedules
4. Receive surveillance audit programme and prepare a schedule for internal use
5. Consolidate change requests and table in MRM for deliberation
6. Monitor changes to QMS processes and corrective actions regularly

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
ISO M.R.	ISO 9001:2015 Standard/	Quarterly	Number of internal audits reports



	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

DQAPC CODS HODs	SOPs/Work Instructions/ Schedules for Audits/ Internal Auditors Allocated budget	Bi-Annually Annually	Number of surveillance audit reports Number of management review meetings held and their minutes Percentage effected changes
Review dates:	Quarterly		
Linked Strategic Objective(s)			
SO 22: Strengthening of University Governance for Effective Decision Making			
4. Quality Objective: To accelerate Performance Contract preparation to 31 st August down from 31 st December each year and circulate to Staff to expand implementation time			
Strategy (Actions/Activities)			
<ol style="list-style-type: none"> 1. Circulate guidelines from the Government 2. Convene meeting of PC drafting team and sensitize drafting procedure and requirements 3. Circulate PC draft to Management to review 4. Incorporate input of Top Management 5. Facilitate negotiation and vetting of the PC 6. Circulate final signed corporate PC to all HODs and staff and follow-up 			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Vice-Chancellor DVCs Registrars Finance Officer Director, QAPC	Current PC Standards & guidelines Strategic Plan Annual work plans Allocated budget & Staff	Annually August every year	Number of copies Corporate PC vetted & negotiated draft Number of meetings held. No. of staff submitted signed PCs % of evaluation score.
Review dates:	Quarterly		
Linked Strategic Objective(s)			
SO 22: Compliance with the Constitution and Statutory Requirements			
5. Quality Objective: To enhance implementation of Performance Contract and Strategic Plan targets by sending reminder memos 15 days to end, as opposed to after end of each quarter, so as to prepare for submission to Government Agencies by 15 th day after end of each quarter			
Strategy (Actions/Activities)			
<ol style="list-style-type: none"> 1. Issue requests for PC implementation quarterly reports to Departments 2. Compile the reports into one document 3. Submit the reports to respective MDAs 			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Vice-Chancellor DVCs/Registrars Director, QAPC HODs	Current PC Strategic Plan Standards and guidelines Annual work plans Allocated budget Resource persons	Quarterly Annually	Number of Submitted quarterly reports Number of Compliance certificate or acknowledgements letters % Score in annual PC evaluation
Review dates:	Quarterly		

	Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING		

Department: Directorate of Quality Assurance and Performance Contracting

SOP: CU /SOP/QAPC/11 Project/Process Name: Quality Assurance and Performance Contracting

Reference	Risk	Source (How can the risk occur)	Impact (What is the impact of the risk occurring)
1. Evaluation of Teaching Effectiveness	Not complying with evaluation schedule Awarding non-deserving lecturer a score Lecturer purporting to have been evaluated when not.	Failure to do evaluation If a lecturer colludes with a staff to be issued with feedback evaluation score. If the course evaluated is not in evaluation register	lack of confidence with the process low quality teaching low quality graduates
2. Analysing External Examiners' Reports for Postgraduate Students Theses	Late defenses of theses hence delay in external examiners' reports. Failure to table the analysis of external examiners' report. Poor quality of theses.	Delay in receiving the external examiners' reports Unavailability of report for discussion in the meeting If the report is not prepared as per schedule Delay in completion rates	Low quality theses Low quality graduates Delay in graduation Tainted image of University.
3. Implementation and Monitoring of the Performance Contract	Delayed Performance Contract guidelines from the Ministry Late/non-submission of quarterly reports Failure to sign cascaded PCs or to cascade PCs Failure by staff to submit quarterly reports together with evidences for various targets	Late negotiation, vetting and signing of the PC If deadlines for submission of reports are not obeyed. Non-compliance with regulatory and statutory requirements	Hurriedly implemented targets to meet deadline. Bad reputation for the University Low aggregate score in annual performance evaluation Slow implementation of University objectives.
4. Implementation and Monitoring of the Strategic Plan	Impromptu audits No commitment to PC targets Late vetting, negotiation and signing leads to targets not being met Interruption of University functions due to unavoidable circumstances	If the audits are not planned Performance Contracts targets are not met Delay in implementing some activities	Non-compliance with regulatory and statutory requirements Bad University reputation Low aggregate score in annual performance evaluation. Slow implementation of University objectives

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/QAPC/11	Issue Date: 20th August, 2019
Issue No.: 06	Revision No.: 00

Document Title:
STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

RISK REGISTER

Note under monitoring, responses are as follows: What = risk described. Why = prevent/correct consequence. How = mitigations/controls. Who = risk owner.

Department: CU/SOP/QAPC/11 Directorate of Quality Assurance and Performance Contracting												
Procedure Project/Process Name: Directorate of Quality Assurance and Performance Contracting												
Risk name/ description	Risk consequences	Likelihood (L)	Consequence (C)	Potent Risk (L x C)	Mitigations/Controls (opportunities source)	Risk owner	Monitoring (When)	Actual Risks as @ 20/8/2019				
								LA	CA	Ri= LA*CA	RR%= RI/PR	EC%
Management of Teaching Evaluation												
Issuing evaluation scores to un-deserving lecturer	Poor reputation of staff Low teaching standards Poor performance Poor graduates	3	2	6	Create a register for all courses evaluated Conduct evaluation as per schedule	QAPC	Quarterly	3	0	0	0%	100%
Colluding with staff to alter the teaching evaluation feedback score	Lack of confidence with the evaluation. Poor teaching Low morale for lecturers	2	2	4	QAPC staff to adhere to deadlines Safe custody of evaluation feedback Repeat evaluation to ascertain actual one	QAPC	Quarterly	2	0	0	0%	100%
Delay in releasing the teaching evaluation scores	Creates suspicion Can lead to malpractice Weaknesses are not identified on time for correction	3	2	6	Adhere to timelines Check and issue feedback results against the register before release of the feedback	QAPC	Quarterly	3	1	3	50	50%
Substandard teaching	Poor quality graduates Poor performance Low quality graduates Students complain	3	2	6	Strengthen teaching via lecturer & student attendance roll calls. Supervise actual teaching Vet course allocations	Teaching Inspection Committee QAPC Top Mgt	Quarterly	3	1	2	33%	67%
Management of Performance Contract												
Non-adherence to Performance Contract targets	The institution's objectives are not achieved Drop in performance Non-compliance with statutory and regulatory requirements	3	3	9	Sensitize staff on PC. Enforce signing of PCs via payroll freezes for those who fail to sign Formulate work plans and submit to QAPC Incorporate PC targets in work plans	QAPC Top Mgt HODs	Quarterly Monthly	2	2	4	44%	56%



Document Ref.: CU/SOP/QAPC/11	Issue Date: 20th August, 2019
Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING	

Delay in cascading and refusal to be part of the University Performance Contract	The Institution will fail to meet its targets. Low ranking of Institution during annual evaluation. Poor implementation of the Strategic Plan	3	3	9	Sensitize staff on the PC; Cascade the Strategic Plan to all levels; Enforce submission of quarterly reports; Freeze payroll monthly for failures	QAPC Top Mgt	Monthly	2	2	4	44%	56%
Management of Strategic Plan												
Failure to implement the Strategic Plan	The Institution will fail to meet its targets due shrinkage in resources Political instability Non-responsiveness of stakeholders	3	3	9	Adopt cost-saving measures Practice national values and rules of governance	Top Mgt	Monthly	3	1	3	33%	67%

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%

Opportunities Table

SN	Opportunities	Action plan	Timelines	Effectiveness status
1.	Increase demand for higher education and programmes	Enhance quality assurance activities such as organising evaluation of lecturers for courses taught within the semester for effective teaching	Carry out evaluation of at least two faculties for courses taught within the semester	70%
2.	Environment requiring conservation through research and extension	Incorporate targets of environment conservation activities in performance contract targets	Annually	70%
3.	Incoming staff with limited pedagogy skills training	Incorporate training on pedagogy in performance contract at least once every year to equip lectures with relevant skills.	Once every two years	100%
4.	Community good will and support	Involve and incorporate community outreach programmes in annual performance contract.	At least 3 programmes per year	60%
5.	Proximity of the University to Mt Kenya	Giving the university competitive advantage by attracting students to study within Mt Kenya area.	Annual	70%



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019

Issue No.:
06

Revision No.:
00

Document Title:
STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

APPENDIX A: EVALUATION OF TEACHING EFFECTIVENESS FORM

CHUKA



UNIVERSITY

TEACHING EFFECTIVENESS EVALUATION FORM

CU/QAPC/FORM/1

Name of Instructor.....

Course Code and Title Class.....

Department Date.....

OBJECTIVES

The objectives of this instrument is to provide feedback on the quality of teaching to members of academic staff

INSTRUCTIONS

- You are expected to assess the quality of teaching of this course.
- Your sincere response to all the items is vital to the improvement of the teaching of this course.
- For each item tick the score that best represents your opinion on the matter.
- You need not identify yourself.
- The information you provide will not be used against you or the lecturer.

	ITEM	SCORE				
		V. Good 5	Good 4	Fair 3	Poor 2	V. Poor 1
A	Presentation					
•	Sets stimulating learning atmosphere					
•	Use relevant examples/illustrations to explain principles and concepts					
•	Encourages and appreciates students participation					
•	Present contents logically and coherently					
•	Involves students actively (through questioning, answering, discussion etc)					
•	Delivers content in motivating manner					
•	Uses relevant teaching aids (chalk board, projector, lab, apparatus)					
•	Provides a clear summary of concepts /principles covered in the lesson					
•	Voice clear and audible					
B	Subject matter					
•	Clear introduction of course objectives and relevancies					



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019

Issue No.:
06

Revision No.:
00

Document Title:
STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

APPENDIX A (Continued)

•	Demonstrate mastery of subject matter					
•	Adequately covers course outline within the specified time					
•	Depth of subject coverage (in depth as opposed to superficial treatment)					
•	Provide guidance to relevant references					
•	Subject matter relevance to course (as per course outline)					
•	Assignments(relevant and useful)					
•	Gives adequate and relevant assignments/CATs					
•	Provides feedback of assignment/CATs promptly					
C	Personal attributes					
•	Attendance/punctuality					
•	Interaction with student (friendly, approachable, caring, tolerant)					
•	Availability of lecture for consultations					
•	Extent to which the consultations are helpful					
•	Confident in presentation and subject matter					
•	Adequate lecture room preparation					
•	Students control/class discipline					
	TOTAL SCORE					

What is the lecturer doing well with reference to section A, B, C?

.....

.....

.....

.....

What is the lecturer not doing well with reference to section A, B, C?

.....

Give your suggestion for improvement

.....

.....



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019

Issue No.:
06

Revision No.:
00

Document Title:
STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

APPENDIX I: PROCESS MAPS

(i) Evaluation of Teaching Effectiveness

RESPONSIBILITY	ACTION
DIRECTOR (QAPC)	<p style="text-align: center;">Start</p> <p>Issuance of a memo for commencement of evaluation Distributing questionnaire to students (CU/QAPC/FORM/1) Collecting the questionnaire and submitting it to Director (QAPC)</p>
STAFF IN QAPC OFFICE	
DIRECTOR (QAPC)	Analysis of the questionnaire
DIRECTOR (QAPC)	Feedback to lecturers
	End

(ii) Assessment of External Examiner Reports

RESPONSIBILITY	ACTION
DIRECTOR (QAPC)	<p style="text-align: center;">Start</p> <p>Analysis and preparation of consolidated reports on external examiners' reports</p>
DIRECTOR (QAPC)	
DIRECTOR (QAPC)	Submission of report to the Vice-Chancellor and the Deputy Vice-Chancellors Tabling the report in the Board of Postgraduate Studies
BOARD OF POSTGRADUATE STUDIES	Discussing the report, and making appropriate recommendations
DIRECTOR (QAPC)	Tabling report to Senate in case there are major issues regarding quality.
	End



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019

Issue No.:
06

Revision No.:
00

Document Title:
STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

(iii) Implementation and Monitoring of PC

RESPONSIBILITY	ACTION
DIRECTOR (QAPC) & MANAGEMENT	<p style="text-align: center;"> </p> <p>Preparation of Performance Contract</p>
VICE-CHANCELLOR	<p>Approval</p>
MOE PERFORMANCE CONTRACTING OFFICERS UNIVERSITY COUNCIL	<p>Negotiating and vetting PC</p>
UNIVERSITY COUNCIL	<p>Signing of the PC with the Vice-Chancellor</p>
VICE-CHANCELLOR	<p>Signing of the PC with the Deputy Vice-Chancellors</p>
DEPUTY VICE-CHANCELLORS	<p>Preparation of annual work plans, and sensitize HODs under their sections on preparation of PC and work plans Sign PCs with their respective HODs</p>
HODS	<p>Preparation of PCs and annual work plans Sign PCs with staff in their Departments Prepare and send quarterly reports and annual work plan to Director (QAPC)</p>
VICE-CHANCELLOR	<p>Appointment of a committee to evaluate staff</p>
DIRECTOR (QAPC) & MANAGEMENT DVC (AFPD)	<p>Preparation of consolidated quarterly and end of year reports for forwarding to MR Forwarding of reports to the Vice-Chancellor</p>
VICE-CHANCELLOR	<p>Sending reports to government MDAs</p> <p style="text-align: center;"> </p>



Document Ref.:
CU/SOP/QAPC/11

Issue Date:
20th August, 2019

Issue No.:
06

Revision No.:
00

Document Title:
STANDARD OPERATING PROCEDURE FOR QUALITY ASSURANCE AND PERFORMANCE CONTRACTING

(iv) Implementation and Monitoring of Strategic Plan

RESPONSIBILITY	ACTION
MANAGEMENT	<p style="text-align: center;">Start</p> <p>Preparation of Performance Contract (PC)</p>
MINISTRY OF EDUCATION, SCIENCE & TECHNOLOGY	<p>Approval</p> <p style="text-align: right;">NO YES</p>
DIRECTOR (QAPC) Staff	<p>Cascading of approved PC to Departments and Staff Customization of PCs</p>
HODs	<p>Approval of Cascaded PCs</p> <p style="text-align: right;">NO YES</p>
HODs and Staff	<p>-Preparation and submission of customised PCs to Director (QAPC) -Implementation of the PCs</p>
DIRECTOR (QAPC)	<p>Requesting for Quarterly Reports from HODs</p>
HODS	<p>Submission of Quarterly Reports</p>
DIRECTOR (QAPC) & MANAGEMENT	<p>Preparation of consolidated Quarterly Reports and Financial Reports and submission to various offices</p> <p style="text-align: center;">End</p>

(v) Implementation and Monitoring of QMS

RESPONSIBILITY	ACTION
MR	<p style="text-align: center;">Start</p> <p>Releasing QMS and supporting documents to Departments Implementation of Departmental procedures Preparing schedule for internal quality audits, management review meeting and surveys</p>
HODS DIRECTOR (QAPC)	<p>Approval</p> <p style="text-align: right;">NO YES</p>
MR	<p>Carrying out internal audit in an objective way Preparing a report Sending the report to MR</p>
INTERNAL AUDITORS (IA)	<p>Distributing report of internal quality audit to Departments</p>
MR HODS MANAGEMENT	<p>Providing information required by auditors Scheduling departmental meetings for monitoring & measurement of QMS Correcting nonconformities and keeping records as appropriate. Participating in management review meeting Ensuring products/services meet requirements</p> <p style="text-align: center;">End</p>