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	Issue No.: 06	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR POSTGRADUATE STUDIES MANAGEMENT		

CHUKA UNIVERSITY

Standard Operating Procedure


For

Postgraduate Studies Management (CU/SOP/BPGS/13)

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	Dr. M. M. Muraya	DIRECTOR (BPGS)	20.8.2019
Reviewed by	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)/ISO MR	20.8.2019
Approved by	Prof. E. N. Njoka	VICE-CHANCELLOR	20.8.2019

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1. 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 19	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	Director, BPGS	ISO M.R./VC
20/8/2019	06	00	20	Revised KPIs in quality objectives to be “measurable”	Director, BPGS	ISO M.R./VC
20/8/2019	06	00	20	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	Director, BPGS	ISO M.R./VC
20/8/2019	06	00	24	Revised risks to capture factually binding and persistent ones	Director, BPGS	ISO M.R./VC
20/8/2019	06	00	25	Generated stand-alone Opportunities for the Board and de-linked them from Risks	Director, BPGS	ISO M.R./VC

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2.0 GENERAL

2.1 Purpose

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

2.2 Scope

This procedure applies to and defines all the activities carried out by the BPGS.

2.3 References


- Kenya Constitution, 2010
- Universities Act No. 42 of 2012
- CU Charter, 2013
- CU Statutes, 2014
- CU Strategic Plan, 2017-2022
- CUE Regulations, Standards and Guidelines, 2014
- Graduate Students' Handbook (Current)
- CU Catalogue, 2016
- ISO 9001:2015 Standard, Clauses 4 to 10
- CU ISO Quality Management System Manual, 2017

2.4 List of Abbreviations

BPGS	=	Board of Postgraduate Studies
COD	=	Chairman of Department
CU	=	Chuka University
DVC (ARSA)	=	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
ID	=	Identity Card
M.Ed.	=	Masters of Education
M.Sc.	=	Master of Science
MA	=	Masters of Arts
MBA	=	Masters of Business Administration
NACOSTI	=	National Commission for Science, Technology and Innovation
PGDE	=	Post-Graduate Diploma in Education
Ph.D.	=	Doctor of Philosophy
SAA	=	Senior Administrative Assistant
SMS	=	Short Message Services
VC	=	Vice-Chancellor

2.5 Definition of Terms

- Applicant:** A person who in writing expresses his/her interest to be considered for admission into a CU programme of study.
- Director:** Refers to the Director of Board of Postgraduate Studies.
- Officer:** Any person employed by CU and mandated to offer approved services.

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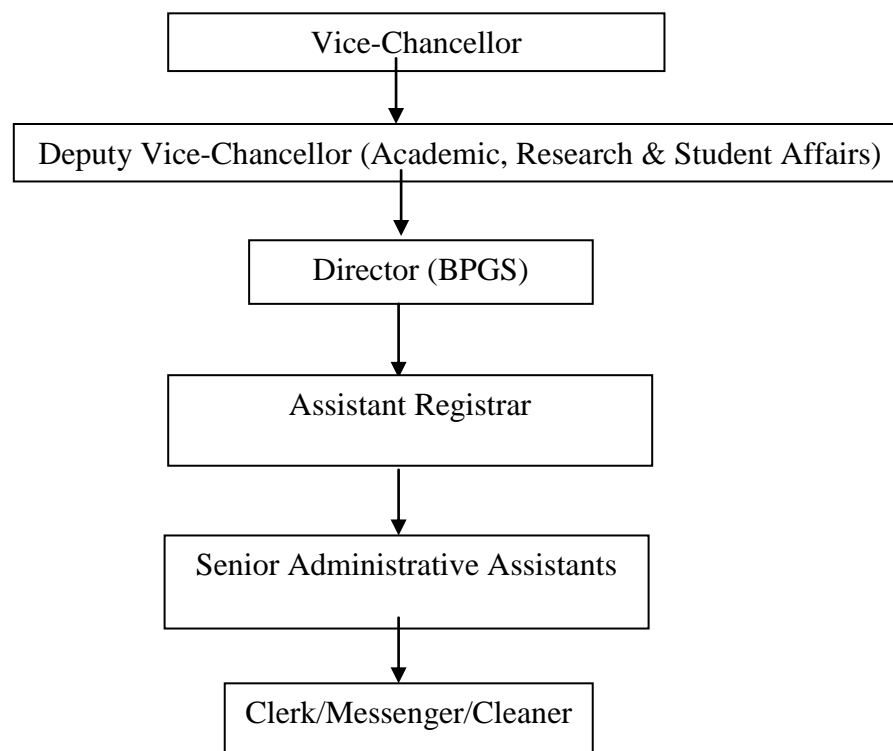
- Dean:** Means Dean of Faculty.
- Proposal:** Refers to a document written to guide a student/author in carrying out research for the purpose of advancement of knowledge.
- Student:** Refers to a person registered by CU for the purposes of obtaining a qualification or any other person who is determined by the Senate to be such.
- Potent Risk:** Refers to potential raw risk that is anticipated.

2.6 Responsibility

The Director has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose. The Director has the primary responsibility for providing the information from which the documentation for its processes can be compiled and for initiating action to keep them up to date. However, all departmental staff members are responsible for implementing and ensuring that these procedures are followed.

3.0 ADMINISTRATIVE STRUCTURE

The BPGS is one of the Directorates within Chuka University. The current administrative structure for the Directorate is as follows:




4.0 PROCESSES

4.1 Overview

The Director is responsible for the activities related to Postgraduate Studies.

The core activities of the Board include:

- (i) Admission of postgraduate students

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- (ii) Registration of postgraduate students
- (iii) Postgraduate students' guidance and counseling
- (iv) Archiving postgraduate research proposals
- (v) Organizing oral examination of theses/project reports
- (vi) Initiating payment for theses examination service providers
- (vii) Appointing external supervisors/examiners

4.2 Process for Admission of Postgraduate Students

4.2.1 Source

Applicants; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.2.2 Required inputs/resources

Standards and guidelines

Resource persons

Applicant Documents (academic certificates and application letter)

Stationery

Facilitation budget

Suitable venues

4.2.3 Expected outputs

Admission letter/Admitted students

4.2.4 Receiver(s)

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.2.5 Procedure details

No.	Description	Output	Responsibility
1.	Postgraduate applicants make inquiries at CU, on University Website or adverts in electronic or print media for various Postgraduate degree or diploma programmes.	Downloaded application forms	Director, BPGS
2.	Applicants fully fill and submit official forms (CU/BPGS/FORM/01) in duplicate and return to the Director (BPGS), alongside academic testimonials, latest 2 weeks to the beginning of the semester. The testimonials include: <ul style="list-style-type: none"> (a) 2 certified copies of academic certificates (b) 2 certified copies of academic transcripts (c) Two copies of curriculum vitae (d) Two certified copies of national ID card (e) Two recent coloured passport photos (f) A CU original receipt from the cash office as evidence of payment of a non-refundable application fee of KSh. 2,000. 	Filled and assembled application package	




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	<p>(g) For Ph.D. programmes, two loosely bound copies of a research concept note or a proposal are submitted as part of testimonials.</p> <p>(h) Candidates applying for Ph.D. study must have a Master's degree in a relevant area.</p> <p>(i) Candidates applying for Master's degree study must have a Bachelor's degree second class honours upper division, or lower division + 2 years' work experience in a relevant area.</p> <p>(j) Candidates applying for PGDE study must have a Bachelor's degree</p>		
3.	The applications are delivered to the Director (BPGS) at P. O. Box 109-60400, Chuka. Alternatively, applications are hand-delivered to the Director (BPGS)'s Office. Applications are stamped "RECEIVED" using the Graduate School stamp and listed/filed among other applications received earlier in that discipline.	Delivered application package	
4.	Applications are verified in terms of compliance with the basic requirements for admission	Verified qualifications	Director, BPGS
5.	Where the application forms are not completed properly or are lacking mandatory attachments the following is done: <p>(a) In case the application was hand-delivered, the applicant is notified of the non-conformity and the corrective action before leaving the Director's Office.</p> <p>(b) If the application was delivered through postal mail, non-conformity is notified to the applicant via emailing, telephoning, SMSing or through writing a letter.</p>	List of non-conforming applicants	Director, BPGS
6.	The non-conforming applications are listed and the shortcoming is noted on top of each non-conforming application. <p>(a) If the applicant of a non-conforming application becomes responsive, the application is processed among those that have conformed.</p> <p>(b) The application forms, whose owners are not responsive, are put in a labeled separate file which is shelved in the Graduate School Registry for reference.</p>	Compliant application package	
7.	Applications verified to be compliant and have all the attachments required are keyed into the computer. Each application is organized into a folder (respective application files).	Files of applicant	Director, BPGS



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8	The application files are listed in the delivery book and forwarded to the CODs and Deans for consideration by the subject experts (CU/SOP/DEPT/16-21 and CU/SOP/FACU/6-10) before returning back to the Director (BPGS) with recommendation on admission	Minutes and files	COD Deans
9	A BPGS meeting is convened to discuss admission recommendations	Board meeting minutes	Director, BPGS
10	The Director signs the section of approval for each candidate, indicating whether that candidate is qualified or not and gives reasons.	Signed admission form	Director, BPGS
11	Candidates who qualify are notified in 2 weeks from application time that they have been admitted through a letter that is signed by the Director (BPGS) on behalf of the Senate and Vice-Chancellor. The letter of admission bears admission number obtained from the admissions office and it indicates the reporting date, mode of study, course duration and fees structure of the respective programme. This letter is copied and delivered to the respective COD and Dean of Faculty. One copy of the application form and student's admission letter is put in a student's personal file, which is kept in the Graduate School Registry. The remaining form is also handed over to the respective COD for the same.	Letters of admission and regret	Director, BPGS
12	Letters are posted officially to the candidates through the address provided in their application forms. Besides, candidates may be informed of the status of their application through the official email of the Graduate School, or SMS.	University registry	Head of Registry
13	Teaching through the Department commences if the class attains a quorum. (a) A class is deemed to have a quorum if it attains a minimum of six qualified applicants for PGDE, and art-based postgraduate programmes including MA, M.Ed. and MBA. (b) A class is deemed to have a quorum if it has min of 4 applicants for M.Sc. programmes. (c) Intake for Ph.D. candidates is continuous subject to availability of qualified supervisors	Class attendance registers	CODs
14	In the case of Ph.D. applicants, the same procedure as above is followed and the form is	Concept note or full proposal	CODs and Deans of

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	forwarded to the Department and Faculty from where it is returned with minutes and the reviewed concept note for further consideration by the BPGS. (a) For applicants whose proposals are rejected completely, candidates are advised to re-write their proposals or even to make changes to the topic. (b) Candidates whose concept notes require improvement are advised to revise them and resubmit for further consideration.		Faculties
15	For candidates who qualify, one copy of the application form, concept note and student's admission letter are used to open the student's personal file which is kept in the Graduate School registry. The remaining form is handed over to the respective COD for the same.	Candidates personal file	BPGS Clerk

4.3 Process for Registration of Postgraduate Students

4.3.1 Source

Admitted postgraduate students

4.3.2 Required inputs/resources

- Standards and guidelines
- Resource persons
- Applicants and application items (original academic certificates and admission letter)
- Facilitation budget
- Stationery

4.3.3 Expected outputs


- Admitted student

4.3.4 Receivers

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.3.5 Procedure details

No.	Description	Output	Responsibility
1.	Masters and PGDE students report on Campus at the beginning of the semester/block. They are registered in specified locations as indicated on their admission letter. Registration of Ph.D. students is done in the Graduate School and	Admission offer letter	Director, BPGS

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	students use original admission letters and national ID cards for identification.		
2.	After identification, each applicant is issued with four registration forms to write name, registration number, contact address, session and year of registration and gender.	Filled in forms	Director, BPGS
3.	The applicant proceed for registration at the respective Department /Faculty where the forms are signed and stamped	Files of applicant	COD/Dean
4.	The applicant signs the class list and is directed to go and submit bank slips for receipting in the Finance Department. (a) Applicants who get cleared sign the nominal roll at the registration desk. (b) Applicants who do not get cleared do not sign the Nominal Roll, meaning that they are not <i>bona fide</i> students. (c) The duly signed forms are distributed to: (i) Original to the student (ii) Duplicate to the Graduate School (iii) Triplicate to the Faculty (iv) Quadruplicate to the Department	Payment receipt Nominal roll	Finance Officer COD Dean of Faculty

4.4 Process for Supervision of Postgraduate Students

4.4.1 Source

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

4.4.2 Required inputs/resources


Standards and guidelines
Resource persons
Research proposals/concept notes
Duly filled document and minutes
Student's progress reports
Curriculum vitae of supervisors
Progress report forms
Budgetary allocation

4.4.3 Expected outputs

Research report
Monthly and quarterly report


4.4.4 Receivers

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

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4.4.5 Procedure details

No.	Description	Output	Responsibility
1.	Upon registration, or provisional registration, the student reports to the respective COD	Dully approved registration form	COD
2.	The COD in consultation with the student, nominates and recommends to the Director, BPGS two supervisors, specializing in the area of interest, to work with the candidate.	Provisionally nominated supervisors	COD/Dean
3.	Once the supervisors are agreed upon and the Master's/PhD degree student successfully completes coursework, official communication is done requesting the Director to appoint them officially.	Finally nominated supervisors	Director, BPGS
4.	The Director (BPGS) officially appoints the recommended supervisors to work with students as they develop their proposals and on other matters of research.	Appointment letters	Director, BPGS
5.	Supervisors work with students to develop proposals for Department & Faculty defenses	Draft proposal	Supervisor COD/Deans
6.	While the supervisors are guiding the student in research and proposal writing, they ask the student to fill Quarterly Progress Reports and Monthly Records of consultation forms as a proof of commitment to their studies. (a) Quarterly Progress Reports and Monthly Records of Consultation Forms are available in the Graduate School and via email. (b) The Supervisor, COD and Dean of Faculty sign Quarterly Progress Report Forms before forwarding to the Graduate School for filing. (c) Only the Supervisor signs on Monthly Records of Consultation forms before forwarding to the Graduate School. The (d) Director (BPGS) evaluates the reports and records to determine the progress of each registered candidate.	Reports	Supervisor COD/Deans
7.	Documents are received for full admission in postgraduate candidacy after successful Faculty defense of the proposal	Research proposal Registration letter	Director, BPGS
8.	Full registration and substantive appointment letter are issued upon successful defense	Full registration and appointment letters	Director, BPGS

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9.	The student undertakes data collection, data analysis and report writing under guidance of the supervisors	Field data Draft report	Supervisor
10.	Approved research reports are received for examination	Thesis	Director, BPGS
11.	Oral examination of the candidate upon receiving of examiners' report	Examination report	Director, BPGS
12.	Final thesis reception in the Board of Postgraduate Studies	Thesis	Director, BPGS

4.5 Process for Processing of Postgraduate Proposals

4.5.1 Source

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

4.5.2 Required inputs/resources

Standards and guidelines
Resource persons
Research proposal
Duly filled document and minutes
Stationery

4.5.3 Expected outputs

Research proposal

4.5.4 Receiver

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44


4.5.5 Procedure details

No.	Description	Output	Responsibility
1.	Student submits proposal for registration through the supervisor, COD, and Dean of Faculty. A proposal is ready once it has been successfully examined at the Department and Faculty levels and corrected.	Submitted proposal	Deans
2.	Successful documents are registered and student issued with registration letter. The student submits with the following: (a) A certificate of proposal correction signed by the supervisor(s). (b) A filled proposal forwarding form. (c) A signed copy of the Faculty's oral examination minutes. (d) Six loosely bound duly signed copies	Letter of registration	Director, BPGS



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	of the student's proposal for distribution to: NACOSTI for a research permit, BPGS, COD and the two supervisors.		
3.	The proposal is received at BPGS, stamped 'RECEIVED' and scrutinized to ascertain that formatting and other issues of the structure are meeting the standards. In case some requirements are not met, the student is notified at this stage.	Stamped proposal	Director, BPGS
4.	In case a proposal is not meeting the standard, according to the Graduate School Administrator or Director, a letter to inform the candidate is also written and delivered within 24 hours through the Dean and COD, copied to the supervisors.	Report	Director, BPGS
5.	The proposal is approved to be meeting the standards for registration. A letter to inform the candidate of the outcome is written within 24 hours and posted. A copy is also given to the COD and the Dean.	Letter	Director, BPGS
6.	Candidates use registered proposals to seek research permit from the National Commission for Science, Technology and Innovation (NACOSTI).	Permit	Director, BPGS
7.	The proposal forwarding form, certificate of correction, a copy of the Faculty minutes, a copy of the proposal and the letter informing the candidate about registration of their proposal are kept in the personal file.	Filed copy	Director, BPGS
8.	After registration of the proposal, a formal appointment letter with the terms of supervision is issued to the supervisor(s) who had been working with the student. (a) Two copies alongside the proposal are forwarded to the respective supervisor(s), who acknowledges the appointment by signing acceptance of the responsibility in a section of the letter. (b) In the event a supervisor declines the offer of appointment, the Director liaises with the COD to appoint another competent person to work with the student. (c) The consenting supervisor keeps a copy of	Letter to supervisor	Director, BPGS

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	the letter together with the accompanying proposal and returns a copy of the letter to the Graduate School.		
9.	The letter returned to the Graduate School is used to make claims of payment once the student completes researching and successfully submits hard and soft copies of the research report/thesis.	Claims documentation	Director, BPGS

4.6 Process for Examination of a Thesis/Project Report

4.6.1 Source

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.6.2 Required inputs/resources

Standards and guidelines
Resource persons
Research report/thesis
Examiners reports
Duly filled document and minutes
Budgetary allocation
Stationery

4.6.3 Expected outputs


Examination report
Minutes of proceedings

4.6.4 Receiver

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.6.5 Procedure details

No.	Description	Output	Responsibility
1.	The student files intention to submit a thesis/project report for examination through the COD and Dean by filling a “Notice of Intent to Submit Form” (reference) together with an abstract of the thesis/project report, three months in advance.	Filled intention form	COD/Dean
2.	After the 3 months, 5 loosely bound copies of the thesis/project report are submitted through the COD and Dean to the Director (BPGS), who stamps them ‘RECEIVED’.	Thesis drafts	Director, BPGS
3.	A letter and proposal/project report, Report Evaluation Form (reference) and a claim	Appointment letters	Director, BPGS

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	form are forwarded to supervisors and internal and external examiners to give examination reports within 2 months.		
4.	In case of delay, the Director (BPGS) writes a reminder letter to them. All the examiners are required to indicate whether: a) The thesis/project report is adequate in form and content, or not. b) The thesis/project report reflects an adequate understanding of the subject matter and displays original thought. c) The thesis/report makes significant contribution to the existing knowledge. d) The strength and weaknesses of each chapter; and in consequence whether or not the degree should be awarded.	Examination reports	Supervisor COD DEANS
5.	A letter of acknowledgement is drafted within 24 hours to the examiner stating that the report has been received.	Acknowledgement letter	Director (BPGS)
6.	Examiners' reports and examined theses/reports are stamped RECEIVED, forwarded to the Director (BPGS) and filed in an examination file marked confidential .	Stamped thesis/report	Clerk/ AA/ SAA/ AR
7.	Once all the reports are received oral examination is scheduled within 14 days	Schedule for oral examination	Director (BPGS)
8.	The thesis/ report is marked EXAMINED with a pen on the cover page and kept in a safe cabinet designated for that purpose.	Examined thesis	AA/ SAA/ AR
9.	For entitled examiners, claim forms are forwarded for processing to respective departments and faculties and approval by the Director (BPGS). Claims are forwarded for authorization by the DVC (ARSA) and payment by the Finance Department. (a) Postage expenses are reimbursed using Graduate School's petty cash.	Claims documentation	AA/ SAA/ AR


4.7 Process for Organization of Oral Examination/Defense

4.7.1 Source

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.7.2 Required inputs/resources

Standards and guidelines

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Resource persons
Student's research report/Thesis
Examiners report

4.7.3 Expected outputs


Minutes + Attendance list
Examined thesis/report
Marked theses copies

4.7.4 Receiver

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.7.5 Procedure details

No.	Description	Output	Responsibility
1.	Preparation for oral examination begins once the 4 th thesis examination report is received in the Graduate School.		COD/Dean
2.	Candidates clear with Finance Department and submit clearance to the Graduate School before sitting the oral examination.	Clearance forms	Finance Officer
3.	Director (BPGS) in liaison with the Dean of Faculty sets an examination date and identifies members of board of examiners	List of examiners, Exam date	Director, BPGS
4.	Oral examination date is communicated to the candidate 2 weeks in advance using either a phone call, SMS, or email before an official letter is posted, indicating date, time and venue for the oral examination.	Letter	Director, BPGS
5.	Blind copies of confidential examiners' reports and theses are circulated to the Faculty Board of Examiners alongside the letter inviting them to the oral examination. (a) Copies of theses/project reports of respective candidates are submitted to their respective Faculties for perusal prior to examination.	Examination report Invitation letters	Supervisor CODs Deans
6.	Faculty Deans chair the defense to make sure that the Board is well constituted and guides members on other procedural matters. The candidate is invited into the room by note taker. (a) For Masters students, presentation takes 20 minutes and Ph.D. takes 30 minutes.	Oral presentation slides	Supervisor CODs Deans Director, BPGS
7.	The panel interrogate the candidate and supervisors are always the last before the Chair,	Minutes of proceedings	Director, BPGS

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	wraps up the examination session. At the end, the candidate steps out of the room to allow the Examiners to deliberate on the defense		
8.	Each examiner evaluate the student's presentation and give an impressionistic opinion in a score sheet provided in the examination room to indicate whether the student's thesis/project report: (a) Passes with no corrections – in this case, a candidate proceeds to bind the report/thesis and submits to the Graduate School. (b) Passes with minor corrections – a candidate is given 30 days to correct. (c) Passes with major corrections – a candidate is given 30 days to correct. (d) Defers – a candidate is given 3 to 6 months to perfect key areas found to be wanting. (e) Fails – a candidate's work is of no significant academic worth and must be redone.	Score cards with scores	Director, BPGS
9.	Opinions represented in the score sheet are consolidated by all the members and a verdict given based on scholarship and academic concerns. Issues raised before and after presentation are captured in minutes signed by all the examiners present.	Score sheets and Minutes	Director, BPGS
10.	The candidate is invited back to the room and the verdict is communicated by the Chair	Minutes and verdict	Director, BPGS
11.	A successful candidate is issued with a set of anonymous examination reports from all the examiners; all copies of the examined thesis; and a signed copy of the oral examination minutes to use in effecting corrections suggested.	Correction guideline notes	Director, BPGS

4.8 Process for Submission of Hardbound and Soft Copies of Theses/Project Reports

4.8.1 Source

Postgraduate students; CU/SOP/FACU/6-10; CU/SOP/ACAD/16-21, 34-37, 42-44

4.8.2 Required inputs/resources


Standards and guidelines

Resource persons

Hardbound research report/thesis and Soft copies of theses

Defense minutes

Submission forms and Certificate of correction

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4.8.3 Expected outputs


Certificate of completion

4.8.4 Receiver(s)

CU/SOP/FACU/6-10; CU/SOP/RACA/05

4.8.5 Procedure details

No.	Description	Output	Responsibility
1.	A successful candidate submits within 30 days a draft of the corrected thesis to the BPGS together with a Certificate of Correction signed by the supervisor(s).	Corrected thesis	COD/Dean
2.	The thesis is inspected to ascertain the quality of the work about to be bound. The student is given directions and instructions on how to bind the final copies of a satisfactory thesis /project report.	Inspected thesis	Director, BPGS
3.	The student submits five hardbound copies of the thesis and two pdf soft copies on compact disks to the Graduate School through the respective Department and Faculty, and supervisors	Bound copies Soft copies	Director, BPGS
4.	The student is issued with a letter of acknowledgement of receipt of the thesis/project report and is notified through writing that he/she has fulfilled the requirement for the award of the degree and should wait to graduate in the next graduation ceremony. The Form is signed (in duplicate) with the date when the student hands in copies of the thesis/project report.	Acknowledgement letter	Supervisor COD DEANS
5	The forms are forwarded to the Vice-Chancellor for approval via a delivery book. A copy is retained in the Graduate School and the other is forwarded to the Dean.	Submission form	Director, BPGS
6	A Student's personal file is updated with the original copies of the examination reports, a copy of the oral examination minutes and the Certificate of Correction.	Completion records	Director, BPGS
7	The file is then separated from others and stored safely in the Graduate School archives among other files of students who have completed their graduate studies.	Archived personal file	Director, BPGS

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8	Copies of the thesis/project report are distributed by the Graduate School Administrator as follows: A hard copy each to the COD; Dean of the Faculty; Graduate School; and two copies to the Library. A soft copy on CD is also forwarded to the Library. The copies in the Graduate School are spine marked to ease retrieval.	Repository thesis	Director, BPGS University Librarian
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4.9 Process for Initiation of Payment of Service Providers

4.9.1 Source

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

4.9.2 Required inputs/resources

Standards and guidelines
Claim forms/Certificate of correction
Stationery

4.9.3 Expected outputs


Certificate of completion

4.9.4 Receiver(s)

CU/SOP/FIND/24

4.9.5 Procedure details

No.	Description	Output	Responsibility
1.	A claim form together with an appointment letter is indicating service rendered is received by the Director (BPGS) through the Department and Faculty.		Director, BPGS COD/Dean
2.	The Director verifies the claim form details and forwards them.		Director, BPGS
3.	Claim forms are forwarded for authorization and forwarding to the Finance Department for payment.		DVC (ARSA)
4.	Processing of payment by the finance department is done expeditiously	Cheques	Finance Officer
5.	When the payment is ready, Graduate School Administrator collects it for further submission to the service provider either by depositing it to the owners account, or sending it to the owner through postage	Postage receipt Bank payment slip	Graduate School Administrator

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4.10 Process for Appointment of External Supervisors/Theses Examiners

4.10.1 Source

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

4.10.2 Required inputs/resources

Standards and guidelines
Resource persons
Application forms
Curriculum vitae and academic testimonials
Stationery
Budgetary allocation

4.10.3 Expected outputs


Appointment letter

4.10.4 Receiver(s)

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

4.10.5 Procedure details

No.	Description	Output	Responsibility
1.	A COD or member of the academic staff or candidate identifies a relevant supervisor in a given area of specialization and recommends for appointment through the Dean of Faculty	Nominated supervisor	COD/Dean
2.	The external supervisor is requested to submit curriculum vitae to the COD. (a) For master's degree, the external supervisor should be a Ph.D. holder and of the rank of a lecturer and above. (b) For Ph.D. degree, the external examiner should be a holder of a Ph.D. of the rank of a senior lecturer and above.	Appointment testimonials	Director, BPGS
3.	If qualified, official communication is made, requesting for confirmation in writing willingness to supervise the candidate.	Confirm note	Director, BPGS
4.	The supervisor is provisionally appointed to take charge of the student in the course of developing a proposal and fully when the proposal passes defense at departmental and faculty levels, and attaches terms governing supervision and examination of postgraduate students in Chuka University.	Appointment letter	Director, BPGS

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5. RECORDS/RETAINED DOCUMENTED INFORMATION

- (i) Postgraduate Courses Brochure
- (ii) Admission Letters (PGDE, MASTERS and Ph.D.)
- (iii) Student Registration Form
- (iv) Regret Letter for unqualified students
- (v) Certificate of Proposal Correction
- (vi) Proposal Forwarding Form
- (vii) Letter of Proposal Registration
- (viii) Progress Record Form
- (ix) Monthly Consultation Form
- (x) Letter of Submission of Thesis for Examination
- (xi) Thesis/Project Report Evaluation Form
- (xii) Letter of Acknowledging Submission of Hardbound and Soft Copies of Thesis
- (xiii) Oral Examination Form
- (xiv) Board of Examiners' Scores
- (xv) Certificate of Thesis Correction
- (xvi) Minutes of defenses
- (xvii) Minutes of Board Meetings


6. KEY PERFORMANCE INDICATORS/OBJECTIVES

6.1 Indicators

- (i) Number of registered Masters and Ph.D. students with proposals
- (ii) Percentage of students who defend their theses/project reports successively
- (iii) Number of postgraduate student proposals funded
- (iv) Percentage of postgraduate students graduating
- (v) Number of supervisors/examiners appointed
- (vi) Number of publications in referred journals
- (vii) Number of postgraduate programmes reviewed and approved by Senate

6.2. Quality Objectives

Linked Strategic Objectives:			
SO 3: Enhancement of Academic Competitiveness of the University			
1. Quality Objective			
To increase suitably qualified postgraduate students enrolment by 10% per annum			
Strategy (Actions/Activities required to achieve the objective)			
Publicize (online and offline advertisement)			
Draft and review/vet new academic programmes			
Recruit competitive staff induct them in teaching postgraduate students			
Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
CODs, Deans Director, BPGS	Financial budget Academic staff Learning facilities	Annually	Percentage increase in admitted postgraduate students with suitable qualifications
Review dates:	Quarterly		

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Linked Strategic Objectives:

SO 1: Expansion of the Number of Relevant Market-Driven Programmes
 SO 2: Provision of Relevant Quality Higher Education and Training
 SO 16: Provision of Competitive Programmes at Competitive Market Rates

2. Quality Objective

To develop/review at least two PhD programmes offered by course work, examination and theses from 5 Faculties to 7 Faculties per 1 to 5 years

Strategy (Actions/Activities required to achieve the objective)

Organise stakeholders' meetings
 Organise drafting and reviewing/vetting meetings for new academic programmes
 Recruit competitive staff to draft, review and vet the programmes
 Train and develop staff in drafting, reviewing and vetting the programmes

Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
CODs, Deans Director, BPGS	Financial budget Academic staff	Five years	Number of curricula developed/reviewed in 1 to 5 years
Review dates:	Quarterly		

Linked Strategic Objectives:

SO 3: Enhancement of Academic Competitiveness of the University
 SO 24: Development and Projection of a Positive Image of the University

3. Quality Objective

To enhance postgraduate students' completion rate from unknown time to that stipulated time

Strategy (Actions/Activities required to achieve the objective)

Organise orientation meetings for the postgraduate students
 Organise timely defenses of postgraduate students' theses
 Timely appointment of supervisors and examiners for postgraduate students

Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
COD, Deans Director, BPGS	Financial budget Academic staff Potential referred journals	Annually	Number of students completing in stipulated time
Review dates:	Quarterly		

Linked Strategic Objectives:

SO 3: Enhancement of Academic Competitiveness of the University
 SO 5: Generation and Dissemination of Research Findings to Interested Parties


4. Quality Objective

To increase publications by postgraduate students by 10% per year

Strategy (Actions/Activities required to achieve the objective)

Enforce regulators requirement of publish before graduation

Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
Director, BPGS	Financial budget Reviewers/training facilitators Literature for reference	Annually	Number of students' publishing before graduation % increase in publications
Review dates:	Quarterly		

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Linked Strategic Objectives:

SO 3: Enhancement of Academic Competitiveness of the University

SO 19: Utilization of ICT to Enhance Efficiency of University Operations

5. Quality Objective

To respond to students' inquiries within 48 hours down from 120 days

Strategy (Actions/Activities required to achieve the objective)

Administrative staff training and development

Adoption of ICT and mobile phones in communication

Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
Director, BPGS	Financial budget Support staff Internet/air time/ICT	Monthly	Number of timely responses
Review dates:	Weekly		



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Risk Register

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

Risk name/ description	Risk Consequences	Likeliho od (L)	Consequ ence (C)	Potent Risk (L x C)	Mitigations/ controls	Risk Owner	Monitoring	Actual Risk as @ 20/8/2019				
								LA	CA	RI= LA*CA	RR%= RI/PR	EC%
Admission of unqualified students	Discontinuation Litigation Loss of revenue Negative image	1	3	3	Certification/ Verification of documents Train/develop staff	Director, BPGS Deans CODs	Unqualified cases Admission register Quarterly Director, BPGS	1	0	0	0%	100%
Unplanned admission	Loss of time Negative image Conflict within the institution	2	3	6	Development of admission schedules Obey class quorum	Director, BPGS Deans CODs	Unplanned intakes Quarterly Director, BPGS	2	1	2	33%	67%
Corruption /bribery	Unqualified student admission Bad image Loss of revenue	1	3	3	Supervision staff Vet/train & develop staff; Separate admission staff	Director, BPGS Deans CODs	Number of cases Complaints register Quarterly Director, BPGS	1	0	0	0%	100%
Failure of verification	Unqualified student admission Impersonation Negative image	1	3	3	Train/develop staff Supervision of staff Development of verification criteria	Director, BPGS Deans CODs	Unqualified cases Registration list Quarterly Director, BPGS	1	0	0	0%	100%
Appointment of unqualified supervisors/ examiners	Poor quality supervision Frustration Bad image Loss of revenue	1	3	3	Vetting of supervisors Analyse quarterly and monthly progress report	Director, BPGS Deans CODs	Number of cases Supervisors roll Annually Director, BPGS/ Deans/CODs	1	0	0	0%	100%
Harassment	Poor quality supervision Frustration/stress Bad image Loss of revenue	1	3	3	Train and develop staff and students Use of public complaint channels	Director, BPGS Deans CODs	Number of cases Complaints register Quarterly Director, BPGS/ CODs/PCSC	1	1	1	33%	67%
Poor evaluation of students	Poor quality graduates Subjective score Conflicts Litigation Negative image	1	3	3	Adherence to criteria and guidelines	Director, BPGS Deans CODs	Number of cases Public complaints register Quarterly Director, BPGS/PCSC	1	1	1	33%	67%



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Submission of sub-standard reports	Difficult time in arriving at verdict Loss of reputation	1	3	3	Train and develop staff, Monitor and supervise staff Vet and monitor documents	Director, BPGS Deans CODs	Number of cases Theses register Quarterly Director, BPGS	1	1	1	33%	67%
Plagiarism/ Piracy	Litigation	2	3	6	Plagiarism checks	BPGS	Continuous	2	1	2	33%	67%

Key: LA = Likelihood achieved. CA = Consequence achieved. RI = Risk incidences. 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	Timeline	Effectiveness status
1	Increased demand for postgraduate training	Review and approve curricula from departments for forwarding to Senate	Once per semester	95%
2	Availability of research funds and donors	Sensitize postgraduate students to develop fundable research proposals	Annually	70%
3	Environment requiring conservation through research and extension	Encourage postgraduate students to participate and carry out research on environmental issues	Continuous	80%
4	Availability of linkages with business partners	Encourage postgraduate students to propose innovative & entrepreneurial ideas	Continuous	40%
5	Community goodwill and support of the University	Encourage postgraduate students to organize community outreach activities and share their innovations and ideas with community	annually	50%
6	Proximity of the University to Mount Kenya	Encourage postgraduate students to generate research ideas from the vast fauna and flora provided by Mount Kenya	Continuous	40%
7	Proximity to rapidly growing urban centres	Fast track review and approval of postgraduate diploma curricula from departments for Senate	One curriculum per year	30%

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APPENDIX 1: PROCESS MAPS

i. Admission of Postgraduate Students

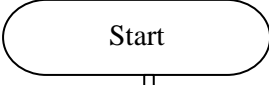

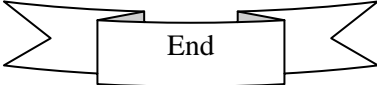
RESPONSIBILITY	ACTION
VC/DVC (ARSA)/ ACADEMIC REGISTRAR/ DIRECTOR (BPGS)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Preparation and publication of advert inviting application by suitably qualified candidates</p>
CANDIDATES	Application for admission on official forms
DIRECTOR (BPGS)	Reception and acknowledgement of application
SAA/COPY TYPIST	Keying applicants' details into the computer
DIRECTOR (BPGS)	Submission of the applications to respective Departments and Faculties
CODS / DEANS	Processing of applicants by departmental and faculty boards and forwarding of recommendation (Qualified or Not) to the Director (BPGS).
DIRECTOR (BPGS)	Approval or Rejection of Application.
DIRECTOR (BPGS)	Admission of qualified candidates or writing of regret letters to unqualified candidates
	<p style="text-align: center;">End</p>

ii. Registration of Postgraduate Students

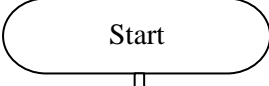

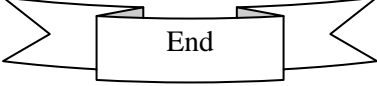
RESPONSIBILITY	ACTION
VICE-CHANCELLOR SENATE	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Approval of the reporting date</p>
STUDENTS	Reporting on campus
DIRECTOR (BPGS)/SAA	Registration of students
SENIOR ACCOUNTANT	Receipting of payments from students
IN-CHARGE ACCOMMODATION	Assignment of students rooms if available
STUDENTS	Signing of nominal roll
	<p style="text-align: center;">End</p>

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iii. Supervision of Postgraduate Students

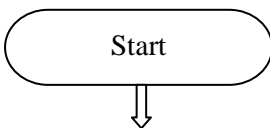
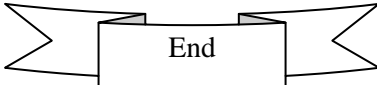
RESPONSIBILITY	ACTION
STUDENT	 Successful completion of course work or drafting of concept note
COD	Recommendation of two supervisors to work with students
DIRECTOR (BPGS)	Official appointment of the supervisors to guide students in writing proposals and conducting research
STUDENTS	Filling and submitting to the Graduate School Monthly Records of Consultation and Progress Reports
SUPERVISOR	Guidance of student in development of thesis/project proposal
COD/DEAN	Approval of submission of thesis/project proposal. NO/YES 
COD/DEAN/DIRECTOR (BPGS)/VICE-CHANCELLOR	Substantive appointment of supervisors to work with student until when ready to graduate 

iv. Processing of Postgraduate Students' Proposals

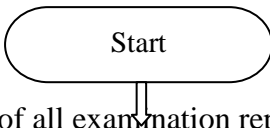
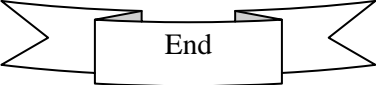
RESPONSIBILITY	ACTION
SUPERVISOR	 Recommendation to the Department that the proposal is ready for examination at department or faculty levels
COD/DEANS/DIRECTOR (BPGS)	Constitution of departmental and faculty Boards of Examiners
STUDENT	Taking of examination at Faculty and Departmental levels
DEPARTMENTAL EXAMINERS/ FACULTY BOARD OF EXAMINERS	Proposal verdict  NO YES
STUDENT AND SUPERVISORS	Submission of proposal to the Graduate School
DIRECTOR (BPGS)	Registration of a successful proposal
VICE-CHANCELLOR/ BPGS / DIRECTOR	Final official appointment of supervisors to work with the student 

v. Submission of a Draft Thesis/Project Report

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RESPONSIBILITY	ACTION
STUDENT	 Filing of intention to submit a thesis/project report
DIRECTOR	Communication to all examiners, recommended by the COD and the Dean, notifying them about the research report/thesis about to be submitted for examination
SUPERVISOR	Approval of the student to submit loosely bound thesis/project report to go to the Graduate School through the COD and Dean
DIRECTOR (BPGS)	Acknowledgement of receipt of loosely bound thesis/ project report and forwarding of the copies to the examiners
EXAMINERS (SUPERVISORS, INTERNAL & EXTERNAL)	Examination of the thesis or project and submission back to the Director (BPGS)
DIRECTOR (BPGS)	Receiving of examined reports and acknowledgement to the examiners 

vi. Organisation of Oral Examination

RESPONSIBILITY	ACTION
DIRECTOR (BPGS)	 Receiving of all examination reports from examiners
DIRECTOR (BPGS)/ DEAN	Notification of the candidate that all reports have been received and examination will be scheduled within 2 weeks (14 days)
DIRECTOR (BPGS)/ DEAN	Consultation to appoint Faculty Board of Examiners
DEAN	Convening of the Faculty Board of Examiners
FACULTY BOARD OF EXAMINERS	Orally examination of the candidate. Passing of a verdict on oral examination (pass, defer, fail)
DEAN	Announces verdict to the candidate
DIRECTOR (BPGS)	Official communication through writing to the candidate specifying the period required to effect corrections before submission of final thesis/project report. 

vii. Submission of Hardbound and Soft Copies of Theses/Project Reports

RESPONSIBILITY	ACTION
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SUPERVISOR	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Issuance of the certificate of correction to the student.</p>
STUDENT	Submission of a sample of one thesis or project report to the Director (BPGS) for inspection of quality
DIRECTOR (BPGS)	Cross-checking of the corrections as per the Graduate School minutes and when satisfactory, guidance of the student on thesis or project report binding procedures
STUDENT	Submission of 6 hard bound copies and 2 soft copies of the thesis or project report to the Director (BPGS) through the COD and Dean of Faculty.
DIRECTOR (BPGS)	Acknowledgement of receipt of the copies. Clearance of the student by issuing with a letter of proof.
	<p style="text-align: center;">End</p>

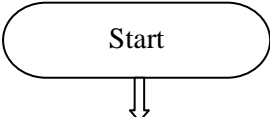

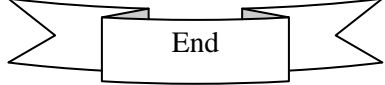
viii. Initiation of Payment of Service Providers

RESPONSIBILITY	ACTION
	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p>
EXTERNAL EXAMINER/ INTERNAL/SUPERVISOR	Filling of claim forms provided and submission together with an appointment letter to the Director (BPGS) through the COD and respective Dean
COD/ DEAN/ DIRECTOR (BPGS)	Recommendation of payment and forwarding of the claim to the DVC (ARSA) for authorization of payment.
DVC (ARSA)	Authorization of the payment of the claim
SENIOR ACCOUNTANT	Processing of the payment of the claimant
	<p style="text-align: center;">End</p>

ix. Appointment of external supervisors/theses examiners

RESPONSIBILITY	ACTION
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COD/ MEMBER OF ACADEMIC STAFF	 <p>Start</p>
EXTERNAL EXAMINER/ SUPERVISOR	<p>Identification of a relevant supervisor or External Examiner in a given discipline</p>
EXTERNAL EXAMINER/ SUPERVISOR	<p>Submission of Curriculum Vitae to the respective Department for verification of qualifications</p>
COD	<p>Scrutinizing of the credentials of the identified External Examiner or Supervisor</p>
DIRECTOR (BPGS)	<p>Ratification of the person or person(s) submitted for appointment as examiners</p> 
DIRECTOR (BPGS)	<p>Official appointment of the External Examiner or Supervisor, notification of COD, Dean of Faculty and the respective student by issuing them letters</p>  <p>End</p>