	Document Ref.: CU/SOP/BUSF/14	Issue Date: 20th August, 2019
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Document Title: STANDARD OPERATING PROCEDURE FOR UNDERGRADUATE STUDIES MANAGEMENT		

CHUKA UNIVERSITY

Standard Operating Procedure


For

Undergraduate Studies Management (CU/SOP/BUSF/14)

Document Review Sheet


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

Action	Name & Signature	Position	Date
Prepared & Revised by	Prof. Z. N. Waita	DIRECTOR, BUSF	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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1.0 AMENDMENT RECORD SHEET

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

Amendment Record Sheet

Amendment Date	Issue No.	Revision No.	Page No.	Subject of Review /Modification	Revised By	Reviewed & Approved By
20/8/2019	05	00	6 to 9	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	Director, BUSF	ISO M.R./VC
20/8/2019	05	00	9	Revised KPIs in quality objectives to be “measurable”	Director, BUSF	ISO M.R./VC
20/8/2019	05	00	9	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	Director, BUSF	ISO M.R./VC
20/8/2019	05	00	11	Revised risks to capture factually binding and persistent ones	Director, BUSF	ISO M.R./VC
20/8/2019	05	00	12	Generated stand-alone Opportunities for the Board and de-linked them from Risks	Director, BUSF	ISO M.R./VC

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2.0 GENERAL

2.1 Purpose

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

2.2 Scope

This procedure applies to and defines all the activities and processes carried out by the Board of Undergraduate Studies and Field Attachment.

2.3 References

- CU Charter, 2013
- CU Statutes, 2014
- CU Strategic Plan, 2017-2022
- CU Students' Information Handbook (current)
- CU ISO Quality Management System Manual (current)
- ISO 9001:2015 Standard Clauses 4 to 10
- CUE Regulations, Standards and Guidelines, 2014
- CU Catalogue, 2016
- KUCCPS Cluster Manual and D2C text document

2.4 Abbreviations

AR (AA)	Assistant Registrar (Academic Affairs)
BUSF	Board of Undergraduate Studies and Field Attachment
COD	Chairperson of Department
DVC (ARSA)	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
GSS	Government-Sponsored Students
HOD	Head of Department
KUCCPS	Kenya Universities & Colleges Central Placement Services
R (AA)	Registrar (Academic Affairs)
SSP	Self-Sponsored Programmes

2.5 Definitions


SSP Students: Students who do not benefit fully from government fees subsidy

GSS: Students admitted by KUCCPS and benefit from government fees subsidy.

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

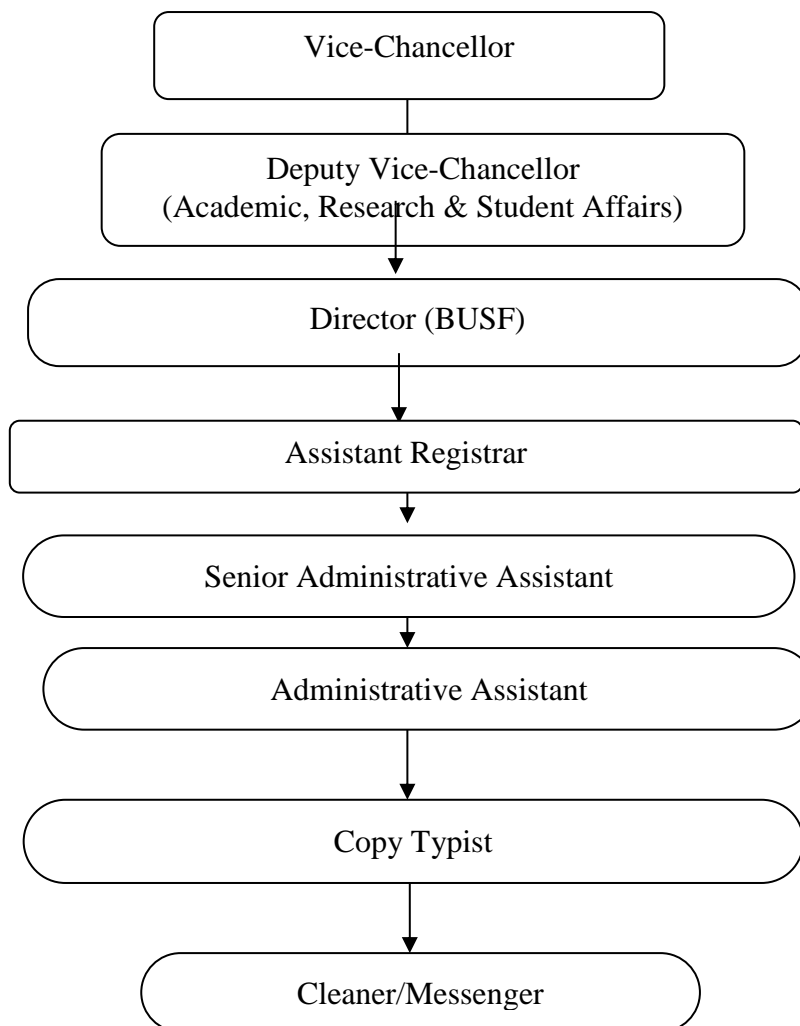
2.6. Responsibility

The Director (Board of Undergraduate Studies and Field Attachment) 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 its 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.

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3.0. ADMINISTRATIVE STRUCTURE

The Board of Undergraduate Studies and Field Attachment is one of the directorates within the University. The current administrative structure for the directorate is as follows:




4.0 PROCESSES

4.1 Overview

The Office of the Director (Board of Undergraduate Studies and Field Attachment) is responsible for CU's conduct of undergraduate studies.

The core activities of the office include:

- Co-ordination of the award schemes of academic excellence for undergraduate students and forwarding recommendations to the Deans' Committee.
- Co-ordination of field/industrial attachment and teaching practice programmes.

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- Participating in preparation of the University catalogue.
- Review and Recommendation of Undergraduate Programmes
- Co-ordination and recommendation of rules and regulations formulated by departments and faculties to govern undergraduate programmes.

The other activities of the Board include: Promotion of interdisciplinary collaboration at undergraduate level with a view of facilitating coherence and resource use optimization with regard to training.

4.2 Process for Coordinating the Award Schemes of Academic Excellence

4.2.1 Source

CU/SOP/FACU/6-10

4.2.2 Required Inputs/Resources

Standard and guidelines

List of candidates

Facilitation budget

Suitable venue

Stationery

4.2.3 Expected Outputs


Consolidated list of awards

4.2.4 Receiver

CU/SOP/VCIM/01

4.2.5 Process Details

No.	Process Details/Description	Output	Responsibility
1.	Receive lists of candidates to be awarded prizes and scholarships from the Deans of Faculties and	List and consolidate score sheets	Director
2.	Vet the list of candidates to determine whether they have met the award criteria. If they have met the criteria, forward the names to the Deans' committee. (a) If they do not meet the criteria they are returned to Deans for correction.	Vetted lists	Director
3.	Consolidate the list and forward to the Deans' Committee	Consolidated list	Director
4.	Forwarded the final list for tabling in the Deans' Committee.	Final list with awarded candidates	DVC (ARSA)

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4.3 Process for Coordinating Attachment and Teaching Practice

4.3.1 Source

CU/SOP/ACAD/16-21, 34-37, 42-44

4.3.2 Required Inputs/Resources

- Schedules for field/attachment, practicum and teaching practice
- List of names of students and the places they will be going for attachment from CODs
- Financial requests from CODs
- Stationery and teaching staff for assessment

4.3.3 Expected Outputs


- Letter of introduction to attachment institutions.
- Placed/attached students

4.3.4 Receiver(s)

CU/SOP/ACAD/16-21, 34-37, 42-44

4.3.5 Process Details

No.	Process Details/Description	Output	Responsibility
1.	Schedules of field/industrial attachment, practicum and teaching practice from CODs received three months prior to the commencement of attachment.	Field, industrial attachment, practicum and teaching practice schedules	Director
2.	Guidelines for engaging the students are issued 3 months before start of attachment.	Attachment guidelines	Director
3.	Financial requests are prepared and forwarded to the Director (BUSF).	Proposed financial requests	CODs
4.	The Directors (BUSF) recommends the requests and forwards to the DVC (ARSA) to forward to the VC for approval	Recommended and approved financial requests	DVC (ARSA) & Vice-Chancellor
5.	CODS forward students and the places they will be going for attachment to the Director (BUSF) to issue introduction letters	Final list of students proceeding for attachment	CODs
6.	Students are furnished with a letter of introduction to those institutions, one week to the date of reporting for attachment.	Introductory letter	Director
7.	The Director (BUSF) receives a copy of a report on the attachment from the institution where the student is placed.	Copy of reports from host institutions	Director
8.	On behalf of the Vice-Chancellor, write letters of appreciation to the institutions that accepted students for attachment	Appreciation letters	Director

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4.4 Process for Participating in Preparation and Review of the University Catalogue

4.4.1 Source

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

4.4.2 Required Inputs/Resources

Draft academic programmes

CUE standards and regulations

University statutes and board members (experts)

Facilitation budget

Suitable venue

Stationery

4.4.3 Expected Output

Revised academic programmes

4.4.4 Receiver(s)

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


4.4.5 Process Details

No.	Process Details/Description	Output	Responsibility
1.	The Director (BUSF) requests all Departments to forward draft programmes	Draft programmes	Director
2.	The Director (BUSF) convenes meetings to review the programmes per Faculty.	Minutes of the review meeting.	Director
3.	The Board scrutinizes programmes and forwards to the Senate for approval. (a) If they do not meet CUE standards they are returned to the respective Faculties to effect corrections suggested by the Board.	Amended academic programme	Director
4.	Programmes are transmitted to the Senate for discussion and approval.	Recommended programmes	Director Registrar (AA)
5.	The approved programmes are sent to typesetting officer and reviewed	Approved programmes	DVC (ARSA)
6.	A requisition is raised and forwarded to the VC to approve for printing as per CU/SOP/PROD/25	Requisition letter	DVC (ARSA)
7.	The printed catalogue is circulated for use by teaching staff and implementation	Approved catalogue	Registrar (AA)

4.5 Process for Review and Recommendation of Undergraduate programmes rules

4.5.1 Source

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

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4.5.2 Required Inputs/Resources

Common core course
Board members (experts)
Standard and guidelines
Facilitation budget
Suitable venue
Stationery

4.5.3 Expected Output

Minutes with recommendations

4.5.4 Receiver(s)

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

4.5.5 Process Details

No.	Process Details/Description	Output	Responsibility
1.	Common core courses are identified and recommended to the Director, Examinations and Time-tabling on integration and size of groups taking the courses.	Common core courses	Director
2.	A meeting is held with one of the items on the agenda being to review the quality of undergraduate diploma programmes.	Minutes of the review meeting.	Director
3.	Members deliberate on the factors that may affect the quality of the programmes.	Resolutions	Director
4.	The minutes are circulated to the Vice-Chancellor and the DVC (ARSA)	Minutes	Director
5.	The issues deliberated are reported to the Senate during its regular meetings.	Minutes	Director


5. RECORDS/RETAINED DOCUMENTED INFORMATION

1. BUSF-ML 01 Student attachment Log Book
2. BUSF-ML 02 Student Teacher Confidential Report
3. BUSF-ML 03 NITA Field Attachment Form
4. BUSF-ML 04 Other Institutional Attachment forms
5. Board Minutes
6. Letters of offer

6. KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

6.1. Performance Indicators


1. Number of scholarship and recognition awardees
2. Percentage of successful placements
3. Percentage of attachés who successfully complete attachment

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4. Number of programmes reviewed and approved
5. Volumes of catalogue compiled and circulated to faculties
6. Number of common core courses reviewed and recommended

6.2. Quality Objectives

Linked Strategic Objective			
SO 2: Provision of Relevant Quality Education and Training			
1. Quality Objective: To increase coordination of University excellence award scheme and identify awardees once per year for 7 Faculties up from 5 Faculties			
Strategy (Actions/Activities required to achieve the objective)			
1. Vet award lists received from Faculties for conformity with set criteria			
2. Forward qualified candidates to the Deans' Committee			
Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
Director, BUSF Deans DVC (ARSA) Vice-Chancellor	Board members List of awardees and their qualifications References	Once per year	Number of awardees identified and Faculties covered
Review dates:	Once per year		
Linked Strategic Objective			
SO 2: Provision of Relevant Quality Education and Training)			
2. Quality Objective: To increase placement of diploma and bachelor's degree students for field attachment, practicum and teaching practice to 100%			
Strategy (Actions/Activities required to achieve the objective)			
1. Introduction of students to prospective host institutions			
2. Placement of students to the host institutions			
3. Coordinating the supervision and evaluation of the attachments			
Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
Director BUSF, CODS	Expert staff References	Continuous	Percentage of students placed and completing attachment
Review dates:	Once per year		
SO 1: Expansion of relevant Market Driven Courses			
3. Quality Objective: To increase vetting, of undergraduate academic programmes to incorporate changing market demands and meet university and regulatory bodies standards, from <i>ad hoc</i> basis to once every quarter			
Strategy (Actions/Activities required to achieve the objective)			
1. Organize stakeholders' meetings			
2. Hold board meetings to scrutinize draft programmes for conformity with current regulations			
3. Forward programmes to Senate for approval			
Responsibility	Resources Required	Timeline	Measure Of Success (KPIs)
Director, BUSF, CODS	Experts Board members References	Continuous	No. of curricula and common courses vetted and recommended to the Senate
Review dates:	Once per month		

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Risk Identification Table

Project /Process Name: UNDERGRADUATE STUDIES & ATTACHMENT


Project /Process Code: CU/SOP/BUSF/14

SN	Risk	Source (How can the risk occur)	Impact (What is the impact of the risk occurring)
1	Erroneous award of recognition and academic excellence	Inadequate vetting of identification process	Poor student development into staff
2	Student failing to get attachment hosts	Lack of placement institutions/hosts	Student will not be graded and cannot proceed to the next year of study
2	Injury or sickness during attachment or teaching practice	Work place accident	Student may not complete attachment
3	Litigation/complaints	Hosting institutions	Monetary loss to the University Bad reputation/corporate image
4	Poor quality of academic programmes	Poor departmental curriculum development and lack of adequate scrutiny by the Board	Non-approval of curriculum by accreditation body (CUE)

Risks register

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

Document Ref: CU/SOP/BUSF/14 - Undergraduate Studies Management												
Procedure/ Project/Process Name: Undergraduate Studies Management								Actual Risk as @ 20/8/2019				
Risk name/ description	Risk Consequences	Likelihood (L)	Consequence (C)	Potent Risk (L x C)	Mitigations/controls (Opportunities source)	Risk Owner	Monitoring (when)	LA	CA	RI= LA*CA	RR%= RI/PR	EC%
Erroneous award for academic excellence	Poor staff development output	1	3	3	Vetting of selection process	Deans of Faculties D, BUSF	Annually	1	0	0	0	100%
Student failing to get attachment placement	Student will not be graded and cannot proceed to the next year of study	2	3	6	Timely action to address failure and seek alternative placement	COD D, BUSF	Once per semester	2	1	2	33%	67%
Injury or sickness during attachment	Student may not complete attachment session	2	3	6	Field attachment Insurance/ Repeat attachment exercise	D, BUSF	Once per semester	2	0	0	0	100%


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Litigation/ complaints	Monetary loss to University Bad image	3	3	9	Student insurance during attachment period	Top Management	Annually	2	2	4	44%	56%
Poor quality of academic programmes	Non-approval of curriculum by Oversight body (CUE)	3	3	9	Scrutiny and approval of programmes by Board and Senate	CODS, Deans, D, BUSF, Senate	Continuous	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	Increased demand for high education	Review and approve curricula from departments for forwarding to senate.	Once per semester	70%
2	Availability of demand and support from government agencies for students to undertake field work/ industrial attachment i.e. CUE and NITA	Process all diploma and bachelor's degree students for attachment.	Once per semester	100%
3	Availability and goodwill from institutions where students go for teaching practice, field /industrial attachment and practicum	Maintain a good working relationship with the institutions	Continuous	100%
4	Availability of scholarships and awards	Nominate students who qualify for the scholarships and awards	Once per year	100%
5	Existence of institutions for linkages and partnerships	Nominate students for internship/ placements/ attachment	Once per semester	100%
6	Accessible and good transport and Communication network	Easily plan routes for field supervision of students	Once per semester	100%


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APPENDIX I: PROCESS MAPS:

i. Coordinating award Schemes of academic excellence


RESPONSIBILITY	ACTION
DIRECTOR (BUSF)	<div style="text-align: center;">  ↓ Receiving of lists of candidates for award of prizes and scholarships from Deans of Faculties </div>
DIRECTOR (BUSF)	<div style="text-align: right;"> NO YES </div> Forwarding with recommendations
DVC (ARSA)	<div style="text-align: center;">  End </div> Approval by Deans Committee

ii. Coordinating Field Attachment and Teaching Practice


RESPONSIBILITY	ACTION
DIRECTOR (BUSF)	<div style="text-align: center;">  ↓ Receiving of schedules of attachments and Teaching Practice from respective departments </div>
DIRECTOR (BUSF)	Provision of guidelines for engaging the attachment provider
CODs	Preparation of financial requests
DIRECTOR BUSF/ DVC (ARSA)	<div style="text-align: right;"> NO YES </div> Forwarding and recommendations of financial requests
VICE-CHANCELLOR	Authorisation of financial requests to conduct the attachments
CODs	Forwarding names of students and respective places of attachment to Director (BUSF)
DIRECTOR (BUSF)	Furnishing students with letters of introduction
STUDENTS	Reporting for attachment
SUPERVISORS/HOST	Assessment of students orally and through a report
STUDENTS	Writing and submission of reports
SUPERVISORS	Evaluation of reports and awarding of marks
SUPERVISORS	Forwarding grades to the department for unit assessment
DIRECTOR BUSF	Writes letters of appreciation to institutions that hosted the students

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iii. Coordinating preparation of the catalogue

CODS	<div style="text-align: center;">  ↓ Forwarding of programmes to the directorate </div>	
DIRECTOR (BUSF)	Scrutinizing of programmes for adherence to stipulated rules and regulations	NO YES
DVC (ARSA) SECRETARIAT	Consolidation, typesetting and forwarding to DVC (AA)	
DVC (AA)	Review, Approval and Printing	
DVC (ARSA) & DIRECTOR (BUSF)	Circulation of the catalogue	<div style="border: 1px solid black; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center;"> End </div>

iv. Review of and Recommendations of the quality of undergraduate degree and diploma programmes

DIRECTOR (BUSF)	<div style="text-align: center;">  ↓ Identification and recommendation of operations such as integration or division of groups studying common core courses to the Director (EXTT) </div>	
DIRECTOR (BUSF)	Meeting to review quality of Undergraduate semester once per semester	
BUSF SECRETARIAT	Consolidation, typesetting and forwarding to DVC (AA)	
DIRECTOR (BUSF)	Circulation of minutes of the meetings to Vice-Chancellor and DVC (ARSA)	
DIRECTOR (BUSF)	Reporting any issues arising to the Senate for further deliberation and action	<div style="border: 1px solid black; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center;"> End </div>

v. Coordination and recommendation of rules and regulations formulated by departments and faculties

CODS	<div style="text-align: center;">  ↓ Forwarding proposed programs to the Directorate </div>	
DIRECTOR (BUSF)	Discussion and scrutinizing of programmes for quality and conformity and forwarding to Senate or returning to the department with the appropriate comments	NO YES
SENATE	Approval or return the programmes to the department with comments	NO YES
CODS	Implementation of approved programme rules and regulations	<div style="border: 1px solid black; border-radius: 50%; width: 40px; height: 40px; display: flex; align-items: center; justify-content: center;"> End </div>