	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
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# CHUKA UNIVERSITY

## Standard Operating Procedure


For

## Teaching and Examination Management (CU/SOP/ACAD/16-21, 34-37, 42-44)

### 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	Appointees	Chairpersons of Departments	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.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

## CONTENTS

<b>COVER PAGE.....</b>	<b>1</b>
<b>DOCUMENT REVIEW SHEET.....</b>	<b>1</b>
<b>1.0. AMENDMENT RECORD .....</b>	<b>3</b>
<b>2.0. GENERAL.....</b>	<b>4</b>
2.1 Purpose.....	4
2.2 Scope.....	4
2.3 References.....	4
2.4 Abbreviations.....	4
2.5 Definitions.....	4
2.6 Responsibility.....	5
<b>3.0. ADMINISTRATIVE STRUCTURE.....</b>	<b>5</b>
<b>4.0. PROCESSES.....</b>	<b>5</b>
4.1. Overview.....	5
4.2. Process for Designing, Developing and Reviewing of Curricula .....	6
4.2.1. Curriculum Design and Development.....	6
4.2.2. Curriculum Review.....	7
4.3 Process for Initiating Appointment and Payment of Part-time Lecturers.....	8
4.4. Process for Allocating Courses to Lecturers.....	9
4.5. Process for Requisitioning Teaching Materials.....	10
4.6. Process for Registering Students in Courses.....	11
4.7. Process for Recommending Postgraduate Students for Admission.....	12
4.8. Process for Coordinating and Supervising Teaching.....	13
4.9. Process for Planning and Implementing Academic Field Trips.....	14
4.10. Process for Processing Examinations (Setting, Moderating Drafts, Invigilating, Marking, Submitting Results and Moderating Scripts).....	15
4.10.1. Setting and moderating drafts.....	15
4.10.2. Invigilating examinations.....	17
4.10.3. Marking and submitting results.....	18
4.10.4. External moderation of scripts.....	19
4.11. Process for Implementing Students’ Field Attachment.....	20
4.12. Process for Examining Students’ Projects.....	21
4.12.1. Postgraduate students.....	21
4.12.2. Undergraduate students.....	22
4.13. Process for Initiating Appointment of External Examiners of Theses.....	23
4.14. Process for Supervising Academic Advising.....	24
4.15. Process for Handling Departmental Complaints .....	25
4.15.1. Complaints on lecturer and student.....	25
4.15.2. Complaints on academic staff.....	25
4.15.3. Non-academic complaints.....	26
<b>5.0. RECORDS/RETAINED DOCUMENTED INFORMATION.....</b>	<b>26</b>
<b>6.0. KEY PERFORMANCE INDICATORS/QULAITY OBJECTIVES.....</b>	<b>27</b>
<b>6.1. Key Performance Indicators.....</b>	<b>27</b>
<b>6.2. Quality Objectives.....</b>	<b>27</b>
<b>RISK REGISTER.....</b>	<b>30</b>
<b>OPPORTUNITIES REGISTER.....</b>	<b>31</b>
<b>APPENDIX: PROCESS MAPS.....</b>	<b>32</b>


	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

## 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 26	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	CODs	ISO M.R./VC
20/8/2019	06	00	27	Revised KPIs in quality objectives to be “measurable”	CODs	ISO M.R./VC
20/8/2019	06	00	27	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	CODs	ISO M.R./VC
20/8/2019	06	00	30	Revised risks to capture factually binding and persistent ones	CODs	ISO M.R./VC
20/8/2019	06	00	31	Generated stand-alone Opportunities for the Departments and de-linked them from Risks	CODs	ISO M.R./VC

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

## 2.0 GENERAL

### 2.1. Purpose

The purpose of this procedure is to ensure that processes in the academic departments are managed effectively and efficiently to ensure compliance with the International Standard, the University's and the Government's statutory regulations during service delivery to students.

### 2.2. Scope

This procedure applies to teaching activities in the academic departments of Chuka University.

### 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
- CU Catalogue, 2016
- CU Students' Information Handbook (Current)
- ISO 9001:2015 Standard Clauses 4 to 10
- CU ISO Quality Management System Manual (Current)

### 2.4. Abbreviations


<b>BUSF</b>	Board of Undergraduate Studies and Field Attachment
<b>CATs</b>	Continuous Assessment Tests
<b>CF</b>	Credit Factor
<b>COD</b>	Chair of the Department
<b>CU</b>	Chuka University
<b>DVC (ARSA)</b>	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
<b>DVC (AFPD)</b>	Deputy Vice-Chancellor (Administration, Finance, Planning & Development)
<b>HOD</b>	Head of Department
<b>KUCCPS</b>	Kenya Universities & Colleges Central Placement Services
<b>PC</b>	Performance Contract
<b>Ph.D.</b>	Doctor of Philosophy
<b>QA</b>	Quality Assurance
<b>SSP</b>	Self-Sponsored Programmes
<b>VC</b>	Vice-Chancellor

### 2.5. Definitions

**Academic advisors:** Lecturers advising students on academic and career matters.

**External examiner:** An examiner who is not an employee of CU, appointed to moderate examinations or evaluate a thesis.

**External lecturers:** lecturers who are employees of CU on part-timer basis

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

**Field attachment:** Experience gained in potential employer’s organization/set up to give a student in-depth organizational and administrative experience.

**Field trips:** An excursion for academic purposes outside the University premises.

**KUCCPS Students:** Students placed by KUCCPS and benefit from government fees subsidy.

**SSP Students:** Students who do not benefit full from government fees subsidy.

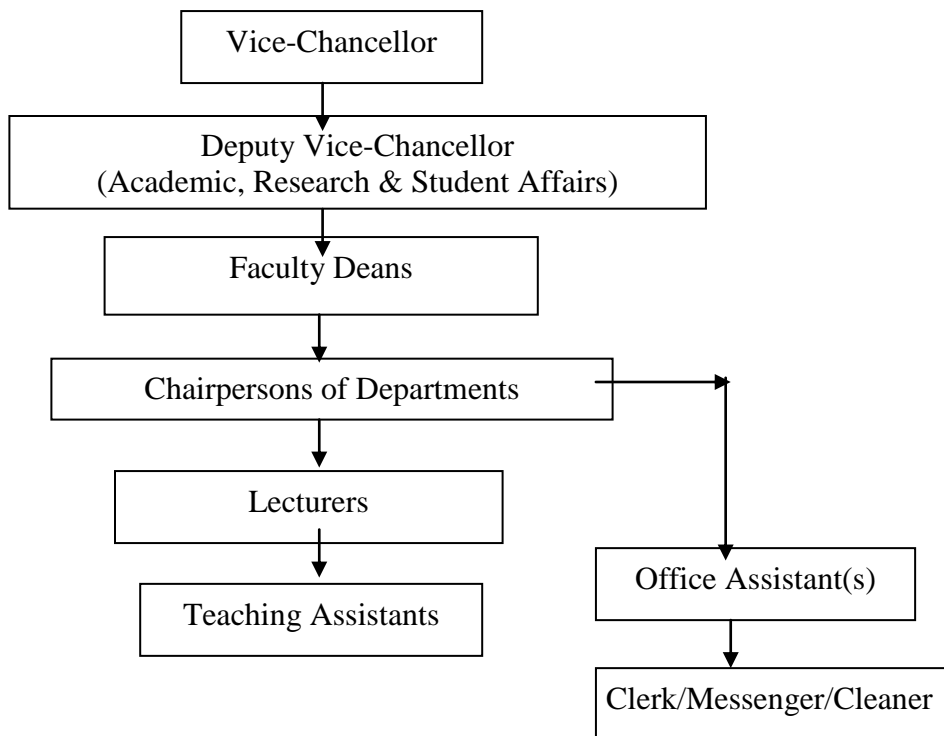
**Potent Risk:** Refers to potential raw risk that is anticipated.

## 2.6. Responsibility

The Chairpersons of Departments have the primary responsibility of ensuring that these processes are implemented and remain adequate for their intended purpose. Each Chairperson of Department has the primary responsibility 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 current administrative structure for the Academic Department is as follows:




## 4.0 PROCESSES

### 4.1 Overview

The Academic Departments are responsible for the teaching and examination of academic programmes as required by the Senate under various rules and regulations. The core activities of Academic Departments include:

- (i) Planning, Designing and Reviewing of Curricula
- (ii) Initiating Appointment and Payment of Part-time Lecturers

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

- (iii) Allocating Courses to Lecturers
- (iv) Requisitioning Teaching Materials
- (v) Assisting Faculties to Register Students in Courses
- (vi) Recommending Postgraduate Students for Admission
- (vii) Coordinating and Supervising Teaching
- (viii) Planning and Implementing Academic Field Trips
- (ix) Processing Examinations (Setting, Moderating Drafts, Invigilating, Marking, Submitting Results and Moderating Scripts)
- (x) Processing Students for Field Attachment
- (xi) Examining Students' Projects
- (xii) Initiating Appointment of External Examiners of Theses
- (xiii) Supervising Academic Advising
- (xiv) Handling Departmental Complaints
  - a) Complaints on Lecturer and Student
  - b) Complaints on Academic Staff
  - c) Non-Academic Complaints

## 4.2 Process for Designing, Developing and Reviewing Curricula

### 4.2.1 Curriculum Design and Development

#### Source

CUE; Top Management; Stakeholders e.g. KCSE handlers

#### Required inputs/resources

- Need identification and justification
- Standards and guidelines
- Resource persons
- Budgetary allocation

#### Expected outputs


- Approved curriculum

#### Receivers

Teaching Departments; Top Management

#### Procedure details

No.	Description	Output	Responsibility
1.	A curriculum that is in demand by clients and training needs gap analysis is identified	Needs assessment report	COD & subject specialists
2.	A sub-committee is constituted comprising subject matter specialists/expert staff to design and draft the curriculum	Draft Curriculum	COD
3.	Table the draft curriculum in a Departmental Board meeting for evaluation, suggestions	Minutes	Departmental sub-committee

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

	and improvements.		chair
4.	A stakeholders' workshop is organised, where necessary	Stakeholder workshop report	COD
5.	Departmental Board meets, reviews and improves the draft curriculum	Review Minutes	Departmental Board & COD
6.	The draft is forwarded to the Dean of the respective Faculty.	Forwarding letter/memo	COD
7.	Convene the Faculty Board to discuss the draft curriculum	Invitation letter/memo	Dean
8.	Faculty Board meets, reviews and improves the draft curriculum	Review Minutes	Faculty Board
9.	Forward the draft curriculum to the Board of Undergraduate Studies or Board of Postgraduate Studies for verification and harmonization	Forwarding letter and Departmental draft curriculum	Dean
10.	Convene the Board of Undergraduate Studies or Board of Postgraduate Studies to discuss the draft curriculum	Invitation letter	Director, BUSF or BPGS
11.	Board of Undergraduate Studies or Board of Postgraduate Studies meets, reviews and improves the draft curriculum	Review Minutes	Director, BUSF or BPGS
12.	Forward the draft curriculum to the Registrar Academic Affairs to submit to Senate	Forwarding letter	Director, BUSF/ BPGS
13.	Table the curriculum in the Senate for adoption and discussion	Minutes of the Senate	Dean of Faculty
14.	Approval of the curriculum and release for implementation	Approved Curriculum	Senate

#### 4.2.2 Activities in Curriculum Review

##### Source

Senate; Top Management


##### Required inputs/resources

- Need identification and justification
- Standards and guidelines
- Resource persons
- Budgetary allocation

##### Expected outputs

- Approved curriculum
- Minutes of deliberations

##### Receiver(s)

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

Senate; Top Management; CU/SOP/FACU/6-10; CU/SOP/BUSF/14; CU/SOP/BPGS/13

### Procedure details

No.	Description	Output	Responsibility
1.	Initiate curriculum review in the department five years after design or previous review.	Department curriculum review Minutes	COD
2.	Present a request to the DVC (ARSA) with details of the curriculum to be reviewed, date of last review, justification and the proposed stakeholders to be invited to the workshop.	Letter	COD
3.	Approval of the request	Approval letter	DVC (ARSA)
4.	Organize a stakeholders' workshop	Invitation letters	COD
5.	A secured copy of the draft curriculum is sent to the proposed stakeholders upon confirmation of participation	Email, letter	COD
6.	The workshop budget is prepared and forwarded to the DVC (ARSA) for recommendation for approval	Approved Budget	VC
7.	Departmental/Faculty sub-committee is set up, meets and oversees workshop logistics.	Meeting Minutes	COD/Dean
8.	The reviewed curriculum is then approved through the same channels as for a new one.	Approved curriculum	CODs, Deans, Directors, Senate

## 4.3 Process for Initiating Appointment and Payment of Part-time Lecturers

### 4.3.1 Source

Part-time lecturers' applications

### 4.3.2 Required inputs/ resources

- Need identification and justification
- Standards and guidelines
- Resource persons (Departmental Board and Office Assistants)
- Part-timers database in EZEN

### 4.3.2 Expected outputs

- Appointed part-time lecturers
- Paid part-time lecturers


### 4.3.4 Receiver(s)

CU/SOP/FACU/6-10; Senate; CU/SOP/VCIM/01; CU/SOP/FIND/24

### 4.3.5 Procedure details

No.	Description	Output	Responsibility
1.	Identification of need for additional lecturers	Minutes	COD



	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

	during course allocation meeting		
2.	Identification of external/part-time lecturers 2 months to the beginning of a semester.	Advertisement/part-time lecturers database	COD
3.	The Office Assistant opens a file for keeping the application packages as they are received from the external lecturers.	Filed applications	COD
4.	The Department meets and recommends qualified candidates and forwards the application packages to the Dean 1 month to the beginning of the semester.	Minutes and forwarding letter	Departmental Board/COD
5.	The Faculty recommends the lecturers and forwards the application to the DVC (ARSA) 2 weeks to the beginning of the semester.	Forwarding letter	Dean
6.	The approved qualified and vetted candidates are forwarded via EZEN to the R (A&P) 2 weeks to the beginning of the semester.	Approvals	DVC (ARSA)
7.	R (A&P) issues appointment letters from EZEN to qualified lecturers, indicating reporting date and terms of service, 1 week to the beginning of the semester.	Appointment letters	Registrar (A&P)
8.	The appointed part-time lecturer reports to work and is orientated in the first week.	Attendance register, Orientation schedule	COD
9.	The part-time lecturer teaches and examines the allocated course(s) for the full semester (17 weeks).	Course outline Class attendance list Exam attendance list	COD
10.	The part-time lecturer submits marked scripts to the COD within 2 weeks after the end of examination period.	Marking Schemes, Marked scripts, sheets, exam processing form	COD
11.	The part-time lecturer fills Claim in EZEN and submits them within 4 weeks after the end of examination period. The claim is vetted, validated and approved in 4 stages	Filled claim forms	Class leader COD DVC (ARSA) R (A&P)
12.	Payment is made via payroll for the Part-time Lecturers (CU/SOP/FIND/24) on monthly basis from date of receiving Claim.	Cheque	Finance Officer


#### 4.4 Process for Allocating Courses to Lecturers

##### 4.4.1 Source

Catalogue; Senate

##### 4.4.2 Required inputs/resources

- Statutes/Teaching and Examination Policies
- Schedule of courses to be taught/Catalogue

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

- Standards and guidelines
- Resource persons (lecturers)

#### 4.4.2 Expected outputs

- Course allocation schedule
- Minutes of course allocation meeting

#### 4.4.4 Receiver(s)

CU/SOP/EXTT/12; CU/SOP/QAPC/11; Lecturers

#### 4.4.5 Procedure details

No.	Description	Output	Responsibility
1.	Identification of courses for an upcoming semester from the catalogue 2 month before the beginning of the semester.	Course schedule	Examination officer, COD
2.	Communication of the service courses to the relevant departments 2 month before the beginning of the semester.	Letter	COD
3.	Course allocation meeting is held for all departmental academic staff. (a) Each lecturer is allocated normal teaching load depending on office responsibilities held. Thus: 12 CFs for non-office bearers; 9 CFs for CODs and 6 CFs for Deans/Directors. Minimum of 6 CFs for part-time lecturers. (b) Extra 6 CFs above corresponding normal load is limit allowed for effective teaching.	Minutes	Lecturers, COD
4.	Forwarding of the allocation to the DVC (ARSA) to approve and forward to the Director (Timetabling & Examinations) for implementation through preparation of timetables (as per the procedure CU/SOP/EXTT/12). (a) Copies are submitted to Director (QAPC), Dean of Faculty and Finance Officer (b) One copy is filed in the Department.	Course allocation, forwarding letter	COD


### 4.5 Process for Requisitioning Teaching Materials

#### 4.5.1 Source

Lecturers; CU/SOP/EXTT/12

#### 4.5.2 Required inputs/resources

- Need identification and justification
- Standards and guidelines

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

- Resource persons (Experts)
- Catalogue; Semester schedule
- Course allocations

#### 4.5.3 Expected outputs

- Teaching materials

#### 4.5.4 Receivers

Lecturers; students; Top Management; CU/SOP/PROD/25

#### 4.5.5 Procedure details

No.	Description	Output	Responsibility
1.	Convening of Departmental Board to prepare for the needs of the upcoming semester	Meeting invitation memo	COD
2.	Identification of teaching materials for the courses two months prior to the beginning of the semester.	List of identified materials	Lecturer
3.	Submission of the list to the servicing COD.	List submitted	Lecturers
4.	Consolidation of the lists in consultation with the librarian/technologists.	Consolidated list	COD
5.	Request for authority to procure materials from DVC (AFPD)/VC through the DVC (ARSA)	Request letter	COD
6.	Filling of the official requisition form (CU/DEPT/REQU/1) and forwarding to the DVC (AFPD)/VC through the DVC (ARSA) for approval of procurement of the items.	Approved requisition form	COD
7.	The approved requisition is forwarded to the Procurement Department for sourcing of the materials as per the Procurement Procedure (CU/SOP/PROD/25).	Teaching materials	Procurement Officer

#### 4.6 Process for Registering Students in Courses

Note: this process is automated for direct data entry into computer spread sheets at Dean's office

##### 4.6.1 Source


CU/SOP/FIND/24; CU/SOP/RACA/05; CU/SOP/BPGS/13

##### Required inputs/resources

- Standards and guidelines
- University Catalogue
- Semester schedule of courses

##### 4.6.2 Expected outputs

- Registered students
- Mark sheet templates

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.6.3 Receiver(s)

Lecturers; CU/SOP/FACU/6-10; CU/SOP/FIND/24

#### 4.6.5 Procedure details

No.	Description	Output	Responsibility
1.	Collection of the individual course registration forms (CU/DEPT/FORM/4) from the Department as soon as the semester begins.	Distribution list	Administrative Assistant
2.	Filling of the forms in triplicate with the personal particulars, codes and titles of the courses to be taken in the semester by referring to the University Catalogue or curriculum documents.	Filled course registration forms	Students
3.	The students take registration forms to the respective lecturers for signing in turns.	Signed forms	Students, Lecturer
4.	Presentation of the duly filled and signed course registration forms to the Chair of Department within the first two weeks of the semester.	Duly filled and signed forms	Student, COD
5.	Filling of class registration form the official names and registration numbers and presentation to their respective lecturers for signing.	Filled class registration forms	Student, Lecturer
6.	The lecturers take and present the class registration forms to the COD.	Signed class registration forms	Lecturer
7.	Tallying of the information in the individual course registration forms with the one in the course schedule and entering the final and correct information in the course registration form. Should the two documents not tally for any reason, the correct information is searched and entered.	Harmonized course registration forms	COD
8.	The entered information is used to make mark sheets for the students. The records are kept in an orderly manner in hard and soft copy format.	Mark sheets	Administrative Assistant
9.	The harmonised mark sheets are used by lecturers for entering in marks at the end of the semester.	Mark sheets distribution list	Administrative Assistant


#### 4.7. Process for Recommending Postgraduate Students for Admission

##### 4.7.1 Source

CU/SOP/BPGS/13

##### 4.7.2 Required inputs/resources

- Standards and guidelines
- University catalogue
- Application packages from prospective students

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.7.3 Expected outputs

- Admitted students

#### 4.7.4 Receiver(s)

CU/SOP/FACU/6-10

#### 4.7.5 Procedure details

No.	Description	Output	Responsibility
1.	Receiving of application packages from the Director (BPGS).	Application package	COD
2.	Appointment of one expert or a panel of experts qualified in the area of interest of the candidate to review the pre-proposal/concept note within a period of 5 days.	Appointment letter	COD
3.	Submission of a report with comments to the Chairperson of Department.	Expert report	Expert/experts panel
4.	Convening a departmental meeting to discuss the report after which appropriate verdict and recommendation is passed.	Meeting minutes	COD
5.	The verdict and the appropriate recommendation on the application form is submitted to the Dean of Faculty alongside a copy of minutes of the departmental meeting for further processing (CU/SOP/FACU/6-10).	Forwarding letter	COD

#### 4.8 Process for Coordinating and Supervising Teaching

##### 4.8.1 Source

CU/SOP/EXTT/12

##### 4.8.2 Required inputs/resources


- CUE Standards and guidelines
- Statutes and Service Charter
- Code of Conduct and Ethics Policy
- Teaching/consultation timetables
- Teaching and examination regulations
- Chuka University Catalogue

##### 4.8.3 Expected outputs

- Coordinated and supervised teaching

##### 4.8.4 Receiver(s)

Students; Top Management

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.8.5 Procedure details

No.	Description	Output	Responsibility
1.	Preparation of course outlines using descriptions in the University Catalogue.	Course outlines	Lecturers
2.	Presentation of a copy to the COD in the first week of lectures, for approval.	Approved course outlines	Lecturers, COD
3.	Issuance of course outlines to all students on the first day of lectures. (a) These course outlines are discussed to take into stock students expectations.	Signed distribution list	Lecturer
4.	Teaching is conducted and supervised as timetabled and as in the course outline.	Class attendance registers	Lecturer, COD
5.	Administration of at least two CATS to the students; the first between the 4 <sup>th</sup> and 6 <sup>th</sup> week, and the second between 10 <sup>th</sup> and 12 <sup>th</sup> week.	CAT attendance lists, Mark sheets	Lecturers
6.	Giving feedback on the CATs to the students within 2 weeks after the date of the administration of the CATs.	Marked scripts	Lecturer
7.	Teaching up to the 15 <sup>th</sup> week, followed by examinations in the 16 & 17 weeks. (a) Where the activities do not happen as exactly stipulated due to unavoidable but acceptable circumstances, the lecturers ensure they arrange for makeups.	Class and examination attendance list	Lecturer, COD

#### 4.9 Process for Planning and Implementing Academic Field Trips

##### 4.9.1 Source

Lecturers; CU/SOP/EXTT/12

##### 4.9.2 Required inputs/resources


- University Catalogue
- Trip objectives and budget
- Destination acceptance letters
- Rationalised and approved destinations
- Transport vehicles and course instructor(s)

##### 4.9.3 Expected outputs

- Field trip attendance
- Trip performance report

##### 4.9.4 Receiver(s)

CU/SOP/TRAD/31; CU/COP/FIND/24; CU/SOP/VCIM/01; Students

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.9.5 Procedure details

No.	Description	Output	Responsibility
1.	Identification of courses requiring field trips one month before the start of the semester.	Courses needing trips	Lecturers
2.	Preparation of the proposed budget and itinerary.	Budget and itinerary	Lecturer
3.	Forwarding of the field trips' to the coordinator for consolidation.	Compiled trips budget & itinerary	Field trips coordinator
4.	Forwarding of field trips for recommendation to the COD.	Forwarding letter	Field trips coordinator
5.	Forwarding of the field trips to the Dean for onward transmission to the DVC (ARSA) for examination and VC for approval.	Approved budget	COD, Dean, DVC, VC
6.	The approved budget and itinerary are copied to the Transport and Finance Departments.	Approved budget	COD
7.	The COD then writes to the relevant hosts informing them of the required visit.	Request letter	Lecturer, COD
8.	Submission of the visits' request to the Director (Examinations and Timetabling) 2 weeks to the beginning of the semester for scheduling and distribution of the schedule.	Visit requests	COD
9.	One month to the field trip day, the lecturer informs the students about the approved trip.	Memo	Lecturer
10.	Confirmation of the field trip request from the relevant hosts.	Confirmation letter	COD
11.	Filling of the imprest to obtain the required funds for the trip (Refer to CU/SOP/FIND/24).	Funds	Lecturer in-charge
12.	Designation of a driver and vehicle for each trip as per procedure for Transport Department (CU/SOP/TRAD/31).	Vehicle	Transport Officer
13.	Taking the attendance of students while out on the excursion.	Attendance list	Trip supervisor staff
14.	Preparation of trip performance report for lessons learned and challenges encountered		Trip supervisor staff


#### 4.10 Process for Processing Examinations (Setting and Moderation of Examination Drafts; Invigilation; Marking and Submission Results; and Moderation of Scripts)

##### 4.10.1 Setting and moderation of examination drafts

###### 4.10.1.1 Source

CU/SOP/EXTT/12; Semester schedule of courses

###### 4.10.1.2 Required inputs/resources

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

- Standards and guidelines
- Experts/Lecturers
- Course outlines with contents
- Marking scheme

#### 4.10.1.3 Expected outputs

- Moderated examination drafts
- Marked examination scripts
- Moderated examination scripts
- Mark sheets


#### 4.10.1.4 Receiver(s)

CU/SOP/EXTT/12; External Examiners; Students

#### 4.10.1.5 Procedure details

No.	Description	Output	Responsibility
1.	Setting of examinations as per the schedule released by the Director (Examination and Timetabling) and attaching the course outline.	Examination Drafts	Lecturers
2.	Receiving of the set examinations and recording each examination in a record book (CU/DEPT/EXAM/1).	Examinations Register	COD, Examinations Coordinator
3.	Convening of a meeting for teaching staff in the department to conduct internal moderation, a week after submission of drafts. (a) The draft examinations are moderated based on their conformance to examination structure, details, content, language and distribution of marks. (b) The moderator signs and dates the draft. (c) Examinations which have errors are returned to the concerned lecturers for revision and are resubmitted a day afterwards.	Invitation Memo , Internally moderated examination drafts	COD, Examinations Coordinator
4.	Requesting for facilitation to the DVC (ARSA) through the COD to take the examination drafts for external moderation. This is accompanied by a minutes with courses for all examinations internally moderated.	Requisition letter Minutes of Departmental meeting	COD, Examination Coordinator
5.	Taking the examination drafts to the external examiner for moderation, followed by collecting the moderated examinations within 1-3 days together with a report submitted to the COD	Externally moderated drafts, External examiner's report	Examination coordinator
6.	Reviewing of the external examiner's report and	Improved	COD



	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

	communicating any pertinent issues to the concerned lecturers. Giving back examinations requiring major corrections to concerned lecturer for revision and return the next day.	examination questions	
7.	Forwarding of the moderated and validated examinations to the Examination office for processing CU/SOP/EXTT/12.	Final examinations	Examination coordinator

#### 4.10.2 Invigilation of examinations

##### 4.10.2.1 Source

CU/SOP/EXTT/12; Examination Timetables

##### 4.10.2.2 Required inputs/resources

- Standards and guidelines
- Examiners/Invigilators
- Sealed examination questions
- Rules and regulations for teaching and examination

##### 4.10.2.3 Expected outputs


- Examination scripts

##### 4.10.2.4 Receiver(s)

CU/SOP/EXTT/12; CU/SOP/FACU/6-10; External Examiners; Students

##### 4.10.2.5 Procedure details

No.	Description	Output	Responsibility
1.	Collecting the questions, answer sheets, incident forms, attendance sheets (CU/EXTT/FORM/2) and rules and regulations from the EXTT on a date allocated for the examination and at least 30 minutes prior to the start of the examination.	Requisite examination materials	Chief invigilator
2.	Assembling the respective students in the examination room at least 30 minutes prior to the beginning of examination.	Arranged candidates	Chief invigilator, Lecturer
3.	Distributing the examination and answer sheets to the students. Each examination room with 1-50 students is handled by a minimum of two invigilators. An extra invigilator is provided for every additional 50 students.		Invigilator
4.	Answering the examination questions and signing of attendance sheet within the allowed time as per the examination rules and regulations.	Attendance list	Students
5.	Collecting all the scripts from the students at the	Answer scripts	Invigilators

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

	end of the allowed time.		
6.	Verifying the scripts collected against the attendance lists	Scripts, attendance list	Invigilators
7.	Returning the attendance list and two copies of the examination papers to the Examination Officer in the Director (Examination & Timetabling) Office.	Examination control register	Chief invigilator
8.	Recording (CU/EXTT/FORM/3) and reporting any examination malpractice to the COD for disciplinary action as per CU/SOP/FACU/06-10.	Signed examination incidence form	Chief invigilator

### 4.10.3 Marking and submission of results

#### 4.10.3.1 Source

Lecturers

#### 4.10.3.2 Required inputs/resources

- Standards and guidelines
- Experts/Examiners
- Marking scheme
- Examination attendance list
- Examination processing forms

#### 4.10.3.3 Expected outputs


- Marked Examination scripts
- Mark sheets
- Examination register

#### 4.10.3.4 Receiver(s)

CU/SOP/FACU/6-10; CU/SOP/BPGS/13; Senate

#### 4.10.3.5 Procedure details

No.	Description	Output	Responsibility
1.	Marking examinations within two weeks after the end of semester, using the marking scheme prepared for such examination.	Marked scripts	Lecturer
2.	Arranging the marked scripts serially in ascending order and entering marks individually into NAVISION academic module.	Entered marks	Lecturer
3.	Printing the official mark sheets (CU/DEPT/FORM/5) from NAVISION.	Mark sheets	Lecturer
4.	Analyzing performance of the students on the mark sheet.		Lecturer

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

5.	Handing over of the marked scripts accompanied with a question paper, marking scheme, examination attendance sheet and examination movement form (CU/EXTT/FORM/4) to the examination officer in the department by the last day of the second week following the end of semester examinations.	Examination register	Lecturer
6.	Confirming the number of scripts, the entries in the mark sheets and other accompanying documents at time of submission of results.	Confirmed examination register	Examination coordinator
7.	Filling in the examinations movement form (CU/EXTT/FORM/4) in the Department.	Exam movement register	Examination coordinator
8.	Signing in the submission record book to confirm submission of results.	Examination record	Lecturer
9.	Filing the mark sheets basing on the intake year per programme.	Mark sheet file	Examination coordinator
10.	Confirming all mark sheets for the period and handing them over for signing.	Signed mark sheets	COD
11.	In case the examination was for: (a) End of first semester: Keeping the mark sheets in a lockable cabinet in the Department. (b) End of academic year: Handing over the file containing all the mark sheets for the academic year to the COD.	Consolidated mark sheets	Examination coordinator
12.	Confirming that all the mark sheets have been received and handing them to the Dean of Faculty three weeks after end of academic year for processing for Senate approval.	Confirmed mark sheets	COD

#### **4.10.4 External moderation of scripts**

##### **4.10.4.1 Source**


Lecturers; Departmental Examination Officer

##### **4.10.4.2 Required inputs/resources**

- Standards and guidelines
- Resource persons (External Examiners)
- Marked examination scripts
- Mark sheets
- Examination processing forms
- Examination attendance list

##### **4.10.4.3 Expected outputs**

- Moderated examination scripts

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

- Moderated mark sheets
- External examiners exit meeting minutes

#### 4.10.4.4 Receiver(s)

CU/SOP/FACU/6-10; Senate

#### 4.10.4.5 Procedure details


No.	Description	Output	Responsibility
1.	Forwarding a list of examined courses and the total scripts per course to the Registrar (AA) a month after the end of a given academic year	List of examination courses	COD
2.	Writing to the respective external examiners inviting them for external moderation of scripts at a centralized location	Invitation letters	Registrar (AA)
3.	Compiling the scripts, mark sheets, internal examiners' marking schemes and examination attendance sheets, which are given to the external examiners	Report	COD
4.	Moderating examination scripts, signing on the mark sheets and writing a confidential report to the VC who may forward to the COD for action	Moderated scripts, Reports	External examiners
5.	Handing over to the COD the confidential report, together with the examination scripts, the mark sheets and examination attendance sheets are	Exit meeting minutes	External examiners
6.	Communicating issues raised by the external examiner to the respective lecturers in a departmental meeting.	List of items for continual improvement	COD
7.	Separating mark sheets from other documents and making a copy for each mark sheet to file.	Filed mark sheet	COD
8.	Forwarding the original mark sheets to the Dean of the respective Faculty, while the copied are filed and kept in the Department as back ups	Original mark sheet	COD
9.	Keeping the examination scripts and the mark sheet copies in a cabinet under lock and key in the COD's office.	Archived moderated scripts	COD
10.	Handling subsequent steps of processing of the examinations following CU/SOP/FACU/6-10.	Examination approvals	Dean

### 4.11. Process for Processing Students for Practicum Attachment

#### 4.11.1 Source

CU/SOP/EXTT/12

#### 4.11.2 Required inputs/resources

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

- Standards and guidelines
- Departmental assessors
- Students to be posted
- Host organisations

#### 4.11.3 Expected outputs

- Attachment reports
- Mark sheets

#### 4.11.4 Receiver(s)


CU/SOP/BUSF/14; Lecturers; Students

#### 4.11.5 Procedure details

No.	Description	Output	Responsibility
1	Requesting the students to indicate their preferred institutions of attachment, within approved zones, three months prior to attachment date.	Memo	COD
2	Linking and recommending students to potential attachment areas.	Attachment list	COD
3	Issuing students formal introductory letters and log books for their hosts to use in assessing them.	Logbook issuance list	COD, Director (BUSF)
4	Ensuring that the students buy insurance cover before proceeding to the attachment domicile.	Insurance cover	COD, Director (BUSF)
5	Proceeding on attachment and communicating back to the department giving details of the institutions/firms where they are stationed.	Feedback confirmation	Student
6	Supervising progress and assessing of students during the attachment period (6-16 weeks), depending on the programme.	Internal assessment report	Lecturers
7	Clearance by attaching organizations at the end of the period and sending a report to the Department/Director (BUSF).	External assessment report	Students
8	Writing and submitting attachment reports upon completion to respective supervisors to mark	Final reports	Students
9	Marking the reports and awarding marks/grades.	Marked reports	Supervisors
10	Submitting the results to the CODs through the Director (BUSF).	Reports mark sheets	Supervisors
11	Compiling marks for assessors, host, report, keying into Navision, and forwarding mark sheets to the Dean of Faculty	Compiled mark sheets	COD/ Coordinator

#### 4.12 Process for Examining Students' Projects

##### 4.12.1 Postgraduate students

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.12.1.1 Source

Supervisors/Students

#### 4.12.1.2 Required inputs/resources

- Standards and guidelines
- Experts/Supervisors/Board of Examiners
- Students

#### 4.12.1.3 Expected outputs

- Proposal

#### 4.12.1.4 Receiver(s)

CU/SOP/FACU/6-10; CU/SOP/BPGS/13

#### 4.12.1.5 Procedure details

No.	Description	Output	Responsibility
1	Proposal writing and forwarding to the Lecturers/Supervisors for examination during designated timelines depending on the programme.	Draft proposal	Students Lecturer Examiners
2	Meeting with the student to discuss the feasibility of the project and offer appropriate guidance.	Supervision notes	Supervisors
3	Reviewing the proposal and orally presenting it as PowerPoint to a Panel of Departmental staff plus any other invited peers.	Panel invitation letter, Minutes	COD
4	Assessing the presentation and advising the student on the way forward.	Score sheets	Panel, Student
5	Forwarding the proposal if approved to the Faculty for examination (CU/SOP/FACU/6-10).	Minutes/approved proposal	COD

#### 4.12.2 Undergraduate students

##### 4.12.2.1


Supervisors/Students

#### Required inputs/resources

- Standards and guidelines
- Panel of examiners
- Students' Proposals

#### 4.12.2.3 Expected outputs

- Presentation attendance list
- Marked Projects
- Mark sheets

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.12.2.4 Receiver(s)

CU/SOP/FACU/6-10; CU/SOP/BUSF/14

#### 4.12.2.5 Procedure details

No.	Description	Output	Responsibility
1	Drafting of proposal and supervision of correction	Proposal	Students Lecturers
2	Implementing the proposal and supervising of projects participation	Collected data	Students Lecturer
3	Completing the project and report writing using approved format (CU/DEPT/FORM/6).	Draft reports	Students Lecturer
4	Organising presentations of results using PowerPoint to a panel of examining lecturers and the students' peers	Presentation attendance list	Projects coordinator COD
5	Grading of the students' presentation	Score sheets	Lecturers
6	Awarding of the final score by averaging the individual lecturers' scores.	Mark sheet	Projects coordinator
7	Marking of the final reports with inputs derived from the oral presentation	Marked final report	Supervisor
8	Forwarding of the marks for compiling	Compiled project scores	Projects coordinator

### 4.13 Process for Initiating Appointment of External Examiners of Theses

#### 4.13.1 Source

Students/Supervisors/CODs

#### 4.13.2 Required inputs/resources

- Standards and guidelines
- CVs of theses examination applicants

#### 4.13.3 Expected outputs


- External Examiners Report

#### 4.13.4 Receiver(s)

CU/SOP/FACU/6-10; CU/SOP/RACA/05; CU/SOP/VCIM/01

#### 4.13.5 Procedure details

No.	Description	Output	Responsibility
1	A student completes conducting research, writing and correcting thesis and submits it to supervisors	Thesis draft	Supervisors
2	Filling intent to submit a thesis form three months prior to the lodging date (CU/BPGS/FORM/===)	Intent to submit thesis form	Director, BPGS

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

3	Completing writing and correcting of the thesis, filling of thesis forwarding forms (CU/BPGS/==) and submitting for signing and forwarding to COD	Draft thesis	Supervisor
4	The searching for an expert qualified in the area of the student's research commences and potential examiners are requested to submit CVs.	Examiners CVs	COD
5	Filing the external examiner and attaching to the thesis for onward transmission to the COD.	Thesis submission form	Supervisor
6	Approval and forwarding the form for qualified external examiner to the Dean of the Faculty for further processing (CU/SOP/FACU/6-10).	Draft thesis, Form, CV	COD

#### 4.14 Process for Supervising Academic Advising

##### 4.14.1 Source

Chairperson of the Department assigns the advisors

##### 4.14.2 Required inputs/resources

- Academic Advising Standards and Guidelines
- Academic advisors

##### 4.14.2 Expected outputs

- Oriented and advised students
- Reports on advising outcome


##### 4.14.4 Receiver(s)

Students; CU/SOP/STWD/15

##### 4.14.5 Procedure details

No.	Description	Output	Responsibility
1.	Appointing, an adviser for each intake at the beginning of the study	Academic advisor.	COD
2.	Reviewing the advisor's reference guide (CU/DEPT/ADVI/1) and students' handbook		COD, Advisor
3.	Organizing orientation in the Department during the first semester of first year students.	Orientation schedule	COD
4.	Keeping records of the advisee's progress and making appropriate recommendation to the Dean. (a) Advising on programme requirements, career planning, choices, academic rules and regulations, planning classes in advance, implications of performance, online registration, overcoming academic or personal crisis, integrating curriculum with career and life goals	Students advising register	COD Advisor



	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

5.	Referring the advisee to appropriate sources of help and services if the case is complicated.	Referral note	Academic advisor
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#### **4.15 Process for Handling Departmental Complaints**

##### **4.15.1 Complaints between a lecturer and a student**

###### **4.15.1.1 Source**

Complainant

###### **4.15.1.2 Required inputs/resources**

- Information Handbooks, relevant policies and regulations

###### **4.15.1.3 Expected outputs**

- Complaints register/record
- Complaint resolution or forwarding letter

###### **4.15.1.4 Receivers**

Top Management; CU/SOP/STWD/15; CU/SOP/RADP/04

###### **4.15.1.5 Procedure details**

<b>No.</b>	<b>Description</b>	<b>Output</b>	<b>Responsibility</b>
1	Recording all received complaints in a complaints record book (CU/DEPT/COMP/1)	A complaint register	Office Assistant
2	Addressing the problem within the given mandate.	Minutes	COD
3	Investigating the matter within 1 week.	Reports	COD
4	Resolving the matter within 48 hours after investigation.	Complaint resolution	COD
5	Forwarding the matter if it is not resolved to Dean of Faculty for further action.	Forwarding letter	COD
6	Following up with the complainant to ensure that the matter is fully resolved or referred.	Complain resolution register	COD Dean

##### **4.15.2 Complaints concerning an academic staff**

###### **4.15.2.1 Source**


Complainant

###### **4.15.2.2 Required inputs/resources**

- Handbooks, policies and regulations
- Terms and conditions of services
- Code of Conduct and Ethics Policy

###### **4.15.2.2 Expected outputs**

- Complaint register

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

#### 4.15.2.4 Receiver(s)

Top Management; CU/SOP/STWD/15; CU/SOP/RADP/04

#### 4.15.2.5 Procedure details

No.	Description	Output	Responsibility
1.	Receiving complaints and recording them in a book (CU/DEPT/COMP/1).	A complaint register	COD
2.	Calling/inviting the concerned lecturer within 24 hours to clarify the matter.	Memo	COD
3.	Acknowledging the resolutions reached with the COD.	Resolutions statement	COD
4.	COD referring the matter to the Dean of Faculty within 24 hours for further guidance if the issue is not resolved.	Forwarding letter	COD

#### 4.15.3 Non-academic complaints

##### 4.15.3.1 Source

Complainant

##### 4.15.3.2 Required inputs/resources

- Complaints handling experts
- Handbooks, policies and regulations
- Terms and conditions of services
- Code of Conduct and Ethics Policy

##### 4.15.3.3 Expected outputs

- Complaint register

##### 4.15.3.4 Receivers


Top Management; CU/SOP/STWD/15; CU/SOP/RADP/04

#### Procedure details

No.	Description	Output	Responsibility
1.	Receiving and recording a complaint	Complaint register	COD
2.	Investigating the matter and making recommendations within 1 week.	Minutes	COD
3.	Referring the matter to the Dean of Students in case of students or DVC (ARSA)/DVC (AFPD) in case of lecturers where the issue is not satisfactorily resolved.	Testimonials	COD

## 5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

Refer to the Departmental Records Master List (Index)

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

Departmental Board Minutes  
 Scripts and mark sheets  
 Course outlines  
 Course allocation schedules  
 Theses defense minutes  
 Proposal drafts/defense minutes  
 Requisition letters  
 Field visit schedules  
 Research projects lists  
 Curriculum vitae of part-time lecturers and external examiners  
 External examiners' reports  
 Field attachment lists and reports  
 Curriculum design, development and review minutes


## 6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES

### 6.1. Key Performance Indicators

Number of curricula designed, developed or reviewed and approved by the Senate  
 Number of Examination drafts set, moderated, invigilated, marked  
 Percentage of Students placed on field attachment/ teaching practice and completing successfully  
 Number of stakeholders' workshops held  
 Percentage of graduates passing examinations with above 60% score, first class/distinction

### 6.2. Quality Objectives

<b>Linked Strategic Objectives:</b>			
SO 1: Expansion of the Number of Relevant Market-Driven Programmes			
<b>Quality Objective</b>			
1. To increase demand-driven undergraduate programmes developed from 1 to 5 every five years			
<b>Linked Strategic Objectives:</b>			
SO 2: Provision of Relevant Quality Higher Education and Training			
SO 3: Enhancement of Academic Competitiveness of the University			
SO 34: Production of Holistic Graduates			
<b>Strategy (Actions/Activities required to achieve the objective)</b>			
Conduct surveys, workshops and document market/customer needs			
Constitute sub-committees to design, draft and develop the curricula			
Organise and hold consultative and brainstorming meetings (Departmental and sub committees)			
Organize and conduct stakeholders workshops as need arises			
Revise and finalise the curriculum with stakeholders inputs			
Submit and present for approval in Faculty Board, BUGs/BPGS and Senate			
Incorporate Senate recommendations and prepare final official edition			
Issue to lecturers to use in class delivery and monitor adherence			
<b>Responsibility</b>	<b>Resources Required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
COD, department members, Deans, Directors, Senate	Standards and guidelines, Stationery, Funds, venue, Lecturers, participants	Annually	Number of enrolled students and percentage increase in the developed programmes

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

Review dates:	Continuous
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**Linked Strategic Objectives:**  
SO 2: Provision of Relevant Quality Higher Education and Training

**Quality Objective**  
2. To review all undergraduate and postgraduate curricula every 5 years down from 10 years to incorporate changing market needs

**Strategy (Actions/Activities required to achieve the objective)**  
Identifying the need, organise and hold a stakeholders' workshop  
Review and improve the draft curricula  
Submit and present for approval

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
CODs/Deans Directors, BUSF/ BPGS DVC (ARSA)	Need identification and justification Standards/guidelines Resource persons	5 years	Percentage of reviewed and approved curricula Number of enrolled students

Review dates:	After five years
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**Linked Strategic Objectives:**  
SO 2: Provision of Relevant Quality Higher Education and Training

**Quality Objective**  
3. To increase examinations set and moderated to achieve acceptable standards from 70% to 100%

**Strategy (Actions/Activities required to achieve the objective)**  
Set examination drafts basing on approved curricula  
Moderate examination drafts (internally and externally)  
Monitor customer feedback, errors, complaints and compliments, pass rates

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Lecturer COD/Examination coordinator	Standards and guidelines Experts	End of each Semester	Nature of customer feedback, Number of errors/ complaints detected, Pass rates obtained


Review dates:	Semesterly
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**Linked Strategic Objectives:**  
SO 34: Production of Holistic Graduates  
SO 27: Compliance with Statutory Requirements  
SO 36: Establishment of Linkages with Industries, Government and Other Organisations

**Quality Objective**  
4. To increase diploma and bachelor's degree students processed for practicum attachment to acquire practical hands- on skills and prepare for the world of work from 95% to 100%

**Strategy (Actions/Activities required to achieve the objective)**  
Identify preferred institutions of attachment  
Prepare MOUs with the preferred institutions and submit to Top Management to sign  
Give formal introductory letters and log books  
Assist students who get regrets from host stations  
Supervise and assess students on attachment and submit attachment reports

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Students	Standards and guidelines	Annually	Percentage of students who

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>	
	Issue No.: <b>06</b>	Revision No.: <b>00</b>	
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>			
Lecturers/CODs	Experts		have completed practicum successfully
Review dates:	Annually		
<b>Linked Strategic Objectives:</b> SO 2: Provision of Relevant Quality Higher Education and Training SO 3: Enhancement of Academic Competitiveness of the University SO 34: Production of Holistic Graduates			
<b>Quality Objective</b> 5. To increase number of students passing with first class honours/distinction to at least one up from none in all programmes on offer			
<b>Strategy (Actions/Activities required to achieve the objective)</b> Allocate courses to suit qualifications and recommended teaching loads per session Monitor teaching of students by lecturers Monitor class attendance Ensure lecturers offer practicals to attending students			
<b>Responsibility</b>	<b>Resources Required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Students Lecturers/CODs	Standards and guidelines Experts	Annually	Percentage of students passing with first class honours/distinction
Review dates:	Annually		



Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
Issue No.: <b>06</b>	Revision No.: <b>00</b>

Document Title:  
**STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT**

### RISK REGISTER

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

Risk name/ Description	Risk Consequences	Likelihood (L)	Consequence (C)	Potent Risk (LxC)	Mitigations/ controls ( <b>Opportunities source</b> )	Risk Owner	Monitoring (When)	Actual Risk as @ 20/8/2019				
								LA	CA	RI= LA*CA	RR% =RI/PR	EC %
Lecturers with no professional ethics	Students complaints Bad reputation Dissatisfaction	1	3	3	Subject to counselling and disciplinary action	CODs Deans HRM	Semesterly	1	1	1	33%	67%
Lack of adequate content coverage	High failure rate Low quality graduates Bad reputation Desertion by students	2	3	6	Monitor and evaluate teaching effective Preparing standard course outlines	Lecturers CODs/Deans Director (QAPC)	Semesterly	1	2	2	33%	67%
Poor administration of examinations	Complaints Negative publicity	2	3	6	Having rooms set aside for exams only Issue departmental invigilation timetable	Lecturer COD	Semesterly	1	2	2	33%	67%
Poor teaching by lecturers/Ineffective teaching	Students' dissatisfaction Bad reputation Low quality graduates	2	3	6	Sensitize students on their rights. Hire qualified lecturers. Frequently assess lecturers. Offer pedagogy training	CODs, Deans Directors (QAPC, EXTT, BUSF) Top Management	Semesterly	1	2	2	33%	67%
Inadequate technical support and equipment	Bad experiences for students Lack of competency/technical skills	2	3	6	Acquisition of laboratory equipment Hire qualified technicians	COD Top Management	Semesterly	2	1	2	33%	67%
Examination Malpractice	Bad reputation	2	2	4	Proper invigilation Sensitize students on consequences.	CODs Invigilators	Semesterly	2	1	2	50%	50%
Appointment of unqualified part-time lecturers	Poor graduates Student complaints High failure rate	1	3	3	Strengthen the vetting and engagement processes	CODs	Semesterly	1	1	1	33%	67%



Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
Issue No.: <b>06</b>	Revision No.: <b>00</b>


Document Title:  
**STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT**

Accidents during laboratory lessons	Threat to students' and staff life	1	2	2	Display safety WI Train all staff and students in lab safety	COD Technologists	Daily	1	1	1	50%	50%
Substandard curricula	Poor quality graduates Non-competitive graduates	2	2	4	Strengthen design, development and review processes Train staff in design, development and review	CODs Deans Directors of BUSF & BPGS DVC (ARSA)	Annually	1	2	2	50%	50%
Substandard examinations	Low quality graduates	2	3	6	Strengthening examination setting, moderation and processing controls	DVC(ARSA) R (AA) DQAPC CODs	Semesterly	1	2	2	33%	67%
Examination leakage	Low quality graduates Negative image	3	3	9	Strengthening examination processing controls	Director (EXTT) COD	Semesterly	2	1	1	11%	89%
Failure of lecturers to take allocated courses	Delayed coverage of the syllabus	1	2	2	Early notification and replacement of deserting lecturers	COD	Semesterly	1	1	1	50%	50%

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%












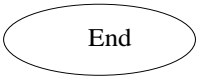
**OPPORTUNITY REGISTER**

SN	Opportunities	Action Plan	Timeline	Effectiveness status
1.	Increasing demand for higher education and professional programmes.	Initiate curriculum development and review to be of high standards to attract students	After a five year cycle.	80%
2.	Accessible and good communication network.	Develop ODEL modules. Advertise programmes.	At least two after a five year cycle. Advertise at least once in a year	40% 70%
3.	Linkages with business partners.	Place students for industrial attachment and teaching practice.	Annually	90%
4.	Proximity to rapidly growing urban centers.	Offer short courses/part-time programmes.	At least once per year	90%
5.	Availability of scholarships and fellowships	Develop students capacity to compete for the scholarships and fellowships	At least two per year	80%
6.	Proximity of the University to Mount Kenya and un exploited resources.	Generate research ideas targeting Mt. Kenya ecosystem and use it to conduct research and practical teaching of students	At least once in two years	60%




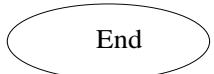
	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

**APPENDIX: PROCESS MAPS**


**i) Designing, development and reviewing of curriculum**

RESPONSIBILITY	ACTION
ACADEMIC STAFF	 ↓ Identification of curriculum in demand by clients
COD	Organization of stakeholders workshop
COD	Formation of sub-committee of departmental staff to draft the curriculum
SUB-COMMITTEE CHAIR	Tabling of the draft curriculum in a departmental board meeting
DEPARTMENTAL BOARD	Acceptance of curriculum (NO/YES) 
SUB-COMMITTEE CHAIR	Forwarding of the revised draft curriculum to the COD 
COD	Submission of the draft curriculum to the Dean
COD	Presentation of the draft curriculum in the faculty board 
FACULTY BOARD	Acceptance of curriculum (NO/YES) 
DIRECTOR (BUSF)	Verification and harmonisation with other departments 
DIRECTOR (BUSF)	Tabling of the draft curriculum in BUSF 
BUSF	Acceptance of curriculum (NO/YES) 
DIRECTOR (BUSF)	Tabling of the draft curriculum in the Senate 
SENATE	Acceptance of curriculum (NO/YES) 
DEAN	Presentation of the draft curriculum in the senate for noting 
COD	Implementation of the curriculum  


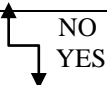
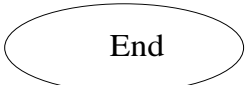
**ii) Appointment of Part-time Lecturers**

RESPONSIBILITY	ACTION
COD	 ↓ Identification of external lecturers and requests them to submit application letter and resume
COD	Recommendation of qualified candidates to the Dean of the Faculty
DEAN	Recommendation of the lecturer and forwarding the application to the DVC (ARSA) for approval
DVC (ARSA)	Approval of qualified candidates and forwarding to the Registrar (AP) 
REGISTRAR (A & P)	Issuance of appointment letter 
PART-TIME LECTURER	Picking of the appointment letter from the Registrar (AP)
PART-TIME LECTURER	Delivery of lecturing service  






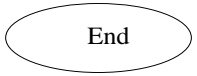



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### iii) Payment of Part-time Lecturers

RESPONSIBILITY	ACTION
<b>PART-TIME LECTURER</b>	 ↓
	Submission of marked examination scripts and filling the claim forms
<b>COD</b>	Signing of the claim forms and forwarding to the dean
<b>DEAN</b>	Signing of the claim forms and forwarding to the DVC (ARSA)
<b>DVC (AA)</b>	Approving of the claim forms and forwarding to the finance office. 
<b>FINANCE OFFICER</b>	Processing of the payment
<b>PART-TIME LECTURER</b>	Collection of the payment
	

### iv) Requisitioning Teaching Materials

RESPONSIBILITY	ACTION
<b>LECTURERS</b>	 ↓
	Identification of the required teaching materials for the courses allocated, two weeks prior to the beginning of the semester.
<b>LECTURERS</b>	Submission of the list to the COD hosting the programme
<b>COD</b>	Consolidation of the lists in consultation with the librarian, technologists or other relevant resource person.
<b>COD</b>	Filling of official requisition form (CU/DEPT/REQU/1) and forwarding to the DVC (AFPD) for approval of procurement of the items
<b>DVC (ARSA)/DVC (AFPD)</b>	Advising of the COD to amend the information appropriately before approval OR Approval of requisition and forwarding to the Procurement Department for as per the Procurement SOP (CU/SOP/PROD/25) 
<b>PROCUREMENT DEPARTMENT</b>	Procurement of the items and informing of the COD of their arrival. ↓
<b>COD</b>	Requesting various Lecturers/Technologists to ascertain if the respective items procured meet the specifications. 
<b>USER LECTURERS</b>	Approval (NO/YES) 
<b>PROCUREMENT DEPARTMENT</b>	Completion of the procurement process by paying the supplier 
<b>LECTURERS</b>	Collection of the items from the store
<b>LECTURERS</b>	Use of the items in teaching
	


	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
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**v) Registering students in courses**

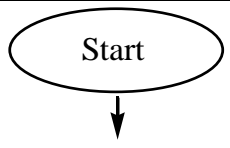
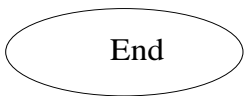
RESPONSIBILITY	ACTION
STUDENT	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Picking of the registration forms from the department in the first week of each semester</p>
LECTURERS	Signing of the forms
COD	Signing and forwarding of the forms to the Dean
DEAN	Signing and filing of one copy and giving the other copy back to the student
STUDENT	<p>Attendance of courses</p> <p style="text-align: center;">End</p>

**vi) Recommending Postgraduate Students for Admission**

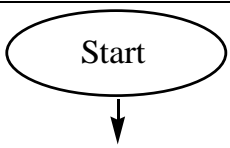


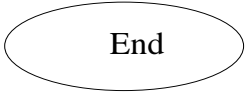
Director (BPSR)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Submission of the application package of interested students</p>
COD	Appointment of one expert or a panel of experts qualified in the area of interest of the candidate to review the pre-proposal/concept note within a period of 5 days.
ONE EXPERT/ A PANEL OF EXPERTS	Reviewing of the concept note and returning it with comments
COD	Receiving of a report with comments from the expert/panel
COD	Convening of a departmental meeting to discuss the report after which appropriate verdict is passed. <b>NO/YES</b>
COD	The verdict is recorded and the COD makes appropriate recommendation on the application form and submits it to the Dean of Faculty alongside a copy of minutes of the departmental meeting for further processing (CU/SOP/FACU/6-10).
Dean/Director (BPSR)	<p>Processing of the application further</p> <p style="text-align: center;">End</p>

	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
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**vii) Coordinating and Supervising Teaching**

RESPONSIBILITY	ACTION
LECTURERS	 <p>Preparation of course outlines using descriptions in the University Catalogue.</p>
COD	Receiving of a copy in the first week of lectures for approval
LECTURERS	Issuance of course outline to all students on the first day of lecture
LECTURERS	Conducting of teaching as timetabled and as in the course outline
LECTURERS	Administering of at least two CATS to the students; the first between the 4 <sup>th</sup> and 6 <sup>th</sup> week, and the second between 10 <sup>th</sup> and 12 <sup>th</sup> week.
LECTURERS	Giving of feedback to the students within 2 weeks after the date of the administration of the CATs.
LECTURERS	Conducting of teaching up to the 15 <sup>th</sup> week
	 <p>End</p>

**viii) Planning and Implementing Academic Field Trips**

RESPONSIBILITY	ACTION
LECTURER	 <p>Identification of courses requiring field trips from the curriculum and preparation of budget and itinerary</p>
LECTURERS	Forwarding of plans to COD to compile a list of field trips in the department.
COD	Forwarding the field trips plan and their budgets to the Director (BUSF).
DIRECTOR (BUSF)	Recommendation, compilation and forwarding of the field trip plans of the departments to the DVC (ARSA).
DVC (ARSA)	Approval of the list of field trip plans of the departments. 
COD	Copying the approved itinerary to the Transport and Finance Officers. 
COD	Writing to relevant hosts informing them of the required visit.
COD	Submitting the visits' request to the Director (EXTT) at beginning of semester
DIRECTOR (EXTT)	Scheduling and distributing the schedule of the visits to other CODs.
COD	Notification of the relevant lecturer(s) of the schedule of Field Trips.
LECTURER	Notification of the concerned students of the trips.
LECTURER	Filling of an imprest to obtain the required funds for the trip.
TRANSPORT OFFICER	Designating of a driver and a vehicle for the trip day.
LECTURER	Accompanying of students on the trip and taking the attendance record of students on the trip.
	 <p>End</p>



Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
Issue No.: <b>06</b>	Revision No.: <b>00</b>

Document Title:  
**STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT**

**ix) Processing Examinations (Setting, Moderating, Invigilating, Marking, Submitting & Moderating Scripts)**

**(a) Setting and moderating drafts**

RESPONSIBILITY	ACTION
<b>LECTURERS</b>	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Setting of examinations as per the schedule released by the Director (EXTT) and attaching the course outlines.</p>
<b>COD</b>	Receiving of the set examinations and recording in a book
<b>COD</b>	Calling a meeting to conduct internal moderation, a week after submission of drafts.
<b>EXAMINATION OFFICER (EO)</b>	Applying for facilitation to take examination drafts for external moderation. This is accompanied by course codes and titles for all examinations to be moderated
<b>EO</b>	Taking of drafts to the external examiner for moderation
<b>EO</b>	Collecting of examinations within 1-2 weeks together with a report
<b>EO</b>	Submission of report to the COD, who goes through the external examiner's report and communicates any pertinent issues to the concerned lecturers
<b>COD</b>	Giving back examinations requiring major corrections to concerned lecturer to revise and return the next day.
<b>COD</b>	Forwarding of moderated examinations to the Director (EXTT) for processing according to procedure CU/SOP/EXTT/12.
	End

**(b) External moderation of scripts**

RESPONSIBILITY	ACTION
<b>COD</b>	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Forwarding of a list of courses and the total scripts number per course to the Registrar (AA) a month after the end of a given academic year.</p>
<b>REGISTRAR</b>	Invitation of external examiners for external moderation at a centralized location
<b>COD</b>	Compilation of the scripts, mark sheets, internal examiner's marking scheme and examination attendance sheets, which are given to the external examiner
<b>EXTERNAL EXAMINER</b>	Moderation of the examination scripts, signing on the mark sheets and writing a detailed report for the attention of the Vice-Chancellor and the COD.
<b>EXTERNAL EXAMINER</b>	Handing the report together with the examination scripts, the mark sheets and examination attendance sheets to the COD.
<b>COD</b>	Checking the report and communicating the comments raised by the external examiner to the respective lecturers in a departmental meeting.
<b>COD</b>	Separation of mark sheets from the rest of the documents and making copies.
<b>COD</b>	Forwarding of original mark sheets to the Dean of the respective Faculty; filing and keeping of copies in the Department as back ups.
<b>COD</b>	Keeping of scripts and mark sheets in a cabinet under lock and key in the COD's office
<b>DEAN</b>	Handling of subsequent steps of processing of the examinations following the procedure CU/SOP/FACU/6-10.
	End



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Document Title:  
**STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT**

**(c) Invigilating examinations**


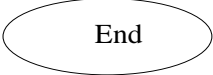
RESPONSIBILITY	ACTION
<b>CHIEF INVIGILATOR/ LECTURER</b>	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Collection of the examination drafts, answer sheets, incident form, attendance sheet (CU/EXTT/FORM/2) and rules and regulations from the Director (EXTT) on a date allocated for the examination on the timetable and at least 30 minutes prior to the start of the examination</p>
<b>STUDENTS</b>	Assembling and sitting in the examination room at least 30 minutes prior to the beginning of examination.
<b>INVIGILATOR</b>	Distribution of examination drafts and answer sheets to seated students
<b>STUDENTS</b>	Attempting of the examination within the allowed time as per the examination rules and regulations.
<b>INVIGILATORS</b>	Collecting of all the scripts from the students at the end of the allowed time.
<b>INVIGILATORS</b>	Returning of attendance list and five copies of the examination papers to the Examination Officer in the Director (EXTT)'s Office.
<b>CHIEF INVIGILATOR</b>	Recording of any examination malpractice (CU/EXTT/FORM/3) and reporting to the COD for disciplinary action as per procedure CU/SOP/FACU/06-10.
	End

**(d) Marking and submitting results**

RESPONSIBILITY	ACTION
<b>LECTURER</b>	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Marking end of semester examinations within two weeks from the end of semester examinations basing on the marking scheme prepared for such examination</p>
<b>LECTURER</b>	Arrangement of marked scripts serially in ascending order.
<b>LECTURER</b>	Entry of marks into NAVISION computer programme and printing mark sheets.
<b>LECTURER</b>	Analyzing of performance of the students on the mark sheet.
<b>LECTURER</b>	Handing over marked scripts together with a question paper, marking scheme, examination attendance sheet and examination movement form (CU/EXTT/FORM/4) to the examination officer in the department by the last day of the second week following the end of semester examinations.
<b>EXAMINATION OFFICER (EO)</b>	Confirmation of the number of scripts, the entries in the mark sheets and other accompanying documents at time of submission of results by the lecturer.
<b>EO</b>	Filling of in the examinations movement form (CU/EXTT/FORM/4).
<b>LECTURER</b>	Signing in the submission record book to confirm submission of results.
<b>EO</b>	Filing of the mark sheets basing on the intake year per programme.
<b>EO</b>	Confirmation that all mark sheets for the period have been received and handing them over to the COD for signing.
<b>COD</b>	Confirmation that all the mark sheets have been received and then handing them to the Dean of Faculty three weeks after end of academic year examinations for processing.
	End


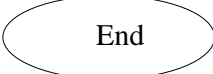
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Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		


**x) Processing Students for Field Attachment**

RESPONSIBILITY	ACTION
COD	 ↓
	Requesting of students to indicate their preferred institutions of attachment, three months prior to attachment date
COD	Recommending and linking of the students to potential attachment areas.
COD	Issuance of students, formal introductory letters and log books for the attachment institutions to use in assessing them.
COD	Making sure that the students get insurance cover before proceeding to the attachment domicile.
STUDENTS	Proceeding on attachment and communicating back to the department giving details of the institutions/firms where they have been successfully attached.
SUPERVISOR (LECTURER)	Supervising of the progress of the students physically during the attachment period.
ATTACHING INSTITUTIONS	Clearing of students at the end of the 8 weeks and sending a confidential report to the COD/Director (BUSF).
STUDENTS	Writing and submitting of attachment reports to respective supervisors to mark.
SUPERVISORS	Marking of the reports and awarding of marks/grades.
SUPERVISORS	Submission of the results to the COD through the Director (BUSF)
	


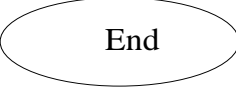
**xi) Examining Students' Projects**

**(a) Postgraduate Students' Projects**


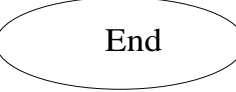
RESPONSIBILITY	ACTION
COD	 ↓
	Assigning of supervisors to students
STUDENT	Writing of a proposal under the guidance of supervisors
SUPERVISOR	Approving of the proposal after being satisfied with the quality of students work
STUDENT	Submission of loosely bound copies of the proposal to the department. The proposal must be signed by the student and supervisors.
DEPARTMENTAL POSTGRADUATE STUDENTS COORDINATOR	Arranging for departmental defense of the proposal
COD	Moderation of the departmental defense and passing of the presentation (NO/YES)
STUDENT	Making of necessary corrections and presentation to the faculty for second level defense of the proposal after receiving approval from the supervisors
	


	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
	Issue No.: <b>06</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR TEACHING AND EXAMINATION MANAGEMENT</b>		

**(b) Undergraduate Students' Projects**


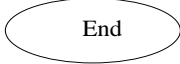
RESPONSIBILITY	ACTION
<b>COD</b>	 ↓ Assigning of supervisor to each student/group of students
<b>STUDENT</b>	Writing of a proposal under the guidance of supervisor
<b>SUPERVISOR</b>	Approval of the proposal after being satisfied with the quality of students work. <span style="float: right;">NO ↑ ↓ YES</span>
<b>STUDENT</b>	Implementation of the proposal by collecting data and writing a report following approved format.
<b>LECTURERS</b>	Oral examination of students' projects for purpose of awarding marks
<b>STUDENT</b>	Submission of 2 loosely bound copies of typed project reports to the coordinator of the unit after making necessary corrections
<b>COORDINATOR OF FIELD ATTACHMENT</b>	Marking of the project report  

**xii) Initiating appointment of external examiners of theses**

RESPONSIBILITY	ACTION
<b>STUDENT</b>	 ↓ Completion and submission of an intent to submit a theses form
<b>STUDENT</b>	Signing of the theses forwarding forms and submission to the chief supervisor
<b>CHIEF SUPERVISOR</b>	Signing of the theses forwarding forms
<b>CHIEF SUPERVISOR</b>	Identification of an experts qualified in the area of the student's research and requesting them to submit a resume
<b>CHIEF SUPERVISOR</b>	Filling and signing of the theses forwarding form and submission to the COD
<b>COD</b>	Approval <span style="float: right;">(NO/YES) ↑ ↓</span>
<b>DEAN</b>	Receiving of the theses and theses forwarding forms for further processing
	



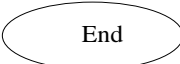
	Document Ref.: <b>CU/SOP/ACAD/16-21,34-37, 42-44</b>	Issue Date: <b>20<sup>th</sup> August, 2019</b>
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### Xiii) Supervising Academic Advising



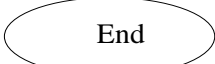
RESPONSIBILITY	ACTION
COD	 ↓ Appointing of academic advisers
COD/ADVISOR/DEAN	Reviewing of adviser's reference guide and the students' handbook
COD	Organization of orientation in the department during the first semester after admission of first year students.
ADVISER	Advising of students on career planning and choice, academic rules and regulations, planning of classes, implications of performance, getting through academic or personal crisis, integrating career, education, curriculum with career and life goals.
COD	Keeping of records of the advisee's progress and making appropriate recommendation to the Dean.  <div style="text-align: center;">  </div>

### xiv) Handling Departmental Complaints

#### a) and b) Student and lecturer complaints

RESPONSIBILITY	ACTION
COD	 ↓ Recording of all lodged complaints by students
COD	Calls the concerned lecturer
LECTURER	Acknowledges the resolutions reached
COD	Complaint resolved <span style="float: right;">(NO/YES)</span> <div style="text-align: right;">  </div>
DEAN	Communication to the two parties/Following up the matter with higher offices  <div style="text-align: center;">  </div>

#### c) Non-academic complaints

RESPONSIBILITY	ACTION
COD	 ↓ Recording of all lodged complaints
COD	Investigation of the matter and makes recommendations
COD	Resolution of complaint <span style="float: right;">(NO/YES)</span> <div style="text-align: right;">  </div>
DEAN OF STUDENT DVC (AFPD)	Referring the matter to higher offices if complicated. <ul style="list-style-type: none"> <li>• If the matter is about students or</li> <li>• If the matter is about staff</li> </ul> <div style="text-align: center;">  </div>