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# CHUKA UNIVERSITY

## Specific Operating Procedure


For

## Academic, Research & Extension Management (CU/SOP/DVCA/03)

### 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. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)	20.08.2019
Reviewed by	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)/ISO MR	20.08.2019
Approved by	Prof. E. N. Njoka	VICE-CHANCELLOR	20.08.201

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### 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	07	00	6 to 13	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	DVC (ARSA)	ISO M.R./VC
20/8/2019	07	00	16	Revised KPIs in quality objectives to be “measurable”	DVC (ARSA)	ISO M.R./VC
20/8/2019	07	00	16 to 19	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	DVC (ARSA)	ISO M.R./VC
20/8/2019	07	00	20	Revised risks to capture factually binding and persistent ones	DVC (ARSA)	ISO M.R./VC
20/8/2019	07	00	21	Generated stand-alone Opportunities for the Division and de-linked them from Risks	DVC (ARSA)	ISO M.R./VC

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## 2.0 GENERAL

### 2.1 Purpose

The purpose of this procedure is to ensure that the Academic, Research and Student Affairs Division is administered, managed, coordinated, supervised and controlled effectively and efficiently in compliance with this International Standard and the Chuka University's and Government's statutory policies, procedures and regulations.

### 2.2 Scope


This procedure applies to and defines all the processes and activities performed by the Academic, Research and Student Affairs head office. The activities concern academic programmes, research and extension services, academic staff conduct, and student welfare.

### 2.3 References

- Kenya Constitution, 2010
- Universities Act No. 42 of 2012
- CUE Regulations, Standards and Guidelines, 2014
- Chuka University Charter, 2013
- Chuka University Statutes, 2014
- CU Strategic Plan (2017–2022)
- Code of Conduct and Ethics for Public Universities, 2003
- Collective Bargaining Agreements (UASU, KUSU, KUDHEIHA Workers)
- CU Code of Conduct and Ethics Policy, 2014
- ISO 9001:2015 Standard, Clauses 4 to 10
- CU ISO Quality Management System Manual (current)
- CU Research, Intellectual Property & Extension Policy, 2019
- CU Performance Contract (Current)
- CU Customer Service Delivery Charter (Current)
- CU Students' Handbook (Current)
- ISO 9000:2005 Quality Management Systems – Fundamentals & Vocabulary
- Government Circulars and Relevant Acts

### 2.4 Abbreviations/Acronyms

COD	Chairman of Department
CU	Chuka University
DREP	Directorate of Research, Extension and Publications
DVC (ARSA)	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
DVC (AFPD)	Deputy Vice-Chancellor (Administration, Finance Planning & Development)
GSS	Government-Sponsored Students
HOD	Head of Department
HRM	Human Resource Management
KUCCPS	Kenya Universities & Colleges Central Placement Services
MANB	Management Board
ISO M.R.	ISO Management Representative
R (AA)	Registrar (Academic Affairs)
R&E	Research and Extension
SENA	Senate

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SSP            Self-Sponsored Programmes  
VC            Vice-Chancellor

### 2.5 Definitions

**COD:** The academic and administrative head of an Academic Department

**Dean:** The academic and administrative head of a Faculty/Student Welfare Department.

**Director:** The academic and administrative head of a Board or a Directorate

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

**SSP Students:** Any applicant who applies directly to CU and is privately sponsored, or applicants admitted to CU other than candidates admitted through KUCCPS.

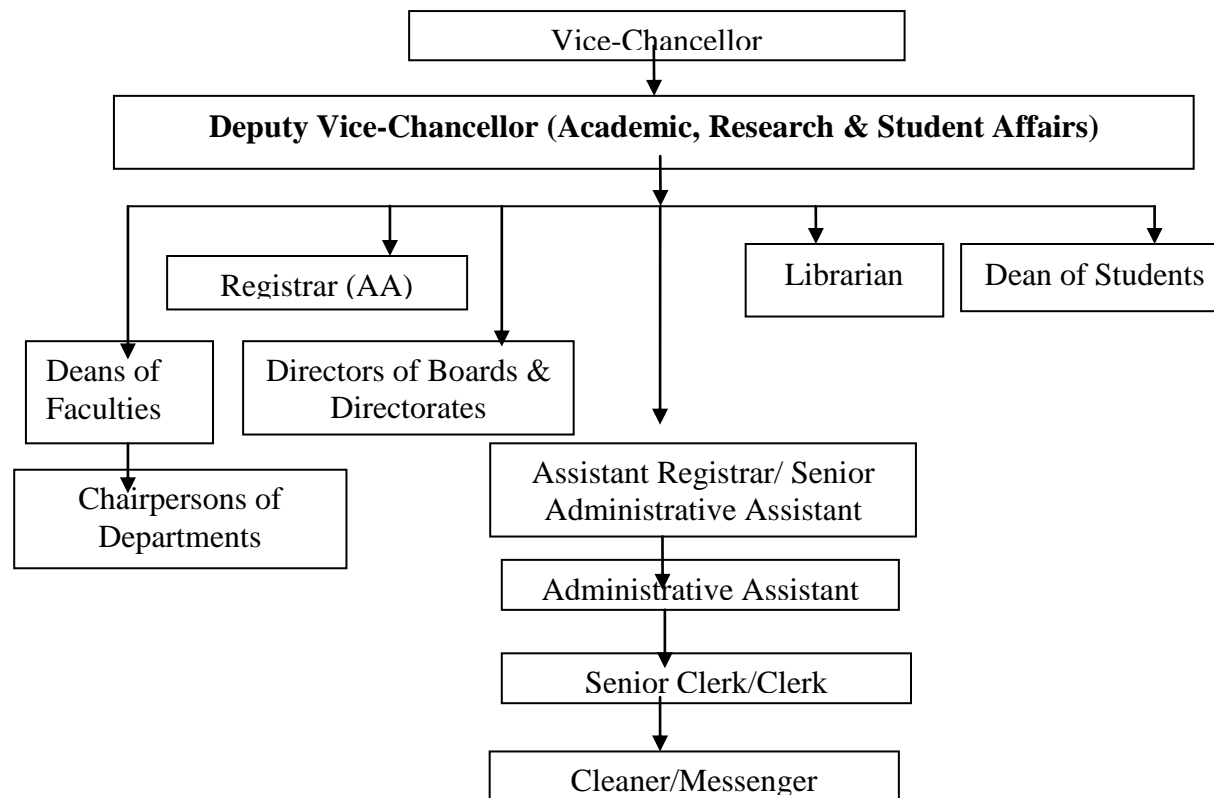
Potent Risk: Refers to potential raw risk that is anticipated.


### 2.6 Responsibility

The DVC (ARSA) has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose, providing information from which documentation for its processes can be compiled and initiating action to keep the processes up to date. All Departmental staff members are responsible for implementing and following this procedure.

### 3.0 ADMINISTRATIVE STRUCTURE

Academic Affairs Division is one of the two Divisions within Chuka University. The current administrative structure for the Academic, Research & Student Affairs Division is given below.



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## **4.0 PROCESSES**

### **4.1. Overview**

The DVC (ARSA) heads the Academic, Research & Student Affairs Division of the University. The Division heads management of academic, research and extension activities in the University.

#### **The core activities in the Division include:**

- (1) Management of Academic Matters
- (2) Management of Students' Disciplinary Issues
- (3) Management of Academic Discourse Forums
- (4) Management of Research and Publication Activities
- (5) Management of Extension and Outreach Activities
- (6) Management of Graduation and Certification Requirements

#### **The above-mentioned activities in the Division are accomplished through:**

- (1) Formulation and provision of policy guidelines, rules and regulations on planning, development, implementation, evaluation and management of academic programmes
- (2) Guiding CODs, Deans, and Directors on running of academic programmes and conducting of continuous assessment tests and final examinations
- (3) Overseeing administration of students' welfare services
- (4) Guiding CODs, Deans, and Directors in vocational training services provision.
- (5) Recommending academic staff for training and development
- (6) Managing implementation and maintenance of ISO 9001:2015 QMS
- (7) Heading the Academic Division in the procurement functions

#### **The main quality objectives of the Division include:**

- (1) To sustain procurement of teaching materials and services ever semester
- (2) To continuously spearhead and manage implementation of all academic processes
- (3) To regularly spearhead preparation and review of academic policies and curricula
- (4) To annually increase research visibility and participation for all staff and students
- (5) To recommend qualified applicants for training and part-time teaching on a regular basis, and for promotion and recruitment at least once per year
- (6) To annually increase extension and outreach engagements both on- and off-campus
- (7) To annually spearhead implementation of ISO 9001:2015 QMS in Chuka University


## **4.2 Process for Management of Academic Matters**

### **4.2.1 Source**

CU/SOP/VICM/01, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44

### **4.2.2 Required inputs/resources**

- Statutes and Catalogue
- Standards and guidelines
- Various policies and office holders to implement academic matters
- University almanac and budgetary allocation

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#### 4.2.3 Expected outputs

- Minutes with resolutions
- Final lists
- Programmes/Schedules

#### 4.2.4 Receiver

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44, CU/SOP/BPGS/13, CU/SP/BUSF/14, CU/SOP/DREP/39 (Vice-Chancellor, Registrar (AA), Faculty Deans, Chairpersons of Departments, Academic Directors)

#### 4.2.5 Procedure details

	<b>Process Details/Description</b>	<b>Output</b>	<b>Responsibility</b>
1.	A calendar of meetings is prepared/received at the beginning of each academic year	Schedule of meetings	DVC (ARSA)
2.	Matters to be dealt with by the Deans' Committee, Senate, Management Board, or Council are received from Stakeholders	Various requisitioned academic matters	DVC (ARSA)
3.	The items are compiled into agenda which is handed to respective secretariats	Agenda items	DVC (ARSA)
4.	Consultations are undertaken to identify a date to hold the meeting at least two weeks from the date of receipt of the agenda items.		DVC (ARSA)
5.	The Committee/Senate/Board members are invited through 2- to 7-day written notice.	Invitation memo	Registrars
6.	The meeting is held, matters are discussed, and resolutions are made by Committee, Senate, or Board members	Minutes	DVC (ARSA)
7.	Resolutions are communicated to recipients through written media.	Letters, Memos, Circulars	Registrars


### 4.3 Process for Management of Students' Disciplinary Issues

#### 4.3.1 Source

CU/SOP/VICM/01, CU/SOP/FACU/6-10, CU/SOP/STWD/15, CU/SOP/SESD/30

#### 4.3.2 Required inputs/resources

- Complaint/dispute and complainant
- Statements of the complainant/witnesses
- Disciplinary committee panel
- Current students' information handbook
- Relevant supportive acts, statutes, policies, rules and regulations
- Suspected student's academic records, personal files
- University almanac

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### 4.3.3 Expected outputs

- Disciplinary report with findings and recommended verdict

### 4.3.4 Receiver

CU/SOP/VICM/01 (Vice-Chancellor for Senate)

### 4.3.5 Procedure details

SN	Process Details/Description	Output	Responsibility
1.	Receipt of complaints statement marked by the VC within four weeks from the date of the incident. (Refer to CU/SOP/SESD/30 and CU/SOP/STWD/15)	Compliant Statement	DVC (ARSA)
2.	Constitution of a Students' Disciplinary Committee meeting in accordance with the Students' Information Handbook to deliberate on the matter	Constituted panel	DVC (ARSA)
3.	Drawing of show cause statements with charges	Charge sheets	DOS, R (AA) Security Officer
4.	Identification of a date for sitting to determine the case	Meeting date	DVC (ARSA)
5.	Invitation of the Student Disciplinary Committee members to the hearing of the dispute/complaint	Letter	R (AA)
6.	Chairing of a sitting to listen to complainants and defendants, noting of facts and deliberation of the case	Minutes	DVC (ARSA)
7.	Collation of facts and deliberations	Report	R (AA)
8.	Submission of findings and the recommendations of the Students' Disciplinary Committee to the Senate	Forwarded report	DVC (ARSA) R (AA)
9.	Chairing of the Senate to listen to the SDC report findings and recommendations and passing of the final verdict	Senate Minutes with verdict statement	VC
10.	Communication of the verdict of the Senate to the affected student within two weeks from the date of passage by the Senate.	Letter	R (AA)

## 4.4. Management of Academic Discourse Forums


### 4.4.1. Source

Faculties, Departments or Stakeholders

### 4.4.2. Required inputs/resources

- Forum identification and justification



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- Standards and guidelines
- Planning and facilitation experts/committees/teams
- Manuscripts/papers for the forum
- Theme, venue, dates and programme
- Budgetary allocation

#### 4.4.3. Expected outputs


- Training manual or book of abstract
- Forum proceedings/journal

#### 4.4.4. Receiver

Participants, Convenor, Director, REP, ICT Manager

#### 4.4.5. Procedure details

No.	Process Details/Description	Output	Responsibility
1.	Receiving event request from Faculties, Departments or Stakeholders	Requisitioned event(s)	DVC (ARSA)
2.	Scheduling of the event on the University calendar in consultation with Management, Faculties, Departments, and Stakeholders	Calendar of fora meetings	DVC (ARSA) Faculties Departments
3.	Giving the terms of reference to organisers	Terms of reference	DVC (ARSA)
4.	Developing a programme, identifying facilitators and drawing a budget and submitting to the DVC (ARSA) for vetting	Programme with facilitators, Draft budget, Minutes	Convenor (Director, Dean, COD, Staff)
5.	Forwarding the budget to VC for approval	Vetted budget	DVC (ARSA)
6.	Approval of the budget	Approved budget	The VC
7.	Invitation of keynote speakers one month to the date of function	Letters of invitation	VC and DVC (ARSA)
8.	Invitation of participants and facilitators	Letters of invitation	Convenor
9.	Holding of the event forum as per the programme and taking notes/proceedings	Rapporteurs' reports	Chairs Rapporteurs
10.	Compiling and reviewing of the notes, reports, manuscripts within 3 months into information communication materials (ICM)	Draft Reports, Manual, Proceedings, Manuscripts (ICM)	Convenor
11.	Submitting the compiled and reviewed ICM to the DVC (ARSA) for editing	Draft ICM	Convenor
12.	Approval of edited ICM for printing.	Final ICM	DVC (ARSA)
13.	Posting of the applicable ICM on the University website	Soft copy on website (www.chuka.ac.ke)	DVC (ARSA) ICT Manager
14.	Processing requisition to source for a printer following CU/SOP/PROD/25	Requisition letter with specifications	DVC (ARSA)
15.	Distribution of the printed ICM to users	Hard copy of the ICM	DVC (ARSA)

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#### **4.5. Process for Management of Research and Publication Activities**

##### **4.5.1. Source**

CU/SOP/DREP/39

##### **4.5.2. Required inputs/resources**

- IRF budget and draft research proposals
- Standards and guidelines
- Expert reviewers
- Author and reviewer guidelines
- Call for proposals/abstracts/manuscripts

##### **4.5.3. Expected outputs**


- Competitive research proposals
- Bi-annual reports/bulletins
- Publications (journal articles, brochures)
- Patents and copyrights

##### **4.5.4. Receiver**

CU/SOP/VICM/01 (Vice-Chancellor), CU/SOP/DREP/39

##### **4.5.5. Procedure details**

<b>No.</b>	<b>Process Details/Description</b>	<b>Output</b>	<b>Responsibility</b>
1.	Drawing of a schedule and supervising of events for management of the activities. (i) Management of research, extension and publication activities is done in liaison with DREP. (ii) Management entails administration of the internal research funds scheme (reviewing budgets, setting event timelines, supervising evaluation of projects), monitoring preparation of proceedings/manuals/journal, and recommending staff for consultancy.	Annual schedule of events	DVC (ARSA)
2.	Release of a call for proposals for IRF using form CU/DVCA/FORM/A in April of each financial year.	Call for proposals	DVC (ARSA)
3.	Submission and receipt of draft proposals before expiry of the set deadline by Staff, Ph.D. and Master's degree students who must have successfully completed oral defense at Faculty level and registered with the Graduate School	Draft proposals	Director (R&E)

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4.	Reviewing of proposals for preliminary mandatory guidelines and returning proposals failing those guidelines to authors to amend if minor, or retain if major/gross.	Minutes	Director (R&E)
5.	Assigning proposals to the reviewers	Minutes	Director (R&E)
6.	Forwarding pre-qualified proposals to reviewers with a cover letter and a review form (Ref: CU/DVCA/FORM/C)	Pre-qualified proposals	Director (R&E)
7.	Reviewing proposals and submitting a report within two (2) weeks	Review report	Reviewers
8.	Holding a meeting to compile scores. (a) The winning proposals (60% and above) are recommended for grant award.	Minutes	Director (R&E)
9.	Sending reviewed proposals to authors to amend in 1 week using reviewers' comments	Verified proposals	Director (R&E)
10.	Returning revised proposals after adding reviewers' comments and returning to DREP	Revised proposal	The PI
11.	Forwarding of the revised proposal plus minutes and review sheets copies	Cover letter and testimonials	Director (R&E)
12.	Vetting and approving the proposals for award of a grant	Vetted proposals	DVC (ARSA)
13.	Issuing an award letter to the Principal Investigator (PI) (CU/DVCA/FORM/D)	Letter of award	Vice-Chancellor
14.	Application for grants in tranches and implementing the research to completion within two years from the date of grant offer.	Requisition letter	PI, Director (R&E) DVC (ARSA) VC
15.	Monitoring & evaluation of the research periodically (refer to CU Research Policy).	Quarterly progress reports	Director (R&E)
16.	Submission of a final report in the prescribed format (CU/DVCA/FORM/B) at the end of the two years by PI's.	Final research report	Director (R&E)
17.	Consolidation, uploading on website and publication of research reports bi-annually.	Bulletins (soft and hard copies)	DVC (ARSA) ICT Manager
18.	Publication of research findings	Referred articles	The PI


#### **4.6. Process for Management of Extension and Outreach Activities**

##### **4.6.1. Source**

CU/SOP/VICM/01, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44, CU/SOP/BPGS/13, CU/SP/BUSF/14, CU/SOP/DREP/39 (Vice-Chancellor, Faculty Deans, Chairpersons of Departments, Academic Directors)

##### **4.6.2. Required inputs/resources**

- Activity identification and justification

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- Standards and guidelines
- Facilitators/coordinators
- Budget and programme

#### 4.6.3. Expected outputs


- Established linkages (MOUs, MOAs, Contracts etc.)
- Reports/proceedings/manuals

#### 4.6.4. Receiver

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/ACAD/16-21, 34-37, 42-44, CU/SOP/BPGS/13, CU/SP/BUSF/14, CU/SOP/DREP/39 (Vice-Chancellor, Registrar (AA), Faculty Deans, Chairpersons of Departments, Academic Directors)

#### 4.6.5. Procedure details

No.	Process Details/Description	Output	Responsibility
1.	Identification of linkages, extension and outreach activities. (a) All University Departments engage in pertinent extension and outreach activities. (b) Given Convenors and Director (R & E) coordinate exhibitions, shows, institutional linkages, consultancies and extension programmes in liaison with the VC and DVC (ARSA). (c) Structured linkages and partnerships are formalised through signing of MOUs/MOAs that are drafted, operationalised, monitored and evaluated by respective convenors. (d) The VC signs MOUs, MOAs, Consultancies on behalf of the Council and the DVC (ARSA) witnesses.	Report with identified activities	CODs, Deans, Directors, Convenors, Management
2.	Receiving extension and outreach requests and proposals from stakeholders and forwarding for recommendation		Director (R&E)
3.	Recommending extension and outreach requests and proposals		DVC (ARSA)
4.	Approval of requests and proposals	Letters of approval	Vice-Chancellor
5.	Drafting MOUs/MOAs for management of the joint project or collaboration	Draft MOUs/MOAs	COD, Dean, Director, Chair etc.
6.	Formalisation of the linkages and partnerships through signing of the MOUs/MOAs witnessed by DVC (ARSA)	Signed MOUs/MOAs	Vice-Chancellor

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7.	Execution of the extension and outreach event, activity or project	Minutes, rapporteurs' reports, proceedings	Respective COD, Dean, Director, Convenor
8.	Submitting progress reports/ minutes/ proceedings of the event	Progress reports/ minutes/proceedings	Respective COD, Dean, Director, Convenor
9.	Verifying and forwarding the testimonials to the relevant offices including the VC, DVC (ARSA), Director (Quality Assurance & Performance Contracting) and sponsors	Verified reports, minutes, proceedings, manuals	Director (R&E)

#### **4.7. Management of Graduation and Certification Requirements**

##### **4.7.1 Source**

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/BPGS/13, CU/SP/BUSF/14, (Vice-Chancellor, Registrar (AA), Faculty Deans, Academic Directors)

##### **4.7.2 Required inputs/resources**

- Budgetary allocation and requisition
- Graduands' pass lists
- Standards and guidelines
- Graduation committee of experts and grand venue
- ISO 9001 Standard/QMS Manual

##### **4.7.3 Expected outputs**

- Graduation Booklet, Newsletter
- Graduates/Alumni
- ISO Accreditation Certificate

##### **4.7.4 Receiver**

CU/SOP/VICM/01, CU/SOP/RACA/05, CU/SOP/FACU/6-10, CU/SOP/BPGS/13, CU/SP/BUSF/14, (VC, R (AA), Faculty Deans, Academic Directors, Industries/employers)

##### **4.7.5 Procedure details**


<b>SN</b>	<b>Process Details/Description</b>	<b>Output</b>	<b>Responsibility</b>
1.	Preparation of a calendar of meetings and events at beginning of Financial Year, including graduation ceremony date, and communicating the date to the Senate	Council calendar of events schedule	VC
2.	Presentation of examination results for finalist students to the Senate to approve to graduate	Graduation Lists	Deans of Faculties
3.	Compilation of guests contacts and drafting of letters/cards for the VC to invite the guests, at least one month to the graduation ceremony	Postage schedule Copies of dispatched letters	R (A&P) and PRO



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4.	Drafting, vetting, approving and placing of an announcement advert in the press, latest two weeks to the graduation date	Graduation announcement advert	R (AA) DVC (ARSA) VC
5.	Convening at least four weekly meetings of Graduation Committee, inclusive of Deans' Committee members, from at least two months to the graduation date.	Minutes	DVC (ARSA)
6.	Formation of teams from Graduation Committee members to coordinate various graduation activities. Each team has a convenor. The teams are: (a) Sitting Arrangement, Hospitality and Medical Team; (b) Grounds Beautification and Robing Team; (c) Publicity (News/ Speeches/ Citations/ Passes/ Cards/Certificates/Booklet) Team; (d) Security, transport, parking team; and (e) Entertainment and Procession Band Team.	Graduation subcommittees	DVC (ARSA)
7.	Planning finer logistics and drawing mini-budgets	Mini-Graduation Budgets	Convenors of Teams
8.	Consolidation of mini-budgets into one consolidated Graduation Ceremony budget	Total Budget	DVC (ARSA)
9.	Forwarding of the consolidated budget to the VC to approve expenditure.	Budget requisition	DVC (ARSA)
10.	Approval of the forwarded budget	Approved budget	VC
11.	Implementation of the approved plans and budget following procurement and departmental operations procedures and due diligence (CU/COP/PROD/25). (a)Sitting Arrangement, Hospitality & Medical Team: Labels students' and guests' seats, dispatches students' cards to Faculties, prepares catering items/services, and sets up first aid needs, two days in advance of the ceremony. (b)Environment Beautification and Gowns Sorting Team: Starts beautifying the environment through flower planting and buildings painting, at least 3 months in advance; Tidy-up the grounds and decorates necessary premises in earnest, and sorts out graduation gowns, one week to the graduation date. (c)Publicity (News/Speeches/Booklet) Team:	Subcommittee reports	Convenors of Teams

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	Causes to be produced the graduation newsletter, speeches, Car passes, meal cards, citations, certificate templates and wallets, graduation lists' booklet, TV commentaries, PAS, and banners. (d)Security, Transport, Parking and Flags Team: Finalises necessary security, transport, parking and flagging arrangements in liaison with the National and County Governments, one week early. (e)Entertainment and Procession Band Team: Finalises recruiting, coaching and auditioning entertainers and a procession band, one week to the graduation date.		
12.	Conducting of the graduation ceremony	Graduates/Alumni	VC, DVC (ARSA) R (AA), Deans
13.	Invitation and convening of a post-mortem meeting for the Graduation Committee members to evaluate performance and plan improvements for future ceremonies.	Minutes/Report	R (AA) DVC (ARSA)
14.	Prepare programme for ISO awareness creation and liaise with consultant trainers	Trained staff and ISO internal auditors	ISO M.R.
15.	Prepare ISO Internal audit twice a year	ISO Audit Reports	ISO M.R.
16.	Management Review Meetings are organised and held twice a year after internal auditing	Minutes	Vice-Chancellor ISO M.R.
17.	Liaise early each year for the Certification Body to conduct surveillance audit of QMS	Surveillance reports	ISO M.R.
18.	All ISO documents are regularly updated	ISO records/docs	ISO M.R./HODs


## 5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

- (i) Academic/Senate/Council schedules/calendars
- (ii) Minutes/reports of meetings
- (iii) Advertised features from print media and memos
- (iv) Deans' Selection Document containing list of candidates
- (v) Report by the complainants/Statements of accuser, accused and witnesses
- (vi) Attendance lists
- (vii) Research proposal review reports/Quarterly and annual progress reports
- (viii) ISO records (retained information), reports, CARs, risk registers
- (ix) Published journal volumes
- (x) Published proceedings volumes

## 6.0 KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

### 6.1 Indicators

Percentage of policies prepared and approved by the Council within one year


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Percentage of complaints and disciplinary cases resolved within one semester  
Number of conferences, workshops, seminars organised and held within a year  
Number of students approved for admission and processed for graduation  
Volumes of proceedings, journals and other publications released  
Number of proposals recommended for funding  
Number of Book of Abstracts, Proceedings Issues, Journal Volumes produced  
Number of MOUs/MOAs negotiated and signed  
Percentage of short courses/curricula supervised during preparation  
Continual improvement of customer & employee satisfaction index  
Others are in the Strategic Plan, Division Work Plans and/or Objectives

## 6.2 Quality Objectives

<b>Linked Strategic Objective(s):</b> SO 2: Provision of Relevant Quality Higher Education and Training SO 3: Enhancement of Academic Competitiveness of the University			
<b>QO 1. To reduce time taken to validate teaching and learning materials destined for procurement from 3 days to 2 days from date of receipt</b>			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> <li>• Sensitize CODs through various forums/media thrice per semester</li> <li>• Keep data on student population and academic programmes on offer every semester</li> <li>• Participate in University budgetary allocation and approval meetings once a year</li> </ul>			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
CODs/Deans <b>DVC (ARSA)</b> DVC (AFPD)/VC Procurement Officer	Approved budgets Item specifications Requisition letters Students in session	Three times per year	-No. of requisitions forwarded -Budget preparation and approval meetings attended
Progress review dates/ timelines		Quarterly	
<b>Linked Strategic Objective(s):</b> SO 1: Expansion of the Number of Relevant Market-Driven Programmes SO 2: Provision of Relevant Quality Higher Education and Training SO 3: Enhancement of Academic Competitiveness of the University SO 22: Strengthening of University Governance for Effective Decision Making SO 25: Maintenance and Improvement of Quality Assurance SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 27: Compliance with Statutory Requirements			
<b>QO 2. To shorten time taken to get prepared academic policies and curricula approved by Senate from 2 years to within 1 year</b>			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> <li>• Convene meetings/forums to deliberate the documents as needs/they arise</li> <li>• Issue standards and guidelines regularly</li> <li>• Review, edit and improve draft documents as they are submitted</li> </ul>			
Responsibility	Resources required	Timeline	Measure of success (KPIs)



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CODs/HODs Deans/Directors <b>DVC (ARSA)</b> VC & Council Chair	Expert staff Refreshments' funds Standards & guidelines Stationery	Annually and after a cycle	Number of meetings held Number of approved policies Number of approved curricula
Progress review dates/ timelines		Quarterly	
<b>Linked Strategic Objective(s):</b> SO 5: Generation and Dissemination of Research Findings to Interested Parties SO 6: Patenting and Commercialization of Research Findings and Innovations			
<b>QO 3. To increase number of facilitated research outputs by a factor of two (2) annually</b>			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> <li>• Call for proposals once yearly for internal grants and cascade external calls as they arise</li> <li>• Vet proposals and recommend funding twice per year</li> <li>• Organise conference/workshops for staff at least once per year</li> <li>• Process manuscripts for publication in proceedings once per year</li> </ul>			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
Staff Researchers <b>DVC (ARSA)</b>	Posters of calls Conference budget Stationery Secretariat staff	Annually	-Number of calls cascaded -No. of proposals reviewed -No. of workshops/seminars held -No. of manuscripts published
Progress review dates/ timelines		Quarterly	
<b>Linked Strategic Objective(s):</b> SO 2: Provision of Relevant Quality Higher Education and Training SO 28: Recruitment and Retention of Qualified Staff SO 30: Development of Motivated Staff SO 31: Enhancement of Gender and Affirmative Action Compliance			
<b>QO 4. To reduce time taken to vet and forward qualified applicants for training, teaching and promotion processing from 5 days to within 2 days</b>			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> <li>• Participate in training facilitation award meetings at least twice per year</li> <li>• Vet part-time teaching applicants twice per year</li> <li>• Monitor performance of staff and review once every 3 years for promotion</li> </ul>			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
R (A&P) CODs/Deans <b>DVC (ARSA)</b> HRTDC Chair VC	Applicants Standards & criteria Shortlisting/interview schedules/score sheets Stationery	-Tri-annually for promotion -Continuously for cpd training	-No. of forwarded requests -No. of awards granted -Number of staff trained -Number of staff promoted -Employee satisfaction index
Progress review dates/ timelines		Annually and quarterly	
<b>Linked Strategic Objective(s):</b> SO 35: Development of Mutually Beneficial Relationships with the Alumni SO 36: Establishment of Linkages with Industries, Government and Other Organisations			

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SO 37: Provision of Technical Expertise to Stakeholders in Socially Relevant Projects SO 38: Engagement in Priority Areas in Community Outreach			
<b>QO 5. To increase formalized linkages and partnerships from 5 Faculties to 7 Faculties</b>			
Strategy/ies (Actions/Activities) required to achieve the objective			
<ul style="list-style-type: none"> <li>• Identify stakeholders/collaborators annually</li> <li>• Prepare agreements/MOU for signing as needs are identified</li> <li>• Cascade information on extension and outreach opportunities as it arises</li> </ul>			
Responsibility	Resources required	Timeline	Measure of success (KPIs)
CODs <b>DVC (ARSA)</b> VC	Budgetary allocation Peer institutions Team of staff experts Attachment requisitions	Annually	-Number of extension activities -Number of signed MOUs -Number students attached -Number of staff exchanged
Progress review dates/ timelines		Quarterly	



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### **Risk Identification Key**

<b>Likelihood</b>	<b>Consequence</b>	<b>Raw Risk (Likelihood x consequence)</b>
1: Low, very unlikely less than 10% chance of occurring	1: insignificant, consequences are very low, can lead to nil/minor disruptions (1 day), leads to no financial losses	1 - 3: Low, managed within existing controls, monitor annually
2: Medium, possible 20% - 60% chance of occurring	2: Moderate, consequences are moderate, disruption can be up to a week, financial loss can be up to \$10,000	4 - 6: Medium, evaluate efficiency of existing controls or implement mitigation plan, monitor quarterly or 6 monthly
3: High, likely to almost certain 70% - 100% chance of occurring	3: Serious, consequences are adverse, can lead to legal prosecutions, media coverage, investigation by statutory body, complete loss of service delivery or financial loss of > \$ 100,000	7 - 9: High, implement mitigation plan immediately, escalate to senior management, monitor weekly or monthly



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### 6.3 Risk and Opportunities Register


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

**For evaluated scores, see separate printout.**

Department: CU/SOP/DVCA/03 – DVC (Academic, Research & Student Affairs) Office												
Procedure /Project /Process Name: Academic, Research and Extension Management												
Risk name/ description	Risk consequences	Likelihood (L)	Consequence (C)	Potent Risk (LxC)	Mitigations/ controls (Opportunities source)	Risk owner	Monitoring (When)	Actual Risk				
								LA	CA	RI= LA*CA	RR%= RI/PR	EC %
<b>1. Management of Academic Matters</b>												
Substandard teaching	Student complaints	2	4	8	Make-ups, evaluate teaching effectiveness	CODs Director, QA	Weekly					
Misleading claims and non-prudent use of funds	Loss of revenue	2	4	8	Clear policies, protocols Multi-stage vetting Thorough scrutiny	CODs, Deans, TM, Auditors	Weekly					
<b>2. Management of Students' Disciplinary Issues</b>												
Fictitious/trivial complaints	Resource wastage Negative publicity	2	2	4	Capacitate counsellors and security officers	DOS, Top Management	Quarterly					
Internal or external interference	Ineffective verdicts	2	2	4	Issue Statutes, Students Information Handbook	DOS, Top Management	Annually					
<b>3. Management of Academic Discourse Forums</b>												
Low interest from clients and staff	Demoralised staff Poor productivity/ranking Ineffective teaching	2	2	4	Motivate using staff awards, recognitions, promotions and training	DVC(ARSA)	Annually					
<b>4. Management of Research and Extension Activities</b>												
Academic fraud	Dismissed students	2	2	4	Engage reviewers	DVC(ARSA) R(AA)/EXTT	Quarterly					
Plagiarism/piracy	Litigation	2	4	8	Anti-plagiarism checks	DVC(ARSA) BPGS	Monthly					
Unrealistic donor conditions	Uncompetitive proposals, Few winning grants	2	3	6	Training/mentoring/ Form thematic groups	DREP	Bi-annually					
Imprudent use of funds and poor accountability	Loss of grants, litigation Low productivity of new knowledge, technologies	2	3	6	Train, vet, M&E Thorough auditing Issue policies	DREP DVC(ARSA) Auditors	Bi-annually					
Conflicting client interests	Failed CSR projects Broken CSR relationships	2	2	4	Clear communication and follow-ups	DVC (ARSA) PRO	Annually					


Key: LA= Likelihood Achieved. CA = Consequence Achieved. RI = Risk Incidences encountered. RR% = Residual Risk. EC% = Effectiveness of Control

Potent Risk (PR): Refers to potential raw risk that is anticipated. EC% = 100% - RR%

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#### 6.4 Opportunities Table

SN	Opportunities	Action Plan	Timeline	Effectiveness status
1	Increasing demand for higher education	Designed, developed and reviewed curricula after a cycle	Once per semester and once per 4 years, respectively	70%
2	Environment requiring conservation through research and extension	Encouraged student clubs and staff to participate in voluntary community outreach conservation activities	At least once per year	100%
3	Incoming staff with limited pedagogy skills/training	Offered pedagogy training workshops Prepare standard course descriptions	Once every two years	100%
4	Community goodwill and support of the University	Organized community outreach activities such as short trainings	At least once per year	90%
5	-Proximity of the University to rapidly growing urban centres	Mobilized faculties and departments to draft curricula and short courses for part-time/work-based learning, to attract students to enrol in the University	Two new curricula and short courses per year.	60%
6	-Favourable immediate catchment areas for students		Admit new students at least 3 times per year	100%
7	Availability of potential funding/grant agencies	Vetted, monitored and evaluated proposals; thoroughly audited; and issued policies; organized symposia and recommended/applied to agencies to co-fund	Continuous Once per year	100%
8 & 9	-Availability of donors, scholarships, fellowships, journal publishers -Proximity of the University to Mount Kenya	-Trained staff in effective proposal writing for research, further studies, and in article writing for publication -Used Mt Kenya to generate research ideas, & as a research lab/arena.	Train biannually  At least once per year	100%
10	Kenya's attainment of middle income economic status in global arena demanding recognized best practices	Regularly demystified; engaged champions; and shared benefits during MRM with respect to embracing of ISO 9001 QMS as a management tool	Twice per year	80%

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**APPENDIX: PROCESS MAPS**

**i. Coordinating Academic Matters**




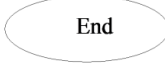
RESPONSIBILITY	ACTION
STAKEHOLDERS/STUDENTS	<p style="text-align: center;">Start</p> <p>Receipt of agenda/applications, 2 weeks to beginning of semester Compilation and forwarding of applications and other agenda</p>
REGISTRAR (AA)	Booking of meeting date 10 days in advance
DVC (ARSA)	Invitation of the committee members through sending a 7-day notice
REGISTRAR (AA)	Holding of the meeting
DEANS' COMMITTEE MEMBERS	Presentation of summarised findings to Senate/Management Board for ratification/noting.
DVC (ARSA)	
SENATE/MANAGEMENT BOARD/COUNCIL	<p>Ratification/Resolution <span style="float: right;">NO</span></p> <p>Implementation <span style="float: right;">YES</span></p>
DEANS/CODS	End

**ii. Handling Students' Disciplinary Matters**



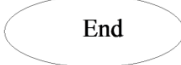
RESPONSIBILITY	ACTION
STUDENT(S)	<p style="text-align: center;">Start</p> <p>Disciplinary incident occurrence</p>
VICE-CHANCELLOR	Approval of investigation of incident <span style="float: right;">NO</span>
DEAN OF STUDENTS OR SECURITY OFFICER	Submission of report within two weeks after the incident (CU/SOP/SECD/30 and CU/SOP/STWD/15) <span style="float: right;">YES</span>
DVC (ARSA)	Receipt of investigation report
DVC (ARSA)	Convening of the Students' Disciplinary Committee meeting within two weeks from receipt of report.
SENATE	Approval of recommendation of the Committee <span style="float: right;">NO</span>
	Communication of verdict 2 weeks from approval by the Senate. <span style="float: right;">YES</span>
REGISTRAR (AA)	End


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### iii. Organisation of Academic Seminars, Workshops and Conferences

RESPONSIBILITY	ACTION
STAKEHOLDERS/STAFF	<div style="text-align: center;">             ↓         </div> Trainings identification
VICE-CHANCELLOR	Training approval (3 months) <div style="float: right;">   NO YES           </div>
DVC (ARSA) COMMITTEE	Issuance of terms of reference to organising committee/team Event organisation
VC & DVC (ARSA)	Budget and programme approval <div style="float: right;">   NO YES           </div>
VICE-CHANCELLOR DVC (ARSA) & CONVENOR	Invitation of keynote speakers & presenters (1 month) Invitation of other presenters (1 month)
PARTICIPANTS COMMITTEE	Function attendance Preparation of proceedings
DVC (ARSA)	Revision, editing, and approval of proceedings for printing
WEBSITE MANAGER DVC (ARSA)	Posting proceedings on the University website (www.chuka.ac.ke) Forwarding to the printer by Procurement Dept (CU/SOP/PROD/25).
DVC (ARSA)	Distribution of printed proceedings <div style="text-align: center;">  </div>

### iv. Coordination of Research and Publications

RESPONSIBILITY	ACTION
STAKEHOLDERS	<div style="text-align: center;">             ↓         </div> Research, extension and consultancy matters
DVC (ARSA)	Release of a call for internal research funding proposals in April.
STAFF & STUDENTS	Submission of draft proposals within 3 months, upon the expiry of deadline
DVC (ARSA) & BREP	Assigning of reviewers.
BOARD OF RESEARCH, EXTENSION & PUBLICATIONS	Prequalifying proposals <div style="float: right;">   NO YES           </div>
DVC (ARSA)	Forwarding of the proposals to reviewers with a cover letter and a review form (Ref CU/DVCA/FORM C)
REVIEWERS	Reviewing of the proposals and submitting a report within two (2) weeks
OFFICE ASSISTANT	Consolidation and averaging of reviewers' scores.
BREP	Approval of winning proposals (NO/YES)
VICE-CHANCELLOR	Awarding of grant and signing of contract (Ref CU/DVCA/FORM D).
PRINCIPAL INVESTIGATOR	Application for grants in tranches and implementing the research to complete within two (2) years from the date of award offer.
BREP/PI	M&E periodically. Submission of quarterly reports to BREP.
PRINCIPAL INVESTIGATOR	Submission of final report in prescribed format (CU/DVCA/FORM B) <div style="text-align: center;">  </div>

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**v. Coordination of Extension and Outreach Activities**

STAKEHOLDERS	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>All Departments in the University engage in pertinent extension and outreach activities.</p>
HODS	Structured linkages and partnerships are formalised through signing of MOUs/MOAs that are drafted, operationalised, monitored and evaluated by respective HODs.
VC & DVC (ARSA)	VC signs the MOUs/MOAs/Consultancies for University Council DVC (ARSA) witnesses
DVC (ARSA) & VC	Receives and recommends extension and outreach requests and proposals as they are submitted by Departments and the VC approves them.
TEAM LEADERS	Team leaders prepare programmes, budgets, invitations of participants and other logistics for the extension and outreach functions.
PARTICIPANTS	The participants execute the extension and outreach function.
TEAM LEADERS	The team leader writes a progress report submitted to the relevant offices including the VC, DVC (ARSA), Director (QAPC), and sponsors
	End