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	Issue No.: 03	Revision No.: 00
Document STANDARD OPERATING PROCEDURE FOR RESEARCH, EXTENSION & PUBLICATIONS MANAGEMENT		

CHUKA UNIVERSITY

Specific Operating Procedure

For

Research, Extension & Publication Management (CU/SOP/DREP/39)

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.

	Name & Signature	Position	Date
Revised by	Members	Board (Research, Extension & Publications)	15.10.2020
Reviewed by	Prof. D. K. Isutsa	Deputy Vice-Chancellor (ARSA)/ISO M.R.	15.10.2020
Approved by	Prof. E. N. Njoka	Vice-Chancellor	15.10.2020



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1. AMENDMENT RECORD

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

AMENDMENT RECORD SHEET

Amendment Date	Issue No.	Revision No.	Page No.	Subject of Review /Modification	Revised By	Reviewed & Approved By
20/8/2019	02	00	6 to 9	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	DREP	ISO M.R./VC
20/8/2019	02	00	10	Revised KPIs in quality objectives to be “measurable”	DREP	ISO M.R./VC
20/8/2019	02	00	10	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	DREP	ISO M.R./VC
20/8/2019	02	00	14	Revised risks to capture factually binding and persistent ones	DREP	ISO M.R./VC
20/8/2019	02	00	15	Generated stand-alone Opportunities for the Directorate and de-linked them from Risks	DREP	ISO M.R./VC
15/10/2020	03	00		Added 4 processes	DREP	ISO M.R./VC

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2.0 GENERAL

2.1 Purpose

The purpose of this procedure is to ensure that research, extension, publication processes and activities are managed effectively to ensure compliance with this international standard and the University's and Government's statutory policies, procedures and regulations.

2.2 Scope

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

2.3 References


- Kenya Constitution, 2010
- Universities Act No. 42 of 2012
- CUE Regulations, Standards and Guidelines, 2014
- CU Charter, 2013
- CU Statutes, 2014
- CU Strategic Plan, 2017-2022
- ISO 9001:2015 Standard, Clauses 4 to 10
- CU ISO Quality Manual, 2017
- CU Catalogue, 2016
- CU Research Policy, 2013
- CU Code of Conduct and Ethics Policy, 2014
- Other CU Policies

2.4 List of Abbreviations/Acronyms

DREP	-Directorate/ of Research, Extension and Publications
Director, RE&P	-Director, Research, Extension and Publications
CU	-Chuka University
COD	-Chairman of Department
HOD	-Head of Department
DVC (ARSA)	-Deputy Vice-Chancellor (Academic, Research & Student Affairs)
DVC (AFPD)	-Deputy Vice-Chancellor (Administration, Finance, Planning & Development)
IRF	-Internal Research Fund
PI	-Principal Investigator
VC	-Vice-Chancellor

2.5 Definitions

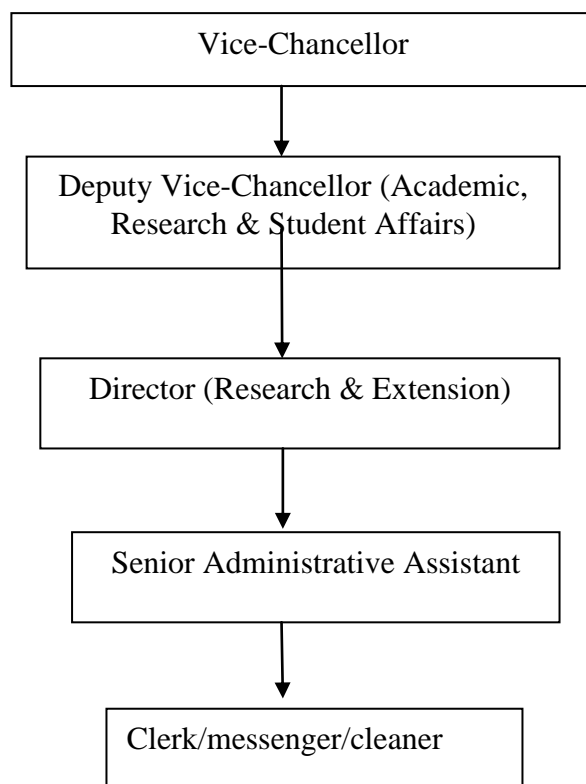
Applicant:	A person who applies for research grant from internal research fund.
Director:	Refers to the Director of Research, Extension and Publications.
Dean:	Means Dean of Faculty
Grant:	Accountable funds awarded competitively to facilitate conduct of research
Proposal:	Refers to a document written to guide a researcher in carrying out a scientific study for the purpose of advancing knowledge.
Potent Risk	Refers to potential raw risk that is anticipated.
Researcher:	Means a person (student/staff) undertaking investigation to advance knowledge

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2.6 Responsibility

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

3.0 ADMINISTRATIVE STRUCTURE




4.0 PROCESSES

4.1 Overview

The Director is responsible for coordinating the activities related to Research, Extension and Publications. The core activities of the Directorate include:

- (1) Organizing of academic/research seminars, workshops and conferences and their proceedings
- (2) Receiving, reviewing, research proposals for internal fund activities
- (3) Organising extension/outreach functions for the community, staff and students
- (4) Production of Journal of Environmental Sustainability Advancement Research (JESAR) Issues
- (5) Monitoring & evaluating research proposals/training under internal research funding
- (6) Establishing linkages with relevant industries and technical institutions
- (7) Patenting research creations and innovations

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4.2 Process for Planning Research Seminars, Workshops and Conferences

4.2.1 Source

ISO Departments; Top Management

4.2.2 Required inputs/resources

- Need identification and justification
- Resource persons (Experts/Facilitator)
- Theme (of conference/seminar/workshop)
- Budgetary allocation
- Suitable venue
- Stationery

4.2.3 Expected outputs


- Book of abstracts including the programme
- Conference proceedings

4.2.4 Receivers

ISO Departments; Employees; Students; Top Management

4.2.5 Procedure details

No.	Description	Output	Responsibility
1.	Receiving of academic, research and student-related function needs from Faculties, Departments or Stakeholders	Application letter	DVC (ARSA)
2.	Recommending and forwarding of the request for approval of the function	Approved letter	DVC (ARSA) VC
3.	Giving of terms of reference to DREP to organise the training/function	Terms of reference	DVC (ARSA)
4.	Developing of a programme, identifying facilitators and drawing a budget	Programme, List of facilitators, Budget	Director, RE&P
5.	Submitting of the budget to the DVC (ARSA) for vetting	Proposed budget	Director, RE&P
6.	Submitting of the vetted and rationalised budget for approval	Vetted budget	DVC (ARSA)
7.	Approval of the final budget	Approved budget	VC
8.	Invitation of keynote speakers one month to the date of the function	Letters of invitation	DVC (ARSA)
9.	Invitation of function participants and facilitators (chairs and rapporteurs)	Letters of invitation	Director, RE&P
10.	Holding of the function as per the programme and taking notes	Rapporteurs reports	DREP Facilitators Rapporteurs

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11.	Compiling the notes/reports within three months into ICM	Reports, Draft proceedings	DREP
12.	Submitting the compiled and reviewed material for editing	Draft proceedings	DREP
13.	Approval of the draft proceedings/bulletin for printing and publication	Approved proceedings	DVC (ARSA)
14.	Posting of the proceedings on the University website (www.chuka.ac.ke)	Soft copy on the University website	DVC (ARSA) ICT Manager
15.	Forwarding of a request to the Procurement Department to source for a printer; see CU/SOP/PROD/25	Request letter	DVC (ARSA)
16.	Distributing of the printed proceedings/bulletin to relevant users	Hard copy of the Proceedings/bulletin	DVC (ARSA)

4.3 Process for Internal Research Fund Activities

4.3.1 Source

Participants; ISO Departments; Top Management

4.3.2 Required inputs/resources

- IRF budgets/ Budgetary allocation
- Standards and guidelines
- Resource persons (Experts/ Peer reviewers)

4.3.3 Expected outputs


- Competitive research proposals
- Bi-annual reports
- Publications (peer-reviewed articles, brochures)

4.3.4 Receivers

Participants; ISO Departments; CU/SOP/PROD/25; Top Management

4.3.5 Procedure details

No.	Description	Output	Responsibility
1.	Releasing annually in April a call for IRF proposals using form CU/DVCA/FORM/A	Call for proposals	DVC (ARSA)
2.	Submission of draft proposals before expiry of the set deadline by applicants (Staff, Ph.D. and Master's degree students who must have successfully completed oral defence at Faculty level and registered with the Graduate School)	Draft proposals	Director, RE&P
3.	Reviewing of proposals for preliminary mandatory guidelines and returning	Minutes	Director, RE&P

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	proposals failing those guidelines to authors to amend if minor, or retain if major.		
4.	Assigning of reviewers to staff proposals and validating of proposals for students	Minutes	Director, RE&P DREP Board
5.	Forwarding of prequalified staff proposals to reviewers with a review form (Ref: CU/DVCA/FORM/C)		Director, RE&P
6.	Reviewing of staff proposals and submitting of an evaluation report within two (2) weeks by the reviewers	Review report	Director, RE&P
7.	Meeting to consolidate and average scores. (a) Winning staff proposals (60% and above) are recommended for award of a grant. (b) Proposals are sent to applicants to amend in 1 week, using reviewers' comments.	Minutes	Director, RE&P
8.	Returning of revised proposals after entering reviewers' comments by the applicants	Corrected proposals	Director, RE&P
9.	Verifying and forwarding of the corrected proposals to the DVC (ARSA)	Verified proposals	Director, RE&P
10.	Approval of the proposals and forwarding to the VC for awarding/granting of funds	Approved proposals	DVC (ARSA)
11.	Issuance of an award letter to the Principal Investigator (PI) (CU/DVCA/FORM/D).	Letter of award	Vice-Chancellor
12.	Application of grant tranches and implementing of the research to completion within two years from the date of grant offer.	Research implementation records	The PI
13.	Monitoring and evaluating of the research periodically (refer to CU Research Policy).	Quarterly progress reports	Director, RE&P
14.	Submission of a final report in the prescribed format (CU/DVCA/FORM/B) at the end of the two years by the PI	Final research report	Director, RE&P
15.	Consolidation of research reports into bi-annual research reports/bulletin.	Bi-annual reports	Director, RE&P
16.	Publishing of the research findings	Publications	PI and co-authors


4.4 Process for Organising of Extension and Outreach Activities

4.4.1 Source

Community; ISO Departments; Top Management

4.4.2 Required inputs/Resources

- Need identification and justification
- Standards and guidelines
- Resource persons (Experts/Collaborators)

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- Budgetary allocation

4.4.3 Expected outputs

- Established linkages
- Reports

4.4.4 Receivers

Community; ISO Departments; Top Management


4.4.5 Procedure details

No.	Description	Output	Responsibility
1.	Identifying and justifying the need for linkages, extension and outreach activities	Minutes	All departments
2.	Receiving of extension and outreach requests and proposals from Departments or stakeholders, reviewing and forwarding to the DVC (ARSA) for recommendation	Applications/ project/event proposals	Director, RE&P
3.	Verifying and recommending extension and outreach requests and proposals for consideration/implementation	Verified project/event proposals	DVC (ARSA)
4.	Approval of the recommended project/event to be organised and held in the University	Letters of approval	Vice-Chancellor
5.	Drafting of requisite MOUs/MOAs	Draft MOUs/MOAs	Convenors & Director, RE&P
6.	Reviewing of the MOU/MOA and forwarding to the DVC (ARSA)	Reviewed MOU/MOA	Director, RE&P
7.	Verifying and recommending the MOU/MOA and forwarding to VC	Verified MOU/MOA	DVC (ARSA)
8.	Formalisation of the linkages and partnerships by signing the MOUs/MOAs	Signed MOUs/MOAs	Vice-Chancellor
9.	Execution of the extension and outreach function or activities	Rapporteurs' reports	DREP Rapporteurs
10.	Submitting progress reports by team leaders and rapporteurs	Progress reports	Director, RE&P
11.	Compiling and submitting the reports to the relevant offices including the VC, DVC (ARSA), Directors, Quality Assurance & Performance Contracting, and sponsors.	Progress reports	Director, RE&P

4.5 Process for Production of Journal of Environmental Sustainability Advancement Research (JESAR) Issues

4.5.1 Source

Authors; Participants; ISO Departments; Top Management

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4.5.2 Required inputs/Resources

- Manuscripts
- Standards and guidelines
- Budgetary allocation
- Resource persons (Experts/ Reviewers)

4.5.3 Expected outputs


- Annual Journal release

4.5.4 Receivers

- Participants; ISO Departments; Top Management

4.5.5 Procedure details

No.	Description	Output	Responsibility
1.	Releasing once a year a call for manuscripts outlining the scope of the Journal and standards and guidelines	Call for manuscripts	Director, RE&P/ DVC (ARSA)
2.	Checking of submitted manuscripts for mandatory guidelines and standards. Returning of manuscripts that fail the requirements to authors to amend if minor or reject if major.	Minutes	Director, RE&P and Editorial Board
3.	Assign at least two reviewers per manuscript from staff within the University and review within two (2) weeks.	List of reviewer's and manuscripts assigned	Director, RE&P and DREP Board members
4.	Reviewers to rank manuscripts as "accept without revision", "accept with minor revision", "accept with major revision" or "reject" in score sheet and attach notes	Review comments	Reviewers
5.	Consider reviewer's comments for each manuscript and request authors to address highlighted comments if reviewer's rank manuscript as "accept without revision", "accept with minor revision", or "accept with major revision". Reject if reviewers rank as 'reject' & Editorial Board upholds decision.	Minutes	Director, RE&P together with DREP Board members
6.	Authors to respond to reviewer's comments within two (2) weeks monitored by the DREP Board	Revised manuscripts	Director, RE&P and Appointed Board Member
7.	Check revised manuscripts to ensure all corrections have been effected properly and accept or reject manuscripts depending on action taken by authors and discussions within the Editorial Board	Minutes	Director, RE&P and Board Members

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8.	Prepare draft journal issue by compiling all accepted manuscripts and forward to DVC (ARSA) to validated for publishing	Draft journal issue	Director, RE&P and Appointed Board Member
9.	Raise requisition for publishing of the final journal issue	Requisition letter	Director, RE&P
10	Follow up with printers and approve artwork to go to press. Release the final journal issue to users and the general public		DVC (ARSA) Office
11.	Follow up on readership of the Journal	Number of persons accessing the Journal and interest in publishing in it	Director, RE&P

4.6 Process for Monitoring and Evaluating Research Proposals or Trainings under Internal Research Funding

4.6.1 Source

Experts/resource persons/trainers; Participants; ISO Departments; Top Management

4.6.2 Required inputs/Resources

- Stationery
- Budgetary allocations

4.6.3 Expected outputs


- Bi-annual research reports
- Report on trainings

4.6.4 Receivers

- ISO departments; Top Management

4.6.5 Procedure details

No.	Description	Output	Responsibility
M&E for Research Projects under IRF			
1.	Requisition and utilization of the 1 st tranche and submission of progress report to DREP before requesting for the 2 nd tranche	Progress report	PI, Awardees
2	Preparation and updating of Monitoring and Evaluation Questionnaire/Tool – hard copy or automated (Form E)	M&E Tool (Form E)	Director, RE&P, Board members
3	Holding Board meeting to monitor progress made in research implementation	Progress report, Minutes	Director, RE&P, Board members
4.	Requesting for the 2 nd tranche after meeting the first tranche requirements	Request letter	Director, RE&P, PI
5.	Recommending and approving of second tranche funds	Approved request	VC through DVC (ARSA)

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6.	At an agreed time between the PI's and the Director, RE&P, constituting of panels of two (2) Board members to visit and evaluate each research work on site before completion of the research project	Panels Report by the panels	Director, RE&P, Board members
4.	Panels compile observations and submit back to office reports for discussion and compilation into M&E reports	Back to office M&E report	DREP M&E Panels
5.	Utilization of the 2 nd tranche and submission of a final report. The report should include the following: (a) title of research (b) methodology (c) results (d) discussion and conclusion (e) publications from the research work (if any) (f) academic qualifications obtained (if any). Filling and submission of IRF projects M&E questionnaire (Form E).	Final project report; Filled Form E	Director, RE&P, PI
6	Compiling of bi-annually (by June of the subsequent year) final reports into bi-annual research reports bulletin and publishing	Bi-annual reports bulletin	Director, RE&P

M&E for trainings organized by DREP

1.	Maintenance of registers of participants of trainings offered	Participants Registers	Director, RE&P
2.	Conducting of a survey not less than 6 months and not more than 2 years after the training to determine the impact of the trainings using the Research Proposals and Articles Training Impact Evaluation questionnaire (Form F hard copy or automated) and preparing a report	Training impact evaluation report	Director, RE&P
3	Submitting of the M&E reports to the Top Management for necessary action	Training impact evaluation report	VC, DVCs, Registrars
4	Review and implementation of recommendations	Marked reports	Director, RE&P


4.7 Process for Establishing Linkages with Relevant Industries and Technical Institutions

4.7.1 Source

CU Staff/Experts/resource persons; ISO Departments; Top Management

4.7.2 Required inputs/Resources

- Need identification
- Resource persons (experts)
- Stationery
- Budgetary allocation

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4.7.3 Expected outputs

- MoU

4.7.4 Receivers

CU staff and students; ISO Departments; Top Management

4.7.5 Procedure details

No.	Description	Output	Responsibility
1.	Filling of a Template by expert(s) proposing a linkage, detailing the need and purpose of the linkage and submitting	Template	Director, RE&P
2.	Submitting of a draft proposed MoU for processing	Proposed draft MoU	Director, RE&P
3.	In consultation, setting up of an ad hoc committee to conduct a preliminary review of the draft MoU before submitting of recommendations to the Management	Minutes; draft MoU	Director, RE&P; and Board members
4.	Conducting of final negotiations of the MoU with peers in other institution(s)	Agreed final draft MoU	Management and negotiating team
5.	Signing of the agreed MoU by the two parties	Signed MoU	DVC (ARSA), VC and Counterparts
6.	Implementation, M&E of the MOU	Minutes and progress reports	MOU Coordinator

4.8 Process for Patenting of Research Creations and Innovations

4.8.1 Source

Experts/ researchers; ISO Departments; Top Management

4.8.2 Required inputs/Resources

- Innovation/ research creation
- Budgetary allocation
- Patenting guide
- TISC; KIPI; WIPO

4.8.2 Expected outputs


Patents, Copyrights, Industrial Designs, Trademarks

4.8.3 Receivers

Global; Experts/ researchers; ISO Departments; Top Management

4.8.5 Procedure details

No.	Description	Output	Responsibility
1.	Staff/student with an innovation or creation write up the processes used in the research	Write up and evidence	Researcher(s)/ Innovators

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2	Submission of the write-up for review based on previous monitoring and evaluation observations and recommending of the write-up to the TISC office for processing further	Write up and evidence Minutes	DREP Board
3.	Registering of the patent with KIPI through TISC-Chuka University	Patent in KIPI's register/journal	Researcher(s)/ Innovator; TISC-CU; KIPI
4.	Application for a patent to KIPI through TISC-Chuka University	Patentable innovation	Researcher(s)/ Innovators; TISC-CU; KIPI

5.0 RECORDS/RETAINED DOCUMENTED INFORMATION AND FORMS

- 1) Event minutes
- 2) Applicants' proposals
- 3) Score sheets
- 4) Award letters
- 5) CU/DVCA/FORM/A; CU/DVCA/FORM/B; CU/DVCA/FORM/C; CU/DVCA/FORM/D; CU/DVCA/FORM/E

6.0 KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

6.1 Key Performance Indicators

- Number of book of abstracts, conference proceedings produced
- Number of conferences, seminars/workshops organized
- Number of Journal volumes produced
- Percentage of research proposals recommended for funding
- Number of reports/bulletins produced
- Number of staff publications produced annually and to date
- Number of MoUs negotiated, signed and implemented
- Number of patentable inventions identified during M&E

6.2 Quality Objectives

Linked Strategic Objective(s):


SO 5: Generation and Dissemination of Research Findings to Interested Parties

SO 7: Strengthening of Science, Engineering and Technology Capacity

1. Quality Objective: To commence planning of annual research conference, as well as one biennial open research week 12 months up from 6 months in advance

Strategy (Actions/Activities required to achieve the objective)

- (i) Identify a suitable topical conference theme consultatively
- (ii) Call for abstracts, posters, papers and exhibitions
- (iii) Receive and compile entries into a book of abstracts/exhibitions
- (iv) Organize the event by assigning and sharing duties
- (v) Invite speakers and participants/exhibitors and hold the function
- (vi) Compile a report and presented papers into proceedings.
- (vii) Post soft copy in the University website and print the hard copies for distribution

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Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
DREP DVC (ARSA) VC	Standards and guidelines Resource persons Theme of conference Budgetary allocation Suitable venue/Stationery	One (1) year	Book of abstracts including the programme Conference proceedings
Review dates:	Quarterly		

Linked Strategic Objective(s):

SO 5: Generation and Dissemination of Research Findings to Interested Parties

SO 7: Strengthening of Science, Engineering and Technology Capacity

2. Quality Objective: To prepare and produce one, up from zero, journal issue per year

Strategy (Actions/Activities required to achieve the objective)

1. Receive manuscripts for review according to the journal guidelines
2. Send the manuscripts to reviewers
3. Send manuscript to the author to incorporate the comments or reject if poor
4. Receive the revised manuscript from the author
5. Proof read and compile the manuscripts into a journal

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Journal editor DREP EIC DVC (ARSA)	Training justification Budgetary allocation Standards & guidelines Resource persons (Experts/ Peer reviewers)	One (1) year	Number of Journal Volumes produced per year
Review dates:	Quarterly		

Linked Strategic Objective(s):

SO 5: Generation and Dissemination of Research Findings to Interested Parties


SO 7: Strengthening of Science, Engineering and Technology Capacity

3. Quality Objective: To plan and execute within 6 months up from 3 months at least one workshop/seminar per year

Strategy (Actions/Activities required to achieve the objective)

- Identify training needs and Schedule the trainings
Organise the training by developing a programme, identify facilitators and drawing a budget.
Prepare a budget for approval.
Invite trainers/participants; Hold the training and Compile reports

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Director, RE&P DVC (ARSA) VC	Workshop justification Resource persons/Facilitator Theme of workshop Budgetary allocation Suitable venue/Stationery	One (1) year	Number of workshops/ seminars held Number of reports Percentage attendance
Review dates:	Quarterly		

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Linked Strategic Objective(s):

SO 5: Generation and Dissemination of Research Findings to Interested Parties

SO 7: Strengthening of Science, Engineering and Technology Capacity

4. Quality Objective: To receive and review at least two research proposals per department per year, up from none, for internal funding and consolidate findings into 2 bi-annual reports

Strategy (Actions/Activities required to achieve the objective)

1. Train staff in quality proposal draft every two years
2. Release a call for proposals for IRF in April of each financial year.
3. Receive draft proposals before expiry of the set deadline
4. Review received proposals and recommend quality proposals for award of a grant.
5. Receive grant applications in tranches and implementing the research
6. Remind researchers and receive final reports and compile

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Director, RE&P	Budgetary allocation	Two (2) years	Number of winning proposals Number of publications (reports, bulletins, articles)
DVC (ARSA)	Standards and guidelines		
Vice-Chancellor	Resource persons (reviewers)		
Review dates:	Quarterly		

Linked Strategic Objective(s):

SO 5: Generation and Dissemination of Research Findings to Interested Parties

SO 6: Patenting and Commercialization of Research Findings and Innovations

SO 7: Strengthening of Science, Engineering and Technology Capacity

5. Quality Objective: To receive and compile all final reports into bulletins, and upload at least five (5) peer reviewed publications into e-repository, up from unknown number presently

Strategy (Actions/Activities required to achieve the objective)

- Call for submission of IRF reports/articles
- Compilation into an annual bulletin/e-repository
- Assist identify patentable content

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Director, RE&P	Budgetary allocation	Two (2) years	Number of compiled bulletins of final reports Number of articles uploaded into e-repository
PI	Standards and guidelines		
	Resource persons (Experts/Peer reviewers)		
Review dates:	Quarterly		


Linked Strategic Objective(s):

SO 5: Generation and Dissemination of Research Findings to Interested Parties

6. Quality Objective: To organize at least one extension/outreach event for community, staff and students per year

Strategy (Actions/Activities required to achieve the objective)

- Receive and recommend extension and outreach requests and proposals from Departments
- Receive approved requests
- Prepare programmes, budgets, invitations of participants and other logistics
- Execute the function, write and submit progress reports

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Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Director, RE&P DVC (ARSA) VC	Need justification Standards and guidelines Resource persons (Experts/Collaborators) Budgetary allocation	One (1) year	Number of Extension/ outreach functions held Number of reports submitted
Review dates:	Quarterly		

Linked Strategic Objective(s):

SO 5: Generation and Dissemination of Research Findings to Interested Parties
SO 6: Patenting and Commercialization of Research Findings and Innovations
SO 7: Strengthening of Science, Engineering and Technology Capacity

7. Quality Objective: To establish at least one, up from zero, need-based linkage per year with relevant industries and technical institutions

Strategy (Actions/Activities required to achieve the objective)

Identify institutional linkages and partnerships
Draft MOUs/MOAs
Formalise the linkages and partnerships through signing of the MOUs/MOAs
Monitor and evaluate performance
Assign patent technology to the industry/institution to upscale

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Convenors Director, RE&P DVC (ARSA) VC	Need justification Standards and guidelines Resource persons (Experts/Collaborators) Budgetary allocation	One (1) year	Number of linkages established Number of M & E reports
Review dates:	Quarterly		

Linked Strategic Objective(s):


SO 6: Patenting and Commercialization of Research Findings and Innovations
SO 7: Strengthening of Science, Engineering and Technology Capacity

8. Quality objective: Monitor and evaluate IFR for potentially patentable material

Strategy (Actions/Activities required to achieve the objective)


DREP and TISC to sensitize staff on patenting assistance services offered in the University
Scout for patentable inventions during M&E of IFR projects
Validate patentable research output through the TISC office
Liaise with KIPI and WIPO to facilitate patenting of research outputs

Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
DREP TISC DVC (ARSA) VC	Standards and guidelines Resource persons (Experts/ Collaborators) Budgetary allocation	Annually	Number of researchers/ innovators visiting TISC office Number of patenting processes initiated
Review dates:	Annually		

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Risk Identification Key

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


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RISK REGISTER

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


Department: CU/SOP/DREP/39 - Directorate of Research, Extension and Publications												
Procedure/ Project/ Process Name: Research, Extension and Publications												
Risk name/ description	Risk consequences	L	C	Potent Risk =LxC	Mitigations/ controls (Opportunities source)	Risk owner	Monitoring (when)	Actual Risk as @ 20/8/2019				
								LA	CA	RI= LA*CA	RR%= RI/PR	EC%
Misappropriation of research funds by the Principal Investigator (PI)	Loss of money	3	3	9	Strict rules and guidelines Verifying of money requested and used	PI DREP	Quarterly	3	0	0	0	100%
Failure to attend event (conference/workshop/seminars) by participants	Loss of resources Inconveniences	2	2	4	Confirmation of attendance and payment before the event	DREP	Annually	2	1	2	50%	50%
Injury/harm during research implementation	Incomplete research Financial losses	1	3	3	Clear guidelines and protocols in the proposed research	PI's	Monthly	1	0	0	0	100%
Piracy and plagiarism of research works/literature	Litigation Bad reputation	3	3	9	Enforce code of research ethics & Turn-It-In check	Ethics committee DREP	Monthly	3	1	3	33%	67%
Unrealistic donor conditions	Uncompetitive proposals, few winning proposals	2	3	6	Training/mentoring/ form thematic groups	DREP	Bi-annually	2	2	4	67%	33%
Failure to attract manuscripts/papers	No journal issues released	2	1	2	Publicize vigorously	DREP & Secretariat	Annually	1	1	1	50%	50%
Failed relationship management endeavours	No formal linkages and partnership	2	2	4	Train liaison officers in partnership creation skills	Top Management	Annually	2	1	2	50%	50%
Late M & E	Missed research outputs; Misuse of research resources	2	2	4	Prepare an M & E calendar and adhere to it	DREP	Annually	2	1	2	50%	50%
Failure to get patent acceptance due to premature disclosure	No patents to help increase University ranking	2	2	4	Train staff on how to keep confidentiality until cleared to disclose inventions	DREP	Annually	2	2	4	0	100%

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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OPPORTUNITIES REGISTER

SN	Opportunities	Action Plan	Timeliness	Effectiveness status
1	Environment requiring conservation through research, extension and knowledge dissemination	Encouraged staff and postgraduate students to submit proposals addressing environmental conservation	Annually	50%
2	Availability of community goodwill and support, as well as socio-economic and environmental challenges	Organized outreach activities e.g short term trainings, on farm research trials, tree planting, technology transfer projects, bulletins & flyers	At least once per year	100%
3	-Availability of many potential funding/granting agencies and donors -Availability of suitably qualified staff and many postgraduate student researchers	-Reviewed, monitored and evaluated funded research and development projects -Organized proposal writing training workshops and reviewed submitted drafts and forwarded for funding -Recommended symposia to funding agencies	Continuous At least once per year	70% 70%
4	Availability of scholarships/ fellowships and publication journals	Organized staff research articles writing workshops and submitted drafts for publication, or admission to further studies	At least one per year	100%
5	Initiating linkages with business partners	Organized exhibitions during the International Research Conference/Week	Once per year	60%
6	Proximity of the University to Mount Kenya	Encouraged staff and students to generate and develop research ideas on Mt Kenya challenges and to execute research using Mt. Kenya as a site/case study	Continuous	30%
7	Many researchers looking for outlets to publish findings	Publicize the journal	Continuous	50%
8	Continuous research in the University	Scout for patentable content	Annually	40%

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APPENDIX: PROCESS MAPS

i. Planning Academic/Research Seminars, Workshops & Conferences

RESPONSIBILITY	ACTION
STAKEHOLDERS/STAFF	Start ↓
	Identification of training needs
VC	Training approval (3 months) ↕ NO YES
DVC (ARSA) DREP	Issuance of terms of reference to organising committee/team Event organisation
VC & DVC (ARSA)	Budget and programme approval ↕ NO YES
DVC (ARSA) DIRECTOR, RE&P PARTICIPANTS	Invitation of keynote speakers (1 month) Invitation of other participants (1 month) Function attendance
DREP DVC (ARSA)	Preparation of proceedings 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 End

ii. Planning of Research and Publication Activities

RESPONSIBILITY	ACTION
STAKEHOLDERS	Start ↓
DVC (ARSA)	Research, extension and consultancy matters Release of a call for internal research funding proposals in April.
STAFF & STUDENTS DREP	Submission of draft proposals within 3 months, upon the expiry of deadline Assigning of reviewers.
DREP	Prequalifying proposals ↕ NO YES
DIRECTOR, RE&P	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, RE&P DVC (ARSA)	Consolidation and averaging of reviewers' scores. Approval of winning proposals ↕ NO YES
VC	Awarding of grant and signing of contract (Ref CU/ DVCA/FORM D).
PRINCIPAL INVESTIGATOR (PI)	Application for grants in tranches and implementing the research to complete within two (2) years from the date of award offer.
PI	M&E periodically. Submission of quarterly reports to DREP.
PI DIRECTOR, RE&P	Submission of final report in prescribed format (CU/DVCA/FORM B) Consolidation of research reports into bi-annual research reports. End

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iii. Coordination of Extension and Outreach Activities

STAKEHOLDERS/STAFF	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Identifying the need for linkages, extension and outreach activities</p>
DIRECTOR, RE&P	Receiving extension and outreach requests and proposals from the Departments/stakeholders and forwarding to the DVC (ARSA) for recommendation
DVC (ARSA)	Recommending the requests and proposals
VC	Approval of the recommended requests and proposals
HODS/DVC (ARSA)	Drafting MOUs/MOAs
VC & DVC (ARSA)	Signing of the MOUs/MOAs/Consultancies
TEAM LEADERS	Preparation of 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
	<p style="text-align: center;">End</p>