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# CHUKA UNIVERSITY

## Standard Operating Procedure


For

## Administration, Resources & Planning Management CU/SOP/RAPD/04

### 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	Mr. J. N. Sendeyo Mr. J. K. Nkanatha	Senior Assistant Registrar (A&P) Deputy Registrar (A&P)	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	20.08.2019

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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	06	00	6 to 9	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	R (A&P)	ISO M.R./VC
20/8/2019	06	00	13	Revised KPIs in quality objectives to be “measurable”	R (A&P)	ISO M.R./VC
20/8/2019	06	00	13 to 17	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	R (A&P)	ISO M.R./VC
20/8/2019	06	00	17	Revised risks to capture factually binding and persistent ones	R (A&P)	ISO M.R./VC
20/8/2019	06	00	19	Generated stand-alone Opportunities for the Division and de-linked them from Risks	R (A&P)	ISO M.R./VC

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## 2.0 GENERAL

### 2.1 Purpose

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

### 2.2 Scope

This procedure shall apply to and define all the processes and activities carried out within the Office of the Registrar (Administration and Planning).

### 2.3 References

- Kenya Constitution, 2010
- Universities Act No. 42 of 2012
- CU Charter, 2013/CU Statutes, 2014
- CU Strategic Plan, 2017-2022
- CU Code of Conduct and Ethics Policy, 2014
- ISO 9001:2015 Standard Clauses 4 to 10
- CU ISO Quality Management System Manual, 2017
- Collective Bargaining Agreements (UASU, KUSU, KUDHEIHA Workers)
- CU Performance Contract (Current)


### 2.4 Abbreviations

<b>AA</b>	Administrative Assistant
<b>AR</b>	Assistant Registrar
<b>CBA</b>	Collective Bargaining Agreement
<b>KUDHEIHA</b>	Kenya Union of Domestic, Hotels, Educational Institutions, Health and Allied workers
<b>KUSU</b>	Kenya Universities Staff Union
<b>PCA</b>	Pay Change Advice
<b>R (A&amp;P)</b>	Registrar (Administration & Planning)
<b>RADP</b>	Department of Registrar (Administration & Planning)
<b>SO</b>	Strategic Plan Objective(s)
<b>SOP</b>	Standard Operating Procedures
<b>UASU</b>	Universities Academic Staff Union
<b>KUSU</b>	Kenya Universities Staff Union

### 2.5 Definitions


In addition to the relevant definition of terms given in ISO 9000:2005, the following specific definitions shall apply

**Collective Bargaining Agreement:** This is a Memorandum of Agreement between the University and the employee unions that govern the terms of employment.

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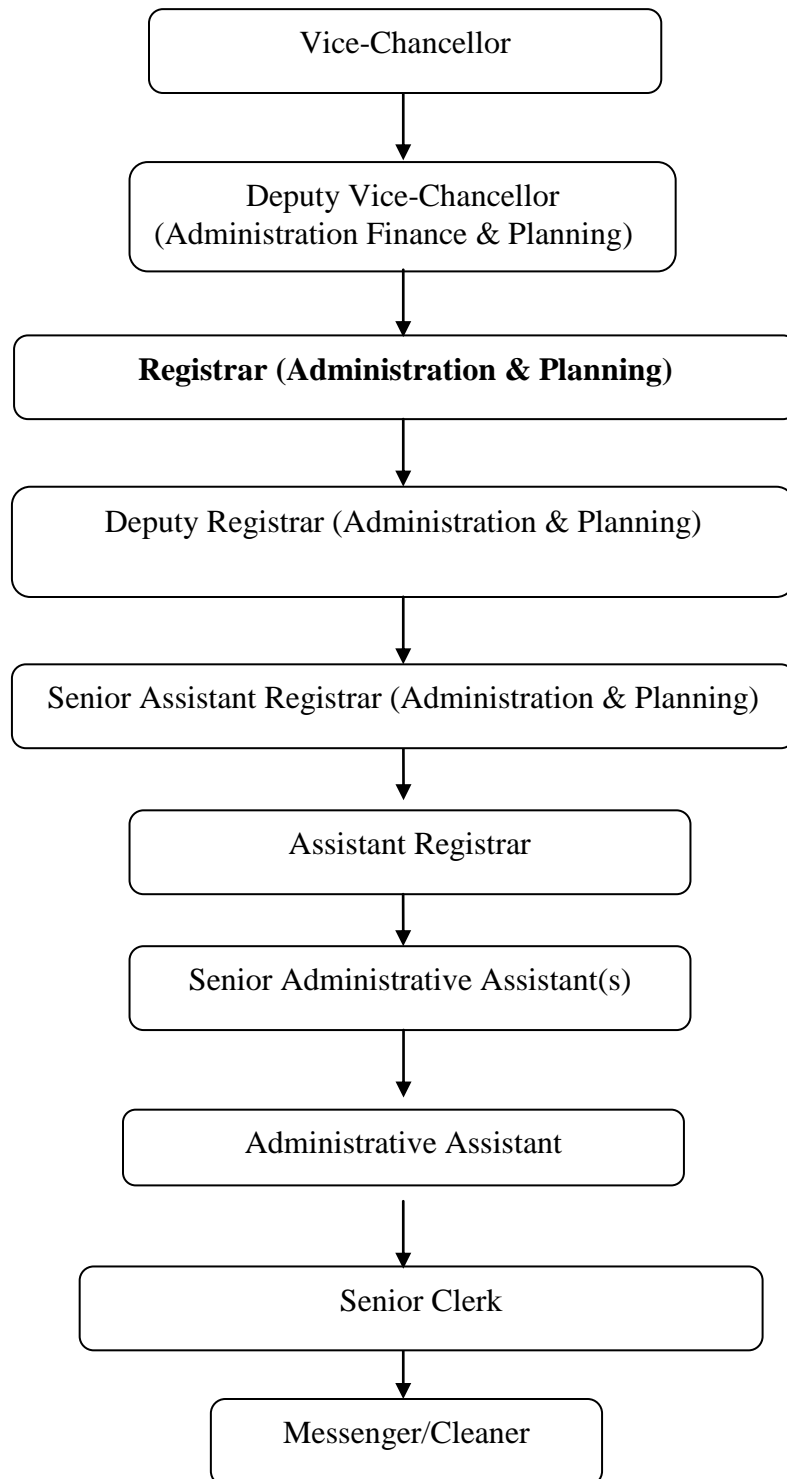
## **2.6 Responsibility**


The R (AP) has the primary responsibility of ensuring that these processes are implemented and remain adequate for their intended purpose, providing the information for documentation of the processes and initiation of actions to keep them updated. All departmental staff members are responsible for implementing and ensuring that these processes are followed.

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### 3.0 ADMINISTRATIVE STRUCTURE

The current administrative structure for the Department is as follows:



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## 4.0 PROCESSES

### 4.1 Overview

The Office of the Registrar (Administration and Planning) is responsible for the Administrative activities in the University. The core activities of the office include:

- (i) Staff Induction
- (ii) Deployment of Staff
- (iii) Managing and Administering Staff Leave
- (iv) Performance Appraisal
- (v) Customer Satisfaction Surveys
- (vi) Clearing of Staff on Separation
- (vii) Verifying the Payroll
- (viii) Preparing Pay Change Advice (PCA) of Employees
- (ix) Coordinating the Central Registry and Filing Index

### 4.2. Process for Staff Induction

**Source:** CU/SOP/DVCF/02

#### Inputs/Resources

Induction programme, refreshments budget, stationery, Top Management, facilitation budget, Suitable venues, laptops, projector, terms of service, University policies.

#### Outputs


Inducted staff, an induction programme and report, attendance list, job descriptions, induction minutes, induction checklist, certificate of attendance.

#### Receiver(s)

Top Management, New employees

#### Process Details

No.	Description	Output	Responsibility
1.	New employees are issued job descriptions with obligations, duties and responsibilities and referred to their respective HODs.	Job Description	Registrar (A&P)
2.	The new employees are taken on a tour of the University within the first week of reporting to work. The inductees complete induction forms and submit to R(A&P)	Filled Employee Induction Form	Respective HOD
3.	A staff induction is organised once every year where Top Managers address the new employees about the institution. Employees ask questions and clarifications	Attendance list Induction Minutes	Registrar (A&P)
4.	Inducted employees are issued with a certificate of attendance and participation	Copies of certificates	Registrar (A&P)

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### 4.3. Process for Deployment of Staff

**Source:** Departmental vacant posts; CU/SOP/VCIM/01

#### Inputs/Resources

Staff members  
Deployment need/request

#### Outputs

Transfer letter/Handing over report, Staff Movement Form

**Receiver(s):** Needy/relevant Departments

#### Process Details

No.	Description	Output	Responsibility
1.	A department requests for staff to fill an identified position.	Request from HOD	Respective HOD
2.	A suitable employee for the post is identified	Registrar (A&P)	Registrar (A&P)
2.	The letter of deployment is sent to the employee through his/her current HOD.	Letter of Deployment	Registrar (A&P)
3.	Upon release by the current HOD, the employee reports to the new HOD for allocation of duties.	Staff Movement Form signed by the new HOD	Respective HOD
4.	The Management is handed the staff personal file to note the transfer in the file copy.	Personal file bearing noted initials	Respective Officer

### 4.4. Process for Managing and Administering Staff Leave

#### Source

Employee requests, ISO Departments, CU/SOP/VCIM/01

#### Inputs/Resources

Departmental leave schedules  
Leave request duly approved by the supervisor  
Staff personal file  
Navision leave entry log


#### Outputs

Staff on leave  
Number of duly approved leaves  
Leave register

#### Receiver(s)

Employee  
HOD/Supervisor where staff works



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### Process Details

No.	Description	Output	Responsibility
1.	The department submits a leave schedule at the beginning of the year	Leave schedule	Registrar (A&P)
2.	The employee sends leave request electronically to the respective HOD.	Leave Request	Employee
3.	The application is approved electronically and forwarded to the R (A&P) by supervisor	Duly approved leave application form	HOD
4.	The leave application is approved electronically and balance if any calculated	Application form duly approved	Registrar (A&P)
5.	The leave is recorded in a register to monitor the date to resume duty.	Register entry	Registrar (A&P)

## 4.5. Process for Performance Appraisal System and Customer Satisfaction Surveys

### (a) Performance Appraisal

Every year, staff members are appraised against their Performance Contracts signed with the HOD in the preceding year.

### Source

Quality Assurance and Performance Contracting (CU/SOP/QAPC/11)

### Inputs/Resources

Performance Appraisal forms; signed PC, Customer Satisfaction questionnaire

### Outputs


Appraisal forms/reports with recommendations for reward or sanctions, customer satisfaction survey reports.

### Receiver(s)

Registrar (Administration & Planning) CU/SOP/RADP/04; Appraisee, Management.

### Process Details

No.	Description	Output	Responsibility
1.	In a preceding year, staff set targets in a Performance Contract and sign with HOD	Performance Contract	Individual staff HOD
2.	By 5 <sup>th</sup> July of the following year, a circular is issued to all HODs to undertake performance appraisal for the previous Financial Year.	Memo	Registrar (A&P)
3.	Staff members fill the Performance Appraisal Forms upon expiry of each year.	Appraisal form duly filled by the staff	Respective staff
4.	The Performance Appraisal Form is returned to the supervisor/HOD.	Performance Appraisal Form	Respective staff
5.	HODs complete their part on the staff Performance Appraisal Form in the presence	Appraisal Form duly filled by the HOD	HOD

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	of the appraisee.		
6.	The Staff Performance Appraisal Form is returned to the Registrar (A&P) who completes the Human Resource section	Duly filled form by the staff and HOD	Registrar (A&P)
7.	The duly completed Performance Appraisal Form is filed in the employees personal files	Performance Appraisal Form	SAA/AA

### b) Customer Satisfaction Surveys

Every year the VC appoints a committee to surveys customer satisfaction and service delivery.

#### Source

Quality Assurance and Performance Contracting; Signed Performance Contract

#### Inputs/Resources

Appointed survey team; Stationery; Facilitation Budget; Survey tool/questionnaire/guidelines

#### Outputs

Survey reports with recommendations for continual improvement, minutes of survey committee

#### Receiver(s)


University Management  
Performance Contract MDAs

#### Process Details

No.	Description	Output	Responsibility
1.	A committee is appointed to conduct a customer satisfaction survey.	Appointment letter	VC
2.	Data collection tools e.g. questionnaires and interview schedules, are prepared/developed	Questionnaires and interview schedules	Survey team leader
3.	The survey tool is administered to gather information from the customers.	Filled questionnaires	Survey team leader
4.	The data is analysed, compiled into a report that identifies areas of improvement. The report is then presented to the VC.	Survey report	Survey team leader
5.	The HOD or Chair responsible for the recommendation/complaint/non-conformity identified by the surveys ensure corrective action is made within a minimum of 30 days.	Corrective Action Report	Respective COD/HOD
6.	Records of survey recommendations/reports are retained and presented in the MRM/PC	Survey report	QA&PC

### 4.6. Process for Clearing of Staff

When staff separate from CU employment, either through resignation, retirement or dismissal they have to clear with the University.

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### Source

Registrar (A&P); CU/SOP/RAPD/04

### Inputs/Resources

Approved request letter to leave the University  
A duly filled clearance form in triplicate signed off by the clearing HODs  
Exit Interview Form.

### Outputs

Duly filled clearance form and exit forms, separated employee

### Process Details

No.	Description	Output	Responsibility
1.	Letter of impending action is issued	Letter	Employee/Employer
2.	The letter is checked to confirm that adequate notice has been given	Initialled letter	Registrar (A&P)
3.	The letter is delivered to the VC for approval	Letter	Registrar (A&P)
4.	The approved letter is received	Letter	Registrar (A&P)
5.	A clearance form is issued to the employee to fill and take to departments for clearance.	Duly filled clearance form	Employee
6.	An exit interview form is issued	Duly filled exit interview form	Employee
7.	Upon clearance, the employee returns the staff ID card and name tag and is issued with a copy of the clearance form for retention.	Returned ID & name tag	Employee Registrar (A&P)
8.	The original clearance form is filed in the personal file of the employee.	Duly filled clearance form	Registrar (A&P)
9.	The cleared employee is email system and payroll are de-activated to deter express, non-controlled access to University records.	De-activation notice	ICT Manager & Finance Officer

### 4.7. Process for Verifying the Payroll


Staff salaries are prepared and paid every month and Pay Change Advice (PCA) for new employees is raised and maintained in the R(A&P) Office and those paid by the Finance Department, the payroll is verified every month.

### Source

Finance Department (CU/SOP/FIND/24)

### Inputs/Resources

Payroll with staff payment details  
Current staff list

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PCA

### Outputs

Audited payroll and observations report, payments

### Receiver(s)

Internal Audit Department (CU/SOP/IAUD/26); Vice-Chancellor, Finance Department (CU/SOP/FIND/24)

### Process Details

No.	Description	Output	Responsibility
1.	The payroll is received from Finance Department at the end of each month.	Payroll	Registrar (A&P)
2.	The payroll is checked to ensure there are no ghost workers or double payments.	Signed payroll	Registrar (A&P)
3.	The audited payroll is signed, stamped and taken for thorough examination and validation of the entries (CU/SOP/IAUD/26)	Signed and stamped payroll	Registrar (A&P)
4.	The audited payroll is taken to the Vice-Chancellor for authorization.	Signed and stamped payroll	Vice-Chancellor

### 4.8. Process for preparation of Pay Change Advice (PCA) of Employees

Each time remuneration of an employee changes, be it salary, allowance or deduction, a pay change advice, indicating the amount involved and the reason(s) for the change, is issued by the Office of Registrar (A&P) to the Finance Office to implement the change.

### Source

Vice-Chancellor (CU/SOP/VCIM/01), DVC (AFP&D) CU/SOP/DVCF/02

### Inputs/Resources

Inputs for new staff include: interview profile, minutes of the interview, Approval/appointment letter for the other employees.


**Outputs:** Duly approved PCA

### Receiver(s)

Employee; Finance Department (CU/SOP/FIND/24)

### Process Details

No.	Description	Output	Responsibility
1.	Documents authorizing the change of pay are authorized and submitted to R (A&P) office.	Approval documents	Management
2.	The PCA is drafted after verifying supportive documents	PCA	Registrar (A&P)

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3.	The PCA is reviewed and submitted to the authorising office	Approved PCA	R (A&P)
4.	The PCA is then delivered to the Finance Department for processing (CU/SOP/FIND/24).	Duly authorized PCA	Registrar (A&P)

#### 4.9. Process for Coordinating the Central Registry and Filing Index

The Central Registry receives all incoming hard copy mails and other correspondence and dispatches all outgoing hard copy mails and other correspondence.

#### Source

Departments, clients (Outgoing and incoming mail)

#### Inputs/Resources

Incoming mail, outgoing mail, rubber stamps, franking machine, postage schedules, Mail Register, mail delivery books, mail delivery van.

#### Outputs


Receipts/schedules for postage, signed delivery books and Mail Register

#### Receiver(s)

Employees; Departments, students and other stakeholders

#### Process Details

No.	Description	Output	Responsibility
1.	Mails are received in the Registry	Received mails	Registry Clerk
2.	The incoming mails are stamped with a received stamp.	Stamped mails	Registry Clerk
3.	The mails are sorted and taken to the specific departments/addressees.	Mail Register/ Delivery Book	Registry Clerk
4.	Alternatively, the addressee is telephoned to collect the mail.	Signed Delivery Book	Addressee/Registry Clerk
5.	Outgoing mail is received, recorded and then handed to an officer who dispatches the mail through the Post Office or courier.	Mail Dispatch Register	Registry Clerk
6.	Staff files are recorded and signed for in a File Movement Register each time they are removed from the Registry.	File Movement Register	Registry Clerk
7.	The files are again recorded and signed for in the File Movement Register each time they are returned to the Registry.	File Movement Register	Registry Clerk
8.	For traceability of documents, each file is coded and placed in a specific filing cabinet.	Coded files	Registry Clerk
9.	Codes are added as the Departments are	New codes	Registry Clerk

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created. <i>Ref. CU/MR/FORM/16</i>		


## 5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

- 1) Staff profiles
- 2) Staff leave records
- 3) Pay Change Advice
- 4) Staff appraisal records
- 5) Customer survey reports
- 6) Minutes of Departmental meetings
- 7) Minutes of Management meetings
- 8) Correspondences with the public
- 9) Mail Register
- 10) Constitution of Kenya, 2010
- 11) Labour Relations Act, 2017
- 12) Occupational, Safety and Health Act (OSHA), 2007
- 13) Work Injury Benefit Act (WIBA), 2007
- 14) NSSF Act, 2013
- 15) NHIF Act, 2017
- 16) HRM Act, 2015
- 17) Universities Act, 2012
- 18) Science, Technology and Innovation Act, 2013
- 19) Technical, Vocational Education and Training Act, 2013
- 20) Biosafety Act, 2009
- 21) Basic Education Act, 2013
- 22) Kenya Qualification Bill
- 23) Chuka University Charter, 2013

## 6. KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

### 6.1 Indicators


- 1) Percentage of new staff members inducted
- 2) Percentage of staff issued with job descriptions
- 3) Number of duly completed staff movement forms
- 4) Leave Register maintained
- 5) Number of leave applications approved
- 6) Number of performance appraisals duly completed
- 7) Number of survey reports generated
- 8) Number of clearance forms duly completed
- 9) Duly signed payroll for the month
- 10) Number of duly approved PCA's
- 11) Number of mails delivered/received in a day.

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## 6.2 Quality Objectives

<b>Linked Strategic Objective(s):</b> SO 22: Strengthening of University Governance for Effective Decision Making SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 28: Recruitment and Retention of Qualified Staff			
<b>Quality Objective 1:</b> To reduce time taken to organize recruitment of suitably qualified staff to support organizational objectives from six months to one month from date of approval to recruit.			
<b>Strategy (Activities required to achieve the objective)</b> 1. Needs identification 2. Advertisement 3. Shortlist, schedule for and conduct interviews 4. Issuance of appointment letters			
<b>Responsibility</b> 1. HOD 2. R (A&P) 3. DVC (AFP&D)	<b>Resources required</b> Stationery Budget	<b>Timeline</b> As needs arise Annually When need arises Within 3 months 1 month post-listing 2 wks after interviews	<b>Measure of Success (KPIs)</b> Approved establishment Prepared, approved budget Advert List of shortlisted applicants Number of appointments Appointment letters
<b>Review</b>	<b>Annually</b>		
<b>Linked Strategic Objective(s):</b> 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 SO 30: Development of Motivated Staff			
<b>Quality Objective 2:</b> To conduct induction of all newly appointed staff within 3 months rather than 12 months of reporting			
<b>Strategy (Activities required to achieve the objective)</b> 1. Drawing the budget 2. Planning the logistics 3. Co-ordination and conduction of actual induction			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Registrar (A&P)	Stationery	1 month after reporting	Drawn/approved budget
Registrar (A&P)	Stationery, time	1 week post-approval	No. of inductions conducted
Registrar (A&P)	Stationery, laptop, LCD, meals, trainers	Within three months after new staff report	Number of inductees
<b>Review dates:</b>	<b>Monthly</b>		
<b>Linked Strategic Objective(s):</b> SO 27: Compliance with Statutory Requirements SO 30: Development of Motivated Staff			
<b>Quality Objective 3:</b> To reduced approval of the payroll to two days of receipt from Finance Department down from 7 days.			
<b>Strategy (Activities required to achieve the objective)</b> 1. Monthly Auditing of the payroll 2. Approving the payroll monthly			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>



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Registrar (A&P)	Stationery	Two days upon receiving the payroll	Monthly Initialled payroll Approved/stamped payroll
<b>Review dates:</b>	<b>Monthly</b>		
<b>Linked Strategic Objective(s):</b> SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 27: Compliance with Statutory Requirements SO 28: Recruitment and Retention of Qualified Staff SO 29: Promotion of Staff Development Programmes			
<b>OBJECTIVE 4:</b> To appraise performance of all staff in July each year rather than in many months.			
<b>Strategy (Activities required to achieve the objective)</b> 1. Issue circular to supervisors asking them to appraise their staff 2. Receive appraisal forms from CODs/HODs 3. Review the completed appraisal forms and give comments			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Registrar (A&P)	Stationery	By 31 <sup>st</sup> July every year	Number of duly correctly filled performance appraisal forms and signed by the appraiser (CODs/HODs)
<b>Review dates:</b>	<b>Annually</b>		
<b>Linked Strategic Objective(s):</b> SO 22: Strengthening of University Governance for Effective Decision Making SO 23: Assignment of Duties and Delegation of Authority SO 28: Recruitment and Retention of Qualified Staff SO 30: Development of Motivated Staff SO 31: Enhancement of Gender and Affirmative Action Compliance			
<b>Quality Objective 5:</b> To shorten time taken to effect deployment of staff from one department to another to within one week from the date of receipt of the approval letter down from two weeks.			
<b>Strategy (Activities required to achieve the objective)</b> 1. Receive approval letter 2. Draft and issue a posting/deployment letter with staff movement form enclosed 3. Receive, acknowledge and file the staff movement form that is duly filled by the COD/HOD.			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Registrar (A&P)	Stationery	Within a week of receiving approval	Number of duly filled staff movement forms
<b>Review dates:</b>	<b>Weekly</b>		
<b>Linked Strategic Objective(s):</b> SO 24: Development and Projection of a Positive Image of the University SO 25: Maintenance and Improvement of Quality Assurance SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 27: Compliance with Statutory Requirements SO 28: Recruitment and Retention of Qualified Staff SO 29: Promotion of Staff Development Programmes SO 30: Development of Motivated Staff			
<b>Quality Objective 6:</b> To coordinate annual customer surveys (satisfaction, competence, work environment, employee, training needs) and prepare reports in 1 month down from 3 months			
<b>Strategy (Activities required to achieve the objective)</b> 1. Development of survey tools 2. Administer the survey tools			




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<b>3. Analysis and report writing</b>			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Surveys Committee	Stationery, meals, funds, transport	End of quarter 4 of financial year	Number of survey reports
<b>Review dates:</b>	<b>Annually</b>		
<b>Linked Strategic Objective(s):</b> SO 24: Development and Projection of a Positive Image of the University SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 27: Compliance with Statutory Requirements SO 30: Development of Motivated Staff			
<b>Quality Objective 7:</b> To negotiate and sign CBAs every 4 years as opposed to open-endedly to maintain harmonious working relationships			
<b>Strategy (Activities required to achieve the objective)</b> 1. Receive CBA proposal from the respective union 2. Seek for University Council beacons and give a counter offer to the proposing union 3. Convene a Joint Negotiation Committee and commence negotiations 4. Seek approval of negotiated CBA from SRC 5. Register the negotiated CBA 6. Implement the negotiate CBA			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
DVC (AFP&D) Registrar (A&P) Joint Negotiation Cttee	Stationery, meals	Every four years	Number of signed CBAs
<b>Review dates:</b>	<b>Annually</b>		
<b>Linked Strategic Objective(s):</b> SO 22: Strengthening of University Governance for Effective Decision Making SO 24: Development and Projection of a Positive Image of the University SO 25: Maintenance and Improvement of Quality Assurance SO 26: Improvement of Productivity, Efficiency and Effectiveness SO 27: Compliance with Statutory Requirements			
<b>Quality Objective 8:</b> To enhance implementation of customer service delivery charter by using Biometric Clocking Systems as opposed to Manual Clocking Systems			
<b>Strategy (Activities required to achieve the objective)</b> 1. Supervision of staff 2. Monitoring staff attendance			
<b>Responsibility</b>	<b>Resources required</b>	<b>Timeline</b>	<b>Measure of Success (KPIs)</b>
Registrar (A&P)	Biometric kits	Daily	No. of BCS reports
<b>Review dates:</b>	<b>Monthly</b>		

### 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 loses	1 - 3: Low, managed within existing controls, monitor annually

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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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### Registrar (A&P) Risk Identification Table

<b>Department: CU/SOP/RADP/04 - Registrar (Administration And Planning) Office</b>			
<b>Project /Process Name: Resources Advancement &amp; Development</b>			
SN	Risk	Source (How can the risk occur)	Impact/consequences (What is the impact of the risk occurring)
1	Failure to appropriately attract, manage, develop and retain staff	Failure to follow laid down employment regulations	High staff turnover
2	Staff negligence	Lack of staff orientation	Litigations from service recipients
3	Strained labour relations	Poor relationship between Management and staff unions	Industrial unrests
4	Engaging unsuitable staff	Failure to conduct background checks during recruitment	Engaging unsuitable personnel
5	Occupational hazards	Failure to follow/enforce public health requirements	Low productivity; Increased costs; Litigation

### Risk Register as at 20<sup>th</sup> August, 2019

<b>Department: CU/SOP/RADP/04 – Registrar (Administration &amp; planning)</b>												
<b>Project /Process Name: Resources Advancement &amp; Development</b>												
Risk name/ description	Risk consequences	Raw Risk			Mitigations/ controls	Risk Owner	Monitoring	Actual Risk				
		Likelihood (L)	Consequence of risk (C)	Raw Risk (L x C)				LA	CA	RI= LA*CA	RR%= RI/RR	EC%
High staff turnover	Less workforce	2	2	4	Staff development Competitive compensation Adoption of best practices Effective marketing	R (A&P)	What: Number of staff employed, trained or left Who: R (A&P) When: Semi-annually How: Seminars, workshops, conferences	2	1	2	50	50
Staff negligence	ineffectiveness	2	2	4	Proper staff orientation Issuance of staff handbooks Operations manuals	R (A&P) HODs	What: Reported cases Who: Registrar (A&P) When: Semi-annually How: Reports review	2	1	2	50	50
Strained labour relations	Less performance	2	3	6	Negotiating and signing of CBAs with unions Clear Terms and Conditions of Service	VC DVC (AFPD)	What: Signed CBAs; Terms & Conditions Who: Registrar (A&P) When: As time arises How: Document review	2	1	2	33	67




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Engaging unsuitable personnel	Poor performance	2	3	6	Conduct thorough background and reference checks	VC DVC (AFPD) R(A&P)	What: Complaint reports Who: R (A&P) When: Annually How: Staff appraisal	2	1	2	33	67
Failure to follow laid down employment regulations	Litigations, court awards, industrial unrests	2	3	6	Clear schemes of service/recruitment Staff establishment	VC/CEO DVC (AFPD) R (A&P)	What: Criteria followed Who: R (A&P) When: Annually How: Minutes audit	2	0	0	0	100
Delayed salaries	Demotivated workforce	2	2	4	Start Income Generating Units Austerity measures	VC/CEO FO HIA	What: Salary delay Who: HIA When: Quarterly How: Payroll release time	2	1	2	50	50
Health hazards	Low productivity, medical bills	2	3	6	Occupational health and safety policy Follow/enforce public health requirements	R (A&P) CMO	What: No. of litigations Who: CMO When: Semi-annually How: Staff medical files	2	1	2	33	67
Occupational hazards	Litigations, court awards	2	3	6	Proper staff orientation Operations manuals Employee handbooks Signage and Protective gear	HODs CMO R (A&P) HOD Estates	What: Reported cases Who: CMO When: Continuously How: Staff medical files	2	1	2	33	67

Key: LA= Likelihood achieved. CA= Consequence achieved. RI= Risk incidences encountered. RR% = Residual Risk EC (%) = Effectiveness of control

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### Opportunities Table

<b>Department: CU/SOP/RADP/04 – Registrar (Administration &amp; planning)</b>				
<b>S/No</b>	<b>Opportunities</b>	<b>Action Plan</b>	<b>Timeline</b>	<b>Effectiveness Status</b>
1	Availability of qualified personnel	Recruit qualified staff/Train	Annually	85%
2	Expansion of the University	Optimal Staffing	Whenever a new department/campus is established	90%
3	Availability of training opportunities and Funding/Grants	Training budget and schedule	Annually	80%
4	Industrial harmony/ availability of three (3) trade unions	Negotiate CBAs with the trade unions	Every 4 Years	70%
5	Good employee relations/ staff motivation	Staff welfare activities and programmes	Annually	90%
6	Conducive working environment	Provision of good working spaces and infrastructure	Continuous	87%
7	Employee satisfaction surveys	Conduct surveys	Annually	100%



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### APPENDIX I: PROCESS MAPS

#### (i) Leave Process Map


RESPONSIBILITY	ACTION
EMPLOYEE	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Applies for leave /Off</p>
SUPERVISOR	Grants leave electronically. Yes/No
AR/SAA/AA	Verifies leave details
REGISTRAR (ADMINISTRATION & PLANNING)	Approves leave electronically. Yes/No
AR/SAA/AA	Records leave in a Register
EMPLOYEE	<p>Officer proceeds on leave</p> <p style="text-align: center;">End</p>

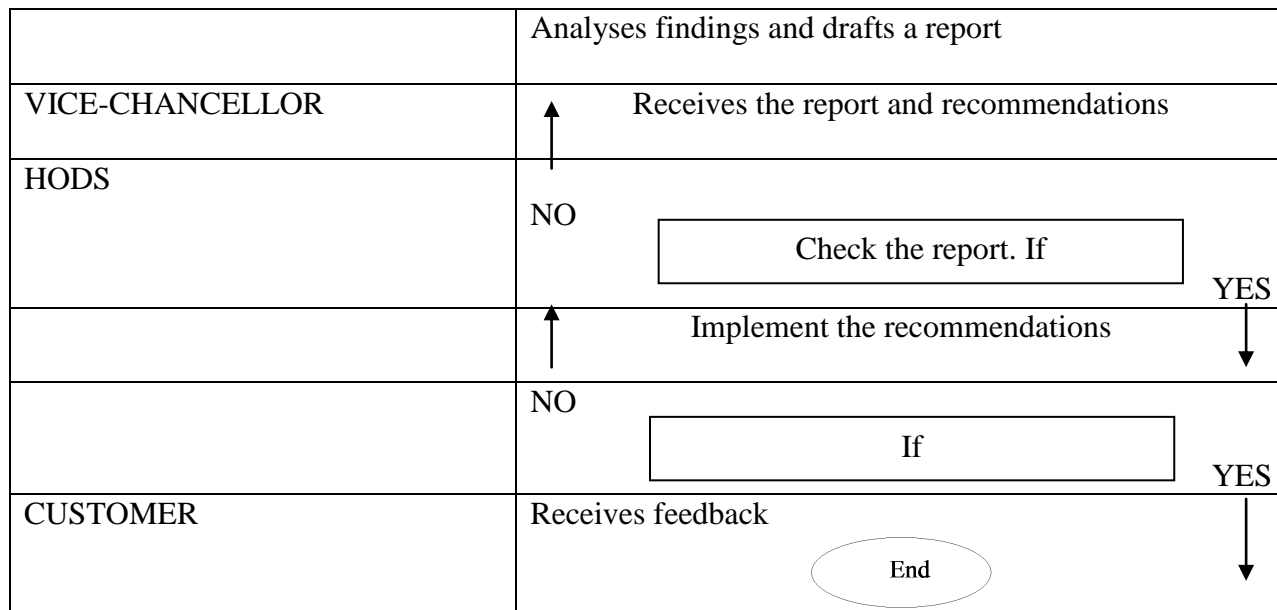
#### (ii) Performance Appraisal Process Map

REGISTRAR (ADMINISTRATION & PLANNING)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Issues Circular</p> <p>Downloads and distributes SPAFs</p>
COD/HOD	Completes their section in the presence of appraisee
HRM	Completed forms submitted to the HRM for final evaluation and feedback
VC	Arbitrates where there is no consensus
APPRAISEE	<p>Receives feedback</p> <p style="text-align: center;">End</p>

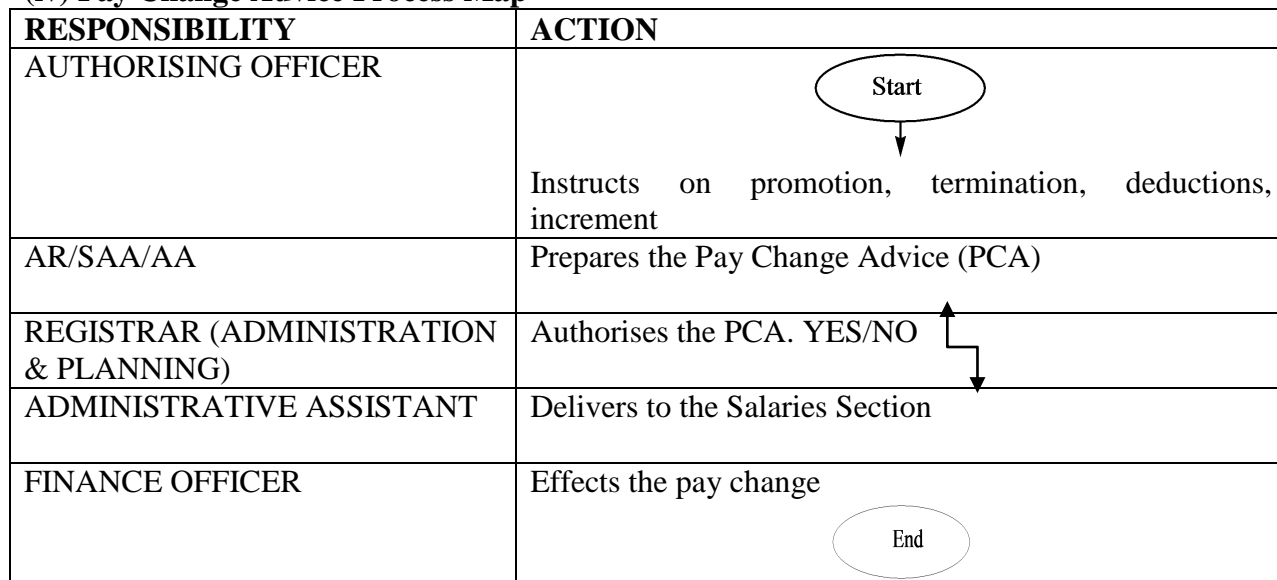
#### (i) Customer Satisfaction Survey

VICE-CHANCELLOR	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Appoints a committee</p>
SURVEY COMMITTEE	<p>Develops a survey tool</p> <p>Conducts survey</p>

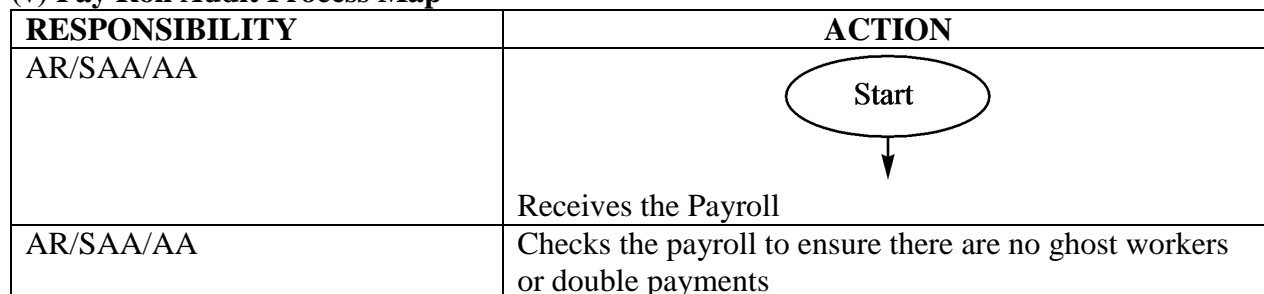
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**(iv) Pay Change Advice Process Map**




**(v) Pay Roll Audit Process Map**



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REGISTRAR (ADMINISTRATION & PLANNING)	Signs and stamps the payroll
AR/SAA/AA	Delivers the Pay roll to Finance Department
	

**vi. Procedure for handling of mails/letters**

RESPONSIBILITY	ACTION
OFFICE ASSISTANTS	
MAIL OWNER/OFFICE ASSISTANTS	Receipt and dispatch of mails Delivery of outgoing mail/letters to the Office of the Principal for franking/stamping and delivery to the external Post Office/courier service.
DRIVER OFFICE ASSISTANTS	Receipt/collection of incoming mails/letters from the Post Office, sorting and delivery/dispatch to the relevant offices/recipients in the University.
	