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# CHUKA UNIVERSITY

## Standard Operating Procedure


**For**

## Academic Affairs Management CU/SOP/RACA/05

### Document Review Sheet


The signatures below certify that these 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
Revised by	Prof. F. G. Ndiritu	REGISTRAR (ACADEMIC AFFAIRS)	20.8.2019
Reviewed by	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)/ISO M.R.	20.8.2019
Approved by	Prof. E. N. Njoka	VICE-CHANCELLOR	20.8.2019

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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 16	Added “resources” in all processes by revising inputs heading to read “inputs/resources” and expanding the section as necessary	R (AA)/ AR	ISO M.R./VC
20/8/2019	07	00	17	Revised KPIs in quality objectives to be “measurable”	R (AA)/ AR	ISO M.R./VC
20/8/2019	07	00	17 to 17	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	R (AA)/ AR	ISO M.R./VC
20/8/2019	07	00	21	Revised risks to capture factually binding and persistent ones	R (AA)/ AR	ISO M.R./VC
20/8/2019	07	00	23	Generated stand-alone Opportunities and de-linked them from Risks	R (AA)/ AR	ISO M.R./VC

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## **2.0 GENERAL**

### **2.1 Purpose**

The purpose of the Standard Operating Procedure is to ensure that academic records compilation and keeping in registry, as well as implementation verification, communication and of academic resolutions and policies, student admission, registration and issuance of testimonials is managed effectively and efficiently to ensure compliance with this Standard, the University's Statutes, policies, rules and regulations, as well as Government policies, procedures and regulations.

### **2.2 Scope**


This procedure applies to and defines all the processes and activities carried out within the Office of Registrar (Academic Affairs) from academic records compilation and keeping in registry, policy communication and implementation verification, student admission, registration, graduation, issuance of final academic transcripts and certificates.

### **2.3 References**

- Chuka University Charter, 2013
- Chuka University Statutes, 2014
- CU Strategic Plan, 2017-2022
- CU ISO Quality Management System Manual, 2017
- ISO 9001:2015 Standard, Clauses 4 to 10
- CU Performance Contract (Current)
- Conversion Table to determine the students weighted average points
- CU Students' Information Handbook (Current)
- CU Graduation Booklet (Current)
- KUCCPS Cluster Manual with Subjects
- KUCCPS Document D2C text document
- Relevant Acts and Regulations
- Students' Record Maintenance System/NAVISION

### **2.4 Abbreviations**

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

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## 2.5 Definitions

**Class list:** A list containing details of students (names, registration number and National Identity Card number) in a given semester in a programme of study.

**COD:** The Head of an Academic Department

**Course:** A unit of study in a given programme

**Dean:** The Head of a Faculty or Student Welfare Department.

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

**Nominal Roll:** A list of students who have completed registration of students' details (Age, Nationality, District of Birth, National Identity Card number, Registration number).

**Programme:** An arrangement of requirements and course units that a student must fulfil before being cleared to graduate

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

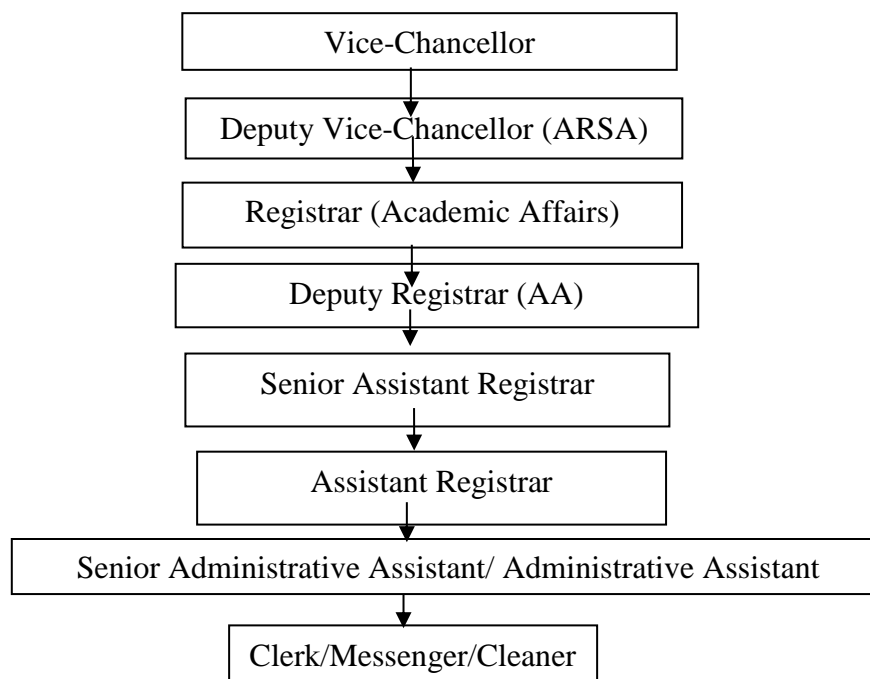
**Potent Risk:** Refers to potential raw risk that is anticipated.


## 2.6 Responsibility

The Registrar (Academic Affairs) has the primary responsibility of ensuring that these processes are implemented and remain adequate for their intended purpose. The Registrar (Academic Affairs) also is responsible for providing information from which the documentation of the processes can be compiled and initiation of action to keep them current. All departmental staff members are responsible for implementing and ensuring that these processes are followed.

## 3.0 ADMINISTRATIVE STRUCTURE

The current administrative structure for the Division is as follows:



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## 4.0 PROCESSES

### 4.1. Overview

The Registrar (Academic Affairs) is the Secretary to the Senate Committees, chaired by the DVC (ARSA). The Committees include: the Deans' Committee, the Students' Welfare Committee, the Library and Bookshop Committee, the Students' Disciplinary Committee, the Research, Extension and Publications Committee, and the Farms, Field Stations and Vocational Training Committee. In this regard, the Registrar (Academic Affairs) is responsible for compilation of records and data for these committees and keeping in the academic/students' registry, academic matters communication and implementation verification, students' academic affairs from admission, registration, tracking to issuance of final certificates after graduation.

The core activities of the Office of the Registrar (Academic Affairs) include:

- (i) Advertising Academic Programmes
- (ii) Admission of KUCCPS and Self-Sponsored Students
- (iii) Students' Inter-Faculty/Programme and Interuniversity Transfer
- (iv) Registration of Undergraduate Students
- (v) Coordination of Deferment of Students
- (vi) Issuance and Replacement of Student Identification /Smart Cards
- (vii) Coordination of the Graduation Ceremony
- (viii) Production and Issuance of Final Transcripts and Certificates to Students
- (ix) Academic Records and Data Compilation and Keeping in the Registry
- (x) Academic Matters Communication and Implementation Verification

### 4.2. Process for Advertising Academic Programmes

#### 4.2.1. Required Inputs/Resources


- University catalogue
- List of approved curricula
- Budget
- Media house(s)
- CODs, Deans, Board of Undergraduate Studies and Board of Postgraduate Studies

#### 4.2.2. Expected Outputs

- Advertised programmes

#### 4.2.3. Procedure Details

No.	Description	Output	Responsibility
1	Request academic departments to forward courses for advertisement through the respective Deans of Faculties, or compile the programmes using the catalogue	List of courses for advertisement	R (AA) Dean of Faculties
2	Receive lists of courses and prepares the advert indicating programme qualification requirements, fees and opening date(s).	Advertisement template	R (AA)
3	Consult the DVC (ARSA) and the VC to approve the advert and advertisement media	Approved advertisement	R (AA)

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4	Request the VC to facilitate payment of the advertisement fee and forward a signed advert to the relevant media house.	Approved requisition letter	R (AA)
5	The newspaper advert is cut out for filing and payment of the advertisement fee.	Newspaper advertisement	Secretary to the VC
6	Candidates apply and are processed for admission to the programmes, as appropriate	Application testimonials	R (AA) Director, BPGS
7	R (AA) and Director, BPGS receive admission applications and forward to Departments and Faculties for vetting	Compiled raw lists with testimonials	Clerks, AA, SAA, AR (AA) R (AA)
8	Applicants are vetted and verdicts are forwarded to the R(AA) to compile for the ratification Committee and Board meetings	Compiled lists with remarks	CODs and Deans of Faculties
9	Deans Committee and Board of PGS meet to ratify applicants for admission	Minutes and processed lists	DVC (ARSA) R (AA) Director, BPGS
10	Qualified application are admitted to the programmes	Admission letters	R (AA) Director, BPGS

### 4.3. Process for Admission of KUCCPS and Self-Sponsored Students

#### 4.3.1. Required Inputs/Resources


- University catalogue
- List of placed students
- Self-sponsored students' applications
- CODs, Deans, and Board of Postgraduate Studies
- Deans' Committee

#### 4.3.2. Expected Outputs

- Admitted KUCCPS and Self-Sponsored Students

#### (a) KUCCPS Students

No.	Procedure Details/Description	Output	Responsibility
1	Receive the compact disk and KUCCPS Document D2C text document of the admitted students from KUCCPS Secretariat, and use it to issue the students with the admission numbers based on their programmes of study.	KUCCPS first year lists	R (AA)
2	Students' class list are compiled and uploaded in the ERP system to create records for new students accessible through www.chuka.ac.ke.	List of all students admitted	R (AA)
3	Letters of admission generated and together with Forms (CU/ADM/FORM/1	Admission Documents on-line	R (AA) ICT Manager


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	CU/ADM/FORM/2A, CU/ADM/FORM/2B CU/ADM/FORM/3 CU/ADM/FORM/4) and posted to the University website (www.chuka.ac.ke) for students to download and fill as appropriate.		
4	Print a copy of the admission letters and retain as a record in the Admissions Office	Admission letters	Clerks, AA, SAA, AR (AA), R (AA)
5	Open individual student files at the Students Admissions Registry using copies of the letter of offer. (a) Students report to campus and are registered as per procedure for student registration (CU/SOP/RACA/05)	Students' personal files	Admission Officer

#### (b) Self-sponsored Students

No.	Procedure Details/Description	Output	Responsibility
1	Advertise courses on offer in February for the April/May intake, June for August/September intake and October for the December/January intake, giving the minimum requirements and the time limit within which to receive the applications.	Applicants lists	R (AA)
2	Receive and record forms (CU/ADM/APP/1) in the Master Record Book.	Master record book	R (AA)
3	Prepare the summaries of the applicants and liaise with the DVC (ARSA) for a Deans' Committee meeting to ratify	Applicants' lists	Faculty Administrators R (AA)
4	Deans' Committee meets and ratifies successful applicants and submits the lists to R (AA) for processing of admission letters in triplicate. The original letter, together with Forms (CU/ADM/FORM/1 CU/ADM/FORM/2A, CU/ADM/FORM/2B CU/ADM/FORM/3 CU/ADM/FORM/4), are sent to the student through the University registry. The first copy is retained as a record in the Admissions Office.	List of successful applicants	DVC (ARSA) R (AA) Deans of Faculties
5	Open the individual student files at the Students Admissions Registry using a copy of the letter of offer.	Students' personal files	Admission Officer
6	Register students as per the procedure for student registration (CU/SOP/RACA/05)	Nominal Rolls	R(AA)



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#### 4.4. Process for Students Inter-Faculty/Inter-Programme/Inter-University Transfer

##### 4.4.1. Required Inputs/Resources

- KUCCPS published cluster points
- University catalogue
- Curricula
- Inter-Faculty/Programme filled transfer application forms
- Inter-University transfer online applications

##### 4.4.2. Expected Outputs


- Approved Inter-Faculty/Inter-Programme/Inter-University Transfers

##### (a) Inter-Faculty/Programme Transfer

No.	Procedure Details/Description	Output	Responsibility
1	Advertise internally for transfers within the first two weeks of registration of first-year students giving the timelines for the exercise.	Internal Memo	R (AA)
2	Forward application forms together with KUCCPS minimum requirements' guidelines for each programme to Deans of Faculties for students to apply. Continuing students apply to the R (AA) through Deans of Faculties for change Programme/Faculty.	Interfaculty transfer application forms Application letters, filled interfaculty transfer forms	R (AA)
3	Short-list the applicants	List of applicants	Deans of Faculties
4	Receive summarised applicants and submit to the Deans' Committee for approval.	List of applicants, remarks from Deans	R (AA)
5	Deans' Committee are invited to a meeting to consider applications	Minutes and processed lists	R (AA) DVC (ARSA)
6	Communicate to the successful and unsuccessful applicants by posting the results of the applications on notice boards.	Memo, approved interfaculty transfer forms	R (AA)
7	Print and dispatch the transfer letters to the students, copy to the Dean of the old and new Faculties, Admissions Office, Medical Office and the Finance Office	Transfer letters	R (AA)

##### (b) Inter-University Transfer of Students

No.	Procedure Details/Description	Output	Responsibility
1	Receive online applications for endorsement from KUCCPS for student(s) who wish to leave or join Chuka University	Filled online applications	VC/DVC(ARSA)/ R (AA)
2	Receive a copy of the students' inter-University transfer letter from the KUCCPS,	Inter-University transfer letter	R (AA)

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	with an advisory note to issue an admission letter or note for an outgoing student who formally clears from the University.	Advisory note	
3	Issue an admission letter to the student, whose request for transfer has been approved by the Secretary KUCCPS.	Admission letter	R (AA)

#### 4.5. Process for Registration of Undergraduate Students

##### 4.5.1. Required Inputs/Resources


- List of admitted students
- Standards and guidelines
- Students' personal details registration forms
- Upload students' details in ERP systems
- Resource persons

##### 4.5.2. Expected Outputs

- Nominal roll in the ERP Navision system

##### 4.5.3. Procedure Details

No.	Description	Output	Responsibility
1.	Receive the KUCCPS admission list (for new KUCCPS students) and SSP students' admission lists	KUCCPS acknowledgement list	R (AA)
2.	Facilitate processing of student class lists and uploading to ERP system to create records for new students within one week before reporting date.	Students class lists	R (AA)
3.	Verify registration documents (CU/ADM/FORM/1CU/ADM/FORM/2A, CU/ADM/FORM/2BCU/ADM/FORM/3CU/ADM/FORM/4; CU/ADM/FORM/5A (new students); National Identity card/Birth Certificate, original letter of offer, original certificate/result slip on arrival of students and confirm admission details using the system. Where no details appear, a student is sent to R (AA) office for clearance	Verified documents	Deans of Faculties Registration staff
4.	Confirm the admission details of the students not appearing in the system.	Supplementary list	R (AA)
5.	Confirm the students' details in the system at the Faculty. Students proceed to the Finance, Medical, and Accommodation desks to be registered in accordance with Finance,	Class list Finance clearance list, medical clearance list,	Faculty Deans Finance Officer HODs (Medical & Accommodation)

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	Medical, and Accommodation requirements (CU/SOP/FIND/24, CU/SOP/MEDD/29, CU/SOP/ACCD/32). (a) Continuing students are promoted one week before reporting date. They report to Finance to clear fees and proceed to Faculties for registration. They do not go through the Medical desk during registration.	accommodation clearance list	
6.	Confirm the students' payment of fees status and verify their registration for the year and semester of study in the ERP Navision system. Where the students do not report, their registration remain blank/ un ticked, they are considered not have registered.	Class list	Faculty Deans
7.	Retain the first two copies of the students' registration forms. One copy is retained in the Faculty records and the second copy is sent to the R (AA) for record keeping.	Filled registration forms	Faculty Deans
8.	Students who do not registered in the ERP Navision system within the two weeks (14 days) are considered for registration if they have valid reasons. Registration period is two weeks	Class list	Faculty Deans

#### 4.6. Process for Issuance and Replacement of Student Identification/Smart Cards

##### 4.6.1. Required Inputs/Resources


- List of registered first years
- Security statements/ police abstracts
- Standards and guidelines

##### 4.6.2. Expected Outputs

- Issued/ Replaced Identity/ Smart Card

##### 4.6.3. Procedure Details

No.	Description	Output	Responsibility
1	a) Receive registered first year students, and ID/Smart Card processing schedule b) Receive reports of lost ID cards/Smart Cards from students and Security Department (If a student loses the ID card, they report in writing the loss to the R (AA), and pay the stipulated amount for replacement). Security Office also present a statement of ID loss to R (AA)	Identity Card/Smart Card processing schedule/ list	R (AA)

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2	Verify the presented evidence of lost IDs/ Smart card from the students (Security statements, police abstract, receipt of the paid amount)	Filled ID card loss verification forms	R (AA)
3	Inform the Procurement Department of all duly registered first year students requiring student identification cards. Inform PO of all students requiring IDs replacement	Requisition forms	R (AA)
4	Engage a supplier, who is notified of the convenient dates for passport photo-taking.	Supply specification	PO R (AA)
3	Inform the students when and where the passport photos shall be taken	Approved notice	R (AA)
4	Receive printed identification cards	IDs/ Smart Card. Delivery invoices	PO R (AA)
5	Inform students when and where to collect the ID/ Smart Cards	Approved notice	R (AA)
6	Issue identification cards (The students sign the class list for cross-checking).	List of issued ID/ Smart cards	R (AA)

#### 4.7. Process for Coordination of Deferment of Students

##### 4.7.1. Required Inputs/Resources


- Admission Letter
- University Statutes
- Inter-University transfer application forms/Testimonials

##### 4.7.2. Expected Outputs

- Approved deferment letters

##### 4.7.3. Procedure Details

No.	Description	Output	Responsibility
1	Apply for deferment using prescribed deferment form (CU/ADM/FORM/3) as specified in the letter of offer. Continuing students apply for deferment to the R (AA) through their Deans of Faculties specifying reasons for such applications.	Deferment form/Deferment letter	Student
2	Respond to the students indicating the new reporting date and classes to join through letters copied to the Deans of Faculties, Medical, Finance and hostel departments.	Letter to students	R (AA), Deans of Faculties
4	Report the deferment to the Dean. Defer for two consecutive academic years only.	Deferment letter	Dean of Faculty
5	A report is prepared for tabling in Senate	Senate Minutes	Dean of Faculty

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#### 4.8. Process Coordination of the Graduation Ceremony

##### 4.8.1. Required Inputs/Resources

- Approved graduation lists
- Budget
- Faculty Board of Examiners
- Standards and guidelines

##### 4.8.2. Expected Outputs

- Certificates for conferred degrees/Awarded Diploma and Certificates
- Graduates


##### 4.8.3. Procedure Details

No.	Description	Output	Responsibility
1	Receive Senate approved graduation lists from Faculties and coordinate graduation stationery procurement and preparation, including the booklet up to proof-reading, fee arrears check-up, and printing stages	Graduation booklet	SAA R (AA) DVC (ARSA) Faculty Deans Finance Officer
2	Receive the set graduation date	Memo	R (AA)
3	Communicate the set graduation date and requirements to all stakeholders	Advert Memo Social media Website	Vice-Chancellor DVC (ARSA) R (AA) Dean of Students ICT Manager
4	Dispatch invitation letters to guests	Dispatch lists	PRO and R(AP)
5	The graduands pay the prescribed graduation fee and attend rehearsals.	Rehearsal attendance memo	Vice-Chancellor DVC (ARSA) R (AA/Deans Academic Staff
6	Handle concerns presented by the graduands.	Graduation list post-mortem report	R (AA)
7	Procure and organise instruments of authority and the Deans of Faculties to present graduands for conferment of degrees and award of Diplomas and Certificates by the Chancellor.	Mace, Certificates, Booklets, Citations, Scholarship & Recognition Letters	R (AA)

#### 4.9. Process for Issuance of Final Transcripts and Certificates

##### 4.9.1. Required Inputs/Resources

- University statutes
- List of graduands
- Graduation examination data in the ERP Navision System

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- Resource persons
- Graduation booklet
- Certificates processing resource persons
- Graduates clearance forms

#### 4.9.2. Expected Outputs


- Copies of final transcripts and certificates

##### (a) Issuance of Final Transcripts

No.	Procedure Details/Description	Output	Responsibility
1	Receive updated protracted transcripts at the end of each programme. The protracted transcripts are printed for students to review.	Internal Memo	R (AA)
2	Transfer graduated students' data in the SRMS/NAVISION from the Faculties to the Certificates and Transcripts Section. Supervise processing of final transcripts and issue to the students before the students attend the designated graduation ceremony	Consolidated mark sheets Final transcripts	Dean of Faculty R (AA)
3	Students sign in the Transcripts Collection Master book as they pick the transcripts	Transcript collection master book	R (AA)
4	Issue the student with the transcript; a copy is filed in the student's personal file.	Transcript	R (AA)

##### (b) Issuance of Final Certificates

No.	Description	Output	Responsibility
1	Prepare the graduation list in accordance with the CU procedure on preparing the graduation list for certificate, diploma, degree, and postgraduate students. Supervise preparation of the certificates within one month after the graduation ceremony.	Graduation list, certificates	R (AA)
2	Produce the student's clearance form (CU/AA/CL/FORM/6), student's identification card, graduation fee receipt and a signed form (CU/AA/GG/FORM/7) indicating that the student has returned the graduation regalia.	Students clearance form	Certificate processing personnel
3	Recall the student's personal file to confirm any pending issues. Where there are pending issues the graduate is required to sort the issues before being issued the certificate.	Certificate	R (AA)
4	If there are no pending issues the graduate is	Certificate	R (AA)

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	declared to have met all the requirements and is issued with the certificate to check whether the certificate has any errors.		
5	The student fills the release form (CU/AA/CR/FORM/8) in the master book (CU/AA/CR) and is issued with the certificate. A copy of the certificate is filed in the student's personal file	Certificate release form, master book	R (AA)
6	If the certificate has errors the student indicates the errors in the certificate release form and leaves behind the certificate for correction by Faculty tabling in Senate to approve the correction. The corrected certificate is issued according to section 4.10.1-5.	Erroneous certificate plus correction form	R (AA)
7	Issue the sealed certificates in accordance with procedure 4.10.1-5.	Final certificates	R (AA)

#### 4.10. Process for Academic Records Compilation and Keeping in Registry

##### 4.10.1. Required Inputs/Resources


- University Statutes
- Students admission data/documents
- Senate and its Committee's Minutes

##### 4.10.2. Expected Outputs

- Students Admission Databases
- Students' files
- Minutes/Reports/Statements
- Final Certificates/Transcripts Database
- Graduates Databases
- Discontinued/Demised/ Transferred Students Databases
- Senate Calendar/University Almanac
- Curricula/Programmes Catalogue

##### 4.10.3. Procedure Details

No.	Description	Output	Responsibility
1	Prepare draft Senate Calendar and present for approval	Approved Calendar	R (AA) Director, EXTT
2	Receive or request for students' admission, transfer, demise, discontinuation, deferment data from Faculties/Campuses, compile	Databases/s' Documents' files	R (AA)
3	Supervise Senate and Committees' minute	Minutes	R (AA)

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	taking, proof-read, present to Chairs to sign, keep signed copies in registry		
4	Supervise report preparation/rubrics presentation, signing & keep final in registry	Signed reports, rubrics/citations	R (AA)
5	Supervise catalogue compilation and approval of academic programmes by the Senate. Keep final catalogue in registry	Final Academic Programmes Catalogue	R (AA)
6	Track academic policies, rules and regulations preparation and approval. Keep final signed copies in registry	Signed academic policies, rules and regulations	R (AA)

#### 4.11. Process for Academic Matters Communication and Implementation Verification

##### 4.11.1. Required Inputs/Resources

- University Statutes
- Academic Programmes Catalogue
- Academic policies, rules and regulations

##### 4.11.2. Expected Outputs

- Issues circulars and memos


##### 4.11.3. Procedure Details

No.	Description	Output	Responsibility
1	Draft Senate or its Committees' meeting invitations to members	Notices of meetings	R (AA)
2	Attend meetings and note resolutions to be communicated to implementers/actors	Minutes	R (AA)
3	Preparation of communication memos and issue to relevant stakeholders/audience	Memo/Circulars	R (AA)
4	Check and verify academic programmes, circulars, policies, rules and regulations implementation by actors	Reports	R (AA)
5	Issue corrective/harmonization/enforcement memos when and where necessary	Corrective/harmonization memos	R (AA)

#### 5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

- (i) Admission forms, dully filled (CU/ADM/FORM/1, CU/ADM/FORM/2A, CU/ADM/FORM/2B, CU/ADM/FORM/3, CU/ADM/FORM/4)
- (ii) Advertisement feature
- (iii) Application forms, dully filled
- (iv) Applications Master Record Book
- (v) Certificate Master Release Book
- (vi) Class Lists
- (vii) Deans' Admission Document containing list of candidates



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- (viii) Deferment Application letter
- (ix) Graduation Booklet
- (x) Letters of offer
- (xi) Master Numbering Control Record (Soft Copy)
- (xii) Memos/Circulars
- (xiii) Minutes/Reports
- (xiv) Nominal Roll (soft copy in ERP)
- (xv) Students personal files
- (xvi) Transcripts Master Record Book


## 6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES

### 6.1 Key performance indicators

- (i) Number of students applying for Interfaculty/Inter-programme transfers
- (ii) Number of students qualifying for Interfaculty/Inter-programme transfers
- (iii) Number of students admitted annually by gender and discipline
- (iv) Percentage of students issued smart cards/identification cards
- (v) Number of students issued certificates
- (vi) Percentage of students issued final transcripts
- (vii) Number of students registered
- (viii)

### 6.2 Departmental Quality Objectives

<b>Linked Strategic Objective(s):</b> SO 3: Enhancement of Academic Competitiveness of the University SO 14: Expansion of the University's Financial Resource Base SO 27: Compliance with Statutory Requirements SO 34: Production of Holistic Graduates			
<b>1. Quality Objective:</b> To increase qualified students enrolment/admission by 10% annually			
<b>Objective (state the objective)</b> Advertise academic programmes 12 times up from 3 times annually through print, electronic media and University website			
<b>Strategy (Actions/Activities required to achieve the objective)</b> Assess the market needs Invite Faculties to submit their needs Prepare and submit an advertisement requisition Draft academic programmes advert Choose media for advertising Evaluate feedback/applicants' responses Admit all students who apply and meet the minimum requirements three times a year			
<b>Responsibility</b>	<b>Resources Required</b>	<b>Timeline</b>	<b>Measure of Success (KPI)</b>
Registrar (AA) Procurement Officer	Financial resources Personnel	Thrice per year	Advertised courses % increase in enrolment
Review dates:	Quarterly		

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**Linked Strategic Objective(s):**  
SO 2: Provision of Relevant Quality Higher Education and Training  
SO 3: Enhancement of Academic Competitiveness of the University  
SO 19: Utilization of ICT to Enhance Efficiency of University Operations  
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

**2. Quality Objective:** To issue admission letters to students who meet the minimum requirements two weeks down from four weeks after submitting the application

**Strategy (Actions/Activities required to achieve the objective)**  
Receive applications for admission  
Register the applications and submit to the CODs and Deans of Faculties to verify  
Compile the list of qualified students  
Verify that the qualified students meet the set quorum for commencing teaching  
Send admission letters via post or email to the applicants

<b>Responsibility</b>	<b>Resources Required</b>	<b>Timeline</b>	<b>Measure of Success (KPI)</b>
Registrar (AA) Procurement Officer	Financial resources Personnel University Statutes	2 weeks after receiving application	Number of students admitted in preferred programmes
Review dates:	Quarterly		


**Linked Strategic Objective(s):**  
SO 3: Enhancement of Academic Competitiveness of the University  
SO 19: Utilization of ICT to Enhance Efficiency of University Operations  
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

**3. Quality Objective:** To issue all new students Smartcards by the fourth week from reporting time down from after 3 months, and continuously replace lost ones at a prescribed fee

**Strategy (Actions/Activities required to achieve the objective)**  
Issue an internal memo for issuance of Smartcards exercise  
Record all new students who require Smartcards and those that need replacement  
Outsource a printing expert using procurement procedures and issue winner card particulars  
Issue students Smartcards through Deans of Faculties Offices

<b>Responsibility</b>	<b>Resources Required</b>	<b>Timeline</b>	<b>Measure of Success (KPI)</b>
Registrar (AA) Procurement Officer	Financial resources Personnel/Statutes	1 month after admission	Number of error-free ID smartcards issued to students
Review dates:	Quarterly		

**Linked Strategic Objective(s):**  
SO 3: Enhancement of Academic Competitiveness of the University  
SO 19: Utilization of ICT to Enhance Efficiency of University Operations  
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

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**4. Quality Objective:** To prepare registered students' details and statistics in the format prescribed by various users once every semester down from annually

**Strategy (Actions/Activities required to achieve the objective)**  
 Obtain class lists from Departments/Faculties and upload into ERP system  
 Verify registration documents for continuing and deferred students  
 Confirm students' details in the system and Faculty

Responsibility	Resources Required	Timeline	Measure of Success (KPI)
Registrar (AA) Deans of Faculties Director, QAPC	Financial resources Personnel University statutes	Periodically	Number of clean records of registered students
Review dates:	Quarterly		

**5. Quality Objective:** To invite external examiners to moderate all examinations done in an academic year up to April in May down from June of each year

**Strategy (Actions/Activities required to achieve the objective)**  
 Issue a memo to departments to present external examiners and scripts in April  
 Prepare a budget and submit for approval by the Vice-Chancellor  
 Invite external examiners through letters in May  
 Monitor external examiners moderation of the scripts within two weeks in June


Responsibility	Resources Required	Timeline	Measure of Success (KPI)
Registrar (AA) Deans of Faculties CODs	Financial resources Personnel Statutes	Annually	Number of externally moderated scripts
Review dates:	Quarterly		

**Linked Strategic Objective(s):**  
 SO 3: Enhancement of Academic Competitiveness of the University  
 SO 19: Utilization of ICT to Enhance Efficiency of University Operations  
 SO 23: Assignment of Duties and Delegation of Authority  
 SO 24: Development and Projection of a Positive Image of the University  
 SO 25: Maintenance and Improvement of Quality Assurance  
 SO 27: Compliance with Statutory Requirements

**6. Quality Objective:** To prepare finalist students for graduation ceremonies and complete 1-month down from 1 week in advance, and annually increase graduates in top grades

**Strategy (Actions/Activities required to achieve the objective)**  
 Inform CODs to submit all mark sheets to Faculties to enter marks in the system  
 Ensure Faculty Boards meet to discuss consolidated marks for all final year students  
 Ensure correct rubrics are presented for discussion in the Senate  
 Prepare booklet and post on University website for verification 1 month to graduation date  
 Analyse graduates' classification statistics and prepare a report

Responsibility	Resources Required	Timeline	Measure of Success (KPI)
Registrar (AA) Dean of Faculties CODs	Financial resources Personnel University statutes	Annually	Preparation completion time % of graduates in top grades
Review dates:	Quarterly		

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**Linked Strategic Objective(s):**

SO 3: Enhancement of Academic Competitiveness of the University  
 SO 24: Development and Projection of a Positive Image of the University  
 SO 25: Maintenance and Improvement of Quality Assurance  
 SO 27: Compliance with Statutory Requirements

**7. Quality Objective:** To issue all graduate students provisional transcripts one week before graduation and final certificates within one month after each graduation ceremony

**Strategy (Actions/Activities required to achieve the objective)**

Receive updated protracted transcripts from Faculties  
 Transfer finalist students' data in the SMRS/Navision from Faculties to transcripts  
 Sign in the transcripts collection master book/Issue students with the transcripts

Responsibility	Resources Required	Timeline	Measure of Success (KPI)
Registrar (AA) Dean of Faculties	Personnel Statutes	Annually	Number of transcripts and certificates collected
Review dates:	Quarterly		

**Linked Strategic Objective(s):**


SO 3: Enhancement of Academic Competitiveness of the University  
 SO 19: Utilization of ICT to Enhance Efficiency of University Operation  
 SO 24: Development and Projection of a Positive Image of the University  
 SO 25: Maintenance and Improvement of Quality Assurance  
 SO 27: Compliance with Statutory Requirements

**8. Quality Objective:** To coordinate, control and store all academic evidence (minutes, reports, statements, policies, catalogues and issued circulars) in the academic registry and update quarterly down from annually

**Strategy (Actions/Activities required to achieve the objective)**

Issue invitation memos for meetings of Committees under R (AA) Secretariat when due  
 Record/receive minutes/reports/documents from Mgt, Academic/Senate and its committees  
 Proof-read the minutes/reports and prepare matters arising  
 Circulate the minutes/reports for confirmation meetings  
 Safely store the final minutes/reports in the Academic Registry

Responsibility	Resources Required	Timeline	Measure of Success (KPI)
Registrar (AA)	Personnel Statutes	Periodically	Volumes of catalogues, confirmed minutes and circulars issued and stored
Review dates:	Quarterly		

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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 on 6 monthly basis
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

### Risks Register

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


Risk name/ description	Risk Consequences	Likelihood (L)	Consequence (C)	Potent Risk (L x C)	Mitigations/ controls (Source of Opportunities)	Risk Owner	Monitoring (when)	Actual Risk as @ 20/8/2019				
								LA	CA	RI= LA*CA	RR%= RI/PR	EC %
Registration of wrong students (impersonation)	Declined academic performance	2	3	6	Verify documents	R(AA)	What- Wrongly admitted applicants When-1 <sup>st</sup> week of semester Who-R (AA) How- Applicant register	1	2	2	33	67
Issuance of low quality cards (fading/illegible/wrong material)	-Students complaints -Increased costs of replacement	2	3	6	Evaluate suppliers/ tenders thoroughly and pick quality ones at all costs	Procurment Officer	What- Faulty IDs When- Biannually Who- R (AA) How- Complaints register	2	1	2	33	67
Missing student names on the graduation lists	-Graduands complaints -Increased litigations against the university	2	2	4	Scrutiny of lists by the R (AA), Deans, CODs and students 1 month before graduation	Dean, COD	What- Missing names When-Biannually Who- R (AA) How- Complaints register	1	1	1	25	75



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Admission of unqualified students in SSP programmes	-Negative image of the university -Controversies with the regulators (CUE)	2	3	6	-Scrutiny of docs by COD, Dean -Verify original documents	COD, Dean R(AA)	What- Unqualified students When-Biannually Who- R (AA) How- Admission register	1	2	2	33	67
Admission of expelled student from other universities	Potential students unrests	2	2	4	-Share information of expelled students -Quarterly update of information	R(AA)	What- No of detected cases When-Biannually Who- R (AA) How- Admission register	1	1	1	25	75
Preferential treatment of students when admitting them	Negative reputation of the university	2	2	4	-Online registration -Queue mgt; Provision of serialised que cards on arrival	R(AA)	What- No of reported cases When-Biannually Who- R (AA) How- Complaints register	1	2	2	50	50
Failure to issue timely deferments approvals to students	Increased complains from the parents/sponsors	2	2	4	-Monthly monitoring of deferment letters by the R(AA)	R(AA)	What- Delayed approvals When- Daily Who- R (AA) How- Deferment register	2	1	2	50	50
Issuance of erroneous certificates to graduates	Complaints from graduands	2	3	6	Verify graduands names in graduation lists, confirm names during rehearsals	R(AA)	What- Number of erroneous certificates When- Annually Who- R (AA) How- Grad. Lists	1	2	2	33	67
Failure to communicate on time to expelled students	Continued attendance of classes Litigations due to expulsion Students unrests	2	3	6	-Immediate issuance of expulsion letters to students	R(AA)	What- No. of reported cases When- Quarterly Who- R (AA) How- Council & Senate minutes	1	2	2	33	67


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Failure to verify, follow-up or communicate academic policies, resolutions, or matters arising to staff and students	In-action from concerned parties, academic, non-conformities, violations, litigation, dissatisfaction, complaints, missed deadlines, chaos	2	2	4	Immediate follow-up, verification, & communication of academic policies, resolutions, or matters arising to staff and students	R(AA)	What- No. of complaints When- Weekly Who- R (AA) How- Issued circulars	1	2	2	50	50
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Key: LA=Likelihood achieved. CA=Consequence achieved. RI=Risk incidences encountered. RR% = Residual Risk. EC=Effectiveness of Control (%)  
 Potent Risk (PR): Refers to potential raw risk that is anticipated. EC% = 100% - RR%


#### Opportunities Table

Sn	Opportunities	Action plan	Timelines	Effectiveness Status
1	Increasing demand for higher education	Advertised academic programmes to attract students	Throughout the year on the University website	70%
2	Favourable and populous catchment areas and population	Increased number of students admitted to 3 times per year	Admit new students three times a year	100%
3	Proximity of the University to growing urban centres	Availed evening /part-time courses via ODEL, and communicate to customers efficiently	Admit new students three times a year	100%
4	Accessible and good transport and communication network			
5	Linkages with business partners	Secured attachment/internship hosts and potential employers	Continuous provision of employment opportunities	90%
6	Goodwill from industries			
7	Availability of scholarships and fellowships	Provided student data to HELB and Management to assist needy students	Throughout students' study periods	90%
8	Proximity to Mount Kenya and unexploited resources	Provided good natural resources (clean water, air, etc) to students	Admit new students three times a year	100%
9	Kenya's attainment of middle income economic status	Increased number of students sponsored by parents/government	Admit new students three times a year	100%

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## APPENDIX I: PROCESS MAPS


### i. Advertising Academic Programmes

RESPONSIBILITY	ACTION
VICE-CHANCELLOR DVC (ARSA) R (AA)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Approaching of semester</p>
R (AA)	Requests academic department to forward courses for advertisement through Deans of Faculties
R (AA)	Receives courses and preparation of an advert
VICE-CHANCELLOR DVC (ARSA)	Approves advert and the media to be used. YES/NO 
VICE-CHANCELLOR  SECRETARY TO THE VICE- CHANCELLOR'S OFFICE	<p>Facilitates payment for adverts and forwarding to the approved Media house</p> <p>Cuts out advert for filing and fee payment</p> <p style="text-align: center;">End</p>



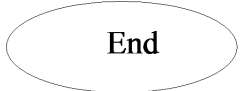
### ii. Admission of KUCCPS selected students

RESPONSIBILITY	ACTION
VICE-CHANCELLOR DVC (ARSA) R (AA)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Attendance of Joint Admission Board meeting</p>
R (AA)	Collection of a compact disk and KUCCPS document D2c text of admitted students from the KUCCPS secretariat
R (AA) SAA	Compilation of selected students without addresses
R (AA) SAA	Despatching of letters of admission to the students
R (AA) SAA	Keeping of records of admitted students
R (AA) SAA	Opening of files at the admission office using first copy
	End



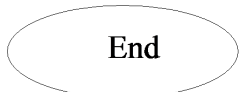



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### iii. Admission of Self-Sponsored Students

RESPONSIBILITY	ACTION
VICE-CHANCELLOR	
DVC (ARSA)	Approval of advertisement of programmes
R (AA) AR (AA)	Advertisement of courses in print media Receiving and recording of applications in the master record book
R (AA)	Forwarding of application forms to respective CODs for selection and recommendation
R (AA) AR (AA)	Receiving of recommended applicants for onward transmission to the Deans' Committee
DVC (ARSA) R (AA)	Preparation of summaries and liaison with the DVC (ARSA) for a Deans' Committee Meeting
DEANS COMMITTEE	Holds meeting and admits students. YES/NO 
R (AA)	Communicates verdict to the applicants
	

### iv. Registration of Undergraduate's Students

RESPONSIBILITY	ACTION
STUDENTS	
R (AA) SAA	Arrival on campus Preparation of registration documents
AR (AA)	Issuance of students with the registration forms
DEANS OF FACULTIES	Verification of registration documents
R (AA)	Issuance of appropriate supplementary lists
STUDENTS	Register following laid down procedure
DEANS OF FACULTIES SAA	Ensuring only fully paid up, bona-fide students sign the nominal roll. YES/NO 
DEANS OF FACULTIES	Retention of completed registration forms and sending of copies to the Registrar (AA)
	


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**v. Inter-Faculty/Inter-Programme Transfer**

<b>RESPONSIBILITY</b>	<b>ACTION</b>
R (AA) SAA	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Issuance of notice of transfer to students</p>
DEANS OF FACULTIES	Issuance of application forms & KUCCPS guidelines to students
DEANS OF FACULTIES	Short-listing of applicants and forwarding to R (AA)
R (AA) SAA DVC (ARSA)	Preparation of a summary of all applicants for the Deans' Committee to ratify Arrangement for Deans' Committee meeting
DEANS COMMITTEE	Selection of qualified applicants based on availability of vacancies in the programmes. YES/NO
R (AA) SAA	Postage of successful/unsuccessful students on notice boards
R (AA) SAA	Issuing of transfer letters to the qualified students
	End

**vi. Inter-University Transfer**

<b>RESPONSIBILITY</b>	<b>ACTION</b>
VICE-CHANCELLOR R (AA)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Receiving of requests for inter-university transfer</p>
VICE-CHANCELLOR R (AA)	Forwarding of requests with recommendations to the Secretary of the KUCCPS
R (AA)	Receiving of approval of transfer from the KUCCPS
R (AA)	Preparation of admission letters for incoming students or advising of outgoing students to clear formally.
	End

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### vii. Issuance and Replacement of Student Identity Card


RESPONSIBILITY	ACTION
R (AA)	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Notification of Procurement Department the number of students to be issued with Identity Cards</p>
PROCUREMENT OFFICER R (AA)	Engaging of a card supplier
R (AA)	Information of students when and where to go to be taken passport photographs
R (AA) SAA	Receiving of processed identity cards
R (AA) DEANS OF FACULTIES	Information of students when and where to collect identity cards Signing of the class lists and collecting identity cards
STUDENTS	Reporting the loss of identity card to the R (AA)
STUDENTS	Providing evidence for the loss
STUDENTS	Paying for the replacement and are issued with another card
	End


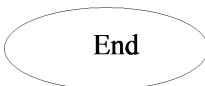
### viii. Deferment of Students

RESPONSIBILITY	ACTION
NEW STUDENTS	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Applying for deferment</p>
R (AA)	Responding in 1 month specifying the new reporting date
R (AA)	Reporting of the deferment to the Senate
CONTINUING STUDENTS	Application for deferment via Deans of respective Faculties
DEANS OF FACULTIES	Reporting of the deferment to the Senate
	End


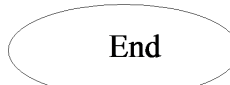
### ix. Participation in the Graduation Ceremony

RESPONSIBILITY	ACTION

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R (AA)	 ↓
VICE-CHANCELLOR	Receiving of graduation lists approved by Senate
VICE-CHANCELLOR	Information of the VICE-CHANCELLOR of the graduation date Communication to all Stakeholders
GRADUANDS DEANS OF FACULTIES	Payment of the graduation fee and attend rehearsals NO/YES Presenting of graduands for conferment and awards
GRADUANDS	Attendance of the graduation ceremony <div style="text-align: center;">  </div>


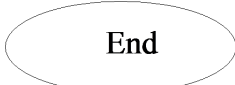
**x. Issuing final transcripts Process Map**

RESPONSIBILITY	ACTION
R (AA)	 ↓
R (AA) SAA	Receiving of protracted transcripts from Deans Collection of students' data from the faculties to transcripts and records office
R (AA) SAA	Overseeing of the processing of final transcripts
GRADUATES SAA	Payment of a stipulated amount for issuance of subsequent copies of the final transcripts Verification of payments YES/NO
GRADUATES	Signing for collection of the transcripts <div style="text-align: center;">  </div>

**xi. Production and Issuance of CU Certificates**

RESPONSIBILITY	ACTION
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R (AA) SAA	<p style="text-align: center;">   ↓ </p> <p>Preparation of certificates within one month from date of graduation ceremony</p>
GRADUATES	Production of identification and clearance forms
R (AA)	Receiving of lists of students' who completed their certificate courses
R (AA) AA/SAA R (AA)	<p>Printing and recording of certificates and final transcripts</p> <p>Stamping using the official University seal</p>
SAA GRADUATES	<p>Checking of students records before issuing the certificates and transcripts</p> <p>Paying of a stipulated amount for issuance of subsequent copies of the final transcripts.</p>
GRADUATES	Signing for the certificate and transcripts. YES/NO
GRADUATES	Checking if the certificate and transcripts have any error
GRADUATES	Indicating the errors on the transcript/certificate release form. YES/NO.
R (AA) SAA	Correcting of erroneous transcript and certificate followed by sealing of the certificate.
GRADUATES	Receiving of corrected transcripts and certificates
	<p style="text-align: center;">   ↓ </p>