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CHUKA UNIVERSITY

Standard Operating Procedure

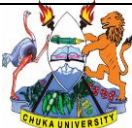
For

Faculty Management (CU/SOP/FACU/06-10)

Document Review Sheet


The signatures below certify that this Standard Operating Procedure has been reviewed and accepted, and demonstrate that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

Action	Name & Signature	Position	Date
Prepared & Revised by	Appointees	FACULTIES	20.8.2019
Reviewed by	Prof. D. K. Isutsa	DEPUTY VICE-CHANCELLOR (ARSA)/ISO MR	20.8.2019
Approved by	Prof. E. N. Njoka	VICE-CHANCELLOR	20.8.2019

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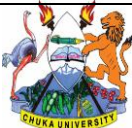
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1.0 AMENDMENT RECORD

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	Deans of Faculties	ISO M.R./VC
20/8/2019	06	00	16	Revised KPIs in quality objectives to be “measurable”	Deans of Faculties	ISO M.R./VC
20/8/2019	06	00	16 to 17	Revised quality objectives to distinguish from routine duties and responsibility, & infused actions that will ensure customer satisfaction	Deans of Faculties	ISO M.R./VC
20/8/2019	06	00	18	Revised risks to capture factually binding and persistent ones	Deans of Faculties	ISO M.R./VC
20/8/2019	06	00	19	Generated stand-alone Opportunities for the Faculties and de-linked them from Risks	Deans of Faculties	ISO M.R./VC

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2.0 GENERAL

2.1 Purpose

The purpose of this Standard Operating Procedure is to ensure that student's academic matters, resolutions and policies are managed effectively and efficiently in Faculties to ensure compliance with the ISO 9001 International Standard, the University Statutes, 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 in Faculties from admission to graduation of students.

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 Management System Manual (current)
- CU Catalogue, 2016
- CU Students' Information Handbook (Current) and Graduation Booklets
- Government Circulars and Relevant Acts
- CU Performance Contract (Current)

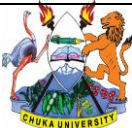
2.4 Abbreviations

AR (AA)	Assistant Registrar (Academic Affairs)
BPGS	Board of Post-Graduate Studies
BUSF	Board of Undergraduate Studies and Field Attachment
COD	Chairperson of Department
Director (BPGS)	Director (Board of Post-Graduate Studies)
DVC (ARSA)	Deputy Vice-Chancellor (Academic, Research & Student Affairs)
GSS	Government-Sponsored Students
HOD	Head of Department
R (AA)	Registrar (Academic Affairs)
SRMS	Student Records Maintenance System
SSP	Self-Sponsored Programmes
VC	Vice-Chancellor

2.5 Definitions

SSP Students:

- Any applicant who applies directly to CU and is privately sponsored.
- Any applicant admitted directly through Chuka University efforts.

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

COD: The Head of an Academic Department

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

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

Nominal Roll:

- A list showing students' details (Age, Nationality, District of Birth, National Identity Card number, Registration number.
- A list of students who have completed the registration exercise.

Course: A unit of study in a given programme

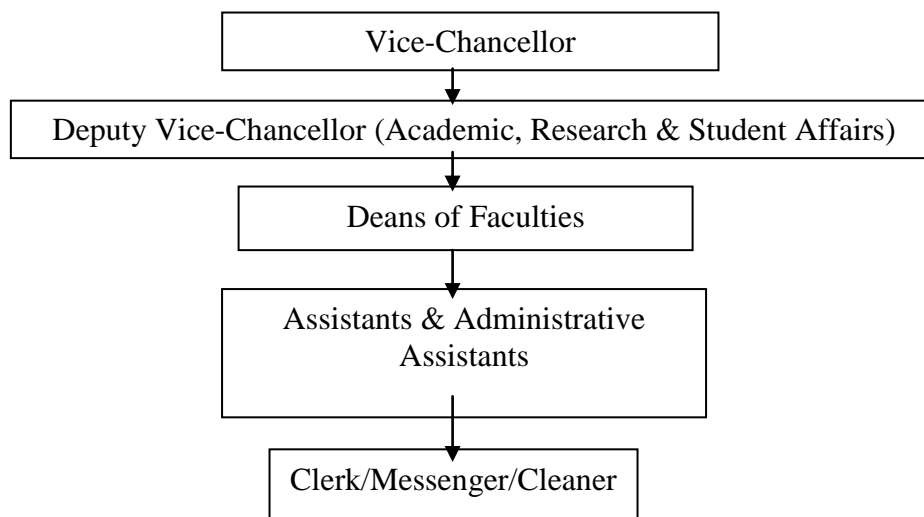
Potent Risk: Refers to potential raw risk that is anticipated.

2.6 Responsibility

The Deans of Faculties have the primary responsibility of ensuring that these processes are implemented and remain adequate for their intended purpose, provision of information from which the documentation of the processes and activities can be compiled and initiation of action to keep them current. All Faculty staff members are responsible for implementing and ensuring that these processes are followed and implemented.

3.0 ADMINISTRATIVE STRUCTURE

The current administrative structure for the Faculties is as follows:



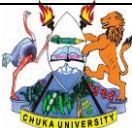
4.0 PROCESSES

4.1 Overview

The Faculties are the custodians of student academic records and undertake activities to ensure that students comply with various University academic rules, regulations and Statutes.

The core activities of the Faculties include:

- (i) Planning and co-ordination of Faculty's budgetary estimates
- (ii) Processing of students for credit transfer and approval

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- (iii) Processing of postgraduate students for admission
- (iv) Preparation, production and issuance of provisional transcripts
- (v) Processing appointment of external examiners
- (vi) Conducting oral examinations of postgraduate proposals and theses
- (vii) Presenting Faculty students for graduation
- (viii) Handling academic undergraduate students' disciplinary matters
- (ix) Handling disciplinary cases for postgraduate students

The other activities include:

- (i) Serving as Chief Examiners of the Faculties.
- (ii) Directing the Faculty's mission and objectives.
- (iii) Overall management of the Faculty's academic programmes as required by the Senate under various rules and regulations.
- (iv) Implementation of University's policy decisions and regulations for the Faculty.
- (v) Representation of the Faculty in the Senate and its Committees.
- (vi) Promotion and maintenance of a cordial working environment in the Faculty.

4.2. Process for Planning and Coordination of Faculty's Budgetary Estimates

4.2.1 Source

CU/SOP/FIND/24; CU/SOP/ACAD/16-21; 34-37; 42-44

4.2.2 Required inputs/resources

- List of items required by each department
- Guidelines from Finance Officer
- Venue and Stationery

4.2.3 Expected outputs

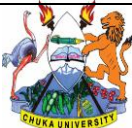
- Faculty Budgetary Estimates

4.2.4 Receiver

CU/SOP/FIND/24; CU/SOP/DVCF/02; CU/SOP/VCIM/01; Council; MoE; Government

4.2.5 Procedure details

No.	Description	Output	Responsibility
1.	The Dean invites Departments in the Faculty to prepare and submit budget estimates in the first quarter of a financial year.	Budgetary estimate memo	Dean
2.	The CODs in the Faculty prepare their departmental budget estimates and forward to the Dean one month from the date of call.	Budget drafts	CODs
3.	Departmental budgetary estimates are consolidated and tabled in a Faculty Board meeting in second quarter per year.	Faculty consolidated budget draft and meeting memo	Dean

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4.	The Board discusses the budgetary estimates, rationalizes and adjusts the estimates	Minutes	Faculty Board Members
5.	The consolidated Faculty budget is corrected based on the recommendations of the Faculty Board members.	Corrected Faculty Budget Draft	Dean
6.	The corrected Faculty Board budget is submitted to the Management to consolidate into a University budget estimates according to procedure CU/SOP/FIND/2.	Proposed Faculty budget	Dean

4.3. Process for Credit Transfer and Approval

4.3.1 Source

In-service students; CU/SOP/ACAD/16-21; 34-37; 42-44

4.3.2 Required inputs/resources

- Statutory requirements on credit transfer
- Application forms
- Credit Transfer Policy
- Curriculum
- List of approved credit transfer units

4.3.3 Expected outputs

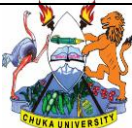
- Recommendation for approval

4.3.4 Receivers

In-service students; CU/SOP/ACAD/16-21; 34-37; 42-44' CU/SOP/RACA/05

4.3.5 Procedure details

No.	Process details/description	Output	Responsibility
1.	The Departments prepare lists of credit transfer courses and tables in the Faculty Board for consideration and approval.	Departmental credit transfer courses list Minutes	CODs
2.	Students submit courses for credit transfer to the Dean through the COD within 14 days after registration, together with a copy of transcript certified by the respective COD.	Credit transfer application forms	Students
3.	The Dean receives credit transfer requests for approval from all Departments in the Faculty and, in consultation with CODs, approves them (refer to Credit Transfer Policy)	Approved credit transfer forms	Dean
4.	The Dean communicates the decision to the R (AA), and student through the COD.	Approved CTs, Approval or decline letters	Dean

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4.4. Process for Processing of Postgraduate Students for Admission

4.4.1 Source

Applicants; CU/SOP/ACAD/16-21, 34-37, 42-44

4.4.2 Required inputs/resources

- Admission guidelines (Refer to BPGS)
- Statutes; Reference letters
- Application package with testimonials

4.4.3 Expected outputs

- Application recommendations

4.4.4 Receiver(s)

CU/SOP/ACAD/16-21, 34-37, 42-44; CU/SOP/BPGS/13

4.4.5 Procedure details

No.	Process details/description	Output	Responsibility
1.	The Dean receives the application package from the CODs with recommendations and mandatory testimonials.	Application package with COD's recommendations	CODs
2.	The Dean, on behalf of the Faculty Board, recommends the applicant appropriately and returns the package to the Director (BPGS).	Application package with Dean's recommendations	Deans
3.	The Director (BPGS) processes the application following the Graduate School procedure (CU/SOP/BPGS/13)	BPGS Minutes	Director (BPGS)
4.	The Dean receives a copy of the final verdict communicated to the applicant	Letter (admission or decline)	Director (BPGS)

4.5. Process for Preparation, Production and Issuance of Provisional Transcripts

4.5.1 Source

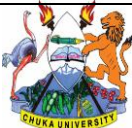
CU/SOP/ACAD/6-11, 34-37, 42-44; Senate

4.5.2 Required inputs/resources

- Individual results for all courses for each student
- Consolidated mark sheets
- Venue
- Stationery
- Printer/Computer

4.5.3 Expected outputs

- Provisional transcripts signed by the Dean.

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4.5.4 Receiver(s)

Students; CU/SOP/ACAD/16-21; 34-37; 42-44

4.5.5 Procedure details

No.	Process details/description	Output	Responsibility
1.	Deans of Faculties present results to Faculty Board of Examiners for deliberation, compensation and approval.	Moderated consolidated mark sheets/Minutes	Dean
2.	Deans of Faculties forwards Faculty-approved results to the Senate through the R (AA) for deliberation and approval.	Forwarding letter Pass/resit lists with appropriate rubrics	Dean
3.	The Senate completes approving moderated examination results for two consecutive semesters in the month of July of each calendar year, thereby authorizing the Dean to produce provisional transcripts.	Senate Minutes Copy of results approved by Senate	Senate
4.	The Dean instructs the Faculty Administrator to transfer the marks for all the courses attempted in an academic year to a transcript form coded (CU/FACU/==).	Soft copies of transcripts	Dean
5.	The Faculty Administrator prints the provisional transcript for each student.	Hard copies of transcripts	Dean
6.	The transcripts are signed by the Dean or designated representative, stamped and forwarded to respective Departments for issuance to the students.	Signed transcripts Forwarding letter	Dean
7.	The transcripts are issued to the students in the month of August or prior to the beginning of a new academic year. a) Provisional transcripts are issued singly at the end of every academic year and are not consolidated for the entire programme. b) The provisional transcripts are used to update students on their progress prior to graduation and issuance of a final consolidated transcript by the R (AA).	Signed transcripts	Dean

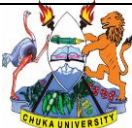
4.6. Process for Postgraduate Theses/Projects Examination

4.6.1 Source

CU/SOP/ACAD/16-21; 34-37; 42-44

4.6.2 Required inputs/resources

- Theses/projects

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- External examiner
- Submission forms
- Supervisors
- Examination reports
- Internal examiner

4.6.3 Expected outputs

- Examined theses/projects
- Examiners' reports
- Thesis examination ranking forms

4.6.4 Receiver(s)

CU/SOP/RACA/05; Students

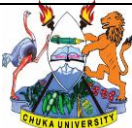
4.6.5 Procedure details

No.	Process Details/Description	Output	Responsibility
1.	The Dean of Faculty receives the thesis submission package from the respective COD and approves the external examiner if found qualified and forwards the thesis submission package to the Director (BPGS) for final processing (CU/SOP/BPGS).	Thesis submission package	Dean
2.	The Director (BPGS) posts the thesis to the external examiner, accompanied with a letter of appointment on behalf of the Vice-Chancellor and Senate.	Thesis and forwarding letter	Director, BPGS
3.	One external examiner and two internal examiners are requested to examine the thesis, write an evaluation report, rank it using a prescribed guide and return it within one month from the date of postage.	Reports, examination ranking forms and examined theses	Director (BPGS)
4.	After all reports are received from the respective thesis examiners, the student is scheduled for oral defense by the Graduate School in consultation with the Dean of the Faculty concerned.	Defense schedule	Director (BPGS)
5.	The student is orally examined according to Faculty procedure (CU/SOP/FACU/6-10).	Defense minutes	Dean and Director (BPGS)

4.7. Process for Oral Examination of Postgraduate Students' Proposals

4.7.1 Source

CU/SOP/ACAD/16-21; 34-37; 42-44

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4.7.2 Required inputs/resources

- Six copies of proposal
- Panel of examiners
- Candidate

4.7.3 Expected outputs

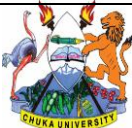
- Approved/deferred/failed proposal
- Minutes

4.7.4 Receiver(s)

CU/SOP/BPGS/13; CU/SOP/ACAD/16-21; 34-37; 42-44

4.7.5 Procedure details

No.	Process Details/Description	Output	Responsibility
1.	Six copies of bound thesis-proposals signed by the candidate and the supervisors are received in the Faculty.	Proposal copies	Faculty Administrator
2.	The Dean appoints Faculty Board of Examiners for the specific candidate as provided for in the University Statutes.	Appointment letters	Dean
3.	The Dean distributes the proposal to examiners 2 weeks before oral examination.	Forwarding letter Copy of proposal	Dean
4.	The student and examiners are invited for the oral presentation in writing of the date, venue and time of presentation.	Letters	Dean
5.	At the beginning of examination, the Chair welcomes the student to the meeting and gives order of examination (20 minutes for presentation and 40 minutes for discussion)	Minutes	Faculty Administrator
6.	At the end of the examination, the Chair requests the candidate to leave the examination room so that the examiners can deliberate on the presentation and give the verdict by consensus or through secret ballot on prescribed form (CU/FACU/FORM/==).	Forms with Ranking	Examiners
7.	The Chair calls the candidate back into the room and announces the Examiners' verdict. The candidate is given seven days to collect minutes of the meeting and annotated proposal to use in making corrections.	Minutes	Faculty Administrator
8.	A pass student is given 30 days to effect the corrections and proceed to the next level.	Corrected proposal and certificate of correction	Student
9.	A copy of the minutes, together with the revised proposal and certificate of correction	Signed forwarding letter and examined	Dean

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	are submitted to the Board of Postgraduate Studies for further processing according to procedure CU/SOP/BPGS/13.	proposal	
10.	If the student fulfils all the requirements, permission is granted to implement the proposal under supervision and guidance of the assigned Lecturers/Supervisors.	Two letters: authorizing the research proposal and appointing supervisors	COD Dean Director, BPGS

4.8. Process for Presenting Faculty Students for Graduation

4.8.1 Source

CU/SOP/BPGS/13

4.8.2 Required inputs/resources

- Mark sheets
- Lecturers
- Venue
- Stationary
- Gowns
- Invitation cards

4.8.3 Expected outputs

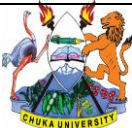
- Graduation list and Graduants

4.8.4 Receiver(s)

CU/SOP/RACA/05; CU/SOP/DVCA/03; CU/SOP/VCIM/01

4.8.5 Procedure details

No.	Process details/description	Output	Responsibility
1.	At the end of each year of study, the Dean of Faculty receives moderated examination results after processing from academic Departments (Ref. CU/SOP/DEPT/16-21).	Consolidated spreadsheet	Dean
2.	The results are prepared into consolidated spread sheets, showing grades and marks, discussed in the Faculty Board of Examiners for presentation to the Senate. (a) Students are compensated following rules and guidelines on compensation of marks (CU/RACA/COMP).	Senate results report Minutes	Dean
3.	At the end of the Faculty Board of examiners meeting, the Dean of Faculty prepares the results of all courses taken in a year into summary sheets showing weighted	Senate results report Minutes	Dean

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	percentage averages and presents yearly pass lists to the Senate for approval. (a) The students are advised on whether to proceed to the next year of study, resit/retake failed courses, or be discontinued, depending on the performance.		
4.	At the end of the students' programme of study, the Dean of Faculty produces protracted students' examination results for presentation to the Senate for approval of cumulative weighted averages and graduation pass lists.	Protracted students' examination results	Dean
5.	The Dean invites students to check the contents of their graduation lists such as spelling and arranging of names.	Graduation list	Dean
6.	The Dean presents the graduation pass lists to the Senate for ratification.	Graduation pass list	Dean
7.	The Dean submits the graduation lists to the R (AA) to prepare the graduation booklet.	Letter of submission Graduation booklet	Dean Registrar (AA)
8.	The graduation ceremony is organised by the Graduation Committee and graduands are presented for conferment of degrees and award of Diplomas and Certificates	Grandaunts	Deans DVC (ARSA) Vice-Chancellor Chancellor

4.9. Process for Handling Academic Undergraduate Students' Disciplinary Matters

4.9.1. Source

Complainant

4.9.2. Required inputs/resources

- Examination malpractice report
- Venue
- Malpractice evidence
- Incidence reporting form

4.9.3. Expected outputs

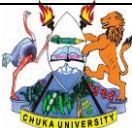
- Verdict letter

4.9.4. Receiver(s)

CU/SOP/RACA/05; CU/SOP/DVCA/03; CU/SOP/VCIM/01

4.9.5. Procedure details

No.	Process details/description	Output	Responsibility
1.	Examination malpractice is immediately	examination	Invigilator

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	reported in writing by the chief invigilator through the Chief Examiner/COD to the Dean of Faculty where the course is taught. (a) The report includes statements by the student involved, invigilators and examiners.	malpractice report	
2.	The Dean convenes a Faculty Students' Disciplinary Committee to deliberate on the case, not later than two (2) weeks after the end-of-semester examinations. (a) Disciplinary Committee membership is as stipulated in University Statutes/catalogue.	Invitation letters Minutes	Dean
3.	The recommendations of the Faculty Students' Disciplinary Committee are reported to the Faculty Board of Examiners by the Chairperson of the Committee.	Disciplinary committee report	Dean Disciplinary committee
4.	The Faculty Board of Examiners deliberates and submits its recommendations to the Senate through the R (AA) within one month, but before the Senate deliberates on the relevant examination results	Faculty board disciplinary report	Dean Faculty board
5.	The Senate deliberates on the recommendation and passes a verdict.	Minutes	Senate
6.	The verdict of the Senate is communicated to the student by the R (AA).	Letter	Registrar (AA)

4.10. Process for Handling Academic Postgraduate Students' Disciplinary Matters

4.10.1 Source

Complainant

4.10.2 Required inputs/Resources

Discipline/complaint statements
Faculty Disciplinary Committee members
Statutes/Students' Information Handbook

4.10.3 Expected outputs

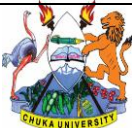
Disciplinary report

4.10.4 Receiver

CU/SOP/RACA/05; CU/SOP/DVCA/03; CU/SOP/VCIM/01

4.10.5 Procedure details

No.	Process Details/Description	Output	Responsibility
1.	Examination malpractice is reported within	Examination	Invigilator

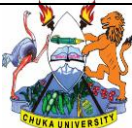
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	24 hours in writing by the invigilators through the chief examiner/COD to the Dean of the respective Faculty. (a) The report includes statements by accused student, invigilators and examiners.	malpractice report	
2.	On receiving the report of examination malpractice, the Dean convenes a Faculty students' Disciplinary Committee to deliberate on the case, not later than two (2) weeks after the examinations period or after the malpractice is reported.	Invitation letters Minutes	Dean
3.	Membership of the Postgraduate Students' Disciplinary Committee is as follows: (a) The Dean of Faculty where the student is registered – Chairman (b) Two (2) Chairmen of Departments (the Department where the course was taught and the Department where the student was registered, or another Chairman from the same Faculty if the student is registered in the same Department). (c) Two (2) Faculty representatives of the rank of Lecturer within the Faculty where the course was offered. (d) Representative from Graduate School.	Disciplinary committee report	Dean Disciplinary committee
4.	The recommendation of the Faculty Students' Disciplinary Committee is reported to the Faculty Board of Examiners and the Senate as soon as possible, but before the Senate deliberates on the relevant examination results.	Faculty board disciplinary report	Dean Faculty board
5.	The Senate deliberates on the recommendation and makes a verdict.	Minutes	Senate
6.	The R (AA)/Director (BPGS) communicates the verdict of the Senate to the student.	Letter	Registrar (AA)

5.0 RECORDS/RETAINED DOCUMENTED INFORMATION

Refer to the Departmental Records Master List (Index)

- Interfaculty transfer forms
- Credit transfer forms
- Minutes
- Approved postgraduate application forms
- Transcripts issuance list

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- Graduation booklet
- Faculty disciplinary reports
- Copies of Letters

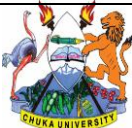
6.0 KEY PERFORMANCE INDICATORS/QUALITY OBJECTIVES

Refer to individual/separate Departmental Annual Work Plans, Charters and Objectives.

- Number of budget proposal for the faculty
- Number of approved credit transfer forms
- Number of postgraduate students admitted
- Number of signed transcripts
- Number of graduates

Quality Objectives

Linked Strategic Objective(s)			
SO 1: Expansion of Relevant Market-Driven Programmes			
Quality Objective 1: To increase academic programme by at least one per year up from none and incorporate customer and market needs			
Strategy (Actions/Activities required to achieve the objective)			
1. Carry out market survey			
2. Benchmarking			
3. Draft curricula			
4. Organize a stakeholder's workshop			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Dean/COD Lecturers Senate Director (BPGS/BUSF)	Stakeholders Stationery/Funds Meeting venues Regulations, standards and guidelines	August 2018	Number of new approved programmes
Review dates:	Quarterly		
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			
Quality Objective 2: To increase annual undergraduate students admission by 5% and postgraduate students by 30%, and similarly those graduating in top grades			
Strategy (Actions/Activities required to achieve the objective)			
1. Design, develop and launch new programmes that are attractive			
2. Advertise the available academic programmes			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Dean/COD Lecturers ICT manager	Funds Brochures to market	Annually	% of admitted undergraduate and postgraduate students % of graduates with top grades
Review dates:	Semesterly		

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Linked Strategic Objective(s)			
SO 3: Enhancement of Academic Competitiveness of the University			
Quality Objective 3: To increase students research proposal defense by 10% per semester			
Strategy (Actions/Activities required to achieve the objective)			
<ol style="list-style-type: none"> 1. Composition and invitation of the panel of experts. 2. Circulate proposal copies to readers, at least seven (7) days to the defense. 3. Invite students due to defend. 4. Book a venue for the defense. 5. Prepare the ballots. 			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Dean COD Lecturers Faculty Administrator	Stationery Meeting venues Power point projector	Annually	Percentage increase in proposals defended
Review dates:	Monthly		
Linked Strategic Objective(s)			
SO 24: Development and Projection of a Positive Image of the University			
Quality Objective 4: To increase correctly automated student records by 10% every semester			
Strategy (Actions/Activities required to achieve the objective)			
<ol style="list-style-type: none"> 1. Maintain a file for every student in the faculty 2. Update students' details in the Navision system 			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Dean Faculty Admin. Clerk	Stationery Internet connection Computers and printer	Every end of the semester	Percentage of automated students' data in Navision
Review dates:	Two months after the beginning of the semester		
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			
Quality Objective 5: To reduce results processing time from two months to one month after receiving externally moderated results from Departments			
Strategy (Actions/Activities required to achieve the objective)			
<ol style="list-style-type: none"> 1. Prepare the spreadsheet 2. Hold Faculty Board meeting 			
Responsibility	Resources Required	Timeline	Measure of Success (KPIs)
Deans Lecturers Faculty registrar	Stationery Meeting venue	Annually	Time taken to complete consolidation of spreadsheets
Review dates:	Monthly from July of each year		



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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 as at 20th August, 2019

Department: CU/SOP/FACU/06-10, 45&46 – Faculty Management

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

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%

Risk name/ description	Risk Consequences	Likelihood (L)	Consequence (C)	Potent Risk (L x C)	Mitigations/ controls	Risk Owner	Monitoring (When)	Actual Risk				
								LA	CA	RI= LA*CA	RR%= RI/PR	EC%
Delayed designing, developing, reviewing, approving of academic programmes	University may lose good reputation Loss of revenue	2	3	6	Timely processing and accreditation of programmes	COD Deans DVC (ARSA) VC	Monthly	2	1	2	33%	67%
Low enrolment of students Non-responsive/ attractive academic programmes	Loss of revenue Retrenchment of staff	1	3	3	Publicity and advertisements Austerity measures on expenditure	VC DVC (AFPD) DVC (ARSA) Deans	Semesterly	1	1	1	33%	67%
Ineffective teaching	Unqualified graduates Bad reputation of the university	1	3	3	Teaching evaluation Supervision	COD QA&PC Deans	Semesterly	1	1	1	33%	67%
Giving credit transfer to unqualified candidates	Unqualified graduates	1	3	3	Thorough check up on the criteria during the credit transfer process Verify certificates	COD Dean	Quarterly	1	0	0	0%	100%
Admitting unqualified students for postgraduate studies	High failure rate Bad reputation	2	2	2	Thorough scrutiny during admission Certificate search	COD Deans Registrar	Semesterly	2	1	2	50%	50%
Manipulation of marks	Unqualified graduates Bad reputation	3	3	9	Data protection with passwords Designated system operators System audit trail	Deans ICT Manager	Semesterly	3	1	3	33%	67%
Missing marks	Failure to graduate Bad reputation	1	3	3	Proper record keeping Data protection	Deans ICT Manager	Semesterly	1	1	1	33%	67%



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Opportunities Register

SN	Opportunities	Action plan	Timeline	Effectiveness %
1	Increasing demand for higher education and professional programmes	Processed new curricula and forwarded them to boards of undergraduate and postgraduate studies	Once per year	100%
		Processed reviewed curricula and forwarded them to boards of undergraduate and postgraduate studies	Once a cycle – 4 years for Bachelor, 2 years for Masters, 3 years for PhD	70%
2	Environment requiring conservation through research and extension	Participated in organized community outreach activities	One a year	100%
3	-Favourable and populous catchment areas and a growing national population -Proximity to rapidly growing urban centres	Processed curricula and short courses for part-time/work-based learning/admission	One per year	60%
4	-Linkages with business partners & -Goodwill of industries	Initiated MoUs for research collaborations, staff and student exchange	One per year	100%
5	Availability of donors, scholarships and fellowships	Recommended students and staff for scholarships and fellowships	As need arises	100%



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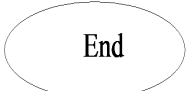
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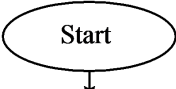
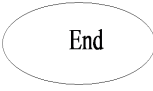
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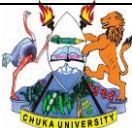
APPENDIX I: PROCESS MAPS

i. Planning and Coordination of Faculty's Budgetary Estimates

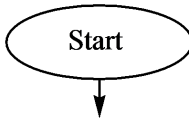

RESPONSIBILITY	ACTION
DEAN	<p style="text-align: center;">  ↓ </p> <p>Call for preparation of budgetary estimates in the first quarter of a financial year preceding the one in which funds are needed for expenditure</p>
DEAN AND CODS	Preparation of budgetary estimates within one month from the date of call
DEAN	Consolidation of budgetary estimates by 31 st October
FACULTY BOARD	Discussion, rationalization and adjustments of the budgetary estimates by 30 th November
DEAN	Corrects based on the recommendations by mid-December
DEAN	Submits to the Management by 20 th December
	

ii. Credit Transfer and Approval

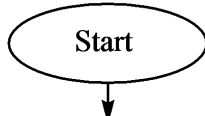
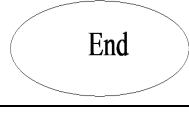
RESPONSIBILITY	ACTION
CODS	<p style="text-align: center;">  ↓ </p> <p>Preparation of a list of credit transfer courses</p>
FACULTY BOARD	Approval of credit transfer courses
STUDENT	Application for credit transfer, accompanied with a copy of transcript, to be submitted to the Dean through the COD within 14 days after admission/registration.
COD	Certification and endorsement of documents
DEAN	Approval of credit transfer NO/YES
DEAN	Communication of the decision to the student and the R (AA) through the Chairperson of Department.
	

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iii. Postgraduate Students Admission

RESPONSIBILITY	ACTION
STUDENT	 Submission of application package
COD	Recommendation of application NO/YES
DEAN	Receiving of application package from the COD with recommendations and mandatory testimonials Recommendation of the application on behalf of the Faculty Board and returning to the Director (BPGS) NO/YES
DIRECTOR (BPGS)	Processing of the application following the Graduate School procedure (CU/SOP/BPGS/13) NO/YES
DIRECTOR (BPGS)	Communication to the candidate <div style="text-align: center;">  </div>

iv. Preparation, Production and Issuance of Provisional Transcripts

RESPONSIBILITY	ACTION
SENATE	 Approval of moderated examination results for two consecutive semesters in the month of July of each calendar year
SAA/AA	Transferring of the marks for all the courses attempted in an academic year to a transcript format (CU/FACU/==).
SAA/AA	Printing of the provisional transcripts individually for each student
DEAN	Signing and stamping of the transcripts
SAA/AA	Issuance of transcripts to the students in the month of August or prior to the beginning of a new academic year
	



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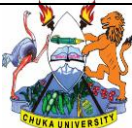
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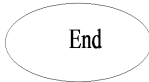
v. Appointment of External Examiners

RESPONSIBILITY	ACTION
COD	<p style="text-align: center;">Start</p> <p>Forwarding to the Dean the thesis submission package</p>
DEAN	Approval of the external examiner NO/YES
DEAN	Forwarding the thesis submission package to the Director (BPGS) for final processing (CU/SOP/BPGS)
DIRECTOR, BPGS	Posting of the thesis to the external examiner, accompanied with a letter of appointment on behalf of the Vice-Chancellor and Senate
EXTERNAL EXAMINER	Examination of the thesis, ranking using a prescribed guide and writing an evaluation report to be returned within one month from the date of postage.
DIRECTOR, BPGS	Scheduling of oral defence by the Graduate School in consultation with the Dean of the Faculty concerned
	End


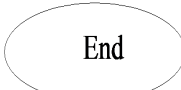
vi. Oral Examination of Postgraduate Students' Proposals

RESPONSIBILITY	ACTION
STUDENT	<p style="text-align: center;">Start</p> <p>Forwarding to the Faculty 6 copies of bound thesis-proposals signed by the candidate and the supervisors</p>
DEAN	In consultation with the Director (BPGS) setting of an appropriate date for the oral examination of the proposal following (CU/SOP/FACU/6-10)
DEAN	Appointment of Faculty Board of Examiners for the specific candidate as provided for in the University Catalogue
SAA/AA	Distribution of thesis proposals to all examiners 2 weeks before the oral examination
SAA/AA	Booking for an examination room and organizing for necessary equipment for the presentation
DEAN	Members of the Faculty and students are invited to attend the oral presentation of the proposal
DEAN	Outlines of the order in which the student will be asked questions by the examiners present
DEAN	The student is given 20 minutes to present the proposal
FACULTY BOARD OF EXAMINERS	The examiners are invited to ask questions or give comments/suggestions regarding the presentation by the candidate
STUDENT	Responding to questions, comments and suggestions given by the examiners using approximately 40 minutes
DEAN	Requesting the candidate to leave the examination room so that the examiners can deliberate on the presentation
FACULTY BOARD OF	Deliberation in detail on the presentation by the candidate in terms of his/her

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EXAMINERS	abilities and knowledge and contribution to scholarship in the discipline. NO/YES
FACULTY BOARD OF EXAMINERS	Passing of the verdict through secret ballot or by consensus using a prescribed form (CU/FACU/FORM/==)
DEAN	Calling of the candidate back into the room to receive the verdict
STUDENT	If the student passes, he/she is given a timeline, usually 30 days, to effect the required corrections and proceed to the next level. NO/YES
SAA/AA	The candidate is given seven days to collect minutes of the meeting and annotated proposal to use in making corrections
SAA/AA	A copy of the minutes, together with the revised proposal, is submitted to the BPGS for further processing according to procedure CU/SOP/BPGS/13
ASSIGNED LECTURERS/ SUPERVISORS	If the student fulfils all the requirements, permission is granted to implement the proposal under supervision and guidance of the assigned Supervisors
	

vii. Presenting Faculty Students for Graduation

RESPONSIBILITY	ACTION
SAA/AA	 ↓ Receiving of moderated examination results from academic Departments
SAA/AA	Preparation of a consolidated spread sheets, showing grades and marks.
FACULTY BOARD OF EXAMINERS	Tabling and discussing of results in the Faculty Board of examiners and where possible compensation of marks done according to the rules and guidelines on compensation of marks
SAA/AA	Results of all courses taken in a year are prepared in summary sheets showing cumulative weighted percentage averages of students indicating whether to proceed to the next year of study, retake failed courses, or be discontinued, depending on the performance. A pass/graduation list is prepared for those who are to graduate.
SENATE	Approval of yearly pass lists and graduation list. NO/YES
STUDENTS	Checking contents of graduation lists e.g. spelling and name arrangement
SENATE	Graduation pass lists sent to the Senate for ratification NO/YES
DEAN	Presentation of graduands for conferment of degrees and award of Diplomas
CHANCELLOR	Conferment of degrees and award of Diplomas
	



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viii. Academic Undergraduate Students' Disciplinary

RESPONSIBILITY	ACTION
CHIEF INVIGILATOR	<p style="text-align: center;">Start</p> <p>Reporting of examination malpractice immediately in writing through the COD to the Dean of Faculty where the course is taught.</p>
DEAN	Convening of a Faculty Students' Disciplinary Committee, as stipulated in the University statutes, to deliberate on the case, not later than two (2) weeks after the end-of-semester examinations
DEAN	Reporting of findings of the Faculty Students' Disciplinary Committee to the Faculty Board of Examiners
DEAN	Submission of Faculty Board of Examiners recommendations to the Senate through the R (AA) within one month, but before the Senate deliberates on the relevant examination results
SENATE	Deliberation of the recommendation and ratifies a verdict according to the CU Statutes. NO/YES
R (AA)	Communication of verdict of the Senate to the student
	End

ix. Academic Postgraduate Students' Disciplinary

RESPONSIBILITY	ACTION
INVIGILATORS	<p style="text-align: center;">Start</p> <p>Reporting of examination malpractice within 24 hours or by the next day in writing to the Dean through the COD</p>
DEAN	Convening of a Faculty Students' Disciplinary Committee, as stipulated in the University statutes, to deliberate on the case, not later than two (2) weeks after the end-of-semester examinations or after the malpractice is reported
DEAN	Reporting of findings of the Faculty Students' Disciplinary Committee to the Faculty Board of Examiners
DEAN	Submission of Faculty Board of Examiners recommendations to the Senate through the R (AA) within one month, but before the Senate deliberates on the relevant examination results
SENATE	Deliberation of the recommendation and makes a verdict according to the CU Statutes. NO/YES
R (AA)	Communication of verdict of the Senate to the student
	End