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# CHUKA UNIVERSITY

## Specific Operating Procedure


**For**

## Academic, Research and Extension (CU/SOP/DVCA/3)

### Document Review Sheet


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

	Name & Signature	Position	Date
<b>Prepared by</b>	<b>Prof. D. K. Isutsa</b>	<b>Deputy Principal (AA)</b>	25.6.2012
<b>Reviewed by</b>	<b>Prof. D. K. Isutsa</b>	<b>Deputy Vice-Chancellor (AA)/MR</b>	01.3.2013
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## 1.0 AMENDMENT RECORD SHEET

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.

Date	Issue No.	Revision No.	Page No.	Subject of Review /Modification	Revised By HOD	Approved By CEO
1.3. 13	02	00	ALL	Deleted Steering Policies, Rules & Regulations on Planning, Development, Implementation, Evaluation & Management of Academic Programmes and renumbered processes to 5	Prof. Isutsa	Prof. Njoka
1.3. 13	02	00	ALL	Changed Quality Management Representative to Management Representative	Prof. Isutsa	Prof. Njoka
1.3. 13	02	00	ALL	Changed Deputy Principal to Deputy Vice-Chancellor	Prof. Isutsa	Prof. Njoka
1.3. 13	02	00	ALL	Changed procedures to processes, code from DACA to DVCA	Prof. Isutsa	Prof. Njoka
25.5.13	03	00	ALL	Revised entire procedure to capture extension processes	Prof. Isutsa	Prof. Njoka

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## **2.0 GENERAL**

### **2.1 Purpose**

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

### **2.2 Scope**


This procedure applies to and defines all the processes and activities performed directly by the DVC (AA). The activities relate to academic programmes, research and extension services, academic staff conduct, and student welfare.

### **2.3 References**

- Code of Conduct and Ethics for Public Universities, 2003
- Collective Bargaining Agreements (UASU, UNTESU, KUDHEIHA Workers)
- CU Charter, 2013
- CU Quality Manual
- CU Research Policy
- CU Statutes, 2013
- CU Strategic Plan (20012 – 2017)
- Current CU Performance Contract
- Current Customer Service Charter
- Current Students' Handbook
- Government Circulars and Relevant Acts
- ISO 9000:2005 Quality Management Systems – Fundamentals & Vocabulary
- ISO 9001:2008 International Standard Clauses 5, 7.1, 7.2, 7.3, 7.5, 8.0
- JAB Document D2C text document
- Students Record Maintenance System

### **2.4 Abbreviations/Acronyms**

CATs	Continuous Assessment Tests
COD	Chairman of Department
DVC (AA)	Deputy Principal (Academic Affairs)
HOD	Head of Department
HRM	Human Resource Management
JAB	Joint Admissions Board
MANB	Management Board
MR	Management Representative
R (AA)	Registrar (Academic Affairs)
SENA	Senate
SSP	Self-Sponsored Programmes

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## 2.5 Definitions

### SSP Students:

- Any applicant who applies directly to CU and is privately sponsored.
- Any applicant admitted to CU other than candidates admitted through JAB.

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

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

**Coordinator:** The Head of a Section of an Academic Department.

**Director:** The Head of a Board or a Directorate

**Librarian:** The Head of the University Library

## 2.6 Responsibility

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

## 3.0 ADMINISTRATIVE STRUCTURE

Academic Affairs Division is one of the two Divisions within Chuka University. The current administrative structure for the Division is as shown below.

## 4.0 PROCESSES

### 4.1. Overview

The Deputy Vice-Chancellor (Academic Affairs) is the head of the Academic Division of the University. The Academic Division is one of the two divisions of the University.

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

- (i) Coordination of Academic Matters
- (ii) Handling Students' Disciplinary Matters
- (iii) Production of Educational Materials
- (iv) Organisation of Academic Seminars, Workshops and Conferences
- (v) Coordination of Research and Publications
- (vi) Coordination of Extension and Outreach Activities

#### The other activities in the Division include:

- (i) Formulation and Provision of Policy Guidelines, Rules and Regulations on Planning, Development, Implementation, Evaluation and Management of Academic Programmes
- (ii) Guiding CODs, Deans, and Directors on Running of Academic Programmes and Conducting of Continuous Assessment Tests and Final Examinations
- (iii) Overseeing the Administration of the Students' Welfare Services
- (iv) Guiding CODs, Deans, and Directors in Vocational Training Services Provision.
- (v) Recommending Academic Staff for Short-term Training and Development
- (vi) Coordination of implementation and maintenance of ISO 9001:2008 QMS



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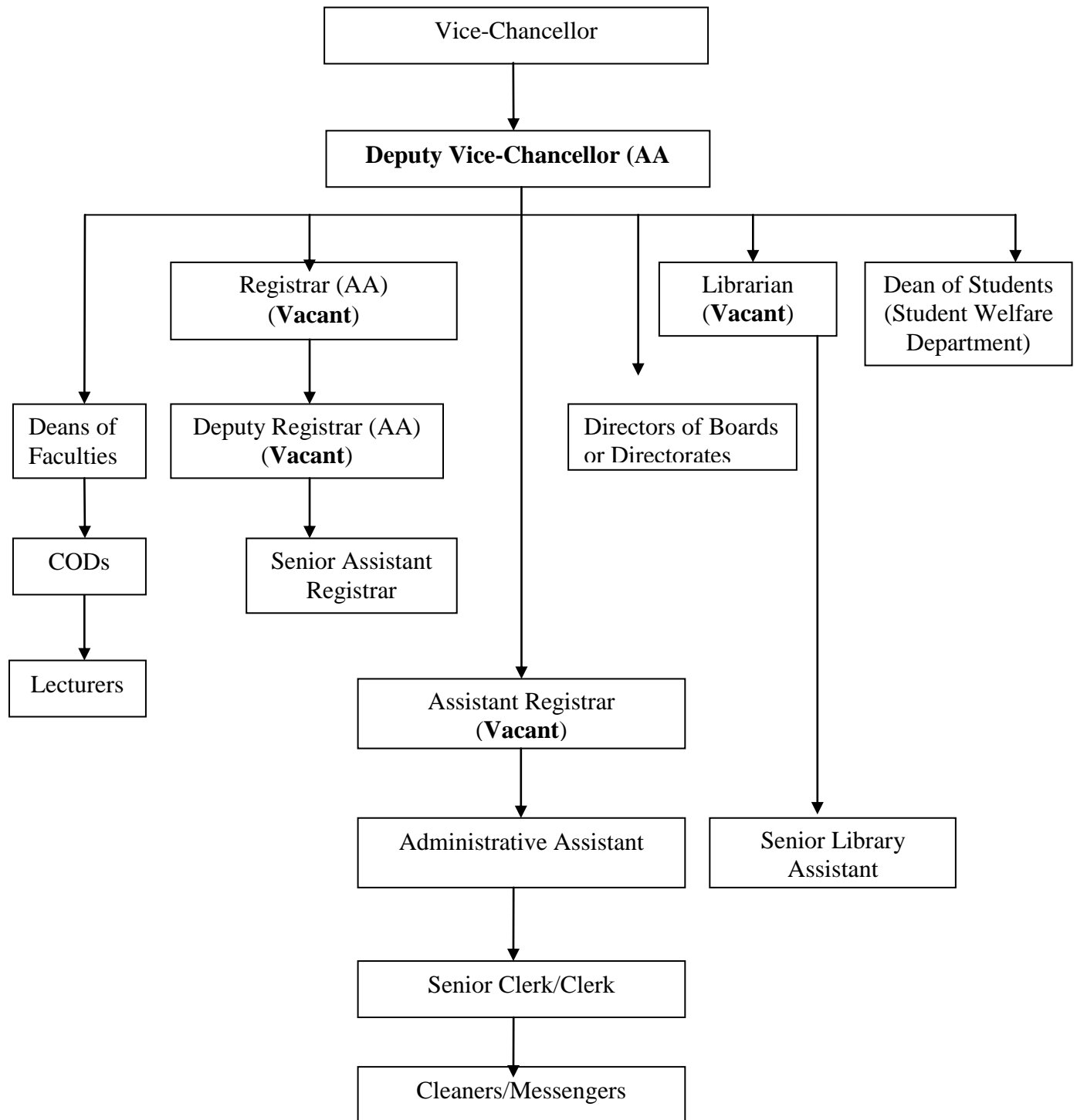
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#### **4.2. Process for Coordination of Academic Matters**

- (i) The DVC (AA) draws a calendar of meetings at the beginning of each academic year.
- (ii) Stakeholders refer matters to be dealt with by the Deans Committee to the DVC (AA).
- (iii) The DVC (AA) identifies a suitable date to hold the meeting, which should be two weeks from the date of receipt of the agenda items.
- (iv) The R (AA) draws the agenda and invites the Committee through written 7-day notice.
- (v) The meeting is held, matters are discussed, and minutes are recorded and kept.
- (vi) Resolutions are presented to the Senate/Management for ratification/noting.
- (vii) Resolutions are communicated to recipients through memos and circulars.

#### **4.3. Process for Handling Students' Disciplinary Matters**

- (i) The DVC (AA) receives a report of an incident from the VC/Dean of Students within four weeks from the date of the incident. (Refer to procedures for security, CU/SOP/SECD/30 and CU/SOP/STWD/15)
- (ii) The DVC (AA) receives the report and constitutes a Students Disciplinary Committee according to the Students' Handbook (2011) Clause 9.2 to discuss the case.
- (iii) The DVC (AA) submits the recommendation of the Students' Disciplinary Committee to the Senate for approval.
- (iv) The R (AA) communicates the verdict of Senate to the affected student(s) within two weeks from the date of approval by the Senate.


*(Refer to Current Students' Handbook)*

#### **4.4. Process for Production of Educational Materials**

- (i) The DVC (AA) receives a request from the Management or stakeholders.
- (ii) The DVC (AA) constitutes a Committee or forwards the request to a relevant existing committee/department, within one week.
  - (a) The Committee researches or writes to sources of information to supply it within a given timeframe.
- (iii) The Committee receives the requested information and arranges for compilation by the Office Assistant within a given timeframe.
- (iv) The Office Assistant submits the draft to DVC (AA) or Committee for editing/review within one month.
- (v) Corrections are incorporated by the Office Assistant within one week.
- (vi) The DVC (AA) reviews and approves the second draft.
- (vii) The final copy is submitted to the Procurement Department to source for a printer as per the Procurement Department Procedure (CU/SOP/PROD/25).
- (viii) The printed material is received, inspected and accepted.
- (ix) The printed material is circulated to users.

#### **4.5. Process for Organisation of Academic Seminars, Workshops and Conferences**

- (i) The DVC (AA) receives identified academic training needs from faculties/departments/stakeholders
- (ii) The DVC (AA), in consultation with stakeholders, enters the training needs into a training schedule.


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- (iii) Three months to the activity, the DVC (AA) gives Academic, Research and Extension Committee terms of reference to organise the function (Seminars, Workshops, Conferences or Symposia).
- (iv) The Committee develops a programme, identifies facilitators and draws a budget.
- (v) The programme and budget are submitted to the Principal/CEO for approval.
- (vi) After approval, the DVC (AA) invites the speakers through writing one month to the date of the event.
- (vii) The meeting is held as per the programme and notes are collected from the facilitators/presenters by the Committee.
- (viii) The notes are given to the Committee or Office Assistant to compile within three months into educational materials such as proceedings.
- (ix) The material is submitted to the DVC (AA) to review, edit, and approve for printing.
- (x) The final draft is posted on the University website (www.cuc.ac.ke), forwarded to the Procurement Department to source for a printer as per the Procurement Department Procedure (CU/SOP/PROD/25).
- (xi) The printed material is distributed to relevant users.

#### **4.6. Process for Coordination of Research and Publications**

- (i) Coordination of research, extension and consultancy is done in liaison with the Board of postgraduate Studies and Research.
- (ii) Coordination entails reviewing IRF budgets, setting research timelines, overseeing monitoring and evaluation of research projects, preparation of conference proceedings, and recommending CU researchers for consultancy.
- (iii) The DVC (AA) releases a call for proposals for internal research funding (IRF) using form, CU/DVCA/FORM/A in April of financial year.
- (iv) The Call is also extended to Ph.D. and Masters students, who must have successfully completed their oral examinations at Faculty level and registered in the Graduate School.
  - (a) Upon the expiry of the deadline, staff and students respond by submitting draft proposals within three (3) months.
- (v) The DVC (AA) and Director, Research assign reviewers.
- (vi) The reviewers are ratified and proposals meeting preliminary mandatory guidelines are prequalified by the Board of Postgraduate Studies and Research.
  - (a) Proposals failing preliminary mandatory guidelines are returned to authors to amend if slightly failing, or retain if grossly failing.
- (vii) The DVC (AA) forwards the proposals to reviewers with a cover letter and a review form (Ref CU/DVCA/FORM/C
- (viii) The reviewers review the proposals and submit a report within two (2) weeks.
- (ix) A second meeting is held to consolidate and average the scores.
  - (a) The winning proposals (60% and above marks) are approved for award of a grant.
  - (b) The proposals are returned to authors to amend and return within one (1) week, using reviewers' comments.
  - (c) The Principal Investigator (PI) is issued an award letter signed by the Vice-Chancellor (Ref CU/DVCA/FORM/D).
- (x) The PI applies for grants in tranches and implements the research to complete within two



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- (2) years from the date of award offer.
- (xi) The research is Monitored & Evaluated periodically (refer to CU Research Policy).
    - (a) Quarterly reports are submitted by the PI to the Board for review.
  - (xii) A final report is submitted in the prescribed format (CU/DVCA/FORM/B) by the PI at the end of the two years.
  - (xiii) Research reports are consolidated into bi-annual research reports.

#### **4.7. Process for Coordination of Extension and Outreach Activities**

- (i) All Departments in the University engage in pertinent extension and outreach activities.
- (ii) The activities pertain to exhibitions, shows, institutional linkages, consultancies and extension programmes.
- (iii) Structured linkages and partnerships are formalised through signing of MOUs/MOAs that are drafted, operationalised, monitored and evaluated by respective HODs.
- (iv) The VC signs the MOUs/MOAs/Consultancies on behalf of the University Council and the DVC (AA) witnesses.
- (v) The DVC (AA) receives and recommends extension and outreach requests and proposals as they are submitted by Departments and the VC approves them.
- (vi) The team leaders prepare programmes, budgets, invitations of participants and other logistics for the extension and outreach functions.
- (vii) The participants, staff and/or students execute the extension and outreach function.
- (viii) The team leader writes a progress report submitted to the relevant offices including the VC, DVC (AA), Director, Quality Assurance & Performance contracting and sponsors.

### **5.0 RECORDS**

- (i) Academic schedules/calendars
- (ii) Minutes of meetings
- (iii) Advertisement features from print media and memos
- (iv) Deans' Selection Document containing list of candidates
- (v) Report by the complainants/Statements by accuser, accused and witnesses
- (vi) Proceedings/attendance lists
- (vii) Research proposal review reports/Quarterly and annual progress reports
- (viii) Signed MOUs/MOAs


### **6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES**

#### **6.1 Indicators**

Refer to the Divisional Annual Work Plan/PC.


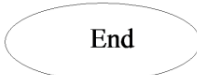
#### **6.2 Performance Objectives**

- (a) To recommend purchasing of learning resources in the Academic Departments.
- (b) To convene Deans' Committee Meetings to discuss academic matters.
- (c) To prepare and review CU Policy documents.
- (d) To organise forums for conferencing and staff training.
- (e) To recommend applicants for recruitment of quality academic staff.
- (f) To steer implementation of ISO 9001:2008 QMS in CU.


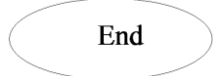
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## APPENDIX: PROCESS MAPS

### i. Procedure for Coordinating Academic Matters

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

### ii. Procedure for Production of Educational Materials

RESPONSIBILITY	ACTION
MANAGEMENT OR STAKEHOLDERS	 ↓ Material request, 6 months in advance
SENATE	Approval of requested material <span style="float: right;">NO</span> <span style="float: right;">YES</span>
DVC (AA)	Committee constitution or forwarding of the request to a relevant existing committee/department, within one week.
COMMITTEE	Sourcing of information for material.
OFFICE ASSISTANT COMMITTEE	Compilation and typing of information Submission of draft to DVC (AA) or committee for review within 1 month
OFFICE ASSISTANT	Incorporation of corrections within one week
DVC (AA)	Review and approval of the second draft
DVC (AA)	Submission to printer by Procurement Department (CU/SOP/PROD/25).
COMMITTEE	Receiving, inspection and acceptance of printed material. Circulation of printed material to users.
DEPUTY PRINCIPAL (AA)	


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### iii. Procedure for Handling Students' Disciplinary Matters

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

### iv. Procedure for Organisation of Academic Seminars, Workshops and Conferences

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

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**v. Procedure for Coordination of Research and Publications**

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

**vi. Process for Coordination of Extension and Outreach Activities**

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