	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ADMINISTRATION, FINANCE & PLANNING		

CHUKA UNIVERSITY

Standard Operating Procedure


For

Administration, Finance & Planning (CU/SOP/DVCF/2)

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.

	Name & Signature	Position	Date
Prepared by	Mr. J. K. Nkanatha	Senior Assistant Registrar (Administration & Planning)	25.6.2012
Reviewed by	Prof. D. K. Isutsa	Deputy Vice-Chancellor (AA)/MR	01.3.2013
Approved by	Prof. E. N. Njoka	Vice-Chancellor	25.3.2013

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ADMINISTRATION, FINANCE & PLANNING		

CONTENTS

DOCUMENT REVIEW SHEET	1
CONTENTS.....	2
1.0 AMENDMENT RECORD SHEET	3
2.0 GENERAL.....	4
2.1 Purpose.....	4
2.2 Scope.....	4
2.3 References.....	4
2.4 Definitions.....	4
2.5 Abbreviations.....	4
2.6 Responsibility.....	5
3.0 ADMINISTRATIVE STRUCTURE.....	5
4.0 PROCESSES	5
4.1 Overview.....	5
4.2 Process for Recruitment of Employees.....	7
4.3 Process for Review and Promotion of Employees.....	8
4.4 Process for Long-Term Human Resources Training and Development.....	8
4.5 Process for Disciplining Staff in Grades I-IV and A-F.....	8
4.6 Process for Budget Preparation, Revenue Collection and Expenditure.....	9
4.7 Process for Planning Development & Insurance of Infrastructures & Assets.....	9
4.8 Process for Handling of Medical Services Scheme for Staff and Students.....	9
5.0 RECORDS.....	9
6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES.....	10
APPENDIX I: PROCES MAPS.....	11

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ADMINISTRATION, FINANCE & PLANNING		

2.0 GENERAL

2.1 Purpose

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

2.2 Scope


This procedure shall apply to and define all the activities handled directly within the Administration, Finance and Planning Division.

2.3 References

- a) Anti-Corruption and Economic Crimes Act, 2003
- b) Chuka University Charter, 2013
- c) Collective Bargaining Agreements (UASU, UNTESU, KUDHEIHA Workers)
- d) CU Customer Service Charter, 2012
- e) CU Quality Manual
- f) CU Statutes, 2013
- g) CU Strategic Plan (2012-2017)
- h) Egerton University Act, 1987
- i) Industrial Relations Charter, 1980
- j) ISO 9001:2008 Standard Clauses 5.4, 6.1, 6.2, 6.3, 6.4, 7.1, 7.6, 8.0
- k) Public Officer Ethics Act, 2003.
- l) Public Procurement and Disposal Act, 2005
- m) Public Procurement and Disposal Regulations, 2006
- n) State Corporations Act Cap. 446

2.4 Abbreviations

CEO	Chief Executive Officer
CU	Chuka University
DVC (AA)	Deputy Vice-Chancellor (Academic Affairs)
DVC (AFP)	Deputy Vice-Chancellor (Administration, Finance and Planning)
R (AA)	Registrar (Academic Affairs)
R (AP)	Registrar (Administration and Planning)
AA	Administrative Assistant
FO	Finance Officer
CO	Catering Officer
EM	Estates Manager
CMO	Chief Medical Officer
HOD	Head of Department (either academic or administrative)
QA&PC	Quality Assurance and Performance Contracting
HRTDC	Human Resource Training and Development Committee

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE FOR ADMINISTRATION, FINANCE & PLANNING		

2.5 Responsibility

The Deputy Vice-Chancellor (Administration, Finance and Planning) has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose. In addition, the DVC (AFP) has the primary responsibility for providing the information from which the documentation for its processes can be compiled and for initiating action to keep the processes up to date. All departmental staff members are responsible for implementing and ensuring that this procedure is followed.

3.0 ADMINISTRATIVE STRUCTURE

The DVC (AFP) Office is one of the Divisions within the University. The current administrative structure for the Division is as shown below.

4.0 PROCESSES

4.1 Overview

The DVC (AFP) is the Head of the Administration, Finance and Planning Division and is primarily responsible for the management of Personnel matters, Finance, and University Assets.

The core processes of the Division include:

- (i) Coordination of Recruitment of Staff
- (ii) Handling Applications for Review and Promotion of Employees
- (iii) Coordination of Long-term Human Resource Training and Development
- (iv) Handling of Handling Staff Disciplinary Cases for Grades I-IV and A-F
- (v) Coordination of Budget Preparation, Revenue Collection and Expenditure
- (vi) Coordinating Planning Development of Infrastructure and Insurance of Assets
- (vii) Handling of Medical Services Scheme for Staff and Students

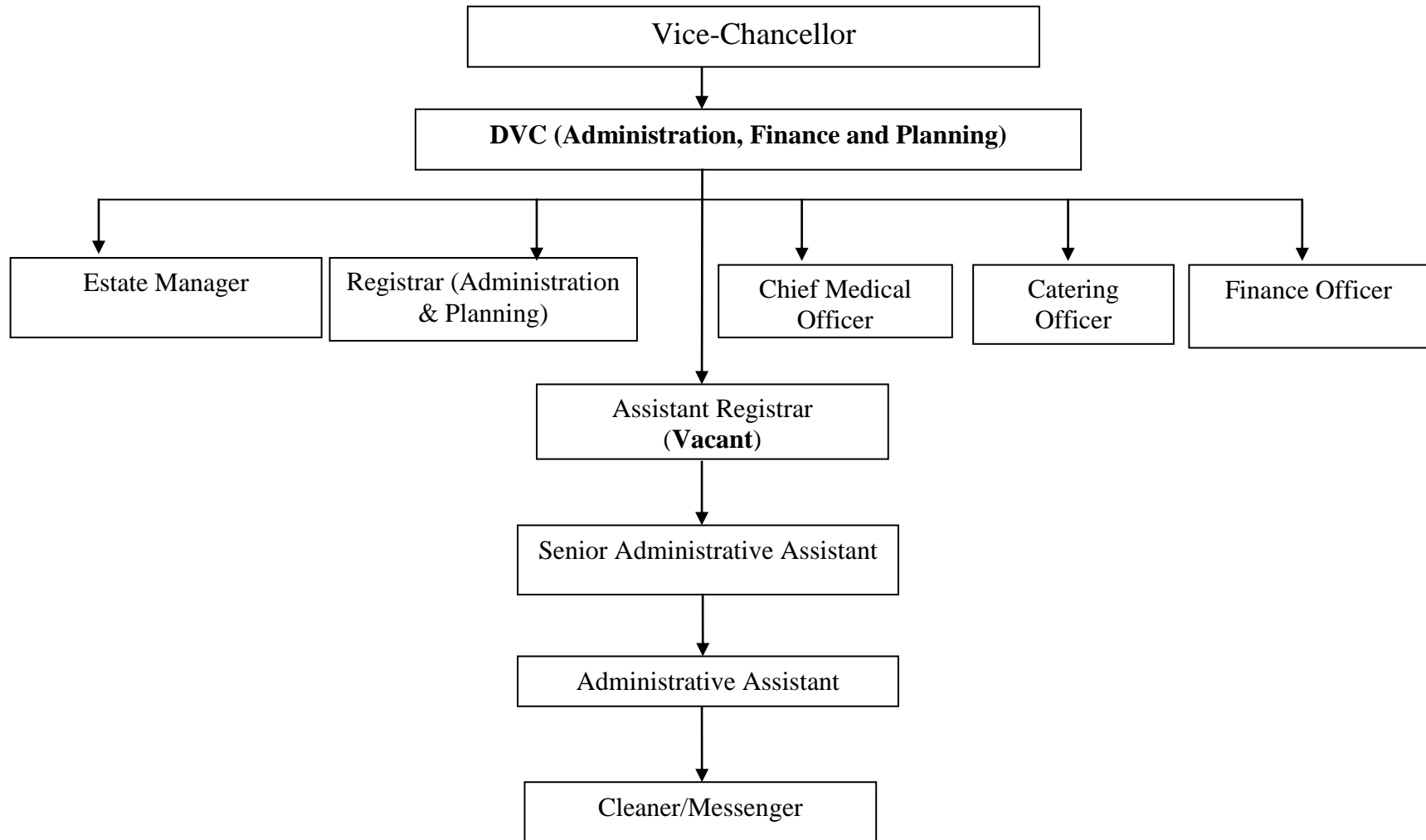
The other activities in the Division include:


- (i) Steering the administrative policies and regulations in the University.
- (ii) Coordination of Tendering to Procure Goods, Works and Services in liaison with the Procurement Department.
- (iii) Overseeing of Staff Performance Appraisal in liaison with HODs & QA&PC Directorate.
- (iv) Overseeing of the Catering Services in liaison with Catering Department.
- (v) Overseeing of Maintenance and Repair of Facilities in liaison with Estates Department.
- (vi) Handling of Environmental and Safety Measures in liaison with Estates Department.
- (vii) Allocation of Facilities to Staff in liaison with Administration and Planning Department.
- (viii) Chairing the Staff Welfare Committee.
- (ix) Overseeing calibration, maintenance and repair of office/laboratory/library equipment in liaison with Laboratories, Estates and Procurement Departments.
- (x) Overseeing Work Tickets Analysis in liaison with the Transport Officer.



Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
Issue No.: 02	Revision No.: 00

Document Title:
STANDARD OPERATING PROCEDURE FOR ADMINISTRATION, FINANCE & PLANNING



	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		

4.2 Process for Recruitment of Employees


- (i) The Management Board identifies the positions that need to be filled.
- (ii) The University Council approves the positions.
- (iii) The SAR (AP) draws an advert feature following official appointment criteria for approval by the Vice-Chancellor.
- (iv) The VC advertises the vacant positions to the public through two print media.
- (v) The applications are then received by the stated deadline (14 days).
- (vi) The applications are stamped by the registry to ensure there are no late submissions.
- (vii) The DVC (AFP) appoints a team to open the applications and summarise applicants.
- (viii) The details of the applicants are then keyed into the computer to prepare summary sheets for use in short-listing.
- (ix) The lists are issued to respective committees to short-list staff based on official staff appointment criteria.
- (x) Committees short-list the qualified candidates as per the set criteria.
- (xi) The DVC (AFP)/VC schedules the interview sessions for qualified candidates.
- (xii) The interviews are held as stipulated in the Statutes and minutes are taken.
- (xiii) The DVC (AFP) issues successful candidates with appointment letters within 1 week after the interview.
- (xiv) Those who accept the terms of employment sign the appointment letters and return one copy to the office of the R (AP) within 1 month from the date of issuance.
- (xv) Upon reporting to work the Office of the R (AP) staff keys employee details in the personnel data base and a file is opened with the payroll number of each staff.
- (xvi) The employee is deployed in the respective department within 1 day after reporting.
- (xvii) A pay change advice is prepared from the date of reporting advising the Finance Department to pay the employee (CU/SOP/RADVC/4; CU/SOP/FIND/24).

(Refer to Staff Appointment Criteria; Job Vacancy Advertisement)

4.3 Process for Review and Promotion of Employees

- (i) The DVC (AFP) receives requests for review and promotion from staff.
- (ii) The DVC (AFP) checks the adduced qualification of the staff and instructs the R (AP) accordingly within 1 week from the date of application.
- (iii) The R (AP) issues the employee a response with regard to the request if they qualify or do not qualify for review or promotion within 4 weeks from the date of application.
- (iv) For employees who qualify, a date for interview is set and the R (AP) invites the candidates to attend the interview in 2 weeks from the date of dispatch of the letter.
- (v) A respective committee meets to interview the staff for promotion as per official criteria.
- (vi) Successful candidates are issued with promotion letter 1 week from the date of review.
- (vii) The R (AP) prepares a PCA advising the Finance Department to adjust the pay for the successful candidates.
- (viii) The unsuccessful candidates are given six months before the next review.

4.4 Process for Long-term Human Resource Training and Development

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		


- (i) The employee writes a request for training need through their HOD, indicating the facilitation and duration required.
 - (a) Training requests lasting under 2 weeks and not requiring great expenditure are processed administratively.
- (ii) The respective HOD forwards the request to the Human Resource Training and Development Committee (HRTDC) within 1 week from the date of receipt to deliberate as per the HRTD Policy within 4 weeks from the date of application.
- (iii) If the staff meets training requirements, the HRTDC approves the training.
- (iv) The DVC (AFP) issues the employee with an approval letter within 1 week from the date of Committee meeting.
- (v) The DVC (AA) issues the staff training progress forms (CU/MR/DVCA/FORM/1) to be filled and returned at intervals until the training is completed.

4.5 Process for Disciplinary Procedure for Staff in Grades I-IV and A-F

- (i) The DVC (AFP) receives the misconduct report from the HOD or any other complainant.
- (ii) A warning letter is issued to the employee after completion of review or investigation.
- (iii) In case of continued misconduct, the R (AP) issues a disciplinary letter to the employee asking them to respond within a specified period why disciplinary action should not be taken against them.
- (iv) For sensitive cases like fraud, the employee is dismissed without salary as per the CBA to pave way for investigations.
- (v) The DVC (AFP) convenes a disciplinary committee where the employee is requested to appear within 14 days from the date of summon and present their defence.
- (vi) In case of gross misconduct which warrants summary dismissal, the R (AP) issues the employee a dismissal letter which is delivered by the In-Charge, Security Department using a delivery book.
- (vii) In case of an appeal by the dismissed employee, a date is set for the employee to appear before the Grievances and Appeals Handling Committee of Council.
- (viii) The Grievances and Appeals Handling Committee of Council deliberates on the matter and reach a decision, which is communicated to the employee by the Vice-Chancellor.

4.6 Process for Budget Preparation, Revenue Collection and Expenditure

- (i) The DVC (AFP) receives budget estimates from user departments.
- (ii) The DVC (AFP) convenes a meeting to compile the estimates into one global budget.
- (iii) The DVC (AFP) and Finance Officer provisionally allocate funds to the user departments depending on available funds and requirements of the departments.
- (iv) The DVC (AFP) forwards the provisional allocations to the Management Board, Finance, Farms, Enterprise and General Purpose Committee and Full Council through the Vice-Chancellor for discussion, rationalisation, approval and forwarding to the MoHEST for transmission to the MoF.
- (v) The DVC (AFP) receives the adjusted and approved budget from the MoF through MoHEST and the Vice-Chancellor.

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		


- (vi) The DVC (AFP) forwards the approved budget to the Finance Department to make recommended adjustments in readiness for implementation.
- (vii) Vote holders control/recommend drawing of funds from their vote lines.
- (viii) The DVC (AFP) and Vice-Chancellor approve financial requests by user departments.
- (ix) The DVC (AFP) oversees revenue collection from clients by the Finance Department.

4.7 Process for Planning Development & Insurance of Infrastructures & Assets

- (i) The DVC (AFP) in consultation with users identifies projects/infrastructure/assets requiring implementation and acquisition.
- (ii) The DVC (AFP) submits the projects/infrastructure/assets to Management Board to recommend to the Building, Planning and Development Committee of Council to approve or note.
- (iii) The DVC (AFP) constitutes a team to develop a proposal for the project/infrastructure.
- (iv) The proposal is presented to the Management Board to discuss and recommend to the Building, Planning and Development Committee of Council to discuss further.
- (v) The Building, Planning and Development Committee recommends to the Full Council to approve for implementation/acquisition.
- (vi) The DVC (AFP) allocates for funds to implement/construct/acquire the projects/infrastructure/assets.
- (vii) The DVC (AFP) oversees the implementation/construction/acquisition of the projects/infrastructure/asset according to procedure (CU/SOP/PROD/25).
- (viii) For insurance, The DVC (AFP) gathers information on staff/assets to be insured.
 - (a) The assets include buildings, electronics, goods, finances and other property.
- (ix) The DVC (AFP) competitively sources for group insurance cover/service provider following the Procurement procedure (CU/SOP/PROD/25).
- (x) Potential firms submit their bids to the DVC (AFP).
- (xi) The lowest evaluated bidder is awarded the contract to provide insurance services for a given period of time and is paid in advance an agreed upon insurance fee as per the policy required.
 - (a) Motor insurance is for one year, and is renewable annually.
- (xii) When services are required, the DVC (AFP) raises a claim and lodges it to the insurance service provider together with evidence.
- (xiii) The insurance service provider then settles the claim on behalf of the University.

4.8 Process for Handling of Medical Services Scheme for Staff and Students

- (i) At registration students desiring to subscribe to the medical scheme pay a flat rate fee once every year.
- (ii) The staff are deducted their contribution from their monthly salary, which are forwarded to the National Health Insurance Fund (NHIF) for use to offset part of their medical expenses when need arises.
- (iii) The bona fide staff/relative/student reports to the Health Centre for confirmation of requirement of specialist medical attention.
- (iv) The staff/relative/student is issued with a referral letter addressed to the specialist.

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		


- (v) The staff/relative/student receives medical treatment/attention and obtains a bill.
- (vi) The bill is brought back to the Health Centre that forwards it to the DVC (AFP).
- (vii) The DVC (AFP) authorises payment for the specialised treatment, paving way for settlement by the Finance Department.

5.0 RECORDS

- a) Official Reports on all functions of the Department
- b) Performance Contract Reports
- c) Tender documents




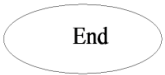
6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES

- a) Refer to departmental work plan
- b) Appointment and retention of qualified staff reflecting gender parity and ethnic balance.
- c) Harmonious industrial relations with UASU, UNTESU, and KUDHEIHA workers.
- d) Preparation of annual official reports and submission on time.
- e) Timely procurement of goods and services.
- f) Creation of students and staff-friendly working environment.



	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		

APPENDIX I: PROCESS MAPS


i. Recruitment of Employees


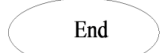
RESPONSIBILITY	ACTION
MANAGEMENT BOARD	 Identification of the positions to be filled
UNIVERSITY COUNCIL	Approval of the positions (NO or YES) 
SAR (AP)	Drawing of an advert based on official criteria for approval by the Vice-Chancellor.
VICE-CHANCELLOR	Advertisement of the vacant positions in the press & receiving applications
REGISTRY	Stamping of applications and sorting them into positions advertised
DVC (AFP)	Appointment of a team to open the applications & summarise
DVC (AFP)	Issuance of the lists to respective committees to short-list
SHORT LISTING TEAMS	Short-listing of the candidates as per the set criteria.
VICE-CHANCELLOR/DVC (AFP)	Scheduling for the interview for the qualified candidates
RESPECTIVE PANELS	Recommendation of candidates for recruitment (NO or YES) 
DVC (AFP)	Issuance of successful candidates with appointment letters Issuance of unsuccessful candidates with regret letters
R (AP)	Keying of employee details in the personnel data base and opening of a file with the payroll number of staff, upon reporting to work.
DVC (AFP)/R (AP)	Deployment of the employee to designated department to start working
R (AP)	Raising of pay change advice (CU/SOP/RADP/4; CU/SOP/FIND/24) 

ii. Review and Promotion of Employees


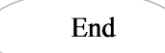
RESPONSIBILITY	ACTION
STAFF	 Preparation of a request for further training
DVC (AFP)	Receiving of requests for review and promotion from staff.
DVC (AFP)	Advises on qualification for review and instructs the R (AP) accordingly
R (AP)	Responding to the employee
R (AP)	Invitation of employees who qualify for interview.
INTERVIEW PANEL	Interviewing the staff for promotion as per official criteria.
DVC(AA)	Issuance of successful candidates with promotion letter
R (AP)	Raising of a PCA advising Finance Office of the pay change 

iii. Long-term Human Resource Training and Development

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		


RESPONSIBILITY	ACTION
	 ↓
EMPLOYEE	The employee writes a request for training need through their HOD
HOD	Forwarding of the request to the Human Resource Training and Development Committee (HRTDC)
HRTDC	Approves the training. YES/NO
DVC (AFP)	Issuance of the employee with an approval letter within 1 week from the date of Committee meeting.
DVC (AA)	Issuance of training progress report forms (CU/QMR/DVCA/FORM/1) to the staff to be filling and posting to the University at intervals until the training is completed
Employee	Attendance of training and submission of progress report forms
	

iv. Staff Disciplinary

RESPONSIBILITY	ACTION
COMPLAINANT	 ↓
	Reporting of case/offence
R (AP)	Investigating the case to gather evidence Preparation of charge sheets
VC/DVC (AFP)	Constituting of the Staff Disciplinary Committee
STAFF DISCIPLINARY COMMITTEE	Hearing and determining of the case under the chairmanship of DVC (AFP)
R (AP)	Communication of verdict
ACCUSED EMPLOYEE	Appeal against verdict (NO or YES)
GRIEVANCES AND APPEALS HANDLING COMMITTEE OF COUNCIL	Hearing of the appeal against the verdict and passing of a new verdict
R (AP)	Communication of the final verdict
	

v. Budget Preparation, Revenue Collection and Expenditure

RESPONSIBILITY	ACTION
----------------	--------

	Document Ref.: CU/SOP/DVCF/2	Issue Date: 25th March, 2013
	Issue No.: 02	Revision No.: 00
Document Title: STANDARD OPERATING PROCEDURE HEADED BY DVC (ADMINISTRATION, FINANCE & PLANNING)		

DVC (AFP)	<p style="text-align: center;">Start</p> <p>Requesting for budgetary estimates from user departments</p>
DVC (AFP) and FO	<p>Receiving budgetary estimates from user departments. Convening of a meeting to compile one budget for the University. Allocation of funds to the user departments</p>
MANAGEMENT BOARD	Approval and forwarding to Finance, Farms, Enterprise Company & General Purposes Committee, Council, the MoHEST and the Ministry of Finance
VICE-CHANCELLOR	Receiving of approved budget from Ministry of Finance through MoHEST
DVC (AFP)	Forwarding of the approved budget to Finance Department to implement
VC & DVC (AFP)	Approval and control of financial requests by user departments.
DVC (AFP)	Overseeing of revenue collection by the Finance Department.
	End

vi. Planning Development of Infrastructure and Insurance of Assets Process Map

RESPONSIBILITY	ACTION
DVC (AFP) AND USERS	<p style="text-align: center;">Start</p> <p>Identification of projects/infrastructure/assets to be implemented, constructed, or acquired in consultation with users</p>
DVC (AFP)	Presentation of projects/infrastructure/assets proposals to the Management Board to approve
Management of Board	Discussion and approval of the projects/infrastructure/assets. YES/NO
VICE-CHANCELLOR/ DVC (AFP)	Presentation of the projects/infrastructure/assets proposal to the Building, Planning and Development Committee of Council for approval. YES/NO
DVC (AFP)	Allocation of funds to implement the projects/infrastructure/assets proposal
DVC (AFP)	Overseeing of the implementation of the projects/infrastructure/assets proposal
	End

vii. Handling of Medical Services Scheme for Staff and Students

RESPONSIBILITY	ACTION
STUDENT/STAFF	<p style="text-align: center;">Start</p> <p>Subscription to medical policy</p>
STUDENT/STAFF	Application for check up
DVC (AFP)	Referral of the student/staff member to specialist medical practitioner.
EMPLOYEE, STUDENT	Receipt of medical treatment and bill.
DVC (AFP)	Authorisation of payment for the specialised treatment.
	End