	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
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# CHUKA UNIVERSITY

## Standard Operating Procedure


For

## Resources Advancement and Development CU/SOP/RAPD/4

### 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
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## CONTENTS


<b>DOCUMENT REVIEW SHEET.....</b>	<b>1</b>
<b>CONTENTS.....</b>	<b>2</b>
<b>1.0 AMENDMENT RECORD SHEET.....</b>	<b>3</b>
<b>2.0 GENERAL.....</b>	<b>4</b>
2.1 Purpose.....	4
2.2 Scope.....	4
2.3 References.....	4
2.4 Abbreviations.....	4
2.5 Definitions.....	4
2.6 Responsibility.....	4
<b>3.0 ADMINISTRATIVE STRUCTURE.....</b>	<b>5</b>
<b>4.0 PROCESSES.....</b>	<b>6</b>
4.1 Overview.....	6
4.2 Process for Staff Induction.....	6
4.3 Process for Deployment of Staff from one Department to Another.....	6
4.4 Process for Managing & Administering Staff Leave.....	6
4.5 Process for Performance Appraisal System and Customer Satisfaction Surveys....	7
4.6 Process for Clearing of Staff.....	8
4.7 Process for Auditing the Payroll.....	8
4.8 Process for Preparing Pay Change Advice (PCA) of Employees.....	8
4.9 Process for Coordinating the Central Registry and Filing Index.....	8
<b>5.0 RECORDS.....</b>	<b>9</b>
<b>6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES.....</b>	<b>9</b>
<b>APPENDIX: PROCESS MAPS.....</b>	<b>10</b>

	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

### 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 MR
1.3.13	02	00	ALL	Changed Quality Management Representative to Management Representative		Prof. Isutsa
1.3.13	02	00	ALL	Changed Deputy Principal to Deputy Vice-Chancellor	Prof. Isutsa	Prof. Isutsa
1.3.13	02	00	ALL	Changed procedures to processes	Prof. Isutsa	Prof. Isutsa

	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

## 2.0 GENERAL

### 2.1 Purpose

The purpose of this procedure is to ensure that all pertinent activities are managed effectively to ensure compliance with 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 processes and activities carried out within the Administration and Planning Department.

### 2.3 References

- ISO 9001:2008 Standard Clauses 4.2.4, 5.4, 6.2, 8.0
- CU Quality Manual
- CU Statutes 2008
- Chuka University Charter, 2013
- Collective Bargaining Agreements (UASU, UNTESU, KUDHEIHA Workers)

### 2.4 Abbreviations

R (A&P)	Registrar, Administration and Planning
SAR (A&P)	Senior Assistant Registrar (Administration & Planning)
AR (A&P)	Assistant Registrar (Administration & Planning)
CBA	Collective Bargaining Agreement
UNTESU	Universities Non-Teaching Staff Union
UASU	Universities Academic Staff Union
KUDHEIHA	Kenya Union of Domestic, Hotels, Educational Institutions, Health and Allied workers
PCA	Pay Change Advice
AA	Administrative Assistant
SOP	Standard Operating Procedures
RADP	Registrar (Administration and Planning)


### 2.5 Definitions

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

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

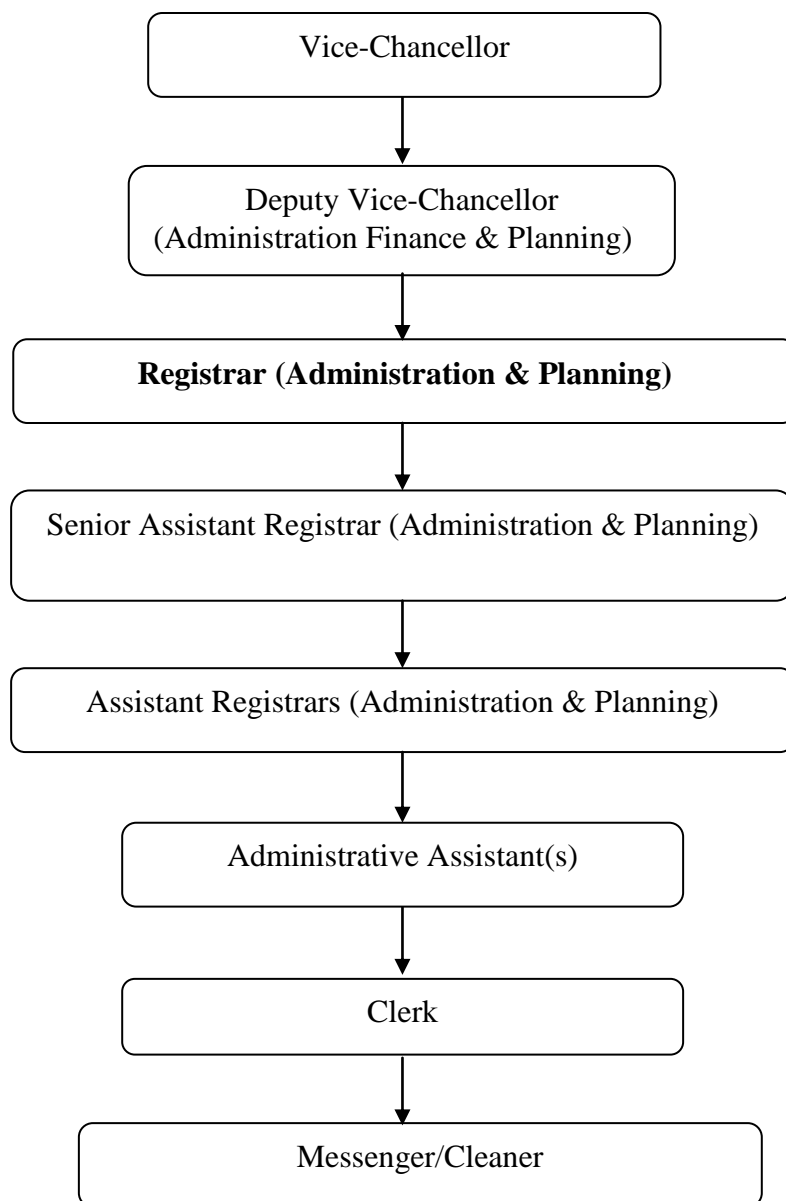
### 2.6 Responsibility


The R (AP) has the primary responsibility of ensuring that these processes are implemented and remain adequate for their intended purpose and for providing the information from which the documentation for the processes can be compiled and for initiating action to keep them updated. All departmental staff members are responsible for implementing and ensuring that these processes are followed.

	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

### 3.0 ADMINISTRATIVE STRUCTURE

Administration, Finance and Planning Division is one of the Divisions within the University. The current administrative structure for the Division is as follows:



	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

## **4.0 PROCESSES**

### **4.1 Overview**

The office of Administration and Planning is responsible for the CU's activities related to Administration. The core activities of the office include:

- (i) Staff Induction
- (ii) Deployment of Staff from one Department to Another
- (iii) Managing & Administering Staff Leave
- (iv) Performance Appraisal System and Customer Satisfaction Surveys
- (v) Clearing of Staff
- (vi) Auditing the Payroll
- (vii) Preparing Pay Change Advice (PCA) of Employees
- (viii) Coordinating the Central Registry and Filing Index

### **4.2. Process for Staff Induction**

Whenever new staff are recruited, it is necessary to induct them into the operating procedures and structures of the University. It is also necessary to conduct them on a tour of the campus facilities to enable them to know their location.

- (i) The Registrar (A&P) issues new employees job descriptions with obligations, duties and responsibilities spelt out.
  - (a) The Registrar (A&P) then refers the new employees to the respective HOD.
- (ii) The respective HOD introduces the new employees to the organization by showing them round the University within the first week of reporting to work.
- (iii) Registrar (A&P) organises a staff induction meeting once every year where senior members of staff address the new staff by briefing them about the institution.
- (iv) Minutes of the induction session are recorded and maintained.


### **4.3. Process for Deployment of Staff from one Department to Another**

From time to time staff are transferred from one department/section to another.

- (i) Staff are deployed from one department to the other as per the appointment letter/expertise and as need arises.
- (ii) An employee is identified to fill a position where their services are required.
- (iii) The letter of deployment is sent to the employee through his/her current HOD.
- (iv) Upon release by the HOD the employee is required to report to the new HOD for appointment of duties.
- (v) The Principal and Deputy Principals are handed the staff personal file to note the transfer in the file copy.

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

Staff members earn a specific number of days for each month worked. Depending on the employee's grade, leave entitlement per annum is 36 days or 30 days. Employees in lower grades who work overtime are also entitled to overtime off. Staff members may also request to be granted leave of absence. Other types of leave are compassionate, maternity, and paternity leaves. All these are administered from the Office of R (A&P)

	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

- (i) The leave request whether annual, maternity, paternity is received from the employee.
- (ii) The AA/Clerk confirms that the leave form is signed by the applicant and HOD.
- (iii) The AA/Clerk confirms the leave entitlement as per CBA to ensure the employee has earned and is entitled to the days applied for.
- (iv) The leave is then approved by the R (A&P).
- (v) A memorandum is issued to the employees giving details of their leave days.
- (vi) The AA/Clerk records the leave in a registrar to monitor the employees on leave and the date they are required to resume duty.


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

##### **a) Performance Appraisal System**

- (i) In a preceding year, staff set personal performance targets signed with their supervisors in a personal Performance Contract.
- (ii) By 5<sup>th</sup> July of following year, the Registrar (A&P) issues a circular to all CODs/HODs notifying the commencement of the staff performance appraisal exercise for the previous Financial Year.
- (iii) Staff members fill the Performance Appraisal Forms by 12<sup>th</sup> July of each year.
- (iv) The staff members appraise themselves and return the Performance Appraisal Forms to the CODs/HODs by 15<sup>th</sup> August of each year.
- (v) The supervisor completes the staff Performance Appraisal Form in the presence of the appraisee.
- (vi) The final performance appraisal is the average score of the combined personal appraisal by the appraisee and the COD's/HOD's/supervisor's appraisal.
- (vii) Where an appraisee disagrees with the Performance Appraisal result, the Vice – Chancellor constitutes a committee to arbitrate.
- (viii) The result of the Staff Performance Appraisal is forwarded by the CODs/HODs to the Registrar (A&P) for record keeping. (Performance appraisal form CU/ADM/HR/FORM/6)

##### **b) Customer satisfaction surveys**

- (i) The DVC (A, F&P) identifies a competent consultant through procurement process to conduct customer satisfaction survey.
- (ii) If the survey is conducted internally a committee appointed by the VC prepare data collection tool, which include questionnaire and interview schedule.
- (iii) Administration of survey tool is conducted in line with customer service charter to gather information from the customers.
- (iv) For survey conducted by consultant, the data is analysed and a report is presented one week after completion of the survey.
- (v) For survey conducted internally the committee analyzes the information received within one week and identifies area of improvement. The information is communicated to the officers affected two days after the analysis.

	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

- (vi) The HOD or staff responsible for the recommendation/complaint/non-conformity identified by both the surveys ensures corrective action is done and proper preventive actions are taken within a minimum of 30 days.
- (vii) The DVC (A, F&P) conducts a follow-up within one month to confirm effectiveness of the action taken and communicates the key areas that need further improvement.
- (viii) Records of survey recommendations/reports (Questionnaires/interview schedule) are maintained.

#### **4.6. Process for Clearing of Staff**

When staff leave CU employment, either through resignation, retirement or dismissal they have to clear with the University to ensure that they do not owe the university anything.

- (i) The employee writes a resignation letter.
- (ii) The AA/Clerk confirms that the employee has given the required notice as per CBA.
- (iii) The R (AP) approves the resignation letter.
- (iv) The employee fills a clearance form to be signed by the HODs of all departments.
- (v) Upon clearance by all departments, the employee returns the staff ID card and name tag and is issued with a copy of the clearance form.

#### **4.7. Process for Auditing the Payroll**

Staff salaries are prepared and paid every month. To ensure that there is harmony between the list of employees maintained in the R (A&P) Office and the list of employees to be paid by Finance Department, the payroll is verified every month.

- (i) The payroll is received from Finance Department at the end of each month.
- (ii) The AA checks the payroll to ensure there are no ghost workers or double payments.
- (iii) The R (AP) signs and stamps the payroll which is taken to Audit Department for further processing (CU/SOP/IAUD/26).

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

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


- (i) Documents in respect to the change of pay are received.
- (ii) The PCA is prepared by the AA/Clerk and authorised by the R (A&P).
- (iii) The PCA is then delivered to Finance Department for processing (CU/SOP/FIND/24).

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

The Central Registry receives all incoming mails and other correspondence and dispatches all outgoing mails and other correspondence, other than personal electronic mail that is received and sent directly by individual staff members.

- (i) Mails are received from the Post office and/or courier services.
- (ii) The Registry Clerk stamps the mail with a received stamp.
- (iii) The mail is sorted out and taken to the specific department/addressee.



	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

- (iv) Alternatively, the addressee is telephoned to collect the mail.
- (v) Outgoing mail is received and stamped with a received stamp, recorded and then dispatched to an officer who delivers the mail.
- (vi) Staff personal files and other files are recorded and signed for in a File Movement Register each time they are removed from the Registry.
- (vii) The files are again recorded and signed for in the File Movement Register each time they are returned to the Registry.
- (viii) For ease of tracing documents, each file is coded and placed in a specific filing cabinet.
- (ix) The filing index codes follow this format: CU/DEPT/SUBJECT/....
- (x) The files/folders are placed in specific cabinets or shelves according to subjects such as:
  - (a) Personal files/Staff records
  - (b) Recruitment files (with job advertisements, short-listing minutes, interview minutes)
- (xi) Codes are added as the Department expands.


**Ref. CU/MR/FORM/16**

## **5.0 RECORDS**

1. Staff profiles
2. Staff leave record
3. Pay Change Advice
4. Staff appraisal records
5. Customer survey reports
6. Newspaper cuttings pertaining to Chuka University
7. Advertisements
8. Minutes of Departmental meetings
9. Minutes of Management meetings
10. Correspondence with University publics





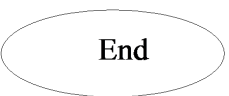
## **6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES**

- (i) Keeping staff personal files and other files safely and in a confidential and restricted access manner.
- (ii) Accurate employee information kept in soft copy format.
- (iii) Up to date staff records maintained in the registry.
- (iv) Advertisements for employment opportunities done when Management sanctions.
- (v) Cultivate peaceful industrial relations by holding meetings with staff.
- (vi) Recruit and retain qualified support staff.
- (vii) Annually conduct staff appraisals


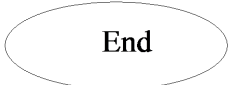
	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		


## APPENDIX: PROCESS MAPS

### (i) Leave /Off Process Map

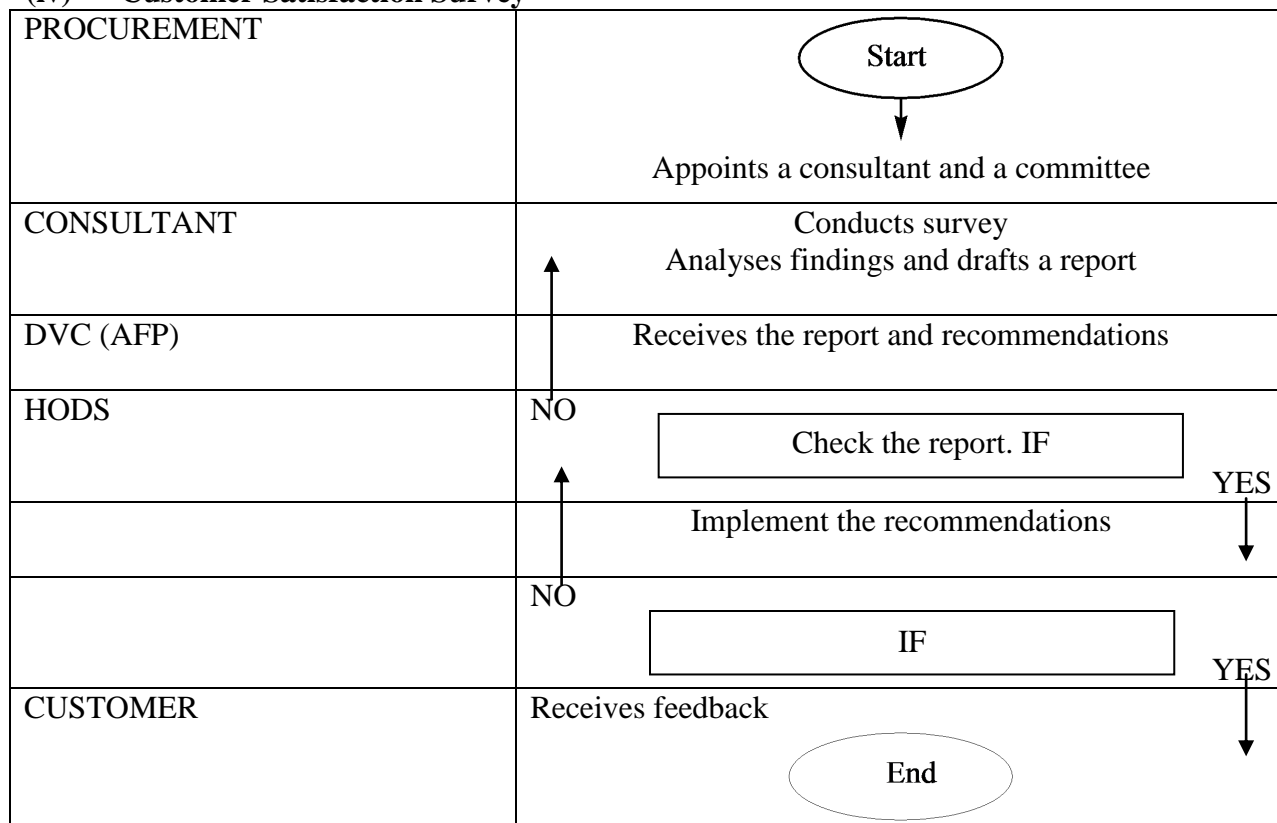
RESPONSIBILITY	ACTION
EMPLOYEE	 ↓ Applies for leave /Off
SUPERVISOR	Grants leave. YES/No   
ADMINISTRATIVE ASSISTANT	Verifies leave details
REGISTRAR (ADMINISTRATION & PLANNING)	Approves leave. YES/No
ADMINISTRATIVE ASSISTANT	Records leave in a Register
ADMINISTRATIVE ASSISTANT	Issues Leave Approval Form
EMPLOYEE	Officer proceeds on leave <div style="text-align: center;">  </div>

### (ii) Performance Appraisal Process Map

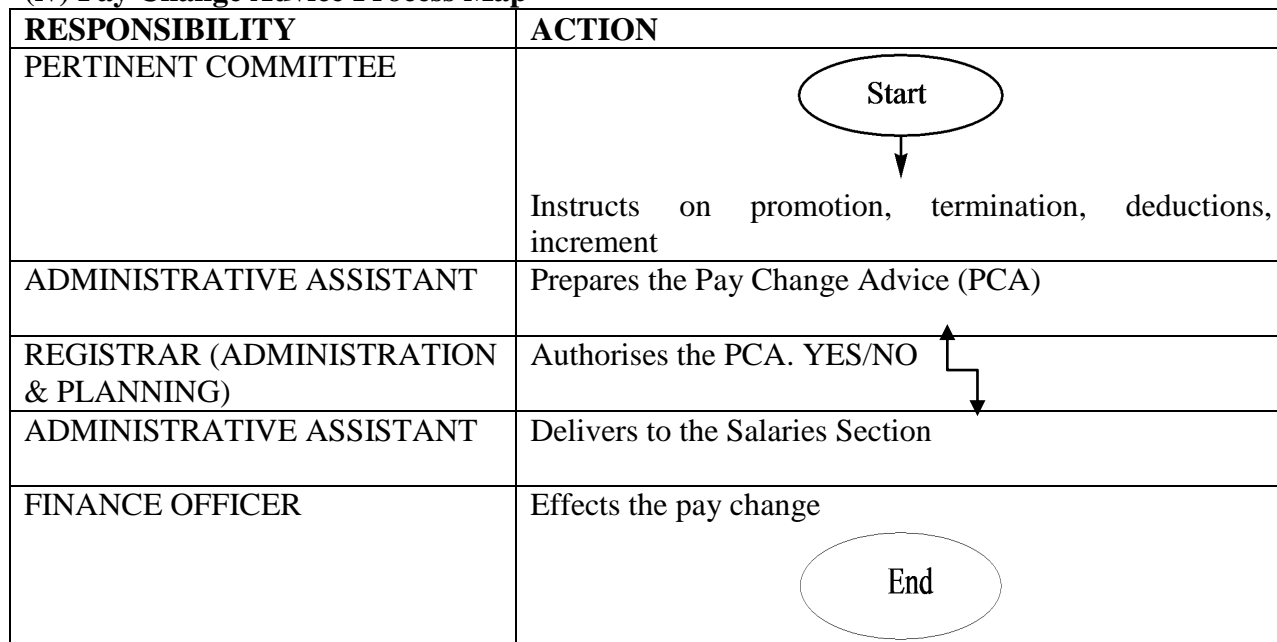
REGISTRAR (ADMINISTRATION & PLANNING)	 ↓
	Issues Circular
	Downloads SPAFs and distributes
COD/HOD	Completes their section in the presence of appraise
HRM	Completed forms submitted to the HRM for final evaluation and feedback
VC	Arbitrates where there is no consensus
APPRAISEE	Receives feedback <div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


	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

**(iv) Customer Satisfaction Survey**



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



	Document Ref.: <b>CU/SOP/RAPD/4</b>	Issue Date: <b>25<sup>th</sup> March, 2013</b>
	Issue No.: <b>02</b>	Revision No.: <b>00</b>
Document Title: <b>STANDARD OPERATING PROCEDURE FOR RESOURCES ADVANCEMENT &amp; DEVELOPMENT</b>		

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

<b>RESPONSIBILITY</b>	<b>ACTION</b>
ADMINISTRATIVE ASSISTANT	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Receives the Pay roll</p>
ADMINISTRATIVE ASSISTANT	Checks the payroll to ensure there are no ghost workers or double payments
REGISTRAR (ADMINISTRATION & PLANNING)	Signs and stamps the payroll
ADMINISTRATIVE ASSISTANT	<p>Delivers the Pay roll to Finance Department</p> <p style="text-align: center;">End</p>

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

<b>RESPONSIBILITY</b>	<b>ACTION</b>
OFFICE ASSISTANTS	<p style="text-align: center;">Start</p> <p style="text-align: center;">↓</p> <p>Receipt and dispatch of mails</p>
MAIL OWNER/OFFICE ASSISTANTS	Delivery of outgoing mail/letters to the Office of the Principal for franking/stamping and delivery to the external Post Office/courier service.
DRIVER OFFICE ASSISTANTS	Receipt/collection of incoming mails/letters from the Post Office, sorting and delivery/dispatch to the relevant offices/recipients in the University.
	End