CHUKA UNIVERSITY

Standard Operating Procedure

For

Quality Assurance and
Performance Contracting
(CU/SOP/QAPC/11)

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.

<table>
<thead>
<tr>
<th>Action</th>
<th>Name &amp; Signature</th>
<th>Position</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prepared by</td>
<td>Dr. P. K. Muriungi</td>
<td>DIRECTOR (QUALITY ASSURANCE &amp; PERFORMANCE CONTRACTING)</td>
<td>25.6.2012</td>
</tr>
<tr>
<td>Reviewed by</td>
<td>Prof. D. K. Isutsa</td>
<td>DEPUTY VICE-CHANCELLOR (ARSA)/MR</td>
<td>30.4.2015</td>
</tr>
<tr>
<td>Approved by</td>
<td>Prof. E. N. Njoka</td>
<td>VICE-CHANCELLOR</td>
<td>30.6.2015</td>
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</table>
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1.0 AMENDMENT RECORD

This Standard Operating Procedure is reviewed regularly to ensure relevance to the systems and processes that it defines. A record of contextual additions or omissions is given below.

### Amendment Record Sheet

<table>
<thead>
<tr>
<th>Amendment Date</th>
<th>Issue No.</th>
<th>Revision No.</th>
<th>Page No.</th>
<th>Subject of Review /Modification</th>
<th>Revised By</th>
<th>Approved By</th>
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<td>1.3.13</td>
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<td>Changed Quality Management Representative to Management Representative</td>
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<td>15.11.13</td>
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<td>00</td>
<td>7</td>
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<td>15.1.15</td>
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<td>ALL</td>
<td>General editing to update office holder titles and other contents</td>
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<td>Vice-Chancellor</td>
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<td>30.03.15</td>
<td>04</td>
<td>00</td>
<td>Various</td>
<td>Director (BPSR): Director (Board of Post-Graduate Studies and Research) to Director (BPGS): Director (Board of Post-Graduate Studies)</td>
<td>MR</td>
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<td>16.3.2017</td>
<td>04</td>
<td>01</td>
<td>9</td>
<td>Revised Quality objectives and inserted</td>
<td>Director, QAPC</td>
<td>Vice-Chancellor</td>
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2.0 GENERAL

2.1 Purpose
The purpose of this procedure is to ensure that all the activities of the Directorate are managed effectively to ensure compliance with the International Standard, the University’s and the Government’s statutory policies, procedures and regulations.

2.2 Scope
This procedure applies to and defines all the processes and activities carried out by the Quality Assurance and Performance Contracting Directorate.

2.3 References
- CU Catalogue, 2013
- CU Charter, 2013
- CU Statues, 2014
- CU Strategic Plan, 2012-2017
- Customer Service Charter (Current)
- ISO 9001:2008 Standard, Clauses 6.2.2, 7.1, 8.0
- Performance Contract (Current)
- Performance Contracting Guidelines (Current)
- Quality Manual

2.4 Abbreviations
AMR = Assistant Management Representative
CU = Chuka University
Director (QAPC) = Director (Quality Assurance and Performance Contracting)
HODs = Heads of Departments
MoHEST = Ministry of Higher Education, Science and Technology
MR = Quality Management Representative
PC = Performance Contract
QMS = Quality Management System

2.5 Definitions
HOD: The in-charge of any distinct, semi-autonomous Office, Division, Department, or Section in the University.
Product: Refers to goods, services, works or products offered by the provider to a customer.
Quality Assurance: Refers to guaranteeing of the fitness for purpose of a given product.

2.6 Responsibility
The Director (Quality Assurance and Performance Contracting) has the primary responsibility of ensuring that this procedure is implemented and remains adequate for its intended purpose and for providing the information from which the documentation of their processes can be compiled.
and for initiating action to keep them up to date. All departmental staff members are responsible for implementing and ensuring that this procedure is followed.

3.0 ADMINISTRATIVE STRUCTURE
The administrative structure for the Directorate of Quality Assurance and Performance Contracting in the University is as follows:

![Administrative Structure Diagram]

4.0 PROCESSES
4.1 Overview
The Directorate (QAPC) is responsible for the University’s activities related to quality assurance and performance contracting. The core activities of the Directorate include:

(i) Handling all quality assurance issues in the University including administering student evaluation of teaching effectiveness and analysing external examiners’ reports for Postgraduate Students.

(ii) Sensitizing staff on Quality Assurance, Performance Contracting and Strategic Plan.

(iii) Monitoring implementation of PC targets and preparation of quarterly reports.

(iv) Acting as a liaison between the University and government agencies on matters related to Performance Contracting.

(v) Monitoring and evaluating implementation of the Strategic Plan.

(vi) Coordinating QMS implementation, monitoring and evaluation.
4.2. Process for Evaluation of Teaching Effectiveness
(i) Evaluation of teaching effectiveness is carried out as per the schedule prepared at the beginning of the semester and as need arises.
(ii) Every semester, in the 8th week, the Director (QAPC) issues a memo stating that evaluation of teaching effectiveness is to be done in the 9th and 10th week.
(iii) Evaluation forms are distributed to students in the 9th and 10th week by staff attached to the Director (QAPC) (See CU/QAPC/FORM/1).
(iv) The forms are filled in class and returned to the distributing staff to return them back to the Office of the Director (QAPC).
(v) Analysis of the duly filled forms is done a month from the date of completing the forms.
(vi) Written feedback is communicated to staff within two months from the date of receipt.

4.3. Process for Analysing External Examiners’ Reports for Postgraduate Students
(i) Every six months of a financial year, the Directorate of Quality Assurance and Performance Contracting analyses external examiners’ reports submitted six months before. The secretary is the Director (QAPC).
(ii) The reports are analysed, consolidated and distributed to the Vice-Chancellor, Deputy Vice-Chancellor (Academic, Research & Student Affairs), and Deputy Vice-Chancellor (Administration, Finance, Planning & Development).
(iii) The Director (QAPC) tables the consolidated report to the Board of Postgraduate Studies for discussion.
(iv) The Board of Postgraduate Studies and Research discusses the report and makes appropriate recommendations.
(v) Where there are major concerns and non-conformities regarding quality, the report is tabled to the Senate.

4.4. Process for Implementation and Monitoring of the Performance Contract
(i) In July of every year, the Vice-Chancellor receives guidelines for preparation of a Performance Contract from the Secretariat.
(ii) The Vice-Chancellor forwards the guidelines to Deputy Vice-Chancellors, Registrars, the Finance Officer and the Director (QAPC) to prepare a Performance Contract draft. The convener is the Deputy Vice-Chancellor (Administration, Finance, Planning & Development) and the secretary is the Director (QAPC).
(iii) The draft PC is sent to the Vice-Chancellor for approval and forwarding to the Ministry of Education, Science and Technology (MoEST).
(iv) The PC is negotiated, vetted and signed between the Council Chairman and the Permanent Secretary, MoEST.
(v) The Council Chairman cascades the PC to the Vice-Chancellor for signing. A copy of the PC is sent to Director (QAPC).
(vi) The VC cascades the PC to the Deputy Vice-Chancellors to prepare sub-PCs encompassing their mandates. The sub-PCs are negotiated, vetted and signed. After signing, the DVCs prepare work plans to operationalize their sub-PCs. Copies are sent to the Director (QAPC) as a record.
(vii) The Deputy Vice-Chancellors carry out sensitization of HODs under their Divisions on the requirements in the PC.

(viii) HoDs prepare their PCs and work plans two weeks after the date of sensitization.

(ix) HODs’ PCs are signed with the DVCs in December. Copies of the signed PCs and work plans are sent to the Director (QAPC) for record purposes.

(x) The HODs cascade their PCs to staff in their Departments for preparation, negotiation and vetting signing of smaller PCs in December.

(xi) The Director, QAPC requests for quarterly progress reports from HODs and committee chairs, one week before the end of every quarter.

(xii) The HODs and chairs submit the quarterly reports in a prescribed format to the Director (QAPC) by the 5th of the month following the end of the quarter, with supporting evidence.

(xiii) The Director (QAPC) in consultation with the Performance Contract Steering Committee uses quarterly reports to prepare subject-based and consolidated reports sent to the Deputy Vice-Chancellor (AFPD) to forward to the Vice-Chancellor for onward transmission to various governmental Ministries, Departments and Agencies (MDA’s) by the deadlines stated.

(xiv) PCs for staff in grades V (A) and above are evaluated by a Committee appointed by the Vice-Chancellor by the end of July.

(xv) The results of evaluation are communicated to the appraised staff within two months from the end of the financial year (in August) by the Director (QAPC).

(xvi) Support staff in grades I-IV are evaluated through Performance Appraisal System (PAS).

4.5 Process for Implementation and Monitoring of the Strategic Plan

The Strategic Plan is implemented and monitored through Performance Contracts.

(i) Every Financial year in August, the University prepares a Performance Contract setting targets that derive from the University’s Strategic Plan.

(ii) Heads of Departments and Staff sign cascaded Performance Contracts and are allocated various activities to implement.

(iii) The Director(QA&PC) writes to the implementers of the Performance Contract seven (7) days before the end of every quarter requesting them to report on the progress of implementation of the activities allocated to them and attach evidence, where possible.

(iv) The reports of the implementation are sent to the Director (QA&PC) by the 5th day following the end of the reporting quarter.

(v) The Director (QA&PC) prepares a consolidated quarterly Performance Contract implementation report, which reflects the degree of implementation of the Strategic Plan.

(vi) The Director (QA&PC) sends the quarterly report to Deputy Vice-Chancellor (AFPD), who forwards the report to the Vice-Chancellor for onward transmission.

(vii) The Director (QA&PC) also prepares a consolidated annual Performance Contract implementation report which reflects the status of implementation of the Strategic Plan as at the end of the year.

(viii) The Director (QA&PC) also sends the annual report to DVC (AFPD), who forwards the report to the Vice-Chancellor/Management.
4.6 Process for Implementation, Monitoring and Evaluation of the QMS

Implementation of the QMS is vested in HODs. Monitoring and Evaluation of QMS is conducted through internal audits, customer satisfaction surveys, employee satisfaction surveys, work environment surveys, competence needs assessment surveys and management review meetings. Internal audit, management review meetings, and surveys are conducted as programmed.

(i) The Quality Manual and supporting documents in box files are distributed by the MR to Departments, as need arises.

(ii) HODs implement their processes on a continuous basis.

(iii) HODs organize Departmental meetings, at least twice a year where progress on implementation of QMS is discussed, and appropriate measures for improvement are discussed. Records of meetings are given to the Director (QAPC).

(iv) By 30th July of every financial year, a schedule is released showing when internal audits, surveys and management review meetings shall be conducted.

(a) The University conducts Internal Audits at least twice per year to determine whether the QMS is:

(a) Conforming to planned requirements of the ISO 9001:2008 Standard.
(b) Conforming to the QMS requirements established by Chuka University.
(c) Effectively being implemented and maintained.

(v) An audit programme is planned, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods are defined.

(vi) The schedule and programme are sent to MR for approval.

(a) For internal quality audit, the MR appoints auditors and ensures that auditors do not audit their own work.

(vii) Auditors do the auditing, and prepare a report.

(viii) Records of audits and their results are maintained following CU/GOP/IA/03 procedure.

(ix) The report is sent to the MR.

(x) The MR compiles and distributes the report to all Departments and Director (QAPC).

(xi) Heads of Departments correct non-conformities identified in their sections without undue delay to eliminate detected or potential non-conformities and their causes and keep appropriate records.

(xii) Follow up activities include verification of the actions taken and reporting of the verification results.

(xiii) Management Review Meetings are held at least twice a year where the reports of audits and addressed non-conformities form part of the agenda.

(xiv) The University’s monitoring and measurement of processes is undertaken through departmental meetings and task teams where performances on the various objectives are reviewed and new ones set, if necessary.

(xv) Performance appraisals are used to evaluate staff and processes once a year.

(xvi) The University monitors customer satisfaction by undertaking periodic evaluations to determine the level of CU’s ability to meet customer requirements.

a. CU/SOP/RADP/04; CU/SOP/QAPC/11
(xvii) Employee and customer satisfaction surveys are facilitated by an external consultant hired following procurement procedure (CU/SOP/PROD/25).

(xviii) The Management of CU ensures that product and service delivery to the customer does not proceed until the planned arrangements have been satisfactorily completed, unless otherwise authorised by a relevant authority and, where applicable, by the customer.

5.0 RECORDS
(i) Annual Work Plan for the Strategic Plan
(ii) Quarterly Progress Reports for the Strategic Plan
(iii) End of Year Report for the Strategic Plan
(iv) Performance Contracts
(v) Quarterly Performance Contract Reports and Minutes
(vi) End of Year Performance Contract Reports and Minutes
(vii) Lecturers Reports on Assessment of Evaluation of Teaching Effectiveness
(viii) Reports on Assessment of External Examiner s’ Reports
(ix) Minutes of External Examiner Reports to the Board of Postgraduate Studies and Research

6.0 KEY PERFORMANCE INDICATORS/OBJECTIVES
a) Key Performance Indicators
Refer to the Departmental Annual Work Plan.

b) Departmental Quality Objectives
1. Administering student evaluation of teaching effectiveness for all the lecturers in the Faculty scheduled for evaluation on the 8th week of every semester to improve the quality of teaching.
2. Giving the results of student evaluation of teaching effectiveness to all lecturers evaluated within two (2) months after the end of evaluation to enhance the quality of teaching, copied to the Management to formulate intervention measures.
3. Analyzing all new external examiner reports for post-graduate theses bi-annually by the 15th day after the end of half financial year to improve the quality of student theses.
4. Submitting the report of analysis of postgraduate external examiner reports to the Board of Postgraduate Studies (BPGS) by the 15th day after the end of half year to facilitate formulation of intervention strategies by BPGS to improve the quality of theses.
5. Coordinating implementation of ISO Quality Management System (QMS) by organizing two internal audits and one surveillance audit within a year.
6. Coordinating the review and incorporation of changes recommended by users to improve the QMS, once annually.
7. Preparation of the University annual Performance Contract by 31st August each year to fulfill government requirements on institutionalization of performance-based management.
8. Releasing a memo to all staff one (1) week after vetting and signing of the corporate Performance Contract, instructing them to extract and sign their specific PC with their immediate supervisors.
9. Monitoring the implementation of Performance Contract targets by holding quarterly performance review meetings, preparing and submitting quarterly reports to Government Agencies by the 15th day after end of each quarter.
10. Overseeing conduct of surveys (customer satisfaction, employee satisfaction, work environment, staff competence) once annually, and monitoring quarterly the implementation of recommendations made therein for continual improvement.
11. Monitoring the implementation of the Strategic Plan through preparation of quarterly Performance Contract reports by the 15th day after the end of every quarter to fast track achievement of the University Mission and Vision.
APPENDIX A: EVALUATION OF TEACHING EFFECTIVENESS FORM

CHUKA UNIVERSITY

TEACHING EFFECTIVENESS EVALUATION FORM
CU/QAPC/FORM/1

Name of Instructor…………………………………………………………………………
Course Code and Title ……………………………………………………Class……………
Department ……………………………………………………………… Date……………

OBJECTIVES
The objectives of this instrument is to provide feedback on the quality of teaching to members of academic staff

INSTRUCTIONS
• You are expected to assess the quality of teaching of this course.
• Your sincere response to all the items is vital to the improvement of the teaching of this course.
• For each item tick the score that best represents your opinion on the matter.
• You need not identify yourself.
• The information you provide will not be used against you or the lecturer.

<table>
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<tr>
<th>ITEM</th>
<th>V. Good</th>
<th>Good</th>
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<th>Poor</th>
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<td>A</td>
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<td>Presentation</td>
<td>5</td>
<td>4</td>
<td>3</td>
<td>2</td>
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<td></td>
<td>Sets stimulating learning atmosphere</td>
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<td></td>
<td>Use relevant examples/illustrations to explain principles and concepts</td>
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<td></td>
<td>Encourages and appreciates students participation</td>
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<td></td>
<td>Present contents logically and coherently</td>
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<td></td>
<td>Involves students actively (through questioning, answering, discussion etc)</td>
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<td></td>
<td>Delivers content in motivating manner</td>
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<td></td>
<td>Uses relevant teaching aids (chalk board, projector, lab, apparatus)</td>
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<td>Provides a clear summary of concepts /principles covered in the lesson</td>
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<td>Voice clear and audible</td>
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<td>B</td>
<td>Subject matter</td>
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<td>Clear introduction of course objectives and relevancies</td>
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### APPENDIX A (Continued)

- Demonstrate mastery of subject matter
- Adequately covers course outline within the specified time
- Depth of subject coverage (in depth as opposed to superficial treatment)
- Provide guidance to relevant references
- Subject matter relevance to course (as per course outline)
- Assignments (relevant and useful)
- Gives adequate and relevant assignments/CATs
- Provides feedback of assignment/CATs promptly

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<td>Attendance/punctuality</td>
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<td>Interaction with student (friendly, approachable, caring, tolerant)</td>
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<td>Availability of lecture for consultations</td>
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<td>Extent to which the consultations are helpful</td>
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<td>Confident in presentation and subject matter</td>
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<td>Adequate lecture room preparation</td>
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<td>Students control/class discipline</td>
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<td><strong>TOTAL SCORE</strong></td>
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What is the lecture doing well with reference to section A, B, C?

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What is the lecture not doing well with reference to section A, B, C?

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Give your suggestion for improvement

........................................................................................................................................
........................................................................................................................................
APPENDIX I: PROCESS MAPS

(i) Evaluation of Teaching Effectiveness

RESPONSIBILITY: DIRECTOR (QAPC)

ACTION: Start

RESPONSIBILITY: STAFF IN QAPC OFFICE

ACTION: Issuance of a memo for commencement of evaluation
Distributing questionnaire to students (CU/QAPC/FORM/1)
Collecting the questionnaire and submitting it to Director (QAPC)

RESPONSIBILITY: DIRECTOR (QAPC)

ACTION: Analysis of the questionnaire

RESPONSIBILITY: DIRECTOR (QAPC)

ACTION: Feedback to lecturers

End

(ii) Assessment of External Examiner Reports

RESPONSIBILITY: DIRECTOR (QAPC)

ACTION: Start

ACTION: Analysis and preparation of consolidated reports on external examiners’ reports

RESPONSIBILITY: DIRECTOR (QAPC)

ACTION: Submission of report to the Vice-Chancellor and the Deputy Vice-Chancellors
Tabling the report in the Board of Postgraduate Studies

RESPONSIBILITY: BOARD OF POSTGRADUATE STUDIES

ACTION: Discussing the report, and making appropriate recommendations
Tabling report to Senate in case there are major issues regarding quality.

End
### (iii) Implementation and Monitoring of PC

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<td><strong>DIRECTOR (QAPC) &amp; MANAGEMENT</strong></td>
<td>Preparation of Performance Contract</td>
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<td><strong>MOEST PERFORMANCE CONTRACTING OFFICERS UNIVERSITY COUNCIL UNIVERSITY COUNCIL</strong></td>
<td>Negotiating and vetting PC</td>
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<td><strong>VICE-CHANCELLOR</strong></td>
<td>Signing of the PC with the Vice-Chancellor</td>
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<td><strong>DEPUTY VICE-CHANCELLORS</strong></td>
<td>Preparation of annual work plans, and sensitize HODs under their sections on preparation of PC and work plans. Sign PCs with their respective HODs</td>
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<td><strong>HODS</strong></td>
<td>Preparation of PCs and annual work plans. Sign PCs with staff in their Departments. Prepare and send quarterly reports and annual work plan to Director (QAPC)</td>
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<tr>
<td><strong>VICE-CHANCELLOR</strong></td>
<td>Appointment of a committee to evaluate staff</td>
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<tr>
<td><strong>DIRECTOR (QAPC) &amp; MANAGEMENT DVC (AFPD)</strong></td>
<td>Preparation of consolidated quarterly and end of year reports for forwarding to MR. Forwarding of reports to the Vice-Chancellor</td>
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<td><strong>VICE-CHANCELLOR</strong></td>
<td>Sending reports to government MDAs</td>
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Start→NO→YES→End
## (iv) Implementation and Monitoring of Strategic Plan

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<tr>
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### Preparation of Performance Contract (PC)
- No
- Yes

- Approval
- Cascading of approved PC to Departments and Staff
- Customization of PCs
- Approval of Cascaded PCs
- Preparation and submission of customised PCs to Director (QAPC)
- Implementation of the PCs
- Requesting for Quarterly Reports from HODs
- Submission of Quarterly Reports
- Preparation of consolidated Quarterly Reports and Financial Reports and submission to various offices

## (v) Implementation and Monitoring of QMS

<table>
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<td>HODS</td>
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<tr>
<td>MANAGEMENT</td>
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### Releasing QMS and supporting documents to Departments
- Yes

- Implementation of Departmental procedures
- Preparing schedule for internal quality audits, management review meeting and surveys
- Approval
- Carrying out internal audit in an objective way
- Preparing a report
- Sending the report to MR
- Providing information required by auditors
- Scheduling departmental meetings for monitoring & measurement of QMS
- Correcting nonconformities and keeping records as appropriate.
- Participating in management review meeting
- Ensuring products/services meet requirements