Alupe University College

A Five Year Strategic Plan

2018–2023

ABBREVIATIONS

AFD	Administration, Finance and Development
ASAR	Academics, Students Affairs and Research
AUC	Alupe University College
AUCC	Alupe University College Council
COD	Chairperson of Department
CPA	Certified Public Accountant
CUE	Commission for University Education
GOK	Government of Kenya
HIV/AIDS	Human Immune deficiency Virus/ Acquired Immune Deficiency Syndrome
HR	Human Resource
ICT	Information Communication Technology
IGU	Income Generating Unit
KUCCPS	Kenya Universities and Colleges Common Placement Services
M&E	Monitoring and Evaluation
MIS	Management Information Systems
MoU	Memorandum of Understanding
NACOSTI	National Commission of Science, Technology and Innovation
ODEL	Open and Distance E-Learning
PESTEL	Political Economical Social Technological Environmental and Legal

PhD	Doctor of Philosophy
PPP	Public Private Partnership
PS	Physical Science
PSSP	Privately Sponsored Students Programmes
SWOT	Strengths Weaknesses Opportunities and Threats
TVET	Technical and Vocational Education and Training
UASU	University Academic Staff Union

DEFINITION OF TERMS

Terms	Definitions
Core Values:	The fundamental rules by which AUC wants to conduct "business"
Mission:	The purpose for which ALUPE University College exists
Performance Indicator:	The measure used to assess AUC activities
Service delivery targets:	Specific outputs needed to achieve the strategic objectives
Situation Analysis:	Is the critical assessment of the environment in which AUC operations
Vision:	A vibrant and compelling image of the desired future state of AUC

FOREWORD

Alupe University College is proud to roll out its first strategic plan (2018 – 2023). This strategic plan aims to position AUC as a world-class University that is committed to achieving academic excellence, integrity and quality research. The preparation of this strategic plan has been achieved after extensive and elaborate discussions and consultations with both internal and external stakeholders. The strategic goals and objectives identified are in line with national development goals, Kenya's Vision 2030 and will form the basis upon which our annual performance contracts will be drawn.

This strategic plan expresses our commitment and determination to contribute to the transformation of Kenya into a newly industrialized middle-income country. I would like to thank all our stakeholders for their contribution in its development. Special thanks goes to the Strategic planning committee, University Management Board, staff and students for their contributions. I acknowledge the contribution of the University College Council towards the development of this strategic plan.

It is my expectation that its successful implementation will enable realization of the vision of Alupe University College.

CHAIRPERSON OF COUNCIL

PREFACE

Alupe University College became operational as a public institution in November 2016 though it was gazetted on 24th July 2015 through the Alupe University College Order 2015.

Currently it has four schools namely School of Business Economics and Human Resource Development, School of Health Sciences, School of Science and School of Education and Social Sciences. These schools offer student-centred programmes which are in line with the development agenda set out in Kenya Vision 2030, United Nations Sustainable Development Goals and the "Big Four Agenda" as advanced by the Government of Kenya.

This is the first AUC strategic plan. It covers the period 2018 - 2023. It is a roadmap to the realization of the University College vision.

I thank the chairperson of the Council and Council members for their useful insights and advice during the development of this plan. My special thanks go to my Deputy Principals (AFD & ASAR) for dedicating their energies and time in laying the ground for the development of the initial draft document.

To successfully implement this strategic plan within the required period, I wish to call upon all stakeholders particularly the Busia County Government, suppliers, contractors, industry, local community and well-wishers to accord it necessary support.

We give special thanks to the Kenya Government for the financial and material support that has enabled the AUC to operate since inception.

PRINCIPAL

EXECUTIVE SUMMARY

Alupe University College (AUC) aptly described as a "border university," has a deep commitment to higher education and training. The academic strengths of the university college are grounded in science oriented programs. Through this carefully designed and developed Strategic Plan that combines its overarching goals and objectives; human, physical and financial resources; and collaboration with universities and neighboring institutions of Alupe Sub County hospital, KEMRI, KALRO and LBDA, Alupe aims to be the bastion of knowledge in the Sciences and in Education, Business Studies, Economics, Social Sciences, Human Resource Development, Tourism and Hospitality.

This Strategic Plan covers a period of five years (2018-2023) and is structured to facilitate its interpretation and understanding. The plan highlights the institution's strengths and weakness, opportunities and threats, which provides a solid reference point and ideal framework for effective approach to addressing major institution's concerns. It's with the Strategic plan that Alupe University College will make meaningful focused progress towards achieving its mandated goals.

The challenges and opportunities of AUC's environment suggest the need for enhanced institutional capacity through infrastructural setup (e.g., lecture halls, libraries, research facilities) and resource mobilization to enable chart common strategic directions and mobilize schools around those directions. In particular financial pressures from limited resources create a need to rethink how the university will fulfill and revitalizes it's unique commitment to higher education provision.

The Strategic Plan is intended to help AUC become a premier institution in providing exceptional university education in a sustainable way consistent with unique industry requirements and the country's higher education needs. Central to achieving the targets set in the Strategic Plan is a budgeted projection of **Ksh. 18.9 billion**. Also, the Strategic Plan set priorities in the annual action plan to guarantee a programmed approach to activities and projects envisaged.

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CHAPTER ONE:
BACKGROUND

1.0 Introduction

It is common practice for institutions worldwide to anchor their operations on definite programmed and clear pathway in order to execute their mandate. On this basis therefore, AUC set out to develop a five year strategic plan to guide its operations. The plan is organized in six chapters. The first chapter covers background; Chapter Two Institutional, National and International Perspective; Chapter three situational analysis; Chapter Four articulates Strategic Direction and Implementation Framework; Chapter Five Financial Plan and Resource mobilization; Chapter Six Strategic Plan performance, Monitoring and Evaluation Framework

1.1 Preamble

Alupe University College is an institution that is geared towards creation of definite and unique pathway to academic excellence. The University College is committed to the development of responsive curricula that will address various needs of the modern society. AUC is devoted to growing into one of the most distinguished and finest institutions of higher education at both the national and international levels. Its diversity and comprehensiveness will remain its source of strength, resulting in creativity and transformational innovations in sciences, education, economics, tourism and hospitality, business and human resource development.

This strategic plan presents AUC as a single entity epitomized by outstanding Schools, academic programmes, students and human resource. Extensive consultation across the university community and stakeholders generated five strategic goals that will be religiously pursued over a five-year period. This will be realized through the alignment of specific College needs and institutional activities through annual prioritized action plan captured in a matrix. The Strategic Plan Development Committee is aware of dynamism of global University education; insightful of meaningful engagement with stakeholders, schools and departments; tactful in accelerating inclusivity of diversity at AUC; and liberal in developing a document that has the potential to gradually turn the institution's desired vision into reality – A bastion of knowledge.

The implementation of the strategic plan will be hinged on identified core values that will be engrained in the AUC community. The core values will help fast-track a

purposeful formulation of competencies ideal for implementation of the strategic plan within projected timelines. The AUC strategic plan implementation will be monitored to guarantee attainment of targets, and evaluated so that corrective actions are taken. The monitoring and evaluation framework that is an integral tool to this strategic plan will capture progressions hence maintaining adequate vigilance on implementation.

1.2 The AUC Profile

1.2.1 Historical Narrative of Alupe University College

Alupe University College is a Constituent College of Moi University, located on a 200 acre piece of land, approximately 7 kilometres from Busia town on the Busia-Malaba Road and 23 kilometres from Malaba town, which are both border towns linking Kenya and Uganda. It is situated in Busia County and is currently the only Public University in the county.

AUC is a product of a memorandum handed to former President of Kenya, His Excellency Hon. Mwai Kibaki, on 18th September, 2007 by the then Busia Community. It began as the Alupe Campus of Moi University in 2008. Later on it was established through the Alupe University College Order 2015, Gazette Notice No 153 of 24th July 2015 as a Constituent College of Moi University after a wide range of intergovernmental and ministerial consultations.

The University College currently runs four schools i.e. School of Education and Social Sciences, School of Health Sciences, School of Business Economics and Human Resource Development, and School of Science. In its neighbourhood are KEMRI, KALRO and LBDA facilities which provide partnership opportunities with their scientists in teaching, research and extension services to the Kenyan populace in the vicinity.

1.2.2 Academic Programmes

As a University, Alupe has the mandate of Teaching, Research and Community outreach. Currently, the University College has four Academic Schools headed by Deans (Health Science, Science, Education and Social Sciences, and Business Economics and Human Resource Development). However, it is envisaged that three new Schools will be

established. These are: the School of Engineering; School of Information Sciences and School of Post Graduate Studies.

In order to provide quality education and training, the University College will in the period of this strategic plan continue to involve stakeholders in the vision of existing and development of new academic programmes. Practical orientation and relevance to market demand will guide the efforts in this direction.

The University College aims to continuously recruit, develop and retain quality academic staff and is focused on the crucial need to improve the learning infrastructure through expansion and modernization.

1.2.3 Schools and Programmes of Alupe University College

School of Health Sciences

1. Bachelor of Science Medical Laboratory Sciences
2. Bachelor of Science Medical Psychology
3. Bachelor of Science Physical Therapy
4. Bachelor of Science Environmental Health

School of Business Economics and Human Resource Development

1. Bachelor of Hotel and Hospitality Management
2. Bachelor of Arts Economics
3. Bachelor of Business Management
4. Bachelor of Science Communication and Public Relations

School of Science

1. Bachelor of Science Microbiology
2. Bachelor of Science Applied Statistics with Computing
3. Bachelor of Science Computer Sciences
4. Bachelor of Science Parasitology

School of Education and Social Sciences

1. Bachelor of Education Arts

2. Bachelor of Education Science
3. Bachelor of Education Business Studies
4. Bachelor of Science Counselling Psychology
5. Bachelor of Arts Community Development
6. Bachelor of Education Early Childhood and Primary Education

1.3 Rationale and Justification of AUC Strategic Plan 2018 – 2023

As an institution of higher learning Alupe's aspirations necessitated a distinctive focused approach in aligning its mandate to programmed actions. This is not unique to AUC as institutions are confronted with environments that keep evolving, presenting a challenge understanding them as different disrupters coming into play. Therefore, they would want to draw clear pictures of their activities and have a focus that will sustain their institution's journey.

AUC took a bird's-eye view of her activities and wanted to avoid being all over the place. They wanted to establish a pattern; consistency and cohesiveness that would effectively define them, give direction, enable proper decision-making and create a point of differentiation as an institution. A strategic plan became a tool that would effectively give a solid congruent base on which to run her mandated programmes. It was then appropriate to craft a vision that would see her undertake her mission effectively. It is hoped that the strategic plan will create concerted efforts by AUC stakeholders towards meeting her goals, reducing complexity of a foreseeable future, motivating and generating a desired attitude to overcome barriers, and generally keep AUC moving forward.

In order to share knowledge in a free, open and inclusive environment, the strategic plan will be the critical "little voice" in AUC's head whenever a prognosis is conducted on routine operational systems and procedures. It will possibly enable priorities carefully identified with regard to relevant infrastructural set up, policy improvements and ideal partnerships that will significantly impact on pedagogy, research and extension programmes. It is worth noting that the strategic plan will go beyond not only allowing simultaneous interaction of specific actions towards goal achievement but also energize creation of compelling strives for excellence in AUC community – a crucial ingredient of AUC mission.

Vision

To be a world-class University that is committed to achieving academic excellence, integrity and quality research

Mission

To create, evaluate, apply, preserve and share knowledge in a free, open and inclusive environment of intellectual inquiry, for the betterment of society

Philosophy Statement

Educate to empower the mind and develop competencies through teaching, research and community outreach by integration of technology, sciences and the social sciences for the total growth of gradands

Core Values

Professionalism

Creativity and innovation

Excellence

Good Corporate Governance

Customer focus

Teamwork

CHAPTER TWO:
INSTITUTIONAL, NATIONAL AND INTERNATIONAL PERSPECTIVE

2.1 Institutional Perspective

This strategic plan addresses the philosophy of AUC and highlights mission, vision and core values.

2.1.1 The AUC Quality Policy Statement, Vision, Mission, Values and Philosophy

In order to align the mission, vision and core values, the Strategic Plan exploits the collaboration among the university college Schools, Mentor University (Moi University), university college council, students and other stakeholders (financial publics, general publics, local political representations among others) to carefully elicit conversations that are helpful and well-meaning.

2.1.1.1 Quality Policy Statement

Alupe University College is committed to excellence in the advancement of human resource as well as Science and Technology through innovation and the nature of education offered to meet the expectations and aspirations of its clientele and larger community.

2.1.1.2 The Alupe University College Quality Objective:

The University College will endeavor to attain quality of the utmost level through continuous enhancement of innovation, creativity and applying 'zero defects' processes.

2.1.1.3 Vision

The council seeks to build AUC into a competitive institution of higher learning. To achieve this they anchored it around three pillars – academic excellence, integrity and quality research – which are embedded in the vision.

"To be a world-class University that is committed to achieving academic excellence, integrity and quality research"

2.1.1.4 Mission

In order to provide a collaborative approach to higher education and facilitate the attainment of AUC objective a mission statement was developed to guide in the creation, accumulation, management and dissemination of knowledge. It reads thus;

'To create, evaluate, apply, preserve and share knowledge in a free, open and inclusive environment of intellectual inquiry, for the betterment of society'.

2.1.1.5 Philosophy of AUC: Preamble

This institution believes in the role of higher education in the development of knowledge, information, ideas and technologies. AUC acknowledges that knowledge is a vital resource that drives society and the economy; the learner is the foundation of individual prosperity and social mobility. Therefore, AUC will seek to adopt an integrated approach to delivery of her programmes, appropriating varying modes of delivery that will target to give the learner competencies to function in the society. AUC will educate to empower the mind, give competencies and develop the totality of the learner; who will make higher education the fundamental engine in modelling health environments, education, economic growth and building cultural and political understanding. At AUC, technology, science, education and social sciences will find areas of intersection and integration.

2.1.1.6 AUC Philosophy Statement

Educate to empower the mind and develop competencies through teaching, research and community outreach by integration of technology, sciences and the social sciences for the total growth of granduants.

2.1.1.7 Core values

Core values are defined as inviolable commitments that express "who we are as an institution" and what principles or qualities we should infuse in all practices and activities within the institution. The core values were collaboratively derived by analysis of entropies and fundamental observation of institutional systems.

The following six core values support our mission and vision:

- **Professionalism** - The adherence to high ethical standards, respect of value, commitment to occupational principles, rules and regulations that guide and demonstrate work delivery. Alupe strives to produce not only an outstanding teacher but also one with exceptional professionalism, arising from deliberate and consistent focused imparting of ethical teacher practices and code of conduct.

- **Creativity and innovation** – Creativity is the development of new ideas using own imagination while innovation is the identification of a novel idea that creates new value. Alupe is committed to seeking out new possibilities and solutions in her endeavor to progress through inspiring creativity, taking moderate calculated risks and learning from outcomes of her activities.
- **Excellence** - This is the exceptional performance of tasks or activities assigned to individuals and mandated to the institution as a whole. At Alupe, operational excellence will consistently be our focus in service delivery and captured in quality teaching, research and extensional services.
- **Good Corporate Governance** – It is the system by which an institution is directed and controlled. Good corporate governance is a key factor underpinning the integrity and efficiency of an institution, and its attractiveness and maintenance of stakeholders' confidence. At AUC, good corporate governance will be integral to her day to day operations, resource management, and adoption of best practice in leadership at all levels.
- **Customer focus** – This is a pervasive set of both mindsets and behaviours that drive a client-based perspective and a habit of noticing and paying attention. AUC will be open to client issues; valuing her clients and fostering enriching collaborations.
- **Teamwork** - It is the coordinated effort in the interest of a common course towards achievement of set goals. Alupe is determined to employ constructive team efforts in pursuit of institutional curriculum obligations.

2.1.1.8 Functions and Objectives of AUC

The functions and objects of the University College shall as per AUC order, 2015 be;

1. To provide directly, or in collaboration with other institutions of higher learning, facilities for university education (including technology, scientific and professional education), integration of teaching, research and effective application of knowledge and skills to the life and work and welfare of the citizens of Kenya.
2. To participate in the discovery, transmission and preservation and enhancement of knowledge and to stimulate the intellectual participation of students in the economic, social, scientific, technological and cultural development of Kenya.
3. To provide and advance university education and training to appropriately qualified candidates leading to the conferment of degrees and award of diplomas and

certificates and such other qualifications as the Council and the senate may from time to time determine and in so doing, contribute to the manpower needs.

4. To conduct examinations for such academic awards as may be provided in the statutes of the University College.
5. To examine and make proposals for new faculties, schools, institutes, departments, resource and research centres, degree courses and subjects of study.
6. To play a leading role in the development and expansion of the opportunities for higher education and research.
7. To contribute to industrial and technological development though innovations and technology transfer.
8. To develop as an institution of excellence in teaching, training, scholarship, entrepreneurship, innovations, research, and consultancy services.
9. Participate in commercial ventures and other activities for the benefit of the University College, the community and stakeholders.
10. Contribute to agriculture, industrial and technological development of Kenya in collaboration with industrial and other institutions through the transfer of appropriate technology.
11. Develop and provide educational, cultural, professional, technical and vocational services to the community and in particular foster corporate social responsibility and the practical arts; provide programmes, products and services, in ways that reflect the principles of equity and social justice.
12. To facilitate student mobility between different programmes at different technical training institutions, universities and industry.
13. To foster the general welfare of all staff and students.

2.1.1.9 Legislative instruments of AUC

AUC shall respect, uphold and defend the Constitution of the Republic of Kenya as the Supreme law, which binds all persons and state organs. She also recognizes the following instruments, which provide appropriate guidelines in the execution of her mandate:

1. Universities Act, 2012
2. Public Financial Management Act, 2015
3. Public Procurement and Disposals Act, 2015 and regulation, 2016

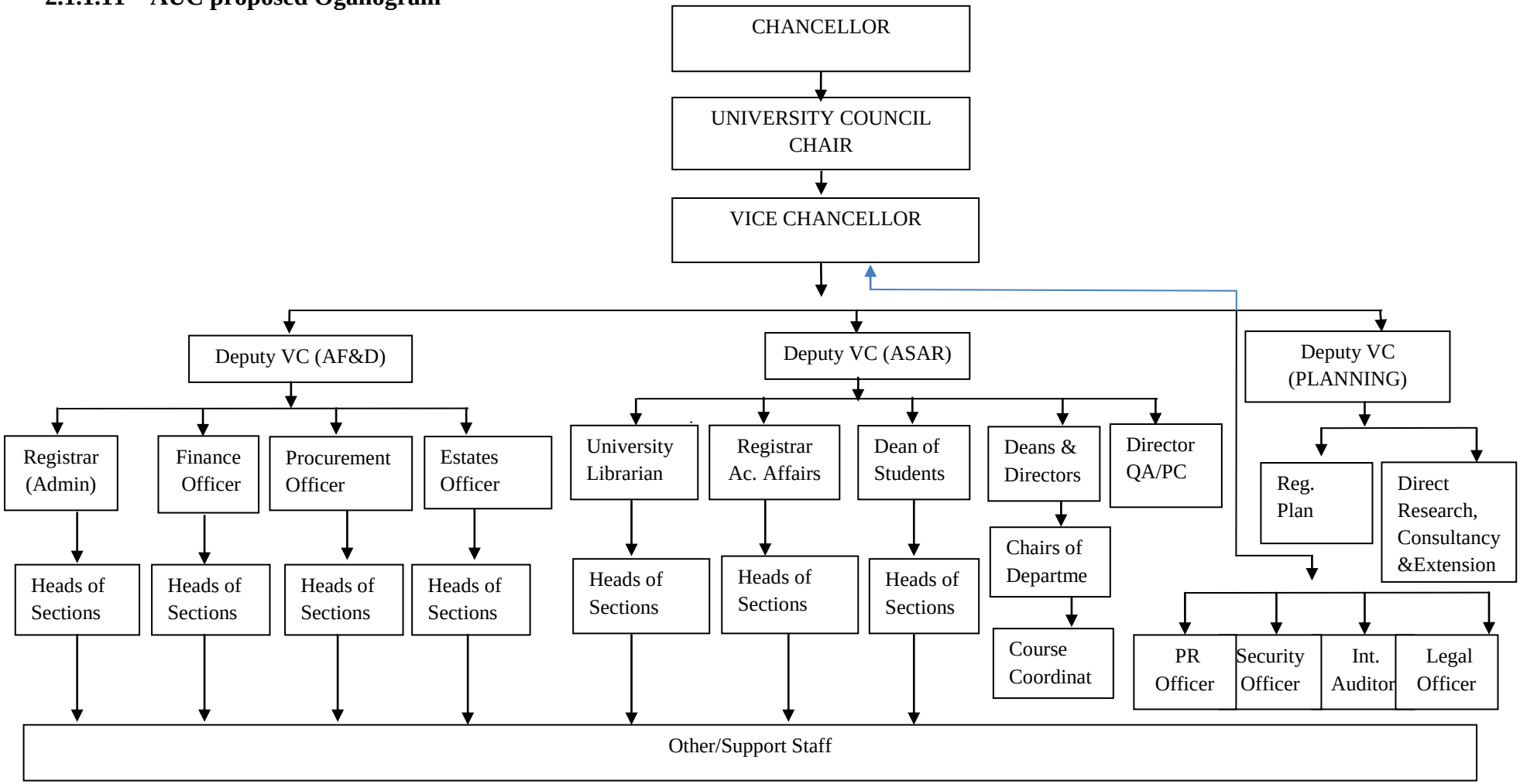
4. Alupe University College Order, 2015

2.1.1.10 Policies and Regulations of AUC

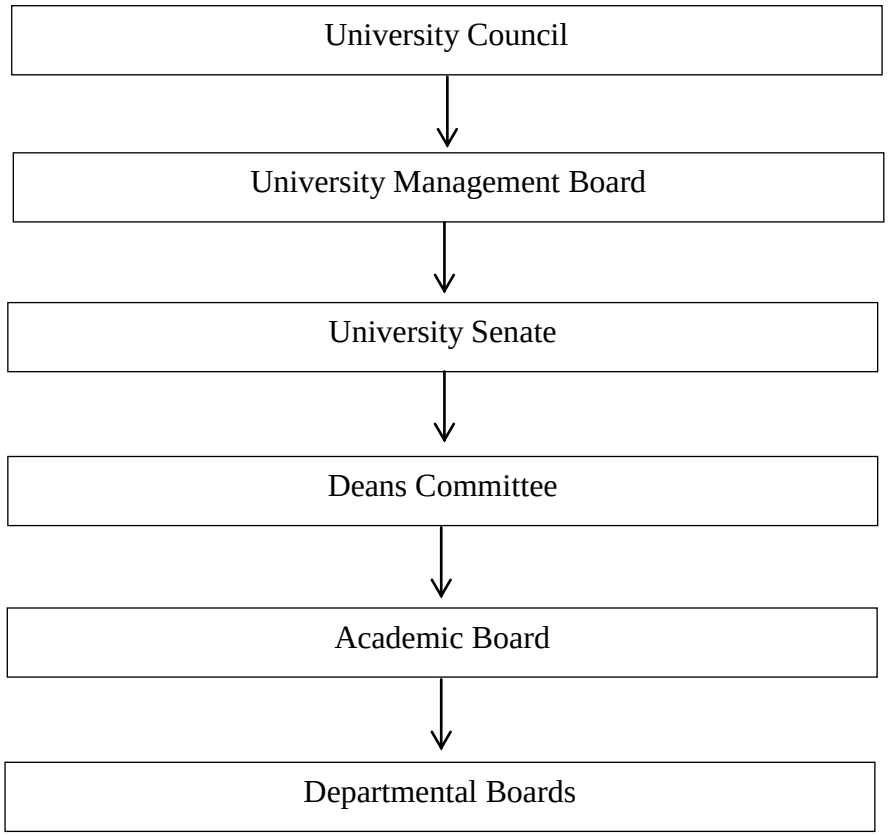
To execute the mandate AUC shall rely on the listed policy and regulations instruments.

1. Financial Management Policy
2. AUC Statutes
3. Annual Performance Contract
4. Strategic Plan
5. Terms and Conditions of Service
6. Examination policy
7. Rules and regulations governing the conduct and discipline of students
8. Research policy

2.1.1.11 AUC proposed Oganogram



2.1.1.12 Governance Structure



2.2 National Perspective

AUC seeks to align all its operations to conform to CUE requirements, the Universities Act No. 42 2012 (revised 2016) that governs operations of Universities within Kenya and also in conformity to the government of Kenya's "The Big Four Agenda". AUC will work with other stakeholders through outreach programmes to contribute to affordable healthcare agenda. The university college will strive to contribute to the local community's health goals and enhance its productive life through research and extension activities.

The academic programmes at AUC encourage inclusivity of all Kenyans and are geared towards promoting skills necessary in entrepreneurship and industry. It is believed that inclusivity will generate a pool of skilled personnel that can be mobilized to sustainably address "The Big Four Agenda".

AUC aims at strengthening linkages with industry in order to train skills appropriate in contemporary business sector. This is bound to make graduands employable and productive in the industry, hence contributing to manufacturing. AUC through community outreach will strive to equip the local community with right knowledge and skills to help them make proper decision on their agricultural produce and look for more innovative ways of value addition. It will be beneficial for the farmers to seek agricultural extension services and adopt right storage technique for their yield. AUC will work with the local leadership with the aim of allowing usage of her facilities (through social responsibility programmes) for meetings geared towards sustainable agriculture and food security.

AUC also seeks to become a major and highly competitive institution of higher learning with emphasis in sciences so as to drive national development towards attainment of Vision 2030. AUC intends to align her academic programmes and systems to the demands of industrializing the country and transforming it into middle income country. This will be possible through modernization of teaching facilities and infrastructure in with the objective contributing to increased country capacity. This will in the long run contribute to the realization of the country's Vision 2030.

2.3 International Perspective

AUC sets out to identify and establish collaboration and linkages with other global institutions in order to be a world class institution. Such partnerships will involve exchange programs, research, hosting conferences, seeking funding and Open Distance Learning (ODL). Similarly, academic programs at AUC are geared towards contributing to the transformation of the world by implementing the United Nations SDGs.

AUC recognizes the value of partnerships and linkages. She will therefore prioritize and support international cooperation with academic communities and businesses for quality research and extension. These carefully strategized alliances will allow exchanges between researchers and lecturers of AUC and promote AUC contribution to the global research projects. Also, the anticipated exchange programmes in particular, will expose students at AUC to different nations and cultures. This will make them appreciate and understand them, making it easy to fit in the globalized world.

AUC is keen on providing its graduates with excellent background that will enhance them pursue postgraduate studies in universities in other countries. The university college mentorship programme and hands-on learning opportunities allow students to build competencies as they apply the learned skills in class in the real world. In the long run they may attract sponsorship and scholarships from other universities and institutions in the country and abroad. Also, the comprehensive academic and non-academic programmes prepare students to compete for employment opportunities on the international arena.

CHAPTER THREE:
SITUATIONAL ANALYSIS

3.1 Introduction

Alupe University College has undertaken comprehensive analyses of both internal and external environments. These include SWOT (Strength Weaknesses Opportunity and Threats) analysis, PESTEL (Policy, Political, Economic, Social, Technological, Ecological, Legal) and Stakeholder analyses, which will be used as tools to identify priority areas and the strategies that will be used to develop, review and implement the strategic plan.

3.2 The Stakeholders Analysis

Alupe University College stakeholders include all institutions and people that have an interest in the University College. These stakeholders include students, staff, the Government, industry, collaborators, research and development institutions, institutions of higher learning, parents/guardians, professional bodies and the community. The University College will endeavor to win the commitment of stakeholders to ensure the provision of quality services as provided for in table 1.

Table 1: Stakeholders Analysis

Stakeholders	Stakeholder Expectations	AUC Expectations
1. Students	➢ Quality and affordable programmes ➢ Efficient and effective service delivery	➢ Prompt fee payment, ➢ Abide by rules and regulations, ➢ Excel in academics, engage in extracurricular activities ➢ Respect for authority

Stakeholders	**Stakeholder Expectations**	**AUC Expectations**
2. Staff	➢ Favourable terms and conditions of service ➢ Conducive and safe working environment ➢ Training and development opportunities	➢ Work performance according to job description ➢ Creativity and innovation and productivity in research ➢ Adherence to the code of conduct
3. Government	➢ Proper utilization and accountability for resources ➢ Promotion of national cohesion ➢ Adequate resource mobilization of resources for teaching and research	➢ Funding and technical support
4. Parents/ Guardians	➢ Quality and holistic education for their children ➢ Timely completion of programmes	➢ Prompt fee payment and full support of students ➢ Nurturing good citizenship in the students
5. Industry	➢ Supply of competent manpower/ mounting of relevant programmes ➢ Joint partnership in product development	➢ Industrial attachment and internship ➢ Increased employment opportunities ➢ Linkages/ support programmes
6. Research Institution	➢ An enabling environment for research ➢ Training quality researchers	➢ Dissemination of research findings ➢ Research collaborations ➢ Build capacities in research facilities and

Stakeholders	**Stakeholder Expectations**	**AUC Expectations**
	➢ Functional collaborations and partnerships	human resources
7. Educational Institutions	➢ Training and mentorship opportunities ➢ Collaborations and partnerships ➢ Building capacities ➢ Develop market driven programmes	➢ Collaborations ➢ Teaching practice/ industrial attachment/ internship ➢ Nurturing disciplined and competitive candidates
8. Donors	➢ Quality competitive proposals ➢ Prudent utilization of funds	➢ Prompt disbursement of funds
9. Business Community	➢ New product ideas ➢ Research development and training ➢ Collaborations	➢ Industrial attachment and internship ➢ Increased employment ➢ Linkages ➢ Dissemination of research findings ➢ Research collaborations
10. Local Community	➢ Employment and business opportunities ➢ Corporate Social Responsibility (CSR) ➢ Mutual coexistence	➢ Goodwill and support

3.3 The Strategic SWOT Analysis

Within the University internal environment, there exists several strengths and shortcomings that can either support or limit the achievement of its strategic goals and objectives. Equally, the external environment poses significant opportunities to exploit as well as some threats which have to be overcome. These are presented in table 2

Table 2: SWOT Analysis

Strength	**Weaknesses**
➢ Growing strong human resource base ➢ CUE Accredited programmes ➢ Receptive and supportive local community ➢ Availability of land ➢ Positive culture of staff and employees ➢ Conducive environment for learning ➢ Growing students base	➢ Inadequate physical infrastructure ➢ Inadequate funding
Opportunities	**Threats**
➢ Large student catchment area ➢ University- Industry research linkages	➢ Trans border illicit trade ➢ Competition for students from other institutions

➢ Conducive political climate ➢ Strategic location / Proximity to Uganda ➢ Government support to enhance growth ➢ Demand for higher education nationally and within western region ➢ Networking, partnerships and linkages to increase collaborations ➢ Availability of affordable and skilled labour ➢ Potential for Open, distance and e learning ➢ Interest from renowned scholars and potential collaborators ➢ Training and resource centre for County Governments in the Western region.	➢ HIV/AIDS ➢ Corruption ➢ Declining performance in education

3.4 PESTEL ANALYSIS

The external analysis looks at the environment in which the Alupe University College operates to determine its ability to achieve the Vision and Mission. The factors examined range from the global, regional and local situations. This situational analysis uses the PESTEL (political, economic Social, Technological, Environmental and Legal) model that presents the following:

3.4.1 Political

There is political goodwill and support from the national and county Governments as well as the local political leaders for further growth of the University. Political tension associated with 2017 elections has not had significant direct impact on the University College, except in relation to overall downturn in the country's economy and the tourist industry. This is a good indicator of resilience of the country and may be attributed to the 2010 constitution.

3.4.2 Economic

The region is largely an agro based and the high potentials have not been fully harnessed. Economic activities in the region may form a dependable supply base for foodstuff to the university community. Though the general economic strains world-wide and in Kenya specifically, threaten funding for the University from donors and the exchequer. In order to support research and other developments, it is imperative that the University adopts innovative strategies to raise funds to supplement government capitation.

3.4.3 Social

The unique artifacts in the region, together with rich cultural traditions and practices offer opportunities for social integration of diverse communities around AUC. The population figures around AUC are high to guarantee increase enrolments. The secondary school completion rates have also been on an upward trend though performance still remain relatively low.

3.4.4 Technological

The ICT revolution with the availability of wireless technology and the fibre optic network, e-learning platforms and other models of teaching delivery offer potentials for quality learning and access to current learning materials. Alupe University College will continue to take advantage of technological advancement to provide a state-of-the-art learning environment.

3.4.5 Environmental

The setting of the university college at Kenya–Uganda border offers a range of opportunities for growth and diversification in areas that are unique to the University

College. It offers practical learning and research opportunities in health sciences, science, education, business, economics and hospitality. The presence of research institutions of KALRO and KEMRI present collaboration opportunities.

3.4.6 Legal

As a University college, Alupe has developed statutes and other policies that are in conformity with the Constitution of Kenya 2010, the Universities Act 2012 as amended in 2014 and 2016 and the Alupe University College order 2015. The University College therefore has a legal framework and will undertake its full mandate and showcase its competitiveness.

CHAPTER FOUR
STRATEGIC DIRECTION AND IMPLEMENTATION FRAMEWORK

4.1 Introduction

This chapter explains the road map that will be followed by AUC to ensure excellence for a five-year period 2018–2023. This plan will guide the university in enhancing its performance and service delivery, stimulating strategic thinking, providing a basis for resource mobilization and allocation as well as contributing to the attainment of the Kenya Vision 2030.

4.2 Strategic Goals, Strategic Objectives and Strategies

The formative analysis (SWOT and PESTEL) has identified the strategic objectives which should be implemented in order to realize its vision and the mission statement. The strategic objectives and strategies are concerned with how the strategic goals are to be addressed. AUC has identified five (5) strategic goals:

1. Establish and promote good governance and a sound corporate image
2. Provide quality University education and training
3. Institutionalize research and extension
4. Develop quality physical and virtual infrastructure
5. Institute Income Generating projects and programs

Each of these has a set of objectives and strategies which were arrived at through comprehensive strategic analysis.

4.2.1 Strategic goal 1: establish and promote good governance and a sound corporate image

AUC consists of various stakeholders that include students, staff, faculty, government, parents, and the community among others. Good governance practices demand that the university aligns its decision with its mission and goals which mitigate risks and considers both internal and external stakeholder expectations. To be cherished for good governance, AUC will ensure good principles of governance to ensure good corporate image.

Objective 1.1: Establish and promote a University College culture and image for enhanced visibility

Strategies:

i. Develop public relation policy
ii. Develop and strengthen public relations (PR) function
iii. Brand and market University college programmes, services and products
iv. Improve AUC website content and enhanced hosting system
v. Develop and implement corporate social responsibility (CSR) projects

Objective 1.2: To institutionalize the promotion of integrity and ethical behaviour in University College governance

Strategies:

i. Develop and implement an Anti-corruption policy
ii. Institutionalize prudent use of University resources
iii. Promote staff understanding of integrity and ethical behaviour
iv. Enhance University College community engagement

4.2.2 Strategic goal 2: Provide quality University education and training

Demand for access to quality education and training for qualified high school leavers in Kenya and in the region is on the increase. However, only a few of them get that access equitably. AUC therefore pledges to provide quality education and training to all its students regardless of their social background.

Objectives 2.1: To increase equitable student access to University education

Strategies:

i. Expand facilities based on emerging needs and government development agenda
ii. Support trainees through industrial attachment, internships
iii. Enhance education, training and guidance services
iv. Promote affirmative action for trainees
v. Utilize the University College Website to highlight the variety of courses and programmes offered
vi. Incorporate ICT in teaching and learning

Objective 2.2 To attract, develop, motivate and retain competent staff

Strategies

i. Develop competitive emoluments and job progression structures
ii. Enhance staff development opportunities
iii. Develop and implement reward and sanction system for staff
iv. Adhere to the Human Resource policy guidelines
v. Empower faculty and staff through funding of research

Objective 2.3 To accommodate diversity

Strategies

i. Develop competitive emoluments and job progression structures
ii. Enhance staff development opportunities

4.2.3 Strategic goal 3: Institutionalize research and extension

AUC will endeavour to actively undertake technological and applied research for the solution of community and national problems. It will further collaborate with industry, research organizations, peer institutions and development partners. The engagements will be both horizontal for knowledge sharing as well as vertical for knowledge and skills transfer. It will also interact with the world around it in order to present a human face to the community.

Objectives 3.1: To increase the number of research and extension activities

Strategies:

i. Develop mechanisms for Research and Development (R&D) collaboration and linkages
ii. Promote the use of research results in technology development and transfer
iii. Develop and implement the AUC research and collaborative policies and framework
iv. Develop collaborative research programmes and partnerships
v. Adopt policy on intellectual property rights
vi. Develop research extension /outreach services

4.2.3 Strategic goal 3: Develop quality physical and virtual infrastructure

AUC will engage in the development of modern physical and virtual facilities as a major focal area of development. The following have been identified as the physical facilities required: Renovation and modification of the existing physical facilities, construction of library, laboratories, tuition blocks, student centre, food and beverage complex, gate and fencing. To ensure quality service delivery and resource management the university will establish an integrated management information system and modern ICT infrastructure.

Strategic Objective 3.1: Develop Library and ICT infrastructure to support instruction and learning

Strategies:

i. Develop ICT policy framework
ii. Develop and enhance ICT capacity and infrastructure
iii. Institutionalize Integrated Management Information Systems (IMIS)
iv. Promote use of ICT in curriculum delivery, e-learning and e-library

Strategic Objective 3.2: Construct and renovate physical facilities for instruction and student welfare

Strategies:

i. Maintain existing structures through preventive maintenance.
ii. Develop partnerships in provision of physical infrastructure example in construction of laboratories, ultra-modern Library, multipurpose science lab, tuition blocks, skills laboratory and drill boreholes
iii. Establish modern student centre and indoor sports facility
iv. Develop waste management system including sewerage and water sanitation.
v. Establish two new schools

Objective 3.3: To institutionalize Quality System

Strategies:

i. Develop and implement QMS
ii. Institutionalize performance contracting
iii. Strengthen performance evaluation
iv. Review and implement HR and Employee Manuals

v. review and implement the gender and disability and drug and alcohol abuse Policies
vi. review policies and statutes of AUC
vii. Enhance accountability, effectiveness and transparency in University College activities

4.2.5 Strategic Goal 5: Institute Income Generating projects and programs

In order to implement this strategic plan, there will be need for increased resources from both the government and other sources including the development partners. AUC will enhance fees collection, facilitate faculty in proposal writing to source for funds, provide consultancy services and establish internal income generating activities.

Strategic objective 5.1: To mobilize adequate resources to supplement GoK capitation to AUC to sustain and advance University College activities

Strategies:

i. Initiate the establishment of University Hospital as an IGU to serve the community and create income for AUC
ii. Construct a Funeral Home to provide service to the community
iii. To establish partnerships and linkages for resource mobilization
iv. Establish AUC Business Centre
v. Enrolment of self-sponsored students

4.3 Implementation of the strategic plan

Alupe University College Council is mandated with the stewardship of this strategic plan. It will manage and allocate resources that are crucial to implementation of the strategic plan. AUC council will plan, govern and make key guiding decisions on strategies set in the implementation matrix in order to realize the strategic objectives. University college principal will be obligated on behalf of the college council to oversee the implementation process, focus on detailed aspirations of university college vision and sustaining momentum in achieving milestones set in the implementation matrix.

4.3.1 Annual work plans

Annual work plans create clear and predictable flow of resources employed in the implementation of the strategic plan. They facilitate appropriate communications and

collaborations between responsible parties in aligning prioritize strategies to necessary resources. Rigorous and effective stewardship of the university college's financial resources, with appropriate "checks and balances," is critical to AUC's ability to achieve its mission. To expedite the implementation process, the office of the Deputy Principal (Administration, Finance and Development) in liaison with the strategic plan implementation team, will develop and disseminate annual university college work plans to the responsible parties at the beginning of each financial year. These plans will be valuable in ensuring timely completion of the action steps in the fulfillment of the specified strategic objectives.

4.3.2 Annual performance Contract(s)

To ensure realization of this strategic plan, AUC will prepare annual performance contract targets and follow them strictly**.**

4.3.3 Budgets preparation

AUC will ensure timely preparation of budgets and send to National Treasury during the plan period prioritizing key programmes and projects to be implemented during the period. This will enable the university to mobilize the required resources for the implementation of the plan.

4.4.4 Implementation Matrix of the strategic plan

This consists of strategic goals, strategic objectives, strategies, outcomes/ key performance indicators, respective costs and the officer responsible for action. Table 3 shows the implementation matrix.

Table 3: Implementation Matrix

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
1	Establish and promote good governance and corporate image	1.1.: Establish and promote a University College culture and image for enhanced visibility	1.1.1: Develop public relations policy	1.1.1.1: AUC public relations policy	Deputy Principal (AFD), Deputy	100,000	Continuous
			1.1.2: Develop and strengthen public relations function	1.1.1.2: Number of community partnerships	Deputy Principal (AFD)	100,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
			1.1.3: Brand and market University college programmes, services and products	1.1.1.3: Number of different promotions of AUC programmes and services	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School	50,000	Continuous
			1.1.4: Improve AUC website content and enhanced hosting system	1.1.1.4: percentage of new content added on AUC website and an enhanced website hosting system	Principal	50,000	Continuous
			1.1.5: Develop and implement corporate social responsibility (CSR) projects	1.1.1.5: number of CSR projects created by AUC	Deputy Principal (ASAR) and Deputy Principal (AFD) Deans of School	100,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
		1.2 To institutionalize the promotion of integrity and ethical behaviour in University College governance	1.2.1: Institutionalize prudent use of University resources	1.2.1.1: Number of audit queries	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School	100,000	Continuous
			1.2.2: Promote staff understanding of integrity and ethical behavior	1.2.1.2 a: Number of integrity and ethics sensitization workshops 1.2.1.2b: Number of disciplinary cases	Deputy Principal (AFD) Deputy Principal (ASAR) Deans of School	50,000	Continuous
			1.2.3: Develop and implement an Anti-corruption policy	1.2.1.3a: AUC anti-corruption policy 1.2.1.3b: Number of anti-corruption related cases	Deputy Principal (AFD) Deputy Principal (ASAR) Deans of School	50,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
		1.3. To institutionalize Quality System	1.3.1 Develop and implement ISO QMS	1.3.1.1a: Operational QMS 1.3.1.1b: Number of ISO champions 1.3.1.1c: Number of ISO sensitization workshops	Deputy Principal (ASAR) Deputy Principal (AFD) Quality Assurance Officer	50,000	Continuous
			1.3.2 Institutionalize performance contracting	1.3.2.1a: Development of performance contracting departmental goals 1.3.2.2b: Schools annual performance contracting reports	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School Quality Assurance Officer	50,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
			1.3.3: Strengthen performance evaluation	1.3.3.1 a: Frequency of performance evaluation 1.3.3.1b: Number of performance training workshops	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School Quality Assurance Officer	50,000	Continuous
			1.3.4: Review and implement HR and Employee Manuals	1.3.4.1a: reviewed AUC employee manual 1.3.4.1b: Implemented HR departmental guideline	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School Quality Assurance Officer	50,000	Continuous
			1.3.5: review and implement the gender and disability, drug and alcohol abuse Policies	1.3.5.1a: Reviewed AUC polices on gender and disability, drug and	Deputy Principal (ASAR) Deputy Principal	25,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
				alcohol abuse 1.3.5.1b: Number of infrastructure to support people physically challenged 1.3.5.1c: Number of special needs instructors 1.3.5.1d: Number of sensitization workshops 1.3.5.1e: Number of drugs and substance informative activities and workshops held	(AFD) Deans of School		
			1.3.6: review policies and statutes of AUC	1.3.6.1a: Reviewed AUC polices and statutes	Deputy Principal (ASAR) Deputy Principal	25,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
				1.3.6.1b: Display of relevant AUC polices	(AFD) Deans of School Quality Assurance Officer		
			1.3.7: Enhance accountability, effectiveness and transparency in the conduct of University College activities	1.3.7.1a: AUC budget and expenditure document 1.3.7.1b:Percentage of contact hours taught 1.3.7.1c: Student attendance, progression and completion rates 1.3.7.1d: Display of relevant AUC polices	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School Quality Assurance Officer	**100,000**	Continuous
	Sub- Total					**1,000,000**	

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
2	Provide quality University education and training	2.1: To increase equitable students access to University education	2.1.1: Expand facilities based on emerging needs and government development agenda	2.1.1.1a: increased in the number of learning facilities 2.1.1.1a: Acquired modern facilities and equipment based on emerging needs	Deputy Principal (AFD)	2,000,000	Continuous
			2.1.2: Support trainees through industrial attachment, internships	2.1.2.1a: number of trainees on attachment and internship 2.1.2.1b: Record of institutions where trainees undertake attachment and internship	Deputy Principal (AFD) Deputy Principal (ASAR)	1,000,000	Continuous
			2.1.3: Enhance education, training and guidance services	2.1.3.1a: AUC students guidance and counseling manual	Deputy Principal (ASAR)		Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
				2.1.3.1b: Number of students in guidance and counseling programmes			
			2.1.4: Promote affirmative action for trainees	2.1.4.1a: AUC document on compliance of affirmative action government policy 2.1.4.1b: Number of students supported on the basis of affirmative action programs	Deputy Principal (AFD) Deputy Principal (ASAR)	200,000	Continuous
			2.1.5: Utilize the University College Website to highlight the variety of courses and programmes offered	2.1.5.1: Percentage increase in number of programs highlighted on the AUC website	Deputy Principal (AFD) Deputy Principal (ASAR)	150,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
			2.1.6: Incorporate ICT in teaching and learning	2.1.6.1a: Number of ICT equipment acquired 2.1.6.1b: Percentage of lecturers using ICT teaching and learning	Deputy Principal (AFD) Deputy Principal (ASAR)	150,000	Continuous
		2.2:To attract, develop, motivate and retain competent staff	2.2.1: Develop competitive emoluments and job progression structures	2.2.1.1a: Current scheme of service 2.2.1.1b: AUC turnover rates 2.2.1.1c: Employee promotion rate	Deputy Principal (AFD)	50,000	Continuous
			1.2.2: Enhance staff development opportunities	1.2.1.2a: Developed policy for staff development 1.2.1.2b: Number of workshop and refresher course attended by staff	Deputy Principal (ASAR)	200,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
				1.2.1.2c: Number of post graduate degree attained by staff			
			1.2.3: Develop and implement reward and sanction system for staff	1.2.1.3a: A functional reward and sanction guideline for staff 1.2.1.3a: Number staff rewarded and sanctioned	Deputy Principal (AFD)	300,000	Continuous
			1.2.4: Adhere to the Human Resource policy guidelines	1.2.1.4: Complaint and complement rate by staff	Deputy Principal (AFD)	500,000	Continuous
			1.2.5: Empower faculty and staff through funding of research	1.2.1.5a: AUC academic research policy 1.2.1.5b: number of staff beneficiaries	Deputy Principal (ASAR) Deans of Schools	500,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
		2.3: To accommodate diversity in faculties	2.3.1: Develop new courses in faculties	1.3.1.1: Number of new courses launched in faculties	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School CODs	250,000	Continuous
			2.3.2: Accommodate students with different learning abilities	1.3.2.1a: Surveys on lecture delivery 1.3.2.1b: Number of mapped out diversity accommodation practices	Deputy Principal (ASAR) Deans of School CODs	250,000	Continuous
	Sub-Total					**5,500,000**	
3	Institutionalize research and extension	3.1: To increase the number of research and extension activities	3.1.1: Develop mechanisms for Research and Development (R&D) collaboration and linkages	3.1.1.1a: AUC research and development policy 3.1.1.1b: AUC collaboration and linkage policy	Deputy Principal (ASAR) Deputy Principal (AFD) Deans,	250,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
			3.1.2: Promote the use of research results in technology development and transfer	3.1.2.1a: Number of research publications on technology development 3.1.2.1b: Number of technology transfer activities	Deputy Principal (ASAR) Deputy Principal (AFD) Deans of School	400,000	Continuous
			3.1.3: Develop and implement the AUC research and collaborative policies and framework	3.1.3.1: AUC research and development policy	Deputy Principal (ASAR)	700,000	Continuous
			3.1.4: Develop collaborative research programmes and partnerships	3.1.4.1: Number of workshops and seminars conducted	Deputy Principal (ASAR) Deputy Principal (AFD)	600,000	Continuous
			3.1.5: Adopt policy on intellectual property rights	3.1.5.1: Number of workshops and seminars conducted	Deputy Principal (ASAR) Deputy Principal	350,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
					(AFD)		
			3.1.6: Develop research extension /outreach services	3.1.6.1: Number of outreach programmes	Deputy Principal (ASAR)	500,000	Continuous
	Sub- Total					**2,800,000**	
4	Develop quality physical and virtual infrastructure	4.1: Develop ICT policy framework	4.1.1 Form an ICT policy development team	4.1.1.1a: AUC – ICT development team 4.1.1.1b: AUC – ICT policy document	Deputy Principal (ASAR) and Deans, Deputy Principal (AFD), Deputy Principal (ASAR), Deans of School and CODs	3,650,000	Continuous
		4.2: Develop and enhance ICT capacity and infrastructure	4.2.1: Formulate ICT Team	4.1.1.1a: Built fibre optic network for LAN and WAN 4.1.1.1b: Number of computers, LCD's and software	Deputy Principal (AFD)	1,000,000	Continuous

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
				purchased 4.1.1.1c: Enhanced ICT infrastructure			
		4.3: Institutionalize Integrated Management Information Systems (IMIS)	4.3.1: AUC - IMIS management team	4.3.1.1: Operational AUC - IMIS	Deputy Principal (AFD)	500,000	Continuous
		4.4: Promote use of ICT in curriculum delivery	4.4.1: Training of staff in ICT 4.4.2: Development of ICT oriented curriculum	4.4.1.1 Number of trained staff in ICT 4.4.2.1: ICT oriented curriculum		950,000	

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
		4.5:e-learning and e-library	4.5.1: Development of e learning materials 4.5.2: Establishment of e library	4.5.1.1: Developed e learning material 4.5.2.1: Contemporary e-learning		550,000	Continuous
	Sub- Total					**6,650,000**	
5	5.1 Institute Income Generating projects and programs	5.1: Initiate the establishment of University Hospital as an IGU to serve the community and create income for AUC	5.1.1: Build a University Hospital as an IGU to serve the community and create income for AUC	5.1.1.1: number of architectural plans approved	Deputy Principal (ASAR) Deputy Principal (AFD) Deputy Principal (ASAR),	1000,000	
			5.1.2: Construct a funeral Home to provide service to the community	5.1.2.1: An operational funeral home	Principal Deputy Principal (AFD)	700,000	

S/N	Goals	Strategic objectives	Strategies/ Activities	Performance indicator	Responsibility	Cost (KES'000')	Duration
			5.1.3 To establish partnerships and linkages for resource mobilization	5.1.3.1: Number partnerships and linkages established	Principal Deputy Principal (AFD)	1000,000	
			5.1.3: Establish AUC Business Centre	5.1.3.1: Fully operational business centre established	Principal Deputy Principal (AFD)	650,000	Continuous
			5.1.4: Enrolment of self-sponsored students	5.1.4.1a: Promotions to attract self-sponsored students 5.1.4.1b: Number of self-sponsored students enrolled		50,000	
	Sub-Total					**3,000,000**	
	GRAND TOTAL					**18,950,000**	

CHAPTER FIVE
FINANCIAL PLAN AND RESOURCE MOBILIZATION

5.1 Introduction

The chapter considers the resource requirements for implementing the strategic plan. It also discusses strategies for mobilizing such resources and areas targeted to ensure efficient utilization of the resources.

5.2 Resource Mobilization

Financing the 2018 - 2023 strategic plan Alupe University College will require KES 18,950,000,000. Its implementation shall be financed by funds sourced from recurrent expenditure, development grants, local/national governments, students' fees (Appropriation-In- Aid), donors, research grants and income generating programs as per table 4

Table 4: Budget over the plan period

Year	**2018/2019 KES'000'**	**2019/2020 KES'000'**	**2020/2021 KES'000'**	**2021/2022 KES'000'**	**2022/2023 KES'000'**	**Total KES'000'**
Recurrent Expenditure	150,944.26	500,000	730,000	800,000	800,000	**2,980,944**
Development Grants	365,677.46	1,250,000	1,400,000	1,250,000	2,750,000	**7,015,677**
Local / County Government	400,000	400,000	400,000	400,000	400,000	**2,000,000**

Year	**2018/2019 KES'000'**	**2019/2020 KES'000'**	**2020/2021 KES'000'**	**2021/2022 KES'000'**	**2022/2023 KES'000'**	**Total KES'000'**
Appropriation In Aid	14,139.69	20,000	20,000	280,000	415,000	**749,140**
Donors	40,000	540,000	540,000	1,040,000	540,000	**2,700,000**
Research Grants	200,000	745,000	600,000	600,000	555,000	**2,700,000**
Income Generating Activities	29,239	125,000	100,000	320,000	230,000	**804,239**
Expenditure	**1,200,000**	**3,580,000**	**3,790,000**	**4,690,000**	**5,690,000**	**18,950,000**
Surplus/Deficit	-	-	-	-	-	-

5.3 Measures to ensure prudent utilization of resources

In the implementation of the strategic plan, the University shall adhere to the guidelines stipulated in the national and county financial regulations, public procurement and disposal Act (2015) and the procurement Regulations (2016). It shall abide by the development partners guidelines regarding utilization of and accounting of the resources.

5.4 Financial Assumptions

The financial plan was developed based on the following assumptions:

a) The student population will continue to increase given the primary and secondary education programmes and opening up of HELB loans to PSSP students
b) That investment in income generating units will grow, thus increasing non-governmental revenue
c) That resource mobilization will be institutionalized through partnerships
d) That the University College budget must be balanced between expected income and projected expenditure
e) That exchequer allocation will be pegged on student unit cost
f) That performance and cost management strategies will be enhanced for efficiency and effectiveness in the utilization of financial resources

5.5 Projected Capital Development Plan

The capital investment will be financed through the Exchequer Development Fund, Donor funds and PPP and research grants AUC will over a five year period invest KES 9.7B on capital development projects. The funds will be spent in the financial years as shown in Table 5.

Table 5: Capital Development plan

	Proposed projects	**2018/2019 KES '000'**	**2019/2020 KES '000'**	**2020/2021 KES '000'**	**2021/2022 KES '000'**	**2022/2023 KES '000'**	**Total KES'000'**
1	Survey and fencing	5,000.00	100,000	500,000	600,000	830,000	**2,035,000**
2	Five Lecture rooms	13,000.00	50,000	60,000	100,000	0	**223,000**
3	Renovation Project	1,000					**1,000**
4	Class rooms and laboratory project	4,000.00	50,000	40,000	60,000	0	**154,000**

	Proposed projects	**2018/2019 KES '000'**	**2019/2020 KES '000'**	**2020/2021 KES '000'**	**2021/2022 KES '000'**	**2022/2023 KES '000'**	**Total KES'000'**
5	Construction of schools	0	-	50,000	440,000	800,000	**1,290,000**
6	Students Centre	-	-	20,000	50,000	50,000	**120,000**
7	Fabricated buildings	240,000	-	50,000	-	-	**290,000**
8	Sewerage and water sanitation	-	100,000	300,000	50,000	200,000	**650,000**
9	Skills Laboratory	-	210,000	300,000	400,000	-	**910,000**
10	Fibre Optic network (LAN &WAN)	-	-	200,000	200,000	100,000	**500,000**
11	Computers and office equipment	5,677.46	10,000	5,000	-	-	**20,677.46**
12	Ultra-Modern Library	100,000	350,000	298,000	600,000	-	**1,348,000**
13	Purchase of medical equipment	10,000	-	20,000	10,000	150,000	**190,000**
14	Funeral Home	-	-	-	-	1,026,322.54	1,026,322.54
16	Anatomy Laboratory	-	-	12,000	430,000	500,000	**942,000**
	Total	**378,677.46**	**870,000.00**	**1,855,000.00**	**2,940,000.00**	**3,340,000.00**	**9,700,000.00**

5.6 Projections of Student Enrolment

The student fraternity comprises of direct school leavers and those already working in the formal and informal sectors. The Present student population stands at one hundred and eighty (180) in the year 2017/2018 and we plan to increase the number to two thousand (2,000) in the year 2022/2023 through increased number of market oriented academic programmes that will be rolled out

5.7 Current and Projected Human Resource Capacities

The current human resource levels and functions at Alupe University College are inadequate to enable achievement of this strategic plan. Both faculty and non- teaching staff need to be fundamentally increased in numbers together with the attendant established and organizational structure. The detail of the projected human resource requirements is indicated in table 7.

Table 6: Proposed Human Resource Requirements

S/N	Designation	2018/ 2019	2019/ 2020	2020/ 2021	2021/ 2022	2022/ 2023	TOTAL
1	Principal	1	1	1	1	1	**1**
2	Deputy Principal	2	2	2	3	3	**3**
3	Deputy Registrar	0	0	0	1	1	**1**
4	Deans	5	5	5	7	7	**7**
5	Lecturers	31	75	106	150	194	**194**
6	Assistant Registrars	1	2	2	2	2	**2**
7	Senior Administrative	0	0	0	1	1	**1**

S/N	Designation	2018/ 2019	2019/ 2020	2020/ 2021	2021/ 2022	2022/ 2023	TOTAL
	Assistant						
8	Administrative assistant	1	1	1	3	3	**3**
9	Assistant Office Administrators	2	3	3	4	4	**4**
10	Messenger/Cleaner	5	6	6	7	7	**7**
11	Registry Clerk	0	2	2	2	2	**2**
12	Internal Auditor	1	1	1	1	1	**1**
13	Audit Assistant	0	0	0	1	1	**1**
14	Senior Accountant	2	2	2	2	2	**2**
15	Assistant Accountant	1	3	3	4	4	**4**
16	Network Administrator	0	0	1	1	1	**1**
17	Nurse	0	1	2	2	2	**2**
18	Games Tutor	0	1	1	1	1	**1**
19	Janitor	0	2	2	2	2	**2**
20	Assistant house keeper	1	2	2	2	2	**2**

S/N	Designation	2018/ 2019	2019/ 2020	2020/ 2021	2021/ 2022	2022/ 2023	TOTAL
21	Procurement Officer	0	0	0	0	0	**0**
22	Assistant Supplies officer	1	1	1	1	1	**1**
23	Senior procurement Assistant	1	1	1	1	1	**1**
24	Stores clerk	1	1	1	1	1	**1**
25	Laboratory technician	2	2	4	4	4	**4**
26	Senior cateress	1	1	1	1	1	**1**
27	Assistant Cateress	0	1	1	2	2	**2**
28	Cook	2	4	4	4	4	**4**
29	Dining hall superintendent	1	1	1	1	1	**1**
30	Dining hall attendant	1	3	3	3	3	**3**
31	Stores assistant	0	0	1	1	1	**1**
32	Cashier	1	2	2	2	2	**2**
33	Assistant Catering officer	0	0	0	1	1	**1**

S/N	Designation	2018/ 2019	2019/ 2020	2020/ 2021	2021/ 2022	2022/ 2023	TOTAL
34	Senior Librarian	0	0	0	0	1	**1**
35	Librarian 1	0	1	1	1	1	**1**
36	Senior Library Assistant	0	0	0	0	0	**0**
37	Assistant Librarian	1	2	2	2	2	**2**
38	Library Attendant	0	3	3	3	3	**3**
39	Security Checker	0	1	1	1	2	**2**
40	Assistant Security officer	1	1	1	1	1	**1**
41	ICT/Audio Visual assistant	0	1	1	1	2	**2**
42	Machine Operator	0	1	1	1	1	**1**
43	Draughtsman	0	1	2	2	2	**2**
44	Security officer	0	0	0	0	2	**2**
45	Security supervisor	0	1	1	1	1	**1**
46	Senior Security Guard	3	3	4	4	4	**4**
47	Artisans: Electrician	1	1	1	1	1	**1**

S/N	Designation	2018/ 2019	2019/ 2020	2020/ 2021	2021/ 2022	2022/ 2023	TOTAL
48	Senior maintenance officer	1	1	1	1	1	**1**
49	Artisan : Plumber	1	1	1	1	1	**1**
50	Grounds man	3	3	3	3	3	**3**
51	Artisan: Mason	1	1	1	1	1	**1**
52	Artisan: Welder	1	1	1	1	1	**1**
53	Artisan: Carpenter	1	1	1	1	1	**1**
54	Driver	1	2	2	2	2	**2**
55	Sewerage Attendant	1	1	1	1	1	**1**
	Total	**80**	**153**	**191**	**248**	**297**	**297**

CHAPTER SIX
STRATEGIC PLAN PERFORMANCE, MONITORING AND EVALUATION FRAMEWORK

6.1 Introduction

Monitoring and Evaluation (M&E) is a multi-faceted and highly iterative process involving widespread engagement, often with the same people and/or systems. It is construed as an exercise on continuous learning and putting into practice what is learned. In other words, the results of any Monitoring and Evaluation exercise should feed back into the M&E process so as to make it better, more scientific, valid, more responsive and, thus, more useful to all the stakeholders. Therefore M&E will be an important management tool that will be used at AUC to ensure that implementation of this strategic plan is on course.

Monitoring is essential to capture progressions as the strategic plan is implemented, while evaluation will be periodic retrospective assessment of the strategic plan to gauge the extent of achievement of intended results. Consequently, the Strategic Plan will be subjected to Mid-term and End of Plan reviews by the M&E team (appointed by University Management Board) at AUC. The university management will be keen on the issues of capacity, roles and integration during the formation of the M&E team. Also, aspects of quality of results obtained, comparison, transparency, accountability and the reliability of information will be considered.

The M&E function will be spread across all institutional departments and a framework to collect and analyze data will put in place. This will largely be derived from the action plan which shows strategic activities and identifies the person responsible for undertaking the activities. The main reason for this is to enable AUC administration to verify progress based on evidence from implementation matrix. Specific performance indicators in the action plan will enable verifying outcomes from strategic activities within projected durations. The M&E process will take into account emergent issues, and changes in the environment that affect this Plan. The nature and scope of the reporting will include:

- Implementation milestones against the Strategic Plan.
- Possible existence of deviations and their cause

- Mitigation of deviations.

6.1.1 AUC Strategic Planning and Implementation Committee

To help initiate M&E process, setting up an M&E team will be very helpful particularly in integrating key concepts of M&E into various sectors of AUC. This strategic plan M&E team will coordinate collection of data, analysis and reporting. It is ideal that everyone in the institution has an established role in M&E as it creates awareness of the existence of a strategic plan and hence keeps everyone focused on their roles and contribution towards realization of objectives. It also greatly eases integration of key concepts of M&E, such as data use and data quality.

It will be the duty of the M&E team to identify individuals that will be involved in aspects of data collection, information systems, evaluation and analysis of data, among others (table 8 may be used to capture this). The M&E team will meet regularly to check on progress and plan on how to use information from the monitoring and evaluation systems to inform decision making within the institution.

Table 7: M&E responsibility table

Team Member	Role / Responsibility

6.1.2 Implementation Framework

The proposed action plan as presented in Table 7 outlines how each of the strategic objectives will be accomplished. Achievement of strategic objectives will entail accomplishing a set of strategies along the way. Each strategic objective is associated with an activity, which is one of the methods needed to attain a strategy.

The action plan has also specified responsibilities and time frames for attaining each strategic objective, including who needs to do what and by when. It further highlights performance targets or verifiable indicators for each activity**.**

AUC will institute measures to deliberately capture data on routine basis and analyse it. This will inform the successful progression in implementation of the strategic plan. The results from the analysis will then be used to inform decision making at all levels of the strategic plan implementation. Necessary corrective measures will then be put in place in the event deviations are identified. This will be achieved by:

- Carrying out internal periodic data collection, analysis and monthly reporting.
- Development of monitoring indicators at all levels of implementation.
- Making objective participant observations.
- Conducting specially designed surveys and rapid assessments to assess progress.
- Carrying out participatory M&E with members of AUC.
- Facilitating independent assessment and reviews of the programmes under implementation.

The implementing units will submit periodic review reports to the institutional M&E steering committee. These reports will be reviewed regularly against the indicators to ensure that there is positive progress.

(a) Evaluation Mechanism

The strategic plan will be evaluated during and after implementation to ensure that it produces the intended results. The plan will inherently be subjected to independent evaluation to remove any element of bias. The evaluation will be carried out to gauge relevance, efficiency, effectiveness, sustainability and impact. A logical framework will be designed to track and monitor progress in the implementation of the plan.

(b) Monitoring and Evaluation Tools

Monitoring and evaluation tools are ideal in measuring accomplishments and detecting any deviations. The institution implementation matrix will help track and monitor progress in implementation of the Plan. In carrying out M&E, the following tools will be adopted:

- Annual performance contracts and work plans
- Annual implementation matrix review
- Annual budget and quarterly expenditure review

- Annual staff appraisal reports
- Annual and quarterly development reports
- Consultative and Executive Committee meetings.

(i) University College Council

Dr. Virginia Wamuyu Kimani	Chairperson
Prof. Isaac Kosgei	VC Moi University
Prof. Fabian Esamai	Secretary to the council
Dr. Christopher Yegon	State Department for University Education
Mr. Isaac O. Omondi	Rep. State Corporation
Ms. Nereah Olick	Member
Ms. Lydia Tsuma	Member
Eng. Andrew Makokha	Member
Mr. Alinoor Hassan	Member
Mr. Kiema Mwendia	Member
Mr. William Ikapel	Member
Ms. Caroline Chirchir	Member

(ii) University College Management Board

Name	**Designation**
Prof. Fabian Esamai	Principal
Prof. Emmy J. Kipsoi	Ag. Deputy Principal Administration, Finance and Development
Prof. Peter Barasa	Ag. Deputy Principal Academic, Research and Student Affairs
Ms. Bilha Shitsinzi	Senior Accountant

(iii) Strategic Plan Steering Committee

Dr. Arnety N Makokha	Chairperson
Dr. Hillary O. Busolo	Secretary
Mr. Wycliffe Osabwa	Member
Mr. Boswell O. Owuor	Member
Ms. Gladys N. Ogaro	Member