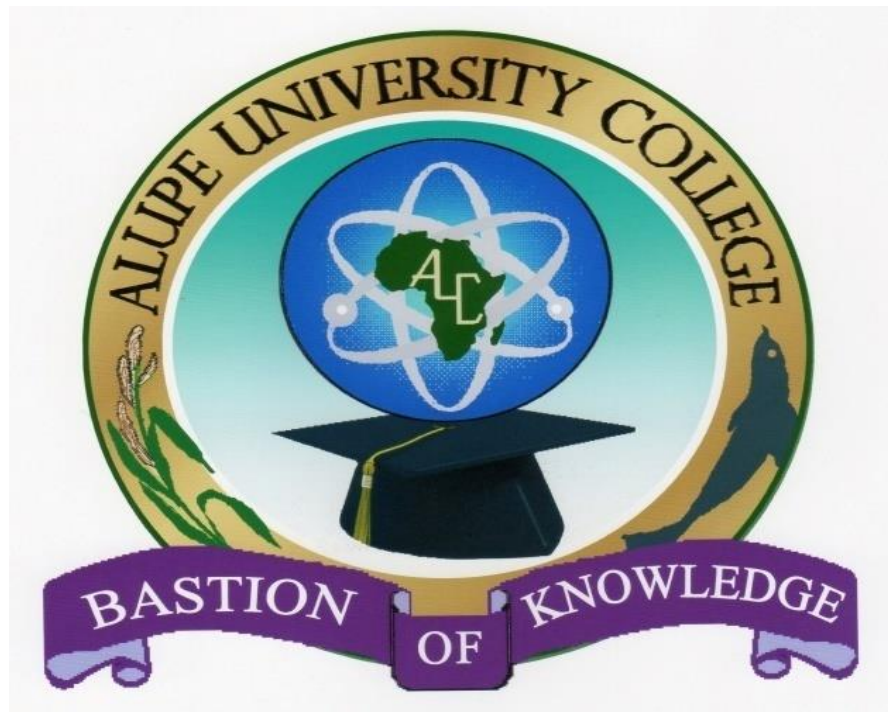


# ALUPE UNIVERSITY COLLEGE

*(A Constituent College of Moi University)*



## ALUPE UNIVERSITY COLLEGE PROCEDURES MANUAL

2022

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# **ADMINISTRATION PROCEDURES**

## **PROCEDURE NUMBER 1: INQUIRIES**

### **1.0 General**

#### **1.1 Purpose**

To be able to provide information promptly and satisfy customer's request for information and services

#### **1.2 Scope**

This procedure shall apply to both internal and external customers at Alupe University College.

#### **1.3 Terms and Definitions**

- a) Internal customer: - include staff and students of AUC seeking services from another individual or department.
- b) External customer: - include visitors from outside AUC.

#### **1.4 Principal Responsibility**

The Deputy Principal (Administration, Finance and Development) shall ensure that this procedure is adhered to.

### **2.0 Procedure**

#### **2.1 Customer Care at Service Points**

2.1.1 Upon contact with Customer, the service officer shall either;

- a) Enquire the needs of the customer and as applicable handle it OR
- b) Establish the availability of the officer to be seen OR send the customer to the relevant office/officer

2.1.2 The service Officer shall address the needs of the customer and handle any inquiry by the customer.

2.1.3 The service officer shall request the customer to give feedback at the end of service provision by filling customer feedback form.

#### **2.2 Analysis of customer feedback**

Customer feedback shall be analyzed on monthly basis by office of DP (AFD).

### **3.0 References**

- a) AUC Citizen Service Delivery Charter
  - b) AUC Applicable Procedures
  - c) Visitors book / register at the entry point
  - d) Monthly report
-

## **PROCEDURE NUMBER 2: PROCUREMENT OF GOODS AND SERVICES**

### **1.0 General**

#### **1.1 Purpose**

The purpose is to adhere to the Public Procurement and Disposal Act

#### **1.2 Scope**

This procedure covers the Procurement, Supply and delivery of all Goods, Works and Services required by the University annually.

#### **1.3 Terms and Definitions**

##### **1.3.1 MB-Management Board**

##### **1.3.2 SRN-Stores Requisition Note.**

##### **1.3.3 PRN-Purchase Requisition Note.**

##### **1.3.4 GRN-Goods Received Note.**

##### **1.3.5 SPO-Senior Procurement Officer.**

##### **1.3.6 HOD -Head of Department.**

##### **1.3.7 PPRA-Public Procurement Regulatory Authority**

##### **1.3.8 PPDA-Public Procurement and Asset Disposal Act 2015**

##### **1.3.9 FAF- Funds Availability Form.**

#### **1.4 Principal Responsibility**

The Senior Procurement Officer shall be responsible for the implementation and effective Supervision of these procedure.

### **2.0 Procedure**

#### **2.1 Formulation of Consolidated Annual Procurement Plan.**

2.1.1 All procurements starts with the planning and shall be within the approved budget and shall be through an annual consolidated procurement plan.

2.1.1 The Senior Procurement Officer shall in writing request various chairpersons/heads of departments to submit their annual departmental procurement plan to the Principal through the Procurement department at least thirty (30) days before the close of each financial year covering all items of procurement including:

a. Consumables

b. Furniture and office equipment

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- c. Tools and gear of work
- d. Maintenance and repair
- e. Construction works
- f. Teaching and research materials
- g. Insurance services
- h. Travel, accommodation and conferencing.
- i. Consultancy services
- j. Security services
- k. Cleaning and waste management
- l. Capital equipment and machines including motor vehicles
- m. Other specialized needs peculiar to user departments.

## **2.2 Considerations when Preparing Procurement Plans**

- 2.2.1 Before making a proposal in a procurement plan for the University College to spend funds, the user shall constitute a committee having the relevant technical expertise and experience. This committee will consider:
- a. Overall institutional priorities in the light of resource allocation
  - b. Estimated expenditure
  - c. Budgetary allocation
  - d. Available options and alternatives
  - e. Opportunity costs
  - f. Value adding for other activities
  - g. Developments in the industry
  - h. Market trends
  - i. Applicable/relevant legislation especially with regard to preference groups
  - j. Ongoing research and development.
- 2.2.2 Where the recommendation of this committee is that procurement is necessary, then the item can be incorporated into the departmental procurement plan.
- 2.2.3 Following a prescribed format Chairpersons/ Heads of Department shall prepare Procurement Plans aligned to the budgets prior to the commencement of the financial year.
-

This shall be done in time for consolidation of the departmental plans.

- 2.2.4 Chairpersons/Heads of department (HODs) will be expected to know the estimated cost of goods and services to be procured by their departments in order to prepare *realistic* procurement plans. Realistic here means closely tied to the budget estimates. They may be guided in achieving this by:
- a. The previous year's purchase prices.
  - b. Carrying out a market survey.
- 2.2.5 The deadline for submission of departmental Procurement Plans is by 30<sup>th</sup> April of every financial year.
- 2.2.6 The departmental procurement plans shall be submitted to the Procurement Department through the Principal.
- 2.2.7 The Departmental procurement plans shall be tabled for rationalization and approval in the College Management Board.
- 2.2.8 The Procurement Department then develops a consolidated procurement plan that shall be approved by the Principal and the University College Council.
- 2.2.9 A copy of the Council approved Consolidated Procurement Plan will then be submitted to the National Treasury and **PPRA** sixty (60) days after the commencement of the financial year.

### **2.3 User Need Identification**

- 2.3.1 The procurement process begins with identification of needs by the user. Needs are those items or services that should be procured to help the University College achieve its strategic plans and goals. All required items have to be budgeted for and their total value is what is referred to as the "annual procurement plan". Therefore, any requirement that has not been budgeted for will not be processed for procurement.
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## **2.4 Preparing Specifications**

- 2.4.1 Users have the responsibility of drawing up the correct specifications of their procurement needs before forwarding them to the Procurement Department. If need be, users may seek the assistance of technical experts in drawing up specifications.
- 2.4.2 Items should be described in sufficient detail in terms of performance without displaying biases towards particular brands. Specifications may be presented by one or a combination of the following:
- i. Description
  - ii. Sample
  - iii. Drawings
  - iv. Capacity
  - v. Usage
  - vi. Standards

This is what is referred to as "technical specifications".

- 2.4.3 Use of brand names or models is discouraged when preparing specifications as it limits competition.
- 2.4.4 Where these are necessary, however, the user may need to liaise with relevant technical departments or the Procurement Department in drawing up such specifications.
- 2.4.5 Once specifications have been drawn up they shall not be changed without the involvement of the user.
- 2.4.6 The user is discouraged from altering the specifications once the procurement process is underway.
- 2.4.7 The responsibility for preparing the specifications is shared by the user and technical departments and coordinated by the Procurement Department.

## **2.5 Initiating the Procurement Process**

- 2.5.1 The Procurement Process is initiated after the need for goods, services and works has been identified and the same has been certified by the Head of Department. It is also necessary at this stage to confirm the availability of funds for the intended purpose.
- 2.5.2 The initiation of the procurement process by the user is immediately after the approval of the consolidated procurement plan.
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2.5.3 All procurement requisitions must be accompanied by completed and appropriately approved Funds Availability Form (FAF). These should be raised by the user/vote holder, who is duly authorized by either the Chairman/Head of Department, Principal, or Deputy Principal. It is only after the Finance Department has confirmed the availability of funds that the procurement process will commence.

2.5.4 All the procurement work shall be carried out by the procurement department after the user has drawn up specifications and the appropriate authorization to procure has been obtained.

2.5.5 The main steps involved in initiating the procurement process are as follows:

- i. User lists down requirements (Requisition/shopping list) as per the approved procurement plan.
- ii. User estimates the cost of the requirements either by using a market survey report obtained from procurement.
- iii. User compares the total cost against the budgetary allocation;
- iv. User reconciles the total cost and the budgetary provisions and corrects by addition or prioritization;
- v. User comes up with a finalist;
- vi. The user submits the final list to the Head of Department/Chair of Department/Dean/Deputy Principal/Principal.
- vii. The Head of Department (as in f above) supports the request to procure by confirming its conformity with the procurement plan and the budgeted requirements of the department.

## **2.6 Procurement for Construction Works and Capital Equipment.**

The following procedure will apply during procurement for construction works and capital equipment:

2.6.1 After consulting with the user and in line with the approved consolidated procurement plan, the Head of Development draws up a proposal on the work to be done. In the case of capital equipment the user draws up a proposal for the equipment to be procured.

2.6.1 The proposal is then tabled in the University Management Board for approval.

2.6.2 The proposal is tabled before the Finance Planning and Development Committee of the University College Council.

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- 2.6.3 The Finance Planning Development Committee (FPDC) of council recommends to the full council of the University College for approval and allocation of funds.
- 2.6.4 The Principal through the Development Department initiate the procurement process.
- 2.6.5 The Procurement Department processes the procurement of the approved construction works.

## **2.7 Tendering for Supply of Goods, Works and Services.**

- 2.7.1 All procurement requests for values above **Ksh 5,000,000.00** shall be processed through the Principal. The approval of consolidated procurement plan is deemed to include the approval of all procurement methods indicated in the plan.
  - 2.7.1 The processing of all annual tenders shall be finalized before the close of each financial year in compliance with the provisions PPDA 215 and Regulations 2020.
  - 2.7.2 Tenders shall be advertised in at least two daily newspapers of nationwide circulation. The time for preparing tenders, which is the period between advertising and tender opening, is 14 days for local tenders. International tendering will require 21days after advertisement in international media.
  - 2.7.3 All tenders/bids will be processed by the Procurement Department through engagement of adhoc committees as stipulated in the PPDA 2015 and Regulations 2020 and when finalized shall become binding to AUC as a procuring entity.
  - 2.7.4 Contract award is based on professional opinion/advice given by HOD Procurement to the accounting Officer.
  - 2.7.5 The Accounting Officer may approve submission, Reject submission with a reason or approve a submission subject to minor clarifications to be made by the Procurement Department.
  - 2.7.6 Once tenders have been concluded, purchases shall only be obtained from the approved tenderers for the entire tender period
-

## **PROCEDURE NUMBER 3: ISSUANCE OF GOODS**

### **1.0 General**

#### **1.1 Purpose**

The purpose is to adhere to the Public Procurement and Disposal Act

#### **1.2 Scope**

This procedure covers the Supply and delivery of all Goods, Works and Services required by the University annually.

#### **1.3 Terms and Definitions**

- a. **MB**-Management Board
- b. **SRN**-Stores Requisition Note.
- c. **PRN**-Purchase Requisition Note.
- d. **GRN**-Goods Received Note.
- e. **SPO**-Senior Procurement Officer.
- f. **HOD** -Head of Department.
- g. **PPRA**-Public Procurement Regulatory Authority
- h. **PPDA**-Public Procurement and Asset Disposal Act 2015
- i. **FAF**- Funds Availability Form.

#### **1.4 Principal Responsibility**

The Senior Procurement Officer shall be responsible for the implementation and effective Supervision of these procedures.

### **2.0 Procedure**

#### **2.1 Receiving Goods**

- 2.1.1 Goods or materials must be received into the Central Stores from external suppliers. These goods/materials must be accompanied by the relevant documents relating to the particular procurement. In particular, the delivery note should indicate the order number, quantity of goods delivered, item description, point of delivery, and any other instructions.

## **2.2 Inspection of Goods**

- 2.2.1 Before materials are accepted into the store they must be inspected for quality and quantity compliance against the order specifications and, where relevant, the sample. If goods are technical in nature, the user shall be called upon to check the technical aspect before final acceptance. In case of defects or quality shortfalls the items shall be rejected and the supplier informed to take back the same.
- 2.2.2 There will be an ad hoc Inspection and Acceptance committee to inspect goods and services immediately after delivery.
- 2.2.3 A goods-inward register shall be kept and entered daily as and when consignments arrive. The register shall provide the following information:
  - a. Date and time of arrival of consignment;
  - b. Consignor;
  - c. Method of transport;
  - d. Vehicle number;
  - e. Brief description of the goods;
  - f. Order/contract number.

Goods will not be received in the University after 5 p.m.

- 2.2.4 A Goods Received Note (GRN) is raised taking into stock the receipts and confirming to relevant departments that the goods were indeed received. The GRN is an accounting document that is serially numbered and contains the following information:
  - a. Date of receipt - as in the receipt register;
  - b. Consignor;
  - c. Consignor's delivery note number;
  - d. Order/contract number;
  - e. Item(s) code/description;
  - f. Quantity received;
  - g. Number and type of packages;
  - h. Method of transport;
  - i. Any excess or shortfall in delivery;

- j. Name/signature of receiving storekeeper;
- k. Quality inspector's name/signature applicable).

### **2.3 Issuing and Dispatching of Materials.**

2.3.1 The Stores personnel shall only issue materials upon receipt of a Stores Requisition Note (SRN) duly authorized by the head of the department requesting for goods. The SRN is an accounting document that is serially numbered and has the following details:

- a. Department/Section requesting the items;
- b. Quantity required;
- c. Items description;
- d. Quantity committed;
- e. Authorizing officer and date;
- f. Issuer and date of issue;
- g. Receiving staff and date of receipt.

### **2.4 Stock Records**

These records are in form of Stores Ledger Cards/Bin Cards and serves the following purpose:

- 2.4.1 Indicate the amount of stock of any item available at any time without the need for a physical count.
- 2.4.2 Establish a link between physical stock and stores accounts (receipts/issues).
- 2.4.3 Provide a means of provisioning.
- 2.4.4 Supply information for stocktaking.
- 2.4.5 Serve the purpose of pricelist.

### **3.0 Reference**

- i. Public Procurement Manuals
- ii. Public Procurement and Asset Disposal Act 2015.
- iii. Public Procurement Regulations 2020.
- iv. Alupe University College Statutes.

## **PROCEDURE NUMBER 4: PAYMENT OF GOODS AND SERVICES**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure that goods and services are paid within 7-14 days from date of receipt of invoice.

#### **1.2 Scope**

This procedure applies to payment of goods supplied and services rendered to Alupe University College

#### **1.3 Abbreviations**

1.3.1 PRN	-Purchase Requisition Note
1.3.2 LPO	-Local Purchase Order
1.3.3 LSO	-Local Service Order
1.3.4 GRN	-Goods Received Note
1.3.5 PFM Act	-Public Finance Management Act
1.3.6 VAT	-Value Added Tax
1.3.7 AUC	-Alupe University College
1.3.8 D/P (AFD)	-Deputy Principal Administration Finance and Development
1.3.9 D/P (ARSA)	-Deputy Principal Academic Research and Student Affairs
1.3.10 HOD	-Head of Department
1.3.11 PV	-Payment Voucher
1.3.12 KRA	-Kenya Revenue Authority
1.3.13 PIN	-Personal Identification Number
1.3.14 QS	-Quantity Surveyor
1.3.15 DN	-Delivery Note
1.3.16 PO	-Professional Option

## 1.4 Principal Responsibility

The Head of Finance Department shall ensure that this procedure is implemented.

## 2.0 Procedure

### 2.1 Payment of Goods and Services

**2.1.1** The accounts assistant charged with the responsibility of processing payments of goods and services shall *receive* invoices along with their attachments for processing.

**2.1.2** **In case of Local Orders (purchases through LPO/LSO)** upon receiving the invoice, the accounts assistant charged with the responsibility of processing payments of goods and services shall *examine* the attached documents to ensure that: -

**2.1.2.1** The invoice being presented for payment of goods or services is original

**2.1.2.2** The attached request for the goods or services invoiced is approved.

**2.1.2.3** There is a copy of Low Value Procurement or a copy Professional Opinion (PO) as a prove that procurement procedures were followed.

**2.1.2.4** There is copy of Purchase Requisition Note (PRN) for goods or services being invoiced for payment.

**2.1.2.5** There is copy of Local Purchase Order (LPO) for goods invoiced or Local Service Order (LSO) in case of a service.

**2.1.2.6** The LPO/LSO total amount reconciles with invoiced amount if NOT there is attached Credit Note incase of an overcharge or Debit Note incase of an undercharge.

**2.1.2.7** There is original fully signed Delivery Note (DN) as a approve that goods invoiced were delivered to the institution.

**2.1.2.8** There is a copy of Goods Received Note (GRN) as approve that goods invoiced were received at Alupe University College and taken to charge by procurement office.

**2.1.2.9** Items in the Delivery note attached and the Goods Received Note (GRN) raised by Alupe University College procurement office reconciles.

**2.1.2.10** There is copy of Kenya Revenue Authority (KRA) PIN to be used while filling withholding taxes.

**2.1.2.11** There is original fully signed Inspection and Acceptance report as a approve that invoiced goods were accepted by the User who initiated the request.

- 2.1.3 **In case of Contracts (Payment of Contractors)** upon receiving the certificate, the accounts assistant charged with the responsibility of processing payments shall *examine* the attached documents to ensure that: -
- 2.1.3.1 The certificate being presented for payment is original and has been approved.
  - 2.1.3.2 There is an attached request from the contractor to the project manager works secretary, state department of public works requesting for payment.
  - 2.1.3.3 There is attached request from HOD Development to the Deputy Principal (AFD) for payment.
  - 2.1.3.4 There is a copy of active contract/agreement attached, if expired a copy of contract extension from the project manager works secretary, state department of public works should be attached.
  - 2.1.3.5 There is a copy of Contractor's Performance Bond from an insurance company
  - 2.1.3.6 There is a copy of clerk of works report on the progress of the construction
  - 2.1.3.7 There is a copy of site meeting minutes held prior to the payment request
  - 2.1.3.8 There is a copy of Notification of a ward of tender by the Alupe University College Principal to the contractor
  - 2.1.3.9 There is an original forwarding letter from the project manager state department of public works to Alupe University College Principal to make the payment to the contractor.
  - 2.1.3.10 There is an original attachment of Payment voucher from the state department of public works
  - 2.1.3.11 There is an original attachment of Summary of statement for payment on Account from project manager state department of public works
  - 2.1.3.12 There is an original attachment of financial statement for valuation from Quantity Surveyor (QS) state department of public works
  - 2.1.3.13 There is an original attachment of statement for payment on account from Quantity Surveyor (QS) state department of public works
  - 2.1.3.14 There are installation schedules i.e. Electrical installations, internal plumbing and drainage works attached from the state department of public works



- 2.1.3.15** There is copy of Kenya Revenue Authority (KRA) PIN to be used while filling withholding taxes.
- 2.1.3.16** There is a copy of handing over certificate or Completion Certificate in case it's a final payment.
- 2.1.4 Upon confirmation that all attached documents to the invoice presented for payment are okay, the accounts assistant charged with the responsibility of payment processing shall **raise** Payment Voucher (PV) through the Finance Management system.
- 2.1.5 The raised Payment Voucher (PV) in **2.1.4** above shall be presented to the Accountant I for **Verification** through Finance department payment Voucher movement register.
- 2.1.6 The verified payment Voucher (PV) in **2.1.5** above shall be presented to the Head of Finance Department for **Approval** through Finance department payment Voucher movement register.
- 2.1.7 The approved payment Voucher (PV) in **2.1.6** above shall be presented to the AUC Internal Auditor for **Pre-auditing** through Finance department payment Voucher movement register.
- 2.1.8 The pre-audited payment Voucher (PV) in **2.1.7** above shall be presented to the Cashier charged with the responsibility of cheque writing through Finance department payment Voucher movement register to **raise** payment cheque.
- 2.1.9 The payment cheque raised in **2.1.8** above shall be presented to the Head of Finance Department for signing (**1<sup>st</sup> signature**) through Finance department Cheque signing register.
- 2.1.10 The payment cheque signed by Head of Finance Department in **2.1.9** above shall be presented to the Deputy Principal Administration, Finance and Development for signing (**2<sup>nd</sup> signature**) through Finance department Cheque signing register. In case D/P (AFD) is not physically within the university the 2<sup>nd</sup> signature shall be signed by the D/P (ARSA)
- 2.1.11 The payment cheque signed by the Deputy Principal in **2.1.10** above shall be presented to the Principal for signing (**3<sup>rd</sup> signature**) through Finance department Cheque signing register
- 2.1.12 Fully signed payment cheques shall be **issued** to the supplier in case of goods or service provider in case of a service through Finance department Cheque issuing register
- 2.1.13 Upon receipt of the payment cheque, the supplier/service provider shall **present** the cheque to the bank for payment.
- 2.1.14 In case of payments through EFT OR RTGS, fully approved payment voucher shall be presented to the HOD Finance who will process the payment and communicate to the signatories for approval.

- 2.1.15 At the end of every month the Accountant charged with the responsibility of bank reconciliation shall carry out bank reconciliation to ascertain if payment cheques presented by either supplier or services provider went through (*it was paid*).

### **3.0 List of applicable records**

- 3.1** Invoice
- 3.2** Approved Request
- 3.3** Professional Opinion
- 3.4** Purchase Requisition Note (PRN)
- 3.5** Local Purchase Order (LPO)
- 3.6** Local Service Order (LSO)
- 3.7** Delivery Note
- 3.8** Goods Received Note (GRN)
- 3.9** Inspection and Acceptance Report
- 3.10** Payment Voucher
- 3.11** Payment Voucher Movement Register
- 3.12** Cheques Signing Register
- 3.13** Cheques counterfoil
- 3.14** Cheques issuance Register
- 3.15** Bank Reconciliation statement

### **4.0 References**

- 1.** The Public Management (PFM) Act, 2012
- 2.** The Public Procurement and Assets Disposal Act, 2015
- 3.** The Income Tax Act (CAP 470)
- 4.** The Value Added Tax Act (CAP 476)
- 5.** Finance Manual

## **PROCEDURE NUMBER 5: RECRUITMENT AND SELECTION**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure effectiveness, timeliness, consistency, accuracy and transparency in recruitment and selection of staff at Alupe University College.

#### **1.2 Scope**

This procedure applies to all recruitment and selection processes in the University College.

#### **1.3 Terms and Definitions**

- a) COD – Chairperson of Academic Department
- b) DP (AFD) – Deputy Principal (Administration Finance and Development)
- c) HOD – Head of Administrative Department
- d) HR – Human Resource
- e) PF number – Personal file number assigned to a staff

#### **1.4 Principal Responsibility**

The Deputy Principal (AF&D) shall ensure that these procedures are adhered to.

### **2.0 Procedure**

#### **2.1 Human Resource Planning**

- 2.1.1 For the academic division, the COD shall identify shortfalls in the staffing position and make a request to the respective Dean for recruitment for onward submission to the Deputy Principal (ARSA) who shall forward the request to the Deputy Principal (AF&D).
- 2.1.2 For the administrative division, the HOD shall identify shortfalls in the staffing position in the department and make a request to the Deputy Principal (AF&D).
- 2.1.3 The DP (AF&D) shall ensure collating of the staffing needs and requirement for both academic and administrative divisions and table them in the Staff Establishment Committee for rationalization.

2.1.4 The Staff Establishment Committee shall rationalize the needs from the departments based on the following:

- a) Current University College Staff establishment
- b) University College Strategic Plan
- c) Budgetary Allocation
- d) Work load

2.1.5 The DP (AF&D) shall communicate to the Deputy Principal (ARSA) the rationalized requests for the academic division and request them to adjust their staffing needs and resubmit.

2.1.6 The DP (AF&D) shall communicate to the respective HOD the rationalized requests for the administrative division and request them to adjust their staffing needs and resubmit.

2.1.7 The DP (AF&D) shall forward the rationalized requests to management for input, confirmation, and forward to Council.

## **2.2 Advertisement**

2.2.1. Advertisement of the approved positions shall be done by the Deputy Principal (AF&D) in MY Gov (GAA) Newspaper and the University College website for positions in scales 5 and above and through an internal advert for positions in scales 1-4.

## **2.3 Receiving of Applications**

2.3.1 The officer In-Charge of Registry shall receive all applications in the Administration Registry before the stated deadline.

2.3.2 The Senior Administrative Assistant shall prepare a register for received applications for each advertised position which shall bear the following;

- a) Name of Applicant
- b) Position Applied for

- c) Date of Submission
- d) Number of Copies Submitted
- e) Applicant's Signature
- f) Receiving Officer's Signature

2.3.3 Soft Copies of the application documents for positions in scales 5 and above **SHALL TOO** be send to the following email address: [recrutement@auc.ac.ke](mailto:recrutement@auc.ac.ke)

2.3.4 Upon closure of the deadline, the Assistant Registrar (Administration Human Resource) shall compile the list of both soft and hard copies' applications received for each advertised positions.

2.3.5 Upon the deadline of submission of applications, the Assistant Registrar (Administration and Human Resource) shall make a report to the Deputy Principal (AF&D) on the recruitment detailing the number of applicants for each position for onward submission to Management.

## **2.4 Selection**

2.4.1 The Deputy Principal (AF&D) shall then receive applications for the advertised positions and forward them to respective Schools/Department for short-listing. The short listing committee(s) shall be appointed by the Deputy Principal (AF&D) in consultations with the respective Deputy Principal(s).

2.4.2 The Principal shall constitute shortlisting panels and inform the Chair and members accordingly as per the AUC Statutes.

## **2.5 Shortlisting**

2.5.1 The Chair and Secretariat of the shortlisting committees shall receive applications for their respective areas from the In-Charge Registry and prepare summaries of all the applicants in the summaries form.

- 2.5.2 The shortlisting panel shall refer to the criteria for evaluating applicants based on the advertisement indicating a score for each criteria item.
- 2.5.3 The Chair of the respective panels shall lead the panellists in evaluating documents submitted by the applicants indicating the applicants' score against each criteria item in the evaluation score card.
- 2.5.4 The panel shall rank all the applicants according to their scores from the highest to the lowest.
- 2.5.5 The panel shall shortlist three candidates for every one advertised post and make recommendations to the Appointments and Promotions Committee for consideration.
- 2.5.6 In special areas where the threshold of three applicants per position is not met the shortlisting panel shall present a list of shortlisted candidates and a report to the DP (AF&D) through the Human Resource Office for submission to Management Committee for determination.
- 2.5.7 In areas that are not categorized as special according to the Commission for University Education, the position shall be re- advertised if the threshold of three applicants per position is not met.
- 2.5.8 The Deputy Principal (AF&D) shall receive the minutes of the long-list and short-list of the applicants.

## **2.6 Inviting Candidates for Interview**

- 2.6.1 The Deputy Principal (AF&D) shall write to the shortlisted candidates informing them of the invitation for interview indicating the Date, Place and Time of interview. The DP (AF&D) shall write to the members of the interviewing panel to inform them of the scheduled interview indicating the Date, Place and Time of interview.
- 2.6.2 The Chair and Secretariat of the interviewing Panel shall receive applications and summaries for all the applicants. The interviewing panel shall prepare criteria for evaluating candidates indicating a score for each criteria item. This shall be guided by the advertisement.

- 2.6.3 The Chair of the panel shall lead the panellists in interviewing the candidates indicating the candidate's score against each criteria item in the evaluation score card.
- 2.6.4 The panel shall interview and rank all the candidates according to their scores from the highest to the lowest.
- 2.6.5 The panel shall appoint best candidate(s) for the advertised post(s) and determine the entry point and basic salary based on documents submitted by the candidate, approved scheme of service, approved salary administration guide and relevant Collective Bargaining Agreement and Criteria for Appointment and Promotion of Academic Staff.

## **2.7 Communication to Successful and Unsuccessful Candidates**

- 2.7.1 The DP (AF&D) shall communicate to both successful and unsuccessful candidates the verdict of the Appointments and Promotions Committee. The communication to the successful candidates shall include the offer of the University College with regard to the advertised position.
- 2.7.2 In the event that the appointed candidate declines the offer, the DP (AF&D) in consultation with the Principal shall make a decision based on applicable legal requirements and the recommendations of the Appointments and promotions Committee.
- 2.7.3 Successful candidates shall be issued with letters of appointment and unsuccessful Candidates will be issued with letters of regret.

## **2.8 Receiving of New Staff**

- 2.8.1 Upon reporting the DP (AF&D) shall raise a staff movement form for the appointed staff, assign the PF. Number, complete it and submit it to the respective HoD/CoD.
- 2.8.2 The respective HoD/CoD shall receive the appointed staff within three months from the time of offer of the appointment.

### **3.0 References**

- i. Alupe University College Human Resource Manual
- ii. Alupe University College Statutes
- iii. Alupe University College Service Delivery Charter
- iv. Approved Scheme of Service (From Moi University)
- v. Current CBAs from Moi University
- vi. Employment Act, 2007
- vii. Industrial Relations Act, 2007
- viii. Labour Relations Act, 2007
- ix. Occupational Safety and Health Act, 2007
- x. The Constitution of Kenya, 2010
- xi. Work Injury Benefits Act, 2007



## **PROCEDURE NUMBER 6: PROVISION OF TRANSPORT FOR OFFICIAL USE**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure effectiveness and consistency in the provision of the transport in the university.

#### **1.2 Scope**

The procedure applies to the management of the university transport system.

#### **1.3 Principal Responsibility**

The head of transport department shall ensure that this procedure is implemented.

### **2.0 Procedure**

#### **2.1 Transport Application**

2.1.1 The entity/department in need of transport reports to the transport department to be issued with transport requisition form that they will fill in request for transport.

2.1.2 Upon filling the form, the following details shall be included:

- i. Number of passengers
- ii. Trip details(place to visit)
- iii. Departure and return time
- iv. Reason for visit

2.1.3 The head of department shall confirm the details and approve the request for transport and submit the form to the transport department.

2.1.4 The head of transport shall approve the dully filled transport requisition form upon verification of details provided.

2.1.5 The head of department together with the driver shall do proper organization of the means of transport by ensuring that vehicle(s) to be used are in good condition and they poses all the transport certification.

2.1.6 The head of department shall then forward the transport request to deputy principal AFD for approval.

2.1.7 Upon approval by the deputy principal AFD the original form together with a list of passengers shall be deposited to the transport department.

2.1.8 Students shall not be allowed to go on trip without being accompanied by member of staff.

### **3.0 Reference**

1. National Transport and Safety Authority
2. Transport requisition form

## **PROCEDURE NUMBER 7: RESPONSE TO ROUTINE CORRESPONDENCES**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure effectiveness and consistency in mail management.

#### **1.2 Scope**

This procedure applies to management of incoming mails and outgoing official mails and records in the University Registry.

#### **1.3 Principal Responsibility**

The Assistant Registrar (A & HR) shall ensure this procedure is implemented.

### **2.0 Procedure**

#### **2.1 Handling in - coming mails**

2.1.1 The Senior Administrative Assistant in charge of the registry shall ensure that the office messenger collects mails from the post office on daily basis vide use of official means of transport (University Van).

2.1.2 Upon receipt of the mails, the Senior Administrative Assistant in charge of the registry shall ensure that the Administrative Assistant sort and record the mails in the incoming mails register.

2.1.3 For personal mails, the Administrative Assistant/ Registry Clerk shall after recording them dispatch to the concerned staff and notify students to collect their personal mails from the registry.

2.1.4 For Official mails, the Administrative Assistant /Registry Clerk shall upon recording, date stamp and dispatch them to the respective offices for action immediately.

#### **2.2 Handling outgoing mails**

2.2.1 Upon receipt of an outgoing official mail for dispatch, the Senior Administrative Assistant in charge of the registry shall confirm whether mail is clearly addressed, enclosures included and references are indicated.

2.2.2 In the event of any anomaly, the Senior Administrative Assistant in charge of the registry shall inform the sender to make the necessary corrections.

2.2.3 The Senior Administrative Assistant in charge of the registry shall ensure that the letters are recorded in the outgoing mail and shipment is duly filled for those sent by EMS.

2.2.5 The Senior Administrative Assistant in charge of the registry shall instruct the messenger to deliver the mails to the recipients/courier service providers.

2.2.6 The messenger shall ensure that recipients sign the delivery book upon delivery of the hand delivered mails.

### **2.3 Handling Internal mails**

2.3.1 Upon receipt of a mail from a sender, the Senior Administrative Assistant in charge of the registry shall receive and date stamp the mail.

2.3.2 The Senior Administrative Assistant in charge of the registry shall then file the mail in the respective subject file and dispatch it to the action officer.

2.3.3 The messenger shall ensure that the recipient signs the internal mail register upon delivery of the mail.

### **2.4 Identification of files**

Files shall be identified as follow;

- i. First part: University initials (AUC) followed by a forward slash
- ii. Second part: The Department/School followed by a forward slash
- iii. Third part: Subject code/CORR followed by a dot and a forward slash
- iv. Fourth part: Volume dot number year Example:  
AUC/ADM/CORR.42/VOL.1

### **2.5 Filing**

Upon receipt of a document, the custodian of the documents shall file it in the respective subject file, folio the document and update the folio sheet in the file.

### **2.6 Retrieval of Files**

2.6.1 Upon receipt of a request to access a file from any member of staff, the custodian of the file shall establish whether the member of staff is eligible to access the file.

2.6.2 In the event that the requesting member of staff is not eligible to access the file, the custodian of the file shall advise them accordingly.

2.6.3 If eligible, the custodian of the file shall retrieve it, fill the file movement register and ensure the requesting member of staff signs the register as evidence of receipt.

2.6.4 Upon use, the member of staff shall return the file to the custodian who shall confirm whether the file is intact by checking the folio sheet and confirming the folio number before clearing the member of staff in the file movement register.

2.6.5 In the event that a file is not returned after expiry of the loaning period, the custodian of the file shall follow it up and ensure it is returned.

### **3.0 References**

3.1 Incoming Mails Register

3.2 Outgoing Mail Register

3.3 Delivery Book

3.4 Internal Mails Register

3.5 Folio Sheet

3.6 File Movement Register/Form

## PROCEDURE NUMBER 8: RESPONSE TO COMPLAINTS, COMPLIMENTS AND SUGGESTIONS

### 1.0 General

#### 1.1 Purpose

This framework is meant to guide the implementation of resolution of public complaints at Alupe University College

#### 1.2 Scope

This procedure applies to complements and complaints raised by employees, students and other stakeholders in the University College

#### 1.3 Terms and Definitions

- i. **Complaint:** An expression of dissatisfaction by a person, or persons about an act or omission of service provided by a person or institution.
- ii. **Complements:** What contributes extra features to something else in such a way as to improve or emphasize its quality.
- iii. **Complaints handling procedure:** The steps a complaint goes through in an institution from receipt to the day it is actually resolved.
- iv. **Complaints Register:** A reference document kept by the Public Complaints Committee for purposes of recording formal complaints.
- v. **Complainant:** A person, groups of persons, organization or institution making a complaint within the meaning of this framework.
- vi. **Complaint Channel:** A medium through which a complaint is transmitted to its intended audience or organization.
- vii. **Complaint Issue:** The subject matter of the complaint e.g delay, inefficiency abuse of power among others
- viii. **Information:** Includes all records held by a public institution regardless of the form in which it is stored, its source or the date of production.
- ix. **Information access officer:** Any officer of public institution designed under section 7 for implementation of access to information Act in that public institution.
- x. **Lodging:** Lodging is the making of a formal or official complaint about a public institution or a public Officer.
- xi. **Resolved:** A situation whereby an institution has provided sufficient information, a remedy or solution to the satisfaction of the complainant.
- xii. **Respondent:** A public or state officer or a public institution against which the complaint is made.

## **1.4 Abbreviations**

- i. PCC = Public Complaints Committee
- ii. PCSC = Public Complaints Standing Committee
- iii. AUC = Alupe University College
- iv. CEO = Chief Executive Officer
- v. CAJ: Commission on Administrative Justice

## **2.0 Procedure**

### **2.1 Lodging a complaint**

Any person dissatisfied with a process, decision or service provided is advised to approach the staff concerned or raise the issue with the relevant head for resolution. A complainant has a right to be assisted to lodge their complaint.

#### **2.1.1 Complaints that can be lodged**

- i) Maladministration- A situation where an administrator fails to carry out his or her duties according to the expectation of those people who have entrusted responsibility with him.
- ii) Delayed service delivery- Breach of the Service Delivery Charter which stipulates the time a client is supposed be served or duty accomplished.
- iii) Inaction – This means lack of action by an Officer e.g. in the Department when work is not going on and the COD is quiet about it.
- iv) Inefficiency: a State where one entrusted with an office is not achieving maximum productivity or not being answerable to his or her clients.
- v) Ineptitude: Describes an officer who is not competent in his area or is not specialized.
- vi) Unfair treatment- This is where individuals or systems treat an employee differently from others for reasons not related to their job performance
- Vii) Discourtesy- An officer may act impolitely or in a rude manner towards their client
- Viii) Unresponsiveness: Those entrusted with an office are expected to respond to the needs of their clients. Those who fail to respond quickly are indifferent to the needs of their clients.
- ix) Leadership and integrity: The Constitution of Kenya requires that those in leadership positions are governed by moral principle like honesty, transparency etc.
- x) Abuse of power- This refers to misuse of power to take unjust advantage of

individuals or organizations. It is misrule or mismanagement/ maladministration.

- xii) Injustice against a person- Not treating somebody as the law or human rights demand.
- xiii) Misbehaviour engaging in behaviour that is unbecoming like being rebellious, soliciting bribes from those you are serving, non- compliance to the ethics.

### **2.1.2 Guidelines on submission of a complaint**

i) The record of formal complaints will be written in the complaints register. The record will detail date of receipt. The complainant will put the complaint in writing through filling University College complainant form PCC- 1 directed for the attention of the Chairperson of Alupe University College Public Complaints Handling Committee;

P.O Box 845-50400, Busia

Cell phone – 0725162260

Email Address: [complaints@auc.ac.ke](mailto:complaints@auc.ac.ke)

- ii) The complainant shall fill his/her personal details in the form and give a brief explanation of the background of the complaint.
- iii) The complainant should attach copies of any relevant documents to support the complaint.
- iv) The complainant should also provide evidence of his/her attempt at resolving the complaint informally, giving reasons why he/she was still dissatisfied with the way his/her complaint was handled. A clear, factual and brief account of the complaint should be given. The complainant should also detail how they would have wished the complaint to be resolved at the informal stage.

### **2.2 Response to complaints, complements and suggestions**

i) The complainant shall record their complaint(s) in the complaints register at the point where the service is delivered and where they could be having a complaint issue. The service provider shall deal with the concern on the spot. This could include apologizing or reassurance that the complaint is receiving attention.

- a) If the complainant cannot read or write, they shall be assisted by the secretariat to frame and record their complaint
- b) For complaints against the University Management, the complainant shall be advised to lodge it at the Public Complaints and Complements Handling Office.



c) For complaints against a member of the PCC Committee, the complainant shall lodge it at the PCC Office or directly with the Principal's Office and the affected member shall not participate in the complaint investigation or resolution for fair mediation and resolution.

d) Acknowledgement of receipt of the complaint shall be made to the complainant once the complaint is received.

e) Any complement or suggestion made by a member of the University College or a person from outside the University College will be recorded in the Complements and Complaints Register.

### **3.0 References**

- i. Alupe University College Statutes
- ii. Alupe University College Service Delivery Charter
- iii. Commission on Administrative Justice Act No. 23 of 2011 and the Constitution of Kenya 2010
- iv. The Kenya Constitution 2010 Chapter 6, Sec. 27
- v. Journal of Human Rights, 13 (2014 )  
<https://doi.org/10.1080/14754835.2014.886950> access 8 Nov. 2017

## PROCEDURE NUMBER 9: RESOLUTION OF COMPLAINTS

### 1.0 General

#### 1.1 Purpose

This framework is meant to guide the implementation of resolution of public complaints at Alupe University College

#### 1.2 Scope

This procedure applies to complements and complaints raised by employees, students and other stakeholders in the University College

#### 1.3 Terms and Definitions

- i. **Complaint:** An expression of dissatisfaction by a person, or persons about an act or omission or standards of service provided by a person or institution.
  - ii. **Complements:** What contributes extra features to something else in such a way as to improve or emphasize its quality.
  - iii. **Complaints handling procedure:** The steps a complaint goes through in an institution from receipt to the day it is actually resolved.
  - iv. **Complaints Register:** A reference document kept by the Public Complaints Committee for purposes of recording formal complaints.
  - v. **Complainant:** A person, groups of persons, organization or institution making a complaint within the meaning of this framework.
  - vi. **Complaint Channel:** A medium through which a complaint is transmitted to its intended audience or organization.
  - vii. **Complaint Issue:** The subject matter of the complaint e.g. delay, inefficiency abuse of power among others
  - viii. **Information:** Includes all records held by a public institution regardless of the form in which it is stored, its source or the date of production.
  - ix. **Information access officer:** Any officer of public institution designed under section 7 for implementation of access to information Act in that public institution.
  - x. **Lodging:** Lodging is the making of a formal or official complaint about a public institution or a public officer.
  - xi. **Resolved:** A situation whereby an institution has provided sufficient information, a remedy or solution to the satisfaction of the complainant.
  - xii. **Respondent:** A public or state officer or a public institution against which the complaint is made.
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## **1.4: Abbreviations**

- i. **PCC** = Public Complaints Committee
- ii. **PCSC** = Public Complaints Standing Committee
- iii. **AUC** = Alupe University College
- iv. **CEO** = Chief Executive Officer
- v. **COD:=** Chairperson of Academic Department
- vi. **CAJ:** Commission on Administrative Justice

## **2.0 Procedure**

### **2.1 Lodging a complaint**

Any person dissatisfied with a process, decision or service provided is advised to approach the staff concerned or raise the issue with the relevant head for resolution. A complainant has a right to be assisted to lodge their complaint

#### **2.1.1 Complaints that can be lodged**

- i) **Maladministration-** A situation where an administrator fails to carry out his or his duties according to the expectation of those people who have entrusted responsibility with him.
- ii) **Delayed service delivery-** Breach of the Service Delivery Charter which stipulates the time a client is supposed be served or duty accomplished
- iii) **Inaction –** This means lack of action by an Officer e.g. in the Department when work is not going on and the COD is quiet about it
- iv) **Inefficiency:** a State where one entrusted with an office is not achieving maximum productivity or not being answerable to his or her clients
- v) **Ineptitude:** Describes an officer who is not competent in his area or is not specialized
- vi) **Unfair treatment-** This is where individuals or systems treat an employee differently to others for reasons not related to their job performance
- vii) **Discourtesy-** An officer may act impolitely or in a rude manner towards their client
- viii) **Unresponsiveness:** Those entrusted with an office are expected to respond to the needs of their clients. Those who fail to respond quickly are indifferent to the needs of their clients.

- ix) Leadership and integrity: The Constitution of Kenya requires that those in leadership positions are governed by moral principle like honesty, transparency etc.
- x) Abuse of power- This refers to misuse of power to take unjust advantage of individuals or organizations. It is misrule or mismanagement/ maladministration.
- xi) Injustice against a person- Not treating somebody as the law or human rights demands.
- xii) Misbehaviour Engaging in behaviour that is unbecoming like being rebellious, soliciting bribes from those you are serving, non- compliance to the ethics.

### **2.1.2 Guidelines on submission of a complaint**

i) The record of formal complaints will be written in the complaints register. The record will detail date of receipt. The complainant will put the complaint in writing through filling University College complainant form PCC- 1 directed for the attention of the Chairperson of Alupe University College Public Complaints Handling Committee;

P.O Box 845-50400, Busia

Cell phone – 0725162260

Email Address: [complaints@auc.ac.ke](mailto:complaints@auc.ac.ke)

ii) The complainant shall fill his/her personal details in the form and give a brief explanation of the background of the complaint.

iii) The complainant should attach copies of any relevant documents to support the complaint.

iv) The complainant should also provide evidence of his/her attempt at resolving the complaint informally, giving reasons why he/she was still dissatisfied with the way his/her complaint was handled. A clear, factual and brief account of the complaint should be given. The complainant should also detail how they would have wished the complaint to be resolved at the informal stage.

v) Any complements or suggestions made by members of the University College or a person from outside the University College shall be recorded in the Complements and Complaints Register.

## **2.2 Complaints Resolution Procedure**

- i) Written complaints will normally be acknowledged within 7 days of receipt. The chairperson of the Public Complaints Handling Committee will consider the individual circumstances of each complaint without prejudice and follow the prepared guidelines to conduct an investigation.
- ii) If the complaint is within the mandate of PCC Committee, the Committee shall commence investigation and advise on the findings within 4 weeks. However, if the complaint is not within the mandate of PCC Committee (if the complaint is not against Alupe University or its personnel or if the matter is before the law court) the complainant shall be advised to seek redress from the Commission on Administrative Justice (CAJ)
- iii) The investigation should be conducted in liaison with all the parties concerned with a view to resolve the complaint in a fair and reasonable manner bearing in mind the outcome sought by the complainant.
- iv) The respondent shall be notified about the complaint and requested to respond within 14 (fourteen) calendar days from the day the complaint is received.
- v) If a response is not received from the respondent after fourteen (14) days, the PCC Committee shall proceed to determine the complaint in the absence of the comments from the respondent.
- iv) The investigation process should include determination of the root cause of the complaint in order to plan and implement a permanent solution to prevent recurrence of the complaint.
- v) Relevant evidence will be gathered from across the University College. This may include obtaining copies of written statements or face-to-face meetings. The confidentiality of all those disclosing information will be ensured.

## **2.3 Feedback to the Complainant**

The University Complaints Office communicates the resolution of the complaint within 30 (Thirty) working days from the time the complaint was lodged.

## **2.4 Appeal of Decision**

- i) The complainant may consider lodging a formal appeal against the decision with the Principal. The appeal should be channeled through the University College Public Complaints Office by submitting a duly filled Customer Complaints Appeal Form.

## **Note**

- a) The review by the Principal will be limited to whether the decision was fair and reasonable and that due process was followed
- b) The outcome of the appeal will be communicated within 30 (Thirty) days of receipt
- c) If not satisfied with this decision the complainant will be advised to lodge their complaint with Commission on Administrative Justice (CAJ).
- d) If the complainant is satisfied, the case shall be closed and the outcome recorded. The complainant shall be advised to fill a customer satisfaction Feedback Form at the PCC Office, on how the issue was handled.

## **2.5 Confidentiality and Privacy**

Confidentiality and privacy shall be ensured in the procedure of handling complaints at all times

## **3.0 References**

- i) Alupe University College Statutes
- ii) Alupe University College Service Delivery Charter
- iii) Commission on Administrative Justice Act No. 23 of 2011 and the Constitution of Kenya 2010
- iv) The Kenya Constitution 2010 Chapter 6, Sec. 27
- v) Journal of Human Rights, 13 (2014) <https://doi.org/10.1080/14754835.2014.886950> access 8 Nov. 2017

## **PROCEDURE NUMBER 10: MAINTENANCE OF INFRASTRUCTURE AND REPAIR**

### **1.0 General**

#### **1.1 Purpose**

The purpose of the procedure is to ensure effectiveness in maintenance of grounds and parks, buildings, roads, electrical equipment's and minor works.

#### **1.2 Scope**

This procedure is applicable to grounds and parks, buildings and electrical equipment, water supplies and sewage works.

#### **1.3 Terms and Definitions**

AUC	– Alupe University College
D/P (AFD)	- Deputy Principal Administration Finance and Administration
D/P/ (ARSA)	- Deputy Principal Academics, Research and Student Affairs
COD	- Chair of the Department
HOD	- Head of the Department
SBEHRD	- School of Business Economics and Human Resource Development
SESS	- School of Education and Social Services
SHS	- School of Health Sciences
SS	- School of Science
NEMA	- National Environment Management Authority
WARMA	- Water Resource Management Authority
MO	- Maintenance Officer
SA	-Senior Artisan
KEBS	-Kenya Bureau of Standards
WOSRF	-Work Order Service Requisition Form.

#### **1.4 Responsibility**

The Deputy Principal Administration Finance and Development shall be responsible for the effective implementation of this procedure.

## **2.0 Procedure**

### **2.1 Maintenance of grounds and parks**

- 2.1.1 The Estates officer/ head of the department shall plan and ensure that all Maintenance works of grounds and parks are carried out according to the annual schedule.
- 2.1.2 The head of the Estates department shall plan weekly work schedule based on the annual schedule and ensure necessary tools and materials are available.
- 2.4.6 The supervisor grounds will allocate staff daily tasks and ensure that the weekly targets are achieved.
- 2.4.7 The grounds men, lawn mower operators and nursery attendant shall carryout the Actual work i.e. slashing, weeding, trimming, mowing, fencing and planting.
- 2.1.5 The client shall certify work completion by filling a work requisition note.

### **2.2 Maintenance of buildings/ roads/Electrical works, Plant/ Equipment and Minor works**

- 2.2.1 The Estates Officer/ Head of department shall plan and ensure that all Maintenance works for buildings and electrical are carried out according to the annual schedule and as per clients request.
- 2.2.2 The head of the Estates department shall plan weekly schedule based on the Annual schedule and request from clients and ensure that all necessary tools and Materials are available to execute the work.
- 2.2.3 The senior artisan technical shall allocate duties as per weekly plan and as Per request from clients and ensure that artisans carryout the works.
- 2.2.4 The artisan shall carryout the actual maintenance/ repair/ minor works required As per the daily assignments.
- 2.2.5 The client shall satisfy that the work has been completed by filling the WOSRF.

### **2.3 Maintenance of sewerage work**

- 2.3.1 The head of the estate department shall plan the activities of the sewage



works according to annual works schedule; attend to emergencies and procurement of materials and services.

**2.3.2** The senior artisan in charge of technical shall supervise the works and ensure that the sewage attendant carries out the actual works as per the daily schedule.

## **2.4 Maintenance of water supply**

**2.4.1** The estates officer shall plan and organize maintenance works in water supply As per the annual maintenance schedule.

**2.4.2** The senior artisan in charge of technical shall ensure that basic water test have Been done and records kept.

**2.4.3** The artisan in water section shall make sure that there is regular flow of water to All the required areas in the university and do maintenance to all the systems that Channel water to respective areas.

**2.5.4** The water artisan or water operators shall pump the treated Water to the main storage and ensure that the flow of the effective flow of water to the end point of use or delivery.

## **3.0 Reference**

1. Alupe University maintenance policy
2. Alupe University strategic plan
3. Drinking water standards.

# **ACADEMIC PROCEDURES**

## **PROCEDURE NO. 11: STUDENT ADMISSION**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure that students who meet the specific programmes are admitted for academic programmes that they qualify for, at the University College

#### **1.2 Scope**

The procedure shall apply to admission to all academic programmes (Certificate, Diploma, Undergraduate, and Postgraduate).

#### **1.3 Terms and Definitions**

- i) ARSA – Academic, Research and Student Affairs
- ii) AUC – Alupe University College
- iii) BGS – Board Graduate Studies
- iv) CAcB – University College Academic Board
- v) COD – Chair of Department
- vi) CUE - Commission for University Education
- vii) DGSC - Departmental Graduate Studies Committee
- viii) KUCCPS – Kenya University and College Central Placement Service
- ix) SGSC - School Graduate Studies Committee

#### **1.4 Principal Responsibility**

The Deputy Principal (ARSA) shall ensure that these procedures are adhered to.

### **2.0 Procedure**

#### **2.1 Undergraduate Kenyan Government Sponsored Students**

This is done through the Kenya Universities and Colleges Central Placement Service (KUCCPS) the body that does admission of students for all public universities in Kenya.

2.1.1 AUC shall declare capacity for each programme to KUCCPS.

2.1.2 AUC shall declare cut-off points for each programme approved by CUE.

2.1.3 The Deputy Principal (ARSA) shall sign formal letters of admission of all successful applicants placed to AUC.

## 2.2 Undergraduate SELF Sponsored Students

AUC admits Self Sponsored students. In this option, the admission will be done internally at the University College. To apply for any undergraduate programme as a self-sponsored student:-

- 2.2.1 Application form shall be obtained from Alupe University College Admissions office or downloaded from the University College website upon payment of application fee.
- 2.2.2 A completed application form, copies of high school certificates and/or Diploma/Certificate certificates, official Diploma/Certificate transcripts and any other relevant testimonials shall be submitted to the Admission office with requisite application fee receipts for further processing.
- 2.2.3 The completed application forms shall be forwarded to the respective Department/School for approval.
- 2.2.4 The Deputy Principal (ARSA) shall sign formal letters of admission of all successful applicants approved by respective Department/School and CAcB.

## 2.3 Postgraduate Students

Admission to any postgraduate programme at the University College will be carried out by the Departmental Graduate Studies Committee (DGSC) in close consultation with the relevant School. To apply for a postgraduate admission:-

- 2.3.1 Three sets of application forms for graduate studies shall be issued to the applicant or downloaded from the University College's website.
- 2.3.2 Completed application forms, copies of high school certificates, degree certificates, official degree transcripts and any other relevant testimonials shall be submitted to the Dean of relevant teaching School with requisite application fee receipts.
- 2.3.3 The Dean of the relevant teaching School will then forward the application forms to the **COD** concerned.
- 2.3.4 The **COD** will forward the application forms to the Chair of the **DGSC** for Shortlisting.

- 2.3.5 The short list of applicants, together with minutes of the **DGSC** meeting, shall be forwarded to the Dean of the teaching School who will forward the same to the Chair **SGSC**.
- 2.3.6 The **SGSC** will process and forward shortlists to the Dean of the teaching School.
- 2.3.7 The **SGSC** through Dean of the teaching School shall forward the short list to the **BGS**.
- 2.3.8 The **BGS** shall scrutinize all short lists of applicants for graduate studies and make appropriate recommendations to the **CAcB**/Senate for approval.
- 2.3.9 **CAcB**/Senate shall approve all admission for all successful applicants.
- 2.3.10 The Dean of the teaching School shall prepare and sign provisional letters of admission for all successful applicants.
- 2.3.11 The Deputy Principal (**ARSA**) shall sign **formal** letters of admission of all successful applicants approved by **CAcB**/Senate.

**NOTE:** Before recommending a candidate to the **CAcB**/Senate for admission and registration, the Board of Graduate Studies shall satisfy itself that:

- a) The candidate meets the minimum entry requirements for that programme.
- b) The proposed field of study can be pursued under the supervision of the university graduate faculty.
- c) The candidate has adequate opportunities for consulting his/her supervisor(s) at least once a month.
- d) The candidate can gain access to materials & equipment relevant to the area of study or research.
- e) The candidate has adequate facilities for practical work.

## **2.4 Registration of Students**

2.4.1 Students are expected to download the following documents from the university website:

- a) Joining instructions
- b) Acceptance letter
- c) Students personal details form (AUCJI/2)
- d) Students declaration form
- e) Students entrance medical form (AUCJI/3)

- 2.4.2 Students shall collect ‘Students Registration Clearance Form’ from the Admissions Office or download from the university website; which will guide the students throughout the registration process
- 2.4.3 A student shall be cleared by the following offices:
- a) Students Admission Office
  - b) Finance Office
  - c) School
  - d) Health Office
  - e) Office of the Dean of Students
  - f) Deputy Principal (ARSA)
- 2.4.4 Students who have completed registration as in 2.4.3 above shall be deemed to be bonafide students of AUC

## **References**

- i) AUC Admission Policy
- ii) AUC Rules and Regulation Governing Postgraduate Studies
- iii) KUCCPS cluster/subject requirement and cut-off points (For GSSP)
- iv) Website (Admission requirements for PSSP students)

## **PROCEDURE NO. 12: STUDENT ACCOMMODATION**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure that students stay in the University hostels or University Identified hostels.

#### **1.2 Scope**

The procedure shall apply to students accommodated in University hostels and University-Identified hostels

#### **1.3 Terms and Definitions**

- i) AUC – Alupe University College
- ii) AUCMB - Alupe University College Management Board

#### **1.4 Principal Responsibility**

The Dean of Students shall ensure that these procedures are adhered to.

### **2.0 Procedure**

#### **2.1 Responsibility**

All students shall conduct themselves with responsibility and maturity while in the University hostels or University Identified hostels. They shall strictly observe the following:

- 2.1.1 Share rooms in addition to other facilities of common use.
- 2.1.2 Only allow visitor/students to their room from 10:00 am to 10:00 pm and so doing after 10:00 pm shall pay due consideration and respect to their roommates.
- 2.1.3 Not remove or damage any facilities or equipment in their rooms or any other part of the hostel.
- 2.1.4 No cooking or selling of food in the hostel except where it is provided for and/or unless authorized by AUCMB.
- 2.1.5 No selling of food in the hostel

- 2.1.6 Not reside with a member of the family in the University hostels or University Identified hostels e.g child, mother, father or any other unauthorized person unless in specified areas as may be identified by the University College.
- 2.1.7 Not cohabit in the University hostels or University Identified hostels or any other official residence
- 2.1.8 Not enter or remain in the opposite sex hostels between 10:00 pm to 10:00 am
- 2.1.9 Not sublet University hostels or University Identified hostels rooms

## **2.2 Procedure**

- 2.2.1 Students shall download AUC joining instructions from the University website; and read the Rules and Regulation Governing the Conduct and Discipline of Students
- 2.2.2 Students shall sign the Declaration form; to declare that they have read and understood the Rules and Regulation Governing the Conduct and Discipline of Students
- 2.2.3 The University and University Identified hostels shall be posted on the AUC website indicating the terms and conditions of staying in the various hostels including the accommodation fee; where and how to pay for accommodation.
- 2.2.4 During students' registration, students shall clear with relevant offices (Admissions, Finance, Health, Schools) and will be referred to office of the Dean of Students who shall link the students to the hostels.

## **References**

Rules and Regulations Governing the Conduct and Discipline of Students



## **PROCEDURE NO. 13: LIBRARY SERVICES**

### **1.0 General**

The Library Department provides access to an extensive range of information resources to enhance study, teaching and research in support of the University College Academic programmes and in compliance with the Commission of University Education (CUE) guideline on Library Standard (**LIBR/STD/00**). As a partner in teaching, learning, research, and community service endeavours of Alupe University College, the library's mandate is to acquire, organize, and preserve materials in all formats and provide instruction in their use

### **1.1 Purpose**

The purpose of this procedure is to guide library users on access, use, retrieval of information and services offered in the library.

### **1.2 Scope**

This procedure shall apply to all library users.

### **1.3 Abbreviations**

- i) **CAS** - Current Awareness Services
- ii) **COD** - Chair of Department
- iii) **DP (ARSA)** - Deputy Principal (Academics, Research & Student Affairs)
- iv) **HOD** - Head of Department
- v) **ILS** - Integrated Library System
- vi) **Item** - All types of library materials containing information
- vii) **LA** - Library Assistant
- viii) **OPAC** - Online Public Access Catalogue
- ix) **REF** - Reference
- x) **SLA** - Senior Library Assistant
- xi) **SPEC** - Special Collection

### **1.4 Principal Responsibility**

The University College Librarian shall ensure that these procedures are adhered to.

## **2.0 Procedures**

### **2.1 Overview**

All Library users shall adhere to the regulations and guidelines.

The Core activities of the Library Department are:

- i) Collection development
- ii) Organization of information materials
- iii) Management of short loan circulation
- iv) Management of long loan circulation

- v) Management of reference circulation
- vi) Registration of new members
- vii) Preservation of books
- viii) Weeding Information Materials
- ix) Academic Integrity Assessment
- x) Management of Computer Resources Centre (Virtual Library)

## **2.2 Procedure for Collection Development**

The Librarian coordinates the methods of collection development, including: purchases, gifts, donations and inter-library loans on a continuous basis.

- 2.2.1 The Librarian collects catalogues from publishers' and booksellers and circulates them to staff to make selections of desired titles.
- 2.2.2 Selections are approved by the COD's and submitted to the Librarian to initiate Procurement procedures.
- 2.2.3 Librarian compiles lists of the selected books and forwards to the DP (AFD) to approve and forward to the Procurement Department.
- 2.2.4 Supplied books are delivered to the University through the Procurement Department..
- 2.2.5 The books are received from the Stores office in the Library's Technical section for processing.

## **2.3 Procedure for Organization of Information Materials**

The Technical Section receives books from the Acquisition Section for classification, cataloging and physical processing.

- 2.3.1 New information materials are recorded in the Integrated Library System (ILS) where each volume is assigned an accession number.
- 2.3.2 The details of the entry include: date accessioned, author title, source, publisher, the price and remarks.
- 2.3.3 The call number of each individual title is sourced through the internet from the Library of Congress website or in related websites.
- 2.3.4 The details of the LC number and especially the cutter number are customized in line with the AUC Library collection.
- 2.3.5 The call number settled on is written on the verso page of the book using a pencil.
- 2.3.6 Filing arrangement is made alphabetically in a classified order of the call number while the public catalogue is online and arranged alphabetically by title/author in one sequence.

2.3.7 Subject entry is filed separately but alongside the author/title catalogue. The cataloged books are forwarded to the Library attendants/clerks to do physical processing which includes labeling, spine-marking and insertion of the magnetic strips.

2.3.8 The processed books are forwarded to the circulation section for display and circulation.

2.3.9 A copy of each new book is displayed for one week before releasing for circulation

## **2.4 Procedure for Short Loan Circulation**

The Librarian classifies library users according to the following categories: - undergraduates, postgraduates, short courses students, academic and non-academic staff.

2.4.1 Short loan books are those that qualify for short loaning (24 hour).

2.4.2 The borrower presents the call number of the information material to the duty staff, who retrieves the book from the shelf.

2.4.3 The staff pulls out the Timing Book slip and hands it over to the borrower to indicate the time the book is being taken out for the next one hour.

2.4.4 Borrowers present student/staff ID card before issuance of short loan book

2.4.5 The books are desensitized by the Library Assistant to allow passage out of the Library and the date to be returned is stamped on the date slip.

2.4.6 Upon exit the borrower presents the borrowed material to the security desk to counter- check the transactions.

2.4.7 Latest borrowing time is 8.00pm.

2.4.8 The book is returned by 8.00pm.

## **2.5 Procedure for Long Loan Circulation**

2.5.1 The library user identifies the information material from the OPAC.

2.5.2 The user moves to the relevant shelf, traces the book and takes to the issue counter.

2.5.3 The user presents the book to be borrowed to the counter staff.

2.5.4 The user produces student/staff identity card (ID).

2.5.5 The Library Assistant matches the card with the ILS details.

2.5.6 The book is demagnetized to allow its removal from the Library.

2.5.6 The borrower presents the Library security staff the book to counter check if the transaction is well executed.

2.5.7 Each returned book is passed through the sensitizer to re-magnetize.

2.5.8 The returned books are removed to a sorting shelf/bay to await distribution to their respective shelves.

2.5.9 As a routine the next morning all the returned books plus those removed from the study carrels are shelved.

## **2.6 Procedure for Circulation/ Reference Desk**

2.6.1 Users present their queries to the circulation desk which also acts as the information desk.

2.6.2 Reference interviews are conducted to establish what actually the query is about.

2.6.3 Instant queries are tackled immediately while long range queries are recorded and are passed to the Senior Library Assistants to handle and communicate with the user.

2.6.4 The search for the requested information will involve use of various sources that include but not limited to the internet.

2.6.5 Contacts of the user are taken during the time of the interview.

## **2.7 Procedure for Library Users**

The Library conducts its own orientation once the general University orientation and induction is completed before registering new members.

2.7.1 The Librarian draws an orientation schedule and pins it on notice boards to notify various groups when to attend library orientation.

2.7.2 During orientation, users are divided into manageable groups and are taken on a step by step tour of the library by the Library Assistant.

2.7.3 The tour involves ushering of new users by the library staff.

2.7.4 Students are taken through the rules and regulations via PowerPoint presentation.

2.7.5 The patrons are finally given the membership forms to fill and return to the officer in- charge of registration to verify whether the forms have been filled correctly.

2.7.6 Eligible users who report late to the University College are advised by the Library to register at the circulation desk.

2.7.7 When a quorum for orientation is attained, the students are notified through the notice board when to report for orientation and subsequent registration.

2.7.8 Registration is considered for all users except for first year students where registration closes after one month.

## **2.8 Procedure for Preservation of Books**

- 2.8.1 The Library assistants withdraws books showing signs of falling apart from circulation and take to the bindery.
- 2.8.2 Damaged items are withdrawn from the ILS.
- 2.8.3 Loose covers are bound for reinforcements.
- 2.8.4 Books in a shelf are left loose for ease of removing and shelving.
- 2.8.5 Environment within the library is frequently checked to make sure books are not damaged by moisture and direct sunlight.
- 2.8.6 Backup for databases is done and then kept safely.

## **2.9 Procedure for Weeding Information Materials**

- 2.9.1 Identification of information materials to be weeded
- 2.9.2 Removal of identified information materials from circulation
- 2.9.3 A list of weeded information materials is prepared
- 2.9.4 List of weeded information materials is forwarded to Library Committee for approval
- 2.9.5 Library Committee approves or disapproves list of information materials proposed for weeding
- 2.9.6 Weeded information materials are forwarded to the University disposal committee on recommendation by University College Library Advisory Committee

## **2.10 Procedure for Academic Integrity Assessment**

- 2.10.1 The requester shall submit to the Library
  - i) A soft-copy of the document to be checked
  - ii) A signed Library Plagiarism Scanning Request Form (AUC/LIB/FORM/010).
  - iii) A fees completion receipt from Finance Department (where applicable)
  - iv) Library and other related university fines and levies
- 2.10.2 The Librarian conducts a scan through the approved Anti-Plagiarism software then generates a report analysis.
- 2.10.3 The Librarian submits through email, a full soft-copy of the scanning report to the Student/ Author/ Lecturer/ Scholar.
- 2.10.4 The Librarian submits a duly signed and stamped hard copy of first page of the scanning report to the Director Graduate Studies

2.10.5 In the event of re-submission, the same process will be followed as per steps 1 and 2.

2.10.6 A copy of the final plagiarism report (After re-submission) shall be sent through the email to the Student/ Lecturer/ Author, Supervisors and SGS for their technical comments and evaluation.

## **2.11 Procedure for Management of Computer Resources Centre (Virtual Library)**

2.11.1 The Librarian maintains a Resource Centre Section within the Library where users carry out research through the internet-connected computers

2.11.2 The Librarian for Computer Resources Centre supervises usage including timing of e-resources and offers assistance to the users where necessary.

2.11.3 Each computer is assigned a number/code. Users are directed to a computer that has been assigned a number/code which is free where they fill in the Resource Centre data sheet their personal details and remarks when they have finished work.

2.11.4 The users use the Library Resource Centre following stipulated user guidelines (Refer to Library Policy).

## **3.0 Amendment Record Sheet**

This SOP shall be reviewed regularly to ensure relevance to the systems and processes that it defines. A record of contextual additions and/or deletions shall be given in the table below:

<b>Date</b>	<b>Page (s)</b>	<b>Change Description</b>	<b>Changed by:</b>	<b>Approved by:</b>

## **References**

- i) AUC Quality Manual
- ii) AUC Statutes, 2017
- iii) Current AUC Students' Handbook
- iv) Library Policy
- v) CUE Guidelines on Library Operations 2014

## **PROCEDURE NO. 14: TEACHING**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure consistency, timeliness, transparency, accountability and effectiveness in the management of teaching

#### **1.2 Scope**

This procedure shall apply to delivery of lectures to students in the University.

#### **1.3 Abbreviations**

- i) CoD - Chair of Department
- ii) Lecturer – This refers to a qualified person assigned a teaching course
- iii) Course on offer - Course to be taught in a specific semester
- iv) CAT – Continuous Assessment Test
- v) DP (ARSA) - Deputy Principal (Academic, Research and Student Affairs)
- vi) CUE - Commission for University Education
- vii) AUCMB – Alupe University College Management Board
- viii) CAcB – College Academic Board
- ix) CO – Course Outline

#### **1.4 Principal Responsibility**

The CoD shall ensure that this procedure is adhered to.

### **2.0 Procedure**

#### **2.1 Course Allocations**

- 2.1.1 The CoDs, shall, convene a departmental meeting, to table and consider the teaching workload for the academic year, in liaison with the Dean of School and the DP (ARSA).
- 2.1.2 The CoDs, shall, communicate to service departments to provide the service requests before end of the financial year.
- 2.1.3 In allocating (distributing) the teaching workload, the meeting shall consider the following:
  - a) Lecturer's area of specialization and qualification
  - b) Courses on offer
  - c) Expected class sizes



- d) Approved curricula
- 2.1.4 After the meeting, the CoD shall fill and forward the Course Allocation Form to the Dean of the School for onward forwarding, to the Deputy Principal (ARSA) and subsequent tabling to the Committee of Deans.
- 2.1.5 In the event where the department lacks capacity to handle all the courses on offer, they shall declare vacancies available for part-time teaching.
- 2.1.6 In approving the list of part-time lecturers, the Committee of Deans shall be guided by the following:
  - a) Guidelines on maximum workload
  - b) CUE Regulations and Standards, 2014
  - c) Lecturer's area of specialization and qualification
  - d) Courses on offer
  - e) Expected class sizes
  - f) Approved curricula
  - g) Other relevant requirements
- 2.1.7 In the event of disapproval, the Committee of Deans shall make recommendations and the Deputy Principal ARSA shall, within one week, communicate the decision to the respective Deans for amendment and re-submission.
- 2.1.8 Deputy Principal ARSA, shall, submit to the Alupe University College Management Board (AUCMB) the list of part time lecturers for approval.
- 2.1.9 Upon approval by the CACB, the Deputy Principal ARSA shall, communicate to the CODs through Deans of schools.

## **2.2 Procedure for offering Lectures**

- 2.2.1 This procedure shall start with the CoD communicating the course allocation and the teaching Almanac to all Lecturers at least two weeks after approval by the CACB.
- 2.2.2 Upon receipt of the communication, the Lecturers shall prepare:
  - a) The course outlines
  - b) Lecture notes based on Course Curriculum
  - c) Laboratory manuals
- 2.2.3 The Course outline shall detail the following:

- a) Course Code and Course Title
  - b) Purpose
  - c) Course content
  - d) Course objectives
  - e) Core reference materials
  - f) Other relevant reference materials
  - g) Schedule of CATs, practical's and examinations
  - h) Name and contact of the Lecturer
- 2.2.4 At the beginning of the semester, the Lecturer shall avail to the students the course outline.
- 2.2.5 During each lecture, the Lecturer shall ensure that Students' Attendance Register is duly filled.
- 2.2.6 In the event that a lecturer misses a class, he/she shall communicate to the CoD providing details for a makeup class.
- 2.2.7 Three weeks to the start of semester examinations, the Course Lecturers shall analyze the Students' Attendance Register to determine their eligibility to sit for the examinations and communicate to the CoDs.
- 2.2.8 In the event a student is not eligible to sit for examinations, the University's examination rules and regulations shall apply.
- 2.2.9 The Director Quality Assurance shall ensure that Course Evaluation is undertaken before commencement of examinations.

## **PROCEDURE NO. 15: TAKING EXAMINATIONS**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to guide on timeliness and efficiency in taking Post-graduate, Undergraduate, Diploma and Certificate examinations of Alupe University College.

#### **1.2 Scope**

This procedure applies to main, special, supplementary and any other examination in the University College.

#### **1.3 Abbreviations**

- f) AUC – Alupe University College
- g) CACB – University College Academic Board
- h) CAT – Continuous Assessment Tests
- i) COD – Chair of Academic Department
- j) ARSA – Academic, Research and Students Affairs
- k) Special Examination – examinations which are administered to a candidate who did not sit regular examinations for a special reason.
- l) Supplementary Examination – examinations which are administered to a candidate who failed a course(s) in the regular examinations (scored less than the pass mark)
- m) Regular Examination – examinations held at the end of each Semester/Term or end of each Academic Year
- n) Retake Examination – examinations which are administered to candidate who is required to repeat examinations at the next sitting without attending classes.

#### **1.4 Principal Responsibility**

The Deputy Principal (ARSA) shall ensure that these procedures are adhered to.

### **2.0 Procedure**

#### **2.1 Regular Main Examination**

A candidate will be required to have complied with the course requirements: paying requisite amount of fees, attained at least 80% of class attendance and done the requisite number of CATs in the courses wishing to register for an examination.

- 2.1.5** A candidate shall register for University College Examinations at most five (5) weeks after the start of the Semester/Term.
- 2.1.6** A candidate will clear with the Student Finance Office and the Dean of the School.
- 2.1.7** Upon clearance, a candidate will be issued with a stamped examination card by the Deputy Principal (ARSA) – Examinations.
- 2.1.8** The Dean of School will sign the examination card.
- 2.1.9** A candidate will take only the examinations he/she has registered for on the day and time indicated on the final examinations timetable.
- 2.1.10** During the examination day a candidate will be allowed in the examination venue five minutes before start of the examination but not after 30 minutes.
- 2.1.11** A candidate will not be allowed to have books, bags, briefcases, folders, clipboards, pencil cases, cellular telephones, pagers, alarm watches, earphones, notebooks or any other such materials that may hinder transparency, or that are likely to raise suspicion.
- 2.1.12** Candidates will sit in the order arranged by the invigilator(s).
- 2.1.13** A candidate will display his/her examination card and identification document(s) conspicuously.
- 2.1.14** Invigilator(s) will issue question papers and answer booklets to candidates with examination cards and identification documents.
- 2.1.15** The invigilator(s) may take measures to control cheating including but not limited to: swapping of candidates sitting positions, frisking of students and impromptu checking of a candidate's answer booklet.
- 2.1.16** A candidate should write his/her registration number, course code, course title and all other required details on the answer booklets and on continuation sheets.
- 2.1.17** Candidates are not allowed to communicate with each other, either verbally or through other means, during an examination without the permission of the invigilator(s).
- 2.1.18** The invigilator(s) will remind candidates of time at an interval of 30 minutes.
- 2.1.19** A candidate shall not be allowed leave the examination room 30 minutes before the end of an examination.
- 2.1.20** A candidate caught cheating in examination will surrender the evidence to the invigilator, be allowed to finish writing the examination paper and record a statement thereafter. The invigilator will record the same in the Incident Form.

**2.1.21** At the end of examination, a candidate must stop writing, assemble their scripts, hand in to the invigilator(s) and sign the attendance sheet, unless otherwise instructed.

## **2.2 Special Examination**

2.2.1 A candidate shall apply to the Dean of School by filling Form EX.SS (Clearance to Take Supplementary/Special Examination form) indicating the reason for missing the examination paper(s) and provide relevant proof immediately after missing regular main examination.

2.2.2 The Dean of the School will present the request for Special Exam(s) to the CAcB through Deputy Principal (ARSA).

2.2.3 The CAcB will approve the request.

2.2.4 There shall be no fee payments for special examination.

2.2.5 A candidate will take only the examinations he/she has applied for on the day and time indicated on the final Special/Supplementary examination timetable.

2.2.6 During the examination day a candidate will be allowed in the examination venue five minutes before start of the examination but not after 30 minutes.

2.2.7 A candidate will not be allowed to have books, bags, briefcases, folders, clipboards, pencil cases, cellular telephones, pagers, alarm watches, earphones, notebooks or any other such materials that may hinder transparency, or that are likely to raise suspicion.

2.2.8 Candidates will seat in the order arranged by the invigilator(s).

2.2.9 A candidate will display his/her examination clearance form and identification document(s) conspicuously.

2.2.10 Invigilator(s) will issue question papers and answer booklets to candidates with clearance forms and identification documents.

2.2.11 The invigilator(s) may take measures to control cheating including but not limited to: swapping of candidates sitting positions, frisking of students and impromptu checking of a candidate's answer booklet.

2.2.12 A candidate should write his/her registration number, course code, course title and all other required details on the answer booklets and on continuation sheets.

2.2.13 Candidates are not allowed to communicate with each other, either verbally or through other means, during an examination without the permission of the invigilator.

2.2.14 The invigilator(s) will remind candidates of time at an interval of 30 minutes.

- 2.2.15 A candidate shall not be allowed leave the examination room 30 minutes before the end of an examination.
- 2.2.16 A candidate caught cheating in examination will surrender the evidence to the invigilator(s), be allowed to finish writing the examination paper and record a statement thereafter. The invigilator will record the same in the Incident Form.
- 2.2.17 At the end of examination, a candidate must stop writing, assemble their scripts, hand in to the invigilator(s) and sign the attendance sheet, unless otherwise instructed.

### **2.3 Supplementary Examination**

- 2.3.1 A candidate will apply for Supplementary Examination by filling Form EX.SS (Clearance to Take Supplementary/Special Examination form) obtained from Office of Deputy Principal (ARSA) – Examinations.
- 2.3.2 A candidate shall pay Ksh.1, 000.00 per paper by depositing the money in the University College bank account.
- 2.3.3 The candidate will seek clearance from the Student Finance office and Dean of the School before start of the examination.
- 2.3.4 A candidate will take only the examinations he/she has applied for on the day and time indicated on the final Special/Supplementary examination timetable.
- 2.3.5 During the examination day a candidate will be allowed in the examination venue five minutes before start of the examination but not after 30 minutes.
- 2.3.6 A candidate will not be allowed to have books, bags, briefcases, folders, clipboards, pencil cases, cellular telephones, pagers, alarm watches, earphones, notebooks or any other such materials that may hinder transparency, or that are likely to raise suspicion.
- 2.3.7 Candidates will seat in the order arranged by the invigilator(s).
- 2.3.8 A candidate will display his/her examination clearance form and identification document(s) conspicuously.
- 2.3.9 Invigilator(s) will issue question papers and answer booklets to candidates with clearance forms and identification documents.
- 2.3.10 The invigilator(s) may take measures to control cheating including but not limited to: swapping of candidates sitting positions, frisking of students and impromptu checking of a candidate's answer booklet.

- 2.3.11 A candidate should write his/her registration number, course code, course title and all other required details on the answer booklets and on continuation sheets.
- 2.3.12 Candidates are not allowed to communicate with each other, either verbally or through other means, during an examination without the permission of the invigilator.
- 2.3.13 The invigilator(s) will remind candidates of time at an interval of 30 minutes.
- 2.3.14 A candidate shall not be allowed leave the examination room 30 minutes before the end of an examination.
- 2.3.15 A candidate caught cheating in examination will surrender the evidence to the invigilator(s), be allowed to finish writing the examination paper and record a statement thereafter. The invigilator will record the same in the Incident Form.
- 2.3.16 At the end of examination, a candidate must stop writing, assemble their scripts, hand in to the invigilator(s) and sign the attendance sheet, unless otherwise instructed.

## **2.4 Postgraduate Examinations**

- 2.4.1 A candidate taking regular written examinations will follow the procedure described in 2.1
- 2.4.2 A candidate taking special written examination will follow the procedure described in 2.2
- 2.4.3 A candidate taking supplementary written examination will follow the procedure described in 2.3

### **2.4.4 Thesis/Project examination**

- 2.4.4.1 A candidate will be required to submit six copies of loosely bound thesis/project to the department together with a soft copy on the CD.
- 2.4.4.2 A candidate will be informed of the date and time for oral defense of thesis/project
- 2.4.4.3 During the defense, a candidate will be required to present his/her work in power point
- 2.4.4.4 A PhD candidate will be allowed 30 minutes while a Masters candidate will be allowed 20 minutes to present to panel of examiners
- 2.4.4.5 A candidate will be required to respond to questions/concerns raised by examiners
- 2.4.4.6 The verdict given by the panel of examiners to the candidate will be final

## **2.5 Other Examinations**

These are other exams such as Retake Examination or any other examination approved by CAcB. They will follow the procedure of Regular Main Examination.

## **References**

- i. AUC Rules and Regulations Governing Undergraduate and Diploma Examinations
- ii. AUC Rules and Regulations Governing Postgraduate Studies



## **PROCEDURE NO. 16: ISSUANCE OF ACADEMIC TRANSCRIPT**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure effectiveness, timeliness, consistency and transparency in issuance of academic transcript to students/graduates of Moi University from Alupe University College.

#### **1.2 Scope**

The procedure shall apply to issuance of academic transcripts to all students/graduates of Moi University from Alupe University College.

#### **1.3 Abbreviations**

- i) AUC – Alupe University College
- ii) CAcB – University College Academic Board
- iii) ARSA – Academic, Research and Student Affairs

#### **1.4 Principal Responsibility**

The Deputy Principal (ARSA) shall ensure that these procedures are adhered to.

### **2.0 Procedure**

#### **2.1 Eligibility**

- 2.1.1 A candidate/student must have sat for both 1<sup>st</sup> and 2<sup>nd</sup> semester examinations of the academic year and passed.
- 2.1.2 The consolidated mark sheets must have gone through relevant approvals e.g School board of Examiners, CAcB and/or Senate.
- 2.1.3 A candidate must satisfy the School board of Examiners, CAcB and/or Senate in examination for the academic year
- 2.1.4 A candidate must have cleared fees.

## **2.2 Procedure for Collection of Academic Transcript**

2.2.1 Students shall be issued with provisional transcripts by the School at the end of the academic year before proceeding to the next year of study.

2.2.2 Official academic transcripts shall be issued after graduation to candidates in person. However upon request, official transcripts may be issued to a student at any time as long as Senate has approved the examination results for the particular year of study.

2.2.3 In the event of loss of original transcripts or request for additional original transcripts by candidates, replacements or extra transcripts may be issued at a fee of Kshs.200 (Two Hundred Kenya Shillings) per copy, or at such other amount(s) as may be determined by CACB/Senate from time to time.

## **References**

- i) Rules and Regulation Governing Undergraduate and Diploma Examinations
- iii) Rules and Regulation Governing Postgraduate Studies

## **PROCEDURE NO. 17A: PROVISION OF SUPPORT SERVICES FOR RESEARCH**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure provision of support services to researchers in AUC.

#### **1.2 Scope**

The procedure applies to AUC research grants.

#### **1.3 Abbreviations**

- i) AUC- Alupe University College
- ii) ISERC- Institutional Scientific Ethics Review Committee
- iii) GSRC- Graduate Studies Research Committee
- iv) CAcB- College Academic Board
- v) PI- Principal Investigator
- vi) ARSA- Academic Research Student Affairs

#### **1.4 Principal Responsibility**

AUC Director of research shall ensure this procedure is implemented.

### **2.0 Procedures for AUC Research Grants**

#### **2.1 AUC Research grant application and award procedures**

- 2.1.1 AUC Call for proposals. The call period shall be one month, but can be extended for two weeks.
- 2.1.2 Receipt of proposals from applicants. The proposals shall be received in hardcopies as well as soft copies send to research@auc.ac.ke.
- 2.1.3 The secretariat at research directorate will conduct proposal verification to ensure compliance with call requirements.
- 2.1.4 Appointment of reviewers by Graduate Studies Research Committee (GSRC).
- 2.1.5 Assignment of proposals to reviewers by GSRC. The reviewers are expected within two weeks to complete the review process.
- 2.1.6 Return of reviewed proposals and their respective reports.
- 2.1.7 GSRC consider reviewer reports and approve award of grants to successful applicants.
- 2.1.8 GSRC shall recommend awards to CAcB.
- 2.1.9 Successful applicants are informed in writing by directorate of research.
- 2.1.10 Research contract signed between AUC and principal investigator.
- 2.1.11 Applicants request for funds from finance department.
- 2.1.12 Implementation is preceded by approval from institutional ethics Review Committee (ISERC).
- 2.1.13 The PI shall submit quarterly technical and financial reports to the Deputy Principal (ARSA) through the research directorate.

## **References**

- i) Guidelines on research licensing and Institutional Affiliation -NACOSTI
- ii) AUC Institutional Scientific Ethics Review Committee Standard Operating procedures (SOPs)
- iii) Privacy and Data Protection Policy – 2018 Kenya.

## **PROCEDURE 17B: PROCEDURE FOR EXTERNAL GRANTS**

### **1.0 General**

#### **1.1 Purpose**

The procedures are meant to ensure that externally funded research that occurs at the Alupe University College is of high quality, effective and consistent. The purpose of these grant management and administration procedures is to implement and maintain grant coordination, oversight, increasing grant funding and limiting AUC's exposure to grant related legal liability.

#### **1.2 Scope**

These procedures apply to the externally funded research grants in the University College.

#### **1.3 Terms and Definitions**

- i. **AUC**- Alupe University College
- ii. **PI**- Principal Investigator
- iii. **Research** - Means a careful study of a subject especially to discover new facts or information about it.
- iv. **Researcher**- all staff, students, visiting academics, and research fellows who engage in research activity under the auspices of the University College.
- v. **ARSA**- Academic Research Student Affairs
- vi. **Grant Term** – means the time frame for the use of the grant award as set out in the grant award agreement
- vii. **Authorized signature** – the signature of the person legally responsible for the Organization
- viii. **Budget** – the financial plan for your grant, itemized to show breakdown of both income and expenses
- ix. **Donor** – an individual or organization that makes the grant to grantee

#### **1.4 Principal Responsibility**

The principal shall ensure this procedure is implemented.

### **2.0 Procedures**

#### **2.1 External research funding opportunities**

- 2.1.1 The directorate of Research provides information to relevant staff regarding competitive research grant opportunities; this information is disseminated in a timely manner to support staff with planning their workload.
- 2.1.2 Researchers may also directly access open calls for grants from their networks or websites that advertise research funding opportunities.
- 2.1.3 Researcher will prepare an application for research funding according to the specific grant scheme guidelines, or a research proposal prepared in consultation with an external organization for research.
- 2.1.4 The research application documents are submitted upon approval from D/principal ARSA on behalf of the institution and clearly indicating that the institutional contact: [principal@auc.ac.ke](mailto:principal@auc.ac.ke).

## **2.2 Management of externally funded research grants**

- 2.2.1 Upon award of external funding for proposed project, the Principal Investigator, will inform the chair of the department, all concerned departments, dean, director of research, D/principal ARSA and Principal.
- 2.2.2 When funding agreement have been agreed by parties. The signing process shall take takes.
- 2.2.3 The principal investigator will submit a copy of signed agreement to the directorate of research to be kept on behalf of the University College.
- 2.2.4 The directorate of research shall open a new project file, where hard/electronic copies of funding agreement are filed appropriately.
- 2.2.5 The principal investigator shall handover a copy of funding agreement to finance department to assume financial administrative responsibility for the project.
- 2.2.6 The finance department shall establish Alupe University College Research Account (AUCRA) for all externally-funded research projects. For each project, a separate sub-account will be opened. The sub-accounts will be managed by the PI with the administrative support of the finance department.
- 2.2.7 The finance department shall ensure that the project funds are readily available to the Principal Investigator as and when required in accordance with the pre-defined timeline.

- 2.2.8 The University College shall normally retain 10% of all external research grants received through the University College to meet its research management costs, or as agreed with the external partner(s).
- 2.2.9 If the funding agency does not provide remuneration rates, rates for research project staff, per diem, interviewers' or coders' fees, etc. The existing Alupe University College rates shall apply.
- 2.2.10 Reporting and accountability will be as agreed with the funding agency
- 2.2.11 The principal investigator shall submit full report to funding agency with a copy to [principal@auc.ac.ke](mailto:principal@auc.ac.ke), [arsa@auc.ac.ke](mailto:arsa@auc.ac.ke) and [research@auc.ac.ke](mailto:research@auc.ac.ke)

## **2.3 Management of Research grant**

### **2.3.1 The Principal Investigator:**

- 2.3.1.1 Complies with the terms of the funding Agreement;
- 2.3.1.2 Ensures Institutional Scientific Ethics and Review approvals are obtained and research license is obtained from NACOSTI
- 2.3.1.3 Ensures the research project is delivered on time, and within budget;
- 2.3.1.4 PI informs variation to funding Agreement for concurrence
- 2.3.1.5 The PI notifies the finance department in writing when the research project has been completed.

### **2.3.2 Finance department**

- 2.3.2.1 Ensures financial statement are sent to the funding organization according to the payment schedule in the funding agreement;
- 2.3.2.2 Works with the PI to ensure expenditure incurred according to the project budget; and
- 2.3.2.3 Provides regular and timely project financial reports to the PI.

## **References**

- i. AUC Research Policy
- ii. AUC Institutional Scientific Ethics Review Committee Standard Operating procedures (SOPs)
- iii. National Commission for Science, Technology & Innovation Website:  
<https://www.nacosti.go.ke/>

## **PROCEDURE NO. 17C: INSTITUTION SCIENTIFIC AND REVIEW COMMITTEE (ISERC)**

### **1.0 General**

#### **1.1 Purpose**

The purpose of this procedure is to ensure provision of support services to researchers in AUC and ensure effectiveness and consistency in research conduct.

#### **1.2 Scope**

The procedure applies to biomedical, health and social sciences proposals within and outside AUC.

#### **1.3 Abbreviations**

- i) AUC- Alupe University College
- ii) ISERC- Institutional Scientific Ethics Review Committee
- iii) GSRC- Graduate Studies Research Committee
- iv) CACB - College Academic Board
- v) PI- Principal Investigator
- vi) ARSA- Academic Research Student Affairs

#### **1.4 Principal Responsibility**

The chairperson of AUC Institutional Scientific Ethics Review Committee (ISERC) shall ensure this procedure is implemented.

### **2.0 Procedures for approval or research by ISREC**

#### **2.1 ISERC Application Procedures**

2.1.1 A valid application for proposal approval shall be submitted with accompanying/supporting materials namely:

- i) Four hard copies of the proposal
- ii) A soft copy of the proposal to be sent to [iserc@auc.ac.ke](mailto:iserc@auc.ac.ke). Website – [www.iserc.auc.ac.ke](http://www.iserc.auc.ac.ke)
- iii) Four copies of the reviewer guideline form
- iv) Four copies of abstract form
- v) Vulnerable population form four (4) copies in case the research involves a vulnerable population
- vi) Consent forms
- vii) Data collection instruments
- viii) Recruitment materials such as fliers
- ix) Detailed CV/Bio sketch

2.1.2 Kenya Cooperative Bank receipt produced on submission.

2.1.3 ISERC secretariat screen proposal for compliance and quality. Provides timelines for proposal review as provided for in the SOPs and Research Policy

2.1.4 ISERC shall meet to allocate proposals to reviewers based on expertise, experience, availability and conflict of interest.



- 2.1.5 All applicants shall receive notification in writing of the decision of the ISERC committee.
- 2.1.6 Where ISERC requires supplementary information or changes to the document from the applicant, the time frame for this will be outlined in the letter of notification.
- 2.1.7 No revision may be made prior to the ISERC meeting to an application that has been accepted for review and assigned a reference number. Where an applicant considers it necessary revising a protocol or supporting documents prior to review, the application should be withdrawn.
- 2.1.8 Studies are given approval for one year.
- 2.1.9 Investigators wishing to continue research beyond one year approval time period, must submit a continuing review application.
- 2.1.10 ISERC must approve any changes or amendments to an approved study before the researcher implements such changes.

## **2.2 ISERC Monitoring of Approved procedures**

- 2.2.1 The ISERC shall constitute a monitoring and evaluation sub-committee to monitor approval compliance and progress of approved research.
- 2.2.2 Monitoring and evaluation decisions will be communicated in writing to principal investigator indicating one of the following decisions:
  - i) Approval of amendment
  - ii) Suspension of study process
  - iii) Termination of study
- 2.2.3 The secretariat shall require investigators to submit:
  - i) Progress reports upon submission of renewal of their studies
  - ii) Final reports and notification upon study completion should follow the conclusion of the project
  - iii) Any publications of the results emanating from the study

## **References**

- i) NACOSTI Policy
- ii) AUC Institutional Scientific Ethics Review Committee Standard Operating procedures (SOPs)
- iii) Data protection Bill

## PROCEDURE NO. 18: EXTENSION AND OUTREACH SERVICES

### 1.0 General

#### 1.1 Purpose

To facilitate provision of extension and outreach services to the Kenyan and international communities by AUC staff, students and their collaborators.

#### 1.2 Scope

This procedure applies to all extension and outreach services provided by AUC staff, students and their collaborators. AUC shall collaborate with, and complement, government and other collaborators providing extension and outreach services.

#### 1.3 Abbreviation and Acronyms

- i) AUC - Alupe University College
- ii) COD - Chairperson of Academic Department
- iii) DP (AFD) - Deputy Principal (Administration Finance and Development)
- iv) DP (ARSA) - Deputy Principal (Academic, Research and Students Affairs)
- v) EOC - Extension and Outreach Committee

#### 1.4 Terms and Definitions

- i) **Extension:** The process and medium of delivery of officially sanctioned internally generated new knowledge or information to the recipients other than members of the University College
- ii) **Outreach:** An officially sanctioned community service by organized groups of the members of the university that employs already known technology, services, products or knowledge
- iii) **Policy:** Set of plans or actions agreed on by an organization or a set of ideas or principles which are sensible or wise
- iv) **Intellectual Property:** Creations of the human mind (intellect) and comprises of industrial property, copyright and plant breeder's rights
- v) **Sanctioned:** To authorized or make valid by a formal procedure
- vi) **Knowledge:** Acquaintance with facts truth principles as from study or research
- vii) **Technology:** The application of Science Knowledge and Technical to solve problems
- viii) **Property:** Something owned that is physical or tangible

- ix) **Funds:** Supply of money of pecuniary resources for some purpose

#### **1.4 Principal Responsibility**

The Deputy Principal (ARSA) shall ensure that these procedures are adhered to.

#### **1.5 Types of Extension and Outreach Programmes**

- i. Extension and outreach initiated and funded by the relevant Schools/Division. The division (ARSA) will identify community felt needs, formulate and implement appropriate development interventions with funds allocated to the division.
- ii. Extension and outreach initiated and funded by donors
- iii. Extension and outreach initiated by Departments, Boards or Schools. These are projects or programmes initiated to fulfill the specific mandates of such meeting the requirements of a particular Unit on implementation of the curriculum and research obligations. The tasks may be embedded in their performance contracts. Some training programmes have compulsory community-based extension and outreach activities.
- iv. Extension and outreach community initiated programmes
- v. This is where a community or its collaborator identifies a community need and involves the Division of R&E in its extension and outreach programme.

#### **1.6 Extension and Outreach Approaches**

The following approaches shall be used to undertake Extension and Outreach:

- i. Teaching and demonstrations
- ii. Use of extension materials in form of manuals, pamphlets/leaflets, monographs and brochures, periodicals and policy briefs
- iii. Consultations
- iv. Focused group discussions
- v. Use of videos, slides, and print and electronic media including mobile phones
- vi. Use of television and radio
- vii. Use of Agricultural Training and Information Centres
- viii. Exhibitions and shows

## **2.0 Procedure**

### **2.1 Extension and Outreach School Committee: -**

Shall: -

- 2.1.1 Receive and evaluate extension/outreach proposals from the members of the School.
- 2.1.2 Make recommendations to the AUC Extension and Outreach Committee on suitability and feasibility of each proposed extension or outreach project.
- 2.1.3 Determine if extension or outreach activities conform to the laid down guidelines in compliance to other AUC policies and development plans.
- 2.1.4 In the event of external funding, check that the source of finance is not associated in any way with criminal or antisocial activities.
- 2.1.5 Check whether the extension and outreach activity is in tandem with the yearly AUC Extension and Outreach Committee Master Plan.
- 2.1.6 Liaise with the AUC Extension and Outreach Committee to ensure timely arbitration in case of conflict for proposed extension and outreach services.

### **2.2 Procedure for Coordination of Extension and Outreach Activities by AUC School Committee: -**

Shall: -

- 2.2.7 Receive, evaluate and sanction extension and outreach activities proposed by Schools Extension and Outreach Committee.
- 2.2.8 Determine the amount of money, allocate funds for extension and outreach for approved projects in consultation with Deputy Principal (ARSA)'s office.
- 2.2.9 Establish monitoring and evaluation mechanism for approved project and actually monitor progress of the project. The Committee shall put in place supervisory and monitoring and evaluation instruments that will be used to achieve this.
- 2.2.10 Enter and maintain in the database of the extension and or outreach project proposed to be undertaken and keep detailed reports of completed project thereafter.

### **2.3 Procedure for Financing the AUC Extension and Outreach Services: -**

- 2.3.1 The AUC Council shall determine the amount of money to be allocated for Extension and Outreach in any financial year.
- 2.3.2 Extension or outreach teams or individuals may also source external financing for extension or outreach projects. In such cases the external financiers shall be individual, groups, associations or organization that are not involved in any way to criminal or antisocial activities.
- 2.3.3 Extension and outreach projects to be undertaken by joint teams comprising member(s) of the AUC and organization(s) or individual(s) who are not members of the University College shall be undertaken under contractual terms that shall be agreed upon before the inception of the extension or outreach exercise. Such contracts shall cover financing, personnel, responsibilities and duties of each party for their mutual benefits.

### **2.4 Procedure for handling Intellectual Property Issues in Relation to Extension and Outreach: -**

- 2.4.1 The team or individuals proposing to undertake extension or outreach activity shall disclose to the School Extension and Outreach Committee and the AUC Extension and Outreach Committee all and any intellectual property issues that may arise during such exercise as per the current AUC Intellectual Property Policy.
- 2.4.2 The team shall ensure compliance with the laws on intellectual property rights in conformity with University College Intellectual Property Rights. Such teams shall ensure that they do not expressly promote a commercial product to the detriment of any such other product from rival companies unless the initial proposal clearly stated that this shall be the case.
- 2.4.3 Products and services that are solely the property of the University College or member of the University College are exempt from this limitation, provided that such service or product has been registered with the AUC Extension and Outreach Committee.

## **2.5 Procedure for handling Insurance and Indemnity during Extension and Outreach Activities: -**

2.5.1 Members of AUC on extension or outreach activity shall enjoy the same insurance cover as they would under normal University College duty.

2.5.2 Non-University College members in joint extension or outreach activity with AUC members shall not normally enjoy the group insurance cover as university members.

## **2.6 Procedure for handling Extension and Outreach Reports: -**

2.6.1 Each group involved in Extension and/or Outreach activities that take more than six months shall be required to submit quarterly reports to the school and University College Extension and Outreach Committee.

2.6.2 The groups involved in the extension and outreach activities that take more than twelve months shall be required to submit a final report in addition to quarterly reports.

## **References**

- i) Alupe University College Statutes
- ii) Alupe University College Service Delivery Charter
- iii) The Constitution of Kenya, 2010
- iv) Work Injury Benefits Act, 2007
- v) Universities Act No. 42 of 2012
- vi) CUE Regulations, Standards and Guidelines, 2014
- vii) Code of Conduct and Ethics for Public Universities, 2003
- viii) Collective Bargaining Agreements (UASU, KUSU, KUDHEIHA Workers)
- ix) Research, Intellectual Property & Extension Policy, 2019
- x) Performance Contract (Current)

## **PROCEDURE NO. 18A: – HEALTH/MEDICAL CAMPS**

### **1.0 General**

Medical/health Camps are generally organized to provide medical and health care services among disadvantaged populations. These people both in rural and urban areas lack quality preventive, promotive and curative health services. Therefore health or medical camps are among the few options they have to access health care services.

It is for this reason that sponsors and organizers of health/medical camps need to follow laid down procedures which ensure respect and dignity of the populations that receive their services.

### **1.1 Purpose**

To provide free medical, surgical and health promotion services to poor communities living in rural or urban areas by a mobile team with varieties of medical specialized services.

### **1.2 Scope**

This procedure will apply to both the sponsoring entities bring services into AUC and AUC taking health services to the communities.

### **1.3 Terms and Definitions**

- i. **“Medical camp”** means a temporarily organized activity within a specified locality in order to provide free, subsidized or sponsored medical or dental services, surgical, educational and diagnostic services or treatment;
- ii. **“Sponsoring entities”** means a person who meets the full or part of the cost of a medical camp;
- iii. **“Camp Director”** means a medical or dental practitioner of good standing who assumes overall responsibility for a medical camp;
- iv. **“Practitioner”** means a person for the time being registered, licensed and indemnified against professional negligence as a medical or dental practitioner under the medical practitioners and dentists Act (Cap 253);

- v. **“Foreign Practitioner”** means a person licensed by the Board from recognized jurisdictions under section 13 of the Act and who appears in the register of temporary foreign medical or dental practitioners.
- vi. **“Site”** means the location where the medical camp shall take place;
- vii. **“Team Leader”** means a medical or dental practitioner of good standing appointed by the Principal of AUC who assumes overall coordination of the medical camp.

#### **1.4 Principal Responsibility**

The principal responsibility for this procedure will lie with Principal, who will be required to approve any medical camp by external entities or medical camps organized by AUC in the communities served.

### **2.0 Procedure**

#### **2.1 sponsoring entities bringing Medical Camps into AUC**

Alupe University College will appoint a Team leader who is a specialist in the professional area of the medical camp. The team leader will work closely with an internal committee appointed by the SHS among others to:-

2.1.1 Review the profile of the proposed medical camp (duration, location, and services to be provided)

2.1.2 Ascertain the qualifications and standing of the Camp director

2.1.3 The camp Director to present the following:

- A valid license from the Medical Practitioners and Dentists Board
- Certified copies of current medical and other professional licenses (e.g KMLT, Nursing)
- clearance letter by the county health authorities
- List of practitioners and other health professionals who shall attend to patients during the camp
- List of non-health practitioners involved
- A list of medical equipment and supplies
- Medical waste management policy and how waste generated during the medical camp will be disposed.



- Statement of a referral system for patients who might require further treatment

2.1.4 Seek approval from the principal

2.1.5 Conduct the Medical Camp

2.1.6 Submit a written report at end of the AUC principal

## **2.2 Health Camps – AUC to Communities it serves**

2.2.1 Identify the problem/activity to be addressed by the health camp

2.2.2 Identify specialist in the problem area and appoint him/her team leader

2.2.3 Establish a working committee under the team leader to

- Identify and procure necessary logistics (equipment; transportation, drugs etc.)
- Seek funding through various means including sponsorships
- Establish effective communication channels between AUC, community leaders and AUC Management)
- Prepare a profile of the intended beneficiary community

2.2.4 Establish a community/AUC implementation committee

2.2.5 Implement the activities envisaged in the health camp

2.2.6 Prepare activity report to Management and

2.2.7 Provide feedback to the community.

## **References:**

1. The Medical Practitioners and Dentists Board (Cap.253), Medical Camps Rules – Kenya Subsidiary Legislation, 2016.
2. Transparent Hands: Providing Free Medical and Surgical Services in Pakistan.  
[www.transparaenthands.org](http://www.transparaenthands.org)

## APPROVAL AND REVIEW OF THE PROCEDURES

### Approval

These procedures have been approved by the Alupe University Council.

Name..... Sign..... Date .....

### Chairperson of AUC Council


Name..... *Prof. Fabian Hamar* Sign..... *[Signature]* Date ..... *7/6/2022*

### Principal

## Review

These procedures shall be reviewed after three (3) years or as need arises.

## Document Management and Control

Policy Manager: Deputy Principal (AFD) and Deputy Principal (ARSA)			
Version	Approval Date	Authority	Review Date
1 	7/6/2022	Principal	
2			