



**UNIVERSITY OF KABIANGA**

**ISO 9001:2015 BASED QUALITY MANAGEMENT SYSTEM  
PLANNING RESEARCH AND DEVELOPMENT PROCEDURES MANUAL  
REF: UoK/PM/MR/015**

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**PROCEDURE NUMBER 1:            PREPARING UNIVERSITY ALMANAC**

**1.0    GENERAL**

**1.1    PURPOSE**

The procedure shall ensure that there is no overlapping of activities/meetings to enhance efficiency in execution of University processes

**1.2    SCOPE**

This procedure applies to UoK and its campuses

**1.3    REFERNCES**

- a) Quality Manual UoK/QM/MR/003
- b) Strategic Plan
- c) Performance Contract documents

**1.4    TERMS AND DEFINITIONS**

DVC (PR & D) -     Deputy Vice Chancellor (Planning, Research and Development)

QMS                -     Quality Management System

PC                    -     Performance Contract

SP                    -     Strategic Plan

**1.5    PRINCIPAL RESPONSIBILITY**

The DVC (P R & D) shall ensure adherence to this procedure

**2.0    STEPS**

**2.1**    Two months before the end of the financial year, the DVC (P, R & D) shall ensure issuance of a notice to all divisions requesting them to submit a schedule of all inter-divisional (cross-cutting) meetings/activities organized by each.

**2.2**    Upon receipt of the schedules from the various divisions, the DVC (P R & D) shall ensure that the schedules are compiled into a draft almanac and dispatched to the various divisions for their verification within one month before the end of the financial year.

**2.3**    Upon verification, the DVC (P R & D) shall ensure incorporation of any inputs from the divisions within two weeks before the start of the financial year.

**2.4**    Upon incorporation of the changes, the DVC (P R & D) shall approve the almanac and circulate to divisions for implementation within one week before the start of the new financial year.

- 2.5** In an event when there is need to schedule an important meeting of the University which had not been anticipated prior to preparation of the almanac, the in-charge shall submit a request to the DVC (PR&D) for approval
- 2.6** The DVC (PR&D) will evaluate the request and allocate a slot for the meeting that will be deemed not to interfere with any activities/event schedule previously.
- 2.7** This procedure shall be deemed complete.

## **PROCEDURE NUMBER 2: REVIEW OF STRATEGIC PLAN**

### **1.0 GENERAL**

#### **1.1 PURPOSE**

The procedure shall ensure that UoK develops/review short, mid and long term plan for its processes, programmes, services, and development based on available resources.

#### **1.2 SCOPE**

This procedure applies to UoK and its campuses.

#### **1.3 REFERENCES**

- a) Quality Manual – **UoK/QM/MR/002.**
- b) University strategic plan
- c) Performance Contract Documents
- d) National Development Plan
- e) Vision 2030
- f) The Constitution of Kenya revised Edition (2010)
- g) University Master Plan (2013)
- h) UoK Charter, 2013
- i) Commission for University Education Standards
- j) Universities Regulations
- k) Universities Act, 2012
- l) Sector Performance Standards, 2<sup>nd</sup> Edition (2015)
- m) National Research and Development, 2014-2017

#### **1.4 TERMS AND DEFINITIONS**

- a) DVC (PR&D) – Deputy Vice Chancellor (Planning, Research & Development)
- b) Records – Any document that provides evidence of an activity performed.

#### **1.5 PRINCIPAL RESPONSIBILITY**

The DVC (PR&D) shall ensure adherence to this procedure

### **2.0 STEPS**

- 2.1 At the end of every implementation period, the DVC (PR&D) shall appoint a committee to undertake review on the progress of implementation. The

Committee shall receive views of reviews from Deans/HoDs/HoS for consideration

- 2.2 The committee in reviewing shall;
  - a) Analyse achievement of the strategic issues by the various departments/schools and sections
  - b) Identify the strategic issues not implemented
  - c) Consider emerging issues affecting the operation of UoK
- 2.3 Upon review, the committee shall submit a proposal to DVC (PR&D) for tabling before Management.
- 2.4 The DVC (PR&D) shall ensure incorporation of any inputs from the management.
- 2.8 On recommendation, the Vice-Chancellor shall table the draft revised strategic plan before the relevant Council Committee for consideration.
- 2.9 The Vice Chancellor shall ensure incorporation of any inputs from the Council Committee.
- 2.10 On Recommendation the chairman of the Council Committee shall table the revised draft strategic plan before Council for consideration and approval.
- 2.11 The Council shall advise the Management accordingly in the event of non approval of the revised strategic plan.
- 2.12 Upon approval of the revised strategic plan, the Vice Chancellor shall inform the members of the University through the relevant boards / committees/divisions
- 2.13 The DVC (PR&D) shall ensure production of adequate copies of the revised strategic plan.
- 2.14 The DVC (PR&D) upon the launch of the revised strategic plan shall ensure circulation of the same within the University for implementation and this procedure shall be deemed finalized.

**PROCEDURE NUMBER 3: PERFORMANCE CONTRACTING****1.0 GENERAL****1.1 PURPOSE**

The purpose of this procedure is to ensure effective, timeliness and efficiency in the coordination of performance contracting activities in the University.

**1.2 SCOPE**

This procedure shall apply to UoK and its campuses.

**1.3 REFERENCES**

- a) Quality Manual – **UoK/QM/MR/002**.
- b) Performance contracting cycle guidelines
- c) Strategic Plan
- d) Medium Term Plans
- e) Annual Work Plans

**1.4 TERMS AND DEFINITIONS**

PC – Performance contract

DVC (PRD)–Deputy Vice-Chancellor (Planning, Research & Development)

**1.5 PRINCIPAL RESPONSIBILITY**

The Deputy Vice-Chancellor (PR&D)

**2.0 STEPS****2.1 Target setting**

- 2.1.1 This procedure shall start with receipt of a PC guidelines circular from Ministry in charge of University Education by the PC coordinator
- 2.1.2 On receipt of the circular, the coordinator shall circulate the PC guidelines within one week upon receipt and convene a PC secretariat meeting to plan for target setting
- 2.1.3 The Coordinator shall convene an inter departmental target setting meeting and brief the various process owners on setting of targets in line with the guidelines
- 2.1.4 The Coordinator shall ensure receipt of departmental targets within the set timelines for compilation into Institutional draft targets

**2.2 Negotiation of the PC with the Ministry**

2.2.1 On receipt of the invitation for negotiation, the PC Secretariat in liaison with the University Management shall negotiate the University's targets with Ministry in charge of University Education guided by the Institution's Strategic Plan and/ or any other relevant document.

**2.3 Vetting and or Review of the PC**

2.3.1 On receipt of invitation for vetting and or review of the PC from the relevant Government office(s) the PC coordinator shall in liaison with the DVC (PR&D) coordinate the PC secretariat and the University Management to defend the negotiated and or vetted targets.

2.3.2 Vetting between the Government office and the University may be conducted virtually.

**2.4 Signing**

2.4.1 On receipt of invitation for PC signing, the PC coordinator shall liaise with the Vice Chancellor and the signatories to the PC document to ensure signing with Ministry in charge of University Education.

2.4.2 Signing of the PC targets between Ministry in charge of University Education and the University Council may be done virtually.

**2.5 Implementation**

Upon vetting and or reviewing/ signing of the PC the PC coordinator, in liaison with the DVC (PR&D), shall ensure cascading of the PC targets to the relevant levels within the University.

**2.6 Monitoring and Reporting**

2.6.1 In monitoring the PC implementation, the PC coordinator shall ensure the various divisions submit quarterly progress reports on the attainment of the set targets within seven days after the end of the quarter.

2.6.2 The PC coordinator shall compile the submitted Divisional/departmental/ sections reports into Institutional quarterly reports and submit them to the University management and then to Council for consideration.

2.6.3. Upon consideration by University management and Council the report shall be submitted to the relevant Government offices with copies to Ministry in charge of University Education in the prescribed format and within the set timelines.



2.6.3 At the end of the contract period, the PC coordinator shall prepare and submit summative annual report to the relevant Government office with copies to Ministry in charge of University Education.

## **2.7 Evaluation**

On invitation for evaluation, the PC coordinator, in liaison with the DVC (PR&D), shall coordinate the compiling of evidence and defending of achievement during evaluation.

**PROCEDURE NUMBER 4: PROJECT IMPLEMENTATION****1.0 GENERAL****1.1 PURPOSE**

- a) The procedure shall ensure that UoK has sound and relevant development projects that meet educational training objectives.
- b) To identify and prioritize development projects to be undertaken based on the available resources.

**1.2 SCOPE**

This procedure applies to UoK and its campuses.

**1.3 REFERENCES**

- a) Quality Manual – **UoK/QM/MR/002.**
- b) University strategic plan (2016 – 2020)
- c) University Master Plan
- d) National Development Plan
- e) Vision 2030

**1.4 TERMS AND DEFINITIONS**

- a) DVC (A&F) – Deputy Vice Chancellor (Administration & Finance).
- b) DVC (PR&D) – Deputy Vice Chancellor (Planning Research and Development).
- c) DVC (A&SA) - Deputy Vice Chancellor (Academics and Student’s Affairs)
- d) Registrar (PR&D) – Registrar (Planning Research and Development).
- e) QS – Quantity Surveyor.
- f) CoW-Clerk of Works.
- g) AMO- Assistant Maintenance Officer
- h) SPO – Senior procurement Officer

**1.5 PRINCIPAL RESPONSIBILITY**

The DVC (PR&D) shall ensure implementation of this procedure

**2.0 STEPS**

- 2.1 This procedure shall start with the DVC (PR&D) in liaison with QS &CoW developing a project implementation schedule in line with development budget provision.

- 2.2 In implementing the schedule, the QS CoW&AMO shall in liaison with the DVC (PR&D) recommends to Management on the mode of implementing the project. The modes shall include;
- a) Outsourcing the project to consultant and contractor
  - b) Execution of minor projects internally (minor works)
- 2.3 For those projects to be contracted out, the QS &CoW shall in liaison with the DVC (PR&D) engage registered consultant and Contractor in the design and implementation of the project. The engagement of the consultant and contractor shall be as per Procurement procedures
- 2.4 For minor projects to be executed internally.
- a) The user departments will first seek approval from the DVC (PR&D).
  - b) On receipt of approval the CoW and QS prepare initial drawings and cost estimates and forward to management for approval.
  - c) Once approved CoW and QS prepares detailed drawings, specification, BQ, program of work and material estimates as applicable.
  - d) The QS forward these documents to DVC (PR&D) for further approval.
  - e) Once approved material estimates are forwarded to procurement to be procured before execution.
  - f) Once materials are procured they are handed over to Estate department for execution.
- 2.5 For projects to outsourced to consultants and contractor be at various stages of implementation
- a) QS and CoW works in liason with DVC (PR&D) prepares and brief and submits to the consultants who prepares initial drawings and cost estimates which are forwarded to Management for approval.
  - b) Once approved Consultants are requested to prepare tender documents comprising of detailed drawings, specifications schedule of materials and Bills of Quantities as applicable.
  - c) The QS receive, check, and pass them to DVC (PR&D) for concurrence and adaption.
  - d) QS in consultation with SPO ensure tender bid documents are in order before tendering

- e) Once Procurement process is complete and contract is signed QS will organize for site hand over to the contractor and Consultants will supervise the works.
  - f) QS with liason with consultants will organize for regular site meetings and site inspection as need arises.
  - g) From time to time the QS will request/receive regular project cost appraisal and forward it to DVC (PR&D) for tabling before Management
  - h) From time to time the QS will receive and scrutinize all interim payment certificates and forward to DVC (PR&D) who will in turn present to VC for approval of payment.
  - i) The CoW will prepare weekly site reports and submit to QS for forwarding to consultants.
  - j) The CoW will ensure regular inspection of works by consultants and use of approved materials by contractor.
- 2.6 For internally executed projects, the DVC (PR&D)/ Management shall approve project documents (budget, drawings, timelines, variation etc)
- 2.7 For contracted projects, the DVC (PR&D) shall table the same before management board for consideration and recommendation to the Academic, Research, Planning, and Infrastructure development committee of council.
- 2.10 The committee of the council shall consider and make recommendations to council for approval based as applicable on;
- a) Timelines in completion
  - b) Quality of works
  - c) Sitting based on master plan
  - d) Budget vis-à-vis completion rate
- 2.11 The council shall consider the recommendation of the Academic, Research, Planning, and Infrastructure development committee in approving.
- 2.12 The DVC (PR&D) shall ensure action on any recommendation by the council as the execution continues
- 2.13 On completion, the QS &CoW as applicable shall liaise with Consultant / Inspection and Acceptance committee for certification of the project.
- 2.14 All projects shall be subject to defect liability period of 6 months during which the contractor shall make good any defects

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The QS &CoW shall in liaison with DVC (PR&D) ensure handling of any defects, anomalies, breaches among others in accordance to prevailing contract document as applicable

## **PROCEDURE NUMBER 5: COLLABORATIONS AND LINKAGES**

### **1.0 GENERAL**

#### **1.1 PURPOSE**

The purpose of this procedure is to ensure effectiveness and consistency in establishing collaborations and linkages.

#### **1.2 SCOPE**

This procedure applies to establishing of all collaborations and linkages between UoK and other partners.

#### **1.3 REFERENCES**

- a) Quality Manual – **UoK/QM/MR/002**.
- b) Universities Act (2012).
- c) UoK Statute (2013).

#### **1.4 ABBREVIATIONS/ACRONYMS**

- a) UoK – University of Kabianga.
- b) MoU – Memorandum of understanding.
- c) DVC (P R &D) – Deputy Vice Chancellor Academic and Students Affairs

#### **1.5 PRINCIPAL RESPONSIBILITY**

The DVC (P R &D) shall ensure that this procedure is implemented.

### **2.0 STEPS**

2.1 This procedure shall start with the DVC (PR &D) either:-

- a) Receiving a request for collaboration/linkage from an institution, or organization
- b) Receiving a request from a stakeholder on the need to establish linkage or collaborate with an institution.
- c) Identifying a need for collaboration/linkage with an institution or organization

- 2.2 Upon receiving the request the DVC (PR&D) shall direct the DIR (RL&E), to examine, peruse or study the submission with a view to identify the needs, purpose and scope of collaborations and developing the legal and policy framework for the collaborations and/ or linkage and advice accordingly.
- 2.3 Upon the received of the collaboration request from DVC (PR&D) the DIR (RL&E) shall review the request and submit the advisory and/ or draft collaboration documents, agreements or memorandum of understanding to the DVC (PR&D) for onward submission to the University Board of Management.
- 2.4 Upon receiving the submissions from DIR (RL&E), the DVC (PR &D) shall table the same in the Management and Senate meeting for deliberation and approval.
- 2.5 In approving the request, the Management and Senate meeting shall consider the following:-
- a) Relevance of the collaboration,
  - b) Benefits of the collaboration, and
  - c) UoK's strategic interests.
- 2.6 In the event that it is not viable to collaborate or establish linkages, the DVC (P R &D) shall as per the internal or external communication procedure inform the interested institution/stakeholder.
- 2.7 In case of 2.1 b), the DVC (P R &D) shall as per the communication procedure inform the targeted organization of the intent to collaborate.
- 2.8 In the event that the organization declines the request, the matter shall be dropped.
- 2.9 Upon receipt of a favourable response or in case it is viable to establish linkage or collaborate, the DVC (PR&D) shall constitute a technical committee to facilitate the development of an MoU with the institution.

- 2.10 In constituting the committee, the DVC (P R &D) shall consider the following:-
- a) Nature of collaboration,
  - b) Expertise in the field of collaboration, and
  - c) Legal counsel.
- 2.11 Upon appointment, the technical committee shall initiate negotiations with proposed collaborating institution on the MoU and ensure that the DVC (P R &D) informed of the progress.
- 2.12 Once the MoU has been drafted, the DVC (PR &D) shall table it in the Management meeting for approval.
- 2.13 In approving the draft MoU, the management meeting shall consider the following:-
- a) Legal commitments, and
  - b) Stated benefits of the collaboration,
- 2.14 In the event of disapproval, the DVC (PR &D) shall advise the technical committee as appropriate.
- 2.15 Upon approval, the technical committee chairperson shall ensure that the final draft MoU is developed and forwarded to the DVC (PR &D) for signing.
- 2.16 Upon receipt of the MoU, the DVC (PR &D) shall ensure that the MoU is signed by both parties.



## **PROCEDURE NUMBER 6: MONITORING OF RESEARCH ACTIVITIES**

### **1.0 GENERAL**

#### **1.1 PURPOSE**

The purpose of this procedure is to ensure effectiveness, timeliness and consistency in monitoring research activities at UoK.

#### **1.2 SCOPE**

This procedure applies to monitoring of all research activities conducted by staff of UoK and whose funding is controlled by UoK.

#### **1.3 REFERENCES**

- a) Quality Manual – **UoK/QM/MR/002.**
- b) UoK Research and Extension policy
- c) Universities Act 2012
- d) University Statutes 2013.
- e) National Research and Development policy

#### **1.4 ABBREVIATIONS/ACRONYMS**

- a) UoK – University of Kabianga.
- b) DVC (PR&D) – Deputy Vice Chancellor Planning Research & Development
- c) DVC (A&SA) – Deputy Vice Academic and Students Affairs.

#### **1.5 PRINCIPAL RESPONSIBILITY**

2.0 The Deputy Vice Chancellor (PR&D) shall be responsible to ensure that this procedure is adhered to.

#### **3.0 STEPS**

2.1 This procedure shall start at least two weeks after the award of research funds as per the provisions of Research Policy with the Deputy Vice Chancellor (PR&D) appointing a Research and Extension monitoring team for a research activity.

- 2.2 In appointing the team, the Deputy Vice Chancellor (PR&D) shall consider the following:-
- a) Research area, and
  - b) Expertise and experience of the members in the research area.
  - c) Upon the appointment of the Research and Extension monitoring team the DVC (PR&D) shall instruct on his behalf the Director (Research, Linkages & Extension) to execute and manage the research activity from the initiation to conclusion while working closely with the RM&E team.
- 2.3 Upon appointment, the Research and Extension monitoring team in liaison with Director (RL&E) shall establish guidelines for monitoring the research activities guided by the UoK research and extension policy and:
- a) Prepare a monitoring schedule guided by the researcher's work plan; and
  - b) Prepare a budget for monitoring research activities in the field.
- 2.4 Upon preparation of the schedule and budget, the Research and Extension monitoring team leader shall as per the internal communication procedure communicate it to the researcher and DIR (RL&E).
- 2.5 On the scheduled dates, the monitoring team shall visit the researcher to verify the following, whether:-
- a) The research is being conducted as per the objectives as provided in the proposal;
  - b) Activities are being conducted within the time limits as per the work plan laid down by the researcher;
  - c) Financial resources are being used as stated in the researcher's budget, and

- d) The impact of the researcher activities is as stated in the proposal;
  - e) The research conforms to the Institutional Research and Ethics Committee's expected standards and are being disseminated through the appropriate modes such as Journals, public lecture, conferences, workshops and seminars and books.
- 2.6 After the monitoring, the monitoring team shall within two weeks furnish the DIR (RL&E) who shall submit to the Deputy Vice Chancellor (PR&D) with a report on the findings of the progress of the research being undertaken.
- 2.7 Upon receipt of the report, the Deputy Vice Chancellor (PR&D) shall inform the researcher of the findings and advise him/her accordingly.
- 2.8 The Deputy Vice Chancellor (PR&D) shall liaise with the Deputy Vice Chancellor (A&SA) and subsequently forward the report to Management and the Senate for information and necessary action.
- 2.9 The Principal investigator and collaborators shall be required to present their research findings during the annual Research Workshops, Symposia, Seminars and Conferences.



**UoK/F/MR/003**

**UNIVERSITY OF KABIANGA  
ANNEX INDICATING CHANGES MADE IN THE PROCEDURES**

Proc.No and clause	Date	Details of changes		Authorization - Officer Authorizing	
		Initial clause details	Current approved clause details		
		<b>Changes effected</b>		<b>Comment</b>	<b>MR</b>
Clauses as applicable	26/03/2018	ISO 9001:2008 International Standard requirements	ISO 9001:2015 International Standard requirements	Approved	<b>MR</b>
	17/05/2022	Previous clauses on Procedure No. 1, 2 and 3	Amendments on planning clauses to accommodate developments in performance contracting and Strategic planning	Approved	<b>MR</b>
Review of proc. 5 and 6	31/03/2023	Clauses as applicable on the document change form	Amendments on Collaboration and linkages and monitoring and evaluation processes	Approved	<b>MR</b>

**Approval**

I \_\_\_\_\_ the Vice Chancellor UoK, having read and understood the content of the foregoing document, do hereby approve and authorize it for use in UoK Main Campus and its' other Campuses on this \_\_\_\_\_ day of (Month) \_\_\_\_\_ (year) \_\_\_\_\_

Signed: \_\_\_\_\_ Date: \_\_\_\_\_