

The Catholic University of Eastern Africa (CUEA)

Founded by Association of Member Episcopal Conference of Eastern Africa
AMECEA



QUALITY MANAGEMENT MANUAL


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0.1 Foreword

The commitment of the Catholic University of Eastern Africa to providing the highest ever quality of education cannot be overemphasized. In this accord, the university is determined to provide high quality research, teaching, and community services. Apart from recruiting very highly qualified staff, the university has developed this Quality Management Manual to guide all its activities and ensure diligence and commitment in provision of essential services to students and the larger community from which they hail. Accordingly this Quality Management Manual is not only a statement about the ideals that the Catholic University of Eastern Africa stands for but also a guide towards achieving this noble goal.

Signed

A handwritten signature in black ink, appearing to read 'Maviiri JC', written in a cursive style.

Rev. Professor John C. Maviiri
Vice-Chancellor

0.2 Contents and Record of Changes

0.2.1 Table of Contents

Section	Subject	Issue	Revision	Date
	Introduction			
	Scope			
	References			
	Terms and definitions			
	Quality Management System in CUEA			
	Management responsibility in CUEA			
	Resource management in CUEA			
	Realization of the educational service			
	Measurement, analysis and improvement in			
	Annexes			

0.2.2 Record of Changes (QMM Section Revisions)

The Quality Management Manual (QMM) is controlled in its entirety including updates and revisions

Section	Date	Details of Changes		Authorization
		Page	Clause/ Sub-clause & Comment	
0.2	19.05.2011	vi	0.2	MR
0.3	19.05.2011	vii	0.3	MR
0.5	19.05.2011	x	0.5.4, 0.5.5, 0.5.8 .1, 0.5.8.2	MR
4.0	19.05.2011	4	4.1.1	MR
4.0	19.05.2011	6	4.2.1.5	MR
5.0	19.05.2011	9	5.3.2	MR
7.0	19.05.2011	17	7.3.4,	MR
7.0	19.05.2011	18	7.3.5, 7.3.6, 7.3.7	MR
9.0	19.05.2011	24	9.1,	MR
9.0	19.05.2011	30	9.2	MR
9.0	19.05.2011	31	9.5	MR
0.3	03.05.2011	vi	0.3 (change from Dean of Science to Deans)	MR
4.0	02.07.2011	4.0	Details on interaction of processes	MR
9.0	16.02.2012	25	9.0 Updating the list of procedures	MR

9.0	07-09-2012	32	9.0 Inclusion of MR and Directors(to replace Director of Research)	MR
9.0	30-01-2013	24,25,31,32	9.0 Change Appendix to Annex	MR

0.3 Distribution/Circulation

This quality management manual is available to authorized users on the CUEA server and at relevant functions as shown below.

S/NO	HOLDER
1.	Vice Chancellor
2.	Deputy Vice Chancellors
3.	Management Representative
4.	Executive Directors
5.	Deans
6.	Directors.
7.	University Librarian
8.	Financial Administrator
9.	Head of Department
10.	Uncontrolled / Printed Copies

0.4 Abbreviations and Acronyms

The following abbreviations and acronyms are used throughout this quality management manual:

0.4.1	AABS	–	Association of African Business Schools
0.4.2	ACUHIAM	–	Association of Catholic Universities and Higher Institutes of Africa and Madagascar
0.4.3	ACUQA	–	Association of Catholic Universities Quality Agency
0.4.4	AMECEA	–	Association of Member Episcopal Conferences of Eastern Africa
0.4.5	CHE	–	Commission for Higher Education
0.4.6	CHIEA	–	Catholic Higher Institute of Eastern Africa
0.4.7	CUEA	–	The Catholic University of Eastern Africa
0.4.8	DAAD	–	Deutscher Akademischer Austausch Dienst (German Academic Exchange Services)
0.4.9	DQA	–	Directorate of Quality Assurance
0.4.10	DVC	–	Deputy Vice Chancellor
0.4.11	FASSc	–	Faculty of Arts and Social Sciences
0.4.12	HOD	–	Head of Department
0.4.13	IQA	–	Internal Quality Audit
0.4.14	ISO	–	International Organization for Standardization
0.4.15	IUCEA	–	Inter-University Council of East Africa
0.4.16	MOHEST	–	Ministry of Higher Education Science and Technology
0.4.17	ODL	–	Open and Distance Learning
0.4.18	QA	–	Quality Assurance
0.4.19	QAC	–	Quality Assurance Committee
0.4.20	QAS	–	Quality Assurance System
0.4.21	QAU	–	Quality Assurance Unit

0.4.22	QMM	–	Quality Management Manual
0.4.23	QMM	–	Quality Management Manual
0.4.24	QMPs	–	Quality Management Procedures
0.4.25	QMR	–	Quality Management Representative
0.4.26	QMS	–	Quality Management Systems
0.4.27	SOPs	–	Standard Operating Procedures
0.4.28	UC	–	University Council
0.4.29	UMB	–	University Management Board
0.4.30	VC	–	Vice Chancellor

0.5 Organizational Profile of CUEA

0.5.1 Brief History of the Catholic University of Eastern Africa

The Catholic University of Eastern Africa (CUEA), like most other universities, started in a modest way. It commenced as a Graduate School of Theology known as the Catholic Higher Institute of Eastern Africa (CHIEA).

The Institute (CHIEA) was founded in 1984 by the Association of Member Episcopal Conferences in Eastern Africa (AMECEA), an umbrella organization of Bishops from eight countries namely: Eritrea, Ethiopia, Kenya, Malawi, Sudan, Tanzania, Uganda and Zambia.

In 1986, the Graduate School of Theology started negotiations with the Commission for Higher Education in Kenya towards the establishment of The Catholic University of Eastern Africa (CUEA). In 1989, the Institute obtained the “Letter of Interim Authority” as the first step towards its establishment as a private University.

After three years of intensive negotiations, the Faculty of Arts and Social Sciences (FASSc) was established. The climax of the negotiations was the granting of the Civil Charter to CHIEA on 3rd November 1992 by the Government of the Republic of Kenya. This marked the birth of the University.

0.5.2 Governance

The University is governed by the University Council, University officials and Trustees.

0.5.3 Faculties

The Catholic University has six Faculties, a Centre, and an Institute they include:

- (a) Faculty of Theology;
- (b) Faculty of Arts and Social Sciences;
- (c) Faculty of Commerce;
- (d) Faculty of Education;
- (e) Faculty of Science; and
- (f) Faculty of Law
- (g) Center for Social Justice and Ethics
- (h) AMECEA Pastoral Institute

Each of these faculties is headed by a Dean of Faculty who reports to the Deputy Vice Chancellor Academic Affairs. However, the Faculty of Theology reports directly to the Holy See on ecclesiastical programmes. The Centre and the Institute is headed by a director.

0.5.4 Vision

To be a world class University producing transformative leaders for Church and Society.

0.5.5 Mission

To promote excellence in research, teaching and community service by preparing morally upright leaders based on the intellectual tradition of the Catholic Church.

0.5.6 Philosophy

CUEA is founded on the philosophy of the Catholic Higher Education which stresses free search for the whole truth about nature, humanity and God. It promotes exploration of every academic discipline, inspired by Him who is “The Way, the Truth and the Life (Jn 14:6)”. Our conviction is that the Spirit of the Lord enables human beings - through the development of their intelligence and talent - to find meaning in life.

0.5.7 Core values

The following are the CUEA core values:

1. Witness of Life
2. Prayer
3. Truthfulness
4. Honesty
5. Excellence
6. Commitment
7. Competence

0.5.8 .1 Goals

1. Attain holistic and ethical scientific research, quality teaching and community service
2. Produce authentic leaders and upright members of the Church and Society capable of contributing to sustainable Development according to God’s plan.
3. To enhance a conducive environment for sharing the joy of learning, discovering and communicating knowledge.
4. Achieve inculturation of Christian in African for deeper evangelization and integral development.
5. Serve local and international community’s by critically addressing root causes of conflicts for the implementation of lasting peace, justice and reconciliation

0.5.8.2 CUEA objectives

1. Develop and review programs every two years in order to address contemporary leadership challenges in the church and society.

2. To annually organize in-service training for the staff to serve as role models for church and society
3. To annually equip at least 1000 students, church and community leaders with ethical holistic skills for sustainable development.
4. To obtain feedback from at least fifty percent of key stakeholders with seventy percent indicating high satisfaction (3/5) with administration service every year for the next ten years.
5. To reduce reliance on tuition fees by twenty percent in the next ten years.
6. To enhance research on inculturation in Africa to provide new paradigms for deeper evangelization and integral development by 2014.
7. To develop Curricula that enhances inculturation of Christianity in Africa by 2015 and evaluate their implementation annually.
8. To disseminate knowledge and experience on inculturation towards formation of Church and society leaders in at least six countries in Africa in the next ten years
9. Conduct research on root causes of existing conflicts in Africa, every two years, to find solutions to lasting peace.
10. To develop, review, and publish training, awareness and advocacy materials on peace building every two years.
11. Organize an international conference on peace, justice and reconciliation, every three years, in light of the outcome of the second special Assembly of the Synod of Bishops for Africa

0.5.9 Administration

The University has opted for a collegial style, which promotes inclusive processes in decision-making headed by the Vice-Chancellor. The University has three divisions headed by DVC Finance, DVC Administration and DVC Academic. Each member of the University community, that is, students and employees, including the teaching staff, are represented in the administration organs of the University. In this regard, the University Council created the post of Deputy Vice Chancellor (Administration) and that of Deputy Vice Chancellor (Finance). Both students and employees have fora to address their grievances. Over the years, these fora have proved their worth in creating a forum where matters can be discussed openly and objectively. Dialogue is necessary in order to enhance proper engagement of stake-holders at all levels.

0.6 Physical and Contact Addresses

0.6.1 CUEA has its main campus situated at the following address

Physical location	Postal Address	Telephone Contacts	Email Contacts
Langata Road, Nairobi	P.O. Box 62157, 00200 Nairobi	020-8891601/6 2525811-5	vc@cuea.edu academics@cuea.edu admin@cuea.edu Registrar@cuea.edu admissions@cuea.edu students@cuea.edu library@cuea.edu lecturers@cuea.edu research@cuea.edu csje@cuea.edu dean_theology@cuea.edu Linkages@cuea.edu publications@cuea.edu qualityassurance@cuea.edu

0.6.2 CUEA has various Campuses, affiliate and constituent colleges at the following addresses

Physical location	Postal Address	Telephone Contacts	Email Contacts
CAMPUSES			
Eldoret (Gaba)	908 – 3100, Eldoret	0738238352	directorgaba@cuea.edu
Kisumu	1580 – 40100, Kisumu	0572024202	directorkisumu@cuea.edu
AFFILIATE COLLEGES			
Don Bosco, Moshi	8955 Shirimatunda Moshi Tanzania	+255(027)2754710	gchalissery@yahoo.com
Christ the King Major Seminary	1216-10100 Nyeri Kenya	0612032900 0202145025	ctk@urbaniana.edu
Chemichemi ya Uzima Centre	24105 00502 Nairobi	20892073	icapamiprogramme@yahoo.com chemchemi@aoskenya.org
Spirititan Missionary Seminary	2682 Arusha Tanzania	+255272549269	contact@smsnjiro.org

CONSTITUENT COLLEGES			
Hekima College	21215-00505 Nairobi Kenya.	203876608 3999000	principal@hekima.org
Tangaza College	15055-00509 Nairobi Kenya.	20891407 890340	principal@tangaza.org
Marist International College	24450-00502 Karen Kenya.	20882330 882994	registrar@mickenya.org
Regina Pacis University College	188-00517 Uhuru Gardens Nairobi.	202401816 0716936991	info@rpuc.ac.ke principal@rpuc.ac.ke

1.0 Scope

1.1 General

This quality management manual describes the quality management system for CUEA

1.2 Purpose of CUEA QMM

- 1.2.1 The purpose of this Quality Management Manual (known as CUEA QMM) is to define and describe the Quality Management System (QMS) applied throughout CUEA and is meant to ensure that the University consistently provides services and products that meet customer, stakeholders and applicable regulatory and statutory requirements. It covers the entire scope of CUEA's business processes and activities that directly or indirectly impact on its service realization. Specifically, it covers the processes employed in research, teaching and learning and community service at CUEA.
- 1.2.2 This CUEA QMM is organized into sections modelled along the requirements contained in ISO 9001:2008 standard. It makes reference to documented procedures (QMPs) established for the application of the QMS. It presents the scope of the QMS, provides a description of the sequence and interaction of the various QMS processes (contained in sub-clause 4.1 below) and their application within the whole of CUEA.
- 1.2.3 In addition, this CUEA QMM and related documentation referenced herein covers all aspects of CUEA overall QMS and has been developed and implemented to ensure that all the requirements of ISO 9001:2008 standard are met.
- 1.2.4 This CUEA QMM will take into account all subsequent revisions to the ISO 9001:2008 standard and revisions to any normative documents.
- 1.2.5 Description of the general scope coverage of the QMS
 - (a) **Research** - This emphasis on individual and collective (group) research by academic staff and students.
 - (b) **Teaching** - The strength of CUEA's programmes lies in academic discipline, emphasis on academic excellence, formation of the whole person, intellectually and morally, and recruitment of a very committed and competent teaching staff.
 - (c) **Community Service** - Since its establishment, The Catholic University of Eastern Africa has made efforts to provide service of practical worth to the community. Both students and staff have been actively involved in community service activities such as: pastoral work, afforestation, neighbourhood cleaning, training of communities on management of small businesses and conducting in-service courses for teachers.

1.2.6 In addition, the QMS includes internal support services offered by the following functional areas:

- (i) Human Resource
- (ii) Finance;
- (iii) Information and Communications Technology;
- (iv) Public Relations;
- (v) Internal Audit (Financial)
- (vi) Registry
- (vii) CUEA Press
- (viii) Infirmary
- (ix) House keeping
- (x) Catering
- (xi) Transport and Maintenance
- (xii) Medical Insurance.
- (xiii) Library
- (xiv) Planning and Development
- (xv) Alumni Relations Office
- (xvi) Dean of Students
- (xvii) Legal Advisor
- (xviii) Procurement
- (xix) AIDS Control Unit (ACU)
- (xx) Telephone and Immigration
- (xxi) Learning Resource Centre
- (xxii) Academic Programmes Development Office
- (xxiii) Directorate of Quality Assurance
- (xxiv) Academic Linkages

1.2.7 The scope of the QMS covers activities of the whole of CUEA main campus operations including those services offered through the regional offices (whose addresses are given in sub-clause 1.3.2).

1.2.8 Specific services covered by the QMS but not subject to the application for certification are described in sub-clause 2.3.

1.3 Specific Exclusions to Certification Scope

1.3.1 CUEA endeavours to provide its services in line with best practice guidelines and standards. In this respect, the following functional areas and their activities are excluded from CUEA certification scope:

- (a) Constituent colleges
- (b) Partner institutions offering joint programmes with CUEA

1.3.2 Permissible Exclusions and Justifications

There are no exclusions made within the corporate CUEA Quality Management System.

1.4 Approvals – Certifications and Accreditations

- 1.4.1 CUEA has adopted an integrated approach to the implementation of its Quality Management System (QMS). The ISO 9001:2008 standard has been primarily adopted and implemented for the common and global application of the QMS throughout CUEA and forms the basis for the introduction and application of other management system standards relevant to each functional area.
- 1.4.2 In addition, CUEA holds accreditation to specific accreditation standards as listed below:
- (a) Ecclesiastical Authority of the Roman Pontiff (Congregation for Catholic Education)
 - (b) The Commission For Higher Education (CHE)
 - (c) Inter-University Council of East Africa (IUCEA) in conjunction with DAAD
 - (d) Association of Catholic Universities and Higher Institutes of Africa and Madagascar (ACUHIAM)
 - (e) Member of Association of Catholic Universities Quality Agency (ACUQA)
 - (f) Member of the Association of African Business Schools (Faculty of Commerce)
 - (g) Council for Legal Education (Faculty of Law)

2.0 Normative References

This QMM makes reference to the following documents which form part of the QMS documentation:

- 2.1 ISO 9001:2008 Quality Management Systems – Requirements
- 2.2 ISO 9000:2005 Quality Management systems - Fundamentals and Vocabulary
- 2.3 19011:2002 Guidelines on Quality and /or Environmental Management Systems Auditing
- 2.4 CUEA Strategic Plan
- 2.5 CUEA Charter

3.0 Terms and Definitions

The following definitions and those in ISO 9000:2005 apply

- 3.1 Product – also means service. In CUEA, our products are academic programmes (teaching), Research and Community Service
- 3.2 Customer – mainly refers to students/learners
- 3.3 Stakeholders – these include regulatory bodies, parents, suppliers, employers, employees and the community.

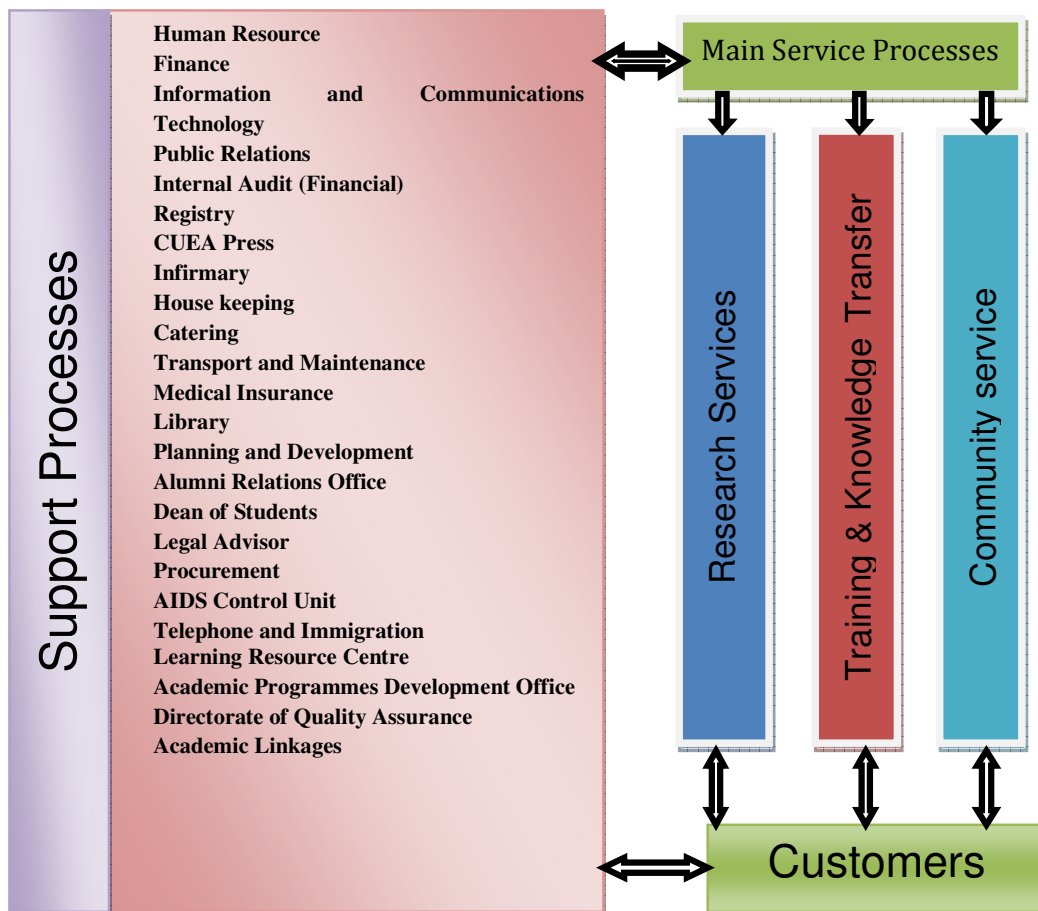
- 3.4 Top Management – At CUEA this refers to all members of the management board who include the Vice Chancellor, Deputy Vice Chancellors, Financial Administrator, Deans of Faculties and Directors, Human Resource Manager, and Public Relations officer, Corporate Communications Manager, Dean of Students, Internal Auditor, University Registrar, Investment Officer, University librarian and Director of Research.

4.0 Quality Management System

4.1 General Requirements

- 4.1.1 CUEA has identified all the processes needed for the QMS and their application throughout the organization. These processes are divided into two types: main service processes and support processes. The structures of the processes are represented in the following process chart (all processes have been shown according to the functional orientation of CUEA):

Figure 4.1 Interaction of processes



The Catholic University of Eastern Africa's main service process include research, training and knowledge transfer and community services. For these processes to be effective and meet the customer's requirement they need the support processes performed by the different department / units mentioned in the diagram above.

- 4.1.2 The sequence and interaction of these processes clarify key interfaces and internal customer/supplier relations that CUEA takes into account when providing its services.
- 4.1.3 In addition, the respective procedures in various functional areas detail and identify:
 - (i) the criteria and methods for operation and control of each process;
 - (ii) the resources and information necessary to support each process;
 - (iii) the specific monitoring, measuring and analysis of the process as required; and
 - (iv) the process actions to achieve planned results and continual improvement measures.
- 4.1.4 CUEA may from time to time outsource various components or sub-processes of its main business processes through subcontracting. The outsourcing of main processes happens either on a deliberate continuous basis (process needs) or due to unforeseen reasons such as excess workload, temporary incapacity (competence or equipment) or need for further expertise.
- 4.1.5 When CUEA undertakes to outsource part of its services, it does so by procuring a competent subcontractor or supplier in accordance with the procurement regulations in force. The details of subcontracted services and/or processes are contained in respective procedures, whilst the procedures for undertaking procurement are described in (DVC-FIN/PRC/01). Control of outsourced process is also ensured by the administration function.

4.2 Documentation of QMS

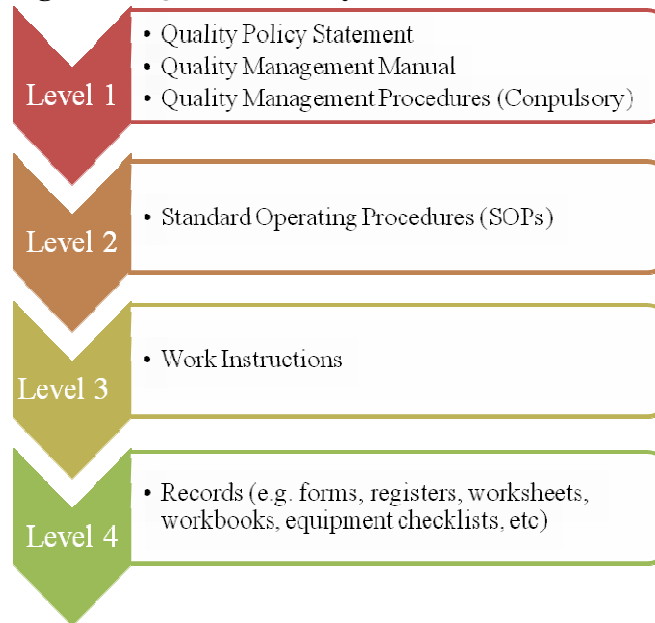
4.2.1 General (Documentation Hierarchy)

The documentation of the QMS is built as a pyramid that is divided into four levels:

- 4.2.1.1 Level 1: These consist of the CUEA default documentation that describes the system and CUEA policies required to control processes for common observance of the QMS. This Quality Management Manual (CUEA QMM), CUEA quality policy, quality management procedures (QMPs) and associated documents of external origin such as regulations, guidelines and standards form this level. It addresses all the requirements of ISO 9001:2008 for the generic application of QMS throughout the CUEA. In addition, this includes policy documents and some documents of external origin. This CUEA QMM adopts a flexible structure for inclusion of other applicable standards to CUEA services.

- 4.2.1.2 Level 2: This consists of Functional QMS documentation which is function-specific but applicable throughout the organization, irrespective of location. Functional documentation includes Standard Operating Procedures (SOPs) and where relevant work instructions. A function is an entity that performs generic processes and may be structured as a Faculty, department or section, depending on the extent, distribution or level of importance.
- 4.2.1.3 Level 3: This constitutes Area specific documentation derived from the requirements prescribed in the functional documentation or higher level documents but elaborated for the specific area of application. This shall consist of work instructions elaborated to a specific area and/or location. Area specific documentation may relate to a faculty, department or section in a particular region, or in some cases a section in a functional area in which its activities cannot be fully addressed in the SoPs.
- 4.2.1.4 Level 4: These are documents and/or records that detail objective evidence of operation of a process or procedures to support the QMS. They may be generated from or demanded by any of the three levels. It consists of forms, work sheets, workbooks, registers, equipments checklists, minutes, etc.
- 4.2.1.5 The QMS hierarchy is structured as follows:

Figure 4.2 QMS Hierarchy Structure



4.2.2 Quality Management Manual

- 4.2.2.1 CUEA has established a quality manual (this document) also known as the quality management manual (QMM) which is the overall framework document for the QMS. The QMM is designed to follow the clause structure of ISO 9001:2008 standard.

- 4.2.2.2 This QMM contains:
- (i) A description of the scope of the CUEA QMS, including details of and justification for exclusions (see clause 2.2 above);
 - (ii) References to the quality management documented procedures and documents to be established for the effective application of the QMS (see Appendix A); and
 - (iii) A description of the interactions of the QMS (see sub-clause 4.1.1 above).
- 4.2.2.3 The Management Representative (MR) has been delegated the responsibility for the development and maintenance of this CUEA QMM and related quality management procedures (QMPs). The CUEA QMM and QMPs shall be authorized by the Vice Chancellor prior to use and issued by the MR.
- 4.2.2.4 All other documents established for the application of the QMS shall be authored and authorized as described in sub-clause 4.2.3 below and QMP-01- CUEA/VC/DQA/01.

4.2.3 Control of Documents

- 4.2.3.1 CUEA quality management procedure QMP-01 CUEA VC/DQA/01 on “Control of Documents” establishes and defines the controls needed to be applied to all documents within the QMS.
- 4.2.3.2 Each functional area and/or process owner shall be responsible for the development of all documents required for the application of the QMS in accordance with the requirements and guidelines described in procedure QMP-01- CUEA/VC/DQA/01 which prescribes that:
- (i) All documents within the QMS shall be properly and uniquely identified and controlled: two types of copies as distinguished controlled and uncontrolled;
 - (ii) Documents shall be approved by the Vice Chancellor, Deputy Vice Chancellors, Dean Faculty of Theology and the Financial Administrator as applicable prior to release or issuance to a defined distribution list;
 - (iii) Documents shall be reviewed as necessary, and all revision or updates and amendments to documents shall be appropriately authorized;
 - (iv) All changes or amendments to documents shall be clearly identified and changes communicated where necessary;
 - (v) Amendments to documents by means of handwritten entries shall be recognized provided the change(s) are recorded and approved appropriately;
 - (vi) All documents shall be legible, readily identifiable and available at points of use;
 - (vii) Obsolete or Invalid documents shall be withdrawn and/or suitably identified to prevent unintended use where retained.
- 4.2.3.3 The MR and/or designated Functional Management Representative (FMR) are responsible for the overall maintenance of the master list of all documents within the

QMS. The master list identifies the current issue status of each QMS document. Each functional area shall maintain a similar master list that identifies all documentation applicable to that specific function. A copy of the master list held by the specific functional area shall be submitted to MR whenever changes are made to update or withdraw or render obsolete any QMS document. Procedure QMP-01 presents a generic format for document master lists.

4.2.3.4 Records of distribution of controlled documents shall be maintained by the MR.

4.2.4 Control of Records

4.2.4.1 Records are documents that act to provide evidence of conformity and effectiveness of the QMS. Records that demonstrate conformity of various processes that directly or indirectly impact on CUEA service realization to specific requirements shall be established and controlled in accordance with the requirements set out in subclause 4.2.4 of ISO 9001:2008.

4.2.4.2 CUEA Quality management procedure QMP-02 CUEA/VC/DQA/02 on “Control of Records” establishes controls to ensure that:

(i) Records remain legible, readily identifiable and retrievable for each type of service process or activity.

(ii) The needed controls for identification, filing, storage, protection, retrieval, retention times and disposition of records are established.

4.2.4.3 QMP-02 CUEA/VC/DQA/02 also documents requirements that ensure that all records shall be kept in a way that allow for easy retrieval, are held secure and where applicable in confidence at all times. The methods adopted for storage of records shall ensure that records are kept in facilities that provide a suitable environment, safe from deterioration or damage and to prevent loss.

4.2.4.4 Where records are held electronically, procedure QMP-2 CUEA/VC/DQA/02 defines additional controls to be applied for protection of back-up data including measures to prevent unauthorized access to or amendment of data in computers. The Information Communications Technologies functional area shall establish procedures for back-up of electronic records

4.2.4.5 All records developed for the application of the QMS shall be controlled as per the procedure on Control of Records (CUEA/VC/DQA/02), policies or prevailing applicable laws and/or regulations.

5.0 CUEA Management Responsibilities

5.1 Management Commitment:

To show its commitment to development and implementation of Quality Management System and

continually improve its effectiveness, CUEA has:

- (i) Communicated to all staff the importance of meeting customer satisfaction as well as statutory and regulatory requirements through website, staff meetings, emails and memos.
- (ii) Established a Quality policy.
- (iii) Established Quality Objectives.
- (iv) Conducted regular Management Reviews at least once annually
- (v) Provided a comprehensive budget for resource mobilization and allocation.

5.2 Customer Focus

CUEA's customers require high quality scientific research that generates new knowledge for holistic teaching and beneficial community service. CUEA carries out frequent customer satisfaction surveys (see 8.2.1) to determine the level of customer satisfaction. These surveys include student orientation questionnaires administered by registry, tracer studies, SWOT Analysis and Course Evaluation.

The results of the survey are implemented to enhance customer satisfaction.

5.3 Quality Policy

5.3.1 Since its inception, CUEA has strived to provide value and service to all its customers. In response to its mandate, and as a means to foster effectiveness, efficiency and continual improvement, CUEA top management commits itself to the directions provided in ISO 9001:2008 standard.

5.3.2 To ensure a clear focus on quality across CUEA, and to direct all staff efforts on quality, customer satisfaction and continual improvement, CUEA top management has expressed its commitment through the establishment of the quality policy, which states:

The Catholic University of Eastern Africa in its vision, mission and philosophy is committed to offer high quality scientific research that will generate new knowledge for holistic teaching and beneficial community service to cater for the needs and expectations of its customers and to continually improve its management systems according to the ISO 9001: 2008 Standard.

To achieve this CUEA shall develop quality objectives and communicate them to all employees. The Quality Policy shall be witnessed, understood, implemented, monitored, communicated and reviewed at least every two years for continual suitability. The Management is committed to meeting all statutory and regulatory requirements and providing the necessary resources.

A signed copy of the current quality policy statement is posted in various strategic work areas.

5.3.3 CUEA top management ensures that the quality policy:

- (i) Is appropriate to its purpose of ensuring that the quality performance in the

implementation of all university activities and monitoring and evaluation of teaching, research and community service.

- (ii) Indicates CUEA commitment to Quality Management System requirements by providing practical content as stated in the Strategic Development Plan of 2002 to 2011 by making it possible for the university to meet requirements of Commission for Higher Education and Inter- University Council of East Africa in conjunction with German Academic Exchange Programme (DAAD) and Association of Catholic Universities Quality Agency (ACUQA). Ensures relevance and responsiveness of CUEA programmes to the needs of students and society.
- (iii) Has a framework in which the Senate and sub committees such as ISO implementation Committee and Quality Assurance Committee in partnership with Directorate of Quality Assurance reviews quality objectives of the departments within CUEA to ensure QMS of research, teaching and community services. Towards this endeavor, the Directorate of Quality Assurance monitors, coordinates and manages the QMS review and improvement process through sub committees, namely; ISO Implementation Committee, Quality Assurance Committee, Faculty and Departmental and examination Boards and Senate Sub Committees that include Admission Committee, Staff evaluation Committee, Staff Development Committee, Finance Committee, Library Publication Committee, Research Committee, Students Development Committee and Linkages Committee.
- (iv) Has been communicated through the channels in place such as the university website, emails, memos, sensitization workshops and seminar to ensure it is understood and embraced by all staff. CUEA Management Representative (MR) ensures that the quality policy is communicated through its visual display at work areas and offices. In addition, the MR also uses appropriate communication media to continually ensure awareness of the quality policy amongst CUEA staff.
- (v) Is reviewed at management review to improve the QMS processes and ensure its suitability to the changing academic dynamics.

5.4. Planning

5.4.1 Quality Objectives

5.4.1.1 CUEA strategic plan and the quality policy provide a framework for setting quality objectives. In order to achieve customer satisfaction and continual improvement of performance through the implementation of the QMS, CUEA top management shall ensure that specific quality objectives and targets including those needed to meet the requirement for services are established at all functional areas and levels within the organization.

5.4.1.2 As stated in sub-clause 3.2 above, Quality objectives shall be set in relation to various

services offered, which shall be specific, measurable and are oriented towards specific results from the strategic plan and/or the budget period. These quality objectives set shall be stated in the respective functional quality manuals and related documentation.

- 5.4.1.3 The quality objectives shall be communicated in such a manner that staff can contribute to their achievement. Annually, the quality objectives shall be reviewed at management review meetings to ensure that they continue to achieve the expected results and satisfy the requirements of ISO 9001:2008.
- 5.4.1.4 CUEA top Management has formulated quality objectives aimed at meeting requirements for purposes of improving services at departmental levels. The quality objectives are measurable and consistent with the CUEA quality policy. This has been achieved based on strategic plans and academic calendars The CUEA quality policy provides a framework for translating, establishing and reviewing quality objectives. As stated in the quality policy, CUEA is guided by two key quality objective statements:
 - (i) To provide services that meet customers' requirements and endeavour to exceed their expectations; and
 - (ii) To continually improve the performance of the organization through the QMS
- 5.4.1.5 CUEA top management shall ensure that specific quality objectives and targets are established at relevant functions and levels within the organization, that are measurable and consistent with the quality policy. These specific quality objectives shall be established in relation to the various services offered and must be measurable. The specific quality objectives shall also reflect CUEA overall aspirations set out in its Strategic plan and related documentation.
- 5.4.1.6 Annually during the management review meetings, the quality objectives shall be reviewed to ensure that they continue to achieve expected results and satisfy the requirements of ISO 9001:2008.

5.4.2. Quality Management System Planning.

The CUEA top Management has ensured that:

- (a) Planning of the QMS is carried out in order to ensure:
 - (i) The processes essential for the QMS and their application in CUEA are determined.
 - (ii) The sequence and how various departmental processes interact is determined.
 - (iii) Criteria and methods needed to ensure that both operations and control of the processes are effective in place i.e. Departmental Evaluation Committees.
 - (iv) Resources and information necessary to support the operations and monitoring of the processes are formulated and availed. This has been done by making reference to Commission for Higher Education requirements, Reports of Self Assessment, Course Evaluation and staff Evaluation process.

- (b) The processes are monitored, measured and analyzed.
- (c) The integrity of QMS is maintained and the standards enhanced. This has been facilitated by the Senate that receives and considers data on student achievement including pass rates, examination failure, graduation rates, drop-out rates, destinations of graduates and postgraduate and labour markets experiences of CUEA graduates and evaluation reports on course and academic programme.

Each of the Quality Assurance Committee establishes a quality Implementation plan with a time line to implement the policy.

5.5 Responsibility, Authority and Communication

5.5.1 Responsibility and authority

- 5.5.1.1 CUEA has defined and communicated all responsibilities, authorities, functions and relationships within the organizations to ensure the effective implementation of the QMS.
- 5.5.1.2 In accordance with the university statutes, the Vice-Chancellor is the legally responsible person for all services provided by CUEA. The Vice-Chancellor has the overall responsibility for the quality of services provided to all CUEA customers and receives advice from the University Council for the formulation of policies.
- 5.5.1.3 In addition, the Vice-Chancellor (VC) is responsible for ensuring the organization's functions and relationships are clearly defined. Appendix C displays CUEA overall organization's structure (chart) showing these relationships and authorities.
- 5.5.1.4 Annually and when changes occur, the Human Resources and Administration department shall publish CUEA organization chart detailing holders of key positions and functions. Similarly, the MR is responsible for ensuring the copy of the organization structure held as an appendix of this QMM is updated appropriately.
- 5.5.1.5 The Deans (respective head of Faculty) and Heads of Departments (who oversee their respective departments) have the responsibility for the operations of the various functions in their areas of jurisdiction. A brief description of their roles is outlined in Appendix D.
- 5.5.1.6 The CUEA job description is the overall framework document that details all staff duties, responsibilities and authorities. Based on this framework document, all functional areas derive specific job descriptions for staff holding management and supervisory responsibilities. For each functional area, this shall be documented and maintained as prescribed in the Human Resource and Administration procedures and

briefly described in their respective FQMs.

5.5.2 Management representative

- 5.5.2.1 CUEA top management shall nominate a management representative (MR) who irrespective of other duties and responsibilities shall have responsibility and authority to ensure that:
- (i) The QMS processes are established, implemented and maintained;
 - (ii) Reporting on the performance and necessary improvements to top management;
 - (iii) All staff in the organization are aware of the customer requirements;
 - (iv) Promotes awareness throughout CUEA through training on QMS, sensitization workshop, dissemination of information through internet, memos and regular evaluation of departmental processes.
 - (v) Liaising with external parties on QMS matters where appropriate.
- 5.5.2.2 The MR has designed an effective infrastructure for ensuring that the functions of the QMS are effectively implemented and maintained in all functional areas.

5.5.3 Internal communication

- 5.5.3.1 CUEA top management has established appropriate communication processes within the organization, including communication on the effectiveness of the QMS.
- 5.5.3.2 The Quality Management Procedure QMP-06 CUEA/VC/DQA/06 on Internal Communication details the media and channels of communication within CUEA which include:
- (i) Staff Meetings and briefings;
 - (ii) Telephone conversations;
 - (iii) Notice boards;
 - (iv) Email and website;
 - (v) In-house newsletter and magazine; and
 - (vi) Staff Notices, Circulars, letters and memos.

5.6 Management Review

5.6.1 General

- 5.6.1.1 CUEA top management shall undertake systematic reviews of the QMS at planned intervals to ensure its continued suitability, adequacy and effectiveness. CUEA management reviews shall be held at least once annually. Each functional area shall hold management reviews at least twice annually. This also include assessing opportunities for improvement and the need for changes in QMS if any based on reports on student evaluation of teaching, Academic programme reviews, programme

evaluation, SWOT Analysis and Evaluation of the core activities at the university i.e. research, teaching and community service, external examiners, evaluation of learning resources, course evaluation and functioning of Departmental QMS. The records on these reviews at CUEA shall be maintained.

- 5.6.1.2 The management reviews shall assess opportunities for improvement and evaluate any needs for changes to the QMS, including changes to the quality policy and objectives. The details on the management review process are stated in Procedure QMP-07 CUEA VC/DQA/07 (Management review).

5.6.2 Review input

- 5.6.2.1 The management review inputs shall form the agenda items for the meeting. These review input items are outlined in procedure QMP-07 CUEA/VC /DQA/07.

5.6.3 Review output

- 5.6.3.1 The management review outputs shall include actions to improve the QMS, its processes, the services (in relation to customer needs and requirements), and any resource requirements. The MR shall maintain records of proceedings of management review meetings held in form of minutes, including any attachments in form of reports and performance data.

6.0 Resource Management in CUEA

6.1 Provision of Resources

CUEA has determined and provided the resources needed through its annual budgets to:

- (a) Implement Quality Management System and its maintenance to continually improve its effectiveness
- (b) Enhance customer satisfaction by meeting students and market requirement by evaluation of its processes and implementing recommendations of Commission for Higher Education, Inter-university Council of East Africa and ACUQA.
- (c) The resources are in the form of but not limited to:
 - (i) Human resources through human resource planning and recruitment;
 - (ii) Staff Training to ensure competence of personnel performing work;
 - (iii) Physical facilities and infrastructure provision through capital expenditure planning; and
 - (iv) Financial resources through appropriate financial planning and budgeting.

6.2. Human Resources

6.2.1 General

CUEA ensures that all personnel performing work affecting conformity to service provision are competent on the basis of appropriate education, training, skills and experience as reflected in the university Human Resource Policy and Procedures Manual. Staffing Manual and subsequent staff evaluation and appraisal. Workshops, retreats and seminars are also organized to create awareness on importance of activities that facilitate achievement of the quality objectives.

Appropriate records of education, training, skills and experiences are maintained e.g. curriculum vitae and certificates of employees.

6.2.2 Competence, awareness and training

- 6.2.2.1 CUEA has identified the necessary competency levels and needs of staff performing tasks which significantly affect quality of its services and makes arrangements to provide appropriate training or take other action to satisfy those needs where they are required.
- 6.2.2.2 The training provided to staff to meet any awareness and competency levels needs is undertaken in accordance to CUEA established training policy. The CUEA training policy details amongst others methods for evaluation of the effectiveness of the training and records subsequently to be maintained.
- 6.2.2.3 As a general rule, all newly recruited employees receive general induction training into the organization and its activities. This induction is organized by the Human resources department. In addition, specific function specific on-the-job induction is developed and conducted at respective functions.
- 6.2.2.4 Annually each of CUEA functional area and/or departments/sections undertakes an assessment of staff performance, which is used to establish training needs for staff in each area. These staff training needs then form the basis for the CUEA annual training plan implemented by the Human Resources department.
- 6.2.2.5 In addition specific on-the-job training is conducted in some CUEA functional areas for continued staff competence or professional requirements for certification / recertification requirements.

6.3 Infrastructure

CUEA has through its strategic planning, provided and maintained the infrastructure need to achieve conformity of service provision to requirements by putting in place:

- (a) Adequate facilities such as Lecture Halls, teaching learning materials, ICT beside work designation of the employees.
- (b) Process equipments such as computers, science laboratory equipments for practicals.
- (c) Support services such As transport by increasing the number of buses and improved communication systems i.e. web, internet, memos, workshops and seminars.

6.4 Work Environment

CUEA has determined and managed work environment necessary to achieve to service provision by enhancing conducive atmosphere in relation to noise, temperature, humidity, lighting and weather, it has sufficient office space, well ventilated, with adequate lighting system

7.0 Realization of the Educational, Research and Community Service at CUEA

7.1 Planning of Quality Research, Teaching and Community Service

CUEA has planned and developed processes that guide attainment of its core objectives. These plans are contained in the overall University Strategic Plan.

In attaining its aims, the University has:

- (a) Established quality objectives
- (b) Employed qualified staff as per terms and conditions of service
- (c) Allocated budgetary resources to quality research, teaching and Community Service.
- (d) Ensured conducting of research, teaching and community service that is in line with respective policies.
- (e) Enhanced examination and certification that is in line with set procedures as outlined in examination manual and Commission for Higher Education.
- (f) Maintained accurate records of all processes of examination through transcripts and mark sheets.

7.2 Customer Related Processes

7.2.1 Determination of requirements related to the product.

CUEA determines:

- a) Course requirements specified by the customer through market surveys and programme reviews

- b) The statutory and regulatory requirements applicable to research, teaching and community service

7.2.2 Review of requirements related to the product.

CUEA reviews requirements related to research, Teaching and Community service. Programme reviews are conducted after every two years. Other reviews are captured through staff evaluations by students and feedback relayed to departments. These reviews ensure that:

- (a) Research, teaching and community service requirements are defined
- (b) Requirements differing from those previously expressed are resolved and
- (c) CUEA has the ability to meet the defined requirements.

Records of the results of the reviews and actions arising from the review are maintained by the Directorate of Quality Assurance.

Where requirements for research, teaching and community service are changed, the university ensures that the relevant documents are amended and that the relevant personnel are made aware of the changed requirements.

7.2.3 Customer communication.

CUEA effectively communicates to its customers in relation to product information, enquiries, reviews, amendments and customer feedback. These are achieved through general assemblies, notices, mail and website.

7.3 Design and Development

7.3.1 Design and development planning

To conduct effective research, teaching and community service, CUEA promotes development of research proposals in line with research policy, curriculum development according to Commission for higher Education Guidelines.

7.3.2 Design and Development Inputs

CUEA designs and develops inputs for effective research, teaching and community service as follows:

- competent teachers
- prerequisites for courses
- data on research of student learning capacities
- certification, licences, or occupational requirements
- results on effectiveness on instructional materials

7.3.3 Design and Development Output

Output from effective research, teaching and community service at CUEA include:

- skills and knowledge acquired
- appropriate instruction strategies and reliable delivery media
- quality scientific research

- beneficial community service

7.3.4 Design and Development Review

CUEA shall conduct reviews of its input and output of research, teaching and community service. Systematic reviews of the design/development processes at CUEA are conducted at appropriate stages in order to evaluate the ability of the design/development results to fully satisfy requirements and to highlight any problems and agree on follow-up actions. A procedure **CUEA/DVC ACD/ACP/01** has been established to guide on the design and development of academic programs.

All staff involved in these design review includes representatives of those functions or departments concerned with the stage under review. Results of reviews and actions records are documented appropriately.

7.3.5 Design and Development Verification

Verification shall be performed to make certain that the design/development outputs meet the input requirements. Results and subsequent actions arising from the verification exercise are recorded.

7.3.6 Design and Development Validation

CUEA performs design and development validation in accordance with planned arranges. This validation is usually completed before intended use of these designs. Validation is carried out by institutions such as Commission for Higher Education, Association for Catholic Universities Quality Agency, and Inter University Council of Eastern Africa.

7.3.7 Control of Design and Development Changes

Curriculum at CUEA is reviewed as defined in the procedure for reviewing existing academic programme CUEA/DVC ACD/ACP/02. Control of research design and development changes shall be undertaken as per the research policy.

7.4 Purchasing

7.4.1 Purchasing Process

The university conducts its procurement process guided by procurement procedures.

7.5 Quality Research, Teaching and Community Service Provision

7.5.1 Control of Research, Teaching and Community Service

These controlled procedures are done in line with the policies on research, curriculum development and community service.

7.5.2 Validation of Processes for Production and Service Provision

Refer 7.3.6

7.5.3 Identification and Traceability

CUEA uses unique identification numbers and codes for its research and teaching services. Research proposals have unique identification numbers whereas courses and programmes have codes. The university students are issued with registration numbers and student identity cards.

7.5.4 Customer Property

The University has ensured mechanisms are in place to protect customer property. These include documents given by students such as certifications, diplomas of previous scholar levels, personal identification records, intellectual property, medical reports, studies or certificates of students, examinations, tests or paper work performed by the student, final works, prototypes developed and others. Verification, protection and safe guarding of customer properties is performed by the relevant functions in the Universities.

7.5.5 Preservation of Products

Preservation of various products in university is undertaken by the relevant functions / units taking into consideration the nature of the product.

7.6 Control of Monitoring and Measuring Equipment

CUEA has a routine for service, maintenance and calibration of various equipment used in the clinic and scientific laboratories. The schedule are generated and maintained by respective departments. Records of calibration and verification results are maintained by the respective departments.

8.0 Measurement, Analysis and Improvement in CUEA

8.1 General

The Catholic University of Eastern Africa (CUEA) has planned and implemented the monitoring, measurement, analysis and improvement of processes needed to ensure conformity to service requirement, quality management system and to continually improve its effectiveness. This is done through continuous monitoring and evaluation.

8.2 Monitoring and Measurement

8.2.1 Customer Satisfaction

In order to obtain feedback from its customers CUEA has developed a feedback mechanism through: customer satisfaction surveys, tracer studies, comments and complaints and staff evaluations by the customers.

8.2.2 Internal Audit

The Catholic University of Eastern Africa conducts internal audits every six months to ensure that the QMS conforms to the objectives planned by the management. It has set these periodic audits to ensure the effective implementation and maintenance of the QMS (ref. QMP – 03 CUEA/VC/DQA/03).

8.2.3. Monitoring and Measuring of Processes

- 8.2.3.1 The University applies appropriate methods for monitoring and measurement of the QMS process. All functions of the University shall determine and implement effective methods of monitoring and measuring the effectiveness of the processes under their operations. The functions shall implement correction and corrective actions whenever the processes do not achieve the desired results.
- 8.2.3.2 The Directorate of Quality Assurance, Registry, Head of Department shall regularly collect and analyze data on student progress, pass rates, dropout rates, graduation rates in addition to Course Evaluation of Teaching, evaluation programme, SWOT Analysis, External Examiners, Evaluation of learning resources and period of core activities at the university through student orientation questionnaire and internal audit.

8.2.4 Monitoring and Measurements of Services

The Catholic University of Eastern Africa monitors and measures the quality of its research, teaching and learning, and community service to ascertain that service requirements have been met. The University shall monitor and measure the characteristics of the various products and services to verify that they meet the product requirements. Records to demonstrate conformity or otherwise of the product shall be maintained. Product release and service delivery shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority.

8.3 Control of Non Conforming Product

CUEA ensures that services that do not conform to product requirement is identified and controlled to prevent its unintended use or delivery. A documented procedure QMP- 04 CUEA VC/DQA/04 has been established to control all nonconforming products and services

8.4 Analysis of Data

The University has established procedures to collect and analyze appropriate data to evaluate the suitability, effectiveness and continually improvement the QMS. Data analyses is done by the Quality Assurance Department, the Department of Research or may be outsourced.

8.5 Improvement

8.5.1 Continual Improvement

The Catholic University of Eastern Africa continually improves the effectiveness of its QMS through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management reviews.

8.5.2 Corrective Action

CUEA has established a procedure (QMP – 05 CUEA/VC/DQA/05) to eliminate causes of non conformities in order to prevent their recurrence.

CUEA shall take action to eliminate the causes of non-conformities to ensure that they do not re-occur. Actions taken to correct such non-conformities shall be appropriate to the non-conformities encountered. To this effect the following are defined as requirements for corrective actions at the CUEA:

(a) Reviewing Non-Conformities (Including Complaints from Customers)

Non-conformities shall be reported to the Management Representative or the Directorate of Quality Assurance at CUEA the reports written by the Quality Internal Audit Team after the Internal Audits to be carried out twice every year. The Management Representative shall review the report before presenting it to the University Management Board. Presentation to the University Management Board will be done during their regular meetings after the Management Representative has requested that the matter be included in its agenda. Review of non-conformities shall be carried out two weeks after the report by the Chief Internal Auditor has tendered the necessary detailed report to the Management Representative. The University Management Board will then decide:

- (i) If the matters requires to be dealt with by the Head of the affection section, in which case it will communicate with the concerned Head through the Management Representative;
or
- (ii) If the matter should be addressed by a committee in which case a Committee will be formed by the University Management Board and be mandated through the Management Representative or the Director for Quality Assurance to take the necessary corrective action.

(b) Determining the Causes of Non-Conformities

Non-Conformities that will have been detected will be corrected though it will also be necessary to find out what caused these non-conformities. This shall be done by the Management Representative at the Catholic University of Eastern Africa by carrying out regular assessments and evaluations into affected areas to find out what caused the problem. The Management Representative through the Directorate of Quality Assurance will from time to time give out questionnaires or carry out interviews that will gather information will enable it determine the causes of the non-conformities. In addition, records of complaints by the customers and information collected from the suggestion box will also be analyzed to determine causes of non-

conformities.

(c) Evaluation of the Need for Action to Ensure that Non-Conformities do not Recur

The Management Representative will be charged with the responsibility of ensuring that a follow up is done to evaluate if there is need for action to be taken to make sure these non-conformities do not recur. He/she will endeavour to ensure that this is done within a period of two months after recommended corrections have been done.

(d) Determining and Implementing Corrective Actions to be taken

The University Management Board will be charged with the responsibility of determining the necessary individuals to carry out the correction and mandate them to carry out this correction by communicating officially through the Management Representative what the corrective action would be and when and how they shall be carried out.

(e) Records of the Results of Action taken

Any Head of Section mandated to take corrective action on a specific non-conformity in their Department will be required to submit a report on the action taken and its effectiveness within two weeks of having implemented the necessary corrective action to the Management Representative and the Directorate of Quality Assurance.

(f) Reviewing the Effectiveness of Corrective Actions

This will be done by:

- (i) Having the Director of Quality Assurance make a follow up of the situation by either having an evaluation or assessment into the situation;

or

- (ii) Carrying out another Internal Audit of the Departments to ensure that non-conformities that had been earlier detected have been corrected and that the corrective measures that have been put into place are indeed working.

8.5.3 Preventive Action

CUEA has established a procedure (QMP- 05 CUEA/VC/DQA/05) to determine actions to eliminate causes of potential non-conformities to prevent their occurrence.

CUEA will determine action that will eliminate the causes of any potential non-conformity in order to prevent them from happening. Preventive action taken shall be appropriate to the effects of the potential problems.

This will be done as follows:

- (a) Each quarterly the ISO Core Committee will meet to brain storm and determine areas of potential non-conformities based on evaluations and assessments by the Directorate of

Quality Assurance. They will also deliberate on what might be the causes for such likely non-conformities.

- (b) The Committee will then evaluate the need for action to prevent these non-conformities from happening. These will be communicated to the concerned Heads of section for them to take action.
- (c) The affected Head of Section will determine what action will be suitable to take to avoid the potential non-conformity and will be charged with ensuring that the necessary action is taken.
- (d) A report of the potential non-conformity and the action taken to prevent it from occurring will be submitted to the Management Representative who will present it to the ISO Core Committee and the University Management Board and these will be recorded in the Minutes.
- (e) Every six months the Directorate of Quality Assurance will review through carrying out evaluations and assessments on the effectiveness of the preventive action taken. This will be reported to management at the University Management Board.

9.0 Annexes

- 9.1 Annex A: List of procedures
- 9.2 Annex B: CUEA Organization Chart
- 9.3 Annex x C: Summary of Roles and Responsibilities
- 9.4 Annex x D-Summary of Applicable Legal & Statutory Regulations for CUEA

9.1 ANNEX A – LIST OF PROCEDURES

THE CATHOLIC UNIVERSITY OF EASTERN AFRICA

QMS MASTER LIST OF DOCUMENTS

A1. List of Quality Management Procedures (QMPs)

#	Doc Number	Document Title
A.1.1 QMP-1	CUEA/VC/DQA/01	Procedure for Control of Documents
A1.2 QMP-2	CUEA/VC/DQA/02	Procedure for Control of Records
A1.3 QMP-3	CUEA/VC/DQA/03	Procedure for Internal Quality Audits
A1.4 QMP-4	CUEA/VC/DQA/04	Procedure for Control of Non Conforming Product
A1.5 QMP-5	CUEA/VC/DQA/05	Procedure for Corrective and Preventive Action
A1.6 QMP-6	CUEA/VC/DQA/06	Procedure for Internal Communication
A1.7 QMP-7	CUEA/VC/DQA/07	Procedure for Management Review

A2. List of Standard Operating Procedures (SOPs)

#	Doc Number	Document Title
A2.1 SOP	CUEA/VC VCO/01	Procedure for Correspondence
A2.2 SOP	CUEA VC VCO/02	Procedure for Performance Evaluation
A2.3 SOP	CUEA/VC VCO/03	Procedure for Effective Meetings
A2.4 SOP	CUEA/DVC ACD/ACD/01	Procedure for Recruitment for Senior Academic Staff and Senior Library Staff
A2.5 SOP	CUEA/DVC ACD/ACD/02	Procedure for Promotion of Academic Staff and Senior Library Staff
A2.6 SOP	CUEA/DVC ACD/ACD/03	Procedure for Management of Examinations
A2.7 SOP	CUEA/DVC ADM/ADM/01	Procedure for Approvals
A2.8 SOP	CUEA/DVC ACD/REG/01	Admission
A2.9 SOP	CUEA/DVC ACD/REG/02	Orientation and Registration
A2.10 SOP	CUEA/DVC ACD/REG/03	Graduation
A2.11 SOP	CUEA/DVC ACD/ACL/01	Affiliation of Colleges

#	Doc Number	Document Title
A2.12 SOP	CUEA/DVC ACD /ACL/02	Collaboration
A2.13 SOP	CUEA/DVC ACD /ACL/03	Establishment of Constituent Colleges
A2.14 SOP	CUEA/DVC ACD /FCT/RPT/01	Undergraduate Research Project Supervision
A2.15 SOP	CUEA/DVC ACD/EVP/01	Administration of Evening Programme
A2.16 SOP	CUEA/DVC ACD/EXM/01	Examination Setting and Administration
A2.17 SOP	CUEA/DVC ACD/ACP/01	Developing New Academic Programme
A2.18 SOP	CUEA/DVC ACD/ACP/02	Reviewing an Existing Academic Programme
A2.19 SOP	CUEA/DVC ACD/DOR/01	Internally Funded Research Project
A2.20 SOP	CUEA/DVC ACD/DOR/02	Organizing Workshops for Particular Groups
A2.21 SOP	CUEA/DVC ACD/DOR/03	Sponsored Programme
A2.22 SOP	CUEA/DVC ACD/DOR/04	Faculty Research Grant
A2.23 SOP	CUEA/DVC ACD/FSC/01	Field Research Project
A2.24 SOP	CUEA/DVC ACD/LAW/01	Judicial Attachment for Law Students
A2.25 SOP	CUEA/DVC ACD/TCH/01	Teaching
A2.26 SOP	CUEA/DVC ACD/ETP/01	Teaching Practicum
A2.27 SOP	CUEA/DVC ACD/PUD/01	Journals
A2.28 SOP	CUEA/DVC ACD/PUB/02	Publishing Course Texts and Modules
A2.29 SOP	CUEA/DVC ACD/DQA/01	Course Evaluation
A2.30 SOP	CUEA/DVC ACD/FAS/01	Social Work/ Field Work/ Practice for FASSc students
A2.31 SOP	CUEA/DVC ACD/LIB/01	Cataloguing & Classification of Information
A2.32 SOP	CUEA/DVC ACD/LIB/02	Conducting Information literacy
A2.33 SOP	CUEA/DVC ACD/LIB/03	Departmental Budgeting
A2.34 SOP	CUEA/DVC ACD/LIB/04	Handling Literature Request
A2.35 SOP	CUEA/DVC ACD/LIB/05	Lending and Returning
A2.36 SOP	CUEA/DVC ACD/LIB/06	ICT Support Requests
A2.37 SOP	CUEA/DVC ACD/LIB/07	Ordering of Information Resources
A2.38 SOP	CUEA/DVC ACD/LIB/08	Receiving of Information Resources
A2.39 SOP	CUEA/DVC ACD/LIB/09	Registration of Information Resources

#	Doc Number	Document Title
A2.40 SOP	CUEA/DVC ACD/LIB/10	Stock taking Information
A2.41 SOP	CUEA/DVC ACD/LIB/11	Weeding of Information Resources
A2.42 SOP	CUEA/DVC ADM/ACU/01	HIV/AIDS Activities
A2.43 SOP	CUEA/DVC ADM/ACU/02	VCT Services
A2.44 SOP	CUEA/DVC ADM/ALM/01	Signing Up Finalist
A2.45 SOP	CUEA/DVC ADM/ALM/02	Alumni Membership Subscription
A2.46 SOP	CUEA/DVC ADM/ALM/03	Services and Products
A2.47 SOP	CUEA/DVC ADM/CTR/01	Preparation and Serving of Food
A2.48 SOP	CUEA/DVC ADM/CTR/02	Procedure for Catering
A2.49 SOP	CUEA/DVC ADM/DOS/01	Non Academic Disciplinary Offences
A2.50 SOP	CUEA/DVC ADM/DOS/02	Private Hostel Affiliation
A2.51 SOP	CUEA/DVC ADM/DOS/03	Workshop
A2.52 SOP	CUEA/DVC ADM/DOS/04	Scholarships, Loans, Bursaries and Trust Fund Administration
A2.53 SOP	CUEA/DVC ADM/DOS/05	Registration of New Clubs/Associations/Movements
A2.54 SOP	CUEA/DVC ADM/DOS/06	Peer Counsellors Training
A2.55 SOP	CUEA/DVC ADM/DOS/07	Needs Assessment Intervention for CUEA students
A2.56 SOP	CUEA/DVC ADM/DOS/08	Counselling a Client
A2.57 SOP	CUEA/DVC ADM/DOS/09	Psychological Debriefing for Traumatized Clients
A2.58 SOP	CUEA/DVC ADM/DOS/10	Introducing a New Sport
A2.59 SOP	CUEA/DVC ADM/DOS/11	Organizing Sports Activity
A2.60 SOP	CUEA/DVC ADM/DOS/12	CUEASO Elections
A2.61 SOP	CUEA/DVC ADM/DOS/13	Selecting Professionals during Students Activity
A2.62 SOP	CUEA/DVC ADM/PUD/01	Editing
A2.63 SOP	CUEA/DVC ADM/PUD/02	Design
A2.64 SOP	CUEA/DVC ADM/PUD/03	Printing
A2.65 SOP	CUEA/DVC ADM/ADM/02	Departmental Retreats
A2.66 SOP	CUEA/DVC ADM/GBA/01	Farm Management
A2.67 SOP	CUEA/DVC ADM/HSK/01	Accommodation

#	Doc Number	Document Title
A2.68 SOP	CUEA/DVC ADM/HSK/02	Issuing Detergents
A2.69 SOP	CUEA/DVC ADM/HRM/01	Establishing New Job Positions
A2.70 SOP	CUEA/DVC ADM/HRM/02	Staff Recruitment
A2.71 SOP	CUEA/DVC ADM/HRM/03	Staff Training
A2.72 SOP	CUEA/DVC ADM/HRM/04	Promotions
A2.73 SOP	CUEA/DVC ADM/HRM/05	Renewal of Employment Contracts
A2.74 SOP	CUEA/DVC ADM/HRM/06	CUEA Loan Application
A2.75 SOP	CUEA/DVC ADM/HRM/07	Grievance Handling
A2.76 SOP	CUEA/DVC ADM/HRM/08	Staff Disciplinary
A2.77 SOP	CUEA/DVC ADM/HRM/09	Leave Application
A2.78 SOP	CUEA/DVC ADM/HRM/10	Staff Insurance
A2.79 SOP	CUEA/DVC ADM/HRM/11	Internship
A2.80 SOP	CUEA/DVC ADM/HRM/12	Staff Development
A2.81 SOP	CUEA/DVC ADM/HRM/13	Induction
A2.82 SOP	CUEA/DVC ADM/ICT/01	E-mail Address Creation
A2.83 SOP	CUEA/DVC ADM/ICT/02	User Support Services
A2.84 SOP	CUEA/DVC ADM/ICT/03	Website Update
A2.85 SOP	CUEA/DVC ADM/ICT/04	Soft Ware Development
A2.86 SOP	CUEA/DVC ADM/ICT/05	Soft Ware Implementation
A2.87 SOP	CUEA/DVC ADM/INI/01	Application of Kenya Entry Permit
A2.88 SOP	CUEA/DVC ADM/INI/02	Application of Kenya Pupils Pass
A2.89 SOP	CUEA/DVC ADM/INI/03	Damage to Property Claim
A2.90 SOP	CUEA/DVC ADM/INI/04	Group Personal Accident
A2.91 SOP	CUEA/DVC ADM/INI/05	Receiving Visitors
A2.92 SOP	CUEA/DVC ADM/INI/06	Managing Telephone Calls
A2.93 SOP	CUEA/DVC ADM/INI/07	Reporting Faculty Extension Lines
A2.94 SOP	CUEA/DVC ADM/INI/08	Franking Mails
A2.95 SOP	CUEA/DVC ADM/INI/09	Receiving a Registered Mail

#	Doc Number	Document Title
A2.96 SOP	CUEA/DVC ADM/INF/01	Treatment Services
A2.97 SOP	CUEA/DVC ADM/INF/02	LAB Services
A2.98 SOP	CUEA/DVC ADM/INF/03	Pharmacy Services
A2.99 SOP	CUEA/DVC ADM/INF/04	Insurance Claims
A2.100 SOP	CUEA/DVC ADM/PRC/04	University Magazines
A2.101 SOP	CUEA/DVC ADM/PRC/02	Website Management
A2.102 SOP	CUEA/DVC ACD/PRC/01	Career Fairs
A2.103 SOP	CUEA/DVC ACD/PRC/02	Exhibitions
A2.104 SOP	CUEA/DVC ADM/PRC/01	Publicity
A2.105 SOP	CUEA/DVC ADM/PRC/03	Photography and Video Coverage
A2.106 SOP	CUEA/DVC ADM/PRC/05	Advertisement
A2.107 SOP	CUEA/DVC/FIN/PRC/01	Procedure for Procurement
A2.108 SOP	CUEA/DVC-FIN/FIN/01	Procedure for Bank Reconciliation
A2.109 SOP	CUEA/DVC-FIN/FIN/02	Procedure for Banking
A2.110 SOP	CUEA/DVC-FIN/FIN/03	For Budgeting
A2.111 SOP	CUEA/DVC-FIN/FIN/04	Procedure for Requisition at the Campus Store
A2.112 SOP	CUEA/DVC-FIN/FIN/05	Procedure for Credit Control
A2.113 SOP	CUEA/DVC-FIN/FIN/06	Procedure for Creditors
A2.114 SOP	CUEA/DVC-FIN/FIN/07	Procedure for Investment
A2.115 SOP	CUEA/DVC-FIN/FIN/08	Procedure for Processing of Supplier Invoices
A2.116 SOP	CUEA/DVC-FIN/FIN/09	Procedure for Receipting
A2.117 SOP	CUEA/DVC-FIN/FIN/010	Procedure for Payroll
A2.118 SOP	CUEA/DVC FIN/FIN/011	Procedure for Campuses
A2.119 SOP	CUEA/VC/AUD/01	Procedure for Preparation of Annual Internal Audit Plan
A2.120 SOP	CUEA/VC/AUD/02	Procedure for Conducting Audit Field Work
A2.121SOP	CUEA/VC/AUD/03	Procedure for Reporting Audit Findings
A2.122 SOP	CUEA/VC/AUD/04	Procedure for Conducting Follow-Up Reviews
A2.123 SOP	CUEA/DVC FINFND/01	Procedure for Fundraising

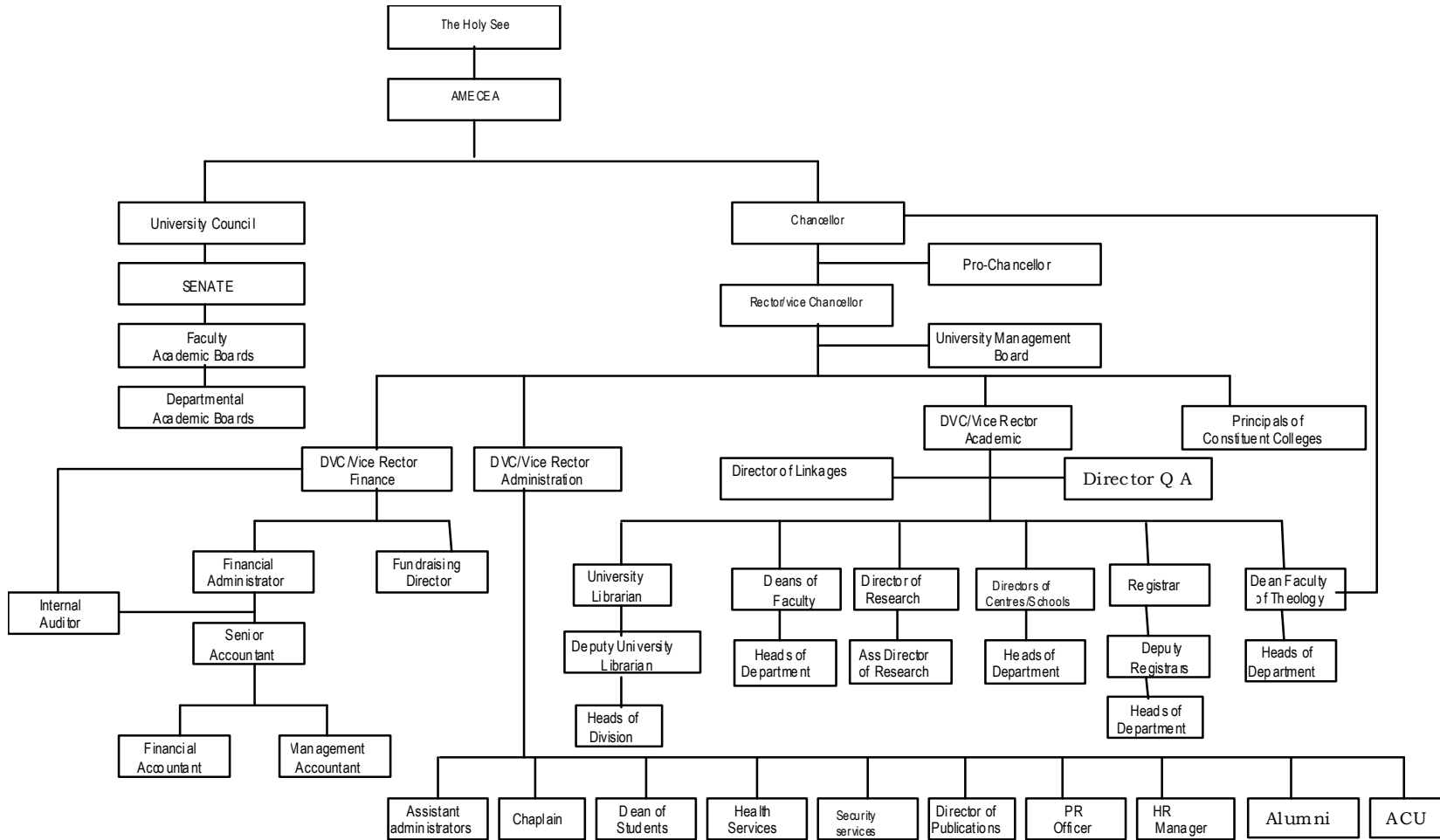
#	Doc Number	Document Title
A2.124 SOP	CUEA/DVC ACD/THEO/01	Procedure for Doctoral Candidacy In Theology
A2.125 SOP	CUEA/DVC ACD/THEO/02	Procedure for Publication in African Christian Studies
A2.126 SOP	CUEA/DVC ACD/THEO/03	Procedure for Outreach Programme/Community Service.
A2.127 SOP	CUEA/DVC ACD/THEO/04	Procedure for Interdisciplinary Session
A2.128 SOP	CUEA/DVC ACD/THEO/05	Procedure for Academic Colloquium
A2.129 SOP	CUEA/DVC ACD/THEO/06	Procedure for Scholarship and Social Communion
A2.130 SOP	CUEA/DVC ADM/ MTN/01	Procedure for Motor Vehicle Inspection.
A2.131 SOP	CUEA/DVC ADM/MTN/03	Procedure for Booking and Bus Hire.
A2.132 SOP	CUEA/DVC ADM/MTN/04	Procedure for Maintenance Procedures.
A2.133 SOP	CUEA/DVC ACD/FSC/02	Procedure for Industrial Attachment
A2.134 SOP	CUEA/DVC ACD/FSC/03	Procedure for Workshops and Interdisciplinary Sessions
A2.135 SOP	CUEA/DVC ADM/CSO/01	Procedure for Handling of Customer Feedback
A2.136 SOP	CUEA/VC/CSC/01	Procedure for Community Service
A2.137 SOP	CUEA/DVC ADM/MTN 02	Motor Vehicle and Machinery Repairs and Service Procedure

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9.2 ANNEX B – Organizational Chart



9.3 ANNEX C - BRIEF DESCRIPTION OF QMS ROLES AND RESPONSIBILITIES

To perform its core functions efficiently and effectively, the University has an organizational structure which clarifies roles and decision-making responsibilities.

D.1 The Vice- Chancellor

The Vice-Chancellor has the overall responsibility for monitoring and further developing the University's quality assurance and improvement processes and overseeing their implementation.

D.2 Deputy Vice-Chancellor (Academic), Deputy Vice-Chancellor (Administration) and Deputy Vice-Chancellor (Finance)

The Deputy Vice-Chancellors (Academic), (Administration) and (Finance) share responsibility for the maintenance of academic standards and quality assurance and improvement.

D.3 Mangement Representative/Director Quality Assurance

The Management Representative/Director Quality Assurance shall

- (i) Ensure establishment, implementation and maintenance of necessary QMS processes.
- (ii) Report to the top management on the performance of the QMS and any need for improvement.
- (iii) Ensure promotion of awareness of customer requirements throughout the organization.

D.4 Financial Administrator

The Financial Administrator shall ensure that funds are availed to support QMS activities.

D.4. Executive Directors

The executive directors of CUEA Campuses are responsible for all aspects of the technical and support functions.

D.5 Deans of Faculty

Deans are responsible for quality assurance and improvement in their respective faculties.

D.6 Directors

The Director are responsible for quality assurance and improvement in their respective Directorates/Centres/Institutes/Departments .

D.7 Heads of Departments

Heads of Departments are responsible for quality assurance and improvement in their departments.

9.4 ANNEX D-SUMMARY OF APPLICABLE LEGAL & STATUTORY REGULATIONS

#	Legislations and or Regulations	Functional Areas																				
		CUEA WIDE	Academic Programmes Development	Finance	Procurement	Transport & Maintenance	Immigration	Human Resource	Publications	ICT	Library	Infirmity	Housekeeping	Catering	Research	Public Relations	Registry	Internal Audit	Planning and Development	Natural Science	Fundraising	Law
1	Sapientia Christiana																					
2	Ex-Code Ecclesiae																					
3	CHE																					
4	Anti- corruption and economic Crimes Act Cap 3																					
5	Banking Act, Cap 488																					
6	Copyright Act, Cap 506																					
7	Customs and Excise Act, Cap 472																					
8	Employment Act, Cap 226																					
9	Environmental Coordination Act, Cap 8																					
10	Food, Drugs and Chemical Substances Act, Cap 254																					
11	Import, Export Act, Cap 502																					
12	Income Tax Act, Cap 470																					
13	Industrial Property Act, 2001																					
14	Industrial Training Act, Cap 237																					
15	Insurance Act, Cap 487																					
16	Local Government Act, Cap 265																					
17	National Hospital Insurance Fund Act, Cap 258																					
18	National Social Security Fund Act, Cap 258																					
19	Pharmacy and Poisons Act, Cap 244																					
20	Public Health Act, Cap 244																					
21	Stamp Duty Act, Cap 446																					
22	Value Added Tax Act, Cap 476																					
23	Water Act, Cap 8																					
24	Immigration Act, Cap 172																					
25	Registration of Persons Act, Cap 107																					
26	Occupational Safety and Health Act, 2007																					
27	Physical Planning Act, Cap 286																					
28	Traffic Act, Cap 403																					
29	Establishment of universities Act, Cap 210B																					
30	Public collections Act, Cap 106																					
31	National HIV/AIDS ACT 2000.																					
32	Advocate Act Cap 16																					
33	Communication Act																					