



SURVEILLANCE AUDIT REPORT

CATHOLIC UNIVERSITY OF EASTERN AFRICA

16TH - 17TH MARCH 2017

KEBS/QMS/SC/146/01/2017

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ORGANIZATION DETAILS

NAME OF THE ORGANIZATION : CUEA, P.O. Box 62157-00200, Nairobi.

PERSON CONTACTED : Prof. Mary N. Getui - QMR

AUDIT DATES : 16th - 17th March 2017, 4 auditor days

AUDIT BASIS : ISO 9001:2008, CUEA QMS documentation

AUDIT SCOPE : "Research, teaching (curriculum implementation)
and community service "

AUDIT NO : KEBS/QMS/SC/146/01/2017

PREVIOUS AUDIT NUMBER : KEBS/QMS/SC/146/01/2016

TYPE OF AUDIT : Surveillance

AUDIT TEAM : Evelyne Mirembo - Lead Auditor
Rhoda Gichuru - Auditor

AUDIT OBJECTIVES : To determine continued conformity of the QMS to ISO 9001:2008 requirements, to evaluate continual improvement of the QMS, evaluate ability of the system to meet the applicable statutory, regulatory & contractual requirements for the purpose continued certification.

2.0 AUDIT SUMMARY

The audit was conducted for 4 auditor days. The objective of the audit was to determine continued conformity of the QMS to ISO 9001:2008 requirements, to evaluate continual improvement of the QMS and the ability of the system to meet the applicable statutory, regulatory & contractual requirements for the purpose of continued certification. The auditors audited the areas in the audit plan and thank the auditees for the accorded cooperation without which the entire audit would not have succeeded.

During the audit positive findings were noted, benchmarking for continual improvement, monitoring of curriculum implementation at various stages of the processes and control of non conforming services. .

Six (6) minor non conformities were raised.

The auditors also noted areas of improvement such as complaints not being captured in the system, quality objectives not being reviewed and lack of proper internal communication between departments to facilitate smooth transition and handing over during staff transfers and deployments .

Based on the sample taken and the evidences presented, the auditors are of the opinion that CUEA conforms to the requirements of ISO 9001:2008, the system has continually improved and has the ability to meet the applicable statutory, regulatory & contractual requirements.

The auditors therefore, recommend continued certification for CUEA subject to provision of an acceptable CAP for the 6 minor non conformities as agreed in the closing meeting.

EVELYNE MIREMBO



29TH MARCH 2017

LEAD AUDITOR

3.0 DETAILED FINDINGS

UNIVERSITY LIBRARY

Positives

- ISO 9001:2008 clause 5.4.1, measurable quality objectives were available as to enlist at least 100 external subscribers by 31st June 2017, to make 80% of library patrons aware of the library guidelines and regulations in the 2016-2017 academic year by 31st June 2017, to organize 50 information literacy services/workshops for CUEA lecturers and students by 31st June 2017.
- Information literacy workshops for the students had been done -48 sessions had been done with 260 students from various departments trained between December and March 2017.
- External subscribers were being enlisted, the number of external subscribers enlisted were 48 at the time of the audit – most of the subscribers were the university's alumni, records of subscribers maintained in –
- Application form CUEA/DVC/ACD/LIB/09/fm 01 is used to register and enlist external subscribers, for example applications from IDS number 1022655 made on 8th March 2017, ID number 1022818 made on 20th February 2017 and ID number 1009155 made on 16th February 2017.
- ISO 9001:2008 clause 4.1, the process interaction between the process for example, credit control and Library for payments and statements before listing subscribers has been defined.
- ISO 9001:2008 clause 4.1 e, controls for checking the beneficiaries of the library services for example, for Alumni who pay one thousand less than the 5000 paid by other members is done in the system to verify alumni numbers and records before processing the subscriptions.
- The V-smart system is used to verify records of the alumni before subscription.
- A library user charges list with prices for various categories is in place to guide on how to charge the students for example, undergraduate 4,000 per annum, post graduates 5000 per annum, and alumni 1,000 per annum with a privileged of only using the library and not borrowing the books from the library.
- ISO 9001:2008 clause 6.3, the department is in the process of procuring the Anti-plagiarism software – Turnitin, requisition made on 20th August 2013, approval by the VC given On 20th August 2013, went through the relevant processes in 3rd February 2014, a new approval upon availability of funds was given on 30th September 2016, an LPO for the software was raised by procurement on 21st October 2016....
- ISO 9001:2008 clause 8.2.3, monitoring of quality objectives is being done, achieved targets of the quality objectives had been documented.
- The viper anti plagiarism software is used to check papers submitted by the writers –the software can scan 48-50 pages at a time.

Areas of improvement

- Some of the application forms were not well filled, the dates on some of them do not match, for example, months of application indicated as January and actions taken in February, dates of application indicated as 8th February and actions taken on 7th February 2017.
- The purchase of the Turn it in software is still pending 5 months after the LPO was raised on 21st October 2016.

EXAMINATIONS

Positives

- The submission of exam drafts has been scheduled to begin from 6th – 24th February 2017.
- Submission of units on offer to the exams office was done on 17th February 2017.
- A few faculties and departments submitted the drafts by the deadline as per the analysis of the submission rate done by the examinations office on 2nd February 2017.
- The update on the submission of the exam drafts was done on 13th March 2017, followed by a call for a FAB meeting scheduled for 16th March 2017 as per the email communication by the dean on 13th March.
- Proof reading of the exams is scheduled to start on 27th March 2017 to end on 7th April 2017.
- ISO 9001:2008 clause 5.3, the quality policy for the organization was available in the department and the officers in the department were aware of it and their contribution towards its achievement which included preparation of examinations for proof reading and final papers for printing.
- Faculty meetings are held at planned intervals where the examinations officer attends and sensitizes the HODs on timely support of the exams activities.
- ISO 9001:2008 clause 8.5.1, continual improvement of the processes in the department has been planned for, an update on examination drafts has been developed to monitor submissions of exams and the analysis per faculty, examinations office management system to monitor, control and analyse the performance of exams activities per faculty and compliance rates.
- Examinations moderation is done by faculties and minutes maintained in the faculties.
- ISO 9001:2008 clause 4.2.4, the internal audit report available in the department was for November 2015 for the audit carried out on 9th November 2015.
- ISO 9001:2008 clause 8.5.2, corrective actions for the NC raised in the February 2015 audit was done on 31st January 2017 where the resolution to retain the exams procedures as are was made – minute number 2/31/01/2017 part 3-procedures.
- Continual improvement – areas of improvement raised in the audit carried out by KEBS on 10th and 11th June 2014 had been addressed for example, the office no longer has to receive hand written exam drafts, they are submitted online for preparation of the final papers by the exams office records are well identified and maintained – CUEA/ ACD/EXM/JANUARY 2017 (02).

Areas of improvement

- Some faculties like faculty of science department of natural science – biology, chemistry, physics had not submitted any unit from the expected 41, 12 and 45 units.
- The report for the last internal audit carried out in the department in 2016 was not available in the department at the time of the audit.
- Minutes of the examination boards held in departments were not available in the exams office as required in the procedures for exam setting and administration.
- There is no mechanisms for capturing customer feedback in the examinations office.
- The CAR raised on 9th November 2015 as indicated in the audit report was not available in the examinations office.

FACULTY OF EDUCATION

Positives

- ISO 9001:2008 clause 5.4.1, quality objectives were available as to ensure the faculty issues at least 8 publications in referred journals or equivalent every academic year.
- Publishing of publications has been done, the samples taken included chapter 3 by Callista E. Achahi of Reorienting the curriculum for sustainability published in 2016, Chapter 4 by Elizabeth Ngozi, Chapter 9 by Florence Ateka and Chapter 10 by Appia Simon.
- ISO 9001:2008 clause 8.2.3, monitoring of the quality objectives was being done – the monitoring and evaluation logical frame work for the faculty's quality objectives has been developed to aid in monitoring of the quality objectives.
- Allocation of units is done before the next semester begins, the allocation for school focused program was done in the meeting of 15th December 2016.
- Some of the courses offered in the faculty in the academic year 2016/2017 were educational technology and media production ED 201, Subject methods Kiswahili ED 314, Subject methods physics ED 315
- Course outlines for the sampled courses were available for undergraduate, ED 201 signed and submitted on 17th January 2017.
- Records of engagement of a part time lecturer for the subject methods Kiswahili were available, letter written on December 2016 and accepted by the lecturer on 8th December 2016.
- Timetables for the sampled courses were available, class ED 201 scheduled to be taught on Wednesdays between 8 and 11 a.m., ED 315 scheduled to be taught on Tuesdays between 8 and 11 a.m.
- Class attendance registers are signed upon teaching, attendance registers for ED 201 for the first 6 weeks of the semester, ED 314 for 7 weeks of the semester were available, the form in use does not have a provision for checking by the HOD.
- Introduction letters to the students on teaching practice are given by the coordinator for teaching practice, letters for student number 1018318 done on 10th January 2017, student number 1026700

done on 26th December 2016, student number 1026698 done on 26th December 2016 and student number 1022455 done on 22nd December 2016.

- Allocation of supervision responsibilities meeting was held on 9th January 2017, minutes of the meeting were available.

Areas of improvement

- Analysis of data on the performance of the set targets is not done, for example, quality objective number 2 percentage achievements had not been done.
- The quality objective on the increase of customer satisfaction by 50% does not have a base, no analysis has been previously done to gauge the satisfaction level of the customers.
- The course allocation for the regular programs 2016/2017 was not done.
- The checking by the HOD is not done in the spaces provided in the attendance registers for example, the one for ED 201.

SCHOOL OF GRADUATE STUDIES

Positives

- ISO 9001:2008 clause 5.4.1, quality objectives for the directorate were available as to strengthen resource mobilization through applications of at least 3 researches and consultation of grants by December 2017,
- Resource mobilization was being done in the directorate; grants requested for included the Erasmus Plus project, the funds for the grant from EU where the University was granted 38,653 Euros, the grant is to cover travel, staff equipment costs to carry out innovation hubs in Kenya.
- Project activities for the Erasmus plus project and specifications of the reports had been outlined – WP 1-African Higher Education Leadership in advancement inclusive innovation for development, records in CUEA/DRIGT/27/01/2017-01.
- Agreement and acceptance letters signed on 27th February 2017 by the VC academics were available.
- The proposal for the SPHEIR Innovative Multi disciplinary training of University students and young people reproductive in health project done on 16th February 2017 bidding for 5 million pound sterling was available.
- The proposal for University students learning and teaching support involving the University of Nairobi, University of Rwanda, St. Augustine University in Tanzania and CUEA, Intra university mobility scheme to be submitted by 2nd May 2017, 40,000 us dollars to be granted.
- Training of students on research in view of increasing participation of post graduate students was being done, trainings carried out were in November 57 students, February 2017 24 students and 110 for town campus.
- Call for papers for the Eastern African Journal of Humanities and Sciences was done on September 2016.

- The guidelines on the papers to be submitted are outlined in the announcement – submission requirement.
- A call for papers for conferences is also done in the directorate, call for papers for the International Philosophy Conference to be held on 20th – 22nd April 2017 done on 22nd September 2016.
- Minutes of the meeting held on 28th November 2016 where the scientific committee to review the articles for the April conference were available – minute 2 part iv on scientific committee.
- The publishing policy for the university approved on 15th May 2008 was available in the directorate.
- Review of relevant policy documents was being done, the post graduate students policy handbook has been approved by the senate, Research Ethical operating policy has been approved by the senate and CUEA innovations policy handbook due for the next senate for approval.

Areas of improvement

- Feedback on the call for papers to the directorate had not been received; no papers had been received in the directorate by the time of the audit.
- The last journal publicized in the directorate was the Eastern Africa Journal of Humanities and Sciences done in June 2010.
- Call for papers memos for the last publication done in 2010 could not be retrieved at the time of the audit.
- Minutes of the meeting held to appoint the reviewers for the 2010 journal could not be retrieved at the time of the audit.
- Transfers are effected in the directorate and no handing over is done for continuity of work.
- Staff use personal laptops instead of official machines which may lead to institutional information upon exit of a staff.

COMMUNITY SERVICE

Positives

- Quality objectives for the department were available as to ensure all the faculties hold at least one community service activity in the academic year.
- The officer in the department has been in the office since 27th February 2017.

MANAGEMENT REPRESENTATIVE

Positives

- ISO 9001:2008 clause 5.6.1, management review meetings are planned and executed; the plan for the academic year 2016/2017 had been drawn – December 2016 and February 2017.
- The management review meeting scheduled for December 2016 was held on 17th January 2017.
- ISO 9001:2008 clause 5.6.2, the agenda for the meeting as outlined in the minutes were customers' feedback, results of audits, status of preventive actions.
- Changes that could affect the management system were being discussed, they included the restructuring of the university processes were taking place, it was agreed that communication on the restructuring would be done.

- ISO 9001:2008 clause 5.3, internal communication to the CUEA community on the restructuring in the institution was done on 28th March 2016 by the DVC academics.
- ISO 9001:2008 clause 8.2.2, internal audits are planned for, the plan for the academic year 2016/2017 was to carry out the audits in October 2016 and April 2017, examinations office scheduled to be audited on 15th November 2016.
- The report for the audit carried out in examinations office in November 2016 was available.

Areas of improvement

- Discussion and decisions on the agenda items were not being discussed in the management review meetings, for example, the minute on customer feedback just highlights the complaints raised in a certain period and not the actions to be taken in eliminating the complaints.
- There was no evidence of follow up by the MR's office on the actions agreed upon in the management review meetings for action and completion of the activities, for example, minute 08/7.01.2017 recommendations for improvement part I where internal relations were given the responsibility to manage customer complaints and sensitize the staff on the process of handling the complaints, complaints are still not captured in the respective service departments like examinations, faculty of Education and Library.
- Auditors do not fill the CAR forms appropriately, for example, CAR 1 Of 3 from the internal audits carried out in June 2016 at examinations did not have the NC identified.

DIRECTORATE OF ACADEMIC LINKAGES

Positives

- The department has set are achievable and measurable objectives eg objective no 1 states; Promote and cooperate at least 3 institution of Higher learning in the world per year. One MOU has been signed between High Achievers Institute of Professionals(HAIP) and was received on 31/01/17. CUEA/DAL/ constituents and Affiliate colleges while 3 inspections have been done for renewals eg for Don Bosco Philosophican Moshi - Tanzania was done on 3/2/17 and report is awaiting completion.ref Linkages/002/2017. ISO 9001:2008 clause 5.4.1
- Documents from colleges seeking affiliation are being received and evaluated. There was evidence of email from St. Pauls Nyabururu forwarding the documents and a meeting to evaluate the same was done on 29/10/14. The documents had details including, the course to be offered in collaboration, Fees structure, qualification of lectures and students. Procedure ACD/ACL/03 clause 6.2
- Inspection of the applicants was also being done eg report for St Pauls Nyabururu affiliation to CUEA Linkages/013/2016. Procedure ACD/ACL/03 clause 6.4.1
- 4.Records are uniquely identified e.g. for affilialate colleges the file CUEA/ affiliate colleges and the name of the college.ISO 9001:2008 Clause 4.2.4

- Internal communication is done through memos, emails, phone calls. eg an email on notification of inspection to be carried out at King Major Seminary Philosophican in Nyeri was done on 21/2/17 and a hard copy was also circulated the same day. ISO 9001: 2008 clause 5.5.3
- During the last Internal Audits done on 13/3/17, on the areas of improvement, there was need to improve on the procedure of the affiliation of colleges. Action taken, The was evidence of communication to the HOD from the Assistant HOD to try and borrow ideas from Queen Margaret University on corroboration policy. ISO 9001:2008 clause 8.5.2
- There were evidences of improvements eg Bench Marking with other universities in the area of linkages. A meeting has been scheduled for Mon 21/3/17 with the universite La re'union from France to introduce to each other the programme of universities. ISO 9001:2008 clause 8.5.1
- Evidence of MOU signed between Mass communication and CUEA was available. It was signed by Vice Chancellor CUEA and Director KIMC and witnessed by Director Academic Linkages and Chairman KIMC. Procedure CUEA/DVC/ACD/AC/02
- The department is adhering to the Commission of University Education guidelines. eg Evidence of guidelines for application for collaboration was available. CUE/QAS/2.

Areas of improvement.

- No complaint register though complaints are being received via email.
- No data collected or analyzed.
- Complaint done through email has not been addressed. eg Tangaza complaining about HELB and CDF money awaiting at CUEA. no correction, corrective action or preventative action was done.

ART AND SOCIAL SCIENCES

Positives

- The set objectives were measureable and achievable. Objective 1 stated, To ensure at least 8 research publications are done per year. ISO 9001:2008 clause 5.4.1
- 2.Regulatory and statutory regulations were being adhered to. ie CUE guidelines for development and designing of programmes offered at the institution eg proposed PHD in philosophy for June 2009 was available. Departmental meetings are being held to discuss programmes. Minutes for the meeting held on 2/11/15 were available. Another meeting to review programmes was held on 17/11/6. The programme for PHD social work was submitted to CUE on Oct 2016. ISO 9001:2008 clause 1.1
- Allocation of units by the HOD and evidence was available- CUEA/DVC/FASSC/Dean/01. procedure CUAE/DVC/ACD/FAS/01 clause 6.2

- Lectures are ensuring that class attendance is recorded on official class register provided by the university registry. Students attendance register for class SDS 303 was available. Procedure CUEA/DVC/ACD/TCH/01 clause 6.1.1
- Lectures are using effective ways of teaching eg i) Field trips- eg PHD social work students visited CARE Kenya and AMREF in Mombasa between 1-5/3/17. Evidence for request of money was available. ii) An online platform learning programmes- ODEL is being used for environmental studies. It has timelines whereby it automatically closes when the stipulated time lapses. Assignment must be submitted within the required time. DVC/ACD/TCH/01 clause 6.1.9
- Schedules for assessment for the field placement / social work was available. Procedure CUEA/DVC/ACD/FAS/01 clause 6.4
- 7. Students were being assessed while they are in the field placement. The students are assessed by the lectures and also by the organization where placement took place. CUEA/DVC/ACD/DEAN-SS/HOD-SS/FW/01 is used by the lecturers while CUEA/DVC/Dean-ss/HOD-ss/FW/02 is used by the organization. ISO 9001:2008 clause 8.2.1
- 8. A tool for monitoring the learning process was available CUEA/DVC/ACD/TCH/01/fm which is filled by students. The tool has 'lectures punctuality' and 'timely admission of CATS' as requirements among others. ISO 9001:2008 clause 8.2.3

Areas of improvement

- Objectives available were for the 2015-2016 academic year.
- The forms used for oral assessment for comprehensive exams for masters students were not identified
- Set more ambitious targets eg 8 publications per year when there was indication that they can do up to 30. They had previously achieved 9.
- No data collection/analyses was being done.
- Complaint registered in the form CUEA/VC/08/fm01 by student 1028818 on 10/3/17 on wifi performance had not been addressed.

Advancement.

Positives

- The institution is undergoing restructuring and some department are highly affected. Advancement, which was previously Planning and Development, is one of the areas affected.

FINANCE

Positives

- Regulatory and statutory requirements are being adhered to. ie Funds are being remitted to PAYE, NHIF, NSSF and HELB. eg PAYE for February was prepared on 7/3/17 and signed by the payroll officer. Total amount was Ksh 11181456.80. ISO 9001:2008 clause 1.1
- Internal communication is done through emails and memos. There was evidence of an email to the DVC and VC about the cash balance. done on 17/3/17 at 9.05 am. This is done on a daily basis. External customers are also being communicated through email. An email was done to CBA bank about a meeting to be held on Monday 20/3/17. The email was done on 15/3/17. ISO 9001: 2008 clause 5.5.3
- Controls for non conforming products is being done. eg 'Delay in deduction of insurances and SACCO and provident funds from the pay roll' is one of the non conforming products. This is caused by cash flow challenges and is controlled by taking overdrafts from the banks. An over draft of 36 million was taken from Coop bank on 10/3/17 at . BV/coop/inter/a/c/202/51. ISO 9001;2008 clause 8.3.
- Control on non conforming products is done by reminders sent to students, parents and sponsors who have not completed payment. One reminder done on 14/3/17 was available on the notice board. It stated ' student with fees arrears for this semester are hereby notified so that they pay75% by 20/3/17. The notice was signed by the DVC. ISO 9001;2008 clause 8.3.

areas of improvement

- The department has no record on Customer satisfaction survey of feedback
- Objectives set were not measurable
- Quality policy has been displayed but the in charge was not aware of what it states.
- Documents and records are not uniquely identified eg the file for bank statement for coop Bank, BBk, SCB is not identified.
- Complaints forms were being filled and were available but a complaint done on 22/2/17 about refund after graduation has not been addressed. CUEA/ VC/MR/08/fm/01

TRANSPORT

Positives

- Regulatory and statutory requirements were being adhered to. Eg i)maintenance of fire extinguishers which is a requirement by OSHA. The extinguishers are being maintained by Marison Engineering services and the next due date May 2017.ii) University Maintenance guidelines for March 2017 which gives the expectation of a healthy building.iii) CUEA Maintenance and refurbishing Policy. ISO 9001:2008 clause 1.1

- There was evidence that maintenance of generators and vehicles are being done. Vehicle Reg, no. KBC102Y was serviced on 23/1/17 at a mileage of 129631 and the next service is scheduled at 134631 after 5000km. procedure CIEA/DVC/AD/MTN/94 clause 6.2
- Request for transport was being done by filling request forms CUEA/DVC/ADM/MTN/form 1. Procedure CUEA/DVC/ADM/MTN/06/
- Insurance for the vehicles is being done in time and copies of the insurance stickers were available. For vehicle KAT 422C was issued on 1/10/16 and is expiring on 30/9/17. Procedure CUEA/DVC/ADM/MTN/06 clause 6.1
- Quality policy has been communicated and is well understood by the staff. ISO 9001:2008 clause5.3
- External communication is done through e-mails. There was evidence of an email done on 17/3/17 at 11.45 am to Car &General about servicing of Generators. ISO 9001: 2008 clause 5.5.3
- Data analysis is being done. Analysis for fuel& mileage and cost summary for Nov 2016 was available. Total consumption for fuel was Ksh 385556 against an expected not more than Khs 300000.Charts are drawn for better explanation. The increase was due to power outage where generators were mostly used. They have a long term solution for a Solar power project and data analysis for a feasibility study is being done. ISO 900: 2008 clause 8.4

Areas of improvement

- The department has come up with a tool for handling Accidents and incidents but the document has no identification. Request form for transport is also not identified.
- Objectives need to be reviewed - Not measureable.

ICT

Positives

- Quality policy has been communicated, displayed and is well understood.ISO 9001:2008 clause5.3
- Objectives have been set and are measurable. ie objective no. 1 stated ' implement an effective help desk by the end of the current financial year'. One help desk has already been installed and tested by the registry. The ICT team has been trained on online awareness support system which was done internally. There were no certificate issued. The roll out for the help desk is to be done on 31/7/17. This has showed a 40% implementation level. ISO 9001:2008 clause 5.4.1
- Objective no. 2; to undertake at least one community service by the end of the financial year. Ndeiya Sec. school in Limuru has been identified and their computers and printers are to be serviced. This is a follow up

for an activity done last year where students were trained, machines given and trees planted. Many students showed interest in IT career. ISO 9001:2008 clause 5.4.1

- Customer feedback forms -CUEA/VC/MR/08/fm/02 are done once a semester and data is collected and analyzed. The analysis done on 10/3/17 showed that the department ranges between good and excellent. ISO 9001:2008 clause 5.2
- Improvements of internet coverage have been initiated and a requisition to finance budgeting office repair the access point has been done. A Nanostation MS for Bhakita was purchased on 30/8/16. LPO no. 07058 for 21/12/16. Requisition for an outdoor CISCO *aironet* 1530 series was done on 29/8/16. ISO 9001:2008 clause 8.5.1
- Regulatory and Statutory requirements being adhered to are Communication Amendment Act 2014 and E-waste Act for disposal which is done through procurement. ISO 9001:2008 clause 1.1
- Communication is done through email, phone and website. There was evidence of a notice posted on the website on details on student registration through the Academic management System which was posted on the website on Jan 2017. link <http://students.cuea.edu/1>. ISO 9001: 2008 clause 5.5.3

Areas of Improvement

The flow chart is not aligned with the procedure for support services.

4.0 OTHER INFORMATION

4.1. There were no effected changes to the audit scope and plan, no suggested changes to the audit program.

4.2. There were no unresolved issues by the time of the audit.

4.3. The scope of certification is "Research, teaching (curriculum implementation) and community service "

5.0. CONCLUSION

Based on the sample taken and the evidences presented, the auditors recommend continued certification for CUEA subject to provision of an acceptable CAP for the 7 minor non conformities.

6.0. CONFIRMATION OF ATTAINMENT OF AUDIT OBJECTIVES

The objectives of the audit which were to determine continued conformity of the QMS to ISO 9001:2008 requirements, evaluate continual improvement of the QMS and to evaluate the ability of the system to meet the applicable statutory, regulatory & contractual requirements for the purpose of continued certification were met.

Appendix 1 - Timetable/Scope

Day	Time	Activity	Auditor	Key Participants
Thursday, 16/03/2017	0900 - 0930	Opening meeting	EM, RG, JM	Top Management, MR, All Section heads
	0930 - 1100	University library - 4.2.3, 6.3	EM, JM	Auditor and Respective staff
		Directorate of Academic linkages - 8.2.3, 8.2.4, 8.3	RG	Auditor and Respective staff
	1100 - 1115	HEALTH BREAK		
	1115 - 1300	Examination - 5.5.1, 5.5.3	EM, JM	Auditor and Respective staff
		Faculty of Arts and Social Sciences - 65.4.1, 5.5.2, 5.5.3	RG	Auditor and Respective staff
	1330 - 1400	LUNCH BREAK		
	1400 - 1600	Faculty of Education - 6.2, 6.3, 6.4	EM	Auditor and Respective staff
		Planning and development, - 4.2.3, 4.2.4, 5.4.1, 5.5.2	RG, JM	Auditor and Respective staff
	Friday, 17/03/2017	0900 - 1030	School of Graduate studies - 4.2.3, 4.2.4, 5.4.1	EM, JM
Finance - 8.2.3, 8.2.4, 8.3			RG	Auditor and Respective staff
1030- 1045		HEALTH BREAK		
1045- 1145		Community service - 8.4, 8.5.1, 8.5.2	EM	Auditor and Respective staff
		ICT - 8.2.3, 8.2.4, 8.3	RG, JM	Auditor and Respective staff
1145 - 1300		MR 8.2.3, 8.2.4, 8.3	EM	Auditor and Respective staff
		Immigration and transport	RG, JM	Auditor and Respective staff

Day	Time	Activity	Auditor	Key Participants
	1300-1400	LUNCH BREAK		
	1400-1600	Auditor's review meeting	EM, RG, JM	Audit team
	1600-End	Closing meeting	EM, RG, JM	Top Management, Management Representative (MR), heads of the departments/sections or their representatives team

Appendix 2 - Opening and Closing meeting attendance Register

A hard copy of the register is in the respective CUEA file at KEBS-Certification Body.

Appendix 3 - Corrective Action Requests

Hard copies of the CARs are in the respective CUEA file at KEBS-Certification Body.

EVELYNE MIREMBO



29TH MARCH 2017

LEAD AUDITOR