

ISSUED FOR USE ON:

ADMINISTRATION
PROCEDURE MANUAL

REF: RU/VC/ADM/004



QUALITY MANAGEMENT SYSTEM BASED ON ISO 9001:2015

ADMINISTRATION PROCEDURE MANUAL

RU/VC/ADM/004

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Sign: _____

Date: _____

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PROCEDURE NUMBER 1: COMMUNICATION

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to provide effective and efficient communication.

1.2 SCOPE

This procedure applies to internal and external communication.

1.3 REFERENCES

- a) Quality Manual: RU/MR/QM/2019
- b) CBAs.
- c) RU Strategic Plan.
- d) Relevant laws, regulations and circulars
- e) RU policies and procedures
- f) RU Service Charter.

1.4 TERMS AND DEFINITIONS

- a) VC – Vice-Chancellor
- b) DVC (AFP) – Deputy Vice-Chancellor (Administration, Finance and Planning)
- c) HoD – Head of Department
- d) SMS – Short Messaging Service.
- e) RC – Registry Clerk
- f) RU – Rongo University
- g) CBA – Collective Bargaining Agreement
- h) HRO – Human Resource Officer
- i) ICT – Information Communication Technology

1.5 RESPONSIBILITY

- a) The VC is responsible for the supervision of this procedure.
- b) The DVC(AFP) is responsible for the implementation and adherence to this procedure.

2.0 PROCESS INPUT

- a) Stationery
- b) Languages
- c) Meetings
- d) Communication infrastructure

3.0 METHOD

3.1 Modes of Communication

3.1.1 The official modes of internal and external communication at the University shall include the following:–

- a) Internal memos/notices
- b) Letters
- c) Email
- d) Telephone
- e) SMS
- f) Website
- g) Video/Tele –Conferencing.
- h) Meetings
- i) Mass Media
- j) New media

Each of the modes shall be effected at the University as follows:–

3.2 Internal Memos/Notices

- 3.2.1 This shall start with the originator drafting the memo/notice on standardized stationery and where applicable seeking requisite approval.
- 3.2.2 The originator shall ensure production of adequate copies ready for dispatch.
- 3.2.3 As proof of dispatching the memos, the originator shall ensure the recipients confirm receipt by signing the delivery book. In case of the notices the Registry Clerk (RC) shall ensure posting on the prescribed notice boards.
- 3.2.4 On receipt, the recipient shall keep an office ledger of all incoming and outgoing memos/notices and mark the same for action by an appropriate officer if not self.
- 3.2.5 Originators shall ensure copies of the memo/notices are retained in respective files.

3.3 Letters

- 3.3.1 Upon writing a letter in the case of internal communication, the originator shall deliver it to the recipient (s) using a delivery book and ensure a copy is maintained.
- 3.3.2 In case of external letters, the originator shall ensure that the Vice-Chancellor is informed of the contents prior to dispatch through the Registry.

- 3.3.3 The RC shall record the letter in the outgoing mail register and dispatch it to the recipient (s).
- 3.3.4 For hand delivery letters, the RC shall ensure that the recipient(s) acknowledges receipt of the letter by signing the delivery book.
- 3.3.5 The RC shall record incoming letters in the incoming mails register and ensure dispatch to the relevant officer(s) using the delivery book.

3.4 e-mail

- 3.4.1 All official communication on behalf of the University shall be done on official e-mail addresses.
- 3.4.2 For outgoing e-mails, the officer communicating shall send a copy of the e-mail to the relevant officers. (For outgoing e-mails, the officer communicating shall send a copy of the e-mail to the Vice-Chancellor for information)
- 3.4.3 For incoming e-mails sent to the University official e-mail address, the Vice-Chancellor’s Secretary shall forward it to the relevant officer with a copy to the Vice-Chancellor for information and action.

3.5 Telephone

- 3.5.1 Communication through intercom shall be used for confirmation, urgent communication and follow up.
- 3.5.2 Based on the nature of communication, the member of staff communicating shall follow it up with a written mode of communication. (Upon official telephone communication, the member of staff communicating shall follow it up with an official written mode of communication, where applicable)

3.6 Website

The website shall be updated as per the website management Procedure number 3 in the ICT Procedure Manual.

Communication through the website shall be done following the prescribed procedures for the management of web-based services as contained in procedure number 4 of the ICT Procedure Manual.

3.7 Meetings

Meetings in the University shall be conducted following the prescribed procedures for conducting meetings as contained in procedure number 3 of this manual.

3.8 Mass Media

All official communication through the mass media shall be authorized by the VC.

3.9 New Media

All official communication through new media shall be authorize by the VC.

3.10 Liaison and Public Relation Matters

3.10.1 The Office of the Vice-Chancellor shall oversee all liaison and public relation matters for the University.

3.10.2 The Procedure shall start with the Vice-Chancellor receiving request for liaison or public relation activity from a stakeholder(s).

3.10.3 The Vice-Chancellor shall consider the request and forward it to appropriate Boards including Management Board, Senate and/or Council for consideration and approval.

3.10.4 If approved or not approved, the Vice-Chancellor shall duly communicate the verdict to the stakeholder(s).

4.0 PROCESS OUTPUT

- a) Copies of memos/notices/letters/e-mails
- b) Minutes
- c) Press releases
- d) Delivery book
- e) Office ledger
- f) Mail Registers
- g) Updated Webpage

5.0 DOCUMENT CHANGE HISTORY

Supersedes Revision	Revision – (Clause & Details)	Current Rev.	Reviewer’s name	Date

PROCEDURE NUMBER 2: CUSTOMER CARE

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure effective and efficient customer service.

1.2 SCOPE

This procedure applies to all customers of Rongo University.

1.3 REFERENCES

- a) Quality Manual – RU/QMR/QM/002
- b) RU Service Charter.
- c) Customer satisfaction survey.

1.4 TERMS, ABBREVIATION AND DEFINITIONS

- a) HRO – Human Resource Officer.
- b) DVC (AFP) – Deputy Vice-Chancellor (Administration, Finance and Planning).
- c) HOD – Head of Department
- d) CCCC - Chair of the Compliments and Complaints Committee.
- e) Customer – Consumers of the University services.

1.5 RESPONSIBILITY

- a) The VC is responsible for the supervision of this procedure.
- b) The Officer in charge of Human Resource is responsible for the implementation and adherence to this procedure.

2.0 PROCESS INPUT

- a) Visitors’ book.
- b) Visitors’ cards.
- c) Customer feedback forms.
- d) Complaints/compliments register.
- e) Suggestion Box.

3.0 METHOD

3.1 Help Desk Management

- 3.1.1 Upon arrival of a visitor, the officer in charge of the helpdesk shall welcome the visitor(s) to the University.
- 3.1.2 The officer in charge of the helpdesk shall register the visitor in the Visitors’ Book and issue him/her with Visitors’ Card.

3.1.3 The officer in charge of the helpdesk shall then direct the visitor(s) to the relevant office for assistance.

3.1.4 Upon completion of service, the officer in charge of the help desk shall retrieve the visitor's card and check out the visitor in the visitors' book.

3.2 Customer Care at the Service Points

3.2.1 Upon arrival of a visitor, the officer shall serve the customer accordingly and sign the Visitors' Card.

3.2.2 The visitor shall then be issued with a Customer Feedback Form to fill and drop at the Helpdesk.

3.3 Analysis of Customer Feedback

3.3.1 Analysis of customer feedback shall be undertaken as per the Procedure Number 3.5 on handling compliments and complaints in this manual.

3.4 Implementation of Recommendations from Customer, Work Environment, and Employee Satisfaction Surveys.

3.4.1 Upon receipt of the survey reports, the Vice-Chancellor shall mark them to the DVC (AFP) for information and necessary action.

3.4.2 The DVC (AFP) shall ensure preparation of an implementation matrix of recommendations and circulate copies of the reports to the relevant HoDs with the matrix.

3.4.3 Upon receipt of the survey reports and matrix, the HoDs shall ensure implementation of the recommendations and submit progress report, where applicable to the DVC (AFP), on implementation of recommendations.

3.5 Handling Customer Compliments and Complaints.

3.5.1 This procedure shall start with the HoD/CCCC maintaining departmental compliment/complaint register.

3.5.2 Upon the HoD receiving a compliment/complaint or opening of the Complaints/Compliments boxes, he/she shall act on it and maintain a record.

3.5.3 Compliments/complaints that cannot be handled by the HoD shall be forwarded to the CCCC for action and a record maintained in the department.

3.5.4 Compliments/complaints received directly by the CCCC shall be forwarded to the respective HoD for action and a copy maintained.

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- 3.5.5 Upon receipt, the HoD shall ensure that compliment/complaint is recorded in the departmental compliments and complaints register.
- 3.5.6 In case of a compliment, the HoD shall, as per the communication procedure number 1 in this Procedure Manual, inform the complimented officer.
- 3.5.7 In case of a complaint, the HoD shall ensure that it is handled and feedback given to the customers with a copy to the CCCC.
- 3.5.8 The CCCC shall communicate to the HoDs to submit quarterly status reports on compliments and complaints.
- 3.5.9 The CCCC shall convene a committee meeting to consolidate and prepare quarterly reports on compliments and complaints which shall be submitted to the Commission on Administrative Justice through the Vice-Chancellor.

4.0 PROCESS OUTPUTS

- a) Visitors’ record.
- b) Customer feedback.
- c) Customer Satisfaction Survey reports.
- d) Compliments and complaints reports.
- e) Progress report on the implementation of recommendations from surveys.

5.0 DOCUMENT CHANGE HISTORY

Supersedes Revision	Revision – (Clause & Details)	Current Rev.	Reviewer’s name	Date

PROCEDURE NUMBER 3: MEETINGS

1.0 GENERAL

1.1 PURPOSE

The purpose is to provide guidelines for effective and efficient conduct of meetings.

1.2 SCOPE

All University meetings.

1.3 REFERENCES

- a) Quality Manual – RU/MR/QM/2019.
- b) Relevant Government circulars.
- c) RU Strategic Plan.
- d) University Charter.
- e) University Statutes.
- f) Standards provided by relevant professional bodies.

1.4 TERMS AND DEFINITIONS

- a) DVC (ASA) – Deputy Vice-Chancellor (Academic and Student Affairs).
- b) DVC (AFP) - Deputy Vice-Chancellor (Administration, Finance and Planning).
- c) HRO – Human Resource Officer
- d) RU – Rongo University
- e) HoD – Head of Department.

1.5 RESPONSIBILITY

- a) The VC is responsible for the supervision of this procedure.
- b) The DVC (AFP) is responsible for the implementation and adherence to this procedure.

2.0 PROCESS INPUT

- a) University Almanac
- b) Work Plans
- c) Agenda
- d) Notices
- e) Meal requisition form
- f) Boardroom requisition form
- g) Attendance register
- h) Conflict of interest register

3.0 METHOD

3.1 Procedure for Conducting Meetings

- 3.1.1 Where meetings are to be held in designated University boardrooms, the convener of the meeting shall inform the Committee Clerk at least one (1) week to the scheduled meeting.
- 3.1.2 The Committee Clerk in liaison with the Head of central services shall schedule the meetings in appropriate venues as guided by the schedule and where applicable notify the secretariat of any change in venue and giving reasons for the change within two (2) days of receipt.
- 3.1.3 The convener shall as per communication procedure number 1 in the Administration Procedure Manual circulate notices of meetings to all members at least five working days before the meeting.
- 3.1.4 The convener of the meeting shall book for meals as per the procedure on booking of meals number 2 in the Hostel and Catering Procedure Manual.
- 3.1.5 In case of change of the date of the meeting, the convener shall inform the members in writing with copies to Committee Clerk.
- 3.1.6 The Convener shall ensure that quorum has been attained. Quorum shall be at the nearest whole number above half of the substantive members.
- 3.1.7 In case quorum is not attained within 15 minutes, the Convener shall call off and reschedule the meeting.
- 3.1.8 Upon attainment of quorum, the Convener shall guide the members through the agenda.
- 3.1.9 The secretary shall maintain a record of meetings and minutes.

4.0 PROCESS OUTPUT

- a) Minutes.
- b) Conflict of interest reports.
- c) Attendance records.

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5.0 DOCUMENT CHANGE HISTORY

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PROCEDURE NUMBER 4: RECORDS MANAGEMENT

1.0 GENERAL

1.1 PURPOSE

The purpose of this procedure is to ensure effectiveness and consistency in records management at RU.

1.2 SCOPE

This procedure applies to the opening of files, filing of records, retrieval of filed records and closing of files at RU.

1.3 REFERENCES

- a) Quality Manual – RU/QMR/QM/002
- b) Human resource policy and procedure manual

1.4 TERMS AND DEFINITIONS

- a) DVC (AFP) – Deputy Vice-Chancellor (Administration, Finance and Planning).
- b) RU – Rongo University

1.5 RESPONSIBILITY

- a) The VC is responsible for the supervision of this procedure.
- b) The DVC (AFP) is responsible for the implementation and adherence to this procedure.

2.0 PROCESS INPUTS

- a) Files.
- b) Records.
- c) Request form.
- d) Movement Register.
- e) File index.

3.0 METHOD

5.1 Opening and Identification of Files

- 5.1.1 This shall start with the responsible officer identifying a need to open a new file.
- 5.1.2 The responsible officer shall then open a file and identify it through indexing.
- 5.1.3 Upon opening the file, the responsible officer shall update the file index.

5.2 Filing of Records

- 5.2.1 Upon receipt of a record, the responsible officer shall stamp and file accordingly.

5.2.2 The responsible officer shall then file record, give it a folio number and update the folio sheet accordingly.

5.3 Access/Movement of Files

5.3.1 Upon receipt of a request from a member of staff to access a record in a file, the responsible officer shall determine whether the requesting member of staff is authorized to access the file.

5.3.2 In the event that the member of staff is not authorized to access the file, the responsible officer shall advise the requesting officer to seek authority from the relevant officer.

5.3.3 If the officer is authorized to access the file, the responsible officer shall retrieve the file, record it in the file movement register and ensure that the requesting officer acknowledges receipt by signing the register.

5.3.4 Upon receipt of the file from the officer accessing a record, the responsible officer shall verify the completeness of the file before receiving it and updating the file movement register.

5.3.5 In the event an officer does not return a file after expiry of the access/movement period, the responsible officer shall follow up to ensure that the file is returned.

5.3.6 After updating the file movement register, the responsible officer shall return it to the respective shelf/cabinet.

5.4 Closing of Files

5.4.1 This shall start with the custodian of file identifying the need to close a file as a result of any of the following:-

- a) A file attaining its holding capacity, or
- b) Obsolescence of a file subject.

5.4.2 Upon identifying a need to close a file, the responsible officer shall appraise the file to establish whether there are records pending action.

5.4.3 In the event that there are records pending action, the responsible officer shall transfer them to the new file.

5.4.4 The responsible officer shall then close the file by:-

- a) Diagonally crossing the file using the words “**CLOSED**”,
- b) Indicate the period the file was in use, and
- c) Indicate the date the file was closed.

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5.4.5 After closing the file, the responsible officer shall store it separately from the active files.

5.4.6 After every two years, the responsible officer in consultation with the Officer in charge of Registry shall appraise closed files to ascertain their usefulness and guided by the Record retention schedule dispose them as necessary.

4.0 PROCESS OUTPUTS

- a) Filed documents
- b) File movement records
- c) Closed files

5.0 DOCUMENT CHANGE HISTORY

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OBJECTIVES REGISTER FOR ADMINISTRATION

OBJECTIVES REGISTER FOR ADMINISTRATION										
Department :	Administration									
Rev. Status										
Issue Date:										
Created By:		Reviewed By:			Approved By:					
S.No	Key Result Area	Strategic Objective	Objective	Strategies	Key Performance Indicator	Resources Required	Timeline	Deliverable	Frequency of M & E	Responsibility
1	Institutional Capacity	To enhance corporate governance and image	To establish Corporate Communication Office by 31st December 2019	Appoint Corporate Communication Officer; Develop and implement Corporate Communication Policy, Complaints/Compliments Handling Policy; Purchase and install PABX; enhance website visibility	1 Corporate Communication Officer appointed; Corporate Communication and Complaints/Compliments Handling Policies developed and implemented; PABX installed; increased access to the University web-based services	Budget, skilled staff, ICT infrastructure	Dec. 2019	Functional Corporate Communications Office; Updated website; Policies;	Continuous	VC
			To conduct at least 2 training and sensitization sessions on good corporate culture by 31st December 2019	Review Code of Conduct and Ethics; identify resource person; Train and sensitize staff on principles of good corporate culture; monitor compliance with the principles,	number of trainings and sensitization sessions conducted	Budget, skilled staff, ICT infrastructure; resource persons	31st December 2019	Reviewed code of conduct; training schedule; Training report; Certificate of training; monitoring and evaluation reports;	Quarterly	DVC-AFP

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RISK REGISTER FOR ADMINISTRATION

RISK REGISTER FOR ADMINISTRATION												
Department:	Administration											
Rev. Status												
Issue Date:												
Created By:				Reviewed By:			Approved By:					
S.No	Process	Risk	Causes	Existing Controls	Probability	Impact	Risk Rate	Risk Level	Additional Controls	Frequency of M & E	Opportunities	Responsibility
1	Customer Care	Erosion of institutional image	Poor organization culture; Lack of customer care training; insufficient staff; inadequate infrastructure/resources;	customer service charter; Complaints/ Compliment register; training; staff performance appraisal; customer satisfaction survey;	2	3	6		Develop and implement customer care policy; Review and monitor the needs and expectations of stakeholders; evaluate the effectiveness of the training programme; Establish Customer Care/Corporate Communications Office.	Continuous	Availability of funds to provide required training and infrastructure; contract external specialist	VC
2	Communication (internal and external)	Insufficient information communication; wrong information communicated; wrong office communicating; wrong timing in	Lack of standardized communication guidelines	Communication through notices, meetings, memos, letters	2	4	8		develop standardized communication guidelines; create awareness/sensitize the staff; implement the guidelines; adhere to the guidelines	Continuous	Use of enhanced communication technologies	VC

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RISK REGISTER FOR ADMINISTRATION

RISK REGISTER FOR ADMINISTRATION													
Department:	Administration												
Rev. Status													
Issue Date:													
Created By:					Reviewed By:			Approved By:					
S.No	Process	Risk	Causes	Existing Controls	Probability	Impact	Risk Rate	Risk Level	Additional Controls	Frequency of M & E	Opportunities	Responsibility	
		communication; lack of communication											
3	Meetings	ineffective meetings; inappropriate venues;	Poor planning and preparation; Inability to control meetings; deviation from the agenda; Lack of quorum;	almanac; Annual Work Plans; Notices of meetings; Secured meetings	2	2	4		Training on meeting management; monitor and evaluate meeting management process; Institute proper planning of meetings; develop calendar for regular meetings; harmonizing University-wide meetings;	Continuous	Use of enhanced technologies for meetings e.g. teleconferencing, webinars	Various chairperson	
4	Records Management	Leakage of confidential information; Loss and damage of records; poor filing;	Poor storage of records; Weak internal control; low staff integrity;	Code of Conduct & Ethics and Council for Employees; file and folio tracking; lockable file cabinets/safes; Individual passwords & back-ups for soft copy data	2	4	8		installing records management system; staff training on records management; administering oath of secrecy to Council and staff;	Continuous	Use of enhanced technology in records management equipment.	DVC AFP	