



## COMMON RULES AND REGULATIONS FOR UNIVERSITY EXAMINATIONS

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Relevant to	Council, Senate, University Management Board, Academic Staff, Non-Academic Staff, Students.
Approved by	University of Eldoret Council
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Responsible office	Office of the Deputy Vice-Chancellor Academic & Students' Affairs)
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Keyword	Discipline, Examinations, Irregularities

**SEPTEMBER, 2023**

## ACKNOWLEDGEMENT

The University Council and University Management Board appreciate the invaluable contribution of the members of the Committee of Deans and staff in formulating these Rules and Regulations.

## APPROVAL

The University of Eldoret having been awarded its Charter on 11<sup>th</sup> February, 2013 set on a growth path guided by its revised vision of being “A premier University that nurtures global leaders and innovators”

As part of laying its foundation, the University developed its first Statutes in November 2013 followed by its first Strategic Plan (2014-2019) which has been replaced by the second Strategic Plan (2019-2024). The University embarked on the process of developing its policies, rules and regulations which guided decisions of the different organs of the University to achieve rational outcomes geared towards the growth of the University. This is the fourth revision of these Common Rules & Regulations for University Examinations which were first developed and approved in July, 2014.

My special thanks go to all those who put in their time, effort and skills to revise this Policy.

By virtue of the authority vested in me as the Chairman of the Council of the University of Eldoret and in reference to the approval granted by Council in its 107<sup>th</sup> special meeting, I hereby sign these Common Rules & Regulations for University Examinations to take effect from 15<sup>th</sup> September, 2023.



Dr. Ismail Buro Hassan

**CHAIRMAN OF COUNCIL**

## FOREWORD

These Rules and Regulations for University Examinations govern students, lecturers and administrators on how the examinations are conducted. They are meant to be observed and adhered to strictly to enhance a uniform and standardized way of examining the University of Eldoret students. It is to be appreciated that as more campuses are opened which are geographically dispersed from one another, and other modes of examining students developed, there is need to maintain consistency and quality assurance on all processes of Examinations.

These Rules and Regulations are therefore expected to promote professionalism, meritocracy and integrity, as well as to enhance efficiency and uphold moral and professional ethics. It is envisaged that the implementation of all these will:

- i. Promote equality, social justice, fairness and foster honesty and dedication to improving results;
- ii. Come out with uniform practices in the conduct of the examinations;
- iii. Enhance the process of release of results, production of transcripts; and
- iv. Ensure examinations will be similar in face and content validity.

It is in this way that **ALL** stakeholders will be confident of our products because the processes, conduct and assessment of examinations is standardized, leading to a grading that should result in uniform production of the same calibre of students.

It is therefore our desire that both students and staff read and familiarize themselves with the rules because "**ignorance of the law** "will not constitute a defense for any party.

If for any reason circumstances arise that are not covered by these regulations, the Senate will give guidance accordingly.

  
VICE-CHANCELLOR  
University of Eldoret  
Prof. Thomas Kimeli Cheruiyot (PhD)  
VICE-CHANCELLOR

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## **Mission, Vision and Core values**

### **Vision**

A premier University that nurtures global leaders and innovators

### **Mission**

To provide quality education, training, research and consultancy in science, agriculture and technology to meet the needs and aspirations of a dynamic society.

### **Core Values**

At the University of Eldoret, we are committed to:

- Integrity;
- Innovativeness;
- Customer satisfaction;
- Competitiveness;
- Equity;
- Responsiveness; and
- Inclusivity.



## 1. PREAMBLE

### 1.1 Act and Statutes

All matters concerning University Examinations shall be supervised by the Registrar (Academic) under the general direction of the Deputy Vice-Chancellor (Academic and Students' Affairs) and Senate subject to the Universities Act (2012), University Charter and Statutes.

These Rules and Regulations should be read together with all other policy documents relating to examinations.

### 1.2 Overall Authority

The Senate shall have the overall authority in all matters concerning and affecting examinations as per Statute (xiv) 6(b), which include the setting, moderation, conduct and marking of examinations as well as the declaration of examination results.

### 1.3 Definitions of Terms

For the purposes of these Rules and Regulations:

- i. **University Examinations:** Are all those examinations, assessments or evaluations that are considered in determining whether or not a candidate shall proceed to the following year of study or qualifies to graduate.
- ii. **Regular University Examinations:** Are those examinations held at the end of each Semester or end of each Academic year or as may be determined by Senate.
- iii. **Special Examinations:** Are those examinations which are approved by the Senate and administered to candidates who did not sit regular examinations for a special reason.
- iv. **Supplementary Examinations:** Are those examinations which, after approval by Senate, are administered to candidates who have failed up to 25% of the course units.
- iv. **A continuous Assessment test:** Is any form of evaluation, such as tests, practical, projects and assignments, during a semester/term and count towards final grade.

- vi. **A Semester:** Is a period of study of normally not less than 16 weeks or such a period as may be determined by Senate for any academic year.
- vii. **An Academic Year:** Shall normally consist of two semesters and may include a third semester to cater for practical attachment, teaching practice and other field courses as may be determined by senate.
- viii. **A course** is the smallest unit in which a student can receive an assessment, normally taught over a semester, and may comprise one or more units of study.
- ix. **Compensation:** Is a procedure that may be applied when a student who has failed an examination in a course with at least 37% (or 47% for medical or postgraduate courses), and with a weighted average mark of 50% and above from all course units for the academic year, is assisted to attain to the pass mark of 40% or 50% (respectively) by subtracting either 6, 4, or 2 marks from a related course that when halved and added to the marks of the failed course brings it to the pass mark. This is on condition that the grade of the course from which the marks are being borrowed should not change.
- x. **Clemency:** Is the process by which the University Senate gives a student a second chance to resume studies after expulsion.
- xi. **A Unit of Study:** Is a one-hour lecture per week per semester or two hours of tutorials/seminars per week per semester or three hours of practical per week per semester or 5 hours of field work per week per semester.
- xii. **A Semester Load:** Is normally between 21 and 24 units, unless otherwise approved by Senate.
- xiii. **Prescribed Courses:** Are courses which may be designated as core, required, pre-requisite or elective, as specified in each programme.
- xiv. **A Core Course:** Is a course, which is central to the discipline of study which must be taken by all candidates in each programme.
- xv. **A Required Course:** Is a course which is supportive of or beneficial to a discipline.
- xvi. **A Pre-Requisite Course:** Is a course which must be taken and completed successfully before a student can register for a given subsequent course.

- xvii. **An Elective Course:** Is a course which a student may choose, according to interest, subject to approval by the relevant department, and shall be taken into account for the purpose of Degree Classification.
- xviii. **An optional Course:** Is a course which a student may choose according to interest, subject to approval by relevant departments but which may not necessarily be central to a discipline of study and shall not be used for Degree Classification.
- xix. **Repeating a course internally:** Applies to those candidates who are allowed to proceed to the next year of study having failed a supplementary examination.
- xx. **Repeating a Course in its Entirety:** Means having failed supplementary examination(s) in one or two core or required courses, a candidate is allowed to proceed to the next year of study and attend classes and sit for the examinations in the failed courses.
- xxi. **Repeating a Course Externally:** Applies to those candidates who having repeated course(s) internally; fail again in the same course(s); such a candidate will be required to repeat examinations (and graded as a supplementary) at the next sitting without attending classes. A candidate who fails after repeating externally will be discontinued.
- xxii. **A Leakage:** Is any act, which results in a candidate, or a person having unauthorized access to, or knowledge of examination questions or of any materials related to the examination, before the scheduled date and time of the examination.
- xxi. **Suspended to show cause:** Is to show the reason why one should not be suspended indefinitely from the University.
- xxiii **Bonafide student:** Is a student pursuing a degree/diploma/certificate or any other programme of the University, who is registered and has signed a nominal roll and paid fees for the current semester/term.
- xxiv **Nominal roll:** A generated list of students who have reported and registered for courses they are undertaking during a particular semester/term.

- xxv **Course Registration:** Is an act of a student signing into the University portal or an e-Learning platform and selecting the courses as indicated in the curriculum.
- xxvi **Reporting:** Entering into currently existing students' registration system and attendance to class and supported by authorized class attendance list from the official reporting date.
- xxvii **20% Rule:** 20% of the cumulative time of non-attendance over the whole semester which then disqualifies the student from sitting for semester examinations.
- xxviii **Student name:** The name of the student admitted to the University of Eldoret to take a course of study. All students shall use the names they were admitted with throughout their life in the University up to graduation without additions or subtractions. After graduating the certificates should carry the same student name he/she was admitted with.
- xxix **Student Responsibility:** It is the responsibility of the student to read and understand every clause of these Common Rules and Regulations for University Examinations and abide accordingly.
- xxx **Prohibited item/Unauthorized material:** Any material or device containing information related to the examination.

#### 1.4 University Examination Process

University Examinations shall be handled in accordance with Statute XL of University of Eldoret Statutes (2013). The entire University Examination Process pre-supposes responsibility, integrity and confidentiality on the part of all University personnel involved. It starts with the drafting of question papers prepared by Internal Examiners and terminates with the publication of results approved by the Senate. Examination processing shall be as follows:

- i. Setting and internal moderation of Examinations shall be carried out at the Department.
- ii. Typing shall be done by the Internal Examiner (lecturer).
- iii. External Examiners shall moderate question papers and marking schemes.

External Examiners' recommendations, if any, shall be incorporated in the question paper by the head of Department and/or internal examiner.

- iv. The Head of Department, being the Principal Internal Examiner, shall submit the moderated papers to designated University Examination Centre or examination portal in case of online examinations for further processing and safe custody with evidence of internal and external moderations attached.
- v. The Dean of School, being Chief Internal Examiner, shall ensure that the above process is strictly adhered to.
- vi. Members of staff who are University of Eldoret students are prohibited from handling examinations relevant to their programme of study.
- vii. All copies of draft examination papers except the moderated ones must be destroyed by shredding, while copies of online examinations shall be deleted.
- viii. The Examination Office shall ensure that all the duly processed examinations for all the courses are administered within the Senate agreed timelines.
- ix. Any late submission of examinations shall be accompanied by the Late Submission Form and an explanation letter written by the non-complying party to the Registrar Academic.
- x. All examinations dispatched from one campus to another must be accompanied by a responsible officer who will hand over to another responsible officer at the receiving examination centre.
- xi. Adequate security must be provided during transportation of examinations to other examination centres.
- xii. The examinations office shall facilitate the transport of examinations to satellite campuses.
- xiii. Online examinations shall be stored and administered on a secure examination management system approved by the Senate.

- xiv. The principal invigilator shall open the examination in the examination room in the presence of the candidates and sanction its distribution to them
- xv. All examination scripts shall, at the end of the examination period be handed over to the principal invigilator for marking. Online examination scripts shall be uploaded into a secure examination system which is only accessible by authorized users.
- xvi. The internal examiner shall mark the scripts, add the CAT mark create a course mark sheet and upload the results into the existing student record system.
- xvii. The principal internal examiner shall create consolidated mark-sheets for all the candidates in the department.
- xviii. The departmental board of examiners shall discuss and recommend for external moderation all consolidated results of all courses offered in the department.
- xix. The principal internal examiner shall organize and forward the internally moderated results to the external examiner for external moderation
- xx. The principal examiner shall upload the externally moderated results into the existing student record system and also forward to School Board of Examiners
- xxi. The School Board shall discuss and recommend the results to the Senate for approval

## **2. NATURE OF UNIVERSITY OF ELDORET EXAMINATIONS**

### **2.1 Registration for Courses and Examinations**

- 2.1.1** Registration of courses for which a student shall take examinations in shall be done within the first two weeks of the semester in which the courses shall be taken.
- 2.1.2** A student shall be required to register for such number of courses that give a minimum of units required in the programme per academic year to qualify to be graded for purposes of an award of degrees unless otherwise approved by the senate.

- 2.1.3 A student MUST pass all courses registered for, irrespective of whether they are core, elective or optional to qualify for an award of a certificate or to be served with official transcript.
- 2.1.4 The examinations timetable shall be prepared at least two weeks after the start of the semester, together with the teaching timetable, to allow students to confirm the dates after reporting.
- 2.1.5 The following shall apply:
- i. Students shall be eligible to register for examinations provided they have complied with the course requirements: registering for the course/s, paying requisite amount of fees, complying with 20% rule on class attendance and doing the requisite number of CATs in the course.
  - ii. Candidates shall be required to register for University Examinations at least five (5) weeks before the start of the examinations. The Dean of School shall be responsible for preparing lists of bona fide students to sit for examinations.
  - iii. A list of candidates registered for examinations and examination cards shall be released by the Registrar (Academic) or office responsible for such a function at least two (2) weeks before the beginning of the examinations.
  - iv. Each candidate shall be issued with an examination card by the Registrar (Academic) or officer responsible for such a function one (1) week before the beginning of examinations. A suitable identification method shall be established for candidates sitting online examinations.
  - v. A student identification card and examination card will be required before one is allowed to sit for examinations. In addition, invigilators will be served by the Dean with lists of *bonafide* candidates.
  - vi. Invigilators should have in the examination room, lists of candidates registered for each paper, provided by the deans of schools.
  - vii. Candidates who sit examinations which they have not registered for shall have such examinations cancelled.
  - viii. No candidates shall be registered for examinations unless;

(a) He/she has satisfied all the requirements as per 2.1.5 (i) above,

OR

(b) He/she has been exempted from any such requirements by Senate on the recommendation of the School Board concerned.

## **2.2 University Examinations**

The University Examinations shall be conducted by means of any one or combination of the following:

(i) Written Examinations

(ii) Oral Examinations

(iii) Practical Examinations

## **2.3 Continuous Assessment Tests (CATs)**

i. There shall be a minimum of two continuous Assessment Tests per course.

ii. The scheduling and administration of Continuous Assessment Tests shall normally be spaced as follows:

1<sup>st</sup> CAT: 4<sup>th</sup> to 6<sup>th</sup> week of the Semester

2<sup>nd</sup> CAT: 8<sup>th</sup> to 10<sup>th</sup> week of the Semester

iii. There will be online CATs for courses offered through e-learning or blended teaching.

iv. The results of the Continuous Assessment Tests shall normally be given to students and submitted to the Heads of Departments as follows:

1<sup>st</sup> CAT by 8<sup>th</sup> Week of the Semester

2<sup>nd</sup> CAT by 12<sup>th</sup> Week of the Semester

v. The Principal Internal Examiner shall ensure that Continuous Assessment Tests are set and administered as scheduled in (ii) above and keep a record of CAT's, sample assignments and question papers.



- vi. Continuous Assessment Tests shall normally constitute 30% and end of semester examination 70% for undergraduate and diploma and 40% and 60% for postgraduate courses respectively; with final marks awarded to a candidate in a course unless Senate decides otherwise.
- vii. A candidate must have attempted the required number of continuous Assessment Tests on a given course to be eligible to sit for University Examination in that course.
- viii. A student who misses a CAT due to genuine reasons such as (but not limited to): ( a) Medical reasons as certified by the University Medical Officer; (b) Compassionate reasons, based on events such as bereavement within the candidate's immediate family, which occur prior to or during the CAT period verified by the Dean of Students; (c) Social reasons for students who cannot cope due to psychological conditions (d) a verifiable lack of access to the online examination system; shall be considered for a make-up CAT before the main examination using the prescribed Form for make-up CAT.
- ix. The records for Continuous Assessment Tests shall normally be made available to the External Examiners.

#### **2.4 Regular University Examinations**

- i. The lecturer(s) responsible for a course, who shall also be the Internal Examiner(s) for the course, shall set two standard examination papers for regular and supplementary/special examinations and prepare marking schemes, within the first four (4) weeks of each semester or otherwise as approved by Senate.
- ii. Departmental Boards of Examiners shall moderate examination papers internally before the papers are sent to external examiners.
- iii. Regular University Examinations shall also include Special and Supplementary examinations.
- iv. A copy of the question paper(s), detailed marking scheme(s), and course outline(s) shall be sent to external examiners to facilitate the moderation of examinations.

- v. The Heads of Departments shall ensure that comments/recommendations on examination papers from External Examiners are discussed at Departmental Boards of Examiners and incorporated into the question papers by the internal examiners.
- vi. Moderated and typed examination papers shall be submitted to the examinations office for reproduction and safe keeping at least two (2) weeks before the start of the regular examinations or as otherwise approved by Senate.
- vii. Uploading of online examinations to the examination platform shall be conducted in the examination office at the University of Eldoret or other designated office as may be approved by Senate.
- viii. The reproduction, collating, stapling, packing, issuing and dispatching of examinations shall be conducted in the Examinations Office at University of Eldoret or at any other examination centre as may be approved by Senate. Online examinations shall only be accessed through a secure university examination system approved by Senate, by authorized examiners and students.
- ix. Examination Officers at the approved examination centres shall be equipped with the necessary facilities such as computers, photocopiers, fax machines, scanners, cabinets and stationery for safe custody, reproduction, collating, packing, sealing and dispatching of hard copy examinations, and for uploading online examinations into the examination system.
- x. Examination centres and portals/platforms shall be manned by qualified and vetted personnel who shall be required to take an oath of secrecy.
- xi. Internal examiners must produce identification document when collecting examination materials from examination office.
- xii. The University shall provide special print or software where applicable for candidates with special needs (visually challenged students).
- xiii. Due consideration shall be given for time and facilities allocated for students with special needs.

- xiv. The university shall have in place reliable internal infrastructure to assure uninterrupted conduct of online examinations.

## 2.5 Supplementary Examinations

- i. Candidates who are required to sit supplementary or retake examination shall pay an examination fee of Kshs. 2000 per paper, or such other amount as may be determined by the Council from time to time.
- ii. Supplementary Examinations shall normally be held once in an academic year, at least one (1) month before commencement of the subsequent academic year unless otherwise approved by Senate.
- iii. A student should clear any pending supplementary examination/s within two academic years.
- iv. All students who sit for supplementary Examinations and pass shall be awarded 35% for diploma, 40% for undergraduate and 50% for medical /postgraduate programmes.
- v. A candidate who fails a supplementary examination in a non-core course shall be allowed to proceed to the next year and repeat the course internally.
- vi. A candidate who fails supplementary examinations in one or two core courses shall be allowed to proceed to the next year of study and repeat the course(s) in entirety; attend classes and sit for the examinations in the failed courses.
- vii. A candidate who fails a course (s) after having repeated internally will be required to repeat externally as a supplementary paper at the next sitting without attending classes.
- viii. A candidate who fails again after repeating the course externally shall be discontinued.
- ix. A candidate who fails in a pre-requisite course shall not be allowed to proceed to the following year of study if the subsequent course is core or required.
- x. A candidate who fails Supplementary Examinations in the final year of study shall be allowed to sit again for supplementary examination(s) in

the course(s) failed, during the following scheduled University examinations. A candidate who subsequently fails after sitting for a supplementary examination in a course a second time shall be discontinued.

## 2.6 Special Examinations

- i. Special examinations shall normally be done once in an academic year unless otherwise approved by Senate.
- ii. No Special Examinations shall be administered to candidates except under the following circumstances:
  - a) For medical reasons as certified by the University Medical Officer and approved by the Senate.
  - b) For compassionate reasons, based on events such as bereavement within the candidate's immediate family, which occur prior to or during the examination period verified by the Dean of Students and approved by the Senate.
  - c) Social reasons for students who cannot cope due to psychological reasons.
  - d) Failure of the examination system during an online examination session.
- iii. The decision on whether or not special examinations shall be administered shall be made by Senate after recommendations from School Boards of examiners.
- iv. Special and supplementary examinations shall be held simultaneously and shall be of the same standard as regular examinations.
- v. Continuous Assessment Tests marks shall count towards the grading of Special Examinations.
- vi. The maximum number of courses for special exams shall not exceed the number of courses in a semester. If they do, the candidate shall defer the academic year and complete the special examinations before proceeding to the next level.

### 3. CONDUCT OF EXAMINATIONS

#### 3.1 General Rules

- i. University Examinations shall take precedence over external or any other examinations.
- ii. A candidate who has missed 20% or more of the required course attendance in a given course shall not be allowed to sit University Examinations.
- iii. University Examinations shall normally be conducted from Monday to Friday, and on any other day approved by Senate.
- iv. All courses shall be examined within the semester in which they are taken, unless approved by Senate.
- v. Examination Regulations specific to Schools shall be presented to Senate for approval through the Committee of Deans.
- vi. All Schools shall be required to define core, required, pre-requisite and elective courses as approved by Senate.
- vii. To proceed to the following year of study, a candidate must have a pass in all prescribed course units.
- viii. A candidate, who fails one or more courses amounting up to and including 25% of prescribed course units for the year, shall be required to sit Supplementary Examinations.
- ix. A candidate who fails in more than 25% and in up to and including 50% of the total number of prescribed course units shall repeat the year.
- x. A candidate who fails in more than 50% of the total number of prescribed units in an academic year shall be discontinued.
- xi. A candidate who fails to turn up for an examination shall be deemed to have failed that examination and shall be required to show cause why he/she should not be discontinued.

### **3.2 Examination Time-Table and Officers**

- i. There shall be a Deputy Registrar (Examinations) appointed by Council and reporting to the Registrar (Academics) whose functions shall be to receive, process, distribute examinations and generally advise Management and Senate on the examinations process.
- ii. There shall be a University Teaching and Examinations Time-tables Coordinator who shall be appointed by the Vice-Chancellor. There shall be Departmental Examination and Timetable coordinators appointed by the Heads of Departments, who shall be at level of lecturer and above.
- iii. There shall be School Examination and Timetable coordinators recommended by the Dean and appointed by Vice-Chancellor to deal with all matters related to the University Examinations Time-tables within the School, who shall be at the level of lecturer and above.
- iv. There shall be a University Timetabling Committee, drawing its membership from School and University Timetabling Coordinators. The committee shall be chaired by the Deputy Vice-Chancellor (Academic & Students' Affairs) or appointee.
- v. Final examination time-tables shall be circulated and posted on the notice boards and students portal in all campuses at least four (4) weeks before examinations begin.
- vi. Any changes in dates after circulation shall be brought to the notice boards at each campus latest two (2) weeks to the beginning of the examination and must be authorized by the Chairman of the Examinations and Timetabling Committee.

### **3.3 Marking of Examination Scripts**

- 3.3.1 All examination scripts, whether used or not, are property of the University of Eldoret and shall remain in the University, Main Campus, satellite campuses, offices and designated external examination centres unless otherwise approved by Senate.
- 3.3.2 Examination answer scripts both for in-person or online examinations shall be marked within the University premises at the designated marking

centres, offices or within the approved university examinations platform. An examiner may be allowed where necessary to carry and mark the scripts outside the designated marking centres after getting approval from the HoD and Dean. This will be done by filling the Examination booklets collection form (UoE/FM/028). Where possible, the online examination scripts may be downloaded for marking.

3.3.3 Marked examination scripts shall be externally moderated at designated centres as identified by the University from time to time.

3.3.4 It will be a breach of these Rules and Regulations for any examiner to carry and/or mark examination scripts outside the University designated premises without approval as stated in section 3.3.2.

#### **4. EXAMINERS**

For each school, there shall be School Board of Examiners and Departmental Board of Examiners, consisting of internal and external examiners.

##### **4.1 Definition of Roles**

- i. The Internal Examiner shall be the Course lecturer(s), provided that the University Senate may designate any other qualified academic staff to be so in case where the course lecturer cannot perform the responsibility.
- ii. Principal Internal Examiner shall be the Head of Department, who shall chair the Departmental Board of Examiners.
- iii. The Chief Internal Examiner shall be the Dean of the School who shall chair the School Board of Examiners and will also be responsible for preparing lists of *bona fide* students to sit for examinations.
- iv. An External Examiner shall be an academic staff at the level of Senior Lecturer and above in the discipline to be examined.

##### **4.2 (a) Duties of Internal Examiners**

- i. The Chief Internal Examiner shall chair the School Board of Examiners and ensure standardization, consistency and compliance to all examination processes and regulations in the school.

- ii. The Principal Internal Examiner shall chair the Departmental Board of Examiners and ensure standardization, consistency and compliance to all examination processes and regulations in the Department.
- iii. Internal examiners shall mark every script, based on a detailed and well-structured marking scheme, to ensure consistency in marking.
- iv. Internal Examiners shall, after marking all the scripts, enter Continuous Assessment Test and regular examination marks on the mark sheets. This will be approved by the Principal Internal Examiner by the sixth week from the last day of semester examinations.
- v. The Internal Examiner for any particular examination paper shall be the main invigilator during examinations.
- vi. If the Internal Examiner is unable to be present at the start of an examination, he or she shall inform the Head of Department, who shall then nominate a replacement from the department concerned.
- vii. Internal Examiners shall certify, the total number of scripts received based on the attendance list of the candidates who have taken the examinations and submit one copy to the Registrar (Academic) and a copy shall be retained in the Department.
- viii. All the examination mark sheets shall be accurately completed, checked and signed by the Internal Examiner, the Head of Department, the Dean of the School and external Examiner(s).
- ix. Internal or external Examiners shall not divulge marks to candidates. All documents tabled during the Departmental and School Board of Examiners meetings shall be reclaimed from members of the Board at the end of the meetings.

**(b) Invigilation of Examinations**

- i. The Chief Internal Examiner shall circulate the instructions to candidates, before the start of regular University examinations, setting out details of procedures to be followed in the conduct of examinations as detailed in section 3.1 of this document.



- ii. Invigilators who are normally full-time and part-time members of the academic staff, shall be appointed and briefed by the Head of Department.
- iii. The names of the invigilators and examination timetables shall be sent to the Dean and a copy to the Registrar (Academic) one month before the start of examinations.
- iv. Subject to a minimum of two invigilators per room for candidates not exceeding 50, the number of invigilators to candidates after this number shall be in the ratio of 1:50. In appointing invigilators, care should be taken to ensure gender representation is upheld at all times while the examination is in progress, and at any time there is at least one invigilator in the examination room. A commensurate number of invigilators shall apply in case of online examinations.
- v. All Invigilators shall, under the direction of the Chief Invigilator, be responsible for the distribution, monitoring, collection and security of examination papers, and for such other duties assigned to them by the Head of Department.
- vi. The course lecturer shall collect all examination papers and related materials from the Examinations Centre(s), at least half an hour before the start of an examination. The course lecturer should produce an identification document before picking the papers.
- vii. Invigilators shall give examination materials only to students with documents authorizing them to sit for the examination.
- viii. Invigilators shall use video conferencing and monitoring functions integrated with the examination management system to enhance surveillance during the administration of online examinations.
- ix. Students found to engage in exam irregularity should record statement immediately after the examination in the designated area.
- x. The invigilators shall ensure that examinations start on time and end on time.
- xi. Invigilators who fail to invigilate examinations will be subjected to disciplinary action for absconding duty.

### **4.3 External Examiners**

#### **(a) Appointment**

- i. Senate shall appoint External Examiners on the recommendation of Departmental and School Boards of examiners.
- ii. External examiner shall be appointed one month before the beginning of every Academic Year and shall be invited to moderate examinations at the end of every Academic Year unless otherwise approved by the Senate.
- iii. External Examiners shall not have taught, either as full or part time lecturers of the University, the subject(s) to be examined, during the previous four years or as approved preceding their appointment as External Examiners.
- iv. External Examiners shall normally be appointed for at least four academic years non-renewable.
- v. In case of an emergency on the part of the external examiner, the Dean will take steps that will not jeopardize the examination results for students concerned

#### **(b) Duties of External Examiners**

- i. The external examiner shall be provided with examination answer scripts, examination and continuous assessment question papers, marking schemes and individual mark sheets by the Head of Department on arrival and shall be required to familiarize himself/herself with the documents.
- ii. They shall evaluate the structure and choice of examination questions, the adequacy and coverage of the curriculum, marking schemes and any other related examination matters.
- iii. The External examiner shall review cases of candidates who have failed, those who have passed exceptionally well, and cases of candidates whose performance may be considered as borderline
- iv. Where there are differences in scores between marks allocated to candidates by the External Examiners on the other hand, and marks allocated by the internal Examiner on the other, the Departmental Board or School Board of

Examiners shall agree on the award of the final mark in the presence of the external examiner.

- v. External examiners shall submit to Senate through the Vice-Chancellor, a written report on the conditions in which teaching and learning were conducted and the general standard of examination papers and the performance of candidates.
- vi. The external examiners shall attend their Departmental Board or School Board of examiners meeting to present their reports that shall be discussed and adopted.
- vii. Departments shall discuss the External Examiners' reports after the School Board of Examiners' meeting.
- viii. The Responses by Departments to the External Examiners' reports shall be sent to the respective Deans of Schools and copies sent to the Vice-Chancellor and Registrar (Academic).
- ix. The deans of Schools shall call Special Board meetings to discuss the consolidated External examiners' reports and responses of Departments to them, within two weeks of receiving the reports from the Heads of Departments.
- x. The Vice-Chancellor shall call a Special senate meeting to consider the consolidated reports from External Examiners' reports and the responses of Departments to them, within two weeks of receiving the reports from the Heads of Departments.

## **5. EXAMINATION RESULTS**

### **5.1 Processing of Examination Results**

- i. All Internal Examiners shall submit results, scripts, projects and other assessment materials and records to the Heads of Departments within six (6) weeks after the end of regular examinations and two (2) weeks for special/supplementary examinations. Head of Department shall maintain accurate records of students' performance and account for each candidate who has done an examination, including providing marks for each and every examination of a course done by a candidate.

- ii. Heads of Department shall cause Departmental Board of examinations to be held or where applicable the Dean shall convene a School Board of Examiners meeting to consider all examination results within the 7th week after the end of the second semester or at the end of academic year examinations in readiness of the external examiners.
- iii. External Examiners shall consider examination results from departments at the end of the 7th week after the end of second semester or at the end of academic year examinations. At the end of external examination, a Departmental Board of Examiners or School Board of Examiners meeting shall be convened to give an opportunity to the external examiner to table his/her report and discuss issues related to the examination with the departmental or school board members.
- iv. All examination results shall be confidential until they have been considered by the School Boards of Examiners and shall be Provisional until approved by Senate.
- v. The Deans shall forward provisional results for final consideration and approval by Senate in the ninth (9) week after the end of the examination.
- vi. Any lecturer or officer who fails to adhere to the set examination almanac shall face disciplinary action.
- vii. Senate may accept, reject, vary or modify provisional examination results presented to it by the School Boards Examiners.
- viii. Once these results have been approved by Senate, no Department, School, any individual or agent apart from Senate shall have the authority to alter examination marks or results.

## **5.2 Release of Examination Results**

- i. Deans shall release provisional examination results to all candidates, in form of provisional transcripts within 2 weeks after the results have been considered by the School Boards of Examiners.
- ii. Deans shall before the start of the next academic year formally inform students of their status, that is, those proceeding to the next year of study,

sitting supplementary/special examinations, repeating the year of study and those discontinued.

- iii. The Deans shall forward the Consolidated Mark Sheets to the Registrar (Academic) two (2) weeks after all examinations have been approved by Senate.
- iv. The Dean of School shall issue provisional transcripts to students two (2) weeks after approval by Senate.
- v. The Registrar Academic shall issue official transcripts to students at the end of the programme alongside the certificates or upon request by the student.

### 5.3 Grading System

- i. The performance of candidates in University Examinations shall be determined by grades from both Continuous Assessment Tests and Regular/special/supplementary University Examinations unless otherwise approved by Senate.
- ii. Each course shall be marked out of a maximum of 100 marks, unless otherwise approved by Senate.
- iii. The final Mark for each course shall be rounded off to the nearest whole number.
- iv. The pass mark for all courses shall be 35% for diploma, 40% for undergraduate and 50% for postgraduate unless otherwise approved by the Senate.
- v. A candidate must pass in all prescribed courses before they are awarded degrees or diplomas.
- vi. The examination grading system shall be as follows:

The grading for postgraduate candidates shall be as outlined in Table 1 below.

*Table 1: Postgraduate Grading System*

Percentage Marks	Grade	Performance
75-100	A	Distinction
65-74	B	Credit

50-64	C	Pass
0-49	E	Fail

The grading for undergraduate candidates shall be as outlined in Table 2 below:

**Table 2: Undergraduate Grading System**

Percentage Marks	Grade	Performance
70-100	A	Excellent
60-69	B	Good
50-59	C	Average
40-49	D	Pass
39 and Below	E	Fail

The grading for the diploma shall be as outlined in Table 3 below.

**Table 3: Diploma Grading System**

Percentage Marks	Grade	Performance
65 and above	A	Excellent
55-64	B	Good
45-54	C	Average
35-44	D	Pass
34 and Below	E	Fail

### 5.3.1 Compensation within the University Grading System

- i. Compensation shall be possible, but not compulsory, for Regular Examinations.
- ii. Compensation shall be considered by School Board of Examiners when results are being processed at the end of every academic year.
- iii. A candidate must obtain at least a weighted average of 50% in all courses including the mark obtained in the failed paper, in the academic year's courses, to qualify for compensation.
- iv. No candidate shall receive compensation for more than one course per semester.
- v. Marks for compensation shall be obtained by subtracting marks from a subject with a close correlation with the subject being compensated. Compensation

shall be in the ratio of compensated mark to compensating mark of 1:2 marks to be effected once.

#### 5.4 Classification of Undergraduate Degrees and Ordinary Diplomas

- 5.4.1 All marks obtained in the prescribed courses in each year of study shall be considered for degree classification unless otherwise approved by the Senate.

*In classifying a degree and Ordinary Diploma the final percentage mark for the entire study period shall be calculated by summing the percentage mark for each course, multiplied by the number of units in that course, and divided by the total number of units.*

$$\text{Final Percentage} = \frac{\sum (\% \text{ Marks} \times \text{Units})}{(\text{Total Units})}$$

- 5.4.2 In working out the final percentage aggregate mark, the following shall be considered:

- i. In applying the formula above to calculate the final percentage aggregate for the entire study period, all prescribed courses for each student for all academic years will be used.
- ii. The percentage mark for each course shall be multiplied by the number of units for the course to get a product. The products for all prescribed courses shall be summed up and divided by the total number of units for the entire study period and rounded off once to the nearest whole number to get the final percentage aggregate.
- iii. In cases where a candidate has done more courses or units than the courses and the best performed elective courses that together add to the number of prescribed course units required for that year of study are considered in the calculation of final percentage aggregate.
- iv. Optional courses are not included in the calculation of the final percentage aggregate.
- v. Variations to the use of this formula

The final percentage aggregate is calculated differently with respect to engineering programmes. The steps followed in the calculations are as follows:

- The percentage mark for each year is computed separately using the formula in 5.4.2 above
  - The final percentage mark for engineering programmes is calculated by first working out a proportion of the final percentage mark for each year to contribute to the final year aggregate which is (5%) for the first year, (20%) for second year and (25%) each for third to fifth years and finally summing up the outcome.
- vi. Undergraduate Degrees shall be classified into first Class Honours, Second Class Honours (Upper Division), Second Class Honours (Lower Division) and Pass, except for those approved by Senate as outlined in Table 4 below.

**Table 4: Classification for Undergraduate Students**

CLASSIFICATION	FINAL PERCENTAGE AGGREGATE MARKS
First Class Honours	70- 100%
Second Class Honours (Upper Division)	60- 69%
Second Class Honours (Lower Division)	50- 59%
Pass	40- 49%

- vii. A candidate who sits for a supplementary examination in any year of study on academic grounds shall be categorized as qualified for a degree as classified in section 5.5.3 (vi) above.
- viii. A candidate who repeats any year of study on academic grounds shall not qualify for an honours degree.
- ix. Candidates taking medical courses such as medicine, surgery, nursing and dental surgery have their final aggregate calculated using the formula in 5.5.2 above but are not classified and all the programmes shall have a pass mark aggregate of 50%.



- x. Ordinary Diploma shall be classified into Distinction, Credit and Pass, as outlined in Table 5 below.

**Table 5: Classification for Ordinary Diploma**

CLASSIFICATION	FINAL PERCENTAGE AGGREGATE MARK
Distinction	65 -100%
Credit	55 - 64 %
Pass	35 - 54%

- xi. There shall be no classification for Postgraduate Diploma, Master Degree and PhD Degree

### **5.5 Appeals for Re-assessment of Examination Results**

- i. After the release of provisional results by the Dean, a candidate may appeal within a period of three (3) weeks for re-marking to the Dean of the School which offers the course(s) and a copy to the Registrar (Academic) giving reasons.
- ii. A candidate who requests for a remark shall pay a non-refundable fee of One Thousand Kenya Shillings (Kshs. 1000), per paper, or such other amounts as may be determined by Council from time to time.
- iii. The Dean shall propose an independent examiner in consultation with the Head of Department to mark the Script(s) and forward the name to the Chairman of Senate for consideration.
- iv. The Chairman of Senate, upon receiving a request for remarking from the Dean shall appoint or reject the proposed examiner to mark the script(s) and process for reporting to the Senate. If the Chairman of Senate rejects the internal examiner proposed by the Dean, he/she shall inform the Dean so with reasons and request him/her to nominate another examiner.
- v. An independent Examiner, as appointed by Senate, refers to an internal or an External Examiner, who has not taught or examined the candidate in the particular course but specialized in the particular course.

- vi. The independent examiner appointed by the Chairman of Senate on behalf of Senate shall release the marks within two (2) weeks and report to the School Board.
- vii. The Score obtained on re-marking a script shall be accepted as a provisional mark, which shall be forwarded to Senate for approval

## **6. TRANSFER OF STUDENTS TO OTHER ACADEMIC PROGRAMMES**

- i. Candidates who have passed in first year of study may be allowed by Senate to transfer only once, to other programme(s) of their choice in the Second year of study, provided that they meet the entry requirements for that or those programmes subject to availability of capacity in the new programme. Such candidates may be given credit transfer from passes obtained in previous courses to courses to be taken in the new programmes if related.
- ii. Candidates in the second and subsequent years, who have failed and have been discontinued in one programme, may be allowed by the Senate to transfer to another or other programme(s) of their choice, provided that they meet the entry requirements for the said programmes and shall commence at first year after staying away for one academic year. No credit transfers shall be given to such applicants.

## **7. INTER-UNIVERSITY TRANSFERS**

A student in first year of study from another university who wishes to transfer to the University or a student from the University who wishes to transfer to another university may be allowed to do so after submitting a written request of such intention and meets the entry requirements for the programme of transfer subject to availability of capacity in the said programme. The transfer must also be approved by the Vice-Chancellors of the two universities. All inter-University transfers shall be subject to the Credit Accumulation and Transfer System (CATS) Policy.

## **8. IRREGULARITIES IN UNIVERSITY EXAMINATIONS**

### **8.1 Examination Irregularities**

Examination irregularities shall include the following:

- i. Having unauthorized material and/or taking into examination rooms, written materials on clothes, handkerchiefs, hats, petticoats, caps, underside of shirts, jackets/overcoats, body parts, clipboards, writings on adjacent walls, desks, tables, bags, electronic devices, such as mini computers, calculators, cell phones, pagers etc. Exceptions to this list will be made for devices and/or reference materials prescribed for online or open book examinations.
- ii. Copying from or making reference to unauthorized material(s) or examination paper of another candidate in the examination room
- iii. Obtaining assistance from another candidate/non-candidate, and/or giving assistance to another candidate, directly or indirectly in answering an examination paper.
- iv. Destroying evidence which may be used as proof of an examination irregularity.
- v. Carrying examination scripts/answer sheets, one's/or another candidate's out of the examination room or a candidate deliberately not submitting an examination script.
- vi. Writing on examination question papers.
- vii. Reading the question paper before the start of the examination has been announced or continuing to answer the questions after the end of the examination has been announced.
- viii. Disregarding the arrangement of the examination room and instructions of an invigilator.
- ix. Permitting another candidate to copy from or make use of one's papers.
- x. Presenting for examination the works of another person or person without acknowledgement and with intent to deceive.
- xi. Any attempt to copy, read or write from written walls, toilets, tables, desks, parts of the body, or any other material.
- xii. Threatening invigilators and obstructing the invigilator from carrying out his/her duties or behaving in a manner likely to disrupt the examination process or cause of a breach of the peace.

- xiii. Causing actual bodily harm to the invigilators, those assisting in the invigilation or fellow candidates sitting for the examinations. Impersonating or sitting an examination for another candidate.
- xiv. A candidate leaving the examination room without the invigilator's permission.
- xv. Committing a breach of any other examination rule or regulation which may be communicated to the candidates from time to time by the invigilators.

## **8.2 Procedure for Dealing with Examinations Irregularities**

- i. Invigilators shall, before each examination, inform candidates of the seriousness with which examination irregularities shall be treated.
- ii. When an invigilator suspects that a candidate has committed an Examination irregularity, other invigilators shall be consulted and the candidate shall be informed that a report shall be submitted to the Registrar (Academic).
- iii. The Invigilator shall, if possible, make a digital copy of, or confiscate the material that is suspected, but the candidate shall be allowed to complete writing the examination.
- iv. The candidate shall be asked to make a written statement on the irregularity immediately after the in-person or online examination. This statement shall be made in the security offices or designated areas be submitted to the Registrar (Academic) alongside the relevant evidences.
- v. The Main Invigilator and the Head of Department shall make a full report on the incident to the Registrar (Academic) through the Dean, immediately after the examination.
- vi. The Chief Invigilator's report and the candidate's statement shall be considered by a Standing Committee of Senate on Examinations Irregularities.
- vii. An Internal Examiner, who in the course of marking examination scripts, suspects that an examination irregularity has taken place, shall consult the Head of Department. If the Head of Department considers that an examination irregularity has occurred, a full report shall be made to the

Chairman of the Standing Committee and the Registrar (Academic), through the Dean.

### **8.3 Students' Disciplinary Committee on Examination Irregularities**

- (a) The Committee shall be composed of:
- i. The Deputy Vice-Chancellor (Academic & Students' Affairs) or representative.
  - ii. Three members of Senate appointed by the Vice-Chancellor.
  - iii. The Dean of the School in which the candidate is registered.
  - iv. The Dean of Students or representative
  - v. The Registrar (Academics)- secretary
- In Attendance
- vi. The Deputy Registrar (Examinations)
  - vii. Senior Legal Officer
- (b) The Senate representative to the Committee shall serve for a period of two years, renewable once.
- (c) The chairperson shall convene a meeting of the Disciplinary Committee within one month after the report is received.
- (d) The Secretary to the Committee shall notify the student through all communication channels on the date and time of the meeting which shall be at least fourteen (14) days from the date of the invitation letter.
- (e) The student shall be required to attend in person in the company of the parent or documented guardian. Summons to attend shall take precedence over all other commitments of the student.
- (f) The student shall pay a disciplinary processing fee of Kshs. 2,000 or any other amount as determined by Council from time to time.
- (g) A student who is alleged to have committed an examination irregularity shall be heard and given the opportunity to call witnesses and to cross-examine witnesses who have testified against him/her.

- (h) Those giving evidence shall not be members of the Committee.
- (i) The Committee shall meet, investigate, give a student a chance to be heard, and make a report within one month after the end of each semester.
- (j) In the event that the Committee is unable to reach a verdict by Consensus, a vote shall be taken by the three members of Senate, the Dean of the School, and the Dean of Students. If a tie is registered during voting, the chairman shall take a vote to unlock the tie.
- (k) The decision of the committee shall be communicated to the student within 14 working days from the date of the verdict and a report made to Senate to note and ratify.
- (l) The student has the right to appeal to the chair of Senate if not satisfied with the decision of the Disciplinary Committee on Examination Irregularities.

#### 8.4 Examination Irregularities and Sanctions

Table 6 below shows the classification of examination irregularities and the disciplinary actions that would be taken on each.

*Table 6: Examination Irregularities and Sanctions*

	EXAMINATION IRREGULARITIES	DISCIPLINARY ACTION
<b>GROUP I</b>	<ul style="list-style-type: none"> <li>i. Writing on the question paper</li> <li>ii. Reading the question paper before the start of the examination has been announced or continuing to answer the questions after the end of the examination has been announced</li> </ul>	Warning letter to the candidate.
<b>GROUP II</b>	<ul style="list-style-type: none"> <li>i. Being found in the examination room in possession of the prohibited items stated in section 8.1(i).</li> <li>ii. Sitting an examination when not authorized.</li> </ul>	Cancellation of the examination results for the course and suspension of the candidate for one (1) academic year.

	<ul style="list-style-type: none"> <li>iii. Leaving the examination room without the Invigilator's permission.</li> <li>iv. Disregarding the arrangement of the examination room and instructions of an invigilator</li> <li>v. Failure to produce identification document</li> </ul>	
<b>GROUP III</b>	<ul style="list-style-type: none"> <li>i. Copying from or making reference to unauthorized written material(s) or examination paper of another candidate in the examination room.</li> <li>ii. Permitting another candidate to copy from or make use of one's papers to answer questions.</li> <li>iii. Any evidence of cheating in an Examination that may be detected during marking including different answer scripts for different candidates with the same registration number, different handwritings in an answer script, different scripts from what was given by the invigilators and written notes found inside the script.</li> </ul>	Cancellation of the examination results for the course and suspension of the candidate for two (2) academic years.
<b>GROUP IV</b>	<ul style="list-style-type: none"> <li>i. Carrying examination scripts/answer sheets, one's/or another candidate's out of the examination room or a student deliberately not submitting an online examination script.</li> <li>ii. Obtaining assistance from another candidate, student or person (impersonation), and/or giving or assistance to another candidate or</li> </ul>	Cancellation of all the examination results and expulsion of the candidate from the University

	<p>student (impersonation), directly answering an examination paper. If the imposter is not a student of University of Eldoret, the University shall be at liberty to file a criminal charge of Impersonation in a court of law against the person.</p> <ul style="list-style-type: none"> <li>i. Knowingly and with full knowledge accessing or being in possession of a question paper or questions for an examination before the date and time scheduled for the examination.</li> <li>ii. Presenting for marking an examination answer script whose answers were written elsewhere other than in the examination venue at the time when the written elsewhere other than in the examination venue at the time when the particular examination paper was scheduled to be done.</li> <li>iii. Destroying evidence which may be used as proof of an examination irregularity.</li> <li>iv. Threatening invigilators and obstructing the invigilator from carrying out his/her duties and assaulting the invigilator or causing him or her actual bodily harm.</li> <li>v. Presenting for examination the works of another person or persons without acknowledgement and with intent to deceive in a CAT/Exam Paper/Research Project.</li> <li>vi. Sitting for examinations at a time when one is on suspension or has been suspended to show cause.</li> </ul>	
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	<p>vii. Committing a subsequent irregularity after being warned or suspended and re-admitted.</p> <p>viii. Forging authorization documents and using them to sit an examination.</p> <p>ix. Being involved in bribery and collusion with intent of influencing the improper and irregular award of marks</p>	
<b>GROUP V</b>	Any emerging evidence of cheating, falsification of examination results, or committing any of the offences in group I-IV above after the student has graduated.	Withdrawal or cancellation of the degree/ diploma/certificate conferred on or awarded to the candidate upon establishing that cheating or falsification of results did indeed occur.
<b>GROUP VI</b>	Failing to appear before the Students' Disciplinary Committee on examination irregularities when one has been summoned to do so after a suspected examination irregularity.	The student shall be suspended to show cause or discontinued indefinitely to show cause after failing to appear for the third time before the disciplinary committee.

## 8.5 Disciplinary Committee Discretion

### 8.5.1 Exercise of Discretion

The Students Disciplinary Committee on Examinations Irregularities, Examinations Irregularities Appeals Board and Council Examinations Irregularities Appeals Committee handling student disciplinary matters, having found a student guilty of examination malpractice may exercise objective discretion to reduce the sentence/punishment on a case-by-case basis depending on the unique circumstances of each case while considering the following grounds-;

- i. Nature of offence concerned
- ii. The sanction imposed
- iii. The general circumstances and background leading to the offence;
- iv. Any likely consequences of the offence;
- v. The likely consequence of preferring a lighter punishment;
- vi. The likelihood of the repetition of the offence;
- vii. The disciplinary history of the relevant person/student;

- viii. Explanation/admission/plea for forgiveness offered by the offender during the hearing;
- ix. The orderly conduct of examinations in the University and
- x. Any other circumstances or factor it considers relevant.

#### **8.5.2 Limit to discretion**

There shall be a limit to the exercise of discretion as follows-;

#### **Students Disciplinary Committee on Examinations Irregularities and Examinations Irregularities Appeals Board**

To exercise discretion on offences under Group I, II and III and VI offences.

#### **Council Examinations Irregularities Appeals Committee**

To exercise discretion under Group IV and V offences.

For offences attracting expulsion from the University, the Council Examinations Irregularities Appeals Committee shall in the exercise of the limited discretion not impose a punishment lighter than/less than suspension from the University for 2 academic years.

Any Committee exercising discretion shall justify and record the basis for the exercise of such discretion in its proceedings.

### **8.6 Appeals to Senate**

- i. There shall be an Examination Irregularities Appeals Board appointed by Chairperson of Senate to hear examination irregularities appeals cases whose membership shall be as follows:

#### **Members**

- a) Chairman- Chair of Senate or his/her appointed nominee
- b) Three (3) members of Senate
- c) Registrar (Academic) - Secretary

#### **In Attendance**

- d) Dean of the School
- e) Dean of Students
- f) Senior Legal Officer

- ii. Any appeals shall be made in writing within 14 days after the decision of the Disciplinary Committee on Examination Irregularities to the Chairman of

Senate who shall then cause a meeting of the Examinations Irregularities Appeals Board to be convened within 14 days after receiving such a request.

- iii. The Registrar (Academic) shall invite the student who has appealed to appear before the Examinations Irregularities Appeals Board.
- iv. The Examination Irregularities Appeals Board shall only consider the grounds of appeal presented by the student. There shall be no fresh hearing or presentation of new evidence during the hearing of the appeal.
- v. The Examination Irregularities Appeals Board may make any of the following decisions: confirm the earlier decision of the Disciplinary Committee, amend, vary or arrive at a new ruling on the case.
- vi. The Examination Irregularities Appeals Board shall report its findings to Senate for consideration within one month of hearing the appeal and the outcome communicated to the student by the Chairman of Senate within 5 working days after Senate consideration.
- vii. The student shall have the right to appeal the decision of Senate within 14 days after the decision of the Appeals Board to the Chairman of Council.

## 8.7 Appeals to Council

- i. There shall be an Examinations Irregularities Appeals Committee of Council (ARISAC), to hear and determine the appeal cases whose membership shall be as follows:

### **Members**

- a. Chairman of ARISAC
- b. Members of ARISAC (excluding the Vice-Chancellor)

### **In Attendance**

- a. Senior Legal Officer
- b. HoD Council Secretariat - Secretary

- ii. The Chairman of Council shall cause a meeting of the ARISAC Appeals Committee to be convened within 14 days after receiving such a request.
- iii. The Council Secretariat shall invite the student who has appealed to appear before the Appeals Committee of Council.

- iv. The ARISAC Appeals Committee shall only consider the grounds for appeal presented by the student. There shall be no fresh hearing or presentation of new evidence during the hearing of the appeal.
- v. The records used in both the Disciplinary Committee and the Appeals Committee shall be transmitted and made available at the Appeals Committee of Council.
- vi. The ARISAC Appeals Committee may make any of the following decisions: affirm the decision of the Appeals Board, amend, vary or arrive at a new ruling on the case.
- vii. The ARISAC Appeals Committee shall report its findings to the Council within one month of hearing the appeal and the outcome communicated to the student by the Chairman of Council within ten (10) working days after Council consideration.
- viii. The ARISAC Appeals Committee of Council shall sit once in an academic year as per the Council Almanac.
- ix. No more appeals shall be entertained after the decision of the Council and pronouncement of its verdict except for Clemency.

## **8.8 Clemency Clause**

### **8.8.1 Clemency Committee**

- i. The Chairperson of Council shall appoint an Ad Hoc Clemency Committee of Council to hear and determine clemency requests from expelled students whose membership shall comprise of three Council members excluding members of ARISAC.

#### **In Attendance**

- a) Deputy Vice-Chancellor(ASA)
- b) Registrar Academic
- c) Senior Legal Officer
- d) Dean of Students
- e) Head of Council Secretariat
- ii. The aim of clemency is to consider giving a student a second chance after expulsion on disciplinary ground to continue with studies.

- iii. Clemency shall be initiated by the student after staying away from the University for a period of the programme cycle from the date of expulsion.
- iv. Where the student has taken classes elsewhere in the intervening period, those credits will not be transferred towards the University of Eldoret diploma or degree.
- v. The Council Clemency Committee shall sit once in an academic year as per the Council Almanac.
- vi. Cases that are pending before a court of law will not be eligible for clemency.

### **8.8.2 Procedure for clemency application**

- i. A student seeking clemency will write a letter to the Chair of Council. The letter should indicate how the student has reformed, giving details as shown below:
  - a) Letter addressed to Chair of Council. The written request should include appropriate documentation concerning the student's status during the intervening years since the expulsion.
  - b) Expression of gratitude by the student.
  - c) Explanation of the situation that led to commitment of the offence.
  - d) Places the student has been staying after expulsion.
  - e) What the student has been doing after expulsion.
  - f) Outline plans for the future.
  - g) The student to sign, write name in full and admission number.
  - h) Any additional information about character or change of behavior that may be appropriate.
  - i) Any additional mitigating circumstances with appropriate documentation, which may include records pertaining to mental health status, employment, educational, social service, and letters of recommendation.
  - j) Any other relevant information.
- ii. The letter should end with this Declaration sentence; I hereby declare that the information provided is, complete, true and correct. I also understand that any willful dishonesty may lead to rejection of my application for clemency.
- iii. The letter should be certified by a commissioner of oaths or two letters of support, one from parent/legal guardian and another one from religious/provincial administration.

### **8.8.3 Process of granting or denying clemency**

- i. The Chair of the Ad Hoc Clemency Committee of Council shall convene a meeting once in an academic year as per the Council Almanac.

- ii. The Committee shall invite and interview the student in the presence of the parent/legal guardian to consider the clemency request.
- iii. Decision of the Clemency Committee shall be forwarded to Council for approval and then communicated to the applicant in writing within one month.
- iv. If clemency is granted, the student will be re-admitted to the University and to the school, program, or successor unit from which he/she was expelled and shall be placed under observation for a period of one year to ensure that the student has reformed.
- v. Clemency shall only be granted once.
- vi. Clemency does not mean acquittal and a record of the expulsion will remain in the student's records and is not subject to expunction.
- vii. The Committee may impose additional conditions on the student's readmission.

## **9. LEAKAGE OF EXAMINATIONS**

- i. Any person, who suspects that a leakage has taken place, shall immediately report to the Head of Department, Dean of respective school and the Registrar (Academic).
- ii. If established that a leakage occurred, then the Senate shall nullify the examination and order a fresh examination to be set and administered. The Chairperson of Senate can do so, in case of an emergency, but have the action ratified by Senate at next meeting.
- iii. The Committee of Senate on Examination irregularities shall investigate the suspected leakage, the Committee shall be constituted as specified in section 8.3 above.
- iv. The Committee of Senate on Examination irregularities shall make recommendations to Senate, based on their findings, including referring persons involved for disciplinary action within one month from the time of reporting the Leakage.

## **10. EXAMINATION SCRIPTS, ACADEMIC TRANSCRIPTS AND ACADEMIC CERTIFICATES**

### **10.1 Loss of Examination Scripts**

- i. Loss of scripts shall apply to situations where scripts, which have been certified as having been handed in by the candidates at the end of an examination paper, are misplaced or have been deleted from online

examination system to the extent that they are unrecoverable or found to be missing at the time of processing the results.

- ii. The Principal Internal Examiner shall report cases of loss or deletion of answer scripts to the Registrar (Academic), through the Dean of School.
- iii. The Committee of Senate on Examination Irregularities shall investigate the loss or deletion of an answer script and report its findings to Senate.
- iv. The Senate shall determine, based on the report the cause of action to be taken as a result of loss of answer scripts.

## **10.2 Collection of Certificates**

- i. Certificates shall be collected by the successful candidate after meeting all clearance requirements. Additionally, the candidate shall be required to produce original copies of previous certificates or other documents that act as proof that the person concerned qualified to join the University to pursue the particular programme for which the certificate is being collected. If it is established that a graduate used falsified documents to pursue University programmes, any degree or certificate obtained as a result shall be cancelled by the Senate and appropriate disciplinary and/or legal action taken against those found to be involved in the malpractice.
- ii. Certificates may be collected through proxy with written authority letter from the successful candidate upon meeting all the clearance requirements. Additionally, the proxy shall provide an original and copy of identification card (ID/Passport) of the owner of the certificate and a copy of his/her ID and original copies of relevant certificates.
- iii. Certificates not collected within one year after graduation shall attract an annual storage fee of Ksh.1000.00 (One Thousand Kenya Shillings) per annum or such amount as may be determined by Council from time to time.

## **10.3 Loss of Academic Certificates and Transcripts**

In cases where a graduate of University of Eldoret loses an academic certificate and transcripts, the affected individual may make a request to the Vice-Chancellor for a letter of confirmation that they graduated from University of Eldoret by attaching photocopies of the documents where possible. The person requesting for the letter of confirmation

will pay Kshs. 1,000.00 for the confirmation of certificate and Ksh 500.00 for confirmation of transcript or any other amount as may be determined by Council from time to time.

#### **10.4 Certification of Copies of Academic Testimonials**

The first two copies of a transcript or certificate shall be certified at no cost to the successful candidate. Thereafter, all other copies shall be certified at a fee of Ksh. 50 (Fifty Kenya shillings) per copy or such other fee as shall be determined by Council from time to time.

#### **10.5 Disposal of Scripts**

- i. The Registrar (Academic) shall be the custodian of examination answer scripts.
- ii. The Registrar (Academic) shall dispose hard copy and online examination answer scripts ten (10) years after the candidate has left the University.
- iii. Results and scripts, which involve appeals or court litigation, shall not be disposed until the matter is finally determined.
- iv. Rules governing confidentiality of information shall apply in the disposal of scripts.

#### **10.6 Exemptions**

- i. Senate may, at its discretion, grant a school or an Institute, exemption from any of the requirements of these rules and regulations upon request.
- ii. Senate may, on the recommendation(s) of a School Board, grant any candidate(s), exemption from any of the requirements of these Rules and Regulations.

#### **10.7 Instructions to Candidates and Invigilators concerning Written Examinations**

1. Candidates shall be allowed into the examination room five minutes before the start of the examination. Question papers shall be placed upside-down on the desks in the examination room. Candidates must not turn the question paper over until they are instructed.



2. A candidate who arrives within the first half hour of the start of the examination may be allowed into the examination room, provided no other candidate has left the room. Such a candidate will have no extension of time to compensate for the lateness.
3. No candidate shall leave the examination room 30 minutes before the end of an examination.
4. No candidate shall enter the examination room after thirty minutes from the start of the examination. A candidate who is excluded from the examination under this regulation should report to the Chief Internal Examiner.
5. Examination registration cards should be conspicuously displayed. Candidates who do not have examination cards shall not be allowed to sit the examination. Candidates sitting online examinations shall identify themselves clearly using other approved method(s).
6. Books, bags, briefcases, folders, clipboards, pencil cases, cellular telephones, pagers, alarm watches, earphones, notebooks or any other such material that may hinder transparency, or that are likely to raise suspicion should not be carried into an examination room. Log books and calculators should not be brought into the examination room, unless there is a provision to the contrary for a particular paper. Only approved devices and reference materials may be allowed into the examination room in case of online (open book or blended learning) examinations.
7. Invigilators, where possible, shall obtain a digital copy and/or confiscate any unauthorized material(s) brought into the examination room and allow the candidate to continue doing the examination. Candidates should acquaint themselves with the instructions on the front page of the answer booklets or as per the instructions provided for online examinations.
8. Candidates should write their registration numbers, course codes, course titles and paper numbers, on each answer booklets and on continuation sheets.
9. Candidates are not allowed to communicate with each other, either verbally or through other means, during an examination without the permission of the invigilator.

10. Candidates are not allowed, in their course and assignments, to reproduce the works of another person, other person without acknowledgment, and with intent to deceive. This amounts to plagiarism, a serious offence which will lead to disciplinary action being taken against such a candidate.
11. Smoking is forbidden in an examination room.
12. Candidates must stop writing and assemble their scripts at the end of the examination, on the instructions of the Main Invigilator. Candidates should leave the scripts on the desk, unless otherwise instructed. Candidates must submit their online examination scripts at the expiry of the allocated time.
13. Candidates are not allowed to remove answer books or sheet from the examination room; this action is a serious examination irregularity.
14. A candidate who is unable to sit an examination should report the circumstances to the Dean of Students immediately.
15. Misreading the examination timetable is not a sufficient cause for failing to sit an examination.

## **11. CONFERMENT OF DEGREES AND DIPLOMAS**

Conferment of degrees shall be handled in accordance with the Universities Act 2012.

The conferment of degrees shall be as follows:

### **A. Bachelor's Degree**

1. A candidate shall be awarded the Bachelor's degree if s/he shall have undertaken approved courses and satisfied the requirements as a student of the University after admission and subsequent registration with the relevant Institute, School or Centre.
2. Senate may accept, as part of the attendance of a student of the University qualifying him/her for the award of the Bachelor's degree, duration of attendance as a student at another university or institution recognized by Senate for this purpose.

3. Senate may accept academic transcripts/certificates issued in any subject by a university or institution it recognizes, exempting such a candidate from the examination of the University in a course or courses in such a subject.
4. Notwithstanding clauses 2 and 3 of these regulations, a candidate shall be awarded the Bachelor's degree if:
  - i. He/*she* shall have undertaken approved courses of study at the University for at least two academic years, of which one shall have been the final year for the four-year degree programmes and the last three years for the five-year degree programmes;
  - ii. His/*her* duration of attendance as a student at such a university or institution and at the University combined shall not be less than the complete period prescribed for the award of the degree;
  - iii. He/*she* shall have passed the final examination and such other examinations of the University as Senate may determine;
  - iv. He/*she* shall have paid such fees to the University as may be determined by Council; and
  - v. He/*she* shall have fulfilled all the requirements for the degree as set out in the Institute/ School/Centre regulations.
5. Subject to provisions of Clause 4 of these regulations, Senate may accept periods of attendance and examination in any subject in any School/Institute/Centre of the University, or any other university recognized by Senate for this purpose, as exempting a candidate from attendance and examination in such a subject.

#### **B. Postgraduate Degrees**

1. A candidate shall be awarded a postgraduate degree if he/*she* shall have undertaken approved courses and satisfied the requirements as a student of the University after admission and subsequent registration with the relevant Institute, School or Centre.
2. A candidate shall be awarded a postgraduate degree if:
  - i. He/*she* shall have undertaken approved courses of study at the University for at least two or three academic years for masters or doctorate degree respectively.

- ii. He/*she* shall have passed the final examination and such other examinations of the University as Senate may determine;
- iii. He/*she* shall have paid such fees to the University as may be determined by Council; and
- iv. He/*she* shall have fulfilled all the requirements for the postgraduate degree as set out in the postgraduate Rules and Regulations.

**C. Postgraduate Diploma and Ordinary Diploma**

- 1. A candidate shall be awarded a postgraduate diploma or ordinary diploma if he/*she* shall have undertaken approved courses and satisfied the requirements as a student of the University after admission and subsequent registration with the relevant Institute, School or Centre.
- 2. A candidate shall be awarded a postgraduate diploma or ordinary diploma if:
  - i. He/*she* shall have undertaken approved courses of study at the University for at least one academic year.
  - ii. He/*she* shall have passed the final examination and such other examinations of the University as Senate may determine;
  - iii. He/*she* shall have paid such fees to the University as may be determined by Council; and
  - iv. He/*she* shall have fulfilled all the requirements for the diploma as set out in the programme rules and regulations.

**12. CONGREGATION FOR THE CONFERMENT OF DEGREES AND AWARD OF DIPLOMAS AND CERTIFICATES**

The congregation for the conferment of degrees shall be conducted in accordance with Statute XLII of the University Statutes (2013) as follows:

- i. For the purpose of conferring Degrees and award of Diplomas and Certificates of the University, there shall be held from time to time, a meeting of the University which shall be called a Congregation.
- ii. Unless Senate decides otherwise, a Congregation shall be held at least once a year at the University and shall be presided over by the Chancellor or, in his/*her* absence by the Vice-Chancellor or in the absence of the Vice-Chancellor by some other person appointed by the Chancellor in writing.
- iii. A candidate shall not be admitted to a degree or awarded a diploma or certificate unless Senate has approved such a candidate as having satisfied all the conditions

prescribed for such a degree, diploma or certificate including payment of prescribed fees within stipulated deadlines.

- iv. The procedure for the conferment of the Degrees, Diplomas, Certificates and other awards, the academic dress to be worn and all other matters not provided for in the Statutes shall be determined by Senate in the Regulations.
- v. The Vice-Chancellor shall declare a meeting convened for the purpose of conferring Degrees and awarding Diplomas Certificates and other awards, a Congregation of the University and shall pronounce such Congregation dissolved at the end of the ceremony.
- vi. A congregation of the University may be physical or virtual, as may be approved by the University Senate.

### **13. NON-COMPLIANCE WITH EXAMINATION RULES AND REGULATIONS**

Senate and Council shall take appropriate action against any person who does not comply with any of these Rules and Regulations.

### **14. EFFECTIVE DATE**

This Policy will be effective from the date of approval by the University Council.

### **15. REVIEW**

This Policy shall be reviewed in intervals of five (5) years or as need arises to ensure its continued application and relevance.

### **16. TRANSITIONAL PROVISIONS**

- i. These common rules and regulations for University examinations replace and repeal the 2021 regulations but preserve all process, proceedings, resolutions and rights of appeal already commenced under the 2019 and 2021 regulations until they have been disposed of under those regulations.
- ii. Due to effluxion of time, disciplinary proceedings commenced and verdicts entered under the 2013 and 2017 regulations shall immediately upon approval of these regulations be the subject of clemency provisions in accordance with these rules and the students involved shall not be required to submit to the existing appeal procedures.

ANNEXURE 1

RISK MATRIX FOR THE IMPLEMENTATION OF THE COMMON RULES AND REGULATIONS FOR UNIVERSITY EXAMINATIONS POLICY

S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME
1.	<ul style="list-style-type: none"> <li>Lecturers fail to set examinations</li> </ul>	<ul style="list-style-type: none"> <li>Student cannot sit scheduled course examination for the semester</li> </ul>	<ul style="list-style-type: none"> <li>Examination process will fail for the affected courses</li> </ul>	3	4	<ul style="list-style-type: none"> <li>Controls put in place at different levels (Department, School and Registrar's office) to verify that volume of learning is properly worked out</li> <li>Disciplinary measures for the responsible lecturers</li> </ul>	<ul style="list-style-type: none"> <li>No of courses lecturers not submitting semester examinations for their courses</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar (Academic s)</li> <li>Dean</li> <li>HOD</li> <li>Course lecturer</li> </ul>	Within 4 weeks from start of semester

S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME	
2.	Examinations are not moderated	Poor quality of examinations	Questionable student performance	4	3	1 2	<ul style="list-style-type: none"> <li>Controls put in place at different levels (Department, School and Registrar's office) to verify credits used for admission are correct</li> <li>HoD to face disciplinary action</li> </ul>	<ul style="list-style-type: none"> <li>No of unmoderated examinations reported</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar (Academic s)</li> <li>Dean</li> <li>HOD</li> </ul>	Within 4 weeks from start of semester
3.	Late moderation of examinations	Delay of downstream processing and/ or administration of examination	Timeliness of examination process will be compromised	4	3	1 2	<ul style="list-style-type: none"> <li>Adherence to set timelines for moderation of examinations to keep the process on track</li> </ul>	<ul style="list-style-type: none"> <li>No of departments moderating exams after the deadline</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar (Academic s)</li> <li>Dean</li> <li>HoD</li> </ul>	Within 4 weeks from start of semester

S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	IV	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME
4.	<ul style="list-style-type: none"> <li>Late submission of moderated examinations to the exam office</li> </ul>	<ul style="list-style-type: none"> <li>Delay of downstream processing and/ or administration of examination</li> </ul>	<ul style="list-style-type: none"> <li>Timeliness of examination process will be compromised</li> </ul>	4	3	1 2	<ul style="list-style-type: none"> <li>Adherence to set timelines for submission of moderated examinations</li> <li>HoD to be held responsible</li> </ul>	<ul style="list-style-type: none"> <li>No departments submitting exams after the deadline</li> <li>No of exam papers submitted late per semester</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar (Academics)</li> <li>Dean</li> <li>HoD</li> </ul>	5 weeks to the start of regular exams
5.	<ul style="list-style-type: none"> <li>Loss of examination scripts</li> </ul>	<ul style="list-style-type: none"> <li>Students have incomplete examination records</li> </ul>	<ul style="list-style-type: none"> <li>Student progression will be slowed</li> </ul>	4	4	1 6	<ul style="list-style-type: none"> <li>Marking of scripts within the University</li> <li>Offer special examinations</li> </ul>	<ul style="list-style-type: none"> <li>No of lost examination scripts</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar (Academics)</li> <li>Dean</li> <li>HoD</li> </ul>	Six weeks after the examination



S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME
						<ul style="list-style-type: none"> <li>Disciplinary measures to the responsible lecturer</li> </ul>		<ul style="list-style-type: none"> <li>Course lecturer</li> </ul>	
6	<ul style="list-style-type: none"> <li>Lecturers fail to submit examination results</li> </ul>	<ul style="list-style-type: none"> <li>Unmarked examination scripts</li> <li>Students have incomplete examination records</li> </ul>	<ul style="list-style-type: none"> <li>Timeliness of examination process will be compromised</li> <li>Student progression will be slowed</li> </ul>	4	3	<ul style="list-style-type: none"> <li>Adherence to set timelines for marking and processing results</li> <li>Disciplinary measures to responsible lecturer</li> </ul>	<ul style="list-style-type: none"> <li>No of course units without examination results</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar Academic</li> <li>Dean</li> <li>HoD</li> <li>Course lecturer</li> </ul>	Six weeks after the examination
7	<ul style="list-style-type: none"> <li>Delayed marking of examination scripts</li> </ul>	<ul style="list-style-type: none"> <li>Delayed processing and release of results</li> </ul>	<ul style="list-style-type: none"> <li>Timeliness of examination process will be compromised</li> </ul>	4	3	<ul style="list-style-type: none"> <li>Adherence to set timelines for marking and processing results</li> </ul>	<ul style="list-style-type: none"> <li>No of course units without examination results at the school</li> </ul>	<ul style="list-style-type: none"> <li>Dean</li> <li>HoD</li> <li>Course Lecturer</li> </ul>	Six weeks after the examination

S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME
8	<ul style="list-style-type: none"> <li>Student fails to register for courses and or examinations</li> </ul>	<ul style="list-style-type: none"> <li>Late reporting</li> <li>Lack of fees</li> </ul>	<ul style="list-style-type: none"> <li>Student cannot sit examinations</li> </ul>	3	3	<ul style="list-style-type: none"> <li>Adherence to registration timelines</li> </ul>	<ul style="list-style-type: none"> <li>No. of students locked out from examination</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar Academic</li> <li>Dean</li> <li>HoD</li> <li>students</li> </ul>	At least 4 weeks to start of examinations
9	<ul style="list-style-type: none"> <li>Cheating occurs during examination</li> </ul>	<ul style="list-style-type: none"> <li>Underserving students obtain high grades</li> </ul>	<ul style="list-style-type: none"> <li>Integrity of examination process will be compromised</li> </ul>	4	4	<ul style="list-style-type: none"> <li>Controls in place for invigilation of examination</li> <li>Disciplinary action against offenders</li> </ul>	<ul style="list-style-type: none"> <li>No. of students apprehended for exam malpractices</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar Academic</li> <li>Dean</li> <li>HoD</li> <li>students</li> </ul>	Examination period
10.	<ul style="list-style-type: none"> <li>Loss or leakage of examinations</li> </ul>	<ul style="list-style-type: none"> <li>Underserving students get high scores</li> <li>Postponement of scheduled</li> </ul>	<ul style="list-style-type: none"> <li>Integrity of examination process will be compromised</li> </ul>	4	4	<ul style="list-style-type: none"> <li>Controls put in place at different levels (Department, School and</li> </ul>	<ul style="list-style-type: none"> <li>No of leaked examination papers per semester</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar Academic</li> </ul>	From setting to date of examination

S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME
		<p>examination papers</p> <ul style="list-style-type: none"> <li>Annulment of examinations results</li> </ul>				<p>Registrar's office) to assure security of exam papers</p> <ul style="list-style-type: none"> <li>Disciplinary measures to the responsible persons</li> </ul>			
11	<ul style="list-style-type: none"> <li>Forging of certificates and transcripts</li> </ul>	<ul style="list-style-type: none"> <li>Fake certificates and transcripts in circulation</li> </ul>	<ul style="list-style-type: none"> <li>Integrity of certificates and transcripts will be compromised</li> </ul>	4	4	<ul style="list-style-type: none"> <li>Increase in security features of the certificates and transcripts</li> </ul>	<ul style="list-style-type: none"> <li>No. of forged certificates</li> </ul>	<ul style="list-style-type: none"> <li>VC</li> </ul>	Immediately
12	<ul style="list-style-type: none"> <li>Graduation of students who had not met all graduation criteria</li> </ul>	<ul style="list-style-type: none"> <li>Unqualified students could be holding university certificates</li> </ul>	<ul style="list-style-type: none"> <li>Confidence in the quality of the graduands will be compromised</li> </ul>	4	4	<ul style="list-style-type: none"> <li>Carrying out due diligence as the graduation lists are</li> </ul>	<ul style="list-style-type: none"> <li>No. of students who graduate without meeting the</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA)</li> <li>Registrar Academic</li> <li>Deans of School</li> <li>HoD</li> </ul>	Immediately

S/NO	RISK EVENT	RISK FACTORS	RISK EFFECTS	I	V	MITIGATION MEASURES	KEY PERFORMANCE INDICATOR	RESPONSIBILITY	TIMEFRAME
13	• Security of the certificates and transcripts	• Lack of enhanced security features and storage of the certificates and transcripts could increase chances of forging	• The Certificates and transcripts could easily be forged or misplaced during storage	4	4	1 6	<ul style="list-style-type: none"> <li>being compiled</li> <li>Enhanced security features need to be incorporated and kept in places with enhanced security</li> <li>No of certificates faked or stolen during storage</li> </ul>	<ul style="list-style-type: none"> <li>DVC (ASA) and Registrar Academic</li> </ul>	Immediately

I = IMPACT, V= VULNERABILITY, IV = IMPACT × VULNERABILITY

Extreme (E)	High (H)	Medium/Moderate (M)	Low (L)
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