



# Alupe University

Strategic Plan

2024–2028

*Bastion of Knowledge*

**Vision**

“To be an inclusive Science-based University that is committed to achieving academic excellence, integrity, quality research and innovation for a better society”

**Mission**

“To create, evaluate, apply, preserve and share knowledge; and develop competencies and values in a free, open and inclusive environment of intellectual inquiry for the wellbeing of society”

**Philosophy Statement**

“Educate to empower the mind and develop competencies through teaching, research, and community engagement by integration of science and technology”

**Core Values**

Professionalism

Creativity & innovation

Good Corporate Governance

Service-orientation

## **FOREWORD**

Alupe University (AU) Council is delighted to present the Strategic Plan (2024-2028), a plan that is aligned with relevant legal and policy frameworks. The inaugural Strategic Plan has already propelled us towards significant milestones in our pursuit of excellence in education, research, and community engagement. This Strategic Plan is a clear manifestation of our unwavering commitment to continuous improvement and our steadfast dedication to the University's vision and mission. It provides a distinct roadmap for the next five years, focusing on enhancing infrastructure, promoting quality education, fostering an inclusive and supportive community, strengthening partnerships, and ensuring financial sustainability.

This Strategic Plan envisages that AU plays a pivotal role in producing holistic professionals in health sciences, science, education, and business, among other fields. These professionals will meet the labour market demand of the country and the wider East African region and significantly contribute to Kenya's social and economic transformation in line with Vision 2030. The achievement of the strategic goals set in the Strategic Plan will be a significant step towards delivering on the targets of the government's economic 'BETA' Model.

As we implement this plan, we acknowledge the challenges in Kenya's dynamic higher education sector. However, we remain confident in our ability to adapt and thrive, leveraging on our strengths and opportunities to impact society. I expect that the successful implementation of this plan will enable AU to carve out its niche as a science-based University and build capacity.

I thank all our stakeholders for their invaluable contributions to developing this Strategic Plan. Special thanks to the Strategic Planning Committee, the University Management Board, our dedicated staff, and our students for their significant input. I also acknowledge the pivotal role played by the University Council in shaping this plan. I am confident that the successful implementation of this Strategic Plan will help us to advance towards achieving Alupe University's vision.

**CHAIRPERSON OF COUNCIL**

## **PREFACE AND ACKNOWLEDGEMENT**

In Kenya, Institutions are expected to prioritize their operations in a Strategic Plan (SP). AU Strategic Plan 2024–2028 lays out strategies that will enhance the achievement of AU’s vision and mission in a dynamic environment in higher education, incorporating the political, economic, social, technological, environmental, and legal frameworks.

The crafting of this SP has enabled us to note the global trends in University education to determine the University's future. The strategic areas of focus that will allow the University to develop appropriate interventions are quality education and training, research, innovation and commercialization, governance and leadership, institutional capacity and resource mobilization, and student welfare. These strategic focus areas demonstrate the University’s commitment to upscale productivity through our core mandate of teaching, research, community service, and engaging our strategic partners and the community.

The Strategic Plan is anchored on various legal and policy frameworks, including the Constitution of Kenya, 2010; the UN SGD Agenda No. 4 on quality education; the African Union Agenda 2063; East African Community (EAC) Vision 2050; Kenya Vision 2030; Kenya’s Bottom-Up Economic Transformation Agenda (BETA) aimed at driving economic transformation and inclusive growth, and related Government policies, circulars, and guidelines.

The University Management, Senate and wider community recognize and appreciate the efforts of all those who took part in the preparation of the 2024-2028 Strategic Plan, especially the efforts of the appointed Strategic Planning Committee.

**VICE-CHANCELLOR**

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## **ACRONYMS AND ABBREVIATIONS**

<b>AFD</b>	Administration, Finance and Development
<b>AIA</b>	Appropriation-in-Aid
<b>ARSA</b>	Academics, Research and Students Affairs
<b>ATS</b>	Applicant Tracking Systems
<b>AU</b>	Alupe University
<b>AV</b>	Audio Visual
<b>BETA</b>	Bottom-Up Economic Transformation Agenda
<b>CBC</b>	Competency-Based Curriculum
<b>CCTV</b>	Closed-Circuit Television
<b>COBES</b>	Community Based Education and Service
<b>COD</b>	Chairperson of Department
<b>CSR</b>	Corporate Social Responsibility
<b>CUE</b>	Commission for University Education
<b>EAC</b>	East African Community
<b>GOK</b>	Government of Kenya
<b>HELB</b>	Higher Education Loans Board
<b>HR</b>	Human Resource
<b>ICIPE</b>	International Centre of Insect Physiology and Ecology
<b>ICT</b>	Information and Communication Technology
<b>IGU</b>	Income-Generating Unit
<b>IMIS</b>	Integrated Management Information System
<b>KALRO</b>	Kenya Agriculture and Livestock Research Organization
<b>KEMRI</b>	Kenya Medical Research Institute
<b>KES</b>	Kenya Shillings
<b>KPIs</b>	Key Performance Indicators
<b>KRA</b>	Key Result Areas
<b>KUCCPS</b>	Kenya Universities and Colleges Common Placement Services
<b>LAN</b>	Local Area Network
<b>LBDA</b>	Lake Basin Development Authority
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MER</b>	Monitoring, Evaluation, and Reporting
<b>MIS</b>	Management Information Systems
<b>MOU</b>	Memorandum of Understanding
<b>NACADA</b>	National Authority for the Campaign Against Alcohol and Drug Abuse
<b>NACOSTI</b>	National Commission for Science, Technology and Innovation
<b>NESSP</b>	National Education Sector Strategic Plan
<b>NRF</b>	National Research Fund
<b>ODEL</b>	Open and Distance E-Learning
<b>PESTEL</b>	Political, Economic, Social, Technological, Environmental and Legal



<b>PPP</b>	Public-Private Partnership
<b>PR</b>	Public Relations
<b>PSSP</b>	Privately-Sponsored Students Programmes
<b>QA</b>	Quality Assurance
<b>QMS</b>	Quality Management System
<b>R&amp;D</b>	Research and Development
<b>SDG</b>	Sustainable Development Goals
<b>STI</b>	Science, Technology and Innovation
<b>SWOT</b>	Strengths, Weaknesses, Opportunities and Threats
<b>TVET</b>	Technical and Vocational Education and Training
<b>UN</b>	United Nations
<b>WAN</b>	Wide Area Network

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## **DEFINITION OF CONCEPTS AND TERMINOLOGIES**

<b>Accreditation:</b>	Procedure by which institutions offering education and training are formally recognized as having met the standards set out in various laws of Kenya
<b>Assessment:</b>	Process used to gather, interpret and evaluate evidence of an individual's learning achievements, including evaluations and tests
<b>Core Values:</b>	Fundamental rules by which an institution wants to perform its mandate and conduct its activities
<b>Creativity:</b>	Development of new ideas using one's own imagination
<b>Credit Accumulation and Transfer:</b>	A set of agreed-upon procedures and specifications aimed at facilitating recognition of prior learning, quality assurance, progression and credit transfers between institutions and education sectors at national and international levels
<b>Council:</b>	Members of the highest governing organ at Alupe University
<b>Customer focus:</b>	Pervasive set of mindsets and behaviours that drive a client-based perspective and a habit of noticing and paying attention
<b>Excellence:</b>	Exceptional performance of tasks or activities assigned to individuals and mandated to the institution as a whole
<b>Good Corporate Governance:</b>	System by which an institution is directed and controlled
<b>Innovation:</b>	Identification of a novel idea that creates new value
<b>Mission:</b>	The purpose for which an institution exists
<b>Performance Indicator:</b>	The measure used to assess an institution's activities
<b>Professionalism:</b>	Adherence to high ethical standards, respect of values, and commitment to occupational principles, rules and regulations that guide and demonstrate work delivery
<b>Service delivery targets:</b>	Specific outputs needed to achieve the strategic objectives
<b>Situation Analysis:</b>	Critical assessment of the environment in which an institution operates
<b>Teamwork:</b>	Coordinated effort in the interest of a common course towards achievement of set goals
<b>Vision:</b>	A vibrant and compelling image of the desired future state of an institution

## **EXECUTIVE SUMMARY**

The Alupe University Strategic Plan 2024-2028 lays out a detailed plan for advancing the institution's vision and mission over the next five years. The Strategic Plan, developed through a consultative and participatory process, aligns with Kenya's Vision 2030, the Fourth Medium-Term Plan (2023-2027), the Bottom-Up Economic Transformation Agenda, the Sustainable Development Goals, and other relevant international, regional, and national protocols and sector initiatives.

Emphasizing quality education and training, the plan focuses on enhancing infrastructure, expanding research capabilities, and fostering partnerships and linkages to bolster academic excellence and innovation. The key objectives include improving the quality and quantity of infrastructural facilities, integrating advanced information and communication technology (ICT) solutions, and strengthening research infrastructure.

The plan prioritizes staff development, quality assurance, and financial sustainability through diversified revenue streams and effective resource management. Additionally, the Strategic Plan emphasizes increasing engagement and communication with stakeholders, enhancing diversity and inclusion, and promoting mental health, mentorship, and counselling services.

The University will pursue the following strategic goals during the Strategic Plan period:

- (i) Improve the quality of education and training
- (ii) Strengthen capacity for research, innovation and climate action
- (iii) Enhance governance and leadership
- (iv) Strengthen institutional capacity
- (v) Establish adequate and appropriate student support systems.

Under each goal, Key Result Areas, Strategic Objectives, and Strategic Activities have been developed to address critical issues such as governance and leadership, institutional capacity, and student welfare. Implementation of the Strategic Plan is projected to cost Kenya Shillings (KES) 5,218,300,000. The plan's implementation faces a resource deficit of approximately KES 1,553,324,000.

By achieving these goals, Alupe University aims to solidify its position as a leading educational institution, driving socio-economic development and addressing global challenges through cutting-edge research and community engagement. Projected outcomes include increased student enrollment, expanded programme offerings, and improved relations with surrounding communities, ensuring the University's growth and impact in the region.

The performance standards will be upheld through the monitoring and evaluation of the Strategic Plan. The monitoring will be along impact, effectiveness, efficiency, and

sustainability. Reporting on the Strategic Plan will occur monthly, quarterly, semiannually, and annually. Additionally, a mid-term and end-term evaluation of the Strategic Plan will be conducted.

## **CHAPTER ONE: INTRODUCTION**

This chapter sets the context for formulating the Strategic Plan in terms of the role of the strategic planning in the growth of the University, enabling policy and legal frameworks, the history of Alupe University and the methodology used in developing the Plan.

### **1.1 Strategy as an imperative for Alupe University organizational development**

AU is a science-focused University, and to deliver its vision, infrastructure must be built to support academic programmes, research initiatives, and overall operations. Specialized laboratories and dedicated spaces for advanced research in specific fields like biotechnology, nanotechnology, and materials science will need to be set up. Libraries, technology, and computing facilities will need to be expanded, and specialized research infrastructure established. All these developments will need resources and short- and long-term planning. Consensus will be required on resource allocation and the sharing of infrastructure. A strategic plan is vital to generate a more beneficial science-based infrastructural set-up that has a real impact on the trajectory of Alupe University.

The Strategic Plan 2024-2028 has set its goals and priorities based on an analysis of the Strategic Plan 2018-2023. Despite this continuity, a noticeable gap exists between the two plans. This gap emerged due to the dynamic changes involved in transitioning from a constituent college to a fully-fledged University. The University needed to broaden its scope, realign its strategies, and accommodate prolonged stakeholder engagement. Additionally, the monitoring and evaluation of the 2018-2023 plan revealed valuable lessons, highlighting the necessity to understand and potentially mitigate their impact on the institution. This led to adjustments in the initial priorities and a shift in strategic focus, requiring more faculty engagement.

Since AU desires to impact the community by promoting social mobility and equality, the quality of education, particularly in our flagship programmes in health sciences, will be monitored and supported to generate the necessary synergy with collaborating partners in the region and beyond. Planning and engaging valuable stakeholders will foster meaningful and enriching community interactions. Therefore, AU must develop a Strategic Plan to generate focused and sustained community engagement. AU is an intellectual centre that enriches community life through on- and off-campus events and fosters cultural tolerance through awareness activities. The University engages in community service and outreach, providing resources like health clinics, educational programmes, and business advisory services. The institution's research often addresses environmental challenges, promoting sustainable consumption and influencing local policies and behaviour.

In the long term, AU's education programmes and research will play a pivotal role in preparing Kenyan societies for global changes, such as technological advancements and

environmental shifts. They are critical for developing a knowledge economy where intellectual capabilities and innovation drive progress. This Strategic Plan is crucial as it identifies threats to Alupe University's goals. These include the financial and security impacts of illicit trans-border trade, competition from established institutions affecting enrollment and revenue, and the disruptions caused by trans-border communicable diseases. Effective strategies and proactive measures are essential for Alupe University to navigate these challenges and achieve its mission.

## **1.2 The Context of Strategic Planning**

In Kenya's higher education sector, various global, regional, and national development issues hold considerable importance. To effectively address these issues, strategic policies, sufficient funding, stakeholder collaboration, and continuous adaptation to evolving educational and societal needs are essential. The following subsection discusses some of these critical issues in detail.

### **1.2.1 United Nations 2030 Agenda for Sustainable Development**

There are seventeen Sustainable Development Goals (SDGs) which are core to the attainment of the 2030 Agenda. The SDSs focus on sustainable development's economic, social and ecological dimensions. These goals are expected to be achieved by 2030 by the United Nations (UN) member countries. Therefore, concerned states are tasked to play their roles in finding shared solutions to urgent global challenges. Kenya, as a UN member state, is expected to implement these Goals at the national level. Alupe University has identified 9 of the 17 SDGs that it will contribute to attaining. Table 1.1 below shows how the AU will make its contributions.



**Table 1.1: AU’s mandate and the SDGs**

Goal No.	Description of SDG	AUs Action in SP
1	No Poverty: End poverty in all its forms	AU intends to produce self-reliant graduates by providing quality education. The University will also provide opportunities for innovation for students, staff, and the community.
2	Zero Hunger: Zero Hunger	
3	Good health and well-being	The School of Health Sciences will champion this by creating awareness through community engagements, for example, Community-based Education and Service (COBES).
4	Quality education	AU will continue to provide inclusive education for upward social mobility.
5	Gender Equality	
8	Decent work and economic growth	The University will continue to produce graduates with employable skills to tackle economic challenges
9	Industry, Innovation and Infrastructure	AU will continue to strengthen its research and innovation by focusing on programmes that would ensure there are sufficient human resources to upscale its innovative products.
10	Reduced inequalities	AU will contribute to this Goal by making education accessible to all.
17	Partnership for the goals	AU will collaborate with partners, peer institutions and industry in teaching and research.

### 1.2.2 African Union Agenda 2063

The African Union Agenda 2063 seeks to transform Africa into a global powerhouse. The aspirations include ending of poverty, inequality and hunger through the provision of education underpinned by science, technology and innovation. A prosperous Africa based on inclusive growth and sustainable development would be achieved by transforming economies, adopting modern agriculture achieved through good governance, respect for human rights, justice, the rule of law and transformative leadership. A strong and prosperous Africa would also be built based on values and ethics, gender equality and empowerment of the emerging generation of women, youth and children. All these have been captured in the Alupe University Strategic Plan 2024-2028.

### 1.2.3 East Africa Community Vision 2050

Alupe University integrates the principles of Vision 2050 by prioritizing an enabling environment that encompasses education, nutrition, health, safety nets, and effective institutions, all crucial for fostering economic transformation and growth. The University invests significantly in human capital, ensuring that students are well-educated, enlightened, and healthy, thereby facilitating regional development and supporting wealth creation and employment.

In line with the EAC 2050 vision, Alupe University emphasizes collaboration and harmonization of higher education policies among member states. This includes developing common standards, recognizing qualifications across borders, and facilitating academic exchanges among East African universities. The University contributes to enhancing the quality of higher education through regional accreditation mechanisms and frameworks that promote excellence of academic programmes and institutions throughout the EAC.

Moreover, Alupe University plays a pivotal role in driving research and innovation within the region. It supports initiatives that foster collaboration among universities, research institutions, and industries to tackle shared challenges and advance cutting-edge technologies. By tailoring academic programmes to meet the specific needs of the industries within the EAC, the University prepares students to effectively contribute to regional integration efforts and economic development.

#### **1.2.4 Constitution of Kenya**

Alupe University recognizes the supremacy of the Constitution of Kenya. Accordingly, its Strategic Plan reflects the letter and spirit of the Constitution of Kenya 2010, as evidenced by the issues it addresses as shown in Table 1.2.

**Table 1.2: Alignment of AU Strategic Plan to Provisions of the Constitution of Kenya 2010**

<b>Issue in the Constitution</b>	<b>Articles</b>	<b>Role of Alupe University</b>
<b>Leadership and Integrity</b>	Article 73, Article 76, Article 232	Adhering to ethical standards, and promoting transparency, accountability, and integrity in all administrative and academic practices.
<b>Right to Education</b>	Article 43, Article 53	Upholding the right to education by providing accessible and quality education, and ensuring inclusivity and non-discrimination in admission and academic programmes.
<b>Principles of Public Finance</b>	Article 201	Managing finances prudently and ensuring accountability, transparency, and efficient use of public resources as stipulated in the Constitution.
<b>Procurement of Public Goods</b>	Article 227	Ensuring fair, equitable, transparent, competitive, and cost-effective procurement through compliance with procurement regulations.
<b>National Values and Governance</b>	Article 10	Promoting national values such as patriotism, national unity, human dignity, equity, social justice, inclusiveness, equality, human rights, non-discrimination, and protection of the marginalized.
<b>Values and Principles of Public Service</b>	Article 232	Upholding professionalism, efficiency, responsiveness, transparency, accountability, integrity, and respect for diversity in public service delivery.

### **1.2.5 Kenya Vision 2030, BETA and Fourth Medium-Term Plan**

In discharging its mandates, Alupe University strives to align itself with Kenya’s national agenda. As such, its Strategic Plan 2024-2028 captures the aspirations outlined in the national development agenda—the Kenya Vision 2030, Bottom-Up Economic Transformation Agenda (BETA), and 4th Medium Term Plan (MTP), as outlined below.

#### **1.2.5.1 Vision 2030**

The goal of Vision 2030 is to make Kenya a globally competitive country economically, socially and politically. To support this goal, Alupe University will contribute to the social pillar in the following ways:

- (i) Train and equip with skills diverse professionals in all sectors of the economy for the national, regional and international market
- (ii) Prepare and implement academic programmes that will ensure lifelong education through a blended approach to meet the diverse educational needs of the local and global market
- (iii) Promote and implement a problem-based learning model to produce graduates with problem-solving skills integrated with digital literacy skills as a way to build a creative economy
- (iv) Endeavor to bridge the digital divide and contribute to the creation of knowledge societies by promoting of technological innovations in diverse areas
- (v) To enhance growth in enrolment in higher education for science-based programmes
- (vi) To promote research that offers practical solutions to problems in communities.

#### **1.2.5.2. Bottom-Up Economic Transformation Agenda**

The Bottom-Up Economic Transformation Agenda (BETA) is geared towards providing an economic driving force and fostering inclusive growth. Six factors have been emphasized as applicable in BETA. The main objective of the BETA model was to spur economic growth and development in the region.

As Alupe University, we are expected to contribute to the BETA by playing the roles outlined below.

##### **Human capital development**

Alupe University will provide high-quality education and skills through nurturing a competent and innovative workforce. This will spur the country's economic and social growth.

##### **Research, knowledge creation, and dissemination**

Through research, Alupe University will generate new knowledge that addresses the broader regional and international challenges. Research findings will be disseminated, scholarly work published, and expertise shared through seminars and workshops. Alupe

University also contributes to the knowledge base, influencing development practices and policies.

**Innovation**

Innovations by Alupe University endeavor to address the critical challenges facing Kenya, regionally and internationally. The University has developed an annual plan that requires students and staff to produce innovative ideas that have potential for problem-solving in its core areas of training.

**Policy advice and consultation**

Alupe University has a strategic Memorandum of Understanding (MOU) with the County Government on research. This informs various policies of, advice to, and consultations with, both the National and County Governments.

**Regional integration**

Alupe University, being at the border, endeavors to have collaborations with Uganda, and also pursue collaborations with other regional and international higher learning institutions. By sharing knowledge, best practices and resources, the University will enhance regional cooperation and development, fostering mutual growth and stability.

**International Partnerships**

Alupe University engages with international partners and collaborators as a strategy of leveraging on global expertise, resources and best practices by participating in international research networks, academic exchanges and joint collaborative projects.

**1.2.5.3 Forth Medium Term Plan**

The fourth Medium-Term Plan (MTP4) is considered the second-to-last phase of Kenya Vision 2030, whose objective was to propel the country into transition for the next long-term development agenda. The previous reports of MTP1, MTP2, and MTP3 will inform the progress made and lessons learned. MTP4 will also be informed by the Constitution of Kenya (2010) and priorities as set out by the BETA.

The initiatives of Alupe University in promoting the areas of interventions include the following:

- (i) Strengthening the cross-sectional collaboration that forms the framework for interdisciplinary, trans-disciplinary and multi-disciplinary curriculums
- (ii) Promoting internationalization of relations through collaborations and linkages
- (iii) Creating decent and sustainable employment opportunities by producing a pool of skilled, adaptive and self-propelling innovative and enterprising graduates that meet societal and market needs
- (iv) Inclusive and equitable talent development and management, especially in sports, entrepreneurship, innovativeness, creative and performing arts.

- (v) By disseminating research findings, publishing research works and sharing research expertise, Alupe University will add value to the knowledge base and influence policies and practices within and beyond national borders.

#### **1.2.6 Sector Policies and Laws**

Alupe University's operations are guided by the Universities Act, 2013. In order to meet the University mandates, Alupe University will, during the implementation of the Strategic Plan, integrate other policies, laws and international agreements, conventions, sessional papers and other frameworks that have impact on education, research and community engagement, innovation and enterprise.

Specific references are summarized below.

##### **Universities Act, 2012**

Alupe University operational policy, legal and regulatory framework within the University Act, (2012). It is through this Act that the Commission for University Education (CUE) is mandated to guide the registration and accreditation of Universities. All of Alupe University are accredited by CUE through the Regulations (2023) and Universities Standards and Guidelines for Academic programmes (2014).

##### **Science, Technology and Innovation (STI) Act, 2013**

The STI Act was enacted to facilitate the promotion, co-ordination and regulation of the progress of science, technology and innovation of the country. The priority of the act is also to ensure that there STI is integrated in the national production system. As Alupe University, the research, science, technology and innovations policy reflect the STI act of 2013.

##### **Sessional Paper No. 1 of 2019 on Policy Framework on Reforming Education and Training for Sustainable Development**

Alupe University is governed by this Sessional Paper in its efforts to address drop out cases, transition rates, equity, quality, relevance, efficiency in management of resources, costs and financing of education, managing gender and regional disparities, and quality of staff in education.

##### **Presidential Working Party on Education Reform of 2023**

The Presidential Working Party on Education Reform has introduced radical changes to the education plan, all the way from basic education to University education. Alupe University has reviewed its curricula in line with the changes proposed by the Working Party.

##### **Ministry of Education, National Education Sector Strategic Plan (2018-2022)**

The Ministry of Education, National Education Sector Strategic Plan (NESSP) is an all-inclusive, sector-wide plan that spells out policy priorities, programmes and strategies for the education sector over the next five years. NESSP builds on the successes and challenges of the National Education Sector Plan (NESP), 2013-2017. The Plan aims to achieve four important strategic objectives for education, training and research. These are to enhance access and equity; to provide quality and competency-based education, training and research; to strengthen management, governance and accountability, and enhance relevance and capacities for Science, Technology and Innovation (ST&I) in education, training, and research for labour markets. Alupe University has strategically positioned itself to meet all these targets of the NESSP.

### **1.3 Historical Narrative of Alupe University**

AU is a product of a memorandum handed to the former President of Kenya, His Excellency Hon. Mwai Kibaki, by the Busia Community on 18<sup>th</sup> September 2007. The community expressed the need to establish a University in the region. This culminated in the establishment of the Alupe Campus of Moi University in 2008, which offered a School-based programme for the School of Education. Later, it was established through the Alupe University College Order, 2015 (Gazette Notice No 153 of 24<sup>th</sup> July 2015) as a Constituent College of Moi University after a wide range of intergovernmental and ministerial consultations. On the 2<sup>nd</sup> of August 2022, Alupe University reached a significant milestone in its journey. It was granted the status of a Chartered Public University, a testament to its pursuit of academic excellence and institutional growth. This prestigious award was bestowed by the former President, His Excellency Uhuru Muigai Kenyatta, C.G.H. at State Lodge, Kakamega.

Alupe University, strategically located near internationally acclaimed research institutions, has developed collaborations that facilitate the discharge of its mandate. These institutions, including the Kenya Medical Research Institute (KEMRI), Kenya Agriculture and Livestock Research Organization (KALRO), and the Lake Basin Development Authority (LBDA), provide a rich environment for teaching, research, and extension services. This proximity underscores AU's commitment to academic excellence and community service.

The University currently has four schools: the School of Health Sciences, the School of Science, Technology and Engineering, the School of Education and Social Sciences, and the School of Business, Economics and Human Resource Development. The student and staff population has steadily increased since the University's inception. The infrastructure has been enhanced, with accredited science laboratories, a micro-teaching laboratory, a library, an ultra-modern 600-capacity Amphitheatre, a lecture hall and rooms, and boardrooms.

Alupe University was established as a science-based institution. This has focused activities around teaching, research and outreach. The University has singled out the School of Health

Sciences as the flag-ship school. Its programmes are crafted to leverage on science to provide health solutions to society. It is worth noting that the School hosts one of the country's accredited Medical Laboratory Sciences (MLS) laboratories. Similarly, the School of Science, Technology and Engineering is the hub for technological innovations. At Alupe University, science finds a home in an integrated way. For instance, every programme has an aspect of science – whether in its curriculum delivery or the courses under it. As evidence, the School of Education and Social Sciences houses science-based programmes such as Bachelor of Education (Science) and Bachelor of Science in Counseling Psychology. The School of Business, on the other hand, houses programmes in Information Systems and Management Science, among others. Additionally, Alupe University offers a range of Arts-based courses, and the faculty has continually employed an interdisciplinary approach to curriculum delivery and research. Generally, the University prides itself in offering various programmes whose common thread is the scientific approach to teaching, learning and research.

To provide quality education and training, the University will continue to involve stakeholders in the vision of existing academic programmes and the development of new ones during this Strategic Plan. Practical orientation and relevance to market demand will guide the efforts in this direction. The University aims to recruit, develop, and retain quality academic staff continuously and is focused on the crucial need to improve the learning infrastructure through expansion and modernization. The programmes at the University are presented below, according to the Schools.

#### **School of Health Sciences**

- (i) Master's in Public Health
- (ii) MSc Medical Microbiology
- (iii) Bachelor of Science Medical Laboratory Sciences
- (iv) Bachelor of Science Medical Psychology
- (v) Bachelor of Science Physical Therapy
- (vi) Bachelor of Science Environmental Health

#### **School of Science, Technology and Engineering**

- (i) Master- of Science Computer Science
- (ii) Master of Science Physics/ Chemistry
- (iii) Bachelor of Science Microbiology
- (iv) Bachelor of Science Computer Science
- (v) Bachelor of Science Applied Statistics with Computing
- (vi) Bachelor of Science Agricultural Education and Extension
- (vii) Bachelor of Science in Analytical Chemistry
- (viii) Bachelor of Science Information Technology
- (ix) Diploma in Information Communication and Technology
- (x) Diploma in Applied Biology

(xi) Diploma in Analytical Chemistry

**School of Education and Social Sciences**

- (i) Master of Education
- (ii) Master of Education, Language Education (English, Kiswahili)
- (iii) Bachelor of Education Science
- (iv) Bachelor of Education Arts
- (v) Bachelor of Science Counselling Psychology
- (vi) Bachelor of Arts Community Development
- (vii) Diploma in Social Work
- (viii) Diploma in Community Development

**School of Business Economics and Human Resource Development**

- (i) Master's in Business Administration with the following specializations:
  - MBA – Strategic Management
  - MBA – Finance
  - MBA – Accounting
  - MBA – Entrepreneurship
  - MBA – Business Leadership
- (ii) Bachelor of Hotel and Hospitality Management
- (iii) Bachelor of Business Management
- (iv) Bachelor of Science in Communication and Public Relations
- (v) Bachelor of Arts in Economics
- (vi) Diploma in Business Management
- (vii) Diploma in Banking and Finance
- (viii) Diploma in Human Resource Management
- (ix) Diploma in Business Management
- (x) Diploma in Hotel and Restaurant Management
- (xi) Diploma in Tourism Management

**1.4 Strategic Planning Process**

Developing the Strategic Plan at Alupe University was a collaborative process to chart a clear and sustainable path for the institution's future. This comprehensive process involves several key phases, including initiation, situational and stakeholder analyses, formulation of strategic elements, validation, and finalization. The process ensures that the Strategic Plan is inclusive, well-informed, and aligned with the University's mission and vision, ultimately driving the institution towards its research, innovation, and community engagement goals. The phases are presented in Table 1.3.



**Table 1.3: Strategic Plan Process**

Phase	Description
I. Initiation of the Strategic Planning Process	<ul style="list-style-type: none"> <li>- Formation of a Technical Committee to spearhead the process</li> <li>- Review of revised guidelines for the preparation of the fifth-generation Strategic Plan, 2023-2027, issued by the State Department for Economic Planning</li> <li>- Initial meetings to outline objectives, scope, and timelines</li> </ul>
II. Situational and Stakeholder Analyses	<ul style="list-style-type: none"> <li>- Conduct of situational analysis to assess internal and external environments</li> <li>- Gathering input from various stakeholders, including faculty, staff, students, and external partners</li> <li>- Identifying strengths, weaknesses, opportunities, and threats (SWOT analysis)</li> </ul>
III. Formulation of Strategic Plan Elements	<ul style="list-style-type: none"> <li>- Generating vision, mission, and core values</li> <li>- Identifying key result areas (KRAs) and strategic objectives</li> <li>- Developing specific strategies and action plans for each KRA</li> <li>- Allocating resources and setting performance indicators for monitoring and evaluation</li> </ul>
IV. Internal Validation by Internal Stakeholders	<ul style="list-style-type: none"> <li>- Presenting draft Strategic Plan to the Deans Committee for review and feedback</li> <li>- Conducting review sessions with the University Senate to ensure alignment with academic and operational goals</li> <li>- Seeking approval and endorsement from the University Council</li> </ul>
V. External Validation by Stakeholders	<ul style="list-style-type: none"> <li>- Sharing draft Strategic Plan with external stakeholders, including industry partners, government agencies, alumni, and community representatives</li> <li>- Collecting feedback and suggestions for refinement.</li> <li>- Incorporating external feedback to ensure the Strategic Plan addresses broader societal and industry needs</li> </ul>
VI. Strategic Plan Development	<ul style="list-style-type: none"> <li>- Integrating insights from situational and stakeholder analyses into the Strategic Plan</li> <li>- Drafting detailed plan, including strategic objectives, strategies, and action plans</li> <li>- Ensuring alignment with the revised guidelines for the preparation of the fifth-generation Strategic Plan</li> </ul>
VII. Strategic Plan Validation	<ul style="list-style-type: none"> <li>- Presenting the comprehensive draft plan to internal stakeholders (Deans Committee, Senate, and Council) for final validation</li> <li>- Ensuring that all feedback and recommendations are incorporated</li> <li>- Conduct of external validation sessions with key stakeholders to gather final input</li> </ul>
VIII. Finalization and Dissemination	<ul style="list-style-type: none"> <li>- Finalizing the Strategic Plan document, incorporating all validated inputs</li> <li>- Obtaining formal approval from the University Council</li> <li>- Disseminating the finalized Strategic Plan to the University community and external stakeholders through various channels, including meetings, distributing printed copies, and using online platforms.</li> </ul>

## **CHAPTER TWO: STRATEGIC DIRECTION**

This chapter presents the strategic direction of Alupe University during the period 2024-2028 by outlining the mandate, vision, mission and core values for the University. It also presents the quality objectives to guide service delivery at the University.

### **2.1 Mandate**

Alupe University's mandate is derived from the Universities Act, 2012 and the Alupe University Charter of 2022. This mandate includes providing quality higher education, engaging in research and innovation, and contributing to societal development.

The University offers a range of undergraduate and postgraduate programmes across various disciplines. AU aims to create a conducive learning environment, foster critical thinking, and equip students with the necessary knowledge and skills for their chosen fields. The University is dedicated to conducting research that advances knowledge, addresses societal challenges, and promotes sustainable development. Also, Alupe University actively engages with the community and stakeholders through outreach, knowledge transfer initiatives, and partnerships.

The institution believes in the role of higher education in developing knowledge, information, ideas and technologies. Alupe University acknowledges that knowledge is a vital resource that drives society generally, and the economy, in particular; the learner is the foundation of individual prosperity and social mobility. Therefore, Alupe University will seek to adopt an integrated approach to its programmes, appropriating varying modes of delivery that will target the learner competencies to function in society. Alupe University educates to empower the mind, give competencies and develop the totality of the learner. Such a learner is expected to make higher education the fundamental engine in modelling health environments, education, economic growth and building cultural and political understanding. At Alupe University, technology, science, education and social sciences find, and will continue to, find areas of intersection and integration.

### **2.2 Vision Statement**

Alupe University's Vision is:

*“To be an inclusive Science-based University that is committed to achieving academic excellence, integrity, quality research and innovation for a better society”*

### 2.3 Mission Statement

Alupe University's Mission is:

*“To create, evaluate, apply, preserve and share knowledge; and develop competencies and values in a free, open and inclusive environment of intellectual inquiry for the wellbeing of society”*

### 2.4 Strategic Goals

Alupe University will pursue the following strategic goals:

- (i) Improve the quality of education and training
- (ii) Strengthen capacity for research, innovation and climate action
- (iii) Enhance governance and Leadership
- (iv) Strengthen institutional capacity
- (v) Establish adequate and appropriate student support systems

### 2.5 Core Values

The following six core values support our mission and vision:

- **Professionalism:** Alupe strives to produce not only an outstanding teacher but also one with exceptional professionalism, arising from deliberate and consistent focused imparting of ethical teacher practices and code of conduct.
- **Creativity and innovation:** Alupe is committed to seeking out new possibilities and solutions in its endeavor to progress through inspiring creativity, taking moderate calculated risks and learning from outcomes of her activities.
- **Good Corporate Governance:** Good corporate governance is a key factor underpinning the integrity and efficiency of an institution, and its attractiveness and maintenance of stakeholders' confidence. At AU, good corporate governance will be integral to the day-to-day operations, resource management and adoption of best practice in leadership at all levels.
- **Service Orientation:** AU will be open to client issues; valuing her clients and fostering enriching collaborations.

### 2.6 Quality Policy Statement

Alupe University is committed to providing highly-rated education and services that meet the needs of its stakeholders through quality and relevant teaching, research and community service and outreach. The University is committed to a quality work and learning environment that is grounded in intellectual and academic freedom, teamwork, quest for excellence, professionalism, discipline and continuous improvement of its products and services aimed at customer satisfaction.

To attain these, Alupe University will adhere to a quality policy statement approved by the University Senate through a range of consultations and engagements with key stakeholders.

## **CHAPTER THREE: SITUATIONAL AND STAKEHOLDER ANALYSIS**

This chapter sets the baseline upon which the Strategic Plan was formulated. It scans the external and internal environment within which the plan will be implemented. It also highlights the achievements of the Strategic Plan for 2018-2023 as well as stakeholder analysis.

### **3.1 External Environment**

The external environment in which Alupe University operates is dynamic, with a new funding model being introduced by the government. This may impact public universities' operations, Alupe University included. Funding of public universities also relies on students' fees and grants. Universities in Kenya operate within a regulatory framework set by the government, primarily overseen by the CUE. Compliance with regulations is crucial for accreditation and continued operation. Alupe University is in the process of reviewing academic programmes and developing new ones. This is ongoing with close collaboration with CUE.

Alupe University plays a crucial role by contributing to the country's supply of human resources. The University's graduates fit in different sectors of the economy, including health, education and business. The students come from different backgrounds and cultures. Alupe University has consistently accommodated diversity and inclusivity in the performance of its mandate. The University tries to align its programmes to the needs of the labour market to enhance students' employability.

#### **3.1.1 Macro-environment**

There is political goodwill and support from the national and county Governments as well as the local political leaders for further growth of the University. This is a good indicator of the resilience of the country and may be attributed to the 2010 Constitution. The region is largely agro-based and the high potentials have not been fully harnessed. Economic activities in the region may form a dependable supply-base for foodstuff to the University community, though the general economic strains world-wide, and in Kenya specifically, threaten funding for the University from partners and the exchequer. In order to support research and other developments, it is imperative that the University adopts innovative strategies to raise funds to supplement government capitation.

The unique artifacts in the region, together with rich cultural traditions and practices offer opportunities for social integration of diverse communities around Alupe University. The population figures around Alupe University are high enough to guarantee increase in enrolment. The secondary school completion rates have also been on an upward trend, though performance still remains relatively low. The setting of the University at the Kenya–Uganda border offers a range of opportunities for growth and diversification in areas that are unique to the University. It offers practical learning and research opportunities in health

sciences, science, education, business, economics and hospitality. The presence of research institutions of KALRO and KEMRI present collaboration opportunities.

### **3.1.2 Micro-environment**

The microenvironment consists of the actors close to the organization that affect its ability to serve its clients and creates pressure that produces certain behavior within the organization. 'Micro' describes the relationship between firms and the driving forces that control this relationship. It is a more local relationship, and the firm may exercise a degree of influence. It includes the employees, suppliers, marketing intermediaries, customer markets, competitors, and publics.

Alupe University staff must work in collaboration to first understand their important client and serve him/her better than the competition. The employees must have the right skills and in right numbers. The management also needs to continuously audit the competencies of staff and recommend training, retraining or layoffs.

### **3.1.3 Industry Environment**

First, the ability of a firm to perform effectively is influenced by five competitive forces: competitive rivalry; power of suppliers; power of buyers; threats of substitutes, and the threat of new entrants. One of the most popular frameworks for analyzing the industry environment is a model developed by Micheal Porter known as the 'Five Forces' model. It is important executives of Alupe University determine the arena in which the institution is competing and establish boundaries.

Second, a definition of industry boundaries focuses attention on the Alupe University's competitors. Defining industry boundaries will enable Alupe University to identify its competitors and producers of substitute products (different academic programmes). Third, a definition of industry boundaries helps executives determine key factors for success. Finally, a definition of industry boundaries gives executives another basis on which to evaluate their firm's goals. Defining industry boundaries is a very difficult task, which difficulty stems from the following factors:

- The evolution of industries over time creates new opportunities and threats
- Industrial evolution creates industries within industries
- Industries are becoming global in scope
- Developing a realistic industry definition is a challenging task.

### **3.1.4 Market Analysis**

Market analysis is a detailed assessment of an organizations business's target market and the competitive landscape within a specific industry. This provides an insight into potential customers and competition. It helps in identify and quantify customers to be targeted for specific programmes. Alupe University is in the process of reviewing its academic programmes

and developing new ones in line with demands from the immediate environment and beyond. This will likely attract more students impacting positively University financial resources.

### **3.1.5 Summary of Opportunities and Threats**

The external analysis looks at the environment in which Alupe University operates to determine its ability to achieve its Vision and Mission. The factors examined range from global to regional to local situations. This situational analysis uses the PESTELE (political, economic, Social, Technological, Legal, Environmental, and Ethical) model, which presents the following: Table 3.1 shows the summary.

**Table 3.1: Summary of Opportunities, Threats and Strategic Responses**

<b>Environmental Factor</b>	<b>Opportunities</b>	<b>Threats</b>	<b>Strategic Response</b>
<b>Political</b>	Conducive political climate	Trans-border illicit trade which is a source of insecurity	Political goodwill
<b>Economic</b>	Large student catchment area	Competition for students	Strategic marketing, Enhanced student support services
	Strategic location/proximity to Uganda: potential for international students	Risks of trans-border communicable diseases	Risk management for communicable diseases
		Reduced capitation to universities	Initiating income-generation units/projects
<b>Social</b>	University-Industry research linkages	Demographic shifts as students preference for technical institutions increases	Strengthening partnerships Research collaboration initiatives
<b>Technological</b>	Develop research-intensive University	Inadequate funding Limited partnerships Cyber-security threats	Investment in research infrastructure Technology partnerships Implement cyber-security measures
<b>Legal and Regulatory</b>	Government policy: 100% transition (increased student enrollment)	Compliance with relevant laws and regulations	Policy advocacy Compliance frameworks
<b>Ecological</b>	Climate change financing	Adoption of green technologies	Sustainability initiatives Green-campus development



## **3.2 Internal Environment**

This section analyses Alupe University's competitiveness relative to its mandate. It explores the governance and administrative structures, internal business processes, resources, and capability to determine its strengths and weaknesses.

### **3.2.1 Governance and Administrative Structures**

This section reviews the decision-making structure at Alupe University and the distribution of various functions. A functional analysis was undertaken to identify key strengths and weaknesses of these structures. These are summarized in Table 3.2.

The University Governance and Administrative structures are anchored on the Universities Act 2012, the Alupe University Charter, and relevant statutes. The key governance organs are the University Council, the University Senate and its Sub-Committees, Faculty Management Committees, Departmental Management Committees, and Management Committees in the Directorates.

#### **3.2.1.1 Administrative Governance**

The supreme administrative organ of the University is the University Council, established under the Universities Act 2012. Its powers, membership, and functions are prescribed in the Alupe University Charter. The University Executive Management Board, with its membership, powers, and functions outlined in the University Statutes, is responsible for managing the day-to-day operations of the University.

#### **3.2.1.2 Academic Governance**

The University Senate is the supreme academic decision-making organ. Its membership, powers, duties, and functions are detailed in the Alupe University Charter. The Dean's Committee, a subset of the Senate, and the Faculty and Departmental Academic Committees, whose functions are stipulated in the Statutes, provide academic governance at the faculty and departmental levels.

#### **3.2.1.3 Student Leadership**

The Alupe University Student Council and Faculty Representatives ensure unified representation of the student body, championing student interests and enhancing inclusivity within the University's governance structures.

By adhering to these governance and administrative structures, Alupe University aims to maintain **excellence** in its core functions of teaching, learning, research, and student support services.

### **3.2.2 Internal Business Processes**

Alupe University has focused on setting internal systems, procedures and control measures to ensure that the best standards in teaching, research and community service are achieved.

Academic excellence is driven by market-focused academic programmes, qualified teaching staff and continuous evaluation of teaching and research activities. The University is committed to providing necessary student services, including educational/career guidance and counselling, and mentorship aimed at fostering a conducive learning environment.

The research culture encourages faculty involvement in research that addresses societal challenges. Transparent and accountable financial management practices ensure prudence in the use of public financial resources.

AU values diversity and inclusivity and promotes cohesion in the community. Through community-based initiatives, the University contributes positively to society, addressing its needs and promoting sustainable development. However, the University will need to develop a Quality Management System (QMS) for its internal processes; work towards attaining International Standards Organization (ISO) certifications, and start other revenue streams in order to have adequate human and non-human resources to support the core functions.

### **3.2.3 Resource and Capabilities**

Alupe University thrives on a robust internal environment characterized by diverse resources and capabilities. These elements collectively support the University's mission of delivering high-quality education, fostering innovative research, and contributing to societal development. The institution is characterized by various resources and capabilities, including human resources; physical resources; financial resources; intellectual resources; reputation and brand; research and innovation; student services and support, and community and industry engagement.

### **3.2.4 Summary of Strengths and Weaknesses**

Based on the issues arising from the internal analysis, the following key strengths and weaknesses have been identified. These are summarized in table 3.2.

## **3.3 Stakeholder Analysis**

A stakeholder is an individual/group/entity with symbiotic relationship with the institution. Alupe University undertook a stakeholders' analysis. This enabled the understanding of each stakeholder, their role, their expectation of Alupe University and Alupe expectation of them. The analysis is presented in Table 3.3.

**Table 3.2: Summary of Strengths, Weaknesses and Strategic Responses**

Factor	Strengths	Weaknesses	Strategic Responses*
<b>Governance and administrative structures</b>	<ul style="list-style-type: none"> <li>(a) A well-defined governance structure which provides clarity in decision-making processes</li> <li>(b) Well-defined roles in the governance structures</li> <li>(c) A committed University council with public representation</li> <li>(d) Collegiality between members of Staffs and management</li> <li>(e) Stakeholders and partners' goodwill and support</li> <li>(f) Presence of a student body</li> <li>(g) Prudent financial management</li> <li>(h) Positive attitude of students and engaged employees</li> <li>(i) Student welfare and mentorship programmes</li> <li>(j) Timely completion of academic programmes</li> </ul>	<ul style="list-style-type: none"> <li>(a) Understaffing</li> <li>(b) Insufficient physical infrastructure</li> <li>(c) Limited ICT integration in services</li> </ul>	<ul style="list-style-type: none"> <li>(a) Recruitment of additional staff</li> <li>(b) Construction of new structures</li> <li>(c) ICT/Digitization and integration of services in management systems</li> </ul>
<b>Internal business processes</b>	<ul style="list-style-type: none"> <li>(a) Existence of sound operational policies and procedures</li> <li>(b) A quality assurance directorate that monitors operations</li> <li>(c) Tailored that respond to the needs of the community and region</li> <li>(d) A digital platform that enables students to register and track their mobility</li> <li>(e) Capacity building for members of staff to enhance skills acquisition and retention, growth and promotion</li> </ul>	<ul style="list-style-type: none"> <li>(a) Fewer linkages and partnerships locally and internationally</li> <li>(b) Bureaucratic processes in internal decision-making for students</li> </ul>	<ul style="list-style-type: none"> <li>(a) Enhance formal productive linkages and partnership</li> <li>(b) Use of digital technology in Internal processes</li> </ul>

<b>Resources and capabilities</b>	<ul style="list-style-type: none"> <li>(a) Availability of land</li> <li>(b) Capitation from the government</li> <li>(c) Skilled human resource (academic and administrative)</li> <li>(d) Established and accredited laboratories for training of students</li> <li>(e) Availability of modest physical infrastructure</li> <li>(f) Availability of ICT Infrastructure such as optic fiber</li> <li>(g) A robust security backed by a police post</li> <li>(h) Availability of approved master plan</li> <li>(i) Growing student and human resource base</li> <li>(j) Market driven and accredited curricula</li> <li>(k) Conducive and serene environment for learning</li> </ul>	<ul style="list-style-type: none"> <li>(a) Underutilized land due to challenges in funding</li> <li>(b) Inadequate staff</li> <li>(c) Diminishing funding from the exchequer for construction of hostels</li> <li>(d) Limited external sponsorships for needy students</li> <li>(e) A small and growing student population will put pressure on available resources</li> <li>(f) Inadequate ICT infrastructure to support service delivery making operations slow</li> <li>(g) A weak alumni association</li> </ul>	<ul style="list-style-type: none"> <li>(a) Engage in Public Private Partnerships to develop underutilized land</li> <li>(b) Conduct a skills audit and undertake appropriate recruitment and deployment</li> <li>(c) Collaborations and partnerships with hostel service providers</li> <li>(d) Linkages with private sponsoring organizations students</li> <li>(e) Engage in Public-Private Partnership (PPP) projects for expansion of resources</li> </ul>
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**Table 3.3: Stakeholder Analysis**

Stakeholders	Functional Relationship	Roles	Stakeholder Expectations	AU Expectations
<b>1. Students</b>	<b>Trainer-Trainee</b>	Primary beneficiaries of education and services provided by the University	<ul style="list-style-type: none"> <li>• Quality/Marketable and affordable programmes</li> <li>• Efficient and effective service delivery</li> <li>• Timely completion of programmes</li> <li>• Reasonable policies, rules and regulations</li> <li>• Adequate social amenities</li> <li>• Adequate sport and recreational facilities</li> <li>• Equality and fair treatment</li> </ul>	<ul style="list-style-type: none"> <li>• Prompt fee payment</li> <li>• Abide by rules and regulations</li> <li>• Excel in academic and extracurricular activities</li> <li>• Respect for authority, local community and other stakeholders</li> <li>• Uphold integrity</li> </ul>
<b>2. Staff</b>	<b>Employer-Employee</b>	Internal contributors to the organization's success, involved in day-to-day operations	<ul style="list-style-type: none"> <li>• Favourable terms and conditions of service</li> <li>• Conducive and safe working environment</li> <li>• Training and development opportunities</li> <li>• Equal and fair treatment</li> </ul>	<ul style="list-style-type: none"> <li>• Work performance according to job description</li> <li>• Creativity and innovation and productivity in research</li> </ul>

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				<ul style="list-style-type: none"> <li>• Adherence to the Code of Conduct</li> </ul>
<b>3. Government</b>	<b>Regulator</b>	Responsible for setting and enforcing regulations affecting the institution	<ul style="list-style-type: none"> <li>• Proper utilization and accountability for resources</li> <li>• Promotion of national cohesion</li> <li>• Implementation of relevant government policies and guidelines</li> <li>• Adequate resource mobilization for teaching and research</li> <li>• Delivery on the core mandate of the institution</li> </ul>	<ul style="list-style-type: none"> <li>• Timely and adequate funding</li> <li>• Technical support, cooperation and collaboration</li> <li>• Security</li> <li>• Student placement</li> <li>• Development of supportive policies</li> <li>• Consideration of research findings in policy development</li> </ul>
<b>4. Parents/ Guardians</b>	<b>Sponsor</b>	Support and guide the students	<ul style="list-style-type: none"> <li>• Quality and holistic education for their children</li> <li>• Timely completion of programmes</li> <li>• Quality service delivery</li> </ul>	<ul style="list-style-type: none"> <li>• Prompt fee payment</li> <li>• Full support of students</li> <li>• Nurturing good citizenship in the students</li> <li>• Cooperation</li> </ul>
<b>5. Industry</b>	<b>Collaborator</b>	Representing the collective interests of companies in a specific industry	<ul style="list-style-type: none"> <li>• Supply of competent human resources</li> <li>• Mounting of relevant programmes</li> <li>• Joint partnership in product development</li> <li>• New products/ideas/solutions</li> <li>• Research development and training</li> </ul>	<ul style="list-style-type: none"> <li>• Industrial attachment and internship opportunities</li> <li>• Increased employment opportunities</li> <li>• Linkages/partnerships and support programmes</li> <li>• Implementation of research findings</li> </ul>
<b>6. Research Institutions (KEMRI, KALRO, LAKE BASIN DEVELOPMENT PROJECT, ICIPE, NACOSTI)</b>	<b>Partners in research</b>	Conduct research	<ul style="list-style-type: none"> <li>• An enabling environment for research</li> <li>• Train quality researchers</li> <li>• Functional collaborations and partnerships</li> <li>• Generate new areas of research</li> <li>• Incorporate research finding into the curricula</li> </ul>	<ul style="list-style-type: none"> <li>• Dissemination of research findings</li> <li>• Research collaborations</li> <li>• Build capacities in research facilities and human resources</li> </ul>

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<b>7. Educational Institutions (Primary and Secondary Schools, TVETs, KMTC, TTCs, and Universities)</b>	<b>Partners in training</b>	To train students	<ul style="list-style-type: none"> <li>• Training and mentorship opportunities</li> <li>• Collaborations and partnerships</li> <li>• Building capacities</li> <li>• Develop market driven programmes</li> </ul>	<ul style="list-style-type: none"> <li>• Collaborations and partnerships e.g Teaching practice/ industrial attachment/ internship/ research</li> <li>• Nurturing disciplined and competitive candidates</li> </ul>
<b>8. Donors: National Research Fund (NRF)</b>	<b>Sponsorship for research</b>	To fund research and capacity building	<ul style="list-style-type: none"> <li>• Quality competitive proposals</li> <li>• Prudent utilization of funds</li> <li>• Dissemination of research findings</li> </ul>	<ul style="list-style-type: none"> <li>• Timely disbursement of funds</li> <li>• Transparency in declaration of their interest</li> </ul>
<b>9. Service providers: Suppliers of goods and services</b>	<b>Buyer and seller relationship</b>	To supply goods and services	<ul style="list-style-type: none"> <li>• Fairness in tendering</li> <li>• Timely payment for services rendered</li> <li>• Compliance with procurement rules and regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Timely delivery of quality goods and services</li> <li>• Compliance with procurement rules and regulations</li> </ul>
<b>10. Local Community</b>	<b>Neighbours</b>	To partner in fostering mutual development, progress and coexistence	<ul style="list-style-type: none"> <li>• Employment and business opportunities</li> <li>• Corporate Social Responsibility (CSR)</li> <li>• Provide training opportunities/outreach/awareness programmes</li> <li>• Mutual coexistence</li> </ul>	<ul style="list-style-type: none"> <li>• Goodwill and support</li> <li>• Collaborations and partnerships in, for example, research, security, and training</li> </ul>
<b>11. Chancellor</b>	<b>Patronage</b>	To mobilise resources and preside over graduation	<ul style="list-style-type: none"> <li>• Good corporate governance</li> <li>• Strategic focus</li> <li>• Compliance with statutory regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Visionary leadership</li> <li>• Networking</li> <li>• Conferment and award of degrees</li> <li>• Mobilise resources</li> </ul>
<b>12. Council</b>	<b>Governance</b>	Responsible for overseeing University's strategic direction and policies	<ul style="list-style-type: none"> <li>• Implementations of plans and policies</li> <li>• Prudent utilization of funds</li> <li>• Quality service delivery to stakeholders</li> <li>• Compliance to statutory regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Formulate policies and plans</li> <li>• Resource mobilization</li> <li>• Offer corporate leadership</li> <li>• Financial oversight</li> </ul>

### **3.4 Analysis of Past Performance**

Past performance was evaluated based on Strategic Plan objectives. The focus was on goals, Performance Achievements, and lessons learned.

#### **3.4.1 Key Achievements**

**Governance and Corporate Image:** The University successfully promoted its academic programmes through various channels, enhancing its visibility and reach. Significant improvements were made to the University's website, with 60% of the content added and improved, enhancing its digital presence. Quarterly performance contracting was established, ensuring regular evaluation and accountability. Additionally, existing policies on gender, disability, and drug and alcohol abuse were reviewed and aligned with the University's current status, promoting inclusivity and well-being.

**Quality Education and Training:** New learning facilities were constructed to accommodate the increasing number of students and meet the diverse needs of different schools. Industrial attachments and practicums were integrated into academic programmes, providing practical experience and enhancing employability. The extensive use of ICT in teaching and learning was notable, with 90% of lecturers utilizing technology to support blended learning, which was especially crucial during the COVID-19 pandemic. A comprehensive curriculum review and the development of new programmes were initiated following the University's Charter award in August 2023.

**Research and Extension:** A research and development policy was established, and the University signed MOUs and collaborations agreements with other institutions, fostering a collaborative research environment. Workshops on grant proposal writing were conducted, equipping staff with the skills to secure research funding.

**Physical and Virtual Infrastructure:** The University implemented a WAN, linking the institution with a fiber-optic cable and significantly enhancing its connectivity. The AU-Integrated Management Information System (IMIS) was established for human resources and finance, streamlining administrative processes.

**Income-Generating Projects:** A funeral home was constructed and one partnership for resource mobilization established, demonstrating the University's efforts to diversify income sources.

#### **3.4.2 Challenges**

**Governance and Corporate Image:** The absence of a formal public relations (PR) policy and community partnerships hindered the University's ability to manage its public image and engage with the community effectively. There was a lack of major CSR projects and no anti-corruption policy in place, which could impact the University's reputation and integrity.

Additionally, the absence of ISO QMS and ISO sensitization workshops limited the University's ability to maintain high-quality standards.

**Quality Education and Training:** The lack of a guidance and counselling manual meant that students could not access structured support services. The absence of a unique AU document on affirmative action could affect the University's efforts to promote inclusivity. Low employee promotion rates (17%) and a turnover rate of 8.9% indicated challenges in staff retention and career progression. There was also insufficient information on staff training workshops and refresher courses, hindering professional development.

**Research and Extension:** There was no research conducted on technology or technology transfers, limiting the University's innovation and application of new technologies. The absence of workshops and seminars on intellectual property meant that staff were not adequately informed about protecting and commercializing their research outputs.

**Physical and Virtual Infrastructure:** The pending approval of the ICT policy by the Senate delayed the formalization of ICT governance. The limited development of e-learning materials, with only 20% completed, hindered the expansion of the University's virtual learning environment.

**Income Generating Projects:** The delay in operationalizing the funeral home meant that it could not yet contribute to income generation. Insufficient partnerships for resource mobilization limited the University's ability to secure additional funding. The lack of a business centre and a limited number of self-sponsored students indicated missed opportunities for revenue generation.

### **3.4.3 Lessons Learnt**

**Governance and Corporate Image:** Formalizing PR policies and community partnerships is essential for effective stakeholder engagement and public image management. Developing major CSR projects is crucial for demonstrating the University's commitment to social responsibility. Establishing an anti-corruption policy can improve governance and enhance trust. Conducting ISO QMS and ISO sensitization workshops is necessary to maintain high-quality standards.

**Quality Education and Training:** Developing a guidance and counseling manual is vital for providing structured support services to students. Creating a unique document on affirmative action can enhance inclusivity and ensure equal opportunities for all students. Increasing employee promotion rates can improve staff morale and retention. Tracking and publicizing staff training activities highlight the University's commitment to professional development.



**Research and Extension:** Prioritizing research on technology and technology transfers is necessary to foster innovation and practical application of research findings. Conducting intellectual property workshops and seminars can enhance staff professionalism and innovation.

**Physical and Virtual Infrastructure:** Fast-tracking the approval of the ICT policy is critical for formalizing ICT governance and enhancing the University's technological infrastructure. Expanding the development of e-learning materials is essential to enhancing the virtual learning environment and supporting remote education.

**Income-Generating Projects:** A completed funeral home's operationalization can generate significant income for the University. Increasing partnerships for resource mobilization is vital to securing additional funding and diversifying income sources. Establishing a business centre can provide extra income streams and support entrepreneurial activities. Attracting more self-sponsored students can boost revenue and enhance the University's financial stability.

## **CHAPTER FOUR: STRATEGIC ISSUES, GOALS AND KEY RESULT AREAS**

This chapter underscores the urgent need for the University to address strategic issues promptly and effectively to realize its mission and vision. The desired goals for addressing these strategic issues have also been outlined. Finally, the Key Result Areas, which are the focal points of the strategic planning process and have been derived from the University's comprehensive strategic situational analysis, are presented.

### **4.1 Strategic issues**

The strategic issues are the fundamental policy choices, critical challenges, gaps, and opportunities to be addressed in a plan period. To derive the strategic issues, Alupe University, in its review of the situational analysis, identified the following foundational elements, which inform the strategic issues presented in Table 4.1.

The core mandate of Alupe University encompasses teaching, research and extension. Teaching and learning outcomes anticipate improved quality and delivery of teaching and learning programmes. These programmes aim to produce graduates who are not only competitive locally but also on a global scale. This will be achieved by strategically enhancing the quality and delivery of academic programmes in compliance with all regulatory requirements on University education.

#### **4.1.1 Quality Education and Training**

Kenyan universities face many challenges that impede the delivery of quality education and training. As institutions that serve as the bedrock for the nation's intellectual and professional development, these universities are expected to meet high standards of academic excellence, innovation, and societal contribution. However, several systemic and operational issues undermine their ability to fulfil this mandate effectively.

One of the most pressing issues at Alupe University is the inadequacy of its physical and digital infrastructure. Insufficient lecture halls and room limits the desired student numbers, which are ideal for programme sustainability. The digital infrastructure cannot support high-speed internet on campus, limiting the effective integration of digital technologies in teaching and learning. Additionally, academic staff need to be in the right numbers and quality. To attain the University Vision, hiring more academic staff and continuously enhancing some existing academic staff will be crucial.

While the CUE sets accreditation and quality assurance standards, implementation and enforcement of these standards vary widely among institutions. Some academic programmes fall short of complying with regulatory requirements, leading to disparities in educational quality. Alupe University needs to develop quality academic programmes to attain its vision. The University's quality assurance directorate must focus on academic programme review and development.

#### **4.1.2 Research, Innovation and Monetization**

Alupe University aims to enhance its research capabilities by fostering innovation and translating research findings into commercially-viable products and services. To achieve this, the University focuses on three key areas: partnerships and linkages, research infrastructure and climate action.

Alupe University emphasizes building robust partnerships with industry, government, and research entities to leverage on expertise and funding for joint research projects. These collaborations enhance practical learning opportunities and support innovation across disciplines.

Investing in state-of-the-art innovation hubs and incubators will provide the necessary tools and support for developing and commercializing research findings. This infrastructure fosters a conducive environment for creativity and accelerates the transition of ideas into impactful products and services.

The University integrates climate action into its strategic initiatives by promoting research in renewable energy and sustainable technologies. It supports sustainable agricultural practices and incorporates climate resilience into its curriculum to foster environmental stewardship and societal impact.

#### **4.1.3 Governance and Leadership**

Governance provides the framework, oversight, and accountability necessary for effective decision-making and strategy execution. Leadership impacts strategic management processes; it mainly determines the institution's vision and mission. Moreover, it enables the institution to execute effective strategies toward the realization of its vision.

#### **4.1.4 Institutional Capacity**

Building capacity for AU at the institutional level involves creating mechanisms to infuse knowledge into the external environment and ensuring that sufficient access points, enabling mechanisms, and facilitators are in place to engage with stakeholders. However, the critical question remains: How can the institution develop instruments to stimulate a pull for the knowledge products it develops?

#### **4.1.5 Student Welfare**

Students are the main stakeholders of Alupe University and are considered the main customers for all the services provided by Alupe University. Alupe University, therefore, strives to ensure that the University provides them with the best services in teaching, research, and community services. However, welfare is also an essential aspect of their life at the University. Through the Dean of Students' office and University Counsellor, the students are provided with services that ensure that they have and uphold the best mental

health at all times. They are counselled against drug and substance abuse. The goal of student welfare is to minimize the student turnover to as low a level as possible.

#### 4.2 Strategic Goals

Alupe University acknowledges that to effectively tackle the strategic issues identified for the 2024-2028 Strategic Plan, it must clearly define its goals. Goals were formulated based on the strategic issues outlined in Table 4.1.

#### 4.3 Key Result Areas

The Key Result Areas serve as the foundational pillars of this Plan and have been established through thorough analysis. Each key result area is detailed as follows and summarized in Table 4.1.

**Table 4.1: Strategic Issues, Goals and Key Result Areas**

Strategic issues	Goals	KRA
<b>Quality Education &amp; Training</b>	Improve the quality of education and training	KRA 1.1 – Infrastructure Development KRA 1.2 – Staffing KRA 1.3 – Quality Assurance
<b>Research, Innovation and Monetization</b>	Strengthen capacity for research, innovation and climate action	KRA 2.1 – Research Infrastructure KRA 2.2 – Partnerships & Linkages KRA 2.3 – Climate Action
<b>Governance and Leadership</b>	Enhance governance and leadership	KRA 3.1 – Engagement & Communication KRA 3.2 – Diversity & Inclusion KRA 3.3 – Financial Stewardship
<b>Institutional Capacity &amp; Resource Mobilization</b>	Strengthen institutional capacity	KRA 4.1 – Certification KRA 4.2 – Branding & Visibility KRA 4.3 – Financial Sustainability & Resource Management
<b>Student Academic and Social Welfare/Support</b>	Establish adequate and appropriate student support systems	KRA 5.1 – Mental Health KRA 5.2 – Alcohol and Drug Abuse KRA 5.3 - Mentorship and counselling

## **Quality Education and Training**

### **KRA 1.1: Infrastructure Development**

Alupe University recognizes the value of infrastructure in contributing to quality teaching and learning. The KRA will focus on improving the quality of University academic programmes by generating a conducive learning environment. The University will address this KRA by installing solar panels and energy-efficient lighting across campus buildings; implementing campus-wide Wi-Fi upgrades and intelligent classroom technology; creating bike-sharing and electric vehicle charging stations; renovating existing classrooms to include modern AV equipment and flexible seating; constructing new residence halls with modern amenities and communal spaces; expanding digital library resources and databases; creating community centres and event spaces for public engagement; constructing physical facilities, including laboratories, libraries, lecture halls and student accommodation significantly to enable teaching and learning; improving digital infrastructure to enhance students' and teaching staff's access to local and global academic resources, and integrating modern educational tools in teaching and learning to facilitate contemporary trends in various academic programmes being tracked and infused into learning experiences, especially as the Competency-Based Curriculum (CBC) gets rolled out.

### **KRA 1.2: Staffing**

Staffing issues, if not properly monitored and addressed, may compromise the University's teaching quality. Alupe University realizes the importance of filling critical teaching staff gaps with quality staff and enhancing the development of existing staff to recommended CUE standards. The University will achieve this KRA by conducting thorough workforce planning and analysis to identify current staffing needs and future requirements, and creating a strategic recruitment plan that includes diverse recruitment channels, timelines, and outreach efforts; developing clear and comprehensive job descriptions for all academic and administrative positions; ; advertising job openings through various platforms such as the University website, job boards, professional associations, and social media; establishing a systematic process for reviewing and screening job applications, including the use of applicant tracking systems (ATS); conducting structured interviews and selection processes, including panel interviews, teaching demonstrations for faculty, and practical assessments; performing thorough reference checks and background screening for shortlisted candidates; establishing continuous professional development and training programmes to enhance the skills and competencies of faculty and other staff; using data analytics to monitor staffing metrics such as turnover rates, time-to-hire, and employee engagement.

### **KRA 1.3: Quality Assurance**

The Quality Assurance KRA focuses on enhancing activities within the institution through the following initiatives: strengthening the Quality Assurance Committee comprising faculty,

other staff, students, and external stakeholders; improving the quality assurance framework that outlines standards, policies, and procedures; organizing training sessions and workshops for faculty and other staff on quality assurance principles and practices; reinforcing regular internal audits and self-evaluations of academic and administrative departments; establishing specific Key Performance Indicators (KPIs) to measure the performance of various educational programmes and administrative functions; collecting feedback from students, alumni, employers, and other stakeholders through surveys, focus groups, and interviews; engaging external experts to conduct peer reviews of academic and administrative functions; ensuring all educational programmes and University operations comply with national and international accreditation standards; developing and implementing action plans based on audit findings, feedback, and review recommendations; publishing an annual quality assurance report that summarizes activities, findings, and improvements made over the year.

### ***Research, Innovation and Monetization***

#### **KRA 2.1: Partnerships and Linkages**

The Partnerships and Linkages KRA enables the University to bolster its efforts in research, innovation, and commercialization. The commitment to achieving this involves initiating strategic collaborations; fostering networking opportunities; promoting interdisciplinary research initiatives; facilitating practical experience for students, and securing funding from various sources. These actions are designed to enhance Alupe University's capacity to engage in collaborative research projects; share knowledge across sectors; cultivate innovative solutions; provide hands-on learning experiences, and ensure sustainable financial support for its endeavours. Through these strategic initiatives, the University aims to advance its research capacity and drive meaningful innovation that benefits both academia and society at large.

#### **KRA 2.2: Research Infrastructure**

Investing in state-of-the-art research infrastructure is crucial for advancing Alupe University's research, innovation, and commercialization goals. To achieve this, the University will work to set up a centre of excellence for emerging and reemerging infectious diseases, including neglected tropical diseases; develop a semi-autonomous arm of the University as a focal and coordination point for research, innovation and commercialization within the University. This will be equipped with the necessary tools and resources to support the development of new ideas, including providing mentorship and support services to help innovators bring their ideas to the market, and establish mechanisms for protecting intellectual property rights and create a technology transfer office to oversee the commercialization process. The University will organize workshops, seminars, and training sessions to enhance research knowledge and skills among faculty and students, fostering a culture of innovation and continuous learning. Furthermore, Alupe University will actively seek funding opportunities, collaborate with

industry partners, and establish research partnerships to ensure the sustainability and growth of its research infrastructure. By undertaking these activities, the University aims to create a robust environment that supports high-quality research and drives economic growth and societal development.

**KRA 2.3: Climate Action**

Alupe University is committed to embedding climate action within its innovation and commercialization strategies. To achieve this, the institution will encourage research in renewable energy and set up research centres dedicated to solar, wind, and bioenergy technologies. The University will also focus on developing sustainable technologies and practices, supporting sustainable agricultural methods such as precision farming, organic farming, and agroforestry. Additionally, Alupe University plans to enhance its climate action efforts by establishing innovation hubs and incubators specializing in green technologies. Climate action and sustainability topics will be integrated into the curriculum across various disciplines to ensure thorough education and training in sustainable practices. Through these initiatives, Alupe University aims to significantly contribute to addressing climate change, promoting sustainability, and nurturing a culture of environmental responsibility within the University and the wider community.

***Governance and Leadership***

**KRA 3.1: Engagement and communication**

In an institution, precise and effective engagement and communication from leadership offers many benefits to employers and employees. One is that it keeps employees aware of individual and organizational goals. When workers understand what is expected of them, they are likely to be able to deliver the desired results, which can help increase job satisfaction, improve morale, and boost workers' confidence. In AU, strong leadership communication will help ensure team members are aware of organizational challenges and opportunities, allowing them to make more informed decisions.

**KRA 3.2: Diversity and Inclusion**

Diversity and inclusion are essential principles in governance and leadership within universities, as they contribute to a more equitable and supportive environment for all University community members. AU will endeavor to ensure diversity in its governance structures, including boards, committees and other decision-making organs. This shall include diversity in gender, ethnicity, disability, socio-economic backgrounds as well as other critical dimensions. Further, AU will strive to engage with diverse communities, both within and outside the University, to establish partnerships, support collaborative initiatives, and promote inclusivity in the broader society. The University will actively recruit and promote diverse candidates into leadership positions at all levels, including the diverse student body

and workforce. It will also strive to bring diversity in decision-making processes as stipulated in Article 27 of the Constitution of Kenya 2010.

**KRA 3.3: Financial sustainability and resource management**

Financial Stewardship is central to Alupe University's unwavering commitment to responsible financial management and the optimal use of resources. By prioritizing financial stewardship, AU reinforces its mission and vision, cultivating a culture of accountability, transparency, and sustainable financial practices. The university is dedicated to bolstering financial accountability and transparency, streamlining budgetary processes, maximizing resource allocation and utilization, building long-term financial resilience, upholding ethical financial practices, and actively engaging stakeholders in financial planning. The ultimate goal is to fortify AU's financial foundation, ensuring the institution can meet its current obligations and achieve its future ambitions.

***Institutional Capacity and Resource Mobilization***

**KRA 4.1: Certifications**

Certification in higher education, training and research is adopted to improve internal processes. Certifications are globally recognized as marks of quality management practices awarded to organizations that meet relevant standards for quality management, ensuring that they operate efficiently and effectively. For AU, obtaining certifications will be particularly important in demonstrating its resolve to deliver quality education and training.

Certifications are awarded to organizations that meet specific quality management standards created by the relevant institutions such as the ISO. The ISO develops and publishes international standards for various industries and sectors. Several ISO certifications can be particularly useful for educational and training institutions to demonstrate a commitment to quality education and training.

**KRA 4.2: Branding and Visibility**

Higher education branding is a strategy that impacts a wide range of potential students. An institution could stand out among its peers and attract potential applicants by employing strong branding and marketing strategies, which means that AU can invest in branding strategies that match its cultures and values to attract the desired target market (students). AU's strategic objectives could be supported by branding. The brand can reflect the overall vision. Brand identity could be used effectively to promote AU's success in line with the mandate. AU will align its branding efforts with the broader strategic goals, such as enhancing academic quality. Doing this can ensure that the branding efforts contribute to their overall success and sustainability.

**KRA 4.3: Financial Sustainability & Resource Management**

Financial sustainability and resource management are key to a university, ensuring it can meet its mission effectively over the long term. One area of ensuring this is diversification of



revenue streams through identifying and cultivating diverse revenue sources over and above tuition income, including research grants, donations and industry partnerships; employing cost optimization and efficiency; enhancement of financial governance; resource mobilization and fundraising; investment in infrastructure and technology; and risk management and contingency planning. This will reduce dependency on one source of revenue.

### ***Student Academic and Social Welfare/Support***

#### **KRA 5.1: Mental Health**

Mental health is an emerging issue among the youth locally, regionally and globally. The Kenya government has reported high levels of anxiety and depression among Kenyan University students. This has caused most of the students to leave University education and not achieve their potential. Alupe University aims to address these challenges by introducing co-curricular activities; establishing a student wellness centre at the student centre and a University hospital, and introducing talk and counselling sessions by the University counsellor, among other mitigation measures.

#### **KRA 5.2: Alcohol and Drug Abuse**

Drug and substance abuse is a significant problem among the youth, particularly among University students in Kenya. The National Authority for the Campaign against Alcohol and Drug Abuse (NACADA) reports a prevalence rate of about 38.7% nationally among undergraduate students. Alupe University exists within this space and will strive to strengthen measures that reduce cases of drug and substance abuse through seminars and student counselling, and by supporting students' co-curricular activities besides their engagement in academic activities. Sensitization against drug and substance abuse will also be done in collaboration with NACADA. Moreover, developing a drug and substance abuse policy for Alupe University will help promote confidence and morale, reduce absenteeism and improve productivity and efficiency among staff and students by creating an alcohol- and drug--abuse-free environment. Furthermore, the University will promote, for staff and students, programmes of education and awareness on alcohol and drug abuse, and available treatment resources.

#### **KRA 5.3: Mentorship and counseling**

Mentorship is vital in nurturing future leaders and enhancing the students' capacity. AU strives to churn out competitive graduates locally, regionally and globally. By this, AU will be able to provide academic mentorship; support and supervision of student research and other academic activities, including academic writing and originality; extra-class (outside class-time) academic support; academic group activities; faculty coaching on preparations for and taking of examinations. Besides academic support AU will strive that the students receive all relevant career guidance needed to traverse the job markets present locally and internationally. AU's curricula are structured to ensure that the students are mentored to be researchers and leaders in their areas of specialization. The competencies of the staff are

core areas of emphasis for AU. Each student is, therefore, attached to a specific faculty staff for mentorship and guidance throughout their stay at the University. Moreover, students of AU are mentored to acquire the right social and professional etiquette to help them operate and grow within their professional spaces.

## **CHAPTER FIVE: STRATEGIC OBJECTIVES AND STRATEGIES**

Chapter Five delineates the strategic objectives and corresponding strategies designed to guide the University towards achieving its mission and vision over the next five years. The chapter provides a roadmap for the institution's development, ensuring that all efforts are aligned with the overarching goals of academic excellence, innovative research, community engagement, and sustainable development.

In developing these strategic objectives, the University has comprehensively analysed its internal strengths and weaknesses and external opportunities and threats. This strategic assessment has been instrumental in identifying key priority areas that require focused attention and resource allocation. Each strategic objective is crafted to address specific challenges and leverage opportunities, thus positioning Alupe University as a leading institution of higher learning in Kenya and beyond.

### **5.1 Performance Projections**

Before formulating objectives, AU provided 5-year projections for the determined KRAs (Table 5.1). The projections should be informed by realistic achievements under the prevailing circumstances on an annual basis. The strategies outlined in this chapter are actionable plans that detail the steps necessary to achieve the strategic objectives. They encompass a broad range of initiatives, from enhancing the quality of education and expanding research capabilities to improving infrastructure and fostering partnerships. These strategies are designed to be dynamic and adaptable, allowing the University to respond effectively to emerging trends and changes in the higher education landscape.

This chapter provides a framework which will ensure that Alupe University's strategic initiatives are implemented effectively, monitored regularly, and evaluated rigorously by setting clear and measurable targets and outlining precise actions. This structured approach is vital for driving continuous improvement, ensuring accountability, and achieving the ambitious goals in the Strategic Plan.

**Table 5.1: Resource Projections for the KRAs**

Cost Item	Projected Resource Requirements for Implementing (KES (Millions))				
	Year 1	Year 2	Year 3	Year 4	Year 5
KRA 1.1	257.6	711.5	366.5	542.5	510.5
KRA 1.2	2.2	3.4	2.4	2.4	2.4
KRA 1.3	0.5	0.5	0.5	0.5	0.5
KRA 2.1	1.3	1.1	23.1	3.4	3.1
KRA 2.2	3.3	2.2	24.2	4.3	4.1
KRA 2.3	0.5	1	0.5	0.8	0.5
KRA 3.1	0.2	0.5	0	0.5	1.2
KRA 3.2	0.4	0.4	0.4	0.4	0.4
KRA 3.3	2	2.3	2	2.3	2
KRA 4.1	2.2	2.2	2.2	2.2	2.2
KRA 4.2	7.2	4	2	2	2
KRA 4.3	1	7.7	1.2	10.2	1.2
KRA 5.1	0.5	0.5	0.5	0.5	0.5
KRA 5.2	0	0.1	0	0.1	0
KRA 5.3	0	0.1	0	0.1	0

## 5.2 Strategic Objectives

Strategic Objectives play a crucial role in outlining the specific goals that the University aims to achieve over the next five years. These strategic objectives are derived from a thorough analysis of the University’s current status and future aspirations, serving as the foundational pillars upon which the entire Strategic Plan is built.

The strategic objectives are formulated to address critical areas that will drive the University’s growth and enhance its performance across various dimensions. These objectives are not only aligned with the University’s mission and vision but also reflect the institution's core values and priorities. They encompass a wide range of areas, including academic excellence, research innovation, community engagement, infrastructural development, and sustainability. Table 5.2 shows Key Result Areas, strategic objectives and strategies.

## 5.3 Strategic Choices

Strategic choices are informed by a comprehensive evaluation of the internal and external environments, including an analysis of strengths, weaknesses, opportunities, and threats (SWOT). This rigorous assessment ensures that the chosen strategies are not only aligned

with Alupe University's mission and vision but are also practical and feasible within the current and anticipated contexts.

The strategic choices are presented with a focus on their anticipated impact and alignment with the University's long-term goals. The process involves prioritizing initiatives that offer the highest potential for advancing the University's objectives, while also considering resource availability, stakeholder expectations, and potential risks.

**Table 5.2: Strategic Objectives and Strategies**

KRA	Strategic Objective(s)	Strategies
<b>KRA 1.1 Infrastructure development</b>	<b>SO 1:</b> To enhance the quality and quantity of infrastructural facilities in the University	<ol style="list-style-type: none"> <li>1. Construct additional infrastructures</li> <li>2. Expand teaching and learning equipment</li> <li>3. Promote quality operations and maintenance</li> </ol>
	<b>SO 1.2:</b> To integrate ICT into the University's systems and operations	<ol style="list-style-type: none"> <li>1. Acquire and maintain ICT infrastructure</li> <li>2. Upgrade ICT Infrastructure</li> <li>3. Construct a modern gate, perimeter wall and security system (closed circuit television (CCTV))</li> </ol>
<b>KRA 1.2 Staffing</b>	<b>SO 1.3:</b> To attract and retain qualified personnel	<ol style="list-style-type: none"> <li>1. Develop a comprehensive recruitment plan to attract qualified personnel</li> <li>2. Enhance staff welfare</li> </ol>
	<b>SO 1.4:</b> To optimize staff performance and development	<ol style="list-style-type: none"> <li>1. Review and automate performance management system</li> <li>2. Provide continuous training and development opportunities to enhance skills and competencies</li> <li>3. Foster a culture of recognition of performance within the workforce</li> </ol>
	<b>SO 1.5:</b> To ensure compliance and fair practices	<ol style="list-style-type: none"> <li>1. Maintain compliance with labour laws, regulations, and University policies</li> <li>2. Regularly review and update human resources policy to align with best practices</li> </ol>
	<b>SO 1.6:</b> To ensure compliance with academic and regulatory standards	<ol style="list-style-type: none"> <li>1. Conduct scheduled Quality Assurance (QA) audits and inspections</li> <li>2. Establish mechanisms for continuous improvement</li> </ol>
<b>KRA 2.1 Research Infrastructure</b>	<b>SO 2.1:</b> To enhance research facilities and equipment	<ol style="list-style-type: none"> <li>1. Initiate mechanisms for Research and Development (R&amp;D) collaboration and linkages</li> </ol>

			<ol style="list-style-type: none"> <li>2. Promote the use of research results in technology development and transfer</li> <li>3. Adopt policy on intellectual property rights</li> <li>4. Establish and operationalize incubation centre</li> <li>5. Implement research extension/outreach services</li> </ol>
<b>KRA 2.2</b> <b>Partnerships &amp; Linkages</b>	<b>SO 2.2:</b> To establish strategic partnerships with industry and academia		<ol style="list-style-type: none"> <li>1. Develop partnership MOUs with relevant institutions</li> <li>2. Participate in joint events</li> </ol>
<b>KRA 3: Climate action</b>	<b>SO 2.3:</b> To initiate and advocate for sustainable climate solutions		<ol style="list-style-type: none"> <li>1. Develop tree nurseries</li> <li>2. Climate education, climate-related research and renewable energy and green technologies</li> </ol>
<b>KRA 3.1</b> <b>Engagement &amp; Communication</b>	<b>SO 3.1:</b> To improve stakeholder engagement		<ol style="list-style-type: none"> <li>1. Develop and implement a communication policy</li> <li>2. Utilize digital platforms for engagement</li> </ol>
<b>KRA 3.2</b> <b>Diversity &amp; Inclusion</b>	<b>SO 3.2:</b> To foster inclusive practices		<ol style="list-style-type: none"> <li>1. Assessment of diversity and inclusivity practices, policy and structure of AU</li> <li>2. Celebrate cultural diversity and awareness</li> </ol>
<b>KRA 3.3</b> <b>Financial Sustainability &amp; Resource Management</b>	<b>SO 3.3:</b> To ensure prudent financial management and optimal use of resources		<ol style="list-style-type: none"> <li>1. Develop a sustainable financial plan</li> <li>2. Diversify revenue streams</li> <li>3. Monitor and control expenses</li> </ol>
	<b>SO 3.4:</b> To optimize resource allocation		<ol style="list-style-type: none"> <li>1. Implement resource allocation strategies</li> <li>2. Conduct regular resource audits</li> </ol>
<b>KRA 4.1</b> <b>Certifications</b>	<b>SO 4.1:</b> To obtain and maintain relevant certifications		<ol style="list-style-type: none"> <li>1. Acquire relevant certifications</li> <li>2. Prepare for certification audits</li> </ol>
<b>KRA 4.2</b> <b>Branding and Visibility</b>	<b>SO 4.2:</b> To increase visibility and reputation		<ol style="list-style-type: none"> <li>1. Develop public relations policy</li> <li>2. Develop and strengthen public relations function</li> <li>3. Brand and market University programmes, services and products</li> <li>4. Improve AU website content and enhance hosting system</li> <li>5. Initiate CSR activities</li> </ol>

<b>KRA 4.3</b> <b>Financial sustainability and resource management</b>	<b>SO 4.3:</b> To enhance capacity building in resource mobilization	<ol style="list-style-type: none"> <li>1. Enhance capacity for grants writing</li> <li>2. Enhanced enrolment of self-sponsored students</li> <li>3. Income-generating activities/units.</li> </ol>
<b>KRA 5.1 Mental Health</b>	<b>SO 5.1:</b> To promote mental health awareness and support	<ol style="list-style-type: none"> <li>1. Organize mental health workshops and seminars,</li> <li>2. Promote affirmative action for students</li> </ol>
<b>KRA 5.2 Alcohol and Drug Abuse</b>	<b>SO 5.2:</b> To reduce the prevalence of alcohol and drug abuse	<ol style="list-style-type: none"> <li>1. Implement preventive education initiatives</li> </ol>
<b>KRA 5.3 Mentorship and Counseling</b>	<b>SO 5.3:</b> To enhance counseling services	<ol style="list-style-type: none"> <li>1. Training for mentors and enhancing staff component and competence</li> </ol>

## **CHAPTER SIX: IMPLEMENTATION AND COORDINATION FRAMEWORK**

Chapter Six focuses on the Implementation and Coordination Framework, a crucial component that ensures the strategic objectives and strategies outlined in the previous chapters are effectively translated into actionable plans and tangible results. This chapter provides a detailed roadmap for the execution, monitoring, and evaluation of the Strategic Plan, ensuring that all initiatives are carried out systematically and efficiently.

### **6.1 Implementation Plan**

AU's implementation plan is a comprehensive blueprint for translating our strategic goals into specific and actionable tasks. It ensures that every initiative is systematically addressed and monitored, leaving no room for oversight. The plan breaks down the broad strategic objectives into manageable projects and activities, assigning clear responsibilities and deadlines to ensure accountability and progress. By specifying who will do what, when, and how, the plan provides a structured approach to achieving the University's strategic aims. This detailed planning ensures that resources are allocated efficiently, potential obstacles are anticipated, and milestones are tracked, giving us the confidence that we are on the right path to achieving our strategic objectives.

Key components of the implementation plan include:

- **Task Breakdown:** Detailed descriptions of the tasks required to achieve each strategic objective
- **Responsibility Assignment:** Clear designation of roles and responsibilities for each task, ensuring accountability at all levels
- **Timelines:** Specific deadlines and milestones to keep the implementation on track and facilitate timely progress reviews
- **Resource Allocation:** Identification and provision of necessary resources, including financial, human, and technological assets
- **Monitoring and Evaluation Mechanisms:** Procedures for tracking progress, evaluating outcomes, and making necessary adjustments to stay aligned with strategic goals.

By establishing a comprehensive implementation plan, Alupe University ensures that the Strategic Plan is actionable and results-oriented. This structured approach not only facilitates the efficient execution of initiatives but also enables continuous improvement through regular monitoring and feedback. Through this detailed plan, the University demonstrates its commitment to achieving its vision of becoming a center of excellence in education, research, and community service.



### **6.1.1 Action Plan**

The Action Plan is the operational core of the strategic framework, translating high-level strategies into concrete and executable actions. AU's Action Plan provides a detailed, step-by-step guide to achieving the University's goals, ensuring that every strategic objective is accompanied by a series of targeted actions. Each action is carefully designed to address specific priorities, with clear timelines, assigned responsibilities, and necessary resources. This granular approach ensures that all aspects of the Strategic Plan are systematically addressed, facilitating smooth execution and timely progress.

Key elements of the Action Plan include:

- **Detailed Initiatives:** Specific initiatives and projects that align with the strategic objectives.
- **Responsibility Assignment:** Designation of individuals or teams responsible for each action, ensuring accountability.
- **Timelines and Milestones:** Clearly defined schedules and key milestones to track progress and ensure timely completion.
- **Resource Requirements:** Identification of the resources needed for each action, including financial, human, and material resources.
- **Performance Indicators:** KPIs to measure the success of each action and provide benchmarks for evaluation.

By detailing these elements, the Action Plan ensures that every strategic objective is supported by a clear path to implementation. This structured approach not only enhances the efficiency and effectiveness of the University's strategic initiatives but also provides a framework for monitoring and evaluation. Through the Action Plan, Alupe University commits to a disciplined and proactive approach to achieving its mission, fostering a culture of accountability, transparency, and continuous improvement. Table 6.1 shows the action plan implementation matrix.

**Table 6.1: Action Plan Implementation Matrix**

Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES (Million))					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
<b>Strategic Issue: Quality Education &amp; Training</b>																
<b>Strategic Goal: Improve quality of education and training</b>																
<b>Key Result Area: Infrastructure Development</b>																
<b>Outcome: Quality Education and Training</b>																
<b>Strategic Objective 1.1: To enhance the quality and quantity of infrastructural facilities</b>																
Construct additional infrastructures	Construct modern teaching and referral hospital	Complete teaching and referral hospital	% Completion	20%				10%	10%				50	50	DVC (AFD)	MoE, The National Treasury and Public Works, HR, Central Services
	Tendering for teaching and referral hospital	Complete tender for teaching and referral hospital	Tender document for teaching and referral hospital	1	1							1.5			DVC (AFD)	Procurement office
	Construction of		Completion certificate	One 500 valued	50%	50%				250million	250million				DVC (AFD)	Procurement,

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	Tuition block	Complete tuition block		tuition block													Development, finance
	Tendering for Phase 2 library	Complete tender document	Tender document	1	1					0.3						DVC (AFD)	Procurement office
	Construction of Library Phase II	Complete 2 <sup>nd</sup> Phase	Completion certificate	One 400 valued library phase 2				50%	50%				200 million	200 million		DVC (AFD)	Procurement, Development, Finance
	Construction of science laboratory	Commissioned Science labs	Completion certificate	One 200 million valued science lab block	100%						200 million					DVC (AFD)	Procurement, Development, Finance
	Construction of skills labs (Studio, language lab, micro teaching, teaching and training room/workshops)	Commissioned skills labs	Completion certificate	One 100 million valued Skills block		100%						100 million				DVC (AFD)	Procurement, Development, Finance

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	and an animal house for experimental research and teaching.																Development, Finance
Expand teaching and learning equipment	Equip the Lecture Theater	Completed with facilities	Completion certificate	10 million		25%	25%	25%	25%		2.5	5	2.5	2.5			
	Equip the labs and workshops	Equipped labs and workshops	Completion certificate	10 Million	10%	30%	20%	20%	20%	1	3	2	2	2	DVC (AFD)	Estate Department Staff	
Promote quality in operations and maintenance	Repair and maintain	Well-maintained facilities	Percentage of facilities in good condition	10 million	100%	100%	100%	100%	100%	2	2	2	2	2	DVC (AFD)	Estate Department Staff	
Strategic Objective 1.2: To integrate ICT in the University's systems and operations																	

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Upgrade ICT infrastructure	Upgraded network bandwidth/access from current 200 MBPS and operational systems (LMS & ERP)	Signal strength/coverage	Improved connectivity	Upgrade to 700MBPS	100 MBPS	100 MBPS	100 MBPS	100 MBPS	100 MBPS	4	4	4	4	4	DVC (AFD)	ICT Office
		Efficient operational system	Functional operational system													
Construct a modern gate, perimeter wall and security system (CCTV)	Acquire electronic teaching and learning devices	Availability of Electronic devices for teaching and learning	Number of acquired electronic devices for teaching and learning	50%		50	25	25				2	2		DVC (AFD)	Procurement
	Tendering for the gate and perimeter wall	Complete tender document	Tender document	1	1					0.3					DVC (AFD)	Procurement office

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	Construction of perimeter wall	Complete perimeter wall	Completion certificate	One 500 million valued perimeter wall	100 %								250 million	250 million	DVC (AFD)	Development office and
																AU Council.
	Construction of modern gate and installation of security system in the institution	Complete gate	Completion certificate	30 million valued gate and institutional security system	100 %								30 million		DVC (AFD)	Development office and
																AU Council.
	Students hostel	Complete hostel	Completion certificate	1 billion valued hostel	100 %							250	250		DVC (AFD)	Treasury, Development office

Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
Strategic Issue: Quality Education & Training																
Strategic Goal: Improve quality of education and training																
Key Result Area: Staffing																
Outcome: skilled staff																
Strategic Objective 1.3: Attract and retain qualified personnel																

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Develop a comprehensive recruitment plan to attract qualified personnel	Promote and recruit additional employees	Number of employees promoted and recruitment	Increased number of employees promoted and recruited	100% of projected annually							0.3	0.3	0.3	0.3	Council	DVC
Enhance staff welfare	Provide conducive working environment and competitive terms	Implemented CBAs	Low AU staff turnover rates	5%	1%	1%	1%	1%	1%							
<b>Strategic Objective 1.4: Optimize staff performance and development</b>																
Review and automate performance management system	Review and automate performance management system	Automated performance management system	Fully automated system	100%		100%					1				VC, DVC AFD, DVC ARSA	HR & Deans
Provide continuous training and development opportunities to enhance skills and competencies	Build capacity of staff	Number of staff trained	% of staff trained	100%	20%	20%	20%	20%	20%	2	2	2	2	2	VC, DVC AFD, DVC ARSA	HR & Deans

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Foster a culture of recognition of performance within the workforce	Develop and Implement reward system for staff	Increased number of staff awarded	Recognized staff	one staff annually	1	1	1	1	1	0.2	0.1	0.1	0.1	0.1	VC, DVC AFD, DVC ARSA	HR & Deans
<b>Strategic Objective 1.5: Ensure compliance and fair practices</b>																
Maintain compliance with labour laws, regulations, and University policies.	Reinforce compliance to labour laws, regulations, and University policies	Institutional compliance to labour and regulations and University policies	compliance certificate	100% annually											DVC (AFD)	HR
Regularly review of human resource policy	Review HR policy	Reviewed HR policy	Reviewed HR policy and signed	once every four years			1					0.05			DVC AFD	HR

<b>Strategic Issue: Quality Education &amp; Training</b>
<b>Strategic Goal: Improve the Quality of Education and training</b>
<b>Key Result Area: Quality Assurance</b>



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Outcome: Successful learning																	
Strategic Objective 1.6: Ensure compliance with academic and regulatory standards																	
Conduct Scheduled QA audits and inspections	Conduct QA Audit	Audit QA reports	Audited QA reports	100%	100%	100%	100%	100%	100%	0.4	0.4	0.4	0.4	0.4	VC, DVC AFD	DVC AFD, Quality Assurance, Deans, HODs	
Establish mechanisms for continuous improvement of standards	Establish a feedback mechanism for stakeholders	Improved standards and identification of improvement areas	Evaluated reports on stakeholders' feedback	100% conformity						0.1	0.1	0.1	0.1	0.1	VC, DVC AFD	DVC AFD, Quality Assurance, Deans, HODs	

Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
Strategic Issue: Research innovation and commercialization																
Strategic Goal: Strengthen capacity for research, innovation and climate action																
Key Result Area: Research infrastructure																
Outcome: Increased research capabilities																

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Strategic Objective 2.1: Enhance assessment and evaluation practice																
Initiate mechanisms for Research and Development (R&D) collaboration and linkages	Review research and development policy	A reviewed research and development policy	Approved research and development policy	1	1								0.2		DVC (ARSA)	Research Directorate, Deans
Promote the use of research results in technology development and transfer, and set up a center of excellence for emerging and reemerging infectious diseases including neglected tropical diseases	Implement research findings	Innovations and patents	Number of innovations and patents	1				1					0.1		DVC (ARSA)	Research Directorate
	Publish research findings on technology development	Research publications on technology development	Number of research publications on technology development	260	40	45	50	60	65						DVC (ARSA)	Research Directorate

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	Organize Annual academic/research conferences	Conferences held at AU	Number of annual conferences held at AU	3			1	1	1			2	2	2	DVC (ARSA)	Research Directorate
	Mainstreaming thematic research areas across all schools	Operational thematic research areas	Number of thematic areas mainstreamed	5	1	1	1	1	1	0.1	0.1	0.1	0.1	0.1	DVC (ARSA)	Director Research, Deans
<b>Adopt policy on intellectual property</b>	Operationalize policy on intellectual property	Policy document on intellectual property	A functional policy on intellectual property	1	1					0.2					DVC (ARSA)	Research Directorate
<b>Establish and operationalize incubation centre</b>	Establish an incubation centre for innovations	incubation centre established	Incubation centre established	1			1					20			DVC (ARSA)	Research Directorate, Partners
<b>Innovation and Commercialization</b>	Designate an innovation and commercialization champion in each school	champions appointed	Number of champions appointed	4		4									DVC (ARSA)	Research Directorate

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Implement research extension /outreach services	Monitor research extension /outreach services	Extension /outreach services	Number of extension /outreach services	20	4	4	4	4	4	1	1	1	1	1	DVC (ARSA)	Research Directorate
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
Strategic Issue: Research innovation and commercialization																
Strategic Goal: strengthen capacity for research, innovation and climate action																
Key Result Area: Partnerships and Linkages																
Outcome: Increased Collaboration and Linkages																
Strategic Objective 2.2: Establish strategic partnerships with industry and academia																
Partnerships and linkages	Participate in joint events	Enhanced collaborations	Recognition document/letters	8		2	2	2	2		1	1	1	1	DVC (ARSA)	Research Directorate
	Develop partnership MOUs with relevant institutions	A written MOUs document	Duly signed MOU	3		1	1	1			0.1	0.1	0.1	0.1	DVC (ARSA)	Research Directorate
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support

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Strategic Issue: Research innovation and commercialization																
Strategic Goal: strengthen capacity for research, innovation and climate action																
Key Result Area: Climate action																
Outcome: Improved mitigation to climate change																
Strategic Objective 2.3: Initiate and advocate for sustainable climate solutions																
Develop tree nurseries	Participate in tree planting events in Busia County	Increased tree coverage	Number of events for tree planting attended	10		2	2	2	2	0.5	0.5	0.5	0.5	0.5	DVC (ARSA)	Research Directorate
	Develop partnership MOUs with KALRO and KEFRI on development of tree nurseries	MOUs document	Duly signed MOU	1		1					0.2				DVC (AFD)	Estates, and Development officer.
Climate education, climate-related research and renewable energy and green technologies	Conduct climate awareness workshop	A climate awareness report	climate awareness report	2		1		1			0.3		0.3		DVC AFD	Estates, Central services

Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility		
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support	
Strategic Issue: Governance and leadership																	

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Strategic Goal: Enhance governance and leadership																	
Key Result Area: Engagement and communication																	
Outcome: Improved governance and leadership																	
Strategic Objective 3.1: Improve stakeholders engagement																	
Develop and implement a communication policy	Policy development	Complete Policy document	Approved Policy document	1	1					0.2				0.2	DVC (AFD)	MOE, PSC	
Utilize digital platforms to conduct stakeholder surveys	A feedback survey	A feedback survey report	Stakeholders feedback report	2		1		1		0.5		0.5	1	DVC (AFD)	MOE, PSC		
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility		
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support	
Strategic Issue: Governance and leadership																	
Strategic Goal: Enhance governance and leadership																	
Key Result Area: Diversity and inclusion																	
Outcome: Improved governance and leadership																	

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Strategic Objective 3.2: Foster inclusive practices																
Assessment of diversity and inclusivity practices, policy and structure of AU	Conduct regular assessment on inclusivity	Continuous improvement in inclusive practices	Annual inclusive assessment reports and action plan	5	1	1	1	1	1	0.1	0.1	0.1	0.1	0.1	DVC (AFD), HR	HR
Celebrate cultural diversity and awareness	Organize cultural events	Diverse cultural presentations	Number of diverse presentations reported and awarded	5	1	1	1	1	1	0.3	0.3	0.3	0.3	0.3	DVC (ARSA)	MOE
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
Strategic Issue: Governance and leadership																
Strategic Goal: Enhance governance and leadership																
Key Result Area: Financial stewardship																
Outcome: Improved governance and leadership																
Strategic Objective 3.3: Ensure prudent financial management and optimal use of resources																

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Develop a sustainable financial plan	Financial planning meetings	A financial plan	An approved financial Plan document by council	5	1	1	1	1	1	0.8	0.8	0.8	0.8	0.8	DVC (AFD)	MOE, PSC
Diversify revenue streams	Develop financial proposals for Income-Generating Units (IGUs)	Approved financial proposals by AU council	Number of IGU proposals	2		1		1			0.3		0.3		DVC (ARSA)	MOE, Treasury
Monitor and control expenses	Financial audits	Financial audit reports	Signed financial audit reports	5	1	1	1	1	1	0.2	0.2	0.2	0.2	0.2	DVC (AFD)	MOE, Treasury

Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs.	Target					Budget (KES. Mn)					Responsibility		
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support	
Strategic Issue: Institutional capacity and resource mobilization																	
Strategic Goal: Strengthen institutional capacity																	
Key Result Area: Certifications																	
Outcome: Accreditation certificates																	
Strategic Objective 4.1: Obtain and maintain relevant certifications																	
				12	3	4	2	2	1	2	2	2	2	2	DVC (AFD)		



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Acquire relevant certifications/Accreditation	Application for certifications/accreditation	Approved certification/Accreditation document	Certificate of certification/accreditation													Finance and	
Prepare for certification audits	Certification/accreditation audits	certification audit reports	Signed certification audit reports	5	1	1	1	1	1	0.2	0.2	0.2	0.2	0.2	DVC (AFD)	MOE, Treasury.	
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility		
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support	
Strategic Issue: Institutional capacity and resource mobilization																	
Strategic Goal: strengthen institutional capacity																	
Key Result Area: Branding and visibility																	
Outcome: Increase in student population																	
Strategic Objective 4.2: Increase visibility and reputation																	
Develop public relations policy	Policy development	Complete Policy document	Signed Policy document	1	1					0.2					DVC (AFD)	MOE	
Develop and strengthen public relations function	Operationalized Public relations office	Functional PR Office	Physical functional PR Office	1	1					2					DVC (AFD)	MoE	
Brand and market University programmes, services and products	undertake Branding and marketing	Increased visibility	Increased enrolments	10	2	2	2	2	2	4	3	1	1	1	DVC (AFD, ARSA)	MoE	

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Improve AU website content and enhanced hosting system	Update website content	Updated website	Traffic to the University website	20	4	4	4	4	4							DVC (AFD)	MOE
Initiate CSR activities	Participate in CSR activities	Positive image	Number of CSR activities	10	2	2	2	2	2	1	1	1	1	1		DVC (AFD)	Deans
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility		
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support	
Strategic Issue: Institutional capacity and resource mobilization																	
Strategic Goal: Strengthen institutional capacity																	
Key Result Area: Financial sustainability and resource management																	
Outcome: Increased financial resources to AU																	
Strategic Objective 4.3: Enhance capacity building in resource mobilization																	
Enhance capacity for grants writing	Grant writing workshops	Enhanced grant writing capacity	Number of grants proposals written	4		1	1	1	1		0.2	0.2	0.2	0.2		DVC (AFD)	PC
	Writing of proposal for funding	Complete funding proposal	Proposals developed	1		1					0.5					DVC (AFD)	PC

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Enhanced enrolment of self-sponsored Students	Publicity of courses	Improved awareness	Number of new applicants for Privately-Sponsored Student Programmes (PSSP)	500	100	100	100	100	100	1	1	1	1	1	DVC (ARSA)	DEAN S, CODs
	Develop market driven programmes	Accredited	Programmes	5		2		3			6		9		DVC (ARSA)	DEAN , MOE

Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
<b>Strategic Issue: Student Academic and Social Welfare/Support</b>																
<b>Strategic Goal: Establish adequate and appropriate student support system</b>																
<b>Key Result Area: Mental Health</b>																
<b>Outcome: Reduced cases of mental</b>																
<b>Strategic Objective 5.1: Promote mental health awareness and support</b>																
Organize mental health workshop	Mental health workshops and seminars	Working support systems developed	Operational support systems	1						0.4	0.4	0.4	0.4	0.4	DVC (AFD)	PC, Dean of students

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s and seminars																	
Promote affirmative action for students	Affirmative action sensitization workshops	AU document on compliance of affirmative action government policy.	Number of affirmative action sensitization workshops	5	1	1	1	1	1	0.1	0.1	0.1	0.1	0.1	DVC (AFD)	Dean of students, Student Counselor	
		Number of students supported on the basis of affirmative action programmes															
Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility		
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support	
Strategic Issue: Student Academic and Social Welfare/Support																	
Strategic Goal: Establish adequate and appropriate student support system																	
Key Result Area: Alcohol and drug abuse																	
Outcome: Reduced incidences of alcohol, drugs and substance abuse																	
Strategic Objective 5.2: Implement preventive education initiatives																	
	Training staff and students	Reduced cases of alcohol and drug abuse	Reduced percentage of cases	2		1			1		0.1		0.1	1			

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Strategy	Key activities	Expected outcome	Output indicators	Target for 5 yrs	Target					Budget (KES. Mn)					Responsibility	
					Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Lead	Support
					<b>Strategic Issue: Student academic and social welfare/Support</b>											
<b>Strategic Goal: Establish adequate and appropriate student support system</b>																
<b>Key Result Area: Mentorship and counseling</b>																
<b>Outcome: Reduced incidences of mental health cases and drug and substance abuse</b>																
<b>Strategic Objective 5.3: Enhance counseling services</b>																
Training for mentors and enhancing staff component and competence	Training of staff on mentorship	Reduced cases of mental health	Reduced percentage of cases	2	1			1		0.1		0.1		DVC (AFD)	PC, Dean of students	

### **6.1.2 Annual Work Plan and Budget**

Alupe University is committed to excellence in education, research, and community engagement. Our annual work plan and budget for the upcoming year reflect our strategic objectives and the resources required to achieve them, focusing on enhancing infrastructure and facilities; promoting quality education and research; fostering an inclusive and supportive community; enhancing partnerships and linkages, and ensuring financial sustainability. Key activities include allocating funds for infrastructure development; investing in quality assurance systems; enhancing inclusive practices; supporting research and innovation, and organizing community engagement programmes. The total budget is balanced across strategic objectives, with diverse funding sources and a detailed expenditure plan to ensure effective resource management and continuous improvement. Through strategic investments and fiscal discipline, we aim to uphold our commitment to excellence and achieve our goals.

### **6.1.3 Performance Contracting**

Performance contracting at Alupe University ensures accountability and efficiency by setting clear targets and evaluating outcomes regularly. This process enhances organizational performance and drives continuous improvement. The costed work plan and strategic issues will be used to generate the indicators for performance contracting. The negotiated and signed Performance Contract between the Ministry of Education and Alupe University Council will inform the cascaded Performance Contract for the Vice Chancellor.

## **6.2 Coordination Framework**

The institutional framework at Alupe University is designed to ensure effective coordination of activities and is critical to the implementation of the Strategic Plan. Centralized through the Office of Strategic Management, this framework facilitates collaboration among various departments and units. Each unit is tasked with specific roles and responsibilities, aligned with the strategic objectives, and is required to regularly report progress. Regular inter-departmental meetings, robust monitoring and evaluation systems, and clear communication channels ensure that all initiatives are synchronized and that any challenges are promptly addressed. This structured approach guarantees that our strategic goals are met efficiently and effectively, fostering a culture of continuous improvement and excellence.

### **6.2.1 Institutional Framework**

AU has institutional and governance mechanisms, operational policies, and procedures within the legal sphere that guide the higher education sector in Kenya. The University management will bolster the implementation of the Strategic Plan through ongoing governance reforms and policy review by undertaking a comprehensive and inclusive approach.

The University management will continue to support the implementation of the Strategic Plan by effectively communicating its importance to all internal and external stakeholders.

The Management will share the Strategic Plan across all University organs and with representatives from diverse University sectors to ensure a collaborative and holistic approach to executing the plan. In addition, through regular communication and engagement, the University will keep the entire community informed about the progress and challenges while also seeking important feedback.

By conducting relevant policy reviews, the University will identify potential areas of reform to align with the Strategic Plan's objectives, effectively eliminating administrative impediments. The Management will also define clear performance metrics and hold staff accountable to foster a culture of responsibility and accountability. This will be done by engaging the multi-sectoral stakeholders, offering professional development to staff, allocating resources optimally, and establishing robust monitoring and evaluation mechanisms to support the effective implementation of the Strategic Plan.

### 6.2.2 Staff Establishment, Skills Set and Competence Development

The current human resource levels and functions at Alupe University are inadequate to achieve this Strategic Plan. The number of faculty and non-teaching staff and the established organizational structure must be fundamentally increased. Table 6.2 indicates the details of the projected human resource requirements.

**Table 6.2: Staff Establishment**

Grade	Authorized Establishment	InPost as at June, 2024	Variance (Optimal)
2	73	15	-58
3	21	5	-16
4	131	7	-124
5	63	11	-52
6	31	4	-27
7	45	6	-39
8	48	3	-45
9	26	1	-25
10	42	2	-40
11	43	12	-31
12	164	24	-140
13	100	13	-87
14	62	2	-60
15	49	0	-49
17	2	1	-1
19	1	1	0
<b>Total</b>	<b>901</b>	<b>107</b>	<b>-797</b>

**Table 6.3 Skills Set and Competence Development**

Cadre	Skills Set	Skills Gap	Competencies Development
<b>19 &amp; 17</b>	<ul style="list-style-type: none"> <li>• Governance</li> <li>• Leadership</li> <li>• Coaching &amp; mentorship</li> <li>• Change management</li> <li>• Resource management</li> <li>• Managing the work environment</li> <li>• Financial fundamentals</li> <li>• Risk management</li> <li>• Protocol and diplomacy</li> <li>• Negotiations</li> <li>• Policy development</li> </ul>	<ul style="list-style-type: none"> <li>• Senior leadership management</li> </ul>	<ul style="list-style-type: none"> <li>• Senior leadership management training</li> </ul>
<b>15 &amp; 14</b>	<ul style="list-style-type: none"> <li>• Management</li> <li>• Leadership</li> <li>• Public Speaking</li> <li>• Critical Thinking</li> <li>• Conflict Management</li> <li>• Problem-Solving</li> <li>• Decision-Making</li> <li>• Analytical</li> </ul>	<ul style="list-style-type: none"> <li>• Performance management</li> <li>• Change management</li> <li>• Risk management</li> <li>• Succession management</li> <li>• Productivity improvement and measurement</li> <li>• Financial management</li> <li>• Senior management course</li> </ul>	<ul style="list-style-type: none"> <li>• Senior management course</li> <li>• Governance and leadership development</li> <li>• Strategic management development programme</li> <li>• Strategic human resource management and development</li> </ul>
<b>13, 12 &amp; 11</b>	<ul style="list-style-type: none"> <li>• Pedagogy and andragogy</li> <li>• Communication</li> <li>• Project management</li> <li>• Collaboration and partnerships</li> <li>• Change management</li> <li>• Analytical, problem-solving and decision-making</li> <li>• Innovation</li> </ul>	<ul style="list-style-type: none"> <li>• Effective supervision</li> <li>• Course delivery</li> <li>• Research proposal development</li> <li>• Innovation and entrepreneurship</li> <li>• Change management</li> </ul>	<ul style="list-style-type: none"> <li>• Research development</li> <li>• Pedagogy and andragogy</li> <li>• Effective supervision</li> <li>• Effective change management</li> <li>• Coaching and mentorship</li> </ul>
<b>10 &amp; 9</b>	<ul style="list-style-type: none"> <li>• Decision-making</li> <li>• Creativity</li> <li>• Interpersonal</li> <li>• Time management</li> </ul>	<ul style="list-style-type: none"> <li>• Report writing</li> <li>• Data analytic</li> <li>• Professionalism</li> <li>• Critical thinking &amp; analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Undertake relevant professional course</li> <li>• Join professional body</li> </ul>
<b>8, 7 &amp; 6</b>	<ul style="list-style-type: none"> <li>• Customer service</li> <li>• Communication</li> </ul>	<ul style="list-style-type: none"> <li>• Professionalism</li> <li>• Data analytic</li> </ul>	<ul style="list-style-type: none"> <li>• Offering training</li> <li>• Mentorship</li> </ul>



	<ul style="list-style-type: none"> <li>• Creativity</li> <li>• Listening</li> <li>• Time management</li> <li>• Team work</li> <li>• Emotional Intelligence</li> <li>• Work ethics</li> </ul>	<ul style="list-style-type: none"> <li>• Report writing</li> <li>• Critical thinking &amp; analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Seminars and conferences</li> <li>• On the job learning</li> <li>• Training</li> <li>• Enroll in relevant professional course</li> </ul>
<b>4,3 &amp; 2</b>	<ul style="list-style-type: none"> <li>• Communication</li> <li>• Computer</li> <li>• Listening</li> </ul>	<ul style="list-style-type: none"> <li>• Time management</li> <li>• Financial Management</li> <li>• Stress management</li> <li>• Life</li> </ul>	<ul style="list-style-type: none"> <li>• On the job learning</li> <li>• Training</li> <li>• Coaching</li> </ul>

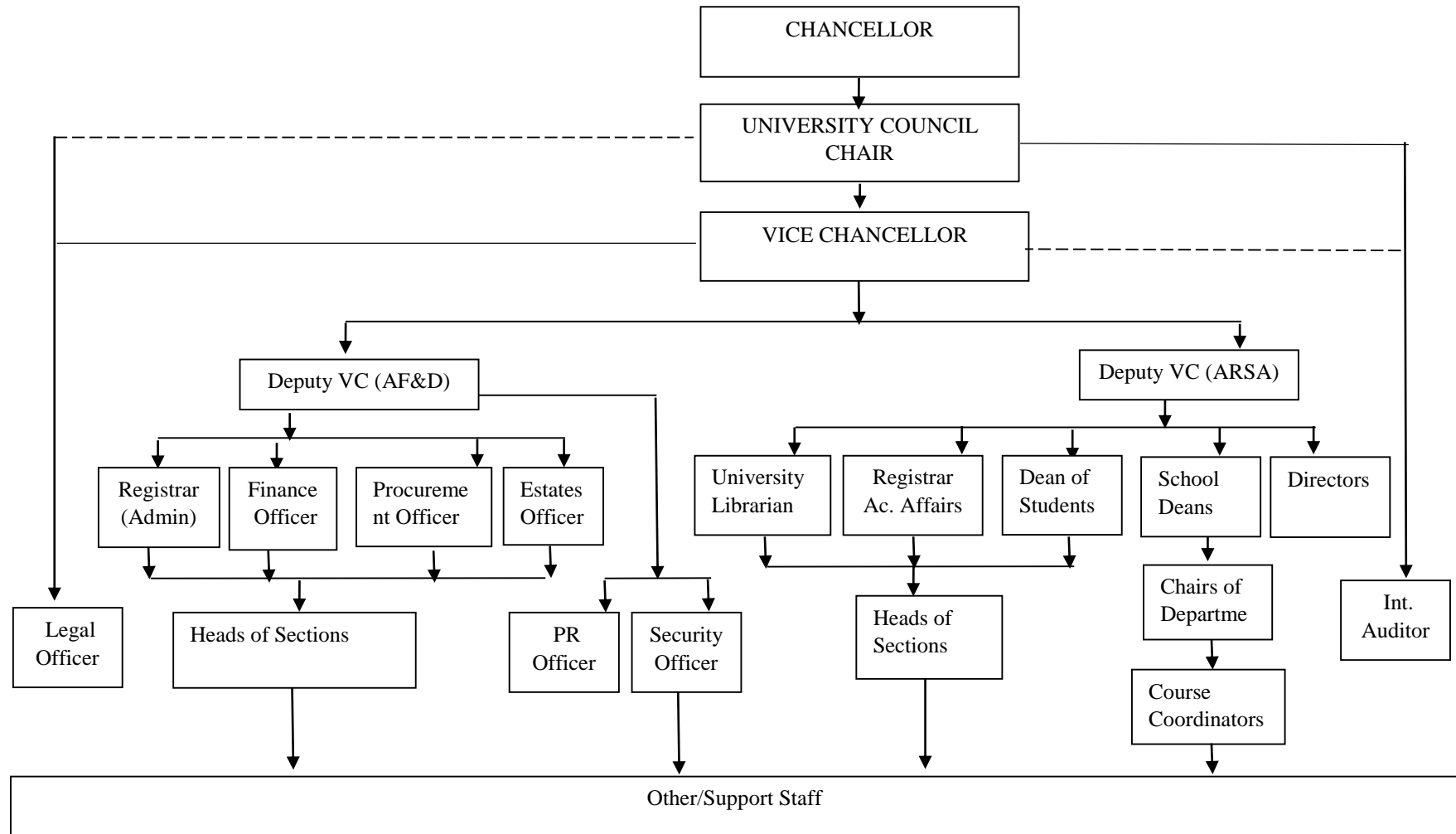
### 6.2.3 Leadership

AU leadership, as outlined in the University's organogram (Figure 1), is responsible for executing the Strategic Plan. This will be actualized through the formation of Strategic Theme Teams, which will be aligned with the Strategic Issues to ensure responsibility and accountability in leading and coordinating the execution of strategic activities relevant to the Key Result Areas (KRAs).

### 6.2.4 Systems and Procedures

AU will describe the required internal systems, processes, and standard operating procedures for effectively and efficiently implementing the Strategic Plan. This will require evaluating the existing internal systems processes and standard operating procedures to ascertain their appropriateness for the strategy.

Figure 1: AU proposed Organogram



### 6.3 Risk Management Framework

A Risk Management Framework is a tool that helps identify, assess, and manage risks associated with a strategic plan. It allows for mapping risks against strategic objectives and corresponding compliance measures. The risks are categorized and prioritized based on their likelihood of occurrence and expected impact, with suggested actions for mitigating, monitoring, and reporting those risks. Table 6.4 shows a risk management framework.

**Table 6.4: Risk Management Framework**

Strategic Objective	Risks	Risk Likelihood (L/M/H)	Severity (L/M/H)	Overall Risk Level (L/M/H)	Mitigation measure(s)
1.1: Enhance the quality and quantity of infrastructural facilities	Delays in infrastructure projects	High	High	High	Ensure robust project management and contingency planning
	Insufficient funding	Medium	High	High	Diversify funding sources and seek external grants
	Inadequate research funding	High	High	Medium	Seek external funding and grants
	Outdated research equipment	Low	Medium	Medium	Regular investment in modern research infrastructure
1.2: Integrate ICT in the University	Technological obsolescence	Low	High	Medium	Regularly update and maintain ICT systems
	Cyber-security threats	Medium	High	Medium	Implement strong cybersecurity

					measures and training
1.3: Attract and retain qualified personnel	High turnover rates	Low	High	Low	Enhance employee benefits and create a positive work environment
1.4: Optimize staff performance and development	Inadequate training	Low	Medium	Low	Develop comprehensive training and development plans
1.5: Ensure Compliance and Fair Practices	Non-compliance with regulations	Low	High	Medium	Regular audits and compliance training
	Resistance to change	Medium	Medium	Medium	Engage stakeholders in quality initiatives and provide training
1.6: Ensure compliance with academic and regulatory standards	Failure to meet accreditation standards	Low	High	High	Regular review of academic programmes and standards
2.1: Enhance assessment and evaluation practices	Inconsistent assessment methods	Medium	Medium	Medium	Standardize assessment and evaluation procedures
2.2: Establish strategic partnerships with industry and academia	Difficulty in forming partnerships	Medium	Medium	Medium	Actively pursue networking opportunities and collaborations

	Low alumni engagement	Medium	Low	Medium	Create and maintain strong alumni networks and engagement programmes
	Limited international exposure	Medium	High	Medium	Develop international programmes and exchange opportunities
2.3: Initiate and advocate sustainable climate solutions	Insufficient funding for climate action	Medium	High	Medium	Seek diverse funding sources, including grants and partnerships with environmental organizations
	Lack of Expertise	Medium	High	Medium	Invest in training and hiring experts in sustainable practices and climate solutions.
	Limited Community Engagement	Medium	Medium	Medium	Engage with the community through outreach programmes and involve them in sustainable initiatives
3.1: Improve stakeholder engagement	Poor stakeholder communication	Medium	Medium	Medium	Implement regular stakeholder communication

					and feedback mechanisms
	Ineffective internal communication channels	Medium	Medium	Medium	Develop and utilize effective internal communication platforms
3.2: Foster inclusive practices	Exclusion of underrepresented groups	Medium	High	Medium	Implement and monitor inclusive practices and policies
	Lack of diversity in activities	Medium	High	Medium	Promote diverse recruitment and inclusive policies
3.3: Ensure prudent financial management and optimal use of resources	Misallocation of funds	Medium	High	High	Implement strict budget controls and conduct regular financial audits
	Fraud and corruption	Low	High	Medium	Enforce strong internal controls and conduct regular fraud risk assessments
	Insufficient budgetary allocations	Medium	High	Medium	Seek additional funding sources and prioritize essential expenditure
	Poor financial planning	Medium	High	Medium	Provide training in financial planning and implement comprehensive

					financial management systems
	Lack of transparency	Medium	High	Medium	Enhance transparency through regular financial reporting and stakeholder engagement
	Economic instability	Medium	High	Medium	Develop contingency plans and diversify income streams
	Inefficient resource allocation	Medium	High	Medium	Implement performance-based resource allocation and regular reviews
	Compliance with financial regulations	Low	High	Medium	Maintain up-to-date knowledge of regulations and ensure compliance through regular audits
	Dependency on limited funding sources	Medium	High	Medium	Diversify funding sources and build financial reserves.
	Inadequate financial monitoring	Medium	High	Medium	Establish robust financial monitoring systems and conduct regular reviews

3.4: Optimize resource allocation	Inefficient resource allocation	Medium	High	Medium	Implement robust resource management strategies
4.1: Obtain and maintain relevant certifications	Failure to obtain necessary certifications	Low	High	Medium	Regularly review and adhere to certification requirements
	Loss of accreditation	Low	High	Medium	Continuous improvement and compliance with accreditation standards
4.2: Increase visibility and reputation	Low visibility and reputation	Low	Medium	Medium	Develop and implement effective marketing and PR strategies
4.3: Capacity Building in Resource Management	Lack of Skilled Personnel	Medium	High	Medium	Invest in training and development for staff
	Resistance to change	Medium	Medium	Medium	Promote a culture of continuous improvement and change management
	Insufficient Training	Medium	High	Medium	Develop and implement comprehensive training programmes
	Inadequate access to modern management tools	Medium	High	Medium	Invest in modern management tools and technology



	Limited engagement in capacity building	Medium	Medium	Medium	Foster a supportive environment and incentivize participation in capacity building activities
	High turnover of skilled staff	Medium	High	Medium	Implement retention strategies and provide career development opportunities
	Inadequate knowledge transfer	Medium	High	Medium	Establish mentorship and knowledge-sharing programmes
	Insufficient Resources for Training	Medium	High	Medium	Secure funding for training and capacity building initiatives
	Ineffective training programmes	Medium	High	Medium	Continuously evaluate and improve training programmes based on feedback and outcomes.
	Poor implementation of capacity building strategies	Medium	High	Medium	Monitor and evaluate the effectiveness of capacity building strategies regularly

5.1: Promote mental health awareness and support	Low mental health awareness	High	High	Medium	Implement mental health awareness campaigns and support services
	Ineffective substance abuse policies	Medium	High	Medium	Develop and enforce effective substance abuse policies
	High incidence of substance abuse	Medium	High	Medium	Conduct regular education and provide support services
5.2: Enhance counseling services	Inadequate counseling services	High	High	Medium	Expand and improve counseling services
	Lack of mentorship opportunities	Medium	Medium	Medium	Establish and promote structured mentorship programmes
	Lack of mental health policies	Medium	High	Medium	Develop and enforce comprehensive mental health policies

## CHAPTER SEVEN: RESOURCE REQUIREMENTS AND MOBILIZATION STRATEGIES

This section outlines a comprehensive approach to resource mobilization, ensuring that the financial, human, and material resources needed for successful implementation of the Strategic Plan are identified, sourced, and effectively managed. The Action Plan for resource requirement and mobilization is designed to provide a clear roadmap for addressing the University's funding and resource needs. It specifies the initiatives and activities that will be undertaken to mobilize resources, including fundraising campaigns, partnerships, grants, and other revenue-generating activities. By clearly defining these actions, the Plan provides a framework for ensuring that resource mobilization efforts are coordinated, targeted, and aligned with the University's strategic goals.

### 7.1 Financial Requirements

To finance the Strategic Plan, Alupe University will require **KES 5,218,300,000**. Its implementation shall be financed by funds sourced from recurrent expenditure, development grants, local/national governments, students' fees (Appropriation-in-Aid), donors, research grants and income-generating programmes as detailed in Table 7.1

**Table 7.1: Financial Requirements for Implementing the Strategic Plan**

Cost Item	Projected resource Requirements for Implementing (KES (Millions))					
	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
KRA 1.1	257.6	711.5	366.5	542.5	510.5	2388.6
KRA 1.2	2.2	3.4	2.4	2.4	2.4	12.8
KRA 1.3	0.5	0.5	0.5	0.5	0.5	2.5
KRA 2.1	1.3	1.1	23.1	3.4	3.1	32
KRA 2.2	3.3	2.2	24.2	4.3	4.1	38.1
KRA 2.3	0.5	1	0.5	0.8	0.5	3.3
KRA 3.1	0.2	0.5	0	0.5	1.2	2.4
KRA 3.2	0.4	0.4	0.4	0.4	0.4	2
KRA 3.3	2	2.3	2	2.3	2	10.6
KRA 4.1	2.2	2.2	2.2	2.2	2.2	11
KRA 4.2	7.2	4	2	2	2	17.2
KRA 4.3	1	7.7	1.2	10.2	1.2	21.3
KRA 5.1	0.5	0.5	0.5	0.5	0.5	2.5
KRA 5.2	0	0.1	0	0.	0	0.2
KRA 5.3	0	0.1	0	0.1	0	0.2
	278.9	737.5	425.5	572.2	530.6	2544.7
Admin. Costs	256	454	554	654	754	2673.62
<b>Total</b>	<b>534.9</b>	<b>1191.91</b>	<b>979.91</b>	<b>1226.61</b>	<b>1285.01</b>	<b>5218.32</b>

## Financing Gaps

The plan's implementation faces a resource deficit of approximately **KES 1,553,324,000** over the five years. The annual deficits are summarized in Table 7.2.

**Table 7.2: Resource Gaps**

<b>Financial Year</b>	<b>Estimated Financial Requirement</b>	<b>Estimated Allocations (KES (Million))</b>	<b>Variance</b>	<b>Percentage Variance</b>
<b>YR 1</b>	534.9	365	169.9	<b>31.76</b>
<b>YR 2</b>	1191.906	600	591.906	<b>49.66</b>
<b>YR 3</b>	979.906	750	229.906	<b>23.46</b>
<b>YR 4</b>	1226.606	900	326.606	<b>26.63</b>
<b>YR 5</b>	1285.006	1050	235.006	<b>18.29</b>
<b>Total</b>	<b>5218.324</b>	<b>3665</b>	<b>1553.324</b>	<b>29.77</b>

### 7.1.1 Measures to ensure prudent utilization of resources

In implementing the Strategic Plan, the University shall adhere to the guidelines stipulated in the national and county financial regulations, the Public Procurement and Disposal Act, 2015 and the Procurement Regulations, 2016. It shall abide by the development partners' guidelines regarding the utilization of, and accounting for, the resources.

### 7.1.2 Financial Assumptions

The financial plan was developed based on the following assumptions:

- (i) That the student population will continue to increase, given the primary and secondary education programmes and the opening up of HELB loans to PSSP students
- (ii) That investment in IGUs will grow, thus increasing non-governmental revenue
- (iii) That resource mobilization will be institutionalized through partnerships
- (iv) That the University budget will be balanced between expected income and projected expenditure
- (v) That exchequer allocation will be pegged on student unit cost
- (vi) That performance and cost management strategies will be enhanced for efficiency and effectiveness in the utilization of financial resources

### 7.1.3 Projected Capital Development Plan

The capital investment will be financed through the Exchequer Development Fund, Donor funds and PPP and research grants Alupe University will over a five year period invest KES 4.43B on capital development projects. The funds will be spent in the financial years as shown in Table 7.3.

**Table 7.3: Capital Development plan**

	Project Title	Financing	Timeline	
		Estimated cost of project (KES (Million))	Start Date	Expected Completion Date
1.	Construction of Lecture Theatre	139,648	Sep-22	Sep-23
2.	Construction of Tuition Block	500,000	Jul-23	Jun-25
3.	Construction of Perimeter wall and street lights	500,000	Jul-23	Jun-24
4.	Construction of Laboratory complex	200,000	Jul-23	Jun-24
5.	Construction of Roads within the University	100,000	Jul-23	Jun-24
6.	Construction of hostel and student centre	2,000,000	Jul-23	Jun-24
7.	Construction of Library Phase II	400,000	Jul-24	Jun-26
8.	Construction of University Teaching and Referral Hospital	590,000	Jul-25	Jun-28
	<b>Total</b>	<b>4,429,648</b>	-	-

## 7.2 Resource Mobilization Strategy

This section critically addresses how the University plans to meet its financial, human, and material needs to drive its vision and mission forward. Resource mobilization strategies are a key component of the Strategic Plan, ensuring that Alupe University can sustain its operations, expand its capabilities, and achieve its long-term goals. This subsection provides a comprehensive framework for identifying, attracting, and managing resources from diverse sources. It emphasizes the importance of building partnerships, leveraging existing assets, and exploring innovative funding mechanisms. Key components of the AU Resource Mobilization Strategy include:

- **Funding Sources:** Identification of potential funding sources such as government grants, private sector partnerships, international donors, alumni contributions, and income-generating activities
- **Partnership Development:** Strategies for building and strengthening relationships with key stakeholders, including industry partners, community organizations, and philanthropic entities
- **Capacity Building:** Initiatives aimed at enhancing the University's internal capacity to mobilize and manage resources effectively, including staff training and the development of robust financial management systems
- **Sustainability Plans:** Approaches to ensure the long-term sustainability of resource flows, including endowment funds, recurring revenue streams, and cost-saving measures

- **Monitoring and Evaluation:** Systems for tracking the effectiveness of resource mobilization efforts, measuring impact, and adjusting strategies as needed.

Through this structured approach to resource mobilization, Alupe University aims to ensure that it has the financial stability and resource capacity to support its strategic initiatives. This proactive and strategic framework is designed to enable the University to thrive, innovate, and achieve its goals, ultimately contributing to advancing education, research, and community development in Kenya and beyond.

### 7.3 Resource Management Strategy

This section emphasizes the importance of prudent resource management practices that maximize the impact of the resources mobilized through various channels. Resource management is a critical element in the Strategic Plan, as it ensures that financial, human, and material resources are allocated and used optimally.

This subsection outlines the principles and practices that will guide the management of AU's resources, ensuring transparency, accountability, and sustainability. It also details the mechanisms for monitoring and controlling resource use to prevent wastage and ensure alignment with strategic priorities. Key components of the Resource Management Strategy include:

- **Budgeting and Financial Planning:** Development of comprehensive budgets and financial plans that align with the University's strategic goals, ensuring that resources are allocated to priority areas
- **Expenditure Control:** Implementation of robust expenditure control measures to monitor spending, prevent overspending, and ensure that funds are used for their intended purposes
- **Human Resource Management:** Strategies for recruiting, developing, and retaining skilled personnel, as well as optimizing the deployment of staff to enhance productivity and effectiveness
- **Asset Management:** Efficient management of physical and technological assets to ensure their optimal use and maintenance, thereby extending their lifespan and functionality
- **Monitoring and Evaluation:** Continuous monitoring and evaluation of resource utilization to assess efficiency and effectiveness, with adjustments made as necessary to improve resource management practices.

Through this focused approach to resource management, Alupe University aims to ensure that every resource is used to its fullest potential, contributing to the achievement of its strategic objectives. This structured and disciplined framework will help the University to maintain financial health, enhance operational efficiency, and achieve sustainable growth, ultimately supporting its mission of providing quality education and research for the betterment of society.

## CHAPTER EIGHT: MONITORING, EVALUATION AND REPORTING FRAMEWORK

This chapter outlines the Monitoring, Evaluation, and Reporting (MER) framework, which aims to ensure continuous progress tracking, assessment of outcomes, and timely reporting to stakeholders. Effective implementation of Alupe University's Strategic Plan requires a robust MER framework. This framework aims to enhance accountability, improve decision-making, and meet strategic goals and objectives.

MER is an exercise that will facilitate continuous learning, documentation, and incorporating learned lessons. The results of the MER exercise will be fed back into the MER process to make it better, more scientific, valid, more responsive and, thus, more beneficial to all AU stakeholders. Therefore, MER will be an essential management tool used at Alupe University to ensure that implementation of this Strategic Plan is on course.

### 8.1 Monitoring Framework

Monitoring will involve continuously tracking activities, outputs, and outcomes to ensure they are on course towards achieving the strategic objectives. KPIs will be established for each strategic objective to measure progress and performance.

Data will be collected through various methods, including questionnaire-based surveys, departmental progress reports, financial reports, academic performance records, and stakeholder feedback. Tools such as dashboards, scorecards, and project management software will be used to track and visualize progress. Baseline data on monitoring indicators will be established, and a plan for continuous improvement of the targeted results will be developed for efficiency and effectiveness.

### 8.2 Performance Standards

The monitoring and evaluation system will be based on internationally accepted norms and standards, including relevance, efficiency, effectiveness, success, and sustainability. Performance for the Strategic Plan will be tracked. The KPIs will be defined at the outcome, output, and efficiency levels.

Performance reviews will be conducted periodically to assess progress against the strategic objectives. These reviews will include:

- **Quarterly Reviews:** These are short-term progress reviews to ensure that activities are on track and to address any immediate issues or challenges
- **Annual Reviews:** Comprehensive assessments at the end of each year to evaluate overall progress, achievements, and areas needing improvement.

### 8.3 Evaluation Framework

This section provides the methodology for measuring outcomes, identifying areas for improvement, and ensuring that the Strategic Plan's goals are being met. An effective evaluation framework is essential for maintaining accountability, fostering a culture of continuous improvement, and demonstrating the impact of Alupe University's efforts. It involves the use of various tools and techniques to collect data, analyze performance, and generate insights that inform decision-making processes. The evaluation framework will ensure that Alupe University remains on track to achieve its mission and vision, adapting to changes and challenges. For this to be done effectively, AU will focus on the following components:

- **Performance Indicators:** Identification of KPIs that align with the strategic objectives, providing measurable benchmarks for success
- **Data Collection Methods:** Detailed procedures for gathering relevant data, including surveys, interviews, and performance reports, ensuring that the information collected is accurate and comprehensive
- **Analysis and Reporting:** Techniques for analyzing data to assess progress and identify trends, coupled with regular reporting mechanisms to communicate findings to stakeholders
- **Feedback Loops:** Processes for incorporating evaluation feedback into ongoing planning and implementation, allowing for adjustments and improvements based on evidence and insights
- **Review Schedules:** Establishment of regular review intervals to ensure that evaluations are timely and relevant, enabling proactive management of the Strategic Plan.

By implementing a robust evaluation framework, Alupe University aims to ensure that its Strategic Plan is dynamic and responsive, capable of driving sustained improvements and achieving significant impacts. This framework supports the effective management of resources and fosters transparency and accountability, reinforcing the University's commitment to excellence in education, research, and community engagement. The anticipated outcomes are captured in Table 8.1.

**Table 8.1: Outcome Performance Matrix**

Key Result Area (KRA)	Outcome	Outcome Indicator	Baseline		Target	
			Value	Year	Mid-Term	End-Term
KRA 1.1 – Infrastructure Development	Improved quality and quantity of University infrastructure	Number of new buildings and facilities	5 buildings	2023	8 buildings	10 buildings



		Percentage increase in teaching equipment	20%	2023	60%	90%
<b>KRA 1.2 – Staffing</b>	Enhanced staff recruitment and retention	Staff retention rate	92%	2023	94%	98%
		Number of new hires	0 hires	2023	70 hires	100 hires
<b>KRA 1.3 – Quality Assurance</b>	Improved academic and administrative quality	Compliance with quality standards	75%	2023	85%	100%
		Number of quality audits	2 audits	2023	3 audits	5 audits
<b>KRA 2.1 – Research Infrastructure</b>	Enhanced research facilities and capabilities	Number of new research labs	0 labs	2023	0 lab	1 lab
		Amount of research funding secured	KES 0.2 million	2023	KES 5 million	KES 10 million
<b>KRA 2.2 – Partnerships &amp; Linkages</b>	Strengthened partnerships and linkages	Number of new partnerships	15 partnerships	2023	20 partnerships	25 partnerships
		Number of collaborative projects	0 projects	2023	1 project	3 projects
<b>KRA 2.3 – Climate Action</b>	Increase the use of green energy	Percentage of energy from renewable sources	10%	2023	30%	60%
	Increase acreage under tree cover	Percentage of University land under tree cover	2%	2023	5%	10%

<b>KRA 3.1 – Engagement &amp; Communication</b>	Improved stakeholder engagement and communication	Stakeholder satisfaction rate	60%	2023	75%	90%
		Number of engagement events	5 events	2023	8 events	15 events
<b>KRA 3.2 – diversity &amp; Inclusion</b>	Increased diversity and inclusion	Percentage of underrepresented groups	20%	2023	30%	50%
		Number of inclusive	0 programmes	2023	1 program	2 programmes
<b>KRA 3.3 – Financial Stewardship</b>	Improved financial health and resource management	Resource allocation efficiency	75%	2023	85%	95%
<b>KRA 4.1 - Certification</b>	Enhanced certification	Number of certification certificates	1 certification	2023	1	1
<b>KRA 4.2 – Branding &amp; Visibility</b>	Enhanced University brand and visibility	Number of branding initiatives	2 initiatives	2023	5 initiatives	10 initiatives
<b>KRA 4.3- Financial Sustainability and Resource Mobilization</b>	Improved sustainable financial practices and university long term viability	Number of Audit reports	Annual financial audit report	2023	3 reports	5 annual reports
<b>KRA 5.1 – Mental Health</b>	Improved mental health awareness and support	Number of mental health programmes	0 program	2023	1 program	1 program
		Mental health awareness rate	20%	2023	50%	70%
<b>KRA 5.2 – Alcohol and Drugs Abuse</b>	Reduced incidence of	Number of prevention and	1 program	2023	2 programmes	2 programmes

	drug and substance abuse	intervention programmes				
<b>KRA 5.3 – Mentorship &amp; Counseling</b>	Enhanced mentorship and counseling services	Number of mentorship programmes	1 program	2023	2 programmes	2 programmes
		Number of counseling sessions	100 sessions	2023	200 sessions	300 sessions

### 8.3.1 Mid-Term Evaluation

This section serves as a pivotal checkpoint to review the implementation of strategic initiatives, identify successes and challenges, and make necessary adjustments to ensure the plan remains aligned with the University's goals. The mid-term evaluation is crucial in enhancing accountability and transparency by assessing whether the strategic objectives are being met within the expected timelines. It involves a comprehensive analysis of KPIs, qualitative and quantitative data, stakeholder feedback, and other relevant metrics to gauge the effectiveness of strategies and initiatives implemented thus far. Alupe University will observe the following key elements of the Mid-term Evaluation:

- **Progress Assessment:** Evaluation of progress towards achieving strategic goals and objectives outlined in the Strategic Plan.
- **Performance Review:** Analysis of performance indicators to measure outcomes and impacts of implemented initiatives.
- **Identification of Challenges:** Identification of barriers or challenges hindering progress and potential solutions to address them.
- **Opportunity Identification:** Recognition of emerging opportunities that can be leveraged to enhance strategic outcomes.
- **Stakeholder Engagement:** Engagement of stakeholders to gather feedback and insights on the implementation process and outcomes.

Alupe University aims to ensure that its Strategic Plan remains relevant, responsive, and effective in achieving its mission and vision by conducting a mid-term evaluation. This process facilitates continuous improvement and strategic alignment, enabling the University to adapt to changing circumstances and maximize its impact on education, research, and community development. Table 15 will capture the quarterly progress reports while Table 16 will capture annual progress reports.

### 8.3.2 End-Term Evaluation

This subsection marks the culmination of the strategic planning period, providing a comprehensive assessment of the achievements, outcomes, and lessons learned throughout the implementation phase. It is a critical milestone for reviewing the strategic initiatives' overall effectiveness and alignment with the University's long-term goals.

End-term evaluation plays a pivotal role in determining the success and impact of the Strategic Plan by assessing whether the intended objectives and outcomes have been achieved. It involves rigorous performance analysis against predetermined metrics, stakeholder feedback, financial outcomes, and other relevant data to ascertain the plan's overall effectiveness. AU will focus on the following key elements of the End-term Evaluation include:

- **Outcome Assessment:** Evaluation of the tangible and intangible outcomes of implementing the strategic initiatives
- **Impact Analysis:** Analysis of the broader impact of the Strategic Plan on the University community, stakeholders, and the wider society
- **Lessons Learned:** Identification of successes, challenges, and areas for improvement based on the implementation experience
- **Strategic Alignment:** This is an assessment of how well the outcomes align with the University's mission, vision, and strategic priorities
- **Recommendations for Future Planning:** Based on the evaluation findings, recommendations and strategies for future planning cycles will be developed.

Alupe University aims to provide accountability, transparency, and evidence-based decision-making regarding the Strategic Plan's outcomes by conducting an end-term evaluation. This process facilitates reflection, learning, and continuous improvement, enabling the University to adapt its strategies and initiatives to serve its stakeholders better and achieve sustainable success in education, research, and community engagement.

### 8.4 Reporting Framework<sup>1</sup>

The subsection on Reporting and Evaluation within the Alupe University Strategic Plan 2024-2028 outlines the University's systematic approach to documenting and communicating its strategic initiatives' progress, outcomes, and impacts. This section emphasizes the importance of transparency, accountability, and continuous improvement in achieving the strategic goals and objectives. Tables 15, 16 and 17 will be adopted for reporting purposes.

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<sup>1</sup> Reporting frameworks are provided in tables 8.2-8.4

Reporting and evaluation are integral components of the strategic planning process, providing stakeholders with comprehensive insights into the effectiveness of the University's strategies and actions. The main components of Reporting and Evaluation at AU will include:

- **Data Collection and Analysis:** Methods and tools for collecting relevant data, analyzing performance metrics, and assessing progress towards strategic objectives
- **Performance Reporting:** Regular reporting schedules and formats for communicating progress, achievements, and challenges to stakeholders
- **Stakeholder Engagement:** Mechanisms for engaging stakeholders, including faculty, staff, students, alumni, and community partners, in the evaluation and reporting process
- **Feedback Mechanisms:** Processes for soliciting stakeholder feedback to improve reporting practices and address concerns
- **Strategic Alignment:** Ensuring that reporting aligns with the University's mission, vision, and strategic priorities, demonstrating accountability and transparency.

By implementing a robust reporting and evaluation framework, Alupe University aims to enhance organizational learning, facilitate evidence-based decision-making, and build stakeholder trust. This framework supports continuous improvement and adaptation to changing circumstances, ultimately contributing to the University's mission of excellence in education, research, and community engagement.

## 8.5 Feedback Mechanism

The subsection on Feedback Mechanism within the Alupe University Strategic Plan 2024-2028 outlines the structured approach for gathering, analyzing, and utilizing feedback from stakeholders to enhance the effectiveness and relevance of the strategic initiatives. This section emphasizes the importance of two-way communication and engagement to foster a collaborative and responsive strategic planning process.

A robust feedback mechanism is essential for ensuring that the University remains responsive to the needs and expectations of its stakeholders, including faculty, staff, students, alumni, and community members. It facilitates continuous improvement by capturing diverse perspectives, identifying areas for enhancement, and validating the impact of implemented strategies. Key components of the Feedback Mechanism at AU will include:

- **Collection Channels:** Establishment of various channels (for example, surveys, focus groups, suggestion boxes and town hall meetings) to solicit stakeholder feedback

- **Analysis and Interpretation:** Methods for systematically analyzing feedback data to identify trends, patterns, and actionable insights
- **Integration into Decision-making:** Processes for integrating feedback into strategic planning, policy development, and decision-making processes
- **Communication and Transparency:** Strategies for communicating feedback outcomes and actions taken in response to stakeholders, ensuring transparency and accountability
- **Continuous Improvement:** Commitment to using feedback to drive continuous improvement in programmes, services, and overall institutional effectiveness.

By implementing an effective feedback mechanism, Alupe University aims to foster a culture of openness, collaboration, and responsiveness within its strategic planning processes. This approach ensures that the University remains agile and adaptive to changing needs and priorities, ultimately enhancing its ability to achieve its educational, research, and community engagement mission and goals.

**Table 8.2: Quarterly Progress Reporting**

QUARTERLY PROGRESS REPORT: QUARTER ENDING .....

Expected Outcome	Output Indicator	Annual Target (A)	Quarter for Year .....			Cumulative to Date			Remarks
			Target (B)	Actual (C)	Variance (C-B)	Target (E)	Actual (F)	Variance (E-F)	

**Table 8.3: Annual Progress Reporting**

ANNUAL PROGRESS REPORT YEAR ENDING .....

Expected Outcome	Output Indicator	Achievement Year .....			Cumulative to Date (Years)			Remarks
		Target (A)	Actual (B)	Variance (A-C)	Target (D)	Actual (E)	Variance (E-D)	

**Table 8.4: Evaluation Reporting**

Key Result Area	Outcome	Key Performance Indicators	Baseline Year		Mid - Term Evaluation		End of Plan Period Evaluation		Remarks
			Value	Year	Target	Achievement	Target	Achievement	
KRA 1									
KRA 2									
KRA 3									
KRA 4									



## Annex I: Summary of Income and Expenditure 2024-2028

Year	2023/2024	2024/2025	2025/2026	2026/2027	2027/2028
	KES'000'	KES'000'	KES'000'	KES'000'	KES'000'
GOK Grant	193,854	306,240.0	356,240	406,240	456,240
<b>Total GOK</b>	<b>193,854</b>	<b>306,240.0</b>	<b>356,240</b>	<b>406,240</b>	<b>456,240</b>
<b>A.I.A</b>					
Student fees	167,393	289,197	388,741	488,239	587,687
Research Grants	-	1,000	1,100	1,210	1,331
Catering Income	2,000	2,000	2,200	2,420	2,662
Other Income	1,753	1,563	1,719	1,891	2,080
<b>Total A.I.A</b>	<b>171,146</b>	<b>293,760</b>	<b>393,760</b>	<b>493,760</b>	<b>593,760</b>
<b>Total Revenue</b>	<b>365,000</b>	<b>600,000</b>	<b>750,000</b>	<b>900,000</b>	<b>1,050,000</b>
<b>EXPENDITURE</b>					
Employee Costs	256,000	454,406	554,406	654,406	754,406
Other Expenditure	109,000	145,594	195,594	245,594	295,594
<b>Total Expenditure</b>	<b>365,000</b>	<b>600,000</b>	<b>750,000</b>	<b>900,000</b>	<b>1,050,000</b>
Development Grants	222,849	2,300,000	600,000	700,000	800,000
<b>Total Budget</b>	<b>587,849</b>	<b>2,900,000</b>	<b>1,350,000</b>	<b>1,600,000</b>	<b>1,850,000</b>