HIGHER EDUCATION AUTHORITY

ASSESSMENT GUIDE FOR REGISTRATION OF A UNIVERSITY COLLEGE/TECHNICAL UNIVERSITY COLLEGE (DUAL AND CONVENTIONAL)

APPLICANT'S DETAILS

NAME OF PROPOSED HIGHER EDUCATION INSTITUTION		
TYPE OF HIGHER EDUCATION INSTITUTION APPLIED FOR	*Tick where applicable*	
	University College	
	Technical University College	
MODE OF EDUCATION DELIVERY (Dual/Conventional)		
DATE OF APPLICATION		
DATE OF SITE VISIT		
ASSESSMENT TEAM LEADER		

Introduction

This assessment guide shall be used in the evaluation of an application for registration of a University College or Technical University College. It consists of requirements (R), standards, guidelines and performance indicators that should be considered in the assessment for registration.

To obtain the actual score for each indicator, the assessment team should evaluate the available evidence provided by an institution for each indicator and score it against the maximum score. Where an institution provides satisfactory evidence, the actual score shall be the maximum score of 1. Where an institution provides partial evidence, the score shall be 0.5 and where there is no evidence, the actual score shall be zero (0). **An exception to this rule is R3 where both partial and no evidence attract a score of zero (0).**

R1: Vision, Mission and Strategy

Standard 1: The institution has a stated vision and mission that is supported by specific and clearly defined goals and objectives

Guideline: In assessing this item, the assessment team should review the strategic/operational plan to evaluate the vision, mission and core values of the institution. The assessment team shall score the following indicators:

Performance Indicator	Findings	Max Score	Actual Score
The vision and mission statements have been provided.		1	
The strategic/operational plan outlines short-term, medium-term and long-term objectives		1	
The strategic /operational plan outlines the core values of the institution		1	
Total Score		**3**	
Weighted Score	**Actual Score/3 X 2%**		

R2: Governance and Management

Standard 2.1: The institution has a defined governance system and structures that ensure ethical and effective governance of the institution.

Guidelines: In assessing this item, the team should review the institutions' statutes, operational plan, institutional manuals and other available policy documents to assess the following indicators:

Performance Indicator	Findings	Max Score	Actual Score
The institution has statutes to govern its administration		1	
The statutes provide for a council and Senate		1	
The operational procedures of the council are outlined in the statutes		1	
The council committees are defined in the statutes		1	
The institution has identified qualified persons to sit on the council		1	
The operational procedures of the Senate are outlined in the statutes		1	
The Senate committees are defined in the statutes		1	
The institution has identified qualified persons to sit on the senate		1	
The statutes provide for a management structure that is aligned with the HEA standards and guidelines		1	
The statutes or operational manuals provide for a board of studies at the school or departmental level		1	
The statutes or operational manuals provide for the board of examiners/examinations committee at the school or departmental level.		1	
Sub-Total Score		**11**	

Standard 2.2: The institution has a clearly defined management structure to ensure effective administration and management of the institution.

Guidelines: In assessing this item, the team should review the institutions' statutes, strategic/operational plan and other available administrative documents to assess the following indicators:

Performance Indicator		Findings	Max Score	Actual Score
The institution has a clear organisation of schools/faculties/ departments			1	
Roles and responsibilities of management team members are defined in statutes or operational manuals			1	
The institution has identified appropriately	a) Principal with Doctoral degree or equivalent and 6 years higher		1	

qualified and experienced Management staff:	education teaching experience, of which 3 years should be in higher education administration or a Master's degree with 8 years higher education teaching experience, of which 4 years should be in higher education administration			
	b) Vice Principal with Doctoral degree or equivalent and 5 years higher education teaching experience, of which 2 years should be in higher education administration or a master's degree with 6 years higher education teaching experience, of which 3 years should be in higher education administration		**1**	
	c) Registrar with Master's degree and 5 years' experience in administration or management		**1**	
	d) Chief Financial Officer/Finance Manager with a Bachelor's degree in accountancy or any NQF level 7 accounting qualification with 3 years post-qualifying experience		**1**	
	e) Chief librarian with Master's degree and 3 years post-qualifying experience or bachelor's degree with 5 years experience		**1**	

	f) Dean of students' affairs with Master's degree and 3 years experience or bachelor's degree with 5 years experience in higher education teaching/ administration/ psychosocial counselling		1	
	g) Dean of School/Faculty with a Master's degree with 5 years post-qualifying experience in higher education teaching		1	
Sub-Total Score			9	

Total Score	**(∑R2)**	20	
Weighted Score	**Actual Score/20 X 9%**		

R3: Academic Programmes

Standard 3.1: The institution has well-defined academic programmes.

Guideline: In scoring this item, the assessment team shall use the results of the evaluation for accreditation to ensure that the proposed academic programmes meet HEA's accreditation requirements.

Performance Indicator	Findings	Max Score	Actual Score
The required number of programmes have met accreditation requirements*		1	
Total Score		1	
Weighted Score	**Actual Score/1 x 26%**		

To be filled in after results for accreditation assessment are out.

Note: *The institution should have at least three programmes accepted for accreditation. At least two of the learning programmes should be at bachelor's level. For a technical university college, at least two thirds of the proposed programmes must be in applied science and technology. Where the prescribed minimum number of learning programmes has been accredited, the maximum score of 1 shall be awarded and a score of zero (0) shall be awarded if this is not met.*

R4: Staffing

Standard 4.1: The institution has an adequate staff establishment and well-defined policies on academic staff qualifications, experience and recruitment.

Guideline: In scoring this item, the assessment team should review the proposed staff establishment, policies on staff recruitment, promotion and staff development to determine if the proposed staff establishment is adequate and the policies are clearly defined.

Performance Indicator	Findings	Max Score	Actual Score
Availability of an academic establishment with defined ranks		1	
Availability of an administrative and support staff establishment showing categorization of positions/ranks		1	
Availability of a policy on staff recruitment, promotion and development		1	
Availability of a conditions of service document for all staff		1	
Availability of a list of identified academic staff		1	
Availability of a list of identified administrative and support staff		1	
Availability of code of conduct and disciplinary procedures for staff		1	
Total		**7**	
Weighted Scores	**Actual Score / 7 X 5%**		

R5: Teaching and Learning Support Systems

Standard 5.1: The institution has a well-defined learner support system.

Guideline: In scoring this item, the assessment team should ensure that the institution has policies and procedures for learner support services on matters such as student admission, progression and information dissemination to students, staff and the public. The team shall also ensure that the institution has a policy on training material development/distribution and provisions for academic and psychosocial counselling.

Performance Indicator	Findings	Max Score	Actual Score
Availability of a student handbook providing information on admission procedures, registration process, available learning programmes,		1	

progression requirements, assessment, credit transfer and graduation.				
Availability of a policy on student welfare, counselling and orientation			**1**	
Availability of a student counselling unit			**1**	
Availability of a learner support system for ODL programmes including:	a) Learner guide on ODL/e-learning*		**1**	
	b) A policy on instructional material development, production and distribution to learners		**1**	
Availability of a code of conduct and disciplinary measures for students			**1**	
A facility for production and storage of instructional material and examination material			**1**	
Total Score			**7**	
Weighted Score	**Actual Score/7 X 5%**			

*Applicable to dual institutions

R6: Financial Resources

Standard 6.1: The institution has allocated adequate financial resources to support its operations.

Guidelines: In scoring this item, the assessment team should evaluate available financial records to determine that the institution has allocated adequate financial resources towards its operations.

Performance Indicator	Findings	Actual Score	Max Score
Availability of institutional budget		**1**	
Availability of institutional bank account		**1**	
Availability of bank records for the institution for at least three months		**1**	
Availability of funds to support institutional operations for at least 6 months		**1**	
Availability of a risk mitigation policy		**1**	

Availability of a financial management policy		1	
Total Score		**6**	
Weighted Score	**Actual Score / 5 X 5%**		

R7: Internal Quality Assurance (IQA)

Standard 7.1: The institution has well-defined quality assurance policies and procedures for its training programmes

Guidelines: In scoring this item, the assessment team must first confirm that a quality assurance policy/framework and curriculum development/review policies are available. Second, the quality assurance policy or framework must provide mechanisms/protocols for quality assurance for training/academic programmes. In addition, there must be provision for a quality assurance unit/ directorate.

Performance Indicator	Findings	Max Score	Actual Score
Institution has made provision for a quality assurance coordination unit/directorate		1	
Quality assurance unit staffed with qualified personnel		1	
Availability of quality assurance policy/framework		1	
The Quality Assurance policy/framework is comprehensive, i.e., addressing quality assurance mechanisms for learner support services, curriculum development and review, programme delivery, assessment, external examinations etc.		1	
Availability of a Curriculum development and review policy		1	
Total Score		**5**	
Weighted Score	**Actual Score / 5 X 5%**		

R8: Health and Safety

Standard 8.1: The Higher Education Institution has facilities to ensure the health and safety of learners and staff.

Guideline: In assessing this item, the team shall ensure that the institution is compliant with the prescribed minimum requirements of health and safety and conforms to the building regulations under the relevant written law.

Performance Indicator	Findings	Max Score	Actual Score
Availability of a health clearance certificate for the premises		1	
Availability of occupancy certificate for the physical facilities		1	
Availability of functional fire extinguishers		1	
Availability of a fire assembly point		1	
Availability of safety and security warning posts		1	
Availability of campus security		1	
Availability of a waste management system/collection procedure		1	
Availability of waste bins		1	
Availability of clean running water		1	
Availability of functioning sewer system		1	
Availability of reliable energy source for the premises, e.g, hydro/solar		1	
Total Score		**11**	
Weighted Score	**Actual Score/11 X 4%**		

R9: Technological Infrastructure

Standard 9.1: The institution has suitable and adequate technological facilities to support teaching and learning

Guideline: In scoring this item, the assessment team shall pay attention to the type of training to be conducted by the HEI. The technological facilities must be appropriate and suitable for the nature of training.

Performance Indicator		Findings	Max Score	Actual Score
Availability of an ICT plan for purposes of procuring, maintaining and upgrading of ICT equipment and technologies, ensuring reliability, privacy, safety, and security			1	
The institution has identified staff to manage the ICT unit			1	
Availability of the following	a) E-learning platforms (e.g., Moodle, Blackboard, Astria)		1	
	b) E-library services		1	

technological systems: *	c) A website including a system for frequently asked questions*		1	
	d) Online student information management system		1	
	e) Online research management system*		1	
	f) Online institutional repository		1	
	g) Internal and external communication systems (e.g., phones/intranet)		1	
Availability of the following ICT facilities:	a) Computing facilities (minimum 15 functional computers in the computer room)		1	
	b) Technical services system for back-ups, disaster recovery and remote services		1	
	c) Availability of technology that allows for verification of identity of candidates during online assessments		1	
	Availability of the following ICT facilities: d) Computing facilities for teaching and administrative staff		1	
	e) Audio video conferencing facilities		1	
	f) Servers		1	
Total Score			**15**	
Weighted Score		**Actual Score/15 X 8%**		

R10: Physical Infrastructure

Standard 10.1: The Institution has adequate and appropriate infrastructure, facilities and resources to support teaching, learning and research.

Guideline: In scoring this item, the assessment team should pay attention to the type of training to be conducted by the HEI. The infrastructure must be appropriate and suitable for the nature of training.

Performance Indicator		Findings	Max Score	Actual Score
Availability of furnished offices* for the following:	a) Principal		1	
	b) Vice Principal		1	
	c) Registrar		1	
	d) Chief Financial Officer/finance manager		1	
	e) Chief librarian		1	
	f) Dean of students' affairs		1	
	g) Dean(s) of School(s)		1	
	h) Academic staff (each staff with a workstation)		1	
	i) Administrative and support staff		1	
	j) Furnished lecture rooms* with student desks suitable for learners of 16 years of age and above		1	
	k) Library facility*		1	
ICT room(s)			1	
Availability of faculty or departmental offices			1	
Access pathways and ramp/elevators for students and staff with physical disabilities			1	
Toilet facilities for students and staff with physical disabilities			1	
Counselling office (student and staff) with the following:	a) Tables and chairs for the counsellor(s)		1	
	b) Chair(s) for counselees (at least 2 chairs for the counselees)		1	
	c) Lockable cabinet		1	

Ablution facilities for female students (toilet to student ratio 1:25)			**1**	
Ablution facilities for male students (toilet to student ratio 1:30)			**1**	
Ablution facilities for both male and female staff (toilet to staff ratio 1:20)			**1**	
Adequately stocked sickbay[1] with first aid kit			**1**	
Hostels for both male and female students or MOUs with accommodation providers			**1**	
Cafeteria/tuckshop/kitchen where there are no food facilities within a kilometre			**1**	
Minimum of one sports hall or field			**1**	
Multi-purpose hall			**1**	
Laboratories and workshops	a) Stocked Science laboratories (separate for specific subject areas like Physics, Chemistry and Biology)		**1**	
	b) skills laboratories/practicum facilities where applicable		**1**	
	c) Demonstration sites for programmes such as agriculture, forestry etc.		**1**	
Total Score			**29**	
Weighted Score (for institutions with programmes requiring laboratory/ practicum facilities)	**Actual Score/ 29 X 28%**			
Weighted Score (for institutions not offering programmes requiring laboratory/ practicum facilities)	**Actual Score/ 25 X 28%**			

Refer to Table 1 for detailed requirements

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[1] For institutions located at a distance of not less than 5km from an established health facility

Table 1: Detailed Requirements

Furnished Offices	Furnished lecture rooms	Library facility

a) Office Table
b) Office Chair
c) Desktop/laptop
d) Printer or networked printer
e) Dustbin
f) Shredder (principal office)
g) Internet connectivity
h) Cross ventilation/air conditioning
	a) Minimum of six lecture rooms to accommodate three learning programmes. Additional lecture rooms shall be required for more than three learning programmes.
	b) Lecture room shall have a minimum floor size of 80m^2
	c) and a multi-purpose hall shall be at least 210m^2
	d) Lecturers table and chair
	e) Writing board/projection
	f) Cross ventilation/air conditioning
		a) Furnished offices for library staff with;
		  i. Office Table
		  ii. Lockable cabinet
		  iii. Dustbin
		  iv. Office Chair
		  v. Cross ventilation/air conditioning
		  vi. Desktop/laptop
		  vii. Printer or networked printer
		b) Tables and chairs for library users
		c) Functional library computing facilities (at least one computer for staff and five for users)
		d) Bookshelves for reading materials

ICT	**Science Laboratory**	**Sickbay**
a) ICT rooms shall be floor size of 80m^2 b) at least one computer for staff and five for users	a) Sample preparation room b) Storage facility for reagents, equipment and apparatus c) Laboratory furniture d) Laboratory sinks and water taps e) Ventilation chamber f) Gas pipes g) Writing board(s) h) ICT facilities i) Electrical sockets	a) Hospital bed b) Foot-stead c) First aid kit (with medical and surgical supplies) d) Over the counter drugs e) Table and chair for staff f) Waiting bench/two chairs g) Stretcher h) Lockable medicine cupboard i) Medicine trolly j) 3 dust bins with bin liners k) Linen (2 blankets, 2 pairs of bedsheets, two pillows) l) 3 thermometers m) Weighting machine n) 1 BP machine o) 1 Glucometer p) 1 Desktop q) Clean running water r) Water jar s) 2 large receivers t) 2 medium receivers

EVALUATION OF SCORES

SN	Quality Attribute	Weighted Maximum Score (%)	Actual Weighted Score (%)
1.	Vision, Mission and Strategy	2	
2.	Governance and Management	9	
3.	Academic Programmes	26	
4.	Staffing and Training	5	
5.	Teaching and Learning Support Systems	6	
6.	Financial Resources	5	
7.	Internal Quality Assurance	5	
8.	Technological Infrastructure	10	
9.	Health and Safety	4	
10.	Physical Infrastructure	28	
TOTAL		**100**	

DECISION CRITERIA

DECISION	PERCENTAGE SCORE	TICK (✓)
PASS	75 – 100	
FAIL	0 – 74.9	

VERDICT	TICK (✓)
RECOMMENDED FOR PANEL HEARING	
NOT RECOMMENDED FOR PANEL HEARING	