HIGHER EDUCATION AUTHORITY

**ASSESSMENT GUIDE FOR REGISTRATION OF A
UNIVERSITY/ TECHNICAL UNIVERSITY**

Applicant's Details

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

ELIGIBILITY CRITERIA

Before the application can be evaluated, the assessment team should ensure that the applicant meets the following eligibility criteria for registration of a university/technical university

SN	CRITERIA	Tick (✓) if criteria is met
1.	Institution has been in existence as a degree awarding higher education institution for at least five years	
2.	The institution has at least three accredited programmes, two of which are at bachelor's degree level	
3.	Submitted a record of its research activities	
4.	The institution has submitted at least three post-graduate learning programmes for accreditation	
5.	Graduated at least a cohort from an existing accredited programme at bachelor's degree level	
6.	The HEI has submitted a graduate tracer report	
7.	Demonstratable ownership of premises (e.g., through title) located on a piece of land used solely for the development of the HEI	

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 1.1: 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
Availability of statutes to govern the administration of the institution		1	
Institution's governance structure is outlined in the statutes		1	
The council and senate are provided for in the statutes		1	
Council functions are outlined in the statutes		1	
Operational procedures of the council are outlined in the statutes or operational manuals		1	
Council committees are defined in the statutes/operational plan		1	
Institution has qualified persons sitting on the council		1	
Functions of the senate are outlined in the institution's statutes/operational plan		1	
Operational procedures of the senate are outlined in the statutes or operational manuals		1	
Senate committees are defined in the statutes/operational plan		1	
The HEI has qualified persons sitting on the senate		1	
Statutes or operational manuals provide for board of studies at school or departmental level		1	
Statutes or operational manuals provide for board of examiners/examinations committee at school or departmental level		1	
Sub-Total Scores		**13**	

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 and departments			1	
The institution has a management structure that is aligned to HEA standards and guidelines			1	
Roles and responsibilities of management are clearly defined			1	
The institution has identified appropriately qualified and experienced Management staff:	a) Vice chancellor with a PhD degree or equivalent with 10 years teaching experience of which 5 years should be in higher education administration		1	
	b) Deputy Vice-Chancellor- Academic Affairs with PhD degree or equivalent with 8 years teaching experience of which 4 years should be in higher education administration		1	
	c) Deputy Vice-Chancellor- Research and Innovation with		1	

	PhD degree or equivalent with 8 years research experience of which 4 years should be in research administration			
	d) Registrar- Master's degree with 5 years management experience		**1**	
	e) Chief Financial Officer with ACCA, CIMA, CA Zambia or equivalent and 5 years' management experience		**1**	
	f) Chief Librarian with Master's degree and 5 years' management experience		**1**	
	g) Dean of students with Master's degree and 5 years' experience in teaching administration/ psychosocial counselling		**1**	
Sub-Total Scores			**10**	
R2 Total Scores			**23**	
Weighted Score		**Actual Score/23 X 9%**		

R3: Academic Programmes

Standard 3.1: The institution's academic programmes meet HEA accreditation requirements.

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 and Training

Standard 4.1: The institution has qualified staff 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 staff establishment showing categorization of ranks		1	
Availability of a policy on staff recruitment, promotion and development		1	
Availability of a conditions of service document for all staff		1	
A document showing defined roles and responsibilities of staff		1	
Sub-Total Scores		4	

Standard 4.2: The institution has sufficient qualified administrative staff.

Guidelines: 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 administrative and support staff establishment showing categorization of positions/ranks		1	
Availability of roles and responsibilities defined for all administrative staff		1	
Sub-Total Scores		2	
R4 Total Scores		7	
Weighted Score	**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, progression requirements, assessment, credit transfer and graduation.			1	
Availability of a policy/guidelines on development of an academic calendar			1	
Availability of a students' affairs unit			1	
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 the following:	a) Learner guide on ODL/e-learning		1	
	b) A policy on instructional material development,		1	

	production and distribution to learners		
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		**9**	
Weighted Score	**Actual Score/9 X 5%**		

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 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		**5**	
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 or framework is available. Second, the quality assurance policy or framework must provide mechanisms/protocols for quality assurance training.

Performance Indicator	Findings	Max Score	Actual Score
The institution has a quality assurance coordination unit/directorate		**1**	
The institution has a 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	
The institution should have a dedicated quality assurance office		1	
The institution should have dedicated quality assurance staff		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 health and safety for learners and staff.

Guideline: In assessing this item, the team shall ensure that the institution is compliant to 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		1	
Availability of occupancy certificate		1	
Availability of fire extinguishers		1	
Availability of fire assembly signs/point		1	
Availability of security warning posts		1	
Availability of safety warning signs		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	
Total Score		**12**	
Weighted Score	**Actual Score/12 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	
Availability of an ICT management unit staffed with qualified personnel			1	
Availability of the following technological systems: *	a) E-learning platforms (e.g., Moodle, Blackboard, Astria e-learning platform)		1	
	b) E-library Services		1	
	c) A website including a system for frequently asked questions*		1	
	d) Student information management system		1	
	e) Research management system*		1	
	f) Internal and External		1	
	g) Institutional repository		1	
	h) communication systems		1	
Availability of the following ICT facilities:	a) Computing facilities		1	
	b) Server		1	
	c) Internet connectivity (staff offices and students)		1	
	d) Printers		1	
	e) Photocopiers		1	
Total Score			15	
Weighted Score		**Actual Score/15X 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 shall 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) Vice Chancellor		1	
	b) Deputy Vice Chancellor-Academic		1	
	c) Deputy Vice Chancellor-Research and innovation		1	
	d) Chief Financial Officer		1	
	e) Chief Librarian		1	
	f) Dean of students		1	
	g) Deans of schools		1	
	h) Academic and Administrative staff		1	
	i) Furnished lecture theatre(s)		1	
	j) Furnished lecture rooms* with student desks suitable for learners of 16 years of age and above (minimum of 10 lecture rooms		1	
Availability of library facility*			1	
Availability of conference facility*			1	
Availability of multi-purpose hall			1	
ICT rooms* (minimum of 40 computers)			1	
Availability of counselling office (student and staff) with the following:	a) Chair(s) for counselees (at least 2 chairs for the counselees)		1	

	b) Lockable cabinet		**1**	
	c) Tables and chairs for the counsellor(s)		**1**	
Ablution facilities for both male and female students (toilet to student ratio 1:20)			**1**	
Ablution facilities for both male and female staff (toilet to staff ratio 1:20)			**1**	
First aid room with first aid kit (with medical and surgical supplies)			**1**	
Adequately stocked sickbay[1]			**1**	
Hostels for both male and female students or MOUs with accommodation providers			**1**	
Cafeteria/tuckshop/kitchen where there is no proximity to food facilities			**1**	
Sports and recreation facilities a) 1 Sports hall or field			**1**	
Laboratories and workshops[2] a) Stocked Science laboratories (separate for specific subject areas like physics, chemistry and biology)			**1**	
b) skills laboratories and workshops where applicable			**1**	
c) Demonstration sites for programmes such as agriculture, forestry etc.			**1**	
d) Practicum facilities for health science fields			**1**	
Total Score			**25**	
Weighted Score	**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

[2] Applies to institutions that intend to offer learning programmes that require laboratory/practicum facilities such as nursing, midwifery and clinical medicine. For guidance see appendices

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 and an additional lecture room for each added programme. 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) Table and chair e) Lecturers table and chair f) Writing board/projection g) Cross ventilation/air conditioning	a) Furnished offices for library staff with; • Office Table • Lockable cabinet • Dustbin • Office Chair • Cross ventilation/air conditioning • Desktop/laptop • 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**	