



**ASSESSMENT GUIDE FOR REGISTRATION OF A PRIVATE
RESEARCH INSTITUTE**

NAME OF HIGHER EDUCATION INSTITUTION	
DATE OF APPLICATION	
DATE OF SITE VISIT	
ASSESSMENT TEAM LEADER	
ASSESSMENT TEAM MEMBERS	

Introduction

This assessment guide shall be used in the evaluation of an application for registration of a research Institute. 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 must evaluate the available evidence provided by an institution for each indicator and score it against the maximum score. 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).

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 Vision and Mission Statements, statutes and operational plans to evaluate the vision and mission of the institution. The assessment team shall score the following indicators;

Performance Indicator	Findings	Max Score	Actual Score
Availability of institutional vision and mission		1	
The vision and mission have been outlined in the statutes and operational plans		1	
The operational plan clearly outlines short-term, medium-term and long-term objectives		1	
Total Score		3	
Total Weighted Score		Actual Score/3 X 5%	

R2: Governance and Management

Standard 1: The institution has a clearly defined governance and management structure that ensures effective governance and management of the institute.

Guideline: In assessing this item the assessment team should review the institutional organogram, operational plan, statutes and names and qualifications of board and management members to ensure that the institute has a governance structure and qualified management team in place. The following performance indicators will be used in the assessment:

Performance Indicator	Findings	Max Score	Actual Score
Availability of a Board/Research Council		1	
Board Members/ Research Council members are appropriately qualified and experienced*		1	
A well-defined organisational structure		1	
A management structure with well-defined roles of management team members		1	
Qualified management team members*		1	
Total Score		5	
Total Weighted Score	Actual Score/5 X 10		

*Board members should have at least a minimum of a bachelor's degree and at least two years' experience in their professional field.

*The qualifications of Management team members will depend on the type of research institute. In general, the head of the research institute has to have the minimum of master's degree and at least two years of research/consultancy or administrative experience.

R3: Staffing

Standard 1: The Research Institute has identified qualified researchers that will be involved in their research activities.

Guideline: In scoring this item, the assessment team should review the staff establishment, recruitment policy and curriculum vitae of the identified research staff to ensure that they are appropriately qualified to implement the institute's research agenda.

Performance Indicator	Findings	Max Score	Actual Score
Existence of staff establishment for the institute/or units of the institute		1	
The institution has identified research thematic team leaders with appropriate qualifications in fields of specializations in line with the research agenda		1	
The institution has a policy on research staff recruitment		1	
Total		3	
Total Weighted Score	Actual Score/3 X 20%		

R4: Research and Innovation

Standard1: The institute has well defined research agenda and policies guiding the management of research, dissemination and intellectual property rights.

Guideline: In scoring this item the assessment team must first confirm that a research and innovation policy is available. Second, the research and innovation policy must comprehensively address issues related to research management, dissemination and intellectual property rights. In this regard, the score must cover availability and quality of the policy.

Performance Indicator	Findings	Max Score	Actual Score
Availability of policy document(s)		1	
Availability of research agenda with defined research themes		1	
Comprehensiveness of the policy document(s) i.e., addressing research management, conduct of research, dissemination, funding, intellectual property and research ethics.		1	
Total Score		3	
Total Weighted Score	Actual Score/3 X 20%		

R5: Physical and Technological Infrastructure

Standard 1: The institute shall have appropriate physical and technological facilities for its research operations.

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

Performance Indicator	Findings	Max Score	Actual Score
Availability of suitable administrative office(s)		1	
Availability of research laboratory or practicum site where applicable*		1	
Research offices have internet connectivity		1	
Availability of a Research management system		1	
Premises have Water and sanitation facilities		1	
Total Score		5	
Total Weighted Score	Actual Score/5 X 20%		

*This may include having an MOU with institutions that have suitable laboratories

R6: Health and Safety

Standard 6.1: The premises of the institution has facilities to ensure health and safety for staff and guests.

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 for the premises		1	
Availability of occupancy certificate for the premises		1	
Availability of functional fire extinguishers for the premises		1	
Availability of a fire assembly point for the premises		1	
Availability of safety and security warning posts for the premises		1	
Availability of a waste management system/collection procedure for the premises		1	
Availability of waste bins for the premises		1	
Availability of clean running water for the premises		1	
Availability of functioning sewer system for premises		1	
Availability of reliable energy source for the premises, e.g, hydro/solar		1	
Total Score		10	
Weighted Score	Actual Score/10 X 5%		

R7: Financial Resources

Standard 1: The Research Institute shall ensure that it has adequate financial resources to meet its administrative costs.

Guideline: In scoring this item, the assessment team will use the institutional budget, latest (3 months) bank statement and letters of guarantee to determine that the research institute has adequate financial resources to support its administrative operations.

Performance Indicator	Findings	Actual Score	Max Score
Availability of an Institutional budget for administrative staff emoluments and administrative activities		1	
Availability of funds to cover administrative expenses for at least 6 months		1	
Availability of a risk mitigation policy		1	
Total Score		3	
Total Weighted Score	Actual Score/3 X 10%		

R8: Quality Assurance (QA) of Research Activities

Standard1: The institute has a well-defined quality assurance policy/framework guiding research operations.

Guideline: 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 of research in terms of data collection and treatment, data analysis and publications of research.

Performance Indicator	Findings	Max Score	Actual Score
Availability of Quality Assurance policy document(s)		1	
Comprehensiveness of the Quality Assurance policy document(s) i.e., addressing quality assurance mechanisms for data collection, treatment and analysis and publications.		1	
Availability of protocols for data security			
Total Score		2	
Total Weighted Score	Actual Score/2 X 10%		

EVALUATION OF SCORES

Quality Attribute	Weighted Score (%)	Maximum	Actual Score (%)	Weighted
Vision, Mission and Strategy	5			
Governance and Management	10			
Staffing	20			
Research and innovation	20			
Physical Infrastructure	10			
Technological Infrastructure	10			
Health and Safety	5			
Financial Resources	10			
Quality Assurance (QA) of Research Activities	10			
TOTAL	100			

DECISION CRITERIA

DECISION	PERCENTAGE SCORE	TICK (✓)
PASS	65 – 100	
FAIL	0 – 64.9	

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