

**APPLICATION FOR REGISTRATION
FORM I GUIDE**

(Regulation 3)



**The Higher Education Act, 2013
(Act No. 4 of 2013)**

The Higher Education (Higher Education Quality Assurance System) Regulations, 2016

APPLICATION FOR REGISTRATION AS A PRIVATE HIGHER EDUCATION INSTITUTION

A. INSTRUCTIONS

1. Use this guide to fill in the Application Form (Form I)
2. A Private Higher Education Institution applying for Registration should complete this Application Form and forward it to:

The Director-General
Higher Education Authority
P.O. Box 50464
LUSAKA

3. Applicants should forward all the listed documents with their application. An application will not be processed if any of the required documents is not provided.

Documents	Check	
	Yes	No
1) Certificate of Incorporation or Registration of Business Name		
2) A sworn affidavit/ declaration that the proprietor, board members have never been declared bankrupt or found guilty of a criminal offence		
3) A sketch showing the location of the Institution		
4) Three referees (one of whom should be the current banker) who can independently be contacted by the Authority		
5) Evidence of financial resources or guarantee		
6) Lease agreement or proof of ownership of training premises		
7) Report or Letter of change of use of premises from the Local Authority		
8) Report or Letter of approval from the Local Authority in the case of Boarding Houses		
9) Five copies of the Operational Plan		

B. ADMINISTRATIVE DATA

- 1. Name of Proprietor:
- 2. Contact details for the Proprietor

	Please Complete
Physical Address	
Postal Address	
Telephone Numbers	
Fax Number	
E-mail Address	
Contact Person	
Designation of Contact Person	

- 3. Name of the Higher Education Institution:
- 4. Address and contact details of the Higher Education Institution

	Please Complete
Physical Address	
Postal Address	
Telephone Numbers	
Fax Number	
E-mail Address	
Website	
Name of Contact Person	
Designation of Contact Person	

- 5. Bank Name and details

	Please Complete
Name of Bank	
Branch	
Address	

C. CRITERIA FOR REGISTRATION AS A PRIVATE HIGHER EDUCATION INSTITUTION

C1. Introduction

Applicants for Registration as a “Private Higher Education Institution” under the Higher Education Act No. 4 of 2013 are required, under Section 17, to develop an Operational Plan.

This Operational Plan will include, although not limited to, the following:

Category Criteria

Core

Requirements

- Governance and Management
- Academic Programmes

- Student Admission and Learner support
- Staff
- Financial Resources
- Physical Infrastructure
- Non-core Requirements
- Vision, Mission and Strategy
- Research
- Technological Infrastructure
- Health and safety

C2 OPERATIONAL PLAN

Please provide a summary of the operational plan, under the following headings:

1. Vision, Mission and Strategy
<i>Long, Medium and Short Term objectives of the Institution.</i>
<p>HEA requires that a Higher Education Institution has a clear vision, mission and strategy. Specifically the following are required:</p> <ul style="list-style-type: none"> a) Availability of a formally adopted strategic plan with Vision Statement; b) A Mission Statement which reflects the character of the Institution; c) An operational plan, based on the strategic plan, which states a strategy with short, medium, and long term objectives.
2. Governance and Management
<i>Governance and Management systems and structures, quantities and qualifications of the leadership.</i>
<p>HEA requires that a Higher Education Institution has Governance and Management Structure that reflects its academic programmes and the needs of society. Specifically the following are required:</p> <ul style="list-style-type: none"> a) A Governing Board and Members of the Board: a Profile which must relate with the mission and strategy and shows qualifications of the board members that are strategic in accordance with the mission and strategy; a) Board composition and Committees of the Board: Roles of different committees that are well defined and Existence of committees with named members; b) Organisation Diagrams that show Institutional management structures with clearly spells out organizational senates, boards and committees, as well as their roles and members; c) Curriculum Vitae of key Management Staff. The key management staff including the Vice Chancellor, Deputy Vice Chancellor, Registrar, Person in charge of financial management and Librarian should have appropriate qualifications and experience.
3. Academic Programmes
<i>Definition of all Learning Programmes (Undergraduate/Post-Graduate/Research/Distance Programmes, including arrangement of Faculties.)</i>
<p>HEA requires that a Higher Education Institution has clear definition of Academic Programmes. Specifically the following are required:</p> <ul style="list-style-type: none"> a) Structured Curricula, supported by Assessment and Qualifications Guidelines: <ul style="list-style-type: none"> i. Policy on curriculum development, evaluation and review, ii. Curricula indicating programme breakdown of components (courses/modules) and relationships therein; iii. Assessment guidelines and grades or credits clarified, i.e. documented guidelines on

<p>assessment;</p> <p>iv. Documented awards systems including honorary awards;</p> <p>b) A clear definition of all programmes: Undergraduate, Post Graduate and Research:</p> <p>i. all the levels of academic qualifications;</p> <p>ii. policies on each level of academic qualification.</p> <p>c) A clear organisation of Faculties and/or Directorates.</p>
<p>4. Research</p>
<p><i>Facilities, equipment, etc. to support Research.</i></p>
<p>HEA requires that a Higher Education Institution has capability and capacity for research. Specifically the following are required:</p> <p>b) Research Policy and Strategy;</p> <p>c) Facilities and equipment to support the research strategy; and</p> <p>d) Mechanisms to ensure compliance with ethical standards.</p>
<p>5. Student Admission and Learner Support</p>
<p><i>Projected numbers of Students, Entry Requirements, and Learner Support systems.</i></p>
<p>HEA requires that a Higher Education Institution has policies and structures for student admissions and learner support. Specifically the following are required:</p> <p>a) Admission Guidelines and Criteria;</p> <p>b) Learning Programmes are structured by sessional dates;</p> <p>c) A support systems for learners, counselling units, accommodation, bookshops, internet services; and</p> <p>d) Functional and appropriate Student Information Management systems.</p>
<p>6. Staff</p>
<p><i>Staff Policies, Numbers and Qualifications of academic and Senior Non-Academic Staff, including Academic Assistance, disaggregated between Full-Time and Part-Time Staff.</i></p>
<p>HEA requires that a Higher Education Institution has adequate and qualified staff. Specifically the following are required:</p> <p>a) A policy on staff recruitment and staff development;</p> <p>b) Proven sufficient numbers of qualified full-time academic and support staff to support academic operations. There must be Establishment data and curriculum vitae of academic and administrative staff;</p> <p>c) Supply of academic support staff and assistants for carrying out academic programmes; and</p> <p>d) Availability of clear policy and document(s) showing conditions of service of staff.</p>
<p>7. Financial Resources</p>
<p><i>Sources and availability of financial resources to operate the Institution, including financial management and control procedures.</i></p>
<p>HEA requires that a Higher Education Institution has adequate financial resources to support operations. Specifically the following are required:</p> <p>a) Availability of finances;</p> <p>b) Financial Management systems and procedures; and</p> <p>c) Risk Mitigation Policy</p>
<p>8. Physical and Technological Infrastructure</p>
<p><i>Physical infrastructure to support teaching, learning and research, including technology</i></p>

systems for learner support and operational functions.

HEA requires that a Higher Education Institution has Physical infrastructure to support teaching, learning and research, including technology systems for learner support and operational functions. Specifically the following are required:

- a) Physical facilities in sufficient quantity and quality to ensure learning and teaching;
- b) Quantity and quality of physical infrastructure for support services, such as catering, bookstores, etc.
- c) ICT Infrastructure, including connectivity, for Teaching and Learning;
- d) Quantity and quality of technology systems to support management and operational functions, such as Management of learner data and other management functions;

9. Health and Safety

Evidence of compliance with the minimum Health and Safety Regulations under relevant written law. Provision of health and safety facilities within the institution for staff and students.

HEA requires that a Higher Education Institution has facilities to assure health and safety for learners and staff. Specifically the following are required:

- a) Compliance certificates with the prescribed minimum requirements of health and safety and conforms to the building regulations under the relevant written law;
- b) Internal health and safety arrangements including Warning posters, marks, and other information documents.

10. Any other information

Please provide additional information pertinent to this application, which has not been provided above.

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