HIGHER EDUCATION AUTHORITY

Audit of Conventional and Dual Higher Education Institutions

Write the name of the Institution Below

JANUARY 2020

1.0 Introduction

The Higher Education Authority will conduct a desk review of the submitted self-assessment profile. Upon satisfaction that the self-audit has been properly conducted, a site visit will be conducted in accordance with the Higher Education Act No. 4 of 2013.

2.0   Findings

The findings column shall be used to state the observations on which the scoring shall be based. Below are the score sheets for conventional or face to face higher education institutions. Tick in the appropriate column for each quality standard from a range of 0-5 where is 0 is the lowest and 5 is the highest. Note that Core Requirements are abbreviated as CR.

CR1: Vision, Mission and Strategic Objectives									
Scope: The higher education institution has published vision and mission that reflect its academic commitments and the needs of society; and strategic objectives that are consistent with its vision and mission.									
Quality Standard	**Performance Indicator**	**Means of Verification**	**Findings**	**Score**					
				0	1	2	3	4	5
The institution has a stated vision and mission that is supported by specific and clearly defined goals and objectives	a) Vision and Mission statements which have been formally adopted b) A Mission Statement which reflects the character of the Institution c) The vision and mission are made known to all stakeholders	a) Vision and Mission Statements b) Institutional Handbook/ brochures							
The institution has a Strategy that is supported by clearly defined short, medium, and long-term objectives which are consistent with its vision and mission	There must be: A Strategic Plan/ Operational Plan which indicates short, medium, and long-term objectives	a) Strategic Plan b) Operational Plan							

The institution has stated core values and mechanisms to ensure adherence to them by staff and students	a) Statements on core values b) Core values are strictly adhered to by all students and staff c) Violations of core values viewed seriously by the institution and action initiated	a) Core Values b) Defined codes of conduct/rules and regulations							

Maximum Score = 15

Weighting Factor = 5%

Weighted Maximum Score = Maximum Score × Weighting Factor =15× 5% = 0.75

Weighted Actual Score (S1) = Actual Score × Weighting Factor

CR2: Governance and Management									
Scope: The Higher Education Institution has Governance and Management Structures that ensure sound and ethical governance and management of the institution.									
Quality Standard	**Performance Indicator**	**Means of Verification**	**Findings**	**Score**					
				0	1	2	3	4	5
A stated Vision, Mission and Strategy that is supported by specific and clearly defined objectives.	d) Vision and Mission statements which have been formally adopted e) A Mission Statement which reflects the character of the Institution f) The vision and mission statements known by staff g) A Strategic Plan/Operational	c) Vision and Mission Statements d) Institutional Handbook e) Strategic Plan/ Operational Plan							

	Plan which indicates short, medium, and long-term objectives								
A governing system conforming to statutory requirements and institutional statutes	There must be: a) Existence of a functioning Council and its Committees b) Well defined roles of different committees of the Council c) Qualifications of Council members d) Names of Proprietors or Shareholders e) Operational policies of the council	a) Terms of reference or operational manuals for the Council and Committees b) List of Names and qualifications of Council members c) Names of different committees of the Council with named members d) Minutes /Reports of Council and Committee Meetings e) List of Names of Proprietors or Shareholders								
A Senate with roles and responsibilities.	Manuals/ policies must be available showing: a) Existence of a functioning Senate and its committees b) Well defined roles of Senate Committees c) Existence of functioning Board(s) of Studies d) Existence of functioning	a) Terms of reference or operational manuals for the senate and committees b) Names and qualifications of Senators c) Names of different committees of senate								

	Board(s) of Examiners	with named members d) List of members of Board of studies e) List of members of Board of examiners f) Minutes and Reports of the Senate, Board of studies and Board of examiners						
A clearly defined management structure.	a) Well defined Institutional management structure b) Well defined faculty structure c) Existence of Senate d) Roles of management members	a) Institutional Organogram b) List of Senate members c) Minutes of Senate Meetings d) Management committees e) Management Committees' reports f) Board of studies g) Management reports to the Council/Board						
A clear organisation of Faculties and/or Directorates.	Clear illustration of: a) well-defined faculty structure b) Departmentalisation c) Staffing in each department/ unit shown	a) Faculty organogram b) Board of studies reports c) Departmental reports						
A management staffed by qualified	Management staff with Appropriate qualifications must	a) Curriculum Vitae of key Management						

| administrators who have appropriate qualifications and experience for their positions. | be in place:
a. VC with PhD and 10 years work experience
b. DVC with PhD and 5 years work experience or Master's Degree and 10 years work experience
c. Dean of school with Master's Degree and 5 years work experience
d. Registrar with Master's Degree and 5 years work experience
e. Librarian with Master's Degree and 5 years work experience
f. Bursar with ACCA or CIMA or equivalent and 5 years work experience
g. Director or Dean of student services with Bachelor's and 5 years work experience | Staff
b) Copies of Job Descriptions for key manage staff
c) Appointment Letters or Contracts for key management staff | | | | | | | |

Maximum Score   =   30

Weighting Factor   **=   15%**

Weighted Maximum Score   =   Maximum Score × Weighting Factor =30× 15% = 4.5

Weighted Actual Score (S2)   =   Actual Score × Weighting Factor

CR3: Academic Programmes										
Scope: The Higher Education Institution has clear definition of Academic Programmes.										
Quality Standard	Performance Indicator	Means of verification	Findings	Score						
				0	1	2	3	4	5	
Academic Policies and Regulations are clearly documented	Documents showing: a) Policy on curriculum development, evaluation and review b) Documented course credit system c) Documented awards systems including honorary awards	a) Curriculum development policy available b) Award Manuals/ policy documents c) Academic regulations								
A clear definition of Open and Distance Learning (ODL) or Open, Distance and electronic Learning (ODeL) programmes: Undergraduate, Post Graduate and Research. **(Applicable to Dual HEIs)**	Policy documents on ODL or ODeL mode showing: a) levels of study and academic qualifications under ODL/ODeL, teaching, learning and monitoring b) ODL learner support and learner assessment methods	a) ODL/ODeL Policy document								

Maximum Score **(Conventional HEIs)** = 5
Weighting Factor **= 5%**
Weighted Maximum Score = Maximum Score × Weighting Factor = 10 × 5% = 0.25
Weighted Actual Score (S3) = Actual Score × Weighting Factor

Maximum Score **(Dual HEIs)** = 10
Weighting Factor **= 5%**
Weighted Maximum Score = Maximum Score × Weighting Factor = 10 × 5% = 0.5
Weighted Actual Score (S3) = Actual Score × Weighting Factor

CR4: Teaching and Learning support systems										
Scope: The Higher Education Institution has policies and structures for student admissions and learner support.										
Quality Standard	**Performance Indicator**	**Means of verification**	**Findings**	**Score**						
				0	1	2	3	4	5	
Admission procedures are clear, accurate and provide helpful information to prospective learners.	a) Admission Policies and guidelines must be available b) Admission criteria for each programme at every level documented c) Information on courses and course entry requirements available d) Information on registration procedures available	a) Admission Guidelines documents b) Student handbook c) Prospectus/ brochures d) Student registration guidelines e) Institutional website								
Academic calendar clearly structured and documented	a) Academic calendar development policy available	a) Academic calendar b) Academic calendar development policy								

	b) Academic calendar is made available to both students and staff	c) Memos/ Circulars on circulation of academic calendar (including electronic copies)								
Learner support systems.	Availability of: a) Student affairs unit b) Student counselling Unit c) Student information dissemination services d) Ambulation and basic health support services e) Recreation and sports services	a) Students Affairs Unit activity/operations reports b) Student Counselling Unit reports c) Academic Office/ student information desk d) Sports and recreation schedules/reports								
Teaching and learning systems.	a) Development of Course materials and dissemination to students b) Quality of course materials c) Course materials storage d) Course materials distribution system defined e) defined teaching and learning methods	a) Policy and Guidelines on the development of course materials b) Availability of printing facilities at the institution c) Modules in print and/or electronic format for distance and eLearning d) Availability of storage facilities for course materials and ODL modules e) Availability of strong room for storage of exam materials f) Defined system for distribution of course								

		materials to students g) Prescribed course readings (print or electronic)							
Learner assessment systems.	Learner assessment procedures manuals showing: a) how assignments are given and marked b) how tests are set, administered and marked c) how continuous assessments, examinations and grades are compiled d) how examinations are moderated e) how external examinations are conducted	a) Learner assessment Manual a) Internal and external examination moderation procedures manual b) Invigilation procedures manuals c) External examiners reports							
An up-to-date learner records management system.	Defined student information management system that has and shows: a) A comprehensive database of learner profiles b) Learner status (student financial record, student results etc.)	a) Management Information System (MIS) b) Learner profiles portal c) Policy on Students' records management d) Academic records management guidelines e) Guidelines for retrieval of archived records							

	c) Archived information d) Security procedures for student records	f) MIS authorisation and security guidelines g) A demonstration of the learner records management system							

Maximum Score   = 30
Weighting Factor   = 5%
Weighted Maximum Score   = Maximum Score × Weighting Factor = 30 × 5% = 1.5
Weighted Actual Score (S4)   = Actual Score × Weighting

CR5: Staffing and Training									
Scope: The Higher Education Institution has sufficient qualified and skilled academic and administrative staff.									
Quality Standard	**Performance Indicator**	**Means of verification**	**Findings**	**Score**					
				0	1	2	3	4	5
A policy on staff recruitment, promotion and staff development.	Policy guidelines and procedures relating to staff recruitment, promotion and development available	a) Staff recruitment and promotion policy b) Staff development and training policy							
Proven sufficient numbers of qualified full-time academic staff with appropriate qualifications, skills and expertise.	a) Staff establishment with clearly defined academic ranks/ categorisation b) Roles and responsibilities of academic staff defined	a) Academic staff establishment register b) CVs of employed academic staff with cleared certificates by ZAQA c) Job descriptions for academic staff d) Contract/proof of employment for academic							

		staff e) Academic staff Register (Full-Time and Part-Time) f) Staff - student ratio records									
Proven sufficient numbers of administrative staff and support staff for carrying out academic programmes.	a) Staff establishment register available b) Roles and responsibilities defined for all administrative and support staff	a) CVs of employed administrative and support staff b) Job descriptions for administrative staff c) Contracts/proof of employment for administrative staff d) Administrative and support Staff Register									
Training of staff involved in ODeL. **(Applicable to Dual HEIs)**	a) Staff trained in ODeL b) Training programmes in ODeL available	a) Staff development policies in ODeL b) Staff development/training reports c) Staff certificates of training in ODeL d) Register of staff undergone ODeL training									
Staff training in pedagogy/teaching methodology and ICTs.	a) Staff trained in pedagogy/teaching methodology b) Staff trained in ICTs c) Training and staff development programmes to improve the quality of staff	a) Staff training policy in Pedagogy/teaching methodology b) Staff certificates of training in Pedagogy and ICTs c) Staff training and development plan d) Staff training and development reports									

| Conditions of service for all staff. | a) Terms and Conditions of Service established and disseminated.
b) Payroll showing filled positions for all staff available | a) Terms and Conditions of Service
b) Human Resource Management Policy Documents
c) Payroll for all staff | | | | | | | |

Maximum Score **(Conventional HEIs)**   = 25
Weighting Factor   **= 15%**
Weighted Maximum Score   = Maximum Score × Weighting Factor = 25 ×15% = 3.75
Weighted Actual Score (S5)   = Actual Score × Weighting Factor

Maximum Score **(Dual HEIs)**   = 30
Weighting Factor   **= 15%**
Weighted Maximum Score   = Maximum Score × Weighting Factor = 30 ×15% = 4.5
Weighted Actual Score (S5)   = Actual Score × Weighting Factor

CR6: Physical Infrastructure									
Scope: The Higher Education Institution has adequate and appropriate infrastructure, facilities and resources to support teaching, learning and research.									
Quality Standard	**Performance Indicator**	**Means of Verification**	**Findings**	**Score**					
				0	1	2	3	4	5
Physical facilities in sufficient quantity and quality to support teaching and learning.	There must be: a) Adequate lecture rooms to support contact sessions b) Physical facilities to support tutorials/small	a) Visit to physical facilities b) Interaction with students							

	group interactions c) Science laboratories, where applicable d) Skills laboratory, where applicable e) Examination halls									
Sufficient office space for academic and administrative staff with access to technology to support teaching, learning and research.	Availability of: a) Office space with necessary technological infrastructure for academic staff b) Office space with necessary technological infrastructure for administrative staff	a) Visit to physical facilities b) Interaction with staff								
Physical facilities to support learners	Availability of: a) Adequate accommodation facilities b) Cafeteria on site or nearby c) Bookshops d) Sickbay/Clinic e) Recreational facilities	a) Visit to physical facilities b) Interaction with students								
A Library with technology aided learning materials to enable students to acquire information.	Availability of a library which is: a) Up-to-date and easily accessible to learners b) Computerised with sufficient physical and electronic materials (e-	a) Visit to the library b) Demonstration of online library c) Interaction with students								

Quality Standard	Performance Indicator	Means of Verification	Findings	Score					
				0	1	2	3	4	5
	c) Sufficiently staffed with qualified staff trained to deal with the latest electronic media								
Infrastructure development plans in place	There must be: a) A master plan reflecting the future infrastructure development b) Annual review of facilities and usage rates c) Budgetary allocation for infrastructure maintenance and development	a) Master plan on infrastructure development b) Infrastructure development committee c) Institutional Budget							

Maximum Score　　　　　　　　　　= 　25

Weighting Factor　　　　　　　　**= 　25%**

Weighted Maximum Score　　　　= 　Maximum Score × Weighting Factor = 25 × 25% = 6.25

Weighted Actual Score (S6)　　　= 　Actual Score × Weighting Factor

CR7: Financial Resources									
Scope: The Higher Education Institution has adequate financial resources to support operations.									
Quality Standard	**Performance Indicator**	**Means of Verification**	**Findings**	**Score**					
				0	1	2	3	4	5
Financial resources to support operations.	a) Availability of finances b) Percentage of Funds allocated to teaching and learning defined	a) Bank Statements for the institution (last six months) b) Financial statement/ balance sheet c) Institutional Annual							

		Budget							
Accounting systems are in line with accepted accounting standards.	There must be: a) A financial management unit b) Financial management systems and procedures implemented c) Financial regulations implemented	a) A Financial accounting system (e.g. Pastel) b) Payroll system c) Audit guidelines d) Audit Committee e) Sufficiently qualified finance staff							
A risk management and external auditing system in place.	a) A risk management system b) External auditing system c) Internal auditing system	a) Audited financial reports/ statements b) Risk management policy document c) Management letters from auditors d) Contract with external auditors e) Disposable assets							
A policy on student fees refunds.	Availability of a policy on student fees refunds on grounds of: a) Withdrawal from school, suspension and expulsion b) Late registration charges	Tuition Fee Refund Policy							

Maximum Score   =   20

Weighting Factor   **=   5%**

Weighted Maximum Score   =   Maximum Score × Weighting Factor = 20 × 5% = 1

Weighted Actual Score (S7)   =   Actual Score × Weighting Factor

CR8: Health and Safety									
Scope: The Higher Education Institution has facilities to assure health and safety for learners and staff									
Quality Standard	**Performance Indicator**	**Means of verification**	**Findings**	**Score**					
				0	1	2	3	4	5
Compliance with the prescribed minimum requirements of health and safety and conforms to the building regulations under the relevant written law.	a) Health clearance certificate obtained b) Occupancy authority obtained c) Fire safety system available d) Business Levy obtained	Availability of: a) Valid Health clearance certificate b) Valid Occupancy certificate c) Serviced Fire extinguishers d) Fire assembly signs/point e) Valid Business Levy Certificate f) Valid Fire Certificate							
Provision for the safety and security of students and staff.	Availability of: a) Security and safety warning information b) Campus map displayed c) Campus security d) First Aid services	a) Security signs and posts b) Safety and security booklet c) Campus map showing facilities d) Security facilities/measures/perso nnel							

		e) First Aid kits							
Water and Sanitation.	Availability of: a) Clean running water b) Sanitation facilities c) Safe sewer system d) Waste management system e) Adequate ablution facilities	a) Waste management contract/collection procedure b) Waste bins c) Waterborne toilets and bathroom sinks d) Functional water reticulation system e) Sewer system, septic tanks							

Maximum Score = 15

Weighting Factor = 5%

Weighted Maximum Score = Maximum Score × Weighting Factor = 15 × 5% = 0.75

Weighted Actual Score (S8) = Actual Score × Weighting Factor

CR9: Research and Innovation									
Scope: The Higher Education Institution has capability and capacity for research.									
Quality Standard	Performance Indicator	Means of Verification	Findings	Score					
				0	1	2	3	4	5
The institution actively encourages and promotes research by staff and learners.	a) Research Policy available b) Research directorate/ unit available c) Institutional Journal(s)	a) Research implementation plan document/Policy b) Annual institutional budget c) Research directorate/Unit							

	d) Research implemented e) Budgetary allocation to research f) Research capacity building in place g) Research projects available	available d) Institutional Journal(s) e) Research reports f) Research capacity building plan g) Capacity building reports h) Research publication strategy i) Research outputs (e.g. journal articles, books etc)								
Adequate infrastructure and facilities to support research.	Facilities to support the research agenda	a) Laboratories b) Research Equipment and materials c) Library/Resource centre d) Computer laboratory e) E-resources f) Internet connectivity g) Research depository system h) Demonstration sites								
Measures to ensure ethical practices in research.	a) Ethics guidelines/policy available b) Mechanisms to ensure compliance with ethical standard available.	a) Ethics guidelines/Policy b) Ethics committee c) Minutes and reports of the Ethics Committee d) Anti-plagiarism software								

Maximum Score = 15

Weighting Factor = 10%

Weighted Maximum Score = Maximum Score × Weighting Factor = 15 × 10% = 1.5

Weighted Actual Score (S9) = Actual Score × Weighting Factor

CR10: Technological Infrastructure

Scope: The Higher Education Institution has adequate technological facilities for effective institutional functioning.

Quality Standard	Performance Indicator	Means of verification	Findings	Score					
				0	1	2	3	4	5
Adoption of eLearning.	Availability of: a) eLearning platforms b) Subscription to e-databases c) Usage of eLearning platforms for teaching and learning	a) E-learning platforms (e.g. Moodle, Astria, Blackboard) b) E-learning policy document c) E-learning subscription records d) e-databases subscription records							
Information and communication technologies for teaching and learning.	a) Availability of ICT Infrastructure for Teaching and Learning b) Availability of internet connectivity c) Availability of ICT rooms d) Course materials printing and distribution technologies	a) Computing facilities b) Internet connectivity c) ICT/Computer Rooms d) Printers/Photocopiers							
Technology systems to support management and operational functions.	a) Management information system available b) Human Resources Management system available c) Communication systems available	a) Management Information System (MIS) b) ICT facilities for management and staff c) Electronic Human Resource Management system							

| | | d) E-communication platform for staff and students | | | | | | | |

Maximum Score	=	15
Weighting Factor	**=**	**5%**
Weighted Maximum Score	=	Maximum Score × Weighting Factor = 15 × 5% = 0.75
Weighted Actual Score (S10)	=	Actual Score × Weighting Factor

CR11: Quality Assurance Implementation

Scope: The Higher Education Institution has a robust system for implementing and reviewing quality assurance procedures.

Quality Standard	Performance Indicator	Means of Verification	Findings	Score					
				0	1	2	3	4	5
The institution has a stated policy with regard to quality assurance and monitoring in all aspects of its operations.	There must be: a) A quality Assurance framework to ensure the quality of academic and administrative activities b) Internal quality assurance processes for both administrative and academic activities c) Communication of quality assurance policies and procedures to all departments.	a) Quality Assurance Policy b) Quality Assurance implementation Guidelines c) Internal quality assurance team/ Directorate d) Internal Circulars/ Memos							

There is a system for implementing and reviewing the quality assurance procedures of the institution.	There must be: a) Quality audits/reviews at regular intervals in the institution b) Constant monitoring of the effectiveness of the institution's quality assurance procedures c) Training of staff in quality assurance procedures for effective implementation d) Specific improvement targets are identified for each activity subjected to monitoring and review	a) Quality Assurance Committee b) Monitoring schedules c) Quality Audits Schedules d) Quality Audits Reports e) Quality Assurance Procedures Review Reports f) Minutes and Agendas of Quality Assurance Committee Meetings g) Training Modules in Quality Assurance h) Staff Training Reports							
There is a system for appraising the performance of all categories of staff at regular intervals	There must be: a) A system for evaluating staff performance regularly through performance appraisals b) Confidential learner feedback on academic staff and courses	a) Staff appraisal system b) Signed staff appraisal forms c) Student feedback questionnaires d) Staff personal files							

Maximum Score   = 15
Weighting Factor   **= 5%**
Weighted Maximum Score = Maximum Score × Weighting Factor = 15 × 5% = 0.75
Weighted Actual Score (S11) = Actual Score × Weighting Factor

4.0   Evaluation of Scores

Weighted Scores

Quality Attribute	Weighted Maximum Score (Conventional HEI)	Weighted Maximum Score (Dual HEI)	Weighted Actual Score
Vision, Mission and Strategy	0.75	0.75	S1
Governance and Management	4.5	4.5	S2
Academic Programmes	0.25	0.5	S3
Teaching and Learning	1.5	1.5	S4
Staffing and training	3.75	4.5	S5
Physical Infrastructure	6.25	6.25	S6
Financial Resources	1	1	S7
Health and safety	0.75	0.75	S8
Research	1.5	1.5	S9
Technological Infrastructure	0.75	0.75	S10
Quality Assurance Implementation	0.75	0.75	S11
	21.75	**22.75**	**$\sum$ (S1…S9)**
	100%	**100%**	**%**

4.1   Evaluation Process and Decision Criteria

Aggregate Score	Decision
75% and above	Good
50% to 75%	Satisfactory
Below 50%	Poor

4.2   Summary of Assessments on The Quality of Criteria

Criterion		Assessment scale		
Requirements		**Good**	**Satisfactory**	**Poor**
	Vision, Mission and Strategy			
	Governance and Management			
	Academic Programmes			
	Student Admission and Learner Support			
	Staff			
	Physical Infrastructure			
	Financial Resources			
	Health and Safety			
	Research			
	Technology Infrastructure			
	Quality Assurance Implementation			

Note:
Good (= Criteria are sufficiently met)
Satisfactory (=Criteria are met relatively well. Deficiencies can be remedied in short period of time)
Poor (= Criteria are insufficiently met. Serious deficiencies exist in many cases)