



ASSESSMENT GUIDE FOR AUDIT OF HIGHER EDUCATION INSTITUTIONS

APPLICANT'S DETAILS

NAME OF HIGHER EDUCATION INSTITUTION		
TYPE OF HIGHER EDUCATION INSTITUTION	<i>Tick where applicable</i>	
	University	<input type="checkbox"/>
	Technical University	<input type="checkbox"/>
	University College	<input type="checkbox"/>
	Technical University College	<input type="checkbox"/>
	College	<input type="checkbox"/>
	Institute	<input type="checkbox"/>
Institution for Specialised Training of Professionals in a Specified Field	<input type="checkbox"/>	
MODE OF EDUCATION DELIVERY (State whether ODeL, Dual or Conventional)		
DATE OF SUBMISSION OF SELF-AUDIT REPORT		
DATE OF AUDIT		
ASSESSMENT TEAM LEADER		
ASSESSMENT TEAM MEMBERS		

INSTRUCTIONS

1. A Higher Education Institution shall by 31st March of each year conduct a self-assessment using this audit guide and submit the self-assessment report to:

The Director General
Higher Education Authority
P.O. Box 50795
LUSAKA

2. The self-assessment report referred to in one (1) above, shall be submitted with the following documents:

Documents to be attached		Check	
		Yes	No
1)	A copy of the Operational Plan/Strategic Plan (if updated)		
2)	Statutes of the institution (if updated)		
3)	Academic policy document(s) covering admissions, progression, e-learning, student transfer, assessment, awards, academic calendar development, fee refund policy and student record management (this does not apply to institutes)		
4)	Curriculum Development and Review Policy (if updated and this does not apply to institutes)		
5)	Open and Distance Learning policy, where applicable		
6)	Terms and Conditions of Service (if updated)		
7)	Curriculum vitae of principal officers (this does not apply to institutes and institutions for specialised training of professionals in a specified field)		
8)	Record of academic staff recruitments and promotions in the previous year, where applicable		
9)	Record of student enrolments and graduates in the previous year		
10)	Updated Student Handbook covering registration procedures, information on courses, examination regulations etc		
11)	Evidence of financial resources or guarantee		
12)	Annual budget and cashflow statement (this do not apply to institutions for specialised training of professional in a specified field)		
13)	Financial management policies and procedures, including risk management (this does not apply to institutions for specialised training of professionals in a specified field)		
14)	Audited financial statements (this does not apply to institutions for specialised training of professionals in a specified field)		
15)	Quality assurance implementation report		
16)	Annual Research and Consultancy Report (this does not apply to institutions for specialised training of professionals in a specified field)		
17)	Infrastructure Development Master Plan where applicable		
18)	Zambia Revenue Authority tax clearance certificate		
19)	NAPSA Compliance Certificate		
20)	Proof of payment of annual levy (this does not apply to institutes)		
21)	Fire certificate (this does not apply to institutions for specialised training of professionals in a specified field that do not conduct training at their premises)		

22)	Health Permit from the Local Authority (this does not apply to institutions for specialised training of professional in a specified field that do not conduct training at their premises)		
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Introduction

This audit guide shall be used in conducting a self-assessment by a higher education institution and institutional audits by the Authority. After conducting a self-assessment, an HEI shall submit a self-assessment report to the Authority. Upon receipt of the report from the HEI, the Authority shall conduct a desk review of the report and may conduct an institutional audit site visit in accordance with the Higher Education Act No. 4 of 2013.

This assessment guide consists of requirements (R), standards, guidelines and performance indicators, weaknesses, strengths, and recommendations that should be considered during the audit. 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 score shall be 1. Where an institution provides partial evidence, the score shall be 0.5 and where there is no evidence, the score shall be zero (0).

R1: Operational/Strategic Plan

Standard 1: The institution has an approved up-to-date operational/strategic plan which is being implemented to achieve its defined goals and objectives.

Guideline: In assessing this item, the assessment team should review the strategic plan, implementation plan and progress reports to determine whether the institution is on course in the implementation of the strategic plan. The assessment team should provide a score for the following:

Performance Indicator	Findings	Max Score	Actual Score
Availability of an implementation plan for the operational/strategic plan		1	
Quarterly/annual progress reports on the implementation of the operational/strategic plan are available		1	
Total Scores		2	
Weighted Score	Actual Score/2 X 2%		
Strengths:			
Weaknesses:			
Recommendation:			

Note: Institutions of specialised training of professionals must focus on reporting progress related to training activities in the strategic plan.

R2: Governance and Management

Standard 2.1: The institution has functional governance structures that ensure ethical and effective governance of the institution (Not applicable to institutions of specialised training of professionals that do not provide tuition).

Guidelines: In assessing this item, the team should review the composition of council/management board, senate/academic board, to determine if it comprises qualified members and is line with the Higher Education Act. In addition, the team should review reports and minutes of proceedings of the following governance bodies to determine if they are operational.

Performance Indicator	Findings	Max Score	Actual Score
Existence of a functional council/management board evidenced by reports/minutes for previous year		1	
Council members/management board members appointed in accordance with the statutes of the institution and in line with HEA's standards and guidelines		1	
Existence of a functional senate/academic board evidenced by reports/minutes for previous year		1	
Board of studies at school or departmental level are operational evidenced by reports/minutes for previous year		1	
Board of examiners/examinations committee at school or departmental level are operational evidenced by reports/minutes for previous year		1	
Total Scores		5	
Weighted Score	Actual Score/5 X 7%		
Strengths:			
Weaknesses:			
Recommendation:			

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 management reports and curriculum vitae of principal officers to ensure that management is appropriately qualified and functional.

Performance Indicator		Findings	Max Score	Actual Score
Existence of a functional management evidenced by reports and minutes of planned meetings			1	
Existence of a functional academic unit/department for coordination of professional training ¹			1	
Management team members have appropriate qualifications and experience:	Vice-Chancellor		1	
	Principal		1	
	Deputy Vice-Chancellor-Academic Affairs		1	
	Deputy Vice-Chancellor-Research and Innovation		1	
	Vice- Principal		1	
	Registrar		1	

¹ Applicable to Institutions of specialised training of professionals

	Chief Financial Officer		1	
	Finance Manager		1	
	Finance Head		1	
	Chief Librarian		1	
	College Librarian		1	
	Dean of Students		1	
	Student Affairs Officer		1	
	Coordinator for professional training programmes		1	
	Research institutes management team members are qualified ²		1	
Total Score			17	

² Applicable to research institutes

Weighted Score	Actual Score/17 X 10%		
Strengths:			
Weaknesses:			
Recommendation:			

R3: Academic Programmes and Policies

Standard 3.1: The Institution has well-defined academic programmes and policies.

Guideline: In scoring this item the assessment team shall review the list of academic programmes, certificates of accreditation and policies to determine whether the academic programmes are accredited and are being implemented in line with approved academic policies.

Performance Indicator	Findings	Max Score	Actual Score
100% of academic/training programmes accredited by the Authority		1	
The institution adheres to admission policies in the enrolment of students in learning programmes		1	
There is an external examiner for each programme the institution offers as evidenced by external examiners reports/engagement letters.		1	
Existence of a policy/guidelines on the development of an academic calendar		1	
Existence of an academic calendar		1	
Total Score		5	
Weighted Score	Actual Score/5 X 5%		
Strengths:			
Weaknesses:			
Recommendation:			

Additional Data required on programmes

<i>Requirement</i>	<i>Findings (Number)</i>
Number of programmes submitted for accreditation in the previous year	

Number of students admitted the previous year by gender and programme (<i>provide attachment</i>)	
Total number of students in the previous year	
Number of academic staff in all programmes in the previous year	
Number of students who graduated in the previous year by gender and programme (<i>provide attachment</i>)	

R4: Staffing and Training

Standard 4.1: The institution has qualified staff and is implementing policies on staff qualifications, recruitment, and development.

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

Performance Indicator	Findings	Max Score	Actual Score
The institution has qualified staff as evidenced by staff contracts and CVs		1	
The institution has qualified administrative and support staff as evidenced by staff contracts and CVs		1	
Roles and responsibilities for all staff are defined		1	
Full-time to part-time ratio for academic staff is in line with HEA standards and guidelines (60:40)		1	
All academic staff are trained in ICT		1	
All academic staff are trained in ODeL		1	
All academic staff have pedagogical training		1	
Total Scores		7	
Weighted Score	Actual Score/7 X 15%		
Strengths:			
Weaknesses:			
Recommendation:			

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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 should also ensure that the institution has a policy on training material development/distribution and provisions for academic and psychosocial counselling.

Note: *Not applicable to a research institute*

Performance Indicator	Findings	Max Score	Actual Score
Existence of a student handbook providing information on admission procedures, registration process, available learning programmes, progression requirements, assessment, credit transfer and graduation.		1	
Existence of a functional students' affairs unit as evidenced by operational records		1	
Existence of a policy on student welfare, counselling, and orientation		1	
Existence of a functional student counselling unit as evidenced by operational records		1	
Existence of a learner support system for ODL programmes including a) Learner guide on ODL/e-learning b) A policy on instructional material development, production, and distribution to learners		1	
Existence of a code of conduct and disciplinary measures document for students		1	
Availability of a facility for production and storage of instructional and examination material		1	
Total Score		7	
Weighted Score	Actual Score/7 X 5%		

R6: Financial Resources

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

Guidelines: In scoring this item the assessment team will 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 an institutional annual budget (for staff emoluments, teaching and learning resources; postgraduate research and research committees)		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 Scores		5	
Weighted Score	Actual Score/5 X 4%		
Strengths: Weaknesses: Recommendation:			

R7: Internal Quality Assurance (IQA)

Standard 7.1: The institution has a quality assurance unit and well-defined quality assurance policies and procedures for its learning programmes and operations.

Guidelines: In scoring this item, the assessment team must confirm that a quality assurance coordination unit/directorate is available and functional. The assessment team must also confirm that quality assurance activities are being implemented. The means of verification that should be used in assessing this item include policy documents, CVs, quality assurance reports and minutes of quality assurance meetings.

Performance Indicator	Findings	Max Score	Actual Score
The HEI has a quality assurance policy/framework		1	
The HEI has a functional quality assurance coordination unit/directorate		1	
The quality assurance unit/directorate is headed by qualified personnel*		1	
The quality assurance unit/directorate is facilitating the implementation of quality assurance activities		1	
The quality assurance unit/directorate has regular meetings		1	
The quality assurance unit/directorate keeps up to date records of its activities		1	
The quality assurance unit/directorate regularly conducts surveys of its students and graduates (e.g., graduate tracer studies, student satisfaction surveys and employer satisfaction surveys)		1	
The quality assurance unit/directorate regularly conducts assessments of the institution's academic/research programmes, institutional policies, procedures, and activities		1	
The quality assurance unit/directorate has an information/record management system for the purposes of storing/archiving data such as number of students and staff, number of graduates per programme, annual enrolments/admissions, number of programmes		1	
Total Score		9	
Weighted Score	Actual Score/9 X 10%		
Strengths:			
Weaknesses:			
Recommendation:			

**For a university/technical university/, the quality assurance unit should be headed by senior academic with a PhD or equivalent qualifications.*

**For a university college/technical university college, the quality assurance unit should be headed by a higher education practitioner/academic with a Master’s degree.*

**For a college, the quality assurance unit should be headed by senior/principal lecturer with at least a Bachelor’s degree or equivalent.*

**For an institution of specialised training of professionals in a specified field the quality assurance unit shall be headed by an experienced higher education practitioner.*

R8: Technological Infrastructure

Standard 8.1: The Higher Education 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
HEI has an up-to-date ICT plan for purposes of procuring, maintaining and upgrading of ICT equipment and technologies, ensuring reliability, privacy, safety, and security;		1	
ICT unit is staffed with personnel that have IT/Computing qualifications		1	
HEI has the following functional technological systems: Student information management system is functional and accessible to students		1	
HEI is utilizing E-learning platforms in teaching and learning		1	
E-library Services are accessible to student and staff		1	
The HEI has an up-to-date Website including a system for frequently asked questions		1	
The HEI has a functional online repository		1	
HEI has Internal and External communication systems		1	
The HEI has Plagiarism software		1	

The HEI has a system for security and verification of candidates for online examinations		1	
Availability of the following ICT facilities;	a) Computing facilities (For staff and students)		1
	b) Server		1
	c) Internet connectivity (For staff and students)		1
	d) Printers		1
	e) Photocopiers		1
Total Score		15	
Weighted Score	Actual Score/15 X 10%		
Strengths:			
Weaknesses:			
Recommendation:			

R8: Health and Safety

Standard 8.1: The 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
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Availability a valid health clearance certificate		1	
Availability of occupancy certificate		1	
Availability of a valid fire certificate		1	
Availability of serviced 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		1	
Availability of waste bins around the campus		1	
Availability of an accessible water reticulation system		1	
Availability of functioning sewer system		1	
Ablution facilities for staff and students are clean and functional			
Total		12	
Weighted Score	Actual Score/12 X 4%		
Strengths:			
Weaknesses:			
Recommendation:			

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/Principal		1	
	b) Deputy Vice Chancellors/Vice principal		1	

	c) Registrar/HR Manager		1	
	d) Chief Financial Officer/Finance Manager/Finance Head		1	
	e) Chief Librarian/College Librarian		1	
	f) Dean of students/Student Affairs Officer		1	
	g) Academic and Administrative staff		1	
	h) Furnished lecture rooms* with student desks suitable for learners of 16 years of age and above		1	
Functional Library facility*			1	
Functional Conference Facility*			1	
Functional ICT rooms*			1	
Counselling office (student and staff) with the following: a) Tables and chairs for the counsellor(s) b) Chair(s) for counselees (at least 2 chairs for the counselees) c) Lockable cabinet			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 ³			1	
Availability of recreational facilities: a) Functional multi-purpose recreation hall/ Sports field			1	
The premises and environment of the HEI are in a clean and tidy state				
Total			18	
Weighted Score		Actual Score/18 X 28%		
Strengths:				

³ For institutions located at not less than 5km from an established health facility

Weaknesses:

Recommendation:

**Refer to Table 1 for detailed requirement*

OVERALL RECOMMENDATIONS

Strengths:

Weaknesses:

Recommendation(s):

Table 1: Detailed Requirements

Furnished Offices	Furnished lecture rooms	Library facility
a) Office Table b) Office Chair c) Visitor's chairs for principal offices	a) Minimum of two lecture rooms to accommodate three learning programmes and additional lecture rooms for	a) Furnished offices for library staff with; • Office Table • Lockable cabinet

<p>d) Desktop/laptop e) Printer or networked printer f) Dustbin g) Shredder (principal office) h) Internet connectivity i) Cross ventilation/air conditioning</p>	<p>added programmes for colleges b) Minimum of six lecture rooms to accommodate three learning programmes and additional lecture rooms for added programmes for university college/technical university college c) Minimum of ten lecture rooms to accommodate three learning programmes and additional lecture rooms for added programmes for university and technical university college d) Lecture room shall have a minimum floor size of 80m²/50 students e) and a multi-purpose hall shall be at least 210m²/150 students f) Table and chair g) Lecturers table and chair h) Writing board/projection i) Cross ventilation/air conditioning</p>	<ul style="list-style-type: none"> • Dustbin • Office Chair • Cross ventilation/air conditioning • Desktop/laptop • Printer or networked printer <p>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</p>
<p>ICT</p>	<p>Science Laboratory</p>	<p>Sickbay</p>
<p>a) ICT room shall be floor size of 80m² b) 10 computers for a college and 40 computers for university and university colleges</p>	<p>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 j) Sand bucket k) Fire extinguisher l) Fire blanket m) Fume hood</p>	<p>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 trolley 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</p>

Table 1: Detailed Requirements

Furnished Offices	Furnished lecture rooms	Library facility
<p>j) Office Table k) Office Chair l) Desktop/laptop m) Printer or networked printer n) Dustbin o) Shredder (principal office) p) Internet connectivity q) Cross ventilation/air conditioning</p>	<p>j) Minimum of six lecture rooms to accommodate three learning programmes and an additional lecture room for each added programme. k) Lecture room shall have a minimum floor size of 80m² l) and a multi-purpose hall shall be at least 210m² m) Table and chair n) Lecturers table and chair o) Writing board/projection p) Cross ventilation/air conditioning</p>	<p>e) Furnished offices for library staff with; <ul style="list-style-type: none"> • Office Table • Lockable cabinet • Dustbin • Office Chair • Cross ventilation/air conditioning • Desktop/laptop • Printer or networked printer f) Tables and chairs for library users g) Functional library computing facilities (at least one computer for staff and five for users) h) Bookshelves for reading materials</p>
ICT	Science Laboratory	Sickbay
<p>c) ICT rooms shall be floor size of 80m² d) at least one computer for staff and five for users</p>	<p>n) Sample preparation room o) Storage facility for reagents, equipment, and apparatus p) Laboratory furniture q) Laboratory sinks and water taps r) Ventilation chamber s) Gas pipes t) Writing board(s) u) ICT facilities v) Electrical sockets</p>	<p>a) Hospital bed b) Foot-stead c) First aid kit (with medical and surgical supplies) d) Table and chair for staff e) Waiting bench/two chairs f) Stretcher g) Lockable medicine cupboard h) Medicine trolley i) 3 dust bins with bin liners j) Linen (2 blankets, 2 pairs of bedsheets, two pillows) k) 3 thermometers l) Weighting machine m) 1 BP machine n) 1 Glucometer o) 1 Desktop p) Clean running water q) Water jar r) 2 large receivers s) 2 medium receivers</p>

EVALUATION OF SCORES

SN	Quality Attribute	Weighted Maximum Score (%)	Actual Weighted Score (%)
1.	Operational/Strategic Plan	2	
2.	Governance and Management	17	
3.	Academic Programmes	5	
4.	Staffing and Training	15	
5.	Teaching and Learning Support Systems	5	
6.	Financial Resources	4	
7.	Internal Quality Assurance	10	
8.	Technological Infrastructure	10	
9.	Health and Safety	4	
10	Physical Infrastructure	28	
TOTAL		100	

DECISION CRITERIA

DECISION	PERCENTAGE SCORE	TICK (✓)
Good Performance	75 – 100	
Satisfactory Performance	50 – 74.9	
Unsatisfactory Performance	0 – 49.9	
Major Recommendations:		

APPENDICES

Appendix I: Qualifications for Key Management Staff in HEIs in Zambia

Qualifications for Key Management Staff in a University

Position	Qualifications	Work Experience	Type of Work Experience
Vice Chancellor	PhD or equivalent	10 years, of which 5 years in Higher Education	Teaching and Administrative

		(HE) administration	
Deputy Vice Chancellor – Academic Affairs	PhD or equivalent	8 years, of which 4 years in Higher Education (HE) administration	Teaching and Administrative
Deputy Vice Chancellor- Research and Innovation	PhD or equivalent	8 years, of which 4 years in Higher Education (HE) administration	Teaching, Research and administrative
Registrar	Master’s Degree	5 years	Management experience
Chief Librarian	Master’s Degree	5 years	Management and or library practice
Chief Financial Officer	ACCA, CIMA, CA Zambia or equivalent	5 years	Accounting, Financial administration and Management
Dean of Students Affairs	Master’s Degree	5 years	Teaching/administration/ psychosocial counselling

Qualifications for Key Management Staff in a University College

Position	Qualifications	Work Experience	Type of Work Experience
Principal	PhD or equivalent	6 years, of which 3 years in Higher Education (HE) administration	Teaching and Administrative

	Master's degree	8 years, of which 4 years in Higher Education (HE) administration	
Vice Principal	PhD or equivalent	5 years, of which 2 years in Higher Education (HE) administration	Teaching and Administrative
	Master's degree	6 years, of which 3 years in Higher Education (HE) administration	
Registrar	Master's Degree	5 years	Administration or management
Chief Librarian	Master's Degree	3 years	Library work and administration
	Bachelor's Degree	5 years	
Finance Manager	NQF Level 8	3 years	Accounting, Financial administration and Management
Dean of Students Affairs	Master's Degree	3 years	Higher education teaching/ administration/ psychosocial counselling
	Bachelor's Degree	5 years	Higher education teaching/ administration/ psychosocial counselling

Qualifications for Key Management Staff in a College

Position	Qualifications	Work Experience	Type of Work Experience
Principal/Training Manager	Bachelor's Degree	5 years	teaching/administration/professional practice
Registrar	Bachelor's Degree	5 years	administrative experience
College Librarian	Bachelor's Degree	3 years	Library work and administration
Finance Head	NQF Level 7	5 years	Accounting, Financial administration and Management
Student Affairs Officer	Bachelor's Degree	2 years	experience in counselling and guidance/ teaching