



THE UNIVERSITY OF ZAMBIA

**QUALITY ASSURANCE
FRAMEWORK**

*Promoting Excellence In Teaching, Research
and Community Service*



QUALITY ASSURANCE FRAMEWORK

*Promoting Excellence in Teaching, Research
and Community Service*

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Published by University of Zambia Press for and on behalf of the
Directorate of Quality Assurance of the
University of Zambia
Great East Road, P.O. Box 32379,
Lusaka 10101, Zambia

Website: www.unza.zm

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ISBN: 978-9982-03-102-8

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FOREWORD

The University of Zambia considers quality in teaching and learning, research and community service as essential in its quest to accomplish its aspiration of joining the top universities in Africa and to emerge as a world class university. The University of Zambia Quality Assurance Framework has, therefore, been developed to serve as a guide in linking the many operational and developmental processes in University functions in order for the University to realize its vision and mission statements which are to be a ‘*Provider of World Class Services in Higher Education and Knowledge Generation*’ and ‘*To Provide Relevant Higher Education, through Teaching, Research and Community Service*’, respectively.

The University of Zambia Quality Assurance Framework is informed by two pieces of legislation in the Statutes of Zambia, namely, the Zambia Qualifications Authority Act No. 13 of 2011 under which the Zambia Qualifications Authority has been established and the Higher Education Act No. 4 of 2013 under which the Higher Education Authority has been established. The establishment of these two statutory bodies is an important milestone in ensuring, among other things, that qualification outcomes remain relevant and nationally consistent and that there is an effective regulatory and quality assurance system for higher education in the country. Such a system will act as a catalyst to the country’s socio-economic development and growth and will in turn positively impact on development indicators such as labour productivity, employment levels, incoming earning potential, poverty reduction and life expectancy. An enhanced regulatory and quality assurance system will also attract international students from within and outside the Southern Africa Development Committee (SADC) region to study in Zambia as a leading destination for academic excellence.

In this regard, the University of Zambia has established a central coordinating unit, the Quality Assurance Directorate, headed by a Director under the Office of the Vice-Chancellor to coordinate quality assurance activities. The Directorate will use the University of Zambia Quality Assurance Framework as the basis for the promotion, monitoring and evaluation of quality in the University. This Quality Assurance Directorate will place emphasis on overall institutional performance, curricula reforms to respond to the demands of the market, university-industry linkages, and better management of human and financial resources. Other focus areas of the Directorate are promotion of relevant and high quality research, community engagement, and technology-assisted monitoring mechanisms.

Finally, I would like to thank all the people who were involved in the development of the University of Zambia Quality Assurance Framework for offering their experience, insights and ideas. I hope that the use of this document will lead us to achieving the high standards we have set for ourselves and to be an active player in the global knowledge economy.

Professor Luke Evuta Mumba, PhD, MSc, BSc
VICE-CHANCELLOR

June, 2018

PREFACE

The University of Zambia Quality Assurance Framework provides guidelines and mechanisms for the promotion and enhancement of quality in all the functions of the University. The framework also provides procedures for evaluation and monitoring of the performance of the University against established institutional standards.

The Quality Assurance framework is designed to reflect:

- (i) The vision and mission of the University
- (ii) The legal and institutional frameworks under which the University operates.
- (iii) The governance and management structure of the University
- (iv) The main functions of the University, that is, teaching and learning, research and community service.
- (v) The collegial nature of the University and
- (vi) The University as a Community of scholars.

Quality Assurance is entirely the responsibility of the University. This responsibility is shared within the University through the various management, academic and operational units. In this regard, all University staff are expected to be familiar with the Quality Assurance Framework and to apply the processes, practices and maintain and enhance the standards contained therein. It is hoped that through this common and shared responsibility, a quality culture will develop, be nurtured and sustained in the University.

Dr. Edward Lusambo, , PhD, MSc, BEng
DIRECTOR, QUALITY ASSURANCE

ACKNOWLEDGEMENTS

This framework document was prepared and edited by the Ad hoc Committee on the Development of the Quality Assurance Framework constituted by the Vice-Chancellor of the University of Zambia. Special thanks go to the members of this committee for working together to develop the policies, guidelines and assessment procedures contained in this document. Special thanks also go to the University of Zambia Press who prepared the layout and undertook the proof reading of the text.

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LIST OF ABBREVIATIONS AND ACRONYMS

BDU	Business Development Unit
CPD	Continuous Professional Development
DE	Distance Education
DOSA	Dean of Students Affairs
DRGS	Directorate of Research and Graduate Studies
DVC	Deputy Vice-Chancellor
GPA	Grade Point Average
GRZ	Government of the Republic of Zambia
HEA	Higher Education Authority
HEI	Higher Education Institution
HEQMISSA	Higher Education Quality Management Initiative for Southern Africa
HoD	Head of Department
HRM	Human Resource Management
ICT	Information and Communication Technology
IDE	Institute of Distance Education
INESOR	Institute of Economic and Social Research
KRA	Key Result Area
M&E	Monitoring and Evaluation
MoU	Memorandum of Understanding
NCC	National Council for Construction
ODL	Open and Distance Learning
PMS	Performance Management System
PPP	Public Private Partnership
QA	Quality Assurance
QAC	Quality Assurance Committee
QAD	Quality Assurance Directorate
QAF	Qualifications Assurance Framework
QCC	Quality Control Committee
RAIMC	Research Audit, Implementation Monitoring Committee
SA	Self Assessment
SADC	Southern African Development Community
SAHEQAA	Southern African Higher Education Quality Assurance Agency
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
UTLIP	University Teaching and Learning Improvement Programme
ZAQA	Zambia Qualifications Authority
ZQF	Zambia Qualifications Framework

WORKING DEFINITIONS

Academic staff	University personnel whose primary assignment is instruction, research, or public service in an institution. In this regard, academic staff are grouped into teaching staff, research fellows and library staff who are involved in teaching.
Accreditation	The establishment or of the status, legitimacy or appropriateness of an institution, program or module of study.
Accreditation Body	An organisation delegated to make decisions, on behalf of the higher education sector, about the status, legitimacy or appropriateness of an institution, or programme.
Administrative staff	An individual in regular salaried appointment in a position carrying duties and responsibilities involving management in support of the functions and direction of the institution.
Agency	In the context of quality in higher education, any organisation that undertakes any kind of monitoring, evaluation or review of the quality of higher education.
Assessment	In the context of quality assurance, assessment is the process of identifying and ensuring that appropriate internal procedures are in place and operational and that outcomes of academic programmes and activities are in accordance with established standards.
Audit	Audit, in the context of quality in higher education, is a process for checking that procedures are in place to assure quality, integrity or standards of provision and outcomes.
Audit Report	An audit report is a codification of the process, findings and outcomes of the audit process, usually prepared by the auditors and project team.
Benchmarking	The process that enables comparison of inputs, processes or outputs between institutions (or parts of institutions) or within a single institution over time.
Best Practice	Best practice refers to effective, ideal or paradigmatic practice within an organisation that others would benefit from adopting or adapting.
Certification	Certification is the process of formally acknowledging achievement or compliance: it can be used to signify the achievement of an individual, such as a student, or of an institution.
Compliance	Compliance is undertaking activities or establishing practices or policies in accordance with the requirements or expectations of an external authority.
Credit	Recognition of a unit of learning, usually measured in hours of study or achievement of threshold standard or both.
Curriculum	Curriculum is the embodiment of a programme of learning and includes philosophy, content, approach and assessment.
Degree	Degree is the core higher education award, which may be offered at various levels from foundation, through bachelors, masters to doctoral.
Distance Education	Distance education is higher education undertaken by students in remote areas from the physical campus of the higher education institution.
Enhancement	Enhancement is a process of augmentation or improvement.
Evaluation	Evaluation (of quality or standards) is the process of examining and passing a judgment on the appropriateness or level of quality or standards.
Excellence	Excellence means exhibiting characteristics that are very good and, implicitly, not achievable by all.

External Evaluation	<ol style="list-style-type: none"> 1. A generic term for most forms of quality review, enquiry or exploration. 2. A process that uses people external to the programme or institution to evaluate quality or standards.
External Institutional Audit	An external institutional audit is a process by which an external person or team check that procedures are in place across an institution to assure quality, integrity or standards of provision and outcomes.
Fitness for Purpose	Fitness of purpose evaluates whether the quality-related intentions of an organisation are adequate.
Formative Assessment	Formative assessment is evaluation of student learning that aids understanding and development of knowledge, skills and abilities without passing any final judgement (via recorded grade) on the level of learning.
Full-Time Equivalent (FTE)	Full-time equivalent is the proportion of a nominal full-time student/staff in higher education that a non-full-time student/staff is judged to constitute.
Informal Learning	<p>Informal learning is:</p> <ol style="list-style-type: none"> 1. learning that derives from activities external to a structured learning context. 2. unstructured learning within a structured learning environment.
Institution	Institution of higher education, which is an educational institution that has students graduating at bachelor degree level or above.
Internal Evaluation	Internal evaluation is a process of quality review undertaken within an institution for its own ends (with or without the involvement of external peers).
Internal Institutional Audit	Internal institutional audit is a process that institutions undertake for themselves to check that they have procedures in place to assure quality integrity or standards of provision and outcomes across the institution.
Learning Outcome	A learning outcome is the specification of what a student should learn as the result of a period of specified and supported study.
Mode of Study	Refers to whether the programme is taken on a part-time or full-time basis, or through some form of work-linked learning and may include whether taken on campus or through distance education.
Module	A formal learning experience encapsulated into a unit of study, usually linked to other modules to create a programme of study.
Module Specification	Module specification is statement of the aims, objectives, learning outcomes, content, learning and teaching processes, mode of assessment of students and learning resources applicable to a unit of study.
Monitoring	<p>Monitoring has two meanings:</p> <ol style="list-style-type: none"> 1. the specific process of keeping quality activities under review; 2. a generic term covering all forms of internal and external quality assurance and improvement processes including audit, assessment, accreditation and external examination.
Outcome	changes that occur as a result of higher education service provision.
Output	Output refers to the product of higher education institutions: including, graduates, research outcomes, community/business activities and the social critical function of academia.
Peer	In the context of quality in higher education, this is a person who understands the context in which a quality review is being undertaken and is able to contribute to the process.
Peer Review	The process of evaluating the provision, work process, or output of an individual or collective who operating in the same milieu as the reviewer(s).

Performance Audit	Performance audit is a check on the competence of someone to undertake a task.
Prior Learning	Prior learning is previous learning from informal and formal learning situations.
Process	Process, in the context of quality, is the set of activities, structures and guidelines that: <ol style="list-style-type: none"> 1. constitute the organisation's or individual's procedures for ensuring their own quality or standards. 2. constitute the mechanism for reviewing or monitoring the quality or standards of another entity.
Profession	A profession is a group of people in a learned occupation, the members of which agree to abide by specified rules of conduct when practicing the occupation.
Professional Body	A professional body is a group of people in a learned occupation who are entrusted with maintaining control or oversight of the legitimate practice of the occupation.
Professional Recognition	The formal acknowledgement of an individual's professional status and right to practice the profession in accordance with professional standards and subject to professional or regulatory controls.
Programme	A study curriculum undertaken by a student that has co-ordinated courses or modules, which constitute a coherent named award.
Programme Accreditation	The process that establishes the academic standing of the programme or the ability of the programme to produce graduates with professional competence to practice.
Programme Evaluation	Process of reviewing the quality or standards of a coherent set of study modules.
Programme Review	Process of appraisal of the inputs, processes and outcomes of a programme for the purpose of its continuous improvement.
Programme Specification	The aims, objectives, learning outcomes, content, learning and teaching methods, process and criteria for assessment, usually with indicative reading or other reference material as well as identifying the modules, setting out core and optional elements, prerequisites and levels.
Qualification	The award to which a formal programme of study contributes.
Quality	In this document and in the context of academic programmes, the term quality refers to "fitness for purpose". The institution and its components of activities have quality if they conform to the purpose for which they were designed.
Quality Assessment	Means by which a judgement is made about the quality and standards of an institution and or a programme and the judgement itself. Synonyms of assessment are review, measurement and evaluation.
Quality Assurance	An all-embracing term covering all policies, processes and actions through which the quality of higher education is maintained and developed. It is also the process whereby measures are established which ensure that outcomes of academic programmes and activities are of a prescribed standard.
Quality Audit	Process of checking that procedures are in place to assure quality, integrity or standards of provision and outcomes.
Quality Control	Process whereby outcomes are assessed to determine whether they are of the prescribe standard.

Quality Management	Quality management refers to all the processes that are in place to facilitate achievement of quality in an institution.
Ranking	Ranking is a term used to refer to the rating and ordering of higher education institutions or programmes of study based on various criteria.
Review	1. Review is generic term for any process that explores the quality of higher education. 2. Review refers to explorations of quality that do not result in judgements or decisions.
School	The organisational unit into which cognate disciplines are located in the University.
Self-Assessment	Self-assessment is the process of critically reviewing the quality of ones' own performance and provision.
Site Visit	A site visit is when an external evaluation team goes to an institution to evaluate verbal, written and visual evidence.
Stakeholders	The term stakeholders include agencies (government and private) that control tertiary institutions, individuals, groups that participate in or have responsibilities towards tertiary education.
Standards	Statements regarding an expected level of requirements and conditions against which quality is assessed or that must be attained by higher education institutions and their programmes in order for them to be accredited or certified.
Student	A person who attends a school, college, or university

Summative Assessment	The process of evaluating (and grading) the learning of students at a point in time.
Technical staff	Technical staff in a higher learning institution include non teaching personnel with specialized technical and professional skills in support of academic functions.
Tertiary Education	Tertiary education is formal, non-compulsory, education that follows secondary education.
Thematic Evaluation	A review of a particular aspect of quality or standards focusing on an experience, practice or resource that cuts across programmes or institutions.
Unit	Unit has two meanings in the context of quality in higher education, one as subject and one as object of quality review. 1. unit is the generic name for a quality monitoring department internal to an institution. 2. unit is any element that is the subject of quality review: institution, subject area, faculty, department or programme of study.
University	An institution of higher education that grants its own certificates, diplomas and degrees and normally undertakes leading-edge research, as well as having a social critical role. In this document, the "University" means The University of Zambia.
Validation	The process of confirming that an existing programme of study or a newly designed one can continue or commence operation.

Adopted from: Harvey, L., (2006), Analytic Quality Glossary, Quality Research International
Website: <http://www.qualityresearchinternational.com/glossary>.

1. INTRODUCTION

It is the policy of the University to provide quality teaching and learning, research, community engagement, academic support and administrative services in line with its vision, mission, goals, objectives and strategies.

The University recognises that, in order to accomplish its mission with extraordinary achievement and meet the vision of being among the top universities in Africa, quality in teaching and learning, research and dissemination, community service, property management, purchase and budget utilisation, student service, staff development and retention, information and communications technologies, library service, etc. are essential.

The University regards teaching, research, and community service as core functions and has developed explicit systems and procedures to ensure and enhance quality in these functions. Administration is a cross-cutting function and is an integral part of all three functions, but in the implementation of a quality assurance (QA) system, it has also be considered to stand alone in order that it is given special attention.

Quality in a University is multi-dimensional and embraces all its functions, and activities; teaching and academic programmes, research and scholarship, staffing, students, buildings, facilities, equipment, services to the community and the academic environment. Internal self-evaluation and external review, conducted openly by independent reviewers, if possible with international expertise, are vital for enhancing quality.

To develop, implement, maintain and improve the level of quality, the University has established a functional quality assurance system. Quality assurance in higher education requires systematic management and assessment procedures to monitor performance of the University. The University of Zambia Quality Assurance Framework forms the basis for the promotion of quality in the University. This will be through greater focus on performance, curricula reforms, better human resource management, schemes to promote high quality research and community service, and technology-assisted monitoring mechanisms.

The Quality Assurance Framework covers all functions of the University in various chapters. The legal and policy framework under which the University operates is presented and discussed in Chapter 2. This chapter highlights the various pieces of legislation and policies that the University responds to and employs in its operations with special reference to quality assurance. The management of Quality Assurance at the University has been institutionalised through the establishment of various structures. Chapter 3 describes these structures, their mandate, composition and functions. Chapter 4 presents the conceptual framework which is widely used in industry and has been adapted to quality assurance in higher education. This chapter also presents the general discussion, on self-assessment as a tool for quality assurance in the University. Quality Assurance mechanisms of various functions of the University are presented in Chapters 5 to 12. These chapters highlight the rationale, structure and procedures necessary for promoting and enhancing quality in the University and provide reference to appendices containing specific instruments for undertaking assessments and evaluations. Further, the University has recognised the need to award individuals that excel in their performance as a way to enhance and encourage excellence. Chapter 15 provides the guidelines for presentation of various awards to deserving staff.

2. LEGAL AND POLICY FRAMEWORK

The University of Zambia Quality Assurance Framework is subject to the laws, regulations and policies outlined below.

2.1 Global Perspective

The United Nations Educational, Scientific and Cultural Organisation (UNESCO) has established a number of regional recognition conventions in higher education. The conventions constitute a unique legal framework for allowing the recognition of qualifications in higher education between State Parties. The UNESCO Conventions are legally binding instruments which to date have been ratified by over 100 member states from all regions of the world. The relevant UNESCO Convention for African States is discussed in detail below.

2.1.1 Regional Convention on the Recognition of Studies, Certificates, Diplomas, Degrees and other Academic Qualifications in Higher Education in the African States

The Regional Convention on the Recognition of Studies, Certificates, Diplomas, Degrees and other Academic Qualifications in Higher Education in the African States (1981) to which Zambia is a signatory aims to promote and facilitate mobility of students, faculty and researchers within the African region. It also calls for the establishment of accepted regional standards and the adoption and harmonisation strategy.

2.1.2 Revised Convention on the Recognition of Studies, Certificates, Diplomas, Degrees and Other Academic Qualifications in Higher Education in African States

The Regional Convention on the Recognition of Studies, Certificates, Diplomas, Degrees and other Academic Qualifications in Higher Education in the African States (2014) was a follow up to the earlier convention in 1981. Its focus is on strengthening and promoting inter-regional and international co-operation in the field of recognition of qualifications and defining and putting in place effective quality assurance and accreditation mechanisms at the national, regional and continental level.

2.1.3 Establishment of Quality Assurance Agencies at National or Sub-National Level

As a result of the UNESCO Conventions and their subsidiary texts, it has been widely regarded as essential for every country to establish a quality assurance body or agency at a national or sub-national level to oversee and observe that high standards and a quality provision of higher education in a country's institutions are observed. These agencies or bodies operate within broadly the same mission although their specific roles, mandates and authorities differ.

The global initiatives for quality assurance in higher education include the establishment of the International Network for Quality Assurance Agencies in Higher Education (INQAAHE) in 1991.

2.2 Regional Conventions on Quality Assurance in Higher Education

2.2.1 The Southern African Development Community Protocol on Education

The Southern African Development Community (SADC) Protocol on Education emphasises the importance of harmonising regional education systems and maintaining acceptable standards at all educational levels.

2.2.2 The Higher Education Quality Management Initiative for Southern Africa

The Higher Education Quality Management Initiative for Southern Africa (HEQMISA) was formulated in December 2002. Its purpose was to enhance the ability of SADC institutions of higher education to play a leading role in the development of the SADC countries by addressing the most pertinent and current issue while maintaining accountability to all stakeholders. It also established the Southern African Higher Education Quality Assurance Agency (SAHEQAA). Its main purpose is to assist institutions of higher learning in Southern African to establish internal quality assurance processes by means of institutional self-audit with the aim of promoting continuous quality improvement.

2.3 Substantive National Legislation

2.3.1 The Higher Education Act No. 4 of 2013

The main aim of the Higher Education Act is to provide for quality assurance and quality promotion in higher education as stipulated in its long title. The Act came into effect on 21st March 2013.

The Act provides for the establishment of the Higher Education Authority and defines its powers and functions under Part II. The Act also provides for the functions, governance and regulations of public higher education institutions under Part III and Part IV. Further, Part III provides for the registration and regulation of private higher education institutions. The Act outlines the governance and regulatory framework for Higher Education Institutions under Part V giving powers to the Senate as a supreme academic authority of the Institutions. The Act further provides for transformation amalgamation and closure of higher education institution in Part VI.

2.3.2 The Zambia Qualification Authority Act No. 13 of 2011

The Act established the Zambia Qualification Authority and provides for its mandate. The Act gives power to the Authority to develop and implement the Zambia Qualification Framework (ZQF) under Part II and Part III. The main objectives of the framework are to create a single integrated national framework for learning achievement; to provide for mobility and progression within education, training and career paths. In addition, the Act aims to enhance quality of education and training and to promote education, training and employment opportunities, the Act also provides for three co-ordinated qualifications sub-framework and their functions. In Part IV, the Act provide for funds of the Authority. The ZQF will ensure that qualification outcomes remain relevant and nationally consistent.

2.4 Other Relevant National Legislation

2.4.1 Quality Assurance with Regard to Infrastructure and the Environment

2.4.1.1 The Public Health Act, Chapter 295 of the Laws of Zambia

The Act provides for and regulates matters regarding prevention and suppression of diseases and matters of Public Health. It further provides for inspection, cleaning and disinfection and removal to hospital of infected persons under Part II. In addition, it provides for special provisions regarding epidemic diseases under Part V. The Act also regulates sanitation and housing under Part IX and prohibits back-to back dwelling and rooms without ventilation. The University of Zambia should uphold these regulations regarding the buildings on campus including students' hostels, residences housing, classrooms, lecture theatres and office blocks. This will provide for the regulation of health issues for the students and staff at the institution.

2.4.1.2 Urban and Regional Planning Act 2015

This Act provides for development, planning and administrative principles, standards and requirements for urban and regional planning processes and systems. The Act also regulates and ensures sustainable urban rural development by promoting environmental, social and economic sustainability in development initiatives. The University of Zambia is subject to various development initiative and, therefore, the Act will regulate the planning as well as standards relating to the various infrastructure development initiatives.

2.4.1.3 National Council for Construction Act No. 13 of 2003

The Act provides for the regulation of the construction industry and the establishment of the National Council for Construction (NCC). The functions of NCC include the regulation and promotion of minimum standards and best practice of contractors. The council also provides for safety standards in the construction industry. The University should ensure that when selecting contractors and evaluating their performance for construction of buildings, the minimum standards set by NCC are met.

2.4.1.4 The Person with Disabilities Act No. 6 of 2012

The Act provides for the protection and promotion of rights of persons with disabilities under Part IV. It provides for the provision of special education facilities and equipment in educational institutions and library facilities that can be accessed by persons with disabilities. In addition it provides for accessibility and mobility under Part V to the facilities and buildings at the institution. University of Zambia's facilities should be made accessible for persons with disabilities as per requirements of this legislation.

2.4.1.5 The Environment Management Act 2011

This Act provides for integrated environmental management and the protection and conservation of the environment and the sustainable management and use of natural resources. The Act also calls

for the prevention and control of pollution and environmental degradation. The University campus should strive to maintain a clean and conducive environment as an institution of higher learning in accordance with the provisions of this Act.

2.4.1.6 The Technical Education, Vocational and Entrepreneurship Training Act No. 13 of 1993

This Act establishes the Technical Education, Vocational and Entrepreneurship Training Authority (TEVETA) and defines its function. The Act does not specifically apply to the University of Zambia but indirectly the quality assurance issue under this Act affects the University since some of the students admitted on the various programme at UNZA are trained at TEVETA registered training institutions.

2.4.1.7 Examination Council of Zambia Act No. 13 of 1994

This Act provides for the establishment of the Examinations Council of Zambia (ECZ), its functions and powers. ECZ promotes quality assurance issues in conducting examinations, awarding certificate, research in examination, advisory role in developing systems of testing and examinations, especially relevant to the University is its role to promote the international recognition of qualifications conferred by ECZ.

2.4.1.8 The Water Resources Management Act No. 21 of 2011

The Act under Section 3 vests all water in its natural state in Zambia in the President to be held on behalf and benefit of the people of Zambia. The Act establishes the Water Resources Management Authority (WRMA), defines its powers and functions. In addition Part V of the Act provides for water quantity and quality management. It regulates and controls water pollution. The use of water is also covered under the Act.

The Act further draws on issues of quality assurance on conservation, protection and preservation of the water resource and its ecosystems and provides for the equitable, reasonable and sustainable utilisation of the water resource. Therefore, the provisions of the Act are applicable to the water resources on the University campus and this policy should implement the quality assurance issues provided under this Act.

2.4.1.9 The Health Professions Act, 2009

The Act provides for the establishment of the Health Professions Council of Zambia (HPCZ). It also provides for the registration of health practitioners and the regulation of their professional conduct. The Act further provides for licensing of health facilities and their accreditation of health care services provided by health facilities. On issues of quality, the Act provides for recognition and approval of training programmes.

2.5 Codes of Best Practice

The Quality Assurance Framework is further guided by the pillars of corporate governance provided for in most of the codes of the Best Practices such as the Kings Code of Governance, Principal of South African and the combined code of England and the Lusaka Stock Exchange code of corporate governance principles.

2.6 Policies

2.6.1 Educational Policy 2011

The Education Policy of 2011 refers to elimination of gender disparity in tertiary education and emphasis increased access to quality education. The government of Zambia has classified education as an economic sector and has created various incentives under the Zambia Development Agency. It calls for fostering partnerships between local and international universities.

2.6.2 Policy for Open and Distance Learning

The University of Zambia Open and Distance Learning (ODL) policy is designed to contextualise, regulate and operationalise the format, scope, approach and strategic implementation of ODL practices among all the role players, including staff and students. The purpose of this policy is to guide decision and actions taken by administrators, academics, support and professional staff and management in the provision of ODL at the University.

3. QUALITY ASSURANCE MANAGEMENT

3.1 Management Structure

Quality assurance at the University of Zambia shall be managed through a three-tier structure that includes the Quality Assurance Committee (QAC) of Senate, a decentralised system in which local quality assurance rests with individual academic, research and non-academic units through Quality Control Circles (QCCs) and the Quality Assurance Directorate (QAD).

3.2 Quality Assurance Committee of Senate

3.2.1 Mandate

The *Quality Assurance Committee* (QAC) of Senate shall be established for the purpose of the management of the quality assurance system in the University. The QAC shall provide the overall supervision of the implementation and shall monitor the effectiveness of the QA strategies and practices in the University.

3.2.2 Composition

The composition of the QAC shall be as follows:

Designation	Number
Deputy Vice-Chancellor (<i>Chairperson</i>)	1
A representative from each of the Senate Curriculum and Examinations Committees	3
Dean of Students Affairs	1
Director of Institute of Distance Education	1
Director, Institute of Industrial and Economic Research	1
Director, Directorate of Research and Graduate Studies	1
Two Deans of Schools (Rotational)	2
A representative from Professional, Technical and Administrative staff	1
A representative from Non-Professional staff	1
A representative from Registrar's Unit	1
A representative from the Library	1
An undergraduate students representative	1
A postgraduate students representative	1
A representative of Distance Students	1
Director, Quality Assurance (<i>Secretary</i>)	1
Total	18

3.2.3 Terms of Reference

The terms of reference for the QAC shall be as follows:

1. to promote quality culture amongst all University employees and students;
2. to exercise overall supervision of implementation of Quality Assurance Framework;
3. to establish, monitor and evaluate the implementation of quality assurance strategies; and
4. to disseminate quality control results to all stakeholders.

3.3 Quality Control Circles

3.3.1 Teaching Units

3.3.1.1 Mandate

The QCC for teaching units (such as schools and IDE) will identify, analyse and solve academic work related quality issues in their units. The QCC will be small in size, be led by a senior member of the unit and will present its QA issues to the unit's Board of Studies or its equivalent.

3.3.1.2 Composition

Designation	Number
Any Head of Department in the School/Institute - (<i>Chairperson - rotational</i>)	1
One other Head of Department	1
One representative from the technical and professional staff	1
One representative from the non-technical and professional staff	1
An undergraduate students representative	1
A postgraduate students representative	1
Assistant Deans (Undergraduate, Postgraduate and Research)- (<i>Secretary - rotational</i>)	3
Total	9

3.3.1.3 Terms of Reference

The terms of reference for the QCC shall be as follows:

1. to promote quality culture among staff and student;
2. to implement and monitor quality assurance in the unit;
3. to prepare and submit reports to the Quality Assurance Committee and the respective Board of Studies; and
4. to attend to specific recommendations from the Quality Assurance Committee.

3.3.2 Graduate Studies

3.3.2.1 Mandate

The QCC for graduate studies (i.e. under DRGS) will identify, analyse and solve quality issues related to postgraduate research and training undertaken in the University. The QCC will monitor the postgraduate degree provision against internal and external indicators and targets that reflect the context in which research degrees are being offered. The QCC will be small in size, be led by a senior member of staff and will present its QA issues to the Board of Graduate Studies.

3.3.2.2 Composition

Designation	Number
Assistant Director, DRGS - <i>Chairperson</i>	1
Senior Academic Staff Members	2
One representative from Professional and Administrative Staff	1
One representative from Non-Professional Staff	1
A postgraduate students representative	1
Assistant Registrar - <i>Secretary</i>	1
Total	7

3.3.2.3 Terms of Reference

The terms of reference for the QCC shall be as follows:

5. to promote quality culture among staff and student involved in the provision postgraduate degrees;
6. to implement and monitor quality assurance in the provision of postgraduate degrees;
7. to prepare and submit reports to the Quality Assurance Committee and the Board of Graduate Studies; and
8. to attend to specific recommendations from the Quality Assurance Committee.

3.3.3 Research

3.3.3.1 Mandate

The QCC for research (i.e. under INESOR) will identify, analyse and solve quality issues related to grant-aided and contract research undertaken in the University. The QCC will be small in size, be led by a senior member of staff as supervisor and will present its QA issues to the Research Board.

3.3.3.2 Composition

Designation	Number
Assistant Director, INESOR - <i>Chairperson</i>	1
Senior Academic Staff Members	3
One representative from Professional and Administrative Staff	1
One representative from Non-Professional Staff	1
Assistant Registrar - <i>Secretary</i>	1
Total	7

3.3.3.3 Terms of Reference

The terms of reference for the QCC shall be as follows:

1. to promote quality culture among staff in the conduct of research;
2. to review research proposals for contract and grant aided research;
3. To track research throughout the process i.e proposal writing, preparation of data collection instruments, data collection and analysis, report writing, adherence to research ethics among others;

4. to quality assure the supportive environment for research i.e (research equipment both soft and hardware); and
5. to promote the continuous skills upgrading of staff.

3.3.4 Support Services Units

3.3.4.1 Mandate

The QCC for support service units (such as Business Development, Bursar's Department, Centre for ICT, Dean of Students Affairs, Human Resources, Internal Audit, Purchasing and Supply, Residents Engineer's Department, University Health Services, University Library etc.) will identify, analyse and solve quality issues related to their functions.

The QCC shall be a small group of people including supervisors and workers who belong to a single department and do similar work. The QCC shall meet periodically to discuss and analyse non-academic functions and support services undertaken in the University, find solutions to quality problems and present these issues to Central Administration at management meetings.

3.3.4.2 Composition

Designation	Number
Assistant/Deputy Head of Unit - <i>Chairperson</i>	1
Senior Staff Members	3
One representative from Professional and Administrative Staff	1
One representative from Non-Professional Staff	1
Senior Administrative Officer of the Unit - <i>Secretary</i>	1
Total	7

3.3.4.3 Terms of Reference

The terms of reference for the QCC shall be as follows:

1. to promote quality culture among staff in the provision of support services;
2. to identify areas for improvement of the quality of products and services offered by the department or unit;
3. to identify areas for improvement of productivity of the department or unit.
4. to develop sense of confidence in the workers that they can solve their own problems;
5. to assist in improving employees' morale, motivation and job satisfaction;
6. to implement and monitor quality assurance in the provision of support services;
7. to prepare and submit reports to the Quality Assurance Committee; and
8. to attend to specific recommendations from the Quality Assurance Committee.

3.4 Quality Assurance Directorate

3.4.1 Mandate

The mandate of the Quality Assurance Directorate (QAD) is to coordinate the day-to-day quality assurance activities of the University as a central coordinating unit. The QAD shall have links to all units through the QCCs. The QAD shall be the secretariat of the QAC. The QAD shall organize all the meetings and keep records of the activities and resolutions of the QAD. It shall also be the conduit through which all matters related to QA shall be channeled and handled.

3.4.2 Establishment

The management structure is shown in Figure 1. The QAD shall be managed by a Director who will oversee the day-to-day activities on behalf of the University. The establishment includes two managers, one for academic affairs and another for non-academic affairs, respectively. The managers shall be assisted by Quality Assurance Officers for academic affairs and another for non-academic affairs, respectively. The directorate will also have a Quality Assurance Officer (Information and Communication Technologies), a Senior Administrative Officer and Management Secretary.

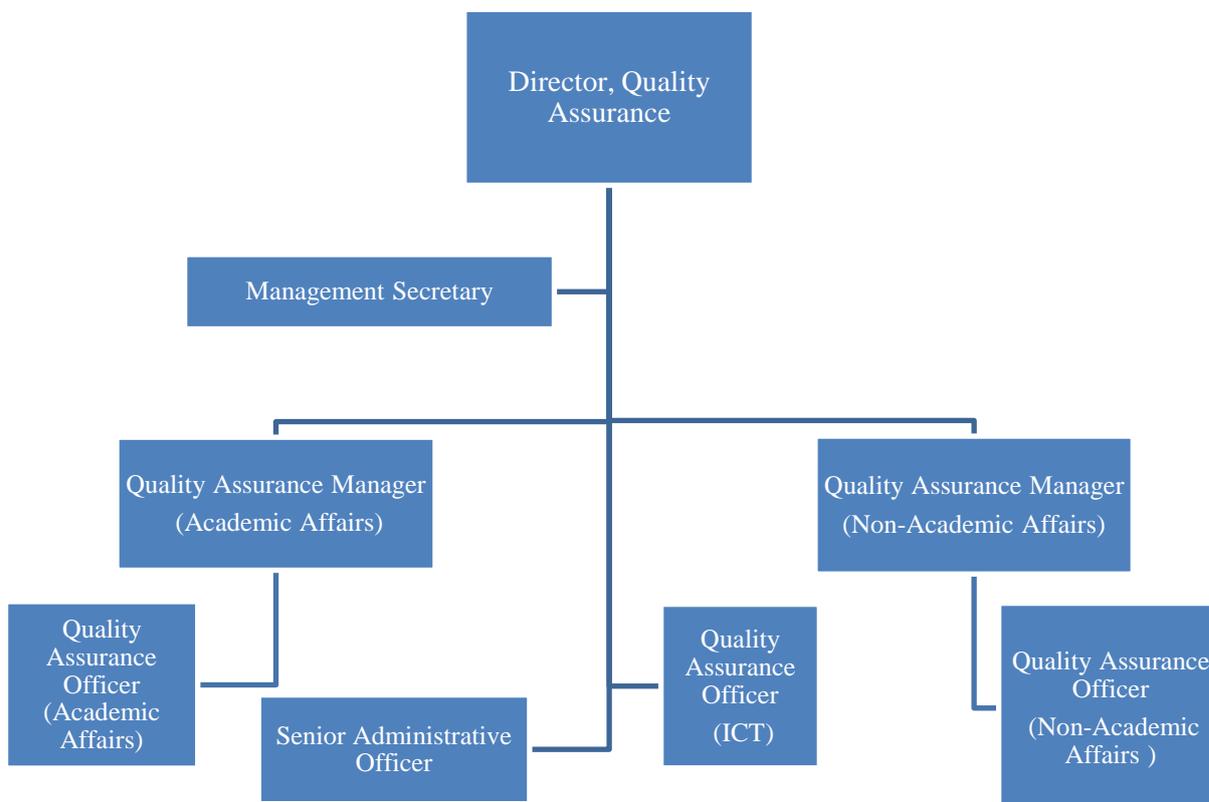


Figure 1: Structure of the Quality Assurance Directorate

3.4.3 Terms of Reference for the Quality Assurance Directorate

The terms of reference for the Quality Assurance Directorate are to:

- (a) ensure that the University delivers quality services on its basic functions of teaching, research and community service;
- (b) ensure that facilities are quality-defined and quality-driven;
- (c) establish quality standards based on the expectations of relevant stakeholders; and
- (d) act as a liaisons unit between the University and the Higher Education Authority and other related bodies.

3.4.4 Functions of the Quality Assurance Directorate

The functions of the Directorate shall include:

- (a) providing strategic leadership in initiating the formulation of policies pertaining to quality assurance (QA);
- (b) facilitating the design and implementation of QA monitoring and evaluation procedures;
- (c) coordinating periodical evaluations to measure the level of adherence to quality assurance set standards;
- (d) coordinating the setting and adaptation of best practices and international standards;
- (e) undertaking the analysis of QA evaluation data in order to identify any deviations from quality assurance standards;
- (f) ensuring that the University complies with national and international standards and legislation pertaining to QA in University education;
- (g) ensuring that practices in the University are benchmarked with those for leading Universities in the region in order to introduce best systems;
- (h) facilitating the review of QA policies as and when necessary to ensure that they effectively address prevailing QA challenges;
- (i) interpreting and communicating QA standards to ensure that quality standards are understood and pursued at all the levels of the University;
- (j) providing leadership in sensitising University staff on the importance of quality assurance;
- (k) preparing quarterly and annual reports on the implementation of the QA framework;
- (l) conducting activities relating to resource mobilisation for the directorate; and
- (m) overseeing the planning, development and management of the QA budget.

4. QUALITY ASSURANCE CONCEPTUAL FRAMEWORK

4.1 The Input-Process-Output-Outcome Conceptual Framework

Quality assurance can be depicted on the basis of a conceptual framework that considers a university as a productive system, in which inputs are transformed, through processes, into outputs. The outputs have impacts or outcomes which are the long-term effects produced by the transformation processes. The model also includes a context dimension that defines the environment, i.e. the related strengths, weaknesses, opportunities and threats. The model depicted in Figure 2 shows the basic components of this framework.

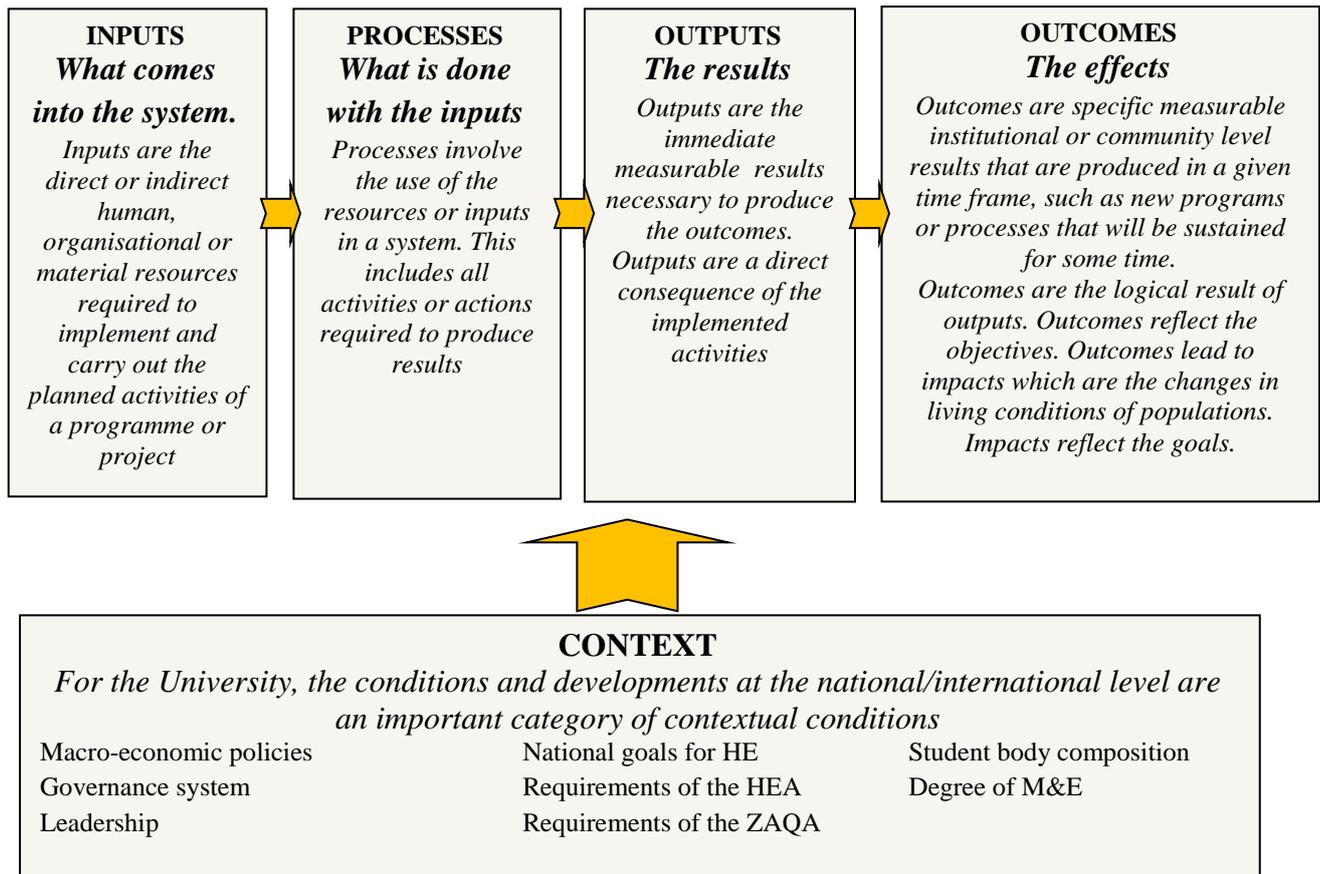


Figure 2: Inputs-Processes-Outputs-Outcomes Framework

The sections that follow discuss the various indicators used in the model given in Figure 2. Indicators are used to:

- to determine the state or condition of a system;
- to monitor its development and progress over time (compared to, for example, predefined objectives with numbers attached to them);
- to measure its strengths and weaknesses;
- to assess the degree of effectiveness in the provision of services; and
- to inform policy-makers on the functioning and efficiency of the system.

For the University's teaching and learning function, the example given in Table 1 serves to illustrate the use of the model.

Table 1: An Example of the Use of the Inputs-Processes-Outputs-Outcomes Model

	Inputs	Processes	Outputs	Outcomes
Students	Student demographics, Students entry qualifications	Educational programmes, services offered	Student grades, graduation rates, employment statistics, credit hours generated	Student learning, skills and values developed
Academic staff	Expertise, experience, skills	Teaching loads, class sizes, services/support offered	Publication numbers, grants generated, credit hours generated	Publication citations data, staff development, contribution to specialisation/discipline
Resources	Campus resources, facilities, accessibility	Policies, procedures, governance	Statistics on resource availability, participation rates	Contribution to student learning and faculty and staff development

Quality assurance strategies shall provide a framework of good practices with respect to inputs, processes and procedures in order to improve the quality of outputs and outcomes. Quality assurance shall take place at three levels – formative, summative and external.

- (a) The formative shall allow the University and its staff to reflect on the relevant work areas and assess further actions for improvement.
- (b) The summative reviews shall provide an indication of the status of the University in meeting its objectives as reviewed against best practices and other requirements.
- (c) External audits are needed to ensure that quality processes are established in accordance with national and international benchmarks and standards. External quality evaluations should be conducted periodically by external expert panels. These evaluations identify areas of strengths and weaknesses in the quality processes.

4.2 Use of the Deming’s Cycle in Quality Assurance

Continuous improvement of quality is key in the application of the quality assurance framework. The process of continuous improvement is reflected in the Deming cycle, also known as the Plan-Do-Check-Act or PDCA cycle, as shown in Figure 3. A systematic PDCA approach leads to quality control and continuous improvement. The four steps Plan, Do, Check and Action should be repeated over time to ensure continuous learning and improvements in a function or process.

Once all these stages are completed to satisfaction, the improvement is standardised. The standardised work or process is the result of improvement initiative but should not stopped here. With the changing circumstances or new techniques this standardised process or service is again subjected to further improvement thus repeating the Deming Cycle over again.

The results of the application of the PDCA cycle shall support decision-making to improve the quality systems, processes and outputs in the University. For the purposes of this framework, the PDCA cycle shall be applied using the activities outlined below.

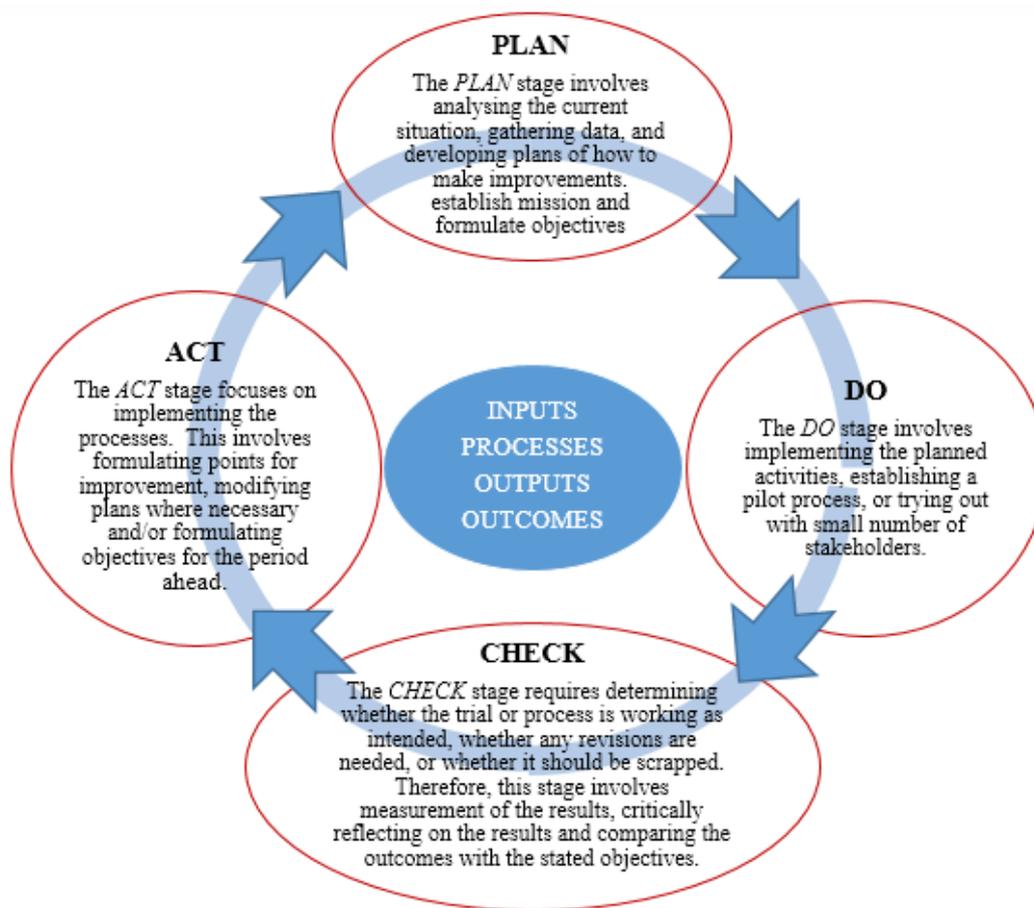


Figure 3: Use of the Deming Cycle in Quality Assurance

4.2.1 The Plan Stage

At this stage, articulate the goals and intended outcomes for the unit (e.g. intended student learning outcomes for each programme, intended operational outcomes for the unit, etc.) This is the "Plan" phase of the Deming Cycle. The following guidelines may be followed in developing goals and intended outcomes.

4.2.1.1 Developing Goals

The first step in applying the PDCA cycle at the planning stage is to clearly define the unit's mission, functions, and outcomes. These aspects may be identified as the goals of the unit and should be related to relevant and applicable laws, regulations and policies. Understanding and clearly stating what the unit aims to accomplish serves as a foundation for successful planning. It is important to have agreed upon goals, i.e., goals that are shared by all of the unit's personnel.

4.2.1.2 Formulating Objectives

For a smooth progression through the PDCA cycle, objectives need to be drawn up in such a way as to leave no doubt about how they should be achieved. This should be done during the planning stage. An effective way to set objectives is to follow the well known acronym **SMART**. A SMART objective is *specific, measurable, achievable, realistic and time-bound*. An objective that follows SMART is more likely to succeed because what needs to be achieved is exactly and clearly specified and one can tell when it has been achieved because there is a way to measure

completion. The tasks related to the objective are likely to happen because the activities are achievable. Before setting an objective, relevant factors such as resources and time should be taken into account to ensure that it is realistic. Finally the time-bound element provides a deadline which helps people to focus on the tasks required to achieve the objective.

4.2.1.3 Identifying Good Practices

Identification of good practices is important at the planning stage of the PDCA cycle. This allows a unit to develop assessment criteria that ensure that its checks its functions and outcomes against processes that are established in accordance with national and international standards and benchmarks.

4.2.1.4 Developing Assessment Tools

It is important to select assessment methods in a prudent manner and to make sure that they are good assessors of effectiveness of the services provided by the unit. A primary goal of assessment is to uncover issues that, when addressed, will lead to improvements in the unit's operations. Measures that provide information that is easily interpreted and unambiguous and that can be used to improve operations where necessary should be considered. The desired goals and outcomes can be set out in the form of evaluation criteria and performance indicators (i.e. targets or criteria).

4.2.2 The Do Stage

Assessment tools must be used to gather data and information pertaining to the goals and intended outcomes. This is the "Do" phase of the Deming Cycle. When developing and using a new assessment method, it may be necessary to test it on a pilot basis. In this way if it turns out that the assessment tool is not effective, valuable time and resources will not have been wasted.

Before assessment can begin, the key players, committees and structures must be identified. One or more persons may lead the unit assessment process, but it is crucial for all staff to assume the responsibility for designing, implementing, and carrying out the assessment process.

4.2.3 The Check Stage

The extent to which the unit is achieving the desired goals and outcomes should be determine by analysing and evaluating the assessment results. This is the "Check" phase of the Deming Cycle. Table 2 shows an example of the scoring of the performance of the unit on a scale of 1 to 5.

Table 2: Scoring Scale

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

4.2.4 The Act Stage

Changes and improvements that are needed (e.g. in curricula, resources, processes, etc.) in order to improve the quality of performance should be identified. Strategies and action plans to implement the identified changes and improvements should be prepared and executed. This is the “Act” phase of the Deming Cycle.

4.2.5 Closing the Loop

The unit should then evaluate the results of executed strategies and action plans to determine whether they achieved the desired outcomes, i.e., the assessment process is repeated, and the plan is updated as necessary. This phase of the assessment process represents “closing the loop” in outcomes assessment.

4.3 Quality Control

Quality control is the process of ensuring compliance with standards and procedures set to maintain and enhance quality. One of the major activities under quality control entails quality monitoring and evaluation or quality audit. The quality audit is a process of assessment used to check that procedures are in place to ensure quality, integrity or standards of provision and outcomes. Quality control should be seen as an end-of-process solution which is used to verify the quality of the output. An audit will include several assessments. Quality assessment includes structured activities that lead to a verdict on the quality of specific activities such as governance and administration, teaching and learning, research or community service. The following questions must be considered in assessment:

- (a) Are we doing the right things? (Checking the context, goals and objectives)
- (b) Are we using the right things (checking inputs)
- (c) Are we doing things right? (Checking processes)
- (d) Are we achieving the right thing? (Checking outputs).
- (e) Are we making a desirable change in our society? (Checking outcomes/impacts)

4.4 Continuous Improvement

Evaluation does not make sense if there are no actions to enhance the quality and to overcome the shortcomings. Therefore, it is necessary to have opportunities for both quality control and quality improvements. Quality improvement is based on the principle that every aspect of the work of the University can be improved continuously and that evaluation, both internal and external, are practices that serve that improvement. It is constructive and formative, rather than solely judgmental and summative, is evaluative as well as descriptive, and is evidence-based and data-driven, with evidence drawn from a wide range of referenced sources. It is considered and accepted that through continuous quality improvement all staff should take personal responsibility for their own professional quality and standards in all their activities.

4.5 Self-Assessment

4.5.1 Aims of Self-Assessment

The self-assessment shall aim at finding evidence that the University and its units are meeting the criteria set for themselves, i.e. the standards and procedures set to maintain and enhance quality. In undertaking self- assessments, one has to look at the criteria and indicate how the criteria is being addressed. The self-assessment exercises shall be undertaken using approved tools.

4.5.2 Principles of Effective Self-Assessment

- (a) The QCCs shall be in charge of the self-assessment activities in University units. The QCC shall direct the gathering of data, analysis of data and drawing of conclusions.
- (b) Carrying out critical self-valuation demands good coordination. There must be someone designated by the QCC to coordinate the self-assessment process. The coordinator must have the authority to make appointments.
- (c) It is assumed that self-assessment is an analysis supported by the whole unit, and therefore, it is important that everyone should be at least acquainted with the self-assessment criteria, the expected contents of the report and should recognise it as a document from their own unit.
- (d) The QCC will be responsible for ensuring that self-assessment report is prepared and submitted to the QAC.

4.5.3 Content of the Self-Assessment Report

The self-assessment report (SAR) should present a reflective, analytical and self-critical analysis of the record and performance of the unit. The report should be presented in the form of a series of sections dealing with the conduct of the unit's business, with the impact of the unit on the University services, facilities and procedures, with the performance of the unit (e.g. in teaching, research resource mobilisation and community service) and in its dealings with stakeholders (both internal and external to the University).

4.5.4 Organisation of the Self-Assessment

The flowchart showing the organisation of a self-assessment is given in Figure 4. The areas that have to be considered in the self-assessment should be agreed upon among the committee members and each member made responsible for collecting information, and for analysing and interpreting the data from the self-assessment. The Quality Assurance Directorate will establish the timeframe for undertaking the self-assessment process.

4.5.5 The Role of the University Council in Quality Improvement

The results of self-assessments and internal audits may result in recommendations that may have structural and financial implications to implement. These recommendations would be presented to the Council for approval by the University Management.

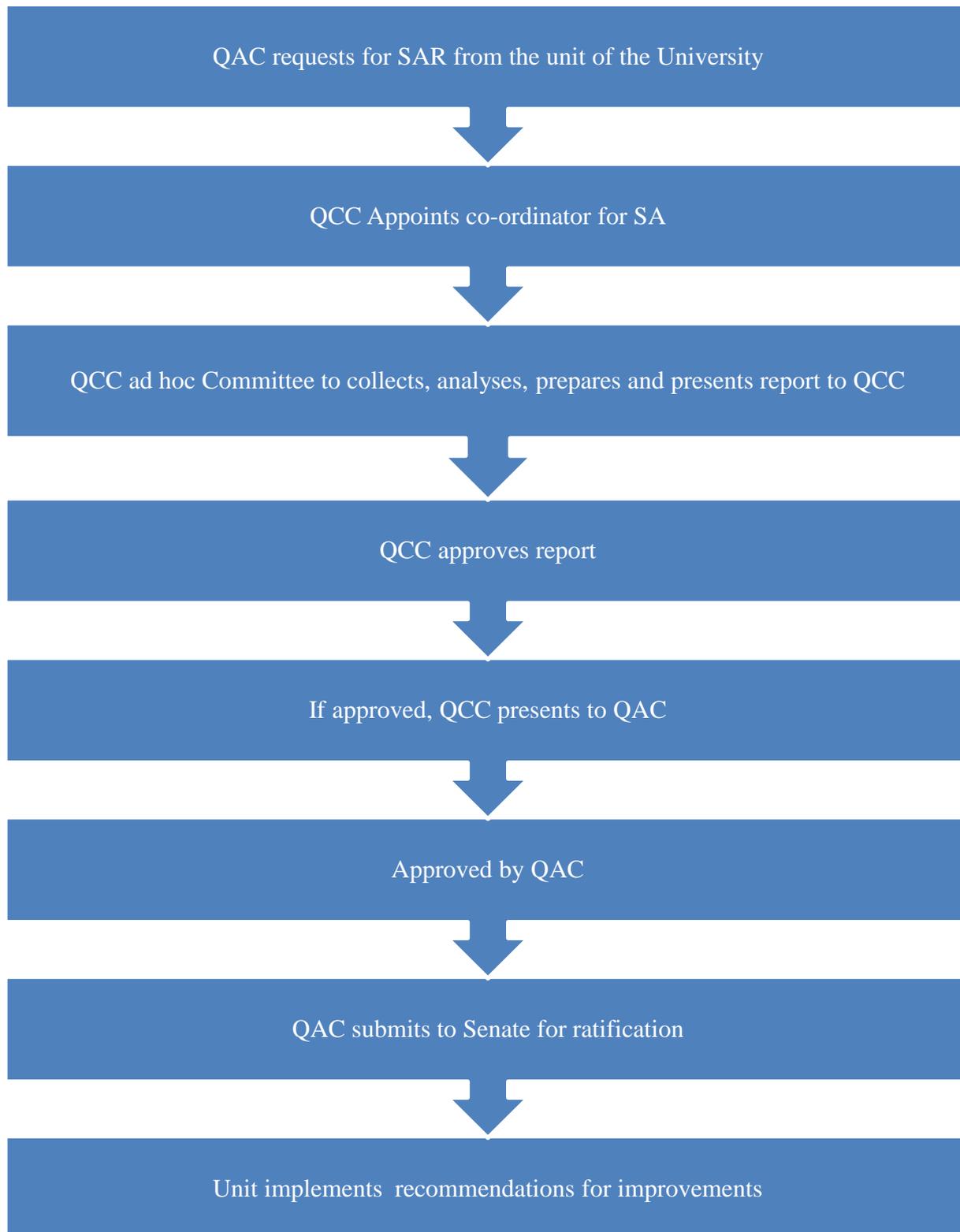


Figure 4: Flowchart for Self-Assessment

5. QUALITY ASSURANCE OF GOVERNANCE AND MANAGEMENT

5.1 Background

This chapter presents quality assurance in governance and management, which essentially covers three main areas, that is, University Council, the Senate as well as Central Administration. As operationalised within these three areas, quality assurance is presented in the form of three key concepts as follows:

- (a) Quality assurance processes, practices and standards
These are statements of policies and legislative Acts of Parliament relevant to the area under discussion as well as objectives or other stipulations of quality.
- (b) Internal quality assurance audits
These describe practical measures put in place to implement elements stipulated under item (a) by a unit itself. The unit or section shall interpret quality issues within its ordinary daily operations.
- (c) External quality assurance audits
These refer to stipulations of quality promoted by entities outside the unit. The external entities may include statutory bodies, professional associations or international organisations which could accredit the unit under discussion. These external audits are central drivers of quality which all units in the university are advised to engage with on a continuous basis. Promulgations of quality from external audits find their expression in internal quality assurance audits.

5.2 Governance and Management Structures

Governance of the University is overseen by the Council and the Senate. These bodies are responsible for approving the mission and strategy, monitoring performance, scrutinising finances and directing academic functions. The Vice-Chancellor and the Senior Management Committee (SMC) have overall responsibility for the day-to-day management of the University.

The objectives of the Quality Assurance Framework on Governance and Management are to ensure that:

- (a) the University has a clear vision of its role in society;
- (b) the University has a clearly formulated mission statement;
- (c) the vision and mission statements are publicly known ;
- (d) the University has a clear strategic plan and policies formulated in line with the mission statement;
- (e) the University has a clear idea about relevant demands and needs of key stakeholders;
- (f) the governance structure of the university is clear and adequate;
- (g) the University has a clear management structure in which the decision-making processes, competencies and responsibilities have been clearly defined;
- (h) the strategic plan and policies have adequately been translated into an implementation plan; and
- (i) Central Management annually conducts a structured self-assessment of its activities in accordance with best practices.

University governance and management have a critical role to play in achieving an effective quality assurance system. University top management is a bedrock and anchor of quality assurance. Governance of the University involves:

- (a) ***Corporate governance***
This is the responsibility of Council. Council establishes committees to assist in the effective discharge of its responsibilities.
- (b) ***Academic governance***
This lies with Senate. Like Council, Senate establishes committees to assist it in the effective discharge of its responsibilities.
- (c) ***University management***
The Vice-Chancellor allocates roles and responsibilities to University management. In some cases, the Vice-Chancellor and management may establish governance committees at the management level to provide advice and assurance in decision making but recognising that management decisions are expected to be made by the responsible staff member acting within his or her area and limit of authority, not by a committee. In addition, the University may establish committees to meet the requirements of external bodies or regulators.

5.3 The University Council

The functions of the University Council are prescribed in the Higher Education Act No. 4 of 2013. Subject to other provisions of this Act, the Council shall be responsible for the governance, control and administration of the University, and shall, at all times, act in the best interest of the University. As part of its functions, the Act provides that the University Council may:

- (a) receive, on behalf of the University or constituent college or affiliated institution of the University, gifts, donations, bequests, grants or other money and make disbursement therefrom to the institution, constituent college or affiliated institution;
- (b) provide for the welfare of the staff and students of the institution;
- (c) determine the salaries and other conditions of service of the staff of the institution;
- (d) appoint and suspend, dismiss or otherwise discipline persons in the employment of the institution in accordance with the provisions of the Act and its statutes;
- (e) regulate and determine all matters concerning the institution in accordance with the rules adopted in that behalf by the Council;
- (f) administer funds placed at the disposal of the institution for specific purposes;
- (g) determine the form of coat of arms for the institution;
- (h) take into account and if the Council considers it proper to do so, give effect to or approve reports or recommendations from the Senate which the Senate is authorised or required by the Act to make;
- (i) implement the decisions of the Senate on those matters upon which Senate has authority under the Act;
- (j) determine the terms and conditions on which examiners shall be appointed by the Senate and the remuneration to be paid to the examiners;
- (k) determine, after consultation with the Senate, the academic dress and insignia of the Chancellor, officers and graduates of the institution.

The Act further stipulates that as soon as practicable, but not later than six months, after the expiry of each financial year, the Council shall submit to the Minister a report concerning its activities during the financial year. The report of the Council shall include information on the financial affairs of the institution and there shall be appended to the report:

- (a) an audited balance sheet;
- (b) an audited statement of income and expenditure;
- (c) a report of the auditors on the accounts; and
- (d) such other information as the Minister may require.

5.3.1 Quality Assurance Processes, Practices and Standards

Council assessment is one way of ensuring the application of principles of good governance. The aim of the assessment is to ensure that Council members are aware of their responsibilities, that, as a Council, they ‘add value’ to the University and where their performance as a Council needs improvement this can be addressed. The assessment process also reassures the university community and other stakeholders that Council is giving due consideration to the governance responsibilities of the Council including its reputation for transparency and accountability.

5.3.2 Internal Quality Assurance Audits

The Executive Committee of Council shall evaluate practices and operations of the Council regarding the conduct of its business as the governing board of the University. The major questions addressed in designing a University Council assessment are:

- (a) Who will be evaluated?
- (b) What will be the criteria against which performance will be evaluated?
- (c) What will happen as a result of the evaluation?

The guidelines for self-assessment of the University Council are provided in Appendix A1.

5.4 The University Senate

The University Senate is the supreme academic body of the University. Powers of the Senate are granted by the Higher Education Act No. 4 of 2013. The Act provides that Senate shall organise, control and direct the academic work of the University, both in teaching and research, and that it shall have control and general direction of the standards of education, assessment and research. Furthermore, the Senate shall:

- (a) determine the academic policy of the University and advise the Council on the provision of facilities to carry out the policy;
- (b) direct and determine the programmes of instruction and the structure of degree courses;
- (c) regulate and determine requirements for the admission of persons to the University and to courses of study and their continuance in such courses;
- (d) regulate all examinations and the standard of proficiency to be attained in such examinations;
- (e) appoint examiners;
- (f) award degrees and make other awards and distinctions, except that honorary degrees shall be awarded on the recommendation of an honorary degree committee established by the Senate;
- (g) award scholarships and prizes administered by the University;
- (h) constitute professorial chairs, readerships and other academic offices and abolish or suspend any such office;
- (i) make recommendations to the Council with respect to:
 - (i) the establishment of new schools, institutes, bureaux or similar bodies within University;
 - (ii) the amalgamation of any of the existing schools, institutes, bureaux or similar bodies within the University;
 - (iii) the division of any school, institute, bureau or similar body within University into two or more schools, institutes, bureaux or similar bodies and
 - (iv) the abolishing or alteration of any school, institute, bureau or similar body;

- (j) approve, review, amend, refer back, control or disallow any act relating to the academic affairs of any school, institute, bureau or similar body within the University or give direction to any school, institute, bureau or similar body; and
- (k) regulate its own procedure and the conduct of its meetings.

5.4.1 Quality Assurance Processes, Practices and Standards

The Quality Assurance Committee of Senate shall evaluate practices and operations of the Senate regarding the conduct of its business as a principal academic body of the University.

The results of the evaluation, including recommendations for changes to the functions and practices of the Senate, will be presented to the same Senate for consideration. Recommendations for changes to the functions and practices of the Senate will be referred to the University Council for approval. Such evaluations shall be conducted on a three year basis.

5.4.2 Internal Quality Assurance Audits

For internal audit purposes, Senate will be evaluated against its key performance objectives. To this effect, the responsibilities of members of Senate and its committees, against which they will be evaluated, include the following:

- (a) as a member of an academic governance committee of the University, one is required to act in good faith and in the best interests of the University as a whole;
- (b) it is important for nominees to understand that elected members of Senate do not ‘represent’ the constituencies from which they are drawn in the way that a Member of Parliament represents their constituents. Rather they are expected to bring a staff perspective to the committee. All members, whether appointed or elected, are required to act at all times in the interests of the University rather than as delegates representing sectional interests;
- (c) academic committees operate in a collegial manner and need active members who will attend all meetings, read the papers with care, contribute to discussion from their perspective and ask questions;
- (d) members are expected to attend all meetings, as a quorum is essential. Members are expected to tender their apologies and provide reasons for absences. It is important to note that the position of an elected or appointed member of Senate (or its standing committee) becomes vacant where the member is absent from three consecutive meetings, without leave having been granted by the committee;
- (e) where a member has an interest in a matter, or is perceived to have an interest, it must be declared and managed to ensure integrity and transparency. The chair can answer any questions about whether a member has an interest that needs to be declared. Once a committee member declares an interest in a matter before the committee, it is up to the chair or committee to determine if it is a conflict and how the matter should be dealt with;
- (f) members are expected to engage themselves in meetings and provide comments and feedback on a range of issues within Senate’s domain, including but not limited to:
 - (i) approving Senate’s annual workplan;
 - (ii) approving and accrediting courses and programmes;
 - (iii) the examination process;
 - (iv) monitoring of academic values, standards and quality assurance;
 - (v) issues in the higher education sector that have potential implications for the University;
 - (vi) introduction of new academic policies or procedures;
 - (vii) proposed changes to any academic policy or procedure; and
 - (viii) quality and development of research.

- (g) promoting communication within one's unit, and across the University community, about a wide range of academic issues and activities of Senate and its Standing Committees; and
- (h) serving on ad hoc and other Senate committees.

Appendix A2 provides guidelines for self-assessment of the University Senate.

5.5 Central Administration

Central Administration shall ensure that the University establishes a clear vision and mission, articulates its core values and communicates high expectations of performance at all levels. The functioning of Central Administration shall be guided by the prevailing University Strategic Plan. The vision, mission, values, management philosophy and strategic directions shall be presented in the strategic plan.

Central Administration shall guide the University in reviewing the organisational performance for quality assurance as well as create and sustain an educational environment that promotes ethical values and equity for all stakeholders. Central Administration shall also encourage research, innovation and pursue current and future opportunities for improvement. It shall establish priorities for quality improvement to ensure that the University's vision and mission are successfully achieved.

Central Administration shall undertake self-evaluation annually, followed by an onsite visit by a panel of external peer reviewers every three year, after which relevant implementation actions shall be carried out to pay attention to the issues that are identified during the evaluation processes.

5.5.1 Quality Assurance Processes, Practices and Standards

- (a) Central Administration should ensure availability of relevant policies and regulations in all management aspects to aid decision making and provide guidance for best practice
- (b) Review of Strategic Planning cycles should be undertaken on a regular basis to ensure adherence to quality issues.

5.5.2 Internal Quality Assurance Audits

During the process of self-assessment, Central Administration shall develop monitoring and evaluation criteria and evaluate itself on the basis of these criteria, which shall mainly be based on key result areas contained in the prevailing strategic plan. Appendix A3 provides guidelines for assessment of Central Administration.

The evaluation criteria shall focus on the extent to which the University has effectively and efficiently met objectives of the Strategic Plan. The University shall also respond to requirements of the Higher Education Authority (HEA) in its self-evaluation. Key result areas in the 2013-2017 Strategic Plan include:

5.5.2.1 Academic Excellence

Academic excellence involves the creation of an environment in which academics and students can excel in their scholastic activities, demonstrate superior learning and develop intellectual capacities and skills in research and consultancy that prepare them to provide relevant and beneficial services to the community. Academic excellence must be interpreted and developed within the context of

the University's mission and how the University prepares students for success within their chosen field.

5.5.2.2 Administrative Management

Administrative management, on the other hand, is the process of managing the University so that it remains stable and continues to grow. The administrative function of Central Administration includes management of its operations and decision making as well as the efficient organisation of human and other resources to direct activities toward meeting the University's mission and objectives.

5.5.2.3 Financial Management

Financial management includes planning, organising, directing and controlling financial activities such as procurement and utilisation of funds of the University. This function of Central Administration shall include the means by which funds are raised, allocation of funds through budgeting and effectively dealing with liabilities. Central Administration shall manage University funds in such a manner as to accomplish the mission of the University. Financial Regulations are aimed at ensuring that there is accountability in the management of University financial resources. These regulations together with the Accounting and Procedures Manual and other relevant policies and procedures shall form part of the system of accountability as established by Council. Financial regulations will be monitored by both internal and external auditors mandated to carry out systems and financial audits. Compliance with Financial Regulations is mandatory for all members of Council, staff and students.

5.5.2.4 Investment

With approval of the Minister of Higher Education, the University shall invest its funds in such ventures as it may determine. The University shall commit to developing, implementing and maintaining best business practices that support its goals through effective and conscientious management of investment resources.

5.5.2.5 Infrastructure Development and Maintenance

The University's infrastructure can enhance the work of its staff and students. The University's libraries, facilities and information resources and technologies will fully support the University's mission in teaching and learning, research, and community service and engagement. The quality and attractiveness of the overall work environment will assist in the recruitment and retention of outstanding staff and students.

The University requires continuous infrastructure development in order to ensure excellence in teaching, learning, research and consultancy. Lecture theatres, libraries, student hostels, staff offices, premises (residential and commercial) among others, ensure that there is a conducive environment for the fulfilment of all the functions of the University.

Central Administration shall aggressively pursue funding for construction of new facilities that will reduce the space deficit and adequately support the mission of becoming an outstanding teaching and world-class research University.

5.5.2.6 Quality Management

Excellence in teaching, learning, research and consultancy is only possible when operational systems are continuously checked and improved through a deliberate quality assurance system. Once performance outputs and performance standards have been set, the quality assurance system should be able to function as a sensor, comparator and corrector.

As part of its strategic objectives, the University has committed itself to the development and implementation of a formal, integrated quality management system. The University shall further engender a creative, dynamic and supportive quality assurance culture as required by the Higher Education Act No. 4, 2013.

5.5.2.7 Information and Communications Technologies

Successful development, implementation and deployment of information and communications technologies (ICT) services depends on careful and realistic planning. The risks inherent to today's ICT environment, with changing technology and increasing user demands, require that Central Administration is always fully apprised of technology and application trends, so that strategic decisions on change can be taken without adverse impact on the University's operations.

5.5.2.8 Debt Management

The University's statutory and contractual debt has continued to accumulate in the recent past. This is as a consequence of government's failure to meet the 100 percent funding for the University's gross personal emoluments budget as prescribed in the country's policy on funding for higher education. There are consistent delays by government in disbursing tuition fees due to the University which has crippled the smooth operations and adversely affected the performance of the University. Terminal packages for all categories of staff have continued to be a major contributing factor to the University's indebtedness. The University is also heavily indebted with respect to statutory obligations and contributions in form of taxes, pensions and superannuation due to poor funding.

5.5.2.9 Support Services

Support service units in the University include those that are concerned with information and communication technologies, security, insurance, public relations, estate and asset management, press and printing services; international relations and linkages, health services and staff welfare, among others. The University shall provide support staff with opportunities to reflect on their practices in order to continuously offer quality professional support services to the University community. Support service units shall align their objectives and activities according to the strategic priorities and objectives of the University, as well as the national objectives for higher education. They shall make provision for a meaningful balance between university-wide standards that must be met by all support service units, and environment-specific standards. Support service units shall ensure that service level agreements are developed by each unit where relevant periodic reports on adhering to set targets and performance levels. They shall provide stakeholders, such as academics and students, with opportunities to participate in promoting and evaluating quality of this support sector. The following aspects of quality assurance relevant to this sector shall be considered:

- (a) customer satisfaction and engagement
- (b) workforce satisfaction
- (c) clean, safe and healthy environment that avoids outbreak of diseases
- (d) developing capacity for security that is sustainable and high quality

5.5.2.10 Performance Management System

The human resource of the University includes all employees of the institution. Human resource management shall, therefore, be concerned with employee management with an emphasis on considering each employee as an asset of the University. As with other assets, the goal is to make effective use of employees, reducing risk and maximising return on investment. The objective of human resource management shall, therefore, be to ensure that the University has and retains people with skills necessary to accomplish the University's objectives. In this regard, the University shall undertake annual performance appraisals of all its employees. The primary goal of employee performance appraisal is to drive overall University performance. When performance management is implemented successfully, staff shall be able to achieve their individual performance goals, thereby ensuring optimum performance for the entire University.

The staff annual performance appraisal process is designed to assist staff to develop so as to contribute to the quality of their working life and career, and to align their work with the strategic objectives of the University. The performance appraisal process is an important mechanism of quality assurance in that it functions to monitor, evaluate, develop and affirm performance excellence to meet the following aspects:

- (a) the University's mission is upheld, strategic goals are achieved, activities and operations are enhanced, and quality teaching and student support, are delivered;
- (b) staff have a clear and agreed sense of their work, role and individual performance objectives and how these fit within the organisational objectives and the overall planning framework of the University;
- (c) a process is in place for monitoring, reviewing and nurturing the achievements of individual staff and their objectives in the organisational context, and for providing feedback and evaluation on performance;
- (d) a clear focus is placed on developmental strategies in support of the staff member's performance and career aspirations; and
- (e) The University's management structure is utilised to assess and develop the effectiveness and capacity of those staff in leadership roles.

The procedure for staff performance appraisals are given in Appendix A4.

5.5.2.11 Management of Student Affairs

The management of student affairs is concerned with the organisation, coordination and administration of various non-academic aspects, social welfare and personnel services for students registered in the University. These include student governance, accommodation, general counseling and career guidance, disciplinary control, sport and recreation, social welfare (i.e. health, security, hardship, laundry, hostel cleaning), horticultural aspects (i.e. campus hygiene and sanitation, refuse collection, amenity horticulture) and the orientation of first year students. This function supports the success and growth of all students, and serves to enrich student experience. Appendix A5 provides guidelines and procedures for assessment of management of student affairs.

6. QUALITY ASSURANCE OF TEACHING AND LEARNING

6.1 Academic Staff

6.1.1 Qualifications of Academic Staff

Academic staff members are at the forefront of the University's academic operations. Academic members of staff consist of full-time and part-time teaching, research, librarian staff and visiting and honorary staff. As such it is expected that the University should develop mechanisms for employing and retaining a critical mass of experts as teaching and research staff on permanent or part-time basis. For the purpose of quality assurance, the recruitment of academic staff for first appointment and promotions at different academic ranks in the University shall follow the minimum criteria outlined in Appendix B1.

6.1.2 Promotion of Academic Staff

The University developed and implemented the Policy, Procedures and Criteria for the Promotion of Academic Staff in August, 2017. The policy shall cover full-time academic members of staff of the University of Zambia who are on permanent and pensionable conditions of service or fixed term contracts and have served the University for more than one year.

Promotion of a candidate from any level to a higher level under the policy shall be solely on the basis of merit, qualifications, competencies and experiences in the key result areas. Promotion, however, shall not be restricted to the next consecutive rank but also other higher ranks aspired for if the performance so merits.

For a candidate to be considered for promotion, he or she should have accumulated minimum points in their grade according a prescribed point scoring system given in Appendix B1.

However, an academic member of staff who shall be on suspension shall not be eligible for promotion. An academic member of staff who shall have a disciplinary charge against him/her shall have his/her consideration for promotion deferred pending disposal of the case.

Members of staff serving the University in non-full-time capacities are not eligible for promotion.

Members of staff who are also not to be eligible for promotion are those on leave as follows:

- (i) Members of staff on leave of absence; and
- (ii) Members of staff on sick leave for more than six months

However, a member of staff in the above mentioned circumstances upon return from such leave shall be eligible for consideration for promotion but will be required to be assessed to ascertain the level at which he/she may be.

6.1.3 Effective Teaching Methods and Pedagogic Skills Development

The University shall offer the University Teaching and Learning Improvement Programme (**UTLIP**) to academic members of staff as a way to enhance the pedagogical skills and teaching methodology. The academic staff will be issued with certificates of attendance. The details of the programme are given in Appendix B2.

6.1.4 Academic Staff Workload

In determining the minimum work load for academic staff, reference should be made to both teaching and non-teaching tasks, taking into account the average notional working week for academic staff which has a total of 40 hours.

The procedure for calculating workload of staff is given in Appendix B3.

6.1.5 Graduate Teaching Assistantship Scheme

6.1.5.1 Eligibility

A candidate who has been admitted to full-time studies for a higher degree by the Graduate Studies Committee of Senate, provided he/she is not receiving any award from the University of Zambia as a Staff Development Fellow, may be appointed as a Graduate Teaching Assistant. Part-time students are not eligible for such appointment, neither are students who are to complete a preliminary year prior to the commencement of graduate studies for the duration of such year of preliminary studies. The appointments are not confined to Zambians.

6.1.5.2 Appointing Authority

All appointments are made by the Vice-Chancellor on the recommendation of the Dean. When proposing a candidate to the Vice-Chancellor, the Dean of a School shall give information on the postgraduate programme the candidate is following, the qualification he/she already possesses and the area in which it is proposed he/she will teach (or tutor or demonstrate). Upon approval of the appointment, a letter of appointment will be issued by the Registrar, with copies to the appropriate offices. The Teaching Assistant would not be required to undertake teaching duties until the letter of appointment has been issued.

6.1.5.3 Duration of Appointment

Normally an appointment will be for one academic year, but may be extended on the recommendation of the Dean.

6.1.5.4 Status

The Status of a Graduate Teaching Assistant is equivalent in many respects to that of part-time staff. He/she is not a member of the School's Board of Studies unless the School receives authorisation from Senate to include in its membership this category or a representative of this category.

6.1.5.5 Duties and Responsibilities

Duties and responsibilities of tutors (Masters' degree students) and teaching assistants (PhD students) shall include understudying academic members of staff through attending lectures, seminars, tutorials and practical training; assisting in supervision of tutorials, seminars and practical; marking assignment scripts, assisting in research, consultancy and community service activities and any relevant duties that may be assigned by the academic member of staff.

6.1.6 Academic Staff Offices

Full time academic staff shall be entitled to an individually allocated office. Individual academic staff offices should be able to accommodate a workstation, lateral files and bookcases for the staff

member, plus space for two visitors (especially for student supervision). Part-time and visiting staff may use shared office space if it is available. Tutors, teaching assistants, post-doctoral researchers and graduate students will have access to shared open-plan rooms with individual desks. The guidelines for academic staff offices are given in Appendix B4.

6.1.7 Academic Staff Experience Surveys

The University shall regularly conduct staff experience surveys for academic staff. The general aim of these surveys shall be to collect information on:

- (a) satisfaction with quality of teaching;
- (b) satisfaction with support services; and
- (c) proposals for required interventions and improvement.

The guidelines for lecturer's experience surveys are given in Appendix B5.

6.1.8 Peer Evaluation of Teaching

Peer evaluation of teaching in the University involves a purposeful, collaborative process whereby one peer observes another's teaching. It provides evidence of the effectiveness of an academic's teaching from the perspective of one's peers. It serves to provide constructive feedback on its effectiveness in promotion of teaching quality and student learning.

Peer evaluations on teaching quality cover teaching and learning, supervision of post-graduate students and all related activities at the University. The candidates should be afforded the opportunity to reflect on the final report and outline in a separate statement how they will be respond to the recommendations of peers. The approved Peer Evaluation of Teaching Form should be used.

Peer evaluations should allow academic staff to:

- (a) identify and promote good practice and innovation in teaching and learning;
- (b) enhance their understanding of the student learning experience;
- (c) reflect on their practice; and
- (d) provide evidence of quality teaching practice for promotion applications, professional development and recognition.

The guidelines for peer evaluation of teaching is given in Appendix B6.

6.2 Appointment to Academic Roles

6.2.1 Dean of School and Director of Institute or Directorate

A Dean of a school and a Director of an institute or directorate shall be appointed by the Council from among senior members of the academic staff of a school, institute, bureau or similar body concerned in accordance with the provisions of the statutes of the University.

Article 24 (1) of Part III of the Third Schedule of the Higher Education Act, 2013 provides that the Dean of a school or Director of an institute, bureau or similar body shall exercise general superintendence over the academic, administrative and financial affairs of a school, institute, bureau or similar body and in particular, shall be responsible for the promotion and maintenance of effective teaching, research, consultancies and services.

The appointment of individuals to the position of Dean or Director shall be based on established criteria which shall include:

- (a) the ability to provide intellectual and academic leadership in the development of the school/institute programmes;
- (b) the ability to provide administrative leadership in the effective functioning of the school/institute;
- (c) personal skills to deal effectively with academic staff, administrators, and support staff within the school/institute and university structure; and
- (d) quality assurance at school level.

The powers, duties, competencies and conditions of service of Deans and Directors shall be determined from time to time by the Human Resources Committee of Council in consultation with the Vice-Chancellor and are implemented by the Vice-Chancellor, in accordance with approved delegations and policy.

For the purpose of this framework, the position of Dean and Director of an academic unit of the University shall be occupied by an academic who has attained the rank of Associate Professor. In exceptional cases, and especially in cases where there are no professors in a school or institute, the Council may consider appointing a professor from another unit as a Dean or Director.

6.2.2 Head of Department

The quality assurance of teaching and learning at departmental level is the responsibility of the Head of Department. The Vice-Chancellor shall, in consultation with the Dean of a school or Director of an institute, bureau or similar body concerned, appoint heads of department from among the senior academic members within each department in accordance with the provisions of the statute of the University. A head of department shall coordinate the academic and administrative affairs of the department and shall be responsible for the promotion and maintenance of efficient teaching, research and consultancy services under the direction of the Dean.

The appointment of individuals to the position of Head of Department shall be based on established criteria which shall include the ability to provide intellectual and academic leadership in the development of the departmental programmes; the ability to provide administrative leadership in the effective functioning of the department; and personal skills to deal effectively with academic staff, administrators, and support staff within the department and school structure.

The powers, duties, competencies and conditions of service of heads of department shall be determined from time to time by the Human Resources Committee of Council in consultation with the Vice-Chancellor and are implemented by the Vice-Chancellor, in accordance with approved delegations and policy.

For the purpose of this framework, the position of Head of a Department of the University shall be occupied by an academic who has attained the rank of Senior Lecturer.

6.2.3 Assistant Dean

The Assistant Dean is primarily responsible for all activities and concerns relating to the leadership, management, and promotion of specific programmes and activities within the school. The University has three positions of Assistant Dean to deal with undergraduate studies, postgraduate studies and research. Some schools also appoint assistant deans for other management or technical related functions.

These highly regarded leaders shall be appointed by the Vice Chancellor through a careful process initiated by the Dean of the concerned school.

The position of Assistant Dean in an academic unit of the University shall be occupied by an academic who has attained the rank of Senior Lecturer.

6.2.4 Performance Appraisal

The University expects that all academic staff members should benefit from having their performance reviewed regularly and appropriate professional development put in place. The University is committed to recruiting, developing and retaining appropriately skilled, experienced and motivated staff. Academic staff performance appraisal comprises regular discussions about performance between supervisors and their staff and an annual review. This review will assist in staff development and personal planning, assessment of achievements and performance.

The following instruments will be designed for staff appraisals:

- (a) Annual performance appraisal forms.
- (b) Students evaluation of teaching reports
- (c) Appointment and promotion guidelines

6.3 Programmes of Study

6.3.1 Sources of Information and Accessibility

The University shall provide up-to-date, consistent and reliable information to its staff, prospective and current students and the general public about the standards and quality of programmes it offers.

6.3.1.1 Information for Students

6.3.1.1.1 School Handbook

University policy on information for student is that it is mandatory that every student receives a **School Handbook** containing the programme they are following. Accurate and accessible information for students will assist them to understand what is required to achieve the standards for the award for which they are enrolled; understand their responsibilities, both to maintain their enrolment and in respect of their own learning; understand their responsibilities as members of the University community and, where relevant, their responsibilities in respect of professional conduct; know how to derive maximum benefit from the learning opportunities available to them; understand how and in what circumstances to access support services; understand the regulatory framework which governs decisions about progression and awards; and know how to use the systems which exists for students to express their views or to make complaints, appeals and claims for mitigating circumstances.

The School Handbook shall also contain rules and regulations which shall outline the aims and outcomes of the programme and the standards that they are expected to be achieved to complete it successfully; the separate courses of the programme that contribute to its overall aims; the themes which run through the programme as a whole, and any pre-requisites or decision points in terms of

options and award paths; the teaching and learning approaches used; the overall assessment workload for an academic year; programme-specific regulations, and other programme-specific information; who to contact for academic, personal and administrative advice; and how to access and benefit from relevant learning resources and support services.

It is the responsibility of the Dean of the school or institute to publish one or more School Handbooks that contain all the programmes on offer in the school on an annual basis and to ensure that every student has an up-to-date and appropriate copy every year.

For the purpose of uniformity across the University, guidelines for preparation of school handbooks are given in Appendix B7.

6.3.1.1.2 Course Guides

It is also recommended that students receive a *Course Guide* for every course for which they are registered. The purpose of Course Guides is to help students understand what is required to meet the learning outcomes of the course, in terms of supervised contact with staff, private study, preparation and assessment. The course guide may be posted onto the e-learning platform for the course.

6.3.1.2 Information for Academic Staff

A Handbook for Academic Staff shall provide detailed guidance on the purpose of Course Guides, content which is required or desirable, the relationship between the Course Guide and what is approved at validation, and responsibilities for preparing the guides and checking their quality. Assessment criteria for course assessments should normally be in the Course Guide, but may alternatively be issued to students with the assessment task. Their purpose is to help students understand the attributes of their work for which marks will be allocated, and what is required to pass or achieve good marks for their work. It is the responsibility of the Lecturer to prepare the Course Guide. The University shall have in place a system to monitor the quality of Course Guides.

6.3.2 Regulations for Undergraduate Studies

The University shall, on an annual basis, publish the *General Regulations for Undergraduate Studies*, approved by the University Senate, which shall set out the requirements for undergraduate awards in the University. The date of approval of the regulations shall be clearly indicated. The *General Regulations* shall be readily available for students to refer to, but it shall not be mandatory for a student to own a copy.

Each School shall further provide a distinct chapter in the **School Handbook** that covers *Rules and Regulations for Undergraduate Studies* for all the undergraduate programmes on offer, as approved by the Board of Studies of the School and ratified by Senate.

It is mandatory that each undergraduate student has a copy of the *School Handbook* and therefore a copy shall be part of the package that is given to students during registration.

Students shall observe all rules and regulations prescribed by the University authorities in both the *General Regulations for Undergraduate Studies* and in the programme-specific *Rules and Regulations*.

6.3.3 Regulations for the Taught Master's Degree Programmes

These regulations shall be part of the *General Regulations for Postgraduate Studies*, approved by the University Senate.

6.3.4 Introduction of New Academic Programmes

The University shall have guidelines for development of new undergraduate and taught postgraduate programmes and their approval by Senate. The University shall ensure that each programme is designed by well-qualified staff and the design process is based on guidelines and procedures approved by Senate. Each programme shall be consistent with the University's vision and mission and shall address critical national human resources requirements. The curriculum must, at least, meet the minimum body of knowledge and be relevant to the profession. The programme shall be coherently structured with its own regulations, and learning outcomes being clearly stated. The programme shall have physical and human resources to meet the requirements of the programme. The programme shall be reviewed and audited on a five year cycle. The procedure to be considered in preparing new programmes is given in Appendix B8.

6.3.5 Accreditation of Programmes

The University shall submit to the Higher Education Authority (HEA) applications for accreditation of its academic programmes as specified in the Higher Education Act No. 4 of 2013. The University shall also periodically submit to the HEA requests for renewal of accreditation of its programmes as specified by the HEA. The University shall consider accreditation as both a status and process of external quality review which shall be used for quality assurance and quality improvement. By accepting accreditation status, the University has agreed to uphold the quality standards set by the HEA.

The details to be considered in submitting new and existing programmes for accreditation by the HEA are given in Appendix B9.

6.3.6 Admission of Students

The University shall admit applicants to its degree, diploma and certificate programmes on the basis of their performance in suitable subjects or courses and at acceptable standards in their previous studies in which they have obtained a suitable qualification. The entrance requirements for admission to programmes of study leading to degrees, diplomas and certificates are approved by the Senate and are given in individual School Handbooks and the University Calendar.

The Senate shall apply limitations to the number of students who are admitted to the University of Zambia because of staffing levels and teaching space in lecture rooms and laboratories. In order to enforce quality in teaching, Schools are mandated to enroll according to recommended student-staff ratio and capacity of the infrastructure.

6.3.7 Development of Teaching and Learning Materials

6.3.7.1 Development of Quality Learning Materials

Teaching and learning materials should be developed and used in such a way that quality learning that is characterised by the development of complex concepts and meta-cognitive skills such as the ability to regulate one's own learning, is promoted (Stellenbosch University, 2011). Developers of materials should take cognisance of the fact that learning is active, constructive, cumulative, contextual and goal-oriented.

6.3.7.2 Student Needs

Teaching and learning materials should be developed and used with due reference to the level of academic development of the students, including the ability of students to appraise the quality of materials and any special needs students may have.

6.3.7.3 Learning Outcomes

Teaching and learning materials should be developed and used in a manner that will enhance the development of students. The materials should be developed and used with a view to expanding students' knowledge and to challenge their intellectual abilities with due reference to the outcomes of the module and of the programme.

6.3.7.4 Academic Practice

Contemporary and accurate material should be used in developing and use of teaching and learning materials. The quality of materials prepared by lecturers for students should always reflect accepted academic norms. Electronic teaching and learning materials e.g., PowerPoint slides, material for *Moodle*, web sites etc, should reflect accepted good practice for the preparation of effective materials in these media.

6.3.7.5 Intellectual Property

Materials prepared by lecturers for students are subject to the provisions of the University's policy on intellectual property rights.

6.3.7.6 Review of Teaching and Learning Materials

Teaching and learning materials should be evaluated as part of various existing internal quality management processes as follows:

- (a) during the approval process for new modules;
- (b) during routine evaluation of existing courses and programmes;
- (c) as part of the evaluation of departments; and
- (d) development and extent of the use of teaching and learning materials shall be an integral component of the annual performance appraisal of lecturers.

6.3.8 Continuous Assessment and Feedback to Students

A student's grade shall normally be determined by the examiner's assessment of the student's work throughout the course (continuous assessment) as well as performance in the final examination as specified by the department offering the course. The allocation of continuous assessment marks to assignments, tests, etc as approved by Senate is the responsibility of individual departments. Lecturers have the responsibility of teaching students how to learn by helping them to see the continuity in their learning and offering them the encouragement to apply learned skills from one field to other fields and to everyday experiences.

Lecturers shall provide students with ample opportunities to practice skills taught in order to grasp concepts. They shall create consistency in learning methods that include problem-solving, thinking and creative activities and hold students responsible for completion of assigned work within established standards of quality. Lecturers shall set challenging and interesting assignments that are appropriate to the subject.

The Head of Department shall ensure that lecturers provide feedback to students in a timely manner to keep students consistently informed on how they are doing and what they will be doing next. Lecturers shall discuss the significance of each learning step and its relationship to concepts previously taught. They shall keep students informed as to how well they are performing by occasionally conveying to them their level of success and use assignments, quizzes and tests as tools to measure student progress as well as determine curriculum changes and teaching strategies in order to accommodate the diverse needs of groups of students.

It is mandatory that continuous assessment results are made available on the departmental notice board before students sit for the final examinations in the course. These should also be deposited in the office of the Head of Department. In line with the approved **Rules and Regulations**, a student whose continuous assessment is unsatisfactory will not be allowed to sit for the final examination.

6.3.9 Preparation of Examination Papers and Model Answers

The Dean of School as Chairperson of the Board of Examiners shall have responsibility for the security of and arrangements for setting examination papers, examining and marking scripts and processing and storing marks and grades. Information may be processed or stored only on computers designated by the Dean. The Head of Department shall approve the content of examination papers taking account of the comments of moderators and internal and external examiners.

Examination papers together with model answers must be prepared and delivered by hand by the lecturer to the Head of Department at least one month (30 working days) prior to the start of the examination period. The Heads of Department must ensure that they have effective procedures for setting and moderating examination papers. This requirement could be met in the following ways:

- (a) setting achievable deadlines at the beginning of the examination paper setting process to ensure that members of academic and administrative staff have enough time to thoroughly carry out their duties and responsibilities;
- (b) reminding staff of deadlines for setting and moderating papers;
- (c) ensuring that if a member of staff fails to meet a deadline that procedures are in place to make those responsible aware of the situation and the potential repercussions;
- (d) ensuring that the paper setter is fully aware of how they should set their examination paper, by when, and in what format the paper should be submitted to the Head;
- (e) providing the paper setter with clear and timely information ;

- (f) submitting all examination papers electronically to the Head, using a USB memory stick for example, or shared folder set up for this purpose on a secure server to prevent paper copies from being mislaid;
- (g) advising paper setters not to send any material via e-mail or shared networks; and
- (h) requesting that the paper setter provides a marking scheme; answers to numerical questions, indicative essay answers, and an outline of how learning objectives have been examined, in addition to the examination paper.

6.3.10 Internal Moderation of Examinations

6.3.10.1 Responsibility of the Head of Department

The Head of Department shall prepare a list of examination papers received and arrange for internal moderation. The University needs to be assured that robust, effective and consistent moderation processes are taking place in all courses. The Head of Department will appoint moderators and inform the Dean of School accordingly. Internal moderation takes place in two stages:

6.3.10.2 Moderation of Examination Papers

Moderation of examination questions ensures that their form and content are appropriate and valid in terms of standards, assessment of learning outcomes, syllabus coverage, level of challenge, and fairness to students. Course lecturers are responsible for the formatting and content of their examination papers, so they should check the paper for accuracy, subject matter, spelling and grammar, using the format and guidelines supplied by the University Senate. It is a requirement of the University that the examinations shall cover at least 80% of the approved course syllabus.

Where a course is shared, the nominated course coordinator should lead the moderation activity. Moderators will respond back to the lecturer or course coordinator confirming that the examination is appropriate or proposing amendments. If amendments are recommended these will be communicated to the lecturer or course coordinator for their action. The lecturer or coordinator must retain a copy of the moderators comments and responses. This may require several iterations until an agreement is arrived at. At the end of this process, a standard form for moderation of examination papers will be completed by the moderator and submitted to the Head of Department before the prescribed deadline. The course lecturer will make any necessary amendments and submit the final examination to the Head of Department.

6.3.10.3 Moderation of Marking

Moderation of marked examinations scripts ensures the use of agreed marking criteria, comparability and equity of standards, consistency and fairness of marking. Regardless of the assessment weighting, if the assessment is not individual in nature, and where a number of students will be using the same title and rubric and the cohort size is not too small, then moderation can be done via sampling.

The sample should include sufficient examples from each of the classification bands if the size of cohort permits, that is, 10% of the cohort size from across the classification bands. Classification bands should be arranged according to three levels that include poor, satisfactory and excellent results. Where a large cohort is marked by a large team, it may be necessary to moderate a greater sample in order to ensure consistency of marking across the team.

There must be clear and transparent evidence that internal moderation of student work has taken place with a report provided by the internal moderator. Internal moderators should record their

comments separately so that student work in the sample is not returned with comments from both the marker and the internal moderator. Copies of both the marker and internal moderator comments should be stored as part of the course information and sent to the external examiner.

The guidelines for internal moderation of examinations are given in Appendix B10.

6.3.11 External examiners

6.3.11.1 Provisions of the Legislation

Section 31 of Part V of the Higher Education Act No. 4 of 2013 specifies that a higher education institution shall conduct its examinations in such manner as its statutes may prescribe, except that for degree examinations and any other qualifying examinations, the higher education institution shall appoint at least one external examiner for each academic programme.

The University must, therefore, have clear and transparent evidence that shows that external moderation of examinations and student work by an appointed external examiner has taken place and a record of this is retained in the course information for each programme. The outcomes of external moderation should be recorded in the annual course review.

External examining is one of the ways of ensuring academic excellence in the University. Under this arrangement, external examiners are engaged to evaluate the programme content and the process of student assessment. External examiners reports act as reference points against which the University may be evaluated. It is an assessment tool used to measure the academic standard of staff and graduates of the University.

The University shall have comprehensive guidelines for external examiners which shall be applied rigorously across the whole institution.

The University shall create mechanisms to ensure that external examiners are invited annually for each School.

6.3.11.2 General Principles

In general, external examiners are expected to comment on the validity of the assessment instruments, the quality of student performance and the standard of student attainment, the reliability of the marking process and any concerns or irregularities with respect to observation of the University regulation. Therefore the conduct of external examinations at the University is governed by Senate regulations. The general principles of the external examination process are:

- (a) to provide external and unbiased evaluation of the fairness and suitability of the University's student assessment process in line with Senate regulations;
- (b) to verify that standards of student performance are appropriate for the award for which the external examiner has been appointed;
- (c) to verify that the student assessment methods are reliable or precise and will therefore produce similar results if repeated with students of comparable standard and comparable circumstances and similar assessors;
- (d) to verify that the student assessment methods are valid such that they measure the competence they are intended to measure;

- (e) to verify that the student assessment methods have the educational impact in such a manner as to promote appropriate student learning behaviour;
- (f) to verify that the student assessment methods are acceptable to all assessors and students and are feasible within the resources available;
- (g) to work with the University to uphold the high academic standards of its programmes and awards; and
- (h) to compare the academic standard of the University with those of similar institutions.

The External Examiner shall write a report detailing his or her observations, conclusions and recommendations to the Vice-Chancellor who will submit it to the Quality Assurance Committee for consideration and action.

6.3.11.3 Qualifications of External Examiners

An external examiner should have enough recent examining experience to assure the School Management Committee acting on behalf of the Board of Studies and Senate of his/her competence in assessment and understanding of academic standards in a broad higher education context.

The external examiner should offer constructive comments, criticism and suggestions for enhancement in the area of assessment practice. The external examiner shall be a Professor, Associate Professor or a Senior Lecturer.

6.3.11.4 Identification and Appointment of External Examiners

External examiners should be identified for each academic programme by the respective departments and nominations forwarded to the School Management Committee for consideration. The following procedure shall be followed:

- (a) the Head of Department, through informal contacts, shall establish the willingness and availability of a nominee to serve as external examiner and solicit his/her curriculum vitae;
- (b) the Head of Department shall convene a departmental meeting at which the academic members of the department shall study the curriculum vitae to satisfy themselves that the nominee has the necessary expertise, experience and seniority to serve as external examiner;
- (c) the principles and guidelines for identification and selection of external examiners shall be made available to staff and other stakeholders at the departmental meeting;
- (d) the Head of Department shall forward the nominee's details to the Dean of the School;
- (e) the Dean of the School shall convene a meeting of the School Management Committee which shall consider the nominations for external examiners in the School to satisfy themselves that the nominees have the necessary qualifications to serve as external examiners in the School;
- (f) the Dean shall forward the proposed candidates to the Vice-Chancellor for appointment. External examiners for undergraduate and taught postgraduate programmes shall be appointed by the Vice-Chancellor, on behalf of Senate, on the recommendations of the respective School Management Committees acting on behalf of the Board of Studies of the School;

- (g) external examiners should be appointed for a period of three years. Thereafter the same external examiner can only be re-appointed for another three year term; and
- (h) a former member of the teaching staff of the University will not be eligible for appointment until a period of four years has elapsed.

6.3.11.5 Role of the External Examiner in Undergraduate and Taught Postgraduate Programmes

The principle roles of external examiners is to verify that standards are appropriate for of each units of study and to provide independent impartial comment on standards set and student achievement of those standards. The capacity to fulfil this is based on knowledge of standards set and achieved in other higher education institutions, of subject benchmark statements and where applicable of the expectations of professional and statutory bodies or co-awarding bodies.

The external examiner shall make an initial 5 day visit to the University on dates to be determined between the external examiner and the University. During the course of the visit, the external examiner will:

- (a) review the course guidelines of all upper level undergraduate courses offered by the Department in the current academic year;
- (b) review the preliminary grades in the final examinations of each of those courses awarded by the internal examiners;
- (c) independently assess and grade a sample of examinees' scripts in each of the examinations;
- (d) discuss with the internal examiner any discrepancies between the grades awarded by the internal examiner and external examiner, and offer guidance on how to resolve the differences, as well as projecting from the sample to the grading of the whole class;
- (e) review a sample of continuous assessment work and the grades assigned for the work by the internal examiner;
- (f) recommend to the Board of Examiners the adjustment of marks for individual or all students examined where necessary;
- (g) hold separate meetings with the Head of Department and the Dean of the School to discuss the outcomes of the above activities;
- (h) at the discretion of the external examiner, and depending on feasibility, given the timing of the external examiner's visit, hold informal discussions with one or more students enrolled in advanced courses in the Department in the current academic year; and
- (i) wherever possible, depending on the timing of the external examiner's visit relative to the rest of the Department's grading programme, participate in a departmental meeting of examiners.

6.3.11.6 Written Report

Within the week following his or her visit to University, the external examiner will submit to the Vice-Chancellor a written report that will include:

- (a) a summary of the issues that were presented by the external examiner to the Dean and Head of Department;

- (b) recommendations for the enhancement of the examination process in the department;
- (c) recommendations for the enhancement of the curricula of the courses reviewed by the external examiners;
- (d) recommendations for the enhancement of the instructional methods followed in the courses reviewed by the external examiner;
- (e) recommendations for the enhancement of the department's facilities; and
- (f) a confidential appraisal of the performance of the department, together with any other recommendations for how to achieve an enhancement of the quality of education offered by the University in the fields of knowledge covered by the department.

6.3.11.7 Other roles of external examiners

External examiners may be consulted on possible review of existing programmes and the process of external examination for purposes of improving the assessment process.

6.3.11.8 Termination of appointment

The appointment of an external examiner may be terminated by the Board of Studies if the Board judges that the responsibilities of the appointment have not been or cannot be fulfilled in the manner or to the standard which the University requires. Reasons for termination may include, but are not limited to:

- (a) failure to provide reports on the assessment process required by the University;
- (b) inability to come for two successive invitations;
- (c) a change in the external examiner's circumstances which brings about potential conflicts of interest which might jeopardize objectivity;
- (d) persistent refusal to work within the University's academic regulations; and
- (e) conduct which in the case of an employee of the University would be the subject of disciplinary action.

When circumstances arise which are considered as possible grounds for termination of an external examiner's contract, the Chairperson of the Board of Studies will notify the Vice-Chancellor of the relevant details. The Vice-Chancellor will write formally to the examiner to inform the external examiner that the appointment has been terminated.

6.3.12 School and Departmental Reviews and Audits

6.3.12.1 Provisions of the Legislation

It has become an obligation that institutions of higher education in Zambia demonstrate the effectiveness of their academic programmes in providing high quality education that positively impacts students. Furthermore, the HEA which is concerned with quality assurance requires that institutions assess students' learning outcomes as a means of improving academic programmes. This has led the HEA to develop methods for assessing the quality of academic programmes.

The University will conduct an internal assessment to the criteria and components for the registration of academic programmes as prescribed under the HEA on a three year cycle. Internal self-assessment is recommended by the HEA as the first step before application for accreditation.

6.3.12.2 School and Departmental Review and Audit Procedures

The University shall implement formal annual programme review procedures. Programme reviews can be undertaken for an individual programme, or a group of related programmes, as considered most appropriate by the School.

Schools are required to complete a self-assessment report (SAR) on programme review for each of their main programme groupings which should be submitted to the Quality Assurance Committee at agreed dates. Internal deadlines for the submission of the SAR shall be determined by Quality Assurance Committee for each School following the flowchart given in Figure 4. Reference should be made to the guidelines for self-assessment at programme level given in *Appendix B11*.

6.4 The Learning Environment

6.4.1 Lecture Theatres, Lecture Rooms, Tutorial Rooms and Seminar Rooms

The University aims to maintain, improve and expand infrastructure. This includes construction of additional student bed spaces, construction of new staff offices, a fourfold increase in library capacity, and rehabilitation of existing lecture theatres and laboratories and providing them with modern equipment. The University is also expected to maintain a student population that makes it viable and sustainable.

The University will undertake regular monitoring and evaluation of the learning environment to ensure that there is adequacy of learning and teaching resources in the programmes offered and that they are commensurate to the programme enrolment levels.

The guidelines for use of teaching spaces shall be developed and provided for University use.

6.4.2 Laboratories, Workshops and Clinics

The University shall ensure that laboratories, workshops, clinics and computing facilities are adequately available and accessible to members of staff and students to support teaching, learning and research activities. The standards of the facilities must always be kept high and departments are encouraged to benchmark with similar departments in reputable institutions to identify their shortcomings if any.

Every department which runs programmes that require the use of laboratories, workshops, clinics or computing facilities is required to put in place such facilities to cater for programmes of the University and its populations.

6.4.3 Student-Lecturer Ratio

The student intake should take into consideration the approved student-lecturer ratio (SLR). At its sitting on November, 2015, the University Senate approved a SLR of 13:1 in all University programmes.

6.4.4 Teaching Aids

In the University, teaching involves a series of activities and different processes of disseminating and transferring knowledge, skills and information to students. Lecturers are encouraged to use modern teaching aids in lecture theatres, classrooms, laboratories and workshops. Although these tools cannot guarantee quality of education, they make learning easier. The quality depends on the content of the presentation and the depth of knowledge of the lecturer. However, teaching aids can save time used for writing notes or equations and solving a problem on the traditional black or white board. Teaching aids can also make the lessons or demonstrations more interesting to the

learner. It is, however, important that the lecturer maintains a good balance between using gadgets and having interactions with students.

6.5 Student Involvement

6.5.1 Staff-Student Consultative Committees

6.5.1.1 Mandate

Each School in the University shall provide a system of consultations between staff and students through the establishment of Staff-Student Consultative Committees for undergraduate students (SSCC-UG) and for postgraduate students (SSCC-PG), respectively, for each programme of study. This shall be done annually.

6.5.1.2 Composition

The Head of Department (HoD) shall nominate a chairperson of the departmental SSCC. In cases where a department has several programmes and has designated a **Programme Coordinator** for a specific programme, this person shall serve on the SSCC for that programme and chair the committee.

Departments shall nominate a **Programme Tutor** (PT) for each year of study of a programme to serve on the appropriate SSCC.

Each cohort of students, both undergraduate and postgraduate, in a department shall elect a **Student Academic Representative** (SAR) to serve on the appropriate programme SSCC.

Each SSCC shall meet at least once per term. The Dean shall ensure that the constitution and the procedures of these committees are acceptable to the staff and the students of the School. The minutes of each meeting of the committees shall be forwarded to the Dean and shall be served before the Board of Studies and the School Postgraduate Studies Committee.

The composition shall be as follows:

- (a) Programme Coordinator (or other person designated by the HoD) - Chairperson;
- (b) Programme Tutors (one of whom shall be the secretary);
- (c) At least one student representative from each year of study; and
- (d) At least one part-time student representative.

It is recommended that the SSCC does not exceed more than twenty student members. Where this is the case, departments should consider creating an additional SSCC, perhaps split by mode of study, programme or level.

Students on placement away from their department should raise any matters they wish with the student members on the SSCC, or with the SSCC Chair and Secretary and SSCC minutes should also be made available to these students.

6.5.1.3 Terms of Reference

The terms of reference for the Staff-Student Consultative Committees shall include the following:

- (a) to comment upon any significant changes to departmental policy which would have a direct consequence for teaching and learning, admissions, and assessment;
- (b) to comment upon physical resources within the department e.g. computers, library facilities etc.;
- (c) to comment upon safety and welfare within the department;
- (d) to receive notification of any departmental changes with respect to teaching and learning, admissions, and assessment;
- (e) to discuss follow-up action resulting from previous SSCC meetings, and in particular any matter which was referred to the Board of Studies meeting;
- (f) to receive and comment on the outcome of degree programme and course evaluation surveys and audits and any consequent follow-up actions;
- (g) to receive and consider the Head of Department's overview of the departmental reports;
- (h) to comment, at least once each session, upon the Programme Tutoring system;
- (i) to comment on feedback to students on their assessed work; and
- (j) to receive and comment on, where possible and as part of the Internal Quality Assurance process, the department's Self-Evaluation Report.

6.5.1.4 Arrangements for Multi-Disciplinary Degree Programmes

Degree programmes that are multi-disciplinary (with contributions from more than two departments) are required to have a separate, programme-based SSCC. Arrangements for management are as follows:

- (a) there shall be, for each combined programme and involving more than two departments of the University, an SSCC, which shall meet at least twice in each academic year;
- (b) the academic staff responsible for the coordination of such a degree programme shall ensure that the constitution and procedures of this committee are acceptable to the staff and students involved in the degree programme;
- (c) the minutes of each meeting of each such committee shall be forwarded to the respective departments of the schools involved; and
- (d) where the academic staff responsible for the coordination of a combined studies degree programme and involving more than two departments consider that it will not be appropriate for a separate SSCC to operate for the degree programme in question, those staff shall ensure that the views of students following the programme can be expressed instead either through (i) the SSCCs of the departments concerned as prescribed above or through (ii) an annual meeting which all students following the programme shall be invited to attend, or through both (i) and (ii).

6.5.2 Student Assessment of Teaching

The University pursues a system of student feedback that makes provision for students to regularly be given an opportunity to give feedback on their experience of individual courses, their experience of the lecturers' lecturing, and their experience of the teaching and learning programmes as a whole. This feedback is firstly utilised in the development of courses and programmes, and for the professional development of lecturers.

The student feedback reports are made available to the individual lecturers, the departmental heads and the Deans. The results of the student feedback can be used by the departmental heads and Deans in the evaluation of the quality of courses, programmes and the lecturing done by lecturers. Student

feedback is therefore also taken into consideration during the performance appraisal of lecturers and when decisions are taken on promotion.

Guidelines for student assessment of teaching at the University are given in *Appendix B12*.

6.5.3 Student Academic Conduct

Students can make a significant contribution to the quality of their own learning and that of their fellow students. They can also contribute to the improvement of the learning opportunities of future students on similar programmes. To maintain and enhance the quality of their own learning and that of others, students have a responsibility to:

- (a) attend classes all the time;
- (b) prepare for taught sessions, especially seminar and workshop sessions;
- (c) spend the recommended time in student managed learning;
- (d) use the information and guidance provided;
- (e) adhere to University regulations and the code of conduct;
- (f) take up available opportunities to receive academic advice and feedback on their work;
- (g) thoughtfully complete course questionnaires and other surveys and consultations; and
- (h) use the system of academic boards, course representatives, and representations through the students' Union to raise issues for improvement.

6.6 Resolution of Student Academic Complaints

6.6.1 Academic Complaints

The procedure for raising academic complaints allows students to request for a review of a decision relating to their academic progress or award. These provisions are applicable to regular and distance students of the University.

Decisions about academic progress of students are made by the University Senate on recommendations from the Board of Examiners of academic units. However, students may consider, perhaps reasonably, that some particular decisions made by the Senate or its subordinate committee are defective. Student may therefore wish to appeal against such decisions. Circumstances in which students may submit an appeal include the following:

- (a) change of comment;
- (b) change of grade; and
- (c) missing results.

If a student has a complaint about teaching or supervision or circumstances which relate to the delivery of their programme of study before being examined, these should be raised as a complaint with the department at the earliest opportunity and, if necessary, a formal complaint submitted to the Dean of the School. Guidelines for resolution of student academic complaints and disputes are given in *Appendix B13*.

6.6.2 Grounds for Raising an Academic Complaint

Complaints which simply challenge the academic judgement of internal or external examiners or Boards of Examiners are not permitted. A student may not raise an academic-related complaint if the student feels the results are not as good as they had expected. The valid grounds for appeal are summarised below:

- (a) there are circumstances which materially affected the student's performance, for which supporting evidence exists, which were not known to the Board of Examiners or Senate at the time its decision was taken and which it was not reasonably practicable for the student to make known beforehand;
- (b) there were procedural irregularities in the conduct of the examination or assessment of such a nature as to create a reasonable possibility that the result may have been different if it had not occurred; and
- (c) there is evidence of prejudice or bias or lack of proper assessment on the part of the examiners.

It is important that students notify their departments of any matters which may be relevant to their academic performance (e.g. personal or medical circumstances at the time they occur and to supply supporting documentary evidence, such as medical certificates, etc). Unless there were very good reasons why a student was unable to notify the department or supply evidence at the time, the appeal should be disallowed.

Students should also note that the University operates a system of cross-checking, which includes moderation and the use of external examiners' input to ensure that there are adequate checks on the accuracy and appropriateness of examination papers and marking of scripts to help prevent prejudice and bias.

6.6.3 Submission of an Academic Complaint

If a student decides that he or she has eligible grounds for appeal, the student should:

- (a) appeal on his/her own behalf and take the responsibility to obtain the required evidence;
- (b) note that the University will not contact third parties (e.g. doctors, social welfare personnel, etc.) on behalf of the student;
- (c) complete and submit the *Form for Lodging an Appeal or Complaint* with supporting documentary evidence; and
- (d) ensure that the appeal is submitted by the stated deadline as a failure to do so will result in the appeal being disallowed.

It is important that the student submits evidence to support the complaint. This must be new evidence, i.e. not just copies of evidence already submitted and considered by Boards of Examiners. Where medical evidence is submitted this must be from the University of Zambia Medical Officer. Medical certificates obtained from other medical practitioners must be verified by the University of Zambia Medical Officer.

On receipt of the complaint the Quality Assurance Directorate will check whether the appeal is presented in the right format with sufficient supporting documents. If not, the student will be notified in writing and advised that the complaint cannot be accepted or the student will be offered the opportunity to supply more information or evidence within a stated timeframe.

All complaints will be acknowledged. Once a complaint has been received a report will be requested from the student's department and this along with the complaint will form the documents to be submitted to the *Appeals Resolution Panel* appointed by the Dean of the School on behalf of the University Senate.

The complainant will be sent a copy of the departmental report and be offered the opportunity to submit written comments on it by a specified deadline. The complainant will be notified in advance of the date the appeal will be considered and will be given an opportunity to be heard.

6.6.4 Academic Complaints Resolution Panels

6.6.4.1 Mandate

The Dean of the school in which the complainant is registered shall appoint, on behalf of the University Senate, an Appeals Resolution Panel, on a case-by-case basis to deal with complaints directed to the school. The Dean shall designate a chairperson for the panel.

6.6.4.2 Composition

The composition of an Appeals Resolution Panel shall be as follows:

- (a) three members of the academic staff of the School, nominated by the Dean of the School and shall include any specialist in the subject matter of the complaint;
- (b) the Assistant Dean (Undergraduate) or the Assistant Dean (Postgraduate) as the case may be, depending on whether the complainant is an undergraduate or postgraduate student; and
- (c) any Professor, Associate Professor or Senior Lecturer (not necessarily a specialist in the subject matter) from any Unit within the University.

In the case where the complaint is related to a course or programme taken in another school, the Dean of the school in which the complainant is registered shall work with the Dean of the school in which the course or programme was taken to constitute the panel. Administrative support to the Panel shall be provided by the Quality Assurance Directorate.

6.6.4.3 Appeal to the Vice-Chancellor

In exceptional cases, where a student believes that the resolution process has been conducted incorrectly or that the outcome is unreasonable in relation to the evidence then the student has the right to raise the matter for independent review by the Vice-Chancellor. The Vice-Chancellor will use his/her discretion in constituting an advisory team, if need be, and his/her decision will be final. The appellant must show evidence that there are flaws in the resolution process conducted by the Appeals Resolution Panel.

6.7 Graduate Tracer Studies

6.7.1 Background

Graduate tracer studies are an important way of understanding the relevance and quality of programmes offered by the University. They also help the University to better understand the labour market. Graduate tracer studies provide quantitative data on employment and career, the character of work and related competencies, and information on the professional orientation and experiences of the graduates of the University. Although the end-of-course evaluation can ask for the student to assess whether they have gained the knowledge and skills necessary for fulfilling their personal objectives, there is really little proof of this until the student has completed the entire programme of study and has entered the workforce. Guidelines for undertaking graduate tracer studies are given in *Appendix B14*.

6.7.2 Objectives of the Tracer Studies

The main objectives of the tracer study are to:

- (a) investigate the transition process from university to work;
- (b) determine the state of employment, unemployment and underemployment;
- (c) analyse the relationships between higher education and work in a broad perspective which includes the fulfilment of personal goals such as job satisfaction and objective measurement like job position, income, job security and the type of work; and

- (d) investigate what factors are important for professional success of graduates taking into account personal factors like gender, work motivation, knowledge, skills and attitudes obtained from the University programmes.

6.7.3 Use of Data from Graduate Tracer Studies

The information gained from graduate tracer studies can be used for curriculum development and reform. The information may also answer questions such as:

- (a) What are the retrospective views of graduates on higher education based on their career experiences?
- (b) To what extent do graduates consider their education and training as an opportunity or wastage?
- (c) How are the outcomes of curricula aiming to create new types of learning and qualifications to prepare for newly emerging types of occupation and work tasks?
- (d) How broad or narrow is the knowledge fostered in individual degree programmes in comparison to occupational tasks or major occupations?

6.7.4 Role of Alumni in Tracer Studies

The Role of alumni in the conduct of tracer studies is important for many reasons. These include:

- (a) Alumni are an institution's most loyal supporters.
- (b) Alumni present fundraising prospects.
- (c) Alumni generate invaluable word-of-mouth marketing among their social and professional networks.
- (d) By engaging alumni, an institution can continue to benefit from their skills and experience.
- (e) Alumni are great role models for current students and are often well placed to offer practical support to students as they start their careers.
- (f) Alumni are often in the position to engage the expertise of the institution in their professional lives.
- (g) Alumni are the institutions' international ambassadors. They take their knowledge from the institution to their hometowns and countries and into their professional and social networks.

6.8 Employer Satisfaction Surveys

6.8.1 Background

Employer satisfaction surveys provide a measure of the extent to which the University is meeting employers' needs. Specifically, the surveys gather employer feedback on the extent to which graduates have the right mix of general and technical skills required for the workforce. The surveys aim to ensure that the University is responsive to labour market and industry needs. Guidelines for undertaking employer satisfaction surveys are given in *Appendix B15*.

6.8.2 Objectives of Employer Satisfaction Surveys

The main objectives of the survey are to assess:

- (a) satisfaction with the skills and knowledge of graduates in a specified period;
- (b) satisfaction with some specific attributes of graduates;
- (c) satisfaction with the overall responsiveness of the University to employers' specific human resource needs.

- (d) assess the degree to which employers provide assistance for education and training to recent graduates;
- (e) examine employers' perceptions on skills shortages among graduates;
- (f) determine changes in employer satisfaction over time by comparing data collected over a number of surveys; and
- (g) assist the University to serve the employers more effectively and efficiently by identifying areas of strength and areas of weakness that need improvement.

6.8.3 Focus Areas for Employer Surveys

Focus areas for employer surveys include the following:

- (a) characteristics of the employers: type of organisation; economic sector; number of employees, number of postgraduates employed;
- (b) recruitment of graduates: methods of recruitment, recruitment criteria;
- (c) information about personnel and the income structure;
- (d) satisfaction with knowledge and skills acquired by graduates; and
- (e) overall satisfaction with performance of graduates.

7. QUALITY ASSURANCE OF OPEN AND DISTANCE LEARNING

7.1 Provision of Distance Education

7.1.1 General background

The growing demand for Open and Distance Learning (ODL) has exerted pressure on the University in terms of having to meet the diverse needs of scholars in different far places. To ensure excellent service provision, there is need to create the necessary capacity at the institutional and individual level.

The provision of Open and Distance Learning (ODL) by the University shall be governed by the *Policy for Open and Distance Learning*. The Institute of Distance Education (IDE) shall be responsible for the provision of ODL through the processes of planning, coordinating and facilitating curriculum design, materials development, materials distribution including online, tutoring and counseling, assessment management and student database administration. The institute shall work collaboratively with servicing schools to convert the study materials and programmes into the distance and online mode. The institute shall also identify and provide demand driven programmes.

In line with one of the University strategic objectives, namely, to “Provide Open Distance Learning as an Option for Mass Teaching, Learning and Research”, IDE is expected to develop new infrastructure, new curricula, new technologies and teaching aids that will meet the new dimensions of open and distance learning.

IDE shall be responsible for providing expertise in curriculum design and material development for ODL and online provision. IDE shall also provide administrative support for all ODL related systems.

7.2 Quality Assurance of Open and Distance Education

Quality assurance plays an important role in ensuring that distance students are given quality education throughout their study at the University. Quality management involves improving, supporting and developing quality processes that are meant to improve practice. ODL programmes should go through the same rigorous standards required of contact programmes.

To ensure quality monitoring and evaluation, the University shall use quality toolkits developed specifically for distance education systems such as the African Council for Distance Education and the Commonwealth of Learning Quality Assurance toolkits. The areas discussed below shall be considered in the provision of quality ODL.

7.2.1 Academic systems

The academic systems are made up of a curriculum which indicates what should be taught and how. In the provision of ODL courses, distance education providers shall constantly give attention to the needs of students in diverse and remote locations as well as those with learning disabilities.

7.2.2 Student support

Student support services are a range of services that are designed and developed to assist ODL students to meet their learning objectives and to gain the knowledge and skills to be successful in their studies. Student support services shall take into consideration the diverse needs of students as well as their level of study. Student support services shall also include mechanisms designed to bridge the gap by enhancing communication between the student and the lecturers, student and peers, student and study material, student and administrative support and student and the institution.

7.2.3 Research and Development

Research and development is one of the pillars of the academic enterprise. IDE shall conduct and produce reflexive ODL-related research with the aim of improving practice, knowledge generation and informing policy formulation in line with the *University Research Policy*.

7.2.4 Facilities, Infrastructure, and Resources

7.2.4.1 Information and Communication Technology (ICT)

Information and Communication Technology (ICT) plays a vital role in distance education. However, there are many challenges that are to be addressed for smooth functioning of various online services that are to be implemented for distance learners. The ICT infrastructure and application software required for various student learning and support services at various phases of the student learning life cycle must be put in place.

In order for the University to maintain its position as a first stop university in the country and the sub-region and achieve its vision to be provider of world class services in the provision of distance education, the University must urgently implement strategic objectives i.e. to expand and promote the use of ICTs across all campuses and the wider community. This is one way the University can improve its service delivery to students against the current low staffing levels i.e. through introduction of ICT platforms such as E-Learning (Astria Learning), TV and Radio programmes.

ICT infrastructure can be used to support virtual environments such as the Learning Management Systems (LMS) which helps in administration, managing course delivery, encourage interaction through discussion forums and report on learning processes. The use of ICT systems should be tailor made to address students' needs.

7.2.4.2 Library

The library allows students to have access to information both manually and electronically. For a student to have an access to library facilities, he or she, must first of all have registered so that he or she is able to use all facilities provided by this important enabler. Libraries also offer services to distance learning community designed to meet a wide range of informational, instructional and user needs.

7.3 Student Involvement

7.3.1 Staff-Student Consultative Committee for Distance Students

7.3.1.1 Mandate

The Institute of Distance Education shall provide a system of consultations between staff and distance students through the establishment of Staff-Student Consultative Committees (SSCC) for each programme or a group of programmes of study. This shall be done annually.

7.3.1.2 Composition

The Director - IDE shall nominate a chairperson of the programme SSCC. This may be a **Programme Tutor** (PT) for each year of study of a programme to serve on the appropriate SSCC in a given locality.

Each cohort of students, both undergraduate and postgraduate, in a department shall elect a **Student Academic Representative** (SAR) to serve on the appropriate programme SSCC.

Each SSCC shall meet at least once per term. The Director shall ensure that the constitution and the procedures of these committees are acceptable to the staff and the distance students. The minutes of each meeting of the committees shall be forwarded to the Director and shall be served before the Distance Education Board of Studies.

The composition shall be as follows:

- (a) Programme Coordinator (or other person designated by the Director) - Chairperson;
- (b) Programme Tutors (one of whom shall be the secretary);
- (c) At least one undergraduate student representative from each year of study; and
- (d) At least one postgraduate student representative from each year of study.

It is recommended that the SSCC does not exceed more than twenty student members. Where this is the case, IDE should consider creating an additional SSCC, perhaps split by locality.

Distance education programmes should consider holding the SSCC by conference call or using service providers (a timed **e-Learning** forum may also be appropriate).

7.3.1.3 Terms of Reference

The terms of reference for the Staff-Student Consultative Committees shall include the following:

- (a) to comment upon any significant changes to ODL policy which would have a direct consequence for teaching and learning, admissions, and assessment;
- (b) to comment upon physical resources for ODL e.g. resources, library facilities etc.;
- (c) to receive notification of any changes with respect to teaching and learning, admissions, and assessment;
- (d) to discuss follow-up action resulting from previous SSCC meetings, and in particular any matter which was referred to the IDE Board of Studies meeting;
- (e) to receive and comment on the outcome of degree programme and course evaluation surveys and audits and any consequent follow-up actions;

- (f) to receive and consider the IDE's overview of the departmental reports;
- (g) to comment, at least once each session, upon the Tutoring system;
- (h) to comment on feedback to students on their assessed work; and
- (i) to receive and comment on, where possible and as part of the Internal Quality Assurance process, the IDE's Self-Evaluation Report.

7.3.2 Student Assessment of Provision of Distance Education

The University pursues a system of student feedback that makes provision for students to regularly be given an opportunity to give feedback on their experience of individual courses, their experience of the lecturers' lecturing, and their experience of the teaching and learning programmes as a whole. This feedback is firstly utilised in the development of courses and programmes, and for the professional development of lecturers.

The student feedback reports are made available to the individual lecturers, the departmental heads and the Deans. The results of the student feedback can be used by the IDE in the evaluation of the quality of courses, programmes and the provision of ODL. Student feedback is therefore also taken into consideration during the performance appraisal of lecturers and tutors and when decisions are taken on promotion.

8. QUALITY ASSURANCE OF POSTGRADUATE RESEARCH DEGREES

8.1 Research Degree Programmes

8.1.1 Introduction

Research degree programmes are those that lead to the award of doctorates and research master's degrees. The expectation and indicators of sound practice represent policies and procedures that are conducive to an excellent experience for research students and that support the University in maintaining high academic standards for research degrees.

8.1.2 Doctoral Degrees

Doctoral degrees are qualifications rooted in original research, i.e. the creation of new knowledge or originality in the application of knowledge. The doctorate is therefore unique in the array of qualifications offered by the University. Other key reference points for doctoral degrees are the doctoral qualification descriptors included in the Zambia Qualifications Framework (ZQF).

8.1.3 Master's Degrees by Research

Master's degrees by research may take up to two years' full-time study. Students registered on research master's degrees spend the majority of their programme undertaking independent research with supervision and guidance; they may also attend structured courses to learn about research methods in the field.

8.2 Quality Assurance Processes

8.2.1 Guidelines for Postgraduate Research

The University will ensure that current and comprehensive information is provided for postgraduate students in accordance with the Regulations for Postgraduate Studies approved by the University Senate. This shall include information on:

- (a) rules guiding postgraduate research;
- (b) postgraduate seminars;
- (c) standardised supervision processes;
- (d) preparation of dissertations and theses; and
- (e) assesment and progression processes.

8.2.2 Ensuring Quality Supervision

In order to ensure quality in supervision the following shall be adhered to:

- (a) each student shall be assigned one or more supervisors in accordance with the University's postgraduate regulations; and
- (b) regular contact between the supervisor and student shall be monitored using the approved ***Research Supervision Record Form*** signed by both the student and supervisor after every meeting.

8.2.3 Training of Supervisors

The following guidelines shall be used in training of supervisors for postgraduate research:

- (a) the Directorate of Research and Graduate Studies (DRGS) shall regularly organise and coordinate training workshops for the supervisors to update them on new developments;
- (b) all new supervisors shall attend a training course on research methodology and management, University policies and current practices with respect to supervision of postgraduate students; and
- (c) the University shall put in place a *Code of Ethics for Supervisors*. The supervisors and students shall be made aware of this during induction and training.

8.2.4 External Examiners for Postgraduate Research Programmes

One external examiner from within or outside Zambia shall be appointed as a member of the Board of Examiners for a master's and doctorate thesis. The appointment of external examiners shall be in accordance with the approved postgraduate regulations.

8.3 Postgraduate Studies Skills Development

The postgraduate skills development programme shall consist of a regular offering of workshops and events for postgraduate students. It is a central support platform aimed at strengthening postgraduate development at the University.

The aim of these workshops is to assist postgraduate students get acquainted with their research work by providing them with basic skills, information and guidelines to improve their confidence. Reference should be made to Appendix C1.

8.4 Student Assessment of Postgraduate Study

The University shall pursue a system of student feedback that makes provision for postgraduate students to regularly be given an opportunity to give feedback on their experience of individual postgraduate research experience. This feedback shall be utilised in the professional development of research supervisors. A standard questionnaire shall be used for these assessments.

8.5 Assessment of Postgraduate Research

Research degrees shall be awarded in a research environment that provides high academic standards for doing research and learning about research approaches, methods and procedures. This environment shall offer students opportunities and the support they need to achieve successful academic, personal and professional outcomes from their research degrees. Guidelines for assessment of postgraduate research are given in Appendix C2.

9. QUALITY ASSURANCE OF CONTRACT AND GRANT-AIDED RESEARCH

9.1 Background

Contract and grant-aided research is undertaken by staff and is different from postgraduate research undertaken by students. Contract and grant-aided research may also be referred to as *staff research*. Funding for this type of research can come from several sources and may generally be classified as grants, contract research, or donations. Services provided for a fee where the activity does not meet the definition of research is consultancy.

Contract research is research that originates from a specific request by a client (individual, company or organisation), the costs of which are paid for by the client. Contract research is distinguished from formal consultancy and service to industry or the community by the fact that the contract research involves basic and/or applied research.

The University of Zambia Research Policy and Intellectual Property Rights has provide the policy framework for research at the University. The motivation for having the Research Policy and Intellectual Property Rights at the University derives from the following specific factors:

- (a) growth of research programmes;
- (b) need to enhance internally and externally sourced funding;
- (c) need for improved research administrative infrastructure;
- (d) need for research regulatory framework and oversight particularly with respect to ethical requirements;
- (e) need to improve accountability and transparency for fiscal and administrative management of research activities;
- (f) need to accelerate the development of research that ultimately results in improved decision-making for the betterment of the living standards of many Zambians, and
- (g) need for strong infrastructure and mechanisms to support more effective collaboration and partnerships with other universities and institutions within Zambia and abroad.

9.2 Conduct and Approval of Staff Research

The conduct of staff research shall be guided by the University of Zambia Research Policy. The aim of the Research Policy is to provide guidelines that promote and foster the academic and managerial environment conducive for undertaking research in order to enhance the scientific, technological, social, economic and political development.

The documents for approval of contract research should be submitted to the School Research Committee. The following aspects shall be considered in approving the proposals:

- (a) evaluation of the researcher's standing within the discipline;
- (b) research ethics approval;
- (c) appropriateness of research funders;
- (d) quality of management systems for the proposed research;
- (e) extent to which the research develops the human resource capacity; and
- (f) extent to which the research strives for excellence.

9.3 Ethics in Research

All research carried out by University staff will be governed by the local ethical requirements as outlined in the Research Policy. Under this policy, the Research Ethics Committees (RECs) have to review and approve research proposals and protocols dealing with human and animal participants. The RECs shall enforce high ethical standards on research done on humans and animals participants. The three RECs is given below:

- (a) Biomedical Research Ethics Committee;
- (b) Natural and Applied Sciences Research Ethics Committee; and
- (c) Humanities and Social Sciences Research Ethics Committee.

9.4 Assessment of the Staff Research Output

The quality and contributions of staff research shall be evaluated annually in all departments as part of the self-assessment procedures. The Research Audit, Implementation Monitoring Committee (RAIMC) of the Research Board provides the evaluation system with the appropriate instruments which shall be used for the evaluations. RAIMC is tasked to perform specific functions as presented below:

- (a) ensuring consistence in the research activities of the University;
- (b) ensuring adherence to research methodology;
- (c) ensuring correct use of research resources;
- (d) ensuring compliance to good research standards;
- (e) enforcement of quality control;
- (f) ensuring that research progress is constantly reported; and
- (g) ensuring that student supervisors do their work of supervision as per University regulations.

The RAIMC tools for research data capture from the various University Schools, Units, Institutes and Directorates were developed and approved by the Research Board of Senate. These are listed below:

- (a) Form A/C: Ensuring Consistence in the Research Activities and Correct Use of Research Resources at the University of Zambia.
- (b) Form B: Adherence to Research Methodology
- (c) Form D/E: Compliance to Good Research Standards and Enforcement of Quality Control in Research
- (d) Form F: Research Progress Reporting
- (e) Form G: Research Supervision Record Form

The RAIMC Auditors will generally focus on highlighting weak points as revealed by the performance measures scoring outcomes with respect to the RAIMC report recommendations to be made and submitted to the Research Board and consequently to the Research Units. The Research Units will be required to improve on all the identified weak research areas so as to attain the required outstanding high performance standards of research activities, as demanded by the University of Zambia Research Policy and Intellectual Property Rights.

Bibliometric data and patent analysis are integral parts of the research evaluation system.

9.5 The Intellectual Property Rights (IPR)

The University of Zambia through the Intellectual Property Management Unit shall manage all the Intellectual Property Rights of the University in liaison with the Intellectual Property Advisory Committee.

10. QUALITY ASSURANCE OF LIBRARY SERVICES

10.1 University Library Services

The University of Zambia Library system is the largest academic library system in Zambia and was established along with the founding of the University.

The Library functions to support the teaching, research and community service efforts of the University and to serving the community through its collections, preservation efforts and access to information in all of its various formats. The library provides required services to support the core business of the university through availing its services to the user community. In order to access current and timely information the library has, apart from purchasing books and other print materials, also introduced electronic resources through which users can access thousands of scholarly databases. The services offered by the Library include:

10.1.1 Book Lending

Bona fide students and staff of the University and retirees are eligible for borrowing privileges upon presentation of a valid University of Zambia identification card.

10.1.2 Internet Services

Library computers are available to users during working hours. Visitors may use library computers to access most of the library's online resources, indexes and databases and electronic books while using library computer workstations.

10.1.3 Bindery Services

The Library has a team of fully trained professionals, who use book binder's skills and craftsmanship to bind materials. The service is available during working hours. The unit provides a wide range of excellent binding services such as: repair of damaged books, binding research projects and theses.

10.1.4 Consultancy

The Library has a good team of experts in the field of library and information services. The consultants have vast years of experience in the library and information sector, are easy to work with and pride themselves on delivering quality consultancy projects within the time frames.

10.1.5 Research and Training

The Library is committed to supporting lecturers and students in the research process. It provides instruction to library users on how to effectively use specific information sources both printed and electronic. It also provides research assistance and guidance by offering advice regarding how to conduct research and suggesting sources of information.

10.1.6 Institutional Repository

This service, being maintained by the Library, increases the visibility of the University's research; helps reach a worldwide audience through exposure to search engines such as Google and is the process for digitally preserving the University's intellectual output.

10.2 Assessment of the Quality of Library Services

Assessment of library services is a process undertaken to learn about the needs of users and to evaluate how well the library supports these needs, in order to improve library facilities, services and resources.

Assessment of the quality of library services is essential as the Library faces many challenges including rapid changes in technology, escalating costs of printed materials, reduced funding, and the emergence of the internet.

The University of Zambia Library system through both its public and academic roles, is required to demonstrate that it provides efficient and effective services to its users.

The Library also needs to know what types of services, systems, and resources people access and use and how often. They need to be prepared to determine how, where, and why people get their information. Knowing the answers to these questions will provide the Library with the knowledge and confidence to develop user-centered library services and systems.

The Library further needs to determine, on a regular basis, that it is meeting its mission as stated in its mission statement and to demonstrate the impact of its services. Some of the areas in which the Library has an impact include:

- (a) provision of information needs for researchers, students, academic staff and general public;
- (b) provision of central classification of documents, books, periodicals, journals and E-sources;
- (c) service as a documentation centre and repository;
- (d) establishment and maintenance of catalogues of library materials;
- (e) ICT services to students and academic staff;
- (f) establishment and promotion of cooperation with similar centers at national and international levels;
- (g) provision of technical services such as book binding, printing, editorial and photographic services;
- (h) regular renovation, maintenance and modernising of the library; and
- (i) decentralising the library functions to departments and provinces.

Guidelines for assessment of library services are given in *Appendix D1*.

11. QUALITY ASSURANCE OF CONSULTANCY SERVICES

11.1 Policy Document

The conduct of consultancy at the University shall be governed by the University of Zambia Consultancy Policy. The aim of the policy is to provide guidelines that promote and foster the environment conducive for undertaking consultancy and community services in order to solve problems of the local industry, avail industry with specialised expertise and facilities for design, adaptation and development of new technologies and processes.

11.2 UNZA Gateway

The University established the Business Development Unit (BDU) as a support unit under the Vice-Chancellor's Office to manage and develop new businesses and consultancy work. The BDU consists of a Director, Business Development and a Manager.

The business name for the BDU is “*UNZA Gateway*”. UNZA Gateway developed a business plan that is based on the premise that all business and contractual matters regarding consultancy, contract research and other business activities of the University will be managed by the BDU.

UNZA Gateway shall be the primary centre of the University's consultancy function and shall fulfill a supporting, coordinating, facilitating, capacity-building, empowering and quality assurance role. UNZA Gateway itself may not implement projects, but will initiate partnerships with industry and communities and facilitate and support processes that will strengthen contract research, consultancy and community interaction.

The objective of centralising the coordination and management of consultancy, contract research and international projects is to create more transparency and synergy in the University's business relationships with external parties as well as to support the implementation of the Research Policy and the Consultancy Policy. Therefore, UNZA Gateway shall:

- (a) provide a secretariat which will liaise with various schools, directorates, institutes and departments to assess institutional and schools' capacity to undertake consultancy;
- (b) promote the institutional capacity of staff to undertake various consultancy work;
- (c) promote consultancy practice throughout the University;
- (d) develop a database of staff and associate consultants expertise;
- (e) identify the physical resources such as laboratories and equipment that can be utilised for consultancy work;
- (f) assist various schools and staff to identify and bid for various consultancy opportunities within Zambia and elsewhere;
- (g) pay the upfront fees for tender documents, bid bonds insurance and any other costs necessary for processing consultancies;
- (h) develop the staff capacity to carry out consultancies through seminars and workshops;
- (i) develop guidelines and procedures for efficient and effective execution of consultancy work;
- (j) evaluate and monitor all consultancies being undertaken under the auspices of the University;
- (k) scout for consultancies announced and advertised in various media and provide an online searchable database of open and available consultancies to staff;
- (l) create a database of consultancy awarding institutions such as the Government , World Bank and donors; and

- (m) develop a web based information sharing system on consultancies to keep the staff fully informed.

11.2.1 Management of Consultancy Service Projects

Each consultancy service project shall have a project management structure. A team member must be identified who will act as the Principal Consultant. The precise functions of the Principal Consultant may vary and be influenced by the demands of individual projects. However, in general, the functions of the Principal Consultant are as follows:

- (a) project design, intellectual leadership and development of project tools;
- (b) day-to-day management, coordination of sub-consultants and client engagement;
- (c) client liaison at key meetings and presentations to clients and other stakeholders;
- (d) management and coordination of team members' activities;
- (e) monitoring progress and performance;
- (f) resolving problems;
- (g) coordinating the production of project outputs (reports, presentations, products, etc.); and
- (h) quality assurance of outputs.

The names, contact details and precise roles of the project members shall be identified and agreed in the project proposal.

11.3 Quality of Consultancy Services

11.3.1 Approval of Consultancy Services

11.3.1.1 General Guidelines

The University shall promote a culture in which high standards of personal conduct and integrity are manifested in the provision of consulting services. The University shall require that all those engaged in consulting services adhere to good and professional practices. Guidelines for reviewers of quality assurance and project approval shall take into account the following aspects:

11.3.1.2 Knowledge and Intellectual Abilities

- (a) Knowledge base
- (b) Cognitive abilities
- (c) Creativity
- (d) Registration with statutory professional bodies

11.3.1.3 Personal Attributes and Effectiveness

- (a) Honesty
- (b) Ethics
- (c) Openness
- (d) Accountability
- (e) Responsibility
- (f) Diligence
- (g) Commitment
- (h) Self-management
- (i) Contribution to professional and career development

11.3.1.4 Governance and Organization

- (a) Professional conduct
- (b) Consultancy management

- (c) Management of financial resources

11.3.1.5 Engagement, Influence and Impact

- (a) Working with other professionals
- (b) Communication and dissemination
- (c) Impact of the outcomes

11.3.1.6 Ethical Approval

As outlined in the Consultancy Policy of the University, if there is cause to believe that a consultancy project requires special ethical consideration it should be presented to the relevant School Ethics Committee for approval before work begins. The client shall need to agree to the University's scrutiny of their activity with respect to the proposed consultancy for the purpose of deciding whether or not to engage in the contract.

11.3.2 Quality Control

The scope of services to be provided, including methods to be followed and outputs to be generated, should be discussed and agreed with the client at the commissioning and project inception stages. Each project will begin with an inception phase, during which the Principal Consultant will explore client requirements and how these will be met in greater detail, scoping out study challenges and responses. This inception phase will culminate in the production of a project inception report which, together with a project brief, contract and proposal or tender documents, will provide the framework for the delivery of the consultancy. It will be the agreed reference document for methodology, deliverables and timescales for the commission.

The project inception report will identify the:

- (a) agreed project objectives;
- (b) project timetable;
- (c) a statement of methodology or approach;
- (d) outputs to be delivered;
- (e) agreed budget and payment schedule;
- (f) initial findings or recommendations resulting from scoping tasks; and
- (g) project risks and risk management measures to be put in place.

Once agreed, the project inception report will be signed off by the Principal Consultant and the client's representative.

11.3.3 Contract Monitoring

The Principal Consultant will be responsible for the ongoing monitoring of the contract with reference to the project inception report and project contract document. The Principal Consultant will:

- (a) assess progress against the objectives, deliverables and timescale set out in the project inception report;
- (b) provide ongoing liaison with client representatives via email and telephone as required (responding to requests for discussion and information promptly);
- (c) be responsible for the day-to-day management and co-ordination of sub-consultants, just as he or she is responsible for the day-to-day management and co-ordination of University staff within the project team; and

- (d) receive concerns about the performance or conduct of sub-consultants for resolution.

11.3.4 Performance Monitoring and Reporting

At intervals agreed in the project inception report, and at least once every two weeks, the Principal Consultant will provide the client with a formal update on progress. The proofing and quality assurance of all outputs will be undertaken in-house by the Project Team (and if required, by senior staff outside of the project team) prior to sign-off and submission to the client. Final outputs (reports, presentations, products, etc.) will be agreed with the client representative or client group.

11.3.5 Complaints Procedure

Complaints should be addressed to the Principal Consultant, who will seek to address and resolve any problems together with the Project Team. Where no resolution of issues is forthcoming within an agreed or acceptable time, complaints should then be addressed to the Dean of the appropriate school. If issues are still not resolved to the satisfaction of the client the issue will be subjected to the legal provisions in the contract document.

11.3.6 Post-Commission Review

The University is committed to continuous improvement and to learning lessons from each commission its staff undertake. At the end of each commission a member of the School Consultancy Committee will undertake a questionnaire with the client representative to assess performance and gather project feedback. Questionnaire findings shall be disseminated to the consultant team for discussion, review and action to ensure improvement where it is necessary or beneficial. The outcome of post-commission review informs the identification of staff training and development priorities.

11.3.7 Integration with Other Responsibilities and Commissions

The School or Unit Consultancy Committee shall monitor the workloads of all staff engaged in the delivery of consultancy services closely. The University recognises the importance of ensuring that staff delivering these services are able to provide the highest standards of service. The following shall be considered in approving consultancy commissions:

- (a) in putting forward a team for any commission the University takes into account known future commitments to ensure that no member of staff is over-committed and that sufficient flexibility is retained;
- (b) before agreeing or tendering for a project, the Principal Consultant will make an assessment of the time required to deliver high quality outputs that meet the needs of the client. Where possible, they will seek to confirm this understanding with the client;
- (c) the Principal Consultant will also make an assessment of the other demands on their time and that of other members of the study team. These other demands may include existing consultancy and contract research commitments, teaching, and research; and
- (d) the capacity of all of the University's staff is monitored and assessed through regular discussions with line managers and heads of department. A longer term assessment of capacity and priorities is provided through the Annual Academic Review process through which staff and line managers identify, and then monitor, commitments.

11.3.8 Quality Assurance Management Framework Review

This Quality Assurance Framework for Consultancy and Community Services shall be reviewed every 12 months in order to ensure that it continues to be fit for purpose and evolves to meet client expectations. This annual review shall be based on:

- (a) workshops with staff engaged in the management and delivery of consultancy and contract research services;
- (b) analysis of project performance metrics;
- (c) the results of client satisfaction surveys;

11.4 Quality Assurance of Continuous Professional Development Courses

11.4.1 Background

A Continuous Professional Development (CPD) short course is a presentation or skills development programme that requires less than 80 hours of teaching contact or does not extend over a period of more than 12 consecutive weeks. All courses that exceed the 'short' course limits will be required to have quality assurance procedures (including approval, modification, monitoring and review) aligned with procedures for award-bearing courses or alternatively a customised set of procedures agreed by Senate.

Reference should be made to Appendix E1 for more details on quality assurance procedures for non-credit bearing short courses.

11.4.2 Approval of Short Courses

Short courses presented under the name of the University shall be approved by the Deans on recommendation of the Heads of Departments. The responsibility for the quality assurance of short courses shall reside in schools, which shall act on behalf of the Senate. The QCC in schools shall assess the processes for the academic quality assurance of short courses and recommend those processes to the Dean.

Short courses presented by support service units, such as the Centre for Information and Communication Technologies, shall be approved by the Director or Head of the unit on behalf the Senate. During the approval process, and at his or her own discretion, the head may consult experts in an appropriate academic department. The heads therefore accept the same responsibilities as those of the Deans of schools regarding short courses presented by support service units.

11.4.3 Certification and Verification

Participants who successfully complete the requirements of a short course must be presented with either a certificate of competence or certificate of attendance which shall bear the University logo and be signed by the Dean or Head of a unit in which the course was offered. A register of all participants of the course and their overall performance must be kept by the unit for future reference and verification.

12. QUALITY ASSURANCE OF COMMUNITY SERVICES

12.1 Community Service

One of the core functions of the University of Zambia is Community Service. The institutional framework for community service should reflect the trend towards a more collaborative, reciprocal relationship between the University and the community. Community service activities include:

- (a) serving on boards of various institutions and organisations external to the University;
- (b) providing advisory services in specialised sectors of the eco-economy;
- (c) identifying and providing non-governmental organisations (NGOs) and community-based organisations (CBOs) with pro bono services on specific issues;
- (d) promoting outreach activities and extension services;
- (e) promotion of experiential learning;
- (f) undertaking community-based research and assisting in solving problems in the local community;
- (g) promoting and supporting University-Community partnership projects;
- (h) supporting student-based volunteer activities in surrounding communities;
- (i) assisting in the preservation and development of local cultural history; and
- (j) promoting and managing University open days.

12.2 Conduct of Community Service Activities

Whereas, community service is identified in the strategic plan of the University as a core function, there is no specific institutional office for community service activities. There is also no dedicated budget allocation for community service work.

The University shall develop an institutional framework and a *Community Services Policy* to manage and guide the conduct of community services undertaken by its staff and students. The objective shall be to provide the management structures and operational guidelines that promote and foster the environment conducive for undertaking community services. This will be aimed at enhancing the image of the University and its standing in society as a corporate citizen and an active member of the local community.

The *Community Services Policy* shall include the procedure for approval of community service initiatives, projects and related activities.

12.3 Benefits of Community Service Activities

It is anticipated that the University and the local community would mutually derive substantial benefits and appreciation of the Universities' involvement in the community. There is sufficient scope to have mutual learning experiences by University staff, students and the community members alike.

Community services, if well managed and coordinated, have the potential of enhancing the University's corporate image and brand and its standing in society. However, there are challenges of undertaking such work on a sustainable basis, particularly when there is no central coordination or budget allocation.

12.4 Assessment of the Quality of Community Services

The quality and contributions of staff in community services shall be evaluated annually in all departments as part of the self-assessment procedures. Staff must demonstrate the highest standards in undertaking community services, which shall include but not be limited to, their knowledge of the discipline, creativity, and integrity in dealing with community related issues.

The assesment that will apply to community services shall be conducted through:

- a. Self-assessment by all individual units
- b. Assesment by the Quality Assurance Committee of Senate
- c. Assessment by clients and partners in the community
- d. Assessment by peers or like-minded institutions

13. UNIVERSITY AWARDS FOR EXCELLENCE

13.1 Award for Excellence in Teaching

The *Award for Excellence in Teaching* shall be used to recognise full-time regular academic members staff of the University who have demonstrated exceptional accomplishments in teaching. A recipient is chosen from the each of the schools annually. The nominations for the awards shall be made at School level and all lecturers teaching in both undergraduate and postgraduate programmes shall be eligible for the award. Nominations for the awards shall be solicited from students, academic staff and administrators. Nominees are submitted by Heads of Department to the Dean of the School in which the lecturer is appointed. Each Dean may submit up to two nominees from his or her School. A special committee, the Teaching Excellence Awards Committee, made up of academic staff shall convene at the end of each academic year to review the nominees submitted by each school and make final recommendations for the awards. In making its selection, the committee shall recognise the diversity of the University and the diverse forms that teaching may take in the different schools of the University.

The *Teaching Excellence Award Committee* shall comprise the following members:

- (a) Deputy Vice Chancellor (non-voting member and Chairperson);
- (b) One senior academic from each of the schools involved in teaching who are on full-time employment.
- (c) Director, Quality Assurance (ex-Officio, non-voting member and Secretary)

The guidelines for award for excellence in teaching shall be prepared and used in the selection of awardees.

13.2 Award for Excellence in Scholarly Research

One of the objectives of the University Research Policy is to recognise and reward outstanding performance in research. The University shall promote a culture in which high standards of personal conduct and integrity are manifested in research activities for all approved research projects. The University shall:

- (a) Develop objective criteria for rewarding outstanding research work by:
 - (i) producing a scoring template for ranking staff research to determine the standing of research;
 - (ii) nominating annually outstanding researchers for awards honouring, based on the developed ranking scheme or score card.
- (b) Identify appropriate rewards for outstanding researchers by:
 - (i) determining the method of rewarding outstanding research;
 - (ii) sourcing funds for facilitating rewards for outstanding research;
 - (iii) establishing an annual research conference for the whole University where selected outstanding researchers will be honoured; and
 - (iv) organising an annual graduate international conference for dissemination of research information through paper publications.

A special committee, the Research Awards Committee, made up of academic and research staff shall convene at the end of each academic year to review the nominees submitted and make final recommendations for the awards. In making its selection, the committee shall recognise the diversity of the University and the diverse forms that research may take in the different units of the University.

The *Research Awards Committee* shall comprise the following members:

- (a) Deputy Vice Chancellor (non-voting member and Chairperson);
- (b) One senior academic from each of the schools and research unit involved in research who are on full-time employment.
- (c) Director, Quality Assurance (ex-Officio, non-voting member and Secretary)

13.3 Award for Excellence in Support Services

Research and teaching excellence at the University is supported by the contributions of many non-academic members of the university community who enable and enhance the learning experiences of the students and the teaching experiences of academic staff. Although there will be diverse ways that non-academic staff support outstanding contributions to learning and teaching, nominations for the University of Zambia Award for Excellence in Support Services will be assessed based on evidence of the nominee's contributions in one or more areas that may include, but are not limited to:

- (a) using his/her role in the university to make outstanding contributions to successful teaching, learning experiences or research work;
- (b) making an outstanding contribution to the University's education mission by supporting student learning in laboratories, libraries, learning support, counselling and advising and other contexts where meaningful learning experiences take place;
- (c) generating innovative solutions that address the challenges experienced by learners or teachers in ways that result in improvements to administrative processes, technical support, access to learning materials and experiences, more effective use of university resources or student success; and
- (d) demonstrating commitment to teaching, learning and research by contributing beyond the normal requirements of his/her job responsibilities.

The *Support Services Awards Committee* shall comprise the following members:

- (d) Deputy Vice Chancellor (non-voting member and Chairperson);
- (e) Deans and Directors of academic units;
- (f) Directors and heads of non-academic support services units on full-time employment.
- (g) Director, Quality Assurance (ex-Officio, non-voting member and Secretary)

The guidelines for award for excellence in support services shall be prepared and used in the selection of awardees.

**APPENDIX A: ASSESSMENT OF GOVERNANCE AND
MANAGEMENT**

A1. Guidelines for Self-Assessment of the University Council

A1.1 Background

University governance involves decision-making at the top of institutions. It includes exercising authority, stewardship, leadership, direction and control. It also involves being being accountable. Among the processes by which institutions are directed, controlled and held to account is assessment of: the role and actions of Councils and Council members, strategic leadership, control systems, risk management and compliance with legal and other responsibilities. Appropriate governance structures and practices can provide assurance to the Vice-Chancellor and the senior management of the University on internal management and control, and ensure consultation and constructive feedback on activities. It should be noted that the self-assessment process is not one of condemnation and blame but done in a spirit of trust and mutual confidence among the participants as part of a continuous improvement process.

A1.2 Objectives

The objectives of the self-assessment of the University Council are to:

- (a) ensure the application of principles of good governance in the University;
- (b) ensure that Council members are aware of their responsibilities;
- (c) ensure that Council members ‘add value’ to the University and where their performance needs improvement, this can be addressed; and
- (d) reassure the University community and other stakeholders that Council is giving due consideration to its governance responsibilities including maintaining a reputation for transparency and accountability.

A1.3 Identification of Best Practices in Council Functions

The best practices in University Council performance are related, but not restricted to:

- (a) Leadership
- (b) Structures and relationships
- (c) Transparency and accountability
- (d) Compliance
- (e) Performance
- (f) Meetings and communication

A1.4 Data Collection

The Executive Committee of Council shall evaluate the practices and operations of the University Council regarding its conduct of business as the governing board of the University. The organisation of the audit shall closely follow the procedure outlined in Chapter 6 of the Quality Assurance Framework. The self-assessment of the Council shall be closely linked to its functions as specified in Part V of the Higher Education Act, 2013.

Every three years, Council members shall be requested to record the answers to the questions using the standard five-point scale adopted for University assessments. The answers to the questions will be collated and the results discussed at a scheduled Council meeting.

No less than one month in advance of this meeting, the Chair of the Executive Committee of Council will circulate a questionnaire to all members of the Council asking them to assess the effectiveness of the University Council in advancing the mission of the University and achieving the goals of the University.

Members of the Council will return the completed assessments to the Chair of the Executive Committee of Council at least one week prior to the scheduled meeting.

The Chair of the Executive Committee of Council will tabulate the responses and prepare a summary and recommendations for discussion by the full University Council.

A1.5 Follow-up Activities

The results of the audit, including recommendations for changes to the functions of the University Council will be presented to the same Council for consideration, approval and implementation.

The form for self-assessment of the University Council is given below.



University of Zambia

SELF ASSESSMENT OF THE UNIVERSITY COUNCIL

BACKGROUND

This survey is used to assess the performance of the University of Zambia Council by its members. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Leadership					
1.1	The Council provides leadership and vision					
1.2	Council members are clear about their roles and responsibilities					
1.3	Council members are clear about the distinction between executive and management roles					
1.4	The Council adds value to the annual review of the mission, vision and strategic objectives submitted by the university administration					
1.5	The duties and responsibilities of the Council and executive are clearly stated					
1.6	The Council has the necessary information to undertake effective decision making and actions					
1.7	Issues that come before the Council are framed in a way that enables members to see the connections between the matter at hand and the University's overall strategy					
1.8	Ethical and governance standards are clearly stated and complied with					
1.9	The skills and experience of Council members is sufficient					
1.10	The Council does an adequate job of evaluating the performance of the Principal Officers against predetermined criteria					
1.11	Selection and appointment procedures in place for all Members of the Council are adequate					
1.12	Serving on the Council is a rewarding and satisfying experience					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
2	Structures and relationships					
2.1	Council is the right size					
2.2	The committee structure is satisfactory					
2.3	Council Committees add value to the University					
2.4	Committee communication with the Council is satisfactory					
2.5	Members ask appropriate questions of the Committees					
2.6	The Council is sufficiently independent of the University management					
2.7	Council members ask appropriate questions of management					
2.8	Major stakeholders evaluation of the performance of the Council is undertaken periodically					
2.9	Individual members of Council maintain channels of communication with specific key community leaders					
2.10	Council members take decisions for the good of the whole University and not individual constituencies					
2.11	There are adequate opportunities for informal discussion among Council members					
2.12	Differences of opinion in council decisions are more often settled by vote than by more discussion					
2.13	The Council operates as an effective team					
2.14	There is open and frank discussion					
2.15	I have attended Council meetings where explicit attention was given to the concerns of the local community					
2.16	The Council collects information on the morale of staff					
2.17	Orientation programmes for new Council members specifically include a segment about the university's history and tradition					
2.18	The Council fosters an appropriate corporate culture					
2.19	Other Council members have important information that I lack on key issues					
2.20	The Council communicates its decisions to all those who are affected by them adequately					
2.21	I am able to speak my mind on key issues without fear that I will be ostracised by some members of the Council					
2.22	There is at least as much dialogue among council members as there is between members and administration					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
3	Transparency and accountability					
3.1	The Council acts with care and diligence					
3.2	The Council adequately monitors financial reports and understands whether the University is performing as projected					
3.3	The Council has an adequate code of conduct					
3.4	The Council identifies and addresses risks faced by the University					
3.5	The Council adequately documents the current governance practices					
3.6	The Council explicitly examines the possible pitfalls of any important decision it may take					
3.7	Members disclose personal interests and potential and actual conflicts of interest					
3.8	The Council adequately informs members of activities					
3.9	Systems are in place for asset management, ensuring efficiency and minimising costs					
3.10	Adequate procedures are in place for Council's approval of remuneration of the Principal Officers					
3.11	The Council allocate organisational funds for the purpose of its development					
3.12	Recommendations from the administration are usually accepted with little questioning in Council meetings					
3.13	Members obtain independent advice when required					
4	Compliance					
4.1	The financial reports meet International Accounting Standards					
4.2	Procedures are in place to ensure compliance with legal and other regulations					
4.3	Council activities are transparent and open					
4.4	Financial controls are adequate for effective operation of the organisation					
4.5	Adequate controls cover fraud, risk management and contract performance					
4.6	There is a Whistleblowing procedure for reporting breaches of policy, rules and governance failures					
4.7	The council monitors compliance with its policies					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
5	Performance					
5.1	The vision, mission and priorities of the University are clearly articulated and understood by Members of Council					
5.2	Values are discussed explicitly at Council meetings					
5.3	The Council is decisive, action oriented and gets things done					
5.4	Council and Committee meetings are productive					
5.5	Council meetings tend to focus more on current concerns than on preparing for the future					
5.6	Members stay abreast of issues and trends and bring that information to the Council					
5.7	The Council's objectives for the past 12 months were achieved					
5.8	The Council often discusses where the university should be headed in 5 or more years into the future					
5.9	I have participated in Council discussions about our performance					
5.10	As a Council Member, I receive adequate feedback on my performance					
5.11	Council evaluates the performance of the Vice-Chancellor and other Principal Officers					
5.12	Council goals, expectations are honestly communicated to the University Management					
5.13	The Council benchmarks its performance against other institutions					
5.14	The Council regularly evaluates its own performance					
5.15	The Council meets high ethical standards					
6	Meetings and communication	1	2	3	4	5
6.1	Council members receive timely agenda and minutes					
6.2	Meetings are productive					
6.3	There are sufficient meetings					
6.4	Council meetings are conducted in a way that ensures open communication, meaningful participation, and timely resolution of issues					
6.5	Council members act as a team					
6.6	Council members respect the confidentiality of the Council discussions					
6.7	Council members prepare well for meetings					
6.8	I find it easy to identify the key issues that the Council faces					

Adapted from: Armstrong, A. (2007) *Benchmarking University Council Performance*, Center for International Corporate Governance Research, Victoria University Melbourne, Australia.

A2. Guidelines for Self-Assessment of the University Senate

A2.1 Background

The Quality Assurance Committee shall evaluate the practices and operations of the University Senate regarding its conduct of business as the principal academic body of the University. The organisation of the audit shall closely follow the procedure outlined in Section 4.5. The assessment of the University Senate shall be closely linked to its functions as specified in Section 36 of the Higher Education Act, 2013.

A2.2 Objectives

The objectives of the self-assessment of Senate are to determine:

- (a) the extent to which the Senate functions as an independent academic policy-making body of the University;
- (b) the factors that adversely affect the Senate as an organ of institutional governance;
- (c) the effectiveness of the processes within the remit of Senate;
- (d) the extent to which Senate supports and provides leadership in programme development and accreditation; and
- (e) the degree to which Senate carries out academic audits on a regular basis.

A2.3 Identification of Best Practices in Senate Functions

The best practices in Senate functions are related, but not restricted to:

- (a) autonomy;
- (b) openness and inclusiveness;
- (c) academic functions;
- (d) operations;
- (e) conduct of meetings; and
- (f) periodic reviews and reporting.

The criteria for assessment of Senate functions include the aspects of best practices listed above.

A2.4 Data Collection

The audit the practices and operations of the Senate shall be related to how it conducts its business as the principal academic body of the University. The data should be collected using approved instruments from the members of Senate. This audit shall to be conducted on a three year basis.

A2.5 Follow-up Activities

The results of the audit, including recommendations for changes to the structure and/or functions of the Senate will be presented to the same Senate for consideration. Recommendations for changes to the structure and/or functions of the Senate will be referred to the University Council for approval.

A2.6 Assessment of Senate Forms

The form for assessment of Senate functions is given below.



University of Zambia
SELF ASSESSMENT OF THE UNIVERSITY SENATE

BACKGROUND

This survey is used to assess the performance of the University of Zambia Senate by its members. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Autonomy					
1.1	Senate establishes academic policies independently					
1.1	Senate establishes academic standards independently					
1.2	Academic policies are well documented					
1.2	Academic quality standards are well documented					
1.3	Senate considers on regular basis new academic policies and quality standards					
1.4	Senate considers on regular basis amendments of academic policies and quality standards					
2	Openness and Inclusiveness					
2.1	Senate membership and attendance embodies equity					
2.2	Senate membership and attendance embodies diversity					
2.3	Senate membership and attendance embodies inclusiveness of the University community					
	Senate membership and attendance embodies inclusion of major stakeholders external to the University					
	Senate considers programmes for improving equity, diversity, and inclusiveness					
	Senate, via its committees, members and officers, consults widely before decisions are made or actions taken on matters of University-wide concern					
2.4	Senate makes a serious attempt to reach consensus on issues or to set up a mechanism for resolving differences if a consensus cannot be reached					

ITEM	DESCRIPTION	SCORE				
3	Academic Functions of the University	1	2	3	4	5
3.1	Academic quality assurance procedures are updated regularly					
3.3	Senate regularly considers emerging issues in the higher education sector and their potential implications for the University					
4	Operations	1	2	3	4	5
4.1	Approving and accrediting courses, programmes and academic units					
4.2	Consideration of the quality and development of research					
4.3	Preparation of Senate's annual workplan					
4.4	Communication of Senate priorities, practices and resolutions					
4.5	Handling of students grievances and disputes					
4.6	Regulation and determination of the requirements for the admission of students					
4.7	Regulation of all examinations and the standard of proficiency to be attained in such examinations					
4.8	Appointment of external examiners					
4.9	Award of degrees and distinctions of the University					
4.1	Award of scholarships and prizes administered by the University					
4.11	Constituting of professorial chairs, readerships and other academic offices					
4.12	Conferment of honorary degrees					
4.13	Establishment of new academic departments, schools, institutes, bureaux or similar bodies					
4.14	Making regular reports to the Council regarding the performance of Senate functions					
5	Conduct of Senate Meetings	1	2	3	4	5
5.1	Procedures for Senate meetings closely follow the Standing Orders					
5.2	Senate members attend all meetings					
5.3	Confidentiality with regard to those matters noted as confidential is upheld					
5.4	Timely conduct of business during meetings (start and finish times)					
5.5	Members receive the Senate papers in good time before meetings					
5.6	Members read the Senate papers with care before meetings					
5.7	Members participate and contribute actively at meetings					
6	Periodic Reviews and Reporting	1	2	3	4	5
6.1	Senate and its committees conduct self-assessment and reviews every three years					
6.2	Senate reports effectively its decisions and resolutions in an efficient manner to the University community and all other stakeholders					

A3. Guidelines for Self-Assessment of Central Administration

A3.1 Background

The day-to-day management of the University is provided by Central Administration. The Quality Assurance Committee shall evaluate the functions of Central Administration using the procedure outlined in Section 4.5. The evaluation criteria shall mainly focus on the extent to which Central Administration has effectively and efficiently met the objectives of the prevailing Strategic Plan. The template for assessment of Central Administration functions is given below.

A3.2 Objectives

The objectives of the assessment of Central Administration are to:

- (a) to provide an occasion for Central Administration to articulate the University's vision on its role and its mission in society and to check that the vision and mission statements are publicly understood;
- (b) to provide an occasion for Central Administration officers to evaluate how various stakeholders understand and appreciate the roles, functions, procedures, and activities of their offices;
- (c) to facilitate communication between Central Administration officers and the academic staff, and to make it possible for the academic staff to participate actively in the governance of the University;
- (d) to improve the capacity of Central Administrative offices and officers to support and enhance the teaching, research, and community service functions of the University;
- (e) to provide a systematic evaluation of these offices aimed at making recommendations for improvements in administrative structure and performance; and
- (f) to assess the performance of Central Administration with respect to the Strategic Plan and other policies formulated in line with the mission statement.

A3.3 Identification of Best Practices in Central Administration Functions

The best practices in Central Administration functions are related, but not restricted to:

- (a) governance;
- (b) strategic planning and implementation;
- (c) responding to needs of key stakeholders
- (d) staffing;
- (e) provision of services;
- (f) budgeting;
- (g) academic excellence;
- (h) quality assurance;
- (i) financial and administrative management;
- (j) investment;
- (k) human resource management;
- (l) infrastructure development and maintenance; and
- (m) debt management.

A3.4 Data Collection

The Senate Quality Assurance Committee shall audit the practices and operations of Central Administration in conducting its business. The data should be collected using structured questionnaires from identified stakeholders every three years.

A3.5 Follow-up Activities and Strategies for Improvement

The results of the audit, including recommendations for changes to the structure and/or functions of Central Administration aimed at making improvements will be referred to the University Council for approval. Strategies for improvement must be formulated by considering the following:

- (a) What areas of performance are most in need of improvement?
- (b) How will the improvements in performance be accomplished?
- (c) How long will it take to make improvements in performance?
- (d) How much will it cost to make improvements in performance?



University of Zambia

SELF ASSESSMENT OF UNIVERSITY CENTRAL ADMINISTRATION

INTRODUCTION

This survey is used to assess the performance of the University Central Administration function by Management staff. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
1	Governance	1	2	3	4	5
1.1	The governance structure of the university is clear and adequate					
1.2	Central Administration exhibits sound governance, competent and accountable management					
1.3	Central Administration ensures that the University has a clear management structure in which the decision-making processes, competencies and responsibilities have been clearly defined					
1.4	There are transparent and coherent quality assurance processes for the functions of Central Administration offices					
1.5	There are clear, open and explicit performance indicators for Central Administration offices					
2	Strategic planning and implementation	1	2	3	4	5
2.1	The strategic plan has been adequately translated in implementation plans					
2.2	The University has effectively and efficiently met the objectives of the strategic plan					
2.3	The aims and goals of Central Administration offices are clearly established and understood					
2.4	Priorities are given to the principal goals of Central Administration offices					
2.5	The goals of Central Administration offices are compatible with the role of the University and its mission statement					
2.6	The goals of Central Administration offices are coordinated with those of the Senate and Council of the University					
2.7	The goals of Central Administration offices are coordinated with those of other University offices and units					

ITEM	DESCRIPTION	SCORE				
3	Responding to needs of key stakeholders	1	2	3	4	5
3.1	Central Administration is clear about the relevant demands and needs of the key stakeholders					
3.2	Central Administration officers interact adequately with non-academic and support staff					
3.3	The University responds adequately to the requirements of the Higher Education Authority (HEA)					
3.4	Central Administration officers interact adequately with academic staff					
3.5	Central Administration officers interact adequately with students					
3.6	Central Administration officers interact adequately with external stakeholders					
3.7	Central Administration officers maintain effective communications, cooperation, and coordination with stakeholders					
4	Staffing	1	2	3	4	5
4.1	Central Administration officers are recruited in transparent manner					
4.2	Present staff is adequate to provide the services of the Central Administration offices					
4.3	Future staffing plans are clearly defined					
4.4	Staff development programme for Central Administration officers is adequate					
4.5	Performance of Central Administration officers is adequately evaluated					
5	Provision of services	1	2	3	4	5
5.1	Services provided by the Central Administration offices adequately meet the needs of the staff, students, the general public					
5.2	Central Administration officers adequately supervise the subordinate administrative units					
5.3	The effectiveness of the Central Administration offices are determined and evaluated adequately					
6	Budgeting	1	2	3	4	5
6.1	The budget for the Central Administration is adequate					
6.2	Priorities that govern the allocation of budget resources to Central Administration are adequate					
6.3	The proportion of Central Administration budget allocated for activities directly related to teaching and learning are adequate					
6.4	The proportion of Central Administration budget allocated for activities directly related to research are adequate					
6.5	The proportion of Central Administration budget allocated for activities directly related to community services are adequate					
6.6	Central Administration effectively evaluates its budget success					
6.7	Administrative costs are within reasonable limits (not too high/too low)					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
7	Academic excellence					
7.1	Developing, disseminating and implementing a human resource development training plan in finance and management functions					
7.2	Operationalising the Research Policy for strengthening the capacity to undertake and coordinate quality research					
7.3	Establishing a central consultancy unit and improving internal and external coordination of consultancy					
7.4	Strengthening the human and financial capacity to undertake quality consultancy					
7.5	Improving research capacity in undergraduate/postgraduate programmes					
7.6	Developing a course credit system in all the programmes					
7.7	Establishing and operationalising an International Link Office.					
8	Quality assurance					
8.1	The University has developed and implemented a Quality Assurance Framework					
8.2	The University has established an operational Quality Assurance Unit					
8.3	The University uses benchmarking for assessing its core functions					
9	Financial and administrative management					
9.1	Establishing and operationalising sustainable and improved financial and administrative management systems;					
9.2	Building capacity in schools and units in development planning coordinating, decision-making					
9.3	Provision of an institutional framework to support decision-making at school and unit level;					
9.4	Increasing transparency and accountability in resource allocation and utilization at the centre, schools and units;					
9.5	Developing and implementing a risk management policy					
9.6	Developing and adopting statutes to govern its administration					
10	Investment					
10.1	Developing capacity to engage in entrepreneurship and business for sustainability and competitiveness in the knowledge economy;					
10.2	operationalising the Business Development Strategies					
10.3	Increasing self-generated income to at least 50 percent of total revenue from self-generated sustainable sources					
10.4	Establishing a leadership and knowledge centre on issues of national and global concern					
11	Human resource management					
11.1	Attaining the desired establishment of academic and support staff;					
11.2	Implementing an adequate staff performance appraisal system					
11.3	Developing and Implementing the Human Resource Policy					

ITEM	DESCRIPTION	SCORE				
12	Infrastructure development and maintenance	1	2	3	4	5
12.1	The University has adequate student bed space					
12.2	The University has adequate staff office space					
12.3	The Resident Engineer has adequate capacity to rehabilitate and maintain physical infrastructure					
13	Debt management	1	2	3	4	5
13.1	Liquidating debt					
13.2	Developing and implementing a plan to trade off assets and liabilities					
13.3	Institutionalising cost saving measures to mitigate debt increase					
13.4	Establishing partnerships for the university functions					

A4. Guidelines for Staff Annual Performance Appraisals

A4.1 Background

The staff annual performance appraisal process is designed to assist University staff to develop so as to contribute to the quality of their working life and career, and to align their work with the strategic objectives of the University. The appraisal process is an important mechanism of quality assurance in that it functions to monitor, evaluate, develop and assure performance excellence.

A4.2 Objectives

The objectives of the staff annual performance appraisal are to:

- (i) ensure that staff have a clear and agreed sense of their work, role and individual performance objectives and how these fit within the organisational objectives and the overall planning framework of the University;
- (ii) ensure that there is a process in place for monitoring, reviewing and nurturing the achievements of individual staff and their objectives within the University's context;
- (iii) place a clear focus on developmental strategies in support of the staff member's performance and career aspirations;
- (iv) utilise the University's management structures to assess and develop the effectiveness and capacity of staff in leadership roles; and
- (v) ensure that the University's mission is upheld, strategic goals are achieved, activities and operations are enhanced, and quality teaching and student support, are delivered.

A4.3 Identification of Best Practices for Academic Staff

The best practices in academic staff performance appraisal are related, but not restricted to:

- (a) teaching;
- (b) staff research, publications and postgraduate research supervision;
- (c) consultancy and public service;
- (d) creativity and innovation;
- (e) supervisory and management skills;
- (f) time management skills;
- (g) human and interpersonal relations skills; and
- (h) attitudes;
- (i) communication.

A4.4 Identification of Best Practices for Non-Academic Staff

The best practices in non-academic staff performance appraisal are related, but not restricted to:

- (a) leadership;
- (b) management skills;
- (c) work habits;
- (d) creativity and innovation;
- (e) human and interpersonal relations skills; and
- (f) attitudes.

A4.5 Procedures and Forms for Staff Performance Appraisal

The procedures and forms for staff performance appraisals are available from the Registrar's Office in the department that deals with human resource management.

A5. Guidelines for Assessment of the Management of Student Affairs

A5.1 Background

The Student Affairs Unit is responsible for the organisation, coordination and administration of various non-academic aspects, social welfare and personal services for students registered in the University. These include student governance, accommodation, general counselling and career guidance, disciplinary control, sport and recreation, social welfare (i.e. health, security, hardship, laundry, hostel cleaning), horticultural aspects (i.e. campus hygiene and sanitation, refuse collection, amenity horticulture) and the orientation of first year students.

A5.2 Objectives

The objectives of the assessment of management of student affairs are to:

- (a) Student disciplinary control
- (b) Sport and recreation
- (c) Social welfare (health, security, hardship, laundry, hostel cleaning),
- (d) Campus hygiene and sanitation
- (e) Staff excellence in student affairs

A5.3 Best Practices in Management of Students Affairs

The University must place students at the centre of its focus within a learning perspective so that they are fully integrated into the global knowledge society.

Students must be considered as equal and fundamental partners and stakeholders in their own education with the right to organise themselves as they see fit within the context of their educational systems and communities (UNESCO, 2002). The best practices in the management of student affairs and student support include aspects related to:

- (a) governance;
- (b) chaplaincy;
- (c) horticulture and maintenance of campus grounds;
- (d) counselling services;
- (e) disability services;
- (f) international student services;
- (g) orientation of new students;
- (h) sports and recreation;
- (i) student discipline;
- (j) student accommodation and residential life; and
- (k) student feedback.

A5.4 Data Collection

The Senate Quality Assurance Committee shall audit the practices and operations of Student Affairs Unit in conducting its business. The data should be collected using structured questionnaires from identified stakeholders every 3 years.

A5.5 Follow-up Activities and Strategies for Improvement

The results of the audit, including recommendations for changes to the structure and/or functions of Student Affairs Unit aimed at making improvements will be referred to the University Council for approval. Strategies for improvement must be formulated by considering the following:

- (e) What areas of performance are most in need of improvement?
- (f) How will the improvements in performance be accomplished?
- (g) How long will it take to make improvements in performance?
- (h) How much will it cost to make improvements in performance?

A5.6 Template for Assessment of Management of Students Affairs

The template for assessment of management of students affairs is given below.



University of Zambia

ASSESSMENT OF THE MANAGEMENT OF STUDENTS AFFAIRS

INTRODUCTION

This survey is used to assess the performance of the management of student affairs by the Dean of Students Affairs staff. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Governance					
1.1	Advising student government organisations					
1.2	Designing and carrying out student leadership development programmes					
1.3	Advising student social clubs and organisations					
1.4	Encouraging student involvement in community service/volunteer activities					
2	Horticulture and maintenance of campus grounds					
2.1	Providing an aesthetically pleasing environment in which students and staff can interact while pursuing their educational goals					
2.2	Seeking to maintain a safe environment for pedestrian and vehicular traffic on sidewalks, streets and in parking lots					
2.3	Striving for excellence in landscaping					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
3	Chaplaincy					
3.1	Providing facilities for students to worship and share their religious customs and ideas					
3.2	Organizing interfaith or ecumenical services					
3.3	Counselling students seeking spiritual guidance					
3.4	Organising or making available appropriate liturgies and ceremonies to satisfy the spiritual needs of students					
3.5	Providing spiritual support and counseling, individually and in groups, to those in personal crisis					
3.6	In multi-faith settings, co-ordinating the activities and events of the various religious communities					
3.7	Organising events and activities promoting spiritual life on campus					
3.8	Acting as the first point of campus contact for all faith groups					
3.9	Arranging services relevant to the chaplain's own faith					
3.10	Facilitating services for other faith groups by inviting their leaders on campus					
3.11	Encouraging both specific faith-based and inter-faith dialogue by organising social events and discussion groups					
3.12	Being responsible for the use of the multi-faith centre and helping students find appropriate rooms for religious activities					
4	Counselling services	1	2	3	4	5
4.1	Engaging in brief individual psychotherapy, crisis intervention, couples counselling, group psychotherapy, behaviour modification and medication therapy, as needed					
4.2	Selectively employing various modalities in combination into individualised treatment programmes for student clients					
4.3	Offering programmes for the promotion of a healthier campus environment					
4.4	Operating a confidential, after-hours telephone help-line/referral service to assist students in crisis when no face-to-face counselling is available					
4.5	Conducting group counselling programmes on common themes					
4.11	Offering advocacy on behalf of students who receive counselling when extenuating circumstances may have an adverse effect on study and assessment or examination results					
4.6	Participating in student induction and welcoming programmes					
4.7	Providing developmental and preventative workshops throughout the academic year in response to student needs including such examples as assertiveness training, stress management, support for adult students, and time management					
4.8	Offering liaison and consultancy to tutors and others concerned about a particular student's personal or academic situation					
4.9	Offering a relevant programme of professional development workshops, conferences, and activities for tutorial and counselling staff and student services colleagues related to good practice in providing support for students					
4.10	Contributing to institutional, school and departmental planning, policy and developments through participation in University committees and work-groups					
4.11	Offering feedback to University staff on factors that promote or hinder learning					
4.12	Continuously monitoring and evaluating the work of the counselling service through identified quality assurance systems and client research					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
5	Disability services					
5.1	Serving as the official institutional office and mediator that assists students with disabilities in acquiring classroom and other accommodation as necessary					
5.2	Working with the institution to ensure that students with disabilities have equal access to all areas, including libraries, food service, computer laboratories and other technology areas and facilities					
5.3	Informing and making the campus community aware of the need to include students with disabilities in all programmes, services and activities					
5.4	Acting as the institutional agent to inform the community about access issues					
5.5	Arranging for interpreters or signers for deaf students					
5.6	Arranging for note-takers, readers and volunteer books-on-tape readers					
5.7	Arranging for appropriate alternative student academic assessment and examination methodologies					
5.8	Assisting students in acquiring alternative formats of classroom materials (Braille, audio textbooks, large print text)					
5.9	Providing individual counselling and assistance for disabled students until they graduate					
5.10	Providing leadership in assessing existing and new spaces/facilities to determine compliance with accessibility criteria and standards set by government units and the University					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
6	International student services					
6.1	Serving as an advisor/counsellor for international students					
6.2	Providing one-to-one support to individual international students in crisis					
6.3	Developing appropriate procedures to recruit international students					
6.4	Providing accurate information and instruction regarding immigration regulations for international students and scholars					
6.5	Providing pre-arrival information packages for international students and pre-departure information for students going abroad					
6.6	Ensuring there is an appropriate level of housing for international students					
6.7	Providing visa and immigration assistance					
6.8	Organising living arrangements and activities that bring domestic and international students together in the same facilities					
6.9	Developing social, cultural and educational support services					
6.1	Identifying and administering financial assistance for international students					
6.11	Providing individual and personal support services for international students in their adjustment to the host country culture					
6.12	Ensuring that institutional obligations to students and the legal structure are fulfilled in relation to health insurance					
6.13	Supporting and encouraging the development of international activities, programmes and events for the general campus community					
6.14	Working with staff in understanding cultures and assisting with the adjustment of international students					
6.15	Developing host family and mentoring activities and programmes as appropriate					
6.16	Establishing and managing an orientation and induction programme for newly arrived students including help in the areas of housing, academic registration, and general knowledge of the institutional environment					
6.17	Assisting international students/scholars in the transition to living, learning, and working in the domestic setting					
6.18	Organising various social and cultural activities designed to inform and engage the community in the process of learning about other cultures					
6.19	Creating/managing a resource centre on host country integration issues					
6.20	Supporting student groups in their promotion of various cultures					
6.21	Organising workshops/activities on the understanding of different cultures					
6.22	Working with educational leaders to develop recruiting programmes for potential students and various accessibility support mechanisms to facilitate transition to higher education in a foreign country					
6.23	Providing individual and group discussions on issues facing international students including immigration, funding and other personal concerns					
6.24	Developing staff and student training programmes that encourage more understanding of the cross-culture issues for international students					
6.25	Advising staff on issues relating to international students					
6.26	Researching key issues which relate to the experience of international students and their interface with the university and the community at large					
6.27	Reporting on findings of research and increasing awareness of significant issues raised by research into international students' experiences					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
7	Orientation of new students					
7.1	Explaining the overall purpose of higher education and how this general purpose translates to the institution they are attending					
7.2	Explaining academic/support staff and student roles, responsibilities and expectations					
7.3	Describing the expectations of students with regard to scholarship, integrity, conduct, financial obligations, and ethical use of technology					
7.4	Providing information clarifying relevant administrative policies and procedures					
7.5	Explaining class scheduling and registration processes and providing assistance from qualified staff, or peer academic advisors for developing educational plans					
7.6	Assisting students in utilizing course placement examinations, interest inventories, and study skills assessments in selecting a major and appropriate course					
7.7	Identifying appropriate referral resources, such as counsellors and advisors, and providing information about relevant services and programmes					
7.8	Providing new students with personal health and safety information					
7.9	Providing social and informational programmes for parents of new students					
7.1	Providing opportunities for new students to interact with academic and support staff					
7.11	Providing information about the physical layout of the campus including the location of key offices and functions					
7.12	Providing opportunities for new students to interact with continuing students to develop a sense of identification with and belonging to the institution					
7.13	Attending to needs of sub-groups of students, e.g. students with disabilities, athletes, adult, multi-cultural and international students					
7.14	Employing a diverse staff to reflect the diversity of the campus student population, to ensure the existence of identifiable role models for students that enrich the campus community					
8	Sports and recreation	1	2	3	4	5
8.1	Co-ordinating recreational programming, facilities and equipment					
8.2	Supervising all campus recreational programmes and services					
8.3	Providing informal programmes for self-directed, individualised involvement to meet students' desires to participate in sport for personal fitness and enjoyment					
8.4	Organizing intramural sports to provide structured contests, tournaments and leagues, limiting participation to campus members					
8.5	Offering sport clubs that provide opportunities for individuals to organise around a common interest in a sport within or outside the institution					
8.6	Providing instructional programmes for learning opportunities, knowledge, and skills through lessons, clinics and workshops					
8.7	Organising special events, either within or outside the institution, to introduce new sport or related activities that are unique in approach or nature from traditional programmes					
8.8	Developing fitness programmes that provide opportunities and assistance to students and others in carrying out their personal exercise programmes					
8.9	Developing recreation programmes					
8.10	Providing health promotion and well-being programmes					
8.11	Organising extramural sports that provide structured tournaments, contests and meets among participants from other institutions					
8.12	Offering family and youth programmes for members of the campus community					
8.13	Developing recreation sports programmes for persons with disabilities					
8.14	Managing the recreation and athletic facilities of the University					
8.15	Encouraging programme staff to serve as resources to the community, providing expert advice on recreational issues and activities					
8.16	Providing recreational activities for students including weight training, exercise and fitness centres, jogging/walking courses, tennis/golf/squash courts, etc.					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
9	Student discipline					
9.1	Explaining the unit's role through new student/parent orientation programmes					
9.2	Training all staff members responsible for the administration of the disciplinary process					
9.3	Conducting educational programmes for students in the residence halls and student organisations about the disciplinary process upon request					
9.4	Sanctioning students responsible for misconduct through a trained university hearing panel comprised of students and University staff					
9.5	Advising students on their options in the disciplinary process					
9.6	Administering a database that includes disposition and records of the involvement of guilty students in misconduct cases					
9.7	Designing appropriate sanctions to educate students on their behaviour risks					
9.8	Implementing sanctions by acquiring the expertise to do so or seeking individuals that possess the expertise					
9.9	Holding students accountable for completing their educational sanctions by assigning additional sanctions to students that failed to complete them					
9.10	Conducting mediation sessions					
9.11	Providing statistics on student judicial actions to local and student media					
9.12	Administering all budgets involved in the implementation of mediation and substance abuse programmes					
10	Student accommodation and residential life	1	2	3	4	5
10.1	Planning and carrying out study and recreational activities in the residence halls including quiet periods for study					
10.2	Co-ordinating academic advising, career planning, time management, and instructional activities within the housing and other units as appropriate and in coordination with various academic and other units within the institution					
10.3	Offering a variety of living options including individual, group, undergraduate, postgraduate, disability, first year, and other options					
10.4	Providing mentoring and student development programmes					
10.5	Advising residence hall governments and student organisations					
10.6	Providing staff training and development support					
10.7	Hiring and training students to become resident assistants, peer assistants and resident advisors to their peers in a live-in environment					
10.8	Conducting student misconduct disciplinary hearings in cases that originate in student housing					
10.9	Offering off-session housing options for conferences, workshops and camps					
10.10	Conducting research on students living in on-campus housing					
11	Student Feedback	1	2	3	4	5
11.1	Obtaining students' experiences that include all areas of their lives on campus from counselling, the quality of their accommodation, sports and recreation, discipline, to their financial situations, among other things					

Adapted from: UNESCO (2002) *The Role of Student Affairs and Services in Higher Education: A practical manual for developing, implementing and assessing student affairs programmes and services*, United Nations Educational, Scientific and Cultural Organisation, Paris, France

APPENDIX B: GUIDELINES FOR TEACHING AND LEARNING

B1. Guidelines for Qualifications and Promotion of Academic Staff

The minimum criteria for appointment of academic staff to various ranks at the University of Zambia are given in the tables below.

Qualifications of Staff at Various Academic Ranks and Threshold Scores for Promotion

Item	Rank	Designation	Minimum Qualification	Threshold
1	ACS1	Professor	PhD	1100
2	ACS2	Associate Professor	PhD	750
3	ACS3	Senior Lecturer, Senior Research Fellow, Senior Librarian	PhD	450
4	ACS4	Lecturer I, Research Fellow I, Librarian I	PhD	230
5	ACS5	Lecturer II, Research Fellow II, Librarian II	PhD	60
6	ACS6	Lecturer III, Research Fellow III, Librarian III	Master's degree	15

Scoring for Promotion to Various Ranks

ITEM	CORE AREA	WEIGHT	QUANTITY	PRODUCT
1	QUALIFICATIONS			
1.1	ACADEMIC QUALIFICATIONS			
	Masters Degree (one year by course work and examination only) (qty = per qualification)	6.5		
	Masters Degree (research) (qty = per qualification)	6.5		
	Masters Degree (course work and dissertation / thesis) (qty = per qualification)	9		
	Doctorate Degree (qty = per qualification)	25		
	Postgraduate diploma (qty = per qualification)	4.5		
	Post Doctoral Research (qty = per research)	11		
1.2	PROFESSIONAL QUALIFICATIONS			
	Professional Qualifications (qty = per qualification)	5.5		
1.3	MEMBERSHIP TO PROFESSIONAL BODIES			
	Fellow (qty = years at that level)	5		
	Member (qty = years at that level)	3		
	Associate (qty = years at that level)	0.5		
	Professional Qualifications (quantity = per qualification)	2.0		
	SUBTOTAL			
2	TEACHING			
2.1	TEACHING SERVICE, COURSES TAUGHT AND COURSE DEVELOPMENT			
	Years of service (quantity = per year teaching)	3.0		
	Course taught per year (undergraduate) (quantity = 1 for full course & 0.5 for half course)	4.5		
	Course taught per year (postgraduate)(quantity = 1 for full course & 0.5 for half course)	6.5		
	Teaching >74 students per year (quantity = years with overload)	2.5		
	Course coordinator	2.5		
	New Approved complete course module / courses per year (individual)	5.5		
	New Approved complete course module / courses per year (group)	4.5		

2.2	POSTGRADUATE SUPERVISION (DOCTORATE)			
	Supervisor per year	10.0		
	Co-Supervisor per year	7.5		
	Chair of Board of Examiners	2.0		
	Thesis examiner	5.0		
2.3	POSTGRADUATE SUPERVISION (MASTERS)			
	Supervisor per year	6.5		
	Co-Supervisor per year	5.0		
	Thesis examiner	3.0		
2.4	POSTGRADUATE SUPERVISION (DIPLOMA)			
	Supervisor per year	3.0		
	Co-Supervisor per year	2.0		
	Thesis examiner	1.0		
2.5	TEACHING EVALUATION			
	Score per year (student evaluation) (quantity = average % evaluation, score=weight x quantity x years of teching service)	5.0		
	Score per year (supervisor evaluation) (quantity = average % evaluation, score=weight x quantity x years of service)	4.0		
2.6	SUBTOTAL		83	
3	RESEARCH & PUBLICATIONS			
3.1	PEER - REVIEWED JOURNAL PUBLICATIONS			
	Multiple authors	3.8		
	Single Author	7.5		
3.2	PEER REVIEWED PROCEEDINGS (NATIONAL & INTERNATIONAL)			
	Multiple authors	3.0		
	Single Author	6.0		
3.3	NON-PEER - REVIEWED JOURNAL PUBLICATIONS			
	Author, Lead Author or Co Author	3.5		
3.4	COMMISSIONED RESEARCH REPORT			
	Completed research (quantity = per completed research acknowledged by commissioner)	6.0		
3.5	BOOKS			
	Single Author	8.0		
	Co-author	4.0		
	Lead Author with others	4.5		
	Chapters in a book (Per book)	4.0		
	Editor	4.5		
	Creative writing	3.0		
3.6	ACADEMIC / PROFESSIONAL CONFERENCE, SEMINAR, WORKSHOP, SYMPOSIA			
	Conference paper / Multimedia / Poster presentation	3.5		
	Plenary / Keynote speaker (maximum of 4 per year)	4.0		
	Facilitation and training (maximum of 4 per year)	3.0		
	Attendance at international conferences, seminars, workshops, symposia	1.0		

3.7	PATENTS, PROTOTYPES & ARTEFACTS			
	Patents	9.0		
	Prototypes, artefacts & artistic outputs	6.0		
3.8	MEDIA DISCUSSIONS			
	Scholarly & Creative Contribution to Newspapers, magazines, radio & television (maximum of 3 per year)	1.0		
3.9	JOURNAL REFEREEING & EDITING			
	Chairperson of editorial board (quantity = per organisation x years at that level)	2.5		
	Member editorial board (quantity = per organisation x years at that level)	1.5		
	Reviewing and refereeing of published article, conference paper, book	1.0		
3.10	POST-DOCTORAL RESEARCH (quantity = per research)			
	Quantity per research	10.0		
	SUBTOTAL	100.25		
4	UNIVERSITY LEADERSHIP & ADMINISTRATION			
4.1	ADMINISTRATION			
	Vice Chancellor (minimum of 6 months per year) (quantity = years at that level)	3.5		
	Deputy Vice Chancellor (minimum of 6 months per year) (quantity = years at that level)	3.0		
	Registrar /Bursar / Librarian / Dean of Student Affairs (minimum of 6 months per year) (quantity = years at that level)	2.5		
	Dean /Director or equivalent (minimum of 6 months per year) (quantity = years at that level)	2.5		
	Head of Department (minimum of 6 months per year)(quantity = years at that level)	2.0		
	Assistant Dean (minimum of 6 months per year) (quantity = years at that level)	1.5		
	Union Executive - President/ General Secretary / Treasurer (quantity = years at that level)	1.0		
	Council Member (quantity = years at that level)	2.0		
	Senate Member (quantity = years at that level)	1.5		
	Council Standing Committee Member (quantity = years at that level)	2.0		
	Council Ad-hoc Committee / Bargaining Unit Member	1.5		
	Management Appointed Committee Member / External Assessor	1.0		
	Committee / Board Membership to UNZA- Based Organisations - Patron/Chairperson/Secretary/Treasurer	0.5		
	Committee / Board Membership to UNZA- Based Organisations	0.5		
	Other administrative university responsibilities	0.5		

4.2	RESOURCE MOBILIZATION			
	Team leader			
	≥10000 but <50,000	1.0		
	≥50,000 but <250,000	2.0		
	≥250,000 but <1,000,000	3.0		
	≥1,000,000 but <5,000,000	4.0		
	≥5,000,000	5.0		
	Member			
	≥10000 but <50,000	1.0		
	≥50,000 but <250,000	2.0		
	≥250,000 but <1,000,000	3.0		
	≥1,000,000 but <5,000,000	4.0		
	≥5,000,000	5.0		
	SUBTOTAL			
5	COMMUNITY AND PUBLIC SERVICE			
5.1	SERVICE TO SOCIETY (STATUTORY ORGANISATIONS / INTERNATIONAL)			
	Chairperson (quantity = per organisation x years at that level)	0.5		
	Secretary / officials (quantity = per organisation x years at that level)	0.5		
	Member (quantity = per organisation x years at that level)	0.5		
5.2	SERVICE TO SOCIETY (NON-STATUTORY ORGANISATIONS - DISTRICT/ PROVINCIAL / NATIONAL)			
	Chairperson (quantity = per organisation x years at that level)	0.5		
	Secretary / officials (quantity = per organisation x years at that level)	0.5		
	Member (quantity = per organisation x years at that level)	0.5		
5.3	ASSOCIATIONS			
	Member (quantity = per association)	0.5		
5.4	SECONDMENT AT NATIONAL/INTERNATIONAL LEVEL ORGANIZATION			
	Above Director (minimum of 6 months per year) (quantity = per organisation x years at that level)	1.5		
	Director (minimum of 6 months per year) (quantity = per organisation x years at that level)	1.0		
	Below Director (minimum of 6 months per year) (quantity = per organisation x years at that level)	1.0		
5.5	AWARDS			
	Recognised International Awards (quantity = per award)	2.5		
	Conferred by the State (quantity = per award)	1.5		
	Conferred by a University / Professional Body (quantity = per award)	1.0		
5.6	CONSULTANCY			
	University sourced per consultancy completed	3.5		
	Self-sourced per consultancy completed	1.0		

5.7	EXTERNAL EXAMINATION			
	External examiner / moderator	1.5		
5.5	SABBATICAL LEAVE	1.5		
	MISCELLANEOUS CONTRIBUTIONS	0.5		
	SUBTOTAL			
	GRAND TOTAL			

B2. University Teaching and Learning Improvement Programme

B2.1 Background

The University Senate approved the University Teaching and Learning Improvement Programme (UTLIP) to be offered to academic members of staff as a way to enhance the pedagogical skills and teaching methodology. This programme will be facilitated by the School of Education. The academic staff will be issued with certificates of attendance.

B2.2 Procedure

The University has grouped schools into three *Senate Curriculum and Examination Committees*. Member schools of the committees have some common and similar academic attributes. The academic staff from these schools shall form cohorts to undertake the course. The procedure would then be rotated through the Senate groupings on an annual basis. This would reduce pressure on the University budget.

The training should be offered to three groups of lecturers each year. Each group would consist of up to 30 people, consistent with the proposal from the School of Education. This means, on average, each School would send about **10** staff members every year for the training.

The programme shall be managed by the Directorate of Quality Assurance using a designated budget. The Directorate shall coordinate the process in order to ensure that all eligible academic members of staff undergo this training.

B3. Guidelines for Academic Staff Workload

B3.1 Maximum Workload

The maximum workload (hours per week) for academic members of staff were weighted in terms of hours as follows:

Item	Description	Hours	Comment
1	Lecture preparation	12	Time varies with experience
2	Lecturing	6	Time is as approved for each course
3	Tutorial/seminar	2	Time is as approved for each course
4	Laboratory practical /clinical session	4	Time is as approved for each course
5	Marking	3	Time varies with experience
6	Supervision	4	Time varies with experience
7	Research and consultancy	4	Time varies with experience, interest and commitment
8	Maximum workload per week	40	

Adopted from Makerere University (2009)

B3.2 Notes

1. The weighting is based on the requirements for teaching full courses.
2. The mandatory contact hours are based on the workload that can be monitored. This includes lecturing, conducting tutorials or seminars and conducting practical laboratory or clinical sessions. This results in a minimum of 10 contact hours and a maximum of 12 hours per week for one full course.
3. Academic members of staff should utilize, as far as possible, the remaining hours per week of the mandatory contact hours on essential academic activities such as lecture preparation, marking, supervision, research and consultancy.
4. Only staff who possess a PhD or who are at the rank of Senior Lecturer should teach and supervise postgraduate students as provided for in the Regulations for Postgraduate Studies.

B4. Guidelines for Academic Staff Offices

B4.1 Background

The guidelines for academic staff offices are aimed at assisting the University in making quality-related management decisions about space, furniture and equipment required for efficient and effective delivery of teaching and learning by individual academic staff members.

B4.2 Objectives

The objectives of the assessment of Academic Staff Offices are to:

1. undertake reviews of office spaces for academic staff to ensure that allocation and utilisation continues to meet the intended requirements and best practices;
2. update office allocation rosters and to make any space reallocations that might be required; and
3. develop a regular programme by which office occupants organise their offices (for example by applying the *Kaizen 5S-system*)

B4.3 Identification of Best Practices in Academic Staff Office Utilisation

The identified best practices include, but are not restricted to:

- (a) allocation of staff offices;
- (b) provision of office furnishings and equipment; and
- (c) cleaning and organising office spaces.

B4.4 Data Collection

The assessment for Academic Staff Offices shall be conducted using structured questionnaires from identified stakeholders. The Senate Quality Assurance Committee shall audit academic staff office utilization in accordance with best practices annually.

B4.5 Follow-up Activities and Strategies for Improvement

The results of the audit, including recommendations for changes to academic staff office utilisation aimed at making improvements will be referred to the Central Administration for approval. Strategies for improvement must be formulated by considering the following:

- (i) What areas of performance are most in need of improvement?
- (j) How will the improvements in performance be accomplished?
- (k) How long will it take to make improvements in performance?
- (l) How much will it cost to make improvements in performance?

B4.6 Template for Assessment of Academic Staff Offices

The template for assessment of academic staff offices is given below.



University of Zambia

ASSESSMENT OF THE MANAGEMENT OF ACADEMIC STAFF OFFICES

BACKGROUND

This survey is used to assess the performance of the University in the planning, allocation and management of office space, furniture and equipment for academic staff. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Allocation of offices					
1.1	Each senior academic (Professor/Associate Professor/Senior Lecturer) has an individual office					
1.2	Each academic (other than senior academics) has adequately private office space provisions					
1.3	Each part-time/visiting lecturer has access to at least shared and secure office space					
1.4	Tutors, teaching assistants and post-doctoral researchers have access to at least shared open-plan rooms with individual desks					
1.5	Postgraduate students have access to at least shared open-plan rooms with individual desks					
1.6	There is allowance for space for at least two visitors in academic staff offices (especially for student supervision)					
2	Provision of office furnishings and equipment					
2.1	Provision of desks and chairs					
2.2	Provision of bookcases					
2.3	Visitors and students reception provisions					
2.4	Provision of office equipment					
3	Cleaning and organising office spaces					
3.1	Each office applies the <i>Kaizen 5S Office System</i> to make offices clean and organised					

B5. Guidelines for Lecturers' Experience Surveys

B5.1 Background

The purpose of this survey is to assess the satisfaction level of lecturers and the effectiveness of programmes in place to help them progress and excel in their profession. The forms shall be filled anonymously and the information provided shall be confidential.

B5.2 Objectives of the Survey

The objectives of this survey are to:

- (a) assess the lecturer's satisfaction with quality of teaching;
- (b) assess the lecturer's satisfaction with support services; and
- (c) obtain the lecturer's proposals for required interventions and improvement.

B5.3 Identification of Best Practices in Lecturers' Experience Surveys

The identified best practices include, but are not restricted to:

- (a) intellectual engagement;
- (b) administrative support and information;
- (c) utilisation of expertise, future prospects and professional development; and
- (d) personal requirements.

B5.4 Procedure

- (a) The Quality Assurance Directorate working with academic units and using the approved satisfaction survey instrument shall conduct the lecturer's satisfaction surveys to obtain the relevant information from a sample of lecturers in all Schools.
- (b) The report of the findings of the survey shall be served before the Dean of the School for further use in School Assessment Reports.
- (c) Online closed survey questionnaires shall be used for the surveys.

B5.5 Reporting

The information obtained from these surveys shall be used for reform and improvement at School level. The analysis of the data will include presentation of descriptive statistics (frequencies) for survey items in text, tables, and figures, as appropriate. The order of the presentation of results in the report shall follow the order of the survey instrument.

B5.6 Template for Lecturer Experience Surveys

The template for the lecturer experience survey is given below.



University of Zambia

LECTURER EXPERIENCE SURVEY

GENERAL INFORMATION

1.	Please indicate your academic rank	Professor	Associate Professor	Senior Lecturer	Lecturer	Assistant Lecturer

2.	Please indicate your years of service	1-5	6-10	11-15	16-20	> 20

SCORING

The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please indicate how satisfied you are with each of the following aspects of your personal situation at the department.

ITEM	DESCRIPTION	SCORE				
1	Intellectual engagement	1	2	3	4	5
1.1	I have the right mix of teaching, research and community service					
1.2	There is intellectual stimulation in my work					
1.3	I am satisfied with the type of teaching, research and community service I currently do					
2	Intellectual interactions and mentoring					
2.1	The cooperation and professional interaction I have with colleagues in the department is satisfactory					
2.2	My interaction with students is adequate					
2.3	The mentoring available to me is adequate					

ITEM	DESCRIPTION	SCORE				
3	Administrative support and information					
3.1	The administrative support I get from the department is adequate					
3.2	The provision and clarity about the promotion process is adequate					
4	Future prospects and professional development					
4.1	My prospects for advancement through ranks are reasonable					
4.2	My job security and stability at the department are adequate					
4.3	The overall climate at the department is conducive for work					
4.4	The department is fully utilising my experience and knowledge					
5	Personal requirements					
5.1	The amount of time I have for myself is adequate					

15. What are the best factors currently available in your department that enhance your motivation and job satisfaction?

.....

.....

.....

16. Suggest factors that could improve your motivation and job satisfaction

.....

.....

.....

Adapted from: Batool Z. and Qureshi R.H. *Quality Assurance Manual for Higher Education in Pakistan*, Higher Education Commission, Islamabad, Pakistan

B6. Guidelines for Peer Evaluation of Teaching

B6.1 Introduction

The practice of peer evaluations on teaching quality covers teaching and learning, supervision of postgraduate student and all related activities at the University. The candidate should be afforded the opportunity to reflect on the final report and outline in a separate statement how she/he will be responding to the recommendations of peers. The approved Peer Evaluation Questionnaire should be used.

B6.2 Identification of Best Practices

It is important to note that peer review of teaching generally focuses on the practice of teaching or, in other words, the elements of 'good' teaching practice that is aimed at facilitating students to learn effectively. Some of the identified best practices are related to the lecturer:

- (a) structuring learning experiences to assist student understanding;
- (b) arousing learners' curiosity;
- (c) designing learning experiences which cater for diversity among students;
- (d) bridging between teacher understanding and student learning;
- (e) engaging students to actively participate; and
- (f) having effective presentation skills.

B6.3 Guidelines and Procedure

- (a) The selection of the peer evaluators is made by the Head of Department in consultation with the lecturers. Peer evaluators are colleagues who are selected for their knowledge and expertise in the field to provide an evaluation of the quality of one's teaching.
- (b) The peer evaluators should be colleagues who engage in similar teaching activities and share appropriate levels of disciplinary expertise and experiences, and should preferably be senior or more experienced than the academic undergoing an evaluation.
- (c) The lecturer who will be evaluated needs to provide peer evaluators with background information on his/her teaching to give the process context and meaning.
- (d) There should be a pre-observation discussion where context, purpose and aims of the session are agreed upon.
- (e) There should be a post-observation discussion of the draft report and the candidate should be given an opportunity to seek clarification.
- (f) The candidate should be afforded the opportunity to reflect on the final report and outline in a separate statement how she/he will be responding to the recommendations of peers.
- (g) Since a series of evaluations by colleagues, i.e. evaluation of more than one class, is more representative than a one-off observation, multiple observations are recommended.
- (h) Feedback should start with constructive comments and then move to areas that require focused attention, noting that the process is about affirming what is done well in addition to highlighting areas for improvement.
- (i) Peer evaluators should endeavour to be as objective as possible and be aware of biases that might emanate from their own personal preferences or style.

B6.4 Data Collection

Peer evaluations will be based on actual observations of teaching practices and may include documentary evidence obtained through viewing of a recording of teaching as part of the review of a teaching portfolio. The evaluation will enable an overall evaluation of the candidate's performance as judged by peer evaluators. It can include the evaluation of a teacher's performance over a period of time and several formative evaluations.

B6.5 Peer Evaluation Cycles

Peer evaluations will be conducted every year on all assistant lecturers and once for those applying for promotion below the rank of Senior Lecturer.

B6.6 Follow-up Activities and Strategies for Improvement

The results of the peer evaluation are aimed at making improvements in the lecturers' teaching practices. Strategies for improvement must be formulated by considering the following:

- (m) What areas of performance are most in need of improvement?
- (n) How will the improvements in performance be accomplished?
- (o) How long will it take to make improvements in performance?
- (p) How much will it cost to make improvements in performance?

B6.7 Template for Peer Evaluation of Teaching

The template for peer evaluation of teaching is given below.



University of Zambia

PEER EVALUATION OF TEACHING

GENERAL INFORMATION

Lecturer's name: Evaluator's name:

Course code and name:

Number of students present: Date:

Context (lecture, tutorial, laboratory, etc)

The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Structuring learning experiences to assist student understanding					
1.1	Outlined clearly the learning objectives for the session					
1.2	Linked the teaching session to the previous sessions					
1.3	Provided an introduction to and clear overview of the session					
1.4	Related the session to future sessions					
2	Arousing learners' curiosity	1	2	3	4	5
2.1	Demonstrated enthusiasm for the subject matter					
2.2	Demonstrated command of the subject matter					
2.3	Presented material in a way that it is clear and logical to students					

ITEM	DESCRIPTION	SCORE				
3	Designing learning experiences which cater for diversity among students	1	2	3	4	5
3.1	Defined unfamiliar terms					
3.2	Presented examples to explain or clarify points					
3.3	Used strategies that encouraged critical thinking and analysis by students					
3.4	Summarised major points and concluded the session					
4	Bridging between teacher understanding and student learning	1	2	3	4	5
4.1	Communicated material appropriate for the level of the students					
4.2	Explained concepts and ideas clearly					
4.3	Uses examples, case studies and/or additional resources to illustrate 'difficult' concepts					
5	Engaging student to actively participate	1	2	3	4	5
5.1	Listened to student's comments and questions					
5.2	Encouraged student interaction and questions					
5.3	Responded appropriately to student questions in the session					
5.4	Maintained student interest					
5.5	Demonstrated equitable concern for all students					
6	Having effective presentation skills	1	2	3	4	5
6.1	Used teaching methods that would allow achieving learning objectives					
6.2	Highlighted major points (e.g. voice, reemphasis)					
6.3	Paced and pitched the session to allow students to make notes					
6.4	Had the appropriate voice volume					
6.5	Maintained a rate of speech that was appropriate and clear					
6.6	Used appropriate technology and easily read from the back of the room					
6.7	Media well integrated into the session:					
6.8	Selected media add value to students' learning					
6.9	Had good eye contact with the whole audience, exhibited good body posture and movement					

Adapted from:

Australian Learning and Teaching Council (ALTC) / Office for Learning and Teaching (OLT)

Based on:

[Barnard, Alan, Nash, Robyn E.](#), McEvoy, Kathleen, Shannon, Susan, Rochester, Suzanne, Waters, Cheryl, & Bolt, Susan (2013) Developing a culture to support peer review of teaching in higher education. In *International Society for the Scholarship of Teaching & Learning (ISSOTL) 2013 : Critical Transitions In Teaching And Learning*, 2-5 October 2013, Raleigh Convention Center, North Carolina.

Website:

www.peerreviewofteaching.org/documents/tools/open-comment.pdf

B7. Guidelines for Preparation of School Handbooks

B7.1 Background

University policy on information for student is that it is mandatory that every student receives a *School Handbook* containing the programme they are following. These guidelines provide a standard template for preparation of school handbooks for uniformity across the University.

Accurate and accessible information for students will assist them to:

- (a) understand what is required to achieve the standards for the award for which they are enrolled;
- (b) understand their responsibilities, both to maintain their enrolment and in respect of their own learning;
- (c) understand their responsibilities as members of the University community and, where relevant, their responsibilities in respect of professional conduct;
- (d) know how to derive maximum benefit from the learning opportunities available to them;
- (e) understand how and in what circumstances to access support services;
- (f) understand the regulatory framework which governs decisions about progression and awards;
- (g) know how to use the systems which exists for students to express their views or to make complaints, appeals and claims for mitigating circumstances.

B7.2 Objectives

The objectives of these guidelines are to:

- (a) provide Schools with a standard template with details for the provision of accurate and accessible information to students;
- (b) indicate the responsibilities for provision of information to students; and
- (c) ensure consistency in the provision of information to students;

B7.3 Identification of Best Practices

The best practices in the provision of information to students are related, but not restricted to:

- (a) Availability
 - All students have access to a single comprehensive resource in the form of a School Handbook containing clear information about their programme of study, the sources of support and guidance available to them and the standards of achievement expected of them.
- (b) Accessibility
 - Students are requested to agree to access and read their School Handbook in order to complete the Registration Online process at the start of the academic year.
 - Academic Office emails (to University email accounts) a link to a School Handbook as part of their orientation or induction arrangements
 - The Handbook and notification of changes are provided in electronic format
 - Alternative formats (such as paper copies) are provided if required for those students with disabilities and learning difficulties
 - School Handbooks are published online for each cohort of students including distance-learning students to support their additional needs.

- (c) Standard format and content
 - A standard format is applied as much as is practically possible for all programmes given in the handbook
 - The approved outline is used to provide information included in the School Handbook

B7.4 Responsibilities

The Dean of the School is responsible for ensuring that:

- (a) the common sections provided by the Academic Office are incorporated into the School Handbook;
- (b) information about all programmes in the school is given in the School Handbook;
- (c) there is approval by the Board of Studies for the final version of the School Handbook issued to students;
- (d) each student is emailed (to their University email account) a link to the **pdf** version of the relevant School Handbook at the start of each year, advised of the relevant intranet references and notified, in writing, of any substantial changes to the content of the School Handbook during the course of an academic session.

Heads of Departments are responsible for ensuring that:

- (a) sufficient resources are made available to ensure that all the department's programmes are made available for the production of the School Handbook;
- (b) the details of all the department's programmes given in the School Handbook are accurate and current;
- (c) The School Handbook serves as the key point of day-to-day reference for current students in their department;
- (d) the School Handbook is the primary point of contact and provides details for prospective students; and
- (e) the programme specifications are definitive, formal and concise descriptions of all the department's programmes that are comprehensible to a general audience.

B7.5 Outline of the School Handbook

An outline of the information to be included in the School Handbook is detailed below. Where information is duplicated by another resource (for example a separate Handbook), a brief explanatory statement can be given, together with a reference to the appropriate resource.

Cover page

- (a) University of Zambia and School logo
- (b) Picture of main entrance to the School
- (c) Title: School of XXX Handbook
- (d) Validity period

Inner cover page

- (a) School contact details (postal address, email address, telephone/fax numbers, website)
- (b) Amendments
- (c) Accountability and Accuracy Statements
- (d) Statement that the handbook is available on the intranet or in alternative formats

Table of contents

- (a) Parts of the handbook and its contents page numbers
- (b) Appendices page numbers

Dean's welcome message

- (a) Welcome message to the University, the school and various departments

General Information

- (a) Background (mainly about the school and its departments)
- (b) Description of the professions related to the programmes on offer as contained in the handbook
- (c) Guiding principles for the student experience
- (d) Rules and Regulations
 - (i) Entrance requirements and exemptions
 - (ii) Admissions to the School (include relevant University policies e.g. for gender, rural areas, staff/student ratio, capacity of facilities, etc.)
 - (iii) Guidelines on quota allocations (where applicable)
 - (iv) Registration for courses
 - (v) Examinations and assessments
 - (vi) Deferred examinations
 - (vii) Supplementary examinations (where applicable)
 - (viii) On-site or industrial training
 - (ix) Guidelines on summative grades and comments
 - (x) Award of degrees and other qualifications
 - (xi) Expectations of student academic conduct
- (e) Prizes and awards

Departmental specific information

- (a) Dean's Office (staff list with formal credentials and contact details)
- (b) Departmental information (staff list with formal credentials and contact details)

Programme Specifications

(in the order: certificate, diploma, bachelors, masters and doctoral programmes)

- (a) Programme name (Specify e.g. Bachelor of Engineering (Agricultural Engineering))
- (b) Introduction (Provide a brief introduction to the programme)
- (c) National/professional body accreditation
- (d) Prospects for the employment of graduates
- (e) Programme aims
- (f) Programme learning outcomes
- (g) Curriculum – provide for each course the following:
 - (i) Course code and title
 - (ii) Rationale
 - (iii) Course Objectives
 - (iv) Course Content
 - (v) Time Allocation
 - (vi) Assessment
 - (vii) Prescribed Books
 - (viii) Recommended Readings

Note: each curriculum must be complete and show all courses. In the case of a common course, the course name should be listed to show how it fits in the curriculum and a reference made to where the details may be found within the handbook.

- (h) Course combinations for the programme (with majors and minors – where applicable)
- (i) Progression requirements for the programme (with a flow chart)
- (j) Placements
- (k) Student exchange and credit transfers (where applicable)
- (l) Deadlines for submission of assessment materials

Study and Support

- (a) Moodle e-learning platform
- (b) Personal tutor system
- (c) Academic study skills support and development
- (d) Extra-curricular activities involving the School
- (e) The School Library
- (f) Computing facilities and IT skills
- (g) Student representation
- (h) International student advice
- (i) Dealing with a complaints, disputes or problems involving the University
- (j) Disabilities, long-term illness and specific learning difficulties
- (k) Careers service
- (l) Health and safety

B8. Guidelines for Development and Approval of New Academic Programmes

B8.1 Background

These guidelines are intended to provide a framework for the development of new undergraduate and taught postgraduate programmes and their approval by the Senate. The use of these guidelines is meant to ensure that each programme offered by the University is consistent with the University's vision and mission and addresses critical national human resources requirements.

The following general principles shall be applied in programme development:

- (a) each programme shall be designed by well-qualified staff and the design process shall be based on procedures approved by the Senate;
- (b) the curriculum of the programme must meet the minimum body of knowledge and be relevant to the profession;
- (c) the programme shall be coherently structured with its own regulations and the learning outcomes must be clearly stated;
- (d) the programme shall have physical and human resources to meet the requirements of the programme;
- (e) the programme shall meet the requirements for accreditation by the Higher Education Authority; and
- (f) the qualification obtained by following the programme shall be clearly stated and be recognised under the Zambia Qualifications Framework.

B8.2 Objectives

The objectives of these guidelines are to:

- (a) provide academic units with guiding principles and procedures for programme development;
- (b) ensure that each programme offered by the University is consistent with the University's vision and mission;
- (c) ensure that each programme offered by the University addresses critical national human resources requirements;
- (d) ensure that each programme offered by the University adheres to the minimum standards required for programme accreditation by the Higher Education Authority; and
- (e) ensure that the qualification obtained by following the programme is recognised under the Zambia Qualifications Framework.

B8.3 Procedure for Programme Development

The following steps provide a systematic approach with clear decision points and necessary guidelines for the development of academic programmes leading to Senate approval.

Stage 1: Initiation

The proposal to introduce a new academic programme may come from staff, students, administration, advisory committees, alumni, government, employers, an environmental scan or members of the general public. Based on sufficient evidence to form an initial opportunity assessment, programme ideas deemed worthy of further development shall generally be supported at the School level. The proposer shall consult the Head of Department in which the programme will be offered. The Head of Department shall then bring the programme idea forward to the

School Management Committee. The scrutiny at the School Management Committee stage shall include the following considerations:

- (a) suitability of the department to offer the programme
- (b) type of programme (qualification descriptor as per ZQF guidelines, length, delivery method)
- (c) alignment with the School and University Strategic Plan
- (d) potential student demand
- (e) economic demand (market/job prospects)
- (f) initial and/or anticipated stakeholder support
- (g) implications for the University

If the School Management Committee considers that the concept is satisfactory, the Dean, in consultation with the School Management Committee shall appoint an *ad hoc* programme development team to spearhead the development of the programme proposal. The Dean shall designate a chairperson and secretary of the team and provide the terms of reference. The team shall consist of subject matter experts who shall be drawn from academic and non-academic University staff as required. The Dean may co-opt individuals from the Registrar's Office and relevant industry to assist in the development. The Head of Department shall not serve on this team. The team will meet on a regular basis throughout the programme development processes.

If the School Management Committee considers that the concept is satisfactory, it shall make a decision to proceed to Stage 2 with the appointment of the task team.

Decision:

Proceed to stage 2 under the direction of the Head of Department.

Stage 2: Concept Validation

The primary purpose of this stage is to collect sufficient evidence to determine the feasibility of investing further University resources for programme development. The length of time required for this stage can vary substantially depending on the availability of information, implications to the University, and the complexity of the programme concept. In some situations a discussion with key stakeholders may be sufficient, while in other situations significant resources may be required to explore the validity of the concept. This stage includes the following considerations:

- (a) Program description
 - (i) potential name of programme
 - (ii) type of programme
 - (iii) general structure of the programme
 - (iv) programme outcomes
 - (v) alignment with the University Strategic Plan
 - (vi) relationship to existing programmes at the University
 - (vii) relationship to similar programmes in the country and abroad
- (b) Anticipated student demand and enrolment
 - (i) enrolment projections and assumptions
 - (ii) student demand and demographic analysis
- (c) Employer/economic demand
 - (i) demand for graduates in workforce
 - (ii) potential related to further education

- (d) Evidence of support
 - (i) support from industry and potential employers
 - (ii) support from professional and regulatory bodies
- (e) Budget and funding sources estimate
 - (i) revenue and expenses
 - (ii) one time implementation expenses
 - (iii) sources of revenue (e.g. grants, government funds, student sources, private sources)
 - (iv) impact on internal resources (e.g. staffing, facilities, curriculum development, etc.)
- (f) Institutional capacity
 - (i) personnel (their experience and expertise)
 - (ii) existing development resources
 - (iii) additional development resources required (partnerships, donations, institutional funds)
 - (iv) capital requirements and facilities
 - (v) short and long term impact on the University

If the Department considers that the grounds for further consideration are satisfactory, it shall make a decision to recommend that the process proceeds to Stage 3. The task team shall continue its activities under the direction of the Head of Department.

Decision:

Proceed to Stage 3 under the direction of the Head of Department.

Stage 3: Development of the Full Proposal and Departmental Approval

This stage includes the detailed development of the proposal needed for the department to make an informed decision regarding the proposed programme. This stage can range from refinement of the concept to a much higher level of engagement such as extensive consultations, programme outcome development, curriculum development, and community/regional consultation. The task team shall identify the appropriate stakeholder groups for the proposed programme. Stakeholder groups may include:

- (a) employers or potential employers of graduates of the programme
- (b) public sector representatives
- (c) work-site experience hosts
- (d) community members
- (e) personnel from other University programmes and departments running similar programmes

The proposal shall continue to be revised based on feedback from stakeholders until the Department satisfies itself that it is suitable to move to the next stage.

Decision:

Proceed to Stage 4 under the direction of the Head of Department.

Stage 4: School Board of Studies Approval

The Head of the department in which the programme is to be offered shall present the proposal to the School Board of Studies. It is essential that the Head of Department liaises with the Head(s) of the other departments within the school and in other schools which are responsible for any

components of the proposed programme to be offered by other schools. This is to ensure that other units are aware of the proposed changes and of the potential implications for their students.

The School Board of Studies has primary responsibility for the academic scrutiny and the consideration of resource and academic planning implications. This includes responsibility for satisfying itself that the appropriate scrutiny has been undertaken at departmental level, including consideration of external input. Where unresolved issues are identified, they shall be referred to the department for resolution before a decision to proceed is made. If the Board of Studies considers that the grounds for further consideration are satisfactory, it shall make a decision to recommend that the process proceeds to Stage 5.

Decision:

Proceed to Stage 5 under the direction of the Dean of the School.

Stage 5 Scrutiny by the Quality Assurance Committee of Senate

The Quality Assurance Committee (QAC) is responsible, under the authority and on behalf of the Senate for validation of programmes and for ensuring that proposals for new academic programmes conform with the University's policies and practices in regard to credits, teaching, learning and assessment practices, and regulatory issues. Through this scrutiny, the QAC will ensure that programmes also conform to the requirements of the Zambia Qualifications Authority (ZAQA) and are consistent with the specifications of academic standards defined the Higher Education Authority (HEA) and other relevant national and international benchmarks.

If the QAC considers that the grounds for further consideration are satisfactory, it shall make a decision to recommend that the process proceeds to Stage 6.

Decision:

Proceed to Stage 6 under the direction of the Chairperson of the QAC.

Stage 6: Senate Approval

The Senate has overall responsibility for the scrutiny and approval of new programmes in the University as specified by the Higher Education Act of 2013. The Senate has delegated this function to specialised committees and a board as follows:

- (a) The Senate Curriculum and Examinations Committee for the Schools of Agricultural Sciences, Medicine and Veterinary Medicine;
- (b) The Senate Curriculum and Examinations Committee for the Schools of Education, Humanities and Social Sciences and Law;
- (c) The Senate Curriculum and Examinations Committee for the Schools of Engineering, Mines and Natural Sciences; and
- (d) The Board of Graduate Studies.

Decision:

The above-mentioned bodies will scrutinise and approve the proposals for new programmes on behalf of the Senate. The bodies shall present their decisions to the Senate for ratification.

Approved

B9. Guidelines for Preparing Programmes for Senate Approval and Accreditation by the HEA

B9.1 Background

These guidelines are intended to provide a framework for the preparation of undergraduate and taught postgraduate programmes in a format required for Senate approval and subsequent application for accreditation by the Higher Education Authority (HEA). It must be noted that the University shall submit to the HEA requests for accreditation of all its undergraduate and taught postgraduate programmes as specified in the Higher Education Act No. 4 of 2013. This shall be done as soon as a programme has been approved by the Senate and preferably before it is offered to students. The University shall also periodically submit to the HEA requests for accreditation renewal and review of all its programmes.

B9.2 Objectives

The objectives of these guidelines are to:

- (a) provide academic units with guiding principles and procedures for programme development and documentation;
- (b) ensure that programmes offered by the University are presented in a format and contain the information required for Senate approval; and
- (c) ensure that programmes offered by the University are presented in a format and contain relevant details required for accreditation by the HEA.

B9.3 Format and Content of Presentation of Academic Programmes

The format and content of the presentation of academic programmes of the University shall follow the template below.



University of Zambia

PRESENTATION OF ACADEMIC PROGRAMMES

1. CRITERIA FOR ACCREDITATION OF HIGHER EDUCATION LEARNING PROGRAMMES

Applications for accreditation of learning programmes under the Higher Education Act No. 4 of 2013 are required, under Part IV, Section 20(h) and Statutory Instrument No. 25 of 2016, to provide information on the learning programmes which the University wishes to offer. This information is related, but not limited, to the following:

- (a) Programme aims and objectives;
- (b) Curriculum;
- (c) Assessment;
- (d) Staff;
- (e) Facilities and teaching and learning support;
- (f) Internal quality assurance;
- (g) Financial resources;
- (h) Delivery and learning methods;
- (i) Acceptability;
- (j) Relevance; and
- (k) Regulations.

2. DETAILS OF HIGHER EDUCATION LEARNING PROGRAMMES

2.1 Programme Aims and Objectives

Programme Reference Number	To be assigned by the University
Name of Learning Programme	e.g. Bachelor of Agriculture in Animal Science

2.1.1 Introduction

The introduction articulates how the programme relates to the University's vision and mission, how it forms part of institutional planning and resource allocation and how it meets national requirements. In writing the introduction, consider the following, among other things:

- (a) the general area of expertise and the skills gaps that the programme addresses;
- (b) the nations policies with special reference to the national development programme; and
- (c) the contributions of the proposed programme to the profession, to academia, and to research and University life.

2.1.2 Rationale

The rationale provides the reasons or the justification for establishing the programme. Consider the following in writing the rationale:

- (a) provide a general description of the benefits that accrue to stakeholders by running the programme – students, staff, industries and the country in general;
- (b) Include the skills gap that the programme would address by considering the graduate and/or postgraduate trained manpower requirements of the country/sectors in the proposed fields of study;
- (c) provide evidence-based statements that are backed by results of a survey or results derived from any other suitable instrument or published report on the qualification obtained from programme of study;
- (d) indicate how the programme addresses the needs of students and other stakeholders and how the delivery of the programme is able to facilitate a balanced learning process that ensures that students are able to acquire cognitive and practical skills that are consistent with the educational goals and aspirations of the nation.

The rationale for developing a new programme or making major changes to an existing programme may be based on:

- (a) responses to feedback (e.g. from students, external examiners, employers, professional or statutory bodies etc.);*
- (b) a consequence of teaching staff changes;*
- (c) the need to meet strategic objectives;*
- (d) a result of programme review.*

2.1.3 Aim of the Programme

The aim of the academic programme is a broad-based general statement of the educational intent of the overall goal of the programme. The following may be considered in writing the aim of the programme:

- (a) thorough training in the principles and applications of given phenomena;
- (b) addressing social-economic issues;
- (c) contribution to national production/output in a specific area;
- (d) enhanced capacity in research; and
- (e) alignment of competences with the appropriate ZQF level.

2.1.4 Objectives of the Programme

Objectives of the programme are the measurable expected outputs. The opening statement for programme objectives shall read “***By the end of the programme, graduates will be expected to:***”. This shall be followed by a list of the actions or activities that successful graduates are expected to perform in specific, measurable, achievable and realist ways. The actions should also be done in a reasonable time-frame.

For example, for the Bachelor of Architecture (B.Arch.) programme, the objectives may be written as follows:

By the end of the programme, graduates are expected to:

- (a) apply scientific methods in architectural practice based on research and analysis of theoretical, social, political, economic, cultural and environmental contexts;*
- (b) develop and draw building concepts;*
- (c) implement building concepts in real space and as tangible structures; and*
- (d) follow complex building operations and coordinate the various technical disciplines involved in the construction process.*

2.2 Curriculum

2.2.1 Programme Learning Outcomes

Programme learning outcomes (PLO) indicate the expectations of student achievement. Programme learning outcomes include the skills (knowledge and understanding, cognitive skills and practical skills) that students are expected to acquire during the programme of study. Teaching, learning and assessment patterns should be linked to the programme learning outcomes in order to achieve the objectives of the various courses in the programme and check that these objectives are being met. Learning outcomes should address some of the following:

- (a) general knowledge and understanding;
- (b) skills and competences (cognitive and practical);
- (c) attitudes; and
- (d) other issues (Gender issues, ethics and professional conduct, etc).

2.2.2 Level of Qualification and Articulation in the Zambia Qualifications Framework

The ZQF is organised into ten qualification levels. Each level is described by a statement of learning achievement known as a level descriptor. The articulation provides a generic indication of learning achievements or outcomes that are appropriate to a qualification at a given level.

- 1 ZQF Level: Indicate the level of the qualification as provided by the ZQF. (For example, Bachelor's degrees are at Level 7 on the ZQF).
- 2 Indicate what is expected of graduates after their have attained this level of qualification.

For example: At end of the programme graduates with a BEng degree in Agricultural Engineering are expected to:

- (a) apply theoretical knowledge in engineering principles, sciences, research and in consultancy;*
- (b) design systems, components, or processes to meet desired needs for agricultural production within realistic constraints such as economic, environmental, social, political, ethical, health and safety, manufacturability, and sustainability;*
- (c) function on multi-disciplinary teams involving other engineers and professionals;*
- (d) identify, formulate, and solve diverse engineering problems with a specific bias to agricultural production;*
- (e) use the techniques, skills, and modern engineering tools necessary for engineering practice;*
- (f) impart positive and responsive out-reach attitudes, initiative and creative thinking in their mission as engineers;*
- (g) communicate effectively through the written and oral skills acquired; and*
- (h) understand ethical issues and their responsibility of serving the society and the environment at large.*

2.2.3 Teaching and Learning Plan

Course Code and Course Title

Course codes contains three letters and four digits. Course titles are short and descriptive phrases that provides an indication of the core subject matter covered. Consider the following in providing course codes and titles:

- (a) course codes shall be based on the coding adapted for the whole programme.
- (b) course titles should be very short and descriptive to give an indication of the core subject matter covered.
- (c) avoid the use of numbers in the course titles (e.g. the titles “Structural Engineering I” and “Structural Engineering II” may be converted to more descriptive titles that capture the themes of these two courses).

The following course coding system shall be applied:

- (a) Three letters:
Three letter that are closely related to the title of the programme
- (b) Four digits as follows:
 - the first digit represents the level of study, i.e. year of study, undergraduate or masters level;
 - the second digit indicates whether a course is a core course (0) or optional (1);
 - the third digit indicates the sequential numbering of the courses to uniquely identify each course; and
 - the fourth digit indicates the time of the academic year in which the course is to be taught (0 = Whole year; 1 = First half; 2 = Second half; 5 = Either half).

Notional Hours

Notional learning hours reflect the time spent on all of the activities relating to the programme and are calculated by those who are best qualified through experience and knowledge of the discipline, field of study, profession, trade or area of skill. The Zambia Qualification Authority (ZAQA) has recommended a system for representing credits allocated to each component of the qualification (i.e. courses) whereby one course credit represents **10 notional hours of learning**. This learning includes classroom, supervised and self-directed hours, assessment time, workplace training, assignment writing, online learning and fieldwork. A normal year of fulltime studies is considered to be 1200 hours giving 120 credits.

Credit Points

A credit is a numerical value on a national qualifications framework standard that represents the estimated time needed for a learner to achieve required specific learning outcomes. It is a measurement unit for ‘notional’ or ‘average learning’ time which includes all the activities which the learner is expected to undertake in order to achieve the learning outcomes. Such activities include but are not limited to:-

- (a) lectures;
- (b) tutorials;
- (c) laboratory sessions;
- (d) seminars; fieldwork; and
- (e) independent study and other work

An average fulltime student is expected to spend 40 to 50 hours on learning activities per week. Using such a guideline is intended to help departments balance the teaching and workload of a course and to guide students in assessing the approximate workload expected of them, in this instance 40 to 50 hours per week

Table B2: The Teaching and Learning Plan for Each Year of Study

Year No:

COURSE CODE	COURSE NAME	NOTIONAL HOURS													CREDIT POINTS
		Lectures		Tutorials		Laboratory sessions		Seminars		Fieldwork		Other		Total Hours	
		Hrs Per week	No. of Weeks	Hrs Per week	No. of Weeks	Hrs Per week	No. of Weeks	Hrs Per week	No. of Weeks	Hrs Per week	No. of Weeks	Hrs Per week	No. of Weeks		
Code 1	Course Name 1														
Code 2	Course Name 2														
Code 3	Course Name 3														
Code 4	Course Name 4														
Code 5	Course Name 5														
Code 6	Course Name 6														
	Total Credits														

2.3 Assessment

Assessment at programme level is the process of determining the extent to which students have learnt specific knowledge and skills in line with programme objectives. The various courses have their own assessment criteria, however, at the programme level, assessment of performance will show the course combinations that must be cleared and the overall comment that can be assigned in relations to the level of performance in the various courses.

- (a) Indicate the number and contribution to the overall summative assessment of the various courses.
- (b) Specify the University policies and arrangements that shall be used in the programme for moderation, validation and security of examinations.
- (c) In the case of a postgraduate programme, indicate the arrangements for assessments of dissertations and theses.

2.4 Staff

2.4.1 Staff Qualifications

Information on staff qualifications (academic and support staff) provides evidence that there is a complement of suitably qualified staff of sufficient number and seniority for the nature and field of the programme to ensure that all activities related to the programme can be carried out effectively. Academic members of staff consist of full-time and part-time teaching, research, librarian staff and visiting and honorary staff. It is expected that there a critical mass of experts as teaching and research staff on full-time or part-time basis. In meeting compliance with the requirements of the HEA, the following minimum standards for staff qualifications should be addressed:

- (a) The unit responsible for the programme shall identify a programme coordinator.
- (b) The programme coordinator shall be suitably qualified and shall have sufficient relevant experience and teaching competence, and his/her assessment competence and research profile shall be adequate for the nature and level of the programme.
- (c) The programme coordinator shall be trained and informed on the roles and responsibilities of the programme coordinator and shall be able to provide academic leadership for the programme.
- (d) All the academic staff (full-time, part-time, etc) teaching on the programme shall hold the required minimum qualifications and have appropriate experience to teach on the programme.
- (e) The academic and support staff complement shall be of sufficient number and seniority for the nature and field of the programme to ensure that all activities related to the programme can be carried out effectively.
- (f) The balance between full-time to part-time staff shall be appropriate.
- (g) Technical and support staff shall be adequately qualified for their roles in programme delivery.

Provide staff information by completing Table B3

Table B3 Staff information – academic and support staff (Please complete table below)

1. Programme Coordinator

Title: Surname: Other names:

Highest Qualification: Rank/Position

2. Academic Staff								
Title	Surname	Other names	Gender (M/F)	Highest Qualification	Teaching experience in Higher Education (Years)	Professional and work-place experience (Years)	Rank	Full Time (FT) Part Time (PT) Honorary (H) Temporary (T)

3. Support/Technical Staff								
Title	Surname	Other names	Gender (M/F)	Highest Qualification	Experience in Higher Education (Years)	Professional and work-place experience (Years)	Position	Full Time (FT) Part Time (PT) Temporary (T)

2.4.2 Staff Development Programme

The department running an academic programme shall maintain a rigorous staff development and training programme to ensure high standards in staff performance. In this regard, the Schools shall have a Staff Development Committee and ensure that:

- (a) the programme coordinator is trained and informed on the roles and responsibilities of the programme coordinator and is able to provide academic leadership for the programme;
- (b) the departments regularly identify graduates with outstanding performance and good standing to be retained as staff development fellows who may be employed as academic staff after appropriate training;
- (c) academic staff teaching on the programme are adequately trained in the various fields of specialisation; and
- (d) technical and support staff are adequately qualified and their knowledge and skills are regularly updated through workshops and short courses.

2.4.3 Staff Workloads

The workload for staff includes both teaching and non-teaching tasks. Consideration must be with respect to the average notional working week of 40 hours. Consider the following:

- (a) The unit (department/school) responsible for the programme shall make adequate provision for the programme in the workload allocation taking into account the number of academic staff attached to the programme and envisaged student enrolments.
- (b) The academic and support staff complement shall be of adequate number for the size of the student body.

2.4.4 Employment Prospects for Graduates

Employment prospects for graduates result from an analytical projection of the opportunities for employment of graduates of the programme. The analysis should be supported by relevant data and placed in the context of the target occupational, national and regional labour markets. Relevant data sources include:

- (a) systematic surveys of prospective employers;
- (b) occupational supply/demand projections from government or industry sources;
- (c) tabulations of job postings and advertising;
- (d) surveys of recruitment and graduate employment rates of similar programmes;
- (e) demographic projections;
- (f) government policy and employment in public service;
- (g) private sector involvement in the sector;
- (h) research and development at learning and research institutions;
- (i) future investment and growth in the sector;
- (j) regional and global perspective; and
- (k) opportunities for private entrepreneurship.

2.4.5 Delivery and learning methods

Delivery and learning methods are the details related to the mode to be used in providing the education and training and the various components associated with the delivery to achieve student learning. Consider the following details:

- (a) proposed modes of delivery and delivery sites;
- (b) delivery and facilitated learning methods; and
- (c) any practical, field based or work based components.

1.1 Projected Student Enrolment

This section indicates the student enrolment projections and assumptions made on the basis of programme demand and demographic analysis. The analysis should be supported by relevant data for the country or region, and might be derived from:

- (a) systematic questionnaire surveys of target groups;
- (b) application and enrolment summaries and trends for similar programmes currently offered by other institutions;
- (c) tabulations of unsolicited student inquiries and/or expressions of interest obtained at student recruitment events;
- (d) demographic projections for relevant populations.

1.2 Admission Criteria

The minimum entry requirements for the programme are related to the general provisions of the approved University Admissions Requirements but should be supplemented by special requirements for the programme. The following guidelines must be used:

- (a) provide the entry requirements for the programme;
- (b) relate the entry requirements for the programme to the general provisions of the approved University Admissions Requirements;
- (c) provide details of how recognition of prior learning (RPL) will be applied (if applicable) in the admission of candidates as specified by ZAQA; and
- (d) provide the enrolment plan for the programme (for the next 5 years).

1.3 Progression

Progression guidelines provide the way in which the curriculum of the programme promotes an organised progression so that the demands on the learner in intellectual challenge, skills, knowledge, and learning autonomy increase as they progress through the academic sessions. Indicate clearly the conditions for progression through the programme. The following guidelines should be used:

- (a) The progression from one academic session to the next level should indicate the courses/modules that need to be cleared.
- (b) The prerequisites for individual courses must be clearly indicated.
- (c) The allowable course combinations must be shown.
- (d) A flow chart showing the progression through the set of courses and the academic sessions and the critical decision points shall be indicated.

3. FACILITIES

Physical facilities are needed to deliver a learning programme. Those offering the programme need to demonstrate that there are facilities appropriate for the pursuit of learning and

research and for the acquisition of higher education that is responsive to the needs of the public. The following minimum standards should be addressed:

- (a) Adequacy of teaching and learning facilities in relation to the programme (classrooms, seminar rooms, work rooms, studios, etc.)
- (b) Availability of laboratory or special equipment required for the programme.
- (c) Compliance with health and occupational safety, and clinical regulations.
- (d) Availability of adequate IT infrastructure (hardware and software) in relation to staff and students.
- (e) Adequacy of library and other resources for this programme

4. TEACHING AND LEARNING SUPPORT

Teaching and learning support includes all academic support services for the enhancement of teaching and learning for the programme. The following minimum standards should be addressed:

- (a) Sufficiency of training provided to both staff and students in IT and usage of the library and other resource facilities.
- (b) Financial plan for the maintenance and upgrading of infrastructure/resources.
- (c) Suitable and sufficient venues, IT infrastructure and library resources are available for students and staff in the programme.
- (d) Policies ensure the proper management and maintenance of library resources, including support and access for students and staff.

5. INTERNAL QUALITY ASSURANCE

Internal quality assurance includes all the policies, processes and actions through which the quality of delivery of the programme is maintained and developed. This is also the process whereby measures are established which ensure that outcomes of academic programmes and activities are of a prescribed standard. The following should be addressed:

- (a) Identify the mechanisms for quality assurance of the academic programme by making reference to specific sections of the University Quality Assurance Framework.
- (b) Specify the departmental/school management arrangements for internal quality assurance .
- (c) Specify any University policies that have a bearing on the quality of the programme, courses, student academic conduct (e.g. attendance in given courses, requirements to clear continuous assessment, etc).

6. FINANCIAL RESOURCES

Financial resources are related to the budgetary provisions that are available and adequate to support the learning programme; Indicate the following:

- (a) The strategies and plans have been made for resource allocation to the programme.
- (b) The available financial resources to support the programme.

7. DELIVERY AND LEARNING METHODS

Delivery and learning methods relate to the adequacy and appropriateness of the modes of delivery aimed at meeting the stated learning outcomes of the programme. Delivery methods

that could be used include the face-to-face (lectures, tutorials, laboratory sessions, presentations, demonstrations, seminars, etc.), distance learning or online modes. Consider the following:

- (a) Proposed modes of delivery and delivery sites
- (b) Delivery and facilitated learning methods
- (c) Any practical, field based or work based components

8. ACCEPTABILITY

Acceptability relates to the interest, value and recognition that stakeholders such as relevant academic, industrial, professional and other communities attach to the programme in terms of its stated aims and learning outcomes, content and structure. Consider the following:

- (a) Stakeholders are identified, including relevant academic, industrial, professional and other communities
- (b) The actual or likely interests of these stakeholders in respect of the proposed qualifications are clearly identified

9. RELEVANCE

Relevance relates to the applicability of the qualification obtained by following the programme to the workforce and other stakeholder needs. The programme may show the education pathway which outlines further learning which a graduate of the programme can undertake and an employment pathway (formal or informal) which identifies areas in which a graduate may be qualified to work, or a contribution they may make to their community.

Consider the following:

- (a) How well skills gained align with employment needs.
- (b) Provision for educational pathways.
- (c) Provisions for employment pathways, including career advancement.

10. REGULATIONS

Regulations provide information about how the programme is managed and student admissions. Regulations also explain how the qualification is awarded. Regulations also indicate what is expected from the programme and what is expected from students. Consider the following:

- (a) Entrance Requirements.
- (b) Curricula Regulations.
- (c) Examinations.
- (a) Progression (grading and awarding credit towards a qualification or exemptions from specific requirements)
- (d) Degree Regulations (pre-requisites, optional, compulsory/elective components, practical, theoretical work).
- (e) Degree Classification.

11. COURSE DESCRIPTIONS

A typical course description shows the course code and title followed by various subtitles under which course details and the requirements for completing the course are provided. Courses descriptions should be arranged alphabetically progressing through the various years

of study of the programme. Provide course descriptions for each course of the programme, including:

10.1 The Background

This is a brief description of the general area of expertise and the skills gaps that the course addresses. Provide a relationship of the course to other courses in the programme, for example, a foundation course may cover the basic data and principles and set the foundation for a more advanced course, an intermediate course may provide theoretical grounding while an advanced course may provide knowledge in the applications of concepts and theories.

10.2 Rationale for the Course

To ensure that the courses makes strategic sense for the department, school and the University as a whole, consider a number of key points, such as:

- Identifying the intention behind the development of the course – is it addressing a gap in the market, i.e. is there evidence of student or employer demand for the knowledge and skills that the course will provide, etc?
- Considering how the course will fit into the strategic plans of the University and the School.
- Identifying what differentiates this course from those offered elsewhere.
- Considering the possible impact of this course on other courses offered by the University.
- Identifying the target students for the course.

10.3 Course Learning Outcomes

The course learning outcomes (CLO) are the measurable objectives of the course. The opening statement for outcomes shall read “*At the end of the course, students will be expected to:*”. This is followed by a list of the actions and activities that students who have passed the course are expected to perform. These should be specific, measurable, achievable, realist and time-bound. Consider the following in stating the CLO:

- (i) Course Learning Outcomes should be clearly and transparently linked to methods of assessment and to the Programme Learning Outcome (PLO).
- (ii) Course learning outcomes should articulate what the student will have learned or be able to do as a result of successfully completing a particular course and can best be expressed by using the format; active *verb* + *an object* + *a qualifying phrase that provides context*.
- (iii) Bloom’s Taxonomy (1956), given in Table B4, provides a useful framework for expressing course learning outcomes. Fill the matrix given below for each course of the programme on the basis of topics and concepts.
- (iv) Provide the CLO for each course on the basis of the entries in Table B4.

Table B4 Bloom’s Taxonomy of the Knowledge/Cognitive Dimension Matrix

Knowledge Dimension	Cognitive Process					
	<i>Remember</i>	<i>Understand</i>	<i>Apply</i>	<i>Analyse</i>	<i>Evaluate</i>	<i>Create</i>
<i>Factual</i>						
<i>Conceptual</i>						
<i>Procedural</i>						
<i>Meta-cognitive</i>						

10.4 Prerequisites for the course

Prerequisites are courses or levels of achievement that a student is expected to have completed successfully prior to enrolling in a course. Co-requisites are courses which should be taken concurrently by students who have not previously completed the co-requisites.

Indicate the prerequisites for each course in the programme. Where the course does not have a prerequisite, this must be indicated with the word ‘*None*’.

10.5 Course Content

The course content includes the major topics and the order in which they are taught. The desired content must be matched with the course learning outcomes or objectives and the overall learning outcomes of the programme in which the course is offered. Each topic should show the concepts that are taught to students. Provide the following:

- (a) A list of topics to be covered in the course.
- (b) A list of concepts to be covered under each topic.

10.6 Assessment

Course Assessment is the process of determining the extent to which students have learnt specific knowledge and skills in line with course objectives. Indicate the number and contribution to the overall summative assessment of the various components of the course assessment given in Table B5.

Table B5: Course Assessment Components

Component of assessment	Number	Contribution to overall grading (%)
1. Continuous assessment		
Assignments		
Laboratory sessions		
Fieldwork sessions		
Tests		
Other components (specify)		
Sub-total of continuous assessment		
2. Final examination		

10.7 Prescribed Books

Prescribed textbooks are the books which are listed as essential reading or reference for success in the course. Provide a minimum of 2 textbooks published in the last 10 years using the following format:

1. Masters G.M. (2004), *Renewable and Efficient Electric Power Systems*, John Wiley & Sons, Hoboken, New Jersey, USA: ISBN 0-471-28060-7
2. Garg H.P., and Prakash J., (2007), *Solar Energy - Fundamentals and Applications*, Tata McGraw-Hill, New Delhi, India, ISBN 0-07-463631-6.

10.8 Recommended Books

Recommended textbooks are not essential but are extra reading materials that students who wish to gain more or a fuller background to the topics in the course may use as reference materials. Provide a minimum of 2 textbooks published in the last 10 years following the format given for prescribed books.

10.9 Journals

Journals published in specific fields of study contain refereed papers or articles providing research findings and innovations. These are particularly useful for postgraduate students and undergraduate students taking project courses. Identify journals for further reading. Use the following format:

1. Journal of Science and Technology, The University of Zambia Press, ISSN 1027-4928
2. The Zambian Engineer – Journal of the Engineering Institution of Zambia, Engineering Institution of Zambia, ISSN 1608-6678

B10. Guidelines for Internal Moderation of Examinations

B10.1 Background

Moderation of examination papers ensures that their form and content are appropriate and valid in terms of standards, assessment of learning outcomes, syllabus coverage, level of challenge, and fairness to students. Course lecturers are responsible for the formatting and content of their examination papers, so they should check the paper for accuracy, subject matter, spelling and grammar, using the format and guidelines supplied by the University Senate.

B10.2 Procedure for Moderation of Examination Papers

- (a) The Head of Department shall prepare a list of examination papers received and arrange for internal moderation.
- (b) The Head of Department will appoint moderators and inform the Dean of School accordingly. Where a course is shared, the nominated course coordinator should lead the moderation activity.
- (c) Moderators will respond back to the lecturer or course coordinator confirming that the examination is appropriate or proposing amendments.
- (d) If amendments are recommended these will be communicated to the lecturer/course coordinator for their action.
- (e) The lecturer/course coordinator must retain a copy of the moderator's comments and responses. This may require several iterations until an agreement is arrived at.
- (f) At the end of this process, a standard form for moderation of examination papers will be completed by the moderator and submitted to the Head of Department before the prescribed deadline.
- (g) The course lecturer will make any necessary amendments and submit the final examination to the Head of Department.

B10.3 Standard Form for Moderation of Examination Papers

The form for use in moderation of examination papers is given below.



University of Zambia

INTERNAL EXAMINATION MODERATION

School :

Department :

Course Code and Title:

Coordinator/Lecturer:

Internal Moderator:

Percentage contribution of examination mark to final course mark:

Item	Description	Yes	No	N/A	Comments
1	Conformity with standard front sheet of the examinations template				
2	Appropriate examination rubric/student instructions				
3	Clear and typographic free question layout				
4	Clear allocation of marks per question and question sections				
5	Appropriate solutions consistent with question marking scheme				
6	Appropriate coverage of course content/learning outcomes				
7	Appropriate academic standard/level				
8	Course outcomes are being assessed				
9	Examination duration is appropriate				

Signature of Moderator:

Date:

Response and action to Moderator's Comments:

Signature of Examiner:

Date:

Final Signature of Internal Moderator:

Date:

(Please note that signing the internal moderation process as complete indicates the examination paper is suitable to be forwarded to the external examiner)

B11. Guidelines for Self-Assessment at Programme Level

B11.1 Background

The assessment of academic programmes shall aim at finding evidence that the programmes are meeting their objectives. Internal assessment of programmes shall also form the first step before application for programme accreditation by the Higher Education Authority (HEA). The programme assessment report shall present a reflective, analytical and self-critical analysis of the record and performance of a programme and shall follow the processes given in Section 4.5 of the QAF.

B11.2 Objectives

The objectives of the assessment of programmes are to:

- (i) assess the relevance of programmes in meeting the requirements of stakeholders and in supporting the university's vision and mission;
- (ii) provide an internal means for accountability of academic programmes;
- (iii) provide a mechanism for evaluating the effectiveness of programmes in promoting high standards of student and staff academic and scholarly achievement;
- (iv) foster continuous improvement of the quality and effectiveness of programmes; and
- (v) provide a means for maintaining excellence in teaching, learning and research.

B11.3 Guiding Principles

The guiding principles for in assessment of programmes include:

- (a) undertaking the assessment after the first cohort of students has completed the programme and maintaining this time-frame unless/until a major review has been made;
- (b) undertaking the assessment in response to significant changes in stakeholder requirements;
- (c) undertaking the assessment in response to changes in University policy;
- (d) ensuring that the assessment report is timely, comprehensive, reflective, analytical, evaluative and focused on the assessment objectives; and
- (e) ensuring that the results of the assessment are used for improving programme quality.

B11.4 Identification of Best Practices

The best practices in programme development and implementation include addressing the following:

- (a) expected learning outcomes;
- (b) programme specification;
- (c) programme structure and content;
- (d) teaching and learning strategies;
- (e) student assessment;
- (f) quality of academic staff;
- (g) quality of the support staff;
- (h) student profile;
- (i) student advice and support;
- (j) facilities and infrastructure;
- (k) quality assurance of teaching and learning;
- (l) staff development activities;
- (m) stakeholders feedback;
- (n) achievements of graduates; and
- (o) stakeholders satisfaction.



University of Zambia

ACADEMIC PROGRAMME SELF ASSESSMENT

GENERAL PROGRAMME DETAILS

1	Name of the programme	
2	Abbreviated title	
3	Programme Reference Number	
4	Department in which the programme is housed	
5	School in which the programme is housed	
6	Qualification designation (Bachelor of Science or Diploma)	
7	Qualifier (Chemistry or Web Design)	
8	Second Qualifier (Organic Chemistry)	
9	ZQF level	
10	Total number of credits	
11	Minimum duration full time years months	
12	Is the qualification registered by ZAQA	
13	ZAQA registration number	

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria. The quality of the different aspects shall be assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

ITEM	DESCRIPTION	SCORE				
1	Expected Learning Outcomes	1	2	3	4	5
1.1	The expected learning outcomes have been clearly formulated and translated into the programme					
1.2	The programme promotes life-long learning					
1.3	The expected learning outcomes cover both generic and specialised skills and knowledge					
1.4	The expected learning outcomes clearly reflect the requirements of the stakeholders					
2	Programme Specification	1	2	3	4	5
2.1	The university uses programme specification					
2.2	The programme specification shows the expected learning outcomes and how these can be achieved					
2.3	The programme specification is informative, communicated, and made available to the stakeholders					
3	Programme Structure and Content	1	2	3	4	5
3.1	The programme reflects the vision and mission of the University					
3.2	The programme content shows a good balance between generic and specialised skills and knowledge					
3.3	The contribution made by each course to achieving the learning outcomes is clear					
3.4	The courses are logically sequenced and prerequisite courses are identified					
3.5	The programme content reflects the depth and breadth of the professional and technical preparation required of its graduates					
3.6	The programme clearly shows the basic courses, intermediate courses, specialised courses and the final project, thesis or dissertation					
3.7	The programme content is up-to-date, responds to the needs of the country and recent developments in the profession					

ITEM	DESCRIPTION	SCORE				
4	Teaching and Learning Strategy	1	2	3	4	5
4.1	The faculty or department has a clear teaching and learning strategy					
4.2	The teaching and learning strategy enables students to acquire and use knowledge academically					
4.3	The teaching and learning strategy is student oriented and stimulates quality learning					
4.4	The teaching and learning strategy stimulates action learning and facilitates learning to learn					
5	Student Assessment	1	2	3	4	5
5.1	Student assessment covers student entrance, student progress and exit tests					
5.2	Student assessment uses a variety of methods					
5.3	Student assessment reflects the expected learning outcomes and the content of the programme					
5.4	The criteria for assessment are explicit and well known					
5.5	The assessment methods cover the objectives of the curriculum					
5.6	The standards applied in the assessment are explicit and consistent					
6	Academic Staff Quality	1	2	3	4	5
6.1	The staff are competent for their tasks					
6.2	The staff are sufficient to deliver the curriculum adequately					
6.3	Recruitment and promotion are based on academic merits					
6.4	The roles and relationship of staff members are well defined and understood					
6.5	There are regulations on the attendance of the staff in their respective classes					
6.6	Duties allocated are appropriate to qualifications, experience and skills					
6.7	Staff workload and incentive systems are designed to support the quality of teaching and learning					
6.8	Accountability of the staff members is well regulated					
6.9	There are provisions for review, consultation and redeployment					
6.10	Termination and retirement are planned and well implemented					
6.11	There is an efficient staff appraisal system					
7	Support Staff Quality	1	2	3	4	5
7.1	The library staff are competent and adequate in providing a satisfactory level of service					
7.2	The laboratory staff are competent and adequate in providing a satisfactory level of service					
7.3	The computer facility staff are competent and adequate in providing a satisfactory level of service					
7.4	There are regulations on the attendance of the staff in their respective places of work					
8	Student Quality	1	2	3	4	5
8.1	There is a clear student intake policy					
8.2	The student admission process is adequate					
8.3	The actual study load is in line with the prescribed load					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
9	Student Advice and Support					
9.1	There is a programme handbook that is easily accessible to all students following the programme					
9.2	There is an adequate student progress monitoring system					
9.3	Records of students' class attendance are filed and used for monitoring, guidance and counseling purposes					
9.4	Students get adequate academic advice, support and feedback on their performance					
9.5	Mentoring for students is adequate					
9.6	The physical, social and psychological environment for the student is satisfactory					
10	Facilities and Infrastructure	1	2	3	4	5
10.1	The lecture facilities (lecture halls, small course rooms) are adequate					
10.2	The library is adequate and up-to-date					
10.3	The laboratories are adequate and up-to-date					
10.4	The computer facilities are adequate and up-to-date					
10.5	Environmental health and safety standards meet requirements in all aspects					
11	Quality Assurance of Teaching and Learning Process	1	2	3	4	5
11.1	The curriculum is developed by all academic staff members					
11.2	The curriculum development involves students					
11.3	The curriculum development involves the labour market					
11.4	The curriculum is regularly evaluated at reasonable time periods					
11.5	Lecturers, courses and curriculum are subject to structured student evaluation					
11.6	Feedback from various stakeholders is used for improvement					
11.7	The teaching and learning process, assessment schemes, the assessment methods and the assessment itself are always subject to quality assurance and continuous improvement					
12	Staff Development Activities	1	2	3	4	5
12.1	There is a clear plan on the needs for training and development of both academic and support staff					
12.2	The training and development activities for both academic and support staff are adequate to the identified needs					
13	Stakeholders Feedback	1	2	3	4	5
13.1	There is adequate structured feedback from the labour market					
13.2	There is adequate structured feedback from the alumni					
13.3	There is adequate structured feedback from the staff					
14	Achievements of Graduates	1	2	3	4	5
14.1	The pass rate is satisfactory and dropout rate is of acceptable level					
14.2	Average time to graduate is satisfactory					
14.3	The majority of the graduates succeed in gaining employment in jobs related to their education within one year after graduation					
14.4	The level of research activities by academic staff and students is satisfactory					

15	Stakeholders Satisfaction	1	2	3	4	5
15.1	The feedback from stakeholders is satisfactory					

Adapted from : ASEAN University Network (2011), Guide to AUN Actual Quality Assessment at Programme Level, Ver. 2.0, AUN Secretariat, Bangkok, Thailand.

ACADEMIC STAFF AND THEIR QUALIFICATIONS

Title	Surname	Initials	Gender (M/F)	Highest Qualification	Rank	FT/PT/H/T

Note: The entries may be ordered by rank and then by surname
 FT: Full Time; PT: Part Time; H: Honorary; T: Temporary

STAFF AND STUDENT PUBLICATIONS FOR THE ACADEMIC YEAR

Academic Year:

*Author(s)	Title of publication	**Type publication	Journal and Publisher Details

Note:

The table may be repeated for several academic years

*Author(s): Indicated by surname and initials - joint authorship must also be indicated.

**Type of publication (Book, chapter in a book, refereed journal article, conference proceedings, etc)

STUDENT ENROLMENT FOR THE ACADEMIC YEAR

Academic Year:

Year of Study	Number of students		Total
	Male	Female	

Note: The table may be repeated for several academic years

GRADUATES OF THE PROGRAMME

Academic Year:

Degree classification (if applicable)	Number of graduates		Total
	Male	Female	
Total			

Note: The table may be repeated for several academic years

B12. Guidelines for Student Assessment of Teaching

B12.1 Introduction

The assessment of teaching is meant to improve the effectiveness of teaching and learning in the University of Zambia. The responses are strictly anonymous and do not affect the student's academic standing in the course. Forms bearing any form of identification of the student (e.g. name, student number, identity card number, etc) will be disqualified. The students are expected to answer the questionnaire in an objective and fair manner as far as possible, without prejudice and bias.

B12.2 Generic Questionnaire

The approved web-based questionnaire for assessment of teaching shall be used for these surveys. The *Public Questionnaire module* in Moodle shall be used and aliases shall be placed in all courses taught in the University.

B12.3 Administration of the Questionnaire

- (a) Students should be requested to respond once to each questionnaire in a specific course and for a specific lecturer at the end of classes.
- (b) A dedicated computer room within the School should be set aside for this purpose. However, students may also access the questionnaire at any other time using their laptops, smart phones, tablets or other gadgets with internet connection.
- (c) A timetable should be prepared showing when students should access the computer room.
- (d) The period for receiving students' responses shall be 2 weeks from the time the classes end.

B12.4 Analysis of Results and Reporting

- (a) All responses shall be received by the Quality Assurance Directorate and downloaded from the questionnaire into a text file for analysis.
- (b) The data will be analysed and average values of the responses will be evaluated to indicate how the lecturer has fared with respect to each attribute.
- (c) A confidential report shall be generated and sent to Deans of Schools for each lecturer that participated in the survey for onward transmission to Heads of Departments.
- (d) The Heads of Departments shall make their comments on the reports.
- (e) The Dean of the School should receive a report from the Head of Department for further action.

B12.5 The Questionnaire

The questionnaire used for student assessment of teaching is given below.



University of Zambia

STUDENT ASSESSMENT OF TEACHING

INTRODUCTION

- The responses are strictly anonymous and do not affect your academic standing in the course.
- You are expected to answer the questionnaire in an objective and fair manner as far as possible, without prejudice and bias.
- The quality of the different aspects shall be assessed on a scale of 1-5. The scores have the following meaning:

Score	Meaning	Action Required
1	Very poor	immediate improvements must be made
2	Poor	improvements are necessary
3	Satisfactory	improvements may be necessary
4	Good	maintain as good practice
5	Excellent	use as an example of good practice

INSTRUCTIONS

Please read the instructions carefully and follow them strictly.

- Do not write your name, or any form of identification on this form. Forms bearing any form of identification (e.g. name, student number, identity card number, etc) will be disqualified.
- Consider each item carefully and tick in one of the boxes against each assessment criteria the response that best represents your feeling or impression

COURSE CODE:.....

NAME OF LECTURER:

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Punctuality of the lecturer in starting and ending lectures/tutorials					
2	Attendance at scheduled lectures, laboratory sessions and tutorials					
3	Explanation of course objectives at beginning of course					
4	Explanation of course structure and expected learning outcomes					
5	Ability to explain new concepts					
6	Clarity of communication					
7	Ability to arouse interest in subject matter and providing extra reading					
8	Use of teaching aids and electronic media					
9	Organisation of teaching materials					
10	Use of appropriate examples and illustrations					
11	Encouragement of student participation and requests for questions					
12	Consideration of different views and ideas					
13	Dealing effectively with questions					
14	Coverage of course outline					
15	Knowledge of the subject matter					
16	Fairness in grading assessment work (assignments, lab reports, tests, etc)					
17	Providing feedback on work submitted for assessment in good time					
18	Accessibility for student consultations outside of lecture/tutorial time					



STUDENT EVALUATION OF TEACHING REPORT

CONFIDENTIAL

NAME OF LECTURER:
 COURSE:
 PERIOD:
 NUMBER IN CLASS:
 RESPONDENTS:

Key:
X (Average Score)
 $X \geq 4.5$ Very Good
 $4.5 > X \geq 3.5$ Good
 $3.5 > X \geq 2.5$ Satisfactory
 $2.5 > X \geq 1.5$ Poor

Item No.	Description	Average Score	Comment	HoD's Comment
1	Punctuality of the lecturer in starting and ending lectures/tutorials			
2	Attendance at scheduled lectures, laboratory sessions and tutorials			
3	Explanation of course objectives at beginning of course			
4	Explanation of course structure and expected learning outcomes			
5	Ability to explain new concepts			
6	Knowledge of the subject matter			
7	Clarity of communication of the subject matter			
8	Ability to arouse interest in subject matter and providing extra reading			
9	Use of teaching aids and electronic media			
10	Organisation of teaching materials			
11	Use of appropriate examples and illustrations			
12	Encouragement of student participation and requests for questions			
13	Consideration of different views and ideas			
14	Dealing effectively with questions			
15	Coverage of course outline			
16	Fairness in grading assessment work (assignments, lab reports, tests, etc)			
17	Providing feedback on work submitted for assessment in good time			
18	Accessibility for student consultations outside of lecture/tutorial time			
20	Overall Average Score			

HoD's Comment:

Signature:

Dean's Comment

Signature:

B13. Guidelines for Resolution of Student Academic Complaints

B13.1 Background

These guidelines are intended to explain the process for resolution of academic complaints, also referred to as appeals. Before making a formal complaint students are encouraged to talk to their lecturers or to seek advice from the Head of Department where they are registered. Advice on the appeals process can also be obtained from the Quality Assurance Directorate.

The University's complaints procedure is founded on the assumption that University staff will at all times deal thoughtfully and sympathetically with students' problems, so as to minimise the occurrence of academic complaints. Students are encouraged to seek advice from their schools and raise matters informally. Where a complaint is not resolved informally, the formal procedure provided in these guidelines provides for resolution of the matter.

B13.2 Scope

These guidelines are intended to deal with student academic complaints and apply to all students. Parties to a dispute include students, course lecturers and coordinators, and supervisors. These guidelines do not override the provisions in other Regulations and must be interpreted so as to be consistent with other University Regulations and Statutes.

B13.3 Procedure for Resolution of an Academic Complaint

Stage 1: Receipt of Students Academic Complaint

- (a) All academic appeals against the decision of Senate shall be sent to the Director, Quality Assurance using standard forms within 14 days of publication of results.
- (b) Upon receipt of an appeal, the Director, Quality Assurance shall write to the Dean of the appropriate school regarding the appeal. The Dean shall acknowledge in writing the receipt of the appeal within 5 week days.
- (c) The University reserves the right not to continue with the appeals resolution process if the appeal is conducted in a way which is abusive, offensive, defamatory, aggressive or intimidating, or pursued in an unreasonably persistent or vexatious manner. If there is good cause to consider that this is the case at any stage of the process, the matter shall be reported to the Student Disciplinary Committee for consideration and the procedure for resolution of the appeal shall be suspended pending the outcome of the student disciplinary process. If the Student Disciplinary Regulations are found to have been breached in the context of a appeal, the Quality Assurance Directorate may decide to close the matter and inform the appellant accordingly.

Stage 2: Departmental Consultation Process

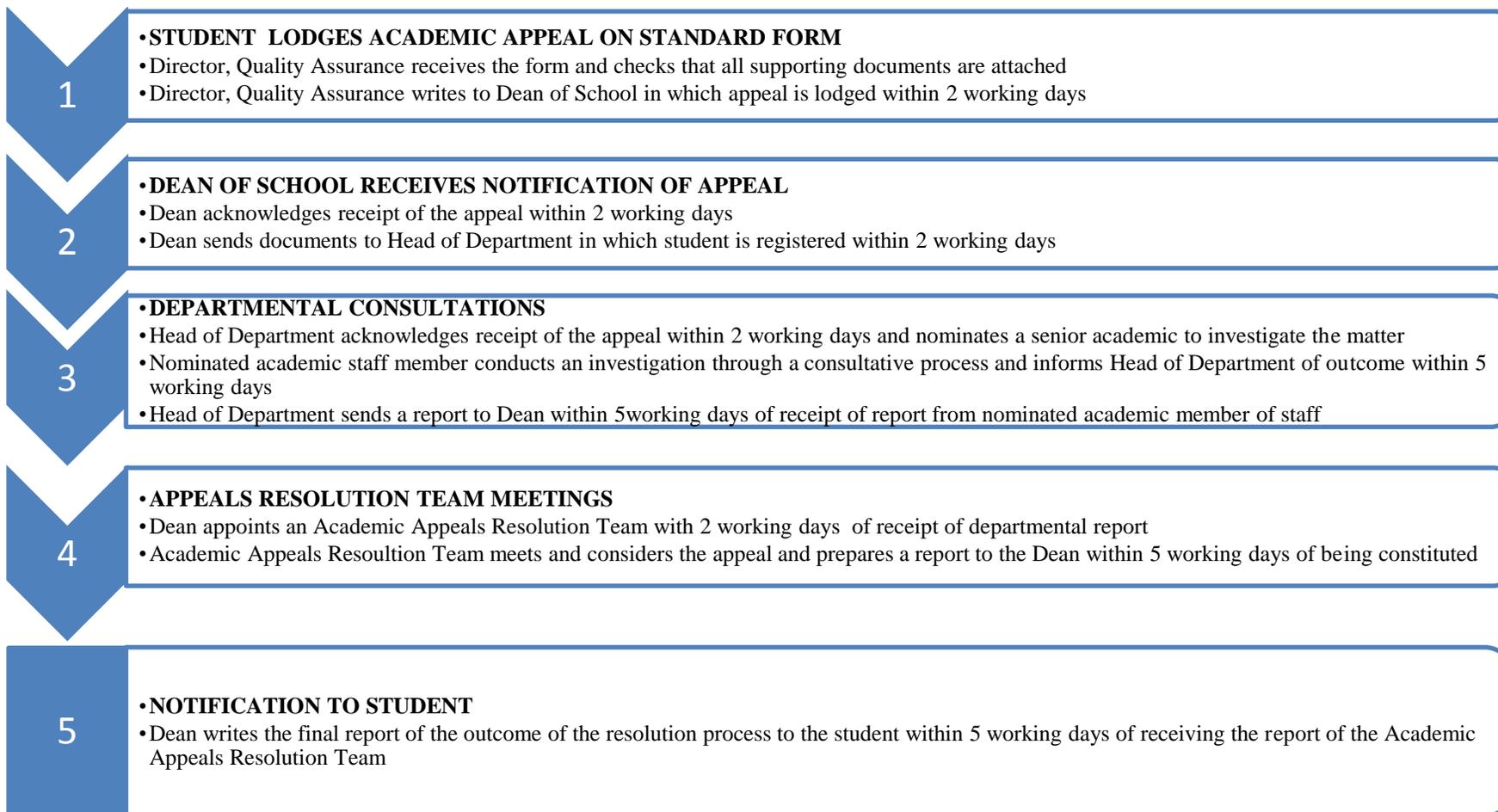
- (a) The Dean of the School will officially request the Head of the department in which the appeal is registered to investigate the matter and produce a report within 10 week days.
- (b) The Head of Department will acknowledge in writing the receipt of the request from the Dean, as soon as possible, and will immediately initiate a review by seeking a written report from the staff member(s) against which the appeal is being issued. The Head of Department shall nominate a senior member of staff who has had no prior involvement in the matter under consideration to act on his or her behalf as an investigating officer in respect of a appeal. In his/her acknowledgement letter, the Head shall advise the Dean of the identity of the investigating officer.

- (c) If the Head of Department is the subject of investigations, he or she will delegate the functions related to the appeal to any senior member of staff in the department.
- (d) The investigating officer is empowered to undertake all investigations and interviews required to investigate the appeal and to report the findings to the Head of Department. The outcome of the investigations shall form the report to be submitted to the Dean by the Head of Department.
- (e) The appellant may be called for an interview during the period of investigation. The appellant may be accompanied to the interview by one representative or friend. Where it is not practicable for the appellant to be called for interview (for example where the appellant is abroad), the investigating officer may, in consultation with the appellant, refer any questions arising from their investigations to the appellant in writing, including by email.
- (f) So far as is practicable, the Head of Department, will respond to the appeal in full within 10 week days of receipt of the appeal from the Dean, setting out in writing his or her findings and recommendations in relation to the matter and the reasons for the recommendations. If the Head of Department is unable to provide a decision within 10 working days, he or she shall write to the Dean setting out the reasons for the delay and the anticipated date for the issuing of recommendations.

Stage 3: Appeals Resolution Panel Meetings

- (a) The Dean of the School shall within 2 days of receipt of the report of the outcome of departmental consultations, appoint an Appeals Resolution Panel to consider the report and provide recommendations.
- (b) The Appeals Resolution Panel meetings will be convened to give the matter due consideration. The panel will invite the Head of Department to its first meeting to give a verbal report of the outcome of departmental consultations. The panel will give the Head an opportunity to answer any questions that arise during the meeting.
- (c) If it is determined that there is a prima facie case for further consideration of the appeal, the panel may institute further investigations of its own and may call any witnesses its deems fit to a hearing.
- (d) A fair hearing does not have to be like a traditional, formal judicial proceeding and should not be overly technical. It should provide a fair and reasonable opportunity for the parties to present their respective cases to the panel for recommendation. A fair hearing process should be prompt. Normally, the hearing process should be concluded within 7 days of the receipt of the appeal. The appellant may be called to present their case during a hearing. The appellant may be accompanied by an advocate or advisor who is not a qualified legal practitioner or attorney.
- (e) When the panel is satisfied with all evidence presented to it in relations to the complaint, it shall deliberate and issue a letter addressed to the Dean regarding the outcome of the deliberations which shall constitute a completion of procedures. The Dean shall then inform the Director, Quality Assurance of the outcome.
- (f) Students will receive a formal notification of the outcome of the resolution process within five week days after the Dean's response. The notification will be in form of a letter explaining the outcome and the reasons for it. The student should therefore expect a response within 28 days, excluding weekends and public holidays.

1.0 FLOWCHART FOR RESOLUTION OF STUDENTS ACADEMIC APPEALS





University of Zambia

FORM FOR LODGING AN ACADEMIC APPEAL

SECTION 1. STUDENT DETAILS

Surname:	Click here to enter text.	Other name(s):	Click here to enter text.
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Computer number:	Click here to enter text.
-------------------------	---------------------------

Date of submission:	Click here to enter text.
----------------------------	---------------------------

Academic decision you are appealing against:

Change of comment	<input type="checkbox"/>
Change of grade	<input type="checkbox"/>
Missing results	<input type="checkbox"/>

Level of study

Undergraduate (e.g. BA, BSc, BEng)	<input type="checkbox"/>
Taught Postgraduate (e.g. MA, MSc, MBA)	<input type="checkbox"/>
Postgraduate Research (e.g. PhD, MPhil, MSc)	<input type="checkbox"/>

Mode of study:

Full-time	<input type="checkbox"/>
Part-time	<input type="checkbox"/>
Distance Learning	<input type="checkbox"/>

Course Code:	Click here to enter text.	Course start date (mm/yy):	Click here to enter text.
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Undergraduate students only: current year of study (e.g. 1st, 2nd):	Click here to enter text.
--	---------------------------

Contact details for correspondence relating to your appeal (communication will be by email):

Email address:	University email	Click here to enter text.
	Alternative email (e.g. gmail)	Click here to enter text.
Postal address:	Click here to enter text.	
	Click here to enter text.	
	Click here to enter text.	
Telephone:	Click here to enter text.	

SECTION 2. GROUNDS FOR APPEAL

You may only appeal on the following grounds [click relevant box(es) to select]:

- A. that there were circumstances materially affecting your performance, for which supporting evidence exists, which were not known to the Board of Examiners or other academic body at the time its decision was taken and which it was not reasonably practicable for you to make known beforehand
- New evidence of significant mitigating circumstances** (if you select this box, complete all boxes in section 3A);
- B. that there appears to you to be evidence that procedural irregularities in the conduct of examination or assessment procedures of such a nature as to create a reasonable possibility that the result may have been different if it had not occurred
- Evidence of procedural irregularities** (if you select this box, complete section 3B);
- C. that there appears to you to be evidence of prejudice or bias or lack of proper assessment on the part of one or more of the examiners
- Evidence of prejudice or bias** (if you select this box, please complete section 3C).

Note: An appeal that questions the academic or professional judgement of those responsible for assessing a students' academic performance or professional competence is **not permitted**.

Section 3. Appeal Details

Use the relevant box(es) below to **explain in full** the grounds on which your appeal is based:

- Describe in detail the circumstances you wish to raise;
- Identify the specific examinations/assessments affected and explain **how** they were affected;
- Be specific about the dates of the circumstances upon which your claim is based;
- Include documentary evidence to support your claim, where appropriate.

Failure to do so may result in your appeal not being considered.

Note: the boxes will expand to accommodate your text.

3A New Evidence of Significant Mitigating Circumstances (complete all boxes in this section)

Only complete this section if you have genuine new evidence

If you submitted evidence before the meeting of the Board of Examiners but believe it has not been adequately taken into account this is a potential procedural irregularity and you should complete box 3B.

(i) Detailed description of your claim

Click here to enter text.

(ii) Relevant third party evidence to support your appeal

List the documents you are submitting with this form (e.g. medical certificate, death certificate). Documentary evidence should be scanned and submitted electronically wherever possible.

- Medical evidence must be from a the University of Zambia Medical Officer
- Evidence must be supplied in English. If the original is in another language, you must obtain and submit a **certified** copy in English.
- The evidence should be dated.

Click here to enter text.

(iii) Explanation of why it was not possible to inform your department about these circumstances before the Board of Examiners met and evidence to substantiate your claim. If there is no clear evidence for this, your appeal may be rejected.

Click here to enter text.

3B Evidence of Procedural Irregularity

A ‘procedural irregularity’ means that the examining and assessment process was not conducted according to the University’s approved procedures. Examples might include errors in an examination question paper, or with the administration of an examination, or a failure to calculate the marks correctly, or to consider any mitigating circumstances submitted by you before the due date.

Detailed description of your claim

Click here to enter text.

3C Evidence of Prejudice or Bias**Detailed description of your claim and substantiating evidence**

You should bear in mind, however, that:

- the University’s examinations of undergraduate and taught postgraduate students are conducted anonymously in order to prevent such occurrences;
- the complaints procedure exists to be utilised in relevant cases and the Appeal Resolution Panel will wish to know why any long-standing problems have not been aired in this context.

Click here to enter text.

Section 4. Checklist

All appeals: Click box to select

- I have read and understand the ‘[Academic Appeals: A Guide for Students](#)’
- I have provided on/with this form **all** the information that I wish the Panel to consider in relation to my appeal

Additionally for appeals on the grounds of mitigating circumstances (appeal ground A):

Click box to select

- I have explained and provided evidence, where appropriate, of why it was not possible to inform my department earlier about the circumstances I have described (i.e. why I missed its deadline for the submission of mitigating circumstances claims).

- I have enclosed appropriate third party documentary evidence to substantiate my claim of mitigating circumstances. *Note.* Documentary evidence should be submitted electronically wherever possible.

Section 5. Declaration

By submitting this form: I declare that the above information is accurate and true; I confirm that the details of this appeal are complete and can be passed on to the relevant University staff considering my appeal; I confirm that I have included relevant third party documentary evidence to support my case (where applicable).

Section 6. Submission of the appeal form

Submit the completed appeal form and supporting evidence to the email address given below to be received **before** the expiry of the appeal submission deadline. Appeals should be submitted electronically wherever possible.

Submit the appeal to: Appropriate Dean of the School

Adapted from: University of Leicester, *Academic Appeals Procedure*, Leicester, UK.

Website: <http://www2.le.ac.uk/offices/sas2/regulations/appeals-complaints/academic-appeals>

B14. Guidelines for Conducting Graduate Tracer Studies

B14.1 Introduction

Graduate tracer studies are an important way of understanding the relevance and quality of programmes offered by the University. They also help the University to better understand the labour market. The graduate tracer study cycles should be organised such that the three *Senate Committees for Curriculum and Examinations* undertake the surveys on a rotational basis. This implies that the procedure shall be repeated every year but the various categories of schools would have a 3-year cycle.

B14.2 Objectives

Objectives of the tracer study are to:

- (a) investigate the transition process from university to work;
- (b) determine the state of employment, unemployment and underemployment;
- (c) analyse the relationships between higher education and work in a broad perspective which includes the fulfilment of personal goals such as job satisfaction and objective measurement like job position, income, job security and the type of work; and
- (d) investigate what factors are important for professional success of graduates taking into account personal factors like gender, work motivation, knowledge, skills and attitudes obtained from the University programmes.

B14.3 Procedure

- (a) On a regular basis, e.g. every three years, the Quality Assurance Committee working with academic units and using the approved questionnaires shall conduct graduate tracer studies to obtain the relevant information to assess the performance of University graduates in the labour market.
- (b) Online closed surveys (no paper questionnaires) should be used for the graduate tracer studies.

B14.4 Analysis and Reporting

The information gained from these surveys shall be used for curriculum development and reform. The information may also answer questions such as:

- (a) What are the retrospective views of graduates on higher education based on their career experiences?
- (b) To what extent do graduates consider their education and training as an opportunity or wastage?
- (c) How are the outcomes of curricula aiming to create new types of learning and qualifications to prepare for newly emerging types of occupation and work tasks?
- (d) How broad or narrow is the knowledge fostered in individual academic programmes in comparison to occupational tasks or major occupations?

B14.5 The Questionnaire

The questionnaire used for conducting graduate tracer studies is given below.



University of Zambia

FORM FOR GRADUATE TRACER STUDIES

SECTION A: PERSONAL AND EDUCATIONAL INFORMATION

1. Name of Graduate :
2. Gender – *(please mark in the appropriate box)*
a) Female b) Male
3. Telephone Contact(s) :
4. E-mail addresses :
5. How old were you when you completed the Masters Degree? – *(please mark in the appropriate box)*
a) 16-24 b) 25-34
c) 35-49 d) 50-64
e) 65+
6. From which masters degree programme did you graduate?
7. In which year did you complete the masters degree programme :
8. Name of School :
9. Place of work/residence (Town or District) : Province :

SECTION B: EMPLOYMENT HISTORY

10. What is your current employment status? – *(please mark in the appropriate box)*
a) Formally Employed b) Not Employed
c) Never Been Employed d) Self-employed

If formally employed or self employed skip to Question 13, if not employed go to question 12 then consider the period when you were employed to answer questions that follow and; if never been employed skip to question 33

11. **If Not employed** in question 10 above, state the reasons why you are currently *NOT* employed? *(Please mark in the appropriate box)*

- a) Contract Ended b) Terminated by Employer c) Resigned d) Family Concerns
e) Sickness f) Others specify :

12. **If employed** in question 11 above, what is your job title? Please state the precise term, e.g. Lecturer, Construction Engineer, Production Engineer, etc.:

13. Name of the town (or country, if outside Zambia) where you are employed :.....
(If self-employed please indicate the district /country you are working)

14. Name of employer :
(If self-employed please indicate self-employed)

16. What are your terms of employment? – *(please mark in the appropriate box)*
a) Permanent/Full time b) Part time c) Self employed d) Family business e) Temporary
f) Contract

(Skip to question 18 if NOT self-employed)

17. If self-employed in *question 16* above please list the skills acquired from the degree programme that you are using in your work? **(Please type in provided spaces)**

- (i)
- (ii)
- (iii)
- (iv)
- (v)
- (vi)

18. In what economic sector would you classify the activities of your employer? – **(please mark in the appropriate box)**

- | | | |
|--|--|---|
| a) <input type="checkbox"/> Agriculture | b) <input type="checkbox"/> Construction | c) <input type="checkbox"/> Tourism |
| d) <input type="checkbox"/> Research | e) <input type="checkbox"/> Mining | f) <input type="checkbox"/> Judiciary |
| g) <input type="checkbox"/> Water and Sanitation | h) <input type="checkbox"/> ICT | i) <input type="checkbox"/> Manufacturing |
| j) <input type="checkbox"/> Finance/Banking | k) <input type="checkbox"/> Transport | l) <input type="checkbox"/> Health |
| m) <input type="checkbox"/> Trade | n) <input type="checkbox"/> Higher/Tertiary education | o) <input type="checkbox"/> NGO |
| p) <input type="checkbox"/> Insurance | q) <input type="checkbox"/> Security | r) <input type="checkbox"/> Civil Service |
| s) <input type="checkbox"/> Energy/Electricity/Petroleum/Gas | t) <input type="checkbox"/> Other (specify) <input type="checkbox"/> : | |

19. How long, after graduation, did it take you to get a job? – **(please mark in the appropriate box)**

- a) Less than 1 year b) 1- 2 years c) 3-4years d) More than 5 years

20. How did you find the job after graduation? – **(please mark in the appropriate box)**

- a) Print/electronic media b) Door to door hunting c) Radio
d) Through a friend/relative e) Internet f) Through internship/internal advert
g) It was reasonable to employ myself h) Other (please specify) :

21. How many employers did you contact (e.g. by letter) before getting your current job? – **(please mark in the appropriate box)**

- a) None b) 1 employer c) 2 employers d) 3 -4 employers
e) 5 employers f) More than 5 employers

22. How long have you been working for your current employer/been self-employed?– **(please mark in the appropriate box)**

- a) Less than a year b) 1- 2 years c) 3 - 4 years d) 5 years and more

23. How many employers did you work for after graduation before the current one? – **(please mark in the appropriate box)**

- a) None b) 1 employer c) 2 employers d) More than 2 employers

24. Is your current employer your first one? – **(please mark in the appropriate box)**

- a) Yes b) No

If your answer is Yes, skip to question 26.

25. Why did you leave your previous employment? – **(please mark in the appropriate box)**

- a) Sought improved salary b) Found employment in my area of specialisation
c) Sought other improved working conditions d) Started my own business
e) Needed to change environment f) Contract Ended
g) Wanted new challenges h) Retrenched
i) Other (please specify) :

26. Is your current job related to your programme of study/field of study?– **(please mark in the appropriate box)**

- a) Yes b) No

(If Yes Skip to question 28)

27. (If No to question 24), why did you change your career? – (please mark in the appropriate box)

- a) Lack of career progression b) Poor remuneration c) Poor working conditions
d) Inappropriate Skills e) Limited opportunities in my career
f) Other (specify) :

28. If your answer to 26 above is a “No”, which additional training did you have to undertake to suit the job requirements? – (please mark a maximum of 3)

- a) Monitoring and Evaluation (M&E) course b) Management/Leadership
c) IT Training d) Project Management course
e) Professional Courses (e.g. Accountancy, Purchasing and Supply, Marketing)
f) Others (specify) :

29. Did you experience any of the following problems during job search? – (please mark in the appropriate box)

- a) Non transparency in recruitment b) Sexual harassment c) Social connections/Networks
d) Gender discrimination e) Inadequate experience f) Disability discrimination
g) Limited opportunities in my field i) Bribes to employers h) None of the above
j) Other (specify) :

30. Which category fits your gross monthly salary/income in your current employment? – (please mark in the appropriate box)

- a) Less than K10,000 b) Between 10,000 and K20,000
c) Between K21,000 and K30,000 d) Between 31,000 and K40,000
e) Between K41,000 and K50,000 f) Above K50,000

31. Have you been promoted or has there been a regrading of your job due to the master’s degree obtained from UNZA?

- i) Promotion? a) Yes b) No
ii) Regrading? a) Yes d) No

32. Has there been an increase in your salary due to the master’s degree obtained from UNZA?

- a) Yes b) No

33. If answer to Question 11 is –“Never Been Employed”, Please state reason(s) why you have never been employed. – (please mark in the appropriate box)

- a) Went for further studies right away b) Did not look for a job c) Family concerns
d) Health-related reasons e) No job opportunity f) Lack of work experience
g) Other (Specify) :

SECTION C: SKILLS ACQUISITION, QUALITY OF TRAINING AND EMPLOYER SATISFACTION

34. Compare the knowledge and skills you acquired from your masters degree programme and your ability to perform in your current or previous jobs), how would you describe relevance of your training to knowledge and skills needed to do your job. ? – (please mark in the appropriate box)

- a) Very Relevant b) Relevant c) Not Relevant

35. To what extent would you recommend the masters degree programme you enrolled for at UNZA to a friend, colleagues or relative? – (please mark in the appropriate box)

- a) Highly recommend b) Recommend
c) Recommend with adjustments d) Not recommend

36. Which courses of your masters degree programme do you find the most relevant to your current/previous job?
(Please type in provided spaces)

- (i)
(ii)
(iii)
(iv)

B15. Guidelines for Employer Satisfaction Surveys

B15.1 Background

Employer satisfaction surveys provide a measure of the extent to which the University is meeting employers' needs. Specifically, the surveys gather employer feedback on the extent to which graduates have the right mix of general and technical skills to be prepared for the workforce. The surveys aim to ensure that the University is responsive to labour market and industry needs. This will assist the University to tailor its programmes in such a way as to serve employers more effectively and efficiently by identifying areas of strength and areas of weakness that need improvement.

B15.2 Objectives of the Surveys

The main objectives of the surveys are to assess:

- (a) satisfaction with the skills and knowledge of recent graduates from the University;
- (b) satisfaction with the non-subject specific attributes of recent graduates from the University; and
- (c) satisfaction with the overall responsiveness of University to employers' specific human resource needs.

B15.3 Procedure

- (a) On a regular basis, e.g. every three years, the Quality Assurance Committee working with academic units and using the approved employer satisfaction survey (ESS) instrument shall conduct the surveys to obtain the relevant information to assess the employers level of satisfaction with respect to University graduates.
- (b) Online closed surveys (no paper questionnaires) shall be used for the surveys.

B15.4 Data Collection, Analysis and Reporting

The information obtained from these surveys shall be used for curriculum development and reform. Employer satisfaction shall be measured in the areas of academic and technical skills, non-subject specific attributes, as well as employers' satisfaction with the overall responsiveness of the University's education system. There are generic skills that are common among all graduates of the University. These include:

- Basic or fundamental skills;
- people-related skills;
- conceptual/thinking skills;
- personal skills and attributes;
- skills related to the business world; and
- skills related to the community.

The data collected must cover all of these areas. The analysis of the data will include presentation of descriptive statistics (frequencies) for survey items in text, tables, and figures, as appropriate. The order of the presentation of results in the report shall follow the order of the survey instrument.

The questionnaire for conducting employer satisfaction surveys is given below.



University of Zambia

FORM FOR EMPLOYER SATISFACTION SURVEY (To be completed by Immediate Supervisors of Targeted Organisations)

SECTION A: PROGRAMME DETAILS

1. Name of the degree programme :
2. School offering the Programme :
3. Target group of graduates of the programme (Specify period after graduation) :

SECTION B: EMPLOYER INFORMATION

1. Position of respondent :
2. Name of organisation :
3. Town or District where the organisation is found :
4. Telephone contact(s) :
5. E-mail address :

SECTION C: INFORMATION ABOUT THE ORGANISATION

6. How many employees do you employ in your organization?

Number of employees:

7. In what sector would you classify the activities of your organisation? – (please mark in the appropriate box)

- | | | |
|--|---|---|
| a) <input type="checkbox"/> Agriculture | b) <input type="checkbox"/> Construction | c) <input type="checkbox"/> Tourism |
| d) <input type="checkbox"/> Research | e) <input type="checkbox"/> Mining | f) <input type="checkbox"/> Legislature |
| g) <input type="checkbox"/> Water and Sanitation | h) <input type="checkbox"/> ICT | i) <input type="checkbox"/> Manufacturing |
| j) <input type="checkbox"/> Finance/Banking | k) <input type="checkbox"/> Transport | l) <input type="checkbox"/> Health |
| m) <input type="checkbox"/> Trade | n) <input type="checkbox"/> Higher/Tertiary education | o) <input type="checkbox"/> NGO |
| p) <input type="checkbox"/> Insurance | q) <input type="checkbox"/> Civil Service | r) <input type="checkbox"/> Security |
| s) <input type="checkbox"/> Energy/Electricity/Petroleum/Gas | | |
| t) <input type="checkbox"/> Other (specify) <input type="checkbox"/> : | | |

SECTION D: STAFF RECRUITMENT PROCEDURES

8. How does your company/organization recruit university graduate employees? – *(please mark a maximum of 3)*

- a) Advertisements of vacancies in print and electronic media
- b) Internal advertisements of vacancies
- c) Direct application of graduates
- d) Placement service unit at the training institutions
- e) Personal contacts to graduates
- f) Private employment agencies
- g) Binding students by scholarships
- h) Other (specify) :

9. How many graduates of the programme have you employed from the University of Zambia in the last five years?

- a) 1
- b) 2
- c) 3
- d) 4
- e) 5 or more

SECTION E: SKILLS ACQUISITION, QUALITY OF TRAINING ANDEMPLOYER SATISFACTION

10. To what extent is/are your employee(s) required to have knowledge and skills in the following fields?

Scale of answers ranges between:

1 = not at all; 2 = barely; 3 = to some extent; 4 = to a high extent; 5 = to a very high extent.

1	2	3	4	5	
<input type="checkbox"/>	Practical skills				
<input type="checkbox"/>	Theoretical knowledge				
<input type="checkbox"/>	Entrepreneurial skills (how to run a business and to treat customers, marketing)				
<input type="checkbox"/>	Soft skills/work ethic (planning, communication, time management, team work)				
<input type="checkbox"/>	Management/Leadership skills				

11. How do you rate the masters degree from the University of Zambia?

Scale of answers ranges between:

1 = strongly disagree; 2 = disagree; 3 = undecided; 4 = agree; 5 = strongly agree.

1	2	3	4	5	
<input type="checkbox"/>	The graduates have thorough theoretical knowledge				
<input type="checkbox"/>	The graduates have highly developed practical skills				
<input type="checkbox"/>	The graduates are willing and eager to learn				
<input type="checkbox"/>	The graduates are hard-working and committed				
<input type="checkbox"/>	The graduates are able to work independently				
<input type="checkbox"/>	The overall performance of the graduates is satisfactory				

12. Do you think that graduates need additional training in their respective fields in order to perform better/do a satisfactory job in your business/company/organization? – *(please mark in the appropriate box)*

- a) Yes
- b) No

13. If your answer to 12 above is a “Yes”, please specify which additional knowledge and skills are needed. *(Please type in provided spaces)*

- i)
- ii)
- iii)
- iv)

14. Would you be interested in hiring more masters degree graduates from the University of Zambia in future? – *(please mark in the appropriate box)*

a) Yes b) No

If not, please specify why: (Please type in space below)

Name of Respondent:

Position:

Signature:

Date:

**APPENDIX C: GUIDELINES FOR POSTGRADUATE
RESEARCH**

C1. Guidelines for Postgraduate Studies Skills Development

C1.1 Introduction

The programme includes courses and workshops designed to support postgraduate research students at the University of Zambia. The programme is intended to supplement the research-specific training and skills development available within the research groups or departments. The programme is organised as a series of seminars and workshops, with the following themes. The following topics shall be covered in the lectures organised by DRGS in various schools:

Knowledge and intellectual abilities:

The knowledge, intellectual abilities and techniques to do research

Personal effectiveness:

The personal qualities and approach to be an effective researcher

Research governance and organisation:

Knowledge of the professional standards and requirements to do research

Engagement, influence and impact:

The knowledge and skills to work with others to ensure the wider impact of research

C1.2 Content of Seminars

The following topics shall be covered in the seminars organised by DRGS in various schools.

- (a) Writing research proposals
- (b) Managing supervisor/students relationship
- (c) Writing dissertations and theses
- (d) Literature search strategies and annotated Bibliography
- (e) Plagiarism
- (f) Writing scholarly publications
- (g) Making presentations

C1.3 Online Support

The topics covered in the face-to-face seminars and workshops shall be available on the e-learning platform, in order to reach those students who cannot attend and for reference. Each module shall have a quiz that the student needs to complete before being allowed to move to the next module. The online modules shall be free for enrolled postgraduate students.

The postgraduate studies skill development programme shall be at regular intervals with the facilitation of DRGS.

C2. Assessment of Postgraduate Research

C2.1 Background

Postgraduate research at the University of Zambia is undertaken at both masters and PhD levels. It constitute one of the most important component of University functions.

C2.2 Objectives

The objective of the assessment are to ensure that;

- (a) adequate research facilities are provided; and
- (b) to ensure that research is conducted in accordance with the laid down procedures.

C2.3 Identification of Best Practices in Postgraduate Research

The identified best practices include, but are not restricted to:

- (a) provision arrangements;
- (b) the research environment;
- (c) selection, admission and induction of students;
- (d) supervision;
- (e) progress and review arrangements;
- (f) development of research and other skills;
- (g) evaluation mechanisms;
- (h) assessment; and
- (i) research student complaints and appeals.

C2.4 Data Collection

The assessment for Postgraduate research shall be conducted using structured questionnaires from stakeholders. The Senate Quality Assurance Committee shall audit Postgraduate research in accordance with best practices annually.

C2.5 Follow-up Activities and Strategies for Improvement

The results of the audit, including recommendations for changes to postgraduate research process aimed at making improvements will be referred to the Directorate of Research and Graduate Studies for approval. Strategies for improvement must be formulated by considering the following:

- (a) What areas of performance are most in need of improvement?
- (b) How will the improvements in performance be accomplished?
- (c) How long will it take to make improvements in performance?
- (d) How much will it cost to make improvements in performance?



University of Zambia

ASSESSMENT OF POSTGRADUATE RESEARCH

INTRODUCTION

This survey will be used to assess postgraduate research practice against set criteria. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	Provisions					
1.1	The University has regulations for research degrees that are clear and readily available to research students and staff, including examiners.					
1.2	Regulations are supplemented by accessible, subject-specific guidance at the level of the faculty, school, department, research centre, or research institute.					
1.3	The University has developed, implemented and keeps under review codes of practice for research degrees, which are widely circulated.					
1.4	The codes of practice for research degree are readily available to all student and staff.					
1.5	The University monitors their research degree provision against internal and external indicators and targets that reflect the context in which research degrees are being offered.					

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
2	The research environment					
2.1	The University accepts research students only into an environment that provides support for doing and learning about research, and where excellent research, recognised by the relevant subject community, is occurring.					
3	Selection, admission and induction of students	1	2	3	4	5
3.1	The University's admissions procedures for research degrees are clear, consistently applied and demonstrate equality of opportunity.					
3.2	All applications for admission to the research degree programme are considered by an appropriately constituted by election body.					
3.3	Admissions decisions involve members of the University's staff who have received training and guidance for the selection and admission of research degree students.					
3.4	The decision-making process enables the University to assure itself that balanced and independent admissions decisions have been made in accordance with its admissions policy.					
3.5	The University has defined and communicated clearly the responsibilities and entitlements of students undertaking research degree programmes.					
3.6	Research students are provided with sufficient information to enable them to begin their studies with an understanding of the environment in which they will be working.					
4	Supervision	1	2	3	4	5
4.1	The University appoints supervisors with the appropriate skills and subject knowledge to support and encourage research students, and to monitor their progress effectively.					
4.2	Each research student has at least a supervisor who is the clearly identified point of contact.					
4.3	The University ensures that the responsibilities of research student supervisors are readily available and clearly communicated to supervisors and students.					
4.4	The University ensures that individual supervisors have sufficient time to carry out their responsibilities effectively.					

ITEM	DESCRIPTION	SCORE				
5	Progress and review arrangements	1	2	3	4	5
5.1	The University has put in place clearly defined mechanisms for monitoring and supporting research student progress, including formal and explicit reviews of progress at different stages.					
5.2	Research students, supervisors and other relevant staff are made aware of progress monitoring mechanisms, including the importance of keeping appropriate records of the outcomes of meetings and related activities.					
6	Development of research and other skills	1	2	3	4	5
6.1	Research students have appropriate opportunities for developing research, personal and professional skills.					
6.2	Each research student's development needs are identified and agreed jointly by the student and appropriate staff at the start of the degree;					
7	Evaluation mechanisms	1	2	3	4	5
7.1	The University has put in place mechanisms to collect, review and respond as appropriate to evaluations from those concerned with research degrees, including individual research students and groups of research students or their representatives.					
7.2	Evaluations are considered openly and constructively and the results are communicated appropriately.					
8	Assessment	1	2	3	4	5
8.1	The University uses criteria for assessing research degrees that enables it to define the academic standards and the achievements of its graduates.					
8.2	The criteria used to assess research degrees are clear and readily available to research students, staff and examiners.					
8.3	Research degree final assessment procedures are clear and are operated rigorously, fairly, and consistently.					
8.4	Final assessment procedures include input from an external examiner.					
8.5	Assessment procedures are communicated clearly to research students, supervisors and examiners.					
9	Research student complaints and appeals	1	2	3	4	5
9.1	The University has put in place and promotes independent and formal procedures for dealing with complaints and appeals					

Adapted from: The Quality Assurance Agency for Higher Education (2015), *The UK Quality Code for Higher Education, Part B: Assuring and Enhancing Quality, Chapter B11: Research Degrees*, QAA, United Kingdom.

APPENDIX D: ASSESSMENT OF LIBRARY SERVICES

D1. Assessment of Library Services

D1.1 Background

The University library assessment is dependent on the existence of a 'culture of assessment' in the library whose goal is to involve the entire library staff in the assessment process and to improve customer service.

D1.2 Objectives

The objectives of the assessment are:

- (a) To assess the overall service quality of the Library System from the users' perspectives.
- (b) To assess the service quality of the Library System from the perspective of each different respondent user group. (academic staff, researchers, postgraduate and undergraduate students) .
- (c) To determine the customers' evaluation of service quality in the Library System
- (d) To investigate the essential attributes that the Library should allocate the resource to improve service quality.
- (e) To identify the problems users encounter when using and accessing library services.

D1.3 Identification of Best Practices in Library Services

The identified best practices are related, but are not restricted to:

- (a) The Library as a place of study, reflection and creativity
- (b) Reliability of services
- (c) Responsiveness and timeliness
- (d) Reassurance
- (e) Empathy

D1.4 Data Collection

The assessment for library services shall be conducted using structured questionnaires from stakeholders. The Senate Quality Assurance Committee shall audit library services in accordance with best practices annually.

D1.5 Follow-up Activities and Strategies for Improvement

The results of the audit, including recommendations for changes to library services aimed at making improvements will be referred to the Senate Committee on Library Services for approval. Strategies for improvement must be formulated by considering the following:

- (e) What areas of performance are most in need of improvement?
- (f) How will the improvements in performance be accomplished?
- (g) How long will it take to make improvements in performance?
- (h) How much will it cost to make improvements in performance?



University of Zambia

ASSESSMENT OF UNIVERSITY LIBRARY SERVICES

INTRODUCTION

This survey will be used to assess library services against set criteria. The quality of the different aspects is assessed on a scale of 1-5. The scores have the following meaning:

Score	Verdict	Meaning	Action Required
1	Strongly disagree	Very poor	immediate improvements must be made
2	Disagree	Poor	improvements are necessary
3	Neither agree nor disagree	Satisfactory	improvements may be necessary
4	Agree	Good	maintain as good practice
5	Strongly agree	Excellent	use as an example of good practice

INSTRUCTIONS

Please tick in one of the boxes against each assessment criteria.

ITEM	DESCRIPTION	SCORE				
		1	2	3	4	5
1	The Library as a Place of Study, Reflection and Creativity					
1.1	Convenient opening hours					
1.2	A comfortable and inviting location					
1.3	Visually appealing facilities					
1.4	Space that enables quiet study					
1.5	Adequate ICT facilities					
1.6	Library has modern equipment					
1.7	Access to digital collections from a personal computer					
1.8	Orientation and training sessions are conducted when needed					
1.9	Library staff understand the needs of their users					
1.10	A place for reflection					
1.11	A place for creativity					
1.12	Visually appealing materials (such as pamphlets, statements or signs) associated with each service					

2	Reliability of Services	1	2	3	4	5
2.1	Availability of required information					
2.2	Convenient access to library collections					
2.3	Staff provide their service dependably					
2.4	Staff perform duties accurately					
2.5	Timely document delivery					
2.6	Staff perform services correctly the first time					
2.7	Staff dependability in handling user's service problems					
3	Responsiveness and Timeliness	1	2	3	4	5
3.1	Prompt service to users					
3.2	Fast and reliable internet and search facilities					
3.3	Readiness to respond to user's questions					
3.3	Keeping users informed about when services will be performed					
4	Reassurance	1	2	3	4	5
4.1	Knowledge of library employees in their specific lines of duty					
4.2	Giving users individual attention					
4.3	Ability to inspire trust and confidence					
4.4	Assuring users of the accuracy and confidentiality of their personal information or data					
5	Empathy	1	2	3	4	5
5.1	Staff deal with users in a concerned and considerate manner					
5.2	Staff are always courteous and polite					
5.3	Staff are willing to help customers having difficulties					

APPENDIX E: GUIDELINES FOR CONSULTANCY SERVICES

E1. Quality Assurance of Continuous Professional Development Short Courses

E1.1 Background

A short course is a presentation or skills development programme that requires less than 80 hours of teaching contact or does not extend over a period of more than 12 consecutive weeks. All courses that exceed these 'short course' limits will be required to have quality assurance procedures (including approval, modification, monitoring and review) aligned with procedures for award-bearing courses or alternatively a customised set of procedures agreed by the Quality Assurance Committee (QAC).

E1.2 Quality Assurance Measures

Measures for quality assurance of short courses shall include the following:

- (a) For every short course, a course leader who coordinates the activities on behalf of the University shall be appointed by the Head of department and shall be approved by the School or Unit Consultancy Committee.
- (b) The course leader shall apply in writing to the Head of department to present a short course.
- (c) The course leader must provide information about the short course and the personnel involved to the Head of department for consideration and approval by the School or Unit Consultancy Committee. The following information must be provided in the application:
 - (i) the title of the course,
 - (ii) subject area,
 - (iii) duration,
 - (iv) aim of course,
 - (v) outcomes of the course,
 - (vi) nature of the certificate to be awarded (certificate of competence or attendance),
 - (vii) in the case of courses that result in a certificate of competence:
 - assessment system and methods,
 - assessment criteria
 - (viii) delivery methods,
 - (ix) list of presenters with their *curricula vitae* containing, at minimum, their academic qualifications, from which institutions they were obtained, and their academic and professional experience,
 - (x) frequency of presentations, and
 - (xi) a budget.
- (d) Participants shall be given an opportunity to provide feedback on the short course and its delivery. The results of the feedback shall be used in the further development of the short course.
- (e) Short courses must be evaluated periodically. This means that the subject content, structure, admission requirements, study material and level are evaluated by the course coordinator and presenters. The results of the evaluation shall be used in the further development of the short course.

- (f) The forms used for evaluation or feedback shall be approved by the School or Unit Consultancy Committee before use.
- (g) All short courses shall be registered on a University register. This registration is a mandatory condition for the approval of the presentation of a short course.
- (h) Once a short course and all related aspects have been approved and registered, the course may run on a regular basis unless or until there are fundamental alterations to the personnel, course content or budget.

E1.3 Guidelines for Certification

In the interests of maintaining the University's reputation as an institution of the highest international standing, the purpose of these guidelines are to:

- (a) ensure consistency in the standards applied in the awarding by schools and other units of certificates for short courses; and
- (b) ensure that awarding of certificates for short courses does not imply the granting or conferring of any award qualification of the University.

Where the course has been run by the University on behalf of another body, that body is responsible for providing the standard form of certification to be used. This is acceptable so long as it is in accordance with the principle that no certification can imply the granting of any award or the conferring of any qualification of the University.

A cohort of participants who successfully complete the requirements of a short course must be presented with either a certificate of competence or certificate of attendance. The certificate shall bear the University logo and shall be signed by the course facilitator and the Dean or Head of the unit in which the short course is offered. A register of the participants and their overall performance or attendance shall be kept by the unit for future reference and verification. Types of certificates are given below:

(i) Certificate of Attendance

This certificate shall be issued to indicate that the holder *attended* the course and successfully completed its requirements for attendance.

(ii) Certificate of Competence

This certificate shall be issued to indicate that the holder has *successfully completed* a short course and has acquired the competence, capability or capacity to perform work related to the skills development offered by the course. This certificate shall only be issued after the assessment process of the participants' work (e.g. assignments, quizzes, tests, practicals, examinations, etc.) has been completed.

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