

**Commission for Higher Education**

**Handbook on Processes for  
Quality Assurance in  
Higher Education in Kenya**

**August 2008**



# **Handbook on Processes for Quality Assurance in Higher Education in Kenya**

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Nairobi, Kenya. August 2008**

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**ISBN: 9966-11-7**

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## ACRONYMS AND ABBREVIATIONS

AACR II	-	Anglo American Cataloging Rules
BA	-	Bachelor of Arts
BSc	-	Bachelor of Science
CAP	-	Chapter
CAT	-	Continuous Assessment Test
CD ROM	-	Compact Disc Read-only Memory
CD	-	Compact Disc
CHE	-	Commission for Higher Education
EQA	-	External Quality Assurance
EU	-	Egerton University
FFP	-	Fitness for Purpose
FTE	-	Full Time Equivalent
FTSE	-	Full Time Student Equivalent
HE	-	His Excellency
HEI	-	Higher Education Institution
ICT	-	Information and Communications Technology
IQA	-	Internal Quality Assurance
IS	-	Information Science
JKUAT	-	Jomo Kenyatta University of Agriculture and Technology
KCSE	-	Kenya Certificate of Secondary Education
KNEC	-	Kenya National Examination Council
KSHS	-	Kenya Shillings
KU	-	Kenyatta University
LAN	-	Local Area Network
LC	-	Library of Congress
LIA	-	Letter of Interim Authority
LR No.	-	Land Registration Number
MA	-	Master of Arts
MARC	-	Machine Readable Cataloging

MoE	-	Ministry of Education
MSc	-	Master of Science
MU	-	Moi University
ODL	-	Open and Distance Learning
OPAC	-	Online Public Access Catalogue
PhD	-	Doctor of Philosophy
PSSI	-	Post Secondary Schools Institutions
SAR	-	Self Assessment Report
SqM	-	Square Metres
UNESCO	-	United Nations Educational Scientific and Cultural Organization
UoN	-	University of Nairobi
USA	-	United States of America
WC	-	Water Closet

## FOREWORD

The rapid expansion of higher education, entrance of market forces in higher education delivery (online, open and distance modes), and globalization of education (private entrepreneurs and diploma mills) necessitates the formation of structures and mechanisms, standards and guidelines, to assure quality. From 1964 to 1984 Kenya had only one university with an enrolment of 7,624 students. The number of universities increased to six from 1984 to 1990, with a corresponding increase in student enrollment to 11,110 in 1990/1991. Currently there are thirty universities with an approximate enrollment of 145,000 students, of which 85% are enrolled in the seven public universities. In response to the above challenges and national needs the Commission for Higher Education (CHE) was created as a body corporate in 1985 by an Act of Parliament, Universities Act Cap 210B, to make better provisions for the advancement of university education in Kenya and for connected purposes. The Act also outlines the functions of CHE. The Commission for Higher Education partners with the government in providing access to quality education.

Quality in higher education is perceived as consisting of a synthesis of conformity, adaptability and continuous improvement. It is often defined as “fitness for purpose” and also “standard – based”. CHE uses both in its quality assurance processes. On the other hand the terms used to describe quality per se include: Assurance, control, assessment, and audit. The meaning of each term is briefly given as follows. Firstly, quality assurance is the mechanism put in place to guarantee quality education. It is therefore imperative that each institution formulates structures and mechanisms for monitoring its quality control procedures to maintain or enhance quality educational provision. Secondly, quality control is the process of ensuring compliance with the set standards and procedures, while quality assessment entails external evaluation by peers (external body) of the quality of processes, practices, programmes and services in an institution. Lastly, quality audit is the process of assessment by an external body to ensure that there is institutional compliance with quality assurance procedures and standards. In the Kenyan context, quality audit is referred to as “re-inspection”.

To operationalize the Universities Act, the Commission for Higher Education developed and gazetted two set of rules. These are: The Universities (Establishment of Universities, Standardization, Accreditation and Supervision) Rules 1989, and the Universities (Co-ordination of Post Secondary School Institutions for University Education) Rules 2004. The above rules were enacted for the purpose of assuring quality higher education, as quality assurance in itself is a process that is directed by processes, standards and guidelines.

The Commission for Higher Education operates on the principle of best practices and while emphasizing that quality assurance is a continuous process requiring flexibility and adjustments, a lot of emphasis is placed on structured pre-determined standards. In order to discharge its mandate as pertains to quality assurance through the accreditation processes therefore, the CHE has developed several instruments. These include: Standards, guidelines, criteria, and questionnaires. For a long time the above instruments have been in use, but have not been consolidated into one book. Many a times stakeholders have been supplied, on

request, with the individual instruments for their use. The handbook therefore comes handy to the stakeholders wishing to be apprised of the accreditation and quality assurance processes.

Investment into the higher education sub-sector is encouraged but there has to be responsibility and accountability when embarking on such an immense and noble undertaking. It is for this reason that great prominence is laid on the process of Internal Quality Assurance (IQA). The establishment of (IQA) processes within an institution will ensure that it is fulfilling its own purposes and the standards, professions and disciplines of higher education. IQA will therefore necessitate that the vision, mission and philosophical foundations of the institution reflect not only the uniqueness of the institution but also the educational orientation upon which it will flourish. It is assumed that once the IQA processes are in place then the External Quality Assurance (EQA) processes can be engaged through consultation with EQA bodies such as CHE. While these processes are not mutually exclusive, the development of the IQA makes the EQA process much easier.

The handbook covers not only the operations of the CHE but also areas such as: Guidelines for the preparation of a proposal for the establishment of a university, guidelines for rules and regulations for student conduct and discipline of a proposed university, guidelines for rules and regulations for staff conduct and discipline of a proposed university, standards and guidelines for establishing a university library, curriculum standards, guidelines for preparing curriculum of an academic programme, guidelines for developing study materials for distance learning, standards and guidelines for open and distance learning, guidelines for preparing draft charter for a private university, self evaluation questionnaire for a chartered university, standards for validation of diploma programmes, standards for granting authority to collaborate, and criteria for equation of qualifications. The area of Open and Distance Learning (ODL) has had very limited entry. It is therefore hoped that the sections on developing study materials for distance education, and standards and guidelines for ODL will inspire many to consider venturing into starting quality ODL institutions.

It is envisaged that the handbook will lead to a greater understanding of the various accreditation processes. The ultimate aim of the processes is the assurance that higher education institutions meet and maintain the standards of academic excellence set by the Commission for Higher Education. The comprehensive nature of the handbook should guide all concerned and involved in the higher education sub-sector in enhancing quality in all aspects.

**Prof. Everett M. Standa**  
**Secretary/Chief Executive Officer**  
**Commission for Higher Education**



## PART I

### THE MANDATE AND STRUCTURE OF THE COMMISSION

#### 1.1 Preamble

The Handbook contains the mandate, structure, quality assurance processes, standards and guidelines used by the Commission for Higher Education (CHE) for ensuring quality in higher education. The processes, standards and guidelines are subject to amendment from time to time as the Commission may deem fit, and in consultation with stakeholders. They are available in the Commission's Website, [www.che.or.ke](http://www.che.or.ke).

#### 1.2 Objects of the Commission

##### (a) Mandate

The Commission for Higher Education was established in 1985 by an Act of Parliament, Universities Act Chapter 210B, as a body corporate to make better provisions for the advancement of university education in Kenya and for connected purposes.

##### (b) Vision

The vision of the Commission is to be a world-class body for the advancement and quality assurance of higher education.

##### (c) Mission

The mission of the Commission is to ensure increased provision of sustainable quality higher education and training through accreditation of universities, planning, coordination and resource mobilization and information service.

##### (d) Corporate Values

The Commission's work is underpinned by the following core values and principles:

- **Professionalism and Responsiveness:** The Commission is guided by high professional standards in all its undertakings. The Commission aims to be prompt, courteous and constructive in all its dealings, while keeping abreast with the changing global environment.
- **Accountability:** The Commission aims to be accountable to its stakeholders, partners and users of its services and the information it provides through the use of resources to good effect and with probity.
- **Openness and Team Work:** The commission is driven by commitment to excellence in service delivery through openness, teamwork and collaboration with

stakeholders and partners. The Commission aims to be transparent in its work and methods to build confidence and trust among stakeholders, and communicate in a clear accessible way to the wider public.

- **Integrity:** The Commission will at all times uphold integrity and fairness and operate in an atmosphere that ensures impartiality, honesty, transparency, and good corporate governance and the respect of laws, regulations and rules.

(e) **Functions**

The detailed functions of the Commission are stipulated in section 6 of the Universities Act. For purposes of operationalisation of the Act, and following an analysis of its mandate, the Commission's core functions have been categorized into the following broad areas:

- Accreditation and regular inspection of universities;
- Planning for the establishment and development of higher education and training;
- Mobilisation of resources for higher education and training;
- Co-ordination and regulation of admission to universities; and
- Documentation, information service and public relations for higher education and training.

### 1.3 **Structure of the Commission**

(a) **The Governing Body**

The Commission is the governing body and provides policy direction. Members of the Commission are appointed on the basis of their expertise and experience in higher education and research; and are expected to give guidance and advice on matters of higher education in the country.

The membership of the Commission is currently twenty eight (28) and consists of:

- (i) The Chairman; the Vice-Chairman and not more than fifteen (15) and not less than eleven (11) members appointed by the President;
- (ii) Four (4) members appointed by the Minister in-charge of Education;
- (iii) Four (4) Permanent secretaries from Ministry of Education, Science and Technology, Ministry of Finance, Directorate of Personnel Management and the Chief Secretary; and

- (iv) Not more than three (3) members co-opted by the Commission.

The Commission executes its functions through specialist Committees and the Secretariat.

**(b) Committees of the Commission**

The committees examine and determine specific issues and advise the commission on action to be taken. They (Committees) engage the services of resource persons (peer reviewers) where necessary.

The Committees are:

**(i) *The Steering Committee***

This is the executive Committee of the Commission. It works under the general direction of the Commission in coordinating the work of the various committees and the secretariat.

**(ii) *Policy Analysis and Research Committee***

The Committee is charged with the responsibility of promoting the role of research and education for national development. It also facilitates and coordinates research funding by establishing sustainable linkages between universities and development partners and other stakeholders.

**(iii) *Universities Grants Committee***

The Committee provides liaison with Government departments and the public and private sectors of the economy in matters relating to overall national manpower development requirements.

**(iv) *Tender Committee***

The Committee processes the procurement of goods and services in the Commission.

**(v) *Appointments, Disciplinary and Promotions Committee***

This Committee deals with matters related to recruitment and promotion of the staff of the Commission. There are three sub-committees one each for senior, middle-level and junior staff.

**(v) *Inspection Committee***

The Committee is charged with the responsibility of assessing and ensuring the establishment and maintenance of high academic standards in university institutions and institutions that have applied to the Commission for accreditation.

(vi) *Curriculum Committee*

The Committee is responsible for evaluation and approval of curricula of academic programmes and assessment of academic resources supporting such programmes; and advises the Inspection Committee accordingly.

(vii) *Technical Committee*

The Committee assesses the suitability of buildings and other physical and spatial facilities for university education in accordance with the Universities Rules and the Laws of Kenya, and advises the Inspection Committee accordingly.

(viii) *Legislation Committee*

The Legislation Committee advises the Commission on legal matters and reviews Rules and Regulations governing the conduct and discipline of students, Charters and Statutes and advises the Inspection Committee on the same.

(ix) *Document and Information Technology Committee*

This Committee advises the Commission on matters pertaining to the provision of information and documentation services. It also guides the direction of the development of library and information services in institutions of higher education in the country.

(xi) *Equation of Qualifications Committee*

The Committee recommends to the Commission the national standards on recognition and equation of qualifications from various parts of the world.

(xii) *Post-Secondary institutions Committee*

The Committee sets standards for post-secondary school institutions, coordinates the education and training, establishes criteria for credit transfers between various programmes and maintains a directory of post-secondary school institutions.

(xiii) **Central Universities Admissions Committee**

The Committee whose membership is provided in section 8(3), and 8 (5) of the Universities Act is expected to advise the Councils, through the Commission, on the coordination of admissions to public universities on a national basis; the establishment and maintenance by such means as it considers appropriate of equivalent educational standards as pre-requisite for university admissions; and

prescribing the minimum requirements upon compliance with which a person may become academically qualified for admission to a university.

(c) **The Secretariat**

The role of the Secretariat is to facilitate and coordinate the work of the Commission.

The Secretariat is headed by the Secretary to the Commission, who is the Chief Executive and an ex-officio member of the Commission. The Chief Executive is appointed by the Minister for the time being in-charge of education. Since the establishment of the Commission, the Secretary has been appointed from amongst eminent scholars who have also served as Vice-Chancellors of public universities.

The Secretary is currently assisted by two Deputy Commission Secretaries who, before their appointment, were serving as Deputy Vice-Chancellors of Public Universities. Each of the Deputy Commission Secretaries heads a division within the Commission.

The two divisions are:

- Division of Accreditation and Quality Assurance; and
- Division of Planning, Administration and Finance.

The Secretariat consists of senior professionally qualified staff with experience in higher education, research and university management and middle level staff; they are recruited on competitive basis. There are also support staff.

## PART II

### PROCESS OF QUALITY ASSURANCE AND ACCREDITATION

#### 2.0 QUALITY ASSURANCE AND ACCREDITATION

#### 2.1 What is Quality?

Quality means different things to different people, and is relative to processes or outcomes. Quality is a difficult concept, and quality in higher education is much more confusing. Quality in higher education is perceived as consisting of a synthesis of conformity, adaptability and continuous improvement; it is a synthesis of a range of expectations of many stakeholders. Students may focus on facilities provided and perceived usefulness of education on future employment. Academic staff may pay attention to the teaching learning process. Management may give importance to the institution's achievements. Parents may consider the achievement of their children. Employers may consider the competence of the graduates. Quality can therefore be viewed from many approaches.

**Quality as excellence/exceptionality:** This is the traditional concept of quality where the emphasis is placed on attaining high-level standards, being excellent. In higher education institutions, an institution that demonstrates exceptionally high standards is seen as a quality institution. However, it is not possible for Quality Assurance Agency (QAA) to condemn institutions that do not attain exceptional standards, because this would not serve the purpose of accountability or self-improvement. This definition may be used in evaluating doctoral programmes or cutting-edge research.

**Quality as conformance to standards/threshold:** This concept has its origins from the manufacturing industry. The word 'standard' is used to indicate pre-determined specifications or expectations. As long as an institution meets the pre-determined standards, it can be considered a quality institution fit for a particular status. This concept is often the basis for accreditation decisions. It is the approach followed by most regulatory bodies for ensuring that institutions of programmes meet certain threshold levels. This could be, for example, the number of full-time professors, the percentage of them with final degrees, or the number of articles published per full-time equivalent (FTE) academic staff. Conforming to standards may result in approval to start a programme or recognition for a particular status or funding depending on the context. This concept of quality makes assessment fairly easy; however, it may also make it irrelevant. It is usually possible to comply with formal requirements without paying attention to the substantive issues they are meant to safeguard. It may hinder innovation.

**Quality as fitness-for-purpose (FFP):** This concept is based on the view that quality has no meaning except in relation to the purpose of the product or service. This quality concept is improvement oriented, but who determines the purpose, what are appropriate purposes? The purposes may be determined by the institution itself

(quality then is effectiveness in achieving institutional goals). However, it might be possible that an institution has set its goals too low and by doing this easily achieves them. Goals may be set by the government or by a group of stakeholders.

**Quality as added value:** This concept focuses on the students. Quality means the value added to the student during education and training. It is the way from formulating learning outcomes to realising the outcomes in the graduates. The basic question is 'what has the student learned?' An institution that enables a student to enhance his/her knowledge, competence and employability is seen as successful in its efforts and therefore in generating quality education and training. One has to pay attention to what is expected otherwise the definition can be rendered meaningless.

**Quality as value for money:** The concept has its focus on efficiency and effectiveness. It measures outputs against inputs. Something has quality when it meets the expectations of the consumers in relation to the amount they pay for it. Quality therefore corresponds to the satisfaction of the customers. It is often supported by the government since it is connected with accountability.

**Quality as satisfaction of the customer/client:** This is a variation of fitness-for-purpose. The concept is based on the customer's needs and satisfaction therefore, quality corresponds to the satisfaction of the customers. In higher education there are many customers and they must all be considered. They include students (who are direct consumers and invest their active time in learning), parents (who pay for the educational services for their children) and the government (that sets national policies and invests public money for educational purposes).

It is the fitness-for-purpose that is seen by many quality assurance experts as a meaningful way of defining quality because it includes all other definitions, and embraces all types of institutions, and is flexible. The Commission, however, uses all types of definition in its quality assurance activities depending on the activity in question (Q=FFP).

## 2.2 Quality Control and Quality Assurance

**Quality control** checks whether activities were carried out as intended. It refers to periodic checks of how effectively a programme achieves its stated aims and objectives and success of students in attaining the intended learning outcomes. Quality control or monitoring is usually undertaken by a university department. It may take into account reports from external examiners, staff and feedback from students, alumni and employer, reports from professionals and accreditation bodies. It may lead to adjustments of curriculum or assessment methods.

**Quality assurance** is the means by which an institution can guarantee that the standards and quality of its educational provisions are being maintained and / or enhanced. It is the means through which an institution confirms that conditions are in place for students to achieve standards set by the institution.

Quality assurance relates to a continuous process of evaluating (assessing, monitoring, guaranteeing, maintaining and improving) the quality of a higher education system, institutions or programmes.

Quality assurance is a means to an end not an end in itself. It is a way of defining and securing good learning through support for students. It helps to describe and guarantee the level of achievement represented by higher education qualification. It is also about communication, of both intentions and the means of achieving them.

*Internal quality assurance* refers to each institution's policies and mechanisms for ensuring that it is fulfilling its own purposes as well as the standards that apply to higher education in general or to the profession or discipline in particular.

*External quality assurance* refers to an external body, which may be a Quality Assurance Agency (for example, CHE) or another body from the higher education institution (HEI), which assesses its operations or that of its programmes in order to determine whether it is meeting the standards that have been agreed on.

## 2.3 Accreditation

This is the process by which a government or a quality assurance agency evaluates the quality of a higher education institution as a whole or a specific educational programme in order to formally recognize it as having met certain predetermined criteria or standards. The result of this process is usually the awarding of a status of recognition, and sometimes a license to operate within a time-limited validity.

*Accreditation* can therefore be defined as a "process of quality control and assurance" whereby, as a result of inspection or assessment, an institution or its programmes is recognised as meeting minimum acceptable standards.

In Kenya accreditation means public acceptance and confirmation as evidenced by award of a Charter, that a university meets and continues to meet the standards of academic excellence set by the Commission.

For any institutions to be accredited, the Commission must be satisfied that the institution concerned has adequate physical, human, library and financial resources, viable relevant academic programmes and sound structure of governance.

In Kenya, accreditation is *compulsory* for any institution that wishes to offer degree programmes and/or set up a private university. Any institution not abiding by this requirement commits an offence, and hence would be running illegal university operations.

### Quality Assessment (Quality Review or Evaluation)

This indicates the actual process of external evaluation (reviewing, measuring, and judging) of the quality of higher education institutions and programmes. It consists of



those techniques that are carried out by an external body in order to evaluate the quality of the higher education processes, practices, programmes and services. Its important aspects include:

- The context (national, institutional);
- The methods (self-assessment, assessment by peer review, site inspection);
- The levels (systems, institution, department, individuals);
- The mechanisms (rewards, policies, structures, cultures);
- Values are attached to quality assessment such as academic values (subject field); managerial values (staff, their teaching skills and classroom practices); Employment values (graduate output characteristics and e-learning)

### **Quality Audit**

This is the process of quality assessment by which an external body assures that the institution or programme quality assurance procedures; or the overall (internal and external) quality assurance procedures of the system are adequate and are being carried out. In Kenya this is what is referred to as *Re-inspection* of universities.

Quality Audit looks to the system for achieving good quality and not at the quality itself. A quality audit can be realized only by persons (quality auditors) who are not directly involved in the areas being audited. Quality audit can be undertaken to meet internal goals (internal audit) or external goals (external audit). The result of the audit must be documented.

### **Quality Assurance in Kenya**

Quality assurance in higher education in Kenya is undertaken by several institutions/bodies, for example,

- Higher education institutions (HEIs);
- Professional bodies;
- Directorate of Quality Assurance and Standards (MOE); and
- Commission for Higher Education.

National quality assurance continuum can be presented in a Matrix with the following distribution of responsibilities:

**Table 1 = Matrix of Quality Assurance Functions in Higher Education in Kenya**

<b>Unit of Assessment</b>	<b>Institution</b>	<b>Diploma Programmes</b>	<b>Undergraduate Programmes</b>	<b>Postgraduate Programmes</b>	<b>Students</b>
<b>Initial Assessment/ Licensing/ Registration</b>	CHE, MOE, Other Government departments	CHE, MOE, Other Government Departments	Licensed HEIs, CHE	Licensed HEIs, CHE	KNEC Examinations, Institutional exams, Professional exams
<b>Supervision</b>	CHE, MOE, Other Government Departments . Professional bodies.	HEIs, MOE, Other Government Departments. Professional bodies.	CHE, HEIs, Professional bodies	CHE, HEIs, Professional bodies	HEIs
<b>Accreditation/ Validation</b>	CHE, Professional bodies	CHE, Professional bodies	CHE, Professional bodies	CHE, Professional bodies	Alumni, Employers' reports
<b>Professional Certification</b>	Professional bodies	Professional bodies	Professional bodies	Professional bodies	Professional bodies
<b>Public Information</b>	CHE, Government, MOE, CHE	CHE, Government, MOE, CHE	CHE, Government, MOE, CHE	CHE, Government, MOE, CHE	CHE, HEIs, MOE

**KEY:** CHE - Commission for Higher Education

MOE - Ministry of Education

HEIs - Higher Education Institutions

### **Operationalisation of Accreditation**

The function of accreditation of universities in Kenya is carried out by the Commission through the use of rules, guidelines and standards.

#### **(a) The 1989 Universities Rules**

In 1989, pursuant to the *Universities Act, 1985*, the Commission developed and caused their publication in the Kenya Gazette of the Universities (Establishment of Universities) (Standardisation, Accreditation and Supervision) Rules, 1989, which provide for the establishment and accreditation of universities in Kenya.

*The Rules provide that upon their becoming operational, no university would operate in the country without the express authority of the Commission or any other person competent to grant such authority under the Universities Act, 1985.*

These Rules apply to:

- (i) Private universities;
- (ii) Public universities other than a public university established by an Act of Parliament;
- (iii) Universities established outside Kenya (foreign universities); and
- (iv) Any Agency or agency of such university operating or intending to operate as such on behalf of such university within Kenya.

The Rules, further, provided for:

- (i) Registration by the Commission of universities which were existing prior to the establishment of the Commission through issuance of Certificate of Registration pending their advancement to full accreditation status;
- (ii) Establishment by the Commission of new universities through-
  - Issuance of Letter of Interim Authority, at the initial stages of development of the university'; and
  - Full accreditation through the Award of Charter upon the university attaining the standards set out by the Commission.
- (iii) Preparation by the Commission of institutional standards governing the performance, operation and general conduct of all universities authorised to operate under the Rules;
- (iv) Continuous evaluation of performance and supervision (quality assurance and enhancement) by the Commission of universities that have been authorized to operate through-
  - Annual reports of their activities;
  - Re-inspections through detailed evaluations after every three years or any other time that the Commission may decide; and
  - Prior approval of any new academic programmes.

**(b) The 2004 Universities Rules on Coordination of Post Secondary School Institutions for University Education**

The *Universities Act, 1985*, gives mandate to the Commission to coordinate education and training courses offered in post secondary school institutions for purposes of higher education and university admission. In this respect, the Commission developed and caused the publication in the Kenya Gazette the *Universities (Co-ordination of Post Secondary School Institutions for University Education) Rules, 2004*.

These Universities Rules provide for:

- (i) **Validation** of academic programmes of post secondary school institutions by the Commission. An institution whose programmes have been validated by the Commission is eligible to apply for authority to collaborate with other

institutions or universities for purposes of offering the validated or degree programmes. Further, a candidate awarded a diploma of any validated programme is qualified to apply for admission to a degree programme.

- (ii) The process of granting authority to a post secondary school institution, whose programme has been validated, to **collaborate** with other institutions or universities for purposes of offering such programmes of those institutions or universities.
- (iii) Preparation by the Commission of course standards for co-ordination of programmes of post secondary school institutions.
- (iv) Continuous evaluation of performance and supervision by the Commission of post secondary school institutions that have been granted Certificate of Validation or have been authorised to collaborate.

c) **Sessional Paper No. 1 of 2005**

The Sessional Paper No. 1 of 2005 also identifies the Commission for Higher Education as the national quality assurance agency for university and tertiary education. It affirms that a national accreditation system is necessary as a means of guaranteeing quality in education and training.

## 2.4 **Standards and Guidelines**

In order to ensure that the process of accreditation is fair, thorough and comprehensive; the Commission has developed and uses the following standards and guidelines:

- (a) Standard for physical facilities;
- (b) Curriculum Standards;
- (c) Standards for University Libraries
- (d) Guidelines for preparing a Proposal for the Establishment of a Private University;
- (e) Guidelines for Preparing Curriculum of Academic Programmes;
- (f) Guidelines for Developing Rules and Regulations Governing the Conduct and Discipline of Students;
- (g) Guidelines for Preparing Charters and Statutes;
- (h) Criteria for Equation of Qualifications;
- (i) Standards for Validation of Diploma Programmes; and
- (j) Standards for Collaboration between Institutions.

## 2.5 The Concept and Approaches of Accreditation and Quality Assurance

The concept of practices in accreditation and quality assurance is based on two main approaches:

### (a) *The “Standard-Based” Approach*

This is conformity to set requirements. In this case, quality is measured against pre-defined standards. It focuses on standards and the extent to which they are being met.

### (c) *The “Fitness for Purpose” Approach*

This assumes that quality is equal to goals, purpose and objectives set by the institution. The Commission examines the institution’s adherence to the set purpose, goals and objectives.

## 2.6 Forms of Accreditation

There are three forms of accreditation, and they are:

- (a) *Subject Accreditation* – focuses on specific matter whatever the programme is.
- (b) *Programme Accreditation* – focuses on study programmes.
- (c) *Institutional Accreditation* – focuses on the overall quality of the institution.

## 2.7 The Commission’s Principles of Accreditation

The Commission applies and uses the above concepts and forms of accreditation and quality assurance based on the following principles:

- (a) The Commission recognizes that quality and quality control are primarily the responsibility of the higher education institutions themselves, but they partner with the Commission for better results.
- (b) The Commission respects the autonomy, identity and integrity of the institutions.
- (c) The Commission applies standards that are in line with international developments and best practices and international bench-marking.
- (d) The Commission aims at contributing to quality enhancement and accountability of institutions.
- (e) The Commission involves experts in external processes

## 2.8 Key Features of Accreditation

The key features of the Commission's accreditation process include:

- (a) Accreditation is compulsory in Kenya for private institutions.
- (b) The achievement of an accreditation status is not an indefinite status, but,
  - (i) It is a continuous process;
  - (ii) Periodic review is the lifeline of accreditations and programmes; and
  - (iii) Institutions seeking accreditation undergo a number of stages (stipulated in the Universities Rules).
- (c) Use of peer review/consultative process in subject / discipline / profession.
- (d) Self-Study / Evaluation by institution based on institution's vision, mission, philosophy and objectives.
- (e) Site visits / inspections to verify available resources.
- (f) Action / judgment by the Commission is more of a developmental approach where the Commission works with the institution to reach the desired standards, after which the Commission will:
  - (i) Grant a Letter of Interim Authority to a newly established institution;
  - (ii) Award a Charter to an existing institution;
  - (iii) Grant a Re-inspection Certificate to an Accredited institution;
  - (iv) Grant a Certificate of Validation to a post secondary school institution; and
  - (v) Grant Authority to a post secondary school institution to collaborate with other institutions for purpose of offering academic programmes.

**Table 2:** *Classification of Basic Quality Assurance Options*

<b>Purpose</b>	<b>Quality Control</b>	<b>Accountability Public Assurance</b>	<b>Improvement/ Guidance</b>
<b>Mechanism</b>	Establishment/ Registration/ Licensing	Accreditation/ Standardisation/ Assessment	Re-Inspection/ Supervision/ Quality Audit
<b>Framework</b>	Standard-based approach	Standard-based approach	Fitness-for-purpose approach
<b>Procedure</b>	Mostly external assessment	Both internal and external assessment	Both self- assessment and Peer review
<b>Nature</b>	Compulsory	Compulsory	Compulsory

## 2.9 The Process of Accreditation

### 2.9.1 *Process Leading to Grant of Letter of Interim Authority*

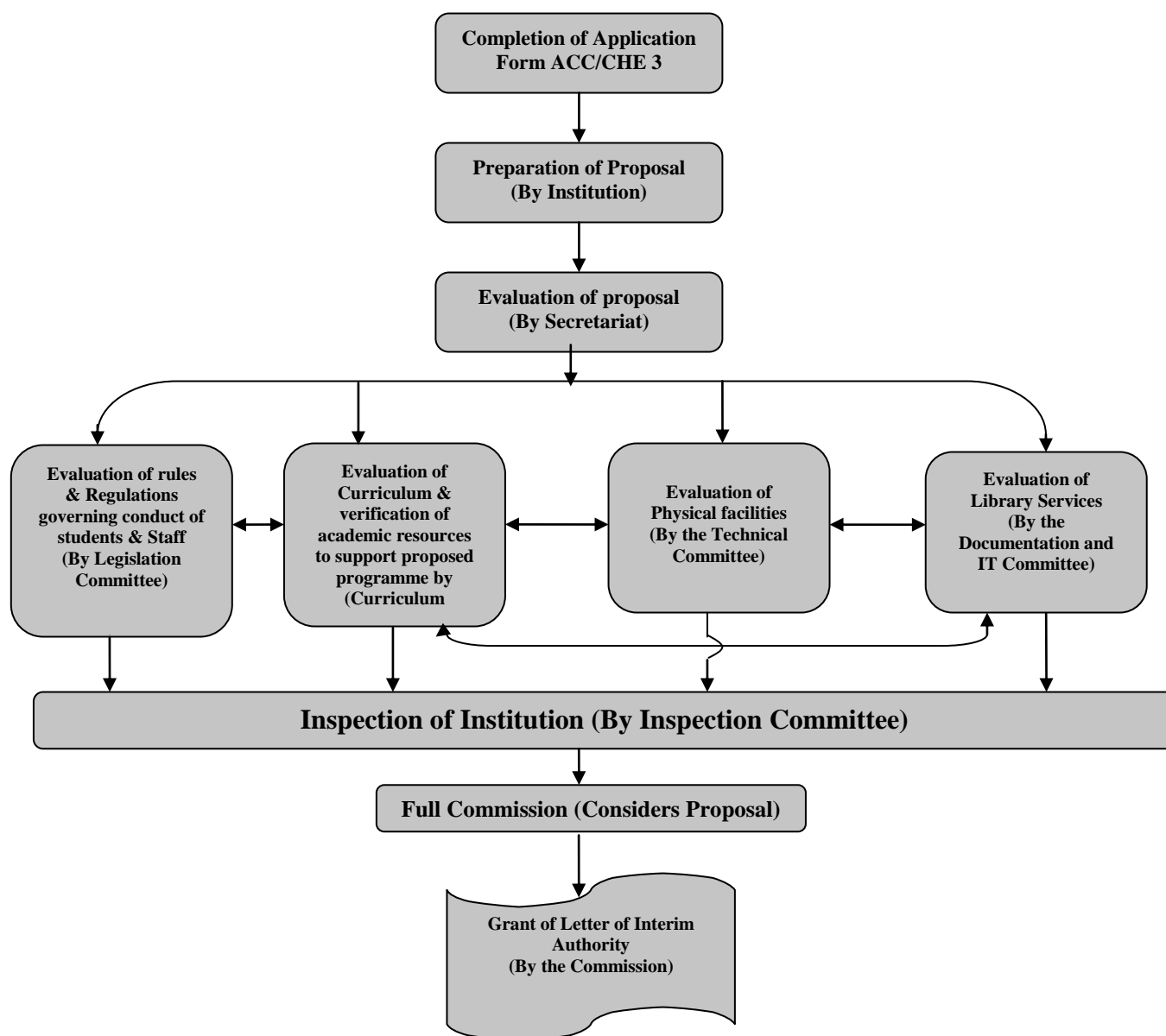
The Commission ensures that the existing or the proposed physical facilities, human and financial resources and proposed academic programmes and governance structures, are adequate and sustainable for running a university. The process involves evaluation of documentation of resources of the institution by experts and technical persons in the respective areas. The process includes:

- (a) Completion of application form ACC/CHE 3 which should be accompanied by a proposal to establish a private university giving details on-
  - (i) Proposed name, location and academic character of the proposed university;
  - (ii) Aims and objects;
  - (iii) Form of governance;
  - (iv) Academic programme or programmes to be offered;
  - (v) Academic resources (including finances, staff, library services and equipment); and
  - (vi) A timetable of steps to be undertaken in the next 4 years.
- (b) Evaluation of a proposal by the Secretariat in terms of the above.
- (c) Evaluation and approval of detailed curricula of proposed academic programmes by the Curriculum Committee assisted by peer reviewers or resource persons (including verification of academic resources available to support the programme(s)).
- (d) Inspection of physical facilities by the Technical Committee.
- (e) Inspection of library resources by the Documentation and Information Technology Committee.
- (f) Evaluation of proposed rules and regulation governing the conduct and discipline of students and staff, by the Legislation Committee.
- (g) Comprehensive Inspection of the proposed institution by the Inspection Committee.
- (h) Consideration of the Proposal by the Full Commission.

If the Commission is generally satisfied that the proposed institution has reasonable resources and realistic plans to achieve the aims and objects for which the university is being established, it may accept the proposal and issue or grant a Letter of Interim Authority to the institution/sponsor to operate awaiting full accreditation and award of Charter.

- The Letter of Interim Authority allows the sponsor to;
- (i) Set up a governing body;
  - (ii) Commence or continue the development of physical facilities;
  - (iii) Commence or continue to assemble academic resource;
  - (iv) Advertise the academic programme(s); and
  - (v) Admit student to such programme (s).
- (j) Grant of a Letter of Interim Authority by the Commission for Higher Education, Kenya.

**Fig. 1: Process of Grant of Letter of Interim Authority Flow Chart**





### 2.9.2 *Process Leading to Award of Charter*

Within **three years** after grant of Letter of Interim Authority or as the Commission may determine, the process of full accreditation will start. This involves a detailed and thorough re-evaluation of the resources of the institution by the Commission. Again, use is made of peer reviewers and experts/technical support. The process includes:

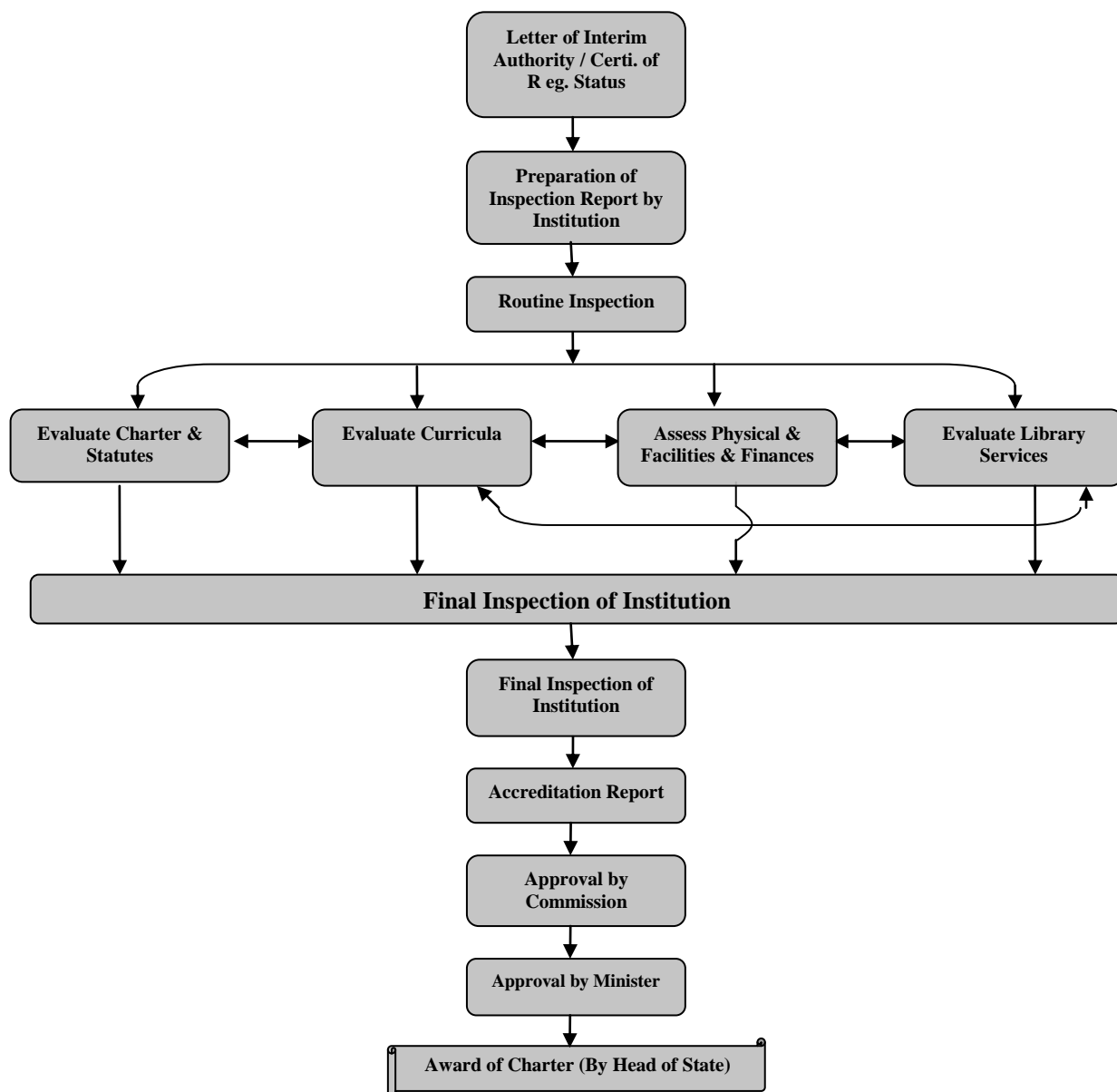
- (a) Preparation and Submission of an Inspection report by the institution detailing-
  - (i) Academic programmes on offer;
  - (ii) Student enrolment per programme for the last four years;
  - (iii) Staffing levels and their qualifications;
  - (iv) Research completed, published and those in progress;
  - (v) Financial Resources, including Audited Accounts;
  - (vi) Inventory of Physical facilities (includes lecture theatres, Laboratories, offices, staff houses, students' accommodation facilities; and
  - (vii) Development plans including a Master Plan.
- (b) Evaluation and approval of proposed curricula of academic programmes by the Curriculum Committee assisted by the peer reviewers (including verification of academic resources available to support the programme(s)).
- (c) Evaluation and inspection of available physical facilities by the Technical Committee including land, water, electricity, and sewage system.
- (d) Evaluation and Inspection of Library services by the Documentation & Information Technology Committee.
- (e) Evaluation of draft Charter and draft Statutes by the Legislation Committee.
- (f) Comprehensive Inspection of the institution by the Inspection Committee.
- (g) Preparation of Accreditation Report by the Commission Secretariat.
- (h) Consideration of the Charter and Accreditation Report by the Commission.

When the Commission is satisfied that the institution has sound structures for the academic and administrative organisation, and that it has effectively organised human, physical, financial and other resources into an educational institution comparable to similar institutions authorised to operate in Kenya it

recommends, through the Minister in charge of higher education science and technology, to the President that the university be awarded a charter.

- (i) Award of Charter by H.E., The President of the Republic of Kenya.

*Fig. 2: Process of Award of Charter Flow Chart*



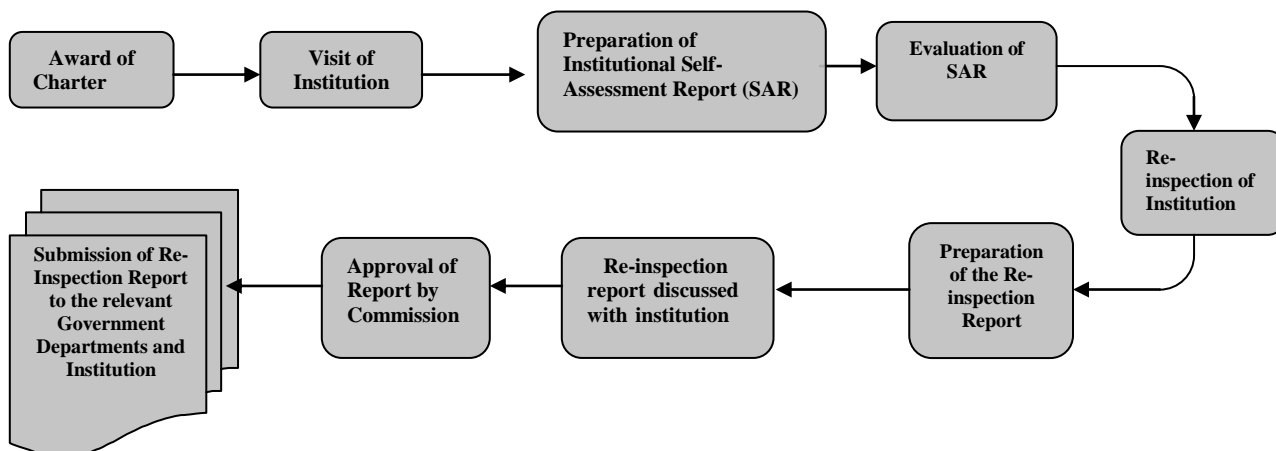
### 2.9.3 *Post Award of Charter Re-inspection*

Every university authorised to operate by the Commission is required to undergo continuous supervision and inspection by the Commission, in particular through submission of annual reports of its activities, and after every three years or as the Commission may determine, a **re-inspection** or evaluation to ensure that appropriate standards have been and continue to be maintained by the institution. The process includes:

- (a) Preparation of Self-Assessment Report (SAR) by the institution in terms of-
  - (i) Performance of the institution in relation to its objectives;
  - (ii) Effectiveness of the Governance and Administrative Structure;
  - (iii) Developments since award of Charter;
  - (iv) Achievement of Development Plans since award of Charter;
  - (v) Research activities;
  - (vi) Staff and Staff development;
  - (vii) Student enrolment and student services;
  - (viii) Departmental issues such as, goals and objectives, skills and attitudes developed in students, student load, student counseling, internal quality assurance mechanisms, annual budgeting process, graduate destinations / employability of graduates; and
  - (ix) Financial resources and their sustainability.
- (b) Appraisal of the Self-Assessment Report by the Secretariat.
- (c) Re-Inspection of the institution by the Inspection Committee based upon the Self-Assessment Report
- (d) Preparation of Re-Inspection Report.
- (e) Discussion of Re-Inspection Report between the Institution and the Commission.
- (f) Approval of Re-Inspection Report by the Commission.
- (g) Dissemination of Re-Inspection Report to the institution and to the relevant Government Departments.
- (h) Grant of Certificate of Inspection by the Commission.

Furthermore, all new programmes that a university wishes to introduce must be evaluated and given prior approval by the Commission before they are mounted by the institution.

**Fig. 3: Process of Re-Inspection Flow Chart**



#### 2.9.4 Process of Validation of Diploma Programmes

This process applies to post secondary school institutions that wish to have their academic programmes validated by the Commission in order to ascertain that they have appropriate standards, and also for the purpose of collaboration with other institutions or universities for award of degree in accordance with the Universities (Co-ordination of Post Secondary School Institutions for University Education) Rules, 2004.

The process includes:

- (a) Completion of Application FORM PSSI/CHE 1, in duplicate, by the Post Secondary School institution.
- (b) Submission of a duly completed detailed statement for a Post Secondary School Institution (questionnaire) indicating:
  - (i) Vision, Mission and Philosophy;
  - (ii) Governance structure;
  - (iii) Available physical facilities;
  - (iv) Master plan and strategic plan;
  - (v) Research activities;
  - (vi) Staff and staff development;
  - (vii) Teaching/learning process;
  - (viii) Student enrolment;
  - (ix) Financial resources; and
  - (x) Programmes offered and curriculum development.

- (c) Assessment of the self-evaluation questionnaire by the Secretariat.
- (d) Submission of Curriculum of the diploma programme to be validated.
- (e) Evaluation of Curriculum by resource person.
- (f) Consideration of Curriculum by the Post Secondary School Institutions Committee.
- (g) Inspection of the institution by the Post Secondary School Institutions Committee.
- (h) Preparation of assessment report on the institution for validation of the curriculum.
- (i) Approval of validated programme by the Post Secondary School Institutions Committee

Where the Commission is satisfied that the relevant programmes meet the required course standards and that the institution has adequate human, physical, financial and other resources to warrant validation of its programmes, the Commission shall issue a Certificate of validation.

- (j) Issuance of Certificate of Validation by the Commission.
- (k) Advantages of validating programmes are:
  - (i) Candidates graduating from these programmes will be eligible to apply for admission to a university; and
  - (ii) The institution will gain capacity to apply to the Commission for authority to collaborate with universities and other institutions.

#### **2.9.5 Process Leading to Grant of Authority to Collaborate**

A post secondary school institution, which has been awarded a Certificate of Validation in respect to any of its programmes, may apply to the Commission for authority to collaborate with another institution or university for the purposes of offering such programmes of that institution or university. The process is governed by the Universities (Co-ordination of Post Secondary school Institutions for University Education) Rules 2004. The process includes:

- (a) Completion of an Application FORM PSSI/CHE 5 accompanied by a copy of the contract or proposed contract giving the following information:
  - (i) Terms of the contract;
  - (ii) Mode of teaching;
  - (iii) Mode of conducting examinations, assessment, and meriting in relation to issuance of academic awards in respect of the programmes offered;

- (iv) Rights and obligations of the collaborating post secondary school institution or university;
  - (v) Rights and obligations of the collaborating institution or university;
  - (vi) Resources devoted to the programme;
  - (vii) Management and administration of the programme; and
  - (viii) The accreditation status of the institution or university in its country of origin and the accreditation status of the programme in the institution or university.
- (b) Assessment of Agreement between the Post Secondary Schools Institution and the collaborating university, or institution by the Secretariat.
  - (c) Assessment of curriculum and academic resources of collaborating institutions by the Secretariat and resource persons.
  - (d) Preparation of reports by the Secretariat on collaborating institutions.
  - (e) Approval of intuitions for collaboration by the Post Secondary schools Institutions Committee.
  - (f) Grant of Letter of Authority to collaborate by the Commission.

#### 2.9.6 **Accreditation of Academic Programmes**

##### (a) **Preamble**

In Kenya accreditation of academic programmes is part of the overall institutional accreditation. It is mandatory for private universities to have their academic programmes approved by the Commission before they are launched.

##### (i) **Provision in the Universities Act Cap 210 B (1985)**

The core functions of the Commission which relate to academic programmes are as specified in section 6 (h) and (k) of the Universities Act Cap 210B, and they are:

- *To examine and approve proposals for courses of study and course regulations submitted to it by private universities.*
- *To ensure maintenance of standards for courses of study and examination in the universities.*

The Commission is expected to ensure that Kenyans who acquired university education in private institutions are adaptable to national requirements by correlating the course objectives with national needs. The Commission is

expected to do this by examining and approving proposals for courses of study submitted to it by private universities.

The standards to be achieved by courses of study and examinations must be defined and set at the various university institutions according to the social and economic needs of country. The Commission is expected to facilitate those institutional efforts.

**(ii) Provisions in the Universities Rules, 1989**

Private accredited universities wishing to mount new academic programmes are also expected to have them approved by the Commission for Higher Education. This is in accordance with section 19 (a) (iii) of the Universities (Establishment of Universities) (Standardization, Accreditation and Supervision) Rules, 1989, which states that:

*Every accredited university shall ensure that no new programmes of instruction are mounted and regulations in respect thereof effected without the prior consent of the Commission.*

In approving academic programmes of private universities the Commission ensures that they are contextualised to the Kenyan situation, but still maintaining international academic standards.

**(b) The Process of Evaluating Curriculum**

*Curriculum* – means an organized programme of study for a given degree, diploma, certificate award incorporating all matters such as academic staff requirements, duration of academic programme, admission requirements, content requirements and assessment process requirements.

The process of accreditation of academic programmes by the Commission for Higher Education involves evaluation of curriculum of the proposed academic programme to ensure that it meets the standards as set by the Commission. This is followed by assessment of available academic resources (physical, academic, equipment and learning materials, and texts and journals) to support the implementation of the approved curriculum.

Evaluation of curricula of academic programmes submitted to the Commission is through peer reviewers and Curriculum Accreditation Committee; and the Curriculum Committee

**(c) Peer Reviewers (Recourse Persons)**

Peer reviewers are drawn from senior academics in public universities, chartered private universities, research institutions, professional bodies and the industry. If from

university, they should preferably hold a PhD in the relevant area and with university teaching experience of at least five (5) years at senior lecturer level.

Two (2) resource persons are used for evaluation of one curriculum. The resource persons present their evaluation reports to the Curriculum Accreditation Committee.

**(d) Curriculum Accreditation Committee**

- (i) The membership of the Committee is drawn from the Secretariat and peer reviewers and comprise:
  - (I) Commission Secretary/Chief Executive Officer (Chair);
  - (II) Deputy Commission Secretaries;
  - (III) Senior Assistant Commission Secretaries in Accreditation and Quality Assurance Division;
  - (IV) Senior Staff in Curriculum Department;
  - (V) Peer Reviewers (Resource Persons).
- (ii) The functions of the Committee are:
  - (I) To receive and consider evaluation reports on curricula from resource persons;
  - (II) To verify academic resources available or likely to be available to support proposed academic programmes; and
  - (III) To recommend to the Curriculum Committee programmes for approval.

**(e) Curriculum Committee**

- (i) The membership of the Committee is made of eight (8) Commissioners including the Commission Secretary. The Chair is appointed by the Commission among its members.
- (ii) The terms of reference are:
  - (I) To review curriculum standards and guidelines from time to time;
  - (II) To develop and review standards and guidelines for open and distance learning;
  - (III) To ensure high academic standards of courses of study and course regulations in universities;
  - (IV) To establish the availability and sustainability of teaching and research facilities including equipment and learning materials;
  - (V) To look into staffing levels in terms of quantity and quality;
  - (VI) To approve academic programmes;
  - (VII) To consider and make recommendations to the Inspection Committee and the Commission on academic programme(s); and
  - (VIII) To consider and make recommendations on any matter as may be directed by the Commission from time to time.



(f) **Stages of Academic Programme Evaluation**

The following process and time frames have been adopted by the Curriculum Committee to ensure speedy evaluation of academic programmes:

*Timeframe for evaluating academic programmes*

	<b>Activity</b>	<b>Time-Frame</b>
1.	Submission of Curriculum to Commission and required academic resources by sponsor /institution and acknowledgement.	1day
2.	Evaluation of Curriculum by two (2) resource persons and submission of evaluation reports to the Commission.	4 weeks
3.	Consideration of Curriculum and evaluation reports by the Curriculum Accreditation Committee (including resource persons).	4 weeks
4.	Preparation of evaluation reports by Curriculum Department and Verification of academic resources and report sent to the university	4 weeks
5.	Approval of Curriculum by Curriculum Committee.	4 weeks
	<b>Total Duration</b>	<b>16 weeks</b>

**Note:** *The stipulated time-frame do not take into account the time spent by universities in revising the curriculum following recommendations of the Commission.*

The Commission will endeavour to evaluate and send an evaluation report on the proposed curriculum to the institution within **17** weeks.

(g) **Instruments and Criteria for evaluation**

(i) **Instruments**

The Commission has developed and utilises the following instruments for evaluation of academic programmes:

- (I) Curriculum standards;
- (II) Guidelines for preparing curriculum of an academic programme;
- (III) Checklist on verification of available academic resources to support the programme;
- (IV) Guidelines and Standards for Distance and Open Learning; and
- (V) Guidelines and standards for developing study materials for curricula delivered through distance learning.

(ii) **Criteria for evaluation of curriculum**

The criteria considered when evaluation curricula of academic programmes are stipulated in the Curriculum Standards and Guidelines for Preparing Curriculum of an academic programme (See Part III).

**Academic Leadership:** Each department should be headed by a qualified academic staff with appropriate experience in university teaching, preferably a Professor or Associate Professor, holding a PhD in the relevant field of study. He/she should preferably be on full-time employment.

**An academic staff:** Academic staff should hold an academic qualification of at least one level above what he is supposed to teach. Diploma programme should be taught by those holding at least a Bachelors degree, undergraduate degree programme should be taught by those holding at least a Masters degree, and PhD programmes should be taught by those holding PhD but with extensive teaching and research experiences.

**2.9.7 Quality Control and Assurance**

(a) **Quality of the Graduate** will depend to a large extent on:

- (i) Quality of enrolled learners;
- (ii) Quality of lecturers/trainers; and
- (iii) Quality of facilities and learning equipment.

The Commission therefore assesses these with respect to each programme especially during re-inspection of already chartered universities.

(b) Apart from assessment of curriculum, the Commission also uses other methods to assess quality, namely:

- (i) Selective entrance to secure best students, therefore good training in secondary schools is required;
- (ii) Staff recruitment procedures, proper staff development and staff retention strategies;
- (iii) External examininig system to ensure high standards of examinations;
- (iv) Performance related to funding of programmes and departments;
- (v) Peer review of research proposals to ensure quality research;
- (vi) Recording of academic productivity in terms of publications and

(vii) Award, patents, royalties, and others.

### 2.9.8 Uses of Accreditation System by Different Stakeholders

<b>Users</b>	<b>Uses</b>
<b>Government</b>	<ol style="list-style-type: none"><li>1. To define higher education countrywide.</li><li>2. To assure quality higher education for the citizenry.</li><li>3. To assure quality labour force.</li><li>4. To determine which institutions and programmes receive funding.</li><li>5. To accept into the civil service only those graduates from accredited institutions.</li><li>6. To generally use quality assurance as a means of consumer protection</li></ol>
<b>Students</b>	<ol style="list-style-type: none"><li>1. To assist in selecting an institution for study.</li><li>2. To ensure transfer between accredited institutions.</li><li>3. To ensure admission at the postgraduate level to a Different institution from the undergraduate degree.</li><li>4. To assist in employment, particularly into Professions.</li></ol>
<b>Employers</b>	To ensure the quality of employees.
<b>Funding Agencies</b>	To determine eligible institutions / or students for funding for better use of public funds.
<b>Higher Education Institutions</b>	<ol style="list-style-type: none"><li>1. To improve institutional information and data.</li><li>2. To enhance institutional planning.</li><li>3. To determine membership in certain organizations.</li><li>4. To facilitate transfer schemes</li></ol>

## PART III

### GUIELINES AND STANDARDS FOR QUALITY ASSURANCE

#### 3.1 APPLICATION TO ESTABLISH A UNIVERSITY

##### FIRST SCHEDULE - FORM ACC/CHE 3

##### APPLICATION TO ESTABLISH A UNIVERSITY

1. Name of applicant .....
2. Address ..... Telephone .....
3. Name of proposed university .....
4. Proposed location(s) .....
5. Proposed principal academic focus or discipline .....  
.....
6. Proposed programmes (i.e. certificates, diplomas, degrees)
  - (a) .....
  - (b) .....
  - (c) .....
7. Available resources: Finance Shs.....  
Land .....(ha.)  
Buildings .....  
Other .....- 8. Prospective resources: Finance Shs. .... source(s) .....  
Land .....(ha.)  
Buildings .....  
Others .....

I hereby make application for authority to establish a university under rule 6 and attach herewith the proposal required by rule 7 of the Universities (Establishment of Universities) (Standardization, Accreditation and Supervision) Rules, 1989.

Name .....

Designation .....

Authorized signature .....

Full postal address .....

.....

.....

### 3.2 GUIDELINES FOR PREPARING A PROPOSAL FOR ESTABLISHMENT OF A UNIVERSITY

#### PREAMBLE

The basic requirements for the establishment of a new university are stipulated in the Universities (Establishment of Universities) (Standardization, Accreditation and Supervision) Rules, 1989, Section 7 (1) (a-f). Rule 7 is the basis for preparing a proposal document for establishing a new university.

These guidelines, however, give more details on what is expected under each section of the above Rules. Section 7(1)(a-f) should form the different chapters of the proposal so that the Introduction, becomes chapter one; Section 7(1)(a) becomes chapter two and Section 7(1)(b) becomes chapter three and so on.

These guidelines should be used together with the Universities Act (Cap.210B) and the Universities Rules, 1989.

#### CHAPTER 1: INTRODUCTION

- 1.1 The historical background of the proposed university, indicating the historical, economic, Socio-cultural, and other perspectives that have shaped the evolution of the idea of a university and the persons involved. The experience the sponsors have to enable them to start a university.
- 1.2 This chapter should include the list and brief description of other related institutions, if any, under the same sponsors.
- 1.3 Justification for the proposed University.
- 1.4 The Vision, Mission and Philosophy of the proposed University.
  - (a) **Vision**

A statement on what the institution is expected to develop into in future.
  - (b) **Mission**

This should include:

    - (i) Purpose statement;
    - (ii) Business statement; and
    - (iii) Value statement.

(c) **Philosophy**

This is a description of the institutional beliefs, values and tenets upon which the institution will be founded.

## **CHAPTER 2: THE PROPOSED NAME, LOCATION AND ACADEMIC CHARACTER**

### **2.1 The Proposed Name**

- (a) The name that will be legally protected.
- (b) The name should not be the same as that of an existing institution.

### **2.2 Location**

This section provides the description of the seat of the proposed University including the L.R. number, administrative district, postal address, telephone and fax numbers, e-mail etc.

### **2.3 The Academic Character**

- (a) The sponsor, which should be a legal entity.
- (b) Academic orientation of the proposed university, which should be consistent with the philosophy of the university.
- (c) A list of the programmes to be offered.
- (d) Type of academic organization, for example, departments and faculties.
- (e) Teaching – Learning processes including research.
  - (i) Mode of delivery.
  - (ii) Organisation of academic year.
- (f) Expected initial student enrolment and the expected enrolment as the university expands.

## **CHAPTER 3: AIMS AND OBJECTS**

The aims and objects of the proposed university which must be consistent with the needs of university education in Kenya.

### **3.1 The aims**

These are broad statements of goals of the proposed university.

### **3.2 Objectives**

This should include teaching, research and community service, and should be stated in measurable terms.

### **3.3 Functions**

Functions are activities to be undertaken to achieve the stated objectives of the university.

### **3.4 Strategies for achieving the stated objectives.**

## **CHAPTER 4: FORM OF GOVERNANCE**

The form of governance through which the academic and Administrative affairs of the university are to be conducted.

### **4.1 Organs of Governance**

- (a) Governance structures include:
  - (i) Board of Trustees or equivalent (Trust Deed should be appended).
  - (ii) Governing Council or equivalent.
  - (iii) Senate or equivalent.
  - (iv) Management Board or equivalent.
- (b) For each organ state its:
  - (i) Membership, indicating Chairman and Secretary:
  - (ii) Terms of reference:
  - (iii) Standing Committees.
- (c) Organizational Chart indicating relationships between the organs of governance.

### **4.2 Administrative and Academic Structures:**

- (a) Chief officers of the proposed university indicating:
  - (i) Appointing Authority.
  - (ii) Broad responsibilities.
  - (iii) Reporting relationships.



- (b) Administrative and academic organizational charts depicting reporting relationships between the officers.

## **CHAPTER 5: ACADEMIC PROGRAMMES**

- 5.1 An outline of the academic programmes intended to be conducted at the university, indicating areas of specialization where applicable.
- 5.2 The phases of implementation of the programmes.
- 5.3 The justification for mounting the programmes, which must be consistent with the aims and objects of the university.

*Note: Detailed curricula of academic to be mounted in phase one which have been approved by the Commission should be appended.*

## **CHAPTER 6: ACADEMIC RESOURCES**

Academic resources (including finances, staff, library services and equipment and physical facilities appropriate to and adequate for the proposed academic programme or programmes to be conducted at that university which have or can be procured and the manner in which these will be sustained on a long-term basis.

### **6.1 Human Resources**

This should include both academic and non-academic staff.

#### *(a) Academic Staff*

Their qualifications and experience indicating part-time and full-time staff.

Each Department should have at least:-

- (i) One Professor/ Associate Professor
- (ii) Two other academic staff at the level of a lecturer.

The person to initiate the programme should be professionally qualified and experienced to provide academic leadership.

#### *(b) Non-academic Staff*

Qualified and experienced non-academic staff who will support the various services of the proposed university.

## 6.2 Library Resources

The library resources should include:

- (a) Information resources on various formats which are authoritative and up to date for the envisaged academic programmes.
- (b) Library building: a quiet and convenient place for study and research.
- (c) Library staff, who are appropriately qualified and adequate to offer required services.
- (d) Library services, which support the academic programmes of the university.
- (e) Organisation of information resources based on internationally approved conventions and arranged for easy access and retrieval.
- (f) Information and communication technology (ICT) equipment used for access to information, teaching and learning.
- (g) A detailed description of the proposed university library prepared in accordance with the University Rules 1989 and Standards and Guidelines for University Libraries in Kenya (to be appended).

## 6.3 Physical Resources

These are teaching facilities available at the proposed university.

They should include:

- (a) land,
- (b) academic and administrative offices,
- (c) lecture rooms,
- (d) laboratories,
- (e) utility services (water, sewage, electricity)
- (f) fire safety,
- (g) games and sports facilities,
- (h) health facilities, and
- (i) library facilities.

## 6.4 Financial Resources

- (a) Sources of finance and expected income from each source for the first four years.

- (b) Expected income and expenditure for the first ten years taking into account the expected expansion in student enrolment, staff recruitment and development, expansion of programmes and capital development.
- (c) The proposed university should have a Trust Fund where all monies raised for the university are accredited.

## **CHAPTER 7: TIME TABLE**

- 7.1 A Time Table which indicates the steps expected to be taken in the next three years towards the realization of the aims and objects for which the university is to be established.
- 7.2 Gant chart showing when various activities will be undertaken.

## **CHAPTER 8: APPENDICES**

**Appendix 8.1** - Detailed curricula of the programmes to be mounted in phase one prepared in accordance with the Guidelines for preparing Curriculum of the Commission for Higher Education.

**Appendix 8.2** - Trust Deed

**Appendix 8.3** - This should give the detailed description of the proposed University Library.

**Appendix 8.4 - Physical Resources**

Copies of the following documents:

- (a) Architectural drawing of the buildings;
- (b) Charge of user documents;
- (c) Certificate of Search;
- (d) Borehole log; and
- (e) Laboratory analysis of water (chemical and biological) - From recognized laboratories.

**Appendix 8.5** - A ten year Master Plan indicating physical, academic and financial resources.

**Appendix 8.6** - (a) Rules and Regulations governing student conduct and discipline; and  
(b) Terms and conditions of service for staff.

**Appendix 8.7 - Student Handbook to include:**

**(a) *University Admission Requirements***

- (i) Minimum entrance requirement.
- (ii) Other admission requirements.
- (iii) Application for admission to the University.

**(b) *Financial Requirements***

- (i) Tuition fees.
- (ii) Accommodation & Catering.
- (iii) Examination fees.
- (iv) Medical fees.
- (v) Registration fees.

**(c) *Student Welfare Services***

- (i) Counselling services.
- (ii) Sports facilities.
- (iii) Health Services.

### 3.3 GUIDELINES FOR RULES AND REGULATIONS FOR STUDENT CONDUCT AND DISCIPLINE FOR A PROPOSED UNIVERSITY

#### 1. PRELIMINARY

There should be preliminary provisions clearly laying out the following:

- 1.1 Definitions, with regards to terms such as a student, discipline etc.;
- 1.2 Organ/Department of the university entrusted with making the rules and regulations;
- 1.3 University Department entitled to enforce them;
- 1.4 Time frame when the rules would come into force and duration over which they will be binding to student; and
- 1.5 Student organization entrusted with duties of promoting student welfare etc.

#### 2. PROVISIONS FOR CONDUCT OF STUDENTS

- 2.1. *Attendance*, e.g.
  - (a) Punctuality.
  - (b) Lateness.
  - (c) Absence etc.
- 2.2. *Obligations*, e.g.
  - (a) Towards the general public, e.g. in times of riots, in case of issuance of information to press, etc.
  - (b) Among themselves.
  - (c) Towards teaching staff.
  - (d) Towards Administration.
- 2.3. *Rights*, e.g.
  - (a) Rights of students.
  - (b) Human rights.
  - (c) Rights to medical facilities, vehicle on campus.
- 2.4. *Dignity*, e.g.
  - (a) Upholding the dignity of the institution.
  - (b) Dressing codes.

- 2.5 ***Usage of Equipment***, e.g.  
Laboratory equipment, clinical equipment, computers etc.
- 2.6 ***Utilization of utilities/ facilities***, e.g.
  - (a) Use of water, light, telephone, etc.
  - (b) Parking and traffic, etc.
- 2.7 ***Regard for property***, e.g.
  - (a) Regard to institution's property.
  - (b) Regard to property of others.
- 2.8 ***Honesty***, e.g.  
Academic Honesty.
- 2.9 ***On-Campus*** (conduct).
- 2.10 ***Off-Campus*** (conduct).
- 2.11 ***Study Environment*** – upholding and respecting the rights of others to study.
- 2.12 ***Safety***, e.g.
  - (a) Not giving false alarms, starting fires willfully.
  - (b) Caring for others safety and self.
- 2.13 ***Harassment***, e.g.  
Sexual harassment, psychological.
- 2.14 ***Substance/ Drug Abuse*** etc.

### 3. **PROVISIONS CONCERNING STUDENT DISCIPLINE**

Disciplinary offences such as:

- 3.1 Fighting.
- 3.2 Theft.
- 3.3 Sexual Harassment.
- 3.4 Lateness.
- 3.5 Assault.
- 3.6 Absenteeism.
- 3.7 Possession of illegal items/ things e.g. weapons, illicit brew, etc.
- 3.8 Smoking in unauthorized areas.
- 3.9 Gambling on university property.
- 3.10 Falsifying records etc.

#### **4. PROVISIONS FOR DISCIPLINARY PROCESS**

There should be provisions on how:

- 4.1 To deal with student complaints;
- 4.2 Mechanisms for dealing with grievances;
  - (a) Ensure fair treatment of students,
  - (b) Deal with student complaints,
  - (c) Resolve problems.

#### **5. PROVISIONS ON PENALTIES FOR MISCONDUCT**

There should be provisions for-

- 5.1 Warnings/counseling,
- 5.2 Oral or written reprimand,
- 5.3 Suspension,
- 5.4 Expulsion, etc.

#### **6. PROVISIONS FOR APPEALS AGAINST DISCIPLINARY AND PENALTIES**

- 6.1 Rights of Appeal by students.
- 6.2 Appeal Body.
- 6.3 Procedure of Appeal.

#### **7. MISCELLANEOUS PROVISION**

Students subscribing to the Rules and Regulations.

### **3.4 GUIDELINES ON RULES AND REGULATIONS FOR STAFF CONDUCT AND DISCIPLINE FOR A PROPOSED UNIVERSITY**

#### **1. PRELIMINARY (SECTION)**

There should be a preliminary section comprising of provisions on:

- 1.1 Definitions with regard to terms such as staff, misconduct, etc;
- 1.2 Organ/ Department of the university entrusted with making the rules and regulations;
- 1.3 University Department entitled to enforce the Rules and Regulations;
- 1.4 Time frame when they would come into force and duration over which they are binding to staff;
- 1.5 Staff organizations (if any) entrusted with promoting staff welfare.

#### **2. STAFF RESPONSIBILITIES**

There should be provisions on employee responsibilities in general, with regard to-

- 2.1 Job attitude;
- 2.2 What is expected of the employee;
- 2.3 Work ethics; and
- 2.4 Upholding the dignity of the institution.

#### **3. STAFF CONDUCT**

Provisions should be provided for example:

- 3.1 Good relationship with co-workers;
- 3.2 Honesty;
- 3.3 Use of university supplies, funds, equipment, facilities, etc.; and
- 3.4 Safety and health, such as: self, others and institution.

#### **4. STAFF DISCIPLINE**

There should be provisions on Employee Discipline, with regard to, such as:

- 4.1 Attendance Absence from duty;
- 4.2 Lateness;
- 4.3 Fighting;
- 4.4 Theft;



- 4.5 Sexual harassment;
- 4.6 Insubordination;
- 4.7 Substance/Drug abuse;

## **5. DISCIPLINARY PROCESSES AND PENALTIES FOR MISCONDUCT**

There should be provisions with regard to:

- 5.1 Disciplinary offences;
- 5.2 Disciplinary processes;
- 5.3 Disciplinary;
- 5.4 Penalties for misconduct;

## **6. STAFF GRIEVANCES AND APPEALS**

There should be provisions on:

- 6.1 How to deal with specified staff grievances;
- 6.2 How aggrieved employees can appeal;

### 3.5 **STANDARDS AND GUIDELINES FOR UNIVERSITY LIBRARIES**

#### **1. PART I: BACKGROUND**

##### **1.1 Introduction:**

The library plays a central role in the University. Its primary responsibility is to assist its users in the process of transforming information to knowledge. The Librarian in the University coordinates the evaluation and selection of information resources required for the various programmes, organizes and maintains the collection of these resources. Equally important is the responsibility of providing information literacy skills. This enables the learners to master content and to make their investigations into the literature as comprehensive as possible. Information literacy significantly contributes to the learners becoming more self directed thus assuming greater control of their learning. Such attributes are invaluable to the attainment of excellence in the learning and research processes of the University. The Librarians and faculty therefore share the common goal of maximizing the learning opportunities and in assisting the students to attain their desired ends.

Developments in ICT have led to a large increase in electronic publications alongside paper and micro text publications which have continued to be produced. Thus libraries and librarians, in addition to acquiring, organizing and providing information, are also called upon to assist users in evaluating and interpreting information available in its various formats. The evolving role of the librarian therefore demands closer partnership with the teaching faculty and the users and a greater responsibility for education process.

In view of the foregoing, the University is obliged to set aside adequate human and financial resources to ensure that library services are within reach of all faculty and students regardless of their geographical location or mode of delivery of their education.

##### **1.2 Definition of Terms**

(a) These Standards may be cited as 'Revised Standards and Guidelines for University Libraries in Kenya'.

(b) In these Standards, unless the context otherwise requires:

“Bibliographic control” means creation, development, organization, management and exploitation of records prepared to describe items held in libraries or databases and to facilitate user access to such items.

“Collection management policy” means a policy outlining the systematic evaluation of size, appropriateness, accessibility and usefulness of a library collection in terms of the objectives, patrons and programmes of the sponsoring institutions.

“Conservation” means the process of ensuring the survival of library or archive materials, at the simplest level. This may mean basic repair or strengthening work.

“Distance learning community” means all those individuals, agencies, or institutions, directly involved with academic programs or extension services offered away from a traditional academic campus.”

“Distance learning library services” means those library services in support of college, university, or other post-secondary courses and programmes offered away from a university campus.

“E-mail” means a system for transmitting messages and data electronically through the medium of a computer.

“Information and Communication Technologies (ICT)” means hardware, software, networks and media for collection, storage, processing, transmission and preservation of information.

“Information Literacy” means a set of abilities requiring individuals to recognize when information is needed and have the ability to locate, evaluate and use the information effectively.

“Information resources” means formal, informal, human, printed or electronic resources that contains information that can be accessed to meet a need.

“Information services” means storing, accessing, processing or delivering information to meet the needs of specific users. It can include traditional library and information services comprising of books, archives, standards, patents, research reports and electronic materials comprising of CD-ROMs databases, software, electronic documents, multi-media and video.

“Inter library loan” means a system by which libraries borrow publications from other libraries.

“Librarian” means a professionally trained person with a minimum of a Master degree in Library and Information Science or in a related field.

“Library budget” means the total amount which is available for library purposes.

“Originating institution” means the entity, singular or collective, one of its chief responsibilities being the credit-granting body, marketing and supporting of distance learning courses and programmes.

“Paraprofessional” means somebody holding a degree or diploma who provides technical support to the librarian and is trained and skilled in library operations and applies them according to pre-established rules, under normal circumstances.

“Physically challenged user” means a user with a condition that markedly restricts the user’s ability to function physically.

“Preservation” means the provision of adequate care and maintenance facilities to ensure the safe survival of library stock or archives. This is generally synonymous with conservation.

“Senate” means the body in universities and colleges responsible for academic affairs.

“Standard” means the minimum level of quality accepted as norm or by which actual attainments are judged.

“Trunking” means housing used to conceal wires.

## **2. PART II: STANDARDS AND GUIDELINES**

### **2.1 Vision, Mission and Objectives**

#### **(i) Standard**

The Library shall develop an explicit statement of its vision, mission and objectives.

#### **(ii) Guidelines**

- (I) The library should develop an explicit statement of its vision, mission, goals and objectives.
- (II) The Vision and mission of the University library should state the purpose for its establishment and its core business.
- (III) The Vision and mission statement should be clearly understood by all library staff, the University administration, faculty and users.
- (IV) The library shall develop guidelines on assessment and achievement of the plan.
- (V) The vision and mission statements should be reviewed periodically and revised as necessary.

- (VI) They should be compatible with the institution's vision, mission, its goals and objectives.

## **2.2 Information Resources**

### **(i) Standard**

The Library shall provide varied, authoritative, and up-to-date information resources, which supports its mission.

### **(ii) Guidelines**

The University Library shall provide a collection of information resources for all academic programmes to include;

- (I) Current and relevant collection of textbooks; journals, reference and bibliographic sources. The resources shall be in print, non-print and electronic formats.
- (II) Minimum collection of 60 titles per programme or 5 titles per unit,
- (III) Provision of multiple copies shall be made on the basis of the user population.
- (IV) Minimum collection of 5 (Five) core journal titles per academic programme plus appropriate abstracting and indexing services.

## **2.3 ICT Resources**

### **(i) Standard**

The Library shall adopt and maintain new information Communication technologies as they develop and are useful in meeting its goals.

### **(ii) Guidelines**

Every University Library shall embrace the new Opportunities created by Information and Communication Technology (ICT) used in teaching, learning and research by:

- (I) Establishing a phased ICT Development plan.
  - (II) Establishing a library information network as part of a campus wide network of information service.
  - (III) Subscribing to external electronic databases and journals.
- (iii) **Installing a Library Management System with an interface that will support data exchange between Libraries.**
- (I) The Library system implemented must include on a minimum, modules for database creation and maintenance (cataloguing), Online Public Access Catalogue (OPAC) and circulation.

- (II) Disaster recovery plan should be in place so that the system can be restored quickly in the event of a system crash or failure.
- (III) Local area network must use the latest version of internationally recognized communication protocol.
- (IV) Providing a full range of current ICT hardware and software to facilitate processing and retrieval of information.
- (V) Provide for the acquisition, storage, preservation and dissemination of information produced digitally within the organization.

## **2.4 Organization and Access to Information Resources**

### **(i) Standard**

Library information resources shall be organized by internationally approved conventions and arranged for efficient access and retrieval.

### **(ii) Guidelines**

The information resources shall be organized and efficiently arranged for easy access and retrieval by all, including the physically challenged.

- (I) The resources shall be organized by using Library of Congress Classification Scheme (LC) and the latest version of Anglo American Cataloguing Rules (AACR II).
- (II) The resources shall be accessed through a comprehensive catalogue of the library holdings.
- (III) The Library system used shall support the current version of MARC.
- (IV) The system used must be capable of importing and exporting full bibliographic records in a standard format preferably MARC.

## **2.5 Services**

### **(i) Standard**

The Library shall establish, promote and maintain a wide variety of quality services that will support the vision, mission and objectives of the University.

### **(ii) Guidelines**

The Library shall establish, promote and maintain a wide variety of quality services that will support the academic programmes of the University. These shall include the following:

- (I) Reference and information services

- (II) Borrowing and lending services
- (III) Current awareness services
- (IV) Inter Library loans services
- (V) Access to online and media services
- (VI) Provision of the information literacy skills
- (VII) Ensuring reasonable and convenient access for the users.
- (VIII) User education.

## 2.6 Library Building

### (i) Standards

The University shall provide a library building for use by students, lecturers, staff and other communities as a quiet and a convenient place for study and research.

### (ii) Guidelines

- (I) The building and its furnishings should create an ambience appropriate for quiet scholarly environment that is conducive to learning, access to information and the delivery of high quality services.
- (II) A high standard of internal finish and furnishings is essential to create this quality, and to withstand heavy use over an extended period.
- (III) Stable environmental conditions are required not only for long-term preservation of library materials but also for operation of computers.
- (IV) The building should also put in place mechanisms to minimize or avoid security risks associated with the users, the collection, the equipment and data.
- (V) Functionally, the space must be adequate for print and IT based resources and to facilitate for the delivery of services. The design should recognize the crucial importance of people, books and information technology and information services. The building must also enable the library to develop, and provide services that are responsive to the changing library and information needs of learning and scholarship.
- (VI) The building shall have a high degree of flexibility or adaptability so that the use of space can easily be changed by rearranging the furniture and shelving.
- (VII) The building design shall permit future growth with minimum disruption to the services being offered.

- (VIII) The building shall be designed for ease of movement of users, staff and library resources.
- (IX) Access to all parts of the library, shall be as straight forward as possible, requiring minimum directional signs and guiding.
- (X) The entrance and exit points for users, which are essential for good security and safety, shall be clearly defined.
- (XI) Sufficient doorways which are openable outwards to ensure rapid exit in case of an emergency shall be provided.
- (XII) The entrance shall be convenient for all including the physically and visually challenged users.
- (XIII) A separate door for delivery and dispatch shall be provided.
- (XIV) The library shall provide spaces for the collection, display, reading, meeting, space for electronic workstations, multimedia workstations, viewing rooms and listening rooms, open user seating, user instruction rooms, staff working areas, space for special use, preservation and conservation such as bindery.
- (XV) Conductive fenestration is essential to bring more natural light and users can enjoy good surrounding views.
- (XVI) The building shall have controlled temperature, humidity, dust and pollution levels.
- (XVII) The building shall have ventilation and controlled sources of indoor air contamination.
- (XVIII) The building shall be built so as to enhance the psychological and social aspects of space.
- (XIX) The building must place a high priority on indoor air quality, electrical safety, fall protection, ergonomics, and accident prevention.
- (XX) Emphasis shall be placed upon good systems of fire detection, use of sprinklers, fire extinguishers and other ways of fire suppression.
- (XXI) Visible fire and other emergency evacuation exits shall be provided with no obstruction to their access.
- (XXII) Keys to the emergency exit doors shall be stored at a location which is secure but easily accessible.



- (XXIII) The building design shall also involve implementing countermeasures to detect, delay, deny and deter attacks from human aggressors.
- (XXIV) Library stacks and records storage area shall typically be designed to bear full stack weight at all points.
- (XXV) The professional librarians shall be involved in the planning of the library building at every stage.
- (XXVI) Ambient lighting, whether natural or artificial, sufficient for shelving, circulation, reading and workrooms shall be provided.
- (XXVII) The building shall be provided with secure windows, the effective areas of which shall not be less than 20 per cent of the floor area of the room and 75 per cent of the windows should be operable to external air. Carrels and tables shall be sized to accommodate users with laptops.
- (XXVIII) Each study space shall occupy between 2.5 and 4 square metres.
- (XXIX) Each stack area for books shall be at least 10.75 square metres.
- (XXX) Stack area for bound journals and reference books shall be 10.75 square metres for 1000 volumes.
- (XXXI) Display area for current journals shall be 9 square metres for 100 titles.
- (XXXII) Aisles between fixed ranges of book stacks shall be 42-inch (1653mm) in order to accommodate wheelchairs and permit them to turn.
- (XXXIII) Library staff and services areas shall constitute 18 to 25 per cent of the combined user space and stack area.
- (XXXIV) Service areas such as toilets and corridors shall constitute 18 per cent of the usable space.
- (XXXV) From the functional point of view, the minimum ceiling heights should be uniform at minimum of 3.5 metres.
- (XXXVI) The library building shall be regularly maintained.
- (XXXVII) The building shall incorporate ICT needs as an integral part of the design concept including trunking and cabling and wireless connectivity.
- (XXXVIII) The library building shall conform to the requirements for buildings in Group IB of the sixth Schedule of the Building Code of Kenya

## 2.7 Staffing

### (i) Standard

The library shall have appropriate qualified and adequate staff. The size shall be determined by, inter alia, the academic programmes offered, the institutional enrolment, the number of service points, and the hours during which service is offered.

### (ii) Guidelines

- (I) The recommended titles for Librarians shall be as follows:
  - University Librarian,
  - Deputy University Librarian,
  - Senior Librarian and Librarian.
- (II) The librarians shall have appropriate educational background in Library and information science, and also in other relevant disciplines, with a minimum of a master's degree in Library and Information Science.
- (III) The composition of the library staff shall be: Librarians shall constitute 35 per cent and Para-professional, technical and clerical staff shall constitute, 65 per cent of all staff.
- (IV) The librarians shall be on the same terms and conditions of service as other academic staff.
- (V) All Librarians, Para-professional and other library staff shall be trained so as to be able to use ICT products and services available in the library.
- (VI) Library staff shall have access to different forms of ongoing/continuing education with a view to exposing them to new developments in all areas of information work.
- (VII) Librarians shall be subjected to regular and rigorous review of performance in their professional duties by a committee of peers.
- (VIII) Librarians shall be eligible for membership in the faculty senate or equivalent governing body. They shall have the same degree of representation as other academic units on all university governing bodies.
- (IX) Librarians shall be funded to do research and for professional development.

## **2.8 Administrative Structure**

### **(i) Standard**

The Library administrative structure shall aim at ensuring and encouraging effective optimization of available library resources. The Library shall be fully integrated into the institutional organizational structure.

### **(ii) Guidelines**

- (I) The place of the Library in the University shall be clearly stipulated in the Proposal, Act or Charter of accreditation issued to the institution.
- (II) The Library shall be a fully fledged academic organ within the University structure and shall be formally represented in the Senate and all Committees not only by the University Librarian but also by representatives of other professional Librarians.
- (III) The University Librarian shall be designated in the Proposal, Act/Charter as head of library, as an academic unit, one of the Chief Officers of the university and an academic member of staff.
- (IV) The University Librarian shall report to the Vice Chancellor of the institution or equivalent.
- (V) The University shall establish a standing library advisory committee, which shall be responsible to the Senate for considering all aspects of Library policy, its development and integration in the University's academic programmes.
- (VI) A clear library internal administrative structure shall be established with well-designated job responsibilities at the various levels.

## **2.9 Library budget**

### **(i) Standard**

At least ten percent (10%) of the total institutional operational budget shall be provided annually for acquisition of information resources excluding personal emoluments and capital development.

### **(iii) Guidelines**

The library budget shall:

- (I) Be adequate to support the ongoing and appropriate needs of the library
- (II) Take into account the institutions curriculum.

- (III) Consider the instructional methods of the institution, especially as they relate to independent study.
- (IV) Ensure that it maintains appropriate levels of collection development especially in the fields pertinent to the curriculum.
- (V) Support appropriate levels of staffing and staff compensation.
- (VI) Take into account the current and anticipated size of the student population and classroom faculty.
- (VII) Consider the adequacy and funding for other library resources such as Archives and special Collections.
- (VIII) Take into account the need to acquire, process/ services and provide access to the media and computer resources.
- (IX) Include adequate support for extended campus programmes.

2.10 It shall be the responsibility of the University Librarian to:

- (I) Prepare, justify and administer a library budget that is appropriate to the objectives of the library.
- (II) Have the authority to apportion funds and initiate expenditure within the library budget in accordance with the laid down institutional guidelines.
- (III) Ensure that the resources available are utilized efficiently and effectively.
- (IV) Monitor the library's encumbrances and the payments of its invoices.

### 3.. **PART III: INFORMATION LITERACY AND COMPETENCY**

#### (a) **Standards**

The library shall facilitate academic success, as well as encourage lifelong learning by combining new techniques and technologies with the best traditional sources.

#### (b) **Guidelines**

- (i) Librarians shall assist primary users and others, in information retrieval methods, evaluation and documentation.
- (ii) The Librarians, in partnership with the faculty, shall provide information and instruction to all users through a well-structured information literacy competency programme.

- (iii) Planning for the Information Literacy Programme shall be conducted by Librarians and Faculty at the programme, Curriculum and institutional levels.
- (iv) Staffing levels and needs shall be clearly defined by the University librarian.
- (v) Budget information for the programme shall be done by the University librarian.
- (vi) The Information Literacy programme shall include a mission statement which;
  - (I) Clearly lists the purpose for its establishment, existence and core business.
  - (II) Clearly lists priority audience and partners for information literacy programme.
  - (III) Is consistent with the University and Library missions and with national standards.
  - (IV) Is regularly reviewed and revised as needed.
- (vii) The programme shall maintain an updated list of goals and objectives with clearly defined roles and responsibilities for each major goal.

#### 4.. **PART IV: DISTANCE LEARNING LIBRARY SERVICES**

##### 4.1 **Vision, Mission and Objectives**

The University shall provide adequate resources to support distance learning library services.

###### **(i) Standard**

The University Librarian shall develop written statements of the vision, mission, goals and objectives for distant learning library services which addresses the needs and outlines the methods by which progress shall be measured in line with those of the University.

###### **(ii) Guidelines**

The University librarian shall:

- (I) Involve distance learning community representatives, including administrators, faculty, and students, in the formulation of the goals and objectives and the regular evaluation of their achievement;

- (II) Prepare a written profile of the distance learning community's information and literacy skills and information needs;
- (III) Assess and articulate, on an ongoing basis, both the electronic and traditional library resources needs of the distance learning community, the services provided to them, including instruction, and the facilities utilized;
- (IV) Assess the existing library support for distance learning, its availability, appropriateness, and effectiveness, using qualitative, quantitative and outcomes measurement devices, as well as the written profile of needs;
- (IV) Prepare and/or revise collection development and acquisitions policies to reflect the profile of needs;
- (VI) Promote library support services to the distance learning community;
- (VII) Survey regularly distance learning library users to monitor and assess both the appropriateness of their use of services and resources and the degree to which needs are being met and the skills acquired;
- (VIII) Initiate dialogue leading to cooperative agreements and possible resource sharing and/or compensation for unaffiliated libraries;
- (IX) Develop methodologies for the provision of library materials and services from the library and/or from branch campus libraries or learning centers to the distance learning community;
- (X) Develop partnerships with computing services department to provide the necessary automation support for the distance learning community; and
- (XI) Pursue, implement, and maintain all the proceeds in the provision of a facilitating environment in support of teaching and learning, and in the acquisition of lifelong learning skills.

## 4.2 Finance

### (i) Standard

The originating institution shall provide the financial support to addressing the library needs of the distance learning community.

### (ii) Guidelines

The financing shall be:

- (I) Related to the formally defined needs and demands of the distance learning programme;

- (II) Allocated on a schedule matching the originating institution's budgeting cycle;
- (III) Designated and specifically identified within the originating institution's budget and statement of expenditure;
- (IV) Accommodated in arrangements involving external agencies, including both unaffiliated and affiliated, but independently supported, libraries;
- (V) Sufficient to cover the type and number of services provided to the distance learning community; and
- (VI) Sufficient to support innovative approaches to meeting needs.

#### **4.4 Personnel**

##### **(i) Standard**

The originating institution shall provide, either through the main library or directly to separately administered distance learning library service, professional, Para professional and technical personnel. Their responsibilities shall be clearly defined. They shall be adequate in numbers and quality necessary to attain the goals and objectives for library services to the distance learning programme.

##### **(ii) Guidelines**

The originating institution shall:

- (I) Plan, implement, coordinate, and evaluate library resources and services addressing the information and skills needs of the distance learning community;
- (II) Provide additional professional and/or support personnel on site with the capacity and training to identify informational and skills needs of distance learning library users and respond to them directly;
- (III) Provide classification, status, and salary scales for distance learning library personnel that are equivalent to those provided for other comparable library employees; and
- (IV) Provide opportunities for continuing growth and development for distance learning library personnel, including continuing professional education, and participation in professional organizations.

## **4.5 Facilities**

### **(i) Standard**

The originating institution shall provide facilities, equipment, and communication links, sufficient in size, number, scope, accessibility, and timeliness to reach all students and to attain the objectives of the distance learning programmes.

### **(ii) Guidelines**

Arrangements to provide facilities, equipment and communication links shall be appropriate to programs offered. Examples of suitable arrangements include but are not limited to access to facilities through agreements with a nonaffiliated library:

- (I) Designated space for consultations, ready reference collections, reserve collections, electronic transmission of information, computerized data base searching and interlibrary loan services, and offices for the distance learning library personnel;
- (II) A branch or satellite library; and
- (III) Virtual services, such as Web pages, Internet searching, and using technology for electronic connectivity.

## **4.6 Resources**

### **(i) Standard**

The University shall be responsible for providing or securing convenient, direct, physical and electronic access to library resources for distance learning programmes, equivalent to those provided in traditional settings and in sufficient quality, depth, number, scope, currency, and formats.

### **(ii) Guideline**

When more than one institution is involved in the provision of a distance learning programme, each shall be responsible for the provision of library resources to students in its own courses; unless an equitable agreement for otherwise providing these resources have been made. Costs, services, and methods for the provision of the resources for all courses in the programme shall be borne uniformly.

## **4.7 Services**

### **(i) Standard**

The library services offered to the distance learning community shall be designed to effectively meet a wide range of information, bibliographic, and user needs.



(ii) **Guidelines**

The library services offered shall include the following:

- (I) Reference assistance;
- (II) Computer-based bibliographic and informational services;
- (III) Reliable, rapid, secure access to institutional and other networks, including the Internet;
- (IV) Consultation services;
- (V) A programme of library user instruction designed to instill independent and effective information literacy skills while specifically meeting the learner-support needs of the distance learning community;
- (VI) Assistance with and instruction in the use of non-print media and equipment;
- (VII) Reciprocal or contractual borrowing, or interlibrary loan services using broadest application of fair use of copyrighted materials;
- (VIII) Access to reserve materials in accordance with copyright fair use policies;
- (IX) Adequate service hours for optimum access by users; and
- (X) Promotion of library services to the distance learning community, including documented and updated policies, regulations and procedures for systematic development, and management of information resource

5. **PART V: DOCUMENTATION**

To provide records indicating the degree to which the originating institution is meeting these “**Guidelines**” in providing library services to its distance learning programmes, the library, and , when appropriate, the distance learning library units, shall have available current copies of at least the following documents;

- (a) Printed user guides;
- (b) Statements of mission and purpose, policies, regulations, and procedures;
- (c) Statistics on library use;
- (d) Statistics on collections;
- (e) Facilities assessment measures;
- (f) Collections assessment measures;
- (g) Needs and outcomes assessment measures;
- (h) Data on staff and work assignments;

- (i) Institutional and internal organization charts;
- (j) Comprehensive budget(s);
- (k) Evidence of professional qualifications and experience;
- (l) Position descriptions for all personnel;
- (m) Formal, written agreements;
- (n) Automation statistics;
- (o) Guides to computing services;
- (p) Library evaluation studies or documents;
- (q) Library and other instructional materials and schedules;
- (r) Evidence of involvement in curriculum development and planning;
- (s) Titles of research and publications by library staff; and
- (t) List of conferences, seminars, and short courses attended by staff.

### 3.6. CURRICULUM STANDARDS

#### PART I - PRELIMINARY

1. These standards may be cited as the Curriculum Standards

2. In these standards unless the context otherwise requires:

“academic staff” means members of the teaching staff of a university;

“academic year” means a continuous period of teaching examination and study organised in a full year mode, semester mode and quarter mode and extending over not less than thirty calendar weeks;

“compensation” means the practice of awarding a pass mark in respect of a failed course by reason of a candidate having passed other courses offered in the same curriculum or programmes of study;

“course” means a single unit of study in a curriculum or programme of study;

“curriculum” means an organised programme of study for a given degree, diploma or certificate awards incorporating all matters such as academic staff requirement, duration of academic programmes, admission requirements, programme content requirements and assessment process requirements;

“department” means an academic division into which a faculty is divided for purposes of teaching, examinations and administration;

“faculty” means an academic division so designated or established under the instruments constituting a university and it may also mean academic members of staff;

“institute” means an organisation founded for a particular work such as education, promotion of arts or scientific research;

“lecture hour” means a period of time equivalent to one hour and representing one such continuous hour in lecture form, two in a tutorial session, three in a laboratory practical or practicum and five in farm or similar practice;

“Programme of study” means the prescribed syllabus that students must be taught at each key stage;

“re-sit examination” means an examination taken again by a candidate who has not been successful in a previous attempt;

“school” means a faculty or a cluster of departments specializing in a particular subject area;

“supplementary examination” means the practice of re-examining a candidate who was not successful in a previous attempt.

“syllabus” means a full description of the content of each course offered in a given programme of study;

## PART II - GENERAL REQUIREMENTS

3. A university shall maintain adequate academic and support staff for each approved programme of study.
4. To determine that a university complies with the requirements of paragraph 3, the full time staff and student ratio shall conform to the guidelines stipulated in Table A.

**Table A: Recommended Full-Time Staff/Student Ratio (FTSE)**

Cluster of programmes	Ratio
1. Applied sciences	1:10
2. Arts and Humanities	1:15
3. Medical and allied sciences	1:7
4. Pure and natural sciences	1:10
5. Social sciences	1:18

Ref: Prof. F. Aduol University of Nairobi

$FTSE = \text{Full-Time Student Equivalent}$   
 $FTSE = S \times H / r \times k$ , where:  
 $S = \text{Number of students}$   
 $H = \text{Contact hours for the course unit}$   
 $r = \text{student/staff ratio}$   
 $k = \text{nominal contact hours a student is expected to receive (where } k \text{ is 1000 for art-based programmes and 1500 for science-based programmes.)}$

No person shall be recruited as an academic or technical staff unless he possesses the approved qualifications acceptable to the Commission.

5. The Commission shall from time to time publish guidelines of the approved qualifications of an academic or technical staff that should be recruited for each programme offered by a university.
6. The duration of each degree programme shall be defined in terms of the academic years which shall conform to any of the following modes:
  - (a) The full year mode: which consists of three terms and one end of the year examination;

- (b) The semester mode: which consists of a programme with two sections and an examination at the end of each section;
- (c) The trimester mode: which consists of three sections and an examination at the end of each section; and
- (d) The quarter mode: which consists of four section and an examination at the end of each section.

7. Unless the Commission otherwise determines:

- (a) The undergraduate degree programmes shall normally carry a minimum of the following lecture hours per cluster degree programme:

*Minimum lecture hours per cluster of academic programmes*

<b>Cluster of programme</b>	<b>Minimum Lecture Hours</b>
Medical and Allied Sciences	3960
Applied Sciences	2240
Pure and Natural Sciences	1785
Arts and Humanities	1680
Social Sciences	1680

- (b) The master degree programmes shall comprise a minimum of 18-months full time units and the proportion of taught work and research shall be 1:2.
- (c) The professional master degree programme shall extend over at least one year.
- (d) The doctorate degree programmes shall extend over at least three academic years.

8. A curriculum should be able to facilitate a balanced learning process, ensure that students are able to acquire such cognitive, effective and psychomotor skills as are consistent with educational goals and aspirations of Kenya as may from time to time be defined.

9. An account shall be taken in the design of every curriculum to ensure that the programme proposed is:-

- (a) Broad-based or integrated;
- (b) Practical oriented;
- (c) Diversified;
- (d) The standards set by the Commission are not compromised; and
- (e) The programme contributes to the overall national human resource development and requirements.

### **PART III - ADMISSION REQUIREMENTS**

10. The criteria for admission into all programmes of study of a university shall:
  - (a) Be the minimum requirements applicable to candidates seeking admission into public universities;
  - (b) Take into account credit transfer; and
  - (c) Take into account special candidate's entry.
11. Every curriculum shall set out the minimum admission criteria and where applicable, indicate any other condition which a candidate must satisfy if any.

### **PART IV - CONTENT OF PROGRAMME**

12. The curriculum or every programme of study shall:-
  - (a) Clearly indicate the core courses.
  - (b) Clearly indicate the elective courses.
  - (c) Provide common courses.
  - (d) Provide a full content description in a form readily accessible to each student of every course in the syllabus the programme is proposing.
  - (e) State whether the programme being proposed is a specialized or general one or some other variant thereof.
  - (f) Indicate whether all courses in the syllabus are expected to be taught by staff drawn wholly from within the faculty or department concerned or partly by staff from elsewhere.
  - (g) Specify in terms of lecture hours, the minimum load for each course which is to be offered in every academic year or section thereof.

### **PART V - ASSESSMENT PROCESS REQUIREMENTS**

13. Student of any curriculum be assessed on the basis of the following:
  - (a) The course work administered throughout the academic year or section of the academic year by way of tutorials, essays, tests, laboratory exercises or other mode acceptable to the university.

- (b) The written examinations administered at intervals consistent with the mode of organisation of the academic year in the university.
- 14. The distribution of marks or points between the course work administered throughout the academic year and the written examination shall be in accordance with the guidelines to be published by the Commission from time to time.
- 15. A university shall establish a systematic mechanism for the internal and external moderation of examinations.
- 16. A university shall establish a Board of examiners consisting of internal and external examiners for each degree programme.
- 17. The Board of Examiners shall determine whether a candidate has passed or failed an examination on the basis of the pass mark.
- 18. Every curriculum shall clearly specify the following:
  - (a) The pass mark or grade for each course.
  - (b) The minimum number of courses that a student must undertake to qualify for an academic award.
  - (c) The conditions under which a candidate shall be required to:
    - (i) Undertake a special examination;
    - (ii) Re-sit examination;
    - (iii) Repeat an entire academic year; and
    - (iv) The conditions under which the student may be discontinued from the programme altogether.
  - (d) The method and manner of arriving at the classification of the degree award and the conditions taken into consideration to arrive at such a classification.

### **3.7 GUIDELINES FOR PREPARING CURRICULUM FOR AN ACADEMIC PROGRAMME**

These guidelines are applicable to both proposed and existing universities wishing to launch new academic programmes.

The guidelines indicate the basic information that should be included in a curriculum for academic programme.

#### **1. GENERAL INFORMATION**

##### **1.1 Vision and Mission of the Institution**

##### **1.2 Philosophy of the Institution**

Institutional beliefs, values and tenets generated from the Vision and Mission.

Vision, mission and philosophy should be as stated in the Proposal or Charter.

##### **1.3 University Admission Requirements**

- (a) Minimum University entrance requirements
- (b) Other admission requirements where applicable
- (c) Application for admission to the University.

##### **1.4 Academic Resources**

###### **1.4.1 Facilities and Equipment**

A brief description of facilities and equipment that will support the proposed programme(s); these should include:

- (a) Lecture Rooms
- (b) Library
- (c) Information and Communication Technology
- (d) Laboratories
- (e) Workshops/Studios/Tuition farm

###### **1.4.2 Teaching Staff**

###### **1.4.3 Programmes offered by the Institution**

- (a) List of all programmes to be offered.
- (b) Duration of each programme indicating total lecture hours required for graduation.



- (c) Definitions of credit hours/lecture hours/course units as may be applicable.
- (d) Academic organization of the programmes reflecting academic semester/terms.

## **2. THE CURRICULUM**

The underlying philosophy of the curriculum, which should be consistent with Institutional Philosophy

“Curriculum” means an organized programme of study for a given degree, diploma or certificate award incorporating all matters detailed below.

### **2.1 Academic Regulations for the programmes**

2.1.1 Admission Requirements for the programme

2.1.2 Students assessment policy

- (a) Continuous Assessment
- (b) End-Term/Semester
- (c) Practical
- (d) Other Assessments

2.1.3 Evaluation of Teaching

2.1.4 Grading system – Marks, Letter grades

2.1.5 Examination regulations including disciplinary action and mode of appeal.

2.1.6 Moderation of examination papers and the role of internal and external examiners.

2.1.7 Graduation requirements

2.1.8 Classification of degrees

2.1.9 Regulations for thesis/dissertation/project.

### **2.2 Evaluation of academic staff**

### **2.3 Title of the programme offered:**

2.3.1 Spell out the specific objectives / learning outcomes of each programme offered.

2.3.2 List of courses offered for the programme.

- (a) Lecture hours/course units/credit hours (as the case may be), for each indicating core courses, to be taken by a student taking a given course;
- (b) Elective courses (giving details of load as above);
- (c) Other courses which may be taken to meet graduation requirements (giving details of load as above);
- (d) Total lecture hours/course unit/credit hours required for graduation.

2.4 A programme should preferably have a minimum of 540 lecture hours per academic year.

2.5 Course Outline

- (a) Title of the course (including code and credit hours/lecture hours/course units (as the case may be);
- (b) Purpose of the course;
- (c) Course objectives / learning outcomes. The objectives should include statement knowledge, skills and attitude the student would be able to acquire, and the tasks he would be able to perform or accomplish by taking the particular course;
- (d) Course description.
- (e) Course content should include all possible topics to be covered under the course.
- (f) Teaching methodologies;
- (g) Instructional materials/equipment;
- (h) Course assessment;
- (i) Textbooks and journals for the course;
- (j) Textbooks and journals for further reading.

*Note: Prerequisites should be indicated where applicable.*

3. **APPENDICES**

3.1 **Appendix I**

List of academic staff showing full-time and part-time staff as well as their qualifications and where obtained from (listed according to departments or disciplines).

## 3.2 **Appendix II**

List of academic staff showing dates and where they obtained:

3.2.1 First degree

3.2.2 Masters degree

3.2.3 Doctoral degree

3.2.4 Experience in university teaching

3.2.5 Professional experience

3.2.6 Publications and patents.

### 3.8 GUIDELINES FOR PREPARING REGULATIONS FOR DOCTORAL DEGREE PROGRAMMES

#### 1. Interpretation of Terms/Key words

*In these Guidelines unless the context otherwise requires*

“academic staff” means members of the teaching staff of a university;

“academic year” means a continuous period of teaching examination and study organised in a full year mode, semester mode and quarter mode and extending over not less than thirty calendar weeks;

“compensation” means the practice of awarding a pass mark in respect of a failed course by reason of a candidate having passed other courses offered in the same curriculum or programmes of study;

“course” means a single unit of study in a curriculum or programme of study;

“curriculum” means an organised programme of study for a given degree, diploma or certificate awards incorporating all matters such as academic staff requirement, duration of academic programmes, admission requirements, programme content requirements and assessment process requirements;

“department” means an academic division into which a faculty is divided for purposes of teaching, examinations and administration;

“faculty” means an academic division so designated or established under the instruments constituting a university and it may also mean academic members of staff;

“institute” means an organisation founded for a particular work such as education, promotion of arts or scientific research;

“lecture hour” means a period of time equivalent to one hour and representing one such continuous hour in lecture form, two in a tutorial session, three in a laboratory practical or practicum and five in farm or similar practice;

“Programme of study” means the prescribed syllabus that students must be taught at each key stage;

“re-sit examination” means an examination taken again by a candidate who has not been successful in a previous attempt;

“school” means a faculty or a cluster of departments specializing in a particular subject area;

“supplementary examination” means the practice of re-examining a candidate who was not successful in a previous attempt.

“syllabus” means a full description of the content of each course offered in a given programme of study;

## 2. **Scope**

- (a) These guidelines are applicable to all chartered universities who wish to lodge new Doctoral Degree programmes based on:
  - (i) Either coursework, examination and project;
  - (ii) Or, coursework, examination and thesis, and where the half to two-thirds of the programme duration is devoted to the thesis;
  - (iii) Or, thesis only under specified circumstances to be stated by the university and for such a period as stipulated in the university regulations.
- (b) For a University to qualify to offer doctorate degree programmes they should have been offering a relevant Masters programme and successfully graduated at **least three cohorts**.

*The guidelines herein indicate the basic information that should be included in the Regulations.*

## 3. **General Information**

- (a) **Vision** of the University.
- (b) **Mission** of the University.
- (c) **Philosophy** of the University.

*The **Vision**, **Mission** and **Philosophy** should be as stated in an Act of Parliament, Legal Notice or a Charter that establishes the University or in the University's Strategic Plan or Master Plan, whichever is current.*

## 4. **Academic Resources**

### 4.1 **Physical Facilities**

A brief description of the physical facilities that will support the doctoral degree programme. These should include but are not limited to:

- (i) Information resources (including library);
- (ii) Laboratories;

- (iii) Studios;
- (iv) Workshops;
- (v) Tuition farms/land; and
- (vi) Lecture/Tutorial/Seminar/Office/ Meeting rooms.

#### **4.2 Equipment**

A brief description of equipment available for use for the doctoral degree programme irrespective of its location. These include:

- (i) Laboratory equipment;
- (ii) Studio equipment; and
- (iii) Incinerators.

#### **4.3 Academic Staff**

A list of staff available for the Doctoral programme, including:

- (a) Teaching staff;
- (b) Technical staff; and
- (c) Library staff.

*Details of staff qualifications, experience and involvement in postgraduate studies, mode of engagement (part-time or full time), rank in the university (full professor, associate) professor etc to be appended to the checklist (verification list).*

#### **4.4 Graduate programme(s) offered by the University**

A list of graduate programme(s) offered by the university indicating:

- (a) Form (Full time or part-time);
- (b) Mode of study (Modular, Sandwich or Open and Distance Learning); and
- (c) Duration of each programme (Minimum and maximum)

#### **4.5 University Academic Organization**

The University should show the organization of its academic programmes, indicating where they are offered, namely: whether in faculty, school, institute, centre or such other structure.

### **5. The Regulations**

The regulations should cover and not be limited to the following areas:

## **5.1 The Curriculum Programme**

- 5.1.1 The underlying philosophy of the curriculum, which should be consistent with Institutional Philosophy
- 5.1.2 Title of the programme offered:
- 5.1.3 Spell out the specific objectives for the programme.
- 5.1.4 List of courses offered for the programme.
  - (a) Lecture hours/course units/credit hours (as the case may be), for each indicating core courses, to be taken by a student taking a given course;
  - (b) Elective courses (giving details of load as above);
  - (c) Other courses which may be taken to meet graduation requirements (giving details of load as above);
  - (d) Total lecture hours/course unit/credit hours required for graduation.

## **5.2 Eligibility for Registration**

These should include:

- 5.2.1 Admission requirements specifying;
  - (a) Relevant Master's degree from a recognized institution; or
  - (b) A candidate registered for a relevant Master's degree and whose registration has been upgraded (pertinent documents indicating how this is done in the university to be given).
- 5.2.2 Medium of instruction / Language requirements;
- 5.2.3 Requirements for submission of applications; and
- 5.2.4 Guidelines for processing of applications.

## **5.3 Structure of Programmes**

- 5.3.1 Coursework, examination and project
- 5.3.2 Coursework, examination and thesis; and
- 5.3.3 Thesis only.

## **5.4 Form and Duration of study**

- 5.4.1 Form (Full- time / Part- time).
- 5.4.2 Duration (Minimum / Maximum).

## 5.5 **Student Assessment**

A brief description of the mode and the process of assessment to cover but not limited to the following:

### 5.5.1 **Coursework, Examination and Project**

- (a) Continuous assessment to include practicals, assignments and/or research papers;
- (b) Examinations (written and/or oral, and grading system); and
- (c) Dissertation/Project Report.

### 5.5.2 **Coursework, Examination and Thesis**

- (a) Continuous assessment to include practicals, assignments, research papers and/ or project reports;
- (b) Examinations (written and/or oral, and grading system); and
- (c) Thesis.

### 5.5.3 **Thesis Only**

- (a) Records of student-supervisor(s) interactions;
- (b) Research progress reports;
- (c) Seminar presentation on research progress; and
- (d) Thesis.

## 5.6 **Conduct of Studies and Supervision**

This section should cover but not limited to the following:

5.6.1 Student(s)' rights, responsibilities and obligations;

5.6.2 Appointment of supervisors;

5.6.3 Role and responsibilities of supervisors;

5.6.4 Role and responsibilities of Dean/Director of the Faculty/ School/ Institute, Centre;

5.6.5 Role and responsibilities of the Director/Dean of Postgraduate School/Board;

5.6.6 Conditions for change of registration status;

5.6.7 Conditions for change of supervisors; and

5.6.8 Submission and evaluation of Candidate's progress reports.



## 5.7 Examination Regulations

### 5.7.1 Coursework, Examination and Project

This should cover but not limited to the following:

- (a) Types of examinations and their weighting;
- (b) Mode of examining;
- (c) Examination malpractices;
- (d) Disciplinary action (Such as termination of registration or deregistration);
- (e) Selection of project supervisors; and
- (f) Project defense requirements.

### 5.7.2 Coursework, Examination and Thesis

This should include:

- (a) Types of examinations and their weighting;
- (b) Mode of examining;
- (c) Examination malpractices;
- (d) Disciplinary action (Such as termination of registration or deregistration);
- (e) Regulations governing research proposal submission;
- (f) Steps in proposal evaluation for candidate's registration;
- (g) Selection of supervisors;
- (h) Selection of examiners;
- (i) Selection of viva-voce panel;
- (j) Conduct of thesis defense /oral examinations; and
- (k) Re-examination of revised thesis.

### 5.7.3 Thesis Only

This should cover but not be limited to the following:

- (a) Regulations governing research proposal submission;
- (b) Steps in proposal evaluation for candidate's admission;
- (c) Selection of supervisors;
- (d) Selection of examiners;

- (e) Selection of viva-voce panel;
- (f) Conduct of thesis defense /oral examinations; and
- (g) Re-examination of revised thesis.

## **5.8 Conflict Resolution Mechanisms**

- 5.8..1 Description of malpractices;
- 5.8..2 Disciplinary procedures;
- 5.8..3 Appeal procedures; and
- 5.8..4 Communication channels.

## **6. Appendices**

### **6.1 Appendix 1: Details of Academic Staff**

List of academic staff (teaching staff, technical staff, library staff) indicating but not limited to:

- (a) Academic qualifications, where and when obtained;
- (b) Experience (Teaching, Research and Supervision);
- (c) Professional experience (Consultancy, Relevant Community Service);
- (d) Mode of engagement (full-time or part-time);
- (e) Rank in the university (full professor, Associate professor, chief technician, senior librarian); and
- (f) Relevant publications and patents.

### **6.2 Appendix 2: Regulations for Preparation and Submission of Project Report, Dissertation, and Thesis**

The regulations should cover but not limited to:

- (a) Form;
- (b) Content;
- (c) Length;
- (d) Binding requirements; and
- (e) Submission requirements.

#### ***Disclaimer:***

*The Commission for Higher Education reserves the right to amend the content of these guidelines without notice. Institutions should obtain the latest edition from the Commission.*

## 3.9 STANDARDS AND GUIDELINES FOR OPEN AND DISTANCE LEARNING

### INTRODUCTION

The aim of the Commission is to enhance quality in higher education and training delivered through distance and open learning modes, and to protect the learners.

The Standards and Guidelines for provision of open and distance learning are divided into five separate components, each of which addresses a particular area of activity. They are:

- (a) Provider's Commitment.
- (b) Design of Curriculum and Instruction and Course Materials Development.
- (c) Staff Support.
- (d) Student Support
- (e) Evaluation and Assessment.
- (f) Advertising

Each component begins with a general statement on standard, followed by individual numbered paragraphs on guidelines addressing specific matters describing those elements essential for internal and external quality assurance.

The Standards and Guidelines are meant to assist prospective and existing providers of open and distance learning. The Commission will carry rigorous assessment of provider's or proposed provider's administrative and delivery methods, educational materials and publicity to ensure that all standards are met.

### SCOPE

The scope of these standards includes open and distance learning offered through the following modes;

- (a) Traditional correspondence;
- (b) On-line provision and interactive CD ROMs;
- (c) E-learning and blended learning to open learning centres;
- (d) Virtual education; and
- (e) Face-to-face provision.

## STANDARDS AND GUIDELINES

### 1. CITATION AND INTERPRETATION

These Standards and Guidelines are to be used for quality control and quality assurance in higher education offered through distance learning.

(a) **Citation**

"These standards shall be referred to as the Open and Distance Learning Standards".

(b) **Interpretation**

In these standards and guidelines, unless the context otherwise requires, the following definitions of key terms shall apply:

“curriculum” means an organised programme of study for a given degree, diploma or certificate awards incorporating all matters such as academic staff requirement, duration of programme, admission requirements, programme content requirements and assessment process requirements.

“distance education” means delivery of learning or training to those who are separated mostly by time and space from those who are teaching or training. The teaching is done with a variety of *mediating processes* used to transmit content, to provide tuition and to conduct assessment or measure outcomes. The delivery modes may include traditional distance education by correspondence courses, on-line provision and interactive CD ROMs, e-learning and blended learning to open learning centres and face-to-face provision where a significant element of flexibility, self-study, and learning support, in an integral part.

“flexible learning” means provision of learning opportunities that can be accessed at any place and time. It relates more to scheduling of activities than to any particular delivery mode.

“online learning and e-learning” means the application of information and communication technologies (ICTs) to enhance distance education, implement open learning policies, make learning activities more flexible and enable those learning activities to be distributed among many learning venues.

“open learning” means policies and practices that permit entry to learning with no or minimum barriers with respect to age, gender, or time constraints and with recognition or prior learning.

“programme of study” means the prescribed syllabus that students must be taught at each key stage.

“provider” means an organisation that is responsible for providing the educational service, which may be a self-contained organisation, a unit embedded within a larger organisation, one member of a partnership between one or more organisations, or one aspect of a more wide-ranging provision offered by a larger organisation.

“virtual education” means distance education which is largely web-centered, but does not necessarily limit itself to learners outside a conventional classroom. It uses multimedia and, besides delivering content, also enables a high level of interaction among learners, content, teachers, peers and administration both synchronously and asynchronously.

## 2. APPLICATION

These standards shall apply to open and distance learning institutions

## 3. PROVIDER'S COMMITMENT

### 3.1 Needs Assessment

#### *Standard*

The provider shall show evidence that an elaborate needs assessment or feasibility study has been undertaken giving the rationale or justification for setting up the institution or starting the programme as reflected in the philosophy of the provider.

#### *Guidelines*

The feasibility study shall cover the following broad areas:

- (a) *Target groups* that are to be served by the institution focusing on their –
  - (i) Demographical factors;
  - (ii) Education background/factors;
  - (iii) Motivational factors;
  - (iv) Experiences, including work situation;
  - (v) Accessibility and familiarity to media and information;
  - (vi) Communication technology; and
  - (vii) Economic background.
- (b) *The infrastructural situation* in the catchments regions, especially telecommunication network, electricity and transport.
- (c) *Educational resources* such as facilities in the learning institutions, library services as well as human resource;
- (d) *Market demand*; nationally and internationally.

### 3.2 Vision and Mission Statements of the Provider

#### *Standard*

A provider of open and distance learning shall have clearly stated vision and mission consistent with its philosophy and make it known to its constituents.

### ***Guidelines***

The mission should include business, purpose and value statements. The key aspects of the vision and mission should be reflected clearly to constitute the provider's commitment to social responsibility at policy level and these should include:

- (a) Accessible high quality interactive learning programmes and materials;
- (b) Affordable and learner centered flexible programmes;
- (c) Use of appropriate technology;
- (d) Collaboration with other providers; and
- (e) Commitment to excellence.

## **3.3 Objectives and Strategies of the Provider**

### ***Standard***

The provider shall have clearly stated objectives and strategies for achieving their mission.

### ***Guidelines***

- (a) The objectives should relate to:
  - (i) Learners needs;
  - (ii) National goals; and
  - (iii) Employer's expectations or needs (learning outcomes).
- (b) The strategies should include the mode and media of delivery for the academic programmes offered.

## **3.4 Governance and Administration**

### ***Standard***

The provider shall ensure that there is clear governance and administrative structures and involve stakeholders where appropriate.

### ***Guidelines***

- (a) The organs of governance shall include distinct boards/committees responsible for:
  - (i) major policy decisions;
  - (ii) administrative issues;
  - (iii) finance issues; and
  - (iv) supervision and monitoring of academic affairs;
- (b) The administrative structures shall include those responsible for:
  - (i) Management of development of academic programmes and study materials;
  - (ii) Management of production and distribution of study materials;
  - (iii) Management of student support services;
  - (iv) Management of information and records systems;

- (v) Management of student assessment and examinations
- (vi) Planning and financial management;
- (vii) Management of monitoring, evaluation and research; and
- (viii) General management and administration.

### 3.5 **Provider's Network**

#### (a) **Regional Centres**

##### *Standard*

The provider of open and distance learning (ODL) shall establish regional centres to bring services closer to the learners:

##### *Guidelines*

The regional centres shall have suitably qualified staff and appropriate facilities. These may include:

- (i) Administrative staff, academic and technical;
- (ii) Facilities should include:
  - (I) administrative and academic staff offices;
  - (II) reading rooms/seminar rooms;
  - (III) library (with books, journals, cassettes and CD);
  - (IV) audio-video rooms for playback and viewing;
  - (V) computer rooms with internet and e-mail connectivity;
  - (VI) students records;
  - (VII) appropriate training/learning equipment;
  - (VIII) reprographic facilities; and
  - (IX) information leaflets on programmes, policies, study opportunities and career opportunities.

#### (b) **Study Centres:**

##### *Standard*

The provider shall make available study centres to bring basic services and facilities closer to the learners.

##### *Guidelines*

- (i) A study centre shall have the following services and facilities:
  - (I) services to include, academic, guidance and counselling (tutors - counsellors should be available in respective subject courses) services;
  - (II) study support services; and
  - (III) Administrative support services.

- (ii) The facilities at a study centre shall serve specific purposes depending on the programmes, media mix in use and students. The facilities may include:
- (I) Basic office equipment and office supplies;
  - (II) Classroom/reading rooms;
  - (III) Multimedia room with internet connectivity;
  - (IV) Appropriate equipment and supplies for academic programmes; and
  - (V) Bookstore including course texts and reference books;

The number of study centres within a region would depend on the student population and distribution.

### 3.6 Collaborative Arrangements

#### *Standard*

Providers may get into collaborative arrangements for delivery of open and distance education.

#### *Guidelines*

Whenever ODL is delivered by two or more providers the following should be taken into account:

- (a) A written agreement specifying respective rights and responsibilities between the collaborating providers;
- (b) Declaration of ownership and legal responsibility of the programme;
- (c) Declaration of the accreditation status; and
- (d) Academic resources available to support the collaboration;

### 3.7 Mode of Delivery

#### *Standard*

The provider shall specify the media that are to be used for basic delivery as well as support to the learners.

#### *Guidelines*

The provider shall indicate the media available for delivery and which should be combined for multi-media approach to meet the diverse nature of learners. They should include:

- (a) Print-based media;
- (b) Audio-visual media;
- (c) Audio conferencing;
- (d) Audio-video conferencing;
- (e) Online;
- (f) CD ROM; and
- (g) Internet and e-mail based.

The chosen media mix should be based on the following criteria.



**(ACTIONS):**

A: How **Accessible** is the media to the learners?

C: **Cost** of using it, both by the institution at installation and maintenance as well as learner cost.

T: Its **Teaching** strengths in relation to specific content.

I: Its capacity in creating **Inter-activity**.

O: **Organizational** requirements for development.

N: How **Novel** it is.

S: **Speed** within which it can be set up.

### 3.8 Preparation of Course Materials

#### *Standard*

For each media in use the provider shall have in place a clear process of preparation of course materials and orientation to ensure quality material “fit for purpose”:

#### *Guidelines*

For each media in use, the course materials preparation should involve:

- (a) Identification of the course team to include:
  - (i) Course writer;
  - (ii) Media producers;
  - (iii) Editors/Instructional Designer; and
  - (iv) Reviewers.
- (b) Training of the course team on writing for ODL students by experts.
- (c) Writing and illustrating the course materials.
- (d) Reviewing the course materials by peer and other experts.
- (e) Editing the course materials.
- (f) Pre-testing of the materials on a trial basis
- (g) Production of the course materials ready for use.

## 4. CURRICULUM AND INSTRUCTION

The Curriculum and instructional methods should ensure that students have responsibility for their learning process and should prepare them for life-long, self-directed learning.

### 4.1 Curriculum Development

#### *Standard*

The provider shall ensure that each programme of study results in collegiate level learning outcomes appropriate to the rigour and breadth of the degree or certificate to be awarded, and that the programme meets the general education requirements.

### ***Guidelines***

The provider shall ensure that the curriculum contains:

- (a) Clear statement of the objectives indicating learning outcomes;
- (b) Core/basic content areas;
- (c) Content related to the needs and experiences of the learners/learner centered;
- (d) Media and media mix to be used in presenting different content areas; and
- (e) Resources to be used for instruction.

## **4.2 Instructional level and Staff**

### ***Standard***

The provider shall have a policy that ensures recruitment of academically and professionally qualified staff to administer and manage the programme.

### ***Guidelines***

The provider shall ensure that it employs staff with the following skills and competencies:

- (a) The **Management personnel** shall possess skills in-
  - (i) Policy making;
  - (ii) Organization and planning;
  - (iii) Strategic planning;
  - (iv) Project management;
  - (v) Team management; and
  - (vi) Public and human relations.
- (b) The **Academic staff** who may be full-time or part-time with appropriate knowledge in the discipline; basic instructional systems design theories and techniques which include the following:
  - (i) Appropriate and relevant academic qualification;
  - (ii) Understanding of distance learning concept;
  - (iii) Understanding learner characteristics;
  - (iv) Knowledge of open and distance learning styles and practices;
  - (v) Teaching – learning strategies in distance education;
  - (vi) Communication skills & presentation techniques for distance education;
  - (vii) Instructional design for interactive learning in distance education; and
  - (ix) Strategies of developing self-instructional materials.
- (c) The **Professionals/technologists** with communication and information technology, and management skills, for example-
  - (i) Knowledge of interactive technologies;
  - (ii) Educational software development; and
  - (iii) Computer networking.

- (d) **Administrative & Financial Staff** with skills in:
  - (i) Personnel management skills;
  - (ii) Budget making skills; and
  - (iii) Costing and cost analysis skills.

### 4.3 Self-Learning Materials

#### *Standard*

The provider shall ensure availability of self-learning materials to suit learners' characteristics, the media used in the teaching-learning system and their separation from the tutors/instructor.

#### *Guidelines*

The features of effective self-learning materials shall include the following:

- (a) Clear layout and format used consistently in all lectures;
- (b) Clear and appropriate learning objectives and learning outcomes;
- (c) Overview of content included in the introduction of both module and individual lectures;
- (d) Use of conversation or dialogue to provide for two way communication;
- (e) Content divided and presented into module, units and lectures;
- (f) Clear explanation of technical terms;
- (g) Illustrations which are set next to the text they illustrate with appropriate captions;
- (h) Clear guide to the learners in the use of module provided including the time a learner of average ability might spend on each unit;
- (i) Keeping the learner actively involved through the use of text and self-assessment questions and other activities involving application of the new knowledge and skills;
- (j) Situations and feedback to self assessment questions to show the learner his/her performance and progress;
- (k) Summaries for both the lectures and the unit or modules; and
- (l) Well directed and specific references at the end of each unit or lecture.

The provider shall take all reasonable steps to ensure that course materials are effective and do not contain significant errors of fact, misleading or outdated information, concepts or approaches.

#### **4.4 Pre-testing or Piloting Learning Materials**

##### ***Standard***

The provider shall have in place mechanisms for pre-testing or piloting the learning materials to establish that they are at the learner's level and that the learners will use them without difficulties, and finally be able to achieve the objectives or intended learning outcomes.

##### ***Guidelines***

The broad requirement in pre-testing shall be made available by providing reaction sheet addressing key aspects or areas of the study materials, for example:

- (a) Students understanding of the objectives;
- (b) The language of presentation;
- (c) Explanation of concepts, ideas and theories;
- (d) Use of examples for illustration;
- (e) Use of illustrations and graphics;
- (f) The activities and practice exercise given and feedback provided;
- (g) Use of symbols or icons; and
- (h) Navigational devices for online materials.

#### **4.5 Review of Curriculum and Learning Materials**

##### ***Standard***

The provider shall put in place a mechanism for regular review of both the curriculum and instructional materials by peers and experts.

##### ***Guidelines***

The review shall focus on relevance and appropriateness of content in relation to the syllabuses and their objectives, discipline conformity and learner expectations.

### **5. STAFF SUPPORT**

#### **5.1 Orientation and Training on Development of Learning Materials**

##### ***Standard***

The provider shall ensure appropriate orientation and training on requirements, skills and strategies of developing materials for open and distance learning by use of facilitators and training manuals.

### ***Guidelines***

The training manuals shall cover the following:

- (a) Overview of ODL;
- (b) Learner characteristics and their implications to content development;
- (c) Unpacking the syllabus to develop course outlines;
- (e) Writing objectives and learning outcomes and their role in open and distance learning instructional materials;
- (e) Presentation of materials for better understanding by the learners;
- (f) Creating interactivity in open and distance learning materials; and
- (g) Use of visualization in open and distance learning materials.

## **5.2 Orientation to Course Tutors**

### ***Standard***

The provider shall ensure appropriate orientation to course tutors or lecturers and counselors by expert trainers in ODL system who give face-face or non-contiguous intervention or interaction with the students.

### ***Guidelines***

The focus of the orientation should be on understanding their roles and strategies of operation for greater effective or maximum benefits to the learners. The orientation training should include:

- (a) Overview of open and distance learning;
- (b) Understanding the learners;
- (c) Understanding the teaching/learning process – mode of delivery;
- (d) Strategies of operation of the provider;
- (e) Understanding the role of the tutors; and
- (f) The tutoring processes both face to face and by correspondence through comments on assignments and tutorial letters.

## **5.3 Orientation to Non-academic Staff**

### ***Standard***

The provider shall ensure appropriate orientation of non-academic staff.

### ***Guidelines***

The orientation should focus on their roles and to the contribution to the programme. The areas to be covered should include:

- (a) Vision, mission of the provider;
- (b) Strategies of operation of the provider;
- (c) The role of non-academic staff in the teaching and learning environment and success to the programme; and
- (d) The customers who are learners or target groups and their concerns.

## **6. STUDENT SUPPORT (MATTERS)**

### **6.1 Student Services**

#### ***Standard***

The provider shall facilitate orientation for learners to prepare them to undertake ODL programmes.

#### ***Guidelines***

The orientation shall focus on skills for ODL and academic socialization. The areas to be covered should include:

- (a) Basic skills on ODL:
  - (i) Reading skills;
  - (ii) Study skills;
  - (iii) Notes taking skills;
  - (iv) Writing skills; and
  - (v) Computer skills.
- (b) Academic orientation and socialization:
  - (i) Provide pre-entry guidance and counseling on:
    - (I) Types of programmes and courses available;
    - (II) Selection of courses in relation to learners needs;
    - (III) Instructional system and its requirements; and
    - (IV) Distance learner's challenges and how to cope with them.
  - (ii) Course support after admission including:
    - (I) Induction into the instructional system of the provider;
    - (II) Timely distribution of study materials;
    - (III) Introduction of learners to reading skills;
    - (IV) Electronic academic support at the regional and study centers;
    - (V) Tutorial and counseling services to the learner;

- (VI) Organization of practical;
  - (VII) Time management focusing on hours required to cover any specific course; and how to create the required time;
  - (VIII) Assignments and feed back to marked assignments; and
  - (IX) Introducing Learner to examination techniques.
- (iii) Post-course support service including:
- (I) Immediate communication of results;
  - (II) Advise on career prospects;
  - (III) Lasting contact with their provider as alumni; and
  - (IV) Information on new prospects by the provider.

## 6.2 Residential Sessions

### *Standard*

The provider shall organize residential sessions for learners for effective administration of the ODL programmes.

### *Guidelines*

These sessions may be conducted at a central place for a given cohorts or organized on regional basis, to the serve the following purposes:

- (a) To provide general orientation and introduction to the course materials at the commencement of the course;
- (b) To provide special sessions for difficult aspects of the course at middle of the programme/course; and
- (c) To provide some revision work to students before examinations.

Tutorial services may be provided on continuous basis from enrolment to examination time during specific weekends.

## 6.3 Regulations

### 6.3.1 Admission into the programmes.

#### *Standard*

The provider shall ensure that open and distance learning increases access and equity.

#### *Guidelines*

In order to increase access and equity in ODL, the provider shall endeavour to reduce barriers on eligibility for admission through bridging and foundation courses.

- (a) Credit transfer;

- (b) Crediting prior knowledge and experiences;
- (c) Consortia arrangements to enable learners take credit units from other providers; and
- (d) Collaboration arrangements for learners' support and attachment in the private sector.

### **6.3.2 Duration and structures of academic programmes**

#### ***Standard***

The provider shall ensure that there is flexibility in the programme structures and durations.

#### ***Guidelines***

Flexibility in the programme shall be provided in the following ways:

- (a) Ensuring that the total units in a programme are tabulated with any prerequisites listed against such courses to guide the students/learners choice;
- (b) Providing for varied unit load for students; and
- (c) Ensuring that there is a minimum number of units to be taken to enable students complete within the stipulated time.

### **6.3.3 Examination Regulations**

#### ***Standard 1***

The provider shall, at enrolment, inform the learner of any examinations that would be offered by external bodies and declare the requirements of the said examinations.

#### ***Guidelines***

Requirements for external examination should include the responsibility of the provider and responsibility of the learner:

- (a) Nature of any prior qualification or other entrance requirements imposed by such external organisation;
- (b) How the examination would be conducted;
- (c) Where and when the examinations would be undertaken; and
- (d) Examination fees, if any.



The provider should ensure that the course fits the current curriculum of the awarding body/organization.

### ***Standard 2***

The provider shall have written examination regulations that will be brought to the attention of the learner during admission.

### ***Guidelines***

The examination regulations shall include:

- (a) Types of examinations (CATs, End of Semester or Module, Final Examinations);
- (b) Ratio of continuous Assessment Tests to the Final End of Semester Examinations must be clearly stated.
- (c) Grading of examinations;
- (d) Disciplinary and mode of appeal; and
- (e) Special requirements that provide for flexibility and convenience to learners.
  - (i) Organizing examinations at regional centres if possible.
  - (ii) Students should be allowed to accumulate credits.
  - (iii) Students should be allowed at least three sittings in a unit.

## **7. EVALUATION AND ASSESSMENT**

### **7.1 Assessment Procedure**

#### ***Standard***

The provider shall put in place appropriate assessment procedures that will ensure proper assessment of the learner's ability and achievement and communication of results to the learners.

#### ***Guidelines***

The assessment procedures shall include:

- (a) Clear guidelines on setting, moderating, marking and processing examinations results.
- (b) Examination regulations including:
  - (i) Examination setting by competent persons in the subjects area;
  - (ii) Examinations coverage on all key aspects of the curriculum;

- (iii) Test items or examinations which elicit the expected outcome as stated in the programme objectives;
- (iv) Moderation of all examination questions and examination scripts;
- (v) Clear invigilation procedures;
- (vi) Clear guidelines for marking;
- (vii) Clear procedures of receiving, recording, processing of continuous assessment tests and final examination;
- (viii) Secure storage of examination results; and
- (ix) Appeals against results by students.

## 7.2 Student Evaluation

### *Standard*

The provider shall ensure that evaluation and assessment of students meet the objectives and learning outcomes of the curriculum and objectives of the learners and the world of work.

### *Guidelines*

The provider should consider the following key aspects of student evaluation with respect to students (and the entire institution):

- (a) At entry, the provider should know entry behaviour of its learners. This is done by collecting data at entry and by examination and by examining certificates.
- (b) Intermediate evaluation done during the course seeks to establish the progress of the students identifies learner's difficulties and enables appropriate feedback to be given to learners. It involves:
  - (i) Self Assessment Questions provided in the study materials with guides for feedback to students. They create interactivity with the study materials;
  - (ii) Take home assignments and timed-tests done and returned to Tutor for marking with minimum turn around time; and
  - (iii) They provide two-way communication between teacher and learner.
- (c) Final Evaluation Examination done at the end of the course to serve as a summative evaluation and to show how far the objectives have been achieved. The critical elements of final evaluation examination are:
  - (i) It uses the results of Continuous Assessments and End Semester Examinations.
  - (ii) The examinations are moderated by other experts or an academic subject team.
  - (iii) For consistency a marking scheme is required.

- (iv) Such examinations are administered under approved Examinations Regulations especially invigilation.
- (v) The schedule of such examinations are drawn early in the academic year and made known to students.
- (vi) The final evaluation is used for the following:
  - (I) Giving grades for certification of learner.
  - (II) Provide feedback to the institution on the performance and achievement and failures on the objectives.
  - (III) May be the basis of revising some parts of the course.
- (vii) The provider should institute a mechanism for getting feedback on graduates' performance from the employers.

### 7.3 Course Evaluation

#### *Standard*

The provider shall ensure regular (say once in five years) evaluation and review of programmes and courses with a view to redesigning the programmes/courses for relevance and worth.

#### *Guidelines*

The provider should put in place a mechanism for receiving feedback from stakeholders on the programmes: The stakeholders should include:

- (a) Course tutors;
- (b) Course writers;
- (c) Employers of the learners (both successful and unsuccessful) from the course; and
- (d) Any other users of the instructional materials.

Specific instruments may be prepared in advance for soliciting responses, for example, **reaction sheet** circulated with instructional materials or can be developed at the specific time of evaluation.

### 7.4 Evaluation of Learners Support Services

#### *Standard*

The provider shall ensure that learners support services are constantly assessed for effectiveness of mode and medium of delivery.

#### *Guidelines*

The assessment of learners support services shall address among other things:

- (a) Availability and adequacy of facilities for learner support;
- (b) Utilization of the services provided at the Study Centres by the learners;

- (c) Adequacy and competency of staff; and
- (d) Accessibility of the facilities and services to all students registered in the programmes.

## 7.5 Evaluation of Staff

### *Standard*

The provider shall put in place mechanisms for evaluation of both full-time and part-time staff to establish their performance and effectiveness.

### *Guidelines*

Evaluation of staff should address the following:

- (a) Training needs analysis;
- (b) Assessment of training programmes for their effectiveness;
- (c) Identification of priorities in training needs; and
- (d) Cost-benefit analysis on investment in staff development.

The primary purpose of evaluation is to ensure **quality** in the **entire operation** of the provider all the time under changing circumstances.

## 8. ADVERTISING

### *Standard*

The provider and its agents shall ensure that advertising of programmes/courses is done in a fair and ethical manner following acceptable best practices, and comply with all relevant legislation.

### *Guidelines*

The provider should ensure that advertising or promotional materials give clear and accurate view of the provider, its provision, objectives and outcomes of the programme/course.

- (a) The material for promotion should give, among other things:
  - (i) clear identification of the provider;
  - (ii) clear indication of the body awarding any qualification and its status;
  - (iii) clear indication of mode of delivery; and
  - (iv) charges involved.
- (b) Enquiries from potential applicants should be handled promptly by competent staff.
- (c) Advertising through home visits should avoid the possibility of misselling.
- (d) The learner should be given sufficient information to fully assess the suitability of a programme/course.

- (e) The learner should be made aware of all terms and conditions relevant to the programme/course.
- (f) Enrolment when completed should be confirmed to the learner, and the learner given time to withdraw from the course.
- (g) The learner must be informed of rights, obligations and commitments expected of her/him.
- (h) The learner must be informed of the financial agreements himself/herself and the provider.

### 3.10 GUIDELINES FOR DEVELOPING STUDY MATERIALS FOR DISTANCE EDUCATION

In developing instructional study materials for academic programmes delivered through distance education, the following criteria should be used for making the study materials self-instructional and interactive.

1. **At the module level**, the layout/format should include the following:
  - (a) Title of the course and course number.
  - (b) Table of Contents which is a clear reflection of the lecture titles in the book/module.
  - (c) Introduction which gives:
    - (i) Overview of the course;
    - (ii) Rationale for offering the course;
    - (iii) Advice on how the learners should approach and interact with the course;
    - (iv) Give any prerequisite if applicable;
    - (v) Linkage of the specific module and the others in the programme;
    - (vi) Specific essential reading/reference materials; and
    - (vii) Assessment mechanisms of the course.
  - (d) Objectives of the course which guides or informs the learner what is expected of him/her after completing the course in other words the expected outcome.
  - (e) Well balanced lectures that reflect the weighting of each lecture and sub-divided into small chunks.
  - (f) References given at the end of specific lectures.
  - (g) A summary of the whole module and possibly feedback or solution to some of the activities/practice exercises to enable the learners check their work and performance.
  - (h) End of module practice exercise that summaries the entire module.
2. **At lecture level** the layout/format should include the following for each lecture:
  - (a) Lecture title which agrees with Module content/outline
  - (b) Lecture outline showing the content sub-topics for each lecture.

- (c) Individual lecture objectives that indicate what is expected as outcome for the learners after completing each lecture.
  - (d) Unit introduction which includes the following:-
    - (i) Link between the previous lecture and the specific lecture;
    - (ii) Overview of what the lecture is going to deal with; and
    - (iii) Any specific prerequisite if applicable.
  - (e) Each lecture treated/broken into sub-topics.
  - (f) The hierarchy of information distinguished by either heading scheme or numbering or both
  - (g) Activities or practice exercises distributed in the lecture possibly under each topic or several topics and at the end of the lecture.
  - (h) Summary/conclusion at the end of each lecture.
  - (i) Specific reference clearly identified by pages.
3. Language of presentation should be at the level of the learners but not compromising the technical terminology of the subject.
4. Throughout conversational language should be used to bring the learner closer to the text and the writer.

### 3.11 VERIFICATION OF ACADEMIC RESOURCES (CHECK LIST)

The Commission will verify academic resources available or likely to be available to support proposed academic programmes before giving final approval. The list of academic resources given is not exhaustive and institutions are expected to specify other available resources not included in the list where appropriate.

**Name of Institution**.....

**Department/Programme** .....

**Student Enrolment in the Programme** .....

#### 1. Facilities

Item	Number	Capacity (Sq m)	Usage	
			Specific to Department	Shared
Conference Halls				
Lecture Rooms/ Lecture Theatres				
Lecturer's Offices				
Laboratories - Physics Lab. - Chemistry Lab. - Biological Sciences Lab - Computer Lab.  Others (specify)				
Workshops				
Studios				
Farm Facilities				
Internet Access Points				
Others (specify)				



2. **Equipment and teaching materials**

Item	Type	Number	Capacity	Usage	
				Specific to Department	Shared
Desk Top Computers (PCs)					
Lap Tops/ Note Books					
Projectors Power Point - Projectors					
Computer Software					
Laboratory Equipment					
Special Equipment					
Others (specify)					

3. **Core-texts and journals**

Subject Area	No. of Titles	Volumes	Journals (No. of Titles)	Remarks

4. **Academic Staff**

(a) **List of names of academic and relevant support staff**

Name	Rank	Qualification	Area of Specialisation	Experience (Years)	Remarks (Head, Full-time, Part-time, etc)

(b) **Summary of academic staff**

<b>Rank</b>	<b>Total No.</b>	<b>Full-Time</b>	<b>Part-Time</b>	<b>Remarks</b>
Professors				
Associate Professors				
Senior Lecturers				
Lecturers				
Tutorial Fellows/ Assistant Lecturers				
Teaching Assistants/ Graduate Assistants				
Technicians/ Technologists (specify rank)				
Others (specify)				

5. The information should be related to the projected student enrolment for four (4) academic years.

Indicate both the:

- (a) Student: staff ratios .....and
- (b) Staff load per programme.....

6. **Declaration**

**Name of Respondent** .....

**Designation** .....

**Signature** .....

**Date** .....

### 3.12 **FORMAT FOR PREPARING INSTITUTIONAL INSPECTION /VISITATION REPORT**

This format is applicable to all institutions operating under a Letter of Interim Authority or Certificate of Registration. Its purpose is to enable the institution to prepare a detailed evaluation report of the progress it has taken towards the achievement of the aims and objectives for which it was established.

#### 1. **The Vice-Chancellor's / Rector's/ Principal's Report**

The Vice-Chancellor's Report should cover the following academic years:  
.....; .....; .....; .....

The report should be precise but comprehensive and should articulate all activities carried out during the years in question.

The report should not be more than 4 pages of A-4 size paper.

#### 2. **Governance**

Indicate the form of governance by providing charts showing:

- (a) existing governance structure
- (b) proposed governance structure when a Charter is granted
- (c) existing functional areas
- (d) proposed functional areas
- (e) existing standing Committee structure
- (f) proposed standing Committee structure
- (g) existing academic organization structure
- (h) proposed academic organization when a Charter is granted
- (i) existing administrative structure
- (j) proposed administrative structure when a charter is granted.

#### 3. **Programmes Offered**

Give the degree programmes offered, indicating:

- (a) areas of concentration;
- (b) when they were introduced; and
- (c) mode of delivery.

Give other programmes indicating:

- (a) when they were introduced; and
- (b) mode of delivery.

#### 4. Student Enrolment

- (a) Give total student enrolment according to gender.
- (b) Give the total number of students enrolled in each programme of study according to the year of study and by gender for the period .....

**Table 1 – Students enrolment per programme**

	Student Enrolment Per Programme By Year												
Programme	Year 1			Year 2			Year 3			Year 4			GT
BSc.	F	M	T	F	M	T	F	M	T	F	M	T	
BA													
MSc.													
MA													
PhD													
Total													

- (c) Provide the lists of students, giving the:
  - (i) Names, Gender and Qualification for admission
  - (ii) Programme and area of specialization (if any)

The lists should be presented in a table form according to each year of study.

#### 5. Staffing

##### (a) Staffing Position

- (i) The staffing position showing the number of staff in each discipline and the number of students enrolled in that discipline, for the academic years.

.....; .....; .....; .....

- (1) The names of the staff with all their qualifications and the institutions from which the qualifications were obtained.

The information should be tabulated as indicated in the example below.

**Table 2 – Staffing position per programme**

Name of Staff	Rank	Qualification and Institution obtained from
P.W. Kazingumu		B.A. (K.U.), MA (UoN) Ph.D. (M.U.)
R.T. Mali		B.A. (E.U.); MA (JKUAT)

- (2) The list of the full-time (permanent) members of academic staff per programme and indicating their rank and teaching load in terms of:
- (I) hours per week;
  - (II) hours per term/semester;
  - (III) hours per academic year.

The information should be tabulated.

- (3) The list of part-time academic staff per programme indicating their rank and teaching load for each of them in terms of:
- (I) hours per week;
  - (II) hours per term/semester;
  - (III) hours per academic year.

This should be tabulated as above.

**(b) Staff/Student Ratios**

Give Staff/Student ratios according to each discipline, for the academic years .....; .....; .....; and .....

**(c) Staff Development**

- (i) Give an outline of your institution's staff development policy;
- (ii) Give the names of the full-time academic staff who have been on your staff between ..... and ....., and the qualification each of the staff has obtained through the staff development programme.
- (iii) Give the names of the non-academic staff who have been on staff development, indicating their department.
- (iv) Of those trained, how many have returned and are in the service of the university. Give separate list for academic and non-academic staff.

- (v) Indicate the projected staff development needs of the institution per department/discipline for the next ten years.

**6. Research**

- (a) Give an outline of the institution's research policy.
- (b) Indicate the amount and percentage of the institution's budget set aside for research, showing how the amount has been allocated per department. Indicate other sources of research funding if any.
- (c) List all researches in progress per discipline and the members of staff involved.
- (d) Give the names of academic staff indicating their main areas of research interest, completed research and the publications each of them has produced between .....and .....
- (e) How has the university utilized the research findings?

**7. Financial Resources**

- (a) Sources of Income and their Viability
- (i) List the main sources of income of the institution;
- (ii) Indicate in a tabular form, the amount expected and the amount received from each source for the ..... Financial year to ..... Financial year.

**Table 3 – Sources of income per academic year**

	Financial Year					
	20...		20...		20...	
Source	Expected	Received	Expected	Received	Expected	Received
Fees						
Donations						
Income Generating Services						
Others						
<b>Total</b>						

(iii) Show the financial projections in terms of:

- 10 years projections;
- 6 years development plan. (Give Development Plan as appendix)
- 4 years commitment.

All starting from ..... financial years.

(iv) What measures have you taken to ensure viability of your funds, both in the short-term and in the long-term?

(v) What system do you have for short-term and long-term planning for your institution?

NB: *The Inspection Committee will want documentary evidence on the viability of the sources of your funding for the years in question*

**(b) Audited Accounts**

Give the audited accounts for the last four financial years:

- (i) ..... Financial year;
- (ii) ..... Financial year;
- (iii) ..... Financial year;
- (iv) ..... Financial year.

The above Audited Accounts should be certified by a person qualified as stipulated in Rule 14 (2) (b) (iv) of the Universities Rules, 1989.

**(c) Estimates of Expenditure**

- (i) Give the Estimates of Expenditure for ..... financial year showing the allocations for each department and each operating unit within the institution.
- (ii) On what basis are these estimates of expenditure prepared?
- (iii) On what basis do these estimates differ from the actual expenditure for the same financial year?
- (iv) How do you determine the levels of funding for the institution in a given financial year?

- (v) To what extent are your estimates of expenditure based on the institutional goals and objectives?
- (vi) Who prepares the budget, and what is the budgetary process in your institution?
- (vii) Do you have any guidelines for preparing the budget?

**8. Size and Quality of the Library**

- (a) Outline the Universities Library Policy and append the Library Policy Document.
- (b) Give the number of volumes of books per programme.
- (c) Give the number of titles of books per discipline.
- (d) Give the number of referred journals on current subscription by the library per discipline.
- (e) To what extent is your library equipped to offer information services using modern technology?
- (f) As a repository of knowledge, to what extent is your library equipped for the long-term preservation of library holdings and resources?
- (g) How adequate are the bibliographic services and to what extent are they kept current in meeting the needs of users?
- (h) Indicate how the university library is financed.
- (i) How much of the library finances is allocated for the purchase of books, journals and computers and related equipment for the last 4 years? Give the amount and as a percentage of the library budget.
- (j) What is the current staffing level of the library? Indicate the qualifications and experience of the library staff.
- (k) As a major player in collection, organization and dissemination of knowledge, to what extent is your library equipped for this function?
- (l) Give a list of equipment in the library.
- (m) State the sitting capacity of the library.
- (n) How does your library meet the library standards as stipulated in the Universities Rules (1989) and the guidelines for establishing university libraries?



9.      **Equipment**

Give a list of all major equipment you have. The equipment should be listed according to each department, and the use to which each equipment is put. You should also give an indication of whether equipment is for communal use.

10.     **Inventory of Physical Resources**

- (a)      Give a list of all the physical facilities you have. These should be categorized in terms of lecture theatres, lecture rooms, administrative staff offices, academic staff offices, laboratories, common rooms, hostels, dining halls, kitchens etc, giving the sizes in sq. metres. This should reflect the position as at .....
- (b)      Indicate the total land available to the university, giving the LR numbers and sizes. Indicate which ones are in the name of the university.
- (c)      Indicate the sports/games facilities available to the university.
- (d)      Indicate the health services available at the university.

11.     **Development Plan, Master Plan and Strategic Plan**

(a)      **Master Plan**

Give an outline of the institutions master plan, indicating projected growth of the institution in terms of student enrolment, staff numbers, physical facilities, academic programmes, and the required financial resources. The projected student enrolment and staff numbers should be according to departments and faculties.

A detailed master plan should be given as an appendix. Include a physical master plan.

(b)      **Strategic Plan**

Provide the current strategic plan of the institution, indicating when its implementation started and the likely year for its review or change.

**Note:** *In supplying the information asked for, you should do so according to the headings and subheadings in this format. All documents/information asked for should be paged and bound together with appendices in one volume, titled: Institutional Inspection Report.*

### **3.13 GUIDELINES FOR PREPARING A DRAFT CHARTER OF A PRIVATE UNIVERSITY**

These guidelines indicate the minimum information that should be included in each section of a draft charter.

#### **COVER PAGE**

- (a) Name of the university.
- (b) "Draft Charter"
- (c) Presentation to the Commission for Higher Education
- (d) Date of presentation

#### **TABLE OF CONTENTS**

Include all PARTS and Sections of the Charter discussed, for example:

#### **PREAMBLE**

This is a short sentence explaining how the Charter may be used. The rest of the Charter should be arranged in distinct PARTS and Sections which may take the following structure.

#### **PART I - PRELIMINARY**

##### **Sections**

- (1) Short Title.
- (2) Interpretation.

#### **PART II - ESTABLISHMENT AND FUNCTIONS OF THE UNIVERSITY**

Establishment and Incorporation of the University

- (3) Mission
- (4) Philosophy
- (5) Aims and Objects
- (6) Functions
- (7) Constituent Colleges, Schools, Institutes
- (8) Affiliated Institutions
- (9) Conferment of Degrees, Diplomas, Certificates and other Awards
- (10) Withdrawal of Degrees, Diplomas, Certificates and other Awards

#### **PART III - MEMBERSHIP AND GOVERNANCE OF THE UNIVERSITY**

- (11) Membership

- (12) Governance
- (13) Chancellor/Equivalent
- (14) University Council or equivalent
- (15) Chairman of the University Council
- (16) Functions of the University Council
- (17) The Senate or Equivalent
- (18) Student Council or Equivalent
- (19) Alumni Association.

#### **PART IV - MANAGEMENT OF THE UNIVERSITY**

- (20) The Management Board or Equivalent
- (21) The Vice-Chancellor or Equivalent
- (22) The Deputy Vice-Chancellors or Equivalent and other Senior Officers
- (23) Performance of duties during incapacitation of an office holder.

#### **PART V - FINANCIAL PROVISIONS**

- (24) University Fiscal Year
- (25) Sources of Funds
- (26) Annual Budget
- (27) Accounts and Audit

#### **PART VI - MISCELLANEOUS PROVISIONS**

- (28) The Common Seal and Signification of Documents
- (29) Statutes
- (30) Protection of Name
- (31) Variation and Revocation of the Charter

#### **THE BODY OF THE CHARTER**

#### **A CHARTER FOR X UNIVERSITY**

*A Charter to provide for the establishment, control, governance and administration of X University, and for connected purposes.*

#### **PART 1 - PRELIMINARY**

##### **1. Short Title**

A statement of how the Charter may be cited, including the date when the Charter becomes effective.

##### **2. Interpretation**

- (a) Definitions of terms used in the Charter given in alphabetical order.

- (b) Definitions should be precise and should make reference to the relevant section of the Charter where the term has been used, for example,

“Academic Council” means Academic Council of X University established in accordance with section Y of the Charter”.

## **PART II - ESTABLISHMENT AND FUNCTIONS OF THE UNIVERSITY**

### **3. Establishment and Incorporation of the University**

- (a) Establishment of X University.
- (b) The legal status of the university, indicating what the University will be capable of doing. These must be listed as follows:
- (i) .....
  - (ii) .....
- (c) State whether the university to be established is a successor to any other previously existing institution(s).

### **4. Vision and Mission**

This is a statement of the Vision and Mission of the university and should include purpose, business and value statements.

### **5. Philosophy**

The university may state its philosophy in the manner it deems fit.

### **6. Aims and Objects**

These should be listed and must include:-

- (a) Level of training to be provided and the method by which training will be provided.
- (b) Involvement in research.
- (c) Provision of resources for training, education and research.
- (d) Development of other abilities in the student such as appropriate attitudes to enable graduates live in society.
- (e) The aims and objects of the university should be consistent with the philosophy, vision and mission of the university.

## **7. Functions**

- (a) The functions of the university which should include:
  - (i) Provision of resources for education, training and research and community service.
  - (ii) Determination of who may teach, what may be taught and how it may be taught.
  - (iii) Conducting research.
  - (iv) Preservation, processing, transmission and dissemination of knowledge.
  - (v) Conducting examinations, granting degrees, diplomas, certificates and other award.
  - (vi) Undertaking community service.
- (b) Criteria for admission of students to the university.

## **8. Constituent Colleges, Schools, Institutes**

Indicate whether the university shall have Constituent Colleges, Schools and Institutes.

## **9. Affiliated Institutions**

- (a) State the institutions and organizations the university shall affiliate with.
- (b) State the type of affiliations.

## **10. Conferment of Degrees, Diplomas, Certificates and other Awards**

- (a) A clause giving the university powers to confer degrees and grant diplomas, certificates and other academic awards.
- (b) A clause giving the university powers to award fellowships, scholarships, bursaries and prizes.

## **11. Withdrawal of Degrees, Diplomas, Certificates and other Awards**

- (a) A clause giving the university powers to withdraw any degree, diploma, certificate or other academic qualifications conferred or granted.
- (b) A statement indicating the conditions that shall necessitate such withdrawal of degrees, diplomas, certificates etc.

## **PART III - MEMBERSHIP AND GOVERNANCE OF THE UNIVESITY**

### **12. Membership**

List the groups of people considered as members of the university.

13. **Governance**

List the various organs that will be involved in governing the University.

14. **Chancellors or Equivalent**

- (a) Establishment of the position of the Chancellor.
- (b) The powers of the Chancellor.

15. **University Council or Equivalent**

- (a) Establishment of the University Council.
- (b) Membership of the Council, stating who shall be the Chairman and who shall be the Secretary to the Council.
- (c) Appointment of members of the Council.
- (d) Tenure of members of the Council.
- (e) Retirement or occurrence of vacancy in the office of a member of the Council.
- (f) Appointment of a member of the Council upon a vacancy occurring before end of tenure.
- (g) Meetings of the Council and quorum necessary for such meetings.
- (h) Voting at meetings of the Council.

16. **Chairman of the University Council**

- (a) The appointing authority.
- (b) Tenure of appointment.
- (c) The broad responsibility of the Chairman.

17. **Functions of the University Council**

- (a) State the broad functions of the Council, namely. governance, control and administration of the university.
- (b) List the specific functions of the Council which should include:
  - (i) Development of policies for achievement of the university's Objectives.
  - (ii) Administration of property and funds of the university.
  - (iii) Raising funds and securing financial support for the university.
  - (iv) Taking care of staff welfare
  - (v) University fees and other charges
  - (vi) Establishment of scholarships, bursaries and other awards.

- (vii) Appointment of university staff.
- (viii) Approval of regulations governing staff and student conduct.
- (ix) Approval of academic affiliations and other association with other colleges/institutions.
- (x) Establishment of its Committees.
- (xi) Establishment of departments, faculties, schools, institutes etc.

**18. The Senate or Equivalent**

- (a) Establishment of the Senate
- (b) Membership, indicating who shall be the Chairman and Secretary.
- (c) Functions of the Senate which should include overseeing Academic programmes, quality and character of the university.
- (d) Powers to establish its committees.

**19. Student Council or Equivalent**

- (a) Provide for Establishment of the student Council.
- (b) Functions of the Student Council.

**20. Alumni Association**

- (a) Establishment of the Alumni.
- (b) Functions of the Alumni.

**PART IV - MANAGEMENT OF THE UNIVERSITY**

**21. Management Board or Equivalent**

- (a) Establishment of the Board and
- (b) Membership, indicating the Chairman and Secretary.
- (c) The functions of the Board.

**22. Vice-Chancellor or Equivalent**

- (a) Appointment of the officer including the appointing authority.
- (b) Broad reference to his/her terms and conditions of service with respect to the body determining those terms.
- (c) The broad responsibility of the officer.
- (d) Tenure of appointment.

**23. The Deputy Vice Chancellor(s) or Equivalent and other Senior Officers**

Deputy Vice-Chancellor(s) and other Senior Officers of the university should also be presented under separate sections to include:

- (a) Appointing authority
- (b) The broad responsibilities
- (c) Tenure of appointment.

**24. Performance of Duties during Incapacity of an Office Holder**

**PART V - FINANCIAL PROVISIONS**

**25. University's Fiscal Year**

- (a) Period of fiscal year
- (b) Change in the fiscal year

**26. Sources of Funds**

List the university's sources of funds

**27. Annual Budget**

- (a) Preparation of Annual Budget.
- (b) Approval of the Annual Budget.

**28. Accounts and Audit**

Provide for auditing of the Accounts

**PART VI - MISCELLANEOUS PROVISIONS**

**29. Common Seal and the Signification of Documents**

- (a) Custody of the Common Seal
- b) Authentication of the Common Seal

**30. Statutes**

- (a) Power to make Statute
- (b) The purpose of Statutes
- (c) The process of making Statutes
- (d) Amendment and revocation of Statutes



31. **Protection of the Name**

- (a) The name to be protected
- (b) Penalty for infringement on the protected name of the university.

32. **Variation and Revocation of the Charter**

Provide for variation and revocation of the Charter in accordance with section 16 of the Universities Act 1985.

### 3.14 SELF ASSESSMENT QUESTIONNAIRE FOR A CHARTERED UNIVERSITY

#### Note

- (a) *The Self-Assessment Report (SAR) should be an analytical and critical self-evaluation of your performance, achievements and failures.*
- (b) In preparing the report, the university should adopt a collegiate approach.
- (c) Each question should be answered analytically and critically with supporting evidence to enable the Evaluating Team to assess how you have performed since being granted a charter.
- (d) For presentation of the SAR Report, the Commission would like the material to be presented in an orderly manner; with each question being reproduced in bold/italics and answers provided below it. The answers should not be in terms of YES or NO, but well articulated with supporting data and evidence. Supporting data in summary form should be included in the text as part of the answer, with detailed data presented in the relevant Appendix.
- (e) Chapter 1 – 8 relate to the whole university.
- (f) Chapter 9 relates to individual departments and the chapter should be answered by individual departments.

#### INTRODUCTION

##### Report by the Vice-Chancellor/Rector

This should give an overview of the activities of the University, showing the global trends of enrolment and staff recruitment, and the main thrusts and directions the university is developing.

(The report submitted under suitable sub-headings, should not be more than 4 pages of A4 size paper double spacing).

#### CHAPTER 1

##### 1. Performance in Relation to the Objectives of the University.

- (1) Have you established a follow-up mechanism to enable you assess whether you are meeting the individual goals for which the university was established?

- (2) If so, what are the results for each goal?
- (3) To what extent have you as a university met each objective for which you were established?
- (4) What have been your experiences in trying to achieve the objectives?
- (5) What measures are you taking to meet the objectives you have not achieved?
- (6) Are the academic staff conversant with the objectives of the university? How do they become conversant with the objectives?
- (7) Are administrative staff conversant with objectives of the university? How do they become conversant with the objectives?
- (8) To what extent are the academic staff familiar with contents of your Accreditation Report?

## CHAPTER 2

### 2. Governance

#### (1) The Council

To what extent has the council adequately undertaken its ` functions as stipulated in the Charter with respect to:

- (a) Establishment of new faculties, school, departments, boards etc.
- (b) Raising funds for the university.
- (c) Expansion of physical facilities of the university;
- (d) Staff appointment and retention.

#### (2) The Senate

- (i) One of the functions of the Senate is to propose to the Council for approval of academic plans and their modifications based on a continuous evaluation.

List academic plans and their modifications based on continuous evaluation which the Senate has proposed to the Council for approval since the award of Charter.

Academic plans and their modifications proposed by the Senate to Council	Date Initiated By Senate	Date Approved by Council	Date Implemented
1.			
2.			
3.			
4.			
5.			
6.			
7.			

- (ii) Another function of the Senate is to develop, evaluate and propose modifications in the programme of instruction, in research and field services, consistent with the objectives of the university.

List all the programmes the Senate has developed, evaluated and modified since the award of Charter in the year....

Programmes developed, evaluated and modified	Date Initiated by Faculty etc.	Date Approved by Senate	Date Implemented
1.			
2.			
3.			
4.			

- (3) Outline your students' assessment policy.
- (4) Besides the Commission for Higher Education, do you have external quality assurance agencies? If so, which are they and how do they operate.
- (5) What academic linkages does the university have? List the institutions involved.
- (6) **Operations of other Committees**
- (a) How has the Committee system worked since the university was granted a charter?
- (b) What have been the bottlenecks in the operations of the Committee system?
- (c) Have the Committees met according to the statutory number of times in a year? If not, why have they failed to do so?

- (d) How is the business for the Committees generated? Who decides on what business goes to which Committee?
- (i) List all the Statutory Committees that have been operational since the award of charter, showing the stipulated frequency and the number of times each of them has met each academic year. (The answer should be tabulated as shown below).

Year	Statutory Committees in operation	Year established	Frequency of meetings	No. of meetings
	1.			
	2.			
	3.			
	4.			
	5.			

- (ii) How many new Statutory Committees have been established since the university was granted a Charter?
- (iii) How many Ad-hoc Committees have been established since the university was awarded a charter?

Ad hoc Committee	Purpose	Year established	No. of meetings held
1.			
2.			
3.			
4.			
5.			
6.			
7.			

- (iv) How representative is the participation of the university community in the statutory and ad hoc Committees of the university?

*Give lists of membership for each Committee and the constituencies represented as Appendix 1.*

## (7) Organisational Structure

- (a) Have there been any changes in the organizational structure of the University, since it was granted a charter? If so, what was the cause for

the change? Has the administration of the university been strengthened by these changes?

*The current academic year Organisational Chart should be provided as Appendix 2.*

- (b) Has the management of the university been carried out in strict accord with the provisions of the Charter?
- (c) Have the administrative and academic structures that were adopted at the time of the grant of the charter worked satisfactorily?
- (d) If so, in which ways have they assisted in meeting the objectives for which the university was established?
- (e) What have been the bottlenecks in the operations of the administrative and academic structures?
- (f) What measures have you taken, or plan to take to remove the bottlenecks?
- (g) Has the university operated as an academic enterprise? If so, in which ways?

**(8) Student Participation in the Governance of the University**

- (a) To what extent and in what form do students participate in the management of the university?
- (b) How have you dealt with conflict resolution between the students and the university administration, on the one hand, and students and academic staff on the other?

**CHAPTER 3**

**3. Physical Facilities**

**(1) Buildings**

Has there been any developments in the provision of new physical facilities since the university was granted a Charter? If so, list the new buildings erected and old ones refurbished, giving the resultant area in square metres for each building and the use to which it is put, or is intended.

(a) New Buildings

New buildings	Year completed	Size in sq. metres	Intended use	Actual use
1.				
2.				
3.				
4.				
5.				
6.				
7.				

(b) Old Buildings

Old buildings modified	Year completed	Size in sq. metres	Intended use	Actual use
1.				
2.				
3.				
4.				
5.				
6.				
7. etc.				

(c) Teaching and Administrative space Available after Grant of Charter

Category	Before Grant of Charter		Additional Space		Total Space
	No.	sq.m	No.	sq.m	sq.m
1. Lecture Rooms					
2. Lecture Theatres					
3. Seminar Rooms					
4. Laboratories					
5. Specialised labs					
6. Computer Rooms					
7. Auditorium					
8. Academic Staff Offices					
9. Administration Staff Offices					
10. Library					
11. Student Centre					
12. Any Other					

**Note:** *The current utilization of these should be provided in two Different tables, namely weekly and per quarter/ term /semester per academic year as Appendix 3.*

**(2) Equipment**

What new major equipment has the university acquired since it was granted a charter? Give lists of the equipment as indicated below:

Name of Equipment	Department	Cost (Kshs.)	Intended use
1.			
2.			
3.			
4.			
5. Any other			

**(3) Library Resources**

- (a) Outline the university's library policy
- (b) How much funds have you as a university set aside for the development of library resources? What proportion is this in terms of overall university budget? This should exclude staff development, staff emoluments and capital development.

Year	Amount KES	Amount as a percentage of overall university budget



- (c) How many new books and journals has the university bought since it was granted a charter?

Year	New Books		New Journals	
	Number	Cost	Number	Cost

- (d) Give the distribution of new books and journals per discipline.
- (e) To what extent has the university library's sitting capacity been expanded to respond to the growth in student numbers?
- (f) To what extent has the library contributed towards the achievement of the objectives of the university?
- (g) What constraints have you experienced in providing library service to the university.
- (h) What steps have you taken to rectify those constraints?
- (i) How has the quality of teaching been affected by availability of physical facilities equipment and library resources?

## CHAPTER 4

### 4. Master Plan and Strategic Plan

- (I) To what extent have you succeeded in meeting each of your developmental targets as a university?

- (II) What have been the impediments in meeting your developmental targets?
- (III) What have been the major deviations, if any, from your planned development, and what caused them?

**Note:** *Attach a copy of your Master Plan and Strategic Plan as an Appendix 4 and show the major deviations.*

## CHAPTER 5

### 5. Research

- (1) Give an outline of the university's research policy
- (2) What percentage of the university budget has been set aside for research?
- (3) How has this amount been distributed according to each department?
- (4) Show the amount allocated to each department for each year.
- (5) What facilities has the university developed to promote research activities in the university?
- (6) What is the main thrust of research in the university?
- (7) Has the university made any discoveries out of the researches it has undertaken? If so, list the discoveries in question.

Research Project	Year Completed	Discovery
1.		
2.		
3.		
4.		

- (8) How has the university used the research findings?
- (9) How does the university disseminate research findings?
- (10) What proportion of the staff time is devoted to research?

Department	Staff Time	
	Hours devoted to teaching	Hours devoted to research
1.		
2.		
3.		
4.		
5.		
6.		

(a) List the completed researches in progress being undertaken by staff

Title of research	Year started	Expected date for completion

(b) List completed researches undertaken by staff.

Title of research	Year completed

## CHAPTER 6

### 6. Staff and Staff Development

- (1) What has been the academic staffing strength of the university since award of charter. Give information on this according to each department as indicated below:

Department	Year	Full-time	Part-time	No. of degree programmes in the department
1.				
2.				
3.				
4.				

- (2) Give a list of the names of your academic staff and their qualifications and where obtained per department (including the library) for the current year as **Appendix 5**.
- (3) Give the teaching load for each full-time and part-time member of staff (giving names) according to each department and degree programmes for the current year as **Appendix 6**.
- (4) Is the staff available adequate for the academic programmes offered by the university? (Give list of the academic programmes offered by the university according to each department and the number of staff available for each programme for the current year as **Appendix 7**).
- (5) Has there been any improvement in the quality of teaching at the university? If so, what have been the indicators of that improvement?
- (6) How has the quality of teaching been affected by:
- (i) the level of staffing;
  - (ii) your recruitment policies
  - (iii) have you made any attempt to assess the quality of teaching at the university? If you have, what yard-stick have you used in assessing the quality, and what was the outcome of your assessment?

- (7) Outline your staff development policy.
- (8) Give the names of the full-time academic staff per department, who have been on your staff development programme and the qualifications obtained since award of charter, indicating those who are still in the service of the university.
- (9) Give the names of the non-academic staff, per department, who have been on your staff development programme and the qualifications obtained since award of charter, indicating those who are still in the service of the university.

## CHAPTER 7

### 7. Financial Resources

- (1) What have been your major sources of income for the period since the award of charter. Indicate the sources, and the amount for each financial/academic year, in a tabulated form as shown below. (*Audited accounts for each year should be attached as Appendix 8*).

#### Viability of Funds

Year	Source	Amount (KES)
	1)	
	2)	
	3)	
	4)	
	5)	
	Others	
	1)	
	2)	
	3)	
	4)	
	5)	
	6)	

- (2) What efforts has the university made in raising funds outside its traditional sources? What has been the success in these efforts? Show the amounts raised in a tabulated form from each source, during each year as is shown in the Table below.

**Funds raised outside traditional sources**

Year	Source	Amount (KES)
	1)	
	2)	
	3)	
	4)	
	5)	
	6)	
	7)	
	1)	
	2)	
	3)	
	4)	
	5)	
	6)	
	7)	

- (3) To what extent has financial limitations hampered your operations in terms of:
- (a) developmental targets;
  - (b) academic operations
    - (i) Staff recruitment;
    - (ii) Acquisition of teaching materials;
    - (iii) Acquisition of library material;

- (iv) Fieldwork?

## CHAPTER 8

### 8. Student Enrolment and Services

- (1) What has been the trend in your student enrolment since award of charter with regard to:
- (a) overall totals;
  - (b) distribution according to gender;
  - (c) distribution according to countries of origin.

Year	Male	Female	Total

*Note: A breakdown according to year of study, faculty, department, programme, gender and country of origin should be given as Appendix 9.*

- (2) Give student enrolments per year of study by programme and gender since award of charter.
- (3) (a) What has been the level of your admissions in terms of the Kenya Certificate of Secondary Education overall grading?

Year	Numbers admitted according to overall KCSE grading							
	A	A-	B+	B	B-	C+	C	C-

- (b) Apart from KCSE, indicate any other criteria used in admitting students and the number of students admitted using each criterion.
- (4) Has the quality of students admitted been reflected in their yearly performance, and final year performance?
- (5) Has there been improvement in the student's performance since award of Charter?

What indicators have you used in assessing this?

- (6) List all the student services available at the university?

## CHAPTER 9

### 9. Questions for Departments

**Note:** *These questions should be answered separately by each department of the university).*

Name of Department .....

- (1) What are your departmental objectives?
- (2) How do these objectives fit into the overall goals and objectives of the university?
- (3) To what extent have you achieved the departmental objectives?
- (4) What are the constraints in the realization of the departmental goals and objectives?
- (5) To what extent are your academic programmes designed to meet the departmental objectives and goals and objectives of the university?
- (6) To what extent have the following been affected by the level of funding:
  - (a) acquisition of teaching materials?
  - (b) equipment?



(c) fieldwork?

(d) research?

- (7) As a department, have you had any responsibility in formulating your annual budget as part of university's annual estimates? If so, how has this been treated in the university?

**Note:** *Give a sample of the departmental budget as Appendix 10.*

(8) **Skills**

(a) What skills and attitudes do your programmes aim at developing in the students at departmental level?

(b) Have you succeeded in imparting these attributes? Give indicators.

If you have not, what measures are you taking to ensure that these attributes are imparted?

(9) **Student Load**

(a) How many hours is a student expected to spend on private study?

(b) What is the ratio between the contact hours with the students and the student's private study time?

(10) **Internal Quality Assurance**

(a) What methods have you adopted as a department in ensuring quality at departmental level?

(b) Do you have a systematic process of evaluation, say with regard to:

(i) teaching effectiveness;

(ii) Curriculum;

(iii) Examinations;

(iv) Students.

If so, how do you evaluate these and how are the results of such evaluations used?

(c) How are students involved in evaluation of teaching, curriculum and examination?

(d) Who is responsible for innovations?

- (e) And how are innovations implemented?
- (f) What standards do you aim at in the training of your graduates and how are those standards measured?

**(11) Examinations**

- (a) What type of examinations do you give the students?
- (b) What is the level of the examinations, and how do you know that you are operating at that level?

Give samples of examinations you offered last year for Year 1, Year 2, Year 3 and Year 4 of study.

- (c) What are your examinations expected to test?
- (d) How do you ensure that examinations test what they are expected to test?
- (e) What is the frequency of the examinations?
- (f) How do you ensure that the student is awarded the right marks for his/her answers?
- (g) How do you deal with the cases of aggrieved students in examinations?

**12. Student Counselling**

As a department, do you have academic counselling service for students? If so, how is it done?

**13. Factors Hindering Student's Study Progress**

- (a) What are the factors hindering student academic progress?
- (b) How does the staff assist the students in addressing the factors?

**14. Graduates**

- (a) What are the destinations of your graduates?
- (b) Which sectors are the main employers of your graduates?
- (c) Is the curriculum tuned for the labour market? If so, in which ways?
- (d) How many graduates from your department have been employed from each cohort of graduates for the academic years listed below.

<b>Year</b>	<b>No. of Graduates</b>	<b>Graduates employed</b>	<b>Graduates not yet employed</b>

- (e) What assistance do you give your graduates in securing jobs on graduation?
- (f) Do you have any feed-back on the quality of your graduates?

### 3.15 CRITERIA FOR EQUATION OF QUALIFICATIONS

#### 1. Preface

Recognition and equation of qualifications is one of the functions of the Commission as stipulated in the Universities Act section 6 (p), which states,

“to advise the Government on the standardization, recognition and equation of degrees, diplomas and certificates conferred or awarded by foreign or private universities”.

Recognition and equation of qualifications has gained increased importance because:

- (a) Globalisation of world economy has led to intensified labour movement across national borders, and increased regional conflicts, which has led to greater number of people seeking employment outside their countries;
- (b) A large number of Kenyans continue to seek higher education locally and outside the country;
- (c) There is a large number of higher education institutions in Kenya awarding their own certificates, diplomas and degrees, or of foreign examining bodies;
- (d) A number of post secondary school institutions are collaborating with foreign and local universities for purposes of offering degree programmes;
- (e) A large number of Kenyans are acquiring higher education qualifications through open and distance learning, especially e-learning;
- (f) A number of non-traditional, market driven programmes are being introduced in higher education institutions; and
- (g) Many employers are requiring higher education qualifications for similar tasks than in the past.

The Commission, however, is limited to advising the Government and the public on recognition and equation of degrees and postgraduate qualifications.

#### 2. Some Definitions

##### (a) *Recognition of Qualifications*

Recognition of certificates, diplomas, degrees or other awards means acceptance by a competent authority of a state and the granting to the holder of the certificate the rights enjoyed by the persons possessing a national certificate, diploma, degree or academic

qualifications with which the foreign one is assessed and compared. Such rights extend to either pursuit of further studies, or the practice of a profession, or both according to the applicability of the recognition.

(b) *Equation of qualification*

Equation of qualifications is a detailed attempt to ensure near identity of qualifications awarded by different institutions in terms of the quality of the programmes. At its most ideal, equation compares not only the content and duration of programmes, but also the qualification of the teaching staff, the facilities available, the award procedures, the pass mark, the classification of degrees etc.

3. **Criteria for recognition**

The Commission uses the following criteria:

- (a) The institution from which the qualification is obtained, for example, whether the institution is accredited or recognized. Information regarding the status of the foreign universities is obtained from sources such as:
  - (i) International Year Book of Universities;
  - (ii) Commonwealth Year Book;
  - (iii) Directory of Higher Education (USA);
  - (iv) British Qualifications (A publication of British Council);
  - (v) The World of Learning;
  - (vi) International Guide to Qualifications in Education;
  - (vii) A guide to Higher Education Systems and Qualifications in European Community;
  - (viii) Regional Convention on the Recognition of degrees, diplomas and certificates and other awards recognised by UNESCO – examples include:
    - (I) The African Regional Convention adopted at Arusha in 1981,
    - (II) The Convention applicable in Latin America and the Caribbean adopted in 1974 at Mexico,
    - (III) The Convention applicable in the Arab and European States bordering on the Mediterranean adopted in 1976 at Nice,
    - (IV) The Convention applicable in the Arab States adopted in Paris in 1978,

(V) The Convention applicable in Asia and the Pacific adopted at Bangkok in 1983,

(VI) The New Convention for European Region adopted in 1997 at Lisbon at the Council of Europe.

The purpose of these conventions was to facilitate movement of students, scholars and professionals between countries.

The Commission is guided by conventions that state that if the institution is recognised in its country of origin then the qualification from the said institution is also recognised in Kenya.

- (b) Verification of whether the candidate did actually study at the institution in question. This includes:
  - (i) Registration of candidate in that institution.
  - (ii) System of accrediting the institution.
  - (iii) Admission requirements into the programme.
- (c) For purposes of equation, the Commission ensures that the curriculum is comparable to similar curricula of recognised/accredited institutions in terms of:
  - (i) Duration of study and credit hours for a given qualification;
  - (ii) Previous background or achievement before enrolling for the qualification;
  - (iii) Content of what is studied and the length of the time devoted to the components of the content (academic transcript must be produced in support of this). This includes contact hours per year per course;
  - (iv) The stage reached in a given programme of study;
  - (v) The relevance of the qualifications for admission for further studies or for the practice of a profession; and
  - (vi) Whether the candidate is registered to practice in the country of origin in the case of professional courses.

### 3.16 APPLICATION FOR VALIDATION OF DIPLOMA PROGRAMMES

*(To be completed in duplicate)*

1. Name of Institution .....
2. Postal Address .....  
Physical Address .....
3. Telephone .....
4. (a) Date of incorporation or registration .....  
*(attach copy of certificate of incorporation)*  
(b) Name and designation of chief administrator.....  
.....  
.....  
(c) Governing Body.....  
(d) Principle or proposed academic focus or discipline  
.....  
.....  
(e) Principle research focus .....
5. Number and type of programmes (i.e certificates, diplomas, degrees).  
(a) .....  
(b) .....  
(c) .....
6. Programme to be considered for purposes of validation  
(a) name of the programme .....

- (b) minimum admission qualification .....
- (c) number of students enrolled in the programme .....
- (d) the period of time that the programme has been offered by the institution since incorporation.....

7. Envisaged benefits of validation of programme for education in Kenya generally

.....

.....

.....

.....

.....

.....

I hereby apply for validation of the programme herein before mentioned

Dated at ..... this ..... day of .....

Name .....

Designation .....

Full postal address .....

Signature .....

Official Stamp



**3.17 APPLICATION FOR AUTHORITY TO COLLABORATE**

1. Name of institution.....
2. Postal and physical address .....
3. Telephone No. ....
4. Name of programme to be offered under the collaboration contract  
.....
5. Date of validation of programme.....
6. Terms of the contractual period .....
7. Name, postal and physical address of the collaborating partner  
.....  
.....  
.....  
.....
8. Details of the accreditation status of the collaborating partners  
.....  
.....
9. Current status of programme offered in collaboration (state whether the programme is currently being offered or otherwise)  
.....  
.....
10. Any additional resources particularly developed for the use of the validated programme  
.....  
.....  
.....

11. Principle academic focus or discipline  
.....
12. Number of student enrolled for the programme since it was validated:  
.....  
.....
13. Principle research focus .....
14. Name and qualifications of staff employed on a full time basis to offer the programme  
.....  
.....  
.....  
.....
15. Changes in the library capacity and resources made since the date of validation that are particularly designed to accommodate the collaboration programme .....
16. Other facilities (specify) .....
17. Present budget:  
    (a) capital (in Kshs.) .....  
    (b) Recurrent (in Kshs.) .....
19. Primary source(s) of funding  
    (a) .....  
    (b) .....  
    (c) .....  
    (d) .....

19. Envisaged benefits of the collaboration in the education in Kenya generally

.....  
.....  
.....  
.....

I hereby apply for the Commission's authority to collaborate with the institution known as ..... of Post Office Box Number .....  
Physical address ..... For purposes of offering  
the programme known as .....  
.....  
that will lead to an award of .....  
(academic qualification) and attach hereto a copy of certificate of validation of programme  
issued on the ..... day of .....; and a statement of the  
terms of the contractual agreement together with documents of accreditation of the  
collaborating partner

Name

.....

Designation

.....

Signature .....

Full postal address .....

Official Stamp

### 3.18 STANDARDS FOR VALIDATION OF DIPLOMA PROGRAMMES IN POST SECONDARY SCHOOL INSTITUTIONS

#### 1. PRELIMINARY

- (a) In these standards, a post secondary school institution shall be an institution registered or recognized under any Kenyan law and which offers diploma or any other courses for purposes of admission to a degree programme.
- (b) Diploma shall refer to a qualification based on a structured course in a given discipline attained after the full cycle of secondary school education.
- (c) A diploma programme shall be eligible for validation when the curriculum satisfies these standards and further when the post secondary school institution fulfills the requirements specified in the appendices hereto.
- (d) The criteria for admission into a diploma programme shall be any of the following:
- (e) A pass with minimum aggregate grade C at KCSE or equivalent score in an examination taken after a full cycle of secondary school education;
- (f) A credit or equivalent classification obtained in a programme lower than a diploma that has been offered in a postsecondary school institution after a full cycle of secondary school education;
- (g) In special cases, candidates who do not satisfy any of the above but have demonstrated potential ability to successfully complete a diploma programme; provided that all considerations for admission shall take into account registration requirements of relevant professional bodies where applicable.
- (h) A programme that has been validated by the Commission shall carry the following benefits:
  - (i) A candidate awarded the diploma shall be eligible for admission to a degree programme;
  - (ii) The post secondary school institution shall be eligible to apply for authority of the Commission to collaborate in offering the validated programme or degree in the same field.
- (i) An institution that applies to the Commission for validation of its programmes shall complete a detailed statement questionnaire in a format approved by the Commission.

## 2. GENERAL REQUIREMENTS

- (a) A post secondary school institution shall maintain adequate academic and support staff for each approved programme of study.
- (b) To determine that an institution complies with the requirements of paragraph 1, the full time staff: student ratio shall conform to the standards stipulated in Table A.

**Table A: Recommended Full-Time Staff/Student Ratios**

Cluster of programmes	Ratio
Applied sciences & Agriculture	1:10
Information technology (IT & IS)	1:10
Engineering	1:10
Architecture	1:8
Medical and allied sciences	1:7
Pure and natural sciences	1:10
Hotel & hospitality	1:10
Arts and humanities	1:15
Social sciences	1:18

*The clustering may change from time to time as new developments occur.*

- (c) Persons recruited as academic staff should possess minimum qualifications that are higher than the level of programmes they teach and in the same fields.
- (d) Persons recruited as technical staff should possess appropriate qualifications in the technical fields for each programme offered by an institution.
- (e) The duration of each programme shall be defined in terms of the academic years which shall conform to any of the following modes:
  - (i) the full year mode: which consist of three terms and one end of the year examination;
  - (ii) the semester mode: which consists of a programme with two sections and an examination at the end of each section;
  - (iii) the trimester mode: which consists of three sections and an examination at the end of each section; and
  - (iv) the quarter mode: which consists of four section and an examination at the end of each section.
- (f) Unless the Commission otherwise determines:

The undergraduate diploma programmes shall normally carry a **minimum** of the following lecture and contact hours:

**Table B: Minimum contact hours and lecture hour equivalents**

Field	Lecture Hours Equivalent	Contact Hours
Applied sciences & Agriculture	1650	2240
Information technology (IT & IS)	920	1500
Engineering	1650	2300
Architecture	1650	2240
Health sciences	1650	2300
Pure and natural sciences	1250	1900
Hotel & hospitality	1450	2300
Arts and humanities	1050	1600
Social sciences	1050	1600

*[1 lecture hour = 2 hours of tutorial = 3 hours of practical]*

*The clustering may change from time to time as new developments occur.*

- (g) A curriculum should be able to facilitate a balanced learning process, ensure that students are able to acquire such cognitive, affective and psychomotor skills as are consistent with educational goals and aspirations of Kenya as may from time to time be defined.
- (h) The design of every curriculum shall ensure that the programme :-
  - (i) is broad-based and integrated;
  - (ii) is practical oriented;
  - (iii) is diversified;
  - (iv) enhances standards set by the Commission; and
  - (v) contributes to the overall national human resource development and requirements.

### 3. **ADMISSION REQUIREMENTS**

Every curriculum shall set out the minimum admission criteria and where applicable, indicate any other condition that a candidate has to satisfy.

### 4. **CONTENTS OF PROGRAMMES**

The curriculum of every programme of study shall:-

- (a) state the aims and objectives of the programme;
- (b) indicate the core courses;
- (c) indicate the elective courses;

- (d) provide for common courses where required;
- (e) provide a full description of content in a form readily accessible to students for every course in the syllabus;
- (f) indicate whether all courses in the syllabus are expected to be taught by staff drawn wholly from within the faculty or department concerned or partly by staff from elsewhere;
- (g) specify in terms of lecture hours, the minimum load for each course which is to be offered in every academic year or section thereof.

## 5. ASSESSMENT PROCESS REQUIREMENTS

- (a) Students of any curriculum shall be assessed on the basis of the following:
  - (i) course work administered throughout the academic year, or section thereof, comprising tutorials, essays, tests, laboratory exercises or other mode acceptable to the examining authority.
  - (ii) written examinations administered at intervals consistent with the mode of organization of the academic year in the institution.
- (b) The distribution of marks or points between the course work administered throughout the academic year and the written examination shall be specified in the curriculum.
- (c) An institution shall establish a systematic mechanism for the internal and/or external moderation of examinations.
- (d) An institution shall establish a board of examiners or its equivalent consisting of internal and external examiners for each programme.
- (e) Board of Examiners shall determine whether a candidate has passed or failed an examination on the basis of the pass mark.
- (f) Every curriculum shall clearly specify the following:
  - (i) pass mark or grade for each course;
  - (ii) the minimum number of courses that a student must undertake to qualify for an academic award;
  - (iii) the conditions under which a candidate shall be required to:
    - (I) undertake a special examination,
    - (II) re-sit examination,
    - (III) repeat an academic year,
    - (IV) be discontinued from the programme;

- (iv) the method and manner of arriving at the classification of the award and the conditions taken into consideration to arrive at such a classification.

## 6. **PHYSICAL FACILITIES AND LIBRARIES**

A post secondary school institution that applies to the Commission for validation of its programmes shall satisfy the standards for libraries and the standards for physical facilities as set out in section 3.19 in Appendix I and II respectively.



### **3.19 STANDARDS FOR VALIDATION OF PROGRAMME / COLLABORATION BETWEEN INSTITUTIONS**

#### **APPENDIX I: STANDARDS FOR POST SECONDARY SCHOOL INSTITUTION LIBRARIES**

##### **PRELIMINARY**

1. These standards are intended to facilitate assessment of library services offered in post secondary school institutions.
2. Where an institution has access to electronic library resources via Internet or other ICT means, existence of appropriate user services shall be affirmed.

##### **INFORMATION RESOURCES**

3. A library shall provide varied, authoritative and up-to-date information resources that support the vision, mission and objects of the institution.
4. A library shall provide a full range of materials of the appropriate academic levels for each academic programme offered by the institution.
5. A library established for an institution shall hold appropriate titles for each unit/course offered and shall provide copies thereof to adequately provide for the students.
6. A library shall maintain either in print or electronic format a collection of core journal titles for each academic discipline.
7. A library shall maintain adequate funding to facilitate updating and purchase of new information materials.

##### **ORGANISATION AND ACCESS TO INFORMATION**

8. A library shall develop and maintain a system that enables a user to access the information materials in its collection easily and efficiently.
9. A library shall develop and maintain a comprehensive catalogue that shall:
  - (a) Specifically provide for the bibliographic access to information resources in all formats available in the library;
  - (b) Be subject to appropriate editing to update it to conform to modern technology, contemporary practice, changing international standards;
  - (c) Comply with approved international and local conventions;

- (d) Be in a format that can be consulted by several users concurrently.
- 10. A library shall keep requisite subordinate files to provide bibliographic control and access to information material available in the library.

## **LIBRARY BUILDING/FACILITY**

- 11. A post secondary school institution that is seeking validation of programmes by the Commission is expected to have either a library building or other dedicated facility for provision of library and information services.
- 12. A library facility shall provide adequate space and security, conducive to study and research with suitable environmental conditions for staff and users including those with disabilities.
- 13. The library facility shall be constructed to allow adequate natural and artificial lighting and ventilation and in particular shall:
  - (a) be provided with secure windows the effective areas which shall not be less than 20 per cent of the floor area of the room and 75 per cent of the window shall be openable to external air.
  - (b) be provided with adequate ceiling height;
  - (c) be provided with sufficient doorways openable outwards to ensure rapid exit in case of fire and other emergencies.
- 14. The library facility shall provide space for readers such that reader space shall be one seat for every three users at the rate of 2.5 square metres.
- 15. The library facility shall provide space for staff and service areas.

## **STAFFING**

- 16. A library shall have adequate to be determined by, *inter alia*, the academic programmes offered, number of students, number of service points and the hours during which the service is offered.
- 17. The library staff shall include professional librarians, paraprofessional librarians, skilled technical and clerical staff.
- 18. The obligations of the librarian shall include:
  - (a) preparing and administering the library budget;

- (b) acquiring by way of purchase, lease or other appropriate ways information materials that widens educational experience of the users;
  - (c) developing and maintaining a collection management policy and conservation and preservation policy in order to conserve the information materials;
  - (d) providing adequate safeguards against loss or mutilation of information materials;
  - (e) developing and maintaining a disaster management policy.
19. The library staff shall have access to different forms of on-going and continuous training.

## **LIBRARY SERVICES**

- 20. A library shall put in place appropriate policies and procedures concerning the opening and borrowing hours.
- 21. A library shall provide information and instruction to users through a variety of reference and bibliographic services.
- 22. A library shall facilitate academic success, as well as encourage lifelong learning by combining new techniques and technologies with the best traditional sources.

## **APPENDIX II: STANDARDS FOR PHYSICAL FACILITIES FOR POST SECONDARY SCHOOL INSTITUTIONS**

### **PRELIMINARY**

- 1. The physical facilities of the post secondary school institution impact on the quality of education and training offered therein. These standards highlight the major aspects to be considered in determining the suitability of the institutional environment.
- 2. It is presumed that the PSSI operate in premises that have been approved by the relevant authorities for purposes of education and training. The Commission shall require proof of such approvals. The Commission however, shall examine such approved facilities for compliance with standards expected of higher education facilities.
- 3. These standards shall apply to:-
  - (a) All buildings or parts of buildings purposely designed and constructed for post secondary school institution use;
  - (b) All buildings undergoing material change or use into institution buildings; and

- (c) All related utility services installations, and site works for an institution;
4. These standards are prescribed in respect of the following factors;
- (a) Public Health;
  - (b) Public Safety;
  - (c) Physical Facilities – buildings and utilities;
  - (d) Spatial Requirements.

## **MINIMUM STANDARDS**

5. Every institution shall provide the following physical facilities to accommodate its activities:-
- (a) Classrooms or lecture rooms;
  - (b) Departmental areas, staff offices and seminar rooms;
  - (c) Central administration office space
  - (d) Library;
  - (e) Auditorium or lecture theatre;
  - (f) Staff common rooms;
  - (g) Student common rooms with indoor recreational facilities;
  - (h) Outdoor recreation facilities in form of games or sports facilities;
  - (i) Drainage system, proper sanitation and water supply; and
  - (j) Dispensary.
6. Every residential institution, shall, in addition to facilities to be provided under paragraph (5) provide the following facilities:-
- (a) Kitchen and dining facilities; and
  - (b) Student accommodation, including adequate laundry and storage facilities.
7. Every building used or intended to be used as part of the Institution's physical facility shall comply with the requirements of the Building Code and provisions of the Public Health Act, Cap. 242. In particular:
- (a) The minimum requirements for health and safety of the public as prescribed by the Local Government (Adoptive By-laws) Order, 1968, Group 1 or any amendments prescribed in the Schedule;
  - (b) Any building, designed and constructed for use as institution building or any building altered so as to be used as an institution building or any building which has undergone material change of use into institution building must be approved by the relevant local authority.

## **PUBLIC SAFETY**

8. Every Institution shall operate in physical facilities that are safe for the public and in particular:-
- (a) All buildings and other physical facilities used by an institution shall be serviceable and functional;

- (b) The buildings shall be kept in a good state of repair and maintenance and shall be free from structural failures, excessive deflection, cracking or dilapidation of building material fabric components.
9. (a) All buildings and other physical facilities used by an institution to accommodate Institution activities shall provide adequate fire safety.
- (b) All buildings and other physical facilities shall conform to the requirements of the Building Code, the Public Health Act and other standard practices with regard to fire resistance, means of fire escape, access from fire escape and fire fighting equipment.
10. In every building used by an institution as a classroom, lecture theatre, seminar room, auditorium, laboratory, library, dormitory or residential hall, there shall be provided adequate fire fighting equipment such as hose reels, portable fire extinguishers, fire buckets, dry risers, fire hydrants, sprinklers, and water storage tanks.

## ACADEMIC BUILDING FACILITIES

11. Every Institution shall provide classrooms, which are adequate in number and shall be of adequate size; and in establishing the adequacy of classrooms, the minimum floor area per student specified in Table 1 shall be provided.

**Table 1. Minimum Classroom floor area per Student**

No. of Students	Space in Square Metres	
	With Desks and Chairs	With Chairs Only
0-29	1.9	1.9
30-39	1.9	1.4
40-59	1.7	1.3
30-39	1.7	1.2
100-149	1.7	1.0
150-299	1.5	0.9

12. The total usable space provided for classrooms shall be at the minimum rate of 0.65 square meters per full time students equivalent; and the Institution shall have enough classrooms for every course, provided that there shall be a minimum of one classroom to each course of study.
13. Every room used as classroom shall be of sound construction and shall be provided with windows, the effective area of which shall not be less than 20 per cent of the floor area of the room and 75 per cent of the window area shall be openable to the external air.

14. No room used as a classroom shall have a height less than 2.60 meters from floor to ceiling or where there is no ceiling to the wall plate.
15. Every room used as classroom shall be provided with adequate, well-illuminated writing surface at each seat and a place to set books and papers.
16. Every Institution shall provide adequate room to accommodate academic and non-academic staff offices and seminar rooms and in determining the adequacy of departmental areas, the following factors shall be taken into consideration:-
  - (a) the total usable space provided for use as departmental areas shall not be less than those specified in Table 2 below.

**Table 2: Minimum Departments Usable Areas Per FTSE**

Course	Usable space in m <sup>2</sup> per FTSE
Arts and Humanities based courses	2.8
Biological and Physical Sciences based courses	9.0
Human and Veterinary Medicine and related courses	15.0
Engineering Surveying and related courses	10.0
Architecture, Planning, Building Technology, Design and related courses	10.0
Social Sciences based courses	2.8
Computer Science and IT courses	9.0

$FTSE \text{ is Full Time Student Equivalent} = \frac{S*H}{r*K}$ 
  
 $\{H = \text{Number of students in a course}\}$ 
  
 $\{S = \text{Contact hours for the course}\}$ 
  
 $\{r = \text{Student to staff ratio for the discipline}\}$ 
  
 $\{K = \text{Nominal contact hours per course}\}$

- (b) the departmental offices shall comprise of the following minimum number of offices:-
  - (i) one head of department office;
  - (ii) one secretary's office;
  - (iii) one office for every two members of academic staff.
- (c) academic and non-academic member of staff offices shall have the following minimum floor areas:-
  - (i) head of department : 15 square meters
  - (ii) staff: 9 square meters.

17. An institution shall provide adequate central administration offices to accommodate the head administrator, senior and support staff of the Institution and in assessing the adequacy of administration offices the following factors shall be taken into account:-
- the total office space provided for use by administrative staff shall not be less than 0.20 square metres of usable office space for every full time student equivalent enrolled, provided the minimum total office space provided for the institution central administration is 50 square meters.
  - no room used as an administrative office shall be less than seven (7) square meters in area;
  - the administrative offices shall be conveniently accessible from the main entrance to the campus so as to serve as the logical reception point for special guests as well as general visitors arriving at the campus.

### **TEACHING LABORATORIES, WORKSHOPS AND STUDIOS**

18. An institution conducting courses requiring the use of laboratories as part of instructional facilities shall, in addition to providing classrooms and lecture theatres provide adequate laboratory facilities.
19. In assessing the adequacy of laboratory facilities, the following shall be taken into account where applicable.
- the provision of adequate laboratory facilities in close proximity to other teaching facilities;
  - the provision of room for instructional workstations and student workstation conforming, where possible to the specifications contained in the following Table 3.

**Table 3: Laboratory Assignable Space per FTSE**

<b>Laboratory Speciality</b>	<b>Assignable space per FTSE in m<sup>2</sup></b>
Agriculture Science Laboratory	2.80 – 3.70
Building Science Laboratory	3.70 – 4.60
Biological, Health and Veterinary Science Lab.	2.70 - 4.60
Business Management Laboratory	1.90 – 2.80
Communication Laboratory	2.40 – 3.70
Education Laboratory	2.40 – 4.60
Engineering Laboratory (excluding Mechanical)	3.70 – 6.50
Engineering Laboratory (Mechanical)	6.50 – 9.30
Fine Art, Architecture and Design Studio	2.80 – 4.60
Hotel/Hospitality Management Laboratory	2.80 – 4.60
Computer Science/IT Laboratory	1.50 – 2.40

- (c) the provision of storage, and preparatory rooms and a laboratory office;
  - (d) the provision of the following service facilities, *where applicable*:-
    - (i) adequate windows, which open to outside air in order to provide proper ventilation,
    - (ii) fume cupboards and fume hoods in the preparation and storage rooms,
    - (iii) standard table top electrical service outlets for the instructor's table and for each pair of students workstation,
    - (iii) adequate lighting free of flare from exterior sunlight,
    - (iv) surface treatment of floors, wall and ceiling to reduce noise,
    - (v) a sink with hot and cold water service installation for the instructor's table and for each pair of students workstation,
    - (vi) gas for the instructor's table and for each pair of students workstation;
  - (e) the provision of built-in furniture and equipment:-
    - (i) at least one instructor's table,
    - (ii) at least one student workstation for each pair of students adequate stools or chairs,
    - (iii) chalkboard, white board or tack board, wall mounted;
    - (iv) at least one corrosion resistant sink and eye-wash fountain.
20. An institution offering medical courses shall have the necessary basic pre-clinical sciences together with the laboratory requirements specified in paragraphs 18 to 19 plus any specialized provisions for anatomy and pathology; and the Institution shall also have or secure access to a teaching hospital easily accessible to students and equipped with the usual outpatient and inpatient facilities covering all specializations.
  21. The hospital shall have the necessary resources (human, physical, technical and financial) to meet professional and academic requirements.
  22. The design of the teaching hospital shall conform to the requirements of the Ministry of Health in providing relevant health services, and in addition, the hospital buildings shall conform to the requirements for buildings under Group II of the Sixth Schedule of the Building Code.
  23. An institution offering Fine Art shall have a studio for drawing from life, general drawing, basic design painting, ceramic and film room, and it shall also have graphic photography print making studio, life painting, composition/still life studio, textile design and weaving, and sculpture studios.
  24. An institution offering Urban and Regional Planning shall have adequate studio space for every year of study and the Institution shall also have a model-making workshop.



25. An institution offering Building or Building Technology shall have studio space for every year of study and the Institution shall also have:
- (a) workshops for carpentry and joinery, mechanical works and welding, masonry and concrete works and electrical wiring and building services;
  - (c) laboratory space for each course of study materials for sciences, structures and services;
  - (c) spaces for demonstration units in various building construction techniques.
26. An institution offering Architecture shall have design studios for each class with adequate individual workspace at the rate of 2.5 square meters per work station and the Institution shall also have:-
- (a) modelling workshop with equipment for at least two class years;
  - (b) an architectural science laboratory with sufficient equipment;
  - (c) a photographic laboratory;
  - (d) one material testing workshop;
  - (d) one wood working workshop;
  - (e) spaces within the overall premises of the department for external activities such as those required for workshops fabrication and for erection of buildings components and for testing their exposure of weather activities.
27. Every food laboratory shall be provided with installations adequate for instructions in food preparation, cooking and services using a variety of cooking energy sources: electricity, gas and wood. Home care laboratories shall also be equipped with laundry and ironing facilities.
28. An institution offering Agriculture shall, in addition to the laboratory specifications specified in paragraph 25; have at least five hectares of land set aside as an institution farm over and above that stipulated for an ordinary Institution.
29. An institution offering Computer Science, Information Technology or Computer Applications shall have adequate computer laboratories that incorporate the following:-
- (i) an instructional workstation with a large video display unit or appropriate projection system;
  - (ii) at least one computer per student for practical sessions, and one computer for each pair of students for lecture sessions;
  - (iii) a network (LAN) running on a platform that is current;
  - (iv) access to the internet.

## **SERVICES**

30. Every institution shall have adequate water supply installed in accordance with the requirements of the Building Code and these standards.
31. Every Institution shall provide appropriate and adequate wastewater collection, treatment and disposal system.
32. Every Institution shall provide an adequate surface water collection and disposal system.
33. Every Institution shall provide, keep clean and maintain adequate and suitable sanitary conveniences, which conform in all respects to the requirements of the Building Code, for the students and all persons working in the Institution and where students or other persons of both sexes are accommodated or are expected to be accommodated, the conveniences shall afford proper separate facilities for persons of each gender.
34. In a non-residential Institution, the following well-lighted and ventilated closets, urinals, wash hand basins and drinking water fountains shall be provided:-
  - (a) one W.C. for every 8 female students;
  - (b) one W.C. for every 10 male students;
  - (c) one urinal stall for every 25 male students;
  - (d) one wash hand basin for every 16 students;
  - (e) one drinking water fountain for every 12 students;
  - (f) a sanitary disposal facility.

## **LAND OR BUILDING**

35. Every institution shall be situated on enough land or building space to house all the necessary facilities in accordance with the standards.
36. An institution operating on rented property shall show evidence of a lease of sufficient duration to allow for the progression and graduation of last registered cohorts of students.

### **3.20 STANDARDS FOR GRANTING OF AUTHORITY TO COLLABORATE**

#### **PRELIMINARY**

1. The purpose of these standards is to ensure that the minimum standards of a programme that is recognized by the Commission have been met in each case.
2. The Post Secondary School Institution that is applying for authority to collaborate should have a relevant diploma programme validated by the Commission for Higher Education.
3. The university or institution with which a post secondary school institution is applying for authority to collaborate should be already recognized by the Commission.
4. The programme in respect of which a post secondary school institution is applying for authority to collaborate should be already approved by the university or institution concerned, and already approved/recognized by the Commission.

#### **AGREEMENT BETWEEN INSTITUTIONS**

5. The agreement for collaboration between the Post Secondary School Institution and the university or institution should clearly spell out the following, with regard to a particular programme, the:
  - (a) Terms of the contract;
  - (b) Mode of teaching;
  - (c) Mode of assessment, examination, meriting and award;
  - (d) Rights and obligations of the post secondary school institution;
  - (e) Rights and obligations of the collaborating university or institution;
  - (f) Rights and obligations of the students and staff;
  - (g) Resources devoted to the programme;
  - (h) Management and administration of the programme; and
  - (i) Modalities for terminating the collaboration.

#### **GENERAL REQUIREMENTS**

6. A diploma programme in respect of which authority to collaborate is sought shall conform to the standards for validation of a programme as approved by the Commission.

7. A degree programme in respect of which authority to collaborate is sought, by a post secondary school institution, shall satisfy the curriculum standards approved and/or recognized by the Commission.
8. A post secondary school institution that applies to the Commission for authority to collaborate shall satisfy the standards for libraries and the standards for physical facilities as set out in section 3.19 in Appendix I and Appendix II respectively.

### **3.21 DETAILED STATEMENT FOR A POST SECONDARY SCHOOL INSTITUTION**

#### **SELF EVALUATION QUESTIONNAIRE**

**Note:**

- (a) The Statement should be an analytical and critical self-evaluation of your capacity and performance.
  - (b) In preparing the statement, the institution should adopt a collegiate approach.
  - (c) Each item should be responded to analytically and critically with supporting evidence to enable the Evaluating Team to assess the institutional capacity to offer and sustain the programmes under consideration.
  - (d) For presentation of this Report, the Commission would like the responses to be filled onto the format provided. Additional information should be given in well-numbered appendices as indicated. The responses should be well articulated with supporting data and evidence.
5. The curriculum for a programme should clearly indicate the textbooks, reference materials available.

#### **Submission of Statement**

The submission form at the end of this detailed statement should be signed by the Principal/Director of the institution and be attached to the completed document before returning it to the Commission.

#### **INTRODUCTION**

##### **Report by the Principal/Director**

This should give an overview of the activities of the Institution, showing the global trends of enrolment and staff recruitment, and the main thrusts and directions the institution is developing. (The report submitted under suitable sub-headings, should not be more than 2 pages of A4 size paper double spacing).

## SECTION 1

### PARTICULARS, VISION, MISSION, PHILOSOPHY, OBJECTIVES

#### 1.1 Particulars

- (1) Name .....
- (2) Postal address: P. O. Box No ..... code .....  
Town..... Telephone: (.....) Fax: (.....)  
.....Email.....  
Website.....
- (3) Physical address: Building  
.....Street/Road.....  
.....Estate/Location  
.....District  
.....
- (4) Legal establishment: (give details of Act/Legal Order/Certificate of  
Registration)  
.....(Attach copy as  
*Appendix 1-1*)
- (5) Year founded ..... Year incorporated/registered .....
- (6) CHE Application fee: Receipt No. .... date .....

#### 1.2 Vision, Mission and Philosophy

- (1) State the vision of the institution  
.....  
.....  
.....  
.....  
.....
- (2) State the mission of the institution  
.....  
.....  
.....

- .....
- .....
- (3) State the philosophical basis on which the institution is founded

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.....

1.3 **Aims and Objectives of The Institution.**

- (1) State the aims and objectives for which the institution is established.

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- (2) Have the goals changed or been modified in the past five years? If so, briefly describe the changes.

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- (3) Specify the follow-up mechanism established to enable you assess whether you are meeting the individual goals for which the institution was established.

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(4) To what extent have you as an institution met each objective for which you were established?

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(5) What measures are you taking to meet the objectives you . Have not achieved?

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(6) Are members of academic staff conversant with the objectives of the institution?  
How do they become conversant with the objectives?

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.....

(7) To what extent are the academic staff members familiar with contents of the reports prepared for the institution?

.....

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.....



## SECTION 2

### GOVERNANCE

#### 2. Governance structures

Attach illustrative charts of the following for your institution:

- (1) Governance structure – relate organs having authority in/over the institution (*Appendix 2-1*); and
- (2) Administrative structure – relating officers having responsibility in the institution (*Appendix 2-2*).

#### 2.1 Sponsorship/Ownership

- (1) Is the institution public, or privately sponsored? .....
- (2) If public, state the parent ministry/department.....  
.....
- (3) If private, specify the sponsoring organization/authority  
.....

#### 2.2 Governing Council/Board

- (2) Does the institution have a governing body? Give the full name. ....  
.....
- (3) Who appoints its members?  
.....  
.....
- (4) Which groups/interests are represented in the governing body?  
.....  
.....  
.....
- (5) To what extent is the governing body involved in the following functions?
  - (a) Establishment of new faculties, schools, departments, boards etc.

.....  
.....

- (b) Raising funds for the institution.

.....  
.....

- (c) Expansion of physical facilities of the institution;

.....  
.....

- (d) Staff appointment and retention.

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- (6) List the committees of the governing body, stating briefly the functions of each committee.

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### 2.3 The Academic Board

- (1) Does the institution have an academic board? (Yes/No) .....

- (2) If there is one, state the composition of this board

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.....  
.....  
.....

- (3) State the broad functions of the academic board.

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.....

(4) To what extent has the academic board controlled the following activities?

(a) Proposals for new programmes, or modification of existing ones;

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.....  
.....

(b) Student admission;

.....  
.....  
.....

(c) Student assessment policy;

.....  
.....  
.....

(d) Research policy;

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.....  
.....

(e) Linkages with other institutions.

.....  
.....  
.....

## 2.4 Operations of other Committees

(1) Does the institution have other committees in place? (Yes/No) .....

(2) Do committees meet according to the statutory number of times in a year?  
(Yes/No) .....

If not, why have they failed to do so?

.....  
.....  
.....  
.....

(4) How is the business for the Committees generated? Who decides on what  
business goes to which Committee?

.....  
.....

- (5) List all the Committees that have been operational, showing the stipulated frequency and the number of times each of them has met each academic year. (The answer should be tabulated).

Committees in operation	Year established	Required frequency	actual meetings

- (6) How representative is the participation of the institution's community in the standing and ad hoc Committees of the institution?

.....  
.....  
.....  
.....

*Note: Give lists of membership for each Committee and the constituencies represented as Appendix 2-3.*

## 2.5 Student Participation in the Governance of the Institution

- (1) To what extent and in what form do students participate in management of the institution?

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.....  
.....  
.....

- (2) How have you dealt with conflict resolution between the students and the institution's administration, on the one hand, and students and academic staff on the other?

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.....  
.....

2.6     **Student Assessment Policy**

- (1)     Give an outline of the student assessment policy that your institution currently applies.

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.....  
.....  
.....

- (2)     Does your institution have external quality assurance agencies? If so, which are they and how do they operate?

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.....  
.....  
.....  
.....

- (3)     Does the institution have academic linkages with any other institutions?

.....

If so, list the institutions involved.

.....  
.....  
.....  
.....

## SECTION 3

### PHYSICAL FACILITIES

#### 3.1 Land/Buildings

- (1) Ownership of property: *(Attach certified copies of certificates of ownership)*

Does the institution own the land/building where it is housed?

(a) LR. No. ....Size .....(hectare/acre)

(b) Full name of registered owner .....

If the institution owns property elsewhere, give details.

(a) LR. No. ....Size .....(hectare/acre)

(b) Full name of registered owner .....

(c) Locality of property .....

- (2) Leased property *(Attach copies of lease agreements)*

If the institution is on leased property, give the following details.

(a) Duration of current lease: from..... to  
.....

(b) How long has the institution operated from these premises? From .....  
..... To .....

- (3) Plans for institution's own premises.

State the concrete plans that you have for either acquisition or expansion of the property/premises.

.....  
.....  
.....  
.....

### 3.2 Available space

List the space available for use in support of the academic, administrative and other functions of the institution. Details should be provided in the table below.

#### Teaching and Administrative space available

Category	Details		Utilization	
	Capacity or occupancy	Size(sq.m)	Hours per week	Hours per year
1. Lecture Rooms	10-20 21-30 31-40 >40			
2. Lecture Theatres	61-100 101-150 >150			
3. Seminar Rooms	5-10 11-20 21-30			
4. Laboratories	<20 20-30 31-40			
5. Specialised laboratories	Describe			
6. Computer Rooms (For teaching)	<20 21-30 31-40 >40			
7. Computer rooms (for private study)	<20 21-30 31-40 >40			
8. Workshops	Describe			
9. Auditorium	Describe			

Category	Details	Utilization		
10. Academic Staff Offices	1 single 2 double 3 triple 4 quadruple other			
11. Staff Common Room	Describe			
12. Administration Staff Offices	Principal/Director  Deputy Principal  Deans  Head of Department  Student Welfare  Finance			
13. Library	Reading area  Stack area  Service area  Periodicals area  Processing area  Librarian's Office  Staff offices			
14. Student Centre	Describe			



Category	Details		Utilization	
15. Student accommodation (where applicable)	Female			
	male			
16. Any Other	Describe			

### 3.3 Equipment

What major equipment has the institution acquired in the past three years to support its programmes and enhance good management? Give lists of the equipment as indicated below:

Name of Equipment	Department	Cost (Kshs.)	Intended use

### 3.3. Library Resources

(1) (a) Briefly outline the institution's library policy

.....  
.....  
.....

(b) State the total number of books and journals in the library.....

Books.....Journals.....

- (2) How much funds have you as an institution set aside for the Development of library resources? What proportion is this in terms of overall institution's operations budget? This should exclude staff development, staff emoluments and capital development.

Year	Amount KSh.	Amount as % of budget

- (3) How many new books and journals has the institution bought/subscribed to in the last three years?

Year	New Books		New Journals	
	Number	Cost	Number	Cost

- (4) Give the distribution of new books, journals and other materials per discipline in the last three years.

Discipline							
Books							
Journals							
Other							

- (5) To what extent has the library sitting capacity been expanded to respond to growth in student numbers?

Current sitting capacity .....

Recent expansion .....

Planned future expansion.....

- (6) What constraints have you experienced in providing library services to the institution. State the steps you have taken to deal with them.

.....

.....

.....

.....

.....

- (7) Provide the following information with regard to ICT and computer facilities for the library.

(a) Number of computers available .....

(b) Activities for which the computers are utilized.

(i) Acquisition .....

(ii) Catalogue .....

**(iii)** Circulation/Lending .....

(iv) Accessing electronic books/journals .....

- (8) Does the library have access to the Internet? .....

Utilisation of the facility: State the extent of access for each category.

(a) Library staff.....

(b) Academic staff.....

(c) Students.....

**(d)** All members of institution.....

8. Does the institution have a mainframe computer? Yes/No.....

If so, state how it is utilized to facilitate sharing of information.

.....  
.....  
.....

9. Briefly describe the plans you have for providing/improving ICT facilities for the institution.

.....  
.....  
.....  
.....  
.....  
.....

## SECTION 4

### MASTER PLAN AND STRATEGIC PLAN

*Note: Attach copies of the plans, if available, as Appendices 4-1 and 4-2 respectively*

- (1) Give a brief description of your plans for development covering the *past five years* and the *next five years*.

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- (2) To what extent have you succeeded in meeting each of your developmental targets as an institution?

(3) .....

.....

.....

- (4) What have been the impediments in meeting your developmental targets?

.....

.....

.....

- (5) What have been the major deviations, if any, from your planned development, and what caused them?

**SECTION 5**  
**RESEARCH**

1. Give an outline of the institution's research policy.  
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.....  
.....  
.....  
.....
2. What percentage of the institution's operations budget has been set aside for research?  
.....  
.....  
.....
3. How has this amount been distributed according to each department?  
.....  
.....  
.....  
.....
4. State any other sources of research funds for the institution.  
.....  
.....
5. What facilities has the institution developed to promote research activities in the institution?  
.....  
.....  
.....  
.....

6. What is the main thrust of research in the institution?

.....

.....

.....

7. How has the institution used the research findings?

.....

.....

.....

8. How does the institution disseminate research findings?

.....

.....

.....

9. In the following table indicate the proportion of the staff time devoted to teaching and to research?

Department	Staff Time	
	Hours devoted to teaching	Hours devoted to research
1.		
2.		
3.		
4.		
5.		
6.		

10. List the researches undertaken by staff of the institution.

Title of research	Year started	Year Completed



## SECTION 6

### STAFFING, TEACHING/LEARNING, STUDENT ENROLMENT

#### 6.1 Staff and Staff Development

- (1) List the current academic staffing strength of the institution according to each department as indicated below:

Department	Full-time	Part-time	Number of programmes in the department
1.			
2.			
3.			
4.			
5.			
6.			
etc.			

- (2) Give a list of the names of your *academic staff and their qualifications and where obtained per department for the current year as Appendix 6-1*. Use the given format below.

Name	Qualifications (start with highest)	Area of specialization	Full-time or part-time

- (3) Give the teaching load for each full-time and part-time member of staff (giving names) according to each department and programmes for the current year as *Appendix 6-2*.

- (4) Give lists of the academic programmes offered by the institution according to each department and the number of staff available for each programme for the current year as *Appendix 6-3*.

- (5) Outline the staff development policy of your institution.

.....

.....

.....

.....

- (6) Give the names of the full-time academic staff per department, who have been on your staff development programme and the qualifications obtained in the last five years, indicating those who are still in the service of the institution and those who left.

***Appendix 6-4: Academic staff development***

Name	Training and qualification(s) obtained	year	Current status

Complete a similar table for non-academic staff.

***Appendix 6-5: Non-academic staff development***

Name	Training and Qualification(s) Obtained	Year	Current Status

6.2     **Quality of Teaching/Learning**

(1)     State the mechanisms put in place to assess the quality of teaching at the institution.

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(2)     How has the quality of teaching been affected by:

(a)     The level of staffing;

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.....

.....

.....

(b)     The staff recruitment policies;

.....

.....

.....

.....

.....

(c)     Assessment policies;

.....

.....

.....

.....

.....

- (3) State the admission criteria for programmes offered in your institution.

Programme	Admission criteria
Diploma	
Certificate	
Other	

Apart from KCSE, indicate any other criteria used in admitting students and the number of students admitted using each criterion.

.....  
 .....  
 .....  
 .....  
 .....

- (4) List indicators of quality that enable the institution to compare/compete with others offering either the same or similar programmes.

Indicator	External/internal	Comparative Status (higher/at par/lower)
Staffing levels		
Staff qualifications		
Student access to staff		
Examination performance		
Evaluation and feedback		
Admission criteria		
Other		

### 6.3 Student Enrolment And Support Services

- (1) What has been the trend in your student enrolment over the last five years?

Year	Male		Female		Total
	Resident	Non-resident	Resident	Non-resident	

- (2) Give the current student enrolments per year of study by programme and gender.

Name of programme	Year 1		Year 2		Year 3		Total	
	M	F	M	F	M	F	M	F

- (3) Indicate the numbers of students admitted to your programmes, in the last three years, with the Kenya Certificate of Secondary Education overall grading shown or equivalent.

Year	Numbers admitted according to overall KCSE grading										
	A	A-	B+	B	B-	C+	C	C-	D+	D	D-

- (4) Has the quality of students admitted been reflected in their yearly performance, and final year performance? Comment.

.....

.....

.....

.....

.....

- (5) Describe the student services available at the institution as indicated:

- (i) Academic advising

.....

.....

.....

- (ii) Counselling

.....

.....

.....

(iii) Recreation/Sports & Games

.....  
.....  
.....

(iv) Students Association

.....  
.....  
.....

(v) Residential services

.....  
.....  
.....

(vi) Health/medical facilities

.....  
.....  
.....

## SECTION 7

### FINANCIAL RESOURCES

71. What have been your major sources of income for the last five years. Indicate the sources, and the amount for each financial/academic year, in a tabulated form as shown below.

*Note: Audited accounts for each year should be attached as Appendix 7-1.*

#### 7.3 Institutional Funding

Sources	Amounts				
	Year 1	Year 2	Year 3	Year 4	Year 5
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

- 7.3 To what extent has financial limitations hampered your operations in terms of:

(i) developmental targets;

.....  
 .....  
 .....



(ii) academic operations

(iii) staff recruitment;

.....  
.....

(iv) acquisition of teaching materials;

.....  
.....

(v) acquisition of library material;

.....  
.....

(vi) Fieldwork?

.....  
.....

## SECTION 8

### CURRICULUM AND PROGRAMMES

#### 8.1 Curriculum and Programmes

- (1) Complete the table below for the programmes offered in your institution indicating who is responsible for each of the functions in columns 2, 3 and 4.

Programme/Course	Curriculum Design & Development	Examination & Award	Quality Assurance

- (2) For programmes taught at the institution, describe briefly the stages at department/faculty level through which curricula pass for approval/implementation.

.....  
 .....  
 .....  
 .....  
 .....

- (3) Are there any programmes in your institution that are offered in distance/e-learning mode? Yes/No. If so, list them and state briefly how each programme is managed.

.....  
 .....  
 .....  
 .....  
 .....  
 .....

.....  
 .....  
 .....  
 .....

## 8.2 Programme for Validation

*This section is to be completed separately for each programme in respect of which validation is sought. The curricula should be attached.*

### (1) Details of Programme

Name: .....

Duration: .....

#### Student Enrolment

Academic Year	Year of Study			Total
	1	2	3	

### (3) State the **objectives of the programme** for which validation is sought.

.....  
 .....  
 .....  
 .....  
 .....  
 .....

### (4) State the **constraints (if any)** faced in the realization of the programme goals and objectives.

.....  
 .....  
 .....  
 .....  
 .....  
 .....

- (5) Fill in the **details of funds budgeted to support** the programme for the past 4 years including the current year.

<b>YEAR</b> <b>ACTIVITY</b>	<b>Current year</b> <b>(0)</b>	<b>(-1)</b>	<b>(-2)</b>	<b>(-3)</b>
Acquisition of teaching materials				
Purchase of equipment				
Fieldwork				
Research/projects				

(6) **Skills**

- (i) What skills and attitudes does the programme aim at developing in the students at departmental level?

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.....

.....

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.....

- (ii) Have you succeeded in imparting these attributes? Give indicators.

.....

.....

.....

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.....

- (iii) If you have not, what measures are you taking to ensure that these attributes are imparted?

.....

.....

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.....  
 .....

(7) **Student Load**

Complete the table below indicating the breakdown of time a student is expected to spend on the programme.

Theory	Practical	Total contact hours	Projects	Private study	Expected Total hours

(8) **Internal Quality Assurance**

- (i) What methods have you adopted as a department in ensuring quality of the programme?

.....  
 .....  
 .....  
 .....  
 .....

- (ii) How are students involved in evaluation of teaching, curriculum and examination?

.....  
 .....  
 .....  
 .....  
 .....  
 .....

- (iv) How are suggestions from students and individual staff members incorporated in improving curriculum delivery?

.....  
 .....  
 .....  
 .....  
 .....  
 .....

(9) **Examinations**

- (a) What type of examinations do you give the students?

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.....  
.....  
.....  
.....

- (ii) What is the expected level of the examinations, and how do you know that you are operating at that level?

.....  
.....  
.....  
.....  
.....

*Note: Give samples of examinations you offered last year for Year 1, Year 2, Year 3 and Year 4 of study.*

- (iii) What are your examinations expected to test, and how do you ensure that examinations test what they are expected to test?

.....  
.....  
.....  
.....  
.....  
.....

- (iv) What is the frequency of the examinations?

.....  
.....  
.....  
.....

- (v) How do you ensure that the student is awarded the right marks for his/her answers?

.....  
.....  
.....  
.....

- (vi) How do you deal with the cases of aggrieved students in examinations?  
.....  
.....  
.....  
.....  
.....

**(10) Factors Hindering Student's Study Progress**

- (i) What are the factors hindering student academic progress?  
.....  
.....  
.....
- (ii) How do the members of staff assist the students in addressing the factors?  
.....  
.....  
.....

**(11) Graduates**

- (i) What are the destinations of your graduates? Give percentages.
- Higher studies (local).....
- Higher studies (foreign).....
- Formal employment.....
- Self-employment.....
- Others.....
- (ii) In what ways does the curriculum prepare students for higher studies?  
.....  
.....  
.....  
.....  
.....  
.....
- (a) Which sectors are the main employers of your graduates?  
.....  
.....  
.....  
.....

(b) Is the curriculum tuned for the labour market? If so, in which ways?

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.....  
.....  
.....

(c) Do you have any feedback on the quality of your graduates?

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.....

(12) Briefly state the benefits to be expected from validation of this programme.

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### 3.22 SUBMISSION OF APPLICATION FOR VALIDATION OF PROGRAMMES

*Note: A separate form should be completed, in duplicate, for each programme*

1. Name of Institution .....
2. Postal Address.....
3. Physical Address.....
4. Telephone.....
5. Programme to be considered for purposes of validation

*Name of the programme (s) (e.g. Diploma in Business Administration):*

(1).....  
.....

(2).....  
.....

I hereby apply for validation of the programme herein before mentioned

Dated ..... day of ..... year of.....

Name .....

Designation .....

Full postal address .....

Signature .....

Official seal or stamp .....

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FOR OFFICIAL USE ONLY BY CHE	FINANCE DEPARTMENT			PSSI DEPARTMENT
	Date Received	Fees Receipt No.	Receiving officer	Receiving officer

### 3.23 **ADVISORY SERVICES**

The Commission offers advisory services to both persons wishing to study outside Kenya and to institutions wishing to establish linkages with external institutions.

The Commission maintains a database of internationally recognized universities and institutions of higher learning in order to advise Kenyans who are interested in pursuing higher education abroad.

One of its functions is the standardization, equation and recognition of qualifications. To this end, the Commission evaluates curricula, qualifications and certificates not falling within the mainstream Kenyan system and advises on the equivalence and whether they should be recognized.

## PART IV

### APPENDICES

*Appendix 4.1: Prescribed Charges Relating to Evaluation of Proposals for University Establishment, Programme and Institutional Accreditation under Set Categories (LIA, Charter and Re-Inspection)*

Activity	Fees ( Kshs)
1. Application fee	50,000
2. Activities leading to granting of Letter of Interim Authority:	
(a) Evaluation of one academic programme	40,000
(b) Inspection of institution	90,000
(c) Issuance of letter of interim authority	60,000
3. Activities leading to award of charter:	
(a) Evaluation of one academic programme	80,000
(b) Evaluation of draft charter	30,000
(c) Inspection of institution	180,000
(d) Award of charter	120,000
4. Re-inspection of a chartered private university:	
(a) Evaluation of one academic programme	160,000
(b) Re-inspection of institution	600,000
5. Annual subscription fees	20,000

**Appendix 4.2:**      *Prescribed Charges Relating to Post Secondary Schools Institutions' Validation and Collaboration Activities*

<b>Activity</b>	<b>Fees (Ksh)</b>
1. Application fees	50,000
2. Validation of diploma programmes	40,000
3. Authority to collaborate	50,000

**Appendix 4.3:**      *Prescribed charges for Recognition and Equation of Qualifications*

<b>Category</b>	<b>Fees ( Kshs)</b>
1. Applications by holder of the academic award:	
First Application	2,500
2. Subsequent applications on the same academic c award:	1,500
3. Application by prospective employers or any other body	
Within the Republic of Kenya	3,000
4. Application by prospective employers or any other body	
Outside the jurisdiction of the Republic of Kenya and	
Including Embassies and High Commission:	4,000

In addition to the payment of the charges stipulated, persons seeking the services of Recognition and Equation of Qualifications need to provide the following:

- (a) Letter from employer or prospective employer requesting for recognition and/or equation of the qualification.
- (b) Original Certificates of Bachelors Degree, Postgraduate Diploma, Masters and Doctorate Degrees.
- (c) Copies of original Certificates certified by Ministry of Education,.
- (d) Academic Transcripts in support of the Certificates.

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