



UNIVERSITY OF BOTSWANA
CENTRE FOR ACADEMIC DEVELOPMENT
Affiliations and Validation policy

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UNIVERSITY OF BOTSWANA
CENTRE FOR ACADEMIC DEVELOPMENT

AFFILIATIONS AND VALIDATION POLICY

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1. DEFINITIONS

1.1. Affiliated Institutions

1.1.1. Institutions affiliated to the University of Botswana

1.2. Affiliation

1.2.1. The process whereby the University approves the programme and grants the awards of an institution affiliated to it.

1.3. Affiliated Institutions Unit

1.3.1. The Affiliated Institutions Unit located in the Centre for Academic Development (CAD) and responsible to the Director, CAD.

1.4. Centre for Academic Development (CAD)

1.4.1. The Directorate in which the Affiliated Institutions Unit is located and to which it is responsible.

1.5. Cognate field

1.5.1. This is an academic discipline, field of academic or professional study in which the areas dealt with are allied in characteristics. For example, a Faculty of Education and Colleges of Education usually offer programmes in a cognate field - teacher education.

1.6. Frame factors

1.6.1. These are the factors that frame what tertiary institutions are able or unable to do or may or may not do.

1.7. Goal or aim

1.7.1. An overall purpose of an organisation/institution that is normally expressed as a broad intent.

1.8. Long-term (horizon)

1.8.1. This is normally six or more years.

1.9. Middle-term (horizon)

1.9.1. This is normally from two to five years.

1.10. Objective

1.10.1. This is what an organisation/institution intends to achieve in the short- and middle-terms: this achievement can be measured or assessed.

1.11. Quality assurance

1.11.1. The process whereby measures are installed that will ensure that outcomes of programmes are of a prescribed standard.

- 1.12. Quality assurance agency
 - 1.12.1. An agency, recognised by the International Network of Quality Assurance Agencies in Higher Education (INQAAHE), empowered to externally audit and accredit awards made by institutions.
- 1.13. Quality control
 - 1.13.1. This is the process whereby outcomes are assessed to determine whether they are of the prescribed standard.
- 1.14. Short-term (horizon)
 - 1.14.1. This is normally up to two years.
- 1.15. Stakeholders
 - 1.15.1. These include agencies (government and private) that control tertiary institutions or individuals or groups that participate in or have responsibilities towards tertiary education in Botswana.
- 1.16. Tertiary Education Council
 - 1.16.1. The proposed body that will accredit tertiary institutions in Botswana.
- 1.17. Unified Board of Affiliated Institutions
 - 1.17.1. The Unified Board of Affiliated Institutions, a Senate Committee that oversees the Affiliated Institutions Unit.
- 1.18. Validated awards
 - 1.18.1. Awards made by institutions offering programmes validated by the University of Botswana that lead to awards validated by the University.

2. OVERVIEW

- 2.1. The University of Botswana has a well-established and long-standing system of affiliation. Initially it was set up to cater for primary teacher training institutions but it was later extended to junior secondary teacher training colleges and then health training institutions. This system has developed without any formal University affiliations policy being in place. In the light of this, and the current pressure to extend affiliation to institutions operating in other fields, the need to underpin the system with a formal policy has become manifest. The purpose of this document is to set out this policy.
- 2.2. This policy offers guidelines for institutions that wish to be affiliated to the University of Botswana or to have their programmes validated by it. The policy is intended to:
 - 2.2.1. set out a strategic and developmental milieu for the University and its current and potential affiliates;
 - 2.2.2. provide a strategic framework to enable the University to effectively utilise its resources to extend its current system of affiliation in response to demand;

2.2.3. put in place quality assurance processes that will ensure that any expansion is not undertaken at the expense of the lowering of standards and the quality of provision; and

2.2.4. ensure that the University extends affiliation to institutions that offer academic and professional programmes that are cognate with those offered by the University.

3. AIMS OF THE POLICY

3.1. The general aim is to further develop the University's system of affiliation in accord with the University's mission and vision statements.

3.2. The policy has four broad aims that are intended to achieve this general aim. These are:

3.2.1. to build up, develop and diversify the current system of affiliation and validation through fostering benchmarking practices and making it a centre of excellence in this field;

3.2.2. to further assist in the development of human resources in Botswana through making available to an increasing range of tertiary institutions the academic, professional and international benefits that association with a University normally brings;

3.2.3. to put in place a transparent system of affiliation and programme validation based on specified standards and criteria; and

3.2.4. to offer affiliation in the short- and middle-terms to institutions offering programmes and courses in fields cognate with those offered by the University.

4. OBJECTIVES OF THE POLICY

4.1. The objectives of the policy shall normally indicate what will be achieved in the short- and middle-terms.

4.2. The policy objectives are:

4.2.1. to make UB expertise, facilities and resources available to other tertiary institutions, and to foster collaboration between staff in UB and those in other tertiary institutions working in cognate fields.

4.2.2. to foster articulation between University awards and those given by other tertiary institutions, and to develop an appropriate hierarchy of tertiary awards.

4.2.3. to install clear protocols (including the standards and criteria that have to be fulfilled for affiliation/validation), processes and duties pertaining to affiliation to, and the validation of awards by, the University.

4.2.4. to install transparent processes whereby channels and procedures for the making of appeals are made available.

- 4.2.5. to develop an affiliatory system that has a comparative international and regional dimension, and that also takes into account the goals and needs of the Government and stakeholders.
- 4.2.6. To identify the fields in which the University has adequate and suitable resources, expertise and personnel to offer affiliation/validation.
- 4.2.7. To extend the system of affiliation and validation using processes that are cost effective to the University.

5. PRINCIPAL FEATURES OF THE POLICY

5.1.General

- 5.1.1. The policy shall apply to all institutions that are or aspire to be affiliated to, or have their programmes validated by, the University of Botswana.
- 5.1.2. The affiliations and validation policy shall be implemented and carried out in the context of the University's mission and vision statements. These are:
 - 5.1.2.1. **Vision:** The University of Botswana will be a leading academic centre of excellence in Africa and the world.
 - 5.1.2.2. **Mission:** To advance the intellectual and human resource capability of the nation and the international community.
- 5.1.3. Controlling agencies or institutions, including those of government, will be expected to endorse these statements.
- 5.1.4. Mission and vision statements of institutions affiliated to the University must be consonant with the UB mission and vision statements.
- 5.1.5. Each application shall be dealt with through the procedure established and approved by Senate.

5.2.Cognate fields

- 5.2.1. The field in which an institution offers programmes shall be taken into account when considering applications for affiliation and validation.
- 5.2.2. The University shall normally extend affiliation to institutions that operate in fields cognate with those offered by the University, normally through a department or departments.
- 5.2.3. The department or departments identified as being in the cognate field shall be responsible for academic and professional matters relating to the programme offered by the institution in the cognate field.
- 5.2.4. In determining whether the field dealt with by an institution is a cognate one, the Affiliated Institutions Unit shall act on the advice of Faculties.

5.2.5. Faculties shall be responsible for determining the cognate department when an application for affiliation has been received.

5.3. Quality assurance processes

5.3.1. When considering an application for affiliation and validation prior attention shall be given to the quality assurance processes operated by the institution.

5.3.2. If requested, the University will assist an institution that intends to apply for affiliation or the validation of its programmes, by facilitating the installation of such processes prior to the establishment of formal links with the University.

5.3.3. A condition of affiliation will be that the institution has formal, clear and systematic quality assurance processes that can be audited.

5.3.4. These processes must include:

5.3.4.1. Well-defined internal quality assurance measures that can be audited, including: internal checking of examination papers; double-marking of scripts and assignments; and systematic assessment and examining procedures in place.

5.3.4.2. Regular provision for middle-term external review and audit.

5.3.4.3. Provision for quality control of programme outcomes.

5.3.4.4. Provision for regular exchange between the institution and the cognate department.

5.3.5. These processes should also include:

5.3.5.1. Agreed processes for regular reporting back to the University.

5.3.5.2. Provision for cyclical institutional self-study.

5.3.5.3. Provision for regular programme review.

5.3.5.4. A procedure whereby the results leading to validated awards are processed through the Affiliated Institutions Unit for submission to the Unified Board of Affiliated Institutions.

5.4. Advisory functions of the Affiliated Institutions Unit

5.4.1. The Affiliated Institutions Unit shall function as a Quality Assurance Agency (QAA) recognised by the INQAAHE.

5.4.2. The Affiliated Institutions Unit shall take such steps as are deemed appropriate to provide support, guidelines and advice to affiliated institutions and those whose awards are validated, and to institutions that seek affiliation or the validation of their awards.

5.4.3. A proactive policy shall be followed including initiating and mounting in consultation with cognate departments and faculties:

5.4.3.1. seminars and workshops;

- 5.4.3.2. self-study processes;
- 5.4.3.3. staff development and training;
- 5.4.3.4. conferences and similar joint meetings; and
- 5.4.3.5. research and publishing.

6. IMPLEMENTATION

6.1. Infrastructure

- 6.1.1. The Unified Board of Affiliated Institutions shall be responsible to Senate for overseeing affiliation and validation.
- 6.1.2. The Director, CAD, shall be the Chairperson of the Board.
- 6.1.3. The Affiliated Institutions Unit shall provide the secretariat, service the Board and be the operational interface between the University and its affiliated institutions.
- 6.1.4. The Affiliated Institutions Unit, CAD, shall operate as a Quality Assurance Agency responsible to the Centre for Academic Development.

6.2. Status of institutions

- 6.2.1. Affiliated institutions shall be institutions that fulfil all the standards and satisfy the criteria required for the status of affiliated institution.
- 6.2.2. In the case of an affiliated institution normally all programmes are validated by the University.
- 6.2.3. Institutions that have programmes validated shall be those that fulfil the standards and satisfy the criteria required for the programmes that are to be validated.

6.3. Certificates and awards

- 6.3.1. Programmes leading to awards validated by the University shall be governed by regulations approved by the University.
- 6.3.2. An institution whose programme(s) is being validated shall, in consultation with the Affiliated Institutions Unit, set up appropriate agreed procedures for processing the results of the programmes.
- 6.3.3. These recommended results shall be submitted, through the Affiliated Institutions Unit, to the Unified Board of Affiliated Institutions for approval.
- 6.3.4. The Unified Board, in consultation with the controlling agency of the institution, shall determine the wording and format of the certificate.

7. RESPONSIBILITY FOR POLICY IMPLEMENTATION

7.1. Centre for Academic Development

- 7.1.1. The Centre for Academic Development through the Director, shall oversee the implementation of the policy.

7.1.2. The Affiliated Institutions Unit and the Deputy Director (Affiliated Institutions) shall be responsible for the implementation of this policy.

7.2. Unified Board of Affiliated Institutions

7.2.1. The Unified Board of Affiliated Institutions shall be the Senate Committee responsible for the policy.

7.2.2. The Unified Board of Affiliated Institutions shall consist of:

- 7.2.2.1. Director, CAD (Chairperson)
- 7.2.2.2. Deputy Director, Affiliated Institutions
- 7.2.2.3. Deans of Faculties
- 7.2.2.4. Director, Library Services
- 7.2.2.5. Deputy Director, Physical Planning
- 7.2.2.6. Director, Centre for Continuing Education
- 7.2.2.7. Assistant Director, Affiliated Health Institutions
- 7.2.2.8. Assistant Director, Colleges of Education
- 7.2.2.9. Representative, Colleges of Education (Primary)
- 7.2.2.10. Representative, Colleges of Education (Secondary)
- 7.2.2.11. Representative, Affiliated Health Training Institutions
- 7.2.2.12. Principal, College of Technical & Vocational Education
- 7.2.2.13. Representative, Ministry of Health
- 7.2.2.14. Representative, Ministry of Education

8. MISSION AND VISION STATEMENT

8.1. University mission and vision statements

8.1.1. The general University mission and vision statements shall underpin the execution of this policy.

8.2. Affiliated Institutions Unit mission and vision statements

8.2.1. These statements are also incorporated in the vision and mission statements of the Affiliated Institutions Unit. These are:

8.2.1.1. In line with the University of Botswana Vision to be a centre of excellence the Affiliations Unit will be a key agent in promoting academic excellence in tertiary education institutions affiliated and linked to the University of Botswana;

8.2.1.2. In accord with the commitment of the University and the Centre for Academic Development to academic excellence, the mission of the Affiliated Institutions Unit is to implement and monitor affiliatory and validation system featuring benchmarking practices.

8.2.2. The Unit is also committed to contributing to the advancement of Botswana's human resources development.

APPENDIX A

AFFILIATIONS AND VALIDATION POLICY

BACKGROUND TO THE POLICY PROPOSALS

1. The University's system of affiliation has been in operation for more than thirty years. Over that period it has been adapted to cater for changing circumstances. Originally only primary teacher training colleges were affiliated but this was changed from the mid 'eighties when the College established to train junior secondary teachers was affiliated. Further diversification took place when the institutions set up to train nurses and health personnel were affiliated from 1985.
2. At first only Government institutions were affiliated and a significant development took place when non-government health training institutions were affiliated. The number of affiliated institutions has increased significantly, and by 2001 there were fourteen affiliated institutions, six colleges of education and eight health training institutions. In effect the Government, through using the University as a validating body, placed responsibility for maintaining standards in the training of teachers and health personnel in the hands of the University. In so doing the Affiliations Unit has been resourced as a University Department to carry out this mandate, and also uses University resources and personnel for this purpose.
3. Before 2000 the Office of the Co-ordinator, Affiliated Institutions, was located in the Office of the Dean of Education. Prior to 1991 a member of the Faculty of Education undertook the duties of Co-ordinator on a part-time basis. A full-time Co-ordinator for the Affiliated Colleges of Education was appointed at the Associate Professor level in 1991 and a Co-ordinator, Health Training Institutions at the Senior Lecturer level in 1997 for the Health Training Institutions. As part of the restructuring of the University these posts were moved from the Faculty of Education and subsumed in the new Affiliated Institutions Unit in the newly-established Centre for Academic Development. Currently the establishment in post consists of a Deputy Director, an Assistant Director (Health Training Institutions) and an Assistant Director (Colleges of Education), a Faculty Administrator and a secretary.
4. These developments reflect the commitment of the University to its affiliated institutions. Furthermore, locating the Unit in the Centre for Academic Development indicates the University's changing perspectives on its affiliatory system and on the role that the Unit is, and will be, expected to play. This is propitious as, while restructuring has been taking place, there has been a manifest increase in the number of tertiary institutions in Botswana that require the University to validate their awards. Given these evolving circumstances, and in the light of the potential diversification and differentiation of the country's tertiary education system, it has become necessary to put in place a policy to underpin the University's system of affiliation and validation.

APPENDIX B

AFFILIATIONS AND VALIDATION POLICY

NOTES AND GUIDELINES TO THE POLICY

1 OVERVIEW

- a) The present location of the Unit, compared to the time when it was in the Faculty of Education, places a much wider range of University resources at its disposal.
- b) However, the institutions now seeking links with the University cover much wider fields than was the case with the affiliatory system. These fields include theology education to wild-life management to police training.
- c) In responding to these appeals it is incumbent on the University to take two critical matters into account. The first is that any extension of affiliatory activities is not undertaken at the expense of standards and quality. The second is that affiliation and validation should only be offered to institutions that operate in fields with which the University is able to cope in terms of expertise, resources and personnel.
- d) In brief, in the short- and middle-terms the University's Affiliation and Validation Policy must take full cognisance of what the University can realistically undertake.

2 AIMS OF THE POLICY

- a) The University's vision and mission statements underpin this policy. The Affiliations Unit has taken on board these statements, and is committed to achieving an affiliatory system that is an exemplar and characterised by features that set benchmarking standards. It is further envisaged that an enhanced affiliatory system will help increase human capital.
- b) In addition, as the institutions that make up Botswana's tertiary system of education become more diverse and differentiated, those that are linked with the University through affiliation and validation will feature the quality and standards associated with universities.
- c) It is predicted that this policy will enable the University's system of affiliation to contribute significantly towards the fulfilment of National Development Plan 9 and Vision 2016. This is appropriate as the University shares the vision of the Government of Botswana that infuse these seminal planning and policy documents.

3 OBJECTIVES OF THE POLICY

a) In the short- and middle-term it is intended that the objectives identified in the policy will generate expected outcomes. These are shown below.

b) OBJECTIVE ONE

i) Pooling expertise and promoting staff collaboration

(1) Expected outcome:

(a) Development of a pool of assessors with appropriate subject expertise.

(b) Collaboration in research projects.

(c) The establishment of fora for academic and professional dialogue, publishing and research at the higher education level.

c) OBJECTIVE TWO

i) Fostering articulation, cross -credit and rationalising

(1) Expected outcome:

(a) The establishment of:

(i) formal and transparent articulation processes; and

(ii) an officially recognised hierarchy of tertiary awards by the middle-term.

d) OBJECTIVE THREE

i) To install a system of affiliation and validation based on transparent and systematic processes

(1) Expected outcome:

(a) Publication of transparent guidelines, standards, criteria and processes for:

(b) applying for affiliation/validation and (ii) determining the responsibilities entailed in the affiliatory relationship.

(c) The establishment of two categories of institutions:

(d) institutions affiliated to the University;

(e) institutions with programmes validated by the University.

e) OBJECTIVE FOUR

i) to install transparent processes whereby channels and procedures for the making of appeals are made available to all interested parties

(1) Expected outcomes:

- (a) publication of transparent guidelines for making appeals against decisions made as part of the affiliatory process;*
- (b) enabling institutions, Ministries and stakeholders to have recourse to appeals procedures affecting with respect to their status; and*
- (c) to ensure that non-University institutions have access to the normal processes of appeal to Senate and Council.*

f) OBJECTIVE FIVE

i) To install a system of affiliation related to international standards and orientated to national and regional needs

(1) Expected outcome:

- (a) The installation of:*
- (b) a regional network in tertiary education;*
- (c) appropriate international links and association;*
- (d) affiliatory procedures that actively involve stakeholders; and*
- (e) cost sharing and cost-effective affiliatory processes.*

g) OBJECTIVE SIX

i) To put in place a credible system of affiliation geared to Botswana's tertiary system

(1) Expected outcome:

- (a) The establishment of transparent internal UB processes whereby the Centre for Academic Development, in consultation with Senior Management and the Deans of Faculties, is enabled to determine the cognate fields that the affiliatory system can accommodate.*

h) OBJECTIVE SEVEN

i) Installing a system of affiliation that is cost effective to the University

(1) Expected outcome:

- (a) A system to be in place whereby institutions that apply for affiliation to the University, and those already affiliated to it or have programmes validated by it, share agreed operational expenses such as costs of visitations, quality assurance processes and supportive services.*

4 DEFINITIONS

- a) The definitions are not intended to be comprehensive, and are offered for this policy proposal only.

5 POLICY

- a) It was noted above that to date affiliation was offered in two fields only. The recent affiliation of the College of Vocational and Technical Education has extended affiliation. Current demands suggest that this expansion will continue. To cater for this, certain frame factors that govern the UB system of affiliation need to be taken into account.

b) General

- i) Frame factors determine, for example, what the UB system of affiliation can and cannot do, and what it is allowed or not allowed to do. The policy must take this into account.
- ii) The regulatory framework is a critical frame factor. For example, the University Statutes permit further affiliation and validation.
- iii) The affiliatory system must be sufficiently flexible to cater for developments in the tertiary sector that are not currently featured or envisaged.
- iv) There are indications that private sector institutions will seek affiliation and validation.

c) Cognate fields

- i) Frame factors determine the fields the University can offer for affiliation and validation.
- ii) In the short- and middle-terms the University should only affiliate institutions and validate programmes in academic and professional fields in which it has expertise.
- iii) It will be essential to consult with faculties and departments at the early stages when determining whether the support and services associated with effective affiliation or validation are available.
- iv) A process of preliminary consultation shall be set up by the Affiliated Institutions Unit to determine whether a University Department or Faculty can cater for an application.
- v) For this reason the policy for affiliation and validation makes the proviso that this can only be offered to institutions and programmes where University departments have cognate fields.

d) Quality assurance processes

- i) As the country's only university, the University of Botswana has an obligation to offer academic and institutional leadership to other tertiary institutions.
- ii) To date the University's affiliatory system has focused on quality control, but this is now no longer the case.
- iii) Changes include:

- (1) the shift in emphasis in the external examining system to quality assurance;
- (2) the introduction of standards and criteria for affiliation and validation;
- (3) the introduction of internally-driven quality assurance and performance management processes; and
- (4) a commitment programme review, including semesterisation, by the two Ministries. Institutions affiliated to, or whose programmes are validated by, the University will be expected to have similar commitment to quality assurance processes.

e) Status and functions – Affiliated Institutions Unit

- i) An important frame factor is the enhanced capacity and status of the Affiliated Institutions Unit.
- ii) The current establishment enables the Unit to expand the scope and extent of its activities and to mobilise University resources and personnel to do so.
- iii) The Affiliated Institutions Unit has been awarded the status of a Quality Assurance Agency by the International Network of Quality Assurance Agencies in Higher Education. In due course application will be made for the Unit to be awarded the proposed World Quality Label. A working group, consisting of delegates from the spell out (IAUP) Commission, the International Network of Quality Assurance Agencies in Higher Education and UNESCO, states that the basic requirement for such an agency is that “Activities of the agency concern external quality assurance or accreditation. This means that the agencies function autonomously from the institution or programmes that they review.” (IAUP working group (2002), p. 3) Furthermore, whilst this implies that the Centre for Academic Development is not eligible for this status *vis á vis* the University, the criteria for recognition does permit agencies to operate as part of a larger institution such as a university. Not only will the experience, expertise and procedures of the Affiliated Institutions Unit form a keystone for the implementation of this policy, these will also be available to assist in the internal quality assurance processes installed by the University.
- iv) The system of external examining and moderating that is currently in place for the Colleges of Education and the Affiliated Health Training Institutions shall not be the model used for institutions admitted to this status in future. In each case an agreed quality assurance and programme review process shall be put in place that shall take into account cost factors.

6 IMPLEMENTATION

a) Infrastructure

- i) The present structure whereby the Unified Board of Affiliated Institutions and the Director, Centre for Academic Development, oversees the Affiliated Institutions Unit shall be retained.
- ii) The notes to the previous section indicate the significance of the Affiliated Institutions Unit being a recognised Quality Assurance Agency and the reason for its operation as such.

b) Certificates and awards

- i) To be given the status of an affiliated institution, the institution must satisfy all the Standards and Criteria for affiliation set by the University. The University shall validate awards offered by these institutions, and these will have the status of university awards.
- ii) If an institution wishes to offer a programme that leads to an award validated by the University, the programme must satisfy the five Standards and Criteria for validation set by the University. The University reserves the right to set any additional standards or criteria.

7 RESPONSIBILITY FOR POLICY IMPLEMENTATION

a) Affiliated Institutions Unit

- i) For the purpose of this policy the Affiliated Institutions Unit shall operate as a Quality Assurance Agency.
- ii) It shall function within the Centre for Academic Development and the Affiliated Institutions Unit shall be responsible to the Centre for Academic Development, that shall oversee it.

b) Unified Board of Affiliated Institutions

- i) The Director, CAD, is the Chairperson of the Unified Board, a Committee of Senate.
- ii) A particular strength of the University's system of affiliation is the collegiate and collaborative relationship between the University, the Affiliated Institutions Unit, the institutions involved and the Government, its Departments and other stakeholders that work with the University in affiliatory matters.
- iii) This is reflected in stakeholders, including Government bodies, having representation on the Unified Board and its associated bodies. This process and its practices shall continue to underpin the system of affiliation and validation.

8 MISSION AND VISION STATEMENT

- a) In basing its philosophy and practice on the University's vision and mission statement, the Affiliated Institutions Unit is committed to extending this spirit

to institutions affiliated to, or have their programmes validated by, the University of Botswana.

REFERENCE

IAUP Working Group (2002). Towards a worldwide quality label for quality assurance and accreditation agencies. Ghent: IAUP Working Group.

APPENDIX C

UNIVERSITY OF BOTSWANA STANDARDS AND CRITERIA FOR AFFILIATION

INTRODUCTION

Purpose The purpose of this document is to:

- A. Establish University of Botswana Standards and Criteria for:
- institutions aspiring to become affiliated or to have their programmes validated
 - assessment of standards in affiliated institutions; and
 - assessment of institutional development (see Appendix D).
- B. Establish a process for obtaining affiliatory status and for validation of programmes. Criteria one to ten shall be rated satisfactory in order to obtain affiliatory status while standards six to ten shall be satisfactory to achieve validation of an educational programme (See Appendix D).

Applying for Affiliation

The following procedures will be used for admission to affiliation status and for validation of programmes offered by educational institutions.

Step 1

Institutions that wish to apply for affiliation status or validation of programme(s) shall contact the Deputy Vice Chancellor (Academic Affairs) stating the intention to do so and requesting information on affiliation and/or validation.

Step 2

The Deputy Vice Chancellor will forward the request to the Director, Centre for Academic Development for processing through the Deputy Directorate, Affiliated Institutions Unit in the Centre for Academic Development.

Step 3

The Deputy Directorate, Affiliated Institutions Unit shall write to the requesting institution providing them with information on the affiliation or validation process.

Step 4

A formal request for affiliation or validation of a programme shall be sent to the Deputy Director, Affiliated Institutions Unit.

Step 5

An affiliation/validation visit shall normally be arranged and carried out within three months of the formal request.

Step 6

The visitation panel shall make recommendations to the Unified Board of Affiliated Institutions (UBAI) for consideration at the next meeting.

Step 7

The UBAI shall consider and report the decision made to the Academic Policy Review and Planning Committee (APRPC).

Step 8

The APRC shall consider recommendations and forward a report to the Senate.

Step 9

Senate shall then consider the recommendations made by APRPC and, if Senate approves the application, the Senate Secretariat shall forward the decision to Council.

Step 10

Council shall then consider the recommendations made by Senate and the interested parties shall be notified of the outcome.

Continued Affiliation

In addition to the procedure described for the initial affiliation and validation of programmes, institutions and programmes will be assessed through periodic visitations to maintain their affiliatory status. The purpose of this process of affiliation and validation is to:

1. Promote and monitor quality through scheduled monitoring visits to affiliated institutions and to encourage the affiliated institutions to maintain standards by installing internal monitoring systems such as self-study.
2. Promote institutional development by providing feedback to appropriate bodies and the identification of specific areas for development/improvement.

Program Validation

The same procedure shall be used for validation of programmes. The formal request must be clear if it is for programme validation only.

OUTCOMES OF REQUEST FOR AFFILIATION OR VALIDATION OF A PROGRAMME

The following are possible outcomes of an affiliation or validation visit.

- Awarded affiliated or programme validation status.
- Awarded provisional affiliated or programme validation status. In this case specific conditions will be indicated and must be met within a specified period of time.
- Affiliation/validation not awarded.

The level of compliance with the criteria is rated during the affiliation or validation visit as follows:

- * **Satisfactory:** minimum criteria achieved.
- * **Provisional:** minimum criteria will be achieved in one year.
- * **Unsatisfactory:** minimum criteria not achieved.

APPENDIX D

SECTION A: STANDARDS AND CRITERIA FOR AFFILIATION OF INSTITUTIONS

The criteria checklist shall be applied to the institutional standards shown below.

Standard 1

Organisational structure

Must be conducive to the achievement of organisational objectives

An organisational structure that:

- (a) Defines lines of authority and relationships direct and indirect,*
- (b) Facilitates external and internal communication between the institution and related organisations and individuals, and*
- (c) Defines responsibilities of components and offices and individuals relating to programmes offered.*

	Satisfactory	Provisional	Unsatisfactory
1.1 Clear lines of authority in place			

An organogram which accurately reflects the institutional organization

1.2 Organogram in place			
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An academic board for processing academic matters exists and reviews academic matters regularly

1.3 Operational academic board in place			
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An organization that has:

- (a) Availability of funding and*
- (b) Satisfactory and flexible processes for using funds for institutional purposes*

1.4 Satisfactory funding/ finance allocation			
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Evidence is provided such as

- (a) membership on committees and/or (b) attendance at kgotla meetings*

1.5 Appropriate links with community			
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Overall Rating			
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Standard 2**Objectives of the institution** *(These must be explicit)*

Satisfactory Provisional Unsatisfactory

Institutional mission statement is documented

2.1 Clearly stated institutional mission statement in place			
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Departmental/programme statements are documented in programme information

2.2 Clearly stated departmental/programme mission statements in place			
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Departmental aims and objectives are documented in departmental/programme information

2.3 Department aims and objectives are coherent with the stated institutional and department mission			
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Institutional philosophy/values is documented in institutional information

2.4 Clearly stated institutional philosophy/values in place			
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Specific statements and processes in place that indicate quality is a priority, i.e., responses to external examiner reports

2.5 Commitment to quality improvement			
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Evidence that the institution has policies that take into account the needs of minority and disadvantaged groups, including gender

2.6 Commitment to equality of provision			
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Satisfactory Provisional Unsatisfactory

Overall Rating			
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Standard 3

Physical infrastructure and resources

(Appropriate for the programmes and the staff and students)

<i>Suitable rooms for the specialised programmes offered</i>	Satisfactory	Provisional	Unsatisfactory
3.1 Specialised rooms (but not laboratories)			
<i>Laboratories are available for courses taught</i>			
3.2 Science and other specialized laboratories (not computer laboratories)			
<i>Computer laboratories exist that will accommodate at least one class of students</i>			
3.3. Computer laboratories			
<i>Appropriate classrooms for the programmes offered</i>			
3.4 General purpose teaching rooms			
<i>Satisfactory space and suitably equipped individual offices (Principals & Deputies)</i>			
3.5 Senior management’s offices			
<i>Satisfactory space and suitably equipped (individual HODs and equivalent) offices</i>			
3.6. Academic senior staff offices			
<i>Minimum of one office for every two teaching staff</i>			
3.7 Teaching staff offices			
<i>Adequate space for expansion where necessary, i.e., use of Portacabins</i>			
3.8 Adequate space			
<i>Adequate furnishings, i.e., desks, chairs, filing space, shelves</i>			
3.9 Adequate physical resources			
<i>Adequate equipment available for programmes and subjects offered</i>			
3.10 Specialist facilities and resources			
<i>Adequate space for the number of students and staff</i>			
3.11 Recreational rooms/spaces			
<i>Annual health and safety inspection results are satisfactory</i>			
3.12 In accord with Government of Botswana safety regulations			
	Satisfactory	Provisional	Unsatisfactory
Overall Rating			

Standard 4.**Staff qualifications and terms of service**

In accord with standards associated with tertiary institutions in well established systems and programmes offered by such institution

Satisfactory Provisional Unsatisfactory

At least a master's degree in an appropriate discipline

4.1 Qualifications of senior management			
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Master's degree in an appropriate discipline

4.2 Qualifications of Heads of Departments and senior teaching staff			
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Minimum of a first degree in an appropriate discipline or appropriate qualifications

4.3 Qualifications of other teaching staff			
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Relevant qualifications for the position held

4.4 Qualifications of support staff			
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Policies, criteria and processes in line with vision, mission and philosophy or values of the institution

4.5 Appropriate staff promotion system			
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Specialist training, such as management skills and computer processing, are available where appropriate

4.6 Appropriate staff continuing education opportunities provided			
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- (a) Enable staff to devote 20% of their time in research, scholarly work and professional activities.
- (b) Enable staff to devote at least 20% of their working time to preparation, marking and reflection.

4.7 Staff workloads satisfactory			
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Transparent and public policies, criteria, processes and plan in place for staff development

4.8 Formal staff development policy and plan in place			
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Satisfactory Provisional Unsatisfactory

Overall Rating			
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Standard 5.***Students: admission and welfare****In accord with the programme regulations*

Satisfactory Provisional Unsatisfactory

5.1 Qualifications at entry to programme(s)			
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Student welfare committee or services exist and are operational

5.2 Student welfare services available for all students			
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Student counselling services exist and are operational

5.3 Counselling and advisory services available			
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Student tutorial services exist and are operational

5.4 Tutorial services available			
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Regular access to an office

5.5 Suitable SRC space available			
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No more than 2 students per room

5.6. Hostel accommodation is adequate			
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Membership on a significant number of committees

5.7 Students are represented on institutional committees			
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Non-Academic Regulations exist

5.8 Non-academic regulations, including disciplinary procedures are in place			
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Space is available for students to have recreational activities

5.9. Adequate recreational facilities			
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Health information is available to students

5.10 Health care information is available			
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Health services are available to students

5.11 Health care services available			
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Satisfactory Provisional Unsatisfactory

Overall Rating			
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SECTION B: STANDARDS AND CRITERIA FOR THE VALIDATION OF PROGRAMMES

The criteria checklist for Standards 6-10 shall be applied for validation of programme(s) only. Consequently, there may be some repetition of specific sub standards or criteria.

Standard 6.

Programme delivery

(Attention will be paid to the academic content of the programme(s))

Satisfactory Provisional Unsatisfactory

Programme meets UB regulations for diploma programmes

6.1 Length of programme appropriate for award and learning required			
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Conceptual framework provides rationale for selection and organisation of programme content and learning experience

6.2 Programme rationale and philosophy			
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*Responsive to current needs
Components of the programme reflect current trends*

6.3 Appropriateness of programme			
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Components offer clear indication of the aims and objectives of the programme

6.4 Rationale for programme components			
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Components of the programme
 (a) Offer clear indication of the aims and objectives of the programme
 (b) Ordered progression of content and learning experiences
 (c) Course/level objectives:

- Reflect an increase in complexity and knowledge
- Are attainable and measurable
- Meet programme objectives

 (d) Provision exist for students to participate in curriculum revision and development

6.5 Curriculum Structure			
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Provision for on-going assessment and feedback for students

6.6 Student assessment processes			
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Academic regulations are in place and accessible

6.7 Appropriate academic regulations in place			
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Satisfactory Provisional Unsatisfactory

Overall Rating			
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Standard 7.

Records

Ensure that pertinent information on staff, students and the programme (to go back at least five years) are maintained, protected and easily accessible

Satisfactory Provisional Unsatisfactory

Student records will include:

- (a) Gender, citizenship, place and location of birth*
- (b) Home address and institutional address of first appointment*
- (c) Educational background, experience and qualifications*
- (d) Health status*
- (e) Course marks and grades including marks for practical components*

7.1 Student Records			
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Institutional records shall include:

- (a) Student records as above*
- (b) Summaries of student achievement*
- (c) Student evaluation of staff and institution*
- (d) Admission, withdrawal and transfers of students*
- (e) Graduation, pass rates by categories and fail rates*
- (f) Staff records of professional activities including: Research, community activity, consultancy work and publishing*
- (g) Information on courses and programme*
- (h) Reports by departmental heads on performance of staff*
- (i) Evidence of licensure or registration of staff, as appropriate*

7.2 Institutional/programme records			
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Collection, maintenance and security of data shall be in accord with individual and societal rights
Protection, maintenance and authorized use of records
secure storage of documents and records

7.3 Security of records			
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Records are accessible to appropriate officers

7.4 Availability of records			
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Satisfactory Provisional Unsatisfactory

Overall Rating			
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**Standard 8.
Evaluation**

<i>Evaluation criteria must be specific, valid and measurable</i>	Satisfactory	Provisional	Unsatisfactory
8.1 Criteria for evaluation of programme(s)			

Regular review of the following:

- (a) *Philosophy and objectives of the programme*
- (b) *Conceptual framework and content of programme*
- (c) *Appropriateness of resources and facilities available*
- (d) *The programme in relation to the needs of the students and society*

8.2 Provision for regular review of programmes			
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Evaluation to ensure that:

- (a) *Teaching strategies are appropriate to the objectives of the programme*
- (b) *Professional development and progress is maintained*
- (c) *There is involvement in professional and community activity*
- (d) *Provision for peer evaluation*
- (e) *Provision for self evaluation*
- (f) *Provision for student evaluation*

8.3 Provision for regular evaluation of staff			
	Satisfactory	Provisional	Unsatisfactory

Overall Rating			
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Standard 9

Resources, equipment and staff

In accord with standards associated with tertiary institutions in well established systems and the programmes offered by the institution

	Satisfactory	Provisional	Unsatisfactory
<i>Availability of staff with expertise in speciality programmes offered</i>			
9.1 Availability of adequate number of specialist staff for the programme(s) offered			
<i>Availability of staff programmes offered</i>			
9.2 Availability of suitably qualified staff for the programme(s) offered			
<i>Specialist rooms/laboratories exist and are adequately equipped</i>			
9.3 Specialist rooms/laboratories equipped in accord with the minimum required by each subject			
<i>Adequate practice settings are available for programmes</i>			
9.4 Students have access to facilities required for practical components of programmes such as clinical practice and teaching practice			
<i>Where licensing exists, the programme meets the standards of the agency</i>			
9.5 Programmes are in line with standards set by official licensing authorities			
<i>Students have texts available to them in a timely manner</i>			
9.6 Students are supplied with the minimum texts and equipment required by each subject			
<i>Ratio of student to staff member for classroom learning is in accord with accepted standards</i>			
9.7 Staff/student ratio (overall consistent with accepted ratio for discipline)			
<i>Ratio of student to staff member practical learning is in accord with accepted standards</i>			
9.8 Staff student ratio (specialist/practical areas consistent with accepted ratio for discipline)			
<i>At least one computer per 4 staff members is available</i>			
9.9 Staff have adequate access to computer and printing facilities (at least 1 computer per 4 staff)			
<i>At least one computer per 12 students is available</i>			
9.10 Adequate provision is available for students to develop computer literacy and appropriate computer skills (at least one computer per 12 students)			
<i>Technical support for all specialty equipment is available</i>			
9.11 Suitable technical support is available			
<i>A plan for upgrade of laboratory equipment is in place</i>			
9.12 Provision is made for up-grading of equipment, i.e., computers and laboratory equipment			
	Satisfactory	Provisional	Unsatisfactory
Overall Rating			

Standard 10 Library evaluation

	Satisfactory	Provisional	Unsatisfactory
<i>Adequate space for learning materials</i>			
10.1 Accommodation (space) for stock			
<i>Study space available in the library for at least 25% of students</i>			
10.2 Space for students to undertake private reading			
<i>Stock is available for students to do independent learning</i>			
10.3 Stock: books appropriate for the programmes offered and <u>student</u> requirements vis á vis research and study			
<i>Stock is available for students to do independent learning</i>			
10.4 Stock: journals and related materials appropriate for the programmes offered and <u>student</u> requirements vis á vis research and study			
<i>Stock is available for students to do independent learning</i>			
10.5 Stock: media and related material appropriate for the programmes offered and <u>student</u> requirements vis á vis research and study			
<i>Stock is available for staff to do independent research and scholarly writing</i>			
10.6 Stock: books, journals and media appropriate for the <u>faculty</u> requirements vis á vis research and scholarly work			
<i>Internet facilities readily available</i>			
10.7 Information technology services available			
<i>Staff number meets minimum required for facility & services</i>			
10.8 Adequate number of staff (professional senior position)			
<i>Qualifications are appropriate for position requirements</i>			
10.9 Appropriate qualification for senior staff (professional)			
<i>Staff number meets minimum required for facility & services</i>			
10.10 Adequate number of staff (support and ancillary)			
<i>Qualifications are appropriate for position requirements</i>			
10.11 Appropriate qualifications of staff (support and ancillary)			
<i>Library opening hours are adequate for staff and students</i>			
10.12 Access to library services appropriate for staff and student requirements vis á vis research, study and scholarly work			
	Satisfactory	Provisional	Unsatisfactory
Overall Rating			

