



BOTSWANA
Qualifications Authority

Building a seamless Education and Training System



DQA.IAD.GD05

Issue No:01

MIGRATION CHECKLISTS FOR EXISTING ETPs

(HIGHER EDUCATION)



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MIGRATION CHECKLISTS FOR EXISTING ETPs (<!-- Generator: Adobe Illus-

DQA.IAD.GD05

Issue No: 01

Location (district, village/town/city):

Satellite (where applicable):

Name of Contact Officer:

Job Title:

Email: Tel:

Cell: Fax:

Quality Area and Criteria	Typical Evidence	Applicability	✓ / X
			✓ = availed X = not availed
CRITERION 1: Legal Status and Name	1.1 Verifiable proof of the legal status for the proposed ETP provided (for example, a certificate of incorporation as a company, or deed of trust) 2.2 Trading name of the ETP provided. 3.3 Not use 'university' 4.4 Name does not offend, demean, defame, or discriminate against particular persons, groups, or organisations.	Applicable	



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<p>CRITERION 2: Ownership</p>	<p>2.1 Names of persons legally and financially responsible for the proposed ETP provided and their certified copies of identity documents produced.</p> <p>2.2 The names given are listed in the relevant articles of Association or similar documents for registration of a company, society or trust.</p> <p>2.3 Affidavit(s)/Evidence showing that:</p> <p>2.3.1. each of the persons initiating the project has not within a period of ten years preceding the date of application been convicted, without pardon, within or outside Botswana, of a criminal offence;</p> <p>2.3.2. the named person(s), being the holder of professional qualifications, has not been disqualified or suspended from practising the trade or skill in Botswana or any country, by order of a competent authority;</p> <p>2.3.3. the named person(s) has not been adjudged or otherwise become insolvent or bankrupt under any law in any country or has been rehabilitated or discharged;</p> <p>2.3.4. the named director(s) have not served as director(s) for an ETP which has had its registration and accreditation revoked by the Authority in the last three years; and</p> <p>2.3.5. the named person(s) has not made an assignment to, or arrangement or composition with creditors that has not been rescinded or set aside.</p>	<p>Applicable</p>	
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<p>CRITERION 3: Vision, Mission and Strategic Planning</p>	<p>3.1 The institution has a clear mission and purpose with goals and priorities, which are responsive to its local, national and international context.</p> <p>3.2 There are strategies in place for the realization and monitoring of these goals and priorities.</p> <p>3.3 There is clarity of processes for; translating vision into a strategic plan, risk management and plan for procurement of resources for implementation.</p> <p>3.4 There is clarity of responsibilities and levels of accountability for strategy implementation and monitoring.</p> <p>3.5 There is a policy provision for regular review of the institutional performance and strategic plan.</p> <p>3.6 The organisation has specific values that form the basis for the implementation of the institution's strategy.</p>	<p>Applicable</p>	
<p>CRITERION 4: Governance of the ETP</p>	<p>4.1 provide information on the proposed governance of the ETP, which includes persons of credibility and expertise across the fields of education and training, business management, and financial management;</p> <p>4.2 show that the governing board or Council (where applicable) is enabled by the organisation's structures, responsibilities and accountabilities to act decisively to protect and enhance the provision of quality education and training services;</p> <p>4.3 provide CVs of board members (where applicable); and</p> <p>4. show that the proposed governance of the ETP is inclusive of a representative(s) of the student body.</p>	<p>Applicable</p>	



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<p>CRITERION 5: Management of the ETP</p>	<p>5.1 provide an organogram showing the proposed organisational structure;</p> <p>5.2 make available an organisational chart and associated duty statements or terms of reference showing lines of authority, responsibilities and allocations of functions and accountabilities for every proposed management position within the proposed organisation;</p> <p>5.3 show that at least one position is assigned to a person capable of providing educational leadership;</p> <p>5.4 show that the position that is assigned responsibility of educational leadership is enabled by the organisational structures, responsibilities and accountabilities to act decisively to protect and enhance the provision of quality educational services;</p> <p>5.5 show that senior management role descriptions include provisions requiring the establishment and maintenance of educational quality;</p> <p>5.6 provide Management team's CVs and job descriptions;</p> <p>5.7 show that the proposed organizational structure of the ETP is inclusive of a representative(s) of the student body; and</p> <p>5.8 have a policy on 'whistle blowing'.</p>	<p>Applicable</p>	
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CRITERION 6: Scope of Accreditation	6.1 The scope of accreditation is defined in terms of fields and/or sub-fields, and/or domains and to what NCQF level	Applicable	
CRITERION 7: Quality Management	<p>7.1 There is a Quality Management System policy.</p> <p>7.2 The objectives and functions of the quality system are clearly defined and documented.</p> <p>7.3 Objectives and mechanisms for quality management are integrated into institutional planning.</p> <p>7.4 The institutional quality management policy adequately provides for all key areas of operation.</p> <p>7.5 Roles and responsibilities and levels of accountability for quality management system implementation are clearly defined and documented.</p> <p>7.6 There is provision for ensuring that the objectives and mechanisms for quality management within each functional area of the institution are consistent with the institutional vision and strategic priorities.</p> <p>7.7 There is a system or process for monitoring and evaluation of the internal quality management system.</p> <p>7.8 There are mechanisms and procedures for the collection and analysis of data and dissemination of information on quality management matters to relevant stakeholders.</p> <p>7.9 There is provision for involvement of learners, staff and external partners in the quality management system implementation, monitoring and evaluation</p>	Applicable	



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<p>CRITERION 8: Records Management System</p>	<p>8.1 There is a records management policy which clearly indicates provision for access, security, confidentiality, retention, disposal, etc.</p> <p>8.2 The records management system provides for the nature and scope of operation of the institution.</p> <p>8.3 The proposed records management system is consistent with quality standards and principles characteristic of systems used in education and training institutions.</p> <p>8.4 There are off-site documents backup arrangements.</p> <p>8.5 There is a document control system and all key documents are to be centrally controlled and version numbers and revision status indicated.</p> <p>8.6 There is a process and procedure for amendment of controlled documents.</p>	<p>Applicable</p>	
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<p>CRITERION 9: Financial Viability and Management</p>	<p>9.1 There is evidence of existence of a local bank account.</p> <p>9.2 A five-year financial plan showing projections in relation to the stated goals and objectives of the institution, ratified by a qualified and registered accountant as adhering to sound financial and accounting practices.</p> <p>9.3 There is evidence showing that the applicant is solvent and likely to maintain such a status.</p> <p>9.4 Information on mechanisms for protection of assets, funds and the prepayment of any fees by learners are consistent with those currently available or utilized in Botswana.</p> <p>9.5 There is policy, regulations and procedures for financial management and control.</p> <p>9.6 There is a policy and clear process for procurement planning, budgeting and expenditure monitoring and control with clarity of roles and responsibilities as well as levels of accountability.</p> <p>9.7 There is clarity of how different functional areas of the institution will be financially catered for and managed.</p> <p>9.8 The funding arrangements and associated revenue generating activities are consistent with the vision, mission and values of the institution.</p> <p>9.9 There are arrangements for internal and external financial audits to keep track of the institution's financial condition and control over its finances.</p>	<p>Applicable</p>	
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<p>CRITERION 10: Human Resources</p>	<p>10.1 There is a clear policy on recruitment and selection of academic and ancillary staff which provides for equality of opportunities and inclusive practice and is in line with international best practice.</p> <p>10.2 The policy provides adequately for recruitment of teaching staff with relevant qualifications required for the scope of services proposed.</p> <p>10.3 There is provision for compliance with relevant legislation regarding the recruitment, selection and appointment of academic and ancillary staff as well as welfare, occupational health and safety.</p> <p>10.4 There is a staff performance appraisal system which is consistent with labour laws and is in line with international best practice.</p> <p>10.5 There is a training and development policy which is realistic and provides for inclusive practice and is in line with best international practice.</p> <p>10.6 The institution has documented conditions of service which are consistent with relevant legislation and are in line with international best practice.</p> <p>10.7 There is a clear organisational structure with clear roles and responsibilities and well defined levels of accountability across all functional areas of the institution.</p> <p>10.8 There is provision for regular review of the effectiveness of the implementation of the human resource recruitment, development and management policies of the institution.</p> <p>10.9 There is commitment to registration and accreditation of assessors and moderators with BQA.</p> <p>10.10 The proposed teaching staff is qualified at a minimum, at least one level higher than they would be teaching.</p>	<p>Applicable</p>	
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	<p>10.11 The proposed administrative staff is relevant and appropriate to the size of the ETP.</p> <p>10.12 Staff to learner ratios are appropriate for the proposed programme.</p>		
<p>Criterion 11: Physical Resources</p>	<p>11.1 There is a clear policy on planning for, procurement, utilisation and maintenance of physical resources which is in line with international best practice principles.</p> <p>11.2 There is evidence of adequate financial provision for the acquisition and maintenance of resources required for the proposed scope of accreditation and co-curricular activities.</p> <p>11.3 The proposed library facilities meet the library standards as per the BQA Norms and Standards.</p> <p>11.4 The planned staff and learner amenities are consistent with proposed learner enrolment and staff numbers and that their composition is fair in terms of gender and special needs.</p> <p>11.5 The institution has appropriate structures and mechanisms, with clarity of roles and responsibilities as well as levels of accountability, for coordination and monitoring of resource utilisation across all units, departments or functional areas of the ETP.</p> <p>11.6 There is evidence of or policy provision for inclusive practice regarding availability and access to facilities and resources to cater for learners and staff with special needs.</p> <p>11.7 There is monitoring and evaluation system to establish the effectiveness of the maintenance provision.</p> <p>11.8 Buildings or premises, if any, meet building, health and safety regulations set by the appropriate Local Authority.</p> <p>11.9 Certified copies of land or property ownership certificates or certified or true copy of any land/property lease or title deed.</p>		



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<p>Criterion 12: Safety, Health and the Environment</p>	<p>12.1 There is a safety, health and the environment policy that is consistent with relevant legislation and regulatory requirements.</p> <p>12.2 There is a structure for coordinating the implementation of the policy on safety, health and the environment.</p> <p>12.3 There is provision for adherence to legislative requirements related to medical examination requirement for kitchen staff and general environmental hygiene including handling and disposal of waste.</p> <p>12.4 The institution has clear evacuation procedures to be displayed in strategic areas for all to see.</p> <p>12.5 There is provision for signage within the institution including location of emergency exit and assembly point.</p> <p>12.6 There is adequate firefighting equipment, in good working condition and placed strategically within the ETP and opportunity to train personnel on first-aid.</p> <p>12.7 There is provision for internal and external health and safety inspection.</p> <p>12.8 The ETP has provision for processes for identification of defects or potential hazards and for prompt mitigation action to ensure consistent compliance with institutional policy and relevant legislation.</p>		
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<p>CRITERION 13: Admissions, Access and Equity</p>	<p>13.1 There is a policy on admission and enrolment of learners which ensures that there are no barriers for prospective learners in their admission regarding disability, disadvantaged backgrounds, gender, ethnic, racial, or religious groups etc.</p> <p>13.2 There is written information on total course costs and other financial commitments to the learner prior to enrolment.</p> <p>13.3 There is information on details of course structure, and duration, and level and credit value.</p> <p>13.4 There is provision to ensure equity through fair and appropriate allocation of resources.</p>	<p>Applicable</p>	
<p>CRITERION 14: Protection of Enrolled Learners</p>	<p>14.1 There are arrangements provided by the ETP on protection of enrolled learners which must be in accordance with BQA protection of enrolled learners policy. These would apply where;</p> <ul style="list-style-type: none"> • a learner withdraws from the learning programme. • an ETP voluntarily ceases to operate; • an ETP voluntarily ceases to offer an accredited learning programme; • an ETP is forced to close down due natural disasters; or • an ETP is forced to close down by the Authority. <p>14.2 There is information on how these arrangements will be made accessible to prospective learners prior to enrolling them or accepting payment.</p>	<p>Applicable</p>	



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<p>CRITERION 15: Learning Programme Development and Delivery</p>	<p>15.1 The applicant shall ensure that there is a policy on learning</p> <p>15.2 programme development and delivery There is a policy and guidelines on curriculum or learning programme design, development, delivery and monitoring.</p> <p>15.3 learning programme development and approval structures</p> <p>15.4 mode of delivery is consistent with the stated aims, goals and objectives of the ETP</p> <p>15.5 collaboration and partnership for purposes of benchmarking to promote comparability and articulation of learning programmes</p> <p>15.6 provision of academic support, inclusive of the use of technologies</p> <p>15.7 provision for promoting application of knowledge and skills and relevant learning experiences including; work-based and work-place learning, internship, study tours and other learning opportunities</p> <p>15.8 system for establishing the effectiveness or impact of academic support services .</p>	<p>Applicable</p>	
<p>CRITERION 16: Learning Programme Review and Evaluation</p>	<p>16.1 There is a clear policy, system and procedures for learning programme review and evaluation.</p> <p>16.2 There is clarity of roles and responsibilities and levels of accountabilities of stakeholders in learning programme review and evaluation.</p> <p>16.3 There is provision for involvement of learners, graduates and other key stakeholders in the review and evaluation of learning programmes.</p> <p>16.4 The frequency of learning programmes review and evaluation is consistent with the policies of the institution and is in line with international best practice.</p> <p>16.5 The review process, as reflected by the documents submitted, will cover inputs, processes and outputs</p>	<p>Applicable</p>	



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<p>CRITERION 17: Work-Placement / Internship</p>	<p>17.1 show how quality standards, policies, and procedures will continue to apply at the place of the learners' work experience</p> <p>17.2 ensure clarity of roles and responsibilities of key players (workplace supervisors and mentors, academic staff, learners, etc.), health and safety issues and regular monitoring</p> <p>17.3 show how assessment and moderation are integrated into the workplace learning experience;</p> <p>17.4 have a provision for a documented risk management plan for work placement</p> <p>17.5 provide a contract template for an agreement between the learner and work place stipulating identified procedures and expected outcomes of the placement.</p>	<p>Applicable</p>	
<p>CRITERION 18: Assessment and Moderation</p>	<p>18.1 There is a policy on assessment and moderation which provides adequately for the implementation of outcomes-based assessment system.</p>	<p>Applicable</p>	
<p>CRITERION 19: Learner Support Services</p>	<p>19.1 There is a structure for coordinating provision of student welfare services.</p> <p>19.2 The proposed welfare services include but not limited to career guidance, counselling, health and safety services and other amenities.</p> <p>19.3 There are rules, regulations and grievance procedures that promote harmony and instil good conduct, and respect the rights of individuals to complain and seek redress.</p> <p>19.4 There is clear documented processes for communication and consultation with learners on matters pertaining to provision of welfare services.</p> <p>19.5 The institution has mechanisms for evaluating the effectiveness of structures, processes and procedures for learner welfare, communication, and consultation.</p>	<p>Applicable</p>	



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	<p>19.6 Ensure that information on learning programmes and other educational services will be made accessible to stakeholders.</p> <p>19.7 There is a policy for the enrolment and care for international students, where applicable.</p>		
CRITERION 20: Research	<p>20.1 It has clear policies and regulations that include the role and nature of research conducted at the ETP and are effectively implemented and adequately resourced.</p> <p>20.2 It has policies on ethical standards, and clear procedures for obtaining ethical approval for research, and for dealing with allegations of unacceptable research practice.</p> <p>20.3 There is managerial arrangements for the normal supervision and management of research conduct.</p> <p>20.4 It has mechanisms for the quality assurance of research which includes clear criteria for the evaluation and approval of research proposals and establishment of research programs.</p> <p>20.5 It has research information system to capture information on research capacity, funding and output.</p> <p>20.6 It has strategies for implementation for the support and development of research including capacity development for new researchers and new opportunities and incentive for research.</p> <p>20.7 There is provision for research geared towards improvement of practice and/or supporting the socio-economic development initiatives of the country.</p> <p>20.8 There is provision for monitoring and evaluation of the research function and its impact on the operations of the institution and /or socio-economic development of the country or for establishing how the research output influences national, regional and international recognition of the institution.</p>	Applicable	



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<p>CRITERION 21: Internationalisation</p>	<p>21.1 The ETP has policies and procedures for:</p> <ul style="list-style-type: none"> • recruitment of international students; • development of international branch campuses; • students, staff and scholars exchange programs; • internationalisation of the curriculum; and • research and education partnerships between institutions regionally and internationally. <p>22.2 The ETP has mechanisms which allow it to assess and improve its internationalisation activities.</p>	<p>Applicable</p>	
<p>CRITERION 22: Corporate Social Responsibility</p>	<p>22.1 There is clear policy and procedures for the management of programmes and activities pertaining to social responsibility.</p> <p>22.2 The policy clearly defines the nature of projects and programmes to be considered and such are feasible and sustainable and have no potential for deflecting the institution's attention away from its core business or mission.</p> <p>22.3 It has adequate resources allocated to facilitate quality delivery in community engagement.</p> <p>22.4 There is provision for review of the effectiveness of corporate social responsibility and to inform initiatives for improvement.</p>	<p>Applicable</p>	



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For Official use by BQA

Application **checked by:** _____

Signature _____ Date: _____

Application **Complete**

Recommendation: **Referred to Accounts for payment**

Application **Incomplete**

Recommendation: **Return application to client**

Return application to client

Date sent: _____

Contact Person: _____

Time: _____ Phone/mobile: _____

Reference: _____

Physical address: _____

Mail address: _____

email Address: _____