HIGHER EDUCATION AUTHORITY

"Ensuring Quality in Higher Education"







2018 – 2021 STRATEGIC PLAN

HIGHER EDUCATION AUTHORITY

"Ensuring Quality in Higher Education"

Mukuba Pension House
Dedan Kimathi Road
P.O. Box 50795
Lusaka, Zambia

+260 211 227 084 / +260 950 470 444
info@hea.org.zm / **www.hea.org.zm**

Join the conversation **@HeaZambia** on

#HEAZambia #HigherEducationZambia

Chief Subeditor by
Birbal Boniface Musoba
birbal.musoba@hea.org.zm

Design and Layout by
Birbal Boniface Musoba

Printing by
Venture Connections Ltd

© 2019 Higher Education Authority.
All rights reserved.
Unauthorised duplication contravenes applicable laws.

HIGHER EDUCATION AUTHORITY

"Ensuring Quality in Higher Education"

2018 – 2021
STRATEGIC PLAN

Prepared in Collaboration with Management Development Division, Cabinet Office

TABLE OF CONTENTS

Abbreviations and Acronyms	2
Foreword	3
Acknowledgements	4
Executive Summary	5
Introduction	8
Background	8
Plan Coverage	10
Environmental Analysis	12
External Environmental Analysis	12
Institutional Capability Assessment	13
Strategic Direction	15
Vision	15
Strategic Themes and Strategic Results	15
Mission Statement	15
Core Values	15
Strategic Objectives, Intended Results, Measures, Targets and Strategies	16
Enabling Factors	21
Preconditions	21
Assumptions	21
Plan Implementation (Strategic Plan – Budget Linkage)	22
Monitoring and Evaluation	23
Structural Implications (Core Functional Structure)	24
Appendix I: Reporting Structure for the Authority	25
Appendix II: Core Teams	26
Appendix III: Terms of Reference for the Core Team	27
Appendix IV: HEA Clients and their Needs	28
Appendix V: HEA Stakeholders and their Interests	29
Appendix VI: Summary of HEA SWOT Analysis	30
Appendix VII: Balanced Score Card	32
Appendix VIII: Balanced Score Card Implementation Plan	34

ABBREVIATIONS AND ACRONYMS

7NDP	Seventh National Development Plan
COL	Commonwealth of Learning
EAQAN	East African Quality Assurance Network
HCD	Human Capital Development
HEA	Higher Education Authority
HEIs	Higher Education Institutions
HES	Higher Education Standards
IA	Institutional Capability Assessment
ICT	Information and Communication Technology
IDOE	Institutional Development and Operational Excellence
IT	Information Technology
KRAs	Key Result Areas
LPs	Learning Programmes
M&E	Monitoring and Evaluation
MDD	Management Development Division
MIS	Management Information Systems
MoF	Ministry of Finance
MoHE	Ministry of Higher Education
OD	Organisational Development
PESTEL	Political, Economic, Social, Technological, Environmental and Legal
PF	Patriotic Front
SAIDE	Southern African Institute of Distance Education
SAQAN	Southern African Quality Assurance Network
SWOT	Strengths, Weaknesses, Opportunities and Threats
TOR	Terms of Reference
UNESCO	United Nations Educational, Scientific and Cultural Organisation

FOREWORD



The Higher Education Authority (HEA) is a statutory body established by the Higher Education Act No. 4 of 2013. The mandate of the Authority is to regulate and monitor standards in Higher Education Institutions (HEIs) in order to ensure quality services and contribute to the enhancement of human capital and accelerated national development.

The Authority has developed this Strategic Plan to set out an operational framework to execute its mandate from 2018 to 2021. The Plan outlines the vision, mission, strategic objectives and key result areas. The Strategic Plan will enable the Authority to be practical and responsive to the dynamics in the environment, as well as, to build confidence and trust among its stakeholders in discharging its mandate.

In this regard, the Ministry of Higher Education (MoHE) expects HEA to effectively and efficiently promote standards of higher education in order to ensure knowledgeable, skilled and well-disposed internationally recognised graduates for enhanced human capital and accelerated national development. In carrying out its mandate, the Authority will also promote its shared values, namely, honesty, integrity, confidentiality, transparency, team work, courtesy, and commitment.

Through this Strategic Plan, Management, and the entire Staff of the Authority have made a commitment to building a "dynamic quality assurance body that promotes an internationally recognised Zambian higher education."

Professor Nkandu Luo, M.P.
Minister
MINISTRY OF HIGHER EDUCATION

ACKNOWLEDGEMENTS



The process of developing this Strategic Plan was consultative and comprehensive. It involved the consultation and participation of many stakeholders at different levels.

It is with this background that I wish to thank all those who contributed to the successful development of this Plan. In particular, I wish to pay tribute to the following for their significant contributions:

- The Management Development Division (MDD) of Cabinet Office for technical guidance and facilitating the development of the Plan;
- The Ministry of Higher Education (MoHE) for policy guidance and technical support;
- Management and Staff of HEA for their technical input; and,
- All the representatives of the various organisations who provided valuable information during the strategic planning process.

It is my hope that the implementation of this Plan will enable HEA successfully execute its mandate.

Professor Stephen Simukanga
Director General
HIGHER EDUCATION AUTHORITY

EXECUTIVE SUMMARY

The Higher Education Authority (HEA) is a statutory body established by the Higher Education Act No. 4 of 2013. The mandate of the Authority is to regulate and monitor standards in Higher Education Institutions (HEIs) in order to ensure quality services and contribute to the enhancement of human capital and accelerated national development.

The establishment of the Authority became imperative after the University of Zambia Act of 1965 was repealed in 1992 in order to allow for private sector participation in the provision of higher education services. Further, the University Act No. 26 of 1992 was repealed and replaced with the University Act No. 11 of 1999, which introduced affiliation of colleges to public universities. These lagislative changes led to the proliferation of private institutions that provided higher education. In addition, HEIs, in general, were not regulated and, thus, the quality of higher education was not assured.

In this regard, in 2013, the Government of the Republic of Zambia repealed the 1999 Act and replaced it with the Higher Education Act No. 4 of 2013, which provided for the establishment of HEA.

The functions of the Authority as provided for in Part II Section 6 (1) of the Act are outlined below:

1) Advise the Minister on any aspect of higher education;
2) Develop and recommend policy on higher education, including the establishment of public higher education institutions and the registration of private higher education institutions;
3) Establish a coordinated higher education system which promotes corporate governance and provides for a programme based higher education;
4) Regulate higher education institutions and coordinate the development of higher education;
5) Promote quality assurance in higher education;
6) Audit the quality assurance mechanisms of higher education;
7) Restructure and transform higher education institutions and programmes to be responsive to the human resource, economic and development needs of the Republic;
8) Promote the access of students to higher education institutions;
9) Design and recommend an institutional quality assurance system for higher education institutions, and recommend to the Minister institutional quality assurance standards for:
    a) The establishment, standardisation and registration of higher education institutions, including standards of plant and equipment;
    b) The preparation and amendment of statutes;
    c) The development of curricula;
    d) Libraries, laboratories, workshops and other facilities; and,
    e) Student transfers between academic programmes among higher education institutions;
10) Advise the Minister on the funding arrangements for public higher education institutions;
11) Advise the Minister on staff development for higher education;
12) Promote equity in access to higher education through the provision of student assistance programmes; and,
13) Promote international cooperation and facilitate exchange through the provision of student assistance research and teaching.

In addition to the aforementioned functions, Statutory Instrument No. 25 of 2016 was issued to provide for the Accreditation of Learning Programmes (LPs) function.

Institutional Capability Assessment

In developing the 2018 to 2021 Strategic Plan, the Authority undertook a Management Audit to determine its current status. The Audit revealed that HEA had systems to manage staff, finances, procurement and its fleet of vehicles. It further

revealed that staff exhibited shared values of commitment and hard work.

In terms of staff strength, the Audit revealed that the Authority operated at 38% for both Permanent and Pensionable, as well as, Contractual Staff, and, therefore, that there was need to fill all vacancies in order to ensure efficiency and effectiveness.

The inflow of finances showed an upward trend from 2015 to 2016, from 30% to 69% funding against the budget allocation. Further, an inventory of movable and fixed assets and office furniture and equipment was adequate and in good condition to support the current Staff compliment in the execution of the Authority's mandate. However, there was need to develop a mechanism for maintaining the assets.

The Audit further revealed that the Authority was facing some challenges in the execution of its mandate. Therefore, the 2018 to 2021 Strategic Plan includes strategies that address the following challenges faced by the Authority:

1) Low staffing levels;
2) Inadequate legal framework;
3) Inadequate structure; and,
4) Poor visibility.

Further, the following suggestions for improvement were given:

1) Review the Higher Education Act;
2) Procure a Management Information System (MIS);
3) Enhance collaboration with professional bodies and other relevant organisations within and outside the country in evaluation of LPs;
4) Introduce annual renewal of registration of HEIs; and,
5) Conduct accreditation simultaneously with registration of Private HEIs.

An analysis of the Strengths, Weaknesses, Opportunities and Threats (SWOT) HEA was also carried out. The strengths identified included qualified and committed Management and Staff to participate in the Strategic Plan development, structure review, training, and the existence of some of the required Systems. These, amongst others, will be enhanced in order to optimise institutional performance.

Furthermore, the opportunities available to the Authority included sections in the 2016-2021 manifesto of the ruling Party, the Patriotic Front (PF), which talked about commitment to capacitate the Authority under Chapter One: Education Development, Section (h) Priorities for University Education, technical support from stakeholders such as Management Development Division (MDD), and training institutions for tailor-made capacity building programmes.



Participants of the Strategic Planning Workshop which was held from 3rd - 13th December, 2017, and facilitated by Management Development Division, Cabinet Office, during which the Strategic Plan was drafted.

In the picture, **(L-R)** Mr. Birbal Boniface Musoba, Information, Education and Communication (IEC) Officer; Mr. Ronald Chulu, Manager Finance and Administration; Professor Stephen Simukanga, Director General; and, Dr. Vitalicy Chifwepa, Director - Registration and Accreditation.

Strategic Direction

The Authority's strategic direction for the period 2018 - 2021 is set out the this Strategic Plan under the following Vision, Mission and Values.

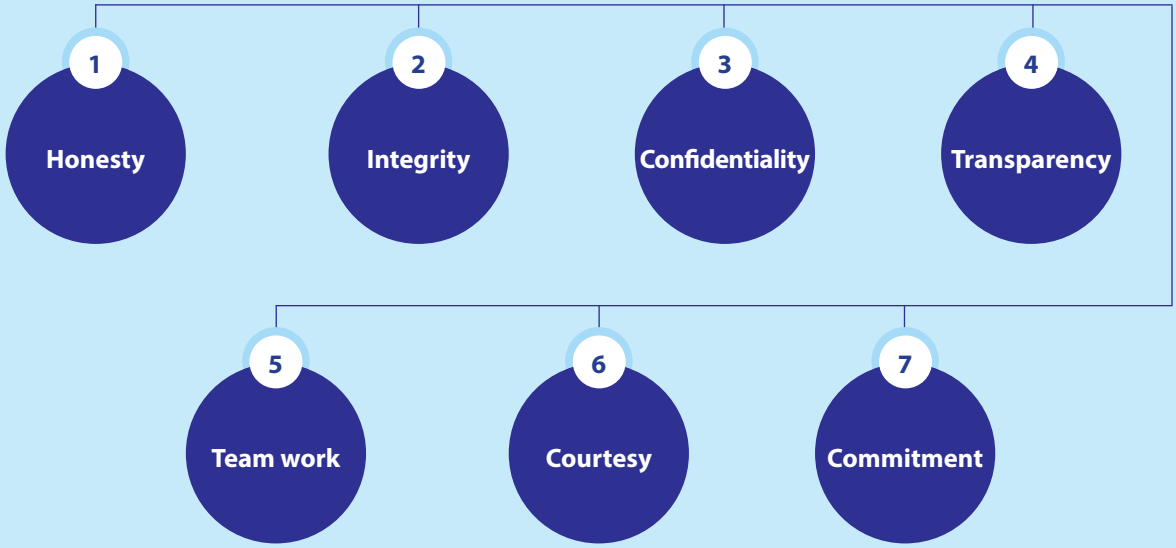
Vision: *"A dynamic quality assurance body promoting internationally recognised Zambian higher education."*

Through this vision, the Authority will strive to promote standards of higher education in order to ensure knowledgeable, skilled and well-disposed internationally recognised graduates for enhanced human capital and accelerated national development. To realise its vision, the Authority has identified three (3) areas of focus and their related strategic results as follows:

1) Institutional Development and Operational Excellence (ID&OA) resulting into Quality Service;
2) Human Capital Development (HCD) resulting into a Positive Image; and,
3) Higher Education Standards (HES) resulting into Satisfied Clients.

MISSION: *"To promote standards of higher education in order to ensure knowledgeable, skilled and well-disposed internationally recognised graduates for enhanced human capital and accelerated national development."*

Values



This Plan will be implemented within the existing policy, regulatory and institutional frameworks of higher education in Zambia. The Authority commits to pursuing the strategic objectives with associated intended results, measures, targets and strategies (initiatives). In order to operationalise the Strategic Plan, a four (4) year Implementation (Operational) Plan has been developed and broken down into annual Departmental and Individual work plans, and costed accordingly. Further, in order to facilitate successful implementation of this Plan, M&E will be undertaken and necessary interventions made to ensure good performance.

INTRODUCTION

Background

Statutory Mandate

The Higher Education Authority (HEA) is a statutory body established by the Higher Education Act No. 4 of 2013. The mandate of the Authority is to regulate and monitor standards in Higher Education Institutions (HEIs) in order to ensure quality services and contribute to the enhancement of human capital and accelerated national development.

Specific Functions

The Higher Education Act No. 4 of 2013 Part II Section 6 (1) outlines the specific functions of HEA as follows:

1) Advise the Minister on any aspect of higher education;
2) Develop and recommend policy on higher education, including the establishment of public higher education institutions and the registration of private higher education institutions;
3) Establish a coordinated higher education system which promotes corporate governance and provides for a programme based higher education;
4) Regulate higher education institutions and coordinate the development of higher education;
5) Promote quality assurance in higher education;
6) Audit the quality assurance mechanisms of higher education;
7) Restructure and transform higher education institutions and programmes to be responsive to the human resource, economic and development needs of the Republic;
8) Promote the access of students to higher education institutions;
9) Design and recommend an institutional quality assurance system for higher education institutions, and recommend to the Minister institutional quality assurance standards for:
    a) The establishment, standardisation and registration of higher education institutions, including standards of plant and equipment;
    b) The preparation and amendment of statutes;
    c) The development of curricula;
    d) Libraries, laboratories, workshops and other facilities; and,
    e) Student transfers between academic programmes among higher education institutions;
10) Advise the Minister on the funding arrangements for public higher education institutions;
11) Advise the Minister on staff development for higher education;
12) Promote equity in access to higher education through the provision of student assistance programmes; and
13) Promote international cooperation and facilitate exchange through the provision of student assistance research and teaching.

In addition to the aforementioned functions, Statutory Instrument No. 26 of 2016 was issued to provide for the Accreditation of LPs function.

Management and Operational Structure

The Authority is answerable to the Ministry of Higher Education (MoHE) the Board of the Authority which provides policy direction to the Authority. The day to day operations of the Authority are managed by a team of three (3) Directors headed by the Director General. The Directorates are Registration and Accreditation, Finance and Administration, and Corporate Affairs.

Refer to **Appendix I** for the Management and Operational Structure.

Strategic Operational Linkages

In carrying out its functions, HEA collaborates with various stakeholders, which include, the Zambia Qualifications Authority (ZAQA), Teaching Council of Zambia (TCZ), Health Professions Council of Zambia (HPCZ), General Nursing Council of Zambia (GNC), Engineering Institution of Zambia (EIZ), Zambia Institute of Advanced Legal Education

(ZIALE), Examination Council of Zambia (EIZ), Patent and Company Registration Agency (PACRA), professional bodies, and other government institutions.

The main areas of collaboration include registration of HEIs, accreditation of LPs, and auditing of HEIs.

The Authority also collaborates with international organisations and cooperating partners. These include the United Nations Educational, Scientific and Cultural Organisation (UNESCO), Commonwealth of Learning (COL), Southern African Institute of Distance Education (SAIDE), Southern African Quality Assurance Network (SAQAN), and East African Quality Assurance Network (EAQAN).

Rationale and Methodology for Developing the 2018 – 2021 Strategic Plan

The development of the 2018 – 2021 Strategic Plan was necessitated by the need to establish key priorities relating to the mandate of HEA as stated in the Higher Education Act No. 4 of 2013, the Seventh National Development Plan (7NDP) and the Manifesto of the ruling party the Patriotic Front (PF).

The 7NDP under Pillar 4, "Enhancing Human Development", Development Outcome Number 2: Improved Education and Skills Development, outlines the following strategies that have informed the Authority's Strategic Plan:

a) Enhance access to quality, equitable and inclusive education;

b) Enhance private sector participation;

c) Continuous review of curriculum; and,

d) Enhance role of science, technology and innovation.

These strategies are part of the Authority's mandate. Further, some programmes in Strategies 3 and 4 clearly indicate that they hinge on the Authority's mandate, including the following:

a) Private sector education participation promotion;

b) Curriculum assessment and evaluation enhancement;

c) Standards monitoring enhancement; and,

d) Curriculum framework standardisation.

A Core Team of 5 members of Staff representing all the Departments and Units of the Authority was constituted to spearhead the development of the 2018 – 2021 Strategic Plan. A consulting team consisting of 3 members from MDD, Cabinet Office, provided technical support. The list of members of the Core Team and their Terms of Reference are attached as **Appendix II and III,** respectively**.**

A two-pronged approach constituting of the Institutional Capability Assessment (IA) on one hand and Organisational Development (OD) on the other, was adopted. The IA involved assessing the performance of the Authority through engagement of various stakeholders and conducting an internal capability assessment of the Authority, as well as, analysing the macro-environment using various tools, such as, the McKinsey 7S model, Lewin's Simple Change Management Model, and Objective and Problem Trees. The Strengths, Weaknesses, Opportunities and Threats (SWOT) and Political, Economic, Social, Technological, Environmental and Legal (PESTEL) Analyses were also used.

The information collected facilitated the determination of the strategic direction for HEA for the next 4 years in terms of the Strategic Themes, Vision, Strategic Results, Mission, Strategic Objectives, Intended Results, Measures, Targets and Strategies, as well as, core functions using an integrated IA/OD – Balanced Scored Card Strategic Planning process.

Plan Coverage

The rest of the 2018 – 2021 HEA Plan is laid out as follows:

a) Environmental Analysis

This Section analyses both the external and internal environments within which HEA has been operating in the last 3 years, and an outlook for the next 4 years. Under the external analysis, the key political, economic, social, technological, and legal developments are identified and their associated opportunities and/or threats are highlighted together with optimisation and mitigating measures. In addition, the national priorities as highlighted in the 7NDP in general, and those relating to the mandate of HEA, are discussed. Further, under this section, the Authority's clients and stakeholders are analysed, highlighting their needs and interests/concerns.

Under internal analysis, the Authority's capabilities are analysed, revealing strengths and weaknesses and their associated optimisation and/or mitigating measures.

From the analyses, key issues, which if not addressed, could lead to the Authority failing to effectively execute its mandate and contribute to the development outcomes, missing a great opportunity, and/or losing public confidence or revenue are identified.

The analysis of both external and internal environments, including review of the 7NDP, provided the policy context for determining the strategic direction of the Authority for the next 4 years in terms of vision, strategic themes, mission, strategic results, strategic objectives, intended results, targets and strategies or initiatives.

b) Vision

The Section provides a vision statement, describing the Authority's desired future successful state of being, taking into account the Authority's internal capability deficiencies, clients' needs and stakeholders' interests and concerns expressed.

c) Strategic Themes

This Section describes the key result areas (KRAs) where the Authority must perform if it is to survive, prosper and be effective in the execution of its mandate.

d) Mission

This Section describes the Authority's fundamental purpose for its continued existence for the next four 4 years. It underscores the underlying philosophy and core business of the Authority.

e) Strategic Results

The Section describes the desired outcomes in relation to the strategic themes and taking into account the mission and vision of the Authority, thereby, highlighting the Authority's priorities to be pursued in the next four years.

f) Strategic Objectives

This Section identifies continuous improvements to be made to accomplish the strategic results, the mission and, ultimately, the vision, taking into account the 4 perspectives, namely, organisation capacity, internal processes, financial/stewardship and customer/stakeholder satisfaction.

g) Intended Results

Under this Section, milestones or short to medium term targets or outputs are presented, demonstrating progress being made towards achieving the strategic objectives and ultimately, the strategic results.



h) Core Values

This Section provides a value statement for the Authority, describing the core values or beliefs, norms that will govern the behaviour and conduct of staff in the performance of their duties, thereby, forming part of the Authority's positive organisational work culture in order to live up to the expectations of its clients and stakeholders.

i) Strategy Maps

This Section provides a visual/graphical representation of the value chain created or the logical cause and effect between and/or among the various strategic objectives across the 4 perspectives.

j) Measures

This Section describes the units to be used to measure the achievement of the intended results and, ultimately, the strategic results. The units are in terms of percentages (%), number, time, standard, index and/or ratio.

k) Strategies

The Section identifies the most feasible courses of action to achieve the intended results and, ultimately, the strategic results, taking into account available resources, the philosophy of the Authority, and the views of the stakeholders.



In the picture, Professor Nkandu Luo, M.P., **(C)** Minister of Higher Education, looks on during a demonstration at Michael Sata Medical School in Ndola, Zambia.

l) Enabling Factors

This section presents Pre-conditions and Assumptions. Pre-conditions are critical success factors that need to be in place for effective implementation of the Strategic Plan. These factors include the inherent risks. Assumptions are also factors that are crucial to the successful implementation of the Strategic Plan but which are largely outside the control of the Authority.

m) Strategic Plan – Budget Linkage (Plan Implementation)

The successful implementation of the Strategic Plan depends to a large extent on how resources are planned, mobilised and allocated to the activities associated with the identified strategies to achieve the intended results, strategic results and strategic objectives. Accordingly, this Section provides general guidelines and underscores the importance of linking the Strategic Plan to the budgeting process to ensure that resources are made available for its implementation.

n) Monitoring and Evaluation Mechanism

Monitoring and Evaluation (M&E) is crucial to the successful implementation of the Strategic Plan and, ultimately, to the achievement of the set strategic results. This Section provides general guidelines and underscores the importance of an M&E mechanism or framework to the successful implementation of the Strategic Plan and the realisation of the desired impact.

o) Structural Implications of the Strategic Plan

This Section presents the inevitable structural changes arising from the Strategic Plan developed to address the key issues affecting the Authority and effectively contribute to the realisation of the country's development outcomes as espoused in 7NDP of creating a diversified and resilient economy for sustained growth and socio-economic transformation of the country without leaving anyone behind. The structural implications are in terms of the core functions or business of the Authority derived from the Strategic Plan.

ENVIRONMENTAL ANALYSIS

External Environmental Analysis

The external environmental analysis of HEA was conducted using the PESTEL model. The analysis revealed developments that had or may have an impact on the operations of the Authority as outlined below:

Developments

Technological

The advent of fibre-optic came with high speed internet access which increased platforms for interaction with clients and stakeholders through mobile devices and the internet. The Authority will optimise the developments by engaging the SMART Zambia Project over procurement and installation of ICT equipment in order to increase platforms of interaction with clients and stakeholders.

Opportunities

The following opportunities were identified:

a) Availability of Consultants

The Authority will take advantage of the availability of Management Consultants and IT specialists at Cabinet Office. In this vein, the Authority will engage Management Development Division (MDD) and SMART Zambia over the development of the new structure and procurement and installation of IT Systems, respectively. Further, the Authority will partner with ICT training providers in the development of ICT platforms.

In addition, the availability of consultants in labour, salary and benefits survey matters will enable the Authority to conduct a Salaries and Benefits Survey. The results of the survey will be utilised to improve conditions of service.

Furthermore, the availability of consultants in the development of a competency-based capacity building programmes will enable the Authority develop capacity in Quality Assurance Mechanisms. This will be achieved through the development of TORs for the consultancy in the development competency based capacity building programmes.

Lastly, the availability of consultants in culture remodelling programmes will enable the Authority introduce systems to inculcate shared values. This will be achieved through developing TORs and engage consultants to develop culture remodelling programmes.

b) Political Goodwill

The ruling PF party's Manifesto commits to capacity-build the Authority amongst its priority areas for development. The Authority, therefore, will engage MoHE for capacity building support in order to mitigate the challenge of inadequate skills, especially in the area of quality assurance.

c) Availability of off-the-shelf ICT packages

The availability of off-the-shelf ICT packages provides an opportunity for the Authority to develop and implement all requisite systems. In this regard, the Authority will develop specifications and procure off-the-shelf ICT packages.

Threats

a) Non-release of Budgeted Funds

The non-release of budgeted funds to the Authority will delay the review and development of the structure and the recruitment of Staff. As a mitigation measure, the Authority will engage MoHE and Ministry of Finance (MoF) for the timely release of funds.

b) High Cost of off-the-shelf ICT packages

The high cost of off-the-shell ICT packages will hinder the development and implementation requisite systems. This will be mitigated through the preparation of a budget that takes cost escalation into consideration.

c) Hacking of the MIS

The possibility of the MIS being hacked would pose a security threat and, consequently, jeopardise efforts to maintain confidentiality and the conduct of monitoring and evaluation. In order to mitigate this, the Authority will establish an Information Security System.



In the picture, Professor Nkandu Luo, M.P., **(C)** Minister of Higher Education, hands a qualification to a graduate at the Northern Technical College (Nortec) in Ndola, Zambia. Standing besides Professor Luo was NORTEC Principal, Mr. Victor Mulenga.

d) Non Approval of the Competitive Conditions of Service by the Board of the Authority and MoHE

The non-approval of the competitive conditions of service by the Board and MoHE would hinder the recruitment and retention of qualified Staff. This will be mitigated through the engagement of the Board of the Authority and MoHE over the approval of competitive conditions of service once they are developed.

e) High Cost of Engaging Consultants

The high cost of engaging consultants would hinder the development and implementation of the much required skills training and culture remodelling programmes, and the conduct of the labour, salary and benefits survey. The Authority will, therefore, lobby the MoHE for increased budgetary allocation.

Clients and Stakeholder Analysis

An analysis of the Authority's Clients' needs revealed that the major needs that HEA should be addressing to their full satisfaction are as follows:

a) Registration;

b) Accreditation of LPs;

c) Capacity Building;

d) Information on Registered HEIs;

e) Information on Accredited of LPs; and

f) Assurance of Good Standards in HEIs.

Furthermore, an analysis of the Stakeholders revealed that their major interest/concerns include the following:

a) Assurance that HEIs meet required standards;

b) Assurance that LPs meet Required Standards;

c) Collaboration in quality assurance of higher education; and,

d) Assurance that graduates meet required standards.

Refer to **Appendices IV** and **V** for a list of Clients and their Needs, as well as, Stakeholders and their Interests/Concerns, respectively.

Institutional Capability Assessment

An Institutional Capability Assessment (IA) was undertaken to identify the Authority's Strengths and Weaknesses.

a) Strengths

The following strengths were identified:

(i) Availability of an approved establishment

The availability of an approved establishment with vacant positions will enable the Authority to immediately recruit qualified Staff and, thereby, increase capacity to execute

its mandate. This will be preceded by the constitution of a Staff recruitment committee that will facilitate the recruitment exercise.

(ii) Availability of the Current Structure

The current structure provides a starting point for the development of an optimal structure. Therefore, the Authority will review the current structure to align it to the Strategic Plan.

(iii) Existence of Systems

The existing Systems will provide the basis for developing and implementing an integrated MIS. The Authority will, therefore, develop and implement an MIS in the early stages of the implementation of this Strategic Plan.

(iv) Dedicated Management and Staff

The availability of committed Management and Staff will ease the development and implementation of all requisite Systems. As an optimisation measure, the Authority will build capacity in its Staff to enable them develop requisite Systems.

Furthermore, the Authority will develop and implement a skills training programme in order to ensure that all Management and Staff are trained.

In addition, the Authority will make a deliberate effort to inculcate shared values in Management and Staff by sensitising and engaging them in the development of the Code of Ethics.

b) Weaknesses

The IA further identified a number of weaknesses that needed to be mitigated in order to improve institutional performance. The following weaknesses were identified:

(i) Inadequate Staff

The Authority had inadequate Staff to undertake training in requisite skills, facilitate the review and development of a new structure and conduct a salaries and benefits survey. Furthermore, there were no Staff to manage the provision of IT services, despite there being a provision in the structure.

As a mitigation measure, the Authority will prioritise filling all vacant positions in the IT Unit. Furthermore, the Authority will fill all other vacant positions with qualified Staff before embarking on the review and development of the new structure. In addition. The Authority will conduct training in requisite skills.

(ii) Lack of documented shared values

The Authority did not have documented shared values and this made it difficult to inculcate them in the Staff. The Authority will, therefore, document and disseminate the requisite values.

(iii) Uncompetitive conditions of service

The Authority had been unable to recruit and retain Staff due to uncompetitive conditions of service. This compounded the challenge of inadequate Staff. The Authority, therefore, will develop TORs and engage external consultants to carry out a salaries and benefits survey in order to improve the conditions of service.

Refer to **Appendix VI** for a summary of SWOT Analysis.

STRATEGIC DIRECTION

Having analysed the internal and external environment within which HEA was operating, the Authority has set out an operational framework to execute its mandate from 2018 to 2021.

Vision

The Authority envisions:

*"**A dynamic quality assurance body promoting internationally recognised Zambian higher education**."*

Through this vision, the Authority will strive to be practical and responsive to the dynamics in the environment, as well as, build confidence and trust among its stakeholders in discharging its mandate.

Strategic Themes and Strategic Results

To realise its vision, the Authority has identified 3 areas of focus and their related strategic results as follows:

a) **Institutional Development and Operational Excellence (IDOE)** resulting into quality service;

b) **Human Capital Development (HCD)** resulting into satisfied clients; and

c) **Higher Education Standards (HES)** resulting into internationally recognised graduates.

Institutional Development and Operational Excellence (IDOE)

The Authority commits itself to institutional development and operational excellence, which entails addressing challenges such as inadequate structure, inappropriate structure, inadequate systems, inadequate equipment, inadequate logistical support, and the backlog of accreditation of LPs. This will be achieved by improving operational capacity, enhancing management systems, improving financial management systems, increasing financial base, improving service delivery, and enhancing stakeholder support. This will in turn result into quality service.

Human Capital Development (HCD)

The Authority commits itself to develop human capital that will meet the requirements of its mandate. This entails addressing the inadequacy of Staff, conditions of service, developing skills and inculcating shared values. This will be achieved by increasing human capital, enhancing management systems and maintaining a sustainable financial base. Focusing on these areas will lead to client satisfaction.

Higher Education Standards

The Authority commits itself to promoting standards of higher education. This entails addressing the current legislative challenges. In this vein, the Authority will recommend amendments of the Higher Education Act No. 4 of 2013 to incorporate clauses on accreditation of LPs and a provision for annual renewal of registration, as well as, transitional registration through university colleges. This will result into internationally recognised graduates.

Mission Statement

To realise the vision and achieve the strategic results the Authority commits itself to the mission stated below:

"To promote standards of higher education in order to ensure knowledgeable, skilled and well-disposed internationally recognised graduates for enhanced human capital and accelerated national development"

Through this mission, the Authority shall endeavour to proactively provide regulatory services in an efficient and effective manner.

Core Values

The operations of the Authority for the next 4 years will be anchored on seven (7) core values. The values are:

a) **Commitment:** We will be dedicated to duty.

b) **Confidentiality:** We will be trustworthy by not revealing or disclosing privileged information to unauthorised persons.

c) **Team work**: We shall cooperate with others and work to the best of our abilities, despite any personal conflict that may arise between individuals to foster unity of purpose.

d) **Courtesy**: We will be polite in our internal and external interactions.

e) **Honesty**: We will uphold trustworthiness in all our dealings.



Participants of the revamped Zambia National Broadcasting Corporation (ZNBC) TV series, Your Platform, pose for a picture with Director Registration and Accreditation, Dr. Vitalicy Chifwepa **(C)**, on 19th October 2018. The episode focused on Loans and Scholarships Repayment.

f) **Integrity**: We will put HEA's obligations above our personal interests and conduct ourselves in a manner that is beyond reproach.

g) **Transparency**: We will act visibly, predictably and understandably to promote participation and accountability.

Strategic Objectives, Intended Results, Measures, Targets and Strategies

In the next 4 years, the Authority commits to pursuing the following six (6) strategic objectives with associated intended results, measures, targets and strategies (initiatives):

Strategic Objective 1: Improve Service Delivery

The Authority commits itself to improving service delivery in its quest to attain positive image. This entails developing and implementing an audit plan for HEIs, an inspection plan for HEIs, stakeholder sensitisation programme, a communication strategy and stakeholder feedback mechanisms. These interventions will result into the production of internationally recognised graduates

Strategic Objective 2: Enhance Human Capital

The Authority commits itself to enhancing human capital. This entails developing and implementing a recruitment and placement programme, reviewing conditions of service, developing and implementing a training needs assessment, developing and implementing a training plan to increase Staff competencies, and developing and implementing a work culture remodelling programme. These interventions will result into having satisfied clients.

Strategic Objective 3: Improve Operational Capacity

The Authority commits itself to improving operational capacity. This entails reviewing, developing and implementing an organisation structure that is aligned to the strategic plan, developing and implementing performance management systems, procurement plan and a recruitment and placement programme, and developing an implementation plan. These interventions will result in quality service delivery.

Strategic Objective 4: Enhance Higher Education Legislative Framework

The Authority commits itself to engaging MoHE in order to enhance the Higher Education Legislative Framework. This entails engaging MoHE over the review of the Higher Education Act No 4 of 2013 and Statutory Instrument No 25 of 2016. Further, the Authority will develop and implement capacity building programmes for HEIs. These interventions will result into the production of internationally recognised graduates.

Strategic Objective 5: Enhance Management and Technical Systems

The Authority commits itself to enhancing management and technical systems. This entails developing and implementing all requisite systems and an integrated MIS, developing, reviewing and implementing efficient technical systems, collaborating with strategic partners, engaging programme evaluators, as well as, developing and

implementing M&E mechanisms. These interventions will result in quality service delivery.

Strategic Objective 6: Increase financial base

The Authority commits itself to increasing its financial base. This entails developing and implementing a Resource Mobilisation Strategy. This will result in quality service delivery.

For a more detailed log frame refer to **Tables 1**and **2** below.

Table 1: Strategic Themes, Strategic Results and Strategic Objectives

	Strategic Themes	Strategic Results	Strategic Objectives
1	Higher Education Standards	Internationally Recognised Graduates	• Enhance Higher Education Legislative Framework • Improve Service Delivery
2.	Human Capital Development	Satisfied Clients	• Enhance Human Capital • Improve Service Delivery
3	Institutional Development and Operational Excellence	Quality Service	• Improve Operational Capacity • Enhance Management and Technical Systems • Increase Financial Base

Table 2: Strategic Themes, Strategic Results, Strategic Objectives, Intended Results, Measures, Key Performance Indicators and Strategies (Initiatives)

STRATEGIC THEME: Institutional Development and Operational Excellence **STRATEGIC RESULT:** Quality Service **STRATEGIC OBJECTIVE 3**: Improve Operational Capacity			
Intended Result	**Measures**	**Key Performance Indicators (KPIs)**	**STRATEGIES**
Productive workforce	% Staff performance rating	80% Staff performance rate annually	Review, develop and implement an organisation structure that is aligned to the strategic plan Develop and implement Performance Management Systems Develop and implement Procurement Plan Develop an Implementation Plan
STRATEGIC OBJECTIVE 6: Increase Financial Base			
Increased and consistent funding	% increase in share of budget from other sources % Budget Deficit	2.5% increase in share of budget from other sources annually Zero annual Budget Deficit	Develop and implement a Resource Mobilisation Strategy
STRATEGIC OBJECTIVE 5: Enhance Management and Technical Systems			
Increased efficiency and effectiveness Improved processing time Timely and quality decision making Reduced wastage of financial resources Increased accountability	% outputs against targets % Staff satisfaction % audit queries % activities within budget	100% outputs against targets annually 80% Staff satisfaction annually Zero audit queries annually 70% activities within set time and budget annually	Develop and implement all requisite systems Develop and implement an integrated Management Information System Develop and implement a M&E mechanism
Reduced backlog of unaccredited LPs	% reduction of backlog of unaccredited LPs	20% reduction of backlog of unaccredited LPs annually	Develop, review and implement efficient technical systems Collaborate with strategic partners Engage programme evaluators

STRATEGIC THEME: Higher Education Standards **STRATEGIC RESULT:** Internationally Recognised Graduates **STRATEGIC OBJECTIVE 4:** Enhance Higher Education Legislative Framework			
Intended Result	**Measures**	**Key Performance Indicators (KPIs)**	**STRATEGIES**
Increased compliance to higher education standards	% compliance to higher education standards	100% compliance to higher education standards annually	Engage MoHE over the review of the Higher Education Act No 4 of 2013 Develop and implement capacity building programmes for HEIs.
STRATEGIC OBJECTIVE 1: Improve Service Delivery			
Increased compliance by clients Satisfied stakeholders Reduced client complaints	% compliance by clients % positive feedback from stakeholder surveys % client complaints	100% compliance by clients annually 60% positive stakeholder feedback from annual surveys 70% client complaints reduction by 2021	Develop and implement an Audit Plan for HEIs Develop and implement an Inspection Plan for HEIs Develop and implement a Stakeholder Sensitisation Programme Develop and implement a Communication Strategy Develop and implement Stakeholder Feedback Mechanisms

STRATEGIC THEME: Human Capital Development **STRATEGIC RESULT:** Satisfied Clients **STRATEGIC OBJECTIVE 2:** Enhance Human Capital			
Intended Result	**Measures**	**Key Performance Indicators (KPIs)**	**STRATEGIES**
Optimal staffing levels	% Staff compliment	80% Staff compliment by 2019	Develop and implement a recruitment and placement programme
Increased retention of Staff	% Staff turnover	Zero annual Staff turnover	Review conditions of service
Increased competencies	% trained Staff	100% trained Staff against annual training plan	Develop and implement a Training Needs Assessment Develop and implement training plan to increase Staff competencies Develop and implement a work culture remodelling programme

Refer to **Appendix VII** for a Balanced Score Card for HEA.

ENABLING FACTORS

The successful implementation of this Strategic Plan is centred on the following preconditions and assumptions:

Preconditions

Preconditions are key factors to the successful implementation of the Strategic Plan that are within the control of HEA. These factors being within the control of HEA should be actualised to the fullest to realise its vision. The following are the preconditions:

a) The attainment of an optimal structure;

b) Availability of adequate, qualified, competent and motivated Staff;

c) Availability of adequate equipment and logistical support;

d) Availability of management systems;

e) Availability of inspirational leadership;

f) Availability of adequate internally generated funds;

g) Ownership of the Strategic Plan by Staff; and,

h) Prudent management of financial resources.

Assumptions

These are critical factors for successful implementation of the Plan but outside the control of HEA. It will be imperative for the Authority to constantly monitor these factors and put in place measures to mitigate the effects to effectively execute its mandate. The following are the assumptions:

a) Appointment of the Board of the Authority;

b) Availability of enabling legal and policy framework;

c) Stakeholder buy-in;

d) Government support;

e) Stable macroeconomic environment;

f) Availability of Programme Evaluators; and,

g) Adequate and fully funded Grant from Government.



HEA participated in the Public Service Day commemorations at EastPark Mall in Lusaka, Zambia, from 20th - 22nd June, 2018, under the theme **"Entrenching Citizen-Centered Service Delivery Culture: Partnering with the Youth for Africa's Transformation."**

In the picture, **(L-R)** Mr. Birbal Boniface Musoba, Information, Education and Communication (IEC) Officer; Mrs. Elizabeth N. Hamvumba, Registration and Accreditation Officer; Dr. Vitalicy Chifwepa, Director - Registration and Accreditation; Mr. Ronald Chulu, Manager - Finance and Administration; and, Mr. Christopher Imakando, Driver.

PLAN IMPLEMENTATION (STRATEGIC PLAN – BUDGET LINKAGE)

In order to operationalise the Strategic Plan, it will be translated into a 4 year Implementation (Operational) Plan, broken down into annual departmental and individual work plans, and costed accordingly. The Implementation Plan and annual plans will have realistic targets and schedules of activities taking into account the available resources.

The Director General will be responsible for the development and implementation of the plans, as well as, submission of progress reports to the Board of the Authority by December of each year for review and approval.

HEA's Balanced Score Card Implementation Plan for 2018 – 2021 Strategic Plan is shown in **Appendix VIII**.



HEA participated in 92nd Zambia Agriculture and Commercial Show, which was held from 1st - 6th August, 2018, with the theme, **"Sustainable Economic Empowerment."**

In the picture, **(L-R)** Mr. Birbal Boniface Musoba, Information, Education and Communication (IEC) Officer; Mrs. Betty Mwiinga Lungu, Registry Officer; Mrs. Patricia Bwalya, Assistant Accountant; Dr. Vitalicy Chifwepa, Director - Registration and Accreditation; Professor Stephen Simukanga, Director General; Mr. Ronald Chulu, Manager Finance and Administration; Mr. Julius Phiri, Driver; Mrs. Elizabeth N. Hamvumba, Registration and Accreditation Officer; and, Mrs. Getrude Mweetwa Mubika, Office Manager.

MONITORING AND EVALUATION

Monitoring and Evaluation (M&E) of the Strategic plan will be vital for effective implementation and ascertaining its impact. The M&E mechanism will be strengthened to track progress and evaluate its performance against set strategic results, strategic objectives, intended results and targets, as well as, institute corrective measures timely. A Performance Management System will be developed to monitor and evaluate the implementation of the Strategic Plan. The M&E will be done at individual and departmental levels.

At individual level, a Performance Appraisal System will be developed to monitor and evaluate the performance of Staff. With regard to departmental level, the M&E of the Implementation Plans will be done quarterly, while institutional M&E will be done biannually (internally) and annually (with stakeholders).

Accordingly, quarterly and annual progress reports on the implementation of the Plan will be coordinated by the Director – Registration and Accreditation. The Director will ensure that each Unit prepares reports and submits to Management and, ultimately, to the Board of the Authority for consideration. A mid-term evaluation will be undertaken in July, 2019 to assess the progress being made towards achieving set objectives. A terminal evaluation will then be conducted in 2021 to determine the full extent of Plan implementation and the overall impact, as well as, inform the preparation of the 2022 - 2026 Strategic Plan.



Participants of the client consultation workshop held in Lusaka on 13th November, 2017.

Participants included representatives from **Ambassador International University; University of Africa; Northrise University; Rusangu University; Lusaka Apex Medical University; ZCAS University; DMI.St Eugene University; Southern University; University of Zambia; Evangelical University; Cavendish University; Mulungushi University; University of Barotseland; Information and Communications University; Zambia Research and Development Centre; St Dominic's Seminary; Zambia Catholic University; Paglory University; Mansfield University; Hone FM Radio; Texila American University; Pamodzi University; and, Harvest Institute of Missions University.**

STRUCTURAL IMPLICATIONS (CORE FUNCTIONAL STRUCTURE)

The strategic planning process culminated into the development of an indicative core functional structure for the Authority, underscoring the key areas where results will be expected for the Authority to succeed in improving service delivery and meeting the clients' needs. The indicative core functional structure for the Authority was arrived at by grouping the following objectives:

a) Enhance Higher Education Legislative Framework;

b) Enhance Human Capital;

c) Enhance Management and Technical Systems;

d) Improve Operational Capacity;

e) Improve Service Delivery; and,

f) Increase Financial Base.

The objectives were grouped into specialised functional areas using the following criteria:

a) Similarity of objectives;

b) Uniqueness of the objectives;

c) Accountability for the objectives; and,

d) Coordination of the objectives.

The following were the identified core functions:

a) Management and Support (Objectives c & f), and

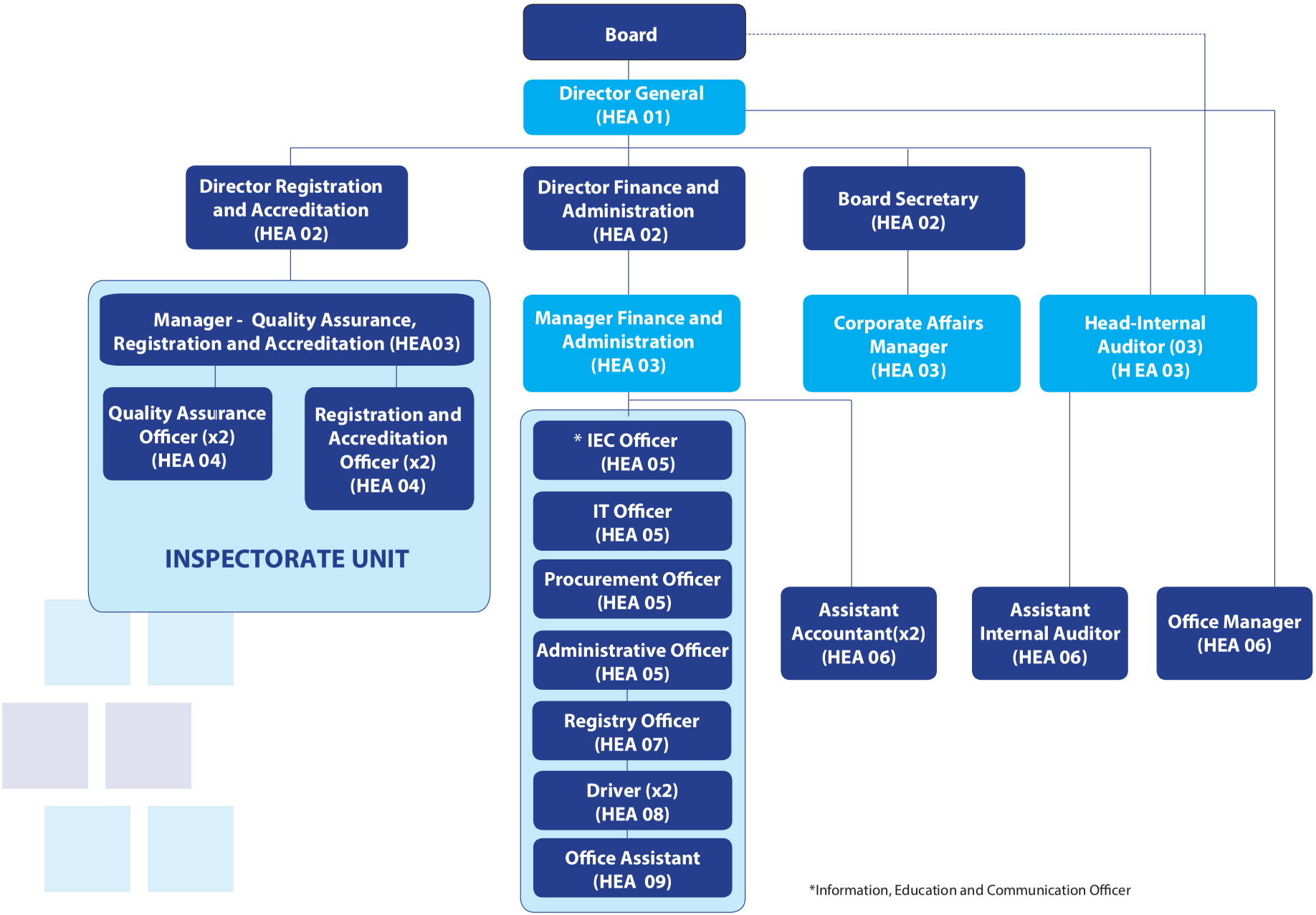
b) Quality Assurance (Objectives a, b, d & e).

For a pictorial presentation of the indicative Core Functional Structure, refer to **Figure 1** below.



Figure 1: Core Functional Structure for the Higher Education Authority

Appendix I: Reporting Structure for the Authority



*Information, Education and Communication Officer

Appendix II: Core Teams

Higher Education Authority (HEA)

Name	Designation
Dr. Vitalicy Chifwepa	Director – Registration and Accreditation
Mr. Ronald Chulu	Manager – Finance & Administration
Ms. Elizabeth Namonje	Quality Assurance Officer
Mr. Birbal Boniface Musoba	Information, Education and Communication (IEC) Officer
Mrs. Patricia Bwalya	Assistant Accountant

Management Development Division (MDD)

Name	Designation
Mr. Kashell Mwenya	Director – Strategic Planning
Mrs. Priscilla Musole-Mulenga	Specialist – Strategic Planning
Mr. Remmy Chibiya	Management Analyst

Appendix III: Terms of Reference for the Core Team

(a) Draw a work plan for coordinating and undertaking the Strategic Plan review and development activities and submit to the Director General for approval;

(b) Secure appointments, arrange and organise review meetings and field visits;

(c) Review all data collection tools and provide feedback;

(d) Undertake literature review;

(e) Liaise with Departments/Sections/Units to collect the required information;

(f) Verify and consolidate Management Audit submissions from Departments/Sections/Units into the Management Audit Guide and submit to the Director General for clearance;

(g) Provide comments on the Literature Review Report for submission to the Director General for clearance;

(h) Provide comments on the Clients and Stakeholders survey reports and for submission to the Director General for clearance;

(i) Provide comments on the Management Audit Report for submission to the Director General for clearance;

(j) Provide comments on the first draft of the 2018 – 2021 Strategic Plan and submit to the Director General for clearance and subsequent circulation to Clients and Stakeholders for comments; and,

(k) Provide comments on the final 2018 – 2021 Strategic Plan draft and submit to the Director General for clearance.

Appendix IV: HEA Clients and their Needs

	Cluster	Needs
1	HEIs	• Registration of private HEIs only • Accreditation of LPs for both public and private HEIs • Capacity Building in quality assurance for both public and private HEIs
2	Public (Parents / Guardians, Grade 12 School Leavers, and High School Students)	• Information on registered HEIs • Information on accredited LPs • Assurance of good standards in HEIs

Appendix V: HEA Stakeholders and their Interests

	Stakeholders	Interests
1	Professional Bodies	Assurance that LPs meet required standards
2	Regulatory Bodies	Collaboration in quality assurance of higher education
3	Employers	Assurance that graduates meet required standards

Appendix VI: Summary of HEA SWOT Analysis

Internal Factors			
Strength	**Optimisation Measure**	**Weakness**	**Mitigation Measure**
• Qualified Staff to participate in the Strategic Plan and structure review and development • Availability of the current structure	• Constitute a committee to develop a Strategic Plan and review the structure • Develop Strategic Plan • Review the current structure	• Inadequate Staff • Inexperienced Staff in the strategic planning and structure review	• Fill all vacant positions with qualified Staff • Engage external consultants on the Strategic Plan development and review of structure
• Qualified and committed Staff to participate in the Strategic Plan development and structure review	• Constitute a committee of Staff to develop a Strategic Plan • Develop Strategic Plan	• Inexperienced Staff in strategic planning	• Engage external consultants on Strategic Plan development
• Existence of some of the required Systems • Dedicated Staff • Committed Management	• Build capacity in Staff to facilitate the development of the Systems • Engage Management to prioritise the establishments of the Systems	• Lack of skilled Staff in IT	• Fill vacant position in IT • Outsource IT services • Expand the structure of the IT unit
• Availability of an approved establishment	• Constitute a Staff Recruitment Committee. • Fill all vacant positions in the approved establishment	• Uncompetitive conditions of service • Unavailability of Staff to conduct the salaries and benefits survey	• Engage independent external consultants to carry out a salaries and benefits survey to remove conflict of interest • Improve conditions of service
• Committed Management and Staff to be trained	• Develop and implement a competency based capacity building programme	• Inadequate Staff to conduct training in requisite skills	• Fill the vacant position of establishment • Train recruited Staff
• Committed Staff and Management	• Engage Management and Staff in the development of the Code of Ethics • Sensitise all Staff	• Lack of documented shared values • None availability of Strategic Plan	• Document shared values for HEA • Develop a Strategic Plan

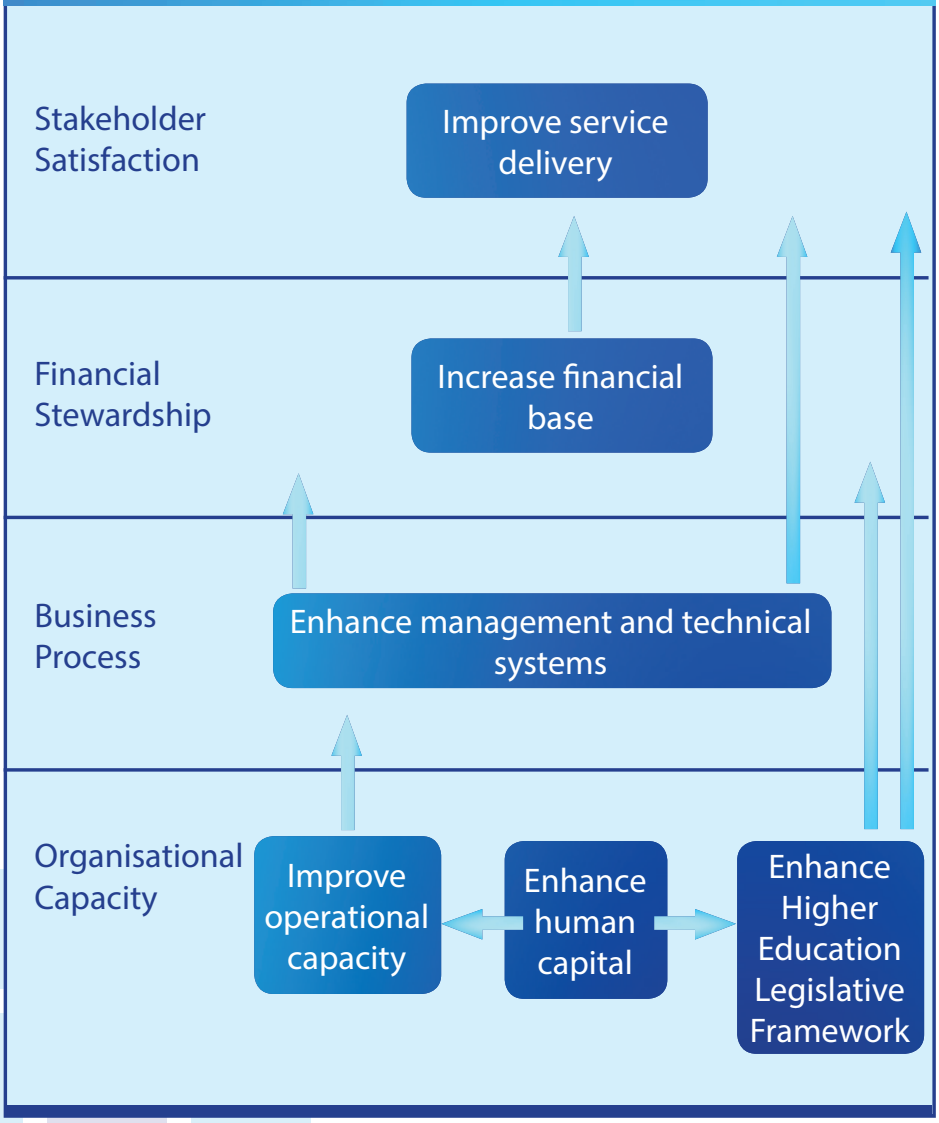
External Factors			
Opportunity	**Optimisation Measure**	**Threat**	**Mitigation Measure**
• Availability of Management Consultants at Cabinet Office	• Engage Cabinet Office for Management Consultancy Services	• Non release of budgeted funds for review and development of the structure • Non release of budgeted funds to recruit Staff • Changes in the Government policy pertaining to the structure and functions	• Engage the MoF for timely release of funds • Engage MoHE on the Policy direction
• Availability of SMART Zambia Institute • Availability of off-the-shelf ICT packages	• Engage SMART Zambia Institute • Establish specifications and develop TOR to procure off-the-shelf ICT packages	• High cost of off-the-shelf ICT packages • Hacking and disruption of the MIS	• Establish an Information Security System • Prepare a budget that includes cost escalation of the Authority
• Availability of consultants in labour, salary and benefits survey matters	• Engage consultants to offer services in labour, salary and benefits matters survey	• Non approval of the competitive conditions of service by the Board and MoHE	• Engage the Board and MoHE for approval of competitive conditions of service
• Availability of consultants in the development of a competency based capacity building programme • Availability of training institutions to implement competency based capacity building programme	• Develop clear TOR for consultancy in the development competency based capacity building programme • Engage training institutions to implement the competency based capacity building programme	• High cost of engaging consultants	• Lobby MoHE for increased budgetary allocation for skills training
• Availability of Management Consultancy to develop a culture remodelling programme	• Develop clear TOR to engage consultants to develop culture remodelling programme	• High cost of engaging consultants	• Lobby MoHE for increased budgetary allocation for the engagement of consultants

Appendix VII: Balanced Score Card

BALANCED SCORE CARD

VISION	A dynamic quality assurance body promoting internationally re	
MISSION	To promote standards of higher education in order to ensure k graduates for enhanced human capital and accelerated nationa	
Strategic Theme	Institutional development and operational excellence	Highe
Strategic Results	Quality Service	Internatior

STRATEGIC OBJECTIVES AND STRATEGY MAPS



Measures

- % staff performance rating
- % staff compliment
- % staff turnover
- % trained staff
- % compliance to higher education standards
- % outputs against targets
- % staff satisfaction
- % audit queries
- % activities within budget
- % compliance to higher education standards
- % reduction of backlog of unaccredited LPs
- % increase in share of budget from other sources
- % Budget Deficit
- % compliance by clients
- % positive feedback from stakeholder surveys
- % client complaints

CORE VALUES: Honesty | Integrity | Confidentiality |

D FOR HEA Appendix V

ecognised Zambian higher education

nowledgeable, skilled and well-disposed internationally recognised
al development

r Education Standards

Human capital development

nally Recognised Graduates

Satisfied Clients

Targets (KPIs)	Strategies
• 80% staff performance rate annually • 80% staff compliment by 2019 • Zero annual staff turnover • 100% trained staff against annual training plan • 100% compliance to higher education standards annually • 100% outputs against targets annually • 80% staff satisfaction annually • Zero audit queries annually • 70% activities within set time and budget annually • 100% compliance to higher education standards annually • 20% reduction of backlog of unaccredited LPs annually • 2.5% increase in share of budget from other sources annually • Zero annual Budget Deficit • 100% compliance by clients annually • 60% positive stakeholder feedback from annual surveys • 70% client complaints reduction by 2021	• Review, develop and implement an organisation structure that is aligned to the strategic plan • Develop and implement performance Management systems • Develop and implement procurement plan • Develop an implementation plan • Develop and implement a recruitment and placement programme • Review conditions of service • Develop and implement a Training Needs Assessment • Develop and implement training plan to increase staff competencies • Develop and implement a work culture remodelling programme • Engage MoHE over the review and amendment of the Higher Education Act No 4 of 2013 • Engage MoHE over the review of the Statutory Instrument No 25 of 2016 • Develop and implement capacity building programmes for HEIs • Develop and implement all requisite systems • Develop and implement an Integrated Management Information Systems • Develop and implement a monitoring and evaluation mechanism • Develop, review and implement efficient technical systems • Collaborate with strategic partners • Engage programme evaluators • Develop and implement a Resource Mobilisation Strategy • Develop and implement an Audit Plan for HEIs • Develop and implement an Inspection Plan for HEIs • Develop and implement a Stakeholder Sensitisation Programme • Develop and implement a Communication Strategy • Develop and implement Stakeholder Feedback Mechanisms

Transparency | Team work | Courtesy | Commitment

Appendix VIII: Balanced Score Card Implementation Plan

STRATEGIC THEME 3: INSTITUTIONAL DEVELOPMENT AND OPERATIONAL EXCELLENCE STRATEGIC RESULT: QUALITY SERVICE STRATEGIC OBJECTIVE 3: IMPROVE OPERATIONAL CAPACITY						
		TARGET				
STRATEGY	RESPONSIBLE DEPT	2018	2019	2020	2021	ESTIMATED TOTAL COST (K)
Review, develop and implement an organisation structure that is aligned to the strategic plan	CORPORATE SERVICES	Organisational structure reviewed and developed 15 officers recruited	Organisation structure operationalised 15 officers recruited	Strategic Plan and Organisational Structure Mid-term review conducted 100 % Staff compliment achieved	Strategic Plan and Organisational Structure reviewed and developed	1,800,000.00 55,032,936.04
Develop an Implementation plan	CORPORATE SERVICES	Implementation Plan developed	Implementation Plan reviewed	Implementation Plan Mid-term review conducted	Implementation Plan reviewed and developed	800,000.00
Develop and implement Performance Management Systems	CORPORATE SERVICES	Performance Management Systems (PMS) introduced and installed 24 Staff sensitised and oriented in PMS Departmental and Individual Work Plans developed APAS process for all Staff conducted	Departmental and Individual Work Plans reviewed and developed 15 Staff sensitised and oriented in PMS APAS process for all Staff conducted	Departmental and Individual Work Plans reviewed and developed APAS for all Staff conducted	Departmental and Individual Work Plans reviewed and developed APAS for all Staff conducted	2,000,000.00 1,000,000.00 600,000.00

		TARGET				
STRATEGY	**RESPONSIBLE DEPT**	**2018**	**2019**	**2020**	**2021**	**ESTIMATED TOTAL COST (K)**
Develop and implement Procurement Plan	PURCHASING AND SUPPLIES UNIT	Procurement Plan developed	Procurement Plan reviewed and developed	Procurement Plan reviewed and developed	Procurement Plan reviewed and developed	300,000.00
Develop and Implement Office Administration Plans	CORPORATE SERVICES	Office Administration Plans developed	Office Administration Plans reviewed and developed	Office Administration Plans reviewed and developed	Office Administration Plans reviewed and developed	25,000,000.00
STRATEGIC OBJECTIVE 5: ENHANCE MANAGEMENT AND TECHNICAL SYSTEMS						
Develop and implement an Integrated Management Information System	CORPORATE SERVICES	Integrated Management Information System (MIS) developed	Integrated Management Information System reviewed and upgraded	Integrated Management Information System reviewed and upgraded	Integrated Management Information System reviewed and upgraded	1,000,000.00
Develop and Implement monitoring and evaluation mechanism	QUALITY ASSURANCE	Monitoring and evaluation mechanism developed	Monitoring and evaluation mechanism reviewed and developed	Monitoring and evaluation mechanism reviewed and developed	Monitoring and evaluation mechanism reviewed and developed	450,000.00
Develop, review and implement efficient technical systems	QUALITY ASSURANCE	Technical Systems (MIS M&E, HRM, Procurement, Audit, Administration, Internal Quality Assurance, etc) developed	Technical Systems reviewed and developed	Technical Systems reviewed and developed	Technical Systems reviewed and developed	1, 800,000.00
Collaborate with strategic partners	QUALITY ASSURANCE	Partnerships with Regulatory and Quality Assurance Bodies and other strategic partners established	International Knowledge Sharing Conference held annually	International Knowledge Sharing Conference held annually	Partnerships with Regulatory and Quality Assurance bodies and other strategic partners reviewed	2,000,000.00
		Business to Business system developed	Business to Business system reviewed and developed	Business to Business system reviewed and developed	Business to Business system reviewed and developed	500,000.00

		TARGET				
STRATEGY	**RESPONSIBLE DEPT**	**2018**	**2019**	**2020**	**2021**	**ESTIMATED TOTAL COST (K)**
Develop and implement capacity building programmes for Higher Education Experts and Programme Evaluators	QUALITY ASSURANCE	Higher Education Experts and Programme Evaluators database developed	Higher Education Experts and Programme Evaluators database updated	Higher Education Experts and Programme Evaluators database updated	Higher Education Experts and Programme Evaluators database updated	200,000.00
		Higher Education Experts and Programme Evaluators engaged	Higher Education Experts and Programme Evaluators engaged	Higher Education Experts and Programme Evaluators engaged	Higher Education Experts and Programme Evaluators engaged	16,800,000.00
STRATEGIC OBJECTIVE 6: INCREASE FINANCIAL BASE						
Develop and Implement a Resource Mobilisation Strategy	CORPORATE SERVICES	Resource Mobilisation Strategy developed	Resource Mobilisation Strategy reviewed and developed	Resource Mobilisation Strategy reviewed and developed	Resource Mobilisation Strategy reviewed and developed	800,000.00
		Institutional budget prepared	Institutional budget reviewed and prepared	Institutional budget reviewed and prepared	Institutional budget reviewed and prepared	600,000.00
		Institutional Annual Report consolidated	Institutional Annual Report consolidated	Institutional Annual Report consolidated	Institutional Annual Report consolidated	1,000,000.00

STRATEGIC OBJECTIVE 1: IMPROVE SERVICE DELIVERY						
STRATEGY	**RESPONSIBLE DEPT**	**2018**	**2019**	**2020**	**2021**	**ESTIMATED TOTAL COST (K)**
Develop and implement a Communication Strategy	CORPORATE SERVICES	Communication Strategy developed and implemented	Communication Strategy reviewed and developed	Communication Strategy reviewed and developed	Communication Strategy reviewed and developed	400,000.00
		20 TV and Radio programmes developed and aired	20 TV and Radio programmes developed and aired	20 TV and Radio programmes developed and aired	20 TV and Radio programmes developed and aired	1,200,000.00
		4 provincial tours conducted	4 provincial tours conducted	4 provincial tours conducted	4 provincial tours conducted	800,000.00
		20 sensitisation seminar and workshop conducted	20 sensitisation seminar and workshop conducted	20 sensitisation seminar and workshop conducted	20 sensitisation seminar and workshop conducted	800,000.00
		Press briefings conducted quarterly	Press briefings conducted quarterly	Press briefings conducted quarterly	Press briefings conducted quarterly	400,000.00
		Periodical issued monthly	Periodical issued monthly	Periodical issued monthly	Periodical issued monthly	2,400,000.00
Develop and implement Stakeholder Feedback Mechanisms	CORPORATE SERVICES	Stakeholder Feedback Mechanisms developed and implemented	Stakeholder Feedback Mechanisms reviewed and developed	Stakeholder Feedback Mechanisms reviewed and developed	Stakeholder Feedback Mechanisms reviewed and developed	500,000.00

STRATEGIC THEME 1: HIGHER EDUCATION STANDARDS						
STRATEGIC RESULT: INTERNATIONALLY RECOGNISED GRADUATES						
STRATEGIC OBJECTIVE 1: IMPROVE SERVICE DELIVERY						
		TARGET				
STRATEGY	RESPONSIBLE DEPT	2018	2019	2020	2021	ESTIMATED TOTAL COST (K)
STRATEGIC OBJECTIVE 3: IMPROVE OPERATIONAL CAPACITY						
Enhance standards of Higher Education	QUALITY ASSURANCE	Registration, Audit and Accreditation Standards developed	Registration, Audit and Accreditation Standards reviewed and developed	Registration, Audit and Accreditation Standards reviewed and developed	Registration, Audit and Accreditation Standards reviewed and developed	1,000,000.00
		HEIs registered within 30 days	HEIs registered within 30 days	HEIs registered within 30 days	HEIs registered within 30 days	4,000,000.00
Enhance accreditation of LPs		60% of registered HEIs with 50 % of LPs accredited	70% of registered HEIs with 50 % of LPs accredited	80% of registered HEIs with 50 % of LPs accredited	100 % of registered HEIs with 50 % of LPs accredited	19,200,000.00

		TARGET				
STRATEGY	**RESPONSIBLE DEPT**	**2018**	**2019**	**2020**	**2021**	**ESTIMATED TOTAL COST (K)**
Develop and Implement an Inspection and Surveillance Plan for HEIs		Inspection and Surveillance Plan for HEIs developed and implemented	Inspection and Surveillance Plan for HEIs developed and implemented	Inspection and Surveillance Plan for HEIs developed and implemented	Inspection and Surveillance Plan for HEIs developed and implemented	8,000,000.00
		50 % of registered HEIs inspected	60 % of registered HEIs inspected	80 % of registered HEIs inspected	100 % of registered HEIs inspected	8,000,000.00
		Surveillance on unregistered HEIs conducted in 3 provinces	Surveillance on unregistered HEIs conducted in 4 provinces	Surveillance on unregistered HEIs conducted in 5 provinces	Surveillance on unregistered HEIs conducted in 6 provinces	8,000,000.00
Develop and Implement an Audit Plan for HEIs	QUALITY ASSURANCE	Audit Plan for HEIs developed and Implemented	Audit Plan for HEIs developed and Implemented	Audit Plan for HEIs developed and Implemented	Audit Plan for HEIs developed and Implemented	1,000,000.00
		65 % of registered HEIs audited	85 % of registered HEIs audited	90 % of registered HEIs audited	100 % of registered HEIs audited	10,000,000.00

		TARGET				
STRATEGY	**RESPONSIBLE DEPT**	**2018**	**2019**	**2020**	**2021**	**ESTIMATED TOTAL COST (K)**
Develop and implement a Stakeholder Sensitisation Programme	QUALITY ASSURANCE	Stakeholder Sensitisation Programme developed and implemented				200,000.00
		2 capacity building workshops for HEIs conducted	4 capacity building workshops for HEIs conducted	4 capacity building workshops for HEIs conducted	4 capacity building workshops for HEIs conducted	3,000,000.00
		2 public awareness programmes undertaken	4 public awareness programmes undertaken	4 public awareness programmes undertaken	4 public awareness programmes undertaken	3,000,000.00
STRATEGIC OBJECTIVE 4: ENHANCE HIGHER EDUCATION LEGISLATIVE FRAMEWORK						
Engage MoHE over the review of the Higher Education Act No. 4 of 2013	QUALITY ASSURANCE	Higher Education Act No. 4 of 2013 reviewed and recommendations developed	NIL	NIL	NIL	600,000.00
Develop and implement capacity building programmes for HEIs	QUALITY ASSURANCE	Capacity building programmes developed and implemented	Capacity building programmes developed and implemented	Capacity building programmes developed and implemented	Capacity building programmes developed and implemented	3,840,000.00

STRATEGIC THEME 2: HUMAN CAPITAL DEVELOPMENT STRATEGIC RESULT: SATISFIED CLIENTS STRATEGIC OBJECTIVE 2: ENHANCE HUMAN CAPITAL						
		TARGET				
STRATEGY	**RESPONSIBLE DEPT**	**2018**	**2019**	**2020**	**2021**	**ESTIMATED TOTAL COST (K)**
Review Conditions of Service	CORPORATE SERVICES	Terms and Conditions of Service reviewed	NIL	NIL	Terms and Conditions of Service reviewed	300,000.00
Develop and implement Training Plan	CORPORATE SERVICES	Training Plan developed and implemented Induction/ Orientation training conducted for 24 Officers 10 Officers trained in Registration, Auditing, Inspection and Accreditation	Training Plan developed and implemented Induction/ Orientation training conducted for 15 Officers 10 Officers trained in Registration, Auditing, Inspection and Accreditation	Training Plan developed and implemented 10 Officers trained in Registration, Auditing, Inspection and Accreditation	Training Plan developed and implemented 9 Officers trained in Registration, Auditing, Inspection and Accreditation	2,000,000.00 800,000.00 2,000,000.00
Develop and implement work culture remodelling Programme	CORPORATE SERVICES	Work culture remodelling Programme developed and implemented 24 Officers oriented on work culture Perception index survey conducted	15 Officers oriented on work culture Perception index survey conducted	Perception index survey conducted	Perception index survey conducted work culture remodelling Programme reviewed	300,000.00 350,000.00 320,000.00
TOTAL BUDGET FOR THE PLAN (2018 TO 2021)						**194,092,936.04**



HIGHER EDUCATION AUTHORITY

"Ensuring Quality in Higher Education"

Mukuba Pension House
Dedan Kimathi Road
P.O. Box 50795
Ridgeway
Lusaka
+260 211 227 084 / +260 950 470 444
info@hea.org.zm | www.hea.org.zm

Join the conversation @HEAZambia

#HEAZambia #HigherEducationZambia