



**QUARTERLY REPORT TO THE
DEPARTMENT OF HIGHER EDUCATION
AND TRAINING (DHET)**

1 JULY – 30 SEPTEMBER 2013

1 Quintin Brand Street, Persequor Technopark, Brummeria, Pretoria
P O Box 94, Persequor Park, Pretoria, 0020
Tel: +27 12 349-3861 Fax: +27 12 349-3942 , e-mail : essop.a@che.ac.za

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1. INTRODUCTION

The CHE operates as a national entity under Schedule 3A of the Public Finance Management Act (PFMA) 1 of 1999, as amended. It adheres to principles of good governance, financial and performance management and is held accountable for these to the Parliament of the Republic of South Africa. The CHE was established as a juristic person in terms of section 4 of the Higher Education Act (101 of 1997). In summary, the main areas of work of the CHE are:

- To provide advice to the Minister of Higher Education and Training on all higher education matters at his request and proactively.
- To monitor the state of the higher education system in relation to the goals of national policies and international trends.
- To contribute to the development of higher education through intellectual engagement with key issues through research, publications and conferences and in partnership with relevant stakeholders.
- To develop and implement a system of quality assurance for all higher education institutions, including private providers of higher education, which focuses on programme accreditation, institutional audits, national reviews, and capacity development and quality promotion.
- To develop and manage the Higher Education Qualifications Sub-Framework (HEQSF) and to develop and set standards, including naming conventions for all higher education qualifications.

2. CEO'S OFFICE AND ORGANISATIONAL MATTERS

2.1 Programme and Strategic Matters

2.1.1 Restructuring of Undergraduate Degrees and Diplomas

The report of task team – *A proposal for undergraduate curriculum reform in South Africa* – was published and released for consultation in August. The report generated significant media coverage in both the print and electronic media. Prior to the release of the report, the Task Team presented the findings to the HESA Board in July and a national seminar to discuss the report, which was attended by just over 150 delegates from higher education institutions, staff and student associations, was held on 17 September. The deadline for the submission of comments is the end of November 2013, which would enable the Council to finalise its advice to the Minister in the first quarter of 2014.

2.1.2 Second Cycle of Quality Assurance 2012 – 2017

The consultation on the draft *Framework for Institutional Quality Enhancement*, which focuses on quality enhancement, specifically, student success, rather than, institutional audits, has been completed, as outlined in 4.6.1 below. The outcomes of the consultation will inform the finalisation of the framework, including a 5-year implementation plan, for approval by the Higher Education Quality Committee (HEQC) and the Council in the last quarter 2013. It is planned to launch the project in March 2014.

2.1.3 Higher Education Qualifications Sub-Framework

The Higher Education Qualifications Sub-Framework (HEQSF) was gazetted as policy on 2 August 2013 (Notice No. 549, Government Gazette No. 36721, 2 August 2013).

The HEQSF as gazetted is available on the CHE website and printed copies will be available for distribution in November.

2.1.4 New Universities

The accreditation of the planned programmes for the two new universities in Mpumalanga and the Northern Cape has been completed by the HEQC, except for one programme, which has not been considered as the institutional support processes remain to be finalised.

2.2 Governance and Management Issues

2.2.1 External Audit

The external audit by the Auditor-General was completed at the end of July and the CHE received an unqualified audit report. There was one matter of emphasis relating to the recording of accreditation income, which is largely due to the cumbersome nature of the process used previously. The latter has been changed as of the beginning of the 2013/14 financial year. In addition, the other findings, which were of a house-keeping nature have been or are in the process of being addressed.

3. MONITORING AND EVALUATION

3.1 Research Projects

3.1.1 Higher Education Performance Indicators

The second in an annual series of Higher Education "VitalStats" booklets, based on performance indicators for higher education, VitalStats 2011, which provides comparative data between 2006 and 2011, has been finalised and is in the process of being published.

3.1.2 Undergraduate Diploma and Degree Structure

As reported in 2.1.1 above, the report of the Task Team – *A proposal for undergraduate curriculum reform in South Africa* – was released for consultation in August.

3.1.3 Governance Challenges in Public Higher Education

The research project on governance and management challenges in higher education is making steady progress. The initial research has been completed and a background report produced, which has identified issues requiring further research that is currently underway. The background report will feed into and inform the 20-year review of higher education (discussed below), as well as contribute to the development of advice on institutional governance and management to the Minister in the first half of 2014.

3.1.4 Student Governance at Public Higher Education Institutions

The background research on this project, which has been initiated in the light of the on-going unrest and disputes relating to different aspects of student governance in public higher education institutions, including the participation of student political organisations in Student Representative Council (SRC) elections, as well as the role, function and structure of SRCs in multi-campus institutions, is in process. The completion of this project was delayed due to capacity constraints, which have since been addressed.

The project is progressing as planned and the empirical investigation is currently underway. This project will also feed into the twenty-year review of higher education.

3.1.5 Review of the state of higher education: 2004-2014

In this quarter the task teams on the different themes held their second meeting and are now in the process of finalising their report outlines and starting to work on a first draft. Some task teams have requested an additional meeting before the end of the year and a plenary session is planned for early 2014. Furthermore, a funding task team has now been constituted and will meet for the first time in October.

3.1.6 Reflections on academic leadership

A background paper has been completed and 6 contributions for the proposed book confirmed. Contributors are working on their individual chapters.

3.1.7 Other projects:

- **Role of the National Benchmark Tests (NBTs) in admissions and placement in higher education institutions.**

The Directorate, as previously reported, is participating in an Umalusi project on the National Senior Certificate (NSC) as an indicator of success in higher education. The findings from this project will inform the proposed NBT project, which is still in the planning phase and its final form will depend on the outcomes of the consultations on the restructuring of the undergraduate curriculum.

- **State of provision in private higher education.**

This project is still in the planning phase.

- **Changing trends in postgraduate education.**

This project has yet to be initiated. It is intended to be a small individual research project to be carried out in 2014.

- **The changing nature of the academic profession.**

This project may be reconsidered in the light of HESA's large project in the same area and the fact that this is one of the issues being covered by a task team associated with the 20-year review.

3.2 HEQCIS

3.2.1 Data Collection

Of the 150 institutions that had started using the system, 121 institutions¹ (i.e. 94% of all unique PHEIs) had submitted at least one full data load each. The 121 institutions included 25 PHEIs that had successfully loaded onto the HEQCIS for the second time or more, by 27 September 2013. The total numbers loaded onto the HEQCIS, thus far, were 211 259 learners with 225 773 qualification uptake results (55 409 achievements

¹ These include four institutions that were de-registered after their first loads.

and 157 015 enrolments) between them (a further 13 349 were shown as de-enrolled), an increase of 17 968 learners loaded thus far during the second cycle² of 2013.

The pool for the second cycle (to be completed on 13 December 2013) is made up of 126 unique PHEIs.³ Of the 123 registered institutions using the system, 25 institutions (i.e. 20% of all unique PHEIs) successfully submitted at least one full data load each, which is 4% less than at the same time last year. The total numbers⁴ loaded during the current cycle are 53 685 learners with 58 382 qualification uptake results (25 261 achievements and 31 965 enrolments) between them (a further 1 156 were shown as de-enrolled).

The overall total number of learners increased by 17 968 since the previous quarter, and the total number of qualification uptake results increased by 18 582 (12 706 achievements, 5 125 enrolments and 751 de-enrolments).

3.2.2 Private Higher Education Management Information System

The technical specifications for the data fields, including definitions, for the development of a single management information system (MIS) for private higher education have been approved by the Working Group jointly established with the DHET and the finalisation of a detailed implementation plan to be rolled out in 2014 is in process. The new framework will be presented to Private Higher Education Institutions in the next quarter.

4. QUALITY ASSURANCE AND QUALITY PROMOTION

4.1 Quality Promotion and Capacity Building

As part of the alignment of higher education qualifications with the Higher Education Qualifications Sub-Framework (HEQSF), the Accreditation Directorate held meetings with:

- Higher education institutions on 14 August 2013 to clarify the structure and naming conventions of doctoral degrees in line with the requirements of the HEQSF.
- The DHET and SAQA on 28 August 2013 to discuss processes to finalise the registration of the approved HEQSF-aligned programmes by SAQA and the development of a revised institutional Programme and Qualification Mix by the DHET.

The Accreditation Directorate also held a training workshop on 18 September 2013 for existing programme evaluators, which focused on improving the quality of reports submitted by programme evaluators.

The Director for Institutional Audits was asked to give a presentation on the Quality Enhancement Project at a quality conference in August organised by the University of Johannesburg for QA staff from a number of universities.

² First cycle of 2013: 16 December 2012 to 15 June 2013. Second cycle: 16 June to 15 December 2013.

³ Those PHEIs that had been de-registered after their first loads (and before the current cycle started) are excluded from this number.

⁴ Every time an institution loads any data to the HEQCIS, it submits its entire dataset. At the same time, not all institutions submit data in every cycle (although the minimum standard says that they must).

The selection committee for the joint CHE-HELTASA National Excellence in Teaching and Learning Awards for 2013 has completed the selection process. The committee has selected 5 recipients for awards and 6 recipients for commendations. The quality of the work being done by the winners is of a very high standard and avenues will be sought for their work to be widely shared. The winners will be announced at the gala dinner of the HELTASA conference, hosted by UNISA, on 28 November 2013.

4.2 Programme Accreditation

There were 112 applications of new programmes for accreditation received in this quarter. The Accreditation Committee met in August 2013 and made recommendations on 73 programmes and 2 new / relocated sites of delivery that will serve at the HEQC of October 2013. It also deferred recommendations on 7 programmes, requesting further information from the institutions.

The HEQC met in July and September 2013 and made final decisions on 66 programmes and on 2 new / relocated sites of delivery as recommended from the June and August⁵ 2013 Accreditation Committee meetings.

4.2.1. Applications Received

Of the 112 new applications received in this quarter, 46 were from public higher education institutions, 1 from an agricultural college and 65 programmes private higher education institutions⁶

The new applications received in terms of the NQF level and CESM category respectively are indicated in Tables 1 and 2 below.

Table 1: New Applications received per NQF level

NQF Level	Number of Applications: Private Providers	Number of Applications: Public Providers
Level 5	16	2
Level 6	17	6
Level 7	27	15
Level 8	5	14
Level 9		9
Level 10		1
TOTAL	65	47

⁵ It should be noted that seven applications relating to the new universities tabled at the August 2013 Accreditation Committee meetings were fast-tracked to the HEQC Meeting in September.

⁶ New applications, with regard to Private Higher Education Institutions, refers to all new applications for accreditation submitted during the indicated reporting period, and for which payment has been received.

Table 2: New Applications Received per CESM category

CESM Category	Number of Applications: Private Providers	Number of Applications: Public Providers
Agriculture, Agricultural Operations and Related Sciences		1
Architecture and the Built Environment	1	1
Visual and Performing Arts	9	
Business, Economics and Management Studies	31	12
Communication, Journalism and Related Studies	4	
Computer Science and Information Sciences	3	2
Education	4	16
Engineering		
Health Professions and Related Clinical Sciences	4	3
Family Ecology and Consumer Sciences	3	
Languages, Linguistics and Literature		
Law		9
Life Sciences		
Physical Sciences		
Mathematics and Statistics		
Military Sciences	1	
Philosophy, Religion and Theology	1	
Psychology		
Public Management and Services	2	2
Social Sciences	2	1
TOTAL	65	47

4.2.2 Summary of HEQC decisions

Of the submissions that the Directorate completed processing in this quarter, recommendations on 5 programmes were deferred pending the receipt of additional information requested and will be tabled at a future HEQC meeting. The HEQC also considered submissions for new / relocated sites of delivery and conditions met. A summary of the decisions by the HEQC is contained in Table 3 below:

Table 3: Summary of HEQC decisions

	TOTAL
HEQC meetings (including policy meetings)	2
Total number of programmes for accreditation ⁷	66 ⁸
<i>Programmes accredited</i>	15
<i>Programmes accredited (with conditions)</i>	31
<i>Programmes not accredited</i>	15
<i>Decisions deferred</i>	5
New / relocated site of delivery ⁹	2
Total number of sites of delivery visited ¹⁰	12
Total number of programmes for Re-Accreditation	0
Total number of programmes HEQSF aligned	0

4.2.3 Re-accreditation

No applications for re-accreditation were tabled at the HEQC for approval in this quarter.

4.2.4 HEQSF aligned programmes

During this quarter, the Accreditation Directorate continued its focus on the re-alignment of Category A programmes, that is, those requiring only minimal technical changes. To date the Accreditation Directorate has received all final corrections from institutions for all Category A programmes submitted and is in the process of reviewing the Doctoral degrees in Category A.

4.2.5 HEQC-online and HEQSF-online Systems Development

The HEQC-Online system is currently undergoing a number of updates related to site visits, conditions, recommendation writing and reporting functionalities. Development of the HEQSF-online with regard to the Category B submissions is continuing and this includes the evaluation and outcomes elements of the module.

⁷ Total number of programmes for accreditation refers to all applications for accreditation including new applications for accreditation, deferrals, and representations. Outcomes for these programmes include accredited, accredited with conditions, not accredited and deferred decision.

⁸ This number includes all programmes tabled at the HEQC from the June 2013 Accreditation Committee meeting and 7 programmes fast-tracked from the August 2013 Accreditation Committee meeting.

⁹ This figure refers to all individual applications for new or relocated sites of delivery. It does not include applications for extension of offering to existing sites of delivery. This figure is not included in the total number of programmes for accreditation.

¹⁰ This figure refers to the number of sites visited for reasons including new applications for accreditation, conditions met, representations, deferrals, re-accreditation and complaints. This figure is not included in the total number of programmes for accreditation.

4.3 National Reviews

4.3.1 Bachelor of Social Work

The national review of the Bachelor of Social Work programme is well under way. All participating institutions submitted their self-evaluation reports online. The Directorate screened the reports for completeness and a preliminary workshop to analyse the self-evaluation reports was held in July. All site-visits planned for the period July-September, with the exception of Walter Sisulu University (WSU), were completed, as outlined in the Table below. The strike at WSU required a postponement of the site-visit from August to October. In addition, the University of Fort Hare only indicated during the review panel visit to the Alice campus that the programme was also offered on the East London campus. The latter will be visited in October 2013.

The next phase of the review process includes the screening of the site-visit review panel reports for completeness and appointing recommendation writers to prepare reports to assist the National Reviews Committee in making its recommendations to the HEQC. The draft institutional reports will then be submitted to all participating institutions to comment on their respective report in terms of inaccuracies or omissions, prior to submitting the report for decision to the HEQC. The Directorate is developing this as part of its online system

Site-visits of the BSW programme		
	Institution	Date
1	University of Cape Town	30-31 July
2	University of the Western Cape	6-7 August
3	Nelson Mandela Metropolitan University	6-7 August
4	University of Fort Hare (Alice)	6-7 August
5	Stellenbosch University	14-15 August
6	University of Limpopo	14-15 August
7	Walter Sisulu University	21-22 August postponed to 14-16 October
8	University of KwaZulu Natal	21-22 August
9	University of Venda	28-29 August
10	University of South Africa	28-29 August
11	University of Zululand	4-5 September
12, 13 and 14	North West University Mafikeng, Potchefstroom and Vaal Triangle Campus	4-6 September
15	University of Johannesburg	10-11 September
16	University of the Free State	10-11 September
17	University of Pretoria	16-17 September
18	University of the Witwatersrand	18-19 September
19	University of Fort Hare (East London campus)	3 October

4.3.2 Follow up to the review of teacher education programmes

In this quarter, the Directorate continued the follow up process on outstanding progress reports for the education programmes accredited with conditions.

The table below indicates the status of the remaining programmes from the review of teacher education programmes.

NO	INSTITUTION	PROGRAMME	RESPONSES
1	Durban University of Technology	M.Ed and D.Tech (Education)	There is one student in each of the two programmes expected to graduate in September 2013. The Directorate has written to the institution requesting a progress report.
2	Central University of Technology	M.Ed. (Educational Management)	3 pipeline students were expected to graduate in March 2013. 1 student graduated in September 2012. The 2 remaining students were allocated a new supervisor after the resignation of the first one and are expected to complete in November 2013.
3	Tshwane University of Technology	M. Tech (Education)	The two students in the pipeline were expected to graduate in September 2013. The Directorate has written to the institution requesting information on the status of the two students.
4	University of Limpopo	M.Ed. (Educational Management)	The programme has been terminated. The 4 remaining students have been accommodated in the Department of Educational Studies. The Directorate has written to the institution requesting a progress report.
5	University of Zululand	M. Ed. (Management)	The University submitted a progress report in July 2013. Of the 3 students in the pipeline, 1 graduated in May 2013. One student deregistered and the remaining student is expected to graduate in 2014.
		B. Ed.	The progress report submitted by the University was reviewed and presented to the HEQC in February 2013, which has requested that the on-going status of the programme be discussed with the DHET.
		PGCE	The institution submitted a progress report in July 2013. Of the 9 pipeline students 3 graduated in May 2013; 4 have failed to renew their registration; and 2 are expected to graduate in 2014.

4.4 Institutional Audits

4.4.1 The Quality Enhancement Project

The development of the Quality Enhancement Project (QEP) is progressing well and is planned to be formally launched in March 2014. A joint workshop was held in August with the Institutional Audits Committee and the Advisory Committee for the QEP to provide feedback on the focus group consultations with selected institutions, as well as to discuss what was learnt during the visit of the Director to the Scottish QAA and the international higher education conference. In addition, a draft 5-year implementation plan and document outlining the proposed guidelines for institutional submissions were also discussed.

The Director also met with the DHET in August to discuss the Teaching Development Grant policy framework, in particular, to identify opportunities for synergy between the QEP and the teaching development grants. The meeting clarified that there is considerable alignment between the priorities expressed in the Teaching Development policy and the QEP. It was agreed that regular meetings should be held to ensure that as the two processes unfold, the synergies are maximised.

As part of the process for building support and facilitating understanding of the QEP, three regional symposia on “Conceptualising a coherent approach to student success” were held in August in Durban, Pretoria and Stellenbosch, respectively. The speaker was Vincent Tinto, world-renowned expert on student success at tertiary level and Distinguished Professor of Education at Syracuse University. The symposia were attended by approximately 820 people from all public and a number of private higher education institutions, including lecturers, student affairs and academic development staff, deans, DVCs and VCs. Opening and closing addresses were given by Vice-Chancellors from institutions in the region in which the symposia were held. In addition, one DVC from each region hosted a cocktail party for senior management members from participating universities to provide them with an opportunity to meet Prof Tinto. A presentation on the QEP was also given at each regional symposium. The scale of the participation suggests that the focus of the QEP on student success has broad support and resonates with institutional concerns regarding teaching and learning.

4.4.2 Ongoing activities from the First Cycle

The Directorate continues to carry out activities related to institutional audits that have not yet been closed. The final progress report for the University of Johannesburg was discussed at the meeting of the Institutional Audits Committee (IAC) on 23 May. The HEQC approved that the audit be closed at its meeting on 11 September.

Following the IAC meeting in May, a letter was sent to Walter Sisulu University commending it for the progress made in incorporating the recommendations of the audit report into its turnaround strategy and indicating that no further documents related to the audit process will be required of them while they are under administration.

Final progress reports have been received from UNISA, University of Zululand, Cape Peninsula University of Technology, University of Venda and University of Limpopo. They will be discussed at the IAC meeting scheduled for 22 October.

5. STANDARDS DEVELOPMENT

The main activity of the Directorate was to continue with the development of pilot standards, in accordance with the procedures outlined in *A Framework for Qualification*

Standards in Higher Education (CHE, January 2013). The process of developing qualification standards entails a number of stages before approval, registration and publication, namely:

- Consultation with academics in the relevant field of study
- Selection of academic experts' groups in the field of study in consultation with the respective academic and professional associations
- Series of workshops to develop draft standards statements (which are likely to require a number of iterations),
- Endorsement of draft standards statement by the Standards Advisory Committee
- Public comment from all interested stakeholder groups, including professional bodies and associations.

The Directorate continued to facilitate development of the Bachelor of Social Work and Master of Business Administration draft standards statements, which started in the first quarter. This is in association with the South African Council for Social Service Professions (SACSSP) and the South African Business Schools Association (SABSA) respectively. In each case, a preliminary standards statement has been drafted, and referred by the Directorate back to the expert group for clarification, comment and further work. This will occur a number of times before an agreed standards statement is published for comment and input from other interest groups prior to approval. Follow-up workshops are anticipated to take place in the third quarter.

Consultation with the South African Law Deans Association (SALDA) regarding the prospects of developing a pilot standard for the Bachelor of Laws degree (LLB) has been successful. An eleven-member expert group was selected to participate in the pilot, which will commence in the third quarter. A two-day workshop has already been scheduled for 15 and 16 October in this regard.

At the request of some professional associations and bodies, the Directorate is looking to expand the scope of the pilot project to include more qualifications type standards and fields of study. Preliminary discussions in this regard continue with, among others, the South African Sports Confederation and Olympic Committee (SASCOC), the Nursing Council, and the National Lotteries Board (NLB). SASCOC, at its National Coaching Standards Group meeting held on 27 August, requested the CHE to provide assistance in the development of qualification standards in the field of sports coaching. Consultation with SASCOC is continuing to get clarity on the envisaged qualification types envisaged and identification of key stakeholder groups. The NLB has invited the CHE to a stakeholders meeting on 17 October. The purpose of the meeting is to solicit guidance in their efforts to develop qualification standards relevant to the grant-funding sector.

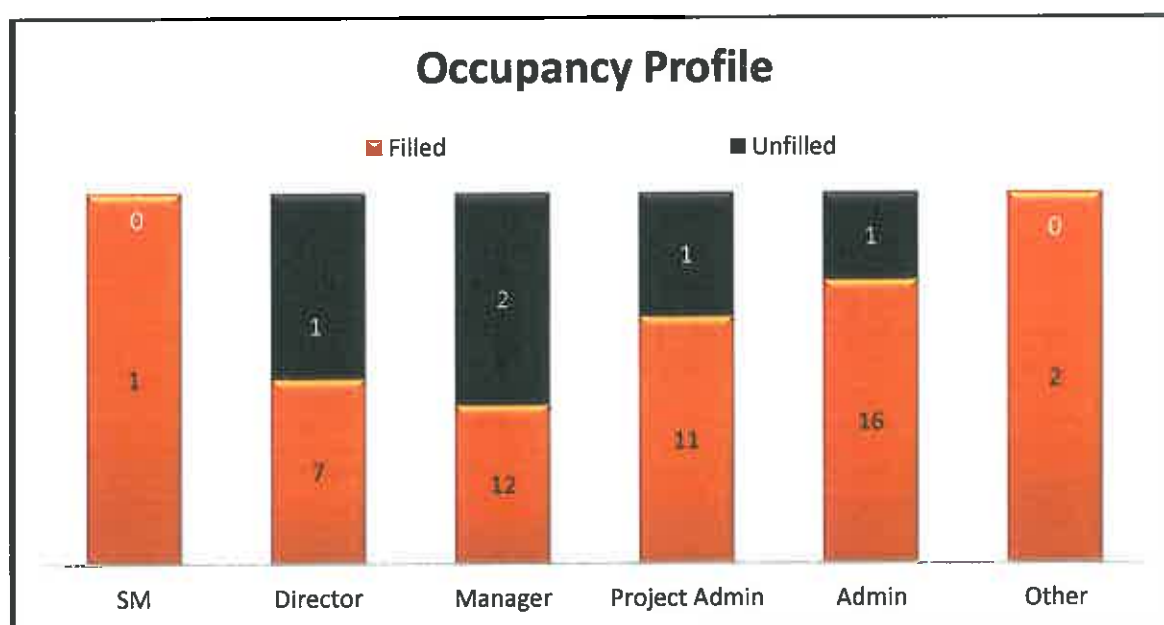
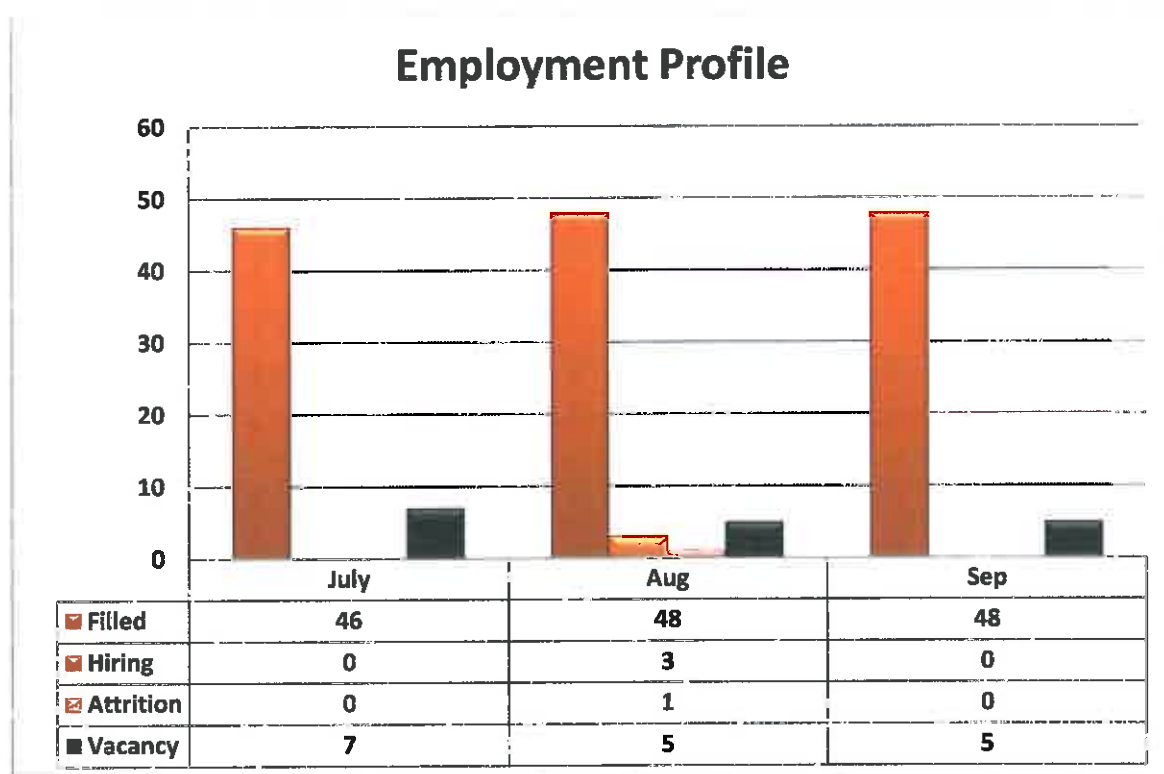
6. CORPORATE SERVICES

6.1 Human Resources

6.1.1 Employment Profile

There has been significant improvement in the filling of vacant posts. Of the 53 posts on the organisational structure, 48 are filled and one post, namely, Research Manager: Institutional Audits has been filled with effect from 1 November 2013. Of the 4 remaining posts, 2 are administrative posts, which will not be filled in foreseeable future, as there is adequate administrative capacity currently. The process for the filling of the Director: Quality Assurance, Promotion and Coordination is currently underway

and the Manager: Quality Promotion was previously advertised but not filled will be re-advertised.



6.1.2 Internship Programme

The CHE has initiated an internship programme to provide graduates interested in pursuing a research or professional career in higher education policy, planning and quality assurance with an opportunity to obtain practical work experience and to improve their skills. The purpose of this programme is to ensure that accelerated learning opportunities provided in the training period enhance the intern's workplace competencies, thus contributing to providing a pool of skilled human resources in

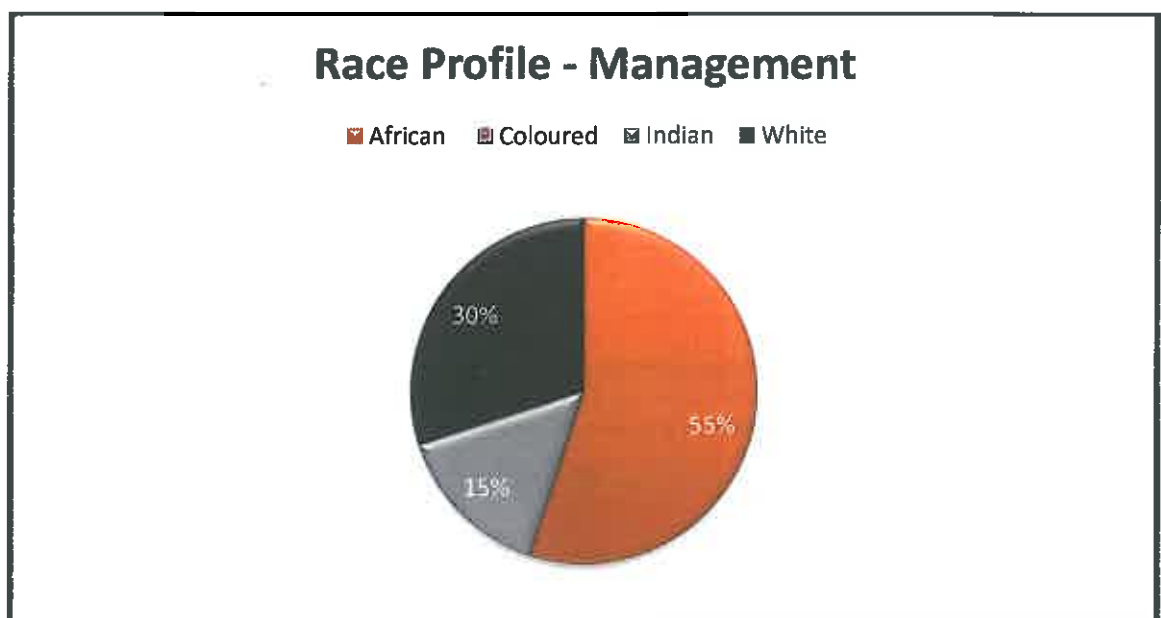
higher education policy and quality assurance. Three interns have been recruited and commenced this quarter in the following categories: ICT, Media and Communication and a report writer in the Programme Accreditation directorate. They have all been allocated to mentors and will be subjected to assessment, in line with the Internship Policy.

6.1.3 Employment Equity Profile

The overall profile in terms of race and gender is 71% African, 4% Coloured, 8% Indian and 17% White compared to the national economically active population of 74.9 %, 10.8%, 3% and 11.3% respectively. The profile at management level is 55% African, 0% Coloured, 15% Indian, 30% White, 20% male and 80% female. The majority of employees at the CHE are females who constitute 80% of the workforce against a national average of EAP of 45.2%.

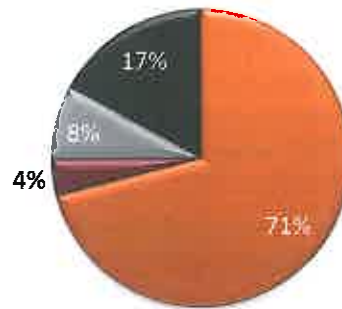
The lack of representation of male employees, Africans at management level and people with disabilities remains a challenge. To address this, a comprehensive employment equity strategy and plan that articulates the CHE's commitment to employment equity principles has been developed.

This will ultimately ensure that the CHE's workforce reflects the nationally active population of South Africa across all occupational levels. This is depicted in the following graphs:



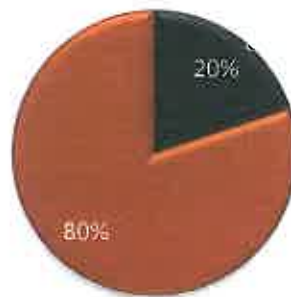
Race Profile - CHE

■ African ■ Coloured ■ Indian ■ White



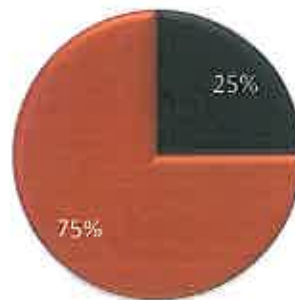
Gender Profile - Management

■ MALE ■ FEMALE



Gender Profile - CHE

■ MALE ■ FEMALE



6.1.4 CHE Wellness Programme

Occupational health and safety, absenteeism, legal compliance, chronic disease management, health care and insurance costs are some of the factors that employers have to address to ensure a productive workforce. Escalating employee health care costs calls for creative strategies to promote workplace wellness. The Wellness Programme, which was launched in June 2013, is making good progress and two interventions have been implemented:

- Assessment of risk and physical biometrics.
- Analysis of sick leave data.

As part of the process, various risk categories were identified over a spectrum of risk factors common to organisations. A plan regarding possible interventions to improve employee wellness and to lower costs to the CHE has been developed and presented to both Senior Management and the Human Resources & Remuneration Committee. The interventions, which will be implemented from the beginning of October, will be targeted at ensuring behavioural change through coaching, mentoring and monitoring.

6.1.5 Organisational Development

The internal task teams established to address the organisational challenges identified at the staff team-building workshop in May have made significant progress. The active participation of staff in the project, which is known as the “shake up” project, is contributing to building staff morale.

6.1.6 Competency Framework Development

The Human Resources and Remuneration Committee has approved a competency framework to identify the critical competencies required by the CHE to deliver on its mandate. This will be translated into the development of Job Profiles, new naming conventions as well as Key Performance Areas and indicators for each post. The project is intended to become the foundation for, and a key driver of, effective human resource management and organisational performance.

6.1.7 Performance Management

The mid-year performance management review process commenced at the end of September. The reviews are now done electronically and the mid-year review process is being used as a pilot to test the running of the VIP (HR) Employee self-service (ESS) platform.

6.2 FINANCE AND SUPPLY CHAIN

6.2.1 Tenders

The following tenders were awarded during this quarter:

- Computer workstation, network support and maintenance;
- Supply and construction of dry walls, doors and shop fronts including the supply, delivery and fitting of new office furniture;
- Intranet/Website Development and Maintenance;
- Telecommunication;
- Control of ground water.

6.2.2 Internal and External Audit

Internal Audit commenced with the audit of the Human Resources Management and Payroll Review. The final report will be tabled at the next Audit and Risk Management Committee.

7. PERFORMANCE INDICATORS

NON-FINANCIAL PERFORMANCE PLAN INDICATORS: 2013/14

2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013									
Strategic Objective	Programme	Performance Indicator	2012 - 2013		2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013				Evidence / Comment
			Audited output	Annual target 1 April – 30 March 2014	2ndQuarter Target 1 July – 30 September 2013	Cumulative Total First and second quarter 1 April – 30 September 2013	2nd quarter Actual Output 1 July – 30 September 2013	Challenges	
Advising the Minister on any aspect of higher education in line with section 5 of the Higher Education Act (Act No 101 of 1997), as amended.	Advise the Minister at his request or on Council's own initiative	Number of responses to requests for advice	0	100%	100% of requests received	3	3		The number responses cannot be predetermined as it is dependent on the number of requests received from the Minister. Advice/comments were provided on: i) The Draft Policy on Student Housing at Public Universities and the Minimum Norms and Standards Applicable ii) The Draft Regulations for the Establishment of a National Institute for the Humanities and Social Sciences (NIHSS). (iii) Higher Education and Training Information Policy.

Strategic Objective	Programme	Performance Indicator	2012 - 2013	2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013					Evidence / Comment
			Audited output	Annual target 1 April – 30 March 2014	2ndQuarter Target 1 July – 30 September 2013	Cumulative Total First and second quarter 1 April – 30 September 2013	2nd quarter Actual Output 1 July – 30 September 2013	Challenges	
Monitoring the state of higher education	Research projects	Number of pieces of advice on own initiative.	1	1	1	0	0	No advice was initiated in the second quarter.	Advice in subsequent years will be determined annually based on an assessment of the key issues in higher education and on the outcomes of research initiated.
		Production of performance indicators report (on-going projects).	1	1	0	0	0		Performance indicators to assess the state of the higher education system.
		Projects in progress.	2	2	2	2	2		Governance Challenges in Public Higher Education Student Governance at Public Higher Education Institutions
		Projects Initiated.	1	2	0	2	0		Both the 20-year review of higher education and the reflections on academic leadership projects were initiated in the first quarter.
Development and management of HEQSF	Dissemination of research findings	Number of publications.	4	2	0	1	1		Publication of the task team report on the extended curriculum
	Alignment of existing programmes with the HEQSF	Total number of programmes to be assessed and realigned	100% 2519 assessed 320 received	100% of initial processing of category B's for Group 1 institutions	100% of programmes submitted	568 Category A programmes	0 programmes	Finalising processing of Doctoral programmes	Processing of Category B was delayed due to a delay with processing of Doctorates and late submission of Category A programmes from some institutions.

2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013									
Strategic Objective	Programme	Performance indicator	2012 - 2013		2013 - 2014 - Second Quarter: 1 July 2013 – 30 September 2013				Evidence / Comment
			Audited output	Annual target	2ndQuarter Target	Cumulative Total	2nd quarter Actual Output	Challenges	
Development, registration and publication of qualification standards	Development of qualification standards	Consultation on models.	2	1	0	0	0		
		Pilots for development of standards	2	10 (6QTV; 4 FS)	2	2	2		Bachelor of Social Work and Master of Business Administration Drafts Statements - consultation on - going Bachelor of Laws degree (LLB) planned
NLRD Database	Collecting data from private institutions	Number of private providers that will be contributing to the HEQCIS database.	81%	75% of service providers	0	79%	0%	Institutions were not required to make a full data-load during this quarter. Further, the changing number of private providers, in particular, small providers with limited capacity, makes it difficult to obtain full compliance.	HEQCIS quarterly report
Auditing institutional quality assurance mechanisms	Analyse and approve institutional improvement plans and progress reports based on recommendations made in audit report	Monitoring of improvement plans and progress reports	4	100% monitoring of all improvement plans and progress reports received	0	1	1	Walter Sisulu University was placed under administration one month after receipt of its audit report. The Institutional Audits Committee recommended that the audit process be put aside until a functional senior management team is in place and their turnaround strategy has been implemented.	Institutional Audit Committee minutes. It is anticipated that the implementation of the first cycle of institutional audits improvement plans will be completed by 2014/15.


2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013									
Strategic Objective	Programme	Performance indicator	2012 - 2013	2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013				Challenges	Evidence / Comment
				Audited output	Annual target 1 April – 30 March 2014	2ndQuarter Target 1 July – 30 September 2013	Cumulative Total First and second quarter 1 April – 30 September 2013	2nd quarter Actual Output 1 July – 30 September 2013	
		Number of new/additional sites of delivery processed including site visits	New/additional sites of delivery 100% - 51 Site visits 100% - 51	100% of applications received Revised target 75% of applications received	400% Revised target 75% of applications received	400% Revised target 75% of applications received	75% 38 sites	75% 14 sites	Accreditation Committee and HEQC minutes. Target changed from 100% to 75% to more accurately reflect process, which takes up to six months from date of submission to receipt of an outcome from the HEQC. Programmes can be submitted up to 31 March annually
Institutional programme accreditation and re-accreditation	Re-accreditation of programmes offered by private higher education institutions	Number of programmes recommended for re-accreditation by the HEQC	88% 66 were recommended 75 received	400% Revised target 75% 400%	400% Revised target 75% of applications received	400% Revised target 75% of applications received	75% 41 programmes	75% 0 programmes	Accreditation Committee and HEQC minutes. Target changed from 100% to 75% to more accurately reflect the process, which takes up to six months from date of submission to receipt of an outcome from the HEQC.
National Reviews, i.e. re-accreditation of programmes in specific fields and qualification level	Development and implementation of national reviews	Conducting of national review site visits. Bachelor of Social Work programmes	0	100% of sites where the programme is offered.	100% of those allocated for this period	100% of those allocated for this period	17	17	Site visit reports.
Quality promotion and capacity-building	Training of evaluators for programme accreditation and re-	Draft reports	0	100% for all institutions reviewed	0	0	0	0	Draft individual institutional accreditation reports for the Bachelor of Social Work will be finalised in 2013/14 and approved reports finalised in 2014/15.
		Number of training workshops for evaluators	1	1	0	0	2	1	Workshop documentation Continued Professional Development (CPD) Training of existing programme evaluators.

2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013								
Strategic Objective	Programme	Performance indicator	2012 - 2013		2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013			
			Audited output	Annual target 1 April – 30 March 2014	2ndQuarter Target 1 July – 30 September 2013	Cumulative Total First and second quarter 1 April – 30 September 2013	2nd quarter Actual Output 1 July – 30 September 2013	Challenges
	accreditation							
	Training of evaluators for national reviews	Number of training workshops for evaluators	n/a	1	0	2	0	No
	Quality assurance forums for public and private institutions and professional bodies	Number of forums	6	3	3	0	0	The private providers forum will be held on 29 October and the public providers and professional bodies forums will be held in February/March 2013.
	HELTASA / CHE Awards Project	Annual awards	5	5	0	0	0	n/a
								Awards presented at the annual HELTASA Conference in November 2013.
Human resources management and development	Skills Development Plan	Development and implementation of the Skills Plan.	57% of funds budgeted	100% implementation of the plan	20% Implementation	50,08 %	47.91% (23)	Although still on target there are challenges in releasing employees in this time of the year due to various interventions organisational wide. Group training scheduled for the 3 rd and 4 th quarters in other directorates.
								Training attended Implementation of the training plan. April – June statics should have read: 2,17% (1)

Strategic Objective	Programme	Performance Indicator	2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013					Evidence / Comment
			2012 - 2013	Annual target 1 April – 30 March 2014	2ndQuarter Target 1 July – 30 September 2013	Cumulative Total First and second quarter 1 April – 30 September 2013	2nd quarter Actual Output 1 July – 30 September 2013	Challenges
	Recruitment and retention strategy	Filling of all vacant positions, including reduced turnaround time – maximum three months.	100%	95% of vacancies filled	50% vacancies filled	85% reduction in vacancies	43% reduction in vacancies (3 appointments)	Steady improvement compared to last year, this period.
								Quarterly Vacancy Report. The CHE staff complement from January – March was 54. Council approved changes to the organogram at their 20 June 2013 meeting. From June the staff complement was 53. April – June statistics should have read 5 appointments were made reducing the vacancies by 42%. One person left at the end of July and another was immediately appointed from 1 August.
	Achieve organisational growth and sustainability	Functioning performance management system	n/a	100% of performance contract signed	100% of performance contract signed	100%	100% (48)	n/a
								Annual KPA Agreements concluded and signed by all staff. Continuous quality assurance through benchmark and auditing.
	Employment Equity	Implementation of employment equity strategy and plan.	100%	25% Implementation of the EE plan	5% Implementation of the EE plan	17,5%	6,4% (1 white female, 1 African female, 1 African male)	Challenge in attracting both males and people with disabilities.
								EE targets are monitored regularly. April – June statistics should have read: Newly hired: 3 African males and 2 African females. 11,1%

2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013								
Strategic Objective	Programme	Performance Indicator	2012 - 2013		2013 – 2014 - Second Quarter: 1 July 2013 – 30 September 2013			
			Audited output	Annual target 1 April – 30 March 2014	2ndQuarter Target 1 July – 30 September 2013	Cumulative Total First and second quarter 1 April – 30 September 2013	2nd quarter Actual Output 1 July – 30 September 2013	Challenges
Supply Chain Management system maintained and improved	Establishing BEE procurement targets for the organization	Development of CHE BEE procurement targets	n/a	50%	10%	15%	5%	
	Supply Chain Management system maintained and improved	Develop Key Supplier Management Tool	n/a	30%	5%	15%	5%	
								Supplier performance template developed
								Contracts management register
								Discussions within the unit have started.

8. QUARTERLY EXPENDITURE REPORT

	Total Budget 2013/2014	1st Quarter 01/04/2013 - 30/06/2013	2nd Quarter 01/07/2013 - 30/09/2013	3rd Quarter 01/10/2013 - 31/12/2013	4th Quarter 01/01/2014 - 31/03/2014	YTD
	R	R	R	R	R	R

SUMMARY						
	BUDGET	ACTUAL	ACTUAL	FORECAST	FORECAST	YTD
INCOME	60 086 670	11 901 919	26 596 035	12 068 143	12 068 143	38 497 954
DHET - Government grant	41 888 000	10 472 000	10 472 000	10 472 000	10 472 000	20 944 000
Private Accreditation - Cost Recovery	1 641 000	836 000	1 615 458	500 000	500 000	2 451 458
Rental Income - Auditorium fees						
Interest Income	525 000	217 897	216 067	215 000	215 000	433 964
Other Income		36 780	30 855	15 000	15 000	67 635
Realisation of Deferred transfer - Std Dev	2 178 670	339 242	407 655	866 143	866 143	746 897
Roll over funds for committed expenditure	13 854 000		13 854 000			13 854 000
Income carried over to next quarter	-	-	-	-	-	-

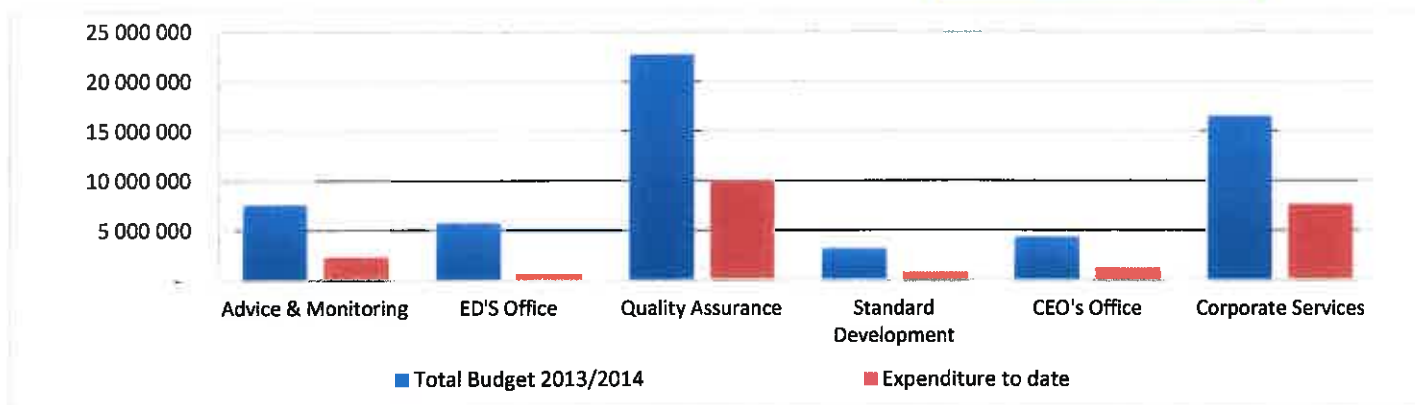
EXPENDITURE	60 086 670	10 161 439	12 066 039	15 682 727	16 500 947	22 227 478
PERSONNEL	26 096 000	5 225 451	6 285 296	6 883 516	7 701 737	11 510 747
GOODS AND SERVICES	32 030 670	4 771 505	5 457 507	8 357 372	8 357 371	10 229 012
CAPEX	1 960 000	164 482	323 236	441 839	441 839	487 718

INCOME LESS EXPENDITURE	0	1 740 480	14 529 996	(3 614 584)	(4 432 804)	16 270 476
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Summary of Quarterly Expenditure Report


A. Budget Allocation per Mandate area (including personnel cost)

<u>Mandate area</u>		Total Budget 2013/2014	1st Quarter 01/04/13- 30/06/13	2nd Quarter 01/07/13 - 30/09/13	3rd Quarter 01/10/2013 - 31/12/2013	4rt Quarter 01/01/2014 - 31/03/2014	Total Expenditure to date
		BUDGET	ACTUAL	ACTUAL	FORECAST	FORECAST	YTD
AM	Advice & Monitoring	7 614 000	1 155 368	1 105 232	2 675 060	2 675 060	2 260 600
ED	ED'S Office	5 745 000	297 978	256 692	946 812	1 946 812	554 670
QA	Quality Assurance	22 712 999	4 534 817	5 411 314	5 348 466	6 048 466	9 946 131
ST	Standard Development	3 148 000	339 242	407 655	866 143	1 066 143	746 897
Corporate Services							
CS	CEO's Office	4 352 784	598 256	538 351	1 151 510	1 351 510	1 136 607
SS	Corporate Services	16 513 216	3 235 779	4 346 795	4 803 845	3 303 845	7 582 574
Total		60 085 999	10 161 439	12 066 039	15 791 836	16 391 836	22 227 478



B. Budget Allocation per Operational level (including personnel cost)

<u>Operational level</u>			Total Budget 2013/2014	1st Quarter 01/04/13- 30/06/13	2nd Quarter 01/07/13 - 30/09/13	3rd Quarter 01/10/2013 - 31/12/2013	4rt Quarter 01/01/2014 - 31/03/2014	Total Expenditure to date
			BUDGET	ACTUAL	ACTUAL	FORECAST	FORECAST	YTD
CS	001	CEO's Office	4 352 784	598 256	538 351	1 151 510	1 351 510	1 136 607
CS	002	Corporate Services	16 513 216	3 235 779	4 346 795	4 803 845	3 303 845	7 582 574
AM	003	Advice & Monitoring	7 614 000	1 155 368	1 105 232	2 675 060	2 675 060	2 260 600
QP	004	ED's Office	5 745 000	297 978	256 692	946 812	1 946 812	554 670
OA	006	Institutional audits	5 206 000	654 223	1 073 111	1 247 182	1 247 182	1 727 334
QA	007	Accreditation	13 386 000	3 473 223	2 687 994	3 125 104	3 825 104	6 161 217
QA	008	National Reviews	4 121 000	407 371	1 650 209	976 180	976 180	2 057 579
ST	009	Standard Development	3 148 000	339 242	407 655	866 143	1 066 143	746 897
Total			60 085 999	10 161 439	12 066 039	15 791 836	16 391 836	22 227 478

	QUARTERLY EXPENDITURE REPORT				
	Total Budget 2012/2013	1st Quarter 01/04/2012 - 30/06/2012	2nd Quarter 01/07/2012 - 30/09/2012	Total 2011/2012	Exp vs Budget
	R	R	R	R	%
INCOME SOURCES	60 086 670	11 901 918.92	12 334 380	24 236 299	40%
DHET - Government grant	41 888 000	10 472 000	10 472 000	20 944 000	50%
Realisation of Deferred transfer - New Mandate : Standards Setting - Total amount Roll-over 2013/2014	2 178 670	339 242	407 655	746 897	0%
Realisation of Deferred transfer - New Mandate : Standards Setting - Total amount Roll-over 2012/2013					
Private Accreditation - Cost Recovery	1 641 000	836 000	1 615 458	2 451 458	149%
Interest Income	525 000	217 897	216 067	433 964	83%
Other Income		36 780	30 855	67 635	0%
Roll over cash surplus for committed expenditure	13 854 000				0%
0	60 086 670	10 161 439	12 066 039	22 227 478	37%
(OVER BUDGET) / UNDER BUDGET	0	1 740 480	268 341	2 008 821	
ACCOMMODATION	3 327 912	42 919	208 866	251 785	8%
AIR TRAVEL	5 330 355	278 467	811 566	1 090 033	20%
CAR HIRE	472 548	2 761	43 326	46 088	10%
PARKING AND TOLLGATES	44 952				0%
ROAD TRAVEL	208 318	12 416	85 247	97 664	47%
SERVICE FEES	186 544	2 244	44 426	46 670	25%
SUBSISTENCE	52 061	6 179	30 425	36 604	70%
CONSULTANCY	8 173 066	2 565 319	1 286 613	3 851 932	47%
ADMINISTRATION	3 438 354	125 535	122 879	248 414	7%
REGISTRATION FEES	50 000	5 394	4 231	9 625	19%
VENUE AND CATERING	781 535	66 944	77 565	144 510	18%
CONSUMABLES	150 000	26 102	44 980	71 082	47%
HONORARIUMS	770 205	52 500		52 500	7%
OTHER CORPORATE EXPENSES	1 628 167	294 344	1 033 164	1 327 508	82%
LICENCE FEES	203 300	62 034	153 514	215 548	106%
MEDIA & RESOURCES	296 838	2 986	12 995	15 981	5%
INFORMATION SYSTEMS	3 263 000	731 180	1 058 589	1 789 768	55%
BUILDING & UTILITIES	3 653 516	494 179	439 122	933 301	26%
PERSONNEL	26 096 000	5 225 451	6 285 296	11 510 747	44%
FINANCE LEASE	150 000	60 286	72 658	132 944	89%
CAPEX	1 810 000	104 196	250 577	354 774	20%
SUMMARY					
INCOME	61 056 000	11 901 919	12 334 380	24 236 299	40%
DHET - Government grant	41 888 000	10 472 000	10 472 000	20 944 000	50%
Private Accreditation - Cost Recovery	1 641 000	836 000	1 615 458	2 451 458	149%
Interest Income	525 000	217 897	216 067	433 964	83%
Other Income	-	36 780	30 855	67 635	0%
Realisation of Deferred transfer - New Mandate : Standards Setting	3 148 000	339 242	-	339 242	
Roll over funds for committed expenditure	13 854 000	-	-	-	
EXPENDITURE	60 086 670	10 161 439	12 066 039	22 227 478	37%
PERSONNEL	26 096 000	5 225 451	6 285 296	11 510 747	44%
CAPEX (Includes Capex and Finance lease)	1 960 000	164 482	323 236	487 718	25%
GOODS & SERVICES	32 030 670	4 771 505	5 457 507	10 229 012	32%
INCOME LESS EXPENDITURE	969 330	1 740 480	268 341	2 008 821	

COUNCIL ON HIGHER EDUCATION

PUBLIC ENTITY (Schedule 3A)

THE PUBLIC FINANCE MANAGEMENT ACT, 1999

and

THE TREASURY REGULATIONS

COMPLIANCE CERTIFICATE FOR

SECOND QUARTER ENDED 30 SEPTEMBER 2013

CORPORATE MANAGEMENT

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
1	49	Accounting Authority	In terms of section 49(3) the relevant treasury, in exceptional circumstances, may approve that a functionary other than the board or CEO be the AA of the public entity. In this regard, has the Auditor-General been informed in writing of any such approval or instruction?			✓	
2	TR 27.3.1	Chief Financial Officer	In the case of a 3A or 3C public entity, has a chief financial officer been appointed to head the finance division?	✓			
3	56(1)	Delegations of Authority	Have the powers entrusted or delegated to the accounting authority been delegated to other officials within the public entity?	✓			
4	51(1)(a)(i)	Internal Control	Does the public entity have an effective, efficient and transparent system of financial and risk management and internal control?	✓			
	51(2)(a)(ii)		Does the public entity have a system of internal audit under the control and direction of an audit committee complying with and operating in accordance with regulations and instructions prescribed in terms of sections 76 and 77?	✓			Yes - Outsourced.
	TR 27.1.1		Is the audit committee a sub-committee of the accounting authority?	✓			
	77(a)		Does the audit committee consist of at least 3 persons?	✓			
	77(b)		Does the audit committee meet at least twice a year?	✓			
	TR 27.1.6		Does the audit committee operate in terms of a written terms of reference?	✓			
	TR 27.1.6		Are the terms of reference reviewed at least annually to ensure its relevance?	✓			
	27.1.8		Does the audit committee review the following: <ul style="list-style-type: none"> • The effectiveness of internal control systems; • The effectiveness of internal audit; • The risk areas of the entity's operations to be covered in the scope of internal and external audits • The adequacy, reliability and accuracy of financial information provided to management and other users of such information • Any accounting and auditing concerns identified as a result of internal and external audits • The entity's compliance with legal and regulatory provisions • The activities of the internal audit function, including its annual work programme, co-ordination with the external auditors, the reports of significant investigations and the responses of management to specific recommendations; and • Where relevant, the independence objectivity of the external auditors. 	✓			
	TR 27.1.10(a)		Does the audit committee report and make recommendations to the accounting authority?	✓			
	TR 27.1.13		Does the audit committee meet annually with the Auditor-General or external auditor to ensure that there are no unresolved issues of concern?	✓			
	TR 27.2.1		<ul style="list-style-type: none"> • Are risk assessments conducted regularly to identify the public entity's emerging risks? • Does the public entity have a risk management strategy (including a fraud prevention plan) to direct internal audit effort and priority and to determine the skills required of managers and staff to improve controls and to manage these risks? • If there is a risk management strategy, is it communicated to all employees? 	✓			
	TR 27.2.5		Are the purpose, authority and responsibility of the internal audit function defined in an audit charter?	✓			
	TR 27.2.6		Is internal audit conducted in accordance with standards set by the Institute of Internal Auditors?	✓			
	TR 27.2.7		<ul style="list-style-type: none"> • Has the internal audit function prepared a three year strategic internal audit plan based on the risks facing the public entity? • Does the internal audit function report to the audit committee detailing its performance against the plan? 	✓			

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
	TR 27.2.10		Does the internal audit function evaluate the following: <ul style="list-style-type: none"> The information systems environment; The reliability and integrity of financial and operational information; The effectiveness of operations; Safeguarding of assets; and Compliance with laws, regulations and controls 	✓			
5	51(e)	Financial Misconduct	Have effective and appropriate disciplinary steps been taken against any employee of the public entity who has: <ul style="list-style-type: none"> Contravened or failed to comply with a provision of the PFMA Committed an act which undermined the financial management and internal control system of the public entity Made or permitted irregular or fruitless and wasteful expenditure 			✓	No such financial misconduct took place in the public entity during this period.
	86(2)		Has the accounting authority been found guilty of an offence or is there any investigation pending relating to the wilful or negligent failure to comply with the provisions of sections 50, 51 or 55?		✓		
	TR 33.1.1		Have any employees of the public entity committed financial misconduct?		✓		
	TR 33.1.2		If so, was the investigation instituted within 30 days?			✓	No such financial misconduct took place in the public entity during this period
	TR 33.2.1		Is the Executive Authority, Auditor-General and relevant treasury advised if any criminal charges that have been laid against persons for financial misconduct?			✓	No such financial misconduct took place in the public entity during this period
	TR 33.3.1		Is the Executive Authority, Auditor-General and relevant treasury provided with a schedule detailing: <ul style="list-style-type: none"> The outcome of any disciplinary hearings and/or criminal charges; The names and ranks of employees involved; and The sanctions and any further actions taken against these employees. 			✓	No such financial misconduct took place in the public entity during this period

PLANNING AND BUDGETING

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
1	52	Annual budget, corporate plan and shareholder's compact by Schedule 2 public entities and government business enterprises	Did the accounting authority submit the following to the relevant treasury and to the accounting officer of the department at least one month before the start of the public entity's financial year: <ul style="list-style-type: none"> a projection of revenue, expenditure and borrowings for the financial year in the prescribed format; and a corporate plan in the prescribed format covering the affairs of that public entity or business enterprise for the following three financial years, and if it has subsidiaries, also the affairs of the subsidiaries. 			✓	Schedule 3A public entity.
	TR 29.1.1		Does the corporate plan include the following: <ul style="list-style-type: none"> strategic objectives and outcomes identified and agreed upon by the executive authority in the shareholder's compact; strategic and business initiatives as embodied in business function strategies; key performance measures and indicators for assessing the entity's performance in delivering the desired outcomes and objectives; a risk management plan; a fraud prevention plan; a materiality/significant framework, referred to in Treasury Regulation 28.1.5; a financial plan addressing – <ul style="list-style-type: none"> (i) revenue, expenditure and borrowings; (ii) asset and liability management; (iii) cash flow projections; (iv) capital expenditure programmes; and (v) dividend policies 			✓	Schedule 3A public entity

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
	TR 29.2.		Does the public entity conclude a shareholder's compact with the executive authority on an annual basis? If yes, does the shareholders compact document the mandated key performance measures and indicators to be attained as agreed between the accounting authority and the executive authority?			✓	Schedule 3A public entity
2	53(1)	Annual budgets by non-business Schedule 3 public entities	Did the accounting authority submit a budget to the executive authority for his or her approval at least six months prior to the start of the financial year of the department designated by the executive authority?	✓			
	53(2)		Was the budget submitted to the executive authority via the accounting officer of the department designated by the executive authority?	✓			
	53(3)		Did the public entity budget for a deficit or accumulate a surplus without approval of the National Treasury?		✓		
	TR 30.1.1		Did the accounting authority submit a proposed strategic plan to the executive authority for his other approval at least six months before the start of the financial year of the department designated by the executive authority?	✓			
	TR 30.1.2		Was the final strategic plan submitted to the executive authority before 1 April?	✓			
	TR 30.1.3		Does the strategic plan: <ul style="list-style-type: none"> cover a period of three years; include objectives and outcomes as identified by the executive authority; include multi-year projections of revenue and expenditure; include performance measures and indicators for assessing the public entity's performance in delivering the desired outcomes and objectives; and include the materiality/significant framework, referred to in Treasury Regulation 28.1.5. Is the strategic plan updated on an annual basis?	✓			

MANAGEMENT OF WORKING CAPITAL

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
1	38(1)(i)		Has the public entity submitted a written assurance to the transferring department to the effect that the entity has and maintains effective, efficient and transparent financial management and internal control systems?	✓			
	51(1)		Does the public entity: <ul style="list-style-type: none"> have an appropriate procurement and provisioning administration system, which is fair, equitable, transparent, competitive and cost-effective? have a system for properly evaluating all major capital projects prior to a final decision on the project? collect all revenue due? have mechanisms in place to prevent irregular and fruitless and wasteful expenditure? manage available working capital efficiently and economically? 	✓			
	TR 29.1.3 TR 29.1.6		Did the public entity submit a corporate plan and borrowing programme to the relevant treasury?(Schedule 2, 3B and 3D entities only) If a borrowing programme was submitted, did it include: <ul style="list-style-type: none"> The terms and conditions on which the money was borrowed? Information on proposed domestic borrowing; Information on proposed foreign borrowing (national entities) Short and long term borrowing; Borrowing in relation to a pre-approved corporate plan The maturity profile of the debt; The confirmation of compliance with existing and proposed loan covenants; Debts guaranteed by the government; Motivations for government guarantees, if required; and The executive authority's approval of the borrowing programme, if required by the legislation in terms of which the entity was established. 			✓	Schedule 3A public entity
	TR 32.1.1		Did the public entity borrow money for bridging purposes? If yes: <ul style="list-style-type: none"> Was approval obtained from the Minister of Finance? Was the debt repaid within 30 days from the end of the financial year? 		✓		The public entity did not borrow money for bridging purposes.

REPORTING

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
1	TR 26.1.1	Quarterly Reporting	Does the public entity submit information on its actual and projected revenue and expenditure to the designated accounting officer within 30 days from the end of each quarter? (Schedule 3A and 3C entities)	✓			
	TR 26.1.2		Does the public entity report quarterly to the executive authority (via the designated accounting officer) on the extent of compliance with the PFMA and Treasury Regulations? (Schedule 3A and 3C public entities)	✓			
	TR 29.3.1 TR 30.2.1		Has the public entity established procedures to report quarterly to the executive authority in relation to progress made against achieving the targets set out in the strategic and corporate plan?	✓			
2	55	Annual report and financial statements	<p>Did the public entity submit the following to the relevant treasury, executive authority and Auditor-General within 5 months from the end of the financial year:</p> <ul style="list-style-type: none"> • An annual report on the activities of the public entity during that financial year; • The financial statements for that financial year after the statements have been audited; • The report of the auditors on those statements. 	✓			
			<p>Does the public entity's annual report and financial statements fairly present the state of affairs of the public entity, its business, its financial results, its performance against predetermined objectives and its financial position as at the end of the financial year concerned?</p> <p>Does the annual report and financial statements include:</p> <ul style="list-style-type: none"> • Any material losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year; • Any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure; • Any losses recovered or written off; • Any financial assistance received from the state and commitments made by the state on its behalf; • The financial statements of subsidiaries. 	✓			
	65		<p>Did the executive authority table the annual report and financial statements within one month after the accounting authority received the audit report?</p> <p>If no, did the executive authority table an explanation in the Legislature setting out the reasons why the annual report and financial statements were not tabled?</p>	✓			
	TR 27.1.7		Does the annual report contain a disclosure to the effect that the audit committee has adopted a formal terms of reference	✓			
	TR 27.1.10		Did the audit committee comment on its evaluation of the public entity's financial statements?	✓			
	TR 28.1.1		Does the financial statements include a report by the accounting authority that discloses the emoluments of all directors and executive members of the public entity and its subsidiaries?	✓			
	TR 28.1.1		<p>If yes, to above, does the disclosure include?</p> <ul style="list-style-type: none"> • Fees for services as a director or executive member; • Basic salary; • Bonuses and performance related payments; • Sums paid by way of expense allowances; • Contributions made to any pension fund, medical aid, insurance scheme, etc; • Any commission, gain or profit sharing arrangements; • Any share options, including their strike price and period; and • Any other material benefits received. 	✓			No commission, gain or profit sharing arrangements or share options.
	TR 28.1.2		Has your public entity adjusted its financial year in accordance with the table in TR28.1.2	✓			

CASH MANAGEMENT, BANKING AND INVESTMENT

NO.	SECTION	DESCRIPTION	ACTION	YES	NO	N/A	COMMENTS
1	51(1)(b)(III) TR 31.1	Cash Management	<p>Are systems, procedures and processes in place in the public entity to ensure efficient and effective banking and cash management, which includes?</p> <ul style="list-style-type: none"> Collecting and banking revenue promptly; Making payment no earlier than necessary with due regard for efficient, effective and economical programme delivery and the public entity's normal terms for account payments; Avoiding prepayments for goods and services unless required by the contractual arrangements with the supplier; Accepting discounts to effect early settlement; Pursuing debtors with appropriate sensitivity and rigour to ensure that amounts receivable by the public entity are collected and banked promptly; Accurately forecasting the public entity's cash flow requirements; Timing the in and out flow of cash; Recognising the time value of money, i.e. economically, efficiently, and effectively managing cash; 	✓			Financial policies have been reviewed and are up to date.
			<ul style="list-style-type: none"> Taking any other action that avoids locking up money unnecessarily and inefficiently, such as managing inventories to the optimum level for efficient and effective programme delivery, and selling surplus or under utilised assets; Performing bank reconciliations at least weekly; Making regular cash forecasts; and Alignment of the approved budget with monthly cash flows; Variance analyses of actual cash flow with the approved budget 	✓			Financial policies have been reviewed and are up to date.
2	TR 31.2.1	Banking	Does the public entity submit a list of all its banking accounts to the National Treasury by 31 May of each year?	✓			
3	TR 31.3.1 TR 31.3.2	Investment	<p>Does the public entity have an Investment policy?</p> <p>If yes to the above, does the investment policy include the:</p> <ul style="list-style-type: none"> selection of counter-parties through credit risk analyses; establishment of investment limits per institution; establishment of investment limits per investment instrument; monitoring of investments against limits; reassessment of investment policies on a regular basis; reassessment of counter-party credit risk based on credit ratings; and reassessment of investment instruments based on liquidity requirements. 	✓			Financial policies have been reviewed and are up to date.