



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

1 APRIL – 31 JUNE 2013

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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 the Task Team on the restructuring of undergraduate diplomas and degrees is in the final editing stage and will be released towards the end of July for consultation, the outcome of which will inform the Council's advice to the Minister on this issue.

2.1.2 Second Cycle of Quality Assurance 2012 – 2017

The consultation on the draft *Framework for Institutional Quality Enhancement*, which focuses on the 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 draft framework for consideration by the Higher Education Quality Council (HEQC) and Council in the latter half of 2013. In addition, and as part of the process for building support for, and facilitating understanding of, the Quality Enhancement Project, three regional seminars on student success, which will be led by an international expert in the field, Prof Vincent Tinto of Syracuse University in the USA, are scheduled to take place in August 2013.

2.1.3 Review of Higher Education

The planned 20-year review of higher education has generated much interest and about 45 researchers, including individuals in senior leadership and management posts in higher education, have agreed to participate in the task teams that have been established to identify and engage with the key challenges in the main focus areas to be covered by the review. These include the following:

- Context.
- Regulation, private provision and quality assurance.
- Management and governance.
- Teaching and Learning.
- Research.
- Community engagement.
- Academic staffing.
- Funding.

2.2 Governance and Management Issues

2.2.1 Organogram

A revised organogram to reflect changes in posts as a result of developments in the organisation in the past year was approved by Council in June 2013. This included finalising a decision on the Executive Director: Quality Assurance post, which as previously reported was under review to ensure synergy in the relationship between the HEQC and the Council. In this regard, the Council has replaced the Executive Director post with a post at Director level for Quality Assurance Promotion and Co-ordination. The revised organogram has reduced the number of posts by one, that is, from 54 to 53.

3. MONITORING AND EVALUATION

3.1 Research Projects

3.1.1 Higher Education Performance Indicators

In this quarter, the second in a series of Higher Education "VitalStats" booklets, based on performance indicators for higher education, VitalStats 2011, which provides comparative data between 2006 and 2011, was prepared for publication in the second quarter of 2013.

3.1.2 Undergraduate Diploma and Degree Structure

As reported above, the Task Team established to review the undergraduate degree and diploma has completed its report, which is being edited and prepared for publication. The report will be released for consultation, the outcome of which will inform the Council's advice to the Minister on this issue.

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 has been produced. This background report will feed into and inform the 20-year review of higher education (discussed below).

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 planned for the second half of 2013. 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

This project, as reported above, has been launched. The research for the project is being carried out through the establishment of task teams linked to the core themes. Seven task teams have been constituted and a joint meeting of all task teams, plus the first of each group's meetings, were held in this quarter.

3.1.6 Reflections on academic leadership by retired senior academic leaders

A background paper has been completed and 6 contributions for the proposed book confirmed.

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 and the findings from this project will inform the proposed NBT project, which is still in the planning phase.
- **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 or as part of the 20-year review.
- **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.

3.1 HEQCIS

3.1.1 Data Collection

The pool for the current cycle (completed on 15 June) was made up of 125 unique PHEIs.¹ Of the 118 registered institutions using the system, 98 institutions (i.e. 79% of all unique PHEIs) successfully submitted at least one full data load each, within the cycle just completed, which is 11% better than last year at the same time. The total numbers² loaded during the cycle just completed were 175,970 learners with 192,159 qualification uptake results (34,574 achievements and 145,683 enrolments) between them (a further 11,902 were shown as de-enrolled).

¹ The two that had been de-registered after their first loads (and before the current cycle started) are excluded from this number.

² 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 overall total number of learners increased by 34 577 since the previous quarter, and the total number of qualification uptake results increased by 35 370 (5 743 achievements, 36 431 enrolments and 6 804 de-enrolments).

3.1.2 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 completed and await formal approval by the Working Group jointly established with the DHET. Approval will lay the basis for the development of a detailed implementation plan, which will be finalised in the next quarter.

4. QUALITY ASSURANCE AND QUALITY PROMOTION

4.1 Higher Education Quality Committee (HEQC)

The HEQC met twice during this period on 17 April and 12 June 2013.

4.2 Quality Promotion and Capacity Building and Quality Assurance Forums

The Accreditation Directorate held a meeting on 8 May 2013 with representatives of institutions of higher education offering Master of Business Administration (MBA) programmes and with representatives of the professional association, the South African Business Schools Association (SABSA). The purpose of the meeting was to clarify the structure of the MBA programme and the alignment process to the Higher Education Qualifications Sub-Framework (HEQSF).

Three training workshops were held: i) a joint workshop between the National Reviews and Programme Accreditation Directorates training chairpersons of the site visit panels, ii) a second workshop for chairpersons for the National Reviews of the Bachelor of Social Work; iii) one for report writers who prepare accreditation recommendations.

4.3 International Activities

The CEO participated in two workshops in this quarter:

- An International Seminar on Higher Education in Kuala Lumpur, Malaysia on 2-3 May 2013. The seminar was organised by the Malaysian Ministry of Higher Education, which is reviewing a National Strategic Plan for Higher Education and invited participants from a range of countries to share national experiences and lessons.
- A joint European Union/African Union workshop on Exploring Quality Assurance through the EU-AU Partnership in Libreville, Gabon on 31 May – 1 June 2013. A key focus of the workshop was various quality assurance initiatives that are planned by the AU, in particular, the establishment of a continental quality assurance agency. The workshop was attended by representatives of QA agencies, as well as individual higher education institutions. What was striking was the poor participation by South African institutions. This has been raised with HESA and the DHET, as it is clear that unless we actively participate as a country, we may be find ourselves having to conform to processes that we have no control over. Similar sentiments were echoed by colleagues from QA agencies in southern Africa and it was agreed to consider meeting as a regional group in the future in order to share information and to develop joint approaches to the planned initiatives.

The Institutional Audits Director attended an international conference on Enhancement

and Innovation in Higher Education from 11 to 13 June in Glasgow, organized by the Scottish Quality Assurance Agency (QAA) to celebrate ten years of their quality enhancement work. The Director also met with the head and staff of the Scottish QAA to discuss their approach to quality enhancement and the possibilities of collaboration. The QAA has indicated their willingness to assist in the development of the CHE's Quality Enhancement Project in any way that they can.

The CHE hosted a delegation from the Ugandan Ministry of Education and Sports on 7 June 2013, which was on a study tour to learn about on quality assurance in higher education.

4.4 Programme Accreditation

In this quarter the Accreditation Directorate continued processing the 176 programmes carried over from the previous financial year and commenced processing the 94 new applications for accreditation received. The accreditation process takes between 6 to 12 months to complete and therefore the processing of programmes received in one financial year may not be completed in the next financial year.

The Accreditation Committee met twice in this quarter and made recommendations on 133 programmes and 10 sites of delivery to the HEQC. It also deferred recommendation on 13 programmes, requesting further information from the institutions.

The HEQC made final decisions on 117 programmes and on 17 sites of delivery.

4.4.1 Applications Received

The number of applications received by the Accreditation Directorate from public and private providers in this quarter is indicated in Table 1 below. This includes new programmes submitted for accreditation, new or additional sites of delivery, representations and the carry-over of deferred programmes from previous Accreditation Committee meetings that were processed in this period. In all tables, Agricultural Colleges – designated as AG, have been included as public institutions.

The applications received for accreditation of new programmes are indicated in Tables 2 and 3 in terms of the NQF level and CESM category respectively.

Table 1: Applications received

Programme submissions	Private Providers	Public Providers
New submissions	37	57
Programme representations	26	24
New / additional sites of delivery	7	0
Deferred programmes	11	16 + 4(AG)
TOTAL	81	101

Table 2: New Applications received per NQF level

NQF Level	Number of Applications: Private Providers	Number of Applications: Public Providers
Level 5	10	5
Level 6	9	10

Level 7	3	13
Level 8	8	7
Level 9	5	19
Level 10	2	3
TOTAL	37	57

Table 3: New Applications Received per CESM category

CESM Category	Number of Applications: Private Providers	Number of Applications: Public Providers
Agriculture, Agricultural Operations and Related Sciences		3
Architecture and the Built Environment		
Visual and Performing Arts	3	3
Business, Economics and Management Studies	11	3
Communication, Journalism and Related Studies		1
Computer Science and Information Sciences	6	1
Education	1	8
Engineering	1	1
Health Professions and Related Clinical Sciences	6	22
Family Ecology and Consumer Sciences		
Languages, Linguistics and Literature		
Law		3
Life Sciences	1	2
Physical Sciences		
Mathematics and Statistics		
Military Sciences		1
Philosophy, Religion and Theology	5	2
Psychology		1
Public Management and Services	2	5
Social Sciences	1	1
TOTAL	37	57

4.4.2 Summary of HEQC decisions

Of the submissions that the Directorate completed processing in this quarter, recommendations on 13 programmes were deferred pending the receipt of additional information requested and will be tabled at a future HEQC meeting. A summary of the decisions by the HEQC is contained in Table 4 below:

Table 4: Summary of HEQC decisions

ITEM	TOTAL
HEQC meetings (including policy meetings)	2
Total number of programmes for accreditation	117
<i>Programmes accredited</i>	40
<i>Programmes accredited (with conditions)</i>	41
<i>Programmes not accredited</i>	35
<i>Decisions deferred</i>	1
New / additional site of delivery	17
Site visits	7
Total number of programmes for Re-Accreditation	41
Total number of programmes HEQSF aligned	568

4.4.3 Re-accreditation

The HEQC approved 41 recommendations on the re-accreditation in this quarter.

4.4.4 HEQSF aligned programmes

During this quarter, the Accreditation Directorate continued its focus on the alignment of Category A programmes. Category A programmes are those submitted by institutions as requiring only minimal technical changes to align them to the HEQSF. There were 568 Category A programmes approved as aligned and deemed accredited by HEQC in this quarter.

4.4.5 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. The Directorate has also placed greater focus on streamlining the process of invoicing applications from the private higher education institutions and has implemented changes to the invoicing process as it relates to representations, deferrals and conditions. Development of the HEQSF-online is continuing and this includes the evaluation and outcomes elements of the module.

4.5 National Reviews

The *Framework for the National Reviews of Programmes* is ready for publication. In addition the National Review manual, which was approved by the HEQC on 31 October 2012, has gone online.

The National Review of the Bachelor of Social Work is well under way. As part of the process, two training workshops were held in this quarter for panel chairpersons, as reported in 4.2 above. The online pilot for the review, which requires institutions to submit their self-evaluation reports online, was launched in June. The Directorate is preparing for the next phase of the review process, that is, the preliminary analysis of the self-evaluation reports. A workshop to train the individuals who will be undertaking the analysis of the self-evaluation reports is planned for July 2013.

The review of undergraduate physics education, which was undertaken jointly with the South African Institute of Physics (SAIP), has been completed and the SAIP is presenting the report at its annual conference in July at the University of Zululand.

4.5.1 Projects and activities – follow up to the review of education programmes

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

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

NO	INSTITUTION	PROGRAMME	RESPONSES
1	Central University of Technology	M.Ed. (Educational Management)	3 pipeline students were expected to graduate in March 2013. According to the institution, 1 student graduated early in November 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 and graduate in March 2014.
2	Tshwane University of Technology	M. Tech (Education)	2 students are left in the pipeline. 1 student is expected to submit his thesis in July and graduate in September 2013. 1 student has completed her mini dissertation which is under examination and is expected to graduate in September 2013.
3	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.
4	University of Zululand	M. Ed. (Management) B. Ed. PGCE	The University submitted a progress report in October 2012. Of the 3 students in the pipeline, 1 is expected to graduate in May 2013 and the remaining students were expected to complete their dissertations by end 2012. The Directorate has requested a progress report from the institution. 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. The University is in the process of phasing out the PGCE programme. The 9 students in the pipeline are expected to complete their studies in the period 2013-2014. The Directorate has requested a

NO	INSTITUTION	PROGRAMME	RESPONSES
			progress report from the institution.
5	Vaal University of Technology	M. Ed.	The programme has been terminated. The remaining student failed to meet the conditions of the contract and did not renew his registration.

4.6 Institutional Audits

4.6.1 The Quality Enhancement Project

The consultation on the draft *Framework for Institutional Quality Enhancement* has been completed, as indicated in 2.1.2 above. This included, aside from the meetings previously reported with the Deputy Vice-Chancellors: Academic of public higher education institutions, private providers, the statutory professional councils and the quality managers of public higher education institutions, a series of joint focus group meetings in May 2013 with selected institutions in the Eastern Cape, Free State, KwaZulu-Natal and with the University of Johannesburg. A small group of senior management members, headed by the Deputy Vice-Chancellors for Teaching and Learning, from a total of eight institutions participated. The participants represented a wide range of institutional types, including large urban, small rural, historically advantaged and historically disadvantaged, as well as traditional and comprehensive universities and universities of technology. The purpose of the focus group meetings was to brief the participants on the QEP and invite discussion on the project, particularly on the proposed initial focus areas and the envisaged methodology. The outcomes of the consultation will inform the finalisation of the draft framework for consideration by the HEQC and Council in the latter half of 2013.

A small Advisory Committee has been formed to provide intellectual, methodological and practical advice and guidance on the QEP to the Institutional Audits Directorate (IAD). The second meeting of the Advisory Committee was held on 4 April 2013. The main issues discussed were the relationship between the QEP and the first audit cycle, the envisaged outputs and outcomes of the QEP, the proposed initial focus areas and possible activities for promoting stakeholder support and engagement during 2013.

In addition, and as part of the process for building support and facilitating understanding of the Quality Enhancement Project, three regional symposiums on student success, which will be led by an internationally renowned scholar in the area of student success, Prof Vincent Tinto of Syracuse University in the USA, are scheduled to take place in August 2013. A flyer was distributed electronically to all universities on 7 June providing advance notice of the regional symposia, which will be held in Durban, Pretoria and Stellenbosch on 19, 21 and 23 August, respectively.

4.6.2 Ongoing activities from the First Cycle

The Directorate continues to carry out activities related to institutional audits that have not yet been closed. Two support meetings were held in the first quarter. A meeting was held with three members of senior management from Walter Sisulu University on 16 April to discuss the resubmission of their improvement plan, which was due on 30 April 2013. A meeting was held on 19 April with an advisor to the Rector and the Quality Assurance Manager from North-West University to discuss their progress report, which will be submitted on 5 December 2013.

The Institutional Audits Committee (IAC) met on **23** May 2013. A long discussion took place on the proposed terms of reference of this committee given that the nature of its work will change as the first cycle of audits is concluded and the QEP gets underway. A special combined meeting of the IAC and the QEP Advisory Committee has been scheduled for 1 August to discuss the draft framework. In addition, the following institutions' submissions were discussed at the IAC meeting: University of Limpopo (interim progress report), University of Johannesburg (progress report), Walter Sisulu University (resubmitted improvement plan). Recommendations from the IAC will be submitted to the HEQC for discussion at its September meeting.

5. STANDARDS DEVELOPMENT

Implementation of the *Framework for Qualification Standards in Higher Education* has been the main activity in the Directorate during this quarter. The Framework indicates that the initial focus is a pilot phase of standards development, focusing in the first instance on standards relating to the generic qualification types in the revised HEQSF and, secondly, on standards relating to the broad subject fields. Subsequent to the approval of the Framework by Council in March 2013, the Directorate has intensified preparations for the development of pilot standards. Two pilot projects commenced in this quarter, and a third one is envisaged to commence in the next quarter.

Following successful discussions with the Association of South African Social Work Education Institutions (ASASWEI) at the meeting of 4 April 2013, a twelve-member expert group was selected to participate in the development of a pilot standard for the Bachelor of Social Work degree (BSW). The CHE also selected a group of eighteen academic experts in consultation with the South African Business Schools Association (SABSA) to serve in the Master of Business Administration degree (MBA) expert group. Initial 2-day workshops for both the BSW and MBA groups were held on 5-6 June and 10-11 June respectively. The main purpose of these workshops was to give effect to the approved Framework.

The workshops covered, among other matters, the process of development of a qualification standard. They also sought to identify distinctive features of the BSW and MBA degrees, to seek areas of mutual agreement and reconcile areas of difference, and to agree on areas needing further inquiry. Significant progress was made. First steps were taken in drafting standard statements, which will subsequently require a number of iterations by the working groups, before being published for comment and input from other interest groups prior to CHE approval and registration.

Preliminary discussions for Bachelor of Laws degree (LLB) have been held with the South African Law Deans Association (SALDA). At a summit held on 29 May, it was agreed that the CHE would be requested to coordinate the process of developing a standard for a law degree. It is anticipated that the negotiations with SALDA will be finalized, and the development of a pilot standard, will commence in the second quarter of the year.

6. CORPORATE SERVICES

6.1 Human Resources

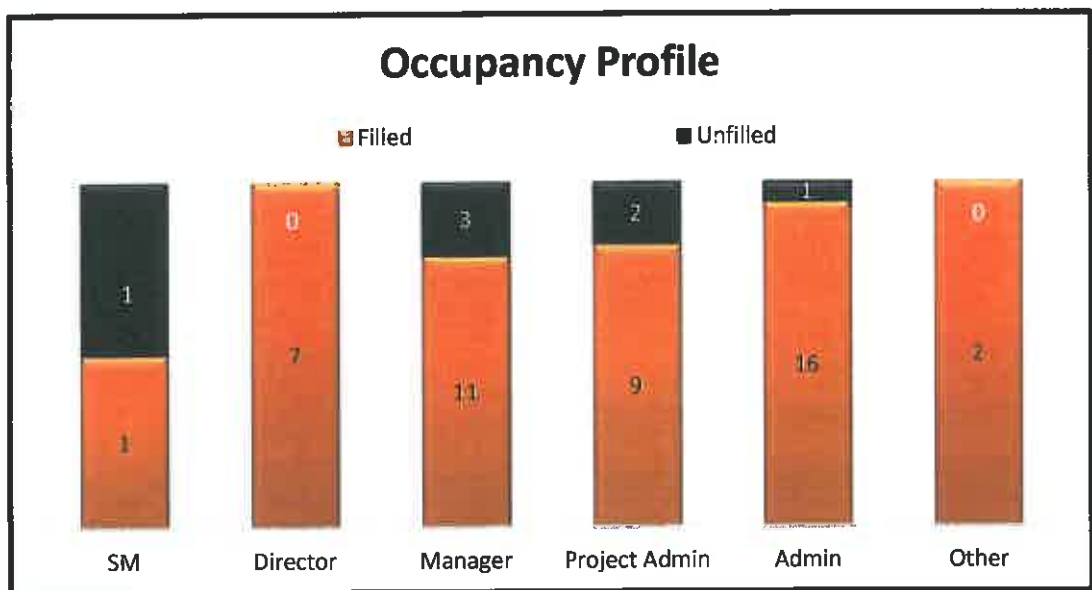
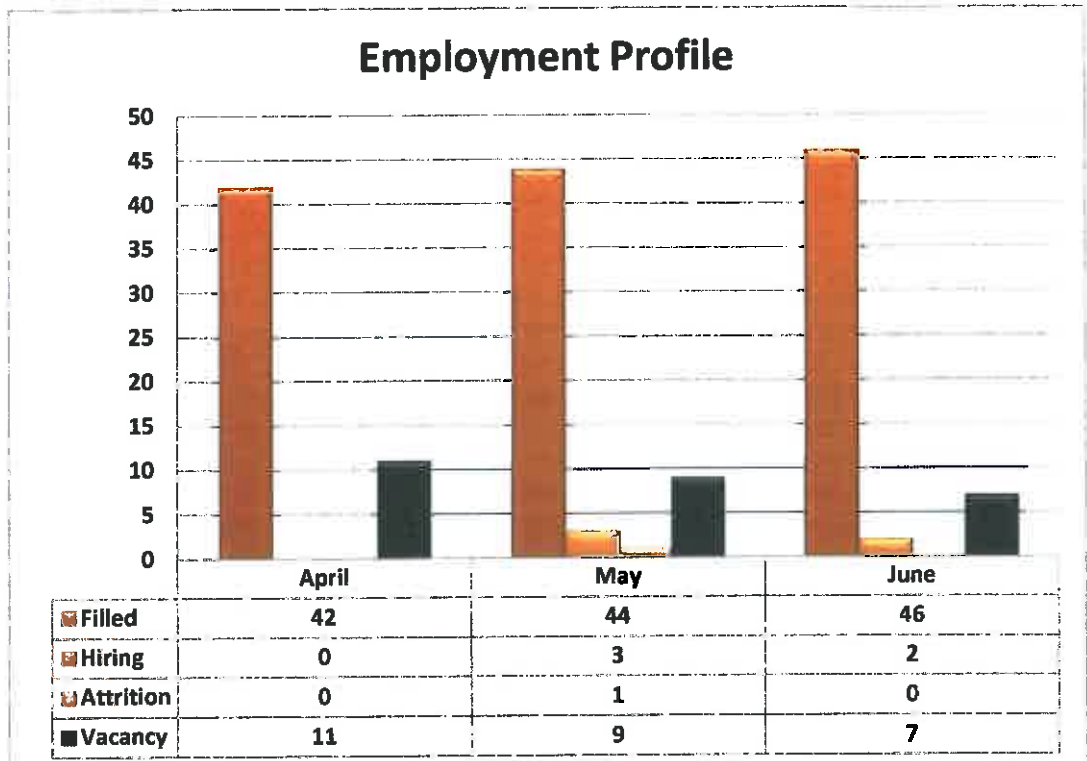
6.1.1 Employment Profile

The Council approved a revised organisational structure in June 2013. This included the replacing of the Executive Director: Quality Assurance post with that of Director: Quality Assurance, Promotion and Co-ordination (as discussed in 2.21 above) and the abolishing of the Librarian post. This has decreased the CHE staff compliment from 54

to 53. The new position has since been advertised and it is anticipated that the recruitment and selection process should be finalised by September 2013.

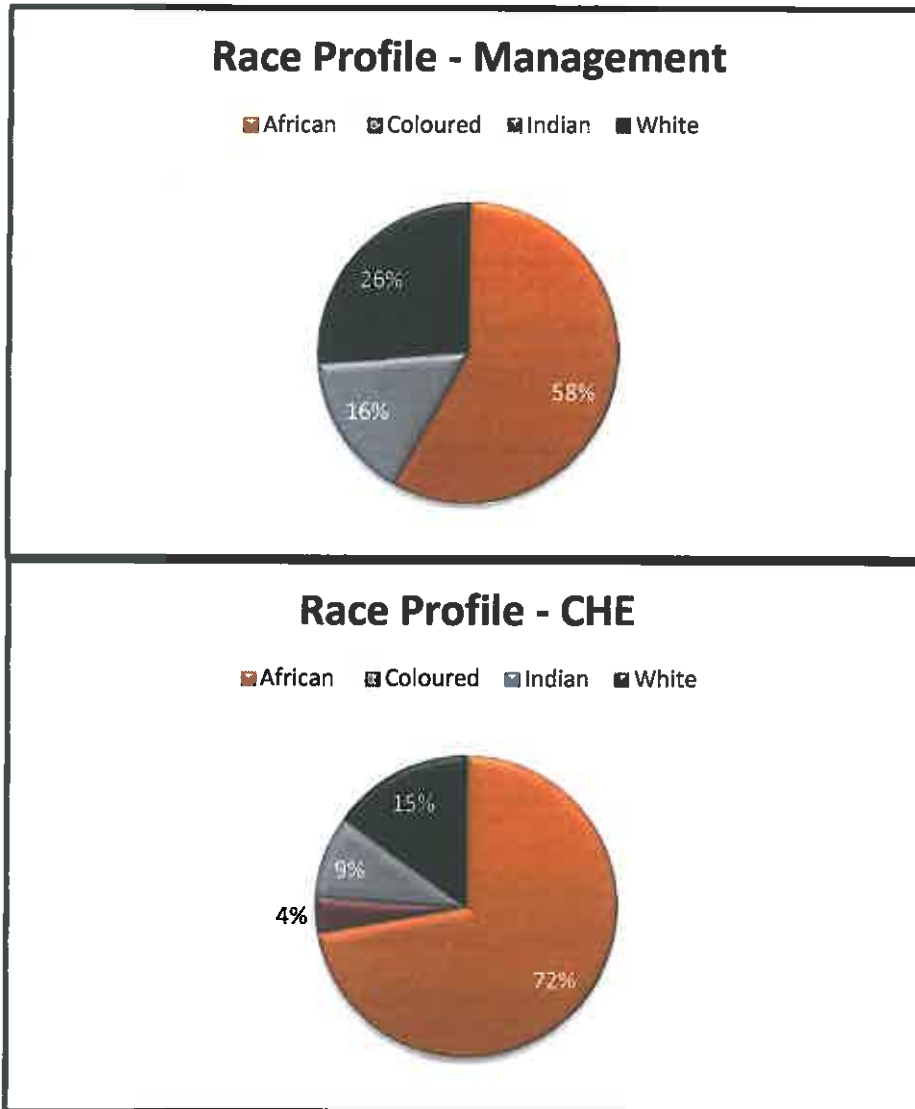
6.1.2 Appointments and Resignations

There has been one (1) resignation and five (5) appointments during the last quarter. This brings the total number of filled positions to forty six (46) with seven (7) unfilled positions, which is a significant improvement compared to the last quarter. This is illustrated in the graphs below.



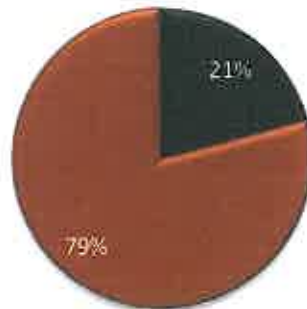
6.1.3 Employment Equity Profile

The CHE has a current staff complement of 53, including vacancies. The overall profile in terms of race and gender is 72% African, 4% Coloured, 9% Indian, 15% White and 74% female and 26 % male). The profile at management level is 58% African, 0% Coloured, 16% Indian, 26% White and 21 % male and 79 % female. This is reflected in the graphs below.



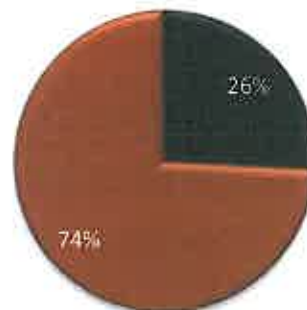
Gender Profile - Management

■ MALE ■ FEMALE



Gender Profile - CHE

■ MALE ■ FEMALE



6.1.4 CHE Wellness Programme

The CHE has partnered with a company called Ergoways to drive its employee wellness programme. The programme was officially launched on 28 June 2013. The employees were involved in the branding of the programme which was unveiled on the day of the launch, through an internal staff competition. The name for the programme is "Impilo Wellness". There was widespread excitement and staff participation. The wellness programme is **not** only intended to improve the health of employees and reduce absenteeism **but** to improve employee morale and increase productivity.

6.1.5 Staff Teambuilding Workshop

A staff team-building workshop was held on 9-10 May 2013 to discuss the issues and concerns raised by the staff in the meetings with directorates that were held in late 2012/early 2013. The workshop was constructive and characterised by widespread participation and open and honest reflection on the challenges that face the organisation. It was agreed to establish a number of small task teams to develop proposals and find solutions to address the identified challenges. The task teams will cover the following broad areas:

- Career progression and staff retention.
- Communications - both internal and external.
- Organisational culture, including revisiting the vision, mission and values of the CHE.
- Participation in organisational processes, including decision-making processes.
- Reviewing support services to ensure that it contributes to enabling the CHE to meet and deliver on its core mandate.

6.2 FINANCE AND SUPPLY CHAIN

6.2.1 Tenders

No tenders were awarded during this quarter.

6.2.2 Internal and External Audit

The external auditors commenced with the statutory audit. The final management letter and audit report will be issued on 31 July 2013. These draft reports will be discussed at the next Audit and Risk Committee meeting scheduled for 18 July 2013.

No internal audits were conducted during this quarter.

7. PERFORMANCE INDICATORS

NON-FINANCIAL PERFORMANCE PLAN INDICATORS: 2013/14

Strategic Objective	Programme	Performance Indicator	2012 - 2013	2013 - 2014 - First Quarter: 1 April 2013 - 30 June 2013				Evidence / Comment	
			Audited output	Annual target 1 April - 30 March 2014	1st Quarter Target April - June 2013	Cumulative Total First quarter April - June 2013	1st quarter Actual Output April - June 2013		Challenges
Advising the Minister	Advise the Minister on request or on own initiative	Number of responses to requests for advice	0	100%	100% of requests received	0	0	No requests were received in the first quarter	The number responses cannot be predetermined as it is dependent on the number of requests received from the Minister.
			1	1	0	0	0	No advice was initiated in the first 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.
Monitoring the state of higher education	Research projects	Production of performance indicators report (on-going projects).	1	1	0	0	0		Performance indicators to assess the state of the higher education system.
			2	2	2	2	2		
			1	2	2	2	2		Both the 20-year review of higher education and the reflections on academic leadership projects were initiated in the first quarter.

2013 - 2014 - First Quarter: 1 April 2013 - 30 June 2013										
Strategic Objective	Programme	Performance indicator	2012 - 2013		2013 - 2014 - First Quarter: 1 April 2013 - 30 June 2013					
			Audited output	Annual target 1 April - 30 March 2014	1st Quarter Target April - June 2013	Cumulative Total First quarter April - June 2013	1st quarter Actual Output April - June 2013	Challenges	Evidence / Comment	
	Dissemination of research findings	Number of publications.	4	2	0	0	0	0	Publication of research reports.	
Development and management of HEQSF	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	0	568 programmes	568 programmes	568 programmes	Finalising processing of Diploma, and late submissions of Category A programmes	
Development, registration and publication of qualifications	Development of qualification standards	Consultation on models.	0	1	0	0	0	0	Agenda and consultative workshop documentation. Report on the outcomes of the consultative workshop.	
NLRD Database	Collecting data from private institutions	Number of private providers that will be contributing to the HEQCIS database.	0	10 (6 QTV; 4 FS)	2	0	0	2(3QTV; 2FS)	Bachelor of Social Work and Master of Business Administration Drafts Statements	
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	81%	75% of service providers	0	79%	79%	79%	HEQCIS quarterly report	
			4	100% monitoring of all improvement plans and progress reports received	0	0	0	0	Walter Sisulu University was placed under administrators 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 - First Quarter: 1 April 2013 – 30 June 2013										
Strategic Objective	Programme	Performance indicator	2012 - 2013		Annual target 1 April – 30 March 2014	1st Quarter Target April – June 2013	Cumulative Total First quarter April – June 2013	1st quarter Actual Output April – June 2013	Challenges	Evidence / Comment
			Audited output							
Institutional programme accreditation and re-accreditation	Development of framework for institutional quality enhancement of teaching and learning.	Framework for institutional quality enhancement of teaching and learning developed	n/a		1	0	0	0		A draft framework will be finalised in 2012/13 and a revised framework based on the outcomes of a number of consultative processes will be finalised in 2013/14.
	Pilot institutional quality enhancement framework	Pilot quality enhancement framework	n/a		100%	0	0	0		It was decided to carry out activities to build support for, and facilitate understanding of, the Quality Enhancement Project, rather than run a pilot. Four focus group meetings were held. Evidence consists of agenda from meetings and events and registration lists of participants.
Institutional programme accreditation and re-accreditation	Accreditation of new programmes submitted by public and private higher education institutions	Number of candidacy phase programmes processed and recommended for decision by the HEQC	95% 288 programmes recommended 302 received		100% of applications received	100% 117 recommendations	100% 117 recommendations	100% 117 recommendations	The number of applications received varies annually.	Accreditation Committee and HEQC minutes.
	Re-accreditation of programmes offered by private higher education institutions	Number of new/additional sites of delivery processed including site visits Number of programmes recommended for re-accreditation by the HEQC	New/additional sites of delivery 100% - 51 Site visits 100% - 51 88% 66 were recommended 75 received		100% of applications received	100% 24 sites	100% 24 sites	100% 24 sites	The number of applications received varies annually.	Accreditation Committee and HEQC minutes.

2013 – 2014 - First Quarter: 1 April 2013 – 30 June 2013										
Strategic Objective	Programme	Performance indicator	2012 - 2013		Annual target 1 April – 30 March 2014	1st Quarter Target April – June 2013	Cumulative Total First quarter April – June 2013	1st quarter Actual Output April – June 2013	Challenges	Evidence / Comment
			Audited output							
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 Draft reports	0		100% of sites where the programme is offered.	0	0	0	No site visits were planned for this period.	Site visit reports. The number of site visits will depend on the number of institutions that offer the programme being reviewed.
			0		100% for all institutions reviewed	0	0	0	Not applicable at this stage.	Draft individual institutional accreditation reports for the Bachelor of Social Work will be finalised in 2013/14 and approved reports finalised in 2014/15.
			1		1	1	1	1	1	One workshop was a joint workshop with National Reviews
Quality promotion and capacity-building	Training of evaluators for programme accreditation and re-accreditation	Number of training workshops for evaluators	n/a		1	1	2	2	One workshop was a joint workshop with Programme Accreditation	Workshop documentation
	Training of evaluators for national reviews	Number of training workshops for evaluators	6		3	0	0	0	n/a	Workshop documentation
	Quality assurance forums for public and private institutions and professional bodies	Number of forums	5		5	0	0	0	n/a	Awards presented at the annual HELTASA Conference.
Human resources management and development	HELTASA / CHE Awards Project	Annual awards	57% of funds budgeted		100% implementation of the plan	10% implementation	17.5%	17.5% (8)		Training attended Implementation of the training plan.
	Skills Development Plan	Development and implementation of the Skills Plan.	100%		95% of vacancies filled	10% vacancies filled	33%	33% (4)		Quarterly Vacancy Report.

2013 – 2014 - First Quarter: 1 April 2013 – 30 June 2013										
Strategic Objective	Programme	Performance Indicator	2012 - 2013		Annual target 1 April – 30 March 2014	1st Quarter Target April – June 2013	Cumulative Total First quarter April – June 2013	1st quarter Actual Output April – June 2013	Challenges	Evidence / Comment
			Audited output							
	Achieve organisational growth and sustainability	Functioning performance management system	n/a		100% of performance contract signed	100% of performance contract signed	100%	100% (46)		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	25%	25% (3 males)		EE targets are monitored regularly.
	Supply Chain Management system maintained and improved	Establishing BEE procurement targets for the organization	n/a		50%	10%	5%	5%		Discussions within the unit have started.
Supply Chain Management system maintained and improved	Contracts Management	Develop Key Supplier Management Tool	n/a		30%	5%	10%	10%		Supplier performance template developed Contracts management register

8. QUARTERLY EXPENDITURE REPORT



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	Total Expenditure to date	Total Budget 2013/2014	% to date
R	R	R	R	R	R	

SUMMARY

	ACTUAL	FORECAST	FORECAST	FORECAST	YTD	BUDGET
INCOME	11,901,919	12,068,143	12,068,143	12,068,143	11,901,919	46,232,670
DHET - Government grant	10 472 000	10 472 000	10 472 000	10 472 000	10 472 000	41 888 000
Private Accreditation - Cost Recovery	836 000	500 000	500 000	500 000	836 000	1 641 000
Interest Income	217 897	215 000	215 000	215 000	217 897	525 000
Other Income	36 780	15 000	15 000	15 000	36 780	
Realisation of Deferred Transfer - New Mandate : Standards Development	339 242	866 143	866 143	866 143	339 242	2 178 670
						16%

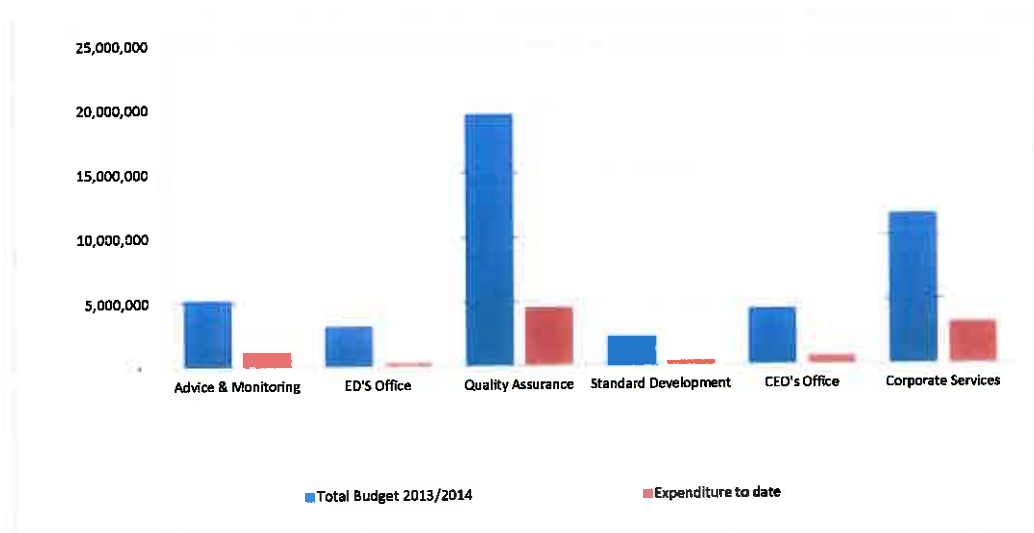
EXPENDITURE	10,161,439	11,953,286	11,953,286	11,953,286	10,161,439	46,021,298	22%
PERSONNEL	5 225 451	6 883 516	6 883 516	6 883 516	5 225 451	25 876 000	20%
GOODS AND SERVICES	4 771 505	4 627 931	4 627 931	4 627 931	4 771 505	18 655 298	26%
CAPEX	164 482	441 839	441 839	441 839	164 482	1 490 000	11%

SURPLUS	1,740,480	114,857	114,857	114,857	1,740,480	211,372
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Summary of Quarterly Expenditure Report

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

Mandate area		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	% to date
		BUDGET	ACTUAL	FORECAST	FORECAST	FORECAST	YTD	
AM	Advice & Monitoring	5,164,900	1,155,368	1,336,510	1,336,510	1,336,510	1,155,368	22%
ED	ED'S Office	3,138,414	297,978	946,812	946,812	946,812	297,978	9%
QA	Quality Assurance	19,539,215	4,534,817	4,848,466	4,848,466	4,848,466	4,534,817	23%
ST	Standard Development	2,178,670	339,242	866,143	866,143	866,143	339,242	16%
Corporate Services								
CS	CEO's Office	4,352,784	598,256	1,151,510	1,151,510	1,151,510	598,256	14%
SS	Corporate Services	11,647,315	3,235,779	2,803,845	2,803,845	2,803,845	3,235,779	28%
Total		46,021,298	10,161,439	11,953,286	11,953,286	11,953,286	10,161,439	22%



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

Operational level		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	% to date
		BUDGET	ACTUAL	FORCAST	FORCAST	FORCAST	YTD	
CS	001 CEO's Office	4,352,784	598,256	1,151,510	1,151,510	1,151,510	598,256	14%
CS	002 Corporate Services	11,647,315	3,235,779	2,803,845	2,803,845	2,803,845	3,235,779	28%
AM	003 Advice & Monitoring	5,164,900	1,155,368	1,336,510	1,336,510	1,336,510	1,155,368	22%
QP	004 ED'S Office	3,138,414	297,978	946,812	946,812	946,812	297,978	9%
QA	006 Institutional audits	4,395,771	654,223	1,247,182	1,247,182	1,247,182	654,223	15%
QA	007 Accreditation	11,798,534	3,473,223	2,625,104	2,625,104	2,625,104	3,473,223	29%
QA	008 National Reviews	3,344,911	407,371	976,180	976,180	976,180	407,371	12%
ST	009 Standard Development	2,178,670	339,242	866,143	866,143	866,143	339,242	16%
Total		46,021,298	10,161,439	11,953,286	11,953,286	11,953,286	10,161,439	22%

COUNCIL ON HIGHER EDUCATION



	QUARTERLY EXPENDITURE REPORT			
	Total Budget 2013/2014	1st Quarter 01/04/2013 - 30/06/2013	Total 2013/2014	Exp Vs Budget
	R	R	R	%
INCOME SOURCES	46,232,670	11,901,918.92	11,901,919	26%
DHET - Government grant	41 888 000	10 472 000	10 472 000	25%
Realisation of Deferred transfer - New Mandate : Standards Setting - Total amount Roll-over 2013/2014	2 178 670	339 242	339 242	0%
Private Accreditation - Cost Recovery	1 641 000	836 000	836 000	51%
Rental Income - Auditorium fees	525 000	217 897	217 897	42%
Interest Income		36 780	36 780	0%
Other Income				
Roll over cash surplus for committed expenditure				
Income carried over to next quarter				
EXPENDITURE	46,021,298	10,161,439	10,161,439	22%
ACCOMMODATION	1 608 637	42 919	42 919	3%
AIR TRAVEL	2 891 805	278 467	278 467	10%
CAR HIRE	342 548	2 761	2 761	1%
PARKING AND TOLLGATES	44 952			0%
ROAD TRAVEL	208 318	12 416	12 416	6%
SERVICE FEES	186 490	2 244	2 244	1%
SUBSISTENCE	52 061	6 179	6 179	12%
CONSULTANCY	5 548 626	2 565 319	2 565 319	46%
ADMINISTRATION	1 106 673	125 535	125 535	11%
REGISTRATION FEES	5 394	5 394	5 394	
VENUE AND CATERING	781 535	66 944	66 944	9%
CONSUMABLES		26 102	26 102	
HONORARIUMS	550 205	52 500	52 500	10%
OTHER CORPORATE EXPENSES	1 628 167	294 344	294 344	18%
LICENCE FEES	203 300	62 034	62 034	31%
MEDIA & RESOURCES	296 838	2 986	2 986	1%
INFORMATION SYSTEMS	1 763 000	731 180	731 180	41%
BUILDING & UTILITIES	1 442 144	494 179	494 179	34%
PERSONNEL	25 876 000	5 225 451	5 225 451	20%
FINANCE LEASE	150 000	60 286	60 286	40%
CAPEX	1 340 000	104 196	104 196	8%
INCOME LESS EXPENDITURE	211,372	1,740,480	1,740,480	

COUNCIL ON HIGHER EDUCATION
PUBLIC ENTITY (Schedule 3A)
THE PUBLIC FINANCE MANAGEMENT ACT, 1999
and
THE TREASURY REGULATIONS
COMPLIANCE CERTIFICATE FOR
FIRST QUARTER ENDED 30 JUNE 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(1)(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 27.1.5		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	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: <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. 	✓			
			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? Does the annual report and financial statements include: <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		Did the executive authority table the annual report and financial statements within one month after the accounting authority received the audit report? 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?	✓			
	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		If yes, to above, does the disclosure include? <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.