COUNCIL ON HIGHER EDUCATION

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

1 OCTOBER – 31 DECEMBER 2015

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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

Prof Narend Baijnath was appointed as Chief Executive Officer of the CHE in August and assumed duty on 1 October 2015.

2.1 STRATEGIC PROJECTS IN THE OFFICE OF THE CEO

2.1.1 Governance Challenges in Public Higher Education

The research on governance and management challenges in higher education, which focuses on the size, composition and role of university Councils, including comparative international experience on codes of conduct for Councils, has been discussed with Council and further research is being undertaken to inform potential advice on this matter.

2.1.2 Development of a framework to govern the tripartite relationship involving the CHE, professional councils and higher education institutions

A working group on the tripartite relationship involving the CHE, professional councils and higher education institutions was established in 2014 to come up with mechanisms to improve the working relationship of these three key role players in the area of accreditation of professional higher education programmes. The working group asked the CHE to draft a framework that, once finalised and adopted, would govern the tripartite relationship.

The first draft of the framework was completed and circulated to members of the working group for inputs and comments. A meeting of the working group was held in November 2015, where the members' inputs and comments on the draft were discussed. The meeting resolved that the draft needs to be improved taking into consideration the inputs received. It also agreed that the second draft should be finalised during the first quarter of 2016.

The CHE will be convening a workshop of professional councils in March 2016. The draft framework will be presented to a wider group of stakeholders at this workshop with the intention of securing their buy-in.

2.1.3 Development of a guide document for the quality management of short courses

The work of developing a good practice guide for the quality management of short courses that do not lead to qualifications or part-qualification on the Higher Education Qualifications Sub-Framework (HEQSF) proceeded to an advanced stage. A seventh draft of the good practice guide document was sent out to four external peer reviewers in September 2015, and they submitted their inputs and comments in November 2015.

The process of attending to issues pointed out by the reviewers, and revising the draft accordingly, is underway. It is expected that the eighth draft would be ready to serve at the next meeting of the Higher Education Quality Committee (HEQC) in March 2016 to obtain approval to proceed towards finalising the guide document.

2.1.4 Programme and Strategic Matters

2.1.5 Advising the Minister of Higher Education and Training

Advice to the Minister on the amended regulations for the registration of private higher education institutions

Regulations for the registration of private higher education institutions were first promulgated in 2002. The regulations have since been amended four times: in 2004, 2005, 2006 and 2007. In 2014, the Minister directed that a further review of the regulations be undertaken with a view towards improving the administrative processes for the registration, and for the annual monitoring of compliance of registered private higher education institutions. The draft amendments were published for public comments in October 2014. Subsequent to consultations and public comments, the draft amended regulations were revised, and on 12 November 2015, the Director-General of the Department of Higher Education and Training sent a letter to the CHE requesting advice on the amendments before finalisation and promulgation.

The CHE carefully studied the draft amended regulations, and advised that the Department may proceed to finalise and eventually promulgate them. It also advised that the process of finalisation should include addressing a number of issues of concern that were identified. Chief among those concerns is the fact that the Higher Education Act, the legislation on which the regulations are based, is in the process of being amended. It is therefore not clear at this stage whether or not the amendment of the Act could necessitate concomitant changes in the regulations just soon after the current process of amending them. The CHE advised that the uncertainty on this matter needs to be cleared before finalisation of the revised regulations.

2.1.6 NQF-related activities

CHE representatives took part in the work of the following five SAQA-led reference groups and task teams/committees:

- Reference group on the development of a new policy and criteria for the evaluation of foreign qualifications. The draft policy was finalised after incorporating inputs from stakeholder consultation and public comments; and was expected to serve at a SAQA Board meeting towards the end of 2015 for final approval.
- Reference group on the development of guidelines for good practice for learning that does not lead to a qualification or part-qualification. The draft guideline document was finalised after incorporating inputs from stakeholder consultation and public comments; and was served at the 2 December 2015 SAQA Board meeting for final approval.
- Task team on the development of a policy on dealing with misrepresentation of qualifications. The initial draft served at the CEO's Committee in November 2015.
- Task team on the revision of the joint communiqué on interim guidelines for the registration and accreditation of private providers offering qualifications and part-qualifications in the trade and occupational sector. The initial draft served at the CEO's Committee in November 2015, and the Committee recommended some substantive revisions, which have since been effected.
- Committee on NQF advocacy and communication which looks at effective channels and strategies for keeping stakeholders informed about developments with regard to the NQF.

2.1.7 International Conferences

Three staff members travelled internationally during this quarter.

Dr Amani Saidi, Director Quality Assurance and Promotion Coordination attended the 2nd Southern African Regional Conference on Quality Assurance in Higher Education held in Gaborone, Botswana: 27 – 29 October 2015. He presented a paper based on the work he is doing on developing a guide for the quality management of short courses that do not lead to qualifications or part-qualifications on the Higher Education Qualification Sub-Framework (HEQSF), chaired a session on topical issues that impact on quality in higher education and represented the CEO of the CHE in a symposium of CEOs of quality assurance agencies in the southern African region.

Dr Neo Lekgotla laga Ramoupi, a researcher in the Monitoring and Evaluation Directorate presented a paper, Myth of Absence of Black South Africans with PhDs: Impacts on the Modes of Knowledge Production in the African University at the First International Conference of the African Studies Association of Africa (ASAA) held at the University of Ibadan, Nigeria from 13 – 17 October 2015.

Ms Olivia Mogatle, Director National Standards and Reviews attended a Quality Assurance Agency for Higher Education (QAA) reviewer training event held in Swindon, England from 19-23 October 2015.

2.2 Governance and Management Issues

2.2.1 Strategic Plan 2015-2020 - Annual Performance Plan 2016/17 - MTEF Budget 2016/17-2018/19

The final draft of the Strategic Plan 2015-2020, Annual Performance Plan 2016/17 and the MTEF Budget 2016/17-2018/19-2019/20 was submitted to DHET on 15 November 2015.

The draft Strategic Plan 2015 – 20 and Annual Performance Plan 2016/17 for the CHE were reworked to ensure that they met the requirements of the National Treasury as outlined in its regulatory framework: *Framework for Strategic Plans and Annual Performance Plans*. In particular, a 'Situation Analysis' was added with sections on 'Performance Environment', 'Organisational Environment', and 'Description of the Planning Process'. The lists of activities planned for 2016/17 financial year were also revised by streamlining them to ensure that they matched with the financial and personnel resources available. The performance indicators and the corresponding targets were also revised.

Portfolio Committee for Higher Education
A presentation based on the annual report for 2014/15 was prepared for the CEO to present it to the Parliamentary Portfolio on Higher Education in October 2015.

Standing Committee on Appropriations on the funding implications of zero fee increment in universities for 2016.
The Chairperson of the CHE and the CEO made a presentation to parliament on 4 November 2015.

2.2.2 Meetings

Four governance meetings were held during this quarter

- 20 October Audit and Risk Committee (ARC)
- 22 October Executive Committee (EXCO)
- 25 November Higher Education Quality Committee (HEQC) and
- 26 November Council.

3. MONITORING AND EVALUATION

3.1 Research Projects

3.1.1 Higher Education Performance Indicators

VitalStats 2013 is being disseminated, and the next edition is in preparation.

3.1.2 The Director presented at the stakeholders and expert group meeting on a proposal to develop university governance indicators at a DHET workshop 6 November held at the University of Pretoria.

3.1.3 Student Governance at Public Higher Education Institutions

A paper based on the research undertaken in this project has been developed for internal discussion.

3.1.4 Review of the State of Higher Education: 1994-2014

All the chapters of the review have been peer-reviewed and edited, and it will be sent to the publisher in the next quarter. A colloquium on student funding based on one of the chapters was held in December 2015, in which a number of papers by a range of experts were delivered. A report on the colloquium including a refinement of its main findings has been commissioned.

3.1.5 Reflections on Academic Leadership

The publication of the book is in process.

3.1.6 Admissions and Placement Mechanisms in Higher Education Institutions

Given that the Minister's response to the Task Team's proposal for undergraduate curriculum reform suggests that the proposal will not be adopted immediately, this project has been put on hold.

3.1.7 The role of information communication technology (ICT) in higher education

This project is still in the conceptualisation phase; it was placed on hold until other large projects have been completed. It is also budget-dependent.

3.2 HEQCIS: Data Collection

Since inception:

Of the **155** institutions that had started using the system, **127** institutions[1] (i.e. **97%** of all 131 unique PHEIs that are expected to use the system) had submitted at least one full data load each. The total numbers loaded onto the HEQCIS, thus far, were **345 328** learners with **368 209** qualification uptake results (**92 740** achievements and **251 039** enrolments) between them (a further **24 430** were shown as de-enrolled), an increase of **17 776** learners loaded thus far during the second cycle[2] of 2015 (the "current cycle").

Most recent data-load cycle:

The pool for the current cycle (which came to an end on 15 December 2015) is made up of **118 unique PHEIs**. Of the **118** registered institutions using the system, **97** institutions (i.e. **82%** of all unique PHEIs, which is 6% lower than last year at the same time) have successfully submitted at least one full data load each, within the current cycle. The lower submission rate could be attributed to the introduction of the loading of data into the new sections of the database (especially Staffing data), which became

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

[2] The first cycle of 2015 was 16 December 2014 to 15 June 2015. The second (current) cycle is 16 June to 15 December 2015.

compulsory for all PHEIs from 11 August 2015. The total numbers[3] loaded during the current cycle are **287 116** learners with **323 698** qualification uptake results (**88 694** achievements and **211 342** enrolments) between them (a further **23 662** were shown as de-enrolled).

3.3 Private Higher Education Management Information System

The database structure has continued to work well.

The pilot of the loading of data into the additional sections of the database that were requested via the PHEIs' Working Group, namely staff member information and student FTEs, was completed in July 2015. The loading of data into the new sections of the database (especially staffing data) became compulsory for all PHEIs from 11 August 2015.

The read-only connection to the database, set up by Praxis for HEQCIS staff plus some CHE staff and the NLRD Director, continued to work well.

4. QUALITY PROMOTION AND CAPACITY DEVELOPMENT

4.1 CHE/HELTASA National Teaching Excellence Awards

Every year the CHE in collaboration with the Higher Education Learning and Teaching Association of Southern Africa (HELTASA) organises the National Teaching Excellence Awards. The CHE manages the processes and logistics of the CHE/HELTASA Awards. It also provides, from its budget, the cash prizes for the Awards. Each year, five Awards are handed out, each with R30 000 cash prize.

The 2015 Awards ran smoothly. The call for applications for the Awards went out in March 2015, and interested academics had until end of June 2015 to submit their teaching portfolios. The Awards Selection Committee met on 12 August 2015 to consider all the portfolios received and to come up with a short-list of candidates for further consideration. At this meeting eleven candidates were shortlisted to be interviewed via skype. The interviews took place during the second meeting on 10 September 2015 where the final winners were selected. The 2015 Award winners are as reflected below:

Names	Institution
Ms Carolyn McGibbon, Mr Gwamaka Mwalemba and Prof Elsje Scott (Teaching Team)	University of Cape Town
Prof Tania Hanekom	University of Pretoria
Ms Marianne McKay	Stellenbosch University
Ms Adri Prozesky	University of South Africa
Prof Michael Savage	University of KwaZulu-Natal

[3] 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 six reflected below received commendations which mean that, although they were not judged as exceptional teachers, they were nevertheless good teachers. The commendations serve to encourage them to continue developing in certain aspects of their teaching profession.

Names	Institution
Dr Ansie Fouché	North West University
Prof Delawir Kahn	University of Cape Town
Mr Njabulo Gumede	Mangosuthu University of Technology
Dr Aneshkumar Maharaj	University of KwaZulu-Natal
Prof Lara Ragpot	University of Johannesburg
Prof James Swart	Central University of Technology

The Awards ceremony was part of the 2015 HELTASA Conference Galla Dinner that took place on 20 November 2015 at North West University, Potchefstroom Campus.

4. 2 Quality Assurance (QA) Fora

The dissemination of information through quality assurance fora is a key long-term project of the CHE's Quality Promotion and Capacity Development function. Every year the CHE organises and facilitates QA fora for public universities, private higher education institutions and professional councils.

The CHE organised the 2015/16 QA forum for the public universities which took place on 6 October 2015 at the CHE. A total of 42 delegates from 21 public universities attended. The theme of the QA forum was *Quality Assurance and Modes of Delivery* with a special focus on the distance mode of delivery. Experts in the fields of designing and developing curricula for distance education, as well as in distance education pedagogy, were sourced from across the country, to make presentations. Discussions were based on those expert presentations.

The 2015/16 QA forum for the private higher education institutions was organised and took place on 8 October 2015 at Birchwood Hotel in Boksburg. It was attended by 185 delegates from 92 private higher education institutions. It was on the same theme and took the same format as that for public universities as already explained above.

The delegates who attend both QA fora provided positive feedback in the post-workshop evaluation surveys. Most delegates indicated that they would prefer to see the CHE increase the frequency of the QA fora.

The 2015/16 QA forum for professional councils will take place in March 2016.

4.3 CHE Electronic Newsletter

The CHE electronic newsletter project was launched early 2015 to basically provide another avenue for the dissemination of information on the quality assurance and promotion activities of the CHE to the wider stakeholder community. The first issue of the newsletter was distributed to stakeholders in June 2015 and the feedback was generally positive. The second issue was completed and distributed to stakeholders in

November 2015. It contained more than ten articles, most of which were about the activities of, and developments within, the quality assurance and promotion directorates in the CHE. A couple of articles were about quality assurance and promotion-related developments at universities in the country.

4.4 2nd Southern African Regional Conference on Quality Assurance in Higher Education

Following on the success of the inaugural Southern African Regional Conference on Quality Assurance in Higher Education held in Zimbabwe in 2014, the second one took place in Gaborone, Botswana from 27 to 29 October 2015. It was hosted by the Botswana Qualification Authority (BQA) and the Human Resources Development Council (HRDC), the two bodies jointly responsible for quality assurance in higher education in Botswana. It was attended by over 120 delegates including 30 from higher education quality assurance agencies in seven other southern African countries: Lesotho, Mozambique, Namibia, Seychelles, South Africa, Swaziland and Zimbabwe.
The conference comprised paper presentation sessions; a symposium of the CEOs of quality assurance agencies in southern Africa; a session for the launch of the Southern African Quality Assurance Network (SAQAN) and the adoption of its Constitution; two networking dinners; and an excursion.

The theme of the conference was '*Promoting Cooperation and Collaboration in Quality Assurance in Higher Education in the Southern African Region*'.

Dr Amani Saidi, Director: Quality Assurance and Promotion Coordination attended the conference. He presented a paper based on the work he is doing on developing a guide for the quality management of short courses that do not lead to qualifications or part-qualifications on the Higher Education Qualification Sub-Framework (HEQSF). He also chaired a session on topical issues that impact on quality in higher education. Papers in this session discussed issues such as funding of higher education, diversification of modes of delivery of high education programmes, internationalisation of higher education and institutional arrangements for quality assurance and promotion in different countries in the region.

Dr Saidi also represented the CEO of the CHE in symposium of CEOs of quality assurance agencies in the southern African region. This symposium aimed at canvassing support of key stakeholders for the new regional network, the Southern African Quality Assurance Network (SAQAN), which was also launched at the conference. He furthermore attended the first meeting of the interim Executive Committee of SAQAN. It is at the latter meeting that the CHE was requested to consider hosting the 2016 regional conference which will also include the first General Assembly of SAQAN, as well as the elections of substantive members of the Executive Committee of SAQAN.

4.5 26th International Council for Open and Distance Education (ICDE) Conference

The University of South Africa hosted the 26th International Council for Open and Distance Education (ICDE) conference at Sun City in October 2015. The conference was attended by more than 800 delegates from 23 countries. The theme of the conference was '*Growing Capacities for Sustainable Distance E-learning Provision*'.

Dr Marianne Engelbrecht, CHE Manager: Quality Promotion and Capacity Development attended the conference and delivered a presentation titled: 'The art of shapeshifting:

academic leaders in times of change'. The presentation was well-received by the conference delegates who attended.

4.6 9th Action Learning, Action Research Association (ALARA) and 13th Participatory Action Research World Congress

The 9th Action Learning, Action Research Association (ALARA) and 13th Participatory Action Research World Congress were organised jointly and held in Centurion, Pretoria in October 2015. The theme of the joint congress was *'Collaborative and Sustainable Learning for a fairer World: Rhetoric or Reality'*.

Dr Marianne Engelbrecht, CHE Manager: Quality Promotion and Capacity Development attended the conference and delivered a presentation titled: 'Facilitating strategic foresights to independent non-executive directors: a strategic approach to corporate governance in South Africa'. The presentation was well-received by those the conference delegates who attended.

4.7 Programme Accreditation

The HEQC met on 25 November 2015 and made final decisions on 182 new programmes for accreditation and on 18 new / relocated sites of delivery as recommended by the Accreditation Committee at its meetings of 30 September – 2 October 2015 and 28 – 29 October 2015.

Two Accreditation Committee meetings were held in this quarter due to the large number of applications for accreditation received. Many of these are replacement programmes for those programmes that are not alignable to the HEQSF. There were 22 programmes deferred during the Accreditation Committee (AC) meetings and additional information or clarification requested from the institutions. A total of 31 site visits were also conducted.

4.7.1. Applications Received

Of the 162 new submissions received via the HEQC-online system during this financial quarter for processing, 92 were from public higher education institutions and 70 from private higher education institutions[4]. The number of applications received for accreditation from the public higher education institutions has increased steadily over the last year, particularly in the areas of health, commerce and education.

Table 1: New Applications received per NQF level

NQF Level	Number of Applications: Private Providers	Number of Applications: Public Providers
Level 5	20	4
Level 6	17	10
Level 7	15	33
Level 8	14	28
Level 9	4	13
Level 10	0	4
TOTAL	**70**	**92**

[4] 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	6
Architecture and the Built Environment	1	2
Visual and Performing Arts	6	6
Business, Economics and Management Studies	23	26
Communication, Journalism and Related Studies	1	1
Computer Science and Information Sciences	1	
Education	3	12
Engineering	3	15
Health Professions and Related Clinical Sciences	18	5
Family Ecology and Consumer Sciences		1
Languages, Linguistics and Literature		
Law	1	2
Life Sciences	1	2
Physical Sciences		2
Mathematics and Statistics		
Military Sciences		2
Philosophy, Religion and Theology	7	3
Psychology	1	4
Public Management and Services	1	
Social Sciences	2	3
TOTAL	**70**	**92**

4.7.2 Re-accreditation

At its meeting of 25 November 2015, the HEQC considered recommendations for 9 institutions for re-accreditation. Of these 9 institutions, submitted 46 programmes.

Programmes are re-accredited after producing a first cohort of graduates and are thereafter included as part of a self-evaluation report for subsequent re-accreditation processes. These programme and SER submissions have been screened for completeness and will proceed to peer evaluation in the fourth quarter of the financial year.

4.7.3 HEQSF alignment process

The HEQSF-alignment project is complete, a year ahead of schedule. During this quarter, submissions of representations of those applications that were evaluated as not HEQSF-aligned have been received and evaluated. The outcomes of 81 Category B programmes were tabled at the HEQC meeting of 25 November 2015 for approval.

4.7.4 Summary of HEQC decisions

HEQC decisions are generally made on programmes submitted in a previous quarter as the entire accreditation process generally takes up to six months to complete. Therefore, performance targets per quarter indicate the percentage of programme accreditation applications that receive an HEQC outcome within a six-month period of processing by the Accreditation Directorate.

A summary of the decisions by the HEQC is contained in Table 3 below:

Table 3: Summary of HEQC decisions

Total number of programmes for accreditation[5]	182
Programmes accredited	65
Programmes accredited (with conditions)	67
Programmes not accredited	50
Decisions deferred	1
New / relocated site of delivery[6]	18
Total number of sites of delivery visited [7]	31
Total number of programmes for Re-Accreditation	46
Programmes re-accredited	3
Programmes re-accredited (with conditions)	12
Programmes not re-accredited	7
Decisions deferred	17
Accreditation status extended	6
Total number of Category B programmes for HEQSF-alignment	81
Category B programmes approved HEQSF-aligned and accredited	55
Category B programmes approved not HEQSF-aligned	26

4.7.5 Accreditation workshops / meetings with providers

In the time frame of 1 October 2015 – 13 December 2015 the Directorate hosted two programme accreditation capacity development workshops for private and public Theology and Nursing institutions. 70 delegates attended the Theology workshop held

[5] 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.

[6] This figure refers to all individual applications for new or relocated sites of delivery. This figure is not included in the total number of programmes for accreditation.

[7] 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.

on the 10th of November 2015 in Johannesburg. 200 delegates attended the Nursing workshop held on the 30th of November 2015 in Johannesburg.

The senior managers of the Accreditation Directorate participated in QA Forums hosted by the CHE for public and private providers on 6 and 8 October 2015 respectively and hosted various breakaway sessions.

In this quarter the Directorate met with 10 Institutions, 2 government departments, 1 professional body and 3 foreign delegations at the CHE on matters related to programme accreditation.

4.8 National Standards and Reviews

4.8.1 Improvement Plans (IP)

As indicated in the previous report, the HEQC found some of the improvement plans inadequate in addressing the recommendations in the review reports, hence, requested the relevant institutions to resubmit revised plans. The universities of North West, Free State, Cape Town, Zululand and Venda resubmitted their improvement plans as per the HEQC request. The Directorate also conducted a follow-up site visit to the University of Free State on 14 October 2015. These submissions were tabled at the National Review Committee (NRC) meeting of 5 November 2015. HEQC approved all the recommendations of the NRC at its meeting of 25 November 2015.

4.8.2 BSW Teach-Out Plans

The Universities of Limpopo, Walter Sisulu and South Africa BSW degree programmes were de-accredited in June 2015, and were requested to submit teach-out plans for the pipeline students. The University of Walter Sisulu requested extension of the submission date. The HEQC approved the UL and UNISA teach-out plans at its November 2015 meeting.

In the case of the University of Zululand, the revised IP was still found to be inadequate in addressing most of the critical issues. As a result of these inadequacies the HEQC altered the decision of 'notice of withdrawal of accreditation' to "withdrawal of accreditation". The institution is expected to submit a teach-out plan for the pipeline students."

The HEQC continues to monitor implementation of improvement plans of the institutions with conditional accreditation. Taking into account the improvement plans and progress reports submitted to the HEQC, some of the accreditation decisions were revised at its meeting of 25 November 2015. Of the 16 institutions that participated in the national review of the BSW; 9 are fully accredited; 2 accredited with conditions; 1 is on notice of withdrawal of accreditation; and 4 de-accredited.

Institution	Accreditation Status
University of Johannesburg	Full Accreditation
University of Kwa Zulu Natal	Full Accreditation
University of Fort Hare	Full Accreditation
University of Pretoria	Full Accreditation
University of Western Cape	Full Accreditation
Stellenbosch University	Full Accreditation
University of the Witwatersrand	Full Accreditation
University of Free State	Full Accreditation
University of Cape Town	Full Accreditation
Nelson Mandela Metropolitan University	Accreditation with Conditions
University of Venda	Accreditation with Conditions
North West University	Notice of Withdrawal of Accreditation
University of Zululand	De-Accreditation
University of South Africa	De-Accreditation
University of Limpopo	De-Accreditation
Walter Sisulu University	De-Accreditation

4.8.3 National Review of Bachelor of Laws (LLB) Degree

The Directorate conducted a workshop for all the institutions participating in the LLB national review on 27 October 2015. The purpose of the workshop was to provide a platform for the institutions to discuss the guidelines for preparation of a Self-Evaluation Report (SER), and Online submission of the SER. The workshop participants were also given an opportunity to view and interact with the Online system.

4.8.4 Standards Development

4.8.5 The following standards statements are now available on the CHE website for use, following approval by the HEQC at its meeting of 25 November 2015:

- Master of Business Administration (MBA)
- Bachelor of Laws (LLB)
- Diploma in Engineering (Dip Eng)
- Bachelor of Engineering (BEng)
- Bachelor of Social Work (BSW)

4.8.6 The Engineering Standards working group has made considerable progress in the drafting the two engineering qualifications standards. The second drafts have been circulated to the academic community for initial comment in preparation for wider public consultation early 2016.

4.8.7 The Directorate met with the sports coaching academic community on 23 November 2015 to discuss prospects of developing sports coaching qualification standards. SASCOC led discussions on the South African Sports Coaching Framework and the requirements of the envisaged Coaching Professional Body. There was a general recognition that the landscape in which coaching and coaches operate has changed, and ways in which coaches are educated and developed continue to evolve. The institutions therefore, expressed an urgent need for the development of national qualification benchmarks, and to align their programmes to the South African Sports Coaching Framework and the coaching profession.

The CHE was requested to constitute a group of academic experts in the field, who will form the core of a standards development working group for sports coaching. A call for nominations of a 10 member working group has already been communicated to the institutions. The working group is expected commence work in January 2016.

4.8.8 Stakeholder Engagement

The CHE is expected to engage on a regular basis with its key stakeholder groups in order to build intellectual capacity with regards to issues pertaining to higher education quality. This mandate is given effect through participation in discussions, debates and research relating to the work of the CHE within the sector. The Director attended the Southern African Association for Institutional Researchers conference held in Cape Town on 24 November 2015 in this regard. The presentation focused on higher education qualification standards, and their implications on quality assurance of programmes at institutional level.

The Directorate continued its engagement with nursing education through the Forum of University Nursing Deans in South Africa (FUNDISA) to further the discussions on the prospects of developing qualification standards in this field of study. A follow-up meeting planned for 25 November 2015 was postponed, it is planned to take place early 2016.

The Director attended a meeting of the International Council for Couching Excellence (ICCE) International Coaching Degree Standards working group on 19 November 2015. As previously indicated, the working group is tasked with the responsibility to develop a set of internationally accepted standards for a bachelor degree in sport coaching. The meeting finalised the consultation draft standard statement which will be sent out for public comment in January 2016. The qualification standard is meant to provide among other things, an international benchmark for HEIs wishing to offer bachelor degree programmes in sports coaching and to promote mobility of the graduates.

4.9 Institutional Audits

4.9.1 Quality Enhancement Project

From 28 September to 2 October 2015 the Director: Institutional Audits led a delegation of 14 DVCs Academic and Teaching and Learning on a visit to Scotland, organised in collaboration with the Assistant Director of QAA Scotland. Scotland has been running quality enhancement since 2003, and the CHE drew on this experience in designing the QEP. During the visit the group met VCs, DVCs, teaching and learning specialists and student leaders from 10 universities in Edinburgh, Glasgow, Inverness, Aberdeen, Dundee and St Andrews. The main purpose of the visit was to see innovative teaching and learning spaces, which gave the group many useful ideas. In addition, the universities emphasised the important role that students play as partners in ensuring the quality of students' learning experiences. A second purpose of the visit was to foster interactions and relationships between Scottish and South African DVCs. Therefore, on the first day of the visit, there was a joint meeting with the Scottish Higher Education Enhancement Committee (SHEEC), comprising DVCs for Learning and Teaching from all Scottish universities, as well as other key stakeholders.

On 30 November and 1 December training was held for QEP peer reviewers. As part of the QEP process, in 2016 universities will receive individual feedback on the progress made in each of the four focus areas of Phase 1 of the QEP. This will be done by a small team comprising two peer reviewers and a senior CHE staff member. An open call for peer reviewers was sent out to DVCs, Deans, QA Managers and Directors of Teaching and Learning, as well as being placed on the CHE website. Forty-two applicants were selected on the basis of experience in higher education, including leadership roles and knowledge of university structures and processes, as well as knowledge of the four QEP focus areas, of whom 40 attended the training. One observer from the Zimbabwe Council on Higher Education also attended. Since the process for providing feedback to institutions, which will include both a written report and an institutional visit, has never been done before, the training was highly participative. Five skilled facilitators, four of them experts in the QEP focus areas, drew on their own expertise and that of the participants to elaborate on the form and content of the institutional visits and reports. A manual will be written and given to the peer reviewers prior to the visits.

The final institutional reports for Phase 1 of the QEP were due on 11 December 2015. However, given the turbulence at universities across the country in the closing months of 2015, universities were given a chance to request an extension, most of which did so. Eleven universities submitted their reports in December 2015, including Sol Plaatjie University, which chose to produce a report, even though it was not required to, given that it was established so recently. It is envisaged that institutional feedback visits will begin in late February or early March 2016, depending on whether universities are functioning normally by then.

The new focus areas for Phase 2 of the QEP, which begins in 2016, were approved by the HEQC at its meeting of 25 November 2015, and sent to DVCs in December, together with the requirements for the baseline institutional submissions for Phase 2.

The Director delivered a plenary presentation, entitled *Preparing STEM graduates for the 21st Century*, at the ISTE International Conference on Mathematics, Science and Technology Education, 25-29 October at Mopani Camp, Kruger National Park.

The Director gave a plenary presentation on the QEP at the annual conference of the Higher Education Teaching and Learning Association of Southern Africa (HELTASA), held from 17 to 20 November 2015 at North West University.

4.9.2 Ongoing activities from the first cycle of institutional audits

The resubmitted progress report from Mangosuthu University of Technology was discussed by the Institutional Audits Committee at its meeting of 4 November 2015. The committee was impressed by the high quality and thoroughness of the report. Only two of the recommendations were not adequately addressed, which was acknowledged by the institution itself. A further report related to these two recommendations will be submitted by 1 September 2016.

4.9.3 Institutional Audits Committee

Four members of the IAC, including the chair, ended their terms of office at the end of 2015, and new members have been approved by the HEQC. From January 2016 the members of the IAC will be:

Nthabiseng Ogude (chair)
Ian Scott
Judy Favish
Lekan Ayo-Yusuf
Annatjie Erasmus
Tinyiko Maluleke
Xikombiso Mbhenyane
Renuka Vithal

The terms of reference of the IAC have been expanded to include quality assurance of the QEP.

4.9.4 Other

The Director: Institutional Audits has had further contact with the UK Higher Education Academy (HEA), following an initial visit from two representatives in August 2015. Discussions are underway with the HEA, DHET and HELTASA about the possibility of working together to advance the professional recognition and continuous professional development of university teachers.

5. CORPORATE SERVICES

5.1 HUMAN RESOURCES

5.1.1 Employment Profile

The Council approved a revised organisational structure on 26 March 2015 to reflect the vacancy in the National Standards and Reviews that was used to appoint the ICT Administrator in December 2014. The organisational structure was not updated at the time as the appointment of a Senior Administrator in the National Standards and Reviews directorate was put in abeyance due to lower work activity in the directorate. This increased the total number of positions in the organisational structure from 51 to 52.

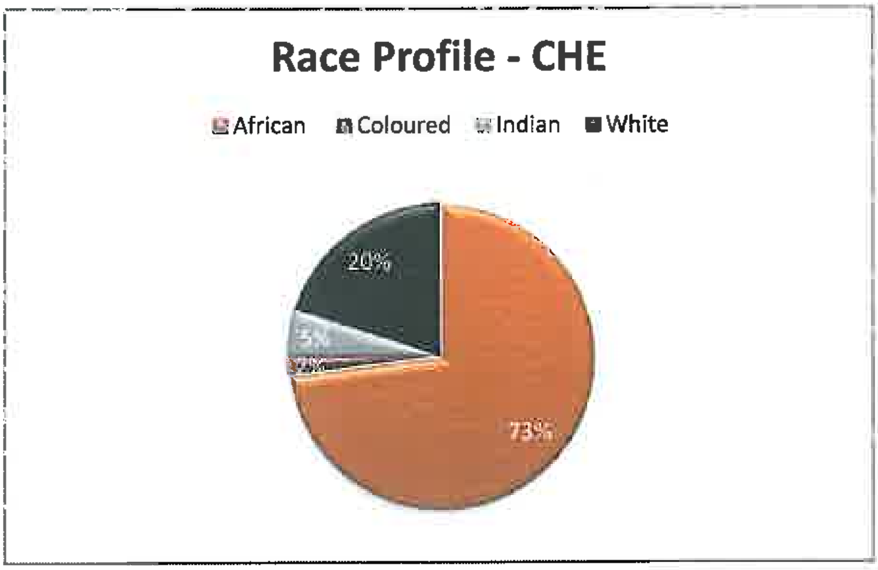
There was one (1) appointment and three (3) terminations in this quarter. This brings the total number of filled positions during the quarter to forty- four with eight unfilled positions. There have been a number of interviews held during the quarter and one employee, a Senior Manager in the National Standards and Reviews directorate is scheduled to commence in February 2016. However attempts to fill the outstanding two Senior Manager positions in Programme Accreditation and Institutional Audits directorate have not yielded any positive results. This is due to the quality of the candidates who responded to the advertisement, and exacerbated by the timing which coincided with the end of the year. The process of filling these positions will resume in January 2016. The graph below depicts the employment profile as at 31 December 2015:

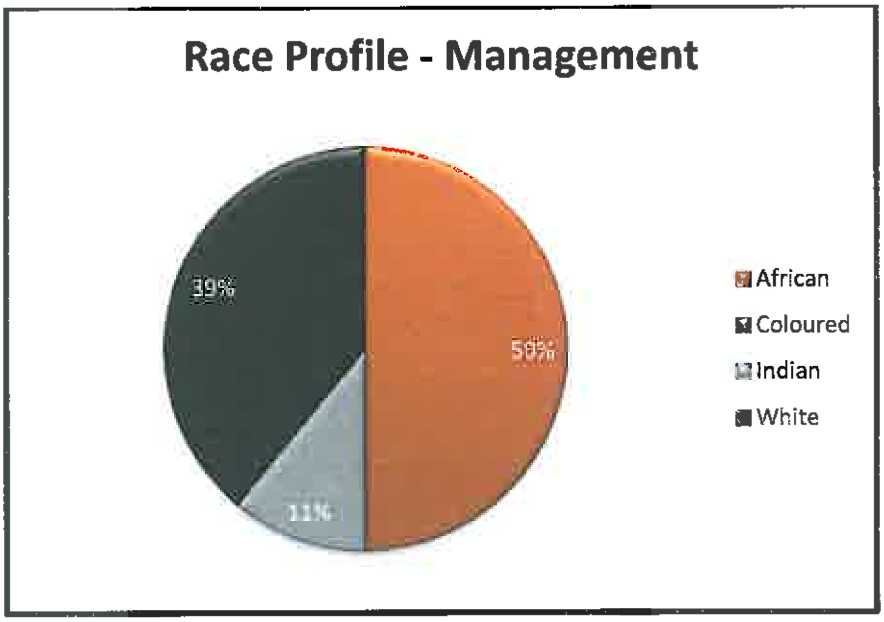
Salary Band	Number of employees employed at the beginning of the period - 1 October 2015	Number of appointments made during Oct, Nov and Dec 2015	Number of terminations made during Oct, Nov and Dec 2015	Number of employees employed at the end of the period - 31 December 2015
Top Management	1	1	0	1
Senior Management	7	0	0	7
Professional qualified	11	0	2	10
Skilled	25	0	1	24
Unskilled	2	0	0	2
TOTAL	**46**	**1**	**3**	**44**

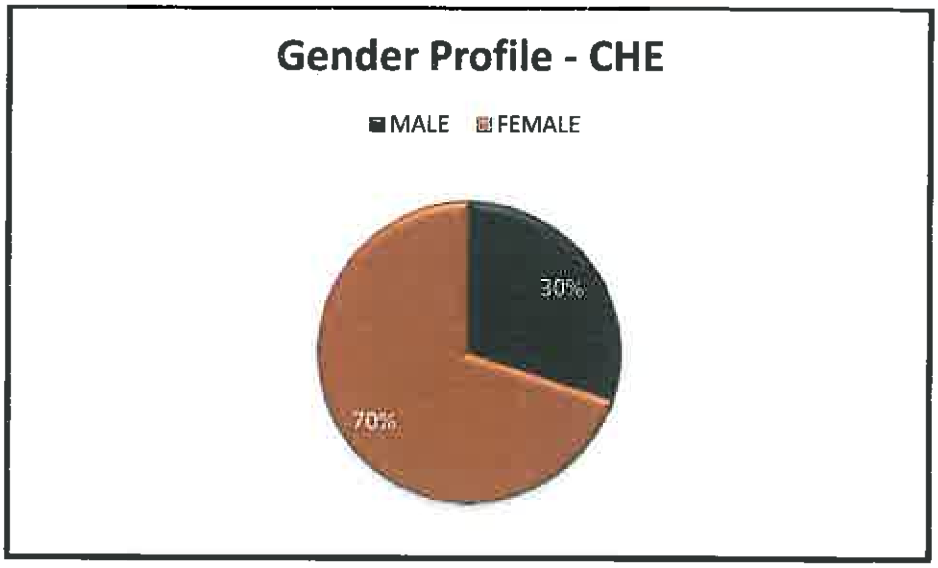
Note: The Lines above do not add up horizontally
Second column: Appointments made in the first month of the period under review, e.g. October are included in the number of people employed at the beginning of the period- 1 October 2015.
Third Column: All appointments made in the period October, November and December 2015 are shown.
Fourth Column: Terminations are reported the month after the employee exit. The termination in this column was in the employ of the CHE until December 2015. These figures exclude internal promotions.

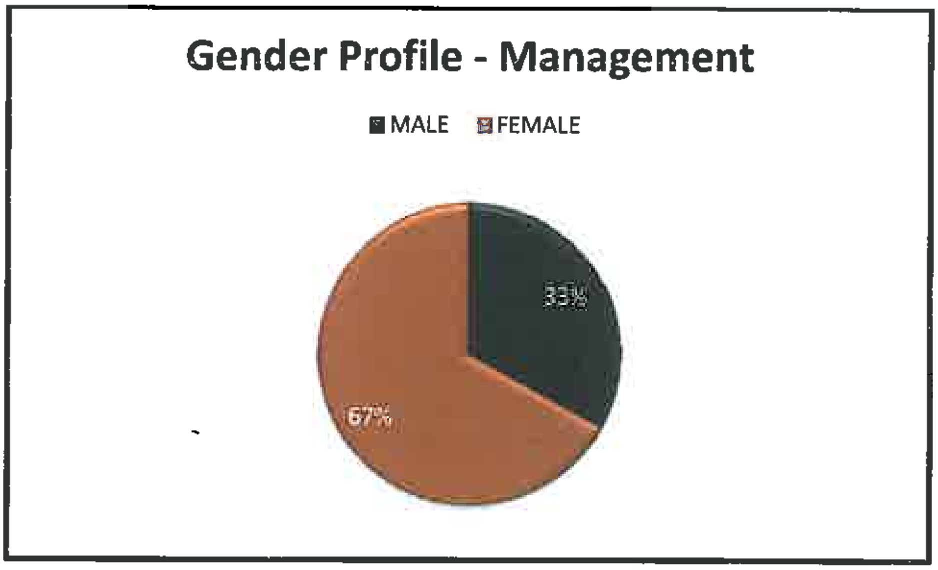
5.1.2 Employment Equity Profile

The CHE has a staff complement of 52; including vacancies. The overall profile in terms of race and gender is 73% African, 2% Coloured, 5% Indian, 20% White and 70% female and 30 % male. The profile at management level is 50% African, 0% Coloured, 11% Indian, 39% White and 33 % male and 67% female. Of significance there has been an increase in the number of Indians and a subsequent reduction in females. This is illustrated in the following graphs:


Race Profile - CHE
African
Coloured
Indian
White
20%
73%


Race Profile - Management
African
Coloured
Indian
White
39%
50%
11%





5.1.3 Staff Training and Development

Total training costs as a % of personnel costs for the quarter under review is 1.33% with fifteen (15) employees trained for the period. Training and development conducted during the quarter is reflected in the graph below:

Directorate/ Business Unit	Personnel Expenditure (R'000)	Training Expenditure (R'000)	Training Expenditure as a % of personnel Cost	Number of employees trained	Average training cost per employee
***Administration**	3 137	63	2.01%	8	7 894
Monitoring and Evaluation	954	10	1.05 %	2	5 234
Programme Accreditation	1 561	2	0.13 %	1	2 166
National Standards and Reviews	474	0	0 %	1	0.00
Institutional Audits	508	13	2.56 %	3	4 294
TOTAL	**6 634**	**88**	****1.33 %**	**15**	**19 588**

* Includes Corporate Services, and the Chief Executive Officer's office.
**Not a sum total but an average.

5.1.4 Labour Relations

Following a turbulent period during the first part of the previous quarter, the labour relations environment has stabilised. The election of the Nehawu shop stewards was finalised at the end of October 2015, as follows:
Chairman – Dr Neo Ramoupi;
Secretary - Ms Thobeka Moraka.

Management subsequently nominated Ms Olivia Mokgatle, Director: National Standards and Reviews as the Chairperson of the Management and Labour Committee. Induction was conducted for all parties and further training in Labour Relations has been scheduled for January 2016.

Engagement between parties continued during the period under review with the purpose of revising and/or developing policies that affect staff. Some of these issues emanating from these meetings will be addressed through the formal structures, in line with the Recognition Agreement entered into between the CHE and NEHAWU, in January 2016.

5.1.5 Employee Wellness Programme

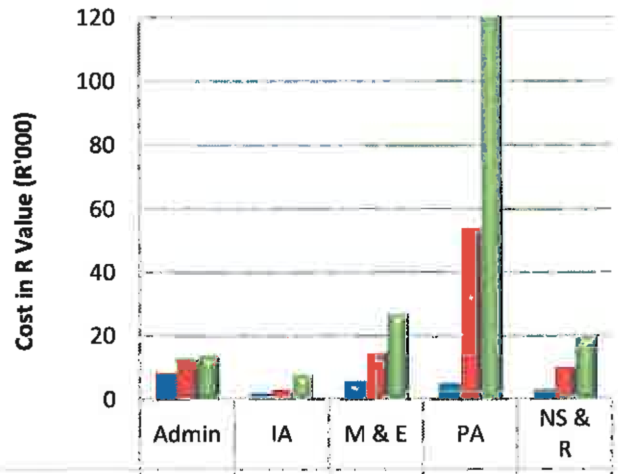
The programme continues to assist employees in managing their respective work-life balance and plays a pivotal role in motivating employees. During the quarter under review a twelve week physical challenge was launched to encourage employees to take care of their physical wellbeing and nutrition. This process culminated in the selection and announcement of an overall winner who achieved the best results. Ms Moraka was rewarded during the end of the year social function held on 4 December 2015.

5.1.6 Sick Leave status

The implementation of the Employee Wellness Programme has over the last three years seen a reduction in the absenteeism days attributed to sickness and ill health. The following graphs provide a comparison (actual) between Quarters 2 and 3, respectively. There has been a reduction in the actual number of employees, days and costs in the Institutional Audits, National Standards & Reviews from Quarter 2 to 3. Interventions with the affected employees are yielding positive results. As previously reported the Programme Accreditation directorate experienced two cases of prolonged sickness however these cases are being closely monitored with a prospect of considering incapacity due to ill health.

(1) July – September 2015 (Q2)

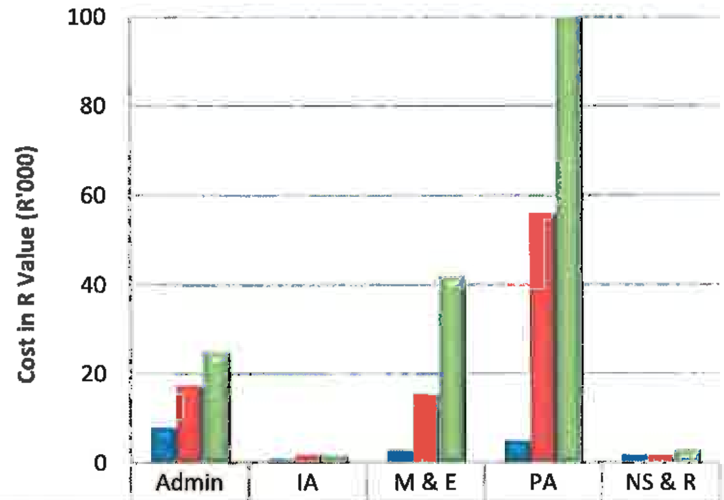
No. of employees & days per Directorate vs Cost of Sick Leave July- September 2015 (Q2)



	Admin	IA	M & E	PA	NS & R
Number of Employees	8	2	6	5	3
Number of Days	13	3	15	54	10
Cost in R Value (R'000)	14	8	27	126	20

(2) October – December 2015 (Q3)

No. employees & days per Directorate vs Cost of Sick Leave October - December 2015 (Q3)



	Admin	IA	M & E	PA	NS & R
Number of Employees	8	1	3	5	2
Number Days	17.5	2	15.5	56	2
Cost in R Value (R'000)	25	2	42	125	3

5.2 FINANCE AND SUPPLY CHAIN

5.2.1 Bids

One bid was awarded in this quarter, panel of professionals:

Design and Printing of Publications
A panel of professionals for the design and Printing of Publications were appointed for three years:

- Kashan Advertising;
- Tirommoho Communications;
- Shereno Printers CC;
- Blackmoon Design and Advertising;
- Meropa Communications;
- Ideaology Communications and Design;
- IE Communications; and
- Ren-Form CC.

5.2.2 Audit and Risk Committee

An Audit and Risk Committee (ARC) meeting was held on the 20th October 2015. The following documents were presented and recommended by ARC for approval by Council.

- 2nd quarterly report the year 2015/2016 inclusive of expenditure report, performance indicators and compliance report.
- Reviewed travel/ subsistence/ reimbursement policy; Internal audit progress report; Progress report on strategic audit action plan as at 30th September 2015;
- Minutes of the Financial Misconduct Committee;
- Progress on strategic and operational risk registers as at 30th September 2015; and
- Draft Auditor General Audit Strategic Plan for 2015/2016.

5.2.3 Internal Audit

The following units have been audited and progress is as follows:

Procurement function audit:
The audit is still in process.

Finance audit:
No significant findings were identified.

5.2.4 External audit

The following items have been finalised:

- A draft audit strategy; and
- Engagement letter.

5.2.5 Risk management

A progress report on strategic and operational risk registers were completed and presented at the ARC meeting held on the 20th October 2015.

5.3 INFORMATION AND COMMUNICATION TECHNOLOGY (ICT)

Information and Communication Technology is increasingly advanced and has become pervasive in enterprises and in social, public and business environments. As computer technology has advanced, organisations have become increasingly dependent on computerised information systems to carry out their business operations and service delivery and to process, maintain and report essential information. This dependency on computerised information systems aligned with critical processes requires ongoing monitoring to ensure that minimum operational requirements are met on a continuous basis.

In the case of CHE, the computer systems are the backbone for processing applications, with CHE's core functions completely dependent on the systems.
During the quarter under review the compiling of specifications for two tenders for the (1) Web based online (HEQC) and (2) network support systems were completed and advertised in the October 2015 tender publications. The tender process will be concluded for award in 2016.

The integration of the systems and /or realignment will be informed by the recommendations of the Accreditation process mapping project commencing in January 2016. This will further inform the CHE's strategic intent in term of ICT, going forward.

Two ICT policies are currently under review for submission to the ICT Steering Committee meeting scheduled for 15 January 2016.

6. PERFORMANCE INDICATORS

NON-FINANCIAL PERFORMANCE PLAN INDICATORS: 2015/16

Strategic Objective	Programme	Performance indicator	2014 - 2015	2015 – 2016 - Third Quarter: 1 October – 31 December 2015					
			Audited output	Annual target 1 April 2015 – 31 March 2016	3rd Quarter Target 1 October – 31 December 2015	Cumulative Total Full year	3rd quarter Actual Output 1 October – 31 December 2015	Challenges	Evidence / Comment
Number One: To provide advice to the Minister of Higher Education and Training on all higher education matters on request and on the CHE's own initiative.	Administration	100% response to requests for advice responded to within the timeframe requested.	100% 2	100%	100% of requests received	2	1		The number of responses cannot be predetermined as it is dependent on the number of requests received from the Minister. i) Comments on DHET's draft Policy on Social Inclusion ii) Comments on amended regulations for the registration of private higher education institutions.
		Number of pieces of advice on own initiative on issues identified as relevant flowing from the activities of the CHE.	2	2	0	0	0		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.
Number Two: To monitor the state of higher education, including publishing information and convening conferences, seminars and workshops on developments in higher education.	Monitoring and Evaluation	Production of performance indicators report (on-going projects).	1	1	0	1	0		The *VitalStats* 2013 publication is being distributed to institutions. ISBN: 978-1-919856-96-4
		Projects in progress.	4	4	4	4	4		These projects are long-term projects which will run throughout the year and across financial years. The cumulative total will remain constant at 4. i) Review of the State of Higher Education: 1994-2014 ii) Reflections on Academic Leadership iii) Governance Challenges in Public Higher Education iv) The role of ICT in higher education.
		Dissemination of research findings. Number of publications.	2	2	1	1	0		Publication of research reports. i) Content Analysis of the Baseline Institutional

Strategic Objective	Programme	Performance indicator	2014 - 2015	2015 – 2016 - Third Quarter: 1 October – 31 December 2015					
			Audited output	Annual target 1 April 2015 – 31 March 2016	3rd Quarter Target 1 October – 31 December 2015	Cumulative Total Full year	3rd quarter Actual Output 1 October – 31 December 2015	Challenges	Evidence / Comment
									Submissions for Phase 1 of the Quality Enhancement Project ISBN: 978-1-919856-97-1 (See Institutional Audits) The Reflections publication is with the publisher and will be complete in the next quarter.
Number Three: To develop and manage the HEQSF, including the articulation of qualifications between the three sub-frameworks, namely, the HEQSF, the General and Further Education and Training Qualifications Sub-Framework and the Trades and Occupations Qualifications Sub-Framework.	Programme Accreditation	Percentage of programmes aligned with the HEQSF with an HEQC outcome.	100%	20% of submissions for Category B	100 % of all submission received	100% 539	100% 81		During this reporting period, submissions of representations of those applications that were evaluated as not HEQSF-aligned, have been received and evaluated. The outcomes of 81 Category B programmes were tabled at the HEQC meeting of 25 November 2015 for approval.
Number Four: To develop and implement policy and standards for higher education qualifications to inform and guide the development, registration and publication of qualifications.	Standards Development* Merged Directorate National Standards and Reviews.	Number of standards developed	0	4	0	0	0		First drafts of the B Engineering Technology, and Advanced Diploma in Engineering standards under way. First meeting with the sports coaching academic community to 2 sports coaching standards held 23 November 2015. 3rd consultation meeting Nursing education held November 2015.
		Review of Standards Development Framework	n/a	1	0	1	0		Framework has been finalised, currently at the printers. Completed.
Number Five: To maintain a database of learner achievements in higher education and to submit the data to the National Learners' Records Database (NLRD), which is maintained by SAQA.	Monitoring and Evaluation	Percentage of private providers submitting learner records/ achievements for the HEQCIS database.	99% 114 private providers uploaded information	80% of service providers	80% of service providers	Non-cumulative	82% submitted a full data load in the current cycle	The changing number of private providers, in particular, small providers with limited capacity, makes it difficult to obtain full compliance.	There are two data loading cycles per year, June and December.

Strategic Objective	Programme	Performance indicator	2014 - 2015	2015 – 2016 - Third Quarter: 1 October – 31 December 2015					
			Audited output	Annual target 1 April 2015 – 31 March 2016	3rd Quarter Target 1 October – 31 December 2015	Cumulative Total Full year	3rd quarter Actual Output 1 October – 31 December 2015	Challenges	Evidence / Comment
Number Six: To audit the quality assurance mechanisms of higher education institutions. In 2011/2 a decision was taken to change the focus from institutional audits and to focus on improving teaching and learning through the Quality Enhancement Project (QEP)	Institutional Audits	Monitoring of progress reports linked to institutional improvement plans	100% 2 audits were closed and 4 institutions continue to be monitored.	100% monitoring of all progress reports received	100% monitoring of all progress reports received	100% monitoring of all and progress reports received	100% monitoring of all and progress reports received		Institutional Audit Committee minutes. It is anticipated that the implementation of the first cycle of institutional audits improvement plans will be completed by end 2016.
		Submission of Institutional Reports on the QEP focus area	n/a	23	0	11	11	Most universities experienced disruptions to their activities in the last months of 2015. Therefore most have asked for an extension to the due date for the report.	Reports
		Synthesis of results from QEP Phase 1 focus areas based on the institutional baseline data submitted	n/a	1	0	1	n/a	n/a	Publication: Content Analysis of the Baseline Institutional Submissions for Phase 1 of the Quality Enhancement Project ISBN: 978-1-919856-97-1
		3 workshops for institutions to discuss synthesised report of baseline data linked to QEP focus areas	n/a	2	0	5	0	0	Workshop documentation
Number Seven: To accredit new programmes submitted by public and private higher education institutions and to re-accredit existing programmes offered by private higher education institutions.	Programme Accreditation	Percentage of new accredited programmes with an approved HEQC outcome tabled within 6 months of screening.	n/a	65%	25% of applications received for accreditation	35%	22%	The low percentage is due to the fact that the Directorate can only report on the submissions received during the previous 6 months. This thus does not take into account the number of programmes processed from the previous quarter. Currently the Directorate has a few staff vacancies.	Applications received in one quarter may be still in process of evaluation and may only be submitted to the HEQC in the following quarter.
		Percentage of re-accredited programmes with an approved HEQC outcome tabled within 18 months of screening.	n/a	60%	25% of applications received for reaccreditation 2013/14		23%	137 Programme applications for re-accreditation were received during the past financial year. In this quarter the Directorate processed 35 programmes which equates to 23% of the total number received. Apart from the individual	Applications received in one quarter may be still in process of evaluation and may only be submitted to the HEQC in the following quarter. The methodology for re-accreditation only allows the Directorate to table an entire application which may consist of

Strategic Objective	Programme	Performance indicator	2014 - 2015	2015 – 2016 - Third Quarter: 1 October – 31 December 2015					
			Audited output	Annual target 1 April 2015 – 31 March 2016	3rd Quarter Target 1 October – 31 December 2015	Cumulative Total Full year	3rd quarter Actual Output 1 October – 31 December 2015	Challenges	Evidence / Comment
								programmes 28 self-evaluation reports were also received and processed.	programme reports, self-evaluation reports and site visit reports per institution. There is always a carry-over of programmes from one quarter to the next.
		Percentage of site visits completed with an HEQC outcome within one year of screening.	n/a	75% of applications received	75% of applications received	75%	100%	The Directorate conducted 31 site visits for both accreditation and re-accreditation.	These site visits were part of the accreditation as well as re-accreditation process.
		Number of training workshops for evaluators discipline groups/report writing	7	4	1	4	2		The Accreditation Directorate held the following workshops during the fourth quarter of the year. • 10 November – Theology workshop • 30 November – Nursing workshop
Number Eight: To undertake national reviews of existing programmes in specific subject fields and qualification levels offered by public and private higher education institutions.	National Reviews* Merged Directorate National Standards and Reviews.	Finalisation of National report on Bachelor of Social Work programme.	0	1	1	0	0		The 2nd draft Report was presented to the HEQC on 10 June 2015 for noting. Report was sent back to the author for further work as the quality of the report was unsatisfactory. Ongoing
		Analyse and approve institutional improvement plans relating to the Bachelor of Social Work programme.	n/a	n/a	n/a	100% 5	4		4 BSW revised improvement plans re-submitted for consideration by the NRC HEQC in November. 1 Teach-out plan submitted for consideration. Follow-up site visit UFS 14 October. Monitoring of the plans. (improvement and Teach-out plans ongoing)
		Development of agreed criteria to guide the national review of the LLB	0	1	0	1	n/a		Criteria/minimum standards and Review manual for the LLB review approved by HEQC. Institutions have started drafting their SERs. Completed.
		Site visits by peer panels to evaluate the LLB offered by higher education institutions.	n/a	100%	0	0	0	0	Site visits will only start in May 2016

Strategic Objective	Programme	Performance indicator	2014 - 2015	2015 – 2016 - Third Quarter: 1 October – 31 December 2015					
			Audited output	Annual target 1 April 2015 – 31 March 2016	3rd Quarter Target 1 October – 31 December 2015	Cumulative Total Full year	3rd quarter Actual Output 1 October – 31 December 2015	Challenges	Evidence / Comment
		Number of training workshops for evaluators/ chairs of site visit panels.	n/a	4	1	0	0	0	4 Reference Group workshops held: SER writing workshop for the institutions planned for 27 October 2015 completed.
Number Nine: To promote quality and to develop capacity and understanding of the role of quality assurance in improving quality provision in higher education at both the systemic and institutional levels.	Administration	Number of quality assurance forums for public and private institutions and professional bodies.	2	3	2	2	2		Two workshops were held in October 2015. • 6 October public providers • 8 October private providers
Number Ten: To ensure the development of human resources management environment that enables staff to develop their full potential.	Administration	Number of staff training programmes offered.	68% 53 training events	70% of staff undergoing training and development.	20% of staff undergoing training and development.	48 % of staff trained year to date. 22 Training events. 17 employees trained so far.	34% of staff undergoing training and development. 15 employees trained	Training plan in place, however due to the forum not properly constituted there were no meeting. Meeting is now scheduled for February 2016; however employees are undergoing training in line with the plan.	Planned vs Actual Training Training Reports
		Filling of critical vacant positions, including reduced turnaround time – maximum three months.	90%	80 % of organisational structure filled.	80 % of organisational structure filled.	90% positions filled so far.	85% positions filled.		Quarterly Employment Profile Report. The staff complement for Q1& Q2 should have been 52 & not 51 and subsequently the % of positions filled should have been 88% for both quarters.
Number Eleven: To ensure that financial administration and supply chain management is complaint with the requirements of the PFMA, relevant Treasury regulations and laws.	Administration	Review, update and develop finance and supply chain policies		100%	25%	80% 29/36	55% 20/36		Signed policies First quarter should have read 27% (9/33) Three new policies were developed during the second quarter.

Strategic Objective	Programme	Performance indicator	2014 - 2015	2015 - 2016 - Third Quarter: 1 October – 31 December 2015					
			Audited output	Annual target 1 April 2015 – 31 March 2016	3rd Quarter Target 1 October – 31 December 2015	Cumulative Total Full year	3rd quarter Actual Output 1 October – 31 December 2015	Challenges	Evidence / Comment
Number Twelve: To ensure effective governance and compliance of ICT with statutory requirements.	Administration	Development and implementation of ICT policies, processes and systems which relate to the Framework.	n/a	100%	25%	Non-cumulative	2 draft policies	2 policies being reviewed for further recommendation by ICT Steering Committee & subsequently by Council.	Completed policies. Quarterly reports.

3rd QUARTER EXPENDITURE SUMMARY REPORT AS AT 31 DECEMBER 2015

SUMMARY	TOTAL BUDGET	1st QUARTER 01/04/2015 - 30/06/2015	2nd QUARTER 01/07/2015 - 30/09/2015	3rd QUARTER 01/10/2015 - 31/12/2015	YTD	% OF EXP VS BUDGET
INCOME	**82 075 697**	**11 976 659**	**12 124 491**	**13 074 167**	**37 175 317**	**60%**
DHET - Government grant	40 819 000	10 204 000	10 204 000	10 206 000	30 614 000	75%
Roll over funds	14 226 697	-	-	1 342 896	1 342 896	9%
Private Accreditation - Cost Recover	4 000 000	910 526	1 030 107	661 358	2 601 991	65%
Interest Income	851 000	317 883	346 134	319 663	983 680	116%
Deffered Transfer-STDs	2 177 000	544 250	544 250	544 250	1 632 750	75%
EXPENDITURE	**82 075 697**	**12 361 302**	**11 891 609**	**12 922 406**	**37 175 317**	**60%**
GOODS AND SERVICES	29 784 220	5 324 385	3 925 702	5 431 300	14 681 387	49%
PERSONNEL	31 359 877	7 025 812	7 864 878	7 285 017	22 175 707	71%
CAPEX	931 600	11 105	101 029	206 089	318 223	34%
INCOME LESS EXPENDITURE	**-**	**(384 643)**	**232 882**	**151 761**	**(0)**	**0%**

BANK BALANCES AT END OF QUARTER

	30 Jun	30 Sept	31 Dec
INVESTEC BANK	17 298 271	17 580 517	17 867 528
STD BANK - TRANSACTION ACCOUNT	76 977	595 308	121 446
STD BANK - PRIVATE ACCREDITATION	157 527	146 055	57 276
RESERVE BANK	19 279	-	-
TOTAL AVAILABLE	**17 552 054**	**18 321 880**	**18 046 250**

CHE

3rd QUARTER EXPENDITURE REPORT PER DIRECTORATES AS AT 31 DECEMBER 2015

DIRECTORATES	TOTAL BUDGET	1st QUARTER 01/04/15-30/06/15	2nd QUARTER 01/07/15-30/09/15	3rd QUARTER 01/10/15-31/12/15	YEAR TO DATE	% OF EXPENDITURE VERSUS BUDGET
	R	R				%
CEO' S OFFICE	**11 434 670**	**1 148 901**	**1 491 868**	**1 995 822**	**4 636 591**	**41%**
Goods and Services	7 016 670	525 370	778 439	895 653	2 199 462	31%
Personnel	4 418 000	623 531	713 429	1 100 169	2 437 129	55%
SUPPORT SERVICES	**21 251 664**	**3 774 169**	**4 973 995**	**4 779 171**	**13 527 335**	**64%**
Goods and Services	12 786 156	1 348 665	2 060 504	2 097 382	5 506 551	43%
Personnel	8 475 508	2 425 504	2 913 491	2 681 789	8 020 784	95%
MONITORING AND EVALUATION	**7 523 034**	**2 546 019**	**1 262 574**	**1 069 093**	**4 877 686**	**65%**
Goods and Services	3 711 000	1 522 501	202 713	112 480	1 837 694	50%
Personnel	3 812 034	1 023 518	1 059 861	956 613	3 039 992	80%
INSTITUTIONAL AUDITS	**5 918 863**	**1 415 258**	**978 310**	**876 244**	**3 269 812**	**55%**
Goods and Services	2 074 185	614 504	153 522	369 070	1 137 096	55%
Personnel	3 844 678	800 754	824 788	507 174	2 132 716	55%
ACCREDITATION	**10 208 586**	**2 386 533**	**2 369 270**	**3 510 582**	**8 266 385**	**81%**
Goods and Services	4 363 000	964 015	714 977	1 947 228	3 626 220	83%
Personnel	5 845 586	1 422 518	1 654 293	1 563 354	4 640 165	79%
NATIONAL REVIEWS AND STANDARDS	**5 728 882**	**1 090 422**	**815 592**	**691 494**	**2 597 508**	**45%**
Goods and Services	1 965 311	360 435	116 576	215 576	692 587	35%
Personnel	3 763 571	729 987	699 016	475 918	1 904 921	51%
GRAND TOTAL	**62 075 699**	**12 361 302**	**11 891 609**	**12 922 406**	**37 175 317**	**60%**

REASONS FOR OVER AND UNDER SPENDING PER DIRECTORATES
Note: Reasons for over/under spending will cover Directorates that are 3% below or above the spending threshold of 75%.

CEO'S OFFICE
Goods and services underspent by 44% due to few claims received from the lawyers and some claims disputed, two HEQC meeting cancelled for April and July 2015, HRRC meeting cancelled for September 2015, Payments for 2 memberships (AAU and IAU) outstanding and Payment for INQAAHE is due in January 2016.
Personnel underspent by 20% as a result of funded CEO post which was filled in October 2015.

SUPPORT SERVICES
Goods and services underspent by 32% due to less travel and accommodation request received, few printing and publications needed in the first half of the year, reduced use of telephones, some IT outsourced services been done internally and variable
Personnel overspent by 20% as a result of retention allowance paid to eligible Directors and CEO which was not budgeted for.

MONITORING AND EVALUATIONS
Goods & services underspent by 25% due to less travel and accommodation request received and two publications and peer academics not yet paid.
Personnel overspent by 5% as a result of un-budget items such as retention allowance and acting allowances.

INSTITUTIONAL AUDITS
Goods & services underspent by 20% due to Institutional audit; QEP conferences, workshops and events; QEP Research, analysis and publications; Institutional visits and group meeting planned to take place in the 4th quarter.
Personnel underspent by 20% as a result of vacant funded posts due to resignations.

ACCREDITATION
Goods and services overspent by 8% due to more applications have been received, thus more peer academics have been appointed, more workshop and adhoc meetings have been arranged.

Personnel overspent by 4% as a result of un-budget items such as retention allowance, acting allowances and additional responsibility allowances.

NATIONAL REVIEWS AND STANDARDS
Goods and services 40% underspent due to less travel and accommodation request received, few printing and publications needed in the first half of the year and delays on the completion of the National Report on the national review of BSW.
Personnel underspent by 24% as a result of vacant funded manager and adminstrator posts.

3rd QUARTER EXPENDITURE DETAIL REPORT AS AT 30 SEPTEMBER 2015

Note: Note numbers are allocated for expenditure items that are 3% below or above the spending threshold of 75%.

	TOTAL BUDGET	1st QUARTER 01/04/15-30/06/15	2nd QUARTER 01/04/15-30/09/15	3rd QUARTER 01/10/15-31/12/15	YTD	% OF EXP VS BUDGET	NOTES
	R	R	R			%	
INCOME SOURCES	62 075 697	11 976 659	12 124 491	13 074 168	37 175 317	60%	
DHET - GOVERNMENT GRANT	40 819 000	10 204 000	10 204 000	10 206 000	30 614 000	75%	
DEFFERED TRANSFER - STDs	2 177 000	544 250	544 250	544 250	1 632 750	75%	
PRIVATE ACCREDITATION	4 000 000	910 526	1 030 107	661 358	2 601 991	65%	1
INTEREST AND OTHER INCOME	851 000	317 883	346 134	319 663	983 680	116%	2
ROLL OVER BUDGET	14 228 597	-	-	1 342 897	1 342 897	9%	3
TOTAL EXPENDITURE	62 075 697	12 361 302	11 891 609	12 922 406	37 175 317	60%	
ACCOMMODATION	1 098 319	187 880	163 782	146 438	498 100	45%	4
AIR TRAVEL	2 231 968	533 216	391 672	431 983	1 356 871	61%	5
CAR HIRE	247 209	18 160	20 652	19 965	58 777	24%	6
ROAD TRAVEL	553 693	127 315	106 953	159 594	393 862	71%	7
SERVICE FEES	205 158	19 520	21 146	23 990	64 656	32%	8
SUBSISTENCE	120 115	27 394	30 027	28 677	86 098	72%	
PEER ACADEMICS	4 917 000	772 335	485 765	1 686 147	2 944 247	60%	9
CONSULTANCY	1 459 498	-	132 403	-	132 403	9%	10
OUTSOURCED SERVICES	3 490 834	1 496 101	40 999	92 649	1 629 749	47%	11
ADMINISTRATION	2 052 819	275 507	217 427	610 571	1 103 505	54%	12
REGISTRATION FEES	82 810	-	15 047	36 159	51 206	62%	13
VENUE AND CATERING	789 972	280 555	98 742	426 052	805 349	102%	14
OFFICE SUPPLIES	101 500	49 936	16 636	8 823	75 395	74%	
HONORARIUMS	685 000	2 000.00	6 000.00	165 500.00	173 500	25%	15
LEGAL FEES	4 509 700	169 598	93 653	86 330	349 581	8%	16
INSURANCE	280 000	48 458	84 149	125 177	257 784	92%	17
REMUNERATION OF COUNCIL MEMBER	1 025 942	156 909	373 574	178 719	709 202	69%	18
EXTERNAL AUDIT	880 000	166 004	418 074	249 852	833 930	95%	19
INTERNAL AUDIT	413 273	-	-	194 346.47	194 346	47%	20
LICENCE FEES	240 000	122 734	76 221	64 331	263 286	110%	21
MEDIA & RESOURCES	183 000	17 011	38 748	81 685	137 444	75%	
INFORMATION SYSTEMS	1 605 670	114 342	429 168	156 159	699 669	44%	22
BUILDING & UTILITIES	2 610 940	739 410	664 864	458 152	1 862 426	71%	23
PERSONNEL	31 359 877	7 025 812	7 864 878	7 285 017	22 175 707	71%	24
CAPEX	931 600	11 105	101 029	206 089	318 223	34%	25
TOTAL (OVER) OR UNDER SPENDING	-	(384 643)	232 882	151 762	0		

3rd Quarter - October - December 2015

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REASONS FOR OVER AND UNDER SPENDING

Note: An explanation for over/under spending will cover expenditure items that are 3% below or above the spending threshold of 75%.

1	The 10% due to higher projection than anticipated.
2	The 41% relates to more cash deposits put into short term investments accounts.
3	9% of the roll over funds utilised in the third quarter.
4 to 8	The under spending in these line items is due to the increase of the budget at the end of the second quarter when the roll over funds were approved. Spending is expected to increase in the last quarter.
9	The 15% under spending is as a result of increased budget after the rollover approval. Spend is expected to increase in the last quarter.
10	The 66% under spending is due to Consultancy services only required in the second quarter and the budget was increased due to roll over of funds.
11	The 28% under spending is as a result of increased budget due to roll over of funds and the work not yet undertaken.
12	The 21% under spending is attributed by low usage/cost saving in some administrative items such as photocopying, stationery, telephone etc.
13	The 13% under spending is as a result of few registrations needed by various programmes.
14	The 27% over spending is due to additional meetings for Accreditations held in the 3rd Quarter.
15	The 50% under spending relates to few request received to issue honorarium vouchers. Honorarium vouchers are normally awarded at the end of the financial year.
16	The 67% under spending is a result of few legal claims received for payment and other invoices disputed.
17	The 17% over spend is attributed by once off payment.
18	The 6% under spending is due other claims not submitted for payment.
19	The 20% over spending is attributed by once off payment.
20	The 28% under spending is a result of invoices for the 3rd quarter not yet received and paid.
21	The 35% over spending is due to more licence fees to be paid and the item was under budgeted.
22	The 31% under spending relates to some IT outsourced services been done internally.
23	The 4% under spending is due to variable contracts payments.
24	The 4% under spending is attributed by resignations.
25	The 41% under spending is a result of purchase orders issued but goods not yet delivered.

October – December 2015

COMPLIANCE CHECKLIST FOR THE PUBLIC FINANCE MANAGEMENT ACT, 1999, AS AMENDED (PFMA)

CHAPTER SIX: PUBLIC ENTITIES

Section	Question	Yes	No	Remarks
49(1)	*Every public entity must have an authority which must be accountable for the purposes of this Act.* Does the public entity have an accounting authority?	✓		
49(2)	*If the public entity—* *(a) has a board or other controlling body, that board or controlling body is the accounting authority for that entity; or* *(b) does not have a controlling body, the chief executive officer or the other person in charge of the public entity is the accounting authority for that public entity unless specific legislation applicable to that public entity designates 10 another person as the accounting authority.* Does the status of the person or body appointed as accounting authority for the public entity comply with the stipulations of section 49(2)?	✓		
49(5)	*A public entity must inform the Auditor-General promptly and in writing of any approval or instruction in terms of subsection (3) and any withdrawal of an approval or instruction in terms of subsection (4).* Did the public entity inform the Auditor-General promptly and in writing of any approval or instruction in terms of section 49(3) and any withdrawal of an approval or instruction in terms of section 49(4)?	✓		
49(3)	*The Treasury, in exceptional circumstances, may approve or instruct that another functionary of a public entity must be the accounting authority for that public entity.* Did the public entity comply with an approval or instruction, by the relevant treasury, in terms of section 49(3)?	✓		
49 (4)	*The Treasury may at any time withdraw an approval or instruction in terms of subsection (3).* Did the public entity comply with the withdrawal of an approval or instruction in terms of section 49(3)?		✓	Not applicable.
50(1)	*(1) The accounting authority for a public entity must—* *(a)exercise the duty of utmost care to ensure reasonable protection of the assets and records of the public entity;* *(b) act with fidelity, honesty, integrity and in the best interests of the public entity in managing the financial affairs of the public entity;* *(c)on request, disclose to the executive authority responsible for that public entity or the legislature to which the public entity is accountable, all material facts, including those reasonably discoverable, which in my way may influence the decisions or actions of the executive authority or that legislature; and* *(d) seek, within the sphere of influence of that accounting authority, to prevent any prejudice to the financial interests of the state.* Did the accounting authority comply with the fiduciary duties stipulated in section 50 (1)?	✓		

Section	Question	Yes	No	Remarks
50(2)	*(2) A member of an accounting authority or, if the accounting authority is not a board or other body, the individual who is the accounting authority, may not—* *(a) act in a way that is inconsistent with the responsibilities assigned to an accounting authority in terms of this Act; or* *(b) use the position or privileges of, or confidential information obtained as, accounting authority or a member of an accounting authority, for personal gain or to improperly benefit another person.* Did the accounting authority comply with the restraints stipulated in section 50(2)?	✓		
50(3)(a) 50(3)(b)	*(3) A member of an accounting authority must—* *(a) disclose to the accounting authority any director indirect personal or private business interest that that member or any spouse, partner or close family member may have in any matter before the accounting authority; and* *(b) withdraw from the proceedings of the accounting authority when that matter is considered, unless the accounting authority decides that the member's direct or indirect interest in the matter is trivial or irrelevant.* Did (a) member(s) of an accounting authority disclose to the accounting authority any direct or indirect personal or private business interest that that member or stipulated relations may have in any matter before the accounting authority? And (b) withdrew from the proceedings of the accounting authority when that matter was considered, unless the exclusion as stipulated was applicable?	✓		
51(1)(a)	*(1) An accounting authority for a public entity—* *(a) must ensure that that public entity has and maintains—* *(i) effective, efficient and transparent systems of financial and risk management and internal control;* *(ii) 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; and* *(iii) an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost-effective;* *(iv) a system for properly evaluating all major capital projects prior to a final decision on the project;* Did the accounting authority for a public entity comply with the stipulations contained in section 51(1)(a)?	✓		
51(1)(b)	*(1) An accounting authority for a public entity—* *(b) must take effective and appropriate steps to—* *(i) collect all revenue due to the public entity concerned; and* *(ii) prevent irregular expenditure, fruitless and wasteful expenditure, losses resulting from criminal conduct, and expenditure not complying with the operational policies of the public entity; and* *(iii) manage available working capital efficiently and economically;* Did the accounting authority comply with the stipulations contained in section 51(1)(b)?	✓		
51(1)(c)	*(1) An accounting authority for a public entity—* *(c) is responsible for the management, including the safeguarding, of the assets and for the management of the revenue, expenditure and liabilities of the public entity;* Did the accounting authority act in accordance with its responsibility in respect of the management, including the safeguarding, of the assets and for the management of the revenue, expenditure and liabilities of the public entity?	✓		

Section	Question	Yes	No	Remarks
51(1)(d)	*(1) An accounting authority for a public entity—* *(d) must comply with any tax, levy, duty, pension and audit commitments as required by legislation;* Did the accounting authority comply with any tax, levy, duty, pension and audit commitments as required by legislation.	✓		
51(1)(e)	*(1) An accounting authority for a public entity—* *(e) must take effective and appropriate disciplinary steps against any employee of the public entity who* *(i) contravenes or fails to comply with a provision of this Act;* *(ii) commits an act which undermines the financial management and internal control system of the public entity; or* *(iii) makes or permits an irregular expenditure or a fruitless and wasteful expenditure;* Did the accounting authority take effective and appropriate disciplinary steps against any employee of a public entity in circumstances as stipulated in section 51(1)(e)?		✓	No financial misconduct took place in the public entity during this period.
51(1)(f)	*(1) An accounting authority for a public entity—* *(f) is responsible for the submission by the public entity of all reports, returns, notices and other information to Parliament, and to the relevant executive authority or treasury, as may be required by this Act;* Did the accounting authority submit all stipulated information to stipulated users as prescribed by section 51(1)(f)?	✓		
51(1)(g)	*(1) An accounting authority for a public entity—* *(g) must promptly inform the National Treasury on any new entity which that public entity intends to establish or in the establishment of which it takes the initiative, and allow the National Treasury a reasonable time to submit its decision prior to formal establishment; and* Did the accounting authority promptly inform the National Treasury on any new entity, which that public entity intends to establish, or in the establishment of which it takes the initiative, and did it allow the National Treasury a reasonable time to submit its decision prior to formal establishment?		✓	Not applicable.
51(1)(h)	*(1) An accounting authority for a public entity—* *(h) must comply, and ensure compliance by the public entity, with the provisions of this Act and any other legislation applicable to the public entity.* Did the accounting authority comply, and ensure compliance by the public entity, with the provisions of the PFMA and any other legislation applicable to the public entity?	✓		
51 (2)	*(2) If an accounting authority is unable to comply with any of the responsibilities determined for an accounting authority in this Part, the accounting authority must promptly report the inability, together with reasons, to the relevant executive authority and treasury.* If the accounting authority was unable to comply with any of the responsibilities determined for an accounting authority in section 51, did the accounting authority promptly report this inability, together with reasons, to the relevant executive authority and treasury?	✓		

Section	Question	Yes	No	Remarks
53(1)	*(l) The accounting authority for a public entity listed in Schedule 3 which is not a government business enterprise must submit to the executive authority responsible for that public entity, at least six months before the start of the financial year of the department designated in terms of subsection (2) or another period agreed to between the executive authority and the public entity, a budget of estimated revenue and expenditure for that financial year, for approval by the executive authority* Did the accounting authority for a public entity listed in schedule 3 which is not a government business enterprise submit to the executive authority responsible for that public entity within the stipulated period, a budget of estimated revenue and expenditure for that financial year, for approval by the executive authority?		✓	Not applicable.
53(2)	*(2) The budget must be submitted to the executive authority through the accounting officer for a department designated by the executive authority, who may make recommendations to the executive authority with regard to the approval or amendment of the budget.* Was the budget submitted to the executive authority through the accounting officer for a department designated by the executive authority?	✓		
53(3)	*(3) A public entity which must submit a budget in terms of subsection (1), may not budget for a deficit and may not accumulate surpluses unless the prior written approval of the National Treasury has been obtained.* Did a public entity which must submit a budget in terms of section 53(1), budget for a deficit or accumulate surpluses without the prior written approval of the National Treasury?		✓	
53(4)	*(4) The accounting authority for such a public entity is responsible for ensuring that expenditure of that public entity is in accordance with the approved budget.* Did the accounting authority for a public entity referred to in section 53(1) ensure that expenditure of that public entity is in accordance with the approved budget?	✓		
54(1)	*54. (1) The accounting authority for a public entity must submit to the treasury or the Auditor-General such information, returns, documents, explanations and motivations as may be prescribed or as the treasury or the Auditor-General may require.* Did the accounting authority for a public entity submit to the relevant treasury or the Auditor-General such information, returns, documents, explanations and motivations as may be prescribed or as the relevant treasury or the Auditor-General may require?	✓		
54(2)	*(2) Before a public entity concludes any of the following transactions, the accounting authority for the public entity must promptly and in writing inform the treasury of the transaction and submit relevant particulars of the transaction to executive authority for approval of the transaction:* *(a) establishment or participation in the establishment of a company;* *(b) participation in a significant partnership, trust, unincorporated joint venture or similar arrangement;* *(c) acquisition or disposal of a significant shareholding in a company;* *(d) acquisition or disposal of a significant asset;* *(e) commencement or cessation of a significant business activity; and* *(f) a significant change in the nature or extent of its interest in a significant partnership, trust, unincorporated joint venture or similar arrangement.* Did the accounting authority for a public entity, before a public entity concluded any of the transactions stipulated in this section, promptly and in writing inform the relevant treasury of	✓		

Section	Question	Yes	No	Remarks
	the transaction and submit relevant particulars of the transaction to its executive authority for approval of the transaction?			
54(3)	*(3) A public entity may assume that approval has been given if it receives no response from the executive authority on a submission in terms of subsection (2) within 30 days or within a longer period as maybe agreed to between itself and the executive authority.* Did the public entity maintain adequate records to ensure that any assumption of approval can be justified in cases where no response is received, within the stipulated period, from the executive authority on a submission in terms of section 54(2)?	✓		
55(1)(a) 55(1)(b) 55(1)(c) 55(1)(d)	*(1) The accounting authority for a public entity—* *(a) must keep full and proper records of the financial affairs of the public entity;* *(b) prepare financial statements for each financial year in accordance with generally accepted accounting practice, unless the Accounting Standards Board approves the application of generally recognised accounting practice for that public entity;* *(c) must submit those financial statements within two months after the end of the financial year—* *(i) to the auditors of the public entity for auditing; and* *(ii) if it is a business enterprise or other public entity under the ownership control of the national government, to the treasury; and* *(d) must submit within five months of the end of a financial year to the treasury, to the executive authority responsible for that public "entity and , if the Auditor-General did not perform the audit of the financial statements, to the Auditor-General—* *(i) an annual report on the activities of that public entity during that financial year;* *(ii) the financial statements for that financial year after the statements have been audited; and* *(iii) the report of the auditors on those statements.* Does the accounting authority for a public entity: a) Keep full and proper records of the financial affairs of the public entity?; b) Prepare financial statements for each financial year in accordance with generally accepted accounting practice (gaap), unless the stipulated deviation from gaap applies?; c) Submit those financial statements within two months after the end of the financial year to the stipulated institutions?; and d) Submit within five months of the end of a financial year to the stipulated institutions: i) An annual report on the activities of that public entity during that financial year ii) The financial statements for that financial year after the statements have been audited and iii) The report of the auditors on those statements?	✓		
55(2)(a) 55(2)(b) 55(2)(c)	*(2) The annual report and financial statements referred to in subsection (1) (d)must—* *(a) fairly present the state of affairs of the public entity, its business, its financial results and its performance against predetermined objectives and its financial position as at the end of the financial year concerned;* *(b) include particulars of—* *(i) any material losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year;* *(ii) any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure;* *(iii) any losses recovered or written off,* *(iv) any financial assistance received from the state and commitments made 10 by the state on its behalf and*	✓		

Section	Question	Yes	No	Remarks
	(v) any other matters that may be prescribed; and *(c) include the financial statements of any subsidiaries.* Does the annual report and financial statements referred to in section 55(1)(d): a) 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?; b) Include particulars of the matters referred to in section 55(2)(b)?; and c) Include the financial statements of any subsidiaries?			
55(3)	*(3) An accounting authority must submit the report and statements referred to in subsection (1) (d), for tabling in Parliament, to the relevant executive authority through the accounting officer of a department designated by the executive authority.* Did the accounting authority submit the report and statements referred to in section 55(1)(d), for tabling in Parliament or the provincial legislature, to the relevant executive authority through the accounting officer of a department designated by the executive authority?	✓		
55(4)	*(4) The treasury may direct that, instead of a separate report, the audited financial statements of a Schedule 3 public entity which is not a government business enterprise must be incorporated in those of a department designated by the treasury.* Did the relevant treasury directs that, instead of a separate report, the audited financial statements of a schedule 3 public entity which is not a government business enterprise, must be incorporated in those of a department designated by that treasury, and was such direction adhered to?		✓	Not relevant to the Entity. Applicable to Treasury.
56(1)	***(1)** The accounting authority for a public entity may—* *(a) in writing delegate any of the powers entrusted or delegated to the accounting authority in terms of this Act, to an official in that public entity; or* *(b) instruct an official in that public entity to perform any of the duties assigned to the accounting authority in terms of this Act.* Did the delegation, by an accounting authority for a public entity, of any of the powers entrusted or delegated to the accounting authority in terms of the PFMA, to an official in that public entity occur in writing?	✓		
56(2)	*A delegation or instruction to an official in terms of subsection (l)—* *(a) is subject to any limitations and conditions the accounting authority may impose;* *(b) may either be to a specific individual or to the holder of a specific post in the relevant public entity; and* *(c) does not divest the accounting authority of the responsibility concerning the exercise of the delegated power or the performance of the assigned duty.* Were the stipulations of any delegation or instruction to an official in terms of section 56(1), as proposed in section 56(2)(a) and section 56(2)(b) adhered to?	✓		
56(3)	*(3) The accounting authority may confirm, vary or revoke any decision taken by an official as a result of a delegation or instruction in terms of subsection (1), subject to any rights that may have become vested as a consequence of the decision.* In case where an accounting authority confirmed, varied or revoked any decision taken by an official as a result of a delegation or instruction in terms of section 56(1), did it occur subject to any rights that may have become vested as a consequence of the decision?		✓	Not applicable.
57(a) to c) & (e) 57(d)	*An official in a public entity—* *(a) must ensure that the system of financial management and internal control established for that public entity is carried out within the area of responsibility of that official;*	✓		

Section	Question	Yes	No	Remarks
	(b) is responsible for the effective, efficient, economical and transparent use of financial and other resources within that official's area of responsibility; *(c) must take effective and appropriate steps to prevent, within that official's area of responsibility, any irregular expenditure and fruitless and wasteful expenditure and any under collection of revenue due;* *(d) must comply with the provisions of this Act to the extent applicable to that official, including any delegations and instructions in terms of section 56; and* *(e) is responsible for the management, including the safeguarding, of the assets and the management of the liabilities within that official's area of responsibility.* Did all officials in the public entity: a) Comply with the stipulations of section 57 within that official's area of responsibility b) Comply with the provisions of the PFMA to the extent applicable to that official, including any delegations and instructions in terms of section 56?			
58(1)	*(l) The annual financial statements of a public entity must be audited annually by—* *(a) the Auditor-General; or* *(b) a person registered in terms of section 15 of the Public Accountants' and Auditors' Act, 1991 (Act No. 80 of 1991), as an accountant and auditor, and engaged in public practice as such.* Are the annual financial statements of the public entity audited on an annual basis by one of the two stipulated parties?	✓		
58(3)	*(3) A public entity must consult the Auditor-General on the appointment of an auditor in terms of subsection (2).* Did the public entity consult the Auditor-General on the appointment of an auditor in terms of section 58(2)?	✓		
58(2)	*(2) A public entity may appoint, as its auditor, a person referred to in subsection (l)(b) only if the audit is not performed by the Auditor-General* Did the appointment of an auditor other than the Auditor-General: A) Comply with the stipulations contained in section 58(1)(b) and B) Occurred only as a result of the fact that the Auditor-General do not perform the audit?		✓	Not applicable.
59	*59. (1) An auditor appointed by a public entity in terms of section 58 (1) (b) may not be discharged before the expiry of that auditor's term of appointment except by the executive authority responsible for that public entity acting—* *(a) after consultation with the accounting authority for that public entity; and* *(b) with the concurrence of the Auditor-General.* Were the auditors discharged after consultation with the executive authority and with the concurrence of the Auditor-General and in terms of section 59?	✓		
66 (1) to 66(6)	*(1) An institution to which this Act applies may not borrow money or issue a guarantee, indemnity or security, or enter into any other transaction that binds or may bind that institution or the Revenue Fund to any future financial commitment, unless such borrowing, guarantee, indemnity, security or other transaction-* *(a) is authorised by this Act; and* *(b) in the case of public entities, is also authorised by other legislation not in conflict with this Act; and* *(c) in case of loans by a province or a provincial government business enterprise under the ownership control of a provincial executive, is within the limits as set in terms of Borrowing Powers of Provincial Governments Act, 1996 (Act No. 48 of 1996)* *(2) Only the following persons may borrow money, or issue a guarantee, indemnity or security, or enter into any other transaction that binds or may bind the Revenue Fund to any*		✓	Not applicable.

Section	Question	Yes	No	Remarks
	future financial commitment: *(a) Transactions that bind or may bind the National Revenue Fund: the Minister or, in the case of the issue of a guarantee, indemnity or security, the responsible Cabinet member acting with the concurrence of the Minister in terms of section 70.* *(3) Public entities may only through the following persons borrow money, or issue a guarantee, indemnity or security, or enter into any other transaction that binds or may bind that public entity to any future financial commitment:* *(a) A public entity listed in Schedule 2: The accounting authority for that Schedule 2 public entity.* *(b) A national government business enterprise listed in Schedule 3 and authorized by notice in the national Government Gazette by the Minister: The accounting authority for that government business enterprise, subject to any conditions the Minister may impose.* *(c) Any other national public entity: The Minister or, in the case of the issue of a guarantee, indemnity or security, the Cabinet member who is the executive authority responsible for that public entity, acting with the concurrence of the Minister in terms of section 70.* *(d) A provincial government business enterprise listed in Schedule 3 and authorized by notice in the national Government Gazette by the Minister: The MEC for finance in province, acting with concurrence of the Minister, subject to any conditions that the minister may impose.* *(4) Constitutional institutions may not borrow money. nor issue a guarantee. indemnity or security, nor enter into any other transaction that binds or may bind the entity to any future financial commitment.* *(5) Despite subsection (4), the Minister may in writing permit a public entity mentioned in subsection (3)(c) or a constitutional institution to borrow money for bridging purposes up to a prescribed limit, including a temporary bank overdraft, subject to such conditions as the Minister may impose.* *(6) A person mentioned in subsection (2) or (3) may not delegate a power conferred in terms of that subsection. except with the prior written approval of the Minister.* *(7) A public entity authorised to borrow money—* *(a) must annually submit to the Minister a borrowing programme for the year; and* *(b) may not borrow money in a foreign currency above a prescribed limit, except when that public entity is a company in which the state is not the only shareholder.* Did the public entity borrow money or issue a guarantee or enter into any such transaction as referred to in this section? If so, have the requirements of sections 66 (1) a-c and 66 (2) to 66 (6), as applicable, been met?			
77 (a) (b)	*An audit committee—* *(a) must consist of at least three persons of whom, in the case of a department—* *(i) one must be from outside the public service;* *(ii) the majority may not be persons in the employ of the department, except with the approved of the treasury; and* *(iii) the chairperson may not be in the employ of the department;* *(b) must meet at least twice a year; and* Does the composition of the audit committee meet the requirements of this section and have they met as prescribed?	✓		

TREASURY REGULATIONS COMPLIANCE REPORT

Section	Question	Yes	No	Remarks
1. BUDGET AND RELATED MATTERS (CHAPTER 6)				
1.1 Tr(6.1.2)	Does the entity receive transfer payments appropriated from a vote?	✓		
1.1.1 Tr(6.1.2)	If so, did the entity submit all the information as required by the accounting officer responsible for the vote for the purposes of complying with the budget circular?	✓		
1.1.2 Tr(6.1.2)	Was the budget submission made through the accounting officer in charge of the department responsible for the entity?	✓		
1.1.3	Was the budget formally approved by the controlling department?	✓		
1.1.4	If the budget was reduced by the controlling department, was a new budget compiled and submitted by the entity and was it approved	✓		
2.1.1 Tr(25.1.1)	Is the public entity listed as required in terms of the PFMA?	✓		
2.1.1.1 Tr(25.1.2)	If not: were all moneys received deposited into the National Revenue Fund?		✓	Not applicable.
2.1.2 Tr(25.1.3)	Did the public entity submit all information required by the National Treasury in terms of the PFMA and these regulations to the Registrar of Public Entities in the National Treasury?	✓		
2.2 Listing (Chapter 25.2)				
2.2 Tr(25.2.1)	If the public entity is not listed, did the Accounting Authority submit the following information to the executive authority and the Registrar of Public Entities in support of its application for listing: (a) name of the public entity; (b) its main function; (c) executive authority responsible for the public entity; (d) legislation in terms of which the entity was established; (e) dates of its incorporation and financial year end; (f) names of members of the board or body controlling the public entity; (g) its registered address and telephone numbers; (h) name of the chief executive officer; (i) name of the chief financial officer; (j) name of the company secretary; (k) authority responsible for appointing the chief executive officer; (l) authority responsible for appointing the board of directors or controlling body; (m) subsidiaries under the ownership control of the entity; (n) latest audit financial statements; (o) Amount of budgetary transfers received over the past three financial years; and (p) Most recent corporate/strategic plan of the public entity.		✓	Not applicable. The entity is already listed as Schedule 3A.

Section	Question	Yes	No	Remarks
2. RESPONSIBILITIES OF DESIGNATED ACCOUNTING OFFICERS (CHAPTER 26)				
3.1 Tr(26.1.1)	Did the entity submit information on its actual revenue and expenditure up to the end of the quarter, as well as a projection of expected expenditure and revenue for the remainder of the current financial year to the designated accounting officer within 30 days of the end of each quarter? - Was information on actual revenue and expenditure determined after taking accruals into account?	✓		
3.2 Tr(26.1.2)	Did the accounting authority, through the designated accounting officer, report on the extent of compliance with the PFMA and the regulations? Was non-compliance reported together with reasons?	✓		
3.3 Tr(26.1.3)	Did the accounting officer approve the sharing of the services of the Audit Committee and internal audit after consultation with the relevant authority in the entity?	✓		
3. INTERNAL CONTROL AND CORPORATE MANAGEMENT (CHAPTER 27) **4.1 Audit Committee (Chapter 27.1)**				
4.1.1 Tr(27.1.1)	Did the accounting authority of the entity establish an Audit Committee as a sub-committee of the accounting authority?	✓		
4.1.2 Tr(27.1.3)	Does the chairperson of the committee comply with the following requirements: - Must be independent; - Must be knowledgeable of the status of the position; - Must have the requisite business, financial and leadership skills - May not be the chairperson of the accounting authority or a person who fulfils an executive function in the entity	✓		
4.1.3 Tr(27.1.4)	Are the majority of members non-exec members appointed by the accounting authority - are the majority of the members financially literate?	✓		
4.1.4 Tr(27.1.5)	Did the executive authority concur with the premature termination of the services of a member?		✓	Not applicable
4.1.5 Tr(27.1.6)	Has the committee established written terms of reference which deals adequately with its membership, authority and responsibilities? - Is it being reviewed at least annually to ensure its relevance?	✓		
4.1.6 Tr(27.1.7)	Was it disclosed in the entity's annual report whether or not the Audit Committee has adopted a formal terms of reference? - if so, was it also disclosed whether the committee satisfied its responsibilities for the year, in compliance with its terms of reference?	✓		
4.1.7 Tr(27.1.8)	Did the Audit Committee review the following information: - Effectiveness of internal control systems; - Effectiveness of internal audit; - 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 the management and other users; - Any accounting and auditing concerns identified as a result of internal and external audit. - The entity's compliance with legal and regulatory provisions; - The activities of the IA function, including its annual work program, co-ordination with the external auditors, the	✓		

Section	Question	Yes	No	Remarks
	reports of significant investigations, and the response of management to specific recommendations. - Where relevant, the independence and objectivity of the external auditors (where the Auditor-General is not the auditor).			
4.1.8 Tr(27.1.9)	- Does the Audit Committee have explicit authority to investigate matters within its powers, as identified in the written terms of reference? - Was the Audit Committee provided with resources to investigate such matters and did the Audit Committee have full access to information? - Did the Audit Committee safeguard all information supplied to it within the ambit of the law?	✓		
4.1.9 Tr(27.1.10)	Did the Audit Committee: - report and make recommendations to the accounting authority - report on the effectiveness of the internal controls in the annual report - comment on its evaluation of the financial statements in the annual report	✓		
4.1.10 Tr(27.1.11)	Did the chairperson promptly report any report received from internal audit implicating any members of the accounting authority for financial misconduct to the executive authority or the Auditor-General.		✓	Not applicable
4.1.11 Tr(27.1.12)	Did the Audit Committee report any concerns it deemed necessary to the executive authority, Auditor-General or external auditors.		✓	Not applicable
4.1.12 Tr(27.1.13)	Does the Audit Committee meet at least annually with the External Auditor to ensure there are no unresolved issues of concern?	✓		
4.2 Internal controls and internal audit (Chapter 27.2)				
4.2.1 Tr(27.2.1)	- Was a risk assessment conducted at least annually? - Does the entity have a risk management strategy and does it include a fraud prevention plan? - Was the strategy clearly communicated to all employees?	✓		
4.2.2 Tr(27.2.2)	Was an internal audit function functioning during the year under review?	✓		
4.2.3 Tr(27.2.3 & 4)	Where the internal audit was contracted out - were the tendering procedures properly followed? - were they independent (i.e. not external auditors)?	✓		
4.2.4 Tr(27.2.5)	- Is the purpose, authority and responsibility of the Internal Auditors function formally defined in the audit charter? - Is the above consistent with the Institute of Internal Auditor's definition of internal auditing?	✓		
4.2.5 Tr(27.2.6)	Was the internal audit conducted in accordance with standards set by the Institute of Internal Auditors	✓		
4.2.6 Tr(27.2.7)	Did the internal auditors in consultation with the Audit Committee prepare (a) a rolling three-year strategic internal audit plan based on its assessment of key areas of risk for the public entity, having regard to its current operations, the operations proposed in its corporate or strategic plan and its risk management strategy; (b) an internal audit plan for the first year of the rolling plan; (c) plans indicating the scope of each audit in the annual internal audit plan; (d) reports to the Audit Committee detailing its performance against the plan, to allow effective monitoring and intervention when necessary.	✓		

Section	Question	Yes	No	Remarks
4.2.7 Tr(27.2.8)	Does the internal audit function report directly to the Accounting Authority and report at all Audit Committee meetings? - Is the internal audit unit independent and is there no limitation of access to information?	✓		
4.2.8 Tr(27.2.9)	Did the internal audit function co-ordinate with other internal and external providers of assurance to ensure proper effort and minimise duplication of effort?	✓		
4.2.9 Tr(27.2.10)	- Did the internal audit function assist the accounting authority in maintaining effective controls by evaluating those controls to determine their effectiveness and efficiency and by developing recommendations for enhancement or improvement? - Did the controls encompass the following: (a) the Information systems environment? (b) The reliability and integrity of financial and operational info (c) The effectiveness of operations. (d) Safeguarding of assets, and (e) Compliance with laws, regulations and controls.	✓		
4.2.10 Tr(27.2.11)	Did the internal audit function assist the accounting authority in achieving the objectives of the institution by evaluating and developing recommendations for the enhancement or improvement of the processes through which: (a) objectives and values are established and communicated. (b) The accomplishment of objectives is mentioned. (c) Accountability is ensured; and (d) Corporate values are preserved. (e)	✓		
4.3 Chief Financial Officer (Chapter 27.3)				
4.3.1 Tr(27.3.1)	Does the entity have a CFO. If not, was the appropriate approval received from treasury?	✓		
4. ANNUAL FINANCIAL STATEMENTS AND ANNUAL REPORTS (CHAPTER 28)				
5.1.1 Tr(28.1.1)	Does the AFS include a report by the accounting authority and contain disclosures of (a) emoluments of all directors and executive members (b) Emoluments paid/receivable by directors and executive members in aggregate and per director and executive member for (c) Separate disclosure for executive directors, non-executive directors and executive members.	✓		
5.1.2 Tr(28.1.4)	Does the disclosure include: (a) fees for services as a director or executive member. (b) Basic salary. (c) Bonuses and performance related payment. (d) Sums paid by way of expense allowances. (e) Contributions made to any pension fund, medical aid, insurance scheme, etc. (f) Any commission, gain or profit sharing arrangements. (g) Any share options including their strike price and period; and (h) Any other material benefits received.	✓		
5.1.4 Tr(28.3.1)	Did the accounting authority develop and agree a framework of acceptable levels of materiality and significance with the relevant executive authority in consultation with the external auditors?	✓		
5.1.5 Tr(28.1.6)	Did the public entity prepare financial statements in accordance the GAAP? - If not, was there disclosure of the departure, reasons and effect on financial statements?		✓	Prepared in terms of GRAP as per National Treasury Instruction
5.1.6 Tr(28.3.1)	Does the annual report of the public entity's detail the materiality/significant framework applied during the financial year?	✓		

5. STRATEGIC PLANNING (CHAPTER 30)

6.1 Strategic plan (Chapter 30.1)

6.1.1 Tr(30.1.1)	Did the accounting authority of a public entity listed in terms of Schedule 3A annually submit a proposed strategic plan for approval by the executive authority Was the plan submitted at least 6 months before the start of the financial year of the designated department or any other time period as agreed between the executive authority and the public entity?	✓		
6.1.2 Tr(30.1.2)	Was the plan finalised and submitted to the executive authority by 1 April each year?	✓		
6.1.3 Tr(30.1.3)	Does the strategic plan (a) cover a period of three years; (b) include objectives and outcomes as identified by the executive authority; (c) include multi-year projections of revenue and expenditure; (d) include key performance measures and indicators for assessing the public entity's performance in delivering the desired outcomes and objectives; (e) include the materiality/significant framework , referred to in TR 28.1.5? (f) be updated annually on a rolling basis; and (g) form the basis for the annual reports of accounting authorities in terms of section 55 of the Act.	✓		
6.1.4 Tr(30.1.4)	Was the additional information as required by the executive authority included in the plan?	✓		

6.2 Evaluation of Performance (Chapter 30.2)

6.2.1 Tr(30.2.1)	Were procedures established by the accounting authority for quarterly reporting to the executive authority in order to facilitate effective performance monitoring, evaluation and corrective action?	✓		

6. CASH, BANKING AND INVESTMENT MANAGEMENT (CHAPTER 31)

7.1 Cash management (Chapter 31.1)

7.1.1 Tr(31.1.1)	Did the accounting authority for entities listed in Schedule 3 establish systems, procedures and training and awareness programmes to ensure efficient and effective banking and cash management?	✓		
7.1.2 Tr(31.1.2)	Does the cash management include (a) collecting revenue when it is due and banking it promptly; (b) making payments no earlier than necessary, with due regard for efficient, effective and economical programme delivery and the public entity's normal terms of account payments; (c) avoiding pre-payments for goods or services (i.e. payment in advance of the receipt of goods or services, unless required by the contractual arrangements with the supplier); (d) accepting discounts to effect early settlement when the payment has been included in the monthly cash flow estimates provided to the chief financial officer; (e) pursuing debtors with appropriate sensitivity and rigour to ensure that amounts receivable by the public entity are collected and banked promptly; (f) accurately forecasting the public entity's cash flow in order to optimise its central cash management responsibilities; (g) timing the in and outflow of cash; (h) recognising the time value of money, i.e. economically, efficiently and effectively managing cash; (i) taking any other action that avoids locking up money unnecessarily and inefficiently, such as managing	✓		

Section	Question	Yes	No	Remarks
	inventories to the optimum level necessary for efficient and effective programme delivery, and selling surplus or under utilised assets; (j) conducting bank reconciliation's at least weekly; (k) making regular cash forecasts; (l) alignment of the approved budget with monthly cash flows; variance analyses of actual cash flow with the approved budget; and (n) sweeping bank accounts to effectively utilise surplus cash.			
7.1.3 Tr(31.1.3)	Is the cash management performance reported at least on a monthly basis?	✓		
7.2 Banking Framework (Chapter 31.2)				
7.2.1 Tr(31.2.1)	Did National Treasury approve the bank where entities listed in schedule 3 intended to open a bank account? Is a list of existing banking accounts submitted to National Treasury by 31 May each year?	✓		
7.2.2 Tr(31.2.2)	Has National Treasury proposed a bank? If so, did the public entity open an account in that relevant bank? If not, did the entity take into account (a) that the bank is registered with the South African Registrar of Banks; (b) that the bank is a member or sponsored by a member of the Payments Association of South Africa; (c) the bank's contracting with persons, or categories of persons historically disadvantaged by unfair discrimination on the basis of race, gender or disability; (d) the cost effectiveness; and (e) the ability of the bank to provide the required services which through adequate systems, infrastructure and branch networks.		✓	
7.2.3 Tr(31.2.3)	Was the adjudication and awarding of the tender done in accordance with the public entity's internal tendering procedures.	✓		
7.2.4 Tr(31.2.4)	Did the accounting authority or the person to whom such authorisation was delegated open a bank account?		✓	Not applicable.
7.3 Investment Policy (Chapter 31.3)				
7.3.1 Tr(31.3.1)	Does the entity have funds under management? If so, has an investment policy been approved by the accounting authority?	✓		
7.3.2 Tr(31.3.2)	Does the policy include (a) selection of counter-parties through credit risk analyses; (b) establishment of investment limits per institution; (c) establishment of investment limits per investment instrument; (d) monitoring of investments against limits; (e) reassessment of investment policies on a regular basis; (f) reassessment of counter-party credit risk based on credit ratings; (g) assessment of investment instruments based on liquidity requirements.	✓		
7.3.3 Tr(31.3.3)	Did the public entity listed in terms of Schedule 3A or 3C invest surplus funds with the Corporation for Public Deposits?		✓	Not applicable.
7.3.4 Tr(31.3.4)	Note: Surplus funds refer to all money in excess of a given day's projected cash flow requirements plus a liquidity buffer needed to cover unforeseen expenses on that day.			
7.3.5 Tr(31.3.5)	Did entities exempted from TR 31.3.3 invest surplus funds in an institution with an investment grade rating and was it in line with an investment policy?	✓		

Section	Question	Yes	No	Remarks
7.3.6 Tr(31.4.1)	Did the entity promptly disclose information regarding cash, banking and investment management when so requested by National Treasury?	✓		
7. BORROWING AND LEASES (CHAPTER 32) **8.1 Borrowing (Chapter 32.1)**				
8.1.1 Tr(32.1.1)	Did the public entity listed in Schedule 3A borrow money for bridging purposes? If so, did the Minister of Finance approve the borrowing? Were the following conditions applied? (a) the debt must be repaid within 30 days of the end of the financial year; (b) borrowing may not exceed a limit determined in advance by the Minister of Finance, in consultation with the national executive authority or provincial MEC for finance, whichever appropriate; (c) foreign borrowing may not be undertaken; (d) a request for borrowing for bridging purposes must be submitted to the Minister of Finance at least 30 days before the borrowing. The following must be submitted together with the request – (i) detailed cash flow and income and expenditure statements indicating how the debt will be repaid during the prescribed period; and (ii) the terms and conditions on which the money is borrowed.		✓	Not applicable.
8.1.2 Tr(32.1.2)	The above paragraph does not apply to the use of credit cards, fleet management cards or other credit facility repayable.		✓	Not applicable.
8.2.1 Tr(32.2.3)	- Did an entity listed in schedules 2,3,4, 3B and 3D enter into a finance lease transaction? - If so, did the entity enter into it through the following functionaries: (a) public entity listed in schedule 2: the accounting authority for that entity; (b) a national public entity listed in schedule 3A: the Minister of Finance; (c) a national government business enterprise listed in schedule 3B and authorised by the Minister by notice in the national Government Gazette: the accounting authority of that business enterprise, subject to conditions that the Minister may impose; (d) a provincial business enterprise listed in schedule 3D and authorised by the Minister by notice in the National Government Gazette: the MEC for finance in the province, acting with the concurrence of the Minister,. Subject to any conditions that the Minister may impose.		✓	Not applicable. All leases transactions are treated as operating lease.
8. FINANCIAL MISCONDUCT (CHAPTER 33) **9.1 Investigation of alleged financial misconduct (Chapter 33.1)**				
9.1.1 Tr(33.1.1)	Was an employee alleged to have committed financial misconduct? If so, did the accounting authority ensure that an investigation was conducted into the matter and if confirmed a disciplinary hearing was carried out in accordance with the relevant prescripts?		✓	No financial misconduct occurred.
9.1.2 Tr(33.1.2)	Was the investigation instituted within 30 days from the date of discovery of the alleged financial misconduct?		✓	No financial misconduct occurred.
9.1.3 Tr(33.1.3)	If the accounting authority or its members is alleged to have committed the misconduct, did the executive authority initiate an investigation into the matter and if the allegations were confirmed, did he/she ensure that the appropriate disciplinary proceedings were initiated immediately?		✓	No financial misconduct occurred.
9.1.4 Tr(33.1.4)	Did the National Treasury, after consultation with the executive authority		✓	No financial misconduct

Section	Question	Yes	No	Remarks
	(a) direct that a person other than an employee of the public entity conducts the investigation; (b) issue any reasonable requirement regarding the way in which the investigation should be performed.			occurred.
9.2 Criminal Proceedings (Chapter 33.2)				
9.2.1 Tr(33.2.1)	If any criminal charges were laid in terms of section 86 of the PFMA, did the accounting authority advise the Auditor-General, the executive authority and National Treasury of the above occurring?		✓	No criminal offence occurred.
9.3 Reporting (Chapter 33.3)				
9.3.1 Tr(33.3.1) Sec 85 (1)	Did the accounting authority on an annual basis submit a report to the executive authority, National Treasury and the Auditor-General a schedule of (a) the outcome of any disciplinary hearings and/or criminal charges; (b) the names and ranks of employees involved; and the sanctions and any further actions taken against these employees.		✓	No disciplinary hearing required