REGULATIONS FOR THE REGISTRATION OF PRIVATE HIGHER EDUCATION INSTITUTIONS, 2016

A GUIDE FOR COMPLETING THE ANNUAL REPORT

(GUIDE APX-03)
The Department of Higher Education and Training (DHET) provides this guide to any registered private higher education institution that seeks to submit an annual report. This manual is a guideline to interpret the legal framework, which consists of the Higher Education Act, 1997 (Act No. 101 of 1997), the Regulations for the Registration of Private Higher Education Institutions, 2016 and the Annexures to the Regulations.

Since it is necessary to have the guides and the forms accessible, the Registrar of Private Higher Education Institutions has decided to re-publish in this format. The original publication in the Government Gazette is the formal publication. This publication is an exact copy of Government Gazette No. 39880 dated 31 March 2016. Electronic versions of the Act, the Regulations and the Annexures are also available on the website of the Department of Higher Education and Training at address www.dhet.gov.za.

In utilizing this publication, it is important to note that it is only applicable to registered private higher education institution. It accompanies an application form titled Application for Amendment as a Private Higher Education Institution (Form APX-02). For registered private higher education institutions that seek to submit annual reports similar publications are available on the website. For further assistance, contact the Directorate: Registration of Private Higher Education Institutions at the details provided below.

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<th>Description</th>
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<td>Council on Higher Education</td>
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<tr>
<td>CIPC</td>
<td>Companies and Intellectual Property Commission</td>
</tr>
<tr>
<td>FET</td>
<td>Further Education and Training</td>
</tr>
<tr>
<td>FTE</td>
<td>Full-time equivalent</td>
</tr>
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<td>GEFETQSF</td>
<td>General and Further Education and Training Qualifications Sub-Framework</td>
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<td>HEQC</td>
<td>Higher Education Quality Committee</td>
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<td>IRBA</td>
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<td>NLRD</td>
<td>National Learner’s Records Database</td>
</tr>
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<td>NQF</td>
<td>National Qualification Framework</td>
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<tr>
<td>OQSF</td>
<td>Occupation Qualifications Framework</td>
</tr>
<tr>
<td>QCTO</td>
<td>Quality Council for Trades and Occupations</td>
</tr>
<tr>
<td>SARS</td>
<td>South African Revenue Services</td>
</tr>
<tr>
<td>SETA</td>
<td>Sector Education and Training Authority</td>
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<td>VAT</td>
<td>Value Added Tax</td>
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VISION, MISSION AND MANDATE OF THE DEPARTMENT OF HIGHER EDUCATION AND TRAINING

VISION

The vision of the Department of Higher Education and Training (DHET) is of a South Africa in which we have a differentiated and fully-inclusive post-school system that allows South Africans to access relevant post-school education and training in order to fulfil the economic and social goals of participation in an inclusive economy and society.

MISSION

The mission of the Department is to develop capable, well-educated and skilled citizens who are able to compete in a sustainable, diversified and knowledge-intensive international economy, which meets the development goals of South Africa.

MANDATE

The Department derives its mandate from section 29 of the Constitution of the Republic of South Africa, 1996 (“hereafter referred to as “the Constitution”) read with schedule 4 which lists the rights of all South Africans with respect to education at all education levels within South Africa. In accordance with the section 29 of the Constitution, the Department thus endeavours to provide quality education to all South Africans at every level of the post-school system. With respect to private higher education institutions specifically, the Department is guided by section 29(3) of the Constitution which states that:

Everyone has the right to establish and maintain, at their own expense, independent institutions that:

(a) Do not discriminate on the basis of race;
(b) Are registered with the State; and
(c) Maintain standards that are not inferior to standards at comparable public educational institutions.

Private higher education thus has an important role to play in the mandate of the Department for delivering on the Constitutional right of South Africans to quality education that provides the intellectual and professional training required to meet the development needs of society and the economy.

THE LEGAL FRAMEWORK

In terms of the National Qualifications Framework Act, 2008 (Act. No 67 of 2008 “the NQF Act”), the National Qualifications Framework (NQF), which is the system into which the South African qualifications and part qualifications are organized and recorded, is divided into three (3) sub-frameworks. The 3 sub-frameworks are: the Higher Education Qualifications Sub-Framework (HEQSF), the General and Further Education and Training Qualifications Sub-Framework (GENFETQSF) and the Occupational Qualifications Sub-Framework (OQSF). Each sub-framework is the responsibility of a Quality Council (QC). The three QCs are: the Council on Higher Education (CHE) which is responsible for the quality assurance of higher education qualifications which are on levels 5 – 10 of the
NQF, Umalusi which is responsible for the quality assurance of college programmes and qualifications which are on levels 1 – 4 of the NQF and the Quality Council for Trades and Occupations (QCTO) which is responsible for the quality assurance of qualifications that belong in the trades and occupations which are on levels 1- 8 of the NQF. These QCs are responsible for accreditation of qualifications falling within their sub-frameworks as well as accrediting private institutions that wish to offer their qualifications.

The South African Qualifications Authority (SAQA) is responsible for marinating the NQF. To enable the Registrar to register private institutions in compliance of section 29 of the Constitution of the Republic of South Africa, SAQA makes decisions as to which qualifications sub-framework a qualification belongs to so as to avoid a situation where private institutions may offer qualifications or part qualifications without registration of such qualifications on the NQF. The QCTO may delegate its accreditation functions to a “delegated accrediting authority”, such as a Sector Education and Training Authority (SETA), a professional body or another entity but the final endorsement and certification will be issued by the QCTO as the responsible QC.

The Higher Education Act, 1997 (Act No. 101 of 1997)(hereafter referred to as “the Act”) requires that private institutions be registered with the DHET in order to operate legally, over and above being accredited by the CHE.

The Continuing Education and Training Act, 2006 (Act. No. 16 of 2006) (hereafter referred to as “the CET Act”) requires that private colleges be registered with the DHET in order to operate legally, over and above being accredited by Umalusi.

According to the Skills Development Act, 1998 (Act No.97 of 1998) (hereafter referred to as “the SD Act”), private providers that offer qualifications that fall on the sub-framework of the QCTO, which is the OQSF, that is, the sub-framework for trades and occupations must be accredited by the QCTO. For OQSF qualifications that fall on levels 1 to 6 of the NQF, private providers are required to register as private colleges. For OQSF qualifications that fall on levels 7 to 8 of the OQSF, private institutions are required to register as PHEIs. In the likely event that a private provider offers qualifications from the three sub-frameworks, it has to satisfy in respect to a specific qualification, the requirements of the QC that relate to any one of the three Acts: HE Act, CET Act and SD Act.

Therefore, accreditation of qualifications and the ability of the institution to deliver the qualifications for private higher institutions (PHEIs) and private colleges is a means towards registration and it does not represent or replace registration for them.
The National Qualifications Framework (NQF)
The following is a representation and explanation of the National Qualifications Framework (NQF).

<table>
<thead>
<tr>
<th>LEVEL</th>
<th>SUB-FRAMEWORK AND QUALIFICATION TYPES</th>
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<tr>
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<td>DOCTORAL DEGREE</td>
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<td></td>
<td>DOCTORAL DEGREE (PROFESSIONAL)</td>
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<tr>
<td>9</td>
<td>MASTER'S DEGREE</td>
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<td></td>
<td>MASTER'S DEGREE (PROFESSIONAL)</td>
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<tr>
<td>8</td>
<td>BACHELOR HONOURS DEGREE</td>
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<tr>
<td></td>
<td>POSTGRADUATE DIPLOMA</td>
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<tr>
<td></td>
<td>BACHELOR'S DEGREE (480 CREDITS)</td>
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<tr>
<td>7</td>
<td>BACHELOR'S DEGREE (360 CREDITS)</td>
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<tr>
<td></td>
<td>ADVANCED DIPLOMA</td>
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<tr>
<td>6</td>
<td>DIPLOMA</td>
</tr>
<tr>
<td></td>
<td>ADVANCED CERTIFICATE</td>
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<tr>
<td>5</td>
<td>HIGHER CERTIFICATE</td>
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<tr>
<td>4</td>
<td>NATIONAL CERTIFICATE</td>
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<tr>
<td>3</td>
<td>INTERMEDIATE CERTIFICATE</td>
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<tr>
<td>2</td>
<td>ELEMENTARY CERTIFICATE</td>
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<tr>
<td>1</td>
<td>GENERAL CERTIFICATE</td>
</tr>
</tbody>
</table>

Taken from Government Gazette Volume 578, Number 36721, Pretoria, 2 August 2013 and adapted for the Register. The GENETQSF can be found on Page 23 of the Gazette. Qualification types beyond level 6 on the OQSF have not been determined pending further advice.
Key to sub-frameworks

<table>
<thead>
<tr>
<th>Higher Education Qualifications Sub-framework (HEQSF)</th>
<th>General and Further Education and Training Qualifications Sub-framework (GENFETQSF)</th>
<th>Occupational Qualifications Sub-framework (OQSF)</th>
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The following must be noted:

a) A “Diploma” is pitched on Level 6 of the NQF and it carries either 360 credits or 480 credits.
b) A “Degree” that is pitched on Level 7 of the NQF carries 360 credits.
c) A “Degree” that is pitched on Level 8 of the NQF carries 480 credits.
d) An exception is the Bachelor of Education (BEd) degree which is pitched on Level 7 of the NQF with 480 credits.
e) Other exceptions will be brought to your notice as they arise.

The National Education Diploma (NATED) Commonly Referred to as N-Diplomas

a) The Department offers N-Diplomas on Levels 1 to 6 of the NQF through both public and private providers. For a provider to offer N-Diplomas on levels 1 to 6 of the NQF registration by the DHET as a private college is required.
b) The N1-N3 “Diplomas” must be accredited by Umalusi and the N4-N6 “Diplomas” must be accredited by the QCTO. The provider must then be registered as a private college with the DHET before the programmes can be offered.

SETA-accredited “Diploma” qualifications

A “Diploma” falls on the sub-framework of the HEQSF. However, some “Diplomas” that are accredited by Sector Education and Training Authorities (SETAs) will be phased out gradually. A SETA is only a “delegated accrediting authority” of the QCTO. The accreditation of a “Diploma” qualification by a SETA will not qualify it for registration as a PHEI.

Transitional Arrangements

The following transitional arrangements need to be noted.

a) The SETA accredited “Diploma” will be phased out in the transitional period.
b) On 6 July 2016, Dr BE Nzimande, the Minister of Higher Education and Training announced in Government Gazette No. 40123 that 31 December 2019 is the last enrolment date for first time entering students into non-HEQSF aligned programmes. Therefore, after 31 December 2019, no PHEI may offer any qualification with a title stipulated in the HEQSF that is not aligned to the HEQSF, duly accredited by the CHE, and registered by the DHET and the SAQA.
c) PHEIs currently purporting to offer non-HEQSF aligned programmes need to plan their phase-out as no new enrolments will be permitted after 31 December 2019.
d) The Department and SAQA are in the process of regulating the use of nomenclatures for programmes that use the HESF nomenclatures but do not belong to the HEQSF.

**Legal requirements for the Submission of the Annual Report**

(1) Every private higher education institution must, in accordance with generally accepted accounting practice, principles and procedures –

(a) keep books and records of income, expenditure, assets and liabilities;

(b) prepare financial statements within three months of the end of the year, including at least:

(i) a statement of income and expenditure for the previous year;

(ii) a balance sheet as at the end of the previous year; and

(iii) any other information the registrar may reasonably require.

(2) Every private higher education institution must, within the period determined by the registrar -

(a) ensure an annual audit of its books, records of account and financial statements by an auditor, who must conduct the audit in accordance with generally accepted auditing standards;

(b) provide to the registrar a certified copy of the auditor’s report in respect of the financial statements referred to in subsection (1); and

(c) provide to the registrar any additional information, particulars or documents in the manner determined by the registrar.

In terms of Regulation 27(1) of Chapter 6 of the Regulations, an institution is required to submit an annual report before 30 April of each year. The Department uses the information submitted in an annual report to achieve the following objectives:

a) To monitor and evaluate the performance of each institution on an annual basis;

b) To develop profiles of the private higher education sector as a whole, through analyses of data such as participation rates, throughput rates and staff and student profiles, in a manner and for reasons similar to the manner and reasons in and for which the public higher education system is profiled; and

c) To foster accountability within the private higher education sector.

Chapter 6 of the Regulations further defines responsibilities that must be executed by an institution in order to maintain its registration. These include:

a) reporting changes in institutional operations;

b) displaying the registration status;

c) responsibilities relating to the offering of higher education programmes, the placing and re-imbursement of students in the case of the discontinuation of a programme and the addition, withdrawal or suspension of a programme or site;

d) publishing a prospectus, calendar or brochure annually for the information of students and the public;

e) maintaining academic records;
f) maintaining a register of complains and grievances;
g) responsibilities relating to marketing and advertising;
h) submitting a financial audit as part of the annual report and any other information as specified by the registrar; and
i) responsibilities relating to the lapsing or cancellation of registration.

In summary, therefore, the maintenance of an institution’s registration is dependent on -

a) Discharging the responsibilities of an institution as defined in Chapter 6 of the Regulations;

b) Continued fulfillment of the requirements for registration as defined in Chapter 3 of the Regulations; and

c) Compliance with conditions of registration as determined by the Registrar of Private Higher Education Institutions in terms of section 60 of the Act.

The annual report must provide evidence of how the institution has continued to fulfill the above requirements in the year for which the report is issued. Failure to comply can result in the cancellation of registration in accordance with section 62 (1) of the Act.
IMPORTANT CONSIDERATIONS FOR COMPLETING THE ANNUAL REPORT FORM

This guide and the accompanying annual reporting form, Form APX-03, must be used when a private institution is preparing its annual report.

The guide is linked to the various sections of the annual reporting form. Institutions are therefore urged to read the guide carefully before commencing with the completion of the annual reporting form. Institutions are also advised to read the guide in conjunction with the Act and the Regulations.

When completing the annual reporting documents, the following should be borne in mind:

a) Annual reports must be submitted by 30 April each year, for the previous year.

b) The financial audit must be issued for the year for which the annual report is submitted.

c) The annual report, including the financial audit, must be submitted in English.

d) Important supporting documents in the form of the listed annexures must be provided as part of the annual report. Annual reporting documents to be submitted are the Form APX-03 and Annexures A – Z.

e) All sections of the form must be completed in full and in the required format. An institution that submits an incomplete annual report or incorrect information will be considered not to have submitted an annual report.

f) All annual reports must carry the date of submission to the DHET.

g) The annual reporting documents can be accessed electronically in Microsoft Word for Windows on the website of the Department of Higher Education and Training at http://www.dhet.gov.za/SitePages/DocForms.aspx. However, all forms must be submitted as hard copies.

h) In order to facilitate the processing of annual reports, the Department is requesting the following:

✓ Submit only the required information and Annexures. Do not submit 2 or more copies of the same. Do not submit irrelevant information.

✓ Annual reports submitted without Annexures will be considered incomplete and returned to the institution.

✓ Annual reports submitted as a loose collection of papers will also be considered incomplete and returned to the institution.

✓ Annual reports that are incoherent will be returned to the institution.

✓ Documents that are required to be dated and signed must be dated and signed. Unsigned and undated documents will not be considered valid documents.

i) The following documents must be submitted either as an original copy or a certified copy for the 2016 year of reporting:
The audited annual financial statements; and

The occupational health and safety audit report/s.

j) Duplicate copies may only be certified by the South African Police Services (SAPS).

k) The Directorate: Private Higher Education no longer accepts nor returns original copies of the financial guarantee and/or surety. Institutions are required to submit copies certified by SAPS.

l) Institutions must ensure that their official and marketing documents comply with Regulations 22, 24 and 26. In this regard, please refer to the checklist attached as Annexure A which can be used to check whether your Prospectus complies with the prescripts of Regulation 24.

m) Annual reports must be submitted in a Plastic Comb Binder as illustrated below. Do not place any pages in plastic pockets. You may bind them in 2 or more volumes.

n) The annual reporting documents are both divided into the following sections:

FORM

Section A: Registered name and number (Items 1 and 2)

Section B: Changes in administrative data (Items 3-15)

Section C: Loss of any physical facility or supporting service or any reduction in financial or personnel resources (Items 16-19)

Section D: Amendments initiated by the institution and approved by the registrar (Items 20-25)

Section E: Data on General and Further Education and Training Qualifications Sub Framework programmes (Items 26-27)

Section F: Data on Occupational Qualifications Sub-Framework (Items 28-29)

Section G: Particulars of registered higher education programmes (Items 30-32)

Section H: Staff and student data (Items 33-40)

Section I: Audit of programmes (Item 41)

Section J: Changes in inter-institutional agreements (Items 42-45)

Section K: Continued fulfillment of the requirements for registration (Items 46-50)

Section L: Discharging the responsibility of an institution (Items 51-59)

Section M: Other (Items 60-62)

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Annexure B1: The disclosure certificate as issued by the Companies and Intellectual Property Commission (CIPC) for Directors who have resigned (Item 12)

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Annexure Y: Tax Clearance Certificate (Item 61)
Annexure Z: Premises not listed on registration certificate (Item 62)

An annual reporting checklist is provided at the end of this document to help institutions determine whether all the required information is included.

In the spaces provided on Form APX-03, the required information must be provided as explained per item below. Each explanation corresponds to the item on Form APX-03.
A. REGISTERED NAME AND NUMBER

ITEM 1

Supply the name in which the institution is registered as a private higher education institution.

ITEM 2

Fill in the registration number that appears on your institution’s certificate of registration as a private higher education institution, as issued by the Registrar of Private Higher Education Institutions.

B. CHANGES IN ADMINISTRATIVE DATA

In terms of Regulation 21(e), institutions are required to inform the registrar of changes in the information submitted in terms of the Act, and the Regulations for the Registration of Private Higher Education Institutions.

ITEM 3

If the institution has a new contact person, fill in the name, title, designation, telephone number, cell phone number, fax number and e-mail address of the new contact person.

ITEM 4

If the postal address for all correspondence to the institution has changed, indicate the new postal address in the spaces provided.

ITEM 5

If the physical address of the institution’s head office has changed, indicate the new physical address in the spaces provided.

ITEM 6

If the contact details of the institution’s head office have changed, indicate the new details in the spaces provided.

ITEM 7

If the physical address of the institution’s main campus has changed, indicate the new details in the spaces provided. In this regard, please note that a separate application for the relocation of the main campus must be lodged with the Department.

ITEM 8

If the address used as the institution’s domicilium citandi et executandi has changed, indicate the new details in the spaces provided.
ITEM 9

If the institution’s website address has changed, indicate the new address in the spaces provided.

ITEM 10

If the head or Chief Executive Officer (CEO) of the institution has been replaced, indicate the details of the new incumbent in the spaces provided.

ITEM 11

If the owners of the institution have changed, indicate in, Table 01, the names, titles and identity numbers of the new owners of the institution, as reflected in the Articles of Association, as issued by the Companies and Intellectual Property Commission (CIPC), must be attached as Annexure A.

ITEM 12

Indicate, in the spaces provided in Table 02, the names of directors who have resigned in the course of the year for which the annual report is issued. The disclosure certificate as issued by the (CIPC) for the current financial year must be attached as Annexure B1.

ITEM 13

Indicate, in the spaces provided in Table 03, the names of directors who have been appointed in the course of the year for which the annual report is issued. The disclosure certificate as issued by the CIPC for current financial year must be attached as Annexure B2. The Chairperson of the Board of Directors must confirm on the official letterhead of the institution, the designation, name and surname of the officials delegated and or legally authorised to act on behalf of the institution. The letter must be attached as Annexure C.

ITEM 14

If the institution’s holding company or parent institution has changed, indicate the details of the new holding company or parent institution in the spaces provided.

ITEM 15

If the institution’s auditors have changed, indicate the details of the new auditors in the spaces provided. This should include:

a) The name (of the firm) of auditors registered with Independent Regulatory Board for Auditors (IRBA), in terms of section 15 of the Public Accountants' and Auditors' Act, 1991 (Act No. 80 of 1991); and

b) The auditor’s practice or registration number, as issued by IRBA.
C. LOSS OF ANY PHYSICAL FACILITY OR SUPPORTING SERVICE OR ANY REDUCTION IN FINANCIAL OR PERSONNEL RESOURCES

In terms of Regulation 21(h)(v), an institution must immediately report to the registrar any changes relating to the loss of any physical facility necessary for the proper conduct of a programme, the loss of any supporting service to a programme and any significant reduction in the financial or personnel resources needed to sustain a programme.

ITEM 16

In the spaces provided, indicate the date of occurrence of any loss experienced by your institution in the year for which the annual report is submitted. If no loss was experienced, place a cross in the column marked No Loss Experienced.

ITEM 17

If the institution experienced the loss of a physical facility necessary for the proper conduct of a programme, describe, in the space provided, the nature of the loss (equipment, offices, buildings, laboratories, etc.) and its impact on the academic activities of the institution.

ITEM 18

If the institution experienced the loss of a supporting service and or academic staff, describe, in the space provided, the nature of the loss and its impact on the academic activities of the institution.

ITEM 19

If the institution experienced a significant reduction in its financial or personnel resources needed to sustain registered programme(s), describe, in the space provided, the nature of the reduction and its impact on the academic activities of the institution.

D. AMENDMENTS INITIATED BY THE INSTITUTION AND APPROVED BY THE REGISTRAR

In terms of section 58 of the Act and Regulation 4, an institution may apply to the registrar to amend its registration. Regulation 23(3) requires that an institution must submit an application for amendment to the registrar in terms of Regulation 4 if it intends to withdraw, indefinitely suspend or add a programme or site.

This section is applicable to institutions that applied for, and were granted, (an) amendment(s) to their registration by the registrar in the year for which the annual report is submitted.

ITEM 20

In the spaces provided, indicate the date of the approval of the amendment by the registrar. If no application for amendment was lodged, place a cross in the column marked Not Applicable.
ITEM 21

In the space provided, indicate what impact, if any, the change in legal name, and or the change in ownership, including the acquisition of another entity or institution, if applicable, has had on the academic activities of your institution.

ITEM 22

In the space provided, indicate what impact, if any, the change in type of company, and or change in ownership if applicable, has had on the academic activities of your institution.

ITEM 23

In the space provided, indicate what impact the amendment to registered programmes has had on the academic activities of your institution.

ITEM 24

In the space provided, indicate what impact the amendment to sites of delivery has had on the academic activities of your institution.

ITEM 25

In the space provided, indicate what impact the amendment to mode of delivery to student enrolment has had on the academic activities of your institution.

E. DATA ON GEFETQSF PROGRAMMES

ITEM 26

By means of a Yes or No, please indicate whether you offer programmes on the General and Further Education and Training Qualifications Sub Framework (GEFETQSF) in the year for which the annual report is submitted.

ITEM 27

If you offer programmes on the GEFETQSF in the year for which the annual report is submitted, indicate the name of the programmes(s), the accreditation number and the registration number as an independent school or an ABET centre in the spaces provided. The accreditation number is provided by Umalusi and the Provincial Department of Education assigns the registration number.

F. DATA ON OQSF PROGRAMMES

ITEM 28

By means of a Yes or No, please indicate whether you offer programmes on the Occupational Qualifications Sub Framework (OQSF) in the year for which the annual
report is submitted.

ITEM 29

If you offer programme on the OQSF in the year for which the annual report is submitted, indicate the name of the programmes(s), the accreditation number(s) and the registration number in the spaces provided. The accreditation number is provided by Quality Council for Trades and Occupations (QCTO) and/or its delegated quality assurer such as the Sector Education and Training Authority (SETA), Institute of Certified Bookkeepers (ICB) and South African Board for People Practices (SABPP). The Department assigns the registration number. A copy of a certificate of registration as a private college must be submitted as Annexure D.

G. PARTICULARS OF REGISTERED HIGHER EDUCATION PROGRAMMES

Regulation 23 requires an institution to offer only such programmes on only such sites as are approved by the registrar and reflected in the registration certificate.

ITEM 30

In Table 04, list the registered higher education programmes offered by your institution and provide the details required in the spaces provided. The following explanation must be taken into account before responding to this item:

NQF FIELDS

In terms of Government Gazette No. 20234 of 25 June 1999, the South African Qualifications Authority has determined the following fields and sub-fields for purposes of registering qualifications on the National Qualifications Framework (NQF). Before completing the annual reporting forms, check the field in which the institution’s learning programme(s) fall(s).

01 Agriculture and Nature Conservation
Primary and secondary agriculture, nature conservation, forestry and wood technology, horticulture.

02 Culture and Arts
Design studies, visual and performing arts, cultural studies, music, sport, film, television and video.

03 Business, Commerce and Management Studies
Finance, economics and accounting, generic management, human resources, marketing, procurement, office and public administration, project management, public relations.

04 Communication Studies and Language
Communication and information studies, language, literature.

05 Education, Training and Development
Schooling, higher education and training, early childhood development, adult learning.

06 Manufacturing, Engineering and Technology
Engineering and related design, manufacturing and assembly, fabrication and extraction.
07 Human and Social Studies
Environmental relations, general social science, industrial and organisational governance and human resource development, people-/human-centred development, public policy, politics and democratic citizenship, religious and ethical foundations of society, rural and agrarian studies, traditions, history and legacies, urban and regional studies.

08 Law, Military Science and Security
Safety and justice in society, sovereignty of the state.

09 Health Sciences and Social services
Preventive health, promotive health and development services, curative health, rehabilitative health services.

10 Physical, Mathematical, Computer and Life Sciences
Mathematical, physical, life, information technology and computer, earth and space and environmental sciences.

11 Services
Hospitality, tourism, travel, gaming and leisure, transport, operations and logistics, personal care, wholesale and retail, consumer services.

12 Physical Planning and Construction
Physical planning, design and management, building construction, civil engineering construction, electrical infrastructure construction.

The Higher Education Qualifications Sub-Framework (HEQSF) recognises the following qualification types and is a guide to purposes of completing Form APX-03.

**NQF level 5** refers to Higher Certificates.

**NQF level 6** refers to Diplomas and Advanced Certificates.

**NQF level 7** refers to Bachelor's Degrees and Advanced Diplomas.

**NQF level 8** refers to Bachelor Honours Degrees, Post Graduate Diplomas and Bachelor's Degrees.

**NQF level 9** refers to Masters Degrees.

**NQF level 10** refers to Doctoral Degrees.

ITEM 31
If the primary language of instruction of the programmes listed under Item 30 has changed in the year for which the annual report is submitted, provide details of what programmes have been affected, reasons for the change and how it has impacted on the institution.

ITEM 32
If the primary mode of delivery of the programmes listed under Item 30 has changed in the
year for which the annual report is submitted, provide details of what programmes have been affected and reasons for the change, and explain how this change has impacted on the institution.

**Mode of delivery**

Refers to the delivery of programmes which can be contact or distance as per the criteria for accreditation set by the CHE.

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**H. STAFF AND STUDENT DATA**

**ITEM 33**

In Table 05, supply headcount staff and student totals with respect to higher education programmes offered in the year for which the annual report is issued, in the required format and according to the categories supplied. Before responding to this item, the following explanations must be taken into consideration:

**REPORTING HEADCOUNT AND FULL-TIME EQUIVALENT STUDENT ENROLMENTS**

**Headcount student enrolments**

A headcount student enrolment is literally a counting of heads. Students are counted as units, regardless of whether they are full-time, or part-time, and regardless of the number of courses they are taking. For example, students enrolled for 20%, 50% or 100% of a full-time curriculum will all be counted as units in a headcount total. The headcount totals reported in the tables must be unduplicated ones. In an unduplicated headcount enrolment total a student is counted once only. If a student is registered for more than one qualification, he/she must be counted only for the qualification considered by the institution to be his/her main qualification.

**Full-time equivalent student enrolments**

A full-time equivalent (FTE) student enrolment differs fundamentally from a headcount total. In an FTE total the only students who are counted as units are those following all the courses required for a standard full-time curriculum. Students following fewer courses have to be counted as fractions of an FTE student. For example, a part-time student who is taking a quarter of a full-time load would be counted as 0,25 of an FTE student, and one taking half of a full-time load would be counted as 0,5 of an FTE student. The FTE student total for most institutions is lower than its headcount student total. In the case of institutions that have mainly full-time students, the FTE total is normally between 80% and 90% of the headcount total. In the case of institutions that register mainly part-time students, the FTE total is normally 50% to 60% of the headcount total. An FTE student total is not calculated by assigning fractions or units to each registered student. A simpler calculation method, using the notions of curriculum, course and minimum time, is employed. This calculation is done in this way:
Step 1

The courses that appear in the curriculum for a specific qualification must be listed

(Preferably by year of study). A percentage indicating what proportion of the curriculum it constitutes must be assigned to each course. Suppose that a qualification has a curriculum consisting of six (6) courses, and suppose further that a number of alternatives appear at certain slots in the curriculum, the listing and the proportions would look like this:

<table>
<thead>
<tr>
<th>Courses in curriculum</th>
<th>Weighting of courses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course A or course B</td>
<td>20%</td>
</tr>
<tr>
<td>Course C</td>
<td>15%</td>
</tr>
<tr>
<td>Course D or course E or course F</td>
<td>10%</td>
</tr>
<tr>
<td>Course G</td>
<td>25%</td>
</tr>
<tr>
<td>Course H or course I</td>
<td>8%</td>
</tr>
<tr>
<td>Course J or course K or course L</td>
<td>22%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100%</td>
</tr>
</tbody>
</table>

Note
a) These tables are set up as examples of how Annual Report Forms will be completed when information is sent in electronically.
b) These tables are linked in the sense that they contain formulae that are related to one another. For example: The weighting of courses selected in Table 1 is linked to the calculation of the credit values in Table 2.
c) These tables are not set up as blueprints, but can be used as such in order to generate the required information for all the programmes or qualifications and courses. They are, therefore, used as examples to show how the use of formulae can simplify the task of completing these forms.

Step 2

Credit values must be calculated for each of the courses for a qualification. These calculations use the minimum time for a qualification and the weightings assigned to each course in a table such as the one above. Suppose that certificate X of the example above has a minimum time total of 1,5 years. The credit values for X would then be as follows:

<table>
<thead>
<tr>
<th>Courses in certificate X</th>
<th>Weighting x minimum time</th>
<th>Credit Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course A or course B</td>
<td>20% x 1,5 =</td>
<td>0,30</td>
</tr>
<tr>
<td>Course C</td>
<td>15% x 1,5 =</td>
<td>0,22</td>
</tr>
<tr>
<td>Course D or course E or course F</td>
<td>10% x 1,5 =</td>
<td></td>
</tr>
<tr>
<td>Course G</td>
<td>25% x 1,5 =</td>
<td>0,37</td>
</tr>
<tr>
<td>Course H or course I</td>
<td>8% x 1,5 =</td>
<td>0,12</td>
</tr>
<tr>
<td>Course J or course K or course L</td>
<td>22% x 1,5 =</td>
<td>0,34</td>
</tr>
<tr>
<td>TOTAL</td>
<td>100% x 1,5 =</td>
<td>1,50</td>
</tr>
</tbody>
</table>
Step 3

The student enrolments for each course have to be determined as on a specific census day. This census day should normally be close to the midpoint of the normal time span of the course. The FTE student total for the course will then be its enrolment on the census day multiplied by its credit value. The calculations made of the FTE enrolment total for certificate X would normally run along the following lines (the enrolments shown are examples only):

Table 3

<table>
<thead>
<tr>
<th>Courses in Curriculum</th>
<th>Census day enrolments</th>
<th>Credit value of the course</th>
<th>FTE student Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course A</td>
<td>30</td>
<td>0,30</td>
<td>9</td>
</tr>
<tr>
<td>Course B</td>
<td>150</td>
<td>0,30</td>
<td>45</td>
</tr>
<tr>
<td>Course C</td>
<td>50</td>
<td>0,22</td>
<td>11</td>
</tr>
<tr>
<td>Course D</td>
<td>60</td>
<td>0,15</td>
<td>9</td>
</tr>
<tr>
<td>Course E</td>
<td>75</td>
<td>0,15</td>
<td>11,25</td>
</tr>
<tr>
<td>Course F</td>
<td>120</td>
<td>0,15</td>
<td>18</td>
</tr>
<tr>
<td>Course G</td>
<td>40</td>
<td>0,37</td>
<td>14,8</td>
</tr>
<tr>
<td>Course H</td>
<td>25</td>
<td>0,12</td>
<td>3</td>
</tr>
<tr>
<td>Course I</td>
<td>31</td>
<td>0,12</td>
<td>3,72</td>
</tr>
<tr>
<td>Course J</td>
<td>20</td>
<td>0,34</td>
<td>6,8</td>
</tr>
<tr>
<td>Course K</td>
<td>22</td>
<td>0,34</td>
<td>7,48</td>
</tr>
<tr>
<td>Course L</td>
<td>44</td>
<td>0,34</td>
<td>14,96</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td></td>
<td></td>
<td><strong>154,01</strong></td>
</tr>
</tbody>
</table>

Calculating success rates

Success rates for a qualification are calculated by dividing the total number of full-time equivalent (FTE) students passing the courses for a qualification by the FTE total of students enrolled for the courses for that qualification. As a first step, a calculation of this kind has to be made (again using the example of certificate X):

Table 4

<table>
<thead>
<tr>
<th>Courses in Curriculum</th>
<th>Students passing course</th>
<th>Credit value of the course</th>
<th>FTE successful student total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course A</td>
<td>18</td>
<td>0,30</td>
<td>5,4</td>
</tr>
<tr>
<td>Course B</td>
<td>105</td>
<td>0,30</td>
<td>31,5</td>
</tr>
<tr>
<td>Course C</td>
<td>40</td>
<td>0,22</td>
<td>8,8</td>
</tr>
<tr>
<td>Course D</td>
<td>45</td>
<td>0,15</td>
<td>6,75</td>
</tr>
<tr>
<td>Course E</td>
<td>30</td>
<td>0,15</td>
<td>4,5</td>
</tr>
<tr>
<td>Course F</td>
<td>90</td>
<td>0,15</td>
<td>13,5</td>
</tr>
<tr>
<td>Course G</td>
<td>35</td>
<td>0,37</td>
<td>12,95</td>
</tr>
<tr>
<td>Course H</td>
<td>15</td>
<td>0,12</td>
<td>1,8</td>
</tr>
<tr>
<td>Course I</td>
<td>23</td>
<td>0,12</td>
<td>2,76</td>
</tr>
<tr>
<td>Course J</td>
<td>15</td>
<td>0,34</td>
<td>5,1</td>
</tr>
</tbody>
</table>
The weighted average success rate for certificate X would be the FTE successful student total divided by the **FTE enrolled student total** = 108.7/154.01 = **70%**.

**REPORTING HEADCOUNT AND FULL-TIME EQUIVALENT STAFF TOTALS**

Institutions must report all staff who are engaged in the delivery of educational and support activities and who are paid directly through the institution’s payroll.

**Headcount total of staff**

A headcount total of staff is literally a counting of heads. Both full-time and part-time staff members are counted as units for this purpose.

**Full-time equivalent staff total**

A full-time equivalent (FTE) staff member is defined as someone who is employed in a full-time post for a 12-month period. Anyone who does not fit this criterion is counted as a fraction of an FTE staff member. Some examples follow:

a) A full-time staff member employed by the institution for six months of the academic year would be 1 × 6/12 = 0.5 of an FTE staff member; and
b) A full-time staff member employed for 10 months of the academic year would be 1 × 10/12 = 0.83 of an FTE staff member.

In respect of part-time staff, institutions may have to make calculations differently from the examples above. This would normally apply to part-time lecturing staff who would be contracted to offer a certain number of teaching hours during the academic year. The following method is to be used to convert these part-time lecturers to an FTE total:

Suppose that an institution’s 100 part-time academic staff members are contracted to offer a total of 6 000 teaching hours during a specific year. Suppose, also, that the institution’s norm for a full-time staff member for a full year is 350 hours. The part-time academic staff members could be converted to an FTE total by dividing their contracted total of hours by the norm for a full-time academic staff member. The result would be that these 100 part-time staff members would be converted to 17.14 FTE staff members.

Some other examples follow:

a) A part-time member holding a post equivalent to 50% of a full-time post for eight months of the academic year would be 0.5 × 8/12 = 0.33 of an FTE staff member.

b) A part-time staff member holding a post equivalent to 33% of a full-time post for nine months of the academic year would be 0.33 × 9/12 = 0.24 of an FTE staff member.
STAFF CATEGORIES

Staff must be reported in the following categories:

**Instruction/Research staff**

These are the academic members of the institution’s staff. Any member of staff who spends 50% or more of his/her official time on duty at the institution is to be classified as an instruction or research staff member. This ‘official time on duty’ is to be determined by the contractual relationship that the institution has with the staff member.

**Support staff**

These are the members of staff who, either directly or indirectly, support the institution’s instruction activities. To be placed in this category are members of staff who perform functions such as academic support services and student support services, and such institutional support services as human resource management, financial management and administration.

**Service staff**

These are members of staff who perform auxiliary services, such as the operation and maintenance of plant, e.g., building maintenance, garden services, custodial services and security services.

**ITEM 34**

In **Table 06**, if applicable, provide the required details of higher education programmes offered on behalf of, and certified by, other institutions. "Other institutions", in this instance, refers to institutions for which you also operate as a tuition centre.

**ITEM 35**

Supply student data for each registered higher education programme in the required format and according to the categories supplied in **Table 07**. Refer to Item 32 above for an explanation of modes of delivery as well as the information that appears on the accreditation report/s. The student data must be audited by an auditor registered with IRBA. A copy of auditor’s report must be attached as **Annexure E**.

**ITEM 36**

Supply headcount race and gender enrolment data for each higher education programme, in the required format and according to the categories supplied in **Table 08**.

**ITEM 37**

In **Table 9**, supply headcount gender enrolment data for students who are not citizens of South Africa and are from the countries as listed in the table. This applies only to foreign students who are physically residing in South Africa. Students enrolled for attendance at sites of delivery located outside the borders of South Africa must be excluded.

Use the keys below in completing **Table 9**.
ITEM 38

In Table 10, supply headcount gender enrolment data for students who are not citizens of South Africa and are from the countries not listed in the Table 9. This applies only to foreign students who are physically residing in South Africa. Students enrolled for attendance at sites of delivery located outside the borders of South Africa must be excluded. Write the country of origin in full in each case.

ITEM 39

In Table 11, supply information on student success rates in accordance with supplied categories. The information required for this table must be supplied per year level. For example, if a four-year professional qualification such a Bachelor’s Degree in Technology is offered, the institution must indicate the success rate in this programme for the first, second, third and fourth years individually. A copy of the relevant graduation booklets must be attached as Annexure F.

ITEM 40

In Table 12, if applicable, supply data of students and staff in the required format and according to the categories supplied.

I. AUDIT OF PROGRAMMES

ITEM 41

An audited list of all programmes offered by the institution including, full qualifications that belong to GENFETQSF, higher education programmes, short courses and other programmes. This list must be audited by an auditor registered with the IRBA. The auditor’s report must then be submitted to the South African Qualifications Authority (SAQA) for written confirmation as to which qualifications sub-framework the “programmes” or “qualifications” cited in the auditor’s report belong to. The auditor’s report must be submitted as Annexure G and the SAQA report must be submitted as Annexure H.
J. CHANGES IN INTER-INSTITUTIONAL AGREEMENTS

Regulation 27(1)(iii) requires that a signed, certified copy of any agreement relating to the provision of academic or administrative services or the sharing of staff or facilities between the institution and another institution be submitted to the registrar.

ITEM 42

Indicate the type of change(s) that have occurred in agreements with other institutions in respect of termination, new agreements and/or amendments.

ITEM 43

ANNEXURE I1: Termination of agreement with other institutions

If the institution has terminated any agreement(s) with other institution(s), provide certified copies of the termination of agreement indicating the programmes involved, the date and conditions of termination. Reasons for the termination must be provided.

ITEM 44

ANNEXURE I2: Entering into a new agreement

If the institution has entered into new agreements with other institutions, provide signed, certified copies of the agreement indicating the programmes involved, the date of signing of the agreement and the conditions of the agreement.

ITEM 45

ANNEXURE I3: Amendments to existing agreements

If parts of existing agreements have been amended, provide signed, certified copies of the agreement, clearly indicating the programmes involved, the date of amendment and the actual amendments.

K. CONTINUED FULFILMENT OF THE REQUIREMENTS FOR REGISTRATION

In accordance with sections 51 and 53 of the Act and Chapter 3 of the Regulations, an institution must continue to fulfil the following requirements in order to ensure their continued registration:

a) Registration as a company in terms of the Companies Act, 2008 (Act No.71 of 2008);
b) Non-discrimination on the basis of race;
c) Registered programmes must lead to qualifications that are registered on levels five to ten of the NQF;
d) Compliance with the requirements of the HEQC/CHE;
e) Compliance with regulations relating to the health and safety of persons on its premises;
f) Financial sustainability and maintenance of the financial surety or guarantee;
g) Foreign institutions must prove that the parent institution operates lawfully in its country of origin, the parent institution recognises qualifications awarded in its name and that awardees will not suffer disadvantage if they wish to enrol at the parent institution;

h) Compliance with the periodic evaluation by the registrar, at intervals to be determined by the registrar; and

i) Compliance with any other reasonable process arranged by the registrar for the purpose of monitoring compliance with the requirements of the Act and the conditions of registration as imposed by the registrar in terms of section 60 of the Act.

ITEM 46

ANNEXURE I: Compliance with the requirements of the HEQC

If the institution had any conditions of accreditation to comply with in the year for which the annual report is submitted, provide a brief report as to how the institution complied with such requirements.

ITEM 47

ANNEXURE K: Compliance with regulations relating to the health and safety of persons

An applicant must submit a certified copy of compliance certificate issued by a legally competent health and safety professional or organisation accredited in terms of the Occupational Health and Safety Act, (Act No 85 of 1993). As noted in Regulation 11 (2), the compliance certificate must confirm that the premises identified in the application for registration complies with all the relevant health and safety regulations and is safe for the use of all persons should the applicant be granted registration. The certificate must therefore confirm that the premises are safe with respect to the following pieces of legislation:

a) Occupational Health and Safety Act;

b) General Administration Regulations;

c) General Safety Regulations;

d) Electrical Installation Regulations;

e) General Machinery Regulations (if applicable);

f) Environmental Regulations for Work Places;

g) Lift, Escalator and Passenger Conveyor Regulations;

h) Electrical Machinery Regulations (if applicable); and

i) Facilities Regulations.

ITEM 48

ANNEXURE L: Evidence of non-discrimination on the basis of race

Provide evidence as to how the institution has continued to fulfil the requirement on non-discrimination on the basis of race in the year for which the annual report is submitted.
ITEM 49

ANNEXURE M: Proof of maintenance of financial surety or guarantee

In terms of Regulation 12(1)(c), an institution is required to maintain its surety or guarantee in the year for which the annual report is submitted. For this purpose a confirmation is required from the financial institution that is registered in terms of the Banks Act, 1990 (Act No. 94 of 1990) and falls under the supervision of the South African Reserve Bank, or an institution that is registered in terms of the Short-Term Insurance Act, 1998 (Act No. 53 of 1998) and falls under the supervision of the Financial Services Board. The financial surety or guarantee must be submitted in the following format as set out in Regulation (12)(2):

a) The official letterhead of the bank or insurance company ("the Surety");
b) The official name of the applicant ("identity of the Principal Debtor");
c) The students as beneficiaries ("identity of Creditor");
d) The main responsibility of the Principal Debtor to the Creditor ("the Principal Obligation");
e) The amount of money covering the reimbursement of students based on projected income from student fees;
f) The terms and conditions of the agreement;
g) A signature of a representative of the applicant;
b) A signature of a representative of the bank or insurance company;
i) The signatures of at least two witnesses; and
j) The copy of the financial surety or guarantee must be signed, certified and dated.

ITEM 50

ANNEXURE N: Audited annual financial statements

For purposes of the annual reports of private higher education institutions, only audited annual financial statements of the registered entity will be accepted. Group financial statements are not acceptable for this purpose. To this effect, the institution’s directors shall prepare and submit the original audited annual financial statements, or signed and certified copies thereof, for the year for which the annual report is submitted. The preparation and presentation of the financial statements must comply with the requirements of the Companies Act, 2008 (Act No. 71 of 2008)(hereafter referred to as “the Companies Act”) and the International Financial Reporting Standards (IFRS). The audited financial statements must include the following:

a) Auditor’s report;
b) Director’s report;
c) Balance sheet;
d) Income statement;
e) Cash flow statement;
f) Statement of changes in equity;
g) Summary of accounting policies; and
h) Notes to the financial statements

The annual financial statements of an institution must, in conformity with generally accepted accounting practice, fairly present its financial position, its changes in equity and the results of its operations and cash flows. The audited financial statements must be accompanied by an auditor’s report and a director’s report, which must comply with the
requirements explained in the section below.

a) The auditor's report

In terms of the Act, a registered independent auditor must issue the auditor’s report. In terms of form and content, the auditor’s report must conform to the statements of SAAS, issued by SAICA. The auditor’s report must be issued on the auditor’s official letterhead. In the report, the auditor must express his/her opinion on the appropriateness of the management’s use of the going concern assumption in their preparation of the institution’s financial statements. In accordance with Section 56(1)(b) of the Act, the auditor’s report must be available for public scrutiny. Furthermore, the auditor must indicate whether he/she concurs with the directors’

Financial Viability Statement, referred to below.

b) Directors’ report

Any matter not dealt with in the balance sheet, statement of changes in equity, income statement, cash flow statement or notes thereto, including any post-balance-sheet event, which is material to the appreciation of the financial position of the institution, its changes in equity and the results of its operations and cash flows, must be dealt with in the directors’ report.

In terms of format and content, the director’s report must comply with section (30)(3)(b) of the Companies Act. It must, therefore, include, but not be limited to, the following aspects:

a) Directors and secretary;
b) Principal activities/Nature of business;
c) Director’s responsibilities;
d) Going concern assessment;
e) Operating results;
f) Dividends;
g) Review of operations;
   • Revenue;
   • Profit before tax;
   • Extraordinary items;
b) Share capital;
i) Post-balance-sheet events; and
j) Financial viability statement.

The following verbatim statement must constitute the Financial Viability Statement referred to in the list above: “I hereby confirm that I have no reason to believe that (name of the institution) is not financially capable of meeting its obligations to its students as contemplated in section 53(1)(a) of the Higher Education Act, 1997 (Act No. 101 of 1997).”

The Chief Executive Officer, or an official of similar standing, must sign the directors’ report.
L. DISCHARGING THE RESPONSIBILITIES OF AN INSTITUTION

ITEM 51

ANNEXURE O: Record of academic achievement

Regulation 25 requires an institution to keep a comprehensive record of the academic achievement of each student enrolled in a registered programme. Furnish an auditor’s report issued by an auditor registered with the IRBA on how your institution has discharged its responsibilities with respect to:

a) Physical and electronic storage of data with respect to all enrolled students;
b) Accessibility of data (process); and
c) Security on data storage and retrieval.

ITEM 52

ANNEXURE P: Issuance of transcripts of academic records

Regulation 25 (2) requires an institution to make available to an enrolled student or a past student, on request, a transcript of his or her academic record that shows:

a) Full name;
b) Identity number or passport number and nationality if not a South African;
c) Student number;
d) Courses taken by code number and name for each year in chronological order;
e) Mark or grade for each course, with an explanatory note on the marking or grading system; and
f) Qualification awarded.

A sample copy of a transcript of a student’s academic record, issued in the year for which the annual report is submitted, must be provided as evidence that the above responsibility is being discharged.

ITEM 53

ANNEXURE Q: Issuance of certificates

Regulation 25(3) requires an institution to make available to an enrolled student or past student on request a copy of a certificate awarded. A sample copy of a certificate awarded for each of the registered higher education programmes in the year for which the annual report is submitted, must be provided.

ITEM 54

ANNEXURE R: The National Learner’s Records Database (NLRD)

Regulation 25(4) requires an institution to submit to SAQA such information from its academic records as SAQA requires for the National Learner’s Records Database. Provide evidence as to whether the required information was submitted to SAQA for the academic year for which the annual report is issued. A copy of the auditor’s report must be included.
ITEM 55

ANNEXURE S: Sample copy of an enrolment and application form

A copy of an original version of the institution’s application and enrolment form for the year for which the annual report is issued must be submitted including a copy of the following declaration to be signed by students:

“I, ___________________ (STUDENTNAME), ________________ (STUDENT NUMBER), am fully aware that the programme I have enrolled on, that is, the Bachelor of Arts (FULL TITLE OF PROGRAMME/QUALIFICATION) with SAQA ID: ___________________ (SAQA/QUALIFICATION ID), is registered with the Department of Higher Education and Training to ___________________ (NAME OF INSTITUTION), as indicated on the registration certificate dated ______________ (DATE ON CERTIFICATE). The declaration must be signed by both parties and dated.

A sample copy of the declaration signed by students must be attached. Copies signed by students will be requested from the institution if and when the need arises.

ITEM 56

ANNEXURE T: Institutional prospectus, calendar or brochure

Regulation 24 requires an institution to publish, at least once a year, a calendar, prospectus or brochure for the information of students and the public. The institution’s student prospectus, yearbook and brochure must be submitted for the year for which the annual report is issued. These must be in published format and must feature the year of publication. Loose pages are not acceptable for this purpose.

ITEM 57

ANNEXURE U: Official documents, marketing and advertising material

Regulation 26(1) stipulates that: “(1) With respect to all its official documents, advertising and marketing material, an institution must- (a) comply with regulation 22(a); (b) ensure that all information about its approved programmes and accreditation status is accurate; and (c) make no false or fraudulent or misleading statements.”. The annual report must include the institution's official documents and marketing and advertising material, for the academic year for which the annual report is issued. These must bear the corporate identity/logo of the institution. Any other advertising material that the institution has provided to the public, such as newspaper/magazine articles, videos, audiocassettes, material prepared for television or a summary of workshops held at schools, must also be included.

An original version of the official letterhead used by the institution in the year for which the annual report is submitted must also be attached. Please note that Regulation 26(2), states that an institution may not display on its letterhead, official documents, marketing or advertising material-

(a) the national coat of arms of the Republic of South Africa;
(b) the logo of the Department of Higher Education and Training; and
ITEM 58

ANNEXURE V: Register of students’ complaints and grievances

Regulation 26(A)(3) stipulates that all institutions are to keep accurate records of all complaints lodged which can be produced upon request by the Department. A copy of the register of students’ complaints and grievances for the year of the submission of the annual report must be submitted as Annexure V.

ITEM 59

ANNEXURE W: Evidence in respect of the continued fulfilment of the conditions of registration

Section 60(1) of the Act allows the registrar to impose any reasonable condition on a private higher education institution. The conditions of registration of the institution are outlined in the letter of registration. Provide a brief summary in respect of the institution’s continued fulfilment of its conditions of registration in the year for which the annual report is submitted. Where applicable, documentary evidence must be provided.

M. OTHER

ITEM 60

ANNEXURE X: Risk analysis and management strategy

Provide an account of how the institution is maintaining its risk analysis and management strategy for the year for which the annual report is submitted.

ITEM 61

ANNEXURE Y: Tax Clearance Certificate

A copy of the tax clearance certificate as issued by South African Revenue Service (SARS) for the year of reporting must be submitted as Annexure Y.

ITEM 62

ANNEXURE Z: Premises not listed on the registration certificate

A list of every premise, not listed on the institution’s certificate of registration, including tuition centres, tutorial support centres, student support centres and satellite campuses on which teaching and learning is provided must be submitted. The list must indicate the physical address of the premise and the programmes offered on the premise.
CHECKLIST

Please make sure that you have submitted Form APX-03 and attached all documents listed below. Fill in this form and submit it with your annual report.

<table>
<thead>
<tr>
<th>REQUIRED INFORMATION</th>
<th>SUBMITTED YES / NO</th>
<th>INSTITUTION’S COMMENTS</th>
<th>FOR OFFICE USE ONLY</th>
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<tr>
<td>Form APX-03:</td>
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<td>Annual Report Form</td>
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<td>Annexure A:</td>
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<td>Articles of Association as issued by the Companies and Intellectual Property Commission (CIPC)</td>
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<td>The disclosure certificate as issued by the CIPC for Directors who have resigned</td>
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<td>Annexure B2:</td>
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<td>The disclosure certificate as issued by the CIPC for Directors who have been appointed</td>
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<td>Annexure C:</td>
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<td>The letter from the Chairperson of the Board</td>
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<td>Registration certificate as a Private College issued by the Department.</td>
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<td>Auditor’s report on student data</td>
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<td>Graduation Booklets</td>
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<td>Auditor’s report on programmes</td>
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<td>SAQA report on programmes</td>
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<td>Termination of agreement with other institutions</td>
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<td>Entering into a new agreement</td>
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<td>Amendments to existing agreements</td>
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<td>Compliance with the requirements of the HEQC</td>
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<td>Compliance with the regulations relating to the health and safety of persons</td>
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<td>REQUIRED INFORMATION</td>
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<td>Evidence on non-discrimination on the basis of race</td>
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<td>Proof of maintenance of financial surety or guarantee</td>
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<td>Audited annual financial statements</td>
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<td>The National Learner’s Records Database (NLRD)</td>
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<td>Sample copy of an enrolment and application form</td>
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<td>Institutional prospectus, calendar and brochure</td>
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<td>Register of students’ complains and grievances</td>
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<td>Evidence in respect of the continued fulfilment of the conditions of registration</td>
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