

*i) Correspondence learning*

Correspondence learning takes place when there is no or little face-to-face contact between the educator and the learner. The learner works independently with no support services and the learning material is usually delivered by post or electronically.

*i) Open learning*

Open learning is a form of distance education, and combines face-to-face and other support services such as print materials and telematics.

ITEM 8

In Table 02 the details of the anticipated effects of the increase in the number of registered programmes on staff and student headcount totals must be indicated. Before responding to this item, the following explanation should be taken into account:

a) Headcount student enrolment

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 for which they are enrolled. 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.

b) Headcount staff totals

A headcount total of staff is literally a counting of heads. Every institution should indicate how many of its staff are **full-time** and how many are **part-time**.

c) Academic/Research staff

These are the academic members of the institution's staff involved in teaching and research.

d) Support staff

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

e) Service staff

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

E2. Discontinuation of a programme

ITEM 9

In Table 03, the following details of the programme that is to be discontinued must be supplied:

- a) NQF field.
- b) NQF level.
- c) Name of the programme.
- d) Proposed date on which the discontinuation is due to take effect.

ITEM 10

In Table 04 the proposed changes in staff and student data in relation to the reduction in the number of programmes must be supplied according to the categories indicated. The information to be supplied must respond to each of the following questions in respect of students, as well as each category of staff:

What is the current total?

What is the difference between the current and the new total?

What will be the new total if and when the proposed amendment takes effect?

E3. Programme name change

ITEM 11

In Table 05, the details of the programme that is to undergo a name change must be supplied.

---

F. AMENDMENT TO SITES

F1. Addition of a site

ITEM 12

In Table 06, details of a site to be added must be supplied. "Site" refers to any learning site, such as a campus, satellite campus or learning centre, controlled and administered by the institution. All learning sites where registered higher education programmes are to be delivered must be accredited. Only accredited programmes and sites for which the institution assumes legal and financial responsibility will be registered.

**ITEM 13**

In Table 07, the proposed changes in staff and student data in relation to the proposed increase in the number of sites must be supplied according to the categories indicated. The information to be supplied must answer each of the following questions in respect of students as well as in respect of each category of staff:

What is the current total?

What is the difference between the current and the new total?

What will be the new total if and when the proposed amendment takes effect?

**F2. Discontinuation of a site****ITEM 14**

In Table 08, details of sites to be discontinued must be supplied. The information to be supplied must answer each of the following questions in respect of students as well as in respect of each category of staff:

What is the current total?

What is the difference between the current and the new total?

What will be the new total if and when the proposed amendment takes effect?

**ITEM 15**

In Table 09, proposed changes in staff and student data in relation to the proposed decrease in the number of sites must be supplied according to the categories indicated. The information to be supplied must answer each of the following questions in respect of students as well as in respect of each category of staff:

What is the current total?

What is the difference between the current and the new total?

What will be the new total if and when the proposed amendment takes effect?

---

**G. FOREIGN INSTITUTIONS: INCREASE IN STUDENT ENROLMENT****ITEM 16**

The proposed student enrolment total must be filled in.

**ITEM 17**

In Table 10, the proposed changes in student headcount enrolment per programmes must be supplied. The information to be supplied must answer each of the following questions per programme:

What is the programme's NQF field?  
 What is the programme's NQF level?  
 What is the name of the programme?  
 What is the current student enrolment?  
 What is the difference between the current and the new enrolment?  
 What will be the new student enrolment if and when the proposed amendment takes effect?

#### ITEM 18

In Table 11 the proposed changes in staff and student data in relation to the proposed increase in the number of students must be supplied according to the categories indicated. The information to be supplied must answer each of the following questions in respect of students as well as in respect of each category of staff:

What is the current total?  
 What is the difference between the current and the new total?  
 What will be the new total if and when the proposed amendment takes effect?

### H. ANNEXURES

#### ANNEXURE A: Proof of change of legal name

An institution wishing to change its name must lodge an application for amendment. Certified copies of proof of change of name, as issued by CIPRO of the Department of Trade and Industry, must be attached.

#### ANNEXURE B: Proof of change of type or form of company

An institution wishing to amend its type or form of company must lodge an application for amendment. Certified copies of official proof of change of type or form of company, as issued by CIPRO of the Department of Trade and Industry, must be attached to the application.

#### ANNEXURE C: Programme feasibility report

An institution wishing to apply for the registration of an additional programme must submit an application for amendment and a programme feasibility report. In terms of format and content, the report must address the following:

1. *Rationale and proposed date of implementation*
2. *Description of the target market*
3. *Current and long-term demand for the proposed programme offerings*
4. *Degree of concentration of similar programme offerings at other providers*
5. *Fees to be charged*
6. *Affordability of the programme in the target market*
7. *How the institution has prepared itself structurally and functionally for this expansion*

This report must be dated and signed by the Chief Executive Officer or an official of similar standing in the institution.

**ANNEXURE D: Declaration on application for accreditation**

An institution wishing to apply for the registration of an additional programme must submit the following verbatim declaration on its official letterhead and the declaration must be dated and signed by the Chief Executive Officer of the institution or an official of similar standing in the organisation:

I hereby declare that .....[legal name of the institution] has applied to the Higher Education Quality Committee (HEQC) for accreditation of the following additional programmes:

- a) ..
- b) ..
- c) ..

I further declare that, if registered or provisionally registered, [legal name of the institution] shall comply with the requirements of the HEQC as contemplated in section 53(1)(b)(ii) of the Higher Education Act, 1997 (Act No. 101 of 1997).

**ANNEXURE E: Report on programme discontinuation**

An institution wishing to discontinue a programme must submit an application for amendment to which a report on programme discontinuation must be attached. The report must deal with, but not be limited to, the following:

1. *Rationale and proposed date of implementation*
2. *Programmes to be affected*
3. *Anticipated impact of programme discontinuation on institution*
4. *Arrangements made for affected students and staff*
5. *Disputes (if any) arising out of these arrangements and how they are to be resolved*

This report must be dated and signed by the Chief Executive Officer or an official of similar standing in the institution.

**ANNEXURE F: Site and programme feasibility report**

An institution wishing to apply for the registration of an additional site must submit an application for amendment to which a site and programme feasibility report must be attached. In terms of format and content, the report must address the following:

1. *Rationale and proposed date of implementation*
2. *Description of the target market in the proposed location of the site*
3. *Current and long-term demand for the proposed programme offerings*
4. *Degree of concentration of similar programme offerings at other providers in the geographical area of the institution's proposed site*
5. *Affordability of the programme in the target market*
6. *How the institution has prepared itself structurally and functionally for this expansion*

This report must be dated and signed by the Chief Executive Officer or an official of similar standing in the institution.

**ANNEXURE G: Declaration on site control and administration**

The following verbatim declaration must be submitted by the institution on its official letterhead and must be dated and signed by the Chief Executive Officer of the institution or an official of similar standing in the organisation:

*I declare that the additional site(s) listed in this application is (are) administered and controlled by [legal name of the institution].*

The original version of this declaration must be submitted.

**ANNEXURE H: Occupational health and safety compliance audit report**

The occupational health and safety compliance audit report for each additional site of delivery must be submitted. The audit report must be issued by a legally competent health and safety professional or organisation.

**ANNEXURE I: Report on site discontinuation**

An institution wishing to discontinue a site must submit an application for amendment to which a report on sites to be discontinued should be attached. The report must deal with, but not be limited to, the following:

1. *Rationale and proposed date of implementation*
2. *Anticipated impact of site discontinuation on institution*
3. *Arrangements made for the affected students and staff*
4. *Disputes (if any) arising out of these arrangements and how they are to be resolved.*
5. *Proposed date of implementation*

This report must be dated and signed by the Chief Executive Officer or an official of similar standing in the institution.

**ANNEXURE J: Audited student headcount enrolment**

A registered foreign institution wishing to apply for amendment of the conditions pertaining to student enrolment must submit, together with the application, an auditor's report on student headcount enrolment for the current academic year. The auditor's report must be issued by an independent auditor registered with the PAAB in terms of the *Public Accountants and Auditors Act, 1991 (Act No. 80 of 1991)*.

**ANNEXURE K: Report on increase in student headcount enrolment**

A registered foreign institution wishing to apply for amendment of the conditions pertaining to student enrolment must submit, together with the application, a report on the intended increase in student headcount enrolment. The report must deal with, but not be limited to, the following:

1. *Rationale and proposed date of implementation*
2. *Result of the institution's market research*
3. *Current and long-term demand for the current programme offerings*
4. *How the institution has prepared itself structurally and functionally for this expansion*

## CHECKLIST

Please make sure that you have submitted *Form APX-02* and attached all the relevant documents listed below. Fill in this form and submit it with your application.

<i>REQUIRED INFORMATION</i>	<i>SUBMITTED YES/NO</i>	<i>INSTITUTION'S COMMENTS</i>	<i>FOR OFFICE USE ONLY</i>
<i>Form APX-02: Application Form</i>			
<i>Annexure A: Proof of change of legal name issued by CIPRO</i>			
<i>Annexure B: Proof of change of type or form of company</i>			
<b>ANNEXURE C:</b> <i>Programme feasibility report</i>			
<i>Annexure D: Declaration on application for accreditation</i>			
<i>Annexure E: Report on programme discontinuation</i>			
<i>Annexure F: Site and programme feasibility report</i>			
<i>Annexure G: Declaration on site control and administration</i>			
<i>Annexure H: Occupational health and safety compliance audit report</i>			
<i>Annexure I: Report on site discontinuation</i>			
<i>Annexure J: Audited student headcount enrolment</i>			
<i>Annexure K: Report on increase in student headcount enrolment</i>			





DEPARTMENT OF EDUCATION

REGULATIONS FOR THE REGISTRATION OF  
PRIVATE HIGHER EDUCATION INSTITUTIONS

APPLICATION FOR AMENDMENT

*(Form APX-02)*

Note: Applicants must consult the document: *A Guide for Completing the Application for Amendment.*

**A. ADMINISTRATIVE DATA**

1. Legal name of the institution

2. Registration number issued by the Department of Education

**B. TYPES OF AMENDMENT**

3. By means of an (X), indicate the amendment(s) for which you wish to apply:

3.1 Legal name of the institution

3.2 Type of company

3.3 Registered programmes

3.4 Sites of delivery

3.5 Student enrolment (foreign institutions)

**C. AMENDMENT TO THE LEGAL NAME**

4. What is the proposed new legal name of the institution?

5. What is the proposed new trading name, abbreviation or acronym or the proposed translation of the new name of the institution?

**D. AMENDMENT TO THE TYPE OF JURISTIC PERSON**

6. What is the proposed new type of company?



8. In the light of your answer to 7 above, the anticipated effects of the increase in registered programmes on staff and student totals must be indicated in Table 02 below.

**Table 02: Proposed changes in staff and student totals**

	Current totals	Increase	New totals
Students			
Academic staff			
Full-time			
Part-time			
Support staff			
Service staff			



10. The changes in staff and student totals in relation to the reduction of registered programmes must be supplied in Table 04 below.

**Table 04: Proposed changes in staff and student statistics**

	Current totals	New totals	Decrease in headcount (Difference)
Students			
Academic staff			
Full-time			
Part-time			
Support staff			
Service staff			

**E3. Programme name change**

11. The details of each programme that is to undergo a name change must be supplied in Table 05 below.

**Table 05: Details of programmes that are to undergo name change**

NQF field	NQF level	Name of the programme	Proposed name	Date of commencement





13. In Table 07 below, please indicate the changes in staff and student data in relation to the proposed increase in the number of sites.

Table 07: Proposed changes in staff and student data

	Current totals	Increase in headcount	New totals
Students			
Academic staff			
Full-time			
Part-time			
Support staff			
Service staff			



15. If you are applying for the discontinuation of sites, the changes in staff and student data in relation to the proposed discontinuation of sites must be indicated.

**Table 09: Proposed changes in staff and student data**

	Current totals	Decrease in headcount	New totals
Students			
Academic staff			
Full-time			
Part-time			
Support staff			
Service staff			

**G. FOREIGN INSTITUTIONS: AMENDMENT TO STUDENT HEADCOUNT ENROLMENT**

16. By how many students do you propose to increase the current limit?

17. In Table 10 the proposed increase in student headcount enrolment per programme must be indicated.

**Table10: Proposed increase in student headcount enrolment per programme**

NQF field	NQF level	Name of the programme	Current totals	Increase in headcount	New totals

18. In Table 11, indicate how the staff totals are to increase in relation to the proposed increase in student headcount enrolment.

**Table 11: Proposed changes in staff and student data**

	Current totals	Increase in headcount	Projected totals
Students			
Academic staff			
Full-time			
Part-time			
Support staff			
Service staff			

## H. ANNEXURES

ANNEXURE A: Proof of change of legal name, as issued by CIPRO.

ANNEXURE B: Proof of change of type or form of the company, as issued by CIPRO.

ANNEXURE C: Programme feasibility report.

ANNEXURE D: Declaration on application for accreditation.

ANNEXURE E: Report on programme discontinuation.

ANNEXURE F: Site and programme feasibility report.

ANNEXURE G: Declaration on site control and administration.

ANNEXURE H: Occupational health and safety compliance audit reports.

ANNEXURE I: Report on site discontinuation.

ANNEXURE J: Audited annual student headcount enrolment for the current academic year.

ANNEXURE K: Report on increase in student headcount enrolment.



DEPARTMENT OF EDUCATION

REGULATIONS FOR THE REGISTRATION OF  
PRIVATE HIGHER EDUCATION INSTITUTIONS

A GUIDE FOR COMPLETING THE APPLICATION  
FOR CONVERSION

*(APX-03)*



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## VISION, MISSION AND MANDATE OF THE DEPARTMENT OF EDUCATION

### VISION

Our vision is of a South Africa in which all our people have access to lifelong education and training opportunities, which will in turn contribute towards improving quality of life and building a peaceful, prosperous and democratic society.

### MISSION

To provide leadership in the construction of a South African education and training system for the 21st century.

### MANDATE

The vision for the transformation of the higher education system is articulated in *White Paper 3: A Programme for the Transformation of Higher Education (1997)*. Central to this vision is the building of a rational, seamless higher education system that grasps the intellectual and professional challenges facing South Africans in the 21st century, and meets the learning needs of individuals and the development needs of our society and economy.

The building of such a system necessitates, among other things, the promotion of quality teaching and research, not only in public universities and technikons, but also in privately established institutions of higher learning. It is primarily for this reason that the *Higher Education Act, 1997 (Act No. 101 of 1997)* (hereafter referred to as "the Act"), makes it a requirement for private institutions offering higher education to register with the Department of Education (DoE).

The registration of private higher education institutions, in accordance with the Act, applies only to institutions that offer learning programmes that result in the awarding of whole qualifications such as certificates, diplomas or degrees at levels 5 to 8 of the National Qualifications Framework (NQF). Registration, as required by the Act, means that an institution is granted the legal authority to offer accredited higher education programmes and qualifications. This requirement applies to all private institutions, be they local or foreign.

The aim of registering these institutions is to ensure that -

- a) all registered private higher education institutions offer an acceptable quality of education;
- b) current and prospective students receive higher education from institutions that have the resources, capacity and/or expertise to deliver quality programmes;
- c) the public obtains qualifications that are aligned with the NQF; and
- d) the education system continues on a path of transformation in accordance with government policy and regulation.

Registration can, therefore, be seen as a means of protecting the integrity of the higher education system and the interests of the public.

Chapter 7 of the Act deals specifically with private higher education institutions. The *Regulations for the Registration of Private Higher Education Institutions, 2002*, of which this guide and the application form are an appendix, provide the legal framework within which the Registrar is required to regulate the registration of private higher education institutions in terms of the Act.

---

**ACRONYMS USED IN THE GUIDE AND APPLICATION FORM**

CHE	Council on Higher Education
DoE	Department of Education
HEQC	Higher Education Quality Committee
NQF	National Qualifications Framework

**APPLICATION TYPES**

Regulations 3, 4 and 5 stipulate the following:

i) **Application for registration**

Any person intending to establish and maintain a private higher education institution must complete an Application for Registration as a Private Higher Education Institution (Form APX-01) and submit it to the Registrar at least 18 (eighteen) months before the institution commences its operations.

ii) **Application for amendment**

An institution wishing to amend any condition of its registration must complete an Application for Amendment (Form APX-02) and submit it to the Registrar at least 12 (twelve) months before the proposed amendment comes into effect.

iii) **Application for conversion**

An institution wishing to have its provisional registration converted to registration in terms of section 54(1)(c) of the Act must complete an Application for Conversion (Form APX-03) and submit it to the Registrar by the date determined by the Registrar.

## IMPORTANT CONSIDERATIONS FOR LODGING THE APPLICATION FOR CONVERSION

This guide and the accompanying application form must be used when an institution applies for the conversion of its provisional registration, that is, registration in terms of section 54(3) of the Act, to registration in terms of section 54(1)(c).

The requirements for registration as prescribed in the Act and operationalised in Chapter 3 of the Regulations are also applicable to institutions applying for conversion. Furthermore, in determining an application for conversion, the Registrar of Private Higher Education Institutions must take into consideration the performance of the applicant in the course of its provisional registration, as contemplated in Chapter 6 of the Regulations. In determining the application for conversion, therefore, the Registrar must consider the application against the following main requirements:

### i) Financial viability

The applicant for conversion must provide proof in the application that its income is or will be sufficient to sustain its programmes in an acceptable manner and that it has or will have a stable financial position that will enable it to maintain operational continuity.

The applicant must also submit proof that it maintains the financial surety or guarantees that were established to ensure that it meets its obligations to its enrolled students.

### ii) Institutional and programme re-accreditation

In the case of an institution granted provisional registration for two years or longer, the application for conversion must be supported by an application for institutional and programme re-accreditation by the HEQC, a permanent committee of the CHE established in terms of section 4 of the Act. On applying for conversion, an applicant must provide proof that an application for re-accreditation has been lodged with the HEQC.

Private institutions wishing to discuss re-accreditation should contact the HEQC directly at:

*The Executive Director: Quality Assurance  
The Higher Education Quality Committee  
Council on Higher Education  
P O Box 13354  
THE TRAMSHEED  
0126*

*Telephone: 012 392 9120  
Facsimile: 012 392 9132*

### iii) Discharging of responsibilities of a registered institution

The application for conversion must provide proof that the applicant, in the course of its provisional registration, has fulfilled the responsibilities of a registered institution as contemplated in Chapter 6 of the Regulations, and that it has complied with its conditions of registration.

It is important to bear in mind that this document is only a guide. Additional information may be required to support the application.

### IMPORTANT REQUIREMENTS FOR COMPLETING THE APPLICATION FORM

This guide accompanies an application for conversion form (*Form APX-03*). The guide is linked to the various sections of the application form. Applicants are, therefore, strongly urged to read the guide carefully before commencing with the completion of the application for conversion form. Applicants are also strongly advised to read the guide in conjunction with the Act and the Regulations.

When completing the application for conversion form, the following must be borne in mind:

a) The application for conversion is divided as follows:

#### PART I: COMPLIANCE WITH THE REQUIREMENTS AND CONDITIONS OF REGISTRATION

Section A: Institutional name and registration number (Items 1 and 2)

Section B: Quality assurance (Items 3-5)

Section C: Financial management (Items 6 and 7)

Section D: Maintenance of student records (Item 8)

Section E: Other conditions of registration (Item 9)

#### PART II: APPLICATION FOR RE-ACCREDITATION

Section F: Details of programmes for re-accreditation (Item 10)

Section G: Details of sites of delivery (Item 11)

#### PART III: ASSESSMENT OF INSTITUTIONAL MANAGEMENT

Section H: Vision, mission and organisational goals (Item 12)

Section I: Organisational structure (Item 13)

Section J: Infrastructure and facilities (Items 14-16)

Section K: Ability to attract students (Item 17)

Section L: Risk Management (Item 18)

Section M: Implementation of student policies (Item 19)

Section N: Implementation of the Employment Equity Act (Item 20)

Section O: Implementation of the Occupational Health and Safety Act (Item 21)

#### PART IV: ANNEXURES

Section P(1): Annexures to be submitted by all institutions applying for conversion (Items 22-24)

Section P(2): Annexures to be submitted by institutions granted provisional registration for two years or longer (Item 25)

Section P(3): Annexures to be submitted by foreign institutions only (Items 26-28)

- b) Part I of the application for conversion form is applicable to all institutions applying for conversion.
- c) Parts II and III must be completed only by institutions that have been granted provisional registration for two years or longer.



- d) An application for conversion submitted by an institution that has been granted provisional registration for two years or longer must be accompanied by -
- i) an annual report, submitted in terms of section 57(2) of the Act and regulation 29(1); and
  - ii) an application to the HEQC for institutional and programme re-accreditation.
- e) Part IV requires institutions applying for conversion to submit annexures. P(1) applies to all institutions and P(2) to institutions that have been granted provisional registration for two years or longer, while the annexures listed in P(3) must be submitted by foreign institutions only.
- f) All sections of the form that apply to an institution must be completed fully and in the required format. The Registrar of Private Higher Education Institutions will not process an incomplete application or an application that does not address the questions as required.
- g) All application documents must carry the date of application to the Department of Education.
- h) The application documents can be accessed electronically in *Microsoft Word for Windows* on the DoE website at: [http://education.gov.za/DoE\\_Sites/Higher\\_Education/Registrar/](http://education.gov.za/DoE_Sites/Higher_Education/Registrar/). However, all applications must be submitted as hard copies.
- i) The application fee must be paid by means of a cheque made out to the Department of Education.
- j) Important supporting documentation in the form of listed annexures must be provided as part of the application.

An application checklist is provided at the end of this document to help applicants determine whether all the required information is included.

**PART I: COMPLIANCE WITH THE REQUIREMENTS AND CONDITIONS OF PROVISIONAL REGISTRATION**

All institutions applying for conversion of provisional registration must complete this part of the application form.

**A. NAME AND REGISTRATION NUMBER****ITEM 1**

Supply the name of the institution applying for conversion. This name must be the same name in which the institution was granted provisional registration as a private higher education institution in terms of the Act.

**ITEM 2**

Fill in the registration number that appears on your certificate of registration as a provisionally registered private higher education institution, as issued to your institution by the Department of Education.

**B. QUALITY ASSURANCE****ITEM 3**

The institution must indicate and, where applicable, provide proof of, how, in the course of its provisional registration, it has complied with the requirements of the HEQC, including the conditions of accreditation.

**ITEM 4**

The institution must indicate and, where applicable, provide proof of, how, in the course of its provisional registration, it has complied with conditions of registration on maintaining health and safety standards on its premises, including its sites of delivery.

**ITEM 5**

The institution must indicate and, where applicable, provide proof of, how, in the course of its provisional registration, it has complied with conditions of registration on the provision of adequate facilities and equipment for its enrolled students.

**C. FINANCIAL MANAGEMENT****ITEM 6**

If an institution, on being granted provisional registration, is required to comply with particular conditions of registration relating to its finances, the institution must show how, in the course of its provisional registration, it has taken steps to comply with such conditions of registration. Where necessary, proof of such compliance must be attached.

**ITEM 7**

The institution must show and provide proof of how, in the course of its provisional registration, it has maintained the necessary financial surety or guarantees to ensure that the institution meets its financial obligations to students.

**D. MAINTENANCE OF STUDENT RECORDS****ITEM 8**

The institution must indicate and, where applicable, provide proof of, how, in the course of its provisional registration, it has complied with conditions of registration relating to maintaining records of each student's admission, academic progress and assessment of learning in respect of each registered programme.

**E. OTHER CONDITIONS OF REGISTRATION****ITEM 9**

Where an institution, on being granted provisional registration, is required to comply with any other conditions of registration, it must show how, in the course of its provisional registration, it has taken the necessary steps to comply with these other conditions of registration.

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**PART II: APPLICATION FOR AN ACCREDITATION REVIEW**

This section of the application form is applicable only to institutions that have been provisionally registered for two years or longer.

**F. DETAILS OF PROGRAMMES SUBMITTED FOR AN ACCREDITATION REVIEW****ITEM 10**

Details of all programmes submitted to the HEQC for an accreditation review must be supplied in Table 01.

**G. DETAILS OF SITES OF DELIVERY SUBMITTED FOR THE ACCREDITATION REVIEW****ITEM 11**

"Site" refers to any learning site, such as a campus, satellite campus or learning centre, controlled and administered by the provisionally registered institution. All learning sites where registered programmes are delivered must be accredited. Only accredited programmes and sites of delivery for which the institution assumes legal and financial responsibility will be considered for registration in terms of section 54(1)(c) of the Act. In the columns provided in Table 02, the following details of sites of delivery for which the institution is seeking re-accreditation must be supplied:

- a) The name and physical address of the site.
- b) Provisionally registered programmes delivered at the site.

## PART III: ASSESSMENT OF INSTITUTIONAL MANAGEMENT

The business plan submitted on application for registration provides an instrument against which the provisionally registered institution can conduct a self-assessment of important dimensions of its organisational and managerial capacities for achieving the organisation's goals. The registrar's interest in how the institution assesses its own performance against elements in its business plan concerns the impression that this will provide of how the institution is managed, from an organisational and operational point of view. The exercise will assist the registrar's assessment of the institution's potential to fulfil its responsibilities as a registered institution.

This section of the application form is applicable only to institutions that have been provisionally registered for two years or longer.

### H. VISION, MISSION AND ORGANISATIONAL GOALS

#### ITEM 12

The institution must give an indication of the extent to which, in the course of its provisional registration, it has been able to attain its vision, mission and organisational objectives.

### I. ORGANISATIONAL STRUCTURE

#### ITEM 13

Should the organisational structure of the institution be different from the planned structure submitted on application, the institution must provide the considerations that informed the current structure, particularly considerations relating to academic divisions and numbers of academic and support staff.

### J. INFRASTRUCTURE AND FACILITIES

#### ITEM 14

The institution must report the degree to which the infrastructure it proposed on application, or the structure outlined in Item 13 above, has met the needs for the provision and delivery of its provisionally registered programmes, and for the nature and level of any research that it has conducted. Reporting on this item must be as specific as possible (for example, available equipment must be named and ratios for number of students to equipment provided). The report must include an assessment of how adequate the equipment and facilities are for both the number of students enrolled and the nature and level of programme(s) offered.

#### ITEM 15

If the institution has, in the course of its provisional registration, applied for expanding its operations, by adding either new learning programmes or new sites of delivery, it must in this item give details of the expansion and report on the following:

- i) The nature of the expansion applied for.
- ii) Whether the expansion was in line with the areas of expansion contemplated in the business plan.

- iii) How such expansion has impacted on the operations and finances of the institution and how the institution's management has dealt with the impact.

#### ITEM 16

If the institution has, in the course of its provisional registration, experienced shrinkage, by discontinuing either learning programmes or sites of delivery, it must in this item give details of the shrinkage and report on the following:

- i) The nature of the shrinkage.  
ii) How such shrinkage has impacted on the operations and finances of the institution and how the institution's management has dealt with the impact.

#### K. ABILITY TO ATTRACT STUDENTS

##### ITEM 17

The institution must comment on its performance in relation to its ability to attract students in the study fields of its programme offerings in the course of its provisional registration, in the context of the market and feasibility assessment it had conducted on application for registration.

#### L. RISK MANAGEMENT

##### ITEM 18

This item requires the institution to evaluate its approach to risk management, and to comment on the implementation, in the course of its provisional registration, of the risk management strategies proposed in its business plan. A further indication of how the institution is maintaining its risk management implementation plan is required.

#### M. IMPLEMENTATION OF POLICIES CONCERNING STUDENTS

##### ITEM 19

An evaluation of the institution's performance regarding the implementation of the following student related policies in the course of provisional registration must be provided:

- i) Student admission policy;  
ii) Language policy;  
iii) Rules relating to assessment, academic credits, progression and qualification;  
iv) Fees and charges, including refund in case of cancellation and withdrawal;  
v) Student financial aid;  
vi) Student support service;  
vii) Student rules and regulations/code of conduct; and  
viii) Staff and student grievance policies and procedures.

---

**N. IMPLEMENTATION OF EMPLOYMENT EQUITY ACT****ITEM 20**

An evaluation of the institution's performance, in the course of provisional registration, on the implementation of the requirements of the Employment Equity Act must be furnished.

**O. IMPLEMENTATION OF OCCUPATIONAL HEALTH AND SAFETY ACT****ITEM 21**

An evaluation of the institution's performance regarding the implementation of the requirements of the Occupational Health and Safety Act in the course of provisional registration must be furnished, including steps taken by the institution to address shortcomings identified in previous audit reports.

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**PART IV: ANNEXURES****P(1): ANNEXURES TO BE SUBMITTED BY ALL INSTITUTIONS**

All institutions applying for conversion must submit the annexures in this section.

**ITEM 22****ANNEXURE A: Non-discrimination declaration**

The following verbatim declaration must be submitted by the institution on its official letterhead and must be dated and signed by the Chief Executive Officer of the applicant or an official of similar standing in the organisation:

*I hereby confirm that this institution does not discriminate on the basis of race. I accept that the Department of Education may, in terms of section 29(3) of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996), and section 62(1) of the Higher Education Act, 1997 (Act No. 101 of 1997), cancel this institution's conditional registration should it be proven otherwise.*

The original of this declaration must be submitted.

**ITEM 23****ANNEXURE B: Undertaking on institutional capacity**

The following verbatim undertaking must be submitted by the institution on its official letterhead and must be dated and signed by the Chief Executive Officer of the institution or an official of similar standing in the organisation:

*I hereby agree that, if registered in terms of section 54(1)(c) of the Higher Education Act, 1997 (Act No. 101 of 1997),.....[legal name of the institution] will not exceed the enrolment that the facilities and equipment can reasonably accommodate.*

*I further confirm that .....[legal name of the institution] has sufficient space, equipment and instructional material to provide education and training of sufficient standard to achieve the objectives of each programme.*

*I also agree that, if registered in terms of section 54(1)(c) of the Act,.....[legal name of the institution] will maintain full records of each student's admission, academic progress and assessment of learning in respect of each programme.*

*I declare that all the sites listed in this application are administered and controlled by.....[legal name of the institution].*

The original of this declaration must be submitted.

#### ITEM 24

##### ANNEXURE C: Declaration on monitoring and evaluation

The following verbatim undertaking must be submitted by the institution on its official letterhead and must be dated and signed by the Chief Executive Officer of the applicant or an official of similar standing in the organisation:

*I hereby declare that, if registered or provisionally registered,..... [legal name of the institution] shall comply with an evaluation of the institution at intervals to be determined by the Registrar.*

*I further declare that, if registered or provisionally registered,..... [legal name of the institution] shall comply with any other reasonable process arranged by the registrar after consultation with the institution for the purpose of monitoring compliance with the requirements of the Higher Education Act, 1997 (Act No. 101 of 1997) and the conditions of registration.*

The original of this declaration must be submitted.

#### **P(2): ANNEXURES TO BE SUBMITTED ONLY BY INSTITUTIONS WHO HAVE BEEN GRANTED PROVISIONAL REGISTRATION FOR TWO YEARS OR LONGER**

#### ITEM 25

##### ANNEXURE D: Declaration on application for an accreditation review

The following verbatim undertaking must be submitted by the institution on its official letterhead and must be dated and signed by the Chief Executive Officer of the applicant or an official of similar standing in the organisation.

*I hereby confirm that .....[legal name of the institution] has applied to the Higher Education Quality Committee (HEQC) for an accreditation review of the following programmes:*

- a) ..<sup>1</sup>
- b) ..
- c) ..

*I further agree that, if registered in terms of section 54(1)(c) of the Higher Education Act, 1997 (Act No. 101 of 1997), ..... [legal name of the institution] shall comply with the requirements of the HEQC as contemplated in section 53(1)(b)(ii) of the Act.*

The original of this declaration must be submitted.

**P(3): ANNEXURES TO BE SUBMITTED BY FOREIGN INSTITUTIONS ONLY**

**ITEM 26**

**ANNEXURE E: Equality of qualifications of foreign institutions**

Proof that the home institution will accredit the applicable local qualifications is required. The following verbatim equality of qualifications statement, on the foreign institution's official letterhead, signed by the head of the foreign institution and addressed to the Registrar, is to be provided:

*I hereby confirm that .....[legal name of the institution] will, subject only to the availability of places, allow successful students from its South African site to enrol unconditionally, without any further course work, for further years of study in the same qualification at .....[legal name of the institution] or any of its other sites.*

**ITEM 27**

**ANNEXURE F: Proof of recognition in the country of origin**

A foreign institution wishing to be registered must provide proof that in its country of origin it is recognised by official authorities as a higher education institution in terms of the statutes.

**ITEM 28**

**ANNEXURE G: Proof of accreditation in the country of origin**

A foreign institution wishing to be registered must also provide proof that in its country of origin it is accredited as a higher education institution in terms of the statutes.

<sup>1</sup> List the names of the programmes for which you applied for re-accreditation.



## CHECKLIST

Please make sure that you have submitted *Form APX-02* and attached all documents listed below. Fill in this form and submit it with your application.

<i>REQUIRED INFORMATION</i>	<i>SUBMITTED YES/NO</i>	<i>INSTITUTION'S COMMENTS</i>	<i>FOR OFFICE USE ONLY</i>
<i>Form APX-03: Application Form</i>			
<i>Annexure A: Non-discrimination declaration</i>			
<i>Annexure B: Undertaking on institutional capacity</i>			
<i>Annexure C: Declaration on monitoring and evaluation</i>			
<i>Annexure D: Declaration on application for an accreditation review</i>			
<i>Annexure E: Equality of qualifications of foreign institutions</i>			
<i>Annexure F: Proof of recognition in the country of origin</i>			
<i>Annexure G: Proof of accreditation in the country of origin</i>			



DEPARTMENT OF EDUCATION

REGULATIONS FOR THE REGISTRATION OF  
PRIVATE HIGHER EDUCATION INSTITUTIONS

APPLICATION FOR CONVERSION

*(Form APX-03)*

Note: Applicants must consult the document: *A Guide for Completing the Application for Conversion.*

## PART I

## A. NAME AND REGISTRATION NUMBER

1. Legal name of the institution

2. Registration number issued by the Department of Education

## B. QUALITY ASSURANCE

3. Describe how your institution has fulfilled the requirements of the HEQC, including the conditions of accreditation.

4. Describe how your institution has complied with the conditions of registration relating to maintaining health and safety standards on its premises.

5. Describe how your institution has complied with the conditions of registration relating to the provision and maintenance of adequate facilities and equipment for its enrolled students.

C. FINANCIAL MANAGEMENT

6. Describe how your institution has complied with the conditions of registration relating to its finances.

7. Provide details of how your institution has maintained its financial surety or guarantee.

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D. MAINTENANCE OF STUDENT RECORDS

8. Describe how your institution has complied with the conditions of registration relating to the maintenance of student records.

E. OTHER CONDITIONS OF REGISTRATION

9. Describe how your institution has complied with any other condition(s) of registration.

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## PART II

## F. DETAILS OF PROGRAMMES SUBMITTED FOR AN ACCREDITATION REVIEW

10. Table 01: Programmes submitted to the HEQC for an accreditation review

Name of programme	Entrance requirements	Mode of delivery	Language of instruction	Minimum duration in months	
				Full-time	Part-time

## G. DETAILS OF SITES OF DELIVERY SUBMITTED FOR THE ACCREDITATION REVIEW

11. Table 02: Sites for programme delivery

Name	Physical address	Programmes to be delivered

**PART III****H. VISION, MISSION AND ORGANISATIONAL GOALS**

12. Assess the extent to which your institution has achieved its vision, mission and organisational goals.

**I. ORGANISATIONAL STRUCTURE**

13. If your organisational structure is different from what was originally proposed in your business plan, outline the considerations behind the establishment of this current structure.

**J. INFRASTRUCTURE AND FACILITIES**

14. Assess the extent to which the infrastructure and facilities proposed on application, or as outlined in Item 13 above, have met the needs for the provision and delivery of your provisionally registered programmes, and for research, if any.

15. Report on expansion.

16. Report on shrinkage.

**K. ABILITY TO ATTRACT STUDENTS**

17. Assess your institution's performance in attracting students in the study fields of your programme offerings in relation to the market and feasibility assessment you conducted on application.



**L. RISK MANAGEMENT**

18. Evaluate the performance of your institution's approach to risk management and the implementation and maintenance of its risk management strategies.

**M. IMPLEMENTATION OF POLICIES RELATING TO STUDENTS**

19. Evaluate the performance of your institution in its implementation of policies relating to students.

**N. IMPLEMENTATION OF EMPLOYMENT EQUITY ACT**

20. Evaluate the extent to which your institution has achieved its goals in the implementation of the Employment Equity Act.

**O. IMPLEMENTATION OF OCCUPATIONAL HEALTH AND SAFETY ACT**

21. Evaluate the extent to which your institution has achieved its goals in the implementation of the Occupational Health and Safety Act.

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**PART IV****ANNEXURES**

ANNEXURE A: Non-discrimination declaration.

ANNEXURE B: Undertaking on institutional capacity.

ANNEXURE C: Declaration on monitoring and evaluation.

ANNEXURE D: Declaration on application for an accreditation review.

ANNEXURE E: Equality of qualifications of foreign institutions.

ANNEXURE F: Proof of recognition in the country of origin.

ANNEXURE G: Proof of accreditation in the country of origin.



DEPARTMENT OF EDUCATION

REGULATIONS FOR THE REGISTRATION OF  
PRIVATE HIGHER EDUCATION INSTITUTIONS

A GUIDE FOR COMPLETING THE ANNUAL REPORT

*(APX-04)*

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## VISION, MISSION AND MANDATE OF THE DEPARTMENT OF EDUCATION

### VISION

Our vision is of a South Africa in which all our people have access to lifelong education and training opportunities, which will in turn contribute towards improving quality of life and building a peaceful, prosperous and democratic society.

### MISSION

To provide leadership in the construction of a South African education and training system for the 21<sup>st</sup> century.

### MANDATE

The vision for the transformation of the higher education system is articulated in the *White Paper 3: A Programme for the Transformation of Higher Education (1997)*. Central to this vision is the building of a rational, seamless higher education system that grasps the intellectual and professional challenges facing South Africans in the 21<sup>st</sup> century, and meets the learning needs of individuals and the development needs of our society and economy.

The building of such a system necessitates, among other things, the promotion of quality teaching and research, not only in public universities and technikons, but also in privately established institutions of higher learning. It is primarily for this reason that the *Higher Education Act, 1997 (Act No. 101 of 1997)* (hereafter referred to as "the Act"), makes it a requirement for private institutions offering higher education to register with the Department of Education (DoE).

The registration of private higher education institutions, in accordance with the Act, applies only to institutions that offer learning programmes that result in the award of whole qualifications such as certificates, diplomas or degrees at levels 5 to 8 of the National Qualifications Framework (NQF). Registration, as required by the Act, means that an institution is granted the legal authority to offer higher education programmes and qualifications accredited by the Higher Education Quality Committee (HEQC) of the Council on Higher Education (CHE) and approved by the Registrar of Private Higher Education Institutions. This requirement applies to all private institutions, be they local or foreign.

The aim of registering private institutions is to ensure that -

- a) all private higher education institutions offer an acceptable quality of education;
- b) current and prospective students receive higher education from institutions that have the resources, capacity and/or expertise to deliver quality programmes;
- c) the public obtains qualifications that are aligned with the NQF; and

- d) the education system continues on a path of transformation in accordance with government policy and regulation.

Registration can, therefore, be seen as a means of protecting the integrity of the higher education system and the interests of the public.

Chapter 7 of the Act deals specifically with private higher education institutions. The Regulations for the Registration of Private Higher Education Institutions, 2002, of which this guide and annual reporting form are an appendix, provide the legal framework within which the Registrar of Private Higher Education Institutions is required to regulate the registration of private higher education institutions in terms of the Act.

As a further means of protecting the integrity of the higher education system and the interests of the public, section 57 of the Act makes it mandatory for institutions to report on their operations annually in the manner determined by the registrar. This section reads as follows:

- (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 29(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:

- To monitor and evaluate the performance of each institution on an annual basis.
- 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.
- To foster accountability within the private higher education sector.