

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

- reporting changes in institutional operations;
- displaying the registration status;
- responsibilities relating to the offering of higher education programmes, the placing and re-imburement of students in the case of the discontinuation of a programme and the addition, withdrawal or suspension of a programme or site;
- publishing a prospectus, calendar or brochure annually for the information of students and the public;
- maintaining academic records;
- responsibilities relating to marketing and advertising;
- submitting a financial audit as part of the annual report and any other information as specified by the registrar; and
- responsibilities relating to the lapsing or cancellation of registration.

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

- discharging the responsibilities of an institution as defined in Chapter 6 of the Regulations;
- continued fulfillment of the requirements for registration as defined in Chapter 3 of the Regulations; and
- 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.

ACRONYMS USED IN THE GUIDE AND ANNUAL REPORT FORM

ABET	Adult Basic Education and Training
CHE	Council on Higher Education
CIPRO	Companies and Intellectual Property Registration Office
DoE	Department of Education
FET	Further Education and Training
FTE	Full-time equivalent
GAAP	Generally Accepted Accounting Practice
GET	General Education and Training
HEQC	Higher Education Quality Committee
NLRD	National Learner's Record Database
NQF	National Qualifications Framework
PAAB	Public Accountants' and Auditors' Board
SAAS	South African Auditing Standards
SAICA	South African Institute of Chartered Accountants
SAQA	South African Qualifications Authority

IMPORTANT CONSIDERATIONS FOR COMPLETING THE ANNUAL REPORT FORM

This guide and the accompanying annual reporting form, *Form APX-04*, 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 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 *APX-04* and Annexures A – O.
- (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 DoE.
- (g) The annual reporting documents can be accessed electronically in Microsoft Word for Windows on the DoE website at: [http://education.gov.za/DoEActivities/Higher Education/Registrar of Private Higher Education Institutions](http://education.gov.za/DoEActivities/HigherEducation/Registrar_of_Private_Higher_Education_Institutions). However, all forms must be submitted as hard copies.
- (h) 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 Education and Training (GET) and Further Education and Training (FET) programmes (Items 26-28)

Section F:	Particulars of registered higher education programmes (Items 29-31)
Section G:	Staff and student data (Items 32-38)
Section H:	Changes in inter-institutional agreements (Items 39-42)
Section I:	Continued fulfillment of the requirements for registration (Items 43-47)
Section J:	Discharging the responsibility of an institution (Items 48-55)
Section K:	Other (Items 56 and 57)

ANNEXURES

Annexure A1:	Termination of agreement with other institutions (Item 40)
Annexure A2:	Entering into a new agreement (Item 41)
Annexure A3:	Amendments to existing agreements (Item 42)
Annexure B:	Compliance with the requirements of the HEQC (Item 43)
Annexure C:	Compliance with regulations relating to the health and safety of persons (Item 44)
Annexure D:	Evidence of non-discrimination on the basis of race (Item 45)
Annexure E:	Proof of maintenance of financial surety (Item 46)
Annexure F:	Audited annual financial statements (Item 47)
Annexure G:	Record of academic achievement (Item 48)
Annexure H:	Issuance of transcripts of academic records (Item 49)
Annexure I:	Issuance of certificates (Item 50)
Annexure J:	The National Learner's Records Database (NLRD) (Item 51)
Annexure K:	Sample copy of an enrolment and/or application form (Item 52)
Annexure L:	Institutional prospectus, calendar or brochure (Item 53)
Annexure M:	Official marketing/advertising material (Item 54)
Annexure N:	Evidence in respect of the continued fulfillment of the conditions of registration (Item 55)
Annexure O:	Risk analysis and management strategy (Item 56)

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-04*, the required information must be provided as explained per item below. Each explanation corresponds to the item on *Form APX-04*.

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 certificate of registration as a private higher education institution, as issued to your institution by the Registrar of Private Higher Education Institutions.

B. CHANGES IN ADMINISTRATIVE DATA

In terms of Regulation 23(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.

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*.

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.

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.

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 (PAAB) 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 PAAB.

C. LOSS OF ANY PHYSICAL FACILITY OR SUPPORTING SERVICE OR ANY REDUCTION IN FINANCIAL OR PERSONNEL RESOURCES

In terms of regulation 23(i), 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, 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 25(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 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 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 student enrolment has had on the academic activities of your institution.

E. DATA ON GET AND FET PROGRAMMES**ITEM 26**

By means of a Yes or No, please indicate whether you offered programmes in the General Education and Training (GET) band in the year for which the annual report is submitted.

ITEM 27

If you offered GET programmes in the year for which the annual report is submitted, the registration number as an independent school or an ABET centre must be supplied. The provincial Department of Education assigns the number.

ITEM 28

By means of a Yes or No, please indicate whether you offered programmes in the Further Education and Training (FET) band in the year for which the annual report is submitted.

F. PARTICULARS OF REGISTERED HIGHER EDUCATION PROGRAMMES

Regulation 25 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 29

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.

While the development of level descriptors is still being finalised by SAQA, the following is a guide for purposes of completing *Form APX-04*.

NQF level 5 broadly refers to certificates and diplomas.

NQF level 6 generally includes all first-degree qualifications.

NQF level 7 refers to postgraduate qualifications at honours and master's degree levels.

NQF level 8 refers to doctoral degrees.

ITEM 30

If the primary language of instruction of the programmes listed under Item 29 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 31

If the primary mode of delivery of the programmes listed under Item 29 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.

For the mode of delivery, please choose either (a) contact education or (b) distance education. Each mode is briefly explained below.

a) Contact education

This involves personal interaction with institutional teachers or institutional supervisors through lectures, tutorials, seminars, practicals, supervision, or other forms of required work and occurs at the institution's premises or at a site of programme delivery of the institution.

b) Distance education

The interaction between students and institutional teachers or institutional supervisors is undertaken through distance education techniques, such as correspondence or telematic education. There are a number of different forms of distance education, including:

i) Correspondence learning

Correspondence learning takes place when there is no 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. This is the traditional mode of distance education.

ii) Open learning

Open learning is a form of distance education, and combines face-to-face and other support services such as tutors, print-materials and telematics. It is often described as giving the learner the freedom of place, time, pace, access and exit.

iii) Flexible learning

This is another form of distance education. Flexible learning consists of a mixture of face-to-face teaching, often through block release or e-periods of intensive

teaching. It is also largely supported by the usual support services and is enhanced with technology applied in an integrated manner; i.e. the technology support is a component of the teaching and learning programme.

G. STAFF AND STUDENT DATA

ITEM 32

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 1: Weighting of courses

Certificate X	
Courses in curriculum	Weighting of course selected
Course A or course B	20%
Course C	15%
Course D or course E or course F	10%
Course G	25%
Course H or course I	8%
Course J or course K or course L	22%
TOTAL	100%

Note

1. These tables are set up as examples of how *Annual Report Forms* will be completed when information is sent in electronically.
2. 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.
3. 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 2

Credit values for certificate X		
Courses in curriculum	Weighting x minimum time	Credit value
Course A or course B	20% x 1,5 =	0,30
Course C	15% x 1,5 =	0,22
Course D or course E or course F	10% x 1,5 =	0,15
Course G	25% x 1,5 =	0,37
Course H or course I	8% x 1,5 =	0,12
Course J or course K or course L	22% x 1,5 =	0,34
TOTAL	100% x 1,5 =	1,50

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

Certificate X: FTE student enrolments			
Courses in curriculum	Census day enrolments	Credit value of course	FTE student total
Course A	30	0,30	9
Course B	150	0,30	45
Course C	50	0,22	11
Course D	60	0,15	9
Course E	75	0,15	11,25
Course F	120	0,15	18
Course G	40	0,37	14,8
Course H	25	0,12	3
Course I	31	0,12	3,72
Course J	20	0,34	6,8
Course K	22	0,34	7,48
Course L	44	0,34	14,96
TOTAL			154,01

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

Certificate X: FTE successful students			
Courses in curriculum	Students passing course	Credit value of course	FTE successful student total
Course A	18	0,30	5,4
Course B	105	0,30	31,5
Course C	40	0,22	8,8
Course D	45	0,15	6,75
Course E	30	0,15	4,5
Course F	90	0,15	13,5
Course G	35	0,37	12,95
Course H	15	0,12	1,8
Course I	23	0,12	2,76
Course J	15	0,34	5,1
Course K	11	0,34	3,74
Course L	35	0,34	11,9
TOTAL			108,7

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 full-time staff member employed by the institution for six months of the academic year would be $1 \times 6/12 = 0,5$ of an FTE staff member.
- A full-time staff member employed for 10 months of the academic year would be $1 \times 10/12 = 0,83$ 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 part-time member holding a post equivalent to 50% of a full time post for eight months of the academic year would be $0,5 \times 8/12 = 0,33$ of an FTE staff member.
- 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 $0,33 \times 9/12 = 0,24$ 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 must 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 33

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 34

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 31 above for an explanation of modes of delivery.

ITEM 35

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 36

In Table 9, supply headcount nationality and gender enrolment data for students who are not citizens of South Africa. 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.

ITEM 37

In Table 10, 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.

ITEM 38

In Table 11, if applicable, supply data of students and staff in the required format and according to the categories supplied.

H. CHANGES IN INTER-INSTITUTIONAL AGREEMENTS

Regulation 29(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 39

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

ITEM 40**ANNEXURE A1: 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 41

ANNEXURE A2: 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 42

ANNEXURE A3: 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.

I. 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 fulfill the following requirements in order to ensure their continued registration:

- Registration as a company in terms of the *Companies Act, 1973 (Act No. 61 of 1973)*.
- Non-discrimination on the basis of race.
- Registered programmes must lead to qualifications that are registered on levels five to eight of the NQF.
- Compliance with the requirements of the HEQC.
- Compliance with regulations relating to the health and safety of persons on its premises.
- Financial sustainability and maintenance of the financial surety or guarantee.
- Foreign institutions must prove that the parent institution operates lawfully in its country of origin, that the parent institution recognises qualifications awarded in its name and that awardees will not suffer disadvantage if they wish to enroll at the parent institution.
- Compliance with the periodic evaluation by the registrar, at intervals to be determined by the registrar.
- 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 43

ANNEXURE B: 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 44

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

In this Annexure the health and safety compliance audit report for the year of reporting, for all sites of delivery, must be submitted. The audit report must be issued by a legally competent health and safety professional or organization.

ITEM 45

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

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

ITEM 46

ANNEXURE E: Proof of maintenance of financial surety or guarantee

Provide evidence as to how the institution has maintained 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 with whom you entered into an agreement.

ITEM 47

ANNEXURE F: 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 *Higher Education Act, 1997 (Act No. 101 of 1997)*, the *Companies Act, 1973 (Act No.61 of 1973)*, and the *Statements of GAAP*. The audited financial statements must include the following:

- *Auditor's report*
- *Director's report*
- *Balance sheet*
- *Income statement*
- *Cash flow statement*
- *Statement of changes in equity*
- *Summary of accounting policies*
- *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.

i) The auditor's report

In terms of the Higher Education 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.

ii) 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 299 and Part III of Schedule 4 of the Companies Act, (Act No. 61 of 1973). It must, therefore, include, but not be limited to, the following aspects:

- *Directors and secretary*
- *Principal activities/Nature of business*
- *Director's responsibilities*
- *Going concern assessment*
- *Operating results*
- *Dividends*
- *Review of operations*
 - o *Revenue*
 - o *Profit before tax*

- *Extraordinary items*
- *Share capital*
- *Post-balance-sheet events*
- *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.

J. DISCHARGING THE RESPONSIBILITIES OF AN INSTITUTION

ITEM 48

ANNEXURE G: Record of academic achievement

Regulation (27) requires an institution to keep a comprehensive record of the academic achievement of each student enrolled in a registered programme. Furnish a report on how your institution has discharged its responsibilities in this regard.

ITEM 49

ANNEXURE H: Issuance of transcripts of academic records

Regulation 27(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;
- (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 50

ANNEXURE I: Issuance of certificates

Regulation 27(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 51

ANNEXURE J: The National Learner's Records Database (NLRD)

Regulation 27(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.

ITEM 52

ANNEXURE K: Sample copy of an enrolment and application form

Submit an original version of the institution's application and enrolment form for the year for which the annual report is issued.

ITEM 53

ANNEXURE L: Institutional prospectus, calendar or brochure

Regulation 26 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 54

ANNEXURE M: Official documents, marketing and advertising material

In order to assist the registrar in determining whether the institution complies with Regulation 28, originals of the institution's official documents and marketing and advertising material for the academic year for which the annual report is issued must be submitted. 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 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.

ITEM 55

ANNEXURE N: Evidence in respect of the continued fulfillment 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.

K. OTHER

ITEM 56

ANNEXURE Q: 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.

CHECKLIST

Please make sure that you have submitted Form *APX-04* and attached all documents listed below. Fill in this form and submit it with your application.

<u>REQUIRED INFORMATION</u>	<u>SUBMITTED YES/NO</u>	<u>INSTITUTION'S COMMENTS</u>	<u>DATE OF SUBMISSION</u>
<u>Form APX-04:</u> <i>Annual Report Form</i>			
<u>Annexure A1:</u> <i>Termination of agreement with (an) other institution(s)</i>			
<u>Annexure A2:</u> <i>Entering into a new agreement</i>			
<u>Annexure A3:</u> <i>Amendments to existing agreements</i>			
<u>Annexure B:</u> <i>Compliance with the requirements of the HEQC</i>			
<u>Annexure C:</u> <i>Compliance with the regulations relating to the health and safety of persons</i>			
<u>Annexure D:</u> <i>Evidence of non-discrimination on the basis of race</i>			
<u>Annexure E:</u> <i>Proof of maintenance of financial surety or guarantee</i>			
<u>Annexure F:</u> <i>Audited annual financial statements</i>			
<u>Annexure G:</u> <i>Record of academic achievement</i>			
<u>Annexure H:</u> <i>Issuance of transcripts of academic records</i>			
<u>Annexure I:</u> <i>Issuance of certificates</i>			
<u>Annexure J:</u> <i>The National Learner's Records Database (NLRD)</i>			
<u>Annexure K:</u> <i>Sample copy of an enrolment and application form</i>			
<u>Annexure L:</u> <i>Institutional prospectus, calendar or brochure</i>			

<u><i>Annexure M:</i></u> <i>Official documents, marketing and advertising material</i>			
<u><i>Annexure N:</i></u> <i>Evidence in respect of the continued fulfillment of the conditions of registration</i>			
<u><i>Annexure O:</i></u> <i>Maintenance of the risk analysis and management strategy</i>			



DEPARTMENT OF EDUCATION

REGULATIONS FOR THE REGISTRATION OF
PRIVATE HIGHER EDUCATION INSTITUTIONS

ANNUAL REPORTING FORM

(Form APX-04)

Note: Institutions must consult the document: *A Guide for Completing the Annual Report.*

A. REGISTERED NAME AND NUMBER

1. Name in which the institution is registered as a private higher education institution

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2. Registration number issued by the Department of Education

--

B. CHANGES IN ADMINISTRATIVE DATA

3. New contact person

Name	
Title	
Designation	
Telephone number	
Fax number	
Cell number	
E-mail address	

4. New postal address

New address:	
Code	

5. New physical address of the head office

New address:	
Code	

6. New contact details of the institution's head office

	New contact details
Phone	
Fax	
E-mail address	

7. New physical address of the main campus

New address:	
Code	

8. New address used as the institution's domicilium citandi et executandi

New address :	
Code	

9. New website address

--

10. Contact details of the new head or Chief Executive Officer (CEO)

Surname	
Name	
Title	
Designation	
Identity number	
Phone number	
Fax number	
Cell number	
E-mail address	

11. Table 01: New owners of the institution in accordance with the *Articles of Association*

Surname and initials	Title	Identity number

12. Table 02: Directors who have resigned

Surname and initials	Title	Designation	Date resigned	Identity number

13. **Table 03: Newly appointed directors**

Surname and initials	Title	Designation	Date appointed	Identity number

14. **Details of new holding company or parent institution**

	New holding company
Name	
Address	
Phone number	
Fax number	
Cell number	
E-mail address	
Website address	
Details of relationship	

15. **Details of institution's new auditors**

	New auditors
(a) Name of firm	
(b) Practice or registration number	

C. LOSS OF A PHYSICAL FACILITY OR SUPPORTING SERVICE OR ANY REDUCTION IN FINANCIAL OR PERSONNEL RESOURCES

16. Indicate the type of loss experienced and state the date on which the loss occurred

Type of loss	Date of loss	No loss experienced
Loss of a physical facility necessary for the proper conduct of a programme		
Loss of a supporting service to a programme		
Reduction in the financial and/or personnel resources needed to sustain a programme		

17. Nature of the physical facility lost and impact of the loss on the academic activities of the institution

18. Nature of supporting service lost and impact of the loss on the academic activities of the institution

19. Nature of reduction in financial and/or personnel resources and impact of the reduction on the academic activities of the institution

D AMENDMENTS INITIATED BY THE INSTITUTION AND APPROVED BY THE REGISTRAR

20. Type of amendment for which the institution applied

Type of amendment	Date of amendment	Not applicable
Legal name of the institution		
Change of type of company		
Registered programmes		
Sites of delivery		
Other		

21. Describe the impact that the amendment to the legal name has had on the academic activities of the institution in the year for which the annual report is submitted

22. Describe the impact that the change in type of company has had on the academic activities of the institution in the year for which the annual report is submitted

23. Describe the impact that the amendment to registered programmes has had on the academic activities of the institution in the year for which the annual report is submitted

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24. Describe the impact that the amendment to sites of delivery has had on the institution in the year for which the annual report is submitted

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25. Describe the impact of any other amendment on the academic activities of the institution in the year for which the annual report is submitted

--

E. DATA ON GENERAL EDUCATION AND TRAINING (GET) AND FURTHER EDUCATION AND TRAINING (FET) PROGRAMMES

26. Do you offer programmes in the GET band?

Yes	
No	

27. If yes, provide your registration number as an independent school or an ABET centre.

--

28. Do you offer programmes in the FET band?

Yes	
No	

30. Changes in the primary language of instruction and impact of these changes on the institution

Previous language of instruction	Current language of instruction	Programmes affected	Reasons for change	Impact on the activities of the institution

31. Changes in the primary mode of delivery and impact of these changes on the institution

Previous mode of delivery	Current mode of delivery	Programmes affected	Reasons for change	Impact on the activities of the institution

G. STAFF AND STUDENT DATA

32. **Table 05:** Consolidated staff and student data for the year for which the annual report is submitted

CATEGORIES OF STAFF/STUDENTS	HIGHER EDUCATION PROGRAMMES	Programmes certified by other institutions
	Registered programmes certified by the institution	
Students		
Headcount		
Full-time equivalent (FTE)		
Academic/Research Staff		
Headcount		
Full-time equivalent (FTE)		
Service Staff		
Full-time (Headcount)		
Part-time (Headcount)		
Support Staff		
Full-time (Headcount)		
Part-time (Headcount)		

37. **Table 10:** Headcount success rates per registered higher education programme in the year for which the annual report is submitted

NQF Field	NQF Level	Name of registered programme	Duration (months)	Year levels	Headcount enrolment		Number of successful students	
					Males	Females	Males	Females
				1 st				
				2 nd				
				3 rd				
				4 th				
				1 st				
				2 nd				
				3 rd				
				4 th				
				1 st				
				2 nd				
				3 rd				
				4 th				
				1 st				
				2 nd				
				3 rd				
				4 th				
				1 st				
				2 nd				
				3 rd				
				4 th				
				1 st				
				2 nd				
				3 rd				
				4 th				
				1 st				
				2 nd				
				3 rd				
				4 th				

38. **Table 11:** Total staff and registered students, expressed as headcount, for General Education & Training (GET) and Further Education and Training (FET) programmes in the year for which the annual report is submitted

CATEGORIES OF STAFF/STUDENTS	NUMBER OF STAFF FOR GET AND FET	
	GET	FET
Students		
Headcount		
Academic/Research Staff		
Headcount		
Service Staff		
Headcount		
Support Staff		
Headcount		
TOTAL NUMBER OF STAFF		

H. CHANGES IN INTER-INSTITUTIONAL AGREEMENTS

ANNEXURE A1: Termination of agreements with other institutions

ANNEXURE A2: Entering into a new agreement

ANNEXURE A3: Amendments to existing agreements

I. CONTINUED FULFILLMENT OF THE REQUIREMENTS FOR REGISTRATION

ANNEXURE B:	Compliance with the requirements of the HEQC
ANNEXURE C:	Compliance with regulations relating to the health and safety of persons
ANNEXURE D:	Evidence on non-discrimination on the basis of race
ANNEXURE E:	Proof of maintenance of financial surety or guarantee
ANNEXURE F:	Audited annual financial statements

J. DISCHARGING THE RESPONSIBILITY OF AN INSTITUTION

ANNEXURE G:	Record of academic achievement
ANNEXURE H:	Issuance of transcripts of academic records
ANNEXURE I:	Issuance of certificates
ANNEXURE J:	The National Learner's Records Database (NLRD)
ANNEXURE K:	Sample copy of an enrolment and/or application form
ANNEXURE L:	Institutional prospectus, calendar or brochure
ANNEXURE M:	Official documents, marketing and advertising material
ANNEXURE N:	Evidence in respect of the continued fulfillment of the conditions of registration

K. OTHER

ANNEXURE O: Risk analysis and management strategy

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

K. OTHER

ANNEXURE O: Risk analysis and management strategy



DEPARTMENT OF EDUCATION

REGULATIONS FOR THE REGISTRATION OF
PRIVATE HIGHER EDUCATION INSTITUTIONS

SCHEDULE OF FEES PAYABLE BY PRIVATE INSTITUTIONS ON
LODGING AN APPLICATION FOR REGISTRATION, AN
APPLICATION FOR AMENDMENT AND AN APPLICATION FOR
CONVERSION

(APX-05)

SCHEDULE OF FEES

In terms of sections 52 and 58(b) of the *Higher Education Act, 1997 (Act No 101 of 1997)* and regulations 3(3), 4(1) and 5 of the *Regulations for the Registration of Private Higher Education Institutions, 2002*, a prescribed fee is payable on lodging an application for registration, an amendment application or an application for conversion.

Fee payable on applying the application for registration

A fee of R500.00 is payable on lodging an application for registration.

Fee payable on applying for the conversion of provisional registration in terms of section 54 (3) to registration in terms of section 54(1)(c)

A fee of R500.00 is payable on lodging an application for conversion.

Fee payable on applying for amendment of registration

A fee of R500.00 is payable on lodging an application for amendment of registration.

The above schedule of fees is subject to an annual review.

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