CHE STRATEGIC PLAN 2015-2020
AND
ANNUAL PERFORMANCE PLAN 2016/17
AND
MTEF BUDGET 2016/17 - 2017/18 – 2018/19

FEBRUARY 2016

FOREWORD

The Council on Higher Education (CHE) is an independent statutory body established in terms of the Higher Education Act of 1997 (Act No 101 of 1997), as amended.

OFFICIAL SIGN-OFF:

It is hereby certified that this Strategic Plan, Annual Performance Plan (APP) and Medium Term Expenditure Framework (MTEF) Budget were prepared by the Chief Executive Officer and Senior Management of the CHE and take into account all the relevant policies, legislation and other mandates for which the CHE is responsible and accurately reflects the strategic outcomes, oriented goals and objectives which the CHE will endeavour to achieve over the period.

Thulaganyo Mothusi: Chief Financial Officer
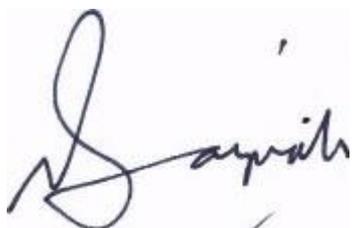
Prof. Narend Baijnath: Chief Executive Officer

Prof. N. Themba Mosia: Chairperson of Council

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PART A: STRATEGIC OVERVIEW

1   VISION

The CHE as an independent statutory body strives to be an organisation nationally and internationally recognised for the quality of its intellectual contribution to and its impact on the development of the South African higher education system through its core functions of advising the Minister of Higher Education and Training, monitoring trends in the higher education system and assuring and promoting the quality of higher education.

2   MISSION

The mission of the CHE is to contribute to the development of a transformed, equitable, high quality higher education system capable of responding to the intellectual, ethical, and human resource challenges of a democratic society based on social justice principles which operates in a global context. The main areas of work of the CHE are:

- To provide advice to the Minister of Higher Education and Training on all higher education matters on request and on its own initiative;

- To develop and implement a system of quality assurance for all higher education institutions, including private providers of higher education, which focuses on programme accreditation, institutional audits, national reviews, quality promotion and capacity development;

- To monitor the state of the higher education system in relation to the goals of national policies and international trends;

- To contribute to the development of higher education through intellectual engagement with key issues in a number of activities (including research, publications and conferences) and in partnership with relevant stakeholders.

3.   VALUES

In pursuit of its vision and mission the CHE is committed to and guided by the following values:

- Independence
- Transformation
- Integrity
- Public Accountability

4.   LEGISLATIVE MANDATE

The CHE's vision and mission is derived from its legislative mandate as outlined in the Higher Education Act and the National Qualifications Framework Act of 2008 (Act No 67 of 2008)

4.1   Higher Education Act

In terms of the Higher Education Act, the mandate of the CHE includes the following:

- To provide advice to the Minister of Higher Education and Training on all higher education matters on request and on its own initiative.

- To promote quality and quality assurance in higher education through its permanent sub-committee, the Higher Education Quality Committee (HEQC), including auditing the quality assurance mechanisms of, and accrediting programmes offered by, higher education institutions.

- To monitor the state of higher education and publish information regarding developments in higher education on a regular basis, including arranging and co-ordinating conferences on higher education issues.

4.2   National Qualifications Framework Act

In terms of the National Qualifications Framework Act, the CHE has been established as the Quality Council (QC) for higher education with an expanded mandate, which, in addition to its quality assurance mandate, includes the following:

- To develop and manage the qualifications sub-framework for higher education, namely, the Higher Education Qualifications Sub-Framework (HEQSF), including the development of qualifications that are necessary for the higher education sector.

- To advise the Minister of Higher Education on matters relating to the HEQSF.

- To conduct and publish research that facilitates the development and implementation of the HEQSF.

- To inform the public of matters pertaining to the HEQSF.

- To develop and implement policy and criteria for the development, registration and publication of qualifications, as well as for assessment, the recognition of prior learning (RPL) and credit accumulation and transfer (CAT) in the context of the policy and criteria developed by the South African Qualifications Authority (SAQA).

- To contribute to the development of level descriptors and to ensure their relevance.

- To maintain a database of learner achievements in higher education and to submit the data to the National Learners' Records Database, which is maintained by SAQA.

5. SITUATIONAL ANALYSIS

5.1 Performance Environment

The CHE is a public entity established by the Higher Education Act 101 of 1997 (as amended). It therefore functions as stipulated by this Act. Its quality assurance and promotion responsibilities are governed by both the Higher Education Act and the National Qualifications Framework Act 67 of 2008, which designates the CHE as the Quality Council for higher education. The two Acts, regulations that are based these Acts (for example, regulations for the registration of private higher education institutions) and higher education national policy frameworks such as the White Paper for Post-School Education and Training, together define and contextualise the performance environment of the CHE.

The CHE is a Schedule 2 public entity in terms of the Public Finance Management Act 1 of 1999 (as amended). This Act and its regulations (popularly known as National Treasury regulations) together provide a framework that set parameters for the governance of the organisation, and the management of finance and other resources. The CHE strives to comply with the Act and its regulations in all its activities.

The CHE also takes due cognisance of other national strategies, plans, protocols and frameworks in the performance of its legislated duties. Some of these include the National Development Plan 2030, the Human Resource Development Strategy for South Africa 2010 – 2030, the National Skills Development Strategy III, and the Presidential Outcomes 5.1 (Higher Education and Training), to mention but a few. It similarly takes due cognisance of the relevant regional, African and international conventions.

The niche of CHE is higher education, and other key role players in this space include universities, private higher education institutions, the government through mainly the Department of Higher Education and Training, the Sector Training and Education Authorities (SETAs), the South African Qualification Authority (SAQA), the Quality Council for Trade and Occupations (QCTO), the National Student Financial Aid Scheme (NSFAS), organisations such as Universities South Africa (USAf) and Academy of Science of South Africa (ASSAf), professional councils, science councils and other research institutions. The

CHE has to keeps itself aware of the initiatives of these other role players, and the changes or developments they go through, because they have bearing on its work. The CHE therefore has to be responsive to changes and/or developments in the sector. The strategic and annual performance plans reflect the understanding on the part of the CHE, of the developments in the sector, and its plans in terms how to position itself in the wake of such developments. The strategic and annual performance plans are therefore informed by business intelligence information from across the sector.

The CHE is essentially a service organisation, and therefore its outputs are services including advisory decisions and/or documents, research and other publications, conferences and/or workshops, networks and other knowledge resources. The demand for the services of the CHE comes from the higher education system as a whole. This demand is ever-increasing as South Africa seeks to transform from natural resource-based economy to knowledge-based economy. Higher education is the engine of a knowledge-based economy because it generates the necessary capacity, research and innovations. The number of universities is increasing, and so too the number of private higher education institutions. CHE, as a small but the only organisation of its type in the country, cannot meet the ever-increasing demand on it optimally without prioritising, and the strategic and annual performance plan reflect the outcome of a process that involved much balancing and prioritisation.

The majority of indicators are outputs of the different processes that the CHE follows in discharging its responsibilities. They include number of pieces of advice generated, number of programmes accredited or reviewed, number of publications produced, number of workshops, and number of other outputs. It is contemplated that, going forward, input, throughput and outcome indicators should also be developed. The latter are important because they will measure the degree to which stakeholders benefit from the work of the CHE.

5.2   Organisational Environment

As a public entity that reports to government, its Executive Authority is the Minister of Higher Education and Training. The Minister appoints Council which is the accounting authority of the CHE and operates as a 'Board' with fiduciary, advisory and strategic oversight responsibilities. A senior management team, comprising of a Chief Executive Officers, Chief Financial Officer and six directors, is responsible for the day-to-day management of the operations of the organisation.

The organisation is structured into five programmes as follows:

i.   Administration: comprising Office of the CEO and the Corporate Services Directorate. The latter includes finance, supply chain management, human resource management, ICT, facilities management and communication.
ii.   Monitoring and Evaluation
iii. Institutional Audits
iv.   Programme Accreditation
v.   National Standards and Reviews

The programme is essentially the operational or strategic business unit in the organisation, and each programme is responsible for delivery on one or several strategic objectives. Thus the actual plans are built around the programmes. Similarly, each programme serves as the unit base for budgeting purposes. The programmes are therefore important components of the organisation and their performance in the implementation of the strategic and annual performance plan determines the overall performance of the organisation. Capacity is one critical factor that has influence on the level of performance of the programmes. Unfortunately, currently the organisation is small, and almost all programmes lack the necessary critical mass of personnel to operate with great effectiveness and efficiency.

The programmes are coordinated by the Office of the Chief Executive Officer to ensure that they all pull in the same direction as directed by the strategic and annual performance plan.

5.3   Description of the Strategic Planning Process

The Office of the Chief Executive Officer drives and coordinates the strategic planning process. The process itself is both iterative as well as cyclic, with 'top-down' and 'down-up' loops. The 'top-down' loop starts with Council identifying broad priority performance areas for the five year of a strategic plan. The Council is guided by the Higher Education Act, the National Qualifications Framework Act, the White Paper for Post School Education and Training and other relevant policies, in identifying and setting those broad priority performance areas.   The Chief Executive Officer and the senior management team complete the 'top-down' loop by developing strategic goals and objectives on the basis of the broad priority performance areas identified by Council.

The strategic goals and objectives are communicated to all staff members in the programmes. The 'down-up' loop kicks in with strategic and operational planning sessions being held at programme level, involving all staff members in each programme. At these sessions, the priority performance areas identified by Council, as well as the strategic goals and objectives formulated by senior management; are interrogated and debated, and the risks attached to them are assessed. Where the programme personnel is agreement with the identified priority performance areas, strategic goals and objectives, the sessions then proceed to formulate operational plans, performance indicators and targets on each strategic objective. Risk management strategies are also developed.

The results that come from the planning sessions at the programme level are submitted to senior management to consider, and those that are accepted are collated and used to draft strategic and annual performance plan for the entire organisation. The draft is then presented to Council for consideration and approval. Council's approval marks the end of one planning cycle and the start of the next.

The first draft is finalised and approved by EXCO and submitted to DHET in August of each year. The final version is submitted to DHET in November for approval prior to being presented to Parliament in March, ready for implementation from the beginning of the financial year in April.

5.4   Trends in the number of key staff

The attraction and retention of appropriate skilled professionals in a very competitive market remains a key challenge for the CHE. The continued loss of critical skills and institutional memory has a major impact on the CHE's ability to discharge on its mandate and strategy. This is exacerbated by the size of the organisation which limits the opportunity for career progression particularly at mid-level employees. A number of interventions have been implemented in the past year to ensure that the CHE has the appropriate human capacity and capabilities. These include the following but not limited to:

- The development and implementation of the CHE's Competency Framework that has established a foundation for, and a key driver of all Human Resources Management processes in the organisation;

- The introduction of a flexible remuneration framework for levels 13 and higher to ensure the retention of critical skills for the CHE;
- On-going training and capacity building initiatives for employees and;
- Implementation of an employee wellness programme that promotes the physical, social, emotional, occupational, spiritual and intellectual wellness of employees.

These interventions continue to create a conducive organisational climate and culture that enhances employee productivity in general.

PART B: STRATEGIC IMPERATIVES

6.   IMPLEMENTATION OF THE CHE'S MANDATE: AN OVERVIEW

The CHE's activities are based around its mandates to provide advice on higher education matters to the Minister of Higher Education and Training, to carry out quality assurance activities with respect to institutions and programmes in higher education, and to manage its sub-framework of the NQF.

The provision of advice by the Council is based on research which may be commissioned, undertaken by expert task teams, or by CHE staff members themselves, and while this function has been strengthened in recent years, it is an area in which considerable growth is possible and necessary. Policy development and comment on national policy are also significant areas of activity.

The quality assurance functions are of two types – those that are ongoing, and those that are project-based. In the former category are the processes of accreditation for new programmes and new sites of delivery, and the reaccreditation of existing programmes, as well as the undertaking of reviews of a particular qualification simultaneously across the sector, known as national reviews. In the latter category are processes of institutional audit which are carried out in cycles, and a five-year project focused on addressing poor throughput and graduation rates and increasing student success which was launched in 2014 and which is known as the Quality Enhancement Project.

Underlying the quality assurance functions are activities that promote quality in higher education and capacity development in quality matters in the sector: these include national training workshops and quality assurance fora, seminars and communication on key issues and publications that aim to create debate and awareness, to provide information, or to provide useful guidelines for particular quality-related activities.

In terms of managing its sub-framework of the NQF, the Higher Education Qualifications Sub-Framework (HEQSF), the work of the CHE has included: a substantial revision of the framework, the revised version of which was gazetted in 2013; a major project to align all existing offerings in higher education with the provisions of that framework; the development of NQF-related policy as a Quality Council; and the development of standards for qualification types and selected qualifications.

The areas of activity highlighted are consistent with the overall policy thrust of the White Paper on the Post-School Education and Training System, which provides the framework for informing the trajectory of the CHE and other Quality Councils (QCs). In line with this, the Council re-affirms that the strategic imperatives and associated goals and objectives that informed the development of the 2012 - 2017 Strategic Plan remain relevant and continue to inform the 2015 - 2020 Strategic Plan.

7. STRATEGIC IMPERATIVES

The CHE has adopted five strategic imperatives to frame the development of the strategic goals and objectives. These are:

- To contribute to informing and influencing the public debate on the policy framework for the transformation of the higher education system and to become a recognised centre for information and policy analysis on higher education.

- To contribute to developing the role of the quality assurance system in conjunction with the steering tools of planning and funding to enhance the quality of higher education and to enable the achievement of national policy goals and objectives.

- To contribute to ensuring the currency and relevance of the HEQSF to meet the human resource and knowledge needs of South Africa, including the development and maintenance of standards, in the context of an integrated and articulated post-school education and training system.

- To contribute to building the intellectual capability of the CHE, including the development of an enabling organisational climate, to enable it to discharge its mandate effectively.

8. RESOURCE CONSIDERATION

8.1 Overall View

There was a deficit on the allocated budget in the 2013/14 financial year, which was covered by roll-over funds from previous years as well as increased revenue received from the accreditation of programmes from private institutions. The main reason for the deficit is the fact that for the past three years, the MTEF baseline allocations have been reduced, while personnel costs have continued to increase as a result of the salary increases in the public service. This resulted in the personnel budget been more than the Goods & Services budget. The impact is that the strategic objectives as set out in the Strategic plan and Annual Performance Plan will severely be affected and not be realised.

The 2015/2016 budget was not sufficient and as a result some significant activities or projects that support the achievement of the strategic objectives of CHE were under budgeted for and put on hold pending the approval of roll over of funds. The reliance trend on the approval of roll over of funds will result in the CHE being unable to discharge its full mandate as the rollover funds are depleted.

The reduction of 10% for the year 2016/2017 was based on the total budget baseline allocation which covers Personnel and Goods & Services. It must be noted that the personnel costs increase annually and this will result in the share percentage of personnel budget being higher than goods & services. For the long term, the personnel costs will be

allocated 90% of the baseline budget allocation if the baseline budget reduction trend continues and will result in CHE strategic objectives not been achieved.

CHE will experience a shortfall after deducting all contractual obligations payments from the budget baseline allocation and other source of income. The contractual obligations payments are personnel, remunerations to all Committees and their logistical costs, Fixed and Variable contract costs and other obligatory payments.

8.2   The risks and impact of the baseline reduction

The reliance on the cost recovery on accreditation programmes is not sustainable because the estimated amounts vary depending on the number of programmes submitted for accreditation by private institutions. This trend will not be sustainable for the outer years.

The reliance trend on the approval of roll over of funds will result in the CHE being unable to discharge its full mandate as the rollover funds are depleted.

The reduction on the budget baseline allocation negatively affected budget allocation on goods and services and all Programmes will not be able to achieve CHE strategic objectives. The activities or projects of all Programmes will be negatively affected as follows:

8.2.1   Programme: Administration

The following activities or projects will be negatively affected: Failure to provide advice to the Minister.   Unable to attend strategic meetings for Council and other parliamentary meetings such as Port Folio Committee, to implement good governance and monitoring thereof and to support the core programmes to realise their activities or projects.

8.2.2   Programme: Monitoring and Evaluation

The following activities or projects will be negatively affected: Research on the factors that contribute to the ongoing governance and management challenges in higher education. Academic Profession – PhDs: The state of the academic profession in South Africa. Student funding: focusing on the impact of funding on throughput and graduation rates and the role and impact of the National Student Financial Aid Scheme, The role of information and communications technology (ICTs), VitalStats, Key data: on the higher education system on the CHE website which is updated periodically, African languages: in higher education: policy, practices and challenges, Student governance, Legislative context and Other publications.

8.2.3 Programme: Institutional Audits

The following activities or projects will be negatively affected: Institutional Audits operations including, institutional visits, planned Deputy Vice Chancellors meetings, Quality Enhancement representative meetings, Quality Enhancement Project conferences, workshops and events and Quality Enhancement Project research, analysis and publications.

8.2.4 Programme: Accreditation

The following activities or projects will be negatively affected: the number of programmes to be accredited, the number of programmes to be re-accredited and capacity development.

8.2.5 Programme: National Standards and Reviews

The following activities or projects will be negatively affected: Bachelor of Social Work follow up site visits, LLB review site visits, and standard development for nursing, sports and coaching, BCom and Library/Theology.

9. EXPENDITURE TRENDS PER ECONOMIC CLASSIFICATION

9.1 Current Payments

- **Compensation of employees**

The compensation of employee's costs will increase annually due to annual salary increase in the public service. The number of personnel as per current approved structure is 52. CHE is reviewing its business process and this might result in more personnel needed.

- **Goods and Services**

Other administrative costs such as computer services, maintenance, repair and running costs, external and internal audit fees will be needed to support the core programmes of the CHE in realising its objectives. The existing and new contractual obligations such as rates and utilities, building maintenance, garden, security and legal services costs can increase due to increases in CPI and inflation.

The main cost drives in terms of CHE operations is on payment to peer academics, travel and subsistence and honoraria payments. The CHE regularly enjoys the services of people not in the full-time employ of the CHE in a variety of capacities – as evaluators, as advisors and as researchers. This is in addition to service providers who are contracted via the tender processes.

Many of these people offer their services voluntarily and pro bono; others are very skilled people offering their services in intellectual areas to augment the capacity of the CHE to undertake its work, and others participate as peers in a sector-wide system of academic review of programmes and projects, often at short notice and for specified tasks. The activities embarked on require more travelling and catering hence the higher costs allocated for travel and subsistence.

- **Payment for capital assets**

The costs for capital assets will increase slightly because the lifespan on the majority of computers differs therefore their replacement will done in phases for different years and some computers are still usable even if their lifespan is completed.

10.   STRATEGIC PLAN AND BUDGET

10.1   Purpose

The purpose of this Strategic Plan and Budget is to outline the planned activities and the resources required to give effect to the legislative mandate of the CHE. The CHE operates as a national entity under Schedule 3A of the Public Finance Management Act of 1999 (Act No 1 of 1999), as amended. It adheres to principles of good governance, financial and performance management and is accountable to the Parliament of the Republic of South Africa.

10.2   Assumptions

This Strategic Plan is based on the assumption that the necessary financial support to enable the CHE to deliver on its mandate will continue to be provided through the Department of Higher Education and Training's budget vote.

However, while recognising the tight constraints on the fiscus in the context of the global economic downturn, the Council is concerned that budgetary pressures resulting from the annual cuts in budget in recent years, while salaries continue to increase, could compromise the capacity of the Council to deliver on its mandate in future. The CHE in recent years has been reliant on roll-over funding and increasing accreditation revenue. However, it cannot rely on the latter to discharge its mandate, as accreditation revenue fluctuates. In addition, the roll-over amounts are declining as the challenges that resulted in the occurrence of roll-overs have been addressed. Furthermore, the CHE's budgets for the 2015/16 and 2016/17 financial years were cut by 7.2% and 10.4% respectively. Thus the current scope of operations in relation to the Council's mandate may not be possible to maintain. This is a risk flagged in advance for the Department of Higher Education and Training to consider.

10.3   Operating Principles

The CHE is guided by the principles of generally accepted business practice, including compliance with applicable laws, commitment to organisational integrity, avoidance of conflicts of interest, observance of high ethical standards and acting in the public interest.

In addition, the CHE strives to provide a policy and work environment that encourages intellectual creativity, non-discrimination, diversity, innovation, diligence and responsiveness.

10.4   Risk Management

The CHE is committed to effective risk management, with the overall objective of reducing risk, as far as reasonably practicable, to enable it to fulfil its mandate. The CHE has a comprehensive risk register, which is reviewed and updated on an annual basis. Six main risks have been identified:

i.   Inability to attract and retain staff with critical and specialised skills, in particular, at the senior management level;

ii.   Inability of the CHE to carry out its core functions in a credible manner, which would impact on its reputation;

iii. Non-compliance with legislative and regulatory framework relating to the NQF and HE Acts, including the HEQC quality assurance frameworks and processes resulting in legal challenges;

iv.   Non-compliance with financial legislation, PFMA, Treasury Regulations, etc;

v.   Non-compliance with IT governance Acts and Regulations;

vi.   Non-compliance with Fraud Management Policy.

11.   MANDATE AND ACTIVITY AREAS: 2015 - 2020

The mandate of the CHE has been translated into four strategic goals and twelve linked strategic objectives, which provide the framework for the APP.

The delivery of the strategic objectives is undertaken by Directorates, which constitute the core administrative units in the CHE's organisational structure. As a result, the resource requirements for the performance of the strategic objectives are reflected in the MTEF budget through the budgets of the different Directorates.

ANNUAL PERFORMANCE PLAN AND INDICATORS
2016/17 – 2017/18

1. STRATEGIC GOAL ONE

To contribute to informing and influencing the public debate on the policy framework for the transformation of the higher education system and to become a recognised centre for information and policy analysis on higher education.

1.1 Strategic Objective One

To provide advice to the Minister of Higher Education and Training on all higher education matters on request and on the CHE's own initiative.

Since 2014, the Council has provided the Minister with advice at his request on the following:

- The proposed *Policy for the Provision of Distance Education in South African Universities in the Context of an Integrated Post-School System.*
- The Minister's intention to disestablish the National Institutes for Higher Education in Mpumalanga and the Northern Cape.
- The proposed *Improvements to the Policy and Procedures for Measurement of Research Output of Public Higher Education Institutions (2003).*
- The Report of the Ministerial Committee on Articulation*.*

In addition, the Council provided the Minister with advice on its own initiative on:

- The role of tuition centres to close a loophole in the Higher Education Act, which enables private providers to offer tuition services on behalf of foreign institutions not registered in South Africa. Although the Higher Education Act was previously amended to close the loophole, the HEQC's assessment of the amendment, which was confirmed by legal opinion obtained, indicated that the amendment was not sufficient to close the loophole.
- The desirability and feasibility of restructuring the duration of the current three- and four-year undergraduate diploma and degree qualifications to address low throughput rates as recommended in the Report of the Task Team on the Undergraduate Curriculum Structure. In developing its advice, the Council took into account the comments on the report received from higher education institutions and other stakeholders.

- Advice on unaccredited programmes offered by public and private HEIs.

1.1.1 Annual Plan for 2016/17

The number of requests for advice in any given year cannot be predicted in advance, as this depends on the Minister's priorities. Similarly, the advice provided by the Council on its own initiative is dependent on the outcomes of the research and other projects undertaken. In this regard, the Council intends to provide advice to the Minister in 2016/17 on the outcomes of two research projects which are in the process of being finalised and which will be the subject of consultation prior to the Council advising the Minister.

- 100% of responses to requests for advice responded to within the timeframe requested.

- Two pieces of advice on own initiative on issues identified as relevant flowing from the activities of the CHE.

1.2 Strategic Objective Two

To monitor the state of higher education, including publishing information and convening conferences, seminars and workshops on developments in higher education.

Some of the medium- to long-term projects initiated recently are still in process. These include the following:

- Research on the factors that contribute to the ongoing governance and management challenges in higher education. Background research has been completed, and draft reports have been produced. Further research based on responses to the draft will be undertaken with a view to providing advice.

- The state of the academic profession in South Africa.

- Student funding, focusing on the impact of funding on throughput and graduation rates and the role and impact of the National Student Financial Aid Scheme (NSFAS).

- The role of information and communications technology (ICT) in higher education. An ICT colloquium, *Moving the Teaching and Learning System in South African Higher Education into the Digitally-Mediated Era*, held in October 2014 initiated this project.

In addition, there are two ongoing monitoring activities, which are well-established:

- The annual series of books on key data on the higher education system, *VitalStats,* of which four have been published to date, *VitalStats 2010, 2011, 2012* and *2013.*

- Key data on the higher education system on the CHE website which is updated periodically.

- The CHE also plans to initiate a regular seminar series on higher education matters.

1.2.1   Annual Plan for 2016/17

- Performance indicators which assess the state of the higher education system (on-going project) which will be published.

- Four long-term research projects which will run throughout the year with possible overlap.

- Dissemination of two publications giving research findings.

2.   STRATEGIC GOAL TWO

To contribute to the development of qualification standards to ensure the relevance, comparability and currency of qualifications.

2.1   Strategic Objective Three

To develop and manage the HEQSF, including the articulation of qualifications between the three sub-frameworks, namely, the HEQSF, the General and Further Education and Training Qualifications Sub-Framework and the Trades and Occupations Qualifications Sub-Framework.

The CHE as the Quality Council for Higher Education is responsible for the HEQSF, the qualifications sub-framework for higher education. The CHE, as previously reported, revised the HEQSF in 2013, which provides for additional qualification types: specifically, the professional two-year undergraduate diploma; as well as professional masters and doctoral degrees.

The major focus in the past few years which will continue into 2016/17 has been the alignment of existing higher education qualifications with the requirements of the revised HEQSF. The alignment process involves three phases. Phase One, which involved the Category A programmes, that is, programmes requiring only minor technical changes to be aligned, was completed at the end of 2013.

Phase Two of the implementation plan involves the alignment of the Category B programmes, that is, those that need substantial curriculum development (but less than 50%) in order to comply. This is currently underway and it is anticipated that it will be completed by the end of 2015.

Phase Three, which has been running concurrently with the first and second phases, deals with Category C programmes, that is, programmes that would require major change – more than 50% – to be aligned to meet the requirements of the HEQSF. These will be taught out and, where appropriate, will be replaced by new programmes that will be submitted for accreditation as part of the normal accreditation process. The expectation is that there will be a sharp increase in the number of new applications for accreditation in 2016/17.

In addition to the HEQSF alignment process, the other priority relates to addressing the articulation of qualifications offered in the three sub-frameworks, including credit accumulation and transfer (CAT) and recognition of prior learning (RPL). This is being addressed jointly with the other QCs under the leadership of SAQA. Following the finalisation of SAQA's RPL policy in 2013 and CAT and Assessment policies in October 2014, the CHE developed an integrated policy on these three areas for higher education which has undergone a consultation process prior to finalisation. In addition, the CHE's participation in SAQA processes in the 2015/16 year relating to articulation; to learning that does not lead to a qualification (LNQ); and to the misrepresentation of qualifications, may engender further such work in 2016/17.

The Minister releases annual guidelines on the implementation of the NQF to provide direction on priority projects to be undertaken by the QCs and SAQA. The CHE will continue to work on such projects in collaboration with SAQA and the other QCs; or on its own, depending on the requirements of the Ministerial Guidelines for 2016/17.

2.1.1   Annual Plan for 2016/17

The main focus area in 2016/17 will be:

- 100% of submissions made on the CHE's perspective on articulation as per the Ministerial Guidelines.

2.2   Strategic Objective Four

To develop and implement policy, criteria and standards for higher education qualifications to inform and guide the development, registration and publication of qualifications.

The CHE's Framework for Qualification Standards in Higher Education (FQSHE) provides for the development of selective qualification standards to provide benchmarks for their development and implementation and the quality assurance thereof. Standards are developed in extensive collaborative processes with the relevant academic communities

and professional associations and these may take 18-24 months to complete, with an average of four processes happening concurrently. The first four pilot standards were developed in the 2015/16 year.

The process of development of qualification standards has three distinct phases, and takes 18 to 24 months to complete. The draft standard statement goes through a number of iterations and revisions before approval. The first phase is the drafting of the standard statement by a group of academic experts in the field of study, convened by the CHE. In the second phase of the process, the draft standard statement is presented to all key stakeholder groups for comment. The third and final phase is publication of the final draft for public comment before approval and registration of the standard statement.

The 2015 integration of the former directorates of standards development and national reviews into a single Directorate of National Standards and Reviews signals the intention to develop a standard prior to each future national review of a particular programme.

The selection of qualifications for the development of standards is determined partly by request from the Accreditation Committee or professional bodies, but also by the monitoring of academic developments in other fields of study.

2.2.1   Annual Plan for 2016/17

The main focus area in 2016/17 will be:

- Developing at least for four qualification standards, within the development cycle-time of 18 – 24 months, based on identified needs.

2.3   Strategic Objective Five

> **To maintain a database of learner achievements in higher education and to submit the data to the National Learners' Records Database (NLRD), which is maintained by SAQA.**

The CHE as a QC is required to maintain a database of learner achievements in higher education and to submit the data annually to the NLRD, which is maintained by SAQA. In the case of public higher education institutions, by agreement with SAQA, the information is collected and submitted to the NLRD on behalf of the CHE by the DHET via its Higher Education Management Information System (HEMIS). The DHET plays this role as the funding of public higher education institutions is based on the data collected in HEMIS.

As there is no equivalent of HEMIS for the private providers of higher education, the CHE, in conjunction with SAQA, developed and implemented the Higher Education Quality Committee Information System (HEQCIS), which is a database of learner achievements in private higher education that feeds into the NLRD. There continues to be steady progress

in implementing the HEQCIS, which is managed and maintained by SAQA on behalf of the CHE.

While the HEQCIS enables the CHE to meet its obligations in terms of the NLRD, its role as a database for monitoring trends in private higher education provision has been limited. The system has, however, been expanded to collect data comparable to that in HEMIS. Advocacy and training workshops were held with private providers and the first cycle of collection of an extended data set became operative in the latter half of 2015.

2.3.1   Annual Plan for 2016/17

The main focus area in 2016/17 will be:

- Achieving 80% of private higher education providers (PHEIs) submitting learner records/achievements for the HEQIS database.

3.   STRATEGIC GOAL THREE

To promote quality and conduct quality assurance in higher education, including enhancing the quality of higher education.

It should be noted that in terms of the Higher Education Act, the quality assurance mandate of the CHE is undertaken by the Higher Education Quality Committee (HEQC), which is a permanent committee of the CHE.

3.1   Strategic Objective Six

To audit the quality assurance mechanisms of higher education institutions.

As previously reported, the HEQC and Council agreed that a new cycle of institutional audits should be held in abeyance in order to enable focused attention to be paid to addressing a key challenge in higher education, that is, the unacceptably poor throughput and drop-out rates. This led to the development of the Quality Enhancement Project (QEP), which focuses on student success, which is conceptualized as increasing the number of graduates with attributes that are personally, professionally and socially valuable. The terms of reference of the Institutional Audits Committee, a sub-committee of the HEQC, were expanded to include the quality assurance of the QEP.

The QEP was launched in 2014 with the release of the *Framework for Institutional Quality Enhancement in the Second Period of Quality Assurance* and the associated implementation process document. It comprises two phases, from 2014-2015 and 2016-2017. In each phase, all institutions are asked to engage with selected focus areas in order to create shared knowledge about what contributes to or what hinders student success. Opportunities are also provided to collaboratively develop ways of addressing challenges to promoting student success. The aim is to enhance the effectiveness both of

individual institutions and the higher education sector as a whole in promoting and achieving student success. For Phase One the focus areas were: enhancing academics as teachers, enhancing student support and development, enhancing the learning environment and enhancing course and programme enrolment management.

On the basis of institutional submissions that provided baseline information on how they were engaging with the four QEP focus areas, a content analysis of activities that public institutions deemed to be successful and those not successful was published as a resource for the sector. In March 2015, two institutional workshops were held to catalyse inter-institutional conversations about what steps could be taken to bring about improvements related to the four focus areas, using the content analysis and institutions' own submissions as starting points. Deputy Vice-Chancellors Academic and Teaching and Learning from public universities have formed a QEP DVCs forum to identify issues arising from the QEP that need to be addressed at national level and to initiate appropriate actions. Institutional reports on progress in relation to the focus areas of Phase One are due at the end of 2015.

A working group on private higher education providers was formed in February 2014. It was agreed that participation in the QEP would be voluntary for PHEIs. Sixty-nine institutions voluntarily participated in a process of submission of data and associated QEP activities such as workshops.

The QEP process encompasses capacity-building activities in areas in which the QEP reveals a need. To this end, two workshops of two days each, facilitated by Dr Thomas Olsson from Lund University in Sweden, and a symposium were held in June 2015 for deans, deputy deans and directors of teaching and learning. These focused on assessment and recognition of university teaching.

The QEP has been planned to run for five years. While in this period comprehensive institutional audits will not be undertaken, this will not preclude the auditing of specific aspects of the higher education system should this be necessary. Furthermore, although the first cycle was completed in mid-2011, there is ongoing monitoring of the institutional audits that remain to be closed where institutions are still in the process of implementing the recommendations emanating from their institutional audit reports.

3.1.1 Annual Plan for 2016-2017

The main focus areas in the 2016/17 year will be:

- First cycle audits: Monitoring of progress reports linked to institutional improvement plans.

- QEP Phase 1: Institutional feedback visits

- Implement Phase 2 of the QEP: Finalisation of the next focus areas in the third quarter.

3.2 Strategic Objective Seven

To accredit new programmes submitted by public and private higher education institutions and to re-accredit existing programmes offered by private higher education institutions.

The accreditation processes are an ongoing activity of the CHE. In recent years, as a result of the replacement of qualifications that cannot be aligned to the HEQSF, the introduction of new programmes in line with the additional qualification types in the HEQSF, new programmes in teacher education in line with the new minimum requirements for teacher education qualifications, and new programmes introduced by the South African Nursing Council, the number of applications for accreditation has increased steadily.

As part of the Department of Higher Education and Training's (DHET) re-registration requirements for private higher education institutions, the CHE undertakes the re-accreditation of their existing programmes on the basis of institutional self-evaluation and peer assessment processes, which include site visits. The process is very intensive, particularly given the number of institutions and programmes that undergo reaccreditation concurrently. Part of the routine activities related to accreditation is the investigation of a large number of complaints related to programme quality received from staff members and students in higher education institutions, the public and other stakeholders such as the DHET, and professional bodies. Some investigations have led to site visits to the institutions, and in some instances to the withdrawal of the accreditation of programmes by the HEQC. The CHE offers guidance and support on programme evaluation and on the HEQSF to professional bodies and to institutions with respect to their applications for accreditation. It also provides training and development of academic peer evaluators, which in 2014/15 included the training of members of the South African Nursing Council, Professional Board for Dental Therapy and Oral Hygiene, and South African Council for the Landscape Architectural Profession (SACLAP).

3.2.1 Annual Plan for 2016/17

The main focus areas in 2016/17 will be:

- Percentage of programmes submitted for accreditation and deferred at the Accreditation Committee meeting and/or an approved outcome or recommendation at the HEQC meetings within 12 months of the start of the check listing process.

- Percentage of re-accredited programmes with a deferred outcome at the Accreditation Committee meeting and/or an approved outcome or recommendation at the HEQC meetings within 18 months of the start of the check listing process.

- Four training workshops to be conducted.

3.3   Strategic Objective Eight

To undertake national reviews of existing programmes in specific subject fields and qualification levels offered by public and private higher education institutions.

The fundamental purposes of national reviews are two-fold: they enable an institution to evaluate a given programme in relation to the national standard for the qualification awarded, and as a specific form of re-accreditation, they ensure that institutions meet minimum quality requirements in the selected programme. National reviews also provide a sector-wide assessment of the state of provision of a certain qualification.

Participating institutions submit a Self-Evaluation Report (SER) of the programme selected for a national review using the national standard and the approved minimum standards and criteria of the CHE. Thereafter, there is a process of peer review and site visits. The peer reports on the process are considered by the National Reviews Committee (NRC), which evaluates the draft reports for comprehensiveness, compliance with all the criteria, and consistency. The HEQC considers the NRC's recommendations, and after due process, makes decisions in respect of the accreditation status of the programmes concerned. The ultimate HEQC decision is final and binding on the institution.

Where institutions have not received full accreditation status, any conditions that might have been applied are monitored. The final stage of a national review is the publication of a national report on the state of provision of the programme under review.

The national review of the Bachelor of Social Work degree

Since the release of the HEQC's decisions on the accreditation of the BSW qualifications assessed in the national review in December 2014, the higher education institutions whose programmes were granted conditional accreditation, and those that were placed on notice of withdrawal of accreditation, have been providing improvement plans in order to meet the conditions stipulated in their respective review reports. Taking into account the improvement plans and the follow-up progress reports, the HEQC revised some of its initial accreditation decisions at its June 2015 meeting.

The BSW programmes of three institutions have been de-accredited. They were requested to submit teach-out plans for their pipeline students, and advised not to admit new students into their current BSW programmes in the 2016 academic year. Furthermore, they were advised to design new BSW programmes and to submit them to the CHE for accreditation. The monitoring of progress on the implementation of improvement and teach-out plans of the BSW programmes concerned will continue until all the conditions as set out by HEQC have been met.

The report on "The State of the Provision of the Bachelor of Social Work in South Africa" is in preparation.

The national review of the Bachelor of Laws (LLB) degree

The national review of the LLB programme commenced in April 2015. The first phase of the national review focused on preparatory work: namely; consultation with key stakeholder groups regarding the scope of the review, the writing of the review proposal, reaching agreement on the minimum standards and criteria for the review, and the selection of the reference group, review panels and chairs, and training workshops for all key stakeholder groups. This phase will be completed in 2015/16.

3.3.1   Annual Plan for 2016/17

The main focus areas will be:

- Phases 1 and 2 of the LLB national review process completed within the review cycle-time (24 – 26 months).

- 100% of the Bachelor of Social Work (BSW) degree progress reports received and processed.

- Phase 3, 40% completion of the national report on the LLB programme.

3.4   Strategic Objective Nine

To promote quality and to develop capacity and understanding of the role of quality assurance in improving quality provision in higher education at both the systemic and institutional levels.

In the past year, the activities relating to quality promotion and capacity-building included the holding of three quality assurance fora, one each with public institutions, statutory professional bodies and private institutions. The purpose of the quality assurance fora is to inform and provide a platform for engagement on developments in the quality assurance activities of the CHE that impact on the providers of higher education. Ten training workshops were held as the need arose to train and retrain evaluators and report/recommendation writers for accreditation and national reviews. These included end-user training for Institutional Administrators for the HEQSF-Category B alignment and the 2014 re-accreditation processes.

In addition, the sixth CHE-HELTASA (Higher Education Learning and Teaching Association of Southern Africa) Teaching Excellence Awards were made at the annual HELTASA conference in November 2014. The purpose of the awards is to signal support for excellence in teaching in higher education and to encourage the professionalisation of teaching and learning in higher education.

Other quality promotion projects in the past year included the following:

- The development and compilation of a good practice guide on short courses: the objective of this project is to promote the management of the quality of short courses in higher education institutions;
- The development of an electronic newsletter: this is an ongoing activity to disseminate and share quality-related information among stakeholders on a regular basis;
- The development of a framework to govern the collaborative work of the CHE/HEQC and professional councils in accreditation and related activities; and
- The facilitation of regional networking, which included participation in two regional events (conference in Zimbabwe and a workshop in Namibia); and the hosting of delegations from higher education and quality assurance agencies from Angola and Kenya.

3.4.1   Annual Plan for 2016/17

The main focus areas for 2016/17 will be:

- 3 quality assurance forums for public and private institutions and professional bodies.

- 2 newsletters produced and distributed to stakeholders.

- 1 framework / good practice guide/policy developed.

4   STRATEGIC GOAL FOUR

To ensure the efficient and effective provision of corporate services – administrative, financial, technical and professional, to support the discharge of the core mandate of the CHE.

4.1   Strategic Objective Ten

To ensure the development of human resources management environment that enables staff to develop their full potential.

The Human Resources division provides the CHE with comprehensive human resources services and gives policy direction and guidelines on strategy in this area to enhance the CHE's productivity. It has continued to make progress in operationalising and giving effect to one of the CHE's key strategic imperatives, namely, to build the CHE's intellectual capability and to ensure that the CHE has the human capacity and capability to execute its mandate and strategy. The Human Resources function is overseen by the Human Resources and Remuneration Committee, which is a sub-committee of the Council.

The focus on ensuring that the CHE has appropriate human capacity and capability has been given effect through a range of interventions in the past year, including the following:

- The improvement of the quality and efficiency of the recruitment and selection processes by aligning them with the CHE's Competency Framework and adopting a competency based approach in this area;
- The introduction of behavioural assessment tools to enhance the attraction, retention and development of employees;
- The introduction of a flexible remuneration framework for levels 13 and higher to ensure the retention of critical skills for the CHE;
- Ongoing staff training and development;
- The conceptualisation and implementation of a team-based organisational culture and diversity management programme that will stimulate professional excellence, personal mastery and leadership; The implementation of an ongoing employee wellness programme;
- The maintenance of a harmonious and stable labour relations environment;

The challenge of attracting and retaining critical skills in a very competitive market remains.

This is largely due to the small size of the organisation which limits the opportunity for career progression in relation to mid-level staff.

3.4.1.1 Annual Plans 2016/17

The main focus areas in 2016/17 will be:

- 70% of staff trained and developed.
- 85% of vacant positions filled.

4.2   Strategic Objective Eleven

To ensure that financial, administration and supply chain management is compliant with the requirements of the Public Finance Management Act (PFMA), relevant Treasury regulations and laws.

4.2.1   Annual Plans 2016/17

The main focus areas for 2016/17 will be:

- Eight reviewed and developed finance and supply chain policies, frameworks, procedures and guidelines.

- 100% of eligible employees, suppliers and third parties paid within 30 days.

4.3   Strategic Objective Twelve

To ensure effective governance and compliance of ICT with statutory requirements.

Information and Communication Technology (ICT) is playing an ever-increasing role as a strategic enabler of service delivery. The primary goal is to provide efficient support to carry out the core functions of the CHE and to ensure compliance and alignment with all the standards, codes, best practice and regulations of the ICT sector.

- It is in this context that the CHE has developed and implemented a comprehensive ICT governance framework in collaboration with the Government Information Technology Officer Council (GITOC).
- Development and reviewing of ICT policies and procedures.
- Development and maintenance of the Records Management Policy, File Plan and procedures.

4.3.1   Annual Plan 2016/17

The main focus area for 2016/17 will be:

- Eight reviewed and developed ICT policies, frameworks, guidelines, procedures and processes.

ANNUAL PERFORMANCE PLAN

PART A: INDICATORS: 2014/15 – 2016/17

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2014/2015	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number One: To provide advice to the minister of Higher Education and Training on all higher education matters on request and on the CHE's own initiative.	Administration	Percentage of responses to requests for advice responded to within the timeframe requested.	0	100% 5	100% 2	100% of requests received	100% of requests received	100% of requests received	100% of requests received	The number responses cannot be predetermined as it is dependent on the number of requests received from the Minister.
		Number of pieces of advice on own initiative on issues identified as relevant flowing from the activities of the CHE.	1	1	2	1	2	2	2	Advice in subsequent years will be determined annually based on an assessment of the key issues in higher education and on the outcomes of research initiated.
Number Two: To monitor the state of higher education, including publishing information and convening conferences, seminars and workshops on developments in higher education.	Monitoring and Evaluation	Performance Indicators (on-going projects) published.	1	1	1	1	1	1	1	Performance indicators to assess the state of the higher education system.
		Number of research projects in progress.	2	2	4	4	4	4	4	A detailed research agenda was developed for implementation from 2012/13. These projects are long-term projects which will run throughout the year with possible overlap. The cumulative total will remain constant at 4.
		Projects initiated. **From 2013/2014 the two performance indicators were combined to read Projects in progress.**	1	3						
		Number of research findings disseminated through publications.	4	2	2	2	2	2	2	Publication of research reports.

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2015/2016	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Three: To develop and manage the HEQSF, including the articulation of qualifications between the three sub-frameworks, namely, the HEQSF, the General and Further Education and Training Qualifications Sub-Framework and the Trades and Occupations Qualifications Sub-Framework. .	Programme Accreditation	Percentage of programmes aligned with the HEQSF with an HEQC outcome.	100% 2519 assessed 320 received	0% Category B	100% Category B	20% of remaining Category B programmes submitted	n/a	n/a	n/a	HEQC minutes.
	From 2016/17 Administration	Submissions made on CHE's perspective on articulation as per the Ministerial Guidelines.	n/a	n/a	n/a	n/a	100%	100%	100%	Documentation
Number Four: To develop and implement policy and standards for higher education qualifications to inform and guide the development, registration and publication of qualifications.	Standards Development Review Framework	Development of templates for qualification types (QT) and field/subject specific standards (FS).	2	n/a	0	n/a	n/a	n/a	n/a	Two templates have been developed – one for diplomas and one for degrees.
		Number of pilot qualification standards developed	0	0 (6 pilots – 3QTV and 3FS in process)	5	n/a	n/a	n/a	n/a	Publication of draft pilot standards for comment. Qualification types (QT) Field/subject specific standards (FS).
		Number of qualification standards developed within the standards development cycle-time (18 -24 months)	n/a	n/a	0	4	4	4	4	Discipline Standards Working Groups (DSWG) appointed Workshops with DSWG-Agenda and Attendance registers Draft Standards statements at different stages of development((Versions) Publication of draft standards for public comment. Registered qualification standard statements.

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2014/2015	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Five: To maintain a database of learner achievements in higher education and to submit the data to the National Learners' Records Database (NLRD), which is maintained by SAQA.	Monitoring and Evaluation	Percentage of private higher education providers submitting learner records/ achievements for the HEQCIS database.	81% of private higher education providers	98% 114 private higher education providers uploaded information	99% 114 private higher education provider uploaded information	80% of private higher education providers	80% of private higher education providers	80% of private higher education providers	80% of private higher education providers	The changing number of private higher education providers, in particular, small providers with limited capacity, makes it difficult to obtain full compliance.

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2015/2016	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Six: To audit the quality assurance mechanisms of higher education institutions. *In 2011/2 a decision was taken to change the focus from institutional audits and to focus on improving teaching and learning through the Quality Enhancement Project (QEP)*	Number Six	First cycle audits. Monitoring of progress reports linked to institutional improvement plans	2	100% 3 audits were closed and 6 continue to be monitored	100% 2 audits were closed and 4 continue to be monitored	100% monitoring of all progress reports received	100% monitoring of all progress reports received	100% monitoring of all progress reports received	n/a	Progress reports received. IAC minutes.
		Development of framework for institutional quality enhancement of teaching and learning.	0	1	n/a	n/a	n/a	n/a	n/a	Completed framework. HEQC minutes.
		Implement quality enhancement framework	n/a	n/a	100%	n/a	n/a	n/a	n/a	Documentation from activities.
		Submission of Institutional Reports on the QEP focus area	n/a	n/a	n/a	23	n/a	n/a	n/a	Reports
		Synthesis of results from QEP Phase 1 focus areas based on the institutional baseline data submitted	n/a	n/a	n/a	1	n/a	n/a	n/a	Publication
		3 workshops for institutions to discuss synthesised report of baseline data linked to QEP focus areas	n/a	n/a	n/a	3	n/a	n/a	n/a	Workshop documentation
		QEP institutional feedback visits	n/a	n/a	n/a	n/a	18	n/a	n/a	Reports
		Implement phase 2 of the QEP - finalisation of the revised focus areas in the third quarter.	n/a	n/a	n/a	n/a	100%	n/a	n/a	QEP activities as determined by the QEP process. Directorate documentation

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2015/2016	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Seven: To accredit new programmes submitted by public and private higher education institutions and to re-accredit existing programmes offered by private higher education institutions.	Programme Accreditation	Percentage of programmes submitted for accreditation and deferred at the Accreditation Committee meeting and/or an approved outcome or recommendation at the HEQC meetings within 12 months of the start of the check listing process.	95% 288 programmes recommended 302 received	93% 398 decisions	76% 324 programmes	75% of applications received	75% of applications received	75% of applications received	75% of applications received	Accreditation and HEQC minutes The number of applications received varies annually. Targets have been revised to 75% because applications received in one financial year may be still in process of evaluation and may only be submitted to the HEQC in the following financial year. The average time to process an application is twelve months. Reasons for the deferral of the applicant can be: Request for more information. Appointment of a second evaluator Deferral pending the outcome of a site visit.
		Percentage of re-accredited programmes with a deferred outcome at the Accreditation Committee and/or recommendation tabled after receipt from publics and private institutions within 18 months of the start of the check listing process.	88% 66 programmes recommended 75 received	100%	49% 53 programmes	60% of applications received	60% of applications received	60% of applications received	60% of applications received	Accreditation and HEQC minutes. The number of programmes to be re-accredited varies annually. The programme self-evaluation reports as well as site visits must be evaluated as a unit per institution. Performance Indicator sharpened to include realistic timeframe. Reasons for the deferral of the applicant can be: Request for more information. Appointment of a second evaluator. Deferral pending the outcome of a site visit

		Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2015/2016	Target 2015/2016	Target 2016/2017	Target 2017/2018
		Number of training workshops conducted	0	8	7	2	4	4	4	A number of capacity development workshops are planned on an ad hoc basis to meet sector needs. A minimum of four workshops will be held each year.

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2014/2015	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Eight: To undertake national reviews of existing programmes in specific subject fields and qualification levels offered by public and private higher education institutions.	Institutional Audits	Development of national reviews framework and manual.	1	n/a	n/a	n/a	n/a	n/a	n/a	Approved framework and manual.
		Conducting site visits for the national review – of Bachelor of Social Work programmes:	0	100% 19	n/a	n/a	n/a	n/a	n/a	Site visit reports. The number of site visits will depend on the number of institutions that offer the programme and qualification under review.
		Draft reports: Bachelor of Social Work programmes	0	100%	0	100% of draft reports completed after site visits	n/a	n/a	n/a	HEQC Minutes
		Finalisation of National report on Bachelor of Social Work programme.	0	n/a	0	1	n/a	n/a	n/a	State of social work report published. Will be finalised in 2014/15 and presented to the HEQC.
		Analyse and approve institutional improvement plans - Bachelor of Social Work programme	n/a	n/a	0	100% of institutional progress reports monitored	100% of institutional progress reports monitored	100% of institutional progress reports monitored	n/a	The number of institutional improvement plans submitted and progress reports monitored will depend on the HEQC decision on the outcomes of the national review.
		Development of agreed criteria to guide the national review of the LLB	n/a	n/a	0	14	n/a	n/a	n/a	LLB academics agree on criteria to conduct review of LLB.
		Site visits by peer panels to evaluate the LLB offered by higher education institutions.	n/a	n/a	0	100%	n/a	n/a	n/a	Site visit reports.
		Number of training workshops for evaluators/ for chairs of panels.	1	2	0	4	n/a	n/a	n/a	Workshop documentation.
		Phases of the national review process completed within the	1	n/a	n/a	n/a	2	n/a	n/a	Phase 1 – Stakeholder consultation

		review cycle-time (24-26 months) LLB degree programme review started in 2015/16 on-going								completed. (Review scope, proposal, reference group, panels, review manual and minimum criteria approved) and training workshops conducted– HEQC Minutes and training material Phase 2- Site visits completed and draft reports submitted for approval by HEQC.
		Processing the Bachelor of Social Work (BSW) degree progress reports received.	n/a	n/a	n/a	n/a	100% of received reports.	n/a	n/a	Progress reports received are submitted to the NRC for evaluation and HEQC for approval. NRC and HEQC minutes.
		National report on the programme under review published (LLB degree programme)	n/a	n/a	n/a	n/a	40%	n/a	n/a	Phase 3 – Report writing team constituted and gathering and analysis of data started

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2014/2015	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Nine: To promote quality and to develop capacity and understanding of the role of quality assurance in improving quality provision in higher education at both the systemic and institutional levels.	Administration	Number of quality assurance forums for public and private institutions and professional bodies.	6	4	2	3	3	3	3	Workshop documentation.
		Number of newsletters produced and distributed to stakeholders.	n/a	n/a	n/a	n/a	2	4	4	Copies of the newsletter
		Number of frameworks/good practice guides/policies developed					1	1	1	Copies of the frameworks/good practice guides/policies
Number Ten: To ensure the development of human resources management environment that enables staff to develop their full potential.	Administration	Percentage of staff trained and developed	57%	50% 30 training interventions	68% 53 training interventions	70% of staff undergoing training and development.	70% of staff undergoing training and development.	70% of staff undergoing training and development.	70% of staff undergoing training and development.	Training attended. Implementation of the skills plan.
		Percentage of vacant positions filled.	100%	87%	90%	85% of organisational structure filled.	85% of organisational structure filled.	85% of organisational structure filled.	85% of organisational structure filled.	Quarterly Vacancy Report.
Number Eleven: To ensure that financial, administration and supply chain management is compliant with the requirements of the PFMA, relevant Treasury regulations and laws.	Administration	Number of reviewed and developed finance and supply chain policies, frameworks, procedures and guidelines.	n/a	n/a	100%	100%	8	8	8	Approved/Signed policies
		Percentage of eligible employees, suppliers and third parties paid within 30 days	n/a	n/a	n/a	n/a	100%	100%	100%	Availability of payments reports

Strategic Objective	Programme	Performance Indicator	Audited Baseline 2012/2013	Audited Baseline 2013/2014	Audited Baseline 2014/2015	Target 2015/2016	Target 2016/2017	Target 2017/2018	Target 2018/2019	Evidence Comments
Number Twelve: To ensure effective governance and compliance of ICT with statutory requirements.	Administration	Development and implementation of an ICT Framework.	n/a	n/a	n/a	100%	n/a	n/a	n/a	Framework completed.
		Number of reviewed and developed ICT policies, frameworks, guidelines, procedures and processes.	n/a	n/a	n/a	n/a	8	n/a	n/a	Policies and processes completed

PART B: ANNUAL PERFORMANCE PLAN QUARTERLY INDICATORS: 2016/17

Strategic Objective	Programme	Performance indicator	Annual target 2016 - 2017	2016 – 2017				
				April – June 2016	July – September 2016	October – December 2016	January – March 2017	Evidence / Comment
Number One: To provide advice to the Minister of Higher Education and Training on all higher education matters on request and on the CHE's own initiative.	Administration	Percentage of responses to requests for advice responded to within the timeframe requested.	100%	100% of requests received	100% of requests received	100% of requests received	100% of requests received	The number responses cannot be predetermined as it is dependent on the number of requests received from the Minister.
		Number of pieces of advice on own initiative on issues identified as relevant flowing from the activities of the CHE.	2	1	1	0	0	Advice in subsequent years will be determined annually based on an assessment of the key issues in higher education and on the outcomes of research initiated.
Number Two: To monitor the state of higher education, including publishing information and convening conferences, seminars and workshops on developments in higher education.	Monitoring and Evaluation	Performance Indicators (on-going projects) published.	1	0	0	0	1	Performance indicators to assess the state of the higher education system.
		Number of research projects in progress.	4	4	4	4	4	These projects are long-term projects which will run throughout the year. The cumulative total will remain constant at 4.
		Number of research findings disseminated through publications.	2	0	0	1	1	Publication of research reports.
Number Three: To develop and manage the HEQSF, including the articulation of qualifications between the three sub-frameworks, namely, the HEQSF, the General and Further Education and Training Qualifications Sub-Framework and the Trades and Occupations Qualifications Sub-Framework.	Administration	Submissions made on CHE's perspective on articulation as per the Ministerial Guidelines.	100%	0%	100%	0%	0%	Documentation

Strategic Objective	Programme	Performance indicator	Annual target 2016 - 2017	2016 – 2017				Evidence / Comment
				April – June 2016	July – September 2016	October – December 2016	January – March 2017	
Number Four: To develop and implement policy and standards for higher education qualifications to inform and guide the development, registration and publication of qualifications.	Standards Development	Number of qualification standards developed within the standards development cycle-time (18 -24 months) Projects initiated in 2015/16	4	0	0	0	4	Discipline Standards Working Groups (DSWG) appointed Workshops with DSWG- Agenda and Attendance registers Draft Standards statements at different stages of development((Versions) Publication of draft standards for public comment. Approval Registered qualification standard statements
Number Five: To maintain a database of learner achievements in higher education and to submit the data to the National Learners' Records Database (NLRD), which is maintained by SAQA.	Monitoring and Evaluation	Percentage of private higher education providers submitting learner records/ achievements for the HEQCIS database.	80% of private higher education providers	80% of private higher education providers	80% of private higher education providers	80% of private higher education providers	80% of private higher education providers	The changing number of private higher education providers, in particular, small providers with limited capacity, makes it difficult to obtain full compliance.
Number Six: To audit the quality assurance mechanisms of higher education institutions. *In 2011/2 a decision was taken to change the focus from institutional audits and to focus on improving teaching and learning through the Quality Enhancement Project (QEP)*	Institutional Audits	First cycle audits. Monitoring of progress reports linked to institutional improvement plans.	100% monitoring of all progress reports received.	100% monitoring of all progress reports received.	100% monitoring of all progress reports received.	100% monitoring of all progress reports received.	100% monitoring of all progress reports received.	Progress reports received. IAC minutes.
		QEP Phase 1 - institutional feedback visits	18	6	6	6	0	QEP activities as determined by the QEP process. Directorate documentation **B**ecause of the student protests it has not been possible to schedule 8 visits in the fourth quarter of the 2015-6 financial year, as originally planned. It is expected that there will be continued instability at a number of institutions over the next few months. The schedule has therefore been revised.

Strategic Objective	Programme	Performance indicator	Annual target 2016 - 2017	2016 – 2017				
				April – June 2016	July – September 2016	October – December 2016	January – March 2017	Evidence / Comment
		Implement phase 2 of the QEP - finalisation of the next focus areas in the third quarter.	100%	0%	0%	100%	0%	Directorate documentation Although Phase 2 was due to begin in 2016, DVCs indicated that due to the student protests they will not be ready to engage with a new set of focus areas until 2017. Furthermore, they indicated that before finalising the new focus areas they need to interact with their students over the next few months in order to ensure that the focus areas are relevant to the current context. The final formulation will therefore be done in the third quarter of the financial year.
Number Seven: To accredit new programmes submitted by public and private higher education institutions and to re-accredit existing programmes offered by private higher education institutions.	Programme Accreditation	Percentage of programmes submitted for accreditation and deferred at the Accreditation Committee meeting and/or an approved outcome or recommendation at the HEQC meetings within 12 months of check listing.	75%	75%% of applications received within a 12 month period	75% of applications received within a 12 month period	75% of applications received within a 12 month period	75% of applications received within a 12 month period	Applications received in one quarter may be still in process of evaluation and may only be submitted to the HEQC in the following quarter. The current 100% is unrealistic and unachievable as there is always a carryover of programmes from one quarter to the next. It happens that some programmes tabled at an Accreditation Committee meeting are deferred back to the institution for further input. This process delays the finalisation of the accreditation process. A list of deferrals will be inserted in the HEQC agenda.
		Percentage of re-accredited programmes with a deferred outcome at the Accreditation Committee and/or recommendation tabled after receipt from publics and private institutions within 18 months of check listing.	60%	60% of applications received for reaccreditation 2012/2013	60% of applications received for reaccreditation 2012/2013	60% of applications received for reaccreditation 2013/2014	60% of applications received for reaccreditation 2013/2014	Applications received in one quarter may be still in process of evaluation and may only be submitted to the HEQC in the following quarter. The current 100% is unrealistic and unachievable as there is always a carryover of programmes from one quarter to the next. The number of programmes to be re-accredited varies annually. The programmes, self-evaluation reports as well as site visits must be evaluated as a unit per institution. Performance Indicator sharpened to include realistic timeframe. It happens that some programmes tabled at an Accreditation Committee meeting are deferred back to the institution for further input. This process delays the finalisation of the accreditation process. A list of deferrals will be inserted in the HEQC agenda. Reasons for the deferral of the application can be: Request for more information Appointment of a second evaluator Deferral pending the outcome of a site visit

Strategic Objective	Programme	Performance indicator	Annual target 2016 - 2017	2016 – 2017				
				April – June 2016	July – September 2016	October – December 2016	January – March 2017	Evidence / Comment
		Percentage of site visits completed with an HEQC outcome / recommendation within in the stipulated time period as indicated in the outcomes letter	75% of applications received	75% of applications received	75% of applications received	75% of applications received	75% of applications received	The number of applications received varies annually and site visits cannot be predetermined as they are mainly linked to conditions. Applications received in one financial year may be still in process of evaluation and may only be submitted to the HEQC in the following financial year pending the timeframe linked to the condition. Site visits can also be done due to complaints received.
		Number of training workshops for evaluators discipline groups/report writing	4	1	1	1	1	A number of capacity development workshops are planned on an ad hoc basis to meet sector needs. A minimum of four workshops will be held each year.
Number Eight: To undertake national reviews of existing programmes in specific subject fields and qualification levels offered by public and private higher education institutions.	National Reviews	Phases 1 and 2 of the national review process completed within the review cycle-time (24-36 months) LLB degree programme review started in 2015/16	2	1	0	1	0	Phase 1 – Stakeholder consultation completed. (Review scope, proposal, reference group, panels, review manual and minimum criteria approved) and training workshops conducted– HEQC Minutes and training material Phase 2- SER received from the institutions and Site visits completed.
		Number of Bachelor of Social Work (BSW) degree progress reports received and processed (linked to the BSW national review)	100% progress reports received	n/a	n/a	n/a	100%	Progress reports received are submitted to the NRC for evaluation and HEQC for approval. NRC and HEQC minutes
		Phase 3: National report on the programme under view published(LLB degree programme)	40%	N/a	n/a	n/a	40%	Phase 3 – Report writing team constituted and gathering and analysis of data started
Number Nine: To promote quality and to develop capacity and understanding of the role of quality assurance in improving quality provision in higher education at both the systemic and institutional levels.	Administration	Number of quality assurance forums for public and private institutions and professional bodies.	3	0	3	0	0	Workshop documentation.
		Number of newsletters produced and distributed to stakeholders.	2	1	0	1	0	Copies of the newsletter

Strategic Objective	Programme	Performance indicator	Annual target 2016 - 2017	2016 – 2017				
				April – June 2016	July – September 2016	October – December 2016	January – March 2017	Evidence / Comment
		Number of frameworks/good practice guides/policies developed	1	0	0	0	1	Copies of the frameworks/good practice guides/policies
Number Ten: To ensure the development of human resources management environment that enables staff to develop their full potential.	Administration	**Percentage of staff trained and developed**	70% of staff undergoing training and development.	10% of staff undergoing training and development	30% of staff undergoing training and development	20% of staff undergoing training and development	10% of staff undergoing training and development	Planned training vs Actual Training Training Reports.
		Percentage of vacant positions filled.	85% of organisational structure filled.	85% of organisational structure filled.	85% of organisational structure filled.	85% of organisational structure filled.	85% of organisational structure filled.	Quarterly Employment Profile Report.
Number Eleven: To ensure that financial, administration and supply chain management is compliant with the requirements of the PFMA, relevant Treasury regulations and laws.	Administration	Number of reviewed and developed finance and supply chain policies, frameworks, procedures and guidelines.	8	2	2	2	2	Approved/Signed policies
		Percentage of eligible employees, suppliers and third parties paid within 30 days	100%	100%	100%	100%	100%	Availability of payments reports
Number Twelve: To ensure effective governance and compliance of ICT with statutory requirements.	Administration	Number of reviewed and developed ICT policies, frameworks, guidelines, procedures and processes.	8	2	2	2	2	Policies and processes completed.

PART C: MEDIUM-TERM EXPENDITURE FRAMEWORK (MTEF), BUDGET AND ESTIMATES; 2016/17 – 2018/19, EXPENDITURE TRENDS

EXPENDITURE ESTIMATES

TABLE 1

Income	Audited outcomes			Adjusted Appropriation	Medium-Term expenditure estimates		
	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019
Private Accreditation – Cost Recovery	3,474	3,861	3,549	4,000	4,000	4,000	4,000
Realisation of Deferred transfer – New Mandate Standards Development	1,109	1,297	1,239	2,177	508		
Other Income (Interest, rental income, etc)	881	812	1,263	850	850	850	850
Subtotal	**5,464**	**5,970**	**6,051**	**7,027**	**5,727**	**4,850**	**4,850**
Transfer from the DHET	39,993	41,888	42,689	40,819	40,928	47,948	50,726
Rollover of funds		13,854	12,971				
Total	**45,457**	**61,712**	**61,711**	**47,846**	**46,285**	**52,798**	**55,576**

TABLE 2

Economic classification	Audited outcomes			Adjusted Appropriation	Medium-Term expenditure estimates		
	2012/2013	**2013/2014**	**2014/2015**	**2015/2016**	**2016/2017**	**2017/2018**	**2018/2019**
Current payments	**40,586**	**50,762**	**49,740**	**47,846**	**46,285**	**52,796**	**55,576**
Compensation of employees	19,097	23,476	24,999	27,394	29,309	31,323	33,554
Goods and services of which							
Administration	5,979	8,072	8,154	11,123	6,676	11,029	11,577
Computer services	1,487	4,854	4,854	1,627	958	682	628
Consultants, contractors and special services	6,773	3,438	3,438	2,102	2,069	2,068	2,141
Maintenance repair and running cost	1,584	2,193	1,036	783	1,149	1,206	1,000
Staff development	1,557	1,230	1,230	358	1,444	1,516	1,587
Travel and subsistence	2,362	3,943	3,943	3,618	3,798	4,045	4,162
Financial transactions in assets and liabilities	281	278	278				
Payment for capital assets							
Buildings	181	755	200	210	221	232	232
Machinery and equipment	500	1,446	963	473	496	521	521
Software and other intangible assets	785	1,077	645	158	165	174	174
Total	**40,586**	**50,762**	**49,740**	**47,846**	**46,285**	**52,796**	**55,576**

TABLE 3

Operational level	Audited outcomes			Appropriation	Medium-term expenditure estimate		
	2012/2013	2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019
1. Administration	18,810	19,491	25,814	20,826	22,898	24,589	23,524
2. Monitoring and Evaluation	3,481	6,854	6,159	6,284	5,934	6,855	7,817
3.ED: Quality Assurance: From 2014/15 Quality Assurance and Promotion Co-ordination	3,160	4,055					
4. Institutional audits	2,763	4,559	4,606	5,708	4,465	5,301	6,173
5. Accreditation	9,419	11,873	10,013	8,909	7,439	9,603	10,676
6. National Reviews	1,844	2,332	1,909	6,119	5,549	6,448	7,386
7. Standards Development	1,109	1,597	1,239				
Total	**40,586**	**50,761**	**49,740**	**47,846**	**46,285**	**52,796**	**55,576**

PART D: EXPENDITURE TRENDS

The following points should be noted:

Administration

An increase is a result of the contractual obligations payments that are centralised under Corporate Services such as building maintenance, water and electricity, security services, rates payment, garden services, cleaning services, support maintenance, website development, system development, operating lease payments, telephone payments and insurance payments. The administration directorate comprises of office of the CEO and Corporate Services. The number of employees is more compared to other directorates and results in more payments made on compensation of employees compared to other directorates.

Monitoring and Evaluation

The decrease is due to the 10% budget reduction and this affected the following projects: advising the Minister; HEQCIS, research and monitoring. The budget was cut to ensure that the overall decrease in the budget did not adversely impact on the CHE's quality assurance functions. The directorate will be forced to reprioritise its projects so that their budget is within the budget baseline and this will result in some projects not implemented.

Institutional Audits

The decrease is due to the 10% budget reduction and this affected the following projects: less conferences, workshops, events, research, analysis and publications for quality enhancement project, less institutional audit committee meetings, and less institutional visits and group meetings. The directorate will be forced to reprioritise its projects so that their budget is within the budget baseline and this will result in some projects not implemented.

Accreditation

The decrease in the expenditure due to the 10% budget reduction and this affected the implementation of the following projects: capacity development, re-accreditation, special projects and accreditation. The directorate will be forced to reprioritise its projects so that their budget is within the budget baseline.

National Reviews

The National Reviews and Standards Development operations (Directorates) have been merged into one Directorate called National Standards and Reviews effective April 2015.The integration was due to the work of the two directorates being closely linked and the combination has brought about a more effective and efficient structure. This integration has also helped address budget pressures as the number of staff required has been reduced with one director heading the combined operation rather than the two directors in the previous structure.

There was a deficit on the allocated budget in the 2013/14 financial year, which was covered by roll-over funds from previous years as well as increased revenue received from the accreditation of programmes from private institutions. The main reason for the deficit is the fact that for the past three years there has been cuts in the MTEF allocation, while personnel costs have continued to increase as a result of the salary increases in the public service.

The current allocated budget for 2015/16 was not sufficient and as a result some expense items are currently under budgeted for and more significantly some projects were put on hold pending the approval of roll over. This trend is forecast to continue and as the rollover funds are depleted will result in the CHE being unable to discharge it full mandate.

PART E: TECHNICAL INDICATORS: 2016/17

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
Number One: To provide advice to the Minister of Higher Education and Training on all higher education matters on request and on the CHE's own initiative.	Administration	Percentage of responses to requests for advice responded to within the timeframe requested.	Formal document produced in response to request for advice on a particular issue.	To indicate the Council's responsiveness to requests for advice	Final documents approved by Council to be sent as advice to the Minister	Response will be 100%.	The number of responses cannot be predetermined as it is dependent on the number of requests received from the Minister.	Output	Cumulative	Quarterly	No	Advice provided in response to requests from the Minister	Chief Executive Officer Prof Narend Baijnath
		Number of pieces of advice on own initiative on issues identified as relevant flowing from the activities of the CHE	Formal document offering advice to Minister on the basis of research /experience on a relevant matter to HE	To indicate the carrying out of Council's advisory role	Advice document approved by Council to be sent to the Minister	Number	N/A	Output	Cumulative	Quarterly	No	At least one piece of advice per annum provided to Minister arising from CHE's projects.	Chief Executive Officer Prof Narend Baijnath
Number Two: To monitor the state of higher education, including publishing information and convening conferences, seminars and workshops on developments in higher education.	Monitoring and Evaluation	Performance Indicators (on-going projects) published.	The collation and publishing of relevant data on the HE system for the purposes of ongoing monitoring.	To indicate that the monitoring of the HE system is taking place	Collation of relevant data from various sources including external databases	Number		Output	Non-cumulative	Annual	No	Annual publication of relevant data on HE system	Director Monitoring and Evaluation Dr Denyse Webbstock
		Number of research projects in progress.	Number of projects being undertaken into aspects of the HE system	To indicate the research being undertaken to inform the CHE's monitoring function	Project-related documents in Directorate	Number	Research projects are usually long-term and may span financial years	Activities	Non-cumulative	Annual	No	Four research projects in progress at any one time.	Director Monitoring and Evaluation Dr Denyse Webbstock

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
		Number of research findings disseminated through publications.	Dissemination of research through publications	To indicate the research activity of the Directorate that has reached dissemination stage.	Printed/ electronic Publication.	Number		Output	Cumulative	Quarterly	No	Publishing and disseminating research findings.	Director Monitoring and Evaluation Dr Denyse Webbstock
Number Three: To develop and manage the HEQSF, including the articulation of qualifications between the three sub-frameworks, namely, the HEQSF, the General and Further Education and Training Qualifications Sub-Framework and the Trades and Occupations Qualifications Sub-Framework.	Administration	Submissions made on CHE's perspective on articulation as per the Ministerial Guidelines.	Participation and comment on policy development	Compliance with the Ministerial Guidelines 2016/17	Consultation where necessary.	Number		Output	Non cumulate	Quarterly	Yes	Advice/ guidelines formulated as necessary.	Chief Executive Officer Prof Narend Baijnath

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
Number Four: To develop and implement policy and standards for higher education qualifications to inform and guide the development, registration and publication of qualifications.	Standards Development	Number of qualification standards developed within the standards development cycle-time (18 -24 months)	A formal document produced from a standards development process	To provide a national benchmark for qualifications	Various sources, including academic discipline experts	Number	The process is lengthy and requires several iterations to the draft before approval. It is not easy to determine how long the process will be completed... Medium-term project spans over 2 financial years	Output	Cumulative	Annual	No	At least 4 Standard Statements published per cycle time (18-24 months)	Director Standards Setting and National Reviews Ms Olivia Mokgatle
		Number of standards developed	To develop standards	To expand the development of standards for a broad range of qualification types	Working reference groups	Number		Output	Cumulative	Quarterly	No	Standards developed for all qualification types on the HEQSF	Director Standards Setting and National Reviews Ms Olivia Mokgatle
Number Five: To maintain a database of learner achievements in higher education and to submit the data to the National Learners' Records Database (NLRD), which is maintained by SAQA.	Monitoring and Evaluation	Percentage of private higher education providers submitting learner records/ achievements for the HEQCIS database.	Maintaining a database of learner records/achievements.	To ensure that private providers submit their learner records/achievements to the NLRD.	SAQA NLRD report	Total number of institutions actively participating over the total number of registered institutions	No control of percentage of private higher education providers who complete uploads.	Output	Non-Cumulative	Bi-annual Annual	No	100% of private higher education providers uploading data.	Director Monitoring and Evaluation Dr Denyse Webbstock

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
Number Six: To audit the quality assurance mechanisms of higher education institutions. *In 2011/2 a decision was taken to change the focus from institutional audits and to focus on improving teaching and learning through the Quality Enhancement Project (QEP)*	Institutional Audits	QEP institutional feedback visits	QEP institutional feedback visits	To provide feedback to institutions	From reports	n/a	n/a	Output	Cumulative	Once-off	Yes	100% of institutions agreeing to the visits	Director Institutional Audits Prof Diane Grayson
		Implement phase 2 of the QEP - finalisation of the revised focus areas in the third quarter.	Implement phase 2 of the QEP - finalisation of the revised focus areas in the third quarter.	To ensure continuation of the process	IAC and HEQC minutes	n/a	n/a	Output	Cumulative	On-going	Yes	All activities completed	Director Institutional Audits Prof Diane Grayson
Number Seven: To accredit new programmes submitted by public and private higher education institutions and to re-accredit existing programmes offered by private higher education institutions.	Accreditation of new programmes submitted by public and private higher education institutions.	Percentage of programmes submitted for accreditation and deferred at the Accreditation Committee meeting and/or an approved outcome or recommendation at the HEQC meetings within 12 months of check listing.	Processing and accreditation of programmes	Measuring progress in processing and accrediting programmes submitted by higher education institutions.	HEQC minutes	Number of programmes with a HEQC recommendation within 12 months over total number of programmes received.	Applications received in one financial year may still be in process of evaluation and may only be submitted to the HEQ in the following financial year. The average time to process an application is six months.	Outputs	Cumulative	Quarterly	No – wording of indicator amended. Deferrals included.	Accreditation of programmes of meeting minimum standards	Director Programme Accreditation Prof Kethamonie Naidoo
	Re-accreditation of programmes offered by private higher education institutions.	Percentage of re-accredited programmes with a deferred outcome at the Accreditation Committee and/or recommendation tabled after receipt from publics and	Processing and re-accreditation of programmes.	Measuring progress in processing and re-accrediting of programmes of private providers due for re-registration	HEQC minutes	Number of programmes with a HEQC recommendation within 18 months over total number of	Number of programmes to be re-accredited varies annually.	Output	Cumulative	Quarterly	No – wording of indicator amended. Deferrals included.	Re-accreditation of programmes meeting minimum standards to facilitate the re-registration of private	

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
		private institutions within 18 months of check listing.				programmes received.						providers.	
	Site visits	Percentage of site visits completed with an HEQC outcome within one year of informing the institution.	Site visits linked to the accreditation and re-accreditation of programmes and complaints.	To assess whether programmes offered meet the accreditation criteria and minimum standards.	HEQC minutes	Number of site visits with a HEQC recommendation within one year over total number of site visits requested.	The number of applications received varies annually.	Output	Cumulative	Quarterly	No – wording of indicator amended	Accreditation and re-accreditation of programmes meeting minimum standards.	
	Training for programme accreditation and re-accreditation.	Number of training workshops for new and re-training of current evaluators and report writers.	Training of evaluators and report writers	To train evaluators and report writers .to facilitates the accreditation and re-accreditation processes.	Workshop documentation	Number		Activity	Cumulative	Quarterly	No	Trained evaluators and report writers to facilitate the accreditation and re-accreditation processes.	
Number Eight: To undertake national reviews of existing programmes in specific subject fields and qualification levels offered by public and private higher education institutions.	National Reviews	National review process completed within the review cycle-time (24-36 months)LLB degree programme review started in 2015/16	A process for national re-accreditation of existing programmes	Assessing progress and pace of re-accreditation of existing programmes	National review related documents and NRC and HEQC minutes, various sources.	n/a	The national review process is medium-long-term and span over two financial years	Activity	Cumulate	Annual	No	All existing programmes maintain their accreditation status	Director Standards Setting and National Reviews Ms Olivia Mokgatle
		Processing the Bachelor of Social Work (BSW) degree progress reports received (linked to the BSW national review)	Cycle time from submission of progress reports by institutions to feedback from the HEQC.	Measuring progress in processing improvement plans and closing of previous reviews. Monitoring HEQC post review response to close the quality loop.	Institutional submissions and/or follow-up site visits reports	n/a	Dependent on when institutions submit progress reports and availability of review panels for the site visits	Activity	Cumulative	Quarterly	Yes	Closing of outstanding BSW improvement plans	Director Standards Setting and National Reviews Ms Olivia Mokgatle

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
		National report on the programme under view published(LLB degree programme)	A formal document produced to indicate the state of provision of and trends in Legal education and training in South Africa.	To indicate the state of legal education and training in South Africa.	Various sources: Individual self-evaluation reports and site visit reports and HEMIS data and	n/a	The national review process is medium-long-term and spans over two financial years. The reports depend on the pace of the national review process.	Output	Cumulative	Annual	No	Report published and distributed nationally.	Director Standards Setting and National Reviews Ms Olivia Mokgatle
Number Nine: To promote quality and to develop capacity and understanding of the role of quality assurance in improving quality provision in higher education at both the systemic and institutional levels.	Administration	Number of quality assurance forums for public and private institutions and professional bodies.	Fora for dissemination of information on quality assurance and promotion.	To share information and enhance awareness of quality assurance processes, as well build capacity to facilitate quality assurance in institutions.	Workshop documentation	n/a	n/a	Activity	Cumulative	Quarterly	No	To contribute to improving quality assurance processes in institutions.	Director Quality Assurance and Promotion Co-ordination (in the CEO's office) Dr Amani Saidi
		Number of newsletters produced and distributed to stakeholders.	Newsletter	To share information and enhance awareness of quality assurance processes, as well build capacity to facilitate quality assurance in institutions.	Newsletters	n/a	n/a	Output	Cumulative	B- annually	Yes	To contribute to improving quality assurance processes in institutions.	
		Number of frameworks/good practice guides/policies developed	Frameworks/ good practice guides/policies developed	To disseminate information	Frameworks/ good practice guides/policies developed	n/a	n/a	Output	Cumulative	As needed	Yes	To contribute to improving quality assurance processes in institutions.	
Number Ten: To ensure the development of human	Administration	**Percentage of staff trained and developed**	Staff training and development.	To ensure that the CHE has appropriate human capacity	Training Plan	Number of interventions attended divided by number of	n/a	Output	Cumulative	Quarterly	No	To build the skills and knowledge base of the CHE.	Director Corporate Services Ms Vuyo Matsam

Strategic Objective	Programme	Indicator Title	Short definition	Purpose of indicator	Source/ collection of data	Method of calculation	Data limitations	Type of indicator	Calculation type	Reporting cycle	New indicator	Desired performance	Indicator Responsibility
resources management environment that enables staff to develop their full potential.				and capability.		training interventions on training plan multiply by 100.							
		Percentage of vacant positions filled.	Filling of vacant positions.	To minimise vacancies at the CHE.	Human Resources documentation.	Filled positions divided by the number of approved positions in the staff structure multiplied by 100.		Output	Non-cumulative	Quarterly	No	To enable the CHE to operate optimally in the discharge of its mandate.	Director Corporate Services Ms Vuyo Matsam
Number Eleven: To ensure that financial, administration and supply chain management is compliant with the requirements of the PFMA, relevant Treasury regulations and laws.	Administration	Number of reviewed, and developed finance and supply chain policies, frameworks, procedures and guidelines	Finance and Supply Chain policies, frameworks, procedures and guidelines	To ensure compliance with PFMA	Legislation	Number	n/a	Output	n/a	Quarterly	Yes	To facilitate good governance at the CHE	Chief Financial Officer Mr Thulaganyo Mothusi
		Percentage of eligible employees, suppliers and third parties paid within 30 days.	Approved Accounts Payable Policy and Payroll Policy	To ensure compliance with PFMA	Payments reports from Pastel accounting system	Percentage of accounts paid within 30 days over total number of accounts due for payment.	n/a	Output	Non-Cumulative	Quarterly	Yes	To facilitate good governance at the CHE	Chief Financial Officer Mr Thulaganyo Mothusi
Number Twelve: To ensure effective governance and compliance of ICT with statutory requirements.	Administration	Number of reviewed and developed ICT policies, frameworks, guidelines, procedures and processes	ICT policies and systems developed and updated. in place	To ensure compliance with regulatory requirements.	Approved policies and systems	Number	n/a	Output	Cumulative	Quarterly	Yes	To facilitate good governance at the CHE.	Director Corporate Services Ms Vuyo Matsam

PART F: MATERIALITY FRAMEWORK

In terms of Treasury Regulations 28.3.1 for purposes of defining materiality [section 55(2) of the Act] and significant [section 54(2) of the Act], the accounting authority must develop and agree a framework of acceptable levels of materiality and significance with the relevant executive authority.

Materiality

In arriving at materiality the following factors have been taken into account:

- Guidelines issued by the Auditor-General;
- The nature of CHE's business;
- Statutory requirements affecting CHE;
- The inherent and control risks associated with CHE; and
- Quantitative and qualitative issues.

Significance

In addition to the provisions of Section 54(2) and having taken into account the fact that it is unlikely that there will be such transactions in future, the CHE has decided that, should there be any, the significance of each transaction will be considered separately.

The CHE has developed a materiality and significance framework which outlines materiality and significance as follows:

Treasury Regulation		Materiality approach adopted
Section 50 (1)	(1) The accounting authority for a public entity must	
	a) Exercise the duty of utmost care to ensure reasonable protection of the assets and records of the public entity;	Appropriate systems of control and risk management are maintained as well as a corporate risk management policy which is reviewed annually for effectiveness and a high level of compliance.
	b) Act with fidelity, honesty, integrity and in the best interest of the public entity in managing the financial affairs of the public entity;	The Accounting Authority sets high standards for good governance and ethical behaviour. The best interest of the public entity is always relevant and reflected in the business plan as approved by the Chairperson of the Council (accounting authority) and the implementation of the business plan is of the utmost importance.
	c) On request, disclose to the executive authority responsible for that public entity or the legislature to which the public entity is accountable, all material facts, including those reasonably discoverable, which in any way influence the decision or actions of the executive authority or that legislature; and	The Accounting Authority is committed to an open and transparent culture and in revealing any relevant information to its stakeholders. Materiality can only be determined if the nature of the information which will affect the decision of the stakeholder is known.
	d) Seek, within the sphere of influence of that accounting authority, to prevent any prejudice to the financial interests of the state.	The Accounting Authority employs risk management plans and reviews. Identified processes are aimed at preventing any prejudice to the financial interest of the state.
Section 54 (2)	(1) Before a public entity concludes any of the following transactions, the accounting authority for the public entity must promptly and in writing inform the relevant treasury of the transaction and submit relevant particulars of the transaction to its executive authority for approval of the transaction	
	(a) Establishment or participation in the establishment of a company;	Not applicable.
	(b) Participation in a significant partnership, trust, unincorporated joint venture or similar arrangement;	Not applicable.

Treasury Regulation		Materiality approach adopted
	(c) Acquisition of disposal of a significant shareholding in a company;	Not applicable.
	(d) Acquisition or disposal of a significant asset;	Council on Higher Education attains the approval of the Accounting Authority.
	(e) Commencement or cessation of a significant business activity; and	Not applicable.
	(f) A significant change in the nature or extent of its interest in a significant partnership, trust, unincorporated joint venture or similar arrangement.	Not applicable.
Section 55 (2)	(1) The annual report and financial statements referred to by PFMA Subsection 55 (1)(d) must	
	a) Fairly present the state of affairs of the public entity, its business, its financial results, its performance against pre-determined objectives and its financial position as at the end of the financial year concerned;	Year-end financial statements close is developed for the presentation of annual financial statements to ensure that the AFS fairly present the affairs of the Council on Higher Education
	b) include particulars of	
	(i) Any material losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year;	All losses are disclosed in the AFS.
	(ii) Any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure;	All activities are disclosed in the AFS.
	(iii) Any losses recovered or written off;	All losses are disclosed in the AFS.
	(iv) Any financial assistance received from the state and commitments made by the state on its behalf; and	All financial assistance received or committed is disclosed.
	(v) Any other matters that may be prescribed; and	Council on Higher Education will apply any other matters that become prescriptive.
	c) Include the financial statements of any subsidiaries.	Not applicable.

Treasury Regulation			Materiality approach adopted
Section 66 (1)	(1)	An institution to which this Act applies may not borrow money or issue a guarantee, indemnity or security, or enter into any other transaction that binds or may bind that institution or the Revenue Fund to any future financial commitment, unless such borrowing, guarantee, indemnity, security or other transaction	Council on Higher Education operates within the ambit as set by this clause and its related Acts.
	(a)	Is authorised by this Act; and	
	(b)	In the case of public entities, is also authorised by other legislation not in conflict with this Act; and	
	(c)	In the case of loans by a province or a provincial government business enterprise under the ownership control of a provincial executive, is within the limits as set in terms of the Borrowing Powers of Provincial Governments Act, 1996 (Act No 48 of 1996).	
Section 61(1)(c)	(1)	The report of an auditor appointed in terms of section 58(1)(b) must be addressed to the executive authority responsible for the public entity concerned and must state separately in respect of each of the following matters whether in the auditor's opinion –	Materiality of 0.5% of the total value of the sum of the revenue received for the year is applied.
	(c)	The transactions that had come to the auditor's attention during auditing were in all material respects in accordance with the mandatory functions of the public entity determined by law or otherwise.	