



RHODES UNIVERSITY
Where leaders learn

INSTITUTIONAL PLANNING AND REVIEW FRAMEWORK

*Approved by Council, June 2007
Revised May 2008, and November 2010*

1. Purpose

The purpose of this document is to provide a conceptual framework for planning and review at Rhodes University. It is intended to describe the institution's approach to accountability, improvement and resource allocation and to align internal processes with the University's overall vision and goals.

The planning and review framework of the University is designed to:

- Record achievements and best practice and monitor the implementation of recommendations by looking backwards;
- Promote effective, well co-ordinated planning and budgeting by looking forwards;
- Ensure the fair, appropriate and sustainable allocation of resources;
- Ensure that the University discharges its responsibilities in a timely and proper manner
- Align internal processes with institutional goals and external accountabilities

2. Institutional Mission

Rhodes University aims to:

- Produce outstanding, internationally recognised graduates who are innovative, analytical, articulate, and adaptable and who embody constitutional values and a sense of civic responsibility
- Provide an attractive, safe and well-equipped environment that is conducive to good scholarship and collegiality and which encourages students to reach their full potential
- Contribute to the advancement of scholarship internationally and to the development of the Eastern Cape and South Africa
- Affirm its African identity, reject all forms of unfair discrimination and create an institutional culture which is inclusive and enriching for staff, students and the wider community
- Advance the economic, social, educational and cultural well-being of the institution and its wider community

3. Planning and Review Principles

Rhodes University accepts it has a statutory accountability to the national Department of Higher Education & Training to report annually on its institutional plans, and to the Higher Education Quality Committee to ensure an appropriate quality management system is in place. The University accepts it also has accountability responsibilities to students, staff, parents, funders and partners. In meeting these obligations the following principles apply:

- Planning and review processes must allow the University to anticipate and respond to the rapidly changing environment in which it operates
- Planning and review processes should provide opportunities for the participation of students, academic and general staff and the broader community
- Planning and review outcomes must be sharp, focused and concise
- High standards in teaching and learning, research and scholarship are expected
- The University's reputation and the value of its qualifications must be maintained and enhanced
- Fairness, transparency and accountability in academic and administrative policies and procedures should be practiced
- A commitment to academic freedom, intellectual vigour and the highest ethical standards is expected
- Each member of the University community should clearly understand the rights, responsibilities and obligations associated with their role/s
- Each member of the University community is expected to accept shared responsibility for planning and quality assurance
- Accurate and appropriate information should be available from a centralised database in a timely and predictable form
- Formal reporting requirements should be coordinated to avoid duplication and overlap

Faculties and units develop their own mission, goals and strategies within the framework of the University's institutional goals and values. Institutional consideration and alignment of such activities takes place during the review process.

4. Planning, Resource Allocation and Quality Management

The primary and most important planning focus at Rhodes University is on **academic planning**, the contention being that if the academic plan is appropriate and accepted by the University community, then all other planning and resource allocation activities will logically flow from there. Support services are thus seen as just that: there to provide support to the main business of the institution which is teaching, research, community engagement and the production of well-rounded graduates who are able to make a valuable contribution to society.

Institutional 'imbizos', including academic, administrative, Council, Union and student representatives, are held approximately every two years to review the University's strategic direction and goals, and reflect on external challenges and opportunities.

Planning, resource allocation and quality management at the University is integrated at an institutional level primarily through the use of regular **reviews** of academic departments, research institutes and support services. Institutional reviews are used as

an opportunity for staff, students and other members of the University community to reflect on the past and participate in planning the University's future.

The **Institutional Planning Committee** (IPC) is the main operational committee responsible for planning and resource allocation. It is a joint committee of Senate and Council and is tasked with ensuring the most effective and efficient use of staff resources, physical facilities and operational funding, thereby ensuring a 'fit' between the institutional mission and the resources available. Three sub-committees focus on the primary responsibilities of the IPC:

- Size and shape, including academic programmes
- Infrastructure planning
- Development fundraising

The IPC is also responsible for **staffing allocations**, and for preparing the annually revised **enrolment plans** required by the Department of Higher Education & Training.

In addition, the IPC develops and monitors the **Institutional Development Plan** (IDP), which aims to provide a roadmap for student enrolment planning, financial, physical and human resource planning, and is revised annually in line with the budget process. The IDP is based on the outcomes of, *inter alia*, institutional reviews, imbizos, external conditions, enrolment and departmental planning exercises and staffing committee deliberations.

Composition of the Institutional Planning Committee:

Full Membership (18)	In Attendance (15)
Vice-Chancellor (Chair) Deputy Vice-Chancellor, Academic and Student Affairs Deputy Vice-Chancellor, Research and Development 6 Deans of the Faculties* Deputy Dean of Humanities* Dean of Students Dean, Teaching and Learning* 2 Council representatives 2 Senate representatives* 2 SRC representatives (one of whom should represent postgraduate students)	Registrar Registrar, Finance and Operations Director, Communications & Marketing Director, Community Engagement Director, Data Management Unit Director, Development & Alumni Relations Director, Estates Director, Human Resources Director: International Office Director, Institutional Planning Director, Library Services Director, Research Office Director, Residential Operations Director, Special Projects NTEU representative
<i>*Academic (the IPC operates on a principle of having a majority of academic members)</i>	<i>'In attendance' means full participation, excluding voting rights.</i>

Operationally, a **Senior Management Forum** (SMF) meets once a month and comprises the VC, DVC's, Faculty Deans, other Deans and Registrars to discuss issues of common concern. A **Senior Administration Forum** (SAM) meets once a month and comprises the VC, DVC's, Registrars, the Dean of Students and Directors of Support Services to discuss issues of common concern. Joint one-day meetings of these two groups are held at the beginning, middle and end of each year to discuss strategic issues, establish priorities, report on progress and review the achievement of IDP goals.

5. Provision of Appropriate Data

A **Digest of Statistics** is published annually which provides statistical information with particular reference to student and staff demographics, administrative and academic

departments, university finances, national benchmarks and progress made towards enrolment planning targets. The information is intended to be used as an aid by those responsible for planning and management, and strategic decisions are based on informed qualitative judgements rather than simply quantitative data. Any additional data required is provided as necessary by the University's Data Management Unit. In addition, a '**dashboard of performance indicators**' is provided bi-annually to Council members to enable them to monitor and evaluate progress made in achieving institutional goals, and to benchmark Rhodes University within the national higher education context.

6. The Review Process

Reviews of academic departments, support services and research institutes are held as appropriate but generally in 3 to 6 year cycles. Reviews can be institution-wide, including for instance all academic departments or all support staff in academic departments, or they can be *ad hoc*, responding to circumstances specific to a particular unit. The review model normally used is the following:

- i. A proposal is made to the Institutional Planning Committee that a review of a unit or group of units should be conducted.
- ii. The review exercise is coordinated by the Institutional Planning Unit.
- iii. Terms of reference¹ are developed in consultation with the unit/s to be reviewed, and submitted to the IPC for approval.
- iv. Relevant statistical data is provided according to the terms of reference.
- v. A self-evaluation is conducted and a report produced by the unit/s.
- vi. The University community is informed that a review is taking place, and comments or requests to be interviewed as part of the review process are invited (the unit's self-evaluation report will be made available on request to those who wish to make a submission).
- vii. A panel of peers, which may or may not include external advisors, considers the report and normally interviews members of the unit/s as well as other relevant people as indicated in the terms of reference.
- viii. Review panels should comprise approximately 5-10 members and should include relevant academic deans (or their representatives) as well as the Director of the Human Resources Division.
- ix. A report is produced by the Chair of the review panel (or the designated secretariat) and once approved by the review panel, is sent for comment to the Head of the unit being reviewed.
- x. The review report is then submitted to the Institutional Planning Committee, accompanied by any written response from the Head of the unit concerned, and from there to Senate and Council.
- xi. Should the review report contain resource implications, it will also be sent to the Finance and General Purposes Committee for consideration.
- xii. Once a review report has been approved by Council, relevant recommendations will be included in the next budget cycle.
- xiii. University-approved review reports will be available on the intranet to all

¹ Terms of reference must, at a minimum, include:

- The composition of the review panel
- The scope and objectives of the review
- Anticipated outcomes
- A timeframe

members of the University community.

Faculties, Departments and Support Services are entitled to undertake their own reviews, in consultation with the unit of review. However, any recommendations arising out of such reviews, which impact on the University or the unit of review, must be submitted to the Institutional Planning Committee for consideration.

7. Implementation

Institutional plans and supporting operational plans are implemented through a variety of structures such as faculties, schools, departments, centres, the committee system, and support services. Many of these planning activities will necessarily cut across organisational boundaries and may require new ways of thinking and doing.

Recommendations arising from review exercises must

- Assign responsibility for implementation to individuals or institutional committees (where accountability lies with more than one person, it is expected that the tasks will be accomplished in a collegial manner);
- be concise, realistic and implementable;
- aim to produce outcomes which can be evaluated through demonstrable measures of achievement;
- take into account resources available and indicate resources required to achieve the desired outcomes
- have the support and commitment of the University community and other affected groups
- indicate how implementation will be monitored

8. Issues/Functions Based Plans

There are a number of areas where the University will develop specific plans relating to a particular function or issue. These University-wide plans may expand on issues already identified in the institutional/academic plan or they may focus on activities or functions that need to be co-ordinated across the University for example:

- Student enrolments/ size and shape
- New academic initiatives
- Research
- Equity
- Staff remuneration
- Physical planning
- Etc.

These plans must arise out of and be solidly grounded in the University's institutional goals and values. All programmes and projects seeking University and/or donor funding must be accompanied by explicit implementation plans that indicate responsible persons, reporting dates, time frames and monitoring mechanisms in order to ensure effective spending of budgets, and timely reporting. Templates are available for this purpose.

9. University Budget Process

The University Budget gives practical expression to overall planning decisions of the University. The vision and values of the University and the strategies necessary to achieve these are articulated in the priorities of the resource allocations. The effective use of scarce resources necessitates hard decision-making and prioritising. The University operates on a centralised, zero-based, balanced budget basis and cross-subsidisation according to agreed aims and principles is an integral part of the budgeting process.

The University's budget process gets underway in the second half of the year when a widely representative committee meets to consider budget principles, proposals and requests. Deans, students, staff unions, support staff and members of the Finance Division are included in this working group. After approximately 3 meetings and wider discussions with affected applicants, recommendations regarding resource allocations are made to Council which considers the proposals and finalises the budget in December each year.

10. Institutional Audits, Programme Reviews and Quality Development

All South African higher education institutions are required to undergo regular external audits and programme reviews - which are undertaken according to a national framework and criteria - by the Higher Education Quality Committee (HEQC) of the Council on Higher Education. In order to find efficiencies and avoid duplication, planning and review processes are combined wherever possible so that planning processes simultaneously collect and analyse information needed to facilitate quality assurance.

External audits and programme reviews are coordinated by the Institutional Planning Unit, in collaboration with Centre for Higher Education Research, Teaching and Learning (CHERTL) and the Registrar's Division.

The Dean: Teaching and Learning, in collaboration with the Teaching and Learning Committee, is responsible for academic quality support, development and monitoring.

11. Planning and Review Units

Three main types of units for planning and review are identified:

1. Academic departments and/or faculties
2. Research institutes/centres/units
3. Support services

Different planning and review methodologies may apply to different types of units. It is recognised that some units are engaged in both academic activities and support services, such as CHERTL, and appropriate methodologies should be used to reflect this. Guidelines are available for the generic formulation of terms of reference, and a Support Services Review Framework was developed for the 2007-2010 review cycle.

11.1 Academic Departments (35)

Accounting
Anthropology
Biochemistry, Microbiology & Biotechnology
Botany

Chemistry
Centre for Higher Education Research, Teaching and Learning (CHERTL)
Computer Science
Drama
Economics & Economic History
Education (Faculty)
English
English Language & Linguistics
Environmental Science
Fine Art
Geography
Geology
History
Human Kinetics & Ergonomics
Ichthyology & Fisheries Science
Information Systems
Journalism & Media Studies (School)
Law (Faculty)
Management
Mathematics (Pure & Applied)
Music
Pharmacy (Faculty)
Philosophy
Physics
Political and International Studies
Psychology
Rhodes Business School
School of Languages
Sociology
Statistics
Zoology & Entomology

11.2 Research Institutes/Centres (16)

Biopharmaceutics Research Unit (BRU)
Catchment Research Centre
Centre for Applied Social Research and Action (CASRA)
Centre for Social Accountability (CSA – previously PSAM)
Centre for Social Development (CSD)
Dictionary Unit for South African English (DSAE)
Electron Microscopy Unit (EMU)
Environmental Biotechnology Research Unit (EBRU)
Environmental Education Research Unit (EEU)
First Physical Theatre Company
Institute for the Study of English in Africa (ISEA)
Institute of Social and Economic Research (ISER)
Institute for Water Research (IWR)
International Library of African Music (ILAM)
Sol Plaatje Media Leadership Institute, Journalism
Southern Oceans Group (SOG)

11.3 Support Services (15)

Communications & Marketing Division

Community Engagement Office

Data Management Unit (DMU)

Dean of Students' Division

Development & Alumni Relations Division

Estates Division

Finance Division

Human Resources Division

Information Technology Division

International Office

Library

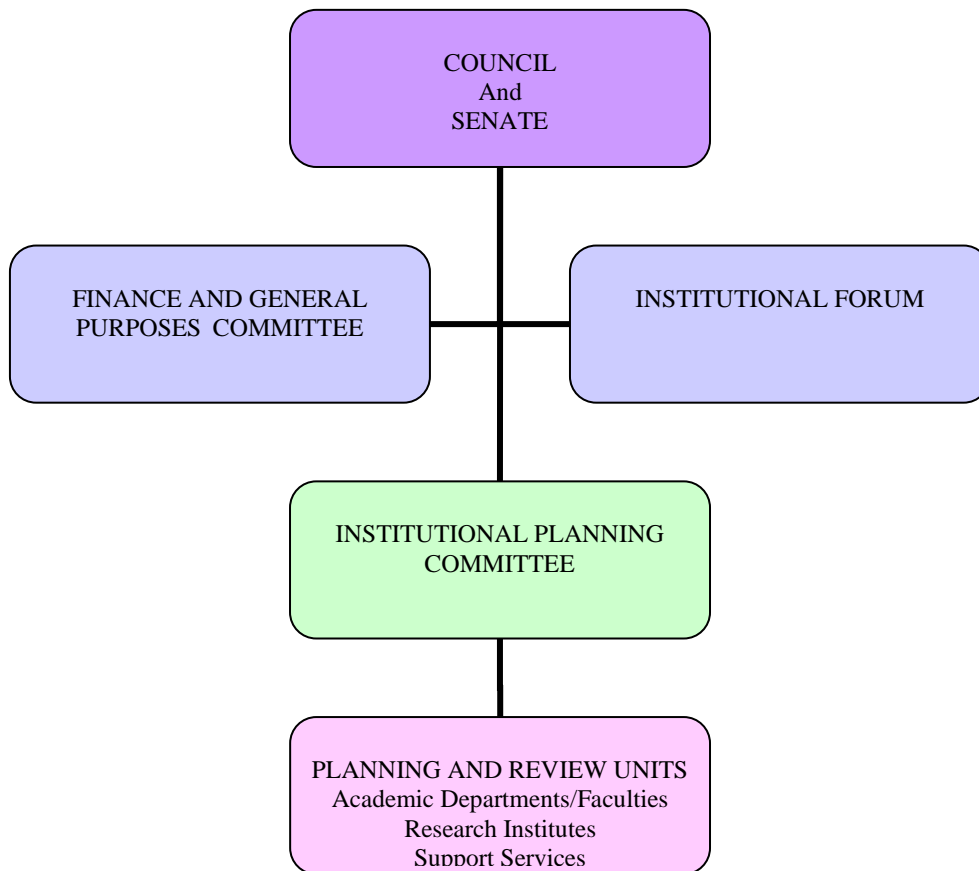
Registrar's Division

Research Office

Residential Operations Division

Vice-Chancellorate, including the Institutional Planning Unit

12. Diagrammatic Representation of Planning and Review Reporting Structures at Rhodes University



13. RU Institutional Planning and Review Cycle

