



RHODES UNIVERSITY 2006 – 2011

Review of Transformation Related Strategy, Plans and Initiatives



RHODES UNIVERSITY

Where leaders learn

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Introduction

The transformation related objectives, strategies, initiatives and actions that are the focus of this exercise are those aimed at making the institution a democratic, non-sexist, non-racial institution that lives up to the values of the constitution, and which does not tolerate unfair discrimination and inequality.

Introduction

This project was initiated as a result of efforts to interpret the mandate of the Director: Equity and Institutional Culture. The mandate includes three broad areas. In summary these are:

- **Advocacy** – promoting the appreciation of the benefits of equity and diversity, and a common understanding of the equity and institutional culture related imperatives and priorities.
- **Facilitation** – liaising with various role players regarding their contribution and commitment towards the institutional strategy, goals and plans. Promoting the adherence to equity and institutional culture related policies, protocols and procedures. Analysing how institutional practices promote or hinder the achievement of the transformation related policies, strategy, plans etc.
- **Monitoring, Evaluation and Reporting** – tracking and monitoring the implementation of the institutional transformation strategy, goals and plans. Identifying structural, systemic and other barriers that undermine the achievement of the institutional plans. Ensuring that appropriate records, statistics and reports are prepared. Liaising with external stakeholders on the reporting requirements.¹

When the office of the Director: Equity and Institutional Culture was established in May 2011, the initial activity focused on the advocacy and facilitation related part of the mandate, including the facilitation of discussions with the Deans of Faculties on the process of drafting Faculty Transformation Plans² and speaking at various platforms and forums within the institution.

In the process of working on future plans for the office, the fact that there was no central place or repository of information documenting past initiatives, plans and strategies (institutional knowledge and memory) on transformation related matters, was a hindrance, that came up repeatedly. Furthermore, there was no model for how the monitoring and evaluation part of the mandate was to be executed. Attempts to benchmark and learn from monitoring and evaluation frameworks at other higher education institutions, did not prove helpful.

The project was undertaken to meet three broad objectives:

- Creating a repository that would hold information on the transformation related initiatives and plans of the institution.
- Arrive at a useful model for executing the monitoring and

¹ A complete job profile is annexure 19. All annexures will be made available on the intranet.

² A discussion document prepared for guiding discussions on the content of the Faculty Transformation Plans is attached and marked annexure 20.

evaluation part of the mandate for the Director: Equity and Institutional Culture.

- Assess the initiatives, plans and strategies employed over a six year period, and use the information as a benchmark for future monitoring and evaluation exercises.

A number of required documents were found within the Human Resource Division and many more were scattered in different parts of the institution. It is hoped that when engaging with this report, colleagues will make suggestions about other documents that could be added to the repository.

This report does not claim to have looked at every relevant document, but it is hoped that an adequate number of relevant and important documentation was reviewed to support the opinions and findings made. While the process was not perfect, it is nevertheless hoped that the process was sufficiently comprehensive to mitigate against the constraints and limitations encountered.

The transformation related objectives, strategies, initiatives and actions that are the focus of this exercise are those aimed at making the institution a democratic, non-sexist, non-racial institution that lives up to the values of the constitution, and which does not tolerate unfair discrimination and inequality. A transformed or a transforming institution is also one that has dealt sufficiently with the legacies of the past and has earnestly and deliberately engaged in, and implemented programmes aimed at redress, the promotion and advancement of equity of access, opportunity, participation and success.

The strategies, initiatives, and actions relate to, or have the intent of:

*"dissolution of existing social relations, institutions, policies and practices, and the recreation and consolidation of new social relations and institutions, policies and practices."*³

Such action and intent is required in order to address the problems associated with and inherited from a higher education system shaped by inequalities along class, race, gender, disability and spatial lines. The resultant system and inequalities need to be transformed and the institutional goals need to be aligned to the social purposes of higher education as outlined in the White Paper on Higher Education⁴.

The measures taken need to address concerns including those related to student equity of access, participation and success patterns; staff

³ Badat, S. in a conference paper titled "The Trajectory, Dynamics, Determinants and Nature of Institutional Change in post-1994 South African Higher Education", University of Cape Town, 2008.

⁴ Department of Education, *Education White Paper 3: A Programme for the Transformation of Higher Education*. Government Gazette, Vol. 386, No. 18207, Notice 1196 of 1997.

equity, opportunity and success; as well as curriculum transformation and innovation, in order to deal with the new and emerging realities in higher education, and the broader socio-economic and political conditions. An institutional culture that supports and provides for all staff and students to thrive and reach their full potential must be created. A fuller exposition of the social purposes of higher education and the transformation goals can be found in the White Paper on Higher Education. The institutional transformation related challenges and the measures to address such challenges will differ from one institution to the next.

Monitoring & Evaluation Framework

Routine statistical reports are needed, but the intelligence of an interpretive layer on such data is imperative. The exercise cannot merely be about setting targets and indicators...

Monitoring and Evaluation Framework

The monitoring and evaluation framework that was found to be most useful for the mandate of the Equity and Institutional Culture office (E&IC office), is the Council on Higher Education's Monitoring and Evaluation Framework. Monitoring and evaluation systems tend to be largely developed by funders (government and donor agencies), in order to track, assess and monitor organisations and institutions that they fund, specifically for the purposes of decision making for future funding support. For this reason many of the systems developed have limitations and would not suit the purposes of the E&IC office⁵.

The White Paper on Higher Education and the Higher Education Act, 101 of 1997⁶, placed on the Council on Higher Education (CHE), the responsibility to monitor the higher education system. The framework was developed in order to allow the CHE to discharge this responsibility, and secondly, it was thought that information generated would assist the CHE in the discharge of its other legislative responsibilities, including that of advising the Minister of Education (now Higher Education) on key issues and areas affecting the higher education system. These key issues and areas include the "progress being made towards achieving national equity and human resource development goals and measures to overcome impediments to achieving transformation goals."⁷

The concern for the CHE, in relation to the purposes of its monitoring and evaluation exercises, was how to collect and analyse information in order to:

- Provide useful information to sector stakeholders and higher education institutions.
- Contribute to knowledge to be used in policy making.
- Assess policy and policy implementation.
- Discern trends and progress over time.
- Account for changes, and explain successes, failures and deviations from policy and policy implementation.
- Provide an understanding and analysis of the modalities, pace and contractions of change in the sector.

The conceptualisation of monitoring and evaluation used within the CHE framework frames evaluation as:

- A type of research.
- Assessment of social intervention programmes.
- A judge on merit or worth of programmes.

⁵ For instance the framework used by the Minister in the Presidency for the evaluation of government departments and entities, or the Auditor General's methodology for evaluating and auditing performance as part of the audit of government departments and public institutions.

⁶ Republic of South Africa, *Higher Education Act*, No. 101 of 1997.

⁷ Department of Education, *Education White Paper 3: A Programme for the Transformation of Higher Education of 1997*, section 3.25(j).

- A means to improve future and current programmes.
- A way to systemically and objectively determine relevance, effectiveness, efficiency and impact of activities.
- Assessment of programmes against specified objectives.
- A way to improve planning and decision making.
- Using monitoring data, case studies, surveys, research reports and other qualitative information.
- Interpreting monitoring data.
- A periodic exercise.
- An exercise which must be done by an external party, not the implementer of a project.

On the other hand monitoring is conceptualised as:

- Periodic oversight on implementation.
- A continuous exercise that tells how plans are proceeding.
- An exercise which can help correct deficiencies during implementation.
- Tracking trends.
- Making use of routine management information and reports.
- Using largely quantitative information.
- An exercise which can be done internally or by implementers of programmes.

Whilst the CHE framework largely seeks to understand changes within the sector, including transformation related changes, it is also about understanding these changes at an institutional level, and therefore would be quite useful at the level of monitoring and evaluating institutional change. The conceptualisation of monitoring and evaluation as a continuum and complementary processes was also appealing for the purposes of this exercise, and for the conundrum of interpreting the mandate of the E&IC office.

The recognition that it is not only important to track trends and statistics, but also to explain and deeply understand such changes and shifts, is of great value. Routine statistical reports are needed, but the intelligence of an interpretive layer on such data is imperative. The exercise cannot merely be about setting targets and indicators, and collecting information that informs whether the set targets are met as per the indicators, in order to signal performance or achievement. The continuum must extend from monitoring activities to evaluation activities and beyond, to qualitative research. Through this understanding, the true levers of change can be identified and programmes that will go to the heart of achieving the transformation related goals will be a possibility.

For instance, monitoring activities, data and statistics could tell us about the changing race, gender, rural or urban origins, nationality, social and economic class, and other characteristics of the student population. It could also tell us about the spread and representation of students within different fields of study. Beyond that, evaluation exercises could tell us about student participation and success rates, such as the number of

years taken to complete degrees. Qualitative research would thereafter be necessary to explain the trends in relation to the participation and success patterns as revealed in the evaluation exercises, thereby putting an interpretative layer that could begin to inform the nature of interventions required, and the extent and nature of changes that have occurred. Such research would probably introduce knowledge about social relations, power relations, agency, environmental factors and so forth.

Challenges

...there were a number of challenges that got in the way of executing the project. Most important of these, was the lack of an overarching institutional strategy or plan against which the achievement of stated objectives could be assessed.

Challenges

Having found valuable lessons within the CHE framework for monitoring and evaluation, there were a number of challenges that got in the way of executing the project. Most important of these, was the lack of an overarching institutional strategy or plan against which the achievement of stated objectives could be assessed.

It was nevertheless still possible to conduct the exercise by measuring against the legislative and regulatory framework imperatives. However, the fact that the institution had not explicitly taken and interpreted these for itself, and explicitly and comprehensively set goals in relation thereto, meant that the problem remained to some extent.

The institution has during the review period, set a five year Employment Equity Plan which is also monitored periodically as per the Employment Equity Act. This plan however is limited to employment equity related issues and staff demographic changes. The plan spans a five year period from 2010 to 2015, and there is a vacuum for the period prior to 2010.⁸ Section 20 of the Employment Equity Act, no 55 of 1998⁹, requires that the institution prepare and implement an employment equity plan. The fact that there was no plan prior to 2010 is problematic. This vacuum raises the issue of legislative compliance, but significantly also raises questions of commitment, willingness and the proper management of the process of implementing initiatives to address staff profile and representivity challenges.

The direction chosen for this exercise was to assess the institution in relation to a number of key areas which were identified as the key drivers for the achievement of transformation related imperatives and goals.

The key areas are:

- Policy
- Leadership
- Strategy and strategy implementation
- Governance
- Institutionalisation and citizenship
- Reporting and monitoring

The next step was to find information and data from which institutional achievements, successes and failures, in relation to these six key areas, could be analysed. The task was largely a monitoring exercise with some movement toward evaluation, where this was possible based on the available and accessible information. Overall, the institution was not poised or positioned for a full scope monitoring and evaluation exercise in relation to these six areas.

⁸ The Employment Equity Plan 2010 to 2015 is annexure 12 of this report.

⁹ Republic of South Africa, *Employment Equity Act*, No. 55 of 1998.

Objectives & Possible Achievements

Irrespective of the challenges, the exercise proceeded, with the belief that it was still possible to achieve some objectives.

Objectives and possible achievements

Irrespective of the challenges, the exercise proceeded, with the belief that it was still possible to achieve some objectives. These were to:

- Set some kind of baseline against which future monitoring and evaluation exercises could proceed.
- Measure some changes that had occurred during the review period.
- Evaluate, where possible, the impact of initiatives undertaken during the period.
- Create a repository of relevant information.
- Gather information that can be used to set a comprehensive institutional strategy and plan.
- Possibly identify some interventions and improvements that can be made (to current initiatives and programmes).
- Identify areas for further explanation, exploration and understanding in order to assist in the advancement of the institutional transformation related imperatives.
- Create a space for the institution to be self-reflexive and possibly allow for choices and decisions to be made that enable achievement of stated objectives.

An outline of how each of the six key areas could be assessed is described in the following sections. Observations are made, and some assessment of all six areas is conducted, within the constraints and limits outlined above. The documentation used in assessing performance on the six key areas will be referred to, and will be available as annexures on the intranet.



Policy

The language and pitch of some of the policies leaves doubt as to their accessibility and usefulness for all within the institution.

Policy

In relation to policy, the following questions can be asked in order to assess achievement:

- a. Are the relevant policies in existence?
- b. Is the purpose of the policy clear to most readers?
- c. Does the tone and format of the policy advance and promote the equity and institutional culture related goals of the institution and its purpose?
- d. Is the policy presented in a manner that is clear, accessible and useful to all the stakeholders within the institution and other users of the policy?
- e. Is the policy crafted in a manner that can be said to promote a shared understanding?
- f. Are the policy objectives integrated into the strategy, plans and practices of the institution?
- g. Is the policy compliant with legislation?

The institution has a list of policies in existence that seem to cover the scope and key areas of transformation related issues.¹⁰ Overall, the language and pitch of some of the policies leaves doubt as to their accessibility and usefulness for all within the institution. The listed policies were not evaluated in this exercise as a number of key policies are currently under review, will soon be reviewed, or have just been operationalised, and can thus only be reviewed after a reasonable period of existence. It would thus be more valuable to make input into such review processes using the set of questions above. The clarity, relevance and implementation of these policies are areas for further periodic exploration.

However, for illustration purposes the Equity Policy¹¹ was assessed in this exercise, and the following observations are made specifically about it:

- The language of this document is very academic and dense which may be a hindrance to accessibility and usefulness for all within the institution. (This comment is made with full acknowledgement of the fact that this is an institution of higher learning. However bearing in mind the purpose and use of policies within the institution, a different pitch, language and tone might be more useful).
- The policy seems largely aspirational at first, in that it sets out the vision of an equitable institutional culture. This comment should not be read as a criticism. Choices can be made in relation to the purpose of a policy, and this will determine the nature of the content. Some policies are deliberately aspirational, some are

¹⁰ A list of such policies is included as annexure 21 of this report. Annexure 21.1 is the list of staff related policies and 21.2 lists those dealing with student related issues.

¹¹ The current Rhodes University Equity Policy is attached and marked as annexure 15.

directional and rules based, some try to be directional with the intent to influence conduct, others are directional in relation to institutional values and culture.

- The Rhodes Equity Policy also documents strategies and action, which is a move towards a more directional part of the continuum. The policy therefore combines some aspirational pronouncements with some details of strategies, actions and plans. Some of the content seems to be more suited for inclusion in a plan rather than a policy. This makes the document confusing in some parts, in terms of its purpose and intentions.
- Some outline of responsibility lines, monitoring and reporting action is included. This is done more clearly for employment equity than for other areas. Whilst the policy acknowledges the various areas requiring attention, it does not seem to treat these areas the same, in terms of depth and level of detail. This gives the impression of some areas being glossed over whilst others are privileged and discussed in further detail, perhaps indicating priorities or merely a pre-occupation at the particular time. This may also be because the policy was initially approved as the Employment Equity Policy in 2001, which would suggest a somewhat incomplete process of converting it to an over-arching Equity Policy.
- The policy came into effect in January 2004, yet the Employment Equity Plan which is called for at 3.1.4.5, only came into effect in 2010.
- Disability is dealt with at 3.1.5.6 of the policy, where a commitment is made to proactively manage the needs of students and staff with disabilities, but up to 2011, the institution was still not proactively dealing with this matter. An audit of the built environment, a strategy/plan of what is required, detailing costs and other implications is still not on the table. The institution still reacts in an ad-hoc and un-coordinated manner to most of the issues affecting persons living with disabilities.
- A dispute resolution mechanism for dealing with discrimination and harassment called for at 3.1.5.11 only came into effect during 2011.
- Paragraph 3.1.1.5 of the policy deals with the need for management to take responsibility and to be held accountable for implementing and achieving the institutional equity goals. The policy goes on to say that “the equity responsibilities of management and the mechanisms for ensuring that these responsibilities are met need to be articulated”, which as per the assessment dealt with in the governance section of this report, has not been effectively done.

- The review date of the policy was 2007, and passed without any revision. As a result, the policy is not in keeping with the current institutional ethos, practices and language. For example, the policy refers to the Vice-Chancellor as the Chief Executive, a kind of conceptualisation not currently espoused in the institution. Some of the office bearers and key officials allocated responsibilities in the policy no longer exist in the structure of the institution, for example the Vice-Principal, or Director: Academic Development Centre.
- The overall impression is that some of the directives of the Equity Policy were not carried out timeously, or at all.

Further comment on this policy would not be useful. The above observations are offered as a way of illustrating what future review and evaluation of policies could entail.

A more comprehensive evaluation of the understanding, implementation and adherence to policy would require a different kind of process and would go beyond a desk exercise. For instance the Equity and Institutional Culture office commissioned research conducted during 2012 that looks at the understanding, appreciation and implementation of the Employment Equity Legislation, and the related provisions of the institution's Recruitment and Selection Policy and Procedures. This kind of qualitative research project, and other complementary reviews, would go a long way in advancing future endeavours of monitoring and evaluating policy and policy implementation.

Leadership

Leadership provides the rest of the institution with conditions necessary for the changes to occur whilst also holding a certain level of stability and continuity...

Leadership

In referring to the leadership provided for transformation related matters, the suggestion is not that transformation is simply something that must be decreed from the top. Transformation of the institution cannot simply be the responsibility of an individual or of a small group of 'office bearers'. Leadership in this sense refers to the ability of those at the top to set the tone and message, and set an example of what is required in order to achieve the stated objectives. Leadership must ensure that there is a consistent and clear message about the vision and direction to be taken by the institution in this regard. Leadership provides the rest of the institution with conditions necessary for the changes to occur whilst also holding a certain level of stability and continuity on other related matters. Leadership has to drive the decisions and choices that are hard and often discomforting to make.

Whilst the role of the Vice-Chancellor comes under discussion in this review, it should be appreciated that it is better to think of leadership as devolved – understanding that power and decision making are dispersed. In this way Deans, Directors, Heads of Departments and others must also display leadership in how they deal with, and articulate the equity and transformation related institutional objectives and goals. Those who exercise discretionary decision making have more responsibility in this regard and must show a principled and ethical manner of decision making.

In the assessment of the leadership area the following set of questions can and should be asked:

- a. Does the Council, which has a legislative mandate and role to play in transformation issues, hold the Vice-Chancellor sufficiently accountable for the achievement of objectives, goals and priorities?
- b. Does the Council provide guidance and direction on how the institution should go about making choices and setting priorities in order to advance the attainment of transformation related objectives, goals and priorities?
- c. Does the Institutional Forum discharge its legislative mandate and play its role of advising the Council on transformation related matters, and of being a consultative forum on these matters?
- d. Does the Vice-Chancellor provide leadership in terms of thinking, articulating and practicing the transformation related objectives of the institution?
- e. Does the messaging from the leadership align with the institutional policy, objectives, goals and strategies, and demonstrate commitment to these?
- f. Is there visible leadership on transformation related matters?

The following observations are made in relation to the key area of leadership:

- From a review of a sample of the minutes of Council, it is clear that Council supports transformation related activities in that it has approved a number of transformation related policies¹².
- Council has also supported the creation of the post of Director: Equity and Institutional Culture during the period under review, which could be seen as an indication that it accepts that more work needs to be done in the area of transformation. This and other decisions are an indication that when proposals for the advancement of transformation goals are presented to Council, it gives support and approvals.
- The Council minutes reviewed did not contain any instance of a proposal that could have advanced the equity and transformation related imperatives being rejected by Council.
- The guidance and direction given, and the prioritisation of transformation related imperatives by Council are not necessarily demonstrable from the sample of minutes reviewed. Robust debate on these matters may be a permanent feature on the Council agenda, but this is not evident from minutes of meetings.
- The Council does sign off on reports as required by legislation but the engagement with such reports and the extent of independent assessment of the achievements, by Council, is not evident from the records reviewed.
- The Institutional Forum, by its own admission, as per the sample of minutes reviewed, had become somewhat dysfunctional and ineffective. The Institutional Forum did a self-assessment, under the leadership of Professor Ric Bernard (as Chairperson of the Forum) and Mr Gci Mtukula (the former Deputy Registrar), and arrived at an 'improvement plan' that should allow it to improve on the discharging of its legislative mandate and role.¹³
- A sample of the Vice-Chancellor's speeches was reviewed in order to assess the message that could be distilled from them¹⁴. The message on transformation matters contained therein was

¹² The sample of minutes looked at are from the 2010 and 2011 year.

¹³ A submission by the Director: Equity and Institutional Culture to the discussions on the Institutional Forum Improvement Plan is marked annexure 17.1.

¹⁴ Copies of the Vice-Chancellor's speeches that were reviewed for this exercise are attached and marked annexures 16.1 to 16.8. These start with the inauguration address, include some graduation and first year students orientation speeches, and other speeches made at important functions in the life of the institution.

found to be coherent, consistent, visionary and even inspirational. During the period under review, the Vice-Chancellor has clearly given thought leadership on matters related to transformation in higher education as evident from his writings and speeches.

- However his messaging on transformation faces some risks, the first being that it could lose credibility if it is not fully backed up by institutional strategy, plans and practices that promote equity and transformation. The second risk is that the messaging reaches a collective that is largely external to the institution, even though these are also important stakeholders (e.g. parents during orientation week and graduation). The messaging does not filter sufficiently to staff and especially not to support staff, and therefore is not leveraged as well as it could be for promoting and driving the implementation of the institutional equity and transformation objectives and goals.
- There are various forums where the Vice-Chancellor has engaged with staff such as Institutional Imbizos, VC's Institutional Forum, or at Faculty Boards, however not all of these engagements are documented. It is thus acknowledged that not all communications by the Vice-Chancellor during the 6 year period were reviewed.
- The messaging could easily lose weight internally, if it is inconsistent with the experiences of certain groups of staff and students. It could be seen as either deceptive or out of touch with the reality of some students and staff.

Governance

...for the purposes of this exercise, the governance sought is one that relates primarily to accountability to the institution.

Governance

In order for equity and transformation related objectives to be realised, there needs to be a model for governance and implementation that fosters some level of responsibility and accountability. The model does not have to be an imposed, narrow form of accountability but one driven by answerability to the institution, and to peers and stakeholders within the institution first of all. The model should also recognise that transformation is related to the social purposes of higher education¹⁵ and therefore some notion of public good and accountability to the broader society is appropriate.

However, for the purposes of this exercise, the governance sought is one that relates primarily to accountability to the institution. Those entrusted with implementing certain programmes should be held accountable for the achievement of the set programme, objectives and goals. The notion of stewardship should drive such a model of accountability.¹⁶

The questions that can be asked in relation to the governance of transformation are:

- a. What is the governance framework that is relied upon within the institution to drive transformation?
- b. Do the framework and associated structures function effectively?
- c. Does the institutional governance framework sufficiently integrate the equity and transformation related objectives?
- d. What is the quality, content and nature of reports tabled at the governance structures and how is such information interacted with?
- e. Does the governance framework foster accountability for implementation and achievement of the equity and transformation related objectives?
- f. Do the governance structures exercise sufficient and effective independent oversight on transformation related objectives?

The observations that are made in relation to the governance of transformation during the review period are as follows:

- Governance structures are in existence in the institution.
- The Institutional forum required a review of its functions and role, and this received some attention.

¹⁵ Section 1.3 of the *White Paper on Education* states that higher education must be a part of, and support social transformation. The Preamble to the Higher Education Act highlights the need for higher education to promote an open and democratic society.

¹⁶ See also Hashatse, T. "Equity, Diversity and Stewardship". Think piece presented at the Rhodes University Institutional Imbizo, Grahamstown, 2011. See annexure 8.2.1.

- The Council, Senate and Committee structures are run efficiently and process equity and transformation related reports and proposals.
- The planning information processed through the structures relates largely to the employment equity planning which is about staff composition.
- Planning and other data on student enrolment, and participation and success rates was processed through the governance framework¹⁷. This data includes reports on financial aid for students from economically disadvantaged backgrounds, the changing profile of the student population and other equity and redress related concerns for students.
- Further research is necessary in order to evaluate whether the content, type, and interpretation of reported data can and is used effectively to improve decision making in order to advance transformation related goals.
- An interpretative layer needs to be added to the information in order to enhance the intelligence on the gathered data and inform decision making, choices, future strategy and planning. Employment equity planning and reporting requirements are largely complied with. There was no plan before 2010, and some of the interventions discussed at the 2006 Institutional Imbizo and those in the Equity Policy have not been effectively implemented or achieved. Follow up on implementation and reasons for lack of achievement are not always evident, tracked or recorded.
- The Rhodes staff profile, especially the academic staff profile has not changed significantly over the 6 year review period¹⁸. The staff composition data does not show significant changes in some categories. The explanations for failure to attract, appoint and retain a more diverse profile of staff remain largely anecdotal and not fully explored.
- The role played by committees, agenda setting, and the composition of the committees, are all factors that could benefit from further review in order to ensure that improvements are made where possible. More specifically, review of factors that could facilitate the advancement and achievement of the equity and transformation related objectives, particularly the governance

¹⁷ The statistics on the profile of students, including statistics that relate to admission, and some participation and success related indicators are contained in annexure 18.3

¹⁸ The statistics on staff demographics are contained at annexure 18.1 The composition includes only permanent staff who hold South African citizenship as this assessment is linked to compliance with and advancement of goals set as per the Employment Equity Act. Annexure 18.2 provides details on international staff.

of such objectives, would be most beneficial. The current composition of the committees which tend to be dominated by white males, could be experienced as lacking diversity in terms of institutional voices, and thus be seen as a possible hindrance to transformation.

- The Council composition shows racial representation that is more favourable than gender representation. The racial diversity holds steady and hovers at around 50% black (African, coloured and Indian), between 2006 and 2011. The representation of women on the other hand, has never gone much above 25%, having started at around 21% in 2006. The Senate profile shows movement from about 80% male to about 72% male during the review period; and from approximately 83% to 81% white, which is not surprising due to the academic staff composition¹⁹.

¹⁹ Data on the demographic profile of Senate and Council is constructed using meeting attendance registers and available staff lists but the integrity of the data cannot be confirmed or checked, hence approximate percentages are given.

Strategy & Strategy Implementation

The setting of a strategy should enable the institution to break up the broad objectives and commitments that have been articulated into plans and actions...

Strategy And Strategy Implementation

The setting of a strategy should enable the institution to break up the broad objectives and commitments that have been articulated into plans and actions, which in turn would allow for better implementation, reporting and the monitoring of progress. Without an explicit and deliberately set out strategy and implementation plan, there is a high risk of not achieving the broad objectives.

As noted in the challenges section above, there is currently no over-arching document that pulls together the strategic vision, direction and plan of the institution into an Institutional Development Plan (IDP). The transformation related strategies could have been part of such a plan, or existed alongside it in the form of an Institutional Transformation Plan (ITP). At present, some of the content of the Equity Policy seems to deal with aspects of strategy, plans and actions.²⁰

The set of questions that are asked in relation to the strategy and strategy implementation area are:

- a. Is a comprehensive strategy and plan in existence?
- b. Have the cost and resource implications been taken into consideration, and is the strategy funded and resourced appropriately?
- c. Are the objectives in the strategy integrated into the work plans of departments, divisions and individuals responsible for implementation?
- d. Do mechanisms for tracking and measuring progress exist?
- e. Are the institutional policies, procedures, protocol and practices aligned to the strategy?
- f. If the transformation related strategy is a stand-alone, is it sufficiently aligned with the institutional plan?

Although an over-arching strategy does not exist, there are a number of initiatives, actions and programmes in existence. The following observations are made following an assessment of this key area:

- The failure to conclude on the IDP, which could have been an outcome of the 2006 institutional Imbizo, means that the strategic choices and decisions are made on an ad-hoc basis and probably without reference to one another. It is thus not possible to embed and align the transformation related imperatives and objectives into an approved IDP.
- Without an IDP as a living road map, some questions remain unanswered and keep on revolving and coming up repeatedly during discussions, causing frustration, fatigue and confusion due to the failure to settle.

²⁰ For instance, 3.1.5.10 deals with the need to understand the attitudes, perceptions and experiences of staff and proposes the use of exit interviews, climate surveys, and research to do so.

- Without the IDP, divisions and faculties cannot align their strategies and plans to an explicit institutional vision, direction and plan, and could then be working at cross purposes. Divisions could be taking directions that do not support the direction and trajectories that faculties are on.
- Without an IDP, funding and other resource planning decisions (e.g. human resource, information technology) could be developing in a trajectory that does not complement the institutional vision, strategy and direction.
- The various Imbizos and colloquia held during the period under review all dealt with matters related to equity and institutional culture²¹. These forums were important moments for having institutional conversations on the issues.
- Admittedly, not all such spaces for discussion can and should serve as spaces for decision-making and crafting strategies and plans. Practically, some follow through and processing is required after such events in order to craft strategies and present these for decision-making and subsequently for implementation and action. One of the stated aims of the 2006 Institutional Imbizo, was:

“To achieve and/or develop consensus on the *goals* and *strategic* directions of Rhodes University” (emphasis in original).

Such consensus was probably reached, and guided the direction of the institution in the period following the Imbizo. What is sorely lacking is a mechanism for systematically recording the outcome, ensuring implementation, monitoring effectiveness of implementation and generally pulling things together.

- With the exception of the existence of an explicit Employment Equity Plan, which took a long time to accomplish, follow through on transformation related objectives, strategy and plans has been wanting. The employment equity plan targets themselves are modest, when viewed against the representivity challenges.
- Forums for open-ended debate are necessary and have been provided but they cannot, on their own, deliver strategy and action-plans. Identifying required action without allocating direct responsibility, reporting and tracking mechanisms, leaves good ideas on paper and yields no results.

²¹ Details on these forums can be found in annexures 4, 5, 6, 7, and 8.

- As for the big forum discussions, some of the proposals raised do not seem to receive any further attention after the forums. Where the proposals do receive further attention, it can take years before discussions are concluded, decisions are made, and action is taken.
- There seem to be capacity constraints that influence the pace of implementation as can be seen in the qualitative part of the Employment Equity Plan and Reports²².
- The Employment Equity Act reports require the identification of barriers and the outlining of measures to address such barriers. The areas for which barriers must be identified and dealt with include recruitment procedures, appointments, job classification and grading, work environment and facilities, training and development, remuneration and benefits, succession and experience planning, promotions, performance, retention of designated groups, corporate culture, and budget allocation in support of employment equity.

The recorded details in the Employment Equity Plan on the identification and eradication of barriers in these and other areas, indicate that some of the barriers were identified a long time ago and measures to eradicate them have either been ineffective or non-existent²³. Some of the areas listed as being without barriers such as in the area of disciplinary measures and budget allocation require further interrogation as barriers may in fact exist and not be recorded. This kind of vacuum brings up the issue of governance and the type of engagements occurring at the Employment Equity Committee where the reports are tabled, discussed and approved.

Disciplinary action and willingness to take disciplinary action for instance, has patterns that show adverse impact on staff in the lower grades, which brings up discrimination on the basis of social class, and a predominance of staff facing disciplinary action being black due to the social composition of staff. A cursory reading of the report would suggest that only staff in lower grades engage in behaviour that leads to charges of misconduct, whereas a deeper analysis, would suggest the lack of willingness to deal with senior staff through the disciplinary procedures when misconduct occurs.

Similarly, the areas of reasonable accommodation, work environments, facilities and job assignments are consistently identified as having no barriers. This is very doubtful based on other information that is probably not taken into consideration

²² See for instance the Employment Equity Qualitative report August 2011. Annexure 14.6.

²³ See Employment Equity reports in annexure 14.1 to 14.6

when drafting the Employment Equity Report or in the Employment Equity Committee discussions.

Improvements in the process of consultation with the staff on the identification of barriers would increase the chances of identifying barriers that are not immediately visible and generally known. Staff surveys and research activity may similarly bring out areas where hidden but important barriers working against the achievement of the employment equity goals are at play.

- The issues that need to be dealt with in the Institutional Development Plan and the Institutional Transformation Plan are complex and often extremely perplexing because of the dilemmas posed by competing concerns and interests. Not making the decisions may be a matter of risk avoidance by postponement, with the hopes of never having to make the call, but this leads to sluggish achievement on objectives, and to lost opportunities.
- Employment equity planning, reporting and tracking did happen, especially after the 2010-2015 plan was put in place²⁴. The 2010-2015 Employment Equity Plan seems to be a result of discussions held at the 2007 Equity Imbizo²⁵, which followed the 2006 Institutional Imbizo²⁶. It took three years to have a comprehensive Employment Equity Plan. In the intervening period, a 2009 Employment Equity Plan²⁷ was put in place which dealt with qualitative matters only and did not include numerical goals as required by the Employment Equity Act of 1998. The extent to which employment equity planning is embraced by departments and divisions requires further exploration. The engagement with the quantitative and the qualitative aspects of the plan may assist with the identification and eradication of barriers by departments and divisions.
- In the think piece prepared for the 2011 institutional Imbizo, the Vice Chancellor Dr Badat²⁸ identified the need for modernisation of the systems, processes, and approaches to the work of the institution as being a critical area in need of attention. Secondly, he referred to the approach to the work of the institution and the institutional culture as being amateurish and *laissez faire*. The observations and analysis offered in that think piece go a long way in explaining the observations made in this part of the report. In the think piece Dr Badat also argues that the "*laissez faire* culture is an aversion also to *any* real democratic and peer accountability".²⁹

²⁴ The Employment Equity Plan 2010 -2015 is annexure 12.

²⁵ The outcome of the 2007 Equity Imbizo is annexure 5.

²⁶ Presentations from the Institutional Imbizo are marked annexure 4.

²⁷ The 2009 Employment Equity Plan is marked annexure 11.

²⁸ The think piece titled "Critical Reflections on Rhodes, 2006 – 2011" is annexure 8.2.6.

²⁹ *Ibid.*, p. 19.

Imbizo, colloquium and other opportunities

Annexures 6.2, 7.1, and 8.3 are attempts to track the outcomes of the 2007 Gender Imbizo, the 2009 Institutional Culture Colloquium, and the 2011 Institutional Imbizo, respectively. Without dealing with the various forums that have been held in minute detail, the following observations are made:

- The Gender Imbizo has had the most follow through on the number of outcomes processed for decision making and implementation³⁰.
- The level of success in the implementation and tracking of the outcomes of the Gender Imbizo seems to be largely attributable to the commitment and drive provided by the Gender Action Forum (GENACT), the Women's Academic Solidarity Association (WASA), and the response and co-operation they received from the Director: Human Resources.
- Whilst there has been follow-through and tracking especially through GENACT, the effectiveness of the initiatives has yet to be assessed. Policy changes were, for the most part, chosen in order to address a number of problems identified at the Gender Imbizo, and an assessment is necessary to determine whether the policy changes had their desired effect.
- It takes a long time to action some of the proposals coming from the forums.³¹ One of the outcomes of the June 2011 Imbizo outcomes was to finalise the Institutional Development Plan (IDP) by December 2011. This important strategic document is still in draft form at the time of writing this report.³²
- Point 38 of the Rhodes response to the Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions³³ (the so called 'Soudien report'), says in response to recommendation 11.1:³⁴

³⁰ Annexure 6.2 contains details of some of the outcomes and the follow through on these.

³¹ Staff surveys, support staff induction, collection of data on staff exit, the idea of a staff canteen and social space for staff, are all matters that have been repeatedly raised in discussions as early as 2007 and yet have not been fully or effectively implemented, within the 6 year review period.

³² The draft Institutional Development Plan is marked annexure 9.

³³ The Soudien Report is annexure 10, and the Rhodes response to the report is annexure 10.1.

³⁴ Recommendation 11.1 of the Ministerial report says Council should develop a clear transformation framework including transformation indicators and targets.

“the strategic plans or institutional development plans of universities should embody an explicit commitment to transformation, identify concrete transformation strategies and establish clear targets and indicators for transformation”³⁵

- However even though this statement was made in March 2010, the institution has still not explicitly set out such a concrete strategy and plan with clear targets and indicators. Plans and actions exist, mostly separate from each other, and information on these is not easily accessible even within the institution, as evidenced by the experience of conducting this exercise.
- Recommendation 10.2 of the same Ministerial report deals with the establishment of a compulsory common course for students, and the Rhodes response (at point 37) says that seed funding was made available during 2007 for such a course. Furthermore, that discussion on, the “feasibility, nature, form and content”³⁶ of such a course needs to occur within the institution. This matter, of a compulsory common course has indeed been referred to at various forums, including the 2011 Imbizo. To date, six years after the seed funding was set aside, there is still no conclusion on this matter.
- Another opportunity for the institution to reflect on the transformation related imperatives and strategy was at the time of release of the Council on Higher Education Quality Committee Audit Report of 2006³⁷. The institution prepared a comprehensive response in the form of a Quality Improvement Plan. An Institutional Equity Imbizo was held in 2007 and was used to deal with issues raised in the audit. Preparations for the Imbizo were included as part of the response document to the audit.
- Attempts to track the implementation of the transformation related recommendations and plans related to the audit report were not entirely successful due to problems accessing information, which suggests that, tracking the implementation of the Quality Improvement Plan was not done systematically. Where information was available it seemed that whilst a comprehensive response was drawn up indicating that the audit report received due consideration and attention, the institution did not fully follow through or co-ordinate implementation and progress monitoring, at least in relation to the transformation related elements.

³⁵ Rhodes University, *Rhodes University Response to “The Report of the Ministerial Committee on Progress towards Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions”*, 2010, p. 10.

³⁶ Ibid. p.10.

³⁷ The Council on Higher Education: Higher Education Quality Committee, Audit report on Rhodes University, December 2006 is annexure 3. The Rhodes Quality Improvement Plan in response to the audit report is annexure 3.1.

- Some of the issues that were subsequently considered and debated did not reach a conclusion, such as the 'notion of being a liberal arts university', and how this sits with the 'claimed African identity'. Some of the issues only received attention during 2010 and 2011, such as the conceptualisation of internationalisation.
- Rhodes' response on a recommendation dealing with the facilitation of student academic success notes that:

"the lack of an admissions policy has meant that the University has not been able to develop a set of strategies which would allow for improvements in its equity and redress profile."³⁸

The deliverable noted is captured as "an Access and Admissions Policy and associated strategies"³⁹. The Policy was subsequently passed and became effective in October 2010, four years after the audit report. The Higher Education Act of 1997, as quoted in the Rhodes Admission policy, had long called for such a policy.

- Whilst great strides have been made in terms of changes to the student profile, the question that arises is whether even greater achievement might not have been possible, had the Admissions Policy and associated strategies been in place earlier. Yet statements are often made, publicly, by the leadership of the institution, about the institution's strategy, direction and priorities in relation to student recruitment and the broadening of access, for instance for rural Eastern Cape students, and the growing proportion of South African black students. The status quo may be that the institution works from the basis of a consensus, and leaves execution to discretionary decision makers without detailing and committing strategy and plans to writing. The rules, procedures and criteria used for admission to different faculties, degrees etc. are clearly detailed and freely available but the foundation of equally explicit admission strategies seems to be missing. The intent however is well articulated in speeches.

³⁸ Rhodes University, *Quality Improvement Plan*, p. 8.

³⁹ *Ibid.* p. 9.

Student Profile

The tables below show the changes in the student profile. The 2006 and 2011 composition is shown.⁴⁰

% Total Undergraduate Students											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	0
2006	16	26	1	2	2	4	21	29	39	61	100
2011	18	35	1	3	1	2	19	21	39	60	100

Table 1 Race and gender composition: Total percentage of undergraduate students registered for bachelors degrees.

% Total Postgraduate Students											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	0
2006	23	17	2	2	2	3	25	26	52	48	100
2011	24	24	1	2	2	2	21	23	48	52	100

Table 2 Race and gender composition: Total percentage of postgraduate students registered for honours, masters and PhD.

- Table 1 shows the undergraduate student composition in 2006 and in 2011. The notable changes are:
 - African male component of the student population moved from 16% to 18%.
 - African female moved from 26% to 35% the biggest recorded change.
 - Coloured and Indian male and female undergraduate numbers did not undergo significant changes; however Indian female decreased from 4% to 2% of the undergraduate student population.
 - The notable change in the post graduate student population (Table 2) was the growth of African female from 17% to 24%. White females decreased from 26% to 23% of the postgraduate student population. All other postgraduate categories only moved marginally with percentages of no more than 2 or 3.

⁴⁰ More detailed Tables containing student access, participation, and success related data are included and marked annexure 18.3. All student tables in this report include only students registered for degrees. Students registered for certificates and diplomas, who are largely not visible on campus and do not impact on campus life are excluded (non-contact).

% Total First Time Entering Students						
	African	Coloured	Indian	White	Total Black	Total White
2006	37	5	4	54	46	54
2011	48	4	5	43	57	43

Table 3 Racial Composition: First time entering students.

- Table 3 shows the changes in the composition of first time entering students. The notable overall change is that in 2006 the black students (coloured, Indian and African) made up 46% of the intake and in 2011 made up 57%.
- Tables 4 and 5 show the percentage of students who completed three and four year undergraduate degrees (respectively) on time. There is a more marked difference along the financial aid or no financial aid marker rather than along race or gender lines. The completion rates in most categories, as per race and gender or financial aid go up and down over the years showing no consistent patterns between the different cohorts. Further research is required in order to understand the issues influencing these patterns.

% Three Year Undergraduate Bachelors Completed on Time																					
	African				Coloured				Indian				White				Total				Grand Total
	M		F		M		F		M		F		M		F		M		F		
	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	
2006	7	16	18	34	0	0	57	22	0	47	0	40	40	50	69	57	13	42	32	47	40
2007	7	25	12	42	0	14	50	36	0	33	100	58	40	49	83	64	10	40	25	54	42
2008	8	27	19	31	0	10	0	50	0	43	40	37	60	45	68	61	11	37	25	47	37
2009	15	27	15	27	33	23	33	26	50	24	100	50	42	36	50	48	19	31	20	36	31

Table 4 Race, gender and financial aid profile: Percentage of three year undergraduate bachelors completed on time.

*NFA = No Financial Aid

*FA = Financial Aid

% Four Year Undergraduate Bachelors Completed on Time																					
	African				Coloured				Indian				White				Total				Grand Total
	M		F		M		F		M		F		M		F		M		F		
	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	FA	NFA	
2006	7	56	67	57	0	50	100	55	0	77	100	59	57	77	100	76	24	69	82	67	66
2007	43	46	31	50	0	100	100	67	50	40	67	59	67	67	71	80	47	57	52	67	62
2008	14	43	47	60	0	0	0	60	0	30	100	75	100	58	75	68	25	48	56	65	57

Table 5 Race, gender and financial aid profile: Percentage of four year undergraduate bachelors completed on time.

*NFA = No Financial Aid

*FA = Financial Aid

- Data tracking applications for admission patterns may impact on the composition of the student body, and the reasons for unsuccessful applications may become quite informative in tracking and explaining the changes in the social composition of the student population. Undergraduate admissions data is available in annexure 18.3. Data for postgraduate admission was only recorded from 2010 and should continue to be tracked for future evaluation and analysis of admission patterns.
- Tables 6, 7, 8 and 9 show the average number of years taken to complete honours, masters by course work, masters by thesis/ research and PhD degrees.

Average Number of Years to Obtain – Honours								
	African		Coloured		Indian		White	
	M	F	M	F	M	F	M	F
2006	1.4	1.3	1.0	1.2	1.0	1.0	1.0	1.0
2007	1.2	1.2	1.3	1.1	1.0	1.0	1.1	1.0
2008	1.5	1.3	1.0	1.0	1.0	1.0	1.0	1.0
2009	1.2	1.2	1.5	1.0	1.0	1.1	1.0	1.1
2010	1.5	1.3	1.0	1.1	1.0	1.0	1.0	1.0
2011	1.2	1.3	1.7	1.3	1.0	1.0	1.0	1.0

Table 6 Race and gender profile: Average number of years taken to obtain an honours degree.

Average Number of Years to Obtain – Coursework Masters								
	African		Coloured		Indian		White	
	M	F	M	F	M	F	M	F
2006	2.5	2.2	0.0	2.0	0.0	2.0	2.8	2.7
2007	2.2	3.5	6.0	2.5	0.0	0.0	3.5	2.5
2008	2.8	2.8	5.0	0.0	0.0	3.0	3.0	2.5
2009	2.5	2.8	2.5	4.0	2.3	3.5	2.6	2.4
2010	3.1	2.4	4.0	2.5	2.0	2.3	2.7	2.6
2011	2.6	2.2	4.0	2.0	2.7	0.0	1.9	2.7

Table 7 Race and gender profile: Average number of years taken to obtain a coursework masters degree.

Average Number of Years to Obtain – Research Masters								
	African		Coloured		Indian		White	
	M	F	M	F	M	F	M	F
2006	2.4	2.5	2.0	2.0	0.0	2.0	2.4	2.4
2007	2.5	2.9	2.0	4.0	1.7	3.3	2.5	2.3
2008	2.6	2.2	0.0	0.0	2.7	2.0	2.5	2.4
2009	2.7	2.5	0.0	9.0	2.0	2.5	2.5	2.7
2010	2.7	2.3	2.5	0.0	4.0	2.3	3.0	2.3
2011	2.6	2.7	0.0	2.5	2.5	3.0	2.6	2.4

Table 8 Race and gender profile: Average number of years taken to obtain a research masters degree.

Average Number of Years to Obtain – *PhD								
	African		Coloured		Indian		White	
	M	F	M	F	M	F	M	F
2006	3.8	3.6	8.0	6.0	4.5	6.0	4.1	4.5
2007	4.2	4.8	0.0	4.0	3.0	4.0	3.7	3.1
2008	4.3	3.3	0.0	0.0	0.0	0.0	4.0	5.1
2009	3.3	2.8	0.0	4.0	0.0	2.0	4.3	4.6
2010	3.5	3.3	0.0	3.0	4.0	4.0	4.3	4.0
2011	3.3	4.1	0.0	6.0	3.0	0.0	3.8	4.4

Table 9 Race and gender profile: Average number of years taken to obtain a PhD.

*Excludes PharmD.

- At honours level the completion time does not show huge differences with the average for most groups (race and gender) being just over a year, mostly 1.2 or 1.3 years in 2011. The coloured male average of 1.7 years in 2011 is especially noticeable because it increased from 1.0 in 2006, and in 2009 this figure was 1.5. Also noticeable is that white males and females consistently show an average 1.0, and do not seem to need that extra month or two to complete honours.
- Data on coursework masters shows a noticeable difference, in relation to coloured males. This is the only group to register an average of 4 years twice (2010 and 2011) and to register averages as high as 5.0 (2008) and 6.0 years (2007).
- Factors influencing these movements and changes would need further research in order to get an interpretive layer on the data. Continuous tracking, reporting and interrogation at relevant faculty, departmental and institutional forums are also necessary. The criteria for selection of students for postgraduate studies suggests that differences along the lines of gender, race or financial aid would no longer be significant or in existence at all. Where notable differences are evident, they would require some explanation.
- The PhD 2011 completion times show the following notable changes:
 - There was a decrease in completion time for African male students. The 2011 times are 3.3 years (down from 3.8 in 2006 and 4.3 in 2008). The pattern for African females has moved up and down starting at 3.6 in 2006 touching 4.8 in 2007, the highest in the period under review, and 2.8 in 2009, the lowest.
 - Coloured females show an average PhD completion time of 6 years in 2006 and in 2011, with the lowest average time of 3 years in 2010, and 4 years recorded for both 2007 and 2009.
 - The figures for PhD completion times show no discernible

patterns and move up and down for most categories of students. The number of students in some years for some of the categories may also be relatively small making comparisons difficult or impossible.

- A deeper analysis of these figures is required and would take into account a number of factors including whether the students are full-time or part-time, in full-time employment or not, issues related to supervision, financial assistance and many other factors outside of the control of the students. One would then need to see how these factors perhaps impact differently on different students, and if so, along what lines.
- Keeping the data for full-time and part-time Masters and PhD students together may lead to a distortion of the throughput rate of full-time students.
- Faculty Transformation Plans need to identify the indicators that will be regularly tracked, the purpose of tracking, the interpretation of the data, and the use of intelligence gathered in the process of tracking and interpretation to make decisions and devise interventions where this is required. Where draft Faculty Transformation plans exist, these discussions are in advanced stages, and areas requiring further enquiry and research are being identified. Future monitoring and evaluation exercises could then track such indicators and the impact of interventions.

There are other indicators which can be tracked and which may also require further exploration:

- Increase or lack thereof of students from poor or working class families;
- Increase or lack thereof of students from the Eastern Cape and rural areas;
- The participation and success rates of students admitted through the extended studies programme.

Academic Staff Profile

With regards to efforts to change the staff demographic profile, the Quality Improvement Plan listed the following as some of the required actions:

- A staff recruitment plan.
- The possibility of Rhodes' own development programmes to 'grow own timber'.
- Examine the possibility of mentoring and support structures to allow for better staff integration and development.

Whilst the recruitment policies and procedures have received some attention, some of the strategies associated with these cannot be said to be effectively and consistently applied. The use of search committees in order to broaden the search for staff cannot be assessed for its effectiveness as the results of such searches are often not recorded or reported to recruitment and selection committees.

The Mellon and Kresge Programme for the Accelerated Development of Academic Staff remains the major strategic intervention. It is externally funded and in comparison to the enormity of the challenge of changing the academic staff profile, the results seem like a drop in the ocean. The programme has largely benefited the designated groups as per the Employment Equity Act and therefore can be said to have been implemented in a manner that responded directly to the imperatives of the Act.

% Mellon Kresge Programme 2006-2011											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	
2006	100	0	0	0	0	0	0	0	100	0	100
2007	33	33	0	0	0	0	0	33	33	67	100
2008	0	0	0	0	0	100	0	0	0	100	100
2009	25	25	0	50	0	0	0	0	25	75	100
2010	0	50	0	0	0	50	0	0	0	100	100
2011	0	0	33	33	33	0	0	0	67	33	100
Programme Total	31	19	6	19	6	13	0	6	44	56	100

Table 10 Race and gender profile: Percentage of staff that are part of the Mellon and Kresge Programme.

The idea of internally funded programmes on development, mentoring and support has not really taken off, and perhaps, had it been implemented, it would have institutionalised the efforts associated with the Mellon and Kresge Programme and achieved better results in terms of contributing to staff profile changes and addressing the institutional culture problems associated with the poor retention of staff.

In a paper presented to the University Leaders' Forum, on 24 November 2008, Dr Badat, says with regards to addressing the inequality in the representation of permanent instruction staff, especially the representation of black South Africans:

“challenges related to the development and retention of a new generation of academics in South Africa need to be appropriately conceptualized...policies, strategies and mechanisms that are innovated for reproducing, transforming and retaining a new generation of academics indeed address these challenges”⁴¹.

The paper looks at the period from 1994 to 2006 and records changes in the South African higher education academic workforce (see table 11 below).

	African	Coloured	Indian	White
% Male and Female	1994 – 10% 2006 – 24%	1994 – 3% 2006 – 5%	1994 – 4% 2006 – 9%	1994 – 83% 2006 – 62%

Table 11 South African higher education academic workforce national/sector numbers.⁴²

The paper notes that by 2006 the national academic workforce remained predominantly white (62%) and male (58%), but significant advances had been made, and that the representation of black African staff moved from 10% to 24%, during that 12 year period.

The paper also deals with the differential representation of black staff at what have been characterised as 'historically black' and 'historically white' universities, and the lingering effects, and challenges of confronting the racialised history of South African universities.

Dr Badat then notes how Rhodes University lagged behind in comparison to the national profile of academic staff, and that of other 'previously white universities'. The challenges of representation at Rhodes University, in its permanent instruction staff, showed "significantly less progress in both deracialising and degenderizing its academic workforce"⁴³

⁴¹ Badat, S. *Reproducing, Transforming the Social Composition of, and Retaining a new Generation of Academics: The Rhodes University Programme of Accelerated Development*. Paper presented at the University Leaders' Forum: Developing and Retaining the Next Generation of Academics, Accra Ghana, 24 November 2008, p. 6.

⁴² Adapted from Badat, S. *Reproducing, Transforming the Social Composition of, and Retaining a new Generation of Academics*, p. 6, 7.

⁴³ *Ibid.*, p.13.

The profile of academic staff in Council funded posts at Rhodes in 2006 was as follows:

- African – 12%
- Coloured – 2%
- Indian – 3%
- White – 83%

By 2011 the profile had not changed significantly, showing the following:

- African -10%
- Coloured – 5%
- Indian – 6%
- White – 80%

The numbers of permanent academic staff in Council funded posts at Rhodes did not grow significantly in this period totalling 315 in 2006 and 319 in 2011. Permanent South African academic staff numbers were at 237 in 2006 and 258 in 2011, while total international staff numbered 78 in 2006 and 61 in 2011.

According to the Employment Equity Report of the period ending August 2011, the permanent academic staff (including those in externally funded posts) totalled 488, and there were an additional 18 temporary academic staff members. These academic posts include research, teaching and instrumentation scientists, 70 of whom were international staff members. Using these figures the academic staff (excluding international staff) were 81% white, 43% female and 57% male.

In his paper presented at the University Leaders' Forum, Dr Badat, offers a thorough analysis of, and makes important observations on, Rhodes' Mellon and Kresge Accelerated Development Programme. The paper analyses the conceptualisation, implementation and evaluation of the programme. This analysis is not repeated here but the following observations are made following this review exercise.

In the initial stages, there were an overwhelming number of good applicants from designated groups to the programme. Between 2002 and 2010 (8 years), 19 aspiring academics went through the programme, but only 5 were appointed to permanent academic positions at Rhodes, with the possibility of 3 more being appointed.

By the end of 2011 the following awards had been made in the programme

- Masters – 10% (3)
- PhD – 62 % (18)
- Post Doc -28 % (8)

A total of 29 awards had been made and of these 12 were still in the employ of Rhodes University. This shows a retention rate of 41%, which in light of the levels of under representation in the academic staff profile, is disappointing.

Secondly, having had the programme running for 9 years, 2002-2011, it would be expected as per some of the discussion in the institutional Quality Improvement Plan, that the lessons that had been distilled from the successful elements of this development programme, would have been institutionalised so that the impact of this model could be extended.

Postgraduate scholarships data could be an important indicator of who is pursuing postgraduate studies and who the possible future academics could be. Although future Rhodes academics will not and should not, only come from the Rhodes postgraduate population, the finance and scholarship allocation patterns could nonetheless be an indicator of deliberate 'growing own timber' strategies.

Statements have also been made about the investment of Rhodes' money, as a contribution to efforts to transform the student body and to advance all students from disadvantaged economic backgrounds. Data to substantiate these statements and to illustrate patterns of allocation over the review period was not accessible.

Analysis including looking at criteria for the scholarships administered by the Postgraduate Financial Aid office, and within that restrictions in terms of areas of study and the social composition of students as per fields of study, may provide a useful interpretive layer for a deeper understanding of scholarship data. Another factor to consider in the composition of postgraduate students is the number of international students captured under the category African, and how this is impacted upon by the scholarship criteria. This factor is also important in terms of considerations for the next generation of academics in relation to the Employment Equity Act.

The conditions for the success of the Mellon and Kresge type of model of development and advancement are also discussed in the paper presented by Dr Badat to the University Leaders' Forum.⁴⁴ These have to do with other elements of institutional transformation, including aspects of the institutional culture, challenges with induction, succession planning, space for new ideas around teaching, learning and research, the design and practice of mentoring, and problems associated with affirmative action programmes including stigmatisation. All these conditions are relevant not only for the Mellon and Kresge programmes, but for the overall transformation of the social composition of the teaching staff and for postgraduate student induction into the academy.

Whilst institution based and resourced solutions are necessary, it is also acknowledged that the challenge is much broader than the issue of social composition of the academic staff and includes challenges raised by age analysis of current national academic staff, and the seeming unattractiveness of the academy as a career choice. The challenge of creating the next generation of academics is a sectoral challenge, which Higher Education South Africa (HESA) has been grappling with. In 2011 a proposal on how to

⁴⁴ Badat, S. *Reproducing, Transforming the Social Composition of, and Retaining a new Generation of Academics.*

deal with this sectoral challenge, including how to resource the proposed solution, was prepared by HESA and presented to the Minister of Higher Education.⁴⁵ Dr Badat chaired the HESA strategy group that prepared this proposal.

⁴⁵ HESA, *A Generation of Growth: Proposal for a National Programme to Develop the Next Generation of Academics in South African Higher Education*, 2011.

Support Staff Profile

The composition of the support staff at senior management level indicates the following:

% Senior Management											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	
2006	5	3	8	0	0	3	57	24	70	30	100
2011	14	5	0	0	5	0	32	45	50	50	100

Table 12 Race and gender profile: Senior management, grades 18 and above.⁴⁶

Whilst the numbers of staff at this level are small, the representation and percentages indicate that the staff remained predominantly white, from 81% in 2006 and 77% in 2011. The biggest shift was from 57% white male to 32% and from 24% to 45% white female. There were thus significant strides in terms of gender but disappointing movement in terms of racial composition.

Composition of middle management staff is as follows:

% Middle Management											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	
2006	5	11	2	5	0	0	27	51	33	67	100
2011	9	19	3	3	0	2	26	38	38	62	100

Table 13 Race and gender profile: Middle management, grades 14-17.

This component of support staff, grades 14-17 shows the following noticeable movements:

- African female moving from 11% to 19%.
- White females moving from 51% to 38%.

This layer of staff remains largely female having moved from 67% to 62% female of total staff. It is also still predominantly white having moved from 78% to 64% white male and female.

Composition of administrative staff, grade 6-13 is as follows:

% Administrative Staff											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	
2006	6	14	5	11	0	1	3	61	14	86	100
2011	8	21	11	14	0	1	10	35	29	71	100

Table 14 Race and gender profile: Administrative staff, grades 6-13.

⁴⁶ More detailed tables showing support staff social composition for the period under review are contained in annexure 18.1.

Movements in this category are shown as follows:

- African females moved from 14% to 21%
- White males moved from 3% to 10%
- Coloured males from 5% to 11%
- White females moved from 61% to 35%

This layer of staff has moved from 64% to 45% white, which is the highest movement of all the categories.

The composition of staff is only noted in this report as a particular outcome of the Employment Equity Act. Further exploration including of factors such as retention rates of designated groups, turnover rates, growth in staff numbers and so forth is required in order to quantify the lost opportunities in terms of appointing and retaining a more demographically representative support staff. Some of the factors require a focused qualitative research enquiry.

For illustration purposes the following is noted from the Employment Equity Reports:

During the period August 2010 to August 2011, 366 recruitment processes were undertaken as per the Employment Equity Report of that period. Of those, 163 were in the category of professionally qualified and experienced specialists and middle management. This category combines all academic staff and middle managers on the support staff side. This is one of the categories where the institution is in need of the most changes in order to achieve representivity. A total of 93 of the 163 appointments were of white men and women, 27 were of international staff and 52 appointments (only around 32%) were black staff (coloured, Indian and African). Appointments at this level could impact on moving the academic staff and middle management layer from still being predominantly white, at 80% of academic staff and 64% at middle management level.

During the same period 150 terminations of permanent employment relationship are reported. 54 of these are in the category of professionally qualified and experienced specialists and middle management. The majority of terminations in this category are of white males and females 40 of the 54. This kind of turnover is important as it represents an opportunity to make appointments that advance the diversity of staff and representivity.⁴⁷

Further reporting and some analysis for each of the years under review are available in the individual annual Employment Equity Reports contained in annexure 14.1 to 14.6.

Internship has been listed as one of the programmes intended as an intervention to assist with development and advancement of support staff.

⁴⁷ Recruitment and termination statistics for one year do not coincide due to the length of time it takes to fill vacancies.

Data relating to the programme is shown in the table below.

% Human Resources Division Internships											
	African		Coloured		Indian		White		Total		Grand Total
	M	F	M	F	M	F	M	F	M	F	
2006	29	50	7	14	0	0	0	0	36	64	100
2011	23	59	5	5	0	0	0	9	27	73	100

Table 15 Race and gender profile: Human Resources Division support staff internship programme.

The following are the achievements of this programme:

- A total of 111 staff members were placed in internship programmes during the period under review.
- In total, 61 individuals are still in Rhodes employ after taking part in the internship programme. Not all were however successful in the programme.
- The best retention rate has been of African males. Out of the 24 African males who were on the program in the period under review, 18 remained at Rhodes after 2011. Of the 66 African females on internship, only 32 remained. White females had the lowest retention rate of 1 out of 6 individuals.

In terms of impact of the program on the composition of staff, the placements have been primarily in the following categories: kitchen attendants, clerical staff and graduate interns. The majority of the 111 placements were clerical (48) and graduate (29).

This development initiative is not likely to make an impact on the middle and senior management levels, where arguably the priority should be. The fact that the institution does not have a comprehensive training and development programme for management skills and competencies, would act as a barrier for the attraction, advancement and retention of a diverse support staff at middle management levels.

On another level, the Education, Training and Development Practices Sector Education and Training Authority (ETDP-SETA) training reports which are annexures 13.1-13.6 show most of the training planned and executed for support staff was aimed at clerical, administrative and office managers. Significant effort is recorded on training covering areas such as: abet, driving skills, computer skills, and supervision training, which all contribute positively to up-skilling and hopefully also multi-skilling staff at the lower grades. The training is however not complemented by a comprehensive and structured programme of career pathing, succession planning, performance appraisal and feedback, and other tools that can be used by managers in planning and implementing the development and advancement of staff. What is also sorely missing is the equipping and training of managers with tools to use in the management of staff and in the creation of an environment conducive to the maximum development of potential and leveraging the best contribution of individuals. The implication of this on the institutional culture and the working environment,

job satisfaction and related matters is adverse and does not assist Rhodes to be 'the employer of choice'. This also means there is no structured institutional link to employment equity planning because the efforts and practices are not institutionalised and not universally expected of managers.

Training for academics in terms of higher degrees is a more straight forward pursuit and the reports show achievements in this regard, as well as on courses related to use of technology, Postgraduate supervision and so forth. What is not clear is the active role of academic Heads of Departments, in relation to efforts aimed at the development and advancement of academic staff.

Institutionalisation & Citizenship

For transformation to work, there needs to be a shift from the influence and power of some of what Dr Badat calls the “inherited and given conditions” to new, innovative, bold, and imaginative institutional leadership and solutions.

Institutionalisation and Citizenship

Institutionalisation and citizenship refers to the extent to which staff and students are familiar with, and engage with the transformation related imperatives and objectives of the institution. An assessment of this key area should shed light on the extent of awareness, shared and common understanding of the objectives, and appreciation of the need to implement and achieve the objectives and goals, as well as the possible consequences for non-achievement. It is overall about how the transformation related objectives and imperatives are woven into the texture and fabric of the culture and practices of the institution. This area lends itself to qualitative research in order to get a deeper and more comprehensive understanding.

In a think piece prepared for the 2006 Imbizo⁴⁸ the Vice Chancellor, Dr Saleem Badat, writes:

“Each HE [higher education] institution is unique in terms of character, qualities, strengths, and shortcomings. There can be no stock or of-the-shelf interventions for undertaking and realizing institutional changes and development in accordance with institutional vision, values and goals. What is required is imaginative and effective institutional leadership and the identification, designing, managing, and implementing of change in a way that is faithful to vision, values, and social and educational goals, but also takes serious account of inherited and given conditions. It is the vision, goals and constitutional and social imperatives, as well as institutional conditions that must determine the scope, trajectory and pace of change.”⁴⁹

In the same paper, Dr Badat says, about serious institutional change:

‘...if it is to ensure integrity of the university, advance equity of opportunity, and contribute to economic and social development [it] must have at its heart innovation, renewal...’⁵⁰

It is such effective leadership, identification, design, management and implementation of innovative, imaginative, renewal type strategies that would institutionalise a transformative institutional agenda. For transformation to work, there needs to be a shift from the influence and power of some of what Dr Badat calls the “inherited and given conditions”⁵¹ to new, innovative, bold, and imaginative institutional leadership and solutions.

⁴⁸ See annexure 4.

⁴⁹ Badat, S. “South African higher education change: context, achievements, and critical issues and challenges”. Think piece presented at the Rhodes University Imbizo, Mpekweni, , 2006, p. 22

⁵⁰ Ibid, p. 12

⁵¹ Ibid. p. 22.

The questions that are asked in assessment of this key area are:

- a. Are there spaces available for staff and students to engage on relevant transformation related issues, challenges and solutions?
- b. Are transformation related objectives and goals integrated into the main agenda and objectives of the institution?
- c. Are transformation related objectives and goals integrated into the policies, procedures and protocols of the institution, and how do these influence the practices and culture?
- d. Is there a shared interest, responsibility and commitment to contributing to the achievement of the institutional goals?

The following observations are made following an assessment of this key area:

- Spaces and forums for debate and discussion of transformation related issues were availed during the review period.
- The assessment could not confirm whether the forums provided requisite openness and transparency, to encourage honest airing of issues and concerns.
- The fact that the forums largely go round and round in open ended discussion suggests that the cultivation of shared and common understanding of the issues may be a problem, as there may not be clarity on the institutional direction.
- A number of colleagues have over time attended and contributed to the forums, including amongst other efforts, the preparation of papers and think pieces to guide, inform and stimulate the discussions.⁵²
- It is also noted that various departments and faculties have also held discussion on issues related to higher education transformation. These have not been included in the review, but the contribution they have made to the life, thinking and debate within the institution is noted.⁵³
- The Human Resource Division has run workshops for chairpersons of Recruitment and Selection Committees on the implementation of employment equity.
- The lack of an over-arching strategy and plan probably compromises the promotion of a common understanding of all the issues.

⁵² See for instance the think pieces for the Imbizo in 2006, annexure 4 and those for the 2011 Imbizo, annexures 8.2.1 – 8.2.6.

⁵³ For instance ISER hosted a seminar on Employment Equity in November 2008. Various departments, including CHERTL have held seminars and roundtables at which higher education and transformation related matters, have been discussed.

- The lack of an effective accountability model probably results in lack of appreciation of institutional consequences for non-achievement of the objectives.
- One advantage of being an educational institution is the possibility of scholarly research being used to drive exploration and deeper understanding of the issues, as well as to provide much needed answers to the hard questions. This advantage does not seem to be leveraged in any significant way.
- The lack of a strategy means that there is no integrated agreement on how to track, monitor and institutionalise implementation and achievement.
- Whilst student related initiatives for driving shared understanding of the social issues, and constitutional values exist, as detailed in both the Quality Improvement Plan and the response to the Soudien report, the effectiveness, reach and impact of these programmes requires objective evaluation.
- The required innovation and boldness of solutions and programmes does not seem to exist beyond the articulation of certain aspirations.⁵⁴

⁵⁴ An example of such a bold statement is of Rhodes becoming “an employer of choice” (see for example 2011 Imbizo record, annexure 8) which would presumably assist with the recruitment strategies and the diversification of staff. Such a positioning does not seem to have received enough unpacking for it to be more than an aspiration but a strategy. Such unpacking would presumably deal effectively and more comprehensively with issues such as attraction, retention, wellness, development and succession plans for staff.

Reporting & Monitoring

Internal reporting and monitoring would allow for the tracking of implementation, improve the ability to make adjustment to strategy and plans where required, and would support accountability for the implementation and achievement of institutional objectives and goals.

Reporting And Monitoring

Internal reporting and monitoring would allow for the tracking of implementation, improve the ability to make adjustment to strategy and plans where required, and would support accountability for the implementation and achievement of institutional objectives and goals.

The questions asked in the assessment of this key area are:

- a. Is there an internal framework for reporting?
- b. Is the structure, composition and functioning of the framework evaluated at regular intervals?
- c. What is the nature, frequency and content of reports, and the nature of engagement with such reports?
- d. Is the monitoring framework institutionalised?
- e. Is reporting used as a space to do self-assessment, tracking changes and achievement?

The following observations are made about this key area:

- The institutional committee system, Senate and Council all provide a framework through which reports on some of the relevant issues are or can be processed.
- The reports are not necessarily processed in relation to an existing strategy and planning framework for the purposes of monitoring progress and achievement.
- The employment equity planning and reporting is different and handled more systematically compared to other areas. However the quality and depth of the analysis and reflection on the employment equity reports could improve.
- The creation of the post of Director: Equity and Institutional Culture, with reporting, monitoring and evaluation as part of the brief, can be seen as an indication of recognition of the need to do more in this area.
- Reporting by internal governance structures to external structures is in place.

Institutional Successes

It can be argued...that it is these very successes that are at risk if the strategies, plans and actions of the institution do not become more focused, innovative, deliberate and bold.

Institutional Successes

During the period under review there have been countless institutional successes which have been part of the dominant narrative of the institution. Such successes have been internally and externally recognised. Some of the Vice-Chancellor's speeches detail these successes, especially at important occasions in the life of the institution.

The think piece by the Vice Chancellor prepared for the 2011 Imbizo, aptly titled 'Critical Reflections', traces some of the outcomes of the 2006 Imbizo and looks at what has been achieved in relation thereto in the intervening period. This paper looks at each of the seven key themes of the 2006 Imbizo. Progress made in terms of student profile, scholarships awarded, community engagement, new academic and research programmes, student academic support and success interventions, are all detailed in this paper. Similarly, challenges and gaps in achievement are detailed and acknowledged.

Media reports and reports on higher education have also highlighted institutional successes and those of individual staff and students, prestigious awards and scholarships being some of these accomplishments.

Some of the successes are:

- Rhodes continues to prove itself in the area of research related outputs;
- The winning of prestigious scholarships by Rhodes students;
- Allocations for specialised funding and grants;
- Changes in the student demographic profile;
- The funding commitments made by the Rhodes Council to student financial aid;
- The community engagement contributions of staff and students⁵⁵; many of these are undertaken by groups and individuals who go about their transformative initiatives in a quiet and dedicated manner;
- Academics who are leaders in their field and who share their expertise on the public platforms and in the media;
- The rich diversity brought by the international component of the student and staff body;
- The proportionately higher qualification levels of academic staff, compared to other institutions;

⁵⁵ For example citizen journalism, ICT support for schools as per the Siyakhula Living Lab and Saturday maths and science classes for learners.

- A recent report on Higher Education in South Africa lists Rhodes as one of the top four institutions for postgraduate enrolment;⁵⁶
- The same report notes Rhodes as being in the top four for graduation records for masters and doctoral students, and that overall, Rhodes has the highest graduation rates in the system;
- Initiatives led by, or directed at students are noted as exemplary in the Soudien report;
- Accomplishments in the area of research that are noted in institutional publications including the annual Rhodes Research Reports.
- Internal and external awards for achievement, such as the Vice-Chancellor's Community Engagement Awards and other awards.

It can be argued however, that it is these very successes that are at risk if the strategies, plans and actions of the institution do not become more focused, innovative, deliberate and bold. The ability to sustain the successes is at risk due to the following factors:

- Failure to act when there is still a chance to act in a deliberate, balanced and careful manner, with choices that simultaneously safeguard the successes and bring about transformation, will lead to forced, probably externally imposed and haphazard changes, with less chance of balancing competing interests and demands. This could have adverse consequences.

In the think piece prepared for the 2006 Equity Imbizo, Dr Badat writes:

"Social equity with quality and quality with social equity must be the uncompromising pursuit of every HE institution. Without quality, social equity is meaningless. So-called quality to the exclusion of social equity means that we preclude the possibility of social advancement through equity of opportunity in HE, that we reproduce the occupation and social structure of our apartheid past, and we compromise the substance of our democracy"⁵⁷

And one could add that eventually, we compromise the very success and quality of the institution.

⁵⁶ Carrim, N. and Wangnge-Ouma, G. *Higher education in South Africa: A report of higher education of South Africa*, published by the British Council South Africa, 2012.

⁵⁷ Badat, S. "South African Higher Education", p. 14.

- The current trajectory, and especially the pace of changing the academic staff and management staff profile, may lead to unfavourable conclusions about the willingness of the institution to implement the changes.
- The branding of the institution as one resistant to social change may in the future interfere with the ability to attract new and 'non-traditional' sources of funding, staff and students (especially postgraduate students). Current problems of staff attraction and retention may be exacerbated.
- The failure to work on and institutionalise deliberate strategies on staff attraction and retention, means that the risk and challenge related to the age analysis of academic staff is also not being addressed.
- The failure to deal with the challenge of curriculum innovation and transformation institutionally, rather than in parts, may already be hindering the ability of the institution to attract a more diverse postgraduate population and new generation of academics and researchers, who find more exciting and imaginative offerings elsewhere.

Recommendations

There is an urgent need to approach the work related to the transformation imperatives of the institution in a consciously purposeful, principled and deliberate manner.

Recommendations

There is an urgent need to approach the work related to the transformation imperatives of the institution in a consciously purposeful, principled and deliberate manner. This can only be done if there is sufficient commitment to, and agreement upon the constitutional, moral and ethical correctness of the required actions. The second prerequisite is that of acceptance of responsibilities, and embracing the need to work in a manner that promotes and allows for greater accountability for the set objectives and their achievement. The third is the ability to make bold decisions and choices, and to accept that things cannot simply proceed as they are now, and that this will most probably have an unsettling and discomfoting effect on the ways of doing and being.

The following recommendations are made:

Recommendation	Driver	Timeline	Notes
Complete the Institutional Development Plan (IDP)	DVC: Academic and Student Affairs	Before July 2013	Budget and other resource implications. Short, medium and long term plans
Complete the Institutional Transformation Plan (ITP)	Director Equity and Institutional Culture (E&IC)	Before September 2013	Align with IDP. Budget and resource implications. Short, medium and long term plans. Allocation of responsibilities, indicators, tracking and monitoring and address governance framework.
Complete Faculty Transformation Plan (FTPs)	Faculty Deans, Faculty Boards	August 2013	Dealing with staff, student, curriculum and institutional culture related issues and challenges. Agreeing on indicators for tracking, methods of interpretation, research to further interpret and explain the data and agreement on interventions.
Departmental, divisional plans that align with and support the IDP, ITP and FTPs	Directors, HoDs	November 2013	Annual plans. Alignment. Budget decision.
Institutional skills audit (support staff)	Director: Human Resources	2014	Medium and long term needs as aligned to IDP and FTPs.

Recommendation	Driver	Timeline	Notes
Division and Faculty Human Resource Plans	Deans, Directors, Director: Human Resources	2014	Align to Medium and long term needs as per IDP, ITP, and FTPs. Skills gap analysis and identification of skills required as per long term vision. Alignment of skills plan to Employment Equity Plan (EE Plan). The Skills Development Plan needs to take into consideration the IDP – the skills required at the institutional level must be identified. (in order to meet the needs of the IDP). The institutional skills gap must be mapped onto the skills audit in the divisions, the training plan and training resources appropriately matched to this at institutional, divisional, faculty and individual level.
Employment Equity Planning	Director: Human Resources, Deans, Directors	Plans and strategies implementation on-going. Monitoring on-going.	Strategies for addressing current staff profile challenges and the over and under representation, with particular racial and gender implications at the various levels. Identification of barriers and strategies to deal with barriers. Staff consultation processes. The role of the Employment Equity Committee, the governance and reporting functions to be enhanced.
Employment Equity Planning	Director: Human Resources	By end 2014	Institutional skills audit, analysis, skills gaps identification and alignment to EE Plan. Training plan and training resource allocation in order to meet the needs of the IDP, ITP and FTP. Development, advancement, career pathing, succession plans – institutionalised and linked to EE Plan and Skills Plan.

Recommendation	Driver	Timeline	Notes
Conceptualisation of key roles in a manner that explicitly integrates and allows for the implementation of the transformation related imperatives.	Director: Human Resources, DVC: Academic and Student Affairs, Deans, Directors	By 2014	The roles of Deans, HoDs, Directors, and Middle Managers must explicitly allow for the responsibility of, and accountability for implementing the transformation related imperatives. Time, capability, capacity and other constraints must be confronted and resolved.
Policy and procedure reviews	Custodians of policies, relevant committees, Director E&IC	On-going	Effectiveness of policy. Implementation of policy. Compliance reviews. Purpose and objectives of policy.
Institutionalisation, communication and advocacy	Vice-Chancellor, Deans, Directors HoDs	On-going	Clarity, consistency, commitment and consensus building.
Direction, leadership and priority setting	Council, Senate, Vice-Chancellor	On-going. Start with approval of IDP, ITP, FTPs, EE Plan and associated strategies, and plans.	Agenda setting, attention to and continuous monitoring of implementation of plans.
Curriculum Transformation	Deans, Dean of CHERTL		Faculty Transformation Plans
Strategy to address the needs of staff and students with disabilities.	Disability Task Team under Leadership of DVC: Academic and Student Affairs.	On-going	Eventually to be part of IDP and ITP. Task Team to identify needs, priorities, strategies, costing and timelines. Formalise status and administration of the Task Team.
Policies	Custodians of Policies, University committees	On-going	Ensure regular policy reviews, including asking the set of questions posed in the policy section of this report, as part of the review.
Agree on a Monitoring and Evaluation framework	Equity and Institutional Culture Committee, Institutional Forum Senate, Council	On-going	Frequency of reports, nature and content of reports, indicators, data tracking, analysis etc. Agreed upfront and included in ITP.

Recommendation	Driver	Timeline	Notes
Use Information technology to assist with the governance, tracking, monitoring of strategy, objectives and goals	Institutional Planning Unit, IT, Vice-Chancellor	On-going	Shared portals, accessible user friendly system that allow different parts of the institution to upload, share and use important institutional data. Enable and simplify.
Review the role, composition and agenda of the various governance structures (e.g. E&IC Committee, Council) in relation to transformation governance	Include in ITP	Dec 2013	Agree on and enable a governance framework for transformation related plans and strategies.

Concluding Remarks

Concluding Remarks

It is hoped that the overall objectives for this project as detailed in the objectives and possible achievements section of this report will have been met, albeit to varying degrees.

In particular:

- The information gathered from this exercise can now form the repository of information on institutional transformation initiatives.
- The comments made about the six key areas of policy; leadership; strategy and strategy implementation; governance; institutionalisation and citizenship; and reporting and monitoring, will form a baseline against which future monitoring and evaluation exercises can measure further changes and improvements.
- Areas identified as requiring further attention, and deeper analysis can be part of the research agenda, to assist the institution in dealing with the more complex challenges for which no recommendations can be offered at present.
- Dealing with this report and its recommendations will allow the institution to be reflexive and to take more practical and deliberate steps to deal with the transformation imperatives.
- The institution could use this moment to think about the manner in which it approaches its work, and to interrogate matters related to co-ordination, integration, systems, processes and accountability frameworks.
- Lastly this report can be the basis for, and inform future work plans for the Equity and Institutional Culture Office.

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List of Annexures

(Full annexures will be made available on the intranet)

1. **2002 Report on the opinions of Senior Black Academic Staff on the Culture at Rhodes University – By Professor Hendricks for Institutional Forum Sub-Committee on University Culture**
 - 1.1 Reflections on Institutional Culture and Transformation – prepared by Equity and Institutional Culture committee (2003)
2. **2004 Executive Summary Report written by SII (external consultants) on diversity awareness and management workshop held in January 2004**
3. **2006 Council for Higher Education (CHE) – Higher Education Quality Committee Audit report on Rhodes University**
 - 3.1 2009 Quality Improvement Plan
4. **2006 Rhodes University Institutional Imbizo: Record and Contributions**
5. **2007 Equity Imbizo**
6. **2007 Gender Imbizo**
 - 6.1 What Outcomes do we want from this Gender Imbizo
 - 6.2 Analysis : 2007 Gender Imbizo
7. **2009 Rhodes University Colloquium on Institutional Culture (02-04 October 2009)**
 - 7.1 Analysis : 2009 Institutional Culture Colloquium
8. **2011 Rhodes University IMBIZO : 27-28 June 2011**
 - 8.1 Follow Up IMBIZO 2011
 - 8.2 Input into IMBIZO 2011
 - 8.2.1 Tshidi Hashatse – Equity, Diversity and Stewardship
 - 8.2.2 Tshidi Hashatse – Powerpoint presentation
 - 8.2.3 Sally Matthews – Rhodes University Imbizo presentation (27-28 July, 2011)
 - 8.2.4 Mandy Hlengwa – Moving beyond the safe bet
 - 8.2.5 Louise Vincent – Tell us a new story: A narrative take on institutional Culture
 - 8.2.6 Dr Badat – Critical Reflections on Rhodes, 2006-2011
 - 8.3 Analysis : 2011 IMBIZO
9. **Draft Institutional Development Plan - Vision 20:20, (2nd Draft 15 February 2011)**

10. Report of the Ministerial Committee on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions (30 November 2008) (Soudien Report)

10.1 Rhodes University's response to Department of Higher Education and Training Ministerial Committee report on Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions.

11. Employment Equity plan, 2009

12. Employment Equity Five (5) Year Plan (2010 -2015)

13. ETDP SETA Training Reports

13.1 Training Report to ETDP SETA 2006

13.2 Training Report to ETDP SETA 2007

13.3 Training Report to ETDP SETA 2008

13.4 Training Report to ETDP SETA 2009

13.5 Training Report to ETDP SETA 2010

13.6 Training Report to ETDP SETA 2011

14. Employment Equity Reports

14.1 Employment Equity report 2006

14.2 Employment Equity report 2007

14.3 Employment Equity report 2008

14.4 Employment Equity report 2009

14.5 Employment Equity report 2010

14.6 Employment Equity report 2011

15. Equity Policy

16. Speeches by the Vice Chancellor

16.1 2006 Inaugural Speech

16.2 2008 Inauguration of Steve Bantu Biko building

16.3 2009 Graduation Ceremony Address

16.4 2010 Graduation Ceremony Address

16.5 2010 Vice Chancellors Welcoming Address

16.6 2011 Graduation Ceremony Address

16.7 2011 Tapestry Unveiling Address

16.8 2011 Vice Chancellors Welcoming Address

17. Institutional Forum Improvement Plan

- 17.1 Input into the Institutional Forum Improvement Plan by
Director of Equity and Institutional Culture – 22/02/2012

18. Statistics

- 18.1 Tables of Staff Composition
- 18.2 Table of International Staff
- 18.3 Tables of Student Composition
- 18.4 Rhodes University Tables of Internships from Rhodes
University Human Resources Division

19. Job Profile of the Director Equity and IC

20. Discussion document for the drafting of Faculty Transformation Plans

21. List of Policies

- 21.1 Staff related policies
 - 21.1.1 Equity Policy
 - 21.1.2 Policy on Eradicating Unfair Discrimination and
Harassment
 - 21.1.3 Grievance Policy and procedures
 - 21.1.4 Disability policy
 - 21.1.5 Staff Development policy
 - 21.1.6 Recruitment and Selection policy (Academic and
Support)
 - 21.1.7 Recruitment and Selection policy (hall, house and
sub wardens)
 - 21.1.8 Policy and Procedures for Personal Promotion of
Academic staff
 - 21.1.9 Leave Policy (incl. Parental Leave and Benefits
policy)
 - 21.1.10 HIV and AIDS Policy
- 21.2 Student related policies, procedures and protocols
 - 21.2.1 Student Admissions Policy
 - 21.2.2 Student Disability Policy
 - 21.2.3 Harassment Policy and procedure
 - 21.2.4 Policy for leave of absence for students

21.2.5 Pregnancy protocol

21.2.6 Sexual Assault protocol



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