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**Guidelines for the development of the Employment Equity Plan: for use by Heads of academic departments**

1. **Introduction**

This guideline provides a framework on how to formulate an employment equity plan at all levels of Rhodes University i.e. departmental, faculty and institutional level. This guideline document also shows succinctly, the significance of employment equity planning for Rhodes University. In terms of the Employment Equity Act No. 55 of 1998, designated employers[[1]](#footnote-1) are required to have employment equity plans with measurable annual affirmative action targets.

1. **Importance of employment equity planning**

Employment Equity planning is important for the following reasons:

* It shows the institution (Rhodes University) how the current profile of its staff compares to the demographics of the country (SA).
* The employment equity planning must address the demographic dimensions of the staff at Rhodes University, in order to reflect the South African demographic profile. Therefore, in time, the institution’s (Rhodes University) envisaged staff profile should mirror the existing South African population demographics (see Figure 1).
* It enables Rhodes University to take active and appropriate measures to redress the imbalances in staff representation, and to identify barriers as a result of unfair discrimination.
* It enables Rhodes University to have a diversified staff which in terms of the University’s own Equity policy will contribute towards the excellence and long term sustainability of the institution.
* Compliance with the Employment Equity Act (EE) gives Rhodes University credibility and legitimacy, in that the institution concerned will be seen by social role players including stakeholders as being responsive to issues of change and transformation.
1. **Relevance of this guideline to academic departments**

This guideline will assist departments to plan according to the prescripts of the EE Act, and will enable the (Dean and HOD), and other stakeholders to gather and collate information directly and indirectly related to the development of employment equity plans at the level of department and faculties. Departmental and Divisional EE plans (EEPs) will inform the overarching institution’s EEP.

1. **Legal and operational mandate in terms of EE planning**

Among other things, the purpose of the Act is to ensure equitable representation of designated groups in all occupational categories and levels (Top management, Senior Management, Professionally Qualified and Experienced Specialists and Middle Management, Skilled Technical and Academically Qualified Workers, Junior Management, Supervisors, Foreman and Superintendents, Semi-Skilled and Discretionary Decision Making, and Unskilled and Defined Decision Making) within the employment establishment of the designated employers in line with the economically active population of the country.

The country’s demographic profile of economically active population (EAP) is shown on figure 1 on the next page.

**Figure1:** Demographic profile of economically active population in SA (Stats SA 2007).

*Research suggests that this has not changed by August 2009 (Business Day Report, August 2009)*

**Black African = 74%; Coloured = 11%; Indian = 3%; White = 12%; Women = 47%.**

**Figure 2:** As at the end of February 2010, this is Rhodes University demographic profile for the entire institution i.e. including all occupational levels

**Black African = 44%; Coloureds = 10%; Indian = 2%; White = 42%; Women = 51%. Note that these figures exclude foreign nationals.**

**A foreign national is an individual who was not born in South Africa and who may have a work permit or who may or may not have a permanent residency or who may have obtained South African citizenship through the process of naturalisation.**

**Those who received such citizenship before the advent of democracy in 1994 may be eligible for the Employment Equity provided that they are one of the designated groups as per the EE Act i.e. Black, female or disabled.**

This institutional profile in Figure 1 varies depending on the occupational level or category considered. Figure 3 below shows the profile of staff in the occupational level ‘**professionally qualified and experienced specialists’**. This category includes people with formal qualifications in a specific professional field, and people who obtained skills, knowledge and expertise in a specific profession.

**Figure 3:** Profile of RU staff by occupational level (professionally qualified and experienced specialists and mid-management)

**Black African= 12%; Coloureds= 4%; Indian= 4%; White= 73%; Women = 42%. Note that figures exclude foreign nationals.**

*\*White women account for more than 70% of the total of all women in this category.*

Your department may have a different profile from that of the institution and the country’s EAP demographics. This implies that the development of your department’s EE plan should take into account the demographics of your own department relative to the EAP demographics.

Rhodes University has opted for the bottom up approach to the development of the institution’s EE Plan, and this will ensure full participation of departments, faculties, and the relevant stakeholders. The bottom up approach will allow HODs/Deans in consultation with relevant stakeholders to direct their employment equity goals in a way that is meaningful to their departments and Faculties.

**1.5 Setting of Employment Equity targets**

Departmental EE plans must include quantitative affirmative action targets during the relevant employment equity five year period (i.e. during the 1st September 2010 to 31 Augusts 2015 period). The EE Act requires that EE plans of at least one year and no more than 5 years are set. Rhodes’ Departmental, Faculty and Divisional Plans will be set for 5 years as this will allow us to focus on long-term as well as short-term strategies. An annual review will take place.

Figure 4 below provides an example of the framework that will be used for setting of targets and what will be required from each academic department. Departments have to set their own affirmative action targets based on their staffing needs linked to the strategic academic imperatives of the department.

Figure 4: Targets for the various levels of staff

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| **Job title** |   |  **Male**  |  |  |  **Female** |  |  | **Foreign Nationals** | **Total**  | **Those with disabilities** | **Notes** |
|  |  | **A** | **I** | **C** | **W** | **A** | **I** | **C** | **W** | **Male**  | **Female** |  |
| Professor  |  |   |   |   |   |   |   |   |   |   |   |   |   |  |
| A/Professor  |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Senior Lecturer |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Lecturer  |  |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Junior Lecturer  |   |   |   |   |   |   |   |   |   |   |   |   |  |
| **Total Academic** |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Support staff grades 24 to 28 |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Support staff grades 19 to 23 |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Support staff grades 14 to 18 |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Support staff grades 9 to 13 |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Support staff grades 4 to 8 |   |   |   |   |   |   |   |   |   |   |   |   |  |
| Support staff grades 1 to 3 |   |   |   |   |   |   |   |   |   |   |   |   |  |
| **Total Support**  |   |   |   |   |   |   |   |   |   |   |   |   |  |
| **Grand Total**  |   |   |   |   |   |   |   |   |   |   |   |   |  |
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In terms of the EE Act, the designated groups are

* A =African
* I = Indian
* C = Coloured
* Chinese (this is not included in the table and is not yet included in tables required by the Department of Labour)
* F = Females
* Those with disabilities (this is shown separately to avoid double-counting)

The above do not include foreign nationals.

In Figure 4, W = white.

The EE Act requires the provision of data in a particular format using particularly occupational categories and levels. Ultimately the data will be presented in this format. However, departments will be asked to present the data using categories that are meaningful within the institution. For example, academics fall within the Department of Labour’s occupational level of Professionally Qualified, Experienced Specialists and Middle Management which includes other staff. Furthermore, our employment equity initiatives must not only focus on increasing the total number of staff from designated groups but also including such staff in the higher academic levels. The categories of support staff in the Figure 4 above are used to correspond with the required occupational levels.

Once provide by departments and divisions in the format required in Figure 4, the Data Management Unit will be collating the necessary information into Faculty and Divisional profiles and ultimately the institutional profile. Such collation will include conversion from the format used in Figure 4 into the format required by the Department of Labour.

Targets need to be set for each year for the next five years for the following periods:

* 1 September 2010 to 31 August 2011
* 1 September 2011 to 31 August 2012
* 1 September 2012 to 31 August 2013
* 1 September 2013 to 31 August 2014
* 1 September 2014 to 31 August 2015.

Together with this guide, you have been provided with an Excel spread sheet which provides for the template as per above and for each year of the plan.

The setting of quantitative targets will correspond with the kinds of strategies available for achieving changes in the demographic profile of staff. This will be tackled in two ways: firstly, quantitative targets should be set with the knowledge of and utilisation of current strategies in mind; and secondly, quantitative targets should be reviewed and changed based on changing and new strategies introduced and available. Discussion around barriers to the employment and advancement of those from designated groups will continue within the institution and in line with this new initiatives and programmes will need to be implemented.

The following institutional strategies currently exist:

* **Accelerated development programmes for academic posts**: In the past these posts have been lined to Mellon and Kresge funding. Most of these posts have already been allocated and are linked to upcoming retirements of academics. HESA is in the process of motivating for a national programme in this regard which may provide additional funding and posts in due course.
* **Using a senior vacant post** e.g. at the professorial post to fund two accelerated development posts. HoDs considering this as a strategy are welcome to contact the Director of HR to discuss this further.
* **Positioning of support staff post as a development post**: HoDs in consultation with HR can position a vacant post as a development post with less educational and experience requirements. In some instances, this has facilitated the appointment of a member of a designated group. Usually these posts are advertised internally within the institution. A development plan is then set up to ensure that the person appointed achieves the necessary educational qualification or experience. Funds are available for any training or development needed.
* **Using academic leave funds** to appoint someone for 3 years against academic leave monies (this obviously where there are a number of staff on academic leave). This could be linked to an accelerated development programme. HoDs considering this as a strategy are welcome to contact the Director of HR to discuss this further.
* **Support staff internship programmes**: this has focused on clerical and administrative posts and in 2010 has been expanded into a graduate internship programme. The clerical and administrative internship programme focused on preparing members of designated groups for entry level administrative posts. Approximately, 70% of those who have completed the internship programme have been successfully placed in permanent administrative positions at Rhodes. In the graduate internship programme, consideration can also be given to preparing individuals for first level professional posts. HoDs considering this as a strategy are welcome to contact the Director of HR to discuss this further.
* **Disability internship programme**: this has focused on identifying work placements and opportunities (and resulting employment opportunities) for those with mental impairments at the grade 1 level e.g. attendants in the Res Ops and Estates Divisions.
* **Succession planning for support staff**: Via the middle management forum for support staff and where there is a vacancy in departments, HR has been advocating developing appropriate staff structures and development interventions to ensure that staff are being developed in anticipation of upcoming vacancies. This is being successfully achieved in some departments and Divisions.
* **Supporting academics in being promoted**: Additional academic leave is available as a result of funding via the Mellon Foundation for those in Humanities and from 2011 from the Claude Leon Foundation for those in the Science Faculty. This funding has provided the facility of additional academic leave to assist individuals to make progress in terms of research or completion of post-graduate degrees. This can assist in preparing individuals for promotion. In terms of the personal promotion policy, the Head of Department is responsible for engaging with the academic staff member as regards their professional development and prospects of success if applying for personal promotion. The Head of Department also needs to ensure that the academic is aware of support available to assist in preparing for personal promotion.
* **Recruitment and selection:**  new policies and processes have been introduced for 2010. This requires the identification of the designated group to be employed and to ensure that recruitment and selection strategies are geared towards achieving the employment of a suitably qualified candidate from this designated group. In setting long-term employment equity targets, academic HoDs are encouraged to focus on current talented under-graduated and Honours students as possible future academics and encourage their involvement in post-graduate qualifications and ultimately, involvement of them in accelerated development programmes as described above.
* **Remuneration:**  Where necessary, a premium above current remuneration ranges are considered for those from designated groups. Advertising of remuneration for posts allows for this as remuneration is listed as a minimum i.e. “the remuneration for this post is no less than ….”
* **Staff Development programmes and funds:**  Funding exists for academic (via Research Office) and support staff (via HR Division) to get further qualifications. Internal training programmes are provided for support staff and funds exist for ad hoc external skills type training. An ongoing ABET programmes provides staff with an opportunity to acquire a NQF level 1 (up to grade 9) qualification which is the minimum required for learner ship programmes. An in-house, teacher facilitated matric programme is also available.

The following are currently not formalised institutional strategies but are strongly encouraged and supported:

* **Facilitation of development**: Many HoDs are meeting with staff on a one to one basisto discuss their contribution to the department, their development and advancement and to find ways to support them to enhancing their contribution, development as well as advancement (for academic staff, this is being promoted and for support staff, preparing for the next post).
* **Mentoring**: Many HoDs are ensuring that new staff, particularly staff at the beginning of their careers, is provided with support and guidance via appointed mentors.

In the setting of targets for your department (see Figure 4), there is a column called “notes”. This is to be used for noting your department’s utilisation of these current strategies. This will allow HR to liaise with you directly in this regard. For example, if you anticipate a vacancy at the grade 6 administrative level in year 2, you can apply for an internship post in year 1 and identify a suitable individual. If the individual is then successful, they can be screened for this post for year 2.

* 1. **The Departmental employment equity plan**

In determining the department’s employment equity plan, the following guidelines and information should be used:

1. The *starting point is the current demographic profile* of your department. See worksheet 1 called “Dept information”) in the spread sheet provided to you. This data is at the end of May 2010. If this data has changed because of recent resignations etc, please update accordingly. This will be reflected in the Year 1 spreadsheet. This demographic profile of your department also shows any vacancies in your department as the filling of these will need to be taken into account for the Year 1 plan. If the information you have been provided with is not accurate as at end of May 2010, please contact the Director: HR at hr@ru.ac.za ;

This data also includes some outside funded posts which are currently loaded on the HR information system. You are provided with the outside funded posts that are included. Please include additional posts that are missing. These must be included in your numbers for employment equity reporting purposes.

1. Assume that the *size of the department will not grow* by the end of the employment equity period (i.e. the total number of staff will remain the same at the end of 2015). If there is growth of staff in the years to come, this will be reflected in the updated plans in due course. There are two exceptions to this. Firstly include any Mellon/Kresge, internship posts that have been allocated to date and secondly, include contract posts that will come on line through agreements already reached with outside funded posts;

The setting of quantitative employment equity targets will by and large be based or informed by the *staff turnover percentage* of each department. Such turn over creates “space” in your department and in turn such “space” provides an opportunity to employ some one from the appropriate designated group. This turn over does differ between staff categories. For example, at an institutional level, the turn over for academics is between 8% and 12%. For clerical staff, this is between 10% and 12%. This staff turnover however may be different in your department. In the spread sheet provided you’ll be given the turn over information for your department for the last two 2008 and 2009 years. This is to be found in the worksheet called “Dept Information”. With small departments, because of small numbers of staff, this turnover information may be meaningless. Alternatively, a higher than usual number of staff retiring may have resulted in a higher than normal turnover. Please use your discretion as to what turnover percentage is used. Please indicate this in the notes columns. Part of the turnover rate is those staff retiring. This is obviously a known quantity in this variable. You have been provided with information of staff retiring in your department for the next five years. In some cases, individuals may be retiring early. This information will not be included but can obviously be factored into the planning;

1. Consideration of which of the *current strategies* you wish to utilise. These would need to be included in the notes column.
2. If your targets include *staff with disabilities*, please indicate the demographic profile (race and gender) of that person in the notes column.

Using the attached spreadsheet, follow this process:

1. Please do not change the spreadsheet format. Please do not delete or add lines. The spreadsheet has been set up to collate information across departments and Faculties to contribute to the institutional plan;
2. Work on one year at a time, focusing on the relevant year’s worksheet in the attached spreadsheet;
3. Determine the likely vacancies. Please ensure that you indicate the turnover rate in the notes column. You can determine an overall turnover rate for academics (i.e. not per academic level). In the case of support staff posts, this needs to be per level reflected. Remember to check for retirements;
4. Knowing the number of vacancies, you can then start to identify which demographic groups will fill those ‘gaps’ and what strategies will be used;
5. This information will then change the demographic profile of your department and will become your starting point for each consecutive year, on the appropriate worksheet;
6. Continue working until the final spreadsheet is completed;
7. Ensure that the qualitative strategies to be followed are reflected in the notes columns;
8. Complete the spreadsheet called “concerns” to reflect any concerns that you have to achieving these results;
9. Complete the spreadsheet called “future strategies” to indicate any strategies that you would believe the institution should consider in relation to employment equity.
	1. **Useful Information**

HODs and the relevant stakeholders (i.e. trade unions) make like to familiarise themselves with the following documents:

* Recruitment and Selection Policy for academic posts
* Recruitment and Selection Policy for support staff posts
* Equity Policy
* Current employment equity plan as approved by Senate in 2009
* Staff Disability Policy
* Staff Development Policy

The above policies can be found at the following website address: <http://www.ru.ac.za/humanresources/policiesandinfo/policies>

The Equity Plan can be found at: <http://www.ru.ac.za/humanresources/policiesandinfo/information>.

**1.8 Assistance needed**

 If you are requiring any assistance, please do not hesitate to contact the Director: HR at hr@ru.ac.za. You are requested to outline what assistance you need in your e-mail.

* 1. **Deadline of submissions**

The spreadsheet document should be returned to hr@ru.ac.za with a copy to the Dean of your Faculty by no later than Monday, 16th of August 2010. Please note that it will not be feasible to grant extensions to departments.

Please note that the following time-frames thereafter apply:

* Checking of submissions by Dean and HR, follow-up with HOD if necessary: end of August 2010
* Presentation of material to Employment Equity and Institutional Culture Meeting: 15th of September 2010.

**1.9 Closing comments**

The setting of employment equity targets is an important exercise for the institution. Setting of targets allows for the consideration of changes needed and how best these can be achieved. The setting of targets at the departmental level is a first for Rhodes University. As such it must be recognised that the process will not be perfect one and improvements must be made over time.

On behalf of the Employment Equity and Institutional Culture Committee, the HR Division would like to thank you for your assistance in this task and your commitment to the process.

**Definitions and Important Notes**

**Designated Employer:** An employer who has a total workforce of 50 or more;

**Designated Group:** A term used in employment equity to refer to previously disadvantaged groups and includes Blacks (Africans, Coloureds, Indians, and Chinese), women and people with disabilities.

**Economically active population:** People between the ages of 18-64 who are employed as well as those who are actively seeking employment.

**EE Plan:** A thoroughly planned document showing what systems will be put in place to establish equity within an organisation over a period of time. The EEP extends over a period of five years and reporting to the DOL takes place annually during this five-year period.

**EE Report:** a document submitted to the DOL by designated employers showing a profile of employees in term occupational levels.

**Numerical goals:** Projected workforce profile (including people with disabilities) at the end of current employment equity plan in terms of occupational levels.

**Numerical targets:** Projected workforce profile at the end of the next reporting period according to

of occupational categories.

**Temporary Employee:** This refers to any employee who works for at least three consecutive months or less.

1. See definition of a designated employer in the definitions section. [↑](#footnote-ref-1)