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**Guidelines for the development of the Departmental**

**Employment Equity Plan:**

**For use by**

**Heads of academic departments**

**and**

**Heads of Research Entities**

**Developed by HR Division**

**December 2014**

1. **Introduction and time-frames**

The University’s current five year Employment Equity (EE) Plan runs from 1 September 2010 to 31 August 2015. The requirement of the Department of Labour (DoL) is that the new Plan (1 September 2015 to 31 August 2020) has been consulted on, approved and ready for implementation as at 1 September 2015.

The current institutional EE Plan is a composite of the EE plans of the different academic entities and support staff divisions. As such a “bottom-up” approach is taken to the determination of the institutional EE Plan. The reasons for this approach being taken include:

* The Head of Department/Institute/Unit is accountable for EE planning and implementation as the achievement of departmental EE goals and the implementation of strategies occurs at the departmental level with filling of posts, development of staff, succession planning, promotion of staff and so forth. Therefore the planning (in the form of the EE Plan) also needs to take place at this level;
* Consultation occurs at the level of the department; and
* Departmental EE plans allow for composite Faculty plans to be drawn up. In the case of some large Divisions, departmental EE Plans allow for composite Divisional plans to be drawn up.

This guideline assists the HoD in drawing up the departmental EE plan.

In compiling this guide and in determining what information HoDs need to provide, consideration has been given to the requirements of the DoL in the submission of the institution’s EE Plan (see EEA document 13, see <http://www.labour.gov.za/DOL/documents/forms/employment-equity/forms-and-documents> ) and the Code of Good Practice in **Preparation, implementation and monitoring of employment equity plans as issued by the DoL (see** <http://www.labour.gov.za/DOL/legislation/codes-of-good-ractise/employment-equity/code-of-good-practice-on-employment-equity-plans> **).**

HoDs should note the following time-frames associated with the compilation of the institutional EE Plan:

* Documentation sent to all HoDs: Week of 19 January 2015
* Presentation by HR for interested HoDs: 26 and 30 January 2015
* Engagement by HoD with department: February and March
* Engagement by HoD if necessary with HR: February and March
* Submission of departmental EE plan to HR: 16 March 2015
* Checking of plans and engagement with HoDs if there are concerns: April
* Collation of Faculty, Divisional and Institutional Plans: May
* Presentation of Plan to Equity and Institutional Culture Committee meeting and approval: Mid to late May, meeting to be set up for this purpose
* Consideration of Plan by Senate and input given to E+IC Committee (note: the Plan is not approved by Senate as the E+IC Committee is a recognised statutory body): 5 June 2015
* Submission of Plan by Council and input given to E+IC Committee (note: the Plan is not approved by Senate as the E+IC Committee is a recognised statutory body) : 18 June 2015
* Consideration of final EE plan by E+IC Committee: 22 July 2015

It is important that HoDs meet the set deadlines due to the extensive nature of this process.

**2. Strategic imperatives and legal requirements**

*“There can be no quality without equity and no equity without quality”.*

This is the fundamental principle that both supports the strategy of the institution and drives the institutional commitment to transformation inclusive of employment equity. As stated in the Equity Policy, “The institution’s strength will be realised and its reputation secured through its commitment to both equity and quality”.

The 1997 White Paper on Higher Education outlines a comprehensive vision of a transformed, post-apartheid, Higher Education system and Rhodes University operates as part of this HE system. “…The key characteristics of a transformed university as given in the White Paper are also echoed in the values and attributes given as aspired to in the university’s mission statement” (taken from draft Institutional Transformation Plan, November 2014).

Apart from Rhodes’ strategic and moral commitment to transformation and equity, in the employment arena, there are also legal requirements to be met. 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.

These EE plans should indicate:

* EE objectives for each year of the plan;
* Affirmative Action measures to be implemented[[2]](#footnote-2) to ensure equitable[[3]](#footnote-3) representation of designated groups at each occupational level[[4]](#footnote-4) in the workplace;
* Procedures to monitor and evaluate the implementation of the plan;
* Internal dispute resolution procedure related to EE issues; and
* Persons responsible for monitoring and implementing the plan.

For each Head of department, this means the following:

* Determining the EE numerical targets for each year of the 5 year plan for each occupational level represented in the department; and
* Identifying the affirmative action measures to be implemented.

The other elements of the plan will be determined at the institutional level.

It is important that the Head regards transformation, equity and employment equity planning as critical not only because of legal requirements but also in terms of institutional, faculty and departmental strategic imperatives.

**3. The Employee Active Population (EAP) and it use in EE planning**

EE will no longer be a requirement when the race and general profile of each occupational level of the institutional profile matches that of the EAP. This is what is meant by equitable representation at each occupational level. As such achieving the EAP for each occupational level is the ultimate goal of each EE Plan.

In setting numerical goals, a comparison is done as follows:

* The race and gender profile of staff (as per that required by the DoL) within each occupational level is looked at;
* This profile relative to the EAP is considered with areas of under-representation[[5]](#footnote-5) of the designated groups[[6]](#footnote-6) identified;
* Contingent on the EE strategies (e.g. anticipated vacancies, extra posts, promotion), the numerical goals are set for each occupational level.

For the Rhodes University EE Plan, the EAP shall be the national EAP. This was the point of reference used in the current plan. Some organisations may elect to use the regional EAP if this differs significantly. The decision to use the national EAP for Rhodes was based on the following:

* In the occupational levels where under-representation of the designated groups is most significant, Rhodes recruits these individuals from the national skills pool; and
* There is no substantive difference between the national and regional EAPs.

Figure 1 below shows the EAP for South Africa which shall be used for the new EE Plan.

**Figure1:** Demographic profile of economically active population

*Reference: Department of Labour, November 2014*

**Black African = 74,9%; Coloured = 10,8%; Indian = 3%; White = 11,3%; Women = 45,2%.**

Table 1 on page 5 shows the institutional profile as at 31 November 2014.

Please note the following as regards the EE data and requirements for data as per the Department of Labour:

* Permanent staff are all those not on fixed term (Rhodes’ definition of permanent) plus those on contract in excess of 3 months;
* Temporary staff are those on fixed term contracts of 3 months or less;
* Foreign nationals[[7]](#footnote-7) (this is the DoL’s terminology) are those individuals who were 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, after 1994. Those not born in RSA who received such citizenship before 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.
* Black staff are either African, Coloured or Indian as per their own classification.[[8]](#footnote-8) This will include South Africans and all foreign nationals that acquired citizenship before 1994.



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

**4. Data needed for the determination of the departmental EE plan**

The following data will be provided to you by the HR Division for the determination of the departmental EE Plan:

1. Permanent (i.e. not fixed term) staff by demographic profile per occupational level. This notion of permanent staff is as per Rhodes’ definition;
2. Contract staff (i.e. not permanent as per Rhodes’ definition) staff by demographic profile per occupational level;
3. Total staff (permanent and contract) staff by demographic profile per occupational level;
4. Permanent staff (i.e. not fixed term) staff with disabilities per occupational level;
5. Retirement statistics for the period 2015 to 2022;
6. Staff turnover information by occupational level for each for permanent staff only;
7. Current institutional strategies related to staff, see section 5 of this document.

Documents a, b, c and d are contained within one Excel spreadsheet on different worksheets labelled correctly.

Documents d and e is contained in separate spreadsheets.

Every effort has been taken by your HR generalist to check the accuracy of this data. However, if you identify a problem, please contact your HR Generalist urgently so that the data can be corrected and new data issued to you. The contact details for your HR generalist can be found at:

<http://www.ru.ac.za/humanresources/hr/meettheteam/>.

In addition, the other information that will be helpful to you is the following:

* Faculty transformation plan which may outline the Faculty’s strategic transformation plans. If not already done so, the Head will need to consider how this will impact the department and related departmental plans;
* Development plans set for support staff linked to EE and succession planning (this is as per the institutional initiative currently underway, linked to training provided to managers in 2014);
* Outcomes of discussions with academic staff regarding their career progression (this is per strategic discussions about promotion prospects with HoDs, Dean and past Director, HR in 2013 and 2014).

Other institutional documentation that may be of assistance is:

* Previous institutional EE plan. This is available at: <http://www.ru.ac.za/media/rhodesuniversity/content/humanresources/documents/employmentequity/EE%20Plan.pdf>
* Draft institutional transformation plan prepared by the Office of Equity and Institutional Culture;
* The EE plan for your department previously submitted by the HoD to HR. If you need this, please contact your HR generalist for assistance.

**5. Current institutional EE Strategies**

The following institutional strategies currently exist:

**FOR ACADEMIC STAFF**

**Accelerated development programmes for academic posts**: In the past these posts have been linked to Mellon and Kresge funding. More recently, these posts have been RU funded. There is also a new government initiative (spearheaded by HESA and lead by Dr Badat) called nGap where such posts will be available on government funding. This programme is modelled on the current Rhodes’ accelerated development programme. At the time of writing of this document, the institution was considering how many posts would be applied for and in which areas of the institution linked for example to upcoming retirements, possible turnover as well as growth. If you need more information about this, please contact Professor Boughey, the Dean of Teaching and Learning or the Dean of your Faculty.

Notwithstanding the above initiative, your department could motivate for a vacant post to be positioned as an accelerated development post with the application to the Staffing Committee for 1000 hours to pick up the 50% of teaching that the job incumbent will not be assuming OR your department could make a decision to assume this 50% amongst its current staff members.

If you need more information about this programme, please refer to the relevant protocol for academic accelerated development posts at:

<http://www.ru.ac.za/humanresources/policies/employmentequity/eeprotocols/>.

* **Using academic leave funds** to appoint someone from an under-represented designated group for 3 years against academic leave monies (this obviously where there are a number of staff on academic leave and the money usually allocated for academic leave can be used for this purpose). This could also be positioned as an accelerated development programme, as per the bullet above.

HoDs considering this as a strategy including if top-up funding may be needed from the institutional Equity fund[[9]](#footnote-9) are welcome to contact the Director of HR, Ms Loshni Govender, to discuss this further.

* **Supporting academics in being promoted**: Over the last couple of years, there have been strategic discussions between the HoD, relevant Dean or in some cases Deputy Dean and previous Director, HR. These discussions have included promotional prospects for academic staff, barriers to promotion and/or support needed. The expectation is that HoDs meet with academic staff to discuss their career aspirations and progression. This is consistent with the

Personal Promotion Policy, which states that 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.

These conversations are critical in the retention of staff and need to happen timeously and not just when the academic has signalled an intention to resign.

Additional academic leave is available as a result of funding via the Mellon Foundation for those in Humanities and 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 the completion of a PhD. This in turn can assist in preparing individuals for promotion. The Deputy Vice-Chancellor, Dr Peter Clayton can also be approached as regards possible funding for additional academic leave for staff or the provision of academic leave in advance of it having being earned.

* **Recruitment and selection:**  Each vacancy provides an opportunity to employ a member from an under-represented designated group. This requires the identification of a suitably qualified member of an under-represented designated group.

In setting long-term employment equity targets, academic HoDs are encouraged to focus on current talented under-graduate and Honours students as possible future academics and encourage their completion of post-graduate qualifications, to look at possible employment opportunities (see bullet below) and ultimately, possible involvement in accelerated development programmes as described above.

HoDs are encouraged to have conversations about a possible career in academia with talented students providing them with an opportunity to experience the academy as a staff member (see below). Where post-graduate financing is an obstacle, HoDs should explore opportunities further with the Post-graduate Financial Aid Office and even the Director, HR where opportunities for funding can be linked to possible part-time employment or work study programme.

* **Use of all employment opportunities:**  The department’s EE strategies should focus on all employment opportunities e.g. student tutoring, contract employment as a Teaching Assistant against a vacancy or academic leave funding as well as employment as a member of permanent staff.

The employment of members of under-represented designated groups in short-term contracts may allow for the screening this individual into a permanent post should one come available. In this way, a pool of suitably qualified applicants for posts is being developed.

* **Early retirements:** To date this has not been a formal systematic strategy to accelerate staff turnover and “create spaces” for the employment of members of designated groups. However, from time to time, where appropriate, it has been used. This is a strategy that will be looked at more formally going forward. Please note all rights of current staff will be protected.
* **Remuneration:**  Where necessary, a premium above current remuneration ranges (up to 20%) is considered for those from under-represented designated groups. This is used as both a means to attract and retain such staff.

HoDs are encouraged to not assume that remuneration alone is a barrier to the employment of Black individuals. While certain threshold levels of remuneration are required, the total employee value proposition[[10]](#footnote-10) of an employer is also important.

HoDs should consider what kind of value proposition can be offered to staff employed within the department (see points below), in terms of attracting and retaining staff.

* **Staff Development programmes and funds:**  Funding exists for academics for completing further degrees at other Universities, if the degree cannot be completed at Rhodes or if there is no supervisor at Rhodes. If you wish to explore this further, please contact Ms Noelle Obers at the Research Office. She can be contacted at [n.obers@ru.ac.za](mailto:n.obers@ru.ac.za).

Funding, via CHERTL, also exists for academics to attend teaching and learning type conferences.

* **Mentoring**: Mentoring is one of the critical success factors in the accelerated development programme for academics. Mentors are also currently identified for the short-term in the induction of new staff.

Beyond these initiatives, HoDs are also encouraged to ensure that all new staff, particularly staff at the beginning of their academic careers, are provided with support and guidance via an appointed mentor.

* **Conversations related to employment equity and transformation:** Critical to the retention of members of designated groups, is an awareness of issues of transformation at the departmental, faculty and institutional level and a willingness by the department to explore what this means at the departmental level.

The previous Director, Equity and Institutional Culture, Tshidi Hashatse held conversations with academic staff about transformation at the departmental level. The current Director, Equity and Institutional Culture, Ms Noluxolo Nhapo at the recent HoD transformation workshop held in November 2014 also emphasised the importance of these conversations.

* **Cultural[[11]](#footnote-11) shifts:** Critical to the transformation of the institution, is a willingness to look at departmental culture particularly as it relates to issues of departmental administrative functioning, decision-making within the department and related power relations, curriculum, assessment of students, student access and success.

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* **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/or experience requirements. In many instances, this has facilitated the appointment and promotion of a member of a designated group. Usually these posts are advertised internally within the institution with the HoD having identified a talented support staff member. With the appointment of the staff member, a development plan is then set up to ensure that the person appointed achieves the necessary educational qualification and/or experience over a reasonable period of time. Funds are available for any reasonable training or development needed.

It is important that the development plan is over a reasonable time-period and that the individual is capable of fulfilling the job requirements. If you need more information about this initiative, please consult with the Deputy Director, HR, Susan Robertson. She can be contacted at [susan.robertson@ru.ac.za](mailto:susan.robertson@ru.ac.za).

**Support staff internship programmes**: Various types of internships exist: clerical, catering, housekeeper, graduate and technical. All internships focus on preparing members of designated groups for entry into an identified post level. An internship is usually one year but can be longer depending on the nature of the internship e.g. graduate internships may be two years.

Upon successful completion of the internship and provided there is a vacant post, the HoD can motivate for the screening of the intern. Where there is a period between the completion of the internship and a known vacancy coming available (against which the intern will be screened), the HoD can motivate to the Director, HR for some interim funding (from the Equity Fund) in order secure the employment services of the intern pending the vacancy.

Securing an intern placement takes place via a competitive process each year. Alternatively, in high volume areas, a HoD can motivate to the Staffing Committee[[12]](#footnote-12) for the allocation of a permanent intern post.

HoDs considering the employment of interns are welcome to contact the OD Specialist, Mr Schalk van der Merwe at [s.vandermerwe@ru.ac.za](mailto:s.vandermerwe@ru.ac.za). A protocol governing this programme exists and can be found at:

<http://www.ru.ac.za/humanresources/policies/employmentequity/eeprotocols/>

**Disability internship programme**: This EE strategy has focused on identifying work placements and opportunities (and resulting employment opportunities) for those with disabilities. The current programme has involved a partnership with the Kuyasa School for the Mentally Challenged and has seen the graduates of this school being placed in entry level positions such as kitchen attendants, workshop attendants and seamstresses.

HoDs considering this as a strategy are welcome to contact the IR+EE Specialist. A protocol governing this programme exists and can be found at:

<http://www.ru.ac.za/humanresources/policies/employmentequity/eeprotocols/> .

* **Development of appropriate support staff structures:** For a number of years, via the middle management forum for support staff and where there is a vacancy in appropriate departments, for HR has advocated the development of appropriate staff structures to allow progression between jobs, succession planning and to proactively develop staff in anticipation of upcoming vacancies. This is being successfully achieved in some departments and Divisions. This strategy has also been combined with the use of interns.
* **Development of career matrices:** For many job families e.g. administration and technical jobs, job/career matrices have been developed. The matrix maps the different type of jobs within that job family, the grade of that job as well as the relevant education and experience requirements. Staff and their HoDs can use these matrices in discussions about career progression.

If you are wanting to access a particular job matrix, please contact the OD Officer, Thule Khumalo at [t.khumalo@ru.ac.za](mailto:t.khumalo@ru.ac.za).

* **Development conversations and succession planning for support staff**: In 2014, after the completion of a pilot project in 2013/2014, HR has been driving the roll-out of the development cycle project. This project requires all HoDs and managers to have a development conversation with the support staff that report to them, to ensure that there is a personal development plan for each support staff member in their department and to collate these into a departmental succession plan and training needs plan. These must be linked to EE imperatives.

The roll-out of this will continue in early 2015. If you require further information, please consult the OD Specialist, Mr Schalk van der Merwe at [s.vandermerwe@ru.ac.za](mailto:s.vandermerwe@ru.ac.za).

* **Recruitment and selection:**  Each vacancy provides an opportunity to employ a member from an under-represented designated group. This requires the identification of a suitably qualified member of an under-represented designated group. Given the difficulties at times in finding suitably qualified support staff, HoDs are encouraged to look at the use of internships (see above) and the use of all employment opportunities (see below).
* **Use of all employment opportunities:**  The department’s EE strategies should focus on all contract employment opportunities for support staff and not just permanent staff. The employment of members of under-represented designated groups in short-term contracts may allow for the screening this individual into a permanent post should one come available. In this way, a pool of suitably qualified applicants for posts is being developed.
* **Early retirements:** To date this has not been a formal systematic strategy to accelerate staff turnover and “create spaces” for the employment of members of designated groups. However, from time to time, where appropriate, it has been used. This is a strategy that will be looked at more formally going forward. Please note all rights of current staff will be protected.
* **Remuneration:**  Where necessary, a premium above current remuneration ranges (up to 20%) is considered for those from under-represented designated groups. This is used as both a means to attract and retain such staff.

HoDs are discouraged from assuming that remuneration alone is a barrier to the employment of members of designated groups. While certain threshold levels of remuneration are required, the total employee value proposition of an employer is also important.

* **Staff Development programmes and funds:**  Funding exists for support staff to complete further degrees at other Universities, if the degree cannot be completed at Rhodes or the qualification can only be completed part-time due to work commitments. The appropriate fund is the Continuing Education Fund managed by HR. Detail on the funding is available at: <http://www.ru.ac.za/staffdevelopment/funding/continuingeducationfund/> . HoDs can also contact the OD Specialist, Mr Schalk van der Merwe at [s.vandermerwe@ru.ac.za](mailto:s.vandermerwe@ru.ac.za).

Funds also exist for ad hoc training purposes. For detail of how the fund works, please refer to: <http://www.ru.ac.za/staffdevelopment/funding/adhoctrainingfund/> . The Fund is managed by the Deputy Director, Susan Robertson at [susan.robertson@ru.ac.za](mailto:susan.robertson@ru.ac.za) and HoDs can contact her for more information.

A variety of in-house staff development programmes are also run. Information is available at: <http://www.ru.ac.za/staffdevelopment/developmentcourses/>. HoDs can contact OD Specialist, Mr Schalk van der Merwe at [s.vandermerwe@ru.ac.za](mailto:s.vandermerwe@ru.ac.za) if more information is required.

HoDs are reminded that the requirements for supervisor posts is usually one year’s experience as a supervisor OR the successful completion of the supervisory development programme. As such, current staff can be prepared for supervisor roles as part of the career progression.

* **Mentoring**: Mentoring is one of the critical success factors in the support staff internship programme. Mentors are also identified for the short-term in the induction of new staff.

Beyond these initiatives, HoDs are also encouraged to ensure that all new staff, particularly those who have been promoted into higher level posts, are provided with support and guidance via an appointed mentor.

* **Conversations related to employment equity and transformation:** Critical to the retention of members of designated groups, is an awareness of issues of transformation at the departmental, divisional and institutional level and a willingness by the department to explore what this means at the departmental level.
* **Cultural shifts:** Critical to the transformation of the institution, is a willingness to look at departmental culture particularly as it relates to issues of departmental functioning, decision-making within the department and related power relations, handling of concerns raised, dealing with incidents of prejudice.

**6. Setting of Departmental EE Plans**

Departmental EE Plans must include the following:

* Barriers identified to the employment of members of designated groups and strategies to address these;
* Quantitative targets set by occupational level for each “equity year”[[13]](#footnote-13) for a 5 year period with the assumed staff turnover[[14]](#footnote-14) for each level. These targets will include separate targets for those with disabilities;
* Qualitative targets set to support the achievement of the quantitative targets and related to other EE goals of attraction, development and retention of members of designated groups;
* Summary of development and succession plans for each member of the department that support the quantitative and qualitative targets set; and
* Process followed for the compilation of the plan.

The department will be provided with templates of each of the above to be completed. More detail of the considerations and process to be followed is outlined in sections 7 to 11 of this guide. While these issues are reflected separately in different sections, many of the issues are inter-related and the determination of targets and strategies are inter-related.

Appendix 2 to 6 provides examples of these templates.

**7. Identifying barriers to EE and the associated strategies to address these**

In terms of the requirements of the EE Act, employers must identify:

* Any barriers that may contribute to the under-representation or under-utilisation of employees from the designated groups;
* Any barriers or factors that may contribute to the lack of affirmation of diversity in the workplace;
* Other employment conditions that may adversely affect designated groups; and
* Practices or factors that positively promote employment equity and diversity in the workplace.

At Rhodes this analysis is conducted at two levels: the institutional as well as the departmental level. The institutional level will focus on policies and protocols and will be conducted by HR and the Equity and Institutional Culture Committee. Also documentation from recent research, workshops and imbizos will be utilised such as:

* Documentation from the most recent Gender Imbizo held in November 2013;
* Documentation from the EE workshop held in March 2014and updated with a progress report in November 2014; and
* Qualitative study on academic selection processes, commissioned by the Equity and Institutional Culture Office.

At the departmental level, the analysis shall focus on the lived experience of staff within that department. Part of the consultation process with staff (see section 11 below) is to determine the barriers and strategies to address these.

You are required to complete Table 1 on the worksheet entitled Barriers and Strategies. Table 1 is called: Barriers to the under-representation or under-utilisation of employees from the designated groups, that may contribute to the lack of affirmation of diversity in the workplace; employment conditions that may adversely affect designated groups.

In completing Table 1, please note the following:

* Appointment process is the process followed in getting the person to Rhodes for day 1 of their employment once their appointment has been approved. This process starts once the recruitment and selection process is finalised;
* Terms and conditions of employment refers to the conditions of service of appointment e.g. working hours, probation periods, resignation periods;
* Work environment and facilities refers to the physical environment;
* Succession planning is the process of identifying suitable individuals for movement (upwards or lateral) and ensuring the timeous development of the necessary skills and attributes to ensure successful take-up of the post in due course;
* Reasonable accommodation refers to measures taken to accommodate members of designated groups i.e. measures taken in order to employ and retain members of designated groups. What is reasonable can be contrasted to what is regarded as unjustifiable hardship where the accommodation requirements would incur unreasonable costs and/or inconvenience for the employer/institution and/or fellow employees/students.

**8. Setting of quantitative targets**

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

8.1. The *starting point is the current demographic profile of your department*

You have been provided with four sets of information as at 30 November 2014:

* Permanent (i.e. not fixed term) staff by demographic profile per occupational level. This notion of permanent staff is as per Rhodes’ definition;
* Contract staff (i.e. not permanent as per Rhodes’ definition) staff by demographic profile per occupational level;
* Total staff (permanent and contract) staff by demographic profile per occupational level; and
* Permanent staff and contract staff with disabilities per occupational level.

Your EE Plan should be determined using the Total staff numbers plus any staff vacancies that you

may have. If you want a complete listing of all posts in your department, filled or vacant, please

contact your HR Generalist.

In the excel spreadsheet, worksheet 2 is named Quantitative targets.

Table 2 is called Academic staff profile as at 30 November 2014 for TOTAL academic staff (permanent and contract). Column B is called vacancies. Include all vacancies for academic posts at the right post level e.g. professor, lecturers as at 30 November 2014. Even if this post has been filled after 30 November 2014, if it was a vacancy as at 30 November 2014, reflect it as such. Include the total number of staff (permanent and contract) with disabilities.

Table 3 is called Support staff profile as at 30 November 2014 for TOTAL support staff (permanent and contract). Column B is called vacancies. Include all vacancies for support posts at the right occupational level as at 30 November 2014. Include the total number of staff (permanent and contract) with disabilities.

8.2 *Identify the gap analysis relative to the EAP for your department*

The next step is to identify the designated groups that are under-represented relative to the EAP as they must be the focus of EE quantitative targets.

Table 4 is called EAP profile. This is as per section 3 of this document.

Table 5 is called the Departmental gap analysis relative to EAP. This table automatically calculates (relative to the EAP) where the gaps are in your department. Please note the following interpretations of these numbers:

* A negative number means that you are not meeting the EAP profile requirements. Other than for white males, a negative number means that this group is an under-represented designated groups; and
* If you have a positive number, this means that the EAP profile requirements have been met and that these groups are not preferred when employing members of designated groups. Preference should be given to under-represented designated group members.

8.3 *Assumptions to make in determining the targets going forward*

Assumptions that must be made in setting targets:

* The opportunity to employ someone from an under-represented designated group will come from a vacant post or short-term employment opportunity;
* Vacant posts will be as a result of the staff turnover or post growth. Do not assume any post growth in your planning as this is not guaranteed. The only exception is an accelerated development post or internship where this is linked to an upcoming retirement. While the person is on the accelerated development programme, the department will show this post as an extra head count but once this person is employed against the retirement post, the department will show a decrease in the head-count;
* Staff turnover will be a result of non-voluntary turnover (retirement, medical boarding, death, dismissal) or voluntary turnover (resignation);
* Retirement statistics have been provided to you. Please use these for anticipated vacancies. You may also include possible early retirements if there have been discussions with the staff member concerned and they are amenable to this being explored further with them[[15]](#footnote-15);
* It is difficult to anticipate any other non-voluntary turnover in the longer-term but if anything is anticipated for the next equity year, include this;
* For voluntary turnover, look at the department’s historical turnover (you have been provided with these statistics) to determine a likely voluntary turnover rate going forward. In small departments, turnover may be only once every 3 years. For planning purposes, let the vacancy show in year 3. If someone only leaves every 5 years, show the vacancy in year 5;
* Consider the rate of past progress in the appointment of designated groups. Project this going
* forward into the future for your department bearing in mind that ideally all future appointments should be from the under-represented designated groups per occupational level as per table 5 in the EE Departmental Plan spreadsheet;
* Differentiate between those designated groups that are under-represented relative to the EAP (the first priority in the setting of EE quantitative targets) and those staff from social groups different to the bulk of the department, employed for the purposes of enhancing the diversity of staff; and
* Look at all contract opportunities as discussed in section 4 of this document.

8.4 *Determine the strategies to be employed*

Based on your gap analysis and with reference to current (e.g. to look at promotion, succession,

development) and new staff, identify strategies (see section 4 of this document) that you plan to

employ in order to reach your quantitative targets.

8.5 *Determine the quantitative targets*

On the worksheet called Quantitative targets, there are multiple tables as follows for each equity year:

* Table 6: Academic staff profile as at 31 August 2016 (year 1) for TOTAL academic staff (permanent and contract);
* Table 7: Support staff profile as at 31 August 2016 (year 1) for TOTAL support staff (permanent and contract);
* Table 8: Academic staff profile as at 31 August 2017 (year 2) for TOTAL academic staff (permanent and contract);
* Table 9: Support staff profile as at 31 August 2017 (year 2) for TOTAL support staff (permanent and contract);
* Table 10: Academic staff profile as at 31 August 2018 (year 3) for TOTAL academic staff (permanent and contract);
* Table 11: Support staff profile as at 31 August 2018 (year 3) for TOTAL support staff (permanent and contract);
* Table 12: Academic staff profile as at 31 August 2019 (year 4) for TOTAL academic staff (permanent and contract);
* Table 13: Support staff profile as at 31 August 2019 (year 4) for TOTAL support staff (permanent and contract);
* Table 14: Academic staff profile as at 31 August 2020 (year 5) for TOTAL academic staff (permanent and contract); and
* Table 15: Support staff profile as at 31 August 2020 (year 5) for TOTAL support staff (permanent and contract).

Work on one year at a time, focusing on the relevant year’s tables on the worksheet.

Determine the likely permanent vacancies. Reflect the vacancy numerically in the column B of each table e.g. if you have

a professor vacancy, you would indicate a 1 next to that post level. In the notes column (see column P of the

worksheet), please indicate why this vacancy is occurring e.g. anticipated voluntary turnover amongst x posts,

retirement of Mrs X against permanent post y, promotion of Ms Z to a higher grade elsewhere in University.

Determine the likely number of contracts that will be over and above the permanent posts e.g. against academic leave,

external funding or in the short-term if there is restructuring going on in the department. These contracts are not listed

as vacancies. In the notes column (column P) indicate the nature of the contract e.g. use of academic leave monies.

Knowing the number of vacancies and contracts, you can then start to identify which under-represented designated

groups will fill those ‘gaps’. Linked to this, please indicate what strategies will be used in column O of the table e.g.

promotion of current staff member, Mr Y to x post; recruitment of new staff member.

Show the promotions of academic staff taking place year on year. Include the detail in column O of the table. Show the

promotions of support staff, either within the department or if this staff member is promoted into a post elsewhere in

the University, this will be shown as a termination of employment within your department. Column O should note the

termination is due to promotion.

Table 16 shows the movement over the 5 year period for your department. This is automatically calculated comparing

the departmental proposed profile as at 31 August 2020 versus that as at 30 November 2014.

Table 17 shows the EAP gap analysis relative to profile for 31 August 2020. This can be used as a check and balance to

ensure the correct under-represented groups have been focused on

**9. Setting qualitative targets**

The qualitative targets set will be a combination of the strategies identified to address barriers (as per section 7 above) and the strategies to support the quantitative goal setting (as identified in section 8 above).

These should now be combined for each year of the plan. This should be entered into the tables 18 to 22 on the worksheet called Qualitative targets.

**10. Development and succession plans**

As noted before in this document, sections 7 to 11 reflect the various considerations but don’t reflect the order or process in which issues are determined, many of the issues are inter-related. In setting the quantitative and qualitative targets, consideration needs to be given to the development and advancement of current staff. However, in the case of support staff, such advancement may be contingent on institutional or departmental opportunities. Where such assumptions are made, indicate these clearly both in the Table 23 as well as the respective quantitative targets table (in column O strategies).

Table 23 called the Development and advancement plans for current staff needs to be completed for each staff member. This can be found on the worksheet called Dev plans + succession. If development conversations have been held with support staff and promotion discussions with academic staff, the completion of this table should be relatively easy.

**11. Process followed in determination of EE Plan**

The determination of the departmental EE Plan needs to be a consultative process. This is not only a legal requirement but also good governance. The nature and form of consultation will differ depending on the number and levels of staff and an appropriate process should be determined after consultation with staff.

Where there are high levels of union representation in an area, the HoD and staff may agree to involve union representation in the consultative process. Where union representatives are involved, it must be borne in mind that due to time constraints, it will not be feasible for the same union representatives to be involved in each and every process across the institution. The unions are part of the Equity and Institutional Culture Committee which has ultimate approval of the final Plan.

**12. Assistance needed**

If you are requiring any assistance, please do not hesitate to contact the IR+ EE Specialist in HR, Cecil Peters at [c.peters@ru.ac.za](mailto:c.peters@ru.ac.za). You are requested to outline what assistance you need in your e-mail.

**13. 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.

**Appendix 1:**

**Occupational levels**

|  |  |  |
| --- | --- | --- |
| **Occupational Levels** | **Corresponding academic post levels and support staff grades** | **Examples of jobs** |
| Top management | Support staff posts on Grade 24-25 | VC, DVC posts |
| Senior management | Support staff posts on Grade 19-23 | Director posts |
| Professionally qualified and experienced specialists and mid-management | All academic posts,  Support staff posts on Grade 14-18 | Middle management posts, some Director posts, more senior professional roles |
| Skilled technical and academically qualified workers, junior management, supervisors, foremen, and superintendents | Support staff posts on Grade 9-13 | Support staff supervisory posts in academic departments e.g. Office Administrator or Infrastructure and Operations Division e.g. Housekeeper;  Technical staff in academic departments e.g. CTOs, PTOs etc; skilled artisans in Infrastructure and Operations e.g. Plumbers, Electricians.  Entry level and more senior professional posts in HR, Finance, IT, Library. |
| Semi-skilled and discretionary decision making | Support staff posts on Grade 4-8 | Administrative posts in academic departments or support areas e.g. secretary, clerical work, data input.  Cooks in the Food Services area.  Certain artisan assistants/aides in the Infrastructure and Ops areas. |
| Unskilled and defined decision making | Support staff posts Grade 1-3 | Entry level staff across the University e.g. cleaners, messengers, kitchen attendants, grounds and gardens attendants. |

**Appendix 2:**



**NOTE: this is not a complete listing of the areas for analysis.**

**Appendix 3:**





**Appendix 4:**



**Appendix 5:**



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

   [↑](#footnote-ref-1)
2. **Affirmative action measures targeted at those under-represented designated groups:** These include identification and elimination of employment barriers; measures to further diversity; reasonable accommodation; preferential treatment and setting of numerical goals. [↑](#footnote-ref-2)
3. **Equitable representation**: Equitable representation requires that each occupational level in the institution mirrors that of the EAP. Those groups under-represented relative to the EAP should benefit from preferential treatment and the setting of numerical goals to achieve equitable presentation. Those groups not under-represented should NOT benefit from preferential treatment and the setting of numerical goals to achieve equitable representation.

   [↑](#footnote-ref-3)
4. **Occupational level:**  The workforce is divided into 6 occupational levels. Each job in the institution is placed in one of these 6 occupational levels. For a listing of the occupational levels matched to Rhodes’ grades and jobs, see Appendix 1. [↑](#footnote-ref-4)
5. **Under-representation**: Affirmative action measures only apply those designated groups that are under-represented relative to the EAP. [↑](#footnote-ref-5)
6. **Designated groups**: Affirmative action measures only apply to under-represented designated groups. Designated groups are Black, female and the disabled staff. This excludes foreign nationals (see detail above for who is regarded as a foreign national by the DoL). [↑](#footnote-ref-6)
7. **Foreign national or considered as a member of designated groups?** If an individual is Black, female and/or disabled and not born in RSA, the person will be considered as a member of designated group if the answer to both of the two following questions is “yes”: Does the person have RSA citizenship? AND Was this citizenship acquired before 1994? [↑](#footnote-ref-7)
8. Each current or new staff member is required to complete a documentation provided by the DoL where s/he classifies him/herself in terms of the race, gender and disability. In terms of the EE Act, this document must be retained by the employer. [↑](#footnote-ref-8)
9. **Equity fund:** Over the last few years, an institutional Equity Fund has been built up and has been utilised to support EE initiatives such as the employment of members of designated groups in supernumerary posts pending upcoming retirements or resignations, funding of professional development initiatives where this has involved covering salaries of academic staff while on professional development leave, supplementary funding to complement other funding e.g. academic leave funding to employ Black individuals for short-term periods. [↑](#footnote-ref-9)
10. **Employee value proposition:** This isall that an employer offers the staff member in exchange for their labour. This can include the nature of the employment contract (permanent or contract), development and promotion opportunities, the culture of the institution, resources available for work, the psycho-social support given to the staff member as well as the employer benefits and rewards such as medical aid, retirement funding, merit awards, recognition of contribution. [↑](#footnote-ref-10)
11. **Culture:** This refers to the way we do things including our every-day practices, what we value (and don’t), the way we treat each other and other relevant stakeholders. [↑](#footnote-ref-11)
12. **Staffing Committee:** This committee sits once a year and considers all applications for new posts. [↑](#footnote-ref-12)
13. **Equity year:** The annual EE plan runs from 1 September to 31 August of the next year. [↑](#footnote-ref-13)
14. **Staff turnover:** The rate at which staff leave the department AND the University. As such departmental staff turnover will not take into account movement from the department to another area of the institution. [↑](#footnote-ref-14)
15. It is understood that this is a very difficult conversation for the HOD to have with a staff member as the HOD does not want to appear to be pushing a valued staff member out of the department. It is suggested that this option is raised as part of the consultation process with staff and if there are staff nearing retirement who wish this option to be explored further with them, they can then be encouraged to see the HoD and Director, HR. [↑](#footnote-ref-15)