



UJ SELF-EVALUATION REPORT

Quality Audit Steering Committee Exco
University of Johannesburg

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UJ SELF-EVALUATION REPORT

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FOREWORD

I write this introduction in great anticipation of our institutional audit. Considerable preparations have gone into this, including the conduct of an intensive external mock audit in February that was largely modelled on the formal HEQC process, with a particular focus on and assessment of the UJ's Self-evaluation Report, and the UJ's overall readiness for the HEQC's institutional audit.

At the time of the institutional audit in August 2009, the UJ will be well into its fifth year of existence. During this time, much effort has gone into creating and implementing the University's vision, mission and values, and in establishing the underpinning and essential institutional architecture as reflected in its organisational strategies, plans, structures, policies, systems and procedures, etc. While our management approach during the first two to three years was largely top down and executive in nature, much effort has also gone into creating essential institutional dialogue to mobilise staff and student support for these measures. These efforts will be accelerated during 2009, as we now seek to shift our focus more intensely to "living our UJ values".

One of the critical matters that we faced at the outset, given the manner in which the University was founded, was to develop an understanding of the meaning of "a comprehensive university". Such meaning(s) had to be aspirational and futuristic, yet embedded in the historical and cultural experiences of our legacy institutions. This understanding required clear and decisive resolution, because unless these matters were resolved quickly, we faced the real possibility of losing especially senior and productive academic staff who were seeking a firm institutional identity. We also faced the real possibility that indecision would spark a downward spiral, with first postgraduate and later undergraduate students following senior academic staff to other universities. One other risk that we faced was that a collapse of our research capacity and culture could have added to a downward institutional spiral. We also had to reassure the public and our stakeholders that the UJ was for real and that it was a university worthy of their patronage and support. All of these considerations had direct consequences for sustainability, quality, and fitness of and for purpose.

In attending to this critical matter of identity, we took the view that the UJ would chart its path as a university in the first instance and utilise its institutional "comprehensivity" as a secondary instrument of reputation enhancement; that in the interest of the UJ and the nation we would strive to preserve, significantly enhance and focus our research and strong academic programmes; that, simultaneously, we would advance the cause of access and the imperatives of programme articulation and the creation of an inclusive institutional culture; and that we would affirm our technological and our traditional formative education traditions, drawing strengths from, rather than being limited by, each of these. These lines of thought are further developed in particular in our chapter on research.

Through our work we have progressively settled the UJ, we are building a strong brand, and the public and our stakeholders have warmed to the institution. In the process, undergraduate enrolment has grown beyond our expectations, our research productivity has escalated, and postgraduate enrolment, although down, remains a significant part of overall enrolment.

While we are still at the beginning of this vital project of renewal and establishment, we see the institutional audit as a first, critical and substantive evaluation of the choices that we have made, and the course that we have chosen. We therefore present this Self-evaluation Report, which lays bare the choices and chosen paths we have followed. We look forward

with much anticipation to the feedback that we shall receive from the audit process, since this feedback is so important to the further evolution of this critical national institution.

Prof I Rensburg
Vice-Chancellor
21 April 2009

LIST OF ACRONYMS AND ABBREVIATIONS

| | |
|--------|---|
| AA | Academic Administration |
| AAD | Academic (Central) Administration Division |
| AASR | Academic Administration Self-Evaluation Report |
| ABET | Adult Basic Education and Training |
| ACE | Advance Certificate in Education |
| AD | Academic Development/Academic Development Unit |
| ADS | Academic Development and Support/Division for Academic Development and Support |
| ADU | Academic Development Unit |
| AMR | Annual Monitoring and Review |
| ANC | African National Congress |
| APB | Auckland Park Bunting Road Campus |
| APC | Academic Planning Committee |
| APK | Aucklandpark Kingsway Campus |
| APS | Academic Programme Structure |
| AR | Academic Regulation(s) |
| ASC | Audit Steering Committee |
| ASD | Academic Staff Development |
| AVU | Audio Visual Unit |
| B&M | Business and Management |
| CAA | Central Academic Administration (i.e. at institutional level and to distinguish it from faculty administration (also referred to as Academic Administration)) |
| CAD | Centre for Academic Learning |
| CAPEX | Capital Expenditure |
| CBO | Community Based Organisation |
| CCLA | Centre for Culture and Languages in Africa |
| CCMA | Commission for Conciliation, Mediation and Arbitration |
| CCR | Centre for Communication Research |
| CDP | Campus Development Plan |
| CE | Community Engagement |
| CenTAL | Centre for Technology Assisted Learning |
| CEO | Chief Executive Officer |
| CEP | Community Engagement Policy |
| CEPR | Centre for Education Practice Research |
| CHE | Council for Higher Education |
| CHELSA | Committee of Higher Education Librarians |
| CHES | Centre for Higher Education Studies |

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| CIO | Chief Information Officer |
| CMP | Campus Master Plan |
| CoS | Condition of Service |
| CPASD | Centre for Professional Academic Staff Development |
| CPD | Continuing Professional Development |
| CPP | Campus Programme Profile |
| CPTD | Continuous Professional Development of Educators |
| CPU | Cooperative Placement Unit |
| CSBD | Centre for Small Business Development |
| CSDA | Centre of Social Development in Africa |
| CSIR | Council for Scientific and Industrial Research |
| CSMED | Centre for Small and Medium Enterprise Development |
| CSR | Centre for Sociological Research |
| CTA | Certificate in the Theory of Accounting |
| CTLA | Centre for Teaching Learning and Assessment |
| CTP | Committee of Technikon Principals |
| CV | Curriculum Vitae |
| DALRO | Dramatic, Artistic and Literary Rights Organisation |
| DFC | Doornfontein Campus |
| DFG | Deutsche Forschungsgemeinschaft |
| DIPQP | Division for Institutional Planning and Quality Promotion |
| DOE (DoE?) | Department of Education |
| DST | Department of Science and Technology |
| DVC | Deputy Vice-Chancellor |
| ECSA | Engineering Council of South Africa |
| ED | Executive Director |
| EDU | Education |
| EE | Employment Equity |
| ELG | Executive Leadership Group |
| ERC | East Rand Campus |
| ES | Executive Scorecard |
| FADA | Faculty of Arts, Design and Architecture |
| FAP | Faculty Assessment Policy |
| FB | Faculty Board |
| FBO | Faith Based Organisation |
| FE | Faculty of Education |
| FEBE | Faculty of Engineering and the Built Environment |
| FEFS | Faculty of Economic and Financial Sciences |
| FET | Further Education and Training |

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| FH | Faculty of Humanities |
| FHDC | Faculty Higher Degrees Committee |
| FHS | Faculty of Health Sciences |
| FL | Faculty of Law |
| FM | Faculty of Management |
| FMC | Faculty Management Committee |
| FOTIM | Foundation of Tertiary Institutions of the Northern Metropolis |
| FPAC | Faculty Postgraduate Assessment Committee |
| FQC | Faculty Quality Committee |
| FRIMS | Faculty Research Information Management Systems |
| FS | Faculty of Sciences |
| FTE | Full-time equivalent |
| FTLAC | Faculty Teaching, Learning and Assessment Committee |
| FTLC | Faculty Teaching and Learning Committee |
| FULSA | Forum of University Librarians |
| FYE | First Years Experience |
| GA | Division for General Administration |
| GCRO | Gauteng City Regional Observatory |
| GOP | Goal Oversight Principal |
| GRF | Deutsche Forschungsgemeinschaft or German Research Foundation |
| HE | Higher Education |
| HEDA | Higher Education Data Analysis |
| HEI | Higher Education Institution |
| HEMIS | Higher Education Management Information System |
| HEQC | Higher Education Quality Committee |
| HEQF | Higher Education Qualifications Framework |
| HESA | Higher Education South Africa |
| HFA | Head: Faculty Administration |
| HOD | Head of Department |
| HPCSA | Health Professional Council of South Africa |
| HR | Human Resources/Human Resources Division |
| HSRC | Human Sciences Research Council |
| HUM | Humanities |
| ICAG | Institute for Child and Adult Guidance |
| ICL | Intercampus Loan |
| ICS | Information and Communication Services |
| ID's | Instructional Designers |
| IF | Institutional Forum |
| ILL | Interlibrary Loan |

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| InfoEd | Research Information Management System |
| IOP | Institutional Operating Plan |
| IP | Intellectual Property |
| IPET | Initial Professional Education of Teachers |
| ISI | Institute for Scientific Information |
| IT | Information Technology |
| ITLC | Inter Technicon Library Committee |
| ITLS | Institute of Transport and Logistics Studies |
| ITS | Integrated Tertiary Software |
| UNESCO | United Nations Educational, Scientific and Cultural Organisation |
| EXCO | Executive Committee |
| IULC | Inter University Library Committee |
| JIT | Just-in-Time |
| JMO | Joint Merger Office |
| JMSC | Joint Merger Steering Committee |
| KPA's | Key Performance Areas |
| KPIs | Key Performance Indicators |
| LibQUAL | Library Quality (Questionnaire/ Survey) |
| LIC | Library and Information Centre |
| LLLT | Low Level Laser Therapy |
| LMS | Learning Management System |
| MAPS | Mastering Academic Practice Skills |
| MBA | Masters in Business Administration |
| MEC | Management Executive Committee |
| MECA | Management Executive Committee: Academic |
| MECO | Management Executive Committee: Operations |
| MES | Middestad Evangelisasie Sending (Metro Evangelical Services) |
| MIS | Management Information System |
| MS | Micro Soft Office |
| MWU | Midwestern University |
| NACO | National Authority Control Organisation |
| NATED | National Education |
| NEHAWU | National Education, Health and Allied Worker's Union |
| NGO | Non-Governmental Organisation |
| NGS | New Generation Scholars |
| NGSP | New Generation Scholars Programme |
| NIMPO | National Intellectual Property Management Office |
| NMMU | Nelson Mandela Metropolitan University |
| NORAD | Norwegian Agency of Development |

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| NPHE | National Plan for Higher Education |
| NPO | Non Profit Organisation |
| NQF | National Qualifications Framework |
| NRF | National Research Foundation |
| NSFAS | National Student Financial Aid Scheme |
| NTESU | National Tertiary Education Staff Union |
| NUTESA | National Union of Technikon Employees of South Africa |
| NWU | North-West University |
| OIE | Office for Institutional Effectiveness |
| OPD | Office for People with Disabilities |
| PA's | Personal Assistants |
| PAR | Participatory Action Research |
| PASD | Professional Academic Staff Development |
| PDT | Photodynamic Therapy |
| PDU | Programme Development Unit |
| PG | Postgraduate |
| PGCE | Postgraduate Certificate in Education |
| PPD | Platform for Public Deliberation |
| PPDU | Programme and Professional Development Unit |
| PPM | Paleoproterozoic Mineralization |
| PQM | Programme Qualifications Mix |
| PR | Programme Review |
| ProTECDS | Process Optimisation of Thermodynamic, Energy and Dynamic Systems |
| PsyCaD | Centre for Psychological Services and Career Development |
| PVC | Pro Vice-Chancellor |
| PWD | People With Disabilities |
| PWG | Programme Working Group |
| QA | Quality Assurance |
| QCC | Quality Care Committee |
| QCU | Quality Care Unit |
| QPF | Quality Promotion Framework |
| QPP | Quality Promotion Plan |
| QPT | Quality Project Team |
| QPU | Quality Promotion Unit |
| QTT | Quality Task Team |
| QW | Quick Wins |
| RAU | Rand Afrikaans University |
| RAUCALL | Metropolitan Rand Afrikaans University College for the Advancement of Learning and Leadership |

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| RC | Research Centre |
| RCD | Research Capacity Development |
| REEF | Register for Expensive Equipment Forum |
| REMCO | Council's Remuneration Committee |
| RIMS | Research Information Management System |
| RISA | Research and Innovation Support Agency |
| RLO | Residence Life Officer |
| RPL | Recognition of Prior Learning |
| SAAIR | Southern African Association for Institutional Research |
| SADC | Southern African Development Community |
| SAHEISC | South African Higher Education Institutions and Science Councils |
| SAICA | South Africa Institute of Chartered Accountants |
| SANLIC | South African Library Consortium |
| SANPAD | South Africa- Netherlands Research Programme on Alternatives in Development |
| SANTED | South African-Norway Tertiary Education Development |
| SAPQC | Senate Academic Planning and Quality Committee |
| SAPSE | South African Post-Secondary Education |
| SAPTU | South African Parastatal and Tertiary Institutions Union |
| SAQA | South African Qualifications Authority |
| SAUVCA | South African Universities Vice-Chancellors' Association |
| SCCD | Student Counselling and Career Development/Student Counselling and Career Development Unit |
| SE&JS | Student Ethics and Judicial Services |
| SEC | Student Enrolment Centre |
| SENEX | Senate Executive Committee |
| SER | Self-Evaluation Report |
| SERTEC | Certification Council for Technikon Education |
| SET | Science, Engineering and Technology |
| SETA | Sector Education & Training Authority |
| SHDC | Senate Higher Degrees Committee |
| SIFE | Student In Free Enterprise |
| SIS | Standard Institutional Statute |
| SITA | State Information Technology Agency |
| SL | Service Learning |
| SL&G | Student Life and Governance |
| SLP | Short Learning Programme |
| SMS | Strategic Management Support |
| SQC | Senate Quality Committee |

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| SRC | Student Representative Council |
| SSB | Student Services Bureau |
| STATKON | Statistical Consultation Services |
| STH | School for Tourism and Hospitality |
| STLC | Senate Teaching and Learning Committee |
| STT | Strategic Task Team |
| SWC | Soweto Campus |
| TAL | Technology Assisted Learning |
| TIFAF | Tertiary Institutions Faculty Administration Forum |
| TLA | Teaching, Learning and Assessment |
| TTK | Thuthuka |
| TUT | Tshwane University of Technology |
| TWR | Technikon Witwatersrand |
| UAV | Unmanned Aerial Vehicle (unnamed or unmanned?) |
| UFH | University of Fort Hare |
| UFS | University of the Free State |
| UG | Undergraduate |
| UJ | University of Johannesburg |
| UJISS | University of Johannesburg International Student Society |
| UJLIC | University of Johannesburg Library and Information Centre |
| UJSRC | University of Johannesburg Student Representative Council |
| UK | United Kingdom |
| UKZN | University of Kwazulu-Natal |
| UL | University of Limpopo |
| UNISA | University of South Africa |
| UOFS | University of the Orange Free State |
| UP | University of Pretoria |
| UQP | Unit for Quality Promotion |
| URC | University Research Committee |
| US | University of Stellenbosch |
| USA | United States of America |
| USB | University Sounding Board |
| USSA | University Sports South Africa |
| UWC | University of the Western Cape |
| VC | Vice-Chancellor |
| VCT | Voluntary Counselling and Testing |
| VISTA | Vista University |
| VUDEC | Vista University Distance Education Campus |
| VUT | Vaal University of Technology |

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| WEBCT | Web Course Tools |
| WG | Working Group |
| WIL | Work-integrated Learning |
| WIL&SL | Work Integrated and Service Learning |
| WITS | University of the Witwatersrand |

EXECUTIVE SUMMARY

The first seven chapters of the UJ Self-Evaluation Report (SER) are devoted to core institutional functions and their concomitant clusters of audit criteria. The eighth chapter is more holistic and reflective, and a final conclusion on institutional achievements and concerns, phrased within the context of the underlying audit theme (*From merger to(-wards) unity*), is thus drawn. The SER is supported by two accompanying documents, respectively labelled *UJ @ a Glance* and *Student Life @ UJ*. References to them are clearly indicated as such in the SER.

The *first chapter* illustrates that the UJ has been consciously strategy driven since its official establishment. Great care was taken in the development of a Vision, Mission and Values Statement and the Strategic Goals. It placed strategic planning and resourcing on a solid footing through an initial top-down, though gradually more inclusive approach. Strategic Thrusts, relating to the ten Strategic Goals, represent institutional imperatives for every year, whilst the *Institutional Dashboard* is used to monitor progress, or the lack thereof. Human, financial and infrastructural resources are made available to give integrated effect to the strategic direction the UJ has taken, although implementation by means of formal action plans to take the strategic goals forward is as yet inadequately developed. Its strategy-driven approach gave the “new” UJ a common purpose, well worth striving for. However, it has not (yet) been coherently embraced as the signpost to the road ahead at all institutional levels.

Chapter 2 argues that the UJ, inheriting two disparate quality philosophies barely four years ago, successfully established a single institutional quality management system. The system is geared (vertically) towards all levels of management, i.e. institutional, campuses, faculties, as well as development, service and support divisions; and (horizontally) towards all core functions and the support thereof. System implementation is guided by a *Quality Promotion Policy* and an all-encompassing *Quality Promotion Plan* (still to be approved). Institutional research and subsequent planning initiatives are integrated into the plan and it is supported by a network of interrelated policies, strategies and regulations. The chapter concludes by stating that the UJ does not (yet) fully display an all-embracing quality ethos. The institution is gradually moving from a *reactive* towards a *responsive* quality ethos, where quality challenges are used to review practices and to establish improvement agendas. Elements of the latter ethos are already to be found in several “pockets”, and it might be institutionally realised within a few more years.

Several teaching and learning policies and procedures (products of considerable institutional deliberations), complemented by a “new” Teaching and Learning Strategy, represent the essence of the reflections in *Chapter 3*. The central teaching and learning supporting structure has, after several post-merger refinements, been shaped into the Division for Academic Development and Support. Elements of reliable and fair assessment are also contained in a network of documents, specifying desirable principles and credible procedures. The standardisation of academic administration processes, including web-based support, is another achievement. The effectiveness of policy implementation and the proper alignment of context-specific (faculty) procedures with institutional policies is, however, a continuous quality assurance and promotion challenge. Finally, the complementary

functioning of the Senate Quality Committee, the (new) Senate Teaching and Learning Committee, and the (proposed) Recognition of Prior Learning Committee, is re-emphasised as a necessary condition for quality teaching, learning and assessment throughout the University.

Chapter 4 focuses on the establishment of the UJ's Academic Programme Structure (APS) and associated policies, strategies and structures that support its implementation. The HEQC-supported programme review project (conducted between 2005 and 2008) is not only regarded as an immense institutional-resourcing-in-action achievement, but also as a major step towards the alignment of accredited programmes with institutional Strategic Thrusts and national programme quality requirements. New programme-related policies and quality management structures; newly constructed (and reconstructed) academic development and support divisions/units and an institutional Audit and Risk Committee, are evidence of the institutional quest for sustainable programme quality. The chapter concludes with a plea for stronger alignment of and coherence between units that support programme-related matters and faculties that offer these programmes. The latter, in combination with a functional policy monitoring and review system, will significantly contribute towards this institutional quest.

Divisions, units and centres that perform functions and offer services in support of teaching, learning and assessment are discussed in *Chapter 5*. Some of these entities have (direct) contact with students and/or academic staff, while others provide (indirect) academic administration, technology integration or programme development support. In spite of a range of merger-related volatilities in this sector, academic development and support functions were (as of 2008) clustered into manageable divisions/centres, most of them with clear responsibilities, a strategic intent, as well as formalised structures and reporting lines. Major quality management strides were also made and in most entities quality promotion and assurance mechanisms are operational. One unit and two divisions formally conducted a constructive self-evaluation and peer review during 2008, being part of a six-year institutional cycle. The most pertinent quality-related challenges of these entities are to evolve credibility on all campuses; capacity building, attraction and retention of staff; a dedicated cross-divisional forum for collaboration and consultation, and focused branding and internal marketing geared towards a greater sense of awareness among staff and students.

The UJ has crafted a research, postgraduate education and innovation mandate that strives to uniquely align itself eventually with the research-intensive institutions of the country. This is the core message of *Chapter 6*, which labels the UJ as a research-focused (comprehensive) institution that deploys an ever-expanding research and innovation footprint via selected faculties, programmes, units and divisions. The institutional research agenda displays three Strategic Thrusts, namely the recruitment of scholars with sufficient research potential; the cultivation of an enabling research environment and the mobilisation of research investments. A number of measures have been introduced to ensure that planned research and innovation endeavours are financially sustainable, most notable of which are annually budgeted research expenditure, a substantial increase in research output, qualification-related staff capacity building, a commercialisation of intellectual property ventures and an external research funding drive.

In terms of postgraduate education, a unified set of *Academic Regulations* and a *Higher Degrees and Postgraduate Studies Policy*, augmented by faculty-specific policies, have

already been put in place. The latter (complemented by policies and guidelines on Student-Supervisor Relationship, Plagiarism and Academic Authorship) provide a comprehensive framework for the governance and quality management of postgraduate studies and programmes. The prominent oversight and monitoring role of Senate's Higher Degrees Committee (supported by similar faculty committees) is crucial in this regard.

Community Engagement (CE), the theme of *Chapter 7*, has yet to be fully embedded as a core academic function at the UJ. New systems, structures, policies and procedures are being developed that still have to be coherently implemented. For purposes of institutional support and coordination of CE activities, a Community Engagement Office was established. Recognised as a core institutional function, CE is prominently integrated into the institutional Vision, Strategic Goals and *Quality Promotion Plan*. A revised *Community Engagement Policy*, aimed at the integration of Service Learning, Organised Outreach and Community-based Research into faculty-based core academic activities, is due for submission to Senate. The UJ strives towards noteworthy community impact via a number of approaches and strategies, as is explained in Chapter 7. However, quality-related arrangements for CE have not yet been fully formalised. The approval and institution-wide implementation of the "new" CE Policy, as is discussed in this chapter, are the pivotal earmarked initiatives that should strongly contribute towards the UJ becoming a truly engaged institution.

Chapter 8 emphasises that surveys and benchmarking are essential for planning, quality assurance and promotion purposes. Annual benchmarking for reporting and planning purposes at Executive Leadership Group (ELG) level has been an institutional practice since 2007. A fair number of institutional, faculty and divisional surveys aimed at the monitoring and improvement of quality have been conducted, but institutional oversight is lacking. A Unit for Institutional Research that coordinates and provides support with regular surveys, impact studies and the provision of (strategic and other) information relating to annual reporting and decision-making, is foreseen. The most effective "solution" for the UJ would be the development and implementation of an institutional research framework that coordinates and guides benchmarking, surveys, impact studies and quality reviews; the timely dissemination of findings and communication to stakeholders and the accountability of the relevant managers for follow-up activities, such as targeted improvement plans.

Four *open-ended questions* augment the 19 Audit Criteria formulated by the HEQC. Possible answers to these questions have, to varying degrees, been reasoned in the first seven chapters of the SER. The section in Chapter 8 therefore highlights or provides additional insight into "answers" in an integrated and reflective manner. It can be concluded that the UJ has already established a unique presence in Gauteng, nationally and internationally. The role of this young institution is still evolving, but it already displays numerous trademarks of a vibrant intellectual culture; it fulfils (especially as a comprehensive institution) a meaningful role as innovation incubator and catalyst of new knowledge and technologies; it boasts several institutional successes in promoting and enhancing quality, and is generally well placed to enrich and add excellence to the Southern African HE sector and beyond.

The underlying Audit theme - *from merger to(-wards) institutional unity* – implies an ongoing path of institutional transformation. In concluding an SER of this magnitude, a holistic analysis and interpretation of matters that relate to the UJ's progress *to(wards) unity* (or lack

thereof), are finally summarised in Chapter 8 in three broad categories, respectively labelled as:

- unity established – commendable matters;
- unity in progress – matters that require limited supportive or remedial attention; and
- unity concerns – matters that require dedicated institutional devotion.

The so-called *Final Word* section of the SER re-emphasises the University's view of the HEQC Audit as a valuable opportunity to take stock of its achievements and challenges, just four-and-a-half years since its inception. The SER is not a mechanical response to HEQC requirements, but rather a reflection phase in the institutional cycle of continuous improvement that helps to shape the UJ into an HE institution of exemplary quality.



PREAMBLE

The University of Johannesburg (UJ) was established on 1 January 2005 as the result of the merger of the former Rand Afrikaans University (RAU) and Technikon Witwatersrand (TWR). One year prior to the merger two campuses of the former Vista University, in Soweto and on the East Rand, were incorporated into the RAU (see *Government Notice 1694 and 1702 of 2003*).¹

The merger between a traditional university with a strong research ethos and a well established technikon presented unique opportunities and challenges. E.g. the UJ is committed to becoming recognised as a top research university in South African terms. It is also committed to offering opportunities to successfully further their studies in higher education to a widening spectrum of potential students. The steps taken to actively pursue these goals in tandem - as well as other goals - will be addressed in this report. Particular attention is given to illustrating that the University is serious about expanding its research contribution.

AUDIT THEME

An Audit Steering Committee (ASC) was established as a sub-committee of the Senate Planning and Quality Committee to steer the preparations for the first quality audit by an HEQC Panel. The MEC approved *from merger to unity* as the underpinning theme for the quality audit. This theme also permeates the Self-evaluation Report (SER). The key terms used can be interpreted as follows for the purpose of the SER:

- **Merger.** The legal merger, which entails that henceforth the merging institutions would be considered and treated as a single institution. It says nothing about the substantive merger that addresses matters like the divergence of systems, structures, policies, institutional ethos, etc.
- **Unity.** There is a single unified governance system and unity of purpose with regard to the strategic direction of the University. More intangible, but relevant, is the requirement that all internal stakeholders embrace the new University as their sole reference in thinking and planning.

In terms of the above there will be frequent references to the merger throughout the SER. These references to the merger are intended to establish context and to underline the complexities and priorities that are being discounted in the development of this large multi-campus university in the economic heartland of the country. They are not intended as an apology for what has not yet been achieved, nor are they intended to be boastful of perceived progress towards unity in the few short years that the institution has existed. The University is well aware of the fact that unity is an elusive concept, but it will show that it is purposefully striving towards a situation where there is unity, as defined above, and a shared understanding of UJ policies, procedures and practices.

¹ Government Gazette 25737 (14/11/2003): Government Notice 1694 (incorporation) and Government Notice 1702 (merger).

Many prefer to write the theme as: *from merger to(wards) unity* to indicate that the pursuit of unity is an ongoing process and the ideal of unity, as defined above, has not been achieved in many respects. The reader will find the latter version more often than not in this SER.

PREPARATION FOR THE QUALITY AUDIT

In June 2007 the University approved the UJ Audit Strategy: 2007 – 2010,² on the basis of the following three principles:

- **Strong leadership**
- **Institution-wide ownership of the UJ portfolio**
- **Institutional improvement.**

The University set for itself the following goals for the HEQC Audit:

- Sincere and extensive self-evaluation
- Contribution to positioning the University in the higher education landscape
- Institutional improvement
- Insight into the University's state of readiness regarding innovation and transformation
- An opportunity for institutional learning.

Structures and management to implement the strategy consist of the following:

- Initially the Deputy Vice-Chancellor: Strategic and Institutional Planning and Implementation was tasked with implementing the strategy. After his retirement at the end of 2007, the Pro Vice-Chancellor (PVC) took over this responsibility.
- The Audit Steering Committee was appointed by the MEC with the explicit mandate of steering the self-evaluation and related processes that lead up to the audit. It was to be responsible for the completion of the audit project up to the drafting of the University's response to the HEQC report.³ The ASC reported to the Senate Quality Committee and hence Senate itself, while the PVC, as Chairperson of the ASC, reported regularly to the MEC. Senate reports and MEC feedback ensured that Council was also being kept informed about progress in the preparations for the Audit.
- An Audit Steering Committee Exco was appointed to meet regularly to address the day-to-day steering of the Strategy.⁴
- Five Audit Task Teams (ATTs) were identified on the basis of a clustering of the HEQC audit criteria. These task teams were responsible for an analysis of the criteria in the UJ context, identification of relevant evidence and developing the first ATT-specific draft of the SER. Supporting documents, including an ATT Brief

² UJ Audit Strategy: 2007 – 2010.

³ Minutes of ASC meetings.

⁴ ASC Exco minutes.

and Guidelines for Portfolio Development, were developed and discussed at workshops with the ATTs.⁵

- Audit Working Groups (AWGs) were established to provide specialised support, e.g. the logistics of the site visit, student quality awareness, surveys, etc.
- Support was established in the Unit for Quality Promotion in the Division for Institutional Planning and Quality Promotion (DIPQP). A dedicated Audit Office was established. A Project Manager: Audit and Evidence Managers was appointed, and the Head of the Quality Promotion Unit was seconded to the Audit Office. Additional staff responsible for SER development etc. were appointed and/or co-opted from faculties and DIPQP.

Consultation and communication were important aspects of the audit strategy. The following were undertaken to improve quality awareness, communicate the strategy and progress made with the implementation thereof:

- Roadshows were presented to different faculty structures, support units, labour unions and students, including the UJSRC.⁶
- An audit seminar with guest speakers from other universities was held.
- Regular news items appeared in the UJ newsletter, U @ UJ, and also in the quality newsletter, On Q.⁷
- A special quality-audit webpage (see www.uj.ac.za) was developed on the UJ website. The different drafts of the SER were made available on this website and also as hard copies.
- Small and large informal consultation groups on specific matters in the different chapters – usually at the request of the writer(s) – were convened. Campus-specific consultations were also scheduled.

In 2008 it was decided to conduct a Mock Audit in February 2009. It was also decided that the Mock Audit should be conducted by eminent peers and resemble the HEQC audit as far as possible. The reasons included the following:

- The Mock Audit was seen as an opportunity to collect formal comments and responses by knowledgeable peers on the performance of the University (in terms of the HEQC criteria) and the SER (as a document).
- It should serve as a practice run for the HEQC quality audit as far as the logistics of the site visit, briefing and debriefing of interviewees, etc. were concerned.
- It would raise quality awareness on all campuses.

The Mock Audit included the compilation and convening of an Audit Panel, preparation of a preliminary SER, briefing of interviewees before the site visit and during the site visit, debriefing, campus visits, etc.⁸

⁵ Supporting documents.

⁶ Example of PPT presentations to UJ communities.

⁷ Copies of *U @ UJ* and *On Q* (February 2009 edition).

⁸ Documentation on Mock Audit schedules, briefing and debriefing.

Valuable insights were gained during the Mock Audit and the UJ wishes to be on record for its appreciation of the time and inputs of the Mock Audit Panel members during the week-long site visit. The Mock Audit Report was discussed at different fora, including the MEC and a joint meeting of the ELG and the ASC Exco. It informed the SER writers in the revision of the SER and, in the spirit of transparency, was posted on the UJ intranet.

The effort and resources that went into the preparation for the audit are evidence of the University's commitment. The University takes the self-evaluation very seriously and has high expectations of the benefits that can stem from the audit of 2009.

SER

It is realised that the SER is a lengthy document, but the UJ is a complex university at a crucial stage in its development and to convey this perception requires more elaboration. A cluster of criteria (sometimes only one) around a central topic leads to a chapter with a focus on a specific function and related aspects. The HEQC Audit Criteria are used for self-reflection on the performance of the University. The chapters that make up this SER (with the HEQC Audit Criteria addressed in each, where relevant, in brackets) are as follows:

1. **Strategic planning and resourcing.** The strategic direction of the University is explained, and related planning initiatives, resourcing and quality arrangements discussed (Criterion 1).
2. **Quality management.** The way in which quality is managed at the UJ and the extent to which the other two key activities are integrated into its quality management is the topic of this chapter (Criterion 2).
3. **Teaching, learning and assessment.** This chapter covers the core function of teaching and learning, the support thereof, as well as related quality-assurance arrangements (Criteria 3, 11, 12, 13 and 14).
4. **Academic programmes.** Developments in the programme domain are addressed in terms of the development and implementation of the first UJ Quality Plan (with reference to programme reviews undertaken) and institutional policies, strategies and plans to support the implementation of its Academic Programme Structure (Criteria 5, 6, 7, 8, 9 and 10).
5. **Academic development, services and support.** The divisions and units that are responsible for academic development, services and support are discussed in terms of strategic intent and the services they provide, culminating in their individual self-reflections (Criterion 4).
6. **Research, postgraduate education and supervision.** The institutional research system at the UJ is discussed, including research funding and support, quality assurance and capacity development (Criteria 15, 16 and 17).
7. **Community engagement.** The systems, structures, policies and procedures in use at the UJ are discussed and some of the major projects and outreach initiatives flagged (Criterion 18).
8. **Self-evaluation.** The final chapter deviates from the above structure: The four open-ended questions posed by the HEQC in its audit manual are addressed. Criterion 19, which does not have a natural home in the previous chapters, is also addressed. Finally, some high-level conclusions are drawn from the preceding chapters of the SER.

The report represents the dedicated work of many contributors over a lengthy period of time. The chapters were written by several authors and, although there is a final language and technical editing, the differences in style of the different authors will still be evident.

As and when relevant, certain aspects of this SER are supported by additional information contained in two other publications:

- *UJ @ a Glance*
- *Student Life @ UJ.*

Although one, or both, may develop to have a life of its own, they were originally prepared with a view to the audit. The contents of the first document in particular are important to obtain a better understanding of the University, its institutional structures, major internal stakeholders, infrastructure and some of the challenges it faces. References to these publications are clearly indicated as such in the SER.

NUMERICAL DATA

The reader of the SER is requested to bear the following in mind when engaging with numerical data: As far as possible only formally audited HEMIS data are used or referred to in the SER. Exceptions are the following:

Where such data do not exist or are not yet audited, they are indicated as such. In this respect it can immediately be stated that HEMIS data for 2008 are not audited. They are used, though, because not only are they the most recent, but they provide a much needed extension of a time series for a University that is only four years old. For the same reasons it was found expedient to also include 2009 data where they are available in a comparable form, recognising that these data are, by definition, preliminary.

The University has reason for concern that some Human Resource (HR) data do not meet acceptable standards of accuracy. A data cleansing exercise was initiated in 2008, but the goal of accurate and comprehensive HR data has not yet been achieved.

HEMIS data are compiled according to Department of Education prescriptions. For internal management uses more analyses are required. The University contracted a consultant to develop an instrument called the Higher Education Data Analyser (HEDA) which extends the data analysis beyond HEMIS requirements. There will be references in the SER to HEMIS and HEDA data.

Data used were drawn and/or verified for the last time on 20 March 2009.



CHAPTER 1

Strategic Planning and Resourcing

HEQC CRITERION 1

CRITERION 1

The institution has a clearly stated mission and purpose with goals and priorities which are responsive to its local, national and international context and which provide for transformational issues. There are effective strategies in place for the realisation and monitoring of these goals and priorities. Human, financial and infrastructural resources are available to give effect to these goals and priorities.

Examples

- (i) Engagement with local, regional, national and international imperatives (including national policy frameworks and objectives) in order to establish the fitness of purpose of the institution. Involvement of internal and external stakeholders in this process.
- (ii) Adequate attention to transformational issues in the mission and goal-setting activities of the institution, including issues of community engagement.
- (iii) The translation of the mission into a strategic plan with clear timeframes and resources for the achievement of goals and targets in its core functions.
- (iv) Allocated responsibilities at senior management level for implementation, monitoring and responsive action.
- (v) Regular review of the nature and extent of institutional responsiveness and of the strategies and resources used to give effect to institutional goals and priorities.

1. STRATEGIC PLANNING AND RESOURCING

1.1 INTRODUCTION

The University of Johannesburg (UJ) came into being on 1 January 2005 as a result of the merger between the Rand Afrikaans University (RAU) and the Technikon Witwatersrand (TWR). This was one year after the incorporation of two campuses of Vista University (which was being unbundled at the time) into RAU.⁹ The University will therefore be only slightly more than four years old at the time of the HEQC Quality Audit. This new university is positioned to offer a suite of programmes that range horizontally through a full spectrum of vocational, professional and general formative programmes and vertically through the full range from undergraduate certificate programmes all the way to doctoral programmes. This makes it imperative to get a shared understanding of its direction as rapidly as possible.

In the Preamble to the *Self-Evaluation Report* (SER) it has been stated that the Report must be read in conjunction with two other documents:

UJ @ a Glance

Student Life @ UJ.

In this chapter and subsequent chapters there will be references to both these documents. The first one in particular will be referred to often, since it contains information that is important to understanding the University.

In *UJ @ a Glance* the governance and management structures of the University are explained. For ease of reference the non-statutory management structures that are specific to the UJ are briefly listed below:

- Management Executive Committee (MEC). The MEC consists of the Vice-Chancellor and Principal, Pro Vice-Chancellor, four Deputy Vice-Chancellors, Registrar and Adviser to the Vice-Chancellor, with the latter being a co-opted member. It is a decision-making body.
- Executive Leadership Group (ELG). The ELG consists of the MEC members, nine Executive Deans and eleven Executive Directors. Hence it represents the executive leadership and, although it has no decision-making authority, it is a very influential body.
- MEC Academic Committee (MECA). In terms of its Charter¹⁰ the role of MECA is to assist the MEC to realise the vision, mission, core values and strategic goals of the University with regard to the academic side of the institution. It has delegated authority in certain matters.

⁹ Government Gazette 25737 (14/11/2003): Government Notice 1694 (incorporation) and Government Notice 1702 (merger).

¹⁰ MECA Charter (February 2007).

- MEC Operations Committee (MECO). In terms of its Charter,¹¹ the purpose of MECO is also to assist the MEC to realise the vision, mission, core values and strategic goals of the University, in this case with regard to the operations of the institution.

1.2 OVERVIEW OF THE CHAPTER

The University of Johannesburg is consciously strategy driven. In this chapter it will be illustrated by showing the great care that was taken in the development of its strategic direction, consisting of its Vision, Mission and Values Statements and ten Strategic Goals, and placing their implementation on a solid foundation. It will also be shown that laying a solid foundation takes time and, although it had to be top-down at times, it is gradually becoming more inclusive.

Strategic Thrusts provide the imperatives for each year. Of necessity they reflect the operational imperatives of the moment (e.g. preparation for the Audit) at times, but can always be linked back to the Strategic Goals. This is also the case with performance reviews.

In this chapter, an overview of the different processes that culminated in the formulation of the UJ Vision, Mission and Values Statements and the development of its current Strategic Goals is provided. Implementation and monitoring processes are described and the Strategic Thrusts for 2007 through 2009 are discussed.

In conclusion, the impact of the *Strategic Plan* in terms of the requirements of the HEQC Audit Criterion 1 is reflected on.

1.3 VISION, MISSION AND VALUES STATEMENTS

1.3.1 DEVELOPMENT OF THE STATEMENTS

The initial development process of the *Vision, Mission and Values Statements* of the University one year before its establishment helped to bring persons from three divergent institutional cultures (TWR, Vista and RAU) together for the first time, and that with an explicit focus on a shared future. Hence it was an extensive process that purposefully involved a substantial amount of consultation and debate. Consultation was on four levels:

- Management structures. Various management structures participated at different stages. Initially these were the Executive Management Committees (Vice-Chancellor, Deputy Vice-Chancellors and Registrars), as well as the Councils of the two merging institutions. Later in the process a greater role was played by the Joint Merger Steering Committee (JMSC), a body consisting of members of the two councils formed to steer the alignment of the two institutions towards the merger (see Figure 1 in *UJ @ a Glance*), and the Interim Council elect, a body

¹¹ MECO Charter (February 2007).

that was appointed by the Minister of Education to take over the governance of the new university after the merger until such time as a permanent council could be constituted.

- Representative structures. They were important as a vehicle to engage all recognised internal stakeholder bodies through their representatives. They comprised the Institutional Forums of the two institutions, as well as their Senates. TWR enlarged its Institutional Forum to make it even more representative for the purpose of the merger by co-opting additional persons and calling it a Merger Forum. The different Student Representative Councils and Unions were not consulted separately, but formed part of the forums that were consulted.
- Staff members and students. On several occasions and in different ways, including workshops, the intranet and flyers and graffiti sheets on which to post viewpoints, individuals on the campuses were offered an opportunity to make an input.
- External participants. The companies Interbrand Sampson and Zanussi, which had formed a consortium to assist with the branding of the new university, were requested to provide professional assistance on the packaging of the statements.

The result was a lengthy process resulting in several distinctive drafts of the *Vision, Mission and Values Statements* before a final version was signed off by the Joint Merger Steering Committee (JMSC) on 21 September 2004. After the statutory Interim Council took office in 2005, it formally ratified the statements.

1.3.2 SUBSEQUENT REVISION OF THE VISION AND MISSION

No vision and mission statements are ever cast in stone. On 1 April 2006, Prof. Ihron Rensburg (chair of the former Interim Council) took over the reins as the new Vice-Chancellor of the University of Johannesburg. After a period spent in familiarising himself with the University and its people, he took the lead in revising the vision statement to reflect a *collective desire to build a premier legacy institution, drawing on the cosmopolitan and dynamic character and texture of our immediate context of Johannesburg and Ekurhuleni, Gauteng, South Africa and Africa*.¹² The Strategic Task Team (STT), which was responsible for the development of the current UJ *Strategic Plan*, aligned the *Mission Statement* with the new *Vision Statement*. The result is the *Vision, Mission and Values Statements* that at present give direction to the University of Johannesburg (see Table 1.1 below). After they had been debated at MEC and ELG meetings, the Council of the University of Johannesburg formally approved these statements on 23 Nov 2006.¹³

Table 1.1: Vision, Mission and Values Statements of the University of Johannesburg

¹² Rensburg, IL (2007): *Report of the Vice-Chancellor and Principal*, University of Johannesburg Stakeholder Report 2006.

¹³ Approved by Council on 23 November 2006: *Minutes*.

| | |
|----------------|--|
| VISION | A premier, embracing, African city university offering a mix of vocational and academic programmes that advances freedom, democracy, equality and human dignity as high ideals of humanity through distinguished scholarship, excellence in teaching, reputable research and innovation, and through putting intellectual capital to work. |
| MISSION | We are committed to: <ul style="list-style-type: none"> • Quality Education; • Leading, challenging, creating and exploring knowledge; • Supporting access to a wide spectrum of academic, vocational and technological teaching, learning and research; • Partnerships with our communities; • Contributing to national objectives regarding skills development and economic growth. |
| VALUES | <ul style="list-style-type: none"> • Academic distinction; • Integrity and respect for diversity and human dignity; • Academic freedom and accountability; • Individuality and collective effort; • Innovation. |

Although the revised statements were submitted for discussion at an ELG workshop, where all faculties and service and support divisions were represented by their executive leaders, and at a Council meeting with further representation, they were not subjected to a similar extensive consultation process involving students and staff as was the case in the first round. This led to some dissatisfaction amongst staff members, as was revealed in a subsequent Institutional Culture Survey (see par. 8.5 in *UJ @ a Glance*).

1.3.3 INTERPRETATION OF THE UJ'S VISION

In order to promote the internalisation of the above statements, the then DVC: Strategic and Institutional Planning and Implementation initiated a survey asking UJ staff members to give their own interpretation of what the various terms used in the Vision statement mean to them in the UJ context. A questionnaire¹⁴ was placed on the intranet during the latter part of 2007. The results of this investigation were communicated to staff¹⁵ during various road shows conducted in the last quarter of 2007, when the UJ *Strategic Plan* was communicated to faculties and service and support units.

The questions included in the questionnaire posted on the intranet were phrased in a variety of ways. One example will suffice to indicate the type of questions that were asked:

What evidence should a university give to verify its claim that it is a premier university?

¹⁴ Questionnaire.

¹⁵ Results.

Fifty-two staff members responded. According to the various responses, the major indicators were that staff associated a *premier university* with an institution of higher education that is recognised for its:

- national/international rating;
- quality/quantity/nature of its research outputs;
- quality/skills level of its staff (academic and support/services);
- quality of its graduates;
- level and nature of its teaching activities;
- perceptions that outsiders hold of the university (community);
- quality of first-year/postgraduate students that it attracts;
- quality of its community involvement;
- quality and level of its achievements (sports; academic; etc.);
- quality and nature of its resources;
- perceptions held by employers of alumni.

In a similar way, questions were asked regarding the following terms:

- Embracing University
- African City University
- Distinguished Scholarship
- Excellence in teaching
- Reputable research and innovation.

The *DVC: Strategic and Institutional Planning and Implementation* discussed these findings with the rest of the MEC. However, there were more pressing issues at the time and the results of this survey did not influence further developments.

(The full report on the questionnaire and the analysis of the results is available in the Evidence Room.)¹⁶

1.4 DEVELOPMENT OF THE UJ's STRATEGIC PLAN

1.4.1 THE NEED FOR STRATEGIC DIRECTION

The University of Johannesburg opened its doors on 1 January 2005 as a new university with the following in place:

An Interim Council

An interim Management Executive comprising the interim Vice-Chancellor, Pro Vice-Chancellor, and Deputy Vice-Chancellors

Newly (re)appointed deans for the nine faculties - temporarily two co-deans for the Faculty of Engineering and the Built Environment

¹⁶ Questionnaire and the analysis of the results.

Newly (re)appointed chairpersons of academic departments - often also shared positions with a final decision about the appointment of a chairperson being deferred

Formulated Vision, Mission and Values Statements, but no further strategic direction apart from a strong shared desire to make the new institution work

Fierce competition from two residential traditional universities (Wits and UP), neither of which was subjected to a merger, two universities of technology (TUT and VUT), one newly merged distance education university (UNISA) and some private institutions, all within the borders of the geographically smallest province in the country, namely Gauteng

No established identity as a university

Lack of clarity as to what the new "comprehensive university" was intended to be, except for the vague notion that it would offer vocational, professional as well as general formative programmes at all higher education levels under one institutional roof.

Against this background of uncertainties it was an imperative to define the strategic direction of the new university as a matter of urgency.

1.4.2 DEVELOPMENT OF THE STRATEGIC GOALS

In January 2005 the MEC accepted a proposal for the development of a UJ Strategic Plan and appointed a Strategic Task Team (STT) to this end. A separate representative University Sounding Board (USB) was also initiated to act, in the initial stages of the process, as a sounding board to gauge viewpoints from the campus communities in relation to the work of the STT.

The conclusion of the mandate of the STT occurred with the final approval by Council of the UJ's *Strategic Plan* (see Table 1.2) on 23 November 2006.¹⁷ Other working groups replaced the STT as the focus shifted from the development of strategic goals to the development of implementation instruments and procedures, where different kinds of expertise (e.g. technical know-how regarding the development of a Dashboard (par. 1.5)) were required.

The University used multiple consultation and information-sharing forums to solicit the inputs of a wide cross-section of internal constituencies as well as the University Council. Staff had access to the draft plan on the intranet, for example, in addition to being afforded numerous opportunities to engage directly with the Vice-Chancellor via electronic communication as well as during public addresses by the VC. Managers and executives had the opportunity on several occasions to engage on the strategy through presentations to the MEC and ELG.

1.4.3 DEVELOPMENT OF THE KEY PERFORMANCE INDICATORS

¹⁷ *Council Minutes*: 23 November 2006.

Further to the development of the strategic plan, which includes individual goals, the University developed a set of Key Performance Indicators (KPIs) to guide its implementation. Table 1.2 below gives the current ten Strategic Goals of the University, each accompanied by its descriptor and corresponding set of KPIs. The KPIs were selected on the basis that they not only measure achievement of a specific outcome, but also imply a number of vital prerequisites that have to be in place in order to make progress in terms of the goal that is actually measured.

Table 1.2: Strategic Goals of the University of Johannesburg

| GOAL 1: A REPUTABLE BRAND | |
|--|---|
| <p>To promote recognition of the University of Johannesburg as a South African institution whose brand is synonymous with:</p> <ul style="list-style-type: none"> • Excellence in teaching and learning; • Nationally and internationally competitive and innovative research; • Contributions to the well-being of its stakeholder communities. <p>(Note: The three bullet points are the themes of the next three goals).</p> | <p>Key Performance Indicators (KPI): Recognition of the University as evidenced in:</p> <ol style="list-style-type: none"> 1. Brand recall 2. Brand resonance 3. Brand reality 4. Brand loyalty |
| GOAL 2: EXCELLENCE IN TEACHING | |
| <p>To promote and sustain excellence in teaching and learning by quality assurance practices and actively developing and implementing innovative teaching, learning and assessment strategies.</p> | <p>Key Performance Indicators:</p> <ol style="list-style-type: none"> 1. Learning excellence 2. Teaching excellence 3. Relevance/impact of programmes 4. Quality of programme offerings 5. Lifelong learning 6. Quality of academic staff 7. Effectiveness of student academic development initiatives |
| GOAL 3: INTERNATIONALLY COMPETITIVE RESEARCH | |
| <p>To establish the University of Johannesburg among the top research universities in the country in terms of nationally and internationally accepted research criteria.</p> | <p>Key Performance Indicators:</p> <ol style="list-style-type: none"> 1. Accredited research output 2. Non-subsidy research income 3. NRF-rated researchers 4. Staff profile in terms of research qualifications 5. Active formal research collaboration with national and international partners 6. Number of NRF Chairs 7. Research expenditure 8. Non-accredited research output 9. Conference papers 10. Income-generating innovative initiatives |
| GOAL 4: AN ENGAGED UNIVERSITY | |

| | |
|---|---|
| To add value to external constituencies through strategic initiatives and partnerships. | Key Performance Indicators: <ol style="list-style-type: none"> 1. Community engagement projects 2. Rands spent on community engagement 3. Active engagement with the challenges of SADC and the African continent 4. Stature of strategic partners 5. Public scholarship |
| GOAL 5: MAXIMISING THE INTELLECTUAL CAPITAL | |
| To create and maintain an environment and institutional climate in which the intellectual capital of the university is actively developed, sustained and utilised in the best interest of the University, the community, the country, and the individual. | Key Performance Indicators: <ol style="list-style-type: none"> 1. Qualifications of academic staff 2. Talent management 3. Staff satisfaction 4. Caring environment for staff |
| GOAL 6: INSTITUTIONAL EFFICIENCY AND EFFECTIVENESS | |
| To ensure the highest levels of efficiency and effectiveness at all management levels. | Key Performance Indicators: <ol style="list-style-type: none"> 1. Effectiveness 2. Efficiency and future sustainability 3. Progress towards attaining HEQC audit criteria 4. Corporate governance 5. Enrolment management |
| GOAL 7: CULTURE OF TRANSFORMATION | |
| To promote the UJ Values and create an institutional culture of responsiveness to national transformation imperatives. | Key Performance Indicators: <ol style="list-style-type: none"> 1. Widening of participation in terms of race, gender and disability 2. Institutional differentiation through programme diversity and quality 3. Progress with the promotion of the UJ Values |
| GOAL 8: COMPETITIVE RESOURCING | |
| To secure the financial resources to develop strategic initiatives and sustain and grow effective operational activities. | Key Performance Indicators: <ol style="list-style-type: none"> 1. Size of core business income 2. Diversity of income |
| GOAL 9: THE PREFERRED STUDENT EXPERIENCE | |
| To promote the holistic development of the student in preparation for the world of work and responsible citizenship. | Key Performance Indicators: <ol style="list-style-type: none"> 1. Student preference 2. Holistic development 3. Student wellness 4. Caring environment for students 5. Safe environment 6. Effective and efficient academic administration |
| GOAL 10: FOCUS ON THE GAUTENG CITY REGION | |
| To establish the university as a | Key Performance Indicators: |

| | |
|---|-------------------------------|
| partner and prime stakeholder in the Gauteng City Region and its development. | 1. Joint development projects |
|---|-------------------------------|

1.4.4 DEVELOPMENT OF THE METRICS

Key Performance Indicators, as the name indicates, represent those dimensions in terms of which progress in the pursuit of the strategic goals can be measured and the direction in which to improve performance. In most cases they are not, in themselves, suitable to use for actual measuring. Hence a set of measures, or metrics, was developed in terms of which to measure achievement (or lack of achievement) with respect to the various dimensions of each Strategic Goal (i.e. the KPIs). For illustrative purposes, the metrics derived from the KPIs set for Strategic Goal 2 are shown in Figure 1.1. The full set of metrics is available in the Evidence Room.¹⁸

¹⁸ Metrics accompanying Strategic Goals.

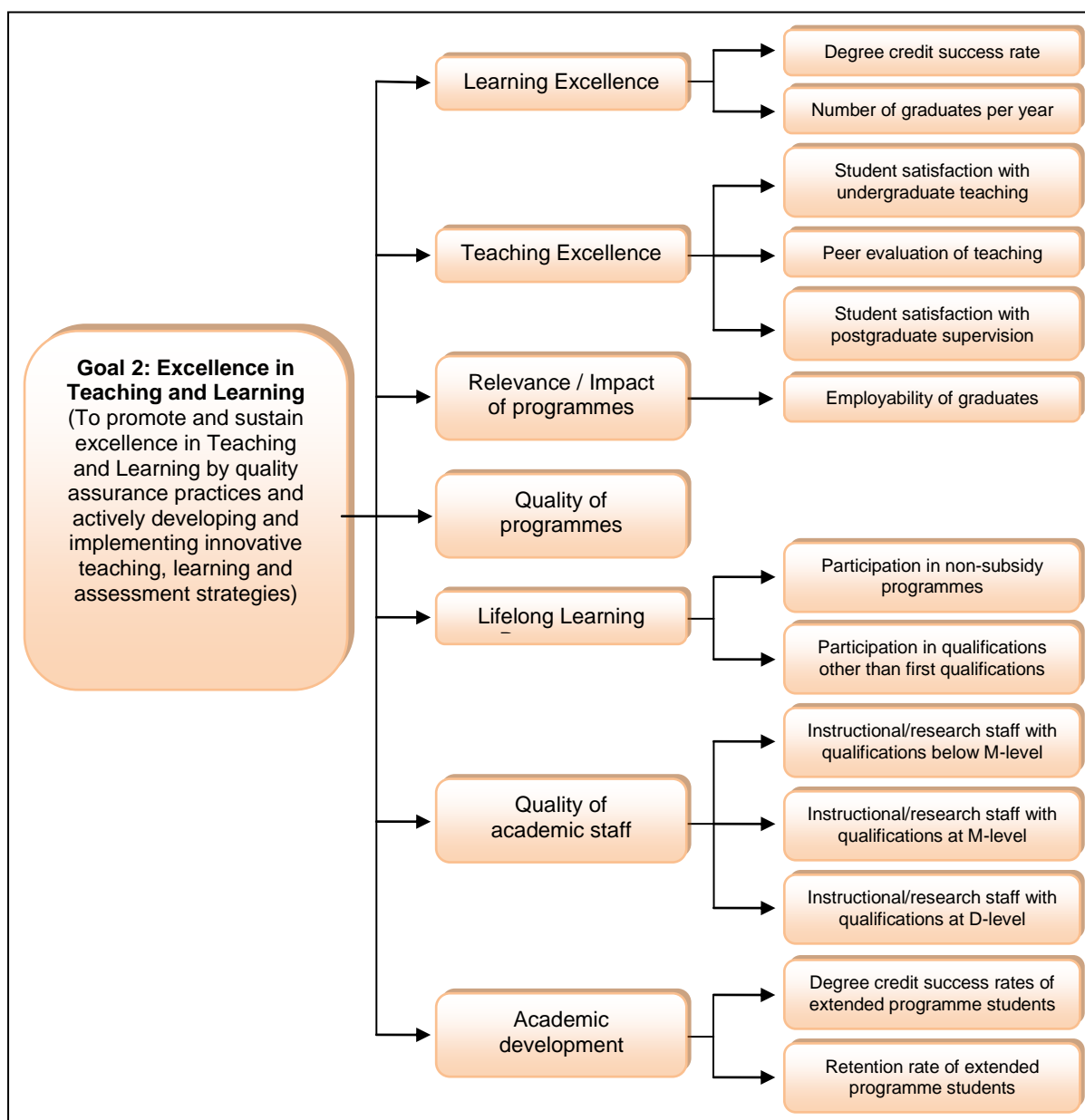


Figure 1.1: Goal 2 - Excellence in teaching and learning with KPIs and metrics

The data definition and source of the data in each case can be found in the following table:

Table 1.3: Data definitions for metrics for Goal 2: Excellence in teaching and learning

| NO. | KPI | DATA DEFINITION OF METRICS | SOURCE OF DATA |
|-----|---------------------|---|---|
| 1 | Learning excellence | Degree credit success rate (FTE passes divided by FTE enrolments in a given year) | HEMIS data |
| 2 | Teaching excellence | Student satisfaction with UG teaching | Extract from Student Experience Questionnaire |
| 3 | Relevance/ | Employability of graduates/ | Job Destination Project, |

| NO. | KPI | DATA DEFINITION OF METRICS | SOURCE OF DATA |
|-----|---|--|-------------------------------------|
| | impact of programmes | diplomates, excluding graduates who are not working or studying and cannot find employment | administered by PsyCaD (par. 5.4.6) |
| 4 | Quality of programme offerings | Still to be developed | |
| 5 | Lifelong learning | Participation in non-subsidy programmes | Operational student data |
| | | Participation in qualifications, other than first qualifications | HEMIS data |
| 6 | Quality of academic staff | Percentage instruction/research staff with highest qualification: i. Below M ii. M-level iii. D-level | HEMIS Data and HR data |
| 7 | Effectiveness of student academic development initiatives | Degree credit success rates of extended programme students | HEMIS Data |
| | | Retention rate of extended programme students | HEMIS Data |

1.5 DEVELOPMENT OF AN INSTITUTIONAL DASHBOARD TO MONITOR IMPLEMENTATION OF THE PLAN

A key innovation in the operationalisation and the implementation of the *Strategic Plan* was the development of an *Institutional Dashboard* to monitor and communicate progress with the implementation of the *Strategic Plan*.

The *Strategic Plan* consists of ten Strategic Goals, KPIs to unpack the Strategic Goals, and metrics as “instruments” for measuring progress in terms of the KPIs. To visually interpret the measurement of progress, the working group decided to explore the possibility of utilising an electronic dashboard where progress in each metric could be depicted in a way that facilitates monitoring and communication. The value of using such an instrument is that the MEC, faculties, and service and support divisions and units can use it to assist in their planning, decision-making and intervention strategies through the ability to continually monitor and fine-tune their institutional strategic performance.

The process of implementing the *Dashboard* involves among other things a full understanding and agreement that must be reached with the persons responsible for overseeing the implementation of a particular Strategic Goal (MEC members, or so-called *Goal Oversight Principals* (GOPs – see par. 1.6.1)) on how performance will be measured, what the targets are and when achievement can be expected.

It is not possible to capture the details and illustrate the power and flexibility of the developed *Institutional Dashboard* in a report like this. It will have to suffice to show the main page of the *Institutional Dashboard*, intended for use by the MEC for

succinct reporting to Council (see Figure 1.2 below). More details can be found in the relevant *Annual Progress Report* for 2008¹⁹ and the *Dashboard Manual*,²⁰ available in the Evidence Room.

The *Institutional Dashboard* is available for scrutiny to persons with access on the UJ's intranet website (<https://mis.uj.ac.za/PDashbord/Forms/FrmDashbord.aspx>). However, only a selected few persons who are authorised to alter the information have the ability to do so.

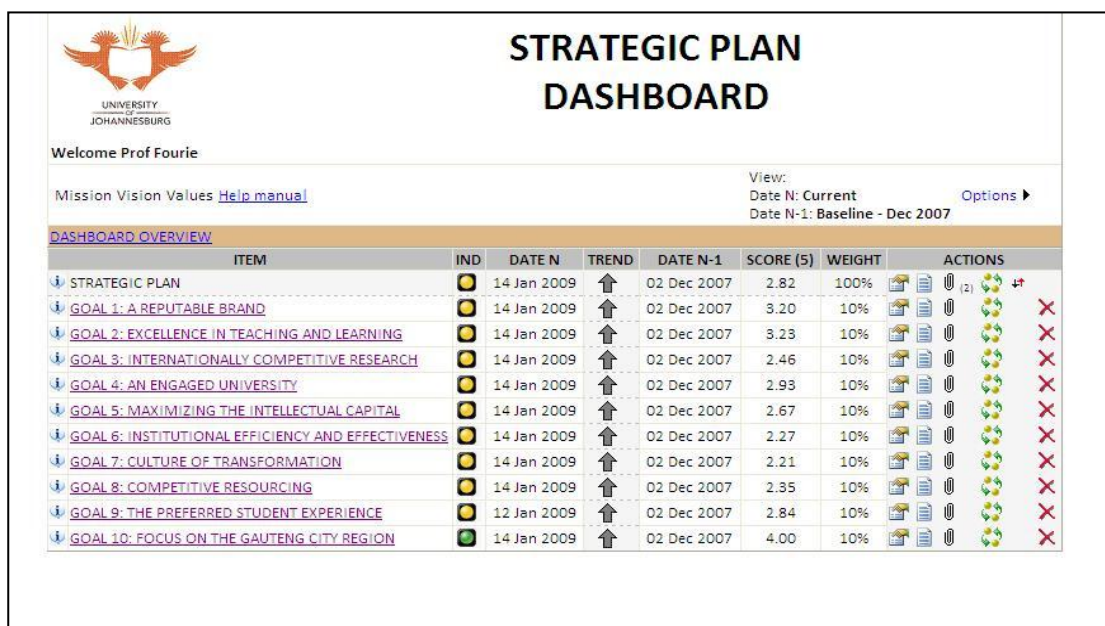


Figure 1.2: The UJ's Institutional Dashboard

The *Dashboard* is updated at least twice a year, or as soon as new information becomes available.

Populating the metrics thus presented quite a challenge. Before targets could be set, baseline data had to be determined as a point of departure. By the end of the 2007 only 28,6% of the metrics had been populated. By the end of November 2008 the figure had risen to 76,1%.²¹

1.6 IMPLEMENTATION OF THE STRATEGIC PLAN

The MEC approved the following structure to take responsibility for the steering of the strategy management process:

The Vice-Chancellor has overall responsibility (from Council) for the execution of the *Strategic Plan*. In this, he is assisted by the MEC.

¹⁹ *Annual Progress Report*.

²⁰ *Dashboard Manual*.

²¹ *Strategic Planning 2008: A progress report*.

Goal Oversight Principals (GOP) are appointed to each strategic goal by the MEC from its ranks to take the lead in the steering of the specific goal. The present incumbents are:

Table 1.4: Goal Oversight Principals

| No. | GOAL | GOP |
|------------|--|---|
| 1 | A reputable brand | Pro Vice-Chancellor |
| 2 | Excellence in teaching and learning | DVC: Academic |
| 3 | Internationally competitive research | DVC: Research, Innovation and Advancement |
| 4 | An engaged university | Pro Vice-Chancellor |
| 5 | Maximising the intellectual capital | DVC: HR and Operations |
| 6 | Institutional efficiency and effectiveness | Pro Vice-Chancellor |
| 7 | Culture of transformation | Vice-Chancellor |
| 8 | Competitive resourcing | DVC: Finance |
| 9 | The preferred student experience | Pro Vice-Chancellor |
| 10 | Focus on Gauteng City Region | DVC: Research, Innovation and Advancement |

- Responsibility for individual KPIs under a specific Strategic Goal is sometimes delegated to MEC members other than the responsible GOP where appropriate in terms of line responsibilities. These members are then referred to in the UJ Strategic Planning documents as the Responsible MEC Member. This person should not be confused with the GOP, particularly since the GOP is typically also responsible for some of the KPIs supporting the Strategic Goal that (s)he is overseeing, making her/him also a Responsible MEC Member for those KPIs.
- Administration of the process rests with a Strategy Manager. This person resides in the Unit for Institutional and Strategic Planning within the Division for Institutional Planning and Quality Promotion (DIPQP), and is responsible for administering the process. (S)he is responsible for maintaining the Institutional Dashboard, reporting to the Pro Vice-Chancellor and liaising with the GOPs.

1.7 ANNUAL STRATEGIC THRUSTS

The MEC annually drafts strategic thrusts for each year. These draft Strategic Thrusts are drafted in consultation with the ELG at the previous August's strategic breakaway. The Registrar writes the ELG report, which is circulated to the ELG members and serves before the following MEC meeting. The implications and decisions flowing from these breakaways are considered by the MEC at its next meeting. The final ELG report is also circulated to the ELG members and they discuss the report at their next "management" meeting within their portfolio.

The MEC finalises the Strategic Thrusts at its first breakaway, typically early in January. These Strategic Thrusts – though reflecting the most urgent exigencies of the year – are also to a high degree being informed by the *Strategic Plan*. The Strategic Thrusts for the last couple of years are the following:

1.7.1 STRATEGIC THRUSTS FOR 2007

The Strategic Thrusts set for 2007²² are indicated in Table 1.5 and can be linked as follows to the Strategic Plan:

Table 1.5: Strategic Thrusts for 2007 and related Strategic Goals

| | STRATEGIC THRUSTS: 2007 | STRATEGIC GOALS |
|---|---|---|
| 1 | Academic distinction, diversity and differentiation | Goal 2: Excellence in teaching and learning |
| 2 | Brand development and execution | Goal 1: A reputable brand |
| 3 | Campus Programme Profile | Goal 2: Excellence in teaching and learning Goal 6: Efficiency and effectiveness |
| 4 | Institutional Audit | Goal 6: Efficiency and effectiveness |
| 5 | A caring, efficient and effective institution | Goal 4: An engaged university Goal 6: Efficiency and effectiveness |

Notes:

- Thrust 3: Finalising the Campus Programme Profile represents an unfinished part of the substantive merger. In the light of declining trends in student numbers on the Soweto and East Rand campuses, this required urgent attention during 2007. Eventually ERC was temporarily closed down and the interventions on SWC helped to turn the downward trend around.
- Thrust 4: The appearance of the Institutional Quality Audit among the five institutional priorities for 2007 is indicative of the importance the University already attached at an early stage to the Institutional Audit and the benefits it could gain from it.
- Not all strategic goals were reflected in the listed strategic thrusts for 2007. This was to a certain extent due to the paucity of explicitly listed priorities and would change in the next year.

Progress was made with all the Strategic Thrusts. A summary of results achieved during 2007 can be found in the Evidence Room.²³ Although there is reason to be satisfied with the progress made, the University realises that the effect of actions taken in terms of most of the above Strategic Thrusts will not be visible immediately, but is intended to unfold over time. In fact, all Strategic Thrusts can be labelled as

²² Priorities: 2007.

²³ *Annual Thrusts for 2007: Summary of progress.*

work in progress, and Thrust 5 found its way into the Strategic Thrusts for 2008, indicating that it remains a high priority.

1.7.2 STRATEGIC THRUSTS FOR 2008

The Strategic Thrusts for 2008 are listed in Table 1.6. A few of these Strategic Thrusts may be deemed to be more operational, addressing the exigencies of the day (see numbers 11 and 12), but all can again be traced and linked to the Strategic Goals, as is indicated in the table.

Table 1.6: Strategic Thrusts for 2008 and related strategic goals

| | STRATEGIC THRUST: 2008 | STRATEGIC GOALS | SER REFERENCES TO PROGRESS |
|----|---|---|--|
| 1 | Academic programmes | Goal 2: Excellence in teaching and learning | Chapter 4 |
| 2 | Academic employees | Goal 5: Maximising intellectual capital | Par. 8.1 of UJ @ a Glance |
| 3 | Research promotion | Goal 3: Internationally competitive research | Chapter 6.8 |
| 4 | Academic development and support functions | Goal 5: Maximising intellectual capital | Chapter 5 |
| 5 | UJ advancement | Goal 8: Competitive resourcing | |
| 6 | Quality promotion and audit preparation | Goal 6: Efficiency and effectiveness | Chapter 2 |
| 7 | Cultural integration | Goal 7: Culture of transformation | Par. 7.3 of UJ @ a Glance Par. 7.4 of Student Life @ UJ |
| 8 | Operational efficiency | Goal 6: Efficiency and effectiveness | SER |
| 9 | Caring, efficient and effective institution | Goal 4: An engaged university Goal 6: Efficiency and effectiveness | SER Par. 8.1 of UJ @ a Glance |
| 10 | Student transformation | Goal 7: Culture of transformation | Par. 7.1 of UJ @ a Glance |
| 11 | HR delivery improvement | Goal 6: Efficiency and effectiveness | Par. 6.2 of UJ @ a Glance |
| 12 | Finances | Goal 6: Efficiency and effectiveness | Par. 1.9 |

Only two of the ten strategic goals are not explicitly covered:

Goal 1: A reputable brand

Goal 10: Focus on the Gauteng City Region.

Each MEC member was allocated responsibility for one or more of the Strategic Thrusts and progress or otherwise with the implementation of the Thrusts was incorporated into the performance contracts of the members. Strict timelines were attached to the completion of implementation plans. All the Strategic Thrusts were satisfactorily dealt with, with the exception of the Human Resources Thrust. Here progress was slow and the data “cleansing” exercise, as well as the finalisation of post structures and Phase II of the harmonisation process (see par. 6.2 of *UJ @ a Glance*), was not completed during 2008. The harmonisation process was signed off only in March 2009, but the provision of accurate and comprehensive HR data remains a significant problem.

In Table 1.6 a column was added to refer the reader to paragraphs and sections in the rest of the SER and accompanying documents where there is more information on the areas identified in the Strategic Thrusts. It is not intended to suggest that activities listed in these paragraphs were all a direct consequence of the identified Strategic Thrusts of 2008, but they show that the University was active in those areas.

1.7.3 STRATEGIC THRUSTS FOR 2009

For 2009, the MEC identified the following Strategic Thrusts:²⁴

1. Institutional differentiation, positioning and competitiveness
2. Sustaining and growing excellence in teaching
3. Sustained growth and excellence of research profile
4. Asset development, preservation and optimisation
5. People-focused institution
6. Socially cohesive University community
7. Cost-conscious and cost-efficient institution
8. Effective and sustainable international partnerships and academic profile
9. Effective and sustainable external resource generation
10. Distinctive campus programme profiles that are equitably and sustainably resourced
11. Strategy and implementation-focused leadership.

1.7.4 FOCUS THEMES

Each year the University actively endeavours to make progress over the entire broad range of its activities. Resource constraints (financial and/or human) limit what can be achieved. Hence each year the focus falls on a specific theme that is being additionally resourced.

For 2007 the theme was *research*. A research structure was established (par. 6.5.1) and a DVC (Prof. Adam Habib) appointed to drive research at the UJ. In par. 6.4.3 the actions taken to promote research during that year are highlighted.

²⁴ *Strategic Thrusts for 2009.*

By 2008 research was well established and, while it would not be neglected (see par. 6.4.4 for fresh initiatives), the focus moved to *teaching and learning*. A Teaching and Learning Task Team was appointed and its work culminated in the submission of a Teaching and Learning Strategy to the Senate in November 2008. An implementation plan is being developed (par. 3.4.4).

For 2009 *cultural integration and social cohesion* will be the theme. The groundwork has already been done with the cultural survey conducted in 2008 (par. 7.3 of *UJ @ a Glance*).

1.8 THE STRATEGIC PLAN AND NATIONAL IMPERATIVES

The goals and strategic objectives of the *National Plan for Higher Education*²⁵ (NPHE) present the national higher education imperatives, encapsulating the thrust of the *White Paper on Higher Education* of 1997. These goals and objectives are unpacked below to show that the University's *Strategic Plan* and planning activities are aligned to these imperatives.

Imperative (i): To provide increased access to higher education to all irrespective of race, gender, age, creed, class or disability and to produce graduates with the skills and competencies necessary to meet the human resource needs of the country. Involvement of internal and external stakeholders in this process.

Goal 7: *Culture of Transformation* addresses this imperative. Its descriptor states a commitment *(t)o promote the UJ values and create an institutional culture of responsiveness to national transformation imperatives*.

This is emphasised further when the corresponding KPI is considered:

KPI 1: Widening of participation in terms of race, gender and disability.

Imperative (ii): To promote equity of access and to redress past inequalities through ensuring that the staff and student profiles in higher education progressively reflect the demographic realities of South African society.

Attention is again drawn to KPI 1 of Goal 7, which reads: *Widening participation in terms of race, gender and disability*. The University recognises that it is still lagging in terms of staff equity, particularly in the senior echelons (see par. 7.2 of *UJ @ a Glance*).

In par. 7.1 of *UJ @ a Glance* the transformation track record of the University regarding access is addressed, and in par. 5 of the same document the throughput of

²⁵ Department of Education (2001): *National Plan for Higher Education*.

students is described. While the success it shows is still modest, it does illustrate a commitment to increasing access for students from educationally disadvantaged communities, as well as to providing facilities for disabled students.

Imperative (iii): To ensure diversity in the organisational form and institutional landscape of the higher education system through mission and programme differentiation, thus enabling the addressing of regional and national needs in social and economic development.

KPI 2 of the above Goal 7 is of relevance: *Institutional differentiation through programme differentiation and quality.*

The University is acutely aware of the fact that, after the restructuring of the higher education landscape, there is no longer a dedicated university of technology in Central Gauteng. As the only institution with a traditional career-focused programme base, it therefore has a responsibility to guard against unintentional institutional academic drift, particularly towards becoming a traditional research university, and to ensure, by explicitly maintaining a balance between vocational, professional and general formative programmes, that its traditional “technikon” basis is not eroded. Figure 8 of *UJ @ a Glance* shows indications of what may turn out to be an undesirable enrolment drift, although it is probably too early to tell, certainly not yet cause for alarm.

Strategic Thrust 1 of 2007: *Academic distinction, diversity and differentiation* and Strategic Thrust 1 of 2009: *Institutional differentiation, positioning and competitiveness* are also of relevance (par. 1.7.3).

Imperative (iv): To build high-level research capacity to address the research and knowledge needs of South Africa.

As is demonstrated in the descriptor of strategic Goal 3, the University committed itself (t)o establish the University of Johannesburg among the top research universities in the country in terms of nationally and internationally accepted research criteria. See Chapter 6 for its achievements and the challenges it faces in the pursuit of this ideal.

It should be recognised that to achieve a meaningful balance between the vocational thrust of technological education and the research thrust of a traditional university “under one roof” – and to excel in both – presents special challenges which, if not unique to comprehensive universities, are certainly felt most acutely by them.

Imperative (v): To build new institutional and organisational forms and new institutional identities through regional collaboration between institutions.

As the only residential comprehensive university (apart from Univen, which is a totally different type of comprehensive institution in a different geographical locality

and setting, facing totally different challenges) within the interior of the country, the University of Johannesburg experiences little incentive to develop a new institutional form or identity. Rather, it sees its role as consolidating its position and striving to excel in what it is doing.

This ideal is pursued by:

- Establishing and maintaining a proper balance between vocational, professional and general formative programmes through a negotiated PQM and enrolment plan (see Chapter 4). In this regard it supports the role of the Department of Education in ensuring a proper regional and national balance in programme offerings;
- Ensuring that its students receive the necessary support and tuition to enable them to make progress in their studies (see Chapter 3);
- Maintaining contact with the world of work to prepare students for it;
- Developing, supporting and encouraging appropriate research (see Chapter 6);
- Putting its intellectual capital as an engaged university to work in the interest of its community (see Chapter 7).

Regional collaboration therefore has a different focus than differentiating the UJ from its immediate neighbours. The following formal collaboration agreements are of note:

- The University of the Witwatersrand and UJ signed a memorandum of agreement in 2008 (see par. 5.4.4).²⁶
- In 2007, the University of Johannesburg signed a tripartite Memorandum of Agreement with the University of the Witwatersrand and the Gauteng Province to establish the Gauteng Urban Observatory. The Urban Observatory has a permanent directorate, is funded largely by the Gauteng Province and has its seat at Wits. Its purpose is for academics from the two universities to provide focused and project-specific research on a range of issues that affect the good government of Gauteng and that can underpin policy formulation in respect of all matters for which the province assumes governmental responsibility.
- The University of Johannesburg signed a Memorandum of Understanding with the Gauteng City Region Academy in 2008.²⁷ The purpose of this memorandum is to create a formal vehicle by means of which the University can offer academic programmes to individuals identified by the Academy and that will assist the Academy in upgrading the knowledge and skills levels of city employees. Such programmes are presented by the University on the basis of a needs analysis conducted by the Academy, and in partnership with the Academy.

1.9 RESOURCING TO GIVE EFFECT TO THE UJ'S STRATEGIC PLAN

The University does not budget separately for taking Strategic Goals and Strategic Thrusts forward, but makes provision in its operational budget for implementing

²⁶ MoA between UJ and Wits.

²⁷ MoA with Gauteng City Region Academy.

strategy-aligned decisions. In par. 3.4.7 (extended degrees) and par. 5.4.3 (academic support), for example, the attention (and resources) given to support educationally disadvantaged students to successfully pursue their studies at tertiary level at the UJ are highlighted, while par. 6.6.1 indicates how research funding is applied to enhance the research footprint of the University. Increasing access and improving research are both Strategic Imperatives.

The budget of an organisation is a planning instrument that underpins its operations and expansion programme. In the next paragraph, it will be shown how the *Budgeting Philosophy* of the UJ is intended to ensure that the operational plans of the University are informed by its strategic direction.

1.9.1 THE UJ'S BUDGETING PHILOSOPHY

The formal *Budgeting Philosophy* of the UJ²⁸ (approved by the MEC and Council²⁹ and presented to the Executive Leadership Group by the DVC: Finance, Prof. Henk Kriek, in August 2007) describes the steering mechanisms, purpose and principles underlying the UJ's budgeting and thus its resourcing strategy.

1.9.1.1 *Resourcing steering mechanisms*

The following four steering mechanisms guide resourcing decisions:

- Alignment with the UJ's Vision, Mission and Strategic Goals – the resourcing-strategic intent linkage is firstly and predominantly adhered to;
- Annual Thrusts – which are derived from the Strategic Goals of the *Strategic Plan* or identified through other strategic processes, e.g. (i) the annual monitoring and review process (i.e. when Executive Deans and Executive Directors report on strategic progress made in their own faculties and divisions and identify priority areas); (ii) the performance appraisal process of institutional leadership (see par. 1.10 below); (iii) institutional leadership and Council interactions and joint priority setting;
- The availability of resources and thus institutional “budgeting performance” related to the implementation of the resourcing strategy of the previous financial year; and
- “*Outcomes of strategies implemented (via measurement)*”, which translates to progress made with the Strategic Goals (vide the *Institutional Dashboard*), as well as with the implementation of other institutional priorities (vide Remco score sheet).

Thus it can be seen from the *Budget Philosophy* that resourcing is (and should ideally be) largely steered by the strategic intent of the University (linked to its Mission and Strategic Goals), as well as progress made with the implementation of its strategic initiatives. (This was not always the case and initially there was greater

²⁸ UJ *Budgeting Philosophy*.

²⁹ Council minutes.

fluidity and uncertainty, due to the lack of a solid grasp on regular resourcing patterns of the newly established institution, changing institutional priorities, and performance review systems and processes that were still being piloted and refined.)

1.9.1.2 *The purpose of the budget*

The UJ's budget is a strategic and institutional-planning, as well as a quality promotion and -assurance mechanism and it should reflect these purposes. The *main purpose* of the UJ's *Budgeting Philosophy* is to try and align strategic planning (and the UJ's Vision, Mission and Strategic Goals) with the resourcing of various plans/activities/actions at all institutional levels (of course all of them steered by human resources) so as to ensure "...*consolidated and common plan (goal) congruence*" (compare the *UJ Budgeting Philosophy*, p. 2). Three other specific purposes of the UJ budget are also outlined in the *Budgeting Philosophy*:

- Institutional communication. Vital resourcing communication with UJ leaders and managers that is meant to be shared – not just in terms of processes and structures, but also in terms of desirable practices – with staff who report to these respective leaders and managers or serve on their structures and/or committees.
- Motivational impact. To motivate people in leadership positions to implement and enhance these budget purposes, principles and behaviour within their own areas of responsibility, thereby impacting on the institution as a whole.
- Integrating planning and quality promotion/assurance at all levels. The resourcing function of the institution is viewed (and is meant to be implemented) in the same manner as the UJ's own perception of quality management, namely as a continuous, integrated cycle of planning, supporting, promoting and monitoring that leads back to refined planning. Resourcing thus strives to integrate planning and quality management at all institutional levels.

In summary, the purpose of the UJ's budgeting process and philosophy is therefore to attempt to integrate *planning* for resourcing (budgeting that relates to Strategic Thrusts and Strategic Goals that should align to the UJ's strategic intent); *support* of resourcing (the provision of institutional expertise, human and other capital, technical assistance and structures); the *promotion* of resourcing (the enhancement of an ethos of integrated planning and quality promotion and -assurance, linked to resourcing management); as well as the *monitoring* of resourcing (regular opportunities for control and report-back on strategic and other progress made, or the lack thereof, constantly aligned with their resourcing implications). Thus, the UJ's budget is intended as a performance-based mechanism that serves as basis for the management of current, but also future, budgeting and resourcing (or the lack thereof) for the institution as a whole, but also for all faculties and divisions/centres/units within the institution.

1.9.1.3 *The UJ's budgeting principles*

The following are accepted principles of budgeting (and thus also of resourcing) at the UJ:

- (a) Operating sustainability. A key principle is that recurring expenses with regard to all items in total should be matched by recurring income. To further strengthen

the sustainability of institutional resourcing, non-recurring resourcing items (capital expenditure) as well as non-curricular and non-formal resourcing activities (e.g. non-subsidised programmes) are budgeted for and thus resourced separately from the operational budget. The consequence is that the core operating budget is not influenced or short-changed by other activities, and operational items with approved budgets can be planned and executed with confidence.

- (b) Sustainability of growth investments. The viability of investments (indication of how expected outcomes would be measured) should be maintained at acceptable levels and should ideally be used only for once-off outflows.
- (c) The salary to recurring expenses ratio. This ratio is closely monitored to ensure that an over-commitment to salaries (a fixed/permanent cost) is not made.
- (d) Culture of financial discipline and cost consciousness. In line with the purpose of the integration of quality promotion and assurance, as well as with the expected strategy-intent indicators of the institution (and/or specific entity), financial performance (expenses in relation to budgetary expectations and the appropriateness of fiscal procedures are continuously enhanced, monitored, reported and acted upon.
- (e) Transparency. Accountability is an inherent institutional resourcing principle, which implies that unjust and inconsistent financial procedures are not tolerated. Various mechanisms and/or strategies are implemented and encouraged on an institution-wide basis to promote transparency, e.g. a whistle-blowing/fraud line has been instituted and internal auditing implemented. (There were 10 instances of whistle blowing up to the end of 2008, all of which were investigated and some of which resulted in action being taken by the University. All such instances are reported to the Audit and Risk Committee of Council. This Committee also receives an internal audit report at each of its meetings.)
- (f) Value for money. This "test" at the UJ refers to an analysis of resources utilised in each environment. Though an explicit, full value-for-money test is not in place throughout the institution, faculties are for example monitored in terms of financial indicators, number of teaching input units and research publications. An example of the analyses being done for the faculties is in the Evidence Room.³⁰ The introduction of a similar process for service and support divisions is being investigated.
- (g) Resourcing performance measures determine future resourcing. All strategic institutional performance indicators, of which a fair number are resourcing-related, are continuously measured and reported on via a Council-approved balanced scorecard methodology. This principle (and its accompanying scorecard methodology) has since 2006 slowly been filtered down to the "lower" levels of the institution (i.e. faculties, divisions and support units). This implies that current resourcing performance (primarily measured against progress made with regard to Strategic Thrusts or Strategic Goals at faculty, divisional or unit level) will in effect determine future resourcing.

The consistent application of the seven budgeting (and resourcing) principles above can justifiably still be labelled as idealistic. Institutional resourcing is (and will always be) influenced by uncertainties, of which unpredictable student enrolments, the non-

³⁰ Financial and other indicators.

occurrence of predicted expenditure patterns and rhythms, the adequacy of resourcing provisions (e.g. for leave, bad student debt, pension, medical aid contributions and non-harmonised employment conditions), and the aftermath of the challenge of the harmonisation of three non-corresponding resourcing systems (with reference to the former TWR, RAU and Vista systems) are among the most prominent.

However, it can be stated with a measure of confidence that the budget process is now relatively mature and the cost structure of the UJ is properly understood and reflected in the budget. Two principles still need some work, namely value for money and, while great strides have been taken to put it in place, detailed performance-measurement metrics are not completely functional in all respects.

A copy of the *Expense Budget per Unit* for 2009 can be found in the Evidence Room.³¹ Also available in the Evidence Room is an example of the five-year financial forecasts that inform planning at the UJ.³² Also included are notes on the actual budgeting process.³³

1.9.1.4 Relationship between the Budgeting Philosophy and the Strategic Plan

The *resourcing steering mechanisms*, which guide resourcing decisions, show the substantial extent to which adherence to the UJ's strategy guides budgeting decisions. The purpose of the budget makes this relationship between the *Strategic Plan* and the budget explicit. The *budgeting principles* listed above ensure that financial discipline is maintained and that the University does not exceed its financial limits. From this it can be seen that the budget is intended to ensure that the University remains on an even keel, while sailing purposefully in the direction determined by the strategic thinking of its leadership.

However, financial wherewithal is not the only resource that influences the attainment of strategic targets. Human resources and infrastructural support are also important considerations.

1.9.2 RESOURCING STRATEGIC GOALS

It was stated at the beginning of this paragraph that the University does not have a separate budget for the pursuit of Strategic Goals and Annual Thrusts. but that resourcing is not ignored and has found its way into operational budgets.

Table 1.7 below shows types of resource implications and the scope of impact of the ten Strategic Goals, as indicated in the headings of the table. Only Strategic Goal 1 is shown for illustrative purposes. The full table is available in the Evidence Room.³⁴

For each Strategic Goal the KPIs are listed, as are the metrics in terms of which targets are set and progress is measured. The column headed *Resources* shows

³¹ Expense budget per unit.

³² The financial position of the UJ as at 31 December 2006 with a five-year forecast to 2012.

³³ Budgeting process.

³⁴ Crosscutting aspects of strategic goals.

whether progress in terms of the metric will require (i) financial, (ii) human and/or (iii) infrastructural resources. The setting of targets is done by the GOP responsible for the Strategic Goal, in consultation with the Responsible MEC Member if they are not the same person. In this process, the GOP will (often implicitly) consider the availability of resources.

MEC members compile their budgets, which take into consideration all the responsibilities of their divisions for the forthcoming budgeting period. These budgets are pulled together by the Finance Division. This will require further consultations if required cuts in the budgets are to be effected. Finally, the composite budget serves before the MEC before being submitted for final approval by Council.

Monitoring (*inter alia* by regularly reviewing the *Institutional Dashboard*, as explained in par. 1.5) will ensure that deviations from the strategy due to unforeseen circumstances, are timeously revealed and the necessary adjustments are made. The MEC meetings/workshops and ELG workshops present opportunities for the UJ leadership to collectively debate the attainment of targets as they unfold, celebrating successes and adjusting for lack of progress.

The above few paragraphs sketch the envisaged process to ensure progress within resource constraints. Reality is not always played out as in the ideal world but basically the process is monitored and purposefully steered.

Table 1.7: Crosscutting aspects of Strategic Goals

| GOAL | KPI | METRIC | RESOURCES | | | LOCAL/NATIONAL/ INTERNATIONAL |
|------|-----|--------|-----------|---------|---------------------|----------------------------------|
| | | | HUMAN | FINANCE | INFRA- STRUCTURE | |
| 1 | 1 | 1.1.A | x | x | x | L |
| | 2 | 1.2.A | x | x | x | L/N/I |
| | 3 | 1.3.A | x | | x | L |
| | | 1.3.B | x | | x | L |
| | | 1.3.C | x | x | x | L |
| | | 1.3.D | x | x | x | L |
| | 4 | 1.4.A | x | | x | L |
| | | 1.4.B | x | | x | L |
| | | 1.4.C | x | | x | L |
| | | 1.4.D | x | | x | L |
| | | 1.4.E | x | | x | L |

1.10 ACCOUNTABILITY

Accountability goes beyond compliance with statutory and institutional requirements as prescribed in various laws, ministerial prescripts and the charters of diverse institutional committees. In this paragraph, various forms of accounting are discussed. Although the purpose often goes beyond progress with the *Strategic Plan*, all these steps help to ensure that nobody loses sight of the joint responsibility for keeping the *Strategic Plan* in focus. In this paragraph the focus is predominantly on strategic matters.

1.10.1 GOVERNANCE STRUCTURES IN STRATEGIC MATTERS

In par. 2 of *UJ @ a Glance* the various governance and management structures of the University are described. See also par. 1.1 for a repeat of some non-statutory management structures at the UJ. They all play a role in ensuring that the University is steered in a transparent and accountable way.

The Council is the ultimate decision-making body of the University, accountable to the State for complying with statutory requirements. The VC and Principal, as the legal, academic and administrative executive officer, is accountable to Council for all that transpires at the institution, including the *Strategic Plan* and its execution. He is assisted by:

- The MEC and Senate with decision-making powers, the latter also with statutory powers
- The ELG as a deliberative forum
- MECA and MECO as consultative forums and with delegation of authority with respect to operational matters, e.g. several policies and procedures were signed off by these bodies. They do not include policies and procedures on academic matters that follow the route of the Faculty Board, appropriate Senate Committee and finally the Senate.

The purpose of MECA and MECO is referred to in par. 1.1. It is shown that in their charters their purpose is defined as *to assist the MEC to realise the vision, mission, core values and strategic goals of the University*. The ELG is a very influential forum, but its functions were originally not formalised, e.g. in a charter, although a charter for consideration by the MEC was already drafted at the time of writing.

In the next two paragraphs the role of the MEC and ELG in accounting for strategic matters is addressed.

1.10.2 MEC

At the MEC strategic breakaways a review of each portfolio is conducted. Each member of the MEC gives a presentation, focusing on achievements, challenges/gaps, focus for the following year on the basis of these challenges/gaps, a risk assessment and resource implications. The Registrar writes the report, which serves at the next MEC meeting for consideration of the implications and decision-

making³⁵. This report also serves as part of the VC's report to all ELG members, SENEX, Senate, Council Exco and ultimately to Council. The content is also summarised in the VC's communiqué to the University community.

1.10.3 ELG

The ELG assists the VC in determining strategy and in planning for the short term and medium term. It meets twice a year. These are regular opportunities for the members of the ELG (MEC members, Executive Deans and Executive Directors) to each inform their colleagues of the progress they make in the pursuit of agreed to goals for their faculties or divisions. These faculty/division-specific goals as finalised at the August meeting of the previous year are informed by the *Strategic Plan* and Strategic Thrusts of the University. On each occasion the Registrar writes an *ELG Report*. The ELG meetings serve another valuable function in that they create greater cohesion in the leadership of the University. The *Strategic Plan* gives direction and, while each member of the ELG steers his/her own ship, the *Strategic Plan* ensures that they all sail in the same direction. This is regularly confirmed at the ELG meetings.

A draft ELG Charter has been formulated and, at the time of writing, was in the process of being approved.³⁶

1.10.4 MANAGEMENT REPORTS

Accounting in academic matters is further regulated by means of written reports.

A general VC report serves at each SENEX and Senate meeting. This report reflects on facts and realities (i.e. student enrolment figures), progress related to strategic thrusts, achievements, new projects, etc. A report by each Senate Committee (see Table 1.2 in *UJ @ a Glance* for a list of these committees) also serves for noting, consideration and/or approval. A summarised report of Senate meetings serves at Council meetings, as do academic matters that are required by law to be approved by Council, e.g. admission requirements, including admission/selection or placement tests. A report on Council meetings in return serves before Senate.

The Registrar, in consultation with the HEMIS coordinator, generates various reports to inform both strategic and operational management. These reports are generated during the peak time of each academic life cycle of the student and are accessible on the Higher Education Data Analyser (HEDA) on the UJ intranet. They serve at MEC and MECA meetings, as well as at SENEX and Senate meetings. An academic report forms part of the Vice-Chancellor's report to Council Exco and to Council, and some of the HEDA reports form part of the Academic Report to Council.

In August, the Report on Undergraduate Applications is generated. It is updated on a monthly basis until November, after which updating is done on a weekly, and even daily, basis. The Registration Report is generated in January. During registration the

³⁵ Registrar's report on MEC Strategic Breakaway.

³⁶ Draft ELG Charter

operational data are updated every 20 minutes and posted on the intranet on the Higher Education Data Analysis (HEDA) main screen. Registration reports are updated daily until the second Friday of March, after which the figures are updated on a monthly basis. Examples of these registration reports are:

- Headcounts per faculty per subsidy type
- Headcounts per faculty per campus per subsidy type
- FTEs per faculty per subsidy type
- Headcount, FTE enrolment and Teaching Input units per subsidy type
- Headcount enrolments per faculty per qualification (subsidised programmes)
- Headcount enrolments per faculty non-formal programmes.

In addition to the above management reports, the following are also available on HEDA:

- Peer data-sharing reports (comparative reports that can be generated for all 23 public higher education institutions from their submissions to the DoE)
- External HEMIS reports (submitted to DoE after final auditing)
- Operational reports (e.g. graduation rates).

1.10.5 PERFORMANCE-EVALUATION INSTRUMENTS

Several formal instruments have been developed to assist in reporting.

1.10.5.1 Annual reports

A template has been prepared as a guide for structuring the annual reports of the faculties and divisions. There is a section on strategic planning (and also one on quality assurance and promotion). This is intended for reporting on the strategic planning of the faculty/division during the past year, but also illustrates the extent to which they adhered to the strategic direction of the University during the period reported on. These reports are available in the Evidence Room.

1.10.5.2 Corporate governance

The *Performance Review on MEC Corporate Governance Responsibilities*³⁷ is an instrument for the annual evaluation of the general performance of the University by the Audit and Risk Committee of Council on behalf of Council. The Review evaluates the Executive leadership in terms of the following corporate governance responsibilities:

- Strategy development and implementation
- Risk-management strategies and practices
- Effectiveness of internal audit function
- Organisational integrity related to business ethics
- Responsible citizenship related to corporate values
- Management of the University's sustainability
- Effectiveness of stakeholder communication

³⁷ *Performance Review on MEC Corporate Governance Responsibilities* (2007/2008).

- Management of the external audit process
- Compliance with national transformation imperatives
- Legal compliance and evidence of best practice.

Note: The first item is of particular relevance in this section on accountability for strategic matters. The leadership was judged to have scored a high 4 out of 5 for 2008.

1.10.5.3 Institutional Scorecard

With the advice of a consultant an *Institutional Scorecard*³⁸ was developed. Its purpose is to assist the Remuneration Committee of Council (Remco) in the performance evaluation of the ELG. The following table gives a synopsis of the *Scorecard*:

Table 1.8: Institutional Scorecard, 2008

| NO. | SCORECARD STRATEGIC GOAL | MEC MEMBER | WEIGHT | NO. OF METRICS | CORRESPONDING UJ STRATEGIC GOAL(S) |
|-----|--|----------------|--------|----------------|------------------------------------|
| 1 | Teaching effectiveness and enrolment management | Academic | 10% | 2 | 2 |
| 2 | Research output | Research | 14% | 1 | 3 |
| 3 | Resource utilisation | Finance | 12% | 1 | 8 |
| 4 | Culture | HR and PVC | 7% | 2 | 7 |
| 5 | Brand and community engagement | Multiple | 15% | 6 | 1, 4 |
| 6 | Maximising intellectual capital | HR | 6% | 2 | 5 |
| 7 | Institutional efficiency, effectiveness and sustainability | HR and Finance | 12% | 3 | 6 |
| 8 | Governance | Registrar | 10% | 2 | All |
| 9 | Strategic Thrusts | Multiple | 14% | 6 | Multiple |

The full scorecard is available in the Evidence Room. It contains targets and actual scores for 2008, as well as targets for 2009 in terms of all its metrics. Some of these metrics are quantitative, utilising existing data; one requires a survey of community stakeholders; and the rest rely on subjective evaluation. They do not necessarily cover the full range of dimensions of the goal from which they are derived, but cover the agreed priorities of the MEC member for the particular year to which they apply. The *Institutional Scorecard* can be expected to vary from year to year as the priorities within the portfolios of the MEC members vary.

³⁸ UJ Pool Drivers FY 2008/9 Cycle.

Although the goals used and the metrics differ from those used for the *Strategic Plan* (they serve a different purpose), it is clear that they were derived from the Strategic Goals. Thus the performance according to this *Scorecard* also places the focus on the *Strategic Plan*. The *Scorecard* differs from the *Institutional Dashboard* in that it is an instrument for the annual evaluation by Council of relevant MEC members in terms of previously agreed criteria that may differ from year to year. The *Dashboard* is an instrument used by the VC and MEC to regularly evaluate progress in terms of attaining set targets in the ten strategic goals.

1.11 SELF-REFLECTION: CRITERION 1

In this paragraph, compliance with the requirements stated in Criterion 1 is addressed.

Criterion 1: The institution has a clearly stated mission and purpose with goals and priorities which are responsive to its local, national and international context and which provide for transformational issues. There are effective strategies in place for the realisation and monitoring of these goals and priorities. Human, financial and infrastructural resources are available to give effect to these goals and priorities.

The University largely meets these requirements, as is motivated below.

a) The institution has a clearly stated mission and purpose

The Vision and Mission of the University can be found in Table 1.1, while the Strategic Goals are listed in Table 1.2.

b) The strategic direction of the University (Vision, Mission and Strategic Goals) is

responsive to its local, national and international context

The description of the Vision, Mission and Strategic Goals clearly illustrates its intentions in the above respect. The parts in italics are of particular relevance:

VISION:

A premier, *embracing, African city* university offering a mix of vocational and academic programmes that *advances freedom, democracy, equality and human dignity as high ideals of humanity* through distinguished scholarship, excellence in teaching, reputable research and innovation, and through putting intellectual capital to work;

MISSION:

We are committed to... partnerships with our communities.

STRATEGIC GOALS:

Goal 4: *An engaged university*. Its descriptor states a desire to *add value to external constituencies through strategic initiatives and partnerships*.

Goal 5: *Maximising intellectual capital*. Its descriptor states a desire to *create and maintain an environment and institutional climate in which the intellectual capital of the University is actively developed, sustained and utilised in the best interest of the University, the community, the country, and the individual*.

Goal 10: *Focus on Gauteng City Region*. Its descriptor states a desire to *establish the University as a partner and prime stakeholder in the Gauteng City Region and its development*.

It can furthermore be seen that the purpose of the University, as reflected in its strategic direction, is well aligned with local imperatives (see for example Goal 10: *Focus on Gauteng City Region*), while responsiveness to national imperatives is unpacked in par. 1.8 by illustrating how the University engages with the *National Plan for Higher Education*.

International imperatives are not explicitly addressed, but international networking at all levels is important. In the Evidence Room is a partial list of Memoranda of Agreement that have been concluded with international partners, mostly foreign universities.³⁹ Goal 1 also reflects a clear international connotation. The descriptor states a wish (t)o promote recognition of the University of Johannesburg as a South African institution whose brand is synonymous with:

- Excellence in teaching and learning;
- Nationally and internationally competitive and innovative research;
- Contributions to the well-being of its stakeholder communities.

Internal stakeholders were extensively consulted in the development of the initial Vision and Mission Statements (see par. 1.3.1). In the case of the revision of the Vision and Mission Statements, consultation was more limited but still involved the ELG, which represents the leadership of the University and all its divisions and faculties, before the revised Statements were submitted to Council. Internal consultation also featured strongly in the development of the Strategic Goals (see par. 1.4.2 and par. 1.4.3). However, no extensive structured external consultation took place in the formulation of the Strategic Goals. This does not mean that the University isolates itself from the opinions of external stakeholders, particularly with regard to the relevance of its teaching. A survey of employers to ascertain the employability of UJ graduates/diplomats is planned for 2009.

c) The strategic direction provides for transformational issues

The University is confident that it meets the expectations listed in this regard. Its Vision commits it, *inter alia*, to offering a mix of vocational and academic programmes that *advance freedom, democracy, equality and human dignity as high ideals of humanity*; its Values Statements articulate the value attached to *integrity and respect for diversity and human dignity*; and two of the ten Strategic

³⁹ List of MoAs with international partners.

Goals are explicitly of relevance in addressing this expectation, namely: Strategic Goal 4: *An engaged university*, and Strategic Goal 7. In its descriptor the latter states the desire of the University *(t)o promote the UJ Values and create an institutional culture of responsiveness to national transformation imperatives*. See also par. 1.7 in *UJ @ a Glance* for the equity profiles of students and staff, and particularly the Cultural Integration Project.

d) There are effective strategies in place for the realisation and monitoring of these goals and priorities

The University has taken great pains to translate its Vision and Mission Statements into a set of Strategic Goals. The development of KPIs and metrics culminated in the setting of targets and the allocation of responsibilities. The *Institutional Dashboard* provides an instrument to the MEC to monitor progress towards meeting its targets and taking timeous remedial action.

Responsibility at senior management level for the implementation, monitoring and responsive action is obtained through the appointment of Goal Oversight Principals from the ranks of the MEC to meet this expectation (see par. 1.6.1). While the retirement of the DVC: Strategic and Institutional Planning and Implementation at the end of 2007 represented the loss of a dedicated driver, the appointment of the Pro Vice-Chancellor to continue driving the implementation process is a clear indication that the focus at MEC level is retained.

The performance appraisal system of MEC members developed by Remco also has a direct bearing on the pursuit of strategic initiatives (see par. 1.9).

The University acknowledges that implementation is still imperfect, for example the cascading of responsibilities to lower echelons and the integrated monitoring and steering of the Strategic Plan still needs more development work.

e) Human, financial and infrastructural resources are available to give effect to the strategic direction.

See par. 1.9 for an exposition of the relationship between strategic planning and resourcing.

f) Final comment

The UJ believes it does the following things that are required in Criterion 1 and the examples of expectations in terms of the Criterion well:

- It spontaneously complies with the spirit and, to a very large extent, the letter of the imperatives listed in the Criterion, as is illustrated in the unpacking of its contents and the University position in terms of the details above;
- A Vision, Mission and set of Strategic Goals were formulated that takes the fledgling university forward in a decisive way;
- Implementation was thought through;
- Management (MEC and ELG) and Council support the *Strategic Plan* and show commitment to its execution.

The most important issue that needs further attention is implementation. The implementation process, though thought through, still needs to stand the test of

time. The result is that there is, as yet (maybe as a result of the short period that it has been in existence, or maybe as a result of the fact that the UJ is still preparing the playing field for it), little tangible evidence for the ordinary staff member that the *Strategic Plan* has made any difference to the functioning of the University, or that it has been embraced as the signpost for the road ahead. This is notwithstanding the fact that it already features in planning at divisional and faculty management level.

Core features are in place, but some issues (notably implementation) still need attention:

It has been mentioned that measuring instruments for some metrics still have to be developed, or are in the process of being developed.

While quantitative data are largely available and baselines can be determined and targets set in terms of such metrics, this is not true for all the more qualitative measurements.

The result is that no formal action plans to take all the Strategic Goals forward have yet been developed and resourced. It can nevertheless be stated with confidence that, particularly since 2008, its influence on the development of the Strategic Thrusts can be interpreted as seriously informing planning at the highest level.

The jury is still out as to whether the Unit for Institutional and Strategic Planning is adequately staffed to give guaranteed timeous support to the implementation of the Plan. In particular the lack of a dedicated (*Senior?*) *Manager: Management Information* with adequate, knowledgeable support can have a detrimental effect on the roll-out of a cluster of *Dashboards* at different levels. In this respect it can be noted that a proposal for the establishment of a Strategic Information and Modelling Unit within the University was accepted in principle,⁴⁰ but it was not activated at the time. At the time of writing the issue is being revisited by a task team that was convened for this purpose.

1.12 CONCLUSION

Apart from giving direction to the University in its forming years, the Strategic Goals and their pursuit play an important role in unifying the University by giving it a shared common purpose. As the underlying (and sometimes explicit) agenda for meetings of the MEC, ELG and other University bodies they further strengthen the unity of purpose, and hence contribute in no small measure to the gradual achievement of the audit theme: *from merger towards unity*.

⁴⁰ Internal memorandum (29 Nov 2006): *The establishment and structuring of the Strategic Information and Modelling (SIM) Unit in UJ*.



CHAPTER 2

Quality Management

HEQC CRITERION 2

CRITERION 2

Objectives and mechanisms for quality management are integrated into institutional planning. Financial planning ensures adequate resource allocation for the development, improvement and monitoring of quality in the core activities of teaching and learning, research and community engagement.

Examples

- (i) Key quality-related priorities in the core functions of teaching and learning, research and community engagement aligned with the mission and strategic goals of the institution.
- (ii) Links between planning, strategic choices, resource allocation and quality management; institutional planning which includes: Quality management prioritisation and target setting at all critical decision-making levels.
- (iii) Goal-setting and allocation of responsibilities for developmental issues.
- (iv) Adequate resource allocation through financial planning for the development, implementation, review and improvement of quality management mechanisms at all relevant levels.
- (v) Regular review of the effectiveness and the impact of the integration of the objectives and mechanisms for quality management with institutional and financial planning.

2. QUALITY MANAGEMENT

2.1 OVERVIEW OF THE CHAPTER

The processes followed in developing quality plans and policies and establishing a single UJ quality system were influenced by merger dynamics. It is therefore necessary to firstly provide a historical overview of the quality management practices that existed in the former RAU and TWR. This is done in the context of national quality management in Higher Education. Following upon the brief historical context, the main focus of the narrative in this chapter is the establishment of a quality system at the UJ as a merged institution. This took place in two phases, namely:

a) Phase 1: Quality management directly after the merger

In an effort to merge various quality management approaches and practices of the pre-merger constituents, the first *Quality Plan: 2005 – 2008* was developed and implemented. Implementation required a few interim quality processes and structures and an initial programme approach to quality assurance and promotion. One of the four main foci of the first *Quality Plan*, i.e. strategic planning, is addressed in Chapter 1.

b) Phase 2: Development of the (existing) quality system since 2008

The establishment of a more “permanent” institutional quality system implied several restructuring initiatives. Key elements of the post-2008 UJ quality system are hence discussed and interpreted – with special reference to the *Quality Promotion Framework*, *Quality Promotion Policy* and the second (draft) quality plan, known as the *Quality Promotion Plan: 2010-2015*.

Self-reflection is done throughout the chapter by including examples of institution-specific elements of Criterion 2 in action in the narrative. Finally, conclusions relating to quality management are drawn via the identification of institutional achievements and areas that may require further attention or improvement.

2.2 HISTORICAL CONTEXT

The former RAU and TWR employed different quality management approaches and practices. This presented the merged University with a number of challenges at various levels (e.g. at philosophical, policy, process and management levels). The two divergent approaches are summarised below, as a broad rationale for the development of the first *UJ Quality Plan*.

2.2.1 THE RAU APPROACH TO QUALITY MANAGEMENT

At the time of the merger, the former RAU had in place a Quality Care Committee (QCC), which initially served as a quality related discussion and coordinating forum for Deans and service and support heads. The QCC approved, promoted and institutionalised a system of departmental reviews, and nine such reviews were eventually conducted in 2003 and 2004, involving academic departments from

various faculties. Towards the end of these departmental reviews, the central Quality Care Unit (in the Office for Institutional Effectiveness) drafted an institutional trends report on the reviews, which served before Senate. However, the imminent merger prevented the University from adequately addressing these and other identified issues, including the conducting of further reviews for a number of years.

The former RAU predominantly followed a decentralised approach via the devolvement of decision-making powers to faculties. This devolution of power also applied to quality management, i.e. the arrangements for assuring, developing, enhancing and monitoring the quality of the core functions of teaching and learning, research and community engagement. The central Quality Care Unit was responsible for quality promotion, which encompassed the institutional enhancement of an ethos of quality. It followed a developmental approach to quality reviews. Self-evaluation, followed by peer reviews, was the institutional cornerstone of quality enhancement, but its effectiveness was constrained by the fact that it was a voluntary process.

2.2.2 THE TWR APPROACH TO QUALITY MANAGEMENT

Quality assurance and promotion in the former technikons were regulated by the Certification Council for Technikon Education (SERTEC). For 15 years, the main function of SERTEC was national certification (namely to ensure that certificates and diplomas issued by the various technikons are of a comparable standard) via a strong focus on compliance. Only since the late 1990s, the monitoring of quality education (via peer evaluation committees) was implemented as an additional function. SERTEC's QA processes thus evolved from (regulatory) compliance to(wards) (autonomous) self-evaluation within a short period of time.

In 2004, the year before the merger, the former TWR established a Quality Assurance and Promotion Office, comprising one staff member who reported to the DVC: Academic. The move by the institution was prompted primarily by the changing national regulatory framework in higher education with respect to quality assurance and management. However, this staff member left the TWR in mid-2004, and the quality-related functions were taken over by the Academic Development Unit. The Unit planned and conducted workshops with four academic departments to prepare for a pilot run of the self-evaluation of their programmes. This was conducted as an internal evaluation, and the reports were submitted to the Deans and the relevant HoDs without any institutional forum or discussion. The Deans were requested to develop improvement plans, but with no official forum in place to support these processes and the imminent merger, no follow-up actions were taken.

2.2.3 DIVERGENT QUALITY CULTURES DURING THE MERGER

Table 2.1 summarises the widely divergent quality histories and cultures that the RAU and the TWR brought to the merger:

Table 2.1: Differences in the RAU and the TWR quality management histories

| FORMER RAU | FORMER TWR |
|---|--|
| The quality culture could perhaps be labelled as <i>non-obligatory</i> . The approach consisted of voluntary participation in the self-evaluation of academic departments and service and support units, enhanced by selected peer-review panels. The authority was determined by the standing of the panel members in their respective fields. | The quality history was dictated by SERTEC, an external body with statutory powers to certify and accredit programmes, and the authority to withhold accreditation. It could be labelled as a <i>culture of compliance</i> with national programme standards prescribed by statutory and/or professional bodies. |
| An institutional quality management system existed, consisting of a Senate Committee (comprising Deans and a DVC as chair); a number of subcommittees; an institutional quality support and promotion unit, and a set of guidelines for self-evaluation and peer reviews. | Although an institutional quality support and promotion unit was established in the year preceding the merger, no formal institutional quality management system existed. |
| Quality management was devolved to <i>faculty and support unit</i> levels. Participation was to a large extent <i>voluntary</i> , determined by the Dean of a faculty or head of a unit (but strongly enhanced by the central quality support unit). | Quality management was devolved to <i>programme</i> levels. Participation was mandatory and compliance with national requirements was a requirement. The central quality support unit only started its quality enhancement role. |
| A perception was developing that self-evaluation and peer reviews resulted in (unnecessary) paperwork for staff and a cumbersome management bureaucracy. | SERTEC and professional/statutory-body reviews also resulted in heaps of paperwork. They were perceived as cyclic events with limited managerial implications. |

2.3 PHASE 1: QUALITY MANAGEMENT DIRECTLY AFTER THE MERGER

In pursuit of a single institutional quality management system and an institutional strategic plan, the MEC decided in January 2005 that the UJ should participate in a national HEQC project for merged HEIs. This provided an impetus and direction for the development of the first *Quality Plan* and led to the establishment and/or refinement of quality assurance and promotion practices in the nine faculties of the UJ.

2.3.1 FIRST STEPS TOWARDS AN INSTITUTIONAL QUALITY MANAGEMENT SYSTEM

In January 2005, quality management in the faculties, support units and programmes consisted of a variety of inherited practices and structures (as summarised in Section 2.2 above), with no single, formal institutional quality management system in place. The DVC: Strategic and Institutional Planning and Implementation had the responsibility of overseeing quality assurance and promotion, as well as institutional planning. The MEC approved the continuation of the Office for Institutional Effectiveness (OIE). Consisting of three interrelated units, namely Quality Assurance and Promotion, Programme and Professional Development, and Institutional

Research and Planning respectively, the OIE played a key role in developing, supporting and coordinating the 's first *Quality Plan*, and its implementation.

2.3.2 DEVELOPMENT AND IMPLEMENTATION OF THE UJ QUALITY PLAN: 2005- 2008

2.3.2.1 The UJ's participation in the Finland-South Africa Program

By drawing on a grant from the Finnish government, as well as its own resources, the so-called *Finland-South Africa Program* was launched by the HEQC in October 2004. The QA component of the Program, known as *Building Quality Management Systems in Merged Higher Education Institutions*, was aimed at ensuring that (especially merged) HEIs were provided with the requisite information, understanding and capacity to effectively respond to quality requirements in the future.

In August 2005, the University approved and submitted its first *Quality Plan: 2005-2008*⁴¹ to the HEQC. The four main expected outcomes of the *Quality Plan* were:

- a) developing a new quality management system that would enable the University to prepare for institutional audit and programme-accreditation requirements;
- b) institutionalising effective quality management at all relevant planning and resource-allocation levels;
- c) ensuring quality provision for all students in existing programmes; and
- d) establishing quality management arrangements for developing a new academic programme structure.

2.3.2.2 A programme approach towards the establishment of a quality system

The University's participation in this project implied a programme approach to the establishment of quality management structures. In the turmoil and volatility of the merger, the University did not have the luxury of evaluating various possible approaches to quality system realisation. A programme approach would address quality management with regard to most of the institutional core functions, especially teaching, learning, assessment and research. This decision was supported by a number of institutional "wake-up calls" that emphasised the need to rather urgently establish a quality management system:

- a) As was mentioned in Section 2.2.2 above, the MBA programme offered by the former TWR was de-accredited after a national accreditation review and subsequently terminated.
- b) A peer review of the M Tech Chiropractic programme resulted in a noteworthy report that identified quality weaknesses relating to curriculum coherence, human resources and research. The particular programme was later accredited by the HEQC.
- c) In 2005, a national re-accreditation review of the Master's programme in Educational Management was intensely discussed and debated. Regular reports by the Dean (now the UJ Registrar) of the faculty's experience and involvement

⁴¹ *Quality Plan: 2005-2008.*

in the national review alerted other Deans to their roles and responsibilities as quality managers in their faculties.

The programme approach to quality system establishment had the additional advantage that it forced academics to deal with merger dynamics at programme level. Programme reviews, based on the CHE programme-accreditation criteria, provided an opportunity to engage with quality matters objectively and made a significant contribution towards unifying academics from the merging institutions at least at programme level. Academics and the relevant support staff were also required to focus on programmes as a coherent and logical combination of modules that strive to achieve their intended purpose and learning outcomes. This contributed towards a “new” emphasis on programmes and their quality across all faculties of the new UJ, instead of an all too traditional university focus on academic disciplines that form the basis of individual modules and academic departments.

2.3.2.3 Implementation structures, processes and outcomes

In this section the key institutional stakeholders involved in the implementation and monitoring of the *UJ Quality Plan: 2005-2008*, processes that were followed and subsequent outcomes are briefly described. The specific contribution of and the manner in which programme reviews were implemented are reflected upon in Section 2.3.3.

- (a) Interim quality management structures were established in February 2005 at institutional level, namely a representative (equal representation of ex-TWR and ex-RAU members) Quality Task Team (QTT)⁴², chaired by the DVC: Strategic and Institutional Planning and Implementation and four supporting Quality Project Teams (QPTs) to oversee the implementation of the *Quality Plan*. The four QPTs, each chaired by a senior OIE staff member, were responsible for the analysis and review of inherited policies, structures, plans, etc. and the setting of goals, as well as the development of proposals on the desired road ahead in four broad areas (namely policies, strategic planning, quality management and programmes). The work of the four project teams provided a good foundation for an institutional quality systems approach based upon the integration of institutional planning, quality assurance and resourcing.
- (b) The four QPTs concluded their analyses, review and proposal development activities in November 2005. The University reported extensively on their achievements in the first *Progress Report* in 2006.⁴³ The QTT held its last meeting in January 2006, and handed over to the two Senate Committees that had been approved in the meantime, namely:
 - i) the *Senate Quality Committee* (SQC), to advise Senate on quality matters; and
 - ii) the *Academic Planning Committee* (APC), to advise Senate on academic planning matters (namely policies, programme amendments, approval and reviews, strategic academic planning, etc.).
- (c) In September 2006, the two Senate committees (in (b)) merged into a single *Senate Academic Planning and Quality Committee* (SAPQC). Two SAPQC

⁴² Institutional Quality Committee: *Minutes of meetings*.

⁴³ Progress reports on the *Quality Plan: 2005-2008 to the HEQC*.

subcommittees were also established, namely the Executive Committee and the Programme Working Group (PWG). The SAPQC was replaced by a (new) Senate Quality Committee (SQC, see Section 2.4.2.3) in 2008, after a review of Council, Senate and Senate committees by the Executive Committee of Council. Planning was not a focus of its remit anymore and would be dealt with at other institutional forums.

- (d) Three years into the *Quality Plan* project (in December 2007), the DVC: Strategic and Institutional Planning and Implementation retired from the institution. His responsibilities were transferred to the Pro Vice-Chancellor (PVC) as of 2008.
- (e) The main responsibilities of the OIE, which reported to the abovementioned DVC (and the PVC, since 2008), in relation to the first *Quality Plan* were to:
 - i) continuously define and monitor progress (or lack thereof) towards the attainment of the goals of the institutional strategic plan;
 - ii) provide support in the integration of planning and quality assurance, initially at programme-planning and development level (via the programme reviews component), but increasingly also in the faculties, divisions and the institution; and
 - iii) facilitate quality assurance and promotion in the various entities (faculties and divisions) of, as well as the University itself.
- (f) An MEC Policy Committee was established in 2007. The purpose of the Committee was to initiate and monitor the development of institutional policies (in line with the newly approved institutional *Policy on Policy Development*, under the auspices of the Registrar).⁴⁴ This Committee was (also) terminated in 2008, after a Council and MEC review of committees. Quality assurance of policy implementation is reflected upon in Section 2.4.1.5 below.
- (g) The implementation of the *Quality Plan* was supported financially⁴⁵ and otherwise by the MEC. The University did receive HEQC donor funding (approximately R360 000 over the four years), which was divided evenly amongst the nine faculties, and utilised in support of the valuable quality assurance and promotion role of the Faculty Quality Coordinators (initially known as Programme Review Managers).⁴⁶ This amount, however, represented a drop in the resourcing ocean, as the institutional resourcing cost of just the Programme Review component of the Plan amounted to several million rand. The University made a strategic decision to provide the money from its own funds. The rationale for this decision was based upon the nature of the *Quality Plan* as an example of desirable linkages between quality management, academic planning and resourcing which, especially in the case of the programme reviews, prioritised the core functions of the University.

2.3.3 PROGRAMME REVIEWS AS THE MAJOR COMPONENT OF THE UJ'S FIRST QUALITY PLAN

⁴⁴ *Policy on Policy Development*.

⁴⁵ Budget for programme reviews.

⁴⁶ HEQC funding for programme reviews.

2.3.3.1 The institutional goal: an integrated programme and qualifications mix

The establishment of a *unified, integrated* Programme Qualification Mix (PQM), as opposed to simply a *combined* PQM, was the University's goal at the outset. Instead of following the ostensibly easier path of basically maintaining the two established institutions in a parallel federal system with a single governance structure, the UJ opted to create synergy between the two inherited PQMs. The rationale was that a critical review of the existing programmes would be an important step towards the integration of programmes at faculty and departmental level, while involving academic and support staff. A major (and probably the main) component of the *Quality Plan* included extensive internal and a number of external programme reviews across the full spectrum of inherited programmes, ranging from vocational and professional to general formative. The Deans jointly decided that all subsidised learning programmes should be included in the programme reviews, and not only those directly affected by the merger.

2.3.3.2 External programme reviews

From 2005 to 2008, a number of national and professional/statutory bodies conducted external programme reviews at the UJ. The following programmes and/or units were reviewed:

Table 2.2: Programme/unit reviews by professional/statutory bodies

| PROGRAMME/UNIT REVIEWED | STATUTORY/ PROFESSIONAL BODY |
|---|---------------------------------|
| Architecture | SACAP ⁴⁷ |
| B Com Accounting and B Com Accounting (Hons) | SAICA ⁴⁸ |
| Biokinetics; Optometry; Podiatry; Student Services Bureau | HPCSA |
| Engineering: Technology and Engineering Science | ECSA ⁴⁹ |
| Environmental Health | HPCSA |
| Institute for Child and Adult Guidance (now PsyCAD) | HPCSA ⁵⁰ |
| M A Clinical Psychology and Counselling | HPCSA |
| M Com Industrial and M Ed Educational Psychology | HPCSA |
| ACE in Mathematics Education; M Ed in Educ Management PGCE (FET phase) & B Ed (Senior Phase) | HEQC ⁵¹ |
| M Tech Chiropractic | HEQC |

A number of programmes in the Faculty of Education that had been reviewed by external bodies were commended as among the best in the national HE sector.

⁴⁷ SACAP report, faculty improvement plans and all relevant documentation.

⁴⁸ SAICA reports, faculty improvement plans and all relevant documentation.

⁴⁹ ECSA reports, faculty improvement plans and all relevant documentation.

⁵⁰ HPCSA report, faculty improvement plans and all relevant documentation.

⁵¹ HEQC reports, faculty improvement plans and all relevant documentation.

These reports served before the SAPQC, as did the departmental/faculty improvement plans and progress reports. Follow-up progress reports etc. were required to be submitted to the SQC in future. The relevant faculties and heads of departments (HoDs) are responsible for the development, implementation and monitoring of improvement plans (consult the *Quality Promotion Policy*, Section 2.4.1, in this regard).

The abovementioned external reviews played a significant role in enhancing programme quality. The verbal reports on their experiences of these external reviews by, especially, the Deans of Education and Engineering to the SAPQC, led to many discussions and contributed to an increased institutional quality management awareness.

2.3.3.3 Internal programme reviews

a) The nature of the process and criteria utilised

The internal programme reviews consisted of self-evaluation and peer reviews of all accredited programmes in the former TWR and RAU. The 19 national HEQC programme-accreditation criteria were applied, as was an institutional criterion that took the unique UJ context into account. The HEQC's criteria provided faculties with an opportunity to familiarise themselves with the criteria that cut across academic departments and support units, and to conduct a critical reflection on external feedback. The outcome of the programme review was the submission of concrete proposals (so-called *Form 1s*⁵² that implied an integration of quality assurance and academic planning principles) to the SAPQC and Senate, to indicate:

- i) programmes that should continue unchanged;
- ii) programmes that should be consolidated;
- iii) amendments to existing programmes, and/or
- iv) programmes that would be discontinued and phased out.

b) The road towards the UJ's integrated PQM

In September 2005 the first PR cycle commenced, and was concluded with the approval of concrete proposals by Senate in 2007. Programmes that were subjected to a national re-accreditation review by the HEQC and/or other professional bodies were exempted from the internal PR process.

- i) Self-evaluation of programmes by programme teams was followed by peer-review site visits. Peer-review panels had to include a representative of the relevant industry or profession (if appropriate). The self-evaluation and peer-review reports⁵³ informed and supported departments and faculties in their decisions on existing programmes.
- ii) Quality structures responsible for programme reviews at faculty level were established in line with the Senate-approved document, *Planning Programme Reviews*.⁵⁴ This included the identification or appointment of a

⁵² Agendas and minutes of Programme Working Group, SENEX and an example of Form 1.

⁵³ Examples of self-evaluation and peer-review reports.

⁵⁴ *Planning Programme Reviews*.

Programme Review Manager in each faculty, who consulted regularly with the OIE.

- iii) Research conducted by the OIE in 2005⁵⁵ identified three categories of faculty quality structures that had existed prior to the programme reviews, namely:
- extensive structures, comprising a number of committees, each with its own charter;
 - limited structures, comprising committees that were still being developed; and
 - a single committee, the Dean's Committee, also serving as faculty quality committee.
- iv) All concrete proposals regarding programmes (i.e. Form 1s) had to be approved by the relevant faculty quality structures and faculty boards before being submitted to the SAPQC and then to Senate for approval. The SAPQC was supported by the Programme Working Group (PWG), comprising representatives from all faculties (namely the *Programme Review Managers*, known as *Faculty Quality Coordinators* as of 2008).
- v) All the Senate-approved programmes were included in the new *Academic Programme Structure* (APS)⁵⁶ that was submitted to the CHE towards the end of 2007. This was preceded by several meetings with staff from the HEQC, the DoE and SAQA, to clarify the format and detailed contents required by these bodies for accreditation and approval (e.g. for funding) purposes (see minutes of these meetings).⁵⁷
- vi) Towards the end of 2007, the new PQM⁵⁸ was submitted to the Department of Education (DoE). The DoE response and queries were addressed, and a revised PQM was submitted in October 2008 and approved on the 10th of December 2008.

c) Supporting strategies, structures and documents

As was mentioned in Section 2.3.2.3 (e) above, the OIE, which was restructured in March 2008 and became known as the *Division for Institutional Planning and Quality Promotion* (DIPQP),⁵⁹ played a strong supportive and guidance role throughout the planning and implementation of the programme reviews. A Programme Review Coordinator (in the OIE) monitored the PR process and presented regular feedback and progress reports⁶⁰ to the SAPQC. She conducted regular meetings with Programme Review Managers in the faculties and several institutional, faculty and programme-specific workshops were facilitated for academic and support staff on topics such as the review process

⁵⁵ Geyser, H.C. & Du Toit, A: *Quality structures at faculty level*.

⁵⁶ *UJ Academic Programme Structure* (Oct 2007).

⁵⁷ Minutes of meetings with representatives from the HEQC, SAQA and the DoE (2006 and 2007).

⁵⁸ Final PQM submitted to the DoE in November 2008.

⁵⁹ Name change from OIE to DIPQP (DIPQP website on intranet).

⁶⁰ Minutes of SAPQC meetings (2006 and 2007).

and the interpretation of the HEQC Programme Accreditation Criteria (co-conducted by an HEQC Capacity Building Directorate staff member) and how to develop a programme self-evaluation report (portfolio) for review purposes. The following supporting documents were also developed and utilised by faculties:

- i) Planning Programme Reviews,⁶¹ namely a set of guidelines for the planning, budgeting and implementation of programme reviews. Each faculty had to submit a budget in accordance with the guidelines, while the institutional budget was managed by the OIE.
- ii) Programme Review Manual,⁶² which offered information on the process, usage of criteria, guidelines for programme self-evaluation portfolio development and the responsibilities of various role players.
- iii) Programme Review Manual for chairs and panel members,⁶³ which provided guidelines on the management of the process, categories of judgement and a template for self-evaluation, peer reviews and relevant reports.

d) Module reviews

Although this had not been part of the original *Quality Plan*, faculties had to submit the module curricula (i.e. Form 2s)⁶⁴ to the Registrar to update the Integrated Tertiary Software (ITS) system, and to the OIE for a quality review. A total of 3 394 modules were reviewed, with the focus on curriculum coherence in the modules. An institutional report was submitted to the SAPQC, while each faculty also received a faculty-specific report⁶⁵ with individual comments on each module (i.e. Form 2). In order to share good practice and/or lessons learned from the programme reviews, a so-called Module Showcase was presented by DIPQP on two campuses (APK and DFC). This was done by means of poster presentations and discussions conducted by the lecturers responsible for modules, followed by a workshop on module development. These showcases gave recognition to best practices across the faculties and were based upon constructive feedback received from the more than 100 participants.⁶⁶ It enabled quality improvement in this regard to take place across faculties, development and support units/divisions.

2.3.3.4 The value of and challenges posted by programme reviews

The scope of the undertaking was a major challenge. The University reviewed approximately 1 800 programmes in nine faculties across five campuses.⁶⁷ The nature of the programmes varied extensively, i.e. from vocational and professional to general formative. Besides the UJ's new APS (submitted to the CHE) and PQM

⁶¹ *Planning Programme Reviews.*

⁶² *Programme Review Manual.*

⁶³ *Programme Review Manual for the chairs and panel members.*

⁶⁴ Example of Form 2.

⁶⁵ Institutional and faculty reports: Module reviews.

⁶⁶ Feedback on Module Showcases.

⁶⁷ Minutes of Senate meetings (2008).

(submitted to the DoE) as obvious institutional dividends of the programme reviews, the *institutional value* of the programme reviews can be summarised as follows:

- a) Although labour-intensive, time-consuming and expensive, it contributed to the substantive merger by addressing the core institutional functions. The application of national programme criteria did not eliminate conflict, but elevated it to a level where loyalty to former RAU and TWR programmes was minimised.
- b) It obliged former RAU and TWR staff to communicate about and diffuse tension linked to programme matters. In doing so, it contributed towards striving for unity at least at programme level, but probably also increasingly so at departmental and faculty levels.
- c) The programme reviews could be regarded as the University's initial programme-related quality learning and capacity-building forum and catalyst. Since all *Form 1s* were monitored and deliberated on by faculty representatives during PWG and SAPQC meetings, an academically rigorous approach to both the definition of programme quality and the design of programme curricula was embedded. What is even more encouraging is that this process, which was initially intended to be a "once-off", was extended and eventually approved in 2008 (consult Section 2.4.1.2) as a desirable continuing cycle of reflection upon current practice in the *UJ Quality Promotion Policy*.

The programme reviews also posed a number of *challenges* and *concerns*, however, namely:

- d) The increased workload of academic and support staff was a constant topic of discussion.
- e) The extensive scope of the PR made it impossible to provide sufficient support at individual programme level.
- f) Although many Deans used the opportunity to improve the quality of their programmes and to establish faculty quality structures, some of them were appointed only on an interim basis, resulting in fluctuating perceptions of buy-in and ownership as soon as new appointments were made.
- g) In some cases, the programme reviews were viewed as an administrative process; increased bureaucracy and a (mere) paper exercise.
- h) Budget limitations prevented the appointment of some highly qualified members of peer-review panels from the private and professional sectors.
- i) The pending HEQF (at national level) could not be utilised in the development of concrete proposals (e.g. in terms of credit allocation, exit levels, etc.).

2.3.4 RESEARCH PROJECTS STEMMING FROM THE UJ'S FIRST QUALITY PLAN

Three institutional research projects of note are mentioned briefly:

- a) Quality structures at faculty level:⁶⁸ The research was conducted by OIE staff and the findings were presented at a national FOTIM conference in 2006.
- b) Developing a QA system through programme reviews in a newly merged university:⁶⁹ This project was also undertaken by OIE staff and its findings were presented at both the FOTIM national conference and the annual conference of the Australian Universities Quality Agencies.
- c) The perceived value and effect of the programme reviews:⁷⁰ This project, undertaken by DIPQP staff, is also a research capacity-building venture and the final report will be available only later in 2009. The project represents a reflection on academic programme quality and will be brought before various faculty-specific and institutional structures with the intention of “closing the loop” (i.e. continuous improvement). The findings (thus far) indicate that the most pertinent value and thus the real legacy of the programme reviews (as major component of the first *Quality Plan*) was the establishment of a set of continuous academic quality assurance and promotion practices.

2.3.5 THE UJ’S PERCEIVED QUALITY ETHOS TOWARDS THE END OF 2008

The *institutional quality ethos research project*,⁷¹ steered by staff from DIPQP in cooperation with Faculty Quality Coordinators, was initiated in 1998 and replicated in 2003 (in the former RAU) and in 2008 (in the UJ). It explores possible changes in the views of Faculty Quality Committees on what academic quality means and their perceived quality management role. The third (2008 and beyond) phase of the project in addition focuses on a search for indicators of an institutional quality ethos. Perceptions of Quality Managers of all SA and a number of USA and UK universities have been collected and analysed thus far. One national (on invitation of the HEQC) and two international workshops (both on invitation) stemming from the project were facilitated in 2008. Project findings based upon Faculty Quality Committee responses indicate that some of the identified key indicators of an institutional quality ethos, e.g. accountability (“*quality is everybody’s business*”), responsiveness (“*the satisfaction of clients is crucial*”) and quality as continuous improvement (de-emphasising compliance) can be witnessed in certain faculties. However, other indicators, e.g. the desire for fitness for purpose (usage of core institutional functions to drive the mission and strategic goals), regular deliberations and articulations of what quality means in different contexts and the existence of a collective and coherent institutional quality spirit require more attention in most faculties.

Deliberations around institutional quality audit preparations and the University’s first *Quality Promotion Policy* (consult Section 2.4) during 2008 assisted faculties in

⁶⁸ Geyser, H.C. & Du Toit, A.: *Quality structures at faculty level*.

⁶⁹ Smit, H.M. & Geyser, H.C.: *Developing a quality assurance system through Programme reviews in a newly merged university*.

⁷⁰ DIPQP report: *The perceived value and effect of the programme reviews* (report to be finalised in 2009).

⁷¹ Two articles: (a) Jacobs, G., De Bruin, K., & Jacobs, M.: *Quality promotion views and practices: Searching for indicators of an institutional quality ethos/culture in higher education*, National Consortium on Continuous Improvement (NCCI) proceedings (USA), July 2008; (b) Jacobs, G. & Du Toit, A.: *Contrasting faculty quality views and practices over a five year interval*, Quality in Higher Education (UK), November 2006.

grasping the comprehensive nature of QA and that a “one size fits all” faculty committee would not address the diversity of quality-related functions. Faculties started to realise that a sophisticated network of quality management structures with clearly defined purposes, reporting lines, etc. was needed. They also agreed that deans are the true owners and managers of quality matters in the faculties and that quality assurance and promotion should be addressed by academic leaders on all levels and not be regarded as administrative functions.

The first *Quality Plan* (2005-2008) provided the foundation for developing an institutional QA system. During an ELG workshop in January 2008 it was decided that an overarching quality promotion framework, providing for the comprehensive nature of quality assurance, promotion and management, should be developed.

2.4 PHASE 2: DEVELOPMENT OF THE UJ QUALITY SYSTEM SINCE 2008

The UJ quality system (since 2008) basically consists of three inter-dependent aspects, namely policies (including plans, strategies, guidelines, etc.); structures; and management (including resourcing) that address the core functions. The system is described and deliberated on below according to these aspects.

2.4.1 POLICIES, PLANS, PRINCIPLES, STRATEGIES, ETC.

This section firstly addresses quality-specific policies, plans, principles, strategies, etc., and secondly other institutional policies regulating the core functions.

2.4.1.1 Quality Promotion Framework

The *Quality Promotion Framework* (QPF) represents a broad perspective on institutional quality. The framework comprises a number of documents developed by various institutional role players. Some of these documents are still in the developmental phase or (partially) approved, but have not been implemented yet.

The UJ QPF provides strategic direction and guidelines for continuous improvement. It comprises a policy document, the *Quality Promotion Policy*,⁷² and a planning document, the *Quality Promotion Plan: 2010-2015*,⁷³ as well as guidelines for the implementation of these. The documents listed below all form part of the QPF:

- a) Faculty and divisional quality promotion *policies* and *plans* (to be developed as of 2010)
- b) Guidelines for quality promotion and assurance of teaching and learning, modules, programmes, academic departments and faculties (to be developed as of 2010)
- c) Guidelines for quality promotion and assurance of academic development, service and support divisions (to be finalised and approved in 2009)
- d) Guidelines for review panel members and chairs (to be developed as of 2010)
- e) *UJ Audit Strategy: 2007–2010* (approved in 2007)

⁷² *UJ Quality Promotion Policy*.

⁷³ *UJ Quality Promotion Plan: 2010–2015*.

- f) Guidelines for reviewing the UJ quality system (to be developed as of 2010).

2.4.1.2 Quality Promotion Policy

This policy was approved by Senate in October 2008. Faculties and divisions should align their quality promotion approaches, policies and structures accordingly. The policy is not a quality manual, nor does it describe specific procedures to be followed, define minimum standards or provide check-lists. The various supporting documents in Section 2.4.1.1 above provide the latter guidelines and procedures.

The *Quality Promotion Policy* serves the purpose of informing the thinking and practices of all UJ staff members on quality promotion and continuous improvement in their environments. It affirms the University's commitment to the support, promotion, assurance and review of its academic provision via a continuous quality improvement cycle. It strives towards an integrated and coherent institutional quality system for teaching, learning and assessment, subsidised and non-subsidised programmes, research and community engagement and all developmental, service and support activities.

2.4.1.3 The UJ's view of quality and underpinning quality promotion principles

The UJ's view of institutional quality can be labelled as *empowering* (in terms of being capacity building-oriented), *all-encompassing* (in terms of the spread and integration of academic, support, planning and resourcing activities) and *improvement-oriented* (implying a continuous cycle of related activities). However, it does not exclude the prevalence of various misconceptions about this view, especially amongst academic staff (in spite of several internal capacity-building workshops and quality awareness campaigns). For example, the difference between the minimum-standard approach generally adopted by professional bodies that accredit programmes, and the improvement-oriented approach adopted by the UJ in its policy (and the HEQC for institutional audits) might not be fully appreciated by academic staff and other key stakeholders within the institution.

The following *four quality promotion principles* that have been approved by the institution (at Senate level) and that are outlined in the policy underpin the UJ quality view above:

a) Institutional accountability

One purpose of the *UJ Quality Promotion Framework* is to enable the University to be an accountable institution of higher learning. To this end, the University ensures that it has a formal quality system in place. This system involves a quality improvement cycle (see (b) below), from planning and implementation to reviewing all functions of the University. It also strives towards feedback on the results of monitoring and reviewing, in order to effect improvement at all levels of decision-making (consult Section 1.10 in Chapter 1 and also Section 2.4.2.5).

b) Continuous improvement of all functions

Quality promotion is an ongoing process aimed at continuous improvement of the University's functions via the implementation of the quality cycle at all levels. The cycle's four interrelated phases, namely planning, implementation, evaluation and improvement, will enhance the University's capacity for early risk identification and mitigation.

c) An integrated approach

Horizontal and vertical integration need to be integrated, implying that quality promotion:

- i) of core functions (teaching and learning, academic programmes, research and community engagement) is regarded as interdependent dimensions of analysis (i.e. horizontal integration); and
- ii) in management units (i.e. faculties, departments, divisions and units) is not addressed separately, but is regarded as a continuum of interdependent dimensions of analysis (i.e. vertical integration).

d) Quality promotion as everybody's responsibility

Responsibility for continuous improvement and the assurance of quality is best located within individuals and/or groups closest to each particular activity. Quality assurance and promotion form an integral part of and are therefore the responsibility of all UJ staff members.

2.4.1.4 The UJ Quality Promotion Plan: 2010 - 2015

The second quality plan (to be approved by Senate in 2009) gives substance to the policy by means of a phased and targeted implementation approach. Faculties and divisions are required to develop context-specific three-year rolling quality plans and to plan for financial, human and other resources accordingly.

The plan outlines the University's intentions to introduce a six-yearly cycle of module, programme and departmental reviews. After a year devoted to the *development* of faculty-specific plans, all *programmes* within a faculty should be reviewed over the next three years. Continuous monitoring of *modules* needs to be planned in such a way that it feeds into the programme reviews of all faculties/departments that offer a specific module. The subsequent two years are intended to be used to for *departmental* reviews.

The outcomes of both programme and departmental reviews need to be considered by deliberative committees within each faculty (e.g. Faculty Quality Committees, Dean's Committees and Faculty Boards), and also by institutional committees (the Senate Quality Committee and Teaching and Learning Committee) on their way to probable Senate approval. This will allow for the identification of trends and aspects for wider dissemination or for remedial action. According to its charter, reflection on and the quality improvement of teaching and learning in *modules* will fall under the remit of Senate's Teaching and Learning Committee (consult Chapter 3), supported and advised by the Division for Academic Development and Support (ADS). Consideration of the quality of *programmes* and *departments* will, in line with its charter, be the responsibility of the SQC (consult Section 2.4.2.3), supported and advised by DIPQP.

The UJ has, since 2008, introduced a formal internal peer-review process for development, service and support units. The *Quality Promotion Policy* describes the desirable types of quality structures in these units. This process is coordinated and partially supported resource-wise by DIPQP. Review reports (and subsequent improvement plans) serve before the SQC for noting purposes, while they are managed by the respective unit heads and ultimately by their line managers.

Outcomes of these reviews should inform the annual Strategic Thrusts and reports of these units. Opportunities for institutional sharing and dissemination of best practice will also be created as of 2009, when the heads of units that have been reviewed will report about their experiences at MECO. Feedback from units that have gone through the process in 2008, e.g. CenTAL, Academic Administration and the UJ Library and Information Centre, indicates that it definitely seems to be contributing to quality improvement. The cycle of reviews has only started its first iteration and is continually monitored and refined.

The UJ's *QPP: 2010-2015* could perhaps, at this early stage of implementation, be labelled as ambitious. Its implementation is heavily dependent upon broad and committed institutional buy-in, but even more so on capacity building and support to all faculties, departments and service and support units. The nature of the latter support (as envisaged in par. 4.3 of the *QPP* document) boils down to a symbiotic relationship between supporting divisions (like DIPQP, ADS and others) and the respective faculties and units. Similarly, the various kinds of surveys and thematic reviews that need to be undertaken (described in par. 4.1 of the *QPP* document) are heavily dependent upon a credible and functional Institutional Research Unit (of which Management Information and its associated institutional data integrity are essential components, taking their cue from a 2009 institutional benchmarking exercise).⁷⁴

2.4.1.5 Institutional policies, charters, etc.

An entire network of institutional policies was developed from 2007 to 2009, namely Charters for Senate and all Council and Senate Committees⁷⁵ (including the MEC⁷⁶) (consult the UJ website⁷⁷ in this regard.) This was guided by the *Policy on Policy Development*, which addresses the process of development and approval, policy contents, and regular review guidelines. A set of *Guidelines for Effective Meetings* (approved by Council in September 2007) has also been developed.⁷⁸ It is envisaged that quality assurance of policy implementation (as stated in par. 4.1.3 of the *Quality Plan: 2010-2015*) will be institutionalised via thematic reviews, to be conducted by DIPQP, coordinated by the MEC Risk Committee and monitored by the Senate Quality Committee. The newly acquired software, Image Now Application Software,⁷⁹ will be utilised to track policy changes.

2.4.2 QUALITY MANAGEMENT STRUCTURES

At institutional level, the UJ Council and the VC are ultimately accountable for quality. The Council ensures good management and the implementation of the Strategic Plan. The UJ's quality-related structures and management system consist of the following:

2.4.2.1 Senate

⁷⁴ Report: MIS Benchmarking Project.

⁷⁵ Charters for all Council and Senate Committees.

⁷⁶ MEC Charter.

⁷⁷ List of documents on the UJ website.

⁷⁸ *Guidelines for Effective Meetings*.

⁷⁹ Image Now Application Software: DoE letter of approval.

Senate, representing the academic voice of the institution, assists Council to comply with public accountability relating to the academic responsibilities of the University.

2.4.2.2 The Pro Vice-Chancellor (PVC)

The PVC oversees and reports to the MEC on all institutional research, planning and quality-related matters.

2.4.2.3 Senate Quality Committee (SQC)

The SQC, replacing the former SAPQC (consult Section 2.3.2.3 (c)), was established in 2008 and is chaired by the PVC.⁸⁰ It reports to Senate on the implementation of the *Quality Promotion Policy* and *QPP*. It also aligns and oversees quality assurance and promotion in all the core functions of the University and provides a forum for the institution-wide integration of quality-related initiatives. An *Audit Steering Committee* (ASC), which oversees preparations for the HEQC audit in August 2009, reports to the SQC. An ASC Exco, five Audit Task Teams and a number of Audit Working Groups report to the ASC. All Senate committees submit annual reports to Senate.

2.4.2.4 Senate Teaching and Learning Committee (STLC)

In 2008, a University-wide task team was formed to develop a top-level strategic approach to the improvement of teaching and learning (consult Chapter 3). Senate subsequently approved an institutional Teaching and Learning Strategy and the establishment of a *Senate Teaching and Learning Committee*. The STLC will be functional as of 2009 as a deliberative forum for teaching and learning matters. The committee, according to its charter, assures and promotes the quality of an enabling institutional learning environment and therefore also plays an important quality-related role. For example: the student satisfaction and experience surveys, conducted in alternate years among undergraduate and post-graduate students, will naturally inform both the SQC and STLC.

2.4.2.5 Regular reporting, monitoring and reviewing

Annual reporting, monitoring and reviewing (consult Section 1.10) are the key to the University's approach to goal attainment, quality assurance and promotion and risk management. Regular monitoring and reviewing are vital steps in the cycle of continuous quality improvement (a principle of the *Quality Promotion Policy*). This cycle is dependent on mutual accountability and interactive exchanges among institutional leaders (on executive, faculty/divisional and deliberative forums). As stated in par. 1.9.5.1 of the policy, an institutional template⁸¹ is utilised as a guide for the structuring of the annual reports of all faculties and divisions. There are earmarked sections on strategic planning and on quality assurance and promotion. The draft *QPP* proposes annual reviewing and reporting on the quality of the core functions to the SQC. A proposal that the sections relating to strategic planning progress, as well as quality assurance and promotion (extracted from the annual reports of all faculties and divisions), need to serve at a number of relevant institutional forums will be debated by the SQC in 2009. Stemming from this proposal, an overall institutional report containing trends, strengths (elements of good practice), possible challenges and lessons learned needs to be compiled by DIPQP on an annual basis and submitted to relevant forums for deliberation and appropriate executive action.

⁸⁰ SQC Charter.

⁸¹ Template for annual reports.

2.4.2.6 Programme Working Group (PWG)

Quality assurance and academic planning of subsidised and non-subsidised learning programmes, which is proposed by faculties for approval by Senate, is done by SENEX, on advice of the Programme Working Group (PWG).⁸² This practice is aligned with the guidelines for the online submission of new programmes to the HEQC (consult chapter 4). The Faculty Quality Coordinator of each faculty serves on the PWG, chaired by the Co-ordinator: Academic Quality (currently vacant) in the Unit for Quality Promotion, supported by the SubUnit for Programme and Curriculum Development (both in DIPQP). This institutional programme-approval route is sometimes belaboured by urgent faculty requests (based upon acute market needs) for speedy approval of non-subsidised programme proposals. In the latter case, MECA is utilised as the initial approval authority, although SENEX (on advice of the PWG) will always have the right to interrogate and review initial approvals.

2.4.2.7 Division for Institutional Planning and Quality Promotion (DIPQP)

In February 2008 the OIE was restructured into the Division for Institutional Planning and Quality Promotion (DIPQP). The two units of the division, namely the *Unit for Quality Promotion* and the *Unit for Institutional and Strategic Planning*, collaborate in their efforts to facilitate and coordinate the implementation of the *Quality Promotion Policy* and *QPP: 2010-2015*. Various key foci of the *QPP*, including institutional research projects and surveys, the provision of credible information, the interpretation and modelling of information to establish useful intelligence, thematic reviews, quality conferences, capacity-building workshops and forums, student quality literacy initiatives, annual monitoring and review practices (linked to reporting on trends), and especially the institution-wide system of self-evaluation and peer review, emphasise the crucial supportive role of the division. A lack of internal capacity (relating to some of the latter functions), uncertainty about the nature and placement of management information and concerns about institutional data integrity are the main challenges that have to be addressed in order to enhance the effectiveness of this key quality assurance and promotion division.

2.4.2.8 Regular reviews of the UJ Quality System

A self-evaluation of the UJ Council and Senate (and their subcommittees) was conducted in 2007. Evidence in this regard includes a performance-review report on MEC corporate-governance responsibilities,⁸³ as well as an electronic questionnaire for individual input by the membership concerned (www.keysurvey.com/survey/232774/7e910b27/). One of the outcomes of this review was a decision to terminate the SAPQC and to establish a SQC. This review process of institutional committees (inclusive of the SRC) will be continued in 2008 and beyond under the auspices of Council's Audit Committee.

Reviews of quality structures at faculty and divisional levels will be conducted as stipulated in the *QPP*, i.e. at least once every six years. This process still needs to be aligned to several review initiatives by the MEC (regular portfolio reviews and VC communiqués, consult Section 1.10.2); the ELG (biannual strategic goals and thrusts progress, consult Section 1.10.3); the institution in general (several VC, Registrar and HEDA-based reports, consult Section 1.10.4) and a plethora of institutional performance-evaluation mechanisms (consult Section 1.10.5).

⁸² PWG charter.

⁸³ *Performance Review on MEC Corporate Governance Responsibilities* (20 October 2007).

2.5 SELF-REFLECTION

2.5.1 ALIGNMENT OF QUALITY MANAGEMENT WITH THE UJ'S MISSION AND STRATEGIC GOALS

The *UJ Quality Promotion Policy* and the (to be approved) *QPP: 2010-2015* are clearly aligned with the University's *Mission* and *Strategic Plan*. This is evident, among other aspects, in UJ's notion of quality as continuous improvement (stated in par. 4.4 of the policy): "*Quality is not seen as an objective in itself, but is aimed at the identification and addressing of gaps to assure a continuous and integrated cycle of planning action, monitoring, review and improvement with a view to effecting improvements*".

The very first statement made in the UJ's *Mission* is the following: "*We are committed to quality education*". The *Strategic Plan* reflects the University's commitment to quality management effectiveness and efficiency (via Strategic Goal 6: *Institutional effectiveness and efficiency*), while the first phrase of Strategic Goal 2 reads as follows: "*To promote and sustain excellence in teaching and learning by quality assurance practices...*". However, it is also the intention of the institution to continually demonstrate to its stakeholders (internal and external) that its *Mission* and its Strategic Goals are not empty promises. The various institutional-reporting and performance-evaluation mechanisms (as unpacked in Sections 1.10 and 2.4.2.8) are concrete examples of linkages between strategic planning and quality management.

2.5.2 QUALITY-RESOURCING LINKAGES AT VARIOUS LEVELS

The *QPP: 2010-2015* has resource re-alignment and allocation implications. The plan affords faculties and divisions relatively sufficient time to craft their own three-year rolling plans, budget accordingly and review their plans for the ensuing three years. At institutional level, financial resources for quality issues are not generally earmarked as such, but are integrated with the relevant core function or support for the core function (consult Section 1.9.1). In future, it would become necessary to earmark resources for the implementation of the institutional and faculty-specific quality promotion plans. This is a positive notion that will, of course, strengthen vital quality-resourcing linkages at various institutional levels.

2.5.3 CONCERNS TO BE ADDRESSED FOR QPP: 2010-2015 TO BE IMPLEMENTED

It is foreseen that institutional opportunities will be created as of 2010 by means of which the outcomes and especially institutional trends forthcoming from academic and service reviews will be exposed more widely to University forums (e.g. regular quality symposia and workshops, joint meetings of several Senate committees, undergraduate and postgraduate student and lecturer dialogue forums, etc). These envisaged forums will also be able to consider thematic reviews of and trends stemming from, for example, external examiner reports, reports from professional bodies, student entry and throughput profiles, qualification profiles, employability of graduates and diplomates, etc. These deliberative processes may constructively

contribute to the development of annual or even biannual institutional *Quality Improvement Plans*, enabling general trends and lessons from one area of the University to be shared elsewhere. This “future music” is, however, entirely dependent upon the successful implementation of the *QPP*, and at least four institutional quality-related concerns should be addressed in the near future. These concerns relate to the following:

- a) New quality structures should be afforded time to become established. In faculties and divisions, time should also be allowed for the alignment of current quality structures with the *UJ Quality Promotion Policy*.
- b) Reviews and surveys are typically followed by several reports and presentations on the findings, discussions of recommendations with relevant stakeholders and the drafting and implementation of so-called improvement plans. The latter pivotal “closing the loop” action is currently an area of concern, as it is either extraordinarily time-consuming or sometimes not adequately attended to. MECA, MECO and the SQC need to play a stronger monitoring and reviewing role in this regard.
- c) Retaining existing and attracting new quality promotion, as well as teaching and learning support staff (especially in DIPQP and the ADS), should be a strategic thrust over the next three to four years.
- d) A lack of consistency of practice across faculties and divisions with regard to the implementation of approved policies and plans is experienced. Monitoring and review systems (at all levels) need to be implemented.

2.6 CONCLUSION IN TERMS OF AUDIT CRITERION 2

In this final section of the chapter, institutional progress made (or the lack thereof) towards meeting the requirements of Audit Criterion 2 is reflected upon.

Criterion 2:

Objectives and mechanisms for quality management are integrated into institutional planning. Financial planning ensures adequate resource allocation for the development, improvement and monitoring of quality in the core activities of teaching and learning, research and community engagement.

Over a period of just more than four years the “new” University has done well to address the challenge of establishing a single institutional quality management system. The system is geared towards (vertically) all levels of management, i.e. institutional, campuses, faculties, as well as development, service and support units; and (horizontally) towards all focus areas relating to the institutional core functions and the support thereof. The system is (as of 2009) guided by a recently approved *Quality Promotion Policy* and an all-encompassing *Quality Promotion Plan* (the latter still has to gain the final nod of institutional approval). The quality system has been developed and paced in tandem with the realising of the institutional *Mission* and *Strategic Goals*, and institutional research and subsequent planning goals are

integrated into it. It is also supported by an extensive network of interrelated institutional policies, strategies and regulations.

The system, exemplified by the abovementioned key documents and supportive measures, contains all the elements needed in striving to comply with Audit Criterion 2. The quality plan until 2015 (which needs to be complemented by faculty and division-specific prototypes) envisages the incorporation of shorter-term quality management objectives and longer-term goals relating to core institutional functions, makes provision for resource budgeting and allocation on various levels, and integrates various regular monitoring and review mechanisms as part of a continuous cycle of institutional improvement.

However, even if a sound quality management system has been crafted, the institution does not yet display the trademark of an exemplary quality ethos. The University's concept of quality is articulated as the desire for continuous improvement, or in the words of the *Quality Promotion Policy*: "...to assure a continuous and integrated cycle of planning, action, monitoring and review... with a view to effecting improvement."

Numerous Senate and Council committees have a formal, though diverse, responsibility for quality assurance and promotion, especially with regard to academic quality (the institutional core functions). However, taking into account the limited time for sufficient impact of the abovementioned quality developments, it might be reasonable to assume that limited shared understanding of the quality concept (as described above), as well as the responsibility and authority for its assurance and promotion, is probably prevalent among a number of the institutional, faculty and divisional committees.

One reason could be general confusion about quality-related jargon among (especially academic) staff – a phenomenon that has time and again surfaced worldwide in the articles by several authors on quality promotion in HE. A second, even more compelling reason relates to the University's bold decision to move away from a *reactive* ethos (where quality challenges and demands are mostly reacted to, and not necessarily engaged with) towards a *responsive* quality ethos (where quality challenges and demands will be used to review practices and to establish pro-active improvement agendas).

The eager implementation of the *Quality Promotion Policy* and *Plan* (by one and all) will be a giant step towards a shared appreciation of an institutional quality ethos and thus compliance with the elements of Audit Criterion 2. Indicators of the latter ethos are already to be found in several "pockets" of the institution, and perhaps the *towards (quality in) unity* ideal of the underlying institutional audit theme may be realised in just a few more years.



CHAPTER 3

Teaching, Learning and Assessment

HEQC CRITERIA 3, 11, 12, 13 and 14

CRITERION 3

The arrangements for the quality assurance of, and support for, teaching and learning enhance quality and allow for its continuous monitoring.

Examples

- (i) An academic planning framework that articulates well with the institutional mission and strategic goals, and is adequately resourced.
- (ii) Quality management systems and initiatives for teaching and learning at both undergraduate and postgraduate levels.
- (iii) Key quality improvement priorities with regard to teaching and learning with appropriate resources, time frames and indicators of success.
- (iv) Ongoing discussions and initiatives on new approaches to and innovations in teaching and learning.
- (v) Staff development policies and strategies that promote the professional competence of academic staff and give particular attention to the development needs of new personnel.
- (vi) Mechanisms which promote access to students from previously disadvantaged groups, for example through the provision of academic development programmes.
- (vii) A system that stores and updates relevant student information in order to inform policy, planning, implementation and review of teaching and learning.
- (viii) Regular review of the effectiveness of systems of quality assurance and support of teaching and learning.

CRITERION 11

The institution has an assessment policy and clear and effective procedures for its implementation. The policy and its procedures ensure academic and professional standards in the design, approval, implementation and review of assessment strategies for programmes and modules, and for the qualifications awarded by the institution.

Examples

- (i) Institutional/faculty/professional rules and regulations governing assessment. These include the following: assessment procedures; provision of timeous feedback to students; weighting of class marks and examinations; security procedures; disciplinary and appeals procedures; regulations for marking, grading, aegrotats, supplementary examinations, condoned passes, etc.
- (ii) Responsibility allocated for the implementation of institutional assessment policy to faculties and departments/schools. Implementation is monitored at different institutional levels.
- (iii) Assessment procedures for distance learning programmes which are appropriate for the delivery mode and the circumstances in which the programmes are offered. With regard to work-based learning, procedures whereby academics as well as workplace-based assessors (e.g. mentors and/or supervisors) provide input into assessment.

- (iv) Procedures to ensure that academic staff responsible for official decisions on assessment are experienced and competent to assess, and appropriately trained. Development opportunities exist for teaching staff to improve and professionalise their assessment practices.
- (v) Regular review of the effectiveness of assessment policies, strategies and practices.

CRITERION 12

The institution has effective procedures that facilitate the quality of the internal and external moderation of its assessment procedures and results, in order to ensure their reliability, as well as the integrity of the qualifications it awards.

Examples

- (i) Procedures that regulate internal moderation in order to provide a reliability check on the marking process, and to provide developmental feedback to students and to staff on their assessment practices.
- (ii) Procedures that regulate external moderation, which include the following:
 - Criteria for the appointment of moderators;
 - Information provided to moderators on the curriculum, assessment procedures, etc. of the programme;
 - Guidelines on the standards of achievement required of students in the programme;
 - Format for and handling of moderator reports;
 - Adjustment of marks by moderators; and
 - Approval of final mark lists.
- (iii) Regular review of the effectiveness of arrangements for the quality assurance, development and monitoring of postgraduate education.

CRITERION 13

The principles, procedures and practices of assessment are explicit, fair and consistently applied throughout the institution. Security arrangements for recording and documenting assessment data are in place to ensure the credibility of outcomes.

Examples

- (i) Institutional/faculty/professional regulations and rules to ensure the explicitness, rigour, fairness and consistency of assessment procedures and practices.
- (ii) Regulations and rules governing assessment that are clearly communicated to students, staff and other relevant stakeholders. This includes information and guidance to students on:
 - their rights and responsibilities regarding assessment processes;
 - student appeals procedures that are fair, effective and timeous;
 - adequate security measures for the recording, documenting and storing of assessment data to ensure the credibility of outcomes.
- (iii) Regular review of the:
 - explicitness, fairness and consistency of application of the principles, procedures and practices of assessment; and
 - security arrangements for recording and documenting assessment data.

CRITERION 14

The institution has an RPL policy and effective procedures for recognising prior learning and assessing current competence.

Examples

- (i) Institutional policy to support access, through RPL measures.
- (ii) Effective procedures stipulated for RPL. This includes the identification, documentation, assessment, evaluation and transcription of prior learning against specified learning outcomes, so that it can articulate with current academic programmes and qualifications.
- (iii) Assessment instruments designed for RPL and implemented in accordance with the institution's policies on fair and transparent assessment.

3. TEACHING, LEARNING AND ASSESSMENT

3.1 OVERVIEW OF THE CHAPTER

Chapter 3 covers the core functions of teaching, learning and assessment (TLA), the support thereof, as well as quality assurance arrangements for TLA at the UJ. The following criteria in the HEQC Institutional Audit Manual are addressed explicitly: 3, 11, 12, 13 and 14.

The contents of this chapter are structured in the following way:

- A general overview of the historical context is provided, followed by the University's strategic intent with TLA.
- The various criteria are addressed (in numerical order).

The discussion of each criterion is followed by critical self-reflection in terms of the examples in the relevant criterion.

At the end of the chapter, a conclusion is provided as an interpretation of what the University has achieved and an identification of what requires further attention or improvement.

Each criterion is provided in a border under the subheading. The examples are regarded as an analysis of the criterion (see criteria and examples on the previous pages of this chapter) and therefore guide the reflection at the end of the chapter.

3.2 HISTORICAL CONTEXT

The University offers a mixture of general formative, career-focused and professional programmes with different focuses on teaching, learning and assessment, all under one institutional roof. The merger brought together two suites of existing programmes that mostly complement one another, but partially overlap in other instances.

Initially, inherited campus-specific TLA policies were applied. Key concepts were interpreted differently, and various practices existed. This caused much tension directly after the merger. The urgent need for new UJ policies on teaching, learning and assessment resulted in the development of a network of academic policies and strategies on teaching, learning and assessment. A single set of institutional TLA policies was an important step towards improved institutional unity, i.e. increasing alignment with the Strategic Goals of the University.

3.3 STRATEGIC INTENT: TEACHING, LEARNING AND ASSESSMENT

The University states the following values in its *Strategic Plan*:

Partnerships with communities;

Supporting access to a wide spectrum of academic and technological teaching, learning and research; and

Leading, challenging, creating and exploring knowledge.

In the *UJ Strategic Plan*,⁸⁴ the University states as a Strategic Goal: To promote and sustain excellence in teaching and learning through quality assurance practices and by actively developing and implementing cutting-edge teaching, learning and assessment strategies.

The University identifies Strategic Thrusts for each year (consult Chapter 1 in this regard). The Strategic Thrusts for 2007 to 2009 reflect TLA. A *Teaching and Learning Strategy* has been developed and the proposed Senate Committee for Teaching and Learning will take up its responsibilities in February 2009 (see 3.4.4). Another achievement in this regard is the establishment of the VC's Distinguished Award for Teaching Excellence (three awards).⁸⁵ The first award winners were announced towards the end of 2008.

To implement the *Strategic Plan* in the TLA context, the following policies, regulations, guidelines, etc.⁸⁶ were developed and approved (unless stated differently):

- (i) Academic Programme Policy
- (ii) Academic Regulations for 2008 and 2009
- (iii) Assessment Policy
- (iv) Faculty Rules and Regulations
- (v) Guidelines Regarding Examination Transgressions for Written and Practical Summative Assessment Opportunities
- (vi) Higher Degrees and Postgraduate Studies Policy
- (vii) Interim Teaching Evaluation for Promotion Purposes Framework
- (viii) Management of Assessment Results Policy
- (ix) Policy on People with Disabilities
- (x) Policy on Plagiarism
- (xi) Policy: Learning Support Materials
- (xii) Policy: Teaching and Learning
- (xiii) Quality Promotion Policy
- (xiv) RPL Policy
- (xv) Rules of Assessment and Invigilation
- (xvi) Student Regulations
- (xvii) Teaching and Learning Strategy
- (xviii) UJ Regulations for Student Discipline
- (xix) Work Integrated Learning and Service Learning Policy.

⁸⁴ *UJ Strategic Plan*.

⁸⁵ *Vice Chancellor's Distinguished Award for Teacher Excellence*.

⁸⁶ TLA policies.

3.4 QUALITY ASSURANCE OF AND SUPPORT FOR TLA

Criterion 3: The arrangements for quality assurance of, and support for, teaching and learning enhance quality and allow for its continuous monitoring.

This criterion is discussed by referring to the various aspects as identified in the examples, and the subheadings are derived from the examples.

3.4.1 ACADEMIC PLANNING

At faculty level, academic planning takes place at departmental and at faculty level and is part of the Executive Deans performance appraisal. Academic plans have to be approved by the faculty board. The Executive Deans submit faculty plans to the DVC: Academic and also report on the implementation of academic plans to the DVC. The broad implementation of the academic aspects of the *Strategic Plan* lies within the brief of the DVC: Academic, in consultation with the Executive Deans, e.g. enrolment planning and management and the introduction of new programmes. It therefore is also part of the regular performance appraisal of the DVC and the Executive Deans. Such implementation is subject to regular critical scrutiny and renewed planning.

Academic planning has now been further strengthened through the appointment of a Director: Academic Planning and Policy Implementation. This brings in additional academic management capacity to deal with the multiplicity of academic issues that arise in a complex institution of this kind. Among these are curriculum and programme planning matters that relate to the merger of a university and a former technikon, and new national policy demands such as the implementation of the HEQF.

At institutional level, Council, Senate and the MEC serve as planning fora. The MEC signs off the annual Strategic Thrusts (i.e. implementation, reporting and accountability), while Senate is responsible for academic strategic-planning matters. Council is ultimately responsible for all strategic matters (academic and operational).

The ELG was established to assist the VC with short and medium-term planning. It consists of members of the MEC, the nine Executive Deans and the eleven Executive Directors. Two meetings are scheduled (as part of a cyclic planning practice), namely:

During the first breakaway (usually in August), all the members report on their portfolios, focusing on achievement gaps, risks and strategic priorities for the next year, including resource implications. The Strategic Thrusts for the ensuing year are verified and refined. They inform the budget, and financial priorities for inclusion in the budget for the ensuing year are determined.

At the beginning of the next year (usually January), the ELG focuses on selected core matters relating to the core functions, research initiatives, change management, etc.

In addition to the strategic breakaways, the ELG also provides leadership empowerment opportunities, e.g. operational and strategic management skills, health and wellness matters, etc.

The impetus of this University-wide planning is from the MEC, via the Executive Deans to the faculties – a top-down (but still inclusive) process, part of which entails the allocation of resources.

A subcommittee of the MEC that deals with academic matters and where all Executive Deans are represented namely MECA, together with the PVC, the DVC: Academic and the DVC: Research, offers structured opportunities for coherent academic planning. At the same level, an MEC subcommittee for development, service and support divisions, namely MECO, addresses planning matters.

At the same time, another planning impetus originates in the faculties and culminates in Senate approval – in this case, a bottom-up process. Much programme-specific academic planning takes place at various levels in the faculties and generally involves teaching staff.

3.4.2 QUALITY MANAGEMENT OF TEACHING, LEARNING AND ASSESSMENT

This section should be read in conjunction with Chapter 2 on quality management, with special reference to the establishment of a quality system (i.e. par. 2.4).

The descriptor to Strategic Goal 2 on excellence in teaching and learning states the University's commitment *(to) promote and sustain excellence in teaching and learning by quality assurance practices...* The University respectfully contends that it has taken significant steps to illustrate that it is serious about this commitment.

Faculties had to establish programme quality structures when the programme reviews were conducted (from 2006 – 2007). The *Quality Promotion Policy*⁸⁷ stipulates that quality is the responsibility of staff members closest to the activity, making all lecturers responsible. Faculties and divisions responsible for TLA are allowed to develop their own quality management structures (aligned with the policy). They are also responsible for the development, implementation and reviewing of their own *Quality Promotion Plan*, aligned with the draft *Quality Promotion Plan: 2010 – 2015*⁸⁸ (see Chapter 2 for more details). The *Quality Promotion Plan* stipulates that regular reviewing of TLA and modules should be planned and managed at faculty level.

Regular institutional surveys on student experience that includes TLA at undergraduate and postgraduate levels are conducted. (See the draft *Quality*

⁸⁷ *Quality Promotion Policy*.

⁸⁸ *Quality Promotion Plan: 2010 – 2015*.

Promotion Plan for details on the management of regular institutional surveys). The first report on the undergraduate student survey,⁸⁹ disseminated in 2007, was discussed at the then SAPQC and at MECA and MECO (in the absence of a Senate teaching and learning committee).

The report also provided faculty-specific data on a variety of TLA aspects such as lecturing time, learning outcomes, assessment, language proficiency of the lecturers, etc. The identified lack of access to computers and the Internet on the various campuses has been addressed (see Chapter 5, General Administration for more details). A similar survey on postgraduate experience will be conducted in 2009.

At faculty level, the quality management of teaching and learning takes place via the committee system. With two exceptions, all faculties have instituted a Quality Committee. In these two faculties, quality is centrally managed via the Dean's Committee. The focus of Faculty Quality Committees tends to be on the undergraduate programme, as most faculties also have a Research and/or Higher Degrees Committee and/or Research Ethics Committee that focus on the quality of postgraduate programmes. In addition, many faculties have appointed a Faculty Quality Co-ordinator (often a Vice-Dean), and in some cases, the duties of such an individual have been mapped out in detail (examples from the Faculties of Art, Design and Architecture, Education and Health Sciences are available in the Evidence Room).⁹⁰

At faculty level, effective quality management of TLA is based on a framework of institutional and faculty TLA policies and procedures. Institutional policies have been developed, and faculty policies are in the process of being developed, aligned and approved. At institutional level, the quality of teaching and learning was overseen by two Senate committees: the abovementioned Senate Higher Degrees Committee, and the Senate Academic Planning and Quality Committee (SAPQC), and ultimately by Senate. After a formal review of Senate and Senate committees in 2007,⁹¹ Senate approved a proposal to replace the SAPQC with the Senate Quality Committee (SQC) (in 2008), which is dedicated to the quality management of the core functions across faculties, divisions and campuses.

An important quality management mechanism (at institutional level) is the development of the *UJ Guidelines for Teaching and Module Evaluation*. The *Interim Teaching Evaluation Framework 2008* was approved by Senate as an interim measure for promotion and development purposes only, and consisted of a number of core questions. The newly developed *Guidelines for Teaching and Module Evaluation*, to be implemented in 2009, addresses core institutional TLA matters, as well as faculty/discipline-specific TLA matters (e.g. technology-assisted learning, practicals, WIL and SL). Module evaluation is also based on core and module-specific matters (see Teaching Evaluation questionnaire bank and Module Evaluation questionnaire bank⁹² in the Evidence Room). A flexible, criterion-based approach that integrates discipline and higher education practice perspectives was adopted. Based

⁸⁹ Report: *UJ Student Experience Survey 2007*.

⁹⁰ Details of Faculty Quality Coordinators.

⁹¹ Review reports.

⁹² TE and ME questionnaire banks.

on the questionnaire banks, questionnaires are developed to collect information by means of self-reflection, internal and external peer reviews and feedback from students.

3.4.3 QUALITY IMPROVEMENT PRIORITIES

At the beginning of 2008, attention was paid to a broader approach to teaching and learning, resulting in the *Teaching and Learning Strategy*, to be implemented in 2009 (see 3.4.4).

Ongoing improvement in student degree-credit success rates and graduation rates, with the goal of achieving the DoE benchmarks, is considered a priority at the UJ, and there has indeed been an annual improvement in degree-credit success rates for the past two years.⁹³ The University determines annual university-wide targets for improvement in success rates, and faculties measure their own rates against these norms. Most faculties report on processes of considering examination results and identifying modules where students are performing poorly. These targets are factored in to the performance contracts of the DVC: Academic, and the Executive Deans. For instance, a KPI in the 2008 performance contract of the DVC: Academic specifies: 'Ensure that ½% – 1% improvement in student success rates, throughput rates and graduation rates is achieved'.

The Executive Deans' Annual Reports give some indication of the methods for addressing unsatisfactory throughput rates. Some of these interventions are funded from faculty budgets and others by the Division for Academic Development and Support (ADS). Several faculties are undertaking this type of work in conjunction with staff from ADS, for instance, the Faculties of Management, Economic and Financial Sciences, Humanities, and Art, Design and Architecture.

Similarly, the *Dashboard* version of the *UJ Strategic Plan* unpacks Goal 2: *Excellence in Teaching and Learning*, as follows:

20% weighting for learning excellence (measured in terms of degree-credit success rates and graduates);

20% for teaching excellence;

20% for relevance/impact of programmes (measured in terms of employability);

20% for lifelong learning (participation in non-subsidised programmes and qualifications other than first qualifications); and

20% for quality of academic staff (measured in terms of staff qualifications). This is also intended to include and weight the quality of programme offerings, and the effectiveness of academic student-development initiatives.

⁹³ Cronje, M (15/04/2008): *Enrolment and Student Progress Report*, University of Johannesburg.

Over the next few years, the intention is to develop a systematic and streamlined approach to the quality improvement of teaching and learning, where faculties prioritise and draw on the expertise and resources available via ADS in structured ways.

3.4.4 TEACHING AND LEARNING STRATEGY

The *Teaching and Learning Strategy*, approved by Senate in December 2008 for immediate implementation, is one highly visible outcome of the renewed strategic focus on teaching, learning and assessment in 2008.

The *UJ Policy: Teaching and Learning*, approved in 2006, included the following principles:

- The promotion of deep and meaningful learning
- The fostering of independent and lifelong learning
- The development of teaching competence
- A flexible approach to teaching and learning
- An outcomes-based approach
- The utilisation of information and communication technologies
- Experiential learning as an integral part of some professional and career-focused programmes.

The *Teaching and Learning Strategy* was developed during 2008 by a Senate task team, which produced a number of framework documents, including – importantly – a position paper presenting the underpinning teaching philosophy, namely “*learning to be*”. The *Strategy*, aligned with the Strategic Goals, identifies seven objectives with performance indicators, implementation strategies, responsibilities and timeframes, namely:

- Roll out the *learning to be* philosophy
- Improve student access, retention and graduation rates
- Enhance the professionalism of teaching staff
- Improve the student learning environment and provision of facilities and services, both within and beyond the classroom
- Promote and cater for student diversity on campus
- Curriculate citizenship in all qualifications
- Establish a postgraduate centre to make the UJ a preferred environment for postgraduate studies (consult Chapter 6 for more details).

It should be noted that many associated initiatives are already being rolled out in the various faculties and by the Division for Academic Development and Support. They will be given greater coherence and prominence through the *Strategy*.

Senate also approved the establishment of a Senate Teaching and Learning Committee (STLC), to be chaired by the DVC: Academic. At its first meeting, this

Committee set up initial implementation strategies for 2009, and beyond. These will be managed largely through subcommittees, which are required to report back regularly to the STLC, and through this Committee to Senate. Several of these subcommittees have already met and commenced their work.

- (i) A task team headed by the Dean of Education has developed a plan (approved by the MEC) for the implementation of the new *Teaching Philosophy* which envisages an iterative approach through, academic departments and ADS to build capacity and in-depth understanding.
- (ii) An ICT Subcommittee under the leadership of the DVC: Academic will be seeking to cater for the rapidly increasing numbers of 'digital natives' among UJ students, and will provide an interface between the academic domain and IT, to allow for input from the academic sector into planning, resourcing, etc.
- (iii) A Staff Development Subcommittee is tasked with producing a plan for the enhanced roll-out of professional academic staff.
- (iv) The First Year Experience Subcommittee has made substantial progress with a policy document for Senate approval, while at the same time planning for implementation from the start of 2010.
- (v) Finally, a Learning Spaces Subcommittee is to provide an interface between the academic domain and long-term space planning, and will make recommendations concerning the space needs for learning undertaken both within and outside classrooms.

Other initiatives are being taken forward as follows: the proposed Citizenship module by the DVC Academic and the Dean of Humanities, the Staff Qualifications Project by CPASD, the Postgraduate Centre by the Research Office.

3.4.5 OTHER INITIATIVES

Another initiative in this regard is the focus on the first-year experience⁹⁴ that emerged from Project Mpumelelo.⁹⁵ It is an overarching innovation emerging from the Centre for Academic Development and Support that seeks to contribute to improved retention and throughput by building closer relationships with faculties. Consult 5.4.3 for more information.

All faculties report ongoing discussions on teaching and learning issues. These discussions range from informal corridor talk via departmental committees to formal presentations and proposals at Faculty Board level. A formal approach to such discussions at faculty level is needed. In-house teaching and learning conferences such as the one held on 30 October 2008⁹⁶ should contribute to ongoing discussions of new approaches and innovations.

⁹⁴ First Year Experience Project.

⁹⁵ Project Mpumelo.

⁹⁶ Program of UJ Conference on Teaching and Learning (30 October 2008).

Regular surveys on TLA should be conducted as part of an ongoing improvement approach to the quality of TLA. In 2007, the *UJ Student Experience Survey* (see Chapter 8) was disseminated. The post-graduate survey should be conducted during alternative years.

The faculties and divisions presented their improvement plans (in response to the abovementioned survey) to their respective MEC subcommittees, i.e. MECA (for faculties) and MECO (for the divisions). The survey reports on TLA should in future (also) serve at the Senate committee for TLA, as well as improvement plans and progress reports. The alignment of responsibilities of the SQC and the newly established teaching and learning committee has to be addressed (see the Charters for these two committees).

3.4.6 STAFF DEVELOPMENT POLICIES AND STRATEGIES

The professional development of academic staff was also included as one of the themes of the *Teaching and Learning Strategy*, i.e. continuing academic staff development. A (draft) framework document on *Professional Academic Staff Development*⁹⁷ was finalised recently and will become part of the *Teaching and Learning Strategy*. The framework document is likely to include the following components: a compulsory academic preparation programme (for staff new to HE); an academic leadership programme; and ongoing development of teaching and learning expertise. In addition, the Centre will run comprehensive teaching evaluation (by both students and peers), while the Division for Academic Development and Support focuses on the development of academic members' teaching skills.

A *Teaching Evaluation: Interim Framework for Promotion Applications, 2008*⁹⁸ will be implemented until the new *Teaching and Module Evaluation Guidelines* have been approved. Both documents include the evaluation of teaching by students and HoDs, and self-reflection by the applicant.

Clearly, teaching evaluation also plays an important developmental role, and all staff will be required to have their teaching evaluated by students every second year. At the same time, all teaching staff will be encouraged to develop a self-reflective teaching portfolio, primarily as a developmental tool.

Opportunities for academic staff development and support⁹⁹ are provided by a number of support divisions and units, namely:

The Division for Academic Development and Support, i.e. the Centre for Professional Academic Staff Development (CPASD)

The Centre for Technology-Assisted Learning (CenTAL)

The Centre for Psychological Services and Career Development (PsyCaD)

The Centre for Academic Development (ADC)

⁹⁷ *Framework for Academic Staff Professional Development.*

⁹⁸ *Interim Framework for Promotion Applications (2008).*

⁹⁹ Schedules, programmes, etc. of development opportunities for 2009.

The UJ Library and Information Centre (UJLIC)

The Subunit for Programme and Curriculum Development (in the Unit for Quality Promotion).

Consult Chapter 6 for more information on the kinds of services provided.

The VC's *Distinguished Award for Teaching Excellence* has been established, and the first awards were made in 2008. The goals of this award include the recognition of and award for outstanding contributions that individual academics have made to the promotion of teaching excellence. Three awards of R50 000 per annum per person over three years are made each year in the three broad areas or disciplines, namely Humanities; Science and Engineering, and Economics, Management, Art and Design. This is an important mechanism to advance the status of teaching in the UJ.

Promotion and appointment criteria¹⁰⁰ for academic employees include teaching competence at all levels of appointment and promotion. In the case of appointments with professional rather than academic experience, evidence of teaching excellence should be produced during the 12-month probationary period and prior to the ratification of a permanent appointment.

3.4.7 MECHANISMS TO PROMOTE ACCESS

The discussion below refers to the following list of policies:¹⁰¹

Academic Programme Policy

General Admission

RPL

Undergraduate Student Admission (implemented from 1 January 2009).

The above policies refer to the relevant mechanisms that rule and promote the access routes, as described below.

3.4.7.1 Admission

In the University, terminology is used as follows:

- The **Admission Policy** regulates and provides guidelines on access, admission and placement matters.

¹⁰⁰ Minimum appointment and promotion criteria for academic employees.

¹⁰¹ List of policies on UJ web and intranet.

- **Access** refers to the minimum statutory requirements to gain access to study at a university.
- **Admission** refers to the specific institution's faculty or programme-specific requirements for entry into such a programme.
- **Placement** refers to the enrolment of a student in a Senate approved programme that matches the applicant's skills level, competencies, prior knowledge, etc.
- **Placement tests** are psychometric, non-cognitive, competency-based or other instruments that are used to determine an applicant's competencies, skills, etc., for placement in a relevant programme.

The following institutional policies and plans on admission and placement-related matters¹⁰² are relevant to the discussion of the mechanisms that promote access:

- (i) Academic Programme Policy
- (ii) Admission of Students via Senate Discretionary Conditional Exemption
- (iii) Admission (valid until end 2008)
- (iv) Enrolment Management Plan
- (v) Recognition of Prior Learning
- (vi) Selection and Placement Tests
- (vii) Student Enrolment Centre
- (viii) Student Recruitment and Selection
- (ix) Undergraduate Student Admission (2009).

The biographic data of the applicants are captured centrally, after which the application is submitted to the relevant faculty for assessment of the applicant's compliance with the admission criteria. The *Policy on Student Recruitment and Selection* (approved on 22 October 2007) regulates and provides guidelines for the recruitment and selection of prospective students. Explicit selection criteria are determined for each academic programme by the relevant Faculty Board and approved by Senate.

Student applications and admissions are part of faculty responsibilities. With the establishment of the Student Enrolment Centre (reporting to the Registrar) student information, application, feedback, selection and admission functions will be centralised. The implementation of the *Enrolment Plan* for applications and admissions in 2010 has been introduced in 2009, while the online application system is operational from 1 April 2009.

The ITS Web Registration (online system) was piloted in 2008 and implemented in 2009. Approximately 15 000 students registered via the online system in 2009 and this will be fully implemented in 2010. The ITS is currently being upgraded (Integrator Upgrade), after which the Online Application Process will be fully implemented – meaning that applications can be received via the online ITS system. Consult the

¹⁰² Admission-related policies.

Management Report: Undergraduate Applications for a report on the process implemented from January to February 2009.¹⁰³

The *Admission Policy* (approved on 25 October 2006) specifies the minimum requirements for admission to the different types of qualifications/programmes, e.g. National Diplomas, Bachelor Programmes, etc.

The new *Undergraduate Admissions Policy* (approved on 18 June 2008) was developed on the basis of the promulgated requirements to admit NSC applicants. This UJ policy focuses on access, admission and placement matters for applicants holding the Senior Certificate or the National Senior Certificate that comes into effect from January 2009. Compliance with the rules of access does not give a candidate automatic right of admission to any programme of study. Other requirements such as the *UJ Enrolment Plan*, available infrastructure such as classrooms, laboratories, etc., relevant professional council/body requirements and specific faculty or departmental requirements should also be taken into consideration. In addition to the M-score (based on final matric results), one or more of the following may be required: language requirements, admission and placement tests, etc. The undergraduate admission requirements are reflected in the *Academic Regulations for 2009*.¹⁰⁴

The *Policy on the Admission of Students via Senate Discretionary Conditional Exemption* (approved 3 October 2007) addresses applicants who do not have matriculation exemption and/or do not meet the minimum faculty requirements. An admission and placement test (by the Centre for Psychological Services and Career Development) is usually required. On the strength of the recommendation, the Executive Dean takes the final decision on the admission of the applicant. At the first meeting following the applicant's first registration, the Dean requests discretionary exemption from the Senate. After this, the faculty applies on behalf of the student to the Matriculation Board for a certificate of conditional exemption. Senate-discretionary students following an extended programme may not change to another programme in the first year of study, and must complete all modules for which they are registered successfully. After passing a full academic year in the chosen programme, the faculty will apply for complete or conditional exemption on behalf of the student.

Selection and placement tests are used in conjunction with the applicant's results in the National Senior Certificate examinations. The tests are all classified by the Psychometrics Committee of the Professional Board of Psychology. They assess factors such as personality, intelligence and career orientation that are closely associated with student success in higher education. Additional competency-based tests are used for students who have written the National Senior Certificate examination and are used as additional selection or placement mechanisms.

On 25 October 2007, the University approved a policy on RPL to widen access, grant advanced placement and to facilitate mobility and progression within career paths and programmes at the UJ. Assessment and appeals procedures, role players, quality management of RPL, etc. are described.

¹⁰³ *Management Report: Undergraduate Application*.

¹⁰⁴ *Academic Regulations 2009*.

The University has formalised access and admissions as well as alternative access routes on the basis of alternative requirements, processes, mechanisms for general requirements, procedures, etc., and also specifically addresses the admission of students who do not qualify for admission and non-SA students, with proficiency in English being a requirement (consult the *UJ Language Policy* in the Evidence Room).

3.4.7.2 *Extended learning*

As an equal opportunities institution, the UJ is committed to supporting access to a wide spectrum of qualifications in the form of national diplomas as well as degrees. A number of extended curricula programmes offer alternative access to students who do not meet the prescribed entrance requirements for mainstream study. Some of these access routes have existed for several years and have matured from the former bridging and foundation programmes into the extended curricula that are currently supported by the DoE.⁴¹ In a letter dated 30/11/2006¹⁰⁵ the Minister of Education allocated additional new funds that have been earmarked for various purposes, including “supporting students to succeed”. This letter also lists the UJ’s extended curricula that have been approved by the DoE working group.

An extended curriculum offers a carefully considered combination of fully foundational modules and extended modules, where substantial foundational provisioning is combined with regular learning materials over a substantial period (a one-semester module can be ‘extended’ over two semesters, for example). As a result, students registering for an extended curriculum will spend at least one additional year in completing the qualification. They require and will acquire academic development credits in addition to the normal degree credits. At the UJ, extended programmes include a range of vocational, general formative and professional qualifications.

All extended curriculum programmes currently offered at the UJ are fully owned by faculties; students are selected and registered as faculty students in the extended curriculum concerned. All these extended curricula have been approved by Faculty Boards as well as Senate. As extended curricula (as opposed to foundation programmes), many of these qualifications were re-developed and officially approved in 2006 following changes in the DoE requirements for the funding of foundational provisioning, and were offered for the first time in 2007. All these qualifications are funded via a substantial DoE grant for foundational provisioning. Students who apply for admission to a national diploma or degree but do not meet the entrance requirements in terms of Matriculation Endorsement/Exemption or FET performance may be referred to the corresponding extended curriculum. An additional placement test to assess their suitability for higher education may also be required.

Quality assurance of the extended curricula is included in regular module and programme reviews, and is fully aligned with the regular programmes in terms of identical assessment practices and degree credit-generating examinations. Faculties allocate staff to teach the extended curricula, and as far as possible these will be

¹⁰⁵ DoE letter dated 30/11/2006.

faculty staff members. Several faculties have mandated the Academic Development Centre to manage the initial year of these curricula, but always under the authority of and in close collaboration with the faculty concerned. (The BSc extended qualifications, however, are managed fully by the Faculty of Science.) ADC staff members teach associated modules on academic literacy and learning development. ADC staff members also contribute to guiding and assisting faculty staff in the development of appropriate materials and in appropriate teaching pedagogies.

Many of these programmes were developed in 2006 and introduced for the first time in 2007. Table 3.1 provides data on students in the extended programmes in 2007 and 2008.

Table 3.1: Extended programmes headcount: 2007 and 2008

| FACULTY | 2007 | 2008 |
|---------------------------------------|--------------|--------------|
| Economic and Financial Sciences | 375 | 812 |
| Engineering and the Built Environment | 310 | 547 |
| Humanities | 146 | 321 |
| Management | 149 | 306 |
| Science | 162 | 213 |
| Institutional total | 1 142 | 2 199 |

The substantial increase in registrations between 2007 and 2008 should be noted, and in many cases, registrations have increased further in 2009. Increasing access for students from educationally disadvantaged schools brings with it the danger of the so-called revolving door phenomenon, which is a disservice to the student, the University, and eventually, the country. The UJ is sensitive to the danger of this phenomenon. After having explored the use of stand-alone bridging and foundation programmes with mixed results, the University has embraced the concept of extended programmes. While it is still early days, the University is quietly confident that this intervention will make a significant contribution to not only widening access, but doing so without compromising standards and experiencing a gratifying contribution to its graduate pool in future.¹⁰⁶

In conclusion, it should be mentioned that the University is significantly intensifying its marketing in the historically black suburbs, notably Soweto. Of course, this is linked to its high expectations of the future of the SWC. Future developments at the ERC are also expected to contribute to widening access to higher education from the communities predominantly served by that campus.

3.4.8 A STUDENT DATA SYSTEM

The University utilises the ITS (Integrated Tertiary Software) system to support academic student administration for all life-cycle processes (applications,

¹⁰⁶ Data on extended degree programmes.

registration, management of student records, management of assessment results and graduations). The lecturing and examination timetables are also captured on the ITS system.

Student data from the former VISTA, TWR and RAU were cloned into a single unified database in 2004. The UJ upgraded to ITS version 13 in 2006. Currently, a further upgrade to the ITS (Integrator) to provide the best quality support to both staff and students is being undertaken. Staff members are able to access information in various categories via the HEDA portal.

Currently, the Institutional Research function is located within the Unit for Institutional and Strategic Planning in the Division for Institutional Planning and Quality Promotion. Institutional Research collects data or information from internal and external sources, analyses the data and information and disseminates the results to stakeholders to support decision-making. Institutional Research makes use of HEDA data when extracting internal data. Requests for analyses are generally made by MEC members or Executive Deans, although also by other stakeholders (including committees and project teams). Main areas of activity include Enrolment Planning (e.g. enrolment trends, applications and admissions), Student Progress (e.g. cohort tracking) and Strategic Planning (e.g. information for the *Dashboard*). Some examples of other projects that involve Institutional Research include an investigation into issues on the APB campus (2005) and the Edulink review conducted in 2007. Institutional Research tends to disseminate information on an ad hoc basis (in response to requests), but some effort has been made to create regular reports on topical issues (e.g. weekly application and admission reports; and enrolment and student progress reports).

The Dean of the Faculty of Economic and Financial Sciences identified the need to embark on a project (Project Safenet) to proactively identify and support students who are failing one or more modules and are at risk of not completing their programme in the minimum time allowed.¹⁰⁷ A pre-pilot run was launched in the second semester of 2008 and included five first-year modules. Recommendations that the faculty embark on a full pilot project in 2009 also include references to the involvement of the ADS staff members, availability of tutors and the involvement of other faculties in the project.

3.4.9 REGULAR REVIEWING

Quality management systems at the UJ were established only recently and are still evolving. As a result, reviews of their effectiveness have yet to be undertaken. Provision is made for reviews of departments, programmes and policies at regular intervals, and this will include reviews of the associated quality assurance.

The merger provided the opportunity to build on experience from the former institutions and to assess optimum quality assurance systems for the new institution. Preparation for the institutional audit itself is serving as an important mechanism to

¹⁰⁷ *Project Safenet: Progress report.*

re-assess the appropriateness and efficacy of the quality assurance systems that have been and are being put in place (see Chapter 2 for more details).

3.4.10 SELF-REFLECTION

The following reflection on the University's performance is based on the preceding narratives and guided by the examples in the criterion:

3.4.10.1 Academic planning

The University has established a practice of academic (and strategic) planning with broad representation of top management structures down to Executive Deans and Directors. Council, Senate and the MEC are planning fora. (Consult Chapters 1 and 2 in this regard.)

Communication on and the alignment of planning and reporting processes at institutional and faculty levels need to be improved. Communication in and across faculties, divisions and across campuses needs to be improved. Such a framework should also serve to inform new deans and staff members responsible for planning at various levels – as a part of leadership capacity building.

3.4.10.2 Quality management system for TLA

The development of a number of TLA-related policies, e.g. the *Academic Programme Policy*, assessment policies, the *Policy on Teaching and Learning*, and finally, the *UJ Teaching and Learning Strategy* required elaborate consultations in the newly established University. This is quite an achievement if the comprehensive range of teaching and learning practices offered by the UJ is considered.

The TLA-related policies and strategies, together with the survey reports, should in future generate themes for further research, discussion, staff development initiatives, etc. Ad hoc innovations in teaching and learning can benefit both students and staff members, but need to be co-ordinated (see par. 3.4.4). This should be done from the Executive Director's office, in collaboration with the support units, including the Division for Academic Development and Support (with special reference to the Centre for PASD). The implementation of the strategy should be monitored by the newly established Teaching and Learning Committee and an impact study may be required. Senate is the overarching custodian of quality at the UJ. This responsibility is exercised via the Senate Quality Committee, chaired by the PVC, who reports directly to Senate.

Given the size and complexity of the institution, the establishment of a system for the quality assurance of TLA and learning support is quite an achievement. The system draws on a model that combines centralised provision with provision in the faculties and the site of delivery. Quality management of TLA is not an add-on, but is integrated in the functioning of the faculties. Each faculty makes provision for a dedicated standing Faculty Quality Committee or an explicit brief to oversee quality assurance in the faculty (see *Quality Promotion Policy* in this regard). Dedicated quality officers are appointed in the faculties.

The *Quality Promotion Plan* indicates that regular evaluation of teaching and learning should be done according to the *Academic Programme Policy*. The main purpose here is developmental and the evaluation at module level is supported by the Centre for Academic Staff Development in the Division for ADS. Results of these evaluations can therefore also feed directly into staff development initiatives at institutional and faculty levels. The quality of teaching and learning is therefore a faculty, academic departmental and individual responsibility, with institutional support. An annual report on teaching and learning evaluations is submitted to the Senate Teaching and Learning Committee. A copy is submitted to the SQC for noting. Senate is the overarching custodian of academic quality at the UJ. This responsibility is exercised via the Senate Quality Committee, chaired by the PVC, who reports directly to Senate.

Evidence of these regular evaluations is reflected in the self-evaluation and peer reviews of programmes and also of the quality system in the department when departmental self-evaluations and peer reviews are conducted. The Unit for Quality Promotion in the DIPQP supports ongoing quality assurance and monitoring in the faculties and departments. Arrangements for the self-evaluation of academic departments and non-teaching divisions and units are in place. The UJ is committed to and has devoted much thought and effort to establishing quality structures, policies, guidelines, etc. as well as support structures (e.g. Division for Academic Development and Support (ADS) and DIPQP). The following aspects, however, need attention:

The regular review of quality system and mechanisms is addressed in the *Quality Promotion Policy and Plan*. Discussions of the regular monitoring and reviews are provided in Chapters 2 and 4.

The following challenges in the TLA domain should be addressed:

- Monitoring of the alignment of faculty TLA policies with institutional TLA policies by the SQC (as part of Phase 1 of the Quality Promotion Plan).
- Monitoring the implementation of TLA policies. Responsibility in this regard, i.e. the SQC or the Senate Teaching and Learning Committee has to be addressed.
- Finalisation of the TLA evaluation instrument for full-scale implementation.
- Closer collaboration between the faculties and the relevant support units, especially at quality committee level.
- Clarifying the responsibilities of the SQC and the newly established Senate Teaching and Learning Committee, e.g. the responsibility for the improvement plans and progress reports following a survey on TLA.

3.4.10.3 Staff development policies and strategies

The groundwork for innovation in teaching and learning has been explored (see par. 3.4.5), but the Strategy and other policy-related documents should be finalised and approved as soon as possible. Support for the implementation of such a strategy should be provided by the Division for Academic Development and Support and other relevant support units. Alignment of these activities is important (see Chapter 6 in this regard).

The alignment of the responsibilities of the SQC and the newly established Senate Teaching and Learning Committee has to be addressed (see the charters for these two committees). The areas of responsibility must be clarified, e.g. the responsibility for the monitoring of improvement plans and progress reports in response to the institutional surveys on TLA.

The following aspects should also be addressed:

- The development of formal learning programmes (i.e. subsidised and/or non-subsidised) and other special projects (e.g. Junior Fellowships) for the development of academic staff members' professional competence
- The role of Teaching Award winners in the development of teaching competence in the University.

3.4.10.4 Student information system

A student data system is in place, as is described in 3.4.8 and also in Chapter 5 under Academic Administration. Please consult these sections for further information, as well as for a critical discussion of the system.

3.5 ASSESSMENT OF LEARNING

Criterion 11: The institution has an assessment policy and clear and effective implementation procedures in place. The policy and its procedures ensure academic and professional standards in the design, approval, implementation and review of assessment strategies for programmes and modules, and for the qualifications awarded by the institution.

3.5.1 A FRAMEWORK OF TEACHING, LEARNING AND ASSESSMENT POLICIES

As listed above, a number of assessment-related policies have been developed (see list of TLA policies, par. 3.3).

The *Assessment Policy* makes it clear that it applies to all subsidised and non-subsidised academic programmes, offered by all faculties and divisions across all campuses of the University, that lead to an academic certificate awarded by the University, and stipulates principles, prerequisites for assessment, assessment types, and assessment strategies. Formative and summative assessments are distinguished from each other, and a final summative assessment opportunity is the norm. This policy, which focuses mainly on undergraduate assessment of learning, is supplemented by faculty-specific assessment policies that address assessment at post-graduate level.

The *Rules of Assessment and Invigilation* provides a set of regulations that ensures thorough security and limitation of breaches in assessment and final assessment

arrangements. These rules apply to all academic employees in all faculties and academic support employees in the academic support divisions who are involved in assessment.

The *Management of Assessment Results Policy* was developed by means of a consultative process. This policy originated in a risk management requirement, laid down by the University's Audit Committee, according to which procedures must be initiated by faculties to ensure that final summative assessment results are calculated and reflected accurately. It focuses on the verification of results of final assessment or any assessment not returned to students, and spells out associated procedures and auditing strategies. It applies to all assessment-based subsidised and non-subsidised programmes that lead to an academic certificate awarded by the University, across all faculties, divisions and campuses.

Other policies, e.g. the *Policy on Teaching and Learning*, the *Policy: Learning Support Materials* and the *RPL Policy*, also have a bearing on assessment. In addition, the *Academic Regulations*, which are updated on an annual basis, also contain detailed regulations (derived from the various policies), pertaining to assessment.

A *Policy on Plagiarism* (approved 17 July 2008) acknowledges that plagiarism, a serious form of academic misconduct, is a complex matter and that issues such as poor referencing or the subtle use of unattributed ideas can be contested. Faculty, academic staff members', as well as students' responsibilities are listed.

Turnitin,¹⁰⁸ a service provided through Edulink, helps lecturers to identify and prevent plagiarism. Assignments, dissertations, etc. can be submitted by either the student or the lecturer to determine if the document or sections of it were plagiarised.

Policy documents are made available to all staff and students on the intranet, the UJ website, and via Edulink. Together they have created an institutional framework and understanding towards which faculties have aligned faculty policies and/or procedures in terms of faculty or discipline-specific needs. The policies and procedures produced by faculties and approved by Senate will allow the institution to progress towards the envisaged unified approach to assessment.

The value the institution places on assessment as contributing to learning, and on the effective management of assessment, is signalled by the following statement, taken from the Preamble to the *UJ Assessment Policy*: *The University of Johannesburg acknowledges that assessment constitutes a key element in its commitment to offering academic programmes that have international recognition as well as national legitimacy, credibility and well understood academic, professional and career-orientated outcomes. At the same time, assessment also forms an integral part of the learning process.*

The institutional understanding of assessment was strengthened by the encompassing *Programme Review* process (see Chapters 2 and 4), that drew on,

¹⁰⁸ Turnitin.

and made available to staff, the approach to assessment supported by the *HEQC Programme Criteria for Accreditation*.

3.5.2 IMPLEMENTATION OF INSTITUTIONAL POLICIES

Faculties must develop faculty-specific policies (when required by the institutional policy or by the unique faculty context). They are also responsible for the implementation of such policies. Implementation should be monitored by the faculty-specific committees responsible for TLA. At institutional level, the SQC and the newly established Senate Committee for Teaching and Learning should monitor the implementation.

The *Policy for Policy Development*¹⁰⁹ stipulates that all policies should be reviewed every six years – in addition to smaller amendments during that period.

3.5.3 ASSESSMENT OF DISTANCE LEARNING AND OF WIL

The references to distance learning are not applicable to the UJ.

As far as WIL is concerned, the *Work Integrated Learning and Service Learning Policy* (approved 17 July 2008) stipulates that monitoring and capturing of student progress are done in liaison with the facilitators, mentors and assessors both at the University and in the workplace. Advisory committees comprising the major stakeholders such as professional body members and representatives of the relevant commerce, industry and/or public sector provide input on aspects such as curriculum content, assessment, research and the identification of potential 'niche areas' (consult Appendix C to the policy for more information).

Chapter 4 also provides information on WIL from a programme perspective, while Chapter 7 addresses community engagement and strategic partnerships.

3.5.4 ASSESSOR TRAINING

Both the former RAU and TWR conducted assessor training programmes. The *Assessment Policy* stipulates that assessor training at the UJ should be done according to the (draft) *Framework for Professional Academic Staff Development*. Identified priorities include development of the following non-subsidised academic programmes: Teaching and learning, and assessment. Pending approval, the anticipated date of implementation is the second semester of 2009.

3.5.5 REGULAR REVIEW OF THE EFFECTIVENESS OF ASSESSMENT POLICIES, STRATEGIES AND PRACTICES

Implementation is monitored at various institutional levels. Section 16 of the *Assessment Policy* deals specifically with the quality assurance of assessment, where faculties are required to take full responsibility, i.e.:

¹⁰⁹ *Policy on Policy Development*.

The relevant faculty QA structures for assessment are responsible for the development and implementation of the policy (including the necessary support structures and mechanisms, communication to lecturers and students, etc.), as well as the monitoring of practices (e.g. the verification of assessment results, the accuracy of recording of marks, the analysis of moderators' reports, etc.) and the annual reporting to the Executive Dean.

Verification of the accuracy of assessment results is conducted by means of a formalised faculty auditing system, as determined by the Audit Committee of Council (consult the *Management of Assessment Results*, section 5, in this regard).

All Executive Deans report on student success rates in their annual reports, and some Executive Deans indicate that modules with low performance are identified and targeted for reviewing. This function will be taken up by the SQC, in whose charter it is stated *inter alia* that it *monitors and facilitates the implementation of the UJ Quality Plan, with special reference to the annual reports, improvement plans and progress reports*.

The policy (and related strategies) should be reviewed regularly – at least once every six years – according to the *Policy on Policy Development*.

3.5.6 SELF-REFLECTION

The following self-reflection is guided by the examples in the criterion:

3.5.6.1 Rules, regulations and procedures governing assessment

The University developed and approved an *Assessment Policy* as well as a number of related policies that address the management of assessment results (including security matters), invigilation, etc. Faculties are required to develop faculty-specific assessment policies to address their unique faculty contexts while aligning their assessment practices with the institutional policy.

A *Higher Degrees Postgraduate Policy* was approved in 2006 and revised and approved in 2009.

The *Policy on Policy Development* stipulates that all institutional policies should be reviewed once every six years. The regular review of the quality system and mechanisms is also addressed in the *Quality Promotion Policy and Plan*. Discussions of the regular monitoring and reviews are provided in Chapters 2 and 4. An electronic document system that will provide support in the tracking of policy implementation and review etc. is being implemented and will provide valuable support. This is being managed from the Registrar's office.

For the alignment of faculty policies and continuous monitoring of policies, see 3.4.10.2 above. The monitoring of the development and alignment of faculty-specific assessment policies requires dedicated attention. The monitoring of the implementation of policies is done by means of regular student surveys. The Audit and Risk Committee of Council has been tasked with regular thematic audits, including audits of the implementation of policies.

3.5.6.2 Assessment of WIL

The University inherited an established WIL practice, since the former TWR and former RAU offered a number of programmes with a WIL component. Redefining and distinguishing between WIL and service learning in the UJ have resulted in the development of the policy (discussed in par. 3.5.3).

Alignment of the inherited practice and the institutional policy on an ongoing basis will be the responsibility of the quality committees in the faculties and the SQC, and the newly established Senate Teaching and Learning Committee. In some faculties, e.g. Health Sciences, assessment is strictly regulated by the relevant professional bodies. Reporting should be done as indicated in 3.4.10.2.

3.6 MODERATION

Criterion 12: The institution has effective procedures in place that facilitate the quality of the internal and external moderation of its assessment procedures and results, in order to ensure their reliability, as well as the integrity of the qualifications it awards.

The various aspects in the examples, i.e. internal and external moderation, as well as the regular review of these arrangements, are addressed in the following narrative.

3.6.1 INTERNAL AND EXTERNAL MODERATION AND REGULAR REVIEWS

The *UJ Assessment Policy* details requirements for the moderation of student assessment evidence. The purpose of such moderation is understood as follows: *Moderation verifies that assessments are fair, reliable, valid, practicable and transparent, and also evaluates assessor performance.* The *Assessment Policy* spells out the nomination of moderators, their responsibilities, the process, the report, etc. in detail.

The responsibility for moderation implementation is assigned to Faculty Boards: Faculty Boards are responsible for the determination and implementation of moderation processes and procedures that ensure that all students in all academic programmes are assessed in a consistent, accurate and well designed manner (see *Assessment Policy*). Faculties are required to formulate criteria for the appointment of all categories of assessors (including moderators).

The *Assessment Policy* notes as prerequisites for assessment that all parties (including moderators) understand the system and are assured that it is well planned, works in practice and is properly regulated (par. 6.1.2 in the policy); and that a built-in mechanism to avoid assessor/moderator deviation, inconsistency and error (is) integral to student success (see par. 6.1.5 in the policy.) As is noted above, deviations are referred to the HoD for discussion and subsequent adjudication. On the other hand, section 13 on Verification refers to faculty assessment committees or portfolios fulfilling the role of verifiers, including confirming or overturning of moderators' findings.

Internal moderation is implemented at undergraduate level in non-exit level modules, as follows:

- At least one assessment opportunity (including the replacement or supplementary assessment) is moderated in a seven-week or term module and in a 14-week or semester module. In a 28-week (year) module, at least two assessment opportunities (including special or supplementary assessments) are moderated.
- The moderated assessment opportunities are weighted most in the calculation of the final module mark and are determined by the assessor (see *Assessment Policy*, section 11.2).

As far as external moderation is concerned, the *Assessment Policy* stipulates the following:

- All undergraduate, exit-level (i.e. final-year) modules are moderated externally.
- All honours and coursework-based master's modules are moderated externally.
- In exceptional cases, where undergraduate programmes do not include major subjects/modules or 'final-year modules', such modules are identified for the appointment of external moderators in the faculty-specific assessment policy.
- Frequent mention is also made of the moderator in the *Management of Assessment Results Policy*, specifically in section 1.1.8 (f), i.e. that the *moderator re-marks 10% of the scripts/evidence, does random checks of at least 20% of the scripts/evidence and submits a moderator's report.*
- The policy document on moderation contains detailed procedures for the appointment and duties of external (and internal) moderators.

3.6.2 SELF-REFLECTION

The following self-reflection is guided by the examples in the criterion:

The framework of assessment-related policies addresses the matters listed in the criterion and examples adequately. Faculties also address these aspects in their faculty-specific assessment policies (on the basis of faculty uniqueness, e.g. size).

Examples of constructive feedback¹¹⁰ are provided in the Evidence Room. Monitoring of this practice across faculties and campuses should be addressed in an institutional policy-monitoring system.

The *Assessment Policy* stipulates that the relevant faculty QA structures for assessment are responsible for “... *the monitoring of practices (e.g. the verification of assessment results, the accuracy of the recording of marks, the analysis of moderator's reports, etc.) and the annual reporting to the Executive Dean.*”

This shows clearly that the moderation process, appointment of moderators (including minimum requirements for eligibility), responsibilities of moderators and the role of verifiers are dealt with in terms of policy statements. Implementation will

¹¹⁰ Constructive feedback.

undoubtedly point out aspects that still need to be addressed, and continuous refinement will result in comprehensive coverage of all contingencies. The SQC's and the STLC's roles in the monitoring of assessment practices and the implementation of the relevant policies at module, faculty and institutional levels should receive dedicated attention.

The following aspect, however, requires attention:

The implementation of the assessment policies should be monitored at the various implementation levels. The University should consider a number of approaches (e.g. an internal assessment audit at faculty and departmental level that focuses on the alignment of assessment with module/programme outcomes, alignment of practices, etc. across faculties and campuses) in addition to the proposed reviews in the QPP. The Audit and Risk Committee of Council has been tasked to monitor the implementation of policies. Surveys (among students and other target groups such as supervisors, etc.) also serve as a means of collecting information on the implementation of policies.

3.7 ASSESSMENT PRINCIPLES, PROCEDURES AND PRACTICES

Criterion 13: The principles, procedures and practices of assessment are explicit, fair and consistently applied throughout the institution. Security arrangements for recording and documenting assessment data are in place, to ensure the credibility of outcomes.

The key issues identified in the examples in criterion 13 are addressed in the following narrative, followed by a self-reflection.

3.7.1 KEY ASSESSMENT ISSUES

A list of key issues pertaining to assessment is presented in this section. The perceptive reader will recognise many as stemming from the expectations listed in the presentations of criteria 11, 12 and 13, numbered sequentially for ease of reference.

3.7.1.1 *Assessment procedures*

Appendix 1 to the *Assessment Policy* contains procedural guidelines for assessment at faculty level. These procedures are considered in terms of assessment type and cover traditional summative, continuous and integrated assessment. Minima of summative assessment opportunities are specified, depending on the duration of modules. A variety of assessment methods are proposed in terms of their fitness for purpose to assess the student and his/her work, as defined by module outcomes.

3.7.1.2 Feedback

Provision of timeous feedback to students is considered an important factor in student learning. This is included as a principle in the *Assessment Policy* (see par. 5.4 in the policy), repeated under *Formative Assessment*, and developed in-depth in the abovementioned *Procedural Guidelines*. In par. 6.2 (in the policy) on communication with students after the assessment, it is noted explicitly that constructive feedback takes the purpose of the assessment into account and involves more than a *grade on a list*.

3.7.1.3 Weighting of class marks and examinations

No university-wide detailed weighting (minima or maxima) of class marks and examinations is prescribed in the various policy documents. However, admission to a final summative assessment opportunity (e.g. an examination) requires a module mark of at least 40%, and a student must obtain at least 40% in the final summative assessment opportunity (e.g. examination) to pass the module (*Academic Regulations 2009*, No. 10).

3.7.1.4 Security procedures

The procedures are dealt with in detail in the *Rules of Assessment and Invigilation*, which seek to establish a clear set of rules that addresses security risks regarding the setting, printing, handling, transport and storage of assessment and/or final assessment papers and to provide rules that govern the committing of offences and/or transgressions of assessment and/or final assessment regulations by students during such assessment processes. Points covered by the *Rules of Assessment and Invigilation* include: Security measures prior to assessment, printing of question papers, variations in appearance of assessment papers and scripts; transportation of question papers; return of documentation after assessment sessions; access control to examination venues; telephonic and radio contact; invigilation requirements; offences, transgressions and associated arrangements; and regulations governing the changing of marks.

3.7.1.5 Disciplinary and appeals procedures

Both the *Rules of Assessment and Invigilation* and the *Academic Regulations 2009* contain the same list of potential offences during final (summative) assessment opportunities, as well as procedures to be followed if irregularities are suspected. Similarly, these points are covered in the *Student Regulations* (see sections 5-7); and procedures are described in detail in the *UJ Regulations for Student Discipline*.

3.7.1.6 Transgressions

This matter is addressed in the context of a formal assessment opportunity. The following documents address the matter: *Policy on Plagiarism*; the *Guidelines Regarding Examination Transgressions for Written and Practical Summative Assessment Opportunities*; and the *Assessment Policy* (see section 14).

3.7.1.7 Assessment reviews

Applications for summative assessment reviews and appeals are dealt with in paragraph 15 of the *Assessment Policy*, and section 10.4 of the *Academic*

Regulations. A student may apply for an explanation of a final assessment mark, and for a review of the final summative assessment. (For the latter, a fee is payable, but is refunded if a substantive change is made to the mark awarded.)

3.7.1.8 Regulations for marking and grading

The *Assessment Policy* requires all assessment activities to be accompanied by a memorandum/assessment marking guide that includes model answers, rubrics, checklists, frameworks with mark allocations, etc. This is to ensure transparency and reliability of assessment.

3.7.1.9 Assistant assessors

Assistant assessors are used for large classes with extremely heavy marking loads. They may only be used under the conditions specified in the *Procedural Guidelines* (Appendix 1 to the *Assessment Policy*, section 2.2). The guidelines include guidance, support and continuous moderation of assessment.

3.7.1.10 Borderline results

The *Management of Assessment Results Policy* contains detailed instructions to assessors concerning adjustments to be made to 'borderline' results in undergraduate programmes (see section 6.5), e.g. a final mark of 48% or 49% or a final mark of 73% and 74%. In a course work master's programme, the final result may be 74% (with no adjustments), depending on the external moderator's report. Substantial discrepancies between the module marks and examination marks require the production of exception reports, investigation of the variances, and adjustment of the marks. A procedure for student complaints is described in *Management of Student Complaints*.¹¹¹

3.7.1.11 Aegrotats, special and supplementary summative assessments

Regulations pertaining to aegrotats are listed in section 8 of the *Assessment Policy*, where reference is also made to details contained in the *Academic Regulations 2009* (par. 10.5). Application procedures for aegrotats, termed *special summative assessment* at the UJ, should be communicated in learning guides or programme-specific information (see *Assessment Policy*, section 10). Supplementary summative assessment (for both final examinations and other assessment opportunities) may be granted in terms of specific conditions (including limitations) described in paragraphs 10.5.2 – 10.5.9. The final mark for a supplementary assessment opportunity is capped at 50%.

3.7.1.12 Electronic assessment

The University makes considerable use of an online learning management system, and some assessment is also conducted online. Electronic assessment activities comply with the principles and procedures as described in the *Assessment Policy*, as well as the *Academic Regulations 2009*. Detailed requirements to ensure security and authenticity are contained in the *Procedural Guidelines* (see section 5).

¹¹¹ *Management of Student Complaints*.

3.7.1.13 Recognition of prior learning

Assessment for RPL purposes is required to comply with the principles and procedures as determined by the *Assessment Policy* (see section 9.4.3), as well as the *RPL Policy*.

3.7.1.14 Assessment: people with disabilities

The *Assessment Policy* (see section 9.4.4) requires students wishing to submit an application for special assessment conditions to do so in accordance with the procedures as stipulated in the *University's Policy on People with Disabilities* and the *Academic Regulations 2009*.

3.7.1.15 Assessment and language

Given that the UJ is a bilingual institution that offers instruction in either English or Afrikaans in many programmes, assessment is determined in terms of the University's *Language Policy*¹¹² (see *Assessment Policy*, section 9.4.5).

3.7.1.16 Work Integrated Learning (WIL)

Assessment of WIL is addressed in the *Assessment Policy* (section 9.4.1), as well as in the *Policy on Work Integrated Learning and Service Learning* (see section 6.5 and Appendix A, section 5.4). With regard to service learning, all UJ policies relating to assessment apply fully.

3.7.1.17 Responsibilities of faculties and schools/departments

The *UJ Assessment Policy* explicitly assigns responsibility for the management of assessment to faculties, which are required to develop faculty-specific assessment policies in line with the institutional *Assessment Policy* (see section 15). The Faculty Board and Senate are required to approve all faculty-specific assessment policies¹¹³ formally.

Appendix 1 to the *Assessment Policy* describes *Procedural Guidelines for Management of Assessment at Faculty Level* in detail, assigning various responsibilities to teaching staff, HoDs, Heads of Faculty Administration, faculty officers and Executive Deans. The *Procedural Guidelines* cover *inter alia* the appointment of assessors and moderators, assessment memoranda/marking guides and student evidence, invigilators and invigilation, responsibilities of assessors and moderators, the moderation process, electronic assessment, and assessment-related communication with students.

Details regarding the expectations placed on faculties are contained in the *Management of Assessment Results Policy* and in the *Rules of Assessment and Invigilation*.

Given the lengthy development and approval process (that assisted in creating general staff awareness of these policies), the *Assessment Policy* was approved only

¹¹² *Language Policy*.

¹¹³ *Faculty Assessment Policies*.

in October 2007. Faculties began developing the aligned *Faculty Assessment Policies* required by the *Assessment Policy*, while continuing to manage assessment in terms of the *Academic Regulations*. Most faculties included (parts of) the sections of these regulations that relate to assessment in their faculty handbooks.¹¹⁴

Associated faculty and/or departmental committee structures vary, and responsibilities are assigned accordingly. Committees involved in assessment (in addition to the Faculty Board) may include the Dean's Committee, an Examination's Committee, Faculty Quality Committee or other committees at departmental level.¹¹⁵

3.7.1.18 Communication with students

Great care is taken to ensure that all students are familiar with assessment regulations and procedures. Most faculties include faculty-specific information in their *Faculty Rules and Regulations*,¹¹⁶ issued to each student at registration. The *Academic Regulations* are available on the intranet and via Edulink.¹¹⁷ Detailed information on the assessment specific to each module is included in module learning guides.¹¹⁸ In terms of the *Policy: Learning Support Materials*, learning guides must include information on assessment (i.e. mark allocation, examination entrance requirements, weightings (if applicable), etc.).

The *Assessment Policy* notes: At the beginning of each module, students are provided with a comprehensive learning guide in which the specific assessment requirements are explained, viz. the learning outcomes and assessment criteria linked to the different learning opportunities, assessment rules, dates, times and venues (if available), assessment method and the weight that it contributes to the final summative mark, feedback system to be used, minimum pass requirements and linkages to supplementary assessment opportunities, as applicable (see section 6.3 in the policy).

Implementation is monitored at various institutional levels. Section 16 of the *Assessment Policy* deals specifically with the quality assurance of assessment, for which faculties are required to take full responsibility. This is described in detail:

AP 16.3: The relevant faculty QA structures for assessment are responsible for the development and implementation of the policy (including the necessary support structures and mechanisms, communication to lecturers and students, etc.), as well as the monitoring of practices (e.g. verification of assessment results, accuracy of recording of marks, analysis of moderators' reports, etc.) and the annual reporting to the Executive Dean.

¹¹⁴ University Home Page for Faculties: <http://www.uj.ac.za/Informationabout/Faculties/tabid/8290/Default.aspx>
Art, Design and Architecture: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/fada>
Economic and Financial Sciences: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/ecofin>
Education: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/edu>
Engineering and Built environment: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/engineering>
Health Sciences: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/health>
Humanities: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/humanities>
Law: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/law>
Management: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/management>
Science: <http://www.uj.ac.za/Default.aspx?alias=www.uj.ac.za/science>

¹¹⁵ Faculty Committees.

¹¹⁶ *Faculty Rules and Regulations*.

¹¹⁷ UJ intranet address: <https://intranet.uj.ac.za/>

¹¹⁸ Examples of learning guides.

AP 16.4: Verification of the accuracy of assessment results is conducted by means of a formalised faculty auditing system, as determined by the Audit Committee of Council.

3.7.2 SELF-REFLECTION

The three related examples in the criterion serve as guide for the following self-reflection:

3.7.2.1 Explicitness, rigour, fairness and consistency of assessment

The explicitness, rigour, fairness and consistency of assessment are addressed in the institutional *Assessment Policy*, for instance in Principle 5.2: Assessment, processes are reliable, valid, transparent and fair, and the tasks feasible (practicable) in relation to available financial resources, facilities, equipment and time. This principle is clarified under number 6: Prerequisites for Assessment that, in turn, describe the requirements of fairness; transparency; reliability; validity, and clarity of meaning in the expression of requirements.

It becomes important to ascertain to what extent the varying principles are being implemented in faculties. A quick comparison of faculty policies brings the following to the fore:

The *Assessment Policy* of the Faculty of Economic and Financial Sciences, for instance, also reflects these principles in its *Assessment Policy*: par. 4, *Assessment Practices should be reliable, valid, transparent and fair*. This refers to the extent to which the purpose of the assessment is clear to the students who are being assessed. *Students should contribute to the planning and accumulation of evidence and should clearly understand the assessment process*. The Faculty of Education's *Assessment Strategy* notes, under the *Operational Assessment Principles*, 2.1: *Assessment processes and tasks should be feasible, systematic, reliable, valid, transparent and fair*. The various points are elucidated in some detail in Table 1: Principles and Implications. The principles are not addressed specifically in the Faculty of Health Sciences' *Assessment Policy*, which only notes deviations from the *UJ Assessment Policy*, to which it otherwise subscribes.

Alignment of faculty policies is clearly a matter that should to be addressed by the SQC.

The UJ Student Representative Council requested the introduction of blind assessment (i.e. the identity of the student is not known to the assessor). The University will in due course consider this request.

The regular review of procedures and practices of assessment will be reviewed according to the *Quality Promotion Plan: 2010 - 2015*, i.e. regular reviewing and evaluation of teaching and assessment practices at module level, in the programme reviews and in academic departmental self-evaluations and peer reviews (according to the *Quality Promotion Plan*).

Regular reviews of security arrangements are addressed in Chapter 6 (see section on Academic Administration).

3.7.2.2 Communication to students

The Central Academic Administration Division is assigned the responsibility of including the *UJ Assessment Policy* in the University policy databases and making it available on the University intranet (see *Assessment Policy*, section 17.1). Faculties are responsible for communicating the policy to students and employees (section 17.2).

(a) **Communication with employees/teaching and administrative staff**

The *UJ Assessment Policy* was referred to the Executive Deans for discussion at Faculty Boards, prior to approval by Senate. Faculty *Assessment Policies* are developed within the faculties (by Faculty Quality or Teaching and Learning Committees) and approved by the Faculty Board, prior to approval by the UJ Senate. Within faculties, it is assumed that approved policies are disseminated by means of the committee system and within departments. Faculties make policies and regulations relating to assessment, and these are available to students via Edulink and the learning guides.

(b) **Communication with students**

Communication with students is managed via the *Academic Regulations* that are available in hard copy and via Edulink and on the University website. The *Academic Regulations* contain full details regarding the management of assessment and appeals (see section 10.4).

Similarly, most *Faculty Rules and Regulations* contain detailed information regarding assessment. However, little information regarding appeals is included. Several *Faculty Rules and Regulations* place the onus on students to ensure that they complete any special or supplementary assessment on the date and time specified (see FEFS, EF.9.10; Science 10.5.5; Management 7.7.3.3).¹¹⁹ This is derived from section 10.5.5 in the *Academic Regulations 2009*, on the student's responsibility.

In section 14, the *Assessment Policy* details applications for reviewing summative assessments. Similarly, the *Academic Regulations* present procedures for appeals (section 10.4) regarding final summative assessments. A student may apply for an explanation of his/her final mark. If he/she is still dissatisfied, he/she may then apply, via the Executive Dean, for a review of the assessment, involving the appointment of an external arbitrator to re-assess the final summative assessment. For this, a fee is payable by the student. However, this fee is refundable if the result is altered substantially (fail altered to pass; pass without distinction to pass with distinction.) *Faculty Assessment Policies* also address the appeals issue.

The *Management of Assessment Results Policy* governs the administration of marks and results. Section 8 stipulates an internal auditing process for the final

¹¹⁹ *Faculty Rules and Regulations*: FEFS, Science, Management.

approval of marks, with the responsibilities assigned to the Head: Faculty Administration, the HoD and the Faculty Assessment Committee.

In section 7, the *Procedures for the Management of Assessment Results* (appended to the *Management of Assessment Results Policy*) and the *Rules of Assessment and Invigilation* (i.e. section 15) detail procedures for changes to final assessment and module marks. These must be motivated in writing and approved, firstly by the relevant HoD, and then by the Executive Dean. Only the Head: Faculty Administration or an official delegate updates amendments on the student system. All documentary proof is stored permanently, together with the original mark sheets, at the faculty concerned.

Amendments in excess of 10% are subject to auditing by (Central) Academic Administration, as detailed in section 8 of the *Procedures for the Management of Assessment Results*. This process requires the submission of explanatory notes and source documents for any amendments by faculties, to Academic Administration. The reports are filed for two years for perusal by the auditors, when appropriate (see section 8.4).

Storing of assessment data is governed by the *Rules and Procedures on Retention of Documents for Central and Academic Administration and Academic Departments*.¹²⁰

Core documentation is required to be retained indefinitely, in most cases by the Heads of Faculty Administration. Final assessment opportunity scripts are retained in academic departments for three years and then shredded (see par. 5.16 in the policy).

Currently, discussions regarding space requirements for the storage of documents, including examination scripts, are taking place at the MECO meetings (see MECO Agenda March 20th, Point 5.2: *Space requirements for storage of documents (archiving)*). These discussions refer to both digital and paper storage strategies; outsourcing of such storage is being considered, due to the considerable volume.)

3.8 RECOGNITION OF PRIOR LEARNING POLICY AND PROCEDURES

Criterion 14: The institution has an RPL policy, and effective procedures for recognizing prior learning and assessing current competence.

The aspects identified in the relevant examples are addressed together in the following narrative, but in Self-reflection they are addressed individually.

3.8.1 RECOGNITION OF PRIOR LEARNING

¹²⁰ *Rules and Procedures on Retention of Documents for Central and Academic Administration and Academic Departments.*

The University's *Policy: Recognition of Prior Learning* seeks to accommodate and support access via RPL. The introduction to this policy commits the University as follows:

The University of Johannesburg accepts Recognition of Prior Learning (RPL) as an integral part of the academic programme and as an initiative to support transformation of the education and training system in South Africa. It is acknowledged that all learning has value, and the University accepts the challenge to assess prior learning and award credit that is aligned to University programmes to promote lifelong learning. This is reflected in the vision and mission of the University.

The stated purpose of RPL in the UJ is as follows:

To recognise all forms of prior learning, in order to:

- widen access to Higher Education through admission;
- grant advanced placement; and
- facilitate mobility and progression within the career paths and programmes at the University.

The objective of the *RPL Policy* is to provide institutional guidelines on the principles and processes that serve as a basis for faculty-specific RPL practices, and to provide details on the scope, eligibility, and academic and administrative standards of RPL. General assessment principles are followed by RPL assessment and the awarding of credits as described in the relevant UJ policies. The stages of the full RPL process are mapped out, and an Appeals Process is detailed. Finally, role players are identified from Senate, a University RPL Committee, Faculty Management, Faculty RPL Committees to the RPL advisers, assessors and mentors. The policy closes with statements on candidate support, fees and quality assurance management.

Actual levels of implementation since the inception of the policy have varied, depending on the extent to which RPL has been embraced and accommodated by faculties, and also on student demand. RPL should be approved by Senate, but is not done consistently. A University RPL Committee (as prescribed by the policy) is to be established. An RPL thematic audit has been undertaken by the Audit and Risk Committee of Council and the report was still due at the time of writing.¹²¹

Several faculties have an active RPL Committee, as prescribed by the UJ *RPL Policy*, namely Education, Humanities and Law. In other faculties, there are departmental RPL Committees, i.e. Mining (in Engineering and the Built Environment) and Architecture (in FADA).

In memos, faculties and departments have indicated that they are proceeding to implement the University's *RPL Policy* with great caution. The policy appears to be used primarily to accept postgraduate students at Honours or Master's level, when a change of field of study is involved.

¹²¹ RPL report

3.8.2 SELF-REFLECTION

A reflection on the criterion is presented here:

3.8.2.1 Access through RPL

Details of the University's *RPL Policy* are provided in par. 3.8.1. The stated purpose of the policy supports the commitment of the University in its mission statement to, *inter alia, support access to a wide spectrum of academic, vocational and technological teaching, learning and research.*

In practice, this policy is mostly applied to applications for access at postgraduate level. Faculties are developing RPL policies, and have appointed RPL Committees to assist with the implementation of the institutional and/or aligned faculty policy in an equitable way.

The following aspects require attention:

- It becomes important to ascertain to what extent the varying principles are being implemented in faculties. The alignment of faculty policies should be addressed by the relevant committee (i.e. the Committee for Teaching and Learning or the to-be- established RPL Committee).
- A University RPL Committee, as described in the policy, should be established and alignment with faculty RPL Committees should take place. Consideration should be given to the establishment of a STLC subcommittee for RPL.
- The verification of qualifications obtained elsewhere, especially in other African countries, is causing problems. The offering of credit-bearing short learning programmes to gain access to a subsidised programme must also be addressed. Once again, the alignment of faculty practices with the institutional policy will lead to an improved and aligned institutional RPL practice.

3.8.2.2 RPL procedures

The policy locates RPL within the academic standards of the institution. Credit is awarded for competence (demonstrated learning) only, not for experience (see section 10.1.1), and only for learning that is aligned to the learning outcomes of the University's academic programmes (see section 10.1.3 in the policy).

The policy addresses all the issues referred to in the criterion example: Appropriate subject matter and academic experts with assessment experience determine competence levels and credit awards; applicants are exposed to a formal RPL process that includes selection and assessment; two types of assessment are available (i.e. module-match assessment, where an applicant qualifies for RPL for certain modules in a programme, and qualification status, where a candidate complies with all the exit-level outcomes of a programme). The criteria of authenticity, currency and sufficiency are applicable to RPL assessment. An appeals procedure is available.

The following aspects, however, require attention:

3.8.2.3 RPL assessment instruments

In the institutional *RPL Policy*, and in faculty policies that have been developed, it is stated clearly that the *UJ University Assessment Policy* applies. In terms of the *RPL Policy*, applicable assessment methods for RPL include:

- summative assessment opportunities, which may be written, oral or performance assessments;
- standardised assessments;
- an RPL portfolio, which includes assignments to address specific learning outcomes or products, e.g. exhibitions, designs or artefacts (see section 11.2.2 (c)). The policy also prescribes moderation of such assessments.

The following aspects require attention:

- It is unclear to what extent assessment instruments designed specifically for RPL are being utilised by faculties. Relevant RPL assessment methods and instruments should be addressed by the RPL Committee (to be established) - clearly an area where the University must still make considerable progress.
- The UJ Registrar recently requested the UJ Audit and Risk Committee to undertake a full audit of RPL practices and implementation by faculties. This will most likely result in a review of the RPL Policy on the basis of implementation experiences during the past two years.

3.9 CONCLUSIONS

When constituting the merged institution, the UJ took the opportunity to ensure that institutional arrangements were put in place and monitored that would best support and ensure the quality of teaching and learning.

The University's achievements include the following:

- Policies, strategies, procedures and structures appropriate to the complexity of the emerging multi-campus institution have been developed. The University policies and procedures relating to teaching and learning that have already been approved represent the outcome of considerable discussion, debate and notable achievements since the merger. These policies and procedures are complemented by the development of the Teaching and Learning Strategy, which is to be implemented in 2009. The support structure for the teaching and learning fabric of this complex, multi-campus institution also represents the outcome of considerable debate, and experienced repeated post-merger adjustments, before having been shaped into the Division for Academic Development and Support.
- Academic Administration was congratulated in its peer review report¹²² on the outstanding progress made in the standardisation of the various academic

¹²² *Academic Administration: Peer Review report.*

administration processes. The web-based support for various functions is also highlighted as an important achievement.

- Assessment is described in a network of policies and documents that communicate the relevant principles and procedures to staff and students. This is done to ensure that reliable and fair assessment takes place, and in doing so, contribute to the credibility of the UJ qualifications.
- The chief custodian of academic quality at the UJ remains the University Senate, which approves all policies with a bearing on the academic endeavour and to which the Faculty Boards report. The nine faculties that clearly retain responsibility for their various programmes via their Faculty Boards and associated subcommittees are supported by the Division for Academic Development and Support in their delivery of teaching and learning on all campuses.

The following aspects require attention and/or improvement:

- The efficacy and effectiveness of the abovementioned policies will be subject to ongoing monitoring and further amendments can be anticipated, as deemed necessary. The policy monitoring system that was referred to earlier in this chapter should be developed to monitor implementation via existing structures and reporting lines, and across faculties and campuses.
- Ensuring that faculty procedures are properly aligned (in terms of their varying disciplinary requirements) with these UJ policies, and developing effective relationships (partnerships) between faculties and the central support structures.
- The Teaching and Learning Strategy should enhance the alignment of teaching and learning with the University's Vision and Mission, and additional strategies in respect of core themes should be developed.
- Where necessary, new structures such as the RPL Committee should be established in such a way that it communicates with existing structures and fits into existing reporting lines.
- Clarification of the different responsibilities of the SQC and the Senate Committee for Teaching and Learning, as well as the proposed committee for RPL, is necessary for the effective monitoring and management of these functions in the University.



CHAPTER 4

Academic

Programmes

HEQC Criteria 5, 6, 7, 8, 9 and 10

CRITERION 5

The institution has effective systems in place for the quality management of short courses, exported and partnership programmes, and programmes offered at tuition centres and satellite campuses.

Examples

- (i) Policies and mechanisms which record and quality assure all short courses offered by the institution. These policies and mechanisms are widely known at the institution.
- (ii) Mechanisms that evaluate the impact (both positive and negative) of offering short courses in relation to:
 - The mission, goals and priorities of the institution; and
 - Student success rates in whole qualifications.
- (iii) Quality management mechanisms that ensure that exported programmes are of equivalent quality to those offered in South Africa and comply with the national quality requirements of the receiving country.
- (iv) Clear allocation of quality management responsibility for all programmes offered in partnership with other institutions.
- (v) Quality management mechanisms that ensure that programmes offered at tuition centres and satellite campuses are of equivalent quality to those offered at the main campus.
- (vi) Regular review of the effectiveness of the quality management of short courses, exported and partnership programmes, and programmes offered at tuition centres and satellite campuses.

CRITERION 6

Clear and efficient arrangements ensure the integrity of learner records and certification processes. Monitoring responsibility is clearly allocated and acted upon.

Examples

- (i) Effective mechanisms which:
 - Ensure the integrity of learner records; and
 - Quality assure the processing and issuing of certificates.
- (ii) Effective security measures to avoid fraud or the illegal issuing of certificates.
- (iii) Regular review of the effectiveness of quality arrangements for ensuring the integrity of learner records and certification processes.

CRITERION 7

The administration of academic programmes is conducted within the framework of an effective programme management system. Responsibility and lines of accountability are clearly allocated. Management information systems are used to record and disseminate information about programmes, as well as to facilitate review and improvement.

Examples

- (i) Dedicated structures and line managers who have responsibility for the quality management of academic programmes.
- (ii) clearly defined procedures, time frames, reporting and communication arrangements for the administration of programmes.
- (iii) In the case of work-based learning: Learning contracts or agreements by which the student, higher education institution and employer can negotiate, approve and assess the objectives and outcomes of the learning process.
 - The roles and responsibilities of the various parties, i.e. the institution, students, mentors and employers, are clearly spelled out in the contract or agreement;
 - Regular and efficient communication between the institution, students, mentors and employers;
 - A system (both at the institution and at the place of employment) to record and monitor regularly and systematically the content and progress of the student's learning experience in the workplace; and
 - A mentoring system that enables the student to recognize strengths and weaknesses in his/her work, to develop existing and new abilities, and to gain knowledge of work practices.
- (iv) In the case of institutions with service learning as part of their mission:
 - Service learning programmes that are integrated into institutional and academic planning, as part of the institution's mission and strategic goals;
 - Adequate resources and enabling mechanisms (including incentives) to support the implementation of service learning, including staff and student capacity development; and
 - Review and monitoring arrangements to gauge the impact and outcomes of service learning programmes on the institution, as well as on other participating constituencies.
- (v) Capturing and continual updating of all necessary information about programmes, including their accreditation status, in the management information system. Relevant aspects of this information are regularly available to staff and students in order to support improvement. At-risk students can be identified and supported timeously.
- (vi) Regular review of the effectiveness of the programme management system, especially in relation to making students into independent learners.

CRITERION 8

Clear and efficient systems and procedures are in place for the design and approval of new programmes, courses and modules. The requirements are consistently applied and regularly monitored.

Examples

- (i) Alignment of programme planning and budgeting.
- (ii) Programme planning and approval arrangements which are linked to the operationalisation of the institution's/ academic unit's mission and goals, Teaching and Learning Plan (as appropriate), agreed 'Programme and Qualification Mix' (as appropriate) and the HEQC's Criteria for Programme Accreditation. These are used to guide the internal approval of new programmes.

- (iii) Reasoned coherence between the aims and intended learning outcomes of the programme on the one hand, and the scope of the learning materials and strategies for teaching (for example, delivery modes like face to face, distance, mixed modes of provision), on the other.
- (iv) Specified procedures and realistic time frames for the design and approval of academic offerings as well as guidelines for academic staff and programme teams to work from.
- (v) Approval on the basis of transparent criteria by an institutional authority that is independent of the programme team. Consistency of standards across the institution is monitored.
- (vi) Where appropriate, consultation between programme teams and external stakeholders, such as professional bodies, potential employers, government departments and local communities, to ensure that graduates meet employability requirements and labour market needs in the short and long terms.
- (vii) Where appropriate, accounting for the characteristics and requirements of professional and vocational education in the development of the programme. This includes the following:
 - The programme promotes an understanding on the part of the student of the specific occupation for which he/she is being trained;
 - The programme has a balance of theoretical and practical or applied knowledge.
 - The student has opportunities to master the techniques and skills which are required by a specific profession or occupation; and
 - Work-based learning forms an integral part of the curriculum, and placement in a work environment is regarded as an essential component of the programme.
- (viii) Consideration of national and regional aspects in the planning and offering of programmes.
- (ix) In the case of distance learning programmes, tested systems, technologies and support arrangements for materials development and delivery for distance learning.
- (x) In the case of e-learning, tested systems, technologies and support arrangements that provide an effective platform for quality delivery.
- (xi) Regular review of the effectiveness of systems and procedures for the design and approval of new programmes, courses and modules.

CRITERION 9

Recruitment, selection, development and support policies and procedures facilitate the availability of suitably qualified and experienced academic and support staff to deliver the programme. Staff capacity in relation to programme needs is regularly reviewed.

Examples

- (i) Clear recruitment, selection and appointment procedures to provide for a sufficient number of academic and support staff who have the necessary qualifications and expertise to teach and support the programme so that its outcomes are attainable at the appropriate levels of quality.
- (ii) Availability of opportunities for the scholarly and professional development of the academic and support staff.

- (iii) Redress and equity issues receive adequate attention in the recruitment, selection, appointment and development of academic and support staff.
- (iv) Regular review of the effectiveness of staff recruitment, selection, development and support in relation to programme needs.

CRITERION 10

Clear and effective systems are in place (including internal and external peer review) to evaluate programmes on a regular basis. Review findings are disseminated appropriately and utilized for staff development, curriculum improvement and increasing student access and success rates.

Examples

- (i) Review of learning materials, teaching and learning strategies, modes of assessment, management of moderation, etc. which is utilised for staff development, curriculum improvement and increasing student success.
- (ii) Credible and consistent methods and processes for programme and course/module review, including user surveys that allow for the triangulation of information and data in order to produce valid outcomes.
- (iii) Training and support of academic managers and teaching staff to ensure the rigour and consistency of the review process.
- (iv) Findings from graduate tracking and employer surveys integrated into processes of programme review.
- (v) Regular review of the effectiveness and impact of programme review systems and procedures.

4. ACADEMIC PROGRAMMES

4.1 OVERVIEW OF THE CHAPTER

This chapter deals with the way the University of Johannesburg addressed the challenges and opportunities in a newly merged university that inherited a complete suite of programmes traditionally offered by a technikon (the former TWR), and a complete suite of programmes traditionally offered by a university (the former RAU, including the programmes offered by the former Vista). The challenge was, and still is, to create synergy in this diversity, achieve increasing unity as the new academic programme structure is aligned with the strategic goals of the new University. The University is poised to use its uniqueness to add real value to the communities it serves. This challenge is reflected in the UJ's audit theme, i.e. from merger to (-wards) unity, and will be illustrated in this chapter from a programme perspective.

The relevant Audit Criteria are addressed in the following order:

- Criterion 8 on the approval of new programmes
- Criterion 7 on the administration of academic programmes
- Criterion 6 on learner records and certification
- Criterion 9 on academic and support staff, to implement the programmes

- Criterion 5 on the quality management of short courses
- Criterion 10 on regular programme reviews.

Information in this chapter is organised in the following way:

Developments in the programme domain, since the merger, are addressed in two overlapping phases, namely:

Phase 1: The development and implementation of the first *UJ Quality Plan* with reference to the programme reviews. This is addressed in terms of a strategic intent, implementation and the value of the programme reviews.

Phase 2: The development of institutional policies, strategies, plans, as well as a programme quality promotion system to support the implementation of the new Academic Programme Structure (APS). This is done by addressing the focus areas in the Audit Criteria (see list above). Each criterion (provided in a border) is addressed by providing a narrative on the policies, procedures, practices, etc. as referred to in the relevant Examples. Under Self-reflection, the Examples (provided in borders) in the relevant criterion are addressed to identify the UJ's achievements, as well the areas that require further attention or improvement.

The SANTED Project (see 4.4), introduced by the DoE, bridges both phases. This inter-institutional project between the UJ and the Nelson Mandela Metropolitan University (NMMU) was initiated during the first phase and should be completed by the end of 2009. The purpose of this project is to develop a fundamental understanding of the differences, overlaps and/or similarities between the different programme types (i.e. national diplomas, degrees). It focuses on the impact of the knowledge divide on:

- internal and external differentiation;
- curriculum and programme development, and
- access and retention.

In doing so, it addresses the challenges the UJ faces in its diverse programme offerings.

To support the reader in maintaining focus, the broad lay-out of the chapter above is supplemented by additional mapping guidelines in the text.

Please note that the concepts *APS* and the *PQM* are used interchangeably. In essence, they refer to the complete list of UJ accredited programmes. The difference is that the APS was developed and submitted to the HEQC (in 2007) after the approval of the concrete proposals (as the outcomes of the programme reviews). The PQM was submitted to the DoE (in 2008) for approval and funding purposes and provides additional/different information on the UJ programmes.

4.2 HISTORICAL CONTEXT

The Higher Education Act (Act 101 of 1997) allows for two types of public Higher Education institutions: universities and technikons. However, with the restructuring of higher education in 2002, a de facto different arrangement emerged, consisting of universities, universities of technology and comprehensive universities. This introduced a new type of university, namely a comprehensive university. In a discussion document on comprehensive universities, commissioned by the Ministry of Education, Ms Trish Gibbon declared:

The idea of establishing comprehensive institutions was informed by the fact that an institutional type that integrates university and technikon-type programmes would be well placed to contribute to addressing a range of goals, which are central to the Government's human resource development strategy, in particular, access to higher education; enhanced articulation between career-focused and general academic programmes, thus promoting student mobility; strengthening of applied research; and enhanced responsiveness to regional and national human resource, skills and knowledge needs (Gibbon, January 2004, p. 1).¹²³

Early in 2005 it became clear that there was a significant overlap in some of the programmes in the two inherited Programme Qualification Mixes (PQMs). The University could not offer programmes leading to different types of qualifications that overlapped as far as the curricula were concerned, nor could the University offer different curricula leading to the same qualification type. Furthermore, the question of programme quality contributed to the decision to conduct programme reviews (see 4.3.1, as well as Chapter 2).

4.3 PHASE 1: TOWARDS A NEW APS

As was mentioned above, the establishment of a unified integrated Programme Qualification Mix (PQM), as opposed to simply combining the inherited PQMs, was the University's goal at the outset. Instead of following the ostensibly easier path of basically maintaining the two established institutions in a parallel federal system with a single governance structure, the University opted for working actively to create synergy between the two inherited Programme Qualifications Mixes (PQMs). The rationale was that a critical review of the existing programmes would be an important step towards the integration of programmes at faculty and departmental level, while involving academic and support staff. This was achieved by means of the *UJ Quality Plan: 2005 – 2006*. The plan included extensive programme reviews across the full spectrum of inherited programmes, ranging from vocational and professional to general formative programmes.

4.3.1 THE UJ QUALITY PLAN: 2005 - 2007

As a participant in the national Higher Education Quality Committee (HEQC) project: *Building New Quality Management Systems in Merged Higher Education Institutions*,¹²⁴ the UJ submitted a *Quality Plan: 2005-2007*¹²⁵ to the HEQC in August 2005. The plan not only addressed merger issues identified in the HEQC project, but

¹²³ Gibbon, T (2004): *Creating comprehensive universities in South Africa: A concept document*, Department of Education, Pretoria.

¹²⁴ HEQC document.

¹²⁵ *UJ Quality Plan: 2005 -2007*.

also took the unique UJ context and needs into account. Consult Chapter 2 for information on this plan - the focus here is only on programme reviews. The aim of the *Quality Plan: 2005-2007* (concluded in 2008) included the development of a new academic programme structure. A special Quality Project Task Team: Programmes (in the absence of institutional quality structures) was established to initiate and steer the process.

The Deans jointly decided that all subsidised academic programmes within the new merged institution should be included in the programme reviews, and not only those directly affected by the merger. The PR process was considered an important and essential quality process that should be conducted in all faculties, and not only focus on consolidated and amended programmes. This decision resulted in an extensive PR process that included approximately 1 800 programmes.

4.3.2 PROGRAMME REVIEWS

Both external and internal programme reviews have been conducted. The external reviews are mentioned here because of their role in creating an awareness of programme quality and national programme criteria. The verbal reports on their experiences of these external reviews by, especially, the Deans of Education and Engineering to the SAPQC, led to many discussions and contributed to an increased awareness.

4.3.2.1 External programme reviews

From 2005 to 2008, a number of national and professional/statutory councils conducted external programme reviews. See Table 2.2 for a list of programmes subjected to external reviews.

A number of programmes in the Faculty of Education reviewed by external/national bodies were commended as being among the best in the country. The reports served before the SAPQC, as did the departmental/faculty improvement plans and progress reports. Follow-up progress reports etc. should be submitted to the Senate Quality Committee (SQC). The relevant faculties and heads of departments (HoDs) are responsible for the development, implementation and monitoring of the improvement plan and for submitting regular progress reports (consult the Quality Promotion Policy in this regard).

4.3.2.2 Internal programme reviews

The internal programme reviews consisted of self-evaluation and peer reviews of all active accredited programmes in the former TWR and RAU. The 19 national HEQC Programme Accreditation Criteria were applied, as was an institutional criterion that focused on the unique institutional context (namely diversity of programmes; responsiveness to local and regional needs and the multi-campus context). The purpose of these programme reviews was the development of a new UJ academic programme structure (to be submitted to the DoE for approval as the UJ PQM). On the basis of the results of the peer reviews, concrete proposals (Form 1s) were submitted to the PWG, the SAPQC and then Senate, indicating:

programmes that should continue unchanged;

programmes that should be consolidated;

amendments to existing programmes (i.e. reconfigured programmes), and/or

programmes that would be terminated (i.e. phased out).

Consult Chapter 2 for a critical discussion of the value of the programme reviews. The data in the table below should be read with the following in mind:

- The total number of proposals submitted includes *active* programmes (which were reviewed, i.e. the $\pm 1\ 800$ programmes referred to elsewhere in the SER) and *non-active* programmes (that were not reviewed). Proposals on the termination etc. of non-active programmes were also received as part of the development of the new APS.
- Departments and faculties terminating programmes had to develop strategies for managing the pipeline students.¹²⁶
- The proposed new programmes were not approved as new programmes, but were regarded as a spin-off of the programme reviews. They also served as motivation for the urgent development of mechanisms and procedures to submit and approve new programmes internally.
- The numbers for unchanged programmes include programmes that the faculties wanted to revisit in 2008 (i) to decide whether they should be terminated or not (this applies mainly to non-active programmes that the faculties kept on the APS for future reviews), and (ii) to change the programme names.
- The identification of programmes that should be transferred to another faculty was based on the principle of home faculties.¹²⁷

Table 4.1: Outcomes of the programme reviews

| FACULTY AND TOTAL NO. | UNCHANGED | RE- CONFIGURED | CONSOLIDATED | TERMINATED | PROPOSED NEW |
|--|------------------|---------------------------|---------------------|-------------------|-------------------------|
| FADA 78 | 15 | 26 | 0 | 37 | 8 |
| FEFS 189 | 77 | 26 | 20 | 66 | 1 |
| Education 221 | 138 | 38 | 44 | 1 | 0 |
| FEBE 247 | 238 | 8 | 0 | 1 | 0 |

¹²⁶ Examples of strategies to manage pipeline students.

¹²⁷ *Academic Programme Policy* (see section 9.2).

| FACULTY AND TOTAL NO. | UNCHANGED | RE-CONFIGURED | CONSOLIDATED | TERMINATED | PROPOSED NEW |
|------------------------------|------------------|----------------------|---------------------|-------------------|---------------------|
| Health Sciences 265 | 141 | 55 | 47 | 9 | 3 |
| Humanities 410 | 206 | 103 | 40 | 47 | |
| Law 62 | 25 | 31 | 0 | 6 | 0 |
| Management 399 | 265 | 42 | 18 | 74 | 0 |
| Science 234 | 131 | 28 | 55 | 17 | 0 |
| Total 2 105 | 1 236 | 357 | 224 | 258 | 12 |

Additional changes/information not reflected in the Table above, include:

- The ±20 changes of qualification names (i.e. from a traditional D Ed to a PhD).
- The ± 40 programmes that were transferred from one faculty to another (i.e. BA programmes from the Faculty of Humanities to e.g. the Faculty of Management).
- The termination of certificates and diplomas.
- Many overlapping modules were terminated or consolidated.
- A number of programme submissions (i.e. Form 2s) were submitted in 2009 (as a Phase 2 submission). These reconfigurations, etc. required wider consultation, etc. and the SAPQC and Senate granted the extension.

It must be noted that implementation of these Senate-approved changes, reconfigurations, etc. were subject to DoE approval. The new (cloned) PQM¹²⁸ (after DoE comments and consultation) was submitted to the DoE in October 2008 and approved in December 2008.¹²⁹

4.4 THE UJ-NMMU SANTED PROJECT

The UJ continues to participate in a project funded by the South Africa-Norway Tertiary Education Development Programme (SANTED), a programme that has come about through a bilateral agreement between the Kingdom of Norway and the

¹²⁸ Approved PQM.

¹²⁹ DoE letter of approval.

South African Government for the funding of development projects in the South African higher education system and universities in neighbouring SADC countries. In November 2005, the Vice-Chancellors of the University of Johannesburg and the Nelson Mandela Metropolitan University (NMMU) were approached by the Directorate of the SANTED Programme to submit a proposal for a collaborative project designed to address some of the critical issues confronting them as institutions that had come about through the merger of a technikon with a university. The two institutions were invited to submit a funding proposal for an in-depth investigation into the development of an academic profile and qualification structure appropriate to them as two newly formed comprehensive universities.¹³⁰ The management of both universities professed interest, and the result was the submission of a project proposal to the SANTED Directorate, and subsequently a business plan, both ultimately approved by the Directorate.

The project has three focus areas: research into institutional typology, access and retention issues in a comprehensive institution, and research into curriculum and knowledge issues, which should assist in the development of effective and practical approaches to questions relating to curriculum design and articulation pathways. A broad conceptual analysis relating to programme and curriculum models for the two universities will provide the framework for focused work on the issue of articulation, both with respect to access and retention, as well as progression and transfer between programmes.

The methodology of the project makes extensive use of case studies as vehicles for exploring the fundamental differences between programmes on each side of the knowledge divide. Task teams integrate the case study outcomes to advise the two universities on the following focus areas:

the academic design of the NMMU and the UJ within the South African higher education sector, including qualification structures and programme profiles and the relationship between teaching, learning, research and community engagement within academic units;

the development of academic programme models and approaches to curriculum design and articulation that are appropriate for the NMMU and the UJ within the new Higher Education Qualifications Framework (HEQF); and

the development and/or refinement of appropriate access and retention strategies for the NMMU and the UJ.

The first phase of the project was dedicated to establishing the organisational infrastructure at both universities. Since 2007, the project has progressed to the implementation phase. During this phase, the foci of the two universities diverged, while they continued to collaborate closely. The UJ chose to focus on studying the implications of the knowledge divide for:

the qualification structure and academic profile of the UJ, with specific reference to internal and external differentiation;

¹³⁰ *SANTED Project Business Plan: 2006-2009* and letter of acceptance.

academic programme models and approaches to curriculum design and articulation; and access and retention.¹³¹

The field work of the research (case studies) is conducted by two dedicated researchers. At the UJ, the first cycle of case studies (February 2008 - June 2008) was initiated in the following academic fields: Engineering Sciences and Engineering Technology; Human Resources Management and Industrial Psychology; and Chemistry and Chemical Technology. These fields were selected specifically because they include university-type and technikon-type qualifications (that represent the knowledge divide) that have been brought together in a suite of programmes that fall under a single academic department, school or faculty. In addition, the Department of Optometry at the UJ (having already undergone this process) was used to glean useful information regarding the unifying process the Department experienced following the merger. Three further case studies, namely in Accounting, Public Relations and Corporate Communications, and Marketing Management, commenced in July 2008 (cycle 2). Another two case studies started in January 2009, and will be completed in June 2009 (cycle 3).

The University committed itself to the following project deliverables:

- Clarifying the UJ's role, position and expectations in its metropolitan area
- Developing an understanding of the qualification structure and programme profile for the UJ in terms of the knowledge divide
- Clarifying curriculum design and academic programme models for the UJ
- Implementing the work on the case studies by re-designing relevant programmes and curricula, as well as consolidating programmes and qualifications where appropriate
- Establishing and documenting articulation pathways between and within qualifications and programmes specific to the UJ, albeit with wider application to other universities and between universities
- Reconfiguring appropriate access and retention strategies for the UJ within the framework of the academic programme models.¹³²

As part of the project deliverables and sustainability, the project outcomes will ultimately be:

- aligned with institutional initiatives; and
- integrated into institutional systems for academic planning, quality management and academic development.

Progress and annual reports¹³³ are submitted to the national SANTED office.

¹³¹ Addendum to *Business Plan: 2008-2009*.

¹³² *SANTED Project Business Plan: 2006-2009*.

¹³³ Progress and annual reports: 2007 and 2008.

4.5 PHASE 2: THE IMPLEMENTATION OF THE NEW APS

This phase (which overlaps with Phase 1) addresses the development of institutional policies, strategies, plans, as well as a programme quality system to support the implementation of the new APS.

4.5.1 STRATEGIC INTENT WITH NEW APS

4.5.1.1 ***Significance of APS***

The development of a new APS for the University is a significant milestone in the attainment of unity by charting a new identity for the merged institution by means of the scope of its programme offerings. The University accepts its responsibility to offer a spectrum of programmes that spans the knowledge divide. In its *Vision*,¹³⁴ the University declares categorically that it will offer a mix of vocational, professional and general formative academic programmes that advance freedom, democracy, equality and human dignity. The *Mission Statement* expresses the University's commitment to supporting access to a wide spectrum of academic, vocational and technological teaching, learning and research.

The University is committed to internationally competitive research (Strategic Goal 3), putting it squarely on the playing field of the traditional research universities (see Chapter 6). It is equally committed to serving the broad community in and around Johannesburg with vocational programmes, i.e. in the realm of the Universities of Technology.

4.5.1.2 ***Strategic intent***

In the *UJ Strategic Plan* (Strategic Goal 2), the intent is to “promote and sustain excellence in teaching and learning by quality assurance practices and actively developing and implementing cutting-edge teaching, learning and assessment strategies”. The University's strategic intent is linked to the *Academic Programme Policy*,¹³⁵ i.e. it will offer formative general, professional and vocational (career-focused) programmes.

In a DoE letter in March 2007¹³⁶ the Minister of Education provided information on the national enrolment plans and infrastructure and efficiency funding. The UJ developed Enrolment Planning Parameters and reported in November 2008 on progress made and presented some projections for 2010 (see slide number 4 in the DVC: Academic's presentation to Council in November 2008).¹³⁷ According to this report and projections, the UJ has, in 2008, achieved the DoE targets set for 2010. This implies that the University has to carefully monitor and manage enrolments in 2009 and 2010. An Enrolment Planning Workshop was held on 27 May 2008 (see report),¹³⁸ Different perspectives were discussed, including financial implications,

¹³⁴ *UJ Strategic Plan*.

¹³⁵ *Academic Programme Policy*.

¹³⁶ DoE letter, March 2007.

¹³⁷ Council Workshop: Academic review (November 2008).

¹³⁸ *Report: Enrolment Planning Workshop* (27 May 2008).

faculty projections and enrolment parameters, etc. Various strategies were discussed and the way forward included:

- Clarity has to be on budget implications.
- A strategy should be developed.
- Each Dean should consider what his/her faculty's needs are to develop a postgraduate strategy.

A Director: Academic Planning and Policy Implementation has been appointed and took office in March 2009. She will also be responsible for enrolment management.

4.5.1.3 Strong programmes as centres of excellence

In 2008, the decision was made to initiate a comparable focus within the University's teaching/learning domain, and to identify strong programmes in faculties that may be considered the equivalent of the centres of excellence of the research domain. It was considered important to identify, recognise and strengthen such programmes or areas of excellence to ensure that they remained respected features of academic endeavour within the University. The identification of such strong programmes would clearly contribute to the academic standing of the University, both locally and abroad, its brand, its ability to attract the best students locally and from abroad, and its ability to acquire the financial and human resources to grow and prosper.

To initiate this process, a set of criteria¹³⁹ was identified, which focused on three core topics: demand, both in terms of national skills needs and demonstrated student demand for the programme; programme quality, in terms of an adequate resource base and good teaching; and the positive outcomes of the programme, such as student success and a contribution to the University's reputation. In a discussion with the Deans, the DVC: Academic requested them to identify potential strong programmes in their faculties in line with the criteria.

Submissions from the faculties were evaluated by a task team chaired by the DVC: Academic. The final list of 16 recommendations was presented and approved by the MEC at its strategic breakaway meeting on 1-2 August 2008. Finally, in consultation with the respective faculties, strategies have been identified to further support and strengthen the programme areas.

The programmes listed below were identified.¹⁴⁰

Table 4.2: Strong programmes

| QUALIFICATION AND/OR FIELD OF STUDY | FACULTY |
|--|--|
| Industrial Design | Faculty of Art, Design and Architecture |
| B Com (Accounting) B Com (Finance) | Faculty of Economic and Financial Sciences |

¹³⁹ Strong programmes: criteria.

¹⁴⁰ See programme files for examples of these strong programmes – part of faculty files.

| QUALIFICATION AND/OR FIELD OF STUDY | FACULTY |
|--|--|
| Educational Psychology Educational ICT | Faculty of Education |
| Mining Engineering | Faculty of Engineering and the Built Environment |
| Radiography | Faculty of Health Sciences |
| BA (Psychology) BA (Social Work) | Faculty of Humanities |
| LLM Banking Law (to become LLM Mercantile Law) | Faculty of Law |
| Marketing Management Logistics Management | Faculty of Management |
| Information Technology Biochemistry Chemical Technology Geology | Faculty of Science |

In the following sections, academic programmes in the University are addressed from the perspectives of the HEQC Audit Criteria 5 – 10.

4.5.2 DEVELOPMENT AND APPROVAL OF NEW PROGRAMMES

Criterion 8: Clear and efficient systems and procedures are in place for the design and approval of new programmes, courses and modules. The requirements are applied and monitored regularly and consistently.

4.5.2.1 *Historical context*

Until October 2007, all submissions for new programmes or amendments to existing programmes had to be consistent with national academic policies, as well as the criteria for national HEQC Programme Accreditation Criteria.¹⁴¹ The policies providing these guidelines and criteria include:

- A Qualification Structure for Universities in South Africa – NATED Report 116 (99/02)
- General Policy for Technikon Instructional Programmes – NATED Report 150 (97/01)
- Formal Technikon Instructional Programmes in the RSA – NATED Report 151 (99/01)

¹⁴¹ HEQC Programme Accreditation Criteria.

- Revised Qualifications Framework for Educators in Schooling, in Norms and Standards for Educators (February 2001).

In October 2007, these policies were replaced by the Higher Education Qualifications Framework (HEQF)¹⁴² as a framework for all higher education qualifications and programmes in a single coordinated system. Since no details on the implementation of the HEQF have been announced, the abovementioned national policies still apply.

Various systems for programme development and approval existed in the former TWR and RAU. TWR programmes were developed nationally, after consultation with a convenor technikon. The development and approval of programmes at universities was an institutional matter.

The merger created an opportunity to develop systems and procedures for the UJ, in accordance with requirements of the HEQF and in alignment with the HEQC online accreditation system. The University of Johannesburg was, however, advised by the DoE and the HEQC to place a moratorium on the development of new programmes. Hence, no new programmes have been developed and submitted since 2005. The first new programmes will only be submitted to the DoE and HEQC in 2009.

A document, *Guidelines for the Approval, Accreditation, Registration and Amendment of Subsidised and Non-subsidised Academic Programmes*,¹⁴³ was developed by the former Office for Institutional Effectiveness (OIE) to provide support with the development and approval of new programmes. The originally approved document (2005)¹⁴⁴ was revised by the Subunit Programme and Curriculum Development in DIPQP and aligned with HEQF and UJ requirements in 2008.

4.5.2.2 Quality system

The *Academic Programme Policy* provides the principal means by which the University assures the quality and standards of all new academic programme proposals, as well as amendments to all existing programmes. Quality structures at faculty and institutional level are described in the *Quality Promotion Policy* (see also Chapter 2 in this regard).

The *Guidelines and Procedures: New Subsidised Academic Programmes* provides guidance and support with the submission of new programmes for internal approval (by Senate) and external submission to the DoE (for approval) and the HEQC (for accreditation).

As far as non-subsidised programmes are concerned, the quality assurance procedures and mechanisms for internal approval are described in the (draft) *Guidelines and Procedures: Development and Approval of New Non-subsidised Programmes*. This draft document currently serves as a working document for the

¹⁴² HEQF.

¹⁴³ *Guidelines for the Approval, Accreditation, Registration and Amendment of Subsidised and Non-subsidised Academic Programmes*.

¹⁴⁴ Senate Minutes, 19 Oct 2005.

submission of credit-bearing, non-subsidised programmes (60 credits or more) to Senate, and for all other non-subsidised programme submissions to SENEX.

4.5.2.3 Self-reflection: Criterion 8

The following section consists of narratives focused on the specific aspects addressed by the examples provided with the criterion. A summative self-reflection is provided at the end of this section (see (j)).

a) Programme planning and budgeting

The current financial budgeting system does not provide the opportunity to budget separately for the development of new programmes. However, individual departments and faculties must include this in their budgets, especially for implementation purposes (e.g. additional staff, infrastructure, etc.).

b) Internal approval of new programmes

The University has developed the *Academic Programme Policy* and a supporting document, the *Guidelines and Procedures: Development of New Academic Programmes*¹⁴⁵ (including the HEQC online application form for accreditation), in accordance with relevant HEQC policies and directives. Another document, the *Guidelines for the Amendment to an Existing Programme*¹⁴⁶ was also developed. Both sets of guidelines address the requirements (in the examples) and are underpinned by the following institutional policies, plans and strategies:

- UJ Strategic Plan
- Teaching and Learning Policy¹⁴⁷ and Strategy¹⁴⁸
- PQM¹⁴⁹
- Enrolment Plan.¹⁵⁰

Planning and providing support for the implementation of guidelines in the approval process should be addressed by the relevant support structure(s).

c) Programme coherence

The *Academic Programme Policy* and the *Guidelines and Procedures: Development of new Academic Programmes* serve as a point of departure for the development of new academic programmes. The *Academic Programme Policy* specifically addresses coherence: Programmes are coherently designed to ensure constructive curriculum alignment in terms of the purpose of the programme and exit-level outcomes, the learning content of modules and programmes, learning outcomes, assessment criteria, learning and assessment opportunities and strategies.

¹⁴⁵ *Guidelines and Procedures: Development of New Academic Programmes.*

¹⁴⁶ *Guidelines for Amendments to an Existing Programme.*

¹⁴⁷ *Teaching and Learning Policy.*

¹⁴⁸ *Teaching and Learning Strategy.*

¹⁴⁹ *PQM.*

¹⁵⁰ *Enrolment Plan.*

Curriculum coherence is part and parcel of the development and approval process of new programmes. The guidelines, a template for developing a programme, provide guidelines on the alignment of curriculum components to the faculty programme development team. Coherence is addressed in Phase 2, as part of the HEQC online application.

The University addresses this matter in the approval of amendments to existing programmes, i.e. in the document *Amendments to an Existing Academic Programme*, approved by Senate in May 2008. The information to be provided on the template indicates whether coherence of the programme is still evident after amendments have been made.

d) Procedures and time frames

The document, *Guidelines and Procedures: Development of New Academic Programmes*, provides specified procedures for the design and approval of new academic programmes (see (a) to (c) above).

The institutional year programme schedules submission dates for the internal approval of new academic programmes, from Faculty Board meeting to Programme Working Group, to SENEX to Senate.

The year programme is informed by the national due dates as determined by the DoE and CHE. It is available at the beginning of the second semester of the preceding year, e.g. the programme for 2009 was available in September 2008.

The guidelines also stipulate that implementation (on condition that approval by DoE and CHE is granted) may apply for a year or longer, mainly because of the compulsory external approval phases.

e) Independent internal approval and external stakeholders

Programmes are designed according to the HEQC Criteria for Programme Accreditation. Institutional templates are specifically designed to guide developing teams to adhere to the programme accreditation criteria.

The internal approval process is independent from the developing team. New programmes should be approved by the Faculty Quality Structures and the Faculty Board before being submitted to the PWG, a subcommittee of the Senate Executive Committee (SENEX).

Consultation with external bodies (e.g. professional and statutory bodies) and stakeholders is regarded as extremely important for developing programmes to ensure that graduates meet employability requirements and labour market needs in the short and long term. This is the programme development team's responsibility. Specific guidelines by means of a checklist are provided in the *Guidelines and Procedures: Development of New Academic Programmes*.

f) Professional and vocational programmes

Different forms of WIL can be found across programmes. This is as a direct outcome of the curriculum process, where the format, duration and learning outcomes of WIL are determined. Historically, most WIL occurred in blocks,

most often in one or two semester blocks, as in the case of most Engineering Technology programmes, Hospitality Management and various other programmes. In other cases, programmes require a minimum number of hours for WIL, as in Applied Marketing and Public Relations Management. As new programmes are developed and as and where WIL is introduced, even more formats and options for WIL will become evident. This is an aspect that is accepted internationally as well. The curriculum for, and planning and implementation of programmes with a WIL component remain the responsibility of the faculty/department. Support for WIL is provided in the Centres of the Division for Academic Development and Support, but is limited to the former technikon programmes in Engineering.

Academic departments that offer vocational programmes, especially those that include a WIL component, should have an advisory committee, comprising industry, professional bodies and other relevant role players (consult the policy on WIL and SL).¹⁵¹ When programmes are designed, specific outcomes should be identified that are best achieved in an authentic industry workplace. The identified outcomes are developed with the relevant prerequisites and assessment requirements (see par. 3.7 in this regard).

Faculty quality structures are responsible for this aspect of the development and approval of new programmes. Expertise to judge this aspect of the programme curriculum is available at this level.

The University has no directive in this regard. Via its case studies, the SANTED project is investigating the fundamental differences, similarities and/or overlaps in terms of the types of knowledge, skills and competencies that comprise the curricula of national diplomas and degrees. This is an attempt to gain a fundamental understanding of the underlying principles and assumptions on which these programmes are based. On the basis of the outcomes of the project, the UJ may decide to include a stipulation in this regard in the *Programme Policy*.

In addition to WIL opportunities off-campus, the University also offers a wide range of opportunities to master techniques and skills required by various professions and occupations. Practical application can be mastered in various ways, namely by means of practical applications in laboratories, simulated workplace situations (e.g. in teacher training), practical assignments, etc. The University offers all such opportunities in its wide range of programmes. Work-related experience can also be gained in the many clinics, projects, contracts with the private sector, etc. in the University (managed by the relevant faculty or division):

- Chiropractic Clinic
- Homeopathy
- Institute for Child and Adult Guidance in PsyCaD
- Optometry clinics

¹⁵¹ *Work Integrated and Service Learning Policy*.

- Podiatry Clinic
- Radiography Clinic
- School for Tourism and Hospitality.

Where WIL or SL is required, all students must complete this component in order to qualify (consult the UJ policy on WIL and SL). Previously, institutions only assisted in and facilitated the placement of students in WIL (the onus remaining with the student to secure an actual WIL placement). When the new national Higher Education Qualifications Framework (HEQF) is implemented (date to be announced), this will change, since the HEQF allocates the responsibility of placing the students in WIL to the higher education institutions.

Students are placed in industry and workplaces that have been approved by the relevant academic department in collaboration/consultation with the Work Integrated Learning Coordinator (in PsyCaD – see Chapter 5). Prior to being placed in industry they are prepared for the WIL workplace, where they follow a structured learning programme, outlined either in the learning guide or a logbook. The logbook is completed, signed off by the industry supervisor and submitted to the UJ for assessment¹⁵². Students are monitored and visited in the workplace during the WIL period.

Compliance with professional bodies/councils requirements, especially in the health professions (i.e. clinical and practical requirements), is not negotiable. WIL programmes in the Faculty of Health Sciences and the Faculty of Humanities (i.e. programme in Psychology, Social Work) have to make use of WIL providers that are accredited by the relevant professional bodies.¹⁵³ In many cases a formal agreement with the approved (and accredited) place of work is in place (e.g. programmes in Nursing).¹⁵⁴

g) National requirements and regional needs

The programme design process, as described in the *Guidelines and Procedures: Development of New Academic Programmes*, addresses the education of graduates who will contribute to the social, cultural and economic development of South Africa and participate successfully in the global economy and knowledge society. Faculties and programme development teams are responsible for addressing the local, regional and national needs in the curriculum. The programmes facilitate articulation across the South African higher education system and assist students to identify potential progression and articulation routes in the context of lifelong learning.

The needs analysis for a proposed new programme should involve regional clearance and takes place via the Foundation of Tertiary Institutions for the Northern Metropolis (FOTIM) and relevant professional bodies. This phase ensures that no unnecessary duplication of programme offerings takes place in

¹⁵² Logbook and other relevant materials – see files on WIL.

¹⁵³ Examples of criteria, etc. – see WIL file(s).

¹⁵⁴ Examples of such agreements – in the WIL file(s).

the region. FOTIM clearance for new subsidised programmes is required by the DoE for approval purposes.

h) E-learning

This aspect is addressed in more detail in Chapter 5 on academic development and support (see par. 5.4.4 on CenTAL).

i) Regular review

The *Quality Promotion Plan* includes the reviewing of all quality structures and mechanisms at least once during the next six years. A review of the effectiveness of Council, Senate and Senate subcommittees (including the SAPQC) was conducted in 2007. The reports are available in the Evidence Room.¹⁵⁵

j) Summative self-reflection: Criterion 8

The University has achieved the following:

- The development and approval of a Programme Policy that addresses the development, approval and implementation of programmes.
- The development and approval of a Quality Promotion Policy and a Quality Promotion Plan to steer quality management in general, but also to address the implementation of the principles in the policy.
- The development of a Quality Promotion Framework that includes guidelines for the quality management of various programme aspects.
- The development of a set of guidelines to inform the development and internal approval of new programmes, as well as the approval of amendments to existing programmes.
- The establishment of quality structures at faculty and institutional level to review proposals for new programmes.

The following aspects, however, need improvement/attention:

- Systematic monitoring of the implementation of the policies, plans and guidelines.
- Support and training for the implementation at both faculty and institutional levels.

¹⁵⁵ Reports to the HEQC on the *UJ Quality Plan*.

4.5.3 ADMINISTRATION OF ACADEMIC PROGRAMMES

Criterion 7: The administration of academic programmes is conducted within the framework of an effective programme management system. Responsibility and lines of accountability are clearly allocated. Management information systems are used to record and disseminate information about the programme, as well as to facilitate review and improvement.

Following the historical context, a broad overview is provided of the establishment of a new integrated system. This is followed by a discussion of the UJ's achievements and concerns as referred to in the different Examples (under Self-reflection: Criterion 7).

4.5.3.1 *Historical context*

Prior to the merger, the former RAU had a decentralised system, as opposed to the former TWR, which had a centralised system. In addition to this, the former Vista had a campus-based process of academic administration, with a campus registrar for each campus. After the merger on 1 January 2005, the status quo prevailed until the renewal and integration process was finalised. As part of this renewal and integration process, the business processes related to academic administration (and all other support systems) were identified and described in detail (from application to graduation).

The development of the organisational structures and posts followed next. After approval of the organisational structures and posts, the process of “match and place” followed, and where applicable a post that was “materially different” was advertised internally. This process was completed on 1 June 2007. This resulted in a unified system of academic administration, consisting of:

Academic Administration, for the management of the academic student life cycle (often referred to as Central Academic Administration to distinguish it from faculty academic administration)

Central Administration, including Support for Corporate Governance, the Language Unit, Committee Administration and the Postal Services

General Administration, responsible for computer laboratories on all the campuses, audio-visual and creative services.

4.5.3.2 *Programme administration at institutional and faculty levels*

Programme administration is discussed from the following three perspectives:

a) Institutional level

At institutional level, the following SENEX subcommittees were established to address a range of programme-related matters:

- Central Coordinating Academic Administration Committee (monthly meetings)

- Undergraduate Admissions Committee
- Academic Timetable Committee
- Graduation Committee.

For information on the purpose and responsibilities of these committees, see the Academic Administration file (as part of the evidence for Chapter 5).

In the UJ, governance of an extensive range of programmes over nine faculties, varying from certificate to doctoral programmes, offered on four campuses and in some instances, presented in different languages, required a totally new programme approach to administration. Academic Administration (see Chapter 5) is responsible for administrative support at institutional level.

Currently, administration in the UJ is programme-based, while the University's model makes provision for faculty-based governance, as well as centralised governance structures (see Historical Context above), processes and structures relating to the management of the academic life cycle of the student. Clearly defined procedures on macro-processes were communicated to the HFAs by the Registrar by means of circulars and regular meetings.¹⁵⁶

Access to the ITS Academic Structure was also centralised. Faculties do not have access to the ITS to update information regarding curricula and modules. This resulted in an improvement in the quality of the data integrity and a relatively stable environment during registration in 2007: fatal errors in the system decreased from 1 500 in 2006 to 400 in 2007 (consult Error Reports).

After merging the (inherited) student data, it was realised that the take-on data was not complying with DoE¹⁵⁷ rules, HEMIS regulations and quality requirements. In collaboration with the faculty administrations, Central Academic Administration introduced a structured process to clean up the historical take-on data. As part of the programme review process, programme and module data on the ITS system were corrected and updated. This large-scale updating of programme and module data on the ITS system was completed before the submission of the *APS* to the CHE, and the *PQM* to the DoE in 2007. Continuous updating takes place (as new programmes or amendments to existing programmes are approved), and a revised *PQM*¹⁵⁸ was submitted to the DoE in October 2008 (for an overview of the achievements of Academic Administration, consult the *UJ Annual Report 2007* (p. 35)).¹⁵⁹ The *PQM* was approved by the DoE in December 2008,¹⁶⁰ and can be accessed by all UJ staff members on the HEDA server on the UJ intranet.

The admission and registration of international students resides within Central Academic Administration. The Manager of International Students is responsible for all the academic administration-related compliance (i.e. study permits, etc.). The University is flexible with late registration of international students in

¹⁵⁶ Examples of circulars to and minutes of meetings with HFAs.

¹⁵⁷ DoE requirements.

¹⁵⁸ *PQM* (October 2008).

¹⁵⁹ *UJ Annual Report 2007*.

¹⁶⁰ DoE letter of approval (dated 10 December 2008).

accordance with requests from selected countries such as Zimbabwe. Special arrangements are negotiated with the faculties concerned to assist these students to “catch up” with the academic programme during the first quarter of the academic year.

The Registrar reports to the MEC, and when applicable to the relevant executive dean, on relevant matters for discussion and decision-making. The Audit and Risk Committee of Council manages and conducts internal and external audits.¹⁶¹ Selective internal and external audits are conducted on an annual basis (focusing on a specialised aspect of the administrative process), complemented by the cyclical self-evaluation and peer reviews of a unit or division (as conducted in 2008).

b) Faculty level

Differentiation between programme administration at institutional (central) and faculty levels is as follows:

Table 4.3: Responsibilities of Central Academic Administration and Faculty Administration

| CENTRAL ACADEMIC ADMINISTRATION (UNDER LEADERSHIP OF THE DIRECTOR: CENTRAL ACADEMIC ADMINISTRATION) | FACULTY ADMINISTRATION (UNDER LEADERSHIP OF THE NINE HEADS: FACULTY ADMINISTRATION (HFAS, ONE PER FACULTY)) |
|--|---|
| <ul style="list-style-type: none"> • Academic Calendar and Year Programme • Managing and capturing the ITS Academic Structure of the University in accordance with the DoE rules • Capturing of applications for admission to the University • Issuing of access cards (students and employees) • Planning and coordinating the registration process • Planning and coordinating the student assessments • Coordinating the printing of Faculty Regulations and Academic Regulations • Compiling final summative assessment opportunities and lecturing timetables • Ad hoc venue bookings and venue hiring | <ul style="list-style-type: none"> • Updating of Faculty Regulations • Secretary of Faculty Board and other faculty committees • Student selection • Sourcing and administration of admission documentation • Admission and registration of students • Administration of student records and issuing of academic records • Administration of faculty assessments • Identification of graduates/diplomates • Assisting with the running of the faculty’s graduation ceremonies • Responsible for the data quality of student records • Responsibility for the ITS |

¹⁶¹ Audit Risk Reports.

| CENTRAL ACADEMIC ADMINISTRATION (UNDER LEADERSHIP OF THE DIRECTOR: CENTRAL ACADEMIC ADMINISTRATION) | FACULTY ADMINISTRATION (UNDER LEADERSHIP OF THE NINE HEADS: FACULTY ADMINISTRATION (HFAS, ONE PER FACULTY)) |
|---|--|
| <ul style="list-style-type: none"> • Updating students' application data and data quality • Issuing of certificates • Verification of qualifications (external: Kroll agreement)¹⁶² • Planning and coordinating graduation ceremonies • Coordinating ITS Access Control • Training of Academic Administration employees • Designing and drafting Academic Administration Manuals <p>Non-subsidised programmes are included in the above responsibilities.</p> | <p>Academic structure of the faculty</p> <ul style="list-style-type: none"> • Managing ITS access of the faculty <p>Non-subsidised programmes are included in the above faculty responsibilities.</p> |

The need for close collaboration between the institutional/central and faculty-specific administrative units is self-evident from this table. Different reporting lines etc. may cause problems – see Chapter 5 on Academic Administration.

c) **Student Enrolment Centre**

The establishment of a Student Enrolment Centre and a Central Admissions Committee¹⁶³ has been approved for implementation in 2009. The purpose is to centralise all relevant processes into one functional and physical unit on the APK. This centre will be responsible for providing information, and managing application, feedback, selection and admission processes. This centre will function under the auspices of the Registrar.

4.5.3.3 **Self-reflection: Criterion 7**

The self-reflection is guided by the examples provided with the criterion. Each section below consists of a narrative followed by the UJ's achievements and concerns.

a) **Dedicated structures and line managers**

A new institutional management arrangement (for academic matters) was established with the appointment of:

¹⁶² Kroll agreement.

¹⁶³ Student Enrolment Centre: Proposal.

- The DVC: Academic, who is primarily responsible for the strategic planning, coordination and governance of academic programmes and related matters across faculties. The DVC is supported by the Executive Director: Academic Development and Support.
- The Registrar, who is responsible for managing and determining procedures, timeframes, reporting and communication arrangements for programme administration. (Consult the Central Academic Administration's Self-evaluation Report for an organogram in this regard - Academic Administration SER 2008, p. 41).

Line managers responsible for the quality management of academic programmes include both academic and administrative line managers. Academic managers include the executive deans and the heads of academic departments (and schools). They are supported by the quality structures in their faculties and at institutional level (as described in the *Quality Promotion Policy* - see Chapter 2 in this regard).

The *Faculty Rules and Regulations* reflect the structure of academic programmes, and specific attention is paid to the management of pipeline students in the incorporated former Vista campuses as well as in the merged institution. Information in this regard is communicated to the HFAs.

Academic staff members within academic departments submit the relevant information about programmes to faculty quality structures. The faculty board concerned approves the programme structure amendments and submits submissions to the SENEX (via the PWG) and Senate. A copy of the Senate minutes is made available by the Registrar, to be recorded on the management information system (MIS). The centralised facility of the Central Administration Division is managed by the Registrar and complies with security measures and the HEDA Business Rules, via HEDA (Higher Education Data Administration) validations.

The rest of this narrative focuses on administrative management of academic programmes (i.e. the main focus of this criterion).

The following table provides an overview of the structure and managers in Academic Administration. For information on the structures and line managers in Academic Administration, consult the Academic Administration file (as part of the evidence for Chapter 5).

Table 4.4: Line managers in Academic Administration (institutional level, as during the first semester, 2008)

| RANK | NUMBER OF EMPLOYEES |
|---|---|
| Director | 1 |
| PA | 1 |
| Managers | 3 |
| Training Officer | 1 |
| Senior Academic Administrative Officers | 6 (Only one of the six incumbents is appointed at the Senior Academic Administration Officer level. The outcome of the harmonisation of the remuneration process is being awaited.) |
| Academic Administration Assistants | 28 |
| Secretaries | 2 |
| TOTAL | 42 |

The complex nature of the UJ (i.e. number of students and campuses and number of programmes) created a need for an internal benchmark for administrative support staff allocation. It was also necessary to allow not only for the size and shape, but also for the complexity of the faculty. This was developed by Academic Administration¹⁶⁴ (consult p. 54 of their SER). The internal benchmarks (as agreed by Academic Administration Managers and HFAs) for the employee-student ratio for Faculty Administration employees are as follows:

Table 4.5: Faculty Administration employees

| FACULTY ADMINISTRATION EMPLOYEE | NUMBER OF APPOINTMENTS PER FACULTY |
|---|------------------------------------|
| HFA | 1 |
| Secretary for the HFA (depending on the faculty's size and shape) | 1 |
| Faculty Officer for every 1 000 students | 1 |
| Senior Faculty Officer for every 2 000 students | 1 |
| Administrative Assistant per faculty for reception purposes (depending on the faculty's size and shape) | 1 |

An institutional *Student Experience Survey* (2007) was conducted in 2006 and a report disseminated in 2007.¹⁶⁵ A summary of the relevant results at institutional

¹⁶⁴ Academic Administration SER 2008 – see Academic Administration file.

¹⁶⁵ *Student Experience Survey* 2007: report.

and faculty levels is provided (further details are available in the relevant survey report, e.g. a breakdown – where applicable - into faculties and campuses):

Table 4.6: Central Academic Administration: Student experience

| Central Academic Administration: Student experience | RESPONSE (%) |
|---|---------------------|
| Receipt of application form on time | 72 |
| Registration process completed in an acceptable time | 62 |
| Information about registration process is clear | 61 |
| Information about courses/programmes is easily obtainable | 64 |
| Problems with administrative matters are resolved effectively | 54 |
| Disputes about examination results are resolved easily | 58 |
| Faculty Administration: Student experience | Response (%) |
| Staff are helpful | 59 |
| The staff are efficient | 59 |
| The staff communicate well with the academic departments | 57 |
| The staff are accessible | 58 |
| The staff have adequate knowledge of the programme I registered for | 65 |
| The staff are professional | 70 |

Academic Administration conducted a self-evaluation and peer review in 2008.¹⁶⁶ A summary of the commendations and concerns can be found in Chapter 5 (see 6.5.2.4).

b) Clearly defined procedures, time frames, reporting and communication

Clearly defined procedures, reporting lines, etc. are described in the Academic Administration SER (see pp. 85-90). The need identified in the SER has been addressed, namely the development of a new set of guidelines and templates for the approval of new programmes and amendments to existing programmes.

A concern in the Academic Administration Division is the non-standardisation of the lecturing timetable and its implications for the equality of teaching and learning on the different campuses (see 5.5.2.2). The excessive number of electives in the programme design of qualifications offered by some faculties needs to be limited due to its detrimental effect on the timetable. A new strategy in which the parameters are clearly defined needs to be introduced. Such a strategy may include the formulation of choices of programmes for students, e.g. in the faculty of Humanities. Such choices could include the most popular

¹⁶⁶ Self-evaluation report and peer review report – see Academic Administration file (as part of Chapter 5 evidence).

programmes, which would prevent students from pursuing programmes that result in too many timetable permutations.

The *Peer Review Report* indicated that communication requires further attention:

- Due to the size and complexity of the institution, communication is vital to effective service delivery. It may be a consideration to introduce initiatives to aid communication between stakeholders. Especially in cases where faculties offer service modules to students enrolled in another faculty, it is extremely important that all relevant information such as a change in module codes should be communicated to the faculty affected.
- There is a perception that the communication lines (both top down and bottom up) between management and staff members are not always effective. Factual information is of extreme importance in service delivery.
- Roles and responsibilities should be clear and should be communicated to all concerned, including students.

c) Work integrated learning

This extensive narrative on the WIL practice at the UJ is subdivided under the following subheadings. A summary of the self-reflection of WIL at UJ is provided in (vi).

i) Institutional policy and support

In the former RAU, the majority of academic programmes (with the exception of a small number of professional programmes such as teacher education) did not include work-based learning (also known as work integrated learning, or WIL) as a requirement of a professional body or board. Responsibility for the management etc. of such arrangements (where required) was allocated to the various faculties.

In the former TWR, WIL formed an integral part of academic programmes and was a well established practice. The Cooperative Education Unit provided academic development and support to faculties. This included promoting WIL by negotiating suitable placement positions for students with companies and institutions, assisting with the development of methods for and the process of monitoring and assessing student progress during WIL, advising on curriculum design, and liaising with the various faculties/departments on an ongoing basis.

In 2008, the UJ approved a *Work Integrated Learning and Service Learning Policy* that determined that all the WIL-related processes within departments should be aligned to ensure implementation and compliance with this policy and related policies (e.g. the *Assessment Policy*).

A restructuring of academic support units, with special reference to support for WIL, resulted in the establishment of the Division for Academic Development and Support that reports to the Executive Director: Academic Development and Support. The division includes the former CPU (see par. 5.4.6 on academic

support). The institutional WIL support functions will be managed by a WIL Administrator, supported by the business partner in the Centre for Psychological Services and Career Development (PsyCaD), from 1 October 2008.

With the approval of the *Work Integrated Learning and Service Learning Policy* in 2008, all the processes within departments should be aligned to ensure implementation and compliance with this policy and related policies (e.g. policies on assessment of learning, strategic partnerships/community engagement. In the policy, management of WIL is addressed at institutional and faculty level, while detailed guidelines are provided in Appendix A of the policy. The procedures are applicable to advisory committees, partnership agreements, module development, student placements, mentoring and learning agreements, assessment, recordkeeping, etc. Although a well established practice did exist in the former TWR, the implementation of the new policy poses new challenges, especially at administrative level.

The following list of documents¹⁶⁷ is evidence of the different kinds of support provided to academic staff and WIL students:

- Evidence of workshops/presentations to prepare students for the work integrated learning workplace
- Guidelines for the management of work integrated learning for international students
- Insurance for students involved in work integrated learning
- List of contacts – 2005 up to the present
- List of UJ programmes with a WIL component
- Memorandum of agreement between the UJ and students
- Quality assurance for work integrated learning
- Registration for work integrated learning.

Students are prepared for their WIL in various ways. The responsible department is the academic department within which the student has registered. The former CPU (now located in PsyCaD – consult Chapter 5 for more information) assisted with presentations and workshops in the '*Get into Gear for your Career*' series on request. Typical topics covered include¹⁶⁸:

- CV writing
- Dress for success
- Job search skills
- The Interview!
- Basic Business Etiquette
- Telephone skills and etiquette
- How to start your own business.

¹⁶⁷ Supporting documents for WIL – see file(s) on WIL.

¹⁶⁸ Power Point slides: Get into gear for your career.

Since 2008, preparation for the workplace workshops was taken over by the Career Counselling and Career Development function within Student Counselling and Career Development/Student Counselling and Career Development Unit (SCCD). As of October 2008 the PsyCaD Career Counselling and Career Development Services will support WIL coordinators and offer workshops to students on request as part of their academic support service.

Other resources available to students to assist them to be better prepared to seek WIL opportunities and for the world of work include:

- Offices of the CPU and Student Counselling for placement opportunities, job search, CV writing, interview skills, etc.
- Their academic departments and the WIL coordinators.
- Library for information on companies, job searching, CV writing, etc. A list of publications (both books and CDs) available to students is available in the Evidence Room.¹⁶⁹ Copies of The Star Workplace and other newspapers advertising career/job opportunity are kept in the UJ libraries and were available at the CPU offices.
- Computer Labs (on all campuses) to send CVs and to access company websites for job opportunities and company information.
- Career Centres (to be called Career Information Centres from October 2008) for job searching, CV writing, etc. and also permanent job opportunities.
- Company presentations as arranged by the CPU, the faculties and departments and Career Counselling and Career Development.
- Lists of websites offering placement opportunities.

ii) Learning contracts: roles and responsibilities

Each academic programme offered by the UJ will have been formally curriculated, approved via the appropriate channels (see response to Criterion 8, Section 4.5.2) to be included in the *UJ Programme Qualification Mix (PQM)* after approval by the HEQC and the DoE. In some cases, where it is deemed that certain outcomes are best achieved in an authentic workplace, the programmes will have been curriculated to include a structured WIL component. A list of these programmes is available in the Evidence Room.

For each of these programmes, the relevant outcomes to be achieved in the approved authentic workplace are outlined. These outcomes are reflected in the WIL guidelines that the relevant academic departments provide to students and their employers. An example of such a document for the National Diploma: Electrical Engineering (Practical 1) is available in the Evidence Room.¹⁷⁰ This document serves as the learning contract and outlines the responsibilities and duties of the academic institution, the student and the employing company. Each academic department develops and provides its own WIL guidelines. These guidelines will outline the responsibilities of the various parties. The roles and

¹⁶⁹ List of WIL references.

¹⁷⁰ Example of WIL guidelines: National Diploma: Electrical Engineering (Practical 1) - see WIL file.

responsibilities are discussed with employers during the visit to the company to approve it as a suitable WIL employer. In many cases, students enter into temporary work contracts for the duration of their WIL. This is a contract between the student and the employer. In the case of Department of Labour learnerships or work experience contracts, the UJ becomes one of the three signatories. An example of a learnership contract¹⁷¹ is available in the Evidence Room.

The UJ is firmly committed to providing any of its students with disabilities its full support. This extends into creating awareness of such student's needs in the workplace as well.¹⁷² Students are covered by UJ insurance whilst doing WIL.

iii) Communication

The CPU served as a 'one stop shop' to new and potential WIL partner companies. Each company contact was followed up by e-mail, with the overview of the CPU being sent together with contact details of the specific WIL coordinator in the programme the request was for. After initiation of an opportunity, the WIL coordinator followed up with the new company, using their individual departmental procedures for assisting students to secure opportunities.

Each individual department follows its own procedures for registered students who need to be monitored and assessed during WIL. CPU staff sometimes joined the WIL coordinators on first visits to companies. This was the opportunity used by the CPU to market the UJ and specifically the other programmes requiring WIL placements for students. Each department maintains its own list of company contacts. Ideally, the UJ should establish a Customer Relationship Management System.

iv) Recording and monitoring

All students are expected to register for their WIL during the normal registration period. Lists of students registered for WIL may be drawn from the Integrated Tertiary Software (ITS) Student Registration System. Students record their progress in the logbook/portfolio of evidence that they complete as part of their WIL. This logbook/portfolio of evidence is submitted for marking at the end of the WIL period. WIL coordinators may do interim monitoring and assessment when they visit students in the workplace. Final assessments are made on submission of the completed logbooks/portfolios¹⁷³ of evidence at the end of the WIL period.

v) Mentoring system

Approval of companies (and identification of suitable mentors within the company) is done by the WIL coordinator in the relevant programme. (Formal guidelines for this are being developed.) WIL coordinators visit the students to mentor, monitor and assess their progress. Students are able to contact the WIL coordinators by e-mail or phone or personal visits should any issues arise that need resolving or clarification.

¹⁷¹ Example of a learnership contract – see WIL file.

¹⁷² Students with disabilities in the workplace – see WIL file.

¹⁷³ Example of a WIL logbook/portfolio – see WIL file.

vi) Quality management of WIL

Quality management of WIL is described in the relevant institutional policy. Implementation varies across and even in one faculty. Variations of the following structures and mechanisms can be found in different faculties and departments:¹⁷⁴

- Selection of the industry/place of work where work integrated learning can take place by applying criteria developed by the relevant professional body and/or the faculty or academic department.
- Regular visits by academic staff members to the workplace to support/assess the learner, but also to monitor the quality of learning opportunities provided.
- An advisory committee consisting of at least the academic department and workplace representatives to discuss common interests, including the input by the workplace in programme curriculum matters.
- Other faculty structures/committees dedicated to managing and overseeing WIL matters, including the quality of the learning experience in the workplace.
- Qualified UJ staff members are appointed as assessors and workplace assessors are identified and accredited (if necessary) in accordance with the UJ assessment Policy and the relevant professional council's requirements.

vii) Self-reflection on WIL

A well established practice existed in the former TWR and is still used in the relevant academic departments. Alignment with the new UJ policy should now be addressed. The following aspects should be addressed:

- Regular monitoring of the WIL components in modules and programmes, as part of the implementation of the Faculty Quality Promotion Plan. Support units in the ADS (e.g. the WIL Administrator and Professional Academic Staff Development) should pay special attention to support and staff development in the WIL context.
- Each individual department follows its own procedures (e.g. for monitoring and assessing learning). As a result of the diverse work contexts and requirements, alignment with the UJ policy is compulsory. Support (and guidelines) in this regard should be made available.
- Programme reviews should address WIL specifically – not only in the criteria, but also in terms of review panels, faculty or department-specific surveys, etc. The integration of the WIL component into the planned programme reviews will require additional support and coordination of UJ and workplace stakeholders.
- Employers' quality arrangements etc. should be addressed in regular surveys among students and employers.

The following concerns should be addressed:

¹⁷⁴ See WIL files – part of faculty files.

- Monitoring, steering, etc. of WIL at institutional level seems to be lacking. The establishment of a WIL committee (or identification of an existing Senate committee to accept the responsibility) is a matter of urgency. The absence of such a committee results in a lack of coordination of WIL matters (including quality) at institutional and faculty/departmental levels.
- The establishment and alignment of quality structures for WIL in faculties must be addressed by the SQC. A special task team may be needed to address the matter by taking professional councils' requirements into consideration.
- The University cannot place international students in WIL programmes because of the legal implications of work permits, students versus persons working in SA, etc.
- Institutional arrangements to comply with the HEQF requirements (when it is implemented), namely that the University should take responsibility for finding WIL opportunities for students.

d) Service learning

Service learning is reflected in the *UJ Strategic Plan*, Goal 4, on an engaged university, namely that the UJ will add value to external constituencies through strategic initiatives and partnerships. To date, the following fields of study involves programmes with a formal SL component, i.e. Optometry, Law, Education, Sport Management, Nursing and Public Relations (including Business IT). In November 2008, the University held its first institutional Community Engagement (CE) workshop on which the direct link between SL and CE was established; the need for the existing CE Office (housed in the Institutional Advancement Division) to collaborate closely with the subunit for programme development (in DIPQP) was identified.

Community engagement projects are included as one of the key performance indicators (see 7.5 in this regard). These strategic partnerships include the whole range of core functions, namely TLA, research and community engagement. The *Policy on WIL and SL* indicated that all (subsidised and non-subsidised) academic programmes are subject to the same programme and development principles.

Resources planning and the management of academic programmes is the relevant faculty and academic department's responsibility. Resourcing of SL is integrated with the planning, budgeting, etc. for all academic programmes. No special arrangements, in this regard, are made for SL.

The regular review of academic programmes includes programmes with an SL component (as stipulated in the *Quality Promotion Plan*). Programme reviews are done by applying the HEQC Programme Accreditation Criteria, which includes SL.

Concerns in this regard focus on the lack of institutional monitoring, steering, etc. of SL and the way in which it is linked to community engagement. It is clear that

SL, although linked to the *UJ Strategic Plan*, requires strategic leadership, formal support structures at project, but also at programme development levels. A conceptual differentiation between WIL and SL at programme level (not conceptual level) is needed. It is important that the proposed structures become functional in steering, monitoring and aligning SL cross faculties.

e) Capturing and continual updating of programme information

Regular updating of programme data on the ITS is done by Central Academic Administration after approval by Senate (i.e. amendments to existing programmes and non-subsidised programmes). Data on new subsidised programmes are uploaded on the ITS after accreditation and approval by the CHE and the DoE. Reports on the capturing and continual updating of all necessary information about programmes, including their accreditation status, in the management information system are generated from time to time. Relevant aspects of this information are regularly available to staff and students in order to facilitate improvements. (See the Academic Administration SER, p. 85-90 for more information – in the Academic Administration file.)

The *Peer Review Report* for Academic Administration identified a number of strengths, but also a number of concerns, including:

- Data input and processing are inadequate.
- The tension between centralised and faculty administration should be addressed.

f) Regular review

Regular review procedures are integrated with the existing practices and annual external audits of data on the system are conducted. Service and support units conduct self-evaluation and peer reviews according to the *Quality Promotion Plan: 2009 – 2014*. Academic departments also conduct regular self-evaluations and peer reviews (including the management of academic programmes) according to the abovementioned *Quality Plan*.

The UJ policy requires supervisors/mentors and coordinators to be appointed for SL students while they are working and learning in a community. This is to support learners and maintain a link with the academic programme, while allowing the students to progressively become independent learners.

4.5.4 LEARNER RECORDS

At institutional level, the Division for Academic Administration is responsible for both learner records and certification. The focus of this section (as is indicated by the heading) is on learner records only, while certification will be addressed in the next section in this chapter.

Criterion 6: *Clear and efficient arrangements ensure the integrity of learner records and certification processes. Monitoring responsibility is clearly allocated and acted upon.*

4.5.4.1 Arrangements regarding learner records

At institutional level, Academic Administration is responsible for timetables, examinations and coordination of faculty administration (see diagram on p. 41 of their SER). Detailed information on the processes and arrangements for learner/study records is available in the *Self-evaluation Report, 2008*¹⁷⁵ (pp. 111 – 127).

A learner record refers to the academic achievements and history of a student. The process to keep the academic record of a student updated is important. The Head: Faculty Administration (HFA) is considered the custodian of this data. Access to learner records is determined by the *Policy on Access to the Student Administration System*.¹⁷⁶

New data, such as biographical details, registration details, marks and results, is loaded onto the ITS Student System by hand or electronically. This system carries all the data. A report can be printed from ITS on a pre-determined electronic template, with the University's logo inserted by means of a unique format. A request for a student record is submitted to the faculty office. The report is printed by faculty staff on request from the student. Other higher education institutions can also request a study record for a student. The record is signed and stamped to confirm the status. Unofficial copies are available to students on the Student Portal.

The so-called life cycle of a student, as reflected in the learner records, is managed as four key processes with identified responsibilities at central or institutional level and at faculty level:

- Applications, which are acknowledged and processed according to the Recruitment Policy¹⁷⁷ – detailed information is provided in the SER of the Division for Central Academic Administration
- Registration, which includes the central logistical planning and control of registration across all four campuses (consult the abovementioned SER for more details)
- Assessments, which include the smooth running of final assessment opportunities on all campuses, coordination of external invigilation and printing of the faculty and academic regulation books (consult the abovementioned SER for more details)
- Graduation, which includes certification and central logistical planning and control of the three cycles of graduation ceremonies per year, across nine faculties and four campuses (consult the abovementioned SER for more details).

¹⁷⁵ Self-evaluation report, 2008 – see Academic Administration file.

¹⁷⁶ *Policy on Access to the Student Administration System*.

¹⁷⁷ *Recruitment Policy*.

The process and security of learner records are described in the teaching, learning and assessment policies of the University, as well as in the following policies:¹⁷⁸

- Academic Regulations for 2008 and 2009
- Certification Policy
- Policy on Access to the Student Administration System
- Policy on the Rules of Assessment and Invigilation
- Recording of assessment results.

At faculty level, the HFA in each faculty is accountable for the management of the support processes. Faculty Officers and Senior Faculty Officers manage the support processes in the various faculties. Depending on the staff allocation in the various faculties, the Faculty Officer or Administrative Assistants execute the processes. The HFAs are accountable and are required to sign off the Monthly Work Schedule.¹⁷⁹

The division of duties (as far as learner records and certification are concerned) in Academic Administration and Faculty Administration is summarised in Table 4.8. Basic processes are listed, but processes are not always implemented uniformly across faculties, as a result of unique faculty-specific factors.

Table 4.7: Duties of Academic Administration and Faculty Administration

| CENTRAL ACADEMIC ADMINISTRATION (UNDER LEADERSHIP OF THE DIRECTOR: CENTRAL ACADEMIC ADMINISTRATION) | FACULTY ADMINISTRATION (UNDER LEADERSHIP OF THE NINE HEADS: FACULTY ADMINISTRATION (ONE HFA PER FACULTY)) |
|---|---|
| <ul style="list-style-type: none"> • Issuing of access cards (students and employees) • Planning and coordinating the registration process • Planning and coordinating student assessments • Coordinating the printing of Faculty Regulations and Academic Regulations • Compiling final summative assessment opportunities and lecturing timetables • Ad hoc venue bookings and venue hiring • Updating of students' application data and data quality • Verification of qualifications • Planning and coordinating graduation ceremonies | <ul style="list-style-type: none"> • Student selection • Sourcing and administration of admission documentation • Admission and registration of students • Administration of student records and issuing of academic records • Record keeping of short learning programmes of fewer than 60 credits • Administration of faculty assessments • Identification of graduates/diplomates • Assisting with the running of the faculty's graduation ceremonies • Responsible for the data quality of student records • Responsibility for the ITS Academic Structure of the faculty |

¹⁷⁸ Policies on security of learner records.

¹⁷⁹ Example: Monthly Work Schedule – see Academic Administration file.

| CENTRAL ACADEMIC ADMINISTRATION (UNDER LEADERSHIP OF THE DIRECTOR: CENTRAL ACADEMIC ADMINISTRATION) | FACULTY ADMINISTRATION (UNDER LEADERSHIP OF THE NINE HEADS: FACULTY ADMINISTRATION (ONE HFA PER FACULTY)) |
|--|---|
| <ul style="list-style-type: none"> • Issuing of certificates • Coordinating ITS access control • Training of Academic Administration employees • Designing and drafting Academic Administration manuals • Non-subsidised programmes are included in the above responsibilities. | <ul style="list-style-type: none"> • Managing ITS Access of the faculty • Non-subsidised programmes are included in the above responsibilities. |

Communication with individual students takes place by means of registration letters, results letters, graduation ceremony letters, website information and SMSs regarding the various processes.

Information is communicated to all students by means of a number of documents available in faculties, but also via the Student Portal on the internet. The following documents¹⁸⁰ are available:

- Faculty Rules and Regulations
- Fees Booklet
- First-Year Orientation Booklet
- Form for requesting a complete cancellation
- Form for requesting a registration change
- HEDA Reports
- HEMIS/MIS validations (Error Reports)
- Information on Study Guides
- Timetable Booklet.

The Academic Administration Division has formalised processes in such a way that it includes systematic monitoring of the processes, but has also conducted a self-evaluation and peer review of the division as an academic support structure.

A description of the monitoring of data and changes to data, as an example of the processes and mechanisms Academic Administration has established, is presented below (for more details on other processes, consult their self-evaluation report).

Registration data is validated as follows:

- Progress reports¹⁸¹ (global statements) are printed after registration.
Registration data is checked manually (qualification, modules, curriculum, year of

¹⁸⁰ See Academic Administration file.

¹⁸¹ Examples of Progress reports - see Academic Administration file.

registration, block codes, offering types, completion indicator, admission documents, etc.).

- Faculty-specific HEMIS/MIS validations¹⁸² (i.e. Error Reports) are sent to the faculties by the MIS Department during the year. Error Reports are checked rigorously and errors corrected upon receipt.
- Registrar submits Error Reports to the MECA and also to the Audit and Risk Committee of Council.
- Registrar visits deans and faculty administration if necessary.
- Lecturers identify additional registration errors when using mark sheets.¹⁸³
- Lecturers do not release results of students whose names do not appear on the mark sheets. These students are sent to the faculty for registration.
- The Registrar generates an Operational Report on the changing of assessment results, which is available on HEDA.¹⁸⁴

4.5.4.1 Self-reflection: learner records

Since early 2006, Academic Administration has succeeded in unifying the inherited learner record systems. The fact that the processes are managed at institutional level, from one central office, contributes to effective quality management and control.

Additional challenges have been identified by Academic Administration via a process of self-evaluation (consult their Academic Administration Self-evaluation Report 2008).¹⁸⁵ The evaluation and improvement proposals are available in their SER (pp. 111 – 129) and include:

restructuring the role and responsibilities of the HFAs;

a permanent internal auditing system (as opposed to the outsourcing of such functions);

a brochure with relevant administrative information for students;

staff training and regular opportunities to interact with and consult peers at other institutions.

4.5.5 CERTIFICATION PROCESS

Criterion 6: Clear and efficient arrangements ensure the integrity of learner records and certification processes. Monitoring responsibility is clearly allocated and acted upon.

¹⁸² HEMIS/MIS Error Reports 2006, 2007 and 2008 - see Academic Administration file.

¹⁸³ Examples of Mark Sheets as a roll-call document - see Academic Administration file.

¹⁸⁴ Example: Operational Report on the changing of assessment results - see Academic Administration file.

¹⁸⁵ *Academic Administration Self-evaluation Report 2008* - see Academic Administration file.

4.5.5.1 Arrangements regarding certification

Academic Administration is responsible for central control and enforcement of the certification process for all faculties across all campuses. Currently, one Senior Academic Administration Officer: Certification reports to the Manager: Faculty Coordination (see Academic Administration organogram in the Self-evaluation Report) to assist with logistical arrangements and the printing of certificates. Apart from the three annual formal Graduation Committee meetings, communication between parties is also facilitated via e-mail and small, informal, specialised group discussions per campus.

Externally audited HEMIS Error Reports are submitted to the Audit and Risk Committee (a Council Committee) – it is a standing item on the agendas.¹⁸⁶

With regard to certification, Central Academic Administration's responsibilities are as follows (consult their SER for more details):

- Preparation of certificates as described in the procedures for the preparation and safe-keeping of related information and documents¹⁸⁷
- The procedures for the signing of certificates as described in the *Policy on Academic Certification*¹⁸⁸
- An annual audit to account for issued as well as blank and spoilt certificates (Audit Reports on Certification¹⁸⁹ are available in the Evidence Room)
- Issuing of certificates
- Duplicate certificates
- Controls, including:
 - Safe-keeping of documents
 - Certificates for non-subsidised programmes
 - Quality assurance
 - Security/policy
 - Management of the certification processes
 - Marketing of the certification processes in the Academic Regulations for 2007, 2008 and 2009.

Additional ITS changes and improvements (e.g. strict control of the identification of graduates) have been implemented to guide and secure the process of a multi-campus environment.

4.5.5.2 Self-reflection: Certification

In 2006, 2007 and again in 2008, the certification process was subjected to an external audit. The *Audit Reports on Certification* concluded that all the required controls and protocols were in place and that this environment had no exceptions

¹⁸⁶ Audit and Risk Committee: Agendas and minutes for 2008 - see Academic Administration file.

¹⁸⁷ Procedures for the preparation and safe-keeping of related information and documents - see Academic Administration file.

¹⁸⁸ *Policy on Academic Certification*.

¹⁸⁹ *Audit Reports on Certification*: 2006, 2007 and 2008 - see Academic Administration file.

were noted (see *Audit Report on Certification* in the Academic Administration file – part of evidence for Chapter 5).

A third external audit for policy and governance compliance was conducted in 2008. No critical concerns were noted in the final evaluations for 2006 and 2007, and every audit concluded with a very positive response for the management of the process.

Sufficient benchmarking is done, as reflected in the *Benchmarking Report of 2008*.¹⁹⁰

Regular training takes place as is evident from the *Training Report* for 2008.¹⁹¹

A final report relating to each of the academic life cycles of the student (i.e. the *Application Report, Registration Report, Examination Report, Graduation Report*)¹⁹² is discussed in the relevant committee, as well as at the Academic Administration Coordination Committee¹⁹³ (example and evidence document is the agenda for 2 March 2008), and the final report is ultimately submitted to MEC, SENEX and Senate for discussion and when applicable, for decision-making.

A *Policy on the Management of Student Complaints*¹⁹⁴ has been developed, approved and implemented.

Improvement proposals based on the self-evaluation and peer review of Central Academic Administration should address the following aspects:

The Unit for Certification currently consists of one full-time appointment and one temporary assistant. The appointment of additional staff to act as backup for the printing of certificates and the verification of qualifications should be considered. An additional administrative post is required, as well as succession planning for the Manager: Certification.

Communication to students is sometimes not timeous (delays are experienced because of postal delivery constraints). According to informal feedback at workshops, the internal marketing process is working relatively well. Consolidation of institution-wide information should be considered (e.g. finance, residence and graduation information).

Security and confidentiality: It might be a consideration to reflect on the involvement of third parties in various instances, for example in off-site storage, verification of certificates and the MTN results cell-phone line in terms of the implications for confidentiality that students are entitled to.

¹⁹⁰ *Benchmarking Report* in the Academic Administration file – see Chapter 5 evidence.

¹⁹¹ *Training Report* in the Academic Administration file – see Chapter 5 evidence.

¹⁹² Life-cycle reports in the Academic Administration file – see Chapter 5 evidence.

¹⁹³ Academic Administration Coordination Committee: Agenda and minutes of 2 March 2008 in the Academic Administration file – see Chapter 5 evidence.

¹⁹⁴ *Policy on the Management of Student Complaints* in the Academic Administration file – see Chapter 5 evidence.

Decentralisation of the examination section may constitute a security risk due to the various printing houses that are used, possible inadequately secured storage and the transport of examination papers and scripts between the campuses. The decentralisation of the student records may have had the same undesired effect.

See the improvement plan in the Academic Administration file (as part of the Chapter 5 evidence).¹⁹⁵

4.5.6 ACADEMIC AND SUPPORT STAFF TO DELIVER THE PROGRAMMES

Criterion 9: Recruitment, selection, development and support policies and procedures to facilitate the availability of suitably qualified and experienced academic and support staff to deliver the programme staff capacity in relation to programme needs, is reviewed regularly.

Consult *UJ @ a Glance* on the extensive staff harmonisation process that was conducted to align staff structures across academic, service and support staff. The *UJ Annual Report 2007*¹⁹⁶ also provides information on the achievements in 2007, including the harmonisation and remuneration of UJ staff. A narrative is provided to address key matters, and is followed by a self-reflection (see 4.5.6.3 in this chapter).

4.5.6.1 Planning

The *UJ Employment Equity Plan: 2008 – 2011* was approved by Council (21 November 2008).¹⁹⁷ The most measurable accountability of line managers is to ensure fair recruitment and selection processes, with the focus on meeting employment equity targets. While no targets have been set for non-permanent employees, permanent employees must be selected in accordance with the established targets, namely:

At least 75% of white academics who leave the UJ will be replaced by black academics.

At least 65% of white non-academic staff members who leave the UJ will be replaced by black non-academics.¹⁹⁸

In order to meet line managers and employees' needs, the UJ Human Resources Division strives to forge constructive relationships, and establish functional excellence and professionalism. This is reflected by the quality of their human resources support and management staff, as well as internal service delivery.

An integrated Human Capital Strategy¹⁹⁹ has been developed, as well as transformation initiatives, e.g. an employment-equity target-setting process²⁰⁰ was

¹⁹⁵ Improvement plan in the Academic Administration file – see Chapter 5 evidence.

¹⁹⁶ *UJ Annual Report 2007*.

¹⁹⁷ *UJ Employment Equity Plan: 2008 – 2011*.

¹⁹⁸ Minutes of an MEC meeting.

undertaken. Guidelines and processes were developed to ensure progress in respect of the transformation of the employee profile. In lieu of the high student to lecturer ratio, the MEC announced that 200 new academic posts would be created over the next five years. This number has since been reduced to 150 new posts. For permanent employees, a 6% attrition rate across all race groups and occupational categories was assumed and used as a basis for setting targets (see *UJ Annual Report 2007* and *Transformation at UJ: 27 February 2007*).²⁰¹

Considering the rather complicated staffing arrangement, the HR Division has established a position for a Director of Talent Management. This individual manages a team that will be involved in the recruitment, selection and appointment procedures of talented individuals, to ensure that newly appointed staff members will enhance the quality of academic input and administrative support. This is done in close collaboration with various departments (see Talent Management Organogram).²⁰²

4.5.6.2 Implementation

a) Due process for the recruitment, selection and appointment of staff

In order to assist the HR Division in complying with equity, an Employment Equity Profile²⁰³ will be provided to the line manager responsible for interviewing applicants. Transformation is a primary strategic imperative for the UJ, and initiatives not only address race, but also include active inputs by all stakeholders at all levels on the relevant potential, skills and competences required. The *Talent Management Policy*²⁰⁴ is implemented in the framework of human capital development and allows for the attraction and retention of talented and high-performing employees.

The documented process flow to be followed to fill a vacant post²⁰⁵ indicates how vacant academic and non-academic posts should be filled. The documents listed above are applicable. The necessary budgetary requirements must also be confirmed at the time of submission of the request to fill a vacancy.

The procedures to be followed for filling a vacant position are well documented. The following documents²⁰⁶ are applicable:

Table 4.8: Supporting documents

| DOCUMENT | PROCEDURES |
|---|---------------------|
| <i>Transformation at UJ: 27 February 2007</i> | Establishing equity |

¹⁹⁹ Human Capital Strategy.

²⁰⁰ Equity target-setting process.

²⁰¹ *Transformation at UJ: 27 February 2007*.

²⁰² Talent Management Organogram.

²⁰³ Employment Equity Profile.

²⁰⁴ *Talent Management Policy*.

²⁰⁵ *Process to be followed to fill a vacant post*.

²⁰⁶ HR documents as listed.

| DOCUMENT | PROCEDURES |
|--|-----------------------|
| <i>Request to fill/change a position or create a new (approved) position: Version 3/April 2007</i> | Provisioning of posts |
| <i>HR Practice Note: February 2007</i> | Quality management |
| <i>Practice note on the employment of foreign nationals: Version 1.0/18 June 2007. Policy for the recruitment of Non-South African residents</i> | Recruitment |
| <i>Composition of Selection and Promotion Committees for Both Academic and Non-academic Employees: approved by MEC: 28 August 2007</i> | Selection |
| <i>Procedure for filling of permanent/contract posts: V1/3 September 2007</i> | Appointment |
| <i>Reference Report: Academic Employees: Version 1/05</i> | Review |

These detailed procedures ensure that individuals who are recruited to apply for positions are managed in a fair and equitable manner.

b) Selection procedures

Selection procedures and the composition of the selection committees for the various post levels are clearly articulated in the document, *Composition of Selection and Promotion Committees for Both Academic and Non-academic Employees*.²⁰⁷ A referee may be included as a panel member for quality purposes (see *HR Practice Note - February 2007*²⁰⁸). Written records are kept of the short-listing as well as the interview panel's comments and final recommendations.

The documents, *Practice note on the employment of foreign nationals*²⁰⁹ and the *Policy for the Recruitment of Non-South African Residents*²¹⁰ stipulate clearly when a foreigner may be employed, the circumstances, length of contract, costs that must be borne by the inviting department and the required permits.

c) Appointment of staff

The types of staffing and appointments are clarified in the document *Appointment Types*.²¹¹ A detailed flow chart for the *Appointment of Permanent*

²⁰⁷ *Composition of Selection and Promotion Committees for Both Academic And Non-Academic Employees.*

²⁰⁸ *HR Practice Note: February 2007.*

²⁰⁹ *Practice note on the employment of foreign nationals.*

²¹⁰ *Policy for the Recruitment of Non-South African Residents.*

²¹¹ *Appointment Types.*

*Employees*²¹² and *Appointment of Fixed Term Employees*²¹³ ensures that equitable and fair procedures are applied. The appointment of temporary staff is dealt with in a separate document, a *Summary Guide to Appointment and Remuneration of Temporary Employees*.²¹⁴

The following documents²¹⁵ are also applicable:

- Employment Equity Plan
- Financial Policy for Income Generated by means of Non-subsidized Academic Programmes, Solicited Research and Consultation
- Human Resource Management of “Non-core” Income-generating Activities of Academic Employees
- Internal Service Contract
- Policy on Secondments
- Recruitment and Retention Strategy for Academic and Non-academic Staff
- Recruitment, Selection and Placement Policy.
- Talent Management Strategy for Individuals with High Levels of Skill, Scarcity and/or Excellence in UJ

Two of these documents are discussed in more detail because of their direct effect on the appointment and retention of skilled academic staff members to offer the approved *PQM: The Recruitment and Retention Strategy for Academic Staff* (approved by the Human Resources (HR) Committee of Council on 4 October 2007) states as basic principles that:

The HR Division in the University must conduct a comparative study of peer HE institutions and, where appropriate, commercial enterprises from time to time.

Individuals identified for recruitment should not only meet the standard criteria, but should be selected because of their exceptional merit. (See document of a definition of exceptional merit.)

Many academics have particular skills with a scarcity value, and their ability to command a higher salary elsewhere should be taken into consideration.

In order to meet equity targets, individuals from the designated groups need to be identified for active recruitment.

The *Talent Management Strategy for Individuals with High Levels of Skill, Scarcity and/or Excellence in UJ* (approved by the MEC in February 2009) is an extension and refinement of the abovementioned strategies. Recruiting staff to

²¹² *Appointment of Permanent Employees*.

²¹³ *Appointment of Fixed Term Employees*.

²¹⁴ A *Summary Guide to Appointment and Remuneration of Temporary Employees*.

²¹⁵ List of documents.

and retaining them in public higher education institutions has long been a problem of escalating proportions. This is particularly true in respect of those individuals who have high levels of scarce skills, competence and knowledge and the ability to perform at superior levels of excellence in respect of such skills, competencies and knowledge. If these individuals also belong to the Black designated groups their mobility increases. The purpose of this strategy is therefore to develop more competitive conditions of service and remuneration packages to recruit such individuals and to retain their services. It lists the kinds of benefits (and a time frame for regular reviews) that accrue to these categories of individuals. It is imperative to integrate the above policies, strategies and schemes with a strategy that recognizes and rewards those individuals in the institution who are exceptional because of their high levels of skill, scarcity and/or academic excellence and therefore deserve exceptional benefits.

d) Opportunities for scholarly and professional development

Faculties and academic departments are responsible for the discipline-specific professional development of academics. This is usually done by means of conference participation, collaborative research projects, workshops and support for furthering formal qualifications. Faculties also offer (formally or informally) faculty and/or department-specific orientation sessions to integrate newly appointed staff into the day-to-day operations of the faculties/departments.

At institutional level, different role players are involved:

- The UJ HR Department offers general orientation sessions to introduce all new UJ employees to the UJ work environment.
- The CPASD (in the Division for Academic Development and Support; see 5.4.5) is responsible for the biannual academic preparation programmes for new academic staff. These workshops focus on capacity building in teaching, learning and assessment (TLA) (including programme and curriculum development) in higher education, while promoting research in TLA. The other two centres in the division, namely the Centre for Technology-Assisted Learning (CenTAL) and the Centre for Psychological Services and Career Development (PsyCaD), provide focused development opportunities in line with their core functions (consult Chapter 5 on the Division for Academic Development and Support).

Other role players that provide development opportunities include the UJ Library and Information Centre, as well as the Subunit for Programme and Curriculum Development (in the Unit for Quality Promotion, DIPQP; consult 5.6 for more information).

Development of research capacity is addressed in Chapter 6 on Research and Post-graduate Supervision.

A UJ Staff Qualifications Project²¹⁶ has been approved and is currently being implemented. This project focuses on the improvement of under-qualified

²¹⁶ UJ Staff Qualifications Proposal.

academic staff (i.e. permanent staff who do not have a minimum of a master's degree in their relevant subject area). This document addresses the identification of such staff, the availability of supervisors, support, etc. and will be coordinated in close co-operation with the Postgraduate Centre.

4.5.6.3 Self-reflection: Criterion 9

a) Clear recruitment, selection and appointment procedures

During the period January 2005 to October 2007 (and beyond) the focus has been on the harmonisation of the HR policies of the two merging institutions. Burning issues in terms of HR policies are:

- The ability to attract top-class candidates to the UJ remains an area of concern, even though the University has had many successes in recent times. A primary reason for this is the fact that the remuneration packages of the University have, over the years, not been adapted sufficiently to the market. This, of course, is not unique to the UJ and is in fact a national phenomenon. Nevertheless, it is a seriously inhibiting factor in attracting staff to an institution situated in the economic heartland of the country. The creation of market-related packages is currently receiving urgent attention. Consideration is also being given to the lifting of the retirement age for productive scholars from the current 60 years to 65 years.
- The recruitment and retention strategies currently being adopted by the University in different environments do create cases where newly appointed staff, attracted by means of recruitment subventions and other benefits, earn more than existing staff members at the same or even higher levels of seniority.

Monitoring and improvement plans are ongoing. However, it is necessary to develop a coordinated plan of action for monitoring and improving HR strategies and policies. It is equally important that a holistic plan is communicated effectively to all employees.

A report²¹⁷ on focus group interviews held with executive deans in November 2008 highlights some serious criticisms against the institutional HR Division in the University, including:

The competence levels of the staff vary drastically, which leads to competent staff being overburdened because others are unable to deliver.

A general lack of efficiency and effectiveness is experienced.

The DVC: Human Resources and Operations took ill in November 2008 and subsequently left the UJ. The Executive Director: Human Resources, when asked to respond,²¹⁸ concurred with the report and indicated that she is trying to

²¹⁷ Report: Focus group interviews with deans (November 2008).

²¹⁸ E-mail on HR report.

redress by “introducing a different configuration of this function as well as needing to appoint competent HR practitioners at the various levels of the function”.

b) Scholarly and professional development

Opportunities for academic staff development and support are provided by a number of support divisions and units, namely:

The Division for Academic Development and Support through the following four centres: Centre for Professional Academic Staff Development (CPASD); Centre for Technology Assisted Learning (CenTAL); the Centre for Psychological Services and Career Development (PsyCaD), and the Centre for Academic Development

The UJ Library and Information Centre

The Subunit for Programme and Curriculum Development (in the Unit for Quality Promotion, DIPQP).

Consult 3.4.5 on staff development strategies and opportunities, as well as 5.4.5.

The following concerns require further attention:

One of the identified weaknesses of academic staff development is the poor attendance of workshops by academics. It has, for example, never been compulsory for new academic employees to attend orientation or any other development opportunities. An emphasis on proven competence, especially in teaching and assessment, is needed. In the absence of such evidence, different staff development opportunities (in-house and elsewhere) should be available.

A further implication is that a teaching evaluation instrument should be available (and compulsory) to determine development needs.

Staff development is offered by different units and divisions with different reporting lines in the University. Closer collaboration among and the alignment of the staff development functions are needed.

The availability of these development opportunities on all campuses should also be addressed.

The fact that the UJ has a multi-campus composition puts an extra burden on the staff resources of these support divisions and units. An equal level and quality of service cannot be rendered to academic employees at all campuses with insufficient resources.

c) Redress and equity issues

Equity targets are set and reviewed regularly,²¹⁹ as was discussed above.

Recruitment and appointment guidelines have been developed not only to address the equity targets, but also to attract competent academic staff.

The following aspects require further attention:

A staff development strategy that addresses the specific needs of different groups of academic staff should be finalised for implementation. Consult Chapter 4 (Criterion 3) for more information in this regard.

The current composition of institutional committees (with special reference to Senate committees) does not necessarily reflect demographic representivity. The latter principle, to which the UJ is strongly committed, is prevalent with regard to constituent and campus-based representation (especially on appointment panels). This matter should be addressed by, inter alia, revisiting the relevant committee charters.

d) Regular review

The following mechanisms and procedures are envisaged or in place:

The HR Division in the University must conduct a comparative study of peer higher education institutions and, where appropriate, commercial enterprises from time to time.

The regular review of all support divisions, including the HR Division, is included in the Quality Promotion Policy and the (draft) Quality Promotion Plan.

Academic departments and faculties identify programme-related needs when applying for new/more teaching staff and when providing job descriptions for vacancies in the faculties.

Policies and strategies have been developed to achieve alignment with the Strategic Goals of the University. The effective implementation of these strategies, however, gives rise to concern (see concerns above).

4.5.7 SHORT COURSES, EXPORTED AND PARTNERSHIP PROGRAMMES

²¹⁹ Equity targets for academic employees, November 2007 (1).

Criterion 5: The institution has effective systems in place for the quality management of short courses, exported and partnership programmes, and programmes offered at tuition centres and satellite campuses.

4.5.7.1 *Historical context*

Directly after the merger, the main focus was on developing the University's academic programme structure, i.e. the academic programmes accredited by the CHE and subsidised by the DoE. The University did, however, also inherit a range of non-subsidised programmes, which can be described as follows:

Programmes neither accredited by the CHE nor subsidised by the DoE; and

Programmes ranging from short learning programmes, i.e. with a duration of less than a year (or fewer than 120 credits), to multiple-year credit-bearing whole qualifications (and 120+ credits).

In the former TWR, BusiTech was responsible for developing and offering non-subsidised programmes. The technikon was the only shareholder, with the deans of faculties acting as company directors. Expertise in faculties was utilised on a contract basis to develop and offer these programmes, but the programmes remained the property of BusiTech.

In the former RAU, all responsibility for short learning programmes and so-called extra-curricular programmes was devolved to the relevant faculties and development, service and support units.

Following the merger, the UJ Council resolved²²⁰ to (where possible) incorporate the short courses offered by BusiTech into extra-curricular sections of academic departments (where the subject matter was lectured from 2007); that BusiTech would cease trading in due course, and that its employees should (where possible) be re-employed at the UJ. BusiTech was de-registered as from 31 December 2008.

From January 2005, the UJ has implemented a moratorium on the development of new non-subsidised programmes with a credit value of 120 or more credits. All inherited BusiTech and new short learning programmes (i.e. up to 119 credits) had to be re-submitted in the approved UJ format to the SAPQC and Senate for approval.

The preferred term for “short course” in the UJ is short learning programme (SLP), i.e. programmes with fewer than 120 credits and a duration of less than one year. This is only one type of non-subsidised academic programme offered by the University.

4.5.7.2 *Strategic intent*

A short learning programme is a non-subsidised programme that may or may not award credits, depending of the purpose of the programme. A credit-bearing short

²²⁰ Minutes of a UJ Council Meeting on 24 November 2006.

learning programme generates fewer than 120 credits, extending over a period of less than one year. A non-credit-bearing short learning programme has no credit value, is often utilised for continuing professional development and considered to be attendance-based. This discussion focuses on all non-subsidised programmes (fewer and more than 120 credits) and non-subsidised whole qualifications.

In its *Academic Programme Policy* (approved in July 2008), the UJ indicated that all academic programmes (including non-subsidised programmes) are subject to similar programme design and development principles. This is reiterated in the *Quality Promotion Policy*,²²¹ with reference to an effective quality system for all programmes.

Although UJ policies do not refer specifically to exported and partnership programmes, they are included in the statement that, like accredited and subsidised programmes, all non-subsidised programmes are subject to similar programme design and development principles.

Quality assurance of all subsidised and non-subsidised programmes includes the following two phases:

- the development and internal approval of the programmes; and
- regular self-evaluation and peer review of existing programmes.

In 2007, a total 25 new non-subsidised programmes were approved, and in 2008, a total of 53.

Quality structures and systems for all non-subsidised and subsidised programmes should be aligned to address quality during the above two phases.

4.5.7.3 Systems and mechanisms for quality management

The HEQC delegated the quality assurance of short courses to higher education institutions. The UJ decided to follow a decentralised approach to the management of non-subsidised programmes (see *Academic Programme Policy* for details), as well as to the monitoring and regular reviewing of these programmes. The following institutional policies provide principles, procedures, etc. to steer the development, implementation and quality management of non-subsidised programmes:

- a) The *Academic Programme Policy*.²²²
- b) The *Financial Policy for Income Generated by means of Non-subsidised Academic Programmes, Solicited Research and Consultation*.²²³
- c) A register for short learning programmes has been developed and is managed by Central Academic Administration.²²⁴
- d) The development and internal approval process of new non-subsidised programmes is described in the *Guidelines and Procedures: Development of*

²²¹ *Quality Promotion Policy*.

²²² *Academic Programme Policy*.

²²³ *Financial Policy for Income Generated by means of Non-subsidised Academic Programmes, Solicited Research and Consultation*.

²²⁴ Register of short learning programmes

*New Non-subsidised Programmes.*²²⁵ The following summary provides an overview of the process:

- Faculties and divisions (that offer non-subsidised programmes) are responsible for non-subsidised programmes from conceptualisation, needs analysis, development of curriculum submission for approval to regular quality reviews.
- A Subunit for Programme and Curriculum Development in the Unit for Quality Promotion provides support to faculties/centres/divisions with the development and internal approval of non-subsidised programmes. As part of the guidelines, an interactive electronic template has been developed – this will only be available once the template has been approved.
- CenTAL provides support when technology-assisted learning is required.
- Once a non-subsidised programme has been approved by the faculty-specific quality structure (e.g. the Faculty Programme (Quality) Committee) and the Faculty Board, the programme is submitted to Senate via the following institutional quality structures:
 - The Programme Working Group (PWG), a subcommittee of the Senate Executive Committee (SENEX), comprising Faculty Programme Advisors/Coordinators and staff from the Unit for Quality Promotion (in the DIPQP) and a number of ad hoc members. The PWG scrutinises programme submissions for quality assurance purposes and make recommendations to SENEX. The PWG is supported by the Subunit for Programme and Curriculum Development.
 - SENEX, which approves the programmes, and submits decisions to Senate for ratification.
- Short learning programmes of 60+ credits are recorded on the institutional ITS.²²⁶ Faculties are responsible for administrative aspects such as the coding of the approved programme for the Integrated Tertiary System (ITS) (only short programmes of 60+ credits are recorded on the ITS), registration of students who enrolled for the programme on ITS, financial administration, offering the programme, as well as all other administrative functions generated by it. A set of guidelines, *Record Keeping of Short Courses*,²²⁷ is available in this regard. Recording of the other short learning programmes is a faculty responsibility and is managed differently: The Faculty of Health Sciences has a Short Learning Programme Office; the Faculty of Law has a manager for short learning programmes, while the other faculties manage short learning programmes at departmental level. At institutional level, Image

²²⁵ *Guidelines and Procedures: Development of New Non-subsidised Programmes* (a working document).

²²⁶ Short courses on UJ ITS (database).

²²⁷ *Record Keeping of Short Courses*.

Now (an electronic database) is being developed and should also serve as a tracking system for quality review purposes.

- The PWG comprises nine faculty representatives, as well as representatives from Academic Administration and the Unit for Quality Promotion, and ad hoc members. The PWG serves as an important discussion forum, where programme-related policies and plans are consulted and the implementation discussed and monitored. Concerns in this regard include:
 - (i) The fact that new programmes are often directly submitted to SENEX (i.e. bypassing the PWG). Granting observer status to the Coordinator: Programme Development (in DIPQP) to attend SENEX meetings may address this problem.
 - (ii) Urgent approval of short learning programmes is not addressed by the relevant policy. A general complaint is the time it takes to approve submissions. This is an aspect that should be addressed by the PWG.

The Subunit for Programme and Curriculum Development addresses ad hoc requests for support, presents workshops on request, etc.

Figure 4.1 presents a visual summary of the process and quality mechanisms involved in the quality management of new subsidised and non-subsidised programmes, up to approval stage.

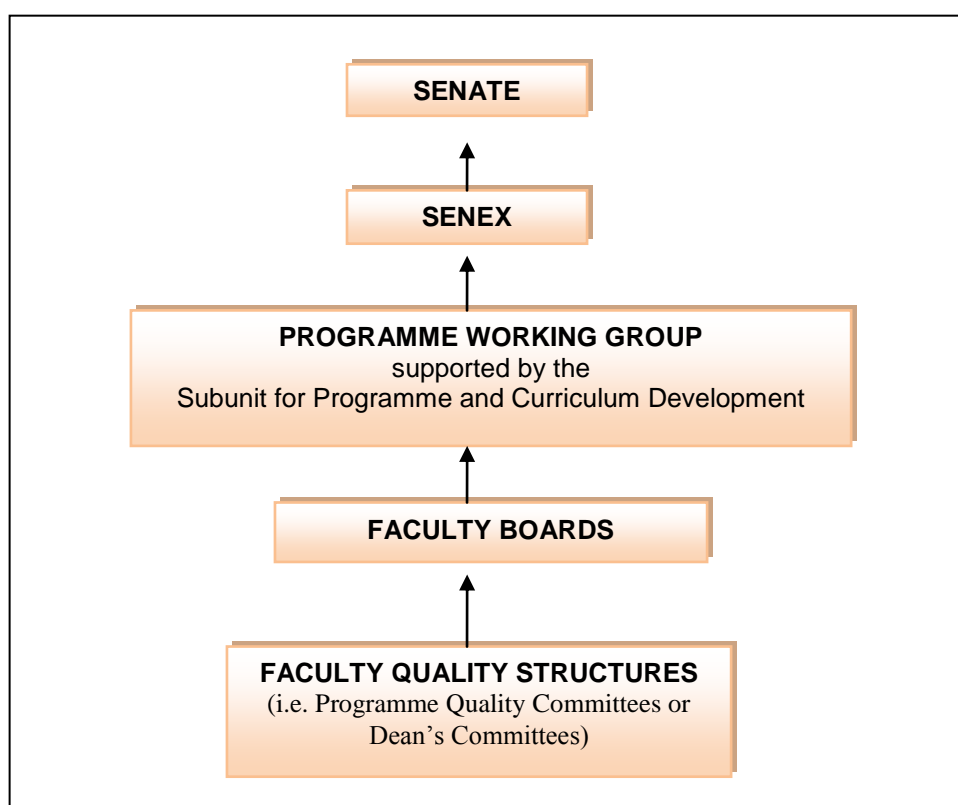


Figure 4.1: Quality management of new programmes up to internal approval stage

- e) Quality management of existing/implemented non-subsidised programmes consists of regular monitoring and formal self-evaluations and peer reviews. The *Quality Promotion Policy* indicates that all non-subsidised programmes should be reviewed by the relevant departments as determined by the *Programme Policy*:
- Regular reviews are reiterated in the new (draft) *Quality Promotion Plan*²²⁸ that indicates that “regular monitoring of ... subsidised and non-subsidised modules should be scheduled in the faculty and division quality plans”.
 - The Quality Promotion Framework (consult the *Quality Promotion Policy*) consists of a number of guidelines etc. to support staff members and panellists when conducting self-evaluations and peer reviews (for more details, consult Chapter 2).

4.5.7.4 Self-reflection: Criterion 5

a) Recording and quality assurance of short courses

A quality system and mechanisms are in place to address the quality of newly developed non-subsidised programmes, up to the approval phase. However, the UJ must still finalise the supporting guidelines and the electronic template to streamline the process effectively. The information should be disseminated by the Subunit for Programme and Curriculum Development, and this dissemination should include the PWG, electronic access, workshops, etc.

Although regular reviewing of non-subsidised programmes is addressed in the *Quality Promotion Plan*, it should be dealt with in an equitable manner, with special reference to support and resources.

The financial management of non-subsidised programmes is addressed by the *Financial Policy for Income Generated by means of Non-subsidised Academic Programmes, Solicited Research and Consultation*.²²⁹ This policy addresses financial bookkeeping, financial reports and periodic audits by the internal auditors of the University, benefits to the faculty and presenters, additional remuneration of academic employees and the disbursements of funds.

b) Impact of short courses

At institutional level, quality management of programmes is done when a new programme is approved, and again during implementation (according to the cycle proposed in the draft *Quality Promotion Plan*). The UJ has the following structures and mechanisms in place:

The PWG is an important mechanism in the approval of submissions for new non-subsidised programmes. When submissions for new non-subsidised programmes are reviewed by the PWG and SENEX, their alignment of purpose with the UJ Strategic Plan

²²⁸ *Quality Promotion Plan: 2010 – 2015*.

²²⁹ *Financial Policy for Income Generated by means of Non-subsidised Academic Programmes, Solicited Research and Consultation*.

is taken into consideration. According to the guidelines in the Quality Promotion Framework, non-subsidised programmes are designed and monitored for relevance and flexibility. This is done in terms of specified curriculum objectives, modes of delivery, learner profiles, RPL and articulation requirements. (Consult the Guidelines and Procedures: Development and Approval of New Non-subsidised Programmes in this regard).

As part of the submissions for new non-subsidised programmes, the impact on resources (HR, financial and infrastructure) has to be determined.

The general practice is that a module (or part of a module) in an accredited whole qualification is offered as a short learning programme. Articulation with an existing accredited programme has to be indicated in the submission. Short learning programmes are usually developed in response to a request from a client outside the University or because the need was identified by UJ staff.

During implementation, programmes are reviewed as determined by the UJ Quality Promotion Plan. The following structures are available at institutional level: the Unit for Quality Promotion (in DIPQP) for support, and the SQC, to monitor the process. At faculty level, various faculty-specific structures exist (see the Quality Promotion Policy in this regard). Faculties have had the opportunity to establish these structures for the first set of programme reviews, and to revise and restructure them. Regular reviews should be conducted by applying the UJ programme criteria (including the HEQC Programme Accreditation Criteria that address the alignment with the University's mission, goals and priorities).

Implementation of the reviews will require dedicated support, especially for non-subsidised programmes.

Data on the throughput rate of students in credit-bearing non-subsidised and subsidised programmes are available on the ITS. Deans mainly report on subsidised programmes in their annual reports. The focus of some reports (in this regard) is on throughput rates, and in other reports on graduation rates. A concern is that annual reporting is done on the success rates of students in non-subsidised programmes. The University should also formalise reporting on throughput rates for both subsidised and non-subsidised credit-bearing programmes.

c) Quality management

All quality management mechanisms that apply to subsidised academic programmes also apply to non-subsidised programmes, as well as to exported programmes.

In addition, exported programmes should meet all the legal requirements and corporate guidelines encapsulated in the individual memoranda of agreement/understanding, including the roles and obligations of all contracted parties (funding, bursaries and quality assurance). Contract management is a top priority for the UJ and forms part of the corporate governance strategy of the University. The strategy includes:

- Performance monitoring
- Evidence for legal proceedings
- Support audits, with compliance checks.²³⁰

The quality management of programmes should be structured to address exported programmes, e.g. that the stipulations in the individual memoranda of understanding are adhered to. Support, as well as the guidelines, should be related to these matters.

Mechanisms etc. that are in place for exported programmes also apply to partnerships with other SA institutions.

The UJ does not have any tuition centres or satellite campuses. All its campuses are managed as an integral part of the University. This aspect of the criterion is therefore interpreted in terms of the multi-campus context of the University (see Chapter 1 on the strategic intent regarding campuses.)

Quality management mechanisms that address quality in the development and approval of new programmes, as well as during implementation, apply to all campuses. Faculties and development service and support sections are responsible for the quality of non-subsidised programmes, irrespective of the campus where such programmes are offered. Quality management mechanisms apply across campuses and are not campus-specific. Equitable implementation of the QP Plan across faculties and campuses is a high priority that requires dedicated institutional support structures and resources (see Chapter 2 for more details in this regard).

The Quality Promotion Plan makes provision for institutional, faculty-, division- and unit-specific surveys. This provides an opportunity for collecting campus-specific quality-related information that should enable faculties to address campus-specific challenges.

The implementation of the Quality Promotion Plan will require dedicated support. This should be addressed by the relevant support divisions and units in the University.

d) Regular review

The UJ Quality Promotion Plan determines that all quality management structures should be reviewed at least once every six years. The Quality Promotion Framework should include a set of guidelines in this regard (see 2.4.1).

²³⁰ Contract governance procedure: Contract management (Draft).

The policies and plans address all programmes, i.e. subsidised and non-subsidised programmes. As was discussed above, quality management mechanisms and plans are therefore applicable to both.

Challenges in this regard include:

- Equitable implementation and the monitoring of the implementation of all the relevant policies, plans and strategies across faculties and campuses.
- The alignment of service and support sections' functions with the faculties' implementation needs. This includes staff development, support materials and quality monitoring mechanisms.
- The development and updating of databases to support the management and reviewing of non-subsidised programmes.

4.5.8 REGULAR REVIEWING OF PROGRAMMES

Criterion 10: Clear and effective systems are in place (including internal and external peer review) to evaluate programmes on a regular basis. Review findings are disseminated appropriately and utilized for staff development, curriculum improvement and increasing student access and success rates.

4.5.8.1 First programme reviews: An overview

Since the establishment of the newly merged university on 1 January 2005, the UJ has developed and implemented a Quality Plan: 2006 – 2007 that included an extensive programme review process.

These programme reviews concluded in 2008 with:

- the development and submission of the new Academic Programme Structure (APS) to the CHE;
- the development and submission of the PQM to the DoE;
- a review of all the modules in the approved programmes (on the APS and PQM) and the submission of an institutional and faculty-specific reports to the relevant stakeholders; and
- (at least) two research projects, namely:
 - (i) The establishment of a quality system by means of programme reviews,²³¹ and
 - (ii) The Perceived Value and Effect of the Institutional Programme Reviews (report only available in January 2009).²³²

²³¹ Smit, R. & Geyser, H. (2007): *Developing a Quality Assurance System through Programme Reviews in a Newly Merged University*.

²³² *The Perceived Value and Effect of the Institutional Programme Reviews*.

4.5.8.2 *Quality promotion policy and plan*

In October 2008, a *Quality Promotion Policy* was approved by Senate and the Quality Promotion Plan: 2009 – 2014²³³ was approved by the SQC in January 2009. This six-year plan includes:

- three broad phases (for faculties and academic departments), based on the quality improvement cycle (see the Quality Promotion Policy in this regard);
- monitoring of modules, regular self-evaluation and peer reviews of subsidised and non-subsidised programmes (based on the national HEQC Programme Accreditation Criteria);
- self-evaluation and reviews of academic departments (based on the national HEQC Audit Criteria);
- self-evaluation and reviews of academic development and support divisions, centres and units (based on the national HEQC Audit Criteria);
- a schedule for quality-related surveys; and
- a system of annual reporting on the implementation of the plan, as well as improvement reports and reports on progress with improvement plans (to close the continuous quality improvement cycle).

This Quality Promotion Plan forms part of the Quality Promotion Framework, comprising a network of guidelines, procedures, etc. to support all staff members (including peer review panellists and chairs; see 2.4.1 for more details).

4.5.9 SELF-REFLECTION: CRITERION 10

4.5.9.1 *Review of learning materials, etc.*

The programme reviews conducted in 2006-2007 included a review of the study materials, teaching and learning strategies, etc., as required by the national HEQC Programme Accreditation Criteria. The new Quality Plan addresses these aspects in the same way, i.e. as required by the HEQC Programme Criteria.

The implementation of the extensive Quality Promotion Plan at faculty level requires support and monitoring, however. The various role players should be aware of their responsibilities in implementing the plan, but also of follow-up developments, as required. It is important that the different support divisions collaborate and align their services and support to the faculties.

4.5.9.2 *Graduate tracking and surveys*

The Centre for Psychological Services and Career Development (PsyCaD) (in the Division for Academic Development and Support) offers career services to UJ students and alumni that are essential to remain competitive in today's labour market. PsyCaD is committed to the provision of opportunities to graduates and diploma recipients so that they can consider career development options, develop new career skills and acquire valuable work experience to complement their academic training in order to increase their job suitability. PsyCaD is responsible for an ongoing job destination project. Even though employability is complex, the degree

²³³ Quality Promotion Plan: 2009 – 2014.

of graduate employability is related to the responsiveness of University to labour market demands from a broad spectrum of the economy and may be regarded as the “return society derives” from graduate training. Job destinations of graduates are indicators of their employability. Job destinations provide information regarding the employability of graduates, and as such serve as an important trend indicator regarding the quality of the programme offerings of the various higher education institutions. Furthermore, they provide information regarding the absorption pattern of graduates from higher education institutions into the labour market. The job destination project arose from the abovementioned needs. The purpose of this project is thus to gather and distribute career information on the basis of the job destinations of graduates. This information could be valuable in a person’s career planning process.

At each graduation ceremony, graduates are requested to complete a questionnaire. Some of the questions relate to the ease of obtaining employment after completion of studies and the extent to which their employment relates to their studies. The results present encouraging indications that the UJ is not selling its students or their future employers short.

The link between these surveys and programme development and programme reviews should be strengthened. This, once again, points to the lack of collaboration between the relevant support units.

4.5.9.3 *Regular review*

A trends report²³⁴ was submitted to the SAPQC and Senate. Two research projects on the first programme reviews (2006 – 2007) have been conducted. An additional project (with HEQC funding) is being conducted and the report should be available in February/March 2009.

The Quality Promotion Plan includes a review of the quality structures at least once during the six-year period.

4.6 CONCLUSIONS

The University has attained significant milestones towards reaching its vision of becoming a premier African City University offering a range of professional, vocational and traditional programmes. The following kinds of achievements are important steps towards increasing unity, i.e. alignment with the UJ Strategic Plan:

Conducting institution-wide programme reviews was not only a major exercise in terms of financial, human and other resources, but it has proved to be a major step towards achieving greater unity in the alignment of all UJ accredited programmes with the institutional strategic goals and national programme requirements. This is especially significant if it is taken into consideration that this took place in a national higher education context in flux, namely:

²³⁴ Programme reviews: A trends report.

The different drafts of the HEQF were debated at different national and institutional fora and eventually approved, but universities are still awaiting the details of its implementation. This caused much uncertainty and anxiety in the development of the concrete proposals for the new APS and PQM, and during programme policy development in the UJ.

The merger of so-called comprehensive universities (through the merger of traditional universities with technikons) is relatively unique in the world. At the same time, all remaining technikons became universities of technology. This gave rise to much debate and uncertainty concerning the future of traditional technikon qualifications, especially the B Tech degree. Taking the above matter concerning the HEQF into consideration, the development of an APS and PQM should be regarded as a major achievement.

Teaching and learning, assessment and programme-related policies have been developed. Risk management and governance, as well as quality management structures are in place and operational.

Academic development and support divisions/units were reconstructed (some more than once). Key support divisions/units still managed to conduct self-evaluations and peer reviews.

Outstanding strides were made in the standardisation of various academic administration processes through the development of new policies, procedures and rules after the complex and difficult incorporation and merger. The establishment of an Audit and Risk Committee is also evidence of the emphasis placed on effectiveness and efficiency.

It is therefore no wonder that UJ staff members often described the process as building an aeroplane while being airborne. Establishing structures, developing policies and aligning two sets of programmes have been a real challenge, but the University has taken great strides in achieving increasing unity in this regard.

The concerns identified in this chapter are as follows:

- Regular surveys and self-evaluation as part of the implementation of the Quality Promotion Plan: 2009 – 2014. Closing the quality loop, i.e. improvement plans and progress reports should be monitored by the SQC at institutional level. Different surveys are conducted in different contexts, but coordination and alignment are needed, as are institutional forums/committees where improvement plans and progress reports should serve – to improve accountability across the University.
- Communication, collaboration and alignment between units that support programme-related matters and the academic staff offering programmes are

needed. This will also address the effective utilisation of resources. Planned and systematic support and development to implement the proposed Quality Promotion Plan are part of the alignment and collaboration of development, service and support units.

- Support for and monitoring of the implementation of policies and procedures, as well as the alignment of faculty policies, is needed. A policy monitoring system will contribute to the regular review of institutional policies.
- HR matters and attracting good staff without alienating existing staff deserve special attention.



CHAPTER 5

Academic Development

Services and

Support

HEQC CRITERION 4

CRITERION 4

Academic support services (e.g. library and learning materials, computer support services, etc.) adequately supports teaching and learning needs and help give effect to teaching and learning objectives.

Examples

- (i) Academic support services that adequately provide for the needs of teaching and learning, research and community engagement, and help give effect to teaching and learning objectives. Efficient structures and procedures facilitate the interaction between academic provision and academic support.
- (ii) Academic support services that are adequately staffed, resourced and have the necessary infrastructure in place. The institution provides development opportunities for support staff to enhance their expertise and to enable them to keep abreast of developments in their field.
- (iii) Regular review of the effectiveness of academic support services for the core functions of the institution.

5. ACADEMIC DEVELOPMENT, SERVICES AND SUPPORT

5.1 OVERVIEW OF THE CHAPTER

In response to Criterion 4, Chapter 5 covers academic development of and support for staff and students, as well as general services provided to staff and students, e.g. student finances, computer laboratories, production of study materials, etc.

The information in this chapter is structured as follows:

- After a short historical overview, the relevant academic development, service and support divisions are listed.
- The divisions and units are discussed individually in terms of their strategic intent and the support and services they provide, culminating in their individual self-reflections.
- At the end of the chapter, conclusions based on the individual self-reflections as aligned with the examples in the HEQC criterion are presented.

5.2 HISTORICAL CONTEXT: ACADEMIC DEVELOPMENT AND SUPPORT

The University inherited a number of diverse academic development, service and support units, centres, etc. This resulted in a number of restructurings – some as recent as April/May 2008. Because of the diverse divisional histories, individual historical contexts will be provided to contextualise the discussions of the divisions.

Under academic development, services and support we have brought together a range of divisions and units with different reporting lines. These divisions and units

provide a rather diverse range of activities and functions on the basis that all provide services, though of different types, that impact on and are of benefit to students.

Firstly, the divisions that have a direct impact on teaching, learning and assessment, either through direct contact with students and/or with the academic staff members responsible for teaching and assessment, are discussed. They are the following:

- The University of Johannesburg Library and Information Centre (UJLIC), which offers crucial support to teaching, research and community engagement. In this chapter the focus is on the support the Library affords to teaching and learning.
- The Division for Academic Development and Support (ADS), which plays an essential role in promoting teaching and learning quality at UJ. This division comprises the following centres:
 - The Centre for Academic Development (ADC)
 - The Centre for Technology-Assisted Learning (CenTAL)
 - The Centre for Professional Academic Staff Development (CPASD)
 - The Centre for Psychological Services and Career Development (PsyCaD).

Secondly, divisions and units that provide different kinds of support that vary from academic administration to technology support to programme development are addressed. These are:

- Academic Administration
- Central Administration
- The subunit for Programme and Curriculum Development
- Information and Communication Systems.

5.3 THE UNIVERSITY OF JOHANNESBURG LIBRARY AND INFORMATION CENTRE (UJLIC)

5.3.1 HISTORICAL CONTEXT

At the time of the merger, seven libraries with different cultures, practices, collections and catalogues on five campuses had to be merged and united. In addition, the multi-media information resources (CDs, slides, videos, DVDs) that formed part of the Audiovisual Unit at the former Technikon Witwatersrand (TWR) were incorporated into the Doornfontein Campus (DFC) Library in September 2007.

Funds for converting the classification system of the collections of the former Rand Afrikaans University (RAU) and Vista University (Vista) to the Dewey Decimal classification system, merging catalogues, integrating the library system, purchasing additional desktop computers and other software, were obtained from the Merger Office of the Department of Education (DoE). Joint Library Information Centre (LIC) task teams were formed in specific areas to align policies and procedures, and many compromises were made, although everything possible was done to maintain 'best practice' as found in the literature. Operational issues took precedence in the pre-

merger phase, as well as during the first year of the merger. Only in mid-2006 did the focus become strategic.

The LIC began the Integration and Renewal process, attending to effective structure, matching and placement of staff, in September 2006. Staff took up their allocated positions on 1 July 2007.

5.3.2 STRATEGIC INTENT

The strategic intent of the UJLIC is to be core to the academic enterprise by contributing to and being actively involved in and supporting teaching, learning, research and community engagement functions at the UJ. The UJLIC is involved in active partnerships with students and academic staff. It supports the University's Vision and Mission by developing, organising and managing the infrastructure, services and access to information, essential in a University that is dedicated to distinctive learning, outstanding teaching and groundbreaking research. Research is supported by providing access to information resources and disseminating research output internally and globally in the UJ institutional repository.

To give substance to the partnerships, the UJLIC actively pursues the objectives below, namely to support and facilitate teaching, learning, research and community engagement by:

- providing equitable and optimum access to traditional and digital information resources;
- providing a comprehensive and diverse client service;
- fostering partnerships by means of collaboration and cooperation;
- attracting, developing and retaining a variety of expertise in a collaborative environment;
- establishing and maintaining good financial practices;
- integrating information resources and services with academic programmes;
- promoting information literacy and life-long learning;
- engaging with, and investing in, research and development in the library and information field; and
- contributing to the social responsibility initiatives of the University.

Detailed information, e.g. the UJLIC Self-evaluation Report, UJLIC-specific policies, etc. can be found in the UJLIC file available in the Evidence Room.²³⁵

5.3.3 IMPLEMENTATION: DEVELOPMENT, SERVICES AND SUPPORT

Table 5.1 below provides an overview of the kinds of services and support the UJLIC provides. Additional details are provided in the discussion following the table.

²³⁵ See UJLIC file in Evidence Room.

Table 5.1: UJLIC at a glance (December 2008)

| ITEM | NUMBER |
|---|-----------|
| Number of volumes | 751 020 |
| Number of current journal subscriptions | 2 285 |
| Number of subscriptions to electronic databases | 114 |
| Number of journal titles with full text access | 75 892 |
| Number of registered undergraduate clients | 41 445 |
| Number of registered postgraduate clients | 7 998 |
| Number of registered staff members | 7 705 |
| Number of registered external clients | 457 |
| Number of visitors entering LIC | 2 497 123 |
| Number of monographs circulated | 651 494 |
| Number of computers | 452 |
| Number of printers | 85 |
| Number of scanners (handheld: 45; flatbed: 14) | 59 |
| Number of LIC application software packages | 28 |

5.3.3.1 Provision of information resources

The UJLIC is a typical hybrid library on the continuum between the conventional and digital library and provides clients with access to both print-based and electronic resources.

Book collections in all the campus libraries support the academic programmes offered at the various campuses. The ratio of book titles per student for the library as a whole is 11:1. It is acknowledged that this does not compare well with the collections of and ratios for other South African academic libraries.²³⁶

Electronic resources include the UJLIC catalogue, full text and electronic databases, as well as electronic journals. Students and staff on all campuses have access to the same electronic sources via the library web page and the library catalogue, UJLink.

UJLIC currently subscribes to 114 electronic databases, including full text databases as well as abstract and bibliographic databases. 75 892 electronic journals can be accessed via these databases.

The various library collections are well used. The total number of books borrowed in 2008 was 280 086 (loans and renewals). Information resources are made available across campuses via an Inter-campus Loan (ICL) system, operating via a courier service. Information resources not available in the UJLIC collection are made available via the Inter-library Loan (ILL) system, by requesting books and articles from other libraries. The turnaround time for both ICL and ILL requests is 48 hours.

²³⁶ See Benchmarking in UJLIC file.

5.3.3.2 The library catalogue (UJLink: <http://ujlink.uj.ac.za>)

The UJLIC uses an integrated library system from Innovative Interfaces Inc. (INNOPAC/Millennium). The system supports web server software and offers a worldwide web interface to the library catalogue. The clients access the library catalogue via a web browser such as Microsoft Internet Explorer and Firefox. Library clients have access to the online library catalogue via the library web page (UJLink) (www.ujlink.uj.ac.za). Cataloguing standards are high and workshops are attended regularly to keep abreast of the latest procedures and standards to be adhered to. Cataloguing, and the adding of holdings, is done directly on WorldCat and downloaded to SACat. National and international standards are applied. Great care is taken to ensure quality control by cross-checking for possible inconsistencies. Library of Congress Subject Headings and Library of Congress Name Authority files are used for adding and updating the Library's authority files. The UJLIC is a qualified contributor to the US-based National Authority Control Organisation (NACO). Database management and maintenance forms an integral part of the activities of the cataloguers, with maximum retrieval of information by the client being one of the main objectives.

With the merger of institutions, two different classification systems were inherited. The DoE funded a project to convert the internal classification system at the Auckland Park Kingsway Campus (APK), the East Rand Campus (ERC) and the Soweto Campus (SWC) to the Dewey Decimal classification system. The project includes the following four phases:

- Conversion of bibliographic records
- Relabeling of items converted to Dewey
- Reshelving of items in Dewey classification order
- Programmatical replacement of 099 and 092 Marc record fields.

5.3.3.2 Regional, national and international collaboration

Libraries are well known for cooperation, and this is also true of SA Higher Education libraries. Cooperation is achieved in various ways: providing access to other university libraries for postgraduate students; free inter-library loans across university libraries; collaborating on projects that are too expensive or extensive for a single or regional university; and collaborating in obtaining donor funding, e.g. Andrew Mellon Foundation, Open Society Institute, Ford Foundation. (Consult the *UJLIC Self-evaluation Report* – in the UJLIC file – for details on regional, national and international collaboration.)

a) Committee of Higher Education Librarians (CHELSA)

Even before the HE landscape was transformed and democratised, the university libraries collaborated in the Inter-University Library Committee (IULC) under the auspices of the Committee of University Principals (CUP) and the technikon libraries in the Inter-Technikon Library Committee (ITLC) under the auspices of the Committee of Technikon Principals (CTP). The IULC was superseded by the Forum of University Librarians of SA (FULSA), as an interim step towards unifying the ITLC and FULSA. In June 2004, the Committee of Higher Education Librarians (CHELSA) was established. CHELSA's first project was to compile the

Guides to the Self-review of University Libraries, which were extensively used in the peer review of UJLIC.

b) Gauteng and Environs Library Consortium (GAELIC)

The UJLIC actively participates at regional, national and international level in professional library and information bodies to ensure the best possible resources for its clients. At a regional level, the UJLIC is a founding member of GAELIC, the regional academic library consortium. The UJLIC shares in the many benefits provided for members, including acquiring funding for a common integrated library system and resource sharing with the focus on collection development, information skilling and the optimal utilisation of the integrated library system.

c) South African National Library Consortium (SANLIC)

On national level, through its membership of GAELIC, the UJLIC is also a member of the national consortium, SANLIC. A direct benefit is the utilisation of the combined buying power of South African libraries to negotiate favourable site license agreements for electronic databases. In 2007, the UJLIC saved approximately R27 million via SANLIC agreements (39 deals via SANLIC: Consortium price = R4 360 718; Listed price = R31 344 957). (Figures for 2008 were not available at the time of writing.) Through CHELSA, access and borrowing privileges for academic staff, master's and doctoral students at other university libraries are arranged by mutual agreement by means of a letter of introduction from the home library. CHELSA is also currently working in collaboration with the consortia and the Higher Education Library Interest Group of LIASA (Library and Information Association of South Africa) on a national quality programme and the development of standards in academic libraries.

d) Electronic Information for Libraries network (eIFL.net)

Through SANLIC, the UJLIC is also involved in international collaboration and cooperation with eIFL.net, a multi-country library consortium that is active in 50 transitional and developing countries. The main objective of eIFL.net is to bridge the digital divide in these countries by negotiating equitable and affordable license agreements for access to electronic information and to provide Open Access (OA) to information, to build capacity in these countries on institutional/subject/open repositories, intellectual property and Free and Open Source Software (FOSS). In South Africa the eIFL.net has been instrumental in assisting with the initiatives of open access, institutional repositories, intellectual property and open source software.

e) International Coalition of Library Consortium (ICOLC)

Similarly, the ICOLC provides virtual access to the international library consortium community, and thus to individual libraries that can act as partners in capacity building in various areas.

5.3.3.4 Services

The UJLIC is committed to supporting the learning, teaching and research needs of undergraduate and postgraduate students, academic staff and researchers. It does so by offering a full spectrum of information provision services (circulation, Inter-

campus Loans, Inter-library Loans, general and subject information services) in all campus libraries. It is the objective of the UJLIC to create uniformity and standardisation in service delivery across all campuses and to provide streamlined services to all clients of the various faculty programmes. The various services focus on the needs of specific clients via:

- access services and study space;
- information skills development;
- research support; and
- preservation of and access to institutional knowledge and research output.

a) Access services and study space

Registered students and staff gain access to all campus libraries and their collections on presentation of their student/staff cards. Library hours differ from campus library to campus library, as the hours are based on client needs as well as staff provision. The opening hours per week per campus library during the semester are as follows:

Table 5.2: Hours per week per campus

| Campus | Hours per week |
|---------------|-----------------------|
| APK | 81½ |
| DFC | 70 |
| APB | 71½ |
| SWC | 52½ |

This compares favourably with other national and international academic libraries (see Benchmarking in the UJLIC file in the Evidence Room).

Access services comprise:

- Circulation of library material, allowing students to borrow material to use off site.
- Short-loan services, ensuring that material in high demand is available to as many students as possible. In addition to the reservation of paper-based material, electronic material is made available via the electronic course reserve module of the integrated library system.
- Inter-campus Loans, a service allowing students to request a book that is available in another campus library.
- Access to electronic databases and electronic journals via the library web page.
- A reliable subject-specific information service.
- A reliable alerting service.
- The Ask-a-Librarian electronic reference service.

Remote access to electronic resources is perpetually available via the wide-area network (WAN) and a well-maintained and relevant library web page: www.uj.ac.za/library.

b) Information skills development

The UJLIC provides instruction and training for individuals and groups to assist them to develop information literacy and critical thinking skills required to access information and succeed in their studies. The objective of the training is to empower library clients to conduct personal searches as well as to find information, in order to become independent and information literate researchers. A deficiency in the system is that training is voluntary and not utilised fully by students or academic staff.

c) Research support

The UJLIC acknowledges the specialised needs of postgraduate students and researchers and provides research support by means of focused subject information services. The Interlibrary Loans service is focused specifically on supporting research and teaching activities on all campuses and is available only to staff, master's and doctoral students. In addition, the UJLIC makes available and manages RefWorks, an online research management, writing and collaboration tool. It is designed to assist researchers to gather, manage, store and share all types of information easily, as well as generate citations and bibliographies.

d) Preservation of and access to institutional knowledge and research output

The UJLIC has a special responsibility to ensure that research and knowledge generated by UJ academic staff and students are stored, preserved and made available to the global research community via its recently established digital institutional repository, UJDigispace (www.ujdigispace.uj.ac.za).

5.3.3.5 Institutional networking

Integration into the University's academic structure is facilitated by Library representation on core committees: Senate, the Senate Quality Committee and Faculty.²³⁷ Involvement in Faculty Boards ensures that library staff remains aware of discussions in faculties, and of emerging faculty needs. A number of policies²³⁸ have been developed to support this interaction:

- Access and Circulation Policy
- Cataloguing Policy
- Information Service Policy
- Inter-library Loans Policy
- Policy and procedure: INNOPAC system user log
- Skills Development Policy.

An internal Marketing Task Team was established to position the Library and market its resources and services to UJ communities.

²³⁷ Charters: Senate, Senate Quality Committee and Faculty Board.

²³⁸ Library policies listed.

The UJLIC is involved in various community engagement activities, the latest being to assist the National Library of South Africa in moving into the newly constructed National Library building in Tshwane.

5.3.3.6 Resources

In order for the UJLIC to achieve its objectives, the effective management of resources is of the utmost importance. The following task teams were established in June 2007 to manage resources:

- Human Resources Task Team
- Space Task Team
- Financial Task Team.

a) Human Resources in the UJLIC

The UJLIC is under pressure from a staffing perspective. 153 permanent staff positions were identified during the Integration and Renewal (I & R) Process in 2007. This figure decreased to 149 due to positions not being approved by the MEC. At the end of 2008, 118 permanent positions were filled, while there were 14 current vacancies; another 17 I & R-identified vacant positions need to be approved by the MEC before they can be filled.

The organogram below (Figure 5.1) indicates reporting lines, the units in the UJLIC, as well as the staff complement on the different campuses (in 2008):

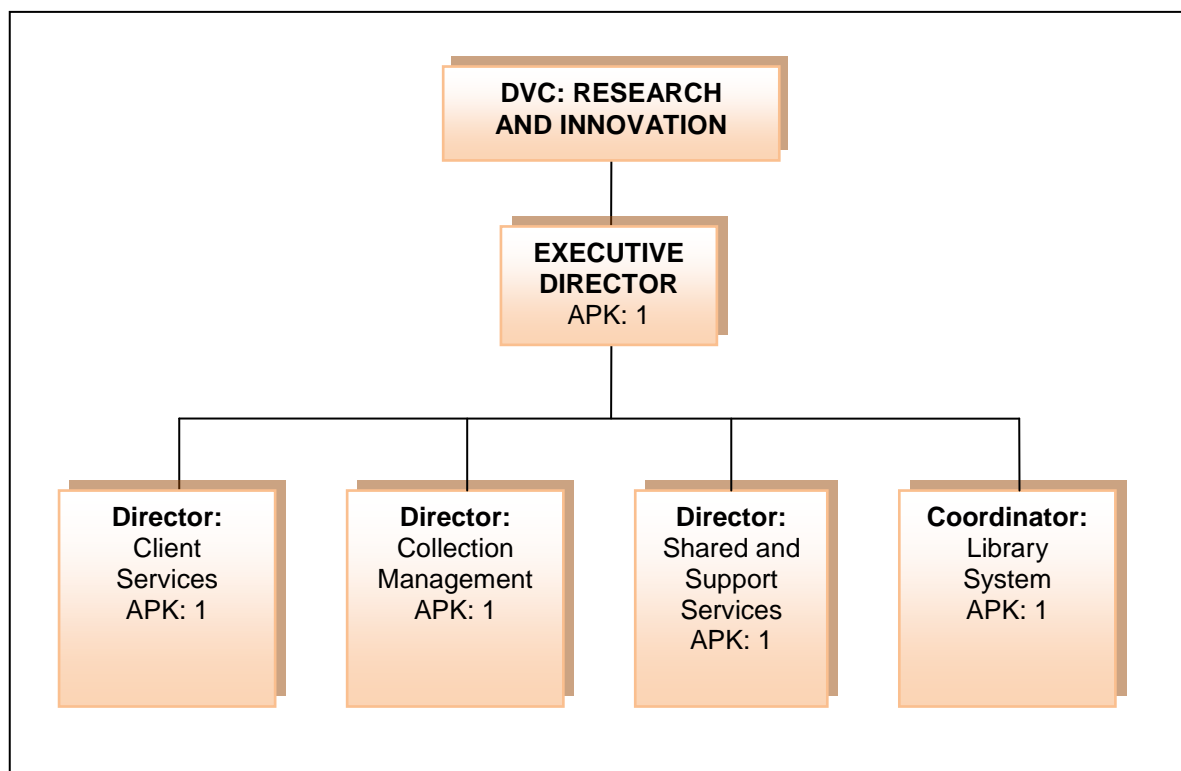


Figure 5.1: UJLIC reporting lines and units

In December 2008 the distribution of filled positions on the various campuses was as follows:

Table 5.3: Staff complement (December 2008)

| CAMPUS | NUMBER OF STAFF MEMBERS |
|--------|-------------------------|
| APB | 17 |
| APK | 79 |
| DFC | 13 |
| SWC | 9 |
| Total | 118 |

The staff provision is inadequate, especially in view of the long library service hours, and extensive use must be made of student assistants. The ratio of students to staff members was 336:1 at the end of 2008. This does not compare favourably with other South African academic libraries.²³⁹

b) Financial resources

An objective-driven budget, including operational, capital and information resource items, is submitted annually to the UJ Finance Division. For the information resource budget, the annual allocation for each faculty is calculated according to an agreed upon formula that is based on supply and demand as well as historical purchasing patterns. The UJLIC Executive Director directs negotiations with each Executive Dean in finalising the budget. Academic departments are fully and directly involved in the acquisition of monographs, journals and databases, based in part on the motivations and proposals put forward by the Information Librarians (consult the UJLIC Self-evaluation Report – in the UJLIC file - for budgeting details).

c) Infrastructure

(i) IT Infrastructure

As a result of the global trend to provide information electronically and the important role of the internet in information provision, the UJLIC is a bandwidth-hungry environment. Current bandwidth provision for the UJLIC is insufficient, resulting in slow response times and client dissatisfaction.

(ii) Physical Infrastructure

With the exception of the SWC Campus Library, campus libraries are overcrowded. The LibQUAL+® client satisfaction surveys in 2006 and 2008 indicated a need for group study facilities in all the campus libraries. The UJLIC has a total number of 294 student computers and 158 staff computers (see Table 5.4).

²³⁹ See Benchmarking in the UJLIC file.

Table 5.4: Ratio of students per PC

| CAMPUS | STUDENTS | PCS | STUDENT:PC RATIO |
|-------------------------|----------|-----|------------------|
| APB (including FADA) | 8 095 | 76 | 107:1 |
| APK | 25 899 | 146 | 177:1 |
| DFC | 8 421 | 48 | 175:1 |
| SWC | 1 940 | 24 | 81:1 |
| TOTAL | 44 355 | 294 | 151:1 |

In order to improve the abovementioned ratios, the budget for 2009 includes 105 additional personal computers. Full infrastructural capacity will be reached with the installation of these additional workstations.

5.3.4 REGULAR REVIEWS OF THE EFFECTIVENESS OF THE UJLIC

A UJLIC Quality Task Team was constituted to ensure that quality assurance becomes an integral part of all library and information centre activities, in accordance with the *UJ Quality Promotion Policy* and the requirements of the HEQC. The UJLIC Executive Director is represented on the institutional Senate Quality Committee (SQC).

The library ensures regular reviewing of the effectiveness of its provision to users. Strategic goals and objectives are reviewed annually. Divisions and campus libraries report²⁴⁰ on the achievement of goals and objectives monthly, quarterly and annually, and strategies to achieve objectives are adjusted continuously according to progress made. Results of surveys are translated into action plans for strategic objectives, and surveys are repeated on a regular basis in order to review the effectiveness of the results. Two recent surveys were, firstly, the LibQual™ user satisfaction survey, conducted in August 2006, indicating a considerable number of development areas for the UJLIC. This survey was repeated in May 2008.²⁴¹ Secondly, the UJLIC formed part of the UJ Undergraduate Student Experience Survey 2007.²⁴² Results indicated areas of concern in specific campus libraries and an improvement plan was developed to address these.

The UJLIC forms part of the UJ Quality Promotion System in terms of its representation on the SQC, and by conducting regular self-evaluation and peer reviews. The UJLIC Self-evaluation Report and the Peer Review Report (in the UJLIC file) are evidence of the quality promotion and review system in the library, but also at institutional level (see Quality Promotion Plan: 2010 – 2015 in Chapter 3).

5.3.4.1 Self-reflection

One of the problems that the LIC has identified in the past, is that of overcrowding (to varying degrees) of all campus libraries. Regular reports to highlight this problem

²⁴⁰ See UJLIC file for reports.

²⁴¹ LibQual reports: 2006 and 2008 – see UJLIC file.

²⁴² *UJ Undergraduate Student Experience Survey (2007) Report*.

have been submitted in the past.²⁴³ The UJLIC provides a variety of services that contribute to the problem. Such contributing factors include:

- The students' reliance on text books in the library. There is a perception that the library provides multiple copies of text books, resulting in large numbers of students visiting the library to make use of text books readily available in bookshops, etc.
- The need for study space. The library seems to be the only venue that provides study space. Although sometimes linked to resources available in the library, regular study space need not be limited to the library.
- The photocopying services that all campus libraries provide. Although this service is directly linked to the other library services, it does result in an additional number of students visiting the library for photocopying only.
- A cyber centre on the APB campus that provides internet access to students is housed in the library venue. This service (independent from the regular library services) draws more students to the library venue – contributing to the existing problem of overcrowding.

The UJLIC conducted a self-evaluation and a peer review in 2008. A summary of the peer review conclusions is presented here (more details are available in the *Peer Review Report* in the UJLIC file in the Evidence Room).

The peer review panel commended the UJLIC on the high staff morale and good interpersonal relations the panel encountered on all campuses with all the interviewee groups. The Executive Director and the members of the Leadership Group, the additional members of the Extended Leadership Group and the rest of the high quality and professional staff corps, have reason to be justifiably proud of what has been achieved. There is no room for complacency, given the many challenges still confronting the UJLIC, but a solid foundation has been laid on which the Library can build with confidence.

Matters for further attention are listed below.

5.3.4.2 Strategic Intent

It is evident that the library is a key success factor for realising the University's vision and mission. Its high profile is partly reflected by the fact that the UJLIC is headed by a person on the level of Executive Director who participates in the deliberations of the Executive Leadership Group (ELG) as a member in own right. The contribution of the Library to taking the *Vision* and *Mission* of the University forward was seen by all interview groups as being captured in the contribution it makes to the core functions of teaching, learning and research. It should be noted that the development of the IR and open access initiative is making an important contribution to realising the UJ's *Vision*.

5.3.4.3 Governance

The UJLIC faced a considerable challenge in merging the libraries of three different institutions with different institutional cultures, practices and development foci, and

²⁴³ UJLIC report – see UJLIC file.

considerable progress has been made with this integration. However, some related issues have not been addressed adequately:

An element of discomfort was noticed on some campuses regarding the Executive Leadership Group not presenting adequate opportunity for participative management, and the DFC in particular feels isolated. Management may wish to consider spending more time on the individual campuses and the delegation of authority to all campuses may be revisited, e.g. the right to forward international ILL requests.

The challenge is to have a unified UJLIC (which is evident), yet with each library having its own footprint. The appreciation of staff and students alike for the service they get from 'their' libraries on the respective campuses bears witness to success in this regard. The Executive Leadership should be continuously alert for opportunities to celebrate the uniqueness of the different campus libraries.

The following concerns require urgent attention:

- A staff appraisal system that enjoys support of all levels of employment is still outstanding.
- A need for the finalisation of an acceptable collection development policy was identified.

5.3.4.4 Support for core functions

A number of issues (consult *UJLIC Peer Review Report* for more details) emerged that should be taken cognisance of, namely:

- Book collections
- Orientation and skills development
- Communication and marketing
- Electronic resources
- Inter-library and inter-campus loans
- Opening hours.

5.3.4.5 Infrastructure

All branches of the Library were clean, well kept and functionally organised, creating an atmosphere of professional efficiency. Access was adequate, but not all made provision for disabled students.

The APK and APB libraries created an impression of being cramped, while the DFC library was spacious.

The rare book collection on the APK Campus is a valuable asset for the University and should be treasured as being irreplaceable. This means, *inter alia*, regulating the climate and ensuring clean air.

The lack of (at least partial) air conditioning at the APB Library is not conducive to productivity and warrants attention.

The lack of discussion areas at the SWC Library was mentioned. This is a valuable adjunct to the services on offer and contributes to the friendly and helpful ambience of the Library on any campus.

Giving some publicity to the existence of the University archives at the DFC Library should be considered. It is of interest to the campus communities.

5.3.4.6 Improvement Plan

See the UJLIC file for its improvement plan.²⁴⁴

5.4 THE DIVISION FOR ACADEMIC DEVELOPMENT AND SUPPORT (ADS)

In its present form, the Division for Academic Development and Support (ADS) is the outcome of repeated attempts to position optimally the various academic development and support units that had already existed in the merging institutions.

5.4.1 HISTORICAL CONTEXT

The years 2006 and 2007 saw ongoing rethinking and revision, with the Renewal and Integration Process (see Chapter 1 for details) offering opportunities for conceptualising and (re)structuring the individual units. An initial structure combined two such units, the former Academic Support Unit (former TWR) and the Learning Centre (former RAU) into a single Academic Development structure, with responsibilities for both alternative access and mainstream student development. Subsequently, towards the beginning of 2008, an expanded ADS under the leadership of an Executive Director was established, combining all the centrally located units that were contributing to supporting student learning in various ways, and – importantly – now also including Professional Academic Staff Development. The restructuring of separate academic development and support units into one division is a good example of the slow and challenging development “*from the merger to-(wards) unity*”.

The four centres now located in this well-considered division are depicted in Figure 5.2, as are the reporting lines and the staff complement on the four campuses.

²⁴⁴ UJLIC file as part of Chapter 5 evidence.

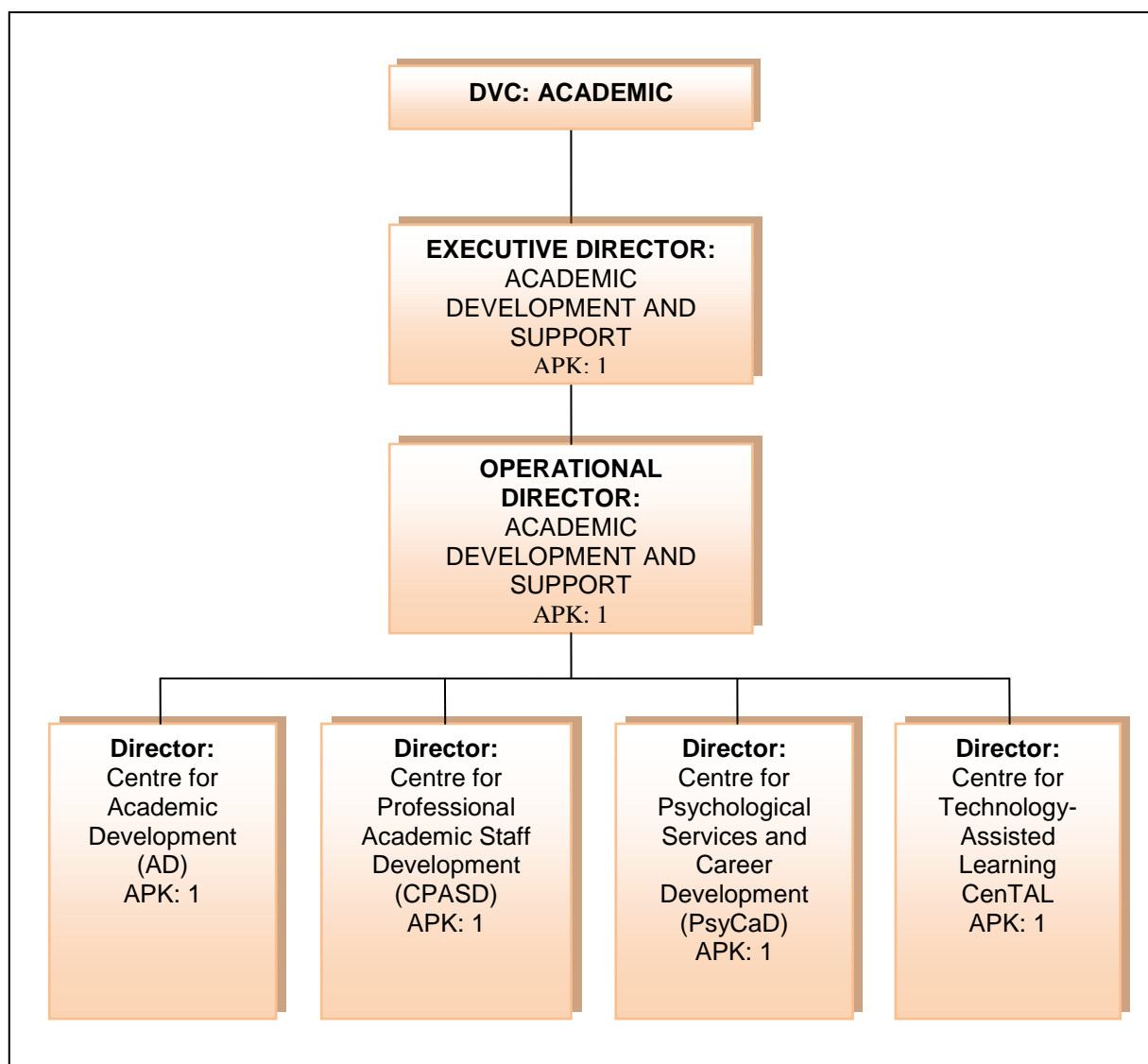


Figure 5.2: Division for Academic Development and Support (since March 2008)

Since the beginning of 2008 the division has fallen under the leadership of an Executive Director, who reports directly to the Deputy Vice-Chancellor (DVC): Academic.²⁴⁵ During 2008, the line management of the division was assigned to an experienced Chief Director, who reported to the Executive Director: Academic Support and Development and the DVC: Academic, and with his assistance coordinated governance structures and enhanced financial management were implemented within the ADS. From 2009 the title of this position has changed to Operational Director, and an appointee with considerable expertise in both operational management and educational issues was identified. During 2009 thought will be given to the specific roles of the six senior appointees in the above organogram in terms of strategy and operations, given that the duties of the Executive Director, as has now become clear, extend considerably beyond leadership of the division.

²⁴⁵ Strategic plan, reporting lines, organogram, etc.

5.4.2 STRATEGIC INTENT OF THE DIVISION FOR ADS

The division, established in 2008, contributes to the enhancement of learning and teaching and the overall student experience by holistically developing and supporting all students and staff. In alignment with the UJ Strategic Goals, the ADS goals are to:

- promote the holistic development of all students (in line with UJ's Goal 9);
- promote excellence in teaching and learning (in line with UJ's Goals 1 and 2) by promoting and facilitating:
 - the appropriate integration of technology into teaching and learning (in line with UJ's Goal 2);
 - learning-centred and student-centred approaches to teaching and learning (in line with UJ's Goal 2);
 - enhancement of the academic performance of all students in partnership with faculties (in line with UJ's Goal 2);
- identify and assist high-risk students (in line with UJ's Goal 9);
- ensure the efficient delivery of alternative access programmes (in line with UJ's Goals 2 and 9);
- produce a body of research to investigate and underpin ongoing development of learning and teaching methodologies and approaches (in line with UJ's Goals 1 and 3), and
- ensure the ongoing professional development of academic staff (in line with UJ's Goals 1, 2 and 5).

The division is represented on core UJ committees such as the Senate Executive Committee (SENEX), Senate, the Senate Quality Committee, the Senate Higher Degrees Committee, the Senate Academic Ethics Committee and the Management Executive Committee (Academic) (MECA), etc. via the Executive Director. The MECA meeting, with its limited membership, particularly allows for regular and direct interaction with all nine Executive Deans, the DVC: Academic and the DVC: Research and Innovation (see Chapter 2 on management structures). All six senior staff members are represented on the Senate Teaching and Learning Committee. From its inception, ADS has focused on optimum ways of ensuring the additional direct involvement of the various ADS units with faculties, and on the most appropriate integration between and mutual enhancement among the various ADS functions.

The division has established a Quality Promotion Committee with representation from the four centres to ensure the proper attention to and monitoring of quality in all activities, in line with the *UJ Quality Plan*.

In the following section, the four centres within the ADS are considered in turn.

5.4.3 THE CENTRE FOR ACADEMIC DEVELOPMENT (ADC)

5.4.3.1 Historical context

An Academic Development Unit was established as a unified structure during the lengthy Renewal and Integration Process, which lasted from late 2006 to mid 2007. This process combined the former Academic Support Unit from the ex-TWR, and the former Learning Centre, originally part of the Centre for Teaching Learning and Assessment, from the ex-RAU. Both units had extensive experience with alternative access. In addition, the Learning Centre had undertaken considerable academic developmental work with mainstream students. In its subsequent location within the Division of ADS, the unit was then positioned as a centre, led by a Director.

The merged Academic Development Centre is structured in two subunits:

- the Alternative Access Unit, focusing on alternative access; and
- the Academic Literacy and Learning Development Unit, focusing on student and staff development in the mainstream curriculum (academic literacy, learning and tutor development).

The two subunits' activities are cross-functional. Staff members in the ADC do not work in silos – an integrated, holistic approach is followed.

5.4.3.2 Strategic intent

The ADC developed the vision to be a nationally recognised Academic Development Centre that is integral to the institution and makes a demonstrable impact on the access and success of all students. In this, this centre addresses especially Goal 2 in the *UJ Strategic Plan*, namely the development of “*excellence in teaching and learning*”. The ADC is also aligned with the aims of the National Plan for Higher Education (DoE, 2001:23),²⁴⁶ namely:

- To facilitate access to higher education for motivated learners who have the will and potential to succeed;
- To support learners who have already enrolled to achieve their fullest potential;
- To offer an alternative path to learners who find their selected course of study too complex and wish to change it; and
- To provide a multiple entry-level and exit-level programme for learners at any level.

More specifically, the following Strategic Thrusts were identified for 2008 (after the further restructuring):

- Identify an optimal location and means of functioning within the new Division of ADS;
- Guide and support faculties in offering their numerous Extended Curricula programmes for alternative access;
- Develop strategic partnerships with faculties and academic departments to promote integrated academic development for mainstream students;
- Enhance the impact of the limited capacity within the ADC by focusing increasingly on staff development;
- Ensure optimal integration of services within the ADC;

²⁴⁶ The National Plan for Higher Education (DoE, 2001:23).

- Focus on staff recruitment for the ADC, and the enhancement of conditions of service;
- Establish reporting structures and quality assurance mechanisms for the Academic Development Centre within the ADS;
- Make progress towards launching the First Year Experience within the UJ;
- Offer staff development within the ADC by means of workshops targeting enhanced learning facilitation, and research skills and writing for publication.

By focusing on the specific learning needs of students, staff members in the ADC assist students to develop the requisite knowledge base and core skills and competencies required for success in higher education. Increasingly, however, the ADC is prioritising professional development for staff as a means to spread its resources further; ADC staff members seek to sensitise teaching staff to student needs, and to equip them to implement learner-centre pedagogies.

5.4.3.3 Implementation of these goals

The centre consists of the following two units: Academic Literacies and Learning Development, and Alternative Access.²⁴⁷ They work with all faculties and on all campuses. The UJ's extended diplomas are coordinated by the ADC on behalf of and in close collaboration with the various faculties that register students in their extended diplomas. Subunits for academic literacy, learning development and tutor development are focused primarily on regular-entry students and on teaching staff. Current interest is strongly focused on the proposed implementation of a First Year Experience programme in 2010, which has emerged from an earlier exciting innovation, Project Mpumelelo.

Special reference is also made to the tutor system at the University. The Unit for Academic Literacies and Learning Development coordinates tutors at institutional level, i.e. provide training and guidance.²⁴⁸ The faculties develop their own tutor systems and are responsible for selection and appointments (including financial matters), supervision and additional (subject-specific) training. Faculty-specific guidelines²⁴⁹ address matters such as selection and appointment, duties of tutors, continuous monitoring, online learning facilitation and the evaluation of the tutor system in the faculty. Further details on these activities can be found in the ADC file in the Evidence Room.

5.4.3.4 Resourcing of the Academic Development Centre

a) Human resources

The ADC is staffed by 30 permanent posts, including administrative assistants. In the Alternative Access Unit, 14 long-term contract posts are funded via the Department of Education's foundational provision.

However, it has proven difficult to appoint and retain well-qualified staff. This is due, not least, to a lack of clarity regarding the appointment status of staff, many

²⁴⁷ See organogram in ADC file.

²⁴⁸ Guidelines for Departmental Involvement and Cooperation – see the ADS file.

²⁴⁹ Examples of faculty-specific guidelines, and information on their tutor systems.

of whom are appointed on 'research' as opposed to 'academic' conditions of service, and to the concomitant lack of career pathing. To address this most unsatisfactory situation, a benchmarking exercise was undertaken against AD units at other South African universities. This showed that, nationally, AD staff members are increasingly being appointed on academic conditions of service, which makes career pathing feasible. With MEC support, HR has been asked to take this matter forward.

The potential implementation of academic conditions of service will have serious implications in terms of required research output, however. Research development has become an important topic, and two core challenges are being addressed systematically:

- The lack of higher qualifications on the part of many staff – through support for the completion of master's and doctoral degrees. Any new appointees require at least a master's degree, and many ADC staff are currently registered for higher degrees.
- The under-developed research profile of staff – by means of in-house seminars around research methodology, by writing retreats and workshops, and by promoting institutional research focusing on teaching and learning.

At the same time, attention is being paid to the ongoing professional development of ADC staff (both permanent and temporary/part-time appointees) through staff workshops around aspects of their teaching function.

b) Infrastructure and space

Considerable constraints with regard to office and teaching space are being experienced, especially on the APK.

5.4.3.5 Quality management

All ADC staff members are required to write reports on a weekly or bi-weekly basis. These reports assist academic development delivery by means of programme or project alignment, and assist in determining alignment with the centre's strategic thrusts. Feedback questionnaires from students ensure their input in terms of the improvement of the teaching and learning process. Other quality management mechanisms include:

- Pre-arranged classroom visits, which are conducted by course facilitators during each semester in order to develop and quality assure the teaching and learning process.
- A Learner Review of lecturers, conducted each semester. Learners rate each of their lecturers again a set of questions. The results are analysed and meetings are scheduled where the facilitators share the results with the lecturers on an individual basis.
- The feedback from the Student Satisfaction Survey 2007, conducted on all campuses, was considered and an improvement plan was developed.
- At the end of each year, the Tutor System is evaluated to determine its effectiveness. Evaluation is in the form of action research, incorporating

questionnaires and/or focus groups. Research therefore informs tutor development practice.

Since October 2008 a member of the ADC has at on and reported to the ADS Quality Committee, which has been tasked with managing the implementation of the *UJ Quality Plan* in the ADS. In terms of this plan, the ADC will undertake a self-evaluation and peer review in 2010.

5.4.3.6 Self-reflection

Since being merged, the ADC has achieved the following:

- All ADC services are centralised, allowing for regular dialogue about student performance, methodologies, teaching and learning, etc.
- Exceptionally strong collaborative partnerships with HoDs and/or Vice-Deans of faculties where extended diplomas are offered ensure that the ADC is valued and respected.
- Faculty lecturers are increasingly acknowledging that the developmental approaches promoted by the ADC do not lead to a watering down of content, but rather represent an alternative (and often rather more successful) way of ensuring learning.
- The extended diplomas were piloted in 2007. The implementation was evaluated by all senior coordinators, in collaboration with faculties, and changes will be proposed when the DoE calls for the next round of proposals for foundational provision.
- Tutors are employed across all faculties and campuses. Students on all campuses have access to tutors, implying that the service offered jointly by tutor development and academic departments is standardised.

The following aspects need attention/improvement:

- The growing number of demands made on the ADC by faculties has necessitated the employment of increasing numbers of temporary and part-time staff. The lack of job security results in a rapid turnover of these temporary staff; meaning that the ADC spends considerable effort on induction and training, only to lose staff repeatedly.
- The modules are teaching-intensive, and very little time is available for staff to undertake research and further their studies. (Research days are being planned for staff members involved in research projects or further studies.)
- There are no posts for tutor coordinators on the SWC and APB, placing additional burdens and time constraints on the tutor coordinators appointed on the DFC and APK.
- As yet no formal policy exists to govern tutor development, although procedures in place ensure that the tutor system functions efficiently. A formal policy on the appointment, development and management of tutors will be presented to Senate in June 2009.

- Severe timetable and venue constraints make the involvement of the ADC in the extended degrees on the APK Campus problematic.
- Communication between the ADS and academic staff should be established to enhance the collaboration with faculties. Communication with other support divisions could also serve to improve the coordination of support activities.

5.4.4 THE CENTRE FOR TECHNOLOGY-ASSISTED LEARNING (CENTAL)

5.4.4.1 Historical context

The present CenTAL is an outcome of approximately 10 years of dedicated focus on utilising technology to support teaching and learning at the former RAU and more recently at the UJ. After the merger, CenTAL was initially positioned as a separate centre headed by an Executive Director; in March 2008 CenTAL was repositioned within the Division of ADS.

5.4.4.2 Strategic intent

CenTAL's vision is aligned with Goal 2 of the *UJ Strategic Plan*, namely to “cultivate excellence in learning, teaching and assessment through the innovative and optimal use of technology, based on continuous research and development”. CenTAL's Strategic Goals are listed below:

Table 5.5: CenTAL Strategic Goals

| N | GOAL |
|---|---|
| 1 | The number of lecturers using Edulink optimally, continuously upgrading their knowledge, skills and attitudes towards technology-enhanced learning, should increase and be nurtured by means of professional development activities. |
| 2 | Longitudinal studies of students' performance (in terms of indicators such as the success and throughput rate) should be conducted. A report on the extent of improvements that could possibly be attributed to these learning packages and a report on the first outcome had to be submitted by June 2007. |
| 3 | On its new road of the professional development of lecturers, CenTAL should build capacity in order to take ownership of continuous improvement and updating of learning environments. |
| 4 | CenTAL should revisit and change its contribution to learning guides, CDs and, in particular, staff time requirements and cost-intensive compilation of these items for modules with small student numbers. |
| 5 | CenTAL should market its approach, professional services and activities vigorously on an ongoing basis to ensure that all misperceptions about the centre are clarified and a fresh approach to technology-enhanced learning, focusing on professional development is communicated clearly. |

An interim report on progress with the goals was presented, together with the main findings of a report, *The Value Added by Technology-Assisted Learning*, at the Strategic Session for the ELG on 7 August 2007.

5.4.4.3 Implementation

CentTAL promotes, designs, develops and supports the integration of technology-assisted learning (TAL) to enhance teaching and learning experiences in a blended learning environment.

Our development and support functions in this regard include i) the professional development of lecturers by means of personal consultations, individual and/or customised group training sessions/workshops on the use of Edulink, ii) pre-scheduled and customised student and tutor training, iii) contributions to the design and development of learning material (learning guides, readers, CDs and web pages) in a variety of modules, and iv) maintenance, upgrading, integration and security of Edulink.

CentTAL's focus is therefore on making the integrated approach to technology-assisted learning, teaching and assessment a reality in the learning experiences of all UJ students on all campuses. This can only become a reality when equal access to computers is provided, the necessary infrastructural upgrades are made and increased bandwidth is in place.

It is important to note that CentTAL is not responsible for the planning and establishment of computer labs for students and other university-related infrastructure requirements. The challenge for CentTAL is to ensure adequate implementation of Edulink and TAL on all campuses.

Details as to these activities are to be found in the CentTAL file in the Evidence Room.

5.4.4.4 Resourcing of CentTAL

a) Human resources

CentTAL includes instructional designers and developers, and support with technology-assisted learning, system support, etc.²⁵⁰ Although situated on the APK, it provides its support and services on all campuses.

CentTAL is currently staffed by 20 permanent positions, one of which is a half-day position. Up to the present, this has been adequate to render the necessary specialised services because of limited dedicated computer laboratories for students (APB, DFC) and bandwidth limitations (APB, DFC and SWC). These constraints are now being addressed, through:

- the upgrading of students' access to computer laboratories on the APB and DFC (since July 2008); and
- the broad bandwidth across the various campuses that should become available no later than October 2008 (and especially from mid-2009).

²⁵⁰ See CentTAL organogram in the CentTAL file.

As a result there has been an immediate increase in demand from both staff and students, and staff members are at present experiencing enormous pressure as they seek to spread delivery across all four campuses.

A further challenge is that of maintaining the balance between the primary responsibility of rendering professional services and support to users of TAL, and becoming more involved in research-related projects and learning activity design. CenTAL has a responsibility to contribute to the increasing focus on a transformational approach towards learning and the design of learning activities.

Financial resources are allocated specifically for professional development and training of CenTAL staff members, and for participation in national and international conferences. Staff training workshops facilitated by the Human Resources Division are attended by staff members (e.g. client services, team building, presentation and typing skills, and the improvement of inter and intrapersonal relationships). Three of the instructional designers (IDs) are also accredited assessors and one is an accredited moderator; the majority are Blackboard Certified Trainers. The instructional developers have attended training workshops on HTML, Flash Action Script and Dreamweaver. Other staff members attended work-related workshops presented by the UJ to ensure ongoing awareness and improvement of quality.

b) Financial resources

CenTAL is funded centrally and had to cope with adequate, but gradually shrinking, financial resources to finance its core activities during the past three years (2005-2008). The expansion of activities to all campuses will undoubtedly have budgetary implications.

The 2009 budget cuts have impacted on the funding available for professional development activities and training opportunities for CenTAL staff members. It will be challenging to expand the professional services to the other campuses cost-effectively without having sufficient funding available to support these very important efforts.

c) Infrastructure

Individual CenTAL staff members have offices that have the necessary furniture and computers for them to perform their required duties. However, local and international bandwidth constraints are impacting on the optimum development of Edulink in terms of off-campus access and access across all campuses. (For example, the local and international bandwidth needed to submit assignments via Edulink to Turnitin from off-campus locations has been insufficient, but this problem is now being addressed.) International bandwidth may still pose a problem in future, as costs are related directly to available financial resources. The start of 2009 has shown an immediately increased staff uptake of the use of Edulink, especially for formative assessment, with resulting pressure on the UJ student computer laboratories. These challenges, too, are being addressed.

5.4.4.5 Quality management

The objectives of quality management are to ensure uniform, acceptable quality of all CenTAL output regarding professional development pertaining to the level of

development; client satisfaction; participation and leadership in the field of integrated TAL.

Quality assurance and planning play an important role in CenTAL's activities. Consult the CenTAL file for a copy of the *CenTAL Self-evaluation Report*. The following quality-related activities are listed here:

- During the Renewal and Integration Process (which took place towards the end of 2007), a permanent position for a Quality Care Practitioner in CenTAL was approved. This position is currently filled by a contract appointment.
- The centre recently conducted a self-evaluation and peer review (in line with the *UJ Quality Promotion Policy and Plan*).
- During 2006 and 2007, CenTAL conducted a survey among all students using Edulink and other forms of TAL on the services (and other directly related functions) that CenTAL offers (reflections and CenTAL's interventions are discussed in the SER).
- A lecturers' feedback survey was conducted in March 2007 (reflections and a report on actions that have already been implemented are included in the portfolio).

The feedback from the Student Satisfaction Survey 2007²⁵¹ conducted on all campuses was considered, and an improvement plan was designed.

- Given CenTAL's experience in quality promotion and in the self-evaluation and peer review process, the Director of CenTAL was requested to chair the ADS Quality Committee and to offer leadership in the implementation of the UJ Quality Plan within the ADS.

5.4.4.6 Self-reflection

CenTAL conducted a self-evaluation followed by a peer review from 25-27 August 2008. The *Peer Review Report* (in the CenTAL file) identified the achievements and concerns described below.

a) Achievements

A number of policies and practices with regard to quality assurance are in place, and various quality-related initiatives have been implemented:

- It was the considered opinion of the panellists that the quality of development and support in this centre is at a high level, irrespective of the few developmental areas identified. The employees are highly competent, suitably qualified and clearly passionate about learning, teaching and supporting lecturers and students. The employees are highly committed, dynamic, motivated and guided by sound ethical principles in all their activities. Similarly, the administrative employees are committed to supporting the activities of the centre.
- It is evident that the students are generally satisfied with the quality of the Edulink services provided.
- The excellent relationship with the ICS should be nourished.

²⁵¹ *Student Satisfaction Survey 2007*.

- The productive partnership with the Faculty of Education in offering the Hero's Journey should be expanded.

b) Concerns

In the *Peer Review Report*, a number of concerns were identified (consult the report for more information). The areas of concern are listed below:

- Strategic management
- Operational management
- Human resources management
- Collaboration with other entities in the UJ
- Hero's Journey
- Student issues
- Issues to be addressed at institutional level
- Financial resources
- Computer laboratories
- Institutional recognition for the use of Edulink to enhance learning.

An Improvement Plan is currently being finalised, and will be submitted to the Senate Quality Committee by mid-2009.

5.4.5 CENTRE FOR PROFESSIONAL ACADEMIC STAFF DEVELOPMENT (CPASD)

5.4.5.1 Historical context

This centre was established in its current format only in March 2008. Since the merger, academic staff development has been subject to much restructuring, through the following iterations:

- An Academic Staff Development Unit was established first (2005 to 2007).
- Subsequently the Programme and Professional Development Unit (PPD) was established as part of the Office for Institutional Effectiveness (OIE) (12 June 2007 to March 2008).
- The current Centre for Professional Academic Staff Development came into existence in March 2008 (with programme development activities remaining in the restructured OIE.)

Further information about activities of the predecessor units can be found in the CPASD file in the Evidence Room.

5.4.5.2 Strategic intent

In the new centre, the focus is clearly on professional academic staff development. This is to include the Staff Qualifications Project, which will be coordinated through the centre, and contributions to the Postgraduate Centre (to be based in the Research Office).

At the same time, the contributions that the other centres in the ADS have also been making to academic staff development will need to be borne in mind in planning and roll-out.

In May 2008, the new CPASD identified goals and risks as per Table 5.6.

Table 5.6: CPASD goals, challenges and risks

| GOALS | CHALLENGES AND RISKS |
|---|---|
| <ul style="list-style-type: none"> • Establish and integrate the Professional Academic Staff Development (PASD) unit within the ADS Division • Develop professional academic staff development: <ul style="list-style-type: none"> ▪ Strategy ▪ Framework ▪ Policy ▪ Procedures and guidelines • Plan and implement an academic preparation programme for new academic staff • Conduct a needs analysis for continuous professional development (CPD) • Plan and conduct CPD opportunities • Present workshops on strategies and policies for academic staff: <ul style="list-style-type: none"> ▪ Teaching and Learning strategy ▪ Professional academic staff development strategy and policy ▪ Teaching evaluation framework • Develop and implement an interim teaching evaluation framework for academic staff for 2008 • Develop the teaching evaluation policy (promotion and development) • Develop criteria and guidelines for teaching portfolios (Distinguished Awards; promotion; development). | <ul style="list-style-type: none"> • Lack of coherence in the Teaching and Learning domain • Effective integration of the PASD unit in the ADS • Lack of capacity (expertise and staff) on all campuses • Demoralised staff, due to all the changes • Buy-in of all academic staff in the PASD strategy and framework and TE framework • Credibility of the unit and staff • To establish a support team as sounding board • Implementation of electronically generated teaching evaluation • Buy-in of academic staff (to be achieved by 2009) • Lack of capacity to support academics in developing teaching portfolios |

5.4.5.3 Implementation

During its one year of existence, the centre has been active and has successfully begun to build visibility and faculty interest. Firstly, a number of well-supported workshops and activities have been presented (Academic Practice workshops for new academic staff; an Academic Leadership workshop for newly appointed Heads of Department; ongoing student evaluation of lecturers by means of an Interim Framework; the first Teaching Excellence @ UJ internal conference; workshops as requested by faculties and departments). Secondly, academic staff development has made a substantial contribution to the development of the Teaching and Learning Strategy, and has now been positioned as a major initiative within the strategy. On the one hand this has given the centre visibility and credibility, but on the other it will require a considered approach to enhance the centre's limited capacity. Thirdly,

serious consideration has been given to integrating and marketing all professional development for staff undertaken across the ADS by means of a joint brochure. Fourthly, a number of core policy documents are under development and will be presented to Senate by mid-2009.

The CPASD has now been asked to lead the implementation of the Staff Qualifications Project, and has set up processes and developmental workshops to assist staff who may be new to higher degrees or may be returning to research after a lengthy gap.

Further details can be found in the CPASD file in the Evidence Room.

5.4.5.4 Resourcing

In March 2008, the unit was re-organised with a new focus, but lost staff members, which rendered it seriously vulnerable. The CPASD includes two coordinators and a facilitator for professional development.²⁵²

Management is paying serious attention to capacity within the CPASD; an additional staff member has been coopted, a vacant post is being filled, and consideration is being given to the creation and filling of a post at director level to bring the centre into line with the other ADS centres. At the same time, a brokerage approach to capacity is being applied, with the centre drawing on expertise within faculties (as well as limited external expertise) to run workshops.

5.4.5.5 Quality management

The CPASD is committed to the *UJ Quality Plan*, and is represented by the Head of the centre on the ADS Quality Committee.

Ongoing attention is paid to the evaluation of all workshops, and comments are carefully considered and fed back into the development process. Through its management of student evaluation of teaching (with subsequent support for staff who need to enhance their teaching), as well as its developmental workshops, the CPASD makes a major contribution to the quality of teaching and learning at the UJ.

5.4.5.6 Self-reflection: CPASD

In its new location within the ADS, the CPASD has made considerable progress and is positioning itself as a core player within the implementation of the teaching and Learning Strategy, in particular through collaboration with the Faculty of Education. A strategy is in place to overcome capacity limitations, a series of well-received workshops have been presented, and student teaching evaluation has been maintained.

The following concerns require attention:

- The approval of core policies, procedures and guidelines.
- The lack of suitable office space, especially on the APK and the APB. This is currently being successfully addressed.

²⁵² See CPASD organogram in the CPASD file.

- A lack of human resources limits the services the CPASD can provide on all campuses. Here, too, a strategy is being developed, which will involve some repetition and some rotation of workshops.
- Attracting skilled staff and capacity building, especially in the Division for ADS, should be a priority.
- The CPASD needs further time to settle and develop its own identity and credibility in the University.

5.4.6 CENTRE FOR PSYCHOLOGICAL SERVICES AND CAREER DEVELOPMENT (PsyCaD)

5.4.6.1 Historical context

In order to achieve unified psychological and career services in the UJ, the merger process addressed the integration of Academic Student Development and Counselling (ex-TWR) and the Student Services Bureau (ex-RAU). This was addressed by the Renewal and Integration Process and finalised in July 2007 via the establishment of the Student Counselling and Career Development Unit (SCCD). In March 2008 the small Cooperative Education Unit (ex-TWR) was integrated with the SCCD. At the same time, it became apparent that the psychological and career services, as well as the training of psychologists and psychometrists rendered by the Institute for Child and Adult Guidance (ICAG, ex-RAU), also needed to be integrated with the SCCD to deliver unified psychological and career services to the entire UJ community.

In the quest for unity after the merger, the former SCCD and ICAG were integrated in September 2008. This integration process resulted in a unified, comprehensive Centre for Psychological Services and Career Development (PsyCaD), located in the Academic Development and Support Division (ADS), and delivering psychological and career services to UJ students and employees to ensure academic success.

PsyCaD is governed by the ADS. The executive functions of PsyCaD are managed by the Director, and the structure comprises six units delivering core services, namely:

- Academic Services (including the Office for People with Disabilities (PWD) and Work Integrated Learning (WIL))
- Career Services
- Psycho-Educational Services
- Shared Services
- Therapeutic Services
- Training and Development Services.
- The PsyCaD team is supported by a Business Partner who has a 50% responsibility towards high-level WIL functions.

5.4.6.2 Strategic intent

The strategic intent of PsyCaD is to:

- ensure support to all UJ students and employees in psychological and career issues in order to achieve success in their academic endeavours;
- assist students via the Peer Helper programme to ensure academic success and maximise throughput rates;
- assist the UJ community with the 24-Hour Crisis Life Line, to ensure a caring environment;
- assist faculties with at-risk students via the Faculty Liaison Project, according to the TLA Policy, to ensure academic success;
- assist students, prospective students and graduates with career and subject choices, career planning, the graduate programme, etc. to ensure a caring and supportive environment;
- promote and support WIL;
- ensure quality of training of intern psychologists and psychometrists to ensure a preferred student experience;
- ensure equality and an equitable academic environment (i.e. the academic as well as the physical environment) by ensuring access for PWD; and
- participate with relevant role players (in the FYE project) to ensure holistic development of UJ students.

The Constitution of PsyCaD²⁵³ will inform governance policies and guidelines for the management of the Centre. PsyCaD has a Research and Development Strategy to inform and enhance service delivery to the UJ, develop PsyCaD employees' capacity for research, and to ensure outcomes by means of a system of disseminating results in relevant accredited journals and at relevant national and international conferences. Community Engagement (CE) is regarded as integral to all service units, and several CE programmes exist within PsyCaD.

Further details and evidence can be found in the PsyCaD file in the Evidence Room.

5.4.6.3 Implementation

PsyCaD is an ADS centre, serving the ADS strategic plan. This is done by means of representation on various University committees, such as the ADS Heads Committee, UJ Wellness Committee, UJ HIV/Aids Committee, UJ PWD Committee, active participation in TLA workshops, FYE programme, Entrance and Placement Testing Programme, as well as the Student Enrolment Centre. Currently, an ADS Research Committee, Marketing Committee and Quality Committee are being established, and PsyCaD will play an active role in all these committees while ensuring capacity building.

PsyCaD has physical infrastructure on all four campuses, including facilities where services of a high quality can be delivered in terms of all core service functions. Human resources in PsyCaD comprise registered psychologists in the relevant registration categories, registered psychometrists and registered counsellors. Their functions are monitored according to the Health Act, and the Health Professions

²⁵³ Consult the PsyCaD file for additional information and relevant evidence.

Council of South Africa (HPCSA) policies and requirements. The psychologists, psychometrists and registered counsellors work across the six service units and are managed by rotational team leaders. This system ensures capacity building of all employees. A team of administrative support employees assists all service delivery on all campuses.

Executive Management resides with the Director, who reports to the Operational Director: ADS, and the Executive Director: ADS. Human, financial and infrastructural resources are managed according to UJ policies. PsyCaD has the potential to contribute to the third-stream income of the UJ, according to the relevant policy. The Board of Governance will play an important role in governing all activities, while the operational activities are overseen by the rotational team leaders, who report to the Director.

Further information can be found in the PsyCaD file in the Evidence Room.

5.4.6.4 Resourcing of PsyCaD

a) Human Resources

PsyCaD consists of units for career, psycho-educational, therapeutic and academic services, training and development and a number of shared services (e.g. a psychometrist, a researcher and a psychologist).²⁵⁴

b) Financial resources

PsyCaD is resourced through the ADS budget. Prior to the integration, the ICAG was greatly dependent on third stream income, and these skills will be of benefit to PsyCaD. In the 2009 budgeting round, PsyCaD has been challenged to enhance its budget by increasing the external funding brought in through therapeutic and training and development services to outside clients.

c) Infrastructural resources

Considerable attention has been paid to equitable resourcing on all campuses, though more remains to be done.

In particular, the Office: People with Disabilities is committed to equitable access (both physical and infrastructural) on all campuses for students with disabilities.

5.4.6.5 Quality management

The ADS has a Quality Promotion Committee, and PsyCaD fits into the quality promotion system of the ADS. The quality of PsyCaD services are monitored by:

- a) An ongoing Service Quality Evaluation Questionnaire²⁵⁵ (to monitor client satisfaction) implemented on all sites of delivery.
- b) A Student Needs Survey²⁵⁶ is conducted to develop and implement relevant supporting programmes and/or workshops focusing on the needs of first-year

²⁵⁴ See PsyCaD organogram in the PsyCaD file.

²⁵⁵ Service Quality Evaluation Questionnaire in PsyCaD file.

²⁵⁶ Student Needs Survey in PsyCaD file.

students. A report²⁵⁷ disseminated in 2006 identified needs in the following five categories from highest to lowest:

- (i) career
- (ii) academic
- (iii) emotional
- (iv) social
- (v) physical.

The report also indicated significant differences among the racial groups, but not between the two genders. Black students, especially those in foundation (now extended) programmes, had the greatest need to gather information on all these needs.

- c) From 2005 to 2008, a research project was undertaken to monitor the progress of first-year students over their first three years of study at the UJ. A comparison of the profiles of successful and unsuccessful students was done.²⁵⁸

A quality promotion system, including performance contracts and a training and development programme, as well as a 360 degree quality evaluation, will be in place by mid 2009.

Apart from the above, PsyCaD is an HPCSA-accredited training site for the training of counselling and educational psychologists, as well as psychometrists. It is therefore evaluated by means of an inspection every five years (the report from the HPCSA²⁵⁹ relating to the previous evaluation in September 2007 is available in the Evidence Room). Results from the Professional Board for Psychology also indicate the quality of training provided by PsyCaD.

As PsyCaD is a newly integrated centre offering an expanded range of services, the marketing of the centre is currently receiving attention. This includes the development of a website and an internal and external marketing campaign to all Executive Deans of faculties, UJ employees, students and prospective students. PsyCaD is also represented on the Marketing Committee of the ADS.

5.4.6.6 Self-reflection: PsyCaD

The former ICAG and SCCD underwent a self-evaluation process in order to prepare for the HPCSA evaluation in 2007. This was done in accordance with the HPCSA self-evaluation form, which follows the HEQC criteria. Although the new centre was established only in September 2008, a self-evaluation will be undertaken in the near future.

²⁵⁷ Report: A needs analysis of UJ first year students in PsyCaD file.

²⁵⁸ A comparison between the needs of successful and unsuccessful students of the UJ in PsyCaD file

²⁵⁹ HPCSA report in PsyCaD file

On the basis of the feedback of the survey on the Experiences of Undergraduate Students, the following improvement plan was submitted to the Operational Director and the Executive Director: ADS:

- An internal and external marketing drive should be undertaken to advertise the services of PsyCaD and raise awareness of such services.
- A Peer Helper Programme that will target all first-year students in residences, as well as a large number of non-residential students, should be implemented.
- Visibility on all campuses should be increased by improving signage.
- Capacity regarding registered counsellors and psychometrists in the Career Services Unit on all campuses should be built.
- Quality promotion should be improved by implementing a system entailing performance contracts and a 360 degrees quality evaluation.
- PsyCaD employees should be trained and developed by means of a development programme, including skills training.
- A tracking system should be developed to monitor numbers of students attended to by psychologists.
- The facilities of Career Resource Centres on all campuses should be of an equal standard and marketed well.
- Reception staff should be trained and developed and their capacity built to ensure professionalism in the offices and waiting rooms of PsyCaD on all campuses.

5.4.7 SELF-REFLECTION: DIVISION OF ACADEMIC DEVELOPMENT AND SUPPORT

This reflection focuses on all four centres in the division, and draws on the above presentations.

The ADS is newly integrated with consolidated reporting lines, culminating in the Executive Director: Academic Support and Development. In terms of the structure of the University, the various centres are now appropriately positioned, and will be able to build jointly on their earlier work. Since their integration in March 2008, attention has been paid to the following issues:

For the ADS to contribute fully to the UJ in terms of its Strategic Goals, it is essential that it mature into a coherent and well-integrated division in which the various centres mutually support and reinforce each other's work. In this regard, considerable progress has been made during 2008. At the same time, given the past several years of merger-related instability and repeated change in this sector of the UJ, it was regarded wisest not to hurry processes of integration unduly. Monthly directors' meetings (chaired by the Chief Director, and attended by the Executive Director) have been held, and have contributed much to familiarising staff with the work of the centres. At an extended planning workshop attended by the Executive Director, the Chief Director and the four Directors, a Vision, Mission and Values document for the division as a whole was developed and circulated to ADS staff for their input. Towards the end of 2008, planning by each centre for 2009 was complemented by

2009 planning for the division as a whole. This 2009 plan includes the development of a three-year Divisional Strategic Plan for 2010-2012.²⁶⁰

The management structure of the division evolved positively during 2008. Much day-to-day guidance and line management of the four directors was undertaken by the Chief Director, a highly experienced academic. Regular meetings between the Chief and Executive Director (who was new to the institution) allowed for detailed consideration of emerging issues and structures, which were finalised at the monthly directors' meetings (for instance, the recently introduced overarching ADS Committees: Quality, Research and Ethics, Marketing). However, it became clear that the Executive Director also needed to remain in touch with grass-roots concerns of staff members; and twice yearly meetings with all staff of each of the four centres are being scheduled for 2009. Following the retirement of the Chief Director, an Operational Director at the same level, but with considerable expertise in Higher Education pedagogy, was appointed. This management structure will be evaluated and adjusted, as necessary.

Serious attention has been paid to HR issues. In order to attract and retain qualified staff, it is essential that the appointment status of staff be regularised and standardised, and clear career paths be mapped out for the various categories of staff. (An outcome of the merger was that ADS staff members performing the same work are appointed variously under 'academic', 'research' and even 'non-academic' conditions of service.) Benchmarking was undertaken against comparable divisions at other universities, and a proposal for a review of the personnel categories of staff appointed to the division was submitted to the MEC for consideration. The Division of Human Resources has now been asked by the MEC to take this proposal forward. (Until this matter and the associated career pathing have been addressed properly, the appointment status of ADS staff will remain a major challenge to staff satisfaction and to the retention of staff.)

Attention has been paid to achieving equitable provision of services on all campuses in terms of student and staff needs, especially by CenTAL and PsyCaD. However, this challenge will require ongoing attention. Remaining problem areas must be identified and redress sought within the development plans for the various campuses.

Given the size of the UJ and its several campuses, it is essential to optimise the use of the relatively limited staff component (CenTAL, ADS, and CPASD). This is being addressed by an increasing focus on the professional development of teaching staff, rather than on solely offering support and development to students. This way, it is envisaged that the extremely limited staff complement in the CPASD can be extended.

During 2008, much attention was paid to developing a strong interface with each faculty, but more remains to be done. For the ADS centres and the faculties, this cannot involve a 'one model fits all' approach. Rather, careful consideration is being given to specific needs, preferred approaches, and available capacity, with the goal

²⁶⁰ ADS Divisional Strategic Plan for 2010-2012.

of reaching clear agreements with faculties to allow ADS capacity to be maximised and systematic planning to be undertaken. The ADS Division will be thoroughly involved in the implementation of the *UJ Teaching and Learning Strategy* (which proposes that each faculty develop a dedicated focus on teaching and learning, and relevant structures). This will underpin mature relationships with faculties.

The ADS Division needs to undertake systematic branding and marketing to create awareness among staff and students of what can be made available. (Among the ADS centres, CenTAL and PsyCaD have set excellent examples of possible approaches to marketing.) The ADS Marketing Committee has developed proposals to be taken forward during 2009.

Quality promotion in the ADS is now directed by an ADS Quality Committee that is in the process of developing proposals for the implementation of the *UJ Quality Plan* in the ADS. During 2008, CenTAL undertook a successful self-evaluation and peer review process in terms of UJ guidelines. Given that the other centres have only been integrated recently, they are adopting a developmental approach towards self-evaluation, with full self-evaluation (including an external panel) planned for 2010 for the ADS, and for 2011 for PsyCaD.

It is essential that the ADS develop a strong research base in order to select and position its approaches and interventions optimally. Research-active staff will also be in a position to interact effectively with faculty staff. To support this goal, an ADS Research and Ethics Committee has been instituted to support staff engaged in research and also to take forward ADS research initiatives. A first, such a joint initiative will focus on the implementation of the First Year Experience at the UJ. A goal for 2009 will be representation of this ADS Research and Ethics Committee on the University Research Committee (URC).

Further benchmarking is to be undertaken among comparable divisions at other South African universities, with some international input. (Currently, a valuable partnership is being developed between the ADS and CenTAL, and the Teaching and Learning Development Unit and the Centre for Teaching and Learning Research at Edge Hill University in the UK.)

The second group of support units (see 5.2) is now presented.

5.5 ADMINISTRATION

5.5.1 HISTORICAL CONTEXT

The incorporation of Vista University (ERC and SWC) into the RAU and the merger between the former RAU and the TWR that took place to establish the UJ on 1 January 2005 had major implications for the administration of the newly established institution. Not only was it necessary to merge all aspects of administration of three institutions with widely diverse programmes, policies and cultures, but it became necessary to amalgamate three separate divisions with different organisational

structures and employee portfolios. Administration reports to the Registrar as three divisions, as per Figure 5.3.

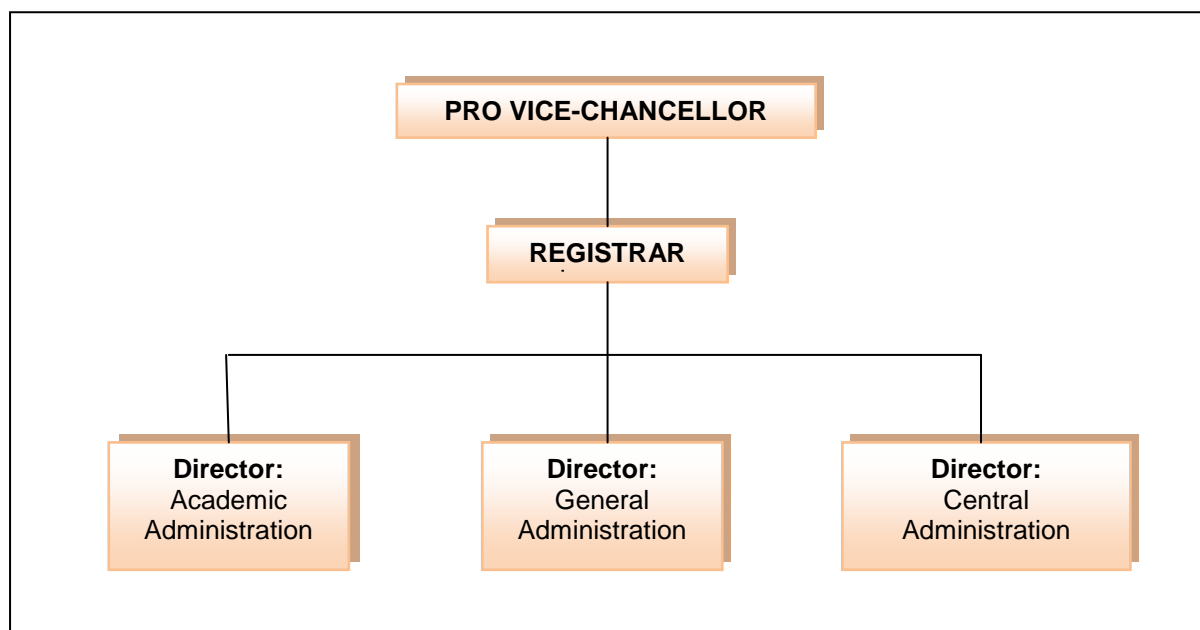


Figure 5.3: UJ Administration

The first two of these divisions are discussed in terms of TLA support. The third one provides valuable services, including meeting, administration, translation services, etc. that are not directly linked to teaching and learning.

5.5.2 ACADEMIC ADMINISTRATION

5.5.2.1 Strategic intent

Academic Administration, also referred to as Central Academic Administration (CAA), is committed to:

- adding value to stakeholder support by providing timely, contemporary and exceptional academic, general and central administrative support and governance;
- exceeding the expectations of stakeholders;
- caring, effective and efficient service delivery;
- equality across campuses and faculties;
- maintaining the highest standards of fiduciary duties and ethics; and
- advancing technology-supported service delivery.

Consult the *Academic Administration Self-evaluation Report 2008*²⁶¹ for more details on their goals and alignment with the *UJ Strategic Plan*. Chapter 5 in this document (i.e. the *UJ Self-evaluation Report*) also refers to Academic Administration matters such as faculty administration's role in the administration of academic programmes, certification and non-subsidised short learning programmes, etc. Additional

²⁶¹ *Self-evaluation Report 2008* in the Academic Administration file.

information on Academic Administration can be found in the Academic Administration file in the Evidence Room.

5.5.2.2 Implementation

Central Academic Administration provides support and services to a wide range of stakeholders, including other support services (i.e. ICS, Student Finance, Protection Services, Corporate Communication); Management; faculty administration employees; academics; Executive Deans and HoDs; students; the DoE and members of the public (e.g. hiring out of venues to the public).

Academic Administration is subdivided into the following units:

- Student Enrolment Centre
- Faculty Coordination (including registration, certification and graduation)
- Timetables
- Examinations
- Training.

Consult the Academic Administration file for an organogram and additional information on the functions, achievements and concerns of these units. Academic programme administration is also addressed in Chapter 4 of the UJ SER. A brief overview of the functions and achievements of the units that are listed above is provided here:

a) Student Enrolment Centre

This centre was established towards the end of 2008, and its purpose is to centralise all relevant processes into one functional and physical unit on the APK.²⁶² It is responsible for providing information, managing applications, feedback, selection and admission processes.

Electronic scanning and indexing of student documentation were implemented on all campuses from January 2007. This implies a single database for all student documentation that is electronically accessible from all campuses. This process has been completed. The accuracy of the scanning and indexing is monitored constantly by the Senior Academic Administration Officer: Applications.

Approximately 120 000 student documents were scanned and indexed during 2007 and once again in 2008 (excluding the documentation scanned and indexed by the external provider in respect of former TWR historical documentation).

The ITS Student System and the IMPRO access card system are used to issue access cards to employees and students. Problems with respect to levels of access were experienced at the beginning of 2007 as a result of incorrect student data captured by faculties. (For example, if the academic record of a

²⁶² Student Enrolment Centre: Proposal and Charter – see Academic Administration file.

student from a previous university is not captured, the system classifies the student as a first-year and disallows on-campus parking.) No noteworthy problems were experienced in 2008.

b) Faculty Coordination

This unit is responsible for coordinating a number of functions across faculties. See the discussion of Criterion 6 in Chapter 4 for a division of responsibilities between Central Academic Administration and Faculty Administration. Some of the functions are highlighted here:

(i) ITS Academic Structure

In 2006, it was decided to centralise the ITS Academic Structure and that faculties would no longer be allowed to update information regarding curricula and modules. This undoubtedly led to a huge improvement in the quality of the data and a much more stable environment during registration 2007, with the exception of one faculty in which the information in its faculty rules and regulations brochure did not correspond with the Academic Structure. This problem was brought to the attention of the Head: Faculty Administration (HFA) concerned, and faculties will in future not be allowed to use coding forms other than those printed from the ITS system.

After the merging of the student data, it was realised that the take-on data did not comply with DoE and quality requirements. In collaboration with the Faculty Administration, the CAA is involved in a structured process to clean the historical take-on data. This was included as a Strategic Thrust for 2008, and the data was corrected as part of the programme review process.

(ii) Registrations

Registrations across faculties are monitored. During January 2009, the UJ was flooded with approximately 25 000 'walk-ins'. Faculties had to manage these students, as well as the online and postal admissions and the provisionally admitted applicants, during January. A *Registration Committee Report 2009* (dated 2 March 2009)²⁶³ was submitted to the Registration Committee. This report includes data (per faculty) on undergraduate applications, 'walk-ins' and web registrations, as well as problems identified and recommendations for 2010. It also includes the findings of a survey conducted on the registration process.

(iii) Certification

A *Policy on Certification*²⁶⁴ was approved in 2006 and implemented. External auditors have audited the system. Detailed procedures are required to be in place to control and monitor the certificates that are issued. A contract assistant was appointed to assist with this process.

The following certificates were issued:

²⁶³ *Registration Committee Report 2009* (dated 2 March 2009) – see Academic Administration file.

²⁶⁴ *Policy on Certification* – see Academic Administration file.

Table 5.7: Certificates issued in 2006 - 2008

| CERTIFICATES | 2006 | 2007 | 2008 |
|--|-------------|-------------|-------------|
| Duplicate certificates | 244 | 303 | 338 |
| Certificates (subsidised programmes) | 10 201 | 9 479 | 9 881 |
| Certificates (non-subsidised programmes) | 11 691 | 12 094 | 10 617 |

During 2008, 1 747 verifications (by KROLL) were conducted.

iv) Graduation

Graduations have already been fully centralised and all the ceremonies are conducted on the APK. In 2007 and in 2008, 54 graduation sessions were held. No major problems were experienced, although the large number of sessions placed great strain on the employees involved. A survey to measure the quality and satisfaction of graduates is conducted twice a year. Details are communicated in the *Graduation Report* (available in the Academic Administration file in the Evidence Room).

c) Timetables

This unit is responsible for standardised lecturing timetables and examination/final assessment timetables. Centralised, unified and optimised final summative assessment opportunity timetables were generated via the ITS Abacus software and implemented on all campuses. The same process was followed for the supplementary timetables that were implemented successfully on all campuses in July 2007.

However, problems were experienced with academic departments not complying with business rules and deadlines for timetable adjustments. A standardised lecturing timetable was implemented on the APB Campus and the SWC, partially implemented on the APK Campus (due to lack of venues etc.), and not at all on the DFC due to resistance by academic staff. A unified Lecturing Timetable Committee (a subcommittee of SENEX), chaired by the Registrar, was constituted and activated to address these deficiencies. Senate approved the criteria for standardised lecturing timetables for all campuses. The standardised and optimised timetables generated via ITS Abacus were implemented on the APB and manually on the SWC in January 2007. The implementation was successful in the sense that a timetable was produced on time before registration. Adjustments were made at the request of lecturers to provide for specific conditions and an unexpected growth in student numbers in specific modules.

The scheduled implementation of the standardised lecturing timetable on the APK had to be terminated in November 2006, as the demand for lecturing timeslots exceeded 12 periods per day, while the standardised criteria prescribed a maximum of 10 periods per day. This is mainly the effect of too many electives in the Faculty of Humanities, a problem that has still not been adequately addressed. The termination of the planned implementation of the optimised lecturing timetable on the APK created major risks for the University. The risk will

continue for the foreseeable future as the current manual timetable is outdated and does not meet the requirements of the academic domain. The complexities of the new environment and multi-campus set-up exacerbated the risks related to a manual timetable.

Ad hoc venue bookings (internal and external) are coordinated by this unit. Business rules in this respect and coordination committees for each campus have been aligned into a single policy.²⁶⁵ Students are represented on all these committees.

d) Examinations

The decentralisation of the DFC and APB Final Summative Assessment Opportunity Divisions has been completed. The alignment of business processes on the various campuses is 90% complete. The main concerns were decentralised employees who struggled to adjust to the new process and procedures, and the transport of assessment question papers among campuses in terms of security risks and lack of infrastructure. The Manager: Final Summative Assessment Opportunity is giving constant attention to these problems. Arrangements have been made with Auxiliary Services to assist with transporting the question papers.

Major risks concerning the capturing of marks and mark changes have been identified, as junior employees and employees studying at the University had access to the final summative assessment options on the ITS system. The cleaning-up of the access lists and implementation of exception validations (mark adjustments > 9%) are being undertaken on all campuses.

A *Declaration of Confidentiality* template²⁶⁶ has been compiled, and all employees involved with marks are requested to sign this oath annually.

Storage of examination papers has been decentralised. It was reported that the storage of assessment material was deemed secure enough. This has been addressed in the report on the *Final Assessment Opportunities November and December 2008/Off-site January 2009* (see 1.3.2).²⁶⁷ This report also addresses concerns in connection with the printing and transport of assessment question papers, an invigilator's report, the results of an assessment survey (on the different campuses in November 2008), and assessment papers not reaching the off-site venues on time. Proposals regarding the decentralisation of assessments/examinations, building alterations, and the minutes of the Final Assessment Coordination Committee, are also included.

e) Training

Training for Academic Administration employees has been formalised and structured on a full-time continuous basis. A training officer who is responsible for training, compiling manuals and acting as a mentor for newly appointed HFAs was appointed. (Eight out of the nine HFAs were new appointees and to an

²⁶⁵ *Policy on ad hoc venue bookings* – in the Academic Administration file.

²⁶⁶ *Declaration of Confidentiality* – see Academic Administration file.

²⁶⁷ *Final Assessment opportunities* - report available in the Academic Administration file.

extent inexperienced.) The training officer is adding value to Academic Administration. Some of the training sessions were recorded and DVDs were provided to each faculty.

5.5.2.3 Quality management

A number of quality management mechanisms exist in Academic Administration to address quality in the various areas on a regular basis. The Academic Administration Coordination Committee serves as an important quality promotion and management structure. Regular reporting on matters such as examinations, the management and control of registration data, the management of student complaints, faculty and academic regulations, etc. are discussed.²⁶⁸

In the report on the Student Experience Survey 2007,²⁶⁹ data on centralised and faculty-based administration indicated that students are fairly satisfied with services provided, but that there is room for improvement.

The division conducts self-evaluation and peer reviews, as indicated in the *UJ Quality Plan*. The first self-evaluation and peer review of the division as a whole was conducted in October 2008. Copies of the *Academic Administration Self-evaluation Report*, as well as the *Peer Review Report*, are available in the Academic Administration file.

5.5.2.4 Self-reflection: Academic Administration

a) Achievements

The conclusions of the Peer Review Panel are summarised below:

The Peer Review Panel was of the opinion that the journey towards an ideal administration system at the University is indeed in place, and the University has the necessary ingredients to keep on the trajectory of success. Such ingredients include dedicated administration staff members who have the required quality, commitment, level of skills, knowledge, dedication and enthusiasm. The strong and dedicated leadership by the Registrar and Director: Academic Administration was also acknowledged. The panel commended the division on the following achievements:

- The outstanding strides made in the standardisation of various academic administration processes by developing new policies, procedures and rules after the complex and difficult incorporation and merger.
- The appointment of a training officer was a positive and productive step in alleviating the need for skills, knowledge and general staff development and has had a positive impact on the effectiveness of various academic administration processes.
- The online support for various functions is essential in advancing academic administration excellence at the University. Good progress has been made in introducing self-service facilities for students, and the panellists encourage the full implementation thereof.

²⁶⁸ Minutes of the Academic Administration Coordination Committee – see Academic Administration file.

²⁶⁹ Report: Student Experience Survey 2007.

- The seamless integration among various functional areas that was achieved to a large extent through committees and working groups is commendable.
- The risk mitigation strategy is a valuable management tool.
- The envisaged student enrolment centre is a positive development (broadening its functions to include applications, selections and registrations may help to streamline registrations at the University).
- The CAA is commended on the practices that it has in place with regard to quality assurance and the quality-related initiatives that have been implemented, notably so the various surveys done on the academic administration processes.

b) Concerns

The Peer Review Panel identified a number of concerns (and made recommendations – see *Peer Review Report* in the Academic Administration file).

c) Improvement strategy

Most of these concerns are to be addressed at institutional level (e.g. lack of ICS support and storage facilities). The remainder of the concerns refer to matters of communication, and Academic Administration has formulated an improvement strategy²⁷⁰ to address concerns regarding the communication with students, academics and other staff.

5.5.3 GENERAL ADMINISTRATION

5.5.3.1 Historical context

It took three years to progress towards adequate provision of both computer laboratories and bandwidth on all UJ campuses. While new computer laboratories were already established in 2005 on the SWC (and the ERC), the bandwidth across the APK and these campuses was inadequate for effective online learning environments for students. On the APB and DFC, student access to open or general computer laboratories was limited, and new laboratories to enhance student access to computers on these campuses became available only from the second semester of 2008.

5.5.3.2 Strategic intent

The Division for General Administration (GA) supports students and staff by providing efficient and effective student learning experiences via reliable micro-computer laboratories, audio-visual venue equipment, printing and creative services support, in the execution of the University's core functions.

The GA determined the following strategic objectives:

- To facilitate an efficient and effective student learning experience by providing necessary, reliable services required in the operation of the University, as in:
- AVU equipment and services

²⁷⁰ Improvement strategy – in the Academic Administration file.

- Computer labs
- Creative services
- Printing services
- Study material.

5.5.3.3 Implementation

A collection facility where students can collect their assessed scripts and assignments was established on the APK campus. Data projectors, screens, podiums and sound systems were installed in all large lecture halls on all campuses. Table 5.8 provides information on the availability of computers on the different campuses:

Table 5.8: Computer access on campuses, 2008

| | APK | APB | DFC | SWC |
|----------------|--------|-------|-------|-------|
| Number of labs | 21 | 24 | 9 | 5 |
| Students | 26 176 | 8 142 | 8 491 | 2 424 |
| Computers | 1 806 | 1 227 | 422 | 379 |
| Ratio | 14,5 | 6,6 | 20,1 | 6,4 |

User statistics are as follows:

Table 5.9: Micro-computer laboratory user statistics, 2007

| GENERAL PARTICULARS | STATS |
|---|--------|
| Average waiting time for a seat in an “open lab” during peak hours, in minutes | 21 min |
| Number of workstations available in “open labs” | 664 |
| Average workstation occupation of “open labs” during peak hours (8:00-17:30) | 91% |
| “Open lab” visits per hour during peak hours | 1 120 |
| Number of students visiting an “open lab” during peak hours (8:00-17:30), per day | 10 640 |
| Average waiting time for a seat in a WEBCT lab during peak hours, in minutes | 13 min |
| Number of workstations available in WEBCT labs | 620 |
| Average workstation occupation of WEBCT labs during peak hours (8:00-17:30) | 95% |
| WEBCT lab visits per hour during peak hours | 3 003 |
| Number of students visiting a WEBCT lab during peak hours (8:00-17:30), per day | 28 200 |

Computer labs are over-utilised from 7:00 to 18:00 from Mondays to Saturdays. The average waiting time during peak hours is 21 minutes. A strategy to attract more students after hours, especially on Sundays, must be developed.

5.5.3.4 Resources

The organogram (Figure 5.4) depicts the units and staff complement in the Division for Academic Administration (excluding administrative support for the units). The number in brackets indicates the staff complement at the different levels, while representation on the various campuses is also indicated.

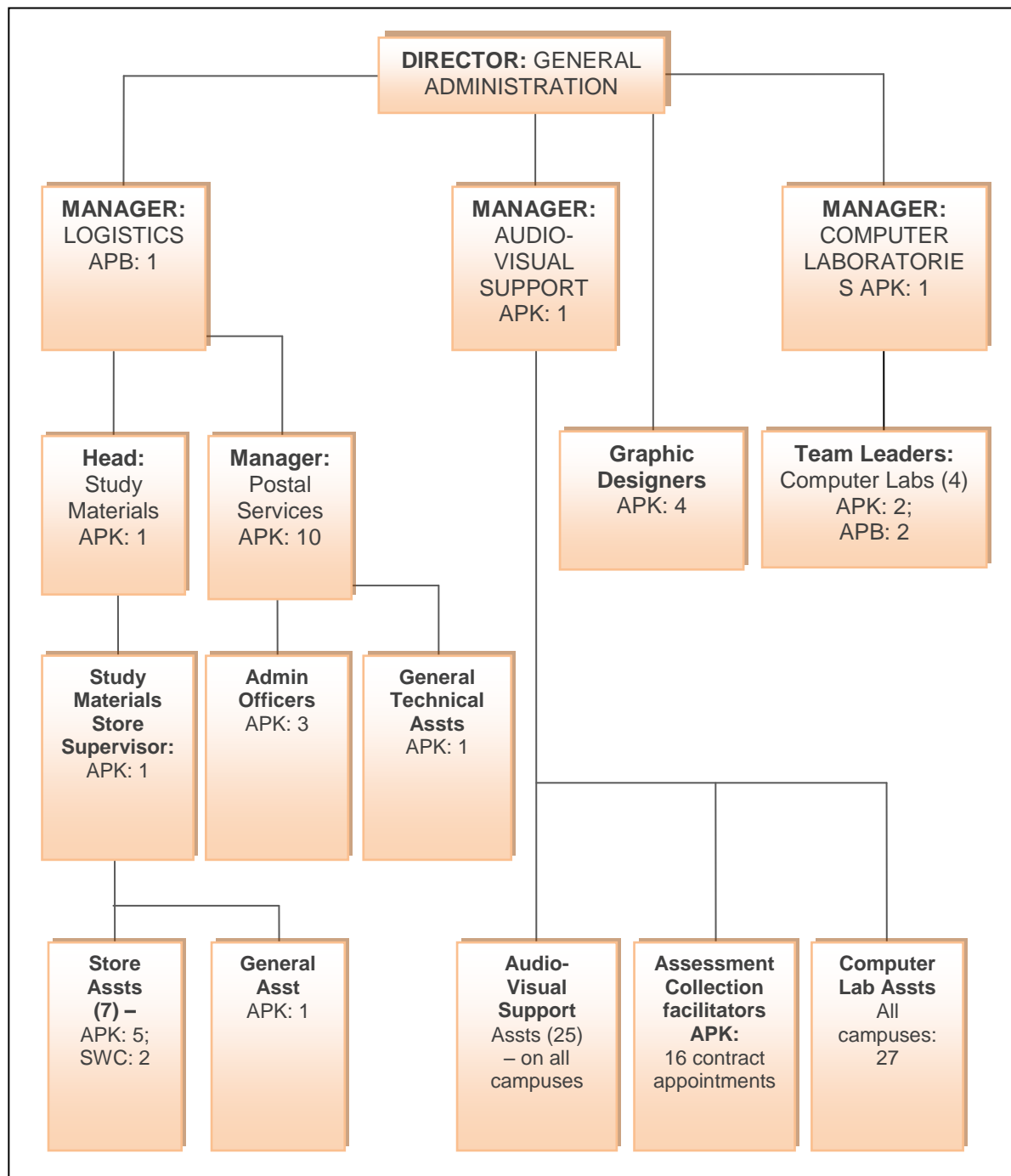


Figure 5.4: General Administration staff complement

5.5.3.5 Self-reflection

The Undergraduate Student Experience Survey was conducted in 2007 across all four campuses. The results indicated that students on the APK and SWC were fairly

satisfied with computer labs, but students on the APB and DFC were substantially less satisfied. A lack of printers in computer labs was identified as a generic problem. There were marked differences in access to facilities conducive to studying in a technology-driven environment. Table 5.10 (information from the survey) provides a breakdown.

Table 5.10: Percentage of students with access to study-enhancing facilities (computers) at living quarters during semester

| | AFRICAN | COLOURED | INDIAN | WHITE |
|--|---------|----------|--------|-------|
| I have access to a computer at the place where I stay during the semester. | 55% | 82,6% | 90,1% | 95,3% |
| I have access to the internet at the place where I stay during the semester. | 31,8% | 48,5% | 62,2% | 77,7% |
| I have a quiet area to study at the place where I stay during the semester. | 68,7% | 89,2% | 89,3% | 92,8% |

African students are particularly ill served in this respect. Earlier implementation of technology-assisted learning on the APB, DFC and SWC was severely hampered by infrastructural inequities across the four UJ campuses. The University responded by increasing the availability of computers for student usage on campus substantially. It seems that the inadequacies have been addressed sufficiently and should be ready for 2009 (see Table 5.11).

Table 5.11: Number of computers on different campuses

| CAMPUS | NUMBER OF STUDENTS (SUBSIDISED) | NUMBER OF WORKSTATIONS | TOTAL NUMBER OF LABS | STUDENTS PER WORKSTATION |
|--------|---------------------------------|------------------------|----------------------|--------------------------|
| APK | 26 989 | 1 806 | 22 | 14,9 |
| SWC | 2 646 | 379 | 5 | 6,9 |
| APB | 10 205 | 1 290 | 28 | 7,9 |
| DFC | 7 703 | 402 | 9 | 19,1 |

The division did respond to many of the problem areas as identified in the Student Experience Survey. The number of computers on the APK, however, is an ongoing concern. The following main concerns exist:

- Study Materials Stores are available only on the APK and SWC.
- Collection facilities for examination and test scripts and assignments are not available on all campuses. This implies that academic staff members must take on the additional task of managing the return of scripts and assignments to students. This service addresses problems concerning students taking other students' assignments, etc. and should be available on all campuses.

The two abovementioned services have staff implications. In some cases, student assistants are appointed on a part-time basis. However, this often has a negative effect on the division's effectiveness and efficiency.

- There are no team leaders on the DFC and SWC.

- Team leaders manage the computer labs, lab assistants and students in the labs. The lab assistants prevent computer theft and abuse. Team leaders are needed to optimise the service and support provided to students in the computer labs.

The GA is preparing for a self-evaluation and peer review in 2009 - as required by the *UJ Quality Promotion Policy and Plan*. (The *GA Self-evaluation Report* and *Peer Review Report*²⁷¹ will be included in the evidence when they become available.)

5.6 SUBUNIT FOR PROGRAMME AND CURRICULUM DEVELOPMENT

5.6.1 HISTORICAL CONTEXT

After the Renewal and Integration Process (2006/7), the ASD was incorporated into the OIE, and became the Programme and Professional Development Unit (PPD) on 12 June 2007. (Consult the section on the CPASD (5.4.5) for information on the major role this subunit played in the programme reviews).

In March 2009, a Director: Academic Planning and Policy Implementation who reports to the DVC: Academic was appointed in order to strengthen academic management capacity to deal with the multiplicity of academic issues that arise in a complex institution of this kind. This person, not situated in the subunit discussed here, will address curriculum and programme planning matters that relate to the merger of a university and a former technikon, as well as new national policy demands such as the implementation of the HEQF.

5.6.2 STRATEGIC INTENT

The Subunit for Programme and Curriculum Development provides support with and facilitates processes regarding the development, internal and external approval of new subsidised and non-subsidised academic programmes, with special reference to:

- developing and implementing a *Programme and Curriculum Development Framework*,²⁷²
- conducting workshops and consultations on programme development;
- supporting the review of the submissions by the Programme Working Group (PWG) and reporting to SENEX;
- submitting external submissions to the Foundation of Tertiary Institutions of the Northern Metropolis (FOTIM), HEQC and SAQA; and
- developing learning guides.

5.6.3 IMPLEMENTATION

This small subunit, comprising two staff members, played an important supporting role in the review of programme modules in 2007. Since the development of

²⁷¹ *GA Self-evaluation Report 2007*.

²⁷² *Programme and Curriculum Framework* (draft).

academic staff and programmes was separated in 2008, its main focus has been on developing support structures and finalising the process for the submission of new programmes. The University will submit new programmes to FOTIM, the HEQC (i.e. via the new national online system) and SAQA for the first time early in 2009.

5.6.4 RESOURCES

This subunit in the Unit for Quality Promotion in DIPQP comprises two staff members, and is considered a part of the division. This also applies to all resource allocation.

The organogram (Figure 5.5) indicates the units and staff allocation in DIPQP. It also indicates the number of staff members and representation on the various campuses. The two appointments in italics indicate the subunit for Programme and Curriculum Development.

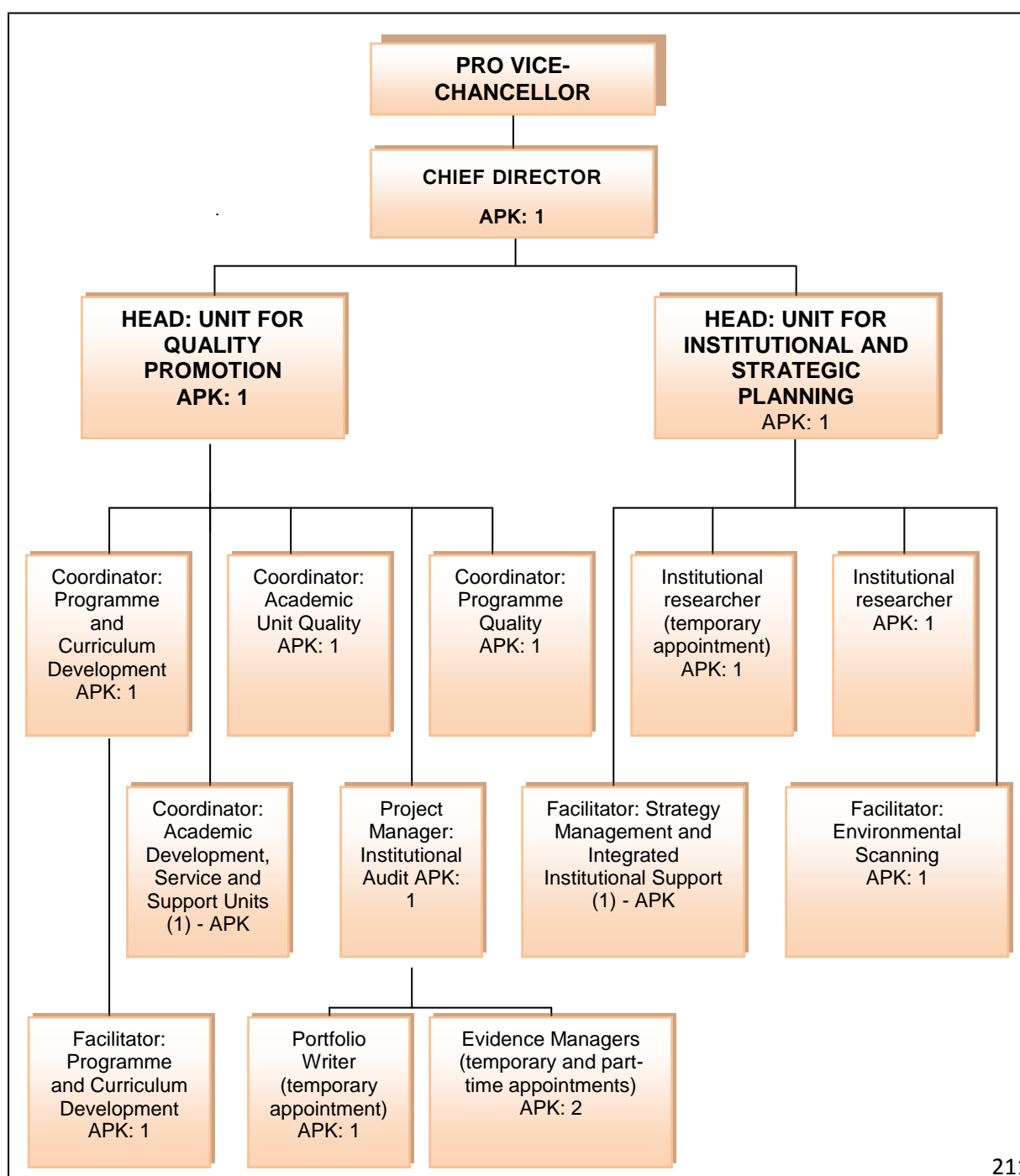


Figure 5.5: DIPQP units and staff allocation

5.6.5 Self-reflection

The subunit has achieved the following since March 2008:

- presenting two module showcases (on the APK and DFC), based on the module reviews conducted in 2007;
- providing secretarial and expert support to the PWG (which reviews all proposals for new programmes, and reports to SENEX);
- developing guidelines for internal programme approval and external submissions; and
- developing guidelines for amendments to existing programmes.

The following needs attention/improvement:

- The logical location for this support unit may require some rethinking.
- Closer collaboration with the CPASD and CenTAL (in the Division for Academic Development and Support) should be considered.
- Providing the support for programme and curriculum development on all campuses requires serious attention.
- The development of formal and structured support with programme and curriculum development should be addressed.

5.7 THE ICS IN SUPPORT OF THE ACADEMIC ENVIRONMENT

The following information on the Division for Information and Communication Systems (ICS) provides a broad technology context in which CenTAL and Central Administration (discussed in this chapter) operate, but also the broader academic environment.

The ICS is responsible for providing business continuity by ensuring that information and communication systems maintain high levels of availability and reliability. The main thrusts in the academic environment include the provision of a stable and available e-learning environment that provides both on and off-campus support to teaching staff and learners. The implementation of 100 MB/s data links between the APK, APB and DFC campuses has alleviated the throughput bottlenecks that hampered the provision of learning content to these campuses. In a joint UJ/Telkom project, optical fibre was laid to the SWC and the data link from the APK was upgraded to 10 MB/s. The implementation of the new, large capacity infrastructure means that the technological impediments have been removed and that bandwidth provision has been reduced to a simple cost equation.

The provision of administrative systems to facilitate student administration, as well as commercial systems that provide for the financial, human resource management and payroll functions, underpins the teaching and learning environment. The ICS was successful in obtaining DoE funding for the procurement of software to implement an electronic document system.

On the research front, the UJ is one of only two institutions in the north that has been joined to the South African National Research and Education Network, SANREN. This has opened up gigabyte per second communication capabilities between participating institutions and the High Performance Computing System at the Meraka Institute in Cape Town. The high speed connections enable the exchange of large datasets typical to the fields of molecular modelling, nuclear physics and climate and financial modelling.

The commissioning of the UJ supercomputing cluster in time for the launch of the South African National Grid is a joint ICS and academic initiative that has been facilitated by the donor funding obtained by Prof. Simon H. Connell.

The UJ is currently busy with the implementation of the Research Information Management Systems (RIMS) that resulted from an initiative of the Association of South African University IT Directors, and was funded by the Department of Science and Technology.

5.8 CONCLUSIONS

The divisions providing academic development and support services succeeded in:

- merging academic development and support functions into manageable divisions with clearly formulated strategic foci and alignment with the *UJ Strategic Plan*, reporting lines, responsibilities, etc. In this regard, considerable progress was made during 2008.
- providing academic development and support services in spite of the merger-related instability and repeated change in this sector over the past number of years experienced directly after the institutional merger and during the integration and restructuring of support units.
- developing an awareness of quality management. In some areas, formal mechanisms and structures are in place and operational. One unit in a division and two divisions conducted formal self-evaluation and peer reviews during 2008.

The following aspects need attention/improvement:

- Newly merged divisions and centres need time (and support) to establish themselves, streamline their functions and develop credibility in the University (on all campuses).
- Naming of units and positions in units vary extensively, resulting for example, in pitching the position of manager on different levels – in the same division.
- Capacity building, attracting and retaining skilled staff should be addressed. This goes hand in hand with career pathing for such employees. Given the size of the UJ and its several campuses, it is essential to optimise the use of the relatively limited staff component in all divisions.

- Different divisions with different reporting lines (at institutional level) bring a danger of creating silos in the broad arena of academic development, services and support. The divisions mentioned above have focused much energy on building relationships with faculties, and less energy on coordinating their support activities in the implementation of institutional plans and strategies (e.g. the Teaching and Learning Strategy, the Quality Promotion Plan, etc.). These various divisions currently meet on a quarterly basis in the MEC Operations Committee, together with other divisions, where the agenda is very full. Perhaps a more dedicated forum for collaboration and consultation across divisions is required.
- Communication with the faculties and among divisions should be addressed. Systematic branding and marketing to create a greater awareness among both staff and students may be needed.



CHAPTER 6

Research, Post-Graduate Education and Supervision

HEQC CRITERIA 15, 16 AND 17

CRITERION 15

Effective arrangements are in place for the quality assurance, development and monitoring of research functions and postgraduate education.

Examples

- (i) A research policy and/or plan which indicates the role and nature of research conducted at the institution, is adequately resourced, and consistently implemented and monitored.
- (ii) Appropriate strategies for research development, including capacity development for researchers, which are implemented and monitored.
- (iii) An effective research information system that captures appropriate data for research related planning.
- (iv) Appropriate strategies for the support and development of postgraduate education, including effective postgraduate supervision, which are implemented and monitored.
- (v) Regular review of the effectiveness of arrangements for the quality assurance, development and monitoring of research functions and postgraduate education.

CRITERION 16

Research functions and processes are supported and developed in a way that assures and enhances quality and increases research participation, research productivity and research resources.

Examples

- (i) Clear policies and regulations which indicate the role and nature of research conducted at the institution, and which are effectively implemented and adequately resourced. These include:
 - Research policies and plans that clearly state the institutional goals for research. This includes research on teaching and learning;
 - Criteria for the evaluation and approval of research proposals;
 - Policies that support and monitor the development of new researchers, especially black and women researchers;
 - Policies that encourage and support collaborative and problem-solving research at the local/regional/national level;
 - Policies and criteria for access to and allocation of funding for research; and
 - Policies and regulations governing research outputs.
- (ii) Effective structures and mechanisms for the quality assurance of research. These include structures which:
 - Apply clear criteria against which to evaluate and approve research proposals, as well as establish research programmes/groups/teams/units; and
 - Manage and monitor the commercialisation of research.

- (iii) An efficient research information system which captures information on research capacity, research funding and research outputs. This includes:
 - Capturing essential information on research issues through a central research information system; and
 - Linking captured data in a way that allows for meaningful reporting on and planning for research at the institution.
- (iv) Strategies which are effectively implemented for the support and development of research, including capacity development for new researchers. Support and development opportunities and incentives are available:
 - To new researchers at all levels of research activity; and
 - For collaborative and problem-solving research at local/regional/national level.
- (v) Strategies which evaluate, monitor and track the outcomes and impact of research and research management at the institution.

CRITERION 17

Efficient arrangements are in place for the quality assurance, development and monitoring of postgraduate education.

Examples

- (i) Clear policies, regulations and criteria in relation to the quality of postgraduate education. These include:
 - Policies that indicate the scope and nature of postgraduate education at the institution, and stipulate clear admission requirements and procedures;
 - Policies and criteria for the evaluation and approval of master's and doctoral proposals;
 - Policies and criteria governing access to and allocation of funding for postgraduate education and research;
 - Policies and regulations that specify the role and responsibilities of supervisors of postgraduate research;
 - Policies and criteria for assessment of postgraduate education and research; and
 - Policies and regulations regarding postgraduate publications.
- (ii) Effective structures and processes that quality assure and monitor postgraduate education. These include structures which:
 - Apply clear criteria against which to evaluate, approve and monitor postgraduate research;
 - Evaluate and approve funding for postgraduate research;
 - Enable postgraduate students to lodge complaints or appeals that are swiftly dealt with, as well as provide for opportunities to defend their research findings; and
 - Track developments and trends in postgraduate education at the institution.
- (iii) An effective research information system which supports the monitoring of postgraduate education. This includes:
 - Capturing essential information on postgraduate research issues through a central research information system; and

- Linking captured data in a way that allows for meaningful reporting on and planning for postgraduate education and research at the institution.
- (iv) Clear and effective policies and strategies which facilitate the development, support and improvement of postgraduate education. These include the availability of:
- Training and development opportunities for new supervisors;
 - Research design and methods courses for postgraduate students;
 - Access to support services for postgraduate students;
 - Facilitation of regular access to supervisors and other researchers in the field;
 - Special funds to support postgraduate research; and
 - Additional support and development programmes for previously disadvantaged students.
- (v) Regular review of the effectiveness of arrangements for the quality assurance, development and monitoring of postgraduate education.

6. RESEARCH, POSTGRADUATE EDUCATION AND SUPERVISION

6.1 OVERVIEW OF THE CHAPTER

Chapter 6 is devoted to the second of the three core functions of the University, viz. research, and Criteria 15, 16 and 17 in the HEQC Institutional Audit Manual are explicitly addressed. The funding formula introduced by the Department of Education (DoE) in 2005 made it clear that the DoE regards research publications, master's graduates as well as doctoral graduates as research output. This chapter is also structured in this way.

The UJ is a young university - one of the few in the country to offer a comprehensive suite of programmes across the horizontal spectrum of vocational, professional and general formative qualifications, as well as across the vertical spectrum, from HE certificates up to and including doctoral studies. Quality assurance, development and monitoring of postgraduate research and education are important strategic focus areas. As was previously illustrated, the UJ's *Strategic Plan*²⁷³ provides for ten Strategic Goals. The fifth goal reads as follows: To create and maintain an environment and institutional climate in which the intellectual capital of the university is actively developed, sustained and utilised in the best interest of the University, the community, the country, and the individual.

For the purposes of this chapter, intellectual capital should be seen as human capital, where the qualification and skills levels of (particularly but not exclusively academic) staff are a measure of the capacity and quality of the human capital of the University. This is in line with the Key Performance Indicator (KPI) *Lifelong Learning*, as stated in the second Strategic Goal, *Excellence in Teaching*. It is impossible to guarantee quality in postgraduate education without first (and continuously) ensuring the development and broadening of postgraduate supervisors' skills (especially

²⁷³ UJ Strategic Plan.

young, inexperienced academic staff). As a result, the goal of developing and growing more capable supervisors can be found in the first accompanying KPI to this strategic goal, pertaining to the improvement of the qualifications of academic staff.

Given the importance the University attaches to the development of the qualification base of its academic staff, the loss of staff members with master's and doctoral degrees is a matter of concern (see par. 6.9.2). However, with the Staff Qualifications Project and the New Generation Scholars Programme the University is taking action to grow its "own timber" as part of providing tangible support to staff who wish to improve their postgraduate qualifications (see par. 6.4.4).

It should be taken into account that the University's research profile is augmented by its postgraduate research record (delivered master's and doctoral graduates form part of research output). A Senate Committee, the Higher Degrees Committee (SHDC), determines policy in respect of all research-based postgraduate qualifications and provides final quality assurance on behalf of the Senate in respect of all postgraduate research-based higher degrees. In line with the institutional documentation, and to ensure a common understanding of terms, the terms "higher degrees" and "postgraduate" refer to programmes on a master's and/or doctoral level, on NQF level 8 (or HEQF level 8, or level 9 and 10 respectively, as outlined in the August 2006 version of the draft Higher Education Qualifications Framework (HEQF)).

The contents of this chapter are organised in the following way:

- After the historical overview and strategic emphasis, an overview of the research initiatives for the period 2005-2008 is provided.
- The institutional research system is then discussed, followed by research funding and support matters, quality assurance of and capacity development in research - all supplemented by some statistical information.
- The different criteria are then addressed in numerical order. The discussion of each criterion (provided in a border under the subheading) is done by addressing the individual examples as an analysis of the criterion (see Criteria and Examples earlier in this chapter).
- This is followed by a self-reflective conclusion as an interpretation of what the University has achieved, and an identification of what requires further attention or improvement.

6.2 HISTORICAL CONTEXT

The two precursor institutions to the UJ brought different research records, cultures and prowess to the merger (see par. 1.1.2 in *UJ @ a Glance*). The RAU not only had a proud research record in terms of articles in accredited journals, but it also had strong capacity, and the research intensity of the institution was crucial in keeping the best staff. While it could not compete with the larger national universities, particularly those with medical faculties, it always rated among the very best in terms of research output per capita. At this point, it is important to emphasise that in certain

social sciences the phrase 'research output per capita' is not only a measurement in terms of a quantity component (e.g. the number of articles), but also a quality component (e.g. the 'footprint' or impact factor of such outputs, as indicated by the Institute for Scientific Information (ISI) or the Deutsche Forschungsgemeinschaft (DFG or German Research Foundation)).

As was stated in *UJ @ a Glance*, the TWR shared the position of technikons in general, with a focus on developmental work and little emphasis on basic research. This position started changing with the appointment of an Executive Director: Research in 1999. Gradually, a research culture started emerging, and traditional research output started improving. However, the creativity of its staff remained more visible in development than in basic research. Its commercial arm, BusiTech, initially succeeded in developing several concepts into commercially viable products and showcasing development work in a wide variety of areas at its annual Research Days.

This does not imply that the RAU had done no development work - the Photovoltaic Cell Project is still hailed as an almost unparalleled success story regarding the commercialisation of intellectual property by any South African university. This project can change the lives of millions of South Africans who currently have no energy resources. In this project, innovative technology was developed, and solar energy cells can now be produced far more cheaply and with greater efficiency levels than before. The commercial exploitation of this technology by means of licensing agreements to consortia in Europe and South Africa has financial potential.

Figure 6.1 shows the research output over the years preceding the merger. For comparative purposes, the output of Vista University as a whole has been included in the figure. It can be seen that the research output from the RAU has shown a downward trend since 1992, when it peaked.

Vista University was predominantly a teaching university, with the maximum research output for the whole University over the period being 67 units in 2000. No breakdown per campus is available, and it is assumed that the two campuses that were incorporated into the RAU (out of eight, including VUDEC) in 2004 would probably have made a negligible contribution to the aggregates shown in Figure 6.1.

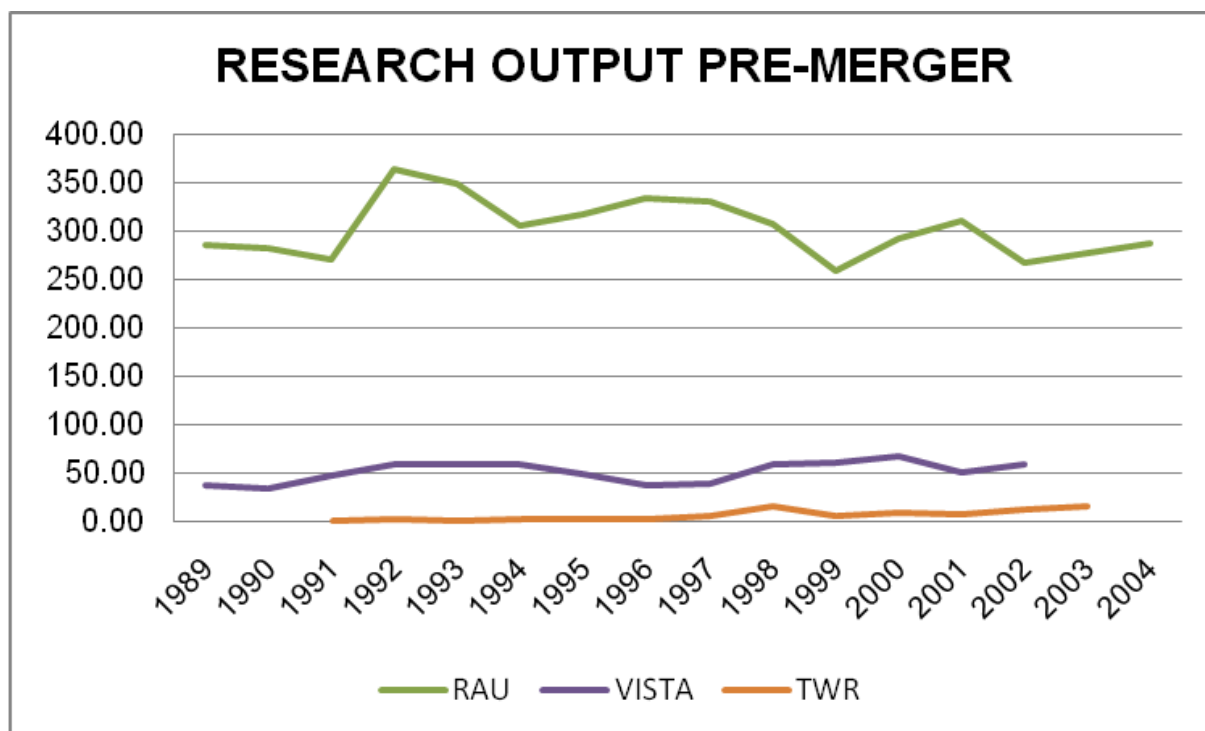


Figure 6.1: Research output of precursor institutions

Hence, at its inception the UJ was well poised to be a significant role player in research and development in the future.

During the preparation phase for the merger in 2004, a project team reporting to the Joint Academic Task Team was formed to develop a research policy for the new university in order to align university-based and technikon-based research cultures. This proved to be more difficult than anticipated, given the differences referred to above.²⁷⁴ However, valuable preparatory work was done in establishing some broad principles, and when the UJ opened its doors in 2005, the first University Research Committee could be convened and the management of faculty research formalised.²⁷⁵ This was followed by the development and Senate approval of a so-called *Research Strategy*²⁷⁶ in October 2005.²⁷⁷ In 2007 this culminated in the appointment of Prof Adam Habib as the first DVC for Research, which has since led to a ‘revival’ of research, resulting in the establishing of various research goals and strategic intent in 2008.

When ‘measuring’ the core function of research against the institutional audit theme, “*from merger to(-wards) unity*”, it may seem that no significant ‘unity’ exists in the University’s research culture. Holistically this may be true, as there have been quantum leaps in the development of an appropriate institutional research culture

²⁷⁴ *UJ Annual Report, 2005*, p 5.

²⁷⁵ *Faculty Annual Reports, 2005*.

²⁷⁶ *UJ Research Strategy*.

²⁷⁷ *Senate Minutes, 19 October 2005*.

since 2005, with the University positioning itself for the distinguished scholarship mentioned in its mission statement.²⁷⁸

Born from the merger between two higher education institutions, the UJ has benefited from a larger pool of researchers, bringing together various fields of expertise and research focus areas. Research groups and units working across faculties and departments have been established and collaborate with several national and international academic and industrial partners. It should furthermore be pointed out that the UJ takes a more nuanced approach to research, rather than a one-size-fits-all, as the research thrust of the UJ co-exists with teaching and teaching excellence.

This chapter will illustrate comprehensively how research at the UJ developed from these beginnings.

6.3 STRATEGIC EMPHASIS OF RESEARCH AT THE UJ

6.3.1 INTRODUCTION²⁷⁹

The UJ is a comprehensive (i.e. all-embracing, all-inclusive) university that resulted from a merger of both technikon and university traditions. Within the higher education system there is a school of thought that suggests that comprehensive universities should not be focusing on research and that 'research-intensive' universities should be prioritised in the government's research investment. This view is justified on the grounds that a significant proportion of the nation's scarce resources may be 'squandered' on universities that have no track record in research and have no hope of generating one in the near future.

It is the view of the UJ that such an outlook may be short-sighted, morally questionable and not in the national interest for the following reasons:

- Firstly, as most higher education observers would recognise, there is a close relationship between good teaching and high-quality research. Restricting the research mandate to the top five institutions would deny quality university teaching to the vast majority of South Africa's poor and marginalised, most of whom are housed in the rest of the nation's universities.
- Secondly, even in strategic terms, focusing research resources in the top five universities is questionable. The assumption here is that if the nation's research resources were given to 'research-intensive' universities, they could greatly expand their own and, as a result, South Africa's overall research output. But this assumption would only hold if the country's university system were to be divided into five 'research-intensive' institutions, and other non-research institutions. However, this polarised depiction is not an accurate description of the country's university system. There is a quite a range of differentiation between the country's universities, with those on the bottom tier having no track record, whereas those in the second tier display modest productivity. Given the structural

²⁷⁸ UJ Mission Statement.

²⁷⁹ Document from Prof. Adam Habib - *Defining and Defending the Research Vision of the UJ*.

and spatial limits of the top universities, it is highly unlikely that, were they to be given the nation's research resources, they would be able to make up for the potential decline of research output in these second-tier universities, which produced a combined output of 33% in 2006. The net effect would likely be a decline in the research output of the higher education system in South Africa.

Given this, and in both the national and institutional interest, it is believed that the UJ should enhance its active research profile. The UJ has both advantages and challenges in this regard. On the positive side, it offers a niche and is able to operate in the research-innovation nexus in a way that very few universities can. Moreover, through its legacy institutions the UJ inherited some strong research footprints, including the fields of energy, information technology, commercial law, and sociology. Yet, this very same history bequeaths significant challenges as well, most notably the qualifications profile, which – with a large number of staff without a master's degree – limits its research ambitions. Its research agenda must then build on the successes of its legacy institutions, while simultaneously addressing the various challenges.

How are the UJ's endeavours to be measured? Even though a strategy for the increase in research output has been implemented, the combined results of this strategy will only be measureable in two to three years' time. In the short term the UJ should be measured by the coherence of its strategy, the implementation of its plans, its output in the past two years and the sustainability of its research agenda.

6.3.2 NATIONAL VIEW

The University is committed to White Paper 3: *A Programme for the Transformation of Higher Education*²⁸⁰ and the national directive for higher education as indicated in the National Plan for Higher Education²⁸¹. Its research thrust is furthermore based on the Department of Science and Technology's (DST) *Ten-Year Innovation Plan*,²⁸² which was introduced to help drive South Africa's transformation towards a knowledge-based economy, in which economic growth is led by the production and dissemination of knowledge for the enrichment of all fields of human endeavour.

6.3.3 INSTITUTIONAL VIEW

The University fully endorses the national emphasis on research and its strategic direction, as embodied in its *Strategic Plan*, reflects this (see par. 1.4). This is also evident in the introduction to the draft institutional *Research Policy and Strategy*.²⁸³ The implementation of the *Research Policy and Strategy* is closely guided by the University Research Committee (URC), which in turn functions in accordance with the authority delegated to it by Senate (also see par. 6.5).

²⁸⁰ Education White Paper 3: *A programme for the Transformation of Higher Education*. Department of Education: Pretoria, 1997.

Higher Education Restructuring and Transformation: Guidelines for Mergers and Incorporations, Ministry of Education, 2003.

²⁸¹ National Plan for Higher Education (NPHE), 2001.

²⁸² DST *Ten-Year Innovation Plan* (http://www.esastap.org.za/esastap/pdfs/ten_year_plan.pdf).

²⁸³ *UJ Research Policy and Strategy* (Draft 1 – 24 November 2008).

The *Vision* of the University presents its commitment to reputable research and innovation. The University's *Strategic Plan* provides for ten Strategic Goals. The descriptor of the third Strategic Goal, entitled *Internationally Competitive Research*, reads as follows: To establish UJ among the top research universities in the country in terms of nationally and internationally accepted research criteria.

In terms of the draft institutional *Research Policy and Strategy*, certain strategic research goals, resources and actions required to achieve the stated goals have been identified. These strategic research goals include:

- Maintaining and enhancing the quality of research undertaken
- Increasing the quantity of research output
- Increasing, managing and structuring the external and internal funding for research
- Supporting and promoting fundamental scholarship
- Supporting national, regional and industry-specific research and development policies and strategies
- Maximising the impact and international recognition of UJ research
- Capitalising on UJ intellectual property.

These strategic research goals, resources and actions are in line with the KPIs representing the dimensions for the University to show the progress made in attaining the Strategic Goal of *Internationally Competitive Research*. These KPIs are:

- Accredited research output in aggregate terms
- Non-subsidy research income
- NRF-rated researchers
- Staff profile in terms of research qualifications
- Active formal research collaboration with national and international partners
- Number of NRF Chairs
- Research expenditure.

From the above, it is clear that research enjoys strategic priority at the UJ, and that it is the University's intention to establish itself as a research-focussed university within the foreseeable future (also see par. 6.13).

6.4 RESEARCH INITIATIVES

In the first four years of its existence, the University launched several initiatives to promote research, thereby giving impetus to its *Vision*, Strategic Goals and KPIs related to research. These initiatives can also be seen as a justification of the audit theme: "*from merger to(-wards) institutional unity*".

6.4.1 2005

The first year after the merger was used to bring together the various viewpoints of the previous institutions regarding research. Much time was, for example, spent on developing a research strategy for the University of Johannesburg. In the years following, much better and concrete progress was made in establishing a unique research culture at the UJ.

6.4.2 2006

The UJ Trust made an amount of R10 million²⁸⁴ available for the creation of research centres, an amount that was intended to be provided on an annual basis, so that about 10 prestigious research centres would be up and running by 2010. There are currently 13 research centres in existence at UJ!

The following research centres were approved in 2006 on the basis of a multi-criterion decision-making instrument developed by the Executive Director: Research and Innovation:

- The Centre for Visual Identities in Art and Design²⁸⁵ forms an integral part of the Faculty of Art, Design and Architecture (FADA), spanning across all eight departments. The centre houses the National Research Foundation (NRF) RNA Visually Embodying Identity in a Post-Colonial Environment.
- The Centre for Education Practice Research (CEPR),²⁸⁶ located in the Faculty of Education, houses 11 research projects and focuses on investigating education practice. The many projects of this centre are co-funded by the NRF, SANPAD, JET Education Services and UNESCO. The theoretical thrust of this work is the notion of “ecologies of practice” – an extension of the construct of “communities of practice”.
- The Centre for the Study of Culture and Language in Africa (CCLA),²⁸⁷ located in the Faculty of Humanities.
- The Centre for Sociological Research (CSR)²⁸⁸ (also located in the Faculty of Humanities), which is conducting extensive research in order to explain social inequality and political conflict.
- The Faculty of Health Sciences houses two research centres. The first is the Laser Research Group,²⁸⁹ which is leading efforts to investigate the field of phototherapy, with specific emphasis on Low Level Laser Therapy (LLLT) and Photodynamic Therapy (PDT). While this treatment modality is very well established in many countries, laser therapy is utilised by very few disciplines, and the full spectrum of uses is yet to be realised in South Africa. The second is the Water and Health Research Centre,²⁹⁰ with its focus on the relationship

²⁸⁴ *UJ Annual Report*, 2006.

²⁸⁵ Centre for Visual Identities in Art and Design (Faculty of Art, Design and Architecture).

²⁸⁶ Centre for Education Practice Research (CEPR) (Faculty of Education).

²⁸⁷ Centre for the Study of Culture and Language in Africa (CCLA) (Faculty of Humanities).

²⁸⁸ *UJ Annual Report*, 2006, p. 27.

²⁸⁹ Laser Research Group (Faculty of Health Sciences).

²⁹⁰ Water and Health Research Centre (Faculty of Health Sciences).

between water and human health. No other advancement in the field of medicine and health has contributed more to an increased lifespan and improved general health than access to safe water and improved domestic hygiene and sanitation.

- The Faculty of Science is also adding to the institutional research culture with two additional research foci. The first is the Catalysis Research Centre,²⁹¹ with a focus on investigating catalysts with improved performance characteristics, as measured against selected benchmark systems. The current focus is in the area of homogeneous catalysis, strongly underpinned by organic and organo-metallic synthesis, especially of new classes of ligands and catalyst precursors. The second is the Paleoproterozoic Mineralization (PPM) Research Group²⁹² (founded in 1997), which is internationally recognised as a leading force in the study of Precambrian paleo-environmental evolution and associated ore-forming processes. This research focus area recently received important support with the establishment of a South African Research Chair in Geometallurgy, funded by the DST and administered by the National Research Foundation.
- The Institute of Transport and Logistics Studies (ITLS)²⁹³ in Africa, or ITLS (Africa), a research centre within the Department of Transport and Supply Chain Management (in the Faculty of Management), was established in response to a strong need for formal, independent, unbiased and relevant research in the fields of transport, logistics and supply-chain management.
- The Centre of Social Development in Africa (CSDA),²⁹⁴ located in the Department of Social Work (in the Faculty of Humanities), was established in 2003 and is dedicated to basic, applied and strategic research in social development and developmental welfare. The CSDA aims to influence development issues in the Southern African region positively by contributing to debates on social policy, improvements in service delivery and the expansion of knowledge through cutting-edge research.
- A number of research groups were established in the Faculty of Engineering and the Built Environment including among others Optical Communications, Unmanned Aerial Vehicle, Telecommunications and Chromium Steel.²⁹⁵
- The Centre for Small and Medium Enterprise Development, located on the Soweto Campus is housed within the Faculty of Management. The strategic intent of this centre is to become an internationally recognised centre of excellence in sourcing, developing, initiating and implementing innovative entrepreneurial community outreach programmes for Soweto, the greater Johannesburg area, the Gauteng province, as well as South and Southern Africa.

²⁹¹ Catalysis Research Centre (Faculty of Science).

²⁹² Paleoproterozoic Mineralization (PPM) Research Group (Faculty of Science).

²⁹³ Institute of Transport and Logistics Studies (ITLS) (Faculty of Management).

²⁹⁴ Centre of Social Development in Africa (CSDA) (the Faculty of Humanities).

²⁹⁵ Faculty of Engineering and the Built Environment Research Centres.

It should also be noted that, in 2006, the number of postdoctoral fellows working at the UJ increased significantly as a result of the strategic emphasis placed on the recruitment of such fellows and the implementation of a streamlined appointment and funding procedure.²⁹⁶

In 2006, shortly after the appointment of the Vice-Chancellor, a Performance Scorecard²⁹⁷ was instated – a performance measurement tool used by Council to measure the success of the MEC. This scorecard has since been revised by the Council's Remuneration Committee (REMCO), a subcommittee of Council EXCO. These revisions annually take place in March and November and research output is one of the indicators (see par. 1.9).

6.4.3 2007

In 2007, the following research incentives were approved by Council and implemented:

- With the finalisation and approval of a uniform Postgraduate Bursary Framework by Senate in 2006, a financial model was established that increased the average postgraduate bursary amount by 25% in 2007.
- The first centralised postgraduate bursary programme was implemented, thereby ensuring a standardised approach in the provision of postgraduate support across all faculties and campuses. With R6,5 million made available, it surpassed similar allocations of between R4 million and R5 million in previous years. This bursary programme introduced the grant holder-linked (later called the Supervisor-linked) bursaries.²⁹⁸ The intention of these bursaries was to enable staff members (principal researchers) to recruit postgraduate students of their choice to work on a stipulated research project.
- An investment of R8 million constituted the first of a three-year commitment to 13 faculty-level strategic research centres.²⁹⁹
- Seven so-called Quick Wins³⁰⁰ initiatives were identified and supported to the tune of R5 million to R7 million to promote rapid results. These are research niches where there is a meeting between the University's internal capacity and the external market for research output and products. These niches are based on the NRF's portfolio of eight focus areas³⁰¹ as the landscape for research support. Collectively these provide a broad framework for researchers across the spectrum of disciplines (the natural, social and human sciences, engineering and technology) to pursue their research interests, taking into account the macro-environment as well as relevant national developments. The initiatives are:

²⁹⁶ *UJ Annual Report*, 2006, p. 40.

²⁹⁷ UJ Institutional Score Card, November 2008.

²⁹⁸ *UJ Postgraduate Bursary Policy*, 2008.

²⁹⁹ 13 Faculty-level strategic research centres.

³⁰⁰ 7 "Quick Wins"

³⁰¹ NRF Focus Areas (http://www.nrf.ac.za/focusareas/fap_strategy.pdf).

- Water and Health
 - Aquatic Ecotoxicology
 - Nanotechnology
 - Telecommunications
 - Inequality and change
 - Energy and Sustainability
 - Geology
- While support for individual research projects will still be considered, subject to budget constraints these niche areas, complemented by the research centres and a focus on information technology, increasingly inform internal research investments in order to maximise the external impact of the University's research.
 - An Incentive Scheme for excellent staff, including A and B-rated researchers, has already been implemented. Further incentives for C and Y-rated researchers are still under consideration by a task team of the URC.³⁰²
 - Three Vice-Chancellor's Distinguished Awards³⁰³ were introduced in the following categories:
 - Teaching Excellence (R150 000 over a three-year period)
 - Outstanding Researcher of the Year (R500 000 over a five-year period), the first recipients being two prominent researchers at the UJ
 - Most Promising Young Researcher of the Year (R250 000 over a five-year period)
 - Innovator of the Year (R150 000 over a three-year period).
 - The Centre for Culture and Languages in Africa (CCLA), located in the Faculty of Humanities, conducts and produces research on the broad theme, 'Culture, Tradition and Modernity in Contemporary South Africa'. This includes research that supports discussion and debate on concepts about conflicting and contested notions of culture.

6.4.4 2008

The year 2008 witnessed intensified efforts to promote research. This was first and foremost evident in the establishment and appointment of a DVC: Research and Innovation. Other developments included:

- The University embarked on a multi-million rand initiative called the *New Generation Scholars Programme*³⁰⁴ in August 2008 in order to attract a representative selection of South Africa's best young minds to its campuses. The University hopes that these academic high-flyers who become part of this UJ scholarship programme will change the face of postgraduate studies in South

³⁰² *UJ Annual Report, 2007*, p 28.

³⁰³ Vice-Chancellor's Distinguished Awards for Teaching, Research and Innovation -- 2007/8.

³⁰⁴ Advertisement for *New Generation Scholarship Programme*.

Africa. Not only will successful candidates' studies be sponsored in full, but they will be guaranteed employment at UJ on completion of their studies. The scholarships offered to master's and doctoral students amount to R80 000 per annum for two years and R130 000 per annum for three years respectively. These are amongst the most lucrative scholarships on offer at any South African university, with R25 million set aside for 2008.³⁰⁵

- The postgraduate bursary programme allocation was increased significantly to R9,2 million.
- The Central Analytical Facility, worth approximately R6 million, was established (see par. 6.6.2).
- A new policy for the disbursement of research subsidies was implemented in 2008.³⁰⁶ This implies that after top-slicing all subsidies by 50%, researchers who have published in journals listed on the ISI receive a minimum of 70% in their research trust account, and those who have published in journals listed on the DoE Index receive a minimum of 50% in their research trust account (see par. 6.6).
- In an effort to enhance its postgraduate admissions and throughput, the University has since 2009 offered free tuition to all postgraduate students who complete their studies within the minimum term, viz. two years for a full-time master's degree programme and three years for a full-time doctoral programme. Students will be refunded their tuition fees upon completion within the minimum term.
- Strategic appointments of nationally and internationally recognised researchers, including A and B-rated scientists, have been made in a number of faculties.
- A series of collaborative research centres have been launched. These include a joint research centre with Rhodes University for the study of democracy and another with the University of the Witwatersrand and the Gauteng Government called the Gauteng City Region Observatory (GCRO). Chaired by Prof Adam Habib, the research of the GCRO is focussed on and directed to enhancing the Gauteng City Region. This reflects UJ's commitment to partnering with government, other academic institutions, business and civil society, in making Gauteng a better place for all of its inhabitants.
- The international research 'footprint' of the institution was increased and expanded with some high-profile academic appointments and with a series of international visits to facilitate the establishment of research partnerships.
- A new generation of scholars to address the problem of the aging professoriate is being created by way of active participation in the Thuthuka Programme, with 13 new applications in 2008.
- The number of postdoctoral fellowships increased from 20 to 25 in 2008.³⁰⁷

³⁰⁵ Interview with Prof Adam Habib in the *Mail & Guardian* (15 to 21 August 2008).

³⁰⁶ Minutes of Senate Meeting, 17 July 2008.

³⁰⁷ *UJ Annual Report*, 2007, p. 27.

- Great strides have been made in the application of NRF Research Chairs (to be managed within faculties) with six applications (a 300% increase in applications from the previous round).

In general, the current research system funds far more research within UJ. Faculties have developed their own research policies and will align these with the current draft *Institutional Research Policy and Strategy* once finalised and approved by Senate. Overall, research funding has increased dramatically in the university. The institutional research footprint has also increased on a national as well as an international level. There has also been an increase in research engagements and partnerships throughout the institution.

6.5 RESEARCH SYSTEM

The University is well aware of the fact that research is an activity that responds better to the establishment of an institutional climate conducive to creative work than to an over-regulated environment. Research output in the former RAU, for example, improved drastically in the early nineties when research management was delegated to the faculties, resulting in a decentralised research-management approach/system in which individualised research could be nurtured and promoted.

Times have, however, changed. While the value of personal research has not diminished, competitive research that has a meaningful impact is often dependent on well-resourced teamwork. This requires structures to steer and support collective efforts. Thus, in order to pursue its ideals regarding research, the University began creating an appropriate climate to encourage structured research, and established support structures and incentives that would enhance such research.

This process was somewhat protracted, as the Deputy Vice-Chancellor: Research, Innovation and Advancement as well as the current Executive Director: Research and Innovation were only appointed in late 2007 and mid 2008 respectively. The first Executive Director: Research and Innovation was an appointment from the TWR, who had some difficulty in uniting the views of all researchers within a newly established unified environment.

6.5.1 RESEARCH AND INNOVATION DIVISION

The University seeks to promote its ideal of becoming one of the top research universities in the country by means of a carefully constructed governance structure³⁰⁸ for research development and support. The Research and Innovation Division has set the following goals:

- To enhance the institution's research and innovation profile
- To diversify the institution's profile to become an institutional host for an entire spectrum of research endeavours
- A commitment to double the institution's research output by the end of 2011.

³⁰⁸ Governance structure.

At the head is the Deputy Vice-Chancellor: Research, Innovation and Advancement, Prof. Adam Habib, appointed on 1 September 2007. The combination of the portfolios of Research and Innovation with Advancement clearly indicates the University's strategic intent to use its research and innovation capacity and prowess to enhance its reputation and resources. It must be noted that the DVC is also the Goal Oversight Principal for Strategic Goal 3: *Internationally Competitive Research*, and as such has an additional responsibility to take the lead in promoting research (see par. 1.4).

Reporting to the DVC is the Executive Director: Research and Innovation, Dr Christopher Masuku, appointed on 1 August 2008, who is responsible for the operational management of a Research Office and an Intellectual Property Office. Together, Dr Masuku and the DVC are responsible for strategic research planning at UJ. These two offices provide strategic and operational support to researchers in the faculties as well as to extra-faculty researchers within the domains of research and innovation and/or technology transfer respectively.



Figure 6.2: Research and Innovation Division structure

Master's and doctoral studies resort under the Deputy Vice-Chancellor: Academic, Prof. Angina Parekh, appointed on 1 October 2006, who is supported by the Executive Director: Academic Support and Development, Prof. Elizabeth de Kadt, appointed on 1 November 2007.

6.5.1.1 The Research Office³⁰⁹

- The Research Office is primarily responsible for:
- Supporting internal research-governance, planning, and quality assurance processes
- Supporting research activities linked to external funders and other stakeholders
- Developing and maintaining the central Research Information Management System (RIMS) (see par. 6.6.2)

³⁰⁹ University Research Committee Charter; Research Office Policy.

- Providing postgraduate support in relation to funding opportunities³¹⁰
- Providing strategic and administrative support for researchers applying for NRF rating
- Providing grant-administration support to researchers
- Managing support around centrally administered postgraduate funding opportunities
- Fulfilling other related functions, such as liaison with the Commercialisation/Intellectual Property Office and optimising the provision of central, generic research support.

6.5.1.2 Commercialisation/Intellectual Property Office³¹¹

One of the primary strategic objectives of the University of Johannesburg is to maximise its intellectual capital. In doing so it seeks to put its intellectual capital to work in a manner that creates mutually beneficial synergistic relationships between the University and external parties. A key component of putting intellectual capital to work in this manner is to actively encourage innovation in employees as well as students, to recognise and protect intellectual property (IP) generated through research, and to seek to commercialise the IP for the benefit of the institution, the inventor and the industry partner.

The exact functions, structure and operational placement of an office for the management of IP and various commercial or potentially commercial activities is strongly dependent on the exact nature of the duties of this Commercialisation/Intellectual Property Office. In this regard two draft documents have been developed, namely the *Policy on the Protection, Management and Commercial Exploitation of Intellectual Property*³¹² and an *IP and Commercialisation Implementation Plan*.³¹³

IP is a collective term for immaterial property, which may include registered or inventions, discoveries, materials, technologies, products, data, algorithms, software, know-how, patents, databases, copyright, trademarks, design rights, expertise, trade secrets, copyright, and plant breeders' rights that have the potential for registration and that have come about through the mental efforts, insights, imagination, expertise and creativity of employees and students of the University and are recognised and protected by law.

The IP and Commercialisation Implementation Plan prescribes the manner in which the university will manage and commercialise publicly funded research and the IP created therefrom with the assistance of the national IP Management Office (NIPMO). Within the context of the academic research environment, commercialisation is the migration of new discoveries and innovations resulting from scientific research to the commercial sector, principally through patenting and licensing new inventions.

³¹⁰ UJ URC Research Business Process Flow Diagram.

³¹¹ Policy on Intellectual Property.

³¹² Draft Policy on the Protection, Management and Commercial Exploitation of Intellectual Property.

³¹³ IP and Commercialisation Implementation Plan.

The commercialisation of IP can be divided into two distinct processes, namely the stimulation and identification of IP, and the commercialisation of disclosed IP. Because these processes demand two separate approaches, the stimulation and identification of IP will be the responsibility of the Research Office and the commercialisation of IP will lie in the Commercialisation Office. However, it is important for the Research Office and the Commercialisation Office to work closely together, as one process feeds into the other, despite the fact that they have different reporting lines. The Commercialisation Office reports directly to the DVC: Finance, whereas the Research Office reports to the DVC: Research, Innovation and Advancement.

It is furthermore envisaged that in order to create an enabling environment for researchers, there needs to be an expansion of the research office and revamping of the research-management structure by:

- creating an integrated administrative processes;
- creating a centralised support for graduate students;
- implementing a Research Information Management System (RIMS); and
- implementing a transformed research policy and strategy framework.

6.5.2 SENATE COMMITTEES

As the custodian of academic matters at the University, the Senate is advised by three standing committees with regard to research matters, each with specific delegated authority.

6.5.2.1 University Research Committee (URC)³¹⁴

The Committee is chaired by the DVC: Research, Innovation and Advancement. According to its charter it is responsible for the effective and efficient implementation of Senate-approved rules, policies and strategies in respect of higher degrees.

6.5.2.2 Senate Higher Degrees Committee (SHDC)³¹⁵

The Chairperson is the DVC: Academic and the Committee is responsible for the management and support of matters related to research in accordance with the vision, mission, and core values of the University.

As a result of the overlap and possible confusion in some functions described in the original charters of the SHDC and URC, the MEC reviewed these and submitted these to Senate³¹⁶ for approval.

6.5.2.3 Senate Committee for Academic Ethics (SCAE)³¹⁷

The DVC: Academic chairs the Senate Committee for Academic Ethics. The Senate Academic Ethics Committee assists Senate in executing its functions as contemplated in section 21 of the Standard Institutional Statute in accordance with

³¹⁴ University Research Committee Charter (updated).

³¹⁵ Senate Higher Degrees Committee Charter (updated).

³¹⁶ Minutes of Senate Meeting, 23 March 2009.

³¹⁷ Senate Committee for Academic Ethics Charter.

the vision, mission, and core values of the University and the principles of corporate governance, and within the legal and management framework of the University, focusing on all the strategic goals and subsequent KPAs and KPIs, with specific reference to academic excellence.

This committee is responsible for ensuring that all research, particularly involving human beings and/or other living beings with a nerve system, meets stringent prescribed ethical standards. It is also responsible for:

- creating an institutional awareness of ethical issues arising from research;
- developing guidelines for conducting ethical research; and
- considering and making recommendations on how ethical issues might be resolved.

The above responsibilities of the three Senate committees are duplicated at faculty level, although not all faculties have separate committees for this purpose.

Following a workshop of the Senate Committee for Academic Ethics on 10 March 2009³¹⁸, the need for a separate Senate Academic Ethics Committee was debated. It was agreed to set up a task team to investigate the advantages and disadvantages of various approaches to addressing the issues of ethics in the institution.

6.6 RESEARCH FUNDING AND SUPPORT

6.6.1 RESEARCH FUNDING

Dwindling government subsidies are forcing HEIs to diversify their income streams and to manage these more efficiently. For example, over the past few years the management of and maximisation of research income has become a strategic issue.

6.6.1.1 Centralised research funding

A multi-year URC research budget³¹⁹ (R48,5 million in 2008) that is funded from operating and trust/reserve income and providing for annual operating expenses and is considerably in excess of the DoE publications income, has been established.

These so-called “central funds” (R68,6 million in 2008) are controlled by the University Research Committee (URC), and their disbursement is determined by the URC. Additional research funding is also sourced from subsidy income generated by accredited research output and from income generated by contract and sponsored research.

It is important to note that the URC top-slices 50% of the DoE subsidy to provide for the following:

- URC research reserve funds

³¹⁸ Report of the workshop.

³¹⁹ UJ Research Funding Budget, 2008 - 2010.

- Capacity development support through the NRF Thuthuka and Research Niche Area programmes
- Maintenance and replacement of equipment and infrastructure within faculties.

The remaining 50% of the total subsidy amount will be allocated to the faculties that generated the funds. Due to the university's drive to improve its international research profile, a different payment will be made to researchers with regard to articles published in an international accredited journal than that for publishing in a DoE accredited journal (see below).

6.6.1.2 Decentralised research funding

Faculties manage their research funds in different ways. Most have one or more funds (i.e. a Dean's Fund, a Research Fund, Research Reserve Funds and a Special Projects Fund).

Faculties that generate third-stream income, particularly by means of the presentation of non-subsidised programmes, utilise a percentage of such income for promoting research in their faculties. Some of this income is also ploughed back into the faculty by means of its Faculty Research Fund. This can be utilised at the discretion of the Executive Dean, for example for assistant researchers to attend and present papers at national conferences where additional funding may be needed.

Researchers also have individual researcher funds (so-called personal trust or reserve funds) that can be utilised in the pursuit of research. These trust funds are maintained and augmented by means of the fixed percentage that researchers are allocated from publication subsidies. After approval by Senate³²⁰, the disbursement of subsidies on accredited journal articles within faculties is done according to the following principles:

- In the case of articles in internationally accredited journals (those journals that appear on for instance the ISI, ISBN or IBSS lists), the disbursement of the portion of the subsidy that accrues to the faculty will be as follows:
 - A minimum of 70% will go to the researcher
 - A maximum of 30% will accrue to the faculty.
- In the case of articles in DoE-accredited journals (those journals that appear on the DoE list), the disbursement of the portion of the subsidy that is transferred to the faculty will be as follows:
 - A minimum of 50% will go to the researcher
 - A maximum of 50% will accrue to the faculty.

These funds are utilised by individual researchers for research-related activities and may only be withdrawn with the approval of the Executive Dean. Faculties may, however, increase these amounts at their discretion.

6.6.1.3 External research funding

External or third-stream income is a very important research resource for the institution. In order to ensure sustainability in institution's research endeavours, the

³²⁰ Minutes of Senate, 17 July 2008.

drive for external research funding will increase over next few years by way of the increased appointment of high-profile professors with a research focus that will lead to an increase in NRF and other research grants.

6.6.2 RESEARCH SUPPORT

6.6.2.1 Library and Information Centre

In 2006, the UJ Library and Information Centre (UJLIC) presented its strategic plan to the ELG after an external benchmark exercise against libraries from four other South African Universities. In 2007, this was followed by a further benchmarking exercise against two more South African institutions. Internal benchmarking and quality assurance were conducted by means of the LibQual survey of staff and student perceptions and expectations of all the libraries on the various campuses of the institution. 2006 also saw the alignment of all separate financial policies, procedures and information budgets into a single UJLIC information budget.

In 2007, the UJLIC re-affirmed its vision of “A globally acknowledged African gateway to scholarly information, renowned for breaking knowledge boundaries” and added to its strategic objectives an additional specific objective: “Attracting, developing and retaining competent experts in a collaborative environment”. The year 2007 was also significant because the MEC approved several new positions for research support to academic staff (refer to par. 6.3 for additional information on the UJLIC).

6.6.2.2 Laboratories

An important aspect of research support in the institution is the provision of adequately resourced laboratories. These laboratories are all linked to various academic departments, which means that these are ‘custom equipped’ for the various disciplines. These include laboratories for use in chemistry, physics, geology, zoology, etc.

6.6.2.3 Central Analytical Facility

The Central Analytical Facility is located in the Faculty of Science, but provides specialised training and analysis to postgraduate students and researchers of the Faculties of Science, Engineering and the Built Environment and Health Sciences. The specialised analytical equipment in the facility has a replacement value of approximately R90 million. The annual running cost of the facility is approximately R2,5 million and this is supported from the research budget of the Faculty of Science.

6.6.2.4 Instrument-developer workshop

This facility is located in the Faculty of Science and manufactures specialised instruments for researchers on request. Equipment to the value of approximately R750 000 is available in the well-equipped workshop.

6.6.2.5 Glass blower

The glass-blow facility is located in the Faculty of Science and manufactures specialised glass instruments on request for researchers and lecturers according to specifications.

6.6.2.6 UJ Graphic Studio

The UJ Graphic Studio is located in Central Administration and provides graphic and photographic services to the whole university. The graphic designers assist researchers with artwork and photo plates for publications and make posters for conference contributions. The Graphic Department converts black and white electron microscope images and colour-slide transparencies to electronic format.

6.6.2.7 Research Information Management System (RIMS)

In July 2007 the UJ joined a consortium of South African Higher Education Institutions and Science Councils to customise and implement InfoEd as a Research Information Management System (RIMS) for South African use. This process began at the end of 2007 and will continue until the end of 2009,³²¹ after which all eight modules and sixteen components will have been configured for South African use. As each module is completed, individual consortium members will have the option of implementing it and “going live”. The first module to be completed was the Research Output Module, which the UJ is planning to implement in 2009. Prior to this, integration with the UJ’s existing IT systems needs to take place (planned for end of November 2008). Assuming the successful rollout of the Research Output Module, the UJ will probably implement the Research Proposal Tracking module shortly thereafter.

At present, the RIMS is required to meet at least the following criteria:

- The data should be clearly defined and in a format that is comparable to both institutional (RIMS) and national data.
- The system should be comprehensive in its coverage of research information, to support faculty and institutional planning purposes and reporting requirements.
- It should include a range of categories, specifically race, gender, age and field of study.
- Lastly, the system must be reliable, accurate and accessible, updated regularly and developed and maintained at minimum cost.

The managerial benefits³²² of using a proper research-information management system are:

- Management of the activities in respect of a research grant, from the initial proposal to closure and reporting, including:
 - A searchable national and international database of researchers’ CVs
 - A searchable national and international funding-opportunity database
 - Tracking of grants and contracts during the proposal stage
 - Tracking of grants and contracts during the post-award stage, including financial tracking and compliance with reporting requirements.

³²¹ RIMS National Project Plan.

³²² RIMS PowerPoint Presentation.

- Management and planning of human and animal studies, clinical trials and the associated ethical considerations.
- Management and planning of environmental safety issues in respect of a research project (e.g. radiation safety, biological agents, hazardous chemicals, genome and RDNA studies, etc.)
- Tracking, management and reporting, including all aspects of the associated intellectual property derived from research.

The advantages of a RIMS for the UJ and its associated research stakeholders can be summarised as follows:

- One coherent home for South African research information, accessible to all statutory bodies, providing a common platform for the exchange of research information, both nationally and internationally.
- Provision of a cyber presence by creating a South African Expertise Portal.
- A Common System Interface where researchers will be able to move between institutes and no time will be lost in training on a new system.
- An effective conduit for reporting on field-related and institute-related activities in research institutes.
- Assistance with collaboration by promoting a general proliferation and exchange of information between like-interested bodies.
- Providing researchers with a vehicle for the application for funding opportunities worldwide, increasing funding for research institutes and exposure to the international community.

6.6.3 STATISTICAL CONSULTATION SERVICES

Statistical Consultation Services (Statkon) already existed in the former RAU. Statkon endeavours to provide a professional, goal-orientated statistical consultation service to postgraduate students and researchers at the UJ, as well as to the UJ management (on an *ad hoc* basis), in respect of research methodology, questionnaire design and statistical analysis.³²³ It plays a major role in ensuring the quality and appropriateness of statistical analyses in different research applications.

Services provided to UJ postgraduate students, researchers and management as well as external clients include:

- Assistance with regard to survey or experimental design as well as questionnaire design
- Data capturing (outsourced to CMC Data Capturers)
- Statistical analysis of data sets, utilising appropriate data analysis techniques
- Feedback and explanation of the statistical results and interpretation of results
- Facilitating online data collection through online surveys.

³²³ Statkon Annual Report, 2007.

In 2007, Statkon provided assistance for a total of 392 quantitative research projects of honours, master's and doctoral students, UJ researchers and UJ management, as well as external clients. The number constitutes an increase of approximately 13,95% from 2006.

Despite the fact that Statkon experienced a surge of staff turnover, the overall service levels were assessed positively by its clients. It should be noted that a new head for Statkon has been appointed with effect from January 2009.

6.7 QUALITY ASSURANCE OF RESEARCH

Quality assurance – a primary goal within the broader research strategy of the institution – is primarily driven by governance structures within the institution. Three Senate committees were identified in par. 6.5.2. All these committees, and their faculty counterparts, together with their individual charters and/or policies, play a significant role in the quality assurance of research.

This will be discussed by briefly tracing the path of a research proposal by a staff member or an academic unit through the system.

6.7.1 RESEARCH PROPOSALS FROM STAFF

Research proposals from staff members are normally submitted to Faculty Research Committees for final approval. As there is currently no institutional policy that stipulates minimum criteria for the evaluation of research proposals, it is difficult to make final approval decisions. However, a CHE document, *A Good Practice Guide for Quality Management of Research*,³²⁴ can assist in providing some standardised guidelines. Due to the faculty-based decentralised approach to research, Faculty Research Committees therefore deal with research proposals in their own unique way. Should these proposed projects be funded by an outside agency, it is understood that the proposals will also be scrutinised by the agency concerned.

Should the proposal have a financial implication, staff members are welcome to apply for internal research grants on the prescribed form, and these proposals are then forwarded to the URC for consideration. Additional guidelines in terms of financing research can be found in the document, *Internal Research Grant Applications, 2008*.³²⁵

6.7.2 ADMISSION TO MASTER'S AND DOCTORAL STUDIES

6.7.2.1 General

In general, all students applying for admission to a master's degree (NQF level 8), regardless of the discipline within which such degrees are offered by the University, need to hold the most senior undergraduate degree relevant to the discipline. Enrolment for a doctoral degree (NQF level 8) would ordinarily require a master's degree (NQF level 8; previously referred to as M+5) in the cognate discipline. In

³²⁴ *A Good Practice Guide for Quality Management of Research*, CHE.

³²⁵ Internal Research Grant Document, 2008.

addition, candidates for admission to master's and doctoral degrees should in general ideally have obtained their previous degree with an average mark of at least 65%. However, faculties may specify alternative limitations for specific reasons – such as requirements of professional bodies or resource constraints.

6.7.2.2 Research proposal for master's and doctoral degrees

Criteria³²⁶ for the approval of master's and doctoral research proposals include consideration of the following aspects:

- suitability of the proposal for awarding the degree in terms of the research questions and conceptualisation of the research;
- suitability of the proposed research methodology;
- analysis and scientific integrity of the proposed research;
- evidence that the particular student has the required research competencies to complete the qualification;
- the availability of a suitable supervisor; and
- the availability of resources for completion of the proposed research.

6.7.3 ASSESSMENT OF MINOR DISSERTATIONS, DISSERTATIONS AND THESES

Faculties approve the appointment of external assessors – a function delegated to Executive Deans (refer to the *UJ Assessment Policy*³²⁷ and faculty assessment policies³²⁸ in this regard).

For master's level qualifications, at least two assessors must be appointed (possibly including the supervisor), of whom at least one must be external to the University (not having acted as the supervisor). Any external assessor should not have had prior involvement in the project, as this may compromise his/her objectivity when examining the dissertation.

For doctoral level qualifications, at least three assessors must be identified by the project supervisor, two of whom must be external to the University (not having acted as the supervisors) and not having had prior involvement in the project, as this may compromise their objectivity when examining the thesis. An effort should be made to identify one assessor from outside South Africa.

The revised *Higher Degrees and Postgraduate Studies Policy*³²⁹ (approved by Senate on 23 March 2009)³³⁰ is now prescribing an international approach to the assessment of doctoral theses, whereby supervisor(s) will no longer be allowed to act as assessors. At master's level, the policy states that this is 'advisable'.

³²⁶ Criteria for the approval of master's and doctoral research proposals; Code of Academic Research Ethics.

³²⁷ *UJ Assessment Policy*.

³²⁸ Faculty assessment policies.

³²⁹ *UJ Higher Degrees and Postgraduate Studies Policy*.

³³⁰ Minutes of Senate Meeting, 23 March 2009.

In general, assessors of postgraduate degrees at the University should hold a doctoral qualification, except where persuasive grounds exist for deviating from this prescription. In such cases, assessors must have an appropriate higher education qualification, as well as relevant experience and expertise.

In the event of a disagreement between a student and any supervisor, both parties are initially expected to resolve the disagreement amicably and on their own. By mutual consent, the parties may request the intervention of a facilitator to assist in finding a resolution for the disagreement.

At master's level, all assessors' reports are accepted within the Faculty Higher Degrees Committee (FHDC) (or Faculty Postgraduate Assessment Committee (FPAC)), and final results are only sent to the SHDC for ratification and/or noting. All assessors' reports dealing with doctoral theses are finalised at the FHDC or FPAC and then sent to the SHDC for final approval.

6.8 CAPACITY DEVELOPMENT IN RESEARCH

Professional academic staff development seeks to enhance a trajectory of excellence in academic practices, including teaching, learning, assessment, research and academic management across the spectrum of all academic employees. The responsibility for staff development in research used to be a highly fragmented process, only occurring in a few faculties and departments. However, an initiative is underway to establish a postgraduate research centre³³¹ that will take some responsibility for the development of generic research capacity and/or skills on a postgraduate level.

This is further enhanced by the Proposed Professional Academic Staff Development Strategy,³³² which served for the first time at a Senate meeting in November 2008. Such staff development (UJ Staff Qualifications Project³³³) will be led by the Centre for Professional Academic Staff Development (CPASD), in collaboration with academic staff in faculties, and with the Programme and Curriculum Development unit (PDU) in the Division of Institutional Planning and Quality Promotion (DIPQP), the Centre for Technology Assisted Learning (CenTAL) and the Centre for Academic Development (CAD) in the Division for Academic Development and Support (ADS).

Various other initiatives exist across different faculties, aimed at honing postgraduate students' and staff members' research skills. These include research workshops that focus on specific research skills (for example, developing a valid and reliable survey instrument); research study schools; and supportive just-in-time (JIT) workshops that focus on equipping postgraduate staff members or academic staff with specific research skills.

³³¹ Senate documents, November 2008.

³³² Proposed Professional Academic Staff Development Strategy.

³³³ UJ Staff Qualifications Project.

From an HR perspective, a *Talent Management Policy and Procedure*³³⁴ has been implemented within a framework of human capital development, allowing for the attraction and retention of talented and high-performing employees.

Capacity building of staff occurs with the aid of the ADS, Postgraduate Research Centre and the Research Office where workshops and sessions mainly focus on:

- Writing a research proposal
- Complete requests for internal and external research funding by way of the various flow diagrams³³⁵ developed
- Writing for publication
- Research activities within faculties, for example, launching of faculty-specific academic journals.

It is important to note that these activities would have cascaded down into the various departments within faculties.

It is not really possible to highlight any activities that focus on black and women researchers only, as these are integrated within the broader focus of institutional capacity development.

It is also interesting that more institutional researchers are making applications to the NRF's research-capacity development (Thuthuka) programme. This intervention has resulted in a 48% increase in grants received (R2,3 million as apposed to R1,6 million in 2006). The UJ has also won the award for the most successful University in the Thuthuka programme.³³⁶

The University has formalised its approach to NRF RCD programmes, requiring all prospective Thuthuka (TTK) applicants to be vetted formally within the faculty first, before their applications are approved at institutional level. TTK applicants are also required to attend several RCD workshops, although this requirement has not been formalised in an official document as yet.

Some of the challenges in capacity development in research are:

- The retention of high-calibre academic staff in an increasingly competitive environment
- Increased expenditure in a tough economic climate
- Systemic incoherence in the HE system, including declining subsidies, departmental competition (e.g. DST, DoE) and systemic competition between universities and science councils.

6.9 RESULTS

6.9.1 RESEARCH OUTPUT

³³⁴ *UJ Annual Report, 2007*, p. 72.

³³⁵ UJ Business Process Flow Diagrams.

³³⁶ Presentation by Prof. Adam Habib to Council.

The Department of Education recognises three types of research in its funding formula,³³⁷ namely:

- Research output, consisting predominantly of research articles published in accredited journals
- Master's degrees conferred (with an emphasis on the research component included in these degrees)
- Doctoral degrees conferred.

All these types of recognised research are promoted and supported by the University.

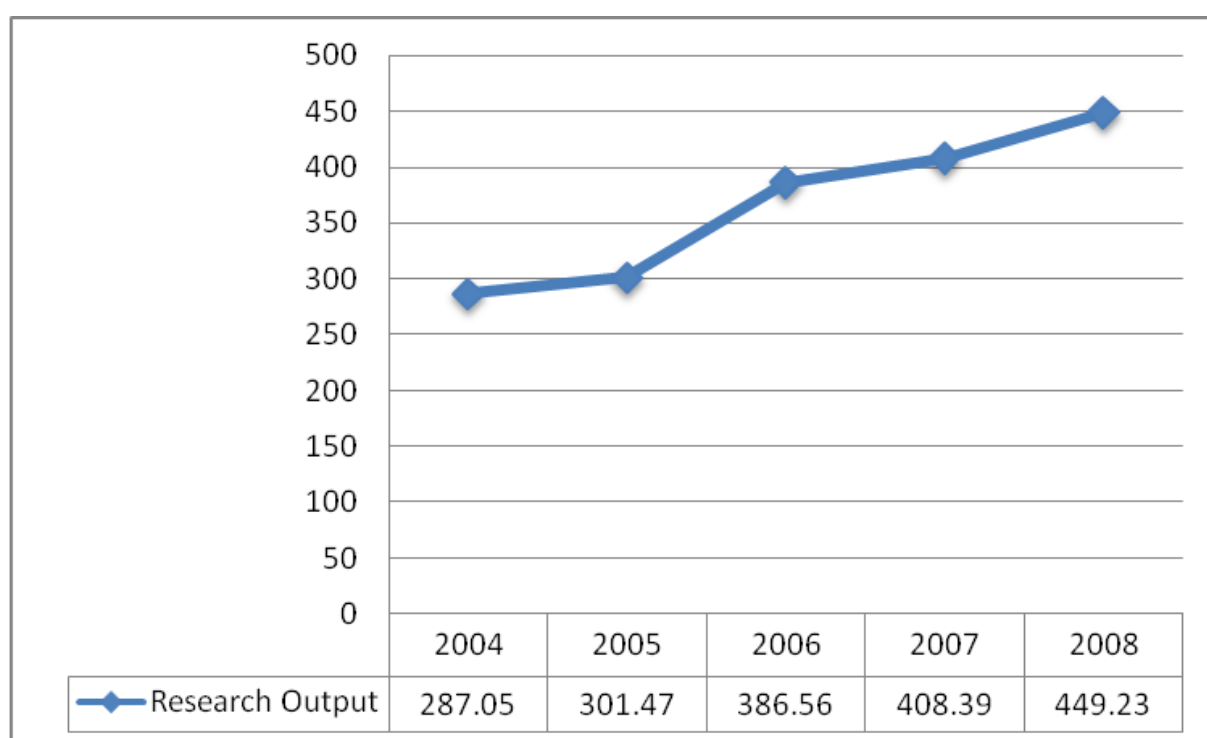


Figure 6.3: Research output, 2004 - 2008*

It is still early days to measure success or failure from the plethora of incentives listed previously, let alone correlate them with individual incentives. Even the additional support provided for the various QW initiatives, for example, is not expected to deliver significantly before a couple of years have gone by. Yet the aggregate results are promising (see Figure 6.3). The data for 2004 is included as a point of reference. These result may be spurious, given the paucity of the data, but it gives the University encouragement that it is on the right track to deliver on its strategic intention to become one of the top research universities in the country.

6.9.2 OUTPUT OF POSTGRADUATE DEGREES

Table 6.1 shows the number of master's and doctoral degrees conferred by the UJ for the period 2005 – 2008.

³³⁷ UJ Higher Degrees and Postgraduate Studies Policy.

Table 6.1: Master's and doctoral degrees conferred by the UJ

| | 2005 | 2006 | 2007 | 2008 |
|-------------------------|------|------|------|------|
| Master's degrees | 435 | 384 | 303 | 394 |
| Doctoral degrees | 88 | 73 | 75 | 61 |

Figures 6.4 and 6.5 indicate the breakdown of the various master's and doctoral degrees conferred by the University according to faculty.

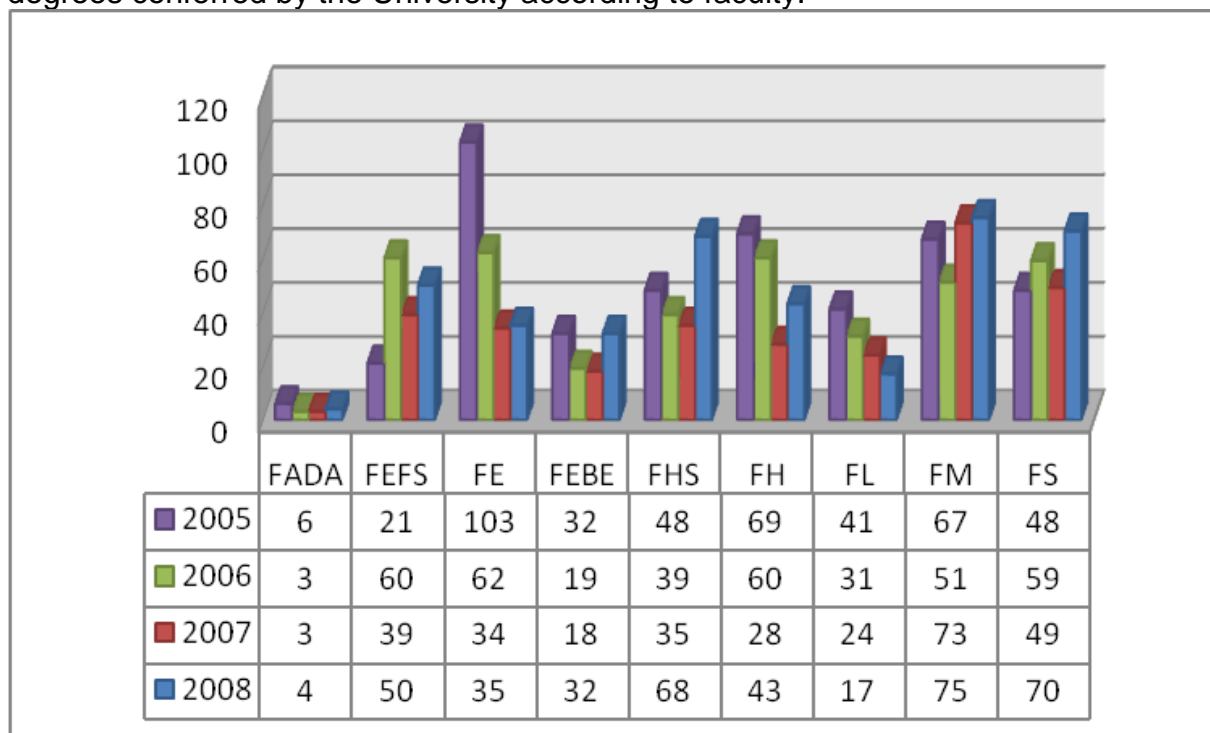


Figure 6.4: Master's degrees conferred: 2005 – 2008

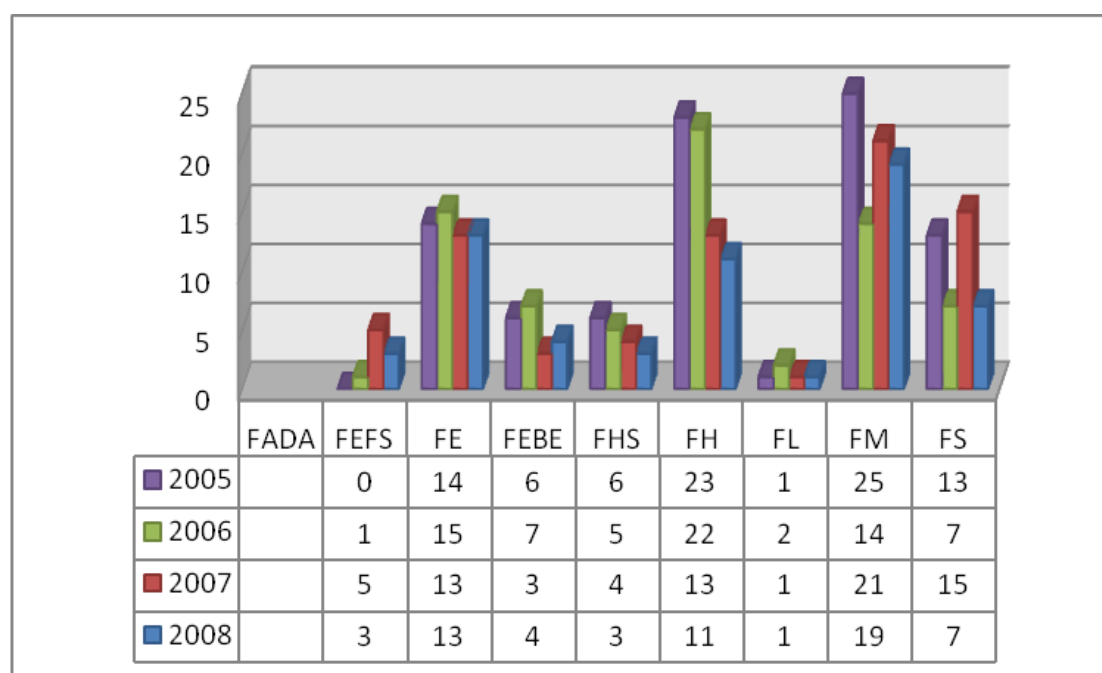


Figure 6.5: Doctoral degrees conferred: 2005 - 2008

Regrettably the results in terms of master's and doctoral degrees conferred (and depicted in the above figures) are less encouraging. Even though there was an increase of just over 20% in the total conferment of master's and doctoral degrees between 2007 and 2008, there has been a drop of over 30% from 2005 to 2007 in the conferment of master's degrees. Between 2005 and 2007, the drop in doctoral conferments has been close to 15%.

Figure 6.6 indicates the current (2009) and previous (2008) enrolment in postgraduate degrees (master's and doctoral) at the institution according to faculty.

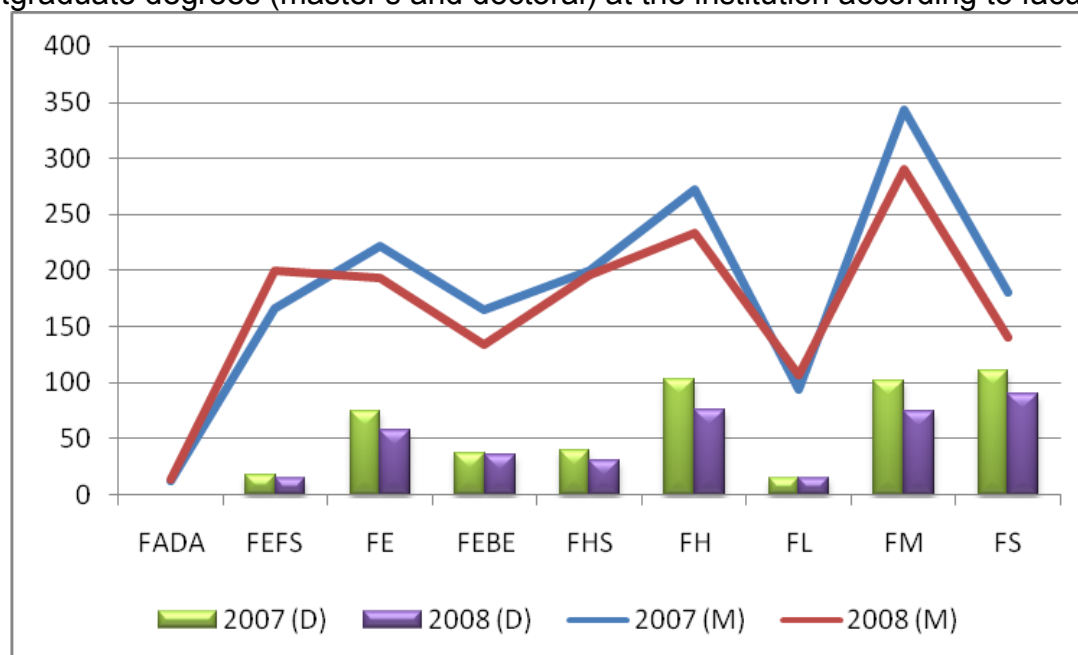


Figure 6.6: Enrolment in master's and doctoral degrees: 2008 - 2009

One reason for the decline in postgraduate student numbers may be the uncertainty of the offerings of MTech and DTech programmes, making students hesitant to enrol for postgraduate studies such as an MTech degree. There is no specific career path for these students any longer and therefore they do not pursue this route. In several cases there is not even an opportunity to bridge to a traditional master's programme, as these are not offered (for example in Hospitality Management).

These decreases may also be due to the legacy institutions not having a postgraduate research culture. This picture may also be linked to the loss of staff members with master's and doctoral degrees as their highest qualification who can act as senior/experienced supervisors, and various changes to postgraduate programmes. Figure 6.7 provides an illustration of the number of academic staff members in the University without a master's or doctoral degree.³³⁸

³³⁸ Academic Development and Support (ADS) Unit.

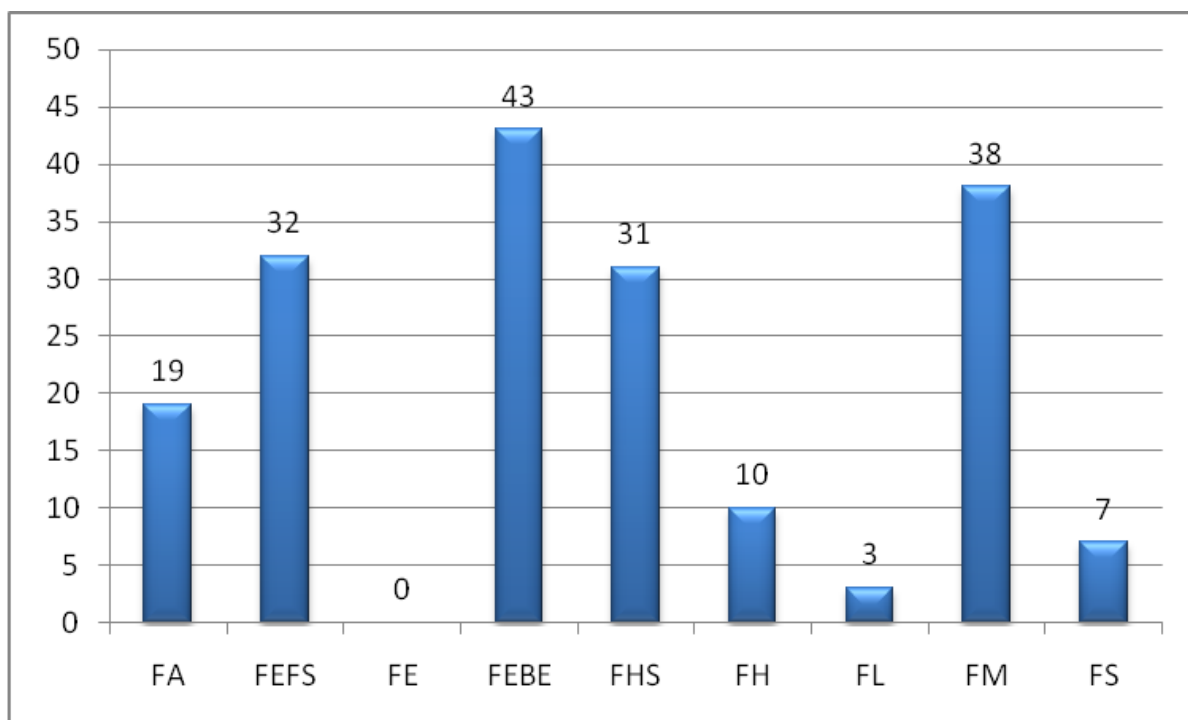


Figure 6.7: Number of academic staff members without a master's or doctoral qualification, 2008

The Faculty of Education has none, whereas the faculties of Management and Engineering and the Built Environment have the most staff members without an appropriate master's or doctoral qualification. This should be understood as a result of the fact that many, if not most of their staff members, originated in the TWR and Vista. The University takes this situation seriously and has invested significant resources to enhance the qualifications of its staff (see par. 6.4). We expect the situation to therefore improve in the coming years.

As the dwindling number of postgraduate degrees is a matter of concern to the University, actions have been initiated in an attempt to stem this trend. These include the introduction of the New Generation Scholars Programme, a uniform Postgraduate Bursary Framework and a significant increase in postgraduate bursaries on offer (see par. 6.4.3 and par. 6.4.4), an intensified staff development programme (see par. 6.8), an active recruitment of suitable staff members and the possibility of offering free tuition to all postgraduate students who complete their studies within the minimum term (see par. 6.4.3). Other actions that should be highlighted is the increase and expansion of the international research 'footprint' of the institution, the establishment of collaborative research centres (see par. 6.4.4), and the creation a new generation of scholars to address the problem of the aging professoriate by way of active participation in the Thuthuka programme (see par. 6.4.4).

6.9.3 RATED RESEARCHERS

As can be seen from Table 6.2, there has been a modest increase of just over 16% in the number of rated researchers since 2004³³⁹ (again, only included as a point of reference). It is important to note that resignations do affect the numbers negatively.

Table 6.2: UJ's rated researchers

| RATED RESEARCHERS | 2004 | 2005 | 2006 | 2007 | 2008 |
|--------------------------|-------------|-------------|-------------|-------------|-------------|
| A | 2 | 2 | 2 | 2 | 1 |
| B | 10 | 11 | 12 | 13 | 16 |
| C | 39 | 37 | 44 | 44 | 43 |
| P | 1 | | | | |
| Y | 8 | 10 | 8 | 5 | 7 |
| L | | 1 | 2 | 4 | 2 |
| Total | 60 | 61 | 68 | 68 | 69 |

It is however pleasant to note that 11 new applications for NRF rating have been submitted thus far in 2009.

As indicated earlier, an incentive scheme for A and B-rated scientists are catered for in the excellence categories whereas incentives for C and Y-rated researchers are still under consideration (see par. 6.4.3). The Vice-Chancellor's Distinguished Awards for Outstanding Researcher of the Year and for Most Promising Young Researcher of the Year will in the long term also play a positive role in increasing the number of rated researchers.

6.10 SELF-EVALUATION: CRITERION 15

Criterion 15: Effective arrangements are in place for the quality assurance, development and monitoring of research functions and postgraduate education.

The description in the preceding pages demonstrates the following:

- policies on research strategy, IP and commercialisation, bursaries and scholarships and research centres and institutes are in place;
- research structures including, among other, faculty research committees, URC, postgraduate research centre, research centres and institutes exist;
- the management and monitoring of research is an integral component of the job descriptions and KPIs of executive and senior management including DVCs, Executive Directors, Executive Deans, Centre Directors and HODs;
- capacity development has been implemented through a staff development programme which will be further supplemented with the establishment of a postgraduate research centre;

³³⁹ Memorandum from F van der Walt on rated researchers, 27 November 2008.

- monitoring and evaluation will be advanced with the operationalisation of the RIMS;
- quality assurance of research is managed through faculty and institutional processes that prioritise external peer review and public assessment;
- postgraduate studies is encouraged and advanced by competitive scholarships and fellowships and the establishment of support structures (e.g. Statkon and the postgraduate research centre) to enhance throughput; and
- quality assurance of postgraduate supervision is managed and supervised by FHDCs and the SHDC in accordance with policies on higher degrees and postgraduate studies, assessment and supervision.

In accordance with the UJ's desire to become known as a research-focused institution, it has started the process of defining research functions and processes that are supported and developed in a way that assures and enhances quality and increases research participation, research productivity and research resources. These policies, structures and processes will thus greatly enhance quality assurance development and monitoring of research functions and postgraduate education at the UJ.

6.11 SELF-EVALUATION: CRITERION 16

Criterion 16: Research functions and processes are supported and developed in a way that assures and enhances quality and increases research participation, research productivity and research resources.

The description in the preceding pages demonstrates the following:

- there has been a significant expansion of research expenditure in the university driven mainly by a quadrupling of the internal research budget in three years;
- the establishment of a number of research centres units and institutes and the appointment of research professors have enhanced the institutional organisational environment for research;
- the appointment of new academic staff, the programme on improving academic staff qualifications (Staff Qualifications Project) and research support as provided by faculties, the Postgraduate Research Centre and the Research Office have all worked towards increasing the institutional research footprint;
- the implementation of incentives that reward researchers including inter alia the Vice-Chancellor's Distinguished Awards for research, the distribution of research subsidised to individual researchers and research codes and the implementation of the excellent staff programme (see par. 6.4.3);
- an expansion in the number of active research partnerships with other national and foreign universities as is reflected in the centre for the study of democracy (with Rhodes University), the GCRO (with Wits University), a number of research

partnerships with Indian, Brazilian, European, American and African universities, research centres and researchers; and

- a more effective monitoring and evaluation of research output and participation through the operationalisation of the RIMS.

These measures have increased research output by some 49% since 2005, increased the numbers of active researchers and have enhanced the quality of research produced by the UJ.

6.12 SELF-EVALUATION: CRITERION 17

Criterion 17: Efficient arrangements are in place for the quality assurance, development and monitoring of postgraduate education.

The description in the preceding pages also demonstrates the following:

- the development and implementation of policies and regulations for postgraduate education;
- the provision for competitive bursaries and scholarships for postgraduate students;
- the enhancement of postgraduate student throughput by way of the establishment of faculty support initiatives and institution support structures like Statkon and the postgraduate research centre;
- the management of supervision of higher degrees by FHDCs and SHDC in line with the policy on higher degrees and postgraduate studies;
- the ongoing monitoring and establishment of higher degrees through the operationalisation of the RIMS; and
- the establishment of working group under the PVC on reviewing, increasing and enhancing the postgraduate student experience at the UJ.

The initiatives enhanced the development, monitoring and quality of postgraduate education at the UJ.

6.13 CONCLUSION

The UJ has as its institutional ambition to be a research focussed university. It prefers this description since this implies that its research footprint, which will be continually expanded in the next few years, is to be concentrated in particular faculties and programmes. Moreover, its mandate explicitly stresses the innovation component. To drive this complex research agenda, the research plan implemented thus far has a triple strategic thrust: (i) the recruitment of great scholars; (ii) the cultivation of an enabling environment promoting research; and (iii) the mobilisation of greater investment for research.

It also has two distinct time frames. In the first few years, productivity is to be driven by new recruits, the implementation of a rewards system for productive staff, and the

creation of an institutional environment conducive to research, particularly through the establishment of a number of research centres.

In the longer term it will be driven by expanding the institution's research footprint largely through a development programme targeted at both existing staff and a new generation of scholars.

How will the institution ensure that these research endeavours are financially sustainable? There are a number of measures:

- Budgeted research expenditure – all research expenditure is annually incorporated into the normal operating budget of the institution.
- Research output – as there has been a dramatic increase in the research output of the institution, greater income has become available to the University as per the subsidy formula of the DoE. Between 2005 and 2007, research output increased from 301,47 units to 408,39, equating to an additional 29,8% or R8,27 million in subsidy income. The university has set itself a target of doubling research output by the end of 2011. Should this be the case, the potential increase in subsidy income would mean an additional R27,7 million.
- Capacity building – in terms of the UJ Staff Qualifications Project, it is envisaged that all academic staff will have at least a master's degree by the end of 2011. This will not just provide additional subsidy income, but will also expand the overall research footprint of the institution.
- External income – it is expected that the quadrupled institutional research spending over the past four years will reach a plateau. The drive for external research funding will, however, pick up for two reasons. Firstly, one of the KPIs of all Executive Deans is the increase in research grants. Secondly, the increased appointment of high-profile professors with a research focus (many of them A or B-rated researchers), will lead to an increase in NRF and other research grants.
- Commercialisation – as part of the strategic objectives of the University, the potential commercialisation of IP for the benefit of the institution, the inventor and industry is very important. In this case the Photovoltaic Cell Project is still hailed as an excellent example of the commercialisation of intellectual property by any South African university. We believe that significant resources are likely to become available to the University in the coming years as a result of this commercialisation venture.

In this regard, some of the institution's immense achievements in the research, postgraduate education and supervision realm include:

- There has been an increase in the institutional research output, coupled with an increase in research expenditure and external grants.
- The Quick Wins initiative, adopted to spearhead the strategic research thrust, indicates the beginning of a formal approach to strategic research management at the UJ. In addition, various institutional Research Centres were established;

there has been a focus on the appointment of NRF research chairs; and an increase in research expenditure and the number of NRF grants was seen.

- Research-capacity development has been introduced at various levels and it is expected that the envisaged institutional postgraduate research centre will assist in the further development of research capacity.
- Financial incentives for researchers have been developed and include the VC's Teaching and Research Awards and the restructuring of publication subsidies to reward productive researchers.
- In terms of postgraduate education, the institution has a unified set of *Academic Regulations* and a *Higher Degrees and Postgraduate Studies Policy* in place. These are augmented by Higher Degrees Policies and/or Higher Degrees Procedures within faculties.
- The *Higher Degrees and Postgraduate Studies Policy* provides a comprehensive framework for the administration, governance and quality management of postgraduate studies and programmes at the UJ. This policy is complemented by a number of other policies, such as a *Policy on the Student-Supervisor Relationship*, the *Policy on Plagiarism* and *Guidelines on Academic Authorship*.
- Oversight, monitoring and quality assurance of postgraduate education are provided by the SHDC, and this is augmented by the various Faculty Management Committees, FHDCs (or subcommittees that have been allocated the Faculty Higher Degree Committee's responsibility, as stipulated in the *Higher Degrees and Postgraduate Studies Policy*) and Faculty Postgraduate Assessment Committees (FPAC) (or another faculty structure formally entrusted with this responsibility), which consider assessors' reports and make recommendations to the Faculty Board.
- Policies and criteria regarding access to and allocation of funding for postgraduate education and research are dealt with in the *UJ Postgraduate Bursary Policy*, and faculties are assisted by the UJ Research Office.

Should UJ and other institutions be dissuaded from pursuing an active research agenda, the nation is likely to loose out. After all, UJ and other second-tier universities contribute about a third of the nation's research output. More importantly, research would become a segregated activity in our society. Middle, lower-middle and working class students who represent the core constituency of UJ and other second-tier institutions will be marginalised from research endeavours and experiences. This can not but disadvantage South Africa in its aspirations to build a knowledge economy.

Obviously the UJ must not become complacent in its endeavours to enhance its research agenda. It has had some distinct successes as the preceding pages demonstrated but as Nelson Mandela puts it so graphically in his biography, *Long Walk to Freedom*:

"After climbing a great hill, one only finds that there are many more hills to climb."

So to must the UJ learn from this icon. We need to ensure that our research endeavours are continuously re-invigorated. This would require:

- regular, systematic monitoring and reviewing of the institutional research policy and strategy coupled with the monitoring and reviewing of faculty research policies and research development;
- continuous implementation of mechanisms to track the effectiveness and impact of research-capacity development initiatives at staff level;
- continuous implementation of RIMS to provide the institution with the necessary capacity for strategic planning initiatives with regard to research;
- continuous monitoring and evaluation of the support and development initiatives for postgraduate education; and
- regular reviewing of the effectiveness of arrangements for quality assurance, development and monitoring of research functions and postgraduate education.

Only such a continuous, pro-active and energetic research engagement will enable the UJ to continue to make its research and innovation contribution to South Africa, the national academy and the global community of scholars.



CHAPTER 7

Community

Engagement

HEQC CRITERION 18

CRITERION 18

Quality related arrangements for community engagement are formalised and integrated with those for teaching and learning, where appropriate, and are adequately resourced and monitored.

Examples

- (i) Policies and procedures for the quality management of community engagement.
- (ii) Integration of policies and procedures for community engagement with those for teaching and learning and research, where appropriate.
- (iii) Adequate resources allocated to facilitate quality delivery in community engagement.
- (iv) Regular review of the effectiveness of quality related arrangements for community engagement.

7. COMMUNITY ENGAGEMENT

7.1 OVERVIEW OF THE CHAPTER

One of the most important social responsibilities of education institutions in a developing country such as South Africa is a commitment to support community development in a practical and workable way. Without decrying the value of the involvement of universities through their staff and students in broad social charities, it is the utilisation of their intellectual capital to improve the quality of life of the communities that they serve that defines the unique contribution that universities make. This has become known as Community Engagement (CE) which, together with Teaching and Learning and Research, forms the three core functions of a university. These core functions are not mutually exclusive, but should complement each other in an integrated service to the students and communities the university serves and to the world of scholarship. Thus CE enhances social awareness, which should be reflected in the teaching at the university, while CE projects lead to research topics, and research outcomes are implemented to improve the quality of life of the population.

In this chapter it will be shown that CE at the UJ is still settling, with new systems, structures, policies and procedures being developed and implemented. A need for greater support and coordination of CE activities has been identified, and a Community Engagement Office has recently been established, *inter alia* for this purpose, within the Unit for Strategic Partnerships. A revised *Community Engagement Policy* has been proposed to integrate community engagement in the form of Service Learning, Organised Outreach and Community-based Research into one policy. At the time of writing the draft new policy has already been discussed in workshops by interested parties on campus, has been noted by the MEC, and is due for submission to Senate for final approval.

Some of the major projects and outreach initiatives are flagged. HEQC Audit Criterion 18, which deals with CE, is used to evaluate the status of this core function at the UJ.

7.2 HISTORICAL CONTEXT

Community Engagement at the UJ has come a long way since the merger. At the former RAU, the focus of CE was mainly that of an outreach initiative with less focus on its integration into the core business of the institution. Although there was a CE Office for the institution, the function of this office was to initiate outreach (to needy communities) programmes and implement them successfully. Some of the successful CE projects that were run by the RAU included:

- Rutanang Primary School in Rustenburg
- Bapong Project
- RAUCALL
- Phelophepa Train
- Siza Abantwana: The Brixton/Riverlea Street Children Project
- The clever play enrichment programme
- Claremont feeding scheme project
- Law Clinic
- Carebique
- Trauma Centre
- Rag

At the former Technikon Witwatersrand the faculty and departmental outreach focus was predominantly on industry linkages, inter alia through Work Integrated Learning (WIL). Community Engagement services did occur and were often driven by a person or group with a special interest. Some of the more prominent initiatives at the time included:

- Phumani Paper
- Hillbrow Project and other Public Health projects, including the Pelophepa Train
- The Faculty of Arts, Design and Architecture ran various smaller community projects
- All Africa Games volunteers
- School-Library project
- Student Counselling and Student Services had various projects, including Rag.

In the years following the merger, it became apparent that a more focused and consolidated approach to institutional CE was necessary if the institution was to establish itself as a key contributor in addressing the needs of the regional, national and continental communities. This does not mean that the University discarded the CE projects that were part of the merger institutions. These projects served instead as a foundation to build upon for the new institutional CE initiatives.

7.3 STRUCTURES, POLICIES AND PROCEDURES FOR COMMUNITY ENGAGEMENT AT THE UJ

7.3.1 CE IN THE STRATEGIC DIRECTION OF THE UNIVERSITY

The University of Johannesburg recognises the importance of CE. In its vision, it articulates the wish to be known as an embracing University that pursues its ideals by means of *putting intellectual capital to work* (see Table 1.1). The Strategic Goals also contain numerous references to its commitment to CE (see Table 1.2). Thus, in Strategic Goal 1, the University declares its wish that its brand *will be recognised as synonymous with....contributions to the wellbeing of its stakeholder communities*. The KPIs for Goal 4: *An Engaged University* include CE projects, expenditure on CE, active engagement with the challenges of the SADC countries and the African continent, the stature of strategic partnerships and public scholarship. Goal 7: *Culture of Transformation* speaks of responsiveness to national transformation imperatives. Transformation and community engagement go hand in hand to address the legacies of apartheid and contribute towards national objectives regarding transformation and development. Goal 9: *The preferred student experience* specifically mentions *promoting the holistic development of the student in preparation for the world of work and responsible citizenship*. Goal 10: *Focus on the Gauteng City Region* speaks of joint development projects.

The University increasingly experiences the value of cross-fertilisation between CE and the other core functions, as will be evidenced in some of the CE projects mentioned in this chapter. However, it is recognised that there is still scope for expanding the synergy between the three core functions of the University, particularly in terms of greater integration of CE with the other two functions. The proposed CE policy also addresses this challenge.

7.3.2 ORGANISATIONAL STRUCTURES TO SUPPORT CE

7.3.2.1 Terminology

It will be helpful to understand the organisational structures described below if some of the terms used are described in UJ context. The following definitions are included in the new draft CE Policy. They have been discussed in workshops by interested parties on campus, but have not yet been formally adopted by decision-making structures at the time of writing (see par. 7.3.3 for more information on the status of the policy):

- **Community Engagement** refers to sustainable initiatives and processes that employ the knowledge capital and resources of a higher education institution in the creation of partnerships (be they structured within an academic programme or not) between the institution and communities that address the development needs of such interest groups. Such initiatives and processes are made available by the institution to the interest groups for no financial consideration.
- **Experiential learning** is a process and method of education for types of learning activities that demand students to engage directly with the phenomenon being studied and to reflect on the experience of such engagement.

- **Organised outreach** is a form of community engagement that entails institutionally organised activities by students and employees, initiated either within faculties or in other divisions of the institution and outside of academic programmes, that address the development needs of community interest groups by providing them with services and resources as determined by such communities.
- **Public scholarship** refers to any scholarly and creative work that is jointly planned and executed by an institution (such as a university) and its community partners and that may yield a product or artefact that meets the public good, initiates, stimulates and/or contributes to public issues or to scholarly intellectual activities relating to the core functions of the university in execution of its public role.
- **Service Learning** is a form of community engagement that entails teaching and learning that is directed at specific community needs. It is curriculated into (and therefore also assessed as part of) a credit-bearing academic programme and enables students to participate in, and subsequently reflect on, contextualised, structured and organised service activities that address identified service needs in a community, seeks to infuse students with a sense of civic responsibility and promotes social justice.

Other terms that will be encountered are:

- **Community** is an identifiable interest group external to the University that has development needs because of political, economic or social disadvantage. These needs can be identified and addressed by the provision of organised services by students and employers of the University.
- **Work Integrated Learning** (also referred to as “Work-based Learning”) is the appropriately assessed application of learning in an authentic employment context under supervision and/or mentorship of an employer representative. It allows the learner to acquire specific competencies identified for the acquisition of a qualification and for the enhancement of a learner’s employability, and assists in the development of related personal attributes.

7.3.2.2 Organisational structure

The structuring of human resources and their respective mandates is particularly relevant for the satisfactory infusion of CE.

The trend in South African HEIs seems to be the creation of a central Community Engagement office, with a head or director who has a senior position in the institution, and to make a moderate budget available to this division (e.g. University of Stellenbosch, University of the Free State and Witwatersrand University). The experience of the University of Johannesburg is that this model, as it was applied at the UJ, seemed to favour a silo-model of CE that does not encourage the integration of CE with Teaching and Learning and Research. Hence, it was discarded in favour of a fully integrated ‘infusion’ or ‘cross-cutting’ model for CE. A key aspect of this

model is the formation of partnerships. In this the University supports the viewpoint articulated by Brukardt, *et al.*, namely that *Partnerships are the currency of engagement - the medium of exchange between university and community and the measurement of an institution's level of commitment to working collaboratively* (Bender, 2008).³⁴⁰ In recognition of this, the University established the structure depicted in Figure 7.1 below. The Community Engagement Office deals specifically with integrating university-wide CE. It is also responsible for maintaining a CE database and website for the University.

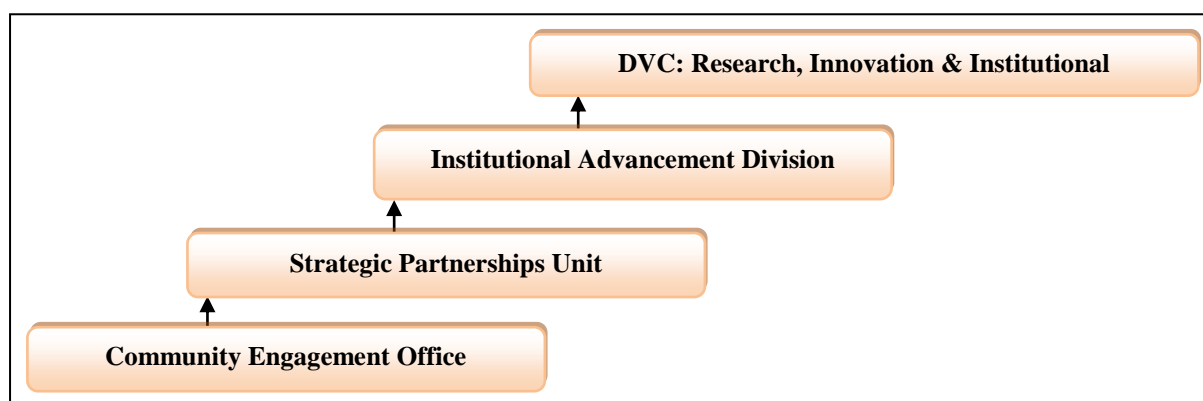


Figure 7.1: Position of CE Office

7.3.2.3 Funding of CE

The Strategic Partnerships Unit annually budgets for operational and capital items necessary for the execution of its responsibilities. All CE initiatives/projects are financed in accordance with the processes and procedures stipulated in the University's financial and related policies, in keeping with the nature of the initiative at institutional and/or faculty level. Specific fund-raising activities outside faculties are conducted in accordance with the associated University policies and regulations. The same is true for faculty CE and research funding, as well as fund-raising initiatives. Funding acquired and/or resources allocated to specific CE initiatives are earmarked and may not be transferred or used for any other purpose without proper review, justification and authorisation. Such conditions also apply in respect of any desired cross-subsidisation of initiatives.

Specific institutional funds exist to be utilised for institutional CE initiatives, namely the Capital Reserve Fund and the Community Engagement Sustainability Fund. These funds will be managed by the CE Advisory Board (when instituted) through the CE Office.

7.3.2.4 Management support

Although the Strategic Partnerships Unit plays an important supportive and integrating role, it is the mandate and commitment of the Vice-Chancellor (VC) and members of the Management Executive Committee (MEC) that must ensure integration and quality delivery of CE. The importance of the fact that top leadership does not merely "delegate" CE to a CE office or division is recognised at the UJ, and the support of the MEC forms part of the CE structures, being the primary driver of

³⁴⁰ Bender, G. (March 2008): Exploring conceptual models for community engagement at higher education institutions in South Africa, *Perspectives in Education*, Vol 26(1).

the imperative to infuse CE into the University of Johannesburg. The UJ is also considering the establishment of a CE Advisory Board (see par. 7.6.1) and/or a Senate subcommittee (see par.7.6.2), *inter alia* for the quality management of CE.

Each faculty appoints individuals or committees to assist the Executive Dean in ensuring that CE is properly integrated and managed in each respective faculty. As is the case in almost all other South African HEI's, additional project-specific structures and staff are in place, often as a result of donor demands or preferences. An example of this is the SADC Development Programme in Manica, Mozambique (see par. 7.5.2).

It is imperative that staff members of the UJ be sensitised to the needs of South African and African communities. Employee development and capacity building programmes are therefore available to employees involved in CE initiatives. Professional and CE initiatives in which University employees are expected to participate are negotiated between individual staff members and their line-managers as part of their Key Performance Areas (KPA's). Such initiatives are taken into account in staff performance evaluation and for promotion purposes.

The University also has a successful Adult Basic Education and Training (ABET) programme to empower its own disadvantaged staff members. This programme is run by the UJ's Human Resources Division. Brochures and participation statistics are available in the Evidence Room.

7.3.3 POLICIES AND PROCEDURES

A task team was formed in 2007 to engage with the practical implementation of CE, and a resultant Community Engagement Policy³⁴¹ was approved by Senate in 2008. A preliminary Work Integrated and Service Learning Policy³⁴² (WIL and SL) was also approved in 2008³⁴³. Subsequently, at a workshop on *Integrating CE into Faculty Curricula* on 10 November 2008 the consensus was that WIL does not fit comfortably into the UJ viewpoint of what CE entails and both policies should be revised to reflect this new insight. In terms of this thinking, SL will resort under CE and WIL under the Centre for Psychological Services and Career Development (PsyCaD) (see par. 5.4.5 for a description of PsyCaD). The CE and SL policies should then be integrated into one policy, while WIL will be written out of it. A CE Task Team was appointed to investigate the matter, draft a new proposed policy, and report back to the attendees of the November 2008 workshop. This was done on 9 March 2009. The resultant draft then served before the MEC, where it was noted at its meeting of 17 March 2009. It is attached with a note on its status.³⁴⁴

The originally approved CE policy addresses stakeholder groups, the purpose of CE at the UJ, the scope of community engagement, the clarification of concepts and CE terminology, the UJ community engagement philosophy, the ethos governing CE initiatives, management structures, funding and fundraising, management of the CE

³⁴¹ *Community Engagement Policy.*

³⁴² *Work Integrated and Service Learning Policy.*

³⁴³ Senate Minutes: 17 July 2008.

³⁴⁴ New CE (and SL) Policy.

initiative, employee development to support CE, and processes and procedures for the management of CE initiatives.

All the above documents deal explicitly with CE (including SL and in one case WIL), but there are many other official UJ documents (policies, regulations, guidelines, contracts, position papers) that have a bearing on CE policy and practice. To align the CE focus of the University of Johannesburg with the other core functions, it is necessary to ensure that the CE policy is aligned with the contents of these documents, where relevant.

CE can be conducted more effectively when in partnership with other involved institutions and organisations. The Strategic Partnerships Unit (see Figure 7.1) is responsible for setting up agreements, memoranda of understanding and other forms of contracts with partners in order to more effectively apply research capacity for the improvement of the environment and the community.

7.4 ALIGNMENT OF COMMUNITY ENGAGEMENT WITH TEACHING, LEARNING AND RESEARCH

In discussing how the quality delivery of CE is aligned with teaching, learning and research, this section will focus on different areas of CE and explore how this integration takes place in each area.

7.4.1 SERVICE LEARNING

The primary area where CE finds expression as a scholarly activity is via Service Learning. The HEQC's *Good Practice Guide and Self-evaluation Instruments for Managing the Quality of Service Learning (2006)* is the point of departure for how the UJ manages Service Learning. A dedicated person has been tasked to oversee and promote SL, i.e. the Manager: Community Engagement.

The *CE Policy* defines Service Learning as a form of teaching and learning, directed at specific community needs and integrated into a credit-bearing academic programme and curriculum. The SL experience takes place under supervision and/or mentorship of a person/s representing the community (HEQC) and is assessed. A collaborative partnership that enhances mutual reciprocal teaching and learning among all members of the partnership (lecturers and students, members of the communities or representatives of the service sector) is necessary for successful SL.

While being a component of Community Engagement, SL is a credit-bearing academic component of relevant programmes and is subject to academic policies and related quality arrangements, the most relevant policy being the *Teaching and Learning Policy*.

The management of quality in SL programmes and related arrangements is the responsibility of the relevant academic department and the faculty. It is conducted in accordance with the provisions of the CE Policy as well as any Academic Programme Policy and Faculty Policy, as approved by Senate.

The fact that relatively few programmes currently have an SL component, may in part be ascribed to the UJ only recently having approved a formal CE Policy (Senate, 17 July 2008). The CE Policy and the SL Policy (to be replaced by the integrated new CE Policy) are essential for further integration of SL into academic programmes. Many programmes will need to be re-designed to meet the needs of the recently gazetted HEQF (5 October 2007). This provides an opportunity for further integration of SL into academic programmes.

A brief overview of the SL arrangements and the quality mechanisms of programmes that already have SL as part of the programme follows.

7.4.1.1 Faculty of Education

The Faculty collaborates with 10 schools and a community organisation in integrating SL for pre-service teacher education students (BEd and PGCE), BEd (Hons) school counsellors and M Ed (Educational Psychology) students. Pre-service students offer 3-5 hours of service per week in the partner organisations for the year, and BEd (Hons) students complete a six-month period at the school. Students are placed at the school for this period and follow the normal school hours. A CE officer does the liaison work and there is also a CE team that oversees SL and other CE activities in the Faculty.

7.4.1.2 Faculty of Health Sciences

In their final year of study, B Optometry students serve on the Pelophepa Train, which brings health services to rural communities. A two-week compulsory rotation is required of all fourth-year students in compliance with approved regulations. There is no formal result attached to the service, but all students are assessed on the train, and the number of patients seen on the train count partially towards the total number of patients that need to be seen, as required by the Professional Board of Optometry and Dispensing Opticians.

7.4.1.3 Faculty of Law

All LLB students are expected to complete 80 hours of supervised Service Learning in one of the UJ Law Clinics. This clinical component is amplified and supported by the theoretical academic course in Applied Legal Studies, presented in the final year of LLB, consisting of six modules, namely: communication, ethics, divorces, drafting of pleadings, small claims courts and specific aspects of criminal law. While the Director is responsible for the lectures, the Clinic Principals who are involved in day-to-day litigation furnish continuous input and updates from daily practice, to be assimilated into the course. From January 2008, the course was adapted into a compulsory semester course, and certain aspects of the course changed slightly in order to add value to the student experience.

7.4.1.4 Other faculties

The National Diploma in Sport Management in the Faculty of Management, and the National Diploma in Public Relations in the Faculty of Humanities are further examples of formal qualifications with an SL component.

A quality management cycle for SL that is similar to that proposed for WIL is suggested. At the time of writing this still needs to be agreed on at the UJ. Key, however, will be the preparation of students and community partners for the SL, clear guidelines as to the learning and assessment outcomes and the identification of acceptable and approved community partners. Insurance issues are a crucial aspect of programmes where students are expected to complete academic learning outside the UJ campus. The UJ has taken this into account (UJ Insurance/Risk Management).³⁴⁵

7.4.2 INTEGRATED CURRICULA

Integrated CE is a philosophy and methodology that can assist the transformation of Higher Education. If CE is injected into formal curricula it can revitalise the theoretical project by contextualising knowledge in a manner that will prepare students for the world of work. The University's goal of a holistic student experience (see descriptor of Strategic Goal 9 in Table 1.2) will be enhanced through the integration of CE into formal curricula and cemented into the rhythms of teaching and learning. The initial workshop on *Integrating CE into Faculty Curricula*, referred to in par. 7.3.3, explores these concepts.

The Faculty of Science is an example of teaching and learning that engages with societal issues through a responsive and socially integrated curriculum. Issues such as HIV/Aids awareness is built into appropriate curricula for students in the Faculty and examples are used from the South African and African context.

7.4.3 NON-SUBSIDISED PROGRAMMES

The integration between teaching and learning and CE is visible in the offering of non-subsidised programmes that are offered by the various faculties (see par. 4.5.2). Of special note is the Faculty of Humanities, which has the exclusive mandate to train Local Government through the Department of Public Governance. Quality arrangements for non-subsidised programmes are fully integrated with those for teaching and learning, as these courses are presented by the various faculties and staff members who also perform the normative teaching and learning (par. 3.4.2). Each faculty oversees and implements its own specific quality arrangements for the non-subsidised programmes it presents.

Note that in terms of the revised CE Policy, non-subsidised programmes that are being paid for by community members are not part of CE.

7.4.4 CENTRES OF EXCELLENCE

Certain programmes have achieved flagship status through their sustained success in integrating CE and experiential learning (WIL and/or SL). The Law Clinic (Department of Law) presents such a flagship. The Law Clinic started in 1981 and provides free legal services, while giving training in a supervised environment,

³⁴⁵ UJ Insurance/Risk Management.

dealing with live clients. There are four separate localities under the leadership of Clinic Principals, reporting to the Director of the Law Clinic.

TechnEd is an initiative that promotes technology awareness and literacy among all strata of the South African community. Under the Faculty of Education the TechnEd Centre engages students and community stakeholders through practical work that uses technology in education. This forms part of the national education policy as an integral part of Science, Engineering and Technology (SET) through learning programmes, research projects and community engagement.

7.4.5 RESEARCH: APPLIED AND PARTICIPATORY ACTION RESEARCH

Participatory Action Research (PAR) is not only a research tool, but a means for HEIs to engage with communities and interact on an equal footing in creating, disseminating and implementing knowledge. When research goes beyond the academic sphere and moves out of the library into communities, it can be seen as legitimate Community Engagement. For example, in 2008 Industrial Design students did research on charcoal stove efficiency, and their findings were disseminated to communities, while members of communities were trained in the production of such stoves. In this way, research extends to actual engagement for the public good.

7.5 COMMUNITY ENGAGEMENT PROJECTS AND PROGRAMMES

7.5.1 OVERVIEW OF CE PROJECTS AT THE UJ

The Community Engagement Office conducted a CE Audit in 2008 to record the University's involvement in community development.³⁴⁶ A questionnaire was compiled and sent to the entire UJ staff and student community by means of a circular on the intranet. Executive Deans were separately informed of the audit and requested to distribute the questionnaire in their faculties. Respondents were requested to disclose the CE projects/programmes that they were involved in.

A total number of 131 projects were recorded in the responses received. The majority came from student bodies such as the Rag - which recorded 33 projects, the Student Development Society with 11 projects, and the ABZ project with 15 projects. The majority of these projects were within Gauteng, but eleven were outside Gauteng but still within the borders of SA in areas like East London, Vembe in Limpopo Province, and Brits in the Northwest Province. Two international projects were recorded in Mozambique and in Canada (collaboration with Art for AIDS, a Canadian-based NPO, to raise funds for AIDS victims in Africa) respectively. Beneficiaries of the projects predominantly include the vulnerable members of the communities, mainly school learners, women and young children as well as sometimes entire targeted communities. Projects include psychosocial support and upliftment, training as well as research programmes.

³⁴⁶ UJ Community Engagement Audit Report.

The financial commitment for all the projects came to approximately R19 m. Not all the funding was by the UJ and some came from project partners and external donors, earmarked for individual projects.

7.5.2 ORGANISED OUTREACH PROGRAMMES

It is important for the University of Johannesburg to have continuous interaction with its stakeholders in a structured way to enable community outreach. The aim is to place the University's expertise at the disposal of the community, through the provision of continuing education, by hosting conferences, public debating platforms, sports facilities and cultural events and in other ways. Notable examples of community involvement of the University and its internal communities are the following:

7.5.2.1 Internal: Outreach to disadvantaged students

The Centre for Psychological Services and Career Development, under the directorship of Prof. H.G. Pretorius, undertook a Food Bursary Project at the UJ in January 2008. Students who are identified as underprivileged receive a food bursary, subsidised by the University.

These students are further empowered by attending a life skills programme involving the following aspects:

- | | |
|-----------------------------------|---|
| • Nutrition | Looking for a part time job |
| • CV writing | Interview skills |
| • Entrepreneurial skills | Time management |
| • Stress management | Self-esteem and self-empowerment |
| • Creative problem-solving skills | Vulnerability of students from disadvantaged backgrounds. |

7.5.2.2 Metropolitan: Collaboration with NGOs, CBOs and/or FBOs

Collaboration with social institutions can greatly enhance the community outreach of the University and add value to the efforts of those groups who already work for the public good of society. An example of a partnership with a Faith-Based Organisation (FBO) is the partnership with Metro Evangelical Services (MES), which takes care of poor children in the Johannesburg inner-city. An example of a Community-Based Organisation (CBO) is the ABZ Foundation, which also works with street kids in Johannesburg.

7.5.2.3 Metropolitan: Sundowner concerts

A popular feature of the University is the Sundowner concerts on Mondays, which are open to the public and free of charge.

7.5.2.4 Regional: Educationally disadvantaged learners

One of the University's premier CE programmes is the Metropolitan Rand Afrikaans University College for the Advancement of Learning and Leadership (RAUCALL). It was established as a crucial part of the former RAU's (now University of Johannesburg) social responsibility programme. Established in 1992 as the only project of its kind, it sought to provide opportunities for selected high school learners from disadvantaged communities with the potential to study at tertiary education

institutions. This programme has won the International Business Award's prestigious 'Stevie' in 2008 for being the best Corporate Social Responsibility program in Africa and the Middle East.

7.5.2.5 National: Phumani Paper Project

Phumani Paper is a CE project initiated by the Faculty of Arts, Design and Architecture that engages rural woman and provides full-time employment for more than 30 people. The program is anchored in research in papermaking and includes an archive mill that makes acid-free archival paper. Phumani is a well-established project with its own management, accountability and quality management structures. These include a Board of Directors and the use of contracted independent consultants.

7.5.2.6 National: New Generation Scholarship Programme

All additional financial and other forms of support the University offers deserving students meet all the criteria to warrant being classified as CE in terms of the description in par. 7.3.2(a). One notable example is highlighted. In 2008 the University introduced the New Generation Scholars Programme³⁴⁷ that enables some of the best young minds in the country to enrol for research degrees at the UJ. Not only will successful candidates' studies be sponsored in full, but they will be guaranteed employment at the UJ on completion of their studies. See par. 6.4.4 for more details.

7.5.2.7 International: Manica Project

The University has also been running a successful CE program in Manica, Mozambique since 2006.³⁴⁸ This initiative is a prime example of UJ commitment to the SADC region. The program is unique in that it involves collaboration with a SADC Research Centre in presenting a holistic development programme. A specific account has been set up for this programme, and besides the intellectual capital, the UJ contributes over R300 000 annually to this programme. Regular newsletters and actual site visits form part of quality management. The success of this programme has led to the involvement of Arsenal Football Club and official partnerships with the Laureus Sport for Good Foundation and Barclays Mozambique.

7.5.2.8 Soweto Campus

Finally it can be noted that the University of Johannesburg will make a relatively huge investment in the SWC campus over the next three to five years (see par. 3.2 of *UJ @ a Glance*). Soweto, in many ways, lies at the heart of South Africa's psyche as a symbol of struggle and democracy. The SWC is an ideal launching pad for community outreach and a major portion of the UJ's CE resources over the next five years can be expected to be channelled to Soweto through the SWC.³⁴⁹

7.5.3 INTERNAL STAKEHOLDER INVOLVEMENT

³⁴⁷ Advertisement for *New Generation Scholarship Programme*.

³⁴⁸ Manica: Grupe Desportiva de Manica Development Programme.

³⁴⁹ Approved Strategic Plan for SWC development.

Various UJ stakeholder bodies are also actively involved in CE projects in their own right. A few are mentioned.

7.5.3.1 Student involvement

The holistic student experience is of high priority to the UJ and in this regard promoting student initiative and expression lies at the heart of student-driven initiatives such as residence outreach programmes and Rag. Residences have compulsory CE portfolios. Critical cross-field outcomes, addressed through these outreach activities, are not formally linked to teaching and learning, yet they contribute to experiential learning in an informal yet authentic environment, allowing the students to become more aware of the needs of civic society. These outreach programmes are embedded in a tradition of volunteerism and philanthropy, are important to the students, and are supported by the UJ.

It has already been noticed from the CE Audit mentioned in par. 7.5.1 that the students are very involved in their own community outreach programmes. These are all self-funded, mostly through the proceeds of the Rag. Student involvement is also addressed in par. 9.2 of Student Life @ UJ.

7.5.3.2 Faculties' involvement

Faculties have many community outreach programmes. One example of how a faculty uses its intellectual capital in unique ways to add value to the communities involved is the involvement of the Faculty of Economic and Financial Sciences, through its Department of Accounting, in the Thuthuka Project. The South African Institute for Chartered Accountants (SAICA) introduced this project to transform the accounting profession. The University contributes in three ways:³⁵⁰

- The Department of Accountancy runs an Equity Development Programme that provides academic, social and financial support to African and Coloured students enrolled for the B Com (Accounting) degree. The first group of students on the programme graduated with the honours degree and the Certificate in the Theory of Accounting (CTA) in 2008.
- Lecturers at the UJ assist African and Coloured students who failed Part 1 of the Qualifying Examination of SAICA in their preparation to rewrite the examination. The first time this programme was run was in 2007, and it proved to be such a success that the lecturers were requested to repeat the programme in 2008.
- The UJ was involved in capacity building projects at the University of Fort Hare (UFH) and the University of Limpopo (UL) to obtain accreditation from SAICA for their B Com (Accounting) degrees. UFH was the first to become involved and has already obtained accreditation. The project continues at the UL with funding from the National Department of Labour.
- The Department of Entrepreneurship houses the UJ SIFE Team (see par. 7.5.5).

7.5.3.3 Alumni involvement

³⁵⁰ Faculty of Economic and Financial Sciences: Support of the SAICA Thuthuka Project.

The Alumni Association of the University of Johannesburg awards merit bursaries to underprivileged members of the UJ community and thereby helps to encourage tertiary education amongst these groups.

The network of UJ alumni also annually engages with local communities by hosting practical workshops to support skills development. This stimulates entrepreneurial activities in communities where the lack of job opportunities is often at the root of the socio-economic problems. The Alumni Relations Office assists in communicating information about needs and problems in the local communities to its alumni network in order for the network to be mobilised as an aid instrument for the local disadvantaged communities. The Office has also established a mentoring programme whereby successful graduates take the lesser privileged students on as protégés and, in doing so, provide them with access to sophisticated skills and resources.

7.5.4 PUBLIC SCHOLARSHIP

Public scholarship involves the utilisation of the human capital of the University for the benefit of the general public. It takes many forms:

7.5.4.1 Platform for Public Deliberation

To enhance quality in the area of public lectures, a Platform for Public Deliberation (PPD) was established in 2008, reporting to the Executive Director: Institutional Advancement. These public lectures promote the general commitment of the UJ to Public Scholarship, which is not about members of the academic community lecturing to the public but a process of co-generation of knowledge. There is thus an epistemological and educational value to public scholarship, which is really about enhancing the University's ability to engage with complex societal problems. The lectures will sometimes be held in partnership with different institutions outside the University, and on the various campuses.

The PPD under the leadership of Dr Xolela Mangcu, a well-known commentator and intellectual, provides the infrastructural support for these lectures. In essence this means drawing upon Marketing and Event Management support. The lectures are planned in coordination with the Executive Director: Institutional Advancement and the DVC: Research, Innovation and Advancement by first identifying the themes, and then the best persons to address these themes.

What differentiates the debates, arranged by the PPD from many similar debates taking place in the country, is that they involve the main political actors themselves. The agenda for 2008 entailed lectures by a number of high profile leaders:

- Mr Harry Boyte, a member of then presidential candidate Barack Obama's urban policy team who launched the Platform in June 2008;
- Mr Bantu Holimisa, the leader of the United Democratic Movement;
- Mr Gwede Mantashe and Prof Barney Pityana. On 3 September the Platform hosted a public debate between the Secretary-General of the ANC, Mr Gwede Mantashe, and the Vice-Chancellor of the University of South Africa, Prof Barney Pityana;

- Mr Jacob Zuma. The Platform hosted ANC president Mr Jacob Zuma in a jam-packed meeting that was widely covered in the media.

When the announcement of a breakaway group from the ANC was made, the PPD made sure to be one of the first to invite the protagonists:

- Mr Jeff Radebe spoke in support of the ANC. He was joined on the platform by another member of the ANC National Executive Committee, Mr Ngoako Ramathlodi;
- Mr Mbhazima Shilowa addressed the audience on behalf of the new party, COPE. His presentation received prominent coverage in the media;
- Mr Pallo Jordan of the ANC's National Executive Committee delivered an address that also received prominence in the media.

The Platform received a pledge to the sum of \$100 000 from Mvelaphanda for a project to be conducted together with the Brookings Institution during the period September 2008 to June 2009.

7.5.4.2 PPD publications

In addition to numerous newspaper articles about the Platform, Dr Mangcu has been featured on various local radio stations, notably SAfm, Radio 702 and Umhlobo Wenene. He has also been used as an analyst by National Public Radio (US), CNN and BBC, Al Jazeera and SAPA news service, as well as SAPA television. He also wrote many feature articles. A listing of the more prominent publications is available in the Evidence Room.³⁵¹

7.5.4.3 Election Forum collaboration between the UJ and the SABC

In late 2008 the UJ negotiated an agreement with the SABC to participate in running a weekly prime-time Election Forum that will filter across all the public broadcaster's media platforms: television, radio and news media. The Forum opened at the UJ on 18 January 2009 with a debate on crime and corruption in South Africa, chaired by Mr Tim Modise. It is the primary SABC pre-election forum with the UJ providing advice on topics, panellists and venues for these broadcasts. Not only does this provide an important service in the run up to the elections but it also advances the University's public visibility and brand.

7.5.4.4 Faculty lectures

Besides the Public Platform for Deliberation, the University runs a number of public lectures through its various faculties. The collective impact of these public engagements has been that the UJ has firmly established itself in the public domain as an intellectual hub and 'thought leader' for the broader community. The University sees this engagement as a vital part of our CE efforts.

7.5.4.5 Media exposure of staff members

Many UJ academic staff has engaged with mainstream and specialist media, both locally and internationally. So have the University's leaders. The Vice-Chancellor, for example, has written articles for, inter alia, the Sunday Times and Business Day, and

³⁵¹ List of prominent articles by Dr Xolela Mangcu of the Platform for Public Deliberation.

there has been a huge increase in engagement across many local and international media platforms by individuals such as Professors Adam Habib and Steven Friedman, both of whom have become key media touch points on a range of subjects impacting on South African life. This kind of engagement is seen as being a critical aspect of the UJ's community engagement.

7.5.4.6 Media exposure of the University

The University has a broad community outreach through its engagement with local, specialist and mainstream media. By means of public, inaugural and faculty lectures through the UJ's PPD and in terms of short-term collaborations with mainstream media platforms, lectures and debates in the public space are disseminated to the general public. This is a key CE activity taking intellectual capital beyond the walls of the academy and sharing it with the general public, assisting them to form opinions and make informed decisions on the basis of the robust intellectual engagement happening at the UJ. In addition, all these lectures and debates are disseminated through the University's own website and are archived both there and, in the case of the PPD, on the platform's own dedicated website.

Added to the above is the University's communications effort, which maintains a steady stream of information to the general public through media releases and daily updates on the UJ website. These media releases share the University's intellectual capital with the media, which in turn disseminates it to the general public.

7.5.4.7 Public events

Interacting with the general public through events, public lectures, newspaper articles and comments, TV and radio interviews on issues that are of mutual interest to both the University and the 'man on the street' is not the only area that is receiving increasing attention at the UJ. Arts also play a significant role in addressing social issues and promoting the sharing of ideas and knowledge. Conferences, particularly international conferences, present another example of public scholarship. One such example is the 10th International Water Distribution System Analysis Conference that the University is formally associated with. The sponsorship of this event by Rand Water demonstrates the focus on and necessity for partnerships to facilitate such a scholarship of engagement.

7.5.5 UJ SIFE TEAM³⁵²

Students in Free Enterprise (SIFE) is an international organisation, established in 1975, to improve the living standards of the needy throughout the world. This it does by teaching the principles of free market economics. The partners in this enterprise are Universities that train students to teach others to understand the principles of the free market.

At the University of Johannesburg the UJ SIFE team has been located in the Department of Entrepreneurship. The responsibility of working with the students in community outreach projects is coordinated by a faculty adviser. From the time SIFE was located in the Department of Entrepreneurship, the following projects have been undertaken:

³⁵² Department of Entrepreneurship: UJ SIFE Team.

7.5.5.1 Siyampambili Schools Project (2005 to date)

This project involves the UJ SIFE team working with an NGO in Soweto to grow calendula flowers for oils and the petals for colours used in painting. Fifteen schools in Soweto were involved in this project. As a commercial venture, workshops were held in the schools by the students and outside service providers assisted in developing technical skills.

7.5.5.2 The Manica Land Bakery Project (2006)

With assistance from the Faculty of Management a team of UJ SIFE students worked in Manica in Mozambique to assist the community with a bakery. The students imparted critical entrepreneurial skills to the community and the project is currently making profits. The project was concluded, but the University itself is still actively involved in Manica (see par. 7.5.2).

7.5.5.3 Weiler's Farm: Mpumeleo Women Beads and Crafts (2007 to date)

A group of 15 unemployed women received creative skills training and started a beads and crafts project in Weiler's Farm and the surrounding areas of Vlakfontein, South of Soweto. Ongoing business training has been provided, including mentorships to open a CC and simple business procedures like invoicing, contracting etc. The core trainers have also been used to train other women's groups to create the needed impact in the other communities, and the UJ SIFE has acted as the broker for this. This women's group has secured contracts from SIFE international and SIFE SA for badges.

7.5.5.4 Sir Elton John Foundation in Eldorado Park (2008 to date)

There are three projects currently running at the Sir Elton John Foundation:

- Bakery project. Students from the School for Tourism and Hospitality have joined UJ SIFE students to assist women volunteers in the efficient use of baking equipment.
- Bead work. Volunteers and members of the community are trained in bead work. The first group has already filled its first order with VW SA.
- Fashion design. Students from the Faculty of Arts, Design and Architecture are working with a small youth group in fashion designing.

7.5.5.5 Abraham Kriel

Abraham Kriel is an orphanage and it graduates its clients once they have reached a certain age. These orphans usually graduate only to find themselves unemployed on the streets. The UJ SIFE identified a service to train these orphans. The aim is to make the orphans independent upon leaving Abraham Kriel by engaging in arts to generate income.

These artists were also taken by UJ SIFE to go into Region 5 to train street children in painting. These have been linked to the Black Art Galleries, exhibited at the Inspirations Exhibition in 2008, registered with the Water Colours in Four Ways and have exhibited at the Black Like Us exhibition. Some of these paintings by the street kids have been sold in the Netherlands.

7.5.5.6 2008 Annual SIFE Competitions

In 2008 UJ SIFE entered the national SIFE competitions and won four awards: 3rd place overall for the Eskom Challenge; 1st Place for the HBSC Financial Literacy Award; 2nd place for the Khula Sustainability Award and 2nd place for the Eskom Business Ethics Award.

7.5.6 ELLEN KUZWAYO COUNCIL AWARD

The annual Ellen Kuzwayo Council Award gives recognition to outstanding contributions by an individual over an extended period of time to the promotion of the well-being of the institution and/or society in respect of matters in which the institution has a particular interest and that goes beyond the boundaries of teaching and research. This gesture is a further effort from the UJ to celebrate individuals who have community engagement at heart and actively seek to improve the lives of those in need.

7.6 REGULAR REVIEW OF THE EFFECTIVENESS OF QUALITY RELATED ARRANGEMENTS FOR COMMUNITY ENGAGEMENT

The CE Policy (as well as the draft new policy) is clear on the issue of quality management of CE:

The institutional requirements, as stipulated by the HEQC, including the management of the quality of the planning, design, development, resourcing, implementation, monitoring, evaluation and review of community engagement programmes/projects to ensure quality and continuous improvement, are the responsibility of the relevant faculty and academic department or division.

Regular benchmarking is done by the CE Office against other higher education institutions in South Africa and abroad. In 2008, the CE Office carried out an internal audit to determine the CE activities and programmes that are executed by persons or structures in the University of Johannesburg referred to in par. 7.5.1. The audit results are available in the Evidence Room. During 2008 a survey was also conducted under the ten most prominent community engagement partners of the University of Johannesburg to determine their experience in their engagement with the institution, and what they understand an 'engaged' institution to be. The results can be accessed in the Evidence Room. Surveys and internal audits such as these will be undertaken annually by the central CE Office and the outcome will be captured on the CE database.

7.6.1 CE ADVISORY BOARD

The inclusive process of writing a CE policy pointed out various shortcomings, most notably in the areas of evaluation and review. The policy instructs the creation of a CE Advisory Board, to function as an advisory board and regulating body. This Board is expected to ensure effectiveness through mandatory diversity of stakeholder representation and adherence to its envisaged charter.

7.6.2 SENATE AND/OR COUNCIL COMMITTEE FOR CE

The University is currently discussing the advisability of creating a specific Senate and/or Council Committee to monitor, evaluate, celebrate and review CE on an

annual basis. If this proposal is accepted, a separate CE Advisory Board may no longer be necessary.

7.6.3 SELF-REVIEW

Currently self-reviews, primarily through annual reports, form the spine of evaluation and review pertaining to CE at the University of Johannesburg. This is positive since it is the same mechanism and reporting structure used for the evaluation of teaching and learning, and research.

7.6.4 PEER REVIEWS

The UJ is looking towards the creation of partnerships with other HEI's to the purpose of reviewing our CE. UKZN, UOFS and NMMU are currently being interacted with and this process also deals with deciding on relevant benchmarking*.

7.6.5 STAKEHOLDER REVIEWS

The need of systemic and regular stakeholder reviews for CE has been identified and a world-class evaluation tool has been developed by the Sport Department that addresses both qualitative and quantitative analysis. This model needs to be adapted to incorporate a wide range of activities so that regular research can be conducted to evaluate long-term projects.

Although not a systematic review, a limited survey of internal stakeholders' perceptions of CE at the UJ raised some interesting points. At the internal workshop to discuss the integration of CE into faculty curricula, participants were *inter alia* presented with a questionnaire on internal stakeholders' perceptions of CE at the UJ. Although the response could not be interpreted as representative of UJ staff perceptions, some interesting perspectives emerged:

The majority viewpoint was that the University is only *to a certain degree* living up to the idea of being an engaged University. Impediments to being an engaged university were identified to be lack of proper communication, lack of funds and lack of time. This seems to indicate that CE is not yet a high priority at the UJ. The Law Clinic, Phumani Paper and RAUCALL got credit as flagship projects of the UJ.

7.7 ENGAGING THE COMMUNITY

The University declares itself in Strategic Goal 4 to be an *engaged university* with a descriptor that articulates an intention *(t)o add value to external constituencies through strategic initiatives and partnerships* (see Table 1.2). While this descriptor and the relevant KPIs, as well as the thrust of the relevant HEQC Audit criterion (Criterion 18), is about adding value to communities through CE, the question as to what the University does to show its sensitivity to the communities in which the campuses are located, also warrants attention in an SER of this nature. The University acknowledges from the outset that there is room for improvement, but wishes to illustrate its good intentions in this regard by mentioning some of the steps already taken:

- University playing fields are often located in the communities and sporting events, particularly in the evenings, can be experienced to disturb the neighbours. The

Sport Bureau has the practice to distribute leaflets in advance to households in the immediate vicinity of a sports venue to inform them about forthcoming events.

- The establishment of community fora for all campuses is a communication initiative under consideration. Initial responses indicate that the Stakeholder Forum in Soweto, the first of its kind, is well received by the Soweto community.³⁵³
- The first investigations into the future of the SWC and ERC campuses involved representatives of local government as well as other stakeholders on the task teams, and surveys of members of various constituencies in the communities were undertaken.³⁵⁴
- The door of the Vice-Chancellor and other members of the MEC stands open for any member of the public with a legitimate concern regarding the potentially detrimental effect on his/her well-being of perceived adversarial actions by the University or campus communities.
- Major decisions affecting the community are made public through the local media.
- The University liaises with community leaders where deemed necessary.

It is not always possible for the University to acquiesce to community requests and demands, and particularly within the Ekurhuleni community there is a deep-felt disappointment because decisions regarding the future of the ERC campus are still bogged down in negotiations.

7.8 CRITERION 18

Criterion 18: Quality related arrangements for community engagement are formalised and integrated with those for teaching and learning, where appropriate, and are adequately resourced and monitored.

By exploring aspects of the criterion, with due cognisance of the related examples quoted in the HEQC Audit Manual (see listing of the criterion at the beginning of the chapter), it will be endeavoured to show that the University has made significant progress in meeting the requirements implied in the criterion:

- The UJ has a policy on CE (see par. 7.3.3) It also has a policy on WIL and SL. These policies have been formally adopted by the University. However they are not cast in stone and in the same paragraph it has been indicated that, in the light of the viewpoint that WIL and SL should be separated, with SL and CE combined in one integrated policy document, a revised CE policy, incorporating SL has been drafted. It is in an advanced stage of adoption by the University.
- Service Learning is the prime example where sensitivity of the needs of communities is brought to the attention of students in appropriate programmes. With SL and organised outreach being placed under the single umbrella of CE, in

³⁵³ Centre for SE and CSR: Stakeholder Constitution.

³⁵⁴ SWC and ERC: initial task team reports.

terms of the revised CE policy, the potential for integration into academic programmes is greatly enhanced.

- In par. 7.3.2 it has been described that CE is part of the Institutional Advancement Division and is being resourced as an integral part of that division. As such it can rely on explicit consideration in terms of budgeting and staffing. There are no guarantees though.
- In par. 7.6 the structures and arrangements for the regular review of the quality-related arrangements for CE are described. Notable is the devolvement of responsibility to existing structures in the University that have established quality arrangements. SL in particular, which is such an integral part of CE, is part of formal teaching programmes and as such subject to the quality arrangements for teaching and learning as administered by the faculties and departments (see par. 7.4.1).

While there is not yet enough of a history to comment from a basis of experience on the effectiveness of these arrangements, there is enough reason to have confidence that CE will be well steered and quality managed. This will *inter alia* require properly designed impact studies in future to measure the effectiveness of CE initiatives.

7.9 SELF-REFLECTION

The University of Johannesburg aims to improve its delivery of accredited community engagement activities within the next five years. The areas that have been identified for self-improvement are:

- Align CE Policy with other relevant UJ policies
- Create and maintain a web-based CE Database
- Promote inter-faculty standardisation for CE Quality delivery
- Implement the CE Policy
- Initialise training and capacity building interventions
- Establish formal and regular peer reviews
- Improve internal and external communications that explain the interrelatedness of the UJ's Teaching and Learning, Research and CE
- Create a CE advisory and regulatory body
- Establish a web-based application process for external stakeholders (including criteria for accepting new initiatives)
- Optimise the role of Strategic Partnerships in the delivery and quality enhancement of institutional CE initiatives.

7.10 CONCLUSION

CE is not only a practical tool towards wider transformation within the South African context, and more specifically of Higher Education Institutions, but it is also

recognised for its importance in assisting the University of Johannesburg with its transformation *from merger to(wards) unity*. It is integrated into the UJ Vision, Strategic Goals and Quality Plan in such a way that CE impacts on departmental, faculty and management levels in terms of meaning and scope. The University aims to ensure that it has significant and relevant community impact by:

- involvement in issues of importance to developing nations worldwide, but especially those relevant to Southern Africa, by developing expertise in appropriate academic areas;
- aligning curricula and learning materials to the needs of our country, where appropriate;
- engaging in research, relevant to the communities it serves;
- encouraging postgraduate students and researchers to work in these areas;
- encouraging service delivery to our communities through focused and structured community engagement;
- becoming a driver of economic development and competitiveness and hence a force for social change and empowerment.

The University of Johannesburg thereby strives to be a knowledge organisation that is scholarly and socially responsive.



CHAPTER 8

Self-Evaluation

HEQC Criterion 19

CRITERION 19

The institution engages in benchmarking, where appropriate, and draws on user surveys and impact studies in the process of planning and setting of priorities for quality development and enhancement.

Examples

- (i) Benchmarking on a regular basis against internal and external reference points for the purposes of goal-setting, improvement, and establishing institutional reputation and competitive edge.
- (ii) User surveys undertaken on a regular basis to obtain feedback for quality improvement from a range of stakeholder constituencies, e.g. student satisfaction surveys, graduate tracking surveys, employer satisfaction surveys, etc.
- (iii) Impact studies undertaken on a regular basis to assess the effectiveness of quality assurance and quality enhancement systems for the core functions of the institution.
- (iv) Regular review of the effectiveness of benchmarking and the extent to which survey findings are utilised for priority setting and quality enhancement.

8. SELF-EVALUATION

8.1 OVERVIEW OF THE CHAPTER

The preceding chapters in the SER are devoted to the UJ's core functions and their concomitant clusters of HEQC Audit Criteria. In these chapters, numerous references to the Strategic Goals of the UJ (listed in Table 1.2 and discussed in Chapter 1) are made - explicitly, and sometimes implicitly. In this chapter, the seven previous chapters are revisited, from a holistic perspective. This is done by focusing on Criterion 19 and the open-ended questions in order to come to a final conclusion on the UJ's achievements and concerns phrased within the context of the audit theme of *from merger to(-wards) unity*.

The contents of this chapter are organised as follows:

- HEQC Criterion 19 on benchmarking, surveys, etc. Although this has been addressed in the majority of chapters, in this chapter the criterion is explicitly addressed and a self-reflection presented on the UJ's achievements and concerns.
- This is followed by the UJ's response to the four HEQC open-ended questions. These questions require an overarching perspective on the UJ's achievements (or the lack thereof), while highlighting individual projects, achievements, etc. A fifth, UJ-specific question was added, namely *What progress has been made in terms of the UJ Audit Theme: from merger to(-wards) unity?*
- The final section presents a synthesis of the University's self-evaluation report, via the provision of our own answer(s) to the following question: To what extent has there been an institutional sense (cast in the light of the quality audit criteria) of merger towards unity?

8.2 SELF-REFLECTION: CRITERION 19

Criterion 19: The institution engages in benchmarking, where appropriate, and draws on user surveys and impact studies in the process of planning and setting of priorities for quality development and enhancement.

The different examples are addressed by referring to relevant projects and achievements, but the purpose is not to provide an exhaustive list of benchmarking projects, surveys, etc. The approach here is to provide a narrative on the UJ's achievements. A conclusion that integrates all the reflections on the individual examples and identifies areas for improvement is presented at the end of this section.

8.2.1 BENCHMARKING

For the purpose of this example, benchmarking may be explained as the process used when organisations or institutions evaluate various aspects of their processes in relation to best practices, usually within their own sector. Internal and external benchmarks may be both quantitative (mostly measurable performances, outcomes or characteristics) and/or qualitative (protocols, procedures for certain processes or practices) in nature.

The (sometimes) fuzzy distinction between benchmarking and comparative studies is acknowledged, and the discussion does include practices that are more comparative in nature than benchmarking. Such cases are included when they serve the same purpose as benchmarking, i.e. to improve the effectiveness and efficiency of the University, specific faculties, divisions, etc., but also the quality of cross-cutting functions such as research, teaching and learning, etc.

8.2.1.1 Institutional benchmarking

A number of institutional benchmarking practices are briefly unpacked here:

(a) Data-sharing and benchmarking project

The former Office for Institutional Effectiveness (known as DIPQP since 2008) collaborated with a private business entity to establish a national benchmarking project in 2006. Ten South African higher education institutions (HEIs) became part of a national data-sharing and benchmarking project. The original purpose of the project was to keep these HEIs informed on their institutional position (rather than the other project participants) with regard to various strategic performance indicators. This initiative is currently managed through HEDA (Higher Education Data Analyser) and can be accessed on the UJ intranet.³⁵⁵ Only audited and HEMIS data in the public domain is used and UJ findings are regularly disclosed to all ELG members for deliberations aimed at the real purpose of benchmarking, namely to utilise these external reference points for revised institutional goal-setting, improvement plans and reputation-building strategies.

³⁵⁵ HEDA intranet address: <https://mis.uj.ac.za/heda/fsmain.htm>.

(b) ELG benchmarking

Since 2007, the UJ has been following a system where each member of the Executive Leadership Group (ELG) is expected to report annually on the strategic progress of their respective faculties/divisions (see par. 1.9). These ELG members are firstly expected to report on the progress made in terms of the strategic goals set for their faculties/divisions, and to relate their progress (or lack thereof) to the achievement of the strategic goals of the institution. Secondly, the ELG members have to benchmark their faculties/divisions (in terms of the performance indicators specified in their strategic plans) to three corresponding external faculties/divisions. They have to provide a rationale why these external peers were in fact chosen (and of course the necessary comparisons have to be made with regard to these performance indicators). These reports (including the benchmarking) are then used as a basis for further planning.

(c) Annual academic review

Benchmarking is also employed as part of the annual academic review in the institution. During the annual Council workshops in November, the DVCs have to report on progress made in their portfolios. These reports include, for example, comparative analyses of faculties in terms of shape and size, formal, extended and non-formal programmes, etc.³⁵⁶ They also involve comparisons with other institutions and a retroactive linking to various strategic institutional priorities. For 2009 these include, *inter alia*, an increased intake of postgraduate students (an improvement in FTE/Headcount ratios), focusing on postgraduate throughput, and further improvement in degree credit success rates, with the emphasis on high-risk modules. Benchmarking findings and survey results are furthermore fed into the quality improvement priorities of the institution. Ongoing improvement in student degree credit success rates and graduation rates, with the goal of achieving the DoE benchmarks/targets, for example, is considered a priority at the UJ and there has indeed over the last number of years been an annual improvement in degree credit success rates (see par. 4.4.3).

(d) Integration and Renewal Project

Although a once-off process, benchmarking within the administrative and operational spheres of the institution has played an important role post-merger in goal-setting, improvement and the establishment of an institutional reputation and competitive edge after the merger. The so-called Integration and Renewal Project (see par. 6.2 in *UJ @ a Glance*) had as its prime focus the restructuring of service and support divisions and units in the UJ and provided a major input to the substantive merger. The project not only resulted in a restructuring process that affected all aspects of the University, but also provided a collaborative approach that achieved structural and functional integration when benchmarked against best practice models (see par. 6.2 in *UJ @ a Glance*). Not only was the Integration and Renewal Project at the UJ identified as a 'benchmark' process for other merging institutions by the DoE Merger Unit, but it also created much interest in institutions that were interested in benchmarking their restructuring process against the UJ process.

³⁵⁶ Academic Review Council Workshop, November 2008.

8.2.1.2 Decentralised benchmarking

In this section, internal and/or external benchmarking employed by faculties, divisions, departments and/or units of the institution, but also of core functions across faculties and functions is addressed. Only a few benchmarking practices are highlighted here.

The complex nature of the UJ, based on the number of students, campuses and programmes, created a need for an internal benchmark mechanism for administrative support staff allocation. It was necessary to allow not only for the size and shape, but also for the complexity of a faculty. These internal criteria, developed by Academic Administration, agreed, for example, on the number of Faculty Administration employees on the basis of the employee-student ratio for each (see par. 5.5). Improvement proposals based on the self-evaluation and peer review of Central Academic Administration at the UJ proposed that additional benchmarking imperatives should be continued, and that conferences (e.g. ITS User Group/TIFAF) and consultations with other universities i.e. public forums, should be utilised on a regular basis (see par. 5.5.4).

Whilst experiencing considerable logistical constraints, as well as rapid staff turnover at the UJ, a benchmarking exercise was undertaken with other Academic Development and Support (ADS) units at South African universities to determine the scope of their activities, staff complement, etc. This highlighted the need to consider appointing ADS staff on academic conditions of service and developing appropriate career paths for staff (see par. 6.4.3.4). Further benchmarking exercises in this regard need to be undertaken among comparable divisions at other South African universities. International input from Edge Hill University (with whom the UJ will probably be signing an MoU geared towards institutional quality promotion collaboration during 2009) in the UK will, for example, also be sought (see par. 6.5.7).

Internal benchmarking (and comparisons) and quality assurance exercises by the Library and Information Centre (UJLIC), conducted by means of the LibQual survey of staff and student perceptions and expectations of all the libraries on the various campuses of the institution, led to an external benchmark process against six comparable libraries from other South African universities. Evidence from these was included in the final *Strategic Plan* presented to the MEC (see par. 7.6.2).

CenTAL conducted a benchmarking exercise in terms of its activities with comparable divisions at other universities to develop a proposal on personnel categories of staff (see par. 6.4.7 for more details). The Division of Human Resources has been asked by the MEC to take this proposal forward.

On the community engagement front, reviews of the effectiveness of quality related arrangements for community engagement are conducted by comparing the CE Office against those of other higher education institutions in South Africa and abroad (see Chapter 7).

Benchmarking with a view to quality promotion is evident from the UJ's *Quality Promotion Plan: 2010 – 2015* (QPP). It draws on benchmarking exercises and

surveys as an important component of an integrated approach to quality promotion in the institution (see par. 2.4.1.4), and provides guidelines for the coordination of surveys in the institution.

8.2.2 SURVEYS

For the purpose of this discussion, a survey is the collection of information from individuals. The information may be perceptions and/or factual information, depending on the purpose of the survey. The following is an overview of UJ surveys that focus on institutional and decentralised surveys, followed by a self-reflection.

8.2.2.1 Institutional surveys

- At institutional level, the following surveys have been conducted:
- Aspects dealt with in the *UJ Strategic Plan* and Strategic Thrusts are accomplished by way of various surveys and metrics (see par. 1.9). Most of the metrics used in measuring performance and/or compliance are quantitative in nature, utilising data obtained from surveys to stakeholders (see Chapter 1 in this regard).
- As part of the first phase of the Cultural Integration Project, an Institutional Cultural Survey was commissioned (see par. 1.8.5). The second phase of the Cultural Integration Project, namely the development and implementation of a change management strategy, was launched at the ELG breakaway on Thursday, 15 January 2009. Members of the ELG and all middle managers (directors, heads of department) were provided with a report on the Cultural Integration Survey conducted in 2008. This group then met with the appointed consultants for the change management component of the project in order to discuss the approach to be adopted. This second phase will be coordinated and steered by the Cultural Integration Project Steering Committee. Clear timelines and goals (i.e. the adoption of the Leadership Charter) have been set for 2009.³⁵⁷
- Regular feedback regarding graduation ceremonies has since 2007 been obtained by way of so-called Graduation Surveys. These surveys were conducted by Central Academic Administration (CAA) to measure the quality and satisfaction of graduates concerned (see par. 6.5.2.1).
- The Magnet Graduate Survey (on companies that employ UJ graduates) was conducted in 2007-2008 to determine UJ Alumni's performance in the workplace, employment status, career goals, expected salaries, expectations of the University, etc. As part of the institutional quality management, a Student Needs Survey was conducted by PsyCaD to develop and implement relevant supporting programmes and/or workshops focusing on the needs of first-year students (see par. 6.4.5.5).
- Conducting institutional surveys on the undergraduate and post-graduate student experiences is seen as an important measure with regard to quality management. In 2006-7, the UJ Student Experience Surveys, aimed at

³⁵⁷ To follow.

undergraduate students (see par. 4.4.2, par. 5.5 and *Student Life @ UJ*), were conducted, focusing on aspects of a caring, efficient and effective institution. On the basis of the feedback of this quality management mechanism, various improvement plans were designed by faculties, and by development, service and support divisions and units and submitted to either MECA or MECO. The SQC will in future monitor institutional progress made in terms of the execution of these improvement plans, while the various faculty and divisional leaders will do so in their respective domains. An institutional postgraduate student experience survey is conducted during alternative years and the 2009 survey is currently being undertaken and involves both the postgraduate students and their supervisors (see par. 4.4.4).

- Learning success can, *inter alia*, be measured by way of the number of graduates/diplomates delivered to the knowledge economy. This, however, needs to be evaluated in terms of quantity and quality. The latter is estimated by means of a graduate tracking survey of employers and alumni regarding the value added to the knowledge economy (see par. 1.5 and par. 2.10.2).
- A number of surveys are scheduled for 2009, namely:
 - a survey of employers to ascertain the employability of UJ graduates/diplomates;
 - the Student Satisfaction Survey of undergraduate students (conducted in a two-year cycle);
 - a survey of postgraduate students (i.e. a postgraduate student experience survey); and
 - a survey of supervisors of postgraduate students.

8.2.2.2 Decentralised surveys

- Surveys are also conducted in, mainly, support divisions and units for quality improvement purposes. These include surveys such as the following:
- The Central Academic Administration Division conducted various surveys on its specific core functions and was commended on its quality management practice (see par. 5.5.5 and par. 6.5.2.4).
- After moving to a robust Learning Management System (LMS) (Edulink), several surveys to obtain feedback from first-year students were conducted (see par. 6.4.6.2), all focused on quality assurance and planning. A lecturers' feedback survey was also conducted and action stemming from this report has already been implemented in the institution (see par. 6.4.6.4).
- In 2008, the Community Engagement (CE) Office carried out an internal audit to determine the nature of the CE activities and programmes that are executed by persons or structures in the University of Johannesburg. During 2008, a survey was conducted by the CE Office amongst the ten most prominent community engagement partners of the UJ to determine their experience in their engagement with the institution, and what they understand an 'engaged'

institution to be (see par. 8.6). Although not a systematic review, a limited survey of internal stakeholders' perceptions of CE, which could not be seen as representative of all UJ staff perceptions at UJ in 2008, raised some interesting points (see par. 8.6.5).

- Surveys conducted by other support divisions such as PsyCaD, Academic Development and Support and the UJLIC (see Chapter 6) are also worth mentioning. These were conducted as part of the division's/unit's internal quality assurance system and in an effort to improve their services.

8.2.3 IMPACT STUDIES

In an impact study, research is done on a certain topic to determine the extent of the effect that a specific action has had on related matters. In higher education, impact studies should be undertaken to determine the effect that a wide range of learning and research experiences and support provided by the university have on the quality of the core functions.

As part of the strategic planning of the UJ, studies have been undertaken to determine the impact of the employment of foreign nationals on its overall employment equity statistics (see par. 5.5.7).

As was pointed out in par. 7.2, the phrase 'research output per capita' is not only a measure of a quantity component (e.g. the number of articles), but also a quality component (e.g. the 'footprint' or impact factor of such outputs, as indicated by the Institute for Scientific Information (ISI) or the Deutsche Forschungsgemeinschaft (DFG or German Research Foundation)). On the basis of the publications of academic staff members in publications listed on official databases, it is therefore possible to determine the 'impact' of these.

There is a need for impact studies in the UJ to determine, for example, the effect that the teaching and learning strategy, or the QPP, has on the relevant core functions.

8.2.4 REGULAR REVIEWS

The UJ is in the process of establishing a practice that includes regular benchmarking and institutional surveys, while the need for impact studies has been identified. It is too early to review a practice that is still in its infancy.

A framework for benchmarking, surveys and impact studies should also address the regular review of these practices, while the Quality Promotion Framework's scope should be widened to address this kind of review. Framework development and regular reviews of the effectiveness of benchmarking, surveys and impact studies are a responsibility that the newly proposed Unit for Institutional Research should undertake. In doing so, the quality improvement cycle can also be applied to this aspect of the University's functions.

8.2.5 CONCLUSION

The university acknowledges that surveys and benchmarking are an important form of institutional research for planning and quality assurance and promotion purposes. The University has achieved the following:

- A practice of annual benchmarking exercises for reporting and planning purposes at institutional level has been instituted since 2007. The question as to whether this practice has been established at academic departmental and at programme levels remains to be answered. The shortfall in the use of suitable national benchmarking measures with regard to, for example, the quality and quantity of research is currently lacking in planning initiatives and should be addressed (see par. 7.10.2).
- A number of institutional surveys have been conducted – the majority are once-off surveys that have been outsourced. The establishment of a support unit for institutional research that also coordinates and provides support with surveys, etc. and that should also take responsibility for regular surveys, impact studies, etc. is a matter of urgency.
- A substantial number of division or unit-specific surveys have been conducted to improve quality. Whether these are regular surveys are not always clear. Coordination at this level may be required to, for example, prevent questionnaire completion fatigue (especially where the same target groups are involved).
- The University decided during an ELG meeting in January 2009 to establish a unit for institutional research. Details, including responsibilities, placement in the University, etc. have still to be finalised.

The following concerns have been identified:

- The University needs to develop an institutional research framework to conduct, coordinate and manage surveys, benchmarking exercises and impact studies. Outsourcing surveys, etc. may be the short-term solution to a serious capacity problem in this area. Coordination, quality management, dissemination of reports and the facilitation of follow-up actions, etc. should be addressed as a matter of urgency. Closing the quality improvement cycle (see Chapter 2) should also be addressed within a comprehensive framework.
- The dissemination of reports, communication to stakeholders and the accountability of the relevant managers for follow-up activities (such as improvement plans etc.) should also be addressed (see Chapter 2). The interaction between benchmarking, surveys, impact studies, planning, quality reviews and targeted improvements must be taken into consideration when a framework is developed.
- Surveys are conducted at institutional level and by support divisions. It is, however, evident when many of the UJ policies and strategies are considered, that surveys and impact studies should also be conducted on the core functions of the University. The focus of a student satisfaction survey may be too broad to address such specific matters. This can be linked to the regular review of UJ policies (i.e. at least once every six years). Information is required to inform such reviews.
- A number of institutional surveys (once-off) have been conducted. Regular surveys should rather be conducted and the reports should refer to previous

reports. Regular reviews are not isolated events, but should form a chain of reporting on key issues in the University. The University should consider carefully which aspects of the core functions require regular surveys, benchmarking and/or impact studies. Small-scale benchmarking in support units and divisions is undertaken as deemed necessary by the managers. The focus on the specific functions of the unit or division and the benchmarking exercise is often a once-off event and it often lacks coordination across the division and/or at institutional level.

- When the UJ Strategic Goals are revisited, benchmarking, surveys, etc. should be included at KPI level, as well as in the metrics that focus on core functions and quality promotion.

8.3 OPEN-ENDED QUESTIONS

8.3.1 INTRODUCTION

Four *open-ended questions* augment the 19 HEQC Audit Criteria. These questions are answered within the context of the *Vision, Mission and Values Statement* and the accompanying 10 Strategic Goals of the UJ. The Strategic Plan of the University, and the resources committed to the achievement of the Strategic Plan, provide the impetus for the University to establish its unique footprint in the Gauteng region, as well as nationally and internationally. The UJ has already made a significant contribution to the intellectual, economic, social and moral well-being of its stakeholders and will continue to do so.

8.3.2 WHAT ARE THE UNIQUE AND DISTINCTIVE WAYS IN WHICH THE UJ ENRICHES AND ADDS EXCELLENCE TO THE HE SECTOR AND SOCIETY, NATIONALLY, REGIONALLY AND INTERNATIONALLY?

The very nature of the institution adds significant value to society and to the South African HE sector. It is a “comprehensive institution” in the sense that its PQM provides for a comprehensive range of programmes, from vocational to traditionally formative programmes, from one-year certificate programmes to PhD programmes, and for articulation possibilities within and between programmes, that make it a classic “one-stop shop” for its students.

It provides education to almost 50 000 full-time students, a significant percentage of whom come from disadvantaged backgrounds. The UJ recognises the fact that many of its students are inadequately prepared for higher education, and consequently for the world of work, and further acknowledges its obligation to provide such students with the necessary intellectual and emotional skills and competencies required to acquire a qualification from the UJ. It has therefore created an extensive academic development and support structure for such students (see Chapter 5 for full details).

It is a multi-campus university, with urban, suburban and peri-urban sites of delivery in the populous Central Gauteng region. Senate approved a campus programme profile for each campus, which will enable each campus to develop its own particular character within a shared set of values and strategic goals.

It has developed a unique interpretation of the “comprehensive” nature of the institution, as explained in the Foreword and in Chapter 6. It recognises the importance of creating, stimulating and sustaining a vibrant research and scholarly culture that contributes to the development of knowledge and innovation so essential to the competitiveness of the regional and national economy. In parallel to this strategic goal, it also actively pursues the national imperative of providing access to large numbers of students, and the provision of the skills and competencies that will allow them to function as active contributors to, and decision-makers within, the South African economy.

In recognising the difficulty involved in attracting and retaining the best minds for the academy, the UJ has developed strategies to recruit and retain top quality academic staff and simultaneously to improve its staff equity profile, as well as a talent management strategy and a competitive awards process that recognises and rewards excellence in research, teaching, innovation and professional support and development.

The UJ also actively enriches and promotes excellence in the HE sector by collaborating closely with its regional sister institution, Wits, with the Gauteng Province, and with identified community structures in dedicated research, teaching and learning and community development projects that significantly enhance knowledge, skills, competencies and the general wellness of the Gauteng economy, its governance structures and its society at large.

In 2008 the UJ conducted a comprehensive survey of cultural integration problems and diversity challenges among staff (see par. 6.1.3 of *UJ @ a Glance*) and students (see par. 1.2 of *Student Life @ UJ*). In 2009 a unique process has begun to address the issues and problems identified by means of the survey. The UJ recognises that a values-driven intellectual community, particularly one in which a critical mass of staff and students actively “live the UJ values” and thereby celebrate diversity and promote cultural diversity, is an essential prerequisite for its staff and students to pursue scholarship at the levels of excellence expected of the institution.

8.3.3 WHAT DOES THE UJ DO TO PRODUCE A VIBRANT INTELLECTUAL CULTURE WITHIN THE INSTITUTION AND IN SOCIETY AT LARGE?

The Vice-Chancellor and his Executive Leadership manage the institution as a strategy-driven organisation. This means that there is a continuous striving to embed the Vision, Mission and Values and the accompanying 10 Strategic Goals in the hearts and minds of its staff and students. The *UJ Strategic Plan* is values-driven and performance-driven and seeks to promote excellence in its core functions. Such a strategy-driven approach can only succeed if a vibrant intellectual culture exists – one in which free inquiry, challenge, performance enhancement and innovation are nurtured and celebrated. In the preceding chapters abundant evidence of this approach is provided.

The UJ also promotes Public Scholarship as a cherished value of an institution that is located in the economic heartland of South Africa, in a vibrant and diverse metropolis, and that is constantly challenged to demonstrate its relevance and its contribution to this melting pot. Since 2008, the Platform for Public Deliberation has hosted a variety of high-level opinion formers and decision-makers at the UJ,

discoursing on affairs of public concern (including weekly debates on the 2009 National Elections, in collaboration with the SABC). Each faculty has at least one annual public lecture (and some as many as four or five) by a leading scholar on a discipline-based topic. Any number of public engagements by UJ scholars in the printed, the visual and the audio media on a diverse range of topics take place on an almost daily basis.

Although the UJ does not have a faculty devoted to the performing arts, it does have an Arts Centre. The Arts Centre, in its various guises, promotes a vibrant intellectual culture amongst all its stakeholders (both internal and external) by means of the many and diverse theatre productions it hosts, its Art Gallery, the many opportunities for self-expression it affords the students, and by means of its popular weekly Sundowner concerts, to which the public has free access.

The institution's insistence that, as a research-driven institution, it has a leading role to play in certain key areas, and its ability to provide the necessary resources to enable its scholars to play this role, certainly contributes to a vibrant intellectual culture in the UJ.

In recognition of the UJ's obligation to contribute to the development of a new generation of political, business and social leaders from within the ranks of students in higher education, it established, in collaboration with Bokamoso Trust, a National Student Leadership Academy. The purpose of the academy, which should be fully operational by the end of 2009, is to provide dedicated and focused opportunities for leadership training and development to the UJ's elected student leaders with the aid of professionals both within and outside of the institution.

8.3.4 IN WHAT WAYS DOES THE UJ ACT AS AN INCUBATOR OF NEW IDEAS AND CUTTING-EDGE KNOWLEDGE AND TECHNOLOGIES WITHIN THE NATIONAL SYSTEM OF INNOVATION?

One of the major advantages of a "comprehensive institution" is that it allows basic/fundamental/"blue skies" research in the traditional or formative domain to exist alongside applied research in the technological domain. This allows the institution to combine the best of both worlds and to enhance technology innovation. The policy on the protection, management and commercialisation of intellectual property and the accompanying plan to implement the policy provides for the necessary policy framework and structures to promote innovation as a Council-driven strategic priority in the institution. The plan provides for a significant and complementary role to be played by the Research and Innovation Office (in the identification and protection of innovation opportunities flowing from scholarly research) and the Commercialisation Unit within the Finance Division (in the commercialisation of innovative inventions) in promoting innovation at the UJ.

A number of prominent examples of successful innovation attest to the UJ's commitment to innovation and to the identification and active pursuit of commercial opportunities for innovation. The most important example is the Photovoltaic Cell Project of Prof. Vivian Alberts. This invention, which uses "thin-film" materials for a cheaper and mass-producible solar energy unit, has been successfully patented in South Africa and internationally and licensed to consortia in Germany and in South

Africa. The UJ is a core contributor to a consortium of institutions (both national and international) that seeks to promote alternative and sustainable energy sources that will benefit disadvantaged and poor communities in third-world countries in particular. Gradnet is an alumni web-based portal with an almost limitless range of opportunities for alumni of an institution to make active contributions to their alma maters and for the institutions concerned to offer them a range of tangible benefits for their support of the institution.

8.3.5 WHAT ARE SOME OF THE NOTABLE EXAMPLES IN THE PAST THREE YEARS OF INSTITUTIONAL SUCCESS IN PROMOTING AND ENHANCING QUALITY?

The HEQC framed the issue of quality assurance in higher education around the following descriptors, namely fitness for purpose; fitness of purpose; transformation; and value for money. At the UJ, its fitness for purpose comes to the fore in the institution's striving to attain its institutional mission and strategic goals (unpacked in a more detailed manner via the KPIs per goal) in relation to its vision (the latter encompassing differentiation and diversity). Its fitness of purpose is a quality descriptor entrenched within the context of the national goals for higher education and includes foci such as equity, access, effectiveness and efficiency – all aspects found in the UJ's value statement and KPIs of the institution's ten Strategic Goals.

Transformation at the UJ speaks directly to Strategic Goal 7 (Culture of Transformation) and includes aspects such as widening of participation in terms of race, gender and disability, institutional differentiation through programme diversity and quality and progress with the promotion of UJ values – aspects also addressed as its fitness of purpose. There are, however, concerns that both UJ staff and students have not yet embraced these aspects (see par. 10.3.3). Value for money, as a quality descriptor, is not just a budgeting principle (see par. 2.8.1) employed at the UJ, but also a holistic quality education principle whereby students are empowered as lifelong learners (see par. 2.3.3). However, value for money can only be considered an important quality descriptor if it can be measured against an appropriate benchmark, such as the fitness of purpose.

From the start of the merger process, quality matters received prominent attention, with the Quality Working Group being one of the first task teams to be established. Post-merger new quality structures, systems, management and resources have been established. At institutional level, the Unit for Quality Promotion has developed a *Quality Promotion Policy* and *Quality Promotion Plan* and an integrated framework to address institutional, faculty and support service areas, steered by a Senate Quality Committee (see par. 3.6). Uniquely formed formal quality committees also attend to quality matters accommodating specific structures and needs of the various faculties.

The programme review process by means of which some 1 800 programmes in nine faculties across five campuses were reviewed within a tight schedule, was a notable quality-enhancing achievement (see par. 3.3.3). The subsequent review of 3 394 modules, again within a limited timeframe, is also worth mentioning as an achievement that the University can celebrate (see par. 5.3.2).

Participation in the SANTED project (see par. 5.4) has notable quality-enhancing features with the aid of which the fundamental differences, similarities and/or overlaps in terms of the types of knowledge, skills and competencies that comprise the curricula of national diplomas and degrees are investigated.

8.4 SELF EVALUATION: FROM MERGER TO(-WARDS) UNITY?

8.4.1 INTRODUCTION

As was pointed out in the preamble to this SER, this merger of well-established institutions had distinct advantages over the creation of a new university where nothing had existed previously. Although both merger constituents brought a wealth of experience and tried policies, practices and structures to the new university, it also presented unique challenges. The focus, thrust and institutional culture of the two institutions differed substantially and the challenge (and unique opportunity) was, and still is, to create synergy from this situation – a synergy that goes beyond the mere selection of best practice, which, more often than not, depends on “the eye of the beholder”.

The UJ chose as its underlying theme for the Institutional Audit: *from merger to unity*. It was also explained that, however unity is defined, its pursuit is an ongoing process and the theme was adapted to: *from merger to(-wards) unity*.

The term ‘merger’ should be seen as the legal amalgamation of the various individual institutions to form a new, single institution. The term ‘unity’ should be interpreted in this context, thereby demonstrating a single, unified governance system and unity of purpose with regard to the strategic direction of the University – its new *Vision, Mission, Values Statement* and Strategic Goals.

Two aspects need some clarity: (i) merging the individual institutions does not automatically guarantee a ‘merger’ of their systems, structures, policies, institutional ethos etc; and (ii) the question still begs as to how much unity has been attained, as the embracement of this new university as a sole reference in thinking and planning does not constitute unity at large.

In all the chapters, and particularly in par. 1.5, it has been shown that the University has succeeded to a significant extent in aligning its activities with its Strategic Direction. Systems are in place to ensure that the ten Strategic Goals are always on the radar screen of executive decision-makers. The Strategy Manager ensures that the pursuit of Strategic Goals is regularly monitored (see par. 1.5.1) through the utilisation of the *Institutional Dashboard* (see Figure 16). The Goal Oversight Principals oversee the implementation of the *Strategic Plan* (see par. 1.5.2.1) and the VC and MEC are accountable to Council for its implementation.

Over a period of just more than four years the “new” University has done well to address the challenge of establishing a single institutional quality management system. However, even if a near-perfect quality management system has been crafted, the institution does not yet display the trademark of an exemplary quality ethos. The eager implementation of the UJ’s *Quality Promotion Policy and Plan* (by one and all) will be a giant step towards a shared appreciation of an institutional quality ethos, and perhaps the *towards (quality in) unity* ideal of the underlying

institutional audit theme might be realised in just a few more years. However, when exploring unity of purpose, some serious reasons for concern are still apparent. The Institutional Culture Survey (see *UJ @ a Glance*) and the Student Experience Questionnaire (see *Student Life @ UJ*) show that there are still divisions and concerns in the two major internal stakeholder bodies that impede progress to unity. Addressing these impediments presents one of the major challenges facing the University.

As has been indicated above, the Audit theme - *from merger to(-wards) institutional unity* - spells out an ongoing path of transformation and change. Concluding an SER of this magnitude thus requires a holistic analysis and interpretation of specific aspects originating from the self-evaluation of the institution. These aspects are addressed in the SER to determine the UJ's progress on this road from merger to institutional unity, as presented in the concluding remarks of each chapter and grouped into three broad categories, namely:

- Unity established – these are commendable aspects emanating from the SER
- Unity in progress – these are aspects found within the SER that need a lesser concerned kind of attention
- Unity concerns – these are more major institutional concerns highlighted in the SER.

8.4.2 UNITY ESTABLISHED

The UJ is a university of the 21st century – a new generation university. This is an institution that not only includes traditional formative (i.e. university) programmes and vocational (i.e. technikon) programmes, but is also linked to the generally accepted national transformational objective of widening of participation in terms of race, gender and disability. Its multi-campus approach adds to the notion of increased accessibility and inclusivity, adding credence to the audit theme. In this sense, diversity should not be seen as a basis for showing a lack of unity but rather as a focus on unity through diversity.

The UJ is a well-governed institution with a single, central, unified governance system. In the years following the merger, broad governance structures, including applicable policies, charters, regulations and procedures, have successfully been developed and implemented at the UJ. These actions have permeated through the institution and are evident in all aspects dealing with general, central and academic administration; finance, resources and operations; teaching, learning and assessment; research; community engagement and general student life. There is a unity of purpose in the institution's Strategic Goals, Key Performance Indicators and metrics used in measuring progress.

Linked to the affirmative governance of the institution is sound financial management, which is evident in the resourcing principles of operating sustainability, sustainability of growth investments, culture of financial discipline and cost consciousness, transparency and value for money. The UJ budget is not just a strategic and institutional planning tool, but also speaks to quality promotion and acts as a quality assurance mechanism. It signals the commitment of the University to

stay well within its financial limitations and to utilise its resources to promote its core functions.

Following the merger, major institutional administrative impediments had to be overcome (see par. 5.5.1). Since the merger, the institutional administrative functions have been amalgamated into three separate divisions under the auspices of the Registrar. Enormous strides were made in the standardisation of various academic administration processes through the development of new policies, procedures and rules after the complex and difficult incorporation and merger. The establishment of the Student Enrolment Centre is a positive development that focuses on the administration of the academic life cycle of a student.

Significant progress has been made to establish the UJ as a research-focused institution. This is evident in the gradual increase in accredited research output in aggregate terms; the adoption of a view of an increasing expenditure on the research function as a whole; an active attempt at increasing the institution's number of NRF-rated researchers and NRF Chairs; and active collaboration with national and international partners in research.

The UJ finds itself to be very progressive, pragmatic and advanced when it comes to another of its core functions: teaching, learning and assessment. Applicable policies and procedures are all in place, and these have cascaded down into a faculty and departmental perspective – all still linked to the broader institutional goal of quality. The University of Johannesburg is committed and has devoted much thought and effort to establishing quality structures, policies, guidelines, and support structures. The University has succeeded in introducing an awareness of quality assurance in the institution. This is furthermore enhanced by applicable quality structures, policies and procedures, all endorsing a unique institutional quality management system. Preparation for the HEQC Quality Audit of 2009 visibly enhanced quality awareness on campus.

Over the past years, by gaining strong ground in the media and other publicity forums, the University has also succeeded in establishing for itself an increased public profile that communicates to both the UJ community and its diverse external audience.

8.4.3 UNITY IN PROGRESS

From the SER it is evident that there are ongoing challenges on this road towards unity.

Implementation, monitoring and regular reviewing of policies, focusing *inter alia* on Teaching and Learning, Community Engagement and Quality, are vital steps in the cycle of continuous quality improvement. This practice should be further formalised across and within faculties and divisions, while addressing the unique communication challenges associated with it (see below).

Given the need for the UJ to position itself in the higher education landscape, progress is being made, albeit relative, in the optimal allocation and unitisation of resources in the three core functions of the University.

An overburdened staff complement may not be contributing optimally to the UJ value of collaborative effort. An excessive academic workload, coupled with uncompetitive salaries, will also not ensure optimum quality within the institution as a whole. (See the note on human resources in the next section.) From the SER it can also be seen that the institutional staff qualifications profile needs serious attention. A dedicated resource-driven strategy to address this has been implemented from 2009.

Several communication challenges still exist at the UJ. This includes not just the basic flow of information, but also the uncoordinated manner in which it takes place. Optimum communication may ultimately lead to coordinated efforts, all working together to ensure the overall enhancement of institutional quality. This will lead to a better alignment between various functions, addressing an effective utilisation of limited resources.

More work has to be done on the internationalisation efforts of the University, which includes creating a competitive international profile in terms of its core functions.

Since its inception, the UJ has made tremendous strides in its strategic intent by focusing much more on the development of its Strategic Goals and associated Key Performance Indicators and metrics. Operational issues took precedence in the pre-merger phase, as well as during the first year of the merger. Only in mid 2006 the focus became strategic. The question, however, is to what extent this has impeded the operational functions of the University.

The restructuring of Community Engagement (CE) and the revised CE Policy promise to increase the CE footprint of the University, but there is still much work to be done.

8.4.4 UNITY CONCERNS

The SER has also highlighted various matters that are of concern to the institution. Firstly it is clear that the management of human resources (the University's most expensive and important asset) is still lagging. This includes not just the development of differentiated staff structures, but rather a lack of management and leadership capacity; a focus on talent differentiation/management; optimum staff recruitment, training and retention; succession management and planning; active career development; and optimal employment of staff capacity across all functions in the institution. There seems to be a lack of management capacity building up at middle management level, for example issues around the functions, appointments and remuneration of HoDs need attention. The delay in implementing a consistent and substantiated institutional performance management system at all levels may be a contributing factor. The implementation of a talent management strategy for individuals with high levels of skill, scarcity and/or excellence in the UJ becomes more and more of a priority and will in some way address some of these concerns. The introduction of a retention and replacement strategy for academic and non-academic staff will furthermore alleviate some of the concerns raised above.

More focus on competitive resourcing needs to be developed and implemented to ensure more income from diverse income sources. This will also play a role in the further advancement of innovative income-generating initiatives at the UJ.

As was pointed out in Chapter 1 of the SER (*UJ @ a glance*), a major concern for the University is that UJ staff and students have not yet fully embraced the concept of “living the UJ values”. With strategy guidelines provided by the Cultural Integration Project Steering Committee (see par. 8.2.2), much work still has to be done to ensure sufficient “transformation” to ensure social cohesion in the institution.

A serious concern following the merger is that of campus equality - the University acknowledges that equality of campuses is still a problem, but is systematically addressing it. A substantial amount of money has been set aside to address the major sources of inequality in facilities and infrastructure and the implementation of the new Campus Programme Profile is expected go a long way in addressing the inequality in campus occupation. The Institutional Culture Survey has shown that there are concerns in internal stakeholder bodies that impede progress to unity. This is not true of all campuses, which, paradoxically, gives an additional reason to pause.

There has been great improvement in the logistics of academic registration at the institution. However, the size of the University, as well as its multi-campus nature, necessitates that greater use needs to be made of web-based registration. Even though the number of students registering by way of the internet has increased, there is still too much emphasis on a paper-based registration process. Increasing the percentage of web registrations may also lead to a much better utilisation of human resources within the administrative function of the University.

Achieving unity at student experience level is a real challenge, because of the fact that students’ experiences are campus specific. Even if full equivalence of campuses is achieved, the uniqueness of campuses (e.g. geographical position, programmes offered, etc.) will always be a factor. The relative autonomy of the campus SRCs is another factor contributing to different experiences.

There is a sense that the institutional research capacity operates at a suboptimal level at present due to the dispersed, limited and uncoordinated manner in which it is dealt with. The need for an all-encompassing aligned and focused division in the University should therefore be addressed as a matter of concern.

8.5 A FINAL WORD

The University regards the audit as a unique opportunity to take stock of its achievements and challenges after the first four to five years of its existence. The SER is not viewed as a mechanical response merely to satisfy the HEQC requirements – it is regarded as an opportunity to give renewed direction to the development of the University's own priority areas, in addition to complying with HEQC requirements.

The Audit Steering Committee has set itself the goal of being honest and open in its self-evaluation. It recognises that there is still work to be done on the road to unity. However, the University is not ashamed of what it has achieved and, without being complacent, believes that it is making a significant contribution to the welfare of the communities it serves, the country and the world of scholarship.

Preparing the SER was not merely a self-evaluation exercise, but also an important phase in the quality cycle for continuous improvement. It is foreseen that this document as well as the HEQC Report will contribute to the preparation of an institutional improvement plan.